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## Return of Private Foundation

OMB No 1545-0052

2009

Department of the Treasury  
Internal Revenue Serviceor Section 4947(a)(1) Nonexempt Charitable Trust  
Treated as a Private Foundation

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

For calendar year 2009, or tax year beginning , and ending

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

Use the IRS label Otherwise, print or type See Specific Instructions	Name of foundation <b>ESSMAN FAMILY CHARITABLE FOUNDATION</b>		A Employer identification number <b>43-6804331</b>
	Number and street (or P O box number if mail is not delivered to street address) <b>21 SOMERSET DOWNS</b>		B Telephone number <b>314-993-7190</b>
	City or town, state, and ZIP code <b>ST. LOUIS, MO 63124</b>		C If exemption application is pending, check here <input type="checkbox"/>
	H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		D 1 Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <b>\$ 907,129.</b> (Part I, column (d) must be on cash basis.)		J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
			F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		1,829.	1,829.		STATEMENT 1
4 Dividends and interest from securities		22,756.	22,756.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		<49,818.>			
b Gross sales price for all assets on line 6a		392,050.			
7 Capital gain net income (from Part IV, line 2)			0.		
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)					
11 Other income		<24.>	<24.>		STATEMENT 3
12 Total. Add lines 1 through 11		<25,257.>	24,561.		
13 Compensation of officers, directors, trustees, etc.		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees					
c Other professional fees					
17 Interest					
18 Taxes		55.	55.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses		3,574.	3,574.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		3,629.	3,629.		0.
25 Contributions, gifts, grants paid		198,110.			198,110.
26 Total expenses and disbursements. Add lines 24 and 25		201,739.	3,629.		198,110.
27 Subtract line 26 from line 12.		<226,996.>			
a Excess of revenue over expenses and disbursements					
b Net investment income (if negative, enter -0-)			20,932.		
c Adjusted net income (if negative, enter -0-)				N/A	

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**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	1 Cash - non-interest-bearing	12,721.	4,471.	4,471.
	2 Savings and temporary cash investments			
	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			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges	1,560.		
	10a Investments - U.S. and state government obligations STMT 7	542.	542.	542.
	b Investments - corporate stock STMT 8	812,298.	902,116.	902,116.
	c Investments - corporate bonds			
11 Investments - land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment: basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 <b>Total assets</b> (to be completed by all filers)	827,121.	907,129.	907,129.	
<b>Liabilities</b>	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			
	22 Other liabilities (describe ▶)			
23 <b>Total liabilities</b> (add lines 17 through 22)	0.	0.		
<b>Net Assets or Fund Balances</b>	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	827,121.	907,129.	
30 <b>Total net assets or fund balances</b>	827,121.	907,129.		
31 <b>Total liabilities and net assets/fund balances</b>	827,121.	907,129.		

**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	827,121.
2 Enter amount from Part I, line 27a	2	<226,996.>
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 6	3	307,004.
4 Add lines 1, 2, and 3	4	907,129.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	907,129.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1a US BANK - SEE ATTACHED</b>	P	VARIOUS	VARIOUS
<b>b US BANK - SEE ATTACHED</b>	P	VARIOUS	VARIOUS
<b>c AMERITRADE - SEE ATTACHED</b>	P	VARIOUS	VARIOUS
<b>d AMERITRADE - SEE ATTACHED</b>	P	VARIOUS	VARIOUS
<b>e WELLS FARGO</b>	P	VARIOUS	VARIOUS

  

(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)
<b>a 4,718.</b>		<b>4,486.</b>	<b>232.</b>
<b>b 185,837.</b>		<b>210,764.</b>	<b>&lt;24,927.&gt;</b>
<b>c 26,156.</b>		<b>21,291.</b>	<b>4,865.</b>
<b>d 175,002.</b>		<b>204,990.</b>	<b>&lt;29,988.&gt;</b>
<b>e 337.</b>		<b>337.</b>	<b>0.</b>

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(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	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
<b>a</b>			<b>232.</b>
<b>b</b>			<b>&lt;24,927.&gt;</b>
<b>c</b>			<b>4,865.</b>
<b>d</b>			<b>&lt;29,988.&gt;</b>
<b>e</b>			<b>0.</b>

  

<b>2 Capital gain net income or (net capital loss)</b>	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	<b>2</b>	<b>&lt;49,818.&gt;</b>
<b>3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):</b>	<div> <div>If gain, also enter in Part I, line 8, column (c).</div> <div>If (loss), enter -0- in Part I, line 8</div> </div>	<b>3</b>	<b>N/A</b>

**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))
2008	191,600.	1,135,677.	.168710
2007	196,743.	1,518,502.	.129564
2006	187,297.	1,610,354.	.116308
2005	154,737.	1,569,080.	.098616
2004	150,458.	1,761,788.	.085401

  

<b>2 Total of line 1, column (d)</b>	<b>2</b>	<b>.598599</b>
<b>3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years</b>	<b>3</b>	<b>.119720</b>
<b>4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5</b>	<b>4</b>	<b>907,646.</b>
<b>5 Multiply line 4 by line 3</b>	<b>5</b>	<b>108,663.</b>
<b>6 Enter 1% of net investment income (1% of Part I, line 27b)</b>	<b>6</b>	<b>209.</b>
<b>7 Add lines 5 and 6</b>	<b>7</b>	<b>108,872.</b>
<b>8 Enter qualifying distributions from Part XII, line 4</b>	<b>8</b>	<b>198,110.</b>

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	209.
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	0.
3 Add lines 1 and 2		3	209.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income Subtract line 4 from line 3. If zero or less, enter -0-		5	209.
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a		
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		0.
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		209.
10 Overpayment If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be Credited to 2010 estimated tax <input checked="" type="checkbox"/> Refunded <input type="checkbox"/>	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?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 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.		X
1c Did the foundation file Form 1120-POL for this year?		X
2 Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers. <input checked="" type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input checked="" type="checkbox"/> \$ 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		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input checked="" type="checkbox"/> NONE		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► <u>ALYN V. ESSMAN</u> Telephone no. ► <u>314-993-7190</u> Located at ► <u>21 SOMERSET DOWNS, ST. LOUIS, MO</u> ZIP+4 ► <u>63124</u>			
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		<input type="checkbox"/>
			N/A	

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? (Exception Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/> N/A	1b	
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 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	1c	X
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 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years: _____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	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: _____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 2009 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 2009.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4b	X

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

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ 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)?

N/A

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870.

6b

X

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?

N/A

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.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 9		0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over \$50,000

0

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**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

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 N/A	
2	
3	
4	

**Part IX-B** Summary of Program-Related Investments

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

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
<b>Total.</b> Add lines 1 through 3	0.

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**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	912,872.
b	Average of monthly cash balances	1b	8,596.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	921,468.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	921,468.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	13,822.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	907,646.
6	Minimum investment return. Enter 5% of line 5	6	45,382.

**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	45,382.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	209.
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	209.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	45,173.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	45,173.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	45,173.

**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	198,110.
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	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	198,110.
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	5	209.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	197,901.

**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.

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**Part XIII** Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				45,173.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004				
b From 2005	105,877.			
c From 2006	108,785.			
d From 2007	123,932.			
e From 2008	134,816.			
f Total of lines 3a through e	473,410.			
4 Qualifying distributions for 2009 from Part XII, line 4: ► \$	198,110.			
a Applied to 2008, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2009 distributable amount				45,173.
e Remaining amount distributed out of corpus	152,937.			
5 Excess distributions carryover applied to 2009 (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	626,347.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
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		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2008 Subtract line 4a from line 2a. Taxable amount - see instr			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	626,347.			
10 Analysis of line 9:				
a Excess from 2005	105,877.			
b Excess from 2006	108,785.			
c Excess from 2007	123,932.			
d Excess from 2008	134,816.			
e Excess from 2009	152,937.			

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

N/A

- 1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, enter the date of the ruling

▶

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

☐ 4942(1)(3) or ☐ 4942(1)(5)

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

**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(i)(3)(B)(iii)

**(3) Largest amount of support from an exempt organization**

(4) Gross investment income

<b>Part XV</b>	<b>Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year-see the instructions.)</b>
----------------	--

### 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).)

ALYN V. ESSMAN

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

NONE

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

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

**c Any submission deadlines**

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





## Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

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

(2) Other assets

**b Other transactions:**

**(1) Sales of assets to a noncharitable exempt organization**

**(2) Purchases of assets from a noncharitable exempt organization**

**(3) Rental of facilities, equipment, or other assets**

#### (4) Reimbursement arrangements

(5) Loans or loan guarantees

(6) Performance of services or membership or fundraising solicitations

**c Sharing of facilities, equipment, mailing lists, other assets, or paid employees**

**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.

	Yes	No
1a(1)		X
1a(2)		X
1b(1)		X
1b(2)		X
1b(3)		X
1b(4)		X
1b(5)		X
1b(6)		X
1c		X

[illegible]

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

b If "Yes," complete the following schedule.

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

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge.

**Sign Here**

Signature of officer or trustee

Date \_\_\_\_\_

Title

Preparer's  
signature

~~Ralph Crancer~~  
RALPH E. CRANCER III

Date

09/09/10

Check if self-employed

Preparer's identifying number

Firm's name (or yours if self-employed),  
address, and ZIP code

MUELLER PROST PC  
1034 S. BRENTWOOD BLVD. STE. 1700  
ST. LOUIS, MO 63117

**EIN ▶**

Phone no (314) 862-2070

Form 990-PF (2009)

## FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
AMERITRADE	1,489.
AMERITRADE - OID	337.
UNITED STATES NATURAL GAS FUND, LP -, K-1	3.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	1,829.

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
AMERITRADE - DIVIDENDS	16,327.	0.	16,327.
U.S. BANK - DIVIDENDS	6,429.	0.	6,429.
TOTAL TO FM 990-PF, PART I, LN 4	22,756.	0.	22,756.

## FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
BUSINESS INCOME - K-1	<24.>	<24.>	
TOTAL TO FORM 990-PF, PART I, LINE 11	<24.>	<24.>	

## FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
US BANK - FOREIGN TAXES PAID	49.	49.		0.
AMERITRADE - FOREIGN TAXES PAID	6.	6.		0.
TO FORM 990-PF, PG 1, LN 18	55.	55.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
PROFESSIONAL FEES	1,700.	1,700.			0.
DEPLETION - UNITED STATES NATURAL GAS - K-1	1,742.	1,742.			0.
ACCELERATED DEPRECIATION - UNITED STATES NATURAL GAS - K-1	132.	132.			0.
TO FORM 990-PF, PG 1, LN 23	3,574.	3,574.			0.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	6
DESCRIPTION		AMOUNT	
UNREALIZED INCREASE IN FMV OF SECURITIES		307,004.	
TOTAL TO FORM 990-PF, PART III, LINE 3		307,004.	

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS			STATEMENT	7
DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE	
STATE OF ISREAL BOND	X		542.	542.	
TOTAL U.S. GOVERNMENT OBLIGATIONS			542.	542.	
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS					
TOTAL TO FORM 990-PF, PART II, LINE 10A			542.	542.	



FORM 990-PF	CORPORATE STOCK	STATEMENT	8
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
INVESTMENTS	902,116.	902,116.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	902,116.	902,116.	

FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT	9
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
ALYN V. ESSMAN 21 SOMERSET DOWNS ST LOUIS, MO 63124	TRUSTEE 0.70	0.	0.	0.
MARLYN R. ESSMAN 21 SOMERSET DOWNS ST LOUIS, MO 63124	TRUSTEE 0.01	0.	0.	0.
SHARYN M. ESSMAN 2809 CLAYTON FOREST ST LOUIS, MO 63131	TRUSTEE 0.01	0.	0.	0.
JUDY E. TAYLOR 19 SPOEDE LANE ST LOUIS, MO 63141	TRUSTEE 0.01	0.	0.	0.
TODD E. TAYLOR 19 SPOEDE LANE ST LOUIS, MO 63141	TRUSTEE 0.01	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

FORM 990-PF

GRANTS AND CONTRIBUTIONS  
PAID DURING THE YEAR

STATEMENT 10

RECIPIENT NAME AND ADDRESS	RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT	RECIPIENT STATUS	AMOUNT
ARMDI 888 7TH STREET NEW YORK, NY	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
BJ NURSING SCHOOL 4444 FOREST PARK AVE. ST LOUIS, MO 63108	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
CAMP RAINBOW 14309 MILLBRIAR CIRCLE CHESTERFIELD, MO 63017	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
CHILDREN'S HOSPITAL ONE CHILDREN'S PLACE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
CITY ACADEMY 4174 N. KINGSHIGHWAY ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
COVENANT HOUSE 2801 ITASKA ST ST LOUIS, MO 63111	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
DARWIN FOUNDATION 407 N WASHINGTON ST FALLS CHURCH, VA 22046	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,500.
DOCS W/O BORDERS 333 7TH AVENUE NEW YORK, NY	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,500.

ESSMAN FAMILY CHARITABLE FOUNDATION

43-6804331

FORSYTH SCHOOL 6235 WYDOWN BOULEVARD ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	11,000.
HILLEL 6300 FORSYTH ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
HOLOCAUST MUSEUM 12 MILLSTONE CAMPUS DRIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
JCC MILLSTONE 12 MILLSTONE CAMPUS DRIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	10,000.
JEWISH FEDERATION 12 MILLSTONE CAMPUS DRIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	42,000.
JFCS FOOD BANK 10950 SCHEUTZ ROAD ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	5,000.
KIDSMART 12175 BRIDGETON SQUARE DRIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
LIBRARY - ST. LOUIS COUNTY 1640 S. LINDBERGH BLVD ST LOUIS, MO 63131	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
LIFT FOR LIFE 1415 CASS AVENUE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
MATHEWS DICKEY 4245 N. KINGSHIGHWAY ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.

ESSMAN FAMILY CHARITABLE FOUNDATION

43-6804331

MISSOURI BOTANICAL GARDENS 4344 SHAW BOULEVARD ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,500.
MISSOURI HISTORICAL SOCIETY P.O. BOX 11940 ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,500.
NCJW SCHOOL STORE 8350 DELCREAST DRIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
NISHMA NEW YORK, NY	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
PLANNED PARENTHOOD 4251 FOREST PARK AVENUE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
SALVATION ARMY 1130 HAMPTON AVENUE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	3,000.
SHAARE EMETH 11645 LADUE ROAD ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,610.
SPRINGBOARD FOR LEARNING 634 GRAND BOULEVARD ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
ST. LOUIS ART MUSEUM ONE FINE ARTS DRIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	12,500.
ST. LOUIS EFFORT FOR AIDS 1027 S. VANDEVENTER ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.

## ESSMAN FAMILY CHARITABLE FOUNDATION

43-6804331

ST. LOUIS PUBLIC TV (KETC) 3655 OLIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
ST. LOUIS SCIENCE CENTER HAMPTON AVENUE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,500.
ST. LOUIS SYMPHONY ORCHESTRA 718 N. GRAND BOULEVARD ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	20,000.
ST. LOUIS ZOO ONE GOVERNMENT DRIVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	4,000.
TIBET RELIEF 6116 KINGSBURY AVE ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
UNITED WAY 910 N. 11TH STREET ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	10,000.
UNIVERISTY OF MISSOURI ST. LOUIS NATURAL BRIDGE ROAD ST LOUIS, MO	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	13,000.
WASHINGTON UNIVERSITY ONE BROOKINGS DRIVE ST LOUIS, MO 63130	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	5,000.
WEBSTER UNIVERSITY 470 E. LOCKWOOD ST LOUIS, MO 63119	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	12,500.
WHITFIELD SCHOOL 175 S MASON RD CREVE COEUR, MO 63141	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,500.

## ESSMAN FAMILY CHARITABLE FOUNDATION

43-6804331

WORLD WILDFIRE FUND 1250 TWENTY-FOURTH STREET, N.W. WASHINGTON, DC 20090	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,500.
HADASSAH 50 WEST 58TH STREET NEW YORK, NY 10019	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
BACKSTOPPERS 10411 CLAYTON ROAD, SUITE A5 ST LOUIS, MO 63131	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
CAMP FOR ALL KIDS P.O. BOX 50194 ST LOUIS, MO 63105	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
COCA 524 TRINITY AVENUE ST LOUIS, MO 63130	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
OXBOW 36 SOUTH WABASH AVENUE 12TH FLOOR CHICAGO, IL 60603	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	1,000.
SITEMAN CANCER CENTER 660 S. EUCLID AVE BOX 8100 ST LOUIS, MO 63110	N/A GENERAL OPERATING GRANT	PUBLIC CHARITY	2,000.
TOTAL TO FORM 990-PF, PART XV, LINE 3A			198,110.

# 2009 Consolidated Forms 1099

## Details of Form 1099-B - Proceeds from Broker and Barter Exchange Transactions

(OMB No: 1545-0715)

### LINE #2 STOCKS, BONDS, ETC. REPORTED TO IRS - GROSS PROCEEDS LESS COMMISSIONS AND OPTIONS PREMIUMS

DATE (LINE # 1A)	DESCRIPTION (LINE # 7)	SYMBOL	CUSIP (LINE # 1B)	INFORMATION	# SHARES		CLASS (LINE #6)	AMOUNT (LINE #2)	FEDERAL		NO LOSS IF CHECKED
					EXCHANGED (LINE #5)				TAX WITHHELD (LINE #4)		
09/18/09	ASCENT MEDIA CORP CLASS B WHEN ISSUED	ASCMA	043632108	SELL	5		C	116.90		0.00	
12/10/09	BEARINGPOINT INC RESEARCHING BANKRUPTCY	BGPTQ	074002205	SELL	40		C	2.19		0.00	
08/27/09	BOEING CO COM	BA	097023105	SELL	100		C	5,168.58		0.00	
08/12/09	CACI INTL INC CL A	CACI	127190304	SELL	300		C	14,320.94		0.00	
12/01/09	CATERPILLAR INC COM	CAT	149123101	SELL	100		C	5,952.86		0.00	
12/23/09	CITIGROUP INC COM	C	172967101	SELL	300		C	970.98		0.00	
08/20/09	COCA COLA ENTERPRISES INC COM	CCE	191219104	SELL	300		C	6,020.15		0.00	
07/13/09	COMCAST CORP PFD 7.00% CALLABLE	CCW	20030N408	SELL	500		P	11,639.71		0.00	
11/09/09	CONSOLIDATED EDISON CO NY INC COM	ED	209115104	SELL	200		C	8,369.79		0.00	
08/25/09	CVS CAREMARK CORPORATION COM	CVS	126650100	SELL	100		C	3,664.32		0.00	
07/29/09	DEL MONTE FOODS CO COM	DLM	24522P103	SELL	500		C	4,854.93		0.00	
08/26/09	DEL MONTE FOODS CO COM	DLM	24522P103	SELL	500		C	5,350.02		0.00	
10/01/09	DISCOVER COMMUNICATIONS INC CLASS A COMMON	DISCA	25470F104	SELL	50		C	1,436.48		0.00	
10/01/09	DISCOVER COMMUNICATIONS INC COM SER C	DISCK	25470F302	SELL	50		C	1,292.50		0.00	
09/17/09	E M C CORP MASS COM	EMC	268648102	SELL	290		C	4,903.52		0.00	

# 2009 Consolidated Forms 1099

## Details of Form 1099-B - Proceeds from Broker and Barter Exchange Transactions, continued

(OMB No: 1545-0715)

### LINE #2 STOCKS, BONDS, ETC. REPORTED TO IRS - GROSS PROCEEDS LESS COMMISSIONS AND OPTIONS PREMIUMS

DATE (LINE # 1A)	DESCRIPTION (LINE # 7)	SYMBOL	CUSIP (LINE # 1B)	INFORMATION	# SHARES		CLASS (LINE #6)	AMOUNT (LINE #2)	FEDERAL		NO LOSS IF CHECKED (LINE #12)
					EXCHANGED (LINE #5)				TAX WITHHELD (LINE #4)		
09/08/09	FACET BIOTECH CORP COM	FACT	30303Q103	SELL	100	C		1,593.79			0.00
12/10/09	HARRIS STRATEX NETWORKS INC N/C 1/29/10 05366	HSTX	41457P106	SELL	74	C		492.12			0.00
05/14/09	HELEN OF TROY LTD COM	HELE	G4388N106	SELL	500	O		9,633.77			0.00
08/26/09	HOME DEPOT INC COM	HD	437076102	SELL	100	C		2,770.03			0.00
08/25/09	INTL BUSINESS MACHINES COM	IBM	459200101	SELL	100	C		11,883.80			0.00
12/16/09	MARVELL TECHNOLOGY GROUP LTD COM	MRVL	G5876H105	SELL	500	O		9,835.25			0.00
12/14/09	MASCO CORP COM	MAS	574599106	SELL	300	C		4,102.91			0.00
09/14/09	MCKESSON CORP COM	MCK	58155Q103	SELL	200	C		11,651.91			0.00
11/19/09	NETAPP INC COM	NTAP	64110D104	SELL	500	C		15,494.76			0.00
12/17/09	NUVEEN TAX ADVANTAGED FLOATING RATE FUN	JFP	6706EV102	SELL	500	O		1,126.28			0.00
08/18/09	OLIN CORP COM PAR \$1	OLN	680665205	SELL	500	C		7,374.97			0.00
08/27/09	OLIN CORP COM PAR \$1	OLN	680665205	SELL	500	C		8,059.88			0.00
04/21/09	QUEST DIAGNOSTICS INC COM	DGX	74834L100	SELL	100	C		5,339.94			0.00
03/13/09	SCHERING PLOUGH CORP CSH & STK \$10.50&	SGP	806605101	SELL	500	C		11,645.53			0.00
08/12/09	SPDR TR S&P 500 ETF TRUST	SPY	78462F103	SELL	50	O		5,060.88			0.00
12/14/09	TIME WARNER CABLE INC COM	TWC	88732J207	SELL	83	C		3,550.73			0.00



# 2009 Consolidated Forms 1099

## Details of Form 1099-B - Proceeds from Broker and Barter Exchange Transactions, continued

(OMB No: 1545-0715)

### LINE #2 STOCKS, BONDS, ETC. REPORTED TO IRS - GROSS PROCEEDS LESS COMMISSIONS AND OPTIONS PREMIUMS

DATE (LINE # 1A)	DESCRIPTION (LINE # 7)	SYMBOL	CUSIP (LINE # 1B)	INFORMATION	# SHARES		CLASS (LINE #6)	AMOUNT (LINE #2)	FEDERAL		NO LOSS IF CHECKED (LINE #12)
					EXCHANGED (LINE #5)	TAX WITHHELD (LINE #4)					
12/16/09	TORTOISE ENERGY ETF	TYG	89147L100	SELL	500	0	O	15,489.61	0.00		
11/30/09	WELLS FARGO BANK NA CD CLL I 9.00% 08/31/2019		949748UQ8	RETURN OF PRINCIPAL	0	0	O	336.58	0.00		
11/16/09	WYNDHAM WORLDWIDE CORP COM	WYN	98310W108	SELL	100	0	O	1,963.98	0.00		
<b>TOTALS</b>					<b>8,542</b>	<b>\$</b>		<b>201,470.59</b>	<b>\$</b>	<b>0.00</b>	

# 2009 Tax Information Statement

Account Number: 130009500800  
 Recipient's Tax ID number: 43-6804331  
 Payer's Federal ID number: 43-6300400  
 Recipient's Name and Address  
 ESSMAN FAMILY CHARITABLE  
 FOUNDATION  
 21 SOMERSET DOWNS  
 SAINT LOUIS, MO 63124-1007

☐ Corrected ☐ 2nd TIN notice

Payer's Name and Address  
 U.S. BANK N.A. TRUST SERVICES  
 P O BOX 387  
 ST LOUIS, MO 63166

## 2009 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS are Gross Proceeds less commissions and option premiums.

Number of shares	CUSIP	Description	Date Acquired	Date of Sale	Stocks, Bonds, etc.	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld
(Box 5)	(Box 1b)	(Box 7)			(Box 2)			(Box 4)
<b>Short Term Sales Reported on 1099-B</b>								
1000	717081103	PFIZER INC	10/15/2009	10/21/2009	1.82	1.75	0.07	0.00
256.0000	717081103	PFIZER INC	10/15/2009	12/16/2009	4,716.08	4,483.84	232.24	0.00
<b>Total Short Term Sales Reported on 1099-B</b>								
					4,717.90	4,485.59	232.31	0.00
<b>Long Term 15% Sales Reported on 1099-B</b>								
260.0000	983024100	WYETH	07/26/2005	10/16/2009	13,101.40	12,067.51	1,033.89	0.00
150.0000	337738108	FISERV INC	08/14/2006	12/09/2009	6,959.13	6,710.98	248.15	0.00
80.0000	931142103	WAL MART STORES INC	01/12/2006	12/09/2009	4,318.28	3,688.00	630.28	0.00
430.0000	013817101	ALCOA INC	VARIOUS	12/11/2009	6,265.96	12,859.80	-6,593.84	0.00
40.0000	166764100	CHEVRONTXACO CORP	12/15/2005	12/11/2009	3,107.12	2,362.00	745.12	0.00
130.0000	931142103	WAL MART STORES INC	VARIOUS	12/11/2009	7,099.12	5,954.60	1,144.52	0.00
100.0000	067383109	BARD C R INC	04/19/2007	12/14/2009	8,359.78	8,224.32	135.46	0.00
100.0000	191216100	COCA COLA COMPANY	11/30/2005	12/14/2009	5,899.98	4,291.00	1,608.98	0.00
80.0000	452308109	ILLINOIS TOOL WORKS	01/12/2006	12/14/2009	3,935.89	3,622.40	313.49	0.00
230.0000	020002101	ALLSTATE CORP	VARIOUS	12/16/2009	6,589.84	12,186.70	-5,596.86	0.00
300.0000	029912201	AMERICAN TOWER CORP	04/19/2007	12/16/2009	12,518.67	11,886.00	632.67	0.00
300.0000	039483102	ARCHER DANIELS MIDLAND CO	04/19/2007	12/16/2009	9,437.75	11,202.00	-1,764.25	0.00

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

# 2009 Tax Information Statement

Account Number: 130009500800  
 Recipient's Tax ID number: 43-6804331  
 Payer's Federal ID number: 43-6300400

Payer's Name and Address  
 U.S. BANK N.A. TRUST SERVICES  
 P O BOX 387  
 ST LOUIS, MO 63166

☐ Corrected ☐ 2nd TIN notice

Number of shares (Box 5)	CUSIP (Box 1b)	Description (Box 7)	Date Acquired	Date of Sale (Box 1a)	Stocks, Bonds, etc. (Box 2)	Cost or other Basis	Net Gain or Loss	Federal Income Tax Withheld (Box 4)
997.0300	318530763	FIRST AMER MID CAP VALUE FD CLY	VARIOUS	12/16/2009	20,060.24	24,597.45	-4,537.21	0.00
619.5500	318941598	FIRST AMER MID CAP GRWTH OPP FD CLY	VARIOUS	12/16/2009	20,928.40	26,209.66	-5,281.26	0.00
100.0000	369550108	GENERAL DYNAMICS CORP	VARIOUS	12/16/2009	6,972.36	5,849.80	1,122.56	0.00
400.0000	369604103	GENERAL ELEC CO	VARIOUS	12/16/2009	6,276.91	14,155.00	-7,878.09	0.00
280.0000	681919106	OMNICO GROUP INC	VARIOUS	12/16/2009	10,687.82	11,831.00	-1,143.18	0.00
220.0000	69331C108	P G & E CORP	12/15/2005	12/16/2009	9,888.75	8,313.80	1,574.95	0.00
100.0000	880779103	TEREX CORP NEW	07/17/2008	12/16/2009	1,935.21	4,953.00	-3,017.79	0.00
350.0000	882508104	TEXAS INSTRUMENTS INC	02/13/2007	12/16/2009	8,981.71	10,510.50	-1,528.79	0.00
300.0000	G1151C101	ACCENTURE PLC	01/12/2006	12/16/2009	12,512.67	9,288.00	3,224.67	0.00
Total Long Term 15% Sales Reported on 1099-B					185,836.99	210,763.52	-24,926.53	0.00

Sternick Capital Management, LLC  
4510 Bellevue Avenue  
Kansas City, MO 64111  
(816) 531-2254

**Realized Gains and Losses**  
Fiscal Year Ending 12/31/2009

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts										
Description	Quantity	Date Acquired	Date Sold	Cost	Net Proceeds	Short Term Gains	Total Long Gains	Total Gains		
AOL Time Warner Inc	0.272	06/09/2005	12/09/2009	7.47	0.00		-7.47	-7.47		
Ascent Media Corp	5,000	05/18/2005	09/18/2009	83.67	116.90		33.23	33.23		
Aviat Networks Inc	74,000	05/27/2009	12/10/2009	389.24	492.12	102.88		102.88		
Bearingpoint Inc Com New	20,000	04/03/2007	12/10/2009	7,750.00	1.09		-7,748.91	-7,748.91		
Bearingpoint Inc Com New	20,000	04/04/2007	12/10/2009	7,740.00	1.10		-7,738.90	-7,738.90		
	40,000			15,490.00	2.19		-15,487.81	-15,487.81		
Boeing Company, The	100,000	06/24/2009	08/27/2009	4,129.23	5,168.58	1,039.35		1,039.35		
CACI Intl	300,000	06/28/2007	08/12/2009	14,822.61	14,320.94		-501.67	-501.67		
Caterpillar Inc	100,000	12/27/2006	12/01/2009	6,126.93	5,952.86		-174.07	-174.07		
Citigroup Inc	300,000	04/21/2005	12/23/2009	13,941.00	970.98		-12,970.02	-12,970.02		
Coca Cola Enterprises	300,000	05/28/2008	08/20/2009	6,153.96	6,020.15		-133.81	-133.81		
Comcast Corp 7.00% Pfd	500,000	12/27/2007	07/13/2009	10,891.70	11,639.71		748.01	748.01		
Consolidated Edison	200,000	04/17/2008	11/09/2009	8,377.52	8,369.79		-7.73	-7.73		
CVS Corp Del	100,000	11/02/2006	08/25/2009	2,896.00	3,664.32		768.32	768.32		
Del Monte Foods Co	500,000	06/05/2008	07/29/2009	3,903.48	4,854.93		951.45	951.45		
Del Monte Foods Co	500,000	06/05/2008	08/26/2009	3,903.47	5,350.02		1,446.55	1,446.55		
	1,000,000			7,806.95	10,204.95		2,398.00	2,398.00		
Discovery Communications	50,000	05/18/2005	10/01/2009	509.79	1,292.50		782.71	782.71		

**Realized Gains and Losses**  
Fiscal Year Ending 12/31/2009

Alyn Essman      Foundation      Acct # 901082834

**Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts**

<u>Description</u>	<u>Quantity</u>	<u>Date Acquired</u>	<u>Date Sold</u>	<u>Cost</u>	<u>Net Proceeds</u>	<u>Short Term Gains</u>	<u>Total Long Gains</u>	<u>Total Gains</u>
Discovery Holding Co A	50,000	05/18/2005	10/01/2009	439.54	1,436.48		996.94	996.94
EMC Corp MA	290,000	09/12/2007	09/17/2009	5,650.91	4,903.52		-747.39	-747.39
Facet Biotech Corporation	100,000	11/12/2007	09/08/2009	1,537.00	1,593.79		56.79	56.79
Helen Of Troy Ltd Shs	500,000	01/09/2008	05/14/2009	7,519.25	9,633.77		2,114.52	2,114.52
Home Depot Inc	100,000	05/20/2008	08/26/2009	2,731.23	2,770.03		38.80	38.80
IBM Corp	100,000	01/28/2008	08/25/2009	10,545.70	11,883.80		1,338.10	1,338.10
Marvell Technology Group	500,000	07/13/2007	12/16/2009	9,302.00	9,835.25		533.25	533.25
Masco Corp	300,000	05/03/2005	12/14/2009	9,084.99	4,102.91		-4,982.08	-4,982.08
McKesson Corp	200,000	10/26/2007	09/14/2009	11,469.00	11,651.91		182.91	182.91
NetApp, Inc	500,000	06/13/2007	11/19/2009	15,372.30	15,494.76		122.46	122.46
Nuveen Tax Adv Floating R	500,000	01/03/2008	12/17/2009	5,634.70	1,126.28		-4,508.42	-4,508.42
Olin Corp	500,000	06/30/2009	08/18/2009	5,959.75	7,374.97	1,415.22		1,415.22
Olin Corp	500,000	06/30/2009	08/27/2009	5,959.74	8,059.88	2,100.14		2,100.14
	<u>1,000,000</u>			<u>11,919.49</u>	<u>15,434.85</u>	<u>3,515.36</u>		<u>3,515.36</u>
Quest Diagnostics Inc	100,000	10/25/2007	04/21/2009	5,250.00	5,339.94		89.94	89.94
S&P Depository Receipts	50,000	10/21/2008	08/12/2009	4,853.68	5,060.88	207.20		207.20
Schering-Plough Corp	500,000	07/01/2005	03/13/2009	9,640.00	11,645.53		2,005.53	2,005.53
Time Warner Cable Inc	0,710	06/09/2005	03/30/2009	35.44	18.34		-17.10	-17.10
Time Warner Cable Inc	83,000	06/09/2005	12/14/2009	4,142.95	3,550.73		-592.22	-592.22
	<u>83,710</u>			<u>4,178.39</u>	<u>3,569.07</u>		<u>-609.32</u>	<u>-609.32</u>

# **Realized Gains and Losses**

Fiscal Year Ending 12/31/2009

Alyn Essman Foundation Acct # 901082834

## **Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts**

<u>Description</u>	<u>Quantity</u>	<u>Date Acquired</u>	<u>Date Sold</u>	<u>Cost</u>	<u>Net Proceeds</u>	<u>Short Term Gains</u>	<u>Total Long Gains</u>	<u>Total Gains</u>
Time Warner Inc	0.400	06/09/2005	03/31/2009	15.21	6.29		-8.92	-8.92
Tortoise Energy Infrastructu	500.000	02/14/2008	12/16/2009	15,313.05	15,489.61		176.56	176.56
Wyndham Worldwide	100.000	04/26/2005	11/16/2009	4,199.57	1,963.98		-2,235.59	-2,235.59
Short Term Gains				21,291.64	26,156.43	4,864.79		
Total Long Gains				204,990.44	175,002.21		-29,988.23	
Total (Sales)				226,282.08	201,158.64	4,864.79	-29,988.23	-25,123.44
Total Gains						4,864.79	-29,988.23	-25,123.44

*This report is included for informational purposes only. For the most accurate data, recipients should consult related tax documents provided by the Custodian.*

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1)

<b>Part II Additional (Not Automatic) 3-Month Extension of Time.</b> Only file the original (no copies needed)			
Type or print  File by the extended due date for filing the return. See instructions.	Name of Exempt Organization		Employer identification number
	ESSMAN FAMILY CHARITABLE FOUNDATION		43-6804331
	Number, street, and room or suite no. If a P.O. box, see instructions. 21 SOMERSET DOWNS		For IRS use only
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. ST. LOUIS, MO 63124		

Check type of return to be filed (File a separate application for each return):

- ☐ Form 990    ☐ Form 990-EZ    ☐ Form 990-T (sec. 401(a) or 408(a) trust)    ☐ Form 1041-A    ☐ Form 5227    ☐ Form 8870  
☐ Form 990-BL    ☒ Form 990-PF    ☐ Form 990-T (trust other than above)    ☐ Form 4720    ☐ Form 6069

**STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.**

ALYN V. ESSMAN

- The books are in the care of ☒ 21 SOMERSET DOWNS - ST. LOUIS, MO 63124

Telephone No ☒ 314-993-7190

FAX No ☐

- If the organization does not have an office or place of business in the United States, check this box ☐

- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

4 I request an additional 3-month extension of time until NOVEMBER 15, 2010

5 For calendar year 2009, or other tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_

6 If this tax year is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension

**ADDITIONAL TIME IS REQUIRED IN ORDER TO FILE A COMPLETE AND ACCURATE RETURN**

8a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	0.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	0.
c	<b>Balance Due.</b> Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

### Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature ☐

Title ☐

Date ☐

Form 8868 (Rev. 4-2009)