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Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2012

For calendar year 2012, or tax year beginning , 2012, 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) | Room/suite
475 RIVERSIDE DRIVE | 900

B Telephone number (see the instructions)
(212) 812-4200

City or town | State | ZIP code
NEW YORK | NY | 10115

C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16) ▶ $ 4,891,417.

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

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

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc, received (att sch)	1,250,000.			
2 Ck ▶ ☐ if the foundn is not req to att Sch B				
3 Interest on savings and temporary cash investments	231.	231.		
4 Dividends and interest from securities	95,491.	107,098.		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain/(loss) from sale of assets not on line 10	276,554.			
b Gross sales price for all assets on line 6a 804,894.				
7 Capital gain net income (from Part IV, line 2)		306,242.		
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		-1,097.		
12 **Total.** Add lines 1 through 11	1,622,276.	412,474.		
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	22,200.	2,220.		19,980.
c Other prof fees (attach sch) L-16c Stmt	64,326.	54,427.		
17 Interest				
18 Taxes (attach schedule)(see instrs) See Line 18 Stmt	2,691.	5,952.		
19 Depreciation (attach sch) and depletion	583.			
20 Occupancy				
21 Travel, conferences, and meetings	7,344.			
22 Printing and publications				
23 Other expenses (attach schedule) See Line 23 Stmt	30,919.	981.		29,938.
24 **Total operating and administrative expenses.** Add lines 13 through 23	128,063.	63,580.		49,918.
25 Contributions, gifts, grants paid	1,500,700.			1,332,200.
26 **Total expenses and disbursements.** Add lines 24 and 25	1,628,763.	63,580.		1,382,118.
27 Subtract line 26 from line 12:				
a **Excess of revenue over expenses and disbursements**	-6,487.			
b **Net investment income** (if negative, enter -0-)		348,894.		
c **Adjusted net income** (if negative, enter -0-)				

REVENUE

OPERATING AND ADMINISTRATIVE EXPENSES

SCANNED AUG 2 2013

9816 22

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	66,436.	39,375.	39,375.
	2 Savings and temporary cash investments	125,256.	71,759.	71,759.
	3 Accounts receivable ► 1,584.			
	Less allowance for doubtful accounts ►	3,403.	1,584.	1,584.
	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	4,169,007.	4,778,699.	4,778,699.
	14 Land, buildings, and equipment basis ►			
	Less accumulated depreciation (attach schedule) ►	583.	0.	0.
	15 Other assets (describe ►)			
	16 **Total assets** (to be completed by all filers — see the instructions Also, see page 1, item I)	4,364,685.	4,891,417.	4,891,417.
LIABILITIES	17 Accounts payable and accrued expenses	44,427.	63,327.	
	18 Grants payable	85,000.	255,000.	
	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)	129,427.	318,327.	
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	4,235,258.	4,573,090.	
	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)	4,235,258.	4,573,090.	
	31 **Total liabilities and net assets/fund balances** (see instructions)	4,364,685.	4,891,417.	

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	4,235,258.
2	Enter amount from Part I, line 27a	2	-6,487.
3	Other increases not included in line 2 (itemize) ► UNREALIZED APPRECIATION ON INVESTMENTS	3	351,345.
4	Add lines 1, 2, and 3	4	4,580,116.
5	Decreases not included in line 2 (itemize) ► DEFERRED FEDERAL EXCISE TAX	5	7,026.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	4,573,090.

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

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

2	Capital gain net income or (net capital loss) — If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7	2	306,242.
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))
2011	1,510,145.	4,865,255.	0.310394
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

2	**Total** of line 1, column (d)	2	1.081429
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	0.216286
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	4,819,300.
5	Multiply line 4 by line 3	5	1,042,347.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,489.
7	Add lines 5 and 6	7	1,045,836.
8	Enter qualifying distributions from Part XII, line 4	8	1,382,118.

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	3,489.
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	3,489.
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	3,489.
6	Credits/Payments		
a	2012 estimated tax pmts and 2011 overpayment credited to 2012 — 6a: 2,992.		
b	Exempt foreign organizations – tax withheld at source — 6b:		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 400.		
d	Backup withholding erroneously withheld — 6d:		
7	Total credits and payments Add lines 6a through 6d	7	3,392.
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	97.
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	0.
11	Enter the amount of line 10 to be **Credited to 2013 estimated tax** ▶ **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)?	1b		X
	*If the answer is 'Yes' to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ _____ (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 2012 or the taxable year beginning in 2012 (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 VI-A Statements Regarding Activities (continued)

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation 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 2012, 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 VI-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.

				Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes	☒ No		
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes	☒ No		
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☒ Yes	☐ No		
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes	☒ No		
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes	☒ No		
	(6) Agree to pay money or property to a government official? (**Exception.** Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	☐ Yes	☒ No		
b	If any answer is 'Yes' to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see 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 2012?			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 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012?	☐ 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 2012 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 2012)* 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 2012?			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? **7b**

Part VII 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				

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

Part VII 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	0.
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	0.
2	
All other program-related investments See instructions 3 NONE	0.
Total. Add lines 1 through 3 ▶	None

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	4,694,010.
b	Average of monthly cash balances	1b	198,680.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	4,892,690.
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	4,892,690.
4	Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	73,390.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	4,819,300.
6	**Minimum investment return.** Enter 5% of line 5	6	240,965.

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	240,965.
2a	Tax on investment income for 2012 from Part VI, line 5	2a	3,489.		
b	Income tax for 2012 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	3,489.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	237,476.
4	Recoveries of amounts treated as qualifying distributions			4	1,500.
5	Add lines 3 and 4			5	238,976.
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	238,976.

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	1,382,118.
b	Program-related investments – total from Part IX-B	1b	0.
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	1,382,118.
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	3,489.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,378,629.

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 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				238,976.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			0.	
b Total for prior years: 20 ___, 20 ___, 20 ___				
3 Excess distributions carryover, if any, to 2012				
a From 2007 524,229.				
b From 2008 484,371.				
c From 2009 613,002.				
d From 2010 1,191,862.				
e From 2011 1,266,764.				
f **Total** of lines 3a through e	4,080,228.			
4 Qualifying distributions for 2012 from Part XII, line 4 ► $ 1,382,118.				
a Applied to 2011, 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 2012 distributable amount				238,976.
e Remaining amount distributed out of corpus	1,143,142.			
5 Excess distributions carryover applied to 2012 *(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	5,223,370.			
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 2011. Subtract line 4a from line 2a Taxable amount — see instructions			0.	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013				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 2007 not applied on line 5 or line 7 (see instructions)	524,229.			
9 **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a	4,699,141.			
10 Analysis of line 9				
a Excess from 2008 484,371.				
b Excess from 2009 613,002.				
c Excess from 2010 1,191,862.				
d Excess from 2011 1,266,764.				
e Excess from 2012 1,143,142.				

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 2012, 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) 2012	Prior 3 years (b) 2011	(c) 2010	(d) 2009	(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 foundation 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 ▶ [X] 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 or e-mail 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				
Total ► **3a**				1,332,200.
b *Approved for future payment* SEE STATEMENT 7				
Total ► **3b**				255,000.

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)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	231.	
4 Dividends and interest from securities	525990	445.	14	95,046.	
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	-70.	18	70.	
8 Gain or (loss) from sales of assets other than inventory	525990	1,148.	18	275,406.	
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)		1,523.		370,753.	
13 **Total.** Add line 12, columns (b), (d), and (e)					13 372,276.

(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

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

Sign Here

Signature of officer or trustee: Lewis S. Alexander Date: 11/1/13 Title: Executive Director

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, Sr Tax Mgr	Barbara Hunt	11/1/13		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

2012

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: THE DAVID ROCKEFELLER FUND, INC.

Employer identification number: 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)

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**
Statement of Activities Part VII-A, line 12	**Statement 5A**
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**

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		-1,097.	
Total		-1,097.	

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	2,691.			
FOREIGN TAXES PAID-THROUGH LIMITED PARTNERSHIPS		5,952.		
Total	2,691.	5,952.		

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	9,814.	981.		8,833.
GENERAL OFFICE EXPENSE	18,845.			18,845.
Website Development	2,260.			2,260.
Total	30,919.	981.		29,938.

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	22,200.	2,220.		19,980.
Total		22,200.	2,220.		19,980.

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
DEBORAH BUSCH LANDESMAN	Consultant Fees	12,500.			
DEBORAH BUSCH LANDESMAN	Consultant Expenses	326.			
ROCK & CO.	Investment Management	51,193.	52,941.		
ROCK & CO.	CUSTODY FEES	307.	1,486.		
Total		64,326.	54,427.		

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	2,959,497.	2,959,497.
ROCKEFELLER ALTERNATIVE STATEGIES FUND	18,908.	18,908.
ROCKEFELLER ACCESS FUND 06-1	485,492.	485,492.
ROCKEFELLER LIBRA FUND	1,062,154.	1,062,154.
JP MORGAN STRATEGIC OPPORTUNITIES FUND	1.	1.
ACCESS CAP	202,428.	202,428.
SELF HELP CREDIT UNION	50,219.	50,219.
Total	4,778,699.	4,778,699.

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

STATEMENT 2
FORM 990-PF
YEAR 2012

Schedule of Capital Gains and Losses

Part I, line 6a

		Gain or (Loss)
Gain from sale of securities (Doubleline Total Return Fund, PIMCO Total Return Fund, JP Morgan Strategic Opportunities Fund)	$	10,293
Libra Fund	$	52,677
Rock & Co. Global Equity I	$	228,238
Rock & Co. Alternative Strategies	$	(14,880)
Rock & Co. Access Fund	$	226
Net Realized Gain per Books (Total Part I, line 6a,col.(e))	$	276,554

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

Libra Fund	52,259	
Rock & Co. Global Equity I	228,746	
Rock & Co. Alternative Strategies	(6,221)	
Rock & Co. Access Fund	21,165	
		295,949
Less: Gain/(loss) from Partnerships previously reflected in books, for which K-1 values are now reflected on Form 990PF:		
Libra Fund		(52,677)
Rock & Co. Global Equity I		(228,238)
Rock & Co. Alternative Strategies		14,880
Rock & Co. Access Fund		(226)
Total Part IV, line 2	$	305,242

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

STATEMENT 3
FORM 990-PF
YEAR 2012

Schedule of Other Income

Part I, line 11, col. b

	Other Income
Libra Fund	$ (252)
Rock & Co. Global Equity I	(727)
Rock & Co. Alternative Strategies	(381)
Rock & Co. Access Fund	263
Other Income (Total Part I, line 11,col.(b))	$ (1,097)

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

STATEMENT 4
FORM 990-PF
YEAR 2012

SCHEDULE OF DEPRECIATION

Part I, line 19

	ASSETS				ACCUMULATED DEPRECIATION		
Description	Beginning of Year	2012 Acquisitions	2012 Dispositions	End of Year	Reserve, beginning of Year	**2012 Depreciation (Part 1, line 19)**	Reserve, end of Year
Computer Equipment & Software	583	0	0	583	0	**583**	583
						Fixed Assets, net of accumulated depreciation	0

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

STATEMENT 5
FORM 990-PF
YEAR 2012

SCHEDULE OF LAND, BUILDINGS & EQUIPMENT

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

Description	Cost	Accumulated Depreciation	Net Basis
Computer Equipment & Software	1,749	1,749	0
		Total line 14	**$0**

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

STATEMENT 5A
FORM 990-PF
YEAR 2012

STATEMENT REGARDING ACTIVITIES

Part VII-A, line 12

2012 Distribution to Donor Advised Funds

Under the terms of the donor advised fund ("DAF"), all amounts distributed to the DAF must be granted to one or more organizations qualifying under IRC Section 501(c)(3), so the recipient(s) of all such funds will qualify as organizations described in IRC Section 170(c)(2)(B) under the terms of the DAF.

Donor Advised Funds	Distribution Amount		Date
Rockefeller Philanthropy Advisors:			
The David Rockefeller Fund Trustee Giving - 4th & 5th Generations	$ 230,000.00	(1)	6/19/2012

(1) This amount was treated as a qualifying distribution by the David Rockefeller Fund in 2012.

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	NONE	NONE	NONE
CHRIS LINDSTROM 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
NEVA GOODWIN 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
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
MICHAEL QUATTRONE 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	1	NONE	NONE	NONE
KRISTA SMITH 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
DANIEL GROWALD 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
JAMES SLIGAR 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/TREASURER		1	NONE	NONE	NONE
CAMILLA ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	(1)	1	NONE	NONE	NONE
MIRANDA KAISER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE		1	NONE	NONE	NONE
SUSAN ROCKEFELLER 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
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	NONE	NONE	NONE
REBECCA LAMBERT 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	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, 2012

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 12/31/2011		$ 85,000
Add: Grants Awarded Through 12/31/12		
Discretionary (Trustee) [1]	230,000	
Community Grants [1]	220,500	
Program Grants [1]	1,037,500	
Matching Gifts [2]	14,700	
	1,502,700	
2012 Lapsed Grants [3]	2,000	
		1,500,700
Less: Grants Paid Through 12/31/12		
Discretionary (Trustee) [1]	230,000	
Community Grants [1]	220,000	
Program Grants [1]	862,500	
Matching Gifts [2]	19,700	
	1,332,200	
2012 Returned Grant [3]	1,500	
		1,330,700
Grants Payable at 12/31/12		$ 255,000

[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 2012 includes $15,000 in matching grants for 2011 that were paid in 2012

[3] Grant awarded on 6/14/12, to the Germantown Hose Company No. 1 for $500 (Columbia Community Program) The grant was paid, but subsequently cancelled later the same year, when the grantee notified us they had been revoked their 501(c)(3) status and they were re-applying. Stop payment was placed and a replacement check was not re-issued.
Grant awarded on 5/19/11, to the Mount Desert Medical Center for $1,500 (Columbia Community Program). In 2011, the check was issued but not cashed. A stop payment was placed on February 2012 and a replacement check was not re-issued. The Fund was unable to make contact with the Medical Center during this time.
By December 31, 2012, the Fund did not received that confirmation ,therefore, both grants awarded in 2011 and 2012 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 2012 (Trustee)

4-Feb-13

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

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
DRF Maine				
Abbe Museum P O Box 286 Bar Harbor, ME 04609	$1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	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	DRF Maine
Bar Harbor Fire Department 37 Firefly Lane Bar Harbor, ME 04609	$1,500	Grant 1,500 Paid 1,500 Bal 0 Term 12 Months	$1,500	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 12 Months	$1,000	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 12 Months	$1,500	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	DRF Maine
College of the Atlantic 105 Eden Street Bar Harbor, ME 04609	$5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	$5,000	DRF Maine
College of the Atlantic-Summer Field Studies 105 Eden Street Bar Harbor, ME 04609	$1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	DRF Maine

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
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 12 Months	$2,500	DRF Maine
Downeast Horizons 1200 State Highway 3 Bar Harbor, ME 04609	$2,500	Grant 2,500 Paid 2,500 Bal 0 Term 12 Months	$2,500	DRF Maine
Farnsworth Art Museum 16 Museum Street Rockland, ME 04841	$2,500	Grant 2,500 Paid 2,500 Bal 0 Term 12 Months	$2,500	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	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 12 Months	$1,000	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 12 Months	$1,500	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 12 Months	$1,000	DRF Maine
Great Harbor Maritime Museum P O Box 145 124 Main Street Northeast Harbor, ME 04662	$1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	DRF Maine

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
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 12 Months	$3,000	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 12 Months	$2,500	DRF Maine
Island Readers & Writers 990 Crooked Road Village of Town Hill Bar Harbor, ME 04609	$1,000 ***One-time***	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	DRF Maine
Jackson Laboratory 610 Main Street Bar Harbor, ME 04609-1500	$5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	$5,000	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 12 Months	$1,500	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 12 Months	$15,000	DRF Maine
Maine Medical Center 22 Bramhall Street Portland, ME 04102-3175	$2,000	Grant 2,000 Paid 2,000 Bal 0 Term 12 Months	$2,000	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 12 Months	$5,000	DRF Maine

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
DRF Maine				
Maine Sea Coast Mission 127 West Street Bar Harbor, ME 04609	$2,500	Grant 2,500 Paid 2,500 Bal 0 Term 12 Months	$2,500	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 12 Months	$2,500	DRF Maine
MDI Community Sailing Center PO Box 116 Southwest Harbor, ME 04679	$1,000 ***One-time***	Grant 1,000 Paid 1,000 Bal 0	$1,000	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	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 12 Months	$1,000	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 12 Months	$3,500	DRF Maine
Mt Desert Festival of Chamber Music 100 Riverside Drive Apt 10E New York, NY 10024	$1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	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 12 Months	$5,000	DRF Maine

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
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	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 12 Months	$1,500 Grant funds were returned	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 12 Months	$1,000	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 12 Months	$2,500	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 12 Months	$2,500	DRF Maine
The Neighborhood House P.O Box 332 Northeast Harbor, ME 04662	$1,500	Grant 1,500 Paid 1,500 Bal 0 Term 12 Months	$1,500	DRF Maine
Northeast Harbor Ambulance Service P O Box 122 Northeast Harbor, ME 04662	$500	Grant 500 Paid 500 Bal 0	$500	DRF Maine
Northeast Harbor Library P O Box 279 Northeast Harbor, ME 04662-0279	$1,500	Grant 1,500 Paid 1,500 Bal 0 Term 12 Months	$1,500	DRF Maine

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
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 12 Months	$2,500	DRF Maine
Portland Museum of Art Seven Congress Square Portland, ME 04101	$1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	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 12 Months	$1,000	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	DRF Maine
United Church of Christ Northeast of Harbor & Seal Harbor, Union Church and Abby Chapel P O Box 555 Northeast Harbor, ME 04662	$5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	$5,000	DRF Maine
Westside Food Pantry PO Box 767 Southwest Harbor, ME 04679	$1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	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. 12 Months	$1,000	DRF Maine
Total DRF Maine (47 items)	***120,500***		***120,500***	
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	DRF Westchester County

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
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 12 Months	$2,000	DRF Westchester County
Family Services of Westchester One Gateway Plaza Portchester, NY 10573	$5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	$5,000	DRF Westchester County
Family YMCA at Tarrytown 62 Main Street Tarrytown, NY 10591	$5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	$5,000	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 12 Months	$2,500	DRF Westchester County
Friends of the Rockefeller State Park Preserve PO Box 8444 Sleepy Hollow, NY 10591	$2,500	Grant 2,500 Paid 2,500 Bal 0 Term 12 Months	$2,500	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	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 12 Months	$1,000	DRF Westchester County
Historic Hudson Valley 150 White Plains Road Tarrytown, NY 10591	$10,000	Grant 10,000 Paid 10,000 Bal 0 Term 12 Months	$10,000	DRF Westchester County

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
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 12 Months	$750	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 12 Months	$1,000	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	DRF Westchester County
Open Door Family Medical Center North Tarrytown 165 Main Street Ossining, NY 10562	$5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	$5,000	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 12 Months	$7,500	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 12 Months	$5,000	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 12 Months	$2,500	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 12 Months	$2,500	DRF Westchester County

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
DRF Westchester County				
Scenic Hudson	$5,000	Grant 5,000	$5,000	DRF
One Civic Center Plaza, Suite 200		Paid 5,000		Westchester
Poughkeepsie, NY 12601-3156		Bal 0		County
Teatown Lake Reservation	$1,500	Grant 1,500	$1,500	DRF
Nature Preserve and Education Center		Paid 1,500		Westchester
1600 Spring Valley Road		Bal 0		County
Ossining, NY 10562		Term 12 Months		
Union Church of Pocantico Hills	$5,000	Grant 5,000	$5,000	DRF
555 Bedford Road		Paid 5,000		Westchester
Pocantico Hills, NY 10591		Bal 0		County
		Term 12 Months		
United Way of the Tarrytowns	$10,000	Grant 10,000	$10,000	DRF
336 Central Park Avenue		Paid 10,000		Westchester
White Plains, NY 10606-1500		Bal 0		County
		Term 12 Months		
Volunteer and Exempt Fireman's Association of	$750	Grant 750	$750	DRF
Sleepy Hollow, NY		Paid 750		Westchester
P O Box 851		Bal 0		County
Sleepy Hollow, NY 10591		Term 12 Months		
Warner Library of the Tarrytowns	$1,500	Grant 1,500	$1,500	DRF
121 North Broadway		Paid 1,500		Westchester
Tarrytown, NY 10591		Bal 0		County
		Term 12 Months		
Volunteer and Exempt Fireman's Association of	$750	Grant 750	$750	DRF
Sleepy Hollow, NY		Paid 750		Westchester
P O Box 851		Bal 0		County
Sleepy Hollow, NY 10591		Term 12 Months		
Warner Library of the Tarrytowns	$1,500	Grant 1,500	$1,500	DRF
121 North Broadway		Paid 1,500		Westchester
Tarrytown, NY 10591		Bal 0		County
		Term 12 Months		
Westchester Land Trust	$1,500	Grant 1,500	$1,500	DRF
403 Harris Road		Paid 1,500		Westchester
Bedford Hills, NY 10507		Bal 0		County
Total DRF Westchester County (24 items)	***82,500***		***84,750***	

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
DRF Columbia County				
Churchtown Fire Company #1 2219 County Rt 27 Hudson, NY 12534	$500	Grant 500 Paid 500 Bal 0 Term 12 Months	$500	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 12 Months	$5,000	DRF Columbia County
Columbia-Greene Hospital Foundation 71 Prospect Avenue Hudson, NY 12534	$2,500	Grant 2,500 Paid 2,500 Bal 0 Term. 12 Months	$2,500	DRF Columbia County
Germantown Hose Company #1 P O Box 331 Germantown, NY 12526	$500 ***Lapsed grant memo issued 2/14/13***	Grant 500 Paid 500 Bal 0 Term 12 Months	$	DRF Columbia County
Germantown Library P O Box 468 Germantown, NY 12526	$1,000	Grant 1,000 Paid 1,000 Bal 0	$1,000	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 12 Months	$1,000	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 12 Months	$1,000	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 12 Months	$1,000	DRF Columbia County

Community Grants Approved and Paid 2012

7-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
DRF Columbia County				
Olana Partnership P O Box 199 Hudson, NY 12534	$1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	$1,000	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 12 Months	$500	DRF Columbia County
United Way of Columbia & Greene Counties P O Box 52 Hudson, NY 12534	$2,500	Grant 2,500 Paid 2,500 Bal 0	$2,500	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 12 Months	$1,000	DRF Columbia County
Total DRF Columbia County (12 items)	***17,500***		***17,000***	
Community Grand Total (83 items)	***220,500***		***220,000***	

Arts Grants Approved and Paid 2012

4-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
Apple Arts	15,000	Grant 15,000	15,000	DRF Arts (Arts and Education)
Margot Liebman		Paid 15,000		
Tel 646-660-0193		Bal 0		
margot@applearts org		Term 12 Months		
PO Box 958				
New York NY 10014				
Artists Striving to End Poverty	15,000	Grant 15,000	15,000	DRF Arts (Arts and Education)
(ASTEP)		Paid 15,000		
Mauricio Salgado		Bal 0		
Tel 212-921-1227		Term 12 Months		
davinia@asteponline org				
165 West 46th Street, Suite 1303				
New York, NY 10036				
Bronx Museum of the Arts	25,000	Grant. 25,000	25,000	DRF Arts (Arts and Education)
Yvonne Garcia		Paid 25,000		
Tel (718) 681-6000		Bal 0		
1040 Grand Concourse		Term 12 Months		
Bronx, NY 10456				
Brooklyn Academy of Music	50,000	Grant 50,000	25,000	DRF Arts (Arts and Education)
Karen Brooks Hopkins	*Awarded in 2012*	Paid 25,000		
Tel 718-636-4138	*Over 2-years*	Bal 0		
Peter Jay Sharp Building		Term 12 Months		
30 Lafayette Avenue				
Brooklyn, NY 11217				
Carter Burden Center for the Aging	10,000	Grant 10,000	10,000	DRF Arts (Arts and Education)
William J Dionne	*Executive Director*	Paid 10,000		
1484 First Avenue		Bal 0		
New York, NY 10075		Term 12 Months		
Fund for Public Schools	20,000	Grant 20,000	20,000	DRF Arts (Arts and Education)
Keith Meacham		Paid 20,000		
Tel (212) 374-2874		Bal 0		
MMeacham@schools nyc edu		Term 12 Months		
52 Chambers Street, Room 305				
New York, NY 10007				

Arts Grants Approved and Paid 2012

4-Feb-13

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	15,000	Grant 15,000 Paid 20,000 Bal 0 Term 12 Months	15,000	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 ***Awarded in 2012*** ***Over 2-years***	Grant 40,000 20,000 Bal 20,000 Term 12 Months	20,000	DRF Arts (Arts and Education)
Hive Digital Media Learning Center Kerry McCarthy Tel 212-686-0010 KEM@nyct-cfi org c/o New York Community Trust 909 3rd Avenue New York, NY 10022	25,000	Grant 25,000 25,000 Bal 0 Term 12 Months	25,000	DRF Arts (Arts and Education)
The Laundromat Project Risc Wilson Tel 718-574-0798 risc@laundromatproject org 275 Macdonough Street Brooklyn, NY 11233	15,000	Grant 15,000 Paid 15,000 Bal 0 Term 12 Months	15,000	DRF Arts (Arts and Education)
Mayor's Fund to Advance New York City *New York City Housing Authority Chorus* Sharon A Myrie 253 Broadway, 8th Floor New York, NY 10007	20,000	Grant 20,000 Paid 20,000 Bal 0 Term 12 Months	20,000	DRF Arts (Arts and Education)

Arts Grants Approved and Paid 2012

4-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
Mayor's Fund to Advance New York City *Spaceworks*	80,000	Grant 80,000		DRF Arts (Arts and Education)
Kristin Sakoda	*Awarded in 2011*	Paid 40,000	*$40K paid 1/24/13*	
Tel 212-513-9325	*Over 2-years*	Bal 40,000		
ksakoda@culture nyc gov		Term 24 Months		
253 Broadway, 8th Floor				
New York, NY 10007				
Metropolis Ensemble	20,000	Grant 20,000	10,000	DRF Arts (Arts and Education)
Andrew Cyr	***Awarded in 2012***	Paid 10,000		
Tel 917-930-6106	***Over 2-years***	Bal 10,000		
andrew@metropolisensemble org		Term 12 Months		
139 Jackson Street, Ste 2A				
Brooklyn, NY 11211				
Queens Museum of Art	30,000	Grant 30,000	30,000	DRF Arts (Arts and Education)
Tom Finkelpearl		Paid 30,000		
Tel 718-592-9700		Bal 0		
Fax 718-592-5778		Term 12 Months		
New York City Building				
Flushing Meadows Corona Park				
Queens, NY 11368-3398				
Arts Grand Totals (13 items)	***300,000***		***245,000***	

Criminal Justice Grants Approved and Paid 2012

4-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
Advocates for Children	20,000	Grant 20,000	20,000	DRF Criminal Justice
Kim Sweet		Paid 20,000		
Tel (212) 947-9779		Bal 0		
ksweet@advocatesforchildren org		Term 12 Months		
151 West 30th Street, 5th Floor				
New York, NY 10001				
Center for Court Innovation	30,000	Grant 30,000	30,000	DRF Criminal Justice
Greg Berman		Paid 30,000		
Tel. (212) 397-3050 ext 8097		Bal 0		
Fax (212) 397-0985		Term 12 Months		
520 Eighth Avenue, 18th Floor				
New York, NY 10018				
College and Community Fellowship *Education from the Inside Out Coalition*	70,000	Grant 70,000	35,000	DRF Criminal Justice
Vivian Nixon	***Awarded in 2012***	Paid 35,000		
Tel (646) 380-7777	***Over 2 years***	Bal 0		
vnixon@collegeandcommunity org		Term 24 Months		
475 Riverside Drive, Suite 1626				
New York, NY 10115				
Detention Watch Network	20,000	Grant 20,000	20,000	DRF Criminal Justice
c/o Tides Center		Paid 20,000		
Angela Black		Bal 0		
Tel (520) 240-3726		Term 12 Months		
ablack@detentionwatchnetwork org				
55 Exchange Place, Suite 402				
New York, NY 10005				
Fortune Society	40,000	Grant 40,000	40,000	DRF Criminal Justice
Glenn Martin		Paid 40,000		
Tel 212-691-7554		Bal 0		
Fax 347-510-3451		Term 12 Months		
29-76 Northern Boulevard				
Long Island City, NY 11101				
Getting Out and Staying Out	25,000	Grant 25,000	25,000	DRF Criminal Justice
Mark L Goldsmith		Paid 25,000		
Tel (212) 831-5020 Fax (212) 996-0436		Bal 0		
91 E 116th St		Term 12 Months		
New York, NY 10029				

Criminal Justice Grants Approved and Paid 2012

4-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
John Jay College of Criminal Justice	100,000	Grant 100,000	50,000	DRF Criminal Justice
Jeremy Travis	***Awarded in 2012***	Paid 50,000		
555 W 57th Street, 6th Floor	***Over 2-years***	Bal 50,000		
New York, NY 10019		Term 24 Months		
The Sentencing Project	30,000	Grant 30,000	30,000	DRF Criminal Justice
Marc Mauer		Paid 30,000		
Tel 202-628-0871		Bal 0		
Fax 202-628-1091		Term 12 Months		
mauer@sentencingproject org				
1750 DeSales Street, NW, 8th Floor				
Washington, DC 20036				
Youth Represent	70,000	Grant 70,000	35,000	DRF Criminal Justice
Laurie Parise	***Awarded in 2012***	Paid 35,000		
342 Broadway	***Over 2-years***	Bal 0		
New York, NY 10012		Term 24 Months		
Criminal Justice Grand Totals (9 items)	***405,000***		***285,000***	

Environment Grants Approved and Paid 2012

4-Feb-13

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	20,000	Grant 20,000 Paid 20,000 Bal 0 Term 0 Months	20,000	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	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Environment
Environmental Integrity Project Eric Schaeffer One Thomas Circle, NW, Suite 900 Washington, DC 20005	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Environment
Food Corps Curt Ellis Tel 503-863-7270 281 Park Avenue South New York, NY 10010	60,000 ***Awarded in 2011*** ***Over 2-years***	Grant 60,000 Paid 30,000 Bal 30,000 Term 24 Months	*$30K paid 1/24/13*	DRF Environment
Green Guerillas Steve Frillmann Tel (212) 594-2155 steve@nycgreen org 232 E 11th Street New York, NY 10003	15,000	Grant 15,000 15,000 Bal 0 Term 12 Months	15,000	DRF Environment
Groundswell Will Byrne Tel (202) 431-8634 1850 M Street NW, Suite 1150 Washington, DC 2003	50,000	Grant 50,000 Paid 50,000 Bal 0 Term. 12 Months	50,000	DRF Environment

Environment Grants Approved and Paid 2012

4-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
Kentucky Coalition	50,000	Grant 50,000	50,000	DRF Environment
Burt Lauderdale		Paid 50,000		
Tel (606) 878-2161		Bal 0		
blauderdale@carthlink net		Term 12 Months		
P O Box 1450				
London, KY 40743				
Mountain Association for	25,000	Grant 25,000	25,000	DRF Environment
Community Economic		Paid 25,000		
Development (MACED)		Bal 0		
Justin Maxon		Term 12 Months		
Tel (859) 986-2373				
Fax (859) 986-1299				
info@maced org				
433 Chestnut Street				
Berea, KY 40403				
Sustainable Endowments	25,000	Grant 25,000	25,000	DRF Environment
Institute		Paid 25,000		
Mark Orlowski		Bal · 0		
Tel 617-528-0010		Term 12 Months		
mark@endowmentinstitute org				
45 Mt Auburn St				
Cambridge, MA 02138				
Environment Grand Totals (9 items)	***260,000***		***260,000***	

Judicious Exception Grants Approved and Paid 2012

4-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
Added Value and Herban Solutions	7,500	Grant 7,500	7,500	DRF Judicious Exception
Ian Marvey	***Emergency Grant***	7,500		
Tel (718) 855-5531		Bal 0		
370 Van Brunt Street		Term 12 Months		
Brooklyn, NY 11231				
Adirondack Community Trust	10,000	Grant 10,000	10,000	DRF Judicious Exception
North Country Public Radio Prison Time Series - Cali Brooks		10,000		
Heaven Hill Farm		Bal 0		
PO Box 288		Term 12 Months		
Lake Placid, NY 12941				
Center for Court Innovation	5,000	Grant 5,000	5,000	DRF Judicious Exception
Red Hook Justice Center	***Emergency Grant***	Paid 5,000		
Greg Berman		Bal 0		
Tel (212) 397-3050		Term 12 Months		
520 Eighth Avenue, 18th Floor				
New York, NY 10018				
The New York Foundation for the Arts	5,000	Grant 5,000	5,000	DRF Judicious Exception
Michael Royce	***Emergency Grant***	Paid 5,000		
Tel (212) 366-6900 e-mail mroyce@nyfa org		Bal 0		
20 Jay Street, 7th Floor		Term 12 Months		
Brooklyn, NY 11201				
New York Juvenile Justice Initiative	2,500	Grant 2,500	2,500	DRF Judicious Exception
Penny Fujiko Wilgerodt		Paid 2,500		
c/o FJC - Fiscal Sponsorship Program		Bal 0		
520 Eighth Avenue, 20th floor		Term 12 Months		
New York, NY 10018				
North Star Fund	5,000	Grant 5,000	5,000	DRF Judicious Exception
Hugh Hogan		Paid 5,000		
(212) 620-9110 e-mail abby@northstarfund org		Bal 0		
520 Eighth Avenue, Suite 2203		Term 12 Months		
New York, NY 10018-6656				
Solar One	2,500	Grant 2,500	2,500	DRF Judicious Exception
Chris Collins	***Emergency Grant***	Paid 2,500		
(212) 505-6050 email chris@solar1.org		Bal 0		
24-20 FDR Drive Service Road East		Term 12 Months		
New York, NY 10010				
Judicious Exception Grand Totals (7 items)	***37,500***		***37,500***	

Team Grants Approved and Paid 2012

4-Feb-13

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area
Americans for the Arts	10,000	Grant 10,000	10,000	DRF Team Grants
Robert A Lynch		10,000		
Tel (202) 371-2830		Bal 0		
1000 Vermont Avenue NW, 6th Floor		Term 12 Months		
Washington, DC 20005				
Multidisciplinary Association for Psychedelic Studies (MAPS)	15,000	Grant. 15,000	15,000	DRF Team Grants
Rick Doblin		15,000		
(617) 276-7806		Bal 0		
rick@maps org		Term 12 Months		
1215 Mission Street				
Santa Cruz, CA 95060				
Rites of Passage (ROPS)	10,000	Grant 10,000	10,000	DRF Team Grants
Michael Bodkin		10,000		
Tel. (707) 537-1927		Bal. 0		
Humikeb@ritesofpassagevisionquest org		Term 12 Months		
P O Box 2061				
Santa Rosa, CA 95405				
Team Grants Grand Totals (3 items)	***35,000***		***35,000***	
Matching Gifts 2011			$15,000	
Matching Gifts 2012	$14,700		$4,700	
Grand Total	***1,502,700***		***1,332,200***	

2012 Lapsed Grants