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

2014

Open to Public Inspection

For calendar year 2014, or tax year beginning 7/01 **, 2014, and ending** 6/30 **, 2015**

ROCKEFELLER ARCHIVE CENTER
15 DAYTON AVENUE
SLEEPY HOLLOW, NY 10591

A Employer identification number: 20-8030810

B Telephone number (see instructions): 914-366-6308

C If exemption application is pending, check here ► ☐

D 1 Foreign organizations, check here ► ☐

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

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

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

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

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

I Fair market value of all assets at end of year *(from Part II, column (c), line 16)* ► $ 132,737,336.

J Accounting method: ☐ Cash [X] Accrual ☐ Other (specify) *(Part I, column (d) must be on cash basis)*

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).)*

Line	Description	(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)	1,945,939.			
2	Ck ► ☐ if the foundn is not required to attach Sch B				
3	Interest on savings and temporary cash investments	799.	799.	799.	
4	Dividends and interest from securities	5,857,843.	5,857,843.	5,857,843.	
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) SEE STATEMENT 1	19,577.			
12	**Total.** Add lines 1 through 11	7,824,158.	5,858,642.	5,858,642.	
OPERATING AND ADMINISTRATIVE EXPENSES					
13	Compensation of officers, directors, trustees, etc	520,273.			473,321.
14	Other employee salaries and wages	2,572,155.			2,505,299.
15	Pension plans, employee benefits	940,212.			1,017,642.
16a	Legal fees (attach schedule) SEE ST 2	6,577.			5,590.
b	Accounting fees (attach sch) SEE ST 3	54,501.			26,350.
c	Other prof fees (attach sch) SEE ST 4	656,912.	548,062.	548,062.	117,769.
17	Interest				
18	Taxes (attach schedule)(see instrs) SEE STM 5	106,000.		106,000.	
19	Depreciation (attach sch) and depletion SEE STMT 6	589,680.			
20	Occupancy	894,133.			831,669.
21	Travel, conferences, and meetings	183,311.			189,179.
22	Printing and publications	5,440.			5,220.
23	Other expenses (attach schedule) SEE STATEMENT 7	666,646.			481,735.
24	**Total operating and administrative expenses.** Add lines 13 through 23	7,195,840.	548,062.	654,062.	5,653,774.
25	Contributions, gifts, grants paid PART XV	85,714.			92,254.
26	**Total expenses and disbursements.** Add lines 24 and 25	7,281,554.	548,062.	654,062.	5,746,028.
27	Subtract line 26 from line 12:				
a	**Excess of revenue over expenses and disbursements**	542,604.			
b	**Net investment income** (if negative, enter -0-)		5,310,580.		
c	**Adjusted net income** (if negative, enter -0-)			5,204,580.	

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Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
ASSETS	1 Cash – non-interest-bearing	155,038.	220,980.	220,980.
	2 Savings and temporary cash investments	502,821.	833,301.	833,301.
	3 Accounts receivable ► 1,250.			
	Less: allowance for doubtful accounts ►		1,250.	1,250.
	4 Pledges receivable ►			
	Less: allowance for doubtful accounts ►			
	5 Grants receivable	37,760.	8,500.	8,500.
	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	25,091.	28,935.	28,935.
	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) RU INVESTMENTS	108,841,819.	110,620,786.	110,620,786.
	14 Land, buildings, and equipment: basis ► 21,577,981.			
	Less: accumulated depreciation (attach schedule) SEE STMT 8 ► 3,201,377.	18,812,065.	18,376,604.	18,376,604.
	15 Other assets (describe ► SEE STATEMENT 9)	2,646,980.	2,646,980.	2,646,980.
	16 Total assets (to be completed by all filers – see the instructions Also, see page 1, item I)	131,021,574.	132,737,336.	132,737,336.
LIABILITIES	17 Accounts payable and accrued expenses	715,642.	639,392.	
	18 Grants payable			
	19 Deferred revenue	2,755,441.	2,594,396.	
	20 Loans from officers, directors, trustees, & other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ► SEE STATEMENT 10)	27,745.	948.	
	23 Total liabilities (add lines 17 through 22)	3,498,828.	3,234,736.	
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	59,924,841.	61,018,506.	
	25 Temporarily restricted	45,700,255.	46,586,444.	
	26 Permanently restricted	21,897,650.	21,897,650.	
	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, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	127,522,746.	129,502,600.	
	31 Total liabilities and net assets/fund balances (see instructions)	131,021,574.	132,737,336.	

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	127,522,746.
2	Enter amount from Part I, line 27a	2	542,604.
3	Other increases not included in line 2 (itemize) ► SEE STATEMENT 11	3	1,437,250.
4	Add lines 1, 2, and 3	4	129,502,600.
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	129,502,600.

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	N/A			
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

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

2	Capital gain net income or (net capital loss). If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7	2	
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))
2013	5,211,178.	103,050,131.	0.050569
2012	5,619,896.	94,509,928.	0.059464
2011	5,740,491.	92,760,503.	0.061885
2010	5,883,558.	90,793,519.	0.064802
2009	5,192,209.	87,424,391.	0.059391

2	**Total** of line 1, column (d)	2	0.296111
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	0.059222
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	109,329,567.
5	Multiply line 4 by line 3	5	6,474,716.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	53,106.
7	Add lines 5 and 6	7	6,527,822.
8	Enter qualifying distributions from Part XII, line 4	8	5,900,257.

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)

1 a	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	106,212.
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	106,212.
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	106,212.
6	Credits/Payments:			
a	2014 estimated tax pmts and 2013 overpayment credited to 2014	6a 103,134.		
b	Exempt foreign organizations – tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d		7	103,134.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached		8	390.
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** SEE STATEMENT 12 ►		9	3,606.
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ►		10	
11	Enter the amount of line 10 to be: **Credited to 2015 estimated tax** ►	**Refunded** ►	11	

Part VII-A Statements Regarding Activities

			Yes	No
1 a	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 Instructions for the 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
4 a	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	N/A	
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	
8 a	Enter the states to which the foundation reports or with which it is registered (see instructions) ► NY			
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 2014 or the taxable year beginning in 2014 (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)*

		Line	Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ► WWW.ROCKARCH.ORG

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 N/A ► ☐

and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A

		Line	Yes	No
16	At any time during calendar year 2014, 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 FinCEN Form 114, (formerly 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.

		Line	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	N/A	
	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 2014?	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 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? ☐ 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.)	2 b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ► 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 2014 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 2014.)*	3 b	N/A	
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 2014?	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 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is 'Yes' to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? 5b N/A

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 13		404,060.	116,213.	0.

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	95,853.	47,274.	0.
CAROL RADOVICH 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASSISTANT DIR 35	133,689.	18,867.	0.
ROBERT BATTALY, JR. 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35	91,372.	18,776.	0.
MICHELE J. HILTZIK 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	ASST DIRECTOR 35	91,372.	34,253.	0.
ROSEANN VARIANO 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	FACILITIES CO 35	85,482.	23,694.	0.

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 AVNUE NEW YORK, NY 10065	FINANCIAL SERVICES	548,062.
Total number of others receiving over $50,000 for professional services ►		0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 SEE STATEMENT 14	4,773,468.
2 SEE STATEMENT 15	1,316,981.
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
All other program-related investments See instructions 3	
Total. Add lines 1 through 3 ►	0.

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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	109,390,070.
b Average of monthly cash balances	1b	1,604,414.
c Fair market value of all other assets (see instructions)	1c	
d **Total** (add lines 1a, b, and c)	1d	110,994,484.
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	0.
3 Subtract line 2 from line 1d	3	110,994,484.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	1,664,917.
5 **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	109,329,567.
6 **Minimum investment return.** Enter 5% of line 5	6	5,466,478.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ► [X] and do not complete this part.)

1 Minimum investment return from Part X, line 6 N/A	1	
2a Tax on investment income for 2014 from Part VI, line 5 — 2a		
b Income tax for 2014. (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	5,746,028.
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	154,229.
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	5,900,257.
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	5,900,257.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII **Undistributed Income** (see instructions)

N/A

	(a) Corpus	(b) Years prior to 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7				
2 Undistributed income, if any, as of the end of 2014:				
a Enter amount for 2013 only				
b Total for prior years: 20 ___, 20 ___, 20 ___				
3 Excess distributions carryover, if any, to 2014:				
a From 2009				
b From 2010				
c From 2011				
d From 2012				
e From 2013				
f **Total** of lines 3a through e				
4 Qualifying distributions for 2014 from Part XII, line 4: ► $				
a Applied to 2013, 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 2014 distributable amount				
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2014 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6 **Enter the net total of each column as indicated below:**				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount – see instructions				
e Undistributed income for 2013 Subtract line 4a from line 2a. Taxable amount – see instructions				
f Undistributed income for 2014. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required – see instructions)				
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions)				
9 **Excess distributions carryover to 2015.** Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9:				
a Excess from 2010				
b Excess from 2011				
c Excess from 2012				
d Excess from 2013				
e Excess from 2014				

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2014, enter the date of the ruling ► 6/20/06

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

	Tax year	Prior 3 years			
	(a) 2014	(b) 2013	(c) 2012	(d) 2011	(e) Total
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	5,204,580.	5,027,525.	4,725,496.	4,638,025.	19,595,626.
b 85% of line 2a	4,423,893.	4,273,396.	4,016,672.	3,942,321.	16,656,282.
c Qualifying distributions from Part XII, line 4 for each year listed	5,900,257.	5,211,178.	5,670,088.	5,787,603.	22,569,126.
d Amounts included in line 2c not used directly for active conduct of exempt activities					0.
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c	5,900,257.	5,211,178.	5,670,088.	5,787,603.	22,569,126.
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	3,644,318.	3,435,004.	3,150,330.	3,092,016.	13,321,668.
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 ► [ ] 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:

SEE STATEMENT 16

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

SEE STATEMENT FOR LINE 2A

c Any submission deadlines:

SEE STATEMENT FOR LINE 2A

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

SEE STATEMENT FOR LINE 2A

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
SEE STATEMENT 17				
Total			► 3a	85,714.
b Approved for future payment				
Total			► 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a COPY SERVICE FOR RESEARCH					19,577.
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	799.	
4 Dividends and interest from securities			14	5,857,843.	
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					
8 Gain or (loss) from sales of assets other than inventory					
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)				5,858,642.	19,577.

13 Total. Add line 12, columns (b), (d), and (e) 13 5,878,219.

(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.)
1A	COPY SERVICE FOR RESEARCHERS WHO USE THE FACILITY AS DOCUMENTS CANNOT LEAVE THE ARCHIVE CENTER. THIS AIDS IN THEIR ABILITY TO DOCUMENT THEIR RESEARCH.

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

		Yes	No
1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a Transfers from the reporting foundation to a noncharitable exempt organization of:			
(1) Cash	1 a (1)		X
(2) Other assets	1 a (2)		X
b Other transactions:			
(1) Sales of assets to a noncharitable exempt organization	1 b (1)		X
(2) Purchases of assets from a noncharitable exempt organization	1 b (2)		X
(3) Rental of facilities, equipment, or other assets	1 b (3)		X
(4) Reimbursement arrangements	1 b (4)		X
(5) Loans or loan guarantees	1 b (5)		X
(6) Performance of services or membership or fundraising solicitations	1 b (6)		X
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1 c		X

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

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

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
N/A		

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 | Date 5/12/16 | Title PRESIDENT

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
BARBARA LANE, CPA	BARBARA LANE, CPA	5/12/16		P00005830

Firm's name ► CITRIN COOPERMAN & COMPANY LLP — Firm's EIN ► 22-2428965

Firm's address ► 709 WESTCHESTER AVE WHITE PLAINS, NY 10604 — Phone no. (914) 949-2990

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

2014

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, contributions totaling $5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

☐ For an organization described in section 501(c)(3) 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), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions 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 an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *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 an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled 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 totaling $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) Number	(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 [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
2	THE COMMONWEALTH FUND ONE EAST 75TH STREET NEW YORK, NY 10021	$ 85,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
3	RUSSELL SAGE FOUNDATION 112 EAST 64TH STREET NEW YORK, NY 10065	$ 10,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
4	THE NEAR EAST FOUNDATION 1275 YORK AVENUE NEW YORK, NY 10021	$ 5,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
5	THE ROCKEFELLER FOUNDATION 420 FIFTH AVENUE NEW YORK, NY 10018	$ 139,176.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
6	THE FORD FOUNDATION 320 EAST 43RD STREET NEW YORK, NY 10017	$ 345,929.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

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) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	LAURANCE S ROCKEFELLER FUND 30 ROCKEFELLER PLAZA RM 5600 NEW YORK, NY 10112	$ 24,846.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
8	SOCIAL SCIENCE RESEARCH COUNCIL ONE PIERREPORT PLAZA, 15TH FL BROOKLYN, NY 11201	$ 10,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
9	ACLS 633 THIRD AVENUE, 8TH FLOOR NEW YORK, 115 TAIWAN	$ 72,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
10	ABBY M. O'NEILL 30 ROCKEFELLER PLAZA NEW YORK, NY 10112	$ 164,951.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
11	MEMORIAL SLOAN-KETTERING CANCER CTR 1275 YORK AVENUE NEW YORK, NY 10021	$ 29,260.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
12	ROCKEFELLER BROTHERS FUND 420 FIFTH AVENUE NEW YORK, NY 10018	$ 109,462.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

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) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
13	THE JOHN HARTFORD FOUNDATION 55 EAST 59TH STREET NEW YORK, NY 10022	$ 155,380.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
14	ACADEMIA SINICA ARCHIVE INSTITUTE OF TAIWAN HISTORY TAIPEI, 115 TAIWAN	$ 14,262.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
15	DAVID ROCKEFELLER 30 ROCKEFELLER PLAZA ROOM 5600 NEW YORK, NY 10112	$ 247,425.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
16	JOHN D ROCKEFELLER 2121 PARK ROAD NW WASHINGTON, DC 20010	$ 8,248.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
17	GOOD VENTURES FOUNDATION 394 PACIFIC AVENUE FL 2 SAN FRANCISCO, CA 94111	$ 25,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

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
	N/A	$	

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

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

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

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

(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., contributions to organizations described in section 501(c)(7), (8) or (10) that total more than $1,000 for the year from any one contributor.** 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.) .... ► $ N/A

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
	N/A		

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

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

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

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

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

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

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

STATEMENT 1
FORM 990-PF, PART I, LINE 11
OTHER INCOME

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
COPY SERVICE FOR RESEARCH	$ 19,577.		
TOTAL	$ 19,577.	$ 0.	$ 0.

STATEMENT 2
FORM 990-PF, PART I, LINE 16A
LEGAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL	$ 6,577.			$ 5,590.
TOTAL	$ 6,577.	$ 0.	$ 0.	$ 5,590.

STATEMENT 3
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING & AUDITING	$ 38,000.			$ 18,374.
TAX PREPARATION	16,501.			7,976.
TOTAL	$ 54,501.	$ 0.	$ 0.	$ 26,350.

STATEMENT 4
FORM 990-PF, PART I, LINE 16C
OTHER PROFESSIONAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADVISORY & PROFESSIONAL SUPPORT	$ 108,850.			$ 117,769.
FINANCIAL SERVICES/INVESTMENT FEES	548,062.	$ 548,062.	$ 548,062.	
TOTAL	$ 656,912.	$ 548,062.	$ 548,062.	$ 117,769.

FY 2015

ASSET LEADSHEET DESCRIPTION	Asset Account Description	Accumulated Depreciation Account Description	2015 Additions	Cost 2015	Accum Depreciation 6/30/2014	Current year Depreciation 2015	Accum Depreciation 6/30/2015	Netbook Value 6/30/15
EQUIPMENT	15201 - COMPUTERS	17201	-	127,812	36,953	8,196	45,149	82,664
EQUIPMENT	15202 - FURNISHINGS	17202	-	42,994	10,749	2,150	12,898	30,096
EQUIPMENT	15203 - SCIENTIFIC EQUIPMENT	17203	-	124,331	16,139	12,287	28,425	95,906
EQUIPMENT	15204 - OFFICE EQUIPMENT	17204	-	9,585	4,793	959	5,751	3,834
EQUIPMENT	15208 - EQUIPMENT - OTHER	17208	-	224,594	103,253	22,459	125,713	98,882
EQUIPMENT	15410 - NETWORK EQUIPMENT	17410	-	130,143	47,704	29,173	76,877	53,266
LAND	15700 - LAND OPERATING		-	4,838,000	-	-	-	4,838,000
BUILDING AND BUILDING IMPROVEMENTS	15100 - BUILDINGS OPERATING	17200	-	12,162,000	1,705,547	284,258	1,989,805	10,172,195
BUILDING AND BUILDING IMPROVEMENTS	15209 - 2009 P P ADDITION	17209	-	430,537	103,329	17,221	120,550	309,987
EQUIPMENT	15211 - Backup Generator	17211	-	311,556	24,924	12,462	37,387	274,169
EQUIPMENT	15212 - Phone	17204	-	65,603	13,121	6,560	19,681	45,922
EQUIPMENT	15510 - HVAC PROJECT	17510	-	1,265,972	199,591	50,639	250,230	1,015,742
BUILDING AND BUILDING IMPROVEMENTS	15515 - SERVER ROOM	17515	-	299,827	99,876	29,983	129,859	169,968
EQUIPMENT	15520 - SOFTWARE CIP - SHAREPOINT	17520	-	22,513	15,009	7,504	22,513	-
EQUIPMENT	15810 - Intergrated Web Delivery	17810	-	16,480	5,493	5,493	10,987	5,493
EQUIPMENT	15820 - Digital Preservation Software	17820	-	122,097	40,699	40,699	81,398	40,699
EQUIPMENT	15513 - Security and Safety Upgrades	17213	-	15,547	3,109	1,555	4,664	10,883
EQUIPMENT	15530 - ARCHIVAL EQUIPMENT	17530	76,145	311,282	31,072	17,492	48,564	262,718
EQUIPMENT	15411 - Desktop Computer Upgrades	17201	-	17,131	8,566	4,283	12,848	4,283
EQUIPMENT	15550 - ARCHIVAL OFFICE EQUIPMENT	17550	-	15,178	6,505	2,168	8,673	6,505
EQUIPMENT	15560 - MAIN HOUSE FIXTURES	17560	-	29,535	12,658	4,219	16,877	12,658
EQUIPMENT	15570 - TREES	17570	-	14,251	855	285	1,140	13,111
EQUIPMENT	15580 - CARRIAGE HOUSE ROOF REPLACEMENT	17580	-	17,000	963	340	1,303	15,697
EQUIPMENT	15610 - GUTTERS	17610	-	61,000	3,355	1,220	4,575	56,425
EQUIPMENT	15611 - Gate Entry - CIP	17611	-	23,886	3,412	3,412	6,825	17,061
EQUIPMENT	15612 - Main House Renovations	17612	78,084	101,242	2,206	2,112	4,318	96,924
EQUIPMENT	15590 - GARAGE DOOR	17590	-	8,181	464	164	627	7,554
BUILDING AND BUILDING IMPROVEMENTS	15910 - VAULT @ GREENROCK	17910	-	280,584	62,043	(9,014)	53,029	227,555
BUILDING AND BUILDING IMPROVEMENTS	15911 - Storage Vault @ Greenrock	17910	-	125,717	16,762	8,381	25,143	100,574
BUILDING AND BUILDING IMPROVEMENTS	15912 - Storage Vault @ Armock	17910	-	322,910	18,970	18,970	37,940	284,970
EQUIPMENT	16400 - VEHICLES	17920	-	40,495	13,571	4,050	17,621	22,874
CONSTRUCTION IN PROGRESS	16912 - Construction in Progress		-	-	-	-	-	-
FINE ARTS AND MEMORABILIA	18300 - WORKS OF ART		-	2,646,980	-	-	-	2,646,980
Grand Total	**Grand Total**		154,229	24,224,963	2,611,690	589,680	3,201,369	21,023,594

LAND	4,838,000		-	-	4,838,000
BUILDING AND BUILDING IMPROVEMENTS	13,621,575		349,799	2,356,327	11,265,248
EQUIPMENT	3,118,408		239,881	845,043	2,273,366
FINE ARTS AND MEMORABILIA	2,646,980		-	-	2,646,980
Total	**24,224,963**	**-**	**589,680**	**3,201,369**	**21,023,594**

STATEMENT 6

STATEMENT 5
FORM 990-PF, PART I, LINE 18
TAXES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	$ 106,000.		$ 106,000.	
TOTAL	$ 106,000.	$ 0.	$ 106,000.	$ 0.

STATEMENT 7
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK CHARGES	$ 3,568.			$ 3,033.
COMPUTER, SOFTWARE & LICENSING	53,116.			51,349.
DIGITIZATION AND MICROFILMING	490,989.			309,129.
MEMBERSHIPS	12,329.			12,329.
POSTAGE AND SUPPLIES	106,644.			105,895.
TOTAL	$ 666,646.	$ 0.	$ 0.	$ 481,735.

STATEMENT 8
FORM 990-PF, PART II, LINE 14
LAND, BUILDINGS, AND EQUIPMENT

CATEGORY	BASIS	ACCUM. DEPREC.	BOOK VALUE	FAIR MARKET VALUE
AUTO./TRANSPORTATION EQUIP.	$ 40,495.	$ 17,621.	$ 22,874.	$ 22,874.
FURNITURE AND FIXTURES	42,994.	10,749.	32,245.	32,245.
MACHINERY AND EQUIPMENT	1,484,514.	525,813.	958,701.	958,701.
BUILDINGS	15,133,842.	2,639,068.	12,494,774.	12,494,774.
LAND	4,838,000.		4,838,000.	4,838,000.
MISCELLANEOUS	38,136.	8,126.	30,010.	30,010.
TOTAL	$ 21,577,981.	$ 3,201,377.	$ 18,376,604.	$ 18,376,604.

STATEMENT 9
FORM 990-PF, PART II, LINE 15
OTHER ASSETS

	BOOK VALUE	FAIR MARKET VALUE
EXHIBITION AND ARCHIVAL ART	$ 2,646,980.	
TOTAL	$ 2,646,980.	$ 0.

STATEMENT 10
FORM 990-PF, PART II, LINE 22
OTHER LIABILITIES

DUE TO UNIVERSITY FOR INVESTMENT SERVICE	$ 948.
TOTAL	$ 948.

STATEMENT 11
FORM 990-PF, PART III, LINE 3
OTHER INCREASES

NET UNREALIZED GAINS OR LOSSES ON INVESTMENTS	$ 1,437,250.
TOTAL	$ 1,437,250.

STATEMENT 12
FORM 990-PF, PART VI, LINE 9
TAX DUE

TAX DUE	$ 3,468.
LATE PAYMENT PENALTY	92.
LATE INTEREST	46.
TOTAL	$ 3,606.

STATEMENT 13
FORM 990-PF, PART VIII, LINE 1
LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED	COMPEN-SATION	CONTRI-BUTION TO EBP & DC	EXPENSE ACCOUNT/ OTHER
NEIL L. RUDENSTINE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	CHAIRMAN 1.00	$ 0.	$ 0.	$ 0.
STEPHEN HEINTZ 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
MARC TESSIER-LAVIGNE 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
DAVID ROCKEFELLER, JR 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.

STATEMENT 13 (CONTINUED)
FORM 990-PF, PART VIII, LINE 1
LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED	COMPEN- SATION	CONTRI- BUTION TO EBP & DC	EXPENSE ACCOUNT/ OTHER
JUDITH RODIN 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	$ 0.	$ 0.	$ 0.
MEGAN SNIFFIN-MARINOFF 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
IRA KATZNELSON 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	TRUSTEE 1.00	0.	0.	0.
JACK MEYERS 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	PRESIDENT 35.00	247,500.	78,167.	0.
JAMES A. SMITH 15 DAYTON AVENUE SLEEPY HOLLOW, NY 10591	VICE PRESIDENT 35.00	156,560.	38,046.	0.
	TOTAL	$ 404,060.	$ 116,213.	$ 0.

STATEMENT 14
FORM 990-PF, PART IX-A, LINE 1
SUMMARY OF DIRECT CHARITABLE ACTIVITIES

DIRECT CHARITABLE ACTIVITIES	EXPENSES
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.	$ 4,773,468.

THE ARCHIVE CENTER IS LOCATED IN HILLCREST, A HOME OF WESTCHESTER COUNTY FIELD STONE BUILT FOR MARTHA BAIRD ROCKEFELLER (1895-1971), THE SECOND WIFE OF JOHN D. ROCKEFELLER, JR. (1874-1960). THE HOUSE WAS DESIGNED BY MOTT B. SCHMIDT AND WAS COMPLETED IN 1963. MRS. ROCKEFELLER PERSONALLY PLANNED THE FURNISHINGS OF THE HOUSE, BUT ADVANCING AGE AND ILLNESS PREVENTED HER FROM LIVING IN IT. AFTER HER DEATH, THE HOUSE WAS GIVEN TO THE ROCKEFELLER BROTHERS FUND AS PART OF HER RESIDUAL ESTATE. IN MARCH 1974 THE ROCKEFELLER BROTHERS FUND GAVE THE HOUSE AND THE SURROUNDING 24 ACRES OF GROUNDS FOR USE AS THE

STATEMENT 14 (CONTINUED)
FORM 990-PF, PART IX-A, LINE 1
SUMMARY OF DIRECT CHARITABLE ACTIVITIES

DIRECT CHARITABLE ACTIVITIES	EXPENSES
ROCKEFELLER ARCHIVE CENTER.	

THE HOUSE PROVIDES WORK SPACE FOR BOTH RESEARCHERS AND STAFF AND INCLUDES A FEW ROOMS WHERE ROCKEFELLER MEMORABILIA ARE ON DISPLAY. RESEARCHERS WHO VISIT THE RAC WORK IN THE READING ROOM ON THE SECOND FLOOR OF THE HOUSE AND MAY USE THE RESEARCHERS' LOUNGE ON THE FIRST FLOOR.

THE CENTER'S READING ROOM IS OPEN TO RESEARCHERS ON WEEKDAYS FROM 9:00 A.M. UNTIL 5:15 P.M.. RESEARCH APPOINTMENTS ARE REQUIRED. APPOINTMENTS MUST BE MADE WITH, AND CONFIRMED BY, A STAFF MEMBER IN ADVANCE OF A RESEARCH VISIT. PHOTO IDENTIFICATION IS REQUIRED. RESEARCHERS ARE ADVISED TO CONTACT THE CENTER TO MAKE AN APPOINTMENT BEFORE MAKING TRAVEL PLANS. DRIVING DIRECTIONS, A LISTING OF THE CENTER'S HOLIDAY CLOSINGS AND LOCAL ACCOMMODATION INFORMATION IS AVAILABLE AT THE RESEARCHER INFORMATION SECTION OF THIS WEBSITE. RESEARCHERS ARE INVITED TO WRITE TO THE CENTER, DESCRIBING THEIR PROJECTS IN SPECIFIC TERMS. THE STAFF WILL RESPOND WITH A DESCRIPTION OF THE SCOPE AND CONTENT OF RELEVANT MATERIALS IN THE COLLECTIONS.

STATEMENT 15
FORM 990-PF, PART IX-A, LINE 2
SUMMARY OF DIRECT CHARITABLE ACTIVITIES

DIRECT CHARITABLE ACTIVITIES	EXPENSES
RESEARCH & EDUCATION -	$ 1,316,981.

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 FOR RAC RESEARCHERS.

THERE ARE SEVERAL PUBLIC OUTREACH INITIATIVES OF THE RESEARCH AND EDUCATION PROGRAM. THE RAC OCCASIONALLY INVITES MEMBERS OF LOCAL HISTORICAL SOCIETIES TO TOUR THE ARCHIVES. IT ORGANIZES EXHIBITS AND PRESENTATIONS ABOUT ARCHIVAL HOLDINGS FOR BOARD AND STAFF MEMBERS OF DONOR ORGANIZATIONS. THE RESEARCH AND EDUCATION STAFF ALSO WORKS WITH OTHER POCANTICO-BASED ORGANIZATIONS ON PUBLIC PROGRAMS, SHOWING FILMS AND ORGANIZING EXHIBITIONS AND LECTURES FOR THE LOCAL COMMUNITY.

STATEMENT 16
FORM 990-PF, PART XV, LINE 2A-D
APPLICATION SUBMISSION INFORMATION

NAME OF GRANT PROGRAM:	TRAVEL REIMBURSEMENT
NAME:	ADMINSTRATOR
CARE OF:	NORINE HOCHMAN
STREET ADDRESS:	15 DAYTON AVENUE
CITY, STATE, ZIP CODE:	SLEEPY HOLLOW, NY 10591
TELEPHONE:	914-366-6309
E-MAIL ADDRESS:	RACGRANTS@ROCKARCH.ORG
FORM AND CONTENT:	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
SUBMISSION DEADLINES:	NOVEMBER 15TH OF EACH CALENDAR YEAR.
RESTRICTIONS ON AWARDS:	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.

STATEMENT 17
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND-ATION STATUS	PURPOSE OF GRANT	AMOUNT
AARON SHKUDA 7 EAST MERWICK COURT PRINCETON, NJ 08540	NONE	NONE	REIMBURSEMENT OF TRAVEL	$ 431.
ALESSIA PEDIO VIA ERCOLE RICOTTI 1 TORINO, 10153 ITALY	NONE	NONE	REIMBURSEMENT OF TRAVEL	4,000.
ANA PAULA KORNDORFER RUA LIBERTO VIEIRA DA CUNHA-399 CONCORDIA, IVOTI 93800 BRAZIL	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,759.
ANNA BOCKING WELCH 10 CHILLINGTON STREET LIVERPOOL, ENGLAND L8 9RX UNITED KINGDOM	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,704.
BARBARA C. CANAVAN 320 SE 62 AVENUE PORTLAND, OR 97215	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,523.

STATEMENT 17 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUNDATION STATUS	PURPOSE OF GRANT	AMOUNT
CREIGHTON BARRETT 5534 MACARA STREET HALIFAX, B3K 1V9 NOVA SCOTIA	NONE	NONE	REIMBURSEMENT OF TRAVEL	$ 2,000.
DAVID HAMMACK 14206 SOUTH WOODLAND ROAD SHAKER HEIGHTS, OH 44120	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,720.
DAVID PATRICK NALLY 1 BALLOON STREET MANCHESTER, ENGLAND M60 4EP UNITED KINGDOM	NONE	NONE	REIMBURSEMENT OF TRAVEL	4,000.
ELIZABETH TANDY SHERMER 1403 GRAND AVENUE SANTA BARBARA, CA 93103	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,892.
GABRIEL LOPES ANAYA 1900 MONUMENT STREET BALTIMORE, MD 21205	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,862.
GABRIELA SOTO LAVEAGA 951 WEST CAMPUS LANE GOLETA, CA 93117	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,000.
GILBERTO HOCHMAN R RUA MARECHAL MASCARENHAS DE MORAI RIO DE JANEIRO, 22030 BRAZIL	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,080.
JENNIFER TAPPAN 3642 SE MORRISON STREET PORTLAND, OR 97214	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,847.
JOANNA DAWN LUNT 12 THE OASTHOUSE GRANGE ROAD CAMBRIGDE, ENGLAND CB3 9AP UNITED KINGDOM	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,114.
JOEL VARGAS DOMINGUEZ COROT 15 DEPTO 501 DISTRITO FEDERAL, 03740 MEXICO	NONE	NONE	REIMBURSEMENT OF TRAVEL	4,000.
JOSHUA HUBBARD 2731 INTERNATIONAL DRIVE YPSILANTI, MI 48197	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,987.

STATEMENT 17 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND-ATION STATUS	PURPOSE OF GRANT	AMOUNT
JULIA FOULKES 202 ST. MARKS AVENUE BROOKLYN, NY 11238	NONE	NONE	REIMBURSEMENT OF TRAVEL	$ 2,000.
KATE SOHASKY 6606 CARLETON COURT LAUREL, MD 20707	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,833.
KEVIN YELVINGTON 5029 SOUTHAMPTON CIRCLE TAMPA, FL 33647	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,085.
KRISTOFFER SMEMO 703 BALTON WALK GOLETA, CA 93117	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,041.
MATTHEW LINTON 80 HOLWORTHY STREET CAMBRIDGE, MA 02138	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,500.
MAURITS BASTIAAN MEERWIJK 75 FRANCISCUSHOF VIANEN, 4133 BB NETHERLANDS	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,720.
NETZAHUALCóYOTL LUIS GUTIéRREZ NúñEZ NUNKINI 372 JARDINES DE AJUSCO, MéXICO CITY 14200 MEXICO	NONE	NONE	REIMBURSEMENT OF TRAVEL	3,500.
NIALL BOND 630 CHEMIN DU BOIS ALIER CHENAY , LES MACOM 71850 FRANCE	NONE	NONE	REIMBURSEMENT OF TRAVEL	872.
NICOLAS GUILHOT 343 GOLD STREET BROOKLYN, NY 11201	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,000.
NIKHIL MENON SHIVRAM 8 LAWRENCE DRIVE PRINCETON, NJ 08540	NONE	NONE	REIMBURSEMENT OF TRAVEL	1,031.
OGECHUKWU C. EZEKWEM 3459 LAKE AUSTIN BLVD. AUSTIN, TX 78703	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,919.
PABLO KREIMER AV. CORDOBA 6044 CIUDAD AUTONOMA, BUENOS AIRES 1427 ARGENTINA	NONE	NONE	REIMBURSEMENT OF TRAVEL	2,164.