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For calendar year 2016, or tax year beginning 01-01-2016, and ending 12-31-2016

Name of foundation THE WINTHROP ROCKEFELLER FOUNDATION		A Employer identification number 71-0285871	
Number and street (or P O box number if mail is not delivered to street address) 225 EAST MARKHAM STREET NO 200		Room/suite	B Telephone number (see instructions) (501) 376-6854
City or town, state or province, country, and ZIP or foreign postal code LITTLE ROCK, AR 72201		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 129,731,558		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method ☐ Cash ☒ 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))		(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)	89,000			
	2 Check ☐ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	489,160	489,160		
	4 Dividends and interest from securities . . .	1,742,904	1,742,904		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	326,111			
	b Gross sales price for all assets on line 6a 67,968,038				
	7 Capital gain net income (from Part IV, line 2) . . .		326,111		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	124,443	124,443	0	
	12 Total. Add lines 1 through 11	2,771,618	2,682,618	0	
	13 Compensation of officers, directors, trustees, etc	681,503	116,274	0	565,230
	14 Other employee salaries and wages	622,367	0	0	622,367
	15 Pension plans, employee benefits	311,158	21,718	0	289,440
	16a Legal fees (attach schedule)	16,778	0	0	16,778
	b Accounting fees (attach schedule)	55,075	13,000	0	42,075
	c Other professional fees (attach schedule)	685,507	497,469	0	188,038
	17 Interest	28,743	28,743	0	0
	18 Taxes (attach schedule) (see instructions) . . .	107,770	59,543	0	0
	19 Depreciation (attach schedule) and depletion . . .	56,710	0	0	
	20 Occupancy	133,590	0	0	133,590
	21 Travel, conferences, and meetings	99,080	4,011	0	95,069
	22 Printing and publications	86,953	0	0	86,953
	23 Other expenses (attach schedule)	1,137,032	25,059	0	1,127,987
	24 Total operating and administrative expenses. Add lines 13 through 23	4,022,266	765,817	0	3,167,527
	25 Contributions, gifts, grants paid	3,575,680			4,454,545
	26 Total expenses and disbursements. Add lines 24 and 25	7,597,946	765,817	0	7,622,072
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-4,826,328			
	b Net investment income (if negative, enter -0-)		1,916,801		
c Adjusted net income(if negative, enter -0-) . . .				0	

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					
	2	Savings and temporary cash investments	19,266,303	20,891,868	20,891,868		
	3	Accounts receivable ▶ <u>3,155</u>					
		Less allowance for doubtful accounts ▶ _____	2,976	3,155	3,155		
	4	Pledges receivable ▶ _____					
		Less allowance for doubtful accounts ▶ _____					
	5	Grants receivable					
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)					
	7	Other notes and loans receivable (attach schedule) ▶ _____					
		Less allowance for doubtful accounts ▶ _____					
	8	Inventories for sale or use					
	9	Prepaid expenses and deferred charges					
	10a	Investments—U S and state government obligations (attach schedule)					
	b	Investments—corporate stock (attach schedule)	80,646,686	80,488,871	80,488,871		
	c	Investments—corporate bonds (attach schedule)	27,707,754	21,586,060	21,586,060		
	11	Investments—land, buildings, and equipment basis ▶ _____					
	Less accumulated depreciation (attach schedule) ▶ _____						
12	Investments—mortgage loans						
13	Investments—other (attach schedule)						
14	Land, buildings, and equipment basis ▶ <u>484,201</u>						
	Less accumulated depreciation (attach schedule) ▶ <u>362,576</u>	152,440	121,625	121,625			
15	Other assets (describe ▶ _____)	6,445,235	6,639,979	6,639,979			
16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	134,221,394	129,731,558	129,731,558			
Liabilities	17	Accounts payable and accrued expenses	305,921	325,274			
	18	Grants payable	3,483,080	2,605,215			
	19	Deferred revenue					
	20	Loans from officers, directors, trustees, and other disqualified persons					
	21	Mortgages and other notes payable (attach schedule)					
	22	Other liabilities (describe ▶ _____)					
	23	Total liabilities (add lines 17 through 22)	3,789,001	2,930,489			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.						
	24	Unrestricted	130,432,393	126,801,069			
	25	Temporarily restricted					
	26	Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.						
	27	Capital stock, trust principal, or current funds					
	28	Paid-in or capital surplus, or land, bldg, and equipment fund					
	29	Retained earnings, accumulated income, endowment, or other funds					
	30	Total net assets or fund balances (see instructions)	130,432,393	126,801,069			
31	Total liabilities and net assets/fund balances (see instructions) .	134,221,394	129,731,558				

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	130,432,393
2	Enter amount from Part I, line 27a	2	-4,826,328
3	Other increases not included in line 2 (itemize) ▶ _____	3	1,265,785
4	Add lines 1, 2, and 3	4	126,871,850
5	Decreases not included in line 2 (itemize) ▶ _____	5	70,781
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	126,801,069

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 See Additional Data Table			
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 See Additional Data Table			
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) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a See Additional Data Table			
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	326,111
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 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))
2015	8,451,846	134,529,115	0 062825
2014	6,509,196	140,313,722	0 046390
2013	5,427,176	132,374,024	0 040999
2012	6,614,196	124,458,087	0 053144
2011	7,658,054	125,708,607	0 060919
2 Total of line 1, column (d)			2 0 264277
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 052855
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 123,286,602
5 Multiply line 4 by line 3			5 6,516,313
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 19,168
7 Add lines 5 and 6			7 6,535,481
8 Enter qualifying distributions from Part XII, line 4			8 7,871,985

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	19,168
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (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	19,168
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	19,168
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	105,900
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	105,900
8	Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . ▶	10	86,732
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ▶ 86,732 Refunded ▶	11	0

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? <i>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</i>	1b	No
c Did the foundation file Form 1120-POL for this year?	1c	No
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? <i>If "Yes," attach a detailed description of the activities</i>	2	No
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? <i>If "Yes," attach a conformed copy of the changes</i>	3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	Yes
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	Yes
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>	5	No
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	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ AR		
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? <i>If "No," attach explanation</i> .	8b	Yes
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 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9	No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10	No

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 ► <u>WWW WRFOUNDATION ORG/WWW GUIDESTAR ORG</u>	13	Yes	
14	The books are in care of ► <u>ANDREA M DOBSON</u> Telephone no ► <u>(501) 376-6854</u>			

Located at ► 225 EAST MARKHAM STREET STE 200 LITTLE ROCK AR ZIP+4 ► 72201

15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here	☐		
	and enter the amount of tax-exempt interest received or accrued during the year	► 15		
16	At any time during calendar year 2016, 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	Yes	No
	See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) 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.

1a	During the year did the foundation (either directly or indirectly)		Yes	No
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		No
	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 2016?	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 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016?		☐ 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)	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?		☒ Yes ☐ No	
b	If "Yes," did it have excess business holdings in 2016 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 2016)	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 2016?	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 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 Yes
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?				6b 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?				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	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) 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	Title, and average hours per week (b) devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
CORY ANDERSON 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	VICE-PRESIDENT 50 00	181,041	24,350	0
ANDREW FORD 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	INTERIM SENIOR ASSOC 40 00	91,731	13,708	0
MICHAEL CASTENS 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	GRANT AND OPERATIONS 40 00	71,626	13,502	0
LISA DIXON 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	PROGRAM ASSOCIATE 40 00	52,912	18,079	0
RUSSELL CAREY 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	PROGRAM ASSOCIATE 40 00	53,642	11,634	0
Total number of other employees paid over \$50,000.				0

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
CAMBRIDGE ASSOCIATES 125 HIGH STREET BOSTON, MA 021102112	INVESTMENT ADVISORY SERVICES	229,276
THE NORTHERN TRUST COMPANY 50 SOUTH LASALLE ST CHICAGO, IL 60603	INVESTMENT CUSTODY/ MANAGEMENT SERVICES	113,196
SUSAN HARRIMAN 3 BELLA VIEW DRIVE LITTLE ROCK, AR 72212	EXECUTIVE MANAGEMENT CONSULTING	94,500
DOXA TOTAL DESIGN STRATEGY INC 311 DICKSON STREET SUITE 202 FAYETTEVILLE, AR 727015144	ANNUAL REPORT DESIGN	83,315
PROPER SOUTHERN STRATEGIES 4723 CRESTWOOD DRIVE LITTLE ROCK, AR 72207	CONSULTANT SUPPORTING ASSET DEVELOPMENT	51,697

Total number of others receiving over \$50,000 for professional services. **1**

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 18	374,204
2 SEE STATEMENT 18	206,242
3 SEE STATEMENT 18	191,948
4 SEE STATEMENT 18	134,784

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 INCREASED INVESTMENT IN SOUTHERN BANCORP	249,913
2	
All other program-related investments See instructions	
3	
Total. Add lines 1 through 3	249,913

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	116,017,672
b	Average of monthly cash balances.	1b	9,146,391
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	125,164,063
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	125,164,063
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	1,877,461
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	123,286,602
6	Minimum investment return. Enter 5% of line 5.	6	6,164,330

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	6,164,330
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	19,168
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	19,168
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	6,145,162
4	Recoveries of amounts treated as qualifying distributions.	4	28,212
5	Add lines 3 and 4.	5	6,173,374
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	6,173,374

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	7,622,072
b	Program-related investments—total from Part IX-B.	1b	249,913
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	7,871,985
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	19,168
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	7,852,817

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 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				6,173,374
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			0	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2016				
a From 2011.	1,391,133			
b From 2012.	420,036			
c From 2013.				
d From 2014.				
e From 2015.	1,847,793			
f Total of lines 3a through e.	3,658,962			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 7,871,985				
a Applied to 2015, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2016 distributable amount.				6,173,374
e Remaining amount distributed out of corpus	1,698,611			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	5,357,573			
b Prior years' undistributed income Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				0
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).	89,000			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions).	1,302,133			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	3,966,440			
10 Analysis of line 9				
a Excess from 2012.	420,036			
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015.	1,847,793			
e Excess from 2016.	1,698,611			

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 2016, enter the date of the ruling. ▶					
b Check box to indicate whether the organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)					
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . .					
c "Support" alternative test—enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . .					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:	
a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2))	
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 ONLINE AT WWWRFFOUNDATIONORG 225 EAST MARKHAM STREET SUITE 200 LITTLE ROCK, AR 72201 (501) 376-6854	
b The form in which applications should be submitted and information and materials they should include SEE STATEMENT 19	
c Any submission deadlines SEE STATEMENT 19	
d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors SEE STATEMENT 19	

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 STATEMENT 20 VARIOUS LITTLE ROCK, AR 72201			SEE STATEMENT 20	4,454,545
Total ► 3a				4,454,545
b <i>Approved for future payment</i> SEE STATEMENT 20 VARIOUS LITTLE ROCK, AR 72201			SEE STATEMENT 20	1,694,634
Total ► 3b				1,694,634

Enter gross amounts unless otherwise indicated

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 _____					
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	489,160	
4 Dividends and interest from securities. . . .			14	1,742,904	
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.			14	124,443	
8 Gain or (loss) from sales of assets other than inventory			18	326,111	
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). .		0		2,682,618	0
13 Total. Add line 12, columns (b), (d), and (e).			13		2,682,618

(See worksheet in line 13 instructions to verify calculations)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

[illegible]

Part XVII

- | | Yes | No |
|-------|-----|----|
| 1a(1) | | No |
| 1a(2) | | No |
| 1b(1) | | No |
| 1b(2) | | No |
| 1b(3) | | No |
| 1b(4) | | No |
| 1b(5) | | No |
| 1b(6) | | No |
| 1c | | No |

[illegible]

- 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 ☒ No

- b** If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

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

Print/Type preparer's name MICHELLE MANN	Preparer's Signature	Date 2017-09-12	Check if self-employed ☐	PTIN P01064483
Firm's name ▶ JPMS COX PLLC				Firm's EIN ▶ 20-1776739
Firm's address ▶ 11300 CANTRELL ROAD SUITE 301 LITTLE ROCK, AR 72212				Phone no (501) 227-5800

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
ADVISORY-SHORT TERM (SEE STMT 15D)	P		
ADVISORY-LONG TERM (SEE STMT 15D)	P		
BLACKROCK-SHORT TERM (SEE STMT 15I)	P		
BLACKROCK-SHORT TERM (SEE STMT 15I)	P		
RANGER-SHORT TERM (SEE STMT 15H)	P		
RANGER-LONG TERM (SEE STMT 15H)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI COMMON DAILY (SEE STMT 15E)	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
513,337		611,925	-98,588
1,283,823		1,088,555	195,268
62,159		72,367	-10,208
9,037,841		10,087,196	-1,049,355
1,656,379		1,578,551	77,828
2,248,617		1,511,810	736,807
60,563		60,086	477
1,700,000		1,625,764	74,236
42,549		42,692	-143
54,322		54,488	-166

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-98,588
			195,268
			-10,208
			-1,049,355
			77,828
			736,807
			477
			74,236
			-143
			-166

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI COMMON DAILY (SEE STMT 15E)	P		
MFB NTGI COMMON DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI COMMON DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
ARTISAN- LONG TERM (SEE STMT 15K)	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
164,437		129,147	35,290
1,157,451		898,802	258,649
1,945,678		1,934,910	10,768
1,234			1,234
45,053			45,053
		27,461	-27,461
		1,577	-1,577
102,769			102,769
87,987			87,987
200,000		218,831	-18,831

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			35,290
			258,649
			10,768
			1,234
			45,053
			-27,461
			-1,577
			102,769
			87,987
			-18,831

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
GMO- SHORT TERM (SEE STMT 15J)	P		
GMO- LONG TERM (SEE STMT 15J)	P		
CBRE- SHORT TERM (SEE STMT 15B)	P		
CBRE- LONG TERM (SEE STMT 15B)	P		
PIMCO- SHORT TERM (SEE STMT 15C)	P		
PIMCO- LONG TERM (SEE STMT 15C)	P		
HERNDON- SHORT TERM (SEE STMT 15F)	P		
HERNDON- LONG TERM (SEE STMT 15F)	P		
COMMUNITY- SHORT TERM (SEE STMT 15M)	P		
COMMUNITY- LONG TERM (SEE STMT 15M)	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
608,975		595,496	13,479
12,701,836		13,774,579	-1,072,743
2,272,582		2,253,522	19,060
2,068,886		1,528,559	540,327
2,905,921		3,063,637	-157,716
5,982,071		6,062,108	-80,037
3,033,094		3,074,836	-41,742
4,572,447		3,310,464	1,261,983
87,718		87,557	161
4,412,282		4,389,403	22,879

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			13,479
			-1,072,743
			19,060
			540,327
			-157,716
			-80,037
			-41,742
			1,261,983
			161
			22,879

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
MESIROW- LONG TERM (SEE STMT 15L)	P		
BRECKINRIDGE- SHORT TERM (SEE STMT 15A	P		
OAKVIEW- SHORT TERM (SEE STMT 15G)	P		
RAVENEUR- SHORT TERM (SEE STMT 15N	P		
P/T MONDRIAN- ST (SEE STMT 16A)	P		
P/T MONDRIAN- LT (SEE STMT 16A)	P		
P/T DIAMOND STATE VENTURES II LT (SEE STMT 16B)	P		
P/T RENAISSANCE ST (SEE STMT 16H)	P		
P/T RENAISSANCE LT (SEE STMT 16H)	P		
P/T NEWTYN ST (SEE STMT 16I)	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
6,872,773		6,700,000	172,773
622,702		623,633	-931
753,671		761,382	-7,711
468,743		491,910	-23,167
		52,241	-52,241
		922,734	-922,734
99,381			99,381
2,441			2,441
1,785			1,785
33,080			33,080

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			172,773
			-931
			-7,711
			-23,167
			-52,241
			-922,734
			99,381
			2,441
			1,785
			33,080

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
P/T NEWTYN LT (SEE STMT 16I)	P		
CAPITAL GAINS DIVIDENDS	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	Depreciation allowed (f) (or allowable)	Cost or other basis (g) plus expense of sale	Gain or (loss) (h) (e) plus (f) minus (g)
		5,704	-5,704
103,451			103,451

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

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) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-5,704
			103,451

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation				
(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
SHERECE WEST-SCANTLEBURY	PRESIDENT & CEO 50 00	301,924	48,886	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
ANDREA DOBSON	COFO 50 00	240,617	47,690	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
JERRY ADAMS	DIRECTOR 1 11	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
RENE BRYCE-LAPORTE	DIRECTOR 1 34	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
VICKI SAVIERS	DIRECTOR 1 42	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
LISENNE ROCKEFELLER	DIRECTOR 0 67	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
DAVID RAINEY	DIRECTOR 1 79	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
KILOLO KIJAKAZI	DIRECTOR 1 07	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
ROSA VELAZQUEZ	DIRECTOR 0 81	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
REGAN GRUBER MOFFITT	BOARD SECRETARY AND VICE PRESIDENT 50 00	138,962	25,226	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
SUSAN HARRIMAN	DIRECTOR 0 20	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
FREDDIE BLACK	DIRECTOR 1 47	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
HELEN DORADO ALESSI	DIRECTOR 0 49	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
CALVIN WHITE	DIRECTOR 1 23	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
MIKE MALONE	DIRECTOR 0 94	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				

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

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
CHRIS VINCENT 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 1 12	0	0	0

TY 2016 Accounting Fees Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING	7,479	0	0	7,479
AUDIT	36,839	13,000	0	23,839
TAX PREPARATION	10,757	0	0	10,757

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2016 Expenditure Responsibility Statement

Name: THE WINTHROP ROCKEFELLER FOUNDATION

EIN: 71-0285871

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
BATESVILLE AREA CHAMBER OF COMMERCE	409 VINE STREET BATESVILLE, AR 72501	2016-06-24	35,000	SEE STATMENT 21	18,139				
MARY REYNOLDS BABCOCK FOUNDATION INC	2920 REYNOLDA ROAD WINSTONSALEM, NC 27106	2016-09-29	166,666	SEE STATMENT 21	77,171				

TY 2016 Investments Corporate Bonds Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Name of Bond	End of Year Book Value	End of Year Fair Market Value
NORTHERN TRUST BARCLAYS AGG BOND FUND	10,242,204	10,242,204
PIMCO TOTAL RETURN FUND	0	0
CCM FIXED INCOME FUND	5,747,516	5,747,516
BRECKINRIDGE CAPITAL FIXED INCOME	5,596,340	5,596,340

TY 2016 Investments Corporate Stock Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ARTISAN	12,132,030	12,132,030
GMO EQUITY	0	0
CBRE REITS	3,820,089	3,820,089
ADVISORY RESEARCH EQUITY	4,056,928	4,056,928
HERNDON EQUITY	0	0
RANGER EQUITY	2,174,203	2,174,203
NTGI RUSSELL 1000 GROWTH EQUITY	9,628,249	9,628,249
RUSSELL 1000 VALUE EQUITIES	10,474,416	10,474,416
OAKVIEW EQUITY	4,325,053	4,325,053
KABOUTER INT'L OPP OFFSHORE FUND EQUITY	3,464,188	3,464,188
BROWN SUSTAINABLE GROWTH EQUITY	4,361,067	4,361,067
ARIEL INT'L FUND EQUITY	11,892,607	11,892,607
BLACKROCK EQUITY	3,880,777	3,880,777
AQR STYLE PREMIA EQUITY	1,490,098	1,490,098
FORT GLOBAL OFFSHORE FUND EQUITY	964,065	964,065
COATUE	1,016,037	1,016,037
LAKEWOOD	1,107,260	1,107,260
RAVENEUR	21,495	21,495
SENTINEL DOME	1,054,793	1,054,793
COMPLUS ASIA	1,547,076	1,547,076
VARADERO	1,536,590	1,536,590
HOLLIS PARK	1,541,850	1,541,850

TY 2016 Legal Fees Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL SERVICES	16,778	0	0	16,778

TY 2016 Other Assets Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PROGRAM RELATED INVESTMENTS	6,251,230	6,472,933	6,472,933
ACCRUED INTEREST RECEIVABLE	171,755	144,796	144,796
WRCT IN LIEU OF GRANT RECEIVABLE	22,250	22,250	22,250

TY 2016 Other Decreases Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Description	Amount
CASH VERSUS ACCRUAL BASIS ON INTEREST	2,306
DIAMOND STATE VENTURES II, L.P.	35,554
LAZARD, LTD	1,460
RENAISSANCE INSTITUTIONAL EQUITIES FUND, LLC	10,024
NEWTYN TE PARTNERS, LP	21,437

TY 2016 Other Expenses Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK CHARGES	72	0	0	72
INSURANCE	17,329	0	0	17,329
POSTAGE	617	0	0	617
DUES & SUBSCRIPTIONS	76,993	0	0	76,993
OFFICE EXPENSE	86,830	0	0	86,830
PROGRAM EXPENSES	401,232	0	0	401,232
ACCRUAL TO CASH	0	0	0	21,950
PASSTHROUGH PORTFOLIO DEDUCTIONS	30,995	25,059	0	0
COMPUTER TRAINING	225	0	0	225
CONVENTIONS AND MEETINGS	151,899	0	0	151,899

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PROFESSIONAL DEVELOPMENT	28,222	0	0	28,222
TRUSTEE OPERATIONS EXPENSE	55,380	0	0	55,380
PASSTHROUGH LOSSES	287,238	0	0	287,238

TY 2016 Other Income Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
BLACKROCK	1,867	1,867	
NT BOND INDEX	4,475	4,475	
CCM	1,747	1,747	
RUSSELL 1000 VALUE	3,718	3,718	
PASSTHROUGH	107,236	107,236	
RUSSELL 1000 GROWTH	5,400	5,400	

TY 2016 Other Increases Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Description	Amount
UNREALIZED GAINS/(LOSSES) ON INVESTMENTS	573,890
FUND FOR ARKANSAS' FUTURE, LLC	3,870
MONDRIAN FOCUSED EMERGING MARKETS EQUITY FUND, L.P.	626,302
DIAMOND STATE VENTURES III, L.P.	48,405
SJF VENTURES IV, LP	8,863
OWL VENTURES II, LP	4,455

TY 2016 Other Professional Fees Schedule

Name: THE WINTHROP ROCKEFELLER FOUNDATION

EIN: 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CASH ACCOUNT MANAGEMENT FEES	130	130	0	0
INVESTMENT OVERSIGHT	229,276	229,276	0	0
MANAGEMENT FEE - REITS	4,017	4,017	0	0
HERNDON MANAGEMENT FEE	24,667	24,667	0	0
RANGER INV MGMT FEES	31,706	31,706	0	0
CBRE MANAGEMENT FEE	38,150	38,150	0	0
TRUSTEE FEES - NT BOND INDEX	4,780	4,780	0	0
CUSTODIAL BANK FEES	98,632	98,632	0	0
PROFESSIONAL FEES - NT BOND INDEX	1,050	1,050	0	0
NT INVESTMENT MANAGEMENT FEES	19,297	19,297	0	0
ADVISORY RESEARCH MANAGEMENT FEE	37,164	37,164	0	0
BRECKINRIDGE INVESTMENT MANAGEMENT FEES	1,293	1,293	0	0
OAKVIEW MANAGEMENT FEE	7,307	7,307	0	0
OUTCOMES ASSESSMENT	30,109	0	0	30,109
OTHER CONSULTING	9,120	0	0	9,120
GRANTEE TECHNICAL ASSISTANCE	148,809	0	0	148,809

TY 2016 Taxes Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX	48,227	0	0	0
FOREIGN TAXES	59,543	59,543	0	0

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ 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	OMB No 1545-0047 2016

Name of the organization THE WINTHROP ROCKEFELLER FOUNDATION	Employer identification number 71-0285871
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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 other 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 33¹/₃% 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 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization THE WINTHROP ROCKEFELLER FOUNDATION	Employer identification number 71-0285871
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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	TRUST UW WINTHROP ROCKEFELLER 2230 COTTONDALE LANE SUITE 6 LITTLE ROCK, AR 72202	 \$ 89,000	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-	 	 \$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-	 	 \$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-	 	 \$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-	 	 \$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-	 	 \$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
-	 	 \$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization THE WINTHROP ROCKEFELLER FOUNDATION	Employer identification number 71-0285871
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Part II		Noncash Property	
(a) No. from Part I	(b) Description of noncash property given (see instructions) Use duplicate copies of Part II if additional space is needed	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization THE WINTHROP ROCKEFELLER FOUNDATION	Employer identification number 71-0285871
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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.) ▶ \$ _____ Use duplicate copies of Part III if additional space is needed
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(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