

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

2013

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 2013, or tax year beginning , 2013, and ending

ESSICK FOUNDATION, INC.
1379 LA SOLANA DRIVE
ALTADENA, CA 91001

A Employer identification number
95-6048985

B Telephone number (see the instructions)
626-794-7992

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16)
▶ \$ 3,107,594.

J Accounting method: Cash Accrual
 Other (specify) _____ (Part I, column (d) must be on cash basis)

C If exemption application is pending, check here

D 1 Foreign organizations, check here
2 Foreign organizations meeting the 85% test, check here and attach computation

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

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)
1	Contributions, gifts, grants, etc. received (att sch)				
2	Check <input checked="" type="checkbox"/> If the foundn is not req to att Sch B				
3	Interest on savings and temporary cash investments	45,637.	45,637.	45,637.	
4	Dividends and interest from securities	112,777.	112,777.	112,777.	
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain/(loss) from sale of assets not on line 10	672.			
b	Gross sales price for all assets on line 6a 926,393.		672.		
7	Capital gain net income (from Part IV, line 2)				
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/(loss) (att sch)				
11	Other income (attach schedule)				
12	Total. Add lines 1 through 11	159,086.	159,086.	158,414.	
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 sch) SEE ST 1	14,500.	4,834.		9,666.
c	Other prof fees (attach sch)				
17	Interest				
18	Taxes (attach schedule)(see instrs) SEE STM 2	1,517.			
19	Depreciation (attach sch) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (attach schedule) SEE STATEMENT 3	7,522.	2,506.		5,016.
24	Total operating and administrative expenses. Add lines 13 through 23	23,539.	7,340.		14,682.
25	Contributions, gifts, grants paid PART XV	141,000.			141,000.
26	Total expenses and disbursements. Add lines 24 and 25	164,539.	7,340.	0.	155,682.
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	-5,453.			
b	Net investment income (if negative, enter -0-)		151,746.		
c	Adjusted net income (if negative, enter -0-)			158,414.	

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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	
A S S E T S	1	Cash — non-interest-bearing	49,101.	24,130.	
	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 (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach sch) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges		1,243.	
	10a	Investments — U S and state government obligations (attach schedule)			
	b	Investments — corporate stock (attach schedule)			
	c	Investments — corporate bonds (attach schedule)			
	11	Investments — land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶				
12	Investments — mortgage loans				
13	Investments — other (attach schedule)	2,936,051.	2,953,175.	3,107,594.	
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)	2,985,152.	2,978,548.	3,107,594.	
L I A B I L I T I E S	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, & other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)	1,151.		
	23	Total liabilities (add lines 17 through 22)	1,151.	0.	
F U N D A S S E T A N C E S	<input type="checkbox"/> 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			
	<input checked="" type="checkbox"/> 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, building, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	2,984,001.	2,978,548.	
	30	Total net assets or fund balances (see instructions)	2,984,001.	2,978,548.	
	31	Total liabilities and net assets/fund balances (see instructions)	2,985,152.	2,978,548.	

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	2,984,001.
2	Enter amount from Part I, line 27a	2	-5,453.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	2,978,548.
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	2,978,548.

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 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a MERRILL LYNCH STOCK TRANSACTIONS	P	VARIOUS	VARIOUS
b MERRILL LYNCH STOCK TRANSACTIONS	P	VARIOUS	VARIOUS
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 921,143.		921,647.	-504.
b 5,250.		4,074.	1,176.
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Column (h) gain minus column (k), but not less than 0-) or Losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
a			-504.
b			1,176.
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	672.
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 (column (b) divided by column (c))	
2012	146,665.	3,038,515.	0.048269	
2011	150,102.	2,986,057.	0.050268	
2010	141,348.	2,893,143.	0.048856	
2009	117,494.	2,505,783.	0.046889	
2008	142,896.	2,878,854.	0.049636	

2 Total of line 1, column (d)	2	0.243918
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	0.048784
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	3,119,987.
5 Multiply line 4 by line 3	5	152,205.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,517.
7 Add lines 5 and 6	7	153,722.
8 Enter qualifying distributions from Part XII, line 4	8	155,682.

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)

1 a 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 instrs)		
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	1,517.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (b)		
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3 Add lines 1 and 2	3	1,517.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	1,517.
6 Credits/Payments		
a 2013 estimated tax pmts and 2012 overpayment credited to 2013	6 a	2,760.
b Exempt foreign organizations – tax withheld at source	6 b	
c Tax paid with application for extension of time to file (Form 8868)	6 c	
d Backup withholding erroneously withheld	6 d	
7 Total credits and payments. Add lines 6a through 6d	7	2,760.
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	0.
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	1,243.
11 Enter the amount of line 10 to be Credited to 2014 estimated tax	11	0.
		1,243. Refunded

Part VII-A Statements Regarding Activities

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? <i>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</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ▶ \$ 0. (2) On foundation managers ▶ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on Form 990-T for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		X
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) CA		
b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If 'No,' attach explanation</i>	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	13	X	
14	The books are in care of ▶ <u>ROBERT ESSICK</u> Telephone no ▶ <u>626-794-7992</u> Located at ▶ <u>1379 LA SOLANA DRIVE ALTADENA CA</u> ZIP + 4 ▶ <u>91001</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If 'Yes,' enter the name of the foreign country ▶	16		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
1 a	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 ▶ <input type="checkbox"/>	1 b	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 2013?	1 c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If 'Yes,' list the years ▶ 20 __, 20 __, 20 __, 20 __		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see instructions)	2 b	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 ▶ 20 __, 20 __, 20 __, 20 __		
3 a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If 'Yes,' did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013)	3 b	N/A
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4 b	X

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? Yes No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? Yes No

(3) Provide a grant to an individual for travel, study, or other similar purposes? Yes No

(4) Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (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)? Yes No

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? Yes No

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d) N/A

6 a 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? Yes No

If 'Yes' to 6b, file Form 8870 6b X

7 a 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? Yes No 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 (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
DR. JAMES STANGER 8045 ELLISON LOOP NW OLYMPIA, WA 98502	CFO 0	0.	0.	0.
ROBERT ESSICK 1379 LA SOLANA DR. ALTADENA, CA 91001	PRESIDENT/TR 2.00	0.	0.	0.
JENIJOY LA BELLE 1379 LA SOLANA DR. ALTADENA, CA 91001	SECRETARY/VP 0	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 Yes No 0

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

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

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

Total number of others receiving over \$50,000 for professional services ▶ 0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 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 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	1 a	3,122,266.
b Average of monthly cash balances	1 b	45,233.
c Fair market value of all other assets (see instructions)	1 c	
d Total (add lines 1a, b, and c)	1 d	3,167,499.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	3,167,499.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	47,512.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,119,987.
6 Minimum investment return. Enter 5% of line 5	6	155,999.

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	155,999.
2 a Tax on investment income for 2013 from Part VI, line 5	2 a	1,517.
b Income tax for 2013 (This does not include the tax from Part VI)	2 b	
c Add lines 2a and 2b	2 c	1,517.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	154,482.
4 Recoveries of amounts treated as qualifying distributions	4	
5 Add lines 3 and 4	5	154,482.
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	154,482.

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	1 a	155,682.
b Program-related investments – total from Part IX-B	1 b	
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)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	155,682.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	1,517.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	154,165.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				154,482.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years 20__, 20__, 20__		0.		
3 Excess distributions carryover, if any, to 2013				
a From 2008				
b From 2009				
c From 2010				
d From 2011	1,390.			
e From 2012				
f Total of lines 3a through e	1,390.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 155,682.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required – see instructions)		0.		
c Treated as distributions out of corpus (Election required – see instructions)	0.			
d Applied to 2013 distributable amount				154,482.
e Remaining amount distributed out of corpus	1,200.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	2,590.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount – see instructions.		0.		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount – see instructions.			0.	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	2,590.			
10 Analysis of line 9				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011	1,390.			
d Excess from 2012				
e Excess from 2013	1,200.			

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 2013, 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)

	Prior 3 years				(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
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					
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))
NONE

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 of the person to whom applications should be addressed

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient 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 UNIVERSITY OF ROCHESTER P O BOX 270032 ROCHESTER, NY 14627		501C3	GENERAL	9,000.
HUNTINGTON LIBRARY 1151 OXFORD RD SAN MARINO, CA 90263		501C3	GENERAL	61,362.
WILLIAM COLLEGE ALUMINI P O BOX 425 WILLIAMSTOWN, MA 01267		501C3	GENERAL	3,500.
UNIVERISTY OF NORTH CAROLINA 103 SOUTH BLDG, CB NO 9110 CHAPEL HILL, NC 27599		501C3	GENERAL	64,638.
THE DA CAMERA SOCIETY 10 CHESTER PLACE LOS ANGELES, CA 90007		501C3	GENERAL	2,500.
Total			3 a	141,000.
b Approved for future payment				
Total			3 b	

2013

FEDERAL STATEMENTS

PAGE 1

ESSICK FOUNDATION, INC.

95-6048985

STATEMENT 1
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEE	\$ 14,500.	\$ 4,834.		\$ 9,666.
TOTAL	<u>\$ 14,500.</u>	<u>\$ 4,834.</u>	<u>\$ 0.</u>	<u>\$ 9,666.</u>

STATEMENT 2
FORM 990-PF, PART I, LINE 18
TAXES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
	\$ 1,517.			
TOTAL	<u>\$ 1,517.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

STATEMENT 3
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT EXPENSE	\$ 6,248.	\$ 2,082.		\$ 4,166.
OFFICE EXPENSE	1,274.	424.		850.
TOTAL	<u>\$ 7,522.</u>	<u>\$ 2,506.</u>	<u>\$ 0.</u>	<u>\$ 5,016.</u>

(When required)

RECORDING REQUESTED BY AND MAIL TO:

DAILY COMMERCE

~ SINCE 1917 ~

915 E FIRST ST, LOS ANGELES, CA 90012
Mailing Address: P O Box 54026, Los Angeles, California 90054-0026
Telephone (213) 229-5300 / Fax (213) 229-5481

This space for filing stamp only

BEHRENS ACCOUNTANCY, INC
221 E WALNUT ST #122
PASADENA, CA - 91101

DC#: 2615216

**NOTICE OF AVAILABILITY
OF ANNUAL RETURN**

Pursuant to Section 6104(d) of the Internal Revenue Code, notice is hereby given that the annual return for the calendar year 2013 of Essick Foundation Inc, a private foundation, is available at the foundation's principal office for inspection during regular business hours from 9.00 a.m. to 5.00 p.m. by any citizen who requests it within 180 days after the date of this publication. The foundation's principal office is located at 1379 La Solana Dr, Atadena, CA 91001, 626-794-7992. The principal manager of the foundation is ROBERT ESSICK.
4/25/14

DC-2615216#

PROOF OF PUBLICATION

(2015.5 C.C.P.)

State of California)
County of Los Angeles) ss

Notice Type. AAR - AVAILABILITY-ANNUAL RETURN

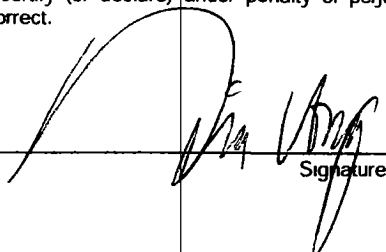
Ad Description:
ESSICK FOUNDATION

I am a citizen of the United States and a resident of the State of California; I am over the age of eighteen years, and not a party to or interested in the above entitled matter. I am the principal clerk of the printer and publisher of the DAILY COMMERCE, a newspaper published in the English language in the city of LOS ANGELES, county of LOS ANGELES, and adjudged a newspaper of general circulation as defined by the laws of the State of California by the Superior Court of the County of LOS ANGELES, State of California, under date 10/30/1981, Case No. 599760. That the notice, of which the annexed is a printed copy, has been published in each regular and entire issue of said newspaper and not in any supplement thereof on the following dates, to-wit:

04/25/2014

Executed on: 04/25/2014
At Los Angeles, California

I certify (or declare) under penalty of perjury that the foregoing is true and correct.


Signature



* A 0 0 0 0 0 3 4 0 6 7 0 9 *

THE ESSICK FOUNDATION, INC.								
INVESTMENT IN STOCKS - #4001								
			12/31/13					
Name	Shares	Purchase Date	ment	Sales	Purchase Cost	Grand-Total	Cost of Sales	
Corporate Bonds								
NM Merrill Lynch	20000	01/27/04			20,000 00			
Bank of Amer Crp	10000	05/08/09			9,854 71			
Principal Life Inc Fndg	10000	09/13/04			10,000 00			
Swiss Bank Corp NY Brn	25000	10/12/98			25,069 00			
Libor Floater ISS Bac	10000	06/07/12			10,000 00			
AllState Life Glob Fd Tr	10000	11/09/04			9,944 50			
CNA Financial	10000	02/18/99			9,855 00			
NM SLM Corp	10000	02/09/04			10,000 00			
NM SLM Corp	10000	11/18/03			9,630 00			
Aetna Inc	25000	03/31/99			24,725 00			
Consolidated Natural Gas	30000	10/30/98			29,700 00			
Pharmacia Corp	25000	11/10/98			25,298 59			
Occidental Petroleum	50000	01/28/99			49,505 00			
Georgia-Pacific Group	25000	10/09/98			25,096 59			
Borg-warner Auto	20000	03/30/99			20,003 71			
JP Morgan Chase & Co	10000	12/21/11			10,012 29			
US West Telecom Inc	50000	02/22/99			50,642 59			
Zion Bancorporation	5000	11/05/13			5,000 00			
Sub-Total	355000			0.00	0.00	354,336.98		0.00
Municipal Bonds								
California ST	10000	03/25/10			10,011 80			
Sub-Total						10,011.80		
Preferred Stocks								
Aegon N V	200	01/24/12			5,000 00			
Affiliated Managers Grou	200	10/03/12			5,000 00			
Affiliated Managers	200	08/01/12			5,000 00			
Allstate Corp	200	06/05/13			5,000 00			
American Financial	200	06/07/12			5,000 00			
American Financial Grou	200	09/22/10			5,000 00			
Annaly Cap Mgmt Inc	200	09/06/12			5,000 00			
Annaly Capital Mgmt	200	05/09/12			5,000 00			
Apollo Investment Corp	200	06/05/13			5,000 00			
Ares Capital Corp	200	09/20/12			5,000 00			
Argo Group US, Inc	200	09/18/12			5,000 00			
Armour Residential	200	05/31/12			5,000 00			
Barclays Bank Plc	200	11/30/07			5,000 00			
BB&T Corporation	200	07/24/12			5,000 00			
Campus Crest Communit	200	10/09/13			5,012 22			
Capital One Financial	200	08/13/12			5,000 00			
Citigroup Inc	200	09/12/13			5,000 00			
Citigroup Inc	200	10/31/13			5,000 00			
Citigroup Inc	200	03/20/13			5,000 00			
Commonwealth Reit	250	11/18/09			5,000 00			
Coresite Realty Corp	200	12/05/12		4,589 57				5,000 00
Corp Office Prop TR	200	06/20/12			5,000 00			
Cys Investments Inc	200	04/23/13			5,000 00			
DB Cont Cap Trust III	300	02/12/08			7,500 00			
Digital Realty Trust Inc	200	04/02/13			5,000 00			
Discover Financial SVS	200	10/09/12			5,000 00			
Dominion Resources	200	06/10/09			5,000 00			
Duke Energy Corp	300	01/09/13		4,002 38				5,000 00
Endurance Specialty Hld	200	05/24/11			5,000 00			
Entergy Arkansas Inc	200	12/06/12			5,000 00			

Everbank Fihancial	200	11/05/12			5,000 00	
Federal Agric Mtg Corp	200	01/14/13			5,000 00	
Financial Sec Assur Hlgs	300	11/06/02			7,500 00	
First Republic Bank	200	11/15/12			5,000 00	
First Republic Bank	200	04/16/13			5,000 00	
First Republic Bank	200	05/24/12			5,000 00	
Firstmerit Corporation	200	01/28/13			5,000 00	
General Elec Cap Corp	200	10/02/12			5,000 00	
General Elec Cap Corp	200	01/22/13			5,000 00	
General Growth Prop	200	02/06/13			5,000 00	
Goldman Sachs Gp	200	10/19/11			5,000 00	
Goldman Sach Group Inc	200	10/26/10			5,000 00	
Hanover Insurance Group	200	03/20/13			5,000 00	
Hatteras Fincl Corp	200	08/16/12			5,000 00	
Health Care Reit Inc	200	02/29/12			5,000 00	
Inland Real Estate Corp	200	09/29/11			5,000 00	
JP Morgan Chase & Co	200	01/29/13			5,000 00	
JP Morgan Chase Cap X	200	03/25/10			5,000 00	
Kayane Anderson MLP In	200	09/09/13			5,000 00	
Kilroy Realty Corp	200	03/16/12			5,000 00	
Kimco Realty	200	03/09/12			5,000 00	
Lasalle Hotel Properties	200	03/04/13			5,000 00	
M & T Bank Corp	5	08/17/12			5,004 15	
Maiden Holdings Ltd	200	08/22/12			5,000 00	
Maiden Holdings Ltd	200	11/25/12			5,000 00	
Merrill Lynch Cap Trust	300	07/15/13			7,547 35	
Merrill Lynch	1000	10/29/98			25,000 00	
Merrill Lynch	250	10/21/10			6,012 52	
Montpelier Re Holdings	200	05/03/11			5,000 00	
Morgan Stanley	300	04/10/03			7,500 00	
Morgan Stanley	200	12/10/13	5,000 00		5,000 00	
Natl Retail Pty Inc	200	02/15/12			5,000 00	
Nextera Energy	200	03/12/09			5,000 00	
Pebblebrook Hotel Trust	200	09/14/11			5,000 00	
PNC Financial Srv Group	200	09/14/12			5,000 00	
Ppl Capital Funding Inc	200	03/12/13			5,000 00	
Preferred Plus TR SRS	200	08/21/01			5,000 00	
Protective Life Corp	200	05/15/12			5,000 00	
Protective Life Corp	400	10/07/09			8,000 00	
Prudential Financial Inc	200	11/27/12			5,000 00	
PS Business Parks Inc	400	09/05/12			10,000 00	
Public Storage	300	04/06/10			7,500 00	
Qwest Corp	200	06/01/11			5,000 00	
Qwest Corp (Cit) \$25	200	09/14/11			5,000 00	
Qwest Corporation	200	06/14/12			5,000 00	
Regency Centers Corp	200	02/07/12			5,000 00	
Scana Corporation	300	11/17/09			7,500 00	
Selective Insurance Grp	200	02/05/13			5,000 00	
SL Green Realty Corp	200	08/10/12			5,000 00	
Stag Industrial Inc	200	04/09/13			5,000 00	
Stifel Financial Corp	300	01/18/12			7,500 00	
Stifel Financial Corp	200	12/18/12			5,000 00	
Sun Communities Inc	200	11/06/12			5,000 00	
Suntrust Banks Inc	200	12/13/12			5,000 00	
Telephone & Data System	200	11/16/10			5,000 00	
Teekay Offshore Partner	200	04/23/13			5,000 00	
Texas Capital Bancshare	200	03/21/13			5,000 00	
The Goldman Sachs Gr	200	10/17/12			5,000 00	
Torchmark Corp	200	09/17/12			5,000 00	
Tortoise Energy Infrs	500	12/03/12			5,000 00	
Vornado Realty Tr Ser J	70	02/12/13			1,959.85	
Vornado Realty Tr Ser J	230	02/19/13			6,255 85	
W R Berkley Corporation	200	04/26/13			5,000 00	
Wells Fargo & Co	200	03/15/13			5,000 00	
Zions Bancorporation	200	09/13/13			5,000 00	

Sub-Total	21105			8591.95	5,000.00		509,791.94	10,000.00
Equities								
AAPL Arn Issuer Bac	250	05/16/13				2,500 00		
American Cap Agy Corp	300	02/28/13				6,326 00		
Annaly Cap MGMT Inc	500	07/11/11				8,850 00		
Annaly Cap MGMT Inc	300	01/04/13				4,490 35		
Appolo Coml Real Est	500	10/03/12				8,490 00		
Ares Capital Corp	300	10/12/05				4,638 00		
Ares Multi-strategy	200	10/31/13				5,000 00		
Armour Residential Reit	1500	02/14/13				11,100 00		
Armour Residential Reit	500	02/20/13				3,430 35		
Bac Stepup CL RNG	1000	12/10/10				10,000 00		
Bank of America Corp	48	11/04/03				1,830 22		
Bank of America Corp	24	01/14/04				950 38		
Bank of America Corp	7	10/20/06				373 20		
Bank of America Corp	300	05/19/09				3,000 00		
Bank of America Corp	300	12/03/09				4,500 00		
Bib Steps Issuer HSBC	500	12/17/13			5,000 00	5,000 00		
Blackstone Group LP	200	09/19/13				5,031 28		
C Stars Issuer RBC	500	08/15/13				5,000 00		
Capital Product Prtnrs	1000	08/06/13				9,250 00		
Chevron Corp	100	12/14/04				5,456 00		
Cisco Systems	296	10/02/98				4,049 28		
Cisco Systems	4	10/02/98				54 73		
Cisco Systems	201	04/21/08				5,000 00		
Citigroup Inc Com New	132	08/08/07				4,517 46		
Clean Energy Fuels Corp	250	04/05/13				3,212 66		
Comcast Corp new cl	12							
Comcast Corp new cl	150	08/26/05				3,165 93		
Comcast Corp new	63	08/26/05				1,327 44		
Cvr Partners	500	05/22/13				12,575 00		
Davita Healthcare	50	12/18/13			3,209 85	3,209 85		
DAXK Stepup Issuer BAC	500	08/29/13				5,000 00		
DCP Midstream Partners	200	08/18/13				10,008 00		
Disney (Walt) Co Com	100	11/13/12				4,905 35		
Djia Stepup Issuer Bac	500	12/21/10		7032 39				5,000 00
EMC Corporation(exchan	200	11/24/03				3,062 38		0 00
Eli Lilly & Co	100	11/16/12		4,936 06				4,685 85
Empire St Rlty Tr Inc	500	10/07/13		7,144 52				6,500 00
Enbridge Energy MGMT L	509	09/10/13				14,500 00		
Energybkt Arn Issuer Bar	500	05/30/13				5,000 00		
Escrow GM corp	400							
F Stars Issuer Hsbc	500	09/26/13				5,000 00		
F Steps Issuer Barc	500	11/26/13		5,227 50				5,000 00
FCX Stars Issuer Bac	250	12/03/13			2,500 00	2,500 00		
Gdm Arn Issuer Barc	250	11/29/12				2,500 00		
Gdm Clirn Issuer Barc	500	08/29/13				5,000 00		
General Electric	200	08/25/05				6,871 55		
General Electric	100	12/18/12				2,234 85		
General Motors	274	11/18/10				10,000 00		
General Motors	2	06/28/01				243 96		
General Motors	19	11/05/07				1,717 54		
General Motors	100	01/04/11				3,865 27		
General Motors	50	02/23/11				1,770 35		
General Motors	50	02/24/11				1,730 35		
General Motors	1	07/28/11				28 46		
General Motors	2	07/28/11				56 92		
General Motors	1	10/28/11				26 27		
Hospitality Pptys Trust	500	11/07/13				14,000 00		
INTL Corp(exchange)	163	09/01/04				3,817 35		
INTL Corp(exchange)	164	02/23/05				4,852 00		
INTL Corp	100	06/07/10				2,105 28		
INTL Corp	173	09/06/13				4,053 23		
INTL Business Mach	50	01/22/99				4,636 42		

JPM Stars Issuer RBC	500	12/31/13			5,000 00	5,000 00		
Kite Rlty Grp Tr	400	11/06/13				2,464 00		
Lnkd Steps Issue HSBC	500	09/26/13				5,000 00		
McDonalds Corp	100	01/15/11				7,615 35		
Memorial Production Prtn	500	10/02/13				9,950 00		
Microsoft Corp	200	01/17/03				5,319 35		
Midcoast Energy Partners	600	11/13/13	10,905 46					10,800 00
Msci Eafe Arn Issuer Sek	479	02/21/13				4,790 00		
NGL Energy Partners LP	500	09/20/13				16,190 00		
Nikkei Stepup Issuer Bac	500	03/28/13				5,000 00		
Occidental Pete Corp	100	10/22/10				8,116 16		
Occidental Pete Corp	50	09/23/11				3,641 77		
OCH-Ziff Captl Mgmt Gr	250	10/03/13				3,030 76		
Pfizer Inc	7	01/31/00				189 06		
Pfizer Inc	133	04/04/02				3,971 95		
Pfizer Inc	60	08/27/12				1,493 55		
Plains All Amern Pipl Ip	234	03/06/12				9,284 76		
Plains All Amern Pipl Ip	4	05/16/12				161 70		
Plains All Amern Pipl Ip	2	08/15/12				81 83		
Plains All Amern Pipl Ip	4	08/15/12				173 20		
Plains All Amern Pipl Ip	1	10/01/12				44 86		
Plains All Amern Pipl Ip	3	11/15/12				1 54		
Plains All Amern Pipl Ip	2	02/14/13				139 55		
Plains All Amern Pipl Ip	3	05/16/13				144 12		
Plains All Amern Pipl Ip	2	08/15/13				148 71		
Plains All Amern Pipl Ip	3	11/15/13				153 55		
Procter & Gamble Co	100	07/12/05				5,557 37		
Prudential Financial	100	06/02/09				3,900 00		
R2000 Stepup Issuer Bac	500	01/24/13				5,000 00		
Safe Bulkers Inc	800	04/12/11						
Sealed Air Corp	250	05/09/12				4,542 85		
Sealed Air Corp	100	06/08/12				1,581 09		
Sealed Air Corp	100	08/01/12				1,664 61		
Sealed Air Corp	100	08/17/12				1,418 35		
Seaspan Corp	400	11/20/13				8,800 00		
Select Income Reit	500	06/27/13				14,125 00		
Sempra Energy(exchang	145	05/18/05				4,438 78		
Sirius XM Holdings Inc	500	12/02/13			1,925 35	1,925 35		
SP500 Arn Issuer Bac	972	11/29/12				9,720 00		
Spsiop Arn Issuer Bac	500	10/24/13				5,000 00		
SX5E Stepup Issuer HSB	500	07/25/13				5,000 00		
Targa Resources Partner	200	11/15/12				7,200 00		
Tesoro Logistics LP	400	11/22/13	20,474 29					20,420 00
Time Warner Inc	67	12/15/09				2,974 63		
Time Warner Cable	4	09/10/98				353 42		
Time Warner Cable	12	10/16/98				1,040 88		
Time Warner Cable	17	03/22/05				931 99		
Valero Energy Corp New	100	06/19/13				3,875 60		
Veolia Enviroment ADR	250	08/07/12				2,585 76		
Vodafone Group PLC	262	10/27/99				13,031 25		
Vodafone Group PLC	175	02/21/06				4,365 69		
Vodafone Group PLC	167	11/18/08				3,281 31		
Wells Fargo & Co New	100	11/13/12				3,325 35		
Weyerhaeuser Co	200	12/13/11				3,437 35		
Yamana Gold Inc	100	03/04/13				1,471 85		
Yamana Gold Inc	200	02/10/12				3,316 45		
Yamana Gold Inc	200	06/20/13				2,013 77		
Sub-Total	30603		0.00	55,720.22	17,635.20		479,798.13	52,405.85
Mutual Funds-Defined Asset Funds								
Advent Claymore	500	05/24/07				6,703 31		
Allianz NFJ Div	600	03/07/06				12,166 74		
Allianz NFJ Dividend	765	02/08/06				11,069 34		
Allianzgi Global Water	216	04/19/13	6 07			2,506 07		

ALPS Alerian MLP ETF	300	06/22/12				4,803 83		
American New World	112	02/16/07	130 24			5,895 53		
American Inc Fd of Amer	633	08/26/04				11,072 00		
American Cap INC BLD	341	11/14/03	171 12			17,116 34		
American Washington	542	02/02/04	587 91			16,622 16		
Apollo Tactical Income	250	02/25/13				5,000 00		
Ares Dynamic Credit	250	11/27/12				5,000 00		
Babson Cap Global	200	10/25/12				5,000 00		
Blackrock S and P	800	05/25/04				11,685 35		
Blackrock Sr High Inc	1461	11/15/04				8,358 85		
Blackrock Res&Commod	500	03/28/11				8,955 35		
Blackrock Multi-sector	250	02/25/13				5,000 00		
Blackrock Small Cap Gro	1031	10/26/99	1273 56			12,746 06		
Blackrock HL SC Opp	262	06/29/07	972 19			7,668 15		
Blackrock Basic	1228	05/23/01	4506 75			37,432 27		
Blackrock Eurofund CL B	2757	10/27/98	414 30			43,489 10		
Blackrock Global Value	2363	09/04/02	2443 31			35,580 72		
Blackstone GSO Strategi	200	09/25/12				4,000 00		
Calamos Conv & High Inc	1000	06/15/06				14,451 75		
Calamos Strat Tot Return	2000	03/25/04				23,077 89		
Clearbridge Amern Energ	250	06/25/13				5,000 00		
Clough Global Equity	300	04/27/05				6,000 00		
Clough Global Opp Fund	600	04/25/06				11,658 37		
Coehn & Steers Select	400	03/25/04				8,000 00		
Cohen & Steers Divid	550	01/26/05				10,430 00		
Cohen &Steer Closed	600	11/20/06				11,317 79		
Cohen & Steers Mlp Inco	250	03/25/13				5,000 00		
Cohen & Steers Ltd Duar	200	07/26/12				5,000 00		
Davis Opportunity	238	08/12/05	14 55			6,069 26		
Davis NY Venture	174	02/16/06	308 64			6,288 73		
Delaware Corporate Bond	1703	07/18/12	35 59			11,036 82		
Doubleline Income	300	04/25/13				7,500 00		
Dreyfus International	241	03/17/06	114 31			8,841 18		
Dreyfus Global Alpa	392	11/01/06				5,367 00		
Eaton Vance Ltd Dur	700	05/27/03				13,819 35		
Eaton Vance SHT	700	02/23/05				13,352 83		
Eaton Vance Floating	250	06/25/13				5,000 00		
Eaton Vance Gbl Macro	483	04/30/13				5,000 00		
Equinox Mutual hedge	531	09/05/13	9 77			5,009 77		
Fidelity Advisor	144	08/15/13	7 51			2,507 50		
Fidelity Advisor New	512	04/28/06	1637 91			9,884 15		
First TR Inter Duration	400	05/23/13				10,000 00		
Franklin Income FD CL A	10413	02/14/05	108 86			24,896 14		
Ft 3838 High Divid Eqty	456	02/01/13				5,009 30		
Ft 3838 High Divid Eqty				97 81				
Ft 3959 Income Allocatio	2992	02/01/13	166 85			29,632 31		
Ft 4074 MI Excess	249	03/14/13				2,502 85		
Ft 4074 MI Excess				5 55				
GDL	250	01/26/07				5,000 00		
Goldman Sachs Mlpinco	500	11/29/13				10,000 00		
Goldman Sachs Strategic	459	02/19/13				5,000 00		
Goldman Sachs Rising	288	02/19/13				4,999 99		
Guggenheim 1086 Tech	253	10/17/13	3 19			2,510 17		
Hartford Inflation Plus	2689	04/22/04	1057 75			29,612 06		
			27 58					
Hartford Capital	718	02/21/02	1295 40			22,679 82		
Hartford Balance Fund	524	10/03/02				6,675 86		
Hartford Mid Cap	1164	07/24/03	2159 17			24,598 75		
Invesco Convertible	228	02/16/11	127 38			5,125 70		
Invesco Equity & Income	2455	06/10/05	1512 86			21,418 08		
Invesco Comstock Fund	700	08/12/05	48 92			13,331 32		
Ishares Iboxx High Yiel	50	11/05/09				4,393 04		
Ishares Tr Ftse Nareit	500	10/15/12				7,174 15		
Ivy Asset Strategy	215	01/19/10	32 11			5,224 77		
Ivy High Income	250	05/28/13				5,000 00		

THE ESSICK FOUNDATION, INC.
INVESTMENT IN STOCKS - 4004
12/31/13

NAME OF STOCK	SHARES	DATE	Reinvest #NAME?	SALES PRICE	PURCHASE PRICE	COST
ALTRIA GROUP	64	04/30/02				810 00
ALTRIA GROUP	66	12/04/02				611 00
ALTRIA GROUP	23	05/27/08				515 17
AMERICAN TOWER CORP	20	04/15/09				617 20
AMERICAN TOWER CORP	17	03/15/11				848 75
APPLE INC	17	07/19/07				2,382 45
APPLE INC	9	02/07/08				1,093 48
AT&T INC	60	05/22/09				1,428 60
AVON PROD INC	24	08/05/09				768 71
AVON PROD INC	21	05/06/10				601 80
BAIDU INC SPON ADR	10	04/19/13				902 40
BALL CORP	38	05/29/09				747 93
CHESPEAKE ENERGY OKLA	50	05/02/12				850 00
CHEVRONTEXACO CORP	13	10/26/04				699 10
CHEVRONTEXACO CORP	56	04/30/02				2,429 29
CISCO	19	10/25/07				592 80
CISCO	68	02/07/08				1,564 05
CITIGROUP INC COM NEW	10	04/28/10				444 00
CITIGROUP INC	5	06/10/10				195 00
COCA COLA	90	04/30/02				5,005 80
DIAGEO PLC SPSD ADR NEW	13	08/07/09				803 79
DIAGEO PLC SPSD ADR NEW	13	03/16/11				926 89
DICKS SPORTING GOODS INC	30	05/19/10				826 45
DISNEY(WALT) CO COM	45	03/15/11				1,860 99
DISNEY(WALT) CO COM	10	08/10/11				314 55
EXPRESS SCRIPT HLDG CO	20	02/04/10				844 22
EXXON	19	02/23/01				789 89
EXXON	76	04/30/02				3,061 78
EXXON	20	12/17/02				714 54
FEDEX CORP	21	01/22/10				1,696 56
FORD MOTOR CO NEW	73	05/06/10				872 35
FORD MOTOR CO	31	07/18/12				293 78
GENERAL ELECTRIC	190	04/30/02				5,985 01
GENERAL ELECTRIC	2	01/10/03				51 80
GENERAL ELECTRIC	8	04/24/13				174 40
GOLDCORP INC	20	06/24/11				935 29
GOLDCORP INC	10	12/07/12				371 60
GOLDCORP INC	5	02/04/13				180 20
GOLDCORP INC	5	07/23/13				144 80
HESS CORP	10	05/03/11				800 60
HESS CORP	5	06/13/11				353 90
HESS CORP	5 00	07/18/12				224 35
HESS CORP	10 00	12/07/12				494 50
INTL BUSINESS MACHINES	15	10/23/09				1,804 20
JOHNSON AND JOHNSON	24	04/30/02				1,531 69
JOHNSON AND JOHNSON	31	12/04/02				1,766 10
JOHNSON AND JOHNSON	25	03/04/04				1,326 74
JP MORGAN CHASE	35	06/04/09				1,226 40
KANSAS CITY SOUTHERN	17	08/02/11				963 71
KELLOGG CO	16	06/28/10				843 52
KELLOGG CO	10	09/21/10				501 85
MC DONALDS CORP	25	01/05/11				1,865 00
MICROSOFT	142	04/30/02				3,709 04
NESTLE	62	05/01/02				1,487 50
NESTLE	33	12/17/02				673 27
NEWELL RUBBERMAID INC	51	10/15/12				1,017 34
NIKE INC	15	06/24/09				797 40
OCCIDENTAL PEETE CORP	20	07/01/10				1,531 40
OCCIDENTAL PEETE CORP	1	08/25/10				72 47
PG&E CORP	35	04/24/09				1,295 00
PROTER GAMBLE	54	08/03/01				1,902 97
PROTER GAMBLE	46	01/14/04				2,307 36

PULTE GROUP		50	08/05/10				426 00
TARGET CORP		65	04/30/02				2,834 00
QUALCOMM INC		18	09/12/11				899 10
QUALCOMM INC		2	04/23/13				127 55
TEVA PHARMACTICAL	INDS	25	04/05/10				1,593 00
TEVA PHARMACTICAL	INDS	10	05/11/10				583 80
TEVA PHARMACTICAL	INDS	25	04/28/10				1,468 50
TEVA PHARMACTICAL	INDS	10	05/20/10				550 00
TEVA PHARMACTICAL	INDS	10	07/23/10				489 00
TEVA PHARMACTICAL	INDS	10	01/31/12				451 00
TEVA PHARMACTICAL	INDS	10	07/23/13				412 00
THERMO FISHER SCIENTIFIC		19	06/09/09				770 02
TRAVELERS COS INC		18	06/24/09				732 05
TWENTY FIRST CENTURY FOX		138	04/30/02				1,354 59
TWENTY FIRST CENTURY FOX		12	07/06/05				170 99
UNITED TECHS CORP		18	05/16/06				1,172 84
UNITED TECHS CORP		15	08/03/06				944 25
UNITED TECHS CORP		13	10/25/07				984 44
UNITEDHEALTH GROUP		25	09/03/10				842 38
UNITEDHEALTH GROUP		14	11/01/13		956 76		956 76
VERIZON COMMUNICATION		28	01/15/10				855 67
WASTE MANAGEMENT INC		25	05/19/09				708 75
WASTE MANAGEMENT INC		10	05/29/09				274 00
WENDYS ARBYS GROUP		100	11/05/09				428 91
WEYERHAEUSER CO		50	10/18/10				767 50
WEYERHAEUSER CO		33	09/21/10				509 52
WEYERHAEUSER CO		26	08/19/10				420 42
YAMANA GOLD INC		100	06/20/13				945 89
		2857			0.00	956.76	95,125.66
MUTUAL FUNDS							
CALAMOS STRAT TOT RETURN		300	03/26/12				2,984 97
COHEN & STEERS GLOBAL		28	07/27/09	12 69			929 41
FIDELITY ADVISOR		156	08/15/13				2,648 71
ISHARES GOLD TR		75	08/24/11				1,266 43
ISHARES SILVER		50	04/26/11				1,882 60
ISHARES US BASIC		30	09/10/09				1,608 85
MARKET VECTORS		50	02/24/09				1,726 50
NEUBERG & BERMN GENESIS		168	10/30/09	758 60			6,364 78
PRUDENTIAL SHORT TERM		454	05/01/12	27 23			5,277 55
SECTOR SPDR FINANCIAL		63	10/16/12				1,012 76
VIRTUS EMERGING MARKETS		238	02/01/13				2,500 00
VAN ECK GLOBAL		49	10/16/09	0 74			2,062 85
				799.26	0.00	0.00	30,265.41
CASH							
							76,806.83
TOTAL PORTFOLIO							
					0 00	956 76	202,197.90
THE ESSICK FOUNDATION, INC.							
GAIN ON SALE ON STOCKS - 4004							
			11/30/13				
			<u>PURCHASE</u>	<u>SOLD</u>	<u>SALES</u>		<u>GAIN/</u>
<u>NAME OF STOCK</u>	<u>SHARES</u>		<u>DATE</u>	<u>DATE</u>	<u>PRICE</u>	<u>COST</u>	<u>LOSS</u>
TWENTY FIRST CENTURY FOX	170		04/30/02		981 42	316 67	664 75
NEW NEWS CORP LLC	42		07/06/05		658 97	213 23	445 74
NEW NEWS CORP LLC	3		07/06/05		47 07	22 11	24 96
NEW NEWS CORP LLC					7 68		7 68
MICROSOFT	50		04/30/02	08/23/13	1713 98	1306 00	407 98

GAIN ON SALE OF SECURITIES						
					Cost of	
		Purchase	Sold	Sales	Sales	
January						
Oppenheimer Intl			01/03/13		74 69	-74 69
Equity Residential	100	11/28/12	1/10/13	5,644 52	5,475 00	169 52
Appolo Coml Real Est	500	10/03/12	1/22/13	8,554 46	8,490 00	64 46
Corenergy Infrastructure	1500	12/13/12	1/23/13	9,977 88	9,000 00	977 88
Copano Enrgy LLC	500	10/19/12	1/24/13	16,622 72	16,065 00	557 72
Memorial Prodtm Partners	300	12/07/12	1/24/13	5,497 39	5,100 00	397 39
Rogers Arn Issuer Sek	350	10/28/11	1/9/13	3,446 63	3,500 00	-53 37
				49,743.60	47,704.69	2,038.91
February						
Blackrock Fltg Rt Inc	1000	08/25/04	02/07/13	15,348 80	18,597 64	-3,248 84
Calumet Speciality	400	02/03/01	02/13/13	13,842 73	12,724 00	1,118 73
DCP Midstream Partners	400	03/02/12	02/20/13	17,991 64	18,968 00	-976 36
Caterpillar Inc Del	67	09/17/07	02/25/13	9,179 46	5,000 00	4,179 46
Caterpillar Inc Del	33	07/06/10	02/25/13		2,035 35	-2,035 35
CHK CBN Issuer HSBC	500	02/09/12	02/25/13	4,986 58	5,000 00	-13 42
EFA EEM Stars Issuer	449	08/16/12	02/25/13	4,797 56	4,490 00	307 56
Met CBN Issuer BAC	500	01/26/12	02/08/13	5,000 00	5,000 00	0 00
Ft 3189 Income allocatio	1318	11/01/11	02/05/13	13,880 91	12,887 67	993 24
				85,027.68	84,702.66	325.02
March						
Select Income Reit	200	12/05/12	03/01/13	5,321 23	4,800 00	521 23
Flaherty & Crumrine	300	04/26/10	03/06/13	5,984 31	4,755 35	1,228 96
Kayne Anderson MLP	200	04/05/11	03/06/13	6,984 44	6,116 00	868 44
Teekay Offshore Partners	0	03/08/13	03/08/13	17 62	0 00	17 62
Arch Capital Group Ltd	200	03/26/12	03/08/13	5,451 53	5,000 00	451 53
Teekay Offshore Partners	500	09/12/12	03/08/13	14,629 97	13,825 00	804 97
Teekay Offshore Partners	9	11/13/12	03/08/13	0 00	256 25	-256 25
Teekay Offshore Partners	9	02/19/13	03/08/13	0 00	261 14	-261 14
Dcp Midstream Partners	250	03/06/13	03/08/13	10,669 41	10,157 50	511 91
Suncoke Energy Partners	300	01/18/13	03/11/13	5,949 51	5,700 00	249 51
American Cap Agy Corp	200	02/28/13	03/14/13	9,751 27	9,489 00	262 27
Enbridge Energy Mgmt L	500	03/01/13	03/14/13	14,311 38	13,645 00	666 38
Targa Resources Partner	100	01/19/13	03/14/13	4,284 55	3,367 00	917 55
Pitney Bowes Inc	200	03/07/13	03/19/13	4,989 54	5,000 00	-10 46
Kosmos Energy Ltd	400	02/15/13	03/20/13	4,439 55	4,400 00	39 55
Nuveen Mortgage Oprtnit	200	11/24/09	03/25/13	5,876 52	5,000 00	876 52
Tal Intl Group Inc	300	02/21/13	03/25/13	13,169 35	13,020 00	149 35
Kinder Morgan Energy	200	02/21/13	03/28/13	17,649 57	17,270 00	379 57
Bank of America Corp	20000	08/26/10	03/07/13	20,000 00	20,000 00	0 00
NM Ford Motor	10000	11/19/98	03/11/13	10,000 00	10,000 00	0 00
EEM Stars Issuer Barc	500	02/23/12	03/11/13	5,000 00	5,000 00	0 00
Preferred Plus TR	200	10/01/02	03/14/13	5,000 00	4,541 54	458 46
Preferred Plus TR SRS	400	08/16/01	03/14/13	10,000 00	10,000 00	0 00
Preferred Plus TR SRS	200	12/20/01	03/14/13	5,000 00	4,496 00	504 00
Partner Re Ltd	200	05/01/03	03/18/13	5,000 00	5,000 00	0 00
R2000 Bear Arn Iss Barc	500	09/06/12	03/22/13	4,343 93	5,000 00	-656 07
SLM Corp	20000	06/21/04	03/27/13	19,800 00	20,000 00	-200 00
				213,623.68	206,099.78	7,523.90
April						
Enbridge Energy Partner	500	09/06/12	04/01/13	14,705 14	14,320 00	385 14
Targa Resources Partner	100	01/19/11	04/02/13	4,442 55	3,367 00	1,075 55
Vanguard Nat Res LLC	500	01/31/13	04/04/13	14,150 53	13,925 00	225 53
Regency Energy Partners	500	03/20/12	41365 00	12,535 41	12,235 00	300 41
Targa Resources Partner	100	11/15/13	04/08/13	4,411 23	3,600 00	811 23
Hospitality Pptys Trust	250	03/19/13	04/09/13	6,734 50	6,387 50	347 00
Aviv Reit Inc Md	100	03/20/13	04/16/13	2,416 99	2,000 00	416 99
Realty Incm Crp Md Pv\$1	200	03/05/13	04/25/13	9,604 77	9,180 00	424 77

Citigroup Capital VIII	500	09/06/01	04/16/13	12,500 00	12,500 00	0 00		
				81,501.12	77,514.50	3,986.62		
May								
Realty Incm Crp Md Pv\$	200	03/05/13	05/02/13	9,885 43	9,180 00	705 43		
Pitney Bowes Inc	200	11/19/12	05/07/13	5,074 53	5,000 00	74 53		
Aviv Reit Inc Md	100	03/20/13	05/13/13	2,774 91	2,000 00	774 91		
Hospitality Pptys Trust	250	03/19/13	05/14/13	7,415 73	6,387 50	1,028 23		
Govt Pptys Income Tr	500	03/11/13	05/15/13	13,019 36	12,600 00	419 36		
General Motors	17	06/28/01	05/21/13	538 40	2,073 69	-1,535 29		
General Motors	94	11/02/98	05/12/13	2,977 00	11,660 00	-8,683 00		
Pioneer Floating Rate	400	12/22/04	05/24/13	5,589 65	8,000 00	-2,410 35		
Ellington Financial LLC	500	05/14/13	05/31/13	12,669 43	12,750 00	-80 57		
Holly Energy Partners	253	03/19/13	05/31/13	5,517 30	5,997 60	-480 30		
Bank of America(exchang	400	04/22/08	05/28/13	10,000 00	10,000 00	0 00		
Bank of America Corp	300	05/20/08	05/01/13	7,500 00	7,500 00	0 00		
Kayne Anderson MLP	200	12/30/05	05/13/13	5,025 00	5,000 00	25 00		
Energy Arn Issuer HSBC	500	03/29/12	05/31/13	5,952 50	5,000 00	952 50		
Xcel Energy	200	01/11/08	05/31/13	5,000 00	5,000 00	0 00		
				98,939.24	108,148.79	-9,209.55		
June								
Williams Partners L P	300	03/05/13	06/13/13	14,951 42	14,742 00	209 42		
TC Pipelines LP	200	05/16/13	06/19/13	8,769 50	8,770 00	-0 50		
Holly Energy Partners	253	03/19/13	06/19/13	9,571 73	10,322 40	-750 67		
Macquarie Infrastructure	100	05/03/13	06/25/13	5,095 06	5,850 00	-754 94		
THL Credit Inc	500	06/24/13	06/27/13	7,244 52	7,310 00	-65 48		
American Intl Group	200	05/29/07	06/17/13	5,000 00	5,000 00	0 00		
Prudential Financial	200	06/24/08	06/17/13	5,000 00	5,000 00	0 00		
Ge Stars Issuer Barc	500	12/20/12	06/28/13	5,000 00	5,000 00	0 00		
				60,632.23	61,994.40	-1,362.17		
July								
Senior Housing PPTY	200	07/17/12	07/03/13	4,644 57	5,000 00	-355 43		
AAPLStars Issuer BAC	500	06/20/12	07/02/13	3,942 04	5,000 00	-1,057 96		
GT Steps Issuer BAC	500	06/28/12	07/08/13	5,325 50	5,000 00	325 50		
Hannon Armstrong	500	04/17/13	07/05/13	6,136 64	6,250 00	-113 36		
Thermo Fisher Scientific	100	06/07/13	07/12/13	8,629 51	8,550 00	79 51		
Exterran Partners	200	03/01/11	07/02/13	5,844 55	5,730 00	114 55		
Calumet Speciality	300	03/26/13	07/26/13	9,799 16	11,250 00	-1,450 84		
Silver Clirn Issuer Bac	250	06/23/11	07/02/13	1,747 53	2,500 00	-752 47		
				46,069.50	49,280.00	-3,210.50		
August								
Bank of America	200	11/14/07	08/01/13	5,000 00	5,000 00	0 00		
Ashford Hospitality TR	500	06/20/13	08/16/13	6,069 54	6,000 00	69 54		
C Stars Issuer Bac	500	02/07/13	08/13/13	5,365 25	5,000 00	365 25		
GE Stars Issuer Barc	500	08/28/13	08/28/13	5,413 00	5,000 00	413 00		
Microsoft Corp	100	11/05/98	08/28/13	6,746 83	2,706 07	4,040 76		
Microsoft Corp	60	03/02/99			2,267 90	-2,267 90		
Microsoft Corp	40	04/30/99			1,641 42	-1,641 42		
Powershares Build Ameri	400	11/17/09	08/21/13	10,499 67	10,139 96	359 71		
Western Asst Gbl Corp	350	11/23/09	08/20/43	6,046 05	7,000 00	-953 95		
				4 93		4 93		
				45,145.27	44,755.35	389.92		
September								
NM General Mtrs Accpt E	10000	09/06/01	09/06/01	10,000 00	10,000 00	0 00		
JP Morgan Chase & Co	200	08/14/08	09/13/13	5,000 00	5,000 00	0 00		
F Stars Issuer Hsbc	500	03/07/13	09/27/13	5,443 75	5,000 00	443 75		
Oaktree Cap Group LLC	200	05/22/13	09/13/13	10,594 46	10,700 00	-105 54		
Safe Bulkers Inc	800	04/12/11	09/09/13	5,894 55	6,720 00	-825 45		
Summit Hotel PPTYS Inc	1000	09/18/13	09/24/13	9,315 35	9,200 00	115 35		
World PT Terms Lp	500	08/08/13	08/02/13	10,044 47	10,000 00	44 47		
				56,292.58	56,620.00	-327.42		
Ocotber								
CD Bank of America	15000	09/19/05	10/14/13	15,000 00	15,000 00			
Dal Steps Issuer RBC	500	09/27/12	10/11/13	5,095 50	5,000 00	95 50		
Fcx Stars Issuer Barc	500	10/11/12	10/15/13	4,730 65	5,000 00	-269 35		
Western Asset High Yield	250	10/26/10	10/04/13	4,397 57	5,000 00	-602 43		

GAIN ON SALE OF SECURITIES						
					Cost of	
		Purchase	Sold	Sales	Sales	
January						
Oppenheimer Intl			01/03/13		74 69	-74 69
Equity Residential	100	11/28/12	1/10/13	5,644 52	5,475 00	169 52
Appolo Coml Real Est	500	10/03/12	1/22/13	8,554 46	8,490 00	64 46
Coreenergy Infrastructure	1500	12/13/12	1/23/13	9,977 88	9,000 00	977 88
Copano Enrgy LLC	500	10/19/12	1/24/13	16,622 72	16,065 00	557 72
Memorial Prodtm Partners	300	12/07/12	1/24/13	5,497 39	5,100 00	397 39
Rogers Arn Issuer Sek	350	10/28/11	1/9/13	3,446 63	3,500 00	-53 37
				49,743.60	47,704.69	2,038.91
February						
Blackrock Fltg Rt Inc	1000	08/25/04	02/07/13	15,348 80	18,597 64	-3,248 84
Calumet Speciality	400	02/03/01	02/13/13	13,842 73	12,724 00	1,118 73
DCP Midstream Partners	400	03/02/12	02/20/13	17,991 64	18,968 00	-976 36
Caterpillar Inc Del	67	09/17/07	02/25/13	9,179 46	5,000 00	4,179 46
Caterpillar Inc Del	33	07/06/10	02/25/13		2,035 35	-2,035 35
CHK CBN Issuer HSBC	500	02/09/12	02/25/13	4,986 58	5,000 00	-13 42
EFA EEM Stars Issuer	449	08/16/12	02/25/13	4797 56	4,490 00	307 56
Met CBN Issuer BAC	500	01/26/12	02/08/13	5,000 00	5,000 00	0 00
Ft 3189 Income allocatio	1318	11/01/11	02/05/13	13,880 91	12,887 67	993 24
				85,027.68	84,702.66	325.02
March						
Select Income Reit	200	12/05/12	03/01/13	5,321 23	4,800 00	521 23
Flaherty & Crumrine	300	04/26/10	03/06/13	5,984 31	4,755 35	1,228 96
Kayne Anderson MLP	200	04/05/11	03/06/13	6,984 44	6,116 00	868 44
Teekay Offshore Partners	0	03/08/13	03/08/13	17 62	0 00	17 62
Arch Capital Group Ltd	200	03/26/12	03/08/13	5,451 53	5,000 00	451 53
Teekay Offshore Partners	500	09/12/12	03/08/13	14,629 97	13,825 00	804 97
Teekay Offshore Partners	9	11/13/12	03/08/13	0 00	256 25	-256 25
Teekay Offshore Partners	9	02/19/13	03/08/13	0 00	261 14	-261 14
Dcp Midstream Partners	250	03/06/13	03/08/13	10,669 41	10,157 50	511 91
Suncoke Energy Partners	300	01/18/13	03/11/13	5,949 51	5,700 00	249 51
American Cap Agy Corp	200	02/28/13	03/14/13	9,751 27	9,489 00	262 27
Enbridge Energy Mgmt L	500	03/01/13	03/14/13	14,311 38	13,645 00	666 38
Targa Resources Partner	100	01/19/13	03/14/13	4,284 55	3,367 00	917 55
Pitney Bowes Inc	200	03/07/13	03/19/13	4,989 54	5,000 00	-10 46
Kosmos Energy Ltd	400	02/15/13	03/20/13	4,439 55	4,400 00	39 55
Nuveen Mortgage Oprtnit	200	11/24/09	03/25/13	5,876 52	5,000 00	876 52
Tal Intl Group Inc	300	02/21/13	03/25/13	13,169 35	13,020 00	149 35
Kinder Morgan Energy	200	02/21/13	03/28/13	17,649 57	17,270 00	379 57
Bank of America Corp	20000	08/26/10	03/07/13	20,000 00	20,000 00	0 00
NM Ford Motor	10000	11/19/98	03/11/13	10,000 00	10,000 00	0 00
EEM Stars Issuer Barc	500	02/23/12	03/11/13	5,000 00	5,000 00	0 00
Preferred Plus TR	200	10/01/02	03/14/13	5,000 00	4,541 54	458 46
Preferred Plus TR SRS	400	08/16/01	03/14/13	10,000 00	10,000 00	0 00
Preferred Plus TR SRS	200	12/20/01	03/14/13	5,000 00	4,496 00	504 00
Partner Re Ltd	200	05/01/03	03/18/13	5,000 00	5,000 00	0 00
R2000 Bear Arn Iss Barc	500	09/06/12	03/22/13	4,343 93	5,000 00	-656 07
SLM Corp	20000	06/21/04	03/27/13	19,800 00	20,000 00	-200 00
				213,623.68	206,099.78	7,523.90
April						
Enbridge Energy Partner	500	09/06/12	04/01/13	14,705 14	14,320 00	385 14
Targa Resources Partner	100	01/19/11	04/02/13	4,442 55	3,367 00	1,075 55
Vanguard Nat Res LLC	500	01/31/13	04/04/13	14,150 53	13,925 00	225 53
Regency Energy Partners	500	03/20/12	41365 00	12,535 41	12,235 00	300 41
Targa Resources Partner	100	11/15/13	04/08/13	4,411 23	3,600 00	811 23
Hospitality Pptys Trust	250	03/19/13	04/09/13	6,734 50	6,387 50	347 00
Aviv Reit Inc Md	100	03/20/13	04/16/13	2,416 99	2,000 00	416 99
Realty Incm Crp Md Pv\$1	200	03/05/13	04/25/13	9,604 77	9,180 00	424 77

Citigroup Capital VIII	500	09/06/01	04/16/13	12,500 00	12,500 00	0 00		
				81,501.12	77,514.50	3,986.62		
May								
Realty Incm Crp Md Pv\$	200	03/05/13	05/02/13	9,885 43	9,180 00	705 43		
Pitney Bowes Inc	200	11/19/12	05/07/13	5,074 53	5,000 00	74 53		
Aviv Reit Inc Md	100	03/20/13	05/13/13	2,774 91	2,000 00	774 91		
Hospitality Pptys Trust	250	03/19/13	05/14/13	7,415 73	6,387 50	1,028 23		
Govt Pptys Income Tr	500	03/11/13	05/15/13	13,019 36	12,600 00	419 36		
General Motors	17	06/28/01	05/21/13	538 40	2,073 69	-1,535 29		
General Motors	94	11/02/98	05/12/13	2,977 00	11,660 00	-8,683 00		
Pioneer Floating Rate	400	12/22/04	05/24/13	5,589 65	8,000 00	-2,410 35		
Ellington Financial LLC	500	05/14/13	05/31/13	12,669 43	12,750 00	-80 57		
Holly Energy Partners	253	03/19/13	05/31/13	5,517 30	5,997 60	-480 30		
Bank of America(exchang	400	04/22/08	05/28/13	10,000 00	10,000 00	0 00		
Bank of America Corp	300	05/20/08	05/01/13	7,500 00	7,500 00	0 00		
Kayne Anderson MLP	200	12/30/05	05/13/13	5,025 00	5,000 00	25 00		
Energy Arn Issuer HSBC	500	03/29/12	05/31/13	5,952 50	5,000 00	952 50		
Xcel Energy	200	01/11/08	05/31/13	5,000 00	5,000 00	0 00		
				98,939.24	108,148.79	-9,209.55		
June								
Williams Partners L P	300	03/05/13	06/13/13	14,951 42	14,742 00	209 42		
TC Pipelines LP	200	05/16/13	06/19/13	8,769 50	8,770 00	-0 50		
Holly Energy Partners	253	03/19/13	06/19/13	9,571 73	10,322 40	-750 67		
Macquarie Infrastructure	100	05/03/13	06/25/13	5,095 06	5,850 00	-754 94		
THL Credit Inc	500	06/24/13	06/27/13	7,244 52	7,310 00	-65 48		
American Intl Group	200	05/29/07	06/17/13	5,000 00	5,000 00	0 00		
Prudential Financial	200	06/24/08	06/17/13	5,000 00	5,000 00	0 00		
Ge Stars Issuer Barc	500	12/20/12	06/28/13	5,000 00	5,000 00	0 00		
				60,632.23	61,994.40	-1,362.17		
July								
Senior Housing PPTY	200	07/17/12	07/03/13	4,644 57	5,000 00	-355 43		
AAPLStars Issuer BAC	500	06/20/12	07/02/13	3,942 04	5,000 00	-1,057 96		
GT Steps Issuer BAC	500	06/28/12	07/08/13	5,325 50	5,000 00	325 50		
Hannon Armstrong	500	04/17/13	07/05/13	6,136 64	6,250 00	-113 36		
Thermo Fisher Scientific	100	06/07/13	07/12/13	8,629 51	8,550 00	79 51		
Exterran Partners	200	03/01/11	07/02/13	5,844 55	5,730 00	114 55		
Calumet Speciality	300	03/26/13	07/26/13	9,799 16	11,250 00	-1,450 84		
Silver Clrm Issuer Bac	250	06/23/11	07/02/13	1,747 53	2,500 00	-752 47		
				46,069.50	49,280.00	-3,210.50		
August								
Bank of America	200	11/14/07	08/01/13	5,000 00	5,000 00	0 00		
Ashford Hospitality TR	500	06/20/13	08/16/13	6,069 54	6,000 00	69 54		
C Stars Issuer Bac	500	02/07/13	08/13/13	5,365 25	5,000 00	365 25		
GE Stars Issuer Barc	500	08/28/13	08/28/13	5,413 00	5,000 00	413 00		
Microsoft Corp	100	11/05/98	08/28/13	6,746 83	2,706 07	4,040 76		
Microsoft Corp	60	03/02/99			2,267 90	-2,267 90		
Microsoft Corp	40	04/30/99			1,641 42	-1,641 42		
Powershares Build Ameri	400	11/17/09	08/21/13	10,499 67	10,139 96	359 71		
Western Asst Gbl Corp	350	11/23/09	08/20/43	6,046 05	7,000 00	-953 95		
				4 93		4 93		
				45,145.27	44,755.35	389.92		
September								
NM General Mtrs Accpt B	10000	09/06/01	09/06/01	10,000 00	10,000 00	0 00		
JP Morgan Chase & Co	200	08/14/08	09/13/13	5,000 00	5,000 00	0 00		
F Stars Issuer Hsbc	500	03/07/13	09/27/13	5,443 75	5,000 00	443 75		
Oaktree Cap Group LLC	200	05/22/13	09/13/13	10,594 46	10,700 00	-105 54		
Safe Bulkers Inc	800	04/12/11	09/09/13	5,894 55	6,720 00	-825 45		
Summit Hotel PPTYS Inc	1000	09/18/13	09/24/13	9,315 35	9,200 00	115 35		
World PT Terms Lp	500	08/08/13	08/02/13	10,044 47	10,000 00	44 47		
				56,292.58	56,620.00	-327.42		
Ocotber								
CD Bank of America	15000	09/19/05	10/14/13	15,000 00	15,000 00			
Dal Steps Issuer RBC	500	09/27/12	10/11/13	5,095 50	5,000 00	95 50		
Fcx Stars Issuer Barc	500	10/11/12	10/15/13	4,730 65	5,000 00	-269 35		
Western Asset High Yield	250	10/26/10	10/04/13	4,397 57	5,000 00	-602 43		

