Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ **Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.**

▶ **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
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

Room/suite

B Telephone number (see instructions)
(336) 747-8203

City or town, state or province, country, and ZIP or foreign postal code
CHARLOTTE, NC 28262

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 ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)*▶$ 9,792,033

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

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

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

	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	34	34		
	4	Dividends and interest from securities	191,255	186,383		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	225,129			
	b	Gross sales price for all assets on line 6a 3,301,499				
	7	Capital gain net income (from Part IV, line 2)		225,129		
	8	Net short-term capital gain			0	
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	416,418	411,546		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	100,051	75,038		25,013
	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)	1,000	0	0	1,000
	c	Other professional fees (attach schedule)				0
	17	Interest				0
	18	Taxes (attach schedule) (see instructions)	6,354	2,761		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	107,405	77,799	0	26,013
	25	Contributions, gifts, grants paid	440,000			440,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	547,405	77,799	0	466,013
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-130,987			
	b	**Net investment income** (if negative, enter -0-)		333,747		
	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 (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets			
1 Cash—non-interest-bearing			
2 Savings and temporary cash investments	391,193	453,079	453,079
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 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)	5,128,319	4,621,603	5,771,457
c Investments—corporate bonds (attach schedule)		3,534,373	3,567,497
11 Investments—land, buildings, and equipment basis ▶			
Less accumulated depreciation (attach schedule) ▶			
12 Investments—mortgage loans			
13 Investments—other (attach schedule)	3,210,047		0
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)	8,729,559	8,609,055	9,792,033
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	8,729,559	8,609,055	
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)	8,729,559	8,609,055	
31 **Total liabilities and net assets/fund balances** (see page 17 of the instructions)	8,729,559	8,609,055	

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	8,729,559
2	Enter amount from Part I, line 27a	2	-130,987
3	Other increases not included in line 2 (itemize) ▶	3	29,895
4	Add lines 1, 2, and 3	4	8,628,467
5	Decreases not included in line 2 (itemize) ▶	5	19,412
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	8,609,055

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) 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	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	225,129
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	460,540	9,074,417	0 050751
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

2	**Total** of line 1, column (d)	2	0 245257
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 049051
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	9,431,284
5	Multiply line 4 by line 3	5	462,614
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,337
7	Add lines 5 and 6	7	465,951
8	Enter qualifying distributions from Part XII, line 4	8	466,013

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	3,337
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	3,337
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	3,337
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013 — **6a** 3,512		
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	3,512
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached	8	0
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	175
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 175 **Refunded** ▶	11	0

Part VII-A **Statements Regarding Activities**

			Yes	**No**
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		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)?	1b		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 ▶ $ ______ **(2)** On foundation managers ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		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? *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? *If "Yes," attach the statement required by General Instruction T.*	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? *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) ▶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 2013 or the taxable year beginning in 2013 (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			
			Yes	No
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		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? ☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☑ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☑ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	1b		No
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 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? ☐ Yes ☑ No			
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)	2b		No
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☑ No			
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? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)*	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
WELLS FARGO BANK NA 1525 WEST WT HARRIS BLVD CHARLOTTE, NC 28288	TRUSTEE 40	100,051		

2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than $50,000	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
NONE				
Total number of other employees paid over $50,000 ▶				0

Part VIII **Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** ***(continued)***

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

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
NONE		

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

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

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1	
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	9,270,979
b	Average of monthly cash balances		1b	303,929
c	Fair market value of all other assets (see instructions)		1c	0
d	**Total** (add lines 1a, b, and c)		1d	9,574,908
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	9,574,908
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	143,624
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	9,431,284
6	**Minimum investment return.** Enter 5% of line 5		6	471,564

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	471,564
2a	Tax on investment income for 2013 from Part VI, line 5	2a 3,337		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b		
c	Add lines 2a and 2b		2c	3,337
3	Distributable amount before adjustments Subtract line 2c from line 1		3	468,227
4	Recoveries of amounts treated as qualifying distributions		4	0
5	Add lines 3 and 4		5	468,227
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	468,227

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	466,013
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	466,013
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	3,337
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	462,676

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					468,227
2 Undistributed income, if any, as of the end of 2013					
a Enter amount for 2012 only.				17,552	
b Total for prior years 2011 , 20___ , 20___			0		
3 Excess distributions carryover, if any, to 2013					
a From 2008.	0				
b From 2009.	0				
c From 2010.	0				
d From 2011.	0				
e From 2012.	0				
f **Total** of lines 3a through e.		0			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 466,013					
a Applied to 2012, but not more than line 2a				17,552	
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 2013 distributable amount.					448,461
e Remaining amount distributed out of corpus		0			
5 Excess distributions carryover applied to 2013 *(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 2012 Subtract line 4a from line 2a Taxable amount—see instructions				0	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014					19,766
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 2008 not applied on line 5 or line 7 (see instructions) . . .		0			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a		0			
10 Analysis of line 9					
a Excess from 2009. . . .	0				
b Excess from 2010. . . .	0				
c Excess from 2011. . . .	0				
d Excess from 2012. . . .	0				
e Excess from 2013. . . .	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 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)

	Tax year	Prior 3 years			
	(a) 2013	**(b)** 2012	**(c)** 2011	**(d)** 2010	**(e) Total**
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon **a** "Assets" alternative test—enter **(1)** Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . . .					
c "Support" alternative test—enter **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . .					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the organization had $5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:

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

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 address 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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year* See Additional Data Table				
Total . . . . ▶ **3a**				440,000
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions)
1 Program service revenue					
a					
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	34	
4 Dividends and interest from securities. . . .			14	191,255	
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	225,129	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. .					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .				416,418	

13 Total. Add line 12, columns (b), (d), and (e). **13** 416,418

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

******	2014-04-16	******	May the IRS discuss this return with the preparer shown below (see instr)? ☐ Yes ☐ No
Signature of officer or trustee	Date	Title	

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
Firm's name			Firm's EIN	
Firm's address			Phone no	

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)
9174 003 AQR MANAGED FUTURES STR-I #15213		2013-07-12	2013-09-25
1912 ARTISAN FDS INC INTL FD INVESTOR CLASS		2011-08-26	2013-07-10
1139 ARTISAN FDS INC INTL FD INVESTOR CLASS		2011-08-26	2013-09-25
294 739 ARTISAN MID CAP FUND-INS #1333		2012-04-10	2013-09-25
410 261 ARTISAN MID CAP FUND-INS #1333		2013-07-12	2013-09-25
12042 CREDIT SUISSE COMM RET ST-I #2156		2011-08-26	2013-09-25
651 DIAMOND HILL LONG-SHORT FD CL I #11		2011-10-20	2013-02-07
3242 DIAMOND HILL LONG-SHORT FD CL I #11		2011-10-20	2013-07-10
1167 DODGE & COX INT'L STOCK FD # 1048		2006-08-08	2013-07-10
999 DODGE & COX INT'L STOCK FD # 1048		2012-05-10	2013-09-25
2947 DODGE & COX INCOME FD COM		2013-02-11	2013-06-03
7749 DODGE & COX INCOME FD COM		2013-02-11	2013-07-10
3909 DREYFUS EMG MKT DEBT LOC C-I #6083		2011-08-26	2013-02-07
681 DREYFUS EMG MKT DEBT LOC C-I #6083		2011-08-26	2013-09-25
280 572 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2010-12-28	2013-07-10
443 428 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2013-02-11	2013-07-10
12082 977 GATEWAY FUND - Y #1986		2013-02-11	2013-07-10
1211 HARBOR FD CAP APPRECIATION		2013-02-11	2013-06-03
10 371 HARBOR FD CAP APPRECIATION		2011-05-25	2013-07-10
3049 629 HARBOR FD CAP APPRECIATION		2013-02-11	2013-07-10
949 HARBOR FD CAP APPRECIATION		2011-05-25	2013-09-25
12696 671 HUSSMAN STRATEGIC GROWTH FD		2011-10-20	2013-02-07
3621 HUSSMAN STRATEGIC GROWTH FD		2012-02-14	2013-02-07
249 ISHARES S&P 500 INDEX FUND		2011-10-20	2013-06-03
1002 ISHARES S&P 500 INDEX FUND		2011-08-24	2013-07-10
2449 ISHARES RUSSELL 2000 GROWTH INDEX FUND		2012-12-19	2013-02-07
965 KALMAR POOLED INVT TR SMALL CAP GROWTH WITH VALUE FD		2013-02-11	2013-09-25
3630 KEELEY SMALL CAP VAL FD CL I #2251		2010-12-28	2013-02-07
1251 LAUDUS MONDRIAN INTL FI-INST #2940		2012-02-14	2013-02-07
1803 MFS VALUE FUND-CLASS I #893		2013-02-11	2013-06-03

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)
2719 628 MFS VALUE FUND-CLASS I #893		2012-05-10	2013-07-10
809 372 MFS VALUE FUND-CLASS I #893		2013-02-11	2013-07-10
2223 OPPENHEIMER DEVELOPING MKT-Y #788		2011-05-25	2013-09-25
54212 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2012-11-21	2013-02-07
2730 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2012-08-10	2013-06-03
2108 496 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2012-05-10	2013-07-10
7573 504 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2012-08-10	2013-07-10
2065 PIMCO FOREIGN BOND FUND-INST		2011-08-26	2013-02-07
5020 RIDGEWORTH SEIX HY BD-I #5855		2011-08-26	2013-02-07
1790 VANGARD MSCI EMERGING MARKETS EFT		2010-12-28	2013-09-25
CAPITAL GAIN DIVIDENDS	P		

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)
91,740		93,391	-1,651
50,706		39,120	11,586
32,746		23,304	9,442
14,819		11,701	3,118
20,628		19,303	1,325
88,147		112,954	-24,807
12,812		10,663	2,149
67,887		53,104	14,783
43,412		46,097	-2,685
41,039		33,977	7,062
40,698		40,875	-177
104,069		107,479	-3,410
60,550		59,417	1,133
9,725		10,351	-626
9,346		6,599	2,747
14,771		13,316	1,455
338,807		332,330	6,477
57,353		53,902	3,451
500		404	96
146,962		135,739	11,223
49,547		36,954	12,593
132,426		160,359	-27,933
37,767		43,017	-5,250
40,935		29,387	11,548
166,165		117,567	48,598
250,041		226,545	23,496
20,429		16,646	3,783
112,966		91,367	21,599
13,861		14,699	-838
54,234		49,294	4,940

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)
82,378		65,874	16,504
24,516		22,128	2,388
82,118		77,649	4,469
606,632		626,200	-19,568
30,221		31,231	-1,010
22,498		23,721	-1,223
80,809		86,641	-5,832
22,281		21,951	330
51,154		47,037	4,117
73,333		84,077	-10,744
			100,471

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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			**(l)** Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	**(j)** Adjusted basis as of 12/31/69	**(k)** Excess of col (i) over col (j), if any	
			-1,651
			11,586
			9,442
			3,118
			1,325
			-24,807
			2,149
			14,783
			-2,685
			7,062
			-177
			-3,410
			1,133
			-626
			2,747
			1,455
			6,477
			3,451
			96
			11,223
			12,593
			-27,933
			-5,250
			11,548
			48,598
			23,496
			3,783
			21,599
			-838
			4,940

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	
			16,504
			2,388
			4,469
			-19,568
			-1,010
			-1,223
			-5,832
			330
			4,117
			-10,744

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
AMERICAN SYMPHONY ORCHESTRA 333 WEST 39TH ST 1101 NEW YORK, NY 10018	NONE	PC	VANGUARD SERIES AT CARNEGIE	20,000
NEW YORK CITY BALLET INC 20 LINCOLN CENTER PLAZA NEW YORK, NY 10023	NONE	PC	ORCHESTRA PERFORMANCES	50,000
THE SALVATION ARMY 120 WEST 14TH STREET NEW YORK, NY 10011	NONE	PC	THE PHIL RAMONE ORCHESTRA	10,000
STATE THEATRE REGIONAL ARTS 11 LIVINGSTON AVENUE NEW BRUNSWICK, NJ 08901	NONE	PC	BERGEN FDN CLASSICAL	10,000
JEWISH COMMUNITY CTR ON THE PALISADES 411 EAST CLINTON AVE TENAFLY, NJ 07670	NONE	PC	MUSIC DISCOVERY PARTNERSHIP	20,000
SETON HALL UNIVERSITY 400 SOUTH ORANGE AVENUE SOUTH ORANGE, NJ 07079	NONE	PC	DIDO AND AENEAS, A	12,000
NEW JERSEY SYMPHONY ORQUESTRA 60 PARK PLACE 9TH FLOOR NEWARK, NJ 07102	NONE	PC	MUSIC EDUCATION/COMMUNITY	15,000
NEW JERSEY INSTITUTE OF TECHNOLOGY UNIVERSITY HEIGHTS NEWARK, NJ 07102	NONE	PC	ENHANCING CLASSICAL MUSIC	10,000
NEWARK SCHOOL OF THE ARTS 89 LINCOLN PARK NEWARK, NJ 07102	NONE	PC	NSA MUSIC EDUCATION AND	15,000
PRO ARTE CHORALE PO BOX 662 RIDGEWOOD, NJ 07450	NONE	PC	50TH ANNIVERSARY CONCERT	10,000
NEWARK BOYS CHORUS SCHOOL 1016 BROAD STREET NEWARK, NJ 07102	NONE	PC	MUSIC FOR SUCCESS	50,000
MID-ATLANTIC CENTER FOR THE ARTS PO BOX 340 CAPE MAY, NJ 08204	NONE	PC	CAPE MAY MUSIC	10,000
ARTS COUNCIL OF THE MORRIS AREA 14 MAPLE AVENUE SUITE 30 MORRISTOWN, NJ 07960	NONE	PC	THE GIRALDA MUSIC AND ARTS	5,000
PERKINS CENTER FOR THE ARTS 395 KINGS HIGHWAY MOORESTOWN, NJ 08057	NONE	PC	MUSICAL EDUCATION ACCESS IN	15,000
MERCER COUNTY COMMUNITY COLLEGE 1200 OLD TRENTON ROAD WEST WINDSOR, NJ 085503407	NONE	PC	SPECIALTY PROGRAM DIGITAL	13,400
Total . . . . ▶ **3a**				440,000

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
WESTFIELD SYMPHONY ORCHESTRA 224 E BROAD ST SUITE 6 WESTFIELD, NJ 07090	NONE	PC	MUSIC EDUCATION FOR	12,000
JUDITH G WARTON MUSIC CENTER 60 LOCUST AVENUE BERKELEY, NJ 07922	NONE	PC	LIBRARY CONCERT	20,000
DISCOVERY ORCHESTRA INC 50 MT BETHEL ROAD PO BOX 4064 WARREN, NJ 070590064	NONE	PC	EDUCATIONAL DISCOVERY	25,000
SAINT PHILLIPS ACADEMY 342 CENTRAL AVENUE NEWARK, NJ 07102	NONE	PC	MUSIC PERFORMING ARTS AND	15,000
ACCESS TO ART INC 417 E PACIFIC AVE CAPE MAY COURT HOUSE, NJ 08210	NONE	PC	SUMMER MUSIC & MAY	10,000
FIRST NIGHT MORRIS PO BOXC 9009 MORRISTOWN, NJ 07043	NONE	PC	CELEBRATING A CLASSICAL	5,000
MONTCLAIR STATE UNIVERSITY 1 EAST NORMAL AVENUE MONTCLAIR, NJ 07043	NONE	PC	CALI CONNECT	40,000
SPHINX ORGANIZATION INC 400 RENAISSANCE CENTER STE 2550 DETROIT, MI 48243	NONE	PC	SPHINX VIRTUOSI AT CARNEGIE	10,000
10 HAIRY LEGS PO BOX 4452 HIGHLAND PARK, NJ 08904	NONE	PC	LIVE MUSIC FOR DANCE	13,000
ST BENEDICT'S PREPARATORY SCHOOL 520 DR MARTIN LUTHER KING JR BLVD NEWARK, NJ 07102	NONE	PC	EQUIPMENT FOR PREP MUSIC	9,600
ATLANTIC COAST OPERA FESTIVAL 2028 SOUTH 17TH ST 11 PHILADELPHIA, PA 191452902	NONE	PC	WORLD PREMIERE CONCERTS	15,000
Total . . . . ▶ **3a**				440,000

TY 2013 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	1,000			1,000

TY 2013 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	628,959	662,005
261980494 DREYFUS EMG MKT DEBT	473,558	459,370
51855Q655 LAUDUS MONDRIAN INTL	215,432	189,425
693390700 PIMCO TOTAL RET FD-I	639,714	658,077
693390882 PIMCO FOREIGN BD FD	182,912	186,521
76628T645 RIDGEWORTH SEIX HY B	444,152	459,108
77957P105 T ROWE PRICE SHORT T	477,808	474,944
262028855 DRIEHAUS ACTIVE INCO	471,838	478,047

TY 2013 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	173,117	258,498
487300808 KEELEY SMALL CAP VAL	129,638	203,668
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	252,372	448,501
922042858 VANGUARD FTSE EMERGI	335,776	312,787
61744J317 MORGAN STANLEY #8001		
722005667 PIMCO COMMOD FD #45		
922908553 VANGUARD REIT VIPER	253,252	306,531
04314H204 ARTISAN INTERNATIONA	304,620	453,803
22544R305 CREDIT SUISSE COMM R	434,511	376,824
25264S833 DIAMOND HILL LONG-SH	149,622	201,345
411511504 HARBOR CAPITAL APRCT	453,850	688,269
448108100 HUSSMAN STRATEGIC GR		
464287200 ISHARES CORE S & P 5	135,750	189,363
552983694 MFS VALUE FUND-CLASS	311,238	465,612

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	278,814	281,257
683974505 OPPENHEIMER DEVELOPI	293,143	319,254
78463X863 SPDR DJ WILSHIRE INT	292,610	325,480
04314H600 ARTISAN MID CAP FUND	302,866	376,700
367829884 GATEWAY FUND - Y #19		
464287648 ISHARES RUSSELL 2000		
277923728 EATON VANCE GLOBAL M	93,393	91,167
483438305 KALMAR GR W/ VAL SM	146,860	193,932
63872T885 ASG GLOBAL ALTERNATI	280,171	278,466

TY 2013 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			
261980494 DREYFUS EMG MKT DEBT			
262028855 DRIEHAUS ACTIVE INCO			
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 2013 Other Decreases Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Description	Amount
MUTUAL FUND POSTING DATE AFTER TYE	15,805
ROC BASIS ADJUSTMENT	3,606
ROUNDING	1

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491119012644

TY 2013 Other Increases Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Description	Amount
MUTUAL FUND TAX EFFECTIVE DATE BEFORE TYE	29,895

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491119012644

TY 2013 Taxes Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAX PAYMENT - PRIOR YE	81	0		0
FEDERAL ESTIMATES - PRINCIPAL	3,512	0		0
FOREIGN TAXES ON QUALIFIED FOR	1,668	1,668		0
FOREIGN TAXES ON NONQUALIFIED	1,093	1,093		0