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Form

990-PF

Department of the Treasury  
Internal Revenue Service

Return of Private Foundation

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

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Information about Form 990-PF and its instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

OMB No 1545-0052

2014

Open to Public Inspection

For calendar year 2014, or tax year beginning 01-01-2014, and ending 12-31-2014

Name of foundation FRANK AND LYDIA BERGEN FOUNDATION		A Employer identification number 22-6359304	
Number and street (or P O box number if mail is not delivered to street address) 1525 W WT HARRIS BLVD D1114-044		B Telephone number (see instructions) (336) 747-8203	
City or town, state or province, and ZIP or foreign postal code CHARLOTTE, NC 28262		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 9,603,238		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
J Accounting method <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule) . . . . .				
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B . . . . .				
	3 Interest on savings and temporary cash investments	33	33		
	4 Dividends and interest from securities. . . . .	210,466	197,642		
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	389,394			
	b Gross sales price for all assets on line 6a 4,476,584				
	7 Capital gain net income (from Part IV, line 2) . . .		389,394		
	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 <b>Total.</b> Add lines 1 through 11 . . . . .	599,893	587,069		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	102,791	77,093		25,698
	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) . . . . .	5,857	2,692		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) . . . . .	45			45
	24 <b>Total operating and administrative expenses.</b> Add lines 13 through 23 . . . . .	109,693	79,785	0	26,743
	25 Contributions, gifts, grants paid . . . . .	467,500			467,500
	26 <b>Total expenses and disbursements.</b> Add lines 24 and 25	577,193	79,785	0	494,243
	27 Subtract line 26 from line 12				
	a <b>Excess of revenue over expenses and disbursements</b>	22,700			
	b <b>Net investment income</b> (if negative, enter -0-)		507,284		
	c <b>Adjusted net income</b> (if negative, enter -0-)			0	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions )	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing . . . . .			
	2	Savings and temporary cash investments . . . . .	453,079	533,660	533,660
	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) . . . . .	4,621,603	5,231,303	6,221,539
	c	Investments—corporate bonds (attach schedule). . . . .	3,534,373	2,851,196	2,848,039
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans . . . . .			
	13	Investments—other (attach schedule) . . . . .			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)	8,609,055	8,616,159	9,603,238	
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 ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted . . . . .			
	25	Temporarily restricted . . . . .			
	26	Permanently restricted . . . . .			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds . . . . .	8,609,055	8,616,159	
	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) . . . . .	8,609,055	8,616,159	
31	Total liabilities and net assets/fund balances (see instructions) . . .	8,609,055	8,616,159		

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 8,609,055
2	Enter amount from Part I, line 27a . . . . .	2 22,700
3	Other increases not included in line 2 (itemize) ▶ <input checked="" type="checkbox"/> _____	3 15,806
4	Add lines 1, 2, and 3 . . . . .	4 8,647,561
5	Decreases not included in line 2 (itemize) ▶ <input checked="" type="checkbox"/> _____	5 31,402
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6 8,616,159

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	389,394
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 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))
2013	462,676	9,431,284	0 049058
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

2	Total of line 1, column (d). . . . .	2	0 232163
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 046433
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5. . . . .	4	9,697,446
5	Multiply line 4 by line 3. . . . .	5	450,282
6	Enter 1% of net investment income (1% of Part I, line 27b). . . . .	6	5,073
7	Add lines 5 and 6. . . . .	7	455,355
8	Enter qualifying distributions from Part XII, line 4. . . . .	8	494,243

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 <input type="checkbox"/> and enter "N/A" on line 1		
	Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .	1	5,073
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	5,073
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0
5	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0- . . . . .	5	5,073
6	Credits/Payments		
a	2014 estimated tax payments and 2013 overpayment credited to 2014	6a	3,340
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	3,340
8	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	0
9	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b> . . . . .	9	1,733
10	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b> . . . . .	10	
11	Enter the amount of line 10 to be <b>Credited to 2015 estimated tax</b> <input type="checkbox"/> 0 <b>Refunded</b> <input type="checkbox"/>	11	0

Part VII-A

Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .	1a		Yes	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? . . . . .	1b			No
	<i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>				
c	Did the foundation file <b>Form 1120-POL</b> for this year? . . . . .	1c			No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____				
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____				
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .	2			No
	<i>If "Yes," attach a detailed description of the activities.</i>				
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i> . . . . .	3			No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	4a			No
b	If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year? . . . . .	4b			
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .	5			No
	<i>If "Yes," attach the statement required by General Instruction T.</i>				
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	6		Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i> . . . . .	7		Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> NJ _____				
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	8b		Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i> . . . . .	9			No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i> . . . . .	10			No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address				
14	The books are in care of	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 <b>Form 1041</b> —Check here			
	and enter the amount of tax-exempt interest received or accrued during the year	15		
16	At any time during calendar year 2014, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?			
	(6) Agree to pay money or property to a government official? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days )			
b	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> 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		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 2014?	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 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014?			
	If "Yes," list the years			
b	Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement—see instructions )	2b		No
c	If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?			
b	If "Yes," did it have excess business holdings in 2014 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2014.</i> )	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a	During the year did the foundation pay or incur any amount to			
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(2)	Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4)	Provide a grant to an organization other than a charitable, etc , organization described in section 4945(d)(4)(A)? (see instructions).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	If any answer is "Yes" to 5a(1)–(5), did <b>any</b> of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?	5b		
	Organizations relying on a current notice regarding disaster assistance check here.	<input type="checkbox"/>		
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
WELLS FARGO BANK NA 1525 WEST WT HARRIS BLVD CHARLOTTE, NC 28288	TRUSTEE 40	102,791		
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

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

## Part IX-A Summary of Direct Charitable Activities

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

**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	9,524,315
b	Average of monthly cash balances. . . . .	1b	320,808
c	Fair market value of all other assets (see instructions). . . . .	1c	0
d	Total (add lines 1a, b, and c). . . . .	1d	9,845,123
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	9,845,123
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	4	147,677
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	9,697,446
6	Minimum investment return. Enter 5% of line 5. . . . .	6	484,872

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	484,872
2a	Tax on investment income for 2014 from Part VI, line 5. . . . .	2a	5,073
b	Income tax for 2014 (This does not include the tax from Part VI ). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	5,073
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	479,799
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	0
5	Add lines 3 and 4. . . . .	5	479,799
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	479,799

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	494,243
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	494,243
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	5,073
6	Adjusted qualifying distributions. Subtract line 5 from line 4. . . . .	6	489,170

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 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7				479,799
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only. . . . .			19,766	
b Total for prior years 2012 , 20__ , 20__		0		
3 Excess distributions carryover, if any, to 2014				
a From 2009. . . . .	0			
b From 2010. . . . .	0			
c From 2011. . . . .	0			
d From 2012. . . . .	0			
e From 2013. . . . .	0			
f Total of lines 3a through e. . . . .	0			
4 Qualifying distributions for 2014 from Part XII, line 4 ▶ \$ 494,243				
a Applied to 2013, but not more than line 2a			19,766	
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 2014 distributable amount. . . . .				474,477
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2014 (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 2013 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .			0	
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015 . . . . .				5,322
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions). . . . .	0			
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions). . .	0			
9 Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a . . . . .	0			
10 Analysis of line 9				
a Excess from 2010. . . .	0			
b Excess from 2011. . . .	0			
c Excess from 2012. . . .	0			
d Excess from 2013. . . .	0			
e Excess from 2014. . . .	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 2014, enter the date of the ruling. . . . .

b

Check box to indicate whether the organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .	Tax year	Prior 3 years			(e) Total
		(a) 2014	(b) 2013	(c) 2012	(d) 2011	
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](http://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 helping students 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	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total . . . . .			3a	467,500
b Approved for future payment				
Total . . . . .			3b	

Enter gross amounts unless otherwise indicated

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

[illegible]

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?

<b>(1)</b> Cash. . . . .	<b>1a(1)</b>		<b>No</b>
<b>(2)</b> Other assets. . . . .	<b>1a(2)</b>		<b>No</b>
<b>b</b> Other transactions			
<b>(1)</b> Sales of assets to a noncharitable exempt organization. . . . .	<b>1b(1)</b>		<b>No</b>
<b>(2)</b> Purchases of assets from a noncharitable exempt organization. . . . .	<b>1b(2)</b>		<b>No</b>
<b>(3)</b> Rental of facilities, equipment, or other assets. . . . .	<b>1b(3)</b>		<b>No</b>
<b>(4)</b> Reimbursement arrangements. . . . .	<b>1b(4)</b>		<b>No</b>
<b>(5)</b> Loans or loan guarantees. . . . .	<b>1b(5)</b>		<b>No</b>
<b>(6)</b> Performance of services or membership or fundraising solicitations. . . . .	<b>1b(6)</b>		<b>No</b>
<b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees. . . . .	<b>1c</b>		<b>No</b>

[illegible]

**b** If "Yes," complete the following schedule

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

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.

\*\*\*\*\* 2015-04-17 \*\*\*\*\*

Signature of officer or trustee Date Title

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

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

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 )
627 ARTISAN FDS INC INTL FD INVESTOR CLASS		2014-06-20	2014-09-15
916 ARTISAN MID CAP FUND-INS #1333		2013-02-11	2014-04-22
284 ARTISAN MID CAP FUND-INS #1333		2014-06-20	2014-09-05
189 ARTISAN MID CAP FUND-INS #1333		2014-06-20	2014-09-15
4647 CREDIT SUISSE COMM RET ST-I #2156		2011-08-26	2014-04-22
17252 CREDIT SUISSE COMM RET ST-I #2156		2012-02-14	2014-06-18
356 DIAMOND HILL LONG-SHORT FD CL I #11		2012-08-10	2014-06-18
440 DIAMOND HILL LONG-SHORT FD CL I #11		2012-08-10	2014-09-15
8144 733 DIAMOND HILL LONG-SHORT FD CL I #11		2012-08-10	2014-10-22
252 DODGE & COX INT'L STOCK FD # 1048		2012-05-10	2014-01-21

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)
19,299		19,656	-357
45,663		38,188	7,475
14,782		14,487	295
9,594		9,641	-47
36,432		43,589	-7,157
133,013		147,264	-14,251
8,455		6,365	2,090
10,503		7,867	2,636
186,840		135,390	51,450
10,884		7,736	3,148

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	
			-357
			7,475
			295
			-47
			-7,157
			-14,251
			2,090
			2,636
			51,450
			3,148

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 )
305 DODGE & COX INT'L STOCK FD # 1048		2014-06-20	2014-09-05
209 DODGE & COX INT'L STOCK FD # 1048		2014-06-20	2014-09-15
837 DODGE & COX INCOME FD COM		2013-02-11	2014-01-21
4499 DODGE & COX INCOME FD COM		2013-02-11	2014-06-18
3306 DODGE & COX INCOME FD COM		2013-02-11	2014-09-05
1370 DODGE & COX INCOME FD COM		2013-02-11	2014-09-15
1525 DODGE & COX INCOME FD COM		2013-02-11	2014-10-22
500 127 DODGE & COX INCOME FD COM		2013-09-27	2014-10-28
3711 901 DODGE & COX INCOME FD COM		2014-04-24	2014-10-28
8089 DREYFUS EMG MKT DEBT LOC C-I #6083		2012-08-10	2014-01-21

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)
14,460		14,298	162
9,714		9,798	-84
11,433		11,609	-176
62,671		62,401	270
46,053		45,854	199
19,002		19,002	
21,243		21,152	91
6,952		6,761	191
51,595		51,150	445
110,091		118,707	-8,616

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	
			162
			-84
			-176
			270
			199
			91
			191
			445
			-8,616



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 )
7480 DREYFUS EMG MKT DEBT LOC C-I #6083		2012-08-10	2014-06-18
576 DREYFUS INTERNATL BOND FD CL I #6094		2014-04-24	2014-10-22
8099 DRIEHAUS ACTIVE INCOME FUND		2013-07-12	2014-01-21
17511 DRIEHAUS ACTIVE INCOME FUND		2013-09-27	2014-06-18
909 DRIEHAUS ACTIVE INCOME FUND		2013-09-27	2014-09-15
5946 319 EATON VANCE GLOBAL MACRO - I #0088		2014-01-23	2014-10-22
9678 017 EATON VANCE GLOBAL MACRO - I #0088		2013-07-12	2014-10-22
748 FID ADV EMER MKTS INC- CL I #607		2014-01-23	2014-09-15
388 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2014-06-20	2014-09-05
255 FLEMING CAP MUTUAL FUND GROUP J P MORGAN MID CAP VALUE FUND		2014-06-20	2014-09-15

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)
108,086		107,284	802
9,717		9,809	-92
87,469		86,949	520
188,944		187,777	1,167
9,690		9,726	-36
55,360		55,895	-535
90,102		91,945	-1,843
10,517		9,933	584
15,012		14,705	307
9,698		9,665	33

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	
			802
			-92
			520
			1,167
			-36
			-535
			-1,843
			584
			307
			33

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 )
644 HARBOR FD CAP APPRECIATION		2011-05-25	2014-01-21
993 319 HARBOR FD CAP APPRECIATION		2011-05-25	2014-06-18
460 681 HARBOR FD CAP APPRECIATION		2014-04-24	2014-06-18
671 HARBOR FD CAP APPRECIATION		2011-05-25	2014-09-05
280 HARBOR FD CAP APPRECIATION		2011-05-25	2014-09-15
69 ISHARES S&P 500 INDEX FUND		2012-08-08	2014-01-21
69 ISHARES S&P 500 INDEX FUND		2014-06-18	2014-09-15
600 JPMORGAN HIGH YIELD FUND SS #3580		2014-04-24	2014-10-28
431 KEELEY SMALL CAP VAL FD CL I #2251		2012-05-10	2014-01-21
4833 098 KEELEY SMALL CAP VAL FD CL I #2251		2012-05-10	2014-06-18

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)
37,036		25,077	11,959
58,069		38,680	19,389
26,931		25,876	1,055
41,293		26,129	15,164
16,845		10,903	5,942
12,768		9,703	3,065
13,811		13,533	278
4,800		4,872	-72
16,598		10,883	5,715
190,327		118,755	71,572

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	
			11,959
			19,389
			1,055
			15,164
			5,942
			3,065
			278
			-72
			5,715
			71,572

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 )
15892 59 LAUDUS MONDRIAN INT GV FI-INST #2940		2012-02-14	2014-04-22
4771 402 LAUDUS MONDRIAN INT GV FI-INST #2940		2014-01-23	2014-04-22
697 MFS VALUE FUND-CLASS I #893		2012-02-14	2014-01-21
290 MFS VALUE FUND-CLASS I #893		2014-06-20	2014-09-05
542 MFS VALUE FUND-CLASS I #893		2014-06-20	2014-09-15
2153 273 MERGER FD SH BEN INT		2011-10-20	2014-06-18
877 727 MERGER FD SH BEN INT		2014-04-24	2014-06-18
6394 MERGER FD SH BEN INT		2013-07-12	2014-08-08
2914 ASG GLOBAL ALTERNATIVES-Y #1993		2013-07-12	2014-01-21
3471 ASG GLOBAL ALTERNATIVES-Y #1993		2013-07-12	2014-06-18

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)
173,706		195,047	-21,341
52,151		51,054	1,097
23,113		16,784	6,329
10,165		10,150	15
18,883		18,970	-87
35,507		34,086	1,421
14,474		14,175	299
104,414		102,192	2,222
33,307		33,511	-204
39,222		39,917	-695

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	
			-21,341
			1,097
			6,329
			15
			-87
			1,421
			299
			2,222
			-204
			-695

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 )
116 ASG GLOBAL ALTERNATIVES-Y #1993		2013-07-12	2014-08-08
857 ASG GLOBAL ALTERNATIVES-Y #1993		2013-07-12	2014-09-15
1447 NEUBERGER BERMAN LONG SH-INS #1830		2014-06-20	2014-09-15
573 NUVEEN HIGH YIELD MUNI BD-R #1668		2014-04-24	2014-09-15
244 NUVEEN HIGH YIELD MUNI BD-R #1668		2014-04-24	2014-10-28
9420 749 NUVEEN HIGH YIELD MUNI BD-R #1668		2014-04-24	2014-12-19
528 OPPENHEIMER DEVELOPING MKT-Y #788		2013-02-11	2014-06-18
753 OPPENHEIMER DEVELOPING MKT-I #799		2013-02-11	2014-09-05
2119 885 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2012-05-10	2014-06-18
3313 115 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2014-04-24	2014-06-18

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)
1,271		1,334	-63
9,684		9,856	-172
18,854		18,710	144
9,689		9,414	275
4,187		4,009	178
162,225		154,783	7,442
20,893		18,865	2,028
31,340		26,939	4,401
23,107		22,409	698
36,113		35,848	265

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	
			-63
			-172
			144
			275
			178
			7,442
			2,028
			4,401
			698
			265

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 )
4465 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2014-04-24	2014-09-05
1608 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2013-09-27	2014-09-15
54393 044 PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL		2013-09-27	2014-09-30
1082 PIMCO FOREIGN BOND FUND-INST		2012-02-14	2014-09-15
15440 191 RIDGEWORTH SEIX HY BD-I #5855		2011-08-26	2014-01-21
6635 809 RIDGEWORTH SEIX HY BD-I #5855		2013-07-12	2014-01-21
24867 527 RIDGEWORTH SEIX HY BD-I #5855		2011-10-20	2014-04-22
19523 ROWE T PRICE SHORT TERM BD FD INC		2013-02-11	2014-04-22
10426 ROWE T PRICE SHORT TERM BD FD INC		2012-02-14	2014-06-18
11667 ROWE T PRICE SHORT TERM BD FD INC		2013-02-11	2014-10-28

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)
48,936		48,277	659
17,495		17,382	113
591,252		561,306	29,946
11,945		11,509	436
152,240		144,675	7,565
65,429		66,690	-1,261
247,432		232,788	14,644
93,515		94,491	-976
49,941		50,462	-521
55,885		56,468	-583

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	
			659
			113
			29,946
			436
			7,565
			-1,261
			14,644
			-976
			-521
			-583

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 )
370 T ROWE PRICE INST FLOAT RATE #170		2014-01-23	2014-10-28
409 SPDR DJ WILSHIRE INTERNATIONAL REAL		2011-05-23	2014-09-05
235 VANGUARD TOTAL BOND MARKET ETF		2014-09-30	2014-10-22
691 VANGUARD TOTAL BOND MARKET ETF		2014-09-30	2014-10-28
1519 VANGARD MSCI EMERGING MARKETS EFT		2010-12-28	2014-01-21
2000 VANGARD MSCI EMERGING MARKETS EFT		2013-02-07	2014-01-21
226 VANGARD MSCI EMERGING MARKETS EFT		2010-12-28	2014-06-18
268 VANGARD MSCI EMERGING MARKETS EFT		2010-12-28	2014-09-05
310 VANGUARD REIT VIPER		2014-01-21	2014-04-22
77 VANGUARD REIT VIPER		2014-01-21	2014-09-05

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)
3,744		3,818	-74
18,263		16,215	2,048
19,450		19,273	177
57,065		56,669	396
59,680		71,348	-11,668
78,579		87,951	-9,372
9,804		10,615	-811
12,399		12,588	-189
22,325		20,716	1,609
5,969		5,146	823

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	
			-74
			2,048
			177
			396
			-11,668
			-9,372
			-811
			-189
			1,609
			823

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 )
197 VANGUARD REIT VIPER		2010-12-28	2014-09-05
217 VANGUARD REIT VIPER		2010-12-28	2014-10-22
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)
15,272		10,343	4,929
16,613		11,393	5,220
			169,294

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	
			4,929
			5,220

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
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	PERFORMANCES AND	50,000
THE NEW SCHOOL 66 WEST 12TH STREET NEW YORK,NY 10011	NONE	PC	MANNES ORCHESTRA CONCERT AT	25,000
STATE THEATRE REGIONAL ARTS 11 LIVINGSTON AVENUE NEW BRUNSWICK,NJ 08901	NONE	PC	CLASSICAL EDUCATION &	12,500
DREW UNIVERSITY 36 MADISON AVENUE MADISON,NJ 07940	NONE	PC	CHAMBER MUSIC SOCIETY OF	20,000
NEW JERSEY SYMPHONY ORQUESTRA 60 PARK PLACE 9TH FLOOR NEWARK,NJ 07102	NONE	PC	SYMPHONY ORCHESTRA	20,000
NEWARK SCHOOL OF THE ARTS 89 LINCOLN PARK NEWARK,NJ 07102	NONE	PC	SCHOLARSHIP AND PERFORMANCE	20,000
NEWARK BOYS CHORUS SCHOOL 1016 BROAD STREET NEWARK,NJ 07102	NONE	PC	MUSIC FOR SUCCESS	50,000
COUNT BASIE THEATER INC 99 MONMOUTH STREET RED BANK,NJ 07701	NONE	PC	THEATER AND NEW JERSEY	20,000
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	SCHOLARSHIPS AND PRIVATE	20,000
MERCER COUNTY COMMUNITY COLLEGE 1200 OLD TRENTON ROAD WEST WINDSOR,NJ 085503407	NONE	PC	PUBLIC RADIO STATION	10,000
ALL SEASONS CHAMBER PLAYERS 115 ORCHARD ROAD DEMAREST,NJ 07627	NONE	PC	COMMUNITY CONCERTS	5,000
NEW JERSEY FESTIVAL ORCHESTRA 224 E BROAD ST SUITE 6 WESTFIELD,NJ 07090	NONE	PC	MUSIC EDUCATION FOR	10,000
ROWAN UNIVERSITY FOUNDATION 201 MULICA HILL RD GLASSBORO,NJ 08028	NONE	PC	GRADUATE SCHOLARSHIP	20,000
<b>Total . . . . .</b>  <b>3a</b>				467,500



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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> Paid during the year				
BAY-ATLANTIC SYMPHONY 59 E COMMERCE STREET BRIDGETON,NJ 08302	NONE	PC	MUSIC/MENTORSHIP PROGRAM	15,000
DISCOVERY ORCHESTRA INC 50 MT BETHEL ROAD PO BOX 4064 WARREN,NJ 070590064	NONE	PC	EDUCATIONAL DISCOVERY	15,000
PHILIPS EDUCATION PARTNERS 342 CENTRAL AVENUE NEWARK,NJ 07102	NONE	PC	MUSIC PERFORMING ARTS AND	15,000
SCHOLA CANTORUM ON HUDSON INC P O BOX 3914 JERSEY CITY,NJ 07303	NONE	PC	20TH SEASON COLLABORATIVE	15,000
MONTCLAIR STATE UNIVERSITY 1 EAST NORMAL AVENUE MONTCLAIR,NJ 07043	NONE	PC	YEAR ONE STRING LEADERSHIP	30,000
PROTESTANT EPISCOPAL CHRUCH IN THE UNITED STATES OF AMERICA 70 MAPLE AVENUE MORRISTOWN,NJ 07960	NONE	PC	ST PETERS'S DISCOVERY	3,000
UNION CITY MUSIC PROJECT 716 23RD STREET SUITE 2 UNION CITY,NJ 07087	NONE	PC	EXPANSION OF AFTER SCHOOL	10,000
10 HAIRY LEGS PO BOX 4452 HIGHLAND PARK,NJ 08904	NONE	PC	ST PETERSBURG WALTZ	10,000
MIDATLANTIC OPERA INC 163 MADISON AVE STE 220-49 MORRISTOWN,NJ 07960	NONE	PC	GENERAL OPERATING SUPPORT	12,000
RAMAPO COLLEGE FOUNDATION 505 RAMAPO VALLEY ROAD MAHWAH,NJ 07430	NONE	PC	OPEN DOOR CONCERT SERIES	13,000
ATLANTIC COAST OPERA FESTIVAL 2028 SOUTH 17TH ST 11 PHILADELPHIA,PA 191452902	NONE	PC	WORLD PREMIERE CONCERTS	22,000
<b>Total . . . . .</b>  <b>3a</b>				467,500

## TY 2014 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 2014 Investments Corporate  
Bonds Schedule****Name:** FRANK AND LYDIA BERGEN FOUNDATION**EIN:** 22-6359304

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
256210105 DODGE & COX INCOME F	462,180	508,366
261980494 DREYFUS EMG MKT DEBT	247,566	216,751
51855Q655 LAUDUS MONDRIAN INTL		
693390700 PIMCO TOTAL RET FD-I		
693390882 PIMCO FOREIGN BD FD	204,265	212,752
76628T645 RIDGEWORTH SEIX HY B		
77957P105 T ROWE PRICE SHORT T	399,835	395,822
262028855 DRIEHAUS ACTIVE INCO	187,385	186,184
261980668 DREYFUS INTERNATL BO	212,824	204,076
315920702 FID ADV EMER MKTS IN	137,032	135,897
4812C0803 JPMORGAN HIGH YIELD	345,735	335,327
77958B402 T ROWE PRICE INST FL	145,170	141,429
921937835 VANGUARD TOTAL BOND	509,204	511,435

TY 2014 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	257,352	359,084
487300808 KEELEY SMALL CAP VAL		
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	279,058	460,749
922042858 VANGUARD FTSE EMERGI	153,274	143,672
61744J317 MORGAN STANLEY #8001		
722005667 PIMCO COMMOD FD #45		
922908553 VANGUARD REIT VIPER	227,548	351,054
04314H204 ARTISAN INTERNATIONA	330,677	470,962
22544R305 CREDIT SUISSE COMM R	429,032	336,559
25264S833 DIAMOND HILL LONG-SH		
411511504 HARBOR CAPITAL APRCT	509,704	710,345
448108100 HUSSMAN STRATEGIC GR		
464287200 ISHARES CORE S & P 5	189,301	263,552
552983694 MFS VALUE FUND-CLASS	577,851	753,375

<b>Name of Stock</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
56063J302 MAINSTAY EP US EQUIT		
589509108 MERGER FD SH BEN INT		
683974505 OPPENHEIMER DEVELOPI		
78463X863 SPDR DJ WILSHIRE INT	289,626	324,870
04314H600 ARTISAN MID CAP FUND	290,517	342,568
367829884 GATEWAY FUND - Y #19		
464287648 ISHARES RUSSELL 2000		
277923728 EATON VANCE GLOBAL M		
483438305 KALMAR GR W/ VAL SM	158,833	179,080
63872T885 ASG GLOBAL ALTERNATI	195,554	191,303
00203H859 AQR MANAGED FUTURES	140,794	144,046
589509207 MERGER FUND-INST #30	142,536	140,707
64128R608 NEUBERGER BERMAN LON	335,860	336,899
683974604 OPPENHEIMER DEVELOPI	433,213	432,263
74255L696 PRINCIPAL GL MULT ST	98,084	98,084
863137105 STRATTON SM-CAP VALU	192,489	182,367

**TY 2014 Other Decreases Schedule****Name:** FRANK AND LYDIA BERGEN FOUNDATION**EIN:** 22-6359304

Description	Amount
MUTUAL FUND POSTING DATE AFTER TYE	24,547
ROC BASIS ADJUSTMENT	6,855

TY 2014 Other Expenses Schedule

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
SOMERST CNTY - RECORDS SEARCH	45	0		45

## TY 2014 Other Increases Schedule

**Name:** FRANK AND LYDIA BERGEN FOUNDATION

**EIN:** 22-6359304

Description	Amount
MUTUAL FUND TAX EFFECTIVE DATE BEFORE TYE	15,805
ROUNDING	1



**TY 2014 Taxes Schedule****Name:** FRANK AND LYDIA BERGEN FOUNDATION**EIN:** 22-6359304

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL ESTIMATES - PRINCIPAL	3,165	0		0
FOREIGN TAXES ON QUALIFIED FOR	1,813	1,813		0
FOREIGN TAXES ON NONQUALIFIED	879	879		0