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Form 990-PF

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.

2014

Open to Public
Inspection

For calendar year 2014, or tax year beginning 12-01-2014, and ending 11-30-2015

Name of foundation
Bergen Foundation

A Employer identification number

95-6044540

Number and street (or P O box number if mail is not delivered to street address)
13701 Riverside Drive

B Telephone number (see instructions)

(818) 981-3505

City or town, state or province, country, and ZIP or foreign postal code
Sherman Oaks, CA 91423C If exemption application is pending, check here ►

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

D 1. Foreign organizations, check here ► 2. Foreign organizations meeting the 85% test, check here and attach computation ► E If private foundation status was terminated under section 507(b)(1)(A), check here ► F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ►

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

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ► \$ 16,451,674

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)				
2	Check ► <input checked="" 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.	587,918	587,918		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	94,244			
b	Gross sales price for all assets on line 6a 16,557,552				
7	Capital gain net income (from Part IV, line 2)		94,244		
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)	89,689	89,689		
12	Total. Add lines 1 through 11	771,851	771,851		

13	Compensation of officers, directors, trustees, etc	180,000	90,000	90,000
14	Other employee salaries and wages			
15	Pension plans, employee benefits			
16a	Legal fees (attach schedule)	5,718	2,859	2,859
b	Accounting fees (attach schedule)	148,800	72,500	76,300
c	Other professional fees (attach schedule)			
17	Interest			
18	Taxes (attach schedule) (see instructions)	31,280	5,140	26,140
19	Depreciation (attach schedule) and depletion			
20	Occupancy			
21	Travel, conferences, and meetings			
22	Printing and publications			
23	Other expenses (attach schedule)	99,785	93,097	6,688
24	Total operating and administrative expenses.	465,583	263,596	201,987
	Add lines 13 through 23	501,500		501,500
25	Contributions, gifts, grants paid	967,083	263,596	703,487
26	Total expenses and disbursements. Add lines 24 and 25			

27	Subtract line 26 from line 12			
a	Excess of revenue over expenses and disbursements	-195,232		
b	Net investment income (if negative, enter -0-)		508,255	
c	Adjusted net income (if negative, enter -0-)			

Assets	Part III 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
	1 Cash—non-interest-bearing		63,035	287,325	287,325
	2 Savings and temporary cash investments		962,586		
	3 Accounts receivable ►				
	Less allowance for doubtful accounts ►				
	4 Pledges receivable ►				
	Less allowance for doubtful accounts ►				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7 Other notes and loans receivable (attach schedule) ►				
	Less allowance for doubtful accounts ►		200,000		
	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)		8,351,598	15,145,055	14,183,822
	c Investments—corporate bonds (attach schedule)		6,177,808		
	11 Investments—land, buildings, and equipment basis ►				
	Less accumulated depreciation (attach schedule) ►				
	12 Investments—mortgage loans				
	13 Investments—other (attach schedule)		521,917	649,509	602,403
	14 Land, buildings, and equipment basis ►				
	Less accumulated depreciation (attach schedule) ►				
	15 Other assets (describe ► _____)		1,040,624	1,040,624	1,378,124
	16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)		17,317,568	17,122,513	16,451,674
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 ► _____)		5,380	5,557	
	23 Total liabilities (add lines 17 through 22)		5,380	5,557	
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		17,312,188	17,116,956	
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here ► <input type="checkbox"/> 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)		17,312,188	17,116,956	
	31 Total liabilities and net assets/fund balances (see instructions)		17,317,568	17,122,513	

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	17,312,188
2	Enter amount from Part I, line 27a	2	-195,232
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3	4	17,116,956
5	Decreases not included in line 2 (itemize) ►	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	17,116,956

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)
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1a

(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

(i) FMV 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			
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	94,244
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	857,594	16,034,241	0 05349
2012	817,496	15,346,541	0 05327
2011	864,948	16,259,283	0 05320
2010	714,124	16,294,915	0 04383
2009	939,407	15,781,302	0 05953
2 Total of line 1, column (d).			2 0 26330
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 05266
4 Enter the net value of noncharitable-use assets for 2014 from Part X, line 5.			4 15,680,419
5 Multiply line 4 by line 3.			5 825,747
6 Enter 1% of net investment income (1% of Part I, line 27b).			6 5,083
7 Add lines 5 and 6.			7 830,830
8 Enter qualifying distributions from Part XII, line 4.			8 703,487

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)	1	10,165
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	
3	Add lines 1 and 2.	3	10,165
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-	5	10,165
6	Credits/Payments		
a	2014 estimated tax payments and 2013 overpayment credited to 2014	6a	18,582
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments Add lines 6a through 6d.	7	18,582
8	Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	8,417
11	Enter the amount of line 10 to be Credited to 2015 estimated tax <input type="checkbox"/> 8,417 Refunded <input type="checkbox"/>	11	

Part VII-A Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		Yes	No
1b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)?		Yes	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>			
1c	Did the foundation file Form 1120-POL for this year?		Yes	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?		Yes	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? If "Yes," attach a conformed copy of the changes		Yes	No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?		Yes	No
b	If "Yes," has it filed a tax return on Form 990-T for this year?		Yes	No
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?		Yes	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?		Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.		Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions)			
	<input type="checkbox"/> CA			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation		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)? If "Yes," complete Part XIV		Yes	No
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.		Yes	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 ► N/A

14 The books are in care of ► John Larkin Telephone no ► (818) 981-3505
Located at ► 13701 Riverside Drive Eighth Floor Sherman Oaks CA ZIP +4 ► 91423

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —Check here ► 15 and enter the amount of tax-exempt interest received or accrued during the year

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?

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.

1a	During the year did the foundation (either directly or indirectly)		Yes	No
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	► Yes	✓ No	
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	► Yes	✓ No	
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	► Yes	✓ No	
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	► Yes	✓ No	
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	► Yes	✓ No	
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	► Yes	✓ No	
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see 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?	► Yes	✓ No	
	If "Yes," list the years ► 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions)		2b	No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	► Yes	✓ No	
b	If "Yes," did it have excess business holdings in 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? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2014)		3b	No
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 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)?	
Organizations relying on a current notice regarding disaster assistance check here.		<input checked="" type="checkbox"/>
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<i>If "Yes," attach the statement required by Regulations section 53.4945-5(d).</i>		
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?	
<i>If "Yes" to 6b, file Form 8870.</i>		
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?	

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)

2. 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
Kris Bergen	President 25 00	180,000		
c/o Foundation address Sherman Oaks, CA 91423				
Candice Bergen	Secretary 1 00	0		
c/o Foundation address Sherman Oaks, CA 91423				
John Larkin	Director 8 00	0		
13701 Riverside Drive Ste 800 Sherman Oaks, CA 91423				

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 _____ _____	
2 _____ _____	

All other program-related investments See instructions

3 _____

Total. Add lines 1 through 3

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	14,866,522
b	Average of monthly cash balances.	1b	450,282
c	Fair market value of all other assets (see instructions).	1c	602,403
d	Total (add lines 1a, b, and c).	1d	15,919,207
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	
3	Subtract line 2 from line 1d.	3	15,919,207
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	238,788
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	15,680,419
6	Minimum investment return. Enter 5% of line 5.	6	784,021

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	784,021
2a	Tax on investment income for 2014 from Part VI, line 5.	2a	10,165
b	Income tax for 2014 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	10,165
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	773,856
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	773,856
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	773,856

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	703,487
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	703,487
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	703,487
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				773,856
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only.				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2014				
a From 2009.	28,579			
b From 2010.				
c From 2011.	58,438			
d From 2012.	93,399			
e From 2013.	60,718			
f Total of lines 3a through e.	241,134			
4 Qualifying distributions for 2014 from Part XII, line 4 ► \$ _____ 703,487				
a Applied to 2013, 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).	0			
d Applied to 2014 distributable amount.				703,487
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2014 (If an amount appears in column (d), the same amount must be shown in column (a).)	70,369			70,369
6 Enter the net total of each column as indicated below:	170,765			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
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 2013 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015.				0
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).				
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	170,765			
10 Analysis of line 9				
a Excess from 2010.	16,648			
b Excess from 2011.	93,399			
c Excess from 2012.	60,718			
e Excess from 2014.				

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. <input type="text"/>			
b	Check box to indicate whether the organization is a private operating foundation described in section <input type="checkbox"/> 4942(j)(3) or <input type="checkbox"/> 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.			
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

Do not send applications
13701 Riverside Drive Suite 800
Sherman Oaks, CA 91423

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

Do not submit

c Any submission deadlines

Not applicable

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

Not applicable

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 list attached See list attached, CA 91423	None	Char	Public Charity	501,500
Total			► 3a	501,500
b Approved for future payment				
Total			► 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments.					
3 Interest on savings and temporary cash investments.					
4 Dividends and interest from securities.			14	587,918	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property.					
7 Other investment income.			16	79,689	
8 Gain or (loss) from sales of assets other than inventory					94,244
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory.					
11 Other revenue a Partnership income			16		
b Royalty and license fee			15	10,000	
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e).				677,607	94,244
13 Total. Add line 12, columns (b), (d), and (e).				13	771,851
(See worksheet in line 13 instructions to verify calculations.)					

Part XVI-B Relationship of Activities to the Accomplishment of 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 (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?	Yes	No
a Transfers from the reporting foundation to a noncharitable exempt organization of	1a(1)	No
(1) Cash.	1a(2)	No
(2) Other assets.		
b Other transactions	1b(1)	No
(1) Sales of assets to a noncharitable exempt organization.	1b(2)	No
(2) Purchases of assets from a noncharitable exempt organization.	1b(3)	No
(3) Rental of facilities, equipment, or other assets.	1b(4)	No
(4) Reimbursement arrangements.	1b(5)	No
(5) Loans or loan guarantees.	1b(6)	No
(6) Performance of services or membership or fundraising solicitations.	1c	No
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. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

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

b If "Yes," complete the following schedule

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

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.

* * * * *

2016-10-17

* * * * *

Signature of officer or trustee

Date

Titl

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

Paid Preparer Use Only	Print/Type preparer's name William H Downs CPA	Preparer's Signature	Date	Check if self-employed <input checked="" type="checkbox"/>	PTIN P00081850
	Firm's name ► William H Downs CPA			Firm's EIN ►	
	Firm's address ► 13701 Riverside Drive 400 Sherman Oaks, CA 91423				
				Phone no	(818) 981-4313

TY 2014 Accounting Fees Schedule

Name: Bergen Foundation

EIN: 95-6044540

Software ID: 14000265

Software Version: 2014v6.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Accounting	148,800	72,500	0	76,300

TY 2014 Legal Fees Schedule

Name: Bergen Foundation

EIN: 95-6044540

Software ID: 14000265

Software Version: 2014v6.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Legal	5,718	2,859	0	2,859

TY 2014 Other Assets Schedule

Name: Bergen Foundation**EIN:** 95-6044540**Software ID:** 14000265**Software Version:** 2014v6.0

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Other memorabilia	79,500	79,500	417,000
Ventriloquist figures	961,124	961,124	961,124

TY 2014 Other Expenses Schedule

Name: Bergen Foundation

EIN: 95-6044540

Software ID: 14000265

Software Version: 2014v6.0

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Attorney Gen fees	75			75
FTB Filing fee	20			20
Investment advisor	87,452	87,452		
Office	490	245		245
Rental Expenses	10,800	5,400		5,400
Storage	948			948

TY 2014 Other Income Schedule

Name: Bergen Foundation**EIN:** 95-6044540**Software ID:** 14000265**Software Version:** 2014v6.0

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Other Investment Income	79,689	89,689	
Royalty and license fee	10,000		

TY 2014 Other Liabilities Schedule

Name: Bergen Foundation

EIN: 95-6044540

Software ID: 14000265

Software Version: 2014v6.0

Description	Beginning of Year - Book Value	End of Year - Book Value
Payroll taxes payable	5,380	5,557

TY 2014 Taxes Schedule

Name: Bergen Foundation**EIN:** 95-6044540**Software ID:** 14000265**Software Version:** 2014v6.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Federal excise tax paid	21,000			21,000
Payroll tax	10,280	5,140		5,140

Bergen Foundation95-6044540Attachment to Form 990-PF and California Form 199 for Fiscal Year Ended 11/30/15Part XV, Supplementary Information

The Foundation does not solicit any applications. Instead, its President and Board select charitable and other qualifying institutions engaged in medical research, education and other humanitarian activities.

However, in the event that applications are received, they will not be considered unless they are made in writing and include documentary evidence that the applying institution or organization's activities are confined to those listed in the preceding paragraph. Applications should include a detailed description of the applicant's history, activities, and programs.

PART XV, Grants and Contributions Paid During the Year

ABC Hopes, Inc.	1,000
1748 West Katella Avenue, Suite 206	
Orange, CA 92867	
Academy of Television Arts & Sciences Foundation	7,500
5220 Lankershim Boulevard	
North Hollywood, CA 91601	
ACT Today	5,000
19019 Ventura Blvd., Suite 200	
Tarzana, CA 91356	
Alzheimer's Association	20,000
5900 Wilshire Boulevard	
Los Angeles, CA 90036	
American Heart Association	10,000
816 So Figueroa Street	
Los Angeles, CA 90017	
American Red Cross	25,000
11355 Ohio Avenue	
Los Angeles, CA 90025	
Animal Rescue Fund	5,000
P O. Box 901	
Waincott, NY 11975	
ASPCA	10,000
P.O. BOX 96929	
Washington, DC 20090	

Part XV, Grants and Contributions Paid During the Year

(Continued)

Blind Children's Center	5,000
4120 Marathon Street	
Los Angeles, CA 90029	
The Bowery Mission	10,000
132 Madison Avenue	
New York, NY 10016	
Boys Republic	1,000
3493 Grand Avenue	
Chino Hills, CA 91709-9989	
Brahma Kumaris World Spiritual Organization	20,000
2428 Griffith Park Boulevard	
Los Angeles, CA 90039	
Canine Companies	10,000
P.O. Box 446	
Santa Rosa, CA 95402	
Chimp Haven	5,000
13600 Chimpanzee Place	
Keithville, LA 71047	
Children's Institute, Inc.	10,000
2121 West Temple Street	
Los Angeles, CA 90026	
City Harvest	20,000
575 8th Avenue, 4th Floor	
New York, NY 10018	
Doctor's Without Borders	20,000
P.O. Box 5030	
Hagerstown, MD 21741	
The Fisher House Foundation	25,000
111 Rockville Drive, Suite 420	
Rockville, MD 20850	
Flying Kites Kenya	5,000
604 Thames Street	
Newport, RI 02840	
The Fulfillment Fund	5,000
6100 Wilshire Blvd , Suite 600	
Los Angeles, CA 90048	
God's Love We Deliver	10,000
166 Avenue of the Americas	
New York, NY 10013	
Goodwill Industries	10,000
342 North San Fernando Road	
Los Angeles, CA 90031-9985	

Part XV, Grants and Paid Contributions Paid During the Year

(Continued)

Guide Dogs for the Blind	10,000
P.O. Box 151200	
San Rafael, CA 94915-1200	
International Rescue Committee	10,000
122 East 42nd Street	
New York, NY 10168	
The John Douglas French Foundation	2,500
11620 Wilshire Blvd.	
Los Angeles, CA 90025	
Kabbalah Centre	20,000
1062 South Roberston Boulevard	
Los Angeles, CA 90035	
KCA	20,000
1062 South Roberston Boulevard	
Los Angeles, CA 90035	
The Lange Foundation	1,000
2178 Roscomare Rd.	
Los Angeles, CA 90077	
Los Angeles Mission	10,000
PO Box 55900	
Los Angeles, CA 90055	
Meals on Wheels of West Los Angeles	10,000
900 Hilgard Avenue	
Los Angeles, CA 90024	
Motion Picture and Television Fund Foundation	5,000
23388 Mulholland Drive, Suite 220	
Woodland Hills, CA 91364-9952	
Museum of Broadcast Communications	20,000
400 North State Street, Suite 240	
Chicago, IL 60601-4624	
Navy Seal Foundation	5,000
1619 D Street	
Virginia Beach, VA 23459	
New England Science and Sailing	5,000
P.O. Box 733	
Stonington, CT 06378	
New Yorkers For Children	5,000
450 Seventh Avenue, Suite 403	
New York, NY 10123	

Part XV, Grants and Paid Contributions Paid During the Year

(Continued)

NY Times Neediest Cases Fund	10,000
4 Chase Metro Tech Center, 7th Floor	
Brooklyn, NY 11245	
Ocean Futures Society	62,000
325 Chapala Street	
Santa Barbara, CA 93101	
Pet Partners	10,000
875 124th Ave. NE #101	
Bellevue, WA 98005	
Puente Learning Center	5,000
501 S. Boyle Avenue	
Los Angeles, CA 90033	
Rescue Mission Alliance	10,000
315 North A Street	
Oxnard, CA 93030	
Sherman Oaks Parents Association	1,500
14755 Greenleaf Street	
Sherman Oaks, CA 91403	
St. Baldricks Foundation	2,500
1333 S. Mayflower Ave., #400	
Monrovia, CA 91016	
Team Rubicon	5,000
300 N. Continental Blvd., #100	
El Segundo, CA 90245	
Union Rescue Mission	10,000
545 South San Pedro Street	
Los Angeles, CA 90013	
USA For UNHCR	10,000
1775 K Street N.W., Suite 290	
Washington, DC 20006	
USO	5,000
P.O. Box 96860	
Washington, DC 20077-7677	
Volunteers Of America	5,000
3600 Wilshire Boulevard, Room 1500	
Los Angeles, CA 90010	
The Water Buffalo	2,500
1547 S Oakhurst Drive	
Los Angeles, CA 90035	

501,500

BERGEN FOUNDATION
STOCK AND BOND TRANSACTIONS
FISCAL YEAR ENDED NOVEMBER 30, 2015

NAME	ACQUIRED	SALE DATE	PROCEEDS	SHARES	BASIS	GAIN/LOSS
Boeing Co.	Various	12/5/2014	26,391.00	200.00	22,807.00	3,584.00
Centurylink, Inc.	5/21/2014	12/5/2014	36,679.00	900.00	34,207.00	2,472.00
Put on Eem	11/19/2014	12/29/2014	13,200.00	30,000.00	14,700.00	-1,500.00
Put on Efa	11/19/2014	12/29/2014	4,628.00	13,200.00	8,605.00	-3,977.00
T Rowe Price Sc Stock	Various	12/3/2014	71,472.00	1,574.00	66,470.00	5,002.00
T Rowe Price Sc Stock	2/4/2014	12/3/2014	15,540.00	336.36	14,208.00	1,332.00
T Rowe Price Sc Stock	4/7/2014	12/3/2014	13,713.00	296.81	13,318.00	395.00
Verizon Communications, Inc.	Various	12/5/2014	24,689.00	500.00	24,645.00	44.00
Driehaus Active Income Fund	1/31/2014	12/3/2014	176,015.00	16,731.44	180,365.00	-4,350.00
T Rowe Price International Bond Fund	4/25/2013	12/3/2014	128,736.00	14,209.27	138,114.00	-9,378.00
T Rowe Price International Bond Fund	5/24/2013	12/3/2014	38,929.00	4,296.85	40,992.00	-2,063.00
T Rowe Price International Bond Fund	5/30/2013	12/3/2014	27,721.00	3,059.70	29,037.00	-1,316.00
California Resources Corp.	12/10/14	1/30/2015	343.00	80.00	609.00	-266.00
Citigroup, Inc.	Various	1/30/2015	47,871.00	1,000.00	51,000.00	-3,129.00
JP Morgan Chase Co.	Various	1/30/2015	55,806.00	1,000.00	51,483.00	4,323.00
Lyondellbasell Industries	12/5/2014	1/30/2015	15,675.00	200.00	15,480.00	195.00
Morgan Stanley	Various	1/30/2015	27,548.00	800.00	22,693.00	4,855.00
Emc Corporation	1/24/2014	1/30/2015	30,520.00	1,100.00	29,909.00	611.00
Emerson Electric Co.	12/05/14	1/30/2015	17,263.00	300.00	19,086.00	-1,823.00
Energy Select Sector Spdr	1/16/2015	1/30/2015	154,461.00	2,000.00	148,280.00	6,181.00
Fifth Third Bancorp.	12/5/2014	1/30/2015	28,092.00	1,600.00	31,773.00	-3,681.00
Put on Spx	12/29/2014	1/8/2015	29,736.00	800.00	14,104.00	15,632.00
Southwest Airlines Co.	Various	1/30/2915	72,128.00	1,600.00	46,223.00	25,905.00
T Rowe Price Mid Cap Growth Fund	12/3/2014	1/28/2015	49,954.00	663.31	54,000.00	-4,046.00
T Rowe Price Sc Stock Fund	4/7/2014	1/28/2015	50,148.00	1,140.25	50,148.00	0.00
Tfs Market Neutral Fund	10/27/2014	1/28/2015	248,696.00	16,297.26	249,837.00	-1,141.00
Xerox Corporation	Various	1/30/2015	28,140.00	2,100.00	26,647.00	1,493.00
Nuveen Core Plus Bond I	10/22/2014	1/28/2015	200,173.00	17,346.05	201,735.00	-1,562.00
Abbvie, Inc.	10/7/2014	2/10/2015	17,334.00	300.00	17,020.00	314.00
Ace, Ltd.	Various	2/19/2015	22,587.00	200.00	20,120.00	2,467.00
Allergan, Inc.	4/4/2014	2/10/2015	22,483.00	100.00	12,531.00	9,952.00
American Airlines Group, Inc.	2/10/2015	2/25/2015	19,960.00	400.00	19,355.00	605.00

Apple,Inc.	Various	2/10/2015	28,738.00	240.00	16,510.00	12,228.00
Best Buy Co.,Inc.	11/5/2013	2/10/2015	3,585.00	100.00	4,313.00	-728.00
Ca,Inc.	Various	2/10/2015	18,959.00	600.00	17,229.00	1,730.00
E Trade Financial Corp.	9/9/2014	2/10/2015	7,642.00	300.00	6,656.00	986.00
Electronic Arts,Inc.	4/9/2014	2/10/2015	16,827.00	300.00	8,607.00	8,220.00
Hartford Financial Services Group,Inc.	12/5/2014	2/10/2015	3,997.00	100.00	4,108.00	-111.00
Hewlett Packard Co.	Various	2/10/2015	15,180.00	400.00	10,261.00	4,919.00
Invesco, Ltd.	12/24/2013	2/10/2015	7,816.00	200.00	7,077.00	739.00
Invesco.Ltd.	Various	2/19/2015	35,523.00	900.00	33,806.00	1,717.00
Macy's,Inc.	5/29/2013	2/10/2015	6,390.00	100.00	4,911.00	1,479.00
Medtronic,PLC	Various	2/10/2015	22,506.00	300.00	18,085.00	4,421.00
Medtronic,PLC	12/5/2014	2/19/2015	29,936.00	400.00	29,806.00	130.00
Microsoft Corp.	6/3/2013	2/10/2015	12,696.00	300.00	10,437.00	2,259.00
Mohawk Industries,Inc.	2/5/2014	2/10/2015	16,701.00	100.00	14,340.00	2,361.00
Pfizer,Inc.	5/22/2013	2/10/2015	16,375.00	500.00	14,475.00	1,900.00
Pitney Bowes,Inc.	Various	2/10/2015	18,201.00	800.00	17,596.00	605.00
Prudential Financial,Inc.	5/10/2013	2/10/2015	14,976.00	200.00	13,202.00	1,774.00
Royal Caribbean Cruises,Ltd.	Various	2/19/2015	45,113.00	600.00	27,273.00	17,840.00
Slm Corporation	Various	2/10/2015	9,450.00	1,000.00	8,449.00	1,001.00
Tfs Market Neutral Fund	10/27/2014	2/6/2015	320,058.00	20,891.53	320,267.00	-209.00
Wells Fargo Co.	Various	2/10/2015	48,257.00	900.00	48,307.00	-50.00
Nuveen Core Plus Bond I	10/3/2014	2/6/2015	338,628.00	29,293.08	339,507.00	-879.00
Nuveen Inflation Pro Sec	Various	2/6/2015	375,839.00	33,378.22	389,176.00	-13,337.00
Nuveen Inflation Pro Sec	6/21/2013	2/6/2015	74,654.00	6,630.08	73,925.00	729.00
Tcw Emerging Markets Local Ccy,Inc.	12/3/2014	2/6/2015	430,136.00	46,350.88	441,260.00	-11,124.00
Apple,Inc.	4/9/2014	3/25/2015	25,577.00	200.00	15,213.00	10,364.00
Best Buy Co.,Inc.	11/5/2013	3/25/2015	8,159.00	200.00	8,625.00	-466.00
Boston Scientific Corp.	10/24/2014	3/25/2015	7,142.00	400.00	4,772.00	2,370.00
Disney Walt Co.	12/5/2014	3/25/2015	21,726.00	200.00	18,646.00	3,080.00
Dow Chemical Co.	5/22/2013	3/25/2015	9,478.00	200.00	7,114.00	2,364.00
E Trade Financial Corp.	9/9/2014	3/25/2015	8,323.00	300.00	6,656.00	1,667.00
Foot Locker,Inc.	4/9/2014	3/25/2015	12,574.00	200.00	9,310.00	3,264.00
Gilead Sciences,Inc.	Various	3/25/2015	20,496.00	200.00	12,770.00	7,726.00
Harley Davidson,Inc.	Various	3/25/2015	24,652.00	400.00	26,789.00	-2,137.00
Hartford Financial Services Group,Inc.	12/5/2014	3/25/2015	12,900.00	300.00	12,324.00	576.00
Hewlett Packard Co.	2/5/2014	3/25/2015	6,682.00	200.00	5,804.00	878.00
Jarden Corp.	5/22/2013	3/25/2015	10,750.00	200.00	6,409.00	4,341.00

Kroger Co	5/21/2014	3/25/2015	15,364.00	200.00	9,414.00	5,950.00
Lowes Corp.	6/3/2013	3/25/2015	15,078.00	200.00	8,624.00	6,454.00
Microsoft Corp.	Various	3/25/2015	68,480.00	1,600.00	65,435.00	3,045.00
Nrg Energy,Inc	Various	3/25/2015	22,585.00	300.00	25,644.00	-3,059.00
Pfizer,Inc.	5/22/2013	3/25/2015	6,864.00	900.00	5,790.00	1,074.00
Schlumberger,Ltd.	5/22/2013	3/25/2015	8,286.00	100.00	7,524.00	762.00
Slm Corporation	Various	3/25/2015	1,851.00	200.00	1,782.00	69.00
T Rowe Price Sc Stock	4/7/2014	3/23/2015	19,686.00	423.53	19,004.00	682.00
Western Digital Corp.	5/21/2014	3/25/2015	10,066.00	100.00	8,555.00	1,511.00
Driehaus Active Income Fund	1/31/2014	3/23/2015	100,862.00	9,551.31	102,963.00	-2,101.00
Nuveen Core Plus Bond I	10/3/2014	3/23/2015	1,341,703.00	116,467.27	1,349,856.00	-8,153.00
Nuveen High Income Bond Fund	5/30/2013	3/23/2015	90,855.00	10,867.83	101,831.00	-10,976.00
Nuveen High Income Bond Fund	6/18/2013	3/23/2015	12,922.00	1,545.72	14,205.00	-1,283.00
Nuveen Inflation Pro Sec	6/21/2013	3/23/2015	4,407.00	394.50	4,399.00	8.00
Actavis,Plc	3/17/2015	4/1/2015	194.00	0.66	194.00	0.00
Mylan,NV	4/9/2014	4/14/2015	12,683.00	200.00	11,540.00	1,143.00
Computer Sciences Corp.	Various	5/21/2015	38,866.00	600.00	36,281.00	2,585.00
Hewlett Packard Co.	Various	5/12/2015	39,395.00	1,200.00	43,359.00	-3,964.00
T Rowe Price Mid Cap Growth Fund	Various	5/22/2015	249,848.00	3,030.67	237,438.00	12,410.00
T Rowe Price Sc Stock Fund	Various	5/22/2015	150,098.00	3,275.83	146,995.00	3,103.00
Tfs Market Neutral Fund	10/27/2014	5/8/2015	30,609.00	1,976.05	30,293.00	316.00
Wynn Resorts, Ltd.	2/10/2015	5/12/2015	22,812.00	200.00	29,140.00	-6,328.00
Nuveen Short Term Bond Fund	3/23/2015	5/8/2015	1,346,873.00	135,228.21	1,345,521.00	1,352.00
T Rowe Price International Bond Fund	Various	5/8/2015	37,979.00	4,365.34	41,370.00	-3,391.00
Actavis,Plc	3/17/2015	6/5/2015	22,513.00	73.00	22,267.00	246.00
American Airlines Group,Inc.	3/25/2015	6/5/2015	17,516.00	400.00	22,236.00	-4,720.00
Bank of Montreal Medium Term Note	6/18/2013	6/18/2015	250,000.00	250,000.00	250,000.00	0.00
Boston Scientific Corp.	10/24/2014	6/5/2015	3,656.00	200.00	2,386.00	1,270.00
Cvs Health Corporation	2/6/2014	6/5/2015	20,424.00	200.00	13,230.00	7,194.00
Dow Chemical Co.	5/22/2013	6/5/2015	5,256.00	100.00	3,557.00	1,699.00
E Trade Financial Corp.	9/9/2014	6/5/2015	6,066.00	200.00	4,438.00	1,628.00
Electronic Arts,Inc.	4/9/2014	6/5/2015	12,650.00	200.00	5,738.00	6,912.00
Exxon Mobil Corp.	5/21/2014	6/5/2015	8,536.00	100.00	10,082.00	-1,546.00
Gilead Sciences,Inc.	Various	6/5/2015	22,808.00	200.00	15,366.00	7,442.00
Invesco,Ltd.	3/25/2015	6/5/2015	7,942.00	200.00	8,396.00	-454.00
JP Morgan Chase Co.	7/7/1905	6/5/2015	6,628.00	100.00	6,121.00	507.00
Jarden Corp.	5/22/2013	6/5/2015	5,312.00	100.00	3,204.00	2,108.00

Kroger Co.	Various	6/5/2015	36,210.00	500.00	25,869.00	10,341.00
Macy's,Inc.	5/29/2013	6/5/2015	13,644.00	200.00	9,822.00	3,822.00
Mastercard,Inc	12/24/2013	6/5/2015	9,329.00	100.00	8,085.00	1,244.00
McKesson Corporation	2/5/2014	6/5/2015	23,839.00	100.00	17,484.00	6,355.00
Mohawk Industries,Inc.	4/9/2014	6/5/2015	9,478.00	50.00	6,887.00	2,591.00
Morgan Stanley	2/10/2015	6/5/2015	7,725.00	200.00	7,009.00	716.00
Mylan,NV	04/09/2014	6/5/2015	7,291.00	100.00	5,770.00	1,521.00
PPG Industries,Inc.	2/6/2014	6/5/2015	11,465.00	50.00	8,933.00	2,532.00
Pfizer,Inc.	10/29/2014	6/5/2015	3,454.00	100.00	2,895.00	559.00
Pfizer,Inc.	04/09/2014	6/5/2015	3,454.00	100.00	3,246.00	208.00
Pfizer,Inc.	6/3/2013	6/5/2015	3,454.00	100.00	2,990.00	464.00
Prudential Financial,Inc.	Various	6/5/2015	17,168.00	200.00	15,120.00	2,048.00
Ratheon Company	10/24/2014	6/5/2016	10,305.00	100.00	9,779.00	526.00
Ratheon Company	10/7/2014	6/5/2015	20,245.00	200.00	19,558.00	687.00
Rockwell Automation,Inc.	2/5/2014	6/5/2015	12,619.00	100.00	11,522.00	1,097.00
Signet Jewelers,Ltd.	5/21/2014	6/11/2015	26,030.00	200.00	19,833.00	6,197.00
Slm Corp.	Various	6/5/2015	7,182.00	700.00	6,166.00	1,016.00
Target Corp.	2/10/2015	6/5/2015	7,985.00	100.00	7,606.00	379.00
Zimmer Biomet Holdings,Inc.	10/24/2014	6/5/2015	11,451.00	100.00	10,072.00	1,379.00
Driehaus Active Income Fund	1/31/2014	6/3/2015	27,546.00	2,623.43	28,281.00	-735.00
Nuveen Inflation Pro Sec	6/21/2013	6/9/2015	61,941.00	5,651.55	63,015.00	-1,074.00
T Rowe Price International Bond Fund	Various	6/3/2015	314,759.00	36,900.19	349,510.00	-34,751.00
American Tower Corp.	Various	6/5/2015	18,890.00	200.00	16,876.00	2,014.00
Baclays Bank,PLC	6/18/2013	6/18/2015	269,787.00	350,000.00	350,000.00	-80,213.00
Bank of Montreal	6/18/2013	6/18/2015	250,000.00	250,000.00	250,000.00	0.00
Abbvie,Inc.	Various	7/15/2015	34,585.00	500.00	32,063.00	2,522.00
Allergan,Inc.	Various	7/15/2015	31,060.00	100.00	29,472.00	1,588.00
Anadarko Petroleum Corp.	Various	7/15/2015	30,347.00	400.00	35,687.00	-5,340.00
Best Buy Co.,Inc.	Various	7/15/2015	20,364.00	600.00	15,780.00	4,584.00
Boston Scientific Corp.	Various	7/15/2015	29,715.00	1,700.00	20,498.00	9,217.00
Broadcom Corp.	Various	7/15/2015	25,825.00	500.00	24,032.00	1,793.00
Caterpillar,Inc.	Various	7/15/2015	24,648.00	300.00	24,815.00	-167.00
Cigna Corp.	Various	7/15/2015	46,778.00	300.00	39,793.00	6,985.00
Cisco Systems,Inc.	3/25/2015	7/15/2015	35,359.00	1,300.00	37,232.00	-1,873.00
Disney Walt Co.	12/5/2014	7/15/2015	58,099.00	500.00	46,615.00	11,484.00
Dow Chemical Co.	Various	7/15/2015	25,445.00	500.00	22,876.00	2,569.00
EOG Resources,Inc.	Various	7/15/2015	33,999.00	400.00	35,553.00	-1,554.00

E Trade Financial Corp.
 Electronic Arts,Inc.
 Exxon Mobil Corp.
 Foot Locker,Inc.
 Gilead Sciences,Inc.
 Hartford Financial Services Group,Inc.
 Illinois Tool Works,Inc.
 Invesco,Ltd.
 Jarden Corp.
 Lowes Corp.
 McKesson Corporation
 Medtronic,PLC
 MGM Resorts International
 Mohawk Industries,Inc.
 Morgan Stanley
 Mylan,NV
 PPG Industries,Inc.
 Pfizer,Inc.
 Polaris Industries,Inc.
 Prudential Financial,Inc.
 Put on Spx 08/21/2015
 Red Hat,Inc.
 Rockwell Automation,Inc.
 Royal Caribbean Cruises,Ltd.
 Schlumberger,Ltd.
 Sempra Energy
 Signet Jewelers,Ltd.
 SIm Corp.
 Target Corp.
 Tyson Foods,Inc.
 United Health Group,Inc.
 United Technologies Corp.
 Western Digital Corp.
 Whirlpool Corp.
 Zimmer Biomet Holdings,Inc.
 T Rowe Price International Bond Fund
 Put on Spx

Various	7/15/2015	31,855.00	1,100.00	24,500.00	7,355.00
Various	7/15/2015	42,995.00	600.00	18,707.00	24,288.00
Various	7/15/2015	16,414.00	200.00	18,325.00	-1,911.00
Various	7/15/2015	27,754.00	400.00	20,132.00	7,622.00
Various	7/15/2015	45,513.00	400.00	42,760.00	2,753.00
12/5/2014	7/15/2015	30,540.00	700.00	28,754.00	1,786.00
Various	7/15/2015	27,801.00	300.00	23,306.00	4,495.00
3/25/2015	7/15/2015	22,097.00	600.00	25,188.00	-3,091.00
Various	7/15/2015	31,361.00	600.00	20,319.00	11,042.00
Various	7/15/2015	33,884.00	500.00	22,605.00	11,279.00
Various	7/15/2015	34,405.00	150.00	29,019.00	5,386.00
3/25/2015	7/15/2015	29,619.00	400.00	31,337.00	-1,718.00
Various	7/15/2015	18,050.00	1,000.00	19,864.00	-1,814.00
Various	7/15/2015	29,051.00	150.00	20,089.00	8,962.00
2/10/2015	7/15/2015	26,978.00	700.00	24,531.00	2,447.00
Various	7/15/2015	28,743.00	400.00	24,369.00	4,374.00
Various	7/15/2015	22,858.00	200.00	19,879.00	2,979.00
Various	7/15/2015	41,099.00	1,200.00	38,107.00	2,992.00
5/29/2013	7/15/2015	30,139.00	200.00	18,495.00	11,644.00
12/5/2014	7/15/2015	17,388.00	200.00	16,976.00	412.00
6/23/2015	7/8/2015	49,004.00	1,500.00	31,395.00	17,609.00
5/12/2015	7/15/2015	23,426.00	300.00	22,547.00	879.00
4/9/2014	7/15/2015	24,350.00	200.00	25,050.00	-700.00
3/25/2015	7/15/2015	32,835.00	400.00	32,088.00	747.00
Various	7/15/2015	25,176.00	300.00	24,915.00	261.00
4/9/2014	7/15/2015	30,384.00	300.00	28,969.00	1,415.00
5/21/2014	7/15/2015	12,183.00	100.00	9,917.00	2,266.00
Various	7/15/2015	19,499.00	2,000.00	19,138.00	361.00
2/10/2015	7/15/2015	41,905.00	500.00	38,030.00	3,875.00
6/5/2015	7/15/2015	30,008.00	700.00	29,561.00	447.00
2/10/2015	7/15/2015	36,593.00	300.00	32,670.00	3,923.00
Various	7/15/2015	32,942.00	300.00	30,903.00	2,039.00
Various	7/15/2015	23,097.00	300.00	27,388.00	-4,291.00
2/10/2015	7/15/2015	17,345.00	100.00	21,335.00	-3,990.00
Various	7/15/2015	21,390.00	200.00	20,554.00	836.00
Various	7/13/2015	101,239.00	11,995.16	103,518.00	-2,279.00
8/25/2015	8/28/2015	200,494.00	3,400.00	70,822.00	129,672.00

Put on Spx
 Nuveen Core Plus Bond I
 Alibaba Group Holding,Ltd
 Dover Corp.
 JP Morgan Chase Co.
 Macy's,Inc.
 Spdr SP 500 Etf
 Verizon Communications,Inc.
 Wal Mart Stores,Inc.
 Wells Fargo Co.
 Driehaus Active Income Fund
 Driehaus Active Income Fund
 Tcw Emerging Markets Local Ccy,Inc.
 Jpm 13M Brent Lr
 Abbott Laboratories
 Amazon Com,Inc.
 Apple,Inc.
 Bank ofAmerica Corp.
 Boeing Co.
 Goodyear Tire Rubber Co.
 Hewlett Packard Enterprises
 Hormel Foods Corp.
 Hp,Inc.
 Marathon Petroleum Corp.
 Marathon Petroleum Corp.
 Microsoft Corp.
 Microsoft Corp.
 Occidental Petroleum Corporation
 Pilgrims Pride Corp.
 Roper Industries,Inc.
 Sandisk Corp.
 T Rowe Price Mid Cap Growth Fund
 T Rowe Price Mid Cap Growth Fund
 T Rowe Price Mid Cap Growth Fund
 Union Pacific Corp.
 Wells Fargo Co.
 Wells Fargo Co.

7/22/2015	8/14/2015	113,796.00	3,400.00	80,002.00	33,794.00
5/8/2015	8/4/2015	1,001,791.00	89,525.52	1,029,033.00	-27,242.00
7/15/2015	10/2/2015	23,249.00	400.00	32,071.00	-8,822.00
7/15/2015	10/2/2015	22,525.00	400.00	26,252.00	-3,727.00
2/10/2015	10/2/2015	5,961.00	100.00	6,121.00	-160.00
Various	10/2/2015	15,168.00	300.00	16,914.00	-1,746.00
8/27/2015	9/21/2015	499,841.00	2,500.00	487,735.00	12,106.00
7/15/2015	10/2/2015	17,420.00	400.00	18,844.00	-1,424.00
7/15/2015	10/2/2015	19,065.00	300.00	21,969.00	-2,904.00
4/29/2013	10/2/2015	5,044.00	100.00	3,741.00	1,303.00
1/31/2014	9/30/2015	451,129.00	44,977.94	484,862.00	-33,733.00
2/4/2014	9/30/2015	2,328.00	232.13	2,500.00	-172.00
3/23/2013	9/30/2015	2,487.00	318.88	2,812.00	-325.00
8/13/2014	9/14/2015	94,306.00	200,000.00	200,000.00	-105,694.00
7/15/2015	11/19/2015	4,447.00	100.00	5,001.00	-554.00
7/15/2015	11/24/2015	26,708.00	40.00	17,694.00	9,014.00
Various	11/19/2015	24,965.00	220.00	19,075.00	5,890.00
3/25/2015	11/24/2015	10,617.00	600.00	9,552.00	1,065.00
2/10/2015	11/24/2015	7,428.00	50.00	7,401.00	27.00
7/15/2015	11/19/2015	22,379.00	700.00	20,311.00	2,068.00
11/5/2015	11/19/2015	14,619.00	1,100.00	17,602.00	-2,983.00
7/15/2015	11/19/2015	6,710.00	100.00	5,723.00	987.00
11/5/2015	11/19/2015	14,564.00	1,100.00	16,014.00	-1,450.00
10/2/2015	11/19/2015	15,954.00	300.00	13,805.00	2,149.00
10/2/2015	11/24/2015	5,577.00	100.00	4,602.00	975.00
7/15/2015	11/19/2015	5,368.00	100.00	4,477.00	891.00
7/15/2015	11/24/2015	10,870.00	200.00	8,954.00	1,916.00
Various	11/19/2015	22,338.00	300.00	25,106.00	-2,768.00
7/15/2015	11/24/2015	3,832.00	200.00	4,494.00	-662.00
7/15/2015	11/19/2015	18,535.00	100.00	17,218.00	1,317.00
7/15/2015	11/19/2015	7,413.00	100.00	5,358.00	2,055.00
Various	11/17/2015	29,443.00	367.30	24,419.00	5,024.00
Various	11/20/2015	28,509.00	350.11	24,977.00	3,532.00
4/7/2014	11/20/2015	75,234.00	923.91	68,674.00	6,560.00
7/15/2015	11/19/2015	8,368.00	100.00	9,773.00	-1,405.00
5/10/2013	11/19/2015	5,492.00	100.00	3,842.00	1,650.00
5/21/2014	11/24/2015	5,588.00	100.00	4,901.00	687.00

Wyndham Worldwide Corp.

Nuveen Core Plus Bond I

Nuveen Short Term Bond Fund

Tcw Emerging Markets Local Ccy, Inc.

Tcw Emerging Markets Local Ccy, Inc.

7/15/2015	11/19/2015	7,669.00	100.00	8,415.00	-746.00
Various	11/17/2015	1,919,476.00	175,937.27	1,964,400.00	-44,924.00
8/4/2015	11/17/2015	993,958.00	100,704.94	1,000,000.00	-6,042.00
3/23/2015	11/17/2015	2,497.00	312.50	2,756.00	-259.00
Various	11/20/2015	234,800.00	28,987.73	254,746.00	-19,946.00
		16,540,303.00		16,356,646.00	183,657.00