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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

2012

Open to Public Inspection

For calendar year 2012, or tax year beginning 01-01-2012 , and ending 12-31-2012

Name of foundation FRANK AND LYDIA BERGEN FOUNDATION		A Employer identification number 22-6359304	
Number and street (or P O box number if mail is not delivered to street address) 1525 W WT HARRIS BLVD D1114-044		B Telephone number (see instructions) (336) 747-8203	
City or town, state, and ZIP code CHARLOTTE, NC 28288		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input checked="" type="checkbox"/> \$ 9,317,513		J Accounting method <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) <input type="checkbox"/> (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)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	29	29		
	4 Dividends and interest from securities.	213,842	210,235		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	213,040			
	b Gross sales price for all assets on line 6a <u>3,754,956</u>				
	7 Capital gain net income (from Part IV , line 2)		213,040		
	8 Net short-term capital gain			0	
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	9,594			
	12 Total. Add lines 1 through 11	436,505	423,304		
	13 Compensation of officers, directors, trustees, etc	93,397	70,048		23,349
	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)	2,850	0	0	2,850
	c Other professional fees (attach schedule)				0
	17 Interest				0
	18 Taxes (attach schedule) (see instructions)	2,393	2,393		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 Total operating and administrative expenses. Add lines 13 through 23	98,640	72,441	0	26,199
	25 Contributions, gifts, grants paid	437,850			437,850
	26 Total expenses and disbursements. Add lines 24 and 25	536,490	72,441	0	464,049
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-99,985			
	b Net investment income (if negative, enter -0-)		350,863		
	c Adjusted net income (if negative, enter -0-) . . .			0	

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	362,444	391,193	391,193
	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)	5,381,615	5,128,319	5,576,178
	c	Investments—corporate bonds (attach schedule).	3,107,813		
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)		3,210,047	3,350,142
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
Liabilities	15	Other assets (describe ▶ _____)			
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	8,851,872	8,729,559	9,317,513
	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	Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	8,851,872	8,729,559	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see page 17 of the instructions)	8,851,872	8,729,559	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	8,851,872	8,729,559	

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	8,851,872
2	Enter amount from Part I, line 27a	2	-99,985
3	Other increases not included in line 2 (itemize) ▶ _____	3	13,035
4	Add lines 1, 2, and 3	4	8,764,922
5	Decreases not included in line 2 (itemize) ▶ _____	5	35,363
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	8,729,559

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	213,040
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

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))
2011	464,610	9,308,960	0 04991
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

2	Total of line 1, column (d).	2	0 242865
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 048573
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5.	4	9,074,417
5	Multiply line 4 by line 3.	5	440,772
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	3,509
7	Add lines 5 and 6.	7	444,281
8	Enter qualifying distributions from Part XII, line 4.	8	464,049

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 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	3,509
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	3,509
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	3,509
6		Credits/Payments			
a		2012 estimated tax payments and 2011 overpayment credited to 2012	6a	3,428	
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	3,428
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	81
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10	
11		Enter the amount of line 10 to be Credited to 2013 estimated tax <input checked="" type="checkbox"/>	Refunded <input type="checkbox"/>	11	0

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 checked="" type="checkbox"/> \$ _____ (2) On foundation managers <input checked="" type="checkbox"/> \$ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" 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 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 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? 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 instructions).	11		No
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		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 2012, 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		No
See 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?			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?			
	(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)?			
	(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).			
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)?	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 2012?	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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012?			
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		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			
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 2012 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 2012.).	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 2012?	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 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 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	
	Organizations relying on a current notice regarding disaster assistance check here.	<input checked="" type="checkbox"/>		
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 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	93,397		
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

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

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

Total. Add lines 1 through 3.

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	8,931,472
b	Average of monthly cash balances.	1b	281,134
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	9,212,606
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	9,212,606
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	138,189
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	9,074,417
6	Minimum investment return. Enter 5% of line 5.	6	453,721

Part XI

Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6.	1	453,721
2a	Tax on investment income for 2012 from Part VI, line 5.	2a	3,509
b	Income tax for 2012 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	3,509
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	450,212
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	450,212
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	450,212

Part XII

Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	464,049
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	464,049
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	3,509
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	460,540
Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years			

Part XIII

Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				450,212
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only.			31,389	
b Total for prior years 2010 , 20__ , 20__		0		
3 Excess distributions carryover, if any, to 2012				
a From 2007.				0
b From 2008.				0
c From 2009.				0
d From 2010.				0
e From 2011.				0
f Total of lines 3a through e.	0			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 464,049				
a Applied to 2011, but not more than line 2a			31,389	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2012 distributable amount.				432,660
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2012 (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 instructions		0		
e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013				17,552
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).	0			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions). . .	0			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	0			
10 Analysis of line 9				
a Excess from 2008. . . .				0
b Excess from 2009. . . .				0
c Excess from 2010. . . .				0
d Excess from 2011. . . .				0
e Excess from 2012. . . .				0

Part XIV

Private Operating Foundations (see 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 2012, 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) 2012	(b) 2011	(c) 2010	(d) 2009	
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))

b

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

2

Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

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

a

The name, address, and telephone number or e-mail of the person to whom applications should be addressed

Wells Fargo Philanthropic Services
1 W 4th Street 6th Floor
WinstonSalem, NJ 27101
(855) 739-2920
grantadministration@wellsfargo.com

b

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

Online application at www.wellsfargo.com/privatefoundations/bergen

c

Any submission deadlines

April 10 or August15

d

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

Preference in aiding students of music obtain a musical education, aid to organizations that present fine music, and arranging for musical entertainment for the educational and instruction of musical arts

Form 990-PF (2012)

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	437,850
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 instructions)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1	Program service revenue					
a	_____					
b	_____					
c	_____					
d	_____					
e	_____					
f	_____					
g	Fees and contracts from government agencies					
2	Membership dues and assessments. . . .					
3	Interest on savings and temporary cash investments			14	29	
4	Dividends and interest from securities. . . .			14	213,842	
5	Net rental income or (loss) from real estate					
a	Debt-financed property.					
b	Not debt-financed property.					
6	Net rental income or (loss) from personal property					
7	Other investment income.					
8	Gain or (loss) from sales of assets other than inventory			18	213,040	
9	Net income or (loss) from special events					
10	Gross profit or (loss) from sales of inventory. .					
11	Other revenue a 12/11 TAX REFUND			1	9,594	
b	_____					
c	_____					
d	_____					
e	_____					
12	Subtotal Add columns (b), (d), and (e). .				436,505	
13	Total. Add line 12, columns (b), (d), and (e).					436,505

[illegible]

<p>1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?</p> <p>a Transfers from the reporting foundation to a noncharitable exempt organization of</p> <p> (1) Cash.</p> <p> (2) Other assets.</p> <p>b Other transactions</p> <p> (1) Sales of assets to a noncharitable exempt organization.</p> <p> (2) Purchases of assets from a noncharitable exempt organization.</p> <p> (3) Rental of facilities, equipment, or other assets.</p> <p> (4) Reimbursement arrangements.</p> <p> (5) Loans or loan guarantees.</p> <p> (6) Performance of services or membership or fundraising solicitations.</p> <p>c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.</p> <p>d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received</p>		Yes	No
1a(1)			No
1a(2)			No
1b(1)			No
1b(2)			No
1b(3)			No
1b(4)			No
1b(5)			No
1b(6)			No
1c			No

[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 If "Yes," complete the following schedule

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

<p>Sign Here</p> <p>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</p> <p>*****</p> <p>Signature of officer or trustee</p>	<p>2013-04-11</p> <p>Date</p> <p>*****</p> <p>Title</p>
--	---

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

Paid Preparer Use Only	Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed <input type="checkbox"/>	PTIN
	Firm's name <input type="checkbox"/>			Firm's EIN <input type="checkbox"/>	
	Firm's address <input type="checkbox"/>			Phone no <input type="checkbox"/>	

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)
3391 ARTISAN FDS INC INTL FD INVESTOR CLASS		2011-08-26	2012-08-08
3687 CREDIT SUISSE COMM RET ST-I #2156		2011-08-26	2012-08-08
2506 DODGE & COX INT'L STOCK FD # 1048		2006-08-08	2012-08-08
518 DODGE & COX INT'L STOCK FD # 1048		2006-08-08	2012-11-19
16477 488 DODGE & COX INCOME FD COM		2011-08-26	2012-02-10
5978 512 DODGE & COX INCOME FD COM		2006-08-08	2012-02-10
4005 DODGE & COX INCOME FD COM		2012-05-10	2012-06-04
10985 062 DODGE & COX INCOME FD COM		2006-08-08	2012-11-19
19370 938 DODGE & COX INCOME FD COM		2012-08-10	2012-11-19
643 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2012-05-08
878 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2012-06-04
468 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2012-08-08
9780 111 GOLDMAN SACHS GROWTH OPPORTUNITIES INSTITUTIONAL SHARES		2009-03-02	2012-04-10
278 HARBOR FD CAP APPRECIATION		2011-05-25	2012-02-10
317 HARBOR FD CAP APPRECIATION		2011-05-25	2012-08-08
2599 HUSSMAN STRATEGIC GROWTH FD		2011-10-20	2012-06-04
12506 HUSSMAN STRATEGIC GROWTH FD		2011-10-20	2012-08-08
93 ISHARES S&P 500 INDEX FUND		2011-10-20	2012-02-10
951 ISHARES S&P 500 INDEX FUND		2011-10-20	2012-05-08
875 KEELEY SMALL CAP VAL FD CL I #2251		2010-12-28	2012-02-10
687 KEELEY SMALL CAP VAL FD CL I #2251		2010-12-28	2012-08-08
1002 LAUDUS MONDRIAN INTL FI-INST #2940		2011-10-20	2012-06-04
6980 LAUDUS MONDRIAN INTL FI-INST #2940		2011-10-20	2012-08-08
1224 MFS VALUE FUND-CLASS I #893		2011-05-25	2012-08-08
10326 MAINSTAY EP US EQ YLD-IS #1204		2011-10-20	2012-02-10
10521 044 MAINSTAY EP US EQ YLD-IS #1204		2011-10-20	2012-08-08
3252 901 MERGER FD SH BEN INT		2011-10-20	2012-08-08
307 OPPENHEIMER DEVELOPING MKT-Y #788		2011-05-25	2012-11-19
12118 269 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2009-09-01	2012-02-10
15754 731 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2011-08-26	2012-02-10

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)
5209 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2012-05-10	2012-06-04
1229 036 PIMCO FOREIGN BOND FUND-INST		2011-05-25	2012-06-04
1493 964 PIMCO FOREIGN BOND FUND-INST		2012-02-14	2012-06-04
6918 PIMCO FOREIGN BOND FUND-INST		2009-12-01	2012-08-08
2120 842 RIDGEWORTH SEIX HY BD-I #5855		2011-08-26	2012-08-08
4649 RIDGEWORTH SEIX HY BD-I #5855		2011-08-26	2012-11-19
46083 ROWE T PRICE SHORT TERM BD FD INC		2012-02-14	2012-05-08
8669 ROWE T PRICE SHORT TERM BD FD INC		2012-02-14	2012-06-04
62096 ROWE T PRICE SHORT TERM BD FD INC		2012-02-14	2012-08-08
26447 ROWE T PRICE SHORT TERM BD FD INC		2012-02-14	2012-11-19
696 SPDR DJ WILSHIRE INTERNATIONAL REAL		2011-05-23	2012-08-08
294 SPDR DJ WILSHIRE INTERNATIONAL REAL		2011-05-23	2012-11-19
403 TCW GALILEO FDS INC SMALL CAP GROWTH FD		2010-12-28	2012-02-10
749 441 TCW GALILEO FDS INC SMALL CAP GROWTH FD		2012-05-10	2012-11-19
3397 559 TCW GALILEO FDS INC SMALL CAP GROWTH FD		2010-12-28	2012-11-19
4458 183 TCW GALILEO FDS INC SMALL CAP GROWTH FD		2011-08-26	2012-12-19
556 VANGUARD REIT VIPER		2010-12-28	2012-02-10
431 VANGUARD REIT VIPER		2010-12-28	2012-08-08

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)
77,688		69,380	8,308
30,602		34,584	-3,982
78,864		98,987	-20,123
16,959		20,461	-3,502
224,259		221,834	2,425
81,368		74,313	7,055
54,748		54,828	-80
153,022		136,544	16,478
269,837		266,723	3,114
16,872		15,123	1,749
21,774		20,651	1,123
12,650		11,007	1,643
242,156		121,432	120,724
11,409		10,825	584
13,159		12,344	815
31,110		32,825	-1,715
139,192		157,951	-18,759
12,512		11,332	1,180
129,380		115,877	13,503
22,549		22,024	525
17,752		17,292	460
11,794		12,335	-541
82,853		85,924	-3,071
30,624		29,609	1,015
134,445		127,836	6,609
140,772		130,251	10,521
51,689		51,493	196
10,137		10,724	-587
134,634		125,894	8,740
175,035		173,223	1,812

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)
58,705		58,601	104
13,360		12,856	504
16,239		15,926	313
76,444		71,433	5,011
20,869		19,872	997
46,118		43,561	2,557
223,503		223,279	224
41,871		41,958	-87
301,166		300,545	621
128,268		128,003	265
26,978		27,593	-615
11,826		11,656	170
11,864		11,868	-4
19,156		20,475	-1,319
86,842		100,058	-13,216
119,613		126,624	-7,011
34,485		30,666	3,819
28,384		23,316	5,068

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	
			8,308
			-3,982
			-20,123
			-3,502
			2,425
			7,055
			-80
			16,478
			3,114
			1,749
			1,123
			1,643
			120,724
			584
			815
			-1,715
			-18,759
			1,180
			13,503
			525
			460
			-541
			-3,071
			1,015
			6,609
			10,521
			196
			-587
			8,740
			1,812


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	
			104
			504
			313
			5,011
			997
			2,557
			224
			-87
			621
			265
			-615
			170
			-4
			-1,319
			-13,216
			-7,011
			3,819
			5,068

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)				
a <i>Paid during the year</i>				
AMERICAN SYMPHONY ORCHESTRA 333 WEST 39TH ST 1101 NEW YORK,NY 10018	NONE	PUBLIC EXEMPT	VANGUARD SERIES AT CARNEGIE	20,000
HARLEM SCHOOL OF THE ARTS 645 SAINT NICHOLAS AVE NEW YORK,NY 10030	NONE	PUBLIC EXEMPT	MUSIC PROGRAM OVERALL	15,000
NEW YORK CITY BALLET INC 20 LINCOLN CENTER PLAZA NEW YORK,NY 10023	NONE	PUBLIC EXEMPT	ORCHESTRA PERFORMANCES	70,000
DREW UNIVERSITY 36 MADISON AVENUE MADISON,NJ 07940	NONE	PUBLIC EXEMPT	CHAMBER MUSIC SOCIETY OF	10,000
SETON HALL UNIVERSITY 400 SOUTH ORANGE AVENUE SOUTH ORANGE,NJ 07079	NONE	PUBLIC EXEMPT	REBELLION'S INTIMATE VOICE	9,850
NEW JERSEY SYMPHONY ORQUESTRA 60 PARK PLACE 9TH FLOOR NEWARK,NJ 07102	NONE	PUBLIC EXEMPT	MUSIC EDUCATION/COMMUNITY	15,000
MONMOUTH CONSERVATORY OF MUSIC 20 WHITE STREET RED BANK,NJ 07701	NONE	PUBLIC EXEMPT	FREE CLASSICAL CONCERT AND	1,500
NEWARK BOYS CHORUS SCHOOL 1016 BROAD STREET NEWARK,NJ 07102	NONE	PUBLIC EXEMPT	MUSIC COMPONENT OF PROGRAM	30,000
MID-ATLANTIC CENTER FOR THE ARTS PO BOX 340 CAPE MAY,NJ 08204	NONE	PUBLIC EXEMPT	CAPE MAY MUSIC FESTIVAL	10,000
ARTS COUNCIL OF THE MORRIS AREA 14 MAPLE AVENUE SUITE 30 MORRISTOWN,NJ 07960	NONE	PUBLIC EXEMPT	THE GIRALDA MUSIC AND ARTS	5,000
PERKINS CENTER FOR THE ARTS 395 KINGS HIGHWAY MOORESTOWN,NJ 08057	NONE	PUBLIC EXEMPT	SCHOLARSHIPS, CONCERTS, AND	10,000
APPEL FARM ARTS AND MUSIC CENTER 457 SHIRLEY ROAD P O BOX 888 ELMER,NJ 083180888	NONE	PUBLIC EXEMPT	2012 RISING YOUNG ARTIST	15,000
HARMONIUM A CLASSICAL CHORAL P O BOX 1317 MORRISTOWN,NJ 07962	NONE	PUBLIC EXEMPT	CHAMBER ORCHESTRA	5,000
ALL SEASONS CHAMBER PLAYERS 115 ORCHARD ROAD DEMAREST,NJ 07627	NONE	PUBLIC EXEMPT	COMMUNITY CONCERTS PROJECT	5,000
WESTFIELD SYMPHONY ORCHESTRA 224 E BROAD ST SUITE 6 WESTFIELD,NJ 07090	NONE	PUBLIC EXEMPT	MUSIC EDUCATION FOR	12,000

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)				
a Paid during the year				
JUDITH G WARTON MUSIC CENTER 60 LOCUST AVENUE BERKELEY,NJ 07922	NONE	PUBLIC EXEMPT	LIBRARY CONCERT	10,000
BAY-ATLANTIC SYMPHONY 59 E COMMERCE STREET BRIDGETON,NJ 08302	NONE	PUBLIC EXEMPT	EDUCATIONAL	5,000
DISCOVERY ORCHESTRA INC 50 MT BETHEL ROAD PO BOX 4064 WARREN,NJ 070590064	NONE	PUBLIC EXEMPT	VIVALDI'S FOUR SEASONS -	25,000
NEW JERSEY PERFORMING ARTS CENTER 2039 KENNEDY BLVD JERSEY CITY,NJ 07305	NONE	PUBLIC EXEMPT	JEFFREY CAROLLO MUSIC	12,500
SAINT PHILLIPS ACADEMY 342 CENTRAL AVENUE NEWARK,NJ 07102	NONE	PUBLIC EXEMPT	MUSIC PERFORMING ARTS AND	15,000
ACCESS TO ART INC 417 E PACIFIC AVE CAPE MAY COURT HOUSE,NJ 08210	NONE	PUBLIC EXEMPT	SAM MAITIN SUMMER/FALL	5,000
ALGONQUIN ARTS THEATRE 173 MAIN ST MANASQUAN,NJ 08736	NONE	PUBLIC EXEMPT	RISING STARS CLASSICAL	5,000
MASTERWORK CHORUS PO BOX 2167 MORRISTOWN,NJ 07962	NONE	PUBLIC EXEMPT	VOICE UNITE A GERMAN	10,000
MONTCLAIR STATE UNIVERSITY 1 EAST NORMAL AVENUE MONTCLAIR,NJ 07043	NONE	PUBLIC EXEMPT	CALI CONNECT	60,000
SPHINX ORGANIZATION INC 400 RENAISSANCE CENTER STE 2550 DETROIT,MI 48243	NONE	PUBLIC EXEMPT	SPHINX VIRTUOSI AT CARNEGIE	15,000
SYMPHONY INC ONE MARKET ST SUITE 1C CAMDEN,NJ 08102	NONE	PUBLIC EXEMPT	SYMPHONY IN C PROFESSIONAL	10,000
ATLANTIC COAST OPERA FESTIVAL 2028 SOUTH 17TH ST 11 PHILADELPHIA,PA 191452902	NONE	PUBLIC EXEMPT	THEATRE/SET RENTAL	22,000
OPERA NEW JERSEY PO BOX 3151 PRINCETON,NJ 08543	NONE	PUBLIC EXEMPT	DISCOVER OPERA STAGES	10,000
Total  3a				437,850

TY 2012 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	2,850			2,850

TY 2012 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		
261980494 DREYFUS EMG MKT DEBT		
51855Q655 LAUDUS MONDRIAN INTL		
693390700 PIMCO TOTAL RET FD-I		
693390882 PIMCO FOREIGN BD FD		
76628T645 RIDGEWORTH SEIX HY B		
77957P105 T ROWE PRICE SHORT T		

TY 2012 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		
38142Y773 GOLDMAN SACHS #1216		
339128100 JP MORGAN MID CAP VA	179,716	213,872
487300808 KEELEY SMALL CAP VAL	221,005	256,239
784924425 SSGA EMERG MKT #1510		
87234N849 TCW SMALL CAP #4724		
949915565 WELLS FARGO FD #3124		
04315J837 ARTIO INTL FD #1529		
256206103 DODGE & COX INT'L ST	332,446	435,999
922042858 VANGUARD MSCI EMERGI	303,699	296,347
61744J317 MORGAN STANLEY #8001		
722005667 PIMCO COMMOD FD #45		
922908553 VANGUARD REIT VIPER	256,858	312,418
04314H204 ARTISAN INTERNATIONA	367,043	441,134
22544R305 CREDIT SUISSE COMM R	480,561	444,353
25264S833 DIAMOND HILL LONG-SH	213,389	235,499
411511504 HARBOR CAPITAL APRCT	491,208	557,024
448108100 HUSSMAN STRATEGIC GR	203,376	174,762
464287200 ISHARES CORE S & P 5	282,705	325,071
552983694 MFS VALUE FUND-CLASS	377,112	424,592

Name of Stock	End of Year Book Value	End of Year Fair Market Value
56063J302 MAINSTAY EP US EQUIT		
589509108 MERGER FD SH BEN INT	136,178	136,185
683974505 OPPENHEIMER DEVELOPI	280,375	285,746
78463X863 SPDR DJ WILSHIRE INT	292,610	326,665
04314H600 ARTISAN MID CAP FUND	256,053	251,907
367829884 GATEWAY FUND - Y #19	227,440	224,951
464287648 ISHARES RUSSELL 2000	226,545	233,414

TY 2012 Investments - Other Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
256210105 DODGE & COX INCOME F	AT COST	399,481	446,946
261980494 DREYFUS EMG MKT DEBT	AT COST	439,713	465,018
262028855 DRIEHAUS ACTIVE INCO	AT COST	136,459	139,867
51855Q655 LAUDUS MONDRIAN INTL	AT COST	209,746	198,523
693390700 PIMCO TOTAL RET FD-I	AT COST	1,337,555	1,368,055
693390882 PIMCO FOREIGN BD FD	AT COST	190,869	199,331
76628T645 RIDGEWORTH SEIX HY B	AT COST	424,500	460,530
77957P105 T ROWE PRICE SHORT T	AT COST	71,724	71,872

TY 2012 Other Decreases Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Description	Amount
MUTUAL FUND POSTING DATE AFTER TYE	29,895
ROC BASIS ADJUSTMENT	5,467
ROUNDING	1

TY 2012 Other Income Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
12/11 EXCISE TAX REFUND	9,594	0	

TY 2012 Other Increases Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Description	Amount
MUTUAL FUND TAX EFFECTIVE DATE BEFORE TYE	13,035

TY 2012 Taxes Schedule**Name:** FRANK AND LYDIA BERGEN FOUNDATION**EIN:** 22-6359304

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES ON QUALIFIED FOR	1,679	1,679		0
FOREIGN TAXES ON NONQUALIFIED	714	714		0