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

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2015

Open to Public Inspection

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

Bergen Foundation
13701 Riverside Drive #800
Sherman Oaks, CA 91423

A Employer identification number

95-6044540

B Telephone number (see instructions)

(818) 981-3505

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 ☐ Initial return of a former public charity
☐ Final return ☐ Amended return
☐ Address change ☐ 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, column (c), line 16)
J Accounting method: ☒ Cash ☐ Accrual
☐ Other (specify)

\$ 16,567,216.

(Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

REVENUE

1 Contributions, gifts, grants, etc., received (attach schedule)

2 ☒ if the foundation is not required to attach Sch B

3 Interest on savings and temporary cash investments

4 Dividends and interest from securities

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

b Gross sales price for all assets on line 6a 16,716,674.

7 Capital gain net income (from Part IV, line 2)

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)

See Statement 1

12 Total. Add lines 1 through 11

13 Compensation of officers, directors, trustees, etc

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees (attach schedule) See St 2

b Accounting fees (attach sch) See St 3

c Other prof fees (attach sch)

17 Interest

18 Taxes (attach schedule)(see instrs) See Stm 4

19 Depreciation (attach schedule) and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses (attach schedule)

See Statement 5

24 Total operating and administrative expenses. Add lines 13 through 23

25 Contributions, gifts, grants paid Part XV

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

b Net investment income (if negative, enter -0-)

c Adjusted net income (if negative, enter -0-)

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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	287,325.	36,890.	36,890.		
	2	Savings and temporary cash investments					
	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 sch)					
		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)					
	b	Investments – corporate stock (attach schedule)	15,145,055.	14,225,481.	14,474,799.		
	c	Investments – corporate bonds (attach schedule)					
	LIABILITIES	11	Investments – land, buildings, and equipment: basis				
		Less: accumulated depreciation (attach schedule)					
12		Investments – mortgage loans					
13		Investments – other (attach schedule)	649,509.	545,203.	677,403.		
14		Land, buildings, and equipment: basis					
		Less: accumulated depreciation (attach schedule)					
15		Other assets (describe ▶ See Statement 6)	1,040,624.	1,040,625.	1,378,124.		
16		Total assets (to be completed by all filers – see the instructions. Also, see page 1, item I)	17,122,513.	15,848,199.	16,567,216.		
17		Accounts payable and accrued expenses					
18		Grants payable					
NET ASSETS OR FUND BALANCES	19	Deferred revenue					
	20	Loans from officers, directors, trustees, & other disqualified persons					
	21	Mortgages and other notes payable (attach schedule)					
	22	Other liabilities (describe ▶ See Statement 7)	5,557.	5,599.			
	23	Total liabilities (add lines 17 through 22)	5,557.	5,599.			
		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/>					
	24	Unrestricted	17,116,956.	15,842,600.			
	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	Total net assets or fund balances (see instructions)	17,116,956.	15,842,600.				
31	Total liabilities and net assets/fund balances (see instructions)	17,122,513.	15,848,199.				

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	17,116,956.
2	Enter amount from Part I, line 27a	2	-1,297,534.
3	Other increases not included in line 2 (itemize) ▶ See Statement 8	3	23,178.
4	Add lines 1, 2, and 3	4	15,842,600.
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	15,842,600.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a See attached detail.		P	Various	Various
b Puts/calls		P	Various	Various
c Other		P	Various	Various
d				
e				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 16,629,809.		17,676,885.	-1,047,076.
b 86,544.			86,544.
c 321.			321.
d			
e			

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	
a			-1,047,076.
b			86,544.
c			321.
d			
e			

2 Capital gain net income or (net capital loss).	<div style="border: 1px solid black; padding: 2px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div>		2	-960,211.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):	<div style="border: 1px solid black; padding: 2px;"> If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 </div>		3	0.

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	703,487.	15,680,419.	0.044864
2013	857,594.	16,034,241.	0.053485
2012	817,496.	15,346,541.	0.053269
2011	864,948.	16,259,283.	0.053197
2010	714,124.	16,294,915.	0.043825

2 Total of line 1, column (d)	2	0.248640
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	0.049728
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	14,844,660.
5 Multiply line 4 by line 3	5	738,195.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,464.
7 Add lines 5 and 6	7	740,659.
8 Enter qualifying distributions from Part XII, line 4	8	583,766.

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 instructions)

1 a 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 instrs)			
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		1	4,929.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	4,929.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	4,929.
6 Credits/Payments:			
a 2015 estimated tax pmts and 2014 overpayment credited to 2015	6 a	8,417.	
b Exempt foreign organizations — tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	8,417.	
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	0.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	3,488.	
11 Enter the amount of line 10 to be: Credited to 2016 estimated tax 3,488. Refunded	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <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>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ▶ \$ 0. (2) On foundation managers ▶ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities</i>		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on Form 990-T for this year?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		X
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?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, col. (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) 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 <i>General Instruction G</i> ? <i>If 'No,' attach explanation</i>	X	
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 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>N/A</u>	13	X	
14	The books are in care of <u>John Larkin</u> Telephone no. <u>(818) 981-3505</u> Located at <u>13701 Riverside Drive Eighth Floor Sherman O</u> ZIP + 4 <u>91423</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <u>N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>15</u> <u>N/A</u>			
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? See the instructions for exceptions and filing requirements for FinCEN Form 114. If 'Yes,' enter the name of the foreign country <u></u>	16	Yes	No
				X

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

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

	Yes	No
1 a 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>	1 b	N/A
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?	1 c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If 'Yes,' list the years <u>20__ , 20__ , 20__ , 20__</u>		
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.)	2 b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. <u>20__ , 20__ , 20__ , 20__</u>		
3 a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
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? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2015)	3 b	N/A
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?	4 b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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)?Organizations relying on a current notice regarding disaster assistance check here ☐**5 b** N/A**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?N/A ☐ Yes ☐ No

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d)

6 a 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?**6 b** X

If 'Yes' to 6b, file Form 8870

7 a 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?

N/A

7 b**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
Kris Bergen c/o Foundation address Sherman Oaks, CA 91423	President 25.00	250,000.	0.	0.
Candice Bergen c/o Foundation address Sherman Oaks, CA 91423	Secretary 1.00	0.	0.	0.
John Larkin 13701 Riverside Drive, Ste 800 Sherman Oaks, CA 91423	Director 8.00	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

0

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	13,869,727.
b	Average of monthly cash balances	1b	561,091.
c	Fair market value of all other assets (see instructions)	1c	639,903.
d	Total (add lines 1a, b, and c)	1d	15,070,721.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	15,070,721.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	226,061.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	14,844,660.
6	Minimum investment return. Enter 5% of line 5	6	742,233.

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	742,233.
2a	Tax on investment income for 2015 from Part VI, line 5	2a	4,929.
b	Income tax for 2015. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	4,929.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	737,304.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	737,304.
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	737,304.

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	583,766.
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	583,766.
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	583,766.

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.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				737,304.
2 Undistributed income, if any, as of the end of 2015:				
a Enter amount for 2014 only			0.	
b Total for prior years: 20____, 20____, 20____		0.		
3 Excess distributions carryover, if any, to 2015:				
a From 2010				
b From 2011	16,648.			
c From 2012	93,399.			
d From 2013	60,718.			
e From 2014				
f Total of lines 3a through e	170,765.			
4 Qualifying distributions for 2015 from Part XII, line 4: ▶ \$ 583,766.				
a Applied to 2014, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required — see instructions)		0.		
c Treated as distributions out of corpus (Election required — see instructions)	0.			
d Applied to 2015 distributable amount				583,766.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a))	153,538.			153,538.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	17,227.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount — see instructions		0.		
e Undistributed income for 2014. Subtract line 4a from line 2a. Taxable amount — see instructions			0.	
f Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				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)	0.			
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	17,227.			
10 Analysis of line 9:				
a Excess from 2011				
b Excess from 2012				
c Excess from 2013	17,227.			
d Excess from 2014				
e Excess from 2015				

BAA

Form 990-PF (2015)

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 <i>Paid during the year</i> See list attached See list attached CA 91423	None	Char	Public Charity	362,200.
Total			3 a	362,200.
b <i>Approved for future payment</i>				
Total			3 b	

Enter gross amounts unless otherwise indicated.

(See worksheet in line 13 instructions to verify calculations.)

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

Bergen Foundation

95-6044540

Statement 1
Form 990-PF, Part I, Line 11
Other Income

	(a) Revenue per Books	(b) Net Investment Income	(c) Adjusted Net Income
Other Investment Income	\$ 88,926.	\$ 98,926.	
Royalty and license fee	10,000.		
Total	<u>\$ 98,926.</u>	<u>\$ 98,926.</u>	<u>\$ 0.</u>

Statement 2
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
	\$ 74.			\$ 74.
Total	<u>\$ 74.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 74.</u>

Statement 3
Form 990-PF, Part I, Line 16b
Accounting Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
	\$ 160,000.	\$ 80,000.		\$ 80,000.
Total	<u>\$ 160,000.</u>	<u>\$ 80,000.</u>	<u>\$ 0.</u>	<u>\$ 80,000.</u>

Statement 4
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Federal excise tax paid	\$ 5,067.			\$ 5,067.
Foreign tax on dividends	420.	\$ 420.		
Payroll tax	11,203.	5,601.		5,602.
Total	<u>\$ 16,690.</u>	<u>\$ 6,021.</u>	<u>\$ 0.</u>	<u>\$ 10,669.</u>

Statement 5
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
FTB Filing fee	\$ 10.			\$ 10.
Investment advisor	83,550.	\$ 83,550.		
Office	212.			212.
Other	75.			75.
Storage	948.			948.
Total	\$ 84,795.	\$ 83,550.	\$ 0.	\$ 1,245.

Statement 6
Form 990-PF, Part II, Line 15
Other Assets

	Book Value	Fair Market Value
Other memorabilia	\$ 79,500.	\$ 417,000.
Rounding	1.	
Ventriloquist figures	961,124.	961,124.
Total	\$ 1,040,625.	\$ 1,378,124.

Statement 7
Form 990-PF, Part II, Line 22
Other Liabilities

Payroll taxes payable	\$ 5,599.
Total	\$ 5,599.

Statement 8
Form 990-PF, Part III, Line 3
Other Increases

Federal tax refund	\$ 23,178.
Total	\$ 23,178.

Statement 9
Form 990-PF, Part XV, Line 2a-d
Application Submission Information

Name of Grant Program: Not applicable
 Name: Do not send applications
 Care Of:
 Street Address: 13701 Riverside Drive Suite 800
 City, State, Zip Code: Sherman Oaks, CA 91423
 Telephone:

2015

Federal Supporting Detail

Page 1

Bergen Foundation

95-6044540

Other Income Producing Activities
Dividends/interest from securities.

Dividends	\$	257,812.
Capital gain dividends		119,406.
Interest		68,191.
Total	\$	<u>445,409.</u>

Other Income Producing Activities
Other investment income [O]

Partnership receipts	\$	88,926.
Total	\$	<u>88,926.</u>

Net Investment Income / Adj. Net Income
Other investment income

Partnership income	\$	88,926.
Royalties		10,000.
Total	\$	<u>98,926.</u>

Balance Sheet
Other (Form 990-PF)[O]

Partnerships	\$	454,403.
Rights		15,800.
Note receivable, secured		75,000.
Total	\$	<u>545,203.</u>

BERGEN FOUNDATION
STOCK AND BOND TRANSACTIONS
FISCAL YEAR ENDED NOVEMBER 30, 2016

NAME	ACQUIRED	SALE DATE	PROCEEDS	SHARES	BASIS	GAIN/LOSS
Bank of Montreal	6/18/2013	12/17/2015	250,000.00	250,000.00	250,000.00	0.00
Biogen, Inc.	7/15/2015	12/21/2015	11,739.00	40.00	15,486.00	-3,747.00
Wells Fargo Co.	7/15/2015	12/21/2015	22,107.00	400.00	22,460.00	-353.00
Nuveen High Income Bond Fund	various	12/14/2015	1,033,165.00	147,594.95	1,333,232.00	-300,067.00
Abbott Laboratories	various	1/8/2016	12,837.00	300.00	14,281.00	-1,444.00
Cabot Oil Gas Corp.	7/15/2015	1/8/2016	10,338.00	600.00	17,640.00	-7,302.00
Cardinal Health, Inc.	7/15/2015	1/8/2016	26,828.00	300.00	25,658.00	1,170.00
Costco Wholesale Corp.	7/15/2015	1/8/2016	24,019.00	150.00	21,466.00	2,553.00
CVS Health Corporation	2/16/2014	1/21/2016	18,740.00	200.00	13,230.00	5,510.00
Deere Co.	7/15/2015	1/8/2016	7,570.00	100.00	9,508.00	-1,938.00
Hormel Foods Corp.	7/15/2015	1/8/2016	23,868.00	300.00	17,169.00	6,699.00
JP Morgan Chase Co.	2/10/2015	1/8/2016	12,688.00	200.00	11,364.00	1,324.00
JP Morgan Chase Co.	2/10/2015	1/8/2016	6,343.00	100.00	5,788.00	555.00
Johnson Johnson	7/15/2015	1/8/2016	30,342.00	300.00	29,847.00	495.00
Roper Industries, Inc.	various	1/21/2016	25,470.00	150.00	23,857.00	1,613.00
T Rowe Price Mid Cap Growth	various	1/19/2016	314,676.00	4,404.30	319,520.00	-4,844.00
Union Pacific Corp.	7/15/2015	1/8/2016	7,798.00	100.00	9,772.00	-1,974.00
Doubleline Total Return	various	1/6/2016	1,348,827.00	124,891.41	1,351,325.00	-2,498.00
Doubleline Total Return	11/17/2015	1/13/2016	249,201.00	22,946.66	249,201.00	0.00
Doubleline Total Return	11/17/2015	1/19/2016	394,606.00	36,235.60	393,519.00	1,087.00
Driehaus Active Income Fund	1/6/2016	1/13/2016	13,005.00	1,327.01	13,005.00	0.00
Nuveen High Income Bond Fund	1/6/2016	1/11/2016	44,739.00	6,540.79	59,390.00	-14,651.00
Bmo 18M Efa Br	8/29/2014	2/29/2016	198,412.00	225,000.00	225,000.00	-26,588.00
Deere Co.	7/15/2015	2/17/2016	22,632.00	300.00	28,524.00	-5,892.00
Express Scripts Holdings	7/15/2015	2/17/2016	13,186.00	200.00	17,967.00	-4,781.00
Fidelity Advisors Divers International	1/16/2016	2/12/2016	230,319.00	13,274.86	230,319.00	0.00
Pilgrims Pride Corp.	7/15/2015	2/17/2016	25,167.00	1,200.00	26,966.00	-1,799.00
T Rowe Price Mid Cap Growth	9/30/2015	2/12/2016	2,485.00	39.35	3,049.00	-564.00
Tfs Market Neutral Fund	various	2/11/2016	320,845.00	22,819.68	320,845.00	0.00
Doubleline Total Return	11/17/2015	2/12/2016	1,368,610.00	124,873.21	1,355,032.00	13,578.00
Canadian Naural Resources, Ltd.	1/8/2016	3/11/2016	20,248.00	800.00	17,334.00	2,914.00
JP Morgan Chase Co. Medium Term Note	8/29/2014	3/2/2016	369,147.00	500,000.00	500,000.00	-130,853.00

Spdr SP 500 Etf	2/16/2016	3/7/2016	336,678.00	1,700.00	317,823.00	18,855.00
Abbott Laboratories	7/15/2015	4/27/2016	8,757.00	200.00	10,002.00	-1,245.00
Bank of America Corp.	3/25/2015	4/27/2016	19,675.00	1,300.00	20,696.00	-1,021.00
Chubb, Ltd.	1/19/2016	4/27/2016	23,633.00	200.00	22,760.00	873.00
Ishares Msci Emerging Markets Etf	various	4/22/2016	1,177,328.00	33,500.00	1,483,276.00	-305,948.00
JP Morgan Chase Co.	2/10/2015	4/27/2016	6,437.00	100.00	5,682.00	755.00
Priceline.Com, Inc.	7/15/2015	4/27/2016	27,068.00	20.00	22,745.00	4,323.00
Roper Industries, Inc.	various	4/27/2016	26,996.00	150.00	25,757.00	1,239.00
Sandisk Corporation	7/7/2015	4/27/2016	37,920.00	500.00	26,789.00	11,131.00
T. Rowe Price Mid Cap Growth Fund	various	4/28/2016	87,006.00	1,163.96	89,330.00	-2,324.00
Tfs Market Neutral Fund	3/9/2016	4/28/2016	9,877.00	726.75	10,894.00	-1,017.00
Union Pacific Corp.	7/15/2015	4/27/2016	17,805.00	200.00	19,545.00	-1,740.00
Driehaus Active Income Fund	various	4/28/2016	151,288.00	15297.10	164,725.00	-13,437.00
Nuveen High Income Bond Fund	various	4/29/2660	277,705.00	39334.95	357,527.00	-79,822.00
Nuveen Inflation Pro Sec	6/21/2013	4/28/2016	32,771.00	2926.05	32,625.00	146.00
American Tower Corp.	various	4/27/2016	31,281.00	300.00	29,548.00	1,733.00
Nuveen Real Estate Secs I	various	4/28/2016	67,755.00	2878.29	68,721.00	-966.00
Ishares Msci Emerging Markets Etf	11/28/2014	5/31/2016	771,929.00	13200.00	859,048.00	-87,119.00
Johnson Johnson	7/15/2015	5/31/2016	22,678.00	200.00	19,898.00	2,780.00
Monsanto Co.	7/15/2015	5/31/2016	22,420.00	200.00	21,662.00	758.00
Stericycle, Inc.	various	5/31/2016	29,354.00	300.00	39,634.00	-10,280.00
Driehaus Active Income Fund	4/7/2014	6/14/2016	4,789.00	481.75	4,789.00	0.00
Driehaus Active Income Fund	4/7/2014	6/14/2016	106,155.00	10,679.60	111,680.00	-5,525.00
Driehaus Active Income Fund	2/6/2015	6/14/2016	51,612.00	5,192.31	54,312.00	-2,700.00
Nuveen High Income Bond Fund	1/6/2016	6/14/2016	80,999.00	11,296.95	100,417.00	-19,418.00
Nuveen High Income Bond Fund	1/6/2016	6/14/2016	27,957.00	3,899.17	34,820.00	-6,863.00
Bank of America Corp.	6/7/2016	7/19/2016	2,725.00	200.00	2,725.00	0.00
Dollar Tree, Inc.	3/25/2015	7/19/2016	18,924.00	200.00	16,828.00	2,096.00
Fidelity Advisors Divers International	1/11/2016	7/15/2016	128,296.00	6,552.41	122,857.00	5,439.00
Fidelity Advisors Divers International	6/15/2016	7/15/2016	281,476.00	14,375.69	280,441.00	1,035.00
Fidelity Advisors Divers International	3/9/2016	7/15/2016	31,097.00	1,588.21	29,858.00	1,239.00
JP Morgan Chase Co.	various	7/19/2016	19,270.00	300.00	17,253.00	2,017.00
PNC Financial Services Group, Inc.	7/15/2015	7/19/2016	16,572.00	200.00	19,186.00	-2,614.00
T. Rowe Price Mid Cap Growth Fund	6/3/2015	7/15/2016	53,757.00	698.14	58,055.00	-3,975.00
T. Rowe Price Sc Stock Fund	6/15/2016	7/15/2016	37,883.00	909.13	37,883.00	0.00
Tfs Market Neutral Fund	various	7/15/2016	304,244.00	22,207.61	329,301.00	-25,057.00
Transcanada Corp.	7/15/2015	7/19/2016	9,378.00	200.00	7,830.00	1,548.00

Wyndham Worldwide Corp.	7/15/2015	7/19/2016	22,530.00	300.00	25,244.00	-2,714.00
Tcw Emerging Markets Local	various	7/15/2016	166,595.00	18,490.05	161,603.00	4,992.00
Abbott Laboratories	various	8/12/2016	27,041.00	600.00	26,299.00	742.00
Apple, Inc.	09/09/2014	1/28/1900	32,528.00	300.00	29,843.00	2,685.00
Biogen, Inc.	10/2/2015	8/12/2016	12,608.00	40.00	11,349.00	1,259.00
Bmo 15M Spx Lbr	5/28/2015	8/31/2016	520,215.00	500,000.00	500,000.00	20,215.00
Celgene Corp.	7/15/2015	8/12/2016	11,394.00	100.00	11,887.00	-493.00
Cerner Corporation	7/15/2015	8/12/2016	20,109.00	300.00	20,964.00	-855.00
Intuit, Inc.	5/12/2015	8/12/2016	22,442.00	200.00	20,081.00	2,361.00
Schwab Charles Corp.	7/15/2015	8/12/2016	6,000.00	200.00	6,562.00	-562.00
Tfs Market Neutral Fund	6/15/2016	8/10/2016	38,987.00	2,894.38	43,068.00	-4,081.00
Union Pacific Corp.	various	8/12/2016	27,920.00	300.00	28,336.00	-416.00
Wells Fargo Co.	7/15/2015	8/12/2016	4,887.00	100.00	5,602.00	-715.00
Wyndham Worldwide Corp.	7/15/2015	8/12/2016	13,866.00	200.00	16,829.00	-2,963.00
Nuveen High Income Bond Fund	various	8/10/2016	1,005,015.00	135,264.48	1,092,989.00	-87,974.00
Tcw Emerging Markets Local	6/15/2016	8/10/2016	88,928.00	9,750.93	82,785.00	6,143.00
Nuveen Real Estate Secs I	5/8/2015	8/10/2016	2,514.00	97.54	2,367.00	147.00
Alphabet, Inc.	7/15/2015	11/16/2016	15,498.00	20.00	11,145.00	4,353.00
Cerner Corporation	various	11/29/2016	15,104.00	300.00	19,600.00	-4,496.00
Fidelity Advisors Divers International	6/15/2016	11/14/2016	23,582.00	1,209.94	23,431.00	151.00
General Dynamic Corp.	7/15/2015	11/16/2016	16,530.00	100.00	14,657.00	1,873.00
Mastercard, Inc.	various	11/29/2016	41,845.00	400.00	30,862.00	10,983.00
Microsoft Corp.	7/15/2015	11/29/2016	12,056.00	200.00	8,954.00	3,102.00
Priceline.Com, Inc.	7/15/2015	11/16/2016	15,594.00	10.00	11,372.00	4,222.00
Roper Industries, Inc.	3/11/2016	11/16/2016	17,941.00	100.00	17,187.00	754.00
Roper Industries, Inc.	various	11/29/2016	18,390.00	100.00	17,020.00	1,370.00
T Rowe Price Sc Stock	various	11/25/2016	4,435.00	97.39	4,191.00	244.00
T Rowe Price Sc Stock	5/19/2014	11/25/2016	41,401.00	909.13	37,483.00	3,918.00
Transcanada Corp.	7/15/2015	11/16/2016	44,668.00	1,000.00	39,150.00	5,518.00
Wal Mart Stores, Inc.	various	11/16/2016	14,260.00	200.00	14,453.00	-193.00
Wells Fargo Co.	various	3/1/1900	30,161.00	600.00	29,887.00	274.00
Bank of America Corp.	7/29/2010	11/28/2016	220,800.00	200,000.00	207,191.00	13,609.00
Citigroup, Inc.	2/5/2013	11/28/2016	180,509.00	175,000.00	205,354.00	-24,845.00
Driehaus Active Income Fund	2/6/2015	11/14/2016	24,837.00	2,461.50	26,382.00	-1,545.00
Driehaus Active Income Fund	2/6/2015	11/25/2016	37,427.00	3,680.17	39,014.00	-1,587.00
General Electric Capital Corp.	3/26/2010	11/28/2016	207,080.00	200,000.00	213,521.00	-6,441.00
Goldman Sachs Group	various	11/28/2016	211,166.00	200,000.00	215,032.00	-3,866.00

Jpmorgan Chase	12/26/2012	11/28/2016	164,769.00	150,000.00	185,484.00	-20,715.00
Nuveen Short Term Bond Fund	various	11/14/2016	2,410,500.00	244,224.94	2,394,935.00	15,565.00
Nuveen Real Estate Secs I	5/30/2013	11/25/2016	9,197.00	410.03	9,197.00	0.00
Credit Suisse Comm	4/28/2016	11/25/2016	7,028.00	1,422.69	6,900.00	128.00
			16,629,809.00		17,676,886.00	-1,046,754.00

Bergen Foundation**95-6044540****Attachment to Form 990-PF and California Form 199 for Fiscal Year Ended 11/30/16****Part 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. 1748 West Katella Avenue, Suite 206 Orange, CA 92867	1,200
Academy of Television Arts & Sciences Foundation 5220 Lankershim Boulevard North Hollywood, CA 91601	10,000
American Heart Association 816 So. Figueroa Street Los Angeles, CA 90017	10,000
Animal Rescue Fund P.O. Box 901 Waincott, NY 11975	10,000
The ARC 1825 k Street, Suite 1200 Washington, DC 20006	5,000
BB.SVC 4001 Mission Oaks, Blvd., Suite J Camarillo, CA 93012	1,500
The Bowery Mission 132 Madison Avenue New York, NY 10016	10,000
Brahma Kumaris World Spiritual Organization 2428 Griffith Park Blvd. Los Angeles, CA 90039	20,000

Part XV, Grants and Contributions Paid During the Year
(Continued)

Children's Hospital of Los Angeles Dept 7924 Los Angeles, CA 90084-7924	50,000
Kabbalah Centre 1062 South Roberston Boulevard Los Angeles, CA 90035	20,000
KCA 1062 South Roberston Boulevard Los Angeles, CA 90035	20,500
Monrovia Footbal Academy 39 Saxon Woods Avon, CT 06001	7,000
Museum of Broadcast Communications 400 North State Street, Suite 240 Chicago, IL 60601-4624	55,500
Ocean Futures Society 325 Chapala Street Santa Barbara, CA 93101	73,000
Paw Works 350 West Hillcrest Drive Thousand Oaks, CA 91360	2,500
Puente Learning Center 501 S. Boyle Avenue Los Angeles, CA 90033	5,000
Sherman Oaks Parents Association 14755 Greenleaf Street Sherman Oaks, CA 91403	1,000
Wonderwork 420 Fifth Ave., 27th Floor New York, NY 10018	10,000
Wounded Warrior Project 7020 A.C. Skinner Parkway, Suite 100 Jacksonville, FL 32256	50,000

362,200