Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016, or tax year beginning 01-01-2016 , and ending 12-31-2016

Name of foundation
FRANK AND LYDIA BERGEN FOUNDATION

A Employer identification number
22-6359304

Number and street (or P O box number if mail is not delivered to street address) Room/suite
1525 W WT HARRIS BLVD D1114-044

B Telephone number (see instructions)
(855) 739-2921

City or town, state or province, country, and ZIP or foreign postal code
CHARLOTTE, NC 28262

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)*▶$ 8,902,830

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

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))*

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	129	129		
	4	Dividends and interest from securities	173,041	167,179		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	274,929			
	b	Gross sales price for all assets on line 6a 2,912,089				
	7	Capital gain net income (from Part IV, line 2)		274,929		
	8	Net short-term capital gain			0	
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)	692			
	12	**Total.** Add lines 1 through 11	448,791	442,237		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	94,476	70,857		23,619
	14	Other employee salaries and wages		0	0	0
	15	Pension plans, employee benefits		0	0	
	16a	Legal fees (attach schedule)				0
	b	Accounting fees (attach schedule)	1,000	0	0	1,000
	c	Other professional fees (attach schedule)				0
	17	Interest				0
	18	Taxes (attach schedule) (see instructions)	1,237	1,237		0
	19	Depreciation (attach schedule) and depletion	0	0		
	20	Occupancy				
	21	Travel, conferences, and meetings		0	0	
	22	Printing and publications		0	0	
	23	Other expenses (attach schedule)				
	24	**Total operating and administrative expenses.** Add lines 13 through 23	96,713	72,094	0	24,619
	25	Contributions, gifts, grants paid	400,000			400,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	496,713	72,094	0	424,619
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-47,922			
	b	**Net investment income** (if negative, enter -0-)		370,143		
	c	**Adjusted net income**(if negative, enter -0-)			0	

Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

			Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	411,335	566,150	566,150
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶		0	0
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶ 0			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	5,292,337	4,738,860	5,319,790
	c	Investments—corporate bonds (attach schedule)	2,672,834	3,014,557	3,016,890
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			0
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	8,376,506	8,319,567	8,902,830
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities**(add lines 17 through 22)		0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☑ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	8,376,506	8,319,567	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see instructions)	8,376,506	8,319,567	
	31	**Total liabilities and net assets/fund balances** (see instructions)	8,376,506	8,319,567	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	8,376,506
2	Enter amount from Part I, line 27a	2	-47,922
3	Other increases not included in line 2 (itemize) ▶	3	3,453
4	Add lines 1, 2, and 3	4	8,332,037
5	Decreases not included in line 2 (itemize) ▶	5	12,470
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	8,319,567

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	See Additional Data Table			
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	See Additional Data Table			
b				
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a	See Additional Data Table			
b				
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	274,929
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No

If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	470,684	9,227,366	0 05101
2014	489,170	9,697,446	0 050443
2013	462,676	9,431,284	0 049058
2012	460,540	9,074,417	0 050751
2011	464,610	9,308,960	0 04991

2	**Total** of line 1, column (d)	2	0 251172
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 050234
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	8,748,927
5	Multiply line 4 by line 3	5	439,494
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,701
7	Add lines 5 and 6	7	443,195
8	Enter qualifying distributions from Part XII, line 4	8	424,619

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)**

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ________ **(attach copy of letter if necessary–see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	7,403
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	7,403
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	7,403
6	Credits/Payments				
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	2,192		
b	Exempt foreign organizations—tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c	0		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	2,192
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	0
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	5,211
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	
11	Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 0 **Refunded** ▶			11	0

Part VII-A **Statements Regarding Activities**

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)?	1b		No
	*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*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶NJ			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		No

Part VII-A Statements Regarding Activities (continued)

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶

14 The books are in care of ▶WELLS FARGO BANK NA Telephone no ▶(855) 739-2921

Located at ▶100 N MAIN ST FL 6 D4001-065 WINSTON SALEM NC ZIP+4 ▶271013818

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

			Yes	No
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		No
	See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶			

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. Yes No

1a During the year did the foundation (either directly or indirectly)

(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☑ No

(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. ☐ Yes ☑ No

(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☑ Yes ☐ No

(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☑ Yes ☐ No

(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. ☐ Yes ☑ No

(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☑ No

			Yes	No
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		No
	Organizations relying on a current notice regarding disaster assistance check here. . . ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?.	1c		No

2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))

a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016?. ☐ Yes ☑ No
If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____

			Yes	No
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions) .	2b		No

c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here
▶ 20____ , 20____ , 20____ , 20____

3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. ☐ Yes ☑ No

			Yes	No
b	If "Yes," did it have excess business holdings in 2016 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 2016).*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		No

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

5a	During the year did the foundation pay or incur any amount to		
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ 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**
	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?		**6b** No
	If "Yes" to 6b, file Form 8870		
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☑ No	
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?		**7b**

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

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

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation (**If not paid, enter -0-**)	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
WELLS FARGO BANK NA 1525 WEST WT HARRIS BLVD CHARLOTTE, NC 28288	TRUSTEE 0	94,476		

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

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

Total number of other employees paid over $50,000 ▶ 0

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

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

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

Total number of others receiving over $50,000 for professional services. . . . . ▶ 0

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

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments See instructions 3	
Total. Add lines 1 through 3 . . . . ▶	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	8,576,555
b	Average of monthly cash balances	1b	305,604
c	Fair market value of all other assets (see instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	8,882,159
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	8,882,159
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	133,232
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	8,748,927
6	**Minimum investment return.** Enter 5% of line 5	6	437,446

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	437,446
2a	Tax on investment income for 2016 from Part VI, line 5 — 2a: 7,403		
b	Income tax for 2016 (This does not include the tax from Part VI) — 2b:		
c	Add lines 2a and 2b	2c	7,403
3	Distributable amount before adjustments Subtract line 2c from line 1	3	430,043
4	Recoveries of amounts treated as qualifying distributions	4	0
5	Add lines 3 and 4	5	430,043
6	Deduction from distributable amount (see instructions)	6	0
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1	7	430,043

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	424,619
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	424,619
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	0
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	424,619

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				430,043
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			0	
b Total for prior years 2014 , 20___ , 20___		0		
3 Excess distributions carryover, if any, to 2016				
a From 2011. 0				
b From 2012. 0				
c From 2013. 0				
d From 2014. 0				
e From 2015. 8,378				
f **Total** of lines 3a through e.	8,378			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 424,619				
a Applied to 2015, 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 2016 distributable amount.				424,619
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2016 *(If an amount appears in column (d), the same amount must be shown in column (a))*	5,424			5,424
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	2,954			
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 2015 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				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 2011 not applied on line 5 or line 7 (see instructions)	0			
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	2,954			
10 Analysis of line 9				
a Excess from 2012. . . . 0				
b Excess from 2013. . . . 0				
c Excess from 2014. . . . 0				
d Excess from 2015. . . . 2,954				
e Excess from 2016. . . .				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling. . . . . . . ▶

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

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter **(1)** Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c "Support" alternative test—enter **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

Wells Fargo Philanthropic Services
100 N Main St Floor 6 D4001-065
WinstonSalem, NC 27101
(855) 739-2920
grantadministration@wellsfargo com

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

Online application at www wellsfargo com/privatefoundations/bergen

c Any submission deadlines

April 10 or August 15

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

Preference in helping students obtain a musical education, aid to organizations that present fine music, and arranging for musical entertainment for the educational and instruction of musical arts

Part XV Supplementary Information (continued)

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

Recipient 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 Additional Data Table				
Total . . . . ▶ **3a**				400,000
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments			14	129	
4 Dividends and interest from securities. . . .			14	173,041	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.					
8 Gain or (loss) from sales of assets other than inventory			18	274,929	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a EXCISE TAX REFUND			1	692	
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .				448,791	

13 Total. Add line 12, columns (b), (d), and (e). **13** 448,791

(See worksheet in line 13 instructions to verify calculations)

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

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)

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

		Yes	No
1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501 (c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a Transfers from the reporting foundation to a noncharitable exempt organization of			
(1) Cash.	**1a(1)**		**No**
(2) Other assets.	**1a(2)**		**No**
b Other transactions			
(1) Sales of assets to a noncharitable exempt organization.	**1b(1)**		**No**
(2) Purchases of assets from a noncharitable exempt organization.	**1b(2)**		**No**
(3) Rental of facilities, equipment, or other assets.	**1b(3)**		**No**
(4) Reimbursement arrangements.	**1b(4)**		**No**
(5) Loans or loan guarantees.	**1b(5)**		**No**
(6) Performance of services or membership or fundraising solicitations.	**1b(6)**		**No**
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.	**1c**		**No**

d If the answer to any of the above is "Yes," complete the following schedule Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

(a) Line No	**(b)** Amount involved	**(c)** Name of noncharitable exempt organization	**(d)** Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule

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

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge

******	2017-05-01	******	May the IRS discuss this return with the preparer shown below (see instr)? ☐ Yes ☐ No
Signature of officer or trustee	Date	Title	

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ▶ ☐	PTIN
Firm's name ▶				Firm's EIN ▶
Firm's address ▶				Phone no

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
431 AQR MANAGED FUTURES STR-I #15213		2014-10-24	2016-01-20
7218 AMER CENT SMALL CAP GRWTH INST #336		2015-07-24	2016-05-11
656 739 ARTISAN INTERNATIONAL FD INS #662		2011-08-26	2016-05-11
889 261 ARTISAN INTERNATIONAL FD INS #662		2016-01-22	2016-05-11
4813 ARTISAN INTERNATIONAL FD INS #662		2011-08-26	2016-08-23
1122 ARTISAN MID CAP FUND-INS #1333		2015-01-22	2016-08-23
1334 BLACKROCK GL L/S CREDIT-INS #1833		2015-10-27	2016-10-25
21161 CREDIT SUISSE COMM RET ST-I #2156		2014-01-23	2016-08-23
21 418 DODGE & COX INT'L STOCK FD #1048		2012-05-10	2016-04-20
529 582 DODGE & COX INT'L STOCK FD #1048		2015-11-13	2016-04-20

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
4,638		4,478	160
87,843		108,198	-20,355
18,507		13,533	4,974
25,059		23,752	1,307
137,652		99,175	38,477
49,985		55,214	-5,229
13,420		13,874	-454
105,170		162,528	-57,358
792		658	134
19,579		20,357	-778

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			160
			-20,355
			4,974
			1,307
			38,477
			-5,229
			-454
			-57,358
			134
			-778

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
734 DODGE & COX INT'L STOCK FD #1048		2016-01-22	2016-05-11
4385 DODGE & COX INT'L STOCK FD #1048		2009-03-02	2016-08-23
250 DODGE & COX INT'L STOCK FD #1048		2012-05-10	2016-10-25
3622 66 DODGE & COX INCOME FD COM #147		2015-07-24	2016-01-21
1155 DODGE & COX INCOME FD COM #147		2015-07-24	2016-04-20
15148 DODGE & COX INCOME FD COM #147		2015-08-14	2016-08-23
1268 DODGE & COX INCOME FD COM #147		2006-08-08	2016-10-25
515 EATON VANCE GLOBAL MACRO - I #0088		2015-10-27	2016-01-20
1087 EATON VANCE GLOBAL MACRO - I #0088		2015-10-27	2016-10-25
419 FID ADV EMER MKTS INC- CL I #607		2015-07-24	2016-01-20

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
25,602		24,046	1,556
167,639		93,388	74,251
9,715		7,673	2,042
47,855		49,341	-1,486
15,673		15,731	-58
211,315		206,358	4,957
17,574		15,761	1,813
4,604		4,717	-113
9,924		9,957	-33
5,041		5,464	-423

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			1,556
			74,251
			2,042
			-1,486
			-58
			4,957
			1,813
			-113
			-33
			-423

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1023 FID ADV EMER MKTS INC- CL I #607		2016-08-25	2016-10-25
668 JP MORGAN MID CAP VALUE-I #758		2015-07-24	2016-04-20
1069 JP MORGAN MID CAP VALUE-I #758		2015-07-24	2016-08-23
148 JP MORGAN MID CAP VALUE-I #758		2014-04-24	2016-10-25
1539 HARBOR CAPITAL APRCTION-INST #2012		2015-08-28	2016-04-20
556 HARBOR CAPITAL APRCTION-INST #2012		2015-08-28	2016-10-25
2056 JPMORGAN HIGH YIELD FUND SS #3580		2014-01-23	2016-10-25
2316 6 MFS VALUE FUND-CLASS I #893		2014-06-20	2016-04-20
1518 4 MFS VALUE FUND-CLASS I #893		2015-07-24	2016-04-20
366 MERGER FUND-INST #301		2011-10-20	2016-10-25

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
14,445		14,312	133
23,874		25,117	-1,243
40,023		40,145	-122
5,415		5,341	74
89,908		96,234	-6,326
34,022		34,450	-428
15,276		16,592	-1,316
80,247		81,081	-834
52,597		53,767	-1,170
5,673		5,787	-114

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			133
			-1,243
			-122
			74
			-6,326
			-428
			-1,316
			-834
			-1,170
			-114

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
5258 MET WEST TOTAL RETURN BOND CL I #512		2015-01-22	2016-01-20
10997 MET WEST TOTAL RETURN BOND CL I #512		2015-01-22	2016-08-23
2211 MET WEST TOTAL RETURN BOND CL I #512		2015-01-22	2016-10-25
620 ASG GLOBAL ALTERNATIVES-Y #1993		2013-07-12	2016-10-25
6408 NEUBERGER BERMAN LONG SH-INS #1830		2014-06-20	2016-08-23
487 NEUBERGER BERMAN LONG SH-INS #1830		2014-06-20	2016-10-25
1077 OPPENHEIMER DEVELOPING MKT-I #799		2015-07-24	2016-04-20
5022 OPPENHEIMER DEVELOPING MKT-I #799		2014-01-23	2016-08-23
471 OPPENHEIMER DEVELOPING MKT-I #799		2011-05-25	2016-10-25
3961 T ROWE PRICE SHORT TERM BD FD #55		2013-07-12	2016-01-20

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
56,261		57,838	-1,577
121,297		120,967	330
24,255		24,321	-66
6,126		7,130	-1,004
82,022		82,855	-833
6,195		6,297	-102
33,926		36,435	-2,509
166,580		177,982	-11,402
16,193		16,473	-280
18,656		18,973	-317

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-1,577
			330
			-66
			-1,004
			-833
			-102
			-2,509
			-11,402
			-280
			-317

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
2351 T ROWE PRICE SHORT TERM BD FD #55		2015-11-13	2016-04-20
47441 919 T ROWE PRICE SHORT TERM BD FD #55		2014-09-09	2016-04-20
561 T ROWE PRICE INST FLOAT RATE #170		2014-01-23	2016-10-25
417 T ROWE PRICE REAL ESTATE FD #122		2015-12-24	2016-08-23
1131 SPDR DJ WILSHIRE INTERNATIONAL REAL		2015-07-22	2016-01-20
864 SPDR DJ WILSHIRE INTERNATIONAL REAL		2014-01-21	2016-01-20
540 SPDR DJ WILSHIRE INTERNATIONAL REAL		2011-05-23	2016-04-20
1908 SPDR DJ WILSHIRE INTERNATIONAL REAL		2011-05-23	2016-08-23
1189 SPDR DJ WILSHIRE INTERNATIONAL REAL		2011-08-24	2016-10-03
133 STERLING CAPITAL STRATTON SMALL CAP		2014-06-20	2016-04-20

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
11,120		11,120	
224,400		226,827	-2,427
5,638		5,790	-152
12,472		11,430	1,042
39,806		48,108	-8,302
30,409		34,639	-4,230
22,898		21,408	1,490
81,972		75,642	6,330
49,266		44,442	4,824
9,529		10,395	-866

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-2,427
			-152
			1,042
			-8,302
			-4,230
			1,490
			6,330
			4,824
			-866

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1278 STERLING CAPITAL STRATTON SMALL CAP		2014-06-20	2016-05-11
247 VANGUARD REIT VIPER		2015-07-22	2016-01-20
135 VANGUARD REIT VIPER		2015-07-22	2016-04-20
2333 VANGUARD REIT VIPER		2015-07-22	2016-08-23
1443 VANGUARD REIT VIPER		2010-12-28	2016-10-03
CAPITAL GAIN DIVIDENDS	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
91,530		99,888	-8,358
18,108		19,322	-1,214
11,230		8,346	2,884
208,069		130,527	77,542
123,347		73,028	50,319
			141,645

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-8,358
			-1,214
			2,884
			77,542
			50,319

Form 990PF Part XV Line 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*				
BROOKLYN YOUTH CHORUS ACADEMY 179 PACIFIC STREET BROOKLYN, NY 11201	NONE	PC	CHORAL MUSIC EDUCATION &	10,000
PHILHARMONIC-SYMPHONY SOCIETY OF NEW YORK 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	NONE	PC	YOUNG PEOPLE'S CONCERTS FOR	10,000
AMERICAN SYMPHONY ORCHESTRA 333 WEST 39TH ST 1101 NEW YORK, NY 10018	NONE	PC	VANGUARD SERIES AT CARNEGIE	20,000
NEW YORK CITY BALLET INC 20 LINCOLN CENTER PLAZA NEW YORK, NY 10023	NONE	PC	ORCHESTRA AND MUSIC	70,000
MARQUIS STUDIOS LTD 45 MAIN STREET STE 616 BROOKLYN, NY 11201	NONE	PC	PARTNERSHIP PROGRAM	10,000
THE COLLEGE OF STATEN ISLAND FDN 2800 VICTORY BLVD STATEN ISLAND, NY 10314	NONE	PC	ORCHESTRA HOLIDAY	5,250
STATE THEATRE REGIONAL ARTS 11 LIVINGSTON AVENUE NEW BRUNSWICK, NJ 08901	NONE	PC	CLASSICAL EDUCATION &	10,000
NEIGHBORHOOD CENTER INC 278 KNIGHT AVE CAMDEN, NJ 08103	NONE	PC	CLASSICS IN CAMDEN	6,000
DREW UNIVERSITY 36 MADISON AVENUE MADISON, NJ 07940	NONE	PC	CHAMBER MUSIC SOCIETY OF	15,000
JEWISH COMMUNITY CENTER ON THE PALISADES 411 EAST CLINTON AVE TENAFLY, NJ 07670	NONE	PC	THURMAUER SCHOOL OF	10,000
SETON HALL UNIVERSITY 457 CENTRE STREET SOUTH ORANGE, NJ 07079	NONE	PC	A NIGHT AT THE OPERA/A	5,000
NEW JERSEY SYMPHONY ORCHESTRA 60 PARK PLACE 9TH FLOOR NEWARK, NJ 07102	NONE	PC	TCHAIKOVSKY'S THE	10,000
NEWARK SCHOOL OF THE ARTS 89 LINCOLN PARK NEWARK, NJ 07102	NONE	PC	SCHOLARSHIPS AND CHAMBER	30,000
NEWARK BOYS CHORUS SCHOOL 1016 BROAD STREET NEWARK, NJ 07102	NONE	PC	MUSIC AMBASSADORS PRACTICE	25,000
ARTS COUNCIL OF THE MORRIS AREA 14 MAPLE AVENUE SUITE 30 MORRISTOWN, NJ 07960	NONE	PC	THE GIRALDA MUSIC AND ARTS	5,000
Total . . . . ▶ **3a**				400,000

Form 990PF Part XV Line 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*				
PERKINS CENTER FOR THE ARTS 395 KINGS HIGHWAY MOORESTOWN, NJ 08057	NONE	PC	MUSICAL EDUCATION AND	15,000
GARDEN STATE CONCERT BAND 15 BELLEVUE TERRACE BLOOMFIELD, NJ 07003	NONE	PC	LEAVING A LEGACY	5,000
NEW JERSEY FESTIVAL ORCHESTRA 224 E BROAD ST SUITE 6 WESTFIELD, NJ 07090	NONE	PC	MUSIC EDUCATION FOR	6,000
WHARTON INSTITUTE OF THE PERFORMING ARTS 60 LOCUST AVENUE BERKELEY, NJ 07922	NONE	PC	SCHOLARSHIPS	10,000
BAY-ATLANTIC SYMPHONY 59 E COMMERCE STREET BRIDGETON, NJ 08302	NONE	PC	MUSIC/MENTORSHIP PROGRAM	9,000
DISCOVERY ORCHESTRA INC 50 MT BETHEL ROAD PO BOX 4064 WARREN, NJ 070590064	NONE	PC	EDUCATIONAL DISCOVERY	25,000
NEW JERSEY PERFORMING ARTS CENTER ONE CENTER STREET NEWARK, NJ 07305	NONE	PC	MUSIC ADVANCEMENT	5,000
PHILIPS EDUCATION PARTNERS 342 CENTRAL AVENUE NEWARK, NJ 07102	NONE	PC	EL SISTEMA INSPIRED STRINGS	10,000
ST PAULS COMMUNITY DEVELOPMENT CORPORATION 456 VAN HOUTEN STREET PATERSON, NJ 07501	NONE	PC	EL SISTEMA-INSPIRED STRINGS	10,000
NJ INTERGENERATIONAL ORCHESTRA 60 LOCUST AVENUE BERKELY HEIGHTS, NJ 07922	NONE	PC	FREE COMMUNITY CONCERT	10,000
PLAINFIELD SYMPHONY PO BOX 5093 PLAINFIELD, NJ 07061	NONE	PC	GUEST CONDUCTOR	1,750
LEONIA CHAMBER MUSICIANS SOCIETY PO BOX 473 LEONIA, NJ 07605	NONE	PC	LEONIA CHAMBER MUSICIANS	4,000
BERGEN PERFORMING ARTS CENTER 30 NORTH VAN BRUNT ST ENGLEWOOD, NJ 07631	NONE	PC	CLASSICAL MUSIC	10,000
SOUTH ORANGE PERFORMING ARTS CENTER INC 1 SOPAC WAY SOUTH ORANGE, NJ 07079	NONE	PC	PROMOTING CAREERS IN	10,000
SPHINX ORGANIZATION INC 400 RENAISSANCE CENTER STE 2550 DETROIT, MI 48243	NONE	PC	SPHINX VIRTUOSI/CARNEGIE	5,000
Total . . . . ▶ **3a**				400,000

Form 990PF Part XV Line 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*				
ST BENEDICT'S PREPARATORY SCHOOL 520 DR MARTIN LUTHER KING JR BLVD NEWARK, NJ 07102	NONE	PC	ACOUSTIC TREATMENT OF BAND	8,000
ATLANTIC COAST OPERA FESTIVAL 2028 SOUTH 17TH ST 11 PHILADELPHIA, PA 191452902	NONE	PC	VERDI'S LAST AND BEST OPERA	15,000
Total . . . . ▶ **3a**				400,000

TY 2016 Accounting Fees Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION FEE (NON-ALLOC	1,000			1,000

TY 2016 Compensation Explanation

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Person Name	Explanation
WELLS FARGO BANK NA	Trust Admin Fees See Footnote Attached

TY 2016 Investments Corporate Bonds Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Name of Bond	End of Year Book Value	End of Year Fair Market Value
256210105 DODGE & COX INCOME F	587,485	624,112
77957P105 T ROWE PRICE SHORT T		
315920702 FID ADV EMER MKTS IN	414,910	425,303
4812C0803 JPMORGAN HIGH YIELD	375,034	372,974
77958B402 T ROWE PRICE INST FL	155,955	155,866
091936732 BLACKROCK GL L/S CRE	316,078	312,353
592905509 MET WEST TOTAL RETUR	1,082,295	1,046,466
922031737 VANGUARD INFLAT-PROT	82,800	79,816

TY 2016 Investments Corporate Stock Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Name of Stock	End of Year Book Value	End of Year Fair Market Value
339128100 JP MORGAN MID CAP VA	252,544	351,657
256206103 DODGE & COX INT'L ST	151,501	219,031
922908553 VANGUARD REIT VIPER	26,418	43,081
22544R305 CREDIT SUISSE COMM R	107,133	93,218
411511504 HARBOR CAPITAL APRCT	731,902	904,497
552983694 MFS VALUE FUND-CLASS	793,370	1,009,561
78463X863 SPDR DJ WILSHIRE INT	113,495	119,569
04314H600 ARTISAN MID CAP FUND	328,158	323,395
277923728 EATON VANCE GLOBAL M	265,764	263,519
63872T885 ASG GLOBAL ALTERNATI	176,851	160,450
00203H859 AQR MANAGED FUTURES	275,537	250,340
589509207 MERGER FUND-INST #30	155,846	155,646
64128R608 NEUBERGER BERMAN LON	224,391	224,217
683974604 OPPENHEIMER DEVELOPI	251,839	248,410
025083320 AMER CENT SMALL CAP	188,853	191,699
04314H402 ARTISAN INTERNATIONA	165,784	207,173
779919109 T ROWE PRICE REAL ES	259,421	269,562
85917K546 STERLING CAPITAL STR	178,491	194,665
00888Y508 INV BALANCE RISK COM	91,562	90,100

TY 2016 Other Decreases Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Description	Amount
MUTUAL FUND POSTING DATE AFTER TYE	5,714
ROC BASIS ADJUSTMENT	6,756

TY 2016 Other Income Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
FEDERAL EXCISE REFUND	692	0	

TY 2016 Other Increases Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Description	Amount
MUTUAL FUND TAX EFFECTIVE DATE BEFORE TYE	3,449
ROUNDING	4

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TY 2016 Taxes Schedule

Name: FRANK AND LYDIA BERGEN FOUNDATION

EIN: 22-6359304

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES ON QUALIFIED FOR	765	765		0
FOREIGN TAXES ON NONQUALIFIED	472	472		0