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Form **990-PF**Department of the Treasury
Internal Revenue Service**Return of Private Foundation**

Section 4947(a)(1) Nonexempt Charitable Trust

Treated as a Private Foundation

OMB No 1545-0052

2008

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

For calendar year 2008, or tax year beginning

12/01, 2008, and ending

11/30, 2009

G Check all that apply

Initial return

Final return

Amended return

Address change

Name change

Use the IRS
label.Otherwise,
print
or type
See Specific
Instructions.

Name of foundation

JOHN & ANNE DUFFY FOUNDATION, INC.

Number and street (or P O box number if mail is not delivered to street address)

Room/suite

2420 E. CAMINO LA ZORRELA

City or town, state, and ZIP code

TUCSON, AZ 85718

A Employer identification number

22-2598324

B Telephone number (see page 10 of the instructions)

(520) 299-1825

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

Check type of organization ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

Fair market value of all assets at end of year (from Part II, col (c), line

16) ☒ Accounting method ☒ Cash ☐ Accrual☐ Other (specify) (Part I, column (d) must be on cash basis)

16) \$ 3,333,686.

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions))

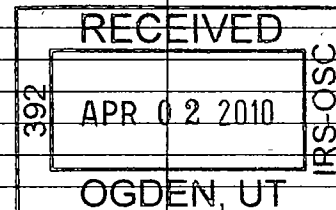
(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

1	Contributions, gifts, grants etc. received (attach schedule)				
2	Check ☒ if the foundation is not required to attach Sch. B.				
3	Interest on savings and temporary cash investments	1,165.	1,165.		
4	Dividends and interest from securities	69,721.	69,721.		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	-939,565.			
b	Gross sales price for all assets on line 6a	3,755,624.			
7	Capital gain net income (from Part IV, line 2)		NONE		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold				
c	Gross profit or (loss) (attach schedule)				
11	Other income (attach schedule)				
12	Total. Add lines 1 through 11	-868,679.	70,886.		
13	Compensation of officers, directors, trustees, etc.	NONE			
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule) STMT. 1	5,800.	2,900.	NONE	2,900.
c	Other professional fees (attach schedule)				
17	Interest				
18	Taxes (attach schedule) (see page 14 of the instructions)				
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (attach schedule) STMT. 2	18,363.	13,662.		4,701.
24	Total operating and administrative expenses. Add lines 13 through 23	24,163.	16,562.	NONE	7,601.
25	Contributions, gifts, grants paid	182,500.			182,500.
26	Total expenses and disbursements. Add lines 24 and 25	206,663.	16,562.	NONE	190,101.
27	Subtract line 26 from line 12				
a	Excess of revenue over expenses and disbursements	-1,075,342.			
b	Net investment income (if negative, enter -0-)		54,324.		
c	Adjusted net income (if negative, enter -0-)			-0-	



For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions.

JSA
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Part II Balance Sheets

Attached schedule 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	33,718.	2,830.	2,830.
	2 Savings and temporary cash investments	244,571.	357,244.	357,244.
	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 page 15 of the instructions)			
	7 Other notes and loans receivable (attach schedule) ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10 a Investments - U S and state government obligations (attach schedule)			
	b Investments - corporate stock (attach schedule) . STMT 3.	4,022,466.	2,724,826.	2,830,679.
	c Investments - corporate bonds (attach schedule) . STMT 4.	NONE	140,513.	142,933.
	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				
Less accumulated depreciation (attach schedule) ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	4,300,755.	3,225,413.	3,333,686.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)				
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☒			
	27 Capital stock, trust principal, or current funds	4,364,761.	4,364,761.	
	28 Paid-in or capital surplus, or land, bldg and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds	-64,006.	-1,139,348.	
30 Total net assets or fund balances (see page 17 of the instructions)	4,300,755.	3,225,413.		
31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	4,300,755.	3,225,413.		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	4,300,755.
2 Enter amount from Part I, line 27a	2	-1,075,342.
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	3,225,413.
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	3,225,413.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co.)

(b) How acquired
P-Purchase
D-Donation(c) Date acquired
(mo., day, yr.)(d) Date sold
(mo., day, yr.)

1a SEE PART IV SCHEDULE

b

c

d

e

(e) Gross sales price

(f) Depreciation allowed
(or allowable)(g) Cost or other basis
plus expense of sale(h) Gain or (loss)
(e) plus (f) minus (g)

a

b

c

d

e

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F M V as of 12/31/69

(j) Adjusted basis
as of 12/31/69(k) Excess of col (i)
over col (j), if any(l) Gains (Col (h) gain minus
col (k), but not less than -0-) or
Losses (from col (h))

a

b

c

d

e

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7
If (loss), enter -0- in Part I, line 7 } 2 -939,565.

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 pages 13 and 17 of the instructions)
If (loss), enter -0- in Part I, line 8. } 3

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 page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2007	258,000.	4,436,071.	0.058160
2006	109,235.	5,709,414.	0.019132
2005	25,765.	3,911,547.	0.006587
2004	102,564.	3,458,414.	0.029656
2003	61,560.	3,148,875.	0.019550

2 Total of line 1, column (d) 2 0.133085

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 0.026617

4 Enter the net value of noncharitable-use assets for 2008 from Part X, line 5 4 2,959,729.

5 Multiply line 4 by line 3 5 78,779.

6 Enter 1% of net investment income (1% of Part I, line 27b) 6 543.

7 Add lines 5 and 6 7 79,322.

8 Enter qualifying distributions from Part XII, line 4 8 190,101.

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 on page 18.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), and 4948 - see page 18 of the instructions)

1 a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 11		
	Date of ruling letter _____ (attach copy of ruling letter if necessary - see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	543.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2	3	543.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	NONE
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	543.
6	Credits/Payments		
a	2008 estimated tax payments and 2007 overpayment credited to 2008	6a	8,511.
b	Exempt foreign organizations-tax withheld at source	6b	NONE
c	Tax paid with application for extension of time to file (Form 8868)	6c	NONE
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	8,511.
8	Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	NONE
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	7,968.
11	Enter the amount of line 10 to be Credited to 2009 estimated tax 7,968. Refunded	11	

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 page 19 of the instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ NONE (2) On foundation managers \$ NONE		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ NONE		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
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? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8 a Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) AZ, NJ,		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G ? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2008 or the taxable year beginning in 2008 (see instructions for Part XIV on page 27)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		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)(3)? If "Yes," attach schedule (see page 20 of the instructions) **11** ☐ Yes ☒ No **X**
- 12 Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? **12** ☐ Yes ☒ No **X**
- 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? **13** ☒ Yes ☐ No **X**
- Website address **▶** N/A
- 14 The books are in care of **▶** JOHN DUFFY Telephone no **▶** (520) 299-1825
 Located at **▶** 2420 E. CAMINO LA ZORRELA TUCSON, AZ ZIP + 4 **▶** 85718
- 15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here **N/A** ☐
 and enter the amount of tax-exempt interest received or accrued during the year **15** ☐

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 page 20 of the instructions)? 1b ☐ Yes ☒ No 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 2008? 1c ☐ Yes ☒ No 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 2008, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2008? ☐ Yes ☒ No | | |
| If "Yes," list the years ▶ _____ | | |
| b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see page 20 of the instructions) 2b ☐ Yes ☒ No 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 ▶ _____ | | |
| 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 2008 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 2008) 3b ☐ Yes ☒ No N/A | | |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4a ☐ Yes ☒ No 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 2008? 4b ☐ Yes ☒ No 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 page 22 of the 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 page 22 of the 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? ☐ Yes ☐ No **N/A**

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 **6b**

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No **6b** X

If you answered "Yes" to 6b, also file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No **7b** N/A

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No **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 page 22 of the 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 5		NONE	NONE	NONE

2 Compensation of five highest-paid employees (other than those included on line 1 - see page 23 of the 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		NONE	NONE	NONE

Total number of other employees paid over \$50,000 ☐ NONE

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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		NONE

Total number of others receiving over \$50,000 for professional services NONE

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 NOT APPLICABLE	NONE
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see page 23 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NOT APPLICABLE	NONE
2	
All other program-related investments See page 24 of the instructions	
3 NONE	NONE
Total. Add lines 1 through 3	NONE

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Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the 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	2,723,747.
b	Average of monthly cash balances	1b	281,054.
c	Fair market value of all other assets (see page 24 of the instructions)	1c	NONE
d	Total (add lines 1a, b, and c)	1d	3,004,801.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	NONE
3	Subtract line 2 from line 1d	3	3,004,801.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions)	4	45,072.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,959,729.
6	Minimum investment return. Enter 5% of line 5	6	147,986.

Part XI Distributable Amount (see page 25 of the 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	147,986.
2a	Tax on investment income for 2008 from Part VI, line 5	2a	543.
b	Income tax for 2008 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	543.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	147,443.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	147,443.
6	Deduction from distributable amount (see page 25 of the instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	147,443.

Part XII Qualifying Distributions (see page 25 of the 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	190,101.
b	Program-related investments - total from Part IX-B	1b	NONE
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	NONE
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	NONE
b	Cash distribution test (attach the required schedule)	3b	NONE
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	190,101.
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 page 26 of the instructions)	5	543.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	189,558.

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 page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2007	(c) 2007	(d) 2008
1 Distributable amount for 2008 from Part XI, line 7				147,443.
2 Undistributed income, if any as of the end of 2007				
a Enter amount for 2007 only			8,909.	
b Total for prior years 20 . . . 20 . . . 20 . . .		NONE		
3 Excess distributions carryover, if any, to 2008				
a From 2003	NONE			
b From 2004	NONE			
c From 2005	NONE			
d From 2006	NONE			
e From 2007	NONE			
f Total of lines 3a through e	NONE			
4 Qualifying distributions for 2008 from Part XII, line 4 ► \$				
a Applied to 2007, but not more than line 2a . . .			8,909.	
b Applied to undistributed income of prior years (Election required - see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required - see page 26 of the instructions)				
d Applied to 2008 distributable amount				147,443.
e Remaining amount distributed out of corpus . .	33,749.			
5 Excess distributions carryover applied to 2008 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	33,749.			
b Prior years' undistributed income Subtract line 4b from line 2b		NONE		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount - see page 27 of the instructions		NONE		
e Undistributed income for 2007 Subtract line 4a from line 2a Taxable amount - see page 27 of the instructions				
f Undistributed income for 2008 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2009				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2003 not applied on line 5 or line 7 (see page 27 of the instructions)	NONE			
9 Excess distributions carryover to 2009. Subtract lines 7 and 8 from line 6a	33,749.			
10 Analysis of line 9				
a Excess from 2004	NONE			
b Excess from 2005	NONE			
c Excess from 2006	NONE			
d Excess from 2007	NONE			
e Excess from 2008	33,749.			

Form 990-PF (2008)

Part XIV Private Operating Foundations (see page 27 of the instructions and Part III-A, question 9) **NOT APPLICABLE**

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2008, enter the date of the ruling

b Check box to indicate whether the foundation is a private operating foundation described in section

4942(j)(3) or

4942(j)(5)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Tax year	Prior 3 years				(e) Total
	(a) 2008	(b) 2007	(c) 2006	(d) 2005	
b 85% of line 2a					
c Qualifying distributions from Part XII line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)) or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year - see page 27 of the instructions.)**1 Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))

JOHN DUFFY

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number of the person to whom applications should be addressed

N/A

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

N/A

c Any submission deadlines

N/A

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

N/A

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

Recipient Name and address (home or business)	If recipient is an individual show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> SEE SCHEDULE 1 ATTACHED				182,500.
Total			3a	182,500.
b <i>Approved for future payment</i> NONE				NONE
Total			3b	NONE

Form 990-PF (2008)

Enter gross amounts unless otherwise indicated

(See worksheet in line 13 instructions on page 28 to verify calculations)

Line No.	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See page 28 of the instructions)
▼	

NOT APPLICABLE

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

- | 1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | Yes | No |
|---|--------------|-----|----|
| a Transfers from the reporting foundation to a noncharitable exempt organization of | | | |
| (1) Cash | 1a(1) | | X |
| (2) Other assets | 1a(2) | | X |
| b Other transactions | | | |
| (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| (4) Reimbursement arrangements | 1b(4) | | X |
| (5) Loans or loan guarantees | 1b(5) | | X |
| (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |
| d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | | |

[illegible]

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

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

Sign Here Paid Preparer's Use Only	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge.			
	Signature of officer or trustee 		Date 13/3/10	Title President
Preparer's Use Only	Preparer's signature 	Date 3-1-10	Check if self-employed ☐	Preparer's identifying number (See Signature on page 30 of the instructions) P00841496
	Firm's name (or yours if self-employed), address, and ZIP code JAD CONSULTING, LLC 61 BROADWAY, SUITE 1710 NEW YORK, NY 10006	EIN ▶ 06-1708689 Phone no 212-509-3525		

Form 990-PF (2008)

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					8,373.	
1,270,175.		SEE SCHEDULE 2 ATTACHED PROPERTY TYPE: SECURITIES 2,040,617.				P	VARIOUS	VARIOUS
		SEE SCHEDULE 3 ATTACHED PROPERTY TYPE: SECURITIES 1,001,412.				P	VARIOUS	VARIOUS
865,298.		SEE SCHEDULE 4 ATTACHED PROPERTY TYPE: SECURITIES 1,258,985.				P	VARIOUS	VARIOUS
1,200,551.		SEE SCHEDULE 5 ATTACHED PROPERTY TYPE: SECURITIES 394,175.				P	VARIOUS	VARIOUS
408,963.		TYCO INT'L LTD - LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES NONE				P	VARIOUS	03/04/2009
18.		SPRINT - LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES NONE				P	VARIOUS	02/27/2009
109.		SALOMON ANALYST AT&T - LITIGATION SETTLE PROPERTY TYPE: SECURITIES NONE				P	VARIOUS	02/06/2009
10.		ENRON SECURITIES - LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES NONE				P	VARIOUS	12/19/2008
1,470.		FREDDIE MAC - LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES NONE				P	VARIOUS	
202.		SEC V. AIG - LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES NONE				P	VARIOUS	
124.								

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
26.		FREDDIE MAC- LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES NONE				P	VARIOUS 26.	07/31/2009
280.		TENET HEALTHCARE CORP - LITIGATION SETTL PROPERTY TYPE: SECURITIES NONE				P	VARIOUS 280.	08/21/2009
25.		CASH IN LIEU PROPERTY TYPE: SECURITIES NONE				P	VARIOUS 25.	04/06/2009
TOTAL GAIN (LOSS)							-939,565. =====	

JOHN & ANNE DUFFY FOUNDATION (888-85698)

Capital Gains

December 01, 2008 to November 30, 2009
Reporting Currency: US dollars

Open Date	Close Date	Quantity	Description	Sale Price	Unit Cost	Total Proceeds	Total Cost	Gain Or Loss
Short Term								
04/02/2008	12/09/2008	225	ASHLAND INC	9.20	48.30	2,070.99	10,866.51	-8,795.52
06/09/2008	12/09/2008	200	HARTFORD FINANCIAL SVCS GRP	16.14	71.35	3,228.56	14,270.18	-11,041.62
01/18/2008	12/18/2008	350	KB HOME	15.05	18.50	5,267.64	6,476.47	-1,208.83
04/11/2008	12/19/2008	450	REPUBLIC SERVICES INC	23.40	24.89	10,529.96	11,199.20	-669.24
04/28/2008	12/19/2008	900	SCHERING-PLOUGH CP	16.96	18.73	15,266.70	16,859.70	-1,593.00
09/29/2008	12/22/2008	30	KELLOGG CO	42.08	57.20	1,262.39	1,716.09	-453.70
10/28/2008	12/22/2008	15	KELLOGG CO	42.08	48.33	631.20	724.92	-93.72
05/01/2008	01/13/2009	25	BAXTER INTERNATIONAL INC	52.74	62.58	1,318.54	1,564.38	-245.84
07/30/2008	01/13/2009	5	BECTON DICKINSON & CO	72.17	85.36	360.84	426.81	-65.97
05/19/2008	01/13/2009	15	BECTON DICKINSON & CO	72.17	84.50	1,082.51	1,267.57	-185.06
04/16/2008	01/13/2009	15	BECTON DICKINSON & CO	72.17	83.78	1,082.51	1,256.63	-174.12
06/23/2008	01/13/2009	75	TOYOTA MOTOR CORP -SPON ADR	63.61	98.31	4,770.80	7,373.22	-2,602.42
01/30/2008	01/15/2009	325	CITIGROUP INC	3.81	28.23	1,238.09	9,174.43	-7,936.34
07/08/2008	01/26/2009	200	SCHERING-PLOUGH CP	19.50	20.62	3,899.12	4,124.92	-225.80
07/18/2008	01/28/2009	65	APACHE CORP	76.71	111.25	4,986.27	7,231.15	-2,244.88
07/25/2008	01/28/2009	60	APACHE CORP	76.71	109.41	4,602.72	6,564.45	-1,961.73
01/02/2009	02/02/2009	30	AFLAC INC	23.15	45.66	694.62	1,369.84	-675.22
12/22/2008	02/03/2009	325	TEXTRON INC	8.32	15.22	2,705.50	4,947.44	-2,241.94
06/09/2008	02/04/2009	75	HARTFORD FINANCIAL SVCS GRP	15.19	71.35	1,138.89	5,351.32	-4,212.43
10/31/2008	02/04/2009	100	HARTFORD FINANCIAL SVCS GRP	15.19	10.06	1,518.52	1,005.74	512.78
02/14/2008	02/06/2009	400	CITIGROUP INC	3.93	25.99	1,570.08	10,397.36	-8,827.28
02/25/2008	02/06/2009	300	CITIGROUP INC	3.93	24.71	1,177.56	7,413.87	-6,236.31
01/22/2009	02/11/2009	800	DELL INC	9.02	9.93	7,218.32	7,944.88	-726.56
10/21/2008	02/18/2009	85	ACTIVISION BLIZZARD INC	9.53	13.20	810.37	1,122.19	-311.82
10/02/2008	02/19/2009	900	ERICSSON (LM) TEL-SP ADR	8.80	8.37	7,915.50	7,535.43	380.07
10/09/2008	02/19/2009	100	ERICSSON (LM) TEL-SP ADR	8.80	6.48	879.50	648.20	231.30
10/09/2008	02/19/2009	50	ERICSSON (LM) TEL-SP ADR	8.80	6.48	439.75	324.10	115.65
10/09/2008	02/19/2009	25	ERICSSON (LM) TEL-SP ADR	8.80	6.48	219.88	162.05	57.83
01/05/2009	02/20/2009	300	BANK OF AMERICA CORP	3.52	13.97	1,055.85	4,192.44	-3,136.59
04/10/2008	02/23/2009	200	SPRINT NEXTEL CORP	3.34	6.51	668.74	1,301.92	-633.18
05/12/2008	02/26/2009	300	AMERICAN INTERNATIONAL GROUP	0.54	38.00	162.33	11,400.00	-11,237.67

Bernstein Global Wealth Management

JOHN & ANNE DUFFY FOUNDATION (888-85698)

December 01, 2008 to November 30, 2009
Reporting Currency: US dollars

Capital Gains

Open Date	Close Date	Quantity	Description	Sale Price	Unit Cost	Total Proceeds	Total Cost	Gain Or Loss
04/22/2008	02/26/2009	200	AMERICAN INTERNATIONAL GROUP	0.54	45.60	108.22	9,120.22	-9,012.00
02/09/2009	03/11/2009	300	WELLS FARGO & COMPANY	11.99	19.20	3,596.58	5,758.86	-2,162.28
03/19/2008	03/17/2009	35	GENENTECH INC	93.80	78.44	3,283.12	2,745.57	537.55
10/08/2008	03/17/2009	10	GENENTECH INC	93.80	76.87	938.04	768.74	169.30
12/17/2008	03/18/2009	1,200	FIFTH THIRD BANCORP	2.16	7.48	2,590.32	8,976.96	-6,386.64
05/23/2008	03/23/2009	700	GANNETT CO	2.28	28.97	1,597.40	20,281.66	-18,684.26
09/05/2008	03/25/2009	275	NVIDIA CORP	10.10	11.60	2,777.58	3,190.44	-412.86
04/02/2008	03/25/2009	75	ROYAL DUTCH SHELL PLC-ADR	47.32	70.05	3,549.20	5,253.81	-1,704.61
01/15/2009	03/26/2009	30	GENENTECH INC	95.00	85.51	2,850.00	2,565.44	284.56
10/08/2008	03/26/2009	25	GENENTECH INC	95.00	76.87	2,375.00	1,921.87	453.13
10/16/2008	03/26/2009	15	GENENTECH INC	95.00	82.61	1,425.00	1,239.11	185.89
04/07/2008	03/31/2009	425	MERCK & CO. INC.	26.79	41.07	11,383.75	17,453.90	-6,070.15
11/12/2008	04/08/2009	150	BUNGE LTD	56.03	40.82	8,404.91	6,122.88	2,282.03
12/22/2008	04/08/2009	275	TJX COMPANIES INC	26.42	19.87	7,265.78	5,463.89	1,801.89
08/26/2008	04/09/2009	200	WYETH	42.30	42.31	8,459.50	8,462.72	-3.22
12/01/2008	04/13/2009	75	BUNGE LTD	57.30	38.99	4,297.18	2,924.36	1,372.82
10/09/2008	04/17/2009	300	NOKIA CORP-SPON ADR	14.86	16.62	4,457.76	4,986.60	-528.84
09/29/2008	04/21/2009	10	LOCKHEED MARTIN CORP	76.07	113.10	760.72	1,130.99	-370.27
10/16/2008	04/21/2009	1	LOCKHEED MARTIN CORP	76.07	88.34	76.07	88.34	-12.27
11/25/2008	04/23/2009	20	MOLSON COORS BREWING CO -B	36.38	44.57	727.54	891.41	-163.87
10/09/2008	04/23/2009	200	NOKIA CORP-SPON ADR	14.81	16.62	2,961.26	3,324.40	-363.14
06/23/2008	04/24/2009	75	TOYOTA MOTOR CORP -SPON ADR	80.40	98.31	6,030.09	7,373.23	-1,343.14
02/18/2009	04/28/2009	25	MICROSOFT CORP	20.08	18.23	501.98	455.68	46.30
10/01/2008	04/28/2009	15	WAL-MART STORES INC	48.75	59.77	731.26	896.53	-165.27
04/07/2009	04/30/2009	35	PACCAR INC	35.31	28.27	1,236.00	989.35	246.65
04/15/2009	04/30/2009	20	PACCAR INC	35.31	30.44	706.29	608.88	97.41
07/30/2008	05/01/2009	30	BECTON DICKINSON & CO	61.06	85.36	1,831.66	2,560.91	729.25
08/15/2008	05/01/2009	10	BECTON DICKINSON & CO	61.06	87.29	610.55	872.87	-262.32
02/18/2009	05/01/2009	50	MICROSOFT CORP	20.00	18.23	1,000.13	911.37	88.76
03/25/2009	05/01/2009	10	MICROSOFT CORP	20.00	18.01	200.02	180.11	19.91
07/22/2008	05/01/2009	5	PHILIP MORRIS INTERNATIONAL	36.89	51.54	184.46	257.69	-73.23
12/22/2008	05/01/2009	125	TJX COMPANIES INC	27.88	19.87	3,485.24	2,483.58	1,001.66

Bernstein Global Wealth Management

JOHN & ANNE DUFFY FOUNDATION (888-85698)

Capital Gains

December 01, 2008 to November 30, 2009
Reporting Currency: US dollars

Open Date	Close Date	Quantity	Description	Sale Price	Unit Cost	Total Proceeds	Total Cost	Gain Or Loss
08/15/2008	05/04/2009	5	BECTON DICKINSON & CO	60.79	87.29	303.94	436.44	-132.50
02/23/2009	05/04/2009	15	BECTON DICKINSON & CO	60.79	69.82	911.84	1,047.35	-135.51
02/18/2009	05/04/2009	20	MOLSON COORS BREWING CO -B	38.56	37.66	771.15	753.18	17.97
01/20/2009	05/06/2009	30	HONEYWELL INTERNATIONAL INC	32.84	32.59	985.32	977.77	7.55
10/09/2008	05/07/2009	525	ERICSSON (LM) TEL-SP ADR	8.51	6.48	4,468.01	3,403.05	1,064.96
10/16/2008	05/07/2009	14	LOCKHEED MARTIN CORP	79.35	88.34	1,110.83	1,236.77	-125.94
03/25/2009	05/07/2009	50	MICROSOFT CORP	19.32	18.01	965.92	900.60	65.32
04/15/2009	05/07/2009	20	PACCAR INC	32.90	30.44	657.99	608.89	49.10
01/12/2009	05/08/2009	23	JACOBS ENGINEERING GROUP INC	42.41	48.81	975.46	1,122.53	-147.07
02/23/2009	05/11/2009	15	COCA-COLA CO/THE	42.83	43.08	642.44	646.15	-3.71
07/02/2008	05/12/2009	8	BAXTER INTERNATIONAL INC	50.83	64.41	406.64	515.29	-108.65
02/18/2009	05/12/2009	375	BRISTOL-MYERS SQUIBB CO	20.43	21.19	7,661.02	7,944.64	-283.62
03/19/2009	05/12/2009	125	BRISTOL-MYERS SQUIBB CO	20.43	20.97	2,553.68	2,621.15	-67.47
02/10/2009	05/14/2009	700	GAP INC/THE	15.37	11.63	10,759.07	8,141.91	2,617.16
10/16/2008	05/15/2009	40	THE WALT DISNEY CO	24.08	23.52	963.24	940.68	22.56
11/25/2008	05/15/2009	35	THE WALT DISNEY CO.	24.08	22.23	842.84	778.11	64.73
10/17/2008	05/18/2009	300	HOME DEPOT INC	25.53	19.53	7,659.24	5,858.07	1,801.17
03/05/2009	05/18/2009	700	PRUDENTIAL FINANCIAL INC	39.07	12.41	27,346.97	8,685.53	18,661.44
12/22/2008	05/19/2009	200	TJX COMPANIES INC	28.86	19.87	5,771.06	3,973.75	1,797.31
04/16/2009	05/20/2009	20	JACOBS ENGINEERING GROUP INC	40.40	44.47	808.01	889.31	-81.30
10/21/2008	05/21/2009	45	SCHWAB (CHARLES) CORP	16.79	20.70	755.38	931.29	-175.91
11/19/2008	05/21/2009	15	SCHWAB (CHARLES) CORP	16.79	15.52	251.80	232.75	19.05
04/21/2009	05/28/2009	85	NETAPP INC	18.70	18.09	1,589.27	1,537.34	51.93
08/26/2008	05/28/2009	125	WYETH	44.34	42.31	5,542.39	5,289.20	253.19
08/29/2008	05/29/2009	50	DEVON ENERGY CORPORATION	63.69	102.65	3,184.64	5,132.43	-1,947.79
12/18/2008	05/29/2009	375	SANOFI-AVENTIS ADR	31.68	32.87	11,879.25	12,327.56	-448.31
09/05/2008	06/01/2009	525	NVIDIA CORP	10.85	11.60	5,694.26	6,090.84	-396.58
11/19/2008	06/01/2009	45	SCHWAB (CHARLES) CORP	18.19	15.52	818.49	698.28	120.21
11/07/2008	06/11/2009	150	EASTMAN CHEMICAL COMPANY	41.35	39.57	6,202.37	5,934.78	267.59
07/22/2008	06/12/2009	20	PHILIP MORRIS INTERNATIONAL	43.41	51.54	868.21	1,030.76	-162.55
03/19/2009	06/25/2009	75	AMGEN INC	51.91	50.20	3,893.51	3,765.03	128.48
07/09/2008	06/25/2009	175	AMGEN INC	51.91	51.28	9,084.84	8,974.25	110.59

Bernstein Global Wealth Management

JOHN & ANNE DUFFY FOUNDATION (888-85698)

Capital Gains

December 01, 2008 to November 30, 2009
Reporting Currency: US dollars

Open Date	Close Date	Quantity	Description	Sale Price	Unit Cost	Total Proceeds	Total Cost	Gain Or Loss
03/31/2009	07/06/2009	358.22000	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	10.31	4,399.03	3,693.24	705.79
03/31/2009	07/06/2009	0.65500	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	10.32	0.00	6.76	-6.76
12/09/2008	07/06/2009	717.66400	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	14.72	15,282.61	10,564.01	4,718.60
12/09/2008	07/06/2009	0.01100	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	15.45	0.00	0.17	-0.17
Long Term								
12/18/2006	12/05/2008	175	BP PLC-SPONS ADR	43.09	67.26	7,540.87	11,770.16	-4,229.29
11/22/2006	12/05/2008	150	BP PLC-SPONS ADR	43.09	66.72	6,463.61	10,008.26	-3,544.65
07/12/2006	12/05/2008	50	CHEVRON CORP	69.45	65.24	3,472.65	3,262.04	210.61
01/29/2004	12/09/2008	175	HARTFORD FINANCIAL SVCS GRP	16.14	63.35	2,824.99	11,086.20	-8,261.21
07/06/2007	12/11/2008	20	TEVA PHARMACEUTICAL-SP ADR	42.39	41.37	847.87	827.37	20.50
04/26/2007	12/12/2008	25	ABBOTT LABORATORIES	50.16	56.93	1,253.95	1,423.25	-169.30
03/13/2007	12/12/2008	25	ABBOTT LABORATORIES	50.16	54.33	1,253.94	1,358.15	-104.21
05/04/2007	12/12/2008	10	ABBOTT LABORATORIES	50.16	58.02	501.58	580.15	-78.57
05/23/2007	12/18/2008	250	KB HOME	15.05	46.39	3,762.60	11,597.98	-7,835.38
05/08/2007	12/18/2008	15	MEDCO HEALTH SOLUTIONS INC	42.69	36.84	640.37	552.54	87.83
05/04/2007	12/18/2008	10	MEDCO HEALTH SOLUTIONS INC	42.69	37.20	426.92	372.00	54.92
02/14/2007	12/18/2008	56	TYCO INTERNATIONAL LTD	21.56	50.05	1,207.33	2,802.54	-1,595.21
03/30/2007	12/18/2008	50	TYCO INTERNATIONAL LTD	21.56	48.69	1,077.97	2,434.55	-1,356.58
05/21/2007	12/18/2008	50	TYCO INTERNATIONAL LTD	21.56	50.28	1,077.97	2,514.11	-1,436.14
02/06/2007	12/18/2008	119	TYCO INTERNATIONAL LTD	21.56	50.86	2,565.59	6,052.79	-3,487.20
09/05/2007	12/29/2008	300	DOW CHEMICAL	15.21	42.31	4,561.74	12,694.47	-8,132.73
06/26/2007	12/29/2008	100	DOW CHEMICAL	15.21	45.23	1,520.58	4,523.35	-3,002.77
04/28/2006	01/06/2009	23	APPLE INC	94.15	69.25	2,165.36	1,592.75	572.61
07/26/2005	01/06/2009	2	APPLE INC	94.15	43.87	188.29	87.73	100.56
02/20/1997	01/07/2009	300	TECH DATA CORP	19.56	23.65	5,867.04	7,095.71	-1,228.67
08/10/2006	01/13/2009	300	GENERAL ELECTRIC CO	15.19	32.49	4,556.82	9,747.54	-5,190.72
01/12/2005	01/13/2009	250	GENERAL ELECTRIC CO	15.19	35.52	3,797.35	8,880.13	-5,082.78
09/07/2006	01/13/2009	150	GENERAL ELECTRIC CO	15.19	33.99	2,278.41	5,098.34	-2,819.93
04/28/2006	01/13/2009	5	PROCTER & GAMBLE CO	59.60	58.31	298.02	291.54	6.48

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Open Date	Close Date	Quantity	Description	Sale Price	Unit Cost	Total Proceeds	Total Cost	Gain Or Loss
11/13/2007	01/13/2009	20	PROCTER & GAMBLE CO	59.60	71.15	1,192.06	1,422.94	-230.88
04/28/2006	01/15/2009	30	APPLE INC	82.85	69.25	2,485.60	2,077.50	408.10
09/30/2003	01/15/2009	75	CITIGROUP INC	3.81	45.79	285.71	3,434.21	-3,148.50
02/08/2005	01/15/2009	600	CITIGROUP INC	3.81	49.75	2,285.70	29,847.52	-27,561.82
07/21/2005	01/21/2009	30	ALCON INC	83.99	116.29	2,519.65	3,488.56	-968.91
03/29/2004	01/21/2009	10	ALCON INC	83.99	63.77	839.88	637.72	202.16
12/05/2006	01/22/2009	250	AMERISOURCEBERGEN CORP	37.57	45.32	9,392.52	11,331.01	-1,938.49
10/17/2006	01/22/2009	225	AMERISOURCEBERGEN CORP	37.57	44.87	8,453.28	10,095.62	-1,642.34
11/03/2006	01/22/2009	125	AMERISOURCEBERGEN CORP	37.57	44.90	4,696.26	5,612.75	-916.49
08/16/2007	01/22/2009	125	MCKESSON CORP	39.81	56.39	4,976.68	7,049.25	-2,072.57
01/08/2007	01/28/2009	125	CONOCOPHILLIPS	50.03	67.97	6,254.01	8,496.56	-2,242.55
09/14/2000	01/28/2009	50	CONOCOPHILLIPS	50.03	28.81	2,501.61	1,440.43	1,061.18
01/08/2007	01/28/2009	25	CONOCOPHILLIPS	50.03	67.97	1,250.80	1,699.31	-448.51
11/15/2006	01/28/2009	100	CONOCOPHILLIPS	50.03	63.38	5,003.21	6,338.04	-1,334.83
12/07/2006	01/28/2009	100	CONOCOPHILLIPS	50.03	69.16	5,003.21	6,915.55	-1,912.34
10/15/2007	01/29/2009	275	BP PLC-SPONS ADR	42.60	75.73	11,716.10	20,824.48	-9,108.38
12/18/2006	01/29/2009	25	BP PLC-SPONS ADR	42.60	67.26	1,065.10	1,681.46	-616.36
04/02/2007	01/30/2009	6	CME GROUP INC	173.77	536.77	1,042.59	3,220.64	-2,178.05
04/13/2005	01/30/2009	5	GOOGLE INC-CL A	340.54	192.86	1,702.71	964.30	738.41
02/09/2006	01/30/2009	700	SPRINT NEXTEL CORP	2.52	21.02	1,766.87	14,715.43	-12,948.56
07/15/2003	01/30/2009	300	SPRINT NEXTEL CORP	2.52	10.50	757.23	3,150.24	-2,393.01
12/10/2007	01/30/2009	100	SPRINT NEXTEL CORP	2.52	15.70	252.41	1,569.76	-1,317.35
11/21/2006	01/30/2009	175	VERIZON COMMUNICATIONS INC	29.94	34.98	5,238.77	6,121.02	-882.25
11/07/2006	01/30/2009	100	VERIZON COMMUNICATIONS INC	29.94	35.43	2,993.58	3,543.04	-549.46
08/13/2007	02/03/2009	133	PHILIP MORRIS INTERNATIONAL	37.82	46.97	5,030.63	6,247.10	-1,216.47
11/19/2007	02/04/2009	200	SUPERVALU INC	18.93	39.59	3,786.66	7,918.13	-4,131.47
10/31/2006	02/06/2009	125	BLACK & DECKER CORP	29.81	84.03	3,725.84	10,503.24	-6,777.40
02/05/2008	02/06/2009	500	CITIGROUP INC	3.93	27.80	1,962.60	13,900.40	-11,937.80
04/02/2007	02/06/2009	6	CME GROUP INC	189.25	536.78	1,135.53	3,220.65	-2,085.12
08/02/2007	02/06/2009	3	CME GROUP INC	189.25	558.45	567.76	1,675.34	-1,107.58
06/21/2005	02/06/2009	35	GILEAD SCIENCES INC	52.57	22.03	1,840.08	770.90	1,069.18
09/06/2006	02/06/2009	17	MONSANTO CO	84.14	47.74	1,430.43	811.66	618.77

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08/09/2007	02/09/2009	125	MORGAN STANLEY	23.48	62.26	2,934.39	7,782.53	-4,848.14
05/08/2007	02/10/2009	35	MEDCO HEALTH SOLUTIONS INC	45.49	36.84	1,592.10	1,289.27	302.83
04/28/2006	02/18/2009	12	APPLE INC	95.07	69.25	1,140.80	831.00	309.80
03/29/2007	02/20/2009	356	BANK OF AMERICA CORP	3.52	51.02	1,252.94	18,164.15	-16,911.21
01/14/2002	02/20/2009	344	BANK OF AMERICA CORP	3.52	30.03	1,210.71	10,330.81	-9,120.10
04/02/2007	02/20/2009	200	BANK OF AMERICA CORP	3.52	50.43	703.90	10,086.90	-9,383.00
04/23/2007	02/20/2009	200	BANK OF AMERICA CORP	3.52	50.67	703.90	10,134.34	-9,430.44
06/18/2007	02/20/2009	200	BANK OF AMERICA CORP	3.52	49.93	703.90	9,985.64	-9,281.74
02/07/2008	02/20/2009	200	BANK OF AMERICA CORP	3.52	43.10	703.90	8,620.18	-7,916.28
01/11/2008	02/23/2009	600	SPRINT NEXTEL CORP	3.34	12.43	2,006.22	7,458.78	-5,452.56
12/10/2007	02/23/2009	400	SPRINT NEXTEL CORP	3.34	15.70	1,337.48	6,279.04	-4,941.56
05/01/2006	02/24/2009	45	JPMORGAN CHASE & CO	20.77	45.37	934.55	2,041.48	-1,106.93
10/10/2006	02/24/2009	35	JPMORGAN CHASE & CO	20.77	47.34	726.88	1,657.03	-930.15
09/11/2006	02/24/2009	225	JPMORGAN CHASE & CO	20.77	45.31	4,672.78	10,195.27	-5,522.49
09/29/2006	02/24/2009	150	JPMORGAN CHASE & CO	20.77	47.15	3,115.18	7,072.13	-3,956.95
10/12/2006	02/26/2009	80	AMERICAN INTERNATIONAL GROUP	0.54	67.27	43.29	5,381.89	-5,338.60
04/28/2006	02/26/2009	600	AMERICAN INTERNATIONAL GROUP	0.54	65.13	324.65	39,076.02	-38,751.37
06/06/2006	02/26/2009	325	AMERICAN INTERNATIONAL GROUP	0.54	60.29	175.86	19,593.76	-19,417.90
02/14/2008	02/26/2009	200	AMERICAN INTERNATIONAL GROUP	0.54	45.81	108.22	9,162.58	-9,054.36
02/11/2008	02/26/2009	185	AMERICAN INTERNATIONAL GROUP	0.54	45.06	100.10	8,336.67	-8,236.57
09/15/2006	02/26/2009	105	AMERICAN INTERNATIONAL GROUP	0.54	65.69	56.82	6,897.63	-6,840.81
10/16/2006	02/26/2009	105	AMERICAN INTERNATIONAL GROUP	0.54	67.27	56.82	7,063.18	-7,006.36
02/20/2008	03/03/2009	35	CATERPILLAR INC	22.76	70.62	796.67	2,471.85	-1,675.18
10/17/2007	03/04/2009	25	DEERE & CO	26.64	75.74	665.97	1,893.56	-1,227.59
02/20/2008	03/12/2009	90	CATERPILLAR INC	25.99	70.62	2,338.66	6,356.19	-4,017.53
06/05/2007	03/17/2009	25	GENENTECH INC	93.80	77.73	2,345.09	1,943.19	401.90
01/25/2006	03/17/2009	20	GENENTECH INC	93.80	86.79	1,876.07	1,735.89	140.18
06/15/2007	03/17/2009	15	GENENTECH INC	93.80	76.74	1,407.05	1,151.15	255.90
10/10/2006	03/18/2009	5	JPMORGAN CHASE & CO	26.61	47.34	133.04	236.72	-103.68
10/10/2006	03/18/2009	120	JPMORGAN CHASE & CO	26.61	47.34	3,192.86	5,681.27	-2,488.41
02/11/2008	03/19/2009	5	J.C. PENNEY CO INC	17.77	49.11	88.87	245.54	-156.67
02/11/2008	03/19/2009	145	J.C. PENNEY CO INC	17.77	49.11	2,577.10	7,120.77	-4,543.67

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12/08/2005	03/23/2009	75	TRAVELERS COS INC/THE	39.87	44.74	2,990.21	3,355.17	-364.96
08/09/2007	03/24/2009	175	MORGAN STANLEY	24.67	62.26	4,316.94	10,895.56	-6,578.62
05/21/2007	03/25/2009	450	FIDELITY NATIONAL CL A	19.91	25.71	8,957.84	11,570.90	-2,613.06
03/14/2002	03/25/2009	50	HEWLETT-PACKARD CO	30.66	19.85	1,532.78	992.46	540.32
08/23/2007	03/25/2009	275	ROYAL DUTCH SHELL PLC-ADR	47.32	74.75	13,013.75	20,555.92	-7,542.17
06/06/2006	03/26/2009	600	PFIZER INC	14.43	24.02	8,659.02	14,411.46	-5,752.44
04/06/2006	03/26/2009	200	PFIZER INC	14.43	25.03	2,886.34	5,006.60	-2,120.26
11/19/2007	04/01/2009	275	SUPERVALU INC	14.60	39.59	4,014.09	10,887.45	-6,873.36
08/24/2005	04/02/2009	100	METLIFE INC	25.14	49.40	2,513.86	4,939.58	-2,425.72
11/01/2007	04/08/2009	5	ABBOTT LABORATORIES	43.53	54.59	217.63	272.97	-55.34
06/15/2007	04/08/2009	25	ABBOTT LABORATORIES	43.53	54.77	1,088.14	1,369.36	-281.22
05/04/2007	04/08/2009	15	ABBOTT LABORATORIES	43.53	58.02	652.89	870.23	-217.34
07/10/2007	04/08/2009	30	COLGATE-PALMOLIVE CO	60.23	65.96	1,806.79	1,978.89	-172.10
08/27/2007	04/09/2009	25	GOLDMAN SACHS GROUP INC	119.04	178.59	2,975.96	4,464.70	-1,488.74
09/04/2007	04/09/2009	50	MORGAN STANLEY	24.07	64.12	1,203.68	3,206.09	-2,002.41
08/09/2007	04/09/2009	50	MORGAN STANLEY	24.07	62.26	1,203.68	3,113.02	-1,909.34
02/11/2008	04/13/2009	40	DEUTSCHE BANK AG-REGISTERED	51.09	109.40	2,043.67	4,375.93	-2,332.26
10/08/2007	04/13/2009	135	DEUTSCHE BANK AG-REGISTERED	51.09	133.47	6,897.40	18,018.38	-11,120.98
01/15/2008	04/13/2009	85	JPMORGAN CHASE & CO	33.29	39.34	2,829.81	3,343.57	-513.76
10/10/2006	04/13/2009	15	JPMORGAN CHASE & CO	33.29	47.34	499.38	710.16	-210.78
02/11/2008	04/13/2009	50	J.C. PENNEY CO INC	26.41	49.11	1,320.68	2,455.45	-1,134.77
02/15/2008	04/13/2009	50	J.C. PENNEY CO INC	26.41	46.25	1,320.69	2,312.38	-991.69
01/19/2007	04/14/2009	100	METLIFE INC	27.01	61.16	2,700.97	6,116.24	-3,415.27
11/01/2007	04/16/2009	20	ABBOTT LABORATORIES	42.50	54.59	850.09	1,091.89	-241.80
11/09/2007	04/16/2009	15	ABBOTT LABORATORIES	42.50	54.40	637.56	815.98	-178.42
12/05/2007	04/16/2009	24	COLGATE-PALMOLIVE CO	59.11	79.30	1,418.55	1,903.10	-484.55
04/13/2005	04/20/2009	3	GOOGLE INC-CL A	380.06	192.86	1,140.19	578.58	561.61
07/20/2005	04/20/2009	2	GOOGLE INC-CL A	380.06	305.96	760.13	611.92	148.21
11/09/2007	04/23/2009	10	ABBOTT LABORATORIES	42.70	54.40	426.99	543.99	-117.00
12/26/2007	04/23/2009	10	ABBOTT LABORATORIES	42.70	58.11	426.99	581.10	-154.11
02/11/2008	04/27/2009	50	DEUTSCHE BANK AG-REGISTERED	55.23	109.40	2,761.34	5,469.92	-2,708.58
12/05/2007	04/28/2009	40	MICROSOFT CORP	20.08	33.98	803.16	1,359.13	-555.97

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12/11/2006	04/28/2009	10	MICROSOFT CORP	20.08	29.60	200.79	295.98	-95.19
02/11/2008	04/28/2009	30	WAL-MART STORES INC	48.75	48.68	1,462.52	1,460.25	2.27
04/25/2008	04/28/2009	20	WAL-MART STORES INC	48.75	57.92	975.02	1,158.33	-183.31
04/02/2008	04/29/2009	100	ROYAL DUTCH SHELL PLC-ADR	46.07	70.05	4,606.73	7,005.09	-2,398.36
06/21/2005	04/30/2009	30	GILEAD SCIENCES INC	45.40	22.03	1,361.94	660.77	701.17
09/06/2006	04/30/2009	13	MONSANTO CO	84.54	47.74	1,099.00	620.68	478.32
01/10/2008	05/01/2009	25	COCA-COLA CO/THE	42.34	65.15	1,058.55	1,628.65	-570.10
03/14/2008	05/01/2009	10	COCA-COLA CO/THE	42.34	58.38	423.42	583.80	-160.38
10/17/2007	05/01/2009	25	EOG RESOURCES INC	66.08	81.69	1,652.02	2,042.31	-390.29
03/14/2002	05/01/2009	25	HEWLETT-PACKARD CO	35.84	19.85	896.08	496.23	399.85
09/12/2007	05/01/2009	33	PHILIP MORRIS INTERNATIONAL	36.89	46.64	1,217.41	1,339.16	-321.75
03/03/1997	05/01/2009	32	PHILIP MORRIS INTERNATIONAL	36.89	23.81	1,180.51	761.87	418.64
11/21/2006	05/01/2009	25	VERIZON COMMUNICATIONS INC	30.19	34.98	754.79	874.44	-119.65
12/07/2006	05/01/2009	200	VERIZON COMMUNICATIONS INC	30.19	34.82	6,038.30	6,964.25	-925.95
07/06/2007	05/04/2009	25	TEVA PHARMACEUTICAL-SP ADR	44.22	41.37	1,105.55	1,034.22	71.33
12/05/2007	05/05/2009	21	COLGATE-PALMOLIVE CO	61.70	79.30	1,295.78	1,665.21	-369.43
04/07/2008	05/06/2009	5	ABBOTT LABORATORIES	42.68	55.03	213.42	275.14	-61.72
12/26/2007	05/06/2009	15	ABBOTT LABORATORIES	42.68	58.11	640.27	871.65	-231.38
07/06/2007	05/07/2009	5	TEVA PHARMACEUTICAL-SP ADR	44.34	41.37	221.70	206.85	14.85
12/18/2007	05/07/2009	15	TEVA PHARMACEUTICAL-SP ADR	44.34	44.20	665.12	663.01	2.11
10/10/2003	05/08/2009	35	PEPSICO INC	49.45	47.97	1,730.75	1,679.04	51.71
07/21/2005	05/11/2009	14	ALCON INC	95.66	116.29	1,339.24	1,627.99	-288.75
03/14/2008	05/11/2009	10	COCA-COLA CO/THE	42.83	58.38	428.29	583.80	-155.51
05/01/2008	05/12/2009	10	BAXTER INTERNATIONAL INC	50.83	62.58	508.30	625.76	-117.46
07/18/1997	05/14/2009	68	ALTRIA GROUP INC	17.07	9.79	1,160.83	665.71	495.12
03/03/1997	05/14/2009	32	ALTRIA GROUP INC	17.07	10.53	546.28	337.00	209.28
05/12/1997	05/14/2009	200	ALTRIA GROUP INC	17.07	9.90	3,414.22	1,980.06	1,434.16
04/07/2008	05/20/2009	20	ABBOTT LABORATORIES	43.57	55.03	871.33	1,100.60	-229.27
12/07/2007	05/26/2009	300	ALLSTATE CORP	26.25	52.79	7,874.82	15,836.10	-7,961.28
05/08/2007	05/26/2009	35	CELGENE CORP	39.20	62.89	1,371.90	2,201.13	-829.23
09/13/2006	05/26/2009	65	CISCO SYSTEMS INC	18.50	22.62	1,202.73	1,470.31	-267.58
11/08/2006	05/26/2009	5	CISCO SYSTEMS INC	18.50	25.04	92.52	125.21	-32.69

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09/06/2006	05/28/2009	22	MONSANTO CO	79.22	47.75	1,742.82	1,050.39	692.43
05/20/2008	05/28/2009	325	WESTERN DIGITAL CORP	24.67	34.37	8,017.82	11,169.11	-3,151.29
05/22/2008	05/28/2009	150	WESTERN DIGITAL CORP	24.67	35.65	3,700.53	5,347.33	-1,646.80
05/22/2008	05/28/2009	25	WESTERN DIGITAL CORP	24.67	35.65	616.76	891.23	-274.47
11/28/2007	05/29/2009	25	EMERSON ELECTRIC CO	31.91	55.80	797.84	1,395.07	-597.23
08/23/2007	05/29/2009	25	EMERSON ELECTRIC CO	31.91	46.45	797.84	1,161.15	-363.31
02/11/2008	06/01/2009	50	DEUTSCHE BANK AG-REGISTERED	69.49	109.40	3,474.46	5,469.93	-1,995.47
03/20/2008	06/01/2009	25	DEUTSCHE BANK AG-REGISTERED	69.49	109.13	1,737.23	2,728.18	-990.95
08/31/2007	06/01/2009	75	METLIFE INC	31.73	64.25	2,379.51	4,819.10	-2,439.59
01/19/2007	06/01/2009	100	METLIFE INC	31.73	61.16	3,172.68	6,116.24	-2,943.56
03/14/2002	06/02/2009	25	HEWLETT-PACKARD CO	36.14	19.85	903.45	496.23	407.22
12/11/2006	06/04/2009	5	FRANKLIN RESOURCES INC	72.69	111.93	363.47	559.65	-196.18
03/15/2006	06/04/2009	30	FRANKLIN RESOURCES INC	72.69	100.67	2,180.79	3,020.15	-839.36
02/08/2007	06/04/2009	5	MONSANTO CO	82.00	54.44	410.02	272.21	137.81
09/06/2006	06/04/2009	23	MONSANTO CO	82.00	47.75	1,886.10	1,098.15	787.95
07/12/2006	06/10/2009	75	CHEVRON CORP	70.83	65.24	5,311.96	4,893.06	418.90
07/25/2006	06/10/2009	25	CHEVRON CORP	70.83	66.26	1,770.65	1,656.42	114.23
01/07/2008	06/11/2009	5	EOG RESOURCES INC	78.05	88.22	390.23	441.10	-50.87
11/28/2007	06/11/2009	15	EOG RESOURCES INC	78.05	82.89	1,170.67	1,243.31	-72.64
07/25/2006	06/16/2009	100	CHEVRON CORP	70.16	66.26	7,016.04	6,625.69	390.35
03/14/2002	06/19/2009	45	HEWLETT-PACKARD CO	38.24	19.85	1,720.88	893.23	827.65
11/03/2006	06/19/2009	25	MCDONALD'S CORP	58.23	41.72	1,455.80	1,042.96	412.84
09/12/2007	06/22/2009	67	PHILIP MORRIS INTERNATIONAL	41.60	46.64	2,787.43	3,124.96	-337.53
08/20/2007	06/22/2009	200	PHILIP MORRIS INTERNATIONAL	41.60	46.60	8,320.70	9,319.89	-999.19
12/08/2005	06/22/2009	50	TRAVELERS COS INC/THE	41.76	44.74	2,087.80	2,236.78	-148.98
07/26/2007	06/22/2009	175	TRAVELERS COS INC/THE	41.76	51.16	7,307.30	8,953.61	-1,646.31
06/13/2008	06/22/2009	500	TYSON FOODS INC-CL A	12.35	14.79	6,176.90	7,394.70	-1,217.80
09/04/2007	06/23/2009	75	MORGAN STANLEY	26.51	64.12	1,988.48	4,809.14	-2,820.66
12/21/2007	06/23/2009	200	MORGAN STANLEY	26.51	53.90	5,302.62	10,780.64	-5,478.02
02/05/2007	06/24/2009	25	HEWLETT-PACKARD CO	37.52	42.63	938.08	1,065.79	-127.71
01/07/2008	06/26/2009	25	EOG RESOURCES INC	68.68	88.22	1,716.94	2,205.54	-488.60
02/08/2007	06/26/2009	14	MONSANTO CO	75.68	54.44	1,059.57	762.19	297.38

Bernstein Global Wealth Management

JOHN & ANNE DUFFY FOUNDATION (888-85698)

Capital Gains

December 01, 2008 to November 30, 2009
Reporting Currency: US dollars

Open Date	Close Date	Quantity	Description	Sale Price	Unit Cost	Total Proceeds	Total Cost	Gain Or Loss
11/27/2007	06/26/2009	75	METLIFE INC	29.82	61.93	2,236.82	4,644.55	-2,407.73
08/31/2007	06/26/2009	125	METLIFE INC	29.82	64.25	3,728.02	8,031.84	-4,303.82
11/08/2006	07/01/2009	70	CISCO SYSTEMS INC	19.01	25.04	1,330.90	1,752.94	-422.04
01/07/2008	07/01/2009	22	EOG RESOURCES INC	68.60	88.22	1,509.19	1,940.87	-431.68
12/21/1992	07/06/2009	972.33900	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	11.93	11,940.57	11,600.00	340.57
09/15/1992	07/06/2009	8,026.93000	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	12.27	98,572.70	98,490.48	82.22
08/20/2001	07/06/2009	754.01400	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	17.44	9,259.48	13,150.00	-3,890.52
12/14/1994	07/06/2009	667.06700	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	15.13	8,191.75	10,092.71	-1,900.96
12/10/2004	07/06/2009	527.88200	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	21.48	6,482.52	11,338.92	-4,856.40
01/03/1996	07/06/2009	476.07800	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	16.48	5,846.36	7,845.77	-1,999.41
12/06/2001	07/06/2009	441.20700	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	15.98	5,418.13	7,050.49	-1,632.36
12/05/2003	07/06/2009	405.80400	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	18.87	4,983.37	7,657.52	-2,674.15
12/17/1999	07/06/2009	351.35200	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	20.75	4,314.69	7,290.56	-2,975.87
12/06/2002	07/06/2009	345.29200	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	14.22	4,240.27	4,910.05	-669.78
12/11/2007	07/06/2009	3,786.73500	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	25.33	46,502.05	94,359.92	-47,857.87
12/12/2006	07/06/2009	3,458.60800	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	25.99	42,472.57	89,889.21	-47,416.64
12/30/1992	07/06/2009	242.52700	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	11.66	2,978.29	2,827.87	150.42
12/27/1996	07/06/2009	22.52300	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	17.64	276.59	397.31	-120.72
12/15/2000	07/06/2009	2,623.82800	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	18.11	32,221.26	47,517.53	-15,296.27

Bernstein Global Wealth Management

JOHN & ANNE DUFFY FOUNDATION (888-85698)

Capital Gains

December 01, 2008 to November 30, 2009
Reporting Currency: US dollars

Open Date	Close Date	Quantity	Description	Sale Price	Unit Cost	Total Proceeds	Total Cost	Gain Or Loss
12/17/1998	07/06/2009	2,263 71200	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	17.34	27,798.95	39,252.75	-11,453.80
12/30/1993	07/06/2009	16.76000	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	15.60	205.82	261.46	-55.64
12/29/1994	07/06/2009	125 88500	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	15.33	1,545.90	1,929.81	-383.91
12/28/1993	07/06/2009	122.13500	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	15.67	1,499.85	1,913.86	-414.01
12/04/1997	07/06/2009	1,992 51100	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	18.05	24,468.53	35,964.82	-11,496.29
12/07/2005	07/06/2009	1,888.14500	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	23.57	23,186.89	44,503.58	-21,316.69
12/04/1996	07/06/2009	1,250 15100	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	17.63	15,352.17	22,040.17	-6,688.00
12/11/1995	07/06/2009	1,104 29500	BERNSTEIN TAX-MANAGED INTERNATIONAL PORTFOLIO	12.28	16.30	13,561.02	18,000.00	-4,438.98
12/17/1998	07/06/2009	93.71900	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	11.76	1,995.74	1,102.14	893.60
12/12/2006	07/06/2009	847 33800	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	36.69	18,044.01	31,088.83	-13,044.82
12/06/2001	07/06/2009	70 70100	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	14.00	1,505.57	989.82	515.75
12/05/2003	07/06/2009	58 79700	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	23.62	1,252.08	1,388.78	-136.70
12/06/2002	07/06/2009	43 18500	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	14.80	919.62	639.14	280.48
11/12/1998	07/06/2009	317 77100	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	11.81	6,766.92	3,751.65	3,015.27
12/28/1998	07/06/2009	3 72400	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	12.30	79.30	45.81	33.49
12/17/1999	07/06/2009	21 62900	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	20.36	460.59	440.37	20.22
12/15/2000	07/06/2009	158 17800	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	14.63	3,368.39	2,314.15	1,054.24
12/10/2004	07/06/2009	114 16400	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	32.46	2,431.12	3,705.76	-1,274.64
12/29/1999	07/06/2009	10.55700	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	21.14	224.81	223.17	1.64
11/14/2001	07/06/2009	1,355 31900	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	13.43	28,861.43	18,200.00	10,661.43
12/07/2005	07/06/2009	1,323.65900	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	34.32	28,187.24	45,427.98	-17,240.74
12/11/2007	07/06/2009	1,185.59500	BERNSTEIN EMERGING MARKETS PORTFOLIO	21.51	40.96	25,247.17	48,561.96	-23,314.79

Proceeds 1,270,175
Cost 2,040,617
(Loss) (770,442)
Total Capital Gain/(Loss)

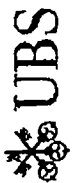
Bernstein Global Wealth Management

SCHEDULE D

Acct No	Account Name	CUSIP No	Security Name	Shares	Acquisition Date	Sell Date	Sale Proceeds	Investment Cost Basis	Short Term Gain/Loss	Long Term Gain/Loss
001954	DUFFY FOUNDATION	983024100	WYETH COM	175.00	6/30/2005	1/27/2009	7,728.62	(7788.81)		(60.19)
001954	DUFFY FOUNDATION	983024100	WYETH COM	50.00	6/30/2005	1/27/2009	2,208.18	(2225.38)		(17.20)
001954	DUFFY FOUNDATION	983024100	WYETH COM	50.00	6/30/2005	1/27/2009	2,208.18	(2225.37)		(17.19)
001954	DUFFY FOUNDATION	74144T108	T ROWE PRICE GROUP	95.00	10/26/2004	2/24/2009	2,227.11	(2500.11)		(273.00)
001954	DUFFY FOUNDATION	064058100	BANK NEW YORK MELLO	372.00	10/25/2006	3/5/2009	7,507.22	(13551.33)		(6,044.11)
001954	DUFFY FOUNDATION	256746108	DOLLAR TREE INC	530.00	1/27/2007	3/5/2009	21,384.42	(15504.99)		5,879.43
001954	DUFFY FOUNDATION	369550108	GENERAL DYNAMICS	170.00	5/27/2004	4/8/2009	7,427.99	(8141.96)		(713.97)
001954	DUFFY FOUNDATION	052769106	AUTODESK INC	280.00	12/18/2006	4/21/2009	5,023.32	(11484.12)		(6,460.80)
001954	DUFFY FOUNDATION	052769106	AUTODESK INC	400.00	1/8/2007	4/21/2009	7,176.18	(16841.20)		(9,665.02)
001954	DUFFY FOUNDATION	099724106	BORGWARNER INC	270.00	9/13/2005	5/8/2009	8,420.11	(7830.39)		589.72
001954	DUFFY FOUNDATION	172062101	CINCINNATI FINANCIAL	165.00	11/30/2005	5/11/2009	3,849.75	(7339.55)		(3,489.80)
001954	DUFFY FOUNDATION	74251V102	PRINCIPAL FINANCIAL	140.00	12/10/2003	5/11/2009	2,915.06	(4594.92)		(1,679.86)
001954	DUFFY FOUNDATION	912795T68	USB 3/11/10	25000.00	3/23/2009	5/12/2009	24,890.79	(24861.46)	29.33	
001954	DUFFY FOUNDATION	88579Y101	3M COMPANY	75.00	4/24/2006	5/18/2009	4,424.10	(6419.03)		(1,994.93)
001954	DUFFY FOUNDATION	292505104	ENCANA CORP	265.00	3/21/2006	5/18/2009	13,738.92	(12243.00)		1,495.92
001954	DUFFY FOUNDATION	00206R102	AT&T CORP	460.00	6/20/2006	6/18/2009	11,130.29	(12850.51)		(1,720.22)
001954	DUFFY FOUNDATION	00206R102	AT&T CORP	90.00	6/30/2006	6/18/2009	2,177.66	(2520.00)		(342.34)
001954	DUFFY FOUNDATION	97381W104	WINDSTREAM CORP	1000.00	5/15/2007	6/26/2009	8,228.99	(14714.50)		(6,485.51)
001954	DUFFY FOUNDATION	45865V100	INTERCONT EXCHANGE	65.00	5/12/2009	7/15/2009	5,743.71	(6114.11)	(370.40)	
001954	DUFFY FOUNDATION	25468T106	DISNEY WALT CO	230.00	5/23/2006	9/9/2009	6,169.94	(6831.24)		(661.30)
001954	DUFFY FOUNDATION	07181J109	BAXTER INTL INC	120.00	10/28/2008	9/10/2009	6,714.82	(6897.64)	(182.82)	
001954	DUFFY FOUNDATION	31620M106	FIDELITY NATL INFO	.75	4/30/2008	10/7/2009	17.96	(13.16)		4.80
001954	DUFFY FOUNDATION	02313S106	AMAZON COM INC	80.00	5/18/2009	10/21/2009	7,451.81	(6043.90)	1,407.91	
001954	DUFFY FOUNDATION	11133T103	BROADRIDGE FINL	63.00	3/1/2006	10/21/2009	1,364.55	(1129.01)		235.54
001954	DUFFY FOUNDATION	11133T103	BROADRIDGE FINL	25.00	8/9/2006	10/21/2009	541.49	(444.47)		97.02
001954	DUFFY FOUNDATION	11133T103	BROADRIDGE FINL	1000.00	7/9/2007	10/21/2009	21,659.54	(20170.30)		1,489.24
001954	DUFFY FOUNDATION	256746108	DOLLAR TREE INC	95.00	12/7/2007	10/21/2009	4,506.68	(2779.20)		1,727.48
001954	DUFFY FOUNDATION	30231Q102	EXXON MOBIL CORP	140.00	5/13/2004	10/21/2009	10,291.18	(5976.60)		4,314.58
001954	DUFFY FOUNDATION	461202103	INTUIT INC COM	670.00	10/27/2004	10/21/2009	19,824.86	(15231.38)		4,593.48
001954	DUFFY FOUNDATION	742718109	PROCTER & GAMBLE CO	350.00	11/8/2006	10/21/2009	20,152.52	(22441.79)		(2,289.27)
001954	DUFFY FOUNDATION	747525103	QUALCOMM	75.00	3/29/2006	10/21/2009	3,110.93	(3731.30)		(620.37)
001954	DUFFY FOUNDATION	747525103	QUALCOMM	155.00	4/20/2006	10/21/2009	6,429.25	(8011.07)		(1,581.82)
001954	DUFFY FOUNDATION	747525103	QUALCOMM	55.00	8/9/2006	10/21/2009	2,281.35	(1910.46)		370.89
001954	DUFFY FOUNDATION	747525103	QUALCOMM	550.00	1/3/2007	10/21/2009	22,813.46	(20470.73)		2,342.73
001954	DUFFY FOUNDATION	912795T68	USB 3/11/10	45000.00	3/23/2009	10/21/2009	44,828.13	(44750.62)	77.51	
001954	DUFFY FOUNDATION	00724F101	ADOBE SYSTEMS	180.00	10/21/2009	10/27/2009	6,148.66	(6287.38)	(138.72)	
001954	DUFFY FOUNDATION	032511107	ANADARKO PETE CORP	90.00	10/21/2009	10/27/2009	5,873.25	(6043.49)	(170.24)	
001954	DUFFY FOUNDATION	037411105	APACHE CORP	60.00	10/21/2009	10/27/2009	5,928.45	(6150.59)	(222.14)	
001954	DUFFY FOUNDATION	037833100	APPLE INC	40.00	10/21/2009	10/27/2009	7,957.00	(8227.20)	(270.20)	
001954	DUFFY FOUNDATION	189754104	COACH INC	12059.00	4/16/2001	10/27/2009	402,896.51	(528,063.81)	(125,167.30)	
001954	DUFFY FOUNDATION	24522F103	DEL MONTE FOODS	520.00	10/21/2009	10/27/2009	5,553.51	(5782.35)	(228.84)	(942.63)
001954	DUFFY FOUNDATION	478160104	JOHNSON & JOHNSON	110.00	10/20/2006	10/27/2009	6,606.43	(7549.06)		233.79
001954	DUFFY FOUNDATION	594918104	MICROSOFT CORP	325.00	10/26/2004	10/27/2009	9,278.54	(9044.75)		

SCHEDULE D

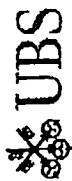
Acct No	Account Name	CUSIP No	Security Name	Shares	Acquisition Date	Sell Date	Sale Proceeds	Investment Cost Basis	Short Term Gain/Loss	Long Term Gain/Loss
001954	DUFFY FOUNDATION	66987V109	NOVARTIS AG ADR	385.00	3/5/2007	10/27/2009	20,015.68	(21120.95)		(1,105.27)
001954	DUFFY FOUNDATION	670346105	NUCOR CORP	100.00	5/12/2009	10/27/2009	4,129.89	(4179.38)	(49.49)	
001954	DUFFY FOUNDATION	883556102	THERMO FISHER SCIENT	540.00	10/27/2004	10/27/2009	\$24,898.81	(\$15,638.40)		9,260.41
001954	DUFFY FOUNDATION	931422109	WALGREEN CO	230.00	7/20/2004	10/27/2009	8,716.80	(8486.68)		230.12
001954	DUFFY FOUNDATION	931422109	WALGREEN CO	330.00	5/19/2009	10/27/2009	12,506.71	(10151.53)	2,355.18	
001954	DUFFY FOUNDATION	958102105	WESTERN DIGITAL	170.00	10/21/2009	10/27/2009	5,932.87	(6133.58)	(200.71)	
001954	DUFFY FOUNDATION	00724F101	ADOBE SYSTEMS	75.00	10/21/2009	11/11/2009	2,604.98	(2619.74)	(14.76)	
001954	DUFFY FOUNDATION	219350105	CORNING INC	400.00	5/6/2009	11/11/2009	6,404.72	(6283.16)	121.56	
001954	DUFFY FOUNDATION	958102105	WESTERN DIGITAL	85.00	10/21/2009	11/11/2009	3,276.55	(3066.79)	209.76	
							<u>\$865,298.43</u>	<u>(\$1,001,412.45)</u>	<u>(122,814.37)</u>	<u>(13,294.65)</u>



Prepared for Fdn Pace
 BW 15480 • Fdn Pace • Pace Multi Advisor
 Risk profile: Moderate
 Return objective: Current Income and Capital Appreciation

Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

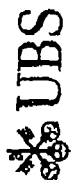
Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Gain or Loss		
						Realized Gain/(Loss)	Percent Gain/(Loss)	Term
125.00	CARDINAL HEALTH INC	06/23/2008	6,483.75	08/27/2009	4,247.86	-2,235.87	-34.48%	L
175.00	CARDINAL HEALTH INC	04/01/2009	5,416.25	08/27/2009	5,947.03	530.78	9.80%	S
475.00	CBS CORP NEW CL B	04/26/2008	11,874.75	08/27/2009	5,119.76	-6,854.99	-57.25%	L
200.00	CBS CORP NEW CL B	06/08/2008	5,324.00	08/27/2009	2,155.69	-3,168.31	-59.51%	L
350.00	CBS CORP NEW CL B	06/28/2008	9,278.50	08/27/2009	3,772.45	-5,506.05	-59.34%	L
175.00	CBS CORP NEW CL B	09/20/2008	5,019.00	08/27/2009	1,886.23	-3,132.77	-62.42%	L
400.00	CBS CORP NEW CL B	01/20/2009	2,752.00	08/27/2009	4,311.38	1,559.38	56.66%	S
5.00	CHEVRON CORP	07/25/2008	331.30	08/27/2009	348.30	17.00	5.13%	L
75.00	CHEVRON CORP	08/21/2008	5,037.00	08/27/2009	5,224.55	187.55	3.72%	L
320.00	CHEVRON CORP	07/09/2007	28,398.80	08/27/2009	22,291.41	-6,107.39	-21.50%	L
50.00	CHEVRON CORP	03/24/2009	3,485.00	08/27/2009	3,483.03	-1.97	-0.06%	S
50.00	CHEVRON CORP	03/26/2009	3,517.50	08/27/2009	3,483.03	-34.47	-0.98%	S
50.00	CHEVRON CORP	04/14/2009	3,328.00	08/27/2009	3,483.03	155.03	4.66%	S
50.00	CONOCOPHILLIPS	01/08/2007	3,398.50	08/27/2009	2,236.06	-1,162.44	-34.20%	L
100.00	CONOCOPHILLIPS	09/17/2007	8,498.00	08/27/2009	4,472.13	-4,025.87	-47.36%	L
100.00	CONOCOPHILLIPS	08/24/2007	8,918.00	08/27/2009	4,472.13	-4,445.87	-49.85%	L
100.00	CONOCOPHILLIPS	10/04/2007	8,317.00	08/27/2009	4,472.13	-3,844.87	-46.23%	L
100.00	CONOCOPHILLIPS	10/29/2007	8,481.00	08/27/2009	4,472.13	-4,008.87	-47.27%	L
100.00	CONOCOPHILLIPS	01/23/2008	7,121.00	08/27/2009	4,472.13	-2,648.87	-37.20%	L
900.00	CORNING INC	12/11/2008	7,686.00	08/27/2009	14,081.18	6,395.18	83.21%	S
50.00	DEUTSCHE BANK AG REG SHS ORD	03/20/2008	5,458.50	08/27/2009	3,392.21	-2,066.29	-37.83%	L
125.00	DEUTSCHE BANK AG REG SHS ORD	03/03/2008	3,090.00	08/27/2009	8,490.53	5,390.53	174.45%	S
200.00	DEUTSCHE BANK AG REG SHS ORD	05/15/2009	10,842.00	08/27/2009	13,568.85	2,726.85	25.15%	S
50.00	DEVON ENERGY CORP NEW	08/29/2008	5,132.50	08/27/2009	3,044.04	-2,088.46	-40.69%	S
75.00	DEVON ENERGY CORP NEW	09/15/2008	6,729.00	08/27/2009	4,566.06	-2,162.94	-32.14%	S
75.00	DEVON ENERGY CORP NEW	09/25/2008	7,639.50	08/27/2009	4,566.06	-3,073.44	-40.23%	S
100.00	DEVON ENERGY CORP NEW	01/29/2009	6,322.00	08/27/2009	6,088.08	-233.92	-3.70%	S
75.00	DEVON ENERGY CORP NEW	02/12/2009	3,833.25	08/27/2009	4,566.06	732.81	19.12%	S
75.00	DEVON ENERGY CORP NEW	03/25/2009	3,725.25	08/27/2009	4,566.06	840.81	22.57%	S
200.00	DU PONT DE NEMOURS	04/17/2009	5,674.00	08/27/2009	6,321.83	647.83	11.42%	S
250.00	DU PONT DE NEMOURS	05/19/2009	7,122.50	08/27/2009	7,902.29	779.79	10.95%	S
250.00	DU PONT DE NEMOURS	06/01/2009	7,460.00	08/27/2009	7,902.29	442.29	5.93%	S
300.00	DU PONT DE NEMOURS	06/23/2009	7,317.00	08/27/2009	9,482.74	2,165.74	29.60%	S
300.00	DU PONT DE NEMOURS	06/24/2009	7,467.00	09/27/2009	9,482.74	2,015.74	27.00%	S



Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

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Risk profile: Moderate
Return objective: Current Income and Capital Appreciation

Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Realized Gain/(Loss)	Percent Gain/(Loss)	Term
3.00	EOG RESOURCES INC	01/07/2008	284.88	08/27/2009	218.54	-48.12	-18.18%	L
10.00	EOG RESOURCES INC	07/15/2008	1,152.00	08/27/2009	721.81	-430.19	-37.34%	L
10.00	EOG RESOURCES INC	07/16/2008	1,101.80	08/27/2009	721.81	-379.99	-34.49%	L
15.00	EOG RESOURCES INC	01/20/2009	933.00	08/27/2009	1,082.72	149.72	16.05%	S
175.00	EOG RESOURCES INC	01/29/2009	12,026.00	08/27/2009	12,631.69	605.69	5.04%	S
15.00	EOG RESOURCES INC	04/01/2009	829.35	08/27/2009	1,082.72	253.37	30.55%	S
325.00	EXXON MOBIL CORP	12/08/2005	19,178.25	08/27/2009	22,766.94	3,588.69	18.71%	L
125.00	EXXON MOBIL CORP	03/28/2007	9,480.00	08/27/2009	8,756.51	-723.49	-7.63%	L
200.00	EXXON MOBIL CORP	03/30/2007	15,134.00	08/27/2009	14,010.42	-1,123.58	-7.42%	L
5.00	GOLDMAN SACHS GROUP INC	08/27/2007	882.95	08/27/2009	922.97	40.02	4.53%	L
50.00	GOLDMAN SACHS GROUP INC	08/31/2007	8,805.00	08/27/2009	8,229.71	-575.29	-6.53%	L
8.00	GOLDMAN SACHS GROUP INC	03/31/2008	885.20	08/27/2009	967.57	82.37	9.30%	L
114.00	GOLDMAN SACHS GROUP INC	09/09/2008	18,507.90	08/27/2009	18,763.74	255.84	1.38%	S
16.00	GOLDMAN SACHS GROUP INC	10/28/2008	1,808.75	08/27/2009	3,127.29	1,317.54	72.80%	S
30.00	GOLDMAN SACHS GROUP INC	11/04/2008	2,671.50	08/27/2009	4,837.83	2,166.33	80.83%	S
11.00	GOLDMAN SACHS GROUP INC	02/10/2009	1,065.90	08/27/2009	1,810.54	744.64	69.86%	S
80.00	GOLDMAN SACHS GROUP INC	05/11/2009	8,254.80	08/27/2009	9,876.65	1,621.85	19.64%	S
175.00	HOME DEPOT INC	02/10/2009	3,930.50	08/27/2009	4,767.14	836.64	21.29%	S
325.00	HOME DEPOT INC	02/25/2009	6,613.75	08/27/2009	8,853.25	2,239.50	33.86%	S
600.00	INGERSOLL-RAND PLC	08/05/2009	13,704.00	08/27/2009	18,522.50	4,818.50	35.16%	S
20.00	JPMORGAN CHASE & CO	05/01/2008	907.40	08/27/2009	863.15	-44.25	-4.88%	L
515.00	JPMORGAN CHASE & CO	01/16/2008	20,280.10	08/27/2009	21,968.62	1,708.52	8.43%	L
300.00	JPMORGAN CHASE & CO	09/28/2008	12,150.00	08/27/2009	12,787.25	637.25	5.25%	S
82.00	JPMORGAN CHASE & CO	04/23/2009	2,643.88	08/27/2009	3,497.92	854.04	32.31%	S
150.00	JPMORGAN CHASE & CO	05/14/2009	5,259.00	08/27/2009	6,398.63	1,139.63	21.67%	S
85.00	JPMORGAN CHASE & CO	05/21/2009	2,247.70	08/27/2009	2,772.74	525.04	23.36%	S
283.00	JPMORGAN CHASE & CO	05/27/2009	10,270.07	08/27/2009	12,072.08	1,802.01	17.55%	S
100.00	JPMORGAN CHASE & CO	08/12/2009	3,489.00	08/27/2009	4,265.75	776.75	22.26%	S
35.00	JPMORGAN CHASE & CO	08/23/2009	1,180.20	08/27/2009	1,493.01	312.81	26.50%	S
650.00	LILLY ELI & CO	04/03/2009	21,339.50	08/27/2009	21,848.48	508.98	2.39%	S
1,000.00	LIMITED BRANDS INC CL A	01/21/2009	8,310.00	08/27/2009	15,016.36	6,706.36	80.70%	S
300.00	LOWES COMPANIES INC	10/17/2008	5,574.00	08/27/2009	6,466.21	892.21	16.01%	S
175.00	LOWES COMPANIES INC	02/24/2009	2,726.50	08/27/2009	3,771.86	1,045.36	38.34%	S
75.00	LOWES COMPANIES INC	04/21/2009	1,483.50	08/27/2009	1,616.55	133.05	8.97%	S



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Risk profile: Moderate

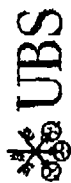
Return objective

Current Income and Capital Appreciation

Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Realized Gain/(Loss)	Percent Gain/(Loss)	Term
85.00	LOWES COMPANIES INC	05/14/2008	1,818.70	08/27/2009	1,832.09	215.39	13.32%	S
75.00	LOWES COMPANIES INC	05/27/2009	1,479.76	08/27/2009	1,616.55	136.80	9.24%	S
50.00	MACY'S INC	03/09/2007	2,221.50	08/27/2009	789.34	-1,452.16	-65.37%	L
125.00	MACY'S INC	03/13/2007	5,515.00	08/27/2009	1,923.34	-3,591.66	-65.13%	L
200.00	MACY'S INC	05/17/2007	7,888.00	08/27/2009	3,077.34	-4,808.66	-60.96%	L
200.00	MACY'S INC	06/07/2007	7,774.00	08/27/2009	3,077.34	-4,696.66	-60.41%	L
200.00	MACY'S INC	06/18/2007	7,760.00	08/27/2009	3,077.34	-4,682.66	-60.34%	L
300.00	MACY'S INC	05/28/2008	7,191.00	08/27/2009	4,816.01	-2,574.99	-35.81%	L
275.00	MERCK & CO "NAME CHANGE: 11/2008"	04/07/2008	11,284.25	08/27/2009	8,980.02	-2,404.23	-21.28%	L
200.00	MERCK & CO "NAME CHANGE: 11/2008"	08/18/2008	6,988.00	08/27/2009	8,485.47	-532.53	-7.61%	L
500.00	MERCK & CO "NAME CHANGE: 11/2008"	08/23/2008	17,885.00	08/27/2009	18,163.67	-1,721.33	-9.62%	L
200.00	MERCK & CO "NAME CHANGE: 11/2008"	07/09/2008	7,478.00	08/27/2009	6,465.47	-1,010.53	-13.52%	L
200.00	MERCK & CO "NAME CHANGE: 11/2008"	08/05/2008	6,784.00	08/27/2009	6,465.47	-318.53	-4.70%	S
25.00	METLIFE INC	11/27/2007	1,548.25	08/27/2009	935.64	-612.71	-39.57%	L
500.00	METLIFE INC	11/18/2008	9,805.00	08/27/2009	18,710.79	8,905.79	90.83%	S
100.00	METLIFE INC	01/13/2009	2,899.00	08/27/2009	3,742.16	843.16	29.08%	S
25.00	MORGAN STANLEY	12/21/2007	1,947.80	08/27/2009	738.82	-608.58	-45.16%	L
200.00	MORGAN STANLEY	01/11/2008	9,700.00	08/27/2009	5,911.37	-3,788.63	-39.06%	L
200.00	MORGAN STANLEY	10/01/2008	4,518.00	08/27/2009	5,911.37	1,393.37	30.84%	S
1,125.00	MOTOROLA INC	08/12/2008	10,091.25	08/27/2009	8,281.73	-1,799.52	-17.83%	L
2,875.00	MOTOROLA INC	12/05/2008	11,021.00	08/27/2009	19,715.90	8,694.80	78.88%	S
800.00	NEWS CORP INC DELA CL A	12/19/2008	6,632.00	08/27/2009	8,607.29	1,975.29	29.78%	S
2,500.00	NEWS CORP INC DELA CL A	02/18/2009	15,150.00	08/27/2009	20,887.79	11,747.79	77.54%	S
500.00	NEWS CORP INC DELA CL A	04/20/2009	3,905.00	08/27/2009	5,378.58	1,474.58	37.76%	S
400.00	NEWS CORP INC DELA CL A	06/30/2009	3,835.04	08/27/2009	4,303.65	668.61	18.39%	S
300.00	NOKIA CORP SPONS ADR FINLAND ADR	10/09/2008	4,988.00	08/27/2009	4,010.07	-975.83	-19.57%	S
400.00	NOKIA CORP SPONS ADR FINLAND ADR	01/22/2009	4,888.00	08/27/2009	5,346.76	458.76	9.39%	S
500.00	NOKIA CORP SPONS ADR FINLAND ADR	02/10/2009	6,370.00	08/27/2009	6,883.44	513.44	8.06%	S
400.00	NOKIA CORP SPONS ADR FINLAND ADR	02/17/2009	4,884.00	08/27/2009	5,346.76	462.76	9.48%	S
300.00	NOKIA CORP SPONS ADR FINLAND ADR	02/20/2009	3,057.00	08/27/2009	4,010.07	953.07	31.18%	S
200.00	OCCIDENTAL PETROLEUM CRP	01/29/2009	11,530.00	08/27/2009	14,393.60	2,863.60	24.84%	S
200.00	OCCIDENTAL PETROLEUM CRP	06/17/2009	12,738.00	08/27/2009	14,393.60	1,655.60	13.00%	S
45.00	OCCIDENTAL PETROLEUM CRP	06/29/2009	2,977.42	08/27/2009	3,238.56	261.14	8.77%	S
150.00	PFIZER INC	08/08/2008	3,603.00	08/27/2009	2,503.16	-1,099.84	-30.53%	L

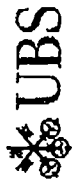
Report created on: January 28, 2010



Prepared for Fdn Pace
BY 15480 • Fdn Pace • Pace Multi Advisor
Risk profile: Moderate
Return objective: Current Income and Capital Appreciation

Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

Quantity		Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Realized Gain/(Loss)	Percent Gain/(Loss)	Term
600.00	PFIZER INC		06/15/2008	13,950.00	08/27/2009	10,012.66	-3,937.34	-28.22%	L
225.00	PFIZER INC		08/23/2008	5,082.75	08/27/2009	3,754.75	-1,328.00	-26.13%	L
225.00	PFIZER INC		03/30/2007	5,867.75	08/27/2009	3,754.75	-1,913.00	-33.75%	L
300.00	PFIZER INC		05/04/2007	8,124.00	08/27/2009	5,006.33	-3,117.67	-38.38%	L
500.00	PFIZER INC		03/19/2007	13,700.00	08/27/2009	5,343.88	-5,356.12	-39.10%	L
600.00	PFIZER INC		05/21/2007	16,476.00	08/27/2009	10,012.66	-6,463.34	-39.23%	L
300.00	PFIZER INC		06/21/2007	7,755.00	08/27/2009	5,006.33	-2,748.67	-35.44%	L
50.00	ROYAL DUTCH SHELL PLC CL A SPON ADR		04/02/2008	3,502.50	08/27/2009	2,733.08	-769.42	-21.97%	L
200.00	ROYAL DUTCH SHELL PLC CL A SPON ADR		04/08/2008	14,518.00	08/27/2009	10,932.31	-3,585.69	-24.70%	L
200.00	SCHERING PLOUGH CORP **MERGER EFF: 11/09**		07/09/2008	4,124.00	08/27/2009	5,815.36	1,691.36	36.16%	L
500.00	SCHERING PLOUGH CORP **MERGER EFF: 11/09**		07/10/2008	10,850.00	08/27/2009	14,038.39	3,188.39	29.39%	L
400.00	SCHERING PLOUGH CORP **MERGER EFF: 11/09**		03/23/2008	8,800.00	08/27/2009	11,230.71	1,630.71	18.99%	S
200.00	SCHERING PLOUGH CORP **MERGER EFF: 11/09**		04/27/2009	4,444.00	08/27/2009	5,615.36	1,171.36	26.36%	S
500.00	SYMANTEC CORP		02/24/2009	7,070.00	08/27/2009	7,568.42	498.42	7.05%	S
400.00	SYMANTEC CORP		03/20/2009	6,596.00	08/27/2009	6,054.73	-458.73	-8.20%	S
200.00	SYMANTEC CORP		03/23/2009	2,786.00	08/27/2009	3,027.37	241.37	8.66%	S
0.15	TAIWAN SEMICONDUCTOR MFG CO LTD ADR		05/05/2009	1.66	08/14/2009	1.58	-0.08	-4.82%	S
41.00	TIME WARNER CABLE INC		03/17/2004	1,998.34	08/27/2009	1,501.54	-496.80	-24.86%	L
68.00	TIME WARNER CABLE INC		08/09/2004	3,835.28	08/27/2009	2,417.11	-1,218.17	-33.51%	L
87.00	TIME WARNER CABLE INC		10/01/2008	3,543.51	08/27/2009	3,188.19	-357.32	-10.08%	S
33.00	TIME WARNER CABLE INC		11/24/2008	819.39	08/27/2009	1,208.56	389.17	47.50%	S
33.00	TIME WARNER CABLE INC		12/05/2008	934.23	08/27/2009	1,208.56	274.33	29.36%	S
33.00	TIME WARNER CABLE INC		01/08/2009	1,153.88	08/27/2009	1,208.56	54.68	4.78%	S
41.00	TIME WARNER CABLE INC		03/24/2009	1,122.56	08/27/2009	1,501.54	378.98	33.76%	S
268.00	TIME WARNER CABLE INC		04/17/2009	7,745.92	08/27/2009	9,741.70	1,995.78	25.77%	S
45.00	TIME WARNER CABLE INC		05/05/2009	1,524.80	08/27/2009	1,848.03	123.43	8.10%	S
153.00	TIME WARNER INC NEW		03/17/2004	5,650.29	08/27/2009	4,317.42	-1,332.87	-23.59%	L
265.00	TIME WARNER INC NEW		08/09/2004	10,282.00	08/27/2009	7,477.88	-2,804.12	-27.27%	L
350.00	TIME WARNER INC NEW		10/01/2008	10,024.00	08/27/2009	9,876.44	-147.56	-1.47%	S
133.00	TIME WARNER INC NEW		11/24/2008	2,316.86	08/27/2009	3,753.05	1,436.19	61.99%	S
133.00	TIME WARNER INC NEW		12/05/2008	2,642.71	08/27/2009	3,753.05	1,110.34	42.02%	S
133.00	TIME WARNER INC NEW		01/08/2009	3,262.49	08/27/2009	3,753.05	490.56	15.04%	S
168.00	TIME WARNER INC NEW		03/24/2009	3,173.92	08/27/2009	4,684.28	1,510.34	47.58%	S
167.00	TIME WARNER INC NEW		04/17/2009	3,888.09	08/27/2009	4,712.48	826.39	21.27%	S



Prepared for Fdn Pace
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Risk profile: Moderate
Return objective: Current Income and Capital Appreciation

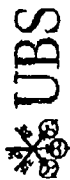
Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Realized Gain/(Loss)	Percent Gain/(Loss)	Term
100.00	TRAVELERS COS INC/THE	07/26/2007	5,116.00	08/27/2009	4,831.52	-284.48	-5.56%	L
200.00	TRAVELERS COS INC/THE	08/13/2007	10,262.00	08/27/2009	9,683.05	-578.95	-5.64%	L
425.00	TYCO ELECTRONICS LTD	04/28/2008	7,152.76	08/27/2009	9,667.32	2,514.57	35.18%	S
225.00	TYCO ELECTRONICS LTD	05/01/2009	3,966.00	08/27/2009	5,117.99	1,148.99	28.95%	S
200.00	TYCO ELECTRONICS LTD	05/18/2009	3,538.00	08/27/2009	4,549.33	1,011.33	28.58%	S
250.00	TYCO ELECTRONICS LTD	05/21/2009	4,180.00	08/27/2009	5,886.86	1,506.86	36.04%	S
700.00	US BANCORP DEL (NEW)	05/15/2009	12,355.00	08/27/2009	15,438.91	3,083.91	24.96%	S
300.00	US BANCORP DEL (NEW)	05/21/2009	5,400.00	08/27/2009	6,616.68	1,216.68	22.53%	S
650.00	VODAFONE GROUP PLC NEW SPON ADR	05/19/2009	12,343.50	08/27/2009	14,060.39	1,716.89	13.81%	S
500.00	WELLS FARGO & CO NEW	05/08/2009	11,000.00	08/27/2009	13,720.53	2,720.53	24.73%	S
200.00	WSTN DIGITAL CORP	08/21/2008	5,864.00	08/27/2009	6,780.08	1,096.08	18.35%	L
300.00	WSTN DIGITAL CORP	09/02/2008	8,118.00	08/27/2009	10,140.09	2,022.09	24.91%	S
125.00	XL CAPITAL LTD CL A	06/25/2004	9,475.00	08/27/2009	2,079.13	-7,395.87	-78.08%	L
200.00	XL CAPITAL LTD CL A	10/22/2004	13,670.00	08/27/2009	3,326.60	-10,343.40	-75.66%	L
475.00	XL CAPITAL LTD CL A	10/03/2008	7,814.25	08/27/2009	7,900.68	86.43	3.78%	S
TOTAL GAINS								
TOTAL LOSS								
SHORT TERM TOTAL REALIZED GAIN/(LOSS)								
LONG TERM TOTAL REALIZED GAIN/(LOSS)								
TOTAL REALIZED GAIN/(LOSS)								

Purchase
Total
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Sale
Total
\$1,200,551

Gain (Loss)
Total
\$(58,434)

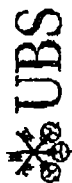


Realized gain/(loss)

from 06/01/2009 to 11/30/2009

Prepared for Edn Oak Rdg
BW 16136 • Rdg Oak Rdg • ACCESS
Stock profile: Moderate
Return objective: Capital Appreciation

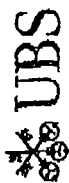
Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Realized Gain/(Loss)	Gain or Loss Percent Gain/(Loss)	Term
150.00	ACE LTD	03/19/2009	5,883.50	08/28/2009	7,873.57	1,990.17	33.60%	S
100.00	ACE LTD	04/20/2009	4,437.00	08/28/2009	6,249.12	812.12	18.30%	S
5.00	AIR PROD & CHEMICAL INC	08/14/2007	442.45	08/28/2009	378.74	-83.71	-14.40%	L
25.00	AIR PROD & CHEMICAL INC	10/30/2007	2,447.75	08/28/2009	1,893.70	-554.05	-22.64%	L
8.00	ALCON INC	07/21/2005	697.74	08/28/2009	776.20	78.46	11.24%	L
10.00	ALCON INC	07/08/2008	1,007.40	08/28/2009	1,293.86	286.26	28.42%	L
14.00	AMAZON.COM INC	08/23/2008	1,078.00	08/28/2009	1,178.97	98.97	9.18%	S
50.00	AMGEN INC	03/18/2009	2,510.00	08/28/2009	2,983.14	473.14	18.85%	S
75.00	AMGEN INC	04/17/2009	3,546.75	08/28/2009	4,474.71	927.96	26.18%	S
25.00	APPLE INC	08/08/2008	1,484.25	08/28/2009	4,251.64	2,767.39	190.38%	L
19.00	APPLE INC	09/15/2008	1,091.17	08/28/2009	3,231.24	2,140.07	186.13%	L
35.00	ARCELORMITTAL SA NY REG	08/02/2009	1,272.80	08/28/2009	1,288.56	15.76	1.10%	S
200.00	AUTOLIV INC \$0.20	05/30/2007	11,734.00	08/28/2009	6,439.33	-5,294.67	-45.12%	L
45.00	BANK OF NEW YORK MELLON CORP	04/17/2009	1,376.85	08/28/2009	1,309.58	-67.27	-4.80%	S
32.00	BAXTER INTL INC	07/02/2008	2,061.12	08/28/2009	1,515.95	-545.17	-26.44%	L
20.00	BAXTER INTL INC	07/24/2008	1,045.00	08/28/2009	1,134.87	89.87	8.61%	L
15.00	BAXTER INTL INC	11/18/2008	858.95	08/28/2009	851.23	-7.72	-0.90%	S
20.00	BAXTER INTL INC	03/19/2009	1,035.20	08/28/2009	1,134.97	99.77	9.64%	S
30.00	CAMERON INTL CORP	11/19/2007	1,343.40	08/28/2009	1,060.89	-282.51	-20.99%	L
40.00	CAMERON INTL CORP	03/31/2008	1,885.60	08/28/2009	1,454.52	-431.08	-22.86%	L
35.00	CAMERON INTL CORP	04/01/2009	744.45	08/28/2009	1,272.71	528.26	70.96%	S
175.00	CATERPILLAR INC	05/29/2009	6,174.00	08/28/2009	8,189.98	2,015.98	32.65%	S
3.00	CME GROUP INC	08/02/2007	1,675.35	08/28/2009	848.26	-827.09	-49.37%	L
8.00	CME GROUP INC	01/25/2008	3,821.22	08/28/2009	1,898.52	-1,922.70	-50.30%	L
5.00	CME GROUP INC	03/14/2008	2,508.25	08/28/2009	1,413.78	-1,094.47	-43.63%	L
5.00	CME GROUP INC	05/20/2008	2,410.45	08/28/2009	1,413.76	-996.69	-41.35%	L
7.00	CME GROUP INC	10/03/2008	2,767.17	08/28/2009	1,978.27	-788.90	-28.47%	S
25.00	COCA COLA CO COM	02/23/2009	1,077.00	08/28/2009	1,225.71	148.71	13.81%	S
15.00	COLGATE PALMOLIVE CO	12/05/2007	1,189.50	08/28/2009	1,092.57	-96.93	-8.15%	L
15.00	COLGATE PALMOLIVE CO	01/20/2009	951.60	08/28/2009	1,092.57	140.97	14.81%	S
20.00	COSTCO WHOLESALE CORP	04/01/2008	1,309.20	08/28/2009	1,032.22	-276.98	-21.15%	L
45.00	COSTCO WHOLESALE CORP	08/05/2008	3,244.05	08/28/2009	2,322.48	-921.57	-28.41%	L



Prepared for Fdn Oak Rdg
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Risk profile Moderate
Return objective Capital Appreciation

Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

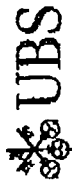
Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Realized Gain/(Loss)	Gain or Loss		Term
							Percent Gain/(Loss)	Gain/(Loss)	
45.00	COSTCO WHOLESALE CORP	12/17/2008	2,859.55	08/28/2009	2,838.80	-120.95	-4.09%	S	
20.00	COSTCO WHOLESALE CORP	02/10/2009	889.00	08/28/2009	1,032.22	143.22	16.11%	S	
25.00	COSTCO WHOLESALE CORP	08/05/2008	1,193.00	08/28/2009	1,290.27	97.27	8.15%	S	
75.00	CREDIT SUISSE GROUP SPON ADR	05/05/2009	2,949.75	08/28/2009	3,654.90	905.15	30.68%	S	
700.00	D R HORTON INC	08/12/2009	8,629.00	08/28/2009	9,604.10	2,975.10	44.88%	S	
150.00	EASTMAN CHEMICAL CO	11/07/2008	5,935.50	08/28/2009	8,038.37	2,102.87	35.43%	S	
5.00	EMERSON ELECTRIC CO	11/28/2007	279.00	08/28/2009	184.90	-94.10	-33.73%	L	
35.00	EMERSON ELECTRIC CO	01/13/2009	1,214.50	08/28/2009	1,294.32	79.82	6.57%	S	
85.00	EMERSON ELECTRIC CO	02/18/2009	2,635.55	08/28/2009	3,143.34	607.79	23.97%	S	
60.00	EMERSON ELECTRIC CO	04/01/2009	1,455.50	08/28/2009	1,949.03	393.53	27.04%	S	
150.00	ENSCO INTL INC **MERGER 12/08**	05/21/2009	4,976.50	08/28/2009	5,894.23	715.73	14.38%	S	
20.00	FLUOR CORP NEW	12/26/2007	1,468.40	08/28/2009	1,079.57	-388.83	-26.48%	L	
6.00	FRANKLIN RESOURCES INC	12/11/2008	559.85	08/28/2009	467.94	-91.71	-16.39%	L	
10.00	FRANKLIN RESOURCES INC	08/18/2007	1,220.10	08/28/2009	935.87	-284.23	-23.30%	L	
10.00	FRANKLIN RESOURCES INC	11/19/2007	1,165.10	08/28/2009	935.87	-229.23	-19.87%	L	
70.00	FREEMONT-MCMORAN COPPER & GOLD INC	05/05/2009	3,451.70	08/28/2009	4,591.88	1,140.18	33.03%	S	
18.00	GENL MILLS INC	11/04/2008	1,234.44	08/28/2009	1,080.40	-174.04	-14.10%	S	
400.00	GENWORTH FINANCIAL INC CL A	08/18/2005	12,462.00	08/28/2009	4,108.05	-8,343.95	-67.01%	L	
175.00	GENWORTH FINANCIAL INC CL A	08/30/2008	5,980.25	08/28/2009	1,797.27	-4,182.98	-70.00%	L	
225.00	GENWORTH FINANCIAL INC CL A	12/08/2006	7,411.60	08/28/2009	2,310.78	-5,100.72	-68.82%	L	
45.00	GILEAD SCIENCES INC	08/21/2005	981.35	08/28/2009	2,031.24	1,039.89	104.90%	L	
35.00	GILEAD SCIENCES INC	04/28/2008	1,009.05	08/28/2009	1,578.86	570.81	56.57%	L	
300.00	GLAXO SMITHKLINE PLC ADR	02/18/2009	10,131.00	08/28/2009	11,749.04	1,618.04	15.87%	S	
4.00	GOOGLE INC CL A	07/20/2005	1,223.84	08/28/2009	1,894.98	671.15	52.39%	L	
5.00	GOOGLE INC CL A	03/15/2008	1,743.70	08/28/2009	2,331.24	587.54	33.70%	L	
350.00	HARTFORD FINCL SERVICES GROUP INC	10/31/2008	3,621.00	08/28/2009	8,386.55	4,865.55	138.19%	S	
80.00	HEWLETT PACKARD CO	02/05/2007	3,410.40	08/28/2009	3,805.50	395.10	11.55%	S	
75.00	HEWLETT PACKARD CO	03/13/2007	3,004.50	08/28/2009	3,380.16	375.66	12.50%	L	
19.00	HEWLETT PACKARD CO	12/26/2007	989.21	08/28/2009	868.31	-120.90	-14.30%	L	
45.00	ILLINOIS TOOL WORKS INC	06/02/2009	1,822.70	08/28/2009	1,905.77	83.07	4.55%	S	
65.00	ILLINOIS TOOL WORKS INC	06/28/2009	2,088.13	08/28/2009	2,329.27	241.14	11.55%	S	
100.00	INTEL CORP	08/28/2008	1,846.00	08/28/2009	2,034.00	188.00	10.19%	S	
85.00	INTEL CORP	04/21/2009	1,295.40	08/28/2009	1,728.90	433.50	33.46%	S	
140.00	INTEL CORP	06/19/2009	2,244.20	08/28/2009	2,847.60	603.40	26.89%	S	



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Risk profile Moderate
Return objective: Capital Appreciation

Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

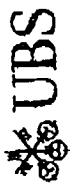
Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Realized Gain/(Loss)	Percent Gain/(Loss)	Term
75.00	INTEL CORP	06/23/2009	1,186.50	08/28/2009	1,525.50	339.00	28.57%	S
5.00	KOHL'S CORP	12/18/2008	358.60	06/28/2009	292.96	-65.64	-26.28%	L
20.00	KOHL'S CORP	01/30/2007	1,384.40	09/28/2009	1,051.84	-332.56	-24.02%	L
25.00	KOHL'S CORP	04/25/2008	1,234.50	08/28/2009	1,314.80	80.30	6.50%	L
35.00	KOHL'S CORP	08/28/2008	1,888.80	08/28/2009	1,840.72	-171.82	-10.30%	L
20.00	KOHL'S CORP	01/15/2008	727.60	08/28/2009	1,051.84	324.24	44.58%	S
45.00	KOHL'S CORP	01/23/2009	1,683.36	08/28/2009	2,388.64	673.28	39.76%	S
50.00	KOHL'S CORP	08/05/2009	2,308.50	08/28/2009	2,829.61	321.11	13.91%	S
700.00	L M ERICSSON TELEFON CO SEK 10 NEW 2002 ADR	12/22/2008	5,334.00	08/28/2009	6,788.08	1,454.08	27.45%	S
65.00	LIBERTY MEDIA CORP ENTERTAINMENT NEW **EXCHANGE EFF: 1/108**	04/21/2009	1,543.10	08/28/2009	1,802.40	259.30	16.80%	S
500.00	LINCOLN NATL CORP IND	01/28/2008	7,910.00	08/28/2009	12,614.67	4,704.67	59.48%	S
650.00	MASCO CORP	08/03/2008	7,013.60	08/28/2009	8,457.45	2,443.85	34.85%	S
25.00	MCDONALDS CORP	08/05/2008	1,523.25	08/28/2009	1,388.77	-134.48	-8.17%	L
65.00	MCDONALDS CORP	10/06/2008	3,788.85	08/28/2009	3,638.80	-150.05	-4.01%	S
20.00	MCDONALDS CORP	10/16/2008	1,045.20	08/28/2009	1,119.02	73.82	7.06%	S
15.00	MCDONALDS CORP	02/10/2008	877.06	08/28/2009	839.26	-37.79	-4.31%	S
40.00	MEDCO HEALTH SOLUTIONS INC	11/06/2007	1,923.60	08/28/2009	2,222.84	299.24	15.56%	L
30.00	MEDCO HEALTH SOLUTIONS INC	01/11/2008	1,536.60	08/28/2009	1,687.13	150.53	9.80%	L
70.00	MEDCO HEALTH SOLUTIONS INC	03/14/2008	2,940.00	08/28/2009	3,889.98	949.98	32.31%	L
50.00	NATL-OILWELLVARCO INC	05/28/2008	1,778.50	08/28/2009	1,878.95	100.45	5.65%	S
225.00	NEXEN INC	05/28/2008	5,582.25	08/28/2009	4,533.19	-949.06	-17.00%	S
275.00	NEXEN INC	06/03/2008	6,682.50	08/28/2009	5,662.78	-1,019.71	-15.26%	S
35.00	NIKE INC CL B	04/30/2008	2,372.30	08/28/2009	1,966.24	-406.06	-17.12%	L
175.00	NORTHROP GRUMMAN CORP	04/01/2008	7,766.00	08/28/2009	8,559.29	803.29	10.38%	S
25.00	NUCOR CORP	04/17/2008	3,587.75	08/28/2009	3,668.27	80.52	2.24%	S
11.00	NVR INC	05/05/2009	1,102.25	08/28/2009	1,142.22	39.97	3.63%	S
100.00	PENNEY J C CO INC (HLDG CO)	08/15/2008	5,512.76	08/28/2009	7,496.41	1,983.65	35.98%	S
250.00	PENNEY J C CO INC (HLDG CO)	02/18/2008	4,625.00	08/28/2009	3,118.92	-1,506.08	-32.56%	L
25.00	PETROLEO BRASILEIRO SA SPON ADR	11/10/2008	5,085.00	08/28/2009	7,797.29	2,712.29	53.94%	S
20.00	PHILIP MORRIS INTL INC	06/01/2009	1,144.75	08/28/2009	1,033.97	-110.78	-9.68%	S
10.00	PROCTER & GAMBLE CO	07/22/2008	1,030.80	08/28/2009	912.26	-118.54	-11.50%	L
		11/13/2007	711.50	08/28/2009	528.31	-183.19	-25.75%	L



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Risk profile Moderate
Return objective Capital Appreciation

Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Gain or Loss	
						Realized Gain/(Loss)	Percent Gain/(Loss) Term
55.00	PROCTER & GAMBLE CO	10/02/2008	3,899.50	09/28/2009	2,805.70	-993.80	-25.49% S
35.00	PROCTER & GAMBLE CO	10/16/2008	2,124.15	09/28/2009	1,849.08	-275.07	-12.95% S
163.00	PROCTER & GAMBLE CO	04/16/2009	8,205.42	09/28/2009	8,611.43	406.01	4.95% S
1,500.00	REGIONS FINANCIAL CORP	09/20/2009	6,000.00	09/28/2009	8,889.91	2,889.91	50.00% S
600.00	RRI ENERGY INC	09/11/2008	8,760.00	08/28/2009	3,763.40	-4,996.60	-57.04% S
600.00	RRI ENERGY INC	12/19/2008	3,300.00	08/28/2009	3,763.40	463.40	14.04% S
25.00	SCHLUMBERGER LTD NETHERLANDS ANTILLES	11/14/2005	1,172.50	08/28/2009	1,426.71	254.21	21.68% L
9.00	SCHLUMBERGER LTD NETHERLANDS ANTILLES	03/15/2007	580.14	08/28/2009	513.62	-66.52	-11.47% L
550.00	SMITHFIELD FOODS INC	07/01/2008	7,725.03	08/28/2009	6,864.70	-860.33	-11.14% S
1,300.00	SPRINT NEXTEL CORP SERIES 1 COMMON STOCK	04/10/2008	11,718.00	08/28/2009	6,986.34	-4,731.66	-40.38% L
1,300.00	SPRINT NEXTEL CORP SERIES 1 COMMON STOCK	08/22/2008	8,762.00	08/28/2009	5,045.88	-3,716.12	-42.41% S
150.00	SPX CORPORATION	08/24/2008	8,948.00	08/28/2009	8,598.82	-349.18	-3.91% S
80.00	TAIWAN SEMICONDUCTOR MFG CO LTD ADR	05/05/2009	888.34	08/28/2009	858.50	-29.84	-3.36% S
151.00	TAIWAN SEMICONDUCTOR MFG CO LTD ADR	09/07/2009	1,562.50	08/28/2009	1,620.41	57.91	3.71% S
15.00	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	12/18/2007	963.00	08/28/2009	769.65	-193.35	-20.08% L
95.00	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	02/11/2008	4,435.55	08/28/2009	4,874.47	438.92	9.90% L
25.00	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	09/03/2008	1,218.50	08/28/2009	1,282.75	64.25	5.27% L
25.00	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	07/02/2008	1,170.25	08/28/2009	1,282.75	112.50	9.61% L
50.00	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	07/25/2008	2,287.50	08/28/2009	2,565.61	278.11	12.15% L
200.00	TORCHMARK CORP	05/04/2008	8,124.00	08/28/2009	8,575.87	451.87	5.57% S
50.00	TOYOTA MOTOR CORP NEW JAPAN SPON ADR	06/23/2008	4,915.60	08/28/2009	4,307.89	-607.71	-12.36% L
20.00	TOYOTA MOTOR CORP NEW JAPAN SPON ADR	04/30/2009	1,595.20	08/28/2009	1,723.15	127.95	8.02% S
100.00	TYSON FOODS INC CL A	08/13/2008	1,479.00	08/28/2009	1,189.02	-289.98	-19.61% L
400.00	TYSON FOODS INC CL A	01/26/2009	3,896.00	08/28/2009	4,758.07	862.07	22.13% S
45.00	UNION PACIFIC CORP	04/30/2009	2,241.45	08/28/2009	2,732.32	490.87	21.90% S
350.00	UNUM GROUP	05/04/2008	5,904.50	08/28/2009	7,909.90	2,005.40	33.98% S
500.00	VIACOM INC NEW CL B	12/29/2008	8,830.00	08/28/2009	12,519.82	3,689.82	41.79% S
29.00	WAL MART STORES INC	10/01/2008	1,494.25	08/28/2009	1,271.02	-223.23	-14.94% S
60.00	WAL MART STORES INC	10/18/2008	3,024.60	08/28/2009	3,050.45	25.85	0.85% S
125.00	WALT DISNEY CO (HOLDING CO) DISNEY COM	12/17/2008	2,938.75	08/28/2009	3,352.91	414.16	14.09% S
50.00	WALT DISNEY CO (HOLDING CO) DISNEY COM	02/17/2009	893.60	08/28/2009	1,341.16	447.56	50.10% S
50.00	WALT DISNEY CO (HOLDING CO) DISNEY COM	03/18/2009	890.50	08/28/2009	1,341.18	450.68	50.61% S
TOTAL GAINS						5,207.87	
TOTAL LOSS						-24,007.87	



Prepared for Fdn Oak Rdg
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Risk profile Moderate
Return objective: Capital Appreciation

Realized gain/(loss) - from 06/01/2009 to 11/30/2009 (continued)

Quantity	Description	Purchase Date	Purchase Amount	Sale Date	Sale Amount	Gain or Loss		
						Realized Gain/(Loss)	Percent Gain/(Loss)	Term
SHORT TERM TOTAL REALIZED GAIN/(LOSS)						\$3,357.75		
LONG TERM TOTAL REALIZED GAIN/(LOSS)						\$28,427.98		
TOTAL REALIZED GAIN/(LOSS)						\$31,785.73		

Purchase	Sales	Gain (Loss)
Total	Total	Total
\$ 394,175	\$408,963	\$ 14,788

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
JAD CONSULTING, LLC	5,800.	2,900.		2,900.
TOTALS	5,800.	2,900.	NONE	2,900.

FORM 990PF, PART I - OTHER EXPENSES
=====

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
-----	-----	-----	-----
BANK SERVICE CHARGES	4,328.		4,328.
FILING FEES	373.		373.
INVESTMENT ADVISORY FEES	13,662.	13,662.	
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TOTALS	18,363.	13,662.	4,701.
	=====	=====	=====

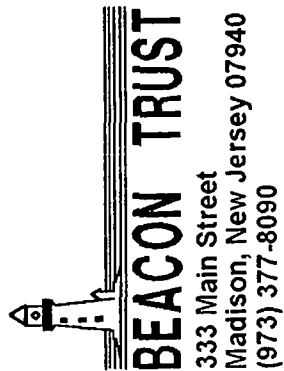
FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
SEE SCHEDULE 6 ATTACHED	517,561.	534,473.
SEE SCHEDULE 7 ATTACHED	1,685,085.	1,724,941.
SEE SCHEDULE 8 ATTACHED	522,180.	571,265.
TOTALS	2,724,826.	2,830,679.

For the Account of: JOHN & ANNE DUFFY FOUNDATION, INC.

Account Number: 52 00 1954 0 06

Date: NOVEMBER 1, 2009 - NOVEMBER 30, 2009



Portfolio Assets Detail

DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
CONSUMER DISCRETIONARY									
COACH INC (COH)	1,000	43,790.00	34.750	34,750.00	6.93	3.75	34,481.00	300.00	8.66
EXPEDIA INC DEL COM (EXPE)	615	14,424.89	25.480	15,670.20	3.12	1.69	1,245.31	00	00
TARGET CORP COM (TGT)	280	13,563.17	46.560	13,036.80	2.60	1.41	-526.37	190.40	1.46
TUPPERWARE BRANDS CORP COM (TUP)	130	3,126.77	46.550	6,051.50	1.21	65	2,924.73	130.00	2.15
TOTAL CONSUMER DISCRETIONARY		74,904.83		69,508.50	13.86	7.50	38,124.67	620.40	.89
CONSUMER STAPLES									
COLGATE PALMOLIVE CO (CL)	150	7,488.21	84.190	12,628.50	2.52	1.36	5,140.29	264.00	2.09
DEL MONTE FOODS CO (DLM)	1,380	15,345.46	10.490	14,476.20	2.89	1.56	-869.26	276.00	1.11
TOTAL CONSUMER STAPLES		22,833.67		27,104.70	5.40	2.92	4,271.03	540.00	1.99
ENERGY									
ANADARKO PETE CORP COM (APC)	230	15,444.48	59.530	13,691.90	2.73	1.48	-1,752.58	82.80	60
APACHE CORP (APA)	150	15,376.49	95.280	14,292.00	2.85	1.54	-1,084.49	90.00	63

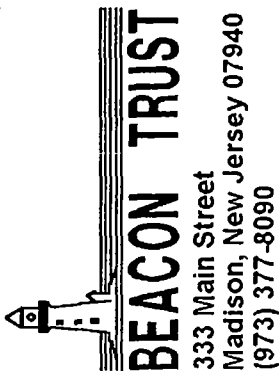


For the Account of: JOHN & ANNE DUFFY FOUNDATION, INC.

Account Number: 52 00 1954 0 06

Date: NOVEMBER 1, 2009 - NOVEMBER 30, 2009

Portfolio Assets Detail



DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
NOBLE CORP (NE)	350	15,095.67	41.310	14,458.50	2.88	1.56	-637.17	00	00
SCHLUMBERGER LTD (SLB)	155	5,865.92	63.890	9,902.95	1.97	1.07	4,037.03	130.20	1.81
SOUTHWESTERN ENERGY CO (SWN)	290	13,722.77	43.960	12,748.40	2.54	1.37	-974.37	.00	00
TOTAL ENERGY		65,505.33		65,093.75	12.98	7.02	-411.58	303.00	.47

FINANCIALS

AFLAC INC COM (AFL)	300	15,907.56	46.030	13,809.00	2.75	1.49	-2,098.56	336.00	2.43
FIDELITY NATL INFORMATION SV COM (FIS)	357	6,263.15	22.600	8,068.20	1.61	.87	1,805.05	71.40	.88
FRANKLIN RES INC COM (BEN)	160	12,722.60	108.030	17,284.80	3.45	1.86	4,562.20	134.40	.78
JEFFRIES GROUP (JEF)	630	12,771.04	23.450	14,773.50	2.95	1.59	2,002.46	00	
JPMORGAN CHASE & CO COM (JPM)	350	14,158.20	42.490	14,871.50	2.96	1.60	713.30	70.00	.47
LINCOLN NATL CORP IND COM (LNC)	595	14,441.07	22.910	13,631.45	2.72	1.47	-809.62	23.80	.17
TOTAL FINANCIALS		76,263.62		82,438.45	16.43	8.89	6,174.83	635.60	.77

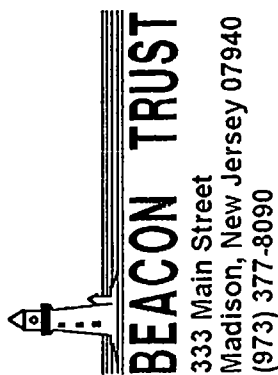
HEALTH CARE



Account Number: 52 00 1954 0 06

Date: NOVEMBER 1, 2009 - NOVEMBER 30, 2009

Portfolio Assets Detail



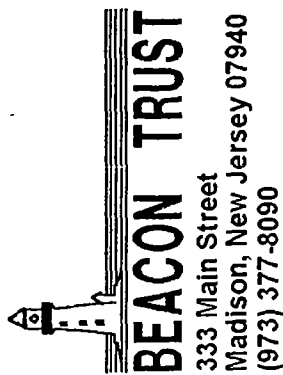
DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
INTUITIVE SURGICAL INC COM NEW (ISRG)	60	15,601.20	280.540	16,832.40	3.36	1.82	1,231.20	00	00
JOHNSON & JOHNSON COM (JNJ)	200	11,936.67	62.840	12,568.00	2.51	1.36	631.33	392.00	
RESMED INC (RMD)	240	11,858.38	50.270	12,064.80	2.41	1.30	206.42	.00	.00
ZIMMER HLDGS INC COM (ZMH)	240	13,135.20	59.170	14,200.80	2.83	1.53	1,065.60	00	00
TOTAL HEALTH CARE		52,531.45		55,666.00	11.10	6.00	3,134.55	392.00	.70
INDUSTRIALS									
CUMMINS INC (CMI)	190	5,974.95	44.900	8,531.00	1.70	.92	2,556.05	133.00	1.56
FLUOR CORP (FLR)	240	11,611.18	42.480	10,195.20	2.03	1.10	-1,415.98	120.00	1.18
GENERAL DYNAMICS CORP (GD)	170	8,141.95	65.900	11,203.00	2.23	1.21	3,061.05	258.40	2.31
NORFOLK SOUTHERN CORP (NSC)	95	2,662.85	51.400	4,883.00	.97	.53	2,220.15	129.20	2.65
UNITED PARCEL SERVICE (UPS)	100	7,649.87	57.470	5,747.00	1.15	.62	-1,902.87	180.00	3.13
TOTAL INDUSTRIALS		36,040.80		40,559.20	8.09	4.37	4,518.40	820.60	2.02
MATERIALS									



Account Number: 52 00 1954 0 06

Date: NOVEMBER 1, 2009 - NOVEMBER 30, 2009

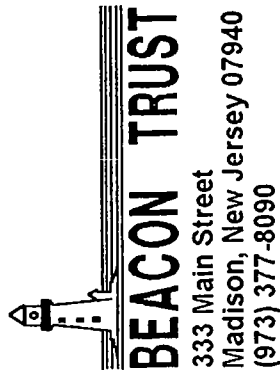
Portfolio Assets Detail**DOMESTIC EQUITIES**

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
MONSANTO CO (NEW) (MON)	180	16,024.52	80.750	14,535.00	2.90	1.57	-1,489.52	190.80	1.31
NUCOR CORP (NUE)	280	11,702.26	42.410	11,874.80	2.37	1.28	172.54	392.00	3.00
PRECISION CASTPARTS CORP COM (PCP)	140	13,978.99	103.680	14,515.20	2.89	1.57	536.21	16.80	1.2
TOTAL MATERIALS		41,705.77		40,925.00	8.16	4.41	-780.77	599.60	1.47
INFORMATION TECHNOLOGY									
ADOBE SYSTEMS INC DELAWARE (ADBE)	395	13,797.32	35.080	13,856.60	2.76	1.49	59.28	00	00
APPLE INC COM (AAPL)	80	16,454.39	199.910	15,992.80	3.19	1.72	-461.59	00	00
AUTOMATIC DATA PROCESSING (ADP)	355	14,823.85	43.450	15,424.75	3.07	1.66	600.90	482.80	3.13
CISCO SYSTEMS INC (CSCO)	620	12,979.70	23.400	14,508.00	2.89	1.56	1,528.30	00	00
COGNIZANT TECHNOLOGY SOLUTIONS CL A (CTSH)	240	5,417.90	43.930	10,543.20	2.10	1.14	5,125.30	00	00
JUNIPER NETWORKS INC COM (JNPR)	510	13,101.85	26.130	13,326.30	2.66	1.44	224.45	00	00
MICROSOFT CORP (MSFT)	300	8,349.00	29.410	8,823.00	1.76	95	474.00	156.00	1.77
SANDISK CORP (SNDK)	750	17,384.93	19.720	14,790.00	2.95	1.59	-2,594.93	00	00



Account Number: 52 00 1954 0 06

Date: NOVEMBER 1, 2009 - NOVEMBER 30, 2009



Portfolio Assets Detail

DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
WESTERN DIGITAL CORP (WDC)	355	12,808.37	36.840	13,078.20	2.61	1.41	269.83	.00	.00
TOTAL INFORMATION TECHNOLOGY		115,117.31		120,342.85	23.99	12.98	5,225.54	638.80	.33
TOTAL DOMESTIC EQUITIES		484,903		501,638.45	100.00	54.10	60,256.67	4,550.00	.91

INTERNATIONAL EQUITIES

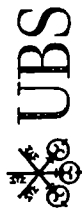
Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
ENERGY									
TRANSOCEAN LTD (RIG)	65	9,319.05	85.390	5,550.35	16.90	6.0	-3,768.70	.00	.00
HEALTH CARE									
ALCON INC (ACL)	70	5,564.16	147.880	10,351.60	31.53	1.12	4,787.44	255.15	2.46
INFORMATION TECHNOLOGY									
RESEARCH IN MOTION LTD (RIMM)	80	6,132.50	57.890	4,631.20	14.10	5.0	-1,501.30	.00	.00
TYCO ELECTRONICS (TEL)	530	11,642.54	23.210	12,301.30	37.46	1.33	658.76	339.20	2.76
TOTAL INFORMATION TECHNOLOGY		17,775.04		16,932.50	51.57	1.83	-842.54	339.20	2.00
TOTAL INTERNATIONAL EQUITIES		32,658.25		32,834.45	100.00	3.54	176.20	594.35	1.81

Total Assets

\$517,561

\$534,473





Business Services Account
November 2009

Account name: JOHN AND ANNE DUFFY
Account type: PACE Multi
Account number: BW 15480 35

Your Financial Advisor:
DOLCE GROUP
203-357-0700/800-942-2045

Your PACE assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. Gains and losses for zero-coupon investments are not shown. See important information about your statement at the end of this document for more information.

Investment return is the current value minus the amount you invested. It does not include any cash dividends that were not reinvested.

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized gain or loss is the difference between the current value and the cost basis. The unrealized gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Equities

Holding	Number of shares	Purchase price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
FIRST EAGLE OVERSEAS FUND CLASS A									
Trade date: Aug 27, 09	5,561.441	18.880	105,000.00	105,000.00	19.910	110,728.29	5,728.29		ST
Trade date: Sep 16, 09	3,810.976	19.680	75,000.00	75,000.00	19.910	75,876.53	876.53		ST
Trade date: Oct 7, 09	1,765.003	19.830	35,000.00	35,000.00	19.910	35,141.21	141.21		ST
Trade date: Oct 15, 09	2,482.622	20.140	50,000.00	50,000.00	19.910	49,429.00	-571.00		ST
EAI: \$286 Current yield: 0.11%									
Security total	13,620.042		265,000.00	265,000.00		271,175.03	6,175.03		

HENDERSON GLOBAL INVESTORS INTL OPPORTUNITIES FUND A
Trade date: Aug 27, 09

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Account name: JOHN AND ANNE DUFFY
Account number: BW 15480 35

Your PACE assets • Equities (continued)

Holding	Number of shares	Purchase price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
Trade date Sep 16, 09	3,685 504	20.350	75,000 00	75,000 00	19 680	72,530 72	-2,469 28		ST
Trade date Oct 7, 09	1,764 113	19 840	35,000 00	35,000 00	19 680	34,717 74	-282 26		ST
Trade date Oct 15, 09	2,421 308	20 650	50,000 01	50,000 01	19 680	47,651 34	-2,348 67		ST
EAI \$2,674 Current yield 1 02%									
Security total	13,302 896		265,000 01	265,000 01		261,800 99	-3,199 02	-3,199 02	
OPPENHEIMER DEVELOPING MARKETS FUND CL A									
Trade date Aug 27, 09	846 774	24 800	21,000 00	21,000 00	27 830	23,565 72	2,565 72		ST
Trade date Sep 16, 09	534 147	26 210	14,000 00	14,000 00	27 830	14,865 31	865 31		ST
Trade date Oct 7, 09	556 380	26 960	15,000 00	15,000 00	27 830	15,484 05	484 05		ST
EAI \$1,081 Current yield 2 01%									
Security total	1,937 301		50,000 00	50,000 00		53,915 08	3,915 08	3,915 08	
PACE portfolio total			\$580,000.01	\$580,000.01		\$586,891 10	\$6,891.09	\$6,891.09	
Total estimated annual income									\$4,041

Fixed income

Holding	Number of shares	Purchase price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
FT TEMPLETON GLOBAL BOND A									
Trade date Aug 27, 09	6,890 894	12 190	84,000 00	84,000 00	12 620	86,963 08	2,963 08		ST
Trade date Sep 16, 09	5,309 735	12 430	66,000 00	66,000 00	12 620	67,008 85	1,008 85		ST
Trade date Oct 7, 09	1,980 983	12 620	25,000 00	25,000 00	12 620	25,000 00			ST
Trade date Oct 13, 09	1,971 609	12 680	25,000 00	25,000 00	12 620	24,881 70	-118 30		ST
Total reinvested	139 641	12 666		1,768 72	12 620	1,762 27	-6 45		
EAI \$8,798 Current yield 4 28%									
Security total	16,292 862		200,000 00	201,768 72		205,615 91	3,847 18	5,615 90	
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A									
Trade date Aug 27, 09	7,413 945	11 330	84,000 00	84,000 00	11 850	87,855 25	3,855 25		ST
Trade date Sep 16, 09	5,739 130	11 500	66,000 00	66,000 00	11 850	68,008 69	2,008 69		ST
Trade date Oct 7, 09	2,134 927	11 710	25,000 00	25,000 00	11 850	25,298 88	298 88		ST

continued next page



Business Services Account
November 2009

Account name: JOHN AND ANNE DUFFY
Account type: PACE Multi
Account number: BW 15480 35

Your Financial Advisor:
DOLCE GROUP
203-357-0700/800-942-2045

Your PACE assets • Fixed income (continued)

Holding	Number of shares	Purchase price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
Trade date: Oct 13, 09	2,136 752	11 700	25,000.00	25,000.00	11 850	25,320 51	320 51		ST
Total reinvested	158 768	11 553		1,834 28	11 850	1,881 40	47 12		
EAI \$10,145 Current yield 4.87%									
Security total	17,583 522		200,000 00	201,834 28		208,364 73	6,530 45	8,364 73	
PIMCO REAL RETURN FUND CLASS A									
Trade date: Aug 27, 09	5,988 593	10 520	63,000 00	63,000.00	11 180	66,952 47	3,952 47		ST
Trade date: Sep 16, 09	4,409 006	10 660	47,000 00	47,000.00	11 180	49,292 69	2,292 69		ST
Trade date: Oct 7, 09	1,843 318	10 850	20,000 00	20,000.00	11 180	20,608 30	608 30		ST
Trade date: Oct 13, 09	1,843 318	10 850	20,000 00	20,000.00	11 180	20,608 30	608 30		ST
Trade date: Oct 15, 09	4,625 347	10 810	50,000 00	50,000.00	11 180	51,711 38	1,711 38		ST
Total reinvested	45 099	10 837		488 74	11 180	504 21	15 47		
EAI \$4,501 Current yield 2.15%									
Security total	18,754 681		200,000 00	200,488 74		209,677 33	9,188 61	9,677 35	
PACE portfolio total			\$600,000.00	\$604,091.74		\$623,657.97	\$19,566.24	\$23,657.97	
Total estimated annual income: \$23,444									

Alternative strategies

Holding	Number of shares	Purchase price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
CALAMOS MARKET NEUTRAL INCOME FUND CLASS A									
Trade date: Aug 27, 09	5,630 027	11 190	63,000 00	63,000.00	11 500	64,745 30	1,745 30		ST
Trade date: Sep 16, 09	4,155 615	11 310	47,000 00	47,000.00	11 500	47,789 57	789 57		ST
Trade date: Oct 7, 09	1,762 115	11 350	20,000 00	20,000.00	11 500	20,264 32	264 32		ST
Trade date: Oct 13, 09	1,755 926	11 390	20,000 00	20,000.00	11 500	20,193 15	193 15		ST
Total reinvested	39 290	11 260		442 41	11 500	451 83	9 42		
EAI \$6,939 Current yield 4.52%									
Security total	13,342 973		150,000 00	150,442 41		153,444 18	3,001 76	3,444 17	
GATEWAY FUND CLASS A									
Trade date: Aug 27, 09	3,135 179	24 560	77,000 00	77,000.00	25 070	78,598 93	1,598 93		ST
									continued next page





Account name: JOHN AND ANNE DUFFY
Account number: BW 15480 35

Your PACE assets • Alternative strategies (continued)

Holding	Number of shares	Purchase price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
Trade date Sep 16, 09	1,940 962	24 730	48,000 00	48,000 00	25 070	48,659 92	659 92		ST
Trade date Oct 7, 09	1,016 673	24 590	25,000 00	25,000 00	25 070	25,487 99	487 99		ST
Trade date Oct 13, 09	1,012 966	24 680	25,000 00	25,000 00	25 070	25,395 06	395 06		ST
Total reinvested	21 681	24 490		530 97	25 070	543 54	12 57		
EAI \$3,856 Current yield 2.16%									
Security total	7,127 461		175,000 00	175,530 97		178,685 44	3,154 47	3,685 44	
PACE portfolio total			\$325,000.00	\$325,973.38		\$332,129.62	\$6,156.23	\$7,129.62	

Total estimated annual income: \$10,795

Other

Holding	Number of shares	Purchase price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
PIMCO GLOBAL MULTI-ASSET FUND CLASS A									
Trade date Aug 27, 09	7,038 391	10 940	77,000 00	77,000 00	11 600	81,645 34	4,645.34		ST
Trade date Sep 16, 09	4,262 877	11 260	48,000 00	48,000 00	11 600	49,449 37	1,449 37		ST
Trade date Oct 7, 09	2,212 389	11 300	25,000 00	25,000.00	11 600	25,663 71	663 71		ST
Trade date Oct 13, 09	2,196 837	11 380	25,000 00	25,000 00	11 600	25,483 31	483 31		ST
Total reinvested	1 752	11 250		19 71		20 32	0 61		
EAI \$5,138 Current yield 2.82%									
Security total	15,712 246		175,000 00	175,019 71		182,262.05	7,242 34	7,262.05	

Your assets not enrolled in PACE

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cost 1,685,085
Value 1,724,941
Total Assets



ACCESS
November 2009

Account name:
Account number:
JOHN AND ANNE DUFFY
BW 16136 35

Your Financial Advisor:
DOLCE GROUP
203-357-0700/800-942-2045

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
ABBOTT LABS								
Symbol: ABB Exchange: NYSE								
EAI \$400 Current yield: 2.94%	Aug 28, 09	250,000	45.830	11,457.50	54.490	13,622.50	2,165.00	ST
ADOBE SYSTEMS INC (DELAWARE)								
Symbol: ADOBE Exchange: OTC	Aug 28, 09	327,000	31.757	10,384.80	35.080	11,471.16	1,086.36	ST
AFFILIATED MANAGERS GROUP								
Symbol: AMG Exchange: NYSE	Aug 28, 09	99,000	65.970	6,531.03	65.210	6,455.79	-75.24	ST
AIRGAS INC								
Symbol: ARG Exchange: NYSE								
EAI \$179 Current yield: 1.55%	Aug 28, 09	249,000	45.995	11,452.76	46.250	11,516.25	63.49	ST
ALLERGAN INC								
Symbol: AGN Exchange: NYSE								
EAI \$46 Current yield: 0.34%	Aug 28, 09	232,000	55.012	12,762.78	58.130	13,486.16	723.38	ST
ALLIANCE DATA SYSTEMS CORP								
Symbol: ADS Exchange: NYSE	Aug 28, 09	190,000	56.645	10,762.65	60.990	11,588.10	825.45	ST
ANSYS INC								
Symbol: ANSS Exchange: OTC	Aug 28, 09	322,000	36.397	11,720.09	38.940	12,538.68	818.59	ST
APPLE INC								
Symbol: AAPL Exchange: OTC	Jun 15, 06	1,000	57.430	57.431	199.910	199.91	142.48	LT
	Aug 2, 06	20,000	67.900	1,358.001	199.910	3,998.20	2,640.20	LT

continued next page





Account name: JOHN AND ANNE DUFFY
Account number: 8W 16136 35

Your assets > Equities > Common stock (continued)

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
Security total		31 000	121 210	3,757 51 ¹	199 910	6,197 21	2,439 70	LT
CATALYST HEALTH SOLUTIONS INC		12 000	171 980	2,063 76 ¹	199 910	2,398 92	335 16	LT
Symbol CHSI Exchange OTC	Aug 28, 09	25 000	91 340	2,283 50 ¹	199 910	4,997 75	2,714 25	LT
CELGENE CORP	May 12, 09	12 000	125 240	1,502 88 ¹	199 910	2,398 92	896 04	ST
Symbol CELG Exchange OTC		101 000		11,023 08		20,190 91	9,167 83	
Security total		270 000	29 206	7,885 81	34 010	9,182 70	1,296 89	ST
CHURCH & DWIGHT CO INC		20 000	62 890	1,257 80 ¹	55 450	1,109 00	-148 80	LT
Symbol CHD Exchange NYSE	May 8, 07	25 000	57 960	1,449 00 ¹	55 450	1,386 25	-62 75	LT
EAI \$144 Current yield 0 95%	Jul 6, 07	20 000	61 310	1,226 20 ¹	55 450	1,109 00	-117 20	LT
CISCO SYSTEMS INC	Jul 30, 07	20 000	60 820	1,216 40 ¹	55 450	1,109 00	-107 40	LT
Symbol CSCO Exchange OTC	Aug 15, 07	20 000	63 440	1,268 80 ¹	55 450	1,109 00	-159 80	LT
Security total	Nov 9, 07	35 000	58 390	2,043 65 ¹	55 450	1,940 75	-102 90	LT
CHURCH & DWIGHT CO INC	Dec 7, 07	44 000	52 540	2,311 76	55 450	2,439 80	128 04	ST
Symbol CHD Exchange NYSE	Aug 28, 09	184 000		10,773 61		10,202 80	-570 81	
EAI \$144 Current yield 0 95%								
CISCO SYSTEMS INC								
Symbol CSCO Exchange OTC	Aug 28, 09	258 000	57 202	14,758 25	59 040	15,232 32	474 07	ST
Security total		25 000	25 040	2,504 00 ¹	23 400	585 00	-1,919 00	LT
COGNIZANT TECH SOLUTIONS CRP	Nov 16, 06	50 000	26 900	1,345 00 ¹	23 400	1,170 00	-175 00	LT
Symbol CTSH Exchange OTC	Nov 21, 06	50 000	26 960	1,348 00 ¹	23 400	1,170 00	-178 00	LT
DANAHER CORP	Dec 28, 06	50 000	27 400	1,370 00 ¹	23 400	1,170 00	-200 00	LT
Symbol DHR Exchange NYSE	Jan 30, 07	125 000	26 220	3,277 50 ¹	23 400	2,925 00	-352 50	LT
EAI \$25 Current yield 0 17%	Oct 29, 07	160 000	32 320	5,171 20 ¹	23 400	3,744 00	-1,427 20	LT
Security total	Aug 28, 09	288 000	22 079	6,358 92	23 400	6,739 20	380 28	ST
COGNIZANT TECH SOLUTIONS CRP		748 000		21,374 62		17,503 20	-3,871 42	
Symbol CTSH Exchange OTC								
DANAHER CORP								
Symbol DHR Exchange NYSE	Oct 7, 09	146 000	39 206	5,724 09	43 930	6,413 78	689 69	ST
EAI \$25 Current yield 0 17%								
Security total	Mar 9, 09	30 000	49 000	1,470 00 ¹	70 920	2,127 60	657 60	ST

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Account name: JOHN AND ANNE DUFFY
Account number: BW 16136 35

Your Financial Advisor:
DOLCE GROUP
203-357-0700/800-942-2045

Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
Security total		208 000		12,462 17		14,751 36	2,289 19	
ECOLAB INC								
Symbol ECL Exchange NYSE								
EAL \$122 Current yield 1 25%								
EXPRESS SCRIPTS INC								
Symbol ESX Exchange OTC								
GILEAD SCIENCES INC								
Symbol GILD Exchange OTC								
Security total		265 000		9,041 15		12,219 15	3,178 00	
GOOGLE INC CL A								
Symbol GOOG Exchange OTC								
Security total		41 000		17,147 90		23,903 00	6,755 10	
HEWLETT PACKARD CO								
Symbol HPQ Exchange NYSE								
EAL \$82 Current yield 0 65%								
Security total		25 000		1,162 25		1,226 50	64 25	





Account name: JOHN AND ANNE DUFFY
Account number: BW 16136 35

Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
Security total								
HITTITE MICROWAVE CORP								
Symbol HITT Exchange OTC	Jun 16, 08	25 000	47 440	1,186 00 ¹	49 060	1,226 50	40 50	LT
INDEX CORP	Nov 17, 08	100 000	29 680	2,968 00 ¹	49 060	4,906 00	1,938 00	LT
Symbol IEX Exchange NYSE		256 000		10,254 79		12,559 36	2,304 57	
EAI \$147 Current yield 1 62%	Aug 28, 09	212 000	34 453	7,304 14	37 720	7,996 64	692 50	ST
INTERCONTINENTALEXCHANGE INC								
Symbol ICE Exchange NYSE	Aug 28, 09	307 000	26 947	8,272 73	29 630	9,096 41	823 68	ST
INTL BUSINESS MACH	Aug 28, 09	90 000	92 550	8,329 50	106 790	9,611 10	1,281 60	ST
Symbol IBM Exchange NYSE								
EAI \$319 Current yield 1 74%	Aug 28, 09	145 000	118 919	17,243 33	126 350	18,320 75	1,077 42	ST
JOHNSON CONTROLS INC								
Symbol JCI Exchange NYSE	Aug 28, 09	346 000	25 008	8,652 94	27 050	9,359 30	706 36	ST
EAI \$180 Current yield 1 92%								
KROGER COMPANY	Aug 28, 09	345 000	21 799	7,520 83	22 740	7,845 30	324 47	ST
Symbol KR Exchange NYSE								
EAI \$131 Current yield 1 67%								
MICROSOFT CORP								
Symbol MSFT Exchange OTC	Mar 25, 09	40 000	18 010	720 40 ¹	29 410	1,176 40	456 00	ST
EAI \$234 Current yield 1 77%	Aug 28, 09	410 000	25 009	10,253 94	29 410	12,058 10	1,804 16	ST
Security total		450 000		10,974 34		13,234 50	2,260 16	
MONSANTO CO NEW								
Symbol MON Exchange NYSE	Feb 8, 07	1 000	54 450	54 45 ¹	80 750	80 75	26 30	LT
EAI \$61 Current yield 1 30%	Oct 29, 07	50 000	95 550	4,777 50 ¹	80 750	4,037 50	-740 00	LT
Security total	Aug 28, 09	7 000	82 810	579 67	80 750	565 25	-14 42	ST
		58 000		5,411 62		4,683 50	-728 12	
O'REILLY AUTOMOTIVE INC								
Symbol ORLY Exchange OTC	Aug 28, 09	145 000	38 395	5,567 36	38 780	5,623 10	55 74	ST
Security total	Sep 30, 09	140 000	36 058	5,048 16	38 780	5,429 20	381 04	ST
		285 000		10,615 52		11,052 30	436 78	

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Your Financial Advisor:
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Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
PEPSICO INC								
Symbol PEP Exchange NYSE								
EAI \$378 Current yield 2.89%	Oct 10, 03	7 000	47 970	335 791	62 220	435 54	99 75	LT
	Apr 26, 07	35 000	66 990	2,344 651	62 220	2,177 70	-166 95	LT
	Feb 19, 08	20 000	71 770	1,435 401	62 220	1,244 40	-191 00	LT
	Nov 14, 08	33 000	55 050	1,816 651	62 220	2,053 26	236 61	LT
	Mar 9, 09	15 000	46 880	703 201	62 220	933 30	230 10	ST
	Mar 19, 09	30 000	49 400	1,482 001	62 220	1,866 60	384 60	ST
	Aug 28, 09	70 000	56 930	3,985 10	62 220	4,355 40	370 30	ST
Security total		210 000		12,102 79		13,066 20	963 41	
PETROHAWK ENERGY CORP								
Symbol HK Exchange NYSE	Aug 28, 09	253 000	21 959	5,555 80	22 340	5,652 02	96 22	ST
PRECISION CASTPARTS CORP								
Symbol PCP Exchange NYSE								
EAI \$10 Current yield 0.11%	Aug 28, 09	87 000	93 320	8,118 84	103 680	9,020 16	901 32	ST
PROCTER & GAMBLE CO								
Symbol PG Exchange: NYSE								
EAI \$463 Current yield 2.82%	Apr 16, 09	244 000	50 340	12,282 961	62 350	15,213 40	2,930 44	ST
	Jun 11, 09	19 000	52 440	996 361	62 350	1,184 65	188 29	ST
Security total		263 000		13,279 32		16,398 05	3,118 73	
QUALCOMM INC								
Symbol QCOM Exchange OTC								
EAI \$284 Current yield 1.51%	Jun 12, 08	55 000	48 790	2,683 451	45 000	2,475 00	-208 45	LT
	Jun 30, 08	50 000	45 670	2,283 501	45 000	2,250 00	-33 50	LT
	Jul 8, 08	45 000	46 490	2,092 051	45 000	2,025 00	-67 05	LT
	Aug 15, 08	25 000	56 320	1,408 001	45 000	1,125 00	-283 00	LT
	Oct 2, 08	25 000	40 610	1,015 251	45 000	1,125 00	109 75	LT
	Oct 16, 08	25 000	37 260	931 501	45 000	1,125 00	193 50	LT
	Nov 18, 08	50 000	31 690	1,584 501	45 000	2,250 00	665 50	LT
	Mar 19, 09	50 000	37 820	1,891 001	45 000	2,250 00	359 00	ST
	Aug 28, 09	92 000	47 497	4,369 80	45 000	4,140 00	-229 80	ST
Security total		417 000		18,259 05		18,765 00	505 95	

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Account name: JOHN AND ANNE DUFFY
Account number: BW 16136 35

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
QUANTA SERVICES INC								
Symbol PWR Exchange NYSE	Aug 28, 09	368 000	22 857	8,411 56	18 750	6,900 00	-1,511 56	ST
RAYTHEON CO NEW								
Symbol RTN Exchange NYSE								
EAI \$221 Current yield 2 41%	Aug 28, 09	178 000	47 399	8,437 11	51 530	9,172 34	735 23	ST
RESMED INC								
Symbol RMD Exchange NYSE	Aug 28, 09	216 000	45,778	9,888 16	50 270	10,858 32	970 16	ST
SAP AG SPON ADR								
Symbol SAP Exchange NYSE								
EAI \$271 Current yield 2 32%	Aug 28, 09	244 000	48 806	11,908 79	47 870	11,680 28	-228 51	ST
SCHEIN HENRY INC								
Symbol HSIC Exchange OTC	Aug 28, 09	196 000	52 730	10,335 08	49 660	9,733 36	-601 72	ST
SCHLUMBERGER LTD NETHERLANDS ANTILLES								
Symbol SLB Exchange NYSE								
EAI \$202 Current yield 1 31%	Mar 15, 07	21 000	64 460	1,353 66 ¹	63 890	1,341 69	-11 97	LT
	May 15, 07	35 000	75 870	2,655 45 ¹	63 890	2,236 15	-419 30	LT
	Jul 18, 07	15 000	90 220	1,353 30 ¹	63 890	958 35	-394 95	LT
	Sep 6, 07	20 000	98 230	1,964 60 ¹	63 890	1,277 80	-686 80	LT
	Oct 30, 07	25 000	97 240	2,431 00 ¹	63 890	1,597 25	-833 75	LT
	Jan 10, 08	25 000	96 350	2,408 75 ¹	63 890	1,597 25	-811 50	LT
	Oct 9, 08	25 000	67 950	1,698 75 ¹	63 890	1,597 25	-101 50	LT
	Oct 22, 08	25 000	50 770	1,269 25 ¹	63 890	1,597 25	328 00	LT
	Feb 10, 09	25 000	46 280	1,157 00 ¹	63 890	1,597 25	440 25	ST
	Mar 9, 09	25 000	36 620	915 50 ¹	63 890	1,597 25	681 75	ST
Security total		241 000		17,207 26		15,397 49	-1,809 77	
SCHWAB CHARLES CORP NEW								
Symbol SCHW Exchange OTC								
EAI \$133 Current yield 1 31%	Aug 28, 09	554 000	17 778	9,849 12	18 330	10,154 82	305 70	ST
SOWSTN ENERGY CO								
Symbol SWN Exchange NYSE	Aug 28, 09	330 000	38 476	12,697 08	43 960	14,506 80	1,809 72	ST
STAPLES INC								
Symbol SPLS Exchange OTC								
EAI \$184 Current yield 1 41%	Aug 28, 09	559 000	21 768	12,168 42	23 320	13,035 88	867 46	ST

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Account name: JOHN AND ANNE DUFFY
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Your Financial Advisor:
DOLCE GROUP
203-357-0700/800-942-2045

Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
STERICYCLE INC								
Symbol SRCL Exchange OTC	Aug 28, 09	192 000	50 005	9,601 08	54 730	10,508 16	907 08	ST
TARGET CORP								
Symbol TGT Exchange NYSE	Apr 17, 09	40 000	40 230	1,609 20 ¹	46 560	1,862 40	253 20	ST
EAI \$182 Current yield 1 46%	May 13, 09	25 000	40 520	1,013 00 ¹	46 560	1,164 00	151 00	ST
	Aug 28, 09	202 000	47 487	9,592 54	46 560	9,405 12	-187 42	ST
Security total		267 000		12,214 74		12,431 52	216 78	
TEXAS INSTRUMENTS								
Symbol TXN Exchange NYSE	Aug 28, 09	328 000	24 896	8,165 89	25 290	8,295 12	129 23	ST
EAI \$157 Current yield 1 89%								
THERMO FISHER SCIENTIFIC INC								
Symbol TMO Exchange NYSE	Aug 28, 09	303 000	45 218	13,701 21	47 230	14,310 69	609 48	ST
VISA INC CL A								
Symbol V Exchange NYSE	Apr 21, 09	25 000	55 640	1,391 00 ¹	81 000	2,025 00	634 00	ST
EAI \$54 Current yield 0 62%	May 6, 09	45 000	66 910	3,010 95 ¹	81 000	3,645 00	634 05	ST
	Aug 28, 09	37 000	69 525	2,572 45	81 000	2,997 00	424 55	ST
Security total		107 000		6,974 40		8,667 00	1,692 60	
WASTE CONNECTIONS INC								
Symbol WCN Exchange NYSE	Aug 28, 09	475 000	27 460	13,043 50	32 450	15,413 75	2,370 25	ST
Total				\$522,179.79		\$571,264.96	\$49,085.17	



FORM 990PF, PART II - CORPORATE BONDS

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DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
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GS GP RDIC 1.7% DUE 3/15/2011	70,192.	71,055.
JP MORGAN 2.2% DUE 6/15/2012	70,321.	71,878.
	-----	-----
TOTALS	140,513.	142,933.
	=====	=====

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
JOHN DUFFY 2420 E. CAMINO LA ZORRELA TUCSON, AZ 85718	PRESIDENT/TREASURER	NONE	NONE	NONE
ANNE DUFFY 2420 E. CAMINO LA ZORRELA TUCSON, AZ 85718	VICE PRES/SECRETARY	NONE	NONE	NONE
PETER R. KELLOGG 39 STEWART ROAD SHORT HILLS, NJ 07078	VICE PRESIDENT	NONE	NONE	NONE

GRAND TOTALS

NONE	NONE	NONE
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JOHN AND ANNE DUFFY FOUNDATION, INC**EIN: 22-2598324****FORM 990-PF - PART XV - GRANTS & CONTRIBUTIONS PAID DURING THE YEAR****F/Y/E 11/30/09**

DATE	PAYEE	AMOUNT
CASH CONTRIBUTIONS:		
02/14/09	SACRED HEART OF GREENWICH - GREENWICH, CT	1,000
03/16/09	HOMELESS SOLUTIONS, INC - MORRISTOWN, NJ	10,000
03/16/09	OUR FAITH, OUR HOPE, OUR FUTURE - TUSCON, AZ	5,000
03/16/09	SOCIAL VENTURE PARTNERS GREATER TUSCON FOUNDATION - TUSCON, AZ	5,000
06/04/09	MORRISTOWN NEIGHBORHOOD HOUSE - MORRISTOWN, NJ	2,500
06/12/09	NORTH COUNTRY SCHOOL - LAKE PLACID, NY	1,000
06/15/09	HARTWICK COLLEGE - ONEONTA, NY	1,000
06/15/09	SAINT MICHAEL ACADEMY - NEW YORK, NY	1,000
08/03/09	WEEKAPAUG FOUNDATION FOR CONSERVATION - WESTERLY, RI	1,000
10/05/09	WESTERLY HOSPITAL - WESTERLY, RI	500
10/05/09	WEEKAPAUG FOUNDATION FOR CONSERVATION - WESTERLY, RI	1,000
11/30/09	OVERCOMING OBSTACLES - NEW YORK, NY	2,000
11/25/09	PART OF THE SOLUTION - BRONX, NY	10,000
11/25/09	HARTWICK COLLEGE - ONEONTA, NY	10,000
11/25/09	HARTWICK COLLEGE - ONEONTA, NY	4,000
11/25/09	DIAMOND CHILDREN'S MEDICAL CENTER - TUSCON, AZ	5,000
11/25/09	THE AMERICAN FOUNDATION FOR CHILDREN WITH AIDS - NAIROBI, KENYA	15,000
11/25/09	CANCER RESEARCH & TREATMENT FUND, INC - NEW YORK, NY	5,000
11/25/09	WNET ORG - NEW YORK, NY	4,000
11/25/09	SALPOINTE CATHOLIC HIGH SCHOOL - TUSCON, AZ	5,000
11/25/09	EPISCOPAL PREACHING FOUNDATION, INC - SPRINGFIELD, NJ	20,000
11/25/09	BANNER ALZHEIMER'S FOUNDATION - PHOENIX, AZ	10,000
11/25/09	COVENANT HOUSE OF NEW JERSEY - NEWARK, NJ	20,000
11/25/09	BREAD FOR THE WORLD - WASHINGTON, DC	5,000
11/25/09	COMMUNITY FOUNDATION OF NJ - MORRISTOWN, NJ	9,000
11/25/09	PROJECT ACORN - MORRISTOWN, NJ	7,500
11/25/09	HOMELESS SOLUTIONS, INC - MORRISTOWN, NJ	10,000
11/25/09	COVENANT HOUSE OF NEW JERSEY - NEWARK, NJ	12,000
TOTAL CASH CONTRIBUTIONS		<u>182,500</u>

**THE PURPOSE OF THE ABOVE CONTRIBUTIONS IS TO AID EACH DONEE ORGANIZATION
IN CARRYING OUT ITS EXEMPT FUNCTION.**