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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

▶ **Do not enter social security numbers on this form as it may be made public.**
▶ **Information about Form 990-PF and its instructions is at *www.irs.gov/form990pf*.**

OMB No 1545-0052

2015

Open to Public Inspection

For calendar year 2015, or tax year beginning 12-01-2015 , and ending 11-30-2016

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) 2420 E CAMINO LA ZORRELA | Room/suite

City or town, state or province, country, and ZIP or foreign postal code
TUCSON, AZ 85718

A Employer identification number
22-2598324

B Telephone number (see instructions)

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)* ▶$ 3,972,073

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	26	26		
	4 Dividends and interest from securities	64,546	64,546		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	50,014			
	b Gross sales price for all assets on line 6a 1,072,757				
	7 Capital gain net income (from Part IV, line 2)		50,014		
	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	114,586	114,586		
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)	9,800	4,900	0	4,900
	c Other professional fees (attach schedule)	29,258	29,258		
	17 Interest				
	18 Taxes (attach schedule) (see instructions)				
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	380			380
	24 **Total operating and administrative expenses.** Add lines 13 through 23	39,438	34,158	0	5,280
	25 Contributions, gifts, grants paid	192,000			192,000
	26 **Total expenses and disbursements.** Add lines 24 and 25	231,438	34,158	0	197,280
	27 Subtract line 26 from line 12				
	a **Excess of revenue over expenses and disbursements**	-116,852			
	b **Net investment income** (if negative, enter -0-)		80,428		
	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 (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash—non-interest-bearing	5,755	5,255	5,255
	2	Savings and temporary cash investments	144,836	139,735	139,735
	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			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	1,650,752	1,730,042	2,454,014
	c	Investments—corporate bonds (attach schedule)	90,650	69,997	70,453
	11	Investments—land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	1,388,718	1,218,830	1,302,616
	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)	3,280,711	3,163,859	3,972,073
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	-1,284,036	-1,400,888	
	30	**Total net assets or fund balances**(see instructions)	3,280,711	3,163,859	
	31	**Total liabilities and net assets/fund balances**(see instructions)	3,280,711	3,163,859	

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	3,280,711
2	Enter amount from Part I, line 27a	2	-116,852
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	3,163,859
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	3,163,859

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)
1 a	SEE SCHEDULE 1	P	2015-12-01	2016-11-30
b	SEE SCHEDULE 2	P	2015-12-01	2016-11-30
c	SEE SCHEDULE 3	P	2015-12-01	2016-11-30
d	LITIGATION SETTLEMENT	P	2015-12-01	2016-11-30
e	CAPITAL GAINS DISTRIBUTION	P	2015-12-01	2016-11-30

	(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	359,623		328,265	31,358
b	450,128		481,270	-31,142
c	258,611		213,208	45,403
d	724		0	724
e	3,671		0	3,671

	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				31,358
b				-31,142
c				45,403
d				724
e				3,671

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	50,014
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 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))
2014	101,211	4,111,074	0 024619
2013	301,723	4,248,014	0 071027
2012	74,815	3,916,696	0 019102
2011	138,190	3,670,208	0 037652
2010	148,764	3,552,305	0 041878

2	**Total** of line 1, column (d).	2	0 194278
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 038856
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.	4	3,939,847
5	Multiply line 4 by line 3.	5	153,087
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	804
7	Add lines 5 and 6.	7	153,891
8	Enter qualifying distributions from Part XII, line 4.	8	197,280

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	804
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	804
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	804
6	Credits/Payments		
a	2015 estimated tax payments and 2014 overpayment credited to 2015 — 6a: 1,102		
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	1,102
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	298
11	Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ 298 **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 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 2015 or the taxable year beginning in 2015 (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 2015, 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 FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶			

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

			Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			
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 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 2015?	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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? ☐ 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 2015 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 2015).*	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 2015?	4b		No

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 4945(d)(4)(A)? (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	Title, and average hours per week **(b)** 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	Title, and average hours per week **(b)** 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 NOT APPLICABLE	
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	
2	
All other program-related investments See instructions	
3	
Total. Add lines 1 through 3 . . . . ▶	

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	2,420,519
b	Average of monthly cash balances	1b	173,707
c	Fair market value of all other assets (see instructions)	1c	1,405,619
d	**Total** (add lines 1a, b, and c)	1d	3,999,845
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	3,999,845
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	59,998
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,939,847
6	**Minimum investment return.** Enter 5% of line 5	6	196,992

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	196,992
2a	Tax on investment income for 2015 from Part VI, line 5	2a	804		
b	Income tax for 2015 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	804
3	Distributable amount before adjustments Subtract line 2c from line 1			3	196,188
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	196,188
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	196,188

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	197,280
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	197,280
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	804
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	196,476

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 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7					196,188
2 Undistributed income, if any, as of the end of 2015					
a Enter amount for 2014 only.				192,952	
b Total for prior years 2013 , 2012 , 2011					
3 Excess distributions carryover, if any, to 2015					
a From 2010.					
b From 2011.	0				
c From 2012.	0				
d From 2013.	0				
e From 2014.	0				
f **Total** of lines 3a through e.		0			
4 Qualifying distributions for 2015 from Part XII, line 4 ▶ $ 197,280					
a Applied to 2014, but not more than line 2a				192,952	
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 2015 distributable amount.					4,328
e Remaining amount distributed out of corpus		0			
5 Excess distributions carryover applied to 2015 *(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 2014 Subtract line 4a from line 2a Taxable amount—see instructions					
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015					191,860
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)					
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions) . . .					
9 **Excess distributions carryover to 2016.** Subtract lines 7 and 8 from line 6a		0			
10 Analysis of line 9					
a Excess from 2011. . . .					
b Excess from 2012. . . .	0				
c Excess from 2013. . . .	0				
d Excess from 2014. . . .	0				
e Excess from 2015. . . .	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 2015, 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			
	(a) 2015	**(b)** 2014	**(c)** 2013	**(d)** 2012	**(e) Total**
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon **a** "Assets" alternative test—enter **(1)** Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test—enter **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the 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 or email address 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 6 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	192,000
Total . . . . ▶ **3a**				192,000
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			14	26	
4 Dividends and interest from securities			14	64,546	
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	50,014	
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)				114,586	

13 Total. Add line 12, columns (b), (d), and (e) **13** 114,586

(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	NOT APPLICABLE

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

		Yes	No
1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a Transfers from the reporting foundation to a noncharitable exempt organization of			
(1) Cash.	**1a(1)**		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) is based on all information of which preparer has any knowledge

******	2017-02-16	******
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		2017-02-16	☑	P00841496

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

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491072007027

TY 2015 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	9,800	4,900		4,900

TY 2015 All Other Program Related Investments Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

Category	Amount
NOT APPLICABLE	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2015 Depreciation Schedule

Name: JOHN & ANNE DUFFY FOUNDATION INC

EIN: 22-2598324

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491072007027

TY 2015 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 4	69,997	70,453

TY 2015 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	783,646	1,085,026
SEE SCHEDULE 5	925,236	1,339,479
267 SHS APPLE INC	21,160	29,509

TY 2015 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
10,085 SHS FIDELITY ADV ENERGY		318,643	386,438
17,182 SHS FIRST EAGLE OVERSEA		367,701	404,455
7,069 SHS INVESCO DEVLG MKTS		212,500	203,999
29,113 SHS SEMPER MBS TOTAL		319,986	307,724

TY 2015 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	380			380

TY 2015 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			

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491072007027

TY 2015 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	29,258	29,258		

TY 2015 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-11/30/15				

Beacon Trust

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 12/01/15 - 11/30/16

SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
ASSETS HELD				
THE PROVIDENT BANK DEPOSIT PROGRAM				
SALES (18) 12/01/15 TO 11/30/16	11/30/16	59,148.69	-59,148.69	

SCHEDULE_1_PG_1OF_10

Beacon Trust

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 12/01/15 - 11/30/16

SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
ABBVIE INC COM				
SOLD 111 SHS 02/11/16 @ 52.3397	02/17/16	5,806.80	-3,828.71	1,978.09
ACTIVISION BLIZZARD INC COM				
SOLD 180 SHS 08/11/16 @ 41.376	08/16/16	7,443.02	-2,576.47	4,866.55
ALEXION PHARMACEUTICALS INC COM				
SOLD 34 SHS 03/03/16 @ 148.9766	03/08/16	5,064.24	-1,370.68	3,693.56
SOLD 62 SHS 06/10/16 @ 136.0085	06/15/16	8,430.79	-3,656.75	4,774.04
AMERISOURCEBERGEN CORP COM				
SOLD 61 SHS 06/10/16 @ 75.7879	06/15/16	4,621.44	-2,755.35	1,866.09
SOLD 23 SHS 07/19/16 @ 85.2686	07/22/16	1,960.56	-1,038.90	921.66

SCHEDULE 1 PG 2 OF 10

SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
APPLE INC COM				
SOLD 91 SHS 01/14/16 @ 100.1779	01/20/16	9,113.75	-2,673.83	6,439.92
AVIS BUDGET GROUP COM				
SOLD 344 SHS 01/14/16 @ 26.7831	01/20/16	9,204.62	-19,590.52	-10,385.90
BAXALTA INC COM				
REVERSED ON 08/31/2016 ADJ TO FULLY TAXABLE EXCHANGE TO REMOVE 434 SHS FOR SHIRE LIMITED AMERICAN DEPOSITARY SHARES AND CASH STOCK RATE: .1482 PER SH HELD CASH RATE: 18.00 PER SH HELD	06/03/16		-12,350.57	-12,350.57
REVERSED ON 08/31/2016 ADJ TO FULLY TAXABLE EXCHANGE RECD PROCEEDS ON CASH/STOCK MERGER @ 18.00 PER SH ON 434 SHS	06/03/16	7,812.00		7,812.00

SCHEDULE 1 PG 3 OF 10

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SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
TO REVERSE ENTRY OF 06/03/16 ADJ TO FULLY TAXABLE EXCHANGE RECD PROCEEDS ON CASH/STOCK MERGER @ 18.00 PER SH ON 434 SHS	08/31/16	-7,812.00		-7,812.00
TO REVERSE ENTRY OF 06/03/16 ADJ TO FULLY TAXABLE EXCHANGE TO REMOVE 434 SHS FOR SHIRE LIMITED AMERICAN DEPOSITARY SHARES AND CASH STOCK RATE: .1482 PER SH HELD CASH RATE: 18.00 PER SH HELD	08/31/16		12,350.57	12,350.57
TO REMOVE 434 SHS FOR SHIRE PLC SPONSORED ADR AND CASH STOCK RATE: 0.1482 PER SH HELD CASH RATE: 18.00 PER SH HELD FULLY TAXABLE EXCHANGE	08/31/16	20,035.13	-12,350.57	7,684.56
BAXTER INTL INC COM				
SOLD 298 SHS 03/03/16 @ 39.148	03/08/16	11,658.40	-9,430.58	2,227.82
BLACKROCK TREASURY TRUST DOLLAR 63				
SALES (12) 12/01/15 TO 11/30/16	11/30/16	24,611.36	-24,611.36	

SCHEDULE 1 PG 4 OF 10

SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
BOEING CO COM				
SOLD 59 SHS 03/09/16 @ 122.9978	03/14/16	7,255.24	-7,039.66	215.58
SOLD 116 SHS 04/14/16 @ 131.0157	04/19/16	15,194.59	-16,036.68	-842.09
BRISTOL MYERS SQUIBB CO COM				
SOLD 317 SHS 10/13/16 @ 49.8153	10/18/16	15,783.18	-11,364.50	4,418.68
CF INDS HLDGS INC COM				
SOLD 178 SHS 01/14/16 @ 32.6862	01/20/16	5,813.59	-7,416.50	-1,602.91
SOLD 282 SHS 02/11/16 @ 27.6562	02/17/16	7,791.83	-12,548.69	-4,756.86
CELGENE CORP COM				
SOLD 63 SHS 07/19/16 @ 102.2397	07/22/16	6,439.39	-2,380.04	4,059.35

SCHEDULE 1 PG 5 OF 10

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SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
COMCAST CORP NEW NT 4.95% DTD 06/09/2005 DUE 06/15/2016 CALLABLE				
RECD PROCEEDS ON MATURITY OF 20,000 PAR VALUE	06/15/16	20,000.00	-20,000.00	
CUMMINS INC COM				
SOLD 94 SHS 01/14/16 @ 86.8945	01/20/16	8,165.58	-2,956.03	5,209.55
DISCOVER FINL SVCS COM				
SOLD 161 SHS 03/09/16 @ 48.1163	03/14/16	7,742.53	-5,646.33	2,096.20
SOLD 191 SHS 04/14/16 @ 52.3522	04/19/16	9,994.28	-8,114.88	1,879.40
HOLLYFRONTIER CORP COM				
SOLD 222 SHS 06/10/16 @ 26.6315	06/15/16	5,906.51	-8,904.36	-2,997.85
SOLD 368 SHS 07/19/16 @ 24.1926	07/22/16	8,893.48	-15,574.38	-6,680.90

Beacon Trust

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 12/01/15 - 11/30/16

SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
HOME DEPOT INC COM				
SOLD 35 SHS 10/13/16 @ 125.3141	10/18/16	4,385.02	-2,359.97	2,025.05
MONDELEZ INTL INC CL A				
SOLD 131 SHS 08/11/16 @ 43.3647	08/16/16	5,677.38	-2,640.72	3,036.66
SOLD 476 SHS 10/13/16 @ 41.8448	10/18/16	19,905.79	-11,337.13	8,568.66
NORTHROP GRUMMAN CORP COM				
SOLD 24 SHS 01/14/16 @ 185.8917	01/20/16	4,460.72	-2,279.79	2,180.93
REALOGY HLDGS CORP COM				
SOLD 369 SHS 02/11/16 @ 28.2531	02/17/16	10,415.94	-17,314.15	-6,898.21

SCHEDULE 1 PG 7 OF 10

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Beacon Trust

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 12/01/15 - 11/30/16

SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
SHIRE PLC SPONSORED ADR				
REVERSED ON 08/31/2016 ADJ TO FULLY TAXABLE EXCHANGE RECD 64.318 SHS ON MANDATORY EXCHANGE OF BAXALTA INC COM ON BASIS OF .1482 SHS FOR EACH 1 SH HELD	06/03/16		12,350.57	12,350.57
REVERSED ON 08/31/2016 ADJ COST FOR CHG TO FULLY TAX EXCH SOLD 64 SHS 06/28/16 @ 169.6846	07/01/16	10,857.98	-12,276.47	-1,418.49
REVERSED ON 08/31/2016 ADJ COST FOR CHG TO FULLY TAX EXCH SOLD .318 SHS 07/06/16 TO MISC BROKER @ 177.109	07/06/16	56.32	-74.10	-17.78
TO REVERSE ENTRY OF 07/06/16 ADJ COST FOR CHG TO FULLY TAX EXCH SOLD .318 SHS 07/06/16 TO MISC BROKER @ 177.109	08/31/16	-56.32	74.10	17.78

SCHEDULE 1 PG 8 OF 10

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SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
TO REVERSE ENTRY OF 07/01/16 ADJ COST FOR CHG TO FULLY TAX EXCH SOLD 64 SHS 06/28/16 @ 169.6846	08/31/16	-10,857.98	12,276.47	1,418.49
TO REVERSE ENTRY OF 06/03/16 ADJ TO FULLY TAXABLE EXCHANGE RECD 64.318 SHS ON MANDATORY EXCHANGE OF BAXALTA INC COM ON BASIS OF .1482 SHS FOR EACH 1 SH HELD	08/31/16		-12,350.57	-12,350.57
SOLD 64 SHS 06/28/16 @ 169.6846	08/31/16	10,857.98	-12,162.70	-1,304.72
SOLD .318 SHS 07/06/16 TO MISC BROKER @ 177.109	08/31/16	56.32	-60.43	-4.11
SYMANTEC CORP COM				
SOLD 580 SHS 06/10/16 @ 17.2781	06/15/16	10,006.58	-14,135.35	-4,128.77
TRIPADVISOR INC COM				
SOLD 127 SHS 08/11/16 @ 61.2742	08/16/16	7,778.48	-4,960.64	2,817.84

SCHEDULE 1 PG 9 OF 10

SALES

	DATE	PROCEEDS	COST	REALIZED GAIN/LOSS
TOTAL SALES		$ 359,623.21	$ -328,265.34	$ 31,357.87

SCHEDULE 1 PG 10 OF 10

UBS

Prepared for John and Anne Duffy
BW 15480 • Fdn Pace • PACE Multi Advisor
Risk profile Aggressive/Speculative
Return Objective Current Income and Capital Appreciation

Realized gain/loss

from 12/01/2015 to 11/30/2016

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS ADV	35241W500	MFFKYE	7,930 11	05/20/2015	88,500 00	11/25/2016	85,803 77	-2,696 23	-3 05%	L
FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS ADV	35241W500	MFFKYE	7,432 43	08/11/2015	82,500.00	11/25/2016	80,418.91	-2,081 09	-2 52%	L
FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS ADV	35241W500	MFFKYE	235 92	12/29/2015	2,514 85	11/25/2016	2,552 60	37 75	1 50%	S
FRANKLIN K2 ALTERNATIVE STRATEGIES FUND CLASS ADV	35241W500	MFFKYE	54.04	12/29/2015	576.10	11/25/2016	584 75	8 65	1 50%	S
HENDERSON EUROPEAN FOCUS FUND CL I	425067642	MFHGAI	4,587 16	11/25/2013	153,969.87	08/02/2016	145,000 00	-8,969 87	-5 83%	L
HENDERSON EUROPEAN FOCUS FUND CL I	425067642	MFHGAI	1,371 36	11/25/2013	46,030.13	11/03/2016	41,264 07	-4,766 06	-10 35%	L
HENDERSON EUROPEAN FOCUS FUND CL I	425067642	MFHGAI	12 34	12/27/2013	433 62	11/03/2016	371 22	-62.40	-14 39%	L
HENDERSON EUROPEAN FOCUS FUND CL I	425067642	MFHGAI	120 34	12/29/2014	4,002.44	11/03/2016	3,620.97	-381.47	-9 53%	L
HENDERSON EUROPEAN FOCUS FUND CL I	425067642	MFHGAI	2,927 40	11/18/2015	100,000.00	11/03/2016	88,085 46	-11,914 54	-11 91%	S
HENDERSON EUROPEAN FOCUS FUND CL I	425067642	MFHGAI	80.62	12/29/2015	2,742.62	11/03/2016	2,425.80	-316 82	-11 55%	S
TOTAL REALIZED GAIN/(LOSS):					**481,269.63**		**450,127.55**	**-31,142.08**	**-6.47%**	

TOTAL GAINS:	46 40
TOTAL LOSSES:	-31,188 48
SHORT TERM - TOTAL REALIZED GAIN/(LOSS):	-12,184 96
LONG TERM - TOTAL REALIZED GAIN/(LOSS):	-18,957.12

SCHEDULE 2 PG1 OF 1

UBS

Prepared for John and Anne Duffy
BW 16136 • Fdn Oak Rdg • ACCESS
Risk profile Moderate
Return Objective Capital Appreciation

Realized gain/loss

from 12/01/2015 to 11/30/2016

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
AFFILIATED MANAGERS GROUP	008252108	AMG	25 00	08/28/2009	1,649.25	02/19/2016	3,202 63	1,553.38	94 19%	L
AFFILIATED MANAGERS GROUP	008252108	AMG	61.00	12/10/2010	5,972.71	02/19/2016	7,814.42	1,841.71	30 84%	L
AFFILIATED MANAGERS GROUP	008252108	AMG	14.00	04/05/2012	1,583 82	02/19/2016	1,793 47	209.65	13 24%	L
AKORN INC	009728106	AKRX	216.00	09/12/2012	3,129.20	12/22/2015	7,769.44	4,640.24	148 29%	L
AKORN INC	009728106	AKRX	42 00	12/12/2012	564 76	12/22/2015	1,510 73	945.97	167 50%	L
ALLERGAN PLC	G0177J108	AGN	102.00	03/19/2015	31,914.08	11/14/2016	20,659.86	-11,254.22	-35.26%	L
ALLERGAN PLC	G0177J108	AGN	16 00	07/27/2015	5,264.90	11/14/2016	3,240 76	-2,024.14	-38.45%	L
ALLERGAN PLC	G0177J108	AGN	23 00	07/29/2015	7,778.80	11/14/2016	4,658.60	-3,120 20	-40 11%	L
CARDINAL HEALTH INC	14149Y108	CAH	163 00	11/01/2013	9,894 84	02/19/2016	13,138 65	3,243 81	32 78%	L
CERNER CORP	156782104	CERN	214.00	07/13/2012	8,715.91	11/07/2016	11,247.69	2,531 78	29 05%	L
CITRIX SYSTEMS INC	177376100	CTXS	375 00	07/24/2014	25,093.35	10/21/2016	31,992 50	6,899 15	27.49%	L
DECKERS OUTDOOR CORP	243537107	DECK	130.00	07/20/2010	5,851.77	02/12/2016	6,413.73	561.96	9.60%	L
DECKERS OUTDOOR CORP	243537107	DECK	49.00	07/29/2010	2,461.66	02/12/2016	2,417 49	-44 17	-1.79%	L
DECKERS OUTDOOR CORP	243537107	DECK	11 00	04/05/2012	713.24	02/12/2016	542.70	-170.54	-23 91%	L
DECKERS OUTDOOR CORP	243537107	DECK	14.00	04/12/2012	883.56	02/12/2016	690 71	-192.85	-21.83%	L
EXPRESS SCRIPTS HLDG CO	30219G108	ESRX	71 00	08/28/2009	2,552.57	07/20/2016	5,624.62	3,072.05	120 35%	L
EXPRESS SCRIPTS HLDG CO	30219G108	ESRX	30 00	04/05/2012	1,709.70	07/20/2016	2,376 61	666.91	39.01%	L
EXPRESS SCRIPTS HLDG CO	30219G108	ESRX	89.00	12/20/2013	6,140.11	07/20/2016	7,050.58	910.47	14 83%	L
HAIN CELESTIAL GROUP INC	405217100	HAIN	416 00	12/19/2013	17,670.95	08/16/2016	16,029 71	-1,641.24	-9 29%	L
IONIS PHARMACEUTICALS INC	462222100	IONS	223.00	12/10/2014	13,680.65	05/26/2016	5,247.08	-8,433 57	-61.65%	L
O REILLY AUTOMOTIVE INC	67103H107	ORLY	58 00	09/30/2009	2,091.38	10/25/2016	16,117 97	14,026.59	670 69%	L
PROOFPOINT INC	743424103	PFPT	177 00	04/09/2015	10,813.44	10/21/2016	13,342.77	2,529 33	23.39%	L
SALLY BEAUTY CO INC	79546E104	SBH	541.00	06/29/2012	13,690.01	10/11/2016	13,691 81	1.80	0 01%	L
STERICYCLE INC	858912108	SRCL	126 00	08/28/2009	6,300.71	10/11/2016	9,593.68	3,292.97	52.26%	L
STERICYCLE INC	858912108	SRCL	15 00	04/05/2012	1,281.30	10/11/2016	1,142 10	-139 20	-10 86%	L
VERISK ANALYTICS INC	92345Y106	VRSK	226.00	02/12/2015	15,221.73	01/25/2016	15,915 94	694.21	4 56%	S
WASTE CONNECTIONS INC **MERGER EFF 06/2016**	941053100		489 00	08/28/2009	8,951.96	06/01/2016	32,102.36	23,150 40	258 61%	L

SCHEDULE 3 PG 1 OF 2

Prepared for John and Anne Duffy
BW 16136 • Fdn Oak Rdg • ACCESS
Risk profile Moderate
Return Objective Capital Appreciation

Realized gain/loss - from 12/01/2015 to 11/30/2016 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
WASTE CONNECTIONS INC **MERGER EFF 06/2016**	941053100		46.00	04/05/2012	1,501.74	06/01/2016	3,019.86	1,518 12	101.09%	L
WASTE CONNECTIONS INC **MERGER EFF 06/2016**	941053100		4.00	04/12/2012	130 20	06/01/2016	262.59	132.39	101.68%	L
TOTAL REALIZED GAIN/(LOSS):					**213,208.30**		**258,611.06**	**45,402.76**	**21.30%**	

TOTAL GAINS:	72,422 89
TOTAL LOSSES:	-27,020.13
SHORT TERM - TOTAL REALIZED GAIN/(LOSS):	694.21
LONG TERM - TOTAL REALIZED GAIN/(LOSS):	44,708 55

SCHEDULE 3 PG 2 OF 2

JOHN & ANNE DUFFY FOUNDATION, INC.
Charitable Contributions
December 2015 through November 2016

Date	Name	Paid Amount
CONTRIBUTIONS PAID - CASH		
11/28/2016	EMERGE MARYLAND	500.00
11/28/2016	WORLD WILDLIFE FUND	500.00
11/28/2016	RARITAN HEADWATER ASSOCIATION	500.00
11/28/2016	MALI KALANSO	500.00
11/28/2016	CORNELIA CONNELLY CENTER	500.00
11/28/2016	PROPUBLICA	1,000 00
11/28/2016	OXFAM AMERICA	1,000.00
11/28/2016	RODALE INSTITUTE	1,000.00
11/28/2016	GLOBAL PEDIATRIC ALLIANCE	1,500.00
11/28/2016	WOMEN FOR WOMEN INTERNATION	1,500.00
11/28/2016	WINGS	1,500.00
11/28/2016	TO SOAR	2,000.00
11/28/2016	WOUNDED WARRIOR PROJECT	2,000.00
11/28/2016	CAMP KIEVE	2,000.00
11/28/2016	EVERYTOWN FOR GUN SAFETY	2,000.00
11/28/2016	NJ SEEDS	2,000.00
11/28/2016	BREAD FOR THE WORLD	2,500.00
11/28/2016	WNYC	2,500.00
11/28/2016	CENTRAL ASIA INSTITUTE	3,000.00
11/28/2016	PPFA	3,000.00
11/28/2016	SHINING HOPE FOR COMMUNITIES	3,000.00
11/28/2016	DOCTORS WITHOUT BORDERS	3,500.00
11/28/2016	CAMP KIEVE	4,000.00
11/28/2016	NATURAL RESOURCE DEFENSE COUNCIL	4,500.00
11/28/2016	COMMUNITY FOOD BANK OF NJ	4,500.00
11/28/2016	MAP INTERNATIONAL	5,000.00
11/28/2016	INTERNATIONAL RESCUE COMMITTEE	5,000.00
11/28/2016	WEEKAPAUG FOUNDATION FOR CONSERVATION-	5,000 00
11/28/2016	CANCER RESEARCH & TREATMENT FUND, INC.	5,000.00
11/28/2016	POTS	5,000.00
11/28/2016	NATIONAL PARKS FOUNDATION	5,000.00
11/28/2016	INTERNATIONAL RESCUE COMMITTEE	5,000.00
11/28/2016	WNET/13	6,000.00
11/28/2016	WILLOW SCHOOL	6,000.00
11/28/2016	PARENTS AS TEACHERS	7,500 00
11/28/2016	BANNER ALZHEIMER'S FOUNDATION	7,500.00
11/28/2016	BUTLER HOSPITAL ALZHEIMERS RESEARCH	7,500.00
11/28/2016	COVENANT HOUSE	10,000.00
11/28/2016	DOCTORS WITHOUT BORDERS	10,000.00
11/28/2016	HARTWICK COLLEGE	10,000.00
11/28/2016	COVENANT HOUSE	16,000.00
11/28/2016	EPISCOPAL PREACHING FOUNDATION, INC.	20,000.00
11/29/2016	ONE ACRE FUND	1,000.00
11/29/2016	THIS CHILD HERE	1,000.00
11/29/2016	ANGEL CHARITY FOR CHILDREN	1,000.00
11/29/2016	R4 ALLIANCE	1,000.00
11/29/2016	THE INTERNATIONAL FEDERATION OF RED CROSS	1,000 00
11/29/2016	HABITAT FOR HUMANITY	1,000.00
Total CONTRIBUTIONS PAID - CASH		192,000 00
TOTAL		**192,000.00**

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

SCHEDULE 6 PG 1 OF 1

Beacon Trust

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 11/01/16 - 11/30/16

000521-0005143- J7-0020-0000000000-01-L

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						
MARKETABLE CDS						
COMPASS BK BIRMINGHAM ALA CTF DEP 1.30% DTD 07/31/2015 DUE 07/31/2017 NON-CALLABLE	50,000	50,212.00 100.42	50,000.00 100.00	212.00	650.00 218.47	1.29%
DISCOVER BK CTF DEP 1.70% DTD 07/29/2015 DUE 07/30/2018 NON-CALLABLE	20,000	20,240.60 101.20	19,997.00 99.99	243.60	340.00 115.22	1.68%
TOTAL MARKETABLE CDS		$ 70,452.60	$ 69,997.00	**$ 455.60**	$ 990.00 $ 333.69	**1.41%**
TOTAL FIXED INCOME		$ 70,452.60	$ 69,997.00	$ 455.60	**$ 990.00 $ 333.69**	**1.41%**
EQUITIES						
COMMON STOCK						
MATERIALS						
LYONDELLBASELL INDUSTRIES N V SHS A	291	26,283.12 90 32	18,234.48 62.66	8,048.64	989.00 247.35	3.76%
SHERWIN WILLIAMS CO COM	95	25,523.65 268.67	20,455.12 215.32	5,068.53	319.00 79.80	1.25%

SCHEDULE 4 PG 1 OF 7

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 MATERIALS		**$ 51,806.77**	**$ 38,689.60**	**$ 13,117.17**	**$ 1,308.00** **$ 327.15**	**2.53%**
INDUSTRIALS						
CUMMINS INC COM	129	18,289.62 141.78	11,676.16 90.51	6,613 46	528.00 132.22	2 89%
FORTIVE CORP COM	209	11,492.91 54.99	10,186.81 48 74	1,306.10	58.00 14.63	0.51%
ILLINOIS TOOL WKS INC COM	319	39,932.42 125.18	18,993.66 59.54	20,938.76	829.00	2 08%
NORTHROP GRUMMAN CORP COM	203	50,678.95 249.65	21,494.55 105.88	29,184.40	730 00	1.44%
RAYTHEON CO COM NEW	181	27,066.74 149.54	23,011.18 127.13	4,055.56	530.00	1.96%
UNION PAC CORP COM	216	21,887.28 101.33	20,757.09 96.10	1,130.19	522.00 130.68	2.39%
UNITED PARCEL SVC INC CL B	282	32,689.44 115.92	26,795.05 95.02	5,894.39	879 00	2.69%
TOTAL INDUSTRIALS		**$ 202,037.36**	**$ 132,914.50**	**$ 69,122.86**	**$ 4,076.00** **$ 277.53**	**2.02%**

CONSUMER DISCRETIONARY

SCHEDULE 4 PG 2 OF 7

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
COMCAST CORP CL A	585	40,663.35 69.51	17,240.69 29.47	23,422.66	643.00	1.58%
HOME DEPOT INC COM	202	26,138.80 129.40	14,932.23 73.92	11,206.57	557.00 139.38	2 13%
OMNICOM GROUP INC COM	409	35,558.46 86.94	30,751.28 75.19	4,807.18	899.00	2.53%
SERVICEMASTER GLOBAL HLDGS INC COM	549	20,982.78 38.22	21,494.89 39.15	-512.11		
TJX COS INC NEW COM	442	34,626.28 78.34	28,886.93 65.36	5,739.35	459.00 114.92	1.33%
THOR INDS INC COM	245	24,639.65 100.57	17,333.09 70.75	7,306.56	323.00	1.31%
ULTA SALON COSMETICS & FRAGRANCE INC COM	105	27,247.50 259.50	18,701.99 178.11	8,545.51		
TOTAL CONSUMER DISCRETIONARY		$ 209,856.82	$ 149,341.10	**$ 60,515.72**	**$ 2,881.00** **$ 254.30**	**1.37%**
CONSUMER STAPLES						
KRAFT HEINZ CO COM	334	27,271.10 81.65	16,052.20 48.06	11,218.90	801.00 200.40	2.94%

SCHEDULE 4 PG 3 OF 7

0009-0020-000000000-01-L 000521-0005

Beacon Trust

DUFFY FOUNDATION

ACCOUNT NUMBER: **63-0010-01-5**
STATEMENT PERIOD: **11/01/16 - 11/30/16**

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 CONSUMER STAPLES		$ 27,271.10	$ 16,052.20	**$ 11,218.90**	**$ 801.00** **$ 200.40**	**2.94%**
ENERGY						
SCHLUMBERGER LTD COM	408	34,292.40 84.05	27,173.67 66.60	7,118.73	816.00	2.38%
TOTAL ENERGY		$ 34,292.40	**$ 27,173.67**	**$ 7,118.73**	**$ 816.00** **$ 0.00**	**2.38%**
FINANCIALS						
JPMORGAN CHASE & CO COM	526	42,169.42 80.17	33,265.00 63.24	8,904.42	1,009.00	2.39%
TD AMERITRADE HLDG CORP COM	550	22,555.50 41 01	20,836.03 37.88	1,719.47	396.00	1.76%
US BANCORP DEL COM NEW	707	35,081.34 49.62	25,796.22 36.49	9,285.12	791.00	2.26%
TOTAL FINANCIALS		$ 99,806.26	$ 79,897.25	$ 19,909.01	**$ 2,196.00** **$ 0.00**	**2.20%**
HEALTH CARE						
ABBVIE INC COM	329	20,003.20 60.80	14,208.26 43.19	5,794.94	842.00	4.21%

SCHEDULE 4 PG 4 OF 7

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
AMERISOURCEBERGEN CORP COM	236	18,405.64 77.99	11,636.28 49.31	6,769.36	344.00 86.14	1.87%
AMGEN INC COM	172	24,780.04 144.07	19,885.11 115.61	4,894.93	688.00 172.00	2.78%
CELGENE CORP COM	99	11,732.49 118.51	4,770.49 48.19	6,962.00		
GILEAD SCIENCES INC COM	115	8,475.50 73.70	9,736.35 84.66	-1,260.85	216.00	2.55%
STRYKER CORP COM	231	26,255.46 113.66	22,582.08 97.76	3,673.38	351.00	1 34%
UNITEDHEALTH GROUP INC COM	144	22,798.08 158.32	20,278.44 140.82	2,519.64	360.00 90.00	1.58%
TOTAL HEALTH CARE		$ 132,450.41	$ 103.097.01	**$ 29,353.40**	**$ 2,801.00** **$ 348.14**	**2.12%**
INFORMATION TECHNOLOGY						
ACTIVISION BLIZZARD INC COM	629	23,027.69 36.61	10,450.83 16.62	12,576.86	163 00	0.71%
ALIBABA GROUP HLDG LTD SPONSORED ADS	188	17,675 76 94.02	18,997.93 101.05	-1,322.17		

SCHEDULE 4 PG 5 OF 7

000521-0005145-0011-0020-0000000000-01-L

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
ALPHABET INC CAP STK CL A	33	25,604 04 775.88	10,506.27 318.37	15,097.77		
APPLE INC COM	294	32,492.88 110.52	20,640.54 70.21	11,852.34	670.00	2.06%
AUTOMATIC DATA PROCESSING INC COM	268	25,733.36 96.02	13,163.31 49.12	12,570.05	611.00	2.37%
CDK GLOBAL INC COM	247	14,251.90 57.70	8,255.19 33.42	5,996.71	138.00	0.97%
FACEBOOK INC CL A	243	28,776 06 118.42	17,643.65 72.61	11,132.41		
INTUIT COM	190	21,599.20 113.68	19,927.73 104.88	1,671.47	258.00	1.20%
MASTERCARD INC CL A	273	27,900.60 102.20	26,261.87 96.20	1,638.73	207.00	0.74%
MICROSOFT CORP COM	684	41,217.84 60.26	30,887.89 45.16	10,329.95	1,067.00 266.76	2.59%
PAYPAL HLDGS INC COM	598	23,489.44 39 28	20,728.35 34.66	2,761.09		
SYMANTEC CORP COM	568	13,853 52 24.39	12,205 74 21.49	1,647.78	170.00 42.60	1.23%

SCHEDULE 4 PG 6 OF 7

Beacon Trust

DUFFY FOUNDATION

ACCOUNT NUMBER: 63-0010-01-5
STATEMENT PERIOD: 11/01/16 - 11/30/16

PORTFOLIO INVESTMENTS

ASSET DESCRIPTION	SHARES/ FACE VALUE	MARKET VALUE/ PRICE	TOTAL COST/ AVG UNIT COST	UNREALIZED GAIN/LOSS	EST. INCOME/ ACCRUED INCOME	CUR. YIELD
VANTIV INC CL A	565	31,882.95 56.43	26,811.20 47 45	5,071 75		
TOTAL INFORMATION TECHNOLOGY		$ 327,505.24	**$ 236,480.50**	**$ 91,024.74**	**$ 3,284.00** **$ 309.36**	1.00%
TOTAL COMMON STOCK		$ 1,085,026.36	**$ 783,645.83**	**$ 301,380.53**	**$ 18,163.00** **$ 1,716.88**	1.68%
TOTAL EQUITIES		$ 1,085,026.36	$ 783.645.83	**$ 301,380.53**	**$ 18,163.00** **$ 1,716.88**	1.68%
TOTAL MARKET VALUE		$ 1,176,771.43	$ 874,935.30	**$ 301,836.13**	**$ 19,163.00** **$ 2,051.99**	1.63%
TOTAL MARKET VALUE PLUS ACCRUED INCOME		$ 1,178,823.42				

SCHEDULE 4 PG 7 OF 7

000521-0005 -0013-0020-0000000000-01-L

Account name: JOHN AND ANNE DUFFY
Friendly account name: Fdn Oak Rdg
Account number: BW 16136 35

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

Your assets

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

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)		
ACADIA HEALTHCARE CO INC								
Symbol ACHC Exchange OTC	Oct 17, 16	165 000	43 605	7,194 89	38 010	6 271 65	-923 24	
ACCELERON PHARMA INC								
Symbol XLRN Exchange OTC	Apr 1, 15	289 000	36.688	10,603 09	33 690	9,736 41	-866 68	
ACUITY BRANDS INC								
Symbol AYI Exchange NYSE								
EAI $31 Current yield 0 21%	Oct 11, 16	59,000	240 795	14,206 91	251 410	14,833 19	626 28	ST
AKORN INC								
Symbol AKRX Exchange OTC	Dec 12, 12	477 000	13.446	6,414 08	21 220	10,121 94	3,707 86	
	Jan 5, 15	149 000	37.684	5,614 99	21 220	3,161 78	-2,453 21	
	Nov 7, 16	297 000	19 896	5,909 40	21 220	6,302 34	392 94	
Security total		923 000	19 435	17,938 47		19 586 06	1 647 59	
ALEXION PHARMACEUTICALS INC								
Symbol ALXN Exchange OTC	Jul 21, 14	77 000	162.267	12,494 56	122 590	9,439 43	3 055 13	LT

continued next page

SCHEDULE 5 PG 1 OF 9

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

	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 14, 16	97 000	119 880	11,628 36	122 590	11,891 23	262 87	
Security total		174 000	138 637	24,122 92		21,330 66	-2,792 26	
ALLIANCE DATA SYSTEMS CORP								
Symbol ADS Exchange NYSE								
EAI $166 Current yield 0 91%	Aug 28, 09	66 000	56 645	3,738 60	228 780	15,099 48	11,360 88	
	Apr 5, 12	14 000	126 290	1,768 06	228 780	3,202 92	1,434 86	
Secur :, total		80 000	68 833	5,506 66		18,302 40	12,795 74	
ALPHABET INC CL A								
Symbol GOOGL Exchange OTC	Mar 16, 07	5 000	222 002	1,110 01	775 880	3,879 40	2,769 39	LT
	Feb 20, 08	5 000	252 514	1,262 57	775 880	3,879 40	2,616 83	LT
	Jul 25, 08	5 000	244 360	1,221 80	775 880	3,879 40	2,657 60	LT
	Mar 25, 10	4 000	283 585	1,134 34	775 880	3,103 52	1,969 18	LT
	Apr 5, 12	3 000	316 710	950 13	775 880	2,327 64	1,377 51	LT
	Jun 24, 14	26 000	581 999	15,131 99	775 880	20,172 88	5,040 89	LT
Security total		48 000	433 559	20,810 84		37,242 24	16,431 40	
ALPHABET INC CL C								
Symbol GOOG Exchange OTC	Mar 16, 07	4 953	220 713	1,093 26	758 040	3,754 80	2,661 54	
	Feb 20, 08	5 014	251 043	1,258 68	758 040	3,800 66	2,541 98	
	Jul 25, 08	5 014	242 944	1,218 05	758 040	3,800 59	2,582 54	
	Mar 25, 10	4.011	281 932	1,130 83	758 040	3,040 50	1,909 67	
	Apr 5, 12	3 008	314 879	947 22	758 040	2,280 34	1,333 12	
	Sep 30, 15	28 000	607 650	17,014 22	758 040	21,225 12	4,210 90	
		50 000	453 245	22,662 26		37,902 00	15 239 75	
AMAZON COM INC								
Symbol AMZN Exchange OTC	Oct 15, 14	64 000	303 337	19,413 59	750 570	48,036 48	28,622 89	
AMETEK INC (NEW)								
Symbol AME Exchange NYSE								
EAI $165 Current yield 0 76%	Feb 10, 11	404 500	29 320	11,860 32	47 350	19,153 08	7,292 76	
	Apr 5, 12	48 000	32 183	1,544 83	47 350	2,272 80	727 97	
	Apr 12, 12	4 500	32 277	145 25	47 350	213 08	67 83	
		457 000	29 651	13,550 40		21,638 95	8,088 56	
ANSYS INC								
Symbol ANSS Exchange OTC	Aug 28, 09	210 000	36 397	7,643 54	94 030	19,746 30		

SCHEDULE 5 PG 2 OF 9

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 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Apr 5, 12	24 000	64 014	1,536 34	94 030	2,256 72	720 38	LT
	Apr 12, 12	2 000	63 520	127 04	94 030	188 06	61 02	LT
Security total		236 000	39 436	9,306 92		22,191 08	12,884 16	
APPLE INC								
Symbol AAPL Exchange OTC								
EAI $1,596 Current yield 2 06%	Nov 23, 15	700 000	118 095	82,666 50	110 520	77,364 00	-5,302 50	LT
BIOGEN INC								
Symbol BIIB Exchange OTC	Jul 27, 15	48 000	307 468	14,758 48	294 070	14,115 36	-643 12	LT
CARDINAL HEALTH INC								
Symbol CAH Exchange NYSE								
EAI $357 Current yield 2 53%	Nov 1, 13	25 000	60 704	1,517 61	71 010	1,775 25	257 64	LT
	Dec 19, 13	76 000	66 638	5,064 50	71 010	5,396 76	332 26	LT
	Mar 2 15	98 000	89 370	8,758.31	71 010	6,958 98	-1,799 33	LT
Security total		199 000	77 088	15,340 42		14,130 99	-1,209 43	
CELGENE CORP								
Symbol CELG Exchange OTC	Dec 7, 07	36 000	29 195	1,051 02	118 510	4,266 36	3,215 34	LT
	Aug 28, 09	88 000	26 270	2,311 76	118 510	10,428 88	8,117 12	LT
	Apr 5, 12	44 000	39 720	1,747 68	118 510	5,214 44	3,466 76	LT
	Apr 12, 12	8 000	39 312	314 50	118 510	948 08	633 58	LT
	Dec 11 12	120 000	41 256	4,950 73	118 510	14,221 20	9,270 47	LT
Security total		296 000	35 053	10,375 69		35,078 96	24,703 27	
CHURCH & DWIGHT CO INC								
Symbol CHD Exchange NYSE								
EAI $599 Current yield 1 62%	Aug 28, 09	756 000	14 300	10,811 27	43 790	33,105 24	22,293 97	LT
	Apr 5, 12	88 000	24 797	2,182 18	43 790	3,853 52	1,671 34	LT
Security total		844 000	15 395	12,993 45		36,958 76	23,965 31	
COGNIZANT TECH SOLUTIONS CRP								
Symbol CTSH Exchange OTC	Oct 7, 09	60 000	19 603	1,176 18	55 080	3,304 80	2,128 62	LT
	Jan 8, 10	244 000	23 197	5,660 21	55 080	13,439 52	7,779 31	LT
	Apr 5, 12	30 000	38 525	1,155 75	55 080	1,652 40	496 65	LT
	Apr 12, 12	2 000	38 290	76 58	55 080	110 16	33 58	LT
Security total		336 000	24 014	8,068 72		18,506 88	10,438 16	

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SCHEDULE 5 PG 3 OF 9

Account name: JOHN AND ANNE DUFFY
Friendly account name: Fdn Oak Rdg
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 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
COSTCO WHOLESALE CORP Symbol COST Exchange OTC EAI $378 Current yield 1 20%	Oct 11 16	210 000	150 240	31,550 40	150 110	31,523 10	-27 30	ST
CVS HEALTH CORP Symbol CVS Exchange NYSE EAI $532 Current yield 2 21%	Mar 26, 14	313 000	76 016	23,793 26	76 890	24,066 57	273 31	LT
DANAHER CORP Symbol DHR Exchange NYSE EAI $226 Current yield 0 64%	Mar 9, 09	60 000	18 481	1,108 89	78 170	4,690 20	3,581 31	LT
	May 27, 09	34 000	23 041	783 42	78 170	2,657 78	1,874 36	LT
	Jun 11, 09	26 000	23 931	622 22	78 170	2,032 42	1,410 20	LT
	Aug 28, 09	296 000	23 264	6,886 29	78 170	23,138 32	16,252 03	LT
	Apr 5, 12	27 000	41 602	1,123 27	78 170	2,110 59	987 32	LT
	Apr 12, 12	9 000	41 071	369 64	78 170	703 53	333 89	LT
Security total		452 000	24 101	10,893 73		35,332 84	24,439 11	
DEPOMED INC Symbol DEPO Exchange OTC	Mar 2, 15	477 000	23 027	10,984 21		9,110 70	-1,873 51	LT
DICK'S SPORTING GOODS INC Symbol DKS Exchange NYSE EAI $146 Current yield 1 02%	Nov 4, 16	242 000	57 124	13,824 06	59 070	14,294 94	470 88	ST
ECOLAB INC Symbol ECL Exchange NYSE EAI $346 Current yield 1 20%	Dec 7, 12	247 000	72 489	17,904 93	116 730	28,832 31	10 927 38	LT
EOG RESOURCES INC Symbol EOG Exchange NYSE EAI $96 Current yield 0 65%	Aug 7, 14	144 000	106 013	15,265 89	102 520	14,762 88	-503 01	LT
EPAM SYSTEMS INC Symbol EPAM Exchange NYSE	Mar 26, 14	361 000	32 940	11,891 45	65 900	23,789 90	11,898 45	LT
FACEBOOK INC CL A Symbol FB Exchange OTC	Jul 17, 15	311 000	95 086	29,571 96	118 420	36,828 62	7 256 66	LT
FORTINET INC Symbol FTNT Exchange OTC	Apr 9, 15	307 000	35 190	10,803 33	30 100	9,240 70	-1 562 63	LT

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SCHEDULE 5 PG 1 OF 9

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 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
FORTIVE CORP								
Symbol FTV Exchange NYSE								
EAI $63 Current yield 0 51%	Mar 9, 09	30 000	12 037	361 11	54 990	1,649 70	1,288 59	LT
	May 27, 09	17 000	15 006	255 11	54 990	934 83	679 72	LT
	Jun 11, 09	13 000	15.586	202 63	54 990	714 87	512 24	LT
	Aug 28, 09	148 000	15 152	2,242 50	54 990	8,138 52	5,896 02	LT
	Apr 5, 12	13 500	27 094	365 78	54 990	742 37	376 59	LT
	Apr 12, 12	4 500	26 751	120 38	54 990	247 46	127 08	LT
Security total		226 000	15 697	3,547 51		12,427 74	8,880 24	
GILEAD SCIENCES INC								
Symbol GILD Exchange OTC								
EAI $374 Current yield 2 55%	Oct 9, 08	2 000	20.810	41 62	73 700	147 40	105 78	LT
	Mar 19, 09	70 000	22 390	1,567 30	73 700	5,159 00	3,591 70	LT
	Apr 5, 12	42 000	23 800	999 60	73 700	3,095 40	2,095 80	LT
	Feb 18, 15	85 000	103 278	8,778 71	73 700	6,264 50	-2,514 21	LT
Security total		199 000	57 222	11,387 23		14,666 30	3,279 07	
ILLINOIS TOOL WORKS INC								
Symbol ITW Exchange NYSE								
EAI $616 Current yield 2 08%	Feb 10, 11	212 000	55 636	11,794 90	125 180	26,538 16	14,743 26	LT
	Apr 5, 12	23 000	56 250	1,293 75	125 180	2,879 14	1,585 39	LT
	Apr 12, 12	2 000	56 590	113 18	125 180	250 36	137 18	LT
Security total		237 000	55 704	13,201 83		29,667 66	16,465 83	
INCYTE CORP								
Symbol INCY Exchange OTC	Sep 11, 15	107 000	130 262	13,938 11	102 290	10,945 03	-2,993 08	LT
INTEL CORP								
Symbol INTC Exchange OTC								
EAI $495 Current yield 3 00%	Oct 14, 14	476 000	32 115	15,287 17	34 700	16,517 20	1,230 03	LT
INTERCONTINENTALEXCHANGE GROUP								
Symbol ICE Exchange NYSE								
EAI $323 Current yield 1 23%	Aug 28, 09	415 000	18 510	7,681 65	55 400	22,991 00	15,309 35	LT
	Apr 5, 12	50 000	27 706	1,385 30	55 400	2,770 00	1,384 70	LT
	Apr 12, 12	10 000	26 823	268 23	55 400	554 00	285 77	LT
Security total		475 000	19 653	9,335 18		26,315 00	16,979 82	

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SCHEDULE 5 PG 5 OF 9

Account name: JOHN AND ANNE DUFFY
Friendly account name: Fdn Oak Rdg
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 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
LILLY ELI & CO								
Symbol LLY Exchange NYSE								
EAI $855 Current yield 3 04%	Sep 2, 15	333 000	81 170	27,029 91	67 120	22,350 96	-4,678 95	LT
	Jan 27, 16	86 000	81 721	7,028 03	67 120	5,772 32	-1,255 71	ST
Security total		419 000	81 284	34,057 94		28,123 28	-5,934 66	
LKQ CORP NEW								
Symbol LKQ Exchange OTC	Dec 20 13	361 000	32 750	11,822 82	32 830	11,851 63	28 81	LT
MAXIMUS INC								
Symbol MMS Exchange NYSE								
EAI $63 Current yield 0 33%	Jul 2, 13	349 000	36 160	12,620 15	55 290	19,296 21	6,676 06	LT
MICROSOFT CORP								
Symbol MSFT Exchange OTC								
EAI $1,708 Current yield 2 59%	Jan 12, 16	567 000	52 627	29,839 85	60 260	34,167 42	4,327 57	ST
	Jan 25, 16	127 000	52 461	6,662 65	60 260	7,653 02	990 37	ST
	Nov 14, 16	401 000	57 980	23,249 98	60 260	24,164 26	914 28	ST
		1,095 000	54 568	59,752 48		65,984 70	6,232 22	
MONDELEZ INTL INC								
Symbol MDLZ Exchange OTC								
EAI $332 Current yield 1 84%	Sep 4, 12	437 000	26 969	11,785 78	41 240	18,021 88	6,236 10	LT
NEVRO CORP								
Symbol NVRO Exchange NYSE	Nov 7, 16	77 000	92 143	7,095 08	76 030	5,854 31	-1 240 77	ST
O REILLY AUTOMOTIVE INC								
Symbol ORLY Exchange OTC	Sep 30, 09	22 000	36 058	793 28	274 500	6,039 00	5,245 72	LT
	Apr 5, 12	25 000	92 690	2,317 25	274 500	6,862 50	4,545 25	LT
	Apr 12, 12	4 000	94 347	377 39	274 500	1,098 00	720 61	LT
Security total		51 000	68 391	3,487 92		13,999 50	10 511 58	
PEPSICO INC								
Symbol PEP Exchange NYSE								
EAI $707 Current yield 3 01%	Oct 10, 03	7 000	47 970	335 79	100 100	700 70	364 91	LT
	Apr 26, 07	35 000	66 990	2,344 65	100 100	3,503 50	1,158 85	LT
	Feb 19, 08	20 000	71 770	1,435 40	100 100	2,002 00	566 60	LT
	Nov 14, 08	33 000	55 050	1,816 65	100 100	3,303 30	1,486 65	LT
	Mar 9, 09	15 000	46 880	703 20	100 100	1,501 50	798 30	LT
	Mar 19, 09	30 000	49 400	1,482 00	100 100	3,003 00	1,521 00	LT

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SCHEDULE 5 PG 6 OF 9

Account name: JOHN AND ANNE DUFFY
Friendly account name: Fdn Oak Rdg
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 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 28, 09	70 000	56 930	3,985 10	100 100	7,007 00	3,021 90	LT
	Apr 5, 12	24 000	66 030	1,584 72	100 100	2,402 40	817 68	LT
	Apr 12, 12	1 000	65 380	65 38	100 100	100 10	34 72	LT
Security total		235 000	58 523	13,752 89		23,523 50	9 770 61	
PERRIGO CO PLC EUR Symbol PRGO Exchange NYSE EAI $49 Current yield 0 67% EUR Exchange rate 0 94268	Sep 25, 14	85 000	151 020	12,836 76	86 340	7,338 90	5,497 86	LT
PRICELINE GROUP INC NEW Symbol PCLN Exchange OTC	Mar 30, 10	15 000	256 288	3,844 32	1,503 680	22,555 20	18,710 88	LT
	Apr 5, 12	3 000	755 600	2,266 80	1,503 680	4,511 04	2,244 24	LT
Security total		18 000	339 507	6,111 12		27 066 24	20 955 12	
ROSS STORES INC Symbol ROST Exchange OTC EAI $298 Current yield 0 80%	Aug 24, 11	354 000	18 456	6,533 67	67 590	23,926 86	17,393 19	LT
	Mar 28, 12	136 000	29 317	3,987 12	67 590	9,192 24	5,205 12	LT
	Apr 5, 12	62 000	29 855	1,851 01	67 590	4,190 58	2,339 57	LT
Security total		552 000	22 413	12,371 80		37,309 68	24,937 88	
SAGE THERAPEUTICS INC Symbol SAGE Exchange OTC	Nov 14, 16	131 000	53 470	7,004 57	50 110	6 564 41	-440 16	ST
SHIRE PLC SPON ADR Symbol SHPG Exchange OTC EAI $133 Current yield 0 46%	May 2, 16	91 000	186 819	17,000 53	174 600	15,888 60	-1,111 93	ST
	Nov 7, 16	74 000	168 668	12,481 47	174 600	12,920 40	438 93	ST
Security total		165 000	178 679	29,482 00		28,809 00	-673 00	
STARBUCKS CORP Symbol SBUX Exchange OTC EAI $332 Current yield 1 73%	Dec 20, 12	332 000	27 010	8,967 32	57 970	19,246 04	10,278 72	LT
SYNCHRONOSS TECHNOLOGIES INC Symbol SNCR Exchange OTC	Feb 3, 15	302 000	44 179	13,342 06	48 480	14,640 96	1,298 90	LT
	Apr 9, 15	143 000	48 714	6,966 23	48 480	6,932 64	-33 59	LT
Security total		445 000	45 637	20,308 29		21,573 60	1,265 31	

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SCHEDULE 5 PG 7 OF 9

Account name: JOHN AND ANNE DUFFY
Friendly account name: Fdn Oak Rdg
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 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
TRANSDIGM GROUP INC								
Symbol TDG Exchange NYSE	Mar 28, 12	70 000	73 958	5,177 07	251 430	17,600 10	12,423 03	LT
	Apr 5, 12	9 000	73 761	663 85	251 430	2,262 87	1,599 02	LT
Security total		79 000	73 936	5,840 92		19,862 97	14,022 05	
ULTA SALON COSMETICS & FRAGRANCE INC								
Symbol ULTA Exchange OTC	Aug 2, 13	161 000	104 205	16,777 09	259 500	41 779 50	25,002 41	LT
UNITEDHEALTH GROUP INC								
Symbol UNH Exchange NYSE								
EAI $700 Current yield 1 58%	Jul 27, 15	125 000	117 540	14,692 50	158 320	19,790 00	5,097 50	LT
	Jul 29, 15	117 000	121 353	14,198 35	158 320	18,523 44	4,325 09	LT
	Jul 20, 16	38 000	143 990	5,471 62	158 320	6,016 16	544 54	ST
Security total		280 000	122 723	34,362 47		44,329 60	9,967 13	
VERISK ANALYTICS INC								
Symbol VRSK Exchange OTC	Feb 12, 15	188 000	67 352	12,662 33	83 080	15,619 04	2,956 71	LT
VF CORP								
Symbol VFC Exchange NYSE								
EAI $444 Current yield 3 09%	Aug 25, 11	236 000	28 050	6,619 93	54 510	12,864 36	6,244 43	LT
	Apr 5, 12	28 000	37 557	1,051 61	54 510	1,526 28	474 67	LT
Security total		264 000	29 059	7 671 54		14,390 64	6,719 10	
VISA INC CL A								
Symbol V Exchange NYSE								
EAI $309 Current yield 0 85%	Apr 21, 09	88 000	13 910	1,224 08	77 320	6,804 16	5,580 08	LT
	May 6, 09	180 000	16 727	3,010 95	77 320	13,917 60	10,906 65	LT
	Aug 28, 09	148 000	17 381	2,572 45	77 320	11,443 36	8,870 91	LT
	Apr 5, 12	52 000	30 235	1,572 22	77 320	4,020 64	2,448 42	LT
		468 000	17 905	8,379 70		36,185 76	27,806 06	
WASTE CONNECTIONS INC CAD								
Symbol WCN Exchange NYSE								
EAI $388 Current yield 0 94%								
CAD Exchange rate 1 34460	Jun 1, 16	489 000	65 648	32,102 36	76 440	37,379 16	5,276 80	
	Jun 1, 16	46 000	65 649	3,019 86	76 440	3,516 24	496 38	
	Jun 1 16	4 000	65 647	262 59	76 440	305 76	43 17	
		539 000	65 649	35,384 81		41,201 16	5 816 35	

SCHEDULE 5 PG 8 OF 9

Account name: JOHN AND ANNE DUFFY
Friendly account name: Fdn Oak Rdg
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 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
Total				**$925,236.24**		**$1,339,479.11**	**$414,242.90**	

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