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Return of Private Foundation

OMB No 1545-0052

2009

Department of the Treasury
Internal Revenue Serviceor Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

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

For calendar year 2009, or tax year beginning

, and ending

G Check all that apply

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeUse the IRS
label.
Otherwise,
print
or type.
See Specific
Instructions

Name of foundation

THE FINN FAMILY FOUNDATION, INC.

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

C/O THOMAS E. FINN P.C., 35 MASON ST

Room/suite

City or town, state, and ZIP code

GREENWICH, CT 06830

A Employer identification number

06-1405387

B Telephone number

(203) 532-1520

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

H Check type of organization

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

\$ 4,951,503. (Part I, column (d) must be on cash basis)

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

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

Revenue	1	Contributions, gifts, grants, etc., received			N/A	
	2	Check ☒ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	179,577.	140,677.		STATEMENT 1
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	<666,842.>			
	b	Gross sales price for all assets on line 6a	2,507,711.			
	7	Capital gain net income (from Part IV, line 2)		0.		
	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)					
11	Other income	<11,503.>	<11,503.>		STATEMENT 2	
12	Total. Add lines 1 through 11	<498,768.>	129,174.			
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0.	0.		0.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees				
	b	Accounting fees	STMT 3	4,111.	2,055.	2,056.
	c	Other professional fees				
	17	Interest	91.	91.		0.
	18	Taxes	STMT 4	3,425.	0.	25.
	19	Depreciation and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses	STMT 5	25,746.	25,746.	0.
	24	Total operating and administrative expenses. Add lines 13 through 23		33,373.	27,892.	2,081.
	25	Contributions, gifts, grants paid		165,635.		165,635.
26	Total expenses and disbursements. Add lines 24 and 25		199,008.	27,892.	167,716.	
27	Subtract line 26 from line 12		<697,776.>			
a	Excess of revenue over expenses and disbursements					
b	Net investment income (if negative, enter -0-)		101,282.			
c	Adjusted net income (if negative, enter -0-)			N/A		

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LHA For Privacy Act and Paperwork Reduction Act Notice, see the instructions

Form 990-PF (2009)

Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	40,494.	38,772.	38,772.
	2 Savings and temporary cash investments	1,956,807.	1,614,758.	1,614,758.
	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			
	7 Other notes and loans receivable ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations STMT 6	575,087.	576,404.	738,831.
	b Investments - corporate stock STMT 7	2,169,639.	1,238,933.	1,712,810.
	c Investments - corporate bonds STMT 8	0.	659,083.	734,472.
11 Investments - land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 9	220,477.	136,778.	111,860.	
14 Land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers)	4,962,504.	4,264,728.	4,951,503.	
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			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ☐			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ☒			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	4,962,504.	4,264,728.	
30 Total net assets or fund balances	4,962,504.	4,264,728.		
31 Total liabilities and net assets/fund balances	4,962,504.	4,264,728.		

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	4,962,504.
2 Enter amount from Part I, line 27a	2	<697,776.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	4,264,728.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	4,264,728.

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				
b SEE ATTACHED STATEMENT				
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 2,507,711.		3,166,671.	<666,842.>	
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any		
a				
b				
c				
d				
e			<666,842.>	
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 <666,842.>
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) If (loss), enter -0- in Part I, line 8		3 N/A

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 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))
2008	239,114.	4,473,676.	.053449
2007	284,239.	4,656,669.	.061039
2006	262,948.	4,612,818.	.057004
2005	277,527.	4,587,018.	.060503
2004	412,828.	4,693,492.	.087958
2 Total of line 1, column (d)			2 .319953
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 .063991
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5			4 4,549,693.
5 Multiply line 4 by line 3			5 291,139.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 1,013.
7 Add lines 5 and 6			7 292,152.
8 Enter qualifying distributions from Part XII, line 4			8 167,716.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see 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	2,026.
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	0.
3 Add lines 1 and 2		3	2,026.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	2,026.
6 Credits/Payments			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	4,229.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	4,229.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	2,203.	
11 Enter the amount of line 10 to be Credited to 2010 estimated tax ☐ Refunded ☐	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a 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
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see 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
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ☐ \$ 0. (2) On foundation managers ☐ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☐ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? 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
4a 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?		
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	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ CT		
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 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? 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

N/A

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ► N/A

14 The books are in care of ► THOMAS E. FINN, P.C. Telephone no ► (203) 661-7760
 Located at ► 35 MASON STREET, GREENWICH, CT ZIP+4 ► 06830

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ☐
 and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A

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)? Organizations relying on a current notice regarding disaster assistance check here	<u>N/A</u>	1b
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	☐ Yes ☒ No	1c
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?	☐ Yes ☒ No	
If "Yes," list the years ► _____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions)	<u>N/A</u>	2b
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 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009)	<u>N/A</u>	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?		4b

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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)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

X

If "Yes" to 6b, file Form 8870

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

☐ Yes ☒ No

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

N/A

7b

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(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
PHYLLIS FINN 6945 MOURNING DOVE WAY HOBE SOUND, FL 33455	PRESIDENT	0.00	0.	0.
DANIEL R. FINN, JR. 6945 MOURNING DOVE WAY HOBE SOUND, FL 33455	SECRETARY	0.00	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over \$50,000

0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	4,579,345.
b	Average of monthly cash balances	1b	39,633.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	4,618,978.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	4,618,978.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	69,285.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,549,693.
6	Minimum investment return. Enter 5% of line 5	6	227,485.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	227,485.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	2,026.
b	Income tax for 2009 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	2,026.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	225,459.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	225,459.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	225,459.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	167,716.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	167,716.
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	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	167,716.

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

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				225,459.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2009				
a From 2004	183,501.			
b From 2005	54,408.			
c From 2006	40,494.			
d From 2007	59,534.			
e From 2008	19,537.			
f Total of lines 3a through e	357,474.			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ \$	167,716.			
a Applied to 2008, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2009 distributable amount				167,716.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)	57,743.			57,743.
6 Enter the net total of each column as indicated below.				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	299,731.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2008 Subtract line 4a from line 2a Taxable amount - see instr			0.	
f Undistributed income for 2009 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	125,758.			
9 Excess distributions carryover to 2010 Subtract lines 7 and 8 from line 6a	173,973.			
10 Analysis of line 9				
a Excess from 2005	54,408.			
b Excess from 2006	40,494.			
c Excess from 2007	59,534.			
d Excess from 2008	19,537.			
e Excess from 2009				

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

- | | | Yes | No |
|----------|--|-----|----|
| 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? | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of | | |
| | (1) Cash | | X |
| | (2) Other assets | | X |
| b | Other transactions | | |
| | (1) Sales of assets to a noncharitable exempt organization | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | | X |
| | (3) Rental of facilities, equipment, or other assets | | X |
| | (4) Reimbursement arrangements | | X |
| | (5) Loans or loan guarantees | | X |
| | (6) Performance of services or membership or fundraising solicitations | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | | 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
N/A		

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.

Sign Here	Phyllis B Finn		15/12/2010		President	
	Signature of officer or trustee		Date		Title	
Paid Preparer's Use Only	Preparer's signature		Date		Check if self-employed ☐	Preparer's identifying number
	Firm's name (or yours if self-employed)		04/29/10		EIN	
address and ZIP code		THOMAS E. FINN P. C. 35 MASON STREET GREENWICH, CT 06830		Phone no 203-661-7760		

Form **990-PF** (2009)

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	\$10K BANK OF AMERICA	P	02/23/09	02/20/09
b	PUBLICLY TRADED SECURITIES - SB 17486	P	VARIOUS	VARIOUS
c	PUBLICLY TRADED SECURITIES - SB 17486	P	VARIOUS	VARIOUS
d	20K SHS BANK OF AMERICA	P		03/04/09
e	10K SHS PROSHARE ULTRASHORT	P		02/24/09
f	75808 SHS OPPEN CHAMP INC-A	P		01/27/09
g	UNITED STATES NAT'L GAS	P		12/31/09
h				
i				
j				
k				
l				
m				
n				
o				

(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 38,703.		41,893.	<3,190.>
b 1,212,858.		1,322,905.	<110,047.>
c 579,215.		999,539.	<420,324.>
d 104,547.		198,914.	<94,367.>
e 443,514.		477,554.	<34,040.>
f 128,874.		125,866.	3,008.
g			<7,882.>
h			
i			
j			
k			
l			
m			
n			
o			

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
a			<3,190.>
b			<110,047.>
c			<420,324.>
d			<94,367.>
e			<34,040.>
f			3,008.
g			<7,882.>
h			
i			
j			
k			
l			
m			
n			
o			

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	<666,842.>
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) If (loss), enter "-0-" in Part I, line 8 }	3	N/A

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Ref: 00000522 00012920

THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	800	AMERICAN TOWER CORP-CLASS A ACCOUNT ASSIGNED OCC CALL 09-09 87588490 OPTION PREMIUM -451.18	09/22/08	09/18/09	\$ 28,450.46	\$ 30,511.36	(\$ 2,060.90)	
125000020	-8	CALL AMT JAN 09 @ 30.00 AMERICAN TOWER CORP-CLASS A 100 SHS	11/24/08	01/21/09	639.99			639.99
125000030	-8	CALL AMT MAR 09 @ 32.50 AMERICAN TOWER CORP-CLASS A 100 SHS	01/22/09	03/24/09	1,079.99			1,079.99
125000040	-8	CALL AMT APR 09 @ 32.50 AMERICAN TOWER CORP-CLASS A 100 SHS EXP 04/18/2009	03/23/09	04/17/09	807.99	592.00		215.99
125000050	-8	CALL AMT JUL 09 @ 35.00 AMERICAN TOWER CORP-CLASS A 100 SHS	04/17/09	07/20/09	1,519.96			1,519.96
125000070	-12	CALL EEB JAN 09 @ 25.00 CLAYMORE EXCHANGE-TRADED FD TR 100 SHS	11/25/08	01/21/09	1,499.99			1,499.99
125000080	-12	CALL JUE FEB 09 @ 23.00 CLAYMORE EXCHANGE-TRADED FD TR 100 SHS	01/23/09	02/24/09	539.99			539.99
125000090	-12	CALL JUE MAR 09 @ 21.00 CLAYMORE EXCHANGE-TRADED FD TR 100 SHS EXP 03/21/2009	02/23/09	03/20/09	1,439.99	2,760.00	(1,320.01)	
125000100	-12	CALL JUE APR 09 @ 22.00 CLAYMORE EXCHANGE-TRADED FD TR 100 SHS EXP 04/18/2009	03/20/09	04/16/09	2,399.98	6,480.00	(4,080.02)	



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000110	700	DIAMONDS TRUST SER 1 ACCOUNT ASSIGNED OCC CALL 06-09 80640360 OPTION PREMIUM -1,483.96	10/31/08	06/19/09	\$ 60,982.43	\$ 65,895.27	(\$ 4,912.84)	
125000120	-7	CALL DAV JAN 09 @ 90.00 DIAMONDS TRUST SER 1 100 SHS	12/23/08	01/21/09	748.99			748.99
125000130	-7	CALL DAV MAR 09 @ 86.00 DIAMONDS TRUST SER 1 100 SHS	01/22/09	03/24/09	1,546.99			1,546.99
125000140	-7	CALL DIJ APR 09 @ 80.00 DIAMONDS TRUST SER 1 100 SHS EXP 04/18/2009	03/23/09	04/16/09	685.99	623.00		62.99
125000160	-7	CALL XOM JAN 09 @ 85.00 EXXON MOBIL CORP 100 SHS	11/25/08	01/21/09	2,239.98			2,239.98
125000170	-7	CALL XOM MAR 09 @ 85.00 EXXON MOBIL CORP 100 SHS	01/26/09	03/24/09	1,182.99			1,182.99
125000180	-7	CALL XOM MAY 09 @ 75.00 EXXON MOBIL CORP 100 SHS	03/26/09	05/18/09	1,455.71			1,455.71
125000190	-7	CALL XOM JUL 09 @ 75.00 EXXON MOBIL CORP 100 SHS	05/19/09	07/20/09	860.97			860.97
125000200	-7	CALL XOM SEP 09 @ 75.00 EXXON MOBIL CORP 100 SHS	07/22/09	09/21/09	510.98			510.98
125000210	700	FREPORT MCMORAN COPPER & GOLD CL B ACCOUNT ASSIGNED OPTION PREMIUM -5,011.97	10/03/08	05/15/09	29,511.34	34,679.68	(5,168.34)	
125000220	-7	CALL FCX JAN 09 @ 25.00 FREPORT MCMORAN COPPER & GOLD 100 SHS	12/23/08	01/21/09	545.99			545.99



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000230	-7	CALL FCX MAR 09 @ 30.00 FREEMPORT MCMORAN COPPER & GOLD 100 SHS EXP 03/21/2009	01/23/09	03/20/09	\$ 937.99	\$ 6,363.00	(\$ 5,425.01)	
125000240	1,100	GLAXOSMITHKLINE PLC SP ADR ACCOUNT ASSIGNED OCC CALL 07-09 82169860 OPTION PREMIUM -681.98	08/05/08	07/17/09	39,180.99	53,310.40	(14,129.41)	
125000250	-11	CALL GSK JAN 09 @ 40.00 GLAXOSMITHKLINE PLC SP ADR 100 SHS	11/24/08	01/21/09	824.99			824.99
125000260	-11	CALL GSK FEB 09 @ 35.00 GLAXOSMITHKLINE PLC SP ADR 100 SHS	01/23/09	02/24/09	934.99			934.99
125000270	-11	CALL GSK MAR 09 @ 32.50 GLAXOSMITHKLINE PLC SP ADR 100 SHS	02/23/09	03/24/09	1,374.99			1,374.99
125000280	-11	CALL GSK MAY 09 @ 32.50 GLAXOSMITHKLINE PLC SP ADR 100 SHS	03/23/09	05/18/09	615.99			615.99
125000300	-7	CALL HCC FEB 09 @ 25.00 HCC INSURANCE HOLDINGS INC 100 SHS	11/25/08	02/24/09	944.99			944.99
125000310	-7	CALL HCC APR 09 @ 22.50 HCC INSURANCE HOLDINGS INC 100 SHS EXP 04/18/2009	03/03/09	04/16/09	594.99	2,452.66	(1,857.67)	
125000320	900	HONEYWELL INTL INC ACCOUNT ASSIGNED OCC CALL 05-09 81695120 OPTION PREMIUM -1,668.55	07/17/08	05/15/09	29,567.83	46,078.74	(16,510.91)	
125000330	-9	CALL HON FEB 09 @ 35.00 HONEYWELL INTL INC 100 SHS	12/23/08	02/24/09	962.99			962.99
125000340	-9	CALL HON MAR 09 @ 30.00 HONEYWELL INTL INC 100 SHS	02/23/09	03/24/09	719.99			719.99



Reserved Client Statement 2009 Year End Summary

MorganStanley
SmithBarney

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THE FINN FAMILY FOUNDATION

Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000350	-9	CALL HON APR 09 @ 30.00 HONEYWELL INTL INC 100 SHS EXP 04/18/2009	03/23/09	04/16/09	\$ 584.99	\$ 1,260.00	(\$ 675.01)	
125000360	900	1 SHARES MSCI MEXICO INVEST MKT INDEX FD ACCOUNT ASSIGNED OPTION PREMIUM -557.99	07/17/08	04/13/09	23,057.41	49,454.28	(26,396.87)	
125000370	-9	CALL EQM FEB 09 @ 35.00 1 SHARES MSCI MEXICO INVEST 100 SHS	12/23/08	02/24/09	1,664.99			1,664.99
125000390	1,000	1 SHARES TR S&P MIDCAP 400 INDEX FD ACCOUNT ASSIGNED OPTION PREMIUM -4,501.08	05/21/08	05/15/09	55,499.76	87,769.00	(32,269.24)	
125000410	700	1 SHARES NASDAQ BIOTECHNOLOGY INDEX FD ACCOUNT ASSIGNED OPTION PREMIUM -1,119.97	09/30/08	09/18/09	53,618.62	56,277.13	(2,658.51)	
125000420	800 500	1 SHARES TR RUSSELL 2000 VALUE INDEX FUND ACCOUNT ASSIGNED OPTION PREMIUM -1,234.96	09/26/08 11/06/08	08/21/09	39,958.97 24,974.35	54,326.32 24,596.90	(14,367.35)	377.45
125000440	1,000	1 SHARES TRUST S&P MIDCAP VALUE INDEX FUND ACCOUNT ASSIGNED OPTION PREMIUM -911.99	12/11/08	04/17/09	44,910.85	48,408.10	(3,497.25)	
125000450	900	1 SHARES TR DJ U S FINANCIAL SECTOR ACCOUNT ASSIGNED OPTION PREMIUM -1,079.97	12/16/08	08/21/09	41,578.92	38,929.86		2,649.06
125000460	1,500	1 SHARES TRUST US ENERGY SEC ACCOUNT ASSIGNED OCC CALL 06-09 80824250 OPTION PREMIUM -3,674.90	12/11/08	06/01/09	41,173.93	44,769.00	(3,595.07)	
125000470	-15	CALL IYE JAN 09 @ 30.00 1 SHARES TRUST US ENERGY SEC 100 SHS	12/11/08	01/21/09	2,849.98			2,849.98



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000480	-7	CALL IBB JAN 09 @ 70.00 ISHARES NASDAQ BIOTECHNOLOGY 100 SHS EXP 01/17/2009	11/25/08	01/16/09	\$ 1,119.99	\$ 336.00		\$ 783.99
125000490	-8	CALL ITV JAN 09 @ 50.00	11/26/08	01/21/09	1,239.99			1,239.99
	-5	ISHARES TR RUSSELL 2000 VALUE 100 SHS	12/23/08		374.99			374.99
125000500	-11	CALL IWM JAN 09 @ 50.00 ISHARES RUSSELL 2000 INDEX FD 100 SHS	11/26/08	01/21/09	1,902.98			1,902.98
125000510	-10	CALL IGH FEB 09 @ 57.00 ISHARES TR S&P MIDCAP 400 100 SHS	12/24/08	02/24/09	899.99			899.99
125000520	-15	CALL IYE FEB 09 @ 30.00 ISHARES TRUST US ENERGY SEC 100 SHS	01/26/09	02/24/09	1,049.99			1,049.99
125000530	-12	CALL DYV FEB 09 @ 43.00 ISHARES TR DOW JONES SELECT 100 SHS	12/23/08	02/24/09	1,379.99			1,379.99
125000540	-13	CALL EFE FEB 09 @ 46.00 ISHARES TR MSCI EAFE INDEX FD 100 SHS	12/23/08	02/24/09	1,468.99			1,468.99
125000550	-13	CALL ITV FEB 09 @ 46.00 ISHARES TR RUSSELL 2000 VALUE 100 SHS	01/23/09	02/24/09	1,364.99			1,364.99
125000560	-11	CALL IWM FEB 09 @ 47.00 ISHARES RUSSELL 2000 INDEX FD 100 SHS	01/23/09	02/24/09	1,429.99			1,429.99
125000570	-9	CALL IYI FEB 09 @ 47.00 ISHARES TR DJ U S FINANCIAL 100 SHS	12/16/08	02/24/09	3,329.98			3,329.98
125000580	-10	CALL IJM FEB 09 @ 52.00 ISHARES TRUST S&P MIDCAP VALUE 100 SHS	12/11/08	02/24/09	2,299.98			2,299.98
125000590	-12	CALL DYV MAR 09 @ 32.00 ISHARES TR DOW JONES SELECT 100 SHS	02/23/09	03/24/09	779.99			779.99



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000600	-7	CALL IBB MAR 09 @ 75.00 ISHARES NASDAQ BIOTECHNOLOGY 100 SHS	01/16/09	03/24/09	1,574.99			1,574.99
125000610	-15	CALL IVE APR 09 @ 30.00 ISHARES TRUST US ENERGY SEC 100 SHS	02/25/09	04/20/09	374.99			374.99
125000620	-16	CALL IGW APR 09 @ 30.00 S&P NORTH AMERICAN TECH 100 SHS EXP 04/18/2009	11/26/08	04/16/09	641.59	8,000.00	(7,358.41)	
125000630	-12	CALL DYV APR 09 @ 34.00 ISHARES TR DOW JONES SELECT 100 SHS EXP 04/18/2009	03/27/09	04/17/09	419.99	960.00	(540.01)	
125000640	-13	CALL EFE APR 09 @ 35.00 ISHARES TR MSCI EAFE INDEX FD 100 SHS EXP 04/18/2009	03/02/09	04/16/09	1,495.51	8,281.00	(6,785.49)	
125000650	-9	CALL IVI APR 09 @ 35.00 ISHARES TR DJ U S FINANCIAL 100 SHS EXP 04/18/2009	03/17/09	04/16/09	989.99	4,500.00	(3,510.01)	
125000660	-10	CALL IGH APR 09 @ 50.00 ISHARES TR S&P MIDCAP 400 100 SHS EXP 04/18/2009	02/24/09	04/16/09	999.99	4,600.00	(3,600.01)	
125000670	-13	CALL ITV APR 09 @ 37.00 ISHARES TR RUSSELL 2000 VALUE 100 SHS EXP 04/18/2009	03/03/09	04/17/09	1,559.99	11,310.00	(9,750.01)	
125000680	-11	CALL IWM APR 09 @ 39.00 ISHARES RUSSELL 2000 INDEX FD 100 SHS EXP 04/18/2009	03/03/09	04/16/09	1,693.99	9,449.00	(7,755.01)	
125000690	-7	CALL IBB APR 09 @ 70.00 ISHARES NASDAQ BIOTECHNOLOGY 100 SHS	03/23/09	04/20/09	601.99			601.99



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000700	-9	CALL IYI MAY 09 @ 42.00 ISHARES TR DJ U S FINANCIAL 100 SHS	04/17/09	05/18/09	1,619.95			1,619.95
125000710	-12	CALL DYV JUN 09 @ 37.00 ISHARES TR DOW JONES SELECT 100 SHS	04/17/09	06/22/09	899.97			899.97
125000720	-7	CALL IBB JUN 09 @ 70.00 ISHARES NASDAQ BIOTECHNOLOGY 100 SHS EXP 06/20/2009	04/22/09	06/19/09	769.98	819.00	(49.02)	
125000730	-9	CALL IYI JUN 09 @ 46.00 ISHARES TR DJ U S FINANCIAL 100 SHS	05/18/09	06/22/09	1,034.97			1,034.97
125000740	-13	CALL ITV JUN 09 @ 48.00 ISHARES TR RUSSELL 2000 VALUE 100 SHS	04/23/09	06/22/09	1,624.95			1,624.95
125000760	-10	CALL JSA JAN 09 @ 37.50 JPMORGAN CHASE & CO 100 SHS	11/25/08	01/21/09	1,029.99			1,029.99
125000770	-10	CALL JSA FEB 09 @ 29.00 JPMORGAN CHASE & CO 100 SHS	01/26/09	02/24/09	1,119.99			1,119.99
125000780	-10	CALL JSA APR 09 @ 23.00 JPMORGAN CHASE & CO 100 SHS EXP 04/18/2009	02/25/09	04/16/09	2,209.98	10,180.00	(7,970.02)	
125000790	-10	CALL JPM JUN 09 @ 37.50 JPMORGAN CHASE & CO 100 SHS	04/17/09	06/22/09	2,009.94			2,009.94
125000800	10	PUT JSA APR 09 @ 15.00 JPMORGAN CHASE & CO 100 SHS	02/25/09	04/20/09		1,110.00	(1,110.00)	
125000810	700	JOHNSON & JOHNSON ACCOUNT ASSIGNED OCC CALL 07-09 86399440 OPTION PREMIUM -643.98	12/10/08	07/17/09	39,142.99	40,107.76	(964.77)	



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000820	-7	CALL JNJ JAN 09 @ 60.00 JOHNSON & JOHNSON 100 SHS	12/10/08	01/21/09	1,154.99			1,154.99
125000830	-7	CALL JNJ MAR 09 @ 60.00 JOHNSON & JOHNSON 100 SHS	01/26/09	03/24/09	470.88			470.88
125000840	-7	CALL JNJ APR 09 @ 55.00 JOHNSON & JOHNSON 100 SHS	03/23/09	04/20/09	489.99			489.99
125000860	-10	CALL LLY FEB 09 @ 40.00 ELI LILLY & CO 100 SHS	12/23/08	02/24/09	1,399.99			1,399.99
125000870	-2	CALL LLY MAR 09 @ 32.50 ELI LILLY & CO 100 SHS EXP 03/21/2009	02/25/09	03/20/09	269.99	44.00		225.99
125000880	-6	CALL LLY APR 09 @ 35.00 ELI LILLY & CO 100 SHS	02/25/09	04/20/09	509.99			509.99
	-2	ELI LILLY & CO 100 SHS	03/20/09		113.99			113.99
125000890	-2	CALL LLY APR 09 @ 32.50 ELI LILLY & CO 100 SHS EXP 04/18/2009	02/25/09	04/17/09	389.99	268.00		121.99
125000900	-2	CALL LLY JUL 09 @ 35.00 ELI LILLY & CO 100 SHS	04/17/09	07/20/09	345.99			345.99
125000910	-8	CALL LLY JUL 09 @ 37.50 ELI LILLY & CO 100 SHS	04/27/09	07/20/09	479.98			479.98
125000920	-10	CALL LLY SEP 09 @ 37.50 ELI LILLY & CO 100 SHS	07/22/09	09/21/09	199.99			199.99
125000940	-11	CALL MRO JAN 09 @ 25.00 MARATHON OIL CORP 100 SHS EXP 01/17/2009	12/24/08	01/16/09	1,341.99	3,237.74	(1,895.75)	



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000950	-11	CALL MRO APR 09 @ 30.00 MARATHON OIL CORP 100 SHS EXP 04/18/2009	01/16/09	04/17/09	\$ 2,826.98	\$ 208.00		\$ 2,617.98
125000960	-11	CALL MRO JUN 09 @ 34.00 MARATHON OIL CORP 100 SHS	04/27/09	06/22/09	604.98			604.98
125000970	-11	CALL MRO AUG 09 @ 32.00 MARATHON OIL CORP 100 SHS	06/26/09	08/24/09	975.78			975.78
125000980	1,000	MARKET VECTORS GOLD MINERS ETF TR ACCOUNT ASSIGNED OPTION PREMIUM -1,169.99	04/25/08	02/20/09	38,169.78	44,728.00	(6,558.22)	
125000990	-10	CALL GBJ JAN 09 @ 32.00 MARKET VECTORS GOLD MINERS ETF 100 SHS	11/24/08	01/21/09	1,049.99			1,049.99
125001020	-6	CALL MAR JAN 09 @ 20.00 MARRIOTT INTL INC NEW CL A 100 SHS	11/26/08	01/21/09	419.99			419.99
125001030	-12	CALL MAR FEB 09 @ 22.50 MARRIOTT INTL INC NEW CL A 100 SHS	12/24/08	02/24/09	779.99			779.99
125001040	-6	CALL MAR MAR 09 @ 20.00 MARRIOTT INTL INC NEW CL A 100 SHS	01/26/09	03/24/09	521.99			521.99
125001050	-12	CALL MAR APR 09 @ 15.00 MARRIOTT INTL INC NEW CL A 100 SHS EXP 04/18/2009	03/03/09	04/17/09	959.99	5,388.00	(4,428.01)	
125001060	1,200	MEDTRONIC INC ACCOUNT ASSIGNED OCC CALL 01-09 81265600 OPTION PREMIUM -1,319.99	12/10/08	01/16/09	40,319.77	36,782.28		3,537.49
125001070	1,400	MEDTRONIC INC ACCOUNT ASSIGNED OCC CALL 05-09 81273910 OPTION PREMIUM -1,049.99	02/04/09	05/15/09	46,548.82	47,414.64	(865.82)	



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Ref: 00000522 00012929

THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001080	-14	CALL MDT MAR 09 @ 35.00 MEDTRONIC INC 100 SHS	02/04/09	03/24/09	1,693.99			1,693.99
125001090	600	MONSANTO CO NEW ACCOUNT ASSIGNED OCC CALL 05-09 8340490 OPTION PREMIUM -1,085.97	02/04/09	05/15/09	52,084.65	47,718.24		4,366.41
125001100	-6	CALL MON MAR 09 @ 85.00 MONSANTO CO NEW 100 SHS	02/04/09	03/24/09	1,787.98			1,787.98
125001110	-6	CALL MON APR 09 @ 85.00 MONSANTO CO NEW 100 SHS	03/23/09	04/20/09	2,189.98			2,189.98
125001130	-7	CALL MS JAN 09 @ 19.00 MORGAN STANLEY 100 SHS	12/19/08	01/21/09	475.99			475.99
125001140	-7	CALL MS FEB 09 @ 21.00 MORGAN STANLEY 100 SHS	01/26/09	02/24/09	734.99			734.99
125001150	-7	CALL MS MAR 09 @ 20.00 MORGAN STANLEY 100 SHS EXP 03/21/2009	03/03/09	03/20/09	874.99	490.00		384.99
125001160	-7	CALL MS APR 09 @ 25.00 MORGAN STANLEY 100 SHS EXP 04/18/2009	03/20/09	04/17/09	755.99	441.00		314.99
125001170	7	PUT MKX JAN 09 @ 12.50 MORGAN STANLEY 100 SHS	12/24/08	01/21/09		420.00	(420.00)	
125001190	-13	CALL OMC JAN 09 @ 30.00 OMNICOM GROUP INC 100 SHS	11/25/08	01/21/09	1,884.98			1,884.98
125001200	-13	CALL OMC MAR 09 @ 30.00 OMNICOM GROUP INC 100 SHS	01/26/09	03/24/09	974.99			974.99



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Ref: 00000522 00012930

THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001220	-1	CALL JCP JAN 09 @ 20.00 J C PENNEY CO INC 100 SHS	12/23/08	01/21/09	69.99			69.99
125001230	-1	CALL JCP MAR 09 @ 20.00 J C PENNEY CO INC 100 SHS	01/29/09	03/24/09	122.99			122.99
125001240	1	PUT JCP JAN 09 @ 15.00 J C PENNEY CO INC 100 SHS	12/23/08	01/21/09		54.00	(54.00)	
125001250	200 100	PROSHARES ULTRASHORT RUSSELL 2000 Morgan Stanley Sml th Barney LLC acted as yo	12/10/08 01/15/09	08/12/09	6,528.80 3,264.40	20,204.92 7,771.95	(13,676.12) (4,507.55)	
125001260	-3	CALL TWM FEB 09 @ 85.00 PROSHARES ULTRASHORT 100 SHS	01/16/09	02/24/09	1,259.99			1,259.99
125001270	-3	CALL TWL MAR 09 @ 110.00 PROSHARES ULTRASHORT 100 SHS	03/03/09	03/24/09	2,339.98			2,339.98
125001280	-3	CALL TWM APR 09 @ 72.00 PROSHARES ULTRASHORT 100 SHS	03/26/09	04/20/09	1,079.99			1,079.99
125001290	-3	CALL TWJ JUN 09 @ 59.00 PROSHARES ULTRASHORT 100 SHS	04/27/09	06/22/09	1,499.96			1,499.96
125001300	-3	CALL TWJ JUL 09 @ 50.00 PROSHARES ULTRASHORT 100 SHS	06/22/09	07/20/09	464.98			464.98
125001310	-3	CALL TWJ AUG 09 @ 40.00 PROSHARES ULTRASHORT 100 SHS	07/22/09	08/12/09	599.98	45.00		554.98
125001320	700	UTS SPDR TRUST SER 1 ACCOUNT ASSIGNED OCC CALL 05-09 80773530 OPTION PREMIUM -4,339.97	11/06/08	05/15/09	59,638.54	64,399.93	(4,761.39)	



Reserved Client Statement 2009 Year End Summary

MorganStanley
SmithBarney

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THE FINN FAMILY FOUNDATION

Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001330	-7	CALL SWG JAN 09 @ 90.00 UTS SPDR TRUST SER 1 100 SHS	12/24/08	01/21/09	1,476.99			1,476.99
125001340	-7	CALL SZC FEB 09 @ 89.00 UTS SPDR TRUST SER 1 100 SHS	01/26/09	02/24/09	993.99			993.99
125001350	-7	CALL ROQ MAR 09 @ 76.00 UTS SPDR TRUST SER 1 100 SHS EXP 03/31/2009	03/04/09	03/27/09	818.99	4,116.00	(3,297.01)	
125001360	700	SPDR GOLD TR GOLD SHS ACCOUNT ASSIGNED OCC CALL 02-09 85643700 OPTION PREMIUM -1,714.99	08/07/08	02/20/09	65,414.63	60,185.96		5,228.67
125001370	-7	CALL GLD JAN 09 @ 87.00 SPDR GOLD TR GOLD SHS 100 SHS	12/23/08	01/21/09	1,056.99			1,056.99
125001380	2,000	SELECT SECTOR SPDR CONSUMER STAPLES ACCOUNT ASSIGNED OPTION PREMIUM -799.99	11/18/08	03/19/09	40,799.76	46,660.00	(5,860.24)	
125001390	1,200	SELECT SECTOR SPDR CONSUMER STAPLES ACCOUNT ASSIGNED OPTION PREMIUM -419.99	03/20/09	06/16/09	28,019.28	24,000.00		4,019.28
125001400	800	SELECT SECTOR SPDR CONSUMER STAPLES ACCOUNT ASSIGNED OPTION PREMIUM -519.98	03/20/09	08/21/09	18,919.50	16,000.00		2,919.50
125001410	900	SELECT SECTOR SPDR-ENERGY ACCOUNT ASSIGNED OCC CALL 03-09 85602620 OPTION PREMIUM -863.99	11/06/08	03/19/09	38,663.77	43,062.12	(4,398.35)	
125001420	900	SELECT SECTOR SPDR-ENERGY ACCOUNT ASSIGNED OCC CALL 06-09 85089070 OPTION PREMIUM -2,231.94	03/20/09	06/16/09	44,530.85	37,800.00		6,730.85



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001440	-14	CALL XLU JAN 09 @ 32.00 SELECT SECTOR SPDR 100 SHS	11/25/08	01/21/09	1,049.99			1,049.99
125001450	-9	CALL XLE FEB 09 @ 49.00 SELECT SECTOR SPDR-ENERGY 100 SHS	12/24/08	02/24/09	1,916.98			1,916.98
125001460	-20	CALL XLP FEB 09 @ 24.00 SELECT SECTOR SPDR 100 SHS	12/24/08	02/24/09	1,199.99			1,199.99
125001470	-14	CALL XLU MAR 09 @ 31.00 SELECT SECTOR SPDR 100 SHS	01/26/09	03/24/09	909.99			909.99
125001480	-9	CALL XLE MAR 09 @ 42.00 SELECT SECTOR SPDR-ENERGY 100 SHS EXP 03/21/2009	03/04/09	03/20/09	863.99	1,305.00	(441.01)	
125001490	-20	CALL XLP MAR 09 @ 20.00 SELECT SECTOR SPDR 100 SHS EXP 03/21/2009	03/04/09	03/20/09	799.99	1,432.20	(632.21)	
125001500	-9	CALL XLE APR 09 @ 44.00 SELECT SECTOR SPDR-ENERGY 100 SHS EXP 04/18/2009	03/20/09	04/17/09	1,844.98	1,674.00		170.98
125001510	-20	CALL XLP APR 09 @ 21.00 SELECT SECTOR SPDR 100 SHS EXP 04/18/2009	03/20/09	04/16/09	899.99	2,080.00	(1,180.01)	
125001520	-14	CALL XLU MAY 09 @ 27.00 SELECT SECTOR SPDR 100 SHS	03/26/09	05/18/09	1,063.99			1,063.99
125001530	-8	CALL XLP JUN 09 @ 23.00 SELECT SECTOR SPDR 100 SHS	04/17/09	06/22/09	279.99			279.99
125001550	-14	CALL SZS FEB 09 @ 18.00 SEMICONDUCTOR HOLDERS TR 100 SHS	12/24/08	02/24/09	1,077.99			1,077.99



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001560	-14	CALL SZS APR 09 @ 18.00 SEMICONDUCTOR HOLDRS TR 100 SHS EXP 04/18/2009	03/04/09	04/16/09	\$ 755.99	\$ 3,472.00	(\$ 2,716.01)	
125001580	-1	CALL TEP JAN 09 @ 22.50 TOLL BROS INC 100 SHS	12/24/08	01/21/09	64.99			64.99
125001590	-1	CALL TEP FEB 09 @ 20.00 TOLL BROS INC 100 SHS	01/27/09	02/24/09	64.99			64.99
125001600	-1	CALL TEP MAR 09 @ 15.00 TOLL BROS INC 100 SHS EXP 03/21/2009	03/04/09	03/20/09	90.99	204.00	(113.01)	
125001610	-1	CALL TEP JUN 09 @ 17.50 TOLL BROS INC 100 SHS	03/20/09	06/22/09	222.99			222.99
125001620	-7	CALL UNE JAN 09 @ 31.00 UNITED STATED NATURAL GAS 100 SHS	11/26/08	01/21/09	839.99			839.99
125001630	-7	CALL UNE FEB 09 @ 20.00 UNITED STATED NATURAL GAS 100 SHS	01/26/09	02/24/09	524.99			524.99
125001640	-7	CALL UNE APR 09 @ 20.00 UNITED STATED NATURAL GAS 100 SHS	03/04/09	04/20/09	437.91			437.91
125001650	-7	CALL UNY JUN 09 @ 14.00 UNITED STATED NATURAL GAS 100 SHS EXP 06/20/2009	04/27/09	06/16/09	531.98	980.00	(448.02)	
125001660	-7	CALL UNE JUL 09 @ 15.00 UNITED STATED NATURAL GAS 100 SHS	06/18/09	07/20/09	958.20			958.20
125001670	-7	CALL UNE AUG 09 @ 15.00 UNITED STATES NATURAL GAS 100 SHS	07/22/09	08/24/09	349.99			349.99



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001680	-3	CALL UNY SEP 09 @ 12.00 UNITED STATES NATURAL GAS 100 SHS	08/24/09	09/21/09	164.99			164.99
125001690	-4	CALL UNY OCT 09 @ 13.00 UNITED STATES NATURAL GAS 100 SHS	08/24/09	10/19/09	239.99			239.99
125001700	-3	CALL UNY NOV 09 @ 12.00 UNITED STATES NATURAL GAS 100 SHS	09/25/09	11/23/09	242.99			242.99
125001720	-10	CALL UNH FEB 09 @ 29.00 UNITEDHEALTH GROUP INC 100 SHS	12/24/08	02/24/09	1,199.99			1,199.99
125001730	-10	CALL UHB MAR 09 @ 20.00 UNITEDHEALTH GROUP INC 100 SHS EXP 03/21/2009	03/04/09	03/20/09	699.99	490.00		209.99
125001740	-10	CALL UHB APR 09 @ 21.00 UNITEDHEALTH GROUP INC 100 SHS EXP 04/18/2009	03/20/09	04/16/09	1,349.99	3,390.00	(2,040.01)	
125001750	-10	CALL UNH JUN 09 @ 27.00 UNITEDHEALTH GROUP INC 100 SHS	04/17/09	06/22/09	1,199.96			1,199.96
125001760	800	WAL-MART STORES INC ACCOUNT ASSIGNED OCC CALL 08-09 85853270 OPTION PREMIUM -799.97	01/08/09	08/21/09	40,798.94	40,999.84	(200.90)	
125001770	-8	CALL WMT FEB 09 @ 55.00 WAL-MART STORES INC 100 SHS	01/08/09	02/24/09	1,015.99			1,015.99
125001780	-8	CALL WMT APR 09 @ 50.00 WAL-MART STORES INC 100 SHS EXP 04/18/2009	03/03/09	04/17/09	1,055.99	248.00		807.99
125001790	-8	CALL WMT JUN 09 @ 50.00 WAL-MART STORES INC 100 SHS	04/27/09	06/22/09	1,127.97			1,127.97
Total					\$ 1,212,858.14	\$ 1,322,905.28	(\$ 248,810.81)	\$ 138,763.87



Reserved Client Statement 2009 Year End Summary

MorganStanley
SmithBarney

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THE FINN FAMILY FOUNDATION

Account Number 578-17486-10 341

Details of Long Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000060	1,200	CLAYMORE EXCHANGE-TRADED FD TR BNY BRIC ETF ACCOUNT ASSIGNED OPTION PREMIUM -4,799.87	04/29/08	06/19/09	\$ 33,599.12	\$ 61,481.64	(\$ 27,882.52)	
125000150	600 100	EXXON MOBIL CORP ACCOUNT ASSIGNED OCC CALL 11-09 84598410 OPTION PREMIUM -1,325.69	07/26/07 10/30/07	11/20/09	43,135.23 7,189.20	53,728.56 9,187.00	(10,593.33) (1,997.80)	
125000290	700	HCC INSURANCE HOLDINGS INC ACCOUNT ASSIGNED OCC CALL 05-09 81473350 OPTION PREMIUM -2,589.93	10/24/06	05/15/09	18,339.52	24,410.75	(6,071.23)	
125000380	700 300 300	ISHARES TR MSCI EAFE INDEX FD ACCOUNT ASSIGNED OCC CALL 06-09 86288130 OPTION PREMIUM -7,929.79	06/28/07 07/26/07 04/25/08	06/19/09	29,469.24 12,629.67 12,629.67	56,364.00 23,721.00 22,662.30	(26,894.76) (11,091.33) (10,032.63)	
125000400	900 700	S&P NORTH AMERICAN TECH SEMICONDUCTOR INDEX FUND ACCOUNT ASSIGNED OPTION PREMIUM -4,184.69	11/27/06 10/04/07	07/17/09	33,853.08 26,330.17	56,615.26 46,993.97	(22,762.18) (20,663.80)	
125000430	700 400	ISHARES RUSSELL 2000 INDEX FD ACCOUNT ASSIGNED OCC CALL 06-09 80396490 OPTION PREMIUM -9,430.27	02/07/07 02/23/07	06/30/09	34,000.36 19,428.77	56,605.62 32,861.60	(22,605.26) (13,432.83)	
125000750	1,000	JPMORGAN CHASE & CO ACCOUNT ASSIGNED OCC CALL 08-09 85067240 OPTION PREMIUM -1,259.96	07/22/08	08/21/09	38,259.00	39,633.00	(1,374.00)	
125000850	1,000	ELI LILLY & CO ACCOUNT ASSIGNED OCC CALL 11-09 83894150 OPTION PREMIUM -609.98	07/19/04	11/09/09	34,609.10	66,230.00	(31,620.90)	

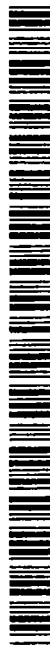


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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000930	1,100	MARATHON OIL CORP ACCOUNT ASSIGNED OCC CALL 09-09 88455560 OPTION PREMIUM -1,099.97	10/30/07	09/18/09	\$ 36,299.06	\$ 64,489.81	(\$ 28,190.75)	
125001000	600	MARRIOTT INTL INC NEW CL A ACCOUNT ASSIGNED OCC CALL 05-09 83390280 OPTION PREMIUM -3,179.91	04/26/07 11/21/07	05/15/09	12,089.69 12,089.68	27,979.80 20,850.00	(15,890.11) (8,760.32)	
125001010	600	MARRIOTT INTL INC NEW CL A ACCOUNT ASSIGNED OCC CALL 05-09 83390040 OPTION PREMIUM -491.99	04/26/07	05/15/09	12,491.68	27,979.80	(15,488.12)	
125001120	700	MORGAN STANLEY ACCOUNT ASSIGNED OCC CALL 06-09 85023860 OPTION PREMIUM -913.05	01/25/07	06/19/09	18,412.60	48,607.58	(30,194.98)	
125001180	800 500	OMNICOM GROUP INC ACCOUNT ASSIGNED OCC CALL 05-09 83447200 OPTION PREMIUM -389.99	03/29/07 04/25/08	05/15/09	24,239.37 15,149.61	41,104.40 23,714.70	(16,865.03) (8,565.09)	
125001210	100	J C PENNEY CO INC ACCOUNT ASSIGNED OCC CALL 05-09 81956150 OPTION PREMIUM -74.99	11/27/06	05/15/09	2,324.93	7,999.00	(5,674.07)	
125001430	1,400	SELECT SECTOR SPDR UTILITIES ACCOUNT ASSIGNED OPTION PREMIUM -559.98	04/25/07	06/18/09	36,959.04	59,304.00	(22,344.96)	
125001540	1,400	SEMICONDUCTOR HOLDERS TR DEP RCPT ACCOUNT ASSIGNED OPTION PREMIUM -1,315.96	08/21/07	08/21/09	33,515.13	49,531.87	(16,016.74)	
125001570	100	TOLL BROS INC ACCOUNT ASSIGNED OCC CALL 08-09 85746730 OPTION PREMIUM -65.99	01/25/07	08/21/09	1,865.94	3,299.26	(1,433.32)	



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THE FINN FAMILY FOUNDATION
Account Number 578-17486-10 341

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001710	300 700	UNITEDHEALTH GROUP INC ACCOUNT ASSIGNED OCC CALL 08-09 85773520 OPTION PREMIUM -1,019.97	10/26/06 01/25/07	08/21/09	\$ 8,405.78 19,613.49	\$ 14,754.00 36,511.16	(\$ 6,348.22) (16,897.67)	
125001800	.64	WELLS FARGO & CO NEW MERGER 12/31/08 929903102000	03/21/06	01/02/09	18.73	184.18	(165.45)	
125001810	79	WELLS FARGO & CO NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/21/06	09/28/09	2,268.24	22,734.78	(20,466.54)	
Total					\$ 579,215.10	\$ 889,539.04	(\$ 420,323.94)	

Details of Deposits and Withdrawals 2009

This section reflects any deposits or withdrawals made to your account during the year.

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	01/16/09	INVESTMENT AND MGMT SERVICES FROM 01/01/09 TO 03/31/09		\$ 6,173.11
220000300	04/17/09	INVESTMENT AND MGMT SERVICES FROM 04/01/09 TO 06/30/09		5,887.61
220000500	10/16/09	INVESTMENT AND MGMT SERVICES FROM 10/01/09 TO 12/31/09		3,713.28
Total				\$ 34,273.25

Reference number	Date	Description	Referral number	Amount
220000200	03/31/09	FROM 578-17486-01 TO 578-15534-01 NET OF BAC/OPTIONS TRADES 2/09		\$ 13,146.62
220000400	07/17/09	INVESTMENT AND MGMT SERVICES FROM 07/01/09 TO 09/30/09		5,352.63

As you requested, copies of this document have also been sent to.

THOMAS E FINN, PC



FORM 990-PF -- DIVIDENDS AND INTEREST FROM SECURITIES -- STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
BANK OF NY CUSTODIAN	111,228.	0.	111,228.
NORTHERN TRUST - 99366	51,145.	0.	51,145.
SMITH BARNEY 15534	60.	0.	60.
SMITH BARNEY 17486	17,130.	0.	17,130.
UNITED STATES NAT'L GAS FD	14.	0.	14.
TOTAL TO FM 990-PF, PART I, LN 4	179,577.	0.	179,577.

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
UNITED STATES NAT'L GAS FD	<250.>	<250.>	
SMITH BARNEY 15534 - ACC INT PAID	<11,253.>	<11,253.>	
TOTAL TO FORM 990-PF, PART I, LINE 11	<11,503.>	<11,503.>	

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREPARATION	4,111.	2,055.		2,056.
TO FORM 990-PF, PG 1, LN 16B	4,111.	2,055.		2,056.

FORM 990-PF	TAXES			STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
EXCISE TAX	3,400.	0.		0.	
FILING FEES	25.	0.		25.	
TO FORM 990-PF, PG 1, LN 18	3,425.	0.		25.	

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT FEES	25,746.	25,746.		0.	
TO FORM 990-PF, PG 1, LN 23	25,746.	25,746.		0.	

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS			STATEMENT	6
DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE	
500K CHARLOTTE NC AUTH HSG 4.7%		X	347,924.	458,215.	
280K LA CA MULTFAM REV HSG 5.5%		X	228,480.	280,616.	
TOTAL U.S. GOVERNMENT OBLIGATIONS					
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS			576,404.	738,831.	
TOTAL TO FORM 990-PF, PART II, LINE 10A			576,404.	738,831.	

FORM 990-PF	CORPORATE STOCK	STATEMENT	7
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
1200 SHS I SHARES TR DOW SELECT	49,680.	52,692.
700 SHS UNITED STATES NAT'L GAS FD	29,563.	7,056.
10000 SHS BAC CAP TR III GTD CAP SECS 7%	95,370.	221,500.
10000 SHS GOLDMAN SACHS GRP INC DEP SHS	160,200.	228,400.
32493 SHS JPM CHASE CAP XXVI CAP	709,666.	872,762.
10000 SHS ML CAP TR I GTD CAP SECS	104,354.	191,400.
5000 SHS US BANCORP DEL DEP SHS REPSTG	90,100.	139,000.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,238,933.	1,712,810.

FORM 990-PF	CORPORATE BONDS	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
200K GS GRP INC FOR FUTURE	189,766.	210,801.
100K BS COS INC BS	95,339.	109,008.
100K GS GROUP 6.25%	92,593.	107,241.
300K GE CAP MD TERM 5.625%	281,385.	307,422.
TOTAL TO FORM 990-PF, PART II, LINE 10C	659,083.	734,472.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
1000 SHS ISHARES TR S&P SM CAP 600	COST	72,343.	54,720.
1000 SHS ISHARES TR S&P SMALLCAP 600	COST	64,435.	57,140.
TOTAL TO FORM 990-PF, PART II, LINE 13		136,778.	111,860.

FORM 990-PF

GRANTS AND CONTRIBUTIONS
PAID DURING THE YEAR

STATEMENT 10

RECIPIENT NAME AND ADDRESS	RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT	RECIPIENT STATUS	AMOUNT
A THEATRE GROUP	NONE SUPPORT OF ORGANIZATION	PUBLIC	3,000.
AMERICAN RED CROSS	NONE SUPPORT OF ORGANIZATION	PUBLIC	500.
BACK ON MY FEET	NONE SUPPORT OF ORGANIZATION	PUBLIC	2,500.
BREAST CANCER ALLIANCE	NONE SUPPORT OF ORGANIZATION	PUBLIC	4,500.
BRUNSWICK SCHOOL	NONE SUPPORT OF ORGANIZATION	PUBLIC	100.
CACLD	NONE SUPPORT OF ORGANIZATION	PUBLIC	3,000.
CHICAGO SYMPHONY ORCHESTRA	NONE SUPPORT OF ORGANIZATION	PUBLIC	150.
CHILD GUIDANCE CNTR	NONE SUPPORT OF ORGANIZATION	PUBLIC	2,500.

CHILDREN'S DAY SCHOOL	NONE SUPPORT OF ORGANIZATION	PUBLIC	250.
CHRISTIAN FOUNDATION FOR CHILDREN & AGING	NONE SUPPORT OF ORGANIZATION	PUBLIC	360.
CONNECTICUT PUBLIC BROADCASTING	NONE SUPPORT OF ORGANIZATION	PUBLIC	100.
DESMOID TUMOR RESEARCH FOUNDATION	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
EAGLE HILL SCHOOL	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
FAIRFIELD UNIVERSITY	NONE SUPPORT OF ORGANIZATION	PUBLIC	10,000.
FIRST TEE OF CONNECTICUT	NONE SUPPORT OF ORGANIZATION	PUBLIC	3,000.
GARDEN EDUCATION CNTR	NONE SUPPORT OF ORGANIZATION	PUBLIC	175.
GREENWICH ADULT DAY CARE	NONE SUPPORT OF ORGANIZATION	PUBLIC	250.
GREENWICH LAND TRUST	NONE SUPPORT OF ORGANIZATION	PUBLIC	100.

GREENWICH LIBRARY	NONE SUPPORT OF ORGANIZATION	PUBLIC	250.
HAITIAN PROJECT	NONE SUPPORT OF ORGANIZATION	PUBLIC	10,000.
HOBE SOUND COMMUNITY CHEST	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
HORIZON'S AT GREENS FARMS ACADEMY	NONE SUPPORT OF ORGANIZATION	PUBLIC	3,000.
JUNIOR LEAGUE OF GREENWICH	NONE SUPPORT OF ORGANIZATION	PUBLIC	600.
KIDS IN CRISIS	NONE SUPPORT OF ORGANIZATION	PUBLIC	25,200.
LOBLOLLYPOP FOUNDATION	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
MEALS ON WHEELS	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
METROPOLITAN OPERA GUILD	NONE SUPPORT OF ORGANIZATION	PUBLIC	125.
MISSIONARIES OF CHARITY	NONE SUPPORT OF ORGANIZATION	PUBLIC	100.

MULTIPLE MYELOMA FD	NONE SUPPORT OF ORGANIZATION	PUBLIC	250.
PALLOTINE AFRICAN MISSIONS	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
PATHWAYS	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
REACH PREP	NONE SUPPORT OF ORGANIZATION	PUBLIC	500.
RIDE FOR RICK	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
SAINT MARY'S COLLEGE	NONE SUPPORT OF ORGANIZATION	PUBLIC	10,000.
SHELTER FOR THE HOMELESS	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
ST BENEDICTS PREP	NONE SUPPORT OF ORGANIZATION	PUBLIC	55,150.
ST CHRISTOPHER CATHOLIC CHURCH	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
ST VINCENT'S MEDICAL CENTER FOUNDATION	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.

THE FINN.FAMILY FOUNDATION, INC.

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THE GARRETT B SMITH FD	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
THIRTEEN WNET	NONE SUPPORT OF ORGANIZATION	PUBLIC	100.
UNITED WAY OF GREENWICH	NONE SUPPORT OF ORGANIZATION	PUBLIC	16,625.
UNITED WAY OF MARTIN COUNTY	NONE SUPPORT OF ORGANIZATION	PUBLIC	1,000.
YWCA	NONE SUPPORT OF ORGANIZATION	PUBLIC	250.

TOTAL TO FORM 990-PF, PART XV, LINE 3A

165,635.