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Form **990-PF**

Department of the Treasury
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

2010

For calendar year 2010, or tax year beginning , 2010, and ending ,

G Check all that apply: ☐ Initial return ☐ Initial Return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name change

Name of foundation	A Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359
Number and street (or P.O. box number if mail is not delivered to street address) / Room/suite	B Telephone number (see the instructions)
475 RIVERSIDE DRIVE / 900	(212) 812-4200
City or town / State / ZIP code	C If exemption application is pending, check here ► ☐
NEW YORK / NY / 10115	D 1 Foreign organizations, check here ► ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation	2 Foreign organizations meeting the 85% test, check here and attach computation ► ☐
I Fair market value of all assets at end of year (from Part II, column (c), line 16) ► $ 4,829,914.	E If private foundation status was terminated under section 507(b)(1)(A), check here ► ☐
J Accounting method: ☐ Cash ☒ Accrual ☐ Other (specify) (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► ☐

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)
1 Contributions, gifts, grants, etc., received (att sch)	1,250,000.			
2 Ck ► ☐ if the foundn is not req to att Sch B				
3 Interest on savings and temporary cash investments	79.	79.		
4 Dividends and interest from securities	111,256.	131,146.		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain/(loss) from sale of assets not on line 10	128,202.			
b Gross sales price for all assets on line 6a 682,204.				
7 Capital gain net income (from Part IV, line 2)		117,467.		
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 Line 11 Stmt		-5,662.		
12 Total. Add lines 1 through 11	1,489,537.	243,030.		
13 Compensation of officers, directors, trustees, etc				
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach sch) See Line 16 Stmt	23,482.	2,348.		21,134.
c Other prof fees (attach sch) See Line 16 Stmt	58,394.	55,184.		16,863.
17 Interest				
18 Taxes (attach schedule (see instr.) See Line 18 Stmt	9,795.	6,866.		
19 Depreciation (attach sch) and depletion See Statement 4	583.			
20 Occupancy				
21 Travel, conferences, and meetings	3,282.			3,282.
22 Printing and publications				
23 Other expenses (attach schedule) See Line 23 Stmt	38,698.	1,928.		36,770.
24 Total operating and administrative expenses. Add lines 13 through 23	134,234.	66,326.		78,069.
25 Contributions, gifts, grants paid	1,494,375.			1,351,375.
26 Total expenses and disbursements Add lines 24 and 25	1,628,609.	66,326.		1,429,444.
27 Subtract line 26 from line 12: a Excess of revenue over expenses and disbursements	-139,072.			
b Net investment income (if negative, enter 0-)		176,704.		
c Adjusted net income (if negative, enter -0-)				

REVENUE / OPERATING AND ADMINISTRATIVE EXPENSES

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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	16,523.	100,335.	100,335.
	2 Savings and temporary cash investments	681,237.	99,466.	99,466.
	3 Accounts receivable ► 2,397.			
	Less: allowance for doubtful accounts ►		2,387.	2,387.
	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	5,950.		
	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) See Line 13 Stmt	3,821,875.	4,626,560.	4,626,560.
	14 Land, buildings, and equipment: basis ► 1,749.			
	Less. accumulated depreciation (attach schedule) See Stmt 5. ► 583.		1,166.	1,166.
	15 Other assets (describe ►)			
	16 Total assets (to be completed by all filers — see instructions Also, see page 1, Item I)	4,525,585.	4,829,914.	4,829,914.
LIABILITIES	17 Accounts payable and accrued expenses	45,553.	53,481.	
	18 Grants payable	15,000.	158,000.	
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, & other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ►)			
	23 Total liabilities (add lines 17 through 22)	60,553.	211,481.	
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	4,465,032.	4,618,433.	
	25 Temporarily restricted			
	26 Permanently restricted			
	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)	4,465,032.	4,618,433.	
	31 Total liabilities and net assets/fund balances (see the instructions)	4,525,585.	4,829,914.	

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	4,465,032.
2	Enter amount from Part I, line 27a	2	-139,072.
3	Other increases not included in line 2 (itemize) ► UNREALIZED APPRECIATION ON INVESTMENTS	3	292,473.
4	Add lines 1, 2, and 3	4	4,618,433.
5	Decreases not included in line 2 (itemize) ►	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	4,618,433.

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	See Statement 2			
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			(l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
	(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	
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	117,467.
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.)

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))
2009	818,225.	4,104,464.	0.199350
2008	751,083.	5,334,232.	0.140804
2007	833,139.	6,281,253.	0.132639
2006	723,946.	5,187,235.	0.139563
2005	781,062.	4,251,293.	0.183723

2	Total of line 1, column (d)	2	0.796079
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	0.159216
4	Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	4,786,973.
5	Multiply line 4 by line 3	5	762,163.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	1,767.
7	Add lines 5 and 6	7	763,930.
8	Enter qualifying distributions from Part XII, line 4	8	1,429,444.

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 or determination letter: _____ (attach copy of letter if necessary – see instr.)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b	1	1,767.
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	
3	Add lines 1 and 2	3	1,767.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	1,767.
6	Credits/Payments:		
a	2010 estimated tax pmts and 2009 overpayment credited to 2010 — 6a: 5,200.		
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	5,200.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ 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	3,433.
11	Enter the amount of line 10 to be: Credited to 2011 estimated tax ▶ 3,433. 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 ▶ $ _____ (2) On foundation managers ▶ $ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ _____			
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	X	
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 - New York			
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*	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 2010 or the taxable year beginning in 2010 (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.*	10		X

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 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 ► N/A			
14	The books are in care of ► LEAH D'ANGELO Telephone no. ► (212) 812-4228			
	Located at ► 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK NY ZIP + 4 ► 10115			
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		

			Yes	No
16	At any time during calendar year 2010, 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?	16		
	See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If 'Yes,' enter the name of the foreign country ►			

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? ☐ 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 2010?	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 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? ☐ Yes ☒ No			
	If 'Yes,' list the years ► 20__ , 20__ , 20__ , 20__ .			
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		
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 2010 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 2010.)*	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 2010?	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
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?	☐ 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?			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 (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 6		0.	0.	0.

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
NONE				
0				
0				
0				
0				

Total number of other employees paid over $50,000 ▶ None

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
NONE		
Total number of others receiving over $50,000 for professional services ▶		None

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 NONE	
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 NONE	
2	
All other program-related investments. See instructions. 3 NONE	
Total. Add lines 1 through 3 ▶	

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	4,413,947.
b	Average of monthly cash balances	1b	445,924.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	4,859,871.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	4,859,871.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	72,898.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,786,973.
6	**Minimum investment return.** Enter 5% of line 5	6	239,349.

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	239,349.
2a	Tax on investment income for 2010 from Part VI, line 5	2a	1,767.		
b	Income tax for 2010. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	1,767.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	237,582.
4	*Recoveries of amounts treated as qualifying distributions*			4	
5	Add lines 3 and 4			5	237,582.
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	237,582.

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	1,429,444.
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	1,429,444.
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	1,767.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,427,677.

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 2009	(c) 2009	(d) 2010
1 Distributable amount for 2010 from Part XI, line 7				237,582.
2 Undistributed income, if any, as of the end of 2010:				
a Enter amount for 2009 only			0.	
b Total for prior years: 20___, 20___, 20___		0.		
3 Excess distributions carryover, if any, to 2010:				
a From 2005 574,475.				
b From 2006 484,227.				
c From 2007 524,229.				
d From 2008 484,371.				
e From 2009 613,002.				
f Total of lines 3a through e	2,680,304.			
4 Qualifying distributions for 2010 from Part XII, line 4: ► $ 1,429,444.				
a Applied to 2009, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required – see instructions)		0.		
c Treated as distributions out of corpus (Election required – see instructions)				
d Applied to 2010 distributable amount				237,582.
e Remaining amount distributed out of corpus	1,191,862.			
5 Excess distributions carryover applied to 2010 *(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	3,872,166.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
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		0.		
d Subtract line 6c from line 6b. Taxable amount – see instructions		0.		
e Undistributed income for 2009. Subtract line 4a from line 2a. Taxable amount – see instructions			0.	
f Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
8 Excess distributions carryover from 2005 not applied on line 5 or line 7 (see instructions)	574,475.			
9 **Excess distributions carryover to 2011.** Subtract lines 7 and 8 from line 6a	3,297,691.			
10 Analysis of line 9:				
a Excess from 2006 484,227.				
b Excess from 2007 524,229.				
c Excess from 2008 484,371.				
d Excess from 2009 613,002.				
e Excess from 2010 1,191,862.				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) N/A

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2010, enter the date of the ruling ▶

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

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year (a) 2010	Prior 3 years (b) 2009	(c) 2008	(d) 2007	(e) Total
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
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					
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:

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

c Any submission deadlines:

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

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 8				1,351,375.
Total ▶ 3a				1,351,375.
b Approved for future payment				
SEE STATEMENT 8				158,000.
Total ▶ 3b				158,000.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (see the instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
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	79.	
4 Dividends and interest from securities	525990	-9.	14	111,265.	
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	525990	-3,369.	18	3,369.	
8 Gain or (loss) from sales of assets other than inventory	525990	-87.	18	128,289.	
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					
12 Subtotal. Add columns (b), (d), and (e)		-3,465.		243,002.	
13 Total. Add line 12, columns (b), (d), and (e)					239,537.

(See worksheet in line 13 instructions 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.)
	NOT APPLICABLE

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	1a (1)		X
	(2) Other assets	1a (2)		X
b	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization	1b (1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b (2)		X
	(3) Rental of facilities, equipment, or other assets	1b (3)		X
	(4) Reimbursement arrangements	1b (4)		X
	(5) Loans or loan guarantees	1b (5)		X
	(6) Performance of services or membership or fundraising solicitations	1b (6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		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

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

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.

Sign Here Signature of officer or trustee: Thomas L. Kempner Jr. Date: 11/14/11 Title: Executive Director

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check if self-employed	PTIN
Barbara E. Hunt	Barbara E. Hunt	11/11/11	☐	P00916443

Firm's name ▶ KPMG LLP (Tax Manager) Firm's EIN ▶

Firm's address ▶ 345 PARK AVENUE NEW YORK NY 10154-0102 Phone no (212) 758-9700

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, or 990-PF

OMB No. 1545-0047

2010

Name of the organization	Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

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 an organization 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 990-EZ, that met the 33-1/3% support test of the regulations under sections 509(a)(1) and 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 (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990 EZ, that received from any one contributor, during the year, aggregate contributions 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 990-EZ, that received from any one contributor, during the year, 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: An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF) but it **must** answer 'No' on Part IV, line 2 of their Form 990, or check the box on line H of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization: THE DAVID ROCKEFELLER FUND, INC.

Employer identification number: 13-3533359

Part I Contributors (see instructions.)

(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	David Rockefeller 30 Rockefeller Plaza, Room 5600 New York NY 10112	$ 1,250,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)

INDEX OF SCHEDULES

Schedule of Contributions, Gifts, Grants Received		**Schedule B**
Schedule of Expenditures - Taxes Part I, line 18		**Statement 1**
Schedule of Expenditures - Other Expenses Part I, line 23		**Statement 1**
Schedule of Capital Gain Net Income/(Loss) Part 1, line 6a		**Statement 2**
Schedule of Other Income Part I, line 11		**Statement 3**
Schedule of Expenditures Part I, line 16		**Statement 1**
Schedule of Depreciation Part I, line 19		**Statement 4**
Schedule of Investments - Other Part II, line 13		**Statement 1**
Schedule of Land, Buildings & Equipment Part II, line 14		**Statement 5**
Compensation of Officers, Directors & Trustees Part VIII, line 1		**Statement 6**
Grants and Contributions Paid During the Year or Approved for Future Payment Part XV, line 3 (a) & (b)		**Statement 7**

Form 990-PF, Page 1, Part I, Line 11
Line 11 Stmt

Other Income:	Rev/Exp Book	Net Inv Inc	Adj Net Inc
See Statement 3			
Other Income from Limited Partne		-5,662.	
Total		-5,662.	

Form 990-PF, Page 1, Part I, Line 18
Line 18 Stmt

Taxes (see the instructions)	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
See Line 18 Stmt				
FOREIGN TAXES PAID-THROUGH LIMIT		6,866.		
FEDERAL EXCISE TAX	9,795.			
Total	9,795.	6,866.		

Form 990-PF, Page 1, Part I, Line 23
Line 23 Stmt

Other expenses:	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
Reimbursement of Accounting Serv	19,278.	1,928.		17,350.
Website Development	14,155.			14,155.
General Office Expense	5,265.			5,265.
Total	38,698.	1,928.		36,770.

Form 990-PF, Page 1, Part I
Line 16b - Accounting Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
KPMG LLP	Audit & Tax Services	23,482.			
Total		23,482.			

Form 990-PF, Page 1, Part I
Line 16c - Other Professional Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Rockefeller & Co.	Investment Management	41,229.	54,057.		
Rockefeller & Co.	Custody Fees	282.	1,127.		
Rockefeller Philanth	Grants Administration	10,775.			10,775.
Deborah Busch Landes	Consulting Fees	6,108.			6,108.
Total		58,394.	55,184.		16,883.

Form 990-PF, Page 2, Part II, Line 13
L-13 Stmt

Line 13 - Investments - Other:	End of Year Book Value	End of Year Fair Market Value
ROCKEFELLER GLOBAL EQUITY FUND	2,778,121.	2,778,122.
ROCKEFELLER ALTERNATIVE STATEGIES FUND	109,038.	109,038.
ROCKEFELLER ACCESS FUND 06-1	323,859.	323,859.
ROCKEFELLER LIBRA FUND	971,895.	971,895.
JP MORGAN STRATEGIC OPPORTUNITES FUND	213,852.	213,852.
PIMCO TOTAL RETURN FUND	227,889.	227,888.
Investment Receivable	1,906.	1,906.
Total	4,626,560.	4,626,560.

DAVID ROCKEFELLER FUND, INC.
13-3533359
475 Riverside Drive, Suite 900
New York, New York 10115

STATEMENT 2
FORM 990-PF
YEAR 2010

Schedule of Capital Gains and Losses

Part I, line 6a

		Gain or (Loss)
Libra Fund		$ 37,277
Rock & Co. Global Equity I		121,704
Rock & Co. Alternative Strategies		(24,239)
J.P. Morgan Strategic Opportunities Fund		1,084
PIMCO Total Return Fund		(7,624)
Net Realized Gain per Books (Total Part I, line 6a,col.(a))		**$ 128,202**
Add: Actual Net Capital Gain per limited partnerships (Schedule K-1 basis):		
Libra Fund	38,158	
Rock & Co. Global Equity I	126,302	
Rock & Co. Alternative Strategies	(44,794)	
Rock & Co. Access Fund	4,341	
		124,007
Less: Gain/(loss) from Partnerships previously reflected in books, for which K-1 values are now reflected on Form 990PF:		
Libra Fund		(37,277)
Rock & Co. Global Equity I		(121,704)
Rock & Co. Alternative Strategies		24,239
Total Part IV, line 2		**$ 117,467**

DAVID ROCKEFELLER FUND, INC.
13-3533359
475 Riverside Drive, Suite 900
New York, New York 10115

STATEMENT 3
FORM 990-PF
YEAR 2010

Schedule of Other Income

Part I, line 11, col. b

	Other Income
Libra Fund	$ (135)
Rock & Co. Global Equity I	(514)
Rock & Co. Alternative Strategies	(5,632)
Rock & Co. Access Fund	619
PIMCO Total Return Fund	
Other Income (Total) Part I, line 11 col (b)	$ (5,662)

DAVID ROCKEFELLER FUND, INC.
13-3533359
475 Riverside Drive, Suite 900
New York, New York 10115

STATEMENT 4
FORM 990-PF
YEAR 2010

SCHEDULE OF DEPRECIATION

Part I, line 19

	ASSETS				ACCUMULATED DEPRECIATION		
Description	Beginning of Year	2010 Acquisitions	2010 Dispositions	End of Year	Reserve, beginning of Year	**2010 Depreciation (Part 1, line 19)**	Reserve, end of Year
Computer Equipment & Software	-	1,749	0	1,749	0	**583**	583
						Fixed Assets, net of accumulated depreciation	1,166

DAVID ROCKEFELLER FUND, INC.
13-3533359
475 Riverside Drive, Suite 900
New York, New York 10015

STATEMENT 5
FORM 990-PF
YEAR 2010

SCHEDULE OF LAND, BUILDINGS & EQUIPMENT

Part II, line 14, col. (b) & (c)

Description	Cost	Accumulated Depreciation	Net Basis
Computer Equipment & Software	1,749	583	1,166
		Total line 14	**$1,166**

FORM 990PF, PART VIII, Line 1 - LIST OF OFFICERS, DIRECTORS , AND TRUSTEES

NAME AND ADDRESS	TITLE	Average Hours per Week Devoted to Position	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
MS. EILEEN GROWALD 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MR. DAVID ROCKEFELLER, JR 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MR. CHRIS LINDSTROM 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MS. ABBY ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE

FORM 990PF, PART VIII, Line 1 - LIST OF OFFICERS, DIRECTORS , AND TRUSTEES

NAME AND ADDRESS	TITLE	Average Hours per Week Devoted to Position	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
MR. DAVID KAISER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/CHAIR	1	NONE	NONE	NONE
MRS. MARNIE PILLSBURY 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/ EXECUTIVE DIRECTOR	1	NONE	NONE	NONE
MS ARIANA ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MR. MICHAEL QUATTRONE 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE

FORM 990PF, PART VIII, Line 1 - LIST OF OFFICERS, DIRECTORS , AND TRUSTEES

NAME AND ADDRESS	TITLE	Average Hours per Week Devoted to Position	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
MR. RICHARD SALOMON 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/TREASURER	1	NONE	NONE	NONE
MR. JAMES SLIGAR 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MR. CLAYTON ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MS. SUSAN ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MS. NANCY ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE

FORM 990PF, PART VIII, Line 1 - LIST OF OFFICERS, DIRECTORS , AND TRUSTEES

NAME AND ADDRESS	TITLE	Average Hours per Week Devoted to Position	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
MR. STEPHEN HEINTZ 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
MS. MARIANNA SCHAFFER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	SECRETARY	1	NONE	NONE	NONE

FORM 990-PF, PART XV - GRANTS PAID OR APPROVED FOR FUTURE PAYMENT

LINE 3 (a) and (b)

Grant Reconciliation		
Grants Payable at 12/31/2009		$ 15,000
Add: Grants Awarded Through 12/31/10		
Discretionary (Trustee) [1]	165,000	
Community Grants [1]	255,250	
Program Grants [1]	1,057,125	
Matching Gifts [2]	17,000	
		1,494,375
Less: Grants Paid Through 12/31/10		
Discretionary (Trustee) [1]	165,000	
Community Grants [1]	255,250	
Program Grants [1]	907,125	
Family Directed [3]	10,000	
Matching Gifts [2]	14,000	
		1,351,375
Grants Payable at 12/31/10		$ 158,000

[1] See attached report from Gifts grant tracking program for detail.

[2] Matching grants are not tracked in the Gifts program. Rockefeller Financial Services is reimbursed for matching grants paid on DRF's behalf. The amount for matching grants paid in 2010 includes $5,000 in matching grants for 2009 that were paid in 2010.

[3] Reflects the second payment on a grant approved in 2009 to the Fortune Society.

GENERAL NOTES:

THE DAVID ROCKEFELLER FUND IS NOT RELATED TO ANY INDIVIDUAL RECIPIENT.

ALL RECIPIENTS ARE QUALIFIED 501 (c) (3) ORGANIZATIONS.

THE PURPOSE OF THE GRANTS AWARDED BY THE DAVID ROCKEFELLER FUND FOCUS PRIMARILY ON EDUCATION, HEALTH AND SOCIAL SERVICE, COMMUNITY GROUPS ENVIRONMENTAL AND PRESERVATION ORGANIZATIONS, ARTS AND EDUCATION IN NEW YORK CITY, CRIMINAL JUSTICE AND CONSERVATION.

David Rockefeller Fund

Grants Approved and Paid 2010 (Trustee)

4 January 2011

Organization	Grant Amount	Paid Amount	Fund
Rockefeller Philanthropy Advisors 6 West 48th Street, Floor 12 New York, NY 10036-1802	Grant. 165,000 Paid: 165,000 Bal. 0 Term: 12 Months	$165,000	DKF Trustee [Discretionary]
Grand Totals (1 item)	$165,000	$165,000	

DRF Community Grants 2010

Grants Approved and Paid 2010 (Community)

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
DRF Maine					
Abbe Museum P.O. Box 286 Bar Harbor, ME 04609	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Bar Harbor Fire Department 37 Firefly Lane Bar Harbor, ME 04609	$750	Grant: 750 Paid: 750 Bal.: 0 Term. 0 Months	$750	DR Fund Community [Citizenship]	DRF Maine
Bar Harbor Food Pantry 36 Mount Desert Streeet PO Bix 434 Bar Harbor, ME 04609	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Bar Harbor Music Festival 741 West End Avenue, Suite 4-B New York, NY 10025	$1,500	Grant: 1,500 Paid: 1.500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Maine
Boy Scouts of America-Katahdin Area Council P.O.Box 1869 Bangor, ME 04402	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
College of the Atlantic 105 Eden Street Bar Harbor, ME 04609	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Maine
College of the Atlantic-Summer Field Studies 105 Eden Street Bar Harbor, ME 04609	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Community Health and Counseling Services P.O. Box 425 Bangor, ME 04402-0425	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
Downeast Horizons 1200 State Highway 3 Bar Harbor, ME 04609	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
Farnsworth Art Museum 16 Museum Street Rockland, ME 04841	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
Friends of Acadia 43 Cottage Street, P.O. Box 45 Bar Harbor, ME 04609	$10,000	Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 0 Months	$10,000	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Friends of Acadia-Youth Conservation Corps 43 Cottage Street, P.O. Box 45 Bar Harbor, ME 04609	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Wendell Gilley Museum 4 Herrick Road P.O. Box 259 Southwest Harbor, ME 04679-0254	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Maine
Girl Scouts of Maine 138 Gannett Drive PO Box 9421 South Portland, ME 04116-9421	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Great Harbor Maritime Museum P.O. Box 145 124 Main Street Northeast Harbor, ME 04662	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
H.O.M.E., Inc. P.O. Box 10 Orland, ME 04472	$3,000	Grant: 3,000 Paid: 3,000 Bal.: 0 Term: 0 Months	$3,000	DR Fund Community [Citizenship]	DRF Maine
Island Housing Trust P.O. Box 851, Mount Desert, ME Mount Desert, ME 04660	$25,000	Grant: 25,000 Paid: 25,000 Bal.: 0 Term: 12 Months	$25,000	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Island Institute 386 Main Street P.O. Box 648 Rockland, ME 04841-0648	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
Jackson Laboratory 610 Main Street Bar Harbor, ME 04609-1500	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Maine
Kid's Corner Community Child Care 81 Mount Desert Street Bar Harbor, ME 04609	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Maine
M.D.I. Alcohol & Drug Abuse Group, Inc. P.O. Box 616 Southwest Harbor, ME 04679	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
Maine Coast Heritage Trust 1 Bowdoin Mill Island Suite 201 Topsham, ME 04086	$15,000	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 0 Months	$15,000	DR Fund Community [Citizenship]	DRF Maine
Maine Lighthouse Corporation 109 Main Street Bar Harbor, ME 04609	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Maine Medical Center 22 Bramhall Street Portland, ME 04102-3175	$2,000	Grant: 2,000 Paid: 2,000 Bal.: 0 Term: 0 Months	$2,000	DR Fund Community [Citizenship]	DRF Maine
Maine Public Broadcasting Network 1450 Lisbon Street, P.O. Box 6200 Lewiston, ME 04241	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Maine
Maine Sea Coast Mission 127 West Street Bar Harbor, ME 04609	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
MDI Biological Laboratory P.O. Box 35 Old Bar Harbor Road Salisbury Cove, ME 04672	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
MDI Community Sailing Center P.O. Box 116 Southwest Harbor, ME 04679	$10,000	Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 12 Months	$10,000	DR Fund Community [Citizenship]	DRF Maine
Mount Desert Fire and Rescue Association P.O. Box 814 Northeast Harbor, ME 04662	$3,000	Grant: 3,000 Paid: 3,000 Bal.: 0 Term: 0 Months	$3,000	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Mount Desert Nursery School and Daycare Center P.O. Box 24 Maple Lane Northeast Harbor, ME 04662	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Mount Desert Nursing Association 12 Summit Road, P.O. Box 397 Northeast Harbor, ME 04665-0397	$3,500	Grant: 3,500 Paid: 3,500 Bal.: 0 Term: 0 Months	$3,500	DR Fund Community [Citizenship]	DRF Maine
Mt. Desert Festival of Chamber Music 100 Riverside Drive Apt. 10E New York, NY 10024	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Mount Desert Island Hospital P.O. Box 8 Bar Harbor, ME 04609-0008	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Maine
Mt. Desert Island YMCA 21 Park St. Bar Harbor, ME 04609	$3,500	Grant: 3,500 Paid: 3,500 Bal.: 0 Term: 0 Months	$3,500	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Mount Desert Medical Center P.O. Box 266 Northeast Harbor, ME 04662	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Maine
Mount Desert Summer Chorale P.O.Box 887 Mount Desert, ME 04660	$1,000	Grant: 1,000 Paid. 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Natural Resources Council of Maine 3 Wade Street Augusta, ME 04330-6351	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
The Nature Conservancy Fort Andross 14 Maine Street, Suite 401 Brunswick, ME 04011	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
The Neighborhood House P.O. Box 332 Northeast Harbor, ME 04662	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Maine
Northeast Harbor Ambulance Service P.O. Box 122 Northeast Harbor, ME 04662	$500	Grant: 500 Paid: 500 Bal.: 0 Term: 0 Months	$500	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Northeast Harbor Library P.O. Box 279 Northeast Harbor, ME 04662-0279	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Maine
The Northeast Harbor Library Scholarship Program Northeast Harbor Library P.O. Box 279 Northeast Harbor, ME 04662	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Maine
Portland Museum of Art Seven Congress Square Portland, ME 04101	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Seal Harbor Library Association P.O. Box 135 Seal Harbor, ME 04675	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Seal Harbor Village Improvement Society P.O. Box 171 Seal Harbor, ME 04675	$3,500	Grant: 3,500 Paid: 3,500 Bal.: 0 Term: 0 Months	$3,500	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Town Hill Fire Company P.O. Box 6 Salsbury Cove, ME 04672-0006	$500	Grant: 500 Paid: 500 Bal.: 0 Term: 0 Months	$500	DR Fund Community [Citizenship]	DRF Maine
United Church of Christ Northeast of Harbor & Seal Harbor, Union Church and Abby Chapel P.O. Box 555 Northeast Harbor, ME 04662	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Maine
Westside Food Pantry PO Box 767 Southwest Harbor, ME 04679	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Willowind Therapeutic Riding Center/G.F.H. State Highway 3, P.O. Box 1140 Bar Harbor, ME 04609	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
.Total DRF Maine (49 items)	$154,250		$154,250		
DRF Westchester County					
Boy Scouts of America-Westchester Putnam 41 Saw Mill River Road Hawthorne, NY 10532	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Westchester County

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Caramoor-Center for Music and the Arts P.O.Box 816 Katonah, NY 10536	$2,000	Grant: 2,000 Paid: 2,000 Bal.: 0 Term: 0 Months	$2,000	DR Fund Community [Citizenship]	DRF Westchester County
Family Services of Westchester One Gateway Plaza Portchester, NY 10573	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Westchester County
Family YMCA at Tarrytown 62 Main Street Tarrytown, NY 10591	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Westchester County
Food Bank for Westchester 358 Saw Mill River Road Millwood, NY 10546	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Westchester County
Friends of the Rockefeller State Park Preserve PO Box 8444 Sleepy Hollow, NY 10591	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Westchester County
Girl Scouts Heart of the Hudson 2 Great Oak Lane Pleasantville, NY 10570	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Westchester County

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Hilltop Engine Co. No. 1 Pocantico Hills North Tarrytown, NY 10591	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Westchester County
Historic Hudson Valley 150 White Plains Road Tarrytown, NY 10591	$10,000	Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 0 Months	$10,000	DR Fund Community [Citizenship]	DRF Westchester County
Historic Hudson Valley-Summerweek 150 White Plains Road Tarrytown, NY 10591	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Westchester County
Historical Society, Inc. Serving Sleepy Hollow and Tarrytown One Grove Street Tarrytown, NY 10591	$750	Grant: 750 Paid: 750 Bal.: 0 Term: 0 Months	$750	DR Fund Community [Citizenship]	DRF Westchester County
Kids' Club of Tarrytown & Sleepy Hollow P.O. Box 8544 Tarrytown, NY 10591	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Westchester County
Mascia, Elizabeth Child Care Center 171 Sheldon Avenue Tarrytown, NY 10591	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Westchester County

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Open Door Family Medical Center North Tarrytown 165 Main Street Ossining, NY 10562	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Westchester County
Phelps Memorial Hospital Center 701 North Broadway Sleepy Hollow, NY 10591-1096	$7,500	Grant: 7,500 Paid: 7,500 Bal.: 0 Term: 0 Months	$7,500	DR Fund Community [Citizenship]	DRF Westchester County
Planned Parenthood Hudson Peconic 4 Skyline Drive Suite 7 Hawthorne, New York 10532-2150	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Westchester County
Puppies Behind Bars 10 East 40th Street 19th Floor New York, NY 10016	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Westchester County
Salvation Army of Greater New York 120 West 14th Street New York, NY 10011-7393	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Westchester County
Scenic Hudson One Civic Center Plaza, Suite 200 Poughkeepsie, NY 12601-3156	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Westchester County

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Teatown Lake Reservation Nature Preserve and Education Center 1600 Spring Valley Road Ossining, NY 10562	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Westchester County
Union Church of Pocantico Hills 555 Bedford Road Pocantico Hills, NY 10591	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Westchester County
United Way of the Tarrytowns 336 Central Park Avenue White Plains, NY 10606-1500	$10,000	Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 0 Months	$10,000	DR Fund Community [Citizenship]	DRF Westchester County
Volunteer and Exempt Fireman's Association of Sleepy Hollow, NY P.O. Box 851 Sleepy Hollow, NY 10591	$750	Grant: 750 Paid: 750 Bal.: 0 Term: 0 Months	$750	DR Fund Community [Citizenship]	DRF Westchester County
Warner Library of the Tarrytowns 121 North Broadway Tarrytown, NY 10591	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Westchester County
Westchester Land Trust 403 Harris Road Bedford Hills, NY 10507	$1,500	Grant: 1,500 Paid: 1,500 Bal.: 0 Term: 0 Months	$1,500	DR Fund Community [Citizenship]	DRF Westchester County

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Total DRF Westchester County (25 items)	$83,500		$83,500		
DRF Columbia County					
Churchtown Fire Company #1 2219 County Rt. 27 Hudson, NY 12534	$500	Grant: 500 Paid: 500 Bal.: 0 Term: 0 Months	$500	DR Fund Community [Citizenship]	DRF Columbia County
Columbia Land Conservancy Inc. P.O. Box 299, 49 Main Street Chatham, NY 12037	$5,000	Grant: 5,000 Paid: 5,000 Bal.: 0 Term: 0 Months	$5,000	DR Fund Community [Citizenship]	DRF Columbia County
Columbia-Greene Hospital Foundation 71 Prospect Avenue Hudson, NY 12534	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Columbia County
Germantown Hose Company #1 P.O. Box 331 Germantown, NY 12526	$500	Grant: 500 Paid: 500 Bal.: 0 Term: 0 Months	$500	DR Fund Community [Citizenship]	DRF Columbia County
Germantown Library P.O. Box 468 Germantown, NY 12526	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Columbia County

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Livingston Free Library 90 Old Post Road, P.O. Box 105 Livingston, NY 12541	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Columbia County
Livingston Pumper Company, No. 1, Inc. P.O. Box 77 Livingston, NY 12541	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Columbia County
Mission Control Traveling Pantry St. Mark's Evangelical Luthern Church 8 Storm Avenue Hudson, NY 12534	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Columbia County
Olana Partnership P.O. Box 199 Hudson, NY 12534	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Columbia County
Taghkanic Fire Company No. 1, Inc. 646 New Forge RD II Ancram, NY 12502	$500	Grant: 500 Paid: 500 Bal.: 0 Term: 0 Months	$500	DR Fund Community [Citizenship]	DRF Columbia County
United Way of Columbia & Greene Counties P.O. Box 52 Hudson, NY 12534	$2,500	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 0 Months	$2,500	DR Fund Community [Citizenship]	DRF Columbia County

DRF Community Grants 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Geographical Area Served
Zion Community Food Pantry P.O. Box 1058 Hudson, NY 12534	$1,000	Grant: 1,000 Paid: 1,000 Bal.: 0 Term: 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Columbia County
Total DRF Columbia County (12 items)	$17,500		$17,500		
Grand Totals (86 items)	$255,250		$255,250		

David Rockefeller Fund

Grants Approved and Paid 2010

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
DRF Arts (Arts and Education)				
Apple Arts PO Box 958 New York, NY 10014	$10,000.00	Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 12 Months	$10,000	DRF Arts (Arts and Education)
Artspace 250 Third Avenue N., Suite 500 Minneapolis, MN 55401	$25,000.00	Grant: 25,000 Paid: 25,000 Bal.: 0 Term: 12 Months	$25,000	DRF Arts (Arts and Education)
Casita Maria 39 West 32nd Street, Suite 1603 New York, NY 10001	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 12 Months	$15,000	DRF Arts (Arts and Education)
Fund for Public Schools 52 Chambers Street New York, NY 10007	$25,000.00	Grant: 25,000 Paid: 25,000 Bal.: 0 Term: 12 Months	$25,000	DRF Arts (Arts and Education)
Groove With Me 186 E. 123rd Street New York, NY 10035	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 12 Months	$15,000	DRF Arts (Arts and Education)

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
Groundswell 540 President Street, Suite 1A Brooklyn, NY 11215	$20,000.00	Grant: 20,000 Paid: 20,000 Bal.: 0 Term: 12 Months	$20,000	DRF Arts (Arts and Education)
Hip Hop Theater Festival 442D Lorimer Street #195 Brooklyn, NY 11206	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 12 Months	$15,000	DRF Arts (Arts and Education)
Joyce Theater Joyce SoHo 155 Mercer Street New York, NY 10012	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 0 Months	$15,000	DRF Arts (Arts and Education)
New York University Tisch School of the Arts 721 Broadway, 12th Floor New York, NY 10003	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 12 Months	$15,000	DRF Arts (Arts and Education)
Queens Museum of Art New York City Building Flushing Meadows Corona Park Queens, NY 11328-3398	$40,000.00	Grant: 40,000 Paid: 40,000 Bal.: 0 Term: 12 Months	$40,000	DRF Arts (Arts and Education)
Studio Museum in Harlem 144 West 125th Street New York, NY 10027	$20,000.00	Grant: 20,000 Paid: 20,000 Bal.: 0 Term: 0 Months	$20,000	DRF Arts (Arts and Education)
Total DRF Arts (Arts and Education) (11 items)	$215,000.00		$215,000	

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
DRF Criminal Justice				
College and Community Fellowship 475 Riverside Drive, Suite 1626 New York, NY 10115	$100,000.00	Grant: 100,000 Paid: 50,000 Bal.: 50,000 Term: 24 Months	$50,000	DRF Criminal Justice
Common Ground 505 Eighth Avenue, 15th Fl. New York, NY 10018	$50,000.00	Grant: 50,000 Paid: 50,000 Bal.: 0 Term: 12 Months	$50,000	DRF Criminal Justice
The Dome Project 486 Amsterdam Avenue New York, NY 10024	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 0 Months	$15,000	DRF Criminal Justice
Episcopal Social Services 305 Seventh Avenue New York, NY 10001-6008	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 0 Months	$15,000	DRF Criminal Justice
The Horticultural Society of New York 148 West 37th Street, 13th Floor NY 10018	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 0 Months	$15,000	DRF Criminal Justice
John Jay College of Criminal Justice 555 W. 57th Street, 6th Floor New York, NY 10019	$100,000 00	Grant: 100,000 Paid: 50,000 Bal.: 50,000 Term: 24 Months	$50,000	DRF Criminal Justice

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
Peace Alliance Educational Institute P.O. Box 27601 Washington, DC 20038	$25,000.00	Grant: 25,000 Paid: 0 Bal.: 25,000 Term: 12 Months	$0	DRF Criminal Justice
Vera Institute of Justice 233 Broadway, 12th Floor New York, NY 10279	$50,000.00	Grant: 50,000 Paid: 50,000 Bal.: 0 Term: 12 Months	$50,000	DRF Criminal Justice
Voices Unbroken PO Box 342 Bronx, NY 10461	$10,000.00	Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 12 Months	$10,000	DRF Criminal Justice
Women on the Rise Telling Her Story-WORTH c/o The Osborne Association 809 Westchester Avenue Bronx, NY 10455	$20,000.00	Grant: 20,000 Paid: 20,000 Bal.: 0 Term: 12 Months	$20,000	DRF Criminal Justice
Youth Represent 342 Broadway New York, NY 10012	$50,000.00	Grant: 50,000 Paid: 25,000 Bal.: 25,000 Term: 24 Months	$25,000	DRF Criminal Justice
Total DRF Criminal Justice (11 items)	$450,000.00		$300,000	

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
DRF ED Discretionary				
FSG Social Impact Advisors 20 Park Plaza, Suite 320 Boston, MA 02116	$10,000.00	Original: 0 Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 12 Months	$10,000	DRF ED Discretionary
The Public Theater 425 Lafayette St. New York, NY 10003	$10,000.00	Grant: 10,000 Paid: 10,000 Bal.: 0 Term: 12 Months	$10,000	DRF ED Discretionary
Total DRF ED Discretionary (2 items)	$20,000.00		$20,000	

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
DRF Environment				
Added Value and Herban Solutions Inc. 370 Van Brunt Street Brooklyn,, NY 11231	$25,000.00	Grant: 25,000 Paid: 25,000 Bal.: 0 Term: 0 Months	$25,000	DRF Environment
Center for Working Families 1133 Broadway, Suite 332 New York, NY 10010	$25,000.00	Grant: 25,000 Paid: 25,000 Bal.: 0 Term: 12 Months	$25,000	DRF Environment
Community Labor United 6 Beacon Street Boston, MA 02108	$40,000.00	Grant: 40,000 Paid: 40,000 Bal.: 0 Term: 12 Months	$40,000	DRF Environment
Design Trust for Public Space 338 West 39th Street, Fl 10 New York, NY 10018	$50,000.00	Grant: 50,000 Paid: 50,000 Bal.: 0 Term: 12 Months	$50,000	DRF Environment
El Puente 211 South 4th Street Brooklyn, NY 11211	$25,000.00	Grant: 25,000 Paid: 25,000 Bal.: 0 Term: 12 Months	$25,000	DRF Environment
Kentucky Coalition P.O. Box 1450 London, KY 40743	$50,000.00	Grant: 50,000 Paid: 50,000 Bal.: 0 Term: 12 Months	$50,000	DRF Environment

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
Rockefeller Family Fund 475 Riverside Drive, Suite 900 New York, NY 10115	$50,000.00	Grant: 50,000 Paid: 50,000 Bal.: 0 Term: 12 Months	$50,000	DRF Environment
Solar One 24-20 FDR Drive Service Road East New York, NY 10010	$15,000.00	Grant: 15,000 Paid: 15,000 Bal.: 0 Term: 0 Months	$15,000	DRF Environment
Youth Ministries for Peace & Justice 1384 Stratford Avenue Bronx, NY 10472	$20,000.00	Grant: 20,000 Paid: 20,000 Bal.: 0 Term: 12 Months	$20,000	DRF Environment
Total DRF Environment (9 items)	$300,000.00		$300,000	

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
DRF Judicious Exception				
New York Juvenile Justice Initiative NY	$2,500.00	Grant: 2,500 Paid: 2,500 Bal.: 0 Term: 12 Months	$2,500	DRF Judicious Exception
Total DRF Judicious Exception (1 item)	$2,500.00		$2,500	

David Rockefeller Fund

3 February 2011

Organization	Grant Amount	Grant Amount	Paid Amount	Program Area
DRF Team Grants				
American Civil Liberties Union of Wisconsin Foundation 207 East Buffalo Street, Suite 325 Milwaukee, WI 53202	$35,000.00	Grant: 35,000 Paid: 35,000 Bal.: 0 Term: 12 Months	$35,000	DRF Team Grants
Campaign for a Commercial-Free Childhood Third Sector New England 89 South St., #404 Boston, MA 02111	$34,625.00	Grant: 34,625 Paid: 34,625 Bal.: 0 Term: 12 Months	$34,625	DRF Team Grants
Total DRF Team Grants (2 items)	$69,625.00		$69,625	
Grand Totals (36 items)	$1,057,125.00		$907,125	

Form **8868**
(Rev. January 2011)
Department of the Treasury
Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box . . . . . ▶ [X]
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Electronic filing *(e-file)*. You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits.*

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only . . . . . ▶ [ ]

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Type or print	Name of exempt organization	Employer identification number
File by the due date for filing your return. See instructions.	THE DAVID ROCKEFELLER FUND, INC.	13-3533359
	Number, street, and room or suite no. If a P.O. box, see instructions.	
	437 MADISON AVENUE, 37TH FLOOR	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	NEW YORK,NY 10022	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ▶ LEAH D'ANGELO

Telephone No. ▶ 212-812-4228 FAX No. ▶

- If the organization does not have an office or place of business in the United States, check this box . . . . . ▶ [ ]
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box . . . . . ▶ [ ]. If it is for part of the group, check this box . . . . . ▶ [ ] and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 20 11, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ [X] calendar year 20 10 or
▶ [ ] tax year beginning _____, 20____, and ending _____, 20____.

2 If the tax year entered in line 1 is for less than 12 months, check reason: [ ] Initial return [ ] Final return [ ] Change in accounting period

3a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	$
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit	3b	$
c	**Balance Due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	$

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

• If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** and check this box . . . . ▶ ☑

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

• If you are filing for an **Automatic 3-Month Extension, complete only Part I** (on page 1).

Part II **Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

Type or print	Name of exempt organization	Employer identification number
	THE DAVID ROCKEFELLER FUND, INC.	13-3533359
File by the extended due date for filing your return. See instructions.	Number, street, and room or suite no. If a P.O. box, see instructions.	
	475 RIVERSIDE DRIVE, ROOM 900	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	NEW YORK, NY 10115	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	[redacted]	
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

• The books are in the care of ▶ LEAH D'ANGELO

Telephone No. ▶ 212-812-4228 FAX No. ▶

• If the organization does not have an office or place of business in the United States, check this box . . . . . ▶ ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box . . . ▶ ☐. If it is for part of the group, check this box . . . . ▶ ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until 11/15, 20 11.

5 For calendar year 2010, or other tax year beginning _____, 20 _____, and ending _____, 20 ____.

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension INFORMATION NECESSARY TO PREPARE A COMPLETE AND ACCURATE RETURN IS NOT YET AVAILABLE.

8a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	$
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	$
c	**Balance due.** Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	$

Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature ▶ [signature] Title ▶ AUTHORIZED AGENT Date ▶ 8/15/11