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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052





2013

Open to Public Inspection

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

Name of foundation ROCK ISLAND REFINING FOUNDATION EDGAR S JOSEPH TRUSTEE		A Employer identification number 35-6264479	
Number and street (or P O box number if mail is not delivered to street address) PO BOX 90114		B Telephone number (see instructions) (317) 695-2594	
City or town, state or province, country, and ZIP or foreign postal code INDIANAPOLIS, IN 462900114		C If exemption application is pending, check here ▶ <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here ▶ <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16)▶ \$ 2,151,713	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ <input type="checkbox"/>	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (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 ▶ <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	50,201	50,201		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	128,661			
	b Gross sales price for all assets on line 6a 613,057				
	7 Capital gain net income (from Part IV, line 2) . . .		128,661		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	1,682	1,682		
	12 Total. Add lines 1 through 11	180,544	180,544		
	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	2,250	0		563
	c Other professional fees (attach schedule)	6,000	0		1,500
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	643	104		0
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	8,211	8,088		0
	24 Total operating and administrative expenses. Add lines 13 through 23	17,104	8,192		2,063
	25 Contributions, gifts, grants paid	91,800			91,800
	26 Total expenses and disbursements. Add lines 24 and 25	108,904	8,192		93,863
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	71,640			
	b Net investment income (if negative, enter -0-)		172,352		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	8,163	7,452	7,452
	2	Savings and temporary cash investments	136,938	38,698	38,698
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)	456,409 	542,806	534,177
	b	Investments—corporate stock (attach schedule)	802,176 	737,225	1,093,710
	c	Investments—corporate bonds (attach schedule).	25,720 	25,720	25,042
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	276,822 	425,967	452,634
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	15	Other assets (describe ▶ _____)			
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	1,706,228	1,777,868	2,151,713
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	1,674,845	1,674,845	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	31,383	103,023	
	30	Total net assets or fund balances (see page 17 of the instructions)	1,706,228	1,777,868	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	1,706,228	1,777,868	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year’s return)	1	1,706,228
2	Enter amount from Part I, line 27a	2	71,640
3	Other increases not included in line 2 (itemize) ▶ _____	3	0
4	Add lines 1, 2, and 3	4	1,777,868
5	Decreases not included in line 2 (itemize) ▶ _____	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	1,777,868

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 Additional Data Table			
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 See Additional Data Table			
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 See Additional Data Table			
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	128,661
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	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

(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	81,147	1,906,929	0 042554
2011	70,000	1,880,394	0 037226
2010	60,500	1,829,799	0 033064
2009	51,000	1,705,311	0 029907
2008	67,500	1,818,304	0 037123

2	Total of line 1, column (d).	2	0 179874
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 035975
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	2,053,717
5	Multiply line 4 by line 3.	5	73,882
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,724
7	Add lines 5 and 6.	7	75,606
8	Enter qualifying distributions from Part XII, line 4. If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	93,863

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)			
1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1		1	1,724
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	0
3 Add lines 1 and 2.		3	1,724
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	1,724
6 Credits/Payments			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	1,156
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7 Total credits and payments Add lines 6a through 6d.		7	1,156
8 Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached		8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	568
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10	
11 Enter the amount of line 10 to be Credited to 2014 estimated tax Refunded		11	

Part VII-A Statements Regarding Activities			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?		1b	No
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	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ 0 (2) On foundation managers \$ 0			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ 0			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?		2	No
If "Yes," attach a detailed description of the activities.			
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	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?.		4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?.		4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?		5	No
If "Yes," attach the statement required by General Instruction T.			
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	Yes
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	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions)			
IN			
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	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)?			
If "Yes," complete Part XIV		9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.		10	No

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		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶TAMMY STOCKTON Telephone no ▶(317) 695-2594 Located at ▶8680 WILLIAMSHIRE WEST DRIVE INDIANAPOLIS IN ZIP +4 ▶46260			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>	1b		No
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		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is 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		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i>).	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to				
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(3) Provide a grant to an individual for travel, study, or other similar purposes?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 5a(1)–(5), did 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		
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?		<input type="checkbox"/> Yes	<input type="checkbox"/> 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?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		6b		No
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?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?		7b		

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
EDGAR S JOSEPH	TRUSTEE	0	0	0
8512 BENT TREE COURT	2 00			
INDIANAPOLIS,IN 46260				
NORMA WINKLER	TRUSTEE	0	0	0
8680 WILLIAMSHIRE WEST DRIVE	2 00			
INDIANAPOLIS,IN 46260				
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				0

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		0

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions.	
3	
Total. Add lines 1 through 3.	0

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	1,961,465
b	Average of monthly cash balances.	1b	123,527
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	2,084,992
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	2,084,992
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	31,275
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,053,717
6	Minimum investment return. Enter 5% of line 5.	6	102,686

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	102,686
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	1,724
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	1,724
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	100,962
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	100,962
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	100,962

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	93,863
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	93,863
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	1,724
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	92,139
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				100,962
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			92,930	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 93,863				
a Applied to 2012, but not more than line 2a			92,930	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2013 distributable amount.				933
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0			
b Prior years' undistributed income Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				100,029
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).	0			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .	0			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0			
10 Analysis of line 9				
a Excess from 2009. . . .				
b Excess from 2010. . . .				
c Excess from 2011. . . .				
d Excess from 2012. . . .				
e Excess from 2013. . . .				

Part XIVPrivate Operating Foundations (see instructions and Part VII-A, question 9)

1a

If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling.

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed.	Tax year	Prior 3 years			(e) Total
		(a) 2013	(b) 2012	(c) 2011	(d) 2010	
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 XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

a

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

b

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

2

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

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

a

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

b

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

c

Any submission deadlines

d

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

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	91,800
b Approved for future payment				
Total			3b	0

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

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

(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)
GOELZER 021399 ST COVERED	P		
GOELZER 021399 LT COVERED	P		
TRANSOCEAN LTD REG	P	2010-07-15	2013-11-12
AARONS INC COM PAR \$0	P	2009-11-19	2013-05-08
ABBOTT LABS COM	P	2005-07-25	2013-04-05
ABBVIE INC C OM	P	2005-07-25	2013-03-01
BAXTER INTL INC COM	P	2010-05-05	2013-06-03
BOEING CO COM	P	2008-10-28	2013-08-14
CVS CAREMARK	P	2009-04-17	2013-08-14
CHEVRON CORP NEW	P	1994-05-16	2013-06-03
CISCO SYSTEMS INC	P	2009-03-19	2013-08-12
CONSTELLATION BRANDS INC CL A	P	2010-04-15	2013-02-14
DISNEY WALT CO DISNEY COM	P	2009-04-17	2013-01-18
EXXON MOBIL CORP COM	P	2010-02-11	2013-08-14
FEDERAL NATL MTG ASS N BENCHMARK	P	2005-03-17	2013-04-09
HONEYWELL INTL INC COM	P	2009-03-19	2013-08-14
MATTEL INC COM	P	2010-07-19	2013-01-04
MCDONALDS CORP	P	2005-05-17	2013-04-05
MERCK & CO INC NEW COM	P	2010-12-06	2013-06-03
MICROSOFT CORP COM	P	1999-04-19	2013-08-14
PPG INDUSTRIES	P	2005-12-15	2013-01-28
PEPSICO INC COM	P	2008-10-20	2013-06-03
PFIZER INC COM	P	2009-10-16	2013-08-07
TARGET CORP COM	P	2006-05-04	2013-06-03
TELEFLEX INC	P	2008-10-06	2013-08-14
TORCHMARK CORP	P	2009-03-25	2013-08-29
UNITED TECHNOLOGIES CORP COM	P	2008-10-24	2013-08-14
UNIVERSITY LOUISVILLE E KY REV	P	2010-12-21	2013-09-01
ZIONS BANCORP COM	P	2008-08-14	2013-08-14
CAPITAL GAINS DIVIDENDS	P		


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

(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)
23,258		19,014	4,244
184,154		171,631	12,523
17,347		20,527	-3,180
11,285		6,897	4,388
7,252		4,421	2,831
7,359		4,794	2,565
2,777		1,825	952
5,273		2,276	2,997
9,434		4,833	4,601
3,683		628	3,055
9,443		6,060	3,383
16,876		6,781	10,095
13,261		5,286	7,975
4,982		3,648	1,334
102,156		99,211	2,945
7,724		2,927	4,797
18,387		10,776	7,611
11,510		3,429	8,081
2,404		1,770	634
17,811		23,592	-5,781
14,025		5,713	8,312
2,813		1,962	851
28,443		17,693	10,750
3,524		2,669	855
20,091		14,583	5,508
30,356		8,000	22,356
8,128		4,599	3,529
25,000		25,055	-55
3,911		3,796	115
390			390


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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(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	
			4,244
			12,523
			-3,180
			4,388
			2,831
			2,565
			952
			2,997
			4,601
			3,055
			3,383
			10,095
			7,975
			1,334
			2,945
			4,797
			7,611
			8,081
			634
			-5,781
			8,312
			851
			10,750
			855
			5,508
			22,356
			3,529
			-55
			115
			390

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
INDIANA UNIVERSITY FOUNDATION PO BOX 660245 INDIANAPOLIS,IN 462660245	NONE	EXEMPT	WALTHER ONCOLOGY CENTER	10,000
INDIANAPOLIS SYMPHONY ORCHESTRA 32 E WASHINGTON ST STE 600 INDIANAPOLIS,IN 46204	NONE	EXEMPT	YOUNG PEOPLE'S DISCOVERY PROGRAM	6,000
INDIANA RIGHT TO LIFE 9465 COUNSELORS ROW SUITE 200 INDIANAPOLIS,IN 46240	NONE	EXEMPT	CHARITABLE	3,900
BOY SCOUTS OF AMERICA - CROSSROADS OF AMERICA COUNCIL 7125 FALL CREED ROAD N INDIANAPOLIS,IN 46256	NONE	EXEMPT	CHARITABLE	5,000
HEARTLAND TRULY MOVING PICTURES 1043 VIRGINIA AVE STE 2 INDIANAPOLIS,IN 46203	NONE	EXEMPT	CHARITABLE	5,000
MORNING DOVE PO BOX 721 ZIONSVILLE,IN 46077	NONE	EXEMPT	CHARITABLE	2,500
ST JOSEPH INSTITUTE FOR THE DEAF 9192 WALDEMAR ROAD INDIANAPOLIS,IN 46268	NONE	EXEMPT	CHARITABLE	3,000
LITTLE SISTERS OF THE POOR - ST AUGUSTINE'S HOME 2345 WEST 86TH STREET INDIANAPOLIS,IN 46260	NONE	EXEMPT	CHARITABLE	6,500
INDIANAPOLIS CHILDRENS WISH FUND 6435 CASTLEWAY W DRIVE STE 130 INDIANAPOLIS,IN 46250	NONE	EXEMPT	CHARITABLE	2,000
SALVATION ARMY 3100 N MERIDIAN ST PO BOX 88517 INDIANAPOLIS,IN 46208	NONE	EXEMPT	CHARITABLE	5,000
GLEANERS FOOD BANK OF INDIANA 3737 WALDEMERE AVE INDIANAPOLIS,IN 46241	NONE	EXEMPT	CHARITABLE	10,000
IMPD K9 UNIT 1327 N CAPITAL AVE INDIANAPOLIS,IN 46202	NONE	EXEMPT	CHARITABLE	2,500
IU SCHOOL OF HEALTH AND REHABILITATION SCIENCES COLEMAN HALL RM 120 1140 W MICHIGAN ST INDIANAPOLIS,IN 462025119	NONE	EXEMPT	CHARITABLE	5,400
ST ELIZABETH COLEMAN 2500 CHURCHMAN AVE INDIANAPOLIS,IN 46203	NONE	EXEMPT	CHARITABLE	2,000
INDIANAPOLIS LEGAL AID SOCIETY INC 615 N ALABAMA ST 122 ENGLISH FOUNDATION BLDG INDIANAPOLIS,IN 46204	NONE	EXEMPT	CHARITABLE	3,000
Total  3a				91,800

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
YOUTH PHILANTHROPY INITIATIVE OF INDIANA 32 E WASHINGTON ST STE 1100 INDIANAPOLIS,IN 46204	NONE	EXEMPT	CHARITABLE	1,000
RILEY CHILDREN'S FOUNDATION 30 S MERIDIAN ST SUITE 200 INDIANAPOLIS,IN 46204	NONE	EXEMPT	CHARITABLE	5,000
JOY'S HOUSE 2028 E BROAD RIPPLE AVE INDIANAPOLIS,IN 46220	NONE	EXEMPT	CHARITABLE	5,000
ELDER-FRIENDLY COMMUNITIES 6705 HOOVER ROAD INDIANAPOLIS,IN 46260	NONE	EXEMPT	CHARITABLE	5,000
WOUNDED WARRIOR PROJECT 4899 BELFORT ROAD SUITE 300 JACKSONVILLE,FL 32256	NONE	EXEMPT	CHARITABLE	4,000
Total  3a				91,800

TY 2013 Accounting Fees Schedule**Name:** ROCK ISLAND REFINING FOUNDATION

EDGAR S JOSEPH TRUSTEE

EIN: 35-6264479

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPERATION FEES	2,250	0		563

**TY 2013 Investments Corporate
Bonds Schedule**

Name: ROCK ISLAND REFINING FOUNDATION
EDGAR S JOSEPH TRUSTEE
EIN: 35-6264479

Name of Bond	End of Year Book Value	End of Year Fair Market Value
CREDIT SUISSE FIRST BOSTON USA INC	25,720	25,042

TY 2013 Investments Corporate
Stock Schedule

Name: ROCK ISLAND REFINING FOUNDATION
EDGAR S JOSEPH TRUSTEE
EIN: 35-6264479

Name of Stock	End of Year Book Value	End of Year Fair Market Value
COVIDIEN PLC SHS NEW	17,589	22,814
AFLAC INC COM	15,042	20,040
AT&T INC COM	17,144	23,557
APPLE INC COM	16,465	15,148
BAXTER INTL INC COM	16,422	25,038
TRANSOCEAN	0	0
AARONS	0	0
ABBOTT LABS	0	0
ATLAS AIR WORLDWIDE	0	0
BAKER HUGHES INC	0	0
BOEING	11,182	35,487
CVS CAREMARK CORP	8,399	26,123
CAPITAL ONE FINL CORP COM	11,236	11,875
CHEVRON CORP NEW COM	4,605	27,480
CISCO SYSTEMS INC	20,259	26,243
CLOUD PEAK ENERGY INC COM	18,473	19,260
COCA COLA	4,231	8,675
CORNING INC COM	26,229	28,512
EBAY INC COM	11,185	12,619
EXPRESS SCRIPTS HLDG CO COM	21,406	26,340
EXXON MOBIL CORP COM	14,215	23,276
FIFTH THIRD BANCORP COM	14,050	21,030
DISNEY	0	0
FRANKLIN RESOURCES	20,472	25,401
GENERAL ELECTRIC CO COM	3,508	16,818
GOOGLE	0	0
HANESBRANDS INC COM	10,404	30,918
HEWLETT PACKARD CO COM	11,542	22,804
HOLOGIC INC COM	26,476	30,061
HONEYWELL INTL INC COM	8,074	26,497

Name of Stock	End of Year Book Value	End of Year Fair Market Value
INTEL	23,616	22,711
KOHL'S CORP COM	10,446	13,053
MARATHON	11,414	13,767
MERCK & CO INC NEW COM	15,350	22,272
MICROSOFT CORP COM	15,752	24,317
MATTEL INC	0	0
MCDONALD'S	0	0
MOLSON COORS BREWING CO CL B	18,478	24,706
NATIONAL OILWELL VARCO INC	10,591	11,930
NOKIA	0	0
NORFOLK SOUTHERN CORP	10,090	26,457
ORACLE CORP COM	11,107	22,956
PNC FINL SVCS GROUP INC COM	25,052	31,032
PPG INDUSTRIES	0	0
PPL CORP COM	15,494	17,151
PENSKE AUTOMOTIVE GROUP INC COM	15,161	24,052
PEPSICO INC COM	14,854	21,979
PFIZER	0	0
PRINCIPAL FINL GROUP INC COM	20,648	33,777
QUALCOMM INC	21,051	24,503
ROYAL DUTCH SHELL PLC	21,976	22,533
SCHWAB SCHARLES CORP	6,557	13,130
SKYWORKS SOLUTIONS	23,096	29,131
STAPLES INC	18,490	20,021
TRW AUTOMOTIVE HLDGS CORP COM	16,269	26,780
TARGET CORP COM	10,601	15,818
TELEFLEX	0	0
TEVA PHARMACEUTICAL INDUSTRIES	25,458	24,649
TORCHMARK	0	0
TRAVELERS COS INC COM	8,502	22,544

Name of Stock	End of Year Book Value	End of Year Fair Market Value
UNITED TECHNOLOGIES CORP COM	7,626	18,208
WESTERN UN CO COM	22,888	25,237
ZIONS BANCORP	8,050	14,980
CONSTELLATION BRANDS	0	0

TY 2013 Investments Government Obligations Schedule

Name: ROCK ISLAND REFINING FOUNDATION
EDGAR S JOSEPH TRUSTEE

EIN: 35-6264479

US Government Securities - End of Year Book Value:	286,365
US Government Securities - End of Year Fair Market Value:	282,895
State & Local Government Securities - End of Year Book Value:	256,441
State & Local Government Securities - End of Year Fair Market Value:	251,282

TY 2013 Investments - Other Schedule

Name: ROCK ISLAND REFINING FOUNDATION
EDGAR S JOSEPH TRUSTEE

EIN: 35-6264479

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
DIGITAL RLTY TR INC COM	AT COST	23,611	23,578
OMEGA HEALTHCARE INVS INC COM	AT COST	13,375	49,802
FEDERATED BOND FUND CLASS IS	AT COST	32,678	32,173
JP MORGAN BACKED SECURITIES FUND	AT COST	87,074	84,028
VANGUARD GNMA FUND	AT COST	88,089	82,801
VANGUARD SHORT-TERM INVESTMENT GRADE FUND	AT COST	100,030	98,982
WELLS FARGO ADVTG SHORT-TERM HIGH	AT COST	56,049	56,704
CLAYMORE EXCHANGE TRADED FD - GUGGENHEIM BULLETSHARES	AT COST	25,061	24,566

TY 2013 Other Expenses Schedule

Name: ROCK ISLAND REFINING FOUNDATION
EDGAR S JOSEPH TRUSTEE

EIN: 35-6264479

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES	8,088	8,088		0
POSTAGE	99	0		0
BANK SERVICE FEES	24	0		0

TY 2013 Other Income Schedule

Name: ROCK ISLAND REFINING FOUNDATION

EDGAR S JOSEPH TRUSTEE

EIN: 35-6264479

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
COMMISSION REIMBURSEMENT	1,682	1,682	1,682

TY 2013 Other Professional Fees Schedule

Name: ROCK ISLAND REFINING FOUNDATION

EDGAR S JOSEPH TRUSTEE

EIN: 35-6264479

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BOOKKEEPING FEES	6,000	0		1,500

TY 2013 Taxes Schedule

Name: ROCK ISLAND REFINING FOUNDATION
EDGAR S JOSEPH TRUSTEE

EIN: 35-6264479

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES PAID	104	104		0
FEDERAL TAXES	539	0		0