C&E 946

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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ **Do not enter social security numbers on this form as it may be made public.**
▶ **Go to *www.irs.gov/Form990PF* for instructions and the latest information.**

OMB No 1545-0052

2017

Open to Public Inspection

For calendar year 2017 or tax year beginning , 2017, and ending , 20

Name of foundation
THE DAVID ROCKEFELLER FUND, INC.

A **Employer identification number**
13-3533359

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
475 RIVERSIDE DRIVE | 900

B Telephone number (see instructions)
(212)812-4300

City or town, state or province, country, and ZIP or foreign postal code
NEW YORK NY 10115

C If exemption application is pending, check here ▶ ☐ 6

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

D 1. Foreign organizations, check here ▶ ☐

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

03/04

H Check type of organization: ☒ Section 501(c)(3) exempt private foundation 04
☐ 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) ▶ $ 39,217,067.

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

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

Part I **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	24,937,791			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch. B				
	3	Interest on savings and temporary cash investments	68.	68.		
	4	Dividends and interest from securities	464,582.	476,971.		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	252,083			
	b	Gross sales price for all assets on line 6a Stmt 2 4,050,853.				
	7	Capital gain net income (from Part IV, line 2) Stmt 2		315,109.		
	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 Stmt 3		42,002.		
	12	**Total.** Add lines 1 through 11	25,654,124.	834,150.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	185,400.	10,560.		174,840.
	14	Other employee salaries and wages	123,385.	0.		116,784.
	15	Pension plans, employee benefits	109,047.	3,729.		96,328.
	16a	Legal fees (attach schedule) L-16a Stmt 1	1,105.	0.		1,269.
	b	Accounting fees (attach schedule) L-16b Stmt 1	28,260.	17,685.		4,300.
	c	Other professional fees (attach schedule) L-16c Stmt 1	117,765.	114,151.		7,916.
	17	Interest				
	18	Taxes (attach schedule) (see instructions) See Stmt 1	14,169.	12,188.		
	19	Depreciation (attach schedule) and depletion Stmt 4	981.	18.		
	20	Occupancy	24,125.	432.		23,548.
	21	Travel, conferences, and meetings	20,929.	56.		21,989.
	22	Printing and publications	210.	0.		210.
	23	Other expenses (attach schedule) See Stmt 1	34,668.	620.		36,908.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	660,044.	159,439.		484,092.
	25	Contributions, gifts, grants paid	1,294,500.			1,346,000.
	26	**Total expenses and disbursements.** Add lines 24 and 25	1,954,544.	159,439.		1,830,092.
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	23,699,580.			
	b	**Net investment income** (if negative, enter -0-)		674,711.		
	c	**Adjusted net income** (if negative, enter -0-)				

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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	105,465.	232,144.	232,144.
	2	Savings and temporary cash investments	82,577.	2,091,461.	2,091,461.
	3	Accounts receivable ▶ 19,364.			
		Less allowance for doubtful accounts ▶	7,577.	19,364.	19,364.
	4	Pledges receivable ▶ 13,005,000.			
		Less: allowance for doubtful accounts ▶	8,987,468.	13,005,000.	13,005,000.
	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	2,700.	6,640.	6,640.
	10a	Investments—U.S. and state government obligations (attach schedule) Stmt 4A		982,465.	982,465.
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule) Stmt 4A		1,238,071.	1,238,071.
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule) L-13 Stmt 1	5,124,117.	21,640,941.	21,640,941.
	14	Land, buildings, and equipment basis ▶ 3,925.			
		Less: accumulated depreciation (attach schedule) ▶ Stmt 5 2,944.	1,962.	981.	981.
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	14,311,866.	39,217,067.	39,217,067.
Liabilities	17	Accounts payable and accrued expenses	53,282.	119,381.	
	18	Grants payable See Statement 8	357,500.	306,000.	
	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)	410,782.	425,381.	
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	4,913,616.	33,752,690.	
	25	Temporarily restricted	8,987,468.	0.	
	26	Permanently restricted		5,038,996.	
		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)	13,901,084.	38,791,686.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	14,311,866.	39,217,067.	

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	13,901,084.
2	Enter amount from Part I, line 27a	2	23,699,580.
3	Other increases not included in line 2 (itemize) ▶ UNREALIZED APPRECIATION ON INVESTMENTS	3	1,224,443.
4	Add lines 1, 2, and 3	4	38,825,107.
5	Decreases not included in line 2 (itemize) ▶ DEFERRED FEDERAL EXCISE TAX	5	33,421.
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	38,791,686.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (for example, 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 Statement 2			
b				
c				
d				
e				

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

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
	(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a				
b				
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	315,109.
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 doesn't 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 (col (b) divided by col (c))
2016	1,625,895.	5,718,685.	0.284313
2015	1,608,833.	6,442,245.	0.249732
2014	1,509,650.	6,222,196.	0.242623
2013	1,578,465.	5,592,605.	0.282241
2012	1,378,629.	4,819,300.	0.286064

2	**Total** of line 1, column (d)	2	1.344973
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5 0, or by the number of years the foundation has been in existence if less than 5 years	3	0.268995
4	Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	12,552,957.
5	Multiply line 4 by line 3	5	3,376,683.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	6,747.
7	Add lines 5 and 6	7	3,383,430.
8	Enter qualifying distributions from Part XII, line 4	8	1,830,092.

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	13,494.	
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	13,494.	
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	13,494.	
6	Credits/Payments.			
a	2017 estimated tax payments and 2016 overpayment credited to 2017 — 6a: 11,220.			
b	Exempt foreign organizations—tax withheld at source — 6b:			
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 2,780.			
d	Backup withholding erroneously withheld — 6d:			
7	Total credits and payments. Add lines 6a through 6d	7	14,000.	
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached	8	0.	
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	506.	
11	Enter the amount of line 10 to be. **Credited to 2018 estimated tax** ▶ 506. **Refunded** ▶	11		

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes? See the instructions for 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
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a	X	
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? See Statement. 6	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by *General Instruction T.*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	X	
8a	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 2017 or the tax year beginning in 2017? See the 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)*

			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 See Statement 6	12	X	
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ WWW.DRFund.org

14 The books are in care of ▶ Lukas Haynes Telephone no. ▶ (212)812-4300

Located at ▶ 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK NY ZIP+4 ▶ 10115

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041**—check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

			Yes	No
16	At any time during calendar year 2017, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶	16		X

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

			Yes	No
	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):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions	1b		X
	Organizations relying on a current notice regarding disaster assistance, check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2017?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017? ☐ 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	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			
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 2017 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 2017)	3b	N/A	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2017?	4b		X

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required *(continued)*

			Yes	No
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 See Statement 7A.	☒ 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		X
	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? See Statement 7A	☒ Yes ☐ No		
	If "Yes," attach the statement required by Regulations section 53.4945–5(d)			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		X
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No		
b	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		

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

1 List all officers, directors, trustees, and 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 7				

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
Lexi Fisher 475 Riverside Dr Suite 900 New York NY 10115	Program Manager 40.00	56,650.	36,955.	0.

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

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

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
None		
Total number of others receiving over $50,000 for professional services . . . . . ▶		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 During 2017, 2 members of the staff of David Rockefeller Fund provided technical assistance to charitable organizations, governmental bodies and committees, and 1 member of the staff served on 1 charitable organization's board 2 members of the staff served on total of 6 committees, public	112,168.
2 commissions, or task forces.	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	0.
2	
All other program-related investments See instructions 3 NONE	0.
Total. Add lines 1 through 3 . . . . . ▶	0.

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	10,979,753.
b	Average of monthly cash balances	1b	1,764,366.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	12,744,119.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	12,744,119.
4	Cash deemed held for charitable activities Enter 1½% of line 3 (for greater amount, see instructions)	4	191,162.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	12,552,957.
6	**Minimum investment return.** Enter 5% of line 5	6	627,648.

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	627,648.
2a	Tax on investment income for 2017 from Part VI, line 5	2a	13,494.		
b	Income tax for 2017. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	13,494.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	614,154.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	614,154.
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	614,154.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	1,830,092.
b	Program-related investments—total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the.		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4	4	1,830,092.
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	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,830,092.

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 2016	(c) 2016	(d) 2017
1	Distributable amount for 2017 from Part XI, line 7				614,154.
2	Undistributed income, if any, as of the end of 2017				
a	Enter amount for 2016 only			0.	
b	Total for prior years 20___,20___,20___				
3	Excess distributions carryover, if any, to 2017:				
a	From 2012 1,143,142.				
b	From 2013 1,309,533.				
c	From 2014 1,207,059.				
d	From 2015 1,296,082.				
e	From 2016 1,355,799.				
f	**Total** of lines 3a through e	6,311,615.			
4	Qualifying distributions for 2017 from Part XII, line 4: ▶ $ 1,830,092.				
a	Applied to 2016, 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 2017 distributable amount				614,154
e	Remaining amount distributed out of corpus	1,209,689.			
5	Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			
6	**Enter the net total of each column as indicated below:**				
a	Corpus Add lines 3f, 4c, and 4e. Subtract line 5	7,521,304.			
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 2016 Subtract line 4a from line 2a. Taxable amount—see instructions			0.	
f	Undistributed income for 2017. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2018				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)	0.			
8	Excess distributions carryover from 2012 not applied on line 5 or line 7 (see instructions)	1,143,142.			
9	**Excess distributions carryover to 2018.** Subtract lines 7 and 8 from line 6a	6,378,162.			
10	Analysis of line 9.				
a	Excess from 2013 1,309,533.				
b	Excess from 2014 1,207,059.				
c	Excess from 2015 1,296,082.				
d	Excess from 2016 1,355,799.				
e	Excess from 2017 1,209,689.				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2017, enter the date of the ruling . . ▶

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

	Tax year	Prior 3 years			(e) Total
	(a) 2017	(b) 2016	(c) 2015	(d) 2014	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . .					
b 85% of line 2a . .					
c Qualifying distributions from Part XII, line 4 for each year listed .					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c . .					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter (1) Value of all assets . . .					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i) .					
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test—enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) .					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) . .					
(3) Largest amount of support from an exempt organization .					
(4) Gross investment income .					

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

1 **Information Regarding Foundation Managers:**

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

NONE

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

NONE

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

Check here ▶ ☐ 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., to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions.

a The name, address, and telephone number or email address of the person to whom applications should be addressed:

See Supplementary Information Statement 8A

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

See Statement 8A

c Any submission deadlines.

See Statement 8A

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

See Statement 8A

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 9				
Total ▶ **3a**				1,346,000.
b *Approved for future payment*				
See Statement 9				
Total ▶ **3b**				306,000.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	68.	
4 Dividends and interest from securities	525990	251.	14	464,331.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income	525990	135.	18	-135.	
8 Gain or (loss) from sales of assets other than inventory	525990	51.	18	252,032.	
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)		437.		716,296.	
13 **Total.** Add line 12, columns (b), (d), and (e)				13	716,733.

(See worksheet in line 13 instructions to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)
	NOT APPLICABLE

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge

Signature of officer or trustee | Date 11/7/18 | Title Executive Director

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
David M. Highfill	David M. Highfill	11/06/2018		P01517891

Firm's name ▶ KPMG LLP | Firm's EIN ▶ 13-5565207

Firm's address ▶ 345 PARK AVENUE NEW YORK NY 10154-0102 | Phone no (212) 758-9700

INDEX OF SCHEDULES

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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.
▶ Go to *www.irs.gov/Form990* for the latest information.

OMB No 1545-0047

2017

Name of the organization	Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

Organization type (check one):

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, 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 33⅓% 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 Don't 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 isn't covered by the General Rule and/or the Special Rules doesn't 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 doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization	Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

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	Robert & Arlene Kogod Family Foundation 2345 Crystal Drive Suite 1101 Arlington VA 22202	$ 10,000.	☒ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions)
2	Bert & Barbara Cohn 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 10,000.	☒ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions)
3	Peter & Lucia Gill Case 10 Rockefeller Plaza 3rd Fl New York NY 10020	$ 100,213.	☐ Person ☐ Payroll ☒ Noncash (Complete Part II for noncash contributions)
4	The Sage Foundation 600 Steamboat Rd. Suite 105 Greenwich CT 06830	$ 5,000.	☒ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions)
5	Jeanne Donovan Fisher c/o Cornick Garber Sandler LLP 825 3rd Avenue 4th Fl New York NY 10022	$ 10,000.	☒ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions)
6	Jerry I. Speyer 45 Rockefeller Plaza New York NY 10111	$ 5,000.	☒ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions)

Name of organization	Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

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
7	Marian Pillsbury 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 5,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
8	Estate of David Rockefeller 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 16,695,865.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
9	Barry Walker 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 25,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
10	Eileen Growald 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 5,038,996.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions)
11	DR Friends & Associates Trust 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 3,000,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
12	Neva Goodwin 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 5,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization	Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

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
13	Marianne Gerschel 425 East 58th St New York NY 10022	$ 15,000.	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)

Name of organization	Employer identification number
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

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
3	953 Shares of Chevron Inc.	$ 100,213.	04/30/2017

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
10	3,545 Shares of Chevron Inc.	$ 410,856.	11/02/2017

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
10	18,597 Shares of Johnson & Johnson	$ 2,628,140.	11/02/2017

(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
		$	

Additional information from your Form 990-PF: Return of Private Foundation

Form 990-PF: Return of Private Foundation

Other Income Page 1, Part I, Line 11 — **Continuation Statement**

Description	Revenue and Expense per Book	Net Investment Income	Adjusted Net Income
See Statement 3			
Other Income from Limited Partnerships		42,002.	
Total		42,002.	

Form 990-PF: Return of Private Foundation

Taxes Page 1, Part I, Line 18 — **Continuation Statement**

Description	Revenue and Expense per Book	Net Investment Income	Adjusted Net Income	Disbursement for charitable purpose
FEDERAL EXCISE TAX	14,169.			
FOREIGN TAXES PAID-THROUGH LIMITED PARTNERSHIPS		12,188.		
Total	14,169.	12,188.		

Form 990-PF: Return of Private Foundation

Other Expenses Page 1, Part I, Line 23 — **Continuation Statement**

Description	Revenue and Expense per Book	Net Investment Income	Adjusted Net Income	Disbursement for charitable purpose
Telephone & Internet	1,889.	34.		2,062.
Insurance	5,443.	97.		5,346.
Gen. Office Exp: Dues & Memberships	5,440.	97.		5,343.
Gen. Office Exp:Payroll Fees	8,391.	150.		8,241.
Gen. Office Exp: Maintenance & Repairs	6,087.	109.		9,550.
General Office Exp. - Others	7,418.	133.		6,366.
Total	34,668.	620.		36,908.

Form 990-PF
Part I, Lines 16a - 16c

Legal and Professional Fees

2017 Statement 1

Name	Employer Identification No
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

Line 16a - Legal Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Patterson, Belknap, Webb & Tyler	Legal counsel employee benefits	854.			1,220.
Milbank Tweed, Hadley & McCloy	Services accounting services matters	251.			49.
Total to Form 990-PF, Part I, Line 16a		1,105.			1,269.

Line 16b - Accounting Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
KPMG LLP	Audit & Tax	28,260.	17,685.		4,300.
Total to Form 990-PF, Part I, Line 16b		28,260.	17,685.		4,300.

Line 16c - Other Professional Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Grant Thornton	Audit Services of Non-Profits(6)plan	532.			532.
Hunter Capital Advisory	DRF Advisory Svc 401K Plan	163.			161.
Sentrylink, Llc	Intern background check	0.			20.
CBIZ	HR Benefit services	1,285.			1,178.
Ventucom	IT services	3,600.			3,025.
Emily Parlapiano	Program Manager	1,000.			1,000.
Steven Pacheco	Intern Honorarium	500.			500.
The Interchurch Center	medical services to employee	25.			0.
Lydia Avila	Consultancy svs on educating foundation grantmakers	500.			500.
ROCK & CO.	Investment Management	107,710.	114,151.		
See Stmt 1A	See Line 16c - Other Professional Fees	2,450.			1,000.
Total to Form 990-PF, Part I, Line 16c		117,765.	114,151.		7,916.

Name	Employer Identification No
THE DAVID ROCKEFELLER FUND, INC.	13-3533359

Line 10a - Investments - US and State Government Obligations:	End of Year State and Local Obligations Book Value	End of Year State and Local Obligations FMV	End of Year US Government Obligations Book Value	End of Year US Government Obligations FMV
See Statement 4A				
Tot to Fm 990-PF, Pt II, Ln 10a				

Line 10b - Investments - Corporate Stock:	End of Year Book Value	End of Year Fair Market Value
Totals to Form 990-PF, Part II, Line 10b		

Line 10c - Investments - Corporate Bonds:	End of Year Book Value	End of Year Fair Market Value
See Statement 4A		
Totals to Form 990-PF, Part II, Line 10c		

Line 12 - Investments - Mortgage loans:	End of Year Book Value	End of Year Fair Market Value
Totals to Form 990-PF, Part II, Line 12		

Line 13 - Investments - Other:	End of Year Book Value	End of Year Fair Market Value
ROCKEFELLER ALTERNATIVE STRATEGIES FUND	5,786.	5,786.
ROCKEFELLER ACCESS FUND 06-1	371,685.	371,685.
ROCKEFELLER LIBRA FOSSIL FUEL FREE L.P.	10,679,612.	10,679,612.
See L-13 Stmt 1A	10,583,858.	10,583,858.
Totals to Form 990-PF, Part II, Line 13	21,640,941.	21,640,941.

Additional information from your 2017 Federal Exempt Tax Return

Form 990-PF Part I Line 16a-c Legal and Professional Fees

Line 16c - Other Professional Fees — **Continuation Statement**

Line 16c Name	Line 16c Type Svc	Line 16c Book amount	Line 16c Net invest inc	Line 16c Adjusted net inc	Line 16c Chrtbl dsbrsmnts
JP MORGAN CHASE	CUSTODY FEES	1,450.			
Girl Be Heard	Honorarium for performance at DRF Brd Meeting	1,000.			1,000.
	Total	2,450.			1,000.

Form 990-PF Part II Line 10, 12 and 13 Investments

L-13 Stmt — **Continuation Statement**

Line 13 Description	Line 13 Book	Line 13 FMV
SELF-HELP CREDIT UNION	50,994.	50,994.
PARNASSUS FUND INSTITUTIONAL SHARES	3,571,707.	3,571,707.
PAX GLOBAL ENVIRONMENTAL MARKETS FUND	2,810,396.	2,810,396.
FIXED INCOME - CRA QUALIFIED INVESTMENT FUND	4,150,761.	4,150,761.
Total	10,583,858.	10,583,858.

Schedule of Capital Gains and Losses

Part I, line 6a

	Gain or (Loss)
Libra Fossil Fuel Free Fund	$ 301,046
Rock & Co. Alternative Strategies	$ (58,306)
Rock & Co. Access Fund	$ 9,343
Net Realized Gain per Books (Total Part I, line 6a,col.(a))	**$ 252,083**

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

Libra Fossil Fuel Free Fund	290,620	
Rock & Co. Alternative Strategies	(23,331)	
Rock & Co Access Fund	47,820	
		315,109
Less: Gain/(loss) from Partnerships previously reflected in books, for which K-1 values are now reflected on Form 990PF:		
Libra Fossil Fuel Free Fund		(301,046)
Rock & Co. Alternative Strategies		58,306
Rock & Co. Access Fund		(9,343)
Total Part IV, line 2		**$ 315,109**

Schedule of Other Income

Part I, line 11, col. b

	Other Income
Libra Fossil Fuel Fund	$ 40,003
Rock & Co. Alternative Strategies	$ 39
Rock & Co. Access Fund	$ 1,960
Other Income (Total Part I, line 11,col.(b))	**$ 42,002**

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

SCHEDULE 4 A
FORM 990-PF
YEAR 2017

Schedule of Investments

Part II, lines 10 (a,b,c), col. (b) & (c)

Manager	As of Date	Security Name	Shares/Par	Price	line 10a U S & State Gov't Obligations Cost	line 10a U S & State Gov't Obligations Market Value	line 10b Corporate Stock	line 10c Corporate Bonds Cost	line 10c Corporate Bonds Market Value
Rockefeller Capital Management	12/31/2017	Contra Costa California Cmnty Clg Dist BAB 6 504% Due 08/01/2034	25,000 0000	130 09	31,883	32,522	-	-	-
	12/31/2017	Las Vegas Vly Nevada Wtr Dist BAB Txbl Ser A Dir Pay 5 65% Due 03/01/2035	30,000 0000	120 85	36,003	36,254	-	-	-
	12/31/2017	Met Transprtn Auth New York Dedicate Bui 7 336% Due 11/15/2039	50,000 0000	154 74	77,081	77,370	-	-	-
	12/31/2017	Metropolitan Transporation Authority New York BAB 4 655% Due 11/15/2018	25,000 0000	101 83	25,640	25,457	-	-	-
	12/31/2017	Miami-Dade Cnty Florida Aviation Ref Txb Ref Ser B 2 604% Due 10/01/2025	45,000 0000	96 32	43,001	43,342	-	-	-
	12/31/2017	Monmouth County New Jersey 3 55% Due 12/01/2018	75,000 0000	101 54	76,464	76,158	-	-	-
	12/31/2017	Port Auth Of New York & New Jersey Txbl 4 823% Due 06/01/2045 Call @ 100 06/01/2025	60,000 0000	110 02	64,584	66,013	-	-	-
	12/31/2017	Salt Lake Cnty Utah Sales Tax Rev Build America Bonds 3 50% Due 11/01/2021 Call @100	100,000 0000	103 67	104,648	103,668	-	-	-
	12/31/2017	San Diego California Regl Arpt Auth BAB Txbl Ser C 6 628% Due 07/01/2040 Callable 07/01/20	50,000 0000	110 21	53,899	55,105	-	-	-
	12/31/2017	Texas St Txbl Ref 1 695% Due 10/01/2019	25,000 0000	99 54	25,000	24,886	-	-	-
	12/31/2017	US Treasury N/B TIPS 1 125% Due 01/15/2021	222,000 0000	116 13	252,475	257,812	-	-	-
	12/31/2017	US Treasury N/B 1 25% Due 04/30/2019	113,000 0000	99 21	112,911	112,104	-	-	-
	12/31/2017	US Treasury N/B 1 625% Due 08/31/2022	56,000 0000	97 53	55,296	54,615	-	-	-
	12/31/2017	US Treasury N/B 2 50% Due 02/15/2045	18,000 0000	95 33	15,718	17,160	-	-	-
	12/31/2017	Anheuser-Busch Inbev Inc 2 65% Due 02/01/2021 Call @ 100 01/01/2021	43,000 0000	100 50	-	-	-	43,738	43,216
	12/31/2017	Bank Of America Corp Float% Due 01/20/2023 Call @ 100 01/20/2022	63,000 0000	102 08	-	-	-	63,696	64,309
	12/31/2017	BB&T Corporation 2 75% Due 04/01/2022 Call @ 100 03/01/2022	69,000 0000	100 71	-	-	-	70,344	69,490
	12/31/2017	Citigroup Inc 3 40% Due 05/01/2026	67,000 0000	100 60	-	-	-	65,432	67,400
	12/31/2017	Fifth Third Bank 2 15% Due 08/20/2018 Call @ 100 07/20/2018	64,000 0000	100 12	-	-	-	64,082	64,075
	12/31/2017	Goldman Sachs Group Inc 3 50% Due 01/23/2025 Call @ 100 10/23/2024	58,000 0000	101 58	-	-	-	59,983	58,918
	12/31/2017	Home Depot Inc 5 875% Due 12/16/2036	61,000 0000	135 32	-	-	-	73,983	82,546
	12/31/2017	JP Morgan Chase & Co 3 782% Due 02/01/2028 Call @ 100 02/01/2027	53,000 0000	103 63	-	-	-	54,286	54,921
	12/31/2017	Kroger Co 7 50% Due 04/01/31	64,000 0000	131 79	-	-	-	82,711	84,345
	12/31/2017	Morgan Stanley 6 375% Due 07/24/2042	50,000 0000	139 03	-	-	-	62,580	69,517
	12/31/2017	NVR Inc Corp 3 95% Due 09/15/2022	42,000 0000	104 39	-	-	-	44,053	43,845
	12/31/2017	Vanguard Mortgage Backed Securities ETF	7,800 0000	52 44	-	-	-	414,269	409,032
	12/31/2017	Verizon Communications 5 25% Due 03/16/2037	63,000 0000	109 97	-	-	-	65,667	69,280
	12/31/2017	Wachovia Corp 5 75% Due 02/01/2018	57,000 0000	100 31	-	-	-	57,192	57,177
			Total line 10		974,602	**982,465**	-	1,222,017	**1,238,071**

SCHEDULE OF DEPRECIATION

Part I, line 19

	ASSETS					ACCUMULATED DEPRECIATION		
Description	Beginning of Year	P/Y Adj	2017 Acquisitions	2017 Dispositions	End of Year	Reserve, beginning of Year	**2017 Depreciation (Part 1, line 19)**	Reserve, end of Year
Computer Equipment & Software	3,925				3,925	1,963	**981**	2,944
	3,925	-	-	-	3,925	1,963	**981**	2,944

SCHEDULE OF LAND, BUILDINGS & EQUIPMENT

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

Description	Cost	Accumulated Depreciation	Net Basis
Computer Equipment & Software	3,925	2,944	981
		Total line 14	**$981**

STATEMENT REGARDING ACTIVITIES

Part VII-A, line 4b

2017 Tax Return on Form 990-T

DRF will file a Form 990-T to report pass through income from the Fund's partnership investments

Part VII-A, line 12

2017 Distribution to Donor Advised Funds

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

Donor Advised Funds	Distribution Amount		Date
Rockefeller Philanthropy Advisors:			
The David Rockefeller Fund Trustee Giving - 4th & 5th Generations	$ 75,000.00	(1)	6/20/2017
The David Rockefeller Fund Trustee Giving - 4th & 5th Generations	$ 25,000 00	(1)	7/20/2017

(1) This amount was treated as a qualifying distribution by the David Rockefeller Fund in 2017

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2017

1. Name and Address of Recipient:
SIXTEEN THIRTY FUND
Attn: Eric Kessler
1201 Connecticut Ave NW, Suite 300
Washington, DC 20036

2. Date and Amount of Grant:
7/20/17 $30,000

3. Purpose of Grant:
This grant supported the Sixteen Thirty Fund's Climate Fund project, which works with place-based organizations to support climate and clean energy policy development, build community-based power, and champion solutions to the climate crisis. This grant supported purely charitable activities related to advancing climate policies and raising the visibility of climate change as an issue.

4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.

5. Whether Grantee—to the knowledge of Grantor—made any diversion of funds from the purpose of the grant:
No.

6. Date of Reports received from Grantee:
On 04/13/18, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.

7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

FORM 990PF, PART VIII, Line 1 - LIST OF OFFICERS, DIRECTORS , AND TRUSTEES

NAME AND ADDRESS		TITLE	Average Hours per Week Devoted to Position	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
ROSEMARY CORBETT 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1.5	NONE	NONE	NONE
NEVA GOODWIN 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1)	TRUSTEE	1	NONE	NONE	NONE
ADAM GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1.5	NONE	NONE	NONE
EILEEN GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1	NONE	NONE	NONE
STEPHEN HEINTZ 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1	NONE	NONE	NONE
CHRIS LINDSTROM 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1.5	NONE	NONE	NONE

FORM 990PF, PART VIII, Line 1 - LIST OF OFFICERS, DIRECTORS , AND TRUSTEES

NAME AND ADDRESS	TITLE	Average Hours per Week Devoted to Position	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
MICHAEL QUATTRONE 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE/CHAIR	5	NONE	NONE	715
ARIANA ROCKEFELLER BUCKLIN 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
CAMILLA ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	2.5	NONE	NONE	NONE
CLAY ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1.5	NONE	NONE	NONE
DAVID ROCKEFELLER, JR. 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1.5	NONE	NONE	NONE
DANIEL GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	1	NONE	NONE	NONE

FORM 990PF, PART VIII, Line 1 - LIST OF OFFICERS, DIRECTORS , AND TRUSTEES

NAME AND ADDRESS	TITLE	Average Hours per Week Devoted to Position	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
JAMES SLIGAR 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE/TREASURER	1.5	NONE	NONE	NONE
MIRANDA KAISER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE/SECRETARY	2	NONE	NONE	NONE
ROBERT PARTON 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	1	NONE	NONE	NONE
SUSAN ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	1	NONE	NONE	NONE
LUKAS HAYNES 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	EXECUTIVE DIRECTOR	40	185,400	46,511	1,647

Note: Peggy Dulany, Manya Rubinstein, and Barry Walker, their trustee's term expired 12/31/2016.
(1) Effective January 1, 2017

FORM 990-PF, PART XV - SUPPLEMENTARY INFORMATION

LINE 2 - Information Regarding Contributions, Grant, Gift, Loan, Scholarship, etc, Programs

The David Rockefeller Fund currently has three primary program areas: Arts, Criminal Justice, and Environment.

The Arts Program focuses on cultivating, showcasing and disseminating the stories of innovative art for social change, Criminal Justice supports bold new ideas and policy initiatives for transforming U.S. detention and incarceration policy, and Environment supports new ideas, initiatives and policy breakthroughs in support of bipartisan U S. climate leadership.

In addition to the program areas outlined above, the Fund underwrote a number of initiatives designed to encourage family members' individual philanthropic involvement and interests, as well as collaborative grantmaking by the family

Form 990-PF: Return of Private Foundation

Part XV, Line 2: Supplementary Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc. Continuation Statement

(a) Name and Address Information	(b) Form Information	(c) Submission Information	(d) Restrictions
Lexi Fisher, Program Manager David Rockefeller Fund 475 Riverside Drive Suite 900 New York, NY 10115	DR Fund website states 1-2 page Letter of Intent should be submitted to loi@drfund.org	DR Fund accepts unsolicited requests on a rolling basis.	DR Fund only accepts unsolicited requests that fit its three key program areas (Arts, Criminal Justice and Environment)

FORM 990-PF, Part II - Balances Sheets Liabilities

LINE 18 (a) & (b) - Grants Payable

Grant Reconciliation

Grants Payable at 12/31/2016		$ 357,500
Add Grants Awarded Through 12/31/17		
Discretionary (Trustee) [1]	100,000	
Program Grants [1]	1,189,500	
	1,289,500	
Employee Matching Gifts [1]	5,000	
	1,294,500	
2017 Lapsed Grants	-	
		1,294,500
Less Grants Paid Through 12/31/17		
Discretionary (Trustee) [1]	100,000	
Program Grants [1]	1,241,000	
	1,341,000	
Employee Matching Gifts [1]	5,000	
	1,346,000	
2017 Returned Grant	-	
		1,346,000
Grants Payable at 12/31/17		$ 306,000

[1] See attached report from Gifts grant tracking program for detail

GENERAL NOTES

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

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

THE PURPOSE OF THE GRANTS AWARDED BY THE DAVID ROCKEFELLER FUND FOCUS PRIMARILY ON EDUCATION, HEALTH AND SOCIAL SERVICE, COMMUNITY GROUPS ENVIRONMENTAL AND PRESERVATION ORGANIZATIONS, ARTS AND EDUCATION IN NEW YORK CITY, CRIMINAL JUSTICE AND CONSERVATION

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
ARTS GRANTS						
A Blade of Grass Deborah Fisher Tel 646-757-4199 dfisher@abladeofgrass org 137 5th Avenue 10th floor New York, NY 10010	150,000 00 Approved 2016 (2nd payment in 2017)	Grant 150,000 00 Paid 100,000 00 Bal 50,000 00 Term 36 Months	50,000 00	DRF Arts	50,000 00	PC - Public Charity
The Amplifier Foundation Aaron Huey Tel (206) 909-4727 huey@amplifier org 3518 S Edmunds Street Seattle, WA 98118-1727	25,000.00	Grant 25,000 00 Paid 25,000.00 Bal. 0.00 Term 12 Months	25,000 00	DRF Arts	0 00	PC - Public Charity
Center for Artistic Activism Stephen Duncombe Tel (917) 806-4612 srd@artisticactivism org PO Box 543 Beacon, NY, 12508	25,000 00	Grant 25,000 00 Paid 25,000 00 Bal 0 00 Term 12 Months	25,000 00	DRF Arts	0 00	PC - Public Charity
Fountain House Kenneth J Dudek 425 West 47th Street New York, NY 10036-2304	50,000 00	Grant 50,000 00 Paid 25,000 00 Bal 25,000 00 Term 24 Months	25,000 00	DRF Arts	25,000 00	PC - Public Charity
Girl Be Heard Jessica Greer Morris Tel (718) 222-4475 jessica@girlbeheard org 20 Jay Street , #210B Brooklyn, NY 11201	60,000 00	Grant 60,000.00 Paid 29,000.00 Bal 31,000 00 Term 24 Months	29,000 00	DRF Arts	31,000 00	PC - Public Charity
Grantmakers in the Arts Eddie Torres (929) 452-3740 gia@giarts org 522 Courtlandt Ave, 1st Floor Bronx, NY 10451-5008	1,000 00	Grant. 1,000 00 Paid. 1,000.00 Bal 0 00 Term 12 Months	1,000 00	DRF Arts	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
ARTS GRANTS (continued)						
The Listen Charity USA Inc Anthony Hollingsworth Tel +442089396464 tonyh@listencampaign com c/o David Ulich Sheppard Mullin 333 Hope Street Los Angeles, CA 90071	50,000 00	Grant 50,000 00 Paid 25,000 00 Bal 25,000 00 Term 24 Months	25,000 00	DRF Arts	25,000 00	PC - Public Charity
Pros and Cons c/o John Howard Society Chris Brown hchrisbrown@gmail com c/o Catherine Latimer 809 Blackburn Mews Kingston, ON K7P 2N6	50,000 00	Grant 50,000 00 Paid 25,000 00 Bal 25,000 00 Term 24 Months	25,000 00	DRF Arts	25,000 00	PC - Public Charity
The Public Theater Alex Tonetta Tel (212) 539-8505 atonetta@publictheater org 425 Lafayette St New York, NY 10003	20,000.00	Grant 20,000 00 Paid. 20,000 00 Bal 0 00 Term 12 Months	20,000 00	DRF Arts	0 00	PC - Public Charity
Theatre of the Oppressed NYC Katy Rubin Tel (646) 504-4582 katy@tonyc nyc 758 8th Ave, Suite 300 New York, NY 10036	50,000 00	Grant 50,000.00 Paid 50,000 00 Bal. 0 00 Term 12 Months	50,000 00	DRF Arts	0 00	PC - Public Charity
Victory Gardens Theater Erica Daniels Tel (773) 328-2152 rdaniels@victorygardens org 2433 N Lincoln Ave Chicago, IL 60614	30,000 00	Grant 30,000 00 Paid 30,000 00 Bal 0 00 Term 12 Months	30,000 00	DRF Arts	0 00	PC - Public Charity
United Workers Association Todd Cherkis Tel. (410) 340-2838 tcherkis@hotmail.com PO Box 41547 Baltimore, MD 21203	30,000 00	Grant 30,000 00 Paid 30,000 00 Bal 0 00 Term 12 Months	30,000 00	DRF Arts	0 00	PC - Public Charity
Total Arts Grants (11 Grants)	**391,000.00**		**335,000.00**		**156,000.00**	

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
CRIMINAL JUSTICE GRANTS						
Center for Constitutional Rights Vincent Warren Tel 212 614 6468 Vwarren@ccrjustice org 666 Broadway 7th Floor New York, NY 10012	150,000 (awarded in 2016, 2nd payment in 2017)	Grant 150,000 00 Paid 100,000 00 Bal 50,000 00 Term 36 Months	55,000.00	DRF Criminal Justice	50,000 00	PC - Public Charity
Detention Watch Network c/o Tides Center Shah Silky Tel 520-240-3726 sshah@detentionwatchnetwork org Yvette Diaz - Senior Advisor c/o Tides Center 55 Exchange Place, Suite 402 New York, NY 10005	50,000 (awarded in 2016, 2nd payment in 2017)	Grant 50,000 00 Paid 50,000 00 Bal 0 00 Term 24 Months	25,000 00	DRF Criminal Justice	0.00	PC - Public Charity
Youth First! Initiative c/o New Venture Fund Lee Bodner Tel. (202) 595-1061 lee bodner@newventurefund.org 1201 Connecticut Avenue NW, Suite 300 Washington, DC 20036	50,000 (awarded in 2016, 2nd payment due in 2017)	Grant 50,000 00 Paid 50,000 00 Bal 0 00 Term 24 Months	27,500 00	DRF Criminal Justice	0 00	PC - Public Charity
Abolitionist Law Center Dustin McDaniel Tel (412) 654-9070 dsm@abolitionistlawcenter.org PO Box 8654 Pittsburgh, PA 15221	25,000 00	Grant 25,000 00 Paid 25,000 00 Bal 0 00 Term 12 Months	25,000 00	DRF Criminal Justice	0 00	PC - Public Charity
Campaign for the Fair Sentencing of Youth Jody Kent Lavy Tel. (202) 289-4677 ext. 14 jkent@fairsentencingofyouth org 1319 F STREET NW SUITE 303 Washington, DC 20004	100,000 00	Grant 100,000 00 Paid 50,000 00 Bal 50,000 00 Term 24 Months	50,000 00	DRF Criminal Justice	50,000.00	PC - Public Charity
College and Community Fellowship Vivian Nixon Tel. (646) 380-7777 vnixon@collegeandcommunity org 475 Riverside Drive, Suite 1626 New York, NY 10115	7,500 00	Grant 7,500 00 Paid 7,500 00 Bal 0 00 Term 12 Months	7,500 00	DRF Criminal Justice	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
CRIMINAL JUSTICE GRANTS (continued)						
Grassroots Leadership Robert Libal Tel (512) 499-8111 blibal@grassrootsleadership org 2301 E Cesar Chavez Austin, TX 78702	30,000 00	Grant 30,000 00 Paid 30,000 00 Bal 0 00 Term 12 Months	30,000.00	DRF Criminal Justice	0.00	PC - Public Charity
John Jay College of Criminal Justice Prisoner Reentry Institute c/o Research Foundation of the City University of New York Ann Jacobs Tel (646) 557-4532 ajacobs@jjay.cuny edu c/o Richard Rothbard 230 West 41st Street New York, NY 10036	50,000 00	Grant 50,000 00 Paid 50,000 00 Bal 0 00 Term 12 Months	50,000 00	DRF Criminal Justice	0 00	PC - Public Charity
Just Leadership USA Glenn Martin Tel 347-454-2195 glenn@justleadershipusa org 555 Lenox Avenue Suite 4C New York, NY 10037	40,000 00	Grant 40,000 00 Paid 40,000.00 Bal 0 00 Term 12 Months	40,000 00	DRF Criminal Justice	0 00	PC - Public Charity
New York Youth Justice Initiative c/o FJC Julie Peterson jpeterson@pinkertonfdn org c/o FJC Fiscal Sponsorship Program 520 Eighth Avenue, 20th Floor New York, NY 10018	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term 12 Months	5,000 00	DRF Criminal Justice	0 00	PC - Public Charity
Working Narratives c/o Fractured Atlas Productions Nick Szuberla Tel 606-454-8864 nick@workingnarratives org c/o Theresa Hubbard 248 West 35th Street, #10 New York, NY 10001	20,000 00	Grant 20,000 00 Paid 20,000.00 Bal 0 00 Term 12 Months	20,000 00	DRF Criminal Justice	0 00	PC - Public Charity
Total Criminal Justice Grants (8 grants)	**277,500.00**		**335,000.00**		**100,000.00**	

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
ENVIRONMENT GRANTS						
Center for Climate and Security c/o Sustainable Markets Foundation Francesco Femia ffemia@climateandsecurity org c/o Jay Halfon 45 West 36th Street, Floor 6 New York, NY 10018	150,000 (awarded in 2016, second payment in 2017)	Grant 150,000 00 Paid 100,000 00 Bal 50,00 00 Term 36 Months	50,000.00	DRF Environment	50,000 00	PC - Public Charity
Center for Climate and Security c/o Sustainable Markets Foundation Francesco Femia ffemia@climateandsecurity org c/o Jay Halfon 45 West 36th Street, Floor 6 New York, NY 10018	16,500 00	Grant 16,500 00 Paid 16,500 00 Bal 0 00 Term 12 Months	16,500 00	DRF Environment	0 00	PC - Public Charity
Center for Climate and Security c/o Sustainable Markets Foundation Francesco Femia ffemia@climateandsecurity org c/o Jay Halfon 45 West 36th Street, Floor 6 New York, NY 10018	4,500 00	Grant. 4,500.00 Paid 4,500 00 Bal. 0 00 Term. 12 Months	4,500 00	DRF Environment	0 00	PC - Public Charity
Climate Parents c/o Sierra Club Foundation Lisa Hoyos Tel· (510) 282-0440 Fax (510) 647-5240 lisa@climateparents.org c/o Henry Holmes - Grants and Compliance Director 2101 Webster Street, Suite 1250 Oakland, CA 94612	40,000 00	Grant 40,000 00 Paid 40,000 00 Bal. 0 00 Term 12 Months	40,000 00	DRF Environment	0 00	PC - Public Charity
Confluence Philanthropy Dana Lanza Tel (212) 812-4367 dana@confluencephilanthropy org 475 Riverside Drive, Suite 900 New York, NY 10115	1,000 00	Grant· 1,000 00 Paid 1,000 00 Bal· 0 00 Term 12 Months	1,000 00	DRF Environment	0 00	PC - Public Charity
Consultative Group on Biological Diversity Paige Brown Tel (415) 561-6575 ext 304 PO Box 29361 San Francisco, CA 94129-0361	3,000 00	Grant. 3,000.00 Paid 3,000 00 Bal 0 00 Term 12 Months	3,000 00	DRF Environment	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
ENVIRONMENT GRANTS (continued)						
Environmental and Energy Study Institute Carol Werner Tel (202) 662-1881 Fax (202) 204-5244 cwerner@eesi org 1112 16th St NW, Suite 300 Washington, DC 20036	25,000 00	Grant 25,000 00 Paid 25,000 00 Bal 0 00 Term 12 Months	25,000 00	DRF Environment	0 00	PC - Public Charity
Environmental Grantmakers Association Rachel Leon rleon@ega org 475 Riverside Drive Suite 900 New York, NY 10115	4,000 00	Grant 4,000 00 Paid 4,000 00 Bal 0 00 Term 12 Months	4,000 00	DRF Environment	0.00	PC - Public Charity
Issue One Nick Penniman Tel (202) 299-0837 npenniman@issueone org 1401 K Street, NW Suite 350 Washington, DC 20005	12,500 00	Grant 12,500.00 Paid 12,500 00 Bal 0 00 Term 12 Months	12,500 00	DRF Environment	0 00	PC - Public Charity
Jackson Hole Center for Global Affairs David Wendt Tel (307) 733-3404 david wendt@jhcga org 125 S. King St Jackson, WY 83001	30,000 00	Grant. 30,000 00 Paid 30,000 00 Bal 0 00 Term 12 Months	30,000 00	DRF Environment	0 00	PC - Public Charity
Peace and Security Funders Group c/o The Fund for Constitutional Government Alexandra Toma atoma@peaceandsecurity.org Attn Kathryn Saunders 122 Maryland Avenue, NE Washington, DC 20002	3,500 00	Grant 3,500 00 Paid 3,500 00 Bal 0 00 Term 12 Months	3,500 00	DRF Environment	0 00	PC - Public Charity
People's Climate Movement c/o GreenFaith Fletcher Harper Tel 732-565-7740, ext 301 RevFHarper@greenfaith org GreenFaith Inc. Attn Fletcher Harper 101 S 3rd Ave, Suite 12 Highland Park, NJ 08904-2563	40,000 00	Grant 40,000 00 Paid 40,000 00 Bal 0 00 Term 12 Months	40,000 00	DRF Environment	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
ENVIRONMENT GRANTS (continued)						
Protect Our Winters Mario Molina mario@protectourwinters org 311 Mapleton Avenue Boulder, CO 80304	50,000 00	Grant 50,000 00 Paid 50,000 00 Bal 0 00 Term 12 Months	50,000 00	DRF Environment	0.00	PC - Public Charity
Sixteen Thirty Fund Eric Kessler Tel (202) 664-8762 info@sixteenthirtyfund org 1201 Connecticut Ave NW Suite 300 Washington, DC 20036	30,000 00	Grant. 30,000 00 Paid 30,000 00 Bal. 0 00 Term 12 Months	30,000 00	DRF Environment	0 00	NC - Organization not otherwise classfied
Virgin Unite USA Rosanne Gray Tel +02031263710 rosanne gray@virginunite com 65 Bleecker Street New York, NY 10012	25,000 00	Grant 25,000 00 Paid 25,000 00 Bal 0 00 Term 12 Months	25,000 00	DRF Environment	0 00	PC - Public Charity
Total Environment Grants (14 Grants)	**285,000.00**		**335,000.00**		**50,000.00**	
JUDICIOUS EXCEPTION GRANTS						
Center for Climate and Security c/o Sustainable Markets Foundation Francesco Femia ffemia@climateandsecurity org c/o Jay Halfon 45 West 36th Street, Floor 6 New York, NY 10018	3,500 00	Grant 3,500 00 Paid 3,500.00 Bal 0 00 Term 12 Months	3,500.00	DRF Judicious Exception	0 00	PC - Public Charity
College and Community Fellowship Vivian Nixon Tel (646) 380-7777 vnixon@collegeandcommunity org 475 Riverside Drive, Suite 1626 New York, NY 10115	12,500 00	Grant 12,500.00 Paid 12,500 00 Bal 0 00 Term 12 Months	12,500 00	DRF Judicious Exception	0 00	PC - Public Charity
In Our Backyards (ioby) Erin Barnes 540 President Street, 3rd Floor Brooklyn, NY 11215	3,000 00	Grant 3,000 00 Paid 3,000 00 Bal 0 00 Term 12 Months	3,000 00	DRF Judicious Exception	0 00	PC - Public Charity
Institute for Energy Economics and Financial Analysis Sandy Buchanan Tel (216) 688-3433 staff@ieefa org 3430 Rocky River Drive Cleveland, OH 44111	5,000 00	Grant 5,000.00 Paid 5,000 00 Bal 0 00 Term 12 Months	5,000 00	DRF Judicious Exception	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
JUDICIOUS EXCEPTION GRANTS (Continued)						
KidSpirit Elizabeth Dabney Hochman 77 State Street Brooklyn, NY 11201	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term 12 Months	5,000 00	DRF Judicious Exception	0 00	PC - Public Charity
National Center for Family Philanthropy Virginia Esposito Tel (202) 293-3424 Fax. (202) 293-3395 1101 Connecticut Avenue, NW, Suite 220 Washington, DC 20036	2,000 00	Grant 2,000 00 Paid 2,000 00 Bal 0 00 Term 12 Months	2,000 00	DRF Judicious Exception	0 00	PC - Public Charity
Pros and Cons c/o John Howard Society Chris Brown hchrisbrown@gmail com c/o Catherine Latimer 809 Blackburn Mews Kingston, ON K7P 2N6	20,000 00	Grant. 20,000 00 Paid. 20,000.00 Bal 0 00 Term· 12 Months	20,000 00	DRF Judicious Exception	0 00	PC - Public Charity
Pros and Cons c/o John Howard Society Chris Brown hchrisbrown@gmail com c/o Catherine Latimer 809 Blackburn Mews Kingston, ON K7P 2N6	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term· 12 Months	5,000 00	DRF Judicious Exception	0 00	PC - Public Charity
Salzburg Global Seminar Benjamin Glahn Tel (202) 637-7683 bglahn@salzburgglobal org 1250 H Street NW Suite 1150 Washington, DC 20005	4,000 00	Grant 4,000 00 Paid 4,000 00 Bal 0.00 Term. 12 Months	4,000 00	DRF Judicious Exception	0 00	PC - Public Charity
Rockefeller Family Fund Lee Wasserman 475 Riverside Drive, Suite 900 New York, NY 10115	15,000 00	Grant 15,000 00 Paid 15,000 00 Bal 0 00 Term 12 Months	15,000 00	DRF Judicious Exception	0 00	PC - Public Charity
Rockefeller Family Fund Lee Wasserman 475 Riverside Drive, Suite 900 New York, NY 10115	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term 12 Months	5,000 00	DRF Judicious Exception	0 00	PC - Public Charity
Total Judicious Exc. Grants (11 Grants)	**80,000.00**		**80,000.00**		**0.00**	

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
MICRO-GRANTS						
Equal Justice USA Shari Silberstein 20 Jay Street Suite 808 Brooklyn, NY 11210	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term 6 Months	5,000.00	DRF Micro Grant	0 00	PC - Public Charity
Grantmakers in the Arts Eddie Torres (929) 452-3740 gia@giarts org 522 Courtlandt Ave, 1st Floor Bronx, NY 10451-5008	500 00	Grant 500 00 Paid 500 00 Bal. 0 00 Term. 6 Months	500 00	DRF Micro Grant	0 00	PC - Public Charity
Inside Climate News c/o Lost Light Projects, Inc. David Sassoon 16 Court Street, Suite 2307 Brooklyn, NY 11241	500 00	Grant 500 00 Paid. 500.00 Bal 0 00 Term. 6 Months	500 00	DRF Micro Grant	0 00	PC - Public Charity
NYU Hemispheric Institute of Performance and Politics Marcial Godoy marcial godoy@nyu edu 20 Cooper Square, 5th Floor New York, NY 10003	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term 6 Months	5,000 00	DRF Micro Grant	0 00	PC - Public Charity
Our Children's Trust Julia Olson PO Box 5181 Eugene, OR 97405	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term 6 Months	5,000 00	DRF Micro Grant	0.00	PC - Public Charity
The Marshall Project Carroll Bogert 156 West 56th Street, Suite 701 New York, NY 10019	1,000 00	Grant 1,000 00 Paid 1,000 00 Bal 0 00 Term. 6 Months	1,000 00	DRF Micro Grant	0.00	PC - Public Charity
Power Shift Network Lydia Avila 1875 Connecticut Avenue NW, 10th Floor Washington, DC 20009	6,500 00	Grant 6,500 00 Paid 6,500 00 Bal 0 00 Term 6 Months	6,500 00	DRF Micro Grant	0 00	PC - Public Charity
Preparing Leaders of Tomorrow (PLOT) Jim St Germain Tel (646) 250-1396 info@plotforyouth org PO Box 22663 Brooklyn, NY 11202	5,000 00	Grant 5,000 00 Paid 5,000 00 Bal 0 00 Term 6 Months	5,000 00	DRF Micro Grant	0.00	PC - Public Charity

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
MICRO-GRANTS (Continued)						
Youth First State Advocacy Fund c/o New Venture Fund Katayoon Majd Attn Lee Bodner 1201 Connecticut Avenue NW Suite 300 Washington, DC 20036	6,500 00	Grant 6,500 00 Paid 6,500 00 Bal 0 00 Term 12 Months	6,500 00	DRF Micro Grant	0 00	PC - Public Charity
Total Micro-Grants (9 Grants)	**35,000.00**		**35,000.00**		**0.00**	
DR MEMORIAL GRANTS						
Americans for the Arts Robert L Lynch Tel 202-371-2830 Fax 202-371-0424 1000 Vermont Avenue NW 6th Floor Washington, DC 20005	50,000 00	Grant 50,000 00 Paid 50,000 00 Bal 0 00 Term 12 Months	50,000 00	DR Memorial	0 00	PC - Public Charity
The Colonial Williamsburg Foundation Colin Campbell CCampbell@cwf org 134 North Henry Williamsburg, VA 23185	1,000 00	Grant 1,000 00 Paid 1,000 00 Bal 0 00 Term 12 Months	1,000 00	DR Memorial	0 00	PC - Public Charity
International House Calvin L Sims 500 Riverside Drive New York, NY 10027-3916	50,000 00	Grant 50,000 00 Paid 50,000 00 Bal 0 00 Term 12 Months	50,000.00	DR Memorial	0 00	PC - Public Charity
Philanthropy New York Ronna Brown 1500 Broadway 7th Floor New York, NY 10036	20,000.00	Grant. 20,000 00 Paid 20,000.00 Bal 0 00 Term. 12 Months	20,000 00	DR Memorial	0 00	PC - Public Charity
Total DR Memorial Grants (4 grants)	**121,000.00**		**121,000.00**			
TRUSTEE DISCRETIONARY /MATCHING GRANTS						
Rockefeller Philanthropy Advisors Melissa Berman 6 West 48th Street, Floor 10 New York, NY 10036-1802	100,000 00	Grant 100,000 00 Paid 100,000 00 Bal 0 00 Term 12 Months	100,000 00	DRF Trustee (Discretionary)	0 00	PC - Public Charity
Total Discretionary Grants (1 Grant)	**100,000.00**		**100,000.00**		-	
Total Program Grants (58 Grants)	**1,289,500.00**		**1,341,000.00**		**306,000.00**	

GRANTS APPROVED AND PAID 2017 (approval date is any date between 1/1/2017 and 12/31/2017)

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Future Grants Approved	Foundation Status
STAFF MATCHING						
Center for Popular Democracy Kimihel Tseggai Tel (347) 985-2220 449 Troutman Street, Ste A Brooklyn, NY 11237	50 00	Grant. 50 00 Paid 50 00 Bal 0 00 Term 12 Months	50 00	DRF Staff Matching	0 00	PC - Public Charity
Community Help in Park Slope, Inc Denise Scaravella 200 4th Avenue Brooklyn, NY 11374	100.00	Grant 100 00 Paid. 100 00 Bal 0 00 Term. 12 Months	100 00	DRF Staff Matching	0 00	PC - Public Charity
Link Education Partners Maria Pilar Paradiso Tel (973) 642-5343 23 Pennsylvania Avenue Newark, NJ 07114	200 00	Grant 200 00 Paid 200 00 Bal 0 00 Term. 12 Months	200 00	DRF Staff Matching	0 00	PC - Public Charity
Montclair Community Pre-K Lulu Fund Stephanie Fitzgerald 49 Orange Road Montclair, NJ 07042	700 00	Grant 700 00 Paid. 700 00 Bal. 0 00 Term 12 Months	700 00	DRF Staff Matching	0 00	PC - Public Charity
Montclair Community Pre-K Lulu Fund Stephanie Fitzgerald 49 Orange Road Montclair, NJ 07042	3,850 00	Grant 3,850 00 Paid 3,850.00 Bal 0 00 Term 12 Months	3,850 00	DRF Staff Matching	0 00	PC - Public Charity
Stuyvesant High School Alumni Association Evelyn Krejci Tel (212) 312-4894 PO Box 3531 New York, NY 10008	100 00	Grant. 100 00 Paid 100 00 Bal 0 00 Term 12 Months	100.00	DRF Staff Matching	0 00	PC - Public Charity
Total Staff Matching (6 matching gifts)	**5,000.00**		**5,000.00**		**0.00**	
GRAND TOTAL:	**1,294,500.00**		**1,346,000.00**		**306,000.00**	