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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

2012

Open to Public Inspection

For calendar year 2012, or tax year beginning 12-01-2012 , and ending 11-30-2013

Name of foundation
JOHN & ANNE DUFFY FOUNDATION INC

% JOHN DUFFY

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

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

A Employer identification number
22-2598324

B Telephone number (see 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 ☐

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

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)* ▶$ 4,175,277

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 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)	0			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	113,773	113,773		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	81,157			
	b	Gross sales price for all assets on line 6a 1,422,257				
	7	Capital gain net income (from Part IV, line 2)		81,157		
	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	194,930	194,930		
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)	9,850	4,925	0	4,925
	c	Other professional fees (attach schedule)	29,048	29,048		
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	2,700			
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	390			390
	24	**Total operating and administrative expenses.** Add lines 13 through 23	41,988	33,973	0	5,315
	25	Contributions, gifts, grants paid	69,500			69,500
	26	**Total expenses and disbursements.** Add lines 24 and 25	111,488	33,973	0	74,815
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	83,442			
	b	**Net investment income** (if negative, enter -0-)		160,957		
	c	**Adjusted net income** (if negative, enter -0-)				

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	17,351	17,099	17,099
	2	Savings and temporary cash investments	47,970	129,273	129,273
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	2,995,417	1,297,742	1,973,665
	c	Investments—corporate bonds (attach schedule)	269,730	144,730	133,680
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	0	1,825,066	1,921,560
	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)	3,330,468	3,413,910	4,175,277
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)		0	
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	4,564,747	4,564,747	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	-1,234,279	-1,150,837	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	3,330,468	3,413,910	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	3,330,468	3,413,910	

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	3,330,468
2	Enter amount from Part I, line 27a	2	83,442
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	3,413,910
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	3,413,910

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 Additional Data Table			
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	See Additional Data Table			
b				
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) 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	See Additional Data Table			
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	81,157
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 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))
2011	138,190	3,670,208	0 037652
2010	148,764	3,552,305	0 041878
2009	132,934	3,311,934	0 040138
2008	189,558	2,959,729	0 064046
2007	258,000	4,436,071	0 05816

2	**Total** of line 1, column (d).	2	0 241874
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 048375
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5.	4	3,916,696
5	Multiply line 4 by line 3.	5	189,470
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,610
7	Add lines 5 and 6.	7	191,080
8	Enter qualifying distributions from Part XII, line 4.	8	74,815

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 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 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	3,219
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	3,219
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-		5	3,219
6	Credits/Payments			
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a 4,620		
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments Add lines 6a through 6d		7	4,620
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached		8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	1,401
11	Enter the amount of line 10 to be **Credited to 2013 estimated tax** ▶ 1,401	**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		No
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		No
	*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		No
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		No
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		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	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		No
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	Yes	
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	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see 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	Yes	
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*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		No

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 instructions)	11		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

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

			Yes	No
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		No

See instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes", enter the name of the foreign country ▶

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☑ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	1b		
	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 2012?	1c		No
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? ☐ Yes ☑ No If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____			
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		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____ , 20____ , 20____ , 20____			
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 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		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required *(continued)*

			Yes	No
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**		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No			
	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
	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?	**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 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
JOHN DUFFY 2420 E CAMINO LA ZORRELA TUCSON,AZ 85718	PRESIDENT/TREASURER 0	0	0	0
ANNE DUFFY 2420 E CAMINO LA ZORRELA TUCSON,AZ 85718	VICE PRES/SECRETARY 0	0	0	0
PETER R KELLOGG 39 STEWART ROAD SHORT HILLS,NJ 07078	VICE PRESIDENT 0	0	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

Total number of other employees paid over $50,000 ▶ 0

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
Total number of others receiving over $50,000 for professional services. . . . . ▶		0

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	
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 NOT APPLICABLE	0
2	
All other program-related investments See page 24 of the instructions 3	0
Total. Add lines 1 through 3. . . . . ▶	0

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	1,888,512
b	Average of monthly cash balances	1b	104,271
c	Fair market value of all other assets (see instructions)	1c	1,983,558
d	**Total** (add lines 1a, b, and c)	1d	3,976,341
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	3,976,341
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	59,645
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,916,696
6	**Minimum investment return.** Enter 5% of line 5	6	195,835

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	195,835
2a	Tax on investment income for 2012 from Part VI, line 5	2a	3,219		
b	Income tax for 2012 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	3,219
3	Distributable amount before adjustments Subtract line 2c from line 1			3	192,616
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	192,616
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	192,616

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	74,815
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	74,815
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	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	74,815

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				192,616
2	Undistributed income, if any, as of the end of 2012				
a	Enter amount for 2011 only.			65,146	
b	Total for prior years 2010 , 2009 , 2008				
3	Excess distributions carryover, if any, to 2012				
a	From 2007.				
b	From 2008. 0				
c	From 2009. 0				
d	From 2010. 0				
e	From 2011. 0				
f	**Total** of lines 3a through e.	0			
4	Qualifying distributions for 2012 from Part XII, line 4 ▶ $ 74,815				
a	Applied to 2011, but not more than line 2a			65,146	
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.				9,669
e	Remaining amount distributed out of corpus	0			
5	Excess distributions carryover applied to 2012 *(If an amount appears in column (d), the same amount must be shown in column (a).)*	0			0
6	**Enter the net total of each column as indicated below:**				
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5	0			
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				
f	Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013				182,947
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) . . .				
9	**Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a	0			
10	Analysis of line 9				
a	Excess from 2008. . . .				
b	Excess from 2009. . . . 0				
c	Excess from 2010. . . . 0				
d	Excess from 2011. . . . 0				
e	Excess from 2012. . . . 0				

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

1a 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 organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE SCHEDULE 8 C/O JAD CONSULTING LLC 61 BROADWAY SUITE 512 NEW YORK, NY 10006			THE PURPOSE OF THE CONTRIBUTIONS IS TO AID EACH DONEE ORGANIZATION IN CARRYING OUT ITS EXEMPT FUNCTION	69,500
Total . . . . . ▶ 3a				69,500
b *Approved for future payment*				
Total . . . . . ▶ 3b				

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 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					
4 Dividends and interest from securities. . . .			14	113,773	
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	81,157	
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). .				194,930	

13 Total. Add line 12, columns (b), (d), and (e). 13 194,930

(See worksheet in line 13 instructions 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 instructions)
N/A	N/A

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)		No
	(2) Other assets.	1a(2)		No
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization.	1b(1)		No
	(2) Purchases of assets from a noncharitable exempt organization.	1b(2)		No
	(3) Rental of facilities, equipment, or other assets.	1b(3)		No
	(4) Reimbursement arrangements.	1b(4)		No
	(5) Loans or loan guarantees.	1b(5)		No
	(6) Performance of services or membership or fundraising solicitations.	1b(6)		No
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees.	1c		No

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

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

******	2014-02-21	******
Signature of officer or trustee	Date	Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ▶ ☑	PTIN
JOSEPH DE MAIO CPA	JOSEPH DE MAIO CPA	2014-02-21		

Firm's name ▶	JAD CONSULTING LLC	Firm's EIN ▶
Firm's address ▶	61 BROADWAY SUITE 512 NEW YORK, NY 10006	Phone no (212) 509-3525

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
SEE SCHEDULE 1	P	2011-10-01	2013-11-30
SEE SCHEDULE 2	P	2011-10-01	2013-11-30
SEE SCHEDULE 3	P	2010-10-01	2013-11-30
LEHMAN BROTHERS EQUITY SEC LITGATION	P	2011-10-01	2013-11-30
ENRON'S SEC LITIGATION SETTLEMENT	P	2011-10-01	2013-11-30
COUNTRYWIDE FINANCIAL CORP LITIGATION SETTLEMENT	P	2011-10-01	2013-11-30
BANK OF AMERICA LITIGATION SETTLEMENT	P	2011-10-01	2013-11-30

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
411,558		361,538	50,020
836,123		824,676	11,447
172,061		154,886	17,175
20		0	20
22		0	22
2,468		0	2,468
5		0	5

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			**(l)** 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	
			50,020
			11,447
			17,175
			20
			22
			2,468
			5

TY 2012 Accounting Fees Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
JAD CONSULTING, LLC	9,850	4,925		4,925

TY 2012 All Other Program Related Investments Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Category	Amount
NOT APPLICABLE	0

TY 2012 Depreciation Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

TY 2012 Investments Corporate Bonds Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Name of Bond	End of Year Book Value	End of Year Fair Market Value
SEE SCHEDULE 6	144,730	133,680

TY 2012 Investments Corporate Stock Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Name of Stock	End of Year Book Value	End of Year Fair Market Value
SEE SCHEDULE 4	643,172	872,847
SEE SCHEDULE 5	654,570	1,100,818

TY 2012 Investments - Other Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
SEE SCHEDULE 7		1,701,582	1,798,744
3,800 SHS PROSHARES TR SHORT		123,484	122,816

TY 2012 Land, Etc. Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

TY 2012 Other Expenses Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FILING FEES	390			390

TY 2012 Other Income Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
MISCELLANEOUS INCOME			

TY 2012 Other Professional Fees Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT ADVISORY FEES	29,048	29,048		

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491073007064

TY 2012 Taxes Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAXES	2,700			

/HN ANNE DUFFY FOUNDATION, IN
CHARITABLE CONTRIBUTIONS
12/1/12 THRU 11/30/13

Date	Name	Paid Amount
11/27/2013	THE BRIDGE	500
11/27/2013	WILDLIFE DIRECT	500
11/27/2013	WORLD BICYCLE RELIEF	500
11/27/2013	CORNELIA CONNELLY CENTER	500
11/27/2013	MARY'S MEALS	500
11/27/2013	FONKOZE USA	500
11/27/2013	KALANSOL/IWDC	500
11/27/2013	AMIGOS OF COSTA RICA	1,000
11/27/2013	OXFAM AMERICA	1,000
11/27/2013	PLANNED PARENTHOOD FEDERATION OF AMERICA	1,000
11/27/2013	KIEVE WAVUS ANNUAL FUND	1,500
11/27/2013	WINGS	1,500
11/27/2013	NRDC	2,000
11/27/2013	COMMUNITY FOOD BANK OF NJ	2,000
11/27/2013	COVENANT HOUSE	3,000
11/27/2013	CONVENANT HOUSE CASA ALIANZA NICARAGUA	3,000
11/27/2013	WILLOW SCHOOL	4,000
11/27/2013	KIEVE WARUS NEXT GENERATION	4,000
11/27/2013	SHING HOPE FOR COMMUNITIE KIBERA SCHOOL	4,000
11/27/2013	CONVENANT HOUSE CASA ALIANZA	5,000
11/27/2013	CONVENANT HOUSE CASA ALIANZA NICARAGUA	5,000
11/27/2013	CFNJ SENSORY SOLUTIONS	8,000
11/27/2013	BREAD FOR THE WORLD	10,000
11/27/2013	CANCER RESEARCH & TREATMENT FUND, INC	10,000
	TOTAL	69,500

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

JOHN & ANNE DUFFY FOUNDATION, INC.
BEACON TRUST - #52-00-1954-0-06
NOVEMBER 30, 2013

Post Date			# OF SHARES	PROCEEDS	COST	GAIN/LOSS
12/20/2012		EXXON	36	3,172	2,576	596
12/20/2012		HEINZ	53	3,130	2,549	581
12/10/2012		CISCO	100	1,924	2,094	-170
12/10/2012		DUPONT	362	15,422	17,668	-2,246
12/10/2012		MICROSOFT	100	2,670	3,065	-395
12/10/2012		TRIPADVISOR INC COM	100	3,886	2,201	1,685
1/22/13		ISHARES TR HIGH DIVIDEND EQUITY	230	13,908	13,852	56
1/22/13		MICROSOFT	373	10,107	11,316	-1,209
1/8/13		GENERAL ELECTRIC	50,000	50,000	50,000	0
2/7/13		APPLE INC COM	11	4,965	2,262	2,702
2/4/13		ALEXION PHARMACEUTICALS INC	36	3,439	906	2,533
2/4/13		CELGENE CORP	44	4,313	3,228	1,085
2/4/13		YUM BRANDS INC	152	9,624	6,324	3,300
3/6/13		HEINZ HJ CO COM	311	22,528	15,065	7,463
3/5/13		CHEVRON CORP	17	1,988	1,377	611
3/5/13		GENERAL ELECTRIC	45	1,045	822	223
3/5/13		KRAFT FOODS GROUP	44	2,118	1,438	679
3/5/13		SCHLUMBERGER LTD	29	2,259	917	1,342
3/5/13		UNITED PARCEL SVC	33	2,732	2,292	440
4/23/13		DISCOVER BK GREENWOOD	25,000	24,875	25,000	-125
4/17/13		AKAMAI TECHNOLOGIES INC	186	6,580	5,880	700
5/20/13		ADOBE SYS INC	178	7,963	6,314	1,649
5/15/13		GLAXOSMITHKLINE CAP INC	50,000	50,000	50,000	0
5/1/13		GLAXOSMITHKLINE CAP INC	50,000	50,000	50,000	0
7/16/13		EXPEDIA INC DEL COM	287	18,094	8,200	9,894
8/9/13		QUALCOMM INC COM	287	18,823	18,007	817
8/9/13		COCA COLA CO COM	419	16,899	14,997	1,902
9/24/13		AUTOMATIC DATA PROCESSING INC	142	10,616	5,658	4,958
9/24/13		PFIZER INC COM	739	21,266	15,697	5,568
10/18/2013		EXXON MOBILE CORP	210	18,316	15,599	2,716
10/02/2013		BRISTOL MYERS SQUIBB	191	8,897	6,232	2,665
				411,558	**361,538**	**50,020**

SCHEDULE 1 PG 1 OF 1

JOHN&ANNE DUFFY FOUNDATION , INC.
REALIZED GAIN AND LOSS SCHEDULE
UBS - #BW 15480 35
FISCAL YEAR ENDED 11/30/13

#OF SHARES		DATE ACQUIRED	DATE SOLD	PROCEEDS	COSTS	GAIN/LOSS
2,907.29	PACE MONEY MARKET INVES	10/13/09	01/24/13	2,907	2,907	0
114.54	DOUBLE LINE TOTAL RETURN FU	04/30/12	02/20/13	1,300	1,283	17
102.82	FIRST EAGLE OVERSEAS FUND	08/27/09	02/20/13	2,300	1,941	359
96.37	FRANKLIN/TEMPLETON GLOE	08/27/09	02/20/13	1,300	1,175	125
36.15	OPPENHEIMER DEVELOPING M	08/27/09	02/20/13	1,300	897	403
200	PACE MONEY MARKET INVES	10/13/09	02/20/13	200	200	0
126.58	PIMCO ALL ASSETS ALL AUTH-/	04/30/12	02/20/13	1,400	1,351	49
122.81	PIMCO GLOBAL	08/27/09	02/20/13	1,400	1,344	57
69.26	PIMCO UNCONSTRAINED BOND	03/10/10	02/20/13	800	758	42
299	DOUBLE LINE TOTAL RETURN FU	04/30/12	04/23/13	3,412	3,349	63
188.78	PACE MONEY MARKET	10/13/09	04/23/13	189	189	0
0.26	PACE MONEY MARKET	10/15/09	04/23/13	0	0	0
0.58	PACE MONEY MARKET	11/16/09	04/23/13	1	1	0
0.53	PACE MONEY MARKET	12/15/09	04/23/13	1	1	0
1.43	PACE MONEY MARKET	12/17/09	04/23/13	1	1	0
0.3	PACE MONEY MARKET	12/31/09	04/23/13	0	0	0
0.26	PACE MONEY MARKET	01/14/10	04/23/13	0	0	0
0.61	PACE MONEY MARKET	02/16/10	04/23/13	1	1	0
0.5	PACE MONEY MARKET	03/15/10	04/23/13	1	1	0
0.58	PACE MONEY MARKET	04/15/10	04/23/13	1	1	0
0.59	PACE MONEY MARKET	05/17/10	04/23/13	1	1	0
0.54	PACE MONEY MARKET	06/15/10	04/23/13	1	1	0
0.56	PACE MONEY MARKET	07/15/10	04/23/13	1	1	0
0.12	PACE MONEY MARKET	08/16/10	04/23/13	0	0	0
0.05	PACE MONEY MARKET	09/15/10	04/23/13	0	0	0
0.05	PACE MONEY MARKET	10/14/10	04/23/13	0	0	0
0.06	PACE MONEY MARKET	11/15/10	04/23/13	0	0	0
0.07	PACE MONEY MARKET	12/09/10	04/23/13	0	0	0
0.08	PACE MONEY MARKET	12/29/10	04/23/13	0	0	0
0.04	PACE MONEY MARKET	01/18/11	04/23/13	0	0	0
0.04	PACE MONEY MARKET	02/15/11	04/23/13	0	0	0
0.05	PACE MONEY MARKET	03/15/11	04/23/13	0	0	0
0.05	PACE MONEY MARKET	04/18/11	04/23/13	0	0	0
0.05	PACE MONEY MARKET	05/16/11	04/23/13	0	0	0
0.04	PACE MONEY MARKET	06/15/11	04/23/13	0	0	0
0.05	PACE MONEY MARKET	07/18/11	04/23/13	0	0	0
0.04	PACE MONEY MARKET	08/15/11	04/23/13	0	0	0
0.04	PACE MONEY MARKET	09/15/11	04/23/13	0	0	0

JOHN&ANNE DUFFY FOUNDATION , INC.
REALIZED GAIN AND LOSS SCHEDULE
UBS - #BW 15480 35
FISCAL YEAR ENDED 11/30/13

#OF SHARES		DATE ACQUIRED	DATE SOLD	PROCEEDS	COSTS	GAIN/LOSS
0.05	PACE MONEY MARKET	10/17/11	04/23/13	0	0	0
0.01	PACE MONEY MARKET	11/15/11	04/23/13	0	0	0
48.78	PIMCO ALL ASSETS ALL	04/30/12	07/01/13	500	500	0
319.06	DOUBLE LINE TOTAL RETURN	04/30/12	07/24/13	3,513	3,541	-28
336.9	DOUBLE LINE TOTAL RETURN	04/30/12	10/24/13	3,716	3,741	-25
20,198.77	DOUBLE LINE TOTAL RETURN	04/30/12	11/25/13	221,379	226,226	-4,848
113.87	DOUBLE LINE TOTAL RETURN	05/31/12	11/25/13	1,248	1,274	-26
111.46	DOUBLE LINE TOTAL RETURN	06/29/12	11/25/13	1,222	1,246	-25
108.02	DOUBLE LINE TOTAL RETURN	07/31/12	11/25/13	1,184	1,216	-32
109.8	DOUBLE LINE TOTAL RETURN	08/31/12	11/25/13	1,203	1,244	-41
101.15	DOUBLE LINE TOTAL RETURN	09/28/12	11/25/13	1,109	1,152	-43
100.61	DOUBLE LINE TOTAL RETURN	10/31/12	11/25/13	1,103	1,143	-40
97.23	DOUBLE LINE TOTAL RETURN	11/30/12	11/25/13	1,066	1,104	-38
105.12	DOUBLE LINE TOTAL RETURN	12/31/12	11/25/13	1,152	1,191	-39
85	DOUBLE LINE TOTAL RETURN	01/31/13	11/25/13	932	963	-31
78.99	DOUBLE LINE TOTAL RETURN	02/28/13	11/25/13	866	897	-31
81.99	DOUBLE LINE TOTAL RETURN	03/28/13	11/25/13	899	929	-30
78.22	DOUBLE LINE TOTAL RETURN	04/30/13	11/25/13	857	892	-35
81.84	DOUBLE LINE TOTAL RETURN	05/31/13	11/25/13	897	922	-25
84	DOUBLE LINE TOTAL RETURN	06/28/13	11/25/13	921	942	-21
86.35	DOUBLE LINE TOTAL RETURN	07/31/13	11/25/13	946	963	-16
87.44	DOUBLE LINE TOTAL RETURN	08/30/13	11/25/13	958	951	8
93.02	DOUBLE LINE TOTAL RETURN	09/30/13	11/25/13	1,019	1,034	-15
95.43	DOUBLE LINE TOTAL RETURN	10/31/13	11/25/13	1,046	1,064	-18
4,414.71	FIRST EAGLE OVERSEAS	08/27/09	11/25/13	107,763	83,350	24,413
1,730.32	FIRST EAGLE OVERSEAS	09/16/09	11/25/13	42,237	34,053	8,184
5,707.59	PIMCO GLOBAL	08/27/09	11/25/13	59,131	62,441	-3,310
4,262.88	PIMCO GLOBAL	09/16/09	11/25/13	44,163	48,000	-3,837
1.75	PIMCO GLOBAL	09/17/09	11/25/13	18	20	-2
2,212.39	PIMCO GLOBAL	10/07/09	11/25/13	22,920	25,000	-2,080
2,196.84	PIMCO GLOBAL	10/13/09	11/25/13	22,759	25,000	-2,241
78.16	PIMCO GLOBAL	12/09/09	11/25/13	810	890	-81
110.32	PIMCO GLOBAL	12/09/09	11/25/13	1,143	1,257	-114
650.82	PIMCO GLOBAL	12/30/09	11/25/13	6,743	7,133	-390
46.74	PIMCO GLOBAL	06/17/10	11/25/13	484	509	-25
149.05	PIMCO GLOBAL	09/16/10	11/25/13	1,544	1,695	-151
79.61	PIMCO GLOBAL	12/08/10	11/25/13	825	924	-100
217.81	PIMCO GLOBAL	12/08/10	11/25/13	2,257	2,529	-272

JOHN&ANNE DUFFY FOUNDATION , INC.
REALIZED GAIN AND LOSS SCHEDULE
UBS - #BW 15480 35
FISCAL YEAR ENDED 11/30/13

#OF SHARES		DATE ACQUIRED	DATE SOLD	PROCEEDS	COSTS	GAIN/LOSS
389.86	PIMCO GLOBAL	12/31/10	11/25/13	4,039	4,511	-472
26.56	PIMCO GLOBAL	03/17/11	11/25/13	275	310	-35
82.38	PIMCO GLOBAL	06/16/11	11/25/13	853	974	-120
86.93	PIMCO GLOBAL	09/15/11	11/25/13	901	1,006	-105
87	PIMCO GLOBAL	12/07/11	11/25/13	901	987	-85
152.39	PIMCO GLOBAL	12/07/11	11/25/13	1,579	1,728	-149
613.4	PIMCO GLOBAL	12/28/11	11/25/13	6,355	6,514	-159
6,921.03	PIMCO GLOBAL	04/30/12	11/25/13	71,702	78,000	-6,298
14.15	PIMCO GLOBAL	09/20/12	11/25/13	147	163	-17
94.2	PIMCO GLOBAL	12/12/12	11/25/13	976	1,083	-107
271	PIMCO GLOBAL	12/27/12	11/25/13	2,808	3,087	-279
26.42	PIMCO GLOBAL	12/31/12	11/25/13	274	303	-29
75.58	PIMCO GLOBAL	03/21/13	11/25/13	783	855	-72
73.97	PIMCO GLOBAL	06/20/13	11/25/13	766	766	0
93.03	PIMCO GLOBAL	09/19/13	11/25/13	964	977	-13
13,687.00	PIMCO UNCONSTRAINED BOND	03/10/10	11/25/13	153,431	149,736	3,695
25.1	PIMCO UNCONSTRAINED BOND	03/31/10	11/25/13	281	276	5
40.68	PIMCO UNCONSTRAINED BOND	04/30/10	11/25/13	456	452	4
34.93	PIMCO UNCONSTRAINED BOND	05/28/10	11/25/13	392	385	6
28.62	PIMCO UNCONSTRAINED BOND	06/30/10	11/25/13	321	317	4
25.03	PIMCO UNCONSTRAINED BOND	07/30/10	11/25/13	281	278	3
23.59	PIMCO UNCONSTRAINED BOND	08/31/10	11/25/13	264	266	-1
23.34	PIMCO UNCONSTRAINED BOND	09/30/10	11/25/13	262	264	-2
24.25	PIMCO UNCONSTRAINED BOND	10/29/10	11/25/13	272	274	-3
25.14	PIMCO UNCONSTRAINED BOND	11/30/10	11/25/13	282	282	0
4.05	PIMCO UNCONSTRAINED BOND	12/08/10	11/25/13	45	45	0
26.4	PIMCO UNCONSTRAINED BOND	12/08/10	11/25/13	296	293	3
22.78	PIMCO UNCONSTRAINED BOND	12/31/10	11/25/13	255	253	3
19.92	PIMCO UNCONSTRAINED BOND	01/31/11	11/25/13	223	221	2
16.67	PIMCO UNCONSTRAINED BOND	02/28/11	11/25/13	187	186	1
21.28	PIMCO UNCONSTRAINED BOND	03/31/11	11/25/13	239	238	1
20.39	PIMCO UNCONSTRAINED BOND	04/30/11	11/25/13	229	228	1
24.24	PIMCO UNCONSTRAINED BOND	05/31/11	11/25/13	272	270	2
21.11	PIMCO UNCONSTRAINED BOND	06/30/11	11/25/13	237	234	2
15.45	PIMCO UNCONSTRAINED BOND	07/31/11	11/25/13	173	171	2
11.74	PIMCO UNCONSTRAINED BOND	08/31/11	11/25/13	132	129	2
13.04	PIMCO UNCONSTRAINED BOND	09/30/11	11/25/13	146	143	4
12.42	PIMCO UNCONSTRAINED BOND	10/31/11	11/25/13	139	136	3

JOHN&ANNE DUFFY FOUNDATION , INC.
REALIZED GAIN AND LOSS SCHEDULE
UBS - #BW 15480 35
FISCAL YEAR ENDED 11/30/13

#OF SHARES		DATE ACQUIRED	DATE SOLD	PROCEEDS	COSTS	GAIN/LOSS
15.36	PIMCO UNCONSTRAINED BOND	11/30/11	11/25/13	172	168	5
107.53	PIMCO UNCONSTRAINED BOND	12/28/11	11/25/13	1,205	1,170	35
9.04	PIMCO UNCONSTRAINED BOND	12/30/11	11/25/13	101	98	3
4.82	PIMCO UNCONSTRAINED BOND	01/31/12	11/25/13	54	53	1
15.14	PIMCO UNCONSTRAINED BOND	02/29/12	11/25/13	170	167	3
27.03	PIMCO UNCONSTRAINED BOND	03/30/12	11/25/13	303	298	5
24.46	PIMCO UNCONSTRAINED BOND	04/30/12	11/25/13	274	273	1
25.74	PIMCO UNCONSTRAINED BOND	05/31/12	11/25/13	289	291	-3
19.57	PIMCO UNCONSTRAINED BOND	06/29/12	11/25/13	219	223	-3
9.7	PIMCO UNCONSTRAINED BOND	07/31/12	11/25/13	109	111	-3
7.7	PIMCO UNCONSTRAINED BOND	08/31/12	11/25/13	86	89	-2
6.96	PIMCO UNCONSTRAINED BOND	09/28/12	11/25/13	78	81	-3
9.81	PIMCO UNCONSTRAINED BOND	10/31/12	11/25/13	110	115	-5
11.12	PIMCO UNCONSTRAINED BOND	11/30/12	11/25/13	125	130	-5
17.07	PIMCO UNCONSTRAINED BOND	12/12/12	11/25/13	191	199	-8
249.96	PIMCO UNCONSTRAINED BOND	12/27/12	11/25/13	2,802	2,869	-67
5.96	PIMCO UNCONSTRAINED BOND	12/31/12	11/25/13	67	68	-2
3.85	PIMCO UNCONSTRAINED BOND	01/31/13	11/25/13	43	44	-1
8.16	PIMCO UNCONSTRAINED BOND	02/28/13	11/25/13	91	94	-3
6.92	PIMCO UNCONSTRAINED BOND	03/28/13	11/25/13	78	80	-2
8.98	PIMCO UNCONSTRAINED BOND	04/30/13	11/25/13	101	104	-3
8.79	PIMCO UNCONSTRAINED BOND	05/31/13	11/25/13	99	101	-3
3.95	PIMCO UNCONSTRAINED BOND	06/28/13	11/25/13	44	45	0
3.51	PIMCO UNCONSTRAINED BOND	07/31/13	11/25/13	39	40	0
4.36	PIMCO UNCONSTRAINED BOND	08/30/13	11/25/13	49	49	0
2.16	PIMCO UNCONSTRAINED BOND	09/30/13	11/25/13	24	24	0
1.53	PIMCO UNCONSTRAINED BOND	10/31/13	11/25/13	17	17	0
	TOTAL			836,123	824,676	11,447

JOHN&ANNE DUFFY FOUNDATION , INC.
REALIZED GAIN AND LOSS SCHEDULE
UBS - #BW 16136 35
FISCAL YEAR ENDED 11/30/13

#OF SHARES		DATE ACQUIRED	DATE SOLD	PROCEEDS	COST	GAIN/LOSS
198	CATAMARAN CORP CAD	08/28/09	12/11/12	9,720	4,377	5,343
73	GILEAD SCIENCES INC	04/28/06	12/11/12	5,522	2,105	3,417
24	GILEAD SCIENCES INC	08/02/06	12/11/12	1,816	741	1,075
252	VERIFONE SYSTEMS INC	05/04/11	02/21/13	4,992	12,352	-7,360
19	VERIFONE SYSTEMS INC	04/05/12	02/21/13	376	1,005	-628
135	COACH INC	03/16/11	02/26/13	6,237	6,853	-616
128	COACH INC	10/03/11	02/26/13	5,914	6,687	-773
46	COACH INC	04/05/12	02/26/13	2,125	3,480	-1,355
169	BAXTER INTL INC	12/23/09	04/30/13	11,774	9,929	1,845
152.25	CATAMARAN CORP CAD	08/28/09	05/02/13	7,939	3,366	4,573
27.75	CATAMARAN CORP CAD	04/05/12	05/02/13	1,447	1,336	110
547	AKORN INC	07/11/12	06/12/13	7,477	8,838	-1,361
69	AKORN INC	09/12/12	06/12/13	943	1,000	-56
103	INTL BUSINESS MACH	08/28/09	06/28/13	19,660	12,249	7,411
196	SOLARWINDS INC	04/23/13	07/29/13	7,046	9,597	-2,551
5	APPLE INC	03/10/08	08/02/13	2,290	606	1,684
12	APPLE INC	06/16/08	08/02/13	5,496	2,064	3,432
7	APPLE INC	10/09/08	08/02/13	3,206	639	2,567
330	SOUTHWESTERN ENERGY CO	08/28/09	08/07/13	12,381	12,697	-316
25	SOUTHWESTERN ENERGY CO	04/05/12	08/07/13	938	737	201
10	SOUTHWESTERN ENERGY CO	04/12/12	08/07/13	375	290	85
145	KRAFT FOODS GROUP INC	09/04/12	08/23/13	7,691	6,297	1,394
123	CITRIX SYSTEMS INC	06/17/10	10/08/13	8,340	5,585	2,755
14	CITRIX SYSTEMS INC	04/05/12	10/08/13	949	1,093	-144
2	CITRIX SYSTEMS INC	04/12/12	10/08/13	136	150	-14
537	ARIAD PHARMACEUTICALS INC	04/26/13	10/09/13	2,700	9,709	-7,009
11	ARIAD PHARMACEUTICALS INC	04/30/13	10/09/13	55	196	-141
299	ARIAD PHARMACEUTICALS INC	05/14/13	10/09/13	1,504	5,222	-3,718
38	BAXTER INTL INC	12/23/09	11/01/13	2,492	2,232	260
97	BAXTER INTL INC	03/28/12	11/01/13	6,362	5,790	572
38	BAXTER INTL INC	04/05/12	11/01/13	2,492	2,259	233
126	SALIX PHARMACEUTICALS LTD (DELA)	06/25/12	11/11/13	10,746	6,507	4,239
317	ALTERA CORP	03/25/10	11/21/13	10,005	7,791	2,214
27	ALTERA CORP	04/05/12	11/21/13	852	1,031	-178
2	ALTERA CORP	04/12/12	11/21/13	63	77	-14
	TOTAL			172,061	154,886	17,175

SCHEDULE 3 PG 1 OF 1

BEACON TRUST
A subsidiary of The Provident Bank

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 11/01/13 - 11/30/13

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
EQUITIES						
COMMON STOCK						
MATERIALS						
LYONDELLBASELL INDUSTRIES N V SHS A	254	19,603 72 77.18	15,308 59 60.27	4,295 13	609 00 152 40	3 11%
CF INDS HLDGS INC COM	66	14,347 08 217 38	13,136 45 199.04	1,210 63	264 00	1 84%
SHERWIN WILLIAMS CO COM	38	6,955 14 183 03	5,684.80 149 60	1,270 34	76 00 19 00	1 09%
TOTAL MATERIALS		$ 40,905.94	$ 34,129.84	$ 6,776.10	$ 949.00 $ 171.40	2.32%
INDUSTRIALS						
BOEING CO COM	70	9,397.50 134 25	8,352.14 119 32	1,045.36	135.00 33 95	1 45%
CHICAGO BRIDGE & IRON CO N V NYREGISTRY SH	341	26,147.88 76 68	19,431.77 56 99	6,716 11	68 00	0 26%
CUMMINS INC COM	176	23,295.36 132.36	8,459.91 48.07	14,835 45	440 00 110 00	1 89%

SCHEDULE 4 PG 1 OF 6

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
GENERAL ELEC CO COM	916	24,420.56 26 66	17,278 40 18.86	7,142.16	696 00	2 85%
ILLINOIS TOOL WKS INC COM	309	24,590 22 79.58	18,096 25 58 56	6,493.97	519 00	2 11%
NORTHROP GRUMMAN CORP COM	168	18,930.24 112.68	16,232 97 96 63	2,697 27	409.00 102 48	2 17%
UNITED PARCEL SVC INC CL B	221	22,625.98 102.38	15,773 95 71 38	6,852.03	548 00 137 02	2 42%
TOTAL INDUSTRIALS		**$ 149,407.74**	**$ 103,625.39**	**$ 45,782.35**	**$ 2,815.00** **$ 383.45**	**1.89%**
TELECOMMUNICATION SERVICES						
VERIZON COMMUNICATIONS INC COM	463	22,974 06 49.62	18,282 38 39 49	4,691 68	981 00	4 27%
TOTAL TELECOMMUNICATION SERVICES		**$ 22,974.06**	**$ 18,282.38**	**$ 4,691.68**	**$ 981.00** **$ 0.00**	**4.27%**
CONSUMER DISCRETIONARY						
COMCAST CORP CL A	585	29,173 95 49 87	17,240 69 29.47	11,933 26	456 00	1 56%
HOME DEPOT INC COM	221	17,828 07 80 67	15,406 75 69 71	2,421 32	344 00	1 93%

SCHEDULE 4 PG 2 OF 6

BEACON TRUST
A subsidiary of The Provident Bank

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 11/01/13 - 11/30/13

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
TRIPADVISOR INC COM	276	24,376.32 88.32	8,240 61 29 86	16,135 71		
YUM BRANDS INC COM	232	18,021.76 77.68	12,509 21 53 92	5,512 55	343 00	1 91%
TOTAL CONSUMER DISCRETIONARY		**$ 89,400.10**	**$ 53,397.26**	**$ 36,002.84**	**$ 1,143.00 $ 0.00**	**1.28%**
CONSUMER STAPLES						
INGREDION INC COM	233	16,114.28 69 16	16,368 28 70 25	-254 00	354 00	2 20%
KRAFT FOODS GROUP INC COM	334	17,742.08 53 12	16,052 20 48 06	1,689 88	701 00	3 95%
MONDELEZ INTL INC CL A	607	20,352.71 33.53	13,977 85 23 03	6,374 86	339 00	1 67%
TOTAL CONSUMER STAPLES		**$ 54,209.07**	**$ 46,398.33**	**$ 7,810.74**	**$ 1,394.00 $ 0.00**	**2.57%**
ENERGY						
CHEVRON CORP NEW COM	121	14,815.24 122.44	10,294.09 85 08	4,521 15	484 00 121 00	3 27%
HALLIBURTON CO COM	321	16,910.28 52 68	16,463 58 51 29	446 70	192 00	1 14%

SCHEDULE 4 PG 3 OF 6

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
HOLLYFRONTIER CORP COM	518	24,853 64 47.98	21,309.96 41.14	3,543 68	621 00	2 50%
SCHLUMBERGER LTD COM	221	19,540.82 88.42	11,989 05 54.25	7,551.77	276 00	1 41%
TOTAL ENERGY		$ 76,119.98	$ 60,056.68	$ 16,063.30	$ 1,573.00 $ 121.00	2.07%
FINANCIALS						
DISCOVER FINL SVCS COM	574	30,594.20 53 30	21,281 11 37 08	9,313 09	459 00	1 50%
FIFTH THIRD BANCORP COM	1,168	23,733 76 20.32	17,702 61 15 16	6,031 15	560 00	2 36%
FRANKLIN RES INC COM	429	23,762 31 55.39	13,486 92 31.44	10,275 39	171 00	0 72%
REALOGY HLDGS CORP COM	369	17,486 91 47.39	17,314 15 46 92	172 76		
TRAVELERS COS INC COM	320	29,036.80 90 74	19,499.81 60 94	9,536 99	640 00	2 20%
US BANCORP DEL COM NEW	543	21,296.46 39 22	18,623.92 34.30	2,672 54	499.00	2 35%

SCHEDULE 4 PG 4 OF 6

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
TOTAL FINANCIALS		$ 145,910.44	$ 107,908.52	$ 38,001.92	$ 2,329.00 $ 0.00	1.60%
HEALTH CARE						
ABBOTT LABORATORIES COM	250	9,547.50 38.19	8,160 07 32.64	1,387.43	220 00	2.30%
ABBVIE INC COM	360	17,442.00 48.45	13,694 28 38.04	3,747 72	576 00	3 30%
ALEXION PHARMACEUTICALS INC COM	154	19,173 00 124 50	7,199 13 46.75	11,973 87		
AMERISOURCEBERGEN CORP COM	320	22,569.60 70 53	15,430.53 48 22	7,139.07	300 00 75 20	1 33%
AMGEN INC COM	70	7,985.60 114.08	8,197 18 117 10	-211 58	131 00 32 90	1 65%
BAXTER INTL INC COM	298	20,398.10 68.45	17,084.39 57 33	3,313 71	584 00	2 86%
BRISTOL MYERS SQUIBB CO COM	438	22,504.44 51.38	15,312 38 34.96	7,192.06	613 00	2.72%
CELGENE CORP COM	154	24,912 58 161.77	12,583 12 81 71	12,329 46		

SCHEDULE 4 PG 5 OF 6

BEACON TRUST
A subsidiary of The Provident Bank

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 11/01/13 - 11/30/13

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
TOTAL HEALTH CARE		$ 144,532.82	$ 97,661.08	$ 46,871.74	$ 2,424.00 $ 108.10	1.68%
INFORMATION TECHNOLOGY						
ACTIVISION BLIZZARD INC COM	966	16,624.86 17.21	15,274 55 15.81	1,350 31	183 00	1 10%
APPLE INC COM	55	30,583.85 556.07	23,314 37 423 90	7,269 48	671 00	2 19%
AUTOMATIC DATA PROCESSING INC COM	222	17,764.44 80.02	10,880 77 49.01	6,883 67	426 00	2 40%
CISCO SYS INC COM	525	11,156.25 21.25	10,330 02 19 68	826.23	357 00	3 20%
EBAY INC COM	386	19,500 72 50 52	20,774.97 53 82	-1,274.25		
FACEBOOK INC CL A	83	3,901.83 47.01	4,177.39 50 33	-275.56		
GOOGLE INC CL A	33	34,966.47 1,059.59	20,978.97 635 73	13,987.50		
SYMANTEC CORP COM	662	14,888.38 22 49	15,981.13 24 14	-1,092 75	397 00 99 30	2.67%
Total Info Tech		149,386.80	121,712.17			
Total Equities		872,846.95	643,171.65			

SCHEDULE 4 PG 6 OF 6

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
AFFILIATED MANAGERS GROUP								
Symbol AMG Exchange NYSE	Aug 28, 09	99 000	65 970	6,531 03	200 250	19,824 75	13,293 72	LT
	Dec 10, 10	61 000	97.913	5,972 71	200 250	12,215 25	6,242 54	LT
	Apr 5, 12	14 000	113.130	1,583 82	200 250	2,803 50	1,219 68	LT
Security total		174 000	80 963	14,087 56		34,843 50	20,755 94	
AKORN INC								
Symbol AKRX Exchange OTC	Sep 12, 12	216 000	14 487	3,129 20	25 750	5,562 00	2,432 80	LT
	Dec 12, 12	519 000	13 446	6,978 84	25 750	13,364 25	6,385 41	ST
Security total		735.000	13 752	10,108 04		18,926 25	8,818 21	
ALLIANCE DATA SYSTEMS CORP								
Symbol ADS Exchange NYSE	Aug 28, 09	186 000	56 645	10,536 07	242 260	45,060 36	34,524 29	LT

continued next page

SCHEDULE 5 PG 1 OF 10

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
	Apr 5, 12	14.000	126 290	1,768 06	242 260	3,391 64	1,623 58	LT
Security total		200.000	61 521	12,304 13		48,452 00	36,147 87	
AMETEK INC (NEW)								
Symbol AME Exchange NYSE								
EAI $110 Current yield 0 49%	Feb 10, 11	404 500	29 320	11,860 32	49 220	19,909 49	8,049 17	LT
	Apr 5, 12	48 000	32 183	1,544 83	49 220	2,362 56	817 73	LT
	Apr 12, 12	4 500	32 277	145 25	49 220	221 49	76 24	LT
Security total		457 000	29.651	13,550 40		22,493 54	8,943 14	
ANSYS INC								
Symbol ANSS Exchange OTC	Aug 28, 09	210 000	36 397	7,643 54	85 670	17,990 70	10,347 16	LT
	Apr 5, 12	24 000	64.014	1,536 34	85 670	2,056 08	519 74	LT
	Apr 12, 12	2 000	63.520	127 04	85 670	171 34	44 30	LT
Security total		236.000	39 436	9,306 92		20,218 12	10,911 20	
APPLE INC								
Symbol AAPL Exchange OTC								
EAI $1,220 Current yield 2 19%	Oct 9, 08	18 000	91 340	1,644 12	556 070	10,009 26	8,365 14	LT
	May 12, 09	12.000	125 240	1,502 88	556 070	6,672 84	5,169 96	LT
	Aug 9, 10	17 000	260 692	4,431 78	556 070	9,453 19	5,021 41	LT
	Feb 13, 12	37 000	499.614	18,485 73	556 070	20,574 59	2,088 86	LT
	Apr 5, 12	14.000	632.400	8,853 60	556.070	7,784 98	-1,068 62	LT
	Apr 12, 12	2 000	621.955	1,243 91	556 070	1,112 14	-131 77	LT
Security total		100.000	361 620	36,162 02		55,607 00	19,444 98	
BED BATH & BEYOND INC								
Symbol BBBY Exchange. OTC	Feb 7, 12	128 000	61.446	7,865.15	78 030	9,987 84	2,122 69	LT
	Apr 5, 12	15.000	72.000	1,080 00	78.030	1,170 45	90 45	LT
	Apr 12, 12	1 000	69.920	69 92	78 030	78 03	8 11	LT
	May 8, 12	96.000	67.521	6,482 03	78 030	7,490 88	1,008 85	LT
Security total		240 000	64 571	15,497 10		18,727 20	3,230 10	
CARDINAL HEALTH INC								
Symbol CAH Exchange NYSE								
EAI $227 Current yield 1.87%	Nov 1, 13	188 000	60.704	11,412 45	64 600	12,144 80	732 35	ST
CELGENE CORP								
Symbol CELG Exchange OTC	May 8, 07	20.000	62 890	1,257 80	161.770	3,235 40	1,977 60	LT

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SCHEDULE 5 PG 2 OF 10

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
	Jul 6, 07	25 000	57 960	1,449 00	161 770	4,044 25	2,595 25	LT
	Jul 30, 07	20 000	61 310	1,226 20	161 770	3,235 40	2,009 20	LT
	Aug 15, 07	20 000	60 820	1,216 40	161 770	3,235 40	2,019 00	LT
	Nov 9, 07	20 000	63 440	1,268 80	161 770	3,235 40	1,966 60	LT
	Dec 7, 07	35 000	58 390	2,043 65	161.770	5,661 95	3,618 30	LT
	Aug 28, 09	44 000	52 540	2,311 76	161 770	7,117 88	4,806 12	LT
	Apr 5, 12	22 000	79 440	1,747 68	161 770	3,558 94	1,811 26	LT
	Apr 12, 12	4 000	78 625	314 50	161 770	647 08	332 58	LT
	Dec 11, 12	60 000	82 512	4,950 73	161 770	9,706 20	4,755 47	ST
Security total		270 000	65 876	17,786 52		43,677.90	25,891 38	
CERNER CORP Symbol CERN Exchange OTC	Jul 13, 12	214 000	40 728	8,715 91	57 470	12,298 58	3,582 67	LT
CHURCH & DWIGHT CO INC Symbol CHD Exchange NYSE EAI $473 Current yield 1 72%	Aug 28, 09	378 000	28 601	10,811 27	65 250	24,664 50	13,853 23	LT
	Apr 5, 12	44 000	49 595	2,182 18	65 250	2,871 00	688 82	LT
Security total		422 000	30 790	12,993 45		27,535 50	14,542 05	
COGNIZANT TECH SOLUTIONS CRP Symbol CTSH Exchange OTC	Oct 7, 09	30 000	39 206	1,176 18	93 890	2,816 70	1,640 52	LT
	Jan 8, 10	122 000	46 395	5,660 21	93 890	11,454 58	5,794 37	LT
	Apr 5, 12	15 000	77.050	1,155 75	93 890	1,408.35	252 60	LT
	Apr 12, 12	1 000	76 580	76 58	93 890	93 89	17 31	LT
Security total		168 000	48 028	8,068 72		15,773 52	7,704 80	
CONCHO RESOURCES INC Symbol CXO Exchange NYSE	Dec 29, 10	51 000	87 312	4,452 92	103 930	5,300 43	847 51	LT
	Feb 2, 12	27 000	108.555	2,931 00	103 930	2,806 11	-124 89	LT
	Apr 5, 12	25 000	99.350	2,483.75	103 930	2,598 25	114 50	LT
Security total		103.000	95.803	9,867 67		10,704 79	837 12	
DANAHER CORP Symbol DHR Exchange NYSE EAI $45 Current yield 0 13%	Mar 9, 09	60 000	24 500	1,470 00	74 800	4,488 00	3,018 00	LT
	May 27, 09	34 000	30.545	1,038 53	74 800	2,543 20	1,504 67	LT

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SCHEDULE 5 PG 3 OF 10

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
	Jun 11, 09	26 000	31.725	824 85	74 800	1,944 80	1,119 95	LT
	Aug 28, 09	296.000	30 840	9,128 79	74 800	22,140 80	13,012 01	LT
	Apr 5, 12	27 000	55 150	1,489 05	74 800	2,019 60	530 55	LT
	Apr 12, 12	9 000	54.446	490 02	74 800	673 20	183 18	LT
Security total		452.000	31 950	14,441 24		33,809 60	19 368 36	
DECKERS OUTDOOR CORP								
Symbol DECK Exchange OTC	Jul 20, 10	130 000	45.013	5,851.77	82 640	10,743 20	4,891 43	LT
	Jul 29, 10	49.000	50 237	2,461 66	82 640	4,049 36	1,587 70	LT
	Apr 5, 12	11 000	64 840	713 24	82 640	909 04	195 80	LT
	Apr 12, 12	14 000	63 111	883.56	82 640	1,156 96	273 40	LT
Security total		204.000	48 580	9,910 23		16,858 56	6,948 33	
DENBURY RESOURCES INC NEW								
Symbol DNR Exchange NYSE	Oct 19, 10	355 000	18.189	6,457 38	16 680	5,921 40	-535 98	LT
	Mar 21, 11	229 000	24 122	5,523 94	16 680	3,819 72	-1,704 22	LT
	Apr 5, 12	58.000	18 466	1,071 06	16 680	967 44	-103 62	LT
Security total		642 000	20 331	13,052 38		10,708 56	-2,343 82	
ECOLAB INC								
Symbol ECL Exchange NYSE								
EAI $227 Current yield 0 86%	Dec 7, 12	247 000	72 489	17,904 93	107 170	26,470 99	8,566 06	ST
EMC CORP MASS								
Symbol EMC Exchange NYSE								
EAI $222 Current yield 1 68%	Oct 1, 10	121 000	20 358	2,463 34	23 850	2,885 85	422 51	LT
	Jan 18, 11	339 000	24 748	8,389 91	23 850	8,085 15	-304 76	LT
	Apr 5, 12	85 000	29.050	2,469 25	23 850	2,027 25	-442 00	LT
	Apr 12, 12	9 000	29 156	262 41	23 850	214 65	-47 76	LT
Security total		554 000	24 521	13 584 91		13,212 90	-372 01	
EXPRESS SCRIPTS HLDG CO								
Symbol ESRX Exchange OTC	Aug 28, 09	313.000	35.951	11,252 88	67 350	21,080 55	9,827 67	LT
	Apr 5, 12	30 000	56 990	1,709 70	67 350	2,020 50	310 80	LT
Security total		343 000	37 792	12,962 58		23,101 05	10,138 47	
GILEAD SCIENCES INC								
Symbol GILD Exchange OTC	Aug 2, 06	92 000	15.435	1,420 02	74 810	6,882 52	5 462 50	LT
	Feb 5, 07	120 000	17.585	2,110 20	74 810	8,977 20	6,867 00	LT

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SCHEDULE 5 PG 4 OF 10

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
	Oct 9, 08	50 000	20.810	1,040 50	74 810	3,740.50	2,700 00	LT
	Mar 19, 09	70 000	22 390	1,567 30	74 810	5,236 70	3,669 40	LT
	Apr 5, 12	42 000	23.800	999 60	74 810	3,142 02	2,142 42	LT
Security total		374.000	19 085	7,137 62		27,978 94	20,841 32	
GOOGLE INC CL A								
Symbol GOOG Exchange OTC	Mar 16, 07	5 000	443.320	2,216 60	1,059 590	5,297 95	3,081 35	LT
	Feb 20, 08	5 000	504 250	2,521 25	1,059 590	5,297 95	2,776 70	LT
	Jul 25, 08	5 000	487 970	2,439 85	1,059 590	5,297 95	2,858 10	LT
	Mar 25, 10	4.000	566.292	2,265 17	1,059 590	4,238 36	1,973 19	LT
	Apr 5, 12	3 000	632 450	1,897 35	1,059 590	3,178 77	1,281 42	LT
Security total		22 000	515 465	11,340.22		23,310 98	11,970 76	
GULFPORT ENERGY CORP NEW								
Symbol GPOR Exchange OTC	Aug 7, 13	262 000	52.064	13,640 82	58 430	15,308 66	1,667 84	ST
ILLINOIS TOOL WORKS INC								
Symbol ITW Exchange· NYSE								
EAI $398 Current yield 2 11%	Feb 10, 11	212.000	55 636	11,794 90	79 580	16,870 96	5,076 06	LT
	Apr 5, 12	23.000	56 250	1,293 75	79 580	1,830 34	536 59	LT
	Apr 12, 12	2 000	56 590	113 18	79 580	159 16	45 98	LT
Security total		237 000	55.704	13,201 83		18,860 46	5,658 63	
INTERCONTINENTALEXCHANGE GROUP COM								
Symbol ICE Exchange NYSE	Aug 28, 09	83 000	92 550	7,681 65	213 290	17,703 07	10,021 42	LT
	Apr 5, 12	10 000	138.530	1,385 30	213 290	2,132 90	747 60	LT
	Apr 12, 12	2 000	134 115	268 23	213 290	426 58	158 35	LT
Security total		95 000	98 265	9,335 18		20,262 55	10,927 37	
INTL BUSINESS MACH								
Symbol IBM Exchange NYSE								
EAI $395 Current yield 2 11%	Aug 28, 09	42 000	118 919	4,994 62	179 680	7,546 56	2,551 94	LT
	Jun 29, 10	40 000	127 406	5,096 24	179 680	7,187 20	2,090 96	LT
	Apr 5, 12	22 000	205 250	4,515 50	179 680	3,952 96	-562 54	LT
Security total		104 000	140.446	14,606 36		18,686 72	4,080 36	

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SCHEDULE 5 PG 5 OF 10

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

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
JOHNSON & JOHNSON COM								
Symbol JNJ Exchange NYSE								
EAI $837 Current yield 2 79%	Jul 19, 12	255.000	69.644	17,759.45	94 660	24,138 30	6,378 85	LT
	May 2, 13	62 000	84 757	5,254.96	94 660	5,868 92	613 96	ST
Security total		317.000	72 601	23,014.41		30,007 22	6,992 81	
LINKEDIN CORP CL A								
Symbol LNKD Exchange NYSE	Nov 9, 12	88 000	99.469	8,753 31	224 030	19,714 64	10,961 33	LT
MAXIMUS INC								
Symbol MMS Exchange NYSE								
EAI $63 Current yield 0 40%	Jul 2, 13	349 000	36 160	12,620 15	45 500	15,879 50	3,259 35	ST
MEAD JOHNSON NUTRITION CO COM STOCK								
Symbol MJN Exchange NYSE								
EAI $320 Current yield 1 61%	Jan 23, 12	104.000	72.688	7,559 58	84.510	8,789 04	1,229 46	LT
	Jan 30, 12	101 000	73 922	7,466 13	84 510	8,535.51	1,069 38	LT
	Apr 5, 12	24 000	83.710	2,009 04	84 510	2,028 24	19 20	LT
	Apr 12, 12	6 000	82 568	495.41	84 510	507 06	11 65	LT
Security total		235 000	74.596	17,530 16		19,859 85	2,329 69	
MICHAEL KORS HLDGS LTD								
Symbol KORS Exchange. NYSE	Aug 2, 13	160 000	68 858	11,017 36	81 550	13,048 00	2,030 64	ST
MONDELEZ INTL INC								
Symbol MDLZ Exchange OTC								
EAI $245 Current yield 1 67%	Sep 4, 12	437.000	26 969	11,785 78	33 530	14,652 61	2,866 83	LT
MSC INDL DIRECT CO INC								
Symbol MSM Exchange NYSE								
EAI $277 Current yield 1 72%	Apr 19, 10	116 000	55 537	6,442 37	76 850	8,914 60	2,472 23	LT
	Apr 26, 10	71 000	56 816	4,033 94	76 850	5,456.35	1,422 41	LT
	Apr 5, 12	22 000	81 380	1,790 36	76 850	1,690 70	-99 66	LT
	Apr 12, 12	1.000	78 270	78 27	76 850	76 85	-1 42	LT
Security total		210 000	58 785	12,344 94		16,138 50	3,793 56	
NPS PHARMACEUTICALS DEL								
Symbol NPSP Exchange OTC	Jun 12, 13	632 000	15.761	9,961 52	26 410	16,691 12	6,729 60	ST
O REILLY AUTOMOTIVE INC								
Symbol ORLY Exchange OTC	Aug 28, 09	15 000	38 395	575 93	124 960	1,874 40	1,298 47	LT

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SCHEDULE 5 PG 6 OF 10

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

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
	Sep 30, 09	140 000	36 058	5,048 16	124 960	17,494 40	12,446 24	LT
	Apr 5, 12	25 000	92 690	2,317.25	124 960	3,124 00	806 75	LT
	Apr 12, 12	4 000	94.347	377.39	124 960	499 84	122 45	LT
Security total		184 000	45.210	8,318 73		22,992 64	14,673 91	
ORACLE CORP								
Symbol ORCL Exchange. NYSE								
EAI $150 Current yield 1 36%	Oct 6, 10	276.000	27.680	7,639.68	35 290	9,740 04	2,100 36	LT
	Apr 5, 12	34.000	29.420	1,000 28	35 290	1,199 86	199 58	LT
	Apr 12, 12	2 000	28 605	57.21	35 290	70 58	13 37	LT
Security total		312 000	27.876	8,697.17		11,010 48	2,313 31	
PEPSICO INC								
Symbol PEP Exchange NYSE								
EAI $533 Current yield 2 69%	Oct 10, 03	7.000	47 970	335.79	84 460	591 22	255 43	LT
	Apr 26, 07	35 000	66 990	2,344 65	84 460	2,956 10	611 45	LT
	Feb 19, 08	20.000	71.770	1,435 40	84 460	1,689 20	253 80	LT
	Nov 14, 08	33 000	55.050	1,816 65	84 460	2,787 18	970 53	LT
	Mar 9, 09	15 000	46 880	703 20	84 460	1,266 90	563 70	LT
	Mar 19, 09	30 000	49 400	1,482 00	84 460	2,533 80	1,051 80	LT
	Aug 28, 09	70 000	56.930	3,985 10	84 460	5,912 20	1,927 10	LT
	Apr 5, 12	24.000	66 030	1,584 72	84 460	2,027 04	442 32	LT
	Apr 12, 12	1 000	65 380	65 38	84.460	84 46	19 08	LT
Security total		235 000	58 523	13,752 89		19,848 10	6,095 21	
PRAXAIR INC								
Symbol PX Exchange NYSE								
EAI $415 Current yield 1 90%	Apr 26, 10	74 000	88 944	6,581 86	126.260	9,343 24	2,761 38	LT
	Apr 28, 10	2 000	84 045	168 09	126.260	252 52	84 43	LT
	Apr 29, 10	1.000	84 390	84 39	126 260	126 26	41 87	LT
	Feb 10, 11	78 000	95 200	7,425 66	126 260	9,848 28	2,422 62	LT
	Apr 5, 12	17 000	113 910	1,936 47	126 260	2,146 42	209 95	LT
	Apr 12, 12	1 000	113 570	113 57	126 260	126 26	12 69	LT
Security total		173 000	94 278	16,310 04		21,842 98	5,532 94	

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SCHEDULE 5 PG 7 OF 10

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
PRECISION CASTPARTS CORP								
Symbol PCP Exchange NYSE								
EAI $12 Current yield 0 04%	Aug 28, 09	85 000	93 320	7,932 20	258 450	21,968 25	14,036 05	LT
	Apr 5, 12	19 000	170.490	3,239 31	258 450	4,910 55	1,671 24	LT
Security total		104 000	107 418	11,171 51		26,878 80	15,707 29	
PRICELINE COM INC NEW								
Symbol PCLN Exchange OTC	Mar 30, 10	15 000	256 288	3,844 32	1,192 330	17,884 95	14,040 63	LT
	Apr 5, 12	3 000	755 600	2,266 80	1,192 330	3,576 99	1,310 19	LT
Security total		18 000	339 507	6,111 12		21,461 94	15,350 82	
QUALCOMM INC								
Symbol QCOM Exchange OTC								
EAI $521 Current yield 1 90%	Mar 18, 11	269.000	52.029	13,995 88	73 580	19,793 02	5,797 14	LT
	Feb 13, 12	62 000	61 662	3,823 05	73 580	4,561 96	738 91	LT
	Apr 5, 12	41 000	67.320	2,760 12	73 580	3,016 78	256 66	LT
Security total		372.000	55 320	20,579 05		27,371 76	6,792 71	
QUESTCOR PHARMACEUTICALS INC								
Symbol QCOR Exchange OTC								
EAI $425 Current yield 2 07%	May 17, 12	354 000	40.116	14,201 31	58 010	20,535 54	6,334 23	LT
ROSS STORES INC								
Symbol ROST Exchange OTC								
EAI $188 Current yield 0 89%	Aug 24, 11	177 000	36 913	6,533 67	76 460	13,533.42	6,999 75	LT
	Mar 28, 12	68 000	58 634	3,987.12	76 460	5,199 28	1,212 16	LT
	Apr 5, 12	31 000	59.710	1,851.01	76 460	2,370 26	519 25	LT
Security total		276 000	44.825	12,371 80		21,102 96	8,731 16	
SALIX PHARMACEUTICALS LTD (DELA)								
Symbol SLXP Exchange OTC	Jun 25, 12	42.000	51.642	2,168.98	84 810	3,562 02	1,393 04	LT
	Jun 27, 12	93 000	52.626	4,894 27	84 810	7,887 33	2,993 06	LT
Security total		135 000	52 320	7,063.25		11,449 35	4,386 10	
SALLY BEAUTY CO INC								
Symbol SBH Exchange NYSE	Jun 29, 12	541.000	25.305	13,690 01	28 140	15,223 74	1,533 73	LT

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SCHEDULE 5 PG 8 OF 10

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

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

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
SCHLUMBERGER LTD NETHERLANDS ANTILLES								
Symbol SLB Exchange NYSE								
EAI $273 Current yield 1 42%	Oct 30, 07	23 000	97 240	2,236 52	88 420	2,033 66	-202 86	LT
	Jan 10, 08	25 000	96 350	2,408 75	88 420	2,210 50	-198 25	LT
	Oct 9, 08	25 000	67.950	1,698 75	88 420	2,210 50	511 75	LT
	Oct 22, 08	25 000	50.770	1,269 25	88 420	2,210 50	941 25	LT
	Feb 10, 09	25.000	46 280	1,157 00	88 420	2,210 50	1,053 50	LT
	Mar 9, 09	25 000	36.620	915 50	88 420	2,210 50	1,295 00	LT
	Dec 27, 10	49 000	81 943	4,015 24	88 420	4,332 58	317 34	LT
	Apr 5, 12	21.000	68 520	1,438 92	88 420	1,856 82	417 90	LT
Security total		218 000	69 449	15,139 93		19,275 56	4,135 63	
STARBUCKS CORP								
Symbol SBUX Exchange OTC								
EAI $173 Current yield 1 28%	Dec 20, 12	166 000	54 020	8,967 32	81 460	13,522 36	4,555 04	ST
STERICYCLE INC								
Symbol SRCL Exchange OTC	Aug 28, 09	126 000	50 005	6,300 71	117 480	14,802 48	8,501 77	LT
	Apr 5, 12	15 000	85 420	1,281 30	117 480	1,762 20	480 90	LT
Security total		141 000	53 773	7,582 01		16,564 68	8,982 67	
TRANSDIGM GROUP INC								
Symbol TDG Exchange NYSE	Mar 28, 12	70 000	116 416	8,149 17	156 520	10,956 40	2,807 23	LT
	Apr 5, 12	9.000	116 220	1,045 98	156 520	1,408 68	362 70	LT
Security total		79 000	116 394	9,195 15		12,365 08	3,169 93	
ULTA SALON COSMETICS & FRAGRANCE INC								
Symbol ULTA Exchange OTC	Aug 2, 13	161 000	104 205	16,777 09	126 940	20,437 34	3,660 25	ST
VF CORP								
Symbol VFC Exchange' NYSE								
EAI $277 Current yield 1 79%	Aug 25, 11	59 000	112 202	6,619 93	234 580	13,840 22	7,220 29	LT
	Apr 5, 12	7 000	150.230	1,051 61	234 580	1,642 06	590 45	LT
Security total		66 000	116 235	7,671 54		15,482 28	7,810 74	

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SCHEDULE 5 PG 7 OF 10

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

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized gain or loss ($)	Holding period
VISA INC CL A								
Symbol V Exchange NYSE								
EAI $187 Current yield 0 79%	Apr 21, 09	22 000	55.640	1,224 08	203 460	4,476 12	3,252 04	LT
	May 6, 09	45 000	66 910	3,010 95	203 460	9,155 70	6,144 75	LT
	Aug 28, 09	37.000	69 525	2,572 45	203 460	7,528 02	4,955 57	LT
	Apr 5, 12	13 000	120 940	1,572 22	203 460	2,644 98	1,072 76	LT
Security total		117.000	71.621	8,379 70		23,804 82	15,425 12	
WASTE CONNECTIONS INC								
Symbol WCN Exchange NYSE								
EAI $248 Current yield 1 05%	Aug 28, 09	489 000	18 306	8,951 96	43 940	21,486 66	12,534 70	LT
	Apr 5, 12	46.000	32 646	1,501 74	43 940	2,021 24	519 50	LT
	Apr 12, 12	4 000	32 550	130 20	43 940	175 76	45 56	LT
Security total		539 000	19 636	10,583 90		23,683 66	13,099 76	
Total				**$654,570.34**		**$1,100,818.18**	**$446,247.84**	

SCHEDULE 5 PG 10 OF 10

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR YIELD
FIXED INCOME						
NONGOVERNMENT OBLIGATIONS						
COMCAST CORP NEW NT 4 95% DTD 06/09/2005 DUE 06/15/2016 CALLABLE	20,000	21,983.80 109.92	21,927 60 109.64	56 20	990 00 456.50	4 50%
HEINZ H J CO NT 1.50% DTD 03/02/2012 DUE 03/01/2017 CALLABLE	20,000	19,200.00 96 00	20,042 00 100.21	-842 00	300 00 74 99	1 56%
WAL-MART STORES INC GLOBAL NT 4 50% DTD 06/09/2005 DUE 07/01/2015	40,000	42,573 20 106 43	42,062 80 105.16	510.40	1,800 00 750 00	4 23%
TOTAL NONGOVERNMENT OBLIGATIONS		$ 83,757.00	$ 84,032.40	$ -275.40	$ 3,090.00 $ 1,281.49	3.69%
MARKETABLE CDS						
DISCOVER BK GREENWOOD DEL CTF DEP 0 80% DTD 04/10/2013 DUE 04/11/2016	25,000	24,863.25 99.45	25,000 00 100 00	-136 75	200 00 28 33	0 80%
GOLDMAN SACHS BK USA NY CTF DEP 1 70% DTD 09/05/2012 DUE 09/05/2017 NON-CALLABLE	25,000	25,060.00 100 24	25,000 00 100 00	60 00	425 00 101 30	1 70%
TOTAL MARKETABLE CDS		$ 49,923.25	$ 50,000.00	$ -76.75	$ 625.00 $ 129.63	1.25%

Addback Nonamortizable Corporate Bonds

Tax Year 2011 6912.70

Tax Year 2012 3,785.30

Total 133,680.25 144,730.40

SCHEDULE 6 PG 1 OF 1

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/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FIRST EAGLE OVERSEAS FUND CLASS A									
Symbol SGOVX									
Trade date Sep 16, 09	2,080 659	19.679	40,947 36	40,947 36	24 420	50,809 69	9,862.33		LT
Trade date Oct 7, 09	1,765 003	19.829	35,000 00	35,000 00	24 420	43,101 37	8,101 37		LT
Trade date Oct 15, 09	2,482 622	20 139	50,000 00	50,000 00	24 420	60,625 63	10,625 63		LT
Trade date Apr 30, 12	6,568 672	21 770	143,000.00	143,000 00	24.420	160,406 96	17,406 96		LT
Total reinvested	2,517 779	21.026		52,940 04	24.420	61,484 16	8,544 12		
EAI $4,054 Current yield. 1 08%									
Security total	15,414.735	20 882	268,947.36	321,887 40		376,427 82	54,540 41	107,480 45	
HENDERSON GLOBAL INVESTORS EUROPEAN FOCUS FUND CLASS A									
Symbol HFEAX									
Trade date Nov 25, 13	5,970 149	33 500	200,000 00	200,000 00	34 080	203,462 67	3,462 67	3,462 67	ST
OPPENHEIMER DEVELOPING MARKETS FUND CL A									
Symbol ODMAX									
Trade date Aug 27, 09	568 213	24.799	14,091 68	14,091 68	37 910	21,540 95	7,449 27		LT
Trade date· Sep 16, 09	534 147	26 210	14,000.00	14,000 00	37 910	20,249 51	6,249 51		LT
Trade date Oct 7, 09	556 380	26.959	15,000 00	15,000 00	37 910	21,092 37	6,092 37		LT
Trade date Apr 30, 12	5,685 218	33 420	190,000 00	190,000 00	37 910	215,526 61	25,526 61		LT

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SCHEDULE 7 PG 1 OF 3

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

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Total reinvested	73 433	31 714		2,328 88	37.910	2,783 85	454 97		
EAI $1,024 Current yield 0 36%									
Security total	7,417 391	31 739	233,091 68	235,420.56		281,193 29	45,772 73	48,101 61	
PACE portfolio total			**$702,039.04**	**$757,307.96**		**$861,083.78**	**$103,775.81**	**$159,044.74**	

Total estimated annual income: $5,078

Fixed income

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A									
Symbol TPINX									
Trade date Aug 27, 09	1,047 180	12 189	12,765 12	12,765 12	13 070	13,686 64	921 52		LT
Trade date Sep 16, 09	5,309 735	12 429	66,000 00	66,000 00	13 070	69,398 24	3,398 24		LT
Trade date Oct 7, 09	1,980.983	12 619	25,000 00	25,000 00	13.070	25,891 45	891 45		LT
Trade date Oct 13, 09	1,971 609	12.679	25,000 00	25,000.00	13.070	25,768 93	768 93		LT
Trade date Apr 30, 12	5,801 527	13 099	76,000 00	76,000.00	13 070	75,825 96	-174 04		LT
Total reinvested	3,720 399	13.139		48,882 45	13 070	48,625 61	-256 84		
EAI $13,763 Current yield 5 31%									
Security total	19,831 433	12 790	204,765 12	253,647 57		259,196 82	5,549 26	54,431 71	
LOOMIS SAYLES SR FLOATING RATE & FIXED INCOME FUND CLASS A									
Symbol LSFAX									
Trade date Nov 25, 13	18,867 925	10 599	200,000 00	200,000 00	10 560	199,245 29	-754 71		ST
Total reinvested	84 334	10 560		890 57	10 560	890 57			
EAI $11,371 Current yield 5.68%									
Security total	18,952 259	10 600	200,000.00	200,890 57		200,135 85	-754 71	135 86	
PACE portfolio total			**$404,765.12**	**$454,538.14**		**$459,332.67**	**$4,794.55**	**$54,567.55**	

Total estimated annual income: $25,134

SCHEDULE 7 PG 2 OF 3

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 (continued)

Other

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 29 ($)	Value on Nov 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
COHEN & STEERS REAL ASSETS FUND CLASS A									
Symbol: RAPAX									
Trade date Nov 25, 13	21,030 494	9 510	200,000 00	200,000 00	9 500	199,789 69	-210 31	-210 31	ST
PIMCO ALL ASSETS ALL AUTH-A									
Symbol PAUAX									
Trade date Apr 30, 12	25,404 107	10 669	271,061.82	271,061 82	10 270	260,900 18	-10,161 64		LT
Total reinvested	1,717.386	10 873		18,674 14[2]	10.270	17,637.55	-1,036 59		
EAI $14,320 Current yield 5 14%									
Security total	27,121 493	10.683	271,061.82	289,735.96		278,537 73	-11,198 23	7,475 91	
PACE portfolio total			**$471,061.82**	**$489,735.96**		**$478,327.42**	**-$11,408.54**	**$7,265.60**	

Total estimated annual income: $14,320

Total 1,701,582.06 1,798,744

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