

Form **990-PF**

Return of Private Foundation

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

OMB No 1545-0052

2017

Department of the Treasury
Internal Revenue Service

▶ Do not enter social security numbers on this form as it may be made public.
▶ Go to www.irs.gov/Form990PF for instructions and the latest information.

Open to Public Inspection

For calendar year 2017 or tax year beginning 12/01, 2017, and ending 11/30, 2018

Name of foundation
THE NEUBERGER BERMAN FOUNDATION

Number and street (or P O box number if mail is not delivered to street address) Room/suite
1290 AVENUE OF THE AMERICAS 27TH FL

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

A Employer identification number
31-1736689

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

C If exemption application is pending, check here. **0**

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 **04**
 Section 4947(a)(1) nonexempt charitable trust Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ **8,810,678**

J Accounting method: Cash Accrual
 Other (specify) _____
(Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	456,093.			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B.				
	3 Interest on savings and temporary cash investments.				
	4 Dividends and interest from securities	184,707.	184,707.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	377,853.			
	b Gross sales price for all assets on line 6a	3,332,749.			
	7 Capital gain net income (from Part IV, line 2)		377,853.		
	8 Net short-term capital gain.				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	1,018,653.	562,560.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	0.			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) ATCH 2	115,617.	57,809.		53,184.
	c Other professional fees (attach schedule) [3]	5,749.	5,749.		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) [4]	11,120.	34.		
	19 Depreciation (attach schedule) and depletion.				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule) ATCH 5	655.	58.		597.
	24 Total operating and administrative expenses. Add lines 13 through 23.	133,141.	63,650.		53,781.
	25 Contributions, gifts, grants paid	1,295,000.			1,295,000.
26 Total expenses and disbursements. Add lines 24 and 25	1,428,141.	63,650.	0.	1,348,781.	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	-409,488.				
b Net investment income (if negative, enter -0-)		498,910.			
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	49,899.	49,846.	49,846.
	2	Savings and temporary cash investments	325,232.	331,835.	331,835.
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶	1,000.		
	5	Grants receivable.			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use.			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U S and state government obligations (attach schedule) [6]	770,341.	626,285.	626,285.
	b	Investments - corporate stock (attach schedule) ATCH 7	934,211.	485,619.	485,619.
	c	Investments - corporate bonds (attach schedule) ATCH 8	2,494,134.	2,569,599.	2,569,599.
	11	Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶ (attach schedule)				
12	Investments - mortgage loans.				
13	Investments - other (attach schedule) ATCH 9	5,318,481.	4,712,075.	4,712,075.	
14	Land, buildings, and equipment basis ▶				
	Less accumulated depreciation ▶ (attach schedule)				
15	Other assets (describe ▶ ATCH 10)	4,550.	35,419.	35,419.	
16	Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	9,897,848.	8,810,678.	8,810,678.	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue.			
	20	Loans from officers, directors, trustees, and other disqualified persons.			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ ATCH 11)	71,227.	18,074.	
23	Total liabilities (add lines 17 through 22)	71,227.	18,074.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26, and lines 30 and 31.				
	24	Unrestricted	9,826,621.	8,792,604.	
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg, and equipment fund.			
29	Retained earnings, accumulated income, endowment, or other funds				
30	Total net assets or fund balances (see instructions).	9,826,621.	8,792,604.		
31	Total liabilities and net assets/fund balances (see instructions)	9,897,848.	8,810,678.		

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return).	1	9,826,621.
2	Enter amount from Part I, line 27a.	2	-409,488.
3	Other increases not included in line 2 (itemize) ▶ ATCH 12	3	11,338.
4	Add lines 1, 2, and 3	4	9,428,471.
5	Decreases not included in line 2 (itemize) ▶ ATCH 13	5	635,867.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	8,792,604.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (for example, 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)
1 a SEE PART IV SCHEDULE				
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				
b				
c				
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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any		
a				
b				
c				
d				
e				
2 Capital gain net income or (net capital loss)		{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	377,853.
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	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 doesn't qualify under section 4940(e) Do not complete this part

(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))
2016	1,134,755.	9,506,221.	0.119370
2015	1,068,748.	9,384,631.	0.113883
2014	1,131,909.	10,220,400.	0.110750
2013	1,076,540.	10,683,734.	0.100764
2012	1,386,551.	10,542,590.	0.131519
2 Total of line 1, column (d)			2 0.576286
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5 0, or by the number of years the foundation has been in existence if less than 5 years			3 0.115257
4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5			4 9,458,436.
5 Multiply line 4 by line 3.			5 1,090,151.
6 Enter 1% of net investment income (1% of Part I, line 27b).			6 4,989.
7 Add lines 5 and 6.			7 1,095,140.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions			8 1,348,781.

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

Table with 11 rows for excise tax calculation. Includes fields for exempt foundations, tax under section 511, credits/payments, and total tax due. Total tax due is 5,011.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, expenditures, and reporting. Includes handwritten '2' in the right margin.

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 N/A 13 X
14 The books are in care of ELIZABETH CRIBBS, PRESIDENT Telephone no 212-476-5779 Located at 1290 AVENUE OF THE AMERICAS, 27TH FL NEW YORK, NY ZIP+4 10104
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here 15
16 At any time during calendar year 2017, 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 X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.
1a During the year, did the foundation (either directly or indirectly)
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? Yes No X
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? Yes No X
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? X Yes No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? Yes No X
(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 X
(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 X
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 X
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 2017? 1c 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 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017? Yes No X
If "Yes," list the years
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 X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? Yes No X
b If "Yes," did it have excess business holdings in 2017 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 2017) 3b N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? 4a 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 2017? 4b X

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

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

1 List all officers, directors, trustees, foundation managers and their compensation. See instructions.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 14		0.	0.	0.

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

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

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

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
ATCH 15		81,617.
Total number of others receiving over \$50,000 for professional services		▶

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

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

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

	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	9,252,849.
b	Average of monthly cash balances	1b	346,473.
c	Fair market value of all other assets (see instructions).	1c	3,151.
d	Total (add lines 1a, b, and c)	1d	9,602,473.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	9,602,473.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	144,037.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	9,458,436.
6	Minimum investment return. Enter 5% of line 5	6	472,922.

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	472,922.
2a	Tax on investment income for 2017 from Part VI, line 5	2a	4,989.
b	Income tax for 2017 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b	2c	4,989.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	467,933.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4.	5	467,933.
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	467,933.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	1,348,781.
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	1,348,781.
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	4,989.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,343,792.

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 2016	(c) 2016	(d) 2017
1 Distributable amount for 2017 from Part XI, line 7				467,933.
2 Undistributed income, if any, as of the end of 2017				
a Enter amount for 2016 only.				
b Total for prior years 20 15, 20 14, 20 13				
3 Excess distributions carryover, if any, to 2017				
a From 2012	867,262.			
b From 2013	552,818.			
c From 2014	629,092.			
d From 2015	607,214.			
e From 2016	668,956.			
f Total of lines 3a through e	3,325,342.			
4 Qualifying distributions for 2017 from Part XII, line 4 ▶ \$ 1,348,781.				
a Applied to 2016, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions).				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2017 distributable amount.				467,933.
e Remaining amount distributed out of corpus.	880,848.			
5 Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	4,206,190.			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount - see instructions.				
e Undistributed income for 2016 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2017 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2018.				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2012 not applied on line 5 or line 7 (see instructions)	867,262.			
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a	3,338,928.			
10 Analysis of line 9				
a Excess from 2013	552,818.			
b Excess from 2014	629,092.			
c Excess from 2015	607,214.			
d Excess from 2016	668,956.			
e Excess from 2017	900,040.			

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

NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2017, enter the date of the ruling

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

Table with 5 columns: (a) 2017, (b) 2016, (c) 2015, (d) 2014, (e) Total. Rows include 2a (Adjusted net income), 2b (85% of line 2a), 2c (Qualifying distributions from Part XII, line 4), 2d (Amounts included in line 2c not used directly for active conduct of exempt activities), 2e (Qualifying distributions made directly for active conduct of exempt activities), 3 (Alternative tests: Assets, Endowment, Support).

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

1 Information Regarding Foundation Managers:

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

N/A

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

N/A

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information *(continued)*

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> SEE ATTACHMENT B	NONE		SEE ATTACHED	1,295,000.
Total ▶ 3a				1,295,000.
b <i>Approved for future payment</i>				
Total ▶ 3b				

Schedule of Contributors

2017

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

Name of the organization THE NEUBERGER BERMAN FOUNDATION	Employer identification number 31-1736689
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Organization type (check one)

Filers of:

Section:

- Form 990 or 990-EZ 501(c)() (enter number) organization
- 4947(a)(1) nonexempt charitable trust not treated as a private foundation
- 527 political organization
- Form 990-PF 501(c)(3) exempt private foundation
- 4947(a)(1) nonexempt charitable trust treated as a private foundation
- 501(c)(3) taxable private foundation

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

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

General Rule

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

Special Rules

- For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000, or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ▶ \$ _____

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

Name of organization THE NEUBERGER BERMAN FOUNDATION	Employer identification number 31-1736689
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Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	NEUBERGER BERMAN GROUP 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	\$ 377,726.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
2	JUDITH M. VALE 1290 AVENUES OF THE AMERICAS NEW YORK, NY 10104	\$ 25,973.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
3	ROBERT D'ALELIO 1290 AVENUES OF THE AMERICAS NEW YORK, NY 10104	\$ 24,249.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
4	SANDY POMEROY 1290 AVENUE OF THE AMERICAS, 39TH FLR. NEW YORK, NY 10104	\$ 25,586.	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
2	135 SHARES OF IDEXX LABS CORP _____ _____ _____	\$ 25,973.	04/11/2018
3	125 SHARES OF IDEXX LABS CORP _____ _____ _____	\$ 24,249.	11/23/2018
4	320 SHARES OF ARCH COAL INC _____ _____ _____	\$ 25,586.	05/16/2018
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____

Name of organization THE NEUBERGER BERMAN FOUNDATION

Employer identification number

31-1736689

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

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

THE NEUBERGER BERMAN FOUNDATION
 EIN 31-1736689
 FOR THE YEAR ENDED NOVEMBER 30, 2018

Recipient's Name	Street	City	State	ZIP Code	Foundation Status of Recipient	Purpose of Grant or Contribution	Amount
A Broader Way	420 Lexington Avenue, Suite 2520	New York	NY	10170	PC	general operating support	\$ 15,000.00
Advocates for Children	151 W 30th St, 5th Flr	New York	NY	10001	PC	general operating support	\$ 15,000.00
Alii Family Center	224 W 35th St, 1500	New York	NY	10001	PC	general operating support	\$ 15,000.00
American Corporate Partners	140 E 45th St, Suite 19A	New York	NY	10017	PC	general operating support	\$ 5,000.00
Austere Center	6610 N Clark Street	Chicago	IL	60626	PC	National Leukemia Center	\$ 15,000.00
Ayex for Youth	2 Renner St, Ste 1312	New York	NY	10006	PC	general operating support	\$ 15,000.00
Association to Benefit Children	2 Renner St, Ste 1312	New York	NY	10006	PC	general operating support	\$ 5,000.00
Blytheville Children's Hospital	419 East 86th Street	New York	NY	10028	PC	general operating support	\$ 200,000.00
Boys and Girls Clubs of Chicago	95 Broadhurst Ave	Valhalla	NY	10595	PC	general operating support	\$ 15,000.00
Boys and Girls Clubs of Chicago	350 W Van Buren, Ste 350	Chicago	IL	60607	PC	general operating support	\$ 15,000.00
Boys and Girls Clubs of Dorchester	1135 Dorchester Avenue	Boston	MA	02125	PC	general operating support	\$ 15,000.00
Boys and Girls Club of Northern Westchester	351 Main St	Mount Kisco	NY	10549	PC	general operating support	\$ 15,000.00
Brealthrough New York	123 William St, 4th Flr	New York	NY	10038	PC	general operating support	\$ 15,000.00
BRUCK	59 Lincoln Park, Garden Suite 50	New York	NY	10017	PC	general operating support	\$ 15,000.00
Brooklyn Kindergarten Society	57 Wiloughby St, 4th Flr	Brooklyn	NY	11201	PC	general operating support	\$ 15,000.00
CAMBA	1720 Church Ave, 2nd Flr	Brooklyn	NY	11226	PC	general operating support	\$ 15,000.00
Care for AIDS	977 Grant Street Pl	Atlanta	GA	30315	PC	general operating support	\$ 5,000.00
Chicago Lights	176 E Chestnut St	Chicago	IL	60611	PC	general operating support	\$ 5,000.00
Chicago Pediatric Cancer Research (P/C - PDN of Donor advised Funds)	520 Eighth Ave 20th Flr	New York	NY	10018	PC	general operating support	\$ 5,000.00
Citizens Committee for Children of New York	14 Wall St, Ste 4E	New York	NY	10005	PC	general operating support	\$ 15,000.00
Citizens Committee for New York City	77 Water St, Ste 202	New York	NY	10005	PC	general operating support	\$ 15,000.00
City Harvest	575 Fighth Avenue, 4th Floor	New York	NY	10018	PC	general operating support	\$ 20,000.00
City Year	36 South Wabash Avenue, Suite 1300	Chicago	IL	60603	PC	general operating support	\$ 15,000.00
Community Ward Project	11 Broadway, Ste 508	New York	NY	10004	PC	general operating support	\$ 15,000.00
Dallas Children's Advocacy Center	5341 Samuell Blvd	Dallas	TX	75228	PC	general operating support	\$ 15,000.00
Digital Caren Fund	143 W 27th Street, Suite 4E	New York	NY	10001	PC	implementation of a financial literacy curriculum	\$ 15,000.00
Drew University	36 Madison Ave	Madison	NJ	07940	PC	AdvantageArts@Drew program	\$ 15,000.00
East Side House	337 Alexander Ave	Bronx	NY	10454	PC	general operating support	\$ 15,000.00
EDPC Long Island	1500 Hempstead Turnpike	East Meadow	NY	11554	PC	general operating support	\$ 5,000.00
Expanded Schools	11 W 42nd St, 2nd Flr	New York	NY	10036	PC	general operating support	\$ 15,000.00
Expanded Schools	11 W 42nd St, 2nd Flr	New York	NY	10036	PC	Optima Program, Frederick Douglass Academy II	\$ 10,000.00
Fiver Children's Foundation	519 8th Avenue	New York	NY	10018	PC	Int-stem Camp for Fiver students	\$ 25,000.00
Friends of Neuberger Museum	735 Anderson Hill Road	Purchase	NY	10577	PC	general operating support	\$ 20,000.00
Friends of the Children New York	218 West 113th Street	New York	NY	10026	PC	general operating support	\$ 15,000.00
Good Shepherd Services	305 Seneca Ave, 9th Flr	New York	NY	10001	PC	general operating support	\$ 15,000.00
Greater Chicago Food Depository	4100 W. Ann 1 unit Pl	Chicago	IL	60632	PC	general operating support	\$ 5,000.00
HandsOn Hong Kong	Unit A, 9th Flr, Easy Tower	China	Hong Kong		Expenditure Responsibility	general operating support	\$ 15,000.00
Harlem School of the Arts	606-611 Ta Nuan West St	Kew-Forest	NY	11430	PC	general operating support	\$ 15,000.00
Henry Street Settlement	645 St Nicholas Ave	New York	NY	10002	PC	general operating support	\$ 15,000.00
Hermons at Saint David's	265 Henry St	New York	NY	10002	PC	general operating support	\$ 15,000.00
Hermons at Saint David's	12 E 89th St	New York	NY	10128	PC	general operating support	\$ 15,000.00

THE NEUBERGER BERMAN FOUNDATION
 EIN 31-1736689
 FOR THE YEAR ENDED NOVEMBER 30, 2018

Grants and Contributions Paid	Recipient's Address				Recipient's State	Recipient's ZIP Code	Recipient's Status of Recipient	Purpose of Grant or Contribution	Amount
Recipient's Name	Street	City	State	ZIP Code					
A Broader Way	420 Lexington Avenue, Suite 2330	New York	NY	10170	PC	general operating support	\$	15,000.00	
Advocate for Children	151 W 30th St, 5th Flr	New York	NY	10001	PC	general operating support	\$	15,000.00	
All Family Center	224 W 35th St, 1500	New York	NY	10001	PC	general operating support	\$	15,000.00	
American Corporate Partners	140 E 45th St, Suite 19A	New York	NY	10017	PC	general operating support	\$	5,000.00	
Hudson River Community Shaling	PO Box 20677	New York	NY	10011	PC	general operating support	\$	15,000.00	
mMentor	30 Broad Street 9th Floor	New York	NY	10004	PC	General operating support for New York programs	\$	15,000.00	
mMentor	30 Broad Street, 9th Floor	New York	NY	10004	PC	general operating support for Chicago programs	\$	5,000.00	
Mitoyo Cultural Arts Academy	495 Habush Ave 2nd Flr	Brooklyn	NY	11215	PC	general operating support	\$	15,000.00	
ImajUniversity	95 Sinder Road	London	UK		Expenditure	General operating support for learning center in Lambeth	\$	22,500.00	
KIPP New Jersey	60 Park Pl, Ste 402	Newark	NJ	07102	PC	general operating support	\$	15,000.00	
Let's Get Ready	50 Broadway, 25th Flr	New York	NY	10004	PC	general operating support	\$	15,000.00	
LIFT	349 E 149th St	Bronx	NY	10451	PC	general operating support	\$	15,000.00	
Lambeth Center	70 Lincolnton Center Plaza	New York	NY	10023	PC	Lincoln Center Education	\$	15,000.00	
MADE Transnational Services	24 West St	Spring Valley	NY	10977	PC	general operating support	\$	5,000.00	
Magic Box Productions	274 Bedford Rd	Pleasantville	NY	10570	PC	general operating support	\$	15,000.00	
Mayor's Fund to Advance New York City	253 Broadway, 8th Floor	New York	NY	10007	PC	Summer of Service program	\$	40,000.00	
Memorial Sloan Kettering Cancer Center	PO Box 27186 Grl - Admn & Donor	New York	NY	10087	PC	general operating support	\$	5,000.00	
Mt. Sinai Adolescent Center	One Gustave L. Levy Pl, Box 1049	New York	NY	10029	PC	general operating support	\$	5,000.00	
National Dance Institute	217 W 147th St	New York	NY	10039	PC	general operating support	\$	15,000.00	
Navy SEAL Foundation	1619 D Street	Beach	VA	23459	PC	general operating support	\$	5,000.00	
New Beginnings Animal Rescue	2515 Newbold Ave	Bronx	NY	10462	PC	general operating support	\$	5,000.00	
Nontraditional Employment for Women	243 W 20th St	New York	NY	10011	PC	general operating support	\$	5,000.00	
Northeast Center for Child Development	1301 Fifth Ave	New York	NY	10029	PC	general operating support	\$	5,000.00	
OHIEL Children's Home & Family Services	156 Beach 9th St, 2nd Flr	Kew-Forest	NY	11461	PC	general operating support	\$	5,000.00	
OneGoal	1175 Peachtree St, NE, 10th Flr	Atlanta	GA	30361	PC	general operating support for Atlanta programs	\$	15,000.00	
Psyama Program	114 E 39th St, Ground Floor	New York	NY	10016	PC	general operating support	\$	15,000.00	
PENCIL	30 West 26th Street, 2nd Floor	New York	NY	10010	PC	School Partnership with Fredrick Douglass Academy II	\$	20,000.00	
PennFAC	50 Riverside Dr, Apt. 14F	New York	NY	10024	PC	general operating support	\$	5,000.00	
Per Scholars	804 E 138th St, #2	Bronx	NY	10454	PC	general operating support	\$	15,000.00	
Pendance Youth Ensemble	126 E 13th St	New York	NY	10003	PC	general operating support	\$	5,000.00	
Promus Project	635 W 165th St	New York	NY	10032	PC	general operating support	\$	15,000.00	
ProVetus	741 Hyslop Ave	Westfield	NJ	07090	PC	general operating support	\$	5,000.00	
REACH Institute	324 W 15th St, Ste. 13904B	New York	NY	10001	PC	general operating support	\$	15,000.00	
REACH Institute	324 W 15th St, Ste. 13904B	New York	NY	10001	PC	general operating support	\$	5,000.00	
Renaissance Youth Center	3463 Third Ave	Bronx	NY	10436	PC	general operating support	\$	15,000.00	
Resurgo	St. Paul's Place, Mabeth Street	London	UK		Expenditure	Spain program	\$	22,500.00	
Reem to Grow	7 West 30th St, Flr J	New York	NY	10001	PC	general operating support	\$	15,000.00	
San Francisco CASA	2533 Mission St	San Francisco	CA	94110	PC	general operating support	\$	15,000.00	
Start Small Think Big	1231 Lafayette Ave, 2nd Flr	Bronx	NY	10474	PC	general operating support	\$	5,000.00	
StreetSquash	40 W 116th St	New York	NY	10026	PC	general operating support	\$	15,000.00	
Teach for America	1918 Avenue, 15th Floor	New York	NY	10018	PC	general operating support for Teach for America-New York	\$	15,000.00	
Teen Living Programs	162 W Hubbard St, Ste 400	Chicago	IL	60654	PC	general operating support	\$	15,000.00	
Union Settlement	2372 E 104th St	New York	NY	10029	PC	general operating support	\$	15,000.00	
Vanesly Child Learning Center	47 Humphrey Dr	Sucess	NY	11791	PC	general operating support	\$	5,000.00	
VOCEI	5317 W Chicago Ave	Chicago	IL	60651	PC	general operating support	\$	5,000.00	
Magic Alive	1738 Gano Street	Dallas	TX	75215	PC	general operating support	\$	15,000.00	
Wildlife Conservation Society	2100 Southern Blvd	Bronx	NY	10460	PC	WCS U Young Adult Initiative	\$	15,000.00	
Year Up	85 Broad St	New York	NY	10004	PC	general operating support	\$	15,000.00	
YEYS	Gallegade 3, 3133 KN Vhardagen	Netherla	nds		Expenditure	Responsibility	\$	15,000.00	
Youth INC	535 8th Ave, 14th Flr	New York	NY	10018	PC	general operating support	\$	5,000.00	
Youth Service International	5815 N Cicero Ave	Chicago	IL	60646	PC	general operating support	\$	5,000.00	

THE NEUBERGER BERMAN FOUNDATION
 EIN 31-1736689
 FOR THE YEAR ENDED NOVEMBER 30, 2018

Grants and Contributions Paid		Recipient's Address				Foundation State of Recipient	Purpose of Grant or Contribution	Amount
Recipient's Name	Street	City	State	ZIP Code				
A Breader Way Advocates for Children	420 Leungton Avenue, Suite 2520	New York	NY	10170	PC	general operating support	\$ 15,000.00	
All Family Center	151 W 30th St, 5th Flr	New York	NY	10001	PC	general operating support	\$ 15,000.00	
American Corporate Partners	224 W 35th St, 1500	New York	NY	10001	PC	general operating support	\$ 5,000.00	
Zakat Foundation	140 E 45th St, Suite 19A PO Box 639	New York Worth	NY IL	10017 60482	PC	general operating support	\$ 5,000.00	
TOTAL CHARITABLE CONTRIBUTIONS							\$ 1,295,000.00	

STATEMENT C-1. EXPENDITURE RESPONSIBILITY

THE NEUBERGER BERMAN FOUNDATION
EIN: 31-1736689
FOR THE YEAR ENDED NOVEMBER 30, 2018

FORM 990-PF, PART XV, LINE 3a

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

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

AMOUNT OF GRANT: \$22,500 00

DATE OF GRANT: November 18, 2018

PURPOSE OF GRANT: Spear Program at the Hammersmith Centre

DIVERTED A PORTION OF FUNDS FROM THE PURPOSE OF THE GRANT: (YES, NO) No, to the knowledge of the Neuberger Berman Foundation no funds have been diverted to any other activity

DATES OF REPORTS RECEIVED FROM GRANTEE: January 22, 2019

DATES AND RESULTS OF ANY VERIFICATION OF THE GRANTEE'S REPORTS: No further independent verification is necessary at this time.

STATEMENT C-2: EXPENDITURE RESPONSIBILITY

THE NEUBERGER BERMAN FOUNDATION
EIN: 31-1736689
FOR THE YEAR ENDED NOVEMBER 30, 2018

FORM 990-PF, PART XV, LINE 3a

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

NAME AND ADDRESS OF GRANTEE:

YETS
GALGKADE 3,
VLAARDINGEN
NETHERLANDS, 3133 KN

AMOUNT OF GRANT: \$15,000.00

DATE OF GRANT: 07/23/18

PURPOSE OF GRANT: General operating support for Social programming for at-risk youth.

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

No, to the knowledge of the Neuberger Berman Foundation no funds have been diverted to any other activity.

DATES OF REPORTS RECEIVED FROM GRANTEE:

22-Feb-19

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

No further independent verification is necessary at this time.

THE NEUBERGER BERMAN FOUNDATION
EIN: 31-1736689
FOR THE YEAR ENDED NOVEMBER 30, 2018

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

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

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

AMOUNT OF GRANT: \$22,500.00

DATE OF GRANT: November 26, 2018

PURPOSE OF GRANT: General operating support for Learning Center in Lambeth

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

No, to the knowledge of the Neuberger Berman Foundation no funds have been diverted to any other activity.

DATES OF REPORTS RECEIVED FROM GRANTEE: November 6, 2018 and January 10, 2019

**DATES AND RESULTS OF ANY VERIFICATION
OF THE GRANTEE'S REPORTS:** No further independent verification is necessary at this time.

THE NEUBERGER BERMAN FOUNDATION
EIN: 31-1736689
FOR THE YEAR ENDED NOVEMBER 30, 2018

STATEMENT C-4: EXPENDITURE RESPONSIBILITY
FORM 990-PF, PART XV, LINE 3a

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

NAME AND ADDRESS OF GRANTEE: HANDSON HONG KONG
UNIT 9A, EASY TOWER
609-611 TAI NAN WEST STREET
CHEUNG SHA WAN, KOWLOON, HONG KONG

AMOUNT OF GRANT: \$15,000.00

DATE OF GRANT: November 28, 2018

PURPOSE OF GRANT: Skill workshops for students with disabilities and Volunteer programs for children and the elderly (2019).

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

No, to the knowledge of the Neuberger Berman Foundation no funds have been diverted to any other activity.

DATES OF REPORTS RECEIVED FROM GRANTEE:

January 11, 2019

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

No further independent verification will be required.

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

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS					150,808.	
552,577.		PUBLICLY TRADED SECURITIES (ST) - STMT D PROPERTY TYPE: SECURITIES				P	VAR	VAR
		563,539.				-10,962.		
2,629,364.		PUBLICLY TRADED SECURITIES (LT) - STMT D PROPERTY TYPE: SECURITIES				P	VAR	VAR
		2,391,357.				238,007.		
TOTAL GAIN (LOSS)						<u>377,853.</u>	

ATTACHMENT 1

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

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
DIVIDEND INCOME	152,533.	152,533.
INTEREST INCOME	32,174.	32,174.
TOTAL	<u>184,707.</u>	<u>184,707.</u>

ATTACHMENT 2

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	115,617.	57,809.		53,184.
TOTALS	<u>115,617.</u>	<u>57,809.</u>		<u>53,184.</u>

ATTACHMENT 3

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INVESTMENT MANAGEMENT FEES	5,749.	5,749.
TOTALS	<u>5,749.</u>	<u>5,749.</u>

ATTACHMENT 4

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FEDERAL EXCISE TAX	11,086.	
FOREIGN TAXES WITHHELD	34.	34.
TOTALS	<u>11,120.</u>	<u>34.</u>

ATTACHMENT 5

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
BANK CHARGES	58.	58.	
PUBLICATION EXPENSE	160.		160.
NYS FILING FEES	275.		275.
DE REGISTERED AGENT	162.		162.
TOTALS	<u>655.</u>	<u>58.</u>	<u>597.</u>

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

ATTACHMENT 6

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
UST OBLIGATIONS- STMT A-1	770,341.	626,285.	626,285.
US OBLIGATIONS TOTAL	<u>770,341.</u>	<u>626,285.</u>	<u>626,285.</u>

ATTACHMENT 7

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MARKETABLE SECURITIES-STMT A-2	934,211.	485,619.	485,619.
TOTALS	<u>934,211.</u>	<u>485,619.</u>	<u>485,619.</u>

ATTACHMENT 8

FORM 990PF, PART II - CORPORATE BONDS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
CORPORATE BONDS- STMT A-3	2,494,134.	2,569,599.	2,569,599.
TOTALS	<u>2,494,134.</u>	<u>2,569,599.</u>	<u>2,569,599.</u>

ATTACHMENT 9

FORM 990PF, PART II - OTHER INVESTMENTS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MUTUAL FUNDS- STMT A-4	5,318,481.	4,712,075.	4,712,075.
TOTALS	<u>5,318,481.</u>	<u>4,712,075.</u>	<u>4,712,075.</u>

ATTACHMENT 10

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
ACCRUED INCOME DUE FROM BROKER	4,550.	7,427. 27,992.	7,427. 27,992.
TOTALS	<u>4,550.</u>	<u>35,419.</u>	<u>35,419.</u>

ATTACHMENT 11

FORM 990PF, PART II - OTHER LIABILITIES

<u>DESCRIPTION</u>	<u>BEGINNING BOOK VALUE</u>	<u>ENDING BOOK VALUE</u>
DEFERRED FED EXCISE TAX	28,317.	16,979.
DUE FROM BROKER	41,389.	
FEDERAL EXCISE TAX PAYABLE	1,521.	1,095.
TOTALS	<u>71,227.</u>	<u>18,074.</u>

ATTACHMENT 12

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

<u>DESCRIPTION</u>	<u>AMOUNT</u>
DEFERRED EXCISE TAX EXPENSE	11,338.
TOTAL	<u>11,338.</u>

ATTACHMENT 13

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

DESCRIPTION

AMOUNT

UNREALIZED GAINS/LOSSES ON INVESTMENTS

635,867.

TOTAL

635,867.

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

ATTACHMENT 14

NAME AND ADDRESS

TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION

COMPENSATION

CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS

EXPENSE ACCT AND OTHER ALLOWANCES

ELIZABETH R. CRIBBS 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	PRESIDENT 20.00	0.	0.	0.
AISHA HAQUE 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
DAVID PEDOWITZ 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	TREASURER 2.00	0.	0.	0.
IAN D. PECKETT 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
SANDY M. POMEROY 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.

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

ATTACHMENT 14 (CONT'D)

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
HEATHER P. ZUCKERMAN 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
ALLISON SALOY 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR 1.00	0.	0.	0.
MARIA ANGELOV 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	ASSISTANT TREASURER/ SECRETARY 20.00	0.	0.	0.
ANTHONY TUTRONE 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR, AS OF 12/1/2017 1.00			
GORKY URQUIETA 1290 AVENUE OF THE AMERICAS 27TH FL NEW YORK, NY 10104	DIRECTOR, AS OF 12/1/2017 1.00			
<u>GRAND TOTALS</u>		<u>0.</u>	<u>0.</u>	<u>0.</u>

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

ATTACHMENT 15

<u>NAME AND ADDRESS</u>	<u>TYPE OF SERVICE</u>	<u>COMPENSATION</u>
MARCUM, LLP 10 MELVILLE PARK RD. MELVILLE, NY 11747	ACCOUNTING SERVICES	81,617.
TOTAL COMPENSATION		<u>81,617.</u>