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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

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▶ Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 01-01-2013 , and ending 12-31-2013

Name of foundation Jim Neuberger and Helen Stambler Neuberger Foundation % c/o Foundation Source		A Employer identification number 13-6066102	
Number and street (or P O box number if mail is not delivered to street address) 55 Walls Drive Suite 3rd Fl		B Telephone number (see instructions) (800) 839-1754	
City or town, state or province, country, and ZIP or foreign postal code Fairfield, CT 06824		C If exemption application is pending, check here ▶ ☐	
G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here ▶ ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16)▶\$ 4,980,183		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐	
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)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	5,000			
	2 Check ▶ ☐ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	4,821	4,821		
	4 Dividends and interest from securities.	72,739	72,739		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	372,792			
	b Gross sales price for all assets on line 6a 1,759,656				
	7 Capital gain net income (from Part IV, line 2) . . .		372,792		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
Operating and Administrative Expenses	11 Other income (attach schedule)	531	531		
	12 Total. Add lines 1 through 11	455,883	450,883		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)	35,156	35,156		
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	12,820	3,220		
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	24,170	229		23,941
	24 Total operating and administrative expenses. Add lines 13 through 23	72,146	38,605		23,941
	25 Contributions, gifts, grants paid	308,182			308,182
	26 Total expenses and disbursements. Add lines 24 and 25	380,328	38,605		332,123
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	75,555			
	b Net investment income (if negative, enter -0-)		412,278		
	c Adjusted net income (if negative, enter -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	258,569	89,310	89,310
	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 schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)	112,905	 73,220	72,173
	b	Investments—corporate stock (attach schedule)	2,164,125	 2,207,434	3,485,722
	c	Investments—corporate bonds (attach schedule).	1,097,799	 1,338,989	1,332,978
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,633,398	3,708,953	4,980,183	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (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 ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	3,633,398	3,708,953	
	30	Total net assets or fund balances (see page 17 of the instructions)	3,633,398	3,708,953	
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,633,398	3,708,953		

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	3,633,398
2	Enter amount from Part I, line 27a	2	75,555
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	3,708,953
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	3,708,953

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)
1 a Publicly-traded Securities				
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 1,759,656		1,386,864	372,792
b			
c			
d			
e			

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

(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a			372,792
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	372,792
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))
2012	4,863,471	4,484,547	1 084495
2011	1,164,731	11,069,241	0 105222
2010	965,961	13,208,549	0 073131
2009	919,035	12,201,965	0 075319
2008	971,874	15,007,364	0 06476

2 Total of line 1, column (d).	2	1 402927
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 280585
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	4,721,497
5 Multiply line 4 by line 3.	5	1,324,781
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	4,123
7 Add lines 5 and 6.	7	1,328,904
8 Enter qualifying distributions from Part XII, line 4.	8	332,123

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 page 18 of the instructions)		
1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b	1	8,246
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	
3 Add lines 1 and 2.	3	8,246
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	8,246
6 Credits/Payments		
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	8,800
b Exempt foreign organizations—tax withheld at source	6b	
c Tax paid with application for extension of time to file (Form 8868)	6c	
d Backup withholding erroneously withheld	6d	
7 Total credits and payments. Add lines 6a through 6d.	7	8,800
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	554
11 Enter the amount of line 10 to be Credited to 2014 estimated tax 554 Refunded	11	

Part VII-A Statements 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?	1a	Yes	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)? <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>	1b		No
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 \$ _____ (2) On foundation managers \$ _____			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
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>	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? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
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? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) NY _____			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	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 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	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 co Foundation Source Telephone no (800) 839-1754 Located at 501 Silverside Road Suite 123 Wilmington DE ZIP +4 198091377			
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.			
16	At any time during calendar year 2013, 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 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).	Yes ✓ No Yes ✓ No Yes ✓ No Yes ✓ No Yes ✓ No Yes ✓ No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	1b		
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 2013?	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 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?			
b	If "Yes," did it have excess business holdings in 2013 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i>)	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 2013?	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))?	☐ 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		
	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?	☐ 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		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	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
Jim Kaufman	Dir	0		
55 Walls Drive	1 0			
Fairfield, CT 06824				
Jim Neuberger	Pres / Dir	0		
55 Walls Drive	1 0			
Fairfield, CT 06824				
Helen Stambler Neuberger	VP / Dir / Sec	0		
55 Walls Drive	1 0			
Fairfield, CT 06824				
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
Total number of other employees paid over \$50,000.				

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

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions	
3	
Total. Add lines 1 through 3	

Part X

Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see 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	4,626,030
b	Average of monthly cash balances.	1b	167,368
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	4,793,398
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	4,793,398
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	71,901
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,721,497
6	Minimum investment return. Enter 5% of line 5.	6	236,075

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	236,075
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	8,246
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	8,246
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	227,829
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	227,829
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	227,829

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	332,123
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	332,123
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	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	332,123
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 2012	(c) 2012	(d) 2013
1	Distributable amount for 2013 from Part XI, line 7				227,829
2	Undistributed income, if any, as of the end of 2013				
a	Enter amount for 2012 only.				
b	Total for prior years 2011 , 2010 , 2009				
3	Excess distributions carryover, if any, to 2013				
a	From 2008.				222,204
b	From 2009.				310,759
c	From 2010.				317,554
d	From 2011.				621,855
e	From 2012.				4,649,078
f	Total of lines 3a through e.	6,121,450			
4	Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 332,123				
a	Applied to 2012, but not more than line 2a				
b	Applied to undistributed income of prior years (Election required—see instructions).				
c	Treated as distributions out of corpus (Election required—see instructions).				
d	Applied to 2013 distributable amount.				227,829
e	Remaining amount distributed out of corpus	104,294			
5	Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6	Enter the net total of each column as indicated below:				
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5	6,225,744			
b	Prior years' undistributed income Subtract line 4b from line 2b.				
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d	Subtract line 6c from line 6b Taxable amount—see instructions				
e	Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f	Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8	Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . .	222,204			
9	Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	6,003,540			
10	Analysis of line 9				
a	Excess from 2009. . . .				310,759
b	Excess from 2010. . . .				317,554
c	Excess from 2011. . . .				621,855
d	Excess from 2012. . . .				4,649,078
e	Excess from 2013. . . .				104,294

Part XIVPrivate 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 2013, 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) 2013	(b) 2012	(c) 2011	(d) 2010		
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 XVSupplementary 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))

See Additional Data Table

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

Form 990-PF (2013)

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	308,182
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated

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

[illegible]

Form 990PF Part XV Line 1a - 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).

JAMES NEUBERGER
ANN N ACEVES

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				
ACTORS FUND OF AMERICA 729 7TH AVE NEW YORK,NY 10019	N/A	PC	General & Unrestricted	1,000
AMERICAN KIDNEY FUND INC 6110 EXECUTIVE BLVD STE 1010 ROCKVILLE,MD 20852	N/A	PC	General & Unrestricted	500
AMNESTY INTERNATIONAL OF THE USA INC 5 PENN PLZ FL 16 NEW YORK,NY 10001	N/A	PC	General & Unrestricted	500
BANK STREET COLLEGE OF EDUCATION 610 W 112TH ST NEW YORK,NY 10025	N/A	PC	Leadership in Mathematics Education Online Program	25,000
BOYS TOWN JERUSALEM FOUNDATION OF AMERICA INC 1 PENN PLZ STE 6250 NEW YORK,NY 10119	N/A	PC	General & Unrestricted	500
BROADWAY MALL MAINTENANCE FUND INC 2095 BROADWAY STE 403 NEW YORK,NY 10023	N/A	PC	General & Unrestricted	1,500
CAREER TRANSITION FOR DANCERS INC 165 W 46TH ST STE 701 NEW YORK,NY 10036	N/A	PC	28TH ANNIVERSARY JUBILEE Fund	1,200
CAREERS THROUGH CULINARY ARTS PROGRAM INC 250 W 57TH ST STE 2015 NEW YORK,NY 10107	N/A	PC	General & Unrestricted	500
COPLAND HOUSE INC PO BOX 2177 CORTLANDT MANOR,NY 10566	N/A	PC	General & Unrestricted	1,250
CREATIVE CONNECTIONS INC 303 W AVE MATHEWS PARK NORWALK,CT 06850	N/A	PC	General & Unrestricted	500
CYSTIC FIBROSIS FOUNDATION 4929 WILSHIRE BLVD STE 760 LOS ANGELES,CA 90010	N/A	PC	General & Unrestricted	1,000
DOCTORS WITHOUT BORDERS USA INC 333 7TH AVE NEW YORK,NY 10001	N/A	PC	TRIBUTE Fund	500
DOE FUND INC 232 E 84TH ST NEW YORK,NY 10028	N/A	PC	General & Unrestricted	500
ENVIRONMENTAL DEFENSE FUND INCORPORATED 1875 CONNECTICUT AVE NW STE 600 WASHINGTON,DC 20009	N/A	PC	General & Unrestricted	500
ETHICAL CULTURE FIELDSTON SCHOOL 33 CENTRAL PARK W NEW YORK,NY 10023	N/A	PC	Neuberger Family Fund for the Visual and Performing Arts	5,000
Total  3a				308,182

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				
FORTUNE SOCIETY INC 29-76 NORTHERN BLVD LONG ISLAND CITY,NY 11101	N/A	PC	General & Unrestricted	500
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	General & Unrestricted	28,585
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	acquisitions fund	50
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	EDUCATION fund	50
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	EXHIBITIONS fund	100
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	TRIBUTE FUND	200
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	Exhibition Fund	100
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	ROY R NEUBERGER COLLECTION CATALOGUE Fund	50,000
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	TRIBUTE FUND	600
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	African Arts Council to support "Pre-Columbian Remix" exhibition	5,000
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	AFRICAN ARTS COUNCIL Program	1,000
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	CELEBRATING 40 YEARS - 2013 Program	700
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	CELEBRATING 40 YEARS Project	40,000
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	NMA RE-OPENING CELEBRATION Program	5,000
FRIENDS OF THE NEUBERGER MUSEUM INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	PC	ROY R NEUBERGER EXHIBITION PRIZE Initiative	50,000
Total  3a				308,182

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				
HUNTER COLLEGE FOUNDATION INC 695 PARK AVE E1313 NEWYORK,NY 10065	N/A	PC	ZABAR ART LIBRARY fund	1,000
INNOCENCE PROJECT INC 40 WORTH ST RM 701 NEWYORK,NY 10013	N/A	PC	General & Unrestricted	1,000
JEWISH MUSEUM 1109 5TH AVE NEWYORK,NY 10128	N/A	PC	General & Unrestricted	1,000
JEWISH WOMENS FOUNDATION OF NEWYORK INC 130 E 59TH ST NEWYORK,NY 10022	N/A	PC	General & Unrestricted	1,000
LUNGEVITY FOUNDATION 218 S WABASH AVE STE 540 CHICAGO,IL 60604	N/A	PC	CELEBRATION OF HOPE fund	2,100
MIAMI ART MUSEUM OF DADE COUNTY ASSOCIATION INC 1103 BISCAYNE BLVD MIAMI,FL 33132	N/A	PC	EXHIITIONS Fund	2,500
MIDORI FOUNDATION INC 352 7TH AVE RM 301 NEWYORK,NY 10001	N/A	PC	General & Unrestricted	500
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	General & Unrestricted	21,115
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	SHANGHAI PROGRAM	1,000
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	China trip fund	5,000
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	EVENT OF THE YEAR NEW CHOREOGRAPHY Program	500
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	JACQUES' ART NEST Program	200
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	NDI-CHINA PRO gram	7,400
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	TEXT TO PLEDGE GALA 2013 Program	200
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEWYORK,NY 10039	N/A	PC	Adopt-A-School Initiative	25,000
Total  3a				308,182

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				
NATIONAL DANCE INSTITUTE INC 217 W 147TH ST NEW YORK,NY 10039	N/A	PC	The Big Easy Initiative	3,400
NEW VENTURE FUND 1201 CONNECTICUT AVE NW WASHINGTON,DC 20036	N/A	PC	ORGANIZE ORG Initiative	1,000
NEW YORK PUBLIC RADIO 160 VARICK ST NEW YORK,NY 10013	N/A	PC	General & Unrestricted	1,000
NY SOCIETY FOR pREVENTION OF CRUELTY to children 161 WILLIAM ST NO 9TH NEW YORK,NY 10038	N/A	PC	General & Unrestricted	500
OREGON COLLEGE OF ART AND CRAFT 8245 SW BARNES RD PORTLAND,OR 97225	N/A	PC	General & Unrestricted	1,000
PAGUS INC 619 W WASHINGTON ST NORRISTOWN,PA 19401	N/A	PC	General & Unrestricted	500
PATHWAYS TO HOUSING NY INC 186 E 123RD ST FL 3 NEW YORK,NY 10035	N/A	PC	General & Unrestricted	1,000
PERFORMING ARTS CENTER FOUNDATION INC 735 ANDERSON HILL RD PURCHASE,NY 10577	N/A	SO I	General & Unrestricted	1,500
PLANNED PARENTHOOD FEDERATION OF AMERICA INC 434 W 33RD ST 11TH FL NEW YORK,NY 10001	N/A	PC	General & Unrestricted	750
POETS HOUSE INC 10 RIVER TER NEW YORK,NY 10282	N/A	PC	General & Unrestricted	1,500
PROJECT BREAD - THE WALK FOR HUNGER INC 145 BORDER ST EAST BOSTON,MA 02128	N/A	PC	Charitable Event	50
PUBLIC CITIZEN FOUNDATION INC 1600 20TH ST NW WASHINGTON,DC 20009	N/A	PC	General & Unrestricted	500
STUDIO MUSEUM IN HARLEM INC 144 W 125TH ST NEW YORK,NY 10027	N/A	PC	General & Unrestricted	500
THE BACHMANN-STRAUSS DYSTONIA & PARKINSON FDN Inc 551 5TH AVE RM 520 NEW YORK,NY 10176	N/A	PC	General & Unrestricted	1,000
THE METROPOLITAN MUSEUM OF ART 1000 5TH AVE NEW YORK,NY 10028	N/A	PC	General & Unrestricted	932
Total  3a				308,182

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>				
THEATRE FOR A NEW AUDIENCE INC 154 CHRISTOPHER ST NEW YORK, NY 10014	N/A	PC	General & Unrestricted	200
THIRTEEN 825 8TH AVE NEW YORK, NY 10019	N/A	PC	General & Unrestricted	1,000
WESTCHESTER JEWISH COUNCIL INC 701 WESTCHESTER AVE STE 203E WHITE PLAINS, NY 10604	N/A	PC	General & Unrestricted	500
Total  3a				308,182

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF. ▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www.irs.gov/form990.	OMB No 1545-0047 2013
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Name of the organization Jim Neuberger and Helen Stambler Neuberger Foundation	Employer identification number 13-6066102
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Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)() (enter number) organization ☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation ☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation ☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer “No” on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization Jim Neuberger and Helen Stambler Neuberger Foundation	Employer identification number 13-6066102
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Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed			
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	Neuberger Jim 37 Riverside Drive Apt 13A New York, NY 10023	\$ 5,000	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization Jim Neuberger and Helen Stambler Neuberger Foundation	Employer identification number 13-6066102
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Part II	Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed		
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____

Name of organization Jim Neuberger and Helen Stambler Neuberger Foundation	Employer identification number 13-6066102
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Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry

For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ▶ \$

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—			
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—			
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—			
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—			
	(e) Transfer of gift		
	Transferee's name, address, and ZIP 4		Relationship of transferor to transferee

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2013 Depreciation Schedule

Name: Jim Neuberger and Helen Stambler Neuberger
Foundation

EIN: 13-6066102

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
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TY 2013 Investments Corporate

Bonds Schedule

Name:

Jim Neuberger and Helen Stambler Neuberger
Foundation

EIN:

13-6066102

Name of Bond	End of Year Book Value	End of Year Fair Market Value
ALCAN INC NT - 5.200% - 01/15/	26,495	25,040
AMERICAN EXPRESS CO SR NT - 7.	30,060	30,789
BANK AMER CORP - 1.84944% - 01	3,000	3,002
BANK OF NOVA SCOTIA 0.68010%	50,000	50,080
BARCLAYS BK PLC - 1.6165% - 01	32,000	32,009
BB&T CORPORATION SR NT - 0.972	31,000	31,055
BELLSOUTH CORP NT - 5.200% - 0	53,432	51,631
BERKSHIRE HATHAWAY INC - 1.157	30,981	31,135
BHP BILLITON FIN USA LTD - 0.7	50,000	50,017
CITIGROUP INC SR NT - 6.375% -	29,921	31,009
COMMONWEALTH BK AUSTRALIA - 1	25,517	25,418
DEERE JOHN CAP CORP MTNS BE -	51,888	51,612
DELL INC - 1.17575% - 04/01/20	31,047	30,875
ENTERGY LOUISIANA LLC BOND - 1	25,695	25,333
EXPRESS SCRIPTS HLDG CO 2.10%	30,685	30,435
FIFTH THIRD BANK BOND 00.00000	50,000	50,132
GE CAPITAL FINANCIAL INC - 1.1	54,999	55,042
GEORGIA POWER COMPANY BOND 0.6	50,000	50,014
GOLDMAN SACHS - 5.350% - 01/15	32,428	32,465
GOLDMAN SACHS BK USA NY 1.00%	50,293	50,152
JPMORGAN CHASE - 4.650% - 06/0	30,936	31,543
JPMORGAN CHASE 3.7% 1/20/15	52,723	51,548
KEY BANK NA BOND 00.72660 11/2	50,000	50,086
LLOYDS TSB BK PLC - 2.76833% -	32,000	32,044
MERCK & CO INC BD - 4.000% - 0	53,460	52,577
METLIFE INC - 2.375% - 02/06/2	30,959	31,056
MORGAN STANLEY SR NT DATED DUE	50,373	50,040
NORTHERN TR CORP SR NT - 4.625	32,638	30,400
ROYAL BANK OF CANADA 0.00% 03/	50,000	50,097
SALLIE MAE BK MURRAY UTAH - 1.	49,950	50,271
TJX COS INC MAKE WHOLE - 4.200	53,523	52,738
UBS AG STAMFORD - 2.250% - 01/	31,986	32,041
VERIZON COMMUNICATIONS INC - 1	31,000	31,039
VODAFONE GROUP PLC 0.675% 02/	25,000	24,988
WESTPAC BKG CORP - 0.000% - 09	25,000	25,265

TY 2013 Investments Corporate
Stock Schedule

Name: Jim Neuberger and Helen Stambler Neuberger
Foundation
EIN: 13-6066102

Name of Stock	End of Year Book Value	End of Year Fair Market Value
AMERICAN EXPRESS CO	35,661	79,389
ANHEUSER BUSCH COS INC	47,482	53,230
ANTERO RESOURCES CORPORATION	58,162	69,784
APPLE INC.	50,729	117,252
BARD C R INC.	66,596	87,061
BRISTOL-MYERS SQUIBB CO	53,892	85,040
CABOT OIL & GAS CORP	31,906	93,024
CENOVUS ENERGY INC	7,111	7,163
CHURCH & DWIGHT COMMON	60,789	99,420
DANAHER CORP	46,492	81,060
DOVER CORP	65,310	94,127
DUNKIN' BRANDS GROUP INC	32,864	53,020
EMC CORP-MASS	89,707	90,540
EOG RESOURCES INC	32,693	83,920
ESTEE LAUDER COMPANIES INC	73,981	101,681
EXPRESS SCRIPTS HOLDING CO.	55,625	77,264
FISERV INC	36,245	105,108
FMC TECHS INC COM	79,114	100,503
GENERAC HOLDING INC	37,934	62,304
INTERNATIONAL BUSINESS MACHINE	29,784	56,271
INTUIT	72,679	89,676
JP MORGAN CHASE & CO	77,454	92,106
L BRANDS INC	51,860	71,128
LENNAR CORP	36,852	89,010
LUXOTTICA GP SPA	40,580	74,140
M&T BANK CORP	66,760	72,763
MOODYS CORP	31,729	39,235
NESTLE S.A.	44,875	95,667
NOVARTIS AG ADR	52,012	74,352
OCCIDENTAL PETROLEUM CORP	29,458	59,438

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ORACLE CORP	26,833	62,173
PFIZER INC.	50,214	77,341
PRAXAIR INC.	49,687	81,269
PRECISION CASTPARTS	48,059	80,790
RANGE RESOURCES CORP DEL	73,582	94,849
ROPER INDUSTRIES	26,626	76,274
SANDISK CORP	71,300	88,175
SCHLUMBERGER LTD	50,184	94,616
SIRONA DENTAL SYSTEMS INC	59,045	87,750
TOLL BROTHERS INC	86,109	98,050
TYCO INTERNATIONAL LTD.	49,888	87,210
WALT DISNEY HOLDINGS CO.	41,970	99,320
WHITEWAVE FOODS COMPANY	77,601	103,229

TY 2013 Investments Government Obligations Schedule

Name: Jim Neuberger and Helen Stambler Neuberger
Foundation

EIN: 13-6066102

US Government Securities - End of Year Book Value:	20,604
US Government Securities - End of Year Fair Market Value:	21,168
State & Local Government Securities - End of Year Book Value:	52,616
State & Local Government Securities - End of Year Fair Market Value:	51,005

TY 2013 Investments - Land Schedule

Name: Jim Neuberger and Helen Stambler Neuberger

Foundation

EIN: 13-6066102

TY 2013 Land, Etc. Schedule

Name: Jim Neuberger and Helen Stambler Neuberger

Foundation

EIN: 13-6066102

TY 2013 Other Expenses Schedule

Name: Jim Neuberger and Helen Stambler Neuberger
Foundation

EIN: 13-6066102

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Administrative Fees	23,556			23,556
Bank Charges	229	229		
Public Disclosure Ad	135			135
State or Local Filing Fees	250			250

TY 2013 Other Income Schedule

Name: Jim Neuberger and Helen Stambler Neuberger
Foundation
EIN: 13-6066102

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Foreign Tax Refund	531	531	

TY 2013 Other Professional Fees Schedule

Name: Jim Neuberger and Helen Stambler Neuberger
Foundation
EIN: 13-6066102

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Investment Management Services	35,156	35,156		

TY 2013 Taxes Schedule

Name: Jim Neuberger and Helen Stambler Neuberger
Foundation

EIN: 13-6066102

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
990-PF EXTENSION FOR 2012	800			
990-PF Estimated Tax for 2013	8,800			
Foreign Tax Paid	3,220	3,220		