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**Return of Private Foundation**

Department of the Treasury  
Internal Revenue Service

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

Do not enter social security numbers on this form as it may be made public.

**2015**

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

Open to Public Inspection

For calendar year 2015 or tax year beginning 12/01, 2015, and ending 11/30, 2016

Name of foundation  
**THE NEUBERGER BERMAN FOUNDATION**

Number and street (or P O box number if mail is not delivered to street address)  
**1290 AVENUE OF THE AMERICAS**

Room/suite  
**27TH FL**

City or town, state or province, country, and ZIP or foreign postal code  
**NEW YORK, NY 10104**

**A Employer identification number**  
31-1736689

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

**C** If exemption application is pending, check here

**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

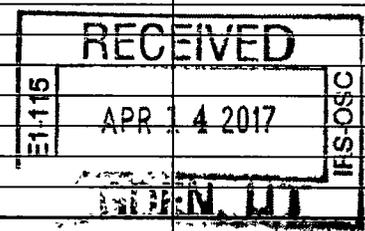
**G** Check all that apply  
 Initial return  
 Final return  
 Address change  
 Initial return of a former public charity  
 Amended return  
 Name change

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

**I** Fair market value of all assets at end of year (from Part II, col (c), line 16) **\$ 9,292,843.**

**J** Accounting method  
 Cash  
 Accrual  
 Other (specify) \_\_\_\_\_  
 (Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	411,564.			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B.				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	160,082.	160,082.		ATCH 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	66,786.			
	b Gross sales price for all assets on line 6a	2,883,237.			
	7 Capital gain net income (from Part IV, line 2)		280,271.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	638,432.	440,353.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	0.			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule) ATCH 2	971.			971.
	b Accounting fees (attach schedule) ATCH 3	96,000.	48,000.		52,201.
	c Other professional fees (attach schedule) [4]	5,197.	5,197.		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) [5]	7,798.	132.		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule) ATCH 6	2,691.	2,115.		576.
	24 Total operating and administrative expenses. Add lines 13 through 23.	112,657.	55,444.		53,748.
	25 Contributions, gifts, grants paid	1,015,000.			1,015,000.
26 Total expenses and disbursements. Add lines 24 and 25	1,127,657.	55,444.	0.	1,068,748.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	-489,225.				
b Net investment income (if negative, enter -0-)		384,909.			
c Adjusted net income (if negative, enter -0-)					



964-67 B

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 . . . . .		49,983.	49,942.	49,942.
	2	Savings and temporary cash investments . . . . .		116,600.	166,793.	166,793.
	3	Accounts receivable ▶				
		Less allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less allowance for doubtful accounts ▶				
	5	Grants receivable. . . . .				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .				
	7	Other notes and loans receivable (attach schedule) ▶				
		Less allowance for doubtful accounts ▶				
	8	Inventories for sale or use. . . . .				
	9	Prepaid expenses and deferred charges . . . . .				
	10a	Investments - U S and state government obligations (attach schedule)[ 7.]		611,364.	1,004,871.	1,004,871.
	b	Investments - corporate stock (attach schedule) ATCH 8 . . . . .		910,139.	906,025.	906,025.
	c	Investments - corporate bonds (attach schedule) ATCH 9 . . . . .		1,513,790.	1,495,016.	1,495,016.
	11	Investments - land, buildings, and equipment basis ▶				
	Less accumulated depreciation (attach schedule) ▶					
12	Investments - mortgage loans. . . . .					
13	Investments - other (attach schedule) . . . . . ATCH 10 . . . . .		6,489,564.	5,645,782.	5,645,782.	
14	Land, buildings, and equipment basis ▶					
	Less accumulated depreciation (attach schedule) ▶					
15	Other assets (describe ▶ ATCH 11 )		8,653.	24,414.	24,414.	
16	<b>Total assets</b> (to be completed by all filers - see the instructions Also, see page 1, item I) . . . . .		9,700,093.	9,292,843.	9,292,843.	
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 ▶ ATCH 12 )		10,000.	10,817.	
23	<b>Total liabilities</b> (add lines 17 through 22) . . . . .		10,000.	10,817.		
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 . . . . .		9,690,093.	9,282,026.	
	25	Temporarily restricted . . . . .				
	26	Permanently restricted . . . . .				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>					
	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	<b>Total net assets or fund balances</b> (see instructions) . . . . .		9,690,093.	9,282,026.		
31	<b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .		9,700,093.	9,292,843.		

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 9,690,093.
2	Enter amount from Part I, line 27a . . . . .	2 -489,225.
3	Other increases not included in line 2 (itemize) ▶ ATCH 13	3 82,772.
4	Add lines 1, 2, and 3 . . . . .	4 9,283,640.
5	Decreases not included in line 2 (itemize) ▶ ATCH 14	5 1,614.
6	<b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30 . . . . .	6 9,282,026.

**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)
<b>1a</b> SEE PART IV SCHEDULE				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				
(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)	
<b>a</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) 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		
<b>a</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				
<b>2</b> 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 }	<b>2</b>	280,271.
<b>3</b> 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			<b>3</b>	

**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 the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2014	1,131,909.	10,220,400.	0.110750
2013	1,076,540.	10,683,734.	0.100764
2012	1,386,551.	10,542,590.	0.131519
2011	1,531,863.	10,760,358.	0.142362
2010	2,521,823.	12,578,689.	0.200484
<b>2</b> Total of line 1, column (d)			<b>2</b> 0.685879
<b>3</b> 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			<b>3</b> 0.137176
<b>4</b> Enter the net value of noncharitable-use assets for 2015 from Part X, line 5			<b>4</b> 9,384,631.
<b>5</b> Multiply line 4 by line 3			<b>5</b> 1,287,346.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)			<b>6</b> 3,849.
<b>7</b> Add lines 5 and 6			<b>7</b> 1,291,195.
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions			<b>8</b> 1,068,748.

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

Table with 11 rows for excise tax calculations. Includes categories like 'Exempt operating foundations', 'Domestic foundations', 'Tax under section 511', 'Credits/Payments', and 'Tax due'. Total amount owed is 787.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political influence, expenditures, and substantial contributors. Includes 'Yes' and 'No' columns for responses.

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).
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)
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?
14 The books are in care of ELIZABETH CRIBBS, PRESIDENT Telephone no 212-476-5779
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here
16 At any time during calendar year 2015, 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?

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

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

1a During the year did the foundation (either directly or indirectly)
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?
(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 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)?
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 2015?
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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015?
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?
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?
b If "Yes," did it have excess business holdings in 2015 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?
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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 2015?

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

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?. . . . .  Yes  No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?. . . . .  Yes  No

(3) Provide a grant to an individual for travel, study, or other similar purposes? . . . . .  Yes  No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). . . . .  Yes  No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? . . . . .  Yes  No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? . . . . .  5b  X  
Organizations relying on a current notice regarding disaster assistance check here . . . . .

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? . . . . .  Yes  No  
If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . .  Yes  No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .  Yes  No  
If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? . . . . .  Yes  No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? . . . . .  Yes  No 7b N/A

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 15		0.	0.	0.

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

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

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

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
ATCH 16		80,901.

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

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

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	

Total. Add lines 1 through 3 . . . . . ▶

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	9,251,573.
b	Average of monthly cash balances	1b	273,194.
c	Fair market value of all other assets (see instructions)	1c	2,777.
d	<b>Total</b> (add lines 1a, b, and c)	1d	9,527,544.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	9,527,544.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	142,913.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	9,384,631.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	469,232.

**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	469,232.
2a	Tax on investment income for 2015 from Part VI, line 5	2a	7,698.
b	Income tax for 2015 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	7,698.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	461,534.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	461,534.
6	Deduction from distributable amount (see instructions)	6	
7	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	461,534.

**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	1,068,748.
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	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,068,748.
5	<b>Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income.</b> Enter 1% of Part I, line 27b (see instructions)	5	0.
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	1,068,748.

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

<b>Part XIII Undistributed Income (see instructions)</b>		(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1	Distributable amount for 2015 from Part XI, line 7 . . . . .				461,534.
2	Undistributed income, if any, as of the end of 2015				
a	Enter amount for 2014 only. . . . .				
b	Total for prior years 20 13 ,20 12 ,20 11 . . . . .				
3	Excess distributions carryover, if any, to 2015				
a	From 2010 . . . . . 1,896,069.				
b	From 2011 . . . . . 1,003,777.				
c	From 2012 . . . . . 867,262.				
d	From 2013 . . . . . 552,818.				
e	From 2014 . . . . . 629,092.				
f	Total of lines 3a through e . . . . .	4,949,018.			
4	Qualifying distributions for 2015 from Part XII, line 4 ▶ \$ 1,068,748.				
a	Applied to 2014, but not more than line 2a . . . . .				
b	Applied to undistributed income of prior years (Election required - see instructions). . . . .				
c	Treated as distributions out of corpus (Election required - see instructions) . . . . .				
d	Applied to 2015 distributable amount. . . . .				461,534.
e	Remaining amount distributed out of corpus. . . . .	607,214.			
5	Excess distributions carryover applied to 2015 . (If an amount appears in column (d), the same amount must be shown in column (a) )				
6	Enter the net total of each column as indicated below:				
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5 . . . . .	5,556,232.			
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 2014 Subtract line 4a from line 2a Taxable amount - see instructions . . . . .				
f	Undistributed income for 2015 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2016. . . . .				
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 2010 not applied on line 5 or line 7 (see instructions) . . . . .	1,896,069.			
9	Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a . . . . .	3,660,163.			
10	Analysis of line 9				
a	Excess from 2011 . . . . . 1,003,777.				
b	Excess from 2012 . . . . . 867,262.				
c	Excess from 2013 . . . . . 552,818.				
d	Excess from 2014 . . . . . 629,092.				
e	Excess from 2015 . . . . . 607,214.				

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

NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, enter the date of the ruling . . . . .

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

Table with 5 columns: (a) 2015, (b) 2014, (c) 2013, (d) 2012, (e) Total. Rows include 2a-2e (Qualifying distributions) and 3a-3d (Alternative tests).

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

1 Information Regarding Foundation Managers:

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

N/A

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

N/A

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

Check here [X] if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed

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

c Any submission deadlines

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

**Part XV** Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE ATTACHMENT A			SEE ATTACHED	1,015,000.
<b>Total</b> .....			▶ 3a	1,015,000.
b Approved for future payment				
<b>Total</b> .....			▶ 3b	

Part XVI-A Analysis of Income-Producing Activities

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

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

Table with 2 columns: Line No., Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes.



**Schedule B**

(Form 990, 990-EZ, or 990-PF)  
Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

OMB No 1545-0047

**2015**

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

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

Name of the organization  
THE NEUBERGER BERMAN FOUNDATION

Employer identification number  
31-1736689

**Organization type (check one)**

**Filers of:**

**Section:**

Form 990 or 990-EZ

501(c)( ) (enter number) organization

4947(a)(1) nonexempt charitable trust not treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

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

**General Rule**

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year . . . . . ▶ \$ \_\_\_\_\_

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

Name of organization THE NEUBERGER BERMAN FOUNDATION

Employer identification number  
31-1736689**Part I** Contributors (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	NEUBERGER BERMAN GROUP 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	\$ 291,828.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
2	JAMES BAKER 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	\$ 9,938.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
3	DAVID PEDOWITZ 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	\$ 18,251.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
4	JUDITH M. VALE 1290 AVENUES OF THE AMERICAS NEW YORK, NY 10104	\$ 25,120.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
5	NEUBERGER BERMAN GROUP 1290 AVENUES OF THE AMERICAS NEW YORK, NY 10104	\$ 8,079.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
6	ROBERT D'ALELIO 1290 AVENUES OF THE AMERICAS NEW YORK, NY 10104	\$ 52,981.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)

<b>Name of organization</b> THE NEUBERGER BERMAN FOUNDATION	<b>Employer identification number</b> 31-1736689
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**Part II Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
1	1,380 SHS VISA, INC. 704 SHS HOME DEPOT	\$ 186,944.	01/22/2016
3	12 SHS GOOGLE INC. 13 SHS AMAZON INC.	\$ 18,251.	12/02/2015
6	900 SHS MANTECH INTERNATIONAL CORP 200 SHS IDEXX LABORTORIES	\$ 52,981.	VAR
2	102 SHS MOODY'S CORPORATION	\$ 9,938.	12/18/2015
4	225 SHS IDEXX LABORTORIES	\$ 25,120.	09/20/2016
		\$	

Name of organization **THE NEUBERGER BERMAN FOUNDATION**

Employer identification number

31-1736689

**Part III** Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$ \_\_\_\_\_  
 Use duplicate copies of Part III if additional space is needed.

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

ATTACHMENT 1

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

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
DIVIDEND INCOME	146,312.	146,312.
INTEREST INCOME	13,770.	13,770.
TOTAL	<u>160,082.</u>	<u>160,082.</u>

ATTACHMENT 2

FORM 990PF, PART I - LEGAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
LEGAL FEES	971.			971.
TOTALS	<u>971.</u>			<u>971.</u>

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	96,000.	48,000.		52,201.
TOTALS	<u>96,000.</u>	<u>48,000.</u>		<u>52,201.</u>

ATTACHMENT 4

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INVESTMENT MANAGEMENT FEES	5,197.	5,197.
TOTALS	<u>5,197.</u>	<u>5,197.</u>

ATTACHMENT 5

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FEDERAL EXCISE TAX	7,666.	
FOREIGN TAXES WITHHELD	132.	132.
TOTALS	<u>7,798.</u>	<u>132.</u>

ATTACHMENT 6

FORM 990PF, PART I - OTHER EXPENSES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
BANK CHARGES	2,115.	2,115.	
PUBLICATION EXPENSE	150.		150.
NYS FILING FEES	275.		275.
DE FRANCHISE TAX	151.		151.
TOTALS	<u>2,691.</u>	<u>2,115.</u>	<u>576.</u>

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

ATTACHMENT 7

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
US TREASURY OBLIGATIONS-SEE STATEMENT C-1	611,364.	1,004,871.	1,004,871.
US OBLIGATIONS TOTAL	<u>611,364.</u>	<u>1,004,871.</u>	<u>1,004,871.</u>

ATTACHMENT 8

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
COMMON STOCK - SEE STATEMENT C-2	910,139.	906,025.	906,025.
TOTALS	<u>910,139.</u>	<u>906,025.</u>	<u>906,025.</u>

ATTACHMENT 9

FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
CORPORATE BONDS - SEE STATEMENT C-3	1,513,790.	1,495,016.	1,495,016.
TOTALS	<u>1,513,790.</u>	<u>1,495,016.</u>	<u>1,495,016.</u>

ATTACHMENT 10

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MUTUAL FUNDS -SEE STATEMENT C-4 ALTERNATIVE INVESTMENTS	6,481,345. 8,219.	5,645,782.	5,645,782.
TOTALS	<u>6,489,564.</u>	<u>5,645,782.</u>	<u>5,645,782.</u>

ATTACHMENT 11

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
ACCRUED INCOME	5,893.	375.	375.
PREPAID FEDERAL TAX DUE FROM BROKER	2,760.	24,039.	24,039.
TOTALS	<u>8,653.</u>	<u>24,414.</u>	<u>24,414.</u>

ATTACHMENT 12

FORM 990PF, PART II - OTHER LIABILITIES

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>
DEFERRED FED EXCISE TAX PAYABLE	10,000.	10,817.
TOTALS	<u>10,000.</u>	<u>10,817.</u>

ATTACHMENT 13FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
UNREALIZED GAIN ON INVESTMENTS	82,772.
TOTAL	<u>82,772.</u>

ATTACHMENT 14

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

<u>DESCRIPTION</u>	<u>AMOUNT</u>
DEFERRED EXCISE TAX EXPENSE	1,614.
TOTAL	<u>1,614.</u>

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					174,759.	
56,229.	**	PUBLICLY TRADED SECURITIES - 1397 PROPERTY TYPE: SECURITIES 72,398.				P	VAR	VAR
							-16,169.	
172,985.	**	PUBLICLY TRADED SECURITIES - 1397 PROPERTY TYPE: SECURITIES 169,192.				P	VAR	VAR
							3,793.	
1,331,801.	**	PUBLICLY TRADED SECURITIES -1400 PROPERTY TYPE: SECURITIES 1,425,740.				P	VAR	VAR
							-93,939.	
294,767.	**	PUBLICLY TRADED SECURITIES - 3755 PROPERTY TYPE: SECURITIES 82,166.				P	VAR	VAR
							212,601.	
5,027.	**	SALE OF DIVERSIFIED ARBITRAGE 6,396.				P	VAR	VAR
							-1,369.	
130,667.	**	PUBLICLY TRADED SECURITIES- 1400 PROPERTY TYPE: SECURITIES 129,244.				P	VAR	VAR
							1,423.	
717,002.	**	PUBLICLY TRADED SECURITIES- 4159 PROPERTY TYPE: SECURITIES 717,830.				P	VAR	VAR
							-828.	
TOTAL GAIN (LOSS) .....							<u>280,271.</u>	
** SEE STATEMENT D ATTACHED								

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

ATTACHMENT 15

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
FRANCINE S. KITTREDGE (RESIGNED) 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
ELIZABETH R. CRIBBS 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	PRESIDENT 20.00	0.	0.	0.
AISHA HAQUE 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
DAVID PEDOWITZ 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	TREASURER 2.00	0.	0.	0.
IAN D. PECKETT 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEESATTACHMENT 15 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
SANDY M. POMEROY 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
HEATHER P. ZUCKERMAN 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
ALLISON SALOY 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
JAMES ISELIN 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
ROBERT CONTI 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.

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

ATTACHMENT 15 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
INGRID S. DYOTT (RESIGNED) 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
MELISSA PAPINI (RESIGNED) 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	VP/ SECRETARY 10.00	0.	0.	0.
MARIA ANGELOV 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	ASSISTANT TREASURER/ SECRETARY 20.00	0.	0.	0.
JUDY VALE (RESIGNED) 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
<u>GRAND TOTALS</u>		<u>0.</u>	<u>0.</u>	<u>0.</u>

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALSATTACHMENT 16

<u>NAME AND ADDRESS</u>	<u>TYPE OF SERVICE</u>	<u>COMPENSATION</u>
MARCUM, LLP 10 MELVILLE PARK RD. MELVILLE, NY 11747	ACCOUNTING	80,901.
	TOTAL COMPENSATION	<u>80,901.</u>

Security Description	Quantity	Purchase Date	Sale Date	Unadjusted Cost Basis	Proceeds	Tax and Book Realized Gain/Loss Short
<b>THE NEUBERGER BERMAN FOUNDATION</b>						
EIN 31-1736689						
FOR THE YEAR ENDED NOVEMBER 30, 2016						
ATTACHMENT D CAPITAL GAINS AND LOSSES						
<b>SUMMARY OF REALIZED GAINS (LOSSES) NB-593-1397</b>						
Short-Term						
AerCap Holdings	150	7/30/2015	6/17/2016	6,925	5,549	(1,376)
California Res (Spin-off- Occidental Petro)	23	3/14/2016	4/4/2016	9	27	19
Citigroup	300	7/30/2015	7/27/2016	17,602	13,224	(4,379)
Express Scripts Holdings Co	150	4/6/2015	3/31/2016	12,763	10,344	(2,419)
Lincoln National Corp-Ind	100	7/30/2015	6/17/2016	5,715	4,217	(1,498)
LyondellBasell Industries	75	7/30/2015	7/22/2016	7,024	5,892	(1,132)
Occidental Pete Corp	50	5/18/2016	10/14/2016	3,778	3,657	(121)
Teva Pharmaceuticals Industries	50	5/18/2016	10/14/2016	2,599	2,179	(421)
Toll Brothers Inc	400	4/6/2015	3/8/2016	15,983	11,142	(4,842)
<b>Short-Term</b>				<b>72,398</b>	<b>56,229</b>	<b>(16,169)</b>
Long-Term						
AerCap Holdings	250	4/6/2015	6/17/2016	11,178	9,248	(1,930)
Alaska Air Group Inc	175	1/16/2015	6/17/2016	10,845	10,473	(372)
Alaska Air Group Inc	75	6/1/2015	7/26/2016	4,971	4,488	(483)
American Airlines Group Inc	150	12/26/2013	7/26/2016	4,831	5,470	639
Anadarko Petroleum Corp	50	4/11/2012	1/20/2016	3,918	1,710	(2,208)
Anadarko Petroleum Corp	50	3/23/2012	1/20/2016	4,112	1,710	(2,402)
Anadarko Petroleum Corp	65	7/23/2010	1/20/2016	2,919	2,223	(696)
Anadarko Petroleum Corp	15	2/11/2012	1/20/2016	1,192	513	(679)
Anadarko Petroleum Corp	70	3/12/2012	1/20/2016	5,912	2,394	(3,517)
Aon Corp	75	11/1/2011	4/27/2016	3,802	7,836	4,033
CDW Corporation	400	6/1/2015	6/17/2016	14,798	16,265	1,467
Cisco Systems Inc	150	11/5/2014	11/15/2016	3,663	4,751	1,087
Delta Airlines Inc	200	4/10/2013	9/7/2016	2,809	7,323	4,514
Lincoln National Corp-Ind	300	10/31/2013	6/17/2016	13,319	12,650	(669)
Lyondell Basell Industries	25	6/1/2015	10/14/2016	2,549	1,995	(554)
Occidental Pete Corp	50	3/23/2012	11/10/2016	5,080	3,316	(1,764)
Packaging Corp Amer	100	9/6/1900	5/18/2016	2,938	6,490	3,552
Pfizer Inc	150	3/22/2012	11/14/2016	3,285	4,515	1,230
Pfizer Inc	150	4/6/2015	9/7/2016	5,182	5,218	36
PNC Financial Services Group Inc	125	6/28/2013	7/12/2016	9,045	9,913	868
SPDR	400	6/28/2013	11/10/2016	11,600	13,260	1,660
SPDR	100	11/2/2014	11/30/2016	3,112	3,315	203
Teva Pharmaceuticals Industries	250	7/30/2015	10/14/2016	14,547	10,894	(3,653)
Teva Pharmaceuticals Industries	50	6/28/2013	7/29/2016	1,526	2,179	(1,308)
United Continental	50	9/23/2014	2/3/2016	2,488	2,380	(97)
United Continental	50	9/23/2014	7/27/2016	2,488	2,372	(116)
Wells Fargo	50	3/26/2012	7/29/2016	1,716	2,396	680
Wells Fargo	175	3/28/2012	10/4/2016	6,008	7,649	1,641
Wells Fargo	75	3/29/2012	10/4/2016	2,572	3,278	706
Wells Fargo	100	4/19/2012	10/4/2016	3,302	4,371	1,069
<b>Long-Term</b>				<b>169,192</b>	<b>172,985</b>	<b>3,793</b>

Security Description	Quantity	Purchase Date	Sale Date	Unadjusted Cost Basis	Proceeds	Tax and Book Realized Gain/Loss Short
<b>THE NEUBERGER BERMAN FOUNDATION</b>						
EIN: 31-1736689						
FOR THE YEAR ENDED NOVEMBER 30, 2016						
ATTACHMENT D: CAPITAL GAINS AND LOSSES						
<b>SUMMARY OF REALIZED GAINS (LOSSES) NB-593-1400</b>						
NB EQUITY FDS SOCIALLY RESPONSIVE	6,171	3/15/2012	5/17/2016	215,120	200,000	(15,120)
NB INTRINSIC VALUE CL	2,051	2/28/2013	7/5/2016	23,876	26,830	2,954
NB INTRINSIC VALUE CL	70	12/17/2013	7/5/2016	970	920	(51)
NB INTRINSIC VALUE CL	93	12/17/2013	7/5/2016	1,280	1,213	(67)
NB INTRINSIC VALUE CL	1,263	12/17/2013	7/5/2016	17,432	16,523	(910)
NB INTRINSIC VALUE CL	451	12/16/2014	7/5/2016	6,074	5,894	(180)
NB INTRINSIC VALUE CL	1,680	12/16/2014	7/5/2016	22,650	21,978	(672)
NB GENESIS FDS INSTITUTIONAL CLASS	0	12/17/2013	7/5/2016	27	24	(3)
NB GENESIS FDS INSTITUTIONAL CLASS	41	12/17/2013	7/5/2016	2,483	2,204	(280)
NB GENESIS FDS INSTITUTIONAL CLASS	581	12/17/2013	7/5/2016	34,994	31,053	(3,941)
NB GENESIS FDS INSTITUTIONAL CLASS	29	12/16/2014	7/5/2016	1,578	1,540	(37)
N & B EQUITY FDS EQUITY INCOME FD INSTL CL	754	12/16/2014	7/5/2016	41,240	40,260	(980)
N & B EQUITY FDS EQUITY INCOME FD INSTL CL	1,945	12/17/2013	7/22/2016	24,174	24,435	261
N & B EQUITY FDS EQUITY INCOME FD INSTL CL	370	3/25/2014	7/22/2016	4,574	4,652	78
N & B EQUITY FDS EQUITY INCOME FD INSTL CL	410	6/24/2014	7/22/2016	5,343	5,150	(193)
N & B EQUITY FDS EQUITY INCOME FD INSTL CL	357	9/25/2014	7/22/2016	4,608	4,487	(121)
N & B EQUITY FDS EQUITY INCOME FD INSTL CL	354	12/16/2014	7/22/2016	4,284	4,443	159
N & B EQUITY FDS EQUITY INCOME FD INSTL CL	353	12/16/2014	7/22/2016	4,279	4,438	159
NB ALTERNATIVE FDS LONG SHORT FD	2,963	3/15/2012	7/22/2016	31,035	38,368	7,334
NB ALTERNATIVE FDS LONG SHORT FD	118	12/21/2012	7/22/2016	1,321	1,531	209
NB ALTERNATIVE FDS LONG SHORT FD	218	12/21/2012	7/22/2016	2,441	2,828	386
NB ALTERNATIVE FDS LONG SHORT FD	19	12/17/2013	7/22/2016	246	252	7
NB ALTERNATIVE FDS LONG SHORT FD	151	12/17/2013	7/22/2016	1,902	1,953	51
NB ALTERNATIVE FDS LONG SHORT FD	73	12/16/2014	7/22/2016	942	941	(1)
NB ALTERNATIVE FDS LONG SHORT FD	129	12/16/2014	7/22/2016	1,664	1,664	0
NB ALTERNATIVE ABSLTE RET MULTI MANAGER INSTL	30,726	3/21/2014	7/22/2016	343,046	310,333	(32,713)
NB ALTERNATIVE ABSLTE RET MULTI MANAGER INSTL	437	12/22/2014	7/22/2016	4,688	4,412	(275)
NB ALTERNATIVE ABSLTE RET MULTI MANAGER INSTL	1,407	12/22/2014	7/22/2016	15,097	14,211	(886)
NB ALTERNATIVE ABSLTE RET MULTI MANAGER INSTL	5	12/22/2014	7/22/2016	52	49	(3)
NB ALTERNATIVE FBS LONG SHORT MULT MANAGER	42,189	3/21/2014	7/22/2016	439,537	402,907	(36,631)
NB ALTERNATIVE FBS LONG SHORT MULT MANAGER	116	12/16/2014	7/22/2016	1,200	1,109	(91)
NB ALTERNATIVE FBS LONG SHORT MULT MANAGER	544	12/16/2014	7/22/2016	5,623	5,199	(425)
NB HIGH INCOME BD FD INSTL CL	17,084	3/21/2014	10/19/2016	161,959	150,000	(11,959)
<b>Total Long Term</b>				<b>1,425,740</b>	<b>1,331,801</b>	<b>(93,939)</b>
NB INTRINSIC VALUE CL	63	12/18/2015	7/5/2016	824	823	(1)
NB INTRINSIC VALUE CL	1,974	12/18/2015	7/5/2016	25,839	25,819	(20)
NB GENESIS FDS INSTITUTIONAL CLASS	37	12/18/2015	7/5/2016	1,970	1,958	(12)
NB GENESIS FDS INSTITUTIONAL CLASS	430	12/18/2015	7/5/2016	22,371	22,961	590
NB ALTERNATIVE FDS LONG SHORT FD	5	12/24/2015	7/22/2016	65	67	2
NB ALTERNATIVE ABSLTE RET MULTI MANAGER INSTL	161	12/24/2015	7/22/2016	1,629	1,625	(5)
NB ALTERNATIVE ABSLTE RET MULTI MANAGER INSTL	662	12/24/2015	7/22/2016	6,710	6,691	(20)
NB ALTERNATIVE FBS LONG SHORT MULT MANAGER	94	12/24/2015	7/22/2016	894	895	1
NB ALTERNATIVE FBS LONG SHORT MULT MANAGER	2,008	12/24/2015	7/22/2016	19,155	19,176	20
NB ALTERNATIVE FBS LONG SHORT MULT MANAGER	319	12/24/2015	7/22/2016	3,045	3,048	3
NB EQUITY FDS SOCIALLY RESPONSIVE	1,393	12/16/2014	7/25/2016	46,741	47,605	864
<b>Total Short Term</b>				<b>129,244</b>	<b>130,667</b>	<b>1,423</b>

THE NEUBERGER BERMAN FOUNDATION  
 EIN 31-1726689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016  
 ATTACHMENT D CAPITAL GAINS AND LOSSES

TAX BASIS	NBF	Shares Sold/ Redeemed	Cost of Shares Sold	Proceeds	Realized Gain(Loss)	Sale/Redemption Date
Security	FMV AT CONTRIBUTION DATE					
STATEMENT OF ASSETS HELD AT NB #/c 593-03755						
Google, Inc	9,417	12	2,042	9,326	7,283	12/3/2015
Amazon, Inc	8,834	13	3,672	8,784	5,112	12/3/2015
Mantech International Corp	28,994	900	12,002	28,745	16,743	12/9/2015
Moody's Corporation	9,938	102	2,416	10,076	7,660	12/21/2015
Visa, Inc	100,264	1,380	28,925	99,706	70,781	1/25/2016
Home Depot	86,680	704	29,026	86,516	57,490	1/25/2016
ICF International Inc	2,418	60	1,368	2,408	1,040	5/16/2016
Idexx Laboratories	25,120	225	1,556	25,166	23,610	9/21/2016
Idexx Laboratories	23,987	200	1,158	24,039	22,882	11/28/2016
<b>TOTAL LONG TERM</b>			<b>82,166</b>	<b>294,767</b>	<b>212,601</b>	

Security Description	Quantity	Purchase Date	Sale Date	Proceeds	Unadjusted Cost Basis	Tax and Book Realized Gain/Loss Short
<b>THE NEUBERGER BERMAN FOUNDATION</b>						
EIN 31-1736689						
FOR THE YEAR ENDED NOVEMBER 30, 2016						
ATTACHMENT D CAPITAL GAINS AND LOSSES						
<b>SUMMARY OF REALIZED GAINS (LOSSES) NB- 593-04159</b>						
Corporate Bonds						
Walt Disney	15,000	8/9/2013	12/11/2015	15,000	14,958	42
Cellegene Corp	5,000	8/17/2015	12/4/2015	5,024	5,000	24
Kinder Morgan	5,000	11/26/2014	12/4/2015	4,750	4,994	(244)
Gilead Sciences Inc	5,000	9/14/2015	1/13/2016	5,026	4,999	27
Morgan Stanley	5,000	8/16/2013	2/25/2016	5,000	4,997	3
Morgan Stanley	10,000	8/28/2014	2/25/2016	10,000	10,124	(124)
Berkshire Hathaway	15,000	9/18/2013	3/8/2016	15,017	14,992	25
Verizon Communications	6,000	9/18/2013	4/4/2016	6,046	6,094	(48)
Verizon Communications	15,000	11/25/2014	6/2/2016	15,037	14,997	40
Ci Group	5,000	5/6/2015	6/3/2016	5,006	4,997	9
Apple, Inc	5,000	8/26/2014	6/9/2016	15,042	14,984	58
Bank of America	15,000	8/16/2013	7/12/2016	30,000	30,148	(148)
GE Capital	15,000	6/3/2016	7/27/2016	15,033	15,030	3
Verizon Communications	5,000	7/26/2016	7/27/2016	5,011	5,018	(7)
Verizon Communications	5,000	6/2/2016	8/19/2016	5,058	4,996	62
Aetna Inc	10,000	6/15/2016	9/15/2016	10,000	10,034	(34)
Lockheed Martin Corp	5,000	12/9/2015	10/6/2016	5,007	4,997	9
Visa, Inc	5,000	12/11/2013	10/7/2016	5,013	4,997	16
Thermo Fischer	5,000	10/10/2013	10/11/2016	5,000	4,983	17
American Honda	20,000	10/11/2013	10/11/2016	20,000	19,975	25
Deere John Capital	5,000	9/18/2015	10/17/2016	5,000	5,237	(237)
ConocoPhillips	10,000	11/26/2013	11/10/2016	10,000	9,992	8
Caterpillar - 1.00% @ 11 25 16	30,000	2/18/2014	11/18/2016	30,024	29,985	39
JP Morgan Chase	5,000	7/27/2016	11/18/2016	5,004	5,013	(9)
<b>Total Corporate Bonds - Gain/ (Loss)</b>				<b>251,097</b>	<b>251,541</b>	<b>(444)</b>
United States Treasury Notes rate 0.75% due 10/31/2017	5,000	11/23/2015	12/9/2015	4,982	4,987	(5)
Federal Home Loan Mtg 3.5% due 05/01/2026 G14828	407	8/14/2013	12/15/2015	407	424	(17)
Federal Home Loan Mtg 3.0% due 07/01/2028 J24746	98	8/15/2013	12/15/2015	98	100	(2)
FNMA rate 3.5% due 10/01/2025 AE6134	95	8/14/2013	12/28/2015	95	99	(4)
FNMA rate 3.0% due 09/01/2027 AP7539	276	8/14/2013	12/28/2015	276	283	(7)
FNMA rate 4.00% due 05/01/2027 AL3909	437	9/17/2013	12/28/2015	437	462	(25)
United States Treasury Notes rate 1.25% due 11/15/2018	20,000	11/30/2015	1/5/2016	20,022	20,014	9
Federal Home Loan Mtg 3.5% due 05/01/2026 G14828	239	8/14/2013	1/15/2016	239	249	(10)
United States Treasury Notes rate 1.25% due 07/01/2028 J24746	92	8/15/2013	1/22/2016	92	94	(2)
United States Treasury Notes rate 1.25% due 12/15/2018	5,000	12/30/2015	1/22/2016	5,023	4,985	38
FNMA rate 3.5% due 10/01/2025 AE6134	117	8/14/2013	1/25/2016	117	122	(5)
FNMA rate 3.0% due 09/01/2027 AP7539	263	8/14/2013	1/25/2016	263	270	(6)
FNMA rate 4.00% due 05/01/2027 AL3909	983	1/01/2013	1/25/2016	983	1,039	(56)
United States Treasury Notes rate 2.50% due 04/15/2016	10,000	9/17/2013	1/27/2016	9,998	9,920	79
United States Treasury Notes rate 5.00% due 08/31/2016	25,000	9/2/2014	1/27/2016	24,995	24,998	(3)
Federal Home Loan Mtg 3.5% due 05/01/2026 G14828	382	8/14/2013	2/16/2016	382	398	(16)
Federal Home Loan Mtg 3.0% due 07/01/2028 J24746	359	8/15/2013	2/16/2016	359	368	(8)
United States Treasury Notes rate 1.25% due 11/15/2018	5,000	12/4/2015	2/16/2016	5,050	5,003	47
Federal Home Loan Bank 380% due 02/19/2016	45,000	1/24/2014	2/19/2016	45,000	44,912	88
FNMA rate 3.5% due 10/01/2025 AE6134	142	8/14/2013	2/25/2016	142	149	(6)
FNMA rate 4.00% due 05/01/2027 AL3909	600	9/17/2013	2/25/2016	600	635	(34)
FNMA rate 3.0% due 09/01/2027 AP7539	349	8/14/2013	2/27/2016	349	357	(9)
United States Treasury Notes rate 1.25% due 12/15/2018	10,000	1/27/2016	2/29/2016	10,100	10,044	56
United States Treasury Notes rate 1.25% due 12/15/2018	5,000	1/27/2016	3/8/2016	5,034	5,022	12
Federal Home Loan Mtg 3.5% due 05/01/2026 G14828	279	8/14/2013	3/15/2016	276	288	(12)
Federal Home Loan Mtg 3.0% due 07/01/2028 J24746	98	8/15/2013	3/15/2016	98	100	(2)
FNMA rate 3.5% due 10/01/2025 AE6134	130	8/14/2013	3/28/2016	130	135	(6)





THE NEUBERGER BERMAN FOUNDATION  
EIN 31-1736689  
FOR THE YEAR ENDED NOVEMBER 30, 2016

**ATTACHMENT B: EXPENDITURE RESPONSIBILITY**  
**FORM 990-PF, PART XV, LINE 3a**

The following information is provided in accordance with IRC § 4945(h)(3) and Reg. 53.4945-5(d) to demonstrate that the foundation exercised expenditure responsibility in regard to its grants.

**NAME AND ADDRESS OF GRANTEE:**

HANDSON HONG KONG  
UNIT 9A, EASY TOWER  
609-611 TAI NAN WEST STREET  
CHEUNG SHA WAN, KOWLOON

**AMOUNT OF GRANT:**

\$30,000.00

**DATE OF GRANT:**

VARIOUS

**PURPOSE OF GRANT:**

SUPPORT OF PROGRAMS IN THE AREA OF CHILDREN AND YOUTH EMPOWERMENT

**TO THE GRANTOR'S KNOWLEDGE, GRANTEE HAS  
DIVERTED A PORTION OF FUNDS FROM THE  
PURPOSE OF THE GRANT: (YES, NO)**

NO, TO THE KNOWLEDGE OF THE GRANTOR NO FUNDS HAVE BEEN DIVERTED TO ANY OTHER  
ACTIVITY

**DATES OF REPORTS RECEIVED FROM GRANTEE:**

GRANTEE VERIFICATION REPORTS ARE DUE JULY, 2017

**DATES AND RESULTS OF ANY VERIFICATION  
OF THE GRANTEE'S REPORTS:**

NO FURTHER INDEPENDENT VERIFICATION IS NECESSARY AT THIS TIME.

THE NEUBERGER BERMAN FOUNDATION  
EIN. 31-1736689  
FOR THE YEAR ENDED NOVEMBER 30, 2016

**ATTACHMENT B: EXPENDITURE RESPONSIBILITY**  
**FORM 990-PF, PART XV, LINE 3a**

The following information is provided in accordance with IRC § 4945(h)(3) and Reg. 53.4945-5(d) to demonstrate that the foundation exercised expenditure responsibility in regard to its grants.

**NAME AND ADDRESS OF GRANTEE:** THE SUTTON TRUST  
MILLBANK TOWER  
21-24 MILLBANK  
LONDON, SW1P 4QP

**AMOUNT OF GRANT:** \$15,000 00

**DATE OF GRANT:** August 1, 2016

**PURPOSE OF GRANT:** US PROGRAMME

**TO THE GRANTOR'S KNOWLEDGE, GRANTEE HAS  
DIVERTED A PORTION OF FUNDS FROM THE  
PURPOSE OF THE GRANT: (YES, NO)**

NO, TO THE KNOWLEDGE OF THE GRANTOR NO FUNDS HAVE BEEN DIVERTED TO ANY OTHER  
ACTIVITY

**DATES OF REPORTS RECEIVED FROM GRANTEE:**

GRANTEE VERIFICATION REPORTS ARE DUE AUGUST, 2017

**DATES AND RESULTS OF ANY VERIFICATION  
OF THE GRANTEE'S REPORTS:**

NO FURTHER INDEPENDENT VERIFICATION IS NECESSARY AT THIS TIME.

THE NEUBERGER BERMAN FOUNDATION  
EIN 31-1736689  
FOR THE YEAR ENDED NOVEMBER 30, 2016

**ATTACHMENT B: EXPENDITURE RESPONSIBILITY  
FORM 990-PF, PART XV, LINE 3a**

The following information is provided in accordance with IRC § 4945(h)(3) and Reg. 53.4945-5(d) to demonstrate that the foundation exercised expenditure responsibility in regard to its grants.

**NAME AND ADDRESS OF GRANTEE:**  
INTOUNIVERSITY  
95 SIRDAR ROAD  
LONDON W11 4EQ

**AMOUNT OF GRANT:** \$15,000.00

**DATE OF GRANT:** July 22, 2016

**PURPOSE OF GRANT:** LAMBETH CENTRE

**TO THE GRANTOR'S KNOWLEDGE, GRANTEE HAS  
DIVERTED A PORTION OF FUNDS FROM THE  
PURPOSE OF THE GRANT: (YES, NO)**

NO, TO THE KNOWLEDGE OF THE GRANTOR NO FUNDS HAVE BEEN DIVERTED TO ANY OTHER  
ACTIVITY

**DATES OF REPORTS RECEIVED FROM GRANTEE:**

GRANTEE VERIFICATION REPORTS RECEIVED FEBRUARY 1, 2017

**DATES AND RESULTS OF ANY VERIFICATION  
OF THE GRANTEE'S REPORTS:**

THE \$ 15,000 00 GRANT TO INTOUNIVERSITY HAS BEEN UTILIZED EFFECTIVELY  
NO FURTHER INDEPENDENT VERIFICATION WAS NECESSARY.

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

STATEMENT C-4: MUTUAL FUNDS  
 HELD AT NOVEMBER 30, 2016

**ACCOUNT STATEMENT**

Statement Period Account Number	11/01/2016 through 11/30/2016															
	NEUBERGER BERMAN FOUNDATION - MUTUAL FUND ACCOUNT															
<b>MUTUAL FUNDS - EQUITIES</b>																
NEUBERGER & BERMAN EQUITY FD EMERGING MKTS EQUITY FD INST 641224415	39,990	93	16	24	649,302	15	42	616,660	13	10	9	8	9	3,919	0	64
NEUBERGER & BERMAN EQUITY FDS EQUITY INCOME FD INSTL CL 641224498	58,612	35	11	10	650,750	12	59	737,929	51	13.1	10	7	19,283	2	61	
NEUBERGER BERMAN EQUITY FDS SOCIALY RESPONSIVE FD INST CL 641224654	21,358	02	27	58	589,052	35	08	749,239	41	13	3	10	9	6,151	0	82
NEUBERGER & BERMAN EQUITY FD REAL ESTATE FD INSTL CL 641224795	23,945	86	12	01	287,591	13	73	328,776	62	5	8	4	8	8,549	2	60

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	COST(\$) PRICE(\$)	MARKET PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)		
NEUBERGER & BERMAN EQUITY INTL INSTITUTIONAL FD 641224811	106,400	26	10 29	1,094,853	10 56	1,123,586	79	19 9	16 3	14,790	1 32
NEUBERGER BERMAN INTRINSIC VALUE CL INSTITUTIONAL 64122Q705	32,722	71	10 96	358,801	14 80	484,296	12	8 6	7 0	0	0 00
NEUBERGER BERMAN GENESIS FD INSTITUTIONAL CLASS 641233200	8,349	04	45 81	382,463	59 12	493,595	01	8 7	7 2	1,795	0 36
NEUBERGER BERMAN ALTERNATIVE FDS LONG SHORT FD INSTL CL 64128R608	32,319	54	10 55	340,981	12 84	414,982	91	7 4	6 0	65	0 02
NEUBERGER BERMAN ALTERNATIVE FDS LONG SHORT MULTI MNGR INST 64128R756	36,239	66	10 31	373,770	9 60	347,900	74	6 2	5 0	399	0 11
NEUBERGER BERMAN ALTERNATIVE ABSLTE RET MULTI MANAGER INSTL 64128R855	33,931	36	10 86	368,401	10 28	348,814	36	6 2	5 1	848	0 24
TOTAL MUTUAL FUNDS - EQUITIES	393,869	73	5,095,964	5,645,781	60	100	0	81	8	55,799	0 99

TOTAL MUTUAL FUNDS:

\$5,645,782

STATEMENT C-4:  
 SCHEDULE OF ASSETS

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

STATEMENT C-3: CORPORATE BONDS  
 HELD AT NOVEMBER 30, 2016

**ACCOUNT STATEMENT**

Statement Period Account Number	11/01/2016 through 11/30/2016 59301400 NEUBERGER BERMAN FOUNDATION - MUTUAL FUND ACCOUNT	9 62	8 32	322,967 29	31 5	4 7	19,487	6 03
MUTUAL FUNDS - FIXED INC								
NEUBERGER BERMAN INCOME FDS NEW EMRGNG MKT DEBT FD INSTL 64128K538	38,818 18	9 62	373,456 8 32	322,967 29	31 5	4 7	19,487	6 03
NEUBERGER BERMAN INCOME FDS NEW FLOATING RATE INC FD INSTL 64128K694	56,939 14	10 14	577,370 9 89	563,128 11	55 0	8 2	22,206	3 94
NEUBERGER BERMAN HIGH INCOME BD FD INSTL_CL 64128K868	16,071 89	9 25	148,745 8 60	138,218 23	13 5	2 0	7,602	5 50
TOTAL MUTUAL FUNDS - FIXED INC	111,829 21		1,099,571	1,024,313 63	100 0	14 8	49,295	4 81

THE NEUBERGER BERMAN FOUNDATION

EIN: 31-1736689

FOR THE YEAR ENDED NOVEMBER 30, 2016

## ACCOUNT STATEMENT

Statement Period 11/01/2016 through 11/30/2016  
Account Number 59304159  
NEUBERGER BERMAN FOUNDATION  
FIXED INCOME - SHORT DURATION

### DOMESTIC CORPORATE BONDS

MCKESSON CORP NEW 03/10/2017 581557BB0	1 292%	5,000	100 00	5,000	100 007	5,000 35	1 1	0 3	65	1 29
TOYOTA MTR CR CORP 05/16/2017 89236TBH7	1 125%	15,000	99 92	14,988	100 042	15,006 30	3 2	1 0	169	1 12
AT&T INC SR UNSECURED 06/01/2017 00206RBF8	1 7%	5,000	100 47	5,023	100 20	5,010 00	1 1	0 3	85	1 70
EXELON CORP 30161NAG6	1 55% 06/09/2017	5,000	99 93	4,997	100 016	5,000 80	1 1	0 3	78	1 55
ORACLE CORP QUATERLY US LIBOR +20 1.06794% 07/07/2017 68389XAT2		25,000	100 22	25,054	100 129	25,032 25	5 3	1 7	267	1 07

STATEMENT C-3:  
SCHEDULE OF ASSETS

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	MARKET COST(\$)	MARKET PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)
UNITED HEALTH GROUP INC 1 45% 07/17/2017 91324PCK6	5,000	99 98	4,999	100 252	5,012 60	1 1	0 3	73	1 45
CATERPILLAR FINL SVCS CORP 1 25% 08/18/2017 14912L6D8	5,000	99 95	4,998	100 056	5,002 80	1 1	0 3	63	1 25
AMERICAN EXPRESS CO SR NTS 6 15% 08/28/2017 025816AX7	15,000	104 14	15,621	103 391	15,508 65	3 3	1 0	923	5 95
BANK AMER CORP SR NTS 6% 09/01/2017 060505DH4	25,000	105 17	26,292	103 255	25,813 75	5 5	1 7	1,500	5 81
WELLS FARGO & CO 1 4% 09/08/2017 94974BGB0	35,000	99 95	34,984	99 917	34,970 95	7 4	2 4	490	1 40
CHEVRON CORP NEW SENIOR NOTES 1 344% 11/09/2017 166764BC3	10,000	100 00	10,000	100 095	10,009 50	2 1	0 7	134	1 34
SHELL INTL FIN B V 1 25% 11/10/2017 822582BK7	5,000	99 83	4,992	100 071	5,003 55	1 1	0 3	63	1 25
AT&T INC SR UNSECURED 1 4% 12/01/2017 00206RBM3	20,000	100 01	20,002	99 673	19,934 60	4 2	1 3	280	1 40
WESTPAC BANKING CORP 1 5% 12/01/2017 900024852	15,000	100 15	15,023	100 026	15,003 90	3 2	1 0	225	1 50
MJFG AMERS HLDGS CORP SENIOR NOTES CALLABLE @ 100 00 01/09/18 1 625% 02/09/2018-2018 553794AA6	5,000	99 93	4,997	99 667	4,983 35	1 1	0 3	81	1 63
ENTERPRISE PRODS OPER LLC 1 65% 05/07/2018 29379VBG7	5,000	99 88	4,994	99 549	4,977 45	1 1	0 3	83	1 66

STATEMENT C-3:  
 SCHEDULE OF ASSETS

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	COST(\$) PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)
ABBVIE INC SR NT 1.8% 05/14/2018 00287YAN9	5,000	99.90	4,995 99.937	4,996.85	1.1	0.3	90	1.80
CISCO SYS INC 1.65% 06/15/2018 17275RAU6	15,000	99.98	14,997 100.383	15,057.45	3.2	1.0	248	1.64
GOLDMAN SACHS GROUP INC SNR UNSECURED NOTES 2.9% 07/19/2018 38147MAA3	20,000	102.79	20,559 101.488	20,297.60	4.3	1.4	580	2.86
CVS HEALTH CORP 1.9% 07/20/2018 126650CH1	20,000	100.81	20,162 100.217	20,043.40	4.3	1.3	380	1.90
MICROSOFT CORP 1.3% 11/03/2018 594918BF0	25,000	99.90	24,975 99.856	24,964.00	5.3	1.7	325	1.30
WALT DISNEY CO NEW 1.65% 01/08/2019 25468PDH6	10,000	99.93	9,993 100.238	10,023.80	2.1	0.7	165	1.65
ANHEUSER-BUSCH INBEV FIN INC SENIOR NOTES 1.9% 02/01/2019 035242AG1	20,000	100.14	20,029 99.999	19,999.80	4.2	1.3	380	1.90
MORGAN STANLEY 2.45% 02/01/2019 61746BDX1	25,000	101.10	25,275 100.77	25,192.50	5.4	1.7	613	2.43
APPLE INC 1.7% 02/23/2019 037833BQ2	5,000	99.98	4,999 100.252	5,012.60	1.1	0.3	85	1.70
EXXON MOBIL CORPORATION SR UNSECURED 1.708% 03/01/2019 30231GAP7	10,000	100.00	10,000 99.867	9,986.70	2.1	0.7	171	1.71
JOHNSON & JOHNSON 1.125% 03/01/2019 478160BR4	10,000	99.99	9,999 99.161	9,916.10	2.1	0.7	113	1.13
BERKSHIRE HATHAWAY INC SENIOR NOTES 1.7% 03/15/2019 084664CG4	5,000	99.92	4,996 99.955	4,997.75	1.1	0.3	85	1.70

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	COST(\$) PRICE(\$)	MARKET PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)
BP CAPITAL MARKETS PLC 1.676% 05/03/2019 05565QDC9	10,000	100.60	10,060	99.178	9,917.80	2.1	0.7	168	1.69
SHELL INTL FIN B V 1.375% 05/10/2019 822582BR2	5,000	99.78	4,989	98.79	4,939.50	1.0	0.3	69	1.39
CITIGROUP INC 2.05% 06/07/2019 172967KS9	20,000	100.18	20,036	99.782	19,956.40	4.2	1.3	410	2.05
TEVA PHARMACEUTICAL FIN NETH III B V SENIOR NOTES 1.7% 07/19/2019 88167AAB7	10,000	100.29	10,029	98.131	9,813.10	2.1	0.7	170	1.73
DOMINION RES INC VA NEW 1.6% 08/15/2019 25746UCH0	5,000	99.99	5,000	98.716	4,935.80	1.0	0.3	80	1.62
VERIZON COMMUNICATIONS INC 1.375% 08/15/2019 92343VDF8	20,000	99.97	19,994	98.114	19,622.80	4.2	1.3	275	1.40
WESTPAC BANKING CORP 1.6% 08/19/2019 900004748	20,000	99.98	19,996	98.881	19,776.20	4.2	1.3	320	1.62
SHIRE ACQ INV IRELAND DA 1.9% 09/23/2019 900048505	10,000	99.92	9,992	99.813	9,981.30	2.1	0.7	190	1.90
TOTAL DOMESTIC CORPORATE BONDS	470,000		473,039		470,702.25	100.0	31.6	9,496	2.02

TOTAL CORPORATE BONDS:

\$1,495,016



THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	COST(\$) PRICE(\$)	MARKET PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)
DISCOVERY COMMUNICATIONS INC COM SER C 25470F302	400	24 70	9,882 26 44	26 44	10,576 00	1 5	1 5	0	0 00
EOG RESOURCES INC 26875P101	400	81 61	32,645 102 52	102 52	41,008 00	6 0	5 8	268	0 65
FEDEX CORP 31428X106	150	154 47	23,171 191 67	191 67	28,750 50	4 2	4 1	240	0 83
HONEYWELL INTL INC 438516106	125	113 47	14,183 113 94	113 94	14,242 50	2 1	2 0	333	2 33
LENNAR CORP CL A 526057104	300	47 28	14,185 42 54	42 54	12,762 00	1 9	1 8	48	0 38
MICROSOFT CORP 594918104	500	34 82	17,411 60 26	60 26	30,130 00	4 4	4 3	780	2 59
MOTOROLA SOLUTIONS INC 620076307	300	61 16	18,349 80 25	80 25	24,075 00	3 5	3 4	564	2 34
OCCIDENTAL PETE CORP 674599105	200	87 27	17,454 71 36	71 36	14,272 00	2 1	2 0	608	4 26
ORACLE CORP 68389X105	500	27 18	13,588 40 19	40 19	20,095 00	2 9	2 9	300	1 49
PNC FINANCIAL SVCS GROUP INC 693475105	125	72 36	9,045 110 54	110 54	13,817 50	2 0	2 0	275	1 99
PACKAGING CORP AMER 695156109	200	29 26	5,852 84 76	84 76	16,952 00	2 5	2 4	504	2 97
PFIZER INC 717081103	450	16 43	7,393 32 14	32 14	14,463 00	2 1	2 1	540	3 73
PIONEER NATURAL RESOURCES CO 723787107	200	87 66	17,532 191 04	191 04	38,208 00	5 6	5 4	16	0 04
TRAVELERS COMPANIES INC THE 89417E109	150	50 46	7,569 113 35	113 35	17,002 50	2 5	2 4	402	2 36
EXTRACTION OIL & GAS LLC 900062100	850	19 32	16,422 23 53	23 53	20,000 50	2 9	2 8	0	0 00

STATEMENT C-2:  
 SCHEDULE OF ASSETS

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	COST(\$) PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)
UNITED CONTINENTAL HLDGS INC 910047109	350	30 51	10,679 68 95	24,132 50	3 5	3 4	0	0 00
VERIZON COMMUNICATIONS 92343V104	200	34 28	6,856 49 90	9,980 00	1 5	1 4	462	4 63
WESTERN DIGITAL CORP 958102105	175	63 00	11,024 63 66	11,140 50	1 6	1 6	350	3 14
WHIRLPOOL CORP 963320106	100	176 64	17,664 162 44	16,244 00	2 4	2 3	400	2 46
ALLERGAN PLC G0177J108	75	237 91	17,843 194 30	14,572 50	2 1	2 1	210	1 44
AON PLC SHS CLA G0408V102	275	49 06	13,492 114 10	31,377 50	4 6	4 5	363	1 16
ACCENTURE PLC IRELAND SHS CLA G1151C101	300	67 37	20,210 119 43	35,829 00	5 2	5 1	726	2 03
CHUBB LTD COM H1467J104	125	125 84	15,731 128 00	16,000 00	2 3	2 3	345	2 16
LYONDELLBASELL INDUSTRIES N V CL A N53745100	150	100 58	15,087 90 32	13,548 00	2 0	1 9	510	3 76
TOTAL COMMON STOCK - DOMESTIC	10,595		487,739	686,995 30	100 0	97 5	11,481	1 67

**ACCOUNT STATEMENT**

Statement Period 11/01/2016 through 11/30/2016  
 Account Number 59301400  
 NEUBERGER BERMAN FOUNDATION -  
 MUTUAL FUND ACCOUNT

**EXCHANGE TRADED FUNDS-EQUITY**

SPDR GOLD TR GOLD SHS 78463V107	1,960	156 01	305,780 111 75	219,030 00	100 0	3 2	0	0 00
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TOTAL COMMON STOCK:

\$906,025

STATEMENT C-2:  
 SCHEDULE OF ASSETS

THE NEUBERGER BERMAN FOUNDATION  
 EIN: 31-1736689  
 FOR THE YEAR ENDED NOVEMBER 30, 2016

ATTACHMENT C-1: US TREASURY OBLIGATIONS  
 HELD AT NOVEMBER 30, 2016

US GOVERNMENTS AND AGENCIES

FEDERAL HOME LOAN BANK 12/28/2016 3130A0C65	625%	25,000	99 71	24,929	100 016	25,004 00	2 7	1 7	156	0 62
UNITED STATES TREASURY NOTE 5% 02/28/2017 912828J35		5,000	99 61	4,981	100 012	5,000 60	0 5	0 3	25	0 50
FEDERAL HOME LOAN BANK 05/24/2017 3130A1NN4	875%	35,000	99 81	34,932	100 096	35,033 60	3 8	2 4	306	0 87
UNITED STATES TREASURY NOTE 625% 08/31/2017 912828TM2		35,000	99 94	34,979	99 875	34,956 25	3 8	2 4	219	0 63
UNITED STATES TREASURY NOTE 625% 09/30/2017 912828TS9		80,000	99 92	79,932	99 828	79,862 40	8 7	5 4	500	0 63
FEDERAL HOME LOAN BANKS 625% 10/26/2017 3130A6LZ8		10,000	99 78	9,978	99 742	9,974 20	1 1	0 7	63	0 63
UNITED STATES TREASURY NOTE 75% 10/31/2017 912828TW0		60,000	99 80	59,882	99 91	59,946 00	6 5	4 0	450	0 75
UNITED STATES TREASURY NOTE 875% 03/31/2018 912828Q45		55,000	100 25	55,139	99 848	54,916 40	6 0	3 7	481	0 88

STATEMENT C-1:  
 SCHEDULE OF ASSETS

THE NEUBERGER BERMAN FOUNDATION

EIN: 31-1736689

FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	COST(\$) PRICE(\$)	MARKET PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)
UNITED STATES TREASURY NOTE 75% 04/15/2018 912828K25	45,000	100 02	45,007	99 641	44,838 45	4 9	3 0	338	0 75
UNITED STATES TREASURY NOTE 1% 09/15/2018 912828L40	5,000	100 65	5,032	99 816	4,990 80	0 5	0 3	50	1 00
UNITED STATES TREASURY NOTE 1.25% 11/15/2018 912828M64	55,000	100 70	55,385	100 25	55,137 50	6 0	3 7	688	1 25
UNITED STATES TREASURY NOTE 1.25% 12/15/2018 912828N22	80,000	100 62	80,496	100 203	80,162 40	8 7	5 4	1,000	1 25
UNITED STATES TREASURY NOTE 75% 02/15/2019 912828P53	10,000	99 54	9,954	99 09	9,909 00	1 1	0 7	75	0 76
UNITED STATES TREASURY NOTE 875% 04/15/2019 912828Q52	80,000	99 90	79,917	99 18	79,344 00	8 6	5 3	700	0 88
UNITED STATES TREASURY NOTE 875% 05/15/2019 912828R44	25,000	99 54	24,886	99 082	24,770 50	2 7	1 7	219	0 88
UNITED STATES TREASURY NOTE 875% 06/15/2019 912828R85	25,000	100 04	25,011	98 977	24,744 25	2 7	1 7	219	0 88
UNITED STATES TREASURY NOTE 75% 07/15/2019 912828S43	125,000	99 76	124,695	98 563	123,203 75	13 4	8 3	938	0 76
TREASURY NOTE 875% 09/15/2019 900047499	125,000	99 63	124,543	98 695	123,368 75	13 4	8 3	1,094	0 89
US TREASURY N/B 1% 11/15/2019 900078205	45,000	98 95	44,527	98 867	44,490 15	4 8	3 0	450	1 01

STATEMENT C-1:  
SCHEDULE OF ASSETS

THE NEUBERGER BERMAN FOUNDATION

EIN: 31-1736689

FOR THE YEAR ENDED NOVEMBER 30, 2016

DESCRIPTION	SHARES/ PAR	UNIT COST(\$)	COST(\$) PRICE(\$)	MARKET VALUE(\$)	MARKET PRICE(\$)	MARKET VALUE(\$)	% CAT	% PORT	EST INC(\$)	CURR YLD(%)
TOTAL US GOVERNMENTS AND AGENCIES	925,000		924,205	919,653	00	100	0	61	7,971	0 87
<b>MORTGAGE BACKED SECURITIES</b>										
FNMA GTD PASS THRU POOL#AE6134 3 5% 10/01/2025 31419GY81	6,268	41	6,552	104	26	6,535	45	7 7	219	3 36
FEDL HOME LOAN MTG CORP#G14828 3 5% 05/01/2026 3128MDSR5	12,044	65	12,557	104	38	12,572	21	14 8	422	3 35
FNMA GTD PASS THRU POOL#AL3909 4% 05/01/2027 3138ELKX0	33,521	9	35,444	105	93	35,509	75	41 7	1,341	3 78
FNMA GTD PASS THRU POOL#AP7539 3% 09/01/2027 3138MBLV6	17,081	4	17,503	102	91	17,578	47	20 6	512	2 92
FEDL HOME LOAN MTG CORP#J24746 3% 07/01/2028 31307DHX7	12,651	37	12,942	102	93	13,022	05	15 3	380	2 91
TOTAL MORTGAGE BACKED SECURITIES	81,567	73	84,998	85,217	93	100	0	5 7	2,874	3 37

TOTAL US TREASURY OBLIGATIONS:

\$1,004,871

STATEMENT C-1:  
SCHEDULE OF ASSETS

The Neuberger Berman Foundation  
 FY 2015 Grants Paid  
 For the year ended November 30, 2016

Grants and Contributions Paid

Recipient's Name	Recipient's Address				Status	Purpose of Grant or Contribution	Amount
	Street	City	State	ZIP Code			
A Broader Way	420 Lexington Avenue, Suite 2520	New York	NY	10170	PC	general operating support	\$ 15,000.00
Anixter Center	6610 N. Clark Street	Chicago	IL	60626	PC	National Leukotek Center	\$ 15,000.00
Association to Benefit Children	419 East 86th Street	New York	NY	10028	PC	general operating support	\$ 200,000.00
Blythedale Children's Hospital	95 Bradhurst Avenue	Valhalla	NY	10595	PC	Early Childhood Center	\$ 10,000.00
Boys and Girls Clubs of Dorchester	1135 Dorchester Avenue	Boston	MA	02125	PC	Education Program	\$ 15,000.00
Breakthrough New York	123 William St., 4th Flr	New York	NY	10038	PC	College Bound Program	\$ 15,000.00
Brooklyn Kindergarten Society	57 Willoughby St. 4th Flr	Brooklyn	NY	11201	PC	general operating support	\$ 15,000.00
City Harvest	575 Eighth Avenue, 4th Floor	New York	NY	10018	PC	Fruit Bowl program	\$ 15,000.00
City Harvest	576 Eighth Avenue, 4th Floor	New York	NY	10018	PC	Fruit Bowl program	\$ 5,000.00
City Year	36 South Wabash Avenue, Suite 1300	Chicago	IL	60603	PC	Whole Year, Whole Child - Chicago	\$ 15,000.00
Dallas Children's Advocacy Center	5351 Samuell Blvd	Dallas	TX	75228	PC	Therapy program	\$ 15,000.00
Digital Citizen Fund	145 W. 27th Street, Suite 6E	New York	NY	10001	PC	Creation & implementation of financial literacy curriculum	\$ 22,162.00
East Side House	337 Alexander Ave	Bronx	NY	10454	PC	college access and retention programs	\$ 15,000.00
Fiver Children's Foundation	519 8th Avenue,	New York	NY	10018	PC	Investment Camp for Fiver students	\$ 25,000.00
Friends of Neuberger Museum	735 Anderson Hill Road	Purchase	NY	10577	PC	outreach and education programs for underserved youth	\$ 20,000.00
Friends of the Children New York	218 West 113th Street	New York	NY	10026	PC	Project SOAR	\$ 15,000.00
Green City Force	630 Flushing Avenue, 8th Floor	Brooklyn	NY	11206	PC	General operating support	\$ 20,000.00
Greenwich House	224 West 30th Street, Suite 302 Unit A, 9th Floor, Easy Tower, 609-611 Tai Nan West St	New York	NY	10001	PC	Children's Safety Project	\$ 15,000.00
Hands on Hong Kong	Cheung Sha Wan, Kowloon	Hong Kong			Exp Resp	children and youth empowerment programs	\$ 30,000.00
iMentor	30 Broad Street, 9th Floor	New York	NY	10004	PC	General operating support for New York programs	\$ 20,000.00
Into University	95 Sirdar Road	London	UK		Exp Resp	General operating support for learning center in Lambeth	\$ 15,000.00
Let's Get Ready	50 Broadway, 25th Flr	New York	NY	10004	PC	general operating support	\$ 15,000.00
Lower Eastside Girls Club	101 Avenue D	New York	NY	10009	PC	General operating support	\$ 15,000.00
Magic Box Productions	274 Bedford Rd	Pleasantville	NY	10570	PC	Video Project	\$ 5,000.00
Maritime Aquarium at Norwalk	10 North Water Street	Norwalk	CT	06854	PC	Whole School Partnership	\$ 15,000.00
Mayor's Fund to Advance New York City	253 Broadway, 8th Floor	New York	NY	10007	PC	Summer of Service program	\$ 40,000.00
Montefiore Medical Center	111 E 210th St	Bronx	NY	10467	PC	Video Project	\$ 14,000.00
New Jersey SEEDS	494 Broad Street, Suite 105	Newark	NJ	07102	PC	Scholars program	\$ 15,000.00
New York Hall of Science	47-01 111th Street	Queens	NY	11368	PC	Science Career Ladder Institute	\$ 15,000.00
Pajama Program	114 E 39th St Ground Floor	New York	NY	10016	PC	New York reading center	\$ 10,000.00
PENCIL	30 West 26th Street, 2nd Floor	New York	NY	10010	PC	School Partnership with Frederick Douglass Academy II	\$ 20,000.00
PENCIL	31 West 26th Street, 2nd Floor	New York	NY	10010	PC	college access and attendance programs at FDA II	\$ 11,088.00
PENCIL	32 West 26th Street, 2nd Floor	New York	NY	10010	PC	support for outreach and college visits	\$ 15,750.00
Per Scholas	804 E 138th Street	Bronx	NY	10454	PC	General operating support for New York programs	\$ 20,000.00

**Grants and Contributions Paid**

Recipient's Name	Recipient's Address				Status	Purpose of Grant or Contribution	Amount
	Street	City	State	ZIP Code			
Primary Stages	307 W 38th Street, Suite 1510	New York 635 W	NY	10018	PC	Free Student Matinee Program	\$ 15,000.00
Promise Project	635 W 165th St	165th St	NY	10032	PC	general operating support	\$ 15,000.00
Reading Partners	225 W 35th Street, 9th Floor	New York	NY	10001	PC	General operating support for New York programs	\$ 15,000.00
Resolution Project	1120 Avenue of the Americas, 4th Flr	New York	NY	10036	PC	mentoring partnership	\$ 20,000.00
Resurgo	St Paul's Place, Macbeth Street	London	UK		Exp Resp	Spear program	\$ 15,000.00
Room to Grow	7 West 30th St. Flr 3	New York	NY	10001	PC	general operating support	\$ 15,000.00
Row New York	10-27 46th Ave	Long Island City	NY	11101	PC	ERA and PREP programs	\$ 15,000.00
Step Up Women's Network	3540 Wilshire Boulevard, Suite 502	Los Angeles	CA	90010	PC	Teen Empowerment Program in Chicago	\$ 15,000.00
Studio in a School	410 West 59th Street	New York	NY	10019	PC	Teen Apprenticeship Program	\$ 15,000.00
Sutton Trust	9th Flr Millbank Tower, 21-24 Millbank, Westminster	London			Exp Resp	US programme	\$ 15,000.00
TADA Youth Theater	15 West 28th Street, 3rd Floor	New York	NY	10001	PC	Arts Education Programs	\$ 15,000.00
Teach for America	519 8th Avenue, 15th Floor	New York	NY	10018	PC	general operating support for Teach for America-New York	\$ 15,000.00
Teachers College at Columbia University	525 W 120th St	New York	NY	10027	PC	REACH program, VISTA for FDAll	\$ 12,000.00
Vogel Alcove	1738 Gano Street	Dallas	TX	75215	PC	Children's Programs	\$ 15,000.00
Westchester Children's Museum	50 Main Street, Suite 205	New York	NY	10606	PC	Makerspace program	\$ 15,000.00
Writing Revolution	22 Cortlandt Street, 33rd Floor	New York	NY	10007	PC	General operating support for New York programs	\$ 15,000.00
YCS (Youth Consultation Service)	284 Broadway	Newark	NJ	07104	PC	General operating support	\$ 15,000.00
YMCA of Greater New York	5 West 63rd Street	New York	NY	10023	PC	Y Roads Initiative	\$ 15,000.00

TOTAL CHARITABLE CONTRIBUTIONS PAID

\$ 1,015,000.00

STATEMENT A: CHARITABLE CONTRIBUTIONS

THE NEUBERGER BERMAN FOUNDATION  
EIN 31-1736689  
FOR THE YEAR ENDED NOVEMBER 30, 2016

**ATTACHMENT B: EXPENDITURE RESPONSIBILITY  
FORM 990-PF, PART XV, LINE 3a**

The following information is provided in accordance with IRC § 4945(h)(3) and Reg. 53.4945-5(d) to demonstrate that the foundation exercised expenditure responsibility in regard to its grants.

**NAME AND ADDRESS OF GRANTEE:**  
RESURGO  
ST PAUL'S PLACE- MACBETH STREET  
LONDON, W6 9JJ

**AMOUNT OF GRANT:** \$15,000.00

**DATE OF GRANT:** August 1, 2016

**PURPOSE OF GRANT:** SPEAR PROGRAM AT THE HAMMERSMITH CENTRE

**DIVERTED A PORTION OF FUNDS FROM THE PURPOSE OF THE GRANT: (YES, NO)**  
NO, TO THE KNOWLEDGE OF THE GRANTOR NO FUNDS HAVE BEEN DIVERTED TO ANY OTHER ACTIVITY

**DATES OF REPORTS RECEIVED FROM GRANTEE:**  
GRANTEE VERIFICATION REPORTS ARE DUE AUGUST, 2017

**DATES AND RESULTS OF ANY VERIFICATION OF THE GRANTEE'S REPORTS:**  
NO FURTHER INDEPENDENT VERIFICATION IS NECESSARY AT THIS TIME.

The Neuberger Berman Foundation  
 FY 2015 Grants Paid  
 For the year ended November 30, 2016

Grants and Contributions Paid

Recipient's Name		Recipient's Address				Status	Purpose of Grant or Contribution	Amount
Street	City	State	ZIP Code					
A Broader Way	New York	NY	10170		PC	general operating support	\$	15,000.00
Anixter Center	Chicago	IL	60626		PC	National Lekotek Center	\$	15,000.00
Association to Benefit Children	New York	NY	10028		PC	general operating support	\$	200,000.00
Blytheedale Children's Hospital	Valhalla	NY	10595		PC	Early Childhood Center	\$	10,000.00
Boys and Girls Clubs of Dorchester	Boston	MA	02125		PC	Education Program	\$	15,000.00
Breakthrough New York	New York	NY	10038		PC	College Bound Program	\$	15,000.00
Brooklyn Kindergarten Society	Brooklyn	NY	11201		PC	general operating support	\$	15,000.00
City Harvest	New York	NY	10018		PC	Fruit Bowl program	\$	15,000.00
City Harvest	New York	NY	10018		PC	Fruit Bowl program	\$	5,000.00
City Year	Chicago	IL	60603		PC	Whole Year, Whole Child - Chicago	\$	15,000.00
Dallas Children's Advocacy Center	Dallas	TX	75228		PC	Therapy program	\$	15,000.00
Digital Citizen Fund	New York	NY	10001		PC	Creation & implementation of financial literacy curriculum	\$	22,162.00
East Side House	Bronx	NY	10454		PC	college access and retention programs	\$	15,000.00
Fiver Children's Foundation	New York	NY	10018		PC	Investment Camp for Five students	\$	25,000.00
Friends of Neuberger Museum	Purchase	NY	10577		PC	outreach and education programs for underserved youth	\$	20,000.00
Friends of the Children New York	New York	NY	10026		PC	Project SOAR	\$	15,000.00
Green City Force	Brooklyn	NY	11206		PC	General operating support	\$	20,000.00
Greenwich House	New York	NY	10001		PC	Children's Safety Project	\$	15,000.00
Hands on Hong kong	Hong Kong				Exp Resp	children and youth empowerment programs	\$	30,000.00
IMentor	New York	NY	10004		PC	General operating support for New York programs	\$	15,000.00
Into University	London	UK			Exp Resp	General operating support for learning center in Lambeth	\$	20,000.00
Let's Get Ready	New York	NY	10004		PC	general operating support	\$	15,000.00
Lower Eastside Girls Club	New York	NY	10009		PC	General operating support	\$	15,000.00
Magic Box Productions	Pleasantville	NY	10570		PC	Video Project	\$	5,000.00
Maritime Aquarium at Norwalk	Norwalk	CT	06854		PC	Whole School Partnership	\$	15,000.00
Mayor's Fund to Advance New York City	New York	NY	10007		PC	Summer of Service program	\$	40,000.00
Montefiore Medical Center	Bronx	NY	10467		PC	Video Project	\$	14,000.00
New Jersey SEEDS	Newark	NJ	07102		PC	Scholars program	\$	15,000.00
New York Hall of Science	Queens	NY	11368		PC	Science Career Ladder Institute	\$	15,000.00
Pajama Program	New York	NY	10016		PC	New York reading center	\$	10,000.00
PENCIL	New York	NY	10010		PC	School Partnership with Frederick Douglass Academy II	\$	20,000.00
PENCIL	New York	NY	10010		PC	college access and attendance programs at FDA II	\$	11,088.00
PENCIL	New York	NY	10010		PC	support for outreach and college visits	\$	15,750.00
Per Scholas	Bronx	NY	10454		PC	General operating support for New York programs	\$	20,000.00
Primary Stages	New York	NY	10018		PC	Free Student Matinee Program	\$	15,000.00
Promise Project	635 W 165th St	NY	10032		PC	general operating support	\$	15,000.00
Reading Partners	165th St	NY	10001		PC	General operating support for New York programs	\$	15,000.00
Resolution Project	1120 Avenue of the Americas, 4th Flr	New York	NY	10036	PC	mentoring partnership	\$	20,000.00
Resurgo	St. Paul's Place, Macbeth Street	London	UK		Exp Resp	Spears program	\$	15,000.00

**Grants and Contributions Paid**

Recipient's Name	Recipient's Address					Status	Purpose of Grant or Contribution	Amount
	Street	City	State	ZIP Code				
Room to Grow	7 West 30th St, Flr 3	New York Long Island City	NY 10001		PC	General operating support	\$ 15,000.00	
Row New York	10-27 46th Ave	New York	NY 11101		PC	ERA and PREP programs	\$ 15,000.00	
Step Up Women's Network	3540 Wilshire Boulevard, Suite 502	Los Angeles	CA 90010		PC	Teen Empowerment Program in Chicago	\$ 15,000.00	
Studio in a School	410 West 59th Street 9th Flr Millbank Tower,	New York London	NY 10019		PC	Teen Apprenticeship Program	\$ 15,000.00	
Sutton Trust	21-24 Millbank, Westminster	New York			Exp Resp	US programme	\$ 15,000.00	
TADA Youth Theater	15 West 28th Street, 3rd Floor	New York	NY 10001		PC	Arts Education Programs	\$ 15,000.00	
Teach for America	519 8th Avenue, 15th Floor	New York	NY 10018		PC	General operating support for Teach for America-New York	\$ 15,000.00	
Teachers College at Columbia University	525 W 120th St	New York	NY 10027		PC	REACH program, VISTA for FDAll	\$ 12,000.00	
Vogel Alcove	1738 Gano Street	Dallas	TX 75215		PC	Children's Programs	\$ 15,000.00	
Westchester Children's Museum	50 Main Street, Suite 205	New York	NY 10606		PC	Makerspace program	\$ 15,000.00	
Writing Revolution	22 Cortlandt Street, 33rd Floor	New York	NY 10007		PC	General operating support for New York programs	\$ 15,000.00	
YCS (Youth Consultation Service)	284 Broadway	Newark	NJ 07104		PC	General operating support	\$ 15,000.00	
YMCA of Greater New York	5 West 63rd Street	New York	NY 10023		PC	Y Roads Initiative	\$ 15,000.00	

TOTAL CHARITABLE CONTRIBUTIONS PAID

\$ 1,015,000.00