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Form **990-PF****Return of Private Foundation**

or Section 4947(a)(1) Trust Treated as Private Foundation

OMB No 1545-0052

**2013**Department of the Treasury  
Internal Revenue Service

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Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf)

Open to Public Inspection

For calendar year 2013 or tax year beginning

, 2013, and ending

, 20

Name of foundation <b>WILLIAM AND DIANE HEIN FOUNDATION</b>		<b>A</b> Employer identification number 16-1484562
Number and street (or P O box number if mail is not delivered to street address) 6500 MAIN STREET SUITE 5	Room/suite	<b>B</b> Telephone number (see instructions) 716-633-6500
City or town, state or province, country, and ZIP or foreign postal code WILLIAMSVILLE NY 14221		<b>C</b> If exemption application is pending check here <input type="checkbox"/>
<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>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		
<b>I</b> Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 8,005,756.	<b>J</b> Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> 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 instr.))		(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 (attach schedule)	579,000.			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temp cash investments				
	4 Dividends and interest from securities	272,448.	169,899.		
	5a Gross rents	3,901.			
	b (Net rental income or loss) 3,901.				
	6a Net gain/(loss) from sale of assets not on line 10	(267,259.)			
	b Gross sales price for all assets on line 6a 1,378,733.				
	7 Capital gain net income (from Part IV line 2)				
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less rtns & allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)	208,025.				
12 Total. Add lines 1 through 11	796,115.	169,899.			
Operating and Administrative Expenses	13 Compensation of officers directors trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	15,083.	3,083.		
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	178,427.	8,500.		3,494.
	19 Depreciation (attach sch) and depletion	37,641.			
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	7,626.			7,103.
	24 Total operating and administrative expenses Add lines 13 through 23	238,777.	11,583.		10,597.
	25 Contributions, gifts, grants paid	200,000.			200,000.
26 Total exp & disbursements Add lines 24 and 25	438,777.	11,583.		210,597.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	357,338.				
b Net investment income (if neg enter -0-)		158,316.			
c Adjusted net income (if neg enter -0-)					

For Paperwork Reduction Act Notice, see instructions.

Form 990-PF (2013)

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See inst.)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1 Cash - non-interest-bearing		659,021.	56,607.	56,607.	
	2 Savings and temporary cash investments					
	3 Accounts receivable ▶					
	Less allowance for doubtful accts ▶					
	4 Pledges receivable ▶					
	Less allowance for doubtful accts ▶					
	5 Grants receivable					
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see the 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 govt obligations (attach schedule)	2,000,232.	1,901,136.	2,050,836.		
	b Investments - corporate stock (attach schedule)	286,025.	1,403,731.	1,490,916.		
	c Investments - corporate bonds (attach schedule)	3,067,062.	2,798,179.	2,696,082.		
	Liabilities	11 Investments - land, buildings and equipment basis Less accumulated depreciation (attach schedule) ▶				
12 Investments - mortgage loans		143,585.	139,186.	139,186.		
13 Investments - other (attach schedule)						
14 Land, buildings and equipment basis Less accumulated depreciation (attach schedule) ▶		1,917,495.				
▶ 345,366.		1,357,704.	1,572,129.	1,572,129.		
15 Other assets (describe ▶ INVESTMENT ADJUSTM)		(28.)	(28.)			
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)		7,513,601.	7,870,940.	8,005,756.		
17 Accounts payable and accrued expenses						
18 Grants payable						
19 Deferred revenue						
Net Assets or Fund Balances	20 Loans from officers, directors, trustees, and other disqualified persons					
	21 Mortgages and other notes payable (attach schedule)					
	22 Other liabilities (describe ▶ )					
23 Total liabilities (add lines 17 through 22)						
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24 Unrestricted	7,513,602.	7,870,940.			
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, ck. here ▶ <input type="checkbox"/> and complete lines 27 through 31.					
	27 Capital stock, trust principal, or current funds					
	28 Paid-in or capital surplus, or land, bldg, and equipment fund					
	29 Retained earnings accumulated income endowment or other funds					
30 Total net assets or fund balances (see instructions)	7,513,602.	7,870,940.				
31 Total liabilities and net assets/fund balances (see instructions)	7,513,602.	7,870,940.				

## 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	7,513,602.
2 Enter amount from Part I, line 27a	2	357,338.
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	7,870,940.
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	7,870,940.

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1 a</b> PUBLICLY TRADED SECURITIES			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

  

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</b> 1,378,733.		1,645,991.	(267,258.)
<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			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
<b>a</b>			(267,258.)
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

  

<b>2</b> 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>	<b>2</b>	(267,258.)
<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		<b>3</b>	

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beg. in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	210,434.	6,332,844.	0.0332
2011	357,928.	5,723,085.	0.0625
2010	205,975.	5,017,419.	0.0411
2009	151,500.	4,040,353.	0.0375
2008	102,500.	3,509,895.	0.0292

  

<b>2</b> Total of line 1, column (d)	<b>2</b>	0.2035
<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>	0.0407
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	<b>4</b>	6,320,751.
<b>5</b> Multiply line 4 by line 3	<b>5</b>	257,255.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	1,583.
<b>7</b> Add lines 5 and 6	<b>7</b>	258,838.
<b>8</b> Enter qualifying distributions from Part XII, line 4 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	<b>8</b>	210,597.

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

<b>1a</b> 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 instr)		
<b>b</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	<b>1</b>	3,166.
<b>c</b> All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
<b>2</b> Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	<b>2</b>	0
<b>3</b> Add lines 1 and 2	<b>3</b>	3,166.
<b>4</b> Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	<b>4</b>	0
<b>5</b> Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-	<b>5</b>	3,166.
<b>6</b> Credits/Payments		
<b>a</b> 2013 estimated tax payments and 2012 overpayment credited to 2013	<b>6a</b>	4,935.
<b>b</b> Exempt foreign organizations - tax withheld at source	<b>6b</b>	
<b>c</b> Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>	
<b>d</b> Backup withholding erroneously withheld	<b>6d</b>	
<b>7</b> Total credits and payments Add lines 6a through 6d	<b>7</b>	4,935.
<b>8</b> Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	<b>8</b>	
<b>9</b> Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	<b>9</b>	
<b>10</b> Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	<b>10</b>	1,769.
<b>11</b> Enter the amount of line 10 to be Credited to 2014 estimated tax <input type="checkbox"/> 1,769. Refunded <input type="checkbox"/>	<b>11</b>	

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> 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>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? If the answer is "Yes" to <b>1a</b> or <b>1b</b> , attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
<b>c</b> Did the foundation file Form 1120-POL for this year?		X
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____		
<b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
<b>3</b> Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
<b>b</b> If "Yes," has it filed a tax return on Form 990-T for this year?	X	
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
<b>6</b> 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	
<b>7</b> Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
<b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> NY		
<b>b</b> If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
<b>9</b> 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)? If "Yes," complete Part XIV		X
<b>10</b> Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

**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 ▶	13	X	
14	The books are in care of ▶ WILLIAM S HEIN Telephone no ▶ 716-633-6500 Located at ▶ 6500 MAIN STREET NY WILLIAMSVILLE ZIP+4 ▶ 14221-5854			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ▶ 15			
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? See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ▶	16	Yes	No 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
1a	During the year did the foundation (either directly or indirectly)		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see the instructions)? Organizations relying on a current notice regarding disaster assistance check here ▶ <input type="checkbox"/>	1b	
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 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 __		
b	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 the instructions )	2b	
c	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	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 )	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (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 the instructions)?**5b**

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?☐ Yes ☐ No

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

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?**6b**

If "Yes" to 6b, file Form 8870

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?**7b****Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1** List all officers, directors, trustees, foundation managers and their compensation (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 comp	(e) Expense account, other allowances
WILLIAM S HEIN	DIRECTOR			
6500 MAIN STREET	3	0		
DIANE HEIN	DIRECTOR			
6500 MAIN STREET	1	0		
WILLIAM C MORAN	DIRECTOR			
6500 MAIN STREET	1	0		
JAMEY MORAN	DIRECTOR			
6500 MAIN STREET	1	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 ▶





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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	6,112,049.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	304,957.
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	6,417,006.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	6,417,006.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	96,255.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	6,320,751.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	316,038.

**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.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	316,038.
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	3,166.
<b>b</b>	Income tax for 2013 (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	3,166.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	312,872.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	4,399.
<b>5</b>	Add lines 3 and 4	<b>5</b>	317,271.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	317,271.

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc.-total from Part I, column (d), line 26	<b>1a</b>	210,597.
<b>b</b>	Program-related investments-total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	210,597.
<b>5</b>	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)	<b>5</b>	
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	210,597.

**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				317,271.
<b>2</b> Undistributed income, if any, as of the end of 2013				
<b>a</b> Enter amount for 2012 only			106,809.	
<b>b</b> Total for prior yrs 20____, 20____, 20____				
<b>3</b> Excess distnbs carryover, if any, to 2013				
<b>a</b> From 2008				
<b>b</b> From 2009				
<b>c</b> From 2010				
<b>d</b> From 2011				
<b>e</b> From 2012				
<b>f</b> Total of lines 3a through e				
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 210,597.			106,809.	
<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)				
<b>d</b> Applied to 2013 distributable amount				103,788.
<b>e</b> Remaining amt distributed out of corpus				
<b>5</b> Excess distnbs carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in col (a) )				
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, & 4e Subtract line 5				
<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				213,483.
<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 2007 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				
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2009				
<b>b</b> Excess from 2010				
<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)

**1a** 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

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

4942(1)(3) or

4942(1)(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

**b** 85% of line 2a

**c** Qualifying distributions from Part XII,  
line 4 for each year listed

**d** Amounts included in line 2c not used directly for active conduct of exempt activities

**e** Qualifying distributions made directly for active conduct of exempt activities  
Subtract line 2d from line 2c

**3** Complete 3a, b, or c for the alternative test relied upon

a "Assets" alternative test - enter

**(1) Value of all assets**

(2) Value of assets qualifying

under section 4942(l)(3)(B)(i)

**b** "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed

c "Support" alternative test - enter

**(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(f)(3)(B)(iii)

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

**(4) Gross investment income**

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

## 1 Information Regarding Foundation Managers:

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

WILLIAM S. HEIN

**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 or e-mail address of the person to whom applications should be addressed

WILLIAM S HEIN 716-882-2600 2350 N FOREST R GETZVILLE NY 14068

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

WRITTEN GRANT REQUESTS ONLY

c Any submission deadlines

OCTOBER 15TH

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

NONE

**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</b> Paid during the year				
<b>Total</b>			<b>3a</b>	
<b>b</b> Approved for future payment				
<b>Total</b>			<b>3b</b>	

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 )
	(a) Business code	(b) Amount	(c) Excl 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	511130	84.	14	169,899.		102,465.
5 Net rental income or (loss) from real estate						
a Debt-financed property						
b Not debt-financed property			16	3,901.		
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory						
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue a S CORP NET RE	511130	2,089.				
b S CORP NET						
c BUSINESS INCOME	511130	205,936.				
d FROM W S HEIN						
e & CO INC						
12 Subtotal Add columns (b), (d), and (e)		208,109.		173,800.		102,465.
13 Total. Add line 12, columns (b), (d), and (e)					13	484,374.

(See worksheet in line 13 instructions to verify calculations )

<b>Line No.</b> ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions )
----------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

[illegible]



## Schedule of Contributors

OMB No 1545-0047

**2013**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

**Name of the organization**

WILLIAM AND DIANE HEIN FOUNDATION

**Employer identification number**

16-1484562

**Organization type** (check one)

**Filers of:**

**Section:**

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use exclusively for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use exclusively for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an exclusively religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization WILLIAM AND DIANE HEIN FOUNDATION	Employer identification number 16-1484562
-----------------------------------------------------------	----------------------------------------------

**Part I** Contributors (see instructions). Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	WILLIAM S HEIN 2350 N FOREST ROAD WILLIAMSVILLE NY 14221-	\$ 550,000.	Person <input checked="checked" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
2	2012 HEIN FOUNDATION TRUST 2350 N FOREST ROAD WILLIAMSVILLE NY 14221-	\$ 29,000.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
			Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)



**William and Diane Hein Foundation**  
**EIN 16-1484562**  
**Form 990-PF**  
**2013**

**Amount**

**Page 1, Part I, Line 16a, Column A**  
**Legal Fees**

Total Legal, Accounting and Tax Preparation Fees Paid  
by Taxpayer to William C Moran & Associates, P C

15,083 21

12,000 00

**Form 990-PF, Page 1, Line 16a, Column B - Legal Fees**  
**Allocated to Net Investment Income**

**3,083.21**

William and Diane Hein Foundation  
EIN 16-1484562  
Form 990-PF  
2013  
Schedule B

**Part I, line 1**

**Contributions**

Contributor	Amount	Description
William S Hein	\$ 550,000 00	cash
2012 Hein Foundation Trust	\$ 29,000 00	cash
<b>TOTAL</b>	<u>\$579,000.00</u>	

## 2013

**ID:** 16-1484562

[illegible]





US 990		Legal Fees		2013	
Description	Expenses per books	Net investment income	Adjusted net income	Charitable purposes	
WILLIAM C. MORAN & ASSOC PC (INCLUDES ACCOUNTING AND RETURN PREPARATION)	15,083.	3,083.			
	15,083.	3,083.			

US 990				
Taxes				
2013				
Description	Expenses per books	Net investment income	Adjusted net income	Charitable purposes
SEE SCHEDULE	178,427.	8,500.		3,494.
	178,427.	8,500.		3,494.

William and Diane Hein Foundation  
EIN 16-1484562  
Form 990-PF  
2013

Page 1, Part I, Line 18 - Taxes - Cash Basis

Description	Amount	Subtotals
<b>Form 990-PF</b>		
Estimated Tax Payments during Current Year	\$1,500 00	
Application of Prior Year Refund to Current Year Taxes		
Balance Due from Prior Year	<u>\$7,000 00</u>	\$8,500 00
<b>Form 990-T</b>		
Estimated Tax Payments during Current Year	\$26,000 00	
Application of Prior Year Refund to Current Year Taxes		
Balance Due from Prior Year	<u>\$85,023 00</u>	\$111,023 00
<b>New York Form CT-13</b>		
Estimated Tax Payments during Current Year	\$0 00	
Balance Due from Prior Year	<u>\$55,410 00</u>	
Refund of Prior Year Taxes	<u>\$0 00</u>	\$55,410 00
<b>Real Property Taxes on Exempt-Use Properties - To Pg 1, Part I, Line 18, Column D</b>		
Amherst, and Wlmsvl, NY Properties	\$1,208 67	
Ellicottville Property	<u>\$2,285 12</u>	
		<u>\$3,493 79</u>
<b>Total - To Page 1, Part I, Line 18</b>		<u><b>\$178,426 79</b></u>



## US 990-T/PF

## Estimated Tax Payments

2013

Name: WILLIAM AND DIANE HEIN FOUNDATION

EIN: 16-1484562

## Federal Estimated Tax Payments

	990-PF		990-T		
	Payment Due Date	Amount of Payment	State Payments	Payment Due Date	Amount of Payment
Credited last year		3,435.	Credited last year		
1	05/15/2013		1	04/15/2013	6,500.
2	06/15/2013	1,500.	2	06/15/2013	6,500.
3	09/15/2013		3	09/15/2013	6,500.
4	12/15/2013		4	12/15/2013	6,500.
Totals		4,935.	Totals		26,000.

## State Estimated Tax Payments

State	Credited from last year	Amount 1 04/15/2013	Amount 2 06/15/2013	Amount 3 09/15/2013	Amount 4 12/15/2013
NY					

## Detail Sheet

2013

**Name:** WILLIAM AND DIANE HEIN FOUNDATION

ID: 16-1484562

**Description:** FORM 990-PF - DEPRECIATION

[illegible]

# PF Pg 01 Ln 19 Deprec Exp - Last year

1/1/2013 through 12/31/2013

7/7/2014

Page 1

Date	Account	Num	Description	Memo	Tag	Clr	Amount
<b>EXPENSES</b>							<b>-37,640.84</b>
Depreciation							-37,640.84
Depreciation Exp - 36 Northampton							-2,255.10
Depreciation Exp - 5830 Main St							-20,327.43
Depreciation Exp - Ellicottville							-5,058.31
Depreciation Exp - N. Ellicott Creek Rd							-10,000.00
<b>OVERALL TOTAL</b>							<b>-37,640.84</b>

US 990		Other Expenses			2013
Description	Expenses per books	Net investment income	Adjusted net income	Charitable purposes	
BANK CHARGE	2.				
MISC	521.				
MAINTENANCE EXP FOR EXEMPT USE					
PROPERTY - ELLICOTTVILLE, NY	7,103.			7,103.	
	7,626.			7,103.	



**William and Diane Hein Foundation**

**EIN 16-1484562**

**Form 990-PF**

**2013**

**Page 2, Part II, Line 10 - Investments - End of Year**

Description	Book Value	Fair Market Value	Date Acquired
<b>Line 10a - U.S. Government Obligations</b>			
Fed Natl Mtg Assn Deb 6 25% 5/15/2029	\$154,934 74	\$188,046 00	1/31/2002
Federal Farm Cr Bks Cons Systemwide BDS 4 75% 01/16/29	\$105,186 48	\$106,876 62	6/2/2010
Federal Farm Cr Bks Cons Systemwide BDS 4 75% 01/16/29	\$101,564 26	\$102,685 38	6/2/2010
US Treasury BDS 4 750%	\$560,097 66	\$632,846 50	3/21/2011
<b>Total U.S. Government Obligations</b>	<b>\$921,783.14</b>	<b>\$1,030,454.50</b>	
<b>Line 10a - State and Local Obligations</b>			
Camden, NY Central School District 4 0% 3/15/23	\$250,111 11	\$259,485 00	3/10/2009
Nassau Cnty NY Taxable-Ser I-Build Amer 6 15% 10/01/30	\$127,100 00	\$130,442 50	12/7/2009
New York Dorm Auth Revs NonSt 5 0% 10/01/24	\$100,000 00	\$107,621 00	3/13/2009
New York NY City Hsg Dev Corp Multifamily 4 25% 11/01/24	\$151,833 33	\$155,263 50	9/30/2009
New York St Ser A 5 0% 2/15/34	\$150,225 00	\$161,106 00	3/13/2009
Port Jervis, NY Var Purp 4 3% 9/15/24	\$50,011 94	\$49,785 00	9/10/2009
Rensselaer NY Pub 5 125% 4/1/2037	\$50,072 00	\$52,511 50	3/23/2011
Rush Henretta NY Cent Sch Dist 4 5% 06/15/26	\$100,000 00	\$104,166 00	1/26/2009
<b>Total State and Local Obligations</b>	<b>\$979,353.38</b>	<b>\$1,020,380.50</b>	
<b>Total - Line 10a</b>	<b><u>\$1,901,136.52</u></b>	<b><u>\$2,050,835.00</u></b>	
<b>Line 10b - Corporate Stock</b>			
William S Hein & Co, Inc - 147 Shares	\$128,648 22	\$415,128 00	Various
M&T Bk Corp Cum Perpetual Pfd Ser C 5% Call 11/15/18q	\$100,083 00	\$91,485 00	8/20/2012
OppenheimerFunds - Rochester AMT-Free New York Municipal Fund A - 94,462 833 Shares	\$1,175,000 00	\$984,302 72	Various 2013
<b>Total - Line 10b</b>	<b><u>\$1,403,731.22</u></b>	<b><u>\$1,490,915.72</u></b>	
<b>Line 10c - Corporate Bonds</b>			
<b>Long-Term Corporate Bonds</b>			
AT&T Inc Fixed Rt Nt 5 55% 8/15/41 B/E	\$151,216 50	\$152,229 00	12/5/2013
Barclays Bank PLC Notes 5 125% 01/08/20	\$200,000 00	\$221,766 00	3/25/2010
Berkshire Hathaway Fin Corp Gld Sr NT 4 4% 5/15/42	\$303,915 00	\$274,344 00	2/22/2013
Berkshire Hathaway Inc Del Fixed Rate 4 5% 2/11/43	\$196,680 00	\$184,890 00	6/19/2013
Coca Cola Enterprises Inc Deb 6 75% 9/15/2023	\$100,000 00	\$117,041 00	5/9/2001
Disney Walt Co New Medium Term Notes 4 125% 12/01/41	\$248,812 50	\$226,872 50	3/20/2012
Gen Elec Cap Corp Internotes 3 55% 01/15/33	\$100,000 00	\$90,866 00	1/7/2013
Gen Elec Cap Corp Internotes 3 8% 02/15/33	\$50,000 00	\$45,874 50	2/11/2013
Goldman Sachs Group Inc Medium Term Nts 4 65% 12/15/19	\$125,000 00	\$130,363 75	12/7/2009
Goldman Sachs Group Inc Medium Term Nts 5% 8/15/33	\$125,000 00	\$119,326 25	8/26/2013
Goldman Sachs Group Inc Medium Term Nts 4 75% 10/15/33	\$150,000 00	\$143,574 00	9/30/2013
Goldman Sachs Group Inc Medium Term Nts 4 65% 6/15/42	\$100,000 00	\$91,355 00	6/24/2013

Hewlett Packard Co Global NT 4 050% 9/15/22	\$154,341 00	\$147,447 00	9/21/2012
JP Morgan Chase & Co Fixed Rt Nt 4 950% 03/25/20	\$200,000 00	\$221,806 00	3/25/2010
Lloyds TSB Bk PLC Medium Term Bk Nts 5 0% 04/12/27	\$50,000 00	\$49,883 50	4/5/2012
Pepsico Inc Sr Nt 4 0% 03/05/42 B/E	\$242,622 50	\$217,707 50	3/22/2012
Pepsico Inc Sr Nt 4 0% 03/05/42 B/E	\$149,800 50	\$130,624 50	5/20/2013
Target Corp NT 4 0% 07/01/42 B/E	\$150,790 50	\$130,111 50	6/29/2012

**Total Long-Term Corporate Bonds**

**\$2,798,178.50      \$2,696,082.00**

**Total - Line 10c**

**\$2,798,178.50      \$2,696,082.00**

William and Diane Hein Foundation  
EIN 16-1484562  
Form 990-PF  
2013

Land, Buildings and Equipment  
Page 2, Part II, Line 14

Description	Cost or Basis	Accumulated Depreciation	Book Value	Fair Market Value
Building - 327 N Ellicott Creek Road Amherst, New York	\$650,000 00	\$170,000 00	\$480,000 00	\$480,000 00
Building - 5830 Main Street Williamsville, New York	\$813,097 07	\$152,455 72	\$660,641 35	\$660,641 35
Unit 421 II Ellicottville, New York Real Property	\$202,332 48	\$20,654 77	\$181,677 71	\$181,677 71
Building - 36 Northampton Street Buffalo, New York	\$252,065 22	\$2,255 10	\$252,065 22	\$252,065 22

Above Buildings (other than the Ellicottville, NY property) Are Provided Without Rent Charge to Exempt Organizations

The Ellicottville, NY Property is used primarily for charitable purposes (Taxpayer derives minimal rent income from third-party rental of the premises which is reported on Page 1, Line 5a)

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<b>Totals</b>	<b>\$1,917,494.77</b>	<b>\$345,365.59</b>	<b>\$1,574,384.28</b>	<b>\$1,574,384.28</b>
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# **List of Officers, Directors, Trustees, and Key Employees**

**US 990-PF**

**990PF: Page 6, Part VIII**

**2013**

<b>A</b> <b>Name and address</b> (For address, enter Street, Zip code State, and City in that order)	<b>B</b> <b>Title and avg hours</b> <b>per week</b> <b>devoted to position</b>	<b>C</b> <b>Compensation</b>	<b>D</b> <b>Contributions to</b> <b>employee benefit plans</b> <b>and deferred</b> <b>compensation</b>	<b>E</b> <b>Expense account</b> <b>&amp; other allowances</b>
WILLIAM S HEIN 6500 MAIN ST STE 5 WILLIAMSVILLE NY 14221	DIRECTOR 3	0		
DIANE HEIN 6500 MAIN ST STE 5 WILLIAMSVILLE NY 14221	DIRECTOR 1	0		
WILLIAM C MORAN 6500 MAIN ST STE 5 WILLIAMSVILLE NY 14221	DIRECTOR 1	0		
JAMEY MORAN 6500 MAIN ST STE 5 WILLIAMSVILLE NY 14221	DIRECTOR 1	0		
	DIRECTOR			

William and Diane Hein Foundation  
EIN 16-1484562  
Form 990-PF  
2013

Page 8, Part X, Line 1

**Schedule of Monthly Balances of  
Investment Income and Cash**

	<b>Securities</b>	<b>Checking Account and Petty Cash</b>
January	\$6,235,442 01	\$147,180 13
February	\$6,264,911 81	\$350,796 56
March	\$6,250,215 43	\$378,821 67
April	\$5,953,642 71	\$1,083,558 13
May	\$6,394,065 96	\$299,238 52
June	\$6,140,931 48	\$336,208 70
July	\$6,093,893 80	\$355,184.06
August	\$5,999,796 26	\$101,164 64
September	\$6,034,292 47	\$146,128 83
October	\$6,055,219 09	\$188,924 72
November	\$5,970,824 05	\$211,285 79
December	\$5,951,358 34	<u>\$56,208 38</u>
Total	\$73,344,593 42	\$3,654,700 13
Monthly Average	<u>\$6,112,049 45</u>	<u>\$304,558 34</u>
Add Average Balance of Petty Cash For Each Month		<u>\$399 00</u>
Monthly Average - To Form 990-PF, Page 8, Part X	<u>\$6,112,049.45</u>	<u>\$304,957.34</u>

**William and Diane Hein Foundation**  
**EIN 16-1484562**

**Form 990-PF, Pg 8, Part XI, Line 4**  
**2013**

**CCA Mortgage Principal Received fr**  
**Christian Central Academy (CCA)**

**(Recovery of Amounts Treated as**  
**Qualifying Distributions)**

Mortgage Balance - End of Prior Reporting Period	\$143,584 96
-----------------------------------------------------	--------------

Mortgage Balance - End of This Reporting Period	\$139,185 79
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Difference is Reported on 990PF, Pg 8, Part XI, Line 4 (Recoveries of amounts treated as qualifying distributions)	<u><b>\$4,399.17</b></u>
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**William and Diane Hein Foundation**  
**EIN 16-1484562**  
**Form 990-PF**  
**2013**

**Page 11, Part XV, Line 3a**

**Grants and Contributions**

<b>Donee Name</b>	<b>Address</b>	<b>Status</b>	<b>Purpose</b>	<b>Amount</b>
Athletes in Action	54 Crownview Terrace, Hamburg, NY 14075	Public	Charitable	\$4,000 00
Billy Graham Training Center	1 Billy Graham Parkway Charlotte, NC 28201-0001	Public	Charitable	\$1,000 00
Buffalo City Mission	PO Box 496 Buffalo, NY 14205	Public	Charitable	\$3,000 00
Buffalo Dream Center	Attn Pastor Eric Johns PO Box 394 Buffalo, NY 14201-0934	Public	Charitable	\$3,000 00
CBN Disaster Relief	977 Centerville Turnpike Virginia Beach, VA 23463	Public	Charitable	\$3,000 00
Christian Central Academy	39 Academy Williamsville, NY 14221	Public	Educational & Religious	\$3,500 00
Christian Counseling Ministries	9070 Main Street, Clarence, NY 14031	Public	Religious	\$6,000 00
Circle "C" Ranch (Living Waters Ministries, Inc )	10451 Ashcraft Road Delevan, NY 14042-9664	Public	Charitable	\$40,000 00
Compassion International	PO Box 6500 Colorado Springs, CO 80962- 9951	Public	Charitable	\$3,000 00
Cornerstone	150 East North Street Buffalo, NY 1423	Public	Charitable	\$2,000 00
Cross Training Football	PO Box 64 Tonawanda, NY 14150	Public	Charitable	\$8,000 00
EduNations	PO Box 119 Kenmore, NY 14217	Public	Educational	\$3,000 00
Engineering Ministries International	130 E Kiowa St #200 Colorado Springs, CO 80903	Public	Charitable	\$5,000 00
Faith to the Nations	PO Box 3817 Broken Arrow, OK 74013	Public	Religious	\$2,000 00
Fellowship of Christian Athletes	2905 Staley Road Grand Island, NY 14072	Public	Charitable	\$2,500 00
Gliding Stars	PO Box 1862 Amherst, NY 14226	Public	Charitable	\$2,500 00
Good Neighbors Health Center (Harvest House of South Buffalo, Inc )	1782 Seneca Street Buffalo, NY 14210-1895	Public	Charitable	\$5,000 00
Hearts for the Homeless	P O Box 437 Buffalo, NY 14223	Public	Charitable	\$3,000 00
Hospice Foundation	225 Como Park Blvd, Cheektowaga, NY 14227	Public	Charitable	\$1,000 00
Houghton College	One Willard Avenue Houghton, NY 14744	Public	Educational	\$7,500 00
Hunters Hope Foundation, Inc	3859 N Buffalo St P O Box 643 Orchard Park, NY 14127	Public	Charitable	\$3,000 00
I Oppose	610 Ashland Avenue Buffalo, NY 14222	Public	Charitable	\$2,000 00

Ilio DiPaolo Scholarship Fund, Inc	3785 S Park Avenue Blasdell, NY 14219	Public	Charitable	\$3,000 00
Imagine Community Gardens	7071 Transit Rd East Amherst, NY 14051	Public	Charitable	\$4,000 00
In Faith	672 Conestoga Rd PO Box 370 Villanova, PA 19085	Public	Religious	\$3,500 00
International Friendships, Inc	P O Box 82416 Columbus, OH 43202	Public	Charitable	\$4,000 00
Jericho Road Ministries	184 Barton Street Buffalo, NY 14213	Public	Charitable	\$6,500 00
Kingdom Bound Ministries	8550 Sheridan Dr Williamsville, NY 14221	Public	Religious	\$5,000 00
Life Without Limits	PO Box 2430 Agoura Hills, CA 91376	Public	Charitable	\$7,000 00
NCCC Wrestling	3111 Saunders Settlement Road Sanborn, NY 14132	Public	Charitable & Educational	\$3,000 00
Operation Serve International	PO Box 18070 Fairfield, OH 45018-0070	Public	Charitable	\$3,000 00
Prince of Peace Christian Church	P O Box 932 Buffalo, NY 14205	Public	Religious	\$7,000 00
Score International	P O Box 9994 Chattanooga, TN 37412	Public	Charitable	\$2,000 00
Seven Mile Road Church	Attn 84 Green Street Project 238 Highland Avenue Malden, MA 02148	Public	Charitable	\$9,000 00
Sonrays Ministries	327 N Ellicott Creek Rd Amherst, NY 14228	Public	Religious	\$5,000 00
South Niagara Life Center	143 Gilmore Road Ft Erie, Ontario, Canada	Public	Charitable	\$5,000 00
Super Six Wrestling	University at Buffalo 66 Alumni Arena Buffalo, NY 14260	Public	Charitable	\$2,000 00
The Chapel	500 Crosspointe Parkway Getzville, NY 14068	Public	Religious	\$10,000 00
University at Buffalo Wrestling	University at Buffalo 66 Alumni Arena Buffalo, NY 14260	Public	Charitable	\$3,000 00
Wycliffe Bible Translators	PO Box 628211 Orlando, FL 32862-8211	Public	Charitable	\$5,000 00
<b>Total</b>				<b><u>\$200,000.00</u></b>

William and Diane Hein Foundation  
EIN 16-1484562  
Form 990-PF  
2013

**Page 12, Part XVI-A, Line 5b - Net Rental  
Income from Real Estate - Not Debt-  
Financed**

From Ellicottville, NY Rental Units  
(Excluded from Net Investment Income via  
Code 16)

**\$3,900.84**

**Total Gross Rental Income**

**\$3,900.84**

Deductions

Property Tax	\$2,285 12
Maintenance Fee	\$7,103 31

Total Expenses

**\$9,388.43**

**Net Rent Income - to Page 12, Line 5b,  
Columns A and D**

**-\$5,487.59**

NOTE such property is used primarily for functions  
related to the organization's tax-exempt purposes  
Therefore, the above expenses are reported on  
Column D of Page 1, Part I, on Lines 18 and 23,  
respectively

## Other Revenue

US 990

990-PF: Page 12, Line 11

2013

Description	Unrelated Business Income		Excluded by Section 512, 513, or 514		E Related or Exempt Function Income
	A Business Code	B Amount	C Exclusion Code	D Amount	
S CORP NET RENT	511130	2,089.			
S CORP NET BUSINESS INCOME	511130	205,936.			
FROM W S HEIN & CO INC		208,025.			

**US 990PF****Substantial Contributors****2013**

Name	Address (Enter street, zip code, state, and city, in that order)
TWO THOUSAND TWELVE HEIN FOUNDATION TRUST	6500 MAIN ST STE 5    14221-    NY WILLIAMSVILLE



Form **8868**

(Rev. January 2014)

Department of the Treasury  
Internal Revenue Service**Application for Extension of Time To File an  
Exempt Organization Return**

▶ File a separate application for each return.

▶ Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).

OMB No 1545-1709

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
  - If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)
- Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868
- Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on e-file for Charities & Nonprofits

**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed)A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Enter filer's identifying number, see instructions

Type or print  File by the due date for filing your return. See instructions	Name of exempt organization or other filer, see instructions <b>WILLIAM AND DIANE HEIN FOUNDATION</b>	Employer identification number (EIN) or <b>16-1484562</b>
	Number, street, and room or suite no. If a P.O. box, see instructions <b>6500 MAIN STREET SUITE 5</b>	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions <b>WILLIAMSVILLE NY 14221</b>	

Enter the Return code for the return that this application is for (file a separate application for each return)

☐ 04

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ▶ WILLIAM S HEIN  
Telephone No ▶ 716-633-6500 Fax No ▶ \_\_\_\_\_
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until AUG 15, 20 14, to file the exempt organization return for the organization named above. The extension is for the organization's return for

▶ ☒ calendar year 2013 or

▶ ☐ tax year beginning \_\_\_\_\_, 20 \_\_\_\_\_, and ending \_\_\_\_\_, 20 \_\_\_\_\_

2 If the tax year entered in line 1 is for less than 12 months, check reason ☐ Initial return ☐ Final return

☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	3a	\$ <u>3000.<sup>00</sup></u>
b If this application is for Form 990-PF or 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit	3b	\$ <u>4,935.</u>
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	3c	\$ <u>0</u>

**Caution.** If you are going to make an electronic fund withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

For Privacy Act and Paperwork Reduction Act Notice, see Instructions.

Form **8868** (Rev. 1-2014)