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Form 990-PF

Return of Private Foundation

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

OMB No 1545-0052

2015

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

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.

For calendar year 2015 or tax year beginning

OCT 1, 2015

and ending

SEP 30, 2016

Name of foundation

JOSEPH F. ENGELBERGER FOUNDATION, INC.
C/O GAY ENGELBERGER

A Employer identification number

52-1736167

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

53 HUNDRED ACRES ROAD

Room/suite

B Telephone number

(203) 426-6819

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

NEWTOWN, CT 06470

C If exemption application is pending, check here ☐

G Check all that apply:

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

H Check type of organization:

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

I Fair market value of all assets at end of year

J Accounting method: ☒ Cash ☐ Accrual

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

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

\$ 578,080. (Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received			N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	22,354.	22,354.		STATEMENT 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	<20,252.>			
b Gross sales price for all assets on line 6a	110,027.			
7 Capital gain net income (from Part IV, line 2)		0.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss)				
11 Other income				
12 Total. Add lines 1 through 11	2,102.	22,354.		
13 Compensation of officers, directors, trustees, etc	3,400.	0.		3,400.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees				
b Accounting fees				
c Other professional fees	STMT 2 6,903.	6,903.		0.
17 Interest				
18 Taxes	STMT 3 147.	0.		0.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses	STMT 4 425.	0.		425.
24 Total operating and administrative expenses. Add lines 13 through 23	10,875.	6,903.		3,825.
25 Contributions, gifts, grants paid	24,450.			24,450.
26 Total expenses and disbursements. Add lines 24 and 25	35,325.	6,903.		28,275.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	<33,223.>			
b Net investment income (if negative, enter -0-)		15,451.		
c Adjusted net income (if negative, enter -0-)			N/A	

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11-24-15

LHA For Paperwork Reduction Act Notice, see instructions.

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only			
		Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash - non-interest-bearing	14,652.	15,867.	15,867.	
	2 Savings and temporary cash investments				
	3 Accounts receivable ▶				
	Less: allowance for doubtful accounts ▶				
	4 Pledges receivable ▶				
	Less: allowance for doubtful accounts ▶				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons				
	7 Other notes and loans receivable ▶				
	Less: allowance for doubtful accounts ▶				
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments - U.S. and state government obligations				
	b Investments - corporate stock				
	c Investments - corporate bonds				
		11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶					
12 Investments - mortgage loans					
13 Investments - other STMT 5		475,467.	441,029.	562,213.	
14 Land, buildings, and equipment: basis ▶					
Less accumulated depreciation ▶					
15 Other assets (describe ▶)					
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		490,119.	456,896.	578,080.	
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				
	22 Other liabilities (describe ▶)				
	23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>				
	and complete lines 24 through 26 and lines 30 and 31.				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>				
	and complete lines 27 through 31.				
	27 Capital stock, trust principal, or current funds	0.	0.		
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
	29 Retained earnings, accumulated income, endowment, or other funds	490,119.	456,896.		
30 Total net assets or fund balances	490,119.	456,896.			
	31 Total liabilities and net assets/fund balances	490,119.	456,896.		

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	490,119.
2 Enter amount from Part I, line 27a	2	<33,223.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	456,896.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	456,896.

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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			
b SEE ATTACHED STATEMENT			
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 110,027.		130,279.	<20,252.>

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			<20,252.>

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 <20,252.>

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).
If (loss), enter -0- in Part I, line 8 } 3 N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2014	29,897.	588,241.	.050824
2013	27,623.	602,375.	.045857
2012	29,025.	573,089.	.050647
2011	27,761.	561,491.	.049442
2010	16,610.	558,686.	.029730

2 Total of line 1, column (d)	2	.226500
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	.045300
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	550,414.
5 Multiply line 4 by line 3	5	24,934.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	155.
7 Add lines 5 and 6	7	25,089.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	28,275.

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	155.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	155.
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	155.
6	Credits/Payments:		
a	2015 estimated tax payments and 2014 overpayment credited to 2015	6a	
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	0.
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	155.
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	
11	Enter the amount of line 10 to be: Credited to 2016 estimated tax <input checked="" type="checkbox"/> Refunded <input type="checkbox"/>	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a		X
1b		X
1c		X
d		
(1)		
(2)		
e		
2		X
3		X
4a		X
4b		
5		X
6	X	
7	X	
8a		
8b	X	
9		X
10		X

N/A

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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)		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)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A	X	
14 The books are in care of GAY ENGELBERGER Telephone no. (203) 426-9544 Located at 109 TAUNTON HILL ROAD, NEWTOWN, CT ZIP+4 06470		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year		
16 At any time during calendar year 2015, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country		X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here N/A		
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 2015?		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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 2015 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 2015) N/A		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		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 2015?		X

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation.

(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
JOSEPH F. ENGELBERGER	PRESIDENT / TREASURER			
NEWTOWN, CT 06470	0.00	0.	0.	0.
JEFFREY ENGELBERGER	VICE PRESIDENT			
NEWTOWN, CT 06470	0.00	0.	0.	0.
GAY ENGELBERGER	SECRETARY			
NEWTOWN, CT 06470	5.00	3,400.	0.	0.

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

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

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

0

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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services

0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 NONE	
	0.
2	
3	
4	

Part IX-B Summary of Program-Related Investments

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

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

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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	537,017.
b	Average of monthly cash balances	1b	21,779.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	558,796.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	558,796.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	8,382.
5	Net value of noncharitable-use assets Subtract line 4 from line 3. Enter here and on Part V, line 4	5	550,414.
6	Minimum investment return. Enter 5% of line 5	6	27,521.

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	27,521.
2a	Tax on investment income for 2015 from Part VI, line 5	2a	155.
b	Income tax for 2015. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	155.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	27,366.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	27,366.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	27,366.

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	28,275.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	28,275.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	155.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	28,120.

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.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				27,366.
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only			24,363.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2015:				
a From 2010				
b From 2011				
c From 2012				
d From 2013				
e From 2014				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2015 from Part XII, line 4: ▶ \$ 28,275.				
a Applied to 2014, but not more than line 2a			24,363.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2015 distributable amount				3,912.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2014. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				23,454.
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)	0.			
8 Excess distributions carryover from 2010 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2011				
b Excess from 2012				
c Excess from 2013				
d Excess from 2014				
e Excess from 2015				

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

N/A

- 1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, 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)

- 2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Tax year

Prior 3 years

(a) 2015

(b) 2014

(c) 2013

(d) 2012

(e) Total

- 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).)

JOSEPH F. ENGELBERGER

- 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:

SEE STATEMENT 6

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

- c Any submission deadlines:

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

JOSEPH F. ENGELBERGER FOUNDATION, INC.

Form 990-PF (2015)

C/O GAY ENGELBERGER

52-1736167 Page 11

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				
SEE ATTACHED SCHEDULE			PUBLIC CHARITY	24,450.
Total			3a	24,450.
b Approved for future payment				
NONE				
Total			3b	0.

Enter gross amounts unless otherwise indicated.

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

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

523621 11-24-15

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 WELLS FARGO-SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
b WELLS FARGO-SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
c WELLS FARGO-SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
d WELLS FARGO-SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
e WELLS FARGO-SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
f WELLS FARGO-SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
g				
h				
i				
j				
k				
l				
m				
n				
o				

(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 1,810.		1,863.	<53.>
b 31,454.		31,802.	<348.>
c 14.		16.	<2.>
d 10,886.		16,653.	<5,767.>
e 11,244.		11,896.	<652.>
f 54,619.		68,049.	<13,430.>
g			
h			
i			
j			
k			
l			
m			
n			
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			<53.>
b			<348.>
c			<2.>
d			<5,767.>
e			<652.>
f			<13,430.>
g			
h			
i			
j			
k			
l			
m			
n			
o			

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

<20,252.>

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).
If (loss), enter "-0-" in Part I, line 8 }

3

N/A

JOSEPH ENGELBERGER FOUNDATION

EIN # 52-1736167

9/30/16

990-PF PART XV ATTACHMENT - CONTRIBUTIONS PAID
DURING THE YEAR

<u>Name</u>	<u>Relationship</u>	<u>Purpose</u>	<u>Amount</u>
AARP	NONE	Unrestricted	400
Alzheimers Disease Research	NONE	Unrestricted	500
American Cancer Society	NONE	Unrestricted	300
American Red Cross	NONE	Unrestricted	200
Best Friends	NONE	Unrestricted	600
Boy Scouts of America	NONE	Unrestricted	400
CARE	NONE	Unrestricted	200
Newtown Volunteer Ambulance	NONE	Unrestricted	100
Columbia University New York	NONE	Unrestricted	10,000
CT Food Bank	NONE	Unrestricted	100
Cyrenius H. Booth Library	NONE	Unrestricted	100
Disabled American Vets	NONE	Unrestricted	400
Cumberland College	NONE	Unrestricted	500
Gaylord Hospital	NONE	Unrestricted	100
Goodwill	NONE	Unrestricted	100
Salvation Army	NONE	Unrestricted	150
Western Conor Health Network	NONE	Unrestricted	10,000
United Way	NONE	Unrestricted	300
			<u>24,450</u>

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
WELLS FARGO SECURITIES	22,354.	0.	22,354.	22,354.	
TO PART I, LINE 4	22,354.	0.	22,354.	22,354.	

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	2
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADVISOR FEES	6,903.	6,903.		0.
TO FORM 990-PF, PG 1, LN 16C	6,903.	6,903.		0.

FORM 990-PF	TAXES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	147.	0.		0.
TO FORM 990-PF, PG 1, LN 18	147.	0.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEE	425.	0.		425.
TO FORM 990-PF, PG 1, LN 23	425.	0.		425.

FORM 990-PF

OTHER INVESTMENTS

STATEMENT 5

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS, EQUITY & PREFERRED SECURITIES	COST	441,029.	562,213.
TOTAL TO FORM 990-PF, PART II, LINE 13		441,029.	562,213.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 6

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

GAY ENGELBERGER
109 TAUNTON HILL ROAD
NEWTOWN, CT 06470

FORM AND CONTENT OF APPLICATIONS

APPLICANTS SHOULD INCLUDE DESCRIPTION OF ORGANIZATION, PAST ACCOMPLISHMENTS
AND SPECIFIC OBJECTIVES

ANY SUBMISSION DEADLINES

NONE

RESTRICTIONS AND LIMITATIONS ON AWARDS

EMPHASIS IS PLACED ON SCIENCE EDUCATION AND SCIENTIFIC RESEARCH

Attach to form 1041 10/12

THE JOSEPH F ENGELBERGER
FOUNDATION

OCTOBER 1, 2015 - OCTOBER 31, 2015
ACCOUNT NUMBER: 4579-3118

Bank Deposits Through Teller **October 1 - October 31**
Wells Fargo Bank, N.A. (Member FDIC) **Account number 9073192743** **Questions? Call us at 1-800-266-6263**

Deposits made in a bank branch on the last business day of the month will typically appear on your next statement.

DATE	TRANSACTION	DESCRIPTION	AMOUNT	BANK BALANCE
10/01		BEGINNING BALANCE		\$0.00
10/31		ENDING BALANCE		\$0.00

Realized gain/loss

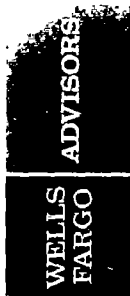
Realized Gain/Loss Summary

	THIS PERIOD GAIN	THIS PERIOD LOSS	THIS PERIOD NET	THIS YEAR GAIN	THIS YEAR LOSS	THIS YEAR NET
Short term	0.00	-52.94	-52.94	0.00	-52.94	-52.94
Long term	1.66	-349.64	-347.98	1.66	-349.64	-347.98
Total Realized Gain/Loss	\$1.66	-\$402.58	-\$400.92	\$1.66	-\$402.58	-\$400.92



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THE JOSEPH F ENGELBERGER
FOUNDATION

OCTOBER 1, 2015 - OCTOBER 31, 2015
ACCOUNT NUMBER: 4579-3118

Realized Gain/Loss Detail

Short term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
ARES CAP CORP 7.75% PFD SR NOTE MAT 10/15/40 CALL 10/15/15 CUSIP 04010L202	23.46600	25.9701	01/15/15	10/28/15	586.65	609.42	-22.77
	24.07100	25.7898	04/15/15	10/28/15	601.78	620.78	-19.00
	24.85000	25.4500	07/15/15	10/28/15	621.27	632.44	-11.17
Total Short term					\$1,809.70 ✓	\$1,862.64 ✓	-\$52.94

Long term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
ARES CAP CORP 7.75% PFD SR NOTE MAT 10/15/40 CALL 10/15/15 CUSIP 04010L202	200.00000	25.0099	09/21/11 ^{1nc}	10/28/15	5,000.00	5,001.98	-1.98
	100.00000	25.0200	09/21/11 ^{1nc}	10/28/15	2,500.00	2,502.00	-2.00
	100.00000	25.0299	09/21/11 ^{1nc}	10/28/15	2,500.00	2,502.99	-2.99
	100.00000	25.0248	09/21/11 ^{1nc}	10/28/15	2,500.00	2,502.48	-2.48
	9.75400	24.8300	10/17/11 ^{1nc}	10/28/15	243.85	242.19	1.66
	400.00000	25.0899	10/31/11 ^{1nc}	10/28/15	10,000.00	10,035.96	-35.96
	100.00000	25.0879	10/31/11 ^{1nc}	10/28/15	2,500.00	2,508.79	-8.79
	19.22600	25.4400	01/17/12 ^{nc}	10/28/15	480.65	489.10	-8.45
	19.39300	25.6999	04/16/12 ^{nc}	10/28/15	484.82	498.41	-13.59
	19.14700	26.5210	07/16/12 ^{nc}	10/28/15	478.67	507.81	-29.14
	19.16000	26.9868	10/15/12 ^{nc}	10/28/15	479.00	517.08	-38.08
	19.59800	26.8580	01/15/13 ^{nc}	10/28/15	489.95	526.36	-36.41
	19.99500	26.7990	04/15/13 ^{nc}	10/28/15	499.87	535.85	-35.98
	21.01200	25.9637	07/15/13 ^{nc}	10/28/15	525.30	545.54	-20.24
	22.00500	25.2540	10/15/13 ^{nc}	10/28/15	550.12	555.72	-5.60
	22.05300	25.6819	01/15/14	10/28/15	551.32	566.37	-15.05
	21.80000	26.4709	04/15/14	10/28/15	545.00	577.06	-32.06
	22.20500	26.4629	07/15/14	10/28/15	555.12	587.62	-32.50

THE JOSEPH F ENGELBERGER
FOUNDATION

OCTOBER 1, 2015 - OCTOBER 31, 2015
ACCOUNT NUMBER 4579-3118

Realized Gain/Loss Detail continued

Long term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
	22 80100	26 2434	10/15/14	10/28/15	570.03	598.37	-28.34
Total Long term					\$31,453.70 ✓	\$31,801.68 ✓	-\$347.98

Cost information for this tax lot is not covered by IRS reporting requirements. Unless indicated, cost for all other lots will be reported to the IRS.



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THE JOSEPH F ENGELBERGER
FOUNDATION

NOVEMBER 1, 2015 - NOVEMBER 30, 2015
ACCOUNT NUMBER: 4579-3118

Bank Deposits Through Teller

November 1 - November 30

Wells Fargo Bank, N.A. (Member FDIC)

Account number 9073192743

Questions? Call us at 1-800-266-6263

Deposits made in a bank branch on the last business day of the month will typically appear on your next statement

DATE	TRANSACTION	DESCRIPTION	AMOUNT	BANK BALANCE
11/01		BEGINNING BALANCE		\$0 00
11/30		ENDING BALANCE		\$0 00

Realized gain/loss

Realized Gain/Loss Summary

	THIS PERIOD GAIN	THIS PERIOD LOSS	THIS PERIOD NET	THIS YEAR GAIN	THIS YEAR LOSS	THIS YEAR NET
Short term	0 11	-2 71	-2.60	0 11	-55.65	-55 54
Long term	0.00	-5,766 08	-5,766.08	1 66	-6,115 72	-6,114.06
Total Realized Gain/Loss	\$0.11	-\$5,768.79	-\$5,768.68	\$1.77	-\$6,171.37	-\$6,169.60

**THE JOSEPH F ENGELBERGER
FOUNDATION**

NOVEMBER 1, 2015 - NOVEMBER 30, 2015
ACCOUNT NUMBER 4579-3118

Realized Gain/Loss Detail

Short term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
PIONEER HIGH INCOME TR CUSIP 72369H106	0.08500	17.5022	11/28/14	11/03/15	0.92	1.49	-0.57
	0.08700	17.2293	12/18/14	11/03/15	0.94	1.50	-0.56
	0.08800	17.3704	01/06/15	11/03/15	0.95	1.52	-0.57
	0.09000	14.1553	02/27/15	11/03/15	0.97	1.28	-0.31
	0.10100	12.7852	03/31/15	11/03/15	1.09	1.29	-0.20
	0.10000	12.9872	04/30/15	11/03/15	1.08	1.30	-0.22
	0.10400	12.6408	05/29/15	11/03/15	1.13	1.31	-0.18
	0.11600	11.3452	06/30/15	11/03/15	1.26	1.32	-0.06
	0.12100	11.0595	07/31/15	11/03/15	1.31	1.34	-0.03
	0.12400	10.9029	08/31/15	11/03/15	1.34	1.35	-0.01
	0.13400	10.2166	09/30/15	11/03/15	1.46	1.37	0.09
	0.12800	10.7420	10/30/15	11/03/15	1.40	1.38	0.02
Total Short term					\$13.85 ✓	\$16.45 ✓	-\$2.60

Long term

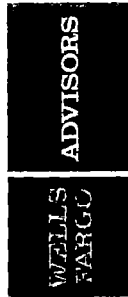
DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
PIONEER HIGH INCOME TR CUSIP 72369H106	1,000.00000	16.4684	09/21/11 ^{nc}	11/03/15	10,769.59	16,468.40	-5,698.81
	8.17000	16.8301	10/31/11 ^{nc}	11/03/15	87.99	137.50	-49.51
	0.06600	17.0427	11/30/11 ^{nc}	11/03/15	0.71	1.12	-0.41
	0.06600	17.2000	12/19/11 ^{nc}	11/03/15	0.71	1.13	-0.42
	0.06400	17.7825	01/06/12	11/03/15	0.68	1.14	-0.46
	0.06500	17.6507	02/29/12	11/03/15	0.70	1.15	-0.45
	0.07000	16.6809	03/30/12	11/03/15	0.75	1.16	-0.41
	0.06900	16.9698	04/30/12	11/03/15	0.74	1.17	-0.43
	0.06900	17.1701	05/31/12	11/03/15	0.74	1.18	-0.44
	0.06900	17.2111	06/29/12	11/03/15	0.74	1.19	-0.45
	0.06600	18.1879	07/31/12	11/03/15	0.71	1.20	-0.49
	0.06600	18.3990	08/31/12	11/03/15	0.71	1.21	-0.50
	0.06600	18.6090	09/28/12	11/03/15	0.71	1.22	-0.51
	0.07100	17.1470	10/31/12	11/03/15	0.76	1.22	-0.46
	0.07300	16.7906	11/30/12	11/03/15	0.78	1.23	-0.45



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THE JOSEPH F ENGELBERGER
FOUNDATION

NOVEMBER 1, 2015 - NOVEMBER 30, 2015
ACCOUNT NUMBER: 4579-3118

Realized Gain/Loss Detail continued

Long term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
	0.07700	16.1823	12/20/12	11/03/15	0.83	1.24	-0.41
	0.07500	16.7376	01/07/13	11/03/15	0.80	1.25	-0.45
	0.07500	16.9692	02/28/13	11/03/15	0.80	1.27	-0.47
	0.07500	16.9696	03/28/13	11/03/15	0.80	1.28	-0.48
	0.07200	17.9230	04/30/13	11/03/15	0.77	1.29	-0.52
	0.07600	17.0423	05/31/13	11/03/15	0.82	1.30	-0.48
	0.07800	16.7858	06/28/13	11/03/15	0.84	1.31	-0.47
	0.07900	16.6483	07/31/13	11/03/15	0.85	1.32	-0.47
	0.08000	16.6064	08/30/13	11/03/15	0.86	1.33	-0.47
	0.07900	16.9833	09/30/13	11/03/15	0.85	1.34	-0.49
	0.07800	17.2803	10/31/13	11/03/15	0.84	1.35	-0.51
	0.07900	17.1739	11/29/13	11/03/15	0.85	1.36	-0.51
	0.08200	16.7209	12/19/13	11/03/15	0.88	1.37	-0.49
	0.08000	17.2000	01/06/14	11/03/15	0.86	1.38	-0.52
	0.07900	17.6965	02/28/14	11/03/15	0.85	1.39	-0.54
	0.07900	17.8190	03/31/14	11/03/15	0.85	1.40	-0.55
	0.07800	18.1456	04/30/14	11/03/15	0.84	1.42	-0.58
	0.07800	18.4388	05/30/14	11/03/15	0.84	1.43	-0.59
	0.07800	18.4500	06/30/14	11/03/15	0.84	1.44	-0.60
	0.08000	18.2079	07/31/14	11/03/15	0.86	1.45	-0.59
	0.08200	17.6990	08/29/14	11/03/15	0.88	1.46	-0.58
	0.08700	16.9896	09/30/14	11/03/15	0.94	1.47	-0.53
	0.08400	17.5360	10/31/14	11/03/15	0.90	1.48	-0.58
Total Long term					\$10,886.47 ✓	\$16,652.55 ✓	-\$5,766.08

nc Cost information for this tax lot is not covered by IRS reporting requirements Unless indicated, cost for all other lots will be reported to the IRS

THE JOSEPH F ENGELBERGER
FOUNDATION

DECEMBER 1, 2015 - DECEMBER 31, 2015
ACCOUNT NUMBER: 4579-3118

Bank Deposits Through Teller

December 1 - December 31

Wells Fargo Bank, N.A. (Member FDIC)

Account number 9073192743

Questions? Call us at 1-800-266-6263

Deposits made in a bank branch on the last business day of the month will typically appear on your next statement

DATE	TRANSACTION	DESCRIPTION	AMOUNT	BANK BALANCE
12/01		BEGINNING BALANCE		\$0.00
12/31		ENDING BALANCE		\$0.00

Realized gain/loss

Realized Gain/Loss Summary

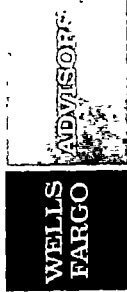
	THIS PERIOD GAIN	THIS PERIOD LOSS	THIS PERIOD NET	THIS YEAR GAIN	THIS YEAR LOSS	THIS YEAR NET
Short term	0.00	-651.99	-651.99	0.11	-707.64	-707.53
Long term	0.00	-11,732.09	-11,732.09	1.66	-17,847.81	-17,846.15
Total Realized Gain/Loss	\$0.00	-\$12,384.08	-\$12,384.08	\$1.77	-\$18,555.45	-\$18,553.68



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THE JOSEPH F ENGELBERGER
FOUNDATION

DECEMBER 1, 2015 - DECEMBER 31, 2015
ACCOUNT NUMBER: 4579-3118

Realized Gain/Loss Detail

Short term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
BLACKROCK CORPORATE HIGH YIELD FUND INC CUSIP 09255P107	0.06400	11.2128	12/19/14	12/08/15	0.63	0.72	-0.09
	0.08400	11.3490	01/09/15	12/08/15	0.83	0.95	-0.12
	0.06300	11.3490	01/09/15	12/08/15	0.62	0.72	-0.10
	0.06300	11.4989	02/27/15	12/08/15	0.62	0.73	-0.11
	0.06100	11.1808	03/31/15	12/08/15	0.60	0.68	-0.08
	0.06100	11.3990	04/30/15	12/08/15	0.60	0.69	-0.09
	0.06200	11.2198	05/29/15	12/08/15	0.61	0.69	-0.08
	0.06500	10.7599	06/30/15	12/08/15	0.64	0.70	-0.06
	0.06700	10.4997	07/31/15	12/08/15	0.66	0.70	-0.04
	0.07100	10.0685	08/31/15	12/08/15	0.70	0.71	-0.01
	0.07200	9.8242	09/30/15	12/08/15	0.71	0.71	0.00
	0.06900	10.3872	10/30/15	12/08/15	0.68	0.72	-0.04
	1,000.00000	10.3790	11/03/15	12/08/15	9,913.08	10,379.00	-465.92
	7.08100	9.9871	11/30/15	12/08/15	70.20	70.72	-0.52
ISHARES MSCI PACIFIC ETF EX-JAPAN CUSIP 464286665	17.55400	43.9691	12/24/14	12/08/15	672.21	771.83	-99.62
	15.17200	43.9052	07/01/15	12/08/15	581.00	666.11	-85.11
Total Short term					\$11,244.39	\$11,896.38	-\$651.99

Long term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
BLACKROCK CORPORATE HIGH YIELD FUND INC CUSIP 09255P107	1,000.00000	11.0710	09/21/11 _{nc}	12/08/15	9,912.81	11,071.00	-1,158.19
	7.29900	11.4392	10/31/11 _{nc}	12/08/15	72.35	83.50	-11.15
	0.05300	11.4253	11/30/11 _{nc}	12/08/15	0.52	0.61	-0.09
	0.05300	11.4198	12/19/11 _{nc}	12/08/15	0.52	0.61	-0.09
	0.05300	11.6000	01/09/12	12/08/15	0.52	0.62	-0.10
	0.01500	11.5995	01/09/12	12/08/15	0.14	0.17	-0.03
	0.04900	12.5404	02/29/12	12/08/15	0.48	0.62	-0.14

ASSET ADVISOR

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THE JOSEPH F ENGELBERGER
FOUNDATION

DECEMBER 1, 2015 - DECEMBER 31, 2015
ACCOUNT NUMBER 4579-3118

Realized Gain/Loss Detail continued

Long term

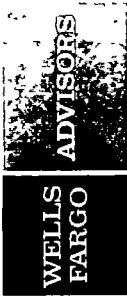
DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
	0.05000	12.5759	03/30/12	12/08/15	0.49	0.63	-0.14
	0.05100	12.3909	04/30/12	12/08/15	0.50	0.63	-0.13
	0.05200	12.2353	05/31/12	12/08/15	0.51	0.64	-0.13
	0.05400	12.4697	06/29/12	12/08/15	0.53	0.67	-0.14
	0.05200	12.9990	07/31/12	12/08/15	0.51	0.68	-0.17
	0.05200	12.9973	08/31/12	12/08/15	0.51	0.68	-0.17
	0.05300	13.0308	09/28/12	12/08/15	0.52	0.69	-0.17
	0.05300	12.9944	10/31/12	12/08/15	0.52	0.69	-0.17
	0.05400	12.6719	11/30/12	12/08/15	0.53	0.69	-0.16
	0.05600	12.3910	12/18/12	12/08/15	0.55	0.70	-0.15
	0.05500	12.7603	01/09/13	12/08/15	0.54	0.70	-0.16
	0.04500	12.7603	01/09/13	12/08/15	0.44	0.57	-0.13
	0.05600	12.7405	02/28/13	12/08/15	0.55	0.71	-0.16
	0.05500	13.0013	03/28/13	12/08/15	0.54	0.72	-0.18
	0.05500	13.0010	04/30/13	12/08/15	0.54	0.72	-0.18
	0.05700	12.7685	05/31/13	12/08/15	0.56	0.73	-0.17
	0.06100	12.0580	06/28/13	12/08/15	0.60	0.73	-0.13
	0.05800	11.7347	07/31/13	12/08/15	0.57	0.68	-0.11
	0.06000	11.3130	08/30/13	12/08/15	0.59	0.68	-0.09
	0.05900	11.6690	09/30/13	12/08/15	0.58	0.69	-0.11
	0.05700	12.0100	10/31/13	12/08/15	0.56	0.69	-0.13
	0.11500	12.0979	11/01/13	12/08/15	1.13	1.39	-0.26
	0.06000	11.9110	12/19/13	12/08/15	0.59	0.71	-0.12
	0.05900	12.0542	01/08/14	12/08/15	0.58	0.71	-0.13
	0.05800	12.5097	02/28/14	12/08/15	0.57	0.72	-0.15
	0.05900	12.2800	03/31/14	12/08/15	0.58	0.72	-0.14
	0.06000	12.2100	04/30/14	12/08/15	0.59	0.73	-0.14
	0.06000	12.2695	05/30/14	12/08/15	0.59	0.73	-0.14
	0.06000	12.2516	06/30/14	12/08/15	0.59	0.74	-0.15
	0.05700	12.1099	07/31/14	12/08/15	0.56	0.69	-0.13
	0.05800	12.0495	08/29/14	12/08/15	0.57	0.70	-0.13
	0.06000	11.7399	09/30/14	12/08/15	0.59	0.70	-0.11
	0.06000	11.8602	10/31/14	12/08/15	0.59	0.71	-0.12
	0.06100	11.6688	11/28/14	12/08/15	0.60	0.71	-0.11



ASSET ADVISOR

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THE JOSEPH F ENGELBERGER
FOUNDATIONDECEMBER 1, 2015 - DECEMBER 31, 2015
ACCOUNT NUMBER: 4579-3118

Realized Gain/Loss Detail continued

Long term

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
ISHARES NORTH AMERICAN NATURAL RESOURCES CUSIP 464287374	300.00000	37.7732	09/21/11	12/08/15	8,735.84 ✓	11,331.96 ✓	-2,596.12
ISHARES MSCI PACIFIC ETF EX-JAPAN CUSIP 464286665	0.96000	33.7372	09/30/11	12/08/15	27.96 ✓	32.38 ✓	-4.42
	200.69200	39.7965	09/21/11nc	12/08/15	7,685.20	7,986.84	-301.64
	99.30800	39.7965	09/21/11nc	12/08/15	3,802.63	3,952.11	-149.48
	100.69200	43.3463	10/31/11nc	12/08/15	3,855.63	4,364.63	-509.00
	99.30800	43.3463	10/31/11nc	12/08/15	3,802.83	4,304.63	-501.80
	14.69200	43.3499	10/31/11nc	12/08/15	562.61	636.90	-74.29
	85.30800	43.3499	10/31/11nc	12/08/15	3,266.81	3,698.09	-431.28
	14.69200	38.6665	12/29/11nc	12/08/15	562.62	568.10	-5.48
	0.41400	38.6665	12/29/11nc	12/08/15	15.85	16.00	-0.15
	13.75900	39.1817	06/28/12	12/08/15	526.88	539.12	-12.24
	14.90200	46.6711	12/27/12	12/08/15	570.65	695.49	-124.84
	14.12600	42.9245	07/05/13	12/08/15	540.93	606.35	-65.42
	12.49100	46.5189	12/30/13	12/08/15	478.32	581.09	-102.77
	1.18600	46.6117	01/03/14	12/08/15	45.41	55.26	-9.85
	10.39600	49.8128	07/02/14	12/08/15	398.10	517.87	-119.77
NUVEEN ENERGY MLP TOTAL	100.00000	15.2746	09/21/11nc	12/08/15	973.98	1,527.46	-553.48
		16.9730				1,697.30 ✓	
RETURN FD CUSIP 67074U103	300.00000	15.3014	09/21/11nc	12/08/15	2,921.95	4,590.44	-1,668.49
		17.0000				5,100.00	
	600.00000	15.2746	09/21/11nc	12/08/15	5,837.89	9,164.76	-3,326.87
		16.9730				10,183.80	
Total Long term					\$54,618.80 ✓	\$66,350.89	-\$11,732.09
						\$68,049.33 ✓	

nc Cost information for this tax lot is not covered by IRS reporting requirements Unless indicated, cost for all other lots will be reported to the IRS.