

NEUBERGER BERMAN INC  
Form 8-K  
July 30, 2003

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**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

**Washington, D.C. 20549**

**FORM 8-K**

**CURRENT REPORT**

Pursuant to Section 13 or 15 (d) of the

Securities Exchange Act of 1934

**DATE OF REPORT** (Date of earliest event reported): July 29, 2003

**NEUBERGER BERMAN INC.**

(Exact name of registrant as specified in its charter)

**COMMISSION FILE NUMBER** 001-15361

**DELAWARE**  
(State or other jurisdiction of  
incorporation or organization)

**06-1523639**  
(I.R.S. Employer  
Identification No.)

**605 Third Avenue**

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New York, NY 10158

(Address of principal executive offices)

(212) 476-9000

(Registrant's telephone number, including area code)

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**ITEM 5. OTHER EVENTS**

On July 29, 2003, Neuberger Berman Inc. (the Corporation ), announced that its Board of Directors declared a cash dividend with respect to the second quarter 2003 in the amount of \$0.075 per share. The dividend will be payable on August 20, 2003, to stockholders of record at the close of business on August 8, 2003.

A copy of the press release issued by the Corporation is attached as Exhibit 99.1 and incorporated herein by reference.

**ITEM 7. FINANCIAL STATEMENTS AND EXHIBITS**

(c) Exhibits

<u>Exhibit No.</u>	<u>Document</u>
Additional Exhibits	
99.1	Press release issued by the Corporation on July 29, 2003, with respect to declaration of its second quarter 2003 cash dividend.
99.2	Press release issued by the Corporation on July 29, 2003, with respect to the Corporation's results of operations for the quarter ended June 30, 2003.
99.3	Unaudited Condensed Consolidated Statements of Income for the three months and six months ended June 30, 2003, and certain supplemental data with respect thereto.

**ITEM 12. RESULTS OF OPERATIONS AND FINANCIAL CONDITION.**

On July 29, 2003, the Corporation announced its results of operations for the quarter ended June 30, 2003. A copy of the related press release is filed as Exhibit 99.2 to this Current Report on Form 8-K and is incorporated herein by reference.

In addition, in conjunction with the announcement of its results of operations, the Corporation distributed additional financial information, including unaudited Condensed Consolidated Statements of Income for the three and six months ended June 30, 2003, and certain supplemental data with respect thereto, all of which are filed as Exhibit 99.3 hereto and incorporated herein by reference.

**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned thereunto duly authorized.

Neuberger Berman Inc.  
(Registrant)

Date: July 29, 2003

By:

/s/ MATTHEW S. STADLER

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Matthew S. Stadler  
Chief Financial Officer

**EXHIBIT INDEX**

- 99.1 Press release issued by Neuberger Berman Inc. on July 29, 2003, with respect to the declaration of its second quarter 2003 cash dividend.
- 99.2 Press release issued by Neuberger Berman Inc. on July 29, 2003, reporting its results of operations for the quarter ended June 30, 2003.
- 99.3 Unaudited Condensed Consolidated Statements of Income for the three and six months ended June 30, 2003, and certain supplemental data with respect thereto.
- D Stock Option (Right to Buy) \$ 29.36 04/27/2001 04/27/2011 Common Stock 3,000 3,000 D Stock Option (Right to Buy) \$ 32.08 04/25/2002 04/25/2012 Common Stock 3,000 3,000 D Stock Option (Right to Buy) \$ 28.43 04/24/2003 04/24/2013 Common Stock 3,000 3,000 D Stock Option (Right to Buy) \$ 33.55 04/23/2004 04/23/2014 Common Stock 3,000 3,000 D Stock Option (Right to Buy) \$ 32.53 12/03/2006 12/03/2014 Common Stock 200,000 200,000 D Stock Option (Right to Buy) \$ 39.35 (7) 02/16/2016 Common Stock 110,000 110,000 D Deferred Stock Unit \$ 0 (3) (4) (4) Common Stock 13,302.33 13,302.33 D Restricted Stock (3) (5) (5) Common Stock 60,000 60,000 D Stock Option (Right to Buy) \$ 50.22 02/15/2007 A 200,000 (1) 02/15/2017 Common Stock 200,000 (2) 200,000 D Restricted Stock (3) 02/15/2007 A 46,700 (6) (6) Common Stock 46,700 \$ 0 46,700 D

**Reporting Owners**

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MICHAELS JACK D SNAP-ON INCORPORATED 2801 80TH STREET KENOSHA, WI 53141	X		Chairman, President & CEO	

**Signatures**

Susan Marrinan under Power of Attorney for Jack D. Michaels 02/20/2007

\*\*Signature of Reporting Person Date

**Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Option would vest earlier upon retirement.
- (2) The transaction was an option grant. Accordingly, the reporting person did not pay a price to obtain the option.
- (3) 1 for 1.
- (4) Scheduled for issuance in one lump sum payment after the earliest of August 30, 2012, or on death or retirement from the Board.
- (5) The stock vests on the achievement of certain company initiatives over the 2006-2008 period.
- (6) The stock vests on the achievement of certain company initiatives over the 2007-2009 period.
- (7) One half of the option vested on February 16, 2007 and the remainder vests on February 16, 2008.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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