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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 01-01-2011 , and ending 12-31-2011

G Check all that apply

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☐ Amended return

☐ Address change

☐ Name change

Name of foundation  
FRANK AND LYDIA BERGEN FOUNDATION

Number and street (or P O box number if mail is not delivered to street address)  
1525 W WT HARRIS BLVD D1114-044

City or town, state, and ZIP code  
CHARLOTTE, NC 28288

**A Employer identification number**  
22-6359304

**B Telephone number** (see page 10 of the instructions)  
(336) 747-8203

**C** If exemption application is pending, check here ☐  
**D 1.** Foreign organizations, check here ☐  
**2.** Foreign organizations meeting the 85% test, check here and attach computation ☐  
**E** If private foundation status was terminated under section 507(b)(1)(A), check here ☐  
**F** If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

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

I Fair market value of all assets at end of year (from Part II, col. (c), line 16)  
\$ 8,795,275



J Accounting method ☐ Cash ☐ Accrual  
☐ Other (specify) \_\_\_\_\_  
(Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions) )		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B				
	3 Interest on savings and temporary cash investments	215	215		
	4 Dividends and interest from securities. . . . .	271,488	266,021		
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	142,080			
	b Gross sales price for all assets on line 6a _____ 6,571,637				
	7 Capital gain net income (from Part IV , line 2 ) . . . .		142,080		
	8 Net short-term capital gain . . . . .			0	
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold . . . . .				
	c Gross profit or (loss) (attach schedule) . . . . .				
Operating and Administrative Expenses	11 Other income (attach schedule) . . . . .	2,000			
	12 <b>Total.</b> Add lines 1 through 11 . . . . .	415,783	408,316		
	13 Compensation of officers, directors, trustees, etc	83,880	62,910		20,970
	14 Other employee salaries and wages . . . . .		0	0	0
	15 Pension plans, employee benefits . . . . .		0	0	
	16a Legal fees (attach schedule). . . . .				0
	b Accounting fees (attach schedule). . . . .	2,866	0	0	2,866
	c Other professional fees (attach schedule) . . . . .				0
	17 Interest . . . . .				0
	18 Taxes (attach schedule) (see page 14 of the instructions)	31,966	2,848		0
	19 Depreciation (attach schedule) and depletion . . . .	0	0		
	20 Occupancy . . . . .				
	21 Travel, conferences, and meetings . . . . .		0	0	
	22 Printing and publications . . . . .		0	0	
	23 Other expenses (attach schedule). . . . .				
	24 <b>Total operating and administrative expenses.</b> Add lines 13 through 23 . . . . .	118,712	65,758	0	23,836
	25 Contributions, gifts, grants paid . . . . .	444,200			444,200
	26 <b>Total expenses and disbursements.</b> Add lines 24 and 25	562,912	65,758	0	468,036
	27 Subtract line 26 from line 12				
	a <b>Excess of revenue over expenses and disbursements</b>	-147,129			
	b <b>Net investment income</b> (if negative, enter -0- )		342,558		
	c <b>Adjusted net income</b> (if negative, enter -0- ) . . . .			0	



For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions.

Cat No 11289X

Form **990-PF** (2011)

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions )	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	405,417	362,444	362,444
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____		0	0
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable . . . . .			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions) . . . . .			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____ 0			
	8	Inventories for sale or use . . . . .			
	9	Prepaid expenses and deferred charges . . . . .			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule) . . . . .	8,559,745 	5,381,615	5,283,009
	c	Investments—corporate bonds (attach schedule). . . . .		 3,107,813	3,149,822
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans . . . . .			
	13	Investments—other (attach schedule) . . . . .			0
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
Liabilities	15	Other assets (describe ▶ _____)			
	16	<b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	8,965,162	8,851,872	8,795,275
	17	Accounts payable and accrued expenses . . . . .			
	18	Grants payable . . . . .			
	19	Deferred revenue . . . . .			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule) . . . . .			
	22	Other liabilities (describe ▶ _____)			
	23	<b>Total liabilities</b> (add lines 17 through 22) . . . . .		0	
Net Assets or Fund Balances		<b>Foundations that follow SFAS 117, check here</b> ▶ <input type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
		<b>Foundations that do not follow SFAS 117, check here</b> ▶ <input checked="" type="checkbox"/> <b>and complete lines 27 through 31.</b>			
	27	Capital stock, trust principal, or current funds . . . . .	8,965,162	8,851,872	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	<b>Total net assets or fund balances</b> (see page 17 of the instructions) . . . . .	8,965,162	8,851,872	
	31	<b>Total liabilities and net assets/fund balances</b> (see page 17 of the instructions) . . . . .	8,965,162	8,851,872	

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	8,965,162
2	Enter amount from Part I, line 27a . . . . .	2	-147,129
3	Other increases not included in line 2 (itemize) ▶ _____ 	3	50,388
4	Add lines 1, 2, and 3 . . . . .	4	8,868,421
5	Decreases not included in line 2 (itemize) ▶ _____ 	5	16,549
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . . . . .	6	8,851,872

Part IV Capital Gains and Losses for Tax on Investment Income

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

2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	142,080
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 pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8 . . . . .		3	

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 page 18 of 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	315,969	8,880,913	0 035578
2009	352,091	7,512,692	0 046866
2008	572,516	9,211,575	0 062152
2007	530,611	10,972,411	0 048359
2006	473,505	10,337,735	0 045804

2	Total of line 1, column (d). . . . .	2	0 238759
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 047752
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5. . . . .	4	9,308,960
5	Multiply line 4 by line 3. . . . .	5	444,521
6	Enter 1% of net investment income (1% of Part I, line 27b). . . . .	6	3,426
7	Add lines 5 and 6. . . . .	7	447,947
8	Enter qualifying distributions from Part XII, line 4. . . . .	8	468,036

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 on page 18

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the 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	3,426
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	3,426
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	0
5		Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0- . . . . .		5	3,426
6		Credits/Payments			
a		2011 estimated tax payments and 2010 overpayment credited to 2011	6a	16,448	
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	16,448
8		Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> 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	
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. . . . .		10	13,022
11		Enter the amount of line 10 to be Credited to 2012 estimated tax <input type="checkbox"/> 3,428	Refunded <input type="checkbox"/>	11	9,594

Part VII-AStatements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		Yes	No
		1a		No
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)? . . . . .			No
	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		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .	2		No
	If "Yes," attach a detailed description of the activities.			
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		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	4a		No
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? . . . . .	5		No
	If "Yes," attach the statement required by General Instruction T.			
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	Yes	
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	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) <input checked="" type="checkbox"/> NJ _____			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .	8b	Yes	
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 on page 27)? If "Yes," complete Part XIV . . . . .	9		No
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		No

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 page 20 of the instructions).	11		No
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address				
14	The books are in care of	WELLS FARGO BANK NA		
	Telephone no	(336) 747-8203		
	Located at	1W 4TH ST 2ND FLOOR WINSTON SALEM NC		
	ZIP +4	271013818		
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		
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	Yes	No
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 page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	1b		No
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		No
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? 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 page 20 of the instructions).	2b		No
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?			
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		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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))?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(3) Provide a grant to an individual for travel, study, or other similar purposes?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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 page 22 of the instructions).		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 5a(1)–(5), did <b>any</b> of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.		5b		
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?		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If "Yes," attach the statement required by Regulations section 53.4945–5(d).				
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		6b 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?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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 page 22 of the 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
WELLS FARGO BANK NA 1525 WEST WT HARRIS BLVD CHARLOTTE, NC 28288	TRUSTEE 40	83,880		
2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the 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 page 23 of the instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services. . . . .		0

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see page 23 of the 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 page 24 of the instructions.	
3	
Total. Add lines 1 through 3. . . . .	



Part X

Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the 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	9,096,977
b	Average of monthly cash balances. . . . .	1b	353,744
c	Fair market value of all other assets (see page 24 of the instructions). . . . .	1c	0
d	Total (add lines 1a, b, and c). . . . .	1d	9,450,721
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	9,450,721
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions). . . . .	4	141,761
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	9,308,960
6	Minimum investment return. Enter 5% of line 5. . . . .	6	465,448

Part XI

Distributable Amount (see page 25 of the 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	465,448
2a	Tax on investment income for 2011 from Part VI, line 5. . . . .	2a	3,426
b	Income tax for 2011 (This does not include the tax from Part VI ). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	3,426
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	462,022
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	2,000
5	Add lines 3 and 4. . . . .	5	464,022
6	Deduction from distributable amount (see page 25 of the instructions). . . . .	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . .	7	464,022

Part XII

Qualifying Distributions (see page 25 of the 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	468,036
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required). . . . .	3a	0
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	468,036
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 page 26 of the instructions). . . . .	5	3,426
6	Adjusted qualifying distributions. Subtract line 5 from line 4. . . . .	6	464,610
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 page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				464,022
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only.			35,403	
b Total for prior years 2009 , 20 , 20		0		
3 Excess distributions carryover, if any, to 2011				
a From 2006.				0
b From 2007.				0
c From 2008.				0
d From 2009.				0
e From 2010.				0
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2011 from Part XII, line 4 \$ 468,036				
a Applied to 2010, but not more than line 2a			35,403	
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)		0		
c Treated as distributions out of corpus (Election required—see page 26 of the instructions).	0			
d Applied to 2011 distributable amount.				432,633
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0			
b Prior years' undistributed income Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions.		0		
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions.			0	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011.				31,389
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions).	0			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see page 27 of the instructions).	0			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a.	0			
10 Analysis of line 9				
a Excess from 2007.				0
b Excess from 2008.				0
c Excess from 2009.				0
d Excess from 2010.				0
e Excess from 2011.				0

Part XIV

Private Operating Foundations (see page 27 of the instructions and Part VII-A, question 9)

1a

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 organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	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) 2011	(b) 2010	(c) 2009	(d) 2008	
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 organization had \$5,000 or more in assets at any time during the year—see page 27 of 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) )

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 page 28 of the 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

WELLS FARGO BANK NA  
CHARITABLE ADMINISTRATION 190 RIVE  
SUMMIT, NJ 07901  
(908) 598-3576

b

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

Submit free form application to the Grant Committee at above address

c

Any submission deadlines

July 31th for a September Decision

d

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

to aid worthy music students in securing a musical education and to aid organizations such as, but not limited to, The American Symphony Orchestra for educational purposes

Part XV

Supplementary Information (continued)

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

Recipient	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
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total . . . . .			3a	444,200
b Approved for future payment				
Total . . . . .			3b	

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions )
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
<b>1</b>	Program service revenue					
<b>a</b>	_____					
<b>b</b>	_____					
<b>c</b>	_____					
<b>d</b>	_____					
<b>e</b>	_____					
<b>f</b>	_____					
<b>g</b>	Fees and contracts from government agencies					
<b>2</b>	Membership dues and assessments. . . .					
<b>3</b>	Interest on savings and temporary cash investments			14	215	
<b>4</b>	Dividends and interest from securities. . . .			14	271,488	
<b>5</b>	Net rental income or (loss) from real estate					
<b>a</b>	Debt-financed property. . . . .					
<b>b</b>	Not debt-financed property. . . . .					
<b>6</b>	Net rental income or (loss) from personal property					
<b>7</b>	Other investment income. . . . .					
<b>8</b>	Gain or (loss) from sales of assets other than inventory			18	142,080	
<b>9</b>	Net income or (loss) from special events					
<b>10</b>	Gross profit or (loss) from sales of inventory. .					
<b>11</b>	Other revenue <b>a</b> RECOVERIES _____			1	2,000	
<b>b</b>	_____					
<b>c</b>	_____					
<b>d</b>	_____					
<b>e</b>	_____					
<b>12</b>	Subtotal Add columns (b), (d), and (e). .				415,783	
<b>13</b>	<b>Total.</b> Add line 12, columns (b), (d), and (e). . . . .			<b>13</b>		415,783

[illegible]

<b>1</b> 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?		<b>Yes</b>	<b>No</b>
<b>a</b> Transfers from the reporting foundation to a noncharitable exempt organization of			
<b>(1)</b> Cash. . . . .	<b>1a(1)</b>		<b>No</b>
<b>(2)</b> Other assets. . . . .	<b>1a(2)</b>		<b>No</b>
<b>b</b> Other transactions			
<b>(1)</b> Sales of assets to a noncharitable exempt organization. . . . .	<b>1b(1)</b>		<b>No</b>
<b>(2)</b> Purchases of assets from a noncharitable exempt organization. . . . .	<b>1b(2)</b>		<b>No</b>
<b>(3)</b> Rental of facilities, equipment, or other assets. . . . .	<b>1b(3)</b>		<b>No</b>
<b>(4)</b> Reimbursement arrangements. . . . .	<b>1b(4)</b>		<b>No</b>
<b>(5)</b> Loans or loan guarantees. . . . .	<b>1b(5)</b>		<b>No</b>
<b>(6)</b> Performance of services or membership or fundraising solicitations. . . . .	<b>1b(6)</b>		<b>No</b>
<b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees. . . . .	<b>1c</b>		<b>No</b>
<b>d</b> If the answer to any of the above is "Yes," complete the following schedule. Column <b>(b)</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 <b>(d)</b> the value of the goods, other assets, or services received.			

[illegible]

**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>b</b> If "Yes," complete the following schedule		
<b>(a)</b> Name of organization	<b>(b)</b> Type of organization	<b>(c)</b> 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 or fiduciary) is based on all information of which preparer has any knowledge				
	*****			2012-04-28	*****
	Signature of officer or trustee			Date	Title
	Paid Preparer's Use Only	Preparer's Signature		Date	Check if self-employed <input checked="" type="checkbox"/>
		Firm's name		Firm's EIN	
Firm's address		Phone no			

May the IRS discuss this return with the preparer shown above? See instructions . . . . . ☐ Yes ☒ No

**Additional Data**

**Software ID:**  
**Software Version:**  
**EIN:** 22-6359304  
**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**Form 990PF - Special Condition Description:**

<b>Special Condition Description</b>
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Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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 )
28940 ARTIO TOTAL RETURN BD FD CL I #1524		2010-03-01	2011-05-23
1299 ARTIO TOTAL RETURN BD FD CL I #1524		2008-12-01	2011-06-13
8312 ARTIO TOTAL RETURN BD FD CL I #1524		2008-12-01	2011-08-24
12477 54 ARTIO TOTAL RETURN BD FD CL I #1524		2008-12-01	2011-10-20
1344 ARTIO INTERNATIONAL EQ FD 3# 1529		2006-08-08	2011-06-13
505 636 ARTIO INTERNATIONAL EQ FD 3# 1529		2011-05-25	2011-08-24
33821 364 ARTIO INTERNATIONAL EQ FD 3# 1529		2010-03-01	2011-08-24
8265 025 ARTIO INTERNATIONAL EQ FD 3# 1529		2010-03-01	2011-10-20
135 DODGE & COX INT'L STOCK FD # 1048		2006-08-08	2011-05-23
198 DODGE & COX INT'L STOCK FD # 1048		2006-08-08	2011-06-13
3166 DODGE & COX INT'L STOCK FD # 1048		2006-08-08	2011-08-24
4646 DODGE & COX INCOME FD COM		2011-05-25	2011-06-13
11956 DODGE & COX INCOME FD COM		2011-05-25	2011-10-20
695 DREYFUS EMG MKT DEBT LOC C-I #6083		2011-05-25	2011-06-13
706 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2011-05-23
20 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2011-06-13
3265 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2011-08-24
766 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2011-10-20
10508 GOLDEN LARGE CAP CORE FUND-I		2006-08-08	2011-05-23
12818 GOLDEN LARGE CAP CORE FUND-I		2006-08-08	2011-08-24
22969 289 GOLDEN LARGE CAP CORE FUND-I		2010-03-01	2011-10-20
898 GOLDMAN SACHS GROWTH OPPORTUNITIES INSTITUTIONAL SHARES		2008-12-01	2011-05-23
2766 GOLDMAN SACHS GROWTH OPPORTUNITIES INSTITUTIONAL SHARES		2008-12-01	2011-08-24
890 GOLDMAN SACHS GROWTH OPPORTUNITIES INSTITUTIONAL SHARES		2008-12-01	2011-10-20
20232 GOLDMAN SACHS LARGE CAP VALUE FUND INSTITUTIONAL SHARES		2008-11-10	2011-05-23
18993 GOLDMAN SACHS LARGE CAP VALUE FUND INSTITUTIONAL SHARES		2008-11-10	2011-08-24
8833 969 GOLDMAN SACHS LARGE CAP VALUE FUND INSTITUTIONAL SHARES		2009-03-02	2011-10-20
170 HARBOR FD CAP APPRECIATION		2011-05-25	2011-06-13
1425 HARBOR FD CAP APPRECIATION		2011-05-25	2011-10-20
582 KEELEY SMALL CAP VAL FD CL I #2251		2010-12-28	2011-05-23



Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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 )
538 KEELEY SMALL CAP VAL FD CL I #2251		2010-12-28	2011-10-20
286 MFS VALUE FUND-CLASS I #893		2011-05-25	2011-06-13
9154 MFS VALUE FUND-CLASS I #893		2011-05-25	2011-10-20
20140 057 MORGAN STANLEY INS INTN RE I #8001		2010-03-01	2011-05-23
379 OPPENHEIMER DEVELOPING MKT-Y #788		2011-05-25	2011-06-13
5308 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2011-05-25	2011-06-13
14246 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2011-05-25	2011-10-20
1445 PIMCO FDS PAC INVT MGMT SER HIGH YLD FD INSTL CL		2006-08-08	2011-06-13
29255 072 PIMCO FDS PAC INVT MGMT SER HIGH YLD FD INSTL CL		2009-09-01	2011-08-24
959 206 PIMCO FDS PAC INVT MGMT SER HIGH YLD FD INSTL CL		2011-05-25	2011-08-24
1218 PIMCO FOREIGN BOND FUND-INST		2011-05-25	2011-06-13
1056 PIMCO EMERG MKTS BD-INST #137		2011-05-25	2011-06-13
256 645 PIMCO EMERG MKTS BD-INST #137		2011-05-25	2011-08-24
16554 04 PIMCO EMERG MKTS BD-INST #137		2010-03-01	2011-08-24
2999 39145 PIMCO COMMODITY REAL RET STRAT-I#45		2006-08-08	2011-06-13
410 60855 PIMCO COMMODITY REAL RET STRAT-I#45		2006-08-08	2011-06-13
15561 PIMCO COMMODITY REAL RET STRAT-I#45		2006-08-08	2011-08-24
24218 647 PIMCO COMMODITY REAL RET STRAT-I#45		2010-03-01	2011-10-20
370 PIONEER HIGH YIELD FD-Y		2006-08-08	2011-05-23
924 PIONEER HIGH YIELD FD-Y		2006-08-08	2011-06-13
27348 888 PIONEER HIGH YIELD FD-Y		2009-06-01	2011-08-24
3779 ROWE T PRICE SHORT TERM BD FD INC		2011-05-25	2011-06-13
66258 ROWE T PRICE SHORT TERM BD FD INC		2011-08-29	2011-10-20
147 SPDR DJ WILSHIRE INTERNATIONAL REAL		2011-05-23	2011-06-13
11059 331 SSGA EMERGING MARKETS FD S #1510		2010-03-01	2011-05-23
717 TCW GALILEO FDS INC SMALL CAP GROWTH FD		2010-12-28	2011-05-23
802 TCW GALILEO FDS INC SMALL CAP GROWTH FD		2010-12-28	2011-10-20
12 VANGARD MSCI EMERGING MARKETS EFT		2010-12-28	2011-05-23
183 VANGARD MSCI EMERGING MARKETS EFT		2010-12-28	2011-06-13
2743 VANGUARD REIT VIPER		2010-12-28	2011-05-23

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

<b>(a)</b> 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>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo , day, yr )	<b>(d)</b> Date sold (mo , day, yr )
25 VANGUARD REIT VIPER		2010-12-28	2011-06-13
4068 VANGUARD REIT VIPER		2010-12-28	2011-08-24
1194 WELLS FARGO ADV INTL BOND-IS #4705		2011-05-25	2011-06-13
603 169 WELLS FARGO ADV INTL BOND-IS #4705		2011-05-25	2011-08-24
1274 831 WELLS FARGO ADV INTL BOND-IS #4705		2010-03-01	2011-08-24
96 448 WELLS FARGO ADV INTL BOND-IS #4705		2011-05-25	2011-10-20
13848 071 WELLS FARGO ADV INTL BOND-IS #4705		2009-06-01	2011-10-20
31395 WF ADV ENDEAVOR SELECT-I #3124		2006-08-08	2011-05-23
35 WF ADV ENDEAVOR SELECT-I #3124		2006-08-08	2011-06-13
28613 219 WF ADV ENDEAVOR SELECT-I #3124		2010-03-01	2011-08-24

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
395,610		365,497	30,113
17,770		16,082	1,688
115,287		102,903	12,384
172,564		154,303	18,261
16,558		17,835	-1,277
5,486		6,255	-769
366,962		448,035	-81,073
82,898		77,289	5,609
4,867		5,333	-466
7,098		7,821	-723
99,032		125,057	-26,025
63,046		62,814	232
158,776		161,645	-2,869
10,488		10,322	166
17,777		16,605	1,172
486		470	16
71,830		76,793	-4,963
17,488		18,016	-528
115,483		108,548	6,935
122,796		132,410	-9,614
227,396		224,888	2,508
23,070		11,180	11,890
59,773		34,437	25,336
19,829		11,081	8,748
250,270		182,290	67,980
196,578		171,127	25,451
93,905		72,417	21,488
6,360		6,620	-260
52,625		55,490	-2,865
15,161		14,649	512

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
12,078		13,541	-1,463
6,730		6,918	-188
199,283		221,435	-22,152
382,258		375,225	7,033
13,280		13,238	42
58,547		58,547	
153,145		157,133	-3,988
13,569		13,858	-289
257,737		271,045	-13,308
8,451		9,122	-671
12,765		12,740	25
11,891		11,859	32
2,887		2,882	5
186,233		175,882	10,351
28,644		46,191	-17,547
3,921		6,323	-2,402
137,404		239,639	-102,235
183,577		194,652	-11,075
3,922		3,963	-41
9,573		9,896	-323
257,900		279,972	-22,072
18,404		18,366	38
319,364		321,935	-2,571
5,832		5,828	4
244,743		161,381	83,362
22,112		21,116	996
20,708		23,619	-2,911
559		564	-5
8,648		8,596	52
164,961		151,287	13,674

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
1,463		1,379	84
222,641		224,366	-1,725
14,364		14,030	334
7,528		7,087	441
15,910		14,442	1,468
1,140		1,133	7
163,684		140,906	22,778
323,996		290,404	33,592
346		324	22
258,950		238,537	20,413

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) 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	
			30,113
			1,688
			12,384
			18,261
			-1,277
			-769
			-81,073
			5,609
			-466
			-723
			-26,025
			232
			-2,869
			166
			1,172
			16
			-4,963
			-528
			6,935
			-9,614
			2,508
			11,890
			25,336
			8,748
			67,980
			25,451
			21,488
			-260
			-2,865
			512

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l


Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) 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	
			-1,463
			-188
			-22,152
			7,033
			42
			-3,988
			-289
			-13,308
			-671
			25
			32
			5
			10,351
			-17,547
			-2,402
			-102,235
			-11,075
			-41
			-323
			-22,072
			38
			-2,571
			4
			83,362
			996
			-2,911
			-5
			52
			13,674

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			84
			-1,725
			334
			441
			1,468
			7
			22,778
			33,592
			22
			20,413



Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
<b>a</b> Paid during the year				
AMERICAN SYMPHONY ORCHESTRA 333 WEST 39TH ST 1101 NEW YORK,NY 10018	NONE	EXEMPT	GENERAL	20,000
HARLEM SCHOOL OF THE ARTS645 SAINT NICHOLAS AVE NEW YORK,NY 10030	NONE	EXEMPT	GENERAL	10,000
NEW YORK CITY BALLET INC20 LINCOLN CENTER PLAZA NEW YORK,NY 10023	NONE	PUBLIC CHARITY	GENERAL	70,000
STATE THEATRE REGIONAL ARTS15 LIVINGSTON AVENUE NEW BRUNSWICK,NJ 08901	NONE	EXEMPT	GENERAL	10,000
DREW UNIVERSITY36 MADISON AVENUE MADISON,NJ 07940	NONE	PUBLIC CHARITY	GENERAL	15,000
SETON HALL UNIVERSITY400 SOUTH ORANGE AVENUE SOUTH ORANGE,NJ 07079	NONE	EXEMPT	GENERAL	12,400
NEWARK SCHOOL OF THE ARTS89 LINCOLN PARK NEWARK,NJ 07102	NONE	PUBLIC CHARITY	GENERAL	10,000
ST BENEDICT'S PREPARATORY SCHOOL520 DR MARTIN LUTHER KING JR BLVD NEWARK,NJ 07102	NONE	PUBLIC CHARITY	GENERAL	10,000
NEWARK BOYS CHORUS SCHOOL 1016 BROAD STREET NEWARK,NJ 07102	NONE	PUBLIC CHARITY	GENERAL	30,000
PERKINS CENTER FOR THE ARTS 395 KINGS HIGHWAY MOORESTOWN,NJ 08057	NONE	PUBLIC CHARITY	GENERAL	10,000
APPEL FARM ARTS AND MUSIC CENTER457 SHIRLEY ROAD P O BOX 888 ELMER,NJ 083180888	NONE	PUBLIC CHARITY	GENERAL	15,000
HARMONIUM A CLASSICAL CHORAL P O BOX 1317 MORRISTOWN,NJ 07962	NONE	EXEMPT	GENERAL	5,800
PRINCETON SYMPHONY ORCHESTRAP O BOX 250 PRINCETON,NJ 08542	NONE	EXEMPT	GENERAL	15,000
ALL SEASONS CHAMBER PLAYERS 115 ORCHARD ROAD DEMAREST,NJ 07627	NONE	PUBLIC CHARITY	GENERAL	5,000
WESTFIELD SYMPHONY ORCHESTRA224 E BROAD ST SUITE 6 WESTFIELD,NJ 07090	NONE	EXEMPT	GENERAL	5,000
CAMDEN SCHOOL OF MUSICAL ARTS531-535 MARKET ST CAMDEN,NJ 08125	NONE	EXEMPT	GENERAL	15,000
DISCOVERY ORCHESTRA INC50 MT BETHEL ROAD PO BOX 4064 WARREN,NJ 070590064	NONE	PUBLIC CHARITY	GENERAL	20,000
NEW JERSEY PERFORMING ARTS CENTER2039 KENNEDY BLVD JERSEY CITY,NJ 07305	NONE	PUBLIC CHARITY	GENERAL	12,500
SAINT PHILLIP'S ACADEMY342 CENTRAL AVENUE NEWARK,NJ 07102	NONE	PUBLIC CHARITY	GENERAL	15,000
SCHOLA CANTORUM ON HUDSON INCP O BOX 3914 JERSEY CITY,NJ 07303	NONE	PUBLIC CHARITY	GENERAL	10,000
NJ INTERGENERATIONAL ORCHESTRA60 LOCUST AVENUE BERKELY HEIGHTS,NJ 07922	NONE	EXEMPT	GENERAL	7,500
MONTCLAIR STATE UNIVERSITY1 EAST NORMAL AVENUE MONTCLAIR,NJ 07043	NONE	PUBLIC CHARITY	GENERAL	50,000
NJ CITY UNIV FOUNDATION2039 KENNEDY BLVD JERSEY CITY,NJ 07305	NONE	PUBLIC CHARITY	GENERAL	20,000
SYMPHONY INCONE MARKET ST SUITE 1C CAMDEN,NJ 08102	NONE	PUBLIC CHARITY	GENERAL	40,000
ATLANTIC COAST OPERA FESTIVAL 2028 SOUTH 17TH ST 11 PHILADELPHIA,PA 191452902	NONE	EXEMPT	GENERAL	11,000
<b>Total . . . . .</b>  <b>3a</b>				444,200

**TY 2011 Accounting Fees Schedule**

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION FEE (NON-ALLOC	2,866			2,866

# **TY 2011 Investments Corporate Bonds Schedule**

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Name of Bond	End of Year Book Value	End of Year Fair Market Value
256210105 DODGE & COX INCOME F	832,172	873,654
261980494 DREYFUS EMG MKT DEBT	274,131	249,726
51855Q655 LAUDUS MONDRIAN INTL	280,908	264,250
693390700 PIMCO TOTAL RET FD-I	845,030	878,754
693390882 PIMCO FOREIGN BD FD	272,572	279,082
76628T645 RIDGEWORTH SEIX HY B	487,933	490,238
77957P105 T ROWE PRICE SHORT T	115,067	114,118

TY 2011 Investments Corporate

Stock Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Name of Stock	End of Year Book Value	End of Year Fair Market Value
04315J209 ARTIO TOT RTN #1524		
256210105 DODGE&COX INCOME FD		
261980494 DREYFUS EMERG #6083		
693390841 PIMCO HIGH YLD FUND		
693390700 PIMCO TOT RTN FD #35		
72369B406 PIONEER HI YLD #724		
94985D582 WELLS FARGO FD #4705		
693391559 PIMCO EMERG MKT #137		
693390882 PIMCO FORGN FD #103		
34984T881 GOLDEN LARGE CAP FD		
38142Y401 GOLDMAN SACHS #1132	121,432	215,945
38142Y773 GOLDMAN SACHS #1216		
339128100 JPMORGAN MIDCAP #758	226,498	228,713
487300808 KEELEY SML CAP #2251	245,376	230,231
784924425 SSGA EMERG MKT #1510		
87234N849 TCW SMALL CAP #4724	238,550	214,645
949915565 WELLS FARGO FD #3124		
04315J837 ARTIO INTL FD #1529		
256206103 DODGE&COX INTL FD	408,009	414,656
922042858 VANGUARD EMERG MKTS	276,946	229,451
61744J317 MORGAN STANLEY #8001		
722005667 PIMCO COMMOD FD #45		
922908553 VANGUARD REIT VIPER	316,307	332,630
04314H204 ARTISAN INTERNATIONA	436,423	422,985
22544R305 CREDIT SUISSE COMM R	458,455	425,648
25264S833 DIAMOND HILL LONG-SH	175,568	181,463
411511504 HARBOR CAPITAL APRCT	514,377	505,356
448108100 HUSSMAN STRATEGIC GR	351,135	345,575
464287200 ISHARES S & P 500 IN	312,883	330,645
552983694 MFS VALUE FUND-CLASS	260,957	266,387
56063J302 MAINSTAY EP US EQUIT	258,086	252,666
589509108 MERGER FD SH BEN INT	175,568	172,906
683974505 OPPENHEIMER DEVELOPI	273,187	230,138
78463X863 SPDR DJ WILSHIRE INT	331,858	282,969

## TY 2011 Other Decreases Schedule

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Description	Amount
MUTUAL FUND POSTING DATE AFTER TYE	13,035
ROC BASIS ADJUSTMENT	3,510
ROUNDING	4

## TY 2011 Other Income Schedule

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
RECOVERY OF PRIOR YEAR	2,000	0	

TY 2011 Other Increases Schedule

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Description	Amount
MUTUAL FUND TAX EFFECTIVE DATE BEFORE TYE	50,388

# TY 2011 Taxes Schedule

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAX PAYMENT - PRIOR YE	12,670	0		0
FEDERAL ESTIMATES - PRINCIPAL	16,448	0		0
FOREIGN TAXES ON QUALIFIED FOR	2,060	2,060		0
FOREIGN TAXES ON NONQUALIFIED	788	788		0