

# Statement of Financial Interests for 2009



PERSONAL INFORMATION		
<b>First Name and Middle initial:</b>	<b>Last Name:</b>	
Robert B	Duff	
<b>Street Address 1:</b>	<b>Street Address 2:</b>	
50 Toilsome Avenue		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
Norwalk	CONNECTICUT	06851
<input type="checkbox"/> If you are claiming an exemption from disclosure for this property under FOIA		
<b>Phone Number:</b>	<b>Email Address:</b>	
(860) 240-0414	bob.duff@cga.ct.gov	

OCCUPATION	
<input type="checkbox"/> Current Dual Employment	
<b>Current State Position:</b>	<b>Membership:</b>
Connecticut General Assembly	Senator - Other
<b>Name of District:</b>	
25	
<input type="checkbox"/> If you have held a different state position or left state service in 2009	
<input type="checkbox"/> Previous Dual Employment	
<b>Previous State Position:</b>	<b>Membership:</b>
<b>Name of Agency:</b>	

**SPOUSE**

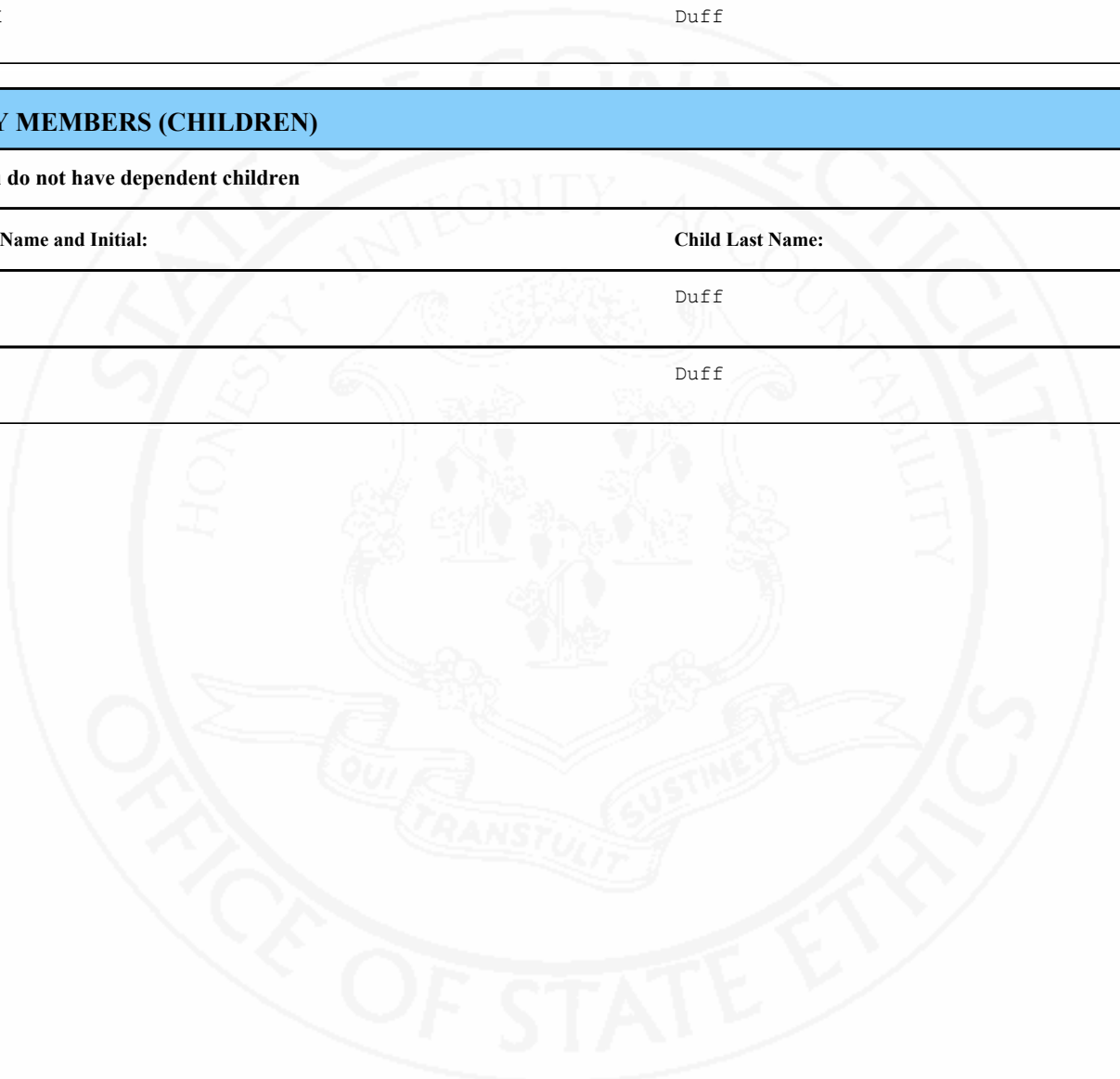
If you do not have a Spouse

Spouse First Name and Initial:	Spouse Last Name:
Tracey K	Duff

**FAMILY MEMBERS (CHILDREN)**

If you do not have dependent children

Child First Name and Initial:	Child Last Name:
Ryan	Duff
Colin	Duff



## REAL PROPERTY

If you do not own a property

If you are claiming an exemption from disclosure for this property under FOIA

Street Address 1:

Street Address 2:

50 Toilsome Avenue

City:

State:

Zip:

Norwalk

CONNECTICUT

06851

Country:

Owner or Beneficiary:

Robert & Tracey Duff

Held Directly?:

**Held By:** Note: If the property is not held directly, please list the corporation, partnership, or trust that holds the property for the benefit of you, your spouse, or dependent children residing with you.

If you are claiming an exemption from disclosure for this property under FOIA

Street Address 1:

Street Address 2:

20 Third Street

City:

State:

Zip:

Norwalk

CONNECTICUT

06855

Country:

Owner or Beneficiary:

Robert Duff

Held Directly?:

**Held By:** Note: If the property is not held directly, please list the corporation, partnership, or trust that holds the property for the benefit of you, your spouse, or dependent children residing with you.

If you are claiming an exemption from disclosure for this property under FOIA

Street Address 1:

Street Address 2:

53 Walter Avenue

City:

State:

Zip:

Norwalk

CONNECTICUT

06851

Country:

Owner or Beneficiary:

Tracey Duff

Held Directly?:

**Held By:** Note: If the property is not held directly, please list the corporation, partnership, or trust that holds the property for the benefit of you, your spouse, or dependent children residing with you.

If you are claiming an exemption from disclosure for this property under FOIA

Street Address 1:

Street Address 2:

25 Maple Street #2B

City:

State:

Zip:

Norwalk

CONNECTICUT

06850

Country:

Owner or Beneficiary:

Bruce, Joanne & Robert Duff

Held Directly?:

**Held By:** Note: If the property is not held directly, please list the corporation, partnership, or trust that holds the property for the benefit of you, your spouse, or dependent children residing with you.

**BUSINESSES**

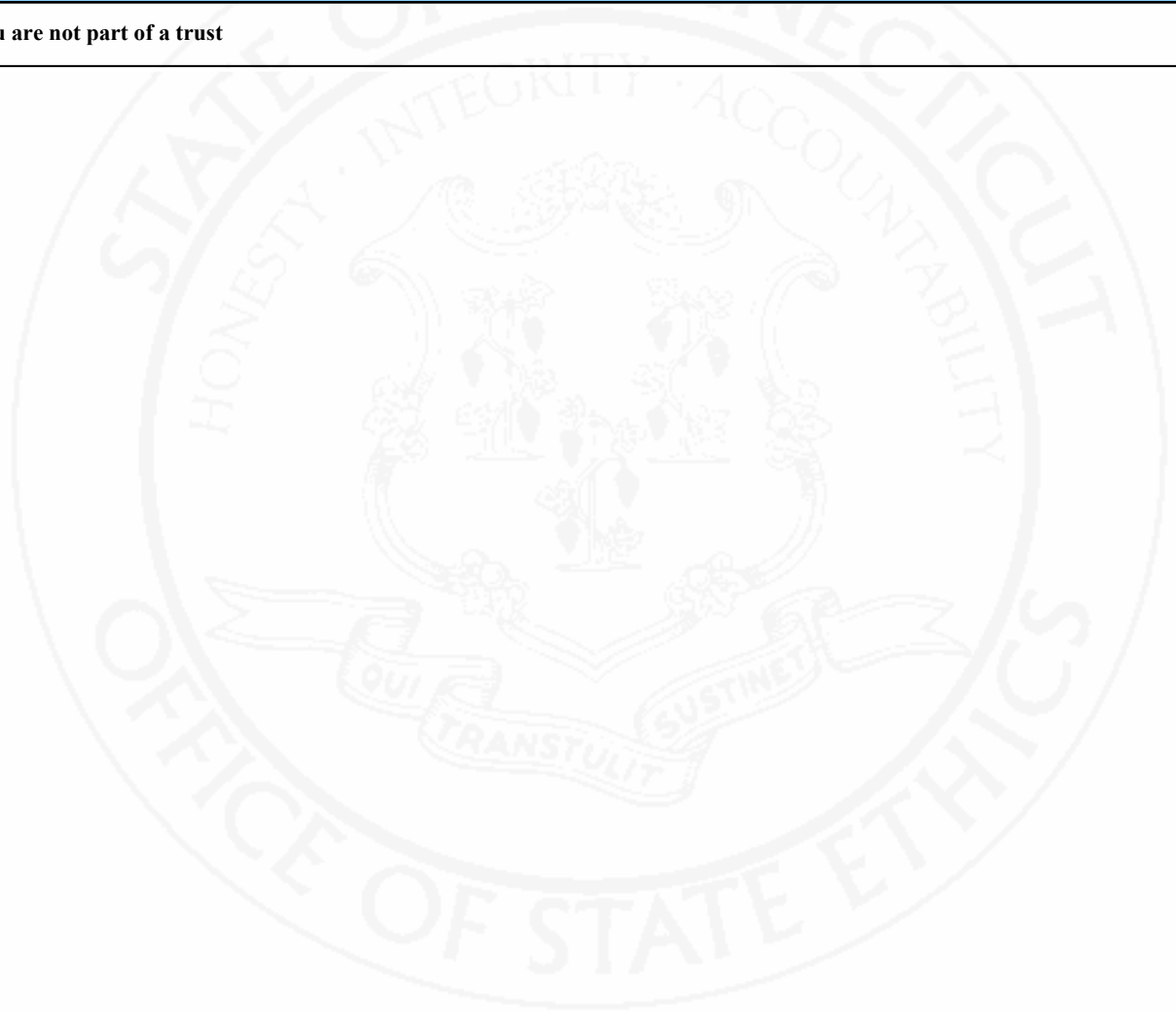
**BUSINESS (WITH WHICH ASSOCIATED)**

If you are not associated with any business

**BUSINESSES**

**TRUSTS**

If you are not part of a trust



## INCOME SOURCES

If you do not have a Income Source(s)

**Description of Source:**

Interest

**Name of Employer or Other Source:**

Interest

**Recipient:**

Joint

**Description of Source:**

Rent

**Name of Employer or Other Source:**

Other

**Recipient:**

Joint

**Description of Source:**

Salary/Wages

**Name of Employer or Other Source:**

Self Employed - Real Estate

**Recipient:**

Self

**Description of Source:**

Salary/Wages

**Name of Employer or Other Source:**

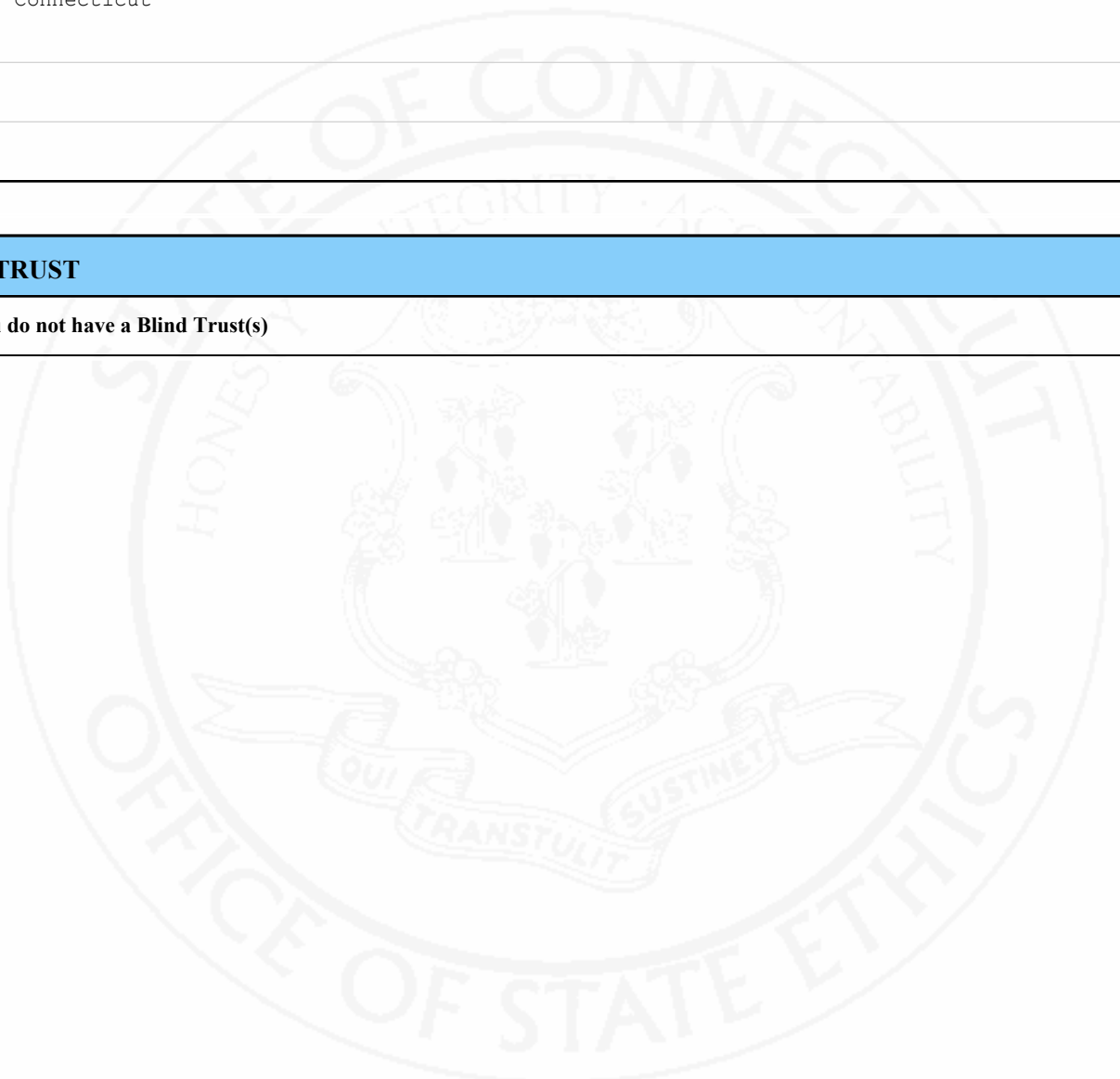
General Atlantic Partners

**Recipient:**

Spouse

<b>Description of Source:</b>
Salary/Wages
<b>Name of Employer or Other Source:</b>
State of Connecticut
<b>Recipient:</b>
Self

<b>BLIND TRUST</b>
<input checked="" type="checkbox"/> If you do not have a Blind Trust(s)



**SECURITIES**

If you had no interest in securities with a fair market value in excess of \$5,000 at any time during the calendar year

**Security Name:**

Oppenheimer Main Street Fund - A

**Owner or beneficiary if held by another:**

Self

**Held Directly?:**

**Held By:**

Note: If the Security is not held directly, list the trustee, corporation, etc.

**Security Name:**

Oppenheimer Quest Balanced Fund - A

**Owner or beneficiary if held by another:**

Self

**Held Directly?:**

**Held By:**

Note: If the Security is not held directly, list the trustee, corporation, etc.

**Security Name:**

Putnam Equity Income Fund

**Owner or beneficiary if held by another:**

Self

**Held Directly?:**

**Held By:**

Note: If the Security is not held directly, list the trustee, corporation, etc.

<b>Security Name:</b>
AMCAP Fund A
<b>Owner or beneficiary if held by another:</b>
Joint
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.
<b>Security Name:</b>
American Balanced Fund A
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.
<b>Security Name:</b>
Intermediate Bond Fund
<b>Owner or beneficiary if held by another:</b>
Joint
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.
<b>Security Name:</b>
AIM Small Cap Growth
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.

<b>Security Name:</b>
Alliance Bernstein Large Cap
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.
<b>Security Name:</b>
High Quality Intermediate Bond Fund
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.
<b>Security Name:</b>
Prime Fund Capital Reserves
<b>Owner or beneficiary if held by another:</b>
Self
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.
<b>Security Name:</b>
Putnam International Equity Fund
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.

<b>Security Name :</b>
Russell Life Points
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.

<b>Security Name :</b>
Russell SP Growth
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.

<b>Security Name :</b>
Short-Term Bond
<b>Owner or beneficiary if held by another:</b>
Spouse
<input checked="" type="checkbox"/> <b>Held Directly?:</b>
<b>Held By:</b>
Note: If the Security is not held directly, list the trustee, corporation, etc.

<b>LEASES</b>
<input checked="" type="checkbox"/> <b>If you do not have a State lease(s)</b>

<b>CONTRACTS</b>
<input checked="" type="checkbox"/> <b>If you do not have a State contract(s)</b>

<b>CONFIDENTIAL ADDENDUM</b>
<input checked="" type="checkbox"/> <b>I choose to retain confidentiality. Note: You must be ready to file all confidential information in this one session.</b>

## CERTIFICATION

- I UNDERSTAND that if I fail to file this statement timely and accurately, I may be subject to a penalty of up to \$10,000.
- I UNDERSTAND that all information I provide on this form shall be a matter of public record and may be disclosed by the Office of State ethics upon request, unless exempt from disclosure by General Statutes 1-83(c) or the Freedom of Information Act, Connecticut General Statutes 1-200 *et. seq* if I chose to retain confidentiality on my addendum.
- I UNDERSTAND that if, by reason of impossibility, I am unable to provide the information required by this form, I may petition the Citizen's Ethics Advisory Board for a waiver.
- I UNDERSTAND that I must file with the Office of State Ethics, a report of the payment or reimbursement of "necessary expenses" for lodging and/or out-of-state travel incurred by me, in my capacity as a public official or state employee, for an article, appearance, speech, or for my participation at an event, unless the payment or reimbursement is provided by the State of Connecticut, the federal government or another state government. I FURTHER UNDERSTAND that if, either intentionally or due to gross negligence, I fail to file such a report within thirty(30) days after receiving the payment or reimbursement, I will be required to return the payment or reimbursement and may be subject to a penalty for up to \$10,000.
- I CERTIFY, UNDER PENALTY OF FALSE STATEMENT, that this Annual Statement of Financial Interests, including the Confidential Addendum, is a complete and accurate statement of financial interests, as defined by Connecticut General Statutes 1-83(b)(1), for myself, my spouse, and dependent residing in my household, during the calendar year 2009

**I have read and agree to all above certifications.**

<b>Name:</b>	Robert B Duff
<b>Filed Date and Time:</b>	02/24/2010 8:49 AM