Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter Social Security numbers on this form as it may be made public.

▶ Information about Form 990-PF and its separate instructions is at *www.irs.gov/form990pf.*

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , 2013, and ending , 20

Name of foundation THE CHARLES ENGELHARD FOUNDATION
C/O ENGELHARD HANOVIA

A Employer identification number 22-6063032

Number and street (or P O box number if mail is not delivered to street address) OLYMPIC TOWERS 645 FIFTH AVENUE

Room/suite 902

B Telephone number (see instructions) (212) 935-2430

City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10022

C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 98,985,891.

J Accounting method ☒ Cash ☐ Accrual
☐ Other (specify)
(Part I, column (d) must be on cash basis)

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))*

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue 1	Contributions, gifts, grants, etc , received (attach schedule)				
2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
3	Interest on savings and temporary cash investments	500,971.	1,075,800.		ATCH 1
4	Dividends and interest from securities	357,296.	663,123.		ATCH 2
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	-55,348.			
b	Gross sales price for all assets on line 6a 3,200,608.				
7	Capital gain net income (from Part IV, line 2)		6,621,405.		
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) ATCH 3		8,754.		
12	**Total.** Add lines 1 through 11	802,919.	8,369,082.		
Operating and Administrative Expenses 13	Compensation of officers, directors, trustees, etc	220,722.	110,361.		110,361.
14	Other employee salaries and wages				
15	Pension plans, employee benefits	43,260.	21,630.		21,630.
16a	Legal fees (attach schedule) ATCH 4	25,799.	12,900.		12,900.
b	Accounting fees (attach schedule) ATCH 5	85,500.	34,500.		51,000.
c	Other professional fees (attach schedule) *	84,054	295,041.		42,027.
17	Interest				
18	Taxes (attach schedule) (see instructions) ATCH 7	81,594.	10,094.		
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (attach schedule) ATCH 8	178,493.	143,796.		89,247.
24	**Total operating and administrative expenses.** Add lines 13 through 23	719,422.	628,322.		327,165.
25	Contributions, gifts, grants paid	10,103,874.			9,900,375.
26	**Total expenses and disbursements** Add lines 24 and 25	10,823,296.	628,322.	0	10,227,540.
27	Subtract line 26 from line 12				
a	**Excess of revenue over expenses and disbursements**	-10,020,377.			
b	**Net investment income** (if negative, enter -0-)		7,740,760.		
c	**Adjusted net income** (if negative, enter -0-)				

RECEIVED
NOV 1 0 2014
OGDEN, UT
IRS-OSC

SCANNED NOV 20 2014

JSA **For Paperwork Reduction Act Notice, see instructions.** *ATCH 6 Form **990-PF** (2013)

3E1410 1 000

GH

1

		Part II **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash - non-interest-bearing	2,486,240.	306,125.	306,125.
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶ Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶ Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (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			
	10 a	Investments - U S and state government obligations (attach schedule) **	1,500,400.	1,483,918	1,483,918.
	b	Investments - corporate stock (attach schedule) ATCH 10	5,210,032.	6,281,060.	6,281,060.
	c	Investments - corporate bonds (attach schedule) ATCH 11	21,523,986.	23,800,699.	23,800,699.
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule) ATCH 12	57,008,070.	63,018,136.	63,018,136.
	14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶ ATCH 13)	3,258,029.	4,095,953.	4,095,953.
	16	**Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	90,986,757.	98,985,891.	98,985,891.
Liabilities	17	Accounts payable and accrued expenses	88,310.	152,283.	
	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 ▶ ATCH 14)	4,967,167.	5,170,666.	
	23	**Total liabilities** (add lines 17 through 22)	5,055,477.	5,322,949.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☒ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted	85,931,280.	93,662,942	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, ▶ ☐ **check here 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)	85,931,280.	93,662,942.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	90,986,757.	98,985,891.	

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	85,931,280.
2	Enter amount from Part I, line 27a	2	-10,020,377.
3	Other increases not included in line 2 (itemize) ▶ ATCH 15	3	17,917,170.
4	Add lines 1, 2, and 3	4	93,828,073.
5	Decreases not included in line 2 (itemize) ▶ ATCH 16	5	165,131.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	93,662,942.

**ATCH 9

Form **990-PF** (2013)

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)
1a	SEE PART IV SCHEDULE			
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e				

	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	
a				
b				
c				
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } 2 6,621,405.

3 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 0

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	10,313,546.	89,540,086.	0.115184
2011	9,112,248.	92,222,327.	0.098807
2010	10,164,620.	87,550,241.	0.116100
2009	10,427,898.	80,327,052.	0.129818
2008	12,244,872.	121,454,107.	0.100819

2	Total of line 1, column (d)	2	0.560728
3	Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.112146
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	93,211,962.
5	Multiply line 4 by line 3	5	10,453,349.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	77,408.
7	Add lines 5 and 6	7	10,530,757.
8	Enter qualifying distributions from Part XII, line 4	8	10,227,540.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ______________ (attach copy of letter if necessary - see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	154,815.
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	154,815.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	0
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	154,815.
6	Credits/Payments				
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	168,962.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c	30,000.		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	198,962.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	44,147.
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 44,147. **Refunded** ▶			11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	*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*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ ______ (2) On foundation managers ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	N/A	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NJ, NY,			
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*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		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?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ MARY OGORZALY Telephone no ▶ 212-935-2430

Located at ▶ 645 5TH AVENUE NEW YORK, NY ZIP+4 ▶ 10022

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

		Yes	No
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		X
See the 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? ☐ Yes ☒ No			
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ 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)? ☐ Yes ☒ 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) ☐ Yes ☒ No			
b If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b	N/A	
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
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? ☐ Yes ☒ No			
If "Yes," list the years ▶			
b Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions)	2b	N/A	
c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶			
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ 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	N/A	
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 instructions)? . . . . **5b** N/A

Organizations relying on a current notice regarding disaster assistance check here . . . . ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? . . . . ☐ 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** No: X

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 compensation	(e) Expense account, other allowances
ATCH 17		220,722	43,259.	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 . . . . ▶

Form **990-PF** (2013)

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
ATCH 18		397,258.
Total number of others receiving over $50,000 for professional services . . . . ▶		

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions 3 NONE	
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	94,511,903.
b	Average of monthly cash balances			1b	119,530.
c	Fair market value of all other assets (see instructions)			1c	
d	**Total** (add lines 1a, b, and c)			1d	94,631,433.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e			
2	Acquisition indebtedness applicable to line 1 assets			2	
3	Subtract line 2 from line 1d			3	94,631,433.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions)			4	1,419,471.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4			5	93,211,962.
6	**Minimum investment return.** Enter 5% of line 5			6	4,660,598.

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	4,660,598
2a	Tax on investment income for 2013 from Part VI, line 5	2a	154,815.		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	154,815.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	4,505,783.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	4,505,783.
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	4,505,783.

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	10,227,540.
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		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	10,227,540.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	0
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	10,227,540.

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
1 Distributable amount for 2013 from Part XI, line 7					4,505,783.
2 Undistributed income, if any, as of the end of 2013					
a Enter amount for 2012 only					
b Total for prior years 20 11 ,20 10 ,20 09					
3 Excess distributions carryover, if any, to 2013					
a From 2008	6,176,328.				
b From 2009	6,465,131.				
c From 2010	5,996,434.				
d From 2011	4,648,353.				
e From 2012	6,014,336.				
f **Total** of lines 3a through e		29,300,582.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 10,227,540.					
a Applied to 2012, but not more than line 2a					
b Applied to undistributed income of prior years (Election required - see instructions)					
c Treated as distributions out of corpus (Election required - see instructions)					
d Applied to 2013 distributable amount					4,505,783
e Remaining amount distributed out of corpus		5,721,757.			
5 Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)*					
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		35,022,339.			
b Prior years' undistributed income Subtract line 4b from line 2b					
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed					
d Subtract line 6c from line 6b Taxable amount - see instructions					
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instructions					
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014					
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)					
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)		6,176,328.			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a		28,846,011.			
10 Analysis of line 9					
a Excess from 2009	6,465,131.				
b Excess from 2010	5,996,434.				
c Excess from 2011	4,648,353.				
d Excess from 2012	6,014,336.				
e Excess from 2013	5,721,757.				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) NOT APPLICABLE

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(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	(e) Total
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(j)(3)(B)(i)					
b "Endowment" alternative test- enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed . . .					
c "Support" alternative test - enter (1) Total support other than gross investment income (interest, dividends rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942 (j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income .					

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

N/A

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
ATCH 19				
Total . . . . ▶ **3a**				9,900,375.
b *Approved for future payment*				
ATCH 20				
Total . . . . ▶ **3b**				8,879,332.

Part XVI-A Analysis of Income-Producing Activities

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) 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			14	500,971.	
4 Dividends and interest from securities			14	357,296.	
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			18	-55,348.	
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)				802,919	

13 **Total.** Add line 12, columns (b), (d), and (e) 13 802,919

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	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)

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
	N/A		N/A

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

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

▶ Signature of officer or trustee

11/12/14 Date

▶ Pres. [illegible] Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Laraine Ruggeri		11/11/14		P00544631

Firm's name ▶ KPMG LLP

Firm's EIN ▶ 13-5565207

Firm's address ▶ 51 JOHN F. KENNEDY PARKWAY
SHORT HILLS, NJ 07078

Phone no 973-467-9650

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TITAN PARTNERS LP				P	VAR	VAR
							828,493.	
		TITAN PARTNERS LP				P	VAR	VAR
							5,707,604.	
		OAKTREE HIGH YIELD FUND LP				P	VAR	VAR
							11,614.	
		OAKTREE HIGH YIELD FUND LP				P	VAR	VAR
							112,018.	
		OAKTREE SENIOR LOAN FUND LP				P	VAR	VAR
							13,012.	
		OAKTREE SENIOR LOAN FUND LP				P	VAR	VAR
							6,985.	
		SEE ATTACHED S-T				P	VAR	VAR
177,497.		191,761.					-14,264.	
		SEE ATTACHED L-T				P	VAR	VAR
745,552.		778,547.					-32,995.	
		SEE ATTACHED L-T				P	VAR	VAR
497,549.		505,809.					-8,260.	
		SEE ATTACHED S-T				P	VAR	VAR
285,409.		285,434.					-25.	
		SEE ATTACHED L-T				P	VAR	VAR
1,494,601.		1,497,378.					-2,777.	
TOTAL GAIN(LOSS)		....					6,621,405.	

Capital Gain and Loss Schedule

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Short-Term Non Covered

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ABBEY NATL TREASURY SERV FLOATING RATE APR 25 2014 DTD 04/27/2011	002799AH7		10/24/12 10/08/13	10,000 000	10,074 68	10,004 43		70 25
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 06/17/13	4,783.220	4,783 22	5,110 57		-327.35
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 07/15/13	2,786 280	2,786 28	2,976 97		-190 69
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 08/15/13	2,827 430	2,827 43	3,020 93		-193.50
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 09/16/13	2,793 230	2,793 23	2,984 39		-191 16
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 10/15/13	2,518 650	2,518 65	2,691 02		-172.37
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 11/15/13	1,953 030	1,953 03	2,086 69		-133 66
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 12/16/13	1,506 940	1,506 94	1,610 07		-103 13
FHLMC GOLD 5% 03/01/23	3128MBRZ2		05/20/13 01/15/14	2,204 750	2,204 75	2,355 64		-150 89
FHLMC GOLD 5 5% 05/01/23	3128MBXC6		06/20/13 07/15/13	2,298 070	2,298 07	2,484 79		-186.72
FHLMC GOLD 5.5% 05/01/23	3128MBXC6		06/20/13 08/15/13	2,753 070	2,753 07	2,976 76		-223 69
FHLMC GOLD 5 5% 05/01/23	3128MBXC6		06/20/13 09/16/13	2,871 350	2,871 35	3,104 65		-233 30

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD 5 5% 05/01/23	3128MBXC6		06/20/13 10/15/13	2,608 070	2,608 07	2,819 98		-211.91
FHLMC GOLD 5.5% 05/01/23	3128MBXC6		06/20/13 11/15/13	2,110 330	2,110 33	2,281 79		-171 46
FHLMC GOLD 5 5% 05/01/23	3128MBXC6		06/20/13 12/16/13	2,064 370	2,064.37	2,232.10		-167.73
FHLMC GOLD 5 5% 05/01/23	3128MBXC6		06/20/13 01/15/14	2,139 830	2,139 83	2,313.69		-173 86
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 02/15/13	3,172 070	3,172 07	3,457.56		-285 49
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 03/15/13	1,620 480	1,620 48	1,766.32		-145.84
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 04/15/13	1,696 610	1,696 61	1,849 31		-152.70
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 02/15/13	1,649 910	1,649 91	1,763 34		-113.43
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 03/15/13	1,646 440	1,646 44	1,759 63		-113 19
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 04/15/13	1,349 300	1,349 30	1,442 06		-92.76
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 05/15/13	1,490 260	1,490 26	1,592.72		-102 46
FHLMC GOLD 5 5% 12/01/21	3128M1S34		09/26/13 11/15/13	2,758 850	2,758 85	2,960 59		-201.74

* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD 5 5% 12/01/21	3128M1S34		09/26/13 12/16/13	3,496 870	3,496 87	3,752 58		-255.71
FHLMC GOLD 5 5% 12/01/21	3128M1S34		09/26/13 01/15/14	2,204 850	2,204 85	2,366 08		-161 23
FHLMC GOLD M30366 5% 11/01/22	31282CMP9		08/27/13 09/16/13	912 440	912 44	958.63		-46 19
FHLMC GOLD M30366 5% 11/01/22	31282CMP9		08/27/13 10/15/13	767 640	767 64	806 50		-38 86
FHLMC GOLD M30366 5% 11/01/22	31282CMP9		08/27/13 11/15/13	750 290	750 29	788 27		-37 98
FHLMC GOLD M30366 5% 11/01/22	31282CMP9		08/27/13 12/16/13	739 380	739 38	776 81		-37 43
FHLMC GOLD M30366 5% 11/01/22	31282CMP9		08/27/13 01/15/14	760 000	760 00	798 48		-38 48
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 02/25/13	1,007 030	1,007 03	1,153 05		-146 02
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 03/25/13	1,459 470	1,459 47	1,671 09		-211 62
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 04/25/13	3,587 770	3,587 77	4,108 00		-520 23
FNMA 1993-70 CL Z 6.900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 05/28/13	838 430	838 43	960 00		-121 57
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 06/25/13	1,211 850	1,211 85	1,387 57		-175 72

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 07/25/13	711.960	711 96	815 19		-103 23
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 08/26/13	3,414 850	3,414 85	3,910 00		-495 15
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 04/25/13	1,727 010	1,727 01	1,942 89		-215.88
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 05/28/13	1,526 670	1,526 67	1,717 50		-190 83
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 06/25/13	783 730	783 73	881 70		-97.97
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 07/25/13	3,684 250	3,684 25	4,144 78		-460 53
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 08/26/13	1,916 930	1,916 93	2,156 55		-239.62
FNMA 254229 6.5% 02/01/22	31371KLJ8		03/05/13 09/25/13	994 730	994 73	1,119 07		-124.34
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 10/25/13	1,133 610	1,133 61	1,275 31		-141 70
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 11/25/13	1,701 010	1,701 01	1,913 64		-212 63
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 12/26/13	1,019 280	1,019.28	1,146 69		-127 41
FNMA 254229 6 5% 02/01/22	31371KLJ8		03/05/13 01/27/14	486 700	486.70	547 54		-60 84

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 02/25/13	5,643 870	5,643 87	6,042.47		-398 60
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 03/25/13	4,149 190	4,149 19	4,442 23		-293.04
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 04/25/13	4,810.810	4,810 81	5,150 57		-339 76
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 05/28/13	3,544 540	3,544 54	3,794.87		-250.33
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 06/25/13	1,693 300	1,693 30	1,812.89		-119.59
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 07/25/13	3,494 690	3,494 69	3,741.50		-246.81
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 08/26/13	1,804 670	1,804 67	1,932 13		-127 46
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 09/25/13	3,905 170	3,905 17	4,180 97		-275 80
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 10/25/13	1,122 590	1,122 59	1,201.87		-79 28
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 11/25/13	3,219 420	3,219.42	3,446.79		-227 37
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 02/25/13	7,465 840	7,465.84	8,077.11		-611 27
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 03/25/13	720 770	720 77	779 78		-59 01

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 04/25/13	726 770	726 77	786 27		-59 50
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 05/28/13	750 050	750 05	811.46		-61 41
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 06/25/13	4,933 090	4,933 09	5,336 99		-403 90
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 07/25/13	5,018 900	5,018 90	5,429 82		-410 92
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 08/26/13	540 040	540 04	584 26		-44 22
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 09/25/13	7,339 620	7,339 62	7,940 55		-600 93
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 10/25/13	427 430	427 43	462 43		-35 00
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 11/25/13	2,161 590	2,161 59	2,338 57		-176.98
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 12/26/13	1,620 620	1,620 62	1,753 31		-132 69
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 02/25/13	1,996 250	1,996 25	2,173 42		-177 17
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 03/25/13	1,976 080	1,976 08	2,151 46		-175.38
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 04/25/13	1,897 920	1,897 92	2,066 36		-168 44

** Code W indicates Wash Sale*

L indicates a Nondeductible Loss other than a Wash Sale

*** Ordinary Income O indicates Ordinary Income gain or loss*

F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 05/28/13	1,908 800	1,908 80	2,078 21		-169 41
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 06/25/13	1,845 090	1,845 09	2,008 84		-163 75
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 07/25/13	1,604 530	1,604 53	1,746 93		-142.40
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 02/15/13	661 210	661 21	745 51		-84 30
Total Short-Term Non Covered					**177,496.82**	**191,761.49**		**-14,264.67**

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ACE INA HOLDINGS INC NOTES 5 7/8% JUN 15 2014 DTD 6/9/2004	00440EAG2		10/20/09 06/10/13	15,000 000	15,811.20	16,458 90		-647.70
AMERPRISE FINANCIAL INC 5 65% NOV 15 2015 DTD 11/23/2005	03076CAB2		10/06/10 11/04/13	5,000 000	5,516 90	5,733 05		-216.15
BANK OF AMERICA CORPORATION 5 1/8% NOV 15 2014 DTD 11/07/2002	060505AU8		10/28/09 04/09/13	20,000 000	21,263 60	20,636.20		627 40
BANK OF NOVA SCOTIA 3 4% JAN 22 2015 DTD 01/22/2010	064149A64		01/19/10 11/19/13	6,000 000	6,204 30	5,992 32		211 98
BAXTER INTERNATIONAL INC 4% MAR 01 2014 DTD 02/26/2009	071813AZ2		10/26/09 02/19/13	15,000 000	15,534 75	15,609.30		-74 55
BHP BILLION FIN USA LTD 5 1/2% APR 01 2014 DTD 03/25/2009	055451AG3		10/26/09 02/20/13	15,000 000	15,830 70	16,389 75		-559 05
CITIGROUP INC 6 01% JAN 15 2015 DTD 12/15/2009	172967FA4		02/02/10 10/25/13	21,000 000	22,272 81	21,913 71		359 10
CITIGROUP INC NON-TRADEABLE ASSET CORP ACTIONS CONTRA 6 010% 01/15/2015 DTD 12/15/2009	17299AHB0		02/02/10 09/17/13	9,000 000	9,590 22	9,391 59		198 63

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
DUKE ENERGY OHIO INC 2 1% JUN 15 2013 DTD 12/17/2009	26442EAB6		12/14/09 06/17/13	8,000 000	8,000 00	7,998 64		1 36
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 02/15/13	1,171 080	1,171 08	1,253 42		-82 34
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 03/15/13	963 690	963 69	1,031 45		-67 76
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 04/15/13	1,069 260	1,069 26	1,144 44		-75 18
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 05/15/13	1,338 980	1,338.98	1,433 13		-94 15
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 06/17/13	973.990	973 99	1,042 47		-68.48
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 07/15/13	1,013 790	1,013 79	1,085 07		-71 28
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 08/15/13	1,071 150	1,071 15	1,146 47		-75 32
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 09/16/13	876 400	876 40	938 02		-61 62

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 10/15/13	783 200	783 20	838 27		-55.07
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5.50% DUE 09/15/2017	31392V5U2		11/03/09 11/15/13	757 560	757 56	810 83		-53.27
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 12/16/13	723 590	723 59	774 47		-50 88
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	31392V5U2		11/03/09 01/15/14	749 200	749 20	801 88		-52 68
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 02/15/13	986 400	986 40	1,035 72		-49.32
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 03/15/13	1,408 680	1,408 68	1,479.11		-70 43
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 04/15/13	981 910	981 91	1,031 01		-49.10
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 05/15/13	1,053 070	1,053 07	1,105 72		-52 65
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5.00% DUE 10/15/2017	31392XBT4		12/30/09 06/17/13	1,114 260	1,114 26	1,169 97		-55 71

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number: A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 07/15/13	852 010	852 01	894 61		-42.60
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 08/15/13	975 810	975 81	1,024 60		-48 79
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 09/16/13	894 570	894 57	939 30		-44.73
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 10/15/13	882 800	882 80	926 94		-44 14
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5.00% DUE 10/15/2017	31392XBT4		12/30/09 11/15/13	867 440	867 44	910 81		-43.37
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 12/16/13	747 320	747 32	784 69		-37 37
FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	31392XBT4		12/30/09 01/15/14	644 320	644 32	676 54		-32.22
FHLMC 5 000% 07/15/2014 DTD 07/16/2004	3134A4UU6		Various 08/13/13	120,000 000	125,310 00	134,654 73		-9,344 73
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 02/15/13	1,540 080	1,540 08	1,644 52		-104 44
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 03/15/13	1,319 160	1,319 16	1,408 62		-89 46

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 04/15/13	1,566 100	1,566 10	1,672 30		-106 20
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 05/15/13	2,276 740	2,276 74	2,431 13		-154 39
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 06/17/13	2,270 700	2,270 70	2,424 68		-153 98
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 07/15/13	943 510	943 51	1,007 49		-63 98
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 08/15/13	1,930 730	1,930 73	2,061 66		-130 93
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 09/16/13	1,487 360	1,487 36	1,588 22		-100 86
FHLMC GOLD G18006 5.5% 08/01/19	3128MMAG8		10/19/09 10/15/13	1,314 490	1,314 49	1,403 63		-89 14
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 11/15/13	794 970	794 97	848 88		-53 91
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 12/16/13	1,000 460	1,000 46	1,068 30		-67 84
FHLMC GOLD G18006 5 5% 08/01/19	3128MMAG8		10/19/09 01/15/14	1,287 340	1,287 34	1,374 64		-87.30
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 05/15/13	3,118.620	3,118.62	3,399 30		-280.68
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 06/17/13	2,167 180	2,167 18	2,362 23		-195 05

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number: A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 07/15/13	1,166 120	1,166 12	1,271.07		-104 95
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 08/15/13	1,276 490	1,276 49	1,391 37		-114 88
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 09/16/13	1,309 640	1,309 64	1,427 51		-117 87
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 10/15/13	1,067 500	1,067.50	1,163 57		-96 07
FHLMC GOLD G12255 5.5% 07/01/21	3128M1MC0		04/30/12 11/15/13	1,345 860	1,345 86	1,466 99		-121 13
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 12/16/13	996 200	996 20	1,085 86		-89 66
FHLMC GOLD G12255 5 5% 07/01/21	3128M1MC0		04/30/12 01/15/14	977 890	977 89	1,065 90		-88 01
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 06/17/13	1,495 150	1,495 15	1,597 94		-102 79
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 07/15/13	1,250 890	1,250 89	1,336 89		-86 00
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 08/15/13	1,278 850	1,278 85	1,366 77		-87 92
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 09/16/13	1,115 980	1,115 98	1,192.70		-76 72
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 10/15/13	972 960	972 96	1,039 85		-66 89

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 11/15/13	1,103 690	1,103.69	1,179 57		-75 88
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 12/16/13	957 270	957.27	1,023 08		-65 81
FHLMC GOLD G12319 5% 06/01/21	3128M1PC7		06/13/12 01/15/14	781 090	781 09	834 79		-53 70
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 02/15/13	1,501 930	1,501 93	1,596 27		-94 34
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 03/15/13	1,508 740	1,508 74	1,603 51		-94 77
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 04/15/13	1,543 700	1,543.70	1,640.66		-96 96
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 05/15/13	1,362 270	1,362 27	1,447 84		-85 57
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 06/17/13	1,407 550	1,407 55	1,495 96		-88.41
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 07/15/13	1,551 840	1,551.84	1,649 32		-97 48
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 08/15/13	1,351 050	1,351 05	1,435 91		-84 86
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 09/16/13	1,094.060	1,094.06	1,162.78		-68.72
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 10/15/13	872 490	872 49	927 29		-54 80

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 11/15/13	819.460	819 46	870 93		-51 47
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 12/16/13	634 240	634 24	674 08		-39 84
FHLMC GOLD G12379 4 5% 06/01/21	3128M1Q85		08/24/11 01/15/14	645 570	645 57	686 12		-40 55
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 02/15/13	1,214 950	1,214 95	1,309 49		-94 54
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 03/15/13	1,233 970	1,233 97	1,329 99		-96.02
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 04/15/13	1,177 140	1,177 14	1,268 74		-91 60
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 05/15/13	1,196 910	1,196 91	1,290 04		-93 13
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 06/17/13	1,289 730	1,289 73	1,390 09		-100 36
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 07/15/13	1,101 130	1,101 13	1,186 81		-85 68
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 08/15/13	997 050	997 05	1,074 63		-77 58
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 09/16/13	1,157 050	1,157 05	1,247 08		-90.03
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 10/15/13	1,025 840	1,025 84	1,105 66		-79 82

* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 11/15/13	993 810	993 81	1,071 14		-77 33
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 12/16/13	848 120	848 12	914 11		-65 99
FHLMC GOLD G11431 6% 02/01/18	31283KSU3		10/30/09 01/15/14	883.580	883 58	952 33		-68 75
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 02/15/13	2,942 780	2,942.78	3,183 72		-240 94
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 03/15/13	766 230	766 23	828.97		-62.74
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 04/15/13	3,993 690	3,993 69	4,320 67		-326 98
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 05/15/13	635 220	635 22	687 23		-52 01
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 06/17/13	2,111 740	2,111 74	2,284 64		-172 90
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 07/15/13	2,591 530	2,591 53	2,803 71		-212 18
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 08/15/13	3,812 890	3,812 89	4,125 07		-312 18
FHLMC GOLD B11373 5.5% 12/01/18	312963Q20		11/16/10 09/16/13	533 330	533 33	577 00		-43 67
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 10/15/13	543 780	543 78	588 30		-44 52

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number: A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 11/15/13	544 410	544 41	588.98		-44 57
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 12/16/13	2,462 550	2,462 55	2,664 17		-201 62
FHLMC GOLD B11373 5 5% 12/01/18	312963Q20		11/16/10 01/15/14	494 720	494 72	535 23		-40 51
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 02/15/13	2,409 120	2,409 12	2,555 55		-146 43
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 03/15/13	2,193.690	2,193 69	2,327 03		-133 34
FHLMC REMIC 2828 CL JE 4.50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 04/15/13	2,736 170	2,736 17	2,902 48		-166 31
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 05/15/13	1,986 630	1,986 63	2,107 38		-120 75
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 06/17/13	1,963 060	1,963 06	2,082 38		-119 32
FHLMC REMIC 2828 CL JE 4.50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 07/15/13	2,304 390	2,304 39	2,444 45		-140 06
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 08/15/13	2,097 000	2,097 00	2,224 46		-127.46
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 09/16/13	1,604 410	1,604 41	1,701 93		-97 52
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 10/15/13	1,438 700	1,438 70	1,526 15		-87 45

* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number. A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 11/15/13	1,496 020	1,496 02	1,586 95		-90 93
FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 12/16/13	1,407 020	1,407 02	1,492 54		-85 52
FHLMC REMIC 2828 CL JE 4.50% 07/15/2019 06/22/2004	31395CTG6		11/17/09 01/15/14	1,110.770	1,110.77	1,178 28		-67 51
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 02/25/13	1,882 950	1,882 95	2,024.17		-141 22
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 03/25/13	1,841 710	1,841 71	1,979 84		-138.13
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 04/25/13	1,801 270	1,801.27	1,936 37		-135 10
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 05/28/13	1,761 610	1,761.61	1,893 73		-132 12
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 06/25/13	2,343 710	2,343 71	2,519 49		-175 78
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 07/25/13	2,046 660	2,046 66	2,200 16		-153 50
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 08/26/13	2,021 940	2,021 94	2,173 58		-151.64

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Pnce	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 09/25/13	1,636 870	1,636.87	1,759 63		-122.76
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 10/25/13	1,704 810	1,704 81	1,832 67		-127 86
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 11/25/13	1,790 590	1,790 59	1,924 88		-134 29
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 12/26/13	1,542 380	1,542 38	1,658 06		-115.68
FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	31393BR56		01/10/11 01/27/14	1,695 430	1,695 43	1,822 59		-127 16
FNMA SER 2004-101 CL HD 01/25/2020 DTD 12/01/2004	31394BG81		09/14/10 09/25/13	2,051 250	2,051 25	2,256 37		-205 12
FNMA SER 2004-101 CL HD 01/25/2020 DTD 12/01/2004	31394BG81		09/14/10 10/25/13	2,446 800	2,446 80	2,691 48		-244 68
FNMA SER 2004-101 CL HD 01/25/2020 DTD 12/01/2004	31394BG81		09/14/10 11/25/13	2,490 970	2,490 97	2,740 07		-249 10
FNMA SER 2004-101 CL HD 01/25/2020 DTD 12/01/2004	31394BG81		09/14/10 12/26/13	2,152 020	2,152 02	2,367 22		-215 20
FNMA SER 2004-101 CL HD 01/25/2020 DTD 12/01/2004	31394BG81		09/14/10 01/27/14	2,643.790	2,643 79	2,908 17		-264.38

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 09/25/13	688 650	688 65	788 50		-99.85
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 10/25/13	892 940	892 94	1,022 42		-129 48
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 11/25/13	596 510	596 51	683 00		-86 49
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 12/26/13	506 920	506 92	580 42		-73 50
FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	31358U7D2		09/06/12 01/27/14	1,155 060	1,155 06	1,322 54		-167.48
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 02/25/13	1,034 730	1,034 73	1,103.93		-69 20
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 03/25/13	998 680	998 68	1,065 47		-66 79
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 04/25/13	1,014 910	1,014 91	1,082 78		-67.87
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 05/28/13	1,083 140	1,083 14	1,155 57		-72 43
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 06/25/13	1,233 950	1,233 95	1,316 47		-82 52
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 07/25/13	899.990	899 99	960 18		-60.19
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 08/26/13	798 250	798 25	851.63		-53 38

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 09/25/13	976 790	976 79	1,042 11		-65 32
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 10/25/13	917 270	917 27	978 61		-61 34
FNMA 254546 5.5% 12/01/17	31371KWF4		10/29/09 11/25/13	943 880	943 88	1,007 00		-63.12
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 12/26/13	750 840	750 84	801 05		-50 21
FNMA 254546 5 5% 12/01/17	31371KWF4		10/29/09 01/27/14	727 180	727 18	775 81		-48 63
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 02/25/13	277 820	277 82	298 22		-20 40
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 03/25/13	338 040	338 04	362 86		-24 82
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 04/25/13	315 810	315 81	339.00		-23.19
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 05/28/13	290 310	290.31	311 63		-21 32
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 06/25/13	224 210	224 21	240 68		-16 47
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 07/25/13	272 600	272 60	292 62		-20 02
FNMA 5.5% 09/25/17	31392EFL9		03/01/10 08/26/13	291 580	291 58	312 99		-21 41

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 09/25/13	279 340	279 34	299 85		-20 51
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 10/25/13	243 040	243 04	260 89		-17 85
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 11/25/13	221 290	221 29	237 54		-16 25
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 12/26/13	168 030	168 03	180 37		-12 34
FNMA 5 5% 09/25/17	31392EFL9		03/01/10 01/27/14	180 970	180.97	194 26		-13 29
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 02/25/13	485 850	485 85	526.24		-40 39
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 03/25/13	509 420	509.42	551 77		-42 35
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 04/25/13	521 210	521 21	564 54		-43 33
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 05/28/13	515 450	515 45	558 30		-42 85
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 06/25/13	522 450	522 45	565 88		-43 43
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 07/25/13	577 150	577 15	625 13		-47 98
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 08/26/13	507 730	507 73	549.93		-42 20

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 09/25/13	515 480	515 48	558 33		-42.85
FNMA 649633 6.5% 08/01/17	31390LV29		10/30/09 10/25/13	556 830	556 83	603 12		-46.29
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 11/25/13	1,021 680	1,021 68	1,106 61		-84 93
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 12/26/13	509 920	509.92	552 31		-42 39
FNMA 649633 6 5% 08/01/17	31390LV29		10/30/09 01/27/14	483 280	483 28	523 45		-40.17
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 12/26/13	1,146 560	1,146 56	1,227 54		-80 98
FNMA 724914 5 5% 06/01/18	31402CK35		12/19/12 01/27/14	3,249 480	3,249 48	3,478 97		-229.49
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 02/25/13	519 060	519 06	552 80		-33 74
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 03/25/13	537 090	537 09	572 00		-34 91
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 04/25/13	526 480	526 48	560 70		-34 22
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 05/28/13	569.530	569 53	606 55		-37.02
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 06/25/13	2,421 500	2,421.50	2,578 90		-157 40

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number. A 17114-00-9

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 07/25/13	498 530	498 53	530 93		-32 40
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 08/26/13	852 290	852 29	907 69		-55 40
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 09/25/13	1,428 070	1,428 07	1,520.89		-92 82
FNMA 762517 5.5% 11/01/18	31404ADW1		10/26/09 10/25/13	435 110	435 11	463 39		-28 28
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 11/25/13	404 520	404 52	430 81		-26.29
FNMA 762517 5 5% 11/01/18	31404ADW1		10/26/09 12/26/13	390.810	390 81	416 21		-25 40
FNMA 762517 5.5% 11/01/18	31404ADW1		10/26/09 01/27/14	393 740	393 74	419 33		-25 59
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 02/25/13	701 060	701 06	747 51		-46 45
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 03/25/13	3,435 970	3,435 97	3,663 60		-227 63
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 04/25/13	728 240	728 24	776 49		-48 25
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 05/28/13	3,854 340	3,854.34	4,109 69		-255.35
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 06/25/13	632 580	632 58	674 49		-41 91

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 07/25/13	620 670	620 67	661.79		-41 12
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 08/26/13	645 530	645 53	688 30		-42.77
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 09/25/13	799 110	799 11	852 05		-52 94
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 10/25/13	2,669.180	2,669 18	2,846 01		-176 83
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 11/25/13	640 690	640 69	683 14		-42 45
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 12/26/13	598 160	598 16	637.79		-39 63
FNMA 765769 5% 02/01/19	31404DW61		03/28/11 01/27/14	603 970	603 97	643.98		-40.01
FNMA 962243 5% 03/01/23	31414CP44		01/23/13 01/27/14	517 510	517 51	559 88		-42 37
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 08/26/13	1,949.550	1,949 55	2,122 57		-173.02
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 09/25/13	1,286.150	1,286 15	1,400.30		-114.15
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 10/25/13	1,344 930	1,344 93	1,464.29		-119.36
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 11/25/13	1,280 020	1,280 02	1,393 62		-113 60

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number: A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 12/26/13	1,078 740	1,078 74	1,174 48		-95 74
FNMA 995265 5 5% 01/01/24	31416BTW8		08/17/12 01/27/14	1,017 230	1,017 23	1,107 51		-90.28
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 03/15/13	514 120	514 12	579 67		-65 55
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 04/15/13	529 390	529 39	596 89		-67 50
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 05/15/13	843 000	843 00	950 48		-107 48
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 06/17/13	647 270	647 27	729 80		-82 53
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 07/15/13	668 250	668 25	753 45		-85 20
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 08/15/13	982 420	982 42	1,107 68		-125 26
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 09/16/13	1,255 500	1,255 50	1,415 58		-160.08

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 10/15/13	495 200	495.20	558 34		-63 14
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 11/15/13	1,997 630	1,997 63	2,252 33		-254 70
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 12/16/13	922 880	922 88	1,040 55		-117 67
FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	312908DY9		02/21/12 01/15/14	936 830	936 83	1,056 28		-119 45
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 02/15/13	592.430	592 43	627.42		-34.99
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 03/15/13	613 900	613 90	650.16		-36 26
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 04/15/13	494 110	494 11	523 29		-29 18
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 05/15/13	472 210	472 21	500 10		-27 89
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 06/17/13	438 750	438 75	464 66		-25 91

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 07/15/13	407 540	407 54	431.61		-24.07
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 08/15/13	403 080	403 08	426 89		-23 81
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 09/16/13	378 480	378 48	400 83		-22.35
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 10/15/13	331 440	331 44	351.02		-19 58
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 11/15/13	258 070	258.07	273.31		-15.24
FREDDIE MAE SER 2102 CL TC 6% DEC 15 2013 DTD 12/01/1998	3133THGW1		11/02/09 12/16/13	126 760	126 76	134 25		-7 49
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 02/20/13	731 070	731 07	783 16		-52.09
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 03/20/13	961 390	961 39	1,029 89		-68 50

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 04/22/13	2,009 180	2,009.18	2,152 33		-143 15
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 05/20/13	737.690	737 69	790 25		-52 56
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 06/20/13	763 470	763 47	817 87		-54 40
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 07/22/13	1,974 370	1,974 37	2,115 04		-140 67
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 08/20/13	671 500	671 50	719 34		-47 84
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 09/20/13	675 250	675 25	723 36		-48 11
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 10/21/13	689 190	689.19	738 30		-49 11

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 11/20/13	695 060	695 06	744 58		-49.52
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 12/20/13	730 850	730 85	782.92		-52.07
GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	36202DWA5		11/06/09 01/21/14	699 110	699 11	748 92		-49 81
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 02/15/13	416 400	416 40	443 99		-27 59
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 03/15/13	415 280	415 28	442 79		-27.51
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 04/15/13	420 200	420 20	448 04		-27 84
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 05/15/13	422 680	422 68	450 68		-28 00
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 06/17/13	421 300	421 30	449 21		-27 91
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 07/15/13	460 340	460 34	490 84		-30 50
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 08/15/13	424 670	424 67	452 80		-28 13

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 09/16/13	781 650	781 65	833.43		-51.78
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 10/15/13	494 680	494 68	527 45		-32 77
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 11/15/13	432 590	432 59	461 25		-28 66
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 12/16/13	473 140	473 14	504 49		-31 35
GNMA 619092 5% 07/15/19	36290VXV1		12/13/11 01/15/14	437.630	437 63	466 62		-28 99
HEWLETT PACKARD CO SR NOTES 3% SEP 15 2016 DTD 09/19/2011	428236BP7		09/13/11 08/28/13	3,000 000	3,090 90	2,993 52		97 38
HEWLETT PACKARD CO SR NOTES 3% SEP 15 2016 DTD 09/19/2011	428236BP7		09/13/11 09/03/13	2,000 000	2,055 92	1,995.68		60 24
HEWLETT PACKARD CO SR NOTES 3% SEP 15 2016 DTD 09/19/2011	428236BP7		09/13/11 09/04/13	3,000 000	3,081 00	2,993 52		87 48
HEWLETT PACKARD CO SR NOTES 3% SEP 15 2016 DTD 09/19/2011	428236BP7		09/13/11 09/12/13	7,000 000	7,176 40	6,984 88		191 52
HONDA AUTO RECEIVABLES OWNER TRUST SER 2011-1 CL A4 1 8% APR 17 2017 DTD 02/24/2011	43813TAD5		06/16/11 10/16/13	325 530	325 53	330 87		-5 34

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number A 17114-00-9

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Pnce	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
HONDA AUTO RECEIVABLES OWNER TRUST SER 2011-1 CL A4 1 8% APR 17 2017 DTD 02/24/2011	43813TAD5		06/16/11 11/15/13	4,265 590	4,265 59	4,335 57		-69 98
HONDA AUTO RECEIVABLES OWNER TRUST SER 2011-1 CL A4 1 8% APR 17 2017 DTD 02/24/2011	43813TAD5		06/16/11 12/16/13	3,785 820	3,785 82	3,847.93		-62 11
HONDA AUTO RECEIVABLES OWNER TRUST SER 2011-1 CL A4 1 8% APR 17 2017 DTD 02/24/2011	43813TAD5		06/16/11 01/15/14	3,726 010	3,726 01	3,787 14		-61 13
NISSAN AUTO RECEIVABLES OWNER TRUST SER 2010-A CL A3 0 87% JUL 15 2014 DTD 09/22/2010	65476BAC7		11/09/11 02/15/13	3,089 460	3,089.46	3,093 08		-3 62
NISSAN AUTO RECEIVABLES OWNER TRUST SER 2010-A CL A3 0 87% JUL 15 2014 DTD 09/22/2010	65476BAC7		11/09/11 03/15/13	2,748.790	2,748 79	2,752.01		-3.22
NISSAN AUTO RECEIVABLES OWNER TRUST SER 2010-A CL A3 0 87% JUL 15 2014 DTD 09/22/2010	65476BAC7		11/09/11 04/15/13	2,818 370	2,818 37	2,821 67		-3.30
NISSAN AUTO RECEIVABLES OWNER TRUST SER 2010-A CL A3 0 87% JUL 15 2014 DTD 09/22/2010	65476BAC7		11/09/11 05/15/13	2,846 500	2,846 50	2,849 84		-3 34
NISSAN AUTO RECEIVABLES OWNER TRUST SER 2010-A CL A3 0.87% JUL 15 2014 DTD 09/22/2010	65476BAC7		11/09/11 06/17/13	2,604 500	2,604 50	2,607 55		-3 05
NISSAN AUTO RECEIVABLES OWNER TRUST SER 2010-A CL A3 0 87% JUL 15 2014 DTD 09/22/2010	65476BAC7		11/09/11 07/15/13	2,257 520	2,257 52	2,260 17		-2 65

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD FDN - 1-5 GOVT/CR MIP
Account Number· A 17114-00-9

** Code W indicates Wash Sale*
L indicates a Nondeductible Loss other than a Wash Sale
*** Ordinary Income O indicates Ordinary Income gain or loss*
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
NISSAN AUTO RECEIVABLES OWNER TRUST SER 2010-A CL A3 0 87% JUL 15 2014 DTD 09/22/2010	65476BAC7		11/09/11 08/15/13	2,188 700	2,188 70	2,191 26		-2.56
STATE STREET CORP SR NOTES 4.3% MAY 30 2014 DTD 05/22/2009	857477AE3		10/21/09 09/24/13	10,000 000	10,267 30	10,453 20		-185 90
US TREAS 2 375% 10/31/14	912828LS7		10/17/11 11/19/13	120,000 000	122,521.87	126,745 31		-4,223 44
US TREAS 0 625% 07/15/14	912828QU7		07/18/11 11/19/13	30,000 000	30,099 61	30,005 86		93 75
USAA AUTO OWNER TRUST SER 2009-2 CL A4 2.53% JUL 15 2015 DTD 11/13/2009	90327YAD4		11/05/09 02/15/13	1,117 960	1,117 96	1,117 94		02
USAA AUTO OWNER TRUST SER 2009-2 CL A4 2 53% JUL 15 2015 DTD 11/13/2009	90327YAD4		11/05/09 03/15/13	1,079 600	1,079 60	1,079 58		02
USAA AUTO OWNER TRUST SER 2009-2 CL A4 2 53% JUL 15 2015 DTD 11/13/2009	90327YAD4		11/05/09 04/15/13	9,925 790	9,925 78	9,925 58		20
WYETH 5 1/2% FEB 15 2016 DTD 11/14/2005	983024AJ9		10/23/09 11/21/13	15,000 000	16,610 55	16,271 10		339 45
Total Long-Term Non Covered					**745,551.98**	**778,546.73**		**-32,994.75**

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD - INVEST GRADE CORP MIP
Account Number· A 17114-20-7

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ABBEY NATL TREASURY SERV FLOATING RATE APR 25 2014 DTD 04/27/2011	002799AH7		04/26/11 10/08/13	45,000 000	45,336.06	45,199 80		136 26
AMERPRISE FINANCIAL INC 5 65% NOV 15 2015 DTD 11/23/2005	03076CAB2		10/06/10 11/04/13	13,000 000	14,343 94	14,905 93		-561.99
APACHE FINANCE CANADA 4 3/8% MAY 15 2015 DTD 05/15/2003	03746AAC4		10/20/09 12/19/13	33,000.000	34,845 36	34,730 19		115 17
BANK OF NOVA SCOTIA 3 4% JAN 22 2015 DTD 01/22/2010	064149A64		Various 11/19/13	40,000 000	41,362 00	40,798 00		564.00
BHP BILLION FIN USA LTD 5 1/2% APR 01 2014 DTD 03/25/2009	055451AG3		10/20/09 05/28/13	40,000.000	41,719.20	44,091 20		-2,372 00
DEUTSCHE BANK AG LONDON 3 7/8% AUG 18 2014 DTD 08/18/2009	2515A0Q30		10/20/09 11/01/13	45,000 000	46,196 55	45,734 85		461 70
HEWLETT PACKARD CO SR NOTES 4 3/8% SEP 15 2021 DTD 09/19/2011	428236BQ5		Various 08/27/13	50,000 000	48,078 50	50,230 76		-2,152 26
PACCAR INC NOTES 6 7/8% FEB 15 2014 DTD 02/13/2009	69373UAA5		10/28/09 03/14/13	40,000 000	42,295 20	45,700 80		-3,405 60
STATE STREET CORP SR NOTES 4 3% MAY 30 2014 DTD 05/22/2009	857477AE3		10/21/09 05/09/13	40,000 000	41,653.20	41,812 80		-159 60

Capital Gain and Loss Schedule

Long-Term Non Covered

C. ENGELHARD - INVEST GRADE CORP MIP
Account Number A 17114-20-7

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
US BANCORP SR NOTES 4.2% MAY 15 2014 DTD 05/14/2009	91159HGR5		10/27/09 02/11/13	40,000 000	41,887 20	41,772 40		114 80
WELLS FARGO COMPANY SR NOTES 4 3/8% JAN 31 2013 01/31/2008	949746NY3		10/21/09 01/31/13	50,000 000	50,000 00	52,019 00		-2,019 00
WYETH 5 1/2% FEB 15 2016 DTD 11/14/2005	983024AJ9		10/23/09 11/21/13	45,000 000	49,831 65	48,813 30		1,018 35
Total Long-Term Non Covered					**497,548.86**	**505,809.03**		**-8,260.17**

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
APPALACHIAN POWER CO FLOATING RATE NOTE AUG 16 2013 DTD 08/16/2012	037735CS4		01/29/13 08/16/13	25,000 000	25,000 00	25,044 00		-44.00
AT&T INC VAR RT 02/12/2016 DTD 02/12/2013	00206RBS0		02/07/13 11/20/13	40,000 000	39,898 40	40,000 00		-101 60
BNP PARIBAS MTN FLOATING RATE NOTE DEC 20 2014 DTD 12/20/2011	05567L3Q8		01/14/13 12/05/13	40,000 000	41,067 86	41,646 40		-578 54
DTE ENERGY COMPANY FLOATING RATE NOTE JUN 03 2013 DTD 05/26/2011	233331AP2		06/28/12 06/03/13	5,000 000	5,000 00	5,011.68		-11 68
FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	31339LJH4		07/03/13 07/15/13	4,303 430	4,303 43	4,333 02		-29.59
FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	31339LJH4		07/03/13 08/15/13	3,916 350	3,916 35	3,943 27		-26 92
FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	31339LJH4		07/03/13 09/16/13	1,903 610	1,903 61	1,916 70		-13.09
FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	31339LJH4		07/03/13 10/15/13	3,405 640	3,405 64	3,429 05		-23 41
FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	31339LJH4		07/03/13 11/15/13	1,363 800	1,363 80	1,373 18		-9 38

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	31339LJH4		07/03/13 12/16/13	1,788 000	1,788 00	1,800 29		-12 29
FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	31339LJH4		07/03/13 01/15/14	939 790	939 79	946 25		-6 46
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 02/25/13	256 270	256 27	258 11		-1 84
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 03/27/13	262 980	262 98	264 87		-1 89
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 04/25/13	269 550	269.55	271.49		-1.94
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 05/28/13	526 830	526 83	530 62		-3.79
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 06/25/13	900 590	900 59	907 06		-6 47
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 07/25/13	688 980	688 98	693 93		-4 95
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		01/07/14 01/22/14	1 964	1 96	1 94		02

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		01/07/14 01/21/14	13 579	13 58	13 44		14
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		01/17/14 01/27/14	148 412	148 41	146 93		1 48
FNMA 1996-46 CL FE VAR RT 07/25/2023 DTD 10/25/1996	31359KWV5		09/23/13 10/25/13	3,016 970	3,016 97	3,035 83		-18 86
FNMA 1996-46 CL FE VAR RT 07/25/2023 DTD 10/25/1996	31359KWV5		09/23/13 11/25/13	1,207 120	1,207 12	1,214 66		-7 54
FNMA 1996-46 CL FE VAR RT 07/25/2023 DTD 10/25/1996	31359KWV5		09/23/13 12/26/13	1,167 230	1,167 23	1,174 53		-7 30
FNMA 1996-46 CL FE VAR RT 07/25/2023 DTD 10/25/1996	31359KWV5		09/23/13 01/27/14	1,223 900	1,223 90	1,231.55		-7.65
FNMA 2009-56 CL AF VAR RT 07/25/2049 DTD 06/25/2009	31397N7F6		09/24/13 10/25/13	868 910	868 91	878 41		-9 50
FNMA 2009-56 CL AF VAR RT 07/25/2049 DTD 06/25/2009	31397N7F6		09/24/13 11/25/13	2,658 960	2,658 96	2,688.04		-29 08
FNMA 2009-56 CL AF VAR RT 07/25/2049 DTD 06/25/2009	31397N7F6		09/24/13 12/26/13	3,374 010	3,374 01	3,410 91		-36 90
FNMA 2009-56 CL AF VAR RT 07/25/2049 DTD 06/25/2009	31397N7F6		09/24/13 01/27/14	40.090	40 09	40 53		- 44
GNMA 1999-37 CL FJ VAR RT 10/16/2029 DTD 10/16/1999	3837H23U1		09/24/13 10/16/13	834 530	834 53	841 83		-7.30
GNMA 1999-37 CL FJ VAR RT 10/16/2029 DTD 10/16/1999	3837H23U1		09/24/13 11/18/13	394 600	394 60	398 05		-3 45

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Short-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
GNMA 1999-37 CL FJ VAR RT 10/16/2029 DTD 10/16/1999	3837H23U1		09/24/13 12/20/13	1,399 700	1,399 70	1,411 95		-12 25
GNMA 1999-37 CL FJ VAR RT 10/16/2029 DTD 10/16/1999	3837H23U1		09/24/13 01/17/14	1,310 260	1,310 26	1,321 72		-11 46
NATIONAL RURAL UTIL COOP FLOATING RATE MEDIUM TERM NOTE AUG 09 2013 DTD 08/10/2012	63743HED0		08/07/12 05/21/13	7,000 000	7,001.53	7,000 00		1 53
TOTAL CAPITAL CANADA LTD VAR RT 01/15/2016 DTD 01/17/2013	89153UAD3		01/10/13 08/05/13	8,000 000	8,039 76	8,000 00		39.76
WESTPAC BANKING CORP FLOATING RATE 1.13575% SEP 25 2015 DTD 09/25/2012	961214BX0		09/19/12 07/26/13	120,000 000	121,215.18	120,253 65		961 53
Total Short-Term Non Covered					**285,408.78**	**285,433.89**		**-25.11**

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
ABBEY NATL TREASURY SERV FLOATING RATE APR 25 2014 DTD 04/27/2011	002799AH7		06/29/11 09/27/13	50,000 000	50,384 50	49,781 50		603 00
AMER EXPRESS CREDIT CO FLOAING RATE NOTE JUN 24 2014 DTD 06/24/2011	0258M0DB2		06/29/11 05/17/13	100,000 000	100,757 60	100,176 60		581.00
ANHEUSER-BUSCH INBEV WOR FLOATING RATE NOTE JAN 27 2014 DTD 01/27/2011	03523TBC1		07/05/11 05/01/13	60,000 000	60,248 10	60,311 22		-63 12
BANK OF AMERICA CREDIT CARD TRUST SER 2006-A11 CL A11 FLOATING RATE APR 15 2016 DTD 09/26/2006	05522AAB1		Various 11/15/13	75,000 000	75,000 00	74,866 21		133.79
BB&T CORPORATION FLOATING RATE NOTES APR 28 2014 DTD 04/28/2011	05531FAJ2		06/30/11 06/17/13	26,000 000	26,123 16	26,036 14		87 02
BNP PARIBAS MEDIUM TERM FLOATING RATE NOTE JAN 10 2014 DTD 01/10/2011	05567LS57		06/29/11 01/14/13	40,000 000	40,199 20	39,539 52		378 39 281 29 O
BP CAPITAL MARKETS PLC FLOATING RATE NOTE MAR 11 2014 DTD 03/11/2011	05565QBS6		06/30/11 05/09/13	80,000 000	80,393 60	80,448 56		-54 96
CAPITAL ONE MULTI ASSET EXECITION TRUST SER 2006-A5 CL A5 FLOATING RATE NOTE JAN 15 2016 DTD 04/04/2006	14041NCS8		07/06/11 03/15/13	100,000 000	100,000 00	99,742 19		257 81

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
CREDIT SUISSE USA INC FLAOTING RATE NOTE APR 12 2013 DTD 04/12/2006	225434AP4		07/06/11 04/12/13	60,000 000	60,000 00	59,894 22		105 78
DENTSPLY INTERNATIONAL FLOATING RATE NOTE AUG 15 2013 DTD 08/23/2011	249030AA5		Various 08/15/13	40,000 000	40,000 00	40,127 42		-127.42
DEUTSCHE BANK NY CERT OF DEPOSIT FLOATING RATE NOTE JAN 18 2013 DTD 01/18/2011	25152XMK3		07/18/11 01/18/13	80,000 000	80,000 00	80,060 00		-60 00
DTE ENERGY COMPANY FLOATING RATE NOTE JUN 03 2013 DTD 05/26/2011	233331AP2		06/29/11 06/03/13	35,000.000	35,000 00	35,117 18		-117 18
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 02/15/13	642 830	642.83	657 80		-14 97
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 03/15/13	940 820	940 82	962 72		-21 90
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 04/15/13	1,068 160	1,068 16	1,093 03		-24 87
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 05/15/13	906 800	906 80	927 91		-21 11
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 06/17/13	860 520	860 52	880 55		-20 03

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number: A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 07/15/13	902 430	902 43	923 44		-21 01
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 08/15/13	1,073 290	1,073 29	1,098 28		-24.99
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 09/16/13	691 000	691 00	707 09		-16.09
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 10/15/13	668 830	668 83	684 40		-15 57
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 11/15/13	744.980	744.98	762.32		-17.34
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 12/16/13	619.290	619 29	633 71		-14.42
FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYV2		07/05/11 01/15/14	397 990	397 99	407 26		-9 27
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 02/15/13	642 830	642 83	657 80		-14 97
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 03/15/13	940 820	940 82	962 72		-21.90

*Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number: A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 04/15/13	1,068 160	1,068 16	1,093.03		-24 87
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 05/15/13	906 800	906 80	927 91		-21 11
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 06/17/13	860.520	860 52	880 55		-20 03
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 07/15/13	902 430	902 43	923 44		-21.01
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 08/15/13	1,073 290	1,073.29	1,098.28		-24 99
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 09/16/13	691 000	691 00	707 09		-16.09
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 10/15/13	668 830	668 83	684 40		-15 57
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 11/15/13	744 980	744 98	762 32		-17 34
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 12/16/13	619 290	619 29	633 71		-14 42

Capital Gain and Loss Schedule

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Long-Term Non Covered

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	31392KYW0		07/05/11 01/15/14	397 990	397 99	407 26		-9.27
FHLMC SER 2817 CL FA FLOATING RATE NOTE JUN 15 2032 DTD 06/15/2004	31394YX82		07/12/11 02/15/13	3,040 070	3,040 07	3,045 77		-5 70
FHLMC SER 2817 CL FA FLOATING RATE NOTE JUN 15 2032 DTD 06/15/2004	31394YX82		07/12/11 03/15/13	2,713 050	2,713 05	2,718 14		-5 09
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 02/15/13	1,223 350	1,223 35	1,217 62		5.73
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 03/15/13	1,489.930	1,489 93	1,482.95		6.98
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 04/15/13	1,692 310	1,692 31	1,684 38		7 93
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 05/15/13	1,377.550	1,377 55	1,371 09		6.46
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 06/17/13	1,295 300	1,295 30	1,289 23		6 07
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 07/15/13	1,244 340	1,244 34	1,238 51		5.83

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 08/15/13	1,355 210	1,355 21	1,348 86		6 35
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 09/16/13	1,256 360	1,256 36	1,250 47		5.89
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 10/15/13	940 880	940 88	936 47		4 41
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 11/15/13	893 190	893 19	889 00		4 19
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 12/16/13	742 940	742.94	739 46		3 48
FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	31396RPG6		07/15/11 01/15/14	816 580	816 58	812 75		3 83
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 02/15/13	1,197 370	1,197 37	1,202 98		-5 61
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 03/15/13	816 110	816 11	819 94		-3 83
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 04/15/13	1,479 260	1,479 26	1,486 19		-6 93

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number: A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 05/15/13	1,688 090	1,688 09	1,696 00		-7 91
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 06/17/13	1,281 050	1,281 05	1,287 06		-6 01
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 07/15/13	1,541 260	1,541 26	1,548 48		-7 22
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 08/15/13	1,439.290	1,439.29	1,446 04		-6 75
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 09/16/13	1,251.780	1,251 78	1,257 65		-5 87
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 10/15/13	1,319 390	1,319.39	1,325 57		-6 18
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 11/15/13	448 570	448 57	450 67		-2 10
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 12/16/13	536 150	536 15	538 66		-2 51
FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	31397KE31		06/29/11 01/15/14	846 500	846 50	850 47		-3 97

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 08/26/13	847 080	847 08	853 17		-6 09
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 09/25/13	436 410	436 41	439 55		-3 14
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 10/25/13	404 820	404.82	407 73		-2 91
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 11/25/13	389 210	389 21	392 01		-2 80
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 12/26/13	331.510	331 51	333 89		-2.38
FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	3136A0ZP5		08/07/12 01/27/14	367 880	367 88	370 52		-2 64
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 02/19/13	681 960	681 96	681 96		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 03/18/13	1,299 950	1,299 95	1,299 95		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 04/18/13	746 330	746 33	746 33		00

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 05/20/13	916 240	916 24	916 24		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 06/18/13	812 080	812 08	812 08		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 07/18/13	512 440	512 44	512 44		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 08/19/13	988 450	988.45	988 45		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 09/18/13	553 330	553.33	553.33		.00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 10/18/13	542 350	542 35	542 35		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 11/18/13	344 220	344 22	344 22		00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 12/18/13	298 700	298 70	298 70		.00
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 01/22/14	13 576	13 58	13 58		00

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	31392AVD7		12/08/11 01/21/14	93 891	93 89	93 89		00
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 02/25/13	932 530	932.53	939.52		-6.99
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 03/25/13	786 440	786 44	792.34		-5 90
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 04/25/13	901 490	901 49	908 25		-6 76
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 05/28/13	794 070	794 07	800.03		-5 96
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 06/25/13	665 240	665 24	670 23		-4 99
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 07/25/13	641.950	641 95	646.76		-4 81
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 08/26/13	750 830	750 83	756 46		-5 63
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 09/25/13	611 220	611.22	615 80		-4 58

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 10/25/13	524 200	524.20	528 13		-3 93
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 11/25/13	477 770	477 77	481 35		-3 58
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 12/26/13	359 750	359 75	362.45		-2 70
FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	31392BXH4		07/06/11 01/27/14	388 400	388 40	391 31		-2 91
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 02/19/13	124 640	124 64	125.15		-.51
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 03/18/13	588 480	588 48	590 87		-2 39
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 04/18/13	224 140	224 14	225 05		- 91
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 05/20/13	409 100	409.10	410 76		-1 66
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 06/18/13	241 410	241 41	242.39		- 98

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 07/18/13	207 680	207 68	208 52		- 84
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 08/19/13	452 910	452 91	454 75		-1 84
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 09/18/13	332 960	332 96	334 31		-1 35
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 10/18/13	248 320	248 32	249 33		-1 01
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 11/18/13	396 680	396.68	398.29		-1 61
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 12/18/13	303 300	303 30	304 53		-1 23
FNMA SER 2002-34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	31392CQ31		07/18/11 01/21/14	115 970	115 97	116 44		- 47
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 02/19/13	875 650	875 65	878 93		-3 28
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 03/18/13	1,190 120	1,190 12	1,194 58		-4 46

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 04/18/13	1,076 220	1,076 22	1,080.26		-4 04
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 05/20/13	1,160 520	1,160 52	1,164.87		-4 35
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 06/18/13	738 280	738.28	741 05		-2 77
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 07/18/13	1,201 460	1,201 46	1,205.97		-4 51
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 08/19/13	735.880	735 88	738.64		-2 76
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 09/18/13	698 560	698 56	701 18		-2 62
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 10/18/13	589 930	589.93	592 14		-2 21
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 11/18/13	686 480	686 48	689 05		-2 57
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 12/18/13	826 810	826 81	829 91		-3 10

* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP

Account Number: A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	313920ZH6		07/06/11 01/21/14	704.480	704 48	707 12		-2 64
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 02/25/13	1,892 170	1,892 17	1,906 36		-14 19
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 03/25/13	1,567 460	1,567 46	1,579 22		-11 76
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 04/25/13	1,214 630	1,214 63	1,223.74		-9 11
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 05/28/13	1,455 150	1,455 15	1,466.06		-10.91
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 06/25/13	1,096 210	1,096 21	1,104 43		-8.22
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 07/25/13	1,279 660	1,279 66	1,289 26		-9 60

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 08/26/13	889 150	889 15	895.82		-6.67
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 09/25/13	676 190	676 19	681 26		-5 07
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 10/25/13	399.430	399 43	402 43		-3.00
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 11/25/13	453 330	453 33	456 73		-3 40
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 12/26/13	313 390	313 39	315.74		-2 35
FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	31393UDS9		07/11/11 01/27/14	369 450	369 45	372 22		-2.77
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 02/25/13	845 580	845 58	840.30		5 28

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 03/25/13	841 180	841 18	835 92		5 26
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 04/25/13	836 810	836 81	831 58		5.23
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 05/28/13	832 460	832 46	827 26		5 20
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 06/25/13	828 130	828 13	822 95		5.18
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 07/25/13	823 820	823 82	818 67		5 15
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 08/26/13	819 540	819 54	814 42		5 12
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 09/25/13	815 280	815 28	810 18		5.10
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 10/25/13	811 040	811.04	805 97		5 07
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 11/25/13	806 820	806 82	801 78		5.04

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 12/26/13	791 970	791.97	787.02		4.95
FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	31394DAA8		07/18/11 01/27/14	615 270	615 27	611 42		3 85
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 02/25/13	1,567 850	1,567 85	1,560 01		7 84
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 03/25/13	1,646 300	1,646 30	1,638 07		8 23
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 04/25/13	1,708.500	1,708.50	1,699.96		8 54
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 05/28/13	1,735 230	1,735 23	1,726 55		8.68
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 06/25/13	1,236 750	1,236 75	1,230 57		6 18
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 07/25/13	1,241 540	1,241 54	1,235 33		6.21
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 08/26/13	1,648 030	1,648 03	1,639 79		8 24

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 09/25/13	1,285 260	1,285 26	1,278 83		6.43
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 10/25/13	1,263 010	1,263 01	1,256.70		6.31
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 11/25/13	899 540	899 54	895 04		4 50
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 12/26/13	597 260	597 26	594 27		2 99
FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	31394EKS6		06/30/11 01/27/14	593 648	593 65	590.68		2 97
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 02/25/13	777 840	777 84	771 28		6 56
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 03/25/13	1,237 960	1,237 96	1,227 51		10 45
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 04/25/13	865 530	865 53	858 23		7 30
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 05/28/13	1,067 510	1,067 51	1,058 50		9 01

* Code W indicates Wash Sale

L indicates a Nondeductible Loss other than a Wash Sale

** Ordinary Income O indicates Ordinary Income gain or loss

F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 06/25/13	744 330	744 33	738 05		6 28
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 07/25/13	972 650	972 65	964 44		8 21
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 08/26/13	632 430	632 43	627 09		5 34
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 09/25/13	1,028.870	1,028.87	1,020 19		8 68
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 10/25/13	742 170	742 17	735 91		6 26
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 11/25/13	1,089 210	1,089.21	1,080 02		9.19
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 12/26/13	774 500	774 50	767 96		6 54
FNMA SER 2005-103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	31394ULS9		06/30/11 01/27/14	952 920	952 92	944 88		8 04
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 02/25/13	1,322 940	1,322.94	1,319 22		3.72

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number. A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 03/25/13	1,361 260	1,361.26	1,357 43		3 83
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 04/25/13	1,016 550	1,016 55	1,013 69		2 86
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 05/28/13	1,187 480	1,187 48	1,184 14		3 34
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 06/25/13	1,216 060	1,216 06	1,212 64		3 42
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 07/25/13	1,078 590	1,078 59	1,075 56		3 03
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 08/26/13	1,252 420	1,252 42	1,248 90		3 52
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 09/25/13	914 920	914 92	912 35		2 57
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 10/25/13	969 380	969 38	966 65		2 73
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 11/25/13	863 190	863 19	860 76		2 43

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 12/26/13	815 240	815 24	812 95		2.29
FNMA SER 2006-104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	31396LLP3		07/14/11 01/27/14	735 130	735 13	733 06		2 07
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 02/25/13	170 030	170.03	173 86		-3 83
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 03/25/13	176 130	176 13	180 09		-3.96
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 04/25/13	158 640	158 64	162.21		-3 57
FNMA 781431 2.127% 09/01/34	31404XEC4		07/07/11 05/28/13	181 130	181.13	185.21		-4.08
FNMA 781431 2.127% 09/01/34	31404XEC4		07/07/11 06/25/13	187 260	187 26	191 47		-4 21
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 07/25/13	176 360	176 36	180 33		-3 97
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 08/26/13	183 760	183 76	187 89		-4 13
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 09/25/13	848 990	848 99	868 09		-19 10
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 10/25/13	183 380	183 38	187 51		-4 13
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 11/25/13	9,091 850	9,091 85	9,296 41		-204 56

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 12/26/13	165 880	165 88	169 61		-3 73
FNMA 781431 2 127% 09/01/34	31404XEC4		07/07/11 01/27/14	171.260	171 26	175 11		-3 85
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 02/25/13	156 860	156 86	162 15		-5 29
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 03/25/13	157 300	157 30	162 61		-5 31
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 04/25/13	166 000	166 00	171 60		-5 60
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 05/28/13	172 080	172.08	177 89		-5.81
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 06/25/13	162 040	162 04	167.51		-5 47
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 07/25/13	8,150 980	8,150 98	8,426 07		-275 09
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 08/26/13	144 100	144 10	148 96		-4 86
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 09/25/13	145 480	145 48	150 39		-4 91
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 10/25/13	5,030 560	5,030 56	5,200 34		-169.78
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 11/25/13	132 980	132 98	137 47		-4.49

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 12/26/13	142 620	142 62	147 43		-4.81
FNMA 815476 VAR RATE 04/01/35	31406N6M1		07/13/11 01/27/14	134 870	134 87	139.42		-4 55
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 02/25/13	686 700	686 70	722 75		-36 05
FNMA 888627 2.339% 09/01/35	31410GHC0		07/08/11 03/25/13	734.990	734 99	773 58		-38 59
FNMA 888627 2.339% 09/01/35	31410GHC0		07/08/11 04/25/13	1,168 900	1,168 90	1,230 27		-61 37
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 05/28/13	224 160	224 16	235.93		-11.77
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 06/25/13	265 390	265 39	279 32		-13 93
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 07/25/13	2,128 870	2,128 87	2,240 64		-111 77
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 08/26/13	1,606 770	1,606 77	1,691 13		-84 36
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 09/25/13	346 360	346 36	364 54		-18.18
FNMA 888627 2.339% 09/01/35	31410GHC0		07/08/11 10/25/13	195 210	195 21	205 46		-10.25
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 11/25/13	568 730	568 73	598 59		-29 86

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number A 171-14-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 12/26/13	2,563 950	2,563 95	2,698 56		-134 61
FNMA 888627 2 339% 09/01/35	31410GHC0		07/08/11 01/27/14	376 130	376 13	395.88		-19 75
GENERAL ELEC CAP CORP FLOATING RATE NOTE FEB 15 2017 DTD 02/13/2007	36962G2F0		06/19/12 10/23/13	11,000 000	10,934 99	10,344 84		400 04 190 11 O
GOLDMAN SACHS GROUP INC FLOATING RATE NOTE MAR 22 2016 DTD 3/22/2006	38141GEG5		06/29/11 11/26/13	40,000 000	39,817 20	37,633 44		972 99 1,210.77 O
NORTHEAST UTILITIES FLOATING RATE NOTE SEP 20 2013 DTD 03/22/2012	664397AH9		06/27/12 09/20/13	20,000 000	20,000 00	20,078.22		-78 22
PACCAR FINANCIAL CORP FLOATING RATE NOTE MTN JUN 05 2014 DTD 06/08/2012	69371RK70		06/07/12 07/15/13	30,000 000	30,039 96	30,097 08		-57 12
PACCAR FINANCIAL CORP FLOATING RATE NOTE MTN JUN 05 2014 DTD 06/08/2012	69371RK70		06/07/12 09/25/13	30,000 000	30,043 32	30,097 08		-53 76
PRINCIPAL LIFE INC FDG MEDIUM TERM FLOATING RATE NOTE NOV 8 2013 DTD 11/10/2006	74254PPF3		07/14/11 09/26/13	10,000 000	10,002 46	9,926 40		6 13 69 93 O
QWEST CORP FLOATING RATE NOTE JUN 15 2013 DTD 12/15/2005	74913GAN5		06/29/11 06/17/13	80,000 000	80,000 00	82,652.08		-2,652 08

* Code W indicates Wash Sale
L indicates a Nondeductible Loss other than a Wash Sale
** Ordinary Income O indicates Ordinary Income gain or loss
F indicates Foreign Exchange gain or loss on Capital transactions

Capital Gain and Loss Schedule

Long-Term Non Covered

THE CHARLES ENGELHARD FDN -IG FR MIP
Account Number· A 17114-30-6

Description	Stock and other symbol Cusip	Code*	Date Acquired Date Sold	Units	Sales Price	Cost or Other Basis	Adjustments to gain or loss	Gain or Loss Ordinary Income**
RABOBANK NEDERLAND MTN FLOATING RATE NOTE APR 14 2014 DTD 04/21/2011	21685WCG0		06/29/11 05/10/13	40,000 000	40,128 80	39,893 04		235.76
RABOBANK NEDERLAND MTN FLOATING RATE NOTE APR 14 2014 DTD 04/21/2011	21685WCG0		06/29/11 08/13/13	25,000 000	25,060 17	24,933 15		127 02
ROYAL BK OF SCOTLAND PLC FLOATING RATE NOTE AUG 23 2013 DTD 08/24/2010	78010XAF8		07/06/11 08/23/13	105,000 000	105,000 00	107,100 00		-2,100 00
TELEFONICA EMISIONES SAU FLOATING RATE NOTE FEB 04 2013 DTD 07/02/2007 ISIN US87938WAE30	87938WAE3		06/30/11 02/04/13	80,000 000	80,000 00	78,779 20		00 1,220 80 O
US BANK NA FLOATING RATE NOTE OCT 14 2014 DTD 10/14/2004	90331HKQ5		Various 11/05/13	50,000.000	50,088 25	49,792 90		295 35
VERIZON COMMUNICATION FLOATING RATE NOTE MAR 28 2014 DTD 03/28/2011	92343VAZ7		09/13/11 02/21/13	40,000 000	40,254 08	40,122 56		131 52
VF CORP FLOATING RATE NOTE AUG 23 2013 DTD 08/24/2011	918204AU2		09/12/11 02/11/13	5,000 000	5,021 42	5,014 69		6 73
Total Long-Term Non Covered					**1,497,573.69**	**1,497,378.21**		**-2,777.42** **2,972.90 O**

ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
INTEREST INCOME		500,971.	1,075,800.
	TOTAL	500,971.	1,075,800.

ATTACHMENT 2

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
DIVIDEND		357,296.	663,123.
	TOTAL	357,296.	663,123.

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
JP MORGAN ORDINARY INCOME		2,973.
OAK TREE HIGH YIELD FUND		3,636.
OAK TREE SENIOR LOAN FUND		2,145.
TOTALS		8,754.

ATTACHMENT 4

FORM 990PF, PART I - LEGAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
LEGAL FEES	25,799.	12,900.		12,900.
TOTALS	25,799.	12,900.		12,900.

ATTACHMENT 5

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
AUDIT FEES	69,000.	34,500.		34,500.
TAX FEES	16,500.			16,500.
TOTALS	85,500.	34,500.		51,000.

ATTACHMENT 6

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
ADVISORY FEES		25,000.	12,500.	12,500.
MANAGEMENT FEES		59,054.	282,541.	29,527.
	TOTALS	84,054.	295,041.	42,027.

ATTACHMENT 7

FORM 990PF, PART I - TAXES

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
TAXES		81,594.	10,094.
	TOTALS	81,594.	10,094.

ATTACHMENT 8

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
OTHER EXPENSES	178,493.	143,796.	89,247.
TOTALS	178,493.	143,796.	89,247.

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS

ATTACHMENT 9

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
U.S GOV'T OBS. -SEE ATTACHED	1,500,400.	1,483,918.	1,483,918.
US OBLIGATIONS TOTAL	1,500,400.	1,483,918.	1,483,918.

The Charles Engelhard Foundation
Form 990-PF, Part II - U S and State Obligations
Beginning Fair Market Value

22-6063032

CUSIP	DESCRIPTION	Maturity Date	SHARES/PAR	Fair Market Value
U.S. and State Government Obligations				
912828QU7	US TREAS 0 625% 07/15/14	7/15/2014	30,000	30,184
912828LS7	US TREAS 2 375% 10/31/14	10/31/2014	120,000	124,622
912810DP0	US TREAS 11 25% 02/15/15	2/15/2015	220,000	270,875
912828KR0	US TREAS 2 625% 04/30/16	4/30/2016	80,000	85,794
912828FF2	US TREAS 5 125% 05/15/16	5/15/2016	180,000	208,125
912828QR4	US TREAS 1 5% 06/30/16	6/30/2016	30,000	31,090
912828LU2	US TREAS 3 125% 10/31/16	10/31/2016	145,000	159,352
912828GS3	US TREAS 4 5% 05/15/17	5/15/2017	175,000	204,313
912828PF1	US TREAS 1 875% 10/31/17	10/31/2017	100,000 00	105,586 00
912828PN4	US TREAS 2 75% 12/31/17	12/31/2017	255,000	280,459
Total - Beginning Fair Market Value				1,500,400

The Charles Engelhard Foundation
Form 990-PF, Part II - U S and State [illegible]gations
Ending Fair Market Value

22-6063032

CUSIP	DESCRIPTION	Maturity Date	SHARES/PAR	Fair Market Value
U.S. and State Government Obligations				
912828PN4	USA TREAS NOTES 2 750% 12/31/2017 DTD 12/31/2010	12/31/2017	255,000	269,423
912810DP0	U S A TREAS BONDS 11 250% 02/15/2015 DTD 02/15/198	2/15/2015	220,000	247,095
912828WD8	U S A NOTES 1 250% 10/31/2018 DTD 10/31/2013	10/31/2018	205,000	200,900
912828FF2	USA TREAS NOTES 5 125% 05/15/2016 DTD 05/15/2006	5/15/2016	180,000	199,463
912828GS3	USA TREAS NOTES 4 500% 05/15/2017 DTD 05/15/2007	5/15/2017	175,000	195,248
912828LU2	USA TREAS NOTES 3 125% 10/31/2016 DTD 11/02/2009	10/31/2016	145,000	154,698
912828PF1	USA TREAS NOTES 1 875% 10/31/2017 DTD 11/01/2010	10/31/2017	100,000	102,484
912828KR0	USA TREAS NOTES 2 625% 04/30/2016 DTD 04/30/2009	4/30/2016	80,000	83,918
912828QR4	USA TREAS NOTES 1 500% 06/30/2016 DTD 06/30/2011	6/30/2016	30,000 00	30,689 10
Total - Ending Fair Market Value				1,483,918

ATTACHMENT 10

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
ETON PARK OVERSEAS FUND, LTD	5,210,032.	6,281,060.	6,281,060.
TOTALS	5,210,032.	6,281,060.	6,281,060.

ATTACHMENT 11

FORM 990PF, PART II - CORPORATE BONDS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
COPORATE BONDS - SEE ATTACHED	21,523,986.	23,800,699.	23,800,699.
TOTALS	21,523,986.	23,800,699.	23,800,699.

The Charles Engelhard Foundation
Form 990-PF, Part II - Corporate Bonds
Beginning Fair Market Value

CUSIP	DESCRIPTION	SHARES/PAR	Fair Market Value
26817R116	DYNEGY INC/NEW	5	6
922042742	VANGUARD INTL EQUITY INDEX F	219,535	10,849,420
06417FBG4	BANK OF NOVA SCOTIA HOUS	45,000	45,050
68323TAB9	ONTARIO (PROVINCE OF) MTN	50,000	49,906
26442EAB6	DUKE ENERGY OHIO INC	8,000	8,060
3133THGW1	FREDDIE MAE	5,178	5,256
071813AZ2	BAXTER INTERNATIONAL INC	15,000	15,602
055451AG3	BHP BILLION FIN USA LTD	15,000	15,914
002799AH7	ABBEY NATL TREASURY SERV	10,000	10,000
91159HGR5	US BANCORP	15,000	15,770
857477AE3	STATE STREET CORP	10,000	10,552
00440EAG2	ACE INA HOLDINGS INC	15,000	16,136
3134A4UU6	FHLMC	120,000	128,737
65476BAC7	NISSAN AUTO RECEIVABLES OWNER TRUST	21,620	21,663
929903AJ1	WACHOVIA CORPORATION	30,000	31,932
060505AU8	BANK OF AMERICA CORPORATION	20,000	21,412
172967FA4	CITIGROUP INC	30,000	32,819
22541LAR4	CREDIT SUISSE FB USA INC	20,000	21,592
635405AQ6	NATIONAL CITY CORP	30,000	32,518
064149A64	BANK OF NOVA SCOTIA	6,000	6,350
89233P4B9	TOYOTA MOTOR CREDIT CORP	10,000	10,620
822582AQ5	SHELL INTERNATIONAL FIN	9,000	9,545
40429CCS9	HSBC FINANCE CORP	20,000	21,763
90327YAD4	USAA AUTO OWNER TRUST	13,229	13,335
31359MZC0	FNMA 4 375% 10/15/15	50,000	55,496
929903AR3	WACHOVIA CORPORATION	2,000	1,970
25244SAC5	DIAGO FINANCE BV	20,000	22,450
03076CAB2	AMERPRISE FINANCIAL INC	10,000	11,318
792860AH1	ST PAUL TRAVELERS	25,000	28,037
828807BP1	SIMON PROPERTY GROUP LP	15,000	17,091
38141GEE0	GOLDMAN SACHS GROUP INC	35,000	38,727
92343VAC8	VERIZON COMMUNICATIONS	15,000	17,085
983024AJ9	WYETH	15,000	17,151
05565QBQ0	BP CAPITAL MARKETS PLC	15,000	16,011
05531FAG8	BB&T CORPORATION	25,000	26 626
89152UAE2	TOTAL CAPITAL SA	10,000	10,490
949746QU8	WELLS FARGO & COMPANY	2,000	2 168
31359MS61	FNMA 5 375% 07/15/16	150,000	174,717
06051GEA3	BANK OF AMERICA CORP	10,000	11,580
084670BB3	BERKSHIRE HATHAWAY INC	7,000	7,306
428236BP7	HEWLETT PACKARD CO	15,000	15,126
929903CJ9	WACHOVIA CORP	1,000	978
36962GY40	GENERAL ELEC CAP CORP	50,000	57 420
88165FAC6	TEVA PHARMACEUT FIN BV	10,000	10,421
61747YDT9	MORGAN STANLEY	25,000	27,264
0258M0DD8	AMERICAN EXPRESS CREDIT	8,000	8,383
43813TAD5	HONDA AUTO RECEIVABLES OWNER TRUST	50,000	50,822
31390LV29	FNMA 649633 6 5% 08/01/17	26 519	28,655
31392V5U2	FEDERAL HOME LN MTG CORP MULTICLASS	30,430	32,005
09247XAC5	BLACKROCK INC	10,000	12,264
31392EFL9	FNMA 5 5% 09/25/17	8,022	8,414
629491AB7	NYSE EURONEXT	15,000	15 246
31392XBT4	FEDERAL HOME LN MTG CORP MULTICLASS	33,048	34,598
31371KWF4	FNMA 254546 5 5% 12/01/17	32,398	34,952
670346AG0	NUCOR CORPORATION	15,000	17,996
31283KSU3	FHLMC GOLD G11431 6% 02/01/18	34,547	36,695
36202DWA5	GNMA II	42,653	46,028
00206RAM4	AT&T INC	15,000	18,078
31393BR56	FNMA	63,799	68,482
31402CK35	FNMA 724914 5 5% 06/01/18	93,279	101,206
31404ADW1	FNMA 762517 5 5% 11/01/18	31,207	33,833
637432LR4	NATIONAL RURAL UTIL CORP	10,000	14 842
312963Q20	FHLMC GOLD B11373 5 5% 12/01/18	51,413	55,223
149123BQ3	CATERPILLAR INC	10,000	13,567
03523TBE7	ANHEUSER BUSCH INBEV WOR	15,000	20,016
31404DW61	FNMA 765769 5% 02/01/19	52,707	57,295
66989GAA8	NOVARTIS SECS INVEST LTD	15,000	17,864
767201AH9	RIO TINTO FIN USA LTD	8 000	10,878
31395CTG6	FHLMC REMIC 2828 CL JE	67 950	72,803
36290VXV1	GNMA 619092 5% 07/15/19	33,189	35,706
3128MMAG8	FHLMC GOLD G18006 5 5% 08/01/19	51,422	56,110
406216AX9	HALLIBURTON COMPANY	20,000	25,243
87236YAA6	TD AMERITRADE HOLDING CO	15,000	17,833
31394BG81	FNMA	85,000	90,216
3128M1PC7	FHLMC GOLD G12319 5% 06/01/21	48,701	52,716
3128M1Q85	FHLMC GOLD G12379 4 5% 06/01/21	41,779	44,511
3128M1MC0	FHLMC GOLD G12255 5 5% 07/01/21	55,765	61,054
312908DY9	FREDDIE MAC	57,807	65,746
31358U7D2	FNMA 1993-70 CL Z	61,303	67,688
31416BTW8	FNMA 995265 5 5% 01/01/24	55,903	60,277
78011DAC8	ROYAL BANK OF CANADA	4,000	4 009
02364WAN5	AMERICA MOVIL SAB DE CV	10,000	11,995
949746NY3	WELLS FARGO COMPANY	50,000	50 168
12572QAD7	CME GROUP INC	40,000	42,296
69373UAA5	PACCAR INC	40 000	42 876
055451AG3	BHP BILLION FIN USA LTD	40,000	42 437
002799AH7	ABBEY NATL TREASURY SERV	45,000	44,998
842587CE5	SOUTHERN CO	25 000	26,196
91159HGR5	US BANCORP	40,000	42 054
857477AE3	STATE STREET CORP	40,000	42,207

The Charles Engelhard Foundation
Form 990-PF, Part II - Corporate Bonds
Beginning Fair Market Value

22-6063032

929903AJ1	WACHOVIA CORPORATION	90,000	95,796
2515A0Q30	DEUTSCHE BANK AG LONDON	45,000	47,218
22541LAR4	CREDIT SUISSE FB USA INC	100,000	107,960
635405AQ6	NATIONAL CITY CORP	40,000	43,357
064149A64	BANK OF NOVA SCOTIA	40,000	42,333
03746AAC4	APACHE FINANCE CANADA	33,000	35,729
89233P4B9	TOYOTA MOTOR CREDIT CORP	45,000	47,789
40429CCS9	HSBC FINANCE CORP	42,000	45,702
21685WBL0	RABOBANK NEDERLAND	40,000	41,122
03076CAB2	AMERPRISE FINANCIAL INC	25,000	28,294
302570BC9	FPL GROUP CAPITAL INC	45,000	53,704
06406HBS7	BANK OF NEW YORK MELLON	40,000	41,879
983024AJ9	WYETH	45,000	51,454
17275RAC6	CISCO SYSTEMS	45,000	51,584
05531FAG8	BB&T CORPORATION	40,000	42,601
438516AP1	HONEYWELL INTERNATIONAL	40,000	45,844
89152UAE2	TOTAL CAPITAL SA	40,000	41,962
88165FAC6	TEVA PHARMACEUT FIN BV	20,000	20,841
92857WAP5	VODAFONE GROUP PLC	40,000	47,140
22160KAC9	COSTCO WHOLESALE CORP	35,000	41,284
61747YDT9	MORGAN STANLEY	120,000	130,865
0258M0DD8	AMERICAN EXPRESS CREDIT	8,000	8,383
00206RBF8	AT&T INC	61,000	61,992
26875PAA9	EOG RESOURCES INC	45 000	54,441
36962G3H5	GENERAL ELEC CAP CORP	220 000	259,453
629491AB7	NYSE EURONEXT	40,000	40 657
25243YAM1	DIAGEO CAPITAL PLC	45 000	54,322
172967EM9	CITIGROUP INC	105,000	125,032
670346AG0	NUCOR CORPORATION	40,000	47,990
26442CAC8	DUKE ENERGY CAROLINAS	40 000	47,751
00206RAJ1	AT&T INC	24,000	28 554
00440EAK3	ACE INA HOLDINGS	45,000	54,608
68389XAC9	ORACLE CORP	40,000	48,844
084664BE0	BERKSHIRE HATHAWAY FIN	45,000	54,107
278058DD1	EATON CORP	40,000	47 258
071813AY5	BAXTER INTERNATIONAL INC	45,000	54,277
263534BT5	E I DU PONT DE NEMOURS	45,000	55,783
494368AT0	KIMBERLY CLARK CORP	40,000	50,309
89352HAF6	TRANS-CANADA PIPELINES	45,000	56,567
637432LR4	NATIONAL RURAL UTIL CORP	45,000	66,789
713448BJ6	PEPSICO INC	11,000	14 868
03523TBE7	ANHEUSER BUSCH INBEV WOR	39,000	52,043
031162AZ3	AMGEN INC	45,000	54,324
20825CAR5	CONOCOPHILLIPS	40,000	49,172
913017BQ1	UNITED TECHNOLOGIES CORP	35,000	43,666
66989GAA8	NOVARTIS SECS INVEST LTD	40,000	47 638
14912L4E8	CATERPILLAR FINACIAL SE	40,000	52,384
38141EA25	GOLDMAN SACHS GROUP INC	130,000	163,415
828807CA3	SIMON PROPERTY GROUP LP	40 000	57,608
767201AH9	RIO TINTO FIN USA LTD	35,000	47,590
001055AC6	AFLAC INC	50,000	67,963
06051GDZ9	BANK OF AMERICA CORP	135,000	172,934
89417EAF6	TRAVELLERS COS INC	45,000	55,649
406216AX9	HALLIBURTON COMPANY	32,000	40,389
03523TBH0	ANHEUSER BUSCH INBEV WOR	16,000	20,915
961214BK8	WESTPAC BANKING CORP	36,000	41,872
87236YAA6	TD AMERITRADE HOLDING CO	40,000	47,554
09247XAE1	BLACKROCK INC	45,000	53,809
91324PBM3	UNITEDHEALTH GROUP INC	30,000	33,123
744448CD1	PUBLIC SERVICE COLORADO	5,000	5,424
428236BF9	HEWLETT PACKARD CO	10,000	9 732
911312AM8	UNITED PARCEL SERVICE	15,000	16,167
05565QBR8	BP CAPITAL MARKETS PLC	45,000	52,362
931142DD2	WAL MART STORES INC	40 000	46,711
235851AM4	DANAHER CORP	15,000	16,922
428236BQ5	HEWLETT PACKARD CO	50,000	49,162
458140AJ9	INTEL CORP	40,000	42,404
548661CV7	LOWE'S COMPANIES INC	35,000	38,624
91324PBT8	UNITEDHEALTH GROUP INC	10,000	10,619
404280AL3	HSBC HOLDINGS PLC	63,000	73,266
24422ERM3	JOHN DEERE CAPITAL CORP	20,000	20,392
00037BAB8	ABB FINANCE USA INC	45,000	46,210
74251VAH5	PRINCIPAL FINANCIAL GROU	19,000	18,858
78011DAC8	ROYAL BANK OF CANADA	18,000	18 041
87938WAE3	TELEFONICA EMISIONES SAU	80,000	79,922
225434AP4	CREDIT SUISSE USA INC	60,000	59,839
233331AP2	DTE ENERGY COMPANY	40,000	40,051
74913GAN5	QWEST CORP	80,000	80,846
63743HED0	NATIONAL RURAL UTIL COOP	7,000	6,990
249030AA5	DENTSPLY INTERNATIONAL	40,000	40,187
78010XAF8	ROYAL BK OF SCOTLAND PLC	105,000	106,085
918204AU2	VF CORP	5,000	5,014
664397AH9	NORTHEAST UTILITIES	20,000	20,073
74254PPF3	PRINCIPAL LIFE INC FDG	10,000	9,981
25152XMK3	DEUTSCHE BANK NY	80,000	79,986
05567LS57	BNP PARIBAS	40,000	39,984
40429CFV9	HSBC FINANCE CORP	100,000	99,449
03523TBC1	ANHEUSER-BUSCH INBEV WOR	60,000	60,087
26875PAJ0	EOG RESOURCES INC	80,000	80,705
478366AY3	JOHNSON CONTROLS INC	40,000	40,029
05565QBS6	BP CAPITAL MARKETS PLC	80,000	80,230
931422AF6	WALGREEN CO	3,000	3,004
816851AR0	SEMPRA ENERGY	80,000	80,280

The Charles Engelhard Foundation
Form 990-PF, Part II - Corporate Bonds
Beginning Fair Market Value

22-6063032

88166DAB2	TEVA PHARM FIN III	60,000	60,115
74834LAT7	QUEST DIAGNOSTIC INC	60,000	60,423
92343VAZ7	VERIZON COMMUNICATION	40,000	40,230
21685WCG0	RABOBANK NEDERLAND	120,000	119,687
002799AH7	ABBEY NATL TREASURY SERV	100,000	99,996
05531FAJ2	BB&T CORPORATION	26,000	26,140
370334BK9	GENERALS MILLS INC	20,000	20,029
984121CC5	XEROX CORPORATION	80,000	79,806
428236BJ1	HEWLETT PACKARD CO	60,000	58,860
13342BAG0	CAMERON INTL CORP	40,000	40,181
69371RK70	PACCAR FINANCIAL CORP	60,000	60,087
0258M0DB2	AMER EXPRESS CREDIT CO	100,000	100,760
14040HAW5	CAPITAL ONE FINANCIAL CO	80,000	80,681
90331HKQ5	US BANK NA	50,000	49,903
064159AN6	BANK OF NOVA SCOTIA	40,000	40,622
86787GAF9	SUNTRUST BANK	80,000	77,997
961214BX0	WESTPAC BANKING CORP	120,000	120,563
929903AR3	WACHOVIA CORPORATION	120,000	118,198
36962GU51	GENERAL ELEC CAP CORP	9,000	8,866
14041NCS8	CAPITAL ONE MULTI ASSET EXECITION	100,000	100,004
38141GEG5	GOLDMAN SACHS GROUP INC	155,000	149,852
05522AAB1	BANK OF AMERICA CREDIT CARD TRUST	75,000	74,942
36962G2V5	GENERAL ELEC CAP CORP	240,000	235,572
060505CR3	BANK OF MAERICA CORP	110,000	105,464
316773CG3	FIFTH THIRD BANCORP	25,000	24,200
36962G2F0	GENERAL ELEC CAP CORP	11,000	10,718
172967ET4	CITIGROUP INC	120,000	119,549
313920ZH6	FNMA SER 2001-46 CL F FLOATING RATE NOTE	55,699	55,784
31392AVD7	FNMA SER 200- 63 CL FB FLOATING RATE	27,238	27,528
31392BXH4	FNMA SER 2002-4 CL FD FLOATING RATE NOTE	27,893	28,073
31392KYV2	FHLMC SER 2448 CL FT FLOATING RATE NOTE	33,155	33,993
31392KYW0	FHLMC SER 2448 CL FV FLOATING RATE NOTE	33,155	33,993
31392CQ31	FNMA SER 2002-34 CL FE FLOATING RATE NOTE	19,969	20,000
31394YX82	FHLMC SER 2817 CL FA FLOATING RATE NOTE	8,840	8 846
31393UDS9	FNMA SER 2003-119 CL FH 0 93FLOATING RATE NOTE	34 726	34,852
31404XEC4	FNMA 781431 2 235% 09/01/34	53,766	56,813
31406N6M1	FNMA 815476 2 236% 04/01/35	60,854	63,598
31394DAA8	FNMA SER 2005-25 CL PF FLOATING RATE NOTE	61 323	61,267
31394EKS6	FNMA SER 2005-66 CL PF FLOATING RATE NOTE	47,302	47,296
31410GHC0	FNMA 888627 2 339% 09/01/35	42,772	45,434
31394ULS9	FNMA SER 2005-103 CL FP FLOATING RATE	40,351	40,250
31396RPG6	FHLMC SER 3153 CL FX FLOATING RATE NOTE	51,388	51,543
31396LLP3	FNMA SER 2006-104 CL FC FLOATING RATE	55,240	55,088
31397KE31	FHLMC SER 3360 CL FC FLOATING RATE NOTE	54,330	55 037
85748DAA7	STATE STREET CAP TR IV	100,000	77,942
3136A0ZP5	FNMA 2011-87 CL VAR RT 09/25/2041	27,033	27 216
Total - Beginning Fair Market Value			21,523,986

The Charles Engelhard Foundation
Form 990-PF, Part II - Corporate Bonds
Ending Fair Market Value

22-6063032

CUSIP	DESCRIPTION	SHARES/PAR	Fair Market Value
922042742	VANGUARD INTL EQUITY INDEX F TT WRLD ST ETF	219,535 00	13,040,379 00
31359MS61	FNMA 5 375% 07/15/2016 DTD 06/15/2006	150,000 00	167,820 00
3137EADP1	FHLMC 0 875% 03/07/2018 DTD 01/17/2013	125,000 00	121,747 50
3128M1S34	FHLMC GOLD POOL G12438 5 500% 12/01/2021 DTD 11/01/2006	85,284 36	90,705 89
31394BG81	FNMA SER 2004-101 CL HD 01/25/2020 DTD 12/01/2004	75,858 96	80,784 48
31282CMP9	FHLMC GOLD POOL M30366 5 000% 11/01/2022 DTD 12/01/2007	72,638 81	77,618 93
3128MBXC6	FHLMC GOLD POOL G13175 5 500% 05/01/2023 DTD 05/01/2008	69,290 26	73,938 94
3128MBRZ2	FHLMC GOLD POOL G13004 5 000% 03/01/2023 DTD 02/01/2008	65,485 32	69,817 83
31402CK35	FNMA POOL 724914 5 500% 06/01/2018 DTD 06/01/2003	57,380 17	61,103 57
31371KU8	FNMA POOL 254229 6 500% 02/01/2022 DTD 01/01/2002	51,567 93	57,491 54
36962GY40	GENERAL ELEC CAP CORP SR NOTES 5 3/8% OCT 20 2016 DTD 10/20/2006	50,000 00	55,756 00
31359MZC0	FNMA 4 375% 10/15/2015 DTD 09/12/2005	50,000 00	53,518 50
312908DY9	FREDDIE MAC SER 1186 CL I 7% DEC 15 2021 DTD 12/01/1991	46,025 38	53,280 36
31358U7D2	FNMA 1993-70 CL Z 6 900% 05/25/2023 DTD 05/28/1993	45,161 30	51,742 66
31414CP44	FNMA POOL 962243 5 000% 03/01/2023 DTD 02/01/2008	47,655 90	50,860 76
31395CTG6	FHLMC REMIC 2828 CL JE 4 50% 07/15/2019 06/22/2004	44,008 97	46,744 57
31393BR56	FNMA SER 2003-35 CL ME 5% MAY 25 2018 DTD 04/01/2003	41,499 72	44,171 89
43813TAD5	HONDA AUTO RECEIVABLES OWNER TRUST SER 2011-1 CL A4 1 8% APR 17 2017 DTD 02/24/2011	41,623 06	41,908 18
31404DW61	FNMA 5 00% FEB 01 2019 DTD 03/01/2004 POOL 765769	36,687 14	39,161 69
31416BTW8	FANNIE MAE 5 5% JAN 01 2024 DTD 12/01/2008 POOL NO 995265	36,052 58	38,959 86
38141GEE0	GOLDMAN SACHS GROUP INC SR NOTES 5 35% JAN 15 2016 DTD 1/17/2006	35,000 00	37,905 70
3128M1MC0	FHLMC GOLD PARTIC CTF 5 5% JUL 01 2021 DTD 07/01/2006 POOL NO G12255	35,184 93	37,418 47
3128MMAG8	FREDDIE MAC GOLD PARTIC CTF 5 5% AUG 01 2019 DTD 08/01/2004 POOL NO G18006	33,351 28	35,456 74
3128M1PC7	FHLMC GOLD PARTIC CTF 5% JUN 01 2021 DTD 08/01/2006 POOL NO G12319	32,719 40	34,885 42
172967EM9	CITIGROUP INC NOTES 6 1/8% NOV 21 2017 DTD 11/21/2007	30,000 00	34,561 80
36202DWA5	GNMA II 5 5% FEB 20 2018 DTD 02/01/2003 POOL NO 3341	31,271 20	33,335 41
312963Q20	FREDDIE MAC GOLD PARTIC CTF 5 5% DEC 01 2018 DTD 12/01/2003 POOL NO B11373	29,706 73	31,577 37
635405AQ6	NATIONAL CITY CORP 4 9% JAN 15 2015 DTD 01/12/2005	30,000 00	31,314 90
929903AJ1	WACHOVIA CORPORATION SUB NOTES 5 1/4% AUG 1 2014 DTD 7/22/2004	30,000 00	30,846 00
36290VXV1	GNMA 5% JUL 15 2019 DTD 07/01/2004 POOL NO 619092	27,614 08	29,721 03
3128M1Q85	FEDERAL HOME LOAN MORTGAGE CORP GOLD PARTIC CTF 4 50% JUN 1 2021 DTD 9/1/2006 POOL NO G12379	26,481 23	28,329 62
61747YDT9	MORGAN STANLEY 4 3/4% MAR 22 2017 DTD 03/22/2012	25,000 00	27,335 00
792860AH1	ST PAUL TRAVELERS INC 5 500% 12/01/2015 DTD 11/28/2005	25,000 00	27,243 50
05531FAG8	BB&T CORPORATION MTN 3 2% MAR 15 2016 DTD 03/07/2011	25,000 00	26,171 00
406216AX9	HALLIBURTON COMPANY NOTES 6 15% SEP 15 2019 DTD 3/13/2009	20,000 00	23,754 60
31404ADW1	FANNIE MAE 5 5% NOV 01 2018 DTD 12/01/2003 POOL NO 762517	22,107 03	23,563 88
31371KWF4	FANNIE MAE 5 5% DEC 01 2017 DTD 11/01/2002 POOL NO 254546	20,633 21	22,034 62
31392XBT4	FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2513 CL 2513-JE 5 00% DUE 10/15/2017	20,981 44	21,956 87
31283KSU3	FREDDIE MAC GOLD PARTIC CTF 6% FEB 1 2018 DTD 7/1/2003 POOL NO G11431	20,831 90	21,918 70
25244SAC5	DIAGO FINANCE BV 5 3% OCT 28 2015 DTD 10/28/2005	20,000 00	21,675 40
40429CCS9	HSBC FINANCE CORP 5 000% 06/30/2015 DTD 6/27/2005	20,000 00	21,203 60
31390LV29	FANNIE MAE 6 5% AUG 01 2017 DTD 07/01/2002 POOL NO 649633	19,793 85	21,077 68
22541LAR4	CREDIT SUISSE FB USA INC NOTES 4 7/8% JAN 15 2015 DTD 12/15/2004	20,000 00	20,908 00
31392V5U2	FEDERAL HOME LN MTG CORP MULTICLASS MTG PARTN CTFS GTD SER 2498 CL PE 5 50% DUE 09/15/2017	18,396 33	19,303 82
03523TBE7	ANHEUSER BUSCH INBEV WOR 7 3/4% JAN 15 2019 DTD 01/15/2011	15,000 00	18,732 45
06051GDZ9	BANK OF AMERICA CORP SR NOTES 7 5/8% JUN 01 2019 DTD 06/02/2009	15,000 00	18,589 80
20030NAZ4	COMCAST CORP NEW NT 5 70% JUN 01 2019 DTD 06/18/2009	15,000 00	17,319 90
87236YAA6	TD AMERITRADE HOLDING CO 5 6% DEC 01 2019 DTD 11/25/2009	15,000 00	17,258 40
00206RAM4	AT&T INC 5 6% MAY 15 2018 DTD 05/13/2008	15,000 00	17,088 90
670346AG0	NUCOR CORPORATION NOTES 5 3/4% DEC 01 2017 DTD 12/03/2007	15,000 00	17,001 00
66989GAA8	NOVARTIS SECS INVEST LTD 5 1/8% FEB 10 2019 DTD 02/10/2009	15,000 00	17,001 00
74432QBM6	PRUDENTIAL FINANCIAL INC 5 3/8% JUN 21 2020 DTD 06/21/2010	15,000 00	16,866 30
92343VAC8	VERIZON COMMUNICATIONS 5 55% FEB 15 2016 DTD 2/15/2006	15,000 00	16,391 40
828807BP1	SIMON PROPERTY GROUP LP 5 3/4% DEC 01 2015 DTD 11/15/2005	15,000 00	16,258 20
539830AT6	LOCKHEED MARTIN CORP SR NOTES 4 1/4% NOV 15 2019 DTD 11/18/2009	15,000 00	16,178 70
05565QBQ0	BP CAPITAL MARKETS PLC 3 2% MAR 11 2016 DTD 03/11/2011	15,000 00	15,742 05
91159HGR5	US BANCORP SR NOTES 4 2% MAY 15 2014 DTD 05/14/2009	15,000 00	15,221 85
629491AB7	NYSE EURONEXT 2% OCT 05 2017 DTD 10/05/2012	15,000 00	14,972 70
983024AM2	WYETH 5 45% APR 01 2017 DTD 03/27/2007	13,000 00	14,606 28
857477AK9	STATE STREET CORP SR NOTES 1 350% 05/15/2018 DTD 05/15/2013	15,000 00	14,599 50
637432LR4	NATIONAL RURAL UTIL CORP 10 3/8% NOV 01 2018 DTD 10/30/2008	10,000 00	13,489 50
149123BQ3	CATERPILLAR INC NOTES 7 9% DEC 15 2018 DTD 12/05/2008	10,000 00	12,588 50
59156RAT5	METLIFE INC NOTES 7 717% FEB 15 2019 DTD 02/15/2009	10,000 00	12,418 30
89352668Y2	TRANS - CANADA PIPELINES 7 1/8% JAN 15 2019 DTD 01/09/2009	10,000 00	12,104 00
09247XAC5	BLACKROCK INC 6 1/4% SEP 15 2017 DTD 09/17/2007	10,000 00	11,612 50
02364WAN5	AMERICA MOVIL SAB DE CV 5 5/8% NOV 15 2017 DTD 10/30/2007	10,000 00	11,309 00
06051GEA3	BANK OF AMERICA CORP SR NOTES 6 1/2% AUG 01 2016 DTD 07/28/2009	10,000 00	11,293 50
002799AJ3	ABBEY NATL TREASURY SERV 4% APR 27 2016 DTD 04/27/2011	10,000 00	10,611 50
89233P4B9	TOYOTA MOTOR CREDIT CORP MEDIUM TERM NOTES 3 2% JUN 17 2015 DTD 06/17/2010	10,000 00	10,432 30
767201AH9	RIO TINTO FIN USA LTD 9% MAY 01 2019 DTD 04/17/2009	8,000 00	10,336 32
89152UAE2	TOTAL CAPITAL SA 2 3% MAR 15 2016 DTD 09/15/2010	10,000 00	10,312 00
88165FAC6	TEVA PHARMACEUT FIN BV 2 4% 11/10/2016 DTD 11/10/2011	10,000 00	10,293 60
822582AQ5	SHELL INTERNATIONAL FIN 3 1% JUN 28 2015 DTD 06/28/2010	9,000 00	9,347 94
0258M0DD8	AMERICAN EXPRESS CREDIT MTN 2 3/8% MAR 24 2017 DTD 03/26/2012	8,000 00	8,217 52
084670BB3	BERKSHIRE HATHAWAY INC 2 2% AUG 15 2016 DTD 08/15/2011	7,000 00	7,250 32
05574LPT9	BNP PARIBAS MTN 2 700% 08/20/2018 DTD 08/20/2013	7,000 00	7,094 64
74251VAD4	PRINCIPAL FINL GROUP INC GTD SR NT 8 7/8% MAY 15 2019 DTD 05/21/2009	5,000 00	6,405 75
06406HCP2	BANK OF NEW YORK MELLON MTN 2 100% 01/15/2019 DTD 11/18/2013	6,000 00	5,954 46
064159BE5	BANK OF NOVA SCOTIA 1 375% 12/18/2017 DTD 12/18/2012	6,000 00	5,893 74
25152CMN3	DEUTSCHE BANK AG LONDON 6% SEP 01 2017 DTD 08/29/2007	5,000 00	5,705 95
03076CAB2	AMERPRISE FINANCIAL INC 5 65% 11/15/2015 DTD 11/23/2005	5,000 00	5,448 40
05565QCC0	BP CAPITAL MARKETS PLC 1 375% 11/06/2017 DTD 11/06/2012	5,000 00	4,960 00
31392EFL9	FANNIE MAE SER 2002-55 CL GC 5 5% SEP 25 2017 DTD 08/01/2002	4,638 47	4,868 07
055451AH1	BHP BILLITON FIN USA LTD 6 1/2% APR 01 2019 DTD 03/25/2009	4,000 00	4,785 00
78011DAC8	ROYAL BANK OF CANADA 1 2% SEP 19 2017 DTD 09/19/2012	4,000 00	3,978 48
00206RCA8	AT&T INC 2 375% 11/27/2018 DTD 11/27/2013	3,000 00	3,003 42
949746QU8	WELLS FARGO & COMPANY 3 676% JUN 15 2016 DTD 09/15/2010 STEP CPN	2,000 00	2,131 66
929903AR3	WACHOVIA CORPORATION FLOATING RATE NOTE OCT 28 2015 DTD 10/28/2005	2,000 00	1,992 64
929903CJ9	WACHOVIA CORP FLOATING RATE NOTE OCT 15 2016 DTD 10/23/2006	1,000 00	992 14
36962G2V5	GENERAL ELEC CAP CORP MEDIUM TERM FLOATING RATE NOTE MAY 11 2016 DTD 05/11/2007	240,000 00	239,188 80
172967ET4	CITIGROUP INC FLOATING RATE NOTE MAY 15 2018 DTD 05/13/2008	195,000 00	202,587 45

The Charles Engelhard Foundation
Form 990-PF Part II Corporate Bonds
Ending Fair Market Value

22-6063032

61746BDH6	MORGAN STANLEY VAR RT 02/25/2016 DTD 02/25/2013	120,000 00	121,281 60
961214CB7	WESTPAC BANKING CORP VAR RT 07/30/2018 DTD 07/30/2013	120,000 00	121,213 20
929903AR3	WACHOVIA CORPORATION FLOATING RATE NOTE OCT 28 2015 DTD 10/28/2005	120,000 00	119,558 40
38141GEG5	GOLDMAN SACHS GROUP INC FLOATING RATE NOTE MAR 22 2016 DTD 3/22/2006	115,000 00	114,517 00
060505CR3	BANK OF AMERICA FLOATING RATE NOTE OCT 14 2016 DTD 10/26/2006	110,000 00	108,479 80
40429CFV9	HSBC FINANCE CORP FLOATING RATE NOTE JAN 15 2014 DTD 11/21/2006	100,000 00	100,009 00
31359KWV5	FNMA 1996-46 CL FE VAR RT 07/25/2023 DTD 10/25/1996	94,583 81	96,348 74
025816BH1	AMERICAN EXPRESS CO VAR RT 05/22/2018 DTD 05/22/2013	85,000 00	84,880 15
31339UH4	FHLMC 2396 CL FN VAR RT 12/15/2031 DTD 12/15/2001	83,175 26	84,225 76
14040HAW5	CAPITAL ONE FINANCIAL CO FLOATING RATE NOTE JUL 15 2014 DTD 07/19/2011	80,000 00	80,329 60
984121CC5	XEROX CORPORATION VAR RT 05/16/2014 DTD 05/18/2011	80,000 00	80,280 80
816851AR0	SEMPRA ENERGY FLOATING RATE NOTE MAR 15 2014 DTD 03/22/2011	80,000 00	80,167 20
26875PAJ0	EOG RESOURCES INC FLOATING RATE NOTE FEB 03 2014 DTD 11/23/2010	80,000 00	80,124 80
86787GAF9	SUNTRUST BANK FLOATING RATE NOTE APR 01 2015 DTD 03/24/2005	80,000 00	79,320 00
3837H23U1	GNMA 1999-37 CL FJ VAR RT 10/16/2029 DTD 10/16/1999	77,361 60	77,923 25
85748DAA7	STATE STREET CAP TR IV FLOATING RATE NOTE JUN 15 2037 DTD 04/30/2007	100,000 00	77,097 00
06366RMT9	BANK OF MONTREAL MTN VAR RT 04/09/2018 DTD 04/09/2013	70,000 00	70,305 20
037833AG5	APPLE INC VAR RT 05/03/2018 DTD 05/03/2013	69,000 00	68,786 79
05565QCF3	BP CAPITAL MARKETS PLC VAR RT 05/10/2018 DTD 05/10/2013	68,000 00	67,901 40
89153VAH2	TOTAL CAPITAL INTL SA VAR RT 08/10/2018 DTD 08/12/2013	64,000 00	64,307 84
00206RCB6	AT&T INC VAR RT 11/27/2018 DTD 11/27/2013	60,000 00	60,436 80
74834LAT7	QUEST DIAGNOSTIC INC FLOATING RATE NOTE MAR 24 2014 DTD 03/24/2011	60,000 00	60,145 80
88166DAB2	TEVA PHARM FIN III FLOATING RATE NOTE MAR 21 2014 DTD 03/21/2011	60,000 00	60,085 20
63743HEG3	NATIONAL RURAL UTIL COOP MTN VAR RT 05/27/2016 DTD 05/29/2013	60,000 00	60,030 60
428236BJ1	HEWLETT PACKARD CO FLOATING RATE NOTE MAY 30 2014 DTD 05/31/2011	60,000 00	59,922 60
92343VBL7	VERIZON COMMUNICATIONS VAR RT 09/15/2016 DTD 09/18/2013	55,000 00	56,727 55
05574LTV0	BNP PARIBAS MTN VAR RT 12/12/2016 DTD 12/12/2013	55,000 00	55,066 00
21685WCG0	RABOBANK NEDERLAND MTN FLOATING RATE NOTE APR 14 2014 DTD 04/21/2011	55,000 00	54,982 40
31394DAA8	FNMA SER 2005-25 CL PF FLOATING RATE NOTE APR 25 2035 DTD 03/25/2005	51,419 93	51,311 43
002799AH7	ABBEY NATL TREASURY SERV FLOATING RATE APR 25 2014 DTD 04/27/2011	50,000 00	50,185 00
91159HHF0	US BANCORP MTN VAR RT 11/15/2018 DTD 11/07/2013	50,000 00	50,131 50
68323TAB9	ONTARIO (PROVINCE OF) MTN VAR RT 11/23/2017 DTD 11/23/2012	50,000 00	50,056 00
31406N6M1	FNMA POOL NO 815476 VAR RT 04/01/2035 DTD 03/01/2005	46,133 57	47,988 14
05531FAP8	BB&T CORPORATION MTN VAR RT 06/15/2018 DTD 06/19/2013	46,000 00	46,490 82
38141EB81	GOLDMAN SACHS GROUP INC MTN VAR RT 11/29/2023 DTD 11/29/2013	45,000 00	45,720 90
313920ZH6	FNMA SER 2001-46 CL F FLOATING RATE NOTE SEP 18 2031 DTD 08/18/2001	45,132 11	45,240 43
06417FBG4	BANK OF NOVA SCOTIA HOUS CERT OF DEPOSIT FLOATING RATE SEP 11 2015 DTD 09/11/2012	45,000 00	45,190 35
31404XEC4	FEDL NATL MTG ASSN POOL #781431 4 298% 09/01/2034	42,068 59	44,045 81
31396LLP3	FNMA SER 2006 104 CL FC FLOATING RATE NOV 25 2036 DTD 10/25/2006	41,755 45	41,600 95
31397KE31	FHLMC SER 3360 CL FC FLOATING RATE NOTE MAY 15 2037 DTD 08/15/2007	40,104 00	40,552 36
064159AN6	BANK OF NOVA SCOTIA FLOATING RATE JAN 12 2015 DTD 01/12/2012	40,000 00	40,426 80
13342BAG0	CAMERON INTL CORP FLOATING RATE NOTE JUN 02 2014 DTD 06/02/2011	40,000 00	40,106 40
478366AY3	JOHNSON CONTROLS INC FLOATING RATE FEB 04 2014 DTD 02/04/2011	40,000 00	40,021 60
92857WBB5	VODAFONE GROUP PLC VAR RT 02/19/2016 DTD 02/19/2013	40,000 00	39,970 80
85771PAM4	STATOIL ASA VAR RT 05/15/2018 DTD 05/15/2013	40,000 00	39,951 20
31397N7F6	FNMA 2009-56 CL AF VAR RT 07/25/2049 DTD 06/25/2009	38,635 90	39,271 07
31396RPG6	FHLMC SER 3153 CL FX FLOATING RATE NOTE MAY 15 2036 DTD 05/15/2006	36,506 01	36,544 71
89233P7H3	TOYOTA MOTOR CREDIT CORP VAR RT 01/23/2015 DTD 01/23/2013	35,000 00	35,018 20
316773CG3	FIFTH THIRD BANCORP VAR RAT 12/20/2016 DTD 12/20/2006	35,000 00	34,594 00
31410GHC0	FNMA 3 248% SEP 01 2035 DTD 07/01/2007 POOL NO 888627	31,574 84	33,220 20
74432QBX2	PRUDENTIAL FINANCIAL INC MTN VAR RT 08/15/2018 DTD 08/15/2013	31,000 00	31,077 81
31394EKS6	FNMA SER 2005-66 CL PF FLOATING RATE NOTE JUL 25 2035 DTD 06/25/2005	30,372 11	30,262 47
71647NAD1	PETROBRAS GLOBAL FINANCE VAR RT 05/20/2016 DTD 05/20/2013	30,000 00	29,769 90
31394ULS9	FNMA SER 2005 103 CL FP FLOATING RATE NOTE SER OCT 25 2035 DTD 10/25/2005	29,667 57	29,585 39
38141GVK7	GOLDMAN SACHS GROUP INC VAR RT 04/30/2018 DTD 04/30/2013	25,000 00	25,248 00
89114QAH1	TORONTO DOMINION BANK MTN VAR RT 04/30/2018 DTD 04/30/2013	25,000 00	25,090 75
31392KYV2	FHLMC SER 2448 CL FT FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	23,150 44	23,582 66
31392KYW0	FHLMC SER 2448 CL FV FLOATING RATE NOTE MAR 15 2032 DTD 05/15/2002	23,150 44	23,582 66
31393UDS9	FNMA SER 2003-119 CL FH FLOATING RATE NOTE DEC 25 2033 DTD 11/25/2003	21,755 96	21,858 64
3136A0ZP5	FNMA 2011-87 CL VAR RT 09/25/2041 DTD 08/25/2011	21,469 76	21,568 74
58933YAH8	MERCK & CO INC VAR RT 05/18/2018 DTD 05/20/2013	20,000 00	20,029 20
370334BK9	GENERALS MILLS INC FLOATING RATE NOTE MAY 16 2014 DTD 05/16/2011	20,000 00	20,016 80
370334BQ6	GENERAL MILLS INC VAR RT 01/29/2016 DTD 01/31/2013	20,000 00	20,011 00
31392BXH4	FNMA SER 2002-4 CL FD FLOATING RATE NOTE FEB 25 2032 DTD 01/25/2002	19,555 35	19,703 78
31392AVD7	FNMA SER 200- 63 CL FB FLOATING RATE DEC 18 2031 DTD 11/18/2001	18,672 33	18,873 99
31392CQ31	FNMA SER 2002 34 CL FE FLOATING RATE NOTE MAY 18 2032 DTD 04/18/2002	16,088 10	16,126 71
71654QBK7	PETROLEOS MEXICANOS VAR RT 07/18/2018 DTD 08/29/2013	15,000 00	15,430 50
713448CF3	PEPSICO INC SR NOTES VAR RT 02/26/2016 DTD 02/28/2013	10,000 00	10,011 10
67021CAH0	NSTAR ELECTRIC CO VAR RT 05/17/2016 DTD 05/17/2013	10,000 00	9,985 30
71647NAE9	PETROBRAS GLOBAL FINANCE VAR RT 01/15/2019 DTD 05/20/2013	10,000 00	9,773 10
36962GU51	GENERAL ELEC CAP CORP FLOATING RATE NOTE JAN 8 2016 DTD 01/09/2006	9,000 00	8,971 83
06051GEY1	BANK OF AMERICA CORP VAR RT 01/15/2019 DTD 10/22/2013	5,000 00	5,031 50
68389XAR6	ORACLE CORP VAR RT 01/15/2019 DTD 07/16/2013	5,000 00	5,023 55
25179MAR4	DEVON ENERGY CORPORATION VAR RT 12/15/2016 DTD 12/19/2013	5,000 00	5,005 85
89236TAS4	TOYOTA MOTOR CREDIT CORP MTN VAR RT 09/18/2015 DTD 09/20/2013	5,000 00	5,001 85
931422AF6	WALGREEN CO FLOATING RATE MAR 13 2014 DTD 09/13/2012	3,000 00	3,003 39
842587CE5	SOUTHERN CO 4 15% MAY 15 2014 DTD 05/19/2009	25,000 00	25,293 75
12572QAD7	CME GROUP INC 5 3/4% FEB 15 2014 DTD 02/09/2009	40,000 00	40,258 80
929903AJ1	WACHOVIA CORPORATION SUB NOTES 5 1/4% AUG 1 2014 DTD 7/22/2004	90,000 00	92,538 00
670346AG0	NUCOR CORPORATION NOTES 5 3/4% DEC 01 2017 DTD 12/03/2007	40,000 00	45,336 00
084664BE0	BERKSHIRE HATHAWAY FIN 5 4% MAY 15 2018 DTD 11/15/2008	45,000 00	51,703 65
278058DD1	EATON CORP NOTES 5 6% MAY 15 2018 DTD 05/20/2008	40,000 00	45,036 80
25243YAM1	DIAGEO CAPITAL PLC NOTES 5 3/4% OCT 23 2017 DTD 10/26/2007	45,000 00	51,432 75
26442CAC8	DUKE ENERGY CAROLINAS 5 1/4% JAN 15 2018 DTD 01/10/2008	40,000 00	45,006 40
172967EM9	CITIGROUP INC NOTES 6 1/8% NOV 21 2017 DTD 11/21/2007	125,000 00	144,007 50
22160KAC9	COSTCO WHOLESALE CORP SR NOTES 5 1/2% MAR 15 2017 DTD 2/20/2007	35,000 00	39,321 45
629491AB7	NYSE EURONEXT 2% OCT 05 2017 DTD 10/05/2012	40,000 00	39,927 20
00206RBF8	AT&T INC 1 7% JUN 01 2017 DTD 06/14/2012	61,000 00	61,323 91
406216AX9	HALLIBURTON COMPANY NOTES 6 15% SEP 15 2019 DTD 3/13/2009	32,000 00	38,007 36
983024AM2	WYETH 5 45% APR 01 2017 DTD 03/27/2007	18,000 00	20,224 08
049560AJ4	ATOMS ENERGY CORP 8 1/2% MAR 15 2019 DTD 03/26/2009	13,000 00	16,610 62
92857WAP5	VODAFONE GROUP PLC 5 5/8% FEB 27 2017 DTD 02/27/2007	40,000 00	44,885 60
635405AQ6	NATIONAL CITY CORP 4 9% JAN 15 2015 DTD 01/12/2005	40,000 00	41,753 20
00206RAJ1	AT&T INC 5 1/2% FEB 01 2018 DTD 02/01/2008	24,000 00	27,038 40

The Charles Engelhard Foundation
Form 990-PF, Part II Corporate Bonds
Ending Fair Market Value

22-6063032

36962G3H5	GENERAL ELEC CAP CORP MEDIUM TERM NOTES 5 5/8% SEP 15 2017 DTD 09/24/2007	220,000 00	249,711 00
263534BT5	E I DU PONT DE NEMOURS SR NOTES 6% JUL 15 2018 DTD 07/28/2008	45,000 00	52,330 95
20030NAR2	COMCAST CORP 5 7/8% FEB 15 2018 DTD 11/17/2006	20,000 00	23,027 60
17275RAC6	CISCO SYSTEMS NOTES 5 1/2% FEB 22 2016 DTD 2/22/2006	45,000 00	49,507 65
828807CA3	SIMON PROPERTY GROUP LP SR NOTES 10 35% APR 01 2019 DTD 03/25/2009	45,000 00	61,379 55
857477AL7	STATE STREET CORP 3 100% 05/15/2023 DTD 05/15/2013	12,000 00	11,135 52
73755LAH0	POTASH CORP-SASKATCHEWAN 4 875% MAR 30 2020 DTD 09/28/2009	20,000 00	21,495 80
674599BY0	OCCIDENTAL PETROLEUM COR 4 1% FEB 01 2021 DTD 12/16/2010	20,000 00	20,996 40
911312AM8	UNITED PARCEL SERVICE 3 1/8% JAN 15 2021 DTD 11/12/2010	15,000 00	15,042 30
91324PBM3	UNITEDHEALTH GROUP INC NOTES 3 7/8% OCT 15 2020 DTD 10/25/2010	30,000 00	31,439 40
05574LTX6	BNP PARIBAS MTN 2 400% 12/12/2018 DTD 12/12/2013	10,000 00	10,004 60
06406HCP2	BANK OF NEW YORK MELLON MTN 2 100% 01/15/2019 DTD 11/18/2013	6,000 00	5,954 46
91324PBT8	UNITEDHEALTH GROUP INC 3 3/8% NOV 15 2021 DTD 11/10/2011	10,000 00	9,826 40
88165FAC6	TEVA PHARMACEUT FIN BV 2 4% 11/10/2016 DTD 11/10/2011	20,000 00	20,587 20
85771PAP7	STATOIL ASA 2 900% 11/08/2020 DTD 11/08/2013	4,000 00	3,967 92
00206RCA8	AT&T INC 2 375% 11/27/2018 DTD 11/27/2013	6,000 00	6,006 84
94974BFJ4	WELLS FARGO & COMPANY 3 450% 02/13/2023 DTD 02/13/2013	55,000 00	51,620 80
010392FK9	ALABAMA POWER CO 3 550% 12/01/2023 DTD 12/06/2013	4,000 00	3,973 44
694308HE0	PACIFIC GAS & ELECTRIC 3 850% 11/15/2023 DTD 11/12/2013	10,000 00	9,934 70
548661CV7	LOWE'S COMPANIES INC 3 8% NOV 15 2021 DTD 11/23/2011	35,000 00	35,979 65
808513AG0	CHARLES SCHWAB CORP 3 225% 09/01/2022 DTD 08/27/2012	5,000 00	4,814 25
594918AT1	MICROSOFT CORP 2 375% 05/01/2023 DTD 05/02/2013	3,000 00	2,706 27
29364DAR1	ENTERGY ARKANSAS INC 3 050% 06/01/2023 DTD 05/30/2013	21,000 00	19,714 59
404280AL3	HSBC HOLDINGS PLC 4 875% JAN 14 2022 DTD 11/17/2011	63,000 00	68,014 80
002799AL8	ABBEY NATL TREASURY SERV 3 050% 08/23/2018 DTD 08/23/2013	40,000 00	41,242 80
38141EA25	GOLDMAN SACHS GROUP INC SR NOTES 7 1/2% FEB 15 2019 DTD 02/05/2009	130,000 00	158,351 70
767201AH9	RIO TINTO FIN USA LTD 9% MAY 01 2019 DTD 04/17/2009	35,000 00	45,221 40
001055AC6	AFLAC INC SR NOTES 8 1/2% MAY 15 2019 DTD 05/21/2009	50,000 00	63,726 00
25152CMN3	DEUTSCHE BANK AG LONDON 6% SEP 01 2017 DTD 08/29/2007	40,000 00	45,647 60
89352HAF6	TRANS-CANADA PIPELINES SR NOTES 6 1/2% AUG 15 2018 DTD 08/11/2008	45,000 00	53,050 95
74251VAH5	PRINCIPAL FINANCIAL GROU 3 125% 05/15/2023 DTD 11/16/2012	19,000 00	17,597 61
24422ERM3	JOHN DEERE CAPITAL CORP MTN 2 3/4% MAR 15 2022 DTD 02/27/2012	20,000 00	18,896 20
61747YDT9	MORGAN STANLEY 4 3/4% MAR 22 2017 DTD 03/22/2012	135,000 00	147,609 00
458140AJ9	INTEL CORP 3 3% OCT 01 2021 DTD 09/19/2011	40,000 00	39,808 80
06406HBS7	BANK OF NEW YORK MELLON MTN 2 1/2% JAN 15 2016 DTD 12/09/2010	40,000 00	41,332 80
0258M0DD8	AMERICAN EXPRESS CREDIT MTN 2 3/8% MAR 24 2017 DTD 03/26/2012	8,000 00	8,217 52
268648AQ5	EMC CORP 2 650% 06/01/2020 DTD 06/06/2013	40,000 00	39,141 60
500472AF2	PHILIPS ELECTRONICS NV 3 3/4% MAR 15 2022 DTD 03/09/2012	30,000 00	29,831 10
00037BAB8	ABB FINANCE USA INC 2 875% MAY 08 2022 DTD 05/08/2012	45,000 00	42,444 45
637432LR4	NATIONAL RURAL UTIL CORP 10 3/8% NOV 01 2018 DTD 10/30/2008	45,000 00	60,702 75
302570BC9	FPL GROUP CAPITAL INC 7 7/8% DEC 15 2015 DTD 12/12/2008	45,000 00	50,937 30
913017BQ1	UNITED TECHNOLOGIES CORP 6 1/8% FEB 01 2019 DTD 12/18/2008	35,000 00	41,224 75
03076CAB2	AMERPRISE FINANCIAL INC 5 65% 11/15/2015 DTD 11/23/2005	12,000 00	13,076 16
00440EAK3	ACE INA HOLDINGS 5 8% MAR 15 2018 DTD 02/14/2008	45,000 00	51,300 90
031162AZ3	AMGEN INC SR NOTES 5 7% FEB 01 2019 DTD 01/16/2009	45,000 00	51,906 15
26875PAA9	EOG RESOURCES INC 5 7/8% SEP 15 2017 DTD 09/10/2007	45,000 00	51,391 80
438516AP1	HONEYWELL INTERNATIONAL 5 4% MAR 15 2016 DTD 03/14/2006	40,000 00	43,935 60
071813AY5	BAXTER INTERNATIONAL INC 5 3/8% JUN 01 2018 DTD 05/22/2008	45,000 00	51,106 95
20825CAR5	CONOCOPHILLIPS NOTES 5 3/4% FEB 01 2019 DTD 02/03/2009	40,000 00	46,192 40
66989GAA8	NOVARTIS SECS INVEST LTD 5 1/8% FEB 10 2019 DTD 02/10/2009	40,000 00	45,336 00
14912L4E8	CATERPILLAR FINACIAL SE MEDIUM TERM NOTE 7 15% FEB 15 2019 DTD 02/12/2009	40,000 00	49,174 80
055451AH1	BHP BILLITON FIN USA LTD 6 1/2% APR 01 2019 DTD 03/25/2009	20,000 00	23,925 00
89417EAF6	TRAVELLERS COS INC SR NOTES 5 9% JUN 02 2019 DTD 06/02/2009	45,000 00	52,439 40
06051GDZ9	BANK OF AMERICA CORP SR NOTES 7 5/8% JUN 01 2019 DTD 06/02/2009	155,000 00	192,094 60
74251VAD4	PRINCIPAL FJNL GROUP INC GTD SR NT 8 7/8% MAY 15 2019 DTD 05/21/2009	20,000 00	25,623 00
68389XAC9	ORACLE CORP 5 3/4% APR 15 2018 DTD 04/09/2008	40,000 00	46,263 20
713448BJ6	PEPSICO INC 7 9% NOV 01 2018 DTD 10/24/2008	11,000 00	13,803 57
09247XAE1	BLACKROCK INC 5% DEC 10 2019 DTD 12/10/2009	45,000 00	50,832 90
534187AY5	LINCOLN NATIONAL CORP 6 1/4% FEB 15 2020 DTD 12/11/2009	20,000 00	23,031 40
961214BK8	WESTPAC BANKING CORP NOTES 4 7/8% NOV 19 2019 DTD 11/19/2009	36,000 00	39,738 96
87236YAA6	TD AMERITRADE HOLDING CO 5 6% DEC 01 2019 DTD 11/25/2009	40,000 00	46,022 40
40429CCS9	HSBC FINANCE CORP 5 000% 06/30/2015 DTD 6/27/2005	42,000 00	44,527 56
064159BE5	BANK OF NOVA SCOTIA 1 375% 12/18/2017 DTD 12/18/2012	40,000 00	39,291 60
91159JAA4	US BANCORP MTN 2 95% JUL 15 2022 DTD 07/23/2012	40,000 00	37,040 80
494368AT0	KIMBERLY CLARK CORP 6 1/4% JUL 15 2018 DTD 7/28/98	40,000 00	46,964 80
22541LAR4	CREDIT SUISSE FB USA INC NOTES 4 7/8% JAN 15 2015 DTD 12/15/2004	100,000 00	104,540 00
21685WBL0	RABOBANK NEDERLAND 2 1/8% OCT 13 2015 DTD 10/13/2010	40,000 00	41,048 80
428236BF9	HEWLETT PACKARD CO 3 3/4% DEC 01 2020 DTD 12/02/2010	10,000 00	10,011 90
235851AM4	DANAHER CORP 3 9% JUN 23 2021 DTD 06/23/2011	15,000 00	15,486 30
21685WBT3	RABOBANK NEDERLAND NOTES 4 1/2% JAN 11 2021 DTD 01/11/2011	40,000 00	42,269 20
744448CD1	PUBLIC SERVICE COLORADO 3 2% NOV 15 2020 DTD 11/16/2010	5,000 00	4,999 90
25468PCN4	WALT DISNEY COMPANY THE 2 3/4% AUG 16 2021 DTD 08/22/2011	10,000 00	9,677 60
89152UAE2	TOTAL CAPITAL SA 2 3% MAR 15 2016 DTD 09/15/2010	40,000 00	41,248 00
63946BAE0	NBCUNIVERSAL MEDIA LLC 4 3/8% APR 01 2021 DTD 04/01/2011	25,000 00	26,488 00
05565QBR8	BP CAPITAL MARKETS PLC 4 742% MAR 11 2021 DTD 03/11/2011	45,000 00	48,735 00
45866FAB0	INTERCONTINENTALEXCHANGE 2 500% 10/15/2018 DTD 10/08/2013	2,000 00	2,014 40
03523TBE7	ANHEUSER BUSCH INBEV WOR 7 3/4% JAN 15 2019 DTD 01/15/2011	39,000 00	48,704 37
05531FAG8	BB&T CORPORATION MTN 3 2% MAR 15 2016 DTD 03/07/2011	40,000 00	41,873 60
03523TBH0	ANHEUSER BUSCH INBEV WOR 6 7/8% NOV 15 2019 DTD 11/15/2010	16,000 00	19,554 40
89233P4B9	TOYOTA MOTOR CREDIT CORP MEDIUM TERM NOTES 3 2% JUN 17 2015 DTD 06/17/2010	45,000 00	46,945 35
931142DD2	WAL MART STORES INC 4 1/4% APR 15 2021 DTD 04/18/2011	40,000 00	43,142 40
78011DAC8	ROYAL BANK OF CANADA 1 2% SEP 19 2017 DTD 09/19/2012	18,000 00	17,903 16
Immaterial Difference			8 00
Total - Ending Fair Market Value			23,800,699

ATTACHMENT 12

FORM 990PF, PART II - OTHER INVESTMENTS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
TITAN PARTNERS, LP	47,375,889.	52,753,402.	52,753,402.
OAKTREE HIGH YIELD FUND, LP	5,106,835.	5,503,176.	5,503,176.
OAKTREE SENIOR LOAN FUND, LP	4,525,346.	4,761,558.	4,761,558.
TOTALS	57,008,070.	63,018,136.	63,018,136.

ATTACHMENT 13

FORM 990PF, PART II - OTHER ASSETS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
ACCRUED INT. & DIV. RECEIVABLE	165,967.	88,537.	88,537.
TAXES RECEIVABLE	92,062.	7,416.	7,416.
REDEMPTION REC. FROM PTSHIPS	3,000,000.	4,000,000.	4,000,000.
TOTALS	3,258,029.	4,095,953.	4,095,953.

ATTACHMENT 14

FORM 990PF, PART II - OTHER LIABILITIES

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE
CONTRIBUTION COMMITMENT PAYABLE	4,967,167.	5,170,666.
TOTALS	4,967,167.	5,170,666.

ATTACHMENT 15

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION	AMOUNT
UNREALIZED GAIN/LOSS ON SALE OF INVEST.	17,917,170.
TOTAL	17,917,170.

ATTACHMENT 16

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION	AMOUNT
ACCRUAL TO CASH ADJ- DIV & INT. INCOME	77,430.
ACCRUAL TO CASH ADJ - TAXES	84,646.
UNREALIZED GAIN/LOSS ON SALE OF INVEST.	3,055.
TOTAL	165,131.

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 17

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS
EDWARD G. BEIMFOHR 645 FIFTH AVENUE NEW YORK, NY 10022 * TIME DEVOTED TO POSITION REFLECTS ANNUAL HOURS.	TREASURER 40.00	$0	$0
SALLY E. PINGREE 645 FIFTH AVENUE NEW YORK, NY 10022 * TIME DEVOTED TO POSITION REFLECTS ANNUAL HOURS.	TRUSTEE 100.00	$0	$0
ANNE E. DE LA RENTA 645 FIFTH AVENUE NEW YORK, NY 10022 * TIME DEVOTED TO POSITION REFLECTS ANNUAL HOURS.	TRUSTEE 100.00	$0	$0
SUSAN O'CONNOR 645 FIFTH AVENUE NEW YORK, NY 10022 * TIME DEVOTED TO POSITION REFLECTS ANNUAL HOURS.	TRUSTEE 100.00	$0	$0
SOPHIE ENGELHARD CRAIGHEAD 645 FIFTH AVENUE NEW YORK, NY 10022 * TIME DEVOTED TO POSITION REFLECTS ANNUAL HOURS	TRUSTEE 100.00	$0	$0

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 17 (CONT'D)

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS
CHARLENE B. ENGELHARD 645 FIFTH AVENUE NEW YORK, NY 10022 * TIME DEVOTED TO POSITION REFLECTS ANNUAL HOURS.	TRUSTEE 100.00	$0	$0
MARY OGORZALY 645 FIFTH AVENUE NEW YORK, NY 10022 TIME DEVOTED TO POSITIONS REFLECTS WEEKLY HOURS.	SECRETARY 40.00	91,241.	27,427.
ANTHONY GOSTKOWSKI 645 FIFTH AVENUE NEW YORK, NY 10022 TIME DEVOTED TO POSITION REFLECTS WEEKLY HOURS	ASSISTANT TREASURER 11.00	129,481.	15,832.
	GRAND TOTALS	220,722.	43,259.

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALS

ATTACHMENT 18

NAME AND ADDRESS	TYPE OF SERVICE	COMPENSATION
JP MORGAN 270 PARK AVENUE NEW YORK, NY 10017	INVESTMENT ADVISOR	59,054.
TITAN PARTNERS, LP 400 CONNELL DRIVE, SUITE 500 BERKELEY HEIGHTS, NJ 07078	MANAGEMENT FEE	252,704.
KPMG LLP 345 PARK AVENUE NEW YORK CITY, NY 10154-0102	ACCOUNTING FEES	85,500.
TOTAL COMPENSATION		397,258.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
SEE ATTACHED	NONE 501(C)(3)	CHARITABLE	9,900,375
		TOTAL CONTRIBUTIONS PAID	9,900,375

Organization	Total
Education	
ACTIVE MINDS INC	100,000
American Indian Institute	24,000
Association of American Colleges and Univ	650,001
AVSI - USA	31,000
Baryshnikov Arts Center Inc	25,000
Bishop George Ahr High School	2,000
Bishop Museum	10,000
Boston College	32,500
Building a Global Community NFP	113,500
Colorado State University Foundation	333,334
Community Foundation of Jackson Hole	180,000
Concord Museum	10,000
D C Wheel Productions, Inc	5,000
Dancer's Workshop	50,000
Edith Kanakaole Foundation	25,000
Families First Parenting Programs Inc	85,000
Families First/Missoula	100,000
Flourish Foundation	5,000
Futurepositiv Project Inc	10,000
Georgetown University	401,000
Haiti Micah Project	45,000
Hana Retreat	215,000
Harvard University	20,000
Higher Ground Sun Valley, Inc	20,000
Honolulu Academy of Arts	2,500
Interconnections 21	5,000
International Center of Photography	2,500
International Wildlife Film Festival	35,000
J Wood Platt Caddie Scholarship Trust	1,000
Jackson Hole Community School	123,000
Jumpstart for Young Children Inc	10,000
L'Arche Inc	10,000
Loyola Marymount University	33,334
Ma Ka Hana Ka Iki Building Program	45,000
Menil Foundation Inc	10,000
Milton Academy	5,000
Missoula Art Museum	55,000
Missoula Cultural Council Inc	3,200
Missoula Family YMCA	30,000
Missoula International School	10,000
Missoula Writing Collaborative	50,000
National Gallery of Art	100,000
National Museum of Wildlife Art	3,000
National Parenting Education Network	30,000
National Symphony Orchestra	25,000
New York Public Library	25,000
Ohana Makamae, Inc	100,000
Oregon College of Art and Craft	125,000
Orion Society	50,000
Pacific Writers Connection	40,000
Pajama Program	5,000
Policy Institute	5,000
Red Sox Foundation	25,000
Rutgers University Foundation	525
S Engelhard Center	150,000
Saint Joseph's University	2,500
Squash Haven Inc	20,000
St Andrew's School of Delaware, Inc	150,000
Sun Valley Performing Arts Center	5,000
Sundance Institute for Film	100,000
Teton ArtLab	10,000
The Carter Center, Inc	100,000
The Chinati Foundation	10,000
The Colorado College	100,000
The Community Library Association, Inc	15,000
The Daisy Association	2,000
The Frick Collection	5,000
The Institute for Ethnomedicine Inc	100,000
The Potomac School	150,000
The Prince of Wales Foundation	60,000
The Rockefeller University	25,000
The Sunshine School	10,000
The Thomas Berry Foundation	25,000
Thirteen/WNET	100,000
United States Department of State	150,000
Wadsworth Atheneum Museum of Art	10,000
Warm Heart Worldwide Inc	500
Washington Choral Foundation, Inc	10,000
Washington University	10,000
Women's Voices for the Earth	10,000
WORD, Inc	30,000
World Witness Project Inc	5,600
Total education	4,821,994
Medical	
A C N M Foundation, Inc	20,000
Alzheimers Association	1,000

THE CHARLES ENGELHARD FOUNDATION
Form 990-PF - Grants and Contributions Paid During the Year
12/31/2013

EIN 22-6063032

Organization	Total
Beth Israel Deaconess Medical Center	50,000
Calvary Hospital	10,000
Darius Goes West Inc	5,000
Debbies Dream Foundation Inc	1,000
Doctors Without Borders USA, Inc	150,000
Doernbecher Children's Hospital Fdn	2,000
Ed Randalls Bat for the Cure	500
FoodCorps Inc	100,000
Lyme Research Alliance Inc	10,000
Maui Adult Day Care Center	30,000
McLean Hospital	75,000
Memorial Sloan-Kettering Cancer Center	10,000
Missoula Medical Aid, Inc	15,000
Multiple Myeloma Research Foundation	2,000
National Down Syndrome Society	21,500
OHSU Foundation	775,000
Partners in Health	25,000
Pet Partners	50,000
PKD Foundation	500
Saint Peter's Foundation	4,800
Seed Global Health, Inc	150,000
St Johns Hospital Teton County	26,000
St Jude Children's Research Hospital	3,500
St Patrick Hospital and Health Fdn	45,000
Sun Valley Wellness Institute Inc	12,500
The Children's Medical Center Corp	50,000
The Christopher Reeve Paralysis Fdn	3,000
Trustees of Columbia University	362,000
Wellness Foundation	1,000
Western Montana Mental Health Center	50,000
WHC Foundation	10,000
Total medical	2,071,300
Other Contributions	
CASA of Missoula, Inc	10,000
City Harvest	5,000
Citymeals-on-wheels	10,000
CLIMB	25,000
Coalition for the Homeless, Inc	25,000
Colorado State University Foundation	10,000
Community Foundation of WNC	2,500
FJC	2,500
Haley House Inc	10,000
Hawaii Community Foundation	100,000
Lower Nine Org	15,000
Mercy Corps	50,000
Missoula Food Bank	40,000
New York City Police Foundation	5,000
Poverello Center Inc	65,000
PSDRS	20,000
Refugees International	300,000
Rosalie Hall, Inc	5,000
Rosie's Place, Inc	5,000
Save the Children	280,000
The Marshall Legacy Institute	5,000
U S Fund for UNICEF	492,500
U S Ski Team Foundation	20,000
We The World	50,000
Women In Need Inc	5,000
World Cup Dreams Foundation	5,000
Wounded Warrior Project Inc	1,000
Youth Homes Inc	50,000
Total other	1,613,500
Religious	
Archdiocese of Washington, D C	50,000
Bon Shen Ling	100,000
Cathedral of Saint Patrick	20,000
Catholic Relief Services Inc	25,000
Christ the King Church	10,000
Compassionate Service Society	20,000
Diocese of Metuchen	20,875
Equestrian Order of the Holy Sepulchre	650
Franciscan Monastery	1,500
International Campaign for Tibet	5,000
Monastery of Christ in the Desert	13,000
New York Province of the Society of Jesus	2,500
RENEW International	5,000
Sacred Heart Church	1,000
Saint Luke Institute, Inc	20,000
Shedrub Development Fund	36,000
Sister Servants of the IHM	1,000
Sisters of Charity of St Elizabeth	1,000
St Bartholomew/St Vincent De Paul	1,000
St Francis of Assisi Church	10,000
St Mary's Church	25,000
Total religious	368,525
Wildlife & Environmental	

THE CHARLES ENGELHARD FOUNDATION
Form 990-PF - Grants and Contributions Paid During the Year
12/31/2013

EIN 22-6063032

Organization	Total
Alliance for the Wild Rockies	50,000
Amboseli Trust for Elephants	10,000
American Prairie Foundation	20,000
Animal Adoption Center Inc	5,000
Animal Humane Association of Star Valley,	25,000
ASPCA	11,000
Atlantic Salmon Federation	80,223
Bear Trust International	5,000
Biomimicry Institute	20,000
Blue Ocean Institute	50,000
California Academy of Science	18,000
Clark Fork Coalition	50,000
Collective Heritage Institute	50,000
Community Food & Agriculture Coalition	10,000
Craighead Beringia South	80,000
Dumbarton Oaks Park Conservatory Inc	25,000
Ecotrust	50,000
Gaining Ground, Inc	5,000
Garden City Harvest Inc	100,000
Jackson Hole Conservation Alliance	30,000
Jackson Hole Wildlife Film Festival	25,000
Montana Natural History Center	25,000
National Wildlife Federation	50,000
Natural Resources Defense Council	10,000
Northern Plains Resource Council	15,000
Northwest Organization for Animal Help	20,000
PAWS of Jackson Hole	17,500
Peregrine Fund, Inc	10,000
Project Pooch	5,000
Rock Creek Trust/Five Valley Land Trust	48,333
Seed Savers Exchange Inc	15,000
Snake River Alliance Education Fund	15,000
The Land Institute	20,000
The Nature Conservancy of Montana	50,000
WildlifeDirect Inc	5,000
Total wildlife and environmental	1,025 056
Total contributions paid	9,900,375

FORM 990PF, PART XV - CONTRIBUTIONS APPROVED FOR FUTURE PAYMENT

ATTACHMENT 20

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
SEE ATTACHED STATEMENT	NONE 501(C)(3)	CHARITABLE	8,879,332
		TOTAL CONTRIBUTIONS APPROVED	8,879,332

NAME OF ORGANIZATION	2009	2010	2014	2015	2016	2017	Total Outstanding
A C N M Foundation (Nov)			20 000				20,000
AACU (Mar , July, Nov)			216 666				216,666
American Indian Inst (Sept)			24 000				24,000
Archdiocese of Washington DC (Feb)	10,000	40,000					50,000
Beth Israel Deaconess Medical - OBGYN (Apr)			80 000				80,000
Beth Israel Deaconess Medical (June)			50 000				50,000
Boston Children's Hospital (May)			50 000				50,000
Carter Center (April)			100 000	100 000			200,000
CLIMB Wyo (Sept)			25 000	25 000	25 000		75,000
Collective Heritage = Bioneers (Jan)			50 000				50,000
Colorado College - Fitness Ctr (Apr)			30 000	30 000	30 000		90,000
Colorado College - Pres Circle (Apr)			10 000	10 000	10 000		30,000
Colorado College - Scholarship (Apr)			60 000	60 000	60 000		180,000
Columbia University - Dept of Psych (Feb /June)			50 000				50,000
Columbia University - Medical Center (June)			232 000	232 000			464,000
CSU - Withrow Chair in Oncology (Mar)			333 333				333,333
Ecotrust (Oct)			50 000				50,000
Families First - Missoula (?)			150 000	50 000			200,000
Five Valleys Land Trust (Jan)			33 334	33 333			66,667
Food Corps (Apr)			100 000				100,000
Gaining Ground (Dec)			5 000	5 000			10,000
Garden City Harvest (Aug)			50 000	50 000			100,000
Georgetown University - Endowment (July)			350 000	350 000	500 000		1,200,000
Georgetown University (July)			100 000	100 000			200,000
Hawaiian Islands Land Trust (Dec)			10 000	10 000	10 000		30,000
Inst for Ethnomedicine (Apr)			100 000				100,000
JH Community School (Dec)			100 000	100 000			200,000
JH Conservation Alliance (Dec)			30 000	30 000			60,000
Knight Cancer Institute at OHSU (Aug)			500 000				500,000
Knight Cancer Institute at OHSU (Jan)			250 000	250 000			500,000
Int'ls Wildlife Media Center & FF (Dec)			25 000	25 000			50,000
Loyola Marymount Univ (June)			33 333	33 333			66,666
Mclean Hospital (Feb)			75 000				75,000
Missoula Recovery Center (Jan)			50 000				50,000
National Gallery of Art (Aug)			100 000	100,000	100,000	100 000	400,000
Oregon College of Art and Craft INCREASE (Oct)			125,000	125,000			250,000
Pet Partners (Oct)			50 000	50 000			100,000
Poverello Center (Jan)			50 000				50,000
Red Sox Foundation (Aug)			25 000				25,000
Rock Creek/Five Valleys Land Trust (Aug)			15 000				15,000
Save the Children (OcUApr)			250 000	250 000	125 000		625,000
Snake River Alliance (May)			18 000				18,000
St Andrew's School - Crossroad (April)			150 000				150,000
St Patrick Hospital and Health Fdn (Oct)			40,000	40,000	40,000		120,000
Sun Valley Wellness Inst (Feb)			12 500				12,500
Sundance Inst (Aug)			50 000	50 000	50 000		150,000
Sundance Inst (Aug)			50 000	50 000	50 000		150,000
The Hawaii Community Fdn (June)			100 000	100 000	100 000		300 000
The Potomac School (April)			150 000				150,000
The Prince of Wales Fdn - Drawing school (Sept)			50 000	50 000			100,000
UNICEF (Jan /June)			332 500				332,500
US Dept of State - Diplomatic Rooms (Nov)			150 000	200 000			350,000
We the world (Oct)			50 000				50,000
Women 's Voices for the Earth (Nov)			10 000				10,000
	10,000	40,000	5,120,666	2,508,666	1,100,000	100,000	8,879,332

Form **8949**

Department of the Treasury
Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ Information about Form 8949 and its separate instructions is at www irs gov/form8949

▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

2013

Attachment Sequence No **12A**

Name(s) shown on return: THE CHARLES ENGELHARD FOUNDATION

Social security number or taxpayer identification number: 22-6063032

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term For long-term transactions, see page 2

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need

☐ (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
☒ (B) Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
☐ (C) Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo , day, yr)	(c) Date sold or disposed (Mo , day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the Note below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f) See the separate instructions (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
SEE ATTACHED S-T			177,497.	191,761.			-14,264
SEE ATTACHED S-T			285,409.	285,434.			-25.
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶			462,906.	477,195.			-14,289.

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis See *Column (g)* in the separate instructions for how to figure the amount of the adjustment

For Paperwork Reduction Act Notice, see your tax return instructions.

JSA
3X2615 2 000

Name(s) shown on return (Name and SSN or taxpayer identification no not required if shown on other side)	**Social security number or taxpayer identification number**
THE CHARLES ENGELHARD FOUNDATION	22-6063032

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box D, E, or F below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later

Part II **Long-Term.** Transactions involving capital assets you held more than one year are long term. For short-term transactions, see page 1.

Note. You may aggregate all long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required Enter the total directly on Schedule D, line 8a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box D, E, *or* F below. Check only one box. If more than one box applies for your long-term transactions, complete a separate Form 8949, page 2, for each applicable box If you have more long-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need

☐ **(D)** Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
☒ **(E)** Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
☐ **(F)** Long-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo , day, yr)	(c) Date sold or disposed (Mo , day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	**Adjustment, if any, to gain or loss.** If you enter an amount in column (g), enter a code in column (f) **See the separate instructions**		(h) **Gain or (loss)** Subtract column (e) from column (d) and combine the result with column (g)
					(f) Code(s) from instructions	(g) Amount of adjustment	
SEE ATTACHED L-T			745,552.	778,547.			-32,995.
SEE ATTACHED L-T			497,549.	505,809.			-8,260.
SEE ATTACHED L-T			1,494,601.	1497378.			-2,777.
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, **line 8b** (if **Box D** above is checked), **line 9** (if **Box E** above is checked), or **line 10** (if **Box F** above is checked) ▶			2,737,702.	2781734.			-44,032.

Note If you checked Box D above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis See *Column (g)* in the separate instructions for how to figure the amount of the adjustment

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*.**

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* 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 THE CHARLES ENGELHARD FOUNDATION C/O ENGELHARD HANOVIA	Employer identification number (EIN) or 22-6063032
	Number, street, and room or suite no If a P O box, see instructions OLYMPIC TOWERS 645 FIFTH AVENUE	Social security number (SSN)
	City, town or post office, state, and ZIP code For a foreign address, see instructions NEW YORK, NY 10022	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

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 ▶ MARY OGORZALY

Telephone No ▶ 212 935-2430 FAX No ▶ 212 935-2434

- 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 08/15 , 20 14 , to file the exempt organization return for the organization named above The extension is for the organization's return for:
▶ ☒ calendar year 20 13 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	$ 198,962.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit	3b	$ 168,962.
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	$ 30,000.

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

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

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

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

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

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
THE CHARLES ENGELHARD FOUNDATION
C/O ENGELHARD HANOVIA

Employer identification number (EIN) or
22-6063032

Number, street, and room or suite no If a P O box, see instructions
OLYMPIC TOWERS 645 FIFTH AVENUE

Social security number (SSN)

City, town or post office, state, and ZIP code For a foreign address, see instructions
NEW YORK, NY 10022

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
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

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

- The books are in the care of ▶ MARY OGORZALY

  Telephone No ▶ 212 935-2430 Fax No ▶ 212 935-2434

- If the organization does not have an office or place of business in the United States, check this box . . . . ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ If this is for the whole group, check this box . . . . . . ▶ ☐ . If it is for part of the group, check this box . . . . ▶ ☐ and attach a list with the names and EINs of all members the extension is for

4 I request an additional 3-month extension of time until 11/17 , 20 14

5 For calendar year 2013 , or other tax year beginning ______ , 20 ___ , and ending ______ , 20 ___

6 If the tax year entered in line 5 is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension INFORMATION NECESSARY TO PREPARE A COMPLETE AND ACCURATE RETURN IS NOT YET AVAILABLE.

8a	If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a	$ 198,962
b	If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	8b	$ 198,962.
c	**Balance Due.** Subtract line 8b from line 8a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions	8c	$ 0

Signature and Verification must be completed for Part II only.

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

Signature ▶ Title ▶ Date ▶