

Edgar Filing: NEUBERGER BERMAN INC - Form 8-K

NEUBERGER BERMAN INC  
Form 8-K  
October 24, 2001

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): October 22, 2001

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  
New York, NY 10158  
(Address of principal executive offices)

(212) 476-9000  
(Registrant's telephone number, including area code)

ITEM 5. OTHER EVENTS

On October 22, 2001, Neuberger Berman Inc. (the "Corporation") announced that it entered into an agreement to acquire the assets of Oscar Capital Management, LLC, which has over \$800 million in assets under management. A copy of the press release issued by the Corporation is attached as Exhibit 99.1 and incorporated herein by reference.

In addition, on October 23, 2001, the Corporation announced that its Board of Directors declared the Corporation's cash dividend for the third quarter of 2001, in the amount of \$0.075 per share. The dividend will be payable on November 14, 2001 to stockholders of record at the close of business on November 2, 2001. A copy of the press release issued by the Corporation is attached as Exhibit 99.2 and incorporated herein by reference.

ITEM 7. FINANCIAL STATEMENTS AND EXHIBITS

Exhibits

Exhibit No.      Document

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- 99.1 Press release issued by the Corporation on October 22, 2001 reporting that it entered into an agreement to acquire the assets of Oscar Capital Management, LLC, which has over \$800 million in assets under management.
- 99.2 Press release issued by the Corporation on October 23, 2001 with respect to the declaration of a third quarter cash dividend.
- 99.3 Press release issued by the Corporation on October 23, 2001 with respect to its results of operations for the third quarter ended September 30, 2001.

### ITEM 9. REGULATION FD DISCLOSURE

The Corporation is furnishing under Item 9 of this Current Report on Form 8-K the information included as Exhibit 99.3 to this Report. Exhibit 99.3 is the Corporation's press release, dated October 23, 2001, reporting the Corporation's results of operations for the third quarter ended September 30, 2001.

The information in this Item 9, and the related Exhibit 99.3, is furnished pursuant to Regulation FD, and shall not be deemed to be "filed" for purposes of Section 18 of the Securities Exchange Act of 1934 or otherwise subject to the liabilities of that Section.

### 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: October 24, 2001

By: /s/ Matthew Stadler  
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Matthew S. Stadler  
Chief Financial Officer

### EXHIBIT INDEX

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- 99.3 Press release issued by Neuberger Berman Inc. on October 23, 2001, reporting the Corporation's results of operations for the third quarter ended September 30, 2001.