

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

OMB No 1545-0052

2009

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 2009, or tax year beginning 6/01, 2009, and ending 5/31, 2010

G Check all that apply. ☐ Initial return ☐ Initial Return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name changeUse the
IRS label.
Otherwise,
print
or type.
See Specific
Instructions.THE JOHN, MARIE AND JOSEPH WHALEN
FOUNDATION, INC.
385 WATERVLIET SHAKER ROAD
LATHAM, NY 12208

A Employer identification number

52-2256192

B Telephone number (see the instructions)

518-269-9464

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 ☐H Check type of organization. ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationI Fair market value of all assets at end of year
(from Part II, column (c), line 16)

\$ 3,524,541.

J Accounting method ☒ Cash ☐ Accrual
☐ Other (specify) _____

(Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and

Expenses (The total of amounts in
columns (b), (c), and (d) may not neces-
sarily equal the amounts in column (a)
(see the instructions))(a) Revenue and
expenses per books(b) Net investment
income(c) Adjusted net
income(d) Disbursements
for charitable
purposes
(cash basis only)

REVENUE

1 Contributions, gifts, grants, etc, received (att sch)

551,044.

2 Ck ☐ if the foundn is not req to att Sch B3 Interest on savings and temporary
cash investments

12.

12.

12.

4 Dividends and interest from securities

67,895.

67,895.

67,895.

5a Gross rents

b Net rental income
or (loss)

Statement 1

6a Net gain/(loss) from sale of assets not on line 10

82,002.

b Gross sales price for all
assets on line 6a

1,627,606.

7 Capital gain net income (from Part IV, line 2)

81,737.

8 Net short-term capital gain

106,461.

9 Income modifications

10a Gross sales less
returns and
allowancesb Less Cost of
goods sold

c Gross profit (loss) (att sch)

11 Other income (attach schedule)

12 Total. Add lines 1 through 11

700,953.

149,644.

174,368.

13 Compensation of officers, directors, trustees, etc

18,000.

9,000.

9,000.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees (attach schedule) See St 2

10,669.

5,335.

5,334.

b Accounting fees (attach sch) See St 3

14,429.

12,986.

1,443.

c Other prof fees (attach sch) See St 4

31,640.

31,640.

15,820.

17 Interest

18 Taxes (attach schedule)(see instr) See Stm 5

8,127.

8,127.

4,063.

19 Depreciation (attach
sch) and depletion

420.

20 Occupancy

1,450.

725.

725.

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses (attach schedule)

See Statement 6

2,085.

1,044.

1,041.

24 Total operating and administrative
expenses. Add lines 13 through 23

86,820.

68,857.

37,426.

25 Contributions, gifts, grants paid Part XV

250,009.

250,009.

26 Total expenses and disbursements.
Add lines 24 and 25

336,829.

68,857.

0.

287,435.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses
and disbursements

364,124.

b Net investment income (if negative, enter -0-)

80,787.

c Adjusted net income (if negative, enter -0-)

174,368.

SCANNED OCT 06 2010

ADMINISTRATIVE
AND
OPERATING
EXPENSES

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	6,698.		
	2 Savings and temporary cash investments	449,158.	389,207.	389,207.
	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 the 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)	684,342.	1,007,121.	1,025,250.
	b Investments – corporate stock (attach schedule)	1,712,725.	1,722,191.	1,865,938.
	c Investments – corporate bonds (attach schedule)	138,237.	237,378.	244,146.
	LIABILITIES	11 Investments – land, buildings, and equipment basis		
Less: accumulated depreciation (attach schedule)				
12 Investments – mortgage loans				
13 Investments – other (attach schedule)				
14 Land, buildings, and equipment basis		2,187.		
Less: accumulated depreciation (attach schedule) See Stmt 7		1,557.		
15 Other assets (describe See Statement 8)		6,254.	6,061.	
16 Total assets (to be completed by all filers – see instructions. Also, see page 1, item I)		2,998,464.	3,362,588.	3,524,541.
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.		
NET FUND ASSETS OR BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	2,998,464.	3,362,588.	
	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 the instructions)	2,998,464.	3,362,588.		
31 Total liabilities and net assets/fund balances (see the instructions)	2,998,464.	3,362,588.		

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	2,998,464.
2 Enter amount from Part I, line 27a	2	364,124.
3 Other increases not included in line 2 (itemize)	3	
4 Add lines 1, 2, and 3	4	3,362,588.
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	3,362,588.

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 MERRILL LYNCH ACCOUNT NO. 808-02013		P	Various	Various
b SEE ATTACHED MERRILL LYNCH ACCOUNT NO. 808-02019		P	Various	Various
c SEE ATTACHED MERRILL LYNCH ACCOUNT NO. 808-02019		P	Various	Various
d CASH IN LIEU		P	Various	Various
e RET OF CAP/PRINC PMTS		P	Various	Various

(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 418,736.		416,344.	2,392.
b 1,047,784.		944,675.	103,109.
c 159,861.		184,585.	-24,724.
d 26.			26.
e 934.			934.

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			2,392.
b			103,109.
c			-24,724.
d			26.
e			934.

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	81,737.
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 the instructions) If (loss), enter -0- in Part I, line 8		3	106,461.

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))
2008	29,627.	2,734,889.	0.010833
2007	311,359.	3,414,984.	0.091174
2006	200,679.	2,918,039.	0.068772
2005	96,208.	2,117,225.	0.045441
2004	92,314.	1,698,471.	0.054351

2 Total of line 1, column (d)	2	0.270571
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	0.054114
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	3,104,041.
5 Multiply line 4 by line 3	5	167,972.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	808.
7 Add lines 5 and 6	7	168,780.
8 Enter qualifying distributions from Part XII, line 4	8	287,435.

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 the 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 instr.)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	808.
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	808.
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	808.
6 Credits/Payments.			
a 2009 estimated tax pmts and 2008 overpayment credited to 2009	6a	3,000.	
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	3,000.	
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	2,192.	
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax ☒ 2,192. Refunded ☐	11	0.	

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 XIV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see the instructions) MD NY		
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 2009 or the taxable year beginning in 2009 (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 acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	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>SISTER SERENA THOMPSON</u> Telephone no. <u>518-269-9464</u> Located at <u>385 WATERVLIET SHAKER ROAD LATHAM NY</u> ZIP + 4 <u>12208</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - 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>			

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 the 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 2009?	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 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? ☐ Yes ☒ No If 'Yes,' list the years <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u> .		
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 the 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 2009 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 2009)	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 2009?	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?

7b

N/A

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		18,000.	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	2,942,330.
b	Average of monthly cash balances	1b	208,981.
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	3,151,311.
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	3,151,311.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	47,270.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,104,041.
6	Minimum investment return. Enter 5% of line 5	6	155,202.

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	155,202.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	808.
b	Income tax for 2009 (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	808.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	154,394.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	154,394.
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	154,394.

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	287,435.
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	287,435.
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	808.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	286,627.

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 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				154,394.
2 Undistributed income, if any, as of the end of 2009:				
a Enter amount for 2008 only			0.	
b Total for prior years: 20____, 20____, 20____		0.		
3 Excess distributions carryover, if any, to 2009.				
a From 2004				
b From 2005				
c From 2006				
d From 2007	49,791.			
e From 2008				
f Total of lines 3a through e	49,791.			
4 Qualifying distributions for 2009 from Part XII, line 4. ► \$ 287,435.				
a Applied to 2008, 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 2009 distributable amount				154,394.
e Remaining amount distributed out of corpus	133,041.			
5 Excess distributions carryover applied to 2009 (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	182,832.			
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 2008. Subtract line 4a from line 2a. Taxable amount – see instructions			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				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 2004 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	182,832.			
10 Analysis of line 9.				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007	49,791.			
d Excess from 2008				
e Excess from 2009	133,041.			

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> ROMAN CATHOLIC DIOCESE OF ALBANY 40 N MAIN AVE #4 ALBANY, NY 12203 SOCIETY OF THE HOLY CHILD JESUS 1341 MONTGOMERY AVE ROSEMONT, PA 19010		N/A N/A	RELIGIOUS RELIGIOUS	152,000. 98,009.
Total			3a	250,009.
<i>b Approved for future payment</i>				
Total			3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (see the 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	12.	
4 Dividends and interest from securities			14	67,895.	
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	82,002.	
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)				149,909.	
13 Total. Add line 12, columns (b), (d), and (e)				13	149,909.

(See worksheet in the instructions for line 13 to verify calculations.)

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

[illegible]

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

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

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

OMB No 1545-0047

2009

Name of the organization **THE JOHN, MARIE AND JOSEPH WHALEN
FOUNDATION, INC.**

Employer identification number
52-2256192

Organization type (check one):

Filers of:

Form 990 or 990-EZ

Section:

- ☐ 501(c)(____) (enter number) organization
☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
☐ 527 political organization

Form 990-PF

- ☒ 501(c)(3) exempt private foundation
☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
☐ 501(c)(3) taxable private foundation

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

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

General Rule –

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

Special Rules –

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ, that met the 33-1/3% support test of the regulations under sections 509(a)(1)/170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ, that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ, that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year ► \$ _____

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

BAA For Privacy Act and Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2009)

Name of organization

Employer identification number

THE JOHN, MARIE AND JOSEPH WHALEN

52-2256192

Part I Contributors (see instructions.)

(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	FATHER JOHN P. WHALEN CLAT 22 HYATT ROAD BRIARCLIFF MANOR, NY 10510-2610	\$ 551,044.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)

Name of organization

THE JOHN, MARIE AND JOSEPH WHALEN

Employer identification number

52-2256192

Part II Noncash Property (see instructions)

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

BAA

Schedule B (Form 990, 990-EZ, or 990-PF) (2009)

Name of organization

Employer identification number

THE JOHN, MARIE AND JOSEPH WHALEN

52-2256192

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

► \$ N/A

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	N/A		
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

Federal Statements
THE JOHN, MARIE AND JOSEPH WHALEN
FOUNDATION, INC.

Statement 1
Form 990-PF, Part I, Line 6a
Net Gain (Loss) from Noninventory Sales Per Books
Assets Not Included in Part IV

Description:	BOOK/TAX ADJ		
Date Acquired:			
How Acquired:	Purchase		
Date Sold:			
To Whom Sold:			
Gross Sales Price:		265.	
Cost or Other Basis:		0.	
Basis Method:	Cost		
		Gain (Loss)	265.
		Total	\$ <u>265.</u>

Statement 2
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
ATTORNEY'S FEES	\$ 10,669.	\$ 5,335.		\$ 5,334.
Total	\$ <u>10,669.</u>	\$ <u>5,335.</u>	\$ <u>0.</u>	\$ <u>5,334.</u>

Statement 3
Form 990-PF, Part I, Line 16b
Accounting Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
ACCOUNTING FEES	\$ 14,429.	\$ 12,986.		\$ 1,443.
Total	\$ <u>14,429.</u>	\$ <u>12,986.</u>	\$ <u>0.</u>	\$ <u>1,443.</u>

Statement 4
Form 990-PF, Part I, Line 16c
Other Professional Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
INVESTMENT MGT FEES	\$ 31,640.	\$ 31,640.		\$ 15,820.
Total	\$ <u>31,640.</u>	\$ <u>31,640.</u>	\$ <u>0.</u>	\$ <u>15,820.</u>

Statement 5
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
FEDERAL EXCISE TAX	\$ 7,480.	\$ 7,480.		\$ 3,740.
FOREIGN INCOME TAXES	647.	647.		323.
Total	<u>\$ 8,127.</u>	<u>\$ 8,127.</u>	<u>\$ 0.</u>	<u>\$ 4,063.</u>

Statement 6
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
BANK FEES	\$ 65.	\$ 33.		\$ 32.
BOARD EXPENSES	545.	273.		272.
INSURANCE	1,165.	583.		582.
NYS FILING FEES	260.	130.		130.
OFFICE EXPENSE	50.	25.		25.
Total	<u>\$ 2,085.</u>	<u>\$ 1,044.</u>	<u>\$ 0.</u>	<u>\$ 1,041.</u>

Statement 7
Form 990-PF, Part II, Line 14
Land, Buildings, and Equipment

Category	Basis	Accum. Deprec.	Book Value	Fair Market Value
Miscellaneous	\$ 2,187.	\$ 1,557.	\$ 630.	\$ 0.
Total	<u>\$ 2,187.</u>	<u>\$ 1,557.</u>	<u>\$ 630.</u>	<u>\$ 0.</u>

Statement 8
Form 990-PF, Part II, Line 15
Other Assets

	Book Value	Fair Market Value
ACCRUED INTEREST PAID	\$ 6,061.	
Total	<u>\$ 6,061.</u>	<u>\$ 0.</u>

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>Compen- sation</u>	<u>Contri- bution to EBP & DC</u>	<u>Expense Account/ Other</u>
SISTER SERENA THOMPSON 385 WATERVLIET SHAKER ROAD LATHAM, NY 12208	Treasurer 0	\$ 2,000.	\$ 0.	\$ 0.
DR. JOSEPH P. WHALEN, SR. 440 EAST 57TH STREET, APT. 5B NEW YORK, NY 10022	Chairperson 0	2,000.	0.	0.
SISTER MARY ANN HAYES 369 WATERVLIET-SHAKER ROAD LATHAM, NY 12208	Director 0	2,000.	0.	0.
FATHER KENNETH DOYLE 40 COLLINS PLACE ALBANY, NY 12208	Vice Chairpersn 0	2,000.	0.	0.
BISHOP HOWARD HUBBARD 40 NORTH MAIN AVENUE ALBANY, NY 12203	Director 0	2,000.	0.	0.
SISTER LAUREN VANDERMARK 385 WATERVLIET-SHAKER ROAD LATHAM, NY 12208	Director 0	2,000.	0.	0.
PHILIP J. WHALEN 22 HYATT ROAD BRIARCLIFF MANOR, NY 10510	Director 0	2,000.	0.	0.
ELIZABETH SIMCOE 40 NORTH MAIN AVENUE ALBANY, NY 12203	Director 0	2,000.	0.	0.
MARY P. WHALEN 520 EAST 20TH STREET, APT #3E NEW YORK, NY 10009	Director 0	2,000.	0.	0.
Total		\$ 18,000.	\$ 0.	\$ 0.

EMASM Fiscal Statement

THE JOHN MARIE AND JOSEPH

FISCAL YEAR ACTIVITY

Date	Transaction	Quantity	Description	Price	Debit	Credit
05/28/10	Cash Dividend		CMA MONEY FUND			0.49
			Sub Total			30.61
			Net Total		662.64	48,079.89
						47,417.25
			Other Activity			
07/10/09	Journal Entry		BR PI FEE THRU 09/30/09		1,141.88	
10/06/09	Journal Entry		TR FROM 80802019			225,000.00
10/09/09	Journal Entry		BR PI FEE THRU 12/31/09		1,137.12	
01/08/10	Journal Entry		BR PI FEE THRU 03/31/10		1,352.66	
01/11/10	Journal Entry		TR FROM 80802012			171,812.00
04/08/10	Journal Entry		BR PI FEE THRU 06/30/10		1,508.93	
			Net Total		5,140.59	396,812.00
					fees	trfrs

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Price	Cost Basis	Gain or (Loss)
65,000.0000	FNMA P725027 05% 2033 COR	05/20/09	06/19/09	34,364.25	35,198.39	(834.14) ST
11,000.0000	SBC COMMUN 5.62% JUN15 16	05/22/09	07/21/09	11,694.32	11,147.36	546.96 ST
27,000.0000	US TSY 2.750% FEB 15 2019	05/20/09	07/13/09	25,757.47	25,985.49	(228.02) ST
7,000.0000	JPMORGAN CHASE & 5.12% 14	05/21/09	10/29/09	7,337.19	7,018.48	318.71 ST
9,000.0000	SBC COMMUN 5.62% JUN15 16	05/22/09	10/29/09	9,696.06	9,116.48	579.58 ST
10,000.0000	US TSY 4.625% FEB 15 2017	05/20/09	10/29/09	10,968.70	11,168.02	(199.32) ST
20,000.0000	US TSY 4.625% FEB 15 2017	10/07/09	10/29/09	21,937.43	22,335.05	(397.62) ST
85,000.0000	GNM P004169M 05 50% 2038 COR	10/07/09	12/15/09	67,057.00	67,017.44	39.56 ST
37,000.0000	US TSY 3.125% MAY 15 2019	06/11/09	01/26/10	35,768.45	34,527.07	1,241.38 ST
2,000.0000	US TSY 3.125% MAY 15 2019	06/19/09	01/26/10	1,933.43	1,892.96	40.47 ST
30,000.0000	US TSY 1.875% FEB 28 2014	05/20/09	01/26/10	29,917.86	29,823.15	94.71 ST
10,000.0000	US TSY 1.875% FEB 28 2014	10/29/09	01/26/10	9,972.63	9,878.55	94.08 ST
23,000.0000	US TSY 2.125% JAN 31 2010	07/13/09	01/06/10	23,024.18	23,022.66	1.52 ST
6,000.0000	US TSY 2.125% JAN 31 2010	10/29/09	01/06/10	6,006.31	6,006.70	(0.39) ST
24,000.0000	FEDERAL HOME LN MTG CORP	05/20/09	03/25/10	25,959.94	25,780.22	179.72 ST
7,000.0000	FEDERAL NATL MTG ASSOC	05/20/09	03/25/10	7,794.72	7,833.45	(38.73) ST
30,000.0000	US TSY 4.000% APR 15 2010	05/20/09	03/25/10	30,049.12	30,047.15	1.97 ST

PLEASE SEE REVERSE SIDE
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Statement Period Year Ending 05/31/10

x 99999999

Account No.
808-02013

50-1.1
(242)

✓
6/11/10

EMA Fiscal Statement

THE JOHN MARIE AND JOSEPH

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Price	Cost Basis	Gain or (Loss)
5,000.0000	FEDERAL NATL MTG ASSOC	05/20/09	03/25/10	5,194.82	5,162.87	31.95 ST
5,000.0000	FEDERAL NATL MTG ASSOC	10/07/09	03/25/10	5,194.83	5,184.70	10.13 ST
10,000.0000	BP CAP MARKETS PL 5.25% 13	10/07/09	05/04/10	10,930.90	10,907.41	23.49 ST
17,000.0000	GENERAL ELEC CO 5.00% 2013	05/20/09	05/03/10	18,344.19	17,542.22	801.97 ST
7,000.0000	SHELL INTL FIN 4.00% 2014	05/20/09	05/03/10	7,399.42	7,194.48	204.94 ST
2,000.0000	GOLDMAN SACHS GRO 5.15% 14	05/20/09	05/03/10	2,079.76	2,013.19	66.57 ST
10,000.0000	US TSY 3.875% MAY 15 2018	05/20/09	05/03/10	10,353.09	10,540.44	(187.35) ST
				<u>418,736.07</u>	<u>416,343.93</u>	<u>2,392.14</u>
				<u>(A)</u>	<u>TO 50-1</u>	

(A) agrees to total proceeds
per monthly strats
- refer to WP 8-1.1

PLEASE SEE REVERSE SIDE
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Statement Period Year Ending 05/31/10
Account No. 808-02013

50-1.1
(1.12)

The John, Marie and Joseph Whalen Foundation						
52-22596192						
2009 Form 990-PF, Part IV Attachment						
F/Y/E 5-31-10						
Security Description	Acquisition Date	Liquidation Date	Quantity	Acquisition Cost	Liquidation Amount	ShortTerm Gain/(Loss)
3M COMPANY	05/20/09	10/01/09	9	534	655	121
3M COMPANY	01/12/10	03/15/10	10	841	810	(31)
3M COMPANY	07/15/09	03/15/10	12	743	972	229
3M COMPANY	05/20/09	03/15/10	81	4,806	6,560	1,754
ABBOTT LABS	05/20/09	10/01/09	10	434	490	57
ACCENTURE PLC SHS	05/20/09	09/08/09	46	1,388	1,590	202
ACCENTURE PLC SHS	05/20/09	09/09/09	47	1,418	1,628	210
ACCENTURE PLC SHS	05/20/09	09/10/09	45	1,358	1,575	217
ACCENTURE PLC SHS	05/20/09	09/11/09	12	362	426	64
ACCENTURE PLC SHS	05/20/09	10/01/09	15	453	553	101
ACCENTURE PLC SHS	05/20/09	11/09/09	61	1,840	2,428	588
ACCENTURE PLC SHS	05/20/09	11/10/09	61	1,840	2,406	566
ACCOR SA SHS	09/24/09	10/01/09	40	455	426	(29)
ACCOR SA SHS	09/24/09	04/09/10	122	1,388	1,432	44
ACCOR SA SHS	01/12/10	05/06/10	57	616	583	(33)
ACCOR SA SHS	09/24/09	05/06/10	360	4,096	3,682	(413)
ACE LIMITED	04/21/09	07/06/09	38	1,694	1,653	(41)
ACE LIMITED	01/06/09	07/06/09	65	3,389	2,828	(561)
ACE LIMITED	04/21/09	10/01/09	33	1,471	1,780	308
ACTIVISION BLIZZARD INC	05/20/09	08/28/09	156	1,810	1,814	4
ACTIVISION BLIZZARD INC	05/20/09	10/01/09	27	313	321	8
ACTIVISION BLIZZARD INC	05/20/09	10/08/09	220	2,552	2,820	268
ADVANTEST CORP ADR	07/14/09	08/20/09	250	4,595	6,064	1,470
AES CORP	09/21/09	10/01/09	75	1,079	1,063	(15)
AETNA INC NEW	08/12/09	10/01/09	20	554	555	1
AGNICO EAGLE MINES LTD	05/20/09	10/01/09	15	837	974	137
AGNICO EAGLE MINES LTD	05/20/09	12/16/09	34	1,898	2,046	148
AGNICO EAGLE MINES LTD	01/12/10	01/27/10	5	295	265	(30)
AGNICO EAGLE MINES LTD	05/20/09	01/27/10	45	2,512	2,389	(123)
ALCOA INC	05/20/09	10/01/09	151	1,519	1,974	455

The John, Marie and Joseph Whalen Foundation						
52-22596192						
2009 Form 990-PF, Part IV Attachment						
F/Y/E 5-31-10						
	<u>Acquisition Date</u>	<u>Liquidation Date</u>	<u>Quantity</u>	<u>Acquisition Cost</u>	<u>Liquidation Amount</u>	<u>ShortTerm Gain/(Loss)</u>
ALCOA INC	05/20/09	01/08/10	276	2,776	4,535	1,760
ALTERA CORP COM	05/20/09	07/20/09	289	4,681	4,974	293
AMAZON COM INC COM	05/20/09	10/01/09	10	791	908	118
AMERICAN TOWER CORP CL A	05/20/09	08/28/09	77	2,350	2,464	114
AMERICAN TOWER CORP CL A	05/20/09	09/10/09	51	1,556	1,743	187
AMERICAN TOWER CORP CL A	05/20/09	10/01/09	8	244	284	40
AMERICAN TOWER CORP CL A	05/20/09	12/16/09	76	2,319	3,156	837
AMGEN INC COM PV \$0.0001	12/04/08	10/01/09	19	1,076	1,127	51
ANADARKO PETE CORP	05/20/09	10/01/09	39	1,801	2,382	581
ANADARKO PETE CORP	05/20/09	12/14/09	64	2,956	3,853	898
ANADARKO PETE CORP	05/20/09	12/15/09	27	1,247	1,640	393
ANADARKO PETE CORP	05/29/09	05/13/10	12	574	685	112
ANADARKO PETE CORP	05/20/09	05/13/10	39	1,801	2,227	426
ANALOG DEVICES INC COM	05/20/09	07/07/09	78	1,835	1,890	55
ANALOG DEVICES INC COM	05/20/09	10/01/09	24	564	648	83
ANALOG DEVICES INC COM	01/12/10	05/14/10	23	691	640	(50)
ANALOG DEVICES INC COM	05/20/09	05/14/10	185	4,351	5,151	800
AOL INC	04/23/09	02/16/10	11	168	264	95
APOLLO GROUP INC CL A	05/20/09	08/31/09	21	1,322	1,379	56
APOLLO GROUP INC CL A	05/20/09	09/01/09	28	1,763	1,794	31
APOLLO GROUP INC CL A	05/20/09	09/02/09	16	1,008	1,030	22
APOLLO GROUP INC CL A	05/20/09	10/01/09	7	441	507	66
APOLLO GROUP INC CL A	05/20/09	01/11/10	34	2,141	2,029	(112)
APOLLO GROUP INC CL A	05/20/09	01/12/10	14	882	834	(48)
APOLLO GROUP INC CL A	05/20/09	01/13/10	14	882	832	(49)
APOLLO GROUP INC CL A	05/20/09	01/14/10	8	504	479	(25)
APPLE INC	05/11/09	01/15/10	12	1,599	2,483	883
ARCELORMITTAL SA,	05/20/09	10/01/09	32	980	1,128	148
ARCELORMITTAL SA, LUXEMBOURG	05/20/09	12/15/09	96	2,940	4,103	1,163
ARCELORMITTAL SA, LUXEMBOURG	05/20/09	01/08/10	30	919	1,473	554

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	Date	Date		Cost	Amount	Gain/(Loss)
ARCHER DANIELS MIDLD	01/14/09	10/01/09	36	874	1,039	165
ARCHER DANIELS MIDLD	04/14/09	01/11/10	62	1,505	1,914	409
AUTOZONE INC NEVADA COM	05/20/09	08/31/09	8	1,303	1,175	(128)
AUTOZONE INC NEVADA COM	05/20/09	09/01/09	11	1,791	1,603	(188)
AUTOZONE INC NEVADA COM	05/20/09	09/02/09	6	977	872	(105)
AUTOZONE INC NEVADA COM	05/20/09	10/01/09	4	651	586	(66)
AUTOZONE INC NEVADA COM	05/20/09	11/16/09	25	4,071	3,572	(499)
AUTOZONE INC NEVADA COM	05/20/09	11/17/09	5	814	711	(103)
AVON PROD INC	06/18/09	10/01/09	16	415	524	110
AXA -SPONS ADR	06/01/09	10/01/09	27	527	711	183
AXA -SPONS ADR	06/01/09	10/01/09	51	996	1,349	353
AXA -SPONS ADR	06/01/09	11/25/09	34	644	881	237
AXA -SPONS ADR	06/02/09	11/25/09	25	495	648	153
AXA -SPONS ADR	06/02/09	12/04/09	136	2,772	3,331	559
BAE SYS PLC SPN ADR	05/20/09	07/28/09	326	7,687	6,873	(814)
BAIDU INC SPON ADR	11/05/09	03/29/10	5	1,975	3,025	1,050
BAKER HUGHES INC	01/12/10	05/14/10	16	810	725	(85)
BAKER HUGHES INC	05/20/09	05/14/10	128	5,113	5,802	689
BANCO B VIZ ARGT SA ADR	05/20/09	08/31/09	150	1,801	2,662	861
BANCO B VIZ ARGT SA ADR	05/20/09	10/01/09	23	276	394	118
BANCO BRADESCO S A ADR	05/20/09	06/16/09	282	4,001	4,241	240
BANCO SANTANDER SA ADR	05/20/09	07/13/09	126	1,276	1,491	214
BANCO SANTANDER SA ADR	05/20/09	08/07/09	103	1,043	1,499	456
BANCO SANTANDER SA ADR	05/20/09	10/01/09	37	375	576	202
BANK NEW YORK MELLON CORP	04/20/09	10/01/09	70	2,094	1,982	(111)
BANK NEW YORK MELLON CORP	05/20/09	02/16/10	47	1,327	1,293	(35)
BANK NEW YORK MELLON CORP	04/20/09	02/16/10	35	1,047	963	(84)
BARCLAYS PLC ADR	07/23/09	10/01/09	25	524	577	53
BARCLAYS PLC ADR	07/23/09	04/01/10	70	1,467	1,546	79
BASF SE SPONSORED ADR	05/20/09	09/03/09	50	2,106	2,474	369

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BASF SE SPONSORED ADR	05/20/09	10/01/09	8	337	404	68
BASF SE SPONSORED ADR	05/20/09	10/23/09	21	884	1,244	359
BASF SE SPONSORED ADR	01/12/10	01/29/10	12	732	683	(49)
BASF SE SPONSORED ADR	05/20/09	01/29/10	63	2,653	3,586	933
BAXTER INTERNTL INC	10/09/08	10/01/09	19	1,158	1,066	(92)
BAXTER INTERNTL INC	01/12/10	02/16/10	10	598	567	(31)
BG GROUP PLC SPON ADR	05/20/09	10/01/09	9	769	768	(1)
BHP BILLITON PLC SP ADR	05/20/09	10/01/09	16	746	843	97
BHP BILLITON PLC SP ADR	05/20/09	04/08/10	20	933	1,390	457
BJ SERVICES CO	05/20/09	10/01/09	151	2,405	2,872	467
BJ SERVICES CO	05/20/09	01/07/10	476	7,582	9,833	2,251
BJ SERVICES CO	01/12/10	04/30/10	39	12	105	92
BJ SERVICES CO	05/20/09	04/30/10	321	-	863	863
BLKRCK GLB SM CAP PTF S	05/20/09	10/01/09	1,649	14,264	16,770	2,506
BLKRCK MDCP VL OPP PTF S	05/20/09	10/01/09	1,968	13,658	16,098	2,440
BMC SOFTWARE INC	05/20/09	07/06/09	44	1,560	1,439	(121)
BMC SOFTWARE INC	05/20/09	07/07/09	100	3,546	3,223	(323)
BMC SOFTWARE INC	05/20/09	10/01/09	17	603	614	12
BNP PARIBAS SPONSORD ADR	05/20/09	06/17/09	50	1,592	1,615	23
BNP PARIBAS SPONSORD ADR	05/20/09	09/09/09	127	4,042	4,944	902
BOSTON SCIENTIFIC CORP	05/20/09	10/01/09	56	502	575	73
BOSTON SCIENTIFIC CORP	05/20/09	10/21/09	456	4,085	3,781	(304)
BOSTON SCIENTIFIC CORP	10/08/09	10/21/09	36	368	298	(69)
BOSTON SCIENTIFIC CORP	08/12/09	10/21/09	19	214	158	(57)
BRIDGESTONE CORP ADR	06/17/09	10/01/09	29	848	1,016	168
BRIDGESTONE CORP ADR	06/17/09	05/21/10	59	1,725	1,968	243
BRISTOL-MYERS SQUIBB CO	12/03/08	10/01/09	174	3,657	3,884	226
BRITISH AMN TOBACO SPADR	05/20/09	10/01/09	28	1,459	1,748	289
BRITISH AMN TOBACO SPADR	05/20/09	03/02/10	18	938	1,227	289
BRITISH AWYS PLC ADR	09/03/09	10/01/09	14	425	486	61

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BRITISH AWYS PLC ADR	01/12/10	05/13/10	16	501	489	(12)
BRITISH AWYS PLC ADR	09/03/09	05/13/10	101	3,067	3,088	21
BROADCOM CORP CALIF CL A	05/20/09	10/01/09	27	608	789	181
BROADCOM CORP CALIF CL A	05/20/09	11/05/09	58	1,306	1,578	272
C.H. ROBINSON WORLDWIDE,	06/25/09	10/01/09	7	363	396	33
C.H. ROBINSON WORLDWIDE, INC. NEW	01/12/10	02/12/10	5	285	260	(25)
C.H. ROBINSON WORLDWIDE, INC. NEW	06/25/09	02/12/10	43	2,229	2,237	9
CA INC	05/20/09	10/01/09	71	1,281	1,514	232
CANON INC ADR REP5SH	05/20/09	10/01/09	28	976	1,081	105
CANON INC ADR REP5SH	05/20/09	01/28/10	10	348	403	55
CANON INC ADR REP5SH	05/20/09	01/29/10	42	1,464	1,654	190
CANON INC ADR REP5SH	05/20/09	03/08/10	30	1,045	1,323	277
CANON INC ADR REP5SH	01/12/10	03/09/10	13	555	570	14
CANON INC ADR REP5SH	05/20/09	03/09/10	66	2,300	2,892	592
CARMAX INC	05/20/09	10/01/09	31	336	609	273
CBS CORP NEW CL B	07/21/09	10/01/09	155	1,169	1,798	629
CBS CORP NEW CL B	07/21/09	01/08/10	280	2,113	3,878	1,766
CBS CORP NEW CL B	08/12/09	02/16/10	126	1,360	1,661	301
CBS CORP NEW CL B	07/21/09	02/16/10	417	3,146	5,498	2,352
CELGENE CORP COM	03/19/09	10/01/09	18	840	1,003	163
CELGENE CORP COM	10/08/09	11/23/09	14	766	774	8
CELGENE CORP COM	08/28/09	11/23/09	38	1,992	2,100	108
CELGENE CORP COM	08/12/09	11/23/09	22	1,197	1,216	19
CELGENE CORP COM	03/19/09	11/23/09	6	280	332	52
CELGENE CORP COM	01/13/09	11/23/09	40	2,016	2,210	194
CHECK POINT SOFTWARE TECH	05/20/09	06/04/09	92	2,206	2,153	(53)
CHECK POINT SOFTWARE TECH	05/20/09	07/15/09	51	1,223	1,215	(8)
CHECK POINT SOFTWARE TECH	05/20/09	08/03/09	47	1,127	1,251	124
CHECK POINT SOFTWARE TECH	05/20/09	08/04/09	49	1,175	1,302	127
CHECK POINT SOFTWARE TECH	05/20/09	08/05/09	13	312	345	33

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Security Description						
CHECK POINT SOFTWARE TECH	05/20/09	10/01/09	41	983	1,147	164
CHECK POINT SOFTWARE TECH	05/20/09	02/16/10	65	1,559	2,123	565
CHECK POINT SOFTWARE TECH	05/20/09	02/17/10	72	1,726	2,364	638
CHECK POINT SOFTWARE TECH	05/20/09	02/18/10	35	839	1,145	306
CHEVRON CORP	01/06/09	10/01/09	19	1,474	1,314	(160)
CHEVRON CORP	05/04/07	10/01/09	22	1,522	1,522	-
CHINA MOBILE LTD SPN ADR	05/20/09	07/23/09	70	3,357	3,533	176
CHUBB CORP	05/20/09	10/01/09	33	1,286	1,662	376
CHUBB CORP	05/20/09	04/05/10	10	390	517	128
CHUBB CORP	05/20/09	04/06/10	29	1,130	1,488	358
CHUBB CORP	05/20/09	04/07/10	23	896	1,186	290
CHUBB CORP	03/23/09	10/01/09	43	710	996	285
CISCO SYSTEMS INC COM	03/23/09	01/15/10	153	2,639	3,739	1,100
CISCO SYSTEMS INC COM	05/20/09	07/21/09	154	8,124	9,077	953
CLOROX CO DEL COM	10/21/08	10/01/09	1	346	297	(49)
CME GROUP INC	05/20/09	10/01/09	4	539	526	(13)
CNOOC LTD ADR	05/20/09	11/25/09	8	1,078	1,290	213
CNOOC LTD ADR	05/20/09	12/03/09	10	1,347	1,580	233
CNOOC LTD ADR	05/20/09	12/04/09	7	943	1,109	166
COCA COLA COM	01/06/09	10/01/09	33	1,490	1,756	266
COCA COLA ENTERPRISES	06/15/09	10/01/09	33	562	683	121
COMPUTER SCIENCE CRP	05/20/09	10/01/09	27	1,010	1,389	380
CONAGRA FOODS INC	06/22/09	10/01/09	33	627	700	73
COOPER INDUSTRIES PLC	03/20/09	10/01/09	17	414	634	220
COOPER INDUSTRIES PLC	03/20/09	10/05/09	70	1,706	2,554	848
COOPER INDUSTRIES PLC	03/20/09	10/06/09	71	1,730	2,644	914
COVIDIEN PLC SHS	05/20/09	10/01/09	36	1,285	1,543	258
COVIDIEN PLC SHS	05/20/09	02/16/10	38	1,357	1,896	540
CREDIT SUISSE GP SP ADR	05/20/09	07/13/09	49	2,117	2,232	115
CREDIT SUISSE GP SP ADR	05/20/09	10/01/09	10	432	550	117

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CSX CORP	05/20/09	07/28/09	71	2,106	2,822	716
CSX CORP	05/20/09	10/01/09	15	445	632	187
CSX CORP	05/20/09	02/08/10	54	1,601	2,323	721
CSX CORP	01/12/10	02/09/10	10	509	433	(76)
CSX CORP	05/20/09	02/09/10	63	1,868	2,729	860
CSX CORP	01/12/10	02/10/10	10	509	430	(78)
CUMMINS INC COM	05/20/09	10/01/09	26	863	1,129	266
CUMMINS INC COM	05/20/09	10/21/09	133	4,416	6,800	2,384
D R HORTON INC	05/20/09	06/25/09	271	2,750	2,528	(222)
DAIMLER A	05/20/09	10/01/09	18	657	875	218
DANAHER CORP DEL COM	03/09/09	10/01/09	22	1,078	1,445	367
DARDEN RESTAURANTS INC	05/20/09	10/01/09	24	870	796	(74)
DARDEN RESTAURANTS INC	05/20/09	04/26/10	66	2,394	3,182	788
DEERE CO	05/20/09	05/29/09	123	5,640	5,280	(361)
DEERE CO	05/20/09	06/25/09	53	2,430	2,214	(216)
DEERE CO	05/20/09	10/01/09	16	734	665	(68)
DELTA AIR LINES INC	05/20/09	10/01/09	78	533	661	127
DEUTSCHE LUFT AG SPN ADR	09/03/09	10/01/09	21	325	357	33
DISCOVER FINL SVCS	11/10/09	03/29/10	63	965	965	-
DISCOVER FINL SVCS	11/09/09	03/29/10	129	1,971	1,976	5
DISCOVER FINL SVCS	01/12/10	03/30/10	24	359	363	4
DISCOVER FINL SVCS	11/10/09	03/30/10	158	2,421	2,389	(31)
DISNEY (WALT) CO COM STK	02/17/09	10/01/09	61	1,090	1,659	569
DOMINION RES INC NEW VA	05/20/09	10/01/09	42	1,323	1,436	113
DOVER CORP	05/20/09	10/01/09	23	745	859	115
DU PONT E I DE NEMOURS	04/15/09	05/29/09	157	4,873	4,391	(482)
DU PONT E I DE NEMOURS	04/15/09	10/01/09	36	1,245	1,116	(130)
E M C CORPORATION MASS	09/01/09	10/01/09	30	469	496	27
E M C CORPORATION MASS	09/10/09	12/02/09	4	66	67	1
E M C CORPORATION MASS	09/01/09	12/02/09	152	2,377	2,557	180

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Security Description						
E M C CORPORATION MASS	01/12/10	03/15/10	21	371	392	21
E M C CORPORATION MASS	10/08/09	03/15/10	64	1,133	1,195	62
E M C CORPORATION MASS	09/10/09	03/15/10	127	2,111	2,371	260
E.ON AG ADR	05/20/09	09/03/09	64	2,220	2,592	372
E.ON AG ADR	05/20/09	10/01/09	16	555	658	103
E.ON AG ADR	01/12/10	05/06/10	17	714	557	(157)
E.ON AG ADR	05/20/09	05/06/10	137	4,753	4,491	(261)
ELECTRONIC ARTS INC DEL	01/12/10	02/16/10	36	612	588	(24)
ELECTRONIC ARTS INC DEL	01/07/10	02/16/10	185	3,330	3,020	(310)
ELI LILLY & CO	01/06/09	08/10/09	85	2,763	2,872	110
ELI LILLY & CO	01/06/09	08/11/09	22	715	742	27
EMERSON ELEC CO	05/11/09	05/29/09	85	3,241	2,742	(499)
ENSCO INTL INC COM	10/19/09	12/23/09	22	1,071	928	(144)
ENSCO INTL INC COM	10/19/09	12/23/09	12	572	506	(66)
ENSCO INTL INC COM	10/19/09	12/23/09	38	1,852	1,603	(250)
ENSCO INTL INC COM	10/19/09	12/23/09	22	1,072	928	(145)
ENSCO INTL LTD SPNSR ADR	10/19/09	12/29/09	38	1,852	1,560	(292)
ENSCO INTL LTD SPNSR ADR	10/19/09	12/30/09	22	1,072	898	(174)
ENSCO INTL LTD SPNSR ADR	10/20/09	12/31/09	1	48	40	(7)
ENSCO INTL LTD SPNSR ADR	10/19/09	12/31/09	21	1,024	846	(178)
ENSCO INTL LTD SPNSR ADR	10/20/09	01/04/10	12	572	504	(68)
EXPRESS SCRIPTS INC COM	05/20/09	08/03/09	45	2,709	3,123	414
EXPRESS SCRIPTS INC COM	05/20/09	08/04/09	46	2,769	3,173	404
EXPRESS SCRIPTS INC COM	05/20/09	08/17/09	56	3,371	3,787	416
EXPRESS SCRIPTS INC COM	05/20/09	08/18/09	35	2,107	2,339	233
EXXON MOBIL CORP COM	05/11/09	05/29/09	109	5,025	7,601	2,576
EXXON MOBIL CORP COM	04/15/09	10/01/09	10	677	676	(2)
EXXON MOBIL CORP COM	05/20/09	10/19/09	45	3,208	3,318	110
EXXON MOBIL CORP COM	04/15/09	10/19/09	35	2,370	2,580	210
EXXON MOBIL CORP COM	05/20/09	10/20/09	49	3,493	3,573	80

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EXXON MOBIL CORP COM	05/20/09	10/21/09	39	2,780	2,871	91
EXXON MOBIL CORP COM	05/20/09	11/05/09	43	3,065	3,115	49
FAMILY DOLLAR STORES	05/20/09	10/01/09	40	1,248	1,076	(173)
FAMILY DOLLAR STORES	05/20/09	04/12/10	83	2,590	3,150	560
FAMILY DOLLAR STORES	05/20/09	04/13/10	99	3,089	3,830	741
FAMILY DOLLAR STORES	01/12/10	04/14/10	33	995	1,280	285
FAMILY DOLLAR STORES	05/20/09	04/14/10	2	62	78	15
FLOWERVE CORP	09/08/09	10/01/09	7	638	676	38
FLUOR CORP NEW DEL COM	01/06/09	06/25/09	5	248	257	9
FLUOR CORP NEW DEL COM	01/06/09	06/25/09	30	1,485	1,540	55
FOMENTO ECNMCO MEX SPADR	08/26/09	10/01/09	17	654	629	(25)
FOMENTO ECNMCO MEX SPADR	08/26/09	10/22/09	45	1,732	2,009	277
FOMENTO ECNMCO MEX SPADR SAB DE	08/27/09	01/08/10	22	839	1,094	255
FOMENTO ECNMCO MEX SPADR SAB DE	08/26/09	01/08/10	7	269	348	79
FOMENTO ECNMCO MEX SPADR SAB DE	08/27/09	01/11/10	13	496	582	86
FOMENTO ECNMCO MEX SPADR SAB DE	01/12/10	02/19/10	8	353	333	(19)
FOMENTO ECNMCO MEX SPADR SAB DE	09/23/09	02/19/10	40	1,440	1,667	227
FOMENTO ECNMCO MEX SPADR SAB DE	08/27/09	02/19/10	44	1,679	1,834	155
FOREST LABS INC	05/20/09	10/01/09	49	1,164	1,413	249
FOREST LABS INC	05/20/09	05/03/10	36	855	977	121
FOREST LABS INC	05/20/09	05/04/10	39	927	1,046	120
FOREST LABS INC	05/20/09	05/05/10	27	641	726	85
FREEMPT-MCMRAN CPR & GLD	05/20/09	10/01/09	12	617	789	172
FRESENIUS MEDICAL CARE	05/20/09	10/01/09	29	1,215	1,419	204
FRESENIUS MEDICAL CARE AG & CO SPO	05/20/09	03/02/10	28	1,173	1,515	342
GAP INC DELAWARE	02/10/09	10/01/09	70	814	1,470	656
GAP INC DELAWARE	08/20/09	02/16/10	132	2,481	2,588	108
GARMIN LTD (KAYMAN IS)	08/31/09	10/01/09	24	780	872	93
GENERAL MILLS	01/21/09	10/01/09	23	1,381	1,463	82
GENERAL MILLS	03/09/09	10/01/09	30	1,503	1,909	406

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HONEYWELL INTL INC DEL	01/16/09	07/15/09	63	2,070	2,036	(34)
HONEYWELL INTL INC DEL	05/20/09	07/30/09	53	1,771	1,838	67
HONEYWELL INTL INC DEL	01/20/09	07/30/09	65	2,118	2,254	136
HONEYWELL INTL INC DEL	01/16/09	07/30/09	7	230	243	13
HONEYWELL INTL INC DEL	05/20/09	08/20/09	93	3,108	3,276	168
HONEYWELL INTL INC DEL	05/20/09	10/01/09	42	1,404	1,535	131
HUDSON CITY BANCORP INC	05/20/09	10/01/09	52	650	678	28
HUDSON CITY BANCORP INC	05/20/09	11/09/09	201	2,512	2,630	118
HUDSON CITY BANCORP INC	05/20/09	11/10/09	88	1,100	1,158	58
INTEL CORP	04/21/09	10/14/09	108	1,646	2,255	609
INTL BUSINESS MACHINES	05/20/09	09/10/09	48	5,069	5,607	539
INTL BUSINESS MACHINES	05/20/09	10/01/09	35	3,696	4,147	451
INTL PAPER CO	05/20/09	10/01/09	36	537	783	246
J C PENNEY CO COM	01/06/09	06/18/09	46	1,000	1,198	199
J C PENNEY CO COM	01/06/09	10/01/09	8	174	262	88
J C PENNEY CO COM	01/12/10	01/27/10	12	308	299	(9)
JPMORGAN CHASE & CO	05/11/09	05/29/09	98	3,969	3,570	(399)
JPMORGAN CHASE & CO	05/11/09	05/29/09	6	233	219	(14)
JUPITER TELECOM CO ADR	12/24/09	01/26/10	11	758	735	(23)
JUPITER TELECOM CO ADR	12/21/09	01/26/10	18	1,122	1,203	82
JUPITER TELECOM CO ADR	01/12/10	03/23/10	6	387	467	80
JUPITER TELECOM CO ADR	12/29/09	03/23/10	14	971	1,089	118
JUPITER TELECOM CO ADR	12/24/09	03/23/10	9	620	700	79
KIMBERLY CLARK	05/20/09	10/01/09	51	2,635	2,973	338
KOHL'S CORP WISC PV 1CT	01/06/09	10/01/09	19	722	1,055	333
KONINKLIJKE AHOLD NV ADR	05/20/09	08/31/09	199	2,354	2,321	(33)
KONINKLIJKE AHOLD NV ADR	06/17/09	09/24/09	153	1,757	1,869	112
KONINKLIJKE AHOLD NV ADR	05/20/09	09/24/09	147	1,739	1,796	57
KRAFT FOODS INC VA CL A	05/20/09	10/01/09	114	2,862	2,941	79
KROGER CO	05/20/09	10/01/09	85	1,861	1,765	(96)

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L-3 COMMNCTNS HLDGS	05/20/09	10/01/09	17	1,268	1,331	63
LAM RESEARCH CORP COM	05/20/09	10/01/09	24	645	788	143
LAM RESEARCH CORP COM	05/20/09	11/05/09	53	1,424	1,800	376
LAM RESEARCH CORP COM	01/12/10	03/15/10	13	515	426	(89)
LAM RESEARCH CORP COM	05/20/09	03/15/10	76	2,042	2,490	448
LIBERTY GLOBAL INC SER A	09/09/09	10/01/09	12	288	250	(38)
LIBERTY GLOBAL INC SER A	09/09/09	03/15/10	77	1,849	2,156	307
LIBERTY GLOBAL INC SER A	09/09/09	03/16/10	4	96	113	17
LIBERTY GLOBAL INC SER A	09/09/09	04/08/10	44	1,057	1,260	204
LIMITED BRANDS INC	07/21/09	10/01/09	85	993	1,411	418
LIMITED BRANDS INC	07/21/09	01/07/10	366	4,276	6,854	2,578
LIMITED BRANDS INC	01/12/10	05/14/10	45	912	1,147	235
LIMITED BRANDS INC	07/21/09	05/14/10	351	4,101	8,947	4,846
LOCKHEED MARTIN CORP	01/06/09	10/01/09	12	1,011	924	(87)
LSI CORPORATION	05/20/09	08/20/09	580	2,407	2,876	470
LSI CORPORATION	05/20/09	10/01/09	410	1,701	2,206	505
MAKITA CORP SPOND ADR	07/14/09	10/01/09	31	689	975	286
MAKITA CORP SPOND ADR	07/14/09	10/16/09	37	823	1,286	463
MARATHON OIL CORP	07/06/09	10/01/09	12	338	376	38
MASSEY ENERGY CO COM	05/22/09	06/25/09	128	2,610	2,497	(112)
MAXIM INTEGRATED PRODS	05/29/09	10/01/09	45	721	792	71
MAXIM INTEGRATED PRODS	01/12/10	05/14/10	30	583	553	(30)
MAXIM INTEGRATED PRODS	05/29/09	05/14/10	337	5,397	6,210	813
MCDONALDS CORP COM	02/03/09	07/30/09	52	3,034	2,908	(126)
MCDONALDS CORP COM	10/09/08	08/12/09	37	2,020	2,087	67
MCDONALDS CORP COM	08/22/08	08/12/09	26	1,638	1,467	(171)
MCDONALDS CORP COM	10/09/08	09/21/09	61	3,331	3,426	95
MCDONALDS CORP COM	01/06/09	09/22/09	6	377	335	(42)
MCDONALDS CORP COM	11/13/08	09/22/09	25	1,341	1,395	55
MCDONALDS CORP COM	10/09/08	09/22/09	37	2,020	2,065	45

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MCDONALDS CORP COM	01/06/09	09/23/09	42	2,639	2,350	(289)
MCKESSON CORPORATION COM	05/20/09	10/01/09	26	1,028	1,529	501
METLIFE INC COM	01/14/09	10/01/09	50	1,378	1,849	471
MICRON TECHNOLOGY INC	05/20/09	07/07/09	709	3,601	3,409	(193)
MICRON TECHNOLOGY INC	05/20/09	10/01/09	97	493	742	249
MICRON TECHNOLOGY INC	05/20/09	01/07/10	478	2,428	5,147	2,719
MICRON TECHNOLOGY INC	05/20/09	02/16/10	542	2,753	4,670	1,917
MICROSOFT CORP	03/23/09	10/01/09	62	1,082	1,543	461
MITSUBISHI UFJ FINL GRP	05/20/09	10/01/09	131	858	658	(200)
MITSUBISHI UFJ FINL GRP INC	05/20/09	05/05/10	728	4,768	3,655	(1,112)
MITSUBISHI UFJ FINL GRP INC	01/12/10	05/06/10	40	213	198	(15)
MITSUBISHI UFJ FINL GRP INC	05/20/09	05/06/10	101	661	499	(163)
MITSUBISHI UFJ FINL GRP INC	07/24/09	10/01/09	3	746	764	18
NATL BK GREECE SA SPNADR	11/27/09	02/09/10	670	4,255	2,464	(1,790)
NESTLE SA REP RG SH ADR	05/20/09	07/13/09	20	739	769	30
NESTLE SA REP RG SH ADR	05/20/09	07/14/09	32	1,182	1,220	37
NESTLE SA REP RG SH ADR	05/20/09	10/01/09	26	961	1,096	135
NESTLE SA REP RG SH ADR	05/20/09	03/01/10	20	739	998	259
NESTLE SA REP RG SH ADR	05/20/09	04/08/10	20	739	987	248
NESTLE SA REP RG SH ADR	05/20/09	04/09/10	29	1,072	1,444	373
NESTLE SA REP RG SH ADR	05/20/09	05/10/10	31	1,145	1,435	290
NII HLDGS INC CL B	06/16/09	10/01/09	21	418	607	189
NII HLDGS INC CL B	06/16/09	10/22/09	49	975	1,557	582
NII HLDGS INC CL B	06/17/09	03/15/10	7	137	279	141
NII HLDGS INC CL B	06/16/09	03/15/10	49	975	1,952	977
NINTENDO LTD ADR	05/20/09	10/01/09	13	437	405	(33)
NOBLE CORP NAMEN-AKT	05/29/09	10/01/09	35	1,198	1,309	111
NOKIA CORP SPON ADR	02/06/09	07/16/09	170	2,275	2,293	18
NOKIA CORP SPON ADR	02/06/09	07/16/09	26	348	351	3
NOKIA CORP SPON ADR	02/23/09	07/16/09	200	2,040	2,697	657

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	Date	Date		Cost	Amount	Gain/(Loss)
NOKIA CORP SPON ADR	02/05/09	10/01/09	61	793	866	73
NOKIA CORP SPON ADR	05/29/09	10/15/09	396	6,053	5,392	(660)
NOKIA CORP SPON ADR	02/06/09	10/15/09	69	923	940	16
NOMURA HLDGS INC ADR	05/20/09	10/01/09	81	578	477	(100)
NOMURA HLDGS INC ADR	05/20/09	05/18/10	110	784	688	(97)
NOMURA HLDGS INC ADR	01/12/10	05/19/10	81	687	499	(188)
NOMURA HLDGS INC ADR	10/14/09	05/19/10	201	1,492	1,238	(254)
NOMURA HLDGS INC ADR	08/13/09	05/19/10	187	1,627	1,151	(476)
NOMURA HLDGS INC ADR	05/20/09	05/19/10	401	2,859	2,469	(390)
NORTHROP GRUMMAN CORP	03/24/09	08/20/09	71	2,973	3,377	404
NORTHROP GRUMMAN CORP	03/24/09	10/01/09	28	1,172	1,411	239
NORTHROP GRUMMAN CORP	03/24/09	10/01/09	9	377	454	77
NRG ENERGY INC	05/20/09	10/01/09	32	643	860	217
NUCOR CORPORATION	05/20/09	10/01/09	21	902	961	60
NVIDIA	01/12/10	04/30/10	19	337	306	(31)
OCCIDENTAL PETE CORP CAL	02/09/09	10/01/09	17	986	1,297	311
ORACLE CORP \$0.01 DEL	05/20/09	07/15/09	115	2,222	2,464	242
ORACLE CORP \$0.01 DEL	05/20/09	08/12/09	84	1,623	1,852	229
ORACLE CORP \$0.01 DEL	05/20/09	10/01/09	13	251	264	13
ORACLE CORP \$0.01 DEL	05/20/09	10/08/09	114	2,202	2,375	173
PALM INC	10/08/09	02/25/10	91	1,554	599	(955)
PALM INC	01/15/10	02/26/10	124	1,696	759	(937)
PALM INC	10/08/09	02/26/10	62	1,059	380	(679)
PEABODY ENERGY CORP COM	05/20/09	10/01/09	25	825	901	76
PETRLEO BRAS VTG SPD ADR	05/20/09	06/16/09	36	1,485	1,483	(2)
PETRLEO BRAS VTG SPD ADR	05/20/09	07/23/09	70	2,888	2,993	105
PETRLEO BRAS VTG SPD ADR	05/22/09	09/01/09	26	1,056	1,011	(45)
PETRLEO BRAS VTG SPD ADR	05/20/09	09/01/09	99	4,085	3,850	(234)
PETROHAWK ENERGY CORP	05/20/09	06/04/09	42	1,019	1,062	42
PETROHAWK ENERGY CORP	05/20/09	10/01/09	32	777	747	(30)

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PETROHAWK ENERGY CORP	01/12/10	02/24/10	19	497	398	(99)
PETROHAWK ENERGY CORP	09/01/09	02/24/10	47	993	984	(9)
PETROHAWK ENERGY CORP	05/20/09	02/24/10	174	4,223	3,642	(581)
PMC SIERRA INC	05/20/09	06/04/09	175	1,307	1,335	28
PMC SIERRA INC	05/20/09	10/01/09	45	336	413	77
PMC SIERRA INC	01/12/10	01/15/10	54	455	447	(8)
PMC SIERRA INC	05/20/09	01/15/10	408	3,047	3,376	328
PRIDE INTL INC DEL	10/19/09	03/01/10	38	1,232	1,060	(173)
PRIDE INTL INC DEL	10/20/09	03/02/10	4	131	112	(20)
PRIDE INTL INC DEL	10/19/09	03/02/10	34	1,103	949	(153)
PRIDE INTL INC DEL	10/20/09	03/03/10	24	787	684	(103)
PRIDE INTL INC DEL	10/20/09	04/05/10	21	689	663	(26)
PRIDE INTL INC DEL	10/21/09	04/06/10	19	642	599	(43)
PRIDE INTL INC DEL	10/20/09	04/06/10	45	1,476	1,419	(57)
PRIDE INTL INC DEL	01/12/10	04/07/10	9	296	278	(17)
PRIDE INTL INC DEL	10/21/09	04/07/10	63	2,130	1,949	(181)
PRIDE INTL INC DEL	01/12/10	04/08/10	23	756	706	(50)
PROCTER & GAMBLE CO	10/09/08	06/15/09	78	5,123	4,006	(1,117)
PROCTER & GAMBLE CO	06/25/09	10/01/09	8	411	453	42
PRUDENTIAL FINANCIAL INC	05/20/09	10/01/09	21	923	1,020	97
QUALCOMM INC	11/12/08	10/01/09	35	1,194	1,515	322
QUALCOMM INC	05/11/09	03/15/10	178	8,138	6,905	(1,234)
QWEST COMM INTL INC COM	05/20/09	10/01/09	840	3,553	3,076	(477)
QWEST COMM INTL INC COM	05/20/09	01/25/10	360	1,523	1,558	35
QWEST COMM INTL INC COM	05/20/09	01/26/10	631	2,669	2,673	4
RAYTHEON CO DELAWARE NEW	05/20/09	05/29/09	92	4,050	4,050	-
RAYTHEON CO DELAWARE NEW	05/20/09	08/20/09	134	5,989	6,276	287
RAYTHEON CO DELAWARE NEW	05/20/09	10/01/09	47	2,101	2,195	94
REED ELSEVIER P L C	05/20/09	07/14/09	65	2,136	1,927	(209)
REED ELSEVIER P L C	05/20/09	08/13/09	124	4,075	3,575	(500)

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Security Description						
RIO TINTO PLC SPNSRD ADR	08/28/09	10/01/09	4	633	661	28
RIO TINTO PLC SPNSRD ADR	08/28/09	11/13/09	11	1,740	2,274	534
ROCHE HLDG LTD SPN ADR	05/20/09	08/13/09	61	2,003	2,355	352
ROCHE HLDG LTD SPN ADR	05/20/09	08/27/09	130	4,268	5,108	840
ROSS STORES INC COM	05/20/09	10/01/09	34	1,262	1,590	327
RWE AG SPONSORED ADR	05/20/09	09/09/09	30	2,491	2,720	228
RWE AG SPONSORED ADR	05/20/09	10/01/09	9	747	820	72
SAFEWAY INC NEW	12/03/08	10/01/09	25	531	490	(41)
SALESFORCE COM INC	05/20/09	10/01/09	15	626	830	204
SANDVIK AB ADR	05/20/09	10/01/09	113	918	1,189	271
SANDVIK AB ADR	05/20/09	10/19/09	337	2,736	3,916	1,180
SANDVIK AB ADR	05/20/09	01/11/10	115	934	1,470	536
SANDVIK AB ADR	01/12/10	03/09/10	38	471	441	(29)
SANDVIK AB ADR	05/20/09	03/09/10	227	1,843	2,637	794
SANOFI AVENTIS SPON ADR	04/23/09	06/16/09	75	1,940	2,411	471
SANOFI AVENTIS SPON ADR	12/18/08	06/16/09	140	4,602	4,500	(103)
SCHERING PLOUGH CORP	04/30/09	06/16/09	100	2,305	2,294	(11)
SCHERING PLOUGH CORP	04/15/09	06/16/09	75	1,743	1,721	(22)
SCHERING PLOUGH CORP	03/24/09	06/16/09	200	4,861	4,588	(273)
SEAGATE TECHNOLOGY	09/10/09	10/01/09	20	302	293	(9)
SEKISUI HSE LD SPONS ADR	05/20/09	09/03/09	288	2,788	2,615	(173)
SEKISUI HSE LD SPONS ADR	05/20/09	09/04/09	194	1,878	1,763	(115)
SOCIETE GENERAL SPN ADR	08/07/09	10/01/09	47	716	732	16
SOUTHERN COMPANY	05/20/09	10/01/09	61	1,708	1,939	231
ST JUDE MEDICAL INC	04/07/10	04/21/10	80	3,268	3,337	68
SUMITOMO MITSU FINL ADR	05/20/09	10/01/09	160	643	538	(106)
SUNOCO INC PV\$1 PA	05/20/09	10/01/09	13	387	363	(25)
SUNOCO INC PV\$1 PA	05/20/09	11/23/09	32	953	824	(129)
SUNOCO INC PV\$1 PA	05/20/09	11/24/09	49	1,460	1,250	(209)
SYSCO CORPORATION	05/20/09	06/15/09	63	1,494	1,446	(48)

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SYSCO CORPORATION	05/20/09	06/16/09	66	1,565	1,507	(58)
SYSCO CORPORATION	05/20/09	10/01/09	16	379	392	13
TELEFONICA SA SPAIN ADR	05/20/09	07/13/09	30	1,854	2,004	150
TELEFONICA SA SPAIN ADR	05/20/09	10/01/09	8	494	648	154
TELEFONICA SA SPAIN ADR	05/20/09	10/01/09	9	556	729	173
TELEFONICA SA SPAIN ADR	05/20/09	10/02/09	9	556	731	175
TELEFONICA SA SPAIN ADR	05/20/09	01/11/10	64	3,954	5,167	1,213
TESCO PLC SPNRD ADR	05/20/09	07/14/09	118	1,965	2,062	97
TESCO PLC SPNRD ADR	05/20/09	07/24/09	91	1,515	1,638	123
TESCO PLC SPNRD ADR	05/20/09	10/01/09	34	566	637	71
TESCO PLC SPNRD ADR	05/20/09	11/16/09	96	1,598	2,059	461
TESCO PLC SPNRD ADR	01/12/10	01/29/10	20	410	407	(3)
TESCO PLC SPNRD ADR	05/20/09	01/29/10	190	3,164	3,870	707
TEVA PHARMACTCL INDS ADR	01/13/09	06/16/09	89	3,777	4,281	504
TIME WARNER CABLE INC SHS	01/06/09	10/01/09	15	1,001	621	(379)
TIME WARNER CABLE INC SHS	01/12/10	02/16/10	9	378	411	33
TIME WARNER CABLE INC SHS	04/17/09	02/16/10	135	3,931	6,171	2,239
TIME WARNER INC SHS	03/10/09	10/01/09	85	651	2,495	1,844
TIMEWARNER CABLE INC	05/11/09	05/29/09	67	802	2,017	1,215
TOKIO MARINE HOLDINGS	05/20/09	06/02/09	56	1,674	1,622	(52)
TOKIO MARINE HOLDINGS	05/20/09	10/01/09	12	359	334	(24)
TRANSOCEAN LTD	10/08/09	03/29/10	11	1,010	916	(94)
TRANSOCEAN LTD	01/12/10	04/30/10	6	549	422	(127)
TRANSOCEAN LTD	10/08/09	04/30/10	39	3,579	2,743	(836)
TYCO INTL LTD NAMEN-AKT	05/20/09	08/20/09	259	7,026	8,120	1,094
TYCO INTL LTD NAMEN-AKT	05/20/09	10/01/09	23	624	778	154
UBS AG REG	05/20/09	10/01/09	40	604	710	107
UBS AG REG	05/20/09	10/15/09	108	1,630	2,031	401
UNILEVER NV NY REG SHS	05/20/09	06/01/09	183	4,394	4,502	108
UNILEVER NV NY REG SHS	05/20/09	10/01/09	117	2,809	3,339	530

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UNITED PARCEL SVC CL B	07/30/09	10/01/09	8	431	444	13
UNITED STS STL CORP NEW	07/21/09	10/01/09	18	722	768	46
UNITED STS STL CORP NEW	07/21/09	05/14/10	77	3,090	4,053	963
UNITEDHEALTH GROUP INC	05/20/09	10/01/09	65	1,776	1,626	(151)
UNITEDHEALTH GROUP INC	08/20/09	10/08/09	32	923	763	(160)
UNITEDHEALTH GROUP INC	06/04/09	10/08/09	97	2,652	2,312	(340)
UNITEDHEALTH GROUP INC	05/20/09	10/08/09	121	3,307	2,884	(423)
UNUM GROUP	04/27/09	10/01/09	50	764	1,041	277
UNUM GROUP	04/27/09	04/05/10	68	1,039	1,717	678
UNUM GROUP	04/27/09	04/06/10	40	611	1,025	413
US BANCORP (NEW)	05/20/09	10/01/09	53	1,032	1,135	102
VALE SA	05/20/09	10/01/09	28	556	630	74
VALE SA	05/20/09	10/22/09	54	1,072	1,454	381
VALE SA	05/20/09	11/25/09	57	1,132	1,668	536
VALE SA	08/19/09	01/05/10	74	1,459	2,249	790
VALE SA	05/20/09	01/05/10	38	755	1,155	400
VALERO ENERGY CORP NEW	05/20/09	10/01/09	36	803	694	(109)
VALERO ENERGY CORP NEW	05/20/09	11/23/09	72	1,606	1,178	(428)
VALERO ENERGY CORP NEW	05/20/09	11/24/09	119	2,655	1,907	(748)
VERIZON COMMUNICATNS COM	05/20/09	10/01/09	89	2,666	2,665	-
VERIZON COMMUNICATNS COM	05/20/09	10/14/09	167	5,002	4,853	(149)
VESTAS WIND SYTS AS ADR	05/20/09	06/17/09	160	4,157	3,723	(433)
VIACOM INC NEW CL B	12/18/08	10/01/09	103	1,756	2,816	1,060
VIVENDI SHS	05/20/09	09/10/09	243	6,374	6,786	413
VODAFONE GROU PLC SP ADR	04/30/09	02/10/10	128	2,358	2,768	410
VODAFONE GROU PLC SP ADR	01/12/10	02/19/10	39	872	855	(18)
VODAFONE GROU PLC SP ADR	05/20/09	02/19/10	58	1,086	1,271	185
VODAFONE GROU PLC SP ADR	04/30/09	02/19/10	92	1,695	2,016	322
VODAFONE GROU PLC NEW	04/30/09	09/23/09	94	1,768	2,219	451
VODAFONE GROU PLC NEW	04/30/09	10/01/09	36	663	810	147

The John, Marie and Joseph Whalen Foundation

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2009 Form 990-PF, Part IV Attachment

FY/E 5-31-10

	Acquisition Date	Liquidation Date	Quantity	Acquisition Cost	Liquidation Amount	Short-Term Gain/(Loss)
Security Description						
WAL-MART STORES INC	10/09/08	10/01/09	47	2,565	2,303	(262)
WEATHERFORD INTL LTD. REG.	01/12/10	02/16/10	23	445	349	(96)
WEATHERFORD INTL LTD. REG.	01/07/10	02/16/10	170	3,318	2,582	(736)
WELLPOINT INC	05/20/09	10/01/09	28	1,313	1,327	14
WELLS FARGO & CO NEW DEL	05/20/09	10/01/09	24	624	657	34
WPP PLC ADR	05/20/09	10/01/09	24	880	1,035	155
WPP PLC ADR	05/20/09	10/16/09	33	1,210	1,576	366
WPP PLC ADR	01/12/10	02/10/10	10	494	454	(40)
WPP PLC ADR	05/20/09	02/10/10	72	2,640	3,266	626
WYETH	12/03/08	06/16/09	55	1,846	2,433	587
XEROX CORP	05/20/09	07/07/09	335	2,311	2,062	(249)
XEROX CORP	05/20/09	08/20/09	229	1,580	1,889	309
XEROX CORP	05/20/09	10/01/09	176	1,214	1,315	100
XEROX CORP	05/20/09	05/14/10	627	4,326	6,277	1,951
XILINX INC	05/20/09	10/01/09	32	645	728	83
ZIMMER HOLDINGS INC COM	07/30/09	10/01/09	12	560	636	76
ZURICH FINL SVCS SPN ADR	05/20/09	09/09/09	117	2,165	2,590	426
ZURICH FINL SVCS SPN ADR	05/20/09	10/01/09	20	370	469	99
ZURICH FINL SVCS SPN ADR	05/20/09	12/10/09	174	3,219	3,715	496
Total Short-Term Amounts				944,675	1,047,784	103,121

Please Note: Merrill Lynch does not give tax or investment advice by the providing of this communication, and as such, this document has been produced by client request to provide a more detailed explanation of the data that appears on the client statement. Use and interpretation of this or any additional communication, in any way, is solely up to the individual receiving it, and Merrill Lynch does not assume any liability as a result of any misinterpretation; responsibility is solely up to the individual using this additional information. Your Merrill Lynch Account statement is the official record of holdings, activity and balances, and will always take precedent over any additionally provided information should a discrepancy arise.	

The John, Marie and Joseph Whalen Foundation							
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2009 Form 990-PF, Part IV Attachment							
F/Y/E 5-31-10							
	Security Description	Acquisition Date	Liquidation Date	Quantity	Acquisition Cost	Liquidation Amount	Long Term Gain/(Loss)
	ABBOTT LABS	02/21/08	07/15/09	4	220	180	(40)
	ABBOTT LABS	11/15/07	07/15/09	50	2,657	2,255	(402)
	ABBOTT LABS	02/21/08	10/01/09	6	330	294	(36)
	AMGEN INC COM PV \$0.0001	07/08/08	10/01/09	10	501	593	92
	AOL INC	01/07/09	02/16/10	9	150	216	66
	AOL INC	01/07/09	02/16/10	10	176	240	64
	AOL INC	12/11/08	02/16/10	1	22	24	2
	AOL INC	12/11/08	02/16/10	11	176	264	88
	APPLE INC	07/02/08	10/01/09	6	1,048	1,098	49
	ARCHER DANIELS MIDLD	01/14/09	04/05/10	172	4,174	4,921	746
	ARCHER DANIELS MIDLD	01/14/09	04/06/10	61	1,480	1,726	246
	AT& T INC	09/17/07	10/01/09	3	111	80	(31)
	AT& T INC	08/30/07	10/01/09	4	147	106	(41)
	AT& T INC	08/22/07	10/01/09	4	147	106	(41)
	AT& T INC	08/20/07	10/01/09	4	147	106	(41)
	AT& T INC	08/17/07	10/01/09	8	295	213	(82)
	AT& T INC	05/31/07	10/01/09	55	1,390	1,461	71
	AT& T INC	11/27/07	05/14/10	21	773	532	(241)
	AT& T INC	11/27/07	05/14/10	90	3,749	2,280	(1,469)
	AT& T INC	10/30/07	05/14/10	81	3,361	2,052	(1,309)
	BAXTER INTERNTL INC	02/03/09	02/16/10	56	3,354	3,176	(178)
	BAXTER INTERNTL INC	10/09/08	02/16/10	52	3,170	2,949	(221)
	BAXTER INTERNTL INC	10/09/08	02/16/10	24	1,463	1,361	(102)
	BRISTOL-MYERS SQUIBB CO	12/03/08	05/14/10	54	1,135	1,269	134
	CME GROUP INC	10/21/08	01/15/10	9	3,114	3,053	(61)
	CME GROUP INC	10/21/08	01/15/10	1	346	339	(7)
	COMPUTER SCIENCE CRP	05/20/09	05/24/10	20	748	984	236
	COMPUTER SCIENCE CRP	05/20/09	05/25/10	37	1,384	1,765	381
	CONOCOPHILLIPS	02/21/08	10/01/09	15	1,064	679	(385)
	DISNEY (WALT) CO COM STK	11/26/08	01/08/10	8	172	254	82

The John, Marie and Joseph Whalen Foundation						
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2009 Form 990-PF, Part IV Attachment						
F/Y/E 5-31-10						
	<u>Acquisition Date</u>	<u>Liquidation Date</u>	<u>Quantity</u>	<u>Acquisition Cost</u>	<u>Liquidation Amount</u>	<u>LongTerm Gain/(Loss)</u>
Security Description						
DISNEY (WALT) CO COM STK	10/17/08	01/08/10	80	1,929	2,540	612
EXXON MOBIL CORP COM	05/31/07	06/01/09	88	3,462	6,287	2,825
EXXON MOBIL CORP COM	05/04/07	06/01/09	9	765	643	(122)
EXXON MOBIL CORP COM	03/05/08	10/01/09	27	2,323	1,824	(499)
EXXON MOBIL CORP COM	02/21/08	10/01/09	10	850	676	(174)
EXXON MOBIL CORP COM	01/22/08	10/01/09	29	2,343	1,959	(384)
EXXON MOBIL CORP COM	08/17/07	10/01/09	8	662	540	(121)
FLUOR CORP NEW DEL COM	02/22/08	06/25/09	5	321	257	(64)
FLUOR CORP NEW DEL COM	11/19/07	06/25/09	20	1,339	1,027	(313)
GAP INC DELAWARE	02/10/09	02/16/10	21	244	412	168
GAP INC DELAWARE	05/31/07	02/16/10	200	3,968	3,922	(46)
GENERAL MILLS	11/05/08	05/14/10	40	2,695	2,909	215
GENERAL MILLS	01/21/09	05/14/10	7	420	509	89
GOOGLE INC CL A	01/06/09	01/15/10	2	667	1,166	499
GOOGLE INC CL A	01/06/09	05/19/10	7	2,336	3,449	1,113
HEWLETT PACKARD CO DEL	06/06/08	06/18/09	100	4,791	3,721	(1,069)
HEWLETT PACKARD CO DEL	05/02/08	06/18/09	18	865	670	(195)
INTEL CORP	09/24/08	10/01/09	113	2,116	2,164	48
INTEL CORP	09/24/08	10/14/09	62	1,161	1,295	133
J C PENNEY CO COM	01/06/09	01/27/10	105	2,281	2,619	339
JPMORGAN CHASE & CO	01/03/08	10/01/09	40	1,682	1,698	16
JPMORGAN CHASE & CO	11/27/07	10/01/09	50	2,102	2,122	20
JPMORGAN CHASE & CO	09/24/08	04/07/10	25	1,027	1,137	110
JPMORGAN CHASE & CO	03/05/08	04/07/10	10	460	455	(5)
MEDCO HEALTH SOLUTIONS I	08/21/07	06/04/09	23	977	1,032	55
MEDCO HEALTH SOLUTIONS I	11/15/07	10/01/09	31	1,498	1,695	197
MEDCO HEALTH SOLUTIONS I	08/21/07	10/01/09	2	85	109	24
MEDCO HEALTH SOLUTIONS I	11/15/07	02/24/10	19	918	1,182	264
MEDCO HEALTH SOLUTIONS I	11/15/07	02/24/10	5	242	311	69
MEDCO HEALTH SOLUTIONS I	02/21/08	02/24/10	19	970	1,182	212

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F/Y/E 5-31-10						
	<u>Acquisition Date</u>	<u>Liquidation Date</u>	<u>Quantity</u>	<u>Acquisition Cost</u>	<u>Liquidation Amount</u>	<u>Long Term Gain/(Loss)</u>
MEDCO HEALTH SOLUTIONS I	03/17/08	02/24/10	50	2,127	3,111	983
MEDCO HEALTH SOLUTIONS I	03/17/08	02/24/10	7	298	435	137
METLIFE INC COM	01/14/09	02/12/10	105	2,894	3,562	669
MORGAN STANLEY	02/15/08	10/01/09	15	635	455	(181)
MORGAN STANLEY	02/14/08	10/01/09	11	468	333	(135)
MORGAN STANLEY	08/20/07	10/01/09	40	2,484	1,212	(1,272)
MORGAN STANLEY	10/08/08	03/29/10	77	5,254	2,250	(3,004)
NVIDIA	09/04/08	10/01/09	24	276	341	66
NVIDIA	09/16/08	04/30/10	210	1,886	3,383	1,497
PFIZER INC DEL PV\$0.05	05/31/07	06/16/09	1,435	46,252	20,663	(25,588)
PFIZER INC DEL PV\$0.05	07/05/07	06/16/09	11	226	158	(68)
PHILIP MORRIS INTL INC	12/04/07	10/01/09	13	606	627	21
PHILIP MORRIS INTL INC	12/04/07	10/01/09	9	419	434	15
PHILIP MORRIS INTL INC	12/04/07	12/16/09	48	2,237	2,407	170
QUALCOMM INC	01/06/09	05/10/10	41	1,513	1,528	14
SCHERING PLOUGH CORP	02/21/08	06/16/09	38	751	872	121
SCHERING PLOUGH CORP	04/28/08	06/16/09	137	2,566	3,143	577
SCHLUMBERGER LTD	08/20/07	06/18/09	53	4,683	2,951	(1,732)
SCHLUMBERGER LTD	08/20/07	10/01/09	12	1,060	696	(364)
SCHLUMBERGER LTD	08/20/07	10/08/09	20	1,767	1,247	(520)
SCHLUMBERGER LTD	08/20/07	10/08/09	56	4,948	3,491	(1,457)
TIME WARNER INC SHS	12/11/08	01/07/10	119	2,507	3,420	913
TOTAL S.A. SP ADR	02/21/08	06/16/09	16	1,146	881	(265)
TRAVELERS COS INC	05/31/07	09/08/09	37	1,594	1,818	223
TRAVELERS COS INC	05/31/07	10/01/09	83	3,576	4,103	527
TRAVELERS COS INC	02/21/08	10/01/09	4	191	198	7
TRAVELERS COS INC	11/20/07	10/01/09	6	308	297	(12)
TRAVELERS COS INC	11/26/07	04/26/10	4	205	209	4
TRAVELERS COS INC	11/20/07	04/26/10	44	2,260	2,297	37
TRAVELERS COS INC	05/04/07	09/08/09	13	639	639	-

EMASM Fiscal Statement

THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Cash and Money Funds							
134,378	CASH CMA MONEY FUND		1.06 134,378.00	1.06 134,378.00			53.75
	Total Cash and Money Funds		134,379.06	134,379.06			53.75
Government Securities							
125,000	FNMA P725027 05% 2033 AMORTIZED FACTOR 0.447619090 AMORTIZED VALUE 55,952	05/20/09	58,103.06	58,950.70	847.64	210.00	2,798.00
35,000	FNMA P725027 05% 2033 AMORTIZED VALUE 15,666	10/07/09	16,391.25	16,506.19	114.94	58.80	784.00
25,000	FNMA P725027 05% 2033 AMORTIZED VALUE 11,190	01/12/10	11,645.09	11,790.14	145.05	42.00	560.00
101,000	FNMA PAC8512 04 50%2039 AMORTIZED FACTOR 0.986730270 AMORTIZED VALUE 99,659	01/26/10	100,983.37	101,878.68	895.31	336.33	4,485.00
11,000	FEDERAL HOME LN MTG CORP GLOBAL NOTES 04.500% JUL 15 2013	05/20/09	11,776.89	11,996.93	220.04	182.88	495.00
20,000	FEDERAL HOME LN MTG CORP ORIGINAL UNIT/TOTAL COST 109.4612/21,892.24	10/07/09	21,586.90	21,812.60	225.70	332.50	900.00
18,000	FEDERAL HOME LN MTG CORP ORIGINAL UNIT/TOTAL COST 108.7382/19,572.89	01/12/10	19,412.43	19,631.34	218.91	299.25	810.00

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THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Government Securities							
33,000	FEDERAL NATL MTG ASSOC NOTES 05.375% JUL 15 2016	05/20/09	36,837.23	37,682.04	844.81	655.30	1,774.00
41,000	FEDERAL NATL MTG ASSOC NOTES 01.000% APR 04 2012	03/25/10	40,847.85	41,051.25	203.40	61.50	410.00
12,000	U.S. TREASURY NOTE 1.000% DEC 31 2011 CUSIP: 912828ML1	01/06/10	11,988.79	12,060.48	71.69	49.06	120.00
17,000	U.S. TREASURY NOTE 3.625% FEB 15 2020 CUSIP: 912828MP2	03/25/10	16,685.30	17,436.90	751.60	173.64	617.00
20,000	U.S. TREASURY BOND 4.500% MAY 15 2038 CUSIP: 912810PX0	05/20/09	21,164.05	20,965.60	(198.45)	31.79	900.00
14,000	U.S. TREASURY BOND ORIGINAL UNIT/TOTAL COST. 102.6058/14,364.82	10/29/09	14,361.00	14,675.92	314.92	22.26	630.00
6,000	U.S. TREASURY BOND	01/12/10	5,897.37	6,289.68	392.31	9.54	270.00
15,000	U.S. TRSY INFLATION NOTE 2.375% JAN 15 2025 INFL ADJ PRIN 17,309	05/20/09	17,681.94	18,887.33	1,205.39	130.89	412.00
5,000	U.S. TRSY INFLATION NOTE INFL ADJ PRIN 5,769 ORIGINAL UNIT/TOTAL COST	01/12/10	6,148.93	6,295.77	146.84	43.63	138.00

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 Statement Period Year Ending 05/31/10
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EMASM Fiscal Statement

THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Government Securities							
13,000	U.S. TREASURY NOTE 4.375% AUG 15 2012 04.375% AUG 15 2012	05/03/10	13,938.41	14,010.49	72.08	160.26	569.00
12,000	U.S. TREASURY BOND 4.375% NOV 15 2039 CUSIP: 912810QD3	01/06/10	11,437.55	12,300.00	862.45	18.55	525.00
34,000	U.S. TREASURY NOTE 3.125% MAY 15 2019 CUSIP: 912828KQ2	06/19/09	32,180.48	33,686.52	1,506.04	37.53	1,063.00
17,000	U.S. TREASURY NOTE	10/29/09	16,486.75	16,843.26	356.51	18.77	532.00
15,000	U S TREASURY NOTE	01/12/10	14,356.70	14,861.70	505.00	16.56	469.00
20,000	U.S. TREASURY NOTE 5.125% MAY 15 2016 CUSIP: 912828FF2	10/07/09	22,736.15	22,975.00	238.85	36.21	1,025.00
10,000	U.S. TREASURY BOND 4.750% FEB 15 2037 04.750% FEB 15 2037	05/20/09	10,960.95	10,928.10	(32.85)	133.84	475.00
5,000	U.S. TREASURY BOND ORIGINAL UNIT/TOTAL COST: 102.5356/5,126.78	01/12/10	5,125.88	5,464.05	338.17	66.92	238.00
5,000	U.S. TREASURY NOTE 4.500% APR 30 2012 CUSIP: 912828GQ7	05/20/09	5,309.96	5,359.55	49.59	17.12	225.00

THE JOHN MARIE AND JOSEPH

EMASM Fiscal Statement

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
Government Securities							
10,000	U.S. TREASURY NOTE ORIGINAL UNIT/TOTAL COST 108.5003/10.850.03	10/07/09	10,644.35	10,719.10	74.75	34.24	450.00
10,000	U.S. TREASURY NOTE ORIGINAL UNIT/TOTAL COST. 107.7113/10.771 13	01/12/10	10,649.31	10,719.10	69.79	34.24	450.00
12,000	U.S. TREASURY NOTE ORIGINAL UNIT/TOTAL COST 107.0276/12.843.32	03/25/10	12,778.48	12,862.92	84.44	41.09	540.00
13,000	U.S. TREASURY NOTE 2.750% FEB 15 2019 CUSIP: 912828KD1	05/20/09	12,511.54	12,576.46	64.92	100.73	358.00
10,000	U.S. TREASURY NOTE	01/12/10	9,308.63	9,674.20	365.57	77.49	275.00
9,000	U.S. TREASURY NOTE	05/03/10	8,457.57	8,706.78	249.21	69.74	248.00
20,000	U.S. TREASURY NOTE 2.875% JUN 30 2010 CUSIP: 912828JC5	05/20/09	20,043.99	20,043.00	(0.99)	235.08	575.00
36,000	U.S. TREASURY NOTE 1.000% SEP 30 2011 CUSIP: 912828LW8	10/29/09	36,031.66	36,209.52	177.86	57.05	360.00
25,000	U.S. TREASURY BOND 06.250% AUG 15 2023 CUSIP: 912810EQ7	05/20/09	30,942.28	31,406.25	463.97	440.26	1,563.00

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THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Accrued Interest	Est Annual Income
138,961	CASH CMA MONEY FUND		164.78 138,961.00	164.78 138,961.00			55.58
	Total Cash and Money Funds		139,125.78	139,125.78			55.58

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
97	ABBOTT LABS	05/20/09	4,205.93	4,613.32	407.39	171.00
22	ABBOTT LABS	08/12/09	972.16	1,046.32	74.16	39.00
11	ABBOTT LABS	10/08/09	550.21	523.16	(27.05)	20.00
13	ABBOTT LABS	01/12/10	720.72	618.28	(102.44)	23.00
342	ABB LTD SPON ADR	05/07/10	6,088.08	5,817.42	(270.66)	
399	AXA -SPONS ADR	05/10/10	7,408.43	6,649.77	(758.66)	234.00
47	AMAZON COM INC COM	05/20/09	3,716.76	5,896.62	2,179.86	
5	AMAZON COM INC COM	01/12/10	642.20	627.30	(14.90)	
4	AMAZON COM INC COM	03/29/10	541.03	501.84	(39.19)	

EMASM Fiscal Statement

THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
405	ALCOA INC	05/20/09	4,073.01	4,714.20	641.19	49.00
87	ALCOA INC	01/12/10	1,383.30	1,012.68	(370.62)	11.00
354	ALCOA INC	05/14/10	4,370.34	4,120.56	(249.78)	43.00
144	AETNA INC NEW	08/12/09	3,989.79	4,199.04	209.25	6.00
25	AETNA INC NEW	01/12/10	800.25	729.00	(71.25)	1.00
172	AES CORP	09/21/09	2,474.07	1,766.44	(707.63)	
270	AES CORP	09/22/09	4,057.10	2,772.90	(1,284.20)	
172	AES CORP	09/23/09	2,594.83	1,766.44	(828.39)	
61	AES CORP	01/12/10	843.02	626.47	(216.55)	
129	AT& T INC	11/27/07	4,753.65	3,134.70	(1,618.95)	217.00
100	AT& T INC	01/19/08	3,819.74	2,430.00	(1,389.74)	168.00
65	AT& T INC	02/21/08	2,395.25	1,579.50	(815.75)	110.00
100	AT& T INC	04/15/09	2,548.58	2,430.00	(118.58)	168.00
52	AT& T INC	01/12/10	1,406.60	1,263.60	(143.00)	88.00
99	ARCELORMITTAL SA, LUXEMBOURG	05/20/09	3,032.21	3,001.68	(30.53)	64.00
15	ARCELORMITTAL SA, LUXEMBOURG	01/12/10	703.20	454.80	(248.40)	10.00



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THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
21	AMGEN INC COM PV \$0.0001	01/06/09	1,245.72	1,087.38	(158.34)	
45	AMGEN INC COM PV \$0.0001	01/06/09	2,669.40	2,330.10	(339.30)	
35	AMGEN INC COM PV \$0.0001	03/20/09	1,721.39	1,812.30	90.91	
73	AMGEN INC COM PV \$0.0001	06/18/09	3,884.41	3,779.94	(104.47)	
36	AMGEN INC COM PV \$0.0001	07/15/09	2,081.01	1,864.08	(216.93)	
24	AMGEN INC COM PV \$0.0001	08/12/09	1,495.20	1,242.72	(252.48)	
33	AMGEN INC COM PV \$0.0001	01/12/10	1,850.31	1,708.74	(141.57)	
42	ANADARKO PETE CORP	05/29/09	2,007.69	2,197.86	190.17	16.00
103	ANADARKO PETE CORP	07/20/09	4,851.87	5,389.99	538.12	38.00
45	ANADARKO PETE CORP	11/05/09	2,958.36	2,354.85	(603.51)	17.00
26	ANADARKO PETE CORP	01/12/10	1,689.74	1,360.58	(329.16)	10.00
45	APPLE INC	05/11/09	4,517.55	11,559.60	7,042.05	
13	APPLE INC	06/04/09	1,865.50	3,339.44	1,473.94	
7	APPLE INC	01/12/10	1,464.47	1,798.16	333.69	
6	APPLE INC	03/15/10	1,332.70	1,541.28	208.58	
7	APPLE INC	05/03/10	1,862.03	1,798.16	(63.87)	
8	APPLE INC	05/04/10	2,073.75	2,055.04	(18.71)	

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CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
5	APPLE INC	05/05/10	1,270.17	1,284.40	14.23	
83	AVON PROD INC	06/18/09	2,151.77	2,198.67	46.90	74.00
49	AVON PROD INC	06/25/09	1,288.08	1,298.01	9.93	44.00
7	AVON PROD INC	01/12/10	221.48	185.43	(36.05)	7.00
69	BHP BILLITON PLC SP ADR	05/20/09	3,217.48	3,787.41	569.93	115.00
11	BHP BILLITON PLC SP ADR	01/12/10	734.14	603.79	(130.35)	19.00
230	BANCO BILBAO VIZCAYA ARGENTARIA S A ADR	05/20/09	2,761.71	2,392.00	(369.71)	111.00
24	BANCO BILBAO VIZCAYA ARGENTARIA S A ADR	01/12/10	453.60	249.60	(204.00)	12.00
245	BANCO SANTANDER SA ADR	05/20/09	2,481.86	2,486.75	4.89	207.00
2	BANCO SANTANDER SA ADR	11/10/09	42.84	20.30	(22.54)	2.00
29	BANCO SANTANDER SA ADR	01/12/10	496.48	294.35	(202.13)	25.00
133	BANCO SANTANDER SA ADR	02/19/10	1,786.39	1,349.95	(436.44)	113.00
119	BMC SOFTWARE INC	05/20/09	4,219.44	4,404.19	184.75	
42	BMC SOFTWARE INC	08/17/09	1,460.58	1,554.42	93.84	
27	BMC SOFTWARE INC	08/18/09	939.02	999.27	60.25	
21	BMC SOFTWARE INC	01/12/10	832.86	777.21	(55.65)	

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CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
125	BRITISH AMN TOBACO SPADR	05/20/09	6,514.97	7,318.75	803.78	377.00
17	BRITISH AMN TOBACO SPADR	01/12/10	1,112.82	995.35	(117.47)	52.00
95	BROADCOM CORP CALIF CL A	05/20/09	2,139.15	3,277.50	1,138.35	31.00
12	BROADCOM CORP CALIF CL A	01/12/10	361.80	414.00	52.20	4.00
63	BARCLAYS PLC ADR	07/23/09	1,320.26	1,110.06	(210.20)	14.00
63	BARCLAYS PLC ADR	07/24/09	1,300.87	1,110.06	(190.81)	14.00
77	BARCLAYS PLC ADR	10/15/09	1,928.87	1,356.74	(572.13)	17.00
43	BG GROUP PLC SPON ADR	05/20/09	3,675.22	3,298.53	(376.69)	41.00
23	BG GROUP PLC SPON ADR	08/13/09	1,978.00	1,764.33	(213.67)	22.00
7	BG GROUP PLC SPON ADR	01/12/10	700.00	536.97	(163.03)	7.00
1	BG GROUP PLC SPON ADR	03/15/10	88.33	76.71	(11.62)	1.00
20	BG GROUP PLC SPON ADR	03/16/10	1,785.00	1,534.20	(250.80)	19.00
20	BAIDU INC SPON ADR	11/05/09	789.91	1,464.20	674.29	
10	BAIDU INC SPON ADR	01/12/10	393.00	732.10	339.10	
30	BAIDU INC SPON ADR	01/15/10	1,395.78	2,196.30	800.52	
292	BANK NEW YORK MELLON CORP	05/20/09	8,246.08	7,942.40	(303.68)	106.00

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
27	BANK NEW YORK MELLON CORP	01/12/10	790.02	734.40	(55.62)	10.00
92	BRIDGESTONE CORP ADR	06/17/09	2,690.35	2,967.00	276.65	26.00
31	BRIDGESTONE CORP ADR	10/23/09	1,073.50	999.75	(73.75)	9.00
27	BRIDGESTONE CORP ADR	01/12/10	913.95	870.75	(43.20)	8.00
22	BRISTOL-MYERS SQUIBB CO	12/03/08	462.44	510.62	48.18	29.00
759	BRISTOL-MYERS SQUIBB CO	05/20/09	15,612.33	17,616.39	2,004.06	972.00
86	BRISTOL-MYERS SQUIBB CO	01/12/10	2,140.54	1,996.06	(144.48)	111.00
294	COMCAST CORP NEW CL A	12/16/09	5,156.44	5,318.46	162.02	112.00
36	COMCAST CORP NEW CL A	01/12/10	597.96	651.24	53.28	14.00
412	COMCAST CRP NEW CL A SPL	01/07/10	6,695.25	7,094.64	399.39	156.00
47	COMCAST CRP NEW CL A SPL	01/12/10	748.24	809.34	61.10	18.00
91	CARDINAL HEALTH INC OHIO	03/01/10	3,174.11	3,138.59	(35.52)	71.00
90	CARDINAL HEALTH INC OHIO	03/02/10	3,197.17	3,104.10	(93.07)	71.00
59	CARDINAL HEALTH INC OHIO	03/03/10	2,084.68	2,034.91	(49.77)	47.00
34	CARDINAL HEALTH INC OHIO	04/05/10	1,236.98	1,172.66	(64.32)	27.00
27	CARDINAL HEALTH INC OHIO	04/06/10	974.51	931.23	(43.28)	22.00

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THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
12	CARDINAL HEALTH INC OHIO	04/07/10	428.75	413.88	(14.87)	10.00
72	CAPITAL ONE FINL	03/29/10	3,058.78	2,973.60	(85.18)	15.00
66	CAPITAL ONE FINL	03/30/10	2,788.59	2,725.80	(62.79)	14.00
52	CAPITAL ONE FINL	04/05/10	2,219.47	2,147.60	(71.87)	11.00
64	CAPITAL ONE FINL	04/06/10	2,758.84	2,643.20	(115.64)	13.00
27	CAPITAL ONE FINL	04/07/10	1,167.85	1,115.10	(52.75)	6.00
58	COVANCE INC	02/24/10	3,300.98	3,060.08	(240.90)	
63	CREDIT SUISSE GP SP ADR	05/20/09	2,722.24	2,437.47	(284.77)	76.00
29	CREDIT SUISSE GP SP ADR	10/15/09	1,706.80	1,122.01	(584.79)	35.00
12	CREDIT SUISSE GP SP ADR	01/12/10	642.96	464.28	(178.68)	15.00
44	CREDIT SUISSE GP SP ADR	02/18/10	1,954.94	1,702.36	(252.58)	53.00
1,305	CITIGROUP INC	10/14/09	6,459.75	5,167.80	(1,291.95)	
117	CITIGROUP INC	01/12/10	415.35	463.32	47.97	
719	CITIGROUP INC	02/16/10	2,372.48	2,847.24	474.76	
66	CHECK POINT SOFTWARE TECH	05/20/09	1,582.58	2,024.22	441.64	
58	CHECK POINT SOFTWARE TECH	08/28/09	1,624.11	1,778.86	154.75	
32	CHECK POINT SOFTWARE TECH	01/12/10	1,081.28	981.44	(99.84)	

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CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
22	CHEVRON CORP	05/04/07	1,830.62	1,625.14	(205.48)	64.00
145	CHEVRON CORP	05/31/07	5,792.10	10,711.15	4,919.05	418.00
2	CHEVRON CORP	07/03/07	166.42	147.74	(18.68)	6.00
9	CHEVRON CORP	02/21/08	748.89	664.83	(84.06)	26.00
52	CHEVRON CORP	08/04/08	4,382.50	3,841.24	(541.26)	150.00
58	CHEVRON CORP	01/06/09	4,500.80	4,284.46	(216.34)	168.00
23	CHEVRON CORP	03/25/09	1,591.14	1,699.01	107.87	67.00
25	CHEVRON CORP	04/13/09	1,690.92	1,846.75	155.83	72.00
38	CHEVRON CORP	01/12/10	3,051.02	2,807.06	(243.96)	110.00
42	CHEVRON CORP	02/16/10	3,051.71	3,102.54	50.83	121.00
108	CONOCOPHILLIPS	02/21/08	8,081.64 6,899.51	5,600.88	(2,480.76)	238.00
17	CONOCOPHILLIPS	01/12/10	895.90	881.62	(14.28)	38.00
44	CONOCOPHILLIPS	02/16/10	2,186.11	2,281.84	95.73	97.00
46	CONOCOPHILLIPS	02/17/10	2,272.41	2,385.56	113.15	102.00
23	CONOCOPHILLIPS	02/18/10	1,123.20	1,192.78	69.58	51.00
184	CARMAX INC	05/20/09	1,994.09	3,998.32	2,004.23	
15	CARMAX INC	01/12/10	352.50	325.95	(26.55)	

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CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
201	CBS CORP NEW CL B	08/12/09	2,169.90	2,926.56	756.66	41.00
198	CBS CORP NEW CL B	09/10/09	2,215.72	2,882.88	667.16	40.00
118	CBS CORP NEW CL B	01/12/10	1,618.90	1,718.08	99.18	24.00
461	CA INC	05/20/09	8,320.36	9,335.25	1,014.89	74.00
56	CA INC	01/12/10	1,274.00	1,134.00	(140.00)	9.00
33	CERNER CORP COM	10/08/09	2,655.02	2,762.43	107.41	
3	CERNER CORP COM	01/12/10	265.14	251.13	(14.01)	
96	COVIDIEN PLC SHS	05/20/09	3,427.11	4,069.44	642.33	70.00
92	COVIDIEN PLC SHS	06/04/09	3,275.87	3,899.88	624.01	67.00
22	COVIDIEN PLC SHS	01/12/10	1,079.32	932.58	(146.74)	16.00
111	CHUBB CORP	05/20/09	4,324.46	5,576.64	1,252.18	165.00
23	CHUBB CORP	01/12/10	1,145.40	1,155.52	10.12	35.00
113	CISCO SYSTEMS INC COM	03/23/09	1,866.76	2,617.08	750.32	
47	CISCO SYSTEMS INC COM	06/04/09	927.44	1,088.52	161.08	
34	CISCO SYSTEMS INC COM	01/12/10	829.26	787.44	(41.82)	
47	CISCO SYSTEMS INC COM	05/10/10	1,226.07	1,088.52	(137.55)	
8	COCA COLA COM	02/21/08	491.24	411.20	(80.04)	15.00

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CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
69	COCA COLA COM	01/06/09	3,115.35	3,546.60	431.25	122.00
74	COCA COLA COM	05/20/09	3,450.62	3,803.60	352.98	131.00
14	COCA COLA COM	01/12/10	795.90	719.60	(76.30)	25.00
107	COCA COLA ENTERPRISES	06/15/09	1,821.05	2,792.70	971.65	39.00
135	COCA COLA ENTERPRISES	06/16/09	2,347.53	3,523.50	1,175.97	49.00
24	COCA COLA ENTERPRISES	01/12/10	508.32	626.40	118.08	9.00
106	COMPUTER SCIENCE CRP	05/20/09	3,964.61	5,298.94	1,334.33	64.00
20	COMPUTER SCIENCE CRP	01/12/10	1,125.80	999.80	(126.00)	12.00
12	CONAGRA FOODS INC	06/22/09	227.93	290.16	62.23	10.00
156	CONAGRA FOODS INC	06/23/09	3,080.86	3,772.08	691.22	125.00
70	CONAGRA FOODS INC	06/24/09	1,397.12	1,692.60	295.48	56.00
26	CONAGRA FOODS INC	01/12/10	612.04	628.68	16.64	21.00
55	CUMMINS INC COM	02/12/10	3,037.56	3,738.90	701.34	39.00
35	CUMMINS INC COM	03/15/10	2,086.97	2,379.30	292.33	25.00
37	DARDEN RESTAURANTS INC	05/20/09	1,341.98	1,587.30	245.32	37.00
65	DARDEN RESTAURANTS INC	06/15/09	2,182.49	2,788.50	606.01	65.00
18	DARDEN RESTAURANTS INC	01/12/10	614.52	772.20	157.68	18.00

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
43	DANAHER CORP DEL COM	03/09/09	2,107.00	3,413.34	1,306.34	7.00
40	DANAHER CORP DEL COM	03/31/09	2,179.11	3,175.20	996.09	7.00
29	DANAHER CORP DEL COM	05/20/09	1,756.53	2,302.02	545.49	5.00
10	DANAHER CORP DEL COM	01/12/10	776.40	793.80	17.40	2.00
127	DAIMLER A	05/20/09	4,637.70	6,247.13	1,609.43	102.00
37	DAIMLER A	06/01/09	1,473.48	1,820.03	346.55	30.00
21	DAIMLER A	01/12/10	1,106.70	1,032.99	(73.71)	17.00
14	DAIMLER A	04/08/10	662.65	688.66	26.01	12.00
25	DAIMLER A	04/09/10	1,189.23	1,229.75	40.52	20.00
113	DEVON ENERGY CORP NEW	05/14/10	7,459.72	7,215.05	(244.67)	73.00
202	DOMINION RES INC NEW VA	05/20/09	6,362.56	7,869.92	1,507.36	370.00
20	DOMINION RES INC NEW VA	01/12/10	783.80	779.20	(4.60)	37.00
206	DEUTSCHE LUFT AG SPN ADR	09/03/09	3,184.70	2,770.70	(414.00)	442.00
25	DEUTSCHE LUFT AG SPN ADR	01/12/10	455.25	336.25	(119.00)	54.00
130	DEUTSCHE LUFT AG SPN ADR	05/06/10	1,974.09	1,748.50	(225.59)	279.00
459	DELTA AIR LINES INC	05/20/09	3,138.09	6,233.22	3,095.13	
30	DELTA AIR LINES INC	01/12/10	379.80	407.40	27.60	

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CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
126	DEERE CO	05/20/09	5,777.98	7,267.68	1,489.70	152.00
14	DEERE CO	01/12/10	810.61	807.52	(3.09)	17.00
80	DISNEY (WALT) CO COM STK	10/17/08	1,928.68	2,673.60	744.92	28.00
65	DISNEY (WALT) CO COM STK	11/26/08	1,395.60	2,172.30	776.70	23.00
170	DISNEY (WALT) CO COM STK	12/18/08	3,978.00	5,681.40	1,703.40	60.00
39	DISNEY (WALT) CO COM STK	01/12/10	1,208.61	1,303.38	94.77	14.00
153	DOVER CORP	05/20/09	4,955.67	6,868.17	1,912.50	160.00
15	DOVER CORP	01/12/10	681.30	673.35	(7.95)	16.00
290	DU PONT E I DE NEMOURS	05/20/09	8,362.56	10,489.30	2,126.74	476.00
19	DU PONT E I DE NEMOURS	01/12/10	655.12	687.23	32.11	32.00
66	DU PONT E I DE NEMOURS	05/14/10	2,485.51	2,387.22	(98.29)	109.00
62	EXPRESS SCRIPTS INC COM	11/23/09	5,423.48	6,237.20	813.72	
6	EXPRESS SCRIPTS INC COM	01/12/10	538.56	603.60	65.04	
36	EATON CORP	02/08/10	2,254.56	2,518.20	263.64	72.00
48	EATON CORP	02/09/10	3,053.99	3,357.60	303.61	96.00
8	EATON CORP	02/10/10	509.15	559.60	50.45	16.00
20	EATON CORP	04/05/10	1,539.93	1,399.00	(140.93)	40.00

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
10	EATON CORP	04/06/10	771.76	699.50	(72.26)	20.00
5	EATON CORP	04/07/10	391.50	349.75	(41.75)	10.00
339	EXXON MOBIL CORP COM	05/20/09	24,166.69	20,495.94	(3,670.75)	597.00
49	EXXON MOBIL CORP COM	05/20/09	3,493.11	2,962.54	(530.57)	87.00
41	EXXON MOBIL CORP COM	01/12/10	2,865.08	2,478.86	(386.22)	73.00
89	EXXON MOBIL CORP COM	05/14/10	5,646.06	5,380.94	(265.12)	157.00
59	EOG RESOURCES INC	02/24/10	5,469.94	6,185.56	715.62	37.00
112	FRESENIUS MEDICAL CARE AG & CO SPON ADR	05/20/09	4,693.83	5,556.32	862.49	60.00
18	FRESENIUS MEDICAL CARE AG & CO SPON ADR	01/12/10	956.34	892.98	(63.36)	10.00
62	FREERT-MCMRAN CPR & GLD	05/20/09	3,188.67	4,343.10	1,154.43	38.00
7	FREERT-MCMRAN CPR & GLD	01/12/10	595.28	490.35	(104.93)	5.00
38	FREERT-MCMRAN CPR & GLD	04/12/10	3,233.18	2,661.90	(571.28)	23.00
44	FREERT-MCMRAN CPR & GLD	04/13/10	3,711.57	3,082.20	(629.37)	27.00
16	FREERT-MCMRAN CPR & GLD	04/14/10	1,368.00	1,120.80	(247.20)	10.00
38	FREERT-MCMRAN CPR & GLD	04/26/10	3,075.73	2,661.90	(413.83)	23.00
138	FLUOR CORP NEW DEL COM	01/07/10	6,695.55	6,474.96	(220.59)	69.00

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
17	FLUOR CORP NEW DEL COM	01/12/10	829.77	797.64	(32.13)	9.00
63	FLUOR CORP NEW DEL COM	05/14/10	3,227.05	2,955.96	(271.09)	32.00
9	FLOWSERVE CORP	09/08/09	820.34	855.90	35.56	11.00
16	FLOWSERVE CORP	09/09/09	1,488.50	1,521.60	33.10	19.00
17	FLOWSERVE CORP	09/10/09	1,612.08	1,616.70	4.62	20.00
4	FLOWSERVE CORP	09/11/09	383.10	380.40	(2.70)	5.00
7	FLOWSERVE CORP	01/12/10	742.91	665.70	(77.21)	9.00
51	F5 NETWORKS INC COM	04/30/10	3,598.31	3,586.83	(11.48)	
185	FOCUS MEDIA HLDG LTD ADR	01/25/10	3,058.33	2,902.65	(155.68)	
36	FOCUS MEDIA HLDG LTD ADR	01/26/10	573.58	564.84	(8.74)	
60	FOCUS MEDIA HLDG LTD ADR	03/15/10	1,003.49	941.40	(62.09)	
191	FOREST LABS INC	05/20/09	4,537.67	4,943.08	405.41	
39	FOREST LABS INC	01/12/10	1,205.10	1,009.32	(195.78)	
222	GAP INC DELAWARE	08/20/09	4,172.09	4,839.60	667.51	89.00
101	GAP INC DELAWARE	10/26/09	2,271.28	2,201.80	(69.48)	41.00
92	GAP INC DELAWARE	01/12/10	1,820.68	2,005.60	184.92	37.00
12	GOLDMAN SACHS GROUP INC	09/08/09	1,996.32	1,731.12	(265.20)	17.00

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Equities						
9	GOLDMAN SACHS GROUP INC	01/12/10	1,522.26	1,298.34	(223.92)	13.00
24	GOLDMAN SACHS GROUP INC	02/12/10	3,651.37	3,462.24	(189.13)	34.00
16	GOLDMAN SACHS GROUP INC	04/26/10	2,449.46	2,308.16	(141.30)	23.00
561	GENERAL ELECTRIC	10/14/09	9,407.91	9,172.35	(235.56)	225.00
60	GENERAL ELECTRIC	01/12/10	1,005.00	981.00	(24.00)	24.00
261	GENERAL ELECTRIC	02/16/10	4,175.01	4,267.35	92.34	105.00
49	GARMIN LTD (KAYMAN IS)	08/31/09	1,591.45	1,645.42	53.97	74.00
96	GARMIN LTD (KAYMAN IS)	09/01/09	3,122.31	3,223.68	101.37	144.00
56	GARMIN LTD (KAYMAN IS)	09/02/09	1,771.89	1,880.48	108.59	84.00
22	GARMIN LTD (KAYMAN IS)	01/12/10	745.34	738.76	(6.58)	33.00
180	GENERAL MILLS	05/20/09	9,445.54	12,821.40	3,375.86	353.00
24	GENERAL MILLS	01/12/10	1,707.12	1,709.52	2.40	48.00
8	GOOGLE INC CL A	01/06/09	2,669.68	3,885.04	1,215.36	
5	GOOGLE INC CL A	08/12/09	2,303.69	2,428.15	124.46	
2	GOOGLE INC CL A	01/12/10	1,188.72	971.26	(217.46)	
3	GOOGLE INC CL A	03/29/10	1,687.44	1,456.89	(230.55)	
130	G4S PLC SHS	10/30/09	2,754.27	2,496.00	(258.27)	69.00

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Equities						
121	G4S PLC SHS	11/02/09	2,533.85	2,323.20	(210.65)	64.00
43	G4S PLC SHS	01/12/10	919.34	825.60	(93.74)	23.00
493	HALLIBURTON COMPANY	05/20/09	11,248.00	12,241.19	993.19	178.00
84	HALLIBURTON COMPANY	01/07/10	2,707.00	2,085.72	(621.28)	31.00
72	HALLIBURTON COMPANY	01/12/10	2,422.08	1,787.76	(634.32)	26.00
215	HALLIBURTON COMPANY	05/14/10	6,037.57	5,338.45	(699.12)	78.00
143	HARTFORD FINL SVCS GROUP	05/14/10	3,749.95	3,585.01	(164.94)	29.00
194	HONEYWELL INTL INC DEL	05/20/09	6,483.42	8,297.38	1,813.96	235.00
103	HONEYWELL INTL INC DEL	05/29/09	3,364.22	4,405.31	1,041.09	125.00
33	HONEYWELL INTL INC DEL	01/12/10	1,395.24	1,411.41	16.17	40.00
51	HONEYWELL INTL INC DEL	02/16/10	1,974.54	2,181.27	206.73	62.00
117	HESS CORP	02/16/10	7,029.54	6,224.40	(805.14)	47.00
218	HEINEKEN NV ADR	12/04/09	5,536.79	4,676.10	(860.69)	74.00
97	HEINEKEN NV ADR	01/11/10	2,409.19	2,080.65	(328.54)	33.00
38	HEINEKEN NV ADR	01/12/10	943.54	815.10	(128.44)	13.00
329	HEWLETT PACKARD CO DEL	01/06/09	12,531.61	15,137.29	2,605.68	106.00
144	HEWLETT PACKARD CO DEL	05/29/09	4,983.94	6,625.44	1,641.50	47.00

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Equities						
48	HEWLETT PACKARD CO DEL	01/12/10	2,509.92	2,208.48	(301.44)	16.00
150	HEWLETT PACKARD CO DEL	01/15/10	7,880.99	6,901.50	(979.49)	48.00
60	HEWLETT PACKARD CO DEL	02/16/10	2,951.30	2,760.60	(190.70)	20.00
31	HEWLETT PACKARD CO DEL	03/15/10	1,618.25	1,426.31	(191.94)	10.00
91	HOME DEPOT INC	01/06/09	2,304.12	3,081.26	777.14	86.00
8	HOME DEPOT INC	01/12/10	225.52	270.88	45.36	8.00
126	ICICI BANK LTD SPD ADR	05/05/10	5,093.80	4,635.54	(458.26)	68.00
67	INTEL CORP	04/21/09	1,021.08	1,435.14	414.06	43.00
352	INTEL CORP	05/20/09	5,543.05	7,539.84	1,996.79	222.00
54	INTEL CORP	01/12/10	1,109.16	1,156.68	47.52	35.00
200	INTEL CORP	02/16/10	4,152.72	4,284.00	131.28	126.00
161	INTL BUSINESS MACHINES CORP IBM	05/20/09	17,001.45	20,166.86	3,165.41	419.00
13	INTL BUSINESS MACHINES CORP IBM	05/26/09	1,359.11	1,628.38	269.27	34.00
48	INTL BUSINESS MACHINES CORP IBM	06/18/09	5,146.79	6,012.48	865.69	125.00
23	INTL BUSINESS MACHINES CORP IBM	01/12/10	3,006.79	2,880.98	(125.81)	60.00

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Equities						
36	INTL BUSINESS MACHINES CORP IBM	02/16/10	4,483.53	4,509.36	25.83	94.00
29	INTL BUSINESS MACHINES CORP IBM	05/14/10	3,804.22	3,632.54	(171.68)	76.00
211	INTL PAPER CO	05/20/09	3,150.13	4,901.53	1,751.40	106.00
22	INTL PAPER CO	01/12/10	593.78	511.06	(82.72)	11.00
42	INTL PAPER CO	03/01/10	1,004.85	975.66	(29.19)	21.00
42	INTL PAPER CO	03/02/10	1,043.01	975.66	(67.35)	21.00
28	INTL PAPER CO	03/03/10	707.94	650.44	(57.50)	14.00
40	INTL PAPER CO	05/24/10	885.06	929.20	44.14	20.00
76	INTL PAPER CO	05/25/10	1,630.61	1,765.48	134.87	38.00
247	ING GP NV SP5D ADR	12/09/09	2,055.39	1,956.24	(99.15)	
179	ING GP NV SP5D ADR	12/10/09	1,578.49	1,417.68	(160.81)	
66	ING GP NV SP5D ADR	01/12/10	716.10	522.72	(193.38)	
167	ING GP NV SP5D ADR	02/10/10	1,485.57	1,322.64	(162.93)	
25	JPMORGAN CHASE & CO	09/24/08	1,027.32 ✓	989.50	(37.82)	5.00
34	JPMORGAN CHASE & CO	09/26/08	1,377.00	1,345.72	(31.28)	7.00
168	JPMORGAN CHASE & CO	09/26/08	6,804.00	6,649.44	(154.56)	34.00

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Equities						
✓175	JPMORGAN CHASE & CO	03/31/09	✓4,506.50	6,926.50	2,420.00	35.00
✓200	JPMORGAN CHASE & CO	04/23/09	✓6,448.00	7,916.00	1,468.00	40.00
✓65	JPMORGAN CHASE & CO	06/01/09 10/10/09	✓1,935.97	2,572.70	636.73	13.00
68	JPMORGAN CHASE & CO	01/12/10	2,967.52	2,691.44	(276.08)	14.00
110	JOY GLOBAL INC DEL COM	03/15/10	6,209.69	5,610.00	(599.69)	77.00
582	KRAFT FOODS INC VA CL A	05/20/09	14,613.73	16,645.20	2,031.47	676.00
46	KRAFT FOODS INC VA CL A	01/12/10	1,333.54	1,315.60	(17.94)	54.00
58	KRAFT FOODS INC VA CL A	02/16/10	1,653.78	1,658.80	5.02	68.00
248	KIMBERLY CLARK	05/20/09	12,815.31	15,053.60	2,238.29	655.00
20	KIMBERLY CLARK	01/12/10	1,266.40	1,214.00	(52.40)	53.00
130	KOHL'S CORP WISC PV 1CT	04/23/09	4,938.70	6,597.50	1,658.80	
15	KOHL'S CORP WISC PV 1CT	01/12/10	770.70	761.25	(9.45)	
137	KROGER CO	05/20/09	3,000.24	2,757.81	(242.43)	53.00
379	KROGER CO	08/20/09	7,962.37	7,629.27	(333.10)	145.00
52	KROGER CO	01/12/10	1,080.04	1,046.76	(33.28)	20.00
3,452	LSI CORPORATION	05/20/09	14,323.05	18,399.16	4,076.11	
405	LSI CORPORATION	01/12/10	2,413.60	2,158.65	(254.95)	

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Equities						
18	LOCKHEED MARTIN CORP	01/06/09	1,516.50	1,438.56	(77.94)	46.00
52	LOCKHEED MARTIN CORP	05/20/09	4,254.64	4,155.84	(98.80)	132.00
8	LOCKHEED MARTIN CORP	01/12/10	605.84	639.36	33.52	21.00
27	LAUDER ESTEE COS INC A	01/11/10	1,329.20	1,573.29	244.09	15.00
84	LAUDER ESTEE COS INC A	01/12/10	4,207.56	4,894.68	687.12	47.00
28	LAUDER ESTEE COS INC A	01/25/10	1,490.12	1,631.56	141.44	16.00
51	LAUDER ESTEE COS INC A	01/26/10	2,734.38	2,971.77	237.39	29.00
101	L-3 COMMNCTNS HLDGS	05/20/09	7,533.71	8,345.63	811.92	162.00
12	L-3 COMMNCTNS HLDGS	01/12/10	1,058.52	991.56	(66.96)	20.00
197	LAM RESEARCH CORP COM	05/14/10	7,534.34	7,458.42	(75.92)	
1,473	LLOYDS BANKING GROUP PLC ADR	03/02/10	4,569.69	4,846.17	276.48	
240	LLOYDS BANKING GROUP PLC ADR	03/26/10	933.60	789.60	(144.00)	
170	LAS VEGAS SANDS CORP	01/27/10	2,689.62	3,991.60	1,301.98	
48	LIBERTY GLOBAL INC SER A	09/09/09	1,152.59	1,238.40	85.81	
65	LIBERTY GLOBAL INC SER A	10/15/09	1,494.51	1,677.00	182.49	
34	LIBERTY GLOBAL INC SER A	01/12/10	789.82	877.20	87.38	

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
70	LIBERTY GLOBAL INC SER A	05/10/10	1,738.15	1,806.00	67.85	
66	LIFE TECHNOLOGIES CORP	02/24/10	3,316.69	3,303.96	(12.73)	
189	ELI LILLY & CO	01/07/10	6,658.41	6,197.31	(461.10)	371.00
20	ELI LILLY & CO	01/12/10	709.40	655.80	(53.60)	40.00
105	MOODY'S CORP	03/29/10	3,226.89	2,152.50	(1,074.39)	45.00
77	MOODY'S CORP	05/10/10	1,656.45	1,578.50	(77.95)	33.00
35	✓ MORGAN STANLEY	02/15/08	1,482.25	948.85	(533.40)	7.00
9	✓ MORGAN STANLEY	02/15/08	447.03	243.99	(203.04)	2.00
9	✓ MORGAN STANLEY	02/15/08	447.03	243.99	(203.04)	2.00
12	✓ MORGAN STANLEY	03/05/08	596.04	325.32	(270.72)	3.00
109	✓ MORGAN STANLEY	07/31/08	4,310.96	2,954.99	(1,355.97)	22.00
48	✓ MORGAN STANLEY	10/08/08	3,275.52	1,301.28	(1,974.24)	10.00
41	MORGAN STANLEY	05/20/09	1,206.63	1,111.51	(95.12)	9.00
68	MORGAN STANLEY	11/05/09	2,200.53	1,843.48	(357.05)	14.00
45	MORGAN STANLEY	01/12/10	1,416.15	1,219.95	(196.20)	9.00
2	METLIFE INC COM	10/08/08	53.00	80.98	27.98	2.00
85	METLIFE INC COM	12/04/08	2,193.58	3,441.65	1,248.07	63.00

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
184	METLIFE INC COM	01/14/09	5,071.04	7,450.16	2,379.12	137.00
90	METLIFE INC COM	10/14/09	3,409.30	3,644.10	234.80	67.00
37	METLIFE INC COM	01/12/10	1,452.99	1,498.13	45.14	28.00
145	MCKESSON CORPORATION COM	05/20/09	5,730.33	10,150.00	4,419.67	105.00
18	MCKESSON CORPORATION COM	01/12/10	1,112.94	1,260.00	147.06	13.00
122	MASSEY ENERGY CO COM	05/19/10	3,832.59	4,040.64	208.05	30.00
138	MARATHON OIL CORP	07/06/09	3,888.51	4,290.42	401.91	138.00
19	MARATHON OIL CORP	01/12/10	614.27	590.71	(23.56)	19.00
19	MEDCO HEALTH SOLUTIONS I	11/15/07	918.27 808.36	1,095.35	177.08	
5	MEDCO HEALTH SOLUTIONS I	11/15/07	224.10 223.54	288.25	64.15	
19	MEDCO HEALTH SOLUTIONS I	02/21/08	851.58 808.37	1,095.35	243.77	
64	MEDCO HEALTH SOLUTIONS I	03/17/08	2,723.20	3,689.60	966.40	
35	MEDCO HEALTH SOLUTIONS I	08/17/09	1,904.78	2,017.75	112.97	
22	MEDCO HEALTH SOLUTIONS I	08/18/09	1,196.57	1,268.30	71.73	
33	MEDCO HEALTH SOLUTIONS I	01/12/10	2,157.21	1,902.45	(254.76)	
315	MTN GROUP LTD-SPONS ADR	10/02/09	5,388.20	4,378.50	(1,009.70)	77.00
106	MTN GROUP LTD-SPONS ADR	01/11/10	1,587.30	1,473.40	(113.90)	26.00

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
65	MTN GROUP LTD-SPONS ADR	01/12/10	928.20	903.50	(24.70)	16.00
13	MASTERCARD INC	03/15/10	3,219.47	2,623.01	(596.46)	8.00
137	MAKITA CORP SPOND ADR	07/14/09	3,045.82	3,734.62	688.80	82.00
13	MAKITA CORP SPOND ADR	01/12/10	458.64	354.38	(104.26)	8.00
53	MAKITA CORP SPOND ADR	02/12/10	1,771.16	1,444.78	(326.38)	32.00
38	MICROSOFT CORP	03/23/09	663.10	980.40	317.30	20.00
100	MICROSOFT CORP	03/31/09	1,845.50	2,580.00	734.50	52.00
370	MICROSOFT CORP	05/20/09	7,544.26	9,546.00	2,001.74	193.00
31	MICROSOFT CORP	06/18/09	727.88	799.80	71.92	17.00
60	MICROSOFT CORP	07/15/09	1,439.71	1,548.00	108.29	32.00
38	MICROSOFT CORP	10/08/09	979.92	980.40	0.48	20.00
121	MICROSOFT CORP	11/09/09	3,485.39	3,121.80	(363.59)	63.00
124	MICROSOFT CORP	11/16/09	3,673.62	3,199.20	(474.42)	65.00
21	MICROSOFT CORP	11/17/09	626.94	541.80	(85.14)	11.00
49	MICROSOFT CORP	12/29/09	1,538.00	1,264.20	(273.80)	26.00
28	MICROSOFT CORP	12/30/09	868.40	722.40	(146.00)	15.00
28	MICROSOFT CORP	12/31/09	860.39	722.40	(137.99)	15.00

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Equities						
23	MICROSOFT CORP	01/04/10	712.59	593.40	(119.19)	12.00
96	MICROSOFT CORP	01/11/10	2,913.39	2,476.80	(436.59)	50.00
115	MICROSOFT CORP	01/12/10	3,485.34	2,967.00	(518.34)	60.00
73	MICROSOFT CORP	03/15/10	2,124.30	1,883.40	(240.90)	38.00
702	MICRON TECHNOLOGY INC	05/20/09	3,565.61	6,381.18	2,815.57	
189	MICRON TECHNOLOGY INC	01/12/10	1,973.16	1,718.01	(255.15)	
325	MICRON TECHNOLOGY INC	03/15/10	3,154.16	2,954.25	(199.91)	
83	MICRON TECHNOLOGY INC	03/29/10	883.40	754.47	(128.93)	
16	MITSUMI CO ADR	07/24/09	3,978.75	4,623.84	645.09	23.00
5	MITSUMI CO ADR	08/13/09	1,317.00	1,444.95	127.95	8.00
6	MITSUMI CO ADR	10/16/09	1,680.04	1,733.94	53.90	9.00
2	MITSUMI CO ADR	01/12/10	637.76	577.98	(59.78)	3.00
34	NII HLDGS INC CL B	06/17/09	667.81	1,239.98	572.17	
31	NII HLDGS INC CL B	08/28/09	736.00	1,130.57	394.57	
31	NII HLDGS INC CL B	08/31/09	726.22	1,130.57	404.35	
28	NII HLDGS INC CL B	01/12/10	1,062.88	1,021.16	(41.72)	
339	NISSAN MTR LTD SPN ADR	01/29/10	5,555.29	4,895.16	(660.13)	

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Equities						
162	NISSAN MTR LTD SPN ADR	04/01/10	2,816.40	2,339.28	(477.12)	
70	NINTENDO LTD ADR	05/20/09	2,353.40	2,551.50	198.10	88.00
29	NINTENDO LTD ADR	07/14/09	1,005.49	1,057.05	51.56	37.00
9	NINTENDO LTD ADR	01/12/10	318.60	328.05	9.45	12.00
95	NABORS INDUSTRIES LTD	11/23/09	1,959.15	1,807.85	(151.30)	
138	NABORS INDUSTRIES LTD	11/24/09	2,831.00	2,626.14	(204.86)	
33	NABORS INDUSTRIES LTD	11/25/09	695.28	627.99	(67.29)	
22	NABORS INDUSTRIES LTD	01/12/10	569.58	418.66	(150.92)	
135	NRG ENERGY INC	05/20/09	2,713.80	3,152.25	438.45	
102	NRG ENERGY INC	08/10/09	2,907.63	2,381.70	(525.93)	
27	NRG ENERGY INC	08/11/09	776.98	630.45	(146.53)	
168	NET SRVCS DE COMUNCCO SA	03/18/10	2,249.65	1,716.96	(532.69)	
194	NET SRVCS DE COMUNCCO SA	03/19/10	2,613.18	1,982.68	(630.50)	
85	NETAPP INC	12/02/09	2,687.08	3,202.80	515.72	
10	NETAPP INC	01/12/10	328.00	376.80	48.80	
97	NETAPP INC	03/15/10	3,184.06	3,654.96	470.90	
54	NOBLE CORP NAMEN-AKT	05/29/09	1,841.43	1,569.78	(271.65)	13.00

EMASM Fiscal Statement

THE JOHN MARIE AND JOSEPH

CURRENT PORTFOLIO SUMMARY

Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
159	NOBLE CORP NAMEN-AKT	07/21/09	5,159.87	4,622.13	(537.74)	38.00
20	NOBLE CORP NAMEN-AKT	01/12/10	875.39	581.40	(293.99)	5.00
90	NOBLE CORP NAMEN-AKT	05/14/10	3,121.68	2,616.30	(505.38)	22.00
5	NESTLE S A REP RG SH ADR	05/20/09	184.76	225.70	40.94	5.00
18	NESTLE S A REP RG SH ADR	08/19/09	725.48	812.52	87.04	17.00
28	NESTLE S A REP RG SH ADR	08/20/09	1,130.21	1,263.92	133.71	26.00
38	NESTLE S A REP RG SH ADR	09/09/09	1,579.70	1,715.32	135.62	35.00
44	NESTLE S A REP RG SH ADR	11/13/09	2,058.72	1,986.16	(72.56)	40.00
32	NESTLE S A REP RG SH ADR	01/08/10	1,537.52	1,444.48	(93.04)	29.00
33	NESTLE S A REP RG SH ADR	01/12/10	1,587.30	1,489.62	(97.68)	30.00
17	NITTO DENKO CORP ADR	10/23/09	5,311.55	5,985.87	674.32	71.00
3	NITTO DENKO CORP ADR	01/12/10	1,167.00	1,056.33	(110.67)	13.00
27	NORTHROP GRUMMAN CORP	03/24/09	1,130.49	1,633.23	502.74	51.00
75	NORTHROP GRUMMAN CORP	05/20/09	3,686.25	4,536.75	850.50	141.00
88	NORTHROP GRUMMAN CORP	08/03/09	4,015.80	5,323.12	1,307.32	166.00
91	NORTHROP GRUMMAN CORP	08/04/09	4,239.09	5,504.59	1,265.50	172.00
23	NORTHROP GRUMMAN CORP	08/05/09	1,071.37	1,391.27	319.90	44.00

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CURRENT PORTFOLIO SUMMARY

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Equities						
30	NORTHROP GRUMMAN CORP	01/12/10	1,717.20	1,814.70	97.50	57.00
114	NUCOR CORPORATION	05/20/09	4,895.39	4,907.70	12.31	165.00
11	NUCOR CORPORATION	01/12/10	537.35	473.55	(63.80)	16.00
43	OCCIDENTAL PETE CORP CAL	02/09/09	2,493.57	3,547.93	1,054.36	66.00
45	OCCIDENTAL PETE CORP CAL	02/10/09	2,552.67	3,712.95	1,160.28	69.00
14	OCCIDENTAL PETE CORP CAL	05/20/09	892.50	1,155.14	262.64	22.00
14	OCCIDENTAL PETE CORP CAL	01/12/10	1,143.52	1,155.14	11.62	22.00
187	ORACLE CORP \$0.01 DEL	04/21/10	4,901.59	4,220.59	(681.00)	38.00
169	PACCAR INC	10/21/09	6,739.42	6,929.00	189.58	61.00
17	PACCAR INC	01/12/10	659.77	697.00	37.23	7.00
110	PRUDENTIAL FINANCIAL INC	05/20/09	4,833.91	6,348.10	1,514.19	77.00
60	PRUDENTIAL FINANCIAL INC	10/14/09	3,116.95	3,462.60	345.65	42.00
16	PRUDENTIAL FINANCIAL INC	01/12/10	867.04	923.36	56.32	12.00
30	PRUDENTIAL FINANCIAL INC	05/24/10	1,670.35	1,731.30	60.95	21.00
58	PRUDENTIAL FINANCIAL INC	05/25/10	3,141.09	3,347.18	206.09	41.00
140	PEABODY ENERGY CORP COM	05/20/09	4,619.25	5,454.40	835.15	40.00
10	PEABODY ENERGY CORP COM	01/12/10	486.30	389.60	(96.70)	3.00

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Equities						
85	PHILIP MORRIS INTL INC	12/04/07	3,961.00	3,750.20	(210.80)	198.00
11	PHILIP MORRIS INTL INC	01/12/10	539.11	485.32	(53.79)	26.00
66	PROCTER & GAMBLE CO	06/25/09	3,386.86	4,031.94	645.08	128.00
5	PROCTER & GAMBLE CO	01/12/10	304.25	305.45	1.20	10.00
46	PROCTER & GAMBLE CO	04/07/10	2,880.36	2,810.14	(70.22)	89.00
4,283	QWEST COMM INTL INC COM	05/20/09	18,116.68	22,442.92	4,326.24	1,371.00
486	QWEST COMM INTL INC COM	01/12/10	2,235.60	2,546.64	311.04	156.00
42	QUALCOMM INC	01/06/09	1,550.23	1,493.52	(56.71)	32.00
24	QUALCOMM INC	01/12/10	1,165.20	853.44	(311.76)	19.00
14	QUALCOMM INC	01/15/10	680.26	497.84	(182.42)	11.00
79	RWE AG SPONSORED ADR	05/20/09	6,560.16	5,669.83	(890.33)	270.00
11	RWE AG SPONSORED ADR	01/12/10	1,086.58	789.47	(297.11)	38.00
8	RIO TINTO PLC SPNSRD ADR	08/28/09	316.28	368.80	52.52	4.00
64	RIO TINTO PLC SPNSRD ADR	08/31/09	2,478.40	2,950.40	472.00	29.00
8	RIO TINTO PLC SPNSRD ADR	01/12/10	461.88	368.80	(93.08)	4.00
322	RAYTHEON CO DELAWARE NEW	05/20/09	14,392.16	16,876.02	2,483.86	483.00
33	RAYTHEON CO DELAWARE NEW	01/12/10	1,746.36	1,729.53	(16.83)	50.00

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Equities						
58	RAYTHEON CO DELAWARE NEW	02/16/10	3,146.63	3,039.78	(106.85)	87.00
70	RAYTHEON CO DELAWARE NEW	05/14/10	3,948.48	3,668.70	(279.78)	105.00
162	ROCHE HLDG LTD SPN ADR	04/09/10	6,575.00	5,556.60	(1,018.40)	188.00
197	ROSS STORES INC COM	05/20/09	7,314.61	10,322.80	3,008.19	127.00
24	ROSS STORES INC COM	01/12/10	1,084.56	1,257.60	173.04	16.00
300	SOCIETE GENERAL SPN ADR	08/07/09	4,332.19	2,580.00	(1,752.19)	16.00
127	SOCIETE GENERAL SPN ADR	09/09/09	1,801.89	1,092.20	(709.69)	7.00
50	SOCIETE GENERAL SPN ADR	01/12/10	750.00	430.00	(320.00)	3.00
174	SEAGATE TECHNOLOGY	09/10/09	2,625.51	2,672.64	47.13	
16	SEAGATE TECHNOLOGY	01/12/10	289.92	245.76	(44.16)	
190	SAFEWAY INC NEW	12/03/08	4,035.60	4,206.60	171.00	92.00
23	SAFEWAY INC NEW	01/12/10	496.57	509.22	12.65	12.00
1,347	SUMITOMO MITSU FINL ADR	05/20/09	5,414.95	4,000.59	(1,414.36)	68.00
153	SUMITOMO MITSU FINL ADR	01/12/10	475.83	454.41	(21.42)	8.00
50	SCHLUMBERGER LTD	04/30/10	3,579.85	2,807.50	(772.35)	42.00
76	SALESFORCE COM INC	05/20/09	3,171.49	6,576.28	3,404.79	
11	SALESFORCE COM INC	01/12/10	761.75	951.83	190.08	

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Equities						
182	STERLITE INDUSTRIES (INDIA) LIMITEDADR	11/13/09	3,365.85	2,595.32	(770.53)	23.00
44	STERLITE INDUSTRIES (INDIA) LIMITEDADR	11/16/09	842.21	627.44	(214.77)	6.00
32	STERLITE INDUSTRIES (INDIA) LIMITEDADR	01/12/10	600.64	456.32	(144.32)	4.00
276	SOUTHERN COMPANY	05/20/09	7,727.26	9,025.20	1,297.94	503.00
31	SOUTHERN COMPANY	01/12/10	1,031.99	1,013.70	(18.29)	57.00
124	STARBUCKS CORP	11/23/09	2,733.89	3,210.36	476.47	50.00
11	STARBUCKS CORP	01/12/10	251.13	284.79	33.66	5.00
168	SYSCO CORPORATION	05/20/09	3,984.65	5,008.08	1,023.43	168.00
20	SYSCO CORPORATION	01/12/10	555.80	596.20	40.40	20.00
98	TJX COS INC NEW	12/14/09	3,715.38	4,455.08	739.70	59.00
42	TJX COS INC NEW	12/15/09	1,599.27	1,909.32	310.05	26.00
66	TJX COS INC NEW	12/21/09	2,452.95	3,000.36	547.41	40.00
26	TJX COS INC NEW	01/12/10	989.30	1,181.96	192.66	16.00
189	TYCO INTL LTD NAMEN-AKT	05/20/09	5,042.34	6,839.91	1,797.57	145.00
16	TYCO INTL LTD NAMEN-AKT	01/12/10	592.90	579.04	(13.86)	13.00

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Quantity	Security Description	Date Acquired	Total/Adj Cost Basis	Fiscal Year Value 05/31/10	Unrealized Gain or (Loss)	Est Annual Income
Equities						
85	TYCO INTL LTD NAMEN-AKT	05/14/10	3,263.52	3,076.15	(187.37)	65.00
117	TEXAS INSTRUMENTS	10/05/09	2,656.98	2,857.14	200.16	57.00
112	TEXAS INSTRUMENTS	10/06/09	2,581.38	2,735.04	153.66	54.00
33	TEXAS INSTRUMENTS	01/12/10	830.28	805.86	(24.42)	16.00
116	TOKIO MARINE HOLDINGS INC, TOKYO ADR	05/20/09	3,468.40	3,162.16	(306.24)	55.00
54	TOKIO MARINE HOLDINGS INC, TOKYO ADR	10/30/09	1,401.51	1,472.04	70.53	26.00
27	TOKIO MARINE HOLDINGS INC, TOKYO ADR	01/12/10	791.10	736.02	(55.08)	13.00
541	TAIWAN S MANUFCTRING ADR	01/28/10	5,444.57	5,274.75	(169.82)	197.00
304	TAIWAN S MANUFCTRING ADR	03/01/10	3,025.86	2,964.00	(61.86)	111.00
36	TARGET CORP COM	03/01/10	1,873.84	1,963.08	89.24	25.00
37	TARGET CORP COM	03/02/10	1,915.13	2,017.61	102.48	26.00
24	TARGET CORP COM	03/03/10	1,240.38	1,308.72	68.34	17.00
58	TARGET CORP COM	04/05/10	3,114.14	3,162.74	48.60	40.00
41	TARGET CORP COM	04/06/10	2,204.84	2,235.73	30.89	28.00
17	TARGET CORP COM	04/07/10	921.29	927.01	5.72	12.00

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CURRENT PORTFOLIO SUMMARY

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Equities						
14	TRAVELERS COS INC	02/21/08	669.07	692.58	23.51	21.00
59	✓ TRAVELERS COS INC	04/01/08	2,924.05 ✓	2,918.73	(5.32)	85.00
547	TRAVELERS COS INC	08/12/09	25,526.68	27,060.09	1,533.41	788.00
4	TRAVELERS COS INC	11/25/09	212.18	197.88	(14.30)	6.00
72	TRAVELERS COS INC	01/12/10	3,535.92	3,561.84	25.92	104.00
73	TRANSOCEAN LTD	02/18/10	6,111.95	4,144.21	(1,967.74)	
15	TIME WARNER INC SHS	12/11/08	316.06	464.85	148.79	13.00
116	TIME WARNER INC SHS	01/07/09	2,502.72	3,594.84	1,092.12	99.00
99	TIME WARNER INC SHS	01/07/09	2,135.94	3,068.01	932.07	85.00
117	TIME WARNER INC SHS	04/23/09	2,395.02	3,625.83	1,230.81	100.00
44	TIME WARNER INC SHS	01/12/10	1,267.64	1,363.56	95.92	38.00
42	UNUM GROUP	04/27/09	641.77	970.20	328.43	14.00
347	UNUM GROUP	08/12/09	7,353.69	8,015.70	662.01	115.00
53	UNUM GROUP	01/12/10	1,120.42	1,224.30	103.88	18.00
574	UNILEVER NV NY REG SHS	05/20/09	13,781.23	15,675.94	1,894.71	460.00
54	UNILEVER NV NY REG SHS	01/12/10	1,720.44	1,474.74	(245.70)	44.00
71	UNILEVER NV NY REG SHS	02/16/10	2,132.13	1,939.01	(193.12)	57.00

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Equities						
69	UNITED PARCEL SVC CL B	07/30/09	3,715.64	4,330.44	614.80	130.00
7	UNITED PARCEL SVC CL B	01/12/10	437.71	439.32	1.61	14.00
200	UNITEDHEALTH GROUP INC	08/20/09	5,769.82	5,814.00	44.18	100.00
28	UNITEDHEALTH GROUP INC	01/12/10	904.96	813.96	(91.00)	14.00
78	UNITEDHEALTH GROUP INC	05/14/10	2,368.52	2,267.46	(101.06)	39.00
65	UNITED STS STL CORP NEW	07/21/09	2,608.25	3,068.65	460.40	13.00
6	UNITED STS STL CORP NEW	01/12/10	385.56	283.26	(102.30)	2.00
64	UNITED STS STL CORP NEW	01/27/10	3,001.18	3,021.44	20.26	13.00
275	US BANCORP (NEW)	05/20/09	5,356.26	6,589.00	1,232.74	55.00
21	US BANCORP (NEW)	01/12/10	513.66	503.16	(10.50)	5.00
273	UBS AG REG	05/20/09	4,119.72	3,639.09	(480.63)	
79	UBS AG REG	06/16/09	1,049.04	1,053.07	4.03	
56	UBS AG REG	01/12/10	922.88	746.48	(176.40)	
251	VERIZON COMMUNICATNS COM	05/20/09	7,517.33	6,907.52	(609.81)	477.00
73	VERIZON COMMUNICATNS COM	07/28/09	2,273.28	2,008.96	(264.32)	139.00
68	VERIZON COMMUNICATNS COM	01/07/10	2,163.05	1,871.36	(291.69)	130.00
46	VERIZON COMMUNICATNS COM	01/12/10	1,465.10	1,265.92	(199.18)	88.00

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Equities						
71	VIACOM INC NEW CL B	12/18/08	1,210.55	2,386.31	1,175.76	
123	VIACOM INC NEW CL B	03/20/09	2,013.51	4,134.03	2,120.52	
179	VIACOM INC NEW CL B	05/20/09	3,814.49	6,016.19	2,201.70	
50	VIACOM INC NEW CL B	01/12/10	1,488.00	1,680.50	192.50	
126	VIACOM INC NEW CL B	02/16/10	3,682.34	4,234.86	552.52	
20	VANCEINFO TECH INC ADR	05/12/10	495.64	432.60	(63.04)	
20	VANCEINFO TECH INC ADR	05/13/10	448.82	432.60	(16.22)	
113	VANCEINFO TECH INC ADR	05/13/10	2,594.17	2,444.19	(149.98)	
46	ZIMMER HOLDINGS INC COM	07/30/09	2,145.24	2,572.78	427.54	
34	ZIMMER HOLDINGS INC COM	08/12/09	1,558.27	1,901.62	343.35	
11	ZIMMER HOLDINGS INC COM	01/12/10	687.17	615.23	(71.94)	
200	WEATHERFORD INTL LTD. REG.	04/22/10	3,341.76	2,824.00	(517.76)	
100	WEATHERFORD INTL LTD. REG.	05/05/10	1,690.14	1,412.00	(278.14)	
753	ROSSI RESIDENCIAL SA GDR BRL PAR ORDINARY	03/11/10	3,211.32	2,861.40	(349.92)	36.00
403	ROSSI RESIDENCIAL SA GDR BRL PAR ORDINARY	03/12/10	1,716.34	1,531.40	(184.94)	19.00

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Equities						
132	ACE LIMITED	05/20/09	5,787.73	6,489.12	701.39	175.00
62	ACE LIMITED	08/06/09	3,099.38	3,047.92	(51.46)	82.00
27	ACE LIMITED	01/12/10	1,284.66	1,327.32	42.66	36.00
48	WAL-MART STORES INC	10/09/08	2,619.84	2,426.88	(192.96)	59.00
50	WAL-MART STORES INC	01/06/09	2,819.82	2,528.00	(291.82)	61.00
50	WAL-MART STORES INC	03/05/09	2,487.23	2,528.00	40.77	61.00
81	WAL-MART STORES INC	05/20/09	4,049.19	4,095.36	46.17	99.00
24	WAL-MART STORES INC	01/12/10	1,305.12	1,213.44	(91.68)	30.00
4	WSTN DIGITAL CORP DEL	06/02/08	146.64	139.24	(7.40)	
75	WSTN DIGITAL CORP DEL	08/22/08	2,164.34	2,610.75	446.41	
75	WSTN DIGITAL CORP DEL	08/25/08	2,107.02	2,610.75	503.73	
67	WSTN DIGITAL CORP DEL	05/11/09	2,302.79	2,332.27	29.48	
33	WSTN DIGITAL CORP DEL	01/12/10	1,480.71	1,148.73	(331.98)	
1,235	XEROX CORP	05/20/09	8,520.52	11,497.85	2,977.33	210.00
100	XEROX CORP	01/12/10	885.90	931.00	45.10	17.00
205	XILINX INC	05/20/09	4,132.79	5,012.25	879.46	132.00
28	XILINX INC	01/12/10	674.80	684.60	9.80	18.00

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Equities						
127	WELLS FARGO & CO NEW DEL	05/20/09	3,299.40	3,643.63	344.23	26.00
77	WELLS FARGO & CO NEW DEL	10/14/09	2,368.62	2,209.13	(159.49)	16.00
25	WELLS FARGO & CO NEW DEL	01/12/10	706.25	717.25	11.00	5.00
116	WELLS FARGO & CO NEW DEL	01/15/10	3,263.97	3,328.04	64.07	24.00
142	WELLPOINT INC	05/20/09	6,660.87	7,284.60	623.73	
Total Equities			1,558,458.40	1,664,102.25	105,643.85	32,822.00
Mutual Funds/Closed End Funds/UIT						
9,231	GLOBAL SMALL CAP PORT MANAGED ACCT SERIES	05/20/09	82,341.34	96,094.71	13,753.37	2,317.00
11,370	MID CAP VALUE OPPS PORTFOLIO CLS	05/20/09	81,391.32	105,741.00	24,349.68	1,467.00
Total Mutual Funds/Closed End Funds/UIT			163,732.66	201,835.71	38,103.05	3,784.00

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