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0150K2VUKS
Form 990-PF

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

OMB No. 1545-0052

2009

Department of the Treasury
Internal Revenue Service

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

For calendar year 2009, or tax year beginning 2009, and ending 20

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name change

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

Name of foundation

STONY BROOK FOUNDATION

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

1060 PARK AVE APT 13F

City or town, state, and ZIP code

NEW YORK, NY 10128-1035

Room/suite

A Employer identification number

22-2766098

B Telephone number (see page 10 of the instructions)

(908) 420-7857

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 foundation

I Fair market value of all assets at end

of year (from Part II, col. (c), line

16) \$ 994,650.

J Accounting method: ☒ Cash ☐ Accrual

☐ Other (specify)

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

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not 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	24,545.	24,545.		
4 Dividends and interest from securities				ATCH 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	7,424.			
b Gross sales price for all assets on line 6a	363,547.			
7 Capital gain net income (from Part IV, line 2)		7,424.		
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	31,969.	31,969.		
13 Compensation of officers, directors, trustees, etc.	0.			
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule) ATCH 2	2,950.	738.	0.	2,212.
c Other professional fees (attach schedule) *	22,812.	4,812.		18,000.
17 Interest				
18 Taxes (attach schedule) (see page 14 of the instructions) *	207.	207.		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses (attach schedule) ATCH 5	207.	207.		
24 Total operating and administrative expenses. Add lines 13 through 23	26,176.	5,964.	0.	20,212.
25 Contributions, gifts, grants paid	74,000.			74,000.
26 Total expenses and disbursements. Add lines 24 and 25	100,176.	5,964.	0.	94,212.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	-68,207.			
b Net investment income (if negative, enter -0-)		26,005.		
c Adjusted net income (if negative, enter -0-)			-0-	

Rec'd date 6/28/11

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Part II Balance Sheets		Beginning of year	End of year	
Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	7,049.	50.	50.
	2 Savings and temporary cash investments	14,671.	87,719.	87,731.
	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 16 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)	652,696.	323,376.	408,817.
	c Investments - corporate bonds (attach schedule) ATCH 6	274,780.	468,825.	471,951.
	Liabilities	11 Investments - land, buildings, and equipment: basis Less: accumulated depreciation (attach schedule)		
12 Investments - mortgage loans				
13 Investments - other (attach schedule) ATCH 7		47,394.	47,394.	24,268.
14 Land, buildings, and equipment: basis Less: accumulated depreciation (attach schedule)				
15 Other assets (describe ATCH 8)		958.	1,833.	1,833.
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		997,548.	929,197.	994,650.
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	24 Foundations that follow SFAS 117, check here ☐ and complete lines 24 through 26 and lines 30 and 31.			
	25 Unrestricted			
	26 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			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds	997,548.	929,197.	
30 Total net assets or fund balances (see page 17 of the instructions)	997,548.	929,197.		
31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	997,548.	929,197.		

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	997,548.
2 Enter amount from Part I, line 27a	2	-68,207.
3 Other increases not included in line 2 (itemize)	3	
4 Add lines 1, 2, and 3	4	929,341.
5 Decreases not included in line 2 (itemize) ATTACHMENT 9	5	144.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	929,197.

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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)			2	7,424.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):			3	
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.				

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))
2008	38,265.	1,299,376.	0.029449
2007	142,618.	1,404,227.	0.101563
2006	100,783.	1,347,069.	0.074817
2005	41,050.	1,293,637.	0.031732
2004	73,042.	1,248,429.	0.058507
2 Total of line 1, column (d)			2 0.296068
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 0.059214
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5			4 940,722.
5 Multiply line 4 by line 3			5 55,704.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 260.
7 Add lines 5 and 6			7 55,964.
8 Enter qualifying distributions from Part XII, line 4			8 94,212.

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), or 4948 - see page 18 of the 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 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	260.
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	260.
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	260.
6	Credits/Payments:		
a	2009 estimated tax payments and 2008 overpayment credited to 2009	6a	
b	Exempt foreign organizations-tax withheld at source	6b	0.
c	Tax paid with application for extension of time to file (Form 8868)	6c	600.
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	600.
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	340.
11	Enter the amount of line 10 to be: Credited to 2010 estimated tax ☒ 340. Refunded ☐	11	

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 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
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 ☒ \$ _____ (2) On foundation managers ☒ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☒ \$ _____		
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?		X
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 page 19 of the instructions) ☒ 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 2009 or the taxable year beginning in 2009 (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)(13)? If "Yes," attach schedule (see page 20 of the 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 ▶ STEPHEN W FILLO	Telephone no. ▶	908-420-7857	
Located at ▶ 10 PARK AVE APT 13F NEW YORK, NY		ZIP + 4 ▶	10128	
16	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			

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 ▶ ☐	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?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? ☐ Yes ☒ No If "Yes," list the years ▶		
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	X
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.)	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?	4b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to:

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see 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)? ☐ Yes ☒ NoOrganizations 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

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? ☐ Yes ☒ No

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? ☐ Yes ☒ No**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
ATTACHMENT 10		0.	-0-	-0-

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				

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

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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		

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 N/A	
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 NONE	
2	
All other program-related investments See page 24 of the instructions.	
3 NONE	

Total. Add lines 1 through 3

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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	951,990.
b	Average of monthly cash balances	1b	3,058.
c	Fair market value of all other assets (see page 24 of the instructions)	1c	0.
d	Total (add lines 1a, b, and c)	1d	955,048.
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	0.
3	Subtract line 2 from line 1d	3	955,048.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions)	4	14,326.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	940,722.
6	Minimum investment return. Enter 5% of line 5	6	47,036.

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	47,036.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	260.
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	260.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	46,776.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	46,776.
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	46,776.

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	94,212.
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	0.
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	0.
b	Cash distribution test (attach the required schedule)	3b	0.
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	94,212.
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	260.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	93,952.

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 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				46,776.
2 Undistributed income, if any, as of the end of 2009:				
a Enter amount for 2008 only				
b Total for prior years 20 07 20 06 20 05				
3 Excess distributions carryover, if any, to 2009:				
a From 2004	11,125.			
b From 2005				
c From 2006	34,686.			
d From 2007	73,753.			
e From 2008	0.			
f Total of lines 3a through e	119,564.			
4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 94,212.				
a Applied to 2008, but not more than line 2a				
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 2009 distributable amount				46,776.
e Remaining amount distributed out of corpus	47,436.			
5 Excess distributions carryover applied to 2009 (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	167,000.			
b Prior years' undistributed income. Subtract line 4b from line 2b				
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				
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see page 27 of the instructions				
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010.				
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 2004 not applied on line 5 or line 7 (see page 27 of the instructions)	11,125.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	155,875.			
10 Analysis of line 9:				
a Excess from 2005				
b Excess from 2006	34,686.			
c Excess from 2007	73,753.			
d Excess from 2008	0.			
e Excess from 2009	47,436.			

Form 990-PF (2009)

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, 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)

	Tax year	Prior 3 years			(e) Total
	(a) 2009	(b) 2008	(c) 2007	(d) 2006	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
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)(ii)					
(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 28 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).)

STEPHEN W. FILLO

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.

N/A

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:

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

c Any submission deadlines:

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ATTACHMENT 11				
Total.			3a	74,000.
b Approved for future payment				
Total.			3b	

Form 990-PF (2009)

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 29 of the instructions.)

NOT APPLICABLE

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 | 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

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 6/22/11 Title President

Sign Here

**Paid
Preparer's
Use Only**

Preparer's signature 	Date 6-20-11	Check if self-employed ☐	Preparer's identifying number (See Signature on page 30 of the instructions) P00021546
Firm's name (or yours if self-employed), address, and ZIP code	WITHUM SMITH + BROWN PC 5 VAUGHN DR PRINCETON, NJ 08540-6313		EN ▶ 22-2027092 Phone no. 609-520-1188

Form 990-PF (2009)

**PLEASE SIGN
& DATE**

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

Kind of Property		Description				Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/allowable	Cost or other basis	FMV as of 12/31/89	Adj. basis as of 12/31/89	Excess of FMV over adj basis	Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS				617.	
362,930.		SEE ATTACHED STATEMENT 356,123.				VARIOUS 6,807.	VARIOUS
TOTAL GAIN (LOSS)						<u>7,424.</u>	

ATTACHMENT 1

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
DIVIDENDS	24,211.	24,211.
INTEREST	334.	334.
TOTAL	<u>24,545.</u>	<u>24,545.</u>

ATTACHMENT 2FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	2,950.	738.		2,212.
TOTALS	<u>2,950.</u>	<u>738.</u>	<u>0.</u>	<u>2,212.</u>

STONY BROOK FOUNDATION

22-2766098

ATTACHMENT 3

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
US TRUST - MANAGEMENT FEES	4,812.	4,812.	
MANAGEMENT FEES	18,000.		18,000.
TOTALS	<u>22,812.</u>	<u>4,812.</u>	<u>18,000.</u>

048.001

STONY BROOK FOUNDATION

22-2766098

ATTACHMENT 4

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FOREIGN TAXES	207.	207.
TOTALS	<u>207.</u>	<u>207.</u>

048.001

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
MISCELLANEOUS	207.	207.
TOTALS	<u>207.</u>	<u>207.</u>

STONY BROOK FOUNDATION

22-2766098

FORM 990PF, PART II - CORPORATE BONDS

ATTACHMENT 6

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
EXCELSIOR INTERMEDIATE TERM BO	468,825.	471,951.
TOTALS	<u>468,825.</u>	<u>471,951.</u>

04B-001

STONY BROOK FOUNDATION

22-2766098

FORM 990PF, PART II - OTHER INVESTMENTS

ATTACHMENT 7

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
PIMCO COMMODITY REAL RETURN ST	47,394.	24,268.
TOTALS	<u>47,394.</u>	<u>24,268.</u>

04B-001

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ATTACHMENT 7

STONY BROOK FOUNDATION

22-2766098

FORM 990PF, PART II - OTHER ASSETS

ATTACHMENT 8

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
DIVIDENDS RECEIVED AFTER Y-END	1,833.	1,833.
INTEREST RECEIVED AFTER Y-END	0.	0.
TOTALS	<u>1,833.</u>	<u>1,833.</u>

048.001

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ATTACHMENT 8

STONY BROOK FOUNDATION

22-2766098

ATTACHMENT 9

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION

AMOUNT

BASIS ADJUSTMENT FOR SECURITIES SOLD

144.

TOTAL

144.

STONY BROOK FOUNDATION

22-2766098

FORM 990FF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 11

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT		PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
NEWTOWN CHAMBER ORCHESTRA PO BOX 1208 BRISTOL, PA	PUBLIC		GENERAL	2,600.
FOUNTAIN HOUSE	PUBLIC		GENERAL	2,500.
CORNELL UNIVERSITY	PUBLIC		GENERAL	52,700.
AMERICANS FOR OXFORD INC. NEW YORK, NY	PUBLIC		GENERAL	2,400.
BOYS AND GIRLS HARBOR 1 EAST 104TH STREET NEW YORK, NY 10029	PUBLIC		GENERAL	750.
BRAVO VALLEY MUSIC FESTIVAL VAIL, CO 81645	PUBLIC		GENERAL	5,000.

045.001

ATTACHMENT 11
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STONY BROOK FOUNDATION

22-2766098

FORM 990EF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 11 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT		PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
BROADWAY BACH ENSEMBLE NEW YORK, NY	PUBLIC		GENERAL	250.
CARNEGIE HALL 881 7TH AVENUE NEW YORK, NY 10019	PUBLIC		GENERAL	2,500.
FITCH'S CORNER LTD MILLBROOK, NY	PUBLIC		GENERAL	300.
MUSEUM OF MODERN ART NY 11 WEST 53RD STREET NEW YORK, NY 10019	PUBLIC		GENERAL	1,500.
THIRTEEN NEW YORK, NY 10001	PUBLIC		GENERAL	1,000.
WMFM TRENTON, NJ 08690	PUBLIC		GENERAL	2,500.
TOTAL CONTRIBUTIONS PAID				<u>74,000.</u>

04B.001

SCHEDULE D
(Form 1041)

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

► Attach to Form 1041, Form 5227, or Form 990-T. See the instructions for
Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).

OMB No. 1545-0092

2009

Name of estate or trust

STONY BROOK FOUNDATION

Employer identification number

22-2766098

Note: Form 5227 filers need to complete *only* Parts I and II.

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example: 100 shares 7% preferred of "Z" Co.)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see page 4 of the instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
1a					

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b	1b	
2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	2	
3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	3	
4 Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2008 Capital Loss Carryover Worksheet	4	()
5 Net short-term gain or (loss). Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back	5	

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example: 100 shares 7% preferred of "Z" Co.)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see page 4 of the instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a					

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	6,807.
7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	7	
8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	8	
9 Capital gain distributions	9	617.
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2008 Capital Loss Carryover Worksheet	11	()
12 Net long-term gain or (loss). Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back	12	7,424.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2009

Part III Summary of Parts I and II		(1) Beneficiaries' (see page 5)	(2) Estate's or trust's	(3) Total
Caution: Read the instructions before completing this part.				
13 Net short-term gain or (loss)	13			
14 Net long-term gain or (loss):				
a Total for year	14a			7,424.
b Unrecaptured section 1250 gain (see line 18 of the wrkshet.)	14b			
c 28% rate gain	14c			
15 Total net gain or (loss). Combine lines 13 and 14a	15			7,424.

Note: If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 14a and 15, column (2), are net gains, go to Part V, and do not complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the Capital Loss Carryover Worksheet, as necessary.

Part IV Capital Loss Limitation	
16 Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of:	16 ()
a The loss on line 15, column (3) or	
b \$3,000	

Note: If the loss on line 15, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the Capital Loss Carryover Worksheet on page 7 of the instructions to figure your capital loss carryover.

Part V Tax Computation Using Maximum Capital Gains Rates	
Form 1041 filers. Complete this part only if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero.	
Caution: Skip this part and complete the worksheet on page 8 of the instructions if:	
• Either line 14b, col. (2) or line 14c, col. (2) is more than zero, or	
• Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.	
Form 990-T trusts. Complete this part only if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the worksheet on page 8 of the instructions if either line 14b, col. (2) or line 14c, col. (2) is more than zero.	

17 Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	17	
18 Enter the smaller of line 14a or 15 in column (2) but not less than zero	18	
19 Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	19	
20 Add lines 18 and 19	20	
21 If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0-	21	
22 Subtract line 21 from line 20. If zero or less, enter -0-	22	
23 Subtract line 22 from line 17. If zero or less, enter -0-	23	
24 Enter the smaller of the amount on line 17 or \$2,300	24	
25 Is the amount on line 23 equal to or more than the amount on line 24?	25	
☐ Yes. Skip lines 25 and 26; go to line 27 and check the "No" box.		
☐ No. Enter the amount from line 23		
26 Subtract line 25 from line 24	26	
27 Are the amounts on lines 22 and 26 the same?	27	
☐ Yes. Skip lines 27 thru 30; go to line 31		
☐ No. Enter the smaller of line 17 or line 22		
28 Enter the amount from line 26 (If line 26 is blank, enter -0-)	28	
29 Subtract line 28 from line 27	29	
30 Multiply line 29 by 15% (.15)	30	
31 Figure the tax on the amount on line 23. Use the 2009 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	31	
32 Add lines 30 and 31	32	
33 Figure the tax on the amount on line 17. Use the 2009 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	33	
34 Tax on all taxable income. Enter the smaller of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36)	34	

Schedule D (Form 1041) 2009

U.S. TRUST

Bank of America Private Wealth Management

2009 Tax Information Letter

Account Number 011005842804

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STONY BROOK FOUNDATION INC

Proceeds From Broker Transactions

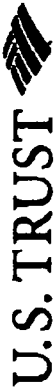
This section reports your proceeds from sales during the year. We report all transactions on a trade-date basis, which is the date shown in the sale date column. The net proceeds are less commissions, transfer charges, and premiums.

We have adjusted tax costs for amortization of premium paid for the acquisition of municipal bonds through date of sale and for non-taxable dividends. Wash sales are reported with tax cost equal to proceeds. Disallowed losses from wash sales have been added to the tax cost of the repurchased securities. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. However, we have not made adjustments to the cost basis of all partnerships.

Long term transactions

This category includes all assets held more than 12 months.

Description	Cusip	Number of shares exchanged	Acquisition Date	Sale date	Gross proceeds less commissions	Tax cost	Net gain or loss
WELLS FARGO & CO (NEW)	949746101	0.55	05/25/05	01/21/09	\$11.21	\$143.58	\$-132.37
LEUCADIA NATIONAL CORP	577288104	1500	06/24/05	01/23/09	\$25,770.60	\$28,878.75	\$-3,108.15
COVIDIEN LTD SHS	G2552X108	75	06/24/05	01/23/09	\$2,683.67	\$2,881.33	\$-197.66
VARIAN MED SYS INC	92220P105	500	05/01/03	01/23/09	\$16,656.15	\$13,477.50	\$3,178.65
VARIAN MED SYS INC	92220P105	200	05/13/04	01/23/09	\$6,662.46	\$8,353.00	\$-1,690.54
TELEFLEX INC	879369106	300	06/06/02	01/23/09	\$15,266.34	\$16,953.00	\$-1,686.66
SUNCOR INC	867229106	800	05/25/05	01/23/09	\$15,121.99	\$15,246.00	\$-124.01
PITNEY BOWES INC	724479100	300	09/17/03	01/23/09	\$6,606.71	\$11,731.32	\$-5,124.61
PATRIOT COAL CORP	70336T104	120	10/25/05	01/23/09	\$673.49	\$1,535.38	\$-861.89
COVIDIEN LTD SHS	G2552X108	125	05/19/05	01/23/09	\$4,472.79	\$4,751.92	\$-279.13
ISHARES INC MSCI JAPAN INDEX FD	464286848	200	05/13/04	01/23/09	\$1,692.51	\$1,860.00	\$-167.49
ISHARES INC MSCI JAPAN INDEX FD	464286848	1000	04/21/04	01/23/09	\$8,462.55	\$10,690.00	\$-2,227.45
PEABODY ENERGY CORP	704549104	600	10/25/05	02/10/09	\$17,419.40	\$22,190.12	\$-4,770.72
YAHOO INC	984332106	600	08/17/05	02/10/09	\$7,916.65	\$20,673.00	\$-12,756.35
DIAGEO PLC SPONSORED ADR NEW	25243Q205	300	05/25/05	02/10/09	\$16,152.77	\$17,746.50	\$-1,593.73
AMERICA MOVIL S A DE C V SPONSORED	02364W105	600	11/13/06	02/10/09	\$18,961.39	\$26,064.24	\$-7,102.85
ACCENTURE LTD BERMUDA CL A	G1150G111	600	10/30/03	03/12/09	\$17,415.32	\$14,338.08	\$3,077.24
BAXTER INTERNATIONAL INC	071813109	285	05/01/03	03/12/09	\$14,234.25	\$9,395.63	\$4,838.62



Bank of America Private Wealth Management

2009 Tax Information Letter

Account Number 011005842804

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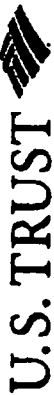
STONY BROOK FOUNDATION INC

Long term transactions

This category includes all assets held more than 12 months.

Description	Cusip	Number of shares exchanged	Acquisition Date	Sale date	Gross proceeds less commissions	Tax cost	Net gain or loss
CHICAGO BRIDGE & IRON-NY SHR	167250109	800	05/12/03	03/12/09	\$4,838.69	\$8,012.00	\$-3,173.31
QUANTA SVCS INC	74762E102	705	06/24/05	03/12/09	\$14,949.71	\$6,255.82	\$8,693.89
ACCENTURE LTD BERMUDA CL A	G1150G111	300	05/25/05	03/12/09	\$8,707.66	\$6,724.50	\$1,983.16
RALCORP HLDGS INC NEW	751028101	100	01/24/07	03/13/09	\$5,518.20	\$5,478.50	\$39.70
PIEDMONT NATURAL GAS INC	720186105	500	06/26/03	03/13/09	\$11,143.18	\$9,858.13	\$1,285.05
DEVON ENERGY CORPORATION NEW	25179M103	170	05/13/04	03/13/09	\$7,276.17	\$5,157.80	\$2,618.37
DEVON ENERGY CORPORATION NEW	25179M103	30	06/06/02	03/13/09	\$1,372.27	\$761.09	\$611.18
ECOLAB INC	278865100	300	06/06/02	03/13/09	\$9,453.69	\$6,999.00	\$2,454.69
ROCHE HLDG LTD SPONSORED ADR	771195104	200	10/30/03	03/13/09	\$6,039.96	\$4,186.50	\$1,853.46
CORNING INC	219350105	200	11/13/06	03/13/09	\$2,372.48	\$4,143.00	\$-1,770.52
NEW JERSEY RESOURCES CORP	646025106	100	06/26/03	05/14/09	\$3,176.41	\$2,367.07	\$809.34
PIEDMONT NATURAL GAS INC	720186105	500	06/26/03	05/14/09	\$11,533.35	\$9,858.12	\$1,675.23
BAXTER INTERNATIONAL INC	071813109	205	05/01/03	05/14/09	\$10,366.17	\$6,758.26	\$3,607.91
BARD C R INC	067383109	200	06/06/02	05/14/09	\$14,308.63	\$5,536.00	\$8,772.63
ECOLAB INC	278865100	200	06/06/02	05/14/09	\$7,416.80	\$4,666.00	\$2,750.80
FREEMPORT-MCMORAN COPPER & GOLD CL B	35671D857	250	10/30/03	05/14/09	\$11,645.95	\$9,662.50	\$1,983.45
FREEMPORT-MCMORAN COPPER & GOLD CL B	35671D857	50	10/30/03	06/29/09	\$2,508.78	\$1,932.50	\$576.28
ECOLAB INC	278865100	50	06/06/02	06/29/09	\$1,953.20	\$1,166.50	\$786.70
BAXTER INTERNATIONAL INC	071813109	50	05/01/03	06/29/09	\$2,640.68	\$1,648.16	\$992.52
COSTCO WHSL CORP NEW	22160K105	25	06/06/02	07/27/09	\$1,215.33	\$994.50	\$220.83
PFTZER INC	717081103	100	09/18/06	07/27/09	\$1,658.70	\$2,819.06	\$-1,160.36
ECOLAB INC	278865100	25	06/06/02	07/27/09	\$1,008.09	\$583.25	\$424.84
LOWES COMPANIES INC	548661107	100	06/06/02	07/27/09	\$2,122.44	\$2,390.50	\$-268.06
PIONEER NAT RES CO	723787107	50	05/25/05	07/27/09	\$1,432.21	\$2,007.75	\$-575.54
FORTUNE BRANDS INC	349631101	50	01/24/07	07/27/09	\$1,956.19	\$4,225.25	\$-2,269.06
FREEMPORT-MCMORAN COPPER & GOLD CL B	35671D857	25	10/30/03	07/27/09	\$1,498.83	\$966.25	\$532.58

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Bank of America Private Wealth Management

STONY BROOK FOUNDATION INC

2009 Tax Information Letter

Account Number 011005842804

Page 7

Long term transactions

This category includes all assets held more than 12 months.

Description	Cuip	Number of shares exchanged	Acquisition Date	Sale date	Gross proceeds less commissions	Tax cost	Net gain or loss
COSTCO WHSL CORP NEW	22160K105	50	06/06/02	08/06/09	\$2,429.19	\$1,989.00	\$440.19
RALCORP HLDGS INC NEW	751028101	25	10/28/02	08/06/09	\$1,583.57	\$552.46	\$1,031.11
LOWES COMPANIES INC	548661107	50	06/06/02	08/06/09	\$1,124.22	\$1,195.25	\$-71.03
NEW JERSEY RESOURCES CORP	646025106	50	06/26/03	08/06/09	\$1,824.20	\$1,183.53	\$640.67
FORTUNE BRANDS INC	349631101	25	01/24/07	08/06/09	\$982.34	\$2,112.63	\$-1,130.29
CONOCOPHILLIPS	20825C104	16	06/06/02	08/06/09	\$703.30	\$452.88	\$250.42
CONOCOPHILLIPS	20825C104	34	05/13/04	08/06/09	\$1,494.52	\$1,229.10	\$265.42
RALCORP HLDGS INC NEW	751028101	50	10/28/02	09/22/09	\$2,906.17	\$1,104.91	\$1,801.26
LOWES COMPANIES INC	548661107	100	06/06/02	09/22/09	\$2,141.44	\$2,390.50	\$-249.06
COSTCO WHSL CORP NEW	22160K105	50	06/06/02	09/22/09	\$2,926.67	\$1,989.00	\$937.67
Total long term gain/loss from sales:					\$362,929.64	\$356,266.82	\$6,662.82

See Part III, Line 4

(144)

356,123

STONY BROOK FOUNDATION

22-2766098

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

ATTACHMENT 10

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>
STEPHEN W FILLO 1060 PARK AVE APT 13F NEW YORK, NY 10128-1035	PRESIDENT 7.00	0.
PATRICIA FILLO PO BOX 4325 EDWARDS, CO 81632	VICE PRESIDENT 1.00	0.
GRAND TOTALS		<u>0.</u>

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ATTACHMENT 10

Form **8868**

(Rev. April 2009)

Department of the Treasury
Internal Revenue Service**Application for Extension of Time To File an
Exempt Organization Return**

OMB No. 1545-1709

► **File a separate application for each return.**

- If you are filing for an Automatic 3-Month Extension, complete only Part I and check this box ☒ **X**
- If you are filing for an Additional (Not Automatic) 3-Month Extension, complete only Part II (on page 2 of this form). Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Electronic Filing (e-file). Generally, you can electronically file Form 8868 if you want a 3-month automatic extension of time to file one of the returns noted below (6 months for a corporation required to file Form 990-T). However, you cannot file Form 8868 electronically if (1) you want the additional (not automatic) 3-month extension or (2) you file Forms 990-BL, 6069, or 8870, group returns, or a composite or consolidated Form 990-T. Instead, you must submit the fully completed and signed page 2 (Part II) of Form 8868. For more details on the electronic filing of this form, visit www.irs.gov/efile and click on e-file for Charities & Nonprofits.

Type or print	Name of Exempt Organization STONY BROOK FOUNDATION		Employer identification number 22-2766098
	Number, street, and room or suite no. If a P.O. box, see instructions. 1060 PARK AVE APT 13F		
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEW YORK, NY 10128-1035		

Check type of return to be filed (file a separate application for each return):

☐ Form 990	☐ Form 990-T (corporation)	☐ Form 4720
☐ Form 990-BL	☐ Form 990-T (sec. 401(a) or 408(a) trust)	☐ Form 5227
☐ Form 990-EZ	☐ Form 990-T (trust other than above)	☐ Form 6069
☒ Form 990-PF	☐ Form 1041-A	☐ Form 8870

- The books are in the care of ► **STEPHEN W FILLO**

Telephone No. ► **908 420-7857**

FAX No. ►

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ . If this is for the whole group, check this box ☐ . If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension will cover.

- I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **08/15 2010** to file the exempt organization return for the organization named above. The extension is for the organization's return for:

- ☒ calendar year **2009** or
 ► ☐ tax year beginning _____, and ending _____

- If this tax year is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	600.
b If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	0.
c Balance Due. Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	600.

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form 8868 (Rev. 4-2009)