



See a Social Security Number? Say Something!  
Report Privacy Problems to <https://public.resource.org/privacy>  
Or call the IRS Identity Theft Hotline at 1-800-908-4490



## 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](http://www.irs.gov/form990pf).

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation <b>THE PARVEEN AND NEERAJ JAIN ENDOWMENT</b>		A Employer identification number <b>47-0934264</b>						
Number and street (or P.O. box number if mail is not delivered to street address) <b>2636 GAYLEY PLACE</b>		B Telephone number <b>(408) 781-0170</b>						
City or town, state or province, country, and ZIP or foreign postal code <b>SAN JOSE, CA 95135</b>		C If exemption application is pending, check here <input type="checkbox"/>						
G Check all that apply: <table border="0"> <tr> <td><input type="checkbox"/> Initial return</td> <td><input type="checkbox"/> Initial return of a former public charity</td> </tr> <tr> <td><input type="checkbox"/> Final return</td> <td><input type="checkbox"/> Amended return</td> </tr> <tr> <td><input type="checkbox"/> Address change</td> <td><input type="checkbox"/> Name change</td> </tr> </table>		<input type="checkbox"/> Initial return	<input type="checkbox"/> Initial return of a former public charity	<input type="checkbox"/> Final return	<input type="checkbox"/> Amended return	<input type="checkbox"/> Address change	<input type="checkbox"/> Name change	D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
<input type="checkbox"/> Initial return	<input type="checkbox"/> Initial return of a former public charity							
<input type="checkbox"/> Final return	<input type="checkbox"/> Amended return							
<input type="checkbox"/> Address change	<input type="checkbox"/> Name change							
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) \$ <b>226,436.</b>		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>						
J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____								

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))		(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	50,000.		N/A	
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	11,609.	11,609.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	28,388.			STATEMENT 1
	b Gross sales price for all assets on line 6a	97,982.			
	7 Capital gain net income (from Part IV, line 2)		28,389.		
	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)					
11 Other income					
12 Total. Add lines 1 through 11	89,997.	39,998.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	16b Accounting fees	2,180.	2,180.		0.
	16c Other professional fees	4,136.	4,136.		0.
	17 Interest				
	18 Taxes	56.	56.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	2,442.	2,442.		0.
	24 Total operating and administrative expenses. Add lines 13 through 23	8,814.	8,814.		0.
	25 Contributions, gifts, grants paid	180,310.			180,310.
26 Total expenses and disbursements. Add lines 24 and 25	189,124.	8,814.		180,310.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-99,127.				
b Net investment income (if negative, enter -0-)		31,184.			
c Adjusted net income (if negative, enter -0-)			N/A		

SCANNED JUN 05 2014

24

**Part II Balance Sheets**

Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	1 Cash - non-interest-bearing	50,224.	-297.	-297.
	2 Savings and temporary cash investments	16,111.		
	3 Accounts receivable ▶ 1,022.			
	Less: allowance for doubtful accounts ▶		1,022.	1,022.
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	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			
	b Investments - corporate stock STMT 7	206,819.	173,302.	225,711.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 <b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item 1)	273,154.	174,027.	226,436.	
<b>Liabilities</b>	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 <b>Total liabilities</b> (add lines 17 through 22)	0.	0.		
<b>Net Assets or Fund Balances</b>	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ▶ <input type="checkbox"/>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	273,154.	174,027.	
30 <b>Total net assets or fund balances</b>	273,154.	174,027.		
31 <b>Total liabilities and net assets/fund balances</b>	273,154.	174,027.		

**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	273,154.
2 Enter amount from Part I, line 27a	2	-99,127.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	174,027.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 <b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30	6	174,027.

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

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</b> 97,397.		69,593.	27,804.
<b>b</b> 585.			585.
<b>c</b>			
<b>d</b>			
<b>e</b>			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
<b>a</b>			27,804.
<b>b</b>			585.
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> 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	28,389.
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

**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	107,272.	411,256.	.260840
2011	114,264.	395,419.	.288969
2010	78,068.	360,070.	.216813
2009	13,602.	271,212.	.050153
2008	28,001.	324,092.	.086398

<b>2</b> Total of line 1, column (d)	2	.903173
<b>3</b> Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.180635
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	267,840.
<b>5</b> Multiply line 4 by line 3	5	48,381.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	6	312.
<b>7</b> Add lines 5 and 6	7	48,693.
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	180,310.

**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 <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	312.
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	312.
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	312.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a		
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		0.
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		312.
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 <input type="checkbox"/> Refunded <input type="checkbox"/>	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?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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.		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ► \$ 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? If "Yes," attach a detailed description of the activities.		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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ► CA		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► PARVEEN JAIN Located at ► 2636 GAYLEY PLACE, SAN JOSE, CA Telephone no. ► (408) 781-0170 ZIP+4 ► 95135			
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 N/A			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► N/A	1b	
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ►	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A	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. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.) N/A	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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

5a During the year did the foundation pay or incur any amount to:

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ 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)?

N/A

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?

N/A

☐ 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

6b

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

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

X

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

7b

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

**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.

(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
PARVEEN JAIN 2636 GAYLEY PLACE SAN JOSE, CA 95135	CFO / SECRETARY 1.00	0.	0.	0.
NEERAJ JAIN 2636 GAYLEY PLACE SAN JOSE, CA 95135	PRESIDENT 1.00	0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). 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. 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 THE FOUNDATION PROVIDED GRANTS TO VARIOUS CHARITABLE ORGANIZATIONS.	180,310.
2	
3	
4	

**Part IX-B** Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total, Add lines 1 through 3	0.



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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	238,900.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	33,019.
<b>c</b>	Fair market value of all other assets	<b>1c</b>	
<b>d</b>	Total (add lines 1a, b, and c)	<b>1d</b>	271,919.
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	0.
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0.
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	271,919.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	4,079.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	267,840.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	13,392.

**Part XI****Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	13,392.
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	312.
<b>b</b>	Income tax for 2013. (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	312.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	13,080.
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	0.
<b>5</b>	Add lines 3 and 4	<b>5</b>	13,080.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	0.
<b>7</b>	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	13,080.

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

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	<b>1a</b>	180,310.
<b>b</b>	Program-related investments - total from Part IX-B	<b>1b</b>	0.
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	180,310.
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	<b>5</b>	312.
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	179,998.

**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				13,080.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009	301.			
c From 2010	60,836.			
d From 2011	94,867.			
e From 2012	87,395.			
f Total of lines 3a through e	243,399.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 180,310.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				13,080.
e Remaining amount distributed out of corpus	167,230.			
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	410,629.			
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 instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	410,629.			
10 Analysis of line 9:				
a Excess from 2009	301.			
b Excess from 2010	60,836.			
c Excess from 2011	94,867.			
d Excess from 2012	87,395.			
e Excess from 2013	167,230.			

N/A

- ☐ 4942(j)(3) or ☐ 4942(j)(5)

- (4) Gross investment income**

[illegible]Form **990-PF** (2013)

**Part XV** Supplementary Information (continued)

<b>3 Grants and Contributions Paid During the Year or Approved for Future Payment</b>				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a Paid during the year</b>				
JAIN CENTER OF NORTHERN CALIFORNIA 722 SOUTH MAIN STREET MILPITAS, CA 95035	NONE	PUBLIC CHARITY	TO SUPPORT OPERATIONS	106,000.
SIDDHACHALAM 65 MUD POND ROAD BLAIRSTOWN, NJ 07825	NONE	PUBLIC CHARITY	FOOD AND SUPPLIES	71,810.
INDIAN INSTITUTE OF SCIENCE ALUMNI ASSOCIATION OF NORTH AMERICA 897 INDEPENDENCE AVE, 4 C MOUNTAIN VIEW, CA 94043	NONE	PUBLIC CHARITY	TO SUPPORT OPERATIONS	2,500.
<b>Total</b>			<b>3a</b>	180,310.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>			<b>3b</b>	0.

**Part XVI-A Analysis of Income-Producing Activities**

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514	(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue:					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	11,609.	
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	28,388.	
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)		0.		39,997.	0.
13 Total. Add line 12, columns (b), (d), and (e)				39,997.	39,997.

(See worksheet in line 13 instructions to verify calculations.)

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

[illegible]

**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.		

[illegible]

**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
N/A		

**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

~~X~~ 573-14  
Date

Date: \_\_\_\_\_

▶ CFO/SECRETARY

Title

May the IRS discuss this return with the preparer shown below (see instr.)?

☒ Yes ☐ No

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

DENNIS FIFE

Preparer's signature \_\_\_\_\_

Sam L.

Date \_\_\_\_\_

05/06/14

Check ☐ if  
self-employed

PTIN

P01260669

Firm's name ► **MATSON AND ISOM**

Firm's EIN ▶ 94-2222122

Firm's address ► 3013 CERES AVENUE  
CHICO, CA 95973

Phone no. (530) 891-6474

Form **990-PF** (2013)

**Schedule B**(Form 990, 990-EZ,  
or 990-PF)Department of the Treasury  
Internal Revenue Service**Schedule of Contributors**

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

OMB No 1545-0047

**2013**

Name of the organization

Employer identification number

THE PARVEEN AND NEERAJ JAIN ENDOWMENT

47-0934264

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

- ☐ 501(c)( ) (enter number) organization
- ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- ☐ 527 political organization

Form 990-PF

- ☒ 501(c)(3) exempt private foundation
- ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
- ☐ 501(c)(3) taxable private foundation

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

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

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$ \_\_\_\_\_

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

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization	Employer identification number
<b>THE PARVEEN AND NEERAJ JAIN ENDOWMENT</b>	<b>47-0934264</b>

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<b>1</b>	<b>PARVEEN AND NEERAJ JAIN</b> <b>2636 GAYLEY PLACE</b> <b>SAN JOSE, CA 95135-1268</b>	\$ <b>50,000.</b>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)



Name of organization

Employer identification number

THE PARVEEN AND NEERAJ JAIN ENDOWMENT

47-0934264

**Part II Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

**THE PARVEEN AND NEERAJ JAIN ENDOWMENT****47-0934264**

**Part III** Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once) ▶ \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

**The Parveen and Neeraj Jain Endowment Fund**  
**EIN 47-0934264**  
**Form 990-PF, Part II, Line 10b Attachment**  
**Page 1 of 8**

**STOCKS**

**COMMON STOCKS**

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALTRIA GROUP INC (MO)	6/1/09	174,000	\$17.220	\$2,996.28	\$6,679.86	\$3,683.58 LT		
	9/11/09	32,000	18.190	582.08	1,228.48	646.40 LT		
	3/28/13	44,000	34.370	1,512.28	1,689.16	176.88 ST		
	8/5/13	4,000	35.610	142.44	153.56	11.12 ST		
	<b>Total</b>	<b>254,000</b>		<b>5,233.08</b>	<b>9,751.06</b>	<b>4,329.98 LT</b> <b>188.00 ST</b>	<b>487.68</b>	<b>5.00</b>

Share Price: \$38.390; Next Dividend Payable 01/10/14

**ANNALY CAPITAL MNGMT INC (NLY)**

ANNALY CAPITAL MNGMT INC (NLY)	9/28/10	154,000	18.400	2,833.60	1,535.38	(1,298.22) LT		
	11/17/10	16,000	17.720	283.52	159.52	(124.00) LT		
	4/23/12	148,000	16.026	2,371.80	1,475.56	(896.24) LT		
	3/28/13	92,000	15.800	1,453.59	917.24	(536.35) ST		
	5/10/13	45,000	15.048	677.15	448.65	(228.50) ST		
	8/5/13	134,000	11.546	1,547.19	1,335.98	(211.21) ST		
<b>Total</b>		<b>589,000</b>		<b>9,166.85</b>	<b>5,872.33</b>	<b>(2,318.46) LT</b> <b>(976.06) ST</b>	<b>706.80</b>	<b>12.03</b>

Share Price: \$9.970; Next Dividend Payable 01/31/14

**AT&T INC (T)**

AT&T INC (T)	6/1/09	96,000	24.680	2,369.25	3,375.36	1,006.11 LT		
	9/11/09	19,000	26.410	501.79	668.04	166.25 LT		
	11/17/10	10,000	28.210	282.10	351.60	69.50 LT		
	9/2/11	27,000	28.140	759.78	949.32	189.54 LT		
	3/28/13	28,000	36.720	1,028.16	984.48	(43.68) ST		
	5/10/13	3,000	37.240	111.72	105.48	(6.24) ST		
	8/5/13	8,000	35.586	284.69	281.28	(3.41) ST		
<b>Total</b>		<b>191,000</b>		<b>5,337.49</b>	<b>6,715.56</b>	<b>1,431.40 LT</b> <b>(53.33) ST</b>	<b>351.44</b>	<b>5.23</b>

Share Price: \$35.160; Next Dividend Payable 02/20/14

**BRISTOL MYERS SQUIBB CO (BMY)**

BRISTOL MYERS SQUIBB CO (BMY)	6/1/09	92,000	20.038	1,843.50	4,889.80	3,046.30 LT		
	9/28/10	70,000	27.859	1,950.13	3,720.50	1,770.37 LT		
	11/17/10	33,000	26.150	862.95	1,753.95	891.00 LT		
	5/10/13	13,000	40.320	524.16	690.95	166.79 ST		
	<b>Total</b>	<b>208,000</b>		<b>5,180.74</b>	<b>11,055.20</b>	<b>5,707.67 LT</b> <b>166.79 ST</b>	<b>299.52</b>	<b>2.70</b>

Share Price: \$53.150; Next Dividend Payable 02/03/14

**CALIF WATER SVC GP DEL (CWT)**

CALIF WATER SVC GP DEL (CWT)	9/28/10	248,000	18.154	4,502.19	5,721.36	1,219.17 LT		
	9/2/11	28,000	18.150	508.20	645.96	137.76 LT		
	3/28/13	26,000	19.828	515.52	599.82	84.30 ST		
	5/10/13	9,000	19.990	179.91	207.63	27.72 ST		

The Parveen and Neeraj Jain Endowment Fund  
 EIN 47-0934264  
 Form 990-PF, Part II, Line 10b Attachment  
 Page 2 of 8

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>CATERPILLAR INC (CAT)</b>								
Share Price: \$23.070; Next Dividend Payable 02/2014								
	Total	311.000		5,705.82	7,174.77	1,356.93 LT 112.02 ST	199.04	2.77
<b>DEERE &amp; CO (DE)</b>								
Share Price: \$90.810; Next Dividend Payable 02/2014								
	6/1/09	57.000	37.558	2,140.81	5,176.17	3,035.36 LT		
	9/2/11	7.000	85.630	599.41	635.67	36.26 LT		
	3/28/13	12.000	86.790	1,041.48	1,089.72	48.24 ST		
	5/10/13	1.000	88.310	88.31	90.81	2.50 ST		
	8/5/13	4.000	83.790	335.16	363.24	28.08 ST		
	Total	81.000		4,205.17	7,355.61	3,071.62 LT 78.82 ST	194.40	2.64
<b>DONIMION RES INC (NEW) (D)</b>								
Share Price: \$91.330; Next Dividend Payable 02/03/14								
	6/1/09	22.000	46.958	1,033.08	2,009.26	976.18 LT		
	9/11/09	52.000	42.860	2,228.72	4,749.16	2,520.44 LT		
	8/10/11	1.000	68.720	68.72	91.33	22.61 LT		
	8/5/13	7.000	82.920	580.44	639.31	58.87 ST		
	Total	82.000		3,910.96	7,489.06	3,519.23 LT 58.87 ST	167.28	2.23
<b>DUKE ENERGY CORP NEW (DUK)</b>								
Share Price: \$64.690; Next Dividend Payable 03/2014								
	6/1/09	64.000	32.968	2,109.95	4,140.16	2,030.21 LT		
	9/11/09	29.000	32.760	950.04	1,876.01	925.97 LT		
	11/17/10	6.000	42.760	256.56	388.14	131.58 LT		
	9/2/11	10.000	48.170	481.70	646.90	165.20 LT		
	3/28/13	5.000	57.890	289.45	323.45	34.00 ST		
	Total	114.000		4,087.70	7,374.66	3,252.96 LT 34.00 ST	256.50	3.47
<b>DUKE ENERGY CORP NEW (DUK)</b>								
Share Price: \$64.970; Next Dividend Payable 03/2014								
	6/1/09	67.000	29.888	2,002.50	4,352.99	2,350.49 LT		
	9/11/09	15.000	31.910	478.65	974.55	495.90 LT		
	9/2/11	10.000	46.900	469.00	649.70	180.70 LT		
	3/28/13	23.000	49.120	1,129.76	1,494.31	364.55 ST		
	Total	115.000		4,079.91	7,471.55	3,027.09 LT 364.55 ST	207.00	2.77
<b>DUKE ENERGY CORP NEW (DUK)</b>								
Share Price: \$64.970; Next Dividend Payable 03/2014								
	6/1/09	78.000	43.523	3,394.82	5,382.78	1,987.96 LT		
	9/11/09	6.000	43.832	262.99	414.06	151.07 LT		
	11/17/10	3.000	46.987	140.96	207.03	66.07 LT		
	3/28/13	3.000	72.380	217.14	207.03	(10.11) ST		

The Parveen and Neeraj Jain Endowment Fund  
 EIN 47-0934264  
 Form 990-PF, Part II, Line 10b Attachment  
 Page 3 of 8

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$69.010; Next Dividend Payable 03/2014								
GENERAL ELECTRIC CO (GE)								
	5/10/13	4,000	71.910	287.64	276.04	(11.60) ST		
	8/5/13	1,000	71.430	71.43	69.01	(2.42) ST		
<b>Total</b>		<b>95,000</b>		<b>4,374.98</b>	<b>6,555.95</b>	<b>2,205.10 LT</b> <b>(24.13) ST</b>	<b>296.40</b>	<b>4.52</b>
Share Price: \$28.030; Next Dividend Payable 01/27/14								
HAWAIIAN ELECTRIC IND (HE)								
	9/2/11	253,000	15.766	3,988.70	7,091.59	3,102.89 LT		
	3/28/13	8,000	23.120	184.96	224.24	39.28 ST		
	5/10/13	17,000	22.760	386.92	476.51	89.59 ST		
<b>Total</b>		<b>278,000</b>		<b>4,560.58</b>	<b>7,792.34</b>	<b>3,102.89 LT</b> <b>128.87 ST</b>	<b>244.64</b>	<b>3.13</b>
Share Price: \$26.060; Next Dividend Payable 03/2014								
INVESCO MORTGAGE CAPITAL INC (IVR)								
	12/19/03	98,000	23.388	2,292.00	2,553.88	261.88 LT		
	6/1/09	26,000	17.850	464.10	677.56	213.46 LT		
	9/11/09	74,000	17.058	1,262.26	1,928.44	666.18 LT		
	11/17/10	8,000	22.190	177.52	208.48	30.96 LT		
	3/28/13	31,000	27.640	856.84	807.86	(48.98) ST		
	5/10/13	12,000	27.430	329.16	312.72	(16.44) ST		
	8/5/13	6,000	26.650	159.90	156.36	(3.54) ST		
<b>Total</b>		<b>255,000</b>		<b>5,541.78</b>	<b>6,645.30</b>	<b>1,172.48 LT</b> <b>(68.96) ST</b>	<b>316.20</b>	<b>4.75</b>
Share Price: \$14.680; Next Dividend Payable 01/28/14								
MERCK & CO INC NEW COM (MRK)								
	8/10/11	18,000	18.130	326.34	264.24	(62.10) LT		
	9/2/11	275,000	16.425	4,517.01	4,037.00	(480.01) LT		
	3/28/13	11,000	21.400	235.40	161.48	(73.92) ST		
	5/10/13	28,000	20.650	578.20	411.04	(167.16) ST		
	8/5/13	109,000	15.407	1,679.33	1,600.12	(79.21) ST		
<b>Total</b>		<b>441,000</b>		<b>7,336.28</b>	<b>6,473.88</b>	<b>(542.11) LT</b> <b>(320.29) ST</b>	<b>882.00</b>	<b>13.62</b>
Share Price: \$50.050; Next Dividend Payable 01/08/14								
MERCK & CO INC NEW COM (MRK)								
	9/28/10	82,000	37.199	3,050.32	4,104.10	1,053.78 LT		
	11/17/10	25,000	34.760	869.00	1,251.25	382.25 LT		
	8/10/11	12,000	30.220	362.64	600.60	237.96 LT		
	9/2/11	2,000	32.440	64.88	100.10	35.22 LT		
	3/28/13	20,000	44.030	880.60	1,001.00	120.40 ST		
<b>Total</b>		<b>141,000</b>		<b>5,227.44</b>	<b>7,057.05</b>	<b>1,709.21 LT</b> <b>120.40 ST</b>	<b>248.16</b>	<b>3.51</b>

The Parveen and Neeraj Jain Endowment Fund  
 EIN 47-0934264  
 Form 990-PF, Part II, Line 10b Attachment  
 Page 4 of 8

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ORANGE NEW (ORAN)								
	9/2/11	12,000	17.900	214.80	148.20	(66.60) LT		
	4/23/12	1,000	13.060	13.06	12.35	(0.71) LT		
	4/23/12	1,000	13.060	13.06	12.35	(0.71) LT		
	3/28/13	205,000	10.210	2,093.10	2,531.75	438.65 ST		
	3/28/13	205,000	10.210	2,093.10	2,531.75	438.65 ST		
	8/5/13	36,000	9.860	354.97	444.60	89.63 ST		
<b>Total</b>		<b>460,000</b>		<b>4,782.09</b>	<b>5,681.00</b>	<b>(68.02) LT</b>	<b>241.96</b>	<b>4.25</b>
						<b>966.93 ST</b>		

Share Price: \$12.350

PFIZER INC (PFE)

	6/1/09	32,000	14.888	476.40	980.16	503.76 LT		
	9/11/09	6,000	16.310	97.86	183.78	85.92 LT		
	9/28/10	214,000	17.376	3,718.46	6,554.82	2,836.36 LT		
	11/17/10	36,000	16.560	596.16	1,102.68	506.52 LT		
	9/2/11	10,000	18.520	185.20	306.30	121.10 LT		
	5/10/13	14,000	28.635	400.89	428.82	27.93 ST		
<b>Total</b>		<b>312,000</b>		<b>5,474.97</b>	<b>9,556.56</b>	<b>4,053.66 LT</b>	<b>324.48</b>	<b>3.39</b>
						<b>27.93 ST</b>		

Share Price: \$30.630; Next Dividend Payable 03/2014

PG&E CORPORATION (PCG)

	6/1/09	91,000	37.618	3,423.24	3,665.48	242.24 LT		
	9/11/09	9,000	40.070	360.63	362.52	1.89 LT		
	8/10/11	23,000	39.230	902.29	926.44	24.15 LT		
	9/2/11	5,000	41.480	207.40	201.40	(6.00) LT		
	3/28/13	20,000	44.400	888.00	805.60	(82.40) ST		
	8/5/13	1,000	45.620	45.62	40.28	(5.34) ST		
<b>Total</b>		<b>149,000</b>		<b>5,827.18</b>	<b>6,001.72</b>	<b>262.28 LT</b>	<b>271.18</b>	<b>4.51</b>
						<b>(87.74) ST</b>		

Share Price: \$40.280; Next Dividend Payable 01/15/14

POTASH CP OF SASKATCHEWAN INC (POT)

	8/5/13	230,000	29.596	6,807.17	7,580.80	773.63 ST	322.00	4.24
--	--------	---------	--------	----------	----------	-----------	--------	------

Share Price: \$32.960; Next Dividend Payable 02/2014

ROYAL DUTCH SHELL PLC CL B (RDSA)

	8/10/11	34,000	62.221	2,115.52	2,553.74	438.22 LT		
	9/2/11	2,000	66.250	132.50	150.22	17.72 LT		
	3/28/13	12,000	66.840	802.08	901.32	99.24 ST		
	8/5/13	2,000	67.020	134.04	150.22	16.18 ST		
<b>Total</b>		<b>50,000</b>		<b>3,184.14</b>	<b>3,755.50</b>	<b>455.94 LT</b>	<b>180.00</b>	<b>4.79</b>
						<b>115.42 ST</b>		

Share Price: \$75.110

The Parveen and Neeraj Jain Endowment Fund  
 EIN 47-0934264  
 Form 990-PF, Part II, Line 10b Attachment  
 Page 5 of 8

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
SEADRILL LTD (SDRL)	8/10/11	56,000	28.051	1,570.88	2,300.48	729.60 LT		
	3/28/13	21,000	37.280	782.88	862.68	79.80 ST		
<b>Total</b>		<b>77,000</b>		<b>2,353.76</b>	<b>3,163.16</b>	<b>729.60 LT</b> <b>79.80 ST</b>	<b>292.60</b>	<b>9.25</b>

Share Price: \$41.080; Next Dividend Payable 03/2014

SOUTHERN CO (SO)

	9/11/09	81,000	31.069	2,516.55	3,329.91	813.36 LT		
	3/28/13	12,000	46.670	560.04	493.32	(66.72) ST		
	5/10/13	6,000	45.960	275.76	246.66	(29.10) ST		
	8/5/13	3,000	44.120	132.36	123.33	(9.03) ST		
<b>Total</b>		<b>102,000</b>		<b>3,484.71</b>	<b>4,193.22</b>	<b>813.36 LT</b> <b>(104.85) ST</b>	<b>207.06</b>	<b>4.93</b>

Share Price: \$41.110; Next Dividend Payable 03/2014

SOUTHERN COPPER CORP (SCCO)

	6/1/09	89,000	22.325	1,986.95	2,555.19	568.24 LT		
	8/10/11	80,000	28.999	2,319.91	2,296.80	(23.11) LT		
	5/10/13	37,000	33.206	1,228.63	1,062.27	(166.36) ST		
	8/5/13	52,000	26.379	1,371.72	1,492.92	121.20 ST		
<b>Total</b>		<b>258,000</b>		<b>6,907.21</b>	<b>7,407.18</b>	<b>545.13 LT</b> <b>(45.16) ST</b>	<b>175.44</b>	<b>2.36</b>

Share Price: \$28.710; Next Dividend Payable 02/2014

VERIZON COMMUNICATIONS (VZ)

	6/1/09	83,000	27.532	2,285.17	4,078.62	1,793.45 LT		
	9/11/09	19,000	29.061	552.16	933.66	381.50 LT		
	9/28/10	15,000	32.810	492.15	737.10	244.95 LT		
	11/17/10	7,000	32.170	225.19	343.98	118.79 LT		
	9/2/11	6,000	35.600	213.60	294.84	81.24 LT		
	8/5/13	5,000	50.170	250.85	245.70	(5.15) ST		
<b>Total</b>		<b>135,000</b>		<b>4,019.12</b>	<b>6,633.90</b>	<b>2,619.93 LT</b> <b>(5.15) ST</b>	<b>286.20</b>	<b>4.31</b>

Share Price: \$49.140; Next Dividend Payable 02/2014

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
STOCKS				<b>\$116,789.13</b>	<b>\$158,757.36</b>	<b>\$40,437.87 LT</b> <b>\$1,530.36 ST</b>	<b>\$7,157.98</b>	<b>4.51%</b>
		<b>70.1%</b>					<b>\$0.00</b>	

The Parveen and Neeraj Jain Endowment Fund  
 EIN 47-0934264  
 Form 990-PF, Part II, Line 10b Attachment  
 Page 6 of 8

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALLIANZGI CV&INC II (MCZ)								
	9/28/10	778.000	\$9.133	\$7,105.63	\$6,986.44	\$(119.19) LT		
	11/17/10	35.000	8.890	311.15	314.30	3.15 LT		
	8/10/11	84.000	7.827	657.48	754.32	96.84 LT		
	9/2/11	1.000	8.440	8.44	8.98	0.54 LT		
	3/28/13	125.000	8.668	1,083.50	1,122.50	39.00 ST		
	8/5/13	9.000	8.782	79.04	80.82	1.78 ST		
<b>Total</b>		<b>1,032.000</b>		<b>9,245.24</b>	<b>9,287.36</b>	<b>(18.66) LT</b> <b>40.78 ST</b>	<b>1,052.64</b>	<b>11.35</b>

Share Price: \$8.980; Next Dividend Payable 01/02/14

EATON VANCE TAX ADV GBLB DIV (ETG)	9/11/09	494.000	12.924	6,384.46	8,368.36	1,983.90 LT		
	9/28/10	29.000	13.808	400.43	491.26	90.83 LT		
	9/2/11	31.000	13.630	422.53	525.14	102.61 LT		
	5/10/13	12.000	16.150	193.80	203.28	9.48 ST		
	8/5/13	4.000	15.940	63.76	67.76	4.00 ST		
<b>Total</b>		<b>570.000</b>		<b>7,464.98</b>	<b>9,655.80</b>	<b>2,177.34 LT</b> <b>13.48 ST</b>	<b>701.10</b>	<b>7.26</b>

Share Price: \$16.940; Next Dividend Payable 01/20/14

EATON VANCE TAX MGD DIV EQU FD (EXG)	9/11/09	293.000	8.552	2,505.69	2,930.00	424.31 LT R		
	9/28/10	240.000	8.654	2,077.06	2,400.00	322.94 LT R		
	8/10/11	235.000	7.238	1,700.90	2,350.00	649.10 LT R		
	9/2/11	92.000	7.660	704.73	920.00	215.27 LT R		
	3/28/13	82.000	9.358	767.36	820.00	52.64 ST		
	8/5/13	1.000	9.610	9.61	10.00	0.39 ST		
<b>Total</b>		<b>943.000</b>		<b>7,765.35</b>	<b>9,430.00</b>	<b>1,611.62 LT</b> <b>53.03 ST</b>	<b>920.37</b>	<b>9.76</b>

Share Price: \$10.000; Next Dividend Payable 01/20/14

NUVEEN REAL EST INC FD (JRS)	9/2/11	314.000	9.740	3,058.36	2,989.28	(69.08) LT		
	3/28/13	32.000	12.440	398.08	304.64	(93.44) ST		
	8/5/13	49.000	11.471	562.08	466.48	(95.60) ST		



The Parveen and Neeraj Jain Endowment Fund  
 EIN 47-0934264  
 Form 990-PF, Part II, Line 10b Attachment  
 Page 7 of 8

EXCHANGE-TRADED & CLOSED-END FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		395,000		4,018.52	3,760.40	(69.08) LT (189.04) ST	355.50	9.45
Share Price: \$9.520; Next Dividend Payable 03/2014								
<b>THE FINANCIAL SEL SECT SPDR FD (XLF)</b>	6/1/09	178,000	12.410	2,208.93	3,891.08	1,682.15 LT		
	9/28/10	129,000	14.400	1,857.60	2,819.94	962.34 LT		
	8/10/11	109,000	12.437	1,355.63	2,382.74	1,027.11 LT		
	9/2/11	84,000	12.616	1,059.76	1,836.24	776.48 LT		
<b>Total</b>		500,000		6,481.92	10,930.00	4,448.08 LT	160.50	7.46
Share Price: \$21.860; CG IAR Status: AL; Next Dividend Payable 03/2014								

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>Total</b>		19.0%		\$34,976.01	\$43,043.58	\$8,149.30 LT (81.75) ST	\$3,190.11	7.41%
Percentage of Assets %								
Estimated Annual Income								
Accrued Interest								
\$0.00								

EXCHANGE-TRADED & CLOSED-END FUNDS

MUTUAL FUNDS

OTHER MUTUAL FUNDS

"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to the following: investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account.

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
<b>IWA WORLDWIDE A (IWWAX)</b>	9/28/10	545,379	\$16.050	\$8,753.34	\$9,718.65	\$965.31 LT		
	9/2/11	140,142	16.370	2,294.12	2,497.33	203.21 LT		
	8/16/12	313,650	15.880	4,980.76	5,589.24	608.48 LT		
	3/28/13	38,560	16.880	650.90	687.13	36.23 ST		
	5/10/13	5,639	17.331	97.73	100.48	2.75 ST		
<b>Purchases</b>		1,043,370		16,776.85	18,592.83	1,777.00 LT 38.98 ST		
Long Term Reinvestments		242,769		3,788.52	4,326.14	537.62 LT		

The Parveen and Neeraj Jain Endowment Fund  
 EIN 47-0934264  
 Form 990-PF, Part II, Line 10b Attachment  
 Page 8 of 8

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Short Term Reinvestments		55.654		971.17	991.75	20.58 ST		
<b>Total</b>		1,341.793		21,536.54	23,910.75	2,314.62 LT	271.00	1.13
Total Purchases vs Market Value				16,776.85	23,910.75	59.56 ST		
Net Value Increase/(Decrease)					7,133.90			

Share Price: \$17.820; Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest

MUTUAL FUNDS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
				\$21,536.54	\$23,910.75	\$2,314.62 LT	\$271.00	1.13%
<b>Total</b>						\$59.56 ST	\$0.00	

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page.  
 For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.

TOTAL MARKET VALUE

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
				\$173,301.68	\$225,711.65	\$50,901.79 LT	\$10,619.09	4.68%
<b>Total</b>						\$1,508.17 ST	\$0.00	

FORM 990-PF	GAIN OR (LOSS) FROM SALE OF ASSETS	STATEMENT	1
-------------	------------------------------------	-----------	---

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD	
PUBLICLY TRADED SECURITIES				
(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
97,397.	69,594.	0.	0.	27,803.
CAPITAL GAINS DIVIDENDS FROM PART IV				585.
TOTAL TO FORM 990-PF, PART I, LINE 6A				28,388.

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	2
-------------	--	-----------	---

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MORGAN STANLEY 012036	12,194.	585.	11,609.	11,609.	
TO PART I, LINE 4	12,194.	585.	11,609.	11,609.	

FORM 990-PF	ACCOUNTING FEES	STATEMENT	3
-------------	-----------------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	2,180.	2,180.		0.
TO FORM 990-PF, PG 1, LN 16B	2,180.	2,180.		0.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
-------------	-------------------------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	4,136.	4,136.		0.
TO FORM 990-PF, PG 1, LN 16C	4,136.	4,136.		0.

FORM 990-PF	TAXES	STATEMENT	5
-------------	-------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX	56.	56.		0.
TO FORM 990-PF, PG 1, LN 18	56.	56.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
-------------	----------------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT EXPENSE	2,442.	2,442.		0.
TO FORM 990-PF, PG 1, LN 23	2,442.	2,442.		0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	7
-------------	-----------------	-----------	---

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
SECURITIES - SEE ATTACHED SCHEDULE	173,302.	225,711.
TOTAL TO FORM 990-PF, PART II, LINE 10B	173,302.	225,711.

FORM 990-PF

PART XV - LINE 1A  
LIST OF FOUNDATION MANAGERS

STATEMENT 8

NAME OF MANAGER

PARVEEN JAIN  
NEERAJ JAIN