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Form 990-PF

## Return of Private Foundation

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

OMB No 1545-0052

2014

Open to Public Inspection

Department of the Treasury  
Internal Revenue ServiceDo 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).

For calendar year 2014 or tax year beginning

, and ending

Name of foundation

A Employer identification number

THE JOSEPH H. &amp; REVA ENGEL FOUNDATION

63-0989498

Number and street (or P.O. box number if mail is not delivered to street address)

Room/suite

P. O. BOX 3128

B Telephone number

(205) 221-4000

City or town, state or province, country, and ZIP or foreign postal code

JASPER, AL 35502-3128

C If exemption application is pending, check here ☐

G Check all that apply

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeD 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐

H Check type of organization

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐

I Fair market value of all assets at end of year

J Accounting method

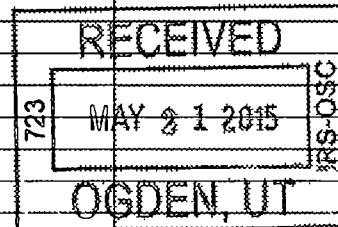
☒ Cash☐ AccrualF If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

(from Part II, col (c), line 16)

☐ Other (specify)

\$ 249,297. (Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received	287,500.		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	133.	133.		STATEMENT 1
4	Dividends and interest from securities	579.	579.		STATEMENT 2
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	-2,820.			
b	Gross sales price for all assets on line 6a	63,384.			
7	Capital gain net income (from Part IV, line 2)		0.		
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	285,392.	712.		
13	Compensation of officers, directors, trustees, etc	0.	0.		0.
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees				
b	Accounting fees STMT 3	4,183.	3,137.		1,046.
c	Other professional fees STMT 4	37.	37.		0.
17	Interest				
18	Taxes STMT 5	10.	10.		0.
19	Depreciation and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses STMT 6	214.	97.		117.
24	Total operating and administrative expenses. Add lines 13 through 23	4,444.	3,281.		1,163.
25	Contributions, gifts, grants paid	90,644.			90,644.
26	Total expenses and disbursements. Add lines 24 and 25	95,088.	3,281.		91,807.
27	Subtract line 26 from line 12	190,304.			
a	Excess of revenue over expenses and disbursements		0.		
b	Net investment income (if negative, enter -0-)				
c	Adjusted net income (if negative, enter -0-)			N/A	

423501  
11-24-14

LHA For Paperwork Reduction Act Notice, see instructions.

Form 990-PF (2014)

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2014.03040 THE JOSEPH H. &amp; REVA ENGEL 5074 1

16

**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			
	2 Savings and temporary cash investments	54,943.	95,853.	95,853.
	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			
	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	0.	124,343.	128,368.
	c Investments - corporate bonds STMT 8	0.	25,048.	25,073.
	<b>Liabilities</b>	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 ▶ STATEMENT 9)		0.	3.	3.
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		54,943.	245,247.	249,297.
17 Accounts payable and accrued expenses				
18 Grants payable				
<b>Net Assets or Fund Balances</b>	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
22 Other liabilities (describe ▶)				
23 Total liabilities (add lines 17 through 22)	0.	0.		
<b>Net Assets or Fund Balances</b>	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	54,943.	245,247.	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
30 Total net assets or fund balances	54,943.	245,247.		
31 Total liabilities and net assets/fund balances	54,943.	245,247.		

**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	54,943.
2 Enter amount from Part I, line 27a	2	190,304.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	245,247.
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	245,247.

**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 STATEMENT D-1	P	VARIOUS	12/31/14
b WASHED SALES - SEE STATEMENT D-1	P	VARIOUS	12/31/14
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 62,096.		66,204.	-4,108.
b 1,288.			1,288.
c			
d			
e			

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	
a			-4,108.
b			1,288.
c			
d			
e			

2 Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	2	-2,820.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)		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))
2013	75,107.	107,137.	.701037
2012	135,776.	46,215.	2.937921
2011	239,834.	214,237.	1.119480
2010	134,125.	172,270.	.778574
2009	240,504.	295,447.	.814034

2 Total of line 1, column (d)	2	6.351046
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	1.270209
4 Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	280,263.
5 Multiply line 4 by line 3	5	355,993.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	0.
7 Add lines 5 and 6	7	355,993.
8 Enter qualifying distributions from Part XII, line 4	8	91,807.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)	1	0.
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)	2	0.
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	3	0.
3	Add lines 1 and 2	4	0.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	5	0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		
6	Credits/Payments		
a	2014 estimated tax payments and 2013 overpayment credited to 2014	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	0.
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 2015 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 <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 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.		
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?		
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		
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> AL		
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		
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 2014 or the taxable year beginning in 2014 (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		

**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 ► MARK PFLAUM, CPA Telephone no ► 205-221-4000 Located at ► 17 EAST 18TH STREET, P.O. BOX 3128, JASPER, AL ZIP+4 ► 35502-3128			
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 2014, 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 FinCEN Form 114, (formerly 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 2014?		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 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? 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 2014 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 2014)	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 2014?		4b X

Form 990-PF (2014)

**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 4945(d)(4)(A)? (see instructions)

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

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

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

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

☐ Yes ☒ No

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

N/A

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

**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
LISA R. ENGEL 3547 KINGSHILL RD BIRMINGHAM, AL 35223	PRESIDENT/DIRECTOR 7.50	0.	0.	0.
ALAN Z. ENGEL 3547 KINGSHILL RD BIRMINGHAM, AL 35223	VICE PRES/SECRETARY/DIRECT 1.00	0.	0.	0.
ANDREA ENGEL Haines 3547 KINGSHILL RD BIRMINGHAM, AL 35223	TREASURER/DIRECTOR 0.25	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
N/A	0.00	0.	0.	0.

Total number of other employees paid over \$50,000

0

Form 990-PF (2014)

**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
N/A		0.
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 N/A	0.

**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	0.
All other program-related investments See instructions	
3	
Total. Add lines 1 through 3	0.

Form 990-PF (2014)



**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	52,662.
b	Average of monthly cash balances	1b	231,869.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	284,531.
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	284,531.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	4,268.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	280,263.
6	Minimum investment return. Enter 5% of line 5	6	14,013.

**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	14,013.
2a	Tax on investment income for 2014 from Part VI, line 5	2a	
b	Income tax for 2014 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	0.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	14,013.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	14,013.
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	14,013.

**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	91,807.
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	91,807.
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	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	91,807.

**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.

Form 990-PF (2014)

**Part XIII** Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2013	(c) 2013	(d) 2014
<b>1</b> Distributable amount for 2014 from Part XI, line 7				14,013.
<b>2</b> Undistributed income, if any, as of the end of 2014				
<b>a</b> Enter amount for 2013 only			0.	
<b>b</b> Total for prior years		0.		
<b>3</b> Excess distributions carryover, if any, to 2014				
<b>a</b> From 2009	225,978.			
<b>b</b> From 2010	126,029.			
<b>c</b> From 2011	229,410.			
<b>d</b> From 2012	133,509.			
<b>e</b> From 2013	69,750.			
<b>f</b> Total of lines 3a through e	784,676.			
<b>4</b> Qualifying distributions for 2014 from Part XII, line 4 ▶ \$ 91,807.				
<b>a</b> Applied to 2013, but not more than line 2a			0.	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	0.			
<b>d</b> Applied to 2014 distributable amount	77,794.			14,013.
<b>e</b> Remaining amount distributed out of corpus	0.			0.
<b>5</b> Excess distributions carryover applied to 2014 (If an amount appears in column (d), the same amount must be shown in column (a))				
<b>6</b> Enter the net total of each column as indicated below:	862,470.			
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5				
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b		0.		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
<b>d</b> Subtract line 6c from line 6b Taxable amount - see instructions		0.		
<b>e</b> Undistributed income for 2013 Subtract line 4a from line 2a Taxable amount - see instr			0.	
<b>f</b> Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015				0.
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
<b>8</b> Excess distributions carryover from 2009 not applied on line 5 or line 7	225,978.			
<b>9</b> Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	636,492.			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2010	126,029.			
<b>b</b> Excess from 2011	229,410.			
<b>c</b> Excess from 2012	133,509.			
<b>d</b> Excess from 2013	69,750.			
<b>e</b> Excess from 2014	77,794.			



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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>				
SEE STATEMENT C-1	N/A	PUBLIC	VARIOUS	90,644.
<b>Total</b>			<b>3a</b>	90,644.
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>			<b>3b</b>	0.





**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

**2014**

Name of the organization

THE JOSEPH H. & REVA ENGEL FOUNDATION

Employer identification number

63-0989498

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, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

- ☐ For an organization described in section 501(c)(3) 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), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions 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 an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled 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 totaling \$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) (2014)

Name of organization

Employer identification number

**THE JOSEPH H. & REVA ENGEL FOUNDATION****63-0989498****Part I Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ALAN Z. ENGEL 3547 KINGSHILL RD. BIRMINGHAM, AL 35223	\$ 112,500.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
2	JOSEPH ENGEL REVOCABLE TRUST DTD 6/30/99 505 20TH STREET NORTH, STE. 1150 BIRMINGHAM, AL 35203	\$ 175,000.	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.)



Name of organization

Employer identification number

THE JOSEPH H. &amp; REVA ENGEL FOUNDATION

63-0989498

**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 JOSEPH H. &amp; REVA ENGEL FOUNDATION

63-0989498

**Part III** Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. 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 info. 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

**R. H. BLUESTEIN & COMPANY**  
INVESTMENT MANAGERS AND ADVISORS

**PORTFOLIO APPRAISAL**  
**Joseph H. and Reva Engel Foundation (Alan Engel),**  
**Lisa R. Engel, Alan Z. Engel and Andrea J. Engel, Directors (HS8621)**  
December 31, 2014

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Yield
<b>COMMON STOCK</b>							
<b>CONSUMER DISCRETIONARY</b>							
10	Amazon.com Inc	332.52	3,325	310.35	3,104	1.7	0.0
200	Ford Motor Company	16.60	3,320	15.50	3,100	1.7	3.2
50	Goodyear Tire & Rubber	25.39	1,269	28.57	1,429	0.8	0.8
15	GoPro Inc Cl A	43.36	650	63.22	948	0.5	0.0
35	Home Depot Inc	90.59	3,171	104.97	3,674	2.0	1.8
37	Jarden Corp	38.97	1,442	47.88	1,772	1.0	0.0
50	Under Armour Inc Cl A	67.54	3,377	67.90	3,395	1.9	0.0
35	Walt Disney Co	90.23	3,158	94.19	3,297	1.8	1.2
			19,712		20,717	11.4	1.1
<b>CONSUMER STAPLES</b>							
25	Anheuser-Busch InBev ADR	111.12	2,778	112.32	2,808	1.5	2.4
50	Church & Dwight Co	69.77	3,488	78.81	3,941	2.2	1.6
25	Costco Wholesale Corp	121.89	3,047	141.75	3,544	2.0	1.0
100	WhiteWave Foods Cl A	35.80	3,580	34.99	3,499	1.9	0.0
			12,894		13,791	7.6	1.2
<b>ENERGY</b>							
35	Exxon Mobil Corp	99.59	3,486	92.45	3,236	1.8	3.0
150	GasLog Ltd	20.64	3,096	20.35	3,053	1.7	2.8
50	Occidental Petroleum	90.63	4,531	80.61	4,031	2.2	3.6
35	Schlumberger Ltd	105.12	3,679	85.41	2,989	1.6	1.9
			14,792		13,308	7.3	2.9
<b>FINANCIALS</b>							
35	Prudential Financial Inc	90.04	3,151	90.46	3,166	1.7	2.6
25	Wells Fargo & Co	51.42	1,286	54.82	1,371	0.8	2.6
			4,437		4,537	2.5	2.6
<b>HEALTHCARE</b>							
15	Actavis PLC	229.23	3,439	257.41	3,861	2.1	0.0
50	Bristol-Myers Squibb	53.86	2,693	59.03	2,952	1.6	2.5
25	Gilead Sciences Inc	104.35	2,609	94.26	2,357	1.3	0.0
25	Johnson & Johnson	108.38	2,710	104.57	2,614	1.4	2.7
50	Medtronic Inc	65.39	3,269	72.20	3,610	2.0	1.7
25	Thermo Fisher Scientific	121.95	3,049	125.29	3,132	1.7	0.5
			17,768		18,526	10.2	1.2
<b>INDUSTRIALS</b>							
15	Boeing Co	127.86	1,918	129.98	1,950	1.1	2.8
35	Caterpillar Inc	105.54	3,694	91.53	3,204	1.8	3.1
75	Delta Air Lines Inc	41.46	3,109	49.19	3,689	2.0	0.7
15	Lockheed Martin Corp	175.15	2,627	192.57	2,889	1.6	3.1
50	Nielsen Hldgs NV	41.93	2,096	44.73	2,237	1.2	2.2
15	Union Pacific Corp	105.94	1,589	119.13	1,787	1.0	1.7

**R. H. BLUESTEIN & COMPANY**  
INVESTMENT MANAGERS AND ADVISORS

**PORTFOLIO APPRAISAL**  
**Joseph H. and Reva Engel Foundation (Alan Engel),**  
**Lisa R. Engel, Alan Z. Engel and Andrea J. Engel, Directors (HS8621)**  
December 31, 2014

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Yield
15	United Parcel Service Cl B	98.58	1,479	111.17	1,668	0.9	2.4
50	Xylem Inc	37.70	1,885	38.07	1,904	1.1	1.3
			18,397		19,326	10.7	2.1
<b>TECHNOLOGY</b>							
25	Apple Inc	100.86	2,522	110.38	2,760	1.5	1.7
25	ARM Hldgs PLC ADR	46.68	1,167	46.30	1,158	0.6	0.6
25	Facebook Inc Cl A	75.92	1,898	78.02	1,951	1.1	0.0
5	Google Inc Cl C	582.45	2,912	526.40	2,632	1.5	0.0
15	IBM Corp	191.75	2,876	160.44	2,407	1.3	2.7
35	Palo Alto Networks Inc	98.64	3,452	122.57	4,290	2.4	0.0
15	Visa Inc Cl A	225.15	3,377	262.20	3,933	2.2	0.7
			18,205		19,129	10.6	0.8
<b>MATERIALS</b>							
25	Ecolab Inc	113.91	2,848	104.52	2,613	1.4	1.3
25	Monsanto Co	117.84	2,946	119.47	2,987	1.6	1.6
15	Sherwin Williams Co	217.59	3,264	263.04	3,946	2.2	0.8
			9,058		9,545	5.3	1.2
<b>UTILITIES</b>							
50	American Water Works	49.38	2,469	53.30	2,665	1.5	2.3
25	NextEra Energy Inc	101.73	2,543	106.29	2,657	1.5	2.7
			5,012		5,322	2.9	2.5
<b>SPECIAL SITUATIONS</b>							
10	AMERCO	290.85	2,909	284.26	2,843	1.6	0.0
50	Taser Intl Inc	23.19	1,160	26.48	1,324	0.7	0.0
			4,068		4,167	2.3	0.0
			124,343		128,368	70.9	1.5
<b>CORPORATE BONDS</b>							
25,000	PEPSICO INC (Callable 0.750% Due 03-05-15 Accrued Interest	100.19	25,048	100.05	25,013	13.8	0.3
					60	0.0	
			25,048		25,073	13.8	0.3
<b>CASH/MONEY MKT</b>							
	Federated Govt Obligations Fund		27,739		27,739	15.3	0.0
<b>TOTAL PORTFOLIO</b>			<b>177,131</b>		<b>181,181</b>	<b>100.0</b>	<b>1.1</b>

**THE JOSEPH H. AND REVA ENGEL FOUNDATION**  
**FORM 990 - PF**  
**12/31/2014**

RECIPIENT	PURPOSE	AMOUNT
Ahavath Achim Synagogue	Religious	18.00
Alabama Ballet	Civic	50.00
Alabama Possible	Civic	50.00
Alabama State Trooper Association	Civic	25.00
Alabama Symphony Orchestra	Civic	750.00
Alpha Epsilon Phi	Educational	100.00
Alzheimers Of Central Alabama	Medical	25.00
Alzheimers Association, St Louis Chapter	Medical	50.00
Balkan Sunflowers USA	Civic	250.00
Birmingham First Seventh Day Adventist	Religious	250.00
Birmingham Holocaust Educational Committee	Educational	554.00
Birmingham Jewish Federation	Civic	5,018.00
Birmingham Jewish Foundation	Religious	288.00
Bloom Hillel	Educational	100.00
Chabad Of Alabama	Religious	360.00
Chabad at Washington U in St Louis	Educational	360.00
Children's Miracle Network Hospital	Medical	100.00
Collat Jewish Family Serv.	Religious	2,108.00
Collat School of Business	Civic	250.00
Community Furniture Bank	Civic	50.00
Congregation Beth-El	Religious	18.00
Crippled Children's Foundation	Medical	100.00
Crisis Center	Medical	75.00
Delta Gamma	Civic	25.00
Dixie Golf Foundation	Civic	150.00
Emmet O'Neal Library	Educational	50.00
Friends of Yemin Orde	Civic	2,500.00
Gateway	Civic	100.00
Girl Scouts of North Central Alabama	Civic	50.00
Girls Inc.	Civic	500.00
Hadassah	Religious	220.00
Heart Gallery Alabama	Medical	100.00
Hispanic Interest Coalition	Civic	150.00
Horizons School	Educational	2,500.00
Institute Of Southern Jewish Life	Civic	500.00
Jewish Federation Of Central AL	Civic	500.00
Knesseh Israel	Religious	518.00
Louisiana Walks For PAN	Medical	100.00
Magic Moments	Civic	50.00
March of Dimes	Medical	50.00
McWane Center	Civic	85.00
Md Anderson Cancer Center	Medical	25.00
Mitchell's Place	Civic	50.00
Mountain Brook Firefighters Local	Civic	25.00
N E Miles Jewish Day School	Educational	2,554.00
National Fire Safety Council Inc.	Civic	52.00
Northwestern University	Educational	6,000.00
Oasis	Civic	750.00
Planned Parenthood Of AL	Educational	500.00
Railroad Park Foundation	Civic	104.00
Ramah Darom	Religious	1,000.00
Ransom Everglades School	Educational	50.00

**THE JOSEPH H. AND REVA ENGEL FOUNDATION**  
**FORM 990 - PF**  
**12/31/2014**

RECIPIENT	PURPOSE	AMOUNT
Robert E Reed Gastrointestinal Oncology Fund	Medical	100.00
RUFF Animal Rescue	Civic	25.00
Sisterhood Of Temple Beth-El	Religious	262.00
Sixth Avenue Baptist Church	Religious	100.00
Teach for America	Educational	5,000.00
Temple Beth El	Religious	1,168.00
Temple Emanu-El	Religious	504.00
Temple Israel	Religious	18.00
The Exceptional Foundation	Educational	100.00
The Seven Project Association	Civic	250.00
The Women's Fund	Civic	100.00
Torah Fund	Civic	180.00
UAB	Medical	100.00
UAB Dept. Of Psychiatry	Medical	50,000.00
UAB National Alumni Society	Civic	100.00
United Negro College Fund	Educational	100.00
United States Holocaust Museum	Civic	280.00
University of Colorado Foundation	Civic	250.00
WBHM Public Radio	Civic	150.00
Women's Jewish Learning Center	Educational	500.00
Woodlawn Foundation	Civic	1,000.00
YWCA	Civic	150.00
		<u>90,644.00</u>

2014 Tax Information Statement

**Payer's Name and Address:**  
STATE STREET BANK & TRUST COMPANY  
WMS TAX DEPARTMENT  
PO BOX 5300  
BOSTON, MA 02206-5300

**Account Number:** EJ8621  
**Recipient's Tax ID Number:** XX-XX9498  
**Payer's Federal ID Number:** 20-8007203  
**Payer's State ID Number:** AL  
**Questions?** (844)221-1939  
☐ Corrected ☐ 2nd TIN notice

**Recipient's Name and Address:**  
JOSEPH H. & REVA ENGEL FOUNDATION  
CROWNE PARTNERS, ATTN: ALAN ENGEL  
505 NORTH 20TH STREET, SUITE 1150  
BIRMINGHAM, AL 35203

2014 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is proceeds less commissions and option premiums.  
Covered (Box 5 is not checked)

Description of Property (Box 1a)		Date Sold or Disposed of (Box 1b)		Proceeds (Box 1c)		Cost or Other Basis (Box 1d)		Code if any (Box 1e)		Adjustments (Box 1f)		Net Gain or Loss (Box 1g)		Federal Income Tax Withheld (Box 4)		State Tax Withheld (Box 16)	
Cusip Number		Date		Proceeds		Cost or Other Basis		Code		Adjustments		Net Gain or Loss		Tax Withheld		Tax	
Short Term Sales Reported on 1099-B		ARM HLDGS PLC SPONSORED ADR		A		A		W		187.63		0.00		0.00		0.00	
042068106		10/15/2014 08/21/2014		992.87		1,180.50		W		187.63		0.00		0.00		0.00	
25.0		ARM HLDGS PLC SPONSORED ADR		A		A		W		0.00		-73.22		0.00		0.00	
042068106		12/22/2014 09/10/2014		1,166.16		1,239.38		W		0.00		0.00		0.00		0.00	
10.0		BOEING CO COM		A		A		W		88.60		0.00		0.00		0.00	
097023105		10/15/2014 09/10/2014		1,192.60		1,281.20		W		0.00		0.00		0.00		0.00	
10.0		BOEING CO COM		A		A		W		0.00		-66.33		0.00		0.00	
097023105		12/22/2014 09/30/2014		1,280.97		1,347.30		W		0.00		0.00		0.00		0.00	
20.0		CALIFORNIA RESOURCES CORP W/I		A		A		W		0.00		-23.41		0.00		0.00	
130570107		12/04/2014 Various		140.28		163.69		W		0.00		0.00		0.00		0.00	
50.0		CBS CORP-B		A		A		W		0.00		-292.48		0.00		0.00	
124857202		09/22/2014 08/21/2014		2,728.02		3,020.50		W		0.00		0.00		0.00		0.00	
35.0		CHUBB CORP COM		A		A		W		0.00		-7.15		0.00		0.00	
171232101		09/29/2014 Various		3,186.55		3,193.70		W		230.90		0.00		0.00		0.00	
25.0		DELTA AIR LINES INC		A		A		W		0.00		0.00		0.00		0.00	
247361702		10/15/2014 08/21/2014		779.35		1,004.25		W		230.90		0.00		0.00		0.00	

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. The taxpayer is ultimately responsible for the accuracy of their own tax return.

# 2014 Tax Information Statement

Page 5 of 16

**Payer's Name and Address:**  
STATE STREET BANK & TRUST COMPANY  
WMS TAX DEPARTMENT  
PO BOX 5300  
BOSTON, MA 02208-5300

**Account Number:** EJ8621  
**Recipient's Tax ID Number:** XX-XXX9498  
**Payer's Federal ID Number:** 20-8007203  
**Payer's State ID Number:** AL  
**State:** AL  
**Questions?** (844)221-1939  
☐ Corrected ☐ 2nd TIN notice

**Recipient's Name and Address:**  
JOSEPH H. & REVA ENGEL FOUNDATION  
CROWNE PARTNERS, ATTN: ALAN ENGEL  
505 NORTH 20TH STREET, SUITE 1150  
BIRMINGHAM, AL 35203

## 2014 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is proceeds less commissions and option premiums.  
Covered (Box 5 is not checked)

Disposition Code	Box 1c (Box 1c)	Box 1b (Box 1b)	Box 1d (Box 1d)	Box 1e (Box 1e)	Box 1f (Box 1f)	Box 1g (Box 1g)	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
25.0	DELTA AIR LINES INC	12/22/2014	09/10/2014	A	1,188.47	1,288.15	-102.68	0.00	0.00
10.0	DIAGEO PLC SPONSORED ADR NEW	09/10/2014	08/21/2014	A	1,202.67	1,193.70	8.97	0.00	0.00
35.0	FREEMPORT-MCMORAN COPPER & GOLD INC CL B	09/09/2014	08/21/2014	A	1,199.21	1,285.20	-85.99	0.00	0.00
50.0	GENERAL ELECTRIC CO COM	10/15/2014	08/21/2014	A	1,194.95	1,324.75	-129.80	0.00	0.00
50.0	GENERAL ELECTRIC CO COM	12/17/2014	08/21/2014	A	1,217.08	1,324.75	-107.67	0.00	0.00
50.0	GOODYEAR TIRE & RUBBER CO COM	10/15/2014	08/21/2014	A	971.72	1,269.25	-297.53	0.00	0.00
10.0	GOPRO INC-CLASS A	10/15/2014	08/21/2014	A	695.20	433.60	261.60	0.00	0.00
38288T103	HESS CORP	09/22/2014	08/21/2014	A	2,406.48	2,508.00	-101.54	0.00	0.00

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## 2014 Tax Information Statement

Page 6 of 16

**Payer's Name and Address:**  
 STATE STREET BANK & TRUST COMPANY  
 WMS TAX DEPARTMENT  
 PO BOX 5300  
 BOSTON, MA 02206-5300

**Account Number:** EJ8621  
**Recipient's Tax ID Number:** XX-XXX9498  
**Payer's Federal ID Number:** 20-8007203  
**Payer's State ID Number:** AL  
**State:** (844)221-1939  
**Questions?** ☐ Corrected ☐ 2nd TIN notice

**Recipient's Name and Address:**  
 JOSEPH H. & REVA ENGEL FOUNDATION  
 CROWNE PARTNERS, ATTN: ALAN ENGEL  
 505 NORTH 20TH STREET, SUITE 1150  
 BIRMINGHAM, AL 35203

## 2014 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is proceeds less commissions and option premiums.  
 Covered (Box 5 is not checked)

Number	Description of property (Box 1a) or Disposed, Acquired	Date of Sale or Disposition	Form 8949 Checkbox	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Code if any (Box 1f)	Adjustments (Box 1g)	Net Gain or Loss (Box 4)	Federal Income Tax Withheld (Box 16)
25000.0	IBM CORP 0.875% 10/31/14	10/31/2014	A	25,000.00	25,021.00		0.00	-21.00	0.00
459200G28		09/11/2014	A						
25.0	JARDEN CORP	10/15/2014	A	1,367.84	1,481.25	W	93.41	0.00	0.00
471109108	JARDEN CORP	08/21/2014	A						
38.0									
471109108		12/22/2014	A	1,780.95	1,735.39		0.00	45.56	0.00
15.0	PERRIGO CO PLC COMMON STOCK NPV	Various	A						
G97822103		11/17/2014	A	2,300.28	2,222.85		0.00	77.43	0.00
15.0	STARWOOD HOTELS & RESORTS	08/21/2014	A						
85590A401		09/10/2014	A	1,258.75	1,266.60		0.00	-9.85	0.00
10.0	UNION PACIFIC CORP COM	08/21/2014	A						
907818108		10/15/2014	A	985.67	1,059.40		0.00	-73.73	0.00
10.0	UNITED PARCEL SERVICE - CL B	08/21/2014	A						
911312106		10/15/2014	A	947.12	985.80	W	38.68	0.00	0.00
10.0	UNITED PARCEL SERVICE - CL B	08/21/2014	A						
911312106		12/22/2014	A	1,117.53	1,109.98		0.00	7.55	0.00

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# 2014 Tax Information Statement

Page 7 of 16

**Payer's Name and Address:**  
STATE STREET BANK & TRUST COMPANY  
WMS TAX DEPARTMENT  
PO BOX 5300  
BOSTON, MA 02206-5300

**Account Number:**  
EJ8621  
**Recipient's Tax ID Number:**  
XX-XXX9498  
**Payer's Federal ID Number:**  
20-8007203  
**Payer's State ID Number:**  
AL  
**State:**  
(844)221-1939  
**Questions?**  
☐ Corrected ☐ 2nd TIN notice

**Recipient's Name and Address:**  
JOSEPH H. & REVA ENGEL FOUNDATION  
CROWNE PARTNERS, ATTN: ALAN ENGEL  
505 NORTH 20TH STREET, SUITE 1150  
BIRMINGHAM, AL 35203

## 2014 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is proceeds less commissions and option premiums.  
Covered (Box 5 is not checked)

Dispositions (Box 1a)	Date Sold or Disposed (Box 1b)	Form 8949 Check Box	Other Basis (Box 1c)	Cost or Other Basis (Box 1d)	Code Entry (Box 1e)	Adjustments (Box 1f)	Net Gain or Loss (Box 1g)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 16)
25.0 WELLS FARGO & COMPANY									
949746101	10/09/2014	08/21/2014	A	1,278.34	1,285.50	W	7.16	0.00	0.00
25.0 WELLS FARGO & COMPANY									
949746101	10/16/2014	08/21/2014	A	1,171.99	1,285.50		0.00	0.00	0.00
25.0 WELLS FARGO & COMPANY									
949746101	12/22/2014	09/16/2014	A	1,369.97	1,336.79		0.00	0.00	0.00
10.0 WHITING PETROLEUM CORP									
966387102	12/01/2014	09/10/2014	A	400.56	822.40		0.00	0.00	0.00
15.0 WHITING PETROLEUM CORP									
966387102	12/01/2014	Various	A	600.84	1,242.10	W	641.26	0.00	0.00
25.0 WHITING PETROLEUM CORP									
966387102	12/04/2014	Various	A	983.40	2,311.01		0.00	0.00	0.00
<b>Total Short Term Sales Reported on 1099-B</b>				<b>82,095.80</b>	<b>86,204.49</b>		<b>1,287.64</b>	<b>0.00</b>	<b>0.00</b>

Report on Form 8949, Part I, with Box A checked

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## FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
FIRST NATIONAL BANK OF JASPER	133.	133.	
TOTAL TO PART I, LINE 3	133.	133.	

## 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
STATE STREET BANK AND TRUST CO, NOMINEE	29.	0.	29.	29.	
STATE STREET BANK AND TRUST CO, NOMINEE	550.	0.	550.	550.	
TO PART I, LINE 4	579.	0.	579.	579.	

## 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	4,183.	3,137.		1,046.
TO FORM 990-PF, PG 1, LN 16B	4,183.	3,137.		1,046.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT ADVISORY FEE - RHB	37.	37.		0.
TO FORM 990-PF, PG 1, LN 16C	37.	37.		0.

FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX PAID	10.	10.		0.
TO FORM 990-PF, PG 1, LN 18	10.	10.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK CHARGES	96.	72.		24.
ANNUAL REG.	85.	0.		85.
POSTAGE	31.	23.		8.
ADR FEES	2.	2.		0.
TO FORM 990-PF, PG 1, LN 23	214.	97.		117.

FORM 990-PF	CORPORATE STOCK	STATEMENT	7
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
BLUESTEIN & COMPANY - NOMINEE - SEE STATEMENT A-1	124,343.	128,368.
TOTAL TO FORM 990-PF, PART II, LINE 10B	124,343.	128,368.

FORM 990-PF	CORPORATE BONDS	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
BLUESTEIN & COMPANY - NOMINEE - SEE STATEMENT A-1	25,048.	25,073.
TOTAL TO FORM 990-PF, PART II, LINE 10C	25,048.	25,073.

FORM 990-PF	OTHER ASSETS	STATEMENT	9
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DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
PURCHASED INTEREST PAID	0.	3.	3.
TO FORM 990-PF, PART II, LINE 15	0.	3.	3.

FORM 990-PF	STATEMENT CONCERNING LIQUIDATION, TERMINATION, ETC. - PART VII-A, LINE 5	STATEMENT	10
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## EXPLANATION

THE FOUNDATION IS THE BENEFICIARY OF THE ESTATE OF JOSEPH H. ENGEL. IT IS EXPECTED THAT A TOTAL OF \$1.5 MILLION WILL BE RECEIVED FROM THE ESTATE UPON ITS TERMINATION. AS OF DECEMBER 31, 2014, A PARTIAL DISTRIBUTION WAS RECEIVED FROM THE ESTATE. ALONG WITH ASSETS ON HAND, THE FOUNDATION USED THE ESTATE BEQUEST TO SATISFY CERTAIN CHARITABLE DONATIONS. NO TECHNICAL TERMINATION OF THE FOUNDATION HAS OCCURRED NOR IS ONE EXPECTED IN THE NEAR FUTURE.

FORM 990-PF

LIST OF SUBSTANTIAL CONTRIBUTORS  
PART VII-A, LINE 10

STATEMENT 11

## NAME OF CONTRIBUTOR

## ADDRESS

JOSEPH H. ENGEL REV. TRUST DTD  
6/30/99505 20TH STREET NORTH, STE.1150  
BIRMINGHAM, AL 35203