

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.**  
 ▶ **Go to [www.irs.gov/Form990PF](http://www.irs.gov/Form990PF) for instructions and the latest information.**

OMB No 1545-0052  
**2018**  
**Open to Public Inspection**

**For calendar year 2018, or tax year beginning 12-01-2018, and ending 11-30-2019**

Name of foundation THE NEUBERGER BERMAN FOUNDATION		<b>A Employer identification number</b> 31-1736689	
% MARIA ANGELOV PRESIDENT			
Number and street (or P O box number if mail is not delivered to street address) 1290 AVENUE OF THE AMERICAS Suite 2	Room/suite	<b>B Telephone number (see instructions)</b> (212) 476-5570	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10104		<b>C</b> If exemption application is pending, check here <input type="checkbox"/>	
<b>G</b> Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		<b>D 1.</b> Foreign organizations, check here <input type="checkbox"/> <b>2.</b> Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
<b>I</b> Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ <u>8,652,872</u>		<b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
<b>J</b> Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)			

<b>Part I Analysis of Revenue and Expenses</b> <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )</small>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>1</b>	Contributions, gifts, grants, etc., received (attach schedule)	453,530			
<b>2</b>	Check <input type="checkbox"/> if the foundation is <b>not</b> required to attach Sch. B				
<b>3</b>	Interest on savings and temporary cash investments				
<b>4</b>	Dividends and interest from securities	377,666	377,666		
<b>5a</b>	Gross rents				
<b>b</b>	Net rental income or (loss)				
<b>6a</b>	Net gain or (loss) from sale of assets not on line 10	309,958			
<b>b</b>	Gross sales price for all assets on line 6a <u>3,775,201</u>				
<b>7</b>	Capital gain net income (from Part IV, line 2)		309,958		
<b>8</b>	Net short-term capital gain				
<b>9</b>	Income modifications				
<b>10a</b>	Gross sales less returns and allowances				
<b>b</b>	Less Cost of goods sold				
<b>c</b>	Gross profit or (loss) (attach schedule)				
<b>11</b>	Other income (attach schedule)				
<b>12</b>	<b>Total.</b> Add lines 1 through 11	1,141,154	687,624		
<b>13</b>	Compensation of officers, directors, trustees, etc	0			
<b>14</b>	Other employee salaries and wages				
<b>15</b>	Pension plans, employee benefits				
<b>16a</b>	Legal fees (attach schedule)	162	0	0	162
<b>b</b>	Accounting fees (attach schedule)	113,500	56,750	0	55,750
<b>c</b>	Other professional fees (attach schedule)	2,265	2,265		
<b>17</b>	Interest				
<b>18</b>	Taxes (attach schedule) (see instructions)	7,348			
<b>19</b>	Depreciation (attach schedule) and depletion				
<b>20</b>	Occupancy				
<b>21</b>	Travel, conferences, and meetings				
<b>22</b>	Printing and publications				
<b>23</b>	Other expenses (attach schedule)	711	108		603
<b>24</b>	<b>Total operating and administrative expenses.</b> Add lines 13 through 23	123,986	59,123	0	56,515
<b>25</b>	Contributions, gifts, grants paid	1,285,000			1,285,000
<b>26</b>	<b>Total expenses and disbursements.</b> Add lines 24 and 25	1,408,986	59,123	0	1,341,515
<b>27</b>	Subtract line 26 from line 12				
<b>a</b>	<b>Excess of revenue over expenses and disbursements</b>	-267,832			
<b>b</b>	<b>Net investment income</b> (if negative, enter -0-)		628,501		
<b>c</b>	<b>Adjusted net income</b> (if negative, enter -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	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .	49,846	49,820	49,820
	<b>2</b> Savings and temporary cash investments . . . . .	331,835	398,618	398,618
	<b>3</b> Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	<b>4</b> Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____	0		
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U S and state government obligations (attach schedule)	626,285	755,276	755,276
	<b>b</b> Investments—corporate stock (attach schedule) . . . . .	485,619	1,001,590	1,001,590
	<b>c</b> Investments—corporate bonds (attach schedule) . . . . .	2,569,599	2,373,583	2,373,583
	<b>11</b> Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	<b>12</b> Investments—mortgage loans . . . . .			
	<b>13</b> Investments—other (attach schedule) . . . . .	4,712,075	4,066,665	4,066,665
	<b>14</b> Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
<b>15</b> Other assets (describe ▶ _____)	35,419	7,320	7,320	
<b>16 Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	8,810,678	8,652,872	8,652,872	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .			
	<b>18</b> Grants payable . . . . .			
	<b>19</b> Deferred revenue . . . . .			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons			
	<b>21</b> Mortgages and other notes payable (attach schedule) . . . . .			
	<b>22</b> Other liabilities (describe ▶ _____)	18,074	32,985	
	<b>23 Total liabilities</b> (add lines 17 through 22) . . . . .	18,074	32,985	
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow SFAS 117, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	<b>24</b> Unrestricted . . . . .	8,792,604	8,619,887	
	<b>25</b> Temporarily restricted . . . . .			
	<b>26</b> Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, check here</b> <input type="checkbox"/> <b>and complete lines 27 through 31.</b>			
	<b>27</b> Capital stock, trust principal, or current funds . . . . .			
	<b>28</b> Paid-in or capital surplus, or land, bldg , and equipment fund			
<b>29</b> Retained earnings, accumulated income, endowment, or other funds				
<b>30 Total net assets or fund balances</b> (see instructions) . . . . .	8,792,604	8,619,887		
<b>31 Total liabilities and net assets/fund balances</b> (see instructions) .	8,810,678	8,652,872		

**Part III Analysis of Changes in Net Assets or Fund Balances**

<b>1</b> 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) . . . . .	<b>1</b>	8,792,604
<b>2</b> Enter amount from Part I, line 27a . . . . .	<b>2</b>	-267,832
<b>3</b> Other increases not included in line 2 (itemize) ▶ _____	<b>3</b>	96,454
<b>4</b> Add lines 1, 2, and 3 . . . . .	<b>4</b>	8,621,226
<b>5</b> Decreases not included in line 2 (itemize) ▶ _____	<b>5</b>	1,339
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	<b>6</b>	8,619,887

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
<b>1 a</b> PUBLICLY TRADED SEC (ST)- STMT F	P		
<b>b</b> PUBLICLY TRADED SEC (LT)-STMT F	P		
<b>c</b>			
<b>d</b>			
<b>e</b>			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</b> 1,334,259		1,334,098	161
<b>b</b> 2,440,942		2,131,145	309,797
<b>c</b>			
<b>d</b>			
<b>e</b>			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(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	
<b>a</b>			161
<b>b</b>			309,797
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	2	309,958
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	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))
2017	1,343,792	9,458,436	0.142073
2016	1,134,755	9,506,221	0.11937
2015	1,068,748	9,384,631	0.113883
2014	1,131,909	10,220,400	0.11075
2013	1,076,540	10,683,734	0.100764

<b>2</b> Total of line 1, column (d)	2	0.58684
<b>3</b> 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	0.117368
<b>4</b> Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	4	8,657,551
<b>5</b> Multiply line 4 by line 3	5	1,016,119
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	6	6,285
<b>7</b> Add lines 5 and 6	7	1,022,404
<b>8</b> Enter qualifying distributions from Part XII, line 4	8	1,341,515

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)

Table with 11 rows for excise tax calculation. Includes fields for exempt foundations, tax under section 511, subtitle A tax, and total tax due. Total tax due is 1,274.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, political expenditures, and state reporting. Includes Yes/No columns.

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-13 regarding controlled entities, donor advised funds, and public inspection requirements.

14 The books are in care of MARIA ANGELOV PRESIDENT Telephone no (212) 476-5570

Located at 1290 AVENUE OF THE AMERICAS 29TH F 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 and enter the amount of tax-exempt interest received or accrued during the year 15

Table with 3 columns: Question, Yes, No. Row 16 regarding interest in foreign countries.

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.

Main table with 3 columns: Question, Yes, No. Rows 1a-4b regarding Form 4720 exceptions and requirements.



**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
MARCUM LLP 10 MELVILLE PARK RD MELVILLE, NY 11747	ACCOUNTING SERVICES	86,000

**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
<b>1</b>	
<b>2</b>	
<b>3</b>	
<b>4</b>	

**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
<b>1</b>	
<b>2</b>	
All other program-related investments. See instructions	
<b>3</b>	

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

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities.	<b>1a</b>	8,384,261
<b>b</b>	Average of monthly cash balances.	<b>1b</b>	401,843
<b>c</b>	Fair market value of all other assets (see instructions).	<b>1c</b>	3,288
<b>d</b>	<b>Total</b> (add lines 1a, b, and c).	<b>1d</b>	8,789,392
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets.	<b>2</b>	0
<b>3</b>	Subtract line 2 from line 1d.	<b>3</b>	8,789,392
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	<b>4</b>	131,841
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4.	<b>5</b>	8,657,551
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5.	<b>6</b>	432,878

**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.)

<b>1</b>	Minimum investment return from Part X, line 6.	<b>1</b>	432,878
<b>2a</b>	Tax on investment income for 2018 from Part VI, line 5.	<b>2a</b>	6,285
<b>b</b>	Income tax for 2018 (This does not include the tax from Part VI).	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b.	<b>2c</b>	6,285
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1.	<b>3</b>	426,593
<b>4</b>	Recoveries of amounts treated as qualifying distributions.	<b>4</b>	
<b>5</b>	Add lines 3 and 4.	<b>5</b>	426,593
<b>6</b>	Deduction from distributable amount (see instructions).	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	<b>7</b>	426,593

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	<b>1a</b>	1,341,515
<b>b</b>	Program-related investments—total from Part IX-B.	<b>1b</b>	0
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	<b>2</b>	0
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required).	<b>3a</b>	0
<b>b</b>	Cash distribution test (attach the required schedule).	<b>3b</b>	0
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	<b>4</b>	1,341,515
<b>5</b>	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.	<b>5</b>	6,285
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4.	<b>6</b>	1,335,230

**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 2017	(c) 2017	(d) 2018
<b>1</b> Distributable amount for 2018 from Part XI, line 7				426,593
<b>2</b> Undistributed income, if any, as of the end of 2018				
<b>a</b> Enter amount for 2017 only. . . . .			0	
<b>b</b> Total for prior years 2016, 2015, 2014		0		
<b>3</b> Excess distributions carryover, if any, to 2018				
<b>a</b> From 2013. . . . .	552,818			
<b>b</b> From 2014. . . . .	629,092			
<b>c</b> From 2015. . . . .	607,214			
<b>d</b> From 2016. . . . .	668,956			
<b>e</b> From 2017. . . . .	880,848			
<b>f</b> Total of lines 3a through e. . . . .	3,338,928			
<b>4</b> Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ <u>1,341,515</u>				
<b>a</b> Applied to 2017, but not more than line 2a			0	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .				
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .				
<b>d</b> Applied to 2018 distributable amount. . . . .				426,593
<b>e</b> Remaining amount distributed out of corpus	914,922			
<b>5</b> Excess distributions carryover applied to 2018 (If an amount appears in column (d), the same amount must be shown in column (a) )				
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	4,253,850			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b . . . . .		0		
<b>c</b> 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. . . . .				
<b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions . . . . .		0		
<b>e</b> Undistributed income for 2017 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .			0	
<b>f</b> Undistributed income for 2018 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2019 . . . . .				0
<b>7</b> 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). . . . .				
<b>8</b> Excess distributions carryover from 2013 not applied on line 5 or line 7 (see instructions). . . . .	552,818			
<b>9</b> Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a . . . . .	3,701,032			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2014. . . . .	629,092			
<b>b</b> Excess from 2015. . . . .	607,214			
<b>c</b> Excess from 2016. . . . .	668,956			
<b>d</b> Excess from 2017. . . . .	880,848			
<b>e</b> Excess from 2018. . . . .	914,922			

**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 2018, 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)

**2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .

	Tax year	Prior 3 years			(e) Total
	(a) 2018	(b) 2017	(c) 2016	(d) 2015	
<b>b</b> 85% of line 2a . . . . .					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed . . . . .					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c . . . . .					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon					
<b>a</b> "Assets" alternative test—enter					
<b>(1)</b> Value of all assets . . . . .					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . . . .					
<b>c</b> "Support" alternative test—enter					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) . . . . .					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . . .					
<b>(3)</b> Largest amount of support from an exempt organization					
<b>(4)</b> Gross investment income					

**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) )

**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 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
<b>a</b> <i>Paid during the year</i> SEE STATEMENT E SEE STATEMENT E NEW YORK, NY 10104	none	PC	SEE STATEMENT E	1,285,000
(Empty row)				
<b>Total . . . . .</b>				<b>▶ 3a</b>
<b>b</b> <i>Approved for future payment</i>				
<b>Total . . . . .</b>				<b>▶ 3b</b>





**Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation**

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
AISHA HAQUE 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	DIRECTOR 1 0	0	0	0
DAVID PEDOWITZ 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	TREASURER 2 0	0	0	0
IAN D PECKETT RESIGNED 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	DIRECTOR 1 0	0	0	0
SANDY M POMEROY 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	DIRECTOR 1 0	0	0	0
ALLISON SALOY 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	DIRECTOR 1 0	0	0	0
MARIA ANGELOV 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	president 20 0	0	0	0
ANTHONY TUTRONE 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	Director 1 0	0	0	0
GORKY URQUIETA 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	DIRECTOR 1 0	0	0	0
HEATHER ZUCKERMAN 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104	DIRECTOR 1 0	0	0	0

**TY 2018 Accounting Fees Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
ACCOUNTING FEES	113,500	56,750		55,750

**Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.**

## **TY 2018 Depreciation Schedule**

**Name:** THE NEUBERGER BERMAN FOUNDATION

**EIN:** 31-1736689

**TY 2018 Investments Corporate Bonds Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689**Investments Corporate Bonds Schedule**

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
FIXED INCOME- SEE STATEMENT C	2,373,583	2,373,583

**TY 2018 Investments Corporate Stock Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

## Investments Corporation Stock Schedule

<b>Name of Stock</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
MARKETABLE SECURITIES:STMT B	1,001,590	1,001,590

**TY 2018 Investments Government Obligations Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689**US Government Securities - End  
of Year Book Value:**

755,276

**US Government Securities - End  
of Year Fair Market Value:**

755,276

**State & Local Government  
Securities - End of Year Book  
Value:****State & Local Government  
Securities - End of Year Fair  
Market Value:**

**TY 2018 Investments - Other Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689**Investments Other Schedule 2**

<b>Category/ Item</b>	<b>Listed at Cost or FMV</b>	<b>Book Value</b>	<b>End of Year Fair Market Value</b>
MUTUAL FUNDS- SEE STATEMENT D	FMV	4,061,733	4,061,733
INV IN PUBL TRADED PARTNERSHI	FMV	2,980	2,980
MASTER LIMITED PARTNERSHIP	FMV	1,952	1,952

**TY 2018 Legal Fees Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
LEGAL FEES	162			162

**TY 2018 Other Assets Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
ACCRUED INCOME	7,427	7,320	7,320
DUE FROM BROKER	27,992	0	0

**TY 2018 Other Decreases Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

<b>Description</b>	<b>Amount</b>
DEFERRED FEDERAL EXCISE TAX	1,339

**TY 2018 Other Expenses Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK CHARGES	108	108		
PUBLICATION EXPENSE	160			160
NYS FILING FEES	275			275
DE REGISTERED AGENT	168			168

**TY 2018 Other Income Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
misc income			

**TY 2018 Other Increases Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

<b>Description</b>	<b>Amount</b>
UNREALIZED GAINS/LOSSES ON INVESTMENTS	96,454

**TY 2018 Other Liabilities Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

<b>Description</b>	<b>Beginning of Year - Book Value</b>	<b>End of Year - Book Value</b>
DEFERRED FED EXCISE TAX	16,979	18,317
FEDERAL EXCISE TAX PAYABLE	1,095	8,443
DUE TO BROKER	0	6,225

**TY 2018 Other Professional Fees Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
INVESTMENT MANAGEMENT FEES	2,265	2,265		

**TY 2018 Taxes Schedule****Name:** THE NEUBERGER BERMAN FOUNDATION**EIN:** 31-1736689

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
FEDERAL EXCISE TAX	7,348			

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

**Schedule of Contributors**  
▶ Attach to Form 990, 990-EZ, or 990-PF  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information

OMB No 1545-0047  
**2018**

**Name of the organization**  
THE NEUBERGER BERMAN FOUNDATION

**Employer identification number**  
31-1736689

**Organization type** (check one)

**Filers of:**

**Section:**

Form 990 or 990-EZ

- 501(c)( ) (enter number) organization
- 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- 527 political organization

Form 990-PF

- 501(c)(3) exempt private foundation
- 4947(a)(1) nonexempt charitable trust treated as a private foundation
- 501(c)(3) taxable private foundation

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

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

**General Rule**

- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other 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<sup>1</sup> 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 990PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

<b>Name of organization</b> THE NEUBERGER BERMAN FOUNDATION	<b>Employer identification number</b> 31-1736689
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<b>Part I</b>			
<b>Contributors</b> (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	\$ 364,265	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
2	JAMES BAKER 1290 AVENUE OF THE AMERICAS  NEW YORK, NY 10104	\$ 9,396	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions )
3	JUDITH M VALE 1290 AVENUES OF THE AMERICAS  NEW YORK, NY 10104	\$ 25,163	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions )
4	Robert D'Alelio 1290 AVENUES OF THE AMERICAS  new york, NY 10104	\$ 25,276	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions )
5	sandy pomeroy 1290 Avenue of the Americas 39th F  New York, NY 10104	\$ 25,105	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions )
.		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )

<b>Name of organization</b> THE NEUBERGER BERMAN FOUNDATION	<b>Employer identification number</b> 31-1736689
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**Part II** **Noncash Property**

<b>(a)</b> <b>No. from Part I</b>	<b>(b)</b> <b>Description of noncash property given</b>	<b>(c)</b> <b>FMV (or estimate)</b> <small>(See instructions)</small>	<b>(d)</b> <b>Date received</b>
(See instructions) Use duplicate copies of Part II if additional space is needed			
2	100 shs of ESRX	\$ 9 396	2018-12-20
3	625 shs of TRMB	\$ 25 163	2019-04-25
4	400 shs of HSIC	\$ 25 276	2019-05-01
5	253 shs of ARCH	\$ 25 105	2019-04-26
	_____	\$ _____	_____
	_____	\$ _____	_____
	_____	\$ _____	_____

<b>Name of organization</b> THE NEUBERGER BERMAN FOUNDATION	<b>Employer identification number</b> 31-1736689
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**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
	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>

(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
<hr/> <hr/>	<hr/> <hr/>

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>

(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
<hr/> <hr/>	<hr/> <hr/>

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>

(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
<hr/> <hr/>	<hr/> <hr/>

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>

(e) Transfer of gift Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
<hr/> <hr/>	<hr/> <hr/>

<b>The Neuberger Berman Foundation</b>						
EIN 31-1736689						
For the year ended November 30, 2019						
<b>Grants and Contributions Paid</b>						
	<b>Recipient's Address</b>					
<b>Recipient's Name</b>	<b>Street</b>	<b>City</b>	<b>State</b>	<b>Foundation Status of Recipient</b>	<b>Purpose of Grant or Contribution</b>	<b>Amount</b>
A Broader Way	420 Lexington Avenue Suite 2520	New York	NY	PC	general operating support	\$ 5,000.00
Advocates for Children	151 W 30th St 5th Flr	New York	NY	PC	general operating support	\$ 15,000.00
A House in Austin	533 N Pine Ave	Chicago	IL	PC	general operating support	\$ 5,000.00
Ali Forney Center	224 W 35th St 1500	New York	NY	PC	general operating support	\$ 15,000.00
Anxiter Center	6610 N Clark Street	Chicago	IL	PC	National Lekotek Center	\$ 15,000.00
Apex for Youth	2 Rector St Ste 1312	New York	NY	PC	general operating support	\$ 15,000.00
Association to Benefit Children	419 East 86th Street	New York	NY	PC	general operating support	\$ 200,000.00
Baruch College Fund	55 Lexington Ave	New York	NY	PC	Baruch College Success Network	\$ 15,000.00
Behind the Book	216 W 135th St	New York	NY	PC	general operating support	\$ 5,000.00
Blythedale Children's Hospital	95 Bradhurst Ave	Valhalla	NY	PC	general operating support	\$ 15,000.00
Blue Heron Foundation	269 S Beverly Dr Ste 435	Beverly Hills	CA	PC	general operating support	\$ 5,000.00
Blue Rider Stables	15 Farm Ln	Great Barrington	MA	PC	general operating support	\$ 5,000.00
Birthday Party Project	2143 Farmington St	Dallas	TX	PC	general operating support	\$ 5,000.00
Boys and Girls Clubs of Chicago	550 W Van Buren Ste 350	Chicago	IL	PC	general operating support	\$ 15,000.00
Boys and Girls Club of Northern Westchester	351 Main St	Mount Kisco	NY	PC	general operating support	\$ 15,000.00
BRICK	59 Lincoln Park Garden Suite 50	Newark	NJ	PC	general operating support	\$ 15,000.00
CAMBA	1720 Church Ave 2nd Flr	Brooklyn	NY	PC	general operating support	\$ 15,000.00
Citizens Committee for Children of New York	14 Wall St Ste 4E	New York	NY	PC	general operating support	\$ 15,000.00
Citizens Committee for New York City	77 Water St Ste 202	New York	NY	PC	general operating support	\$ 15,000.00
City Harvest	575 Eighth Avenue 4th Floor	New York	NY	PC	general operating support	\$ 5,000.00
Community Word Project	11 Broadway Ste 508	New York	NY	PC	general operating support	\$ 15,000.00
Council of Jewish Emigre Community Organizations	729 7th Ave	New York	NY	PC	general operating support	\$ 5,000.00
Cypress Missions	416 Philadelphia Ave	Point Pleasant Beach	NJ	PC	general operating support	\$ 5,000.00
Dallas Children's Advocacy Center	5351 Samuell Blvd	Dallas	TX	PC	general operating support	\$ 15,000.00
Dance Party for Parkinsons	21 Red Ground Rd	Old Westbury	NY	PC	general operating support	\$ 5,000.00
Devereux Foundation	444 Devereux Dr	Villanova	PA	PC	general operating support	\$ 5,000.00
Drew University	36 Madison Ave	Madison	NJ	PC	AdvantageArts@Drew program	\$ 15,000.00
ECPAT-USA	30 3rd Ave #800a	Brooklyn	NY	PC	general operating support	\$ 5,000.00
Expanded Schools	11 W 42nd St 3rd Flr	New York	NY	PC	general operating support	\$ 15,000.00
Fiver Children's Foundation	519 8th Avenue	New York	NY	PC	Investment Camp for Fiver students	\$ 25,000.00
Good+ Foundation	306 W 37th St 8th Flr	New York	NY	PC	general operating support	\$ 15,000.00
Good Shepherd Services	305 Seventh Ave 9th Flr	New York	NY	PC	general operating support	\$ 15,000.00
Greenhouse Sports	35 Coxway St	Marylebone London NW1 5NS	UK	Expenditure Responsibility	general operating support	\$ 15,000.00
Guidance Center of Westchester	256 Washington St	Mt Vernon	NY	PC	general operating support	\$ 15,000.00
Handson Hong Kong	Unit A 9th Flr Easy Tower 606-611 Tai Nan West St	Cheung Sha Wan Kowloon	Hong Kong	Expenditure Responsibility	general operating support	\$ 15,000.00
Harlem School of the Arts	645 St Nicholas Ave	New York	NY	PC	general operating support	\$ 15,000.00
Helping Orphans Worldwide	10736 Jefferson Blvd Ste 808	Culver City	CA	PC	general operating support	\$ 5,000.00
Henry Street Settlement	265 Henry St	New York	NY	PC	general operating support	\$ 15,000.00
Highbridge Voices	1360 Merriam Ave	Bronx	NY	PC	general operating support	\$ 15,000.00
Horizons at Saint David's	12 E 89th St	New York	NY	PC	general operating support	\$ 15,000.00

Grants and Contributions Paid						
Recipient's Name	Recipient's Address			Foundation Status of Recipient	Purpose of Grant or Contribution	Amount
	Street	City	State			
A Broader Way	420 Lexington Avenue Suite 2520	New York	NY	PC	general operating support	\$ 5,000.00
Advocates for Children	151 W 30th St 5th Flr	New York	NY	PC	general operating support	\$ 15,000.00
A House in Austin	533 N Pine Ave	Chicago	IL	PC	general operating support	\$ 5,000.00
Ali Fomey Center	224 W 35th St 1500	New York	NY	PC	general operating support	\$ 15,000.00
How Children	36-11 12th St	Long Island City	NY	PC	general operating support	\$ 15,000.00
Hudson River Community Sailing	PO Box 20677	New York	NY	PC	general operating support	\$ 15,000.00
iMentor	30 Broad Street 9th Floor	New York	NY	PC	General operating support for New York programs	\$ 15,000.00
iMentor	30 Broad Street 9th Floor	New York	NY	PC	general operating support for Chicago programs	\$ 5,000.00
Hetayo Cultural Arts Academy	495 Flatbush Ave 2nd Flr	Brooklyn	NY	PC	general operating support	\$ 15,000.00
Imani Pearls Community Development Foundation	3473 S Martin Luther King Dr Ste #307	Chicago	IL	PC	general operating support	\$ 5,000.00
Intoliversity	95 Sudar Road	London	UK	Expenditure Responsibility	General operating support for learning center in Lambeth	\$ 22,500.00
Kings County Tennis League	1 Dock 72 Way 7th Flr	Brooklyn	NY	PC	general operating support	\$ 5,000.00
KIPP New Jersey	60 Park Pl Ste 802	Newark	NJ	PC	general operating support	\$ 15,000.00
LIFT	349 E 149th St	Bronx	NY	PC	general operating support	\$ 15,000.00
Lincoln Center	70 Lincoln Center Plaza	New York	NY	PC	Lincoln Center Education	\$ 15,000.00
Magic Box Productions	274 Bedford Rd	Pleasantville	NY	PC	general operating support	\$ 15,000.00
Mayor's Fund to Advance New York City	253 Broadway 8th Floor	New York	NY	PC	Summer of Service program	\$ 40,000.00
National Dance Institute	217 W 14th St	New York	NY	PC	general operating support	\$ 15,000.00
National Jr Tennis & Learning of Trenton	949 W State St	Trenton	NJ	PC	general operating support	\$ 5,000.00
Neuberger Museum	735 Anderson Hill Road	Purchase	NY	PC	general operating support	\$ 20,000.00
New Heights Youth	50 E 118th St	New York	NY	PC	general operating support	\$ 15,000.00
OneGoal Atlanta	1175 Peachtree St NE 10th Flr	Atlanta	GA	PC	general operating support for Atlanta programs	\$ 15,000.00
Partnership for After School Education	120 Broadway #230	New York	NY	PC	general operating support	\$ 15,000.00
PENCIL	30 West 26th Street 2nd Floor	New York	NY	PC	School Partnership with Frederick Douglass Academy II	\$ 20,000.00
Per Scholas	804 E 138th St #2	Bronx	NY	PC	general operating support	\$ 15,000.00
Power of Two	400 Rockaway Ave	Brooklyn	NY	PC	general operating support	\$ 15,000.00
Project Synere	9012 S Stony Island Ave	Chicago	IL	PC	general operating support	\$ 15,000.00
REACH Institute	224 W 35th St Ste 13904B	New York	NY	PC	general operating support	\$ 15,000.00
Renaissance Youth Center	3485 Thurd Ave	Bronx	NY	PC	general operating support	\$ 15,000.00
Rising Leaders	245 E 111th St Apt 4A	New York	NY	PC	general operating support	\$ 5,000.00
Resugo	St Paul's Place Macbeth Street	London	UK	Expenditure Responsibility	Spears program	\$ 22,500.00
Room to Grow	7 West 30th St Flr 3	New York	NY	PC	general operating support	\$ 15,000.00
Safe Families for Children	4300 W Irving Park Rd	Chicago	IL	PC	general operating support	\$ 5,000.00
San Francisco CASA	2535 Mission St	San Francisco	CA	PC	general operating support	\$ 15,000.00
Saraswat Foundation	178 Norman Dr	Gardley	PA	PC	general operating support	\$ 5,000.00
StreetSquash	40 W 116th St	New York	NY	PC	general operating support	\$ 15,000.00
Teach for America	519 8th Avenue 15th Floor	New York	NY	PC	general operating support for Teach for America-New York	\$ 15,000.00
TEAK Fellowship	16 W 22nd St	New York	NY	PC	general operating support	\$ 15,000.00
Teen Living Programs	162 W Hubbard St Ste 400	Chicago	IL	PC	general operating support	\$ 15,000.00
Union County Fatherhood Initiative Coalition	PO Box 505	Rahway	NJ	PC	general operating support	\$ 5,000.00
Union Settlement	2377 E 104th St	New York	NY	PC	general operating support	\$ 15,000.00
Vogel Alcove	1738 Gano Street	Dallas	TX	PC	general operating support	\$ 15,000.00
Wildlife Conservation Society	2300 Southern Blvd	Bronx	NY	PC	WCS UY Young Adult Initiative	\$ 15,000.00
Year Up	85 Broad St	New York	NY	PC	general operating support	\$ 15,000.00
YETS	Galgkade 3 3133 KN Vlaardingen		Netherlands	Expenditure Responsibility	general operating support	\$ 15,000.00
YMCA of Boston	316 Huntington Ave	Boston	MA	PC	general operating support	\$ 15,000.00

Grants and Contributions Paid						
Recipient's Address						
Recipient's Name	Street	City	State	Foundation Status of Recipient	Purpose of Grant or Contribution	Amount
A Broader Way	420 Lexington Avenue Suite 2520	New York	NY	PC	general operating support	\$ 5,000.00
Advocates for Children	151 W 30th St 5th Flr	New York	NY	PC	general operating support	\$ 15,000.00
A House in Austin	533 N Pine Ave	Chicago	IL	PC	general operating support	\$ 5,000.00
Ali Fomey Center	224 W 35th St 1500	New York	NY	PC	general operating support	\$ 15,000.00
You Gotta Believe	3114 Mermaid Ave	Brooklyn	NY	PC	general operating support	\$ 15,000.00
Youth Renewal Fund	1460 Broadway	New York	NY	PC	general operating support	\$ 5,000.00
<b>TOTAL CHARITABLE CONTRIBUTIONS</b>						<b>\$ 1,285,000.00</b>

THE NEUBERGER BERMAN FOUNDATION  
EIN 31-1736689  
FOR THE YEAR ENDED NOVEMBER 30, 2019

**STATEMENT G: EXPENDITURE RESPONSIBILITY  
FORM 990-PF, PART XV, LINE 3a**

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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 Foundation  
Nieuwe Damiaan 862  
3118 AC Schiedam

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

**DATE OF GRANT:** 11/19/2019

**PURPOSE OF GRANT:** Social Enterprise YETS Move

**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 16, 2020

**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, 2019

**STATEMENT G: EXPENDITURE RESPONSIBILITY**  
**FORM 990-PF, PART XV, LINE 3a**

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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

<b>NAME AND ADDRESS OF GRANTEE:</b>	RESURGO ST PAUL'S PLACE- MACBETH STREET LONDON, W6 9JJ
<b>AMOUNT OF GRANT:</b>	\$22,500 00
<b>DATE OF GRANT:</b>	11/19/2019
<b>PURPOSE OF GRANT:</b>	Resurgo Trust Spear Programme - Hammersmith & Fulham Spear Centre
<b>DIVERTED A PORTION OF FUNDS FROM THE PURPOSE OF THE GRANT: (YES, NO)</b>	No, to the knowledge of the Neuberger Berman Foundation no funds have been diverted to any other activity
<b>DATES OF REPORTS RECEIVED FROM GRANTEE:</b>	January 13, 2020
<b>DATES AND RESULTS OF ANY VERIFICATION OF THE GRANTEE'S REPORTS:</b>	No further independent verification is necessary at this time

THE NEUBERGER BERMAN FOUNDATION  
EIN 31-1736689  
FOR THE YEAR ENDED NOVEMBER 30, 2019

**STATEMENT G: EXPENDITURE RESPONSIBILITY  
FORM 990-PF, PART XV, LINE 3a**

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**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:**

11/19/2019

**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:**

January 9, 2020

**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, 2019

**STATEMENT G: EXPENDITURE RESPONSIBILITY  
FORM 990-PF, PART XV, LINE 3a**

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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

<b>NAME AND ADDRESS OF GRANTEE:</b>	HANDSON HONG KONG UNIT 9A, EASY TOWER 609-611 TAI NAN WEST STREET CHEUNG SHA WAN, KOWLOON, HONG KONG
<b>AMOUNT OF GRANT:</b>	\$15,000 00
<b>DATE OF GRANT:</b>	11/19/2019
<b>PURPOSE OF GRANT:</b>	Skill workshops for students with disabilities and Volunteer programs for children and the elderly
<b>TO THE GRANTOR'S KNOWLEDGE, GRANTEE HAS DIVERTED A PORTION OF FUNDS FROM THE PURPOSE OF THE GRANT: (YES, NO)</b>	No, to the knowledge of the Neuberger Berman Foundation no funds have been diverted to any other activity
<b>DATES OF REPORTS RECEIVED FROM GRANTEE:</b>	January 9, 2020
<b>DATES AND RESULTS OF ANY VERIFICATION OF THE GRANTEE'S REPORTS:</b>	No further independent verification will be required

THE NEUBERGER BERMAN FOUNDATION  
EIN 31-1736689  
FOR THE YEAR ENDED NOVEMBER 30, 2019

**STATEMENT G: EXPENDITURE RESPONSIBILITY  
FORM 990-PF, PART XV, LINE 3a**

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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:** GREENHOUSE SPORTS  
35 COSWAY ST  
MARYLEBONE, LONDON NW1 5NS, UK

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

**DATE OF GRANT:** 5/28/2019

**PURPOSE OF GRANT:** Programs for youths to access sporting opportunities with inspirational coaching and mentorship

**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 21, 2020

**DATES AND RESULTS OF ANY VERIFICATION  
OF THE GRANTEE'S REPORTS:** No further independent verification will be required