

State of New York
COMMISSION ON PUBLIC INTEGRITY

540 Broadway
Albany, NY 12207

Annual Statement of Financial Disclosure: For calendar year 2009

1. NAME (Last) (First) (MI)
Duffy Robert J.

2. (a) TITLE OF POSITION (b) DEPARTMENT, AGENCY OR OTHER GOVERNMENTAL ENTITY
Candidate for Lieutenant Governor

(c) ADDRESS OF PRESENT OFFICE (d) OFFICE TELEPHONE NUMBER
30 Church Street, Rochester, NY 14614 (585) 428-7045

3. (a) MARITAL STATUS IF MARRIED, PLEASE GIVE SPOUSE'S FULL NAME (including maiden name where applicable)
Married Barbara L. Duffy

(b) LIST THE NAMES OF ALL UNEMANCIPATED CHILDREN

Answer each of the following questions completely, with respect to calendar year 2009, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories: Category A - under \$5,000; Category B - \$5,000 to under \$20,000; Category C - \$20,000 to under \$60,000; Category D - \$60,000 to under \$100,000; Category E - \$100,000 to under \$250,000; and Category F - \$250,000 or over. A reporting individual shall indicate the Category by letter only. Categories are not subject to public inspection.

Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.

The term "calendar year" shall mean the year ending December 31" preceding the date of filing of the annual statement.

4. (a) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity or said entity, did business with, or had matters other than ministerial matters before any state or local agency, list the name of any such agency.

NONE

POSITION	ORGANIZATION	STATE OR LOCAL AGENCY
Board Member/Ex-Officio	Empire Zone (City)	Local
Board Member/Ex-Officio	REDCO (City)	Local
Board Member/Ex-Officio	Cultural Center Commission	Local
Board Member/Ex-Officio	Genesee Transportation Council	Local

<u>Position</u>	<u>Organization</u>	State or <u>Local Agency</u>
Board Member/Ex-Officio	Center for Governmental Research	Local
Board Member/Ex-Officio	Greater Rochester Enterprise	Local
Board Member/Ex-Officio	Visit Rochester	Local
Board Member/Ex-Officio	High Tech Rochester	Local
Board Member/Ex-Officio	Otetiana Council - Boy Scouts	Local

4. (b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

NONE

STATE OR

POSITION

ORGANIZATION

LOCAL AGENCY

Board (wife - Barbara)

Center for Youth

Local - Not Compensated

5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

NONE

NAME AND ADDRESS

STATE OR

POSITION

OF ORGANIZATION

DESCRIPTION

LOCAL AGENCY

Robert Duffy

4. (b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

NONE

STATE OR

LOCAL AGENCY

POSITION

ORGANIZATION

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5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

NONE

NAME AND ADDRESS

STATE OR

LOCAL AGENCY

POSITION

OF ORGANIZATION

DESCRIPTION

MAYOR	CITY OF ROCHESTER		LOCAL
	30 CHURCH STREET		
	ROCHESTER, N.Y.		
	14614		
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5. (b) If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

NONE

POSITION	NAME AND ADDRESS OF ORGANIZATION	DESCRIPTION	STATE OR LOCAL AGENCY
Human Resource Mgr.	St. John Fisher College 3690 East Avenue Rochester, NY 14618		

6. List any interest, in EXCESS of \$1,000 held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

NONE

SELF, SPOUSE OR CHILD	ENTITY WHICH HELD INTEREST IN CONTRACT	RELATIONSHIP TO ENTITY AND INTEREST IN CONTRACT	CONTRACTING STATE OR LOCAL AGENCY	CATEGORY OF VALUE OF CONTRACT

VALUE/AMOUNT CATEGORIES	A - UNDER \$5,000 B - \$5,000 to under \$20,000	C - \$20,000 to under \$60,000 D - \$60,000 to under \$100,000	E - \$100,000 to under \$250,000 F - \$250,000 or over
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7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the Election Law. The term "political organization" means any party or independent body as defined in the Election Law or any organization that is affiliated with or a subsidiary of a party or independent body.

NONE

Legislative District Committee Member - Monroe County Democratic Party
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8. (a) If the reporting individual practices law, is licensed by the Department of State as a real estate broker or agent, or practices a profession licensed by the Department of Education, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation. Do not list the name of individual clients, customers or patients.

NONE

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(b) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

NONE

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9. List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in Item 10. Indicate the value and nature of each such gift.

NONE

SELF, SPOUSE OR CHILD	NAME OF DONOR	ADDRESS	NATURE OF GIFT	CATEGORY OF VALUE OF GIFT
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10. Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by non-governmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or fact finding events. The term "reimbursement" does NOT include gifts reported under Item 9.

NONE

SOURCE	DESCRIPTION
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VALUE/AMOUNT	A - UNDER \$5,000	C - \$20,000 to under \$60,000	E - \$100,000 to under \$250,000
CATEGORIES	B - \$5,000 to under \$20,000	D - \$60,000 to under \$100,000	F - \$250,000 or over

11. List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans other than retirement plans of the State of New York or the City of New York, and deferred compensation plans (e.g., 401, 403(b), 457, etc.) established in accordance with the Internal Revenue Code in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

NONE

IDENTITY

457 - NYS Deferred Comp.

CATEGORY OF VALUE

* THE VALUE OF SUCH INTEREST SHALL BE REPORTED ONLY IF REASONABLY ASCERTAINABLE

12 (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

NONE

(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

NONE

13. List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

NONE

SELF/SPOUSE	SOURCE	NATURE	CATEGORY OF AMOUNT
Self	Wells Fargo First Clearing Brokerage	Tax Free Interest	

14. List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in Item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

NONE

SOURCE	CATEGORY OF AMOUNT

VALUE/AMOUNT CATEGORIES	A - UNDER \$5,000	B - \$5,000 to under \$20,000	C - \$20,000 to under \$60,000	D - \$60,000 to under \$100,000	E - \$100,000 to under \$250,000	F - \$250,000 or over
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13. List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

NONE

SELF/SPOUSE	SOURCE	NATURE	CATEGORY OF AMOUNT
SELF	CITY OF ROCHESTER	MAYOR	
SPOUSE	ST. JOHN FISHER COLLEGE	H.R. MANAGER	

14. List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in Item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

NONE

SOURCE	CATEGORY OF AMOUNT

VALUE/AMOUNT CATEGORIES	A - UNDER \$5,000 B - \$5,000 to under \$20,000	C - \$20,000 to under \$60,000 D - \$60,000 to under \$100,000	E - \$100,000 to under \$250,000 F - \$250,000 or over
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17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

NONE

SELF/SPOUSE/ CORPORATION	LOCATION	SIZE	GENERAL NATURE	ACQUISITION DATE	PERCENTAGE OF OWNERSHIP	CATEGORY OF MARKET VALUE
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18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in Item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

NONE

NAME OF DEBTOR	TYPE OF OBLIGATION, DATE DUE, AND NATURE OF COLLATERAL, IF ANY	CATEGORY OF AMOUNT
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VALUE/AMOUNT	A - UNDER \$5,000	C - \$20,000 to under \$60,000	E - \$100,000 to under \$250,000
CATEGORIES	B - \$5,000 to under \$20,000	D - \$60,000 to under \$100,000	F - \$250,000 or over

19. List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$5,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

NONE

NAME OF CREDITOR OR GUARANTOR	TYPE OF LIABILITY AND COLLATERAL, IF ANY	CATEGORY OF AMOUNT
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The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements

X Robert J. Duffy
(Signature of Reporting Individual)

6-28-10
Date (month/day/year)

REMINDERS:

- Please review the Statement to ensure all questions have been answered, including both parts (a) and (b) for questions 3, 4, 5, 8 and 12.
- Please remember to sign and date the Statement.
- Please keep a copy of the completed Statement for your records.
- Please be aware that any sheets attached to the Statement are also subject to public inspection.

VALUE/AMOUNT	A - UNDER \$5,000	C - \$20,000 to under \$60,000	E - \$100,000 to under \$250,000
CATEGORIES	B - \$5,000 to under \$20,000	D - \$60,000 to under \$100,000	F - \$250,000 or over