Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or 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

OMB No 1545-0052

2009

For calendar year 2009, or tax year beginning 12/01 **, 2009, and ending** 11/30, 20 10

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
JOHN & ANNE DUFFY FOUNDATION, INC.

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
2420 E. CAMINO LA ZORRELA

City or town, state, and ZIP code
TUCSON, AZ 85718

A Employer identification number
22-2598324

B Telephone number (see page 10 of the instructions)
(520) 299-1825

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

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) ▶ $ 3,453,785.

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)
Revenue	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	8,055.	8,055.		
	4	Dividends and interest from securities	64,118.	64,118.		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	2,777.			
	b	Gross sales price for all assets on line 6a 1,122,932.				
	7	Capital gain net income (from Part IV, line 2)		24,537.		
	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	74,950.	96,710.		
Operating and Administrative Expenses	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 1	6,900.	3,450.	0.	3,450.
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see page 14 of the instructions)				
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule) ATCH 2	25,405.	24,231.		1,174.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	32,305.	27,681.	0.	4,624.
	25	Contributions, gifts, grants paid	129,000.			129,000.
	26	Total expenses and disbursements. Add lines 24 and 25	161,305.	27,681.	0.	133,624.
	27	Subtract line 26 from line 12				
	a	Excess of revenue over expenses and disbursements	-86,355.			
	b	**Net investment income** (if negative, enter -0-)		69,029.		
	c	**Adjusted net income** (if negative, enter -0-)			-0-	

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614 21

Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions.)

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing	2,830.	5,270.	5,270.
	2	Savings and temporary cash investments	357,244.	40,912.	40,912.
	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) ATCH 3	2,724,826.	2,707,865.	3,019,356.
	c	Investments - corporate bonds (attach schedule) ATCH 4	140,513.	385,011.	388,247.
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	3,225,413.	3,139,058.	3,453,785.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)			
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☒			
	27	Capital stock, trust principal, or current funds	4,364,761.	4,364,761.	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	-1,139,348.	-1,225,703.	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	3,225,413.	3,139,058.	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	3,225,413.	3,139,058.	

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	3,225,413.
2	Enter amount from Part I, line 27a	2	-86,355.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	3,139,058.
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	3,139,058.

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 9 ATTACHED			
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e				

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

	(i) F.M V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				
b				
c				
d				
e				

2 Capital gain net income or (net capital loss) ..... { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	24,537.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8	3	

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? .... ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2008	189,558.	2,959,729.	0.064046
2007	258,000.	4,436,071.	0.058160
2006	109,235.	5,709,414.	0.019132
2005	25,765.	3,911,547.	0.006587
2004	102,564.	3,458,414.	0.029656

2 **Total** of line 1, column (d)	2	0.177581
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	0.035516
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	3,311,934.
5 Multiply line 4 by line 3	5	117,627.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	690.
7 Add lines 5 and 6	7	118,317.
8 Enter qualifying distributions from Part XII, line 4	8	133,624.

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	690.
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	690.
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	690.
6	Credits/Payments				
a	2009 estimated tax payments and 2008 overpayment credited to 2009	6a	7,968.		
b	Exempt foreign organizations-tax withheld at source	6b	0.		
c	Tax paid with application for extension of time to file (Form 8868)	6c	0.		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	7,968.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			8	0.
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	7,278.
11	Enter the amount of line 10 to be **Credited to 2010 estimated tax** ▶ 7,278. **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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		X
	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			
c	Did the foundation file **Form 1120-POL** for this year?	1c		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*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ AZ,NJ,			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	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*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

Part VII-A Statements Regarding Activities *(continued)*

			Yes	No
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 ▶ JOHN DUFFY Telephone no ▶ (520)299-1825

Located at ▶ 2420 E. CAMINO LA ZORRELA TUCSON, AZ ZIP + 4 ▶ 85718

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here . . . . . N/A . ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

				Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? N/A		1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐				
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? If "Yes," list the years ▶ ________, ________, ________, ________	☐ Yes ☒ No			
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.) N/A		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.)* N/A		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

Form **990-PF** (2009)

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)? 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** No: 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 (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 5		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		0.	0.	0.

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

Form **990-PF** (2009)

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		0.

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

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 NOT APPLICABLE	0.
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NOT APPLICABLE	0.
2	
All other program-related investments See page 24 of the instructions 3 NOT APPLICABLE	0.
Total. Add lines 1 through 3 ▶	0.

Form **990-PF** (2009)

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	3,218,804.
b	Average of monthly cash balances	1b	143,566.
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	3,362,370.
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	3,362,370.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions)	4	50,436.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,311,934.
6	**Minimum investment return.** Enter 5% of line 5	6	165,597.

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	165,597.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	690.		
b	Income tax for 2009 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	690.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	164,907.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	164,907.
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	164,907.

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	133,624.
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	133,624.
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	690.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	132,934.

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					164,907.
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			0.		
3	Excess distributions carryover, if any, to 2009					
a	From 2004	0.				
b	From 2005	0.				
c	From 2006	0.				
d	From 2007	0.				
e	From 2008	33,749.				
f	Total of lines 3a through e		33,749.			
4	Qualifying distributions for 2009 from Part XII, line 4 ▶ $ 133,624.					
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					133,624.
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).)*		31,283.			31,283.
6	**Enter the net total of each column as indicated below:**					
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5		2,466.			
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					
d	Subtract line 6c from line 6b. Taxable amount - see page 27 of the instructions			0.		
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)					
9	**Excess distributions carryover to 2010.** Subtract lines 7 and 8 from line 6a		2,466.			
10	Analysis of line 9.					
a	Excess from 2005	0.				
b	Excess from 2006	0.				
c	Excess from 2007	0.				
d	Excess from 2008	2,466.				
e	Excess from 2009	0.				

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			
	(a) 2009	(b) 2008	(c) 2007	(d) 2006	(e) Total
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)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income .					

Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year - see page 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))

JOHN DUFFY

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

NONE

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

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

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

N/A

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

N/A

c Any submission deadlines·

N/A

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

N/A

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE SCHEDULE 1 ATTACHED				129,000.
Total . . . . ▶ 3a				129,000.
b *Approved for future payment*				
NONE				0.
Total . . . . ▶ 3b				0.

Form **990-PF** (2009)

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	8,055.	
4 Dividends and interest from securities			14	64,118.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	2,777.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				74,950.	

13 **Total.** Add line 12, columns (b), (d), and (e) . . . . . . 13 74,950.

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

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

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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
	N/A		N/A

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

b If "Yes," complete the following schedule

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

Sign Here

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

▶ President — 4/5/2011 ▶ President

Signature of officer or trustee — Date — Title

Paid Preparer's Use Only

Preparer's signature ▶ Joseph DeMaio

Date 4-4-11

Check if self-employed ▶ ☐

Preparer's identifying number (See Signature on page 30 of the instructions) P00841496

Firm's name (or yours if self-employed), address, and ZIP code ▶ JAD CONSULTING, LLC
61 BROADWAY, SUITE 1710
NEW YORK, NY 10006

EIN ▶ 06-1708689

Phone no 212-509-3525

JOHN & ANNE DUFFY FOUNDATION, INC. 22-2598324

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		SEE SCHEDULE 2 ATTACHED PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
694,488.		676,903.					17,585.	
		SEE SCHEDULE 3 ATTACHED PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
136,158.		150,616.					-14,458.	
		SEE SCHEDULE 3 ATTACHED PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
104,505.		97,034.					7,471.	
		VARIOUS-SEC LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
726.		0.					726.	
		ENRON CORP-SEC LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES				P	VARIOUS	12/15/2009
283.		0.					283.	
		AOL TIME WARNER-SEC LITIGATION SETTLEMEN PROPERTY TYPE: SECURITIES				P	VARIOUS	12/29/2009
33.		0.					33.	
		WORLDCOM-SEC LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES				P	VARIOUS	03/26/2010
317.		0.					317.	
		QUEST SECURITIES-SEC LITIGATION SETTLEME PROPERTY TYPE: SECURITIES				P	VARIOUS	03/29/2010
71.		0.					71.	
		AIG-SEC LITIGATION SETTLEMENT PROPERTY TYPE: SECURITIES				P	VARIOUS	09/20/2010
21.		0.					21.	
		TENET HEALTHCARE-SEC LITIGATION SETTLEME PROPERTY TYPE: SECURITIES				D	VARIOUS	03/22/2010
15.		0.					15.	
		SEE SCHEDULE 4 ATTACHED PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
92,916.		93,681.					-765.	
		SEE SCHEDULE 4 ATTACHED PROPERTY TYPE: SECURITIES				P	VARIOUS	VARIOUS
72,464.		80,026.					-7,562.	

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		500 SHS COACH PROPERTY TYPE: SECURITIES				D	VAR	04/30/2010
20,935.		135.					20,800.	
TOTAL GAIN(LOSS)							24,537.	

UBS

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

Realized gain/(loss)

from 12/01/2009 to 11/30/2010

	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
CALAMOS MARKET NEUTRAL INCOME FUND CLASS A	128119203	653.42	08/27/2009	7,311.74	07/16/2010	7,403.22	91.48	1 25%	S
FIRST EAGLE OVERSEAS FUND CLASS A	32008F101	886 02	08/27/2009	16,728 13	07/16/2010	17,640.74	912 61	5 46%	S
FT TEMPLETON GLOBAL BOND A	880208103	4,864 86	08/27/2009	59,302 70	07/16/2010	63,194 60	3,891 90	6 56%	S
GATEWAY FUND CLASS A	367829207	244.22	08/27/2009	5,998.14	07/16/2010	5,968.83	-29.31	-0.49%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	7,413 94	08/27/2009	84,000.00	03/10/2010	88,448.36	4,448 36	5 30%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	32 83	09/04/2009	370 70	03/10/2010	391.71	21.01	5 67%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	5,739 13	09/16/2009	66,000.00	03/10/2010	68,467.82	2,467 82	3.74%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	51.56	10/06/2009	598.63	03/10/2010	615 13	16.50	2 76%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	2,134 93	10/07/2009	25,000 00	03/10/2010	25,469.68	469 68	1 88%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	2,136.75	10/13/2009	25,000.00	03/10/2010	25,491 45	491.45	1 97%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	74.37	11/06/2009	864 95	03/10/2010	887 26	22 31	2 58%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	67.30	12/04/2009	794.78	03/10/2010	802.85	8.07	1.02%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	40.05	01/06/2010	467 75	03/10/2010	477 76	10 01	2 14%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	77 37	01/06/2010	903.72	03/10/2010	923 06	19 34	2.14%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	74 69	02/04/2010	881 29	03/10/2010	891 00	9 71	1 10%	S
LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	543487144	71.25	03/04/2010	845.75	03/10/2010	850 02	4 27	0.50%	S
LOOMIS SAYLES STRATEGIC INCOME FUND CLASS A	543487284	4,221.89	03/10/2010	59,866.39	07/16/2010	59,739.73	-126.66	-0.21%	S
OPPENHEIMER DEVELOPING MARKETS FUND CL A	683974109	182.54	08/27/2009	4,526 97	07/16/2010	5,249 83	722.86	15.97%	S
PIMCO GLOBAL MULTI-ASSET FUND CLASS A	72201P407	1,020.83	08/27/2009	11,167 84	07/16/2010	11,116 79	-51 05	-0 46%	S
PIMCO REAL RETURN FUND CLASS A	693391120	5,988 59	08/27/2009	63,000 00	03/10/2010	65,096.01	2,096 01	3.33%	S

Report created on January 5, 2011

SCHEDULE 2 **PG** 1 **OF** 2

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

Realized gain/(loss) - from 12/01/2009 to 11/30/2010 (continued)

	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
PIMCO REAL RETURN FUND CLASS A	693391120	5 12	08/31/2009	53.81	03/10/2010	55.71	1 90	3.53%	S
PIMCO REAL RETURN FUND CLASS A	693391120	4,409.01	09/16/2009	47,000.00	03/10/2010	47,925 90	925 90	1.97%	S
PIMCO REAL RETURN FUND CLASS A	693391120	5 66	09/30/2009	60 86	03/10/2010	61 48	0 62	1.02%	S
PIMCO REAL RETURN FUND CLASS A	693391120	1,843.32	10/07/2009	20,000 00	03/10/2010	20,036 87	36 87	0 18%	S
PIMCO REAL RETURN FUND CLASS A	693391120	1,843.32	10/13/2009	20,000.00	03/10/2010	20,036.87	36.87	0 18%	S
PIMCO REAL RETURN FUND CLASS A	693391120	4,625 35	10/15/2009	50,000 00	03/10/2010	50,277.52	277.52	0.56%	S
PIMCO REAL RETURN FUND CLASS A	693391120	34 32	10/30/2009	374 07	03/10/2010	373 04	-1 03	-0 28%	S
PIMCO REAL RETURN FUND CLASS A	693391120	24 89	11/30/2009	278 30	03/10/2010	270 59	-7 71	-2 77%	S
PIMCO REAL RETURN FUND CLASS A	693391120	238 06	12/30/2009	2,571 00	03/10/2010	2,587 67	16.67	0 65%	S
PIMCO REAL RETURN FUND CLASS A	693391120	34.96	12/31/2009	377.25	03/10/2010	380.05	2.80	0.74%	S
PIMCO REAL RETURN FUND CLASS A	693391120	24.26	01/29/2010	266 11	03/10/2010	263.68	-2.43	-0 91%	S
PIMCO REAL RETURN FUND CLASS A	693391120	11.19	02/26/2010	121.55	03/10/2010	121.66	0.11	0.09%	S
PIMCO UNCONSTRAINED BOND FUND CLASS A	72201M479	5,334.63	03/10/2010	58,360.89	07/16/2010	59,161 08	800.19	1 37%	S
UBS PACE MONEY MARKET INVESTMENT FUND CLASS P	90262L370	21,000 00	08/27/2009	21,000.00	07/16/2010	21,000 00	0.00	0 00%	S
UBS PACE MONEY MARKET INVESTMENT FUND CLASS P	90262L370	0.13	09/15/2009	0.13	07/16/2010	0 13	0 00	0 00%	S
UBS PACE MONEY MARKET INVESTMENT FUND CLASS P	90262L370	22,809 95	10/13/2009	22,809 95	07/16/2010	22,809 95	0.00	0 00%	S
TOTAL REALIZED GAIN/(LOSS)·				676,903 40		694,488 05	17,584 65	2 60%	

TOTAL GAINS.	17,802 84
TOTAL LOSSES·	-218.19
SHORT TERM - TOTAL REALIZED GAIN/(LOSS):	17,584 65
LONG TERM - TOTAL REALIZED GAIN/(LOSS)·	0 00

SCHEDULE 2 PG 2 OF 2

SCHEDULE D

Acct No	Account Name	CUSIP No	Security Name	Shares	Acquisition Date	Sell Date	Sale Proceeds	Investment Cost Basis	Short Term Gain/Loss	Long Term Gain/Loss
001954	DUFFY FOUNDATION	053015103	AUTOMATIC DATA PROC	255 00	3/1/2006	12/17/2009	10,769 21	(10671 95)		97 26
001954	DUFFY FOUNDATION	053015103	AUTOMATIC DATA PROC	100 00	8/9/2006	12/17/2009	4,223 22	(4151 90)		71 32
001954	DUFFY FOUNDATION	343412102	FLUOR CORP	240.00	10/27/2009	12/29/2009	10,887 20	(11611 18)	(723 98)	
001954	DUFFY FOUNDATION	80004C101	SAN DISK CORP	89.00	10/27/2009	12/29/2009	2,556 41	(2063 01)	493 40	
001954	DUFFY FOUNDATION	478160104	JOHNSON & JOHNSON	30.00	5/27/2004	3/2/2010	1,902 34	(1675 50)		226 84
001954	DUFFY FOUNDATION	478160104	JOHNSON & JOHNSON	110 00	5/27/2004	3/2/2010	6,975.24	(6143 50)		831 74
001954	DUFFY FOUNDATION	478160104	JOHNSON & JOHNSON	60 00	10/20/2006	3/2/2010	3,804 68	(4117 67)		(312 99)
001954	DUFFY FOUNDATION	00724F101	ADOBE SYSTEMS	90 00	10/21/2009	4/30/2010	3,031 16	(3143 69)	(112 53)	
001954	DUFFY FOUNDATION	032511107	ANADARKO PETE CORP	50 00	10/21/2009	4/30/2010	3 228 45	(3357 50)	(129 05)	
001954	DUFFY FOUNDATION	31620M106	FIDELITY NATL INFO	357 00	4/30/2008	4/30/2010	9,346 14	(6263.15)		3,082 99
001954	DUFFY FOUNDATION	46625H100	JPMORGAN CHASE	80 00	5/18/2009	4/30/2010	3,408 74	(2913 60)	495 14	
001954	DUFFY FOUNDATION	61166W101	MONSANTO CO NEW COM	180 00	5/12/2009	4/30/2010	11,370 43	(16024 52)	(4,654 09)	
001954	DUFFY FOUNDATION	760975102	RESEARCH IN MOTION	80.00	6/18/2009	4/30/2010	5,721 50	(6132 50)	(411 00)	
001954	DUFFY FOUNDATION	845467109	SOUTHWESTERN ENGY	290.00	10/27/2009	4/30/2010	11 428 74	(13722 77)	(2,294 03)	
001954	DUFFY FOUNDATION	H8817H100	TRANSOCEAN LTD	65 00	2/27/2008	4/30/2010	4,782 72	(9319 05)		(4,536 33)
001954	DUFFY FOUNDATION	911312106	UNITED PARCEL SVC	100 00	3/8/2006	4/30/2010	6,909 89	(7649 87)		(739 98)
001954	DUFFY FOUNDATION	H01301102	ALCON INC	70 00	5/27/2004	5/18/2010	10,366 65	(5564 16)		4,802 49
001954	DUFFY FOUNDATION	80004C101	SAN DISK CORP	183 00	10/27/2009	5/19/2010	7,346 26	(4241.92)	3,104 34	
001954	DUFFY FOUNDATION	032511107	ANADARKO PETE CORP	180 00	10/21/2009	6/2/2010	7,885 77	(12086 98)	(4,201 21)	
001954	DUFFY FOUNDATION	958102105	WESTERN DIGITAL	355.00	10/21/2009	6/29/2010	11,019 08	(12808 37)	(1,789 29)	
001954	DUFFY FOUNDATION	192446102	COGNIZANT TECH SOLUT	4 00	4/21/2009	8/16/2010	233 54	(90 30)		143 24
001954	DUFFY FOUNDATION	192446102	COGNIZANT TECH SOLUT	60 00	4/30/2010	8/16/2010	3,503 04	(3075.30)	427 74	
001954	DUFFY FOUNDATION	48203R104	JUNIPER NETWORKS	83 00	10/27/2009	8/16/2010	2,153 42	(2132 26)	21 16	
001954	DUFFY FOUNDATION	594918104	MICROSOFT CORP	300 00	10/26/2004	9/1/2010	7,151.88	(8349 00)		(1,197 12)
001954	DUFFY FOUNDATION	24522P103	DEL MONTE FOODS	1380 00	10/21/2009	9/17/2010	17,783 90	(15345 46)	2,438 44	
001954	DUFFY FOUNDATION	369550108	GENERAL DYNAMICS	130 00	5/27/2004	9/17/2010	8,057 30	(6226 20)		1,831 10
001954	DUFFY FOUNDATION	369550108	GENERAL DYNAMICS	40 00	5/27/2004	9/17/2010	2,479 17	(1915 75)		563 42
001954	DUFFY FOUNDATION	46120E602	INTUITIVE SURGICAL	10 00	10/27/2009	9/29/2010	2,878 75	(2600 20)	278 55	
001954	DUFFY FOUNDATION	534187109	LINCOLN NATIONAL CRP	112 00	9/9/2009	9/29/2010	2,677 75	(2718 32)		(40 57)
001954	DUFFY FOUNDATION	903236107	URS CORP	173 00	4/13/2010	9/29/2010	6,597 28	(8863 71)	(2,266 43)	
001954	DUFFY FOUNDATION	194162103	COLGATE PALMOLIVE CO	150.00	6/8/2005	10/6/2010	11,106 31	(7488 21)		3 618.10
001954	DUFFY FOUNDATION	054937107	BB&T CORPORATION	305 00	3/22/2010	10/26/2010	6,836 79	(9745 67)	(2,908 88)	
001954	DUFFY FOUNDATION	054937107	BB&T CORPORATION	150.00	4/30/2010	10/26/2010	3.362 36	(5030 99)	(1,668 63)	
001954	DUFFY FOUNDATION	171340102	CHURCH & DWIGHT	231 00	4/13/2010	11/8/2010	15,159 12	(15716 80)	(557 68)	
001954	DUFFY FOUNDATION	98956P102	ZIMMER HOLDINGS INC	20 00	10/27/2009	11/8/2010	1,028 98	(1094 60)		(65 62)
001954	DUFFY FOUNDATION	670346105	NUCOR CORP	280 00	5/12/2009	11/19/2010	10,671 16	(11702 26)		(1,031 10)
001954	DUFFY FOUNDATION	17275R102	CISCO SYSTEMS INC	55 00	3/1/2006	11/29/2010	1,059 28	(1151 43)		(92 15)
001954	DUFFY FOUNDATION	761152107	RESMED INC	30 00	10/27/2009	11/29/2010	959 98	(741 15)		218 83
							240,663.84	247,650.40	($14,458 03)	7,471.47

Total Short Term	136,158.40	150,616 43	(14,458.03)	
Total Long Term	104,505.44	97,033.97		7.471.47

SCHEDULE 3 PG 1 OF 1

UBS

Prepared for Fdn Oak Rdg
BW 16136 • Fdn Oak Rdg • ACCESS
Risk profile: Moderate
Return objective: Capital Appreciation

Realized gain/(loss)

from 12/01/2009 to 11/30/2010

	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
ADOBE SYSTEMS INC (DELAWARE)	00724F101	327 00	08/28/2009	10,384.80	10/19/2010	9,035 80	-1,349 00	-12 99%	L
AIRGAS INC	009363102	148 00	08/28/2009	6,807.26	04/26/2010	9,344 71	2,537 45	37.28%	S
AIRGAS INC	009363102	101.00	08/28/2009	4,645 50	03/15/2010	6,467 27	1,821.77	39 22%	S
CHURCH & DWIGHT CO INC	171340102	69.00	08/28/2009	3,946.97	10/20/2010	4,727.77	780.80	19.78%	L
CISCO SYSTEMS INC	17275R102	25 00	11/08/2006	2,504 00	12/18/2009	582.58	-1,921.42	-76 73%	L
CISCO SYSTEMS INC	17275R102	50.00	11/16/2006	1,345.00	12/18/2009	1,165.16	-179.84	-13 37%	L
CISCO SYSTEMS INC	17275R102	50.00	11/21/2006	1,348.00	12/18/2009	1,165 16	-182 84	-13 56%	L
CISCO SYSTEMS INC	17275R102	50.00	12/28/2006	1,370 00	12/18/2009	1,165 16	-204.84	-14.95%	L
CISCO SYSTEMS INC	17275R102	57.00	01/30/2007	1,494.54	12/18/2009	1,328.28	-166.26	-11.12%	L
CITRIX SYSTEMS INC	177376100	65.00	06/17/2010	2,951.49	08/09/2010	3,803.28	851.79	28 86%	S
COGNIZANT TECH SOLUTIONS CRP	192446102	67.00	10/07/2009	2,626.81	08/09/2010	4,075 31	1,448 50	55.14%	S
HEWLETT PACKARD CO	428236103	6 00	12/26/2007	315 54	10/01/2010	243 00	-72 54	-22.99%	L
HEWLETT PACKARD CO	428236103	25.00	01/25/2008	1,098.50	10/01/2010	1,012 51	-85.99	-7 83%	L
HEWLETT PACKARD CO	428236103	25.00	05/05/2008	1,205.50	10/01/2010	1,012.51	-192 99	-16.01%	L
HEWLETT PACKARD CO	428236103	50.00	05/20/2008	2,319.00	10/01/2010	2,025 02	-293 98	-12 68%	L
HEWLETT PACKARD CO	428236103	25.00	06/02/2008	1,162 25	10/01/2010	1,012 51	-149.74	-12 88%	L
HEWLETT PACKARD CO	428236103	25.00	06/16/2008	1,186 00	10/01/2010	1,012 51	-173 49	-14 63%	L
HEWLETT PACKARD CO	428236103	100.00	11/17/2008	2,968.00	10/01/2010	4,050.05	1,082.05	36.46%	L
HEWLETT PACKARD CO	428236103	105 00	01/12/2010	5,451.18	10/01/2010	4,252.55	-1,198 63	-21 99%	S
KROGER COMPANY	501044101	345.00	08/28/2009	7,520.83	12/18/2009	6,929.42	-591 41	-7.86%	S
MICROSOFT CORP	594918104	40 00	03/25/2009	720 40	06/29/2010	957 44	237.04	32 90%	L
MICROSOFT CORP	594918104	410 00	08/28/2009	10,253 94	06/29/2010	9,813 80	-440 14	-4 29%	S
MICROSOFT CORP	594918104	327.00	03/19/2010	9,652 71	06/29/2010	7,827.10	-1,825 61	-18.91%	S
MONSANTO CO NEW	61166W101	1 00	02/08/2007	54 45	04/16/2010	63 79	9 34	17.15%	L
MONSANTO CO NEW	61166W101	50.00	10/29/2007	4,777 50	04/16/2010	3,189 49	-1,588.01	-33 24%	L
MONSANTO CO NEW	61166W101	7.00	08/28/2009	579.67	04/16/2010	446 53	-133.14	-22.97%	S
PETROHAWK ENERGY CORP	716495106	253.00	08/28/2009	5,555.80	10/04/2010	4,065 94	-1,489 86	-26 82%	L
QUALCOMM INC	747525103	55.00	06/12/2008	2,683.45	03/19/2010	2,197.57	-485.88	-18.11%	L
QUALCOMM INC	747525103	50.00	06/30/2008	2,283.50	03/19/2010	1,997 79	-285 71	-12.51%	L

Report created on January 5, 2011

SCHEDULE 4 PG 1 OF 2

UBS

Prepared for Fdn Oak Rdg
BW 16136 • Fdn Oak Rdg • ACCESS
Risk profile Moderate
Return objective Capital Appreciation

Realized gain/(loss) - from 12/01/2009 to 11/30/2010 (continued)

	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
QUALCOMM INC	747525103	20.00	07/08/2008	929.80	06/24/2010	697.09	-232 71	-25.03%	L
QUALCOMM INC	747525103	25 00	07/08/2008	1,162.25	03/19/2010	998.90	-163 35	-14 05%	L
QUALCOMM INC	747525103	25 00	08/15/2008	1,408 00	06/24/2010	871.36	-536 64	-38.11%	L
QUALCOMM INC	747525103	25.00	10/02/2008	1,015 25	06/24/2010	871 36	-143.89	-14 17%	L
QUALCOMM INC	747525103	25.00	10/16/2008	931.50	06/24/2010	871.36	-60.14	-6.46%	L
QUALCOMM INC	747525103	50.00	11/18/2008	1,584.50	06/24/2010	1,742 72	158.22	9 99%	L
QUALCOMM INC	747525103	50.00	03/19/2009	1,891.00	06/24/2010	1,742.72	-148.28	-7.84%	L
QUALCOMM INC	747525103	92.00	08/28/2009	4,369.80	06/24/2010	3,206.61	-1,163 19	-26.62%	S
QUANTA SERVICES INC	74762E102	368 00	08/28/2009	8,411 56	01/15/2010	7,051 01	-1,360 55	-16 17%	S
RAYTHEON CO NEW	755111507	178.00	08/28/2009	8,437.11	10/06/2010	8,152.15	-284.96	-3.38%	L
SAP AG SPON ADR	803054204	244.00	08/28/2009	11,908.79	03/22/2010	11,432 96	-475.83	-4.00%	S
SCHEIN HENRY INC	806407102	196.00	08/28/2009	10,335 08	12/21/2009	10,189.28	-145 80	-1 41%	S
SCHLUMBERGER LTD NETHERLANDS ANTILLES	806857108	21 00	03/15/2007	1,353.66	03/23/2010	1,323 06	-30.60	-2 26%	L
SCHLUMBERGER LTD NETHERLANDS ANTILLES	806857108	35 00	05/15/2007	2,655 45	03/23/2010	2,205 10	-450 35	-16 96%	L
SCHLUMBERGER LTD NETHERLANDS ANTILLES	806857108	15.00	07/18/2007	1,353.30	03/23/2010	945.04	-408.26	-30 17%	L
SCHLUMBERGER LTD NETHERLANDS ANTILLES	806857108	19 00	09/06/2007	1,866 37	03/23/2010	1,197.05	-669.32	-35 86%	L
TEXAS INSTRUMENTS	882508104	328.00	08/28/2009	8,165.89	05/27/2010	8,075 88	-90.01	-1.10%	S
THERMO FISHER SCIENTIFIC INC	883556102	58.00	08/28/2009	2,622.67	10/19/2010	2,822 23	199 56	7 61%	L
WASTE CONNECTIONS INC	941053100	149 00	08/28/2009	4,091.54	10/19/2010	6,014 13	1,922.59	46 99%	L
TOTAL REALIZED GAIN/(LOSS)				173,706.11		165,380.02	-8,326 09	-4 79%	
			SHORT TERM =	$93,680.51		$ 92,915.71	(764.80)		
			LONG TERM =	$80,025.60		$ 72,464.31	(7,561.29)		

TOTAL GAINS:	11,049 11
TOTAL LOSSES.	-19,375.20
SHORT TERM - TOTAL REALIZED GAIN/(LOSS)	-764.80
LONG TERM - TOTAL REALIZED GAIN/(LOSS)	-7,561 29

Report created on January 5, 2011

SCHEDULE 4 PG 2 OF 2

ATTACHMENT 1

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
JAD CONSULTING, LLC		6,900.	3,450.		3,450.
	TOTALS	6,900.	3,450.	0.	3,450.

ATTACHMENT 2

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
BANK SERVICE CHARGES	791.		791.
FILING FEES	383.		383.
INVESTMENT ADVISORY FEES	24,231.	24,231.	
TOTALS	25,405.	24,231.	1,174.

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 3

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
SEE SCHEDULE 5 ATTACHED	488,184.	578,812.
SEE SCHEDULE 6 ATTACHED	1,698,719.	1,787,699.
SEE SCHEDULE 7 ATTACHED	520,962.	652,845.
TOTALS	2,707,865.	3,019,356.

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

Account Number: *52 00 1954 0 06*
Date: *NOVEMBER 1, 2010 - NOVEMBER 30, 2010*

Portfolio Assets Detail

BEACON TRUST
163 Madison Avenue, 6th Floor
Morristown, NJ 07960
(973) 377-8090

DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
CONSUMER DISCRETIONARY									
COACH INC (COH)	500	21,895.00	56 540	28,270 00	5 12	2 91	28,135.50	300 00	1.06
EXPEDIA INC DEL COM (EXPE)	615	14,424 89	26.330	16,192 95	2 93	1 67	1,768 06	172 20	1.06
TARGET CORP COM (TGT)	280	13,563.17	56 940	15,943 20	2 89	1 64	2,380 03	280 00	1 76
THOMSON-REUTERS CORP (TRI)	298	10,829 29	36 360	10,835 28	1.96	1.11	5 99	345 68	3 19
TUPPERWARE BRANDS CORP COM (TUP)	130	3,126 77	46 480	6,042 40	1 09	.62	2,915.63	156.00	2 58
YUM BRANDS INC (YUM)	394	17,660.59	50 080	19,731.52	3.58	2 03	2,070 93	394 00	2 00
TOTAL CONSUMER DISCRETIONARY		81,499.71		**97,015.35**	**17.58**	**9.98**	**37,276.14**	**1,647.88**	**1.70**
CONSUMER STAPLES									
CORN PRODUCTS INTL INC CORN PRODUCTS INTL (CPO)	550	20,848.89	43 120	23,716.00	4.30	2.44	2,867 11	308 00	1 30

SCHEDULE 5 **PG** 1 **OF** 5

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

Account Number: *52 00 1954 0 06*
Date: *NOVEMBER 1, 2010 - NOVEMBER 30, 2010*

Portfolio Assets Detail

BEACON TRUST
163 Madison Avenue, 6th Floor
Morristown, NJ 07960
(973) 377-8090

DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
HEINZ H J CO (HNZ)	299	14,380.49	48 270	14,432.73	2.62	1 48	52 24	538 20	3 73
KRAFT FOODS INC (KFT)	360	11,179 98	30 250	10,890 00	1.97	1 12	-289 98	417 60	3.83
TOTAL CONSUMER STAPLES		**46,409.36**		**49,038.73**	**8.89**	**5.05**	**2,629.37**	**1,263.80**	**2.58**
ENERGY									
APACHE CORP (APA)	150	15,376.49	107 640	16,146.00	2 93	1 66	769 51	90 00	56
CHEVRON CORP COM (CVX)	125	10,126 80	80 970	10,121 25	1 83	1 04	-5.55	360 00	3.56
NOBLE CORP (NE)	350	15,036 34	33 920	11,872.00	2 15	1.22	-3,164 34	121 80	1 03
SCHLUMBERGER LTD (SLB)	225	11,103.94	77 340	17,401.50	3 15	1 79	6,297 56	189 00	1 09
TOTAL ENERGY		**51,643.57**		**55,540.75**	**10.06**	**5.71**	**3,897.18**	**760.80**	**1.37**
FINANCIALS									
AFLAC INC COM (AFL)	300	15,907.56	51 500	15,450 00	2 80	1 59	-457 56	360 00	2 33
FRANKLIN RES INC COM (BEN)	160	12,722 60	114 090	18,254 40	3 31	1 88	5,531 80	140 80	77
JEFFRIES GROUP (JEF)	630	12,771.04	24.150	15,214 50	2.76	1 57	2,443 46	189 00	1.24

SCHEDULE 5 PG 2 OF 5

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

Account Number: *52 00 1954 0 06*
Date: *NOVEMBER 1, 2010 - NOVEMBER 30, 2010*

Portfolio Assets Detail

BEACON TRUST
163 Madison Avenue, 6th Floor
Morristown, NJ 07960
(973) 377-8090

DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
JPMORGAN CHASE & CO COM (JPM)	270	11,244 60	37 400	10,098 00	1 83	1 04	-1,146 60	54 00	53
LINCOLN NATL CORP IND COM (LNC)	483	11,722 75	23 880	11,534 04	2 09	1 19	-188 71	96 60	84
TRAVELERS COS INC (TRV)	230	12,746 37	53.990	12,417.70	2.25	1 28	-328 67	331 20	2 67
TOTAL FINANCIALS		**77,114.92**		**82,968.64**	**15.03**	**8.54**	**5,853.72**	**1,171.60**	**1.41**
HEALTH CARE									
ALEXION PHARMACEUTICALS (ALXN)	163	8,207.56	76 450	12,461 35	2.26	1 28	4,253 79	00	.00
INTUITIVE SURGICAL INC COM NEW (ISRG)	50	13,001.00	260 290	13,014.50	2.36	1 34	13 50	00	00
RESMED INC (RMD)	480	11,858 38	31.950	15,336 00	2 78	1.58	3,477 62	.00	00
ZIMMER HLDGS INC COM (ZMH)	220	12,040 60	49.260	10,837 20	1 96	1 12	-1,203 40	00	00
TOTAL HEALTH CARE		**45,107.54**		**51,649.05**	**9.36**	**5.31**	**6,541.51**	**.00**	**.00**
INDUSTRIALS									
CUMMINS INC (CMI)	190	5,974 95	97 120	18,452 80	3.34	1 90	12,477 85	199 50	1 08
ILLINOIS TOOL WKS INC COM (ITW)	135	6,544 77	47 630	6,430 05	1 17	66	-114 72	183.60	2 86

SCHEDULE 5 **PG** 3 **OF** 5

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

Account Number: *52 00 1954 0 06*
Date: *NOVEMBER 1, 2010 - NOVEMBER 30, 2010*

BEACON TRUST
163 Madison Avenue, 6th Floor
Morristown, NJ 07960
(973) 377-8090

Portfolio Assets Detail

DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
NORFOLK SOUTHERN CORP (NSC)	95	2,662 85	60 170	5,716.15	1 04	59	3,053 30	136 80	2 39
UNITED PARCEL SERVICE (UPS)	214	14,864 78	70 130	15,007 82	2.72	1 54	143 04	402 32	2 68
TOTAL INDUSTRIALS		**30,047.35**		**45,606.82**	**8.26**	**4.69**	**15,559.47**	**922.22**	**2.02**
MATERIALS									
DUPONT E.I DE NEMOURS & CO (DD)	308	14,786.96	46 990	14,472 92	2.62	1.49	-314.04	505 12	3.49
NEWMONT MINING CORP (NEM)	177	9,607 19	58.830	10,412.91	1 89	1.07	805 72	106 20	1 02
PRECISION CASTPARTS CORP COM (PCP)	140	13,978.99	138.070	19,329 80	3 50	1 99	5,350 81	16 80	09
TOTAL MATERIALS		**38,373.14**		**44,215.63**	**8.01**	**4.55**	**5,842.49**	**628.12**	**1.42**
INFORMATION TECHNOLOGY									
ADOBE SYSTEMS INC DELAWARE (ADBE)	305	10,653 63	27 800	8,479 00	1 54	87	-2,174 63	00	.00
APPLE INC COM (AAPL)	80	16,454 39	311 150	24,892 00	4 51	2 56	8,437 61	00	00
AUTOMATIC DATA PROCESSING (ADP)	373	15,810 54	44 570	16,624 61	3 01	1 71	814 07	537 12	3 23
CISCO SYSTEMS INC (CSCO)	620	12,979 70	19 160	11,879.20	2 15	1.22	-1,100 50	00	.00

SCHEDULE 5 **PG** 4 **OF** 5

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

Account Number: *52 00 1954 0 06*
Date: *NOVEMBER 1, 2010 - NOVEMBER 30, 2010*

Portfolio Assets Detail

BEACON TRUST
163 Madison Avenue, 6th Floor
Morristown, NJ 07960
(973) 377-8090

DOMESTIC EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
COGNIZANT TECHNOLOGY SOLUTIONS CL A (CTSH)	236	5,327 60	64 980	15,335 28	2 78	1 58	10,007 68	00	.00
GOOGLE INC CL A (GOOG)	23	13,549 76	555 710	12,781.33	2 32	1 32	-768 43	00	00
JUNIPER NETWORKS INC COM (JNPR)	427	10,969.59	34.020	14,526.54	2 63	1.49	3,556 95	00	.00
SANDISK CORP (SNDK)	478	11,080 00	44.600	21,318.80	3 86	2 19	10,238 80	00	00
TOTAL INFORMATION TECHNOLOGY		**96,825.21**		**125,836.76**	**22.80**	**12.95**	**29,011.55**	**537.12**	**.43**
TOTAL DOMESTIC EQUITIES		467,020.80		**551,871.73**	**100.00**	**56.78**	**106,611.43**	**6,931.54**	**1.26**

INTERNATIONAL EQUITIES

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
MATERIALS									
INGERSOLL RAND PUBLIC LIMITED (IR)	310	11,582.95	41.000	12,710.00	44.08	1.31	1,127 05	86 80	.68
INFORMATION TECHNOLOGY									
TYCO ELECTRONICS (TEL)	530	11,472 94	30 420	16,122.60	55.92	1 66	4,649.66	339 20	2 10
TOTAL INTERNATIONAL EQUITIES		**23,055.89**		**28,832.60**	**100.00**	**2.97**	**5,776.71**	**426.00**	**1.48**
PENDING TRADES		(1,892.58)		(1,892.58)					
TOTAL ASSETS		#488,184.11		#578,811.75					

SCHEDULE 5 PG 5 OF 5

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

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

Your PACE assets

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

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

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

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

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

Equities

Holding	Number of shares	Purchase price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Investment return ($)	Holding period
FIRST EAGLE OVERSEAS FUND CLASS A									
Symbol SGOVX									
Trade date Aug 27, 09	4,675.417	18 880	88,271 87	88,271 87	21 850	102,157 86	13,885.99		LT
Trade date Sep 16, 09	3,810 976	19 680	75,000 00	75,000 00	21 850	83,269 82	8,269 82		LT
Trade date Oct 7, 09	1,765 003	19 830	35,000.00	35,000 00	21 850	38,565 31	3,565 31		LT
Trade date Oct 15, 09	2,482 622	20 140	50,000 00	50,000 00	21 850	54,245 29	4,245.29		LT
Total reinvested	413 651	19 690		8,144 79	21 850	9,038 27	893 48		
EAI $7,862 Current yield 2 74%									
Security total	13,147 669		248,271 87	256,416 66		287,276 56	30,859 89	39,004.68	

continued next page

SCHEDULE 6 PG 1 OF 5

Your PACE assets › **Equities** (continued)

Holding	Number of shares	Purchase price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Investment return ($)	Holding period
HENDERSON GLOBAL INVESTORS INTL OPPORTUNITIES FUND A									
Symbol HFOAX									
Trade date Aug 27, 09	5,431.971	19 330	105,000 00	105,000.00	20 030	108,802 37	3,802 37		LT
Trade date Sep 16, 09	3,685 504	20 350	75,000.00	75,000.00	20.030	73,820.64	-1,179 36		LT
Trade date Oct 7, 09	1,764 113	19.840	35,000 00	35,000 00	20.030	35,335 18	335 18		LT
Trade date Oct 15, 09	2,421 308	20 650	50,000 01	50,000.01	20 030	48,498 80	-1,501 21		LT
Trade date Jul 16, 10	70 502	18 760	1,322 62	1,322.62	20 030	1,412 15	89.53		ST
Total reinvested	48 863	20 129		983 61	20 030	978 73	-4 88		
EAI $993 Current yield 0 37%									
Security total	13,422.261		266,322 63	267,306 24		268,847 88	1,541.63	2,525 24	
OPPENHEIMER DEVELOPING MARKETS FUND CL A									
Symbol ODMAX									
Trade date Aug 27, 09	664.235	24 800	16,473 03	16,473.03	33 850	22,484 35	6,011 32		LT
Trade date Sep 16, 09	534 147	26 210	14,000 00	14,000 00	33 850	18,080 87	4,080 87		LT
Trade date Oct 7, 09	556.380	26 960	15,000 00	15,000.00	33 850	18,833 46	3,833 46		LT
Total reinvested	7 891	28 529		225 13	33.850	267.11	41.98		
EAI $204 Current yield 0 34%									
Security total	1,762 653		45,473 03	45,698 16		59,665 80	13,967 63	14,192.76	
PACE portfolio total			**$560,067.53**	**$569,421.06**		**$615,790.24**	**$46,369.15**	**$55,722.71**	

Total estimated annual income: $9,059

Fixed income

Holding	Number of shares	Purchase price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Investment return ($)	Holding period
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A									
Symbol EAGMX									
Trade date Jul 16, 10	16,646 881	10 330	171,962 28	171,962.28	10 330	171,962 28			ST

continued next page

SCHEDULE 6 PG 2 OF 5

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

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

Your PACE assets › **Fixed income** (continued)

Holding	Number of shares	Purchase price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Investment return ($)	Holding period
Total reinvested	215.097	10 345		2,225 33	10 330	2,221 95	-3 38		
EAI $9,022 Current yield 5 18%									
Security total	16,861 978		171,962 28	174,187 61		174,184 23	-3 38	2,221 95	
FT TEMPLETON GLOBAL BOND A									
Symbol TPINX									
Trade date Aug 27, 09	2,026 029	12 190	24,697 29	24,697 29	13 470	27,290 61	2,593 32		LT
Trade date Sep 16, 09	5,309 735	12 430	66,000 00	66,000.00	13 470	71,522.13	5,522 13		LT
Trade date Oct 7, 09	1,980 983	12 620	25,000 00	25,000 00	13 470	26,683 84	1,683 84		LT
Trade date Oct 13, 09	1,971 609	12 680	25,000 00	25,000 00	13 470	26,557 57	1,557 57		LT
Total reinvested	788 972	13 117		10,349 64	13 470	10,627 45	277 81		
EAI $6,944 Current yield 4 27%									
Security total	12,077 328		140,697 29	151,046 93		162,681 60	11,634 67	21,984 31	
LOOMIS SAYLES STRATEGIC INCOME FUND CLASS A									
Symbol NEFZX									
Trade date Mar 10, 10	10,587 702	14 180	150,133 61	150,133 61	14 610	154,686 33	4,552 72		ST
Total reinvested	523 824	14 334		7,508 52	14.610	7,653 07	144 55		
EAI $8,922 Current yield 5 50%									
Security total	11,111.526		150,133 61	157,642 13		162,339 39	4,697 27	12,205 79	
PIMCO UNCONSTRAINED BOND FUND CLASS A									
Symbol PUBAX									
Trade date Mar 10, 10	13,860 979	10 940	151,639 11	151,639 11	11 210	155,381 56	3,742 45		ST
Total reinvested	225 533	11 143		2,513 20	11 210	2,528 22	15 02		
EAI $3,507 Current yield 2 22%									
Security total	14,086 512		151,639 11	154,152 31		157,909 79	3,757 47	6,270 67	
PACE portfolio total			**$614,432.29**	**$637,028.98**		**$657,115.01**	**$20,086.03**	**$42,682.72**	

Total estimated annual income: $28,395

SCHEDULE 6 **PG** 3 **OF** 5

Your PACE assets (continued)

Alternative strategies

Holding	Number of shares	Purchase price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Investment return ($)	Holding period
CALAMOS MARKET NEUTRAL INCOME FUND CLASS A									
Symbol CVSIX									
Trade date Aug 27, 09	4,976 610	11 190	55,688 27	55,688 27	11 880	59,122 13	3,433 86		LT
Trade date Sep 16, 09	4,155 615	11 310	47,000 00	47,000.00	11.880	49,368 71	2,368 71		LT
Trade date Oct 7, 09	1,762 115	11 350	20,000 00	20,000.00	11.880	20,933 93	933 93		LT
Trade date Oct 13, 09	1,755 926	11 390	20,000 00	20,000 00	11 880	20,860 40	860 40		LT
Total reinvested	185 538	11 471		2,128 33	11 880	2,204 19	75 86		
EAI $1,643 Current yield 1.08%									
Security total	12,835 804		142,688 27	144,816 60		152,489.35	7,672 76	9,801.09	
GATEWAY FUND CLASS A									
Symbol GATEX									
Trade date Aug 27, 09	2,890.955	24 560	71,001 85	71,001.85	25 680	74,239.72	3,237 87		LT
Trade date Sep 16, 09	1,940 962	24 730	48,000 00	48,000 00	25.680	49,843.90	1,843 90		LT
Trade date Oct 7, 09	1,016 673	24 590	25,000 00	25,000.00	25.680	26,108 16	1,108 16		LT
Trade date Oct 13, 09	1,012 966	24 680	25,000 00	25,000 00	25 680	26,012.97	1,012 97		LT
Total reinvested	124 617	24 997		3,115 10	25 680	3,200 16	85 06		
EAI. $2,543 Current yield 1 42%									
Security total	6,986 173		169,001 85	172,116.95		179,404 92	7,287 96	10,403 06	
PACE portfolio total			**$311,690.12**	**$316,933.55**		**$331,894.27**	**$14,960.72**	**$20,204.15**	

Total estimated annual income: $4,186

Other

Holding	Number of shares	Purchase price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Investment return ($)	Holding period
PIMCO GLOBAL MULTI-ASSET FUND CLASS A									
Symbol PGMAX									
Trade date Aug 27, 09	6,017.565	10 940	65,832 16	65,832 16	11 630	69,984 28	4,152 12		LT

continued next page

SCHEDULE 6 **PG** 4 **OF** 5

UBS Business Services Account
November 2010

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

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

Your PACE assets › **Other** (continued)

Holding	Number of shares	Purchase price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Investment return ($)	Holding period
Trade date Sep 16, 09	4,262 877	11 260	48,000 00	48,000 00	11 630	49,577 26	1,577 26		LT
Trade date Oct 7, 09	2,212 389	11 300	25,000 00	25,000 00	11 630	25,730 08	730 08		LT
Trade date Oct 13, 09	2,196 837	11 380	25,000 00	25,000 00	11 630	25,549 21	549 21		LT
Total reinvested	1,036 837	11 094		11,503 59	11 630	12,058 41	554 82		
EAI $9,247 Current yield 5 06%									
Security total	15,726 505		163,832 16	175,335 75		182,899 25	7,563 49	19,067 08	

TOTALS = $1,698,719.34 $1,787,698.77

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

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

Your assets

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

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
ABBOTT LABS Symbol ABT Exchange NYSE EAI $440 Current yield 3 78%	Aug 28, 09	250 000	45 830	11,457 50	46 510	11,627 50	170 00	LT
AFFILIATED MANAGERS GROUP Symbol· AMG Exchange· NYSE	Aug 28, 09	99 000	65 970	6,531 03	87 410	8,653 59	2,122 56	LT
ALLERGAN INC Symbol· AGN Exchange NYSE EAI $46 Current yield 0 30%	Aug 28, 09	232 000	55 012	12,762 78	66 270	15,374 64	2,611 86	LT
ALLIANCE DATA SYSTEMS CORP Symbol. ADS Exchange NYSE	Aug 28, 09	190 000	56 645	10,762 65	63 080	11,985 20	1,222 55	LT
ALTERA CORP Symbol. ALTR Exchange OTC EAI $99 Current yield 0 68%	Mar 25, 10	413 000	24 576	10,150 22	35 090	14,492 17	4,341 95	ST
ANSYS INC Symbol ANSS Exchange OTC	Aug 28, 09	322 000	36 397	11,720 09	48 500	15,617 00	3,896 91	LT
APPLE INC Symbol AAPL Exchange OTC	Jun 15, 06	1 000	57 430	57 43[1]	311 150	311 15	253 72	LT
	Aug 2, 06	20 000	67 900	1,358 00[1]	311 150	6,223 00	4,865 00	LT
	Mar 10, 08	31 000	121 210	3,757 51[1]	311 150	9,645 65	5,888 14	LT
	Jun 16, 08	12 000	171 980	2,063 76[1]	311 150	3,733 80	1,670 04	LT

continued next page

SCHEDULE 7 PG 1 OF 7

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Oct 9, 08	25.000	91 340	2,283 50[1]	311 150	7,778 75	5,495 25	LT
	May 12, 09	12 000	125.240	1,502 88[1]	311 150	3,733 80	2,230 92	LT
	Aug 9, 10	17 000	260 693	4,431 78	311 150	5,289 55	857 77	ST
Security total		118 000		15,454 86		36,715 70	21,260.84	
BAXTER INTL INC Symbol BAX Exchange NYSE EAI. $260 Current yield. 2.55%	Dec 23, 09	210.000	58 749	12,337 44	48 550	10,195 50	-2,141 94	ST
CATALYST HEALTH SOLUTIONS INC Symbol· CHSI Exchange OTC	Aug 28, 09	270 000	29 206	7,885 81	42 920	11,588 40	3,702 59	LT
CELGENE CORP Symbol. CELG Exchange OTC	May 8, 07	20 000	62 890	1,257 80[1]	59 380	1,187 60	-70 20	LT
	Jul 6, 07	25 000	57 960	1,449 00[1]	59 380	1,484 50	35 50	LT
	Jul 30, 07	20 000	61 310	1,226.20[1]	59.380	1,187 60	-38 60	LT
	Aug 15, 07	20.000	60.820	1,216 40[1]	59 380	1,187 60	-28 80	LT
	Nov 9, 07	20 000	63 440	1,268 80[1]	59 380	1,187 60	-81 20	LT
	Dec 7, 07	35.000	58.390	2,043 65[1]	59 380	2,078 30	34 65	LT
	Aug 28, 09	44 000	52 540	2,311 76	59 380	2,612 72	300 96	LT
Security total		184 000		10,773 61		10,925.92	152.31	
CHURCH & DWIGHT CO INC Symbol CHD Exchange: NYSE EAI. $129 Current yield· 1.05%	Aug 28, 09	189.000	57 202	10,811 27	65 250	12,332 25	1,520 98	LT
CISCO SYSTEMS INC Symbol· CSCO Exchange OTC	Jan 30, 07	68 000	26.220	1,782.96[1]	19 160	1,302 88	-480 08	LT
	Oct 29, 07	160 000	32.320	5,171 20[1]	19 160	3,065 60	-2,105 60	LT
	Aug 28, 09	288 000	22 079	6,358 92	19 160	5,518.08	-840 84	LT
Security total		516.000		13,313.08		9,886 56	-3,426 52	
CITRIX SYSTEMS INC Symbol CTXS Exchange OTC	Jun 17, 10	209 000	45 407	9,490 17	66 430	13,883 87	4,393 70	ST
COGNIZANT TECH SOLUTIONS CRP Symbol CTSH Exchange OTC	Oct 7, 09	79 000	39.206	3,097 28	64 980	5,133 42	2,036 14	LT
	Jan 8, 10	122 000	46 395	5,660 21	64 980	7,927 56	2,267 35	ST
Security total		201 000		8,757 49		13,060 98	4,303 49	
CONCHO RESOURCES INC Symbol· CXO Exchange NYSE	Oct 19, 10	98 000	67 706	6,635 23	82.750	8,109.50	1,474 27	ST

continued next page

SCHEDULE 7 PG 2 OF 7

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
DANAHER CORP								
Symbol DHR Exchange· NYSE								
EAI $33 Current yield 0 18%	Mar 9, 09	60 000	24 500	1,470 00 [1]	43 250	2,595 00	1,125 00	LT
	May 27, 09	34 000	30 545	1,038 53 [1]	43 250	1,470 50	431 97	LT
	Jun 11, 09	26 000	31 725	824 85 [1]	43 250	1,124.50	299 65	LT
	Aug 28, 09	296 000	30 840	9,128.79	43 250	12,802 00	3,673 21	LT
Security total		416 000		12,462 17		17,992 00	5,529 83	
DECKERS OUTDOOR CORP								
Symbol DECK Exchange OTC	Jul 20, 10	130 000	45 013	5,851 77	76 900	9,997 00	4,145 23	ST
	Jul 29, 10	49 000	50 238	2,461 66	76 900	3,768 10	1,306 44	ST
Security total		179 000		8,313 43		13,765 10	5,451 67	
DENBURY RESOURCES INC NEW								
Symbol DNR Exchange· NYSE	Oct 19, 10	366 000	18 189	6,657 47	18 180	6,653 88	-3 59	ST
ECOLAB INC								
Symbol ECL Exchange NYSE								
EAI· $135 Current yield. 1 30%	Aug 28, 09	218 000	41 879	9,129 73	47 810	10,422 58	1,292 85	LT
EMC CORP MASS								
Symbol EMC Exchange NYSE	Oct 1, 10	620 000	20 358	12,622 08	21 490	13,323 80	701 72	ST
EXPRESS SCRIPTS INC								
Symbol· ESRX Exchange OTC	Aug 28, 09	314 000	35 951	11,288 83	52 090	16,356 26	5,067 43	LT
GILEAD SCIENCES INC								
Symbol GILD Exchange OTC	Apr 28, 06	75 000	28 830	2,162 25 [1]	36 500	2,737 50	575 25	LT
	Aug 2, 06	70 000	30 870	2,160 90 [1]	36 500	2,555 00	394 10	LT
	Feb 5, 07	60 000	35 170	2,110 20 [1]	36 500	2,190.00	79 80	LT
	Oct 9, 08	25 000	41 620	1,040 50 [1]	36 500	912 50	-128 00	LT
	Mar 19, 09	35 000	44 780	1,567 30 [1]	36 500	1,277 50	-289 80	LT
Security total		265.000		9,041 15		9,672 50	631 35	
GOOGLE INC CL A								
Symbol. GOOG Exchange OTC	Mar 15, 06	10 000	348 740	3,487 40 [1]	555 710	5,557 10	2,069 70	LT
	May 3, 06	6 000	396 140	2,376 84 [1]	555 710	3,334 26	957 42	LT
	Aug 21, 06	6 000	376 960	2,261 76 [1]	555 710	3,334 26	1,072 50	LT
	Dec 29, 06	4 000	461 050	1,844 20 [1]	555 710	2,222.84	378 64	LT
	Mar 16, 07	5 000	443 320	2,216 60 [1]	555.710	2,778 55	561 95	LT

continued next page

SCHEDULE 7 PG 3 OF 7

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Feb 20, 08	5.000	504.250	2,521 25 1	555 710	2,778 55	257 30	LT
	Jul 25, 08	5.000	487 970	2,439 85 1	555 710	2,778 55	338 70	LT
	Mar 25, 10	4 000	566 291	2,265 17	555 710	2,222 84	-42 33	ST
Security total		45 000		19,413 07		25,006 95	5,593 88	
HITTITE MICROWAVE CORP								
Symbol HITT Exchange. OTC	Aug 28, 09	212 000	34 453	7,304 14	57 240	12,134 88	4,830 74	LT
IDEX CORP								
Symbol IEX Exchange· NYSE								
EAI: $184 Current yield. 1 60%	Aug 28, 09	307 000	26 947	8,272 73	37 470	11,503.29	3,230 56	LT
INTERCONTINENTALEXCHANGE INC								
Symbol ICE Exchange. NYSE	Aug 28, 09	90 000	92 550	8,329 50	112 700	10,143 00	1,813 50	LT
INTL BUSINESS MACH								
Symbol. IBM Exchange NYSE								
EAI $481 Current yield 1.84%	Aug 28, 09	145 000	118 919	17,243 33	141 460	20,511 70	3,268 37	LT
	Jun 29, 10	40 000	127 406	5,096 24	141 460	5,658 40	562 16	ST
Security total		185 000		22,339 57		26,170 10	3,830 53	
JOHNSON CONTROLS INC								
Symbol. JCI Exchange NYSE								
EAI. $221 Current yield. 1.75%	Aug 28, 09	346 000	25 008	8,652.94	36 440	12,608.24	3,955.30	LT
MSC INDL DIRECT CO INC								
Symbol. MSM Exchange NYSE								
EAI· $165 Current yield 1 47%	Apr 19, 10	116 000	55 537	6,442 37	60 140	6,976 24	533 87	ST
	Apr 26, 10	71 000	56 816	4,033 94	60 140	4,269 94	236 00	ST
Security total		187 000		10,476 31		11,246 18	769 87	
NETAPP INC								
Symbol NTAP Exchange. OTC	Jun 24, 10	227 000	39 979	9,075 41	50 930	11,561 11	2,485 70	ST
NETLOGIC MICROSYSTEMS INC								
Symbol NETL Exchange OTC	Sep 27, 10	287 000	27 477	7,885 99	31 200	8,954 40	1,068 41	ST
O'REILLY AUTOMOTIVE INC								
Symbol ORLY Exchange OTC	Aug 28, 09	145 000	38 395	5,567 36	60.180	8,726 10	3,158 74	LT
	Sep 30, 09	140.000	36 058	5,048 16	60.180	8,425 20	3,377 04	LT
Security total		285 000		10,615 52		17,151 30	6,535 78	

continued next page

SCHEDULE 7 PG 4 OF 7

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
ORACLE CORP								
Symbol. ORCL Exchange OTC								
EAI $116 Current yield 0 74%	Oct 6, 10	579 000	27 680	16,026 72	27 045	15,659 05	-367 67	ST
PEPSICO INC								
Symbol PEP Exchange NYSE								
EAI $403 Current yield 2 97%	Oct 10, 03	7 000	47 970	335 79[1]	64 630	452 41	116 62	LT
	Apr 26, 07	35 000	66 990	2,344.65[1]	64 630	2,262 05	-82 60	LT
	Feb 19, 08	20 000	71 770	1,435 40[1]	64 630	1,292 60	-142 80	LT
	Nov 14, 08	33 000	55 050	1,816.65[1]	64 630	2,132 79	316 14	LT
	Mar 9, 09	15 000	46.880	703 20[1]	64 630	969.45	266 25	LT
	Mar 19, 09	30 000	49 400	1,482 00[1]	64.630	1,938 90	456 90	LT
	Aug 28, 09	70 000	56 930	3,985 10	64 630	4,524 10	539 00	LT
Security total		210 000		12,102 79		13,572 30	1 469 51	
PRAXAIR INC								
Symbol PX Exchange NYSE								
EAI $139 Current yield. 1 96%	Apr 26, 10	74.000	88 944	6,581 86	92 050	6,811 70	229 84	ST
	Apr 28, 10	2 000	84 046	168 09	92 050	184 10	16 01	ST
	Apr 29, 10	1 000	84 390	84 39	92 050	92.05	7 66	ST
Security total		77 000		6,834 34		7,087 85	253 51	
PRECISION CASTPARTS CORP								
Symbol PCP Exchange NYSE								
EAI. $10 Current yield 0.08%	Aug 28, 09	87 000	93 320	8,118 84	138 070	12,012 09	3,893 25	LT
PRICELINE COM INC NEW								
Symbol PCLN Exchange OTC	Mar 30, 10	25 000	256 288	6,407 20	394 050	9,851 25	3,444 05	ST
PROCTER & GAMBLE CO								
Symbol PG Exchange NYSE								
EAI. $507 Current yield 3 16%	Apr 16, 09	244 000	50 340	12,282 96[1]	61 070	14,901 08	2,618 12	LT
	Jun 11, 09	19 000	52 440	996 36[1]	61 070	1,160 33	163 97	LT
Security total		263 000		13,279 32		16,061 41	2,782 09	
RESMED INC								
Symbol RMD Exchange NYSE	Aug 28, 09	432 000	22 889	9,888 16	31 950	13,802 40	3,914 24	LT

continued next page

SCHEDULE 7 PG 5 OF 7

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
SCHLUMBERGER LTD NETHERLANDS ANTILLES								
Symbol SLB Exchange NYSE								
EAI $127 Current yield 1 09%	Sep 6, 07	1 000	98 230	98 23[1]	77 340	77 34	-20 89	LT
	Oct 30, 07	25 000	97 240	2,431 00[1]	77 340	1,933 50	-497 50	LT
	Jan 10, 08	25.000	96 350	2,408 75[1]	77 340	1,933 50	-475 25	LT
	Oct 9, 08	25 000	67 950	1,698 75[1]	77 340	1,933 50	234 75	LT
	Oct 22, 08	25 000	50 770	1,269 25[1]	77 340	1,933.50	664 25	LT
	Feb 10, 09	25 000	46 280	1,157 00[1]	77 340	1,933 50	776 50	LT
	Mar 9, 09	25 000	36 620	915 50[1]	77 340	1,933 50	1,018 00	LT
Security total		151 000		9,978 48		11,678 34	1,699 86	
SCHWAB CHARLES CORP NEW								
Symbol SCHW Exchange NYSE								
EAI $133 Current yield 1 60%	Aug 28, 09	554 000	17 778	9,849 12	15 030	8,326.62	-1,522 50	LT
SKYWORKS SOLUTIONS INC								
Symbol· SWKS Exchange OTC	Jun 1, 10	379.000	15 904	6,027 73	25 450	9,645 55	3,617 82	ST
SOWSTN ENERGY CO								
Symbol SWN Exchange. NYSE	Aug 28, 09	330 000	38 476	12,697 08	36.200	11,946 00	-751 08	LT
STAPLES INC								
Symbol SPLS Exchange. OTC								
EAI· $201 Current yield: 1 63%	Aug 28, 09	559.000	21 768	12,168.42	22 010	12,303.59	135 17	LT
STERICYCLE INC								
Symbol· SRCL Exchange OTC	Aug 28, 09	192 000	50.005	9,601 08	73 900	14,188 80	4,587 72	LT
TARGET CORP								
Symbol· TGT Exchange· NYSE								
EAI. $267 Current yield 1 76%	Apr 17, 09	40 000	40 230	1,609.20[1]	56 940	2,277 60	668 40	LT
	May 13, 09	25 000	40 520	1,013 00[1]	56.940	1,423.50	410 50	LT
	Aug 28, 09	202 000	47.487	9,592 54	56 940	11,501 88	1,909 34	LT
Security total		267 000		12,214 74		15,202 98	2,988 24	
THERMO FISHER SCIENTIFIC INC								
Symbol TMO Exchange NYSE	Aug 28, 09	245 000	45.218	11,078.53	50 860	12,460 70	1,382 17	LT
VISA INC CL A								
Symbol· V Exchange NYSE								
EAI $64 Current yield 0 81%	Apr 21, 09	25 000	55.640	1,391 00[1]	73 850	1,846.25	455 25	LT

continued next page

SCHEDULE 7 **PG** 6 **OF** 7

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	May 6, 09	45 000	66 910	3,010 95 [1]	73 850	3,323 25	312 30	LT
	Aug 28, 09	37 000	69 525	2,572 45	73 850	2,732 45	160 00	LT
Security total		107 000		6,974 40		7,901 95	927 55	
WARNACO GROUP INC NEW Symbol WRC Exchange. NYSE	Mar 26, 10	173 000	46 474	8,040 11	53 850	9,316 05	1,275 94	ST
WASTE CONNECTIONS INC Symbol WCN Exchange NYSE EAI $98 Current yield. 0 77%	Aug 28, 09	489 000	18 306	8,951 96	26 000	12,714 00	3,762 04	LT
Total		TOTAL ASSETS	=	**$520,962.29**		**$652,845.28**	**$131,882.99**	

SCHEDULE 7 **PG** 7 **OF** 7

FORM 990PF, PART II - CORPORATE BONDS

ATTACHMENT 4

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
GS GP RDIC 1.7% DUE 3/15/2011	0.	0.
JP MORGAN 2.2% DUE 6/15/2012	0.	0.
SEE SCHEDULE 8 ATTACHED	385,011.	388,247.
TOTALS	385,011.	388,247.

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

Account Number: *52 00 1954 0 06*
Date: *NOVEMBER 1, 2010 - NOVEMBER 30, 2010*

Portfolio Assets Detail

BEACON TRUST
163 Madison Avenue, 6th Floor
Morristown, NJ 07960
(973) 377-8090

TAXABLE BONDS

Description	Shares	Total Cost	Current Share Price	Current Mkt Value	% of Category	% of Portfolio	Unrealized Gain/Loss	Est. Ann Income	Est. Ann Yield(%)
CORPORATE BDS & NTS									
DIAGEO CAPITAL PLC 5 125% DUE 1/30/2012	40,000	42,645 60	104.912	41,964.80	10 81	4 32	-680 80	2,050 00	4 89
GEN ELEC CAP CORP SR 2.8% DUE 01/08/2013	50,000	50,086.00	102.481	51,240 50	13 20	5 27	1,154 50	1,400 00	2.73
GLAXOSMITHKLINE CAP INC 4.85% DUE 05/15/2013	50,000	54,261.50	109.308	54,654.00	14.08	5.62	392.50	2,425.00	4.44
GOLDMAN SACHS GP FDIC 1.70% DUE 03/15/2011	70,000	70,191.80	100 421	70,294.70	18.11	7 23	102 90	1,190 00	1.69
JP MORGAN CHASE 2 20% DUE 06/15/2012	70,000	70,321 30	102.565	71,795.50	18.49	7.39	1,474 20	1,540 00	2.14
JP MORGAN CHASE & CO SR 4.75% DUE 5/1/2013	50,000	53,944 50	107 403	53,701 50	13 83	5 53	-243 00	2,375 00	4 42
WAL-MART STORES 4 50% DUE 07/01/2015	40,000	43,560 00	111.490	44,596 00	11.49	4 59	1,036.00	1,800 00	4 04
TOTAL		= $385,010.70		$ 388,247.00					

SCHEDULE 8 PG 1 OF 1

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

ATTACHMENT 5

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
JOHN DUFFY 2420 E. CAMINO LA ZORRELA TUCSON, AZ 85718	PRESIDENT/TREASURER	0.	0.	0.
ANNE DUFFY 2420 E. CAMINO LA ZORRELA TUCSON, AZ 85718	VICE PRES/SECRETARY	0.	0.	0.
PETER R. KELLOGG 39 STEWART ROAD SHORT HILLS, NJ 07078	VICE PRESIDENT	0.	0.	0.
	GRAND TOTALS	0.	0.	0.

JOHN & ANNE DUFFY FOUNDATION
22-2598324
F/Y/E
11/30/2010

ATTACHMENT TO 2009 FORM 990-PF, PART IV

2009 FORM 990-PF, PART I,LINE 6a,COLUMN a

AMOUNT SOLD	SECURITY	DATE ACQ	DATE SOLD	SALE PROCEEDS	COST BASIS	BOOK GAIN/ LOSS	DONOR'S COST BASIS	TAX GAIN/ LOSS
	SEE SCHEDULE 2 ATTACHED	VARIOUS	VARIOUS	694,488	676,903	17,585	676,903	17,585
	SEE SCHEDULE 3 ATTACHED	VARIOUS	VARIOUS	240,663	247,650	(6,987)	247,650	(6,987)
	VARIOUS - LITIGATION SETTLEMENT	VARIOUS	VARIOUS	726	NONE	726	NONE	726
	ENRON CORP SECURITIES - LITIGATION SETTLEMENT	VARIOUS	12/15/2009	283	NONE	283	NONE	283
	AOL TIME WARNER - LITIGATION SETTLEMENT	VARIOUS	12/29/2009	33	NONE	33	NONE	33
	WORLDCOM - LITIGATION SETTLEMENT	VARIOUS	3/26/2010	317	NONE	317	NONE	317
	QUEST SECURITIES - LITIGATION SETTLEMENT	VARIOUS	3/29/2010	71	NONE	71	NONE	71
	SEC V, AIG - LITIGATION SETTLEMENT	VARIOUS	9/20/2010	21	NONE	21	NONE	21
	SEC V. TENET HEALTHCARE - LITIGATION SETTLEMENT	VARIOUS	3/22/2010	15	NONE	15	NONE	15
	SEE SCHEDULE 4 ATTACHED	VARIOUS	VARIOUS	165,380	173,707	(8,327)	173,707	(8,327)
500	COACH	VARIOUS	4/30/2010	20,935	21,895	(960)	135	20,800
				1,122,932	1,120,155	2,777	1,098,395	24,537

SCHEDULE 9 PG 1 OF 1

JOHN & ANNE DUFFY FOUNDATION, INC.

Charitable Contributions

December 2009 through November 2010

Date	Name	Paid Amount
CONTRIBUTIONS PAID - CASH		
12/27/2009	EL LEON LITERARY ARTS	1,000 00
1/6/2010	THE BUTTONWOOD FOUNDATION	500 00
1/6/2010	UNITED NEGRO COLLEGE FUND	1,000 00
1/6/2010	COMMUNITY ENTERPRISE SOLUTIONS	500 00
1/6/2010	MISCELLANEOUS CHARITABLE CONTRIBUTION	1,000 00
7/1/2010	DIOCESE OF TUCSON	5,000 00
11/30/2010	BUTLER HOSPITAL ALZHEIMERS RESEARCH	5,000 00
11/30/2010	RISC FOUNDATION	10,000 00
11/30/2010	SOCIAL VENTURE PARTNERS GREATER TUSCON FD	5,000 00
11/30/2010	HOMELESS SOLUTIONS, INC	100,000 00
Total CONTRIBUTIONS PAID - CASH		129,000 00
TOTAL		**129,000.00**

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

SCHEDULE 1 **PG** 1 **OF** 1