Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter social security numbers on this form as it may be made public.

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

OMB No 1545-0052

2014

Open to Public Inspection

For calendar year 2014 or tax year beginning 10/01, 2014, and ending 09/30, 2015

Name of foundation: THE ROBERT G. & JANE V. ENGEL FOUNDATION INC.

A Employer identification number: 22-2764445

Number and street (or P O box number if mail is not delivered to street address): P.O. BOX 42 - 80 WEARIMUS ROAD

Room/suite:

B Telephone number (see instructions): ( ) -

City or town, state or province, country, and ZIP or foreign postal code: HO-HO-KUS, NJ 07423-0042

C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐

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

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 958,763.

J Accounting method [X] Cash ☐ Accrual ☐ Other (specify) ______ (Part I, column (d) must be on cash basis.)

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

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue 1	Contributions, gifts, grants, etc received (attach schedule)	110,256.			
2	Check ▶ ☐ if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	36,428.	36,428.		ATCH 1
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	308,784.			
b	Gross sales price for all assets on line 6a 1,093,063.				
7	Capital gain net income (from Part IV, line 2)		308,784.		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less Cost of goods sold				
c	Gross profit or (loss) (attach schedule)				
11	Other income (attach schedule) ATCH 2	14,982.			
12	**Total.** Add lines 1 through 11	470,450.	345,212.		
Operating and Administrative Expenses 13	Compensation of officers, directors, trustees, etc	0			
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule) ATCH 3	13,000.			
c	Other professional fees (attach schedule)				
17	Interest				
18	Taxes (attach schedule) (see instructions) [4]	3,918.	1,936.		
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (attach schedule) ATCH 5	17,706.	17,706.		
24	**Total operating and administrative expenses.** Add lines 13 through 23	34,624.	19,642.		
25	Contributions, gifts, grants paid	280,000.			280,000.
26	**Total expenses and disbursements** Add lines 24 and 25	314,624.	19,642.	0	280,000.
27	Subtract line 26 from line 12				
a	**Excess of revenue over expenses and disbursements**	155,826.			
b	**Net investment income** (if negative, enter -0-)		325,570.		
c	**Adjusted net income** (if negative, enter -0-)				

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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing			
	2	Savings and temporary cash investments	31,461.	15,724.	15,724.
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10 a	Investments - U S and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule) ATCH 6	746,679.	832,102.	816,656.
	c	Investments - corporate bonds (attach schedule) ATCH 7	109,888.	25,518.	25,380.
	11	Investments - land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule) ATCH 8	39,582.	106,513.	101,003.
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	927,610.	979,857.	958,763.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, ▶ ☐ check here and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	927,610.		
	30	**Total net assets or fund balances** (see instructions)	927,610.	0	
	31	**Total liabilities and net assets/fund balances** (see instructions)	927,610.	979,857.	

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	927,610.
2	Enter amount from Part I, line 27a	2	155,826.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	1,083,436.
5	Decreases not included in line 2 (itemize) ▶ ATCH 9	5	103,579.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	979,857.

Form **990-PF** (2014)

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	SEE PART IV SCHEDULE			
b				
c				
d				
e				

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

	(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	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				
b				
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	308,784.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	0

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2013	280,415.	1,306,138.	0.214690
2012	277,678.	1,271,753.	0.218343
2011	303,041.	1,343,564.	0.225550
2010	306,710.	1,501,798.	0.204229
2009	318,678.	1,643,316.	0.193924

2	Total of line 1, column (d)	2	1.056736
3	Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.211347
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	1,252,009.
5	Multiply line 4 by line 3	5	264,608.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,256.
7	Add lines 5 and 6	7	267,864.
8	Enter qualifying distributions from Part XII, line 4	8	280,000.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 . . . Date of ruling or determination letter _______________ (attach copy of letter if necessary - see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b	1	3,256.
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	
3	Add lines 1 and 2	3	3,256.
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	3,256.
6	Credits/Payments		
a	2014 estimated tax payments and 2013 overpayment credited to 2014 — 6a: 1,982.		
b	Exempt foreign organizations - tax withheld at source — 6b:		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 5,000.		
d	Backup withholding erroneously withheld — 6d:		
7	Total credits and payments Add lines 6a through 6d	7	6,982.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	3,726.
11	Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ 3,726. **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ ________ (2) On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NJ,			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

Part VII-A Statements Regarding Activities (continued)

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ JANE V. ENGEL Telephone no ▶ 201-445-4248

Located at ▶ 80 WEARIMUS RD. HO-HO-KUS, NJ ZIP+4 ▶ 07423

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ [X]

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

			Yes	No
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?	16		X
	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 ▶			

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? [ ] Yes [X] No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? [ ] Yes [X] No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? [ ] Yes [X] No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? [ ] Yes [X] No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? [ ] Yes [X] No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) [ ] Yes [X] No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b	N/A	
	Organizations relying on a current notice regarding disaster assistance check here ▶ [ ]			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 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? [ ] Yes [X] No			
	If "Yes," list the years ▶			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions)	2b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? [ ] Yes [X] 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)*	3b		X
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

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)? . . .	**5b**	N/A	
	Organizations relying on a current notice regarding disaster assistance check here . . . ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? . . . 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? . . .	**6b**		X
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? . . ☐ Yes ☐ No			
b	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? . . .	**7b**	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 (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 10		0	0	0

2 Compensation of five highest-paid employees (other than those included on line 1 - see instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over $50,000 . . . ▶

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over $50,000 for professional services . . . ▶		

Part IX-A Summary of Direct Charitable Activities

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3 . . . ▶	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes		
a	Average monthly fair market value of securities	1a	1,185,122.
b	Average of monthly cash balances	1b	85,953.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	1,271,075.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	1,271,075.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	19,066.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,252,009.
6	**Minimum investment return.** Enter 5% of line 5	6	62,600.

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	62,600.
2a	Tax on investment income for 2014 from Part VI, line 5	2a	3,256.		
b	Income tax for 2014 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	3,256.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	59,344.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	59,344.
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	59,344.

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	280,000.
b	Program-related investments - total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc, purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	280,000.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	3,256.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	276,744.

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 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7				59,344.
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only			- - -	
b Total for prior years 20 12 ,20 11 ,20 10				
3 Excess distributions carryover, if any, to 2014				
a From 2009 . . . . . . 238,756.				
b From 2010 . . . . . . 237,200.				
c From 2011 . . . . . . 242,171.				
d From 2012 . . . . . . 220,284.				
e From 2013 . . . . . . 217,750.				
f Total of lines 3a through e	1,156,161.			
4 Qualifying distributions for 2014 from Part XII, line 4 ▶ $ 280,000.				
a Applied to 2013, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2014 distributable amount				59,344.
e Remaining amount distributed out of corpus	220,656.			
5 Excess distributions carryover applied to 2014 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,376,817.			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount - see instructions				
e Undistributed income for 2013 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015				
7 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)				
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions)	238,756.			
9 **Excess distributions carryover to 2015.** Subtract lines 7 and 8 from line 6a	1,138,061.			
10 Analysis of line 9				
a Excess from 2010 . . . 237,200.				
b Excess from 2011 . . . 242,171.				
c Excess from 2012 . . . 220,284.				
d Excess from 2013 . . . 217,750.				
e Excess from 2014 . . . 220,656.				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2014, enter the date of the ruling . . . . ▶

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

	Tax year	Prior 3 years			(e) Total
	(a) 2014	(b) 2013	(c) 2012	(d) 2011	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon a "Assets" alternative test - enter (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test-enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942 (j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

N/A

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

NONE

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

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

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed

ATCH 11

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

LETTER, NO OTHER REQUIREMENTS

c Any submission deadlines

NONE

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

NONE

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
ATCH 12				
Total . . . . ▶ **3a**				280,000.
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	36,428.	
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	308,784.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b ATCH 13				14,982.	
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				360,194.	

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 360,194.

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

Jane V. Engel | 5/12/16 | Trustee

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
KELLI ARCHIBALD	Kelli H Archibald	05/06/16		P00180332
Firm's name ▶ ERNST & YOUNG U.S. LLP			Firm's EIN ▶ 34-6565596	
Firm's address ▶ 5 TIMES SQUARE NEW YORK, NY 10036			Phone no 212-773-3000	

Form 990-PF (2014)

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

OMB No 1545-0047
2014

Name of the organization	Employer identification number
THE ROBERT G. & JANE V. ENGEL FOUNDATION INC.	22-2764445

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 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)

Name of organization THE ROBERT G. & JANE V. ENGEL FOUNDATION INC.

Employer identification number 22-2764445

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	JANE V. ENGEL 80 WEARIMUS ROAD, PO BOX 42 HO-HO-KUS, NJ 07423-0042	$ 110,256.	Person [X] Payroll [ ] Noncash [X] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)

Name of organization THE ROBERT G. & JANE V. ENGEL FOUNDATION INC.

Employer identification number 22-2764445

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
1	325 SHS INTL BUSINESS MACHINES CORP	$ 55,572.	05/07/2015
1	650 SHS PHILIP MORRIS INTL INC	$ 54,684.	05/11/2015
		$	
		$	
		$	
		$	

Name of organization THE ROBERT G. & JANE V. ENGEL FOUNDATION INC.

Employer identification number 22-2764445

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 information once. See instructions.) ▶ $ ____________

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

(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

(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

(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

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

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
MORGAN STANLEY SB#100383-090- DIV	6,449.	6,449.
MORGAN STANLEY SB#100383-090- INT	4,382.	4,382.
MORGAN STANLEY SB#100385-090- DIV	7,044.	7,044.
MORGAN STANLEY SB#100385-090- INT	2.	2.
MORGAN STANLEY SB#100386-090- DIV	14,434.	14,434.
MORGAN STANLEY SB#100386-090- INT	5.	5.
MORGAN STANLEY SB#124549-090- DIV	2,754.	2,754.
MORGAN STANLEY SB#124549-090- INT	1.	1.
MORGAN STANLEY SB#100383-090- INT	1,357.	1,357.
TOTAL	36,428.	36,428.

ATTACHMENT 2

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS
2014 EXCISE TAX O/P/A TO 2014		1,982.
OTHER INCOME-TAX PREP FEES PAID		13,000.
	TOTALS	14,982.

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
ERNST & YOUNG TAX PREPARATION	13,000.			
TOTALS	13,000.			

ATTACHMENT 4

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
FOREIGN TAX PAID	1,936.	1,936.
2014 EXCISE TAX O/P/A TO 2014	1,982.	
TOTALS	3,918.	1,936.

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BANK FEES	17,649.	17,649.
OTHER EXPENSES	57.	57.
TOTALS	17,706.	17,706.

ATTACHMENT 6

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
MSSB #100383-090 SEE STATEMENT	29,974.	30,638.
MSSB #100385-090 SEE STATEMENT	244,504.	247,807.
MSSB #100386-090 SEE STATEMENT	302,970.	293,571.
MSSB #124549-090 SEE STATEMENT	254,654.	244,640.
TOTALS	832,102.	816,656.

ATTACHMENT 7

FORM 990PF, PART II - CORPORATE BONDS

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
MSSB #100383-090 SEE STATEMENT	25,518.	25,380.
TOTALS	25,518.	25,380.

ATTACHMENT 8

FORM 990PF, PART II - OTHER INVESTMENTS

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
MSSB #100383-090 (ETF/CEF) SEE STATEMENT	19,513.	18,851.
MSSB #100383-090(MUTUAL FUND) SEE STATEMENT	87,000.	82,152.
TOTALS	106,513.	101,003.

Account Detail

Active Assets Account

ROBERT G & JANE V ENGEL FND IN
C/O JANE V ENGEL

INTERESTED PARTY COPY

Brokerage Account

Investment Objectives †: Capital Appreciation, Income, Aggressive Income, Speculation

† Inform us if your investment objectives, as defined in the Expanded Disclosures, change.

HOLDINGS

This section reflects positions purchased/sold on a trade date basis. "Market Value" and "Unrealized Gain/(Loss)" may not reflect the value that could be obtained in the market. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated Annual Income a) is calculated on a pre-tax basis, b) does not include any reduction for applicable non-US withholding taxes, c) may include return of principal or capital gains which could overstate such estimates, and d) for securities that have a defined maturity date within the next 12 months, is reflected only through maturity date. Actual income or yield may be lower or higher than the estimates. Current yield reflects the income generated by an investment, and does not reflect changes in its price. Structured Investments, identified on the Product Detail Description line as an "Asset Class," may appear in various statement product categories. When displayed, the accrued interest, annual income and current yield for those with a contingent income feature (e.g., Range Accrual Notes or contingent Income Notes) are estimates and assume specified accrual conditions are met during the relevant period and payment in full of all contingent interest. For Floating Rate Securities, the accrued interest, annual income and current yield are estimates based on the current floating coupon rate and may not reflect historic rates within the accrual period.

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. You have the right to instruct us to liquidate your bank deposit balance(s) or shares of any money market fund balance(s) at any time and have the proceeds of such liquidation remitted to you. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions.

Description	Market Value	7-Day Current Yield %	Est Ann Income	APY %
CASH	$(250.00)			
MS ACTIVE ASSETS MONEY TRUST	22,117.60	0 010	2 21	—

	Percentage of Assets	Market Value	Est Ann Income
CASH, BDP, AND MMFs	12.2%	**$21,867.60**	**$2.21**
Total Cash, BDP, MMFs		$22,117 60	
Total Cash, BDP, MMFs (Debit)		$(250.00)	

Money market funds seek to maintain a share price of $1.00, therefore the dollar amounts listed equal the number of shares. Additional information concerning these transactions is available upon request. For more information about the pricing of Money Market Funds, please see the Expanded Disclosures. The money market funds reflected above include the balances in your automatic sweep feature, if any, and may include other money market funds that have been purchased in your account.

STOCKS

PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
WELLS FARGO 5.2%-N (WFC.N)	7/12/13	1,265 000	$23 695	$24 220	$29,973 97	**$30,638.30**	$664 33 LT	$1,645 00	5 36
Moody BAA2 S&P BBB; Next Dividend Payable 12/2015; Asset Class: FI & Pref									

Security Mark at Right

Account Detail

Active Assets Account

ROBERT G & JANE V ENGEL FND IN
C/O JANE V ENGEL

INTERESTED PARTY COPY

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	17.1%	$29,973.97	$30,638.30	$664.33 LT	$1,645.00	5.37%

EXCHANGE-TRADED & CLOSED-END FUNDS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
WESTERN ASSET INVT GRA DEF OPP (IGI)	7/12/13	920 000	$21 210	$20 490	$19 513 26	$18,850.80	$(662 46) LT	$1,104 00	5 85

Next Dividend Payable 10/2015: Asset Class FI & Pref

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
EXCHANGE-TRADED & CLOSED-END FUNDS	10.5%	$19,513.26	$18,850.80	$(662.46) LT	$1,104.00	5.86%

CORPORATE FIXED INCOME

FIXED-RATE CAPITAL SECURITIES

Security Description	Trade Date	Face Value	Orig Unit Cost / Adj Unit Cost	Unit Price	Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
MERRILL LYNCH CAP TRUST I 6.45 EXT TO 12/15/2086 (MER.K)	5/30/07	1 000 000	$25 517	$25.380	$25,517 35			$1,613 00	6 35
(MER.K)			$25 517		$25,517 35	$25,380.00	$(137 35) LT A		

Coupon Rate 6.450%, Matures 12/15/2066
Interest Paid Quarterly Jun 15, Callable $25.00 on 10/31/15. Moody BA1 S&P BB+; Asset Class. FI & Pref

	Percentage of Assets	Face Value	Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
CORPORATE FIXED INCOME		—	$25,517.35			$1,613 00	6.35%
	14 2%		$25,517.35	$25,380.00	$(137.35) LT	$0.00	

070464 MSGDD11E 012351

Account Detail

Active Assets Account

ROBERT G & JANE V ENGEL FND IN
C/O JANE V ENGEL

INTERESTED PARTY COPY

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: 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	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
PRINCIPAL PREFERRED SEC A (PPSAX)	5/11/15	8,069.898	$10 781	$10.180	$87,000 00	**$82,151.56**	$(4,848 44) ST	$4,132 00	5 02
Total Purchases vs Market Value					87,000 00	82,151.56			
Cumulative Cash Distributions						1,305 70			
Net Value Increase/(Decrease)						(3,542.74)			

Dividend Cash; Capital Gains Cash; Asset Class: FI & Pref

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
MUTUAL FUNDS	**45.9%**	**$87,000.00**	**$82,151.56**	**$(4,848.44) ST**	**$4,132.00**	**5.03%**

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
TOTAL MARKET VALUE		**$162,004.58**	**$178,888.26**	**$(135.48) LT** **$(4,848.44) ST**	**$8,496.21** **$0.00**	**4.75%**
TOTAL VALUE (includes accrued interest)	**100.0%**		**$178,888.26**			

A - You executed this transaction elsewhere and later transferred the security to this account. Another financial institution has provided the transaction detail for this position.
Unrealized Gain/(Loss) totals only reflect positions that have both cost basis and market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

Security Mark at Right

Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
C/O JANE V ENGEL
Nickname: Global Currents
INTERESTED PARTY COPY

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AIA GROUP LTD SPON ADR (AAGIY)	7/12/13	367 000	$17 950	$20 880	$6,587 65	$7,662 96	$1,075 31 LT		
	10/14/14	70 000	21 523	20 880	1,506 59	1,461 60	(44 99) ST		
	Total	437 000			8,094.24	**9,124.56**	1,075 31 LT (44 99) ST	105 00	1.15
Asset Class: Equities									
AIR LIQUIDE ADR (AIQUY)	7/12/13	313 000	23.164	23 630	7,250 46	7,396 19	145 73 LT		
	1/20/15	23 000	24.503	23 630	563 56	543 49	(20 07) ST		
	Total	336 000			7.814.02	**7,939.68**	145 73 LT (20 07) ST	142 00	1 78
Asset Class: Equities									
ALLIANZ SE ADS (AZSEY) *Asset Class: Equities*	7/12/13	494 000	15 160	15 630	7,489.04	**7,721.22**	232 18 LT	280 00	3.62
ANHEUSER BUSCH INBEV SA SPON (BUD) *Asset Class: Equities*	7/12/13	46.000	91.520	106 320	4,209.92	**4,890.72**	680 80 LT	131 00	2 67
ARM HOLDINGS PLC ADS (ARMH) *Next Dividend Payable 10/15/15, Asset Class: Equities*	7/12/13	128.000	41 097	43 250	5,260.47	**5,536.00**	275 53 LT	41 00	0.74
ATLAS COPCO AS A ADR A NEW (ATLKY) *Asset Class: Equities*	7/12/13	166 000	25 100	24.120	4,166 60	**4,003.92**	(162 68) LT	92 00	2.29
BAIDU INC ADS (BIDU)	7/12/13	15 000	96 650	137 410	1,449 75	2,061 15	611 40 LT		
	2/17/15	13 000	208 683	137 410	2,712 88	1,786 33	(926.55) ST		
	5/22/15	13 000	203 429	137 410	2,644.58	1,786.33	(858.25) ST		
	Total	41 000			6,807.21	**5,633.81**	611 40 LT (1,784 80) ST	—	—
Asset Class: Equities									
BANCO BILBAO VIZ ARG SA ADS (BBVA) *Next Dividend Payable 10/2015; Asset Class: Equities*	7/12/13	393 000	8 300	8 370	3,261 90	**3,289.41**	27 51 LT	130 00	3 95
BAYERISCHE MOTOREN WERKE AG (BAMXY)	7/12/13	93 000	30 730	29 448	2,857 89	2,738 66	(119 23) LT		
	7/24/13	47 000	32 490	29 448	1,527.02	1,384 06	(142 96) LT		
	10/14/13	29 000	36 374	29 448	1 054 84	853 99	(200 85) LT		
	Total	169 000			5,439 75	**4,976.71**	(463 04) LT	128 00	2.57
Next Dividend Payable 06/2016· Asset Class Equities									
BG GROUP PLC (BRGYY) *Asset Class: Equities*	1/20/15	425 000	13.027	14 570	5,536 43	**6,192.25**	655 82 ST	116.00	1 87

Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
C/O JANE V ENGEL
Nickname: Global Currents
INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
BUNGE LTD (BG)	7/12/13	60 000	74 266	73 300	4,455 99	**4,398.00**	(57.99) LT	91 00	2 06
Next Dividend Payable 12/2015, Asset Class: Equities									
CANADIAN NATL RAILWAY CO (CNI)	7/12/13	100 000	50 479	56 760	5,047 92	**5,676.00**	628 08 LT	96 00	1 69
Next Dividend Payable 12/2015, Asset Class: Equities									
COLOPLAST AS ADR (CLPBY)	9/28/15	185 000	7 040	7 100	1,302 40	**1,313.50**	11.10 ST	20 00	1 52
Asset Class: Equities									
CSL LTD (CSLLY)	7/12/13	158 000	29.820	31 360	4,711 56	**4,954.88**	243 32 LT	91.00	1 83
Next Dividend Payable 10/13/15; Asset Class. Equities									
DASSAULT SYSTEMS SA ADS (DASTY)	1/20/15	154.000	60.120	73 760	9,258 48	**11,359.04**	2,100 56 ST	52 00	0.45
Asset Class: Equities									
DBS GROUP HOLDINGS LTD SP (DBSDY)	7/12/13	80 000	51 980	45 540	4,158.40	**3,643.20**	(515.20) LT	136 00	3.73
Asset Class: Equities									
FANUC CORPORATION UNSP ADR (FANUY)	7/12/13	234.000	25 470	25 650	5,959 98	6.002.10	42.12 LT		
	10/16/13	44 000	28.485	25.650	1,253 34	1,128.60	(124 74) LT		
	Total	278.000			7,213 32	**7,130.70**	(82 62) LT	188.00	2 63
Asset Class: Equities									
FRESENIUS MEDICAL CARE AG&CO (FMS)	7/12/13	111 000	32 678	39 010	3,627 25	**4,330.11**	702.86 LT	33 00	0.76
Asset Class: Equities									
FUCHS PETROLUB AG UNSPON ADR (FUPBY)	8/29/14	121 000	10 194	11 000	1,233 50	1,331.00	97 50 LT		
	1/20/15	191 000	9.930	11 000	1,896 63	2,101 00	204 37 ST		
	Total	312 000			3,130 13	**3,432.00**	97.50 LT 204.37 ST	44.00	1.28
Asset Class. Equities									
ICICI BANK LTD (IBN)	7/12/13	620 000	7 675	8 380	4,758.26	5,195 60	437.34 LT		
	1/20/15	45 000	12 449	8 380	560 20	377 10	(183.10) ST		
	Total	665 000			5,318 46	**5,572.70**	437 34 LT (183 10) ST	104.00	1.86
Asset Class: Equities									
IMPERIAL OIL LTD COM NEW (IMO)	7/12/13	89 000	41 881	31 610	3,727 43	2,813 29	(914 14) LT		
	1/20/15	41 000	38 019	31 610	1,558 76	1,296 01	(262.75) ST		
	Total	130 000			5,286 19	**4,109 30**	(914.14) LT (262 75) ST	56 00	1 36
Next Dividend Payable 10/01/15; Asset Class. Equities									
ITAU UNIBANCO MULTIPLE ADR (ITUB)	7/12/13	244 000	10 959	6 620	2,674 03	1,615 28	(1,058.75) LT		
	1/20/15	177 000	11 521	6 620	2,039 27	1,171 74	(867 53) ST		

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
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Nickname: Global Currents
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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	421 000			4,713 30	**2,787.02**	(1,058 75) LT (867 53) ST	93 00	3 33
Asset Class. Equities									
JGC CORP UNSPONSORED ADR (JGCCY)	1/20/15	99 000	40 480	26 549	4,007 52	**2,628.35**	(1,379 17) ST	26 00	0 98
Asset Class. Equities									
KONE OYJ ADR (KNYJY)	2/2/15	178 000	22 381	18 890	3,983.80	**3,362.42**	(621 38) ST	91 00	2 70
Asset Class: Equities									
L OREAL CO ADR (LRLCY)	1/20/15	208.000	34 379	34.660	7,150 75	**7,209.28**	58 53 ST	95 00	1 31
Asset Class. Equities									
LINDE AG SPONSORED ADR (LNEGY)	10/13/14	161 000	18 746	16 140	3,018.12	**2,598.54**	(419 58) ST	39 00	1 50
Asset Class· Equities									
LVMH MOET HENNESSY LOUIS VUITT (LVMUY)	1/20/15	90 000	34 469	34 010	3,102 19	**3,060.90**	(41.29) ST	46 00	1 50
Asset Class· Equities									
MITSUBISHI EST ADR (MITEY)	1/20/15	143 000	20 390	20 555	2,915 77	**2,939.29**	23 52 ST	11 00	0 37
Asset Class Equities									
MONOTARO CO LTD ADR (MONOY)	11/12/13	40 000	22 912	45 750	916 46	1,830 00	913 54 LT		
	11/13/13	19 000	22 287	45 750	423 46	869 25	445.79 LT		
	Total	59 000			1,339 92	**2,699.25**	1,359 33 LT	3 00	0 11
Asset Class· Equities									
MTN GRP LTD SPONS ADR (MTNOY)	1/20/15	247 000	17 380	12 800	4,292 86	**3,161.60**	(1,131 26) ST	203 00	6 42
Asset Class: Equities									
NASPERS LIMITED ADS (NPSNY)	6/30/15	20 000	154 403	125 000	3,088 06	**2,500.00**	(588 06) ST	6 00	0 24
Next Dividend Payable 10/01/15; Asset Class· Equities									
NESTLE SPON ADR REP REG SHR (NSRGY)	7/12/13	139 000	67 330	75 240	9,358 87	**10,458.36**	1,099 49 LT	265 00	2 53
Next Dividend Payable 05/2016; Asset Class: Equities									
NOVO NORDISK A/S ADR (NVO)	7/12/13	95 000	32 938	54 240	3,129 11	5,152 80	2,023 69 LT		
	1/20/15	47 000	45 096	54 240	2,119 52	2,549 28	429 76 ST		
	Total	142 000			5,248.63	**7,702.08**	2,023 69 LT 429 76 ST	76 00	0 98
Asset Class Equities									
ROCHE HOLDINGS ADR (RHHBY)	7/12/13	242 000	32 050	32 950	7 756 10	7 973 90	217 80 LT		
	9/30/15	51 000	32 885	32 950	1 677 14	1,680 45	3 31 ST		
	Total	293 000			9 433 24	**9,654.35**	217 80 LT 3.31 ST	242 00	2 50
Asset Class· Equities									

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
SANDS CHINA LTD UNSPONSORE ADR (SCHYY)	1/20/15	69 000	46.000	30 100	3,174 00	2,076 90	(1,097 10) ST		
	5/21/15	29 000	41 229	30 100	1,195 63	872 90	(322 73) ST		
	Total	98 000			4,369 63	**2,949.80**	(1,419 83) ST	242 00	8.20
Asset Class: Equities									
SAP AG (SAP)	1/20/15	110 000	63.441	64 790	6,978 55	**7,126.90**	148 35 ST	97 00	1 36
Asset Class: Equities									
SASOL LTD SPON ADR (SSL)	1/20/15	49 000	33 587	27 820	1,645 76	1,363 18	(282 58) ST		
	7/2/15	44.000	36 610	27 820	1,610 82	1,224 08	(386 74) ST		
	Total	93 000			3,256 58	**2,587.26**	(669 32) ST	108 00	4 17
Asset Class: Equities									
SCHLUMBERGER LTD (SLB)	7/12/13	68 000	76 857	68.970	5,226 27	**4,689.96**	(536.31) LT	136 00	2 89
Next Dividend Payable 10/09/15; Asset Class: Equities									
SCHNEIDER ELEC SA UNSP ADR (SBGSY)	7/12/13	300 000	14.529	11.180	4,358.70	3,354 00	(1,004.70) LT		
	1/20/15	95 000	15 010	11.180	1,425 94	1,062.10	(363 84) ST		
	Total	395 000			5,784 64	**4,416.10**	(1,004 70) LT (363 84) ST	24 00	0 54
Asset Class: Equities									
SHIRE PLC ADR (SHPG)	10/16/14	13.000	178.138	205 230	2,315 80	**2,667.99**	352 19 ST	9 00	0 33
Next Dividend Payable 10/02/15, Asset Class: Equities									
SONOVA HLDG AG UNSP ADR (SONVY)	7/12/13	122.000	22 250	25 750	2,714 50	**3,141.50**	427 00 LT	31 00	0.98
Asset Class: Equities									
SVENSKA HANDELSBANKEN AB ADR (SVNLY)	7/12/13	390 000	7 213	7 160	2,813 20	**2,792 40**	(20 80) LT	105 00	3 76
Asset Class: Equities									
SYMRISE AG UNSPONS ADR (SYIEY)	5/30/14	158 000	13 424	14 950	2.120 94	2,362 10	241.16 LT		
	6/2/14	64 000	13 436	14 950	859 91	956 80	96 89 LT		
	Total	222 000			2,980 85	**3,318.90**	338 05 LT	30 00	0 90
Asset Class: Equities									
SYSMEX CORP UNSPON ADR (SSMXY)	7/12/13	253 000	15 725	26.435	3,978 42	**6,688.05**	2,709.63 LT	30 00	0.44
Asset Class. Equities									
TAIWAN SMCNDCTR MFG CO LTD ADR (TSM)	7/12/13	398 000	18.450	20 750	7,343 10	8,258 50	915 40 LT		
	1/13/14	102 000	17 067	20 750	1,740 83	2,116 50	375 67 LT		
	Total	500.000			9 083 93	**10,375.00**	1,291 07 LT	289 00	2 78
Asset Class: Equities									
TURKIYE GARANTI BANKASI A S (TKGBY)	1/20/15	1,131.000	4 380	2 340	4,953 78	**2,646.54**	(2,307 24) ST	43.00	1 62
Asset Class: Equities									

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
C/O JANE V ENGEL
Nickname: Global Currents
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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
UNICHARM CORP UNSPON ADR (UNICY)	7/12/13	1,518 000	3 710	3 570	5,631 78	**5,419.26**	(212 52) LT	39 00	0 71
Asset Class: Equities									
UNILEVER PLC (NEW) ADS (UL)	1/20/15	73 000	41 146	40.780	3,003 64	2,976 94	(26.70) ST		
	6/23/15	34 000	45 145	40 780	1,534 94	1,386 52	(148.42) ST		
	Total	107 000			4,538 58	**4,363.46**	(175 12) ST	142 00	3 25
Next Dividend Payable 12/2015; Asset Class: Equities									
WPP PLC SPON NEW ADR (WPPGY)	12/8/10	9.000	60 281	104.030	542 53	936 27	393 74 LT		
	6/6/12	19 000	58 267	104 030	1,107 08	1,976 57	869 49 LT		
	7/12/13	55 000	90 643	104 030	4,985 37	5,721 65	736 28 LT		
	Total	83 000			6,634 98	**8,634.49**	1,999.51 LT	272 00	3.15
Next Dividend Payable 01/2016; Asset Class: Equities									

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	98 4%	$244,504.20	$247,806.76	$11,594.38 LT $(8,291.82) ST	$4,869.00	1.96%

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
TOTAL MARKET VALUE		$244,504.20	$251,955.28	$11,594.38 LT $(8,291.82) ST	$4,870.00 $0.00	1.93%
TOTAL VALUE (includes accrued interest)	100.0%		$251,955.28			

Unrealized Gain/(Loss) totals only reflect positions that have both cost basis and market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

ALLOCATION OF ASSETS

	Cash	Equities	Fixed Income & Preferred Securities	Alternatives	Annuities & Insurance	Structured Investments	Other
Cash, BDP, MMFs	$4,148 52	—	—	—	—	—	—
Stocks	—	$247,806.76	—	—	—	—	—
TOTAL ALLOCATION OF ASSETS	**$4,148.52**	**$247,806.76**	—	—	—	—	—

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
C/O JANE V ENGEL
Nickname: Fayez Sarofim
INTERESTED PARTY COPY

Investment Objectives †: Capital Appreciation, Aggressive Income, Income, Speculation

Investment Advisory Account
Manager: APPLIED EQUITY ADVISORS

† Inform us if your investment objectives, as defined in the Expanded Disclosures, change.

HOLDINGS

This section reflects positions purchased/sold on a trade date basis. "Market Value" and "Unrealized Gain/(Loss)" may not reflect the value that could be obtained in the market. Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated Annual Income a) is calculated on a pre-tax basis, b) does not include any reduction for applicable non-US withholding taxes, c) may include return of principal or capital gains which could overstate such estimates, and d) for securities that have a defined maturity date within the next 12 months, is reflected only through maturity date. Actual income or yield may be lower or higher than the estimates. Current yield reflects the income generated by an investment, and does not reflect changes in its price. Structured Investments, identified on the Product Detail Description line as an "Asset Class," may appear in various statement product categories When displayed, the accrued interest, annual income and current yield for those with a contingent income feature (e.g., Range Accrual Notes or contingent Income Notes) are estimates and assume specified accrual conditions are met during the relevant period and payment in full of all contingent interest. For Floating Rate Securities, the accrued interest, annual income and current yield are estimates based on the current floating coupon rate and may not reflect historic rates within the accrual period.

CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

Cash, Bank Deposit Program, and Money Market Funds are generally displayed on a settlement date basis. You have the right to instruct us to liquidate your bank deposit balance(s) or shares of any money market fund balance(s) at any time and have the proceeds of such liquidation remitted to you. Estimated Annual Income, Accrued Interest, and APY% will only be displayed for fully settled positions.

Description	Market Value	7-Day Current Yield %	Est Ann Income	APY %
MORGAN STANLEY BANK N.A. #	$3,588.24	—	$1 00	0 020

	Percentage of Assets	Market Value	Est Ann Income
CASH, BDP, AND MMFs		**$3,588.24**	**$1.00**
NET UNSETTLED PURCHASES/SALES		**$(155.27)**	
CASH, BDP, AND MMFs (PROJECTED SETTLED BALANCE)	1.2%	**$3,432.97**	

 # Bank Deposits are held at Morgan Stanley Bank, N.A. and/or Morgan Stanley Private Bank, National Association, affiliates of Morgan Stanley Smith Barney LLC and each a national bank and FDIC member.

The "Projected Settled Balance" includes accrued interest on deposits and reflects the impact of unsettled purchases/sales.

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AGNICO EAGLE MINES LTD (AEM) *Next Dividend Payable 12/2015; Asset Class: Equities*	8/21/15	190.000	$26 819	$25 320	$5,095 57	**$4,810 80**	$(284 77) ST	$61 00	1 26

Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
C/O JANE V ENGEL
Nickname: Fayez Sarofim
INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ALLERGAN PLC SHS (AGN)	8/21/15	79 000	302 910	271 810	23 929 87	**21,472.99**	(2,456 88) ST	—	—
Asset Class: Equities									
ALLIED WORLD ASSUR CO HLDG LTD (AWH)	8/21/15	263 000	41 755	38 170	10,981 64	**10,038.71**	(942 93) ST	274 00	2 72
Next Dividend Payable 10/01/15; Asset Class. Equities									
AMGEN INC (AMGN)	8/21/15	96 000	160 414	138 320	15,399 73	13,278 72	(2,121 01) ST		
	9/8/15	4 000	152.828	138 320	611 31	553 28	(58 03) ST		
	Total	100 000			16 011 04	**13,832.00**	(2,179 04) ST	316 00	2 28
Next Dividend Payable 12/2015, Asset Class Equities									
AMTRUST FINANCIAL SRV INC (AFSI)	8/21/15	171 000	59 743	62 980	10 215 98	10,769 58	553 60 ST		
	9/8/15	17 000	58 619	62.980	996 53	1,070 66	74 13 ST		
	Total	188 000			11,212 51	**11,840.24**	627.73 ST	226 00	1.90
Next Dividend Payable 10/15/15, Asset Class: Equities									
APPLE INC (AAPL)	8/29/14	136 000	102 310	110 300	13,914.16	15,000 80	1,086.64 LT		
	8/21/15	58 000	108 689	110.300	6,303 94	6,397 40	93 46 ST		
	Total	194 000			20,218 10	**21,398.20**	1,086 64 LT 93.46 ST	404 00	1 88
Next Dividend Payable 11/2015; Asset Class· Equities									
AUTONATION INC (AN)	8/21/15	50 000	59 880	58 180	2,994 00	**2,909.00**	(85 00) ST	—	—
Asset Class Equities									
BIOGEN INC COM (BIIB)	8/21/15	40 000	306 919	291 810	12,276 77	**11,672.40**	(604 37) ST	—	—
Asset Class: Equities									
BLACKROCK INC (BLK)	1/31/12	14 000	181 741	297 470	2,544 38	4,164 58	1,620.20 LT		
	8/21/15	13 000	313 539	297 470	4,076 01	3,867 11	(208 90) ST		
	Total	27 000			6,620 39	**8,031.69**	1,620.20 LT (208 90) ST	235 00	2 92
Next Dividend Payable 12/2015, Asset Class· Equities									
CHEVRON CORP (CVX)	5/23/11	20 000	101 359	78 880	2,027 17	**1,577.60**	(449 57) LT	86 00	5 45
Next Dividend Payable 12/2015; Asset Class Equities									
CIGNA CORPORATION COM (CI)	8/21/15	99 000	143 831	135 020	14,239 25	**13,366.98**	(872 27) ST	4 00	0 02
Next Dividend Payable 04/2016; Asset Class: Equities									
COMCAST CORP (NEW) CLASS A (CMCSA)	2/14/13	35 000	40 138	56 880	1 404 81	1 990 80	585 99 LT		
	6/10/15	74 000	58 444	56 880	4 324 85	4,209 12	(115 73) ST		
	8/21/15	223 000	57 444	56 880	12 809 92	12,684.24	(125 68) ST		

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
C/O JANE V ENGEL
Nickname: Fayez Sarofim
INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	332 000			18,539 58	**18,884.16**	585 99 LT (241.41) ST	332.00	1 75
Next Dividend Payable 10/2015, Asset Class. Equities									
CVS HEALTH CORP COM (CVS) *Next Dividend Payable 11/2015; Asset Class. Equities*	8/21/15	225 000	103.938	96 480	23,386.05	**21,708.00**	(1,678 05) ST	315 00	1 45
EOG RESOURCES INC (EOG) *Next Dividend Payable 10/2015; Asset Class: Equities*	8/21/15	49 000	74 692	72 800	3,659 93	**3,567.20**	(92 73) ST	33 00	0.92
GOLDMAN SACHS GRP INC (GS) *Next Dividend Payable 12/2015, Asset Class: Equities*	8/21/15	49 000	192 158	173 760	9,415 74	**8,514.24**	(901 50) ST	127 00	1 49
GOOGLE INC-CL A (GOOGL) *Asset Class· Equities*	8/21/15	11.000	664 610	638.370	7,310 71	**7,022.07**	(288 64) ST	—	—
JARDEN CORP (JAH) *Asset Class. Equities*	8/21/15	240 000	51 813	48.880	12,435 19	**11,731.20**	(703 99) ST	—	—
JPMORGAN CHASE & CO (JPM)	6/2/09	37 000	34 948	60 970	1,293 08	2,255 89	962 81 LT		
	1/24/11	35 000	45 021	60 970	1,575 74	2,133 95	558 21 LT		
	Total	72 000			2,868 82	**4,389.84**	1,521.02 LT	127.00	2 89
Next Dividend Payable 10/2015; Asset Class: Equities									
MASTERCARD INC CL A (MA) *Next Dividend Payable 11/2015; Asset Class: Equities*	8/21/15	148 000	92.704	90.120	13,720 25	**13,337.76**	(382 49) ST	95 00	0 71
MCKESSON CORP (MCK) *Next Dividend Payable 10/01/15; Asset Class: Equities*	8/21/15	46.000	207 272	185.030	9,534.52	**8,511.38**	(1,023 14) ST	52 00	0 61
NORTHROP GRUMMAN CP(HLDG CO) (NOC) *Next Dividend Payable 12/2015; Asset Class: Equities*	8/21/15	92.000	168 900	165 950	15,538 80	**15,267.40**	(271.40) ST	294.00	1 92
SCHLUMBERGER LTD (SLB)	8/21/15	204 000	78.481	68 970	16,010 12	14,069.88	(1,940 24) ST		
	8/27/15	22.000	72.835	68 970	1,602 36	1,517.34	(85.02) ST		
	Total	226.000			17,612 48	**15,587.22**	(2,025.26) ST	452.00	2 89
Next Dividend Payable 10/09/15; Asset Class: Equities									
SOUTHWEST AIRLINES (LUV) *Next Dividend Payable 12/2015, Asset Class: Equities*	9/23/15	59.000	38.502	38.040	2,271.59	**2,244.36**	(27 23) ST	18 00	0 80
STARBUCKS CORP WASHINGTON (SBUX) *Next Dividend Payable 11/2015, Asset Class. Equities*	8/21/15	267 000	53 517	56 840	14,288 93	**15,176.28**	887 35 ST	171 00	1 12
SYNCHRONY FINANCIAL (SYF)	8/21/15	84 000	34 020	31 300	2,857 68	2,629 20	(228 48) ST		
	9/9/15	45 000	32 396	31 300	1,457 84	1,408.50	(49 34) ST		
	9/30/15	30 000	31 219	31 300	936.58	939 00	2.42 ST		

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G. AND JANE V. ENGEL FNDN
C/O JANE V ENGEL
Nickname: Fayez Sarofim
INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	159 000			5,252 10	**4,976.70**	(275 40) ST	—	—
Asset Class: Equities									
TAIWAN SMCNDCTR MFG CO LTD ADR (TSM)	8/21/15	572 000	19 199	20 750	10,982 06	**11,869.00**	886.94 ST	331 00	2 78
Asset Class: Equities									
VERIZON COMMUNICATIONS (VZ)	8/21/15	226 000	46 668	43 510	10,546 99	**9,833 26**	(713.73) ST	511 00	5 19
Next Dividend Payable 11/2015; Asset Class. Equities									

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	**98.8%**	**$302,970.05**	**$293,570.68**	**$4,364.28 LT** **$(13,763.65) ST**	**$4,464.00**	**1.52%**

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
TOTAL MARKET VALUE		**$302,970.05**	**$297,003 65**	**$4,364.28 LT** **$(13,763.65) ST**	**$4,465.00** **$0.00**	**1.50%**
TOTAL VALUE (includes accrued interest)	**100.0%**		**$297,003.65**			

Unrealized Gain/(Loss) totals only reflect positions that have both cost basis and market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included

ALLOCATION OF ASSETS

	Cash	Equities	Fixed Income & Preferred Securities	Alternatives	Annuities & Insurance	Structured Investments	Other
Cash, BDP, MMFs	$3,432 97	—	—	—	—	—	—
Stocks	—	$293,570 68	—	—	—	—	—
TOTAL ALLOCATION OF ASSETS	**$3,432.97**	**$293,570.68**	—	—	—	—	—

ACTIVITY

CASH FLOW ACTIVITY BY DATE

Transaction Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
9/1	9/1	Qualified Dividend	CONOCOPHILLIPS				$148.00
9/1	9/1	Qualified Dividend	WELLS FARGO & CO NEW				44 25

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL
FOUNDATION INC

INTERESTED PARTY COPY

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AERCAP HOLDINGS N.V. (AER)	3/21/14	83 000	$40.425	$38.240	$3,355 28	$3,173 92	$(181.36) LT		
	3/25/14	11 000	41.173	38 240	452.90	420 64	(32 26) LT		
	3/31/14	12 000	42 100	38 240	505 20	458 88	(46 32) LT		
	4/8/14	12.000	39 350	38 240	472 20	458 88	(13.32) LT		
	4/9/14	11 000	40.179	38.240	441 97	420 64	(21 33) LT		
	4/10/14	14.000	40 891	38 240	572 48	535.36	(37.12) LT		
	4/21/14	12 000	39 450	38 240	473 40	458 88	(14.52) LT		
	4/28/14	13 000	39 670	38 240	515 71	497 12	(18 59) LT		
	5/15/14	14 000	45 420	38 240	635 88	535 36	(100 52) LT		
	6/16/14	14.000	45.090	38.240	631.26	535.36	(95 90) LT		
	6/23/14	13 000	45 455	38.240	590 92	497.12	(93.80) LT		
	6/26/14	17 000	45.853	38 240	779 50	650 08	(129.42) LT		
	7/1/14	15 000	46 340	38.240	695.10	573 60	(121 50) LT		
	7/7/14	15 000	45.433	38.240	681.50	573 60	(107.90) LT		
	7/15/14	11 000	44.659	38 240	491.25	420.64	(70.61) LT		
	5/13/15	166.000	48 941	38 240	8,124.14	6,347.84	(1,776 30) ST		
	6/8/15	15.000	48 238	38.240	723.57	573.60	(149 97) ST		
	6/22/15	11 000	46 886	38 240	515.75	420.64	(95.11) ST		
	6/23/15	21 000	47.670	38 240	1,001.06	803.04	(198.02) ST		
	8/11/15	20 000	47.494	38 240	949.87	764.80	(185 07) ST		
	Total	500 000			22,608 94	**19,120.00**	(1,084 47) LT (2,404.47) ST	—	—

Asset Class. Equities

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ALLERGAN PLC SHS (AGN)	3/21/14	33.000	211 973	271.810	6,995 10	8,969.73	1,974 63 LT		
	4/17/14	6 000	206 915	271.810	1,241 49	1,630 86	389.37 LT H		
	5/15/14	4 000	204 130	271 810	816 52	1,087.24	270.72 LT		
	6/16/14	5 000	209 020	271.810	1,045.10	1,359.05	313.95 LT		
	7/1/14	3 000	223 960	271 810	671.88	815.43	143.55 LT		
	5/13/15	34 000	297 181	271.810	10,104.14	9,241.54	(862.60) ST		
	Total	85.000			20,874 23	**23,103.85**	3,092.22 LT (862 60) ST	—	—

Basis Adjustment Due to Wash Sale: $25.95, Asset Class: Equities

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL FOUNDATION INC

INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AMGEN INC (AMGN)	3/21/14	39 000	123 322	138 320	4,809 55	5,394.48	584 93 LT		
	3/21/14	6 000	116.790	138 320	700 74	829.92	129.18 LT H		
	4/11/14	2.000	126 540	138 320	253 08	276 64	23 56 LT H		
	4/21/14	5.000	116 300	138 320	581 50	691 60	110 10 LT		
	5/13/15	34.000	158.429	138.320	5,386 58	4,702 88	(683 70) ST		
	9/14/15	5 000	150 942	138 320	754 71	691 60	(63 11) ST		
	Total	91 000			12,486 16	**12,587.12**	847.77 LT (746 81) ST	288 00	2 28
Next Dividend Payable 12/2015, Basis Adjustment Due to Wash Sale· $53.28, Asset Class: Equities									
AMTRUST FINANCIAL SRV INC (AFSI)	3/10/15	11 000	54.245	62 980	596 69	692 78	96 09 ST		
	3/23/15	10 000	58 263	62 980	582 63	629 80	47 17 ST		
	4/20/15	8 000	60 135	62 980	481 08	503 84	22 76 ST		
	4/29/15	8 000	60 316	62 980	482.53	503 84	21 31 ST		
	5/13/15	23 000	58 233	62 980	1,339 36	1,448.54	109 18 ST		
	5/20/15	17.000	60 806	62.980	1,033 71	1,070 66	36 95 ST		
	6/4/15	17 000	61 202	62 980	1,040 44	1,070 66	30 22 ST		
	6/22/15	13 000	63 960	62 980	831 48	818 74	(12.74) ST		
	8/13/15	16 000	62 948	62 980	1,007.16	1,007 68	0 52 ST		
	8/17/15	14 000	62 949	62 980	881 29	881 72	0 43 ST		
	9/11/15	15 000	59 349	62 980	890 23	944 70	54 47 ST		
	9/14/15	11 000	59.983	62 980	659 81	692 78	32 97 ST		
	9/17/15	8 000	61 609	62 980	492 87	503 84	10 97 ST		
	Total	171 000			10,319 28	**10,769 58**	450 30 ST	205 00	1.90
Next Dividend Payable 10/15/15; Asset Class. Equities									
BIOGEN INC COM (BIIB)	3/21/14	4 000	323 659	291 810	1,294.63	1,167 24	(127 39) LT		
	3/21/14	1 000	293 890	291 810	293.89	291 81	(2 08) LT H		
	4/2/14	1 000	313 610	291 810	313 61	291.81	(21 80) LT H		
	4/21/14	1 000	293 920	291 810	293 92	291 81	(2.11) LT		
	6/16/14	1 000	308 810	291 810	308 81	291 81	(17 00) LT		
	7/1/14	1 000	324 810	291 810	324 81	291.81	(33 00) LT		
	9/8/14	4 000	329 100	291 810	1,316 40	1,167.24	(149 16) LT		
	9/23/14	1 000	331 860	291 810	331 86	291 81	(40 05) LT		
	5/13/15	16 000	390 744	291 810	6,251.90	4,668 96	(1,582 94) ST		
	Total	30 000			10,729 83	**8,754.30**	(392 59) LT (1,582 94) ST	—	—
Basis Adjustment Due to Wash Sale: $9.60; Asset Class. Equities									

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL
FOUNDATION INC

INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
BLACKROCK INC (BLK)	6/16/14	2.000	307.630	297 470	615 26	594 94	(20 32) LT		
	7/1/14	1 000	324 130	297 470	324.13	297.47	(26 66) LT		
	5/13/15	10 000	365.145	297.470	3,651.45	2,974.70	(676.75) ST		
	Total	13 000			4,590 84	3,867.11	(46 98) LT (676.75) ST	113 00	2.92
Next Dividend Payable 12/2015, Asset Class: Equities									
COMCAST CORP (NEW) CLASS A (CMCSA)	3/21/14	83 000	50 147	56 880	4,162 17	4,721 04	558 87 LT		
	4/21/14	17 000	49.560	56 880	842 52	966 96	124 44 LT		
	5/15/14	11 000	49 910	56 880	549 01	625.68	76 67 LT		
	6/16/14	13 000	52.310	56 880	680 03	739.44	59 41 LT		
	7/1/14	12 000	54 260	56.880	651.12	682.56	31.44 LT		
	10/14/14	15 000	51 832	56 880	777.48	853.20	75.72 ST		
	5/13/15	117 000	56 242	56 880	6,580.37	6,654.96	74 59 ST		
	9/2/15	12 000	55 682	56 880	668.18	682.56	14.38 ST		
	Total	280.000			14,910 88	15,926.40	850 83 LT 164.69 ST	280 00	1 75
Next Dividend Payable 10/2015, Asset Class: Equities									
CVS HEALTH CORP COM (CVS)	3/21/14	67 000	74.347	96.480	4,981.24	6,464 16	1,482.92 LT		
	4/21/14	9 000	73 850	96 480	664.65	868.32	203.67 LT		
	5/15/14	9 000	75 260	96 480	677.34	868 32	190 98 LT		
	5/16/14	17.000	76 272	96 480	1,296 62	1,640 16	343.54 LT		
	6/16/14	9 000	76 030	96 480	684 27	868 32	184 05 LT		
	7/1/14	9 000	76 150	96.480	685.35	868 32	182.97 LT		
	7/10/14	21 000	76 689	96 480	1,610 46	2,026.08	415 62 LT		
	5/13/15	90 000	99 737	96.480	8,976.37	8,683.20	(293 17) ST		
	9/8/15	5 000	101 374	96 480	506.87	482.40	(24 47) ST		
	9/11/15	9 000	100 944	96 480	908.50	868 32	(40.18) ST		
	Total	245 000			20,991.67	23,637.60	3,003.75 LT (357 82) ST	343 00	1 45
Next Dividend Payable 11/2015; Asset Class: Equities									
GOLDMAN SACHS GRP INC (GS)	7/6/15	13 000	207 495	173.760	2,697.44	2,258 88	(438 56) ST		
	7/10/15	11 000	207 013	173.760	2,277 14	1,911 36	(365 78) ST		
	7/14/15	6 000	211 872	173.760	1,271 23	1,042 56	(228 67) ST		
	7/15/15	12 000	212 513	173 760	2,550 15	2,085.12	(465.03) ST		
	Total	42 000			8,795.96	7,297.92	(1,498.04) ST	109 00	1 49
Next Dividend Payable 12/2015; Asset Class: Equities									

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL
FOUNDATION INC

INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
JARDEN CORP (JAH)	5/13/15	63 000	52.604	48.880	3,314 04	**3,079.44**	(234 60) ST	—	—
Asset Class: Equities									
ORIX CORP (IX)	5/7/15	1 000	77 378	64 930	77 38	64 93	(12 45) ST		
	5/13/15	14 000	78.946	64 930	1,105 24	909 02	(196 22) ST		
	5/15/15	28 000	77 981	64 930	2,183 47	1,818 04	(365 43) ST		
	5/20/15	26 000	79 706	64 930	2,072 35	1,688 18	(384 17) ST		
	5/28/15	13 000	79 755	64 930	1,036 82	844 09	(192 73) ST		
	Total	82 000			6,475 26	**5,324.26**	(1,151 00) ST	106 00	1.99
Asset Class: Equities									
RYANAIR HLDGS PLC ADR (RYAAY)	5/15/14	3.000	51.530	78 300	154 59	234 90	80 31 LT		
	5/21/14	15 000	55 737	78 300	836 06	1,174 50	338 44 LT		
	6/16/14	3 000	55 500	78.300	166 50	234 90	68 40 LT		
	7/1/14	3 000	56.260	78 300	168 78	234 90	66 12 LT		
	7/24/14	15 000	52 957	78.300	794 35	1,174 50	380.15 LT		
	7/30/14	12 000	53 285	78 300	639 42	939 60	300 18 LT		
	7/31/14	13 000	52.973	78.300	688 65	1,017 90	329 25 LT		
	8/5/14	11 000	51 874	78 300	570 61	861 30	290 69 LT		
	8/19/14	11 000	54 110	78.300	595 21	861 30	266 09 LT		
	9/4/14	11 000	57 112	78 300	628 23	861 30	233 07 LT		
	11/7/14	10 000	60 956	78 300	609 56	783.00	173 44 ST		
	1/12/15	9 000	66 522	78 300	598 70	704.70	106 00 ST		
	1/20/15	4 000	67 228	78.300	268 91	313 20	44 29 ST		
	1/23/15	4 000	68 515	78 300	274 06	313 20	39 14 ST		
	1/28/15	5 000	68 348	78 300	341 74	391 50	49 76 ST		
	2/3/15	5 000	64 960	78 300	324 80	391 50	66 70 ST		
	2/10/15	5 000	64.068	78 300	320 34	391.50	71 16 ST		
	2/11/15	8 000	63 044	78.300	504 35	626 40	122 05 ST		
	2/13/15	7 000	61 964	78 300	433 75	548 10	114 35 ST		
	2/24/15	4 000	64 543	78 300	258 17	313 20	55 03 ST		
	3/18/15	10 000	64 102	78 300	641 02	783 00	141.98 ST		
	3/23/15	8 000	65.376	78 300	523 01	626 40	103 39 ST		
	5/13/15	131 000	66 793	78 300	8,749 94	10,257 30	1,507 36 ST		
	Total	307 000			19,090.75	**24,038.10**	2,352 70 LT 2,594 65 ST	645 00	2.68
Asset Class: Equities									

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL
FOUNDATION INC

INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
SCHLUMBERGER LTD (SLB)	8/19/14	3 000	109 353	68 970	328 06	206 91	(121 15) LT		
	8/20/14	10 000	109 703	68 970	1,097.03	689 70	(407 33) LT		
	8/26/14	7.000	111 286	68 970	779 00	482.79	(296.21) LT		
	8/27/14	7 000	111.097	68 970	777 68	482.79	(294.89) LT		
	9/2/14	15 000	108 296	68.970	1,624.44	1,034 55	(589 89) LT		
	9/4/14	7.000	106 363	68 970	744.54	482.79	(261 75) LT		
	9/10/14	8.000	103.840	68 970	830.72	551 76	(278.96) LT		
	9/25/14	24 000	101 141	68 970	2,427 38	1,655 28	(772.10) LT		
	11/10/14	5.000	99 036	68 970	495 18	344.85	(150.33) ST		
	3/2/15	22.000	84.160	68 970	1,851.52	1,517 34	(334.18) ST		
	3/23/15	14 000	82 444	68 970	1,154 22	965.58	(188 64) ST		
	3/26/15	9.000	83 269	68 970	749.42	620.73	(128 69) ST		
	4/7/15	8.000	86 534	68.970	692 27	551 76	(140 51) ST		
	5/13/15	88.000	92 490	68 970	8,139 08	6,069.36	(2,069 72) ST		
	6/1/15	9 000	90 553	68 970	814 98	620 73	(194.25) ST		
	6/2/15	11.000	91 916	68 970	1,011 08	758 67	(252.41) ST		
	6/18/15	6 000	89 193	68 970	535 16	413 82	(121 34) ST		
	7/14/15	13.000	85 361	68 970	1,109 69	896 61	(213 08) ST		
	7/22/15	26.000	84 982	68 970	2,209 53	1,793 22	(416.31) ST		
	7/23/15	14.000	85 667	68 970	1,199 34	965 58	(233 76) ST		
	8/26/15	9 000	69 364	68 970	624 28	620 73	(3.55) ST		
	Total	315.000			29,194.60	**21,725.55**	(3,022.28) LT (4,446.77) ST	630 00	2.89

Next Dividend Payable 10/09/15; Asset Class: Equities

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
SHIRE PLC ADR (SHPG)	3/21/14	12 000	149.873	205 230	1,798.47	2,462.76	664.29 LT		
	4/21/14	7 000	150.440	205 230	1,053 08	1,436.61	383 53 LT		
	5/15/14	4.000	165 570	205 230	662 28	820 92	158.64 LT		
	6/16/14	4 000	180 340	205 230	721.36	820 92	99.56 LT		
	7/1/14	4 000	233.560	205.230	934 24	820 92	(113.32) LT		
	10/16/14	7 000	174.153	205 230	1,219 07	1,436 61	217.54 ST		
	10/27/14	4.000	195 915	205 230	783 66	820.92	37.26 ST		
	5/13/15	32 000	244 189	205 230	7,814 04	6,567.36	(1,246 68) ST		
	Total	74 000			14,986 20	**15,187.02**	1,192.70 LT (991.88) ST	52.00	0.34

Next Dividend Payable 10/02/15, Asset Class. Equities

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Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL
FOUNDATION INC

INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
SUMITOMO MITSUI FINL GROUP INC (SMFG)	3/21/14	67 000	8 427	7.630	564 62	511 21	(53 41) LT		
	3/21/14	107 000	8 722	7 630	933.25	816 41	(116 84) LT H		
	4/10/14	79 000	8.602	7.630	679.55	602 77	(76.78) LT H		
	5/15/14	6 000	7.940	7.630	47 64	45 78	(1 86) LT		
	6/16/14	86 000	8 470	7 630	728 42	656 18	(72.24) LT		
	7/1/14	73.000	8 580	7.630	626 34	556 99	(69.35) LT		
	5/13/15	419 000	8 849	7 630	3,707 65	3,196 97	(510 68) ST		
	Total	837 000			7,287 47	**6,386.31**	(390 48) LT (510 68) ST	165 00	2 58
Basis Adjustment Due to Wash Sale: $123.12; Asset Class: Equities									
SYNCHRONY FINANCIAL (SYF)	8/11/15	28 000	34 595	31 300	968.67	876 40	(92 27) ST		
	8/13/15	27 000	35 194	31 300	950 23	845 10	(105 13) ST		
	8/20/15	19 000	34.474	31 300	655 00	594 70	(60 30) ST		
	8/25/15	26 000	33.142	31 300	861 70	813 80	(47 90) ST		
	9/21/15	19 000	30 799	31 300	585 18	594 70	9 52 ST		
	9/28/15	29 000	31.024	31 300	899 71	907 70	7 99 ST		
	Total	148 000			4,920 49	**4,632.40**	(288 09) ST	—	—
Asset Class: Equities									
TAIWAN SMCNDCTR MFG CO LTD ADR (TSM)	5/5/14	121 000	19 647	20 750	2,377 24	2,510.75	133 51 LT		
	5/7/14	136 000	20 253	20 750	2,754 35	2,822 00	67 65 LT		
	5/13/14	64 000	20 627	20 750	1,320 12	1,328 00	7 88 LT		
	5/15/14	26 000	20 550	20 750	534.30	539 50	5 20 LT		
	5/16/14	66 000	20 739	20 750	1,368.75	1,369 50	0 75 LT		
	6/10/14	23 000	21 341	20 750	490 85	477.25	(13.60) LT		
	6/16/14	33 000	21 200	20.750	699 60	684 75	(14 85) LT		
	7/1/14	31 000	21 960	20 750	680.76	643 25	(37 51) LT		
	7/24/14	18 000	20 891	20 750	376 03	373 50	(2 53) LT		
	10/27/14	33 000	21 268	20 750	701 83	684.75	(17 08) ST		
	11/4/14	12 000	21 902	20 750	262 82	249 00	(13 82) ST		
	2/24/15	28 000	24 898	20 750	697 14	581 00	(116.14) ST		
	5/13/15	377 000	24 437	20.750	9,212 79	7,822 75	(1,390 04) ST		
	Total	968 000			21,476 58	**20,086.00**	146 50 LT (1,537 08) ST	560.00	2 78
Asset Class: Equities									

Security Mark at Right

Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL
FOUNDATION INC

INTERESTED PARTY COPY

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
TOYOTA MOTOR CP ADR NEW (TM)	11/11/14	4 000	119.284	117.280	477 14	469 12	(8.02) ST		
	11/18/14	9 000	120 144	117 280	1,081.30	1,055 52	(25.78) ST		
	11/26/14	13.000	122 287	117 280	1,589 73	1,524.64	(65 09) ST		
	12/1/14	9 000	125 212	117 280	1,126 91	1,055 52	(71.39) ST		
	12/3/14	2 000	127 635	117 280	255.27	234 56	(20 71) ST		
	1/29/15	13 000	132 200	117 280	1,718 60	1,524 64	(193.96) ST		
	2/24/15	4 000	138 308	117 280	553 23	469 12	(84.11) ST		
	2/26/15	4 000	137.085	117 280	548 34	469.12	(79 22) ST		
	4/27/15	2 000	140.980	117 280	281.96	234.56	(47 40) ST		
	5/13/15	54 000	136.845	117 280	7,389 62	6,333 12	(1,056.50) ST		
	6/22/15	7 000	135.853	117 280	950 97	820 96	(130 01) ST		
	Total	121 000			15,973 07	**14,190.88**	(1,782 19) ST	353.00	2.48
Asset Class: Equities									
UBS GROUP AG SHS (UBS)	3/21/14	17 000	20.340	18 520	345 78	314 84	(30 94) LT		
	4/21/14	22.000	20 400	18 520	448.80	407 44	(41 36) LT		
	5/15/14	22.000	19.920	18.520	438.24	407.44	(30.80) LT		
	6/16/14	22.000	19.308	18.520	424 77	407 44	(17.33) LT		
	7/1/14	21 000	18 530	18.520	389 13	388 92	(0.21) LT		
	5/13/15	67 000	21 180	18.520	1,419 05	1,240 84	(178 21) ST		
	8/3/15	51 000	23 076	18 520	1,176 88	944 52	(232 36) ST		
	8/11/15	44 000	22 399	18 520	985 55	814 88	(170.67) ST		
	Total	266 000			5,628.20	**4,926.32**	(120 64) LT (581 24) ST	143 00	2 90
Next Dividend Payable 09/2016; Asset Class: Equities									

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	98.5%	$254,654.45	$244,640.16	$6,429.03 LT $(16,443.32) ST	$3,992.00	1.63%

009281 MSGDD122 023439

Account Detail

Fiduciary Services Active Assets Account

ROBERT G & JANE V ENGEL
FOUNDATION INC

INTERESTED PARTY COPY

	Percentage of Assets	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
TOTAL MARKET VALUE		$254,654.45	$248,249.78	$6,429.03 LT $(16,443.32) ST	$3,993.00 $0.00	1.61%
TOTAL VALUE (includes accrued interest)	100.0%		$248,249.78			

H - Wash sale rules apply to this tax lot. The cost basis and acquisition date (trade date) have been adjusted to account for disallowed loss of a related wash sale transaction. The aggregate amount of the basis adjustment is identified in italics under the Security Description.
Unrealized Gain/(Loss) totals only reflect positions that have both cost basis and market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included

ALLOCATION OF ASSETS

	Cash	Equities	Fixed Income & Preferred Securities	Alternatives	Annuities & Insurance	Structured Investments	Other
Cash, BDP, MMFs	$3,609 62	—	—	—	—	—	—
Stocks	—	$244,640 16	—	—	—	—	—
TOTAL ALLOCATION OF ASSETS	**$3,609.62**	**$244,640.16**	—	—	—	—	—

ACTIVITY

CASH FLOW ACTIVITY BY DATE

Transaction Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/(Debits)
9/1	9/4	Sold	ORIX CORP	ACTED AS AGENT	10.000	$65.7410	$657.39
9/2	9/8	Bought	COMCAST CORP (NEW) CLASS A	ACTED AS AGENT	12.000	55 6817	(668 18)
9/8	9/8	Qualified Dividend	AMGEN INC				67 94
9/8	9/11	Sold	RYANAIR HLDGS PLC ADR	ACTED AS AGENT	10 000	77.4886	774 87
9/8	9/11	Bought	CVS HEALTH CORP COM	ACTED AS AGENT	5 000	101.3732	(506.87)
9/11	9/16	Sold	TOYOTA MOTOR CP ADR NEW	ACTED AS AGENT	17.000	116.5110	1,980 65
9/11	9/16	Bought	CVS HEALTH CORP COM	ACTED AS AGENT	9.000	100.9441	(908.50)
9/11	9/16	Bought	AMTRUST FINANCIAL SRV INC	ACTED AS AGENT	15.000	59.3487	(890.23)
9/14	9/17	Sold	TOYOTA MOTOR CP ADR NEW	ACTED AS AGENT	7 000	116.2604	813.80
9/14	9/17	Sold	RYANAIR HLDGS PLC ADR	ACTED AS AGENT	8.000	81.2550	650 02
9/14	9/17	Sold	BRISTOW GROUP INC	ACTED AS AGENT	12.000	28 7447	344.93
9/14	9/17	Bought	AMGEN INC	ACTED AS AGENT	5 000	150 9422	(754 71)
9/14	9/17	Bought	AMTRUST FINANCIAL SRV INC	ACTED AS AGENT	11 000	59 9827	(659.81)
9/15	9/15	Qualified Dividend	BRISTOW GROUP INC				14 28
9/17	9/22	Sold	BRISTOW GROUP INC	ACTED AS AGENT	14.000	31 2977	438 16
9/17	9/22	Bought	AMTRUST FINANCIAL SRV INC	ACTED AS AGENT	8.000	61.6086	(492 87)
9/21	9/24	Sold	BRISTOW GROUP INC	ACTED AS AGENT	16 000	30.9488	495 17

ATTACHMENT 9

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

DESCRIPTION		AMOUNT
ADJ TO COST BASIS OF DONATED STOCK		101,168.
ADJ TO MSSB ACCOUNTS		2,411.
	TOTAL	103,579.

Jane V. Engel Foundation
Stock Contribution
FYE 9/30/2015
EIN: 22-2764445

Stock	Date of Contribution	Quantity	FMV	Carryover Cost Basis	Adjustment to Basis
IBM	5/7/2015	325.00	55,572	3,572	52,000
PM	5/11/2015	650.00	54,685	5,516	49,168

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

ATTACHMENT 10

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
ROBERT A. ENGEL 1601 QUEENS ROAD WEST CHARLOTTE, NC 28207-243	TRUSTEE 1.00	0	0	0
JANE V. ENGEL 80 WEARIMUS ROAD HO-HO-KUS, NJ 07423-0042	PRESIDENT 1.00	0	0	0
JENNIFER E. YOUNG 927 TAUGANNOCK BLVD. ITHACA, NY 14850	TRUSTEE 1.00	0	0	0
ELIZABETH HUNTER ENGEL 22 BELLEVUE AVENUE SOUTH PORTLAND, ME 04106	TRUSTEE 1.00	0	0	0
	GRAND TOTALS	0	0	0

ATTACHMENT 11

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

JANE V. ENGEL
80 WEARIMUS ROAD
HO-HO-KUS, NJ 07423
201-445-4248

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

ATTACHMENT 12

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
AKC MUSEUM OF THE DOG 1721 SOUTH MASON ROAD ST LOUIS, MO 63131	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	5,000.
ANIMAL REFUGE LEAGUE P.O BOX 336 WESTBROOK, ME 04098	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000
BIRCH ROCK CAMP 30 BELLEVUE AVENUE SOUTH PORTLAND, ME 04106	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,500.
CANCER COMMUNITY CENTER 778 MAIN STREET SOUTH PORTLAND, ME 04106	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	2,000.
CANCER RESOURCE CENTER OF THE FINGER LAKES 612 WEST STATE STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250.
CATHEDRAL CHURCH OF ST. JOHN THE DIVINE 1047 AMSTERDAM AVENUE NEW YORK, NY 10025	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	15,000

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
CAYUGA LAKE WATERSHED NETWORK P.O BOX 348 AURORA, NY 13026	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250.
CAPE ELIZABETH LAND TRUST 330 OCEAN HOUSE ROAD CAPE ELIZABETH, ME 04107	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500
CAYUGA NATURE CENTER 1420 TAUGHANNOCK BOULEVARD ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000
CENTER FOR ORANGUTAN AND CHIMPANZEE CONSERVATION BOX 488 WAUCHULA, FL 33873	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	2,500.
CHARLOTTE COUNTRY DAY SCHOOL 1440 CARMEL ROAD CHARLOTTE, NC 28226	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	5,000.
COLET FOUNDATION C/O ROBERT A ENGEL 1601 QUEENS ROAD WE CHARLOTTE, NC 28207-2433	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
CORNELL PLANTATIONS ONE PLANTATION ROAD ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	8,000
CORNELL UNIVERSITY, LABORATORY OF ORNITHOLOGY 159 SAPSUCKER WOODS ROAD ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	5,000.
CORNELL UNIVERSITY, OFFICE OF DEVELOPMENT 130 E. SENECA STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	2,000.
CSMA 330 E. STATE STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250
DEERFIELD ACADEMY MAIN STREET DEERFIELD, CT 01342	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	3,000.
EVER AFTER MUSTANG RESCUE 463 WEST STREET BIDDEFORD, ME 04005	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,500

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
FAMILY & CHILDREN'S SERVICES OF ITHACA 127 W STATE STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
FIRST CHURCH OF CHRIST SCIENTIST 8 HILLSIDE AVENUE MONTCLAIR, NJ 07042	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250
FIRST CHURCH OF CHRIST SCIENTIST 1048 E. MOREHEAD STREET CHARLOTTE, NC 28204	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250
HISTORY CENTER 401 E. STATE STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
HOSPICARE 127 E KIND ROAD ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
HUTCHISON SCHOOL 1740 RIDGEWAY ROAD MEMPHIS, TN 38119	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	3,000

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
ITHACA PUBLIC EDUCATION INITIATIVE P O BOX 4268 ITHACA, NY 14852	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	10,000
MAINE AUDUBON SOCIETY 20 GISLAND FARM ROAD FALMOUTH, ME 04105	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.
MAINE STATE SOCIETY FOR PROTECTION OF ANIMALS P O BOX 10 SOUTH WINDHAM, ME 04082	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,500.
MEMPHIS UNIVERSITY SCHOOL 619 PARK AVENUE MEMPHIS, TN 38119	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250.
MORRIS MUSEUM 6 NORMANDY HEIGHTS ROAD MORRISTOWN, NJ 07960	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	5,000.
PLANNED PARENTHOOD P O. BOX 268 HORSEHEAD, NY 14845	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	3,000

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
PRINCETON UNIVERSITY P.O. BOX 39 PRINCETON, NJ 08540	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	3,750
SECOND CHURCH OF CHRIST SCIENTIST 3535 CENTRAL AVENUE MEMPHIS, TN 38111	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500
SOUTHERN MAINE AGENCY ON AGING 136 U.S RT. 1 SCARBOROUGH, ME 04074	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
SPCA, TOMPKINS COUNTY CHAPTER 1640 HANSHAW ROAD ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
STATE THEATRE 107 W. STATE STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
STONELEIGH-BURNHAM SCHOOL BERNARDSTON ROAD GREENFIELD, MA 01301	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	4,500.

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
TEACH FOR AMERICA 5855 EXECUTIVE CENTER DRIVE SUITE 200 CHARLOTTE, NC 28212	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	5,000
THE IVY 1879 FOUNDATION 43 PROSPECT AVENUE PRINCETON, NJ 08540	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	2,500
THE KITCHEN THEATRE 108 WEST STATE STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
THE RAPTOR TRUST 1390 WHITE BRIDGE ROAD MILLINGTON, NJ 07946	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	5,000.
THE SEEING EYE P.O. BOX 375 MORRISTOWN, NJ 07963	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	46,000
TOMPKINS COUNTY PUBLIC LIBRARY 101 E. GREEN STREET ITHACA, NY 14850	NONE SO-DP	TO PROMOTE THE WORK OF THE ORGANIZATION	2,000.

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
VALLEY HOSPITAL FOUNDATION 223 N. VAN DIEN STREET RIDGEWOOD, NJ 07450	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	50,000
WILDLIFE CONSERVATION SOCIETY 2300 SOUTHERN BOULEVARD BRONX, NY 10460	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	25,000.
WSKG 601 GATES ROAD VESTAL, NY 13850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250
COMMUNITY FOUNDATION WOMEN'S FUND ENDOWMENT 309 N AURORA STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250.
SOUTH PORTLAND LAND TRUST P.O BOX 2312 SOUTH PORTLAND, ME 04106	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,500.
FAMILY READING PARTNERSHIP 54 GUNDERMAN ROAD ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250.

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
GULF OF MAINE RESEARCH ISTITUTE 350 COMMERCIAL STREET PORTLAND, ME 04010	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	2,500
KINGS ACADEMY, INC 245 PARK AVENUE 39TH FLOOR NEW YORK, NY 10167	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000
LUCKY PUP DOG RESCUE PO BOX 461 KENNEBUNKPORT, ME 04046	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,500
CATHEDRAL CHURCH OF ST. JOHN THE DIVINE 1047 AMSTERDAM AVENUE NEW YORK, NY 10025	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000
FRIENDS OF STEWART PARK 101 EAST SHORE DRIVE ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250
PUPPY LOVE 9 BRIAR LEDGE LANE BAILEY ISLAND, ME 04003	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
SCIENCENTER, DEVELOPMENT OFFICE 601 FIRST STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000
THE RAPTOR TRUST 1390 WHITE BRIDGE ROAD MILLINGTON, NJ 07946	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	2,000.
WILDLIFE CONSERVATION SOCIETY 2300 SOUTHERN BOULEVARD BRONX, NY 10460	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
CINEMAPOLIS 120 GREEN STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250.
COMMUNITY RECREATION CENTER 1767 EAST SHORE DRIVE ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.
COMMUNITY RECREATION CENTER 1767 EAST SHORE DRIVE ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
FRIENDS OF MAINE WILDLIFE PARK P.O.BOX 1231 GRAY, ME 04039	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500
GOLDEN OPPORTUNITY 505 LINN STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250.
ITHACA CHILDREN'S GARDEN 615 WILLOW AVENUE ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	500.
MAINE HUMANITIES COUNCIL 674 BRIGHTON AVENUE PORTLAND, ME 04102	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.
OPERA CAROLINA 1500 ELIZABETH AVENUE CHARLOTTE, NC 28204	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	3,000.
PORLAND TRAILS 305 COMMERCIAL STREET PORTLAND, ME 04101	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.

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

ATTACHMENT 12 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
RIDING TO THE TOP 10 LILAC DRIVE WINDHAM, ME 04062	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.
SCIENCENTER, DEVELOPMENT OFFICE 601 FIRST STREET ITHACA, NY 14850	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	4,000.
SOUTH PORTLAND HISTORICAL SOCIETY 55 BUG LIGHT PARK SOUTH PORTLAND, ME 04102	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.
WAYSIDE FOOD PROGRAM 135 WALTON STREET PORTLAND, ME 04103	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	1,000.
WHARTON STUDIO MUSEUM P.O BOX 3975 ITHACA, NY 14852	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	250
THE SEEING EYE P.O.BOX 375 MORRISTOWN, NJ 07963	NONE PC	TO PROMOTE THE WORK OF THE ORGANIZATION	25,000
		TOTAL CONTRIBUTIONS PAID	280,000.

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 13

DESCRIPTION	BUSINESS CODE	AMOUNT	EXCLUSION CODE	AMOUNT	RELATED OR EXEMPT FUNCTION INCOME
TAX REFUND				1,982.	
OTHER INCOME-EY TAX PREP FEES PAID				13,000.	
TOTALS				14,982.	