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Form 990-PF

## Return of Private Foundation

2013

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Open to Public Inspection

For calendar year 2013, or tax year beginning 01-01-2013, and ending 12-31-2013

Name of foundation Dr Edwin A Ulrich Charitable Trust		A Employer identification number 14-6161493
Number and street (or P O box number if mail is not delivered to street address) c/o Pangia Co 2 Jefferson Plaza		B Telephone number (see instructions) (845) 229-8562
City or town, state or province, country, and ZIP or foreign postal code Poughkeepsie, NY 12601		
<b>G</b> Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		<b>C</b> If exemption application is pending, check here <input type="checkbox"/> <b>D</b> 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> <b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> <b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
<b>H</b> 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		
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <b>\$ 1,196,864</b>	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	

<b>Part I Analysis of Revenue and Expenses</b> (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)
<b>Revenue</b>	1 Contributions, gifts, grants, etc, received (attach schedule)				
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities. . . . .	55,478	55,478	55,478	
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	23,351			
	b Gross sales price for all assets on line 6a 253,918				
	7 Capital gain net income (from Part IV, line 2) . . .		23,351		
	8 Net short-term capital gain . . . . .				
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold . . . . .				
	c Gross profit or (loss) (attach schedule) . . . . .				
	11 Other income (attach schedule) . . . . .				
	<b>12 Total.</b> Add lines 1 through 11 . . . . .	78,829	78,829	55,478	
<b>Operating and Administrative Expenses</b>	13 Compensation of officers, directors, trustees, etc	7,368			7,368
	14 Other employee salaries and wages . . . . .				
	15 Pension plans, employee benefits . . . . .				
	16a Legal fees (attach schedule) . . . . .				
	b Accounting fees (attach schedule) . . . . .	6,925	2,308		4,617
	c Other professional fees (attach schedule) . . . . .				
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see instructions) <b>1,250</b>	1,250	250		
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy . . . . .				
	21 Travel, conferences, and meetings . . . . .				
	22 Printing and publications . . . . .				
	23 Other expenses (attach schedule) . . . . .	5,001	5,001		
	<b>24 Total operating and administrative expenses.</b>				
	Add lines 13 through 23 . . . . .	20,544	7,559		11,985
	25 Contributions, gifts, grants paid. . . . .	40,000			40,000
	<b>26 Total expenses and disbursements.</b> Add lines 24 and 25	60,544	7,559		51,985
	<b>27 Subtract line 26 from line 12</b>				
	<b>a Excess of revenue over expenses and disbursements</b>	18,285			
	<b>b Net investment income</b> (if negative, enter -0-) . . .		71,270		
	<b>c Adjusted net income</b> (if negative, enter -0-) . . .			55,478	

<b>Part II</b> <b>Balance Sheets</b>	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
<b>Assets</b>				
1	Cash—non-interest-bearing . . . . .			
2	Savings and temporary cash investments . . . . .	62,750	21,261	21,261
3	Accounts receivable ►			
	Less allowance for doubtful accounts ►			
4	Pledges receivable ►			
	Less allowance for doubtful accounts ►			
5	Grants receivable . . . . .			
6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
7	Other notes and loans receivable (attach schedule) ►			
	Less allowance for doubtful accounts ►			
8	Inventories for sale or use . . . . .			
9	Prepaid expenses and deferred charges . . . . .			
10a	Investments—U S and state government obligations (attach schedule)			
b	Investments—corporate stock (attach schedule) . . . . .	895,361	985,135	1,109,211
c	Investments—corporate bonds (attach schedule) . . . . .	88,584	58,584	66,392
11	Investments—land, buildings, and equipment basis ►			
	Less accumulated depreciation (attach schedule) ►			
12	Investments—mortgage loans . . . . .			
13	Investments—other (attach schedule) . . . . .			
14	Land, buildings, and equipment basis ►			
	Less accumulated depreciation (attach schedule) ►			
15	Other assets (describe ►) . . . . .			
16	<b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	1,046,695	1,064,980	1,196,864
<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 (attach schedule) . . . . .			
22	Other liabilities (describe ►) . . . . .			
23	<b>Total liabilities</b> (add lines 17 through 22) . . . . .		0	
<b>Net Assets or Fund Balances</b>				
24	Unrestricted . . . . .	1,046,695	1,064,980	
25	Temporarily restricted . . . . .			
26	Permanently restricted . . . . .			
27	<b>Foundations that follow SFAS 117, check here ►</b> <input checked="" type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
28	Capital stock, trust principal, or current funds . . . . .			
29	Paid-in or capital surplus, or land, bldg , and equipment fund			
30	<b>Total net assets or fund balances</b> (see page 17 of the instructions) . . . . .	1,046,695	1,064,980	
31	<b>Total liabilities and net assets/fund balances</b> (see page 17 of the instructions) . . . . .	1,046,695	1,064,980	

**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	1,046,695
2	Enter amount from Part I, line 27a . . . . .	2	18,285
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3 . . . . .	4	1,064,980
5	Decreases not included in line 2 (itemize) ►	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	1,064,980

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

<b>(a)</b> 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>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo., day, yr.)	<b>(d)</b> Date sold (mo., day, yr.)
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<b>1a</b> See Additional Data Table			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>(e)</b> Gross sales price	<b>(f)</b> Depreciation allowed (or allowable)	<b>(g)</b> Cost or other basis plus expense of sale	<b>(h)</b> Gain or (loss) (e) plus (f) minus (g)
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<b>a</b> See Additional Data Table			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

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

<b>(i)</b> FMV as of 12/31/69	<b>(j)</b> Adjusted basis as of 12/31/69	<b>(k)</b> Excess of col (i) over col (j), if any	<b>(l)</b> Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
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<b>a</b> See Additional Data Table			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	<b>(l)</b> Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))	<b>2</b>	23,351
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)			

If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8

3

**Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income**

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

Yes  No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

<b>(a)</b> Base period years Calendar year (or tax year beginning in)	<b>(b)</b> Adjusted qualifying distributions	<b>(c)</b> Net value of noncharitable-use assets	<b>(d)</b> Distribution ratio (col (b) divided by col (c))
2012	51,857	1,141,554	0 04543
2011	51,308	1,108,866	0 04627
2010	55,214	1,061,035	0 05204
2009	56,352	964,898	0 05840
2008	73,803	1,161,652	0 06353

<b>2</b> <b>Total</b> of line 1, column (d).	<b>2</b>	0 26567
<b>3</b> 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>3</b>	0 05313
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	<b>4</b>	1,183,926
<b>5</b> Multiply line 4 by line 3.	<b>5</b>	62,907
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b).	<b>6</b>	713
<b>7</b> Add lines 5 and 6.	<b>7</b>	63,620
<b>8</b> Enter qualifying distributions from Part XII, line 4.	<b>8</b>	51,985

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

**Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)**

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1		
	Date of ruling or determination letter _____ <b>(attach copy of letter if necessary—see instructions)</b>	1	1,425
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 . . . . .		
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . . . .	2	
3	Add lines 1 and 2. . . . .	3	1,425
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . . . .	4	
5	<b>Tax based on investment income.</b> Subtract line 4 from line 3 If zero or less, enter -0- . . . . .	5	1,425
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	1,913
b	Exempt foreign organizations—tax withheld at source . . . . .	6b	
c	Tax paid with application for extension of time to file (Form 8868) . . . . .	6c	
d	Backup withholding erroneously withheld . . . . .	6d	
7	Total credits and payments Add lines 6a through 6d. . . . .	7	1,913
8	Enter any <b>penalty</b> for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b> . . . . .	9	
10	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b> . . . . .	10	488
11	Enter the amount of line 10 to be <b>Credited to 2014 estimated tax</b> <input type="checkbox"/> 488 <b>Refunded</b> <input type="checkbox"/>	11	

**Part VII-A Statements Regarding Activities**

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? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
1b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<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>		
1c	Did the foundation file <b>Form 1120-POL</b> for this year? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year <b>(1) On the foundation</b> <input type="checkbox"/> \$ _____ <b>(2) On foundation managers</b> <input type="checkbox"/> \$ _____		
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
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>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
b	If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	<input type="checkbox"/> Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/>		
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>	<input type="checkbox"/> Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

11		No
12		No
13	Yes	

Website address ► [http://bartlett.oag.state.ny.us/Char\\_Forms/](http://bartlett.oag.state.ny.us/Char_Forms/)

14 The books are in care of ► **PANGIA & CO CPAS LLC** Telephone no ► (845) 454-4610  
 Located at ► **2 JEFFERSON PLAZA** Poughkeepsie NY ZIP +4 ► **12601**

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —Check here ► **15** and enter the amount of tax-exempt interest received or accrued during the year.

16 At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? ► **16**

See instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes", enter the name of the foreign country ►

**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? ( <b>Exception.</b> 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		
1b If any answer is "Yes" to 1a(1)–(6), did <b>any</b> 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)? ► <b>1b</b>		No
Organizations relying on a current notice regarding disaster assistance check here.		
1c 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 2013? ► <b>1c</b>		No
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
2a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ► <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If "Yes," list the years ► 20____, 20____, 20____, 20____		
2b Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement—see instructions) ► <b>2b</b>		No
2c If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here ► 20____, 20____, 20____, 20____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ► <b>3a</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3b If "Yes," did it have excess business holdings in 2013 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 2013.) ► <b>3b</b>		No
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? ► <b>4a</b>		No
4b 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 2013? ► <b>4b</b>		No

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

5a	During the year did the foundation pay or incur any amount to  (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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). . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 5a(1)–(5), did <b>any</b> 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)? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Organizations relying on a current notice regarding disaster assistance check here. . . . . <input type="checkbox"/>	5b		No
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? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If "Yes," attach the statement required by Regulations section 53.4945–5(d).</i>			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	6b		No
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If "Yes" to 6b, file Form 8870.</i>	7b		No
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? . . . . .	7b		No

**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 <b>(If not paid, enter -0-)</b>	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JOHN R CONKLIN PO BOX 174 RHINECLIFF, NY 12574	TRUSTEE 1 00	1,842		
DIETER H RENNHACK 55 CAROL DRIVE PO BOX 89 HOPEWELL JUNCTION, NY 12533	TRUSTEE 1 00	1,842		
JOHN REGAN 4 PARK AVENUE WAPPINGERS FALLS, NY 12590	TRUSTEE 1 00	1,842		
JEFFREY P ARMSTRONG PO BOX 14 HYDE PARK, NY 12538	TRUSTEE 1 00	1,842		

**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				
<b>Total number of other employees paid over \$50,000.</b>				<input type="checkbox"/>

**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		

## **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	
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 _____ _____	
2 _____ _____	

All other program-related investments See page 24 of the instructions

**3** \_\_\_\_\_  
\_\_\_\_\_  
**Total.** Add lines 1 through 3

**Part X Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities. . . . .	1a	1,099,091
b	Average of monthly cash balances. . . . .	1b	102,864
c	Fair market value of all other assets (see instructions). . . . .	1c	0
d	<b>Total</b> (add lines 1a, b, and c). . . . .	1d	1,201,955
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	
3	Subtract line 2 from line 1d. . . . .	3	1,201,955
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	4	18,029
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,183,926
6	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	6	59,196

**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	59,196
2a	Tax on investment income for 2013 from Part VI, line 5. . . . .	2a	1,425
b	Income tax for 2013 (This does not include the tax from Part VI ). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	1,425
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	57,771
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	
5	Add lines 3 and 4. . . . .	5	57,771
6	Deduction from distributable amount (see instructions). . . . .	6	
7	<b>Distributable amount</b> as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . .	7	57,771

**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	51,985
b	Program-related investments—total from Part IX-B. . . . .	1b	
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	3a	
a	Suitability test (prior IRS approval required). . . . .	3b	
b	Cash distribution test (attach the required schedule). . . . .	4	51,985
4	<b>Qualifying distributions.</b> Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	5	
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). . . . .	6	51,985
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .		

**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 2012	(c) 2012	(d) 2013
<b>1</b> Distributable amount for 2013 from Part XI, line 7				57,771
<b>2</b> Undistributed income, if any, as of the end of 2013				
<b>a</b> Enter amount for 2012 only. . . . .				
<b>b</b> Total for prior years 20____, 20____, 20____				
<b>3</b> Excess distributions carryover, if any, to 2013				
<b>a</b> From 2008. . . . .				
<b>b</b> From 2009. . . . .	6,162			
<b>c</b> From 2010. . . . .	3,093			
<b>d</b> From 2011. . . . .				
<b>e</b> From 2012. . . . .				
<b>f Total of lines 3a through e. . . . .</b>	9,255			
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4 ► \$ _____ 51,985				
<b>a</b> Applied to 2012, but not more than line 2a				
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .				
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .	0			
<b>d</b> Applied to 2013 distributable amount. . . . .				51,985
<b>e</b> Remaining amount distributed out of corpus				
<b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	5,786			5,786
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	3,469			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b . . . . .				
<b>c</b> 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. . . . .				
<b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions . . . . .				
<b>e</b> Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .				
<b>f</b> Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 . . . . .				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . .				
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . . .				
<b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a . . . . .	3,469			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2009. . . . .	376			
<b>b</b> Excess from 2010. . . . .	3,093			
<b>c</b> Excess from 2011. . . . .				
<b>d</b> Excess from 2012. . . . .				
<b>e</b> Excess from 2013. . . . .				

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9)

<b>1a</b> If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling. <input type="text"/>
<b>b</b> Check box to indicate whether the organization is a private operating foundation described in section <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 4942(j)(5)
<b>2a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed. <input type="text"/>
<b>b</b> 85% of line 2a. <input type="text"/>
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed. <input type="text"/>
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities. <input type="text"/>
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c. <input type="text"/>
<b>3</b> Complete 3a, b, or c for the alternative test relied upon
<b>a</b> "Assets" alternative test—enter
(1) Value of all assets. <input type="text"/>
(2) Value of assets qualifying under section 4942(j)(3)(B)(i). <input type="text"/>
<b>b</b> "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. <input type="text"/>
<b>c</b> "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). <input type="text"/>
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(III). <input type="text"/>
(3) Largest amount of support from an exempt organization <input type="text"/>
(4) Gross investment income <input type="text"/>

**Part XV Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)****1 Information Regarding Foundation Managers:**

**a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2) )

**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

**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

**Part XV Supplementary Information (continued)****3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	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
Name and address (home or business)				
<b>a Paid during the year</b> See Additional Data Table				
<b>Total</b> . . . . .			► 3a	40,000
<b>b Approved for future payment</b>				
<b>Total</b> . . . . .			► 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions )
Line	Description	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1	Program service revenue					
a						
b						
c						
d						
e						
f						
g	Fees and contracts from government agencies					
2	Membership dues and assessments.					
3	Interest on savings and temporary cash investments					
4	Dividends and interest from securities.				14	55,478
5	Net rental income or (loss) from real estate					
a	Debt-financed property.					
b	Not debt-financed property.					
6	Net rental income or (loss) from personal property.					
7	Other investment income.					
8	Gain or (loss) from sales of assets other than inventory					23,351
9	Net income or (loss) from special events					
10	Gross profit or (loss) from sales of inventory.					
11	Other revenue a					
b						
c						
d						
e						
12	Subtotal. Add columns (b), (d), and (e).					55,478
13	Total. Add line 12, columns (b), (d), and (e). (See worksheet in line 13 instructions to verify calculations.)				13	78,829

**Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes**



**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

<b>(a)</b> 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>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo, day, yr)	<b>(d)</b> Date sold (mo, day, yr)
1502 FIRST TRUST PORTFOLIOS	P	2011-05-06	2013-10-08
300 JP MORGAN CAP	P	2009-03-27	2013-05-08
1880 MFS RESEARCH	P	2011-06-23	2013-08-27
200 MODELEZ	P	2009-10-29	2013-01-30
200 nextera	P	2009-05-14	2013-08-27
250 NUVEEN EQUITY PREMIUM	P	2009-05-01	2013-08-27
1889 RIVERNORTH	P	2011-08-24	2013-08-27
4749 TCW FUNDS	P	2001-01-01	2013-08-27
See attachment	P	2001-01-01	2013-01-01
See attachment	P	2001-01-01	2013-01-01
See attachment	P	2001-01-01	2013-01-01

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

<b>(e) Gross sales price</b>	<b>(f) Depreciation allowed (or allowable)</b>	<b>(g) Cost or other basis plus expense of sale</b>	<b>(h) Gain or (loss) (e) plus (f) minus (g)</b>
13,080		14,876	-1,796
7,500		5,518	1,982
19,994		20,000	-6
5,448		3,617	1,831
5,139		5,438	-299
3,342		2,058	1,284
19,994		19,981	13
47,195		45,515	1,680
156		204	-48
48,366		37,234	11,132
83,704		76,126	7,578

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			<b>(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))</b>
<b>(i) F M V as of 12/31/69</b>	<b>(j) Adjusted basis as of 12/31/69</b>	<b>(k) Excess of col (i) over col (j), if any</b>	
			-1,796
			1,982
			-6
			1,831
			-299
			1,284
			13
			1,680
			-48
			11,132
			7,578

## Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
<b>a Paid during the year</b>				
Marist College North Road Poughkeepsie, NY 12601	None	n/a	scholarships	30,000
New Paltz Foundation 75 South Manheim Blvd New Paltz, NY 12561	None	n/a	general support	3,000
Hospice of Dutchess Cty 70 S Hamilton Street Poughkeepsie, NY 12601	None	n/a	general support	250
The Children's Home 91 Fulton Street Poughkeepsie, NY 12601	None	n/a	general support	750
ST JAMES CHURCH 4526 ALBANY POST ROAD HYDE PARK, NY 12538	NONE	n/a	general support	250
DUTCHESS COUNTY MEALS ON WHEEL 10 Cannon Street Poughkeepsie, NY 12601	NONE	n/a	general support	250
The Bardavon 35 Market Street Poughkeepsie, NY 12601	NONE	N/A	general support	5,500
<b>Total. . . . .</b>			<b>► 3a</b>	<b>40,000</b>

## TY 2013 Accounting Fees Schedule

**Name:** Dr Edwin A Ulrich Charitable Trust

**EIN:** 14-6161493

**Software ID:** 13000170

**Software Version:** 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Accounting Fees	6,925	2,308	0	4,617

## TY 2013 Investments Corporate Bonds Schedule

**Name:** Dr Edwin A Ulrich Charitable Trust

**EIN:** 14-6161493

**Software ID:** 13000170

**Software Version:** 2013v3.1

Name of Bond	End of Year Book Value	End of Year Fair Market Value
SEE ATTACHED INVESTMENT SUMMARY	58,584	66,392

## TY 2013 Investments Corporate Stock Schedule

**Name:** Dr Edwin A Ulrich Charitable Trust

**EIN:** 14-6161493

**Software ID:** 13000170

**Software Version:** 2013v3.1

Name of Stock	End of Year Book Value	End of Year Fair Market Value
SEE ATTACHED INVESTMENT SUMMARY	985,135	1,109,211

## TY 2013 Other Expenses Schedule

**Name:** Dr Edwin A Ulrich Charitable Trust

**EIN:** 14-6161493

**Software ID:** 13000170

**Software Version:** 2013v3.1

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BROKERAGE FEES	5,001	5,001		

## TY 2013 Taxes Schedule

**Name:** Dr Edwin A Ulrich Charitable Trust**EIN:** 14-6161493**Software ID:** 13000170**Software Version:** 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
federal excise tax	1,000			
STATE TAXES	250	250		

## 2013 FORMS 1099

Page 5 of 14

As of Date: 2/07/14

CONKLIN,REGAN,ARMSTRONG  
& RENNACK TTEES  
DR EDWIN A ULRICH CHAR  
TRUST UAD 9/10/92  
P O BOX 174  
RHINECLIFF NY 12574-0174

**Your Financial Advisor :**  
GERALD R DINGEE  
6423 MONTGOMERY ST.  
SUITE 10 - 2ND FLOOR  
RHINEBECK NY 12572  
(845) 876-1667

**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103  
Payer ID #: 23-2384840

Account Number:

Your Federal Identification Number: 14-6161493

## Reportable Tax Information

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. Where available, we have also provided additional information for courtesy purposes that is not provided to the IRS. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder. TAXPAYERS ARE ULTIMATELY RESPONSIBLE FOR THE ACCURACY OF THEIR TAX RETURNS.

The 1099-B data shown is reported to the IRS. Individual tax lots for each trade, where applicable, have been broken out and shown in italics. This detailed information is not reported to the IRS, but may be helpful in completing Form 8949 of Schedule D of your tax return.

## SHORT TERM GAINS/LOSSES (COVERED)-BASIS REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX A CHECKED

## 1099-B Proceeds from Broker and Barter Exchange Transactions for 2013

OMB NO. 1545-0715

8-Description / CUSIP		1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information not reported to the IRS	
1a-Date of Sale or Exchange						Gain or Loss Amount	Additional Information
ISHARES	ET / 464288539						
MORTGAGE REAL ESTATE							
CAPPED							
08/27/13		13.0000	03/21/13	156.13	203.92	-47.79	SALE

## TOTAL SHORT TERM GAINS OR LOSSES FOR BASIS

REPORTED TO IRS 156.13 203.92 -47.79

## LONG TERM GAINS/LOSSES (COVERED)-BASIS REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX D CHECKED

## 1099-B Proceeds from Broker and Barter Exchange Transactions for 2013

OMB NO. 1545-0715

8-Description / CUSIP		1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information not reported to the IRS	
1a-Date of Sale or Exchange						Gain or Loss Amount	Additional Information
EMERSON ELECTRIC CO / 291011104							
08/27/13		200.0000	12/20/11	12,116.29	9,950.00	2,166.29	SALE

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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# 2013 FORMS 1099

Page 6 of 14

As of Date: 2/07/14

Account Number:  
Your Federal Identification Number: 14-6161493

CONKLIN,REGAN,ARMSTRONG  
& RENNACK TTEES  
DR EDWIN A ULRICH CHAR  
TRUST UAD 9/10/92  
P O BOX 174  
RHINECLIFF NY 12574-0174

Your Financial Advisor :  
GERALD R DINGEE  
6423 MONTGOMERY ST  
SUITE 10 - 2ND FLOOR  
RHINEBECK NY 12572  
(845) 876-1667

Payer:  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103  
Payer ID #: 23-2384840

## Reportable Tax Information

### LONG TERM GAINS/LOSSES (COVERED)-BASIS REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX D CHECKED 1099-B Proceeds from Broker and Barter Exchange Transactions for 2013

continued

OMB NO. 1545-0715

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information not reported to the IRS	
					Gain or Loss Amount	Additional Information
HEINZ H J CO COMMON / 423074103 06/10/13	500.0000	03/05/12	36,250.00	26,550.00	9,700.00	MERGER
<b>TOTAL LONG TERM GAINS OR LOSSES FOR BASIS REPORTED TO IRS</b>						
			<b>48,366.29</b>	<b>36,500.00</b>	<b>11,866.29</b>	

### LONG TERM GAINS/LOSSES (NONCOVERED)-BASIS NOT REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX E CHECKED\*\* 1099-B Proceeds from Broker and Barter Exchange Transactions for 2013

OMB NO. 1545-0715

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information not reported to the IRS	
					Gain or Loss Amount	Additional Information
CENTL HUDSON G&E 4.5%PFD / 153609201 03/21/13	5.0000	02/23/04	535.00	350.00	185.00	REDEMPTION
CENTURYLINK INC / 156700106 08/27/13	200.0000	04/01/10	6,594.69	7,180.00	-585.31	SALE
CH ENERGY GROUP INC / 12541M102 07/09/13	200.0000	12/28/05	13,000.00	9,333.60	3,666.40	MERGER
DEERE & CO / 244199105 10/17/13	150.0000	11/04/08	12,541.88	6,140.04	6,401.84	SALE
EATON VANCE TAX ADVANTAG / 27828S101 GLOBAL DIVIDEND INCOME 08/27/13	200.0000	03/08/05	3,077.95	4,044.00	-966.05	SALE

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**

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As of Date: 2/07/14

CONKLIN,REGAN,ARMSTRONG  
& RENNACK TTEES  
DR EDWIN A ULRICH CHAR  
TRUST UAD 9/10/92  
P O BOX 174  
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Account Number:

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(845) 876-1667

Payer:  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103  
Payer ID #: 23-2384840

### Reportable Tax Information

**LONG TERM GAINS/LOSSES (NONCOVERED)-BASIS NOT REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX E CHECKED\*\* continued**  
**1099-B Proceeds from Broker and Barter Exchange Transactions for 2013 OMB NO. 1545-0715**

8-Description / CUSIP 1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisiton	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information not reported to the IRS	
					Gain or Loss Amount	Additional Information
GECC 6 00% PINES / 369622451 DUE 4/24/2047 CALL STARTING 4/24/12 01/18/13	400.0000	04/17/07	10,000.00	10,000.00	0.00	REDEMPTION
GECC 6 45% GLOBAL MTN / 369622477 DUE 06/15/2046 CALL STARTING 06/15/2011 01/02/13	300 0000	06/09/06	7,500 00	7,500 00	0.00	REDEMPTION
JP MORGAN CAP XVI 6.35% / 481228203 DUE 6/1/2035 CALLABLE STARTING 6/1/10 05/08/13	500.0000	05/19/05	12,500.00	12,500.00	0.00	REDEMPTION
NEW YORK COMMUNITY / 649445103 BANCORP INC 08/27/13	200.0000	06/23/04	2,954.45	4,078.00	-1,123.55	SALE
WELLS FARGO CAP 7.875% / 94985V202 CAP XII DUE 3/15/68 CALL STARTING 3/15/2013 03/15/13	600.0000	03/05/08	15,000.00	15,000 00	0 00	REDEMPTION
<b>TOTAL LONG TERM GAINS OR LOSSES FOR NONCOVERED SECURITIES</b>			<b>83,703.97</b>	<b>76,125.64</b>	<b>7,578.33</b>	

\*Box 2a Sales price less commissions and option premiums

\*\*For noncovered securities, the following information is not reported to the IRS: COST OR OTHER BASIS (Box 3), DATE OF ACQUISITION (Box 1b), TYPE OF GAIN OR LOSS (Box 1c), WASH SALE LOSS AMOUNT DISALLOWED (Box 5)

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**Combined Inventory and Market Value of Assets**  
**Dr Edwin A. Ulrich Charitable Trust**

*As of: 12/31/2013*

<b>Description</b>	<b>Inventory Value</b>	<b>Market Value</b>
<b>Bank Accounts</b>		
Wells Fargo 6610-4478	13,438 35	13,438 35
Wells Fargo 7003-5345	7,823 04	7,823 04
	Sub Total	\$ 21,261 39
		\$ 21,261 39
<b>Stocks and Funds</b>		
<b>No of Shares</b>		
250 0000 3M	18,308 80	35,062 50
500 0000 AT&T Inc	14,077 72	17,580 00
1,000 0000 Aberdeen Asia Pacific	5,390 00	5,760 00
500 0000 Advent Claymore Inc	9,605 00	9,265 00
300 0000 Altria Group Inc	7,652 79	11,517 00
4,448 9940 American Century HY	27,348 39	27,494 78
1,801 0000 Blackrock Income Trust, Inc	19,612 06	19,791 06
500 0000 Bristol-Myers Squibb	11,140 00	26,575 00
200 0000 Centurytel Inc	7,180 00	6,370 00
400 0000 Chevron Corporation	48,723 50	49,964 00
700 0000 Clearbridge Energy	15,022 00	19,054 00
250 0000 Clough Global Equity	5,792 82	3,927 50
200 0000 Consolidated Edison Inc	9,755 62	11,056 00
600 0000 DNP Select Income Fund	6,588 00	5,652 00
200 0000 Deutsche Bank Cap 6 625%	5,000 00	4,972 00
250 0000 Deutsche Bank 7 6% Non-Cum Preferred	6,250 00	6,490 00

**Combined Inventory and Market Value of Assets**  
**Dr Edwin A. Ulrich Charitable Trust**

*As of: 12/31/2013*

<b>Description</b>	<b>Inventory Value</b>	<b>Market Value</b>
7,394 0820 Doubleline Funds TR	105,840 00	100,328 20
200 0000 Eaton Vance Tax Adv	4,044 00	3,388 00
300 0000 Eli Lilly & Co	13,088 42	15,300 00
200 0000 Emerson Electric Co	9,950 00	14,036 00
700 0000 Exxon Mobil	39,769 77	70,840 00
2,530 3640 First Eagle Funds HY	25,005 00	25,607 28
2,094 2600 First Eagle HY	21,092 33	21,214 85
1,100 0000 First Trust Enhanced Call Fund	13,366 73	14,652 00
1,126 5180 Franklin Custodian	2,378 15	2,714 90
1,100 0000 Frontier Comm	10,498 76	5,115 00
150 0000 General Electric	4,034 00	4,204 50
800 0000 Goldman Sachs Pfds	20,227 54	18,000 00
750 0000 Integrys Energy Group Inc	22,198 50	22,531 50
987 0000 Ishares FTSE Nareit MTG Reits	15,481 68	11,370 24
2,386 6350 Ivy Fds Inc	20,000 00	20,620 52
500 0000 Kayne Anderson Fund	12,995 00	17,205 00
566 0000 Kraft Foods Inc	30,271 00	30,513 06
500 0000 Liberty Property Trust	16,400 00	16,935 00
600 0000 Lloyds Bkg Grp	15,000 00	15,990 00
2,258 3730 Loomis Sayles	35,015 00	36,946 98

Combined Inventory and Market Value of Assets

**Combined Inventory and Market Value of Assets**  
**Dr Edwin A. Ulrich Charitable Trust**

*As of: 12/31/2013*

<b>Description</b>		<b>Inventory Value</b>	<b>Market Value</b>
3,255 2080	Lord Abbett HY	25,000 00	25,390 62
300 0000	McDonalds Corp	25,546 37	29,109 00
300 0000	Merck & Co	11,138 28	15,015 00
600 0000	Metlife 6 5% Pfd	14,724 00	14,940 00
200 0000	Middlesex Water Company	3,692 00	4,188 00
200 0000	New York Community	4,078 00	3,370 00
200 0000	Nextera Energy Cap P	5,438 04	5,094 00
300 0000	Nextera Energy Inc	9,580 50	25,686 00
20,000 0000	Northern AZ Univ Revs	21,649 00	21,330 00
250 0000	Nuveen Equit Premium	2,787 03	3,530 00
200 0000	Occidental Pete Corp	18,032 00	19,020 00
4,533 0920	PIMCO FDS PAC INV	50,000 00	48,458 75
1,000 0000	Pfizer, Inc	19,450 00	30,630 00
1,000 0000	Public Storage 5 9%	24,950 00	21,600 00
500 0000	Public Storage 6 35%	12,550 00	11,675 00
225 0000	Rayonier Inc	4,810 00	9,472 50
292 0000	Realty Income Pfd	7,168 60	7,154 00
1,892 1440	Rivernorth Strategic	20,018 88	20,056 72
250 0000	Royal Dutch Shell PLC	16,839 25	18,777 50
300 0000	Verizon	9,047 00	14,742 00

Combined Inventory and Market Value of Assets

**Combined Inventory and Market Value of Assets**  
**Dr Edwin A. Ulrich Charitable Trust**

*As of: 12/31/2013*

<b>Description</b>		<b>Inventory Value</b>	<b>Market Value</b>
400 0000	Waste Mgmt Inc Del	16,782 98	17,948 00
500 0000	Wells Fargo & Co 8% PFD	7,750 00	13,980 00
	Sub Total	\$ 985,134 51	\$ 1,109,210 96
<b>Corporate Bonds</b>			
<u>Face Amount</u>			
\$25,000 00	CNA Financial 7 25% Notes Due 11/15/2023	25,690 50	29,705 25
\$15,000 00	Coca Cola 8% Bonds Due 9/15/2022	17,553 00	19,323 00
\$15,000 00	GTE 6 84% Bonds Due 4/15/2018	15,340 50	17,363 55
	Sub Total	\$ 58,584 00	\$ 66,391 80
	<b>Grand Total:</b>	<b><u>\$ 1,064,979.90</u></b>	<b><u>\$ 1,196,864.15</u></b>