Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2011

For calendar year 2011 or tax year beginning , and ending

Name of foundation: ROY R AND MARIE S NEUBERGER FOUNDATION INC.

A Employer identification number: 13-6066102

Number and street (or P O box number if mail is not delivered to street address): FOUNDATION SOURCE 55 WALLS DRIVE

Room/suite: 3RD FLOOR

B Telephone number (see instructions): (203) 319-3768

City or town, state, and ZIP code: FAIRFIELD CT 06824

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐

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

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 8,683,806

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

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

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

		Line	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ ☐ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments	0	0		
	4	Dividends and interest from securities	212,271	212,271		
	5 a	Gross rents		0		
	b	Net rental income or (loss) 0				
	6 a	Net gain or (loss) from sale of assets not on line 10	420,122			
	b	Gross sales price for all assets on line 6a 5,755,828				
	7	Capital gain net income (from Part IV, line 2)		420,122		
	8	Net short-term capital gain			0	
	9	Income modifications				
	10 a	Gross sales less returns and allowances 0				
	b	Less Cost of goods sold 0				
	c	Gross profit or (loss) (attach schedule)	0			
	11	Other income (attach schedule)	0	0	0	
	12	**Total.** Add lines 1 through 11	632,393	632,393	0	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc.	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16 a	Legal fees (attach schedule)	0	0	0	0
	b	Accounting fees (attach schedule)	11,000	0	0	11,000
	c	Other professional fees (attach schedule)	157,638	103,101	0	54,537
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	0	0	0	0
	19	Depreciation (attach schedule) and depletion	0	0	0	
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	750	0	0	750
	24	**Total operating and administrative expenses.** Add lines 13 through 23	169,388	103,101	0	66,287
	25	Contributions, gifts, grants paid	1,103,737			1,103,737
	26	**Total expenses and disbursements.** Add lines 24 and 25	1,273,125	103,101	0	1,170,024
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	-640,732			
	b	**Net investment income** (if negative, enter -0-)		529,292		
	c	**Adjusted net income** (if negative, enter -0-)			0	

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Part II Balance Sheets

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

			Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash—non-interest-bearing	174,142	4,114	4,114
	2	Savings and temporary cash investments	1,721,854	85,073	85,073
	3	Accounts receivable ▶ 0			
		Less: allowance for doubtful accounts ▶ 0	0	0	0
	4	Pledges receivable ▶ 0			
		Less: allowance for doubtful accounts ▶ 0	0	0	0
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)	0	0	0
	7	Other notes and loans receivable (attach schedule) ▶ 0			
		Less allowance for doubtful accounts ▶ 0	0	0	0
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10 a	Investments—U S and state government obligations (attach schedule)	300,572	180,149	182,285
	b	Investments—corporate stock (attach schedule)	6,607,410	4,429,450	6,237,667
	c	Investments—corporate bonds (attach schedule)	2,508,516	1,937,606	1,939,034
	11	Investments—land, buildings, and equipment basis ▶ 0			
		Less accumulated depreciation (attach schedule) ▶ 0	0	0	0
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	0	236,000	235,633
	14	Land, buildings, and equipment: basis ▶ 0			
		Less: accumulated depreciation (attach schedule) ▶ 0	0	0	0
	15	Other assets (describe ▶)	0	0	0
	16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	11,312,494	6,872,392	8,683,806
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons	0	0	
	21	Mortgages and other notes payable (attach schedule)	0	0	
	22	Other liabilities (describe ▶)	0	0	
	23	**Total liabilities** (add lines 17 through 22)	0	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	0	0	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	11,312,494	6,872,392	
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see instructions)	11,312,494	6,872,392	
	31	**Total liabilities and net assets/fund balances** (see instructions)	11,312,494	6,872,392	

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	11,312,494
2	Enter amount from Part I, line 27a	2	-640,732
3	Other increases not included in line 2 (itemize) ▶ 2011-990-PF EXCISE TAX REFUND	3	10,111
4	Add lines 1, 2, and 3	4	10,681,873
5	Decreases not included in line 2 (itemize) ▶ ENDOWMENT OF QUALIFYING ORG.-DVAYKUS FND. INC.	5	3,809,481
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	6,872,392

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	LISTED SECURITIES	P	1/1/2010	12/31/2011
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	5,755,828	0	5,335,706	420,122
b	0	0	0	0
c	0	0	0	0
d	0	0	0	0
e	0	0	0	0

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a	0	0	0	420,122
b	0	0	0	0
c	0	0	0	0
d	0	0	0	0
e	0	0	0	0

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	420,122
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8	3	0

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2010	965,961	13,208,549	0.073131
2009	919,035	12,201,965	0.075319
2008	971,874	15,007,364	0.064760
2007	825,387	18,323,521	0.045045
2006	792,493	17,286,826	0.045844

2 **Total** of line 1, column (d)	2	0.304099
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 060820
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	11,069,241
5 Multiply line 4 by line 3	5	673,231
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	5,293
7 Add lines 5 and 6	7	678,524
8 Enter qualifying distributions from Part XII, line 4	8	1,170,024

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 ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary—see instructions) b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		1	5,293
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	5,293
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	
5 **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-		5	5,293
6 Credits/Payments:			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a: 6,010		
b Exempt foreign organizations—tax withheld at source	6b:		
c Tax paid with application for extension of time to file (Form 8868)	6c: 0		
d Backup withholding erroneously withheld	6d:		
7 Total credits and payments. Add lines 6a through 6d		7	6,010
8 Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached		8	0
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	717
11 Enter the amount of line 10 to be: **Credited to 2012 estimated tax** ▶ 717 Refunded ▶		11	0

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?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		X
*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c Did the foundation file **Form 1120-POL** for this year?	1c		
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ▶ $ ______ (2) On foundation managers. ▶ $ ______			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ ______			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4 a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV.*	7	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10 Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

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

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

Website address ▶ N/A

14 The books are in care of ▶ FOUNDATION SOURCE-ATTN:ERICA PEREZ Telephone no. ▶ (203) 319-3768

Located at ▶ 55 WALLS DRIVE, 3RD FLOOR FAIRFIELD CT ZIP+4 ▶ 06824

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

			Yes	No
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b	N/A	
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? ☐ Yes ☒ 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.)	2b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____ , 20____ , 20____ , 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2011 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 2011.)*	3b	N/A	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011?	4b		X

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

			Yes	No
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)? (see instructions)	☐ Yes	☒ No		
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes	☒ No		
b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?			**5b**	N/A
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐				
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? *If "Yes," attach the statement required by Regulations section 53.4945–5(d).*	☐ Yes	☐ No		
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes	☒ No		
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? *If "Yes" to 6b, file Form 8870.*			**6b**	
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes	☒ No		
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?			**7b**	

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
JAMES A NEUBERGER 37 RIVERSIDE DRIVE NY NY 10023	PRESIDENT 2.00	0	0	0
JAMES KAUFMAN 405 LEXINGTON AVE NY NY 10174	SECRETARY .00	0	0	0
ANN ACEVES 733 CAMINO MIRADA SANTA FE NM 87505	VICE-PRES 2.00	0	0	0
	.00	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 ▶ 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		0
		0
		0
		0
		0
Total number of others receiving over $50,000 for professional services ▶		0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 CONTRIBUTIONS TO ORGANIZATIONS WHICH HAVE ESTABLISHED AN EXEMPT STATUS AND ARE DEDUCTIBLE UNDER SECTION 170 OF THE IRS CODE. NUMBER OF CONTRIBUTIONS PAID OUT 132.	0
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	
2	
All other program-related investments. See instructions 3	0
Total. Add lines 1 through 3 ▶	0

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	10,245,216
b	Average of monthly cash balances	1b	992,592
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	11,237,808
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	11,237,808
4	Cash deemed held for charitable activities. Enter 1 ½ % of line 3 (for greater amount, see instructions)	4	168,567
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	11,069,241
6	**Minimum investment return.** Enter 5% of line 5	6	553,462

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	553,462
2a	Tax on investment income for 2011 from Part VI, line 5	2a	5,293		
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b	0		
c	Add lines 2a and 2b			2c	5,293
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	548,169
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	548,169
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	548,169

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	1,170,024
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	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	1,170,024
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	5,293
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,164,731

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 2010	(c) 2010	(d) 2011
1	Distributable amount for 2011 from Part XI, line 7					548,169
2	Undistributed income, if any, as of the end of 2011:					
a	Enter amount for 2010 only				0	
b	Total for prior years: 20____, 20____, 20____			0		
3	Excess distributions carryover, if any, to 2011:					
a	From 2006	792,493				
b	From 2007	825,387				
c	From 2008	972,223				
d	From 2009	919,946				
e	From 2010	971,971				
f	Total of lines 3a through e		4,482,020			
4	Qualifying distributions for 2011 from Part XII, line 4: ▶ $ 1,170,024					
a	Applied to 2010, 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)					
d	Applied to 2011 distributable amount					
e	Remaining amount distributed out of corpus		1,170,024			
5	Excess distributions carryover applied to 2011. *(If an amount appears in column (d), the same amount must be shown in column (a).)*		548,169			548,169
6	**Enter the net total of each column as indicated below:**					
a	Corpus Add lines 3f, 4c, and 4e. Subtract line 5		5,103,875			
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					
d	Subtract line 6c from line 6b. Taxable amount—see instructions			0		
e	Undistributed income for 2010. Subtract line 4a from line 2a. Taxable amount—see instructions				0	
f	Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012					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)					
8	Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions)		244,324			
9	**Excess distributions carryover to 2012.** Subtract lines 7 and 8 from line 6a		4,859,551			
10	Analysis of line 9:					
a	Excess from 2007	825,387				
b	Excess from 2008	972,223				
c	Excess from 2009	919,946				
d	Excess from 2010	971,971				
e	Excess from 2011	1,170,024				

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 2011, enter the date of the ruling . . . . ▶

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

	Tax year (a) 2011	Prior 3 years (b) 2010	(c) 2009	(d) 2008	(e) Total
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	0	0	0	0	0
b 85% of line 2a	0	0	0	0	0
c Qualifying distributions from Part XII, line 4 for each year listed	0	0	0	0	0
d Amounts included in line 2c not used directly for active conduct of exempt activities					0
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c	0	0	0	0	0
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter:					
(1) Value of all assets					0
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					0
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed	0	0	0	0	0
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)					0
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					0
(3) Largest amount of support from an exempt organization					0
(4) Gross investment income					0

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).)

JAMES A NEUBERGER ANN N ACEVES

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.

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:

JAMES A NEUBERGER 37 RIVERSIDE DRIVE NY NY 10023 (212) 799-3879

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

LETTER STATING NEED AND VERIFICATION OF ORGANIZATION'S IRS EXEMPT STATUS

c Any submission deadlines:

ANNUAL

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

NO INDIVIDUAL GRANTS. FINE ARTS--HIGHER EDUCATION--CULTURAL PROGRAMS

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*				
PER SCHEDULE	NO INDIVIDUALS	TAX EXEMPT	ANNUAL SUPPORT	1,103,737
Total . . . . . . ▶ 3a				1,103,737
b *Approved for future payment*				
Total . . . . . . ▶ 3b				0

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions.)
1 Program service revenue:					
a		0		0	0
b		0		0	0
c		0		0	0
d		0		0	0
e		0		0	0
f		0		0	0
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	212,271	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	420,122	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a		0		0	0
b		0		0	0
c		0		0	0
d		0		0	0
e		0		0	0
12 Subtotal. Add columns (b), (d), and (e)		0		632,393	0

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 632,393

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

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

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

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

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

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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		
	0		

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

b If "Yes," complete the following schedule.

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

Sign Here

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

James C. Laberge 11/7/12 PRESIDENT

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☒ if self-employed	PTIN
Joseph Boyle	Joseph Boyle	11/6/2012		P01399504
Firm's name ▶ Joseph Boyle			Firm's EIN ▶	
Firm's address ▶ 103 Cedar Village Blvd, Ocean, NJ 07712			Phone no (732) 493-6132	

Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

	Amount
Long Term CG Distributions	
Short Term CG Distributions	

Totals:	Gross Sales	Cost, Other Basis and Expenses	Net Gain or Loss
Securities	5,755,828	5,335,706	420,122
Other sales	0	0	0

Index	Check "X" if Sale of Security	Description	CUSIP #	Purchaser	Check "X" if Purchaser is a Business	Date Acquired	Acquisition Method	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Net Gain or Loss
1	X	LISTED SECURITIES				1/1/2010	P	12/31/2011	5,755,828	5,335,706				420,122
2														0
3														0
4														0
5														0
6														0
7														0
8														0
9														0
10														0

Part I
LINE 6 (990) PF

ROY R AND MARIE S NEUBERGER FOUNDATION INC.

Line 16a (990-PF) - Legal Fees

	Name of Organization or Person Providing Service	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		0	0	0	0
1	JAMES KAUFMAN	0			0
2					
3					

ROY R AND MARIE S NEUBERGER FOUNDATION INC. 13-6066102

Line 16b (990-PF) - Accounting Fees

	Name of Organization or Person Providing Service	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		11,000	0	0	11,000
1	JPBOYLE	11,000			11,000
2					
3					

ROY R AND MARIE S NEUBERGER FOUNDATION INC. 13-6066102

Line 16c (990-PF) - Other Fees

	Name of Organization or Person Providing Service	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
		157,638	104,638	0	53,000
1	INVESTMENT ADVISORY	103,101	103,101		
2	GLORIA SILVERMAN	53,000			53,000
3	U. DAVID WEINTRAUB ADVISORY LLC	1,537	[redacted]		1,537
4					
5					
6					
7					
8					
9					
10					

990-PF Line 16a
PART I 16b
16c

Line 23 (990-PF) - Other Expenses

	Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
		750	0	0	750
1	NYS DEPT OF LAW FILING FEE	750			750
2					
3					
4					
5					
6					
7					
8					
9					

990PF Line 23
PART I

Roy R. & Marie S. Neuberger Foundation, Inc.

Contributions by check 1,103,737.00

TOTAL

990 PF
Part 1
Line 25

ANN ACEVES 2011

Date	Description	Memo	Amount
9/1/2011	Cathedral Preparatory School		-1,000.00
12/1/2011	Empty Stocking Fund	Gift from Ann Aceves	-1,000.00
12/8/2011	Ethical Culture Fieldston School	From Ann Neuberger Aceves	-30,000.00
12/1/2011	Ethical Culture Fieldston School Annual Fund	From Ann Neuberger Aceves '52	-500
12/1/2011	Fanfare	Gift from Ann Aceves	-5,000.00
2/3/2011	Friends Of Neuberger Museum Of Art		-1,000.00
10/7/2011	Friends Of Neuberger Museum Of Art	Gala Program	-500
12/8/2011	Friends Of Neuberger Museum Of Art	From Ann Neuberger Aceves-Exhibition:American Vanguards	-10,000.00
10/3/2011	Lensic Performing Arts Center	Leading Patron	-1,000.00
1/3/2011	Lensic Theater		-10,000.00
12/1/2011	Mount Holyoke College Annual Fund	Gift from Ann Neuberger Aceves - '56	-1,837.00
12/1/2011	Mount Holyoke College Art Museum	From Ann Neuberger Aceves '56 -Memory of Roy R. Neuberger	-20,000.00
12/1/2011	Museum Of New Mexico Annual Fund	Gift from Ann Aceves	-500
5/2/2011	Museum Of New Mexico Foundation		-500
3/15/2011	National Dance Institute - New Mexico		-2,000.00
12/1/2011	New Mexico Museum Of Fine Arts	From Ann Neuberger Aceves-Memory of Roy R.Neuberger	-20,000.00
12/1/2011	NM Center For Therapeutic Riding	Gift from Ann Aceves	-1,000.00
8/4/2011	Our Lady Of Guadalupe Abbey		-1,000.00
3/15/2011	REEL FATHERS		-5,000.00
12/1/2011	REEL FATHERS		-3,000.00
8/1/2011	Santa Fe Farmers Market Institute		-500
5/2/2011	Santa Fe International Folk Art Market		-5,000.00
1/4/2011	Santa Fe Symphony		-50,000.00
5/24/2011	SFWE	Ellingboe Commission & Related Expenses	-2,500.00
12/1/2011	The Food Depot	Gift from Ann Aceves	-500
12/12/2011	The Arts & Business Council Of Greater Boston,Inc.	Gift from Ann Neuberger Aceves	-25,000.00
12/1/2011	The Foundation for the Santa Fe Symphony	From Ann Neuberger Aceves in memory of Roy R.Neuberger	-25,000.00
12/1/2011	The Santa Fe Symphony	Gift from Ann Aceves	-25,000.00
12/1/2011	The Wolf Gang	Gift from Ann Aceves	-1,000.00
12/1/2011	THINK New Mexico	Gift of Ann Aceves	-1,000.00
5/2/2011	UUCSF		-1,100.00
5/24/2011	UUCSF	Challenge Grant Match	-20,000.00
8/4/2011	UUCSF		-1,250.00
12/1/2011	UUCSF		-1,250.00
12/1/2011	Vero Beach Museum	Memory of Roy R. Neuberger, Honor of Dr. Lucinda Gedeon	-5,000.00
		TOTAL	-278,937.00

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PART I Line 25

JAN 2011 Contributions
1/1/2011 through 12/31/2011

Date	Description	Memo	Amount
3/31/2011	ACLU Foundation	Matched by Soros	-500
3/1/2011	AIND/Giant Steps	In Honor of Monica & Rick Segal	-2,000.00
1/25/2011	American Kidney Fund	In Honor of Susan Skolnick	-500
10/17/2011	Amnesty International		-1,000.00
12/2/2011	Asia Society		-1,500.00
10/17/2011	Bachmann-Strauss Dystonia & Parkinson Foundation		-1,000.00
10/17/2011	Bank Street College		-1,000.00
6/9/2011	Broadway Malll Association	Benefit Committee	-1,000.00
10/17/2011	Brown Annual Fund		-500
10/11/2011	Career Transition For Dancers	In Honor of Tina & Jeff Bolton	-1,500.00
12/2/2011	Chamber Music Conference		-1,000.00
10/17/2011	Channel 13		-1,000.00
9/19/2011	Copland House	In honor of Tony Maddalena	-1,000.00
10/17/2011	Crohn's/Colitis	In honor of Andy Diamond, Debbie & Alan Simon	-1,000.00
10/14/2011	Cycstic Fibrosis Foundation		-1,000.00
10/14/2011	Environmental Defense Fund		-500
12/12/2011	Ethical Culture Fieldson School	In Honor of Damian Fernandez	-20,000.00
12/15/2011	Ethical Culture Fieldston School	Annual Fund - Jim Neuberger "64	-500
10/14/2011	Fortune Society		-1,000.00
1/4/2011	Friends Of Neuberger Museum Of Art	Board annual contribution for Jim Neuberger	-10,000.00
1/4/2011	Friends Of Neuberger Museum Of Art	Board annual contribution for Helen Stambler Neuberger	-10,000.00
1/4/2011	Friends Of Neuberger Museum Of Art	Neuberger Circle Membership 2011	-5,000.00
1/26/2011	Friends Of Neuberger Museum Of Art	African Arts Council	-1,000.00
1/26/2011	Friends Of Neuberger Museum Of Art	Constellations: Vol.2	-1,500.00
3/24/2011	Friends Of Neuberger Museum Of Art	PaperJam3-Honor of Tony Maddalena & Sara Vance Waddell	-6,000.00
3/28/2011	Friends Of Neuberger Museum Of Art	African Arts Council-Cameroon Event	-500
3/31/2011	Friends Of Neuberger Museum Of Art	Catalogue of the Roy R. Neuberger Collection	-50,000.00
6/13/2011	Friends Of Neuberger Museum Of Art	Honor of Board of Directors -Friends of Neuberger Museum	-500
9/22/2011	Friends Of Neuberger Museum Of Art	Exhibitions and Education	-30,000.00
12/2/2011	Friends Of Neuberger Museum Of Art	Kiki Smith Exhibition	-20,000.00
12/2/2011	Friends Of Neuberger Museum Of Art	In Honor of Board of the Friends and Staff	-3,000.00
12/5/2011	GSS-Foster Pride	In honor of Helaine Posner & David Dorsky	-1,700.00
10/14/2011	Innocence Project		-1,000.00

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Part I Line 25

10/17/2011	Interfaith Alliance Foundation		-1,000.00
9/19/2011	Jacob Burns Film Center	In honor of Hugh & Marilyn Price	-1,000.00
2/3/2011	Jewish Museum	from Helen Stambler Neuberger	-500
10/14/2011	Lenox Hill Hospital	In honor of Gladys George & Stuart Orsher	-1,000.00
12/2/2011	Meals On Wheels	Janet Rodgers	-500
10/28/2011	Metropolitan Museum Of Art		-500
3/1/2011	Miami Art Museum	In Honor of Thom Collins	-1,000.00
4/25/2011	Museum Of Modern Art		-1,000.00
3/1/2011	National Dance Institute	2011-2012 Adopt-A-School Program-Mott Hall	-25,000.00
4/7/2011	National Dance Institute	NDI Spring Gala	-650
6/23/2011	National Dance Institute	In Honor of Jacques D'Amboise, Ellen Weinstein & Kay Gayner	-1,900.00
8/4/2011	National Dance Institute	Gala Table	-10,000.00
3/1/2011	National Dance Institute	2011-2012 NDI Board Contribution	-10,000.00
12/2/2011	National Dance Institute	Capital Campaign - Large Star	-25,000.00
12/13/2011	National Dance Institute	Graphic Design	-2,000.00
12/15/2011	New Museum	Contemporary Art Council Renewal	-2,500.00
10/18/2011	Planned Parenthood Federation Of America		-500
10/18/2011	Planned Parenthood Of New York City		-500
10/14/2011	Pro Mujer		-500
11/3/2011	Public Citizen Foundation		-500
12/12/2011	Rutgers University Foundation	RBDIL, pledge of October 2010	-20,000.00
10/14/2011	Seeger-Bartlett Foundation		-500
9/27/2011	The Doe Fund, Inc.	In Honor of Donna & Marvin Schwartz	-500
10/14/2011	The Door		-1,000.00
10/14/2011	WNYC		-1,000.00
		Total	**-286,250.00**

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Part I Line 25

Roy S. Neuberger

1/1/2011 through 11/18/2011

Date	Description	Amount
1/6/2011	American Friends Of Shvut Ami	-2,000.00
1/6/2011	American Friends Of Tzofiah	-2,000.00
1/6/2011	Association Of Chevros Kadisha	-5,000.00
1/6/2011	Bais Medrash Govoha	-10,000.00
3/1/2011	Bais Medrash Mayan Ha Torah	-3,000.00
4/28/2011	Beit El Yeshiva	-1,000.00
1/6/2011	Bnos Yaakov Lakewood	-3,000.00
5/19/2011	Congregation Chanichel Hayeshivos	-2,500.00
1/18/2011	Congregation Nesiv Hatorah	-3,000.00
3/1/2011	Congregation Tiferes Tzvi	-2,500.00
3/1/2011	Congregation Zichron Menachem	-3,000.00
1/6/2011	Friends Of Ahavat Shalom	-10,000.00
4/28/2011	Hineni	-20,000.00
3/1/2011	Jewish Resource Center	-2,000.00
1/6/2011	Kollel Zichron Yosef	-10,000.00
3/1/2011	Lev L'Achim	-3,000.00
8/11/2011	Lincoln Square Synagogue	-5,000.00
1/6/2011	Machon Ahavat Emet	-1,000.00
1/6/2011	Mesivta Of Long Beach	-10,000.00
3/1/2011	Ohr Meir & Bracha	-1,000.00
7/21/2011	Seattle Community Kollel	-10,000.00
4/28/2011	Shvut Ami	-2,250.00
8/25/2011	Shvut Ami	-2,000.00
3/1/2011	Telshe Yeshiva	-1,000.00
3/1/2011	Tiferes Bais Yaakov	-2,000.00
1/6/2011	Torah Academy For Girls	-3,000.00
1/6/2011	Torah Umesorah	-20,000.00
9/19/2011	Torah Umesorah	-10,000.00
1/6/2011	Yeshiva Ateres Yisroel	-10,000.00
3/1/2011	Yeshiva Chemdas Ha Torah	-1,800.00
8/16/2011	Yeshiva Chemdas Hatorah	-200,000.00

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Part I Line 25

1/6/2011	Yeshiva Darchei Torah	-2,500.00
1/6/2011	Yeshiva Knesses Ha Torah	-5,000.00
1/6/2011	Yeshiva Of Far Rockaway	-3,000.00
1/6/2011	Yeshiva Sh'or Yoshuv	-15,000.00
3/1/2011	Yeshiva Torah Vodaath	-2,000.00
	TOTAL	-388,550.00

2011
General Fund

Date	Description	Memo	Amount
1/24/2011	Lincoln Square Synaagogue		-50,000.00
1/25/2011	Friends of Neuberger Museum of Art	Roy R. Neuberger Exhibition contribution	-100,000.00
		TOTAL	-150,000.00

Total 5 Pages
$1,103,737.
990 PF
Part I Line 25

Part II, Line 10a (990-PF) - Investments - U.S. and State Government Obligations

	Description	Book Value Beg. of Year	Book Value End of Year	FMV Beg. of Year	FMV End of Year	Check "X" if Federal Obligation	Check "X" if State/ Local Obligation
		300,572	180,149	304,571	182,285		
1	NEUBERGER BERMAN A/C	300,572	180,149	304,571	182,285		X
2							

ROY R AND MARIE S NEUBERGER FOUNDATION INC. 13-6066102

Part II, Line 10b (990-PF) - Investments - Corporate Stock

	Description	Num. Shares/ Face Value	Book Value Beg. of Year	Book Value End of Year	FMV Beg. of Year	FMV End of Year
			6,607,410	4,429,450	9,016,251	6,237,667
1	NEUBERGER BERMAN A/C		6,607,410	4,429,450	9,016,251	6,237,667
2						

OY R AND MARIE S NEUBERGER FOUNDATION INC. 13-6066102

Part II, Line 10c (990-PF) - Investments - Corporate Bonds

	Description	Interest Rate	Maturity Date	Book Value Beg. of Year	Book Value End of Year	FMV Beg. of Year	FMV End of Year
				2,508,516	1,937,606	2,574,991	1,939,034
1	NEUBERGER BERMAN A/C			2,508,516	1,937,606	2,574,991	1,939,034
2							
3							
4							
5							
6							
7							
8							
9							
10							

990 PF Part II
Line 10a
10b
10c

Part II, Line 13 (990-PF) - Investments - Other

			0	236,000	235,633
	Item or Category	Basis of Valuation	Book Value Beg. of Year	Book Value End of Year	FMV End of Year
1	CERTIFICATES OF DEPOSIT	AT COST	0	236,000	235,633
2					
3					
4					
5					
6					
7					
8					
9					
10					

Part II, Line 13
(990 PF)

Part VIII, Line 1 (990-PF) - Compensation of Officers, Directors, Trustees and Foundation Managers

	Name	Check "X" if Business	Street	City	State	Zip Code	Foreign Country	Title	Average Hours
1	JAMES A NEUBERGER		37 RIVERSIDE DRIVE	NY	NY	10023		PRESIDENT	2.00
2	JAMES KAUFMAN		405 LEXINGTON AVE	NY	NY	10174		SECRETARY	
3	ANN ACEVES		733 CAMINO MIRADA	SANTA FE	NM	87505		VICE-PRES	2.00
4									
5									
6									
7									
8									
9									
10									

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Roy R. & Marie S. Neuberger Foundation, Inc.

Contributions by check 1,103,737.00

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ANN ACEVES 2011

Date	Description	Memo	Amount
9/1/2011	Cathedral Preparatory School		-1,000.00
12/1/2011	Empty Stocking Fund	Gift from Ann Aceves	-1,000.00
12/8/2011	Ethical Culture Fieldston School	From Ann Neuberger Aceves	-30,000.00
12/1/2011	Ethical Culture Fieldston School Annual Fund	From Ann Neuberger Aceves '52	-500
12/1/2011	Fanfare	Gift from Ann Aceves	-5,000.00
2/3/2011	Friends Of Neuberger Museum Of Art		-1,000.00
10/7/2011	Friends Of Neuberger Museum Of Art	Gala Program	-500
12/8/2011	Friends Of Neuberger Museum Of Art	From Ann Neuberger Aceves-Exhibition:American Vanguards	-10,000.00
10/3/2011	Lensic Performing Arts Center	Leading Patron	-1,000.00
1/3/2011	Lensic Theater		-10,000.00
12/1/2011	Mount Holyoke College Annual Fund	Gift from Ann Neuberger Aceves - '56	-1,837.00
12/1/2011	Mount Holyoke College Art Museum	From Ann Neuberger Aceves '56 -Memory of Roy R. Neuberger	-20,000.00
12/1/2011	Museum Of New Mexico Annual Fund	Gift from Ann Aceves	-500
5/2/2011	Museum Of New Mexico Foundation		-500
3/15/2011	National Dance Institute - New Mexico		-2,000.00
12/1/2011	New Mexico Museum Of Fine Arts	From Ann Neuberger Aceves-Memory of Roy R.Neuberger	-20,000.00
12/1/2011	NM Center For Therapeutic Riding	Gift from Ann Aceves	-1,000.00
8/4/2011	Our Lady Of Guadalupe Abbey		-1,000.00
3/15/2011	REEL FATHERS		-5,000.00
12/1/2011	REEL FATHERS		-3,000.00
8/1/2011	Santa Fe Farmers Market Institute		-500
5/2/2011	Santa Fe International Folk Art Market		-5,000.00
1/4/2011	Santa Fe Symphony		-50,000.00
5/24/2011	SFWE	Ellingboe Commission & Related Expenses	-2,500.00
12/1/2011	The Food Depot	Gift from Ann Aceves	-500
12/12/2011	The Arts & Business Council Of Greater Boston,Inc.	Gift from Ann Neuberger Aceves	-25,000.00
12/1/2011	The Foundation for the Santa Fe Symphony	From Ann Neuberger Aceves in memory of Roy R.Neuberger	-25,000.00
12/1/2011	The Santa Fe Symphony	Gift from Ann Aceves	-25,000.00
12/1/2011	The Wolf Gang	Gift from Ann Aceves	-1,000.00
12/1/2011	THINK New Mexico	Gift of Ann Aceves	-1,000.00
5/2/2011	UUCSF		-1,100.00
5/24/2011	UUCSF	Challenge Grant Match	-20,000.00
8/4/2011	UUCSF		-1,250.00
12/1/2011	UUCSF		-1,250.00
12/1/2011	Vero Beach Museum	Memory of Roy R. Neuberger, Honor of Dr. Lucinda Gedeon	-5,000.00
		TOTAL	-278,937.00

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JAN 2011 Contributions
1/1/2011 through 12/31/2011

Date	Description	Memo	Amount
3/31/2011	ACLU Foundation	Matched by Soros	-500
3/1/2011	AIND/Giant Steps	In Honor of Monica & Rick Segal	-2,000.00
1/25/2011	American Kidney Fund	In Honor of Susan Skolnick	-500
10/17/2011	Amnesty International		-1,000.00
12/2/2011	Asia Society		-1,500.00
10/17/2011	Bachmann-Strauss Dystonia & Parkinson Foundation		-1,000.00
10/17/2011	Bank Street College		-1,000.00
6/9/2011	Broadway Malll Association	Benefit Committee	-1,000.00
10/17/2011	Brown Annual Fund		-500
10/11/2011	Career Transition For Dancers	In Honor of Tina & Jeff Bolton	-1,500.00
12/2/2011	Chamber Music Conference		-1,000.00
10/17/2011	Channel 13		-1,000.00
9/19/2011	Copland House	In honor of Tony Maddalena	-1,000.00
10/17/2011	Crohn's/Colitis	In honor of Andy Diamond, Debbie & Alan Simon	-1,000.00
10/14/2011	Cycstic Fibrosis Foundation		-1,000.00
10/14/2011	Environmental Defense Fund		-500
12/12/2011	Ethical Culture Fieldson School	In Honor of Damian Fernandez	-20,000.00
12/15/2011	Ethical Culture Fieldston School	Annual Fund - Jim Neuberger "64	-500
10/14/2011	Fortune Society		-1,000.00
1/4/2011	Friends Of Neuberger Museum Of Art	Board annual contribution for Jim Neuberger	-10,000.00
1/4/2011	Friends Of Neuberger Museum Of Art	Board annual contribution for Helen Stambler Neuberger	-10,000.00
1/4/2011	Friends Of Neuberger Museum Of Art	Neuberger Circle Membership 2011	-5,000.00
1/26/2011	Friends Of Neuberger Museum Of Art	African Arts Council	-1,000.00
1/26/2011	Friends Of Neuberger Museum Of Art	Constellations: Vol.2	-1,500.00
3/24/2011	Friends Of Neuberger Museum Of Art	PaperJam3-Honor of Tony Maddalena & Sara Vance Waddell	-6,000.00
3/28/2011	Friends Of Neuberger Museum Of Art	African Arts Council-Cameroon Event	-500
3/31/2011	Friends Of Neuberger Museum Of Art	Catalogue of the Roy R. Neuberger Collection	-50,000.00
6/13/2011	Friends Of Neuberger Museum Of Art	Honor of Board of Directors -Friends of Neuberger Museum	-500
9/22/2011	Friends Of Neuberger Museum Of Art	Exhibitions and Education	-30,000.00
12/2/2011	Friends Of Neuberger Museum Of Art	Kiki Smith Exhibition	-20,000.00
12/2/2011	Friends Of Neuberger Museum Of Art	In Honor of Board of the Friends and Staff	-3,000.00
12/5/2011	GSS-Foster Pride	In honor of Helaine Posner & David Dorsky	-1,700.00
10/14/2011	Innocence Project		-1,000.00

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10/17/2011	Interfaith Alliance Foundation		-1,000.00
9/19/2011	Jacob Burns Film Center	In honor of Hugh & Marilyn Price	-1,000.00
2/3/2011	Jewish Museum	from Helen Stambler Neuberger	-500
10/14/2011	Lenox Hill Hospital	In honor of Gladys George & Stuart Orsher	-1,000.00
12/2/2011	Meals On Wheels	Janet Rodgers	-500
10/28/2011	Metropolitan Museum Of Art		-500
3/1/2011	Miami Art Museum	In Honor of Thom Collins	-1,000.00
4/25/2011	Museum Of Modern Art		-1,000.00
3/1/2011	National Dance Institute	2011-2012 Adopt-A-School Program-Mott Hall	-25,000.00
4/7/2011	National Dance Institute	NDI Spring Gala	-650
6/23/2011	National Dance Institute	In Honor of Jacques D'Amboise, Ellen Weinstein & Kay Gayner	-1,900.00
8/4/2011	National Dance Institute	Gala Table	-10,000.00
3/1/2011	National Dance Institute	2011-2012 NDI Board Contribution	-10,000.00
12/2/2011	National Dance Institute	Capital Campaign - Large Star	-25,000.00
12/13/2011	National Dance Institute	Graphic Design	-2,000.00
12/15/2011	New Museum	Contemporary Art Council Renewal	-2,500.00
10/18/2011	Planned Parenthood Federation Of America		-500
10/18/2011	Planned Parenthood Of New York City		-500
10/14/2011	Pro Mujer		-500
11/3/2011	Public Citizen Foundation		-500
12/12/2011	Rutgers University Foundation	RBDIL, pledge of October 2010	-20,000.00
10/14/2011	Seeger-Bartlett Foundation		-500
9/27/2011	The Doe Fund, Inc.	In Honor of Donna & Marvin Schwartz	-500
10/14/2011	The Door		-1,000.00
10/14/2011	WNYC		-1,000.00
		Total	-286,250.00

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Roy S. Neuberger

1/1/2011 through 11/18/2011

Date	Description	Amount
1/6/2011	American Friends Of Shvut Ami	-2,000.00
1/6/2011	American Friends Of Tzofiah	-2,000.00
1/6/2011	Association Of Chevros Kadisha	-5,000.00
1/6/2011	Bais Medrash Govoha	-10,000.00
3/1/2011	Bais Medrash Mayan Ha Torah	-3,000.00
4/28/2011	Beit El Yeshiva	-1,000.00
1/6/2011	Bnos Yaakov Lakewood	-3,000.00
5/19/2011	Congregation Chanichel Hayeshivos	-2,500.00
1/18/2011	Congregation Nesiv Hatorah	-3,000.00
3/1/2011	Congregation Tiferes Tzvi	-2,500.00
3/1/2011	Congregation Zichron Menachem	-3,000.00
1/6/2011	Friends Of Ahavat Shalom	-10,000.00
4/28/2011	Hineni	-20,000.00
3/1/2011	Jewish Resource Center	-2,000.00
1/6/2011	Kollel Zichron Yosef	-10,000.00
3/1/2011	Lev L'Achim	-3,000.00
8/11/2011	Lincoln Square Synagogue	-5,000.00
1/6/2011	Machon Ahavat Emet	-1,000.00
1/6/2011	Mesivta Of Long Beach	-10,000.00
3/1/2011	Ohr Meir & Bracha	-1,000.00
7/21/2011	Seattle Community Kollel	-10,000.00
4/28/2011	Shvut Ami	-2,250.00
8/25/2011	Shvut Ami	-2,000.00
3/1/2011	Telshe Yeshiva	-1,000.00
3/1/2011	Tiferes Bais Yaakov	-2,000.00
1/6/2011	Torah Academy For Girls	-3,000.00
1/6/2011	Torah Umesorah	-20,000.00
9/19/2011	Torah Umesorah	-10,000.00
1/6/2011	Yeshiva Ateres Yisroel	-10,000.00
3/1/2011	Yeshiva Chemdas Ha Torah	-1,800.00
8/16/2011	Yeshiva Chemdas Hatorah	-200,000.00

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1/6/2011	Yeshiva Darchei Torah	-2,500.00
1/6/2011	Yeshiva Knesses Ha Torah	-5,000.00
1/6/2011	Yeshiva Of Far Rockaway	-3,000.00
1/6/2011	Yeshiva Sh'or Yoshuv	-15,000.00
3/1/2011	Yeshiva Torah Vodaath	-2,000.00
	TOTAL	-388,550.00

2011
General Fund

Date	Description	Memo	Amount
1/24/2011	Lincoln Square Synagogue		-50,000.00
1/25/2011	Friends of Neuberger Museum of Art	Roy R. Neuberger Exhibition contribution	-100,000.00
		TOTAL	-150,000.00

Total 5 pages
$ 1,109,737.
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