

NEIMAN MARCUS GROUP INC  
Form 4  
October 07, 2005

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287  
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BALK MARK D**

2. Issuer Name and Ticker or Trading Symbol  
**NEIMAN MARCUS GROUP INC [NMG.B]**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
**GOULSTON & STORRS, PC, 400 ATLANTIC AVENUE**

3. Date of Earliest Transaction (Month/Day/Year)  
**10/06/2005**

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  Other (specify below)  
Member of Schedule 13D group

(Street)  
**BOSTON, MA 02110**

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V Amount (D) Price			
Class B Common Stock	10/06/2005		U	602,631 D \$ 100 0		I	see footnotes (1) (2) (3) (4) (5)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474 (9-02)

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**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

BALK MARK D  
GOULSTON & STORRS, PC  
400 ATLANTIC AVENUE  
BOSTON, MA 02110

Member of Schedule 13D group

## Signatures

/s/ Mark D. Balk 10/07/2005

\_\_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) Reflects the shares disposed of pursuant to the Agreement and Plan of Merger, dated May 1, 2005, among The Neiman Marcus Group, Inc., Newton Acquisition, Inc. and Newton Acquisition Merger Sub, Inc. that are held indirectly by the reporting person as trustee of the following trusts: 18,078 shares owned indirectly as trustee of the Amy Smith Berylson 1998 Grantor Retained Annuity Trust f/b/o Jennifer L. Berylson; 18,078 shares owned indirectly as trustee of the Amy Smith Berylson 1998 Grantor Retained Annuity Trust f/b/o Elizabeth S. Berylson; 18,078 shares owned indirectly as trustee of the Amy Smith Berylson 1998 Grantor Retained Annuity Trust f/b/o James T. Berylson;

(2) 16,069 shares owned indirectly as trustee of the Robert A. Smith 1998 Grantor Retained Annuity Trust f/b/o Jackson A. Smith; 16,070 shares owned indirectly as trustee of the Robert A. Smith 1998 Grantor Retained Annuity Trust f/b/o Madeleine W. Smith; 16,069 shares owned indirectly as trustee of the Robert A. Smith 1998 Grantor Retained Annuity Trust f/b/o Ryan A. Smith; 23,803 shares owned indirectly as trustee of the Debra S. Knez 1998 Grantor Retained Annuity Trust f/b/o Jessica M. Knez; 23,802 shares owned indirectly as trustee of the Debra S. Knez 1998 Grantor Retained Annuity Trust f/b/o Andrew P. Knez; 5,376 shares owned indirectly as trustee of the J-J-E 1988 Trust f/b/o Jennifer L. Berylson; 5,376 shares owned indirectly as trustee of the J-J-E 1988 Trust f/b/o James T. Berylson; 5,376 shares owned indirectly by Mark D. Balk as trustee of the J-J-E 1988 Trust f/b/o Elizabeth S. Berylson;

(3) 6,199 shares owned indirectly as trustee of the Debra and Brian Knez 1988 Childrens Trust f/b/o Jessica M. Knez; 6,199 shares owned indirectly as trustee of the Debra and Brian Knez 1988 Childrens Trust f/b/o Andrew P. Knez; 4,741 shares owned indirectly as trustee of the Robert Smith and Dana Weiss 1994 Childrens Trust f/b/o Madeleine W. Smith; 4,741 shares owned indirectly as trustee of the Robert

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Smith and Dana Weiss 1994 Childrens Trust f/b/o Ryan A. Smith; 4,741 shares owned indirectly as trustee of the Robert Smith and Dana Weiss 1994 Childrens Trust f/b/o Jackson A. Smith;

- (4) 48,208 shares owned indirectly as trustee of the Amy Smith Berylson 1978 Insurance Trust u/d/t dated September 5, 1978; 48,208 shares owned indirectly as trustee of the Robert Smith Insurance Trust u/d/t dated September 5, 1978; 48,208 shares owned as trustee of the Debra Smith Knez Insurance Trust u/d/t dated September 5, 1978; 71,416 shares owned indirectly as trustee of the Nancy Lurie Marks 1976 Trust f/b/o Cathy Lurie u/d/t dated December 16, 1976; 96,416 shares owned indirectly as trustee of the Nancy Lurie Marks 1976 Trust f/b/o Peter Lurie u/d/t dated December 16, 1976; 28,997 shares owned indirectly as trustee of the Susan F. Smith Grantor Retained Annuity Trust 7 Years u/d/t dated August 10, 1994 f/b/o Amy Smith Berylson;

- (5) 28,997 shares owned indirectly as trustee of the Susan F. Smith Grantor Retained Annuity Trust 7 Years u/d/t dated August 10, 1994 f/b/o Robert A. Smith; 28,997 shares owned indirectly as trustee of the Susan F. Smith Grantor Retained Annuity Trust 7 Years u/d/t dated August 10, 1994 f/b/o Debra Smith Knez; 10,388 shares owned indirectly as trustee of the ADR Charitable Foundation and Trust u/d/t dated 11/1/68. The reporting person disclaims beneficial ownership of all of these shares and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for purposes of Section 16 or for any other purpose.

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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