

See a Social Security Number? Say Something!
Report Privacy Problems to https://public.resource.org/privacy
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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

2011

For calendar year 2011, or tax year beginning , 2011, and ending ,

Name of foundation THE DAVID ROCKEFELLER FUND, INC.	**A** Employer identification number 13-3533359
Number and street (or P O box number if mail is not delivered to street address) 475 RIVERSIDE DRIVE	Room/suite 900
	B Telephone number (see the instructions) (212) 812-4200
City or town NEW YORK	State ZIP code NY 10115

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

H Check type of organization. ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16) ► $ 4,364,685.

J Accounting method: ☐ Cash ☒ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)

C If exemption application is pending, check here. ► ☐

D 1 Foreign organizations, check here . . . . . ► ☐

2 Foreign organizations meeting the 85% test, check here and attach computation . . . . . ► ☐

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

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

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 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)	1,250,000.			
	2 Ck ► ☐ if the foundn is not req to att Sch B				
	3 Interest on savings and temporary cash investments	30.	30.		
	4 Dividends and interest from securities	91,472.	109,249.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain/(loss) from sale of assets not on line 10	-38,015.			
	b Gross sales price for all assets on line 6a 515,170.				
	7 Capital gain net income (from Part IV, line 2)		0.		
	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		6,403.		
	12 **Total.** Add lines 1 through 11	1,303,487.	115,682.		
OPERATING AND ADMINISTRATIVE EXPENSES	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) L-16b Stmt	24,000.	2,400.		21,600.
	c Other prof fees (attach sch) L-16c Stmt	57,585.	59,708.		5,275.
	17 Interest				
	18 Taxes (attach schedule)(see instrs) See Line 18 Stmt	-2,083.	8,270.		
	19 Depreciation (attach sch) and depletion	583.			
	20 Occupancy				
	21 Travel, conferences, and meetings	5,418.			
	22 Printing and publications				
	23 Other expenses (attach schedule) See Line 23 Stmt	31,410.	1,199.		30,211.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	116,913.	71,577.		57,086.
	25 Contributions, gifts, grants paid	1,379,500.			1,453,500.
	26 **Total expenses and disbursements.** Add lines 24 and 25	1,496,413.	71,577.		1,510,586.
	27 Subtract line 26 from line 12:				
	a **Excess of revenue over expenses and disbursements**	-192,926.			
	b Net investment income (if negative, enter -0-)		44,105.		
	c Adjusted net income (if negative, enter -0-)				

SCANNED NOV 2 6 2012

RECEIVED NOV 2 2012 IRS-OSC

2

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	100,335.	66,436.	66,436.
	2	Savings and temporary cash investments	99,466.	125,256.	125,256.
	3	Accounts receivable ► 3,403.			
		Less allowance for doubtful accounts ►	2,387.	3,403.	3,403.
	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 instructions)			
	7	Other notes and loans receivable (attach sch) ►			
		Less allowance for doubtful accounts ►			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments — U S and state government obligations (attach schedule)			
	b	Investments — corporate stock (attach schedule)			
	c	Investments — corporate bonds (attach schedule)			
	11	Investments — land, buildings, and equipment basis ►			
		Less accumulated depreciation (attach schedule) ►			
	12	Investments — mortgage loans			
	13	Investments — other (attach schedule) L-13 Stmt	4,626,560.	4,169,007.	4,169,007.
	14	Land, buildings, and equipment basis ►			
		Less accumulated depreciation (attach schedule) ►	1,166.	583.	583.
	15	Other assets (describe ►)			
	16	**Total assets** (to be completed by all filers — see the instructions Also, see page 1, item I)	4,829,914.	4,364,685.	4,364,685.
LIABILITIES	17	Accounts payable and accrued expenses	53,481.	44,427.	
	18	Grants payable	158,000.	85,000.	
	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)	211,481.	129,427.	
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	4,618,433.	4,235,258.	
	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 instructions)	4,618,433.	4,235,258.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	4,829,914.	4,364,685.	

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	4,618,433.
2	Enter amount from Part I, line 27a		2	-192,926.
3	Other increases not included in line 2 (itemize) ► DEFERRED FEDERAL EXCISE TAX		3	3,882.
4	Add lines 1, 2, and 3		4	4,429,389.
5	Decreases not included in line 2 (itemize) ► UNREALIZED DEPRECIATION ON INVESTMENTS		5	194,131.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30		6	4,235,258.

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	-48,965.
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 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))
2010	1,427,677.	4,786,973.	0.298242
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

2	**Total** of line 1, column (d)	2	0.910598
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	0.182120
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	4,865,255.
5	Multiply line 4 by line 3	5	886,060.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	441.
7	Add lines 5 and 6	7	886,501.
8	Enter qualifying distributions from Part XII, line 4	8	1,510,586.

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 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 instrs)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► ☒ and enter 1% of Part I, line 27b	1	441.
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	441.
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	441.
6	Credits/Payments		
a	2011 estimated tax pmts and 2010 overpayment credited to 2011 — 6a: 3,433.		
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	3,433.
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	2,992.
11	Enter the amount of line 10 to be **Credited to 2012 estimated tax** ► 2,992. **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 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 2011 or the taxable year beginning in 2011 (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 make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	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 N/A

			Yes	No
16	At any time during calendar year 2011, 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		X
	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

			Yes	No
	File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.			
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 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 2011?	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 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? ☐ 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 instructions) N/A	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 2011 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 2011.)* N/A	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 2011?	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)? . . . . . N/A . . . 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? . . . . . N/A ☐ Yes ☐ No

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . . ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . . 6b X

If '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? . . . . . N/A . . 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				

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	4,690,099.
b	Average of monthly cash balances	1b	249,246.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	4,939,345.
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	4,939,345.
4	Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	74,090.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,865,255.
6	**Minimum investment return.** Enter 5% of line 5	6	243,263.

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	243,263.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	441.		
b	Income tax for 2011 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	441.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	242,822.
4	Recoveries of amounts treated as qualifying distributions			4	1,000.
5	Add lines 3 and 4			5	243,822.
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	243,822.

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	1,510,586.
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	1,510,586.
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	441.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,510,145.

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 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				243,822.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			0.	
b Total for prior years 20 ___, 20 ___, 20 ___		0.		
3 Excess distributions carryover, if any, to 2011				
a From 2006 484,227.				
b From 2007 524,229.				
c From 2008 484,371.				
d From 2009 613,002.				
e From 2010 1,191,862.				
f Total of lines 3a through e	3,297,691.			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ $ 1,510,586.				
a Applied to 2010, 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)	0.			
d Applied to 2011 distributable amount				243,822.
e Remaining amount distributed out of corpus	1,266,764.			
5 Excess distributions carryover applied to 2011 *(If an amount appears in column (d), the same amount must be shown in column (a).)*	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	4,564,455.			
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 2010 Subtract line 4a from line 2a Taxable amount – see instructions			0.	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				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 2006 not applied on line 5 or line 7 (see instructions)	484,227.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	4,080,228.			
10 Analysis of line 9				
a Excess from 2007 524,229.				
b Excess from 2008 484,371.				
c Excess from 2009 613,002.				
d Excess from 2010 1,191,862.				
e Excess from 2011 1,266,764.				

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

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 2011, 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)

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 (a) 2011	Prior 3 years (b) 2010	(c) 2009	(d) 2008	(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 7				1,453,500.
Total . . . . . ► **3a**				1,453,500.
b *Approved for future payment*				
SEE STATEMENT 7				85,000.
Total . . . . . ► **3b**				85,000.

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 instructions)
	(a) Business code	(b) Amount	(c) Exclu-sion 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	30.	
4 Dividends and interest from securities	525990	245.	14	91,227.	
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	354.	18	-354.	
8 Gain or (loss) from sales of assets other than inventory	525990	32.	18	-38,047.	
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)		631.		52,856.	
13 Total. Add line 12, columns (b), (d), and (e)					53,487.

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

d If the answer to any of the above is 'Yes,' complete the following schedule Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received

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

2 a 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

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge

▶ Laurie S. Pillsbury 10/25/12 ▶ Executive Director

Signature of officer or trustee Date Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☐ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Barbara E. Hunt	Barbara E. Hunt By Tax Manager	10/25/12		P00916443

Firm's name ▶ KPMG LLP Firm's EIN ▶ 13-5565207

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, Form 990-EZ, or Form 990-PF**

OMB No 1545-0047

2011

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, total 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 total 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 its Form 990, or check the box on line H of its Form 990-EZ or on Part I, 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	Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

Part I **Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

(a) Number	(b) Name, address, and ZIP + 4	(c) Total 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)

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 Partnerships		6,403.	
Total		6,403.	

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

Taxes	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
FEDERAL EXCISE TAX	-2,083.			
FOREIGN TAXES PAID-THROUGH LIMITED PARTNERSHIPS		8,270.		
Total	-2,083.	8,270.		

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 ACCT. SERVICE	11,985.	1,199.		10,786.
GENERAL OFFICE EXPENSE	5,325.			5,325.
Website Development	14,100.			14,100.
Total	31,410.	1,199.		30,211.

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	24,000.	2,400.		21,600.
Total		24,000.	2,400.		21,600.

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
ROCK & CO.	Investment Management	47,172.	53,313.		
ROCK & CO.	CUSTODY FEES	5,138.	6,395.		
Rockefeller Philantropy Advisors	Grants Administration	5,275.			5,275.
Total		57,585.	59,708.		5,275.

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	2,616,337.	2,616,337.
ROCKEFELLER ALTERNATIVE STATEGIES FUND	29,028.	29,028.
ROCKEFELLER ACCESS FUND 06-1	422,417.	422,417.
ROCKEFELLER LIBRA FUND	914,708.	914,708.
JP MORGAN STRATEGIC OPPORTUNITIES FUND	85,517.	85,517.
PIMCO TOTAL RETURN FUND	101,000.	101,000.
Total	4,169,007.	4,169,007.

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**
Supplementary Information Part XV, line 2		**Statement 7A**
Grants and Contributions Paid During the Year or Approved for Future Payment Part XV, line 3 (a) & (b)		**Statement 7**

DAVID ROCKEFELLER FUND, INC.
13-3533359 **STATEMENT 2**
475 Riverside Drive, Suite 900 **FORM 990-PF**
New York, New York 10115 **YEAR 2011**

Schedule of Capital Gains and Losses

Part I, line 6a

	Gain or (Loss)
Libra Fund	$ (10,227)
Rock & Co. Global Equity I	(22,620)
Rock & Co. Alternative Strategies	-
J.P. Morgan Strategic Opportunities Fund	(1,652)
PIMCO Total Return Fund	(3,516)
Net Realized Losses per Books (Total Part I, line 6a,col.(a))	**$ (38,015)**

Add: Actual Net Capital Gain/(Loss) per limited partnerships (Schedule K-1 basis):

Libra Fund	(9,523)	
Rock & Co. Global Equity I	(18,960)	
Rock & Co. Alternative Strategies	(25,345)	
Rock & Co. Access Fund	10,031	
		(43,797)
Less: Gain/(loss) from Partnerships previously reflected in books, for which K-1 values are now reflected on Form 990PF:		
Libra Fund		10,227
Rock & Co. Global Equity I		22,620
Rock & Co. Alternative Strategies		0
Total Part IV, line 2		**$ (48,965)**

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

STATEMENT 3
FORM 990-PF
YEAR 2011

Schedule of Other Income

Part I, line 11, col. b

	Other Income
Libra Fund	$ (2)
Rock & Co. Global Equity I	38
Rock & Co. Alternative Strategies	6,585
Rock & Co. Access Fund	(218)
Other Income (Total Part I, line 11,col.(b))	$ 6,403

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

STATEMENT 4
FORM 990-PF
YEAR 2011

SCHEDULE OF DEPRECIATION

Part I, line 19

	ASSETS				ACCUMULATED DEPRECIATION		
Description	Beginning of Year	2011 Acquisitions	2011 Dispositions	End of Year	Reserve, beginning of Year	**2011 Depreciation (Part 1, line 19)**	Reserve, end of Year
Computer Equipment & Software	1,166	0	0	1,166	0	**583**	583
						Fixed Assets, net of accumulated depreciation	583

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

STATEMENT 5
FORM 990-PF
YEAR 2011

SCHEDULE OF LAND, BUILDINGS & EQUIPMENT

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

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

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
EILEEN GROWALD 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
LEE HALPERIN 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	1	NONE	NONE	NONE
CHRIS LINDSTROM 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
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
DAVID KAISER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/CHAIR		2	NONE	NONE	NONE
MARNIE PILLSBURY 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/ EXECUTIVE DIRECTOR		12	NONE	NONE	NONE
ARIANA ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
KRISTA SMITH 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	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
DANIEL GROWALD 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	1	NONE	NONE	NONE
JAMES SLIGAR 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/TREASURER	(2)	1	NONE	NONE	NONE
CLAYTON ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
MIRANDA KAISER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	1	NONE	NONE	NONE
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
STEPHEN HEINTZ 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
RICHARD ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	1	NONE	NONE	NONE
REBECCA LAMBERT 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	1	NONE	NONE	NONE
MARIANNA SCHAFFER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	SECRETARY		35	NONE	NONE	NONE

(1) Effective January 1, 2011.
(2) Treasurer, effective January 1, 2011.

FORM 990-PF, PART XV - SUPPLEMENTARY INFORMATION

LINE 2 - Information Regarding Contributions, Grant, Gift, Loan, Scholarship, etc, Programs

The David Rockefeller Fund currently has four primary program areas: Arts, Criminal Justice, Environment, and Community The Community grants program supports non-profit organizations annually in Maine, Westchester and Columbia Counties, New York.

The Arts program focuses on access and engagement; Criminal Justice promotes a more humane and fair criminal justice system, and Environment addresses climate change and local sustainability efforts

In addition to the program areas outlined above, the Fund underwrites a number of initiatives designed to encourage family members' individual philanthropic involvement and interests, as well as collaborative grantmaking by the family.

The Fund does not accept unsolicited proposals for any of its program areas.

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

LINE 3 (a) and (b)

Grant Reconciliation		
Grants Payable at 12/31/2010		$ 158,000
Add: Grants Awarded Through 12/31/11		
Discretionary (Trustee) [1]	230,000	
Community Grants [1]	220,500	
Program Grants [1]	890,000	
Matching Gifts [2]	41,000	
	1,381,500	
2011 Lapsed Grants [3]	2,000	
		1,379,500
Less: Grants Paid Through 12/31/11		
Discretionary (Trustee) [1]	230,000	
Community Grants [1]	219,500	
Program Grants [1]	970,000	
Matching Gifts [2]	34,000	
	1,453,500	
2011 Returned Grant [3]	1,000	
		1,452,500
Grants Payable at 12/31/11		$ 85,000

[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 2011 includes $8,000 in matching grants for 2010 that were paid in 2011

[3] Grants awarded to Willowind Therapeutic Riding for $1,000 in 2010 and 2011 In 2010, Willowind lost its fiscal sponsor and applied for independent 501©3 status, check was issued but not cashed. A stop payment was placed and a replacement check was not reissued. The funds awarded in 2011 were not paid due to pending confirmation of their 501©3 status. By December 31, 2011, the Fund did not received that confirmation ,therefore, both grants awarded in 2010 and 2011 were lapsed.

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 2011 (Trustee)

8-Feb-12

Organization	Approved Amount	Req/Granted		Paid Amount	Program Area
Rockefeller Philanthropy Advisors 6 West 48th Street, Floor 12 New York, NY 10036-1802	230,000	Grant Paid Bal : 0 Term. 12 Months	230,000 230,000	230,000	DRF Trustee (Discretionary)
Grand Totals (1 Item)	***230,000***			***230,000***	

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	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
Acadia Family Center Ed Oechslie Tel (207) 244-4012 oechslie@msn com	$2,500	Grant 2,500 Paid 2,500 Bal 0 Term 12 Months	$2,500	Civic and Community [Citizenship]	DRF Maine
Bar Harbor Fire Department 37 Firefly Lane 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
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	$1,000	DR Fund Community [Citizenship]	DRF Maine
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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	$10,000	DR Fund Community [Citizenship]	DRF Maine
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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 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
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	$1,000	DR Fund Community [Citizenship]	DRF Maine

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	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 Term 12 Months	$2,500	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	$3,000	DR Fund Community [Citizenship]	DRF Maine
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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	$3,500	DR Fund Community [Citizenship]	DRF Maine
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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	$500	DR Fund Community [Citizenship]	DRF Maine
Northeast Harbor Library P O Box 279 Northeast Harbor, ME 04662-0279	$1,500	Grant 1,500 Paid 1,500 Bal 0	$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	$3,500	DR Fund Community [Citizenship]	DRF Maine
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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 0 Bal 1,000 Term 0 Months	$1,000	DR Fund Community [Citizenship]	DRF Maine
Total DRF Maine (46 items)	**$119,500**		**$118,500**		
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	$1,500	DR Fund Community [Citizenship]	DRF Westchester County
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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	$2,500	DR Fund Community [Citizenship]	DRF Westchester County
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	$1,000	DR Fund Community [Citizenship]	DRF Westchester County

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	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	$5,000	DR Fund Community [Citizenship]	DRF Westchester County
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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	$1,500	DR Fund Community [Citizenship]	DRF Westchester County
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
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	$1,000	DR Fund Community [Citizenship]	DRF Columbia County
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

DRF Community Grants 2011

Grants Approved and Paid 2011 (Community)

8-Feb-12

Organization	Grant Amount	Grant Amount	Paid Amount	Fund	Area Served
United Way of Columbia & Greene Counties P O Box 52 Hudson, NY 12534	$2,500	Grant 2,500 Paid 2,500 Bal 0	$2,500	DR Fund Community [Citizenship]	DRF Columbia County
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 (83 items)	$220,500		$219,500		

David Rockefeller Fund

Arts Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount Program Area
Apple Arts Margot Liebman Tel 646-660-0193 margot@applearts org PO Box 958 New York NY 10014	15,000	Grant 15,000 Paid 15,000 Bal 0 Term 12 Months	15,000 DRF Arts (Arts and Education)
Artists Striving to End Poverty (ASTEP) Mauricio Salgado Tel 212-921-1227 davinia@asteponline org 165 West 46th Street, Suite 1303 New York, NY 10036	15,000	Grant 15,000 Paid 15,000 Bal 0 Term 12 Months	15,000 DRF Arts (Arts and Education)
Bronx Museum of the Arts Yvonne Garcia Tel (718) 681-6000 1040 Grand Concourse Bronx, NY 10456	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000 DRF Arts (Arts and Education)
Brooklyn Academy of Music Karen Brooks Hopkins Tel 718-636-4138 Peter Jay Sharp Building 30 Lafayette Avenue Brooklyn, NY 11217	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000 DRF Arts (Arts and Education)
Fund for Public Schools Keith Meacham Tel (212) 374-2874 MMeacham@schools nyc edu 52 Chambers Street, Room 305 New York, NY 10007	20,000	Grant 20,000 Paid 20,000 Bal 0 Term 12 Months	20,000 DRF Arts (Arts and Education)

David Rockefeller Fund

Arts Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount Program Area
Groove With Me Abigail McCreath Tel 212-987-5910 abby@groovewithme org 186 E 123rd Street, 2nd Floor New York, NY 10035	20,000	Grant 20,000 Paid 20,000 Bal 0 Term 12 Months	20,000 DRF Arts (Arts and Education)
Groundswell Community Mural Project Amy Sananman Tel 718-254-9782 director@groundswellmural org 540 President Street, Suite 1A Brooklyn, NY 11215	40,000	Grant 40,000 Paid 40,000 Bal 0 Term 12 Months	40,000 DRF Arts (Arts and Education)
The Laundromat Project Rise Wilson Tel 718-574-0798 rise@laundromatproject org 275 Macdonough Street Brooklyn, NY 11233	10,000	Grant 10,000 Paid 10,000 Bal 0 Term 12 Months	10,000 DRF Arts (Arts and Education)
Mayor's Fund to Advance New York City *Spaceworks* Kristin Sakoda Tel 212-513-9325 ksakoda@culture nyc gov 253 Broadway, 8th Floor New York, NY 10007	80,000 2yr grant awarded in 2011	Grant 80,000 Paid 40,000 Bal 40,000 Term. 24 Months	40,000 DRF Arts (Arts and Education)

David Rockefeller Fund

Arts Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
New York University Tisch School of the Arts Anne Palermo Tel 212-992-8462 anne palermo@nyu edu 721 Broadway, 12th Floor New York, NY 10003	15,000	Grant 15,000 Paid 15,000 Bal 0 Term 12 Months	15,000	DRF Arts (Arts and Education)
Queens Museum of Art Tom Finkelpearl Tel 718-592-9700 Fax 718-592-5778 New York City Building Flushing Meadows Corona Park Queens, NY 11368-3398	40,000	Grant 40,000 Paid 40,000 Bal 0 Term 12 Months	40,000	DRF Arts (Arts and Education)
Studio Museum in Harlem Thelma Golden Tel (212) 864-4500 Fax (212) 864-4800 144 West 125th Street New York, NY 10027	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Arts (Arts and Education)
Grand Totals (12 items)	330,000		290,000	

David Rockefeller Fund

Criminal Justice Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount Program Area
Center for Court Innovation Jillian Shagan Tel (212) 397-3050 ext 8097 Fax (212) 397-0985 520 Eighth Avenue, 18th Floor New York, NY 10018	30,000	Grant 30,000 Paid 30,000 Bal 0 Term 12 Months	30,000 DRF Criminal Justice
College and Community Fellowship *Education from the Inside Out Coalition* Vivian Nixon Tel (646) 380-7777 vnixon@collegeandcommunity org 475 Riverside Drive, Suite 1626 New York, NY 10115	50,000 2yr grant awarded in 2010	Grant 100,000 Paid 100,000 Bal 0 Term 24 Months	50,000 DRF Criminal Justice
Fortune Society Glenn Martin Tel 212-691-7554 Fax 347-510-3451 29-76 Northern Boulevard Long Island City, NY 11101	30,000	Grant 30,000 Paid 30,000 Bal 0 Term 12 Months	30,000 DRF Criminal Justice
Getting Out and Staying Out Mark L Goldsmith Tel (212) 831-5020 Fax (212) 996-0436 91 E 116th St New York, NY 10029	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000 DRF Criminal Justice
John Jay College of Criminal Justice 555 W 57th Street, 6th Floor New York, NY 10019	50,000 2yr grant awarded in 2010	Grant 100,000 Paid 100,000 Bal 0 Term 24 Months	$50,000 DRF Criminal Justice

David Rockefeller Fund

Criminal Justice Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount Program Area
Mayor's Fund to Advance New York City *NYC Department of Probation* Megan Sheekey Tel (212) 788-7794 msheekey@cityhall nyc gov 253 Broadway, 8th Floor New York, NY 10003	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000 DRF Criminal Justice
Peace Alliance Educational Institute Matthew Albrecht P O Box 27601 Washington, DC 20038	25,000 1 yr grant awarded in 2010 501(c)3 status was not received until 7/11	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000 DRF Criminal Justice
The Sentencing Project Marc Mauer Tel 202-628-0871 Fax 202-628-1091 mauer@sentencingproject org 1750 DeSales Street, NW, 8th Floor Washington, DC 20036	30,000	Grant 30,000 Paid 30,000 Bal 0 Term 12 Months	30,000 DRF Criminal Justice
Vera Institute of Justice Annie Salsich 233 Broadway, 12th Floor New York, NY 10279	50,000	Grant 50,000 Paid 50,000 Bal 0 Term 12 Months	50,000 DRF Criminal Justice
Youth Represent Laurie Parise 342 Broadway New York, NY 10012	25,000 2yr grant awarded in 2010	Grant 50,000 Paid 50,000 Bal 0 Term. 24 Months	25,000 DRF Criminal Justice
Grand Totals (10 items)	190,000		340,000

David Rockefeller Fund

Environment Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount Program Area
Added Value and Herban Solutions Inc Ian Marvey Tel 718-855-5531 Fax 718-855-5497 370 Van Brunt Street Brooklyn, NY 11231	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 0 Months	25,000 DRF Environment
Center for Working Families Dave Palmer Tel 212-206-9168 palmer@cwfny org 1133 Broadway, Suite 332 New York, NY 10010	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000 DRF Environment
Community Labor United Darlene Lombos 6 Beacon Street Boston, MA 02108	50,000	Grant 50,000 Paid 50,000 Bal 0 Term 12 Months	50,000 DRF Environment
DC Project Will Byrne Tel 202-431-8634 1850 M Street NW, Suite 1150 Washington, DC 20036	40,000	Grant 40,000 Paid 40,000 Bal 0 Term 12 Months	40,000 DRF Environment
Design Trust for Public Space Deborah Marton 40 Worth Street, Suite 603 New York, NY 10013	5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	5,000 DRF Environment

David Rockefeller Fund

Environment Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount Program Area
El Puente Joanna Micek Tel 374-532-2809 jmicek@elpuente us 211 South 4th Street Brooklyn, NY 11211	15,000	Grant 15,000 Paid 15,000 Bal 0 Term 12 Months	15,000 DRF Environment
Food Corps Curt Ellis Tel 503-863-7270 281 Park Avenue South New York, NY 10010	60,000 2yr grant awarded in 2011	Grant 60,000 Paid 30,000 Bal 30,000 Term. 24 Months	30,000 DRF Environment
Kentucky Coalition Lauderdale Burt Tel (606) 878-2161 blauderdale@earthlink net P O Box 1450 London, KY 40743	50,000	Grant 50,000 Paid 50,000 Bal 0 Term 12 Months	50,000 DRF Environment
Mountain Association for Community Economic Development (MACED) Justin Maxon Tel (859) 986-2373 Fax (859) 986-1299 info@maced org 433 Chestnut Street Berea, KY 40403	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000 DRF Environment

David Rockefeller Fund

Environment Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
Rockefeller Family Fund Lee Wasserman 475 Riverside Drive, Suite 900 New York, NY 10115	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Environment
Sustainable Endowments Institute Mark Orlowski Tel 617-528-0010 mark@endowmentinstitute org 45 Mt Auburn St Cambridge, MA 02138	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Environment
Grand Totals (11 items)	345,000		315,000	

David Rockefeller Fund

Judicious Exception Grants Approved and Paid 2011

8-Feb-12

Organization	Approved Amount	Req/Granted	Paid Amount Program Area
The New York Community Trust Robert V Edgar 909 Third Avenue, 22nd Floor New York, NY 10022	22,500	Grant 22,500 Paid 22,500 Bal 0 Term 12 Months	22,500 DRF Judicious Exception
New York Juvenile Justice Initative Penny Fujiko Wilgerodt c/o FJC - Fiscal Sponsorship Program 520 Eighth Avenue, 20th floor New York, NY 10018	2,500	Grant 2,500 Paid 2,500 Bal 0 Term 12 Months	2,500 DRF Judicious Exception
Grand Totals (2 items)	25,000		25,000
Total Program Grants (35 Items)	**890,000**		**970,000**
Matching Gifts	**41,000**		**34,000**
Grand Total	**1,381,500**		**1,453,500**

Form **8868**
(Rev. January 2012)
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
File by the due date for filing your return. See instructions.

Name of exempt organization or other filer, see instructions.	Enter filer's identifying number, see instructions Employer identification number (EIN) or
THE DAVID ROCKEFELLER FUND, INC.	[ ] 13-3533359
Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
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	01	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 12, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ [X] calendar year 20 11 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 . . . . . ▶ X

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 / File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions.	Enter filer's identifying number, see instructions: Employer identification number (EIN) or
	THE DAVID ROCKEFELLER FUND, INC.	13-3533359
	Number, street, and room or suite no. If a P.O. box, see instructions	Social security number (SSN)
	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-BL	02	Form 1041-A	08
Form 990-EZ	01	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 12.

5 For calendar year 2011, 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 must be completed for Part II only.

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 ▶ _____ Title ▶ AUTHORIZED AGENT Date ▶ 08-01-12