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**Return of Private Foundation  
or Section 4947(a)(1) Nonexempt Charitable Trust  
Treated as a Private Foundation****2011**Department of the Treasury  
Internal Revenue Service

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

For calendar year 2011, or tax year beginning 12/01, 2011, and ending 11/30, 2012

Bergen Foundation  
13701 Riverside Drive #800  
Sherman Oaks, CA 91423**A** Employer identification number  
95-6044540**B** Telephone number (see the instructions)  
(818) 981-3505**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 ☐**G** Check all that apply ☐ Initial return ☐ Initial Return of a former public charity  
☐ Final return ☐ Amended return  
☐ Address change ☐ Name change**H** Check type of organization: ☒ Section 501(c)(3) exempt private foundation  
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation**I** Fair market value of all assets at end of year (from Part II, column (c), line 16)  
\$ 17,830,121.  
**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 instructions).)**(a)** Revenue and expenses per books  
**(b)** Net investment income  
**(c)** Adjusted net income  
**(d)** Disbursements for charitable purposes (cash basis only)

<b>REVENUE</b>	<b>1</b> Contributions, gifts, grants, etc. received (att sch)				
	<b>2</b> Ck <input checked="" type="checkbox"/> if the foundn is not req to att Sch B				
	<b>3</b> Interest on savings and temporary cash investments	132,288.	132,288.		
	<b>4</b> Dividends and interest from securities	366,185.	366,185.		
	<b>5a</b> Gross rents				
	<b>b</b> Net rental income or (loss)				
	<b>6a</b> Net gain/(loss) from sale of assets not on line 10	129,989.			
	<b>b</b> Gross sales price for all assets on line 6a 5,650,973.				
	<b>7</b> Capital gain net income (from Part IV, line 2).		129,989.		
	<b>8</b> Net short-term capital gain				
	<b>9</b> Income modifications				
	<b>10a</b> Gross sales less returns and allowances				
<b>ADMINISTRATIVE EXPENSES</b>	<b>b</b> Less Cost of goods sold				
	<b>c</b> Gross profit/(loss) (att sch)				
	<b>11</b> Other income (attach schedule) See Statement 1	69,855.			
	<b>12</b> Total. Add lines 1 through 11	698,317.	628,462.	0.	
	<b>13</b> Compensation of officers, directors, trustees, etc	245,000.	98,000.		147,000.
	<b>14</b> Other employee salaries and wages				
	<b>15</b> Pension plans, employee benefits				
	<b>16a</b> Legal fees (attach schedule) See St 2	2,724.			2,724.
	<b>b</b> Accounting fees (attach sch) See St 3	82,600.	41,300.		41,300.
	<b>c</b> Other prof fees (attach sch) See St 4	162,003.	162,003.		
	<b>17</b> Interest				
	<b>18</b> Taxes (attach schedule)(see instrs) See Stm 5	9,649.			9,649.
	<b>19</b> Depreciation (attach sch) and depletion				
	<b>20</b> Occupancy				
	<b>21</b> Travel, conferences, and meetings	11,591.			11,591.
	<b>22</b> Printing and publications				
	<b>23</b> Other expenses (attach schedule) See Statement 6	11,852.	4,441.		7,411.
	<b>24</b> Total operating and administrative expenses. Add lines 13 through 23	525,419.	305,744.		219,675.
	<b>25</b> Contributions, gifts, grants paid Part XV	648,500.			648,500.
	<b>26</b> Total expenses and disbursements. Add lines 24 and 25	1,173,919.	305,744.	0.	868,175.
	<b>27</b> Subtract line 26 from line 12:				
	<b>a</b> Excess of revenue over expenses and disbursements	-475,602.			
	<b>b</b> Net investment income (if negative, enter -0-)		322,718.		
	<b>c</b> Adjusted net income (if negative, enter -0-)			0.	

gk

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**Part II Balance Sheets**

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

Beginning of year

End of year

(a) Book Value

(b) Book Value

(c) Fair Market Value

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>ASSETS</b>	1 Cash — non-interest-bearing	189,053.	564,836.	564,836.
	2 Savings and temporary cash investments	881,509.	287,487.	287,487.
	3 Accounts receivable			
	Less allowance for doubtful accounts			
	4 Pledges receivable			
	Less allowance for doubtful accounts			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach sch) 200,000.			
	Less allowance for doubtful accounts	200,000.	200,000.	200,000.
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges	14,341.	16,419.	16,419.
	10a Investments — U.S. and state government obligations (attach schedule)	1,279,267.	1,209,297.	1,223,496.
	b Investments — corporate stock (attach schedule)	10,480,506.	10,019,683.	10,900,248.
	c Investments — corporate bonds (attach schedule)	1,799,770.	2,238,812.	2,588,008.
	11 Investments — land, buildings, and equipment basis			
Less: accumulated depreciation (attach schedule)				
12 Investments — mortgage loans				
13 Investments — other (attach schedule)	539,303.	539,303.	671,503.	
14 Land, buildings, and equipment basis				
Less: accumulated depreciation (attach schedule)				
15 Other assets (describe See Statement 7)	1,040,625.	1,040,624.	1,378,124.	
16 <b>Total assets</b> (to be completed by all filers — see the instructions. Also, see page 1, item I)	16,424,374.	16,116,461.	17,830,121.	
<b>LIABILITIES</b>	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, & other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe See Statement 8)	15,986.	18,604.	
	23 <b>Total liabilities</b> (add lines 17 through 22)	15,986.	18,604.	
<b>NET FUND ASSETS OR FUND BALANCES</b>	<b>Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.</b> <input checked="" type="checkbox"/>			
	24 Unrestricted	16,408,388.	16,097,857.	
	25 Temporarily restricted			
	26 Permanently restricted			
	<b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b> <input type="checkbox"/>			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, building, and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 <b>Total net assets or fund balances</b> (see instructions)	16,408,388.	16,097,857.	
	31 <b>Total liabilities and net assets/fund balances</b> (see instructions)	16,424,374.	16,116,461.	

**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	16,408,388.
2 Enter amount from Part I, line 27a	2	-475,602.
3 Other increases not included in line 2 (itemize)	3	
4 Add lines 1, 2, and 3	4	15,932,786.
5 Decreases not included in line 2 (itemize)	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	15,932,786.

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shares MLC Company)

(b) How acquired  
P — Purchase  
D — Donation(c) Date acquired  
(month, day, year)(d) Date sold  
(month, day, year)

<b>1a</b> See attached details	P		
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

(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)
<b>a</b> 5,650,973.		5,520,984.	129,989.
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(j) Fair Market Value as of 12/31/69	(k) Adjusted basis as of 12/31/69	(l) Excess of column (i) over column (j), if any	
<b>a</b>			129,989.
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> 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 ]	<b>2</b>	129,989.
<b>3</b> 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 ]	<b>3</b>	0.

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

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

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

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

☐ Yes☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (column (b) divided by column (c))
2010	714,124.	16,294,915.	0.043825
2009	939,407.	15,781,302.	0.059527
2008	446,061.	9,831,505.	0.045371
2007	99,759.	2,041,213.	0.048872
2006	111,392.	2,085,402.	0.053415

<b>2</b> Total of line 1, column (d)	<b>2</b>	0.251010
<b>3</b> 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	<b>3</b>	0.050202
<b>4</b> Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	<b>4</b>	16,259,283.
<b>5</b> Multiply line 4 by line 3	<b>5</b>	816,249.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	3,227.
<b>7</b> Add lines 5 and 6	<b>7</b>	819,476.
<b>8</b> Enter qualifying distributions from Part XII, line 4	<b>8</b>	868,175.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

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

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter 'N/A' on line 1 Date of ruling or determination letter: _____ (attach copy of letter if necessary – see instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	3,227.
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	3,227.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	0.
5 <b>Tax based on investment income.</b> Subtract line 4 from line 3 If zero or less, enter -0-		5	3,227.
6 Credits/Payments			
a 2011 estimated tax pmts and 2010 overpayment credited to 2011	6a		
b Exempt foreign organizations – tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	10,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments Add lines 6a through 6d	7	10,000.	
8 Enter any <b>penalty</b> for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	45.	
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	6,728.	
11 Enter the amount of line 10 to be: Credited to 2012 estimated tax <b>6,728.</b> Refunded <b>0.</b>	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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? <i>If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>		X
c Did the foundation file <b>Form 1120-POL</b> for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation <b>\$ 0.</b> (2) On foundation managers <b>\$ 0.</b>		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <b>\$ 0.</b>		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities.</i>		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on <b>Form 990-T</b> for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) <b>CA</b>		
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 <i>General Instruction G</i> ? <i>If 'No,' attach explanation</i>	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses.</i>		X

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>N/A</u>	13	X	
14	The books are in care of <u>John Larkin</u> Telephone no <u>(818) 981-3505</u> Located at <u>13701 Riverside Drive Eighth Floor Sherman O</u> ZIP + 4 <u>91423</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <u>N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>15</u> <u>N/A</u>			
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			X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?		
Organizations relying on a current notice regarding disaster assistance check here <u>N/A</u>	1b	N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If 'Yes,' list the years <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u>		
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. <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u>		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b If 'Yes,' did it have excess business holdings in 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

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**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required** (continued)**5a** During the year did the foundation pay or incur any amount to:

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 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?N/A ☐ Yes ☐ No

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

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b X

If 'Yes' to 6b, file Form 8870

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1 List all officers, directors, trustees, foundation managers and their compensation (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
Kris Bergen c/o Foundation address Sherman Oaks, CA 91423	President 25.00	245,000.	0.	0.
Candice Bergen c/o Foundation address Sherman Oaks, CA 91423	Secretary 1.00	0.	0.	0.
John Larkin 13701 Riverside Drive, Ste 800 Sherman Oaks, CA 91423	Director 8.00	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		
Total number of others receiving over \$50,000 for professional services		0

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

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

	Expenses
1 N/A	
2	
3	
4	

**Part IX-B** Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	
2	
All other program-related investments. See instructions	
3	
Total. Add lines 1 through 3	0.

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

<b>1</b> Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b> Average monthly fair market value of securities	<b>1a</b>	14,683,523.
<b>b</b> Average of monthly cash balances	<b>1b</b>	1,099,860.
<b>c</b> Fair market value of all other assets (see instructions)	<b>1c</b>	723,503.
<b>d</b> Total (add lines 1a, b, and c)	<b>1d</b>	16,506,886.
<b>e</b> Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	0.
<b>2</b> Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0.
<b>3</b> Subtract line 2 from line 1d	<b>3</b>	16,506,886.
<b>4</b> Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	247,603.
<b>5</b> Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	16,259,283.
<b>6</b> Minimum investment return. Enter 5% of line 5	<b>6</b>	812,964.

**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.)

<b>1</b> Minimum investment return from Part X, line 6	<b>1</b>	812,964.
<b>2a</b> Tax on investment income for 2011 from Part VI, line 5	<b>2a</b>	3,227.
<b>b</b> Income tax for 2011 (This does not include the tax from Part VI)	<b>2b</b>	
<b>c</b> Add lines 2a and 2b	<b>2c</b>	3,227.
<b>3</b> Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	809,737.
<b>4</b> Recoveries of amounts treated as qualifying distributions	<b>4</b>	
<b>5</b> Add lines 3 and 4	<b>5</b>	809,737.
<b>6</b> Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b> Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	809,737.

**Part XII Qualifying Distributions** (see instructions)

<b>1</b> Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes.		
<b>a</b> Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26	<b>1a</b>	868,175.
<b>b</b> Program-related investments — total from Part IX-B	<b>1b</b>	
<b>2</b> Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b> Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b> Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b> Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b> Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	868,175.
<b>5</b> 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)	<b>5</b>	3,227.
<b>6</b> Adjusted qualifying distributions. Subtract line 5 from line 4	<b>6</b>	864,948.

**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.

BAA

Form 990-PF (2011)

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

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
<b>1</b> Distributable amount for 2011 from Part XI, line 7				809,737.
<b>2</b> Undistributed income, if any, as of the end of 2011				
<b>a</b> Enter amount for 2010 only			0.	
<b>b</b> Total for prior years 20__, 20__, 20__		0.		
<b>3</b> Excess distributions carryover, if any, to 2011:				
<b>a</b> From 2006				
<b>b</b> From 2007				
<b>c</b> From 2008				
<b>d</b> From 2009	28,579.			
<b>e</b> From 2010				
<b>f</b> Total of lines 3a through e	28,579.			
<b>4</b> Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 868,175.				
<b>a</b> Applied to 2010, but not more than line 2a			0.	
<b>b</b> Applied to undistributed income of prior years (Election required — see instructions)		0.		
<b>c</b> Treated as distributions out of corpus (Election required — see instructions)	0.			
<b>d</b> Applied to 2011 distributable amount				809,737.
<b>e</b> Remaining amount distributed out of corpus	58,438.			
<b>5</b> Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a) )	0.			0.
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e. Subtract line 5	87,017.			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b		0.		
<b>c</b> 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.		
<b>d</b> Subtract line 6c from line 6b Taxable amount — see instructions		0.		
<b>e</b> Undistributed income for 2010. Subtract line 4a from line 2a Taxable amount — see instructions			0.	
<b>f</b> Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				0.
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
<b>8</b> Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions)	0.			
<b>9</b> Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	87,017.			
<b>10</b> Analysis of line 9.				
<b>a</b> Excess from 2007				
<b>b</b> Excess from 2008				
<b>c</b> Excess from 2009	28,579.			
<b>d</b> Excess from 2010				
<b>e</b> Excess from 2011	58,438.			

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

N/A

**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 foundation is a private operating foundation described in section ☐ 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

**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 instructions.)

## 1 Information Regarding Foundation Managers:

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2).)

None

**b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

None

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc, Programs:**

Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc., (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

**a** The name, address, and telephone number of the person to whom applications should be addressed

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

**c** Any submission deadlines.

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

**Part XV** Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a</b> Paid during the year See list attached	None	Char	Public Charity	648,500.
<b>Total</b>			<b>3a</b>	648,500.
<b>b</b> Approved for future payment				
<b>Total</b>			<b>3b</b>	





Bergen Foundation

95-6044540

**Statement 1**  
**Form 990-PF, Part I, Line 11**  
**Other Income**

	(a) Revenue per Books	(b) Net Investment Income	(c) Adjusted Net Income
Partnership income	\$ 59,855.		
Royalty	10,000.		
Total	<u>\$ 69,855.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

**Statement 2**  
**Form 990-PF, Part I, Line 16a**  
**Legal Fees**

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Legal	\$ 2,724.			\$ 2,724.
Total	<u>\$ 2,724.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 2,724.</u>

**Statement 3**  
**Form 990-PF, Part I, Line 16b**  
**Accounting Fees**

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Accounting	\$ 82,600.	\$ 41,300.		\$ 41,300.
Total	<u>\$ 82,600.</u>	<u>\$ 41,300.</u>	<u>\$ 0.</u>	<u>\$ 41,300.</u>

**Statement 4**  
**Form 990-PF, Part I, Line 16c**  
**Other Professional Fees**

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Consulting re: royalty	\$ 750.	\$ 750.		
Investment advisor	161,253.	161,253.		
Total	<u>\$ 162,003.</u>	<u>\$ 162,003.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

Bergen Foundation

95-6044540

**Statement 5**  
**Form 990-PF, Part I, Line 18**  
**Taxes**

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Calif tax.	\$ 10.			\$ 10.
Excise tax	9,515.			9,515.
Fee	124.			124.
Total	<u>\$ 9,649.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 9,649.</u>

**Statement 6**  
**Form 990-PF, Part I, Line 23**  
**Other Expenses**

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Office exp	\$ 267.	\$ 133.		\$ 134.
Payroll taxes	10,771.	4,308.		6,463.
Storage	814.			814.
Total	<u>\$ 11,852.</u>	<u>\$ 4,441.</u>	<u>\$ 0.</u>	<u>\$ 7,411.</u>

**Statement 7**  
**Form 990-PF, Part II, Line 15**  
**Other Assets**

	Book Value	Fair Market Value
Other memorabilia	\$ 79,500.	\$ 417,000.
Ventriloquist figures	961,124.	961,124.
Total	<u>\$ 1,040,624.</u>	<u>\$ 1,378,124.</u>

**Statement 8**  
**Form 990-PF, Part II, Line 22**  
**Other Liabilities**

Payroll taxes payable	\$ 18,603.
Rounding	1.
Total	<u>\$ 18,604.</u>



2011

## Federal Supporting Detail

Page: 1

Client 14955

Bergen Foundation

95-6044540

2/21/14

12 01PM

**Other Income Producing Activities**  
**Dividends/interest from securities.**

Dividends, including cap gain div

	\$	366,185.
Total	\$	<u>366,185.</u>

**Balance Sheet**  
**Other (Form 990-PF)[O]**Partnerships  
Rights

	\$	523,503.
		15,800.
Total	\$	<u>539,303.</u>

**FMV of Assets (990-PF)**  
**Net other notes and loans receivable [O]**

Note receivable, secured, 12% interest

	\$	200,000.
Total	\$	<u>200,000.</u>

**FMV of Assets (990-PF)**  
**Other [O]**Partnerships  
Rights

	\$	523,503.
		148,000.
Total	\$	<u>671,503.</u>

**Bergen Foundation****95-6044540****Attachment to Form 990-PF and California Form 199 for Fiscal Year Ended 11/30/12****Part XV, Supplementary Information**

The Foundation does not solicit any applications. Instead, its President and Board select charitable and other qualifying institutions engaged in medical research, education and other humanitarian activities.

However, in the event that applications are received, they will not be considered unless they are made in writing and include documentary evidence that the applying institution or organization's activities are confined to those listed in the preceding paragraph. Applications should include a detailed description of the applicant's history, activities, and programs.

**PART XV, Grants and Contributions Paid During the Year**

Academy of Television Arts & Sciences Foundation 5220 Lankershim Boulevard North Hollywood, CA 91601	5,000
ACT Today 19019 Ventura Blvd., Suite 200 Tarzana, CA 91356	2,500
American Heart Association 816 So. Figueroa Street Los Angeles, CA 90017	5,000
American Red Cross 11355 Ohio Avenue Los Angeles, CA 90025	40,000
Animal Rescue Fund P.O. Box 901 Waincott, NY 11975	5,000
The ARC 1825 k Street, Suite 12000 Washington, DC 20006	5,000
ASPCA P.O. BOX 96929 Washington, DC 20090	10,000
Blind Children's Center 4120 Marathon Street Los Angeles, CA 90029	5,000
The Bowery Mission 132 Madison Avenue New York, NY 10016	10,000

**Part XV, Grants and Contributions Paid During the Year**  
**(Continued)**

Boys Republic	1,000
3493 Grand Avenue	
Chino Hills, CA 91709-9989	
Canine Companies	10,000
P.O. Box 446	
Santa Rosa, CA 95402	
Children's Hospital of Los Angeles	50,000
Dept 7924	
Los Angeles, CA 90084-7924	
Chimp Haven	10,000
13600 Chimpanzee Place	
Keithville, LA 71047	
City Harvest	20,000
575 8th Avenue, 4th Floor	
New York, NY 10018	
Coalition For The Homeless	50,000
129 Fulton Street	
New York, NY 10038	
Daniel's Music Foundation	2,500
1641 3rd Avenue #21A	
New York, NY 10128	
Delta Society	5,000
875 124th Avenue NE, Suite 101	
Bellevue, WA 98005-2531	
Doctor's Without Borders	30,000
P.O. Box 5030	
Hagerstown, MD 21741	
Flying Kites Kenya	2,500
604 Thames Street	
Newport, RI 02840	
The Fisher House Foundation	25,000
111 Rockville Drive, Suite 420	
Rockville, MD 20850	
The Fulfillment Fund	2,500
6100 Wilshire Blvd., Suite 600	
Los Angeles, CA 90048	
God's Love We Deliver	5,000
166 Avenue of the Americas	
New York, NY 10013	
Guide Dogs for the Blind	10,000
P.O. Box 151200	
San Rafael, CA 94915-1200	

**Part XV, Grants and Paid Contributions Paid During the Year**  
**(Continued)**

International Rescue Committee 122 East 42nd Street New York, NY 10168	10,000
Kabbalah Centre 1062 South Roberston Boulevard Los Angeles, CA 90035	30,000
KCA 45 Main Street, Suite 720 Brooklyn, NY 11201	20,000
The Lange Foundation 2106 S. Sepulveda Blvd. Los Angeles, CA 90025	1,000
The Leukemia and Lymphoma Society - Team In Training 1311 Mamaroneck Avenue, Suite 300 White Plains, NY 10605	3,500
Los Angeles Mission PO Box 55900 Los Angeles, CA 90055	5,000
Make - A - Wish 4742 N. 24th Street Suite 400 Phoenix, AZ 85016 - 4862	2,500
Meals on Wheels of West Los Angeles 900 Hilgard Avenue Los Angeles, CA 90024	10,000
Motion Picture and Television Fund Foundation 22212 Ventura Boulevard, Suite 300 Woodland Hills, CA 91364-9952	5,000
Museum of Broadcast Communications 400 North State Street, Suite 240 Chicago, IL 60601-4624	45,000
New Yorkers For Children 450 Seventh Avenue, Suite 403 New York, NY 10123	5,000
NY Times Neediest Cases Fund 4 Chase Metro Tech Center, 7th Floor Brooklyn, NY 11245	10,000
Ocean Futures Society 325 Chapala Street Santa Barbara, CA 93101	110,000
1 % For The Planet P.O. Box 650 Waitsfield, VT 05673	5,000

**Part XV, Grants and Paid Contributions Paid During the Year**  
**(Continued)**

Partners In Health	5,000
888 Commonwealth Avenue, 3rd Floor	
Boston, MA 02215	
Research to Prevent Blindness	3,000
645 Madison Avenue	
New York, NY 10022-1010	
Room To Read	5,000
111 Sutter St., 16th Floor	
San Francisco, CA 94104	
Salvation Army	5,000
180 E. Ocean Blvd. Suite 500	
Long Beach, CA 90802	
St. John's Golf Classic	2,000
1328 22nd Street	
Santa Monica, CA 90404	
St. Vincent Senior Citizen Nutrition Program	1,000
c/o St. Vincent Foundation	
2222 Ocean View Avenue	
Los Angeles, CA 90057-2788	
United Cerebral Palsy of Los Angeles	10,000
6430 Independence Avenue	
Woodland Hills, CA 91367	
USA For UNHCR	25,000
1775 K Street N.W., Suite 290	
Washington, DC 20006	
USO	5,000
P.O. Box 96322	
Washington, DC 20090-6322	
Volunteers Of America	5,000
3600 Wilshire Boulevard, Room 1500	
Los Angeles, CA 90010	
The Water Buffalo	2,500
1547 S. Oakhurst Drive	
Los Angeles, CA 90035	
Watts / Willowbrook Boys and Girls Club	5,000
1339 East 120th Street	
Los Angeles, CA 90059	
Youth Lifeline America	2,000
6614 Clayton Road, Suite 370	
St. Louis, MO 63117	

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**648,500**

# **Bergen Foundation**

## **Stock and Bond Transactions**

Fiscal year ended November 30, 2012

<u>Name</u>	<u>Acquired</u>	<u>Sale date</u>	<u>Proceeds</u>	<u>Shares</u>	<u>Basis</u>	<u>Gain/Loss</u>
Anglogold Ashanti LTD	08/12/2009	03/01/2012	38,268.30	900.000	32,416.77	5,851.53
Anglogold Ashanti LTD	08/12/2009	05/04/2012	43,303.58	1,300.000	46,824.23	(3,520.65)
Bank of America	08/12/2009	03/01/2012	23,410.98	2,900.000	46,247.56	(22,836.58)
Bank of America	08/12/2009	05/04/2012	7,812.42	1,000.000	15,947.44	(8,135.02)
Bank of America	11/03/2009	05/04/2012	4,687.45	600.000	8,800.56	(4,113.11)
Bank of America	05/07/2010	05/04/2012	8,593.67	1,100.000	18,050.78	(9,457.11)
Bank of America	08/12/2009	05/04/2012	7,812.42	1,000.000	15,947.44	(8,135.02)
Barrick Gold 2.9% 5/30/2016	10/13/2011	12/27/2011	10,190.00	10,000.000	10,115.78	74.22
Barrick Gold 2.9% 5/30/2016	10/13/2011	12/27/2011	91,836.00	90,000.000	91,041.98	794.02
Barrick Gold 2.9% 5/30/2016	11/03/2011	12/27/2011	203,800.00	200,000.000	208,643.59	(4,843.59)
Bear Stearns	08/28/2009	02/28/2012	221,308.80	200,000.000	206,458.89	14,849.91
BP, PLC	03/11/2011	03/01/2012	33,440.42	700.000	31,667.79	1,772.63
BP, PLC	08/05/2011	05/04/2012	20,511.94	500.000	20,454.20	57.74
BP, PLC	03/11/2011	05/04/2012	36,921.49	900.000	40,715.73	(3,794.24)
Carefusion	09/11/2009	03/01/2012	22,952.01	900.000	17,531.95	5,420.06
Carefusion	09/11/2009	05/04/2012	56,387.72	2,100.000	40,907.89	15,479.83
Caremark 6.125% notes	10/27/2010	02/15/2012	207,814.25	175,000.000	206,472.00	1,342.25
Caterpillar, Inc. 3.9% 5/27/2021	05/24/2011	06/25/2012	222,920.00	200,000.000	199,371.49	23,548.51
Champlain Small	09/29/2009	03/02/2012	44,308.60	3,020.000	34,552.40	9,756.20
Citigroup	01/26/2010	03/01/2012	44,215.97	1,300.000	42,250.00	1,965.97
Citigroup	01/26/2010	05/04/2012	31,641.89	1,000.000	32,500.00	(858.11)
Devon Energy	10/02/2006	01/10/2012	32,970.81	500.000	33,264.05	(293.24)
Devon Energy	10/02/2006	03/01/2012	14,778.13	200.000	12,459.00	2,319.13
Devon Energy	10/02/2006	05/04/2012	6,464.28	100.000	6,229.50	234.78
Devon Energy	11/03/2009	05/04/2012	32,321.37	500.000	33,264.05	(942.68)
Devon Energy	var	05/04/2012	38,785.65	600.000	39,493.55	(707.90)
Edgewood Growth	12/14/2010	03/02/2012	124,096.12	9,430.298	106,864.36	17,231.76
Edgewood Growth	08/30/2011	03/02/2012	345,690.88	26,269.702	300,025.00	45,665.88
Excelis	05/23/2011	05/04/2012	10,674.66	900.000	11,898.98	(1,224.32)

**Bergen Foundation**  
**Stock and Bond Transactions**

Fiscal year ended November 30, 2012

<u>Name</u>	<u>Acquired</u>	<u>Sale date</u>	<u>Proceeds</u>	<u>Shares</u>	<u>Basis</u>	<u>Gain/Loss</u>
Excelis	08/05/2011	05/04/2012	7,116.44	600.000	6,832.36	284.08
Excelis Inc	11/07/2011	05/04/2012	42,698.64	3,600.000	39,600.00	3,098.64
General Electric	08/12/2009	03/01/2012	55,310.41	2,900.000	41,064.00	14,246.41
General Electric	08/12/2009	05/04/2012	29,088.40	1,500.000	21,240.00	7,848.40
General Electric	11/03/2009	05/04/2012	25,209.94	1,300.000	18,652.79	6,557.15
ITT Corp	08/05/2011	05/04/2012	6,642.12	300.000	5,629.95	1,012.17
ITT Corp	05/23/2011	05/04/2012	9,963.18	450.000	9,804.90	158.28
JP Morgan High	08/25/2011	11/28/2012	160,106.13	10,534.052	215,025.00	(54,918.87)
JP Morgan High B	02/09/2011	11/28/2012	189,135.29	12,444.002	250,025.00	(60,889.71)
Madison Square Garden	02/11/2010	05/04/2012	52,710.91	1,400.000	24,489.31	28,221.60
Manning & Napier	12/14/2010	03/02/2012	357,745.70	46,890.200	409,359.43	(51,613.73)
Mathews Asian	08/05/2011	03/02/2012	95,885.00	5,750.000	99,212.30	(3,327.30)
Mathews Asian	08/05/2011	11/28/2012	856.44	47.101	812.70	43.74
Mathews Asian Gr	08/25/2011	11/28/2012	64,420.66	3,542.899	59,459.76	4,960.90
McDermott International	11/09/2011	05/04/2012	51,859.47	5,200.000	58,558.24	(6,698.77)
Motorola Solutions	08/05/2011	05/09/2012	85,690.32	1,700.000	71,128.68	14,561.64
Mylan	08/12/2009	01/24/2012	36,211.34	1,700.000	22,894.54	13,316.80
Mylan	08/12/2009	03/01/2012	16,510.18	700.000	9,427.16	7,083.02
Mylan	08/12/2009	04/05/2012	20,251.34	900.000	12,120.64	8,130.70
Mylan	08/12/2009	05/09/2012	21,001.32	1,000.000	13,467.38	7,533.94
Newmont Mining	08/05/2011	05/04/2012	27,751.36	600.000	33,072.54	(5,321.18)
Newmont Mining	08/12/2009	05/04/2012	28,630.15	619.000	25,173.73	3,456.42
Newmont Mining	10/02/2006	03/01/2012	47,704.74	800.000	34,580.00	13,124.74
Newmont Mining	08/12/2009	05/04/2012	26,872.56	581.000	25,113.73	1,758.83
Pimco Developing	02/09/2011	06/25/2012	356,674.06	35,669.906	380,620.03	(23,945.97)
Plains Exploration	05/02/2011	02/22/2012	83,697.48	1,900.000	71,716.83	11,980.65
QEP Res Inc	08/24/2010	03/01/2012	16,876.69	500.000	15,304.84	1,571.85
QEP Res Inc	08/24/2010	05/04/2012	47,813.48	1,600.000	48,975.48	(1,162.00)
Textron	08/12/2009	01/19/2012	96,150.03	4,400.000	64,284.00	31,866.03
US Treasury Note	06/16/2010	02/16/2012	228,781.25	200,000.000	203,676.96	25,104.29
US Treasury Note	11/10/2010	02/23/2012	106,906.25	100,000.000	99,130.86	7,775.39

**Bergen Foundation****Stock and Bond Transactions**

Fiscal year ended November 30, 2012

<u>Name</u>	<u>Acquired</u>	<u>Sale date</u>	<u>Proceeds</u>	<u>Shares</u>	<u>Basis</u>	<u>Gain/Loss</u>
US Treasury Note	11/10/2010	03/28/2012	158,138.67	150,000.000	148,696.29	9,442.38
US Treasury Note 1.375% 9/15/12	06/16/2010	02/16/2012	228,781.25	200,000.000	200,000.00	28,781.25
Vaughn Nelson	09/22/2009	03/02/2012	74,636.80	4,820.000	60,256.27	14,380.53
Wells Fargo	03/24/2010	03/22/2012	160,141.50	7,261.411	149,888.00	10,253.50
Xylem	05/23/2011	05/09/2012	24,066.54	900.000	29,496.58	(5,430.04)
Xylem	08/05/2011	05/09/2012	16,044.36	600.000	16,936.85	(892.49)
Sealed Air Corp	02/16/2012	05/09/2012	55,131.64	3,100.000	63,896.58	(8,764.94)
American Intl Group	02/22/2012	05/04/2012	71,949.16	2,200.000	60,453.58	11,495.58
Getty Realty	03/23/2012	05/04/2012	48,347.44	3,100.000	45,529.70	2,817.74
Caterpillar 2.6% Sr Notes	06/25/2012	11/14/2012	229,545.00	225,000.000	225,765.99	3,779.01
Adjust basis of bonds sold					19,194.09	(19,194.09)
			<u>5,450,973.45</u>		<u>5,320,984.03</u>	<u>129,989.42</u>



**Application for Extension of Time To File an  
Exempt Organization Return**

OMB No 1545-1709

Department of the Treasury  
Internal Revenue Service► **File a separate application for each return.**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile) and click on *e-file for Charities & Nonprofits*

**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed).A corporation required to file Form 990-T and requesting an automatic 6-month extension – check this box and complete Part I only ☐*All other corporations (including 1120-C filers), partnerships, REMICS, and trusts must use Form 7004 to request an extension of time to file income tax returns.***Enter filer's identifying number, see instructions**

<b>Type or print</b>  File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	<b>Bergen Foundation</b>	<input checked="" type="checkbox"/> <b>95-6044540</b>
	Number, street, and room or suite number. If a P.O. box, see instructions	Social security number (SSN)
	<b>13701 Riverside Drive #800</b>	<input type="checkbox"/>
	City, town or post office, state, and ZIP code. For a foreign address, see instructions	
	<b>Sherman Oaks, CA 91423</b>	

Enter the Return code for the return that this application is for (file a separate application for each return)

**04**

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	01	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (section 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ► John Larkin

Telephone No. ► (818) 981-3505

FAX No. ►

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 7/15, 20 13, to file the exempt organization return for the organization named above. The extension is for the organization's return for
- ☐ calendar year 20 \_\_\_\_ or
  - ☒ tax year beginning 12/01, 20 11, and ending 11/30, 20 12

- 2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

<b>3a</b> If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	<b>3a</b>	\$ 10,000.
<b>b</b> If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	<b>3b</b>	\$ 10,000.
<b>c Balance due.</b> Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	<b>3c</b>	\$ 0.

**Caution.** If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

**BAA For Paperwork Reduction Act Notice, see Instructions.**Form **8868** (Rev 1-2012)

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1)

**Part II: Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

Enter filer's identifying number, see instructions

Type or print  File by the extended due date for filing the return See instructions	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	Bergen Foundation	<input checked="" type="checkbox"/> 95-6044540
	Number, street, and room or suite number If a P O box, see instructions	Social security number (SSN)
	William H. Downs, CPA 13701 Riverside Drive #400	<input type="checkbox"/>
	City, town or post office, state, and ZIP code For a foreign address, see instructions	
	Sherman Oaks, CA 91423	

Enter the Return code for the return that this application is for (file a separate application for each return)

04

Application Is For	Return Code	Application Is For	Return Code
Form 990	01		
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	01	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (section 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

**STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.**

- The books are in care of Telephone No \_\_\_\_\_ FAX No \_\_\_\_\_
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 4 I request an additional 3-month extension of time until \_\_\_\_\_, 20\_\_
- 5 For calendar year \_\_\_\_\_, or other tax year beginning \_\_\_\_\_, 20\_\_, and ending \_\_\_\_\_, 20\_\_
- 6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
- ☐ Change in accounting period
- 7 State in detail why you need the extension \_\_\_\_\_

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions	8a \$
8b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	8b \$
8c Balance due. Subtract line 8b from line 8a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions	8c \$

**Signature and Verification must be completed for Part II only.**

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form

Signature  Title  Director Date