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

2009

Department of the Treasury
Internal Revenue Service

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

For calendar year 2009, or tax year beginning 7/01, **2009, and ending** 6/30, **2010**

G Check all that apply: Initial return Initial Return of a former public charity Final return
 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
H Check type of organization	<input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation	C If exemption application is pending, check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, column (c), line 16) \$ 107,161,577.	J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	D 1 Foreign organizations, check here <input type="checkbox"/> 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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)	621,700.			
	2 Ck <input type="checkbox"/> if the foundn is not req to att Sch B				
	3 Interest on savings and temporary cash investments	2,722.	2,722.	2,722.	
	4 Dividends and interest from securities		4,822,713.	4,822,713.	
	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)					
12 Total (Add lines 1 through 11)	624,422.	4,825,435.	4,825,435.		
ADMINISTRATIVE EXPENSES	13 Compensation of officers, directors, trustees, etc	547,300.		508,470.	508,470.
	14 Other employee salaries and wages	2,019,255.		1,894,930.	2,019,255.
	15 Pension plans, employee benefits	805,655.		786,664.	805,655.
	16a Legal fees (attach schedule)				
	b Accounting fees (attach sch)				
	c Other professional fees (attach sch) See St 1	1,091,286.	703,046.	388,240.	388,240.
	17 Interest				
	18 Taxes (attach schedule) (see instr) See Stm 2	115,000.		115,000.	
	19 Depreciation (attach sch) and depletion	322,870.		302,345.	
	20 Occupancy	891,724.		876,356.	876,356.
	21 Travel, conferences, and meetings	104,215.		104,215.	104,215.
	22 Printing and publications				
	23 Other expenses (attach schedule) See Statement 3	610,854.		610,854.	486,445.
	24 Total operating and administrative expenses. Add lines 13 through 23	6,508,159.	703,046.	5,587,074.	5,188,636.
	25 Contributions, gifts, grants paid Part XV	85,617.			85,617.
26 Total expenses and disbursements. Add lines 24 and 25	6,593,776.	703,046.	5,587,074.	5,274,253.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-5,969,354.				
b Net investment income (if negative, enter -0-)		4,122,389.			
c Adjusted net income (if negative, enter -0-)			0.		

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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 (a) Book Value	End of year (b) Book Value (c) Fair Market Value	
ASSETS	1 Cash – non-interest-bearing			
	2 Savings and temporary cash investments	4,540,705.	1,716,106.	1,716,106.
	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)	82,070,438.	84,817,274.	84,817,274.
	11 Investments – land, buildings, and equipment basis			
Less accumulated depreciation (attach schedule)				
12 Investments – mortgage loans				
13 Investments – other (attach schedule)	2,500,505.	2,500,505.	2,500,505.	
14 Land, buildings, and equipment basis	18,752,339.			
Less accumulated depreciation (attach schedule) See Stmt 4	631,332.			
15 Other assets (describe See Statement 5)	3,129.	6,685.	6,685.	
16 Total assets (to be completed by all filers – see instructions Also, see page 1, item I)	106,445,933.	107,161,577.	107,161,577.	
LIABILITIES	17 Accounts payable and accrued expenses	323,139.	816,095.	
	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 6)	3,061,778.	1,268,324.	
	23 Total liabilities (add lines 17 through 22)	3,384,917.	2,084,419.	
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/>			
	24 Unrestricted	81,163,366.	83,179,508.	
	25 Temporarily restricted			
	26 Permanently restricted	21,897,650.	21,897,650.	
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>			
	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)	103,061,016.	105,077,158.		
31 Total liabilities and net assets/fund balances (see the instructions)	106,445,933.	107,161,577.		

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	103,061,016.
2 Enter amount from Part I, line 27a	2	-5,969,354.
3 Other increases not included in line 2 (itemize) See Statement 7	3	7,985,496.
4 Add lines 1, 2, and 3	4	105,077,158.
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	105,077,158.

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)
1 a 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			(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	
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))
2008	4,277,123.	95,890,788.	0.044604
2007			
2006			
2005			
2004			

2 Total of line 1, column (d)	2	0.044604
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	0.011151
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	87,424,391.
5 Multiply line 4 by line 3	5	974,869.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	41,224.
7 Add lines 5 and 6	7	1,016,093.
8 Enter qualifying distributions from Part XII, line 4	8	5,274,253.

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)

1 a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	41,224.
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	41,224.
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	41,224.
6	Credits/Payments		
a	2009 estimated tax prmts and 2008 overpayment credited to 2009	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 <input checked="" type="checkbox"/> if Form 2220 is attached	8	1,240.
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed See Statement 8	9	48,338.
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 2010 estimated tax Refunded	11	

Part VII-A Statements Regarding Activities

	Yes	No
1 a		X
b		X
<i>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.</i>		
c		X
d		
e		
2		X
3		X
4 a		X
4 b		N/A
5		X
6		X
7	X	
8 a		
8 b		X
9	X	
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? Website address <u>www.rockarch.org</u>	13	X	
14	The books are in care of <u>ROBERT D. ROSENDALE, CPA</u> Telephone no <u>914-366-6310</u> Located at <u>15 DAYTON AVENUE SLEEPY HOLLOW NY</u> ZIP + 4 <u>10591</u>			
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 <u>15</u>	N/A		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.		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? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>	1b	X
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 2009?	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 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If 'Yes,' list the years <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u>		
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 <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u>		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If 'Yes,' did it have excess business holdings in 2009 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.</i>)	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 2009?	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 Yes No

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 6b

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No 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 7b

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? 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 11				
		547,300.	155,274.	8,717.

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
ROSEANN VARIANO 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	FAC COORDINAT 35	102,280.	27,330.	0.
KEN ROSE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASSOC DIRECTO 35	101,890.	48,103.	2,138.
LEE HILTZIK 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35	83,655.	43,922.	356.
ERWIN LEVOLD 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	SR RESEARCH A 35	82,620.	26,948.	0.
MICHELE HILTZIK 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35	78,694.	20,324.	439.
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	703,046.
LANDMARK FACILITIES GROUP 252 EAST AVENUE NORWALK, CT 06855	FACILITY DESIGN	173,540.
----- ----- -----		
----- ----- -----		
----- ----- -----		
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 N/A ----- -----	
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.

BAA

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	1 a	86,046,047.
b Average of monthly cash balances	1 b	2,709,680.
c Fair market value of all other assets (see instructions)	1 c	
d Total (add lines 1a, b, and c)	1 d	88,755,727.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	88,755,727.
4 Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	1,331,336.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	87,424,391.
6 Minimum investment return. Enter 5% of line 5	6	4,371,220.

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	N/A	1	
2a Tax on investment income for 2009 from Part VI, line 5	2 a		
b Income tax for 2009. (This does not include the tax from Part VI)	2 b		
c Add lines 2a and 2b	2 c		
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	1 a	5,274,253.
b Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	5,274,253.
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	41,224.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	5,233,029.

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 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only				
b Total for prior years 20 __, 20 __, 20 __				
3 Excess distributions carryover, if any, to 2009.				
a From 2004				
b From 2005				
c From 2006				
d From 2007				
e From 2008				
f Total of lines 3a through e.				
4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ _____				
a Applied to 2008, 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 2009 distributable amount				
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2009 (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 2008. Subtract line 4a from line 2a. Taxable amount – see instructions				
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				
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 2004 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008				
e Excess from 2009				

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, 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 4942(j)(3) or 4942(j)(5)

2 a 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				(e) Total
	(a) 2009	(b) 2008	(c) 2007	(d) 2006	
b 85% of line 2a	0.	3,514,135.			3,514,135.
c Qualifying distributions from Part XII, line 4 for each year listed	5,274,253.	4,277,123.			9,551,376.
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	5,274,253.	4,277,123.			9,551,376.

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

	2,928,717.	3,196,359.			6,125,076.
--	------------	------------	--	--	------------

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 12

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 <i>Paid during the year</i> See Statement 13				
Total				▶ 3a 85,617.
b <i>Approved for future payment</i>				
Total				▶ 3b

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

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
- (2) Other assets

b Other transactions.

- (1) Sales of assets to a noncharitable exempt organization
- (2) Purchases of assets from a noncharitable exempt organization.
- (3) Rental of facilities, equipment, or other assets
- (4) Reimbursement arrangements
- (5) Loans or loan guarantees
- (6) Performance of services or membership or fundraising solicitations.

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees

	Yes	No
1 a (1)		X
1 a (2)		X
1 b (1)		X
1 b (2)		X
1 b (3)		X
1 b (4)		X
1 b (5)		X
1 b (6)		X
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		

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
 Signature of officer or trustee: *Colin D. Roseville* Date: *5/16/2011* Title: *COO*

HER E
Paid Preparer's Use Only
 Preparer's signature: *Self-Prepared* Date: _____
 Check if self-employed: Preparer's identifying number (See Signature in the instrs): _____
 Firm's name (or yours if self-employed), address, and ZIP code: _____ EIN: _____
 Phone no: _____

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

2009

Name of the organization

ROCKEFELLER ARCHIVE CENTER

Employer identification number

20-8030810

Organization type (check one)

Filers of:

Form 990 or 990-EZ

Form 990-PF

Section:

- 501(c)(____) (enter number) organization
 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
 527 political organization
 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)/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).

BAA For Privacy Act and Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2009)

Name of organization

Employer identification number

ROCKEFELLER ARCHIVE CENTER

20-8030810

Part I Contributors (see instructions.)

(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	THE ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK, NY 10065	\$ 500,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II if there is a noncash contribution.)</small>
2	COMMONWEALTH FOUNDATION 225 STATE STREET HARRISBURG, NY 17101	\$ 90,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II if there is a noncash contribution.)</small>
3	RUSSELL SAGE FOUNDATION 112 EAST 64TH STREET NEW YORK, NY 10065	\$ 10,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II if there is a noncash contribution.)</small>
4	NEAR EAST FOUNDATION 900 S CROUSE AVENUE SYRACUSE, NY 13244	\$ 11,200.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II if there is a noncash contribution.)</small>
5	SOCIAL SCIENCE RESEARCH COUNCIL 1688 VICTORY BLVD STATEN ISLAND, NY 10314	\$ 10,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II if there is a noncash contribution.)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II if there is a noncash contribution.)</small>

Name of organization

Employer identification number

ROCKEFELLER ARCHIVE CENTER

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
	N/A		
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

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

ROCKEFELLER ARCHIVE CENTER

20-8030810

Statement 1
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	\$ 214,700.		\$ 214,700.	\$ 214,700.
FACILITY DESIGN	173,540.		173,540.	173,540.
FINANCIAL SERVICES/INVESTMENT FEES	703,046.	\$ 703,046.		
Total	<u>\$ 1,091,286.</u>	<u>\$ 703,046.</u>	<u>\$ 388,240.</u>	<u>\$ 388,240.</u>

Statement 2
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
EXCISE TAXES	\$ 115,000.		\$ 115,000.	
Total	<u>\$ 115,000.</u>	<u>\$ 0.</u>	<u>\$ 115,000.</u>	<u>\$ 0.</u>

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
DIGITIZATION AND MICROFILMING	\$ 136,746.		\$ 136,746.	\$ 136,746.
MEMBERSHIPS	21,252.		21,252.	21,252.
MISCELLANEOUS	124,409.		124,409.	
POSTAGE AND SUPPLIES	233,645.		233,645.	233,645.
SCHOLARLY CONFERENCES & WORKSHOPS	94,802.		94,802.	94,802.
Total	<u>\$ 610,854.</u>	<u>\$ 0.</u>	<u>\$ 610,854.</u>	<u>\$ 486,445.</u>

Statement 4
Form 990-PF, Part II, Line 14
Land, Buildings, and Equipment

Category	Basis	Accum. Deprec.	Book Value	Fair Market Value
Machinery and Equipment	\$ 263,710.	\$ 0.	\$ 263,710.	\$ 263,710.
Buildings	12,592,538.	631,332.	11,961,206.	11,961,206.
Land	4,838,000.		4,838,000.	4,838,000.
Miscellaneous	1,058,091.	0.	1,058,091.	1,058,091.
Total	<u>\$ 18,752,339.</u>	<u>\$ 631,332.</u>	<u>\$ 18,121,007.</u>	<u>\$ 18,121,007.</u>

ROCKEFELLER ARCHIVE CENTER

20-8030810

Statement 5
Form 990-PF, Part II, Line 15
Other Assets

	<u>Book Value</u>	<u>Fair Market Value</u>
MISCELLANEOUS	\$ 6,685.	\$ 6,685.
Total	<u>\$ 6,685.</u>	<u>\$ 6,685.</u>

Statement 6
Form 990-PF, Part II, Line 22
Other Liabilities

EXCISE TAXES PAYABLE	\$ 115,000.
DUE TO THE ROCKEFELLER UNIVERSITY	1,153,324.
Total	<u>\$ 1,268,324.</u>

Statement 7
Form 990-PF, Part III, Line 3
Other Increases

NET UNREALIZED GAIN ON INVESTMENTS	\$ 6,211,419.
SPENDING RATE ADJUSTMENT FOR FY 2009 & FY 2010	1,774,077.
Total	<u>\$ 7,985,496.</u>

Statement 8
Form 990-PF, Part VI, Line 9
Tax Due

Tax Due	\$ 42,464.
Late Filing Penalty	3,640.
Late Payment Penalty	1,443.
Late Interest	791.
Total	<u>\$ 48,338.</u>

Statement 9
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 EDUCATION FORM.

ROCKEFELLER ARCHIVE CENTER

20-8030810

Statement 10
Form 990-PF, Part VII-A, Line 10
Substantial Contributors During the Tax Year

<u>Name of Substantial Contributor</u>	<u>Address of Substantial Contributor</u>
THE ROCKEFELLER UNIVERSITY	1230 YORK AVENUE NEW YORK, NY 10065

Statement 11
Form 990-PF, Part VIII, Line 1
List of Officers, Directors, Trustees, and Key Employees

<u>Name and Address</u>	<u>Title and Average Hours Per Week Devoted</u>	<u>Compen- sation</u>	<u>Contri- bution to EBP & DC</u>	<u>Expense Account/ Other</u>
NEIL L. RUDENSTINE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Chairman 1.00	\$ 0.	\$ 0.	\$ 0.
FRED BOHEN 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Secretary 1.00	0.	0.	0.
STEPHEN HEINTZ 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Treasurer 1.00	0.	0.	0.
PAUL NURSE 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.
JUDITH RODIN 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1.00	0.	0.	0.
MEGAN SNIFFIN-MARINOFF 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1.00	0.	0.	0.
ERIC WANNER 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	197,500.	64,657.	4,775.

ROCKEFELLER ARCHIVE CENTER

20-8030810

Statement 11 (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	Compensation	Contribution to EBP & DC	Expense Account/Other
ROBERT D. ROSENDALE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	COO 35.00	\$ 190,800.	\$ 54,241.	\$ 2,007.
JAMES A. SMITH 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Vice President 35.00	159,000.	36,376.	1,935.
		Total \$ 547,300.	\$ 155,274.	\$ 8,717.

Statement 12
Form 990-PF, Part XV, Line 2a-d
Application Submission Information

Name of Grant Program: GRANT-IN-AID PROGRAM
Name: GRANTS ADMINSTRATOR
Care Of: CAMILLA HARRIS
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 13
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

Name and Address	Donee Relationship	Found-ation Status	Purpose of Grant	Amount
NICOLE PACINO ,	NONE	NONE	GRANT-IN-AID	\$ 2,342.
HAIPENG ZHOU ,	NONE	NONE	GRANT-IN-AID	2,500.

ROCKEFELLER ARCHIVE CENTER

20-8030810

Statement 13 (continued)
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

<u>Name and Address</u>	<u>Donee Relationship</u>	<u>Found- ation Status</u>	<u>Purpose of Grant</u>	<u>Amount</u>
WEN HUA KUO ,	NONE	NONE	GRANT-IN-AID	\$ 5,000.
JAMIN ROWAN ,	NONE	NONE	GRANT-IN-AID	1,253.
GRETA MARCHESI ,	NONE	NONE	GRANT-IN-AID	1,863.
STEPHANIE KELLY ,	NONE	NONE	GRANT-IN-AID	2,445.
MICHELE HILMES ,	NONE	NONE	GRANT-IN-AID	2,078.
REIKO MAEKAWA ,	NONE	NONE	GRANT-IN-AID	3,000.
WILLIAM BUXTON ,	NONE	NONE	GRANT-IN-AID	2,500.
ANDREW HULL ,	NONE	NONE	GRANT-IN-AID	2,500.
STEPHANIE BAKER ,	NONE	NONE	GRANT-IN-AID	1,200.
GAIA CAMELLINO ,	NONE	NONE	GRANT-IN-AID	2,890.
DI YIN LU ,	NONE	NONE	GRANT-IN-AID	2,500.
AMY MORAN THOMAS ,	NONE	NONE	GRANT-IN-AID	1,250.
ANDREA RENNER ,	NONE	NONE	GRANT-IN-AID	452.
RHONDA JONES ,	NONE	NONE	GRANT-IN-AID	1,892.
NICOLE BARNES ,	NONE	NONE	GRANT-IN-AID	2,500.
ERNESTO CAPELLO ,	NONE	NONE	GRANT-IN-AID	2,500.
ZEULLER R LIMA ,	NONE	NONE	GRANT-IN-AID	2,165.

ROCKEFELLER ARCHIVE CENTER

20-8030810

Statement 13 (continued)
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

<u>Name and Address</u>	<u>Donee Relationship</u>	<u>Found- ation Status</u>	<u>Purpose of Grant</u>	<u>Amount</u>
EDMUND RAMSDEN ,	NONE	NONE	GRANT-IN-AID	\$ 4,383.
JESSICA NEPTUNE ,	NONE	NONE	GRANT-IN-AID	2,466.
BURTON CLEETUS ,	NONE	NONE	GRANT-IN-AID	2,846.
STEPHANIE S BATOR ,	NONE	NONE	GRANT-IN-AID	2,500.
KIVANC KILINC ,	NONE	NONE	GRANT-IN-AID	965.
MELISSA WOOTEN ,	NONE	NONE	GRANT-IN-AID	2,500.
SERVANDO ORTOLL ,	NONE	NONE	GRANT-IN-AID	5,000.
FLORIS HEUKELOM ,	NONE	NONE	GRANT-IN-AID	2,623.
A JOSEPH BORRELL ,	NONE	NONE	GRANT-IN-AID	1,177.
MYTHELI SREENIVAS ,	NONE	NONE	GRANT-IN-AID	892.
BRIAN ZUGAY ,	NONE	NONE	GRANT-IN-AID	1,617.
SUSAN CHAMBRE ,	NONE	NONE	GRANT-IN-AID	304.
NANCY LUTKEHAUS ,	NONE	NONE	GRANT-IN-AID	4,864.
JOSEPH P CAREY ,	NONE	NONE	GRANT-IN-AID	1,026.
GRETCHEN BOGER ,	NONE	NONE	GRANT-IN-AID	337.
EVAN R WARD ,	NONE	NONE	GRANT-IN-AID	2,500.
N W COLLINS ,	NONE	NONE	GRANT-IN-AID	193.

ROCKEFELLER ARCHIVE CENTER

20-8030810

Statement 13 (continued)
Form 990-PF, Part XV, Line 3a
Recipient Paid During the Year

<u>Name and Address</u>	<u>Donee Relationship</u>	<u>Found- ation Status</u>	<u>Purpose of Grant</u>	<u>Amount</u>
PATRICIO DEL REAL ,	NONE	NONE	GRANT-IN-AID	\$ 1,000.
REBECCA WILLIAMS ,	NONE	NONE	GRANT-IN-AID	2,621.
CHRISTOPH GRADMANN ,	NONE	NONE	GRANT-IN-AID	1,248.
FLORIAN MILDENBERGER ,	NONE	NONE	GRANT-IN-AID	1,725.
			Total	\$ <u>85,617.</u>