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

**2009**

Department of the Treasury  
Internal Revenue Service

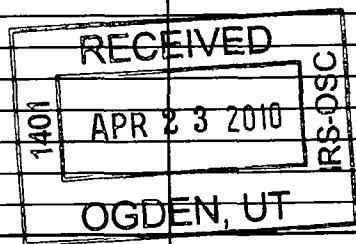
**Note** The foundation may be able to use a copy of this return to satisfy state reporting requirements.

For calendar year 2009, or tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_

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

Use the IRS label. Otherwise, print or type. See Specific Instructions.	Name of foundation <b>JOHN-CHRISTOPHE SCHLESINGER FOUNDATION</b>	<b>A</b> Employer identification number 13-3984550
	Number and street (or P O box number if mail is not delivered to street address) Room/suite <b>14 WEST LANE</b>	<b>B</b> Telephone number 212-661-7676
	City or town, state, and ZIP code <b>POUND RIDGE, NY 10576</b>	<b>C</b> If exemption application is pending, check here <input type="checkbox"/> <b>D</b> 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 65% test, check here and attach computation <input type="checkbox"/>
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation	<b>J</b> Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> <b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
<b>I</b> Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ <b>1,572,146.</b> (Part I, column (d) must be on cash basis)		

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))</small>	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>1</b> Contributions, gifts, grants, etc., received	1,000.		N/A	
<b>2</b> Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
<b>3</b> Interest on savings and temporary cash investments	334.	334.		STATEMENT 1
<b>4</b> Dividends and interest from securities	23,998.	23,998.		STATEMENT 2
<b>5a</b> Gross rents				
<b>b</b> Net rental income or (loss)				
<b>6a</b> Net gain or (loss) from sale of assets not on line 10	<113,947.>			
<b>b</b> Gross sales price for all assets on line 6a	392,989.			
<b>7</b> Capital gain net income (from Part IV, line 2)		0.		
<b>8</b> Net short-term capital gain				
<b>9</b> Income modifications				
<b>10a</b> Gross sales less returns and allowances				
<b>b</b> Less Cost of goods sold				
<b>c</b> Gross profit or (loss)				
<b>11</b> Other income				
<b>12</b> Total. Add lines 1 through 11	<88,615.>	24,332.		
<b>13</b> Compensation of officers, directors, trustees, etc	0.	0.		0.
<b>14</b> Other employee salaries and wages				
<b>15</b> Pension plans, employee benefits				
<b>16a</b> Legal fees				
<b>b</b> Accounting fees				
<b>c</b> Other professional fees <b>STMT 3</b>	16,783.	16,783.		0.
<b>17</b> Interest				
<b>18</b> Taxes <b>STMT 4</b>	564.	564.		0.
<b>19</b> Depreciation and depletion				
<b>20</b> Occupancy				
<b>21</b> Travel, conferences, and meetings				
<b>22</b> Printing and publications				
<b>23</b> Other expenses <b>STMT 5</b>	39.	36.		0.
<b>24</b> Total operating and administrative expenses. Add lines 13 through 23	17,386.	17,383.		0.
<b>25</b> Contributions, gifts, grants paid	112,228.			112,228.
<b>26</b> Total expenses and disbursements. Add lines 24 and 25	129,614.	17,383.		112,228.
<b>27</b> Subtract line 26 from line 12:				
<b>a</b> Excess of revenue over expenses and disbursements	<218,229.>			
<b>b</b> Net investment income (if negative, enter -0-)		6,949.		
<b>c</b> Adjusted net income (if negative, enter -0-)			N/A	



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**JOHN-CHRISTOPHE SCHLESINGER  
FOUNDATION**

Form 990-PF (2009)

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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			
	2 Savings and temporary cash investments	371,029.	28,499.	28,499.
	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 <span style="float:right">STMT 7</span>	1,080,529.	1,259,604.	1,542,647.
	c Investments - corporate bonds			
	11 Investments - land, buildings and equipment basis ▶			
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other <span style="float:right">STMT 8</span>	1,000.	1,000.	1,000.	
14 Land, buildings, and equipment: basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶ <u>DUE FROM BROKER</u> )	15,869.	0.	0.	
<b>16 Total assets (to be completed by all filers)</b>	<b>1,468,427.</b>	<b>1,289,103.</b>	<b>1,572,146.</b>	
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 ▶ _____)			
	<b>23 Total liabilities (add lines 17 through 22)</b>	<b>0.</b>	<b>0.</b>	
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	1,468,427.	1,289,103.		
<b>30 Total net assets or fund balances</b>	<b>1,468,427.</b>	<b>1,289,103.</b>		
<b>31 Total liabilities and net assets/fund balances</b>	<b>1,468,427.</b>	<b>1,289,103.</b>		

**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	1,468,427.
2 Enter amount from Part I, line 27a	2	<218,229.>
3 Other increases not included in line 2 (itemize) ▶ <u>SEE STATEMENT 6</u>	3	38,905.
4 Add lines 1, 2, and 3	4	1,289,103.
5 Decreases not included in line 2 (itemize) ▶ _____	5	0.
<b>6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30</b>	<b>6</b>	<b>1,289,103.</b>

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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 NEUBERGER BERMAN - SEE SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
b NEUBERGER BERMAN - SEE SCHEDULE ATTACHED		P	VARIOUS	VARIOUS
c SECURITIES LITIGATION		P	VARIOUS	VARIOUS
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 170,809.		176,342.	<5,533.>	
b 217,669.		330,594.	<112,925.>	
c 4,511.			4,511.	
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any		
a			<5,533.>	
b			<112,925.>	
c			4,511.	
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 <113,947.>
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 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))
2008	76,977.	2,054,000.	.037477
2007	58,919.	2,400,446.	.024545
2006	117,335.	2,213,435.	.053010
2005	31,941.	1,991,707.	.016037
2004	51,269.	1,730,432.	.029628
2 Total of line 1, column (d)			2 .160697
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 .032139
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5			4 1,359,505.
5 Multiply line 4 by line 3			5 43,693.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 69.
7 Add lines 5 and 6			7 43,762.
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.			8 112,228.

**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	69.
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	69.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-	5	69.
6	Credits/Payments:		
a	2009 estimated tax payments and 2008 overpayment credited to 2009	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 <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	9	69.
10	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	10	
11	Enter the amount of line 10 to be: <b>Credited to 2010 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input checked="" type="checkbox"/>	11	

**Part VII-A Statements Regarding Activities**

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

N/A

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

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12 Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	13	X	
14 The books are in care of ► <u>RICHARD SCHLESINGER</u> Telephone no. ► <u>212-661-7676</u> Located at ► <u>14 WEST LANE, POUND RIDGE, NY</u> ZIP+4 ► <u>10576</u>			
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ► 15 <u>N/A</u>			

**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
<b>1a</b> 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>b</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 page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/> N/A	1b		
<b>c</b> 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 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	1c		X
<b>2</b> 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)):			
<b>a</b> At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► _____, _____, _____			
<b>b</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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2b		
<b>c</b> If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____, _____, _____			
<b>3a</b> 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>b</b> If "Yes," did it have excess business holdings in 2009 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 2009) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	3b		
<b>4a</b> Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
<b>b</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 2009?	4b		X

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

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

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

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

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

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

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?  Yes  No

**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here  N/A

**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

**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?  Yes  No  
 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?  Yes  No

**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
RICHARD SCHLESINGER 14 WEST LANE POUND RIDGE, NY 10576	DIRECTOR 0.00	0.	0.	0.
SHEILA SCHLESINGER 14 WEST LANE POUND RIDGE, NY 10576	DIRECTOR 0.00	0.	0.	0.
A. LAUREN MONAHAN 82 JACOBS LANE NORWELL, MA 02061	DIRECTOR 0.00	0.	0.	0.
KATHERINE S. FATES 520 IPSWICH ROAD BOXFORD, MA 01921	DIRECTOR 0.00	0.	0.	0.

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

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

Total number of other employees paid over \$50,000 0

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

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

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

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

**Part IX-A Summary of Direct Charitable Activities**

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

1	Expenses
N/A	
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.

1	Amount
N/A	
2	
All other program-related investments. See instructions.	
3	
<b>Total.</b> Add lines 1 through 3 <span style="float: right;">▶</span>	<b>0.</b>

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes.		
a	Average monthly fair market value of securities	1a	1,184,939.
b	Average of monthly cash balances	1b	195,269.
c	Fair market value of all other assets	1c	
d	<b>Total</b> (add lines 1a, b, and c)	1d	1,380,208.
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	1,380,208.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	20,703.
5	<b>Net value of noncharitable-use assets</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,359,505.
6	<b>Minimum investment return</b> Enter 5% of line 5	6	67,975.

**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	67,975.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	69.
2b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	69.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	67,906.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	67,906.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	67,906.

**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	112,228.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	112,228.
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	69.
6	<b>Adjusted qualifying distributions</b> Subtract line 5 from line 4	6	112,159.

**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.

JOHN-CHRISTOPHE SCHLESINGER  
FOUNDATION

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

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				67,906.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			17,320.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004				
b From 2005				
c From 2006				
d From 2007				
e From 2008				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 112,228.				
a Applied to 2008, but not more than line 2a			17,320.	
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 2009 distributable amount				67,906.
e Remaining amount distributed out of corpus	27,002.			
5 Excess distributions carryover applied to 2009 (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	27,002.			
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 2008. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	27,002.			
10 Analysis of line 9:				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008				
e Excess from 2009	27,002.			

**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 2009, enter the date of the ruling

4942(j)(3) or  4942(j)(5)

**b** Check box to indicate whether the foundation is a private operating foundation described in section

**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			(e) Total
(a) 2009	(b) 2008	(c) 2007	(d) 2006	

**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 the 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).)

**RICHARD SCHLESINGER**

**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 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:







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


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SOURCE	AMOUNT
NEUBERGER BERMAN	334.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	334.

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


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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
NEUBERGER BERMAN	23,998.	0.	23,998.
TOTAL TO FM 990-PF, PART I, LN 4	23,998.	0.	23,998.

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**FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3**


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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEE	16,783.	16,783.		0.
TO FORM 990-PF, PG 1, LN 16C	16,783.	16,783.		0.

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**FORM 990-PF TAXES STATEMENT 4**


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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX	564.	564.		0.
TO FORM 990-PF, PG 1, LN 18	564.	564.		0.

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FORM 990-PF	OTHER EXPENSES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADR FEES	36.	36.		0.
MISCELLANEOUS	3.	0.		0.
TO FORM 990-PF, PG 1, LN 23	39.	36.		0.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT	6
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DESCRIPTION	AMOUNT
DIFFERENCE IN COST AND FMV ON STOCK DONATIONS	38,905.
TOTAL TO FORM 990-PF, PART III, LINE 3	38,905.

FORM 990-PF	CORPORATE STOCK	STATEMENT	7
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
EQUITIES - SEE ATTACHED SCHEDULE	1,259,604.	1,542,647.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,259,604.	1,542,647.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	8
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
COMMODITIES	COST	1,000.	1,000.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,000.	1,000.

# Client Statement

For the period 12/01/2009 to 12/31/2009

NEUBERGER BERMAN

JOHN-CHRISTOPHE SCHLESINGER  
FOUNDATION

Ridge Account : 541-25519 MHB  
Base Currency : USD  
NB Account Number : 550-72456



## EQUITIES

Quantity	Symbol	Description	Acquisition Date	Current Price	Current Value	Cost Basis	Gain/Loss
1,000	ABT	ABBOTT LABORATORIES	06/20/2009	43,542.20	53,980.00	53,980.00	0.00
1,400	ACN	ACCENTURE PLC IRELAND SHS CL A	05/20/2009	42,366.75	58,100.00	41,500.00	1,600.00
600		ANADARKO PETROLEUM CORP	02/06/2001	18,628.66	37,452.00		
900		ANADARKO PETROLEUM CORP	09/26/2003	19,803.42	56,178.00		
1,000		ANADARKO PETROLEUM CORP	10/06/2003	21,270.00	62,420.00		
2,500		POSITION TOTAL			156,950.00		
3,000	FLY	BABCOCK & BROWN AIR LIMITED SPONSRESADR	08/18/2008	37,926.00	28,970.00	8,950.00	-9,000.00
900		BANK OF AMER CORP	06/05/2009	11,086.93	13,554.00		
1,400		BANK OF AMER CORP	06/11/2008	17,841.46	21,084.00		



# Client Statement

For the period 12/01/2009 to 12/31/2009

JOHN-CHRISTOPHE SCHLESINGER  
FOUNDATION

NEUBERGER BERMAN

Ridge Account : 541-25519 MHB  
Base Currency : USD  
NB Account Number : 550-72456

## Positions in Your Account

Quantity	Description	Ticker/Cusip	Purchase Date	Average Unit Cost	Total Cost	Price	Mkt Value	% Portfolio	Annual Income	Yield
<b>EQUITIES (Continued)</b>										
2,300	POSITION TOTAL	BAC		12.5697	28,910.29	15.0600	34,638.00	2.20	92.00	0.27
300	BHP BILLITON LTD SPONSORED ADR	BHP	06/05/2009	60.9041	18,271.24	76.5900	22,974.00	1.46	492.00	2.14
1,800	COMCAST CORPORATION NEW SPL CLASS A	CMCSK	08/02/2002	12.3205	22,296.84	16.0100	28,818.00	1.83	680.40	2.36
3,200	CONSTELLATION BRANDS, INC. CL A	STZ	06/11/2009	13.4322	42,882.81	15.9300	50,976.00	3.24	0.00	0.00
1,200	DEVON ENERGY CORPORATION NEW	DVN	11/29/2007	81.0639	97,276.88	73.5000	88,200.00	5.61	768.00	0.87
523	EOG RES, INC.	EOG	07/17/2001	15.9907	8,389.29	97.3000	50,887.90	3.24	303.34	0.60
800	EQT CORPORATION	EQT	05/01/2009	34.7768	27,821.43	43.9200	35,136.00	2.24	704.00	2.00
1,000	INTERNATIONAL BUSINESS MACHINES CORP	IBM	03/04/2005	92.7432	102,127.52	130.9000	143,990.00	9.16	2,420.00	1.68
1,800	KROGER CO	KR	05/01/2009	21.7990	39,130.12	20.5300	36,954.00	2.35	684.00	1.85
500	MCDONALDS CORP	MCD	05/01/2009	52.3518	26,175.89	62.4400	31,220.00	1.99	1,100.00	3.52
1,000	OCCIDENTAL PETE CORP	OXY	08/19/2009	70.7165	77,788.16	81.3500	89,485.00	5.70	1,452.00	1.62
3,725	ORACLE CORP	ORCL	03/28/2006	13.6928	42,790.00	24.5300	76,656.25	4.88	625.00	0.82
1,200	PACKAGING CORP AMER	PKG	08/11/2009	16.8735	20,248.19	23.0100	27,612.00	1.76	720.00	2.61
700	PFIZER INC	PFE	12/10/2009	18.4209	12,894.63	18.1900	12,733.00	0.81	504.00	3.96
600	REINSURANCE GROUP OF AMERICA INCORPORATED		01/06/2009	42.0732	25,243.90		28,590.00			
800	REINSURANCE GROUP OF AMERICA INCORPORATED		05/20/2009	35.4453	28,356.26		38,120.00			
1,400	POSITION TOTAL	RGA		36.2858	58,600.16	47.6500	68,710.00	4.25	604.00	0.76
400	ROCKWELL AUTOMATION INC	ROK	02/09/2007	63.4048	25,361.82	46.9800	18,792.00	1.20	464.00	2.47

# Client Statement

For the period 12/01/2009 to 12/31/2009

JOHN CHRISTOPHE SCHLESINGER  
FOUNDATION

NEUBERGER BERMAN

Ridge Account : 541-25519-MHB  
Base Currency : USD  
NB Account Number : 550-72456

## Positions in Your Account

Quantity	Description	Ticker/Cusip	Purchase Date	Average Unit Cost	Total Cost	Price	Mkt Value	% Portfolio	Annual Income	Yield
				(1)/(0)(9)	(1)/(0)(9)				(0)	(%)
<b>EQUITIES (Continued)</b>										
2,500	TEMPLE-INLAND INC	TIN	12/03/2008	19.6873	49,218.25	21.1100	52,775.00	3.38	1,000.00	1.89
600	TORCHMARK CORP	TMK	05/20/2009	37.3483	22,879.42	43.9500	35,160.00	2.24	480.00	1.37
400	TRAVELERS COMPANIES INC THE		04/29/2008	42.0247	16,809.86		19,954.00			
600	TRAVELERS COMPANIES INC THE		05/07/2008	41.2825	24,769.56		28,916.00			
400	TRAVELERS COMPANIES INC THE		05/20/2009	39.4490	15,777.60		19,944.00			
200	TRAVELERS COMPANIES INC THE		08/03/2008	44.3378	8,867.53		9,072.00			
1,600	POSITION TOTAL	TRV		41.9903	98,224.49	49.8600	79,776.00	5.08	2,112.00	2.85
600	UNILEVER N V		10/13/2008	24.7331	14,839.83		19,396.00			
500	NEW YORK SHS NEW		10/15/2008	24.4578	12,228.91		16,165.00			
1,100	UNILEVER N V		10/30/2008	23.3576	25,693.56		35,563.00			
2,200	POSITION TOTAL	UN		23.9928	52,762.10	32.3300	71,126.00	4.53	2,032.80	2.86
1,900	UNUM GROUP		10/08/2003	15.8107	30,135.33		37,086.00			
1,200	UNUM GROUP		09/04/2005	17.3189	20,902.68		23,424.00			
1,100	UNUM GROUP		10/13/2005	19.2638	21,300.18		21,472.00			
4,200	POSITION TOTAL	UNM		17.1460	72,338.19	19.5200	81,984.00	5.22	1,386.00	1.89
1,700	WILLIS GROUP HOLDINGS LTD		10/20/2008	25.9026	44,034.42		44,846.00			
100	WILLIS GROUP HOLDINGS LTD		05/01/2009	26.3943	2,636.43		2,636.00			
1,600	POSITION TOTAL	WSH		25.8282	46,670.85	26.3800	47,482.00	3.02	1,350.00	2.84
5,000	XEROX CORP		05/01/2006	14.4482	72,241.00		42,300.00			
580	XEROX CORP		09/10/2006	14.7741	7,987.05		4,230.00			



Ridge Account : 541-25519 MHB  
 Base Currency : USD  
 NB Account Number : 550-72456

**Client Statement**  
 For the period 12/01/2009 to 12/31/2009

JOHN-CHRISTOPHE SCHLESINGER  
 FOUNDATION

**Positions in Your Account**

Quantity	Description	Ticker/Cusip	Purchase Date	Average Unit Cost (1)(4)(9)	Total (1)(4)(9) Cost	Price	Mkt Value	(12) % Portfolio	(8) Annual Income	(10) Yield
<b>EQUITIES (Continued)</b>										
2,000	XEROX CORP		12/13/2007	16.6249	33,248.80		16,920.00			
7,500	XEROX CORP	XRX		15.0504	112,877.85	8.4600	63,450.00	4.04	1,275.00	2.01
	<b>POSITION TOTAL</b>				<b>1,259,603.56</b>		<b>1,542,647.15</b>	<b>98.19</b>	<b>27,098.54</b>	<b>1.76</b>
	<b>TOTAL EQUITIES</b>									

FORM 990-PF

GRANTS AND CONTRIBUTIONS  
PAID DURING THE YEAR

STATEMENT 9

RECIPIENT NAME AND ADDRESS	RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT	RECIPIENT STATUS	AMOUNT
AMERICAN AVALANCHE INSTITUTE	N/A EDUCATIONAL	N/A	825.
CAMBODIAN CHILDREN'S EDUCATION FUND	N/A EDUCATIONAL	N/A	2,500.
CANAAN RIDGE SCHOOL	N/A EDUCATIONAL	N/A	1,000.
HUMAN OUTREACH PROGRAM	N/A EDUCATIONAL	N/A	10,000.
IPSA - INTERNATIONAL PARTNERS FOR STUDY ABROAD	N/A EDUCATIONAL	N/A	2,000.
LANCE ARMSTRONG FOUNDATION	N/A EDUCATIONAL	N/A	1,000.
JEWISH COMMUNAL FUND	N/A EDUCATIONAL	N/A	60,142.
NETCOM INFORMATION TECHNOLOGY	N/A EDUCATIONAL	N/A	2,500.

## JOHN-CHRISTOPHE SCHLESINGER FOUNDATION

13-3984550

NEW CANAAN COUNTRY SCHOOL	N/A EDUCATIONAL	N/A	16,000.
RISE, INC.	N/A EDUCATIONAL	N/A	2,500.
SALT LAKE COMMUNITY COLLEGE	N/A EDUCATIONAL	N/A	1,440.
SNOWBIRD RENAISSANCE CENTER	N/A EDUCATIONAL	N/A	1,121.
ST. PAUL'S SCHOOL	N/A EDUCATIONAL	N/A	7,000.
STANFORD UNIVERSITY	N/A EDUCATIONAL	N/A	1,000.
UNIVERSITY OF PHOENIX	N/A EDUCATIONAL	N/A	2,000.
UNIVERSITY OF UTAH	N/A EDUCATIONAL	N/A	1,200.

TOTAL TO FORM 990-PF, PART XV, LINE 3A

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112,228.

JOHN-CHRISTOPHE SCHLESINGER FOUNDATION  
 14 WEST LANE  
 POUND RIDGE NY 10576-1622

**Capital Gains**

**Capital Gains Summary From 01/01/2009 To 12/31/2009**

Description	Totals
Short Term Gain/Loss	-5,533.00
Long Term Gain/Loss	-112,924.64
Total Short Sale Gain/Loss	0.00
Discount Income	0.00
Total Capital Gains/Losses	-118,457.64
Adjusted Basis	506,935.74
Proceeds	388,478.10
Total Curr Gain/Loss	0.00

**EQUITIES**

Purchase Date	Close Date	No. of Shares	Orig Face	Symbol	Description	Unit Cost	Sale Price	Total Cost	Net Amount	Ind	ST Gain/Loss	LT Gain/Loss	Book Cost	Disc Inc	Curr Gain/Loss
02/01/2008	01/27/2009	700.00	0.00	PXD	PIONEER NATURAL RESOURCES CO	42.410	15.453	29,687.21	10,817.33	ST	-18,869.88	0.00	29,687.21	0.00	0.00
10/30/2008	02/20/2009	700.00	0.00	BA	BOEING CO	52.570	35.904	36,799.00	25,132.66	ST	-11,666.34	0.00	36,799.00	0.00	0.00
05/20/2009	06/11/2009	300.00	0.00	UNP	UNION PACIFIC CORP	49.141	53.344	14,742.42	16,002.92	ST	1,260.50	0.00	14,742.42	0.00	0.00
05/20/2009	07/16/2009	600.00	0.00	AET	AETNA U S HEALTHCARE INC	26.015	25.508	15,609.03	15,304.27	ST	-304.76	0.00	15,609.03	0.00	0.00
05/01/2009	08/12/2009	300.00	0.00	WSH	***WILLIS GROUP HOLDINGS LTD	26.364	26.042	7,909.27	7,812.51	ST	-96.76	0.00	7,909.27	0.00	0.00
01/06/2009	08/19/2009	400.00	0.00	RGA	REINSURANCE GROUP OF AMERICA INCORPORATE D	42.073	42.190	16,829.26	16,875.51	ST	46.25	0.00	16,829.26	0.00	0.00

05/20/2009	09/24/2009	100.00	0.00	AET	26 015	29 134	2,601.51	2,913.29	ST	311.78	0.00	2,601.51	0.00	0.00
					AETNA U S HEALTHCARE INC									
05/20/2009	12/10/2009	400.00	0.00	AET	26 015	30 920	10,406.02	12,367.72	ST	1,961.70	0.00	10,406.02	0.00	0.00
					AETNA U S HEALTHCARE INC									
06/11/2009	12/10/2009	500.00	0.00	PXD	29 357	39 740	14,678.30	19,869.49	ST	5,191.19	0.00	14,678.30	0.00	0.00
					PIONEER NATURAL RESOURCES CO									
05/01/2009	12/10/2009	1,100.00	0.00	PXD	24 618	39 740	27,079.55	43,712.87	ST	16,633.32	0.00	27,079.55	0.00	0.00
					PIONEER NATURAL RESOURCES CO									
ST - TERM		5,100.00					176,341.57	170,808.57	ST	-5,533.00	0.00	176,341.57	0.00	0.00
TOTAL		800.00	0.00	WFC	25 499	16 318	20,419.32	13,054.08	LT	0.00	-7,365.24	20,419.32	0.00	0.00
09/23/2003	01/20/2009	2,000.00	0.00	PXD	51 192	15 453	102,383.40	30,906.66	LT	0.00	-71,416.74	102,383.40	0.00	0.00
					WELLS FARGO & CO-NEW PIONEER NATURAL RESOURCES CO									
05/02/2007	01/27/2009	600.00	0.00	WFC	30 773	16 107	18,493.68	9,663.96	LT	0.00	-8,829.72	18,493.68	0.00	0.00
					WELLS FARGO & CO-NEW PIONEER NATURAL RESOURCES CO									
06/20/2005	01/27/2009	300.00	0.00	WFC	25 499	16 107	7,657.25	4,831.98	LT	0.00	-2,825.27	7,657.25	0.00	0.00
					WELLS FARGO & CO-NEW PIONEER NATURAL RESOURCES CO									
06/20/2005	02/03/2009	600.00	0.00	WFC	30 773	18 255	18,493.68	10,952.97	LT	0.00	-7,540.71	18,493.68	0.00	0.00
					WELLS FARGO & CO-NEW UNUM GROUP									
10/09/2003	02/20/2009	1,100.00	0.00	UNM	15 811	10,198	17,446.77	11,218.17	LT	0.00	-6,228.60	17,446.77	0.00	0.00
					UNUM GROUP ROCKWELL AUTOMATION INC									
02/09/2007	02/24/2009	600.00	0.00	ROK	63 405	21 096	38,042.88	12,657.44	LT	0.00	-25,385.44	38,042.88	0.00	0.00
					ROCKWELL AUTOMATION INC									
03/28/2006	03/02/2009	1,000.00	0.00	ORCL	13 693	15 425	13,692.80	15,424.60	LT	0.00	1,731.80	13,692.80	0.00	0.00
					ORACLE CORP DEVON ENERGY CORPORATIO									
11/28/2007	08/11/2009	200.00	0.00	DVN	81 064	65 720	16,212.78	13,143.72	LT	0.00	-3,069.06	16,212.78	0.00	0.00
					DEVON ENERGY CORPORATIO									
03/28/2006	06/23/2009	500.00	0.00	ORCL	13 693	19 946	6,846.40	9,972.80	LT	0.00	3,126.40	6,846.40	0.00	0.00
					ORACLE CORP N NEW									
05/22/2008	08/19/2009	1,800.00	0.00	NOK	28 940	12 353	52,092.31	22,234.40	LT	0.00	-29,857.91	52,092.31	0.00	0.00
					NOKIA CORPORATION N SPONSORED ADR REPSTG 1 SER A FM 5 PAR									
05/20/2003	08/19/2009	3,560.00	0.00	TLM	4 692	15 866	16,743.47	56,481.39	LT	0.00	39,737.92	16,743.47	0.00	0.00
					TALISMAN ENERGY INC									

05/20/2003	08/19/2009	440.00	0.00	TLM	0.00	15.866	4.692	15.866	2,069.42	6,980.85	LT	0.00	4,971.43	2,069.42	0.00	0.00
						***TALISMAN										
						ENERGY INC										
11/30/2006	08/19/2009	74.00	0.00	DYN	0.00	1.980	0.00	1.980	0.01	146.51	LT	0.00	146.50	0.01	0.00	0.00
						DEL CLA										
LT - TERM		13,574.00							330,594.17	217,669.53	LT	0.00	-112,974.64	330,594.17	0.00	0.00
TOTAL		18,674.00							506,935.74	388,478.10		-5,533.00	-112,974.64	506,935.74	0.00	0.00
SECTION																
TOTAL																

**Indicators**

- ST - Short Term
- LT - Long Term
- WO - Written Option
- SS - Short Sale
- P - Purchase includes option premium
- S - Sale includes option premium

\*\*\* This report is intended to be an internal worksheet and should not be relied upon for accuracy, unless it confirms with the official records of the firm.  
 \*\*\* Mortgage backed factors are updated on the 8th business day of the month.

Source: Neuberger Berman

This capital gain and loss summary is provided for information purposes only and does not conform to tax preparation standards; please refer to your account statement or other statement provided by your custodian for the official records of your account(s). It is provided for your personal record keeping purposes only. This review contains information supplied by third parties, including but not limited to the client. This report is based upon information that we consider reliable, but we do not represent that it is accurate or complete, and it should not be relied upon as such. It is accordingly not a substitute Form 1099 and should not be supplied to the Internal Revenue Service. This report should not be relied on in extending credit to the client or any individual or entity affiliated with the client.

PLEASE CONSULT YOUR TAX ADVISOR.

LT is the designation for a gain or loss on a security held for more than twelve (12) months

ST is the designation for a gain or loss on a security held for twelve (12) months.

The Internal Revenue Code (If Applicable):  
 SECTION 1091 - WASH SALES  
 SECTION 1092 - STRADDLES  
 SECTION 1259 - CONSTRUCTIVE SALES

Any adjustments to the result of Mutual Fund (& Closed-End Fund) Transactions required by Section 852(b) (4) are not reflected above

Closing Transactions due to taxable merger involving cash and stock may be reflected differently on the above Capital Gains/Losses Statement and on the Form 1099 you will or have received at the end of the year

Please note that the Cost Basis used to determine Gains or Losses as listed in this report for Master Limited Partnerships (MLP), Original Issue Discount (OID) and certain municipal bonds may have been adjusted for reallocated income, gains, losses or return of capital.

For securities not purchased through Neuberger Berman but purchased elsewhere and later transferred in, you will need to supply relevant information to your tax advisor. It is your responsibility to ensure the accuracy of this information since Neuberger Berman has no knowledge of such assets cost basis.

Exchange rates used to derive foreign exchange gains and losses may be provided from various outside sources and may not reflect realizable rates. Neuberger Berman does not warrant the accuracy of these sources and is not responsible for inaccuracies. Rates may also be subject to change without notice.

Certain companies, such as Real Estate Investment Trusts, commonly known as REITs pay distributions throughout the year and reallocate these distributions at year-end as all or some of the following: Return of Capital, Short Term Gain, Long Term Gain, and Regular Income. Due to this late reallocation, these entries may be posted to your account in the beginning of the following year resulting in an amended Capital Gains Report.

This material may contain multiple Neuberger Berman account information. Such aggregate information is provided for discussion purposes only and is not necessarily representative of any one of the individual accounts comprising this combined report. Clients should review each individual account statement for specific holdings and gains and losses.