

AO 10
Rev 1/2010

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009**

*Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)*

1. Person Reporting (last name, first, middle initial) WOOD KIMBA M	2. Court or Organization U S District Court, SDNY	3. Date of Report 5/11/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U S District Judge (senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Antended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 500 Pearl Street New York, N Y 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1	Board Member	New York City Ballet, Inc
2	Board Member	CEELI Institute
3		
4		
5		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1		
2		
3		

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Name of Person Reporting
WOOD, KIMBA M.

Date of Report
5/11/2010

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)*

A. Filer's Non-Investment Income

☒ **NONE** *(No reportable non-investment income.)*

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1			
2			
3			
4			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☐ **NONE** *(No reportable non-investment income.)*

	<u>DATE</u>	<u>SOURCE AND TYPE</u>
1	2009 (various)	Rockefeller Brothers Fund - Committee Fees
2	2009 (various)	Sonic Corp - various Board & Committee Fees
3	2009 (various)	Harding Services, Vestar, Irving Place Capital - Fee Income
4	2009 (various)	Source Capital Ltd. - Fee Income

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Excludes those to spouse and dependent children - see pp. 25-27 of filing instructions.)

☒ **NONE** *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1					
2					
3					
4					
5					

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Name of Person Reporting
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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ **NONE** (No reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1			
2			
3			
4			
5			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ **NONE** (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1	Goldman, Sachs	Margin Account	none
2	Citibank	Line of Credit	P1
3	Citibank	Line of Credit	none
4	Citibank	Line of Credit	none
5	ENM, Inc	Escrow Account	K
6	Vestar	Loans	K
7	Citibank	Rental Property Mortgage	N
8	American Express	Credit Card	J
9			
10			

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Name of Person Reporting
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1 See attached									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									

1. Income Gain Codes
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

A. DESCRIPTION OF ASSETS	B. INCOME DURING REPORTING PERIOD		C. GROSS VALUE AT END OF REPORTING PERIOD		D. TRANSACTIONS DURING REPORTING PERIOD				
	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
1 EXXON CORP COMMON STOCK	B	DIVIDEND	L	T					
2 CREST FUND LP (IRA) (SEE NOTE 1 IN SECTION VIII)		NONE	P1	T					
3 GOLDMAN SACHS BANK DEPOSIT/CASH #1 (FKA GOLDMAN SACHS BANK DEPOSIT #2)	A	INTEREST	K	T					
4 BLACKROCK INC COMMON STOCK	A	DIVIDEND	K	T					
5 DEVON ENERGY CORP COMMON STOCK	A	DIVIDEND	J	T	PURCHASE	5/8	J		
6 SONIC COMMON STOCK		NONE	K	T					
7 STRYKER CORP COMMON STOCK	A	DIVIDEND			SOLD	2/27	K	B	
8 WALGREEN CO. COMMON STOCK	A	DIVIDEND	K	T	PURCHASE	5/8	K		
9 CMA TAX EXEMPT FUND - ML #1	A	DIVIDEND	L	T					
10 MERRILL LYNCH ACCOUNT - ML #2		NONE			ACCOUNT CLOSED	1/28	J		
<u>ADDITIONAL COMMON STOCKS/MUTUAL FUNDS (LINES 11-349)</u>									
11 ABB LTD		NONE			PURCHASE	8/3	J		
12					SOLD	12/4	J		
13 ABBOTT LABORATORIES	E	DIVIDEND	O	T	PARTIAL SALE	2/27	O	G	
14					PURCHASE	4/24	M		
15					DONATED SOME SHARES (SEE LINE 400 BELOW)	12/15	L	F	
16 ABERCROMBIE & FITCH CO	A	DIVIDEND			PURCHASE	11/17	J		
17					SOLD	12/4	J		

A.		B.		C.		D.				
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18	ACCENTURE LTD	B	DIVIDEND	L	T	PURCHASE	5/20	K		
19						PURCHASE	6/4	K		
20						PARTIAL SALE	6/10	J		
21	AETNA INC		NONE			PURCHASE	5/26	K		
22						PARTIAL SALE	7/21	K		
23						SOLD	9/2	K	B	
24	AGCO CORP		NONE			SOLD	11/25	J		
25	AGRIUM INC	A	DIVIDEND			PURCHASE	5/27	J		
26						PURCHASE	6/16	J		
27						PARTIAL SALE	11/16	J	A	
28						SOLD	12/4	J	A	
29	AKAMAI TECHNOLOGIES		NONE			PURCHASE	11/16	J		
30						SOLD	12/4	J	A	
31	ALEXION PHARMACEUTICALS		NONE			PURCHASE	7/31	J		
32						SOLD	12/4	J	A	
33	ALLERGAN INC	A	DIVIDEND			PURCHASE	3/3	J		
34						SOLD	10/15	J	B	
35	ALTERA CORP	A	DIVIDEND			SOLD	12/4	J		

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36	AMAZON.COM		NONE			PARTIAL SALE	7/2	J	A	
37						SOLD	12/4	K	D	
38	AMERICAN ELECTRIC POWER	A	DIVIDEND			PURCHASE	5/20	K		
39						SOLD	9/2	K	D	
40	AMERICA MOVIL	E	DIVIDEND	P1	T	PARTIAL SALE	3/2	N	F	
41						PARTIAL SALE	12/4	J	C	
42	AMETEK INC	A	DIVIDEND			SOLD	9/8	J		
43	AMPHENOL CORP	A	DIVIDEND			SOLD	12/4	J		
44	ANADARKO PETROLEUM CORP	A	DIVIDEND	M	T	PARTIAL SALE	3/5	L		
45	ANGLO AMERICAN PLC		NONE			PURCHASE	7/15	J		
46						SOLD	12/4	J	B	
47	ANSYS INC		NONE			SOLD	12/4	J		
48	AON CORP	A	DIVIDEND			SOLD	2/26	J		
49	APACHE CORP	A	DIVIDEND			SOLD	12/4	J		
50	APPLE COMPUTER INC		NONE			PARTIAL SALE	4/30	J	A	
51						PARTIAL SALE	7/15	J	B	
52						PARTIAL SALE	9/22	J	A	
53						PARTIAL SALE	10/28	J	A	

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54						SOLD	12/4	K	D	
55	ATWOOD OCEANICS INC		NONE			PURCHASE	10/23	J		
56						SOLD	12/4	J		
57	AVON PRODUCTS INC	A	DIVIDEND			SOLD	12/4	J	B	
58	BABCOCK & BROWN	A	DIVIDEND	K	T	PURCHASE	10/14	K		
59	BAIDU INC		NONE			PURCHASE	2/24	J		
60						SOLD	12/4	J	D	
61	BANK OF AMERICA	B	DIVIDEND	L	T	PURCHASE	1/8	L		
62						PARTIAL SALE	2/6	J		
63						SOLD	2/9	K		
64						PURCHASE	6/10	K		
65						PURCHASE	6/15	K		
66	BARD C R INC	A	DIVIDEND			SOLD	8/7	J		
67	BARRICK GOLD CORP	A	DIVIDEND			PURCHASE	3/16	J		
68						SOLD	12/4	J	B	
69	BERKSHIRE HATHAWAY		NONE	N	T					
70	BHP BILLITON LTD	A	DIVIDEND	L	T	PURCHASE	6/10	K		
71						PURCHASE	6/15	K		

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72	BLACKROCK INC	E	DIVIDEND	P1	T	PARTIAL SALE	2/20	N	F	
73						PARTIAL SALE	3/2	L	E	
74	BOEING CO	A	DIVIDEND			SOLD	2/25	K		
75	BROADCOM CORP		NONE			SOLD	12/4	J	C	
76	BUCYRUS INTL	A	DIVIDEND			PURCHASE	9/1	J		
77						SOLD	12/4	J		
78	CABOT OIL & GAS	A	DIVIDEND	M	T	PURCHASE	1/8	L		
79						PARTIAL SALE	3/5	K		
80						SOLD	3/6	K		
81						PURCHASE	4/13	K		
82						PURCHASE	4/24	K		
83						PURCHASE	6/26	K		
84	CAMERON INTL		NONE			PURCHASE	6/17	J		
85						SOLD	12/4	J	A	
86	CARPENTER TECHNOLOGY	A	DIVIDEND	K	T	PURCHASE	9/2	K		
87	CELGENE CORP		NONE			SOLD	12/4	J	A	
88	CF INDUSTRIES HOLDINGS INC	A	DIVIDEND			PARTIAL SALE	2/26	J		
89						SOLD	3/12	J	A	

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90	CHECKPOINT SOFTWARE		NONE			PURCHASE	3/31	J		
91						SOLD	11/13	J	B	
92	CHICAGO MERCANTILE EXCH/AKA CME GROUP INC	A	DIVIDEND			SOLD	12/4	J	B	
93	CISCO SYSTEMS		NONE			SOLD	12/4	J		
94	COACH	A	DIVIDEND			PARTIAL SALE	10/6	J	A	
95						SOLD	12/4	J	B	
96	COCA COLA CO	A	DIVIDEND			SOLD	8/13	J		
97	COGNIZANT TECH SOLUTIONS		NONE			PURCHASE	10/21	J		
98						SOLD	12/4	J	A	
99	CONOCOPHILLIPS	B	DIVIDEND	M	T	SOLD	3/2	L		
100						PURCHASE	10/13	M		
101	CONSTELLATION BRANDS		NONE	L	T	PURCHASE	4/24	K		
102						PURCHASE	6/15	K		
103	CUMMINS INC	A	DIVIDEND			PURCHASE	10/8	J		
104						SOLD	12/4	J		
105	DELL INC		NONE			SOLD	7/20	J		
106	DENTSPLY INTERNATIONAL	A	DIVIDEND			SOLD	11/13	J		
107	DEVON ENERGY CORPORATION	D	DIVIDEND	O	T	PARTIAL SALE	3/5	J		

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108						PURCHASE	4/13	K		
109						PURCHASE	5/5	K		
110						PURCHASE	5/8	O		
111						PURCHASE	5/26	K		
112						PURCHASE	6/9	J		
113						PURCHASE	8/7	J		
114						PARTIAL SALE	9/2	J	B	
115						PURCHASE	11/19	J		
116						PARTIAL SALE	12/4	J	A	
117	DOLBY LABORATORIES INC		NONE			SOLD	12/4	J	B	
118	DUN & BRADSTREET CORP	A	DIVIDEND			SOLD	6/17	J		
119	EBAY INC		NONE			PURCHASE	8/11	J		
120						SOLD	12/4	J		
121	EMERSON ELECTRIC	A	DIVIDEND			PURCHASE	4/2	J		
122						SOLD	10/21	J	B	
123	ENSCO INTERNATIONAL	A	DIVIDEND			PURCHASE	1/22	J		
124						SOLD	12/4	J	B	
125	EQT CORP	A	DIVIDEND	K	T	PURCHASE	5/5	K		

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126	EVERCORE PARTNERS	A	DIVIDEND	J	T	PURCHASE	9/15	J		
127	EXPEDIA INC		NONE			PURCHASE	10/7	J		
128						SOLD	12/4	J	A	
129	FACTSET RESH SYS INC	A	DIVIDEND			SOLD	8/12	J	A	
130	FASTENAL CO	A	DIVIDEND			SOLD	4/24	J		
131	FIRST SOLAR		NONE			SOLD	12/4	J		
132	FLIR SYSTEM INC		NONE			SOLD	12/4	J	B	
133	FLUOR CORP	A	DIVIDEND			SOLD	11/16	J		
134	FRANKLIN RESOURCES	A	DIVIDEND			PURCHASE	8/20	J		
135						SOLD	12/4	J	A	
136	FTI CONSULTING INC		NONE			SOLD	12/4	J		
137	GAMESTOP CORP		NONE			SOLD	12/4	J		
138	GENERAL DYNAMICS	A	DIVIDEND			SOLD	8/13	J		
139	GEN PROBE		NONE			SOLD	12/4	J		
140	GILEAD SCIENCES INC		NONE			PARTIAL SALE	2/11	J	B	
141						PARTIAL SALE	3/16	J	B	
142						SOLD	6/12	J	B	
143	GOLDMAN SACHS GROUP	A	DIVIDEND			PURCHASE	1/28	J		

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144					SOLD	12/4	J	C	
145	GOOGLE INC	NONE			PARTIAL SALE	10/28	J		
146					SOLD	12/4	K	D	
147	GRAFTECH INTERNATIONAL	NONE			PURCHASE	8/14	J		
148					SOLD	12/4	J	A	
149	GRAINGER WW	A	DIVIDEND		SOLD	3/4	J		
150	GUESS INC	A	DIVIDEND		SOLD	12/4	J	A	
151	HALLIBURTON CO	A	DIVIDEND		PURCHASE	6/17	J		
152					SOLD	12/4	J		
153	HONEYWELL INTL INC	A	DIVIDEND		SOLD	12/4	J		
154	INTERCONTINENTAL EXCHANGE	NONE			PURCHASE	2/25	J		
155					PURCHASE	6/26	J		
156					SOLD	12/4	J	B	
157	INTERNATIONAL BUSINESS MACHINES	C	DIVIDEND	M	T	PARTIAL SALE	3/5	L	
158					PURCHASE	8/7	K		
159	INTERNATIONAL PAPER	A	DIVIDEND	L	T	PURCHASE	6/15	K	
160	INTUITIVE SURGICAL INC	NONE			SOLD	12/4	J	A	
161	ITT CORP	NONE			PURCHASE	9/30	J		

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162						SOLD	12/4	J	A	
163	JABIL CIRCUIT	A	DIVIDEND			PURCHASE	10/14	J		
164						SOLD	12/4	J		
165	JACOBS ENGINEERING GROUP		NONE			SOLD	11/19	J		
166	JOHNSON & JOHNSON	E	DIVIDEND	P1	T	PARTIAL SALE	2/27	O	G	
167	JUNIPER NETWORKS		NONE			SOLD	12/4	J	B	
168	KROGER COMPANY	A	DIVIDEND	L	T	PURCHASE	2/27	K		
169						PARTIAL SALE	3/5	J		
170						PURCHASE	4/13	K		
171						PURCHASE	4/24	K		
172	LINEAR TECHNOLOGY	A	DIVIDEND			SOLD	12/4	J		
173	LOEWS CORP	A	DIVIDEND			PARTIAL SALE	3/5	K		
174						SOLD	3/6	K		
175	LQK CORP		NONE			PURCHASE	3/2	J		
176						SOLD	12/4	J	A	
177	MARKET VECTORS GOLD MINER ETF	A	DIVIDEND	N	T	PURCHASE	11/11	M		
178						PURCHASE	11/16	N		
179	MARVEL TECHNOLOGY GROUP		NONE			PURCHASE	5/7	J		

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180					SOLD	12/4	J	B	
181 MCAFEE INC		NONE			SOLD	6/2	J	A	
182 MCDONALDS	A	DIVIDEND	K	T	PURCHASE	9/2	K		
183 MEMC ELECTR MATLS INC		NONE			SOLD	12/3	J		
184 MERCADOLIBRE INC		NONE			PURCHASE	10/8	J		
185					SOLD	12/4	J	A	
186 METLIFE	A	DIVIDEND			PURCHASE	1/8	L		
187					PARTIAL SALE	3/5	K		
188					SOLD	5/15	K	B	
189 MINDRAY MEDICAL INTL		NONE			PURCHASE	11/9	J		
190					SOLD	12/4	J		
191 NATIONAL OILWELL VARCO	A	DIVIDEND			PURCHASE	2/27	J		
192					SOLD	12/4	J	B	
193 NETAPP INC		NONE			SOLD	12/4	J	B	
194 NEW ORIENTAL ED & TECH		NONE			PURCHASE	7/31	J		
195					SOLD	12/4	J		
196 NIKE	A	DIVIDEND			PARTIAL SALE	6/15	J	A	
197					PARTIAL SALE	6/25	J	A	

A.		B.		C.		D.				
DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
198						SOLD	9/10	J	A	
199	NOBLE CORP	A	DIVIDEND			SOLD	12/4	J		
200	NOBLE ENERGY	A	DIVIDEND			SOLD	12/4	J	B	
201	NOKIA	B	DIVIDEND			PURCHASE	1/8	J		
202						SOLD	2/24	L		
203						PURCHASE	4/13	K		
204						PARTIAL SALE	7/23	J		
205						SOLD	8/7	K	B	
206	NSTAR	A	DIVIDEND			PURCHASE	2/27	K		
207						PARTIAL SALE	3/5	J		
208						SOLD	8/7	J		
209	NUCOR	A	DIVIDEND			PURCHASE	1/8	K		
210						SOLD	2/27	K		
211						PURCHASE	3/3	J		
212						SOLD	12/4	J	B	
213	NUANCE COMMUNICATIONS		NONE			SOLD	12/4	J		
214	NVIDIA CORP		NONE			PURCHASE	11/20	J		
215						SOLD	12/4	J	A	

A.		B.		C.		D.				
DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
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216	OCCIDENTAL PETE CORP	B	DIVIDEND	M	T	PARTIAL SALE	3/5	L	B	
217						PURCHASE	4/24	K		
218						PURCHASE	9/2	K		
219						PURCHASE	9/22	K		
220	OLSTEIN ALL CAP VALUE FUND (MUTUAL FUND)	A	DIVIDEND			SOLD	12/2	M		
221	ORACLE CORP	A	DIVIDEND	K	T	PURCHASE	2/11	J		
222						PARTIAL SALE	2/27	K	D	
223						PARTIAL SALE	3/4	K	C	
224						PARTIAL SALE	3/5	L	D	
225						SOLD	3/6	L	D	
226						PURCHASE	8/7	K		
227						PARTIAL SALE	12/4	J	B	
228	PACKAGING CORP	C	DIVIDEND	L	T	PURCHASE	1/8	K		
229						PARTIAL SALE	3/5	K		
230						SOLD	3/6	K		
231						PURCHASE	6/15	K		
232						PURCHASE	6/22	K		
233						PARTIAL SALE	7/21	K	B	

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DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
234	PANERA BREAD CO		NONE			SOLD	2/17	J		
235	PARKER HANNIFIN	A	DIVIDEND			SOLD	12/4	J		
236	PEPSICO	E	DIVIDEND	O	T					
237	PERKINELMER INC	A	DIVIDEND			PURCHASE	7/1	J		
238						SOLD	12/4	J	A	
239	PFIZER INC		NONE	K	T	PURCHASE	11/13	K		
240	PHILIP MORRIS	B	DIVIDEND			SOLD	3/2	L		
241	PIONEER NATURAL RESOURCES	A	DIVIDEND	M	T	PURCHASE	1/8	L		
242						PARTIAL SALE	3/5	K		
243						SOLD	3/6	K		
244						PURCHASE	4/13	K		
245						PURCHASE	5/26	K		
246						PURCHASE	6/15	K		
247	PRAXAIR INC	A	DIVIDEND			SOLD	6/25	J		
248	ALTRIA GROUP - IRA ACCOUNT	B	DIVIDEND	K	T					
249	KRAFT FOODS INC - IRA ACCOUNT	A	DIVIDEND	K	T					
250	PHILIP MORRIS - IRA ACCOUNT	C	DIVIDEND	L	T					
251	RALCORP HOLDINGS INC - IRA ACCOUNT		NONE	J	T					

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		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
252	PRECISION CASTPARTS CORP	A	DIVIDEND			PURCHASE	1/8	L		
253						PARTIAL SALE	3/5	K		
254						PARTIAL SALE	3/6	K		
255						SOLD	5/7	J	A	
256	PRICELINE.COM		NONE			PARTIAL SALE	5/27	J	A	
257						SOLD	7/17	J	A	
258						PURCHASE	11/16	J		
259						SOLD	12/4	J	A	
260	PRIDE INTERNATIONAL		NONE			SOLD	1/8	K		
261						PURCHASE	6/19	J		
262						SOLD	12/4	J	B	
263	QUALCOMM INC	A	DIVIDEND			SOLD	8/31	J		
264	RALCORP HOLDINGS		NONE			PARTIAL SALE	3/5	K	C	
265						PURCHASE	4/24	K		
266						SOLD	9/22	L	D	
267	REINSURANCE GROUP OF AMERICA	A	DIVIDEND	M	T	PURCHASE	1/8	K		
268						PARTIAL SALE	3/5	K		
269						SOLD	3/6	K		

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270					PURCHASE	5/26	L		
271					PURCHASE	6/15	J		
272					PURCHASE	6/22	K		
273 RESEARCH IN MOTION		NONE			PARTIAL SALE	10/2	J	A	
274					SOLD	12/4	J	A	
275 ROCKWELL AUTOMATION INC	A	DIVIDEND			SOLD	2/27	K		
276 SCHLUMBERGER INTL	A	DIVIDEND			PURCHASE	6/16	J		
277					SOLD	12/4	J	A	
278 SEAGATE TECHNOLOGY		NONE			PURCHASE	8/31	J		
279					SOLD	12/4	J	A	
280 SEAHAWK FR PRIDE INTL		NONE			PURCHASE	8/24	J		
281					SOLD	9/1	J		
282 SMITH INTERNATIONAL	A	DIVIDEND			SOLD	2/11	J		
283 SMITHTOWN BANCORP	A	DIVIDEND	K	T					
284 SONIC CORP		NONE	P2	T	PARTIAL SALE	1/20	N	G	
285					OPTION EXERCISE	1/21	N		
286 STARBUCKS CORP		NONE			PURCHASE	6/17	J		
287					SOLD	12/4	J	B	

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288	STEC INC		NONE			PURCHASE	8/13	J		
289						SOLD	11/9	J		
290	STERLITE INDUSTRIES	A	DIVIDEND			PURCHASE	7/17	J		
291						SOLD	12/4	J	B	
292	STRAYER ED INC		NONE			SOLD	1/8	J		
293	STRYKER CORP	C	DIVIDEND			PURCHASE	2/17	J		
294						PARTIAL SALE	2/20	N	G	
295						SOLD	8/20	J		
296	SUNCOR INC	A	DIVIDEND			PURCHASE	6/25	J		
297						SOLD	12/4	J	A	
298	SUNPOWER CO		NONE			PURCHASE	9/28	J		
299						SOLD	12/4	J		
300	THIRD AVENUE INTL VALUE FUND (MUTUAL FND)		NONE			SOLD	12/3	M		
301	3M COMPANY	A	DIVIDEND			PURCHASE	8/14	J		
302						SOLD	12/4	J	A	
303	TORCHMARK CORP	A	DIVIDEND			PURCHASE	5/26	K		
304						SOLD	10/14	L	D	
305	TRANSOCEAN INC		NONE			SOLD	12/4	J		

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		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
306	THE TRAVELERS COS	B	DIVIDEND	M	T	PURCHASE	4/13	K		
307						PURCHASE	4/24	K		
308						PURCHASE	5/26	K		
309						PURCHASE	8/6	J		
310	TRIMBLE NAVIGATION LTD		NONE			PURCHASE	1/5	J		
311						SOLD	12/4	J		
312	T ROWE PRICE	A	DIVIDEND			PARTIAL SALE	7/10	J		
313						SOLD	12/4	J		
314	UNILEVER	C	DIVIDEND	M	T	PURCHASE	2/10	J		
315						PARTIAL SALE	3/5	J		
316						PURCHASE	5/5	J		
317	UNION PACIFIC	A	DIVIDEND			PURCHASE	5/26	K		
318						SOLD	6/22	K	B	
319	UNITED TECH CORP	A	DIVIDEND			SOLD	12/4	J		
320	UNUM GROUP	B	DIVIDEND	M	T	PARTIAL SALE	2/25	J		
321						PARTIAL SALE	3/5	K		
322						SOLD	3/6	K		
323						PURCHASE	4/13	K		

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324					PURCHASE	4/24	K		
325					PURCHASE	6/15	K		
326 URBAN OUTFITTERS		NONE			SOLD	3/27	J		
327 VARIAN MEDICAL SYSTEMS		NONE			PURCHASE	3/3	J		
328					SOLD	12/4	J	B	
329 WALGREEN CO	D	DIVIDEND	N	T	PURCHASE	5/8	N		
330 WAL MART STORES	E	DIVIDEND	P1	T	PURCHASE	5/21	K		
331					PURCHASE	6/15	K		
332					DONATED SOME SHARES (SEE LINE 409 BELOW)	12/15	M	G	
333 WATERS CORP		NONE			PURCHASE	6/30	J		
334					SOLD	12/4	J	A	
335 WELLS FARGO		NONE			PARTIAL SALE	1/23	K		
336					PARTIAL SALE	1/30	K		
337					SOLD	2/6	K		
338					PURCHASE	5/13	K		
339					SOLD	5/14	K	D	
340 WILLIS GROUP HOLDINGS	C	DIVIDEND	L	T	PURCHASE	1/8	L		

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341					PARTIAL SALE	3/5	L		
342					PURCHASE	4/13	K		
343					PURCHASE	4/24	K		
344					PARTIAL SALE	8/17	K	A	
345					PARTIAL SALE	11/16	K	C	
346 WMS INDUSTRIES		NONE			SOLD	9/15	J	A	
347 XEROX	B	DIVIDEND	M	T	PARTIAL SALE	3/5	K		
348					SOLD	3/6	K		
349					PURCHASE	6/15	L		
<u>CORPORATE BONDS</u>									
350 GENERAL ELECTRIC BOND	E	INTEREST			TENDERED	4/9	P2		
351 ALTRIA BOND	C	INTEREST			SOLD	6/15	L	D	
352 BERKSHIRE HATHAWAY BOND	A	INTEREST			PURCHASE	3/9	K		
353					SOLD	6/15	K	A	
354 CATERPILLAR BOND	A	INTEREST			PURCHASE	3/12	L		
355					SOLD	6/15	L	C	
356 COX COMMUNICATIONS BOND	B	INTEREST			PURCHASE	3/20	L		
357					SOLD	11/12	L	A	
358 ELI LILLY BOND	A	INTEREST			PURCHASE	3/6	L		

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359					PARTIAL SALE	6/15	K	B	
360					SOLD	8/7	K	A	
361 HOME DEPOT BOND	B	INTEREST			PURCHASE	3/16	L		
362					SOLD	10/9	L	B	
363 JOHN DEERE CAP CORP BOND	A	INTEREST			PURCHASE	3/30	K		
364					SOLD	6/15	K	B	
365 MARATHON OIL CORP BOND	B	INTEREST			PURCHASE	3/6	L		
366					SOLD	6/15	L	C	
367 SBC COMMUNICATIONS BOND	A	INTEREST			PURCHASE	3/16	L		
368					SOLD	6/15	L	B	
<u>OPTIONS (LINES 369-378) (SEE NOTE 2 IN SECTION VIII.)</u>									
369 GOLDMAN, SACHS GROUP - CALL		NONE			EXPIRED	1/20			
370 LEVEL 3 - CALL		NONE			EXPIRED	1/20			
371 SPX - PUT #1		NONE			SOLD SHORT	2/18	N		
372					EXPIRED	5/18		G	
373 SPX - PUT #2		NONE			PURCHASE	2/18	Q		
374					EXPIRED	5/18			
375 SPX - PUT #3		NONE			PURCHASE	7/8	M		

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376					EXPIRED	9/19			
377 SPX - PUT #4		NONE			PURCHASE	7/9	M		
378					EXPIRED	9/19			
<u>CASH/ S/T INVESTMENTS/MONEY MARKET ACCOUNTS (LINES 379-398) :</u>									
379 JPMORGAN MONEY MKT #1 (BEAR STEARNS - IRA CASH)	A	DIVIDEND	J	T					
380 GOLDMAN SACHS FINANCIAL SQUARE MM/CASH	C	INT/DIV	N	T	OPENED ACCOUNT	4/22	P2		
381 GOLDMAN SACHS INST ASSET FEDL PORTFOLIO MM	A	DIVIDEND			OPENED ACCOUNT	4/13	P2		
382					CLOSED ACCOUNT	4/22	P2		
383 GOLDMAN SACHS BANK DEPOSIT/CASH #2 (FKA GOLDMAN SACHS BANK DEPOSIT #3)	B	INTEREST	J	T					
384 CITIBANK CHECKING ACCOUNT - FOUNDATION		NONE	J	T					
385 CITIBANK INTEREST CHECKING ACCOUNT #1 (FKA CITIBANK INTEREST CHECKING A/C)	A	INTEREST	J	T					
386 MORGAN STANLEY BANK/TRUST DEPOSITS (FKA MORGAN STANLEY BANK DEPOSITS)	B	INTEREST	N	T					
387 CITIBANK CHECKING ACCOUNT		NONE	L	T					
388 CITIBANK ASSET ACCOUNT		NONE	L	T					
389 CITIBANK CASH RESERVE ACCOUNT	E	INTEREST			CLOSED ACCOUNT	12/2	N		
390 CITIBANK MONEY MARKET PLUS	A	INTEREST	P1	T	OPENED ACCOUNT	12/2	N		
391 CITIBANK INTEREST CHECKING ACCOUNT # 2	A	INTEREST	J	T					

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392	JPMORGAN MONEY MKT #2	A	DIVIDEND			ACCOUNT CLOSED	12/17	M		
393	NEUBERGER BERMAN INSTL LIQDTY SER INSTL CASH #1	B	DIVIDEND			ACCOUNT CLOSED	8/17	K		
394	STATE STREET INST LIQUID RESERVES MM/CASH	A	DIVIDEND	L	T	ACCOUNT OPENED	8/17	K		
395	BARCLAYS CASH (X) (FKA BARCLAYS WEALTH CASH ACCOUNT/MM) (SEE NOTE 17 IN SECTION VIII)	A	INTEREST	J	T	MM REDEEMED/CLOSED	12/16	J		
396	BLACKROCK MONEY MARKET/PNC CASH	A	DIVIDEND	J	T					
397	UBS BANK USA DEPOSIT ACCOUNT	A	INTEREST	K	T					
398	WESTERN ASSET/CITI INST US TREASURY MONEY FUND (FKA SMITH BARNEY-CITI INSTL US TREASURY MONEY FUND)	C	INTEREST	P1	T					
<u>FOUNDATION INVESTMENTS (LINES 399-592)</u>										
<u>FOUNDATION BROKERAGE ACCOUNT #1 (LINES 399-409)</u>										
<u>COMMON STOCKS</u>										
399	AMERICA MOVIL	B	DIVIDEND			SOLD	12/4	M		
400	ABBOTT LABORATORIES		NONE	L	T	RECEIVED FROM TRUSTEE (SEE LINE 15 ABOVE)	12/15	L		
401	DEVON ENERGY CORP	A	DIVIDEND			PURCHASE	5/8	L		
402						SOLD	12/4	L	A	
403	DYERSBURG CORP		NONE	J	T					
404	GENERAL ELECTRIC CO	C	DIVIDEND			SOLD	12/4	L		
405	KRAFT FOODS INC	C	DIVIDEND			SOLD	12/4	L	E	
406	PHILIP MORRIS INTL INC	D	DIVIDEND			SOLD	12/4	N	G	

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407	RALCORP HLDGS INC		NONE			SOLD	12/4	J	D	
408	SCHLUMBERGER LTD	A	DIVIDEND			SOLD	12/4	L		
409	WAL MART STORES INC		NONE	M	T	RECEIVED FROM TRUSTEE (SEE LINE 332 ABOVE)	12/15	M		
<u>FOUNDATION BROKERAGE ACCOUNT #2 (LINES 410 - 567)</u>										
410	GOLDMAN SACHS BANK DEPOSIT/CASH #3 (FKA GOLDMAN SACHS BANK DEPOSIT #5/CASH ACCOUNT)	A	INTEREST	J	T					
<u>COMMON STOCKS</u>										
411	AFFILIATED MANAGERS GROUP INC		NONE			PARTIAL SALE	1/13	J		
412						PARTIAL SALE	2/24	J		
413						PARTIAL SALE	3/18	J		
414						PURCHASE	4/6	J		
415						PARTIAL SALE	8/10	J		
416						PURCHASE	9/30	J		
417						PARTIAL SALE	11/9	J		
418						SOLD	11/20	K	D	
419	AGCO CORP		NONE			PARTIAL SALE	4/2	J		
420						PARTIAL SALE	4/17	J		
421						PARTIAL SALE	7/27	J		
422						PURCHASE	9/30	J		

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423						SOLD	11/20	K		
424	ARCH CHEMICAL INC	A	DIVIDEND			PURCHASE	3/19	J		
425						PURCHASE	4/6	J		
426						PARTIAL SALE	6/10	J		
427						SOLD	11/20	K		
428	BRINKS HOME SECURITY HOLDINGS		NONE			PURCHASE	3/16	J		
429						PURCHASE	3/17	J		
430						PURCHASE	3/19	J		
431						PURCHASE	5/4	J		
432						PURCHASE	5/14	J		
433						PURCHASE	9/25	J		
434						SOLD	11/20	J	C	
435	CARAUSTAR INDUSTRIES, INC		NONE			PARTIAL SALE	3/9	J		
436						SOLD	3/10	J		
437	CASCADE CORP	A	DIVIDEND			PURCHASE	7/29	J		
438						PURCHASE	7/30	J		
439						PARTIAL SALE	9/8	J		
440						PARTIAL SALE	9/17	J		

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441						PARTIAL SALE	9/18	J		
442						SOLD	11/20	J		
443	CHATTEM INC		NONE			PURCHASE	10/1	J		
444						PURCHASE	10/30	J		
445						SOLD	11/20	J	A	
446	CHICAGO BRIDGE AND IRON COMPANY		NONE			PURCHASE	3/2	J		
447						PARTIAL SALE	6/16	J		
448						PURCHASE	8/21	J		
449						PARTIAL SALE	9/17	J		
450						PARTIAL SALE	10/28	J	A	
451						SOLD	11/20	K	D	
452	COLUMBIA SPORTSWEAR COMPANY	A	DIVIDEND			PURCHASE	5/4	J		
453						PURCHASE	5/11	J		
454						PARTIAL SALE	9/9	J		
455						SOLD	11/20	J		
456	DARLING INTERNATIONAL INC		NONE			PURCHASE	3/20	J		
457						PARTIAL SALE	4/27	J		
458						PARTIAL SALE	6/8	J		

A. DESCRIPTION OF ASSETS	B. INCOME DURING REPORTING PERIOD		C. GROSS VALUE AT END OF REPORTING PERIOD		D. TRANSACTIONS DURING REPORTING PERIOD				
	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
459					PARTIAL SALE	6/10	J		
460					PURCHASE	8/21	J		
461					PURCHASE	10/27	J		
462					SOLD	11/20	K	C	
463 JAMES RIVER COAL COMPANY		NONE			PARTIAL SALE	1/6	J	B	
464					PARTIAL SALE	5/1	J	B	
465					PARTIAL SALE	5/4	J	B	
466					PARTIAL SALE	5/8	J	A	
467					PARTIAL SALE	6/3	J	A	
468					PARTIAL SALE	7/23	J		
469					SOLD	11/20	K	B	
470 JO-ANN STORES, INC		NONE			PURCHASE	10/9	J		
471					PURCHASE	10/30	J		
472					PURCHASE	11/2	J		
473					SOLD	11/20	J	B	
474 KOPPERS HOLDINGS, INC	A	DIVIDEND			PURCHASE	3/17	J		
475					PURCHASE	3/19	J		
476					PARTIAL SALE	4/17	J		

A.		B.		C.		D.				
DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
477						PARTIAL SALE	5/14	J		
478						PARTIAL SALE	6/12	J		
479						PURCHASE	8/21	J		
480						PARTIAL SALE	10/29	J		
481						SOLD	11/20	K		
482	MIDDLEBY CORP		NONE			PURCHASE	8/21	J		
483						PURCHASE	8/24	J		
484						PURCHASE	9/30	J		
485						PURCHASE	10/1	J		
486						PURCHASE	11/2	J		
487						SOLD	11/20	J		
488	NEWPORT CORP		NONE			PURCHASE	4/6	J		
489						PARTIAL SALE	8/10	J		
490						PARTIAL SALE	8/12	J		
491						PARTIAL SALE	8/19	J		
492						PARTIAL SALE	8/20	J		
493						PARTIAL SALE	10/26	J		
494						PARTIAL SALE	10/28	J		

A. DESCRIPTION OF ASSETS	B. INCOME DURING REPORTING PERIOD		C. GROSS VALUE AT END OF REPORTING PERIOD		D. TRANSACTIONS DURING REPORTING PERIOD				
	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
495					PARTIAL SALE	10/29	J		
496					PARTIAL SALE	11/9	J		
497					PARTIAL SALE	11/11	J		
498					PARTIAL SALE	11/16	J		
499					PARTIAL SALE	11/17	J		
500					SOLD	11/20	J		
501 NORDSON CORP	A	DIVIDEND			PARTIAL SALE	4/3	J		
502					PURCHASE	5/4	J		
503					PURCHASE	7/30	J		
504					SOLD	11/20	K	B	
505 OGE ENERGY CORP	A	DIVIDEND			PARTIAL SALE	3/12	J		
506					PURCHASE	4/6	J		
507					PURCHASE	5/4	J		
508					PURCHASE	6/10	J		
509					PARTIAL SALE	10/27	J		
510					SOLD	11/20	K		
511 PETROQUEST ENERGY, INC		NONE			PARTIAL SALE	3/9	J		
512					SOLD	3/10	J		

A.		B.		C.		D.				
DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
513	POLARIS INDS INC	A	DIVIDEND			PURCHASE	1/23	J		
514						PARTIAL SALE	4/16	J		
515						PARTIAL SALE	4/17	J		
516						PARTIAL SALE	8/10	J		
517						PARTIAL SALE	10/16	J		
518						PARTIAL SALE	10/19	J		
519						SOLD	11/20	K	A	
520	SMITHFIELD FOODS INC		NONE			PURCHASE	2/17	J		
521						PARTIAL SALE	4/2	J		
522						PURCHASE	4/6	J		
523						PURCHASE	5/4	J		
524						PARTIAL SALE	6/24	J		
525						PARTIAL SALE	7/9	J		
526						PURCHASE	8/21	J		
527						PARTIAL SALE	11/11	J		
528						SOLD	11/20	K		
529	TRACTOR SUPPLY CO		NONE			PURCHASE	1/2	J		
530						PARTIAL SALE	3/3	J		

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DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
531						PARTIAL SALE	3/12	J		
532						PURCHASE	3/19	J		
533						PURCHASE	5/11	J		
534						PARTIAL SALE	7/8	J	A	
535						PURCHASE	9/25	J		
536						PARTIAL SALE	10/12	J	A	
537						PURCHASE	10/27	J		
538						SOLD	11/20	K	C	
539	TRINITY INDUSTRIES INC	A	DIVIDEND			PURCHASE	8/21	J		
540						PARTIAL SALE	10/29	J		
541						SOLD	11/20	K		
542	URS CORPORATION		NONE			PARTIAL SALE	3/3	J		
543						PARTIAL SALE	3/5	J		
544						PARTIAL SALE	3/12	J		
545						PURCHASE	3/19	J		
546						PARTIAL SALE	4/3	J		
547						PURCHASE	5/4	J		
548						PARTIAL SALE	6/10	J	A	

A.		B.		C.		D.				
DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
549						PURCHASE	8/21	J		
550						PURCHASE	9/25	J		
551						PURCHASE	11/2	J		
552						SOLD	11/20	K	B	
553	USEC INC		NONE			PARTIAL SALE	1/13	J		
554						PARTIAL SALE	1/26	J		
555						PURCHASE	6/18	J		
556						PURCHASE	8/3	J		
557						PARTIAL SALE	8/18	J		
558						PARTIAL SALE	9/11	J		
559						PARTIAL SALE	10/7	J		
560						PARTIAL SALE	10/8	J		
561						PARTIAL SALE	10/14	J		
562						PARTIAL SALE	10/15	J	A	
563						PARTIAL SALE	10/26	J		
564						SOLD	10/27	J		
565	WASHINGTON FEDERAL INC	A	DIVIDEND			PARTIAL SALE	2/24	J		
566						PARTIAL SALE	2/26	J		

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	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
567					SOLD	3/11	J		
<u>FOUNDATION BROKERAGE ACCOUNT #3 (LINES 568 - 569)</u>									
568 -- SPRUCEGROVE NON US EQUITY LLC/CASH ACCOUNT	A	INTEREST	J	T					
569 -- SPRUCEGROVE NON US EQUITY OFFSHORE LP		NONE			SOLD	11/30	O		
<u>FOUNDATION BROKERAGE ACCOUNT #4 (LINES 570 - 592)</u>									
570 MORGAN STANLEY BANK/TRUST #1 (CASH/MM)	A	INTEREST	O	T	OPENED ACCOUNT	11/25	M		
571 MORGAN STANLEY BANK/TRUST #2 (CASH/MM)	A	INTEREST	L	T	OPENED ACCOUNT	12/4	N		
<u>COMMON STOCKS</u>									
572 ENERGY SEL SECT SPDR FUND	A	DIVIDEND	K	T	PURCHASE	12/4	K		
573 ISHARES BARCLAYS TIPS BD FUND		NONE	K	T	PURCHASE	12/7	K		
574 ISHARES DJ US HEALTH INDEX		NONE	K	T	PURCHASE	12/4	K		
575 ISHARES IBOX \$ H/Y CORP BND		NONE	M	T	PURCHASE	12/4	M		
576 ISHARES JP MORGAN EM BOND FUND		NONE	L	T	PURCHASE	12/4	L		
577 ISHARES MSCI CANADA INDEX FUND	A	DIVIDEND	K	T	PURCHASE	12/4	K		
578 ISHARES MSCI PAC EX-JPN INDEX	A	DIVIDEND	K	T	PURCHASE	12/4	K		
579 ISHARES S&P 500 GROWTH INDEX	A	DIVIDEND	L	T	PURCHASE	12/4	L		
580 ISHARES S&P 500 VALUE INDEX	A	DIVIDEND	K	T	PURCHASE	12/4	K		
581 ISHARES S&P MIDCAP 400 INDEX	A	DIVIDEND	K	T	PURCHASE	12/4	K		
582 ISHARES SP SMALL CAP 600 INDEX	A	DIVIDEND	K	T	PURCHASE	12/4	K		

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	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
583 ISHARES TR MSCI SMALL CAP	A	DIVIDEND	K	T	PURCHASE	12/4	K		
584 MARKET VECTORSAGRIBUS ETF	A	DIVIDEND	K	T	PURCHASE	12/4	K		
585 POWERSHARES DB COMM TRK INC		NONE	K	T	PURCHASE	12/7	K		
586 POWERSHARES S&P 500 BUYWRITE	A	DIVIDEND	L	T	PURCHASE	12/4	L		
587 SPDR S&P DIVIDEND	A	DIVIDEND	L	T	PURCHASE	12/4	L		
588 SPDR S&P INTL ENERGY SECTOR	A	DIVIDEND	K	T	PURCHASE	12/4	K		
589 UTILITIES SEL SECT SPDR FUND	A	DIVIDEND	L	T	PURCHASE	12/4	L		
590 VANGUARD EMRG MKTS ETF	B	DIVIDEND	M	T	PURCHASE	12/4	M		
591 VANGUARDEUROPEAN ETF	B	DIVIDEND	K	T	PURCHASE	12/4	K		
<u>MUTUAL FUNDS</u>									
592 PUTNAM DIVERSIFIED INC TR A	D	DIVIDEND	M	T	PURCHASE	12/7	L		
<u>INVESTMENTS IN NON-PUBLIC COMPANIES (LINES 593 - 683) (SEE NOTES 5 & 7 IN SECTION VIII.)</u>									
593 ARIZONA SNOWBOWL (AKA SUNWEST HOLDINGS) (SEE NOTE 1 IN SECTION VIII.)	F	K-1 DISTR	N	W	DISTRIBUTION	4/2	L		
594 ENTERTAINMENT ACQUISITION (SEE NOTES 1 & 4 IN SECTION VIII.)	B	K-1 DISTR			DISTRIBUTION	3/4	J		
595 CARTOON CUTS (Y)									
596 COSMOS PARTNERS (SEE NOTES 1 & 6 IN SECTION VIII.)		NONE	K	V	DISTRIBUTION	1/6	K		
597 TAMPA BAY RAYS (SEE NOTES 1 & 14 IN SECTION VIII.)		NONE	N	W					

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		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
598	FRESH DIRECT		NONE	O	W					
599	HARDING SERVICE, LLC (SEE NOTES 1 & 4 IN SECTION VIII)	A	K-1 DISTR							
600	OFFIT CAPITAL ADVISORS		NONE	N	W	ADDITIONAL INVESTMENT	6/29	K		
601	OPUS MEDIA PARTNERS (SEE NOTE 9 IN SECTION VIII)		NONE	O	W					
602	UNIVERSAL HOSPITAL SERVICES HOLDING CO (FKA IPC/UHS CO-INVESTMENT PARTNERS, LP)		NONE	M	W					
603	IRVING PLACE CAPITAL II (SEE NOTES 9 & 14 IN SECTION VIII)		NONE	O	W	ADDITIONAL INVESTMENT	5/9	J		
604						DISTRIBUTION	5/9	J		
605						ADDITIONAL INVESTMENT	11/30	J		
606						DISTRIBUTION	11/30	K		
607	IRVING PLACE CAPITAL III (SEE NOTES 9 & 14 IN SECTION VIII)		NONE	O	W	ADDITIONAL INVESTMENT	3/19	L		
608						ADDITIONAL INVESTMENT	6/1	J		
609						ADDITIONAL INVESTMENT	11/17	J		
610						DISTRIBUTION	11/17	J		
611	BLACKSTONE REAL ESTATE PARTNERS (SEE NOTES 9 & 14 IN SECTION VIII)		NONE	P1	W	DISTRIBUTION	2/6	J		
612						ADDITIONAL INVESTMENT	3/5	K		
613						ADDITIONAL INVESTMENT	4/15	J		

A.		B.		C.		D.				
DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
614						ADDITIONAL INVESTMENT	9/23	J		
615						ADDITIONAL INVESTMENT	12/9	K		
616						ADDITIONAL INVESTMENT	12/23	K		
617	CENTERVIEW CAPITAL (SEE NOTE 9 IN SECTION VIII)	A	K-1 DISTR	M	W	ADDITIONAL INVESTMENT	3/20	J		
618						DISTRIBUTION	3/20	J		
619	BIRDS EYE FOODS (SEE NOTE 15 IN SECTION VIII)		NONE			SOLD	12/30	P1	H1	Pinnacle Food Group
620	DYNA VOX (SEE NOTE 15 IN SECTION VIII)		NONE	N	W	RETURN OF CAPITAL	12/30	J		
621	VESTAR ASSOCIATES II (Y) (SEE NOTE 10 IN SECTION VIII)									
622	VESTAR CAPITAL PARTNERS/ASSOC. III (SEE NOTE 10 IN SECTION VIII)	F	K-1 DISTR							
623	VESTAR CAPITAL PARTNERS/ASSOC. IV & AIV (SEE NOTES 10 & 14 IN SECTION VIII)	D	K-1 DISTR	L	W					
624	VESTAR CAPITAL PARTNERS/ASSOC V (SEE NOTE 10 IN SECTION VIII)	B	K-1 DISTR/ DIVIDEND			DEEMED CAPITAL CALL	9/30	J		
625	CONSOLIDATED CONTAINER (SEE NOTE 15 IN SECTION VIII)		NONE	P1	W					
626	ST JOHNS KNITS (SEE NOTE 15 IN SECTION VIII)		NONE	O	W					
627	ARGO TECH (SEE NOTE 15 IN SECTION VIII)		NONE	K	W	RETURN OF CAPITAL	12/30	K		

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628 AZ ELECTRONIC MATERIALS (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
629 CCS INCOME TRUST (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
630 CESARE FIORUCCI (SEE NOTE 15 IN SECTION VIII)		NONE	N	W					
631 DUFF & PHELPS (SEE NOTE 15 IN SECTION VIII)	C	DIVIDEND	O	W	RETURN OF CAPITAL	6/2	M	F	
632					RETURN OF CAPITAL	12/30	K		
633 ESSENT HEALTHCARE (SEE NOTE 15 IN SECTION VIII)		NONE	O	W					
634 GLEASON CORP (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
635 THE SUN PRODUCTS CORP (SEE NOTE 15 IN SECTION VIII)		NONE	P1	W					
636 MEDI-MEDIA (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
637 NATIONAL MENTOR HOLDINGS (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
638 NYBRON FLOORING (SEE NOTES 12 & 15 IN SECTION VIII)		NONE			RETURN OF CAPITAL	5/22	J		
639					RETURN OF CAPITAL	6/2	J		
640 OGF GROUP (SEE NOTE 15 IN SECTION VIII)		NONE	N	W					

A.		B.		C.		D.				
DESCRIPTION OF ASSETS		INCOME DURING REPORTING PERIOD		GROSS VALUE AT END OF REPORTING PERIOD		TRANSACTIONS DURING REPORTING PERIOD				
		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
641	PARIS RE (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
642	PRESS GANEY (SEE NOTE 15 IN SECTION VIII)		NONE	N	W					
643	RADIATION THERAPY (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
644	SEVES SPA (SEE NOTE 15 IN SECTION VIII)		NONE	J	W	ADDITIONAL INVESTMENT	11/18	J		
645	SOLO CUP COMPANY (SEE NOTE 15 IN SECTION VIII)		NONE	P1	W					
646	SUNRISE MEDICAL/JOERNS HEALTHCARE (SEE NOTE 15 IN SECTION VIII)		NONE	O	W					
647	SYMETRA FINANCIAL (SEE NOTE 15 IN SECTION VIII)		NONE	O	W					
648	VALIDUS HOLDINGS (SEE NOTE 15 IN SECTION VIII)	E	DIVIDEND	P1	W					
649	WILTON RE HOLDINGS (SEE NOTE 15 IN SECTION VIII)		NONE	P1	W					
650	AVON DISTRIBUTION LLC (SEE NOTES 1 & 3 IN SECTION VIII)		NONE			FINAL DISTRIBUTION	12/22	O	G	
651	FLAG VENTURE PARTNERS (SEE NOTES 9 & 14 IN SECTION VIII)		NONE	P1	W					
652	RED ABBEY (SEE NOTE 9 IN SECTION VIII)		NONE	N	W	ADDITIONAL INVESTMENT	1/29	K		
653						ADDITIONAL INVESTMENT	4/30	K		

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654					ADDITIONAL INVESTMENT	10/15	K		
655 SENTINEL CAPITAL PARTNERS/SENTINEL PARTNERS (I) (Y) (SEE NOTE 10 IN SECTION VIII)									
656 SENTINEL CAPITAL PARTNERS/SENTINEL PARTNERS (II) (SEE NOTES 10 & 14 IN SECTION VIII)	A	K-1 DISTR							
657 SENTINEL CAPITAL PARTNERS (III) (SEE NOTE 10 IN SECTION VIII)	F	K-1 DISTR							
658 SENTINEL CAPITAL PARTNERS (IV) (SEE NOTES 10 & 11 IN SECTION VIII)	E	K-1 DISTR							
659 CREDIT INFONET HOLDINGS (SEE NOTE 15 IN SECTION VIII)		NONE	M	W	INITIAL INVESTMENT	1/29	M		
660 INSCAPE (SEE NOTE 15 IN SECTION VIII)		NONE	N	W					
661 INTERIM HEALTHCARE (SEE NOTE 15 IN SECTION VIII)		NONE	O	W					
662 LTI FLEXIBLE PRODUCTS (SEE NOTE 15 IN SECTION VIII)		NONE	M	W	ADDITIONAL INVESTMENT	11/17	M		
663 MADILL CORP (SEE NOTES 8 & 15 IN SECTION VIII)		NONE							
664 METROPOLITANDENTAL (SEE NOTES 12 & 15 IN SECTION VIII)		NONE			ESCROW RELEASE	1/5	M	G	
665 MIDWEST WHOLESALE HARDWARE (SEE NOTE 15 IN SECTION VIII)		NONE	M	W					
666 NORTH AMERICAN RESCUE HOLDINGS		NONE	M	W	INITIAL INVESTMENT	10/28	M		

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		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
(SEE NOTE 15 IN SECTION VIII)										
667	PRECISION PIPELINE SOLUTIONS (SEE NOTE 15 IN SECTION VIII)		NONE	L	W	INITIAL INVESTMENT	10/28	L		
668	REACHOUT HEALTHCARE (SEE NOTE 15 IN SECTION VIII)		NONE	O	W	ADDITIONAL INVESTMENT	1/5	L		
669	SOUTHERN CALIFORNIA PIZZA CO (SEE NOTE 15 IN SECTION VIII)		NONE	O	W	ADDITIONAL INVESTMENT	11/17	M		
670	SPINRITE (SEE NOTE 15 IN SECTION VIII)		NONE	P1	W					
671	STRATEGIC PARTNERS (SEE NOTE 15 IN SECTION VIII)		NONE	P1	W					
672	TRINITY CONSULTANTS HOLDINGS (SEE NOTE 15 IN SECTION VIII)	D	INTEREST	N	W					
673	TRUSSBILT HOLDINGS (SEE NOTE 15 IN SECTION VIII)		NONE	N	W					
674	VINTAGE HOLDINGS (SEE NOTE 15 IN SECTION VIII)		NONE	O	W					
675	SCIENS CAPITAL PARTNERS (SEE NOTE 9 IN SECTION VIII)		NONE	L	W					
676	NORTHERN HELLENIC HOLDINGS LLC (SEE NOTES 6, 9 & 14 IN SECTION VIII)		NONE	N	V					
677	PARK AVENUE PARTNERS (SEE NOTES 9 & 14 IN SECTION VIII)	E	K-1 DISTR	O	W	DISTRIBUTION	6/10	K		
678						ADDITIONAL INVESTMENT	8/14	K		

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		(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
679	QUINTANA ENERGY PARTNERS (SEE NOTES 9 & 14 IN SECTION VIII)		NONE	O	W	ADDITIONAL INVESTMENT	12/1	K		
680	NB CO-INVESTMENT PARTNERS LP/CAYMAN AIV LP (FKA LEHMAN BROTHERS CO-INVESTMENT LP/CAYMAN AIV LP) (SEE NOTES 9 & 14 IN SECTION VIII)		NONE	P1	W	ADDITIONAL INVESTMENT	7/30	K		
681						DISTRIBUTION	7/30	L		
682						ADDITIONAL INVESTMENT	12/14	K		
683						DISTRIBUTION	12/14	J		
	<u>OTHER INVESTMENTS/NOTES RECEIVABLE (684 - 722)</u>									
684	CHESAPEAKE PARTNERS (SEE NOTE 1 IN SECTION VIII)		NONE	P1	U	PARTIAL WITHDRAWAL	1/5	P1		
685	FARALLON CAPITAL PARTNERS (SEE NOTES 1 & 14 IN SECTION VIII)		NONE	P1	U	PARTIAL WITHDRAWAL	1/22	O		
686						PARTIAL WITHDRAWAL	2/26	M		
687						PARTIAL WITHDRAWAL	3/31	M		
688						PARTIAL WITHDRAWAL	5/4	M		
689						PARTIAL WITHDRAWAL	6/10	J		
690						PARTIAL WITHDRAWAL	6/26	L		
691						PARTIAL WITHDRAWAL	7/29	L		
692						PARTIAL WITHDRAWAL	8/24	K		
693						PARTIAL WITHDRAWAL	8/27	L		
694						PARTIAL WITHDRAWAL	10/6	K		

A. DESCRIPTION OF ASSETS	B. INCOME DURING REPORTING PERIOD		C. GROSS VALUE AT END OF REPORTING PERIOD		D. TRANSACTIONS DURING REPORTING PERIOD				
	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
695					PARTIAL WITHDRAWAL	11/5	K		
696					PARTIAL WITHDRAWAL	11/10	K		
697					PARTIAL WITHDRAWAL	12/15	K		
698					PARTIAL WITHDRAWAL	12/30	J		
699 AXIOM INTERNATIONAL INVESTORS LLC (SEE NOTE 1 IN SECTION VIII)	G	K-1 DISTR	P1	U					
700 THE BLENHEIM FUND LLC (SEE NOTE 1 IN SECTION VIII)	G	K-1 DISTR	P1	U					
701 BREVAN HOWARD, LP (SEE NOTE 16 IN SECTION VIII)		NONE	P1	V	INITIAL INVESTMENT	12/23	P1		
702 PAULSON ADVANTAGE, LP (SEE NOTE 16 IN SECTION VIII)		NONE	P1	V	INITIAL INVESTMENT	12/23	P1		
703 PORTAGE PARTNERS (SEE NOTE 1 IN SECTION VIII)		NONE			WITHDREW	2/27	K		
704 SABRETOOTH ONSHORE FUND (SEE NOTE 1 IN SECTION VIII)	D	K-1 DISTR	N	U	INITIAL INVESTMENT	7/27	N		
705 TOWLE CAPITAL PARTNERS (SEE NOTE 1 IN SECTION VIII)	E	K-1 DISTR	O	U					
706 WHALE ROCK FLAGSHIP FUND (SEE NOTE 1 IN SECTION VIII)	G	K-1 DISTR	P1	U					
707 F E RICHARDSON & CO (SEE NOTES 1, 13 & 14 IN SECTION VIII)		NONE	L	V	ADDITIONAL INVESTMENT	1/30	L		
708					ADDITIONAL INVESTMENT	2/6	L		

A. DESCRIPTION OF ASSETS	B. INCOME DURING REPORTING PERIOD		C. GROSS VALUE AT END OF REPORTING PERIOD		D. TRANSACTIONS DURING REPORTING PERIOD				
	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
709					ADDITIONAL INVESTMENT	3/6	K		
710					ADDITIONAL INVESTMENT	3/20	K		
711					ADDITIONAL INVESTMENT	5/20	K		
712					ADDITIONAL INVESTMENT	6/2	L		
713					ADDITIONAL INVESTMENT	6/24	M		
714					ADDITIONAL INVESTMENT	7/30	K		
715					ADDITIONAL INVESTMENT	9/25	K		
716					ADDITIONAL INVESTMENT	10/23	K		
717					ADDITIONAL INVESTMENT	11/23	K		
718					ADDITIONAL INVESTMENT	12/23	K		
719 OP40 INC (SEE NOTE 5 IN SECTION VIII)		NONE	L	W					
720 OSCAR S SCHAFFER PARTNERS II (SEE NOTE 1 IN SECTION VIII)		NONE	P1	U	PARTIAL WITHDRAWAL	1/5	P1		
721 NOTE RECEIVABLE - PETER JONES	B	INTEREST			NOTE REPAYED	2/2	L		
722 HAWK GROUP S.A. (SEE NOTE 5 IN SECTION VIII)		NONE	N	W	ADDITIONAL INVESTMENT	1/29	L		
<u>PROFIT SHARING PLAN FUNDS (LINES 723 - 724)</u>									
723 — ING T. ROWE PRICE EQ INCOME PT		NONE	M	T					
724 — ING MARSICO INTERNATIONAL OPP PORT		NONE	K	T					

A. DESCRIPTION OF ASSETS	B. INCOME DURING REPORTING PERIOD		C. GROSS VALUE AT END OF REPORTING PERIOD		D. TRANSACTIONS DURING REPORTING PERIOD				
	(1) AMT CODE (A - H)	(2) TYPE	(1) VALUE CODE (J - P)	(2) VALUE METHOD (Q - W)	(1) TYPE	(2) DATE	(3) VALUE CODE (J - P)	(4) GAIN CODE (A - H)	(5) IDENTITY (IF PRIVATE)
743 --- THIRD AVENUE INTL VALUE (MUTUAL FUND)									
744 TRUST #3 (LINES 745 - 746)	A	DIVIDEND	L	T					
745 --- BLACKROCK LIQUIDITY FUNDS									
746 --- JENNISON 20/20 FOCUS FUND (MUTUAL FUND)									
747 RENTAL PROPERTY - NEW YORK, NY (6/15/2005 \$850,000)	D	RENT	O	R					

FINANCIAL DISCLOSURE REPORT
Page 5 of 6

Name of Person Reporting WOOD, KIMBA M.	Date of Report 5/11/2010
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

See attached

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

NOTE 1

If there was either a partial withdrawal or no withdrawal from this S corporation or partnership during the reporting year, all K-1 activity (interest, dividends, capital gains, ordinary income, etc.) was netted together, and, if that net figure was larger than the required income threshold, it was included in Column B.(1) with Column B.(2) noting “K-1 DISTR” (K-1 Distribution). If the K-1 activity netted to a loss, then Column B.(1) was left blank and “NONE” was included in Column B.(2).

If the S Corporation or partnership interest was either sold or fully withdrawn from during the reporting year, the capital gain amount is included in Column D along with other transaction details. The remaining K-1 figures were netted together, and if larger than the required income threshold, included in Column B.(1) with Column B.(2) noting “K-1 DISTR”.

Both of the above approaches were obtained from Mr. George Reynolds, Financial Disclosure Examiner.

NOTE 2

For put options that were sold short and then expired, the gain is included on the “EXPIRED” line because that was when the gain was realized. Since the option was sold short, though, the value was recorded at the time of sale and included on the “SOLD SHORT” line. Therefore, there is no value code listed on the “EXPIRED” line. For puts/calls that expired, there is no value code listed in Column D.(3) because the warrants were worthless.

NOTE 3

This LLC's only asset was an office building. The building was sold in 2009 and the funds were distributed to the limited partners. The company issued its final K-1 in 2009. Hence, there is no value code listed in Column C.(1).

NOTE 4

This asset had no value on the books as of the end of the year. Therefore, there is no value code reported in Column C.(1). However, the K-1 reported income over the threshold level so the asset is reportable.

NOTE 5

There are many investments in non-public companies. The estimated market values used for all such investments, unless otherwise noted, are based upon the current knowledge of the worth of such companies, discussions with the companies' management and company issued reports.

NOTE 6

Either the Ending Capital Account value from the entity's 2009 K-1, or an estimate of the same, was used to determine its year-end value code for Column C.(1).

NOTE 7

For those entities which issued K-1s, if the K-1 netted to a loss but there was another source of income from the entity, the source of the other income is listed instead of "NONE". If there was K-1 income and an additional source of income, both amounts were summed to determine the code for Column B.(1) and both types of income are noted in Column B.(2).

NOTE 8

Although there is an investment in this company, it is considered worthless. Therefore, there is no year-end value code reported in Column C.(1). However, since it is a Sentinel Capital portfolio company, it is deemed reportable. See Note 17 for more information.

NOTE 9

There is a limited partnership interest in this entity. Since neither the filer nor her spouse can "direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity", *Financial Disclosure Filing Instructions, page 35*, the assets held by the partnership are not reportable.

If the partnership had a capital call for an investment in a specific company, "ADDITIONAL INVESTMENT" is noted in Column D.(1). The name of the underlying company is not listed. Further, if the partnership either returned capital or sold one of its investments and returned funds to the reporting [REDACTED] "DISTRIBUTION" is listed in Column D.(1). Neither the name of the underlying company nor the gain amount is listed.

The entity's K-1 is considered the source document for all income from this investment (including capital gains/losses). All K-1 activity was netted together and if greater than the required income threshold, included in Column B.(1) with Column B.(2) noting "K-1 DISTR". If the K-1 activity netted to a loss, then Column B.(1) was left blank and "NONE" was included in Column B.(2).

NOTE 10

There are several Vestar and Sentinel Partnerships (See Lines 621-624 and 655-658 in Section VII). The portfolio companies they own are all listed separately on this report because the filer's spouse "can direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity," *Financial Disclosure Filing Instructions, page 35*.

In Vestar III, IV and V and Sentinel II, III and IV, there is both a limited partner (LP) and general partner (GP) interest (each interest is housed in a different partnership). For purposes of this report, the K-1 information for the LP/GP interests of each Fund is combined and included on one line. This approach matches the way the Funds' portfolio companies are included on this report (the GP/LP interests are both included when determining the value code for Column C.(1)). For Vestar II, Vestar Equity Partners II filed its final K-1 in 2006 and Vestar Associates II filed its final K-1 in 2008. Therefore, Vestar II is no longer reportable. For Sentinel Capital Partners I, the 2008 K-1s were final. Therefore, Sentinel I is no longer reportable.

Each year, there is a K-1 from each of the partnerships. The K-1s summarize all of the ordinary income (loss), portfolio income, capital gains/losses, etc., for all of the underlying companies. To avoid double counting, if an underlying company was sold, the capital gain/loss is included on the line where the actual company is listed and is excluded from the K-1 income reported in Column B.(1) for each of the partnerships.

The remaining K-1 items were netted together. If the net amount was larger than the required income threshold, that amount was included in Column B.(1) with Column B.(2) noting "K-1 DISTR". If the K-1 activity netted to a loss, then "NONE" is included in Column B.(2). As a result, since all K-1 activity is accounted for at the partnership level, the underlying companies which are listed separately do not show any income in Column B.(1) (unless there is an item that is not included on the K-1).

Of the Vestar Funds and the Sentinel Funds, only Vestar IV had a value on the books as of the end of 2009. Therefore, there is no market value reported in Column C.(1) for any of the other funds. Because the Partnerships' portfolio companies are listed separately on this report, the partnerships themselves oftentimes show no market value.

NOTE 11

Sentinel Capital Partners IV started purchasing portfolio companies in 2009. All such companies are listed separately on this report. See Note 10 for additional information.

NOTE 12

This company was either written off or sold in a prior year. Therefore, there is no year end value reported in Column C.(1).

NOTE 13

The filer's [redacted] is the sole shareholder of this S corporation. The company's assets are limited to office furniture, office equipment, a checking account, a money market account and two limited partnership interests in Cosmos and Hawk which are listed separately on this report (See Lines 596 and 722 in Section VII). The value used to determine the year-end valuation code was the checking/money market account balances plus the office furniture/equipment balance (less accumulated depreciation).

NOTE 14

This company's 2009 K-1 was not received by the May 15, 2010 Disclosure Report filing deadline. Therefore, the company's income has been estimated. Once the actual K-1 is received, if the income code based on the actual K-1 differs from the code reported in this report, a letter explaining the difference will be filed with the Committee.

NOTE 15

This investment is made through either a Vestar or a Sentinel partnership (See Lines 621-624 and 655-658 in Section VII). Since the filer's  can "direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity", *Financial Disclosure Filing Instructions, page 35*, the partnership's assets must be listed separately on this report. As a result, this company is reportable.

All transactions (investments, sales and related gain/(loss), distributions, etc.) are reported for the company. Any K-1 income (excluding gain/(loss) on sales) attributable to the company, however, is included in the partnership's line. If income was received separate from the K-1, it is recorded on the portfolio company's line in Column B. See Note 10 for more information.

NOTE 16

Funds for this investment were wire transferred on 12/23/09. However, the investment was not accepted into the LP until 1/1/2010. Therefore, the cost of the investment was used as the market value of the investment as of year-end. There was no K-1 issued for 2009.

NOTE 17

This was a money market/cash account attached to an investment account. The money market was redeemed and closed on December 16. The investment is listed separately on this report (See Line 680 in Section VII). Neither the income nor the cash balance at year-end met the threshold for reporting. However, since the cash account is associated with a reportable investment, the account is deemed reportable.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

WOOD, KIMBA M.

Date of Report

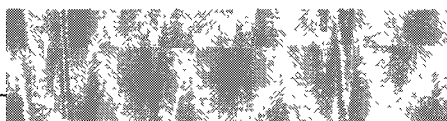
5/11/2010

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544