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## Return of Private Foundation

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

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

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation <b>MATHEW &amp; JOSEPHINE BIRNBAUM FOUNDATION</b>		A Employer identification number <b>13-6947903</b>
Number and street (or P O box number if mail is not delivered to street address) <b>350 LODGE ROAD</b>	Room/suite <b>319</b>	B Telephone number <b>802.458.3299</b>
City or town, state or province, country, and ZIP or foreign postal code <b>MIDDLEBURY, VT 05753-4510</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H 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		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) <b>\$ 626,248.</b> (Part I, column (d) must be on cash basis.)	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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))		(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			N/A	
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	1.	1.		STATEMENT 1
	4 Dividends and interest from securities	10,437.	10,437.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	39,373.			
	b Gross sales price for all assets on line 6a	195,543.			
	7 Capital gain net income (from Part IV, line 2)		39,373.		
	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)					
11 Other income	700.	700.		STATEMENT 3	
12 Total Add lines 1 through 11	50,511.	50,511.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees	STMT 4	3,669.	0.	3,669.
	c Other professional fees	STMT 5	9,794.	9,794.	0.
	17 Interest				
	18 Taxes	STMT 6	232.	132.	100.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	STMT 7	335.	335.	0.
	24 Total operating and administrative expenses. Add lines 13 through 23		14,030.	10,261.	3,769.
	25 Contributions, gifts, grants paid		32,452.		32,452.
26 Total expenses and disbursements. Add lines 24 and 25		46,482.	10,261.	36,221.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		4,029.			
b Net investment income (if negative, enter -0-)			40,250.		
c Adjusted net income (if negative, enter -0-)			N/A		

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value	
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	30,471.	16,408.	16,408.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	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			
	b Investments - corporate stock <b>STMT 8</b>	378,523.	396,615.	609,840.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment: basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 <b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item 1)	408,994.	413,023.	626,248.	
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			
	22 Other liabilities (describe ▶)			
23 <b>Total liabilities</b> (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	502,664.	502,664.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	<93,670.>	<89,641.>	
30 <b>Total net assets or fund balances</b>	408,994.	413,023.		
31 <b>Total liabilities and net assets/fund balances</b>	408,994.	413,023.		

**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	408,994.
2 Enter amount from Part I, line 27a	2	4,029.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	413,023.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 <b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30	6	413,023.

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a SEE ATTACHED SCHEDULE	P		
b SEE ATTACHED SCHEDULE	P		
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 35,179.		34,123.	1,056.
b 160,364.		122,047.	38,317.
c			
d			
e			

(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	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			1,056.
b			38,317.
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	39,373.
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). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	33,468.	493,341.	.067839
2011	30,798.	519,191.	.059319
2010	36,816.	481,746.	.076422
2009	32,807.	359,972.	.091138
2008	33,411.	30,957.	1.079271

2 Total of line 1, column (d)	2	1.373989
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.274798
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	581,106.
5 Multiply line 4 by line 3	5	159,687.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	403.
7 Add lines 5 and 6	7	160,090.
8 Enter qualifying distributions from Part XII, line 4	8	36,221.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate.  
See the Part VI instructions.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	805.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	805.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	805.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	1,891.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	1,891.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	1,086.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input type="checkbox"/> 1,086. Refunded <input type="checkbox"/>	11	0.	

**Part VII-A Statements Regarding Activities**

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. <input type="checkbox"/> \$ 0. (2) On foundation managers. <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XIV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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FOUNDATION**

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**Part VII-A Statements Regarding Activities** (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <b>N/A</b>	13	X	
14	The books are in care of ► <b>JOSEPHINE BIRNBAUM</b> Telephone no. ► <b>802.458.3299</b> Located at ► <b>350 LODGE ROAD #319, MIDDLEBURY, VT</b> ZIP+4 ► <b>05733</b>			
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 <b>N/A</b>			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

		Yes	No
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here <b>N/A</b> <input type="checkbox"/>	1b	
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 2013?	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 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ►		
b	Are there any years listed in 2a for which the foundation is <b>not</b> 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.) <b>N/A</b>	2b	
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2013 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 2013.) <b>N/A</b>	3b	
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 2013?	4b	X

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b

X

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

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

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

(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
JOSEPHINE BIRNBAUM	DIRECTOR			
350 LODGE ROAD #319				
MIDDLEBURY, VT 05733	1.00	0.	0.	0.
RAOUL BIRNBAUM	DIRECTOR			
375 SUMMIT RD				
WATSONVILLE, CA 90576	0.50	0.	0.	0.
MICHAEL BIRNBAUM	DIRECTOR			
311 WOODCOCK RD				
PLAINFIELD, VT 05667	0.50	0.	0.	0.

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

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

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

0

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

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

[illegible]

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

<b>Part IX-A</b>	<b>Summary of Direct Charitable Activities</b>
------------------	--

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.

Number of Organizations and Other Beneficiaries Served, Conferences Convened, Research Papers Presented, etc.	
1	N/A
2	
3	
4	

<b>Part IX-B</b>	<b>Summary of Program-Related Investments</b>
------------------	---

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.		Amount
1	N/A	
2		
All other program-related investments. See instructions.		
3		

**Total.** Add lines 1 through 3Form **990-PF** (2013)



**MATHEW & JOSEPHINE BIRNBAUM  
FOUNDATION**
**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	557,955.
b	Average of monthly cash balances	1b	32,000.
c	Fair market value of all other assets	1c	
d	<b>Total</b> (add lines 1a, b, and c)	1d	589,955.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	589,955.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	8,849.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	581,106.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	29,055.

**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	29,055.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	805.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	805.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	28,250.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	28,250.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	28,250.

**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	36,221.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	36,221.
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	5	0.
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	36,221.

**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 2012	(c) 2012	(d) 2013
<b>1</b> Distributable amount for 2013 from Part XI, line 7				<b>28,250.</b>
<b>2</b> Undistributed income, if any, as of the end of 2013				
<b>a</b> Enter amount for 2012 only			<b>0.</b>	
<b>b</b> Total for prior years:		<b>0.</b>		
<b>3</b> Excess distributions carryover, if any, to 2013:				
<b>a</b> From 2008	<b>32,071.</b>			
<b>b</b> From 2009	<b>14,893.</b>			
<b>c</b> From 2010	<b>13,588.</b>			
<b>d</b> From 2011	<b>6,885.</b>			
<b>e</b> From 2012	<b>9,310.</b>			
<b>f</b> Total of lines 3a through e	<b>76,747.</b>			
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4: <b>▶ \$ 36,221.</b>				
<b>a</b> Applied to 2012, but not more than line 2a			<b>0.</b>	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		<b>0.</b>		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	<b>0.</b>			
<b>d</b> Applied to 2013 distributable amount				<b>28,250.</b>
<b>e</b> Remaining amount distributed out of corpus	<b>7,971.</b>			
<b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	<b>0.</b>			<b>0.</b>
<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	<b>84,718.</b>			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b		<b>0.</b>		
<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>0.</b>		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions		<b>0.</b>		
<b>e</b> Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			<b>0.</b>	
<b>f</b> Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				<b>0.</b>
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	<b>0.</b>			
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7	<b>32,071.</b>			
<b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	<b>52,647.</b>			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2009	<b>14,893.</b>			
<b>b</b> Excess from 2010	<b>13,588.</b>			
<b>c</b> Excess from 2011	<b>6,885.</b>			
<b>d</b> Excess from 2012	<b>9,310.</b>			
<b>e</b> Excess from 2013	<b>7,971.</b>			



**MATHEW & JOSEPHINE BIRNBAUM  
FOUNDATION**

**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 Paid during the year</b>				
ADDISON COUNTY HOME HEALTH AND HOSPICE	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	25.
AMERICAN INSTITUTE FOR CANCER RESEARCH	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	250.
BARRE OPERA HOUSE	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
BLYTHEDALE CHILDREN'S HOSPITAL	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	10,000.
BOCA RATON COMMUNITY HOSPITAL	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	25.
<b>Total</b>	<b>SEE CONTINUATION SHEET(S)</b>			<b>32,452.</b>
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>				<b>0.</b>

▶ 3a

▶ 3b

**Part XVI-A**

- 1 Program service revenue:
  - a \_\_\_\_\_
  - b \_\_\_\_\_
  - c \_\_\_\_\_
  - d \_\_\_\_\_
  - e \_\_\_\_\_
  - f \_\_\_\_\_
  - g Fees and contracts from government agencies
- 2 Membership dues and assessments
- 3 Interest on savings and temporary cash investments
- 4 Dividends and interest from securities
- 5 Net rental income or (loss) from real estate:
  - a Debt-financed property
  - b Not debt-financed property
- 6 Net rental income or (loss) from personal property
- 7 Other investment income
- 8 Gain or (loss) from sales of assets other than inventory
- 9 Net income or (loss) from special events
- 10 Gross profit or (loss) from sales of inventory
- 11 Other revenue:
  - a \_\_\_\_\_
  - b \_\_\_\_\_
  - c \_\_\_\_\_
  - d \_\_\_\_\_
  - e \_\_\_\_\_

Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
		14	1.	
		14	10,437.	
		14	700.	
				39,373.
	0.		11,138.	39,373.
				50,511.

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

**Part XVI-B**[illegible]

<b>Part XVII</b>	<b>Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations</b>
------------------	--

		Yes	No
<b>1</b>	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
<b>a</b>	Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash		X
	(2) Other assets		X
<b>b</b>	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization		X
	(2) Purchases of assets from a noncharitable exempt organization		X
	(3) Rental of facilities, equipment, or other assets		X
	(4) Reimbursement arrangements		X
	(5) Loans or loan guarantees		X
	(6) Performance of services or membership or fundraising solicitations		X
<b>c</b>	Sharing of facilities, equipment, mailing lists, other assets, or paid employees		X
<b>d</b>	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.		

[illegible]

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

**b** If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

<b>Sign Here</b>	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge				May the IRS discuss this return with the preparer shown below (see instr 1)? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	Signature of officer or trustee <i>Josephine Brubaker</i>		Date <i>5/1/14</i>		Title <b>MGR DIRECTOR</b>	
<b>Paid Preparer Use Only</b>	Print/Type preparer's name <b>LEONARD A GERONEMUS CPA</b>		Preparer's signature <i>Lea CPA</i>		Date <i>6/26/14</i>	
	Check <input type="checkbox"/> if self-employed		PTIN <b>P00010935</b>			
	Firm's name <b>▶ LEONARD A GERONEMUS, CPA, PA</b>				Firm's EIN <b>▶ 65-0194520</b>	
Firm's address <b>▶ 2505 NW BOCA RATON BLVD, SUITE 202 BOCA RATON, FL 33431-6652</b>				Phone no. <b>561.241.1040</b>		

Form **990-PF** (2013)

MATHEW & JOSEPHINE BIRNBAUM  
FOUNDATION

13-6947903

**Part XV** **Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

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
CUTLER MEMORIAL LIBRARY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
DOCTORS WITHOUT BOARDERS	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	100.
EARTH ISLAND INSTITUTE	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	300.
ELDERLY SERVICES	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	100.
FAYUN MONASTERY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	1,500.
FORESTS FOREVER FOUNDATION	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	500.
FREE SPEECH TV	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	300.
FRIENDS OF ILSLEY LIBRARY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	25.
PRESIDENT AND FRIENDS OF MIDDLEBURY COLLEGE	NO RELATIONSHIP	SUPPORTING ORG. UNSPEC TYPE	UNRESTRICTED	100.
GIVE DIRECTLY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	5,000.
Total from continuation sheets				21,952.

MATHEW & JOSEPHINE BIRNBAUM  
FOUNDATION

13-6947903

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

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
HENRY SHELDON MUSEUM	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	50.
HOMELESS SERVICES CENTER	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	1,200.
INSTITUTE FOR HUMAN UNDERSTANDING	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	3,500.
HOSPICE OF SANTA CRUZ	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	500.
JORU FOUNDATION	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	300.
KELLOGG-HUBBARD LIBRARY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
KIM SON MONASTERY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	500.
LINK MEDIA INC	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	300.
METTA FOREST MONASTERY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	1,000.
NATURAL RESOURCES DEFENSE COUNCIL	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	300.
Total from continuation sheets				



MATHEW & JOSEPHINE BIRNBAUM  
FOUNDATION

13-6947903

**Part XV** Supplementary Information

**3 Grants and Contributions Paid During the Year (Continuation)**

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
SANGHAPALA FOUNDATION/ABHAYAGIRI MONASTERY	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	1,000.
SECOND HARVEST FOOD BANK	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	1,500.
SHELBURNE MUSEUM	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	50.
SOUTHERN POVERTY LAW CENTER	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	1,500.
SUPPORT FOR PEOPLE WITH ORAL AND HEAD AND NECK CANCER	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
TOWN HALL THEATER	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	50.
TOWN OF PLAINFIELD	NO RELATIONSHIP	EXEMPT ORGANIZATION	UNRESTRICTED	200.
TWINFIELD TOGETHER MENTORING PROGRAM	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
UCSC FOUNDATION SCHOLARSHIPS FOR REGENTS SCHOLARS	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	500.
UNITED STATES HOLOCAUST MEMORIAL MUSEUM	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
Total from continuation sheets				

MATHEW & JOSEPHINE BIRNBAUM  
FOUNDATION

13-6947903

**Part XV** Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)				
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
VERMONT FOOD BANK	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	25.
VERMONT PUBLIC INTEREST RESEARCH GROUP EDUCATION FUND	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
VERMONT PUBLIC RADIO	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	52.
VERMONT ETV	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	100.
WGDR/WGDH GODDARD COLLEGE COMM RADIO	NO RELATIONSHIP	PUBLIC CHARITY	UNRESTRICTED	200.
Total from continuation sheets				

## FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
NATIONAL BANK OF MIDDLEBURY	1.	1.	
TOTAL TO PART I, LINE 3	1.	1.	

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
NEUBERGER BERMAN	10,437.	0.	10,437.	10,437.	
TO PART I, LINE 4	10,437.	0.	10,437.	10,437.	

## FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
NON-DIVIDEND DISTRIBUTIONS	700.	700.	
TOTAL TO FORM 990-PF, PART I, LINE 11	700.	700.	

## FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX RETURN PREPARATION	2,985.	0.		2,985.
BOOKKEEPING SERVICES	684.	0.		684.
TO FORM 990-PF, PG 1, LN 16B	3,669.	0.		3,669.

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT MANAGEMENT FEES	9,794.	9,794.			0.
TO FORM 990-PF, PG 1, LN 16C	9,794.	9,794.			0.

FORM 990-PF	TAXES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
STATE OF NEW YORK	100.	0.			100.
FOREIGN TAX	132.	132.			0.
TO FORM 990-PF, PG 1, LN 18	232.	132.			100.

FORM 990-PF	OTHER EXPENSES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT EXPENSE	335.	335.			0.
TO FORM 990-PF, PG 1, LN 23	335.	335.			0.

FORM 990-PF	CORPORATE STOCK		STATEMENT	8
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE		
200 ABBVIE INC	5,504.	10,562.		
100 ABBOTT LABORATORIES	0.	0.		
30 APPLE INC	13,706.	16,831.		
400 ARDMORE SHIPPING	5,600.	6,224.		
100 DEVON ENERGY CORP	0.	0.		
1000 COVANTA HOLDING CORP	13,975.	17,750.		
150 BAXTER INTERNATIONAL INC	0.	0.		

150 BERKSHIRE HATHAWAY INC	10,124.	17,784.
150 INTL BUSINESS MACHINES CORP	0.	0.
180 INTL BUSINESS MACHINES CORP	8,702.	33,763.
1800 SCORPIO TANKERS INC	0.	0.
3100 SCORPIO TANKERS INC	21,750.	36,549.
200 CARDINAL HEALTH INC	0.	0.
2100 XEROX CORP	0.	0.
225 PIONEER NATURAL RESOURCES	0.	0.
125 PIONEER NATURAL RESOURCES	3,823.	23,009.
300 ANADARKO PETROLEUM CORP	6,583.	23,796.
300 INTEL CORP	0.	0.
300 ORACLE CORP	10,346.	11,478.
300 PACKAGING CORP AMERICA	8,127.	18,984.
300 POTASH CORP OF SASKATCHEWAN INC	0.	0.
350 OCCIDENTAL PETE CORP	26,567.	33,285.
400 ENSCO INTERNATIONAL INC	22,872.	22,872.
400 SEADRILL LIMITED SHS	14,331.	16,432.
450 CABOT OIL & GAS	0.	0.
500 CABOT OIL & GAS	7,543.	19,380.
450 METLIFE INC	0.	0.
450 TRAVELERS COMPANIES INC	21,424.	40,743.
50 APACHE CORP	0.	0.
500 PFIZER INC	8,616.	15,315.
550 ACTIVISION BLIZZARD INC	0.	0.
550 VIACOM INC	0.	0.
300 VIACOM INC	4,341.	26,202.
700 SYMANTEC CORP	0.	0.
800 TSAKOS ENERGY NAVIG	0.	0.
850 ROWAN COMPANIES INC	0.	0.
950 ROWAN COMPANIES INC	32,602.	33,592.
900 MICROSOFT CORP	0.	0.
850 MICROSOFT CORP	24,949.	31,799.
900 UNUM GROUP	0.	0.
500 UNUM GROUP	10,211.	17,540.
200 CARPENTER TECHNOLOGY	9,495.	12,440.
400 DYNAGAS LNG PARTNERS LP	7,200.	9,020.
600 EMC CORP-MASS	15,206.	15,090.
300 NAVIGATOR HOLDINGS	5,700.	8,082.
4000 NAVIOS MARITIME ACQUISITION CORP	11,400.	17,600.
1350 NEWS CORPORATION CL A	20,745.	24,327.
150 PNC FINANCIAL	10,024.	11,637.
200 RANGE RESOURCES CORP	14,899.	16,862.
600 SCORPIO BULKERS INC	5,850.	6,030.
200 SEADRILL PARTNERS	5,900.	6,200.
850 STEALTHGAS INC	8,500.	8,662.
TOTAL TO FORM 990-PF, PART II, LINE 10B	396,615.	609,840.

NEUBERGER BERMAN	
Account No:	541-20753
Account Name:	MATHEW & JOSEPHINE BIRNBAUM
Taxpayer Identification Number:	13-6947903
Account Executive No:	002
CORRECTED:	03/14/14

NEUBERGER BERMAN LLC  
 OH4-RM00  
 P.O. BOX 183211  
 COLUMBUS, OH 43218  
 FOR UNDELIVERABLE MAIL ONLY

2013 Supplemental Gain or Loss Information

Short Term Gain or Loss from Transactions not Reported to IRS

Date of Sale or Disposition	Symbol	Quantity	Gross Proceeds	Cost or Other Basis	Realized Gain or Loss
02/05/13 H	CARDINAL-HEALTH INC	CAH	14149Y108	200.00000	8,914.08 7,904.98 1,009.70
05/13/13 H	MICROSOFT CORP	MSFT	594918104	200.00000	6,547.89 5,924.58 623.31
11/22/13 H	POTASH CORP OF SASKATCHEWAN INC CANADIAN LISTED	POT	73755L107	50.00000	1,562.35 1,957.84 (395.49)
11/22/13 H	POTASH CORP OF SASKATCHEWAN INC CANADIAN LISTED	PQT	73755L107	150.00000	4,687.06 6,351.71 (1,664.65)
03/08/13 H	TSAKOS ENERGY NAVIG USD1	TNP	G9108L108	800.00000	3,212.72 5,042.48 (1,829.76)
05/13/13 H	VIACOM INC CLASS B	VIAB	92553P201	150.00000	10,253.97 6,941.65 3,312.32

6 ITEMS - Total Short Term Not Reported Transactions Gain or Loss 35,178.67 34,123.24 1,055.43

NEUBERGER BERMAN LLC 0144-RM00 P.O. BOX 183211 COLUMBUS, OH. 43218 FOR UNDELIVERABLE MAIL ONLY		Account No: 541-20753 Account Name: MATHEW & JOSEPHINE BIRNBAUM Taxpayer Identification Number: 13-5947903 Account Executive No: 002 CORRECTED: 03/14/14	NEUBERGER BERMAN
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**2013 Supplemental Gain/Loss Information**

**Long Term Gain or Loss from Transactions not Reported to IRS**

Date of Sale or Exchange	Date of Acquisition	Description	Symbols	Quantity	Gross Proceeds Less Commissions and Option Premium	Cost or Other Basis	Realized Gain/Loss
01/11/13 H	05/01/09	ABBOTT LABORATORIES	ABT	100.00000	3,343.35	1,987.53	1,355.82
		002824100					
11/12/13 H	03/10/11	ACTIVISION BLIZZARD INC	ATVI	550.00000	9,362.21	6,089.65	3,272.56
		00507V109					
10/28/13 H	03/15/08	APACHE CORP	APA	50.00000	4,517.59	3,246.91	1,270.68
		037411105					
11/22/13 H	04/17/12	BAXTER INTERNATIONAL INC	BAX	75.00009	5,105.24	4,114.47	990.77
		071813109					
12/12/13 H	04/17/12	BAXTER INTERNATIONAL INC	BAX	75.00000	5,005.17	4,114.46	891.71
		071813109					
03/04/13 H	02/10/12	CABOT OIL & GAS CORP	COG	50.00000	3,150.98	1,658.52	1,492.46
		127097103					
03/04/13 H	01/24/12	CABOT OIL & GAS CORP	COG	150.00000	9,452.95	4,751.28	4,701.67
		127097103					
05/16/13 H	03/17/10	DEVON ENERGY CORPORATION NEW	DVN	100.00000	5,816.58	6,738.57	(921.99)
		25179M103					
09/06/13 H	09/09/11	INTEL CORP	INTC	300.00000	6,769.80	5,979.00	790.80
		458140100					
05/15/13 H	04/21/11	METLIFE INC	MET	200.00000	8,478.09	8,802.50	(324.41)
		59156R108					
05/15/13 H	03/03/11	METLIFE INC	MET	250.00000	10,597.61	10,812.50	(214.89)
		59156R108					
12/04/13 S	11/21/11	MICROSOFT CORP	MSFT	150.00000	5,819.46	3,781.34	2,058.12
		584918104					
10/04/13 H	05/07/04	PIONEER NATURAL RESOURCES COMPANY	PXD	100.00000	20,080.47	3,058.58	17,021.89
		723787107					

If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

NEUBERGER BIRNBAUM OH4-RM00 P.O. BOX 183211 COLUMBUS, OH 43218 FOR UNDELIVERABLE MAIL ONLY		Account No: 541-20753 Account Name: MATHEW & JOSEPHINE BIRNBAUM Taxpayer Identification Number: 13-6947903	NEUBERGER BERMAN
		Account Executive No: 002	
		CORRECTED: 03/14/14	

# 2013 Supplemental Gain or Loss Information (continued)

## Long Term Gain or Loss from Transactions not Reported to IRS

Date of Sale or Exchange	Date of Acquisition	Description	Symbol	CUSIP	Quantity	Gross Proceeds, Less Commission and Option Premium	Cost or Other Basis	Realized Gain/Loss
11/22/13 H	10/17/12	***POTASH CORP OF SASKATCHEWAN INC CANADIAN LISTED	POT	73755L107	100.00000	3,124.70	4,110.23	(985.53)
11/22/13 H	10/03/12	***POTASH CORP OF SASKATCHEWAN INC CANADIAN LISTED	POT	73755L107	200.00000	6,249.41	8,310.45	(2,061.05)
01/24/13 H	01/11/11	SYMANTEC CORPORATION	SYMC	871503108	50.00000	1,076.68	853.72	222.96
01/24/13 H	07/30/09	SYMANTEC CORPORATION	SYMC	871503108	650.00000	13,996.85	10,029.57	3,967.28
03/15/13 H	08/04/10	UNUM GROUP	UNM	91528Y106	150.00000	4,144.41	3,266.18	878.23
03/15/13 H	11/08/11	UNUM GROUP	UNM	91029Y106	250.00000	6,907.34	5,573.05	1,334.29
09/17/13 H	02/27/09	VIACOM INC CLASS B	VIAB	92553P201	50.00000	4,161.73	772.53	3,389.20
09/17/13 H	08/03/12	VIACOM INC CLASS B	VIAB	92553P201	50.00000	4,161.73	2,313.88	1,847.85
04/11/13 H	07/11/11	XEROX CORP	XRXX	984121103	100.00000	929.93	1,036.07	(106.14)
04/11/13 H	03/14/11	XEROX CORP	XRXX	984121103	800.00000	5,579.57	6,188.82	(609.25)
07/09/13 H	03/14/11	XEROX CORP	XRXX	984121103	800.00000	5,631.62	6,188.82	(557.20)
03/11/13 H	07/11/11	XEROX CORP	XRXX	984121103	800.00000	6,899.68	8,288.56	(1,388.88)

25 ITEMS - Total Long Term Not Reported Transactions Gain or Loss

160,364.15 122,047.20 38,316.95

If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.