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Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

► Do not enter Social Security numbers on this form as it may be made public.
► Information about Form 990-PF and its separate instructions is at *www.irs.gov/form990pf.*

OMB No 1545-0052

2013

For calendar year 2013, or tax year beginning , 2013, 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 or province, country, and ZIP or foreign postal 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) ► $ 5,903,956.

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	205.	205.		
4 Dividends and interest from securities	93,207.	105,258.		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain/(loss) from sale of assets not on line 10	475,483.			
b Gross sales price for all assets on line 6a 2,704,696.				
7 Capital gain net income (from Part IV, line 2)		498,309.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit/(loss) (att sch)				
11 Other income (attach schedule) See Line 11 Stmt		5,565.		
12 Total. Add lines 1 through 11	1,818,895.	609,337.		
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	21,200.	2,120.		19,080.
c Other prof fees (attach sch) L-16c Stmt	59,753.	62,504.		
17 Interest				
18 Taxes (attach schedule)(see instrs) See Line 18 Stmt	5,545.	8,663.		
19 Depreciation (attach sch) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings	9,145.			
22 Printing and publications				
23 Other expenses (attach schedule) See Line 23 Stmt	20,867.	1,133.		19,734.
24 Total operating and administrative expenses. Add lines 13 through 23	116,510.	74,420.		38,814.
25 Contributions, gifts, grants paid	1,304,500.			1,545,000.
26 Total expenses and disbursements. Add lines 24 and 25	1,421,010.	74,420.		1,583,814.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	397,885.			
b Net investment income (if negative, enter -0-)		534,917.		
c Adjusted net income (if negative, enter -0-)				

REVENUE

OPERATING AND ADMINISTRATIVE EXPENSES

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10

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	39,375.	72,798.	72,798.
	2 Savings and temporary cash investments	71,759.	182,560.	182,560.
	3 Accounts receivable ► 0.			
	Less allowance for doubtful accounts ►	1,584.	0.	0.
	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	4,778,699.	5,648,598.	5,648,598.
	14 Land, buildings, and equipment basis ►			
	Less accumulated depreciation (attach schedule) ►	0.		
	15 Other assets (describe ►)			
	16 **Total assets** (to be completed by all filers – see the instructions Also, see page 1, item I)	4,891,417.	5,903,956.	5,903,956.
LIABILITIES	17 Accounts payable and accrued expenses	63,327.	81,781.	
	18 Grants payable	255,000.	14,500.	
	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)	318,327.	96,281.	
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	4,573,090.	5,807,675.	
	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)	4,573,090.	5,807,675.	
	31 **Total liabilities and net assets/fund balances** (see instructions)	4,891,417.	5,903,956.	

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	4,573,090.
2	Enter amount from Part I, line 27a	2	397,885.
3	Other increases not included in line 2 (itemize) ► UNREALIZED APPRECIATION ON INVESTMENTS	3	853,990.
4	Add lines 1, 2, and 3	4	5,824,965.
5	Decreases not included in line 2 (itemize) ► DEFERRED FEDERAL EXCISE TAX	5	17,290.
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	5,807,675.

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	498,309.
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))
2012	1,378,629.	4,819,300.	0.286064
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

2	**Total** of line 1, column (d)	2	1.234854
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	0.246971
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	5,592,605.
5	Multiply line 4 by line 3	5	1,381,211.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	5,349.
7	Add lines 5 and 6	7	1,386,560.
8	Enter qualifying distributions from Part XII, line 4	8	1,583,814.

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	5,349.
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	5,349.
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	5,349.
6	Credits/Payments			
a	2013 estimated tax pmts and 2012 overpayment credited to 2013	6a 2,500.		
b	Exempt foreign organizations – tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c 2,700.		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments Add lines 6a through 6d		7	5,200.
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached		8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		9	149.
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 2014 estimated tax** ▶ **Refunded** ▶		11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)?	1b		X
	*If the answer is 'Yes' to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ 0. (2) On foundation managers ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If 'Yes,' attach a detailed description of the activities*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If 'Yes,' attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If 'Yes,' has it filed a tax return on **Form 990-T** for this year?	4b		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 2013 or the taxable year beginning in 2013 (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			
16	At any time during calendar year 2013, 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

	File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.		Yes	No
1 a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b	If any answer is 'Yes' to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1 b		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 2013?	1 c		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 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ 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	2 b		
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 _ _			
3 a	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 2013 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 2013)* N/A	3 b		
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a		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 2013?	4 b		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 5				

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 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	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	5,310,980.
b	Average of monthly cash balances	1b	366,792.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	5,677,772.
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	5,677,772.
4	Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	85,167.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	5,592,605.
6	**Minimum investment return.** Enter 5% of line 5	6	279,630.

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	279,630.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	5,349.		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	5,349.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	274,281.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	274,281.
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	274,281.

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	1,583,814.
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	1,583,814.
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	5,349.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,578,465.

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 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				274,281.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years. 20 ___, 20 ___, 20 ___				
3 Excess distributions carryover, if any, to 2013				
a From 2008 484,371.				
b From 2009 613,002.				
c From 2010 1,191,862.				
d From 2011 1,266,764.				
e From 2012 1,143,142.				
f **Total** of lines 3a through e	4,699,141.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 1,583,814.				
a Applied to 2012, 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 2013 distributable amount				274,281.
e Remaining amount distributed out of corpus	1,309,533.			
5 Excess distributions carryover applied to 2013 *(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	6,008,674.			
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 2012 Subtract line 4a from line 2a Taxable amount – see instructions			0.	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				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 2008 not applied on line 5 or line 7 (see instructions)	484,371.			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	5,524,303.			
10 Analysis of line 9				
a Excess from 2009 613,002.				
b Excess from 2010 1,191,862.				
c Excess from 2011 1,266,764.				
d Excess from 2012 1,143,142.				
e Excess from 2013 1,309,533.				

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 2013, 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) 2013	Prior 3 years (b) 2012	(c) 2011	(d) 2010	(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 6 & 7				
Total ► **3a**				1,545,000.
b *Approved for future payment*				
SEE STATEMENT 6				
Total ► **3b**				14,500.

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) Exclu-sion 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	205.	
4 Dividends and interest from securities	525990	13.	14	93,194.	
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	-130.	18	130.	
8 Gain or (loss) from sales of assets other than inventory	525990	800.	18	474,683.	
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)		683.		568,212.	
13 **Total.** Add line 12, columns (b), (d), and (e)				13	568,895.

(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 nonchantable 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 nonchantable exempt organization	1 b (1)		X
(2) Purchases of assets from a nonchantable 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 nonchantable 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

Signature of officer or trustee: Lauren S. Allsopp | Date: 10/29/14 | 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
Devin L. Duncan		10/28/14		P01259521

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**
► **Information about Schedule B (Form 990, 990-EZ, 990-PF) and its instructions is at *www.irs.gov/form990.***

OMB No 1545-0047

2013

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 its Form 990-PF, Part I, line 2, 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 500 New York NY 10112	$ 1,250,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
---		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
---		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
---		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
---		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
---		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)

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		5,565.	
Total		5,565.	

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	5,545.			
FOREIGN TAXES PAID-THROUGH LIMITED PARTNERSHIPS		8,663.		
Total	5,545.	8,663.		

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	11,330.	1,133.		10,197.
GENERAL OFFICE EXPENSE	7,803.			7,803.
Website Development	1,734.			1,734.
Total	20,867.	1,133.		19,734.

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	21,200.	2,120.		19,080.
Total		21,200.	2,120.		19,080.

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	59,458.	60,609.		
ROCK & CO.	CUSTODY FEES	295.	1,895.		
Total		59,753.	62,504.		

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	1,325,382.	1,325,382.
ROCKEFELLER ALTERNATIVE STATEGIES FUND	19,685.	19,685.
ROCKEFELLER ACCESS FUND 06-1	510,940.	510,940.
ROCKEFELLER LIBRA FUND	3,274,400.	3,274,400.
JP MORGAN STRATEGIC OPPORTUNITIES FUND	0.	0.
ACCESS CAP	199,668.	199,668.
SELF HELP CREDIT UNION	50,408.	50,408.
Rockefeller Sustain & Impact	268,115.	268,115.
Total	5,648,598.	5,648,598.

DAVID ROCKEFELLER FUND, INC.
13-3533359 **STATEMENT 2**
475 Riverside Drive, Suite 900 **FORM 990-PF**
New York, New York 10115 **YEAR 2013**

Schedule of Capital Gains and Losses

Part I, line 6a

		Gain or (Loss)
Libra Fund		$ 114,559
Rock & Co. Global Equity I		$ 361,798
Rock & Co. Alternative Strategies		$ (6,338)
Rock & Co. Access Fund		$ 5,392
Rock Sustain & Impact Fund, LP		$ 72
Net Realized Gain per Books (Total Part I, line 6a,col.(a))		**$ 475,483**

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

Libra Fund	114,548	
Rock & Co. Global Equity I	354,264	
Rock & Co. Alternative Strategies	(7,156)	
Rock & Co. Access Fund	36,581	
Rock Sustain & Impact Fund, LP	72	
		498,309
Less: Gain/(loss) from Partnerships previously reflected in books, for which K-1 values are now reflected on Form 990PF:		
Libra Fund		(114,559)
Rock & Co. Global Equity I		(361,798)
Rock & Co. Alternative Strategies		6,338
Rock & Co. Access Fund		(5,392)
Rock Sustain & Impact Fund, LP		(72)
Total Part IV, line 2		**$ 498,309**

DAVID ROCKEFELLER FUND, INC.
13-3533359 **STATEMENT 3**
475 Riverside Drive, Suite 900 **FORM 990-PF**
New York, New York 10115 **YEAR 2013**

Schedule of Other Income

Part I, line 11, col. b

	Other Income
Libra Fund	$ 48
Rock & Co. Global Equity I	$ (4)
Rock & Co. Alternative Strategies	$ 467
Rock & Co. Access Fund	$ 5,054
Rock & Co. Sustainability & Impact SMID CAP Fund, LP	$ -
Other Income (Total Part I, line 11,col.(b))	**$ 5,565**

STATEMENT REGARDING ACTIVITIES

Part VII-A, line 12

2013 Distribution to Donor Advised Funds

Under the terms of donor advised fund ("DAF"), all amounts distributed to the DAF must be granted to one or more organizations qualifying under IRS Section 501(c)(3), so the recepient(s) off 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)	3/15/2013

(1) This amount was treated as a qualifying distribution by the David Rockefeller Fund in 2013.

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
NEVA GOODWIN 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
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	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
CAMILLA ROCKEFELLER 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
SUSAN ROCKEFELLER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
DANIEL GROWALD 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
JAMES SLIGAR 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/TREASURER	1	NONE	NONE	NONE
REBECCA LAMBERT 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	NONE	NONE	NONE
STEPHEN HEINTZ 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE	1	NONE	NONE	NONE
PEGGY DULANY 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	(1) 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
PAUL GROWALD 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	(1) TRUSTEE	1	NONE	NONE	NONE
MICHAEL LAMBERT 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	(1) TRUSTEE	1	NONE	NONE	NONE
ADAM GROWALD 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	(1) TRUSTEE	1	NONE	NONE	NONE
MARIANNA SCHAFFER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	SECRETARY	35	NONE	NONE	NONE

Note: Eileen Growald, Lee Halperin, Chris Lindstrom, and Krista Smith, their trustee's term expired 12/31/2012.

(1) Effective January 1, 2013.

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 12/31/2012		$ 255,000
Add Grants Awarded Through 12/31/13		
Discretionary (Trustee) [1]	230,000	
Community Grants [1]	244,500	
Program Grants [1]	802,500	
	1,277,000	
Matching Gifts [2]	28,000	
	1,305,000	
2013 Lapsed Grants [3]	500	
		1,304,500
Less Grants Paid Through 12/31/13		
Discretionary (Trustee) [1]	230,000	
Community Grants [1]	244,000	
Program Grants [1]	1,047,500	
	1,521,500	
Matching Gifts [2]	23,500	
	1,545,000	
2013 Returned Grant [3]		
		1,545,000
Grants Payable at 12/31/13		$ 14,500

[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 2013 includes $10,000 in matching grants for 2012 that were paid in 2013

[3] Grant awarded on 6/13/13, 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, but it hasn't been reinstated, yet. Stop payment was placed and a replacement check was not re-issued. By December 31, 2013, the above mentioned grant awarded in 2013 was lapsed.

GENERAL NOTES:

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

ALL RECIPIENTS ARE QUALIFIED 501 (c) (3) ORGANIZATIONS, AND WE UNDERSTAND EACH RECIPIENT'S FOUNDATION STATUS IS PC

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, INC. **Form 990PF**

13-3533359 **Statement 7**

DECEMBER 31, 2013

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
Grants Approved and Paid 2013 (Trustee)					
Rockefeller Philanthropy Advisors 6 West 48th Street, Floor 12 New York, NY 10036-1802	230,000	Grant 230,000 Paid 230,000 Bal 0 Term 12 Months	230,000	DRF Trustee (Discretionary)	-
Grand Total Trustee (1 Item)	***230,000***	-	***230,000***		-
Criminal Justice Approved & Paid 2013					
Advocates for Children Kim Sweet Tel (212) 947-9779 ksweet@advocatesforchildren org 151 West 30th Street, 5th Floor New York, NY 10001	20,000	Grant 20,000 Paid 20,000 Bal 0 Term 12 Months	20,000	DRF Criminal Justice	-
Bard College Prison Initiative Max Kenner PO Box 5000 Annandale-on-Hudson, NY 12504	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Criminal Justice	-
College and Community Fellowship *Education from the In* Vivian Nixon Tel (646) 380-7777 vnixon@collegeandcommunity org 475 Riverside Drive, Suite 1626 New York, NY 10115	70,000 ***Awarded in 2012*** ***Over 2 years***	Grant 70,000 Paid 70,000 Bal 0 Term 24 Months	35,000	DRF Criminal Justice	-
Center for Constitutional Rights Vincent Warren 666 Broadway, 7th Floor New York, NY 10012	50,000	Grant 50,000 Paid 50,000 Bal 0 Term 12 Months	50,000	DRF Criminal Justice	-
Center for Nu Leadership on Urban Solutions Kyung Ji Kate Rhee 510 Gates Avenue, 1st Floor Brooklyn, NY 11216	20,000	Grant 20,000 Paid 20,000 Bal 0 Term 12 Months	20,000	DRF Criminal Justice	-
Detention Watch Network c/o Tides Center Angela Black 55 Exchange Place, Suite 402 New York, NY 10005	20,000	Grant 20,000 Paid 20,000 Bal 0 Term 12 Months	20,000	DRF Criminal Justice	-
Fortune Society Glenn Martin Tel 212-691-7554 29-76 Northern Boulevard Long Island City, NY 11101	40,000	Grant 40,000 Paid 40,000 Bal 0 Term 12 Months	40,000	DRF Criminal Justice	-
John Jay College of Criminal Justice Jeremy Travis 555 W 57th Street, 6th Floor New York, NY 10019	100,000 ***Awarded in 2012*** ***Over 2-years***	Grant 100,000 Paid 100,000 Bal 0 Term 24 Months	50,000	DRF Criminal Justice	-
The Sentencing Project Marc Mauer Tel 202-628-0871 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	-
Youth Represent Laurie Parise	70,000 ***Awarded in 2012***	Grant 70,000 Paid 70,000	35,000	DRF Criminal Justice	-

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
Criminal Justice Approved & Paid 2013					
342 Broadway New York, NY 10012	*Over 2-years*	Bal : 0 Term 24 Months			
Grand Totals Criminal Justice (10 items)	*205,000*	-	*325,000*		-
Environment Grants Approved and Paid 2013					
Added Value and Herban Solutions Inc Ian Marvey Tel 718-855-5531 370 Van Brunt Street Brooklyn, NY 11231	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 0 Months	25,000	DRF Environment	-
Canary Project c/o Media Collective Edward Morris 115 West 29th Street, Suite 1101 New York, NY 10001	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	30,000	Grant 30,000 Paid 30,000 Bal 0 Term 12 Months	30,000	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 60,000 Bal 0 Term 12 Months	30,000 *$30K paid 1/24/13*	DRF Environment	
Food Corps Curt Ellis Tel 503-863-7270 281 Park Avenue South New York, NY 10010	30,000	Grant 30,000 Paid 30,000 Bal 0 Term 12 Months	30,000	DRF Environment	-
Green Guerillas Steve Frillmann Tel (212) 594-2155 steve@nycgreen org 232 E 11th Street New York, NY 10003	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	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	-
Kentucky Coalition Burt Lauderdale Tel (606) 878-2161 blauderdale@earthlink.net P O Box 1450 London, KY 40743	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Environment	-
Mountain Association for Community Economic Development (MACED) Justin Maxon 433 Chestnut Street Berea, KY 40403	35,000	Grant 35,000 Paid 35,000 Bal 0 Term 12 Months	35,000	DRF Environment	-
Pratt Center for Community Development	30,000	Grant 30,000	30,000	DRF Environment	-

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
Environment Grants Approved and Paid 2013					
Myles Lennon 200 Willoughby Avenue Brooklyn, NY 11205		Paid 30,000 Bal 0 Term 12 Months			
RE-AMP Rick Reed 602 W Iona Street Lansing, MI 48933	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 Environment (11 items)	***325,000***	-	***355,000***		-
Arts Grants Approved and Paid 2013					
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	50,000 ***Awarded in 2012*** ***Over 2-years***	Grant 50,000 Paid 50,000 Bal 0 Term 12 Months	25,000	DRF Arts (Arts and Education)	-
Center for Urban Pedagogy 232 Third Street, #D201 Brooklyn, NY 11215	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25 000	DRF Arts (Arts and Education)	-
Fund for Public Schools Julia Bator Tel (212) 374-2874 52 Chambers Street, Room 305 New York, NY 10007	15,000	Grant 15,000 Paid 15,000 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 40,000 Bal 0 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 Rise Wilson Tel 718-574-0798 rise@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)	-

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
Arts Grants Approved and Paid 2013					
Mayor's Fund to Advance New York City *New York City Housing Authority Chorus* Sharon A Myne 253 Broadway, 8th Floor New York, NY 10007	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 *Spaceworks* Kristin Sakoda 253 Broadway, 8th Floor New York, NY 10007	80,000 ***Awarded in 2011*** ***Over 2-years***	Grant 80,000 Paid 80,000 Bal 0 Term 12 Months	40,000 *$40K paid 1/24/13*	DRF Arts (Arts and Education)	-
Metropolis Ensemble Andrew Cyr Tel 917-930-6106 andrew@metropolisensemble org 139 Jackson Street, Ste 2A Brooklyn, NY 11211	20,000 ***Awarded in 2012*** ***Over 2-years***	Grant 20,000 Paid 20,000 Bal 0 Term 12 Months	10,000	DRF Arts (Arts and Education)	-
Public Theater 425 Lafayette Street New York, NY 10003	25,000	Grant 25,000 25,000 Bal 0 Term 12 Months	25,000	DRF Arts (Arts and Education)	-
Queens Museum of Art Tom Finkelpearl Tel 718-592-9700 New York City Building Flushing Meadows Corona Park Queens, NY 11368-3398	25,000	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	DRF Arts (Arts and Education)	-
Schomburg Center for Research in Black Culture 515 Malcolm X Blvd New York, NY 10037	25,000	Grant 25,000 25,000 Bal 0 Term 12 Months	25,000	DRF Arts (Arts and Education)	-
Grand Totals Arts (13 items)	***195,000***		***290,000***		
Grants Approved and Paid 2013 (Community)					
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 Box 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	-

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
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 105 Eden Street Bar Harbor, ME 04609	1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months Paid 1,000 Bal 0 Term 12 Months	1,000	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	-
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	-

DAVID ROCKEFELLER FUND, INC. **Form 990PF**

13-3533359 **Statement 7**

DECEMBER 31, 2013

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
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 Housing Trust PO Box 851 Mount Desert, ME 04660	25,000 ***One-time***	Grant 25,000 Paid 25,000 Bal 0 Term 12 Months	25,000	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 Lighthouse Corporation 109 Main Street Bar Harbor, ME 04609	1,000	Grant 1,000 Paid 1,000 Bal 0 Term 12 Months	1,000	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	-
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	-
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	-

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
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	-
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	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	-
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	1,000	Grant 1,000 Paid 1,000	1,000	DRF Maine	-

DAVID ROCKEFELLER FUND, INC. **Form 990PF**
13-3533359 **Statement 7**
DECEMBER 31, 2013

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
DRF Maine					
Portland, ME 04101		Bal 0			
		Term 12 Months			
Seal Harbor Library Association	1,000	Grant 1,000	1,000	DRF Maine	-
P O Box 135		Paid 1,000			
Seal Harbor, ME 04675		Bal 0			
		Term 12 Months			
Seal Harbor Village Improvement Society	3,500	Grant 3,500	3,500	DRF Maine	-
P O Box 171		Paid 3,500			
Seal Harbor, ME 04675		Bal 0			
United Church of Christ Northeast of Harbor &	5,000	Grant 5,000	5,000	DRF Maine	-
Seal Harbor, Union Church and Abby Chapel		Paid 5,000			
P O Box 555		Bal 0			
Northeast Harbor, ME 04662		Term 12 Months			
Westside Food Pantry	1,000	Grant 1,000	1,000	DRF Maine	-
PO Box 767		Paid 1,000			
Southwest Harbor, ME 04679		Bal 0			
		Term 12 Months			
Willowind Therapeutic Riding Center/G F H	1,000	Grant 1,000	1,000	DRF Maine	-
State Highway 3, P O Box 1140		Paid 0			
Bar Harbor, ME 04609		Bal 1,000			
		Term 12 Months			
Total DRF Maine (47 items)	*144,500*	-	*144,500*		
DRF Westchester County					
Boy Scouts of America-Westchester Putnam	1,500	Grant 1,500	1,500	DRF	-
41 Saw Mill River Road		Paid 1,500		Westchester	
Hawthorne, NY 10532		Bal 0		County	
Caramoor-Center for Music and the Arts	2,000	Grant 2,000	2,000	DRF	-
P O Box 816		Paid 2,000		Westchester	
Katonah, NY 10536		Bal 0		County	
		Term 12 Months			
Family Services of Westchester	5,000	Grant 5,000	5,000	DRF	-
One Gateway Plaza		Paid 5,000		Westchester	
Portchester, NY 10573		Bal 0		County	
		Term 12 Months			
Family YMCA at Tarrytown	5,000	Grant 5,000	5,000	DRF	-
62 Main Street		Paid 5,000		Westchester	
Tarrytown, NY 10591		Bal 0		County	
		Term 12 Months			
Food Bank for Westchester	2,500	Grant 2,500	2,500	DRF	-
358 Saw Mill River Road		Paid 2,500		Westchester	
Millwood, NY 10546		Bal 0		County	
		Term 12 Months			
Friends of the Rockefeller State Park Preserve	2,500	Grant 2,500	2,500	DRF	-
PO Box 8444		Paid 2,500		Westchester	
Sleepy Hollow, NY 10591		Bal. 0		County	
		Term 12 Months			
Girl Scouts Heart of the Hudson	2,500	Grant 2,500	2,500	DRF	-
2 Great Oak Lane		Paid. 2,500		Westchester	
Pleasantville, NY 10570		Bal. 0		County	

DAVID ROCKEFELLER FUND, INC. **Form 990PF**

13-3533359 **Statement 7**

DECEMBER 31, 2013

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
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	-
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	-
Scenic Hudson One Civic Center Plaza, Suite 200 Poughkeepsie, NY 12601-3156	5,000	Grant 5,000 Paid 5,000 Bal 0	5,000	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 12 Months	1,500	DRF Westchester County	-
Union Church of Pocantico Hills 555 Bedford Road Pocantico Hills, NY 10591	5,000	Grant 5,000 Paid 5,000 Bal. 0 Term 12 Months	5,000	DRF Westchester County	-

DAVID ROCKEFELLER FUND, INC. **Form 990PF**

13-3533359 **Statement 7**

DECEMBER 31, 2013

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
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 12 Months	10,000	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 12 Months	750	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 12 Months	1,500	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	DRF Westchester County	-
Total DRF Westchester County (24 items)	***82,500***		***82,500***		
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 ***(GermanTown Grant was lapsed)***	500 (500)	Grant 500 Paid 500 Bal 0 Term 12 Months	-	DRF Columbia County ***Lapsed grant memo issued 12/17/13***	
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	-

DAVID ROCKEFELLER FUND, INC. **Form 990PF**

13-3533359 **Statement 7**

DECEMBER 31, 2013

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
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)	*17,000*		*17,000*		-
Judicious Exception Grants Approved and Paid 2013					
Center for Disaster Philanthropy Bob Ottenhoff 1201 Connecticut Avenue, NW, Suite 300 Washington, DC	3,000 *Emergency Grant*	Grant 3,000 Paid 3000 Bal 0 Term 12 Months	3,000	DRF Judicious Exception	-
Exploring the Metropolis David Johnston 61 West 23rd Street New York, NY 10010	10,000	Grant 10,000 Paid 10000 Bal 0 Term 12 Months	10,000	DRF Judicious Exception	-
Just Detention International Lovisa Stanow 3325 Wilshire Boulevard, Suite 340 Los Angeles, CA 90010	5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	5,000	DRF Judicious Exception	-
New York Immigration Coalition 137-139 West 25th Street New York, NY	5,000	Grant 5,000 Paid 5,000 Bal 0 Term 12 Months	5,000	DRF Judicious Exception	-
New York Juvenile Justice Initiative Penny Fupko 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	-
New York Juvenile Justice Initiative Penny Fupko Wilgerodt *A Cost Benefit Policy Analysis - Moving the Line* 520 Eighth Avenue, 20th floor New York, NY 10018	4,000	Grant 4,000 Paid 4,000 Bal 0 Term 12 Months	4,000	DRF Judicious Exception	-
New York Juvenile Justice Initiative Penny Fupko Wilgerodt *Lyrics from Lockdown Youth* 520 Eighth Avenue, 20th floor New York, NY 10018	500	Grant 500 Paid 500 Bal 0 Term 12 Months	500	DRF Judicious Exception	-

DAVID ROCKEFELLER FUND, INC. **Form 990PF**

13-3533359 **Statement 7**

DECEMBER 31, 2013

20-Feb-14

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance
Judicious Exception Grants Approved and Paid 2013					
North Star Fund	5,000	Grant 5,000	5,000	DRF Judicious Exception	-
Hugh Hogan		Paid 5,000			
(212) 620-9110		Bal 0			
Community Food Funders Network		Term 12 Months			
520 Eighth Avenue, Suite 2203					
New York, NY 10018-6656					
Rubin Museum	15,000	Grant 15,000	15,000	DRF Judicious Exception	-
Yvonne Garcia		Paid 15,000			
150 West 17th Street		Bal 0			
New York, NY 10011		Term 12 Months			
Grand Totals Judicious Exception (9 items)	***50,000***		***50,000***		-
Team Grants Approved and Paid 2013					
Cornell University	12,500	Grant 12,500	12,500	DRF Team Grants	-
Michael Mazourek		12,500			
248 Emerson Hall Calvin Noyes Keeney		Bal 0			
Ithaca, NY 14853		Term 12 Months			
Washington State University Mount Vernon	15,000	Grant 15,000	15,000	DRF Team Grants	-
Stephen Jones		15,000			
16650 State Route 536		Bal 0			
Mount Vernon, WA 98273		Term 12 Months			
Grand Totals Team (2 items)	***27,500***		***27,500***		
Matching Gifts 2012			10,000		
Matching Gifts 2013	28,000		13,500		
Grand Totals (129 items)	***1,304,500***		***1,545,000***		

Form **8868**
(Rev January 2014)
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.
▶ Information about Form 8868 and its instructions is at *www.irs.gov/form8868.*

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.

Enter filer's identifying number, see instructions

Type or print	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
File by the due date for filing your return See instructions	THE DAVID ROCKEFELLER FUND, INC.	X 13-3533359
	Number, street, and room or suite no If a P O box, see instructions 437 MADISON AVENUE, 37TH FLOOR	Social security number (SSN)
	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 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	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 A. 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 14, to file the exempt organization return for the organization named above The extension is for the organization's return for.
▶ [X] calendar year 20 13 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	$ 5,200
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	$ 2,500
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	$ 2,700

Caution. If you are going to make an electronic funds withdrawal (direct debit) 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).

		Enter filer's identifying number, see instructions
Type or print	Name of exempt organization or other filer, see instructions. THE DAVID ROCKEFELLER FUND, INC.	Employer identification number (EIN) or 13-3533359
File by the due date for filing your return. See instructions.	Number, street, and room or suite no. If a P.O. box, see instructions 437 MADISON AVENUE, 37TH FLOOR	Social security number (SSN)
	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 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	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 A. 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 11/17, 20 14.

5 For calendar year 2013, 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 Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a	$ 5,200
b	If this application is for Forms 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	$ 5,200
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	$ 0

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 ▶ Susan E. Hirst Title ▶ Senior Tax Manager, KPMG LLP Date ▶ 8/12/14

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 Investments - Other Part II, line 13		**Statement 1**
Statement of Activities Part VII-A, line 12		**Statement 4**
Compensation of Officers, Directors & Trustees Part VIII, line 1		**Statement 5**
Supplementary Information Part XV, line 2		**Statement 6A**
Grants and Contributions Paid During the Year or Approved for Future Payment Part XV, line 3 (a) & (b)		**Statement 6**
Detail of Grants Approved and Paid during the year Part XV, 3b and Part I, line 25		**Statement 7**