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Return of Private Foundation

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

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Department of the Treasury
Internal Revenue Service

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

For calendar year 2013 or tax year beginning 12/01, 2013, and ending 11/30, 2014

Name of foundation: **THE NEUBERGER BERMAN FOUNDATION**

Employer identification number: **31-1736689**

Number and street (or P O box number if mail is not delivered to street address): **605 THIRD AVENUE, 19TH FLOOR**

Room/suite: _____

Telephone number (see instructions): **(212) 476-5779**

City or town, state or province, country, and ZIP or foreign postal code: **NEW YORK, NY 10158**

G Check all that apply: Initial return, Final return, Address change, Initial return of a former public charity, Amended return, Name change

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16): **\$ 10,835,562.**

J Accounting method: Cash, Accrual, Other (specify) _____

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)
1 Contributions, gifts, grants, etc received (attach schedule)		613,750.			
2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		168,939.	168,939.		ATCH 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		132,548.			
b Gross sales price for all assets on line 6a		4,961,455.			
7 Capital gain net income (from Part IV, line 2)			437,848.		
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)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11		915,237.	606,787.		
13 Compensation of officers, directors, trustees, etc		0			
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees (attach schedule) ATCH 2		1,279.			1,279.
b Accounting fees (attach schedule) ATCH 3		150,897.	75,449.		46,324.
c Other professional fees (attach schedule) *		7,837.	7,837.		
17 Interest					
18 Taxes (attach schedule) (see instructions) ATCH 5		10,649.	263.		
19 Depreciation (attach schedule) and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses (attach schedule) ATCH 6		891.			891.
24 Total operating and administrative expenses. Add lines 13 through 23		171,553.	83,549.		48,494.
25 Contributions, gifts, grants paid		1,028,046.			1,028,046.
26 Total expenses and disbursements. Add lines 24 and 25		1,199,599.	83,549.	0	1,076,540.
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements		-284,362.			
b Net investment income (if negative, enter -0-)			523,238.		
c Adjusted net income (if negative, enter -0-)					

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GIS PAGE 1

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		50,000.	50,000.
	2	Savings and temporary cash investments	612,248.	347,759.	347,759.
	3	Accounts receivable ▶ Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶ Less allowance for doubtful accounts ▶			
	5	Grants receivable		8,836.	8,836.
	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			
	10 a	Investments - U S and state government obligations (attach schedule)	1,982,689.	716,763.	716,763.
	b	Investments - corporate stock (attach schedule) ATCH 8	944,542.	994,988.	994,988.
	c	Investments - corporate bonds (attach schedule) ATCH 9	1,005,162.	2,119,874.	2,119,874.
	11	Investments - land, buildings, and equipment basis Less accumulated depreciation (attach schedule)			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule) ATCH 10	6,358,959.	6,595,840.	6,595,840.
	14	Land, buildings, and equipment basis Less accumulated depreciation (attach schedule)			
15	Other assets (describe ▶ ATCH 11)	4,106.	1,502.	1,502.	
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	10,907,706.	10,835,562.	10,835,562.	
Liabilities	17	Accounts payable and accrued expenses	2,500.		
	18	Grants payable	16,000.	68,046.	
	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 ▶ ATCH 12)	18,000.	25,000.	
23	Total liabilities (add lines 17 through 22)	36,500.	93,046.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted	10,871,206.	10,742,516.	
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, . . . ▶ <input type="checkbox"/> 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				
30	Total net assets or fund balances (see instructions)	10,871,206.	10,742,516.		
31	Total liabilities and net assets/fund balances (see instructions)	10,907,706.	10,835,562.		

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)	10,871,206.
2	Enter amount from Part I, line 27a	-284,362.
3	Other increases not included in line 2 (itemize) ▶ ATCH 13	160,172.
4	Add lines 1, 2, and 3	10,747,016.
5	Decreases not included in line 2 (itemize) ▶ ATCH 14	4,500.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	10,742,516.

**ATCH 7

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 PART IV SCHEDULE				
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				
b				
c				
d				
e				
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		
a				
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	437,848.
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			{ 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

(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	1,386,551.	10,542,590.	0.131519
2011	1,531,863.	10,760,358.	0.142362
2010	2,521,823.	12,578,689.	0.200484
2009	3,940,867.	14,976,371.	0.263139
2008	6,495,296.	20,842,971.	0.311630
2 Total of line 1, column (d)			2 1.049134
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 0.209827
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5			4 10,683,734.
5 Multiply line 4 by line 3			5 2,241,736.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 5,232.
7 Add lines 5 and 6			7 2,246,968.
8 Enter qualifying distributions from Part XII, line 4 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			8 1,076,540.

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

Table with 11 rows for excise tax calculations. Includes items like 'Exempt operating foundations', 'Domestic foundations that meet the section 4940(e) requirements', 'Tax under section 511', 'Credits/Payments', and 'Total credits and payments'. Total amount owed is 2,465.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions like 'During the tax year, did the foundation attempt to influence any national, state, or local legislation?', 'Did it spend more than \$100 during the year for political purposes?', and 'Has the foundation engaged in any activities that have not previously been reported to the IRS?'. Includes 'Yes', 'No', and 'N/A' responses.

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions). 11 X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) 12 X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? 13 X
Website address N/A
14 The books are in care of ELIZABETH CRIBBS, PRESIDENT Telephone no 212-476-5779
Located at 605 THIRD AVENUE NEW YORK, NY ZIP+4 10158
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here 15
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 X
See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country

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

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

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 X No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? Yes X No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? X Yes No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? Yes X 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 X 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 X No
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? 1b X
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 X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))
a At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? Yes X No
If "Yes," list the years
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 X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? Yes X 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 N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4a X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? 4b X

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)? Yes No
 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? Yes 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? Yes No

	5b	X
	6b	X
	7b	N/A

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
ATCH 16		0	0	0

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

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

Total number of other employees paid over \$50,000

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
ATCH 17		

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 N/A	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
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	10,429,543.
b	Average of monthly cash balances	1b	416,887.
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	10,846,430.
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	
3	Subtract line 2 from line 1d	3	10,846,430.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	162,696.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10,683,734.
6	Minimum investment return. Enter 5% of line 5	6	534,187.

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	534,187.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	10,465.
b	Income tax for 2013. (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	10,465.
3	Distributable amount before adjustments Subtract line 2c from line 1	3	523,722.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	523,722.
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	523,722.

Part XIII 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	1,076,540.
b	Program-related investments - total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	1,076,540.
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	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,076,540.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				523,722.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only				
b Total for prior years 20 11 , 20 10 , 20 09				
3 Excess distributions carryover, if any, to 2013				
a From 2008	5,457,445.			
b From 2009	3,213,429.			
c From 2010	1,896,069.			
d From 2011	1,003,777.			
e From 2012	867,262.			
f Total of lines 3a through e	12,437,982.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 1,076,540.				
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				523,722.
e Remaining amount distributed out of corpus	552,818.			
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	12,990,800.			
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				
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)	5,457,445.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	7,533,355.			
10 Analysis of line 9				
a Excess from 2009	3,213,429.			
b Excess from 2010	1,896,069.			
c Excess from 2011	1,003,777.			
d Excess from 2012	867,262.			
e Excess from 2013	552,818.			

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

NOT APPLICABLE

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 foundation is a private operating foundation described in section

4942(j)(3) or 4942(j)(5)

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Table with columns: Tax year (a) 2013, (b) 2012, (c) 2011, (d) 2010, (e) Total. Rows include 85% of line 2a, Qualifying distributions from Part XII, Amounts included in line 2c not used directly for active conduct of exempt activities, Qualifying distributions made directly for active conduct of exempt activities, and alternative tests (Assets, Endowment, Support).

Part XV Supplementary Information (Complete this part only if the foundation 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))

N/A

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

N/A

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

Check here [X] 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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE ATTACHMENT A			SEE ATTACHED	1,028,046.
Total				3a 1,028,046.
b Approved for future payment				
Total				3b

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Table with 5 columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Rows include Program service revenue, Membership dues, Dividends, Net rental income, and Subtotal.

(See worksheet in line 13 instructions to verify calculations)

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

Table with 2 columns: 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.

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

- 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... a Transfers from the reporting foundation to a noncharitable exempt organization of (1) Cash (2) Other assets b Other transactions (1) Sales of assets to a noncharitable exempt organization (2) Purchases of assets from a noncharitable exempt organization (3) Rental of facilities, equipment, or other assets (4) Reimbursement arrangements (5) Loans or loan guarantees (6) Performance of services or membership or fundraising solicitations c Sharing of facilities, equipment, mailing lists, other assets, or paid employees d If the answer to any of the above is "Yes," complete the following schedule

Table with 4 columns: (a) Line no, (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions, and sharing arrangements. Row 1 contains 'N/A' in columns (b) and (d).

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

Table with 3 columns: (a) Name of organization, (b) Type of organization, (c) Description of relationship. All cells are empty.

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) is based on all information of which preparer has any knowledge. Signature of officer or trustee: [Signature] Date: 4/9/2015 Title: President NBF

May the IRS discuss this return with the preparer shown below (see instructions)? [X] Yes [] No

Paid Preparer Use Only Print/Type preparer's name: RORRIE GREGORIO Preparer's signature: [Signature] Date: 4/10/15 Check [] if self-employed PTIN: P00741134 Firm's name: MARCUM LLP Firm's address: 10 MELVILLE PARK RD MELVILLE, NY 11747 Firm's EIN: 11-1986323 Phone no: 631 414-4000

Schedule of Contributors

2013

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www.irs.gov/form990.

Name of the organization THE NEUBERGER BERMAN FOUNDATION	Employer identification number 31-1736689
---	--

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 33 1/3 % 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 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 to 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 990-PF, 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 THE NEUBERGER BERMAN FOUNDATION	Employer identification number 31-1736689
---	---

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 BERMAN GROUP ----- 605 THIRD AVENUE ----- NEW YORK, NY 10158 -----	\$ 163,620.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
2	DONNA AND MARVIN SCHWARTZ FOUNDATION ----- 605 THIRD AVENUE ----- NEW YORK, NY 10158 -----	\$ 11,180.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
3	JUDITH M. VALE ----- 605 THIRD AVENUE, 41ST FLOOR ----- NEW YORK, NY 10158 -----	\$ 102,395.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
4	ROBERT D'ALELIO ----- 605 THIRD AVENUE, 41ST FLOOR ----- NEW YORK, NY 10158 -----	\$ 31,203.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
5	DAVID PEDOWITZ ----- 605 THIRD AVENUE, 39TH FLOOR ----- NEW YORK, NY 10158 -----	\$ 18,945.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
6	NEUBERGER BERMAN GROUP ----- 605 THIRD AVENUE ----- NEW YORK, NY 10158 -----	\$ 250,200.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization **THE NEUBERGER BERMAN FOUNDATION**

Employer identification number

31-1736689

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
3	1,000 SHS EXXON MOBIL	\$ 102,395.	05/13/2014
4	900 SHS SOUTHWESTERN ENERGY CO.	\$ 31,203.	11/06/2014
5	35 SHS GOOGLE INC.	\$ 18,945.	11/25/2014
6	463 SHS REGENERON PHARMACEUTICALS, INC.	\$ 180,782.	10/30/2014
6	1,217 ENERGY TRANSFER EQUITY, L.P.	\$ 69,418.	10/30/2014
		\$	

Name of organization THE NEUBERGER BERMAN FOUNDATION

Employer identification number

31-1736689

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	
-----		-----	
-----		-----	
-----		-----	
-----	-----	-----	-----
	-----	-----	-----
	-----	-----	-----
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
-----		-----	
-----		-----	
-----		-----	
-----	-----	-----	-----
	-----	-----	-----
	-----	-----	-----
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
-----		-----	
-----		-----	
-----		-----	
-----	-----	-----	-----
	-----	-----	-----
	-----	-----	-----
(e) Transfer of gift			
Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee	
-----		-----	
-----		-----	
-----		-----	

**SCHEDULE D
(Form 1041)**

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

▶ Attach to Form 1041, Form 5227, or Form 990-T.
▶ Use Form 8949 to list your transactions for lines 1b, 2, 3, 8b, 9 and 10.
▶ Information about Schedule D and its separate instructions is at www.irs.gov/form1041.

OMB No 1545-0092

2013

Name of estate or trust: **THE NEUBERGER BERMAN FOUNDATION** Employer identification number: **31-1736689**

Note: Form 5227 filers need to complete **only** Parts I and II

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

See instructions for how to figure the amounts to enter on the lines below This form may be easier to complete if you round off cents to whole dollars	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
1a Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b	55,695.	59,108.		-3,413.
1b Totals for all transactions reported on Form(s) 8949 with Box A checked				
2 Totals for all transactions reported on Form(s) 8949 with Box B checked				
3 Totals for all transactions reported on Form(s) 8949 with Box C checked				
4 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824				4
5 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts				5
6 Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet				6 ()
7 Net short-term capital gain or (loss). Combine lines 1a through 6 in column (h) Enter here and on line 17, column (3) on the back ▶				7 -3,413.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

See instructions for how to figure the amounts to enter on the lines below This form may be easier to complete if you round off cents to whole dollars	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
8a Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b	1,908,191.	1,450,059.		458,132.
8b Totals for all transactions reported on Form(s) 8949 with Box D checked	3,388,172.	3,704,982.		-316,810.
9 Totals for all transactions reported on Form(s) 8949 with Box E checked	1,387.	1,029.		358.
10 Totals for all transactions reported on Form(s) 8949 with Box F checked				
11 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824				11
12 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts				12
13 Capital gain distributions				13
14 Gain from Form 4797, Part I				14
15 Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet				15 ()
16 Net long-term capital gain or (loss). Combine lines 8a through 15 in column (h) Enter here and on line 18a, column (3) on the back ▶				16 135,961.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2013

JSA
3F1210 1 000

Part III Summary of Parts I and II		(1) Beneficiaries' (see instr)	(2) Estate's or trust's	(3) Total
Caution: Read the instructions before completing this part.				
17	Net short-term gain or (loss)	17		-3,413.
18	Net long-term gain or (loss):			
a	Total for year	18a		135,961.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht)	18b		
c	28% rate gain	18c		
19	Total net gain or (loss). Combine lines 17 and 18a.	19		132,548.

Note: If line 19, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a) If lines 18a and 19, column (2), are net gains, go to Part V, and do not complete Part IV If line 19, column (3), is a net loss, complete Part IV and the Capital Loss Carryover Worksheet, as necessary

Part IV Capital Loss Limitation

20	Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of	20	()
a	The loss on line 19, column (3) or b \$3,000		

Note: If the loss on line 19, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the Capital Loss Carryover Worksheet in the instructions to figure your capital loss carryover

Part V Tax Computation Using Maximum Capital Gains Rates

Form 1041 filers. Complete this part only if both lines 18a and 19 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero

Caution: Skip this part and complete the Schedule D Tax Worksheet in the instructions if:

- Either line 18b, col (2) or line 18c, col (2) is more than zero, or
- Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero

Form 990-T trusts. Complete this part only if both lines 18a and 19 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero Skip this part and complete the Schedule D Tax Worksheet in the instructions if either line 18b, col. (2) or line 18c, col (2) is more than zero.

21	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34).	21		
22	Enter the smaller of line 18a or 19 in column (2) but not less than zero.	22		
23	Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T).	23		
24	Add lines 22 and 23	24		
25	If the estate or trust is filing Form 4952, enter the amount from line 4g, otherwise, enter -0-	25		
26	Subtract line 25 from line 24. If zero or less, enter -0-	26		
27	Subtract line 26 from line 21. If zero or less, enter -0-	27		
28	Enter the smaller of the amount on line 21 or \$2,450	28		
29	Enter the smaller of the amount on line 27 or line 28	29		
30	Subtract line 29 from line 28. If zero or less, enter -0-. This amount is taxed at 0%	30		
31	Enter the smaller of line 21 or line 26	31		
32	Subtract line 30 from line 26	32		
33	Enter the smaller of line 21 or \$11,950	33		
34	Add lines 27 and 30	34		
35	Subtract line 34 from line 33. If zero or less, enter -0-	35		
36	Enter the smaller of line 32 or line 35	36		
37	Multiply line 36 by 15%	37		
38	Enter the amount from line 31	38		
39	Add lines 30 and 36	39		
40	Subtract line 39 from line 38. If zero or less, enter -0-	40		
41	Multiply line 40 by 20%	41		
42	Figure the tax on the amount on line 27. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041).	42		
43	Add lines 37, 41, and 42	43		
44	Figure the tax on the amount on line 21. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041).	44		
45	Tax on all taxable income. Enter the smaller of line 43 or line 44 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36).	45		

ATTACHMENT 1

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
DIVIDEND INCOME	138,838.	138,838.
INTEREST INCOME	30,101.	30,101.
TOTAL	<u>168,939.</u>	<u>168,939.</u>

ATTACHMENT 2

FORM 990PF, PART I - LEGAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
LEGAL FEES	1,279.			1,279.
TOTALS	<u>1,279.</u>			<u>1,279.</u>

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	150,897.	75,449.		46,324.
TOTALS	<u>150,897.</u>	<u>75,449.</u>		<u>46,324.</u>

ATTACHMENT 4

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INVESTMENT MANAGEMENT FEES	7,837.	7,837.
TOTALS	<u>7,837.</u>	<u>7,837.</u>

ATTACHMENT 5

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FEDERAL EXCISE TAX	10,386.	
FOREIGN TAXES PAID	263.	263.
TOTALS	<u>10,649.</u>	<u>263.</u>

ATTACHMENT 6

FORM 990PF, PART I - OTHER EXPENSES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>
PUBLICATION EXPENSE	95.
NYS FILING FEES	775.
MISCELLANEOUS EXPENSE	21.
TOTALS	<u><u>891.</u></u>

<u>CHARITABLE PURPOSES</u>	<u>95.</u>
	775.
	21.
	<u><u>891.</u></u>

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS

ATTACHMENT 7

DESCRIPTION

BEGINNING
BOOK VALUE

ENDING
BOOK VALUE

ENDING
FMV

US TREASURY OBLIGATIONS

1,982,689.

716,763.

716,763.

US OBLIGATIONS TOTAL

1,982,689.

716,763.

716,763.

ATTACHMENT 8

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
COMMON STOCK	944,542.	994,988.	994,988.
TOTALS	<u>944,542.</u>	<u>994,988.</u>	<u>994,988.</u>

ATTACHMENT 9

FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
CORPORATE BONDS	1,005,162.	2,119,874.	2,119,874.
TOTALS	<u>1,005,162.</u>	<u>2,119,874.</u>	<u>2,119,874.</u>

ATTACHMENT 10

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MUTUAL FUNDS	6,348,083.	6,585,740.	6,585,740.
ALTERNATIVE INVESTMENTS	10,876.	10,100.	10,100.
TOTALS	<u>6,358,959.</u>	<u>6,595,840.</u>	<u>6,595,840.</u>

ATTACHMENT 11

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
ACCRUED INCOME	4,106.	1,502.	1,502.
TOTALS	<u>4,106.</u>	<u>1,502.</u>	<u>1,502.</u>

ATTACHMENT 12

FORM 990PF, PART II - OTHER LIABILITIES

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>
DEFERRED FEDERAL EXCISE TAX PAYABLE	18,000.	22,500.
PREPAID EXCISE TAXES		2,500.
TOTALS	<u>18,000.</u>	<u>25,000.</u>

ATTACHMENT 13

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
UNREALIZED GAIN ON INVESTMENTS	160,172.
TOTAL	<u>160,172.</u>

ATTACHMENT 14

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
DEFERRED EXCISE TAX	4,500.
TOTAL	<u>4,500.</u>

FORM 990PF, PART VII-A, LINE 3 - CONFORMED COPY OF THE CHANGES

BOARD APPROVED THE AMENDMENT TO THE CONFLICT OF INTEREST POLICY-
ATTACHED

THE NEUBERGER BERMAN FOUNDATION

31-1736689

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 16

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
FRANCINE S. KITTREDGE 605 THIRD AVENUE NEW YORK, NY 10158	DIRECTOR 1.00	0	0	0
ELIZABETH R. CRIBBS 605 THIRD AVENUE NEW YORK, NY 10158	PRESIDENT 20.00	0	0	0
INGRID S. DYOTT 605 THIRD AVENUE NEW YORK, NY 10158	DIRECTOR 1.00	0	0	0
DAVID PEDOWITZ 605 THIRD AVENUE NEW YORK, NY 10158	TREASURER 2.00	0	0	0
JUDITH M. VALE 605 THIRD AVENUE NEW YORK, NY 10158	DIRECTOR 1.00	0	0	0
MELISSA PAPINI 605 THIRD AVENUE NEW YORK, NY 10158	VICE PRESIDENT/SECRETARY 20.00	0	0	0

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 16 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
HEATHER P. ZUCKERMAN 605 THIRD AVENUE NEW YORK, NY 10158	DIRECTOR 1.00	0	0	0
MARIA ANGELOV 605 THIRD AVENUE NEW YORK, NY 10158	ASSISTANT TREASURER 20.00	0	0	0
JAMES ISELIN 605 THIRD AVENUE NEW YORK, NY 10158	DIRECTOR 1.00	0	0	0
ROBERT CONTI 605 THIRD AVENUE NEW YORK, NY 10158	DIRECTOR 1.00	0	0	0
GRAND TOTALS		0	0	0

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALSATTACHMENT 17

<u>NAME AND ADDRESS</u>	<u>TYPE OF SERVICE</u>	<u>COMPENSATION</u>
MARCUM, LLP 10 MELVILLE PARK RD. MELVILLE, NY 11747	Accounting Services	\$ 100,347
	TOTAL COMPENSATION	<u> </u>

<p>The Neuberger Berman Foundation EIN: 31-1736689 For the fiscal year ended November 30, 2014</p>	
<p>ATTACHMENT F: EXPENDITURE RESPONSIBILITY FORM 990-PF, PART VII-B, LINE 5c</p>	
<p>The following information is provided in accordance with IRC § 4945(h)(3) and Reg. 53.4945-5(d) to demonstrate that the foundation exercised expenditure responsibility in regard to its grants.</p>	
<p>NAME AND ADDRESS OF GRANTEE:</p>	<p>INTOUNIVERSITY 95 Sirdar Road London, UK W11 4EQ</p>
<p>AMOUNT OF GRANT:</p>	<p>\$15,000.00</p>
<p>DATE OF GRANT:</p>	<p>6/3/2014</p>
<p>PURPOSE OF GRANT:</p>	<p>Lambeth Centre- operational support</p>
<p>TO THE GRANTOR'S KNOWLEDGE, GRANTEE HAS DIVERTED A PORTION OF FUNDS FROM THE PURPOSE OF THE GRANT: (YES, NO)</p>	<p>No. The grantor has no knowledge of any funds being diverted to any other activities.</p>
<p>DATES OF REPORT RECEIVED FROM GRANTEE:</p>	<p>11/18/2014</p>
<p>DATES AND RESULTS OF ANY VERIFICATION OF THE GRANTEE'S REPORTS:</p>	<p>The \$15,000 grant to the organization has been utilized effectively. No further independent verification was necessary.</p>

The Neuberger Berman Foundation EIN: 31-1736689 For the fiscal year ended November 30, 2014	
ATTACHMENT F. EXPENDITURE RESPONSIBILITY FORM 990-PF, PART VII-B, LINE 5c	
The following information is provided in accordance with IRC § 4945(h)(3) and Reg. 53.4945-5(d) to demonstrate that the foundation exercised expenditure responsibility in regard to its grants.	
NAME AND ADDRESS OF GRANTEE:	CHANGING YOUNG LIVES Unit 1-14, G/F, Block 10 Pak Tin Estate, Kowloon
AMOUNT OF GRANT:	\$15,000.00
DATE OF GRANT:	8/8/2014
PURPOSE OF GRANT:	General operating support for Hong Kong Programmes
TO THE GRANTOR'S KNOWLEDGE, GRANTEE HAS DIVERTED A PORTION OF FUNDS FROM THE PURPOSE OF THE GRANT. (YES, NO)	No. The grantor has no knowledge of any funds being diverted to any other activities than what had been specified in the Budget 2014/2015 agreement.
DATES OF REPORT RECEIVED FROM GRANTEE:	Not yet finalized.
DATES AND RESULTS OF ANY VERIFICATION OF THE GRANTEE'S REPORTS:	The \$15,000 grant to the organization has been utilized effectively. No further independent verification was necessary.

The Neuberger Berman Foundation EIN: 31-1736689 For the fiscal year ended November 30, 2014	
ATTACHMENT F: EXPENDITURE RESPONSIBILITY FORM 990-PF, PART VII-B, LINE 5c	
The following information is provided in accordance with IRC § 4945(h)(3) and Reg. 53.4945-5(d) to demonstrate that the foundation exercised expenditure responsibility in regard to its grants	
NAME AND ADDRESS OF GRANTEE:	INTOUNIVERSITY 95 Sirdar Road London, UK W11 4EQ
AMOUNT OF GRANT:	\$15,000.00
DATE OF GRANT:	6/3/2014
PURPOSE OF GRANT:	Lambeth Centre- operational support
TO THE GRANTOR'S KNOWLEDGE, GRANTEE HAS DIVERTED A PORTION OF FUNDS FROM THE PURPOSE OF THE GRANT: (YES, NO)	No. The grantor has no knowledge of any funds being diverted to any other activities.
DATES OF REPORT RECEIVED FROM GRANTEE:	11/18/2014
DATES AND RESULTS OF ANY VERIFICATION OF THE GRANTEE'S REPORTS:	The \$15,000 grant to the organization has been utilized effectively. No further independent verification was necessary.

THE NEUBERGER BERMAN FOUNDATION
 EIN: 31-1736889
 FOR THE FISCAL YEAR ENDED 11.30.2014
 SCHEDULE OF CHARITABLE CONTRIBUTIONS

Recipient's Name	Address	Status of Recipient/Relationship to Recipient	Purpose of Grant or Contribution	Amount
A Broader Way	New York, NY	PC/ NONE	General operating support	\$ 15,000
Amxter Center	Chicago, IL	PC/ NONE	National Lekotek program	10,000
Armory Track and Field Foundation	New York, NY	PC/ NONE	College Prep Program	10,000
Arts Connection	New York, NY	PC/ NONE	Young Talent Program	10,000
Association to Benefit Children	New York, NY	PC/ NONE	General operating support	200,000
Baruch	New York, NY	PC/ NONE	Academic Promise Program	25,000
Beginning with Children Foundation	Brooklyn, NY	PC/ NONE	Legacy Network	15,000
Blythedale	Valhalla, NY	PC/ NONE	Early Childhood Center	10,000
Career's Through Culinary Arts Program	New York, NY	PC/ NONE	General operating support for NY programs	10,000
Changing Young Lives Foundation	Hong Kong	Exp Resp/ NONE	General operating support for Hong Kong programs	15,000
Children of Promise	Brooklyn, NY	PC/ NONE	After-school programming	15,000
Children's Museum of the Arts	New York, NY	PC/ NONE	Girl Stories and Young Arts Collective program	15,000
Comunilife	New York, NY	PC/ NONE	Life Is Precious Program	10,000
East Harlem Tutorial Program	New York, NY	PC/ NONE	General operating support for Out of School Time programs	10,000
Eastman School of Music (University of Rochester)	Rochester, NY	PC/ NONE	RocMusic program	10,000
Educational Alliance	New York, NY	PC/ NONE	After-school programming at PS 142	10,000
Friends of the Children New York	New York, NY	PC/ NONE	Academic enrichment programs	15,000
Friends of Neuberger Museum	Purchase, NY	PC/ NONE	Outreach and education programming for underserved youth	20,000
Go Project	New York, NY	PC/ NONE	Year-round programs at the Avenues School	15,000
Green City Force	Brooklyn, NY	PC/ NONE	General operating support	20,000
Greenwich House	New York, NY	PC/ NONE	Children's Safety Project	15,000
Harlem Children's Zone	New York, NY	PC/ NONE	General operating support	200,000
Highbridge Voices	Bronx, NY	PC/ NONE	Academic Support	10,000
iMentor	New York, NY	PC/ NONE	General operating support for NY programs	15,000
Into University	London	Exp Resp/ NONE	General operating support for the learning center in Lambeth	15,000

THE NEUBERGER BERMAN FOUNDATION

EIN. 31-1736689

FOR THE FISCAL YEAR ENDED 11.30.2014

SCHEDULE OF CHARITABLE CONTRIBUTIONS

Recipient's Name	Address	Status of Recipient/Relationship to Recipient	Purpose of Grant or Contribution	Amount
Lower Eastside Girls Club	New York, NY	PC/NONE	General operating support	15,000
Mayor's Fund to Advance New York City	New York, NY	PC/NONE	Summer of service program	40,000
New York Hall of Science	Queens, NY	PC/NONE	Science Career Ladder Institute	10,000
Northside Center for Child Development	New York, NY	PC/NONE	Education programs	10,000
Peer Health Exchange	New York, NY	PC/NONE	General operating support for NYC programs	10,000
Per Scholas	Bronx, NY	PC/NONE	General operating support for NY programs	20,000
Publicolor	New York, NY	PC/NONE	Next Steps Program	25,000
Resurgo	London	Exp Resp/NONE	Spear Program	15,000
Samaritans of New York	New York, NY	PC/NONE	Suicide Prevention Public Education project	10,000
Stamford Family YMCA	Stamford, CT	PC/NONE	After-school programming	10,000
Step Up	Los Angeles, CA	PC/NONE	Teen Empowerment Programming	15,000
Street Squash	New York, NY	PC/NONE	College access and success program	10,000
Teach for America	New York, NY	PC/NONE	General operating support for Teach for America New York	15,000
Teen Living	Chicago, IL	PC/NONE	Comprehensive support services for education and employment	10,000
Union Settlement Association	New York, NY	PC/NONE	College Readness Program	25,000
Vogel Alcove	Dallas, TX	PC/NONE	Therapeutic Early Childhood Program	10,000
Westchester Children's Museum	White Plains, NY	PC/NONE	Museum Without Walls	10,000
Young Women's Leadership Network	New York, NY	PC/NONE	Young Women's Leadership Schools	10,000
YCS (Youth Consultation Service)	Newark, NJ	PC/NONE	General operating support	15,000
Highbridge Voices	Bronx, NY	PC/NONE	General operating support	9,349
A Broader Way	New York, NY	PC/NONE	General operating support	9,349
Arts Connection	New York, NY	PC/NONE	General operating support	9,349

TOTAL CONTRIBUTIONS

\$ 1,028,046

Neuberger Berman Foundation Conflict/Involvement Disclosure Policy

All Neuberger Berman Foundation board members are required to disclose the charitable organizations where they or a member of their immediate family serves as a trustee, director, advisory board member, or officer in a similar capacity (a "formal affiliation").

- **Conflict Resolution Process for Grants Presented to the Board for Approval:**

- In instances where a potential grant is being discussed by the Neuberger Berman Foundation board, the Foundation's staff or the board member him/herself will proactively disclose any board member having a formal affiliation with that organization in the written board meeting materials.
- Board members with a formal affiliation may participate in the discussion but must recuse themselves from the vote.

- **Conflict Resolution Process for Staff Discretionary Grants (\$25,000 or less):**

- In the case of discretionary grants where Foundation staff has a formal affiliation with an organization, disclosure will be made following the procedures set forth above and the grant must be voted on by the board regardless of size.
- In the case of discretionary grants where a board member has a formal affiliation, the standard staff discretionary rules apply and the board member affiliation must be disclosed to the rest of the board as part of the grant description materials provided at each board meeting.

Policy approved by the Board of Directors on the 30 day of January, 20 14.

*Addition to the Neuberger Berman Foundation Conflict/Involvement Disclosure Policy,
which was approved by the Board of Directors on January 30, 2014*

• **Related Party Rules:**

- The Neuberger Berman Foundation will not enter into a transaction with a related party unless the Foundation board determines the transaction is fair, reasonable and in the Foundation's best interest. A Foundation staff or board member who has an interest in the transaction is required to disclose the material facts concerning those circumstances.
- A related party transaction is defined as any transaction, agreement or other arrangement in which a related party has a financial interest and in which the foundation or any affiliate of the Foundation is a participant.
- In any transaction in which a related party has a substantial financial interest, the board must:
 - Consider alternatives prior to entering into the transaction,
 - Approve the transaction by a majority vote, and
 - Document in writing the basis for the approval.
- The definition of "related party" is:
 - Any director, officer or staff member of the Foundation or any affiliate of the Foundation,
 - Any relative of (1), or
 - Any entity in which any individual in (1) or (2) has a 35% or greater ownership or beneficial interest.

Approved by the Board of Directors on the 11 day of August, 2014.

**FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

Kind of Property		Description				P or D	Date acquired	Date sold	
Gross sale price less expenses of sale	Depreciation allowed/allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)		
55,695.		59,108.				P	-3,413.		
						D			
92,930.		78,766.					14,164.		
128,936.							128,936.		
						P	VAR	VAR	
902,345.		904,052.					-1,707.		
2,095,273.		2,102,090.					VAR	VAR	
						D	VAR	VAR	
391,990.		80,970.					311,020.		
1,292,899.		1,297,592.					VAR	VAR	
1,387.		1,029.					11/30/2008 358.	05/31/2008	
TOTAL GAIN(LOSS)								<u>437,848.</u>	