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Return of Private Foundation
or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

OMB No 1545-0052

2012

Department of the Treasury
Internal Revenue Service

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

For calendar year 2012, or tax year beginning 10/01, 2012, and ending 9/30, 2013

JAMES W. O'BRIEN FOUNDATION, INC.
C/O MCINNIS LAW OFFICES
807 TURNPIKE STREET
NORTH ANDOVER, MA 01845-6131A Employer identification number
04-3528495B Telephone number (see the instructions)
978-686-6112C 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 changeH Check type of organization: ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationI Fair market value of all assets at end of year (from Part II, column (c), line 16)
\$ 18,176,045.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 (att sch)				
	2	Ch <input checked="" type="checkbox"/> if the foundn is not req to att Sch B				
	3	Interest on savings and temporary cash investments	95,136.	95,136.	95,136.	
	4	Dividends and interest from securities	405,027.	405,027.	405,027.	
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain/(loss) from sale of assets not on line 10	277,485.			
	b	Gross sales price for all assets on line 6a	3,167,641.			
	7	Capital gain net income (from Part IV, line 2)		277,485.		
	8	Net short-term capital gain			139,732.	
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	11	Gross profit (loss) (att sch)				
	12	Other income (attach schedule)				
ADMINISTRATIVE EXPENSES	13	SEE STATEMENT 1	-1,590.	-1,589.		
	14	Total. Add lines 1 through 11	776,058.	776,059.	639,895.	
	15	Compensation of officers, directors, trustees, etc.	49,965.			44,953.
	16a	Legal fees (attach schedule)	8,621.	2,586.		6,035.
	b	Accounting fees (attach sch)	15,880.	11,116.		4,764.
	c	Other prof fees (attach sch)	148,854.	112,854.		36,000.
	17	Interest				
	18	Taxes (attach schedule X see instrs)	16,545.	3,627.		
	19	Depreciation (attach sch) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)				
	24	SEE STATEMENT 6	4,362.			
	25	Total operating and administrative expenses. Add lines 13 through 23	244,227.	130,183.		91,752.
26	Contributions, gifts, grants paid PART XV	653,935.			683,933.	
27	Total expenses and disbursements. Add lines 24 and 25	898,162.	130,183.	0.	775,685.	
28	Subtract line 26 from line 12:					
a	Excess of revenue over expenses and disbursements	-122,104.				
b	Net investment income (if negative, enter -0-)		645,876.			
c	Adjusted net income (if negative, enter -0-)			639,895.		

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
ASSETS	1	Cash — non-interest-bearing		48,822.	1,254.	1,254.
	2	Savings and temporary cash investments		1,882,864.	1,517,401.	1,517,401.
	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 sch)				
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		3,000.	3,000.	
	10a	Investments — U S and state government obligations (attach schedule)				
	b	Investments — corporate stock (attach schedule)	12,831,394.	13,746,801.	13,746,801.	
	c	Investments — corporate bonds (attach schedule)	2,234,021.	2,899,743.	2,899,743.	
	11	Investments — land, buildings, and equipment basis				
	Less: accumulated depreciation (attach schedule)					
12	Investments — mortgage loans					
13	Investments — other (attach schedule)	-23,092.	-13,992.	-13,992.		
14	Land, buildings, and equipment: basis					
	Less: accumulated depreciation (attach schedule)					
15	Other assets (describe SEE STATEMENT 7)	25,947.	21,838.	21,838.		
16	Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)	16,999,956.	18,176,045.	18,176,045.		
LIABILITIES	17	Accounts payable and accrued expenses	30,988.	37,000.		
	18	Grants payable	389,248.	364,000.		
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe SEE STATEMENT 8)	27,106.	34,404.		
	23	Total liabilities (add lines 17 through 22)	447,342.	435,404.		
		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/>				
NET FUND ASSETS OR BALANCES	24	Unrestricted	16,552,614.	17,740,641.		
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>				
	27	Capital stock, trust principal, or current funds				
	28	Paid-in or capital surplus, or land, building, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
	30	Total net assets or fund balances (see instructions)	16,552,614.	17,740,641.		
31	Total liabilities and net assets/fund balances (see instructions)	16,999,956.	18,176,045.			

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	16,552,614.
2	Enter amount from Part I, line 27a	2	-122,104.
3	Other increases not included in line 2 (itemize) SEE STATEMENT 9	3	1,321,137.
4	Add lines 1, 2, and 3	4	17,751,647.
5	Decreases not included in line 2 (itemize) SEE STATEMENT 10	5	11,006.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	17,740,641.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a	SEE ATTACHED - SECURITY SALES (ST)	P	VARIOUS	VARIOUS
b	SEE ATTACHED - SECURITY SALES (LT)	P	VARIOUS	VARIOUS
c	SEE ATTACHED - SECURITY SALES (ST)	P	9/30/13	9/30/13
d				
e				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 218,395.		242,262.	-23,867.
b 2,809,514.		2,647,894.	161,620.
c 139,732.			139,732.
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
a			-23,867.
b			161,620.
c			139,732.
d			
e			

2 Capital gain net income or (net capital loss)	<div style="border: 1px solid black; padding: 2px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div>		2	277,485.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)	<div style="border: 1px solid black; padding: 2px;"> If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 </div>		3	139,732.

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 the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (column (b) divided by column (c))
2011	684,951.	16,077,455.	0.042603
2010	1,002,005.	16,077,336.	0.062324
2009	957,726.	15,383,988.	0.062255
2008	1,050,034.	14,261,741.	0.073626
2007	1,018,115.	17,993,776.	0.056582

2 Total of line 1, column (d)	2	0.297390
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	0.059478
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	17,334,175.
5 Multiply line 4 by line 3	5	1,031,002.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	6,459.
7 Add lines 5 and 6	7	1,037,461.
8 Enter qualifying distributions from Part XII, line 4	8	888,539.

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)

1 a 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 instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	12,918.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (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	12,918.
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	12,918.
6 Credits/Payments			
a 2012 estimated tax pmts and 2011 overpayment credited to 2012	6 a 11,200.		
b Exempt foreign organizations – tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	11,200.	
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	1,718.	
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 2013 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11		

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? <i>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</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ 0. (2) On foundation managers <input 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 type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a 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?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		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? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) MA		
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? <i>If 'No,' attach explanation</i>	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 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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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 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		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 Telephone no Located at ZIP + 4			
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 N/A	15		N/A
16	At any time during calendar year 2012, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If 'Yes,' enter the name of the foreign country	16		X

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
1 a 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 instructions)? Organizations relying on a current notice regarding disaster assistance check here N/A	1 b	N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012?	1 c	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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? If 'Yes,' list the years 20 __, 20 __, 20 __, 20 __	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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)	2 b	N/A
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 __		
3 a 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 2012 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012</i>)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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 2012?	4 b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** During the year did the foundation pay or incur any amount to:

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is 'Yes' to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5 b 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)

6 a 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?

6 b X

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

7 a 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

7 b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 11		49,965.	0.	0.

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

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

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
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 (see instructions)

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	
Total. 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	1 a	15,639,750.
b Average of monthly cash balances	1 b	1,958,397.
c Fair market value of all other assets (see instructions)	1 c	
d Total (add lines 1a, b, and c)	1 d	17,598,147.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	17,598,147.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	263,972.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	17,334,175.
6 Minimum investment return. Enter 5% of line 5	6	866,709.

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	866,709.
2a Tax on investment income for 2012 from Part VI, line 5	2 a	12,918.
b Income tax for 2012. (This does not include the tax from Part VI.)	2 b	
c Add lines 2a and 2b	2 c	12,918.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	853,791.
4 Recoveries of amounts treated as qualifying distributions	4	
5 Add lines 3 and 4	5	853,791.
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	853,791.

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	1 a	775,685.
b Program-related investments — total from Part IX-B	1 b	
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	112,854.
3 Amounts set aside for specific charitable projects that satisfy the:		
a Suitability test (prior IRS approval required)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	888,539.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	888,539.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				853,791.
2 Undistributed income, if any, as of the end of 2012:				
a Enter amount for 2011 only			0.	
b Total for prior years. 20 __, 20 __, 20 __		0.		
3 Excess distributions carryover, if any, to 2012.				
a From 2007				
b From 2008	193,041.			
c From 2009	195,377.			
d From 2010	213,398.			
e From 2011				
f Total of lines 3a through e	601,816.			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 888,539.				
a Applied to 2011, 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 2012 distributable amount				853,791.
e Remaining amount distributed out of corpus	34,748.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	636,564.			
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 2011. Subtract line 4a from line 2a. Taxable amount — see instructions			0.	
f Undistributed income for 2012. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2013				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	636,564.			
10 Analysis of line 9				
a Excess from 2008	193,041.			
b Excess from 2009	195,377.			
c Excess from 2010	213,398.			
d Excess from 2011				
e Excess from 2012	34,748.			

Part XIV	Private Operating Foundations (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 2012, enter the date of the ruling

b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

[illegible]

Part XV	Supplementary Information (Complete this part only if the foundation 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).)

NONE

- 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 e-mail 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
<i>a Paid during the year</i> VARIOUS ORGANIZATIONS PLEASE SEE ATTACHED ,			VARIOUS DONATIONS TO CHARITABLE ORGANIZATIONS	683,933.
ADJUSTMENT TO ACCOUNT FOR DIFFERENCE IN ACCRUAL ,				-29,998.
Total			3 a	653,935.
<i>b Approved for future payment</i>				
Total			3 b	

2012

FEDERAL STATEMENTS
JAMES W. O'BRIEN FOUNDATION, INC.
C/O MCINNIS LAW OFFICES

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STATEMENT 1
FORM 990-PF, PART I, LINE 11
OTHER INCOME

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
OTHER INVESTMENT INCOME	\$ -1,590.	\$ -1,589.	
TOTAL	\$ -1,590.	\$ -1,589.	0.

STATEMENT 2
FORM 990-PF, PART I, LINE 16A
LEGAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	\$ 8,621.	\$ 2,586.		\$ 6,035.
TOTAL	\$ 8,621.	\$ 2,586.	\$ 0.	\$ 6,035.

STATEMENT 3
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTANT FEES	\$ 15,880.	\$ 11,116.		\$ 4,764.
TOTAL	\$ 15,880.	\$ 11,116.	\$ 0.	\$ 4,764.

STATEMENT 4
FORM 990-PF, PART I, LINE 16C
OTHER PROFESSIONAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
CONSULTING EXPENSE	\$ 36,000.			\$ 36,000.
INVESTMENT FEES	112,854.	\$ 112,854.		
TOTAL	\$ 148,854.	\$ 112,854.	\$ 0.	\$ 36,000.

2012

FEDERAL STATEMENTS
JAMES W. O'BRIEN FOUNDATION, INC.
C/O MCINNIS LAW OFFICES

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STATEMENT 5
FORM 990-PF, PART I, LINE 18
TAXES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL TAXES	\$ 12,918.			
FOREIGN TAXES	3,627.	\$ 3,627.		
TOTAL	<u>\$ 16,545.</u>	<u>\$ 3,627.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

STATEMENT 6
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ANNUAL REPORT FEE	\$ 144.			
BANK CHARGES	72.			
DUES	725.			
MISCELLANEOUS	1,377.			
OFFICE EXPENSE	421.			
POSTAGE	1,623.			
TOTAL	<u>\$ 4,362.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

STATEMENT 7
FORM 990-PF, PART II, LINE 15
OTHER ASSETS

	BOOK VALUE	FAIR MARKET VALUE
ACCRUED INTEREST RECEIVABLE	\$ 21,838.	\$ 21,838.
TOTAL	<u>\$ 21,838.</u>	<u>\$ 21,838.</u>

STATEMENT 8
FORM 990-PF, PART II, LINE 22
OTHER LIABILITIES

DEFERRED EXCISE TAX PAYABLE	\$ 32,671.
FEDERAL INCOME TAX	1,732.
ROUNDING	1.
TOTAL	<u>\$ 34,404.</u>

2012

FEDERAL STATEMENTS
JAMES W. O'BRIEN FOUNDATION, INC.
C/O MCINNIS LAW OFFICES

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STATEMENT 9
FORM 990-PF, PART III, LINE 3
OTHER INCREASES

NET UNREALIZED GAINS OR LOSSES ON INVESTMENTS

TOTAL \$ 1,321,137.
 \$ 1,321,137.

STATEMENT 10
FORM 990-PF, PART III, LINE 5
OTHER DECREASES

DEFERRED EXCISE TAX

TOTAL \$ 11,006.
 \$ 11,006.

STATEMENT 11
FORM 990-PF, PART VIII, LINE 1
LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED	COMPEN- SATION	CONTRI- BUTION TO EBP & DC	EXPENSE ACCOUNT/ OTHER
JAMES J MCINNIS 807 TURNPIKE STREET NORTH ANDOVER, MA 01845	TRUSTEE 10.00	\$ 34,965.	\$ 0.	\$ 0.
THOMAS STRANGIE 21 THOMPSON LANE LYNN, MA 01904	TRUSTEE 1.00	4,000.	0.	0.
CARL DIMAITI ST. MARY HIGH SCHOOL LYNN, MA 01802	TRUSTEE 1.00	3,000.	0.	0.
MARYBETH MCINNIS 807 TURNPIKE STREET NORTH ANDOVER, MA 01845	TRUSTEE 2.00	4,000.	0.	0.
CHRISTOPHER HOPEY 11 HOLLYHOCK AVENUE NASHUA, NH 03062	TRUSTEE 1.00	4,000.	0.	0.
TOTAL		\$ <u>49,965.</u>	\$ <u>0.</u>	\$ <u>0.</u>

Capital Gains

10/01/12 through 09/30/13

11/12/13

Page 1

Account	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/L
SHORT TERM							
Equity Securities	Freeport McMoran Copper &	1,000 000	05/21/12	10/03/12	39,170 62	33,000 00	6,170 62
Equity Securities	Hewlett-Packard	2,000 000	02/07/12	10/31/12	27,941 37	58,078 00	-30,136 63
Equity Securities	Hewlett-Packard	500 000	04/23/12	10/31/12	6,985 34	12,500 00	-5,514 66
Equity Securities	Noble Corp	100 000	06/18/12	12/21/12	3,499 92	3,300 00	199 92
Equity Securities	Walgreen	200 000	02/01/12	01/22/13	6,799 85	6,701 10	98 75
Equity Securities	Prudential Financial Inc	500 000	01/04/13	07/22/13	34,999 39	28,034 50	6,964 89
Equity Securities	Autodesk Inc	1,000 000	01/22/13	09/23/13	36,999 35	37,859 00	-859 65
Equity Securities	Freeport McMoran Copper &	1,000 000	01/22/13	09/23/13	29,999 47	35,000 00	-5,000 53
Equity Securities	Mondelez International	1,000 000	10/03/12	09/23/13	31,999 44	27,789 60	4,209 84
TOTAL SHORT TERM					218,394.75	242,262.20	-23,867.45

PART IV Line 1.A

LONG TERM							
Debt Securities	Dow Chemical 6%	1,000 000	05/12/09	10/01/12	100,000 00	98,450 00	1,550 00
Debt Securities	Goldman Sachs Group Step	1,000 000	04/29/11	10/29/12	100,000 00	98,000 00	2,000 00
Debt Securities	Bank of America Corp 5%	1,000 000	05/26/11	11/27/12	100,000 00	98,000 00	2,000 00
Debt Securities	Bank of America Corp 4 875%	1,000 000	06/30/09	01/15/13	100,000 00	99,536 00	464 00
Debt Securities	General Electric Cap Corp 4	1,000 000	01/07/09	05/01/13	100,000 00	100,135 00	-135 00
Debt Securities	General Electric Cap Corp 4	1,000 000	01/14/09	05/01/13	100,000 00	99,900 00	100 00
Debt Securities	Ford Motor Co 2 25%	1,000 000	06/11/12	06/21/13	100,000 00	99,550 00	450 00
Equity Securities	Procter & Gamble	500 000	01/31/05	10/17/12	33,749 24	26,525 00	7,224 24
Equity Securities	Allstate	1,000 000	09/21/99	10/22/12	38,999 12	29,620 74	9,378 38
Equity Securities	Avery Dennison	800 000	03/25/10	10/22/12	23,999 46	28,283 52	-4,284 06
Equity Securities	JP Morgan Chase & Co	1,000 000	04/21/11	10/22/12	38,999 12	44,648 50	-5,649 38
Equity Securities	ELI LILLY & CO	500 000	02/22/10	10/22/12	21,999 50	17,500 00	4,499 50
Equity Securities	Noble Corp	300 000	07/27/11	10/22/12	11,699 74	11,360 37	339 37
Equity Securities	Noble Corp	300 000	08/22/11	10/22/12	11,699 74	10,500 00	1,199 74
Equity Securities	Wal-Mart Stores	500 000	07/29/09	10/22/12	37,499 16	24,564 23	12,934 93
Equity Securities	Goldcorp Inc	1,000 000	04/01/10	10/22/12	40,999 08	37,916 80	3,082 28
Equity Securities	ELI LILLY & CO	200 000	02/22/10	11/15/12	9,176 09	7,000 00	2,176 09
Equity Securities	ELI LILLY & CO	800 000	03/17/10	11/15/12	36,704 38	28,959 92	7,744 46
Equity Securities	Exelon Corp	1,800 000	09/23/10	11/15/12	52,834 14	76,587 30	-23,753 16
Equity Securities	Exelon Corp	200 000	10/29/10	11/15/12	5,870 46	8,161 70	-2,291 24
Equity Securities	Noble Corp	900 000	08/22/11	12/21/12	31,499 29	31,500 00	-0 71
Equity Securities	Lowes	300 000	06/05/07	12/21/12	10,199 77	9,792 00	407 77
Equity Securities	Lowes	500 000	10/24/07	12/21/12	16,999 62	13,255 00	3,744 62
Equity Securities	Raytheon	200 000	10/13/10	12/21/12	10,999 75	9,181 80	1,817 95

Capital Gains

10/01/12 through 09/30/13

Account	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/L
Equity Securities	Raytheon	300 000	10/29/10	12/21/12	16,499 63	13,826 55	2,673 08
Equity Securities	Texas Instruments	1,000 000	02/19/08	12/21/12	28,999 35	32,500 00	-3,500 65
Equity Securities	Agilent Technologies	1,000 000	12/16/11	01/22/13	38,999 12	34,588 50	4,410 62
Equity Securities	CISCO SYSTEMS INC	1,000 000	04/23/07	01/22/13	18,999 57	26,899 00	-7,899 43
Equity Securities	CISCO SYSTEMS INC	200 000	12/30/10	01/22/13	3,799 91	4,045 80	-245 89
Equity Securities	Walgreen	300 000	10/31/03	01/22/13	10,199 77	9,642 00	557 77
Equity Securities	Walgreen	500 000	04/01/08	01/22/13	16,999 62	19,314 95	-2,315 33
Equity Securities	Petroleo Brasileiro SA	300 000	04/06/11	02/06/13	4,929 41	12,248 55	-7,319 14
Equity Securities	Petroleo Brasileiro SA	500 000	04/21/11	02/06/13	8,215 68	19,104 25	-10,888 57
Equity Securities	Petroleo Brasileiro SA	700 000	07/26/11	02/06/13	11,501 95	24,463 95	-12,962 00
Equity Securities	Petroleo Brasileiro SA	500 000	08/31/11	02/06/13	8,215 68	14,469 25	-6,253 57
Equity Securities	Petroleo Brasileiro SA	1,000 000	09/19/11	02/06/13	16,431 36	30,000 00	-13,568 64
Equity Securities	Chevron-Texaco	400 000	09/10/04	02/13/13	45,998 96	9,069 93	36,929 03
Equity Securities	Macys Inc	1,000 000	05/02/11	02/13/13	38,999 12	25,919 90	13,079 22
Equity Securities	QUALCOMM INC	300 000	05/24/10	02/19/13	19,499 56	12,000 00	7,499 56
Equity Securities	QUALCOMM INC	200 000	12/01/11	02/19/13	12,999 71	11,084 00	1,915 71
Equity Securities	Southwest Airlines	2,000 000	02/22/11	02/19/13	21,999 50	26,000 00	-4,000 50
Equity Securities	Raytheon	200 000	10/29/10	02/19/13	10,906 46	9,217 70	1,688 76
Equity Securities	Raytheon	1,500 000	01/05/11	02/19/13	81,798 48	71,427 75	10,370 73
Equity Securities	Allstate	1,000 000	09/21/99	03/15/13	43,999 01	29,620 74	14,378 27
Equity Securities	Exelon Corp	300 000	10/29/10	03/15/13	9,996 23	12,242 55	-2,246 32
Equity Securities	Exelon Corp	700 000	11/03/10	03/15/13	23,324 53	28,663 95	-5,339 42
Equity Securities	Exelon Corp	500 000	12/30/10	03/15/13	16,660 38	20,749 25	-4,088 87
Equity Securities	Bank of America Corp	300 000	06/23/08	03/15/13	3,599 92	10,500 00	-6,900 08
Equity Securities	Bank of America Corp	1,700 000	12/02/04	03/15/13	20,399 54	112,264 90	-91,865 36
Equity Securities	CISCO SYSTEMS INC	800 000	12/30/10	03/15/13	16,799 62	16,183 20	616 42
Equity Securities	CISCO SYSTEMS INC	200 000	04/01/11	03/15/13	4,199 90	3,435 80	764 10
Equity Securities	Exelon Corp	500 000	02/01/12	03/15/13	15,999 64	19,784 25	-3,784 61
Equity Securities	Exelon Corp	500 000	03/01/12	03/15/13	15,999 64	19,504 25	-3,504 61
Equity Securities	Xerox	2,000 000	04/01/11	03/15/13	15,999 64	21,879 80	-5,880 16
Equity Securities	Netgear	1,000 000	07/01/11	03/25/13	32,982 59	43,395 00	-10,412 41
Equity Securities	Netgear	500 000	07/26/11	03/25/13	16,491 30	19,849 90	-3,358 60
Equity Securities	General Mills	1,000 000	01/27/04	04/08/13	46,998 94	22,558 11	24,440 83
Equity Securities	Amgen	800 000	08/22/11	04/08/13	69,998 43	44,000 00	25,998 43
Equity Securities	Texas Instruments	1,000 000	02/19/08	04/08/13	33,999 23	32,500 00	1,499 23
Equity Securities	Walgreen	500 000	02/01/12	04/08/13	19,999 55	16,752 75	3,246 80
Equity Securities	Silver Bay Rity Tr	195 200	12/01/10	04/29/13	3,741 92	3,809 33	-67 41
Equity Securities	Silver Bay Rity Tr	97 600	07/26/11	04/29/13	1,870 96	1,904 66	-33 70

Capital Gains

10/01/12 through 09/30/13

Account	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/L
Equity Securities	Silver Bay Rity Tr	195 200	12/16/11	04/29/13	3,741 92	3,809 33	-67 41
Equity Securities	Du Pont El De Nemours	800 000	12/04/98	05/13/13	39,999 90	36,248 69	3,751 21
Equity Securities	Du Pont El De Nemours	200 000	05/01/07	05/13/13	9,999 98	9,908 00	91 98
Equity Securities	Bristol Myers Squibb	300 000	03/23/09	05/20/13	12,299 72	6,292 80	6,006 92
Equity Securities	Bristol Myers Squibb	700 000	03/26/09	05/20/13	28,699 36	14,854 00	13,845 36
Equity Securities	Johnson&Johnson	700 000	04/22/03	05/20/13	57,748 70	35,390 21	22,358 49
Equity Securities	Pepsico	500 000	09/21/99	05/20/13	39,999 10	15,842 36	24,156 74
Equity Securities	Southwest Airlines	2,500 000	04/18/11	05/20/13	32,499 27	30,000 00	2,499 27
Equity Securities	Northeast Utilities	1,528 000	07/09/07	05/31/13	64,252 81	37,852 47	26,400 34
Equity Securities	Goodyear Tire & Rubber	2,000 000	05/16/11	06/21/13	25,999 54	35,938 00	-9,938 46
Equity Securities	Metlife	1,000 000	06/18/12	06/24/13	39,999 30	32,000 00	7,999 30
Equity Securities	Microsoft	800 000	07/28/05	06/24/13	26,399 54	20,582 40	5,817 14
Equity Securities	Microsoft	200 000	05/29/08	06/24/13	6,599 88	5,699 80	900 08
Equity Securities	EMC Corp	800 000	04/03/08	07/22/13	19,999 65	11,790 80	8,208 85
Equity Securities	Ford Motor Co	1,500 000	09/30/08	07/22/13	23,999 58	6,780 00	17,219 58
Equity Securities	Hewlett-Packard	1,000 000	04/23/12	07/22/13	24,999 56	25,000 00	-0 44
Equity Securities	JP Morgan Chase & Co	500 000	04/21/11	07/22/13	27,499 52	22,324 25	5,175 27
Equity Securities	JP Morgan Chase & Co	100 000	05/02/11	07/22/13	5,499 90	4,550 85	949 05
Equity Securities	Lowes	500 000	10/24/07	07/22/13	20,499 64	13,255 00	7,244 64
Equity Securities	Lowes	100 000	08/26/09	07/22/13	4,099 93	2,175 75	1,924 18
Equity Securities	Merck&Co	1,000 000	01/28/09	07/22/13	46,999 18	28,459 87	18,539 31
Equity Securities	Donnelly R R.	1,500 000	01/24/11	07/31/13	22,499 60	27,164 72	-4,665 12
Equity Securities	TEVA Pharm	700 000	04/03/09	08/16/13	27,999 51	30,707 74	-2,708 23
Equity Securities	TEVA Pharm	500 000	04/17/09	08/16/13	19,999 65	22,209 20	-2,209 55
Equity Securities	TEVA Pharm	300 000	04/17/09	08/16/13	11,999 79	13,335 00	-1,335 21
Equity Securities	Citigroup	200 000	12/16/11	08/16/13	9,799 83	5,327 98	4,471 85
Equity Securities	Citigroup	500 000	06/18/12	08/16/13	24,499 57	14,500 00	9,999 57
Equity Securities	Goodyear Tire & Rubber	1,000 000	05/16/11	08/16/13	15,999 72	17,969 00	-1,969 28
Equity Securities	Texas Instruments	500 000	08/15/08	09/23/13	19,499 66	13,750 00	5,749 66
Equity Securities	Xerox	2,000 000	04/01/11	09/23/13	19,999 65	21,879 80	-1,880 15
Equity Securities	Oracle	1,100 000	11/11/05	09/23/13	37,399 34	14,014 00	23,385 34
Preferred Stock	JP Morgan Chase 7% Capital	1,000 000	12/30/10	05/08/13	25,000 00	25,319 00	-319 00
Preferred Stock	Bank of America Corp 7 25%	2,000 000	12/01/10	08/01/13	50,000 00	48,613 45	1,386 55
TOTAL LONG TERM			PART IV Line 13		2,809,513.77	2,647,892.87	161,620.90

OVERALL TOTAL

3,027,908.52 2,890,155.07 137,753.45

Part IV Line 1C Options

139,732.00

Part IV Line 2

277,485.00

Federal Statement
James O'Brien Foundation, Inc.
c/o McInnis Law Offices
04-3528495
Part XV, Line 3A
30-Sep-13
AWARDS

Award Recipient	Address	Foundation Status	Purpose of Grant	Amount
Alzheimer's Association	Watertown, MA	Public	Research	1,000
Bellisini Academy	Lawrence, MA	Public	Capital/Fund	10,000
Bethany Health Care	Framingham, MA	Public	Medical	1,300
Bishop Guertin High School	Nashua, NH	Public	Education	5,000
Boston Marathon	Boston, MA	Public	Aid victims	1,500
Boston Univ. High School	Boston, MA	Public	Education	2,148
Boys and Girls Club of Lynn	Lynn, MA	Public	Community	1,600
Essex Rowing Club	Methuen, MA	Public	Community	500
Central Catholic High School	Lawrence, MA	Public	Scholarships	20,000
Derryfield School	Manchester, NH	Public	Education	5,000
Discalced Carmelite Monestary	Barrington, RI	Public	Aid Needy	3,750
Greater Lynn Babe Ruth	Lynn, MA	Public	Community	1,000
LEHS ROTC	Lynn, MA	Public	Education	1,000
Lynn English High School	Lynn, MA	Public	Study Abroad	8,400
Lynn English High School	Lynn, MA	Public	Scholarships	1,552
Lynn English High School	Lynn, MA	Public	Scholarships	71,000
Lawrence Boys and Girl's Club	Lawrence, MA	Public	Community	11,200
Mass Coalition for the Homeless	Boston, MA	Public	Aid homeless	30,000
Merrimack College	North Andover, MA	Public	Scholarships	340,133
North Shore Skating	Reading, MA	Public	Community	150
Notre Dame High School	Lawrence, MA	Public	Education	5,000
Pike School	Andover, MA	Public	Scholarships	3,500
Pan Mass Challenge	Boston, MA	Public	Cancer research	2,500
Presentation of Mary	Hudson, NH	Public	Education	5,000

James O'Brien Foundation-continued

Form 990PF 9-30-13
Awards

Award Recipient	Address	Foundation Status	Purpose of Grant	Amount
Save the Indoor Portsmouth Pool	Portsmouth, NH	Public	Community	750
Simon of Cyrene Society	Boston, MA	Public	Community	100
St. Mary's Food Pantry	Lynn, MA	Public	Feed Hungry	9,000
St. Mary's High	Lynn, MA	Public	Education	900
St. Mary's Jr/Sr. High School	Lynn, MA	Public	Scholarships	102,000
St. Mary's Blue Line Club	Lynn, MA	Public	Education	300
St. Vincent De Paul	Orleans, MA	Public	Aid Indigent	6,650
Suffolk University Law School	Boston, MA	Public	Scholarships	20,000
Villanova	Villanova, PA	Public	Education	10,000
The Walkers Fund for Annual Giving	Simsbury, CT	Public	Education	2,000
TOTAL AWARDS				683,933

Cash to Accrual Adjustment (-29,998)

Total Awards – Part XV Line 3A 653,935