Form **990-PF**

Department of the Treasury (77)
Internal Revenue Service

Return of Private Foundation
or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation

Note: *The foundation may be able to use a copy of this return to satisfy state reporting requirements.*

OMB No 1545-0052

2008

For calendar year 2008, or tax year beginning 7/01 **, 2008, and ending** 6/30 , 2009

G Check all that apply [ ] Initial return [ ] Final return [X] Amended return [ ] Address change [ ] Name change

Use the IRS label. Otherwise, print or type. See Specific Instructions.

ROCKEFELLER ARCHIVE CENTER
15 DAYTON AVENUE
SLEEPY HOLLOW, NY 10591

A Employer identification number: 20-8030810

B Telephone number (see the instructions): 914-366-6310

C If exemption application is pending, check here ► [ ]

D 1 Foreign organizations, check here ► [ ]

2 Foreign organizations meeting the 85% test, check here and attach computation ► [ ]

E If private foundation status was terminated under section 507(b)(1)(A), check here ► [ ]

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► [ ]

H Check type of organization: [X] Section 501(c)(3) exempt private foundation [ ] Section 4947(a)(1) nonexempt charitable trust [ ] Other taxable private foundation

I Fair market value of all assets at end of year *(from Part II, column (c), line 16)* ►$ 106,445,933.

J Accounting method [ ] Cash [X] Accrual [ ] Other (specify) *(Part I, column (d) must be on cash basis.)*

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) (see the instructions).)*

		(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 (att sch)	131,899,206.			
	2 Ck ► [ ] if the foundn is **not** req to att Sch B				
	3 Interest on savings and temporary cash investments	7,711.	7,711.	7,711.	
	4 Dividends and interest from securities		4,734,744.	4,734,744.	
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain/(loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a				
	7 Capital gain net income (from Part IV, line 2)				
	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/(loss) (att sch)				
	11 Other income (attach schedule) SEE STATEMENT 1	2,838.	2,838.	2,838.	
	12 **Total.** Add lines 1 through 11	131,909,755.	4,745,293.	4,745,293.	
OPERATING AND ADMINISTRATIVE EXPENSES	13 Compensation of officers, directors, trustees, etc	444,776.			444,776.
	14 Other employee salaries and wages	2,853,195.			2,740,078.
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach sch)				
	c Other prof fees (attach sch) SEE ST 2	1,126,824.	728,096.	728,096.	33,000.
	17 Interest				
	18 Taxes (attach schedule)				
	19 Depreciation (attach sch) and depletion	308,462.			
	20 Occupancy	960,608.			960,608.
	21 Travel, conferences, and meetings	80,583.			80,583.
	22 Printing and publications	398,133.			148,133.
	23 Other expenses (attach schedule) SEE STATEMENT 3	400,733.			183,337.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	6,573,314.	728,096.	728,096.	4,590,515.
	25 Contributions, gifts, grants paid PART XV	87,940.			87,940.
	26 **Total expenses and disbursements.** Add lines 24 and 25	6,661,254.	728,096.	728,096.	4,678,455.
	27 Subtract line 26 from line 12:				
	a **Excess of revenue over expenses and disbursements**	125,248,501.			
	b **Net investment income** (if negative, enter -0-)		4,017,197.		
	c **Adjusted net income** (if negative, enter -0-)			4,017,197.	

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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
ASSETS			
1 Cash — non-interest-bearing			
2 Savings and temporary cash investments		4,540,705.	4,540,705.
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 (attach schedule) (see the instructions)			
7 Other notes and loans receivable (attach sch) ►			
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 (attach schedule)			
b Investments — corporate stock (attach schedule)			
c Investments — corporate bonds (attach schedule)			
11 Investments – land, buildings, and equipment: basis ►			
Less accumulated depreciation (attach schedule) ►			
12 Investments – mortgage loans			
13 Investments – other (attach schedule) STATEMENT 4		82,070,438.	82,070,438.
14 Land, buildings, and equipment basis ► 20,140,123.			
Less accumulated depreciation (attach schedule) SEE STMT 5 ► 308,462.		19,831,661.	19,831,661.
15 Other assets (describe ► SEE STATEMENT 6)		3,129.	3,129.
16 **Total assets** (to be completed by all filers – see instructions Also, see page 1, item I)	0.	106,445,933.	106,445,933.
LIABILITIES			
17 Accounts payable and accrued expenses		323,139.	
18 Grants payable			
19 Deferred revenue			
20 Loans from officers, directors, trustees, & other disqualified persons			
21 Mortgages and other notes payable (attach schedule)			
22 Other liabilities (describe ► SEE STATEMENT 7)		3,061,778.	
23 **Total liabilities** (add lines 17 through 22)	0.	3,384,917.	
NET ASSETS OR FUND BALANCES			
Foundations that follow SFAS 117, check here ► [X] and complete lines 24 through 26 and lines 30 and 31.			
24 Unrestricted		81,163,366.	
25 Temporarily restricted			
26 Permanently restricted		21,897,650.	
Foundations that do not follow SFAS 117, check here ► [ ] and complete lines 27 through 31.			
27 Capital stock, trust principal, or current funds			
28 Paid-in or capital surplus, or land, building, and equipment fund			
29 Retained earnings, accumulated income, endowment, or other funds			
30 **Total net assets or fund balances** (see the instructions)	0.	103,061,016.	
31 **Total liabilities and net assets/fund balances** (see the instructions)	0.	106,445,933.	

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	0.
2 Enter amount from Part I, line 27a	2	125,248,501.
3 Other increases not included in line 2 (itemize) ►	3	
4 Add lines 1, 2, and 3	4	125,248,501.
5 Decreases not included in line 2 (itemize) ► SEE STATEMENT 8	5	22,187,485.
6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	103,061,016.

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 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1a	N/A			
b				
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				
b				
c				
d				
e				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

	(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	(l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
a				
b				
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**

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) (see the 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) N/A

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 (column (b) divided by column (c))
2007			
2006			
2005			
2004			
2003			

2 **Total** of line 1, column (d)	2	
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	
4 Enter the net value of noncharitable-use assets for 2008 from Part X, line 5	4	
5 Multiply line 4 by line 3	5	
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	
7 Add lines 5 and 6	7	
8 Enter qualifying distributions from Part XII, line 4	8	

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 the instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here ► ☐ and enter 'N/A' on line 1. Date of ruling letter: ________ (attach copy of ruling letter if necessary – see instructions)		
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► ☐ and enter 1% of Part I, line 27b	1	80,344.
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (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	80,344.
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	80,344.
6 Credits/Payments		
a 2008 estimated tax pmts and 2007 overpayment credited to 2008 — 6a		
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	0.
8 Enter any **penalty** for underpayment of estimated tax Check here ☒ if Form 2220 is attached	8	2,592.
9 **Tax due** If the total of lines 5 and 8 is more than line 7, enter **amount owed** SEE STATEMENT 9 ►	9	96,827.
10 **Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ►	10	
11 Enter the amount of line 10 to be **Credited to 2009 estimated tax** ► **Refunded** ►	11	

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?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)?	1b		X
*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*			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ► $ 0. **(2)** On foundation managers ► $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► $ 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*	2		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*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If 'Yes,' has it filed a tax return on **Form 990-T** for this year?	4b	N/A	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If 'Yes,' attach the statement required by General Instruction T*	5		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?	6		X
7 Did the foundation have at least $5,000 in assets at any time during the year? *If 'Yes,' complete Part II, column (c), and Part XV*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see the instructions) ► 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* SEE STATEMENT 10	8b		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 2008 or the taxable year beginning in 2008 (see instructions for Part XIV)? *If 'Yes,' complete Part XIV*	9	X	
10 Did any persons become substantial contributors during the tax year? *If 'Yes,' attach a schedule listing their names and addresses* SEE STATEMENT 11	10	X	

Part VII-A Statements Regarding Activities *Continued*

		Line	Yes	No
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 acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ► WWW.ROCKARCH.ORG

14 The books are in care of ► MICHAEL VITALE/ROCKEFELLER UNI Telephone no ► (212) 327-8704

Located at ► 1230 YORK AVENUE NEW YORK NY ZIP + 4 ► 10065

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** – Check here N/A ► ☐

and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A

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.

			Line	Yes	No
1 a	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?	☒ Yes ☐ No			
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No			
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☒ Yes ☐ No			
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☒ Yes ☐ 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)?	☐ Yes ☒ 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.)	☐ Yes ☒ 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 the instructions)?		1b		X
	Organizations relying on a current notice regarding disaster assistance check here	► ☐			
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 2008?		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 2008, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2008? If 'Yes,' list the years ► 20__ , 20__ , 20__ , 20__ .	☐ Yes ☒ No			
b	Are there any years listed in 2a for which the foundation is **not** 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 the instructions.)		2b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ► 20__ , 20__ , 20__ , 20__				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If 'Yes,' did it have excess business holdings in 2008 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 2008.)*		3b	N/A	
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 2008?		4b		X

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)? (see instructions) ☐ 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)? **5b** X

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 you answered 'Yes' to 6b, also 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? **7b** N/A

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 (see instructions).

(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
SEE STATEMENT 12		366,950.	66,699.	11,127.

2 Compensation of five highest-paid employees (other than those included on line 1 — see instructions). 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
KEN ROSE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASSOC DIR-RES 35	100,470.	45,662.	0.
ERWIN LEVOLD 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	SR RESEARCH A 35	82,610.	32,257.	0.
LEE HILTZIK 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35	82,160.	44,129.	0.
MICHELE HILTZIK 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35	72,181.	20,797.	0.
CAROL RADOVICH 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35	70,595.	17,080.	0.

Total number of other employees paid over $50,000 ► 13

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
THE ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK, NY 10065	FINANCIAL SERVICES	728,096.
BOOZ & COMPANY 101 PARK AVENUE NEW YORK, NY 10178	ORG. DEVELOPMENT	198,000.
ROSENDALE CONSULTING, INC 2152 CRESCENT DRIVE TARRYTOWN, NY 10591-5871	TRANSITION MGMT	150,000.
PATTERSON, BELKNAP, WEBB 1133 AVENUE OF THE AMERICAS NEW YORK, NY 10036-6731	LEGAL	65,202.
STEPHEN BURBECK 966 TUNNEL ROAD ASHEVILLE, NC 28805	IT CONSULTING	61,100.
Total number of others receiving over $50,000 for professional services ►		0

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
1 SEE STATEMENT 13	4,678,455.
2	
3	
4	

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
1 N/A	
2	
All other program-related investments See instructions 3	
Total. Add lines 1 through 3 ►	0.

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	95,643,650.
b Average of monthly cash balances		1b	1,707,404.
c Fair market value of all other assets (see instructions)		1c	
d **Total** (add lines 1a, b, and c)		1d	97,351,054.
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	97,351,054.
4 Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)		4	1,460,266.
5 **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	95,890,788.
6 **Minimum investment return.** Enter 5% of line 5		6	4,794,539.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ► [X] and do not complete this part.)

1 Minimum investment return from Part X, line 6 N/A		1	
2a Tax on investment income for 2008 from Part VI, line 5	2a		
b Income tax for 2008 (This does not include the tax from Part VI)	2b		
c Add lines 2a and 2b		2c	
3 Distributable amount before adjustments Subtract line 2c from line 1		3	
4 Recoveries of amounts treated as qualifying distributions		4	
5 Add lines 3 and 4		5	
6 Deduction from distributable amount (see instructions)		6	
7 **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1		7	

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	4,678,455.
b Program-related investments — total from Part IX-B	1b	
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 **Qualifying distributions** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	4,678,455.
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 (see instructions)	5	
6 **Adjusted qualifying distributions.** Subtract line 5 from line 4	6	4,678,455.

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)

N/A

	(a) Corpus	(b) Years prior to 2007	(c) 2007	(d) 2008
1 Distributable amount for 2008 from Part XI, line 7				
2 Undistributed income, if any, as of the end of 2007				
a Enter amount for 2007 only				
b Total for prior years 20___, 20___, 20___				
3 Excess distributions carryover, if any, to 2008:				
a From 2003				
b From 2004				
c From 2005				
d From 2006				
e From 2007				
f **Total** of lines 3a through e				
4 Qualifying distributions for 2008 from Part XII, line 4 ► $				
a Applied to 2007, but not more than line 2a				
b Applied to undistributed income of prior years (Election required — see instructions)				
c Treated as distributions out of corpus (Election required — see instructions)				
d Applied to 2008 distributable amount				
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2008 *(If an amount appears in column (d), the same amount must be shown in column (a))*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b				
c 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				
d Subtract line 6c from line 6b Taxable amount — see instructions				
e Undistributed income for 2007 Subtract line 4a from line 2a Taxable amount — see instructions				
f Undistributed income for 2008 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2009				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2003 not applied on line 5 or line 7 (see instructions)				
9 **Excess distributions carryover to 2009.** Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9:				
a Excess from 2004				
b Excess from 2005				
c Excess from 2006				
d Excess from 2007				
e Excess from 2008				

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 2008, enter the date of the ruling ▶ 6/20/06

b Check box to indicate whether the foundation is a private operating foundation described in section [X] 4942(j)(3) or [ ] 4942(j)(5)

	Tax year	Prior 3 years			
	(a) 2008	(b) 2007	(c) 2006	(d) 2005	(e) Total
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	4,017,197.				4,017,197.
b 85% of line 2a	3,414,617.				3,414,617.
c Qualifying distributions from Part XII, line 4 for each year listed	4,678,455.				4,678,455.
d Amounts included in line 2c not used directly for active conduct of exempt activities					0.
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c	4,678,455.				4,678,455.
3 Complete 3a, b, or c for the alternative test relied upon					
a 'Assets' alternative test – enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b 'Endowment' alternative test – enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed	3,196,359.				3,196,359.
c 'Support' alternative test – enter (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the organization 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))

NONE

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

NONE

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, (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number of the person to whom applications should be addressed.

SEE STATEMENT 14

b The form in which applications should be submitted and information and materials they should include

SEE STATEMENT FOR LINE 2A

c Any submission deadlines

SEE STATEMENT FOR LINE 2A

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

SEE STATEMENT FOR LINE 2A

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
a *Paid during the year* SEE STATEMENT 15				
Total			► **3a**	87,940.
b *Approved for future payment*				
Total			► **3b**	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	(e) Related or exempt function income (see the instructions)
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			14	7,711.	
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 MISCELLANEOUS INCOME			1	2,838.	
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				10,549.	
13 **Total.** Add line 12, columns (b), (d), and (e)				13	10,549.

(See worksheet in the instructions for line 13 to verify calculations)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See the instructions)
N/A	

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

			Yes	No
1	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?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	**1 a (1)**		X
	(2) Other assets	**1 a (2)**		X
b	Other transactions.			
	(1) Sales of assets to a noncharitable exempt organization	**1 b (1)**		X
	(2) Purchases of assets from a noncharitable exempt organization	**1 b (2)**		X
	(3) Rental of facilities, equipment, or other assets	**1 b (3)**		X
	(4) Reimbursement arrangements	**1 b (4)**		X
	(5) Loans or loan guarantees	**1 b (5)**		X
	(6) Performance of services or membership or fundraising solicitations	**1 b (6)**		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	**1 c**		X

d 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

(a) Line no	**(b)** Amount involved	**(c)** Name of noncharitable exempt organization	**(d)** Description of transfers, transactions, and sharing arrangements
N/A			

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		

SIGN HERE

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 or fiduciary) is based on all information of which preparer has any knowledge

► Robert W Rosendale | 7/27/2011 | ► COO

Signature of officer or trustee | Date | Title

Paid Preparer's Use Only			
Preparer's signature ► SELF-PREPARED	Date	Check if self-employed ► ☐	Preparer's Identifying number (See **Signature** in the instrs) [redacted]
Firm's name (or yours if self-employed), address, and ZIP code ► [redacted]		EIN ► [redacted]	
		Phone no ► [redacted]	

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 and 990-PF**
► **See separate instructions.**

OMB No 1545-0047

2008

Name of the organization
ROCKEFELLER ARCHIVE CENTER

Employer identification number
20-8030810

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 organizations filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor (Complete Parts I and II)

Special Rules –

☐ For a section 501(c)(3) organization filing Form 990, or Form 990-EZ, that met the 33-1/3% support test of the regulations under sections 509(a)(1)/170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (**1**) $5,000 or (**2**) 2% of the amount on Form 990, Part VIII, line 1h or 2% of the amount on Form 990-EZ, line 1 Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or Form 990-EZ, that received from any one contributor, during the year, aggregate contributions or bequests of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals Complete Parts I, II, and III.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or Form 990-EZ, that received from any one contributor, during the year, some contributions for use *exclusively* for religious, charitable, etc, purposes, but these contributions did not aggregate to 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 Do not complete any of the Parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc, contributions of $5,000 or more during the year) ► $__________

Caution: Organizations that are not covered by the General Rule and/or the Special Rules do not file Schedule B (Form 990, 990-EZ, or 990-PF) but they **must** answer 'No' on Part IV, line 2 of their Form 990, or check the box in the heading of their Form 990-EZ, or on line 2 of their Form 990-PF, to certify that they do not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Name of organization: ROCKEFELLER ARCHIVE CENTER

Employer identification number: 20-8030810

Part I Contributors (see instructions.)

(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	COMMONWEALTH FOUNDATION 225 STATE STREET HARRISBURG, NY 17101	$ 90,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
2	THE MARKLE FOUNDATION 10 ROCKEFELLER PLAZA, 16TH FL NEW YORK, NY 10020-1903	$ 65,800.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
3	WILLIAM T GRANT FOUNDATION 570 LEXINGTON AVENUE, 18TH FL NEW YORK, NY 10022-6837	$ 15,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
4	RUSSELL SAGE FOUNDATION 112 EAST 64TH STREET NEW YORK, NY 10065	$ 10,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
5	THE ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK, NY 10065	$ 129,217,901.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
6	THE ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK, NY 10065	$ 2,500,505.	Person [ ] Payroll [ ] Noncash [X] (Complete Part II if there is a noncash contribution.)

Name of organization: ROCKEFELLER ARCHIVE CENTER

Employer identification number: 20-8030810

Part II **Noncash Property** (see instructions.)

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
6	FINE ART AND MEMORABILIA COLLECTION	$ 2,500,505.	7/01/08

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization: ROCKEFELLER ARCHIVE CENTER

Employer identification number: 20-8030810

Part III ***Exclusively*** **religious, charitable, etc, individual contributions to section 501(c)(7), (8), or (10) organizations aggregating more than $1,000 for the year.** (Complete cols **(a)** through **(e)** and the following line entry)

For organizations completing Part III, enter total of *exclusively* religious, charitable, etc, contributions of **$1,000 or less** for the year (Enter this information once — see instructions) ► $ N/A

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

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

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

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

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

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

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

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

STATEMENT 1
FORM 990-PF, PART I, LINE 11
OTHER INCOME

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
MISCELLANEOUS INCOME	$ 2,838.	$ 2,838.	$ 2,838.
TOTAL	$ 2,838.	$ 2,838.	$ 2,838.

STATEMENT 2
FORM 990-PF, PART I, LINE 16C
OTHER PROFESSIONAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADVISORY & PROFESSIONAL SUPPORT	$ 398,728.			$ 33,000.
ROCKEFELLER UNIV. FINANCIAL	728,096.	$ 728,096.	$ 728,096.	
TOTAL	$ 1,126,824.	$ 728,096.	$ 728,096.	$ 33,000.

STATEMENT 3
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
DIGITIZING & MICROFILMING	$ 34,173.			$ 34,173.
MISCELLANEOUS	285,938.			68,542.
OFF SITE STORAGE	25,571.			25,571.
STAFF DEVELOPMENT/ TRAINING	55,051.			55,051.
TOTAL	$ 400,733.	$ 0.	$ 0.	$ 183,337.

STATEMENT 4
FORM 990-PF, PART II, LINE 13
INVESTMENTS - OTHER

	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
OTHER PUBLICLY TRADED SECURITIES			
THE ROCKEFELLER UNIVERSITY ENDOWMENT	MKT VAL	$ 82,070,438.	$ 82,070,438.
TOTAL		$ 82,070,438.	$ 82,070,438.

STATEMENT 5
FORM 990-PF, PART II, LINE 14
LAND, BUILDINGS, AND EQUIPMENT

CATEGORY	BASIS	ACCUM. DEPREC.	BOOK VALUE	FAIR MARKET VALUE
MACHINERY AND EQUIPMENT	$ 209,080.	$ 0.	$ 209,080.	$ 209,080.
BUILDINGS	12,592,538.	308,462.	12,284,076.	12,284,076.
LAND	4,838,000.		4,838,000.	4,838,000.
MISCELLANEOUS	2,500,505.	0.	2,500,505.	2,500,505.
TOTAL	$ 20,140,123.	$ 308,462.	$ 19,831,661.	$ 19,831,661.

STATEMENT 6
FORM 990-PF, PART II, LINE 15
OTHER ASSETS

	BOOK VALUE	FAIR MARKET VALUE
MISCELLANEOUS	$ 3,129.	$ 3,129.
TOTAL	$ 3,129.	$ 3,129.

STATEMENT 7
FORM 990-PF, PART II, LINE 22
OTHER LIABILITIES

DUE TO THE ROCKEFELLER UNIVERSITY	$ 3,061,778.
TOTAL	$ 3,061,778.

STATEMENT 8
FORM 990-PF, PART III, LINE 5
OTHER DECREASES

NET UNREALIZED DEPRECIATION ON UNITIZED INVESTMENT	$ 22,187,485.
TOTAL	$ 22,187,485.

STATEMENT 9
FORM 990-PF, PART VI, LINE 9
TAX DUE

TAX DUE	$ 82,936.
LATE PAYMENT PENALTY	8,436.
LATE INTEREST	5,455.
TOTAL	$ 96,827.

STATEMENT 10
FORM 990-PF, PART VII-A, LINE 8B
COPIES OF FORM 990-PF TO STATE OFFICIALS

NEW YORK STATE DEPARTMENT OF EDUCATION REQUIRES US TO INCLUDE ANNUAL REPORT INFORMATION AND 990-PF INFORMATION ONLY WITH AN APPROVED DEPARTMENT OF EDCUATION FORM.

STATEMENT 11
FORM 990-PF, PART VII-A, LINE 10
SUBSTANTIAL CONTRIBUTORS DURING THE TAX YEAR

NAME OF SUBSTANTIAL CONTRIBUTOR	ADDRESS OF SUBSTANTIAL CONTRIBUTOR
THE ROCKEFELLER UNIVERSITY	1230 YORK AVENUE NEW YORK, NY 10065

STATEMENT 12
FORM 990-PF, PART VIII, LINE 1
LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED	COMPEN-SATION	CONTRI-BUTION TO EBP & DC	EXPENSE ACCOUNT/ OTHER
NEIL L. RUDENSTINE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	CHAIRMAN 1.00	$ 0.	$ 0.	$ 0.
STEPHEN HEINTZ 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
DAVID ROCKEFELLER, JR 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
PAUL NURSE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
JUDITH RODIN 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
JACK MEYERS 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	PRESIDENT & CEO 35.00	205,475.	45,649.	7,088.
FRED BOHEN 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	SEC/TRES 1.00	25,000.	0.	0.

STATEMENT 12 (CONTINUED)
FORM 990-PF, PART VIII, LINE 1
LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED	COMPEN-SATION	CONTRI-BUTION TO EBP & DC	EXPENSE ACCOUNT/ OTHER
JAMES A. SMITH 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	VICE PRESIDENT 35.00	$ 136,475.	$ 21,050.	$ 4,039.
	TOTAL	$ 366,950.	$ 66,699.	$ 11,127.

STATEMENT 13
FORM 990-PF, PART IX-A, LINE 1
SUMMARY OF DIRECT CHARITABLE ACTIVITIES

DIRECT CHARITABLE ACTIVITIES	EXPENSES
ARCHIVAL PROGRAM - THE ROCKEFELLER ARCHIVE CENTER IS AN INDEPENDENT OPERATING FOUNDATION THAT PRESERVES AND MAKES AVAILABLE FOR RESEARCH THE ARCHIVAL COLLECTIONS OF MEMBERS OF THE ROCKEFELLER FAMILY, INSTITUTIONS AND ORGANIZATIONS FOUNDED BY ROCKEFELLER FAMILY MEMBERS (INCLUDING THE ROCKEFELLER FOUNDATION, ROCKEFELLER BROTHERS FUND, WINTHROP ROCKEFELLER FOUNDATION, GENERAL EDUCATION BOARD, ROCKEFELLER UNIVERSITY, POPULATION COUNCIL, ASIA SOCIETY, AND MANY OTHER ORGANIZATIONS) AND THE RECORDS OF OTHER PHILANTHROPIC AND SERVICE ORGANIZATIONS SUCH AS THE COMMONWEALTH FUND, RUSSELL SAGE FOUNDATION, W.T. GRANT FOUNDATION, MARKLE FOUNDATION, THE SOCIAL SCIENCE RESEARCH COUNCIL AND THE FOUNDATION CENTER. THE CENTER ALSO HOLDS EXTENSIVE COLLECTIONS OF THE PERSONAL PAPERS OF TRUSTEES, OFFICERS, FACULTY, AND ASSOCIATES WHO WERE AFFILIATED WITH THESE INSTITUTIONS.	$ 4,678,455.

THE ARCHIVE CENTER IS LOCATED IN HILLCREST, A HOME OF WESTCHESTER COUNTY FIELD STONE BUILT FOR MARTHA BAIRD ROCKEFELLER (1895-1971), THE SECOND WIFE OF JOHN D. ROCKEFELLER, JR. (1874-1960). THE HOUSE WAS DESIGNED BY MOTT B. SCHMIDT AND WAS COMPLETED IN 1963. MRS. ROCKEFELLER PERSONALLY PLANNED THE FURNISHINGS OF THE HOUSE, BUT ADVANCING AGE AND ILLNESS PREVENTED HER FROM LIVING IN IT. AFTER HER DEATH, THE HOUSE WAS GIVEN TO THE ROCKEFELLER BROTHERS FUND AS PART OF HER RESIDUAL ESTATE. IN MARCH 1974 THE ROCKEFELLER BROTHERS FUND GAVE THE HOUSE AND THE SURROUNDING 24 ACRES OF GROUNDS FOR USE AS THE ROCKEFELLER ARCHIVE CENTER.

THE HOUSE PROVIDES WORK SPACE FOR BOTH RESEARCHERS AND STAFF AND INCLUDES A FEW ROOMS WHERE ROCKEFELLER MEMORABILIA ARE ON DISPLAY. RESEARCHERS WHO VISIT THE RAC WORK IN THE READING ROOM ON THE SECOND FLOOR OF THE HOUSE AND MAY USE THE RESEARCHERS' LOUNGE ON THE FIRST FLOOR.

THE CENTER'S READING ROOM IS OPEN TO RESEARCHERS ON WEEKDAYS FROM 9:00 A.M. UNTIL 5:15 P.M.. RESEARCH APPOINTMENTS ARE REQUIRED. APPOINTMENTS MUST BE MADE WITH, AND CONFIRMED BY, A STAFF MEMBER IN ADVANCE OF A RESEARCH VISIT. PHOTO IDENTIFICATION IS REQUIRED. RESEARCHERS ARE ADVISED TO CONTACT THE CENTER TO MAKE AN APPOINTMENT BEFORE MAKING TRAVEL PLANS. DRIVING DIRECTIONS, A LISTING OF THE CENTER'S HOLIDAY CLOSINGS AND LOCAL ACCOMMODATION INFORMATION IS AVAILABLE AT THE RESEARCHER INFORMATION SECTION OF THIS WEBSITE. RESEARCHERS ARE INVITED TO WRITE TO THE CENTER, DESCRIBING THEIR PROJECTS IN SPECIFIC TERMS. THE STAFF WILL RESPOND WITH A DESCRIPTION

STATEMENT 13 (CONTINUED)
FORM 990-PF, PART IX-A, LINE 1
SUMMARY OF DIRECT CHARITABLE ACTIVITIES

DIRECT CHARITABLE ACTIVITIES	EXPENSES
OF THE SCOPE AND CONTENT OF RELEVANT MATERIALS IN THE COLLECTIONS.	

RESEARCH & EDUCATION -
THE RESEARCH AND EDUCATION DEPARTMENT OVERSEES MANY OF THE EXTERNAL PROGRAMS OF THE ROCKEFELLER ARCHIVE CENTER. IT ADMINISTERS A COMPETITIVE GRANT PROGRAM THAT AWARDS 40 TO 50 RESEARCH GRANTS EACH YEAR TO GRADUATE STUDENTS, FACULTY MEMBERS, AND INDEPENDENT SCHOLARS. IT ORGANIZES AND HOSTS SEVERAL WORKSHOPS AND CONFERENCES EACH YEAR. AND STAFF MEMBERS ON THE RESEARCH AND EDUCATION TEAM EDIT AND PUBLISH A SERIES OF RESEARCH REPORTS DESCRIBING SCHOLARLY WORK AT THE RAC, A PUBLISHING PROGRAM THAT IS NOW PRIMARILY ELECTRONIC AND WEB-BASED.

THE 2009 RENOVATION OF THE ARCHIVE CENTER'S CARRIAGE HOUSE PROVIDES SPACE FOR THE RESEARCH AND EDUCATION STAFF AS WELL AS THREE TO SIX VISITING SCHOLARS. THE SCHOLAR-IN-RESIDENCE PROGRAM SERVES RESEARCHERS WHO HAVE DONE RESEARCH AT THE ARCHIVE CENTER AND LEARNED THAT THEY NEED TO SPEND AN EXTENDED PERIOD OF TIME, RANGING FROM SEVERAL MONTHS TO A FULL ACADEMIC YEAR, ON THEIR ARCHIVAL RESEARCH. THE STAFF HAS ALSO EXPANDED AN ANNUAL TEACHING FELLOWS PROGRAM FOR AREA MIDDLE AND HIGH SCHOOL TEACHERS INTERESTED IN USING PRIMARY SOURCE MATERIALS IN THEIR CLASSROOMS.

THE EDUCATIONAL PROGRAMS ENGAGE A NUMBER OF AREA COLLEGES AND UNIVERSITIES. THE RAC BRINGS UNIVERSITY FACULTY AND THEIR GRADUATE OR UNDERGRADUATE STUDENTS TO THE ARCHIVE CENTER FOR COURSE-RELATED LECTURES AND SEMINARS, ADVISES STUDENTS ON PAPERS AND THESES, AND HELPS FACULTY TO FIND PRIMARY MATERIALS FOR THEIR TEACHING. THE STAFF OFFERS LECTURES, SEMINARS, AND WORKSHOPS FOR THE ARCHIVE CENTER'S COLLEGE SUMMER INTERN PROGRAM. THEY ALSO PA

STATEMENT 14
FORM 990-PF, PART XV, LINE 2A-D
APPLICATION SUBMISSION INFORMATION

NAME OF GRANT PROGRAM:	GRANT-IN-AID PROGRAM
NAME:	GRANTS ADMINSTRATOR
CARE OF:	
STREET ADDRESS:	15 DAYTON AVENUE
CITY, STATE, ZIP CODE:	SLEEPY HOLLOW, NY 10591
TELEPHONE:	914-366-6311
FORM AND CONTENT:	GRANTEES COMPLETE A FOUR-PAGE APPLICATION AND MAIL IT TO THE ADDRESS PROVIDED ABOVE. APPLCANTS MAY ALSO E-MAIL AN APPLICATION TO RACGRANTS@ROCKARCH.ORG
SUBMISSION DEADLINES:	NOVEMBER 15TH OF EACH CALENDAR YEAR. AWARDS ARE ANNOUNCED
RESTRICTIONS ON AWARDS:	AWARDS ARE MADE TO INDIVIDUALS; INSTITUIONS ARE NOT ELIGIBLE TO APPLY. THE GRANT DOES NOT SUPPORT RESEARCH AT OTHER INSTITUTIONS, AND IT DOES NOT PROVIDE GENERAL TUITION SUPPORT. APPLICATION TO THE GRANT-IN-AID PROGRAM IS OPEN TO U.S. CITIZENS AND CITIZENS OF FOREIGN COUNTRIES. CERTAIN U.S. GOVERNMENT REQUIREMENTS WILL APPLY TO NON-U.S. CITIZENS.

STATEMENT 15
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND-ATION STATUS	PURPOSE OF GRANT	AMOUNT
SARAH JOHNSON ,	NONE	NONE	GRANT-IN-AID	$ 1,762.
AARON SHKUDA ,	NONE	NONE	GRANT-IN-AID	868.
LEANDRO BENMERGUI ,	NONE	NONE	GRANT-IN-AID	2,446.
JOHN LAPRISE ,	NONE	NONE	GRANT-IN-AID	1,859.
SVETLANA ARKINA ,	NONE	NONE	GRANT-IN-AID	2,529.
KYLE BRUCE ,	NONE	NONE	GRANT-IN-AID	1,595.
SHIYUNNG LIU ,	NONE	NONE	GRANT-IN-AID	2,500.
BRIAN SCHMIDT ,	NONE	NONE	GRANT-IN-AID	1,676.
LAUREL HITCHCOCK ,	NONE	NONE	GRANT-IN-AID	1,885.
AMERICAN HISTORICAL ASSOCIATION ,	NONE	NONE	GRANT-IN-AID	320.
XIAOPING FANG ,	NONE	NONE	GRANT-IN-AID	2,463.
CHERYL LEMUS ,	NONE	NONE	GRANT-IN-AID	1,278.
GAIA CARAMELLINO ,	NONE	NONE	GRANT-IN-AID	5,000.
ERNESTO CAPELLO ,	NONE	NONE	GRANT-IN-AID	5,000.
JAMES BURNS ,	NONE	NONE	GRANT-IN-AID	2,193.
ELEANOR SACKS ,	NONE	NONE	GRANT-IN-AID	2,460.
DEBORAH DEL GAIS ,	NONE	NONE	GRANT-IN-AID	1,332.

STATEMENT 15 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND-ATION STATUS	PURPOSE OF GRANT	AMOUNT
GRACIA RAMIREZ CRUA ,	NONE	NONE	GRANT-IN-AID	$ 2,534.
KATHERINE CARROLL ,	NONE	NONE	GRANT-IN-AID	944.
LUIS BOSEMBERG ,	NONE	NONE	GRANT-IN-AID	2,500.
MARILYN WEIGOLD ,	NONE	NONE	GRANT-IN-AID	2,500.
JULIA FOULKES ,	NONE	NONE	GRANT-IN-AID	2,000.
DAVID SOLL ,	NONE	NONE	GRANT-IN-AID	522.
JASON GUTHRIE ,	NONE	NONE	GRANT-IN-AID	1,363.
ALICIA SCHORTGEN ,	NONE	NONE	GRANT-IN-AID	1,793.
ERIC THOMAN ,	NONE	NONE	GRANT-IN-AID	406.
SINCLAIR WYNCHANK ,	NONE	NONE	GRANT-IN-AID	2,500.
KATHLEEN NEHLS ,	NONE	NONE	GRANT-IN-AID	2,500.
JOHN KIRK ,	NONE	NONE	GRANT-IN-AID	4,854.
YULING HUANG ,	NONE	NONE	GRANT-IN-AID	4,188.
DEWEN ZHANG ,	NONE	NONE	GRANT-IN-AID	2,287.
NEICI ZELLER ,	NONE	NONE	GRANT-IN-AID	284.
BRAD SIMPSON ,	NONE	NONE	GRANT-IN-AID	1,168.
ELIZABETH CLEMENS ,	NONE	NONE	GRANT-IN-AID	1,775.

STATEMENT 15 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND-ATION STATUS	PURPOSE OF GRANT	AMOUNT
JEFFREY BRISOM ,	NONE	NONE	GRANT-IN-AID	$ 5,000.
MARKEL BRINKMANN ,	NONE	NONE	GRANT-IN-AID	4,501.
AIKO TAKEUCHI ,	NONE	NONE	GRANT-IN-AID	2,376.
AXEL HUENTELMANN ,	NONE	NONE	GRANT-IN-AID	2,511.
SARAH MIGLIO ,	NONE	NONE	GRANT-IN-AID	2,268.
			TOTAL	$ 87,940.

AMENDED RETURN

THE RETURN IS BEING AMENDED TO RECLASSIFY INVESTMENT INCOME OF $4,734,744 INCLUDED FOR BOOK PURPOSES AS PART OF NET UNREALIZED DEPRECIATION IN INVESTMENT.

THE CLASSIFICATION OF ADJUSTED NET INCOME EXPENSES (PART I COLUMN C) HAS BEEN CORRECTED AND DISBURSEMENTS FOR CHARITABLE PURPOSES (PART I COLUMN D) HAS BEEN REVISED TO CASH BASIS.

PART XIII WAS ERRONEOULY INCLUDED IN THE ORIGINAL RETURN. THE ORGANIZATION IS A PRIVATE OPERATING FOUNDATION AND SUCH THIS PART WAS NOT REQUIRED TO BE COMPLETED.

PART XIV HAS BEEN REVISED TO REFLECT THE CORRECTED INFORMATION FOR THIS AMENDMENT.