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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

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▶ **Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.**

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 07-01-2013 , and ending 06-30-2014

Name of foundation ROCKEFELLER ARCHIVE CENTER		A Employer identification number 20-8030810
Number and street (or P O box number if mail is not delivered to street address) Room/suite 15 DAYTON AVENUE		B Telephone number (see instructions) (914) 366-6308
City or town, state or province, country, and ZIP or foreign postal code SLEEPY HOLLOW, NY 10591		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 131,021,574	J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</i>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	1,617,609			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	927	927	927	
	4 Dividends and interest from securities.	5,649,892	5,649,892	5,649,892	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a _____				
	7 Capital gain net income (from Part IV, line 2)				
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)	17,820				
12 Total. Add lines 1 through 11	7,286,248	5,650,819	5,650,819		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	542,720			494,653
	14 Other employee salaries and wages	2,440,547			2,355,677
	15 Pension plans, employee benefits	875,771			683,023
	16a Legal fees (attach schedule).	21,718			41,304
	b Accounting fees (attach schedule).	57,600			64,260
	c Other professional fees (attach schedule)	619,564	524,794	524,794	51,617
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	98,500		98,500	
	19 Depreciation (attach schedule) and depletion	623,585			
	20 Occupancy	1,089,582			833,104
	21 Travel, conferences, and meetings	139,080			124,607
	22 Printing and publications	4,785			5,284
	23 Other expenses (attach schedule).	210,144			184,420
	24 Total operating and administrative expenses. Add lines 13 through 23	6,723,596	524,794	623,294	4,837,949
	25 Contributions, gifts, grants paid	137,191			129,652
26 Total expenses and disbursements. Add lines 24 and 25	6,860,787	524,794	623,294	4,967,601	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	425,461				
b Net investment income (if negative, enter -0-)		5,126,025			
c Adjusted net income (if negative, enter -0-)			5,027,525		

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	46,951	155,038	155,038		
	2 Savings and temporary cash investments	195,938	502,821	502,821		
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____					
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____					
	5 Grants receivable	8,500	37,760	37,760		
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)					
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____					
	8 Inventories for sale or use					
	9 Prepaid expenses and deferred charges	20,433	25,091	25,091		
	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)	97,265,222	108,841,819	108,841,819		
	14 Land, buildings, and equipment basis ▶ <u>21,423,754</u> Less accumulated depreciation (attach schedule) ▶ <u>2,611,689</u>	18,723,870	18,812,065	18,812,065		
15 Other assets (describe ▶ _____)	2,968,707	2,646,980	2,646,980			
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	119,229,621	131,021,574	131,021,574			
Liabilities	17 Accounts payable and accrued expenses	569,126	715,642			
	18 Grants payable					
	19 Deferred revenue	2,833,402	2,755,441			
	20 Loans from officers, directors, trustees, and other disqualified persons					
	21 Mortgages and other notes payable (attach schedule)					
	22 Other liabilities (describe ▶ _____)	5,000	27,745			
23 Total liabilities (add lines 17 through 22)	3,407,528	3,498,828				
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24 Unrestricted	55,330,686	59,924,841			
	25 Temporarily restricted	38,593,757	45,700,255			
	26 Permanently restricted	21,897,650	21,897,650			
	Foundations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 27 through 31.					
	27 Capital stock, trust principal, or current funds					
	28 Paid-in or capital surplus, or land, bldg, and equipment fund					
	29 Retained earnings, accumulated income, endowment, or other funds					
30 Total net assets or fund balances (see page 17 of the instructions)	115,822,093	127,522,746				
31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	119,229,621	131,021,574				

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	115,822,093
2	Enter amount from Part I, line 27a	2	425,461
3	Other increases not included in line 2 (itemize) ▶ _____	3	11,275,192
4	Add lines 1, 2, and 3	4	127,522,746
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	127,522,746

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 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a			

(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 (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			
b			
c			
d			
e			

2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)			
	If gain, also enter in Part I, line 8, column (c) (see 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 page 18 of 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 (col (b) divided by col (c))
2012	5,619,896	94,509,928	0.05946
2011	5,740,491	92,760,503	0.06189
2010	5,883,558	90,793,519	0.06480
2009	5,192,209	87,424,391	0.05939
2008	4,678,455	95,890,788	0.04879

2	Total of line 1, column (d).	2	0.29433
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	0.05887
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	103,050,131
5	Multiply line 4 by line 3.	5	6,066,149
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	51,260
7	Add lines 5 and 6.	7	6,117,409
8	Enter qualifying distributions from Part XII, line 4.	8	5,211,178

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 page 18 of the instructions)

Table with 11 main rows and sub-rows (a-e) for credits and payments. Includes amounts like 102,521, 100,261, 32,000, 132,261, 606, 29,134, and 29,134.

Part VII-A Statements Regarding Activities

Table with 10 rows (1a-10) regarding activities. Columns include question text, a Yes/No column, and a No column. Includes questions about political activities, tax on political expenditures, and substantial contributors.

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		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address www.rockarch.org	13	Yes	
14	The books are in care of Camelia Muresan Telephone no (914) 366-6370 Located at 15 DAYTON AVENUE SLEEPY HOLLOW NY ZIP +4 10591			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year 15			
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? See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country _____	16	Yes	No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>	1b		No
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?	1c		No
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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).	2b		No
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i>)	3b		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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?	4b		No

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)? Yes No
 Organizations relying on a current notice regarding disaster assistance check here.

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? 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? Yes No
 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? Yes No

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 Additional Data Table				

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
LEE R HILTZIK 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35 00	93,062	41,034	
ERWIN LEVOLD 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	SENIOR RESEARCH AR 35 00	91,699	17,508	
ROBERT BATTALY JR 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35 00	88,711	16,195	
MICHELE J HILTZIK 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35 00	88,711	20,387	
CAROL RADOVICH 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35 00	86,106	15,987	

Total number of other employees paid over \$50,000. 23

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
THE ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK, NY 10065	FINANCIAL SERVICES	524,794
Total number of others receiving over \$50,000 for professional services.		

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 ARCHIVAL PROGRAM - The Rockefeller Archive Center is an independent operating foundation that preserves and makes available for research the archival collections of members of the Rockefeller family, institutions and organizations founded by Rockefeller family members (including the Rockefeller Foundation, Rockefeller Brothers Fund, Winthrop Rockefeller Foundation, General Education Board, Rockefeller University, Population Council, Asia Society, and many other organizations) and the records of other philanthropic and service organizations such as the Ford Foundation, the Commonwealth Fund, Russell Sage Foundation, W T Grant Foundation, Markle Foundation, the Social Science Research Council and the Foundation Center. The Center also holds extensive collections of the personal papers of trustees, officers, faculty, and associates who were affiliated with these institutions. The Archive Center is located in Hillcrest, a home of Westchester County field stone built for Martha Baird Rockefeller.	4,703,533
2 RESEARCH & EDUCATION - The Research and Education Department oversees many of the external programs of the Rockefeller Archive Center. It administers a competitive program that awards 40 to 50 travel reimbursement each year to graduate students, faculty members, and independent scholars. It organizes and hosts several workshops and conferences each year. And staff members on the research and education team edit and publish a series of research reports describing scholarly work at the RAC, a publishing program that is now primarily electronic and web-based. The educational programs engage a number of area colleges and universities. The RAC brings university faculty and their graduate or undergraduate students to the Archive Center for course-related lectures and seminars, advises students on papers and theses, and helps faculty to find primary materials for their teaching. The staff also participates in meetings of various professional associations, delivering papers and organizing panels.	961,120
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 _____	
2 _____	
All other program-related investments. See page 24 of the instructions.	
3 _____	
Total. Add lines 1 through 3.	

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	103,680,098
b	Average of monthly cash balances.	1b	939,324
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	104,619,422
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	104,619,422
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	1,569,291
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	103,050,131
6	Minimum investment return. Enter 5% of line 5.	6	5,152,507

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	
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	4,967,601
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	243,577
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	5,211,178
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	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	5,211,178

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				
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.				
b Total for prior years 20___, 20___, 20___				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ _____				
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2013 distributable amount.				
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2013 <i>(If an amount appears in column (d), the same amount must be shown in column (a).)</i>				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions).				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a.				
10 Analysis of line 9				
a Excess from 2009.				
b Excess from 2010.				
c Excess from 2011.				
d Excess from 2012.				
e Excess from 2013.				

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

1a 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. 2006-06-20

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

	Tax year	Prior 3 years			(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	5,027,525	4,725,496	4,638,025	4,539,676	18,930,722
b 85% of line 2a	4,273,396	4,016,672	3,942,321	3,858,725	16,091,114
c Qualifying distributions from Part XII, line 4 for each year listed	5,211,178	5,670,088	5,787,603	5,935,256	22,604,125
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	5,211,178	5,670,088	5,787,603	5,935,256	22,604,125
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.	3,435,004	3,150,330	3,092,016	3,026,450	12,703,800
c "Support" alternative test—enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))

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

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed

ADMINSTRATOR
15 DAYTON AVENUE
SLEEPY HOLLOW, NY 10591
(914) 366-6309

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

APPLICANTS COMPLETE A FOUR-PAGE FORM AND MAIL IT TO THE ADDRESS PROVIDED ABOVE APPLCANTS MAY ALSO E-MAIL AN APPLICATION TO RACGRANTS@ROCKARCH.ORG

c Any submission deadlines

NOVEMBER 15TH OF EACH CALENDAR YEAR AWARDS ARE ANNOUNCED I

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

AWARDS ARE MADE TO INDIVIDUALS INSTITUIONS ARE NOT ELIGIBLE TO APPLY THE REIMBURSEMENT DOES NOT SUPPORT RESEARCH AT OTHER INSTITUTIONS, AND IT DOES NOT PROVIDE GENERAL TUITION SUPPORT APPLICATION TO THE PROGRAM IS OPEN TO U S CITIZENS AND CITIZENS OF FOREIGN COUNTRIES CERTAIN U S GOVERNMENT REQUIREMENTS WILL APPLY TO NON-U S CITIZENS

Part XV **Supplementary Information** (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> See Additional Data Table				
Total				▶ 3a 137,191
b <i>Approved for future payment</i>				
Total				▶ 3b

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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?
a Transfers from the reporting foundation to a noncharitable exempt organization of
(1) Cash.
(2) Other assets.
b Other transactions
(1) Sales of assets to a noncharitable exempt organization.
(2) Purchases of assets from a noncharitable exempt organization.
(3) Rental of facilities, equipment, or other assets.
(4) Reimbursement arrangements.
(5) Loans or loan guarantees.
(6) Performance of services or membership or fundraising solicitations.
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.
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.

Table with 4 columns: (a) Line No, (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions, and sharing arrangements.

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? [] Yes [x] No

Table with 3 columns: (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 or fiduciary) is based on all information of which preparer has any knowledge.

Signature of officer or trustee: ***** Date: 2015-05-12 Title: *****

May the IRS discuss this return with the preparer shown below (see instr.)? [x] Yes [] No

Table for Paid Preparer Use Only with columns: Print/Type preparer's name (Barbara Lane CPA), Preparer's Signature, Date, Check if self-employed, PTIN (P00005830), Firm's name (Citrin Cooperman & Company LLP), Firm's EIN, Firm's address (709 Westchester Ave White Plains, NY 10604), Phone no (914) 949-2990.

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(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
NEIL L RUDENSTINE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Chairman 1 00	0		
FREDERICK M BOHEN 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Sec/Tres 1 00	0		
STEPHEN HEINTZ 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1 00	0		
MARC TESSIER-LAVIGNE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1 00	0		
DAVID ROCKEFELLER JR 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1 00	0		
JUDITH RODIN 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1 00	0		
MEGAN SNIFFIN-MARINOFF 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1 00	0		
Ira Katznelson 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Trustee 1 00	0		
JACK MEYERS 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	President 35 00	238,000	67,425	
Robert D Rosendale 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	COO 35 00	8,500	2,986	
JAMES A SMITH 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	Vice President 35 00	190,000	35,809	

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
Alec Hickmott 15 Crown Street Redbourn Hertfordshire AL37JX UK	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,464
Alvaro Morcillo Laiz c/o Citibank 2861 Broadway New York, NY 10025	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,921
Andrew Rumbach 1165 Columbine Street Apt 3 Denver, CO 80206	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000
Angela P Vega Landaeta Carrera 57 BPS No 56-71 Botoga CO	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,424
Arianna Kinsella 62 Avenue de Paris, Versailles 78000 FR	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,500
Benjamin Marquez 137 South Segoe Road Madison, WI 53705	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,500
Benjamin Soskis 116 6th Street NE Apt 302 Washington, DC 20002	NONE	NONE	REIMBURSEMENT OF TRAVEL	802
Berit Potter 1318 Edgehill Drive Burlingame, CA 94010	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,352
Brian Purnell 40 Arrowhead Drive Brunswick, ME 04011	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,170
Cheryl Elman 1071 Perdue Drive Chapel Hill, NC 27517	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,925
Christine Ithurbide 18 Rue de la Fosse Courtoise Tours 37100 FR	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000
Christopher Loss 131 Kenner Avenue Nashville, TN 37205	NONE	NONE	REIMBURSEMENT OF TRAVEL	891
Claire Dunning 37 Laurel Street Apt1 Somerville, MA 02143	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,312
Clifford A Welch 110 W Bellevue Avenue San Mateo, CA 94402	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,000
Daksha C Parmar Opp Deonar Depot Simon Trombay Rd Mumbai 400088 IN	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,394
Total			3a	137,191

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
David Hammack 14206 South Woodland Road Shaker Heights, OH 44120	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,645
Diane Elizabeth Boter-Ragsdale De Haag 36 Ax Houten, The Netherlands NL	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,181
Elisa M Gonzalez 30 Bradhurst Avenue 513 New York, NY 10030		NONE	REIMBURSEMENT OF TRAVEL	192
Elizabeth Engle PO Box 7395 Jackson, WY 83002	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,365
Elizabeth Lundeen 3424 Balfour East Durham, NC 27713	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,103
Erico Silva Alvs Muniz Av NSASRA De Fatima 83 Apt 501 Rio De Janeiro, Rio De Janeiro 20240050 BR	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000
Eunjoo Cho Ungram-Ro 28 Hanyang Apt 1-609 Seo Seoul, Seoul KS	NONE	NONE	REIMBURSEMENT OF TRAVEL	4,000
Francisco Roa Bastos 12 rue Blonet Paris, Paris 75015 FR	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,669
George Kosar 35 Hamlin Avenue Medsord, MA 02155	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,500
Hassan Thuillard Rue des Bossons Onex, Onex 21213 SZ	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,670
Henrice Altink Heslington York, York YO10 5DD UK	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,491
Jack Loveridge 1003 Glenwood Place El Paso, TX 79903	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000
Jaume Sastre-Juan C/Provenza 577 4rt 1a Barcelona, Barcelona 08026 SP	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,155
Jenna Wachtmann 3978 Chelsea Terrace Greenwood, IN 46143	NONE	NONE	REIMBURSEMENT OF TRAVEL	593
Johannes von Moltke 503 Soule Blvd Ann Arbor, MI 48103	NONE	NONE	REIMBURSEMENT OF TRAVEL	923
Total			3a	137,191

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
Julia Foulkes 202 St Marks Avenue3 Brooklyn, NY 11238	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,000
Kelly Urban 108 Greenway Dr Conroe, TX 77304	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,934
Leticia Pumar Alves de Souza Copacabana 777 Apt703 Rio de Janeiro, Rio de Janeiro 00500-002 BR	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,883
Lise Jaillant 9 Ord Court Newcastle Upon Tyne NE4 9YF UK	NONE	NONE	REIMBURSEMENT OF TRAVEL	4,000
Marcj Baranski 7 MBL Street Woods Hole, MA 02543	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000
Marcio Siwi 4921 N Walcott Avenue Unit 1A Chicago, IL 60640	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,000
Marcos Cueto Casa Oswaldo Cruz Av Brasil 4365 Manguihos RJ 21040 BR	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,728
Marga Vicedo IHPST Victoria College 91 Charles West Toronto ON M5S 1K7 CA	NONE	NONE	REIMBURSEMENT OF TRAVEL	512
Melissa Renn 20 Loomis Street 4 Cambridge, MA 02138	NONE	NONE	REIMBURSEMENT OF TRAVEL	979
Micah Gell-Redman 9142 Regents Road Unit H La Jolla, CA 92037	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,512
Michael Fortner 4306 Walnut Street Philadelphia, PA 19104	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,000
Michael James Willcocks 6 Ivy Road Woolston Warrington WA1 4DS UK	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,040
Michael Krysko 1517 Leavenworth Street Manhattan, KS 66502	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,021
Michael Limberg 241 Glenbrook Road Storrs, CT 06269	NONE	NONE	REIMBURSEMENT OF TRAVEL	918
Monica Cecilia Moreno Cra 57 No 55-61 Bloque 70 Apt 202 P Bogota CO	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,500
Total			3a	137,191

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
Nicole Sackley 3209 Kensington Avenue Richmond, VA 23221	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,355
Philipp Hess Flensburger Stre 17 Erfurt 99085 GM	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,649
Ramona Braun Lucy Cavendish College Lady Margare Cambrige CB3 OBJ UK	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000
Rebecca Mertens Edithstra 1B Minden 32423 GM	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,487
Renata Nowaczewska UL Izerska 1 Szczecin 71-497 PL	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,965
Richard Nash 3622 Elm Avenue 2 Baltimore, MD 21211	NONE	NONE	REIMBURSEMENT OF TRAVEL	618
Robert R Gioielli 3143 Bellewood Avenue Apt 2 Cincinnati, OH 45213	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,059
Sara Silverstein 683 Longmore Hill Road Hyde Park, VT 05655	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,060
Sarah Snyder History Department UCL Gower Stree London WC1E 6NT UK	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,988
Shashwati Goswami Aruna Asaf Ali Marg New Delhi 110067 IN	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,916
Terry Evan Faulkenbury 121 Westview Dr 102 Carrboro, NC 27510	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,645
Tiffany Kuo 940 2nd STreet 25 Los Angeles, CA 90012	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,769
Willem Koops Bulgerstein 31 1082 NH Amsterdam 31 1082 NL	NONE	NONE	REIMBURSEMENT OF TRAVEL	918
William Demarest Stony Brook University 3rd floor S Stony Brook, NY 11794	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,274
Xi Gao 25 Francis Avenue Suite 20 Cambridge, MA 02138	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000
Total				137,191

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i>				
Yann Giraud 291 rue du Faubourg Saint Antoine Paris 75001 FR	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,500
Yubin Shen 1817 N Quinn Street APT 407 Arlington, VA 22209	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,819
Total	▶ 3a			137,191

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

Schedule of Contributors

OMB No 1545-0047

Department of the Treasury
Internal Revenue Service

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

2013

Name of the organization
ROCKEFELLER ARCHIVE CENTER

Employer identification number
20-8030810

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 33¹/₃% 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 for 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 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
ROCKEFELLER ARCHIVE CENTER

Employer identification number
20-8030810

Part I Contributors (see Instructions) Use duplicate copies of Part I if additional space is needed			
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
	See Additional Data Table _____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)

Name of organization
ROCKEFELLER ARCHIVE CENTER

Employer identification number
20-8030810

Part II Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____
_____	_____ _____ _____	\$ _____	_____

Name of organization
ROCKEFELLER ARCHIVE CENTER

Employer identification number
20-8030810

Part III Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry
For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this information once. See instructions.) ▶ \$
Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	_____ _____	_____ _____	_____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____	_____ _____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	_____ _____	_____ _____	_____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____	_____ _____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	_____ _____	_____ _____	_____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____	_____ _____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	_____ _____	_____ _____	_____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____	_____ _____

Additional Data

Software ID: 13000170
Software Version: 2013v4.0
EIN: 20-8030810
Name: ROCKEFELLER ARCHIVE CENTER

Form 990 Schedule B, Part I - Contributors (see Instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	THE ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK, NY 10065	\$ 500,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
2	THE COMMONWEALTH FUND ONE EAST 75TH STREET NEW YORK, NY 10021	\$ 84,996	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
3	RUSSELL SAGE FOUNDATION 112 EAST 64TH STREET NEW YORK, NY 10065	\$ 10,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
4	THE NEAR EAST FOUNDATION 1275 YORK AVENUE NEW YORK, NY 10021	\$ 5,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
5	THE ROCKEFELLER FOUNDATION 420 FIFTH AVENUE NEW YORK, NY 10018	\$ 128,046	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
6	THE FORD FOUNDATION 320 EAST 43RD STREET NEW YORK, NY 10017	\$ 408,750	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
7	TACONIC FOUNDATION 100 WALL STREET 12TH FLOOR NEW YORK, NY 10005	\$ 33,452	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
8	SOCIAL SCIENCE RESEARCH COUNCIL ONE PIERREPORT PLAZA 15TH FL BROOKLYN, NY 11201	\$ 10,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
9	CARNEGIE CORPORATION 437 MADISON AVENUE NEW YORK, NY 10022	\$ 50,001	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
10	ACLS 633 THIRD AVENUE 8TH FLOOR NEW YORK, 115TW	\$ 60,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)

Form 990 Schedule B, Part I - Contributors (see Instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
11	<u>ABBY M O'NEILL</u> <u>30 ROCKEFELLER PLAZA</u> <u>NEW YORK, NY 10112</u> 	\$ <u>37,500</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
12	<u>MEMORIAL SLOAN-KETTERING CANCER CTR</u> <u>1275 YORK AVENUE</u> <u>NEW YORK, NY 10021</u> 	\$ <u>29,260</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
13	<u>PAUL EHRLICH COLLECTION</u> <u>575 MADISON AVENUE</u> <u>NEW YORK, NY 10022</u> 	\$ <u>25,000</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
14	<u>ROCKEFELLER BROTHERS FUND</u> <u>420 FIFTH AVENUE</u> <u>NEW YORK, NY 10018</u> 	\$ <u>72,976</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)
15	<u>THE JOHN HARTFORD FOUNDATION</u> <u>55 EAST 59TH STREET</u> <u>NEW YORK, NY 10022</u> 	\$ <u>155,380</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contribution)

TY 2013 Accounting Fees Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Accounting & Auditing	35,000	0	0	39,046
Tax Preparation	22,600	0	0	25,214

TY 2013 Contractor Compensation Explanation

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Contractor	Explanation
THE ROCKEFELLER UNIVERSITY	

TY 2013 Land, Etc. Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Auto./Transportation Equip.	40,495	13,571	26,924	26,924
Furniture and Fixtures	42,994	8,599	34,395	34,395
Machinery and Equipment	1,408,371	356,070	1,052,301	1,052,301
Buildings	15,055,758	2,229,020	12,826,738	12,826,738
Land	4,838,000		4,838,000	4,838,000
Miscellaneous	38,136	4,429	33,707	33,707

TY 2013 Legal Fees Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Legal	21,718	0	0	41,304

TY 2013 Other Assets Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Exhibition and Archival Art	2,500,505	2,646,980	

TY 2013 Other Expenses Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Bank Charges	2,628			3,171
COMPUTER, SOFTWARE & LICENSING	47,894			38,651
DIGITIZATION AND MICROFILMING	18,538			-138
MEMBERSHIPS	12,497			12,811
PAYROLL SERVICE FEES	11,814			10,042
PENALTY REFUND	-540			
POSTAGE AND SUPPLIES	93,516			95,541
scholarly conferences and workshops	23,797			24,342

TY 2013 Other Income Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
copy service for research	17,820		

TY 2013 Other Liabilities Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Description	Beginning of Year - Book Value	End of Year - Book Value
EXCISE TAXES PAYABLE	5,000	25,000
Due to University for Investment Service		2,745

TY 2013 Other Professional Fees Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ADVISORY & PROFESSIONAL SUPPORT	94,770	0	0	51,617
FINANCIAL SERVICES/INVESTMENT FEES	524,794	524,794	524,794	0

TY 2013 Taxes Schedule

Name: ROCKEFELLER ARCHIVE CENTER

EIN: 20-8030810

Software ID: 13000170

Software Version: 2013v4.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Federal Excise Tax	98,500		98,500	