



See a Social Security Number? Say Something!  
Report Privacy Problems to <https://public.resource.org/privacy>  
Or call the IRS Identity Theft Hotline at 1-800-908-4490



Form **990-PF**

# Return of Private Foundation

## or Section 4947(a)(1) Nonexempt Charitable Trust

### Treated as a Private Foundation

OMB No 1545-0052

**2012**

Open to Public Inspection

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 2012 or tax year beginning

03/01, 2012, and ending

02/28, 2013

Name of foundation <b>DOTY FAMILY FOUNDATION</b>		A Employer identification number <b>13-2921496</b>
Number and street (or P O box number if mail is not delivered to street address) <b>C/O BCRS ASSOCIATES, LLC</b> <b>77 WATER STREET, 9TH FLOOR</b>	Room/suite	B Telephone number (see instructions) <b>(212) 440-0800</b>
City or town, state, and ZIP code <b>NEW YORK, NY 10005</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply.	Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/>	D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <b>\$ 9,115,662.</b>	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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 instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income N/A	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)		3,360,755.			
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		2,174.	2,174.		ATCH 1
4 Dividends and interest from securities		193,381.	193,381.		ATCH 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		40,299.			
b Gross sales price for all assets on line 6a	537,882.				
7 Capital gain net income (from Part IV, line 2)			40,299.		
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		3,596,609.	235,854.	0	
13 Compensation of officers, directors, trustees, etc.		18,000.	13,500.		4,500.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees (attach schedule)					
b Accounting fees (attach schedule) ATCH 3		7,400.	3,700.		3,700.
c Other professional fees (attach schedule) *		36,324.	36,324.		
17 Interest					
18 Taxes (attach schedule) (see instructions) ATCH 5		1,400.			
19 Depreciation (attach schedule) and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses (attach schedule) ATCH 6		8,916.	658.		8,258.
24 Total operating and administrative expenses. Add lines 13 through 23		72,040.	54,182.		16,458.
25 Contributions, gifts, grants paid		771,883.			771,883.
26 Total expenses and disbursements. Add lines 24 and 25		843,923.	54,182.	0	788,341.
27 Subtract line 26 from line 12.					
a Excess of revenue over expenses and disbursements		2,752,686.			
b Net investment income (if negative, enter -0-)			181,672.		
c Adjusted net income (if negative, enter -0-)				0	

SCANNED JUL 18 2013

Revenue

Operating and Administrative Expenses

P 10

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 . . . . .		2,400.		
	2	Savings and temporary cash investments . . . . .		66,573.	563,882.	563,882.
	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 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 7 . . . . .	4,195,504.	4,310,408.	5,436,358.	
	c	Investments - corporate bonds (attach schedule) . . . . .				
	Liabilities	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 ▶ ATCH 8) . . . . .	958,412.	3,101,286.	3,115,422.	
16		Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I) . . . . .	5,222,889.	7,975,576.	9,115,662.	
17		Accounts payable and accrued expenses . . . . .				
18		Grants payable . . . . .				
Net Assets or Fund Balances	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) . . . . .	0	0		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>					
	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. ▶ <input checked="" type="checkbox"/>					
	27	Capital stock, trust principal, or current funds . . . . .	5,222,889.	7,975,576.		
	28	Paid-in or capital surplus, or land, bldg, and equipment fund . . . . .				
	29	Retained earnings, accumulated income, endowment, or other funds . . . . .				
30	Total net assets or fund balances (see instructions) . . . . .	5,222,889.	7,975,576.			
31	Total liabilities and net assets/fund balances (see instructions) . . . . .	5,222,889.	7,975,576.			

## 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	5,222,889.
2	Enter amount from Part I, line 27a . . . . .	2	2,752,686.
3	Other increases not included in line 2 (itemize) ▶ ATCH 9 . . . . .	3	1.
4	Add lines 1, 2, and 3 . . . . .	4	7,975,576.
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	7,975,576.

Form 990-PF (2012)

**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)
<b>1a SEE PART IV SCHEDULE</b>					
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) Gains (Col (h) gain minus col (k), but not less than -0- or Losses (from col. (h))		
(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			
a					
b					
c					
d					
e					
<b>2 Capital gain net income or (net capital loss)</b>			<b>2</b>	40,299.	
<div style="display: flex; align-items: center;"> <div style="flex: 1;">           { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } </div> </div>					
<b>3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):</b>			<b>3</b>	0	
<div style="display: flex; align-items: center;"> <div style="flex: 1;">           If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 </div> </div>					

**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 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))
2011	559,203.	5,889,119.	0.094955
2010	392,650.	5,981,428.	0.065645
2009	631,440.	5,932,663.	0.106434
2008	480,515.	6,654,688.	0.072207
2007	778,645.	8,160,687.	0.095414
<b>2 Total of line 1, column (d)</b>			<b>2</b> 0.434655
<b>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</b>			<b>3</b> 0.086931
<b>4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5</b>			<b>4</b> 7,474,000.
<b>5 Multiply line 4 by line 3</b>			<b>5</b> 649,722.
<b>6 Enter 1% of net investment income (1% of Part I, line 27b)</b>			<b>6</b> 1,817.
<b>7 Add lines 5 and 6</b>			<b>7</b> 651,539.
<b>8 Enter qualifying distributions from Part XII, line 4</b>			<b>8</b> 788,341.

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 . . . . .			
Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .		1	1,817.
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	1,817.
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	1,817.
6 Credits/Payments			
a 2012 estimated tax payments and 2011 overpayment credited to 2012 . . . . .	6a	1,921.	
b Exempt foreign organizations - tax withheld at source . . . . .	6b		
c Tax paid with application for extension of time to file (Form 8868) . . . . .	6c		
d Backup withholding erroneously withheld . . . . .	6d		
7 Total credits and payments Add lines 6a through 6d . . . . .	7	1,921.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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	104.	
11 Enter the amount of line 10 to be Credited to 2013 estimated tax <input type="checkbox"/> 104. Refunded <input type="checkbox"/> <input type="checkbox"/>	11		

**Part VII-A Statements Regarding Activities**

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? . . . . .		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? . . . . .		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .		X
If "Yes," attach a detailed description of the activities.		
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes . . . . .		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .		X
b If "Yes," has it filed a tax return on Form 990-T for this year? . . . . .		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .		X
If "Yes," attach the statement required by General Instruction T.		
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> NY, _____		
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 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If "Yes," complete Part XIV . . . . .		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses . . . . .		X

Form 990-PF (2012)

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) . . . . .	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) . . . . .	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 ▶ BCRS ASSOCIATES, LLC Telephone no ▶ 212-440-0800			
Located at ▶ 77 WATER STREET, 9TH FLOOR, NEW YORK, NY ZIP+4 ▶ 10005				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here . . . . .	15		
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? . . . . .	16	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ▶				X

**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? . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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)? . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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.) . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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 instructions)? . . . . .	1b	N/A
Organizations relying on a current notice regarding disaster assistance check here . . . . . ▶ <input type="checkbox"/>		
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 2012? . . . . .	1c	N/A
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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If "Yes," list the years ▶		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) . . . . .	2b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? . . . . .	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b If "Yes," did it have excess business holdings in 2012 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 2012.) . . . . .	3b	N/A
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 2012? . . . . .	4b	X

Form 990-PF (2012)

**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 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 instructions)?

5b

N/A

Organizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

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

6b

X

If "Yes" to 6b, file Form 8870

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

7b

N/A

**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?**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 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
ATCH 10		18,000.	0	0

**2** Compensation of five highest-paid employees (other than those included on line 1 - see 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** ☐

Form 990-PF (2012)

**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 instructions). If none, enter "NONE."**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE	NONE	NONE
Total number of others receiving over \$50,000 for professional services . . . . .		▶

**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 PLEASE NOTE, THE FOUNDATION IS NOT INVOLVED IN ANY DIRECT CHARITABLE ACTIVITIES. ITS PRIMARY PURPOSE IS TO SUPPORT, BY CONTRIBUTIONS, OTHER ORGANIZATIONS EXEMPT UNDER SECTION 501(C)(3) OF THE INTERNAL REVENUE CODE.	NONE
2	
3	
4	

**Part IX-B Summary of Program-Related Investments (see instructions)**

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

	Amount
1 N/A	NONE
2 N/A	
All other program-related investments See instructions	
3 N/A	
Total. Add lines 1 through 3 . . . . .	▶

Form 990-PF (2012)



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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	5,899,866.
b	Average of monthly cash balances	1b	1,687,951.
c	Fair market value of all other assets (see instructions)	1c	NONE
d	Total (add lines 1a, b, and c)	1d	7,587,817.
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	
3	Subtract line 2 from line 1d	3	7,587,817.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	113,817.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	7,474,000.
6	Minimum investment return. Enter 5% of line 5	6	373,700.

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

1	Minimum investment return from Part X, line 6	1	373,700.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	1,817.
b	Income tax for 2012. (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	1,817.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	371,883.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	371,883.
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	371,883.

**Part XII Qualifying Distributions** (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	788,341.
b	Program-related investments - total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	788,341.
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 instructions)	5	1,817.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	786,524.

**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 instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7 . . . . .				371,883.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only . . . . .			NONE	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2012				
a From 2007 . . . . .	379,471.			
b From 2008 . . . . .	151,872.			
c From 2009 . . . . .	335,485.			
d From 2010 . . . . .	95,384.			
e From 2011 . . . . .	268,457.			
f Total of lines 3a through e . . . . .	1,230,669.			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 788,341.				
a Applied to 2011, but not more than line 2a . . . . .				
b Applied to undistributed income of prior years (Election required - see instructions) . . . . .				
c Treated as distributions out of corpus (Election required - see instructions) . . . . .				
d Applied to 2012 distributable amount . . . . .				371,883.
e Remaining amount distributed out of corpus . . . . .	416,458.			
5 Excess distributions carryover applied to 2012 (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	1,647,127.			
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 instructions . . . . .				
e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount - see instructions . . . . .			NONE	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013 . . . . .				NONE
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . .				
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions) . . . . .	379,471.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a . . . . .	1,267,656.			
10 Analysis of line 9				
a Excess from 2008 . . . . .	151,872.			
b Excess from 2009 . . . . .	335,485.			
c Excess from 2010 . . . . .	95,384.			
d Excess from 2011 . . . . .	268,457.			
e Excess from 2012 . . . . .	416,458.			

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9)

NOT APPLICABLE

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling . . . . .

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

4942(j)(3) or 4942(j)(5)

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

Tax year	Prior 3 years			(e) Total
	(a) 2012	(b) 2011	(c) 2010	(d) 2009
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 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).)

NONE

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 instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a The name, address, and telephone number or e-mail 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**

<div>Recipient</div> <div>Name and address (home or business)</div>	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
<b>a</b> <i>Paid during the year</i> SEE LIST ATTACHED				771,883.
<b>Total</b> .....			▶ <b>3a</b>	771,883.
<b>b</b> <i>Approved for future payment</i>				
<b>Total</b> .....			▶ <b>3b</b>	

**Part XVI-A Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See 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	2,174.	
4	Dividends and interest from securities . . . . .			14	193,381.	
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	40,299.	
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) . . . . .				235,854.	
13	Total. Add line 12, columns (b), (d), and (e) . . . . .					235,854.

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

**Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes**[illegible]

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

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

[illegible]

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

(a) Name of organization	(b) Type of organization	(c) Description of relationship
	N/A	

**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) is based on all information of which preparer has any knowledge.

Signature of officer or trustee

07/05/13  
Date

**TRUSTEE**  
Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

**Paid  
Preparer  
Use Only**

Print/Type preparer's name
----------------------------

WILLIAM RABETZ

Preparer's signature

Will K. H.

Date	
------	--

6/21/13

Check
-------

self-employed

PTIN

P00963994

Firm's name ► BCRS ASSOCIATES, LLC

Firm's EIN ► 13-4078147

Firm's address ► 77 WATER STREET, 9TH FLOOR  
NEW YORK, NY

10005

Phone no 212-440-0800

**Schedule B**(Form 990, 990-EZ,  
or 990-PF)  
Department of the Treasury  
Internal Revenue Service**Schedule of Contributors**

► Attach to Form 990, Form 990-EZ, or Form 990-PF.

OMB No 1545-0047

**2012**

Name of the organization

DOTY FAMILY FOUNDATION

Employer identification number

13-2921496

Organization type (check one):

**Filers of:****Section:**

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒
- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐
- For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

- ☐
- For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use
- exclusively*
- for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

- ☐
- For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use
- exclusively*
- for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an
- exclusively*
- religious, charitable, etc., purpose. Do not complete any of the parts unless the
- General Rule**
- applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year . . . . . ► \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990; or check the box on line H of its Form 990-EZ or on Part I, line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2012)

Name of organization DOTY FAMILY FOUNDATION

Employer identification number  
13-2921496**Part I** Contributors (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ESTATE OF GEORGE E. DOTY C/O BCRS ASSOC, LLC; 77 WATER ST-9TH FL NEW YORK, NY 10005	\$ 3,000,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
2	GEORGE E. DOTY 401(K) C/O BCRS ASSOC, LLC; 77 WATER ST-9TH FL NEW YORK, NY 10005	\$ 33,740.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
3	GEORGE E. DOTY 401(K) C/O BCRS ASSOC, LLC; 77 WATER ST-9TH FL NEW YORK, NY 10005	\$ 261,870.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
4	GEORGE E. DOTY 401(K) C/O BCRS ASSOC, LLC; 77 WATER ST-9TH FL NEW YORK, NY 10005	\$ 65,145.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)



Name of organization DOTY FAMILY FOUNDATION

Employer identification number

13-2921496

**Part II** Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
---	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
---	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
---	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
---	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
---	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
---	----- ----- ----- -----	\$ -----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
---	----- ----- ----- -----	\$ -----	-----

Name of organization DOTY FAMILY FOUNDATION

Employer identification number

13-2921496

**Part III** Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry.For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ► \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----		----- ----- -----
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----		----- ----- -----
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----		----- ----- -----
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
---	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- -----		----- ----- -----

**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 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis	Gain or (loss)	
		TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS				12,871.	
508,904.		SEE REALIZED G(L) REPORT ATTACHED PROPERTY TYPE: SECURITIES 482,318.				VARIOUS	VARIOUS
16,107.		SEE REALIZED G(L) REPORT ATTACHED PROPERTY TYPE: SECURITIES 15,265.				26,586.	
						VARIOUS	VARIOUS
						842.	
TOTAL GAIN(LOSS) .....						<u>40,299.</u>	

**DOTY FAMILY FOUNDATION**

**13-2921496**

**SUPPLEMENTARY STATEMENTS**

**PART: XV**

**LINE: 2**

**SUPPLEMENTAL INFORMATION**

THE ORGANIZATION'S PRIMARY ACTIVITY IS TO SUPPORT, BY CONTRIBUTIONS,  
OTHER ORGANIZATIONS QUALIFYING FOR EXEMPTION UNDER SECTION 501(c)(3)  
OF THE INTERNAL REVENUE CODE THE TRUSTEES CHOOSE THESE ORGANI-  
ZATIONS BASED UPON THEIR KNOWLEDGE OF THE ORGANIZATIONS' ACTIVITIES  
NO CONTRIBUTIONS, GRANTS, GIFTS, LOANS OR SCHOLARSHIPS ARE MADE TO  
INDIVIDUALS THE ORGANIZATION DOES NOT PRESENTLY RECEIVE APPLICA-  
TIONS OR CONDUCT PROGRAMS FOR DONATIONS IN ITS ACTIVITIES

ATTACHMENT 1FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>
INTEREST ON CREDIT BALANCE	2,164.	2,164.	
INTEREST ON CHECKING	10.	10.	
TOTAL	<u>2,174.</u>	<u>2,174.</u>	

ATTACHMENT 2FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>
DIVIDENDS THRU MERRILL LYNCH	135,112.	135,112.	
INTEREST ON BONDS THRU MERRILL LYNCH	49,259.	49,259.	
DIVIDENDS - THORNBURG INT'L FD CL A	3,073.	3,073.	
DIVIDENDS - TEMPLETON GLOBAL BOND FD	5,937.	5,937.	
TOTAL	<u>193,381.</u>	<u>193,381.</u>	

ATTACHMENT 3

FORM 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>
BCRS ASSOCIATES, LLC	7,400.	3,700.		3,700.
TOTALS	<u>7,400.</u>	<u>3,700.</u>		<u>3,700.</u>

ATTACHMENT 4

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	36,174.	36,174.		
ANNUAL FEE-MERRILL LYNCH	150.	150.		
TOTALS	<u>36,324.</u>	<u>36,324.</u>		



ATTACHMENT 5

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
FEDERAL TAX PAID: - 2ND QTR EST FYE 2/28/2013	1,400.			
TOTALS	<u>1,400.</u>			

ATTACHMENT 6FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
TRAVEL EXPENSES	250.			250.
PUBLICATION NOTICE FEE	130.			130.
FOREIGN TAX PAID	658.	658.		
BANK CHARGES	345.			345.
FADICA ANNUAL MEMBERSHIP DUES	7,500.			7,500.
OFFICE EXPENSE	33.			33.
TOTALS	8,916.	658.		8,258.

ATTACHMENT 7

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
SEE LONG POSITION ATTACHED	4,195,504.	4,310,408.	5,436,358.
TOTALS	<u>4,195,504.</u>	<u>4,310,408.</u>	<u>5,436,358.</u>

ATTACHMENT 8FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
ML BANK DEPOSIT PROGRAM	386,491.	1,778,055.	1,778,055.
THORNBURG INT'L VALUE FD CL A	309,319.	312,392.	318,422.
TEMPLETON GLOBAL BOND FD CL C	262,602.	NONE	NONE
TEMPLETON GLOBAL BOND FD CL A	NONE	1,010,839.	1,018,945.
TOTALS	<u>958,412.</u>	<u>3,101,286.</u>	<u>3,115,422.</u>

ATTACHMENT 9FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
ROUNDING	1.
TOTAL	<u>1.</u>

DOTY FAMILY FOUNDATION

13-2921496

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

ATTACHMENT 10

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
BARBARA E. DOTY C/O BCRS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TREASURER / PART-TIME	0	0	0
CHRISTOPHER S. DOTY C/O BCRS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TRUSTEE / PART-TIME	0	0	0
WILLIAM W. DOTY C/O BCRS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TRUSTEE / PART-TIME	0	0	0
ANNE MARIE PAINE C/O BCRS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	CHAIR & SECRETARY / PART-TIME	18,000.	0	0
VIRGINIA M. DOTY C/O BCRS ASSOCIATES, LLC 77 WATER STREET, 9TH FLOOR NEW YORK, NY 10005	TRUSTEE / PART-TIME	0	0	0
GRAND TOTALS		18,000.	0	0

**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.  
▶ Information about Schedule D (Form 1041) and its separate instructions is at  
[www.irs.gov/form1041](http://www.irs.gov/form1041).

OMB No 1545-0092

**2012**

Name of estate or trust

DOTY FAMILY FOUNDATION

Employer identification number

13-2921496

**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 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	842.
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 2011 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	842.

**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 instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a LONG-TERM CAPITAL GAIN DIVIDENDS					12,871.

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	26,586.
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	
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2011 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	39,457.

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

Schedule D (Form 1041) 2012

<b>Part III Summary of Parts I and II</b>		(1) Beneficiaries' (see instr)	(2) Estate's or trust's	(3) Total
<b>Caution: Read the instructions before completing this part.</b>				
<b>13</b>	<b>Net short-term gain or (loss)</b> . . . . .	<b>13</b>		842.
<b>14</b>	<b>Net long-term gain or (loss):</b>			
a	Total for year . . . . .	<b>14a</b>		39,457.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht.) . . . . .	<b>14b</b>		
c	28% rate gain . . . . .	<b>14c</b>		
<b>15</b>	<b>Total net gain or (loss).</b> Combine lines 13 and 14a . . . . .	<b>15</b>		40,299.

**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:

a The loss on line 15, column (3) or b \$3,000 **16** ( )

**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** in 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 **Schedule D Tax Worksheet** in 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 **Schedule D Tax Worksheet** in the instructions if either line 14b, col. (2) or line 14c, col. (2) is more than zero.

<b>17</b>	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34) . . . . .	<b>17</b>	
<b>18</b>	Enter the <b>smaller</b> of line 14a or 15 in column (2) but not less than zero. . . . .	<b>18</b>	
<b>19</b>	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) . . . . .	<b>19</b>	
<b>20</b>	Add lines 18 and 19 . . . . .	<b>20</b>	
<b>21</b>	If the estate or trust is filing Form 4952, enter the amount from line 4g, otherwise, enter -0- . . . . .	<b>21</b>	
<b>22</b>	Subtract line 21 from line 20. If zero or less, enter -0- . . . . .	<b>22</b>	
<b>23</b>	Subtract line 22 from line 17. If zero or less, enter -0- . . . . .	<b>23</b>	
<b>24</b>	Enter the <b>smaller</b> of the amount on line 17 or \$2,400 . . . . .	<b>24</b>	
<b>25</b>	Is the amount on line 23 equal to or more than the amount on line 24? <input type="checkbox"/> <b>Yes.</b> Skip lines 25 and 26; go to line 27 and check the "No" box <input type="checkbox"/> <b>No.</b> Enter the amount from line 23. . . . .	<b>25</b>	
<b>26</b>	Subtract line 25 from line 24. . . . .	<b>26</b>	
<b>27</b>	Are the amounts on lines 22 and 26 the same? <input type="checkbox"/> <b>Yes.</b> Skip lines 27 thru 30, go to line 31 <input type="checkbox"/> <b>No.</b> Enter the smaller of line 17 or line 22 . . . . .	<b>27</b>	
<b>28</b>	Enter the amount from line 26 (If line 26 is blank, enter -0-) . . . . .	<b>28</b>	
<b>29</b>	Subtract line 28 from line 27 . . . . .	<b>29</b>	
<b>30</b>	Multiply line 29 by 15% (.15) . . . . .	<b>30</b>	
<b>31</b>	Figure the tax on the amount on line 23. Use the 2012 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) . . . . .	<b>31</b>	
<b>32</b>	Add lines 30 and 31 . . . . .	<b>32</b>	
<b>33</b>	Figure the tax on the amount on line 17. Use the 2012 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) . . . . .	<b>33</b>	
<b>34</b>	<b>Tax on all taxable income.</b> Enter the <b>smaller</b> of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36) . . . . .	<b>34</b>	

Schedule D (Form 1041) 2012



Department of the Treasury  
Internal Revenue Service

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

▶ Information about Schedule D (Form 1041) and its separate instructions is at [www.irs.gov/form1041](http://www.irs.gov/form1041).

OMB No 1545-0092

2012

DOTY FAMILY FOUNDATION

**Employer identification number**  
13-2921496

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

[illegible]

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . 842.

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

Schedule D-1 (Form 1041) 2012

JSA  
2F1221 2 000

V 12-5F

PAGE 31



**THE DOTY FAMILY FOUNDATION**  
**CHARITABLE CONTRIBUTIONS**  
**FYE 2/28/2013**  
**EIN: 13-2921496**

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
3/5/2012	St. Lawrence Church	Shelton	CT	\$600.00
3/13/2012	St. Lawrence Church	Shelton	CT	\$750.00
3/14/2012	The Dalton School	New York	NY	\$1,875.00
3/16/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$150.00
3/19/2012	School of the Holy Child	Rye	NY	\$300.00
3/19/2012	National Kidney Foundation	New York	NY	\$300.00
3/22/2012	MATHCOUNTS	Alexandria	VA	\$1,875.00
3/28/2012	Heartsong	White Plains	NY	\$375.00
3/30/2012	Heifer International	Little Rock	AR	\$720.00
4/2/2012	St. Lawrence Church	Shelton	CT	\$600.00
4/3/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$750.00
4/3/2012	Abbey of Regina Laudis	Bethlehem	CT	\$750.00
4/4/2012	Morgan Library & Museum	New York	NY	\$375.00
4/5/2012	St. Joseph Church	West Orange	NJ	\$150.00
4/9/2012	Connecticut Coalition to End Homelessness	Hartford	CT	\$1,800.00
4/9/2012	Greenwich Council, BSA	Greenwich	CT	\$300.00
4/10/2012	The CHEST Foundation/One Breath	Northbrook	IL	\$150.00
4/10/2012	St. Lawrence Church	Shelton	CT	\$375.00
4/13/2012	National MS Society	Houston	TX	\$750.00
4/16/2012	Divine Word Missionaries	Techny	IL	\$150.00
4/19/2012	Catholic Big Sisters and Big Brothers	New York	NY	\$750.00
4/20/2012	Parkinson's Unity Walk	Kingston	NJ	\$375.00
4/24/2012	Greenwich Council, BSA	Greenwich	CT	\$750.00
4/26/2012	St. Lawrence Church	Shelton	CT	\$1,500.00
4/26/2012	The Public Theater	New York	NY	\$3,000.00
4/27/2012	Annual Bishop's Appeal	Bridgeport	CT	\$375.00
4/30/2012	March of Dimes	Greenville	SC	\$750.00
4/30/2012	St. Vincent's of Westchester	Harrison	NY	\$375.00
5/2/2012	Church of St. Jean Baptiste	New York	NY	\$600.00
5/7/2012	St. Lawrence Church	Shelton	CT	\$600.00
5/21/2012	Greenwich Council, BSA	Greenwich	CT	\$750.00
5/23/2012	Church of the Resurrection	Rye	NY	\$3,750.00
5/24/2012	Student Advocacy	Elmsford	NY	\$750.00
5/30/2012	St. Lawrence Church	Shelton	CT	\$3,000.00
6/1/2012	World Vision/Women of Vision	Houston	TX	\$375.00
6/1/2012	Greenwich Council, BSA	Greenwich	CT	\$750.00
6/8/2012	Greenwich Council, BSA	Greenwich	CT	\$750.00
6/8/2012	St. Vincent's of Westchester	Harrison	NY	\$11,631.60
6/11/2012	St. Lawrence Church	Shelton	CT	\$600.00
6/21/2012	Asian Relief, Inc.	Annapolis	MD	\$6,019.56
6/26/2012	Columbia Business School	New York	NY	\$3,750.00
6/27/2012	Amherst College Annual Fund	Amherst	MA	\$1,500.00
7/2/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$6,000.00
7/2/2012	St. Lawrence Church	Shelton	CT	\$600.00
7/3/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$1,125.00
7/9/2012	Lotus 88	Westminster	CO	\$375.00
7/9/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$3,750.00
7/11/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$3,750.00

**THE DOTY FAMILY FOUNDATION**  
**CHARITABLE CONTRIBUTIONS**  
**FYE 2/28/2013**  
**EIN: 13-2921496**

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
7/17/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$750.00
8/2/2012	Collegiate School	New York	NY	\$750.00
8/10/2012	Museum of Jewish Heritage	New York	NY	\$375.00
8/13/2012	St. Lawrence Church	Shelton	CT	\$600.00
8/16/2012	Catholic Near East Welfare Association	New York	NY	\$44,724.00
8/21/2012	Greenwich Council, BSA	Greenwich	CT	\$750.00
8/24/2012	Columbian Sisters	Silver Lake	NY	\$300.00
8/24/2012	Greenwich Council, BSA	Greenwich	CT	\$750.00
9/12/2012	Alfred E. Smith Memorial Foundation	New York	NY	\$11,250.00
9/17/2012	St. Lawrence Church	Shelton	CT	\$600.00
9/21/2012	Church of the Resurrection	Rye	NY	\$120,550.50
9/27/2012	Association of Alumnae (University of Pennsylvania)	Philadelphia	PA	\$225.00
9/28/2012	Leukemia & Lymphoma Society	White Plains	NY	\$150.00
10/1/2012	Equestrian Order of the Holy Sepulchre	New York	NY	\$50,000.00
10/2/2012	Robert Louis Stevenson School	New York	NY	\$750.00
10/3/2012	Archdiocese of New York	New York	NY	\$50,000.00
10/3/2012	Archdiocese of New York	New York	NY	\$50,000.00
10/4/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$1,875.00
10/9/2012	St. Lawrence Church	Shelton	CT	\$600.00
10/10/2012	The CHEST Foundation/One Breath	Northbrook	IL	\$150.00
10/10/2012	St. Mary's Healthcare System	Bayside	NY	\$150.00
10/11/2012	New York Youth Symphony	New York	NY	\$4,125.00
10/15/2012	Bethlehem University	Washington	DC	\$15,029.13
10/18/2012	Amherst College Annual Fund	Amherst	MA	\$3,750.00
10/18/2012	Grace Church Community Center	White Plains	NY	\$13,579.20
10/19/2012	Connecticut Food Bank	Fairfield	CT	\$3,750.00
10/19/2012	Young Patrons of Lincoln Center	New York	NY	\$600.00
10/26/2012	Pregnancy Help, Inc.	New York	NY	\$1,000.00
10/29/2012	Morality in the Media	Washington	DC	\$5,000.00
10/31/2012	POTS	Bronx	NY	\$2,500.00
11/2/2012	The Mary Fund	Stamford	CT	\$5,000.00
11/5/2012	Association to Benefit Children	New York	NY	\$375.00
11/5/2012	New York Historical Society	New York	NY	\$1,500.00
11/6/2012	Pregnancy Care Center	New Rochelle	NY	\$1,000.00
11/6/2012	Carver Center	Port Chester	NY	\$1,000.00
11/7/2012	St. Luke Church	Bronx	NY	\$5,000.00
11/8/2012	Catholic Big Sisters and Big Brothers	New York	NY	\$750.00
11/8/2012	Collegiate School	New York	NY	\$5,000.00
11/9/2012	Catholic Near East Welfare Association	New York	NY	\$750.00
11/9/2012	Metropolitan Opera	New York	NY	\$7,500.00
11/13/2012	MATHCOUNTS	Alexandria	VA	\$3,000.00
11/13/2012	St. Lawrence Church	Shelton	CT	\$600.00
11/13/2012	Cambridge in America	New York	NY	\$1,500.00
11/19/2012	St. Lawrence Church	Shelton	CT	\$975.00
11/26/2012	Society for the Propagation of the Faith	Syracuse	NY	\$5,000.00
11/26/2012	Catholic Charities	New York	NY	\$3,750.00
12/3/2012	St. Lawrence Church	Shelton	CT	\$600.00
12/4/2012	Liberty Street Relief Fund	New York	NY	\$300.00

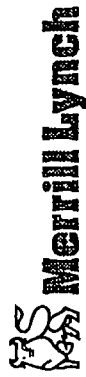
**THE DOTY FAMILY FOUNDATION**  
**CHARITABLE CONTRIBUTIONS**  
**FYE 2/28/2013**  
**EIN: 13-2921496**

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
12/6/2012	St. Vincent's of Westchester	Harrison	NY	\$37,554.00
12/7/2012	Georgetown University	Washington	DC	\$375.00
12/13/2012	St David's Episcopal Church	Washington	DC	\$750.00
12/14/2012	The Webster House	Manchester	NH	\$750.00
12/14/2012	Gilman School	Baltimore	MD	\$300.00
12/17/2012	Cambridge in America	New York	NY	\$3,750.00
12/17/2012	New York City Ballet	New York	NY	\$375.00
12/17/2012	St. Lawrence Church	Shelton	CT	\$9,000.00
12/17/2012	St. John the Martyr Church	New York	NY	\$7,500 00
12/18/2012	Sag Harbor Community Food Pantry	Sag Harbor	NY	\$187.50
12/18/2012	Cathedral of Mary Our Queen	Baltimore	MD	\$3,750.00
12/19/2012	Sisters of Mary	Annapolis	MD	\$1,500 00
12/19/2012	The Metropolitan Opera	New York	NY	\$750 00
12/19/2012	FISH of Stamford, Inc.	Stamford	CT	\$375.00
12/19/2012	St, Andrew Church	Sag Harbor	NY	\$3,750.00
12/19/2012	Homefront, Inc.	Lawrenceville	NJ	\$300.00
12/20/2012	Catholic Big Sisters and Big Brothers	New York	NY	\$1,875.00
12/20/2012	Divine Word Missionaries	Techny	IL	\$375.00
12/20/2012	School of the Holy Child	Rye	NY	\$750.00
12/20/2012	Rosemont College	Rosemont	PA	\$750.00
12/20/2012	Carnegie Hall Society	New York	NY	\$375.00
12/20/2012	Foundation for Classical Studies in Jurisprudence	Westport	CT	\$7,500.00
12/20/2012	Georgetown University	Washington	DC	\$750 00
12/20/2012	Mount Carmel Guild	Trenton	NJ	\$150.00
12/21/2012	Cormaria Retreat House	Sag Harbor	NY	\$750.00
12/21/2012	Penn Medicine Friends Fund	Philadelphia	PA	\$7,500.00
12/21/2012	Trustees of the University of Pennsylvania	Philadelphia	PA	\$75,000.00
12/21/2012	College of Mount Saint Vincent	Riverdale	NY	\$3,750.00
12/21/2012	New York Philharmonic	New York	NY	\$750 00
12/21/2012	Amherst College Annual Fund	Amherst	MA	\$750.00
12/21/2012	Amherst College Board of Trustees	Amherst	MA	\$750.00
12/21/2012	Catholic Charities Diocese of Brooklyn & Queens	Brooklyn	NY	\$750.00
12/21/2012	Boy Scouts of America CNJC	Dayton	NJ	\$150.00
12/21/2012	St Lawrence Church	Shelton	CT	\$750.00
12/24/2012	PEI Kids	Lawrenceville	NJ	\$300.00
12/27/2012	Trenton Area Soup Kitchen	Trenton	NJ	\$300.00
12/28/2012	Little Sisters of the Assumption	New York	NY	\$750.00
12/28/2012	Connecticut Yankee Council	Milford	CT	\$750.00
12/31/2012	Church of St. Ignatius Loyola	New York	NY	\$750.00
12/31/2012	Several Sources Shelters	Ramsey	NJ	\$150 00
1/2/2013	St. Rose of Lima Church	Newtown	CT	\$1,500.00
1/3/2013	Collegiate School	New York	NY	\$1,875.00
1/3/2013	Collegiate School	New York	NY	\$750.00
1/3/2013	Babson College	Babson	MA	\$300.00
1/7/2013	St. Lawrence Church	Shelton	CT	\$600.00
1/8/2013	Columbia Business School	New York	NY	\$3,750.00
1/8/2013	The Build Now Foundation, Inc.	New Orleans	LA	\$750.00
1/8/2013	Yale Law School Fund	New Haven	CT	\$750.00

**THE DOTY FAMILY FOUNDATION**  
**CHARITABLE CONTRIBUTIONS**  
**FYE 2/28/2013**  
**EIN: 13-2921496**

DATE	NAME OF ORGANIZATION	CITY	STATE	AMOUNT
1/10/2013	The Dalton School	New York	NY	\$1,875.00
1/10/2013	Lourdes Health Foundation	Camden	NJ	\$750.00
1/11/2013	Tunnel to Towers Foundation	Staten Island	NY	\$1,875.00
1/11/2013	Foundation for Classical Studies in Jurisprudence	Westport	CT	\$750.00
1/15/2013	Catholic Near East (Marie Doty Park)	New York	NY	\$30,000.00
1/16/2013	Greenwich Council, BSA	Greenwich	CT	\$3,750.00
1/23/2013	STEM Advantage	Coto de Caza	CA	\$750.00
1/24/2013	Hospice of the Valley	Phoenix	AZ	\$300.00
1/24/2013	Asian Relief, Inc.	Annapolis	MD	\$750.00
1/25/2013	St. Paul Church	Princeton	NJ	\$7,500.00
1/30/2013	Say Yes to Education	New York	NY	\$937.50
2/4/2013	Loyola School	New York	NY	\$750.00
2/4/2013	National MS Society	Houston	TX	\$900.00
2/4/2013	St. Lawrence Church	Shelton	CT	\$600.00
2/5/2013	Metropolitan Museum of Art	New York	NY	\$450.00
2/8/2013	Mount Sinai AHC	New York	NY	\$7,500.00
2/12/2013	Mickey Straus Campaign for Guild Hall	East Hampton	NY	\$750.00
2/15/2013	Bishop's Annual Appeal	Bridgeport	CT	\$375.00
2/15/2013	Fordham University	Bronx	NY	\$10,000.00
2/15/2013	College of Mount Saint Vincent	Riverdale	NY	\$7,500.00
2/19/2013	Foodshare	Bloomfield	CT	\$1,875.00
2/21/2013	Gracie Mansion Conservancy	New York	NY	\$1,500.00
2/22/2013	Bishop's Annual Appeal	Trenton	NJ	\$1,500.00
2/28/2013	Church of the Good Shepherd	Denver	CO	\$150.00
2/28/2013	Cristo Rey New York High School	New York	NY	\$1,500.00
<b>TOTAL CONTRIBUTIONS PAID *</b>				<b>\$771,882.99</b>

*\* All contributions were made to the general purpose fund of public charitable organizations that were classified under Section 501(c)(3) of the Internal Revenue Code.*



# EMA Fiscal Statement

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
4,000.0000	ORACLE CORP \$0.01 DEL	06/20/07	04/12/12	114,178.89	79,044.28	35,132.61 LT
50,000.0000	CONSOLIDATED EDIS 5.62% '12	01/23/03	07/02/12	50,000.00	50,000.00	0.00 LT
100,000.0000	FEDERAL HOME LN MTG CORP	01/24/03	07/16/12	100,000.00	100,000.00	0.00 LT
18,011.0000	TEMP GLBL BD FD CL C	05/24/11	10/02/12	241,522.55	249,998.03	(8,475.48) LT
59.0000	TEMP GLBL BD FD CL C	06/17/11	10/02/12	791.17	817.15	(25.98) LT
1.0000	TEMP GLBL BD FD CL C	07/19/11	10/02/12	13.40	13.89	(0.49) LT
58.0000	TEMP GLBL BD FD CL C	07/19/11	10/02/12	777.76	806.20	(28.44) LT
59.0000	TEMP GLBL BD FD CL C	08/17/11	10/02/12	791.17	811.25	(20.08) LT
62.0000	TEMP GLBL BD FD CL C	09/19/11	10/02/12	831.40	827.08	4.32 LT
64.0000	TEMP GLBL BD FD CL C	10/19/11	10/02/12	858.22	832.00	26.22 ST
1.0000	TEMP GLBL BD FD CL C	11/17/11	10/02/12	13.40	13.71	(0.31) ST
64.0000	TEMP GLBL BD FD CL C	11/17/11	10/02/12	858.22	824.32	33.90 ST
1.0000	TEMP GLBL BD FD CL C	12/19/11	10/02/12	13.40	12.86	0.54 ST
362.0000	TEMP GLBL BD FD CL C	12/19/11	10/02/12	4,854.33	4,459.83	394.50 ST
1.0000	TEMP GLBL BD FD CL C	12/19/11	10/02/12	13.40	12.32	1.08 ST
117.0000	TEMP GLBL BD FD CL C	01/19/12	10/02/12	1,568.94	1,441.44	127.50 ST
68.0000	TEMP GLBL BD FD CL C	02/17/12	10/02/12	911.86	860.87	50.99 ST
1.0000	TEMP GLBL BD FD CL C	02/17/12	10/02/12	13.40	12.96	0.44 ST
65.0000	TEMP GLBL BD FD CL C	03/19/12	10/02/12	871.64	856.70	14.94 ST
65.0000	TEMP GLBL BD FD CL C	04/18/12	10/02/12	898.45	860.59	11.05 ST
67.0000	TEMP GLBL BD FD CL C	05/17/12	10/02/12	13.40	871.00	27.45 ST
1.0000	TEMP GLBL BD FD CL C	05/17/12	10/02/12	911.87	12.85	0.55 ST
70.0000	TEMP GLBL BD FD CL C	06/19/12	10/02/12	938.69	860.88	50.99 ST
1.0000	TEMP GLBL BD FD CL C	07/18/12	10/02/12	13.40	882.00	56.69 ST
67.0000	TEMP GLBL BD FD CL C	08/17/12	10/02/12	898.46	12.84	0.56 ST
66.0000	TEMP GLBL BD FD CL C	09/19/12	10/02/12	885.06	866.30	32.16 ST
1.0000	TEMP GLBL BD FD CL C	09/19/12	10/02/12	13.41	873.18	11.88 ST
0.1340	TEMP GLBL BD FD CL C	09/19/12	10/02/12	1.80	13.27	0.14 ST
51.0000	TEMP GLBL BD FD CL C	09/19/12	10/02/12	683.92	1.80	0.00
				683.39	683.39	0.53 ST

TOTAL LONG-TERM: \$508,904.34 \$482,317.88 \$26,586.46

TOTAL SHORT-TERM: \$16,106.91 \$15,265.11 \$841.80

GRAND TOTAL: \$525,011.25 \$497,582.99 \$27,428.26

DOTY FAMILY FOUNDATION

February 01, 2013 - February 28, 2013

CORPORATE BONDS	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current Annual Income	Yield%
Δ ALLSTATE CORPORATION 07.500% JUN 15 2013 MOODY'S: A3 S&P: A- CUSIP: 020002AC5 ORIGINAL UNIT/TOTAL COST: 110.8377/55,418.85	06/05/08	50,000	50,348.35	101.9410	50,970.50	622.15	760.42	3,750	7.35
Δ AMERICAN EXPRESS GLB 04.875% JUL 15 2013 MOODY'S: A3 S&P: BBB+ CUSIP: 025816AQ2 ORIGINAL UNIT/TOTAL COST: 100.1907/50,095.35	06/05/08	50,000	50,007.75	101.5770	50,788.50	780.75	291.15	2,438	4.79
CITIGROUP INC SUBORDINATED GLB 05.000% SEP 15 2014 MOODY'S: BAA3 S&P: BBB+ CUSIP: 172967CQ2	06/04/09	50,000	43,569.35	105.1920	52,596.00	9,026.65	1,131.94	2,500	4.75



DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01, 2013 - February 28, 2013

<b>CORPORATE BONDS (continued)</b> <i>Description</i>	<i>Acquired</i>	<i>Quantity</i>	<i>Adjusted/Total Cost Basis</i>	<i>Estimated Market Price</i>	<i>Estimated Market Value</i>	<i>Unrealized Gain/(Loss)</i>	<i>Estimated Accrued Interest</i>	<i>Estimated Current Annual Income</i>	<i>Yield%</i>
Δ HEALTH CARE PPTY INV INC 06.000% MAR 01 2015 MOODY'S: BAA1 S&P: BBB+ CUSIP: 421915EC9 ORIGINAL UNIT/TOTAL COST: 107.0847/53,542.35	06/23/10	50,000	51,601.86	108.9130	54,456.50	2,854.64	1,475.00	3,000	5.50
Δ BANK OF AMERICA CORP GLB 04.500% APR 01 2015 MOODY'S: BAA2 S&P: A- CUSIP: 06051GEB1 ORIGINAL UNIT/TOTAL COST: 101.3967/50,698.35	06/23/10	50,000	50,322.53	106.3550	53,177.50	2,854.97	918.75	2,250	4.23
Δ NABISCO INCORPORATED 07.550% JUN 15 2015 MOODY'S: BAA2 S&P: BBB CUSIP: 629527AU6 ORIGINAL UNIT/TOTAL COST: 123.6183/12,361.83	01/24/03	10,000	10,550.93	114.7910	11,479.10	928.17	153.10	755	6.57
Δ BANK OF AMERICA CORP SUBORDINATED 07.750% AUG 15 2015 MOODY'S: BAA3 S&P: BBB+ CUSIP: 638585AN9 ORIGINAL UNIT/TOTAL COST: 123.3315/49,332.62	01/24/03	40,000	42,326.98	113.3720	45,348.80	3,021.82	111.94	3,100	6.83
Δ JP MORGAN CHASE SUBORDINATED 05.150% OCT 01 2015 MOODY'S: A3 S&P: A- CUSIP: 46625HDF4 ORIGINAL UNIT/TOTAL COST: 100.1817/50,090.85	06/05/09	50,000	50,040.72	109.2860	54,643.00	4,602.28	1,051.46	2,575	4.71
Δ AMERICAN EXPRESS CREDIT NOTES SER MTN 05.300% DEC 02 2015 MOODY'S: A2 S&P: A- CUSIP: 0258M0BZ1 ORIGINAL UNIT/TOTAL COST: 101.8157/50,907.85	09/17/09	50,000	50,437.25	111.9800	55,990.00	5,552.75	633.06	2,650	4.73
CITIGROUP INC GLB 05.300% JAN 07 2016 MOODY'S: BAA2 S&P: A- CUSIP: 172967DE8	09/17/09	50,000	49,430.35	110.6740	55,337.00	5,906.65	375.42	2,650	4.78

+

## YOUR EMA ASSETS

February 01, 2013 - February 28, 2013

DOTY FAMILY FOUNDATION

Corporate Bonds (continued)	Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current Annual Income	Current Yield%
Δ GOLDMAN SACHS GROUP INC	GLB 05.350% JAN 15 2016	09/17/09	50,000	51,006.26	110.8950	55,447.50	4,441.24	319.51	2,675	4.82
	MOODY'S: A3 S&P: A- CUSIP: 38141GEE0									
	ORIGINAL UNIT/TOTAL COST: 104.1047/52,052.35									
GENERAL ELEC CAP CORP	SER MTN GLB 05.375% OCT 20 2016	06/05/08	75,000	74,615.60	113.8940	85,420.50	10,804.90	1,433.33	4,032	4.71
	MOODY'S: A1 S&P: AA+ CUSIP: 36962GY40									
MERRILL LYNCH & CO	GLB 06.400% AUG 28 2017	06/05/09	50,000	46,705.35	117.3970	58,698.50	11,993.15		3,200	5.45
	MOODY'S: BAA2 S&P: A- CUSIP: 59018YJ69									
Δ WALT DISNEY COMPANY	SER MTNB GLB 05.875% DEC 15 2017	06/05/08	50,000	51,310.58	121.8920	60,946.00	9,635.42	595.66	2,938	4.81
	MOODY'S: A2 S&P: A CUSIP: 25468PCB0									
	ORIGINAL UNIT/TOTAL COST: 104.6437/52,321.85									
GOLDMAN SACHS GROUP INC	GLB 05.950% JAN 18 2018	06/05/09	50,000	47,870.85	116.9620	58,481.00	10,610.15	330.56	2,975	5.08
	MOODY'S: A3 S&P: A- CUSIP: 38141GFG4									
PEPSICO INC	SENIOR NOTES 05.000% JUN 01 2018	06/05/08	50,000	49,277.35	118.2220	59,111.00	9,833.65	604.17	2,500	4.22
	MOODY'S: AA3 S&P: A- CUSIP: 713448BH0									
Δ ROYAL BK OF SCOTLAND PLC	BANK GUARANTEED GLB 06.125% JAN 11 2021	05/24/11	75,000	78,759.08	121.0230	90,767.25	12,008.17	599.74	4,594	5.06
	MOODY'S: A3 S&P: A- CUSIP: 78010XAK7									
	ORIGINAL UNIT/TOTAL COST: 105.8791/79,409.35									
Δ ALCOA INC	GLB 05.400% APR 15 2021	05/24/11	50,000	51,181.13	105.0970	52,548.50	1,367.37	997.50	2,700	5.13
	MOODY'S: BAA3 S&P: BBB- CUSIP: 013817AV3									

DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01, 2013 - February 28, 2013

CORPORATE BONDS (continued)										
Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current Annual Income	Yield%	
PAR CALL DATE: 01/15/21 PAR CALL PRICE: 100.00										
ORIGINAL UNIT/TOTAL COST: 102.7607/51,380.35										
TOTAL		900,000	899,362.27		1,006,207.15	106,844.88	11,782.71	51,282	5.10	

PLEASE REFER TO NOTES BELOW FOR INFORMATION REGARDING CREDIT RATINGS.

EQUITIES Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Current Yield%
ACCENTURE PLC SHS	ACN	06/27/11	1,500	57.7801	86,670.25	74.3600	111,540.00	24,869.75	2,431	2.17
AMERICAN WTR WKS CO INC NEW	AWK	12/22/11	3,000	31.8081	95,424.55	39.4500	118,350.00	22,925.45	3,001	2.53
AMGEN INC COM PV \$0.0001	AMGN	03/08/96	758	15.2421	11,553.54	91.5500	69,394.90	57,841.36	1,426	2.05
		06/25/08	992	46.9807	46,604.91	91.5500	90,817.60	44,212.69	1,865	2.05
<b>Subtotal</b>			1,750		58,158.45		160,212.50	102,054.05	3,291	2.05
AT&T INC	T	09/23/09	3,000	27.5412	82,623.85	35.9100	107,730.00	25,106.15	5,400	5.01
AUTOMATIC DATA PROC	ADP	05/24/11	1,500	53.2888	79,933.30	61.3600	92,040.00	12,106.70	2,610	2.83
BANK OF AMERICA CORP	BAC	12/18/09	7,000	15.0506	105,354.65	11.2300	78,610.00	(26,744.65)	281	.35
		09/24/12	5,000	9.1658	45,829.35	11.2300	56,150.00	10,320.65	201	.35
<b>Subtotal</b>			12,000		151,184.00		134,760.00	(16,424.00)	482	.35
BORG WARNER INC COM	BWA	06/17/10	1,500	41.0904	61,635.71	74.4100	111,615.00	49,979.29		
CELGENE CORP COM	CELG	10/26/11	1,500	65.8333	98,750.05	103.2700	154,905.00	56,154.95		
		10/26/11	100	66.3227	6,632.27	103.2700	10,327.00	3,694.73		
<b>Subtotal</b>			1,600		105,382.32		165,232.00	59,849.68		
CHESAPEAKE ENERGY OKLA	CHK	03/19/08	2,000	44.3425	88,685.15	20.1600	40,320.00	(48,365.15)	700	1.73
		09/23/09	1,000	28.8435	28,843.55	20.1600	20,160.00	(8,683.55)	350	1.73
<b>Subtotal</b>			3,000		117,528.70		60,480.00	(57,048.70)	1,050	1.73

**LONG POSITION**

DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01, 2013 - February 28, 2013

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
CISCO SYSTEMS INC COM	CSCO	06/10/03	1,000	17.3690	17,369.01	20.8550	20,855.00	3,485.99	560	2.68
		06/10/03	1,175	17.3690	20,408.58	20.8550	24,504.63	4,096.05	658	2.68
		06/10/03	825	17.3700	14,330.25	20.8550	17,205.38	2,875.13	462	2.68
		06/25/08	1,000	24.9053	24,905.35	20.8550	20,855.00	(4,050.35)	560	2.68
		09/24/12	2,000	18.8201	37,640.35	20.8550	41,710.00	4,069.65	1,120	2.68
<b>Subtotal</b>			6,000		114,653.54		125,130.01	10,476.47	3,360	2.68
CITIGROUP INC COM NEW	C	03/30/00	187	420.8949	78,707.36	41.9700	7,848.39	(70,858.97)	8	.09
		03/19/08	113	205.6756	23,241.35	41.9700	4,742.61	(18,498.74)	5	.09
		09/23/09	700	47.6076	33,325.35	41.9700	29,379.00	(3,946.35)	28	.09
		06/17/10	1,000	40.0033	40,003.35	41.9700	41,970.00	1,966.65	40	.09
		09/24/12	1,000	33.5153	33,515.35	41.9700	41,970.00	8,454.65	40	.09
<b>Subtotal</b>			3,000		208,792.76		125,910.00	(82,882.76)	121	.09
COCA COLA COM	KO	06/20/07	3,000	25.8713	77,614.01	38.7200	116,160.00	38,545.99	3,361	2.89
EMERSON ELEC CO	EMR	09/27/01	2,000	22.9200	45,840.01	56.7000	113,400.00	67,559.99	3,280	2.89
EXXON MOBIL CORP COM	XOM	06/27/06	1,000	59.7237	59,723.76	89.5500	89,550.00	29,826.24	2,281	2.54
GENERAL ELECTRIC	GE	12/16/02	110	26.4000	2,904.00	23.2200	2,554.20	(349.80)	84	3.27
		06/25/08	890	28.3218	25,206.48	23.2200	20,665.80	(4,540.68)	677	3.27
		06/22/09	3,500	11.6615	40,815.35	23.2200	81,270.00	40,454.65	2,660	3.27
		09/23/09	3,000	17.3608	52,082.65	23.2200	69,660.00	17,577.35	2,280	3.27
<b>Subtotal</b>			7,500		121,008.48		174,150.00	53,141.52	5,701	3.27
GILEAD SCIENCES INC COM	GILD	12/22/11	5,000	19.3830	96,915.35	42.7200	213,600.00	116,684.65		
GLAXOSMITHKLINE PLC ADR	GSK	08/23/05	1,722	47.7205	82,174.77	44.0300	75,819.66	(6,355.11)	4,039	5.32
		06/25/08	278	44.7391	12,437.47	44.0300	12,240.34	(197.13)	652	5.32
<b>Subtotal</b>			2,000		94,612.24		88,060.00	(6,552.24)	4,691	5.32

DOTY FAMILY FOUNDATION

## YOUR EMA ASSETS

February 01, 2013 - February 28, 2013

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Current Yield%
INTEL CORP	INTC	03/30/00	750	56.4070	42,305.26	20.8800	15,660.00	(26,645.26)	675	4.31
		12/16/02	3,000	18.1900	54,570.00	20.8800	62,640.00	8,070.00	2,700	4.31
		12/16/02	485	18.2130	8,833.31	20.8800	10,126.80	1,293.49	437	4.31
		12/16/02	15	18.2100	273.15	20.8800	313.20	40.05	14	4.31
<b>Subtotal</b>			4,250		105,981.72		<b>88,740.00</b>	<b>(17,241.72)</b>	<b>3,826</b>	<b>4.31</b>
INTL BUSINESS MACHINES CORP/IBM	IBM	08/14/07	750	112.2653	84,199.01	200.8300	150,622.50	66,423.49	2,551	1.69
LOCKHEED MARTIN CORP	LMT	07/17/12	1,250	87.2481	109,060.23	88.0000	110,000.00	939.77	5,751	5.22
MCDONALDS CORP COM	MCD	12/28/10	1,000	76.2727	76,272.75	95.9000	95,900.00	19,627.25	3,081	3.21
MERCK AND CO INC SHS	MRK	03/28/06 06/25/08	2,000 1,000	35.7798 36.8046	71,559.67 36,804.65	42.7300 42.7300	85,460.00 42,730.00	13,900.33 5,925.35	3,441 1,721	4.02 4.02
<b>Subtotal</b>			3,000		108,364.32		<b>128,190.00</b>	<b>19,825.68</b>	<b>5,162</b>	<b>4.02</b>
MICROSOFT CORP	MSFT	09/29/00 06/22/09	2,277 1,723	30.0824 23.4331	68,497.85 40,375.24	27.8000 27.8000	63,300.60 47,899.40	(5,197.25) 7,524.16	2,095 1,586	3.30 3.30
<b>Subtotal</b>			4,000		108,873.09		<b>111,200.00</b>	<b>2,326.91</b>	<b>3,681</b>	<b>3.30</b>
MONSANTO CO NEW DEL COM	MON	09/23/09 06/17/10	1,000 500	78.1148 50.1087	78,114.85 25,054.35	101.0300 101.0300	101,030.00 50,515.00	22,915.15 25,460.65	1,500 750	1.48 1.48
<b>Subtotal</b>			1,500		103,169.20		<b>151,545.00</b>	<b>48,375.80</b>	<b>2,250</b>	<b>1.48</b>
NATIONAL GRID PLC SP ADR	NGG	11/14/11	2,000	49.8226	99,645.35	55.1000	110,200.00	10,554.65	6,332	5.74
NATIONAL-OILWELL VARCO INC	NOV	12/28/10	1,250	65.4418	81,802.35	68.1300	85,162.50	3,360.15	650	7.6
NOVARTIS ADR	NVS	09/23/09	1,750	49.1821	86,068.78	67.8000	118,650.00	32,581.22	2,878	2.42
OLIN CORP \$1 NEW	OLN	03/26/10	5,000	19.2856	96,428.35	23.1600	115,800.00	19,371.65	4,000	3.45
PEPSICO INC	PEP	05/25/06	1,500	60.4635	90,695.35	75.7700	113,655.00	22,959.65	3,225	2.83
PERKINELMER INC COM	PKI	06/17/10	3,000	22.9201	68,760.55	34.1700	102,510.00	33,749.45	840	.81
PFIZER INC	PFE	09/24/12	5,000	24.7785	123,892.85	27.3700	136,850.00	12,957.15	4,801	3.50

+

LONG POSITION

DOTY FAMILY FOUNDATION

**YOUR EMA ASSETS**

February 01, 2013 - February 28, 2013

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss) Annual	Estimated Current Income Yield%
PRICE T ROWE GROUP INC	TROW	06/17/10	1,600	49.1657	78,665.19	71.1900	113,904.00	35,238.81	2,432 2.13
PROCTER & GAMBLE CO	PG	03/30/00	1,562	29.2379	45,669.66	76.1800	118,993.16	73,323.50	3,512 2.95
SCHLUMBERGER LTD	SLB	06/17/10	1,000	60.6593	60,659.35	77.8500	77,850.00	17,190.65	1,251 1.60
TEXAS INSTRUMENTS	TXN	12/18/09	4,000	25.2032	100,812.95	34.4280	137,712.00	36,899.05	4,481 3.25
UNITED TECHS CORP COM	UTX	06/27/97	1,250	21.2642	26,580.33	90.5500	113,187.50	86,607.17	2,675 2.36
WAL-MART STORES INC	WMT	06/20/07	2,000	48.8716	97,743.35	70.7800	141,560.00	43,816.65	3,760 2.65
<b>TOTAL</b>					3,411,046.01		4,430,151.17	1,019,105.16	108,199 2.44

**TOTAL PORTFOLIO**

\$4,310,408.28

\$5,436,358.32

\$1,125,950.04