29491016031071

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 1545-0047

2019

Open to Public Inspection

For calendar year 2019 or tax year beginning , 2019, 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) ▶ $ 68,550,418.

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)	1,328,882.			
	2	Check ▶ ☐ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments	28,805.	28,805.		
	4	Dividends and interest from securities Stmt 2A	1,623,028.	1,631,656.		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	757,148.			
	b	Gross sales price for all assets on line 6a 40,513,860.				
	7	Capital gain net income (from Part IV, line 2) Stmt 2		2,009,091		
	8	Net short-term capital gain				
	9	Income modifications 6				
	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	-47,514.	92,824.		
	12	**Total.** Add lines 1 through 11	3,690,349.	3,762,376.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc.	316,360.	43,902.		272,458.
	14	Other employee salaries and wages	111,538.	0.		126,781.
	15	Pension plans, employee benefits	151,615.	15,555.		160,316.
	16a	Legal fees (attach schedule) L-16a Stmt 1	38,748.			42,787.
	b	Accounting fees (attach schedule) L-16b Stmt 1&1A	26,600.	11,649.		7,951.
	c	Other professional fees (attach schedule) L-16c Stmt 1	322,478.	230,209.		106,858.
	17	Interest		1,515.		
	18	Taxes (attach schedule) (see instructions See Stmt1	100,448.	48,141.		
	19	Depreciation (attach schedule) and depletion Stmt 4	2,069.			
	20	Occupancy	33,613.	1,624.		40,631.
	21	Travel, conferences, and meetings	30,922.	99.		30,175.
	22	Printing and publications	362.			612.
	23	Other expenses (attach schedule) See Stmt 1	273,965.	239,778.		82,632.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	1,408,718.	592,472.		871,201.
	25	Contributions, gifts, grants paid	4,499,002.			3,937,675.
	26	**Total expenses and disbursements.** Add lines 24 and 25	5,907,720.	592,472.		4,808,876.
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	-2,217,371.			
	b	**Net investment income** (if negative, enter -0-)		3,169,904		
	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	250,983.	269,114.	269,114.
	2	Savings and temporary cash investments	5,999,168.	1,769,818.	1,769,818.
	3	Accounts receivable ▶ 80,159.			
		Less: allowance for doubtful accounts ▶	127,974.	80,159.	80,159.
	4	Pledges receivable ▶ 1,000.			
		Less: allowance for doubtful accounts ▶	0.	1,000.	1,000.
	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 Stmt 4A	7,933.	9,600.	9,600.
	10a	Investments—U S and state government obligations (attach schedule)	14,034,810.	8,688,090.	8,688,090.
	b	Investments—corporate stock (attach schedule)		15,942,859.	15,942,859.
	c	Investments—corporate bonds (attach schedule) Stmt 4A	5,312,254.	3,065,577.	3,065,577.
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule) See Statement 1 & 1A	36,519,360.	38,715,674.	38,715,674.
	14	Land, buildings, and equipment basis ▶ 16,592.			
		Less. accumulated depreciation (attach schedule) ▶ Stmt 5 8,065.	10,597.	8,527.	8,527.
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	62,263,079.	68,550,418.	68,550,418.
Liabilities	17	Accounts payable and accrued expenses	156,955.	252,434.	
	18	Grants payable See Statement 9	425,000.	990,000.	
	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)	581,955.	1,242,434.	
Net Assets or Fund Balances		**Foundations that follow FASB ASC 958, check here ▶ ☒ and complete lines 24, 25, 29, and 30.**			
	24	Net assets without donor restrictions	56,719,925.	62,424,603.	
	25	Net assets with donor restrictions	4,961,199.	4,883,381.	
		Foundations that do not follow FASB ASC 958, check here ▶ ☐ and complete lines 26 through 30.			
	26	Capital stock, trust principal, or current funds			
	27	Paid-in or capital surplus, or land, bldg , and equipment fund			
	28	Retained earnings, accumulated income, endowment, or other funds			
	29	**Total net assets or fund balances** (see instructions)	61,681,124.	67,307,984.	
	30	**Total liabilities and net assets/fund balances** (see instructions)	62,263,079.	68,550,418.	

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 29 (must agree with end-of-year figure reported on prior year's return)	1	61,681,124.
2	Enter amount from Part I, line 27a	2	-2,217,371.
3	Other increases not included in line 2 (itemize) ▶ UNREALIZED APPRECIATION ON INVESTMENTS	3	7,951,204.
4	Add lines 1, 2, and 3	4	67,414,957.
5	Decreases not included in line 2 (itemize) ▶ DEFERRED FEDERAL EXCISE TAX EXPENSE	5	106,973.
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6	67,307,984.

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	P		
b		D		
c				
d				
e				

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

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

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

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	2,009,091.
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))
2018	2,515,120.	39,621,828.	0.063478
2017	1,830,092.	12,552,957.	0.145790
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

2	**Total** of line 1, column (d)	2	0.985936
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	0.197187
4	Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	65,025,139.
5	Multiply line 4 by line 3	5	12,822,112.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	31,699.
7	Add lines 5 and 6	7	12,853,811.
8	Enter qualifying distributions from Part XII, line 4	8	4,808,876.

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	63,398.
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	63,398.
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	63,398.
6	Credits/Payments		
a	2019 estimated tax payments and 2018 overpayment credited to 2019 — 6a: 60,000.		
b	Exempt foreign organizations—tax withheld at source — 6b:		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 15,000.		
d	Backup withholding erroneously withheld — 6d:		
7	Total credits and payments Add lines 6a through 6d	7	75,000.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	185.
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	11,417.
11	Enter the amount of line 10 to be: **Credited to 2020 estimated tax** ▶ 11,417. **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 2019 or the tax year beginning in 2019? 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. See Statement 6A	10		X

2

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 2019, 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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

			Yes	No
1a	During the year, did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ 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 2019?	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 2019, did the foundation have any undistributed income (Part XIII, lines 6d and 6e) for tax year(s) beginning before 2019?	☐ 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 2019 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 Form 4720, Schedule C, to determine if the foundation had excess business holdings in 2019)	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 2019?	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		
8	Is the foundation subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment(s) during the year? ☐ Yes ☒ No			

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
Stephanie Burgos 475 Riverside Dr Suite 900 New York NY 10115	Program Assistant 40.00	53,724.	23,530.	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
Rockefeller Capital Management 45 Rockefeller Plaza, Floor 5 New York NY 10111	Investment Management	388,004.
Total number of others receiving over $50,000 for professional services . . . . . ▶		

Part IX-A **Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 During 2019, 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 2 charitable organizations' board. 2 members of the staff served on total of 7 committees, public	107,149.
2 commissions,or task forces in order to provide technical assistance.	
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	63,433,292.
b	Average of monthly cash balances		1b	2,582,078.
c	Fair market value of all other assets (see instructions)		1c	
d	**Total** (add lines 1a, b, and c)		1d	66,015,370.
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	66,015,370.
4	Cash deemed held for charitable activities Enter 1½% of line 3 (for greater amount, see instructions)		4	990,231.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	65,025,139.
6	**Minimum investment return.** Enter 5% of line 5		6	3,251,257.

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	3,251,257.
2a	Tax on investment income for 2019 from Part VI, line 5	2a	63,398.		
b	Income tax for 2019 (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	63,398.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	3,187,859.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	3,187,859.
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	3,187,859.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes:			
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26		1a	4,808,876.
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	4,808,876.
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	4,808,876.

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 XII Undistributed Income (see instructions)

		(a) Corpus	(b) Years prior to 2018	(c) 2018	(d) 2019
1	Distributable amount for 2019 from Part XI, line 7				3,187,859
2	Undistributed income, if any, as of the end of 2019				
a	Enter amount for 2018 only			0.	
b	Total for prior years. 20___, 20___, 20___				
3	Excess distributions carryover, if any, to 2019				
a	From 2014 1,207,059.				
b	From 2015 1,296,082.				
c	From 2016 1,355,799.				
d	From 2017 1,209,689.				
e	From 2018 593,750.				
f	**Total** of lines 3a through e	5,662,379.			
4	Qualifying distributions for 2019 from Part XII, line 4 ▶ $ 4,808,876.				
a	Applied to 2018, 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 2019 distributable amount				3,187,859.
e	Remaining amount distributed out of corpus	1,621,017.			
5	Excess distributions carryover applied to 2019 (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	7,283,396.			
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 2018 Subtract line 4a from line 2a Taxable amount—see instructions			0.	
f	Undistributed income for 2019 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020				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 2014 not applied on line 5 or line 7 (see instructions)	1,207,059.			
9	**Excess distributions carryover to 2020.** Subtract lines 7 and 8 from line 6a	6,076,337.			
10	Analysis of line 9.				
a	Excess from 2015 1,296,082.				
b	Excess from 2016 1,355,799.				
c	Excess from 2017 1,209,689.				
d	Excess from 2018 593,750.				
e	Excess from 2019 1,621,017.				

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 2019, 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) 2019	(b) 2018	(c) 2017	(d) 2016	
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 8

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

See Statement 8

c Any submission deadlines.

See Statement 8

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

See Statement 8

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**				3,937,675.
b *Approved for future payment* See Statement 9				
Total ▶ **3b**				990,575.

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	28,805.	
4 Dividends and interest from securities	525990	96.	14	1,622,932.	
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	1,582.	18	-49,096.	
8 Gain or (loss) from sales of assets other than inventory	525990	1,107.	18	756,041.	
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)		2,785.		2,358,682.	
13 **Total.** Add line 12, columns (b), (d), and (e)				13	2,361,467.

(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
1a(1)	50,000.	Protect Our Winters Action Fund	See Statement 9, page 67.
1a(1)	38,000.	Americans for the Arts Action Fund	See Statement 9, page 63.
1a(1)	150,000.	Sixteen Thirty Fund	See Statement 9, page 68.
1a(1)	100,000.	Tides Advocacy	See Statement 9, page 64.
1a(1)	50,000.	Jolt Action	See Statement 9, page 65.

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

Digitally signed by Lukas Haynes
DN: cn=Lukas Haynes, o=David Rockefeller Fund, ou, emailaddress=lhaynes@drfund.org, c=US
Date: 2020.11.13 15:21:42 -05'00'

Signature of officer or trustee | Date: 11/13/20 | 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
Joseph L. Ali	Joseph L Ali			P02093808

Firm's name ▶ PKF O'CONNOR DAVIES | Firm's EIN ▶ 27-1728945

Firm's address ▶ 665 5TH AVENUE NEW YORK NY 10022 | Phone no (212)286-2600

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

2019

Name of the organization
THE DAVID ROCKEFELLER FUND, INC.

Employer identification number
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	Estate of David Rockefeller 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 59,835.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
2	Clayton Rockefeller 10 Rockefeller Plaza 3rd FL New York NY 10020	$ 1,263,112.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization: THE DAVID ROCKEFELLER FUND, INC.

Employer identification number: 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
4	6,093 Cisco System, Inc 4,170 Home Depot, Inc	$ 1,263,112.	10/24/2019

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

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

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

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

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

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

STATEMENT 2A
FORM 990-PF
YEAR 2019

Schedule of Interest & Dividends

Part I, line 3(a)(b)

Interest on savings and temporary cash investments	Column (a)	Column (b)
Cash	$ 27,917	$ 27,917
Self-Help Money Market	$ 888	$ 888
Interest on savings and temporary cash investments Part I, Line 3	**$ 28,805**	**$ 28,805**

Part I, line 4(a)(b)

Dividend & Interest from securitites	Column (a)	Column (b)
Aperio	174,081	174,081
CRA Qualified Investment Fund	224,863	224,863
Pax World Global Environmental Markets Fund	54,407	54,407
Parnassus Fund Institutional Shares	371,372	371,372
New Energy Capital Infrastructure Credit Fund II LP	0	8,311
Rockefeller Access Fund 06-I, LLC	558	2,232
Rockefeller Alternative Strategies Fund, (LP)	139	143
Libra Fossil Fuel Free Fund, LP	437,434	436,073
Other Fixed Income	360,174	360,174
	$ 1,623,028	**$ 1,631,656**

Schedule of Capital Gains and Losses

Part I, line 6a

	Gain or (Loss)
Libra Fossil Fuel Free Fund, LP	$ 570,017
Rockefeller Access Fund 06-I, LLC	$ 1,564
Aperio	$ 3,816
CRA Qualified Investment Fund	$ 21,942
Other Fixed Income	$ 159,809
Net Realized Gain per Books (Total Part I, line 6a,col.(d))	**$ 757,148**

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

Libra Fossil Fuel Free Fund, LP	570,075	
Rockefeller Alternative Strategies Fund, (LP)	1,807	
Rockefeller Access Fund 06-I, LLC	19,086	
		590,968 **P**
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, LP		(570,017) **P**
Rockefeller Access Fund 06-I, LLC		(1,564) **P**

Stock Contribution

		Date Acquired by donor	Contribution Date Received	Contribution Date Sold	Gross Sales	Cost	
6,093 shares Cisco System Inc	*	5/18/2007	10/24/2019	10/28/2019	288,626	392	288,234 **D**
4,170 shares Home Depot Inc	*	5/18/2007	10/24/2019	10/28/2019	979,421	35,099	944,322 **D**
				Total Part IV, line 2			**$ 2,009,091**

* It is the Fund's policy to sell all donated securities as soon as practicable following receipt so that proceeds can be used for charitable purposes

Method of Acquisition: **D** = donated **P** = purchased

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

STATEMENT 3
FORM 990-PF
YEAR 2019

Schedule of Other Income

Part I, line 11, col. a & b	Column (a) Other Income	Column (b) Other Income
Misc Income - Investment Related		
Libra Fossil Fuel Free Fund, LP	$ (49,257)	$ -
Rockefeller Access Fund 06-I, LLC	$ (34)	$ -
Rockefeller Alternative Strategies Fund, (LP)	$ 1,777	$ -
	$ (47,514)	$ -
Other Income/(Loss) per Limited Partnerships K-1s		
Libra Fossil Fuel Free Fund, LP		$ 91,479
Rockefeller Access Fund 06-I, LLC		$ (4,824)
New Energy Capital Infrastructure Credit Fund II LP		$ 6,169
		$ 92,824
Other Income - Total Part I, line 11,col (a) & (b)	**$ (47,514)**	**$ 92,824**

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

Form 990-PF: Return of Private Foundation

Other Income · 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	-47,514.	92,824.	
Total	-47,514.	92,824.	

Form 990-PF: Return of Private Foundation

Taxes : 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	100,448.			
FOREIGN TAXES PAID-THROUGH LIMITED PARTNERSHIPS		48,141.		
Total	100,448.	48,141.		

Form 990-PF: Return of Private Foundation

Other Expenses : Part I, Line 23 **Continuation Statement**

Description	Revenue and Expense per Book	Net Investment Income	Adjusted Net Income	Disbursement for charitable purpose
Telephone & Internet	2,751.	133.		2,636.
Insurance	12,350.	597.		12,546.
Gen. Office Exp: Dues & Memberships	3,029.	142.		3,489.
Gen. Office Exp:Payroll Fees	8,070.	390.		8,070.
Gen. Office Exp: Maintenance & Repairs	28,987.	1,400.		31,067.
Office & Computer Equipment	2,703.	131.		3,078.
General Office Exp. - Others	10,259.	478.		13,526.
Rockefeller Capital Management: Partnership fees	197,596.	228,287.		0.
Gen. Office Exp:Aperio ADR fees	8,220.	8,220.		8,220.
Total	273,965.	239,778.		82,632.

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 services	17,226.			13,837.
Milbank, Tweed, Hadley & McCloy	Legal services	13,522.			20,950.
Liebowitz Law Firm, PLLC	Settlement	8,000.			8,000.
Total to Form 990-PF, Part I, Line 16a		38,748.			42,787.

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
PKF O'CONNOR DAVIES LLP	TAX	9,670.	169.		2,901.
PKF O'CONNOR DAVIES LLP	AUDIT	16,400.	11,480.		4,520.
Grant Thornton	Audit Services of Non-Profits(k)plan	530.			530.
					0.
Total to Form 990-PF, Part I, Line 16b		26,600.	11,649.		7,951.

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
Kayode Oseni	fellow tuition reimbursement	4,000.			4,000.
Sageview Advisory Group	Advisory Svc 401K Plan	159.			201.
Bethany Wall	30th Anniversary History Project	43,700.			43,700.
CBIZ	HR Benefit services	1,056.			1,674.
Ventucom	IT services	22,842.			26,308.
GEMTrainers, LLC	Participatory Grantmaking Committee Engagement	2,500.			2,500.
Devon Simmons	Participatory Grantmaking Committee Engagement	2,500.			2,500.
The Interchurch Center	medical services	75.			75.
Laura Tinen	Participatory Grantmaking Committee Engagement	2,500.			2,500.
Everette Hamlette	Filming & editing videos	800.			800.
See Statement 1A	See Line 16c - Other Professional Fees	242,346.	230,209.		22,600.
Total to Form 990-PF, Part I, Line 16c		322,478.	230,209.		106,858.

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	7,556.	7,556.
ROCKEFELLER ACCESS FUND 06-1	286,545.	286,545.
ROCKEFELLER LIBRA FOSSIL FUEL FREE L.P.	15,238,578.	15,238,578.
See L-13 Stmt Continuation See Statement 1A	23,182,995.	23,182,995.
Totals to Form 990-PF, Part II, Line 13	38,715,674.	38,715,674.

Additional information from your 2019 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
Leyla Martinez	Participatory Grantmaking Committee Honorarium	2,500.			2,500.
Moses McBride	Participatory Grantmaking Committee Honorarium	2,500.			2,500.
Steven Pacheco	Participatory Grantmaking Committee Honorarium	2,500.			2,500.
Roy Waterman	Participatory Grantmaking Committee Honorarium	2,500.			2,500.
Mantle314, Inc	Briefing on climate to Board Committee	1,000.			1,000.
PKF O'CONNOR DAVIES LLP	Dark Web monitoring services	1,000.			1,000.
Brianna Goodman	Website updates	80.			0.
Vanguard	401K custodian	57.			0.
FMI Corp	Compensation review	0.			10,600.
Rockefeller Capital Management	Investment Management	199,376.	199,376.		0.
JP MORGAN CHASE	CUSTODY FEES	29,434.	29,434.		0.
State Street	CUSTODY FEES	1,399.	1,399.		0.
	Total	242,346.	230,209.		22,600.

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
FIXED INCOME - CRA QUALIFIED INVESTMENT FUND	7,461,750.	7,461,750.
PARNASSUS FUND INSTITUTIONAL SHARES	8,781,359.	8,781,359.
PAX GLOBAL ENVIRONMENTAL MARKETS FUND	6,375,950.	6,375,950.
APERIO	340,716.	340,716.
NEW ENERGY CAPITAL INFRASTRUCTURE	223,220.	223,220.
Total	23,182,995.	23,182,995.

SCHEDULE OF DEPRECIATION

Part I, line 19

	ASSETS					ACCUMULATED DEPRECIATION		
Description	Beginning of Year	P/Y Adj	2019 Acquisitions	2019 Dispositions	End of Year	Reserve, beginning of Year	**2019 Depreciation (Part 1, line 19)**	Reserve, end of Year
Office Equipment	10,238		0		10,238	1,463	**1,462**	2,925
Computer Equipment & Software	6,354		0		6,354	4,533	**607**	5,140
	16,592	-	-	-	16,592	5,996	**2,069**	8,065

Schedule of Investments

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

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 Cost	line 10b Corporate Stock Market Value	line 10c Corporate Bonds Cost	line 10c Corporate Bonds Market Value
12/31/2019	Atlanta Georgia Development Authority 1 871% Due 12/01/2020	75,000 00	99 92	74,199	74,941		-	-	-
12/31/2019	Contra Costa California Cmnty Clg Dist BAB 6 504% Due 08/01/2034	75,000 00	133 84	98,004	100,380		-	-	-
12/31/2019	Government National Mortgage Association G2 MA3033 3 00% Due 08/20/2045	51,620 78	103 37	51,195	53,361		-	-	-
12/31/2019	Government National Mortgage Association G2 MA4321 3 50% Due 3/20/2047	67,937 41	104 04	68,645	70,684		-	-	-
12/31/2019	Government National Mortgage Association G2 MA4901 4 00% Due 12/20/2047	39,631 60	104 41	40,618	41,381		-	-	-
12/31/2019	Massachusetts State Water Resources 1 734% Due 08/01/2022	150,000 00	99 26	150,000	148,884		-	-	-
12/31/2019	New York State Environmental Facilities 2 72% Due 07/15/2030	25,000 00	101 46	23,864	25,364		-	-	-
12/31/2019	Oregon State 2 65% Due 01/01/2021	105,000 00	100 89	104,565	105,935		-	-	-
12/31/2019	San Francisco City & Cnty California 1 55% Due 06/15/2022	150,000 00	99 11	150,000	148,665		-	-	-
12/31/2019	Treasury Bill 0 00% Due 01/30/2020	380,000 00	99 89	379,564	379,570		-	-	-
12/31/2019	Treasury Bill 0 00% Due 09/10/2020	167,000 00	98 94	164,986	165,223		-	-	-
12/31/2019	Univ of North Carolina North Carolina 3 327% Due 12/01/2036	150,000 00	105 05	153,208	157,583		-	-	-
12/31/2019	University Of California CA Regents Med 1 62% Due 05/15/2021	70,000 00	99 57	68,658	69,700		-	-	-
12/31/2019	US Treasury N/B 1 125% Due 09/30/2021	416,000 00	99 20	412 039	412,652		-	-	-
12/31/2019	US Treasury N/B 1 125% Due 09/30/2021	252,000 00	99 20	249 601	249,972		-	-	-
12/31/2019	US Treasury N/B 1 25% Due 03/31/2021	141,000 00	99 54	140 173	140,356		-	-	-
12/31/2019	US Treasury N/B 1 50% Due 09/15/2022	495,000 00	99 77	494 220	493,859		-	-	-
12/31/2019	US Treasury N/B 1 625% Due 09/30/2026	133,000 00	98 81	132 940	131 413		-	-	-
12/31/2019	US Treasury N/B 1 875% Due 07/31/2022	195,000 00	100 71	195 230	196,379		-	-	-
12/31/2019	US Treasury N/B 2 00% Due 12/31/2021	410,000 00	100 80	413 395	413 283		-	-	-
12/31/2019	US Treasury N/B 2 00% Due 12/31/2021	242,000 00	100 80	244,004	243,938		-	-	-
12/31/2019	US Treasury N/B 2 125% Due 06/30/2021	409,000 00	100 79	411 445	412 227		-	-	-
12/31/2019	US Treasury N/B 2 125% Due 06/30/2021	245,000 00	100 79	246,464	246 933		-	-	-
12/31/2019	US Treasury N/B 2 25% Due 03/31/2020	405,000 00	100 14	404,470	405 569		-	-	-
12/31/2019	US Treasury N/B 2 25% Due 03/31/2020	247,000 00	100 14	246,680	247 347		-	-	-
12/31/2019	US Treasury N/B 2 25% Due 03/31/2021	409,000 00	100 76	407,685	412 115		-	-	-
12/31/2019	US Treasury N/B 2 25% Due 03/31/2021	248,000 00	100 76	247,203	249 889		-	-	-
12/31/2019	US Treasury N/B 2 375% Due 12/31/2020	403,000 00	100 71	401,393	405,849		-	-	-
12/31/2019	US Treasury N/B 2 375% Due 12/31/2020	247,000 00	100 71	246,142	248,746		-	-	-
12/31/2019	US Treasury N/B 2 50% Due 02/15/2045	151,000 00	102 27	138,307	154,433		-	-	-
12/31/2019	US Treasury N/B 2 50% Due 06/30/2020	403,000 00	100 42	402,360	404,700		-	-	-
12/31/2019	US Treasury N/B 2 50% Due 06/30/2020	250,000 00	100 42	249,548	251,055		-	-	-
12/31/2019	US Treasury N/B 2 625% Due 03/31/2025	185,000 00	104 59	181,740	193,491		-	-	-
12/31/2019	US Treasury N/B 2 75% Due 02/15/2028	81,000 00	106 61	79,642	86,357		-	-	-
12/31/2019	US Treasury N/B 2 75% Due 09/15/2021	395,000 00	101 92	396,984	402,576		-	-	-
12/31/2019	US Treasury N/B 2 75% Due 09/30/2020	403,000 00	100 80	402,725	406,243		-	-	-
12/31/2019	US Treasury N/B 2 75% Due 09/30/2020	245,000 00	100 80	244,924	246,972		-	-	-
12/31/2019	US Treasury N/B 2 875% Due 11/15/2021	88,000 00	102 36	88,530	90,076		-	-	-
12/31/2019	3M Co	95 00	176 42			16,516	16,760		

Schedule of Investments

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

As of Date	Security Name	Shares/Par	Price	line 10a U.S. & State Gov't Obligations		line 10b Corporate Stock		line 10c Corporate Bonds	
				Cost	Market Value	Cost	Market Value	Cost	Market Value
12/31/2019	51JOB Inc - ADR	92 00	84 90			7,071	7,811		
12/31/2019	58 com Inc (ADR)	262 00	64 73			14,176	16,959		
12/31/2019	AAC Technologies Holdings Inc Unsponsored ADR	2,315 00	8 73			13,725	20,203		
12/31/2019	ABB Ltd - Spon ADR	1,096 00	24 09			22,082	26,403		
12/31/2019	Abbott Laboratories	608 00	86 86			51,533	52,811		
12/31/2019	AbbVie Inc	564 00	88 54			39,672	49,937		
12/31/2019	ABFSAmbev SA - ADR	3,736 00	4 66			17,608	17,410		
12/31/2019	Abiomed, Inc	42 00	170 59			9,204	7,165		
12/31/2019	Accenture Plc	338 00	210 57			63,967	71,173		
12/31/2019	Activision Blizzard, Inc	230 00	59 42			10,956	13,667		
12/31/2019	Adidas AG - Sponsored ADR	108 00	162 65			16,818	17,566		
12/31/2019	Adobe Inc	142 00	329 81			42,210	46,833		
12/31/2019	Advanced Micro Devices Inc	331 00	45 86			10,264	15,180		
12/31/2019	Aflac, Inc	183 00	52 90			10,225	9,681		
12/31/2019	AGC Inc - Unsp ADR	2,725 00	7 23			18,955	19,709		
12/31/2019	Agnico-Eagle Mines Limited	272 00	61 61			13,739	16,758		
12/31/2019	AIA Group Ltd Spon ADR	970 00	41 99			42,506	40,733		
12/31/2019	Air Lease Corporation	109 00	47 52			4,499	5,180		
12/31/2019	Air Liquide - Unspon ADR	1,562 00	28 33			38,924	44,254		
12/31/2019	Air Products and Chemicals, Inc	97 00	234 99			22,147	22,794		
12/31/2019	Airbus Group NV - Unspons ADR	836 00	36 62			29,249	30,611		
12/31/2019	Albemarle Corporation	224 00	73 04			15,417	16,361		
12/31/2019	Alcoa Corp	872 00	21 51			20,233	18,757		
12/31/2019	Alex & Baldwin Inc	749 00	20 96			17,457	15,699		
12/31/2019	Alexion Pharmaceuticals, Inc	31 00	108 15			4,057	3,353		
12/31/2019	Alfa Laval AB Unsponsored ADR	499 00	25 20			10,884	12,575		
12/31/2019	Alibaba Group Holding Ltd	605 00	212 10			102,826	128,321		
12/31/2019	Align Technology, Inc	76 00	279 04			16,203	21,207		
12/31/2019	Allegheny Technologies, Inc	831 00	20 66			17,986	17,168		
12/31/2019	Allegion PLC	176 00	124 54			17,970	21,919		
12/31/2019	Allergan Plc	117 00	191 17			19,699	22,367		
12/31/2019	Alliance Data Systems Corporation	30 00	112 20			4,240	3,366		
12/31/2019	Allianz SE - ADR	2,170 00	24 52			51,097	53,198		
12/31/2019	Allstate Corporation	275 00	112 45			28,467	30,924		
12/31/2019	Ally Financial Inc	325 00	30 56			10,155	9,932		
12/31/2019	Alphabet Inc - Class A	194 00	1339 39			220,008	259,842		
12/31/2019	Altria Group, Inc	873 00	49 91			41,834	43,571		
12/31/2019	Amadeus IT Holding - Unsponsored ADR	333 00	81 72			26,387	27,212		
12/31/2019	Amazon Com Inc	142 00	1847 84			267,394	262,393		
12/31/2019	Amdocs Limited	256 00	72 19			15,849	18,481		

Schedule of Investments

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

As of Date	Security Name	Shares/Par	Price	line 10a U S & State Gov't Obligations		line 10b Corporate Stock		line 10c Corporate Bonds	
				Cost	Market Value	Cost	Market Value	Cost	Market Value
12/31/2019	American Express Co	253 00	124 49			31,523	31,496		
12/31/2019	American International Group	295 00	51 33			15,768	15,142		
12/31/2019	American Water Works Co , Inc	137 00	122 85			15,912	16,830		
12/31/2019	AmerisourceBergen Corporation	44 00	85 02			3,742	3,741		
12/31/2019	Ametek Inc	159 00	99 74			13,833	15,859		
12/31/2019	Amgen Inc	202 00	241 07			37,594	48,696		
12/31/2019	Analog Devices, Inc	158 00	118 84			17,858	18,777		
12/31/2019	Anheuser-Busch Inbev Spons Adr	289 00	82 04			25,828	23,710		
12/31/2019	Anhui Conch Cement Compant Limited ADR	164 00	36 45			5,220	5,978		
12/31/2019	Anthem Inc	102 00	302 03			28,953	30,807		
12/31/2019	Apple Inc	1,567 00	293 65			317,166	460,150		
12/31/2019	Applied Materials Inc	272 00	61 04			12,168	16,603		
12/31/2019	Arconic Inc	510 00	30 77			13,390	15,693		
12/31/2019	Arkema - Spons ADR	200 00	106 30			18,557	21,260		
12/31/2019	Asahi Kasei Corp - Unspons ADR	209 00	22 71			4,615	4,746		
12/31/2019	Ashtead Group Plc - ADR	282 00	127 92			31,782	36,073		
12/31/2019	ASML Holdings NV NY Reg Shs ADR	162 00	295 94			35,027	47,942		
12/31/2019	Assa Abloy AB - Unsponsored ADR	2,728 00	11 70			30,787	31,911		
12/31/2019	AstraZeneca Group Plc - Spons ADR	990 00	49 86			42,163	49,361		
12/31/2019	AT&T Inc	3,030 00	39 08			102,256	118,412		
12/31/2019	Australia and New Zealand Banking Group Limited Sponsored ADR	1,987 00	17 31			38,217	34,402		
12/31/2019	Autodesk, Inc	111 00	183 46			17,048	20,364		
12/31/2019	Automatic Data Processing	313 00	170 50			51,366	53,367		
12/31/2019	Autozone Inc	10 00	1191 31			11,043	11,913		
12/31/2019	Avangrid Inc	305 00	51 16			15,431	15,604		
12/31/2019	Avanos Medical Inc	255 00	33 70			8,765	8,594		
12/31/2019	Aviva PLC - Sponsored ADR	2,996 00	11 09			32,709	33,236		
12/31/2019	AXA SA - Sponsored ADR	1,290 00	28 19			33,026	36,360		
12/31/2019	Axalta Coating Systems Ltd	470 00	30 40			14,195	14,288		
12/31/2019	Bae Systems PLC - Spon ADR	710 00	29 93			18,427	21,249		
12/31/2019	Baidu com, Inc	113 00	126 40			13,375	14,283		
12/31/2019	Banco Bradesco Spon ADR	2,147 00	8 95			21,104	19,216		
12/31/2019	Banco do Brasil S A - Sponsored ADR	826 00	13 13			11,553	10,846		
12/31/2019	Banco Santander Brasil- ADR	1,578 00	12 13			17,574	19,141		
12/31/2019	Banco Santander, S A	3,471 00	4 14			15,949	14,370		
12/31/2019	Bancolombia S A Sponsored ADR	1,536 00	54 79			76,801	84,157		
12/31/2019	Bank of America Corporation	2,731 00	35 22			79,826	96,186		
12/31/2019	Bank of Montreal	931 00	77 50			69,312	72,153		
12/31/2019	Bank of New York Mellon Corporation	314 00	50 33			14,470	15,804		
12/31/2019	Bank of Nova Scotia	649 00	56 49			35,004	36,662		

Schedule of Investments

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

As of Date	Security Name	Shares/Par	Price	line 10a U S & State Gov't Obligations		line 10b Corporate Stock		line 10c Corporate Bonds	
				Cost	Market Value	Cost	Market Value	Cost	Market Value
12/31/2019	Barclays PLC-Spons ADR	1,103 00	9 52			8,512	10,501		
12/31/2019	Barrick Gold Corporation	904 00	18 59			13,767	16,805		
12/31/2019	Baxter Int'l Inc	132 00	83 62			10,736	11,038		
12/31/2019	Bayer AG Sponsored ADR	2,200 00	20 43			37,047	44,951		
12/31/2019	BCE Inc	321 00	46 35			14,657	14,878		
12/31/2019	Becton Dickinson & Co	62 00	271 97			15,666	16,862		
12/31/2019	Best Buy Co , Inc	53 00	87 80			3,844	4,653		
12/31/2019	Biogen Idec Inc	56 00	296 73			13,170	16,617		
12/31/2019	BlackBerry Limited	1,063 00	6 42			7,901	6,824		
12/31/2019	BlackRock, Inc Class A	9 00	502 70			4,230	4,524		
12/31/2019	BNP Paribas - ADR	986 00	29 65			22,932	29,236		
12/31/2019	Boeing Co	205 00	325 76			71,594	66,781		
12/31/2019	Booking Holdings Inc	21 00	2053 73			39,412	43,128		
12/31/2019	Brasil Distr Pao Acu - Sp ADR	393 00	21 87			9,402	8,595		
12/31/2019	BRF-Brasil Foods SA ADR	1,352 00	8 70			11,698	11,762		
12/31/2019	Bright Horizons Family Solutions Inc	84 00	150 29			12,843	12,624		
12/31/2019	Bristol Myers Squibb Co	674 00	64 19			34,022	43,264		
12/31/2019	British American Tobacco plc - sp ADR	1,200 00	42 46			43,982	50,952		
12/31/2019	Broadcom Inc	131 00	316 02			37,917	41,399		
12/31/2019	Broadridge Financial Solutions LLC	61 00	123 54			7,943	7,536		
12/31/2019	Brown-Forman Corporation - CL B	138 00	67 60			7,805	9,329		
12/31/2019	Bunge Limited	209 00	57 55			12,036	12,028		
12/31/2019	Bunzl plc-Sponsored ADR	495 00	27 36			13,286	13,541		
12/31/2019	Burberry Group PLC Spon ADR	466 00	29 21			12,867	13,612		
12/31/2019	BWX Technologies, Inc	93 00	62 08			4,787	5,773		
12/31/2019	BYD Company Limited - Unsponsored ADR	652 00	9 97			8,119	6,502		
12/31/2019	Cabot Corporation	471 00	47 52			20,033	22,382		
12/31/2019	Canadian Imperial Bank of Commerce	985 00	83 20			76,841	81,952		
12/31/2019	Canadian National Railway Company	718 00	90 45			67,004	64,943		
12/31/2019	Canadian Pacific Railway Ltd	170 00	254 95			39,921	43,342		
12/31/2019	Canon Inc - Sponsored ADR	974 00	27 35			26,870	26,639		
12/31/2019	Capital One Financial Corp	195 00	102 91			17,787	20,067		
12/31/2019	Cardinal Health, Inc	256 00	50 58			11,737	12,948		
12/31/2019	Carnival Corporation	331 00	50 83			15,209	16,825		
12/31/2019	Caterpillar Inc	167 00	147 68			22,673	24,663		
12/31/2019	CBRE Group, Inc	328 00	61 29			17,181	20,103		
12/31/2019	CDW Corporation of Delaware	112 00	142 84			12,570	15,998		
12/31/2019	Cemig SA -Sponsored ADR	3,720 00	3 41			12,024	12,685		
12/31/2019	Centerpoint Energy Inc	769 00	27 27			22,059	20,971		
12/31/2019	Central Japan Railway Unsponsored ADR	1,180 00	20 24			23,449	23,888		

Schedule of Investments

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

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 Cost	line 10b Corporate Stock Market Value	line 10c Corporate Bonds Cost	line 10c Corporate Bonds Market Value
12/31/2019	CenturyLink Inc	400 00	13 21			4,689	5,284		
12/31/2019	Cerner Corporation	116 00	73 39			8,673	8,513		
12/31/2019	CF Industries Holdings Inc	269 00	47 74			12,438	12,842		
12/31/2019	Charter Communications Inc Class A Shares	40 00	485 08			15,903	19,403		
12/31/2019	Chemed Corporation	12 00	439 26			4,356	5,271		
12/31/2019	China Life Insurance Co , Limited ADR	501 00	13 83			6,324	6,929		
12/31/2019	China Lodging Group Sponsored ADR	480 00	40 07			15,613	19,234		
12/31/2019	China Merchants Bank Co - ADR	696 00	25 70			17,396	17,887		
12/31/2019	China Mobile (Hong Kong) Limited Sp ADR	1,343 00	42 27			58,747	56,769		
12/31/2019	China Unicom - ADR	798 00	9 36			8,822	7,469		
12/31/2019	Chipotle Mexican Grill	6 00	837 11			4,367	5,023		
12/31/2019	Chubb Limited	66 00	155 66			9,758	10,274		
12/31/2019	Chunghwa Telecom Ltd ADR	920 00	36 90			33,651	33,948		
12/31/2019	CIA Cervecerias Unidas - ADR	602 00	18 97			16,864	11,420		
12/31/2019	Cisco Systems, Inc	1,366 00	47 96			74,269	65,513		
12/31/2019	Citigroup Inc	727 00	79 89			50,433	58,080		
12/31/2019	Citizens Financial Group Inc	118 00	40 61			4,168	4,792		
12/31/2019	CME Group Inc	39 00	200 72			7,776	7,828		
12/31/2019	CNH Industrial NV	1,237 00	11 00			12,736	13,607		
12/31/2019	Coca Cola Company	1,562 00	55 35			80,961	86,457		
12/31/2019	Cognizant Technology Solutions Corp	199 00	62 02			12,720	12,342		
12/31/2019	Colfax Corporation	631 00	36 38			16,351	22,956		
12/31/2019	Colgate-Palmolive	230 00	68 84			16,610	15,833		
12/31/2019	Coloplast A/S - Unsponsored ADR	1,110 00	12 41			12,870	13,780		
12/31/2019	Comcast Corporation - CL A	1,611 00	44 97			68,465	72,447		
12/31/2019	Commercial Metals Company	215 00	22 27			3,847	4,788		
12/31/2019	Commonwealth Bank of Australia Unsponsored ADR	1,038 00	56 17			58,682	58,300		
12/31/2019	Compagnie Financiere Richemont SA Unsponsored ADR	1,770 00	7 85			14,750	13,903		
12/31/2019	Companhia de Saneamento Basico do Estado de Sao Paulo - ADR	1,187 00	15 05			16,332	17,864		
12/31/2019	Companhia Siderurgica Nacional S Adr	969 00	3 45			4,276	3,343		
12/31/2019	Compass Minerals International, Inc	273 00	60 96			15,036	16,642		
12/31/2019	Conduent Inc	1,299 00	6 20			12,477	8,054		
12/31/2019	Consolidated Edison	393 00	90 47			34,196	35,555		
12/31/2019	Constellation Brands, Inc	62 00	189 75			12,130	11,765		
12/31/2019	Corelogic, Inc	306 00	43 71			14,003	13,375		
12/31/2019	Corning Inc	564 00	29 11			17,228	16,418		
12/31/2019	Corteva Inc	436 00	29 56			13,680	12,888		
12/31/2019	CoStar Group Inc	27 00	598 30			15,205	16,154		
12/31/2019	Costco Wholesale Corporation	199 00	293 92			52,970	58,490		
12/31/2019	Covestro AG - ADR	592 00	23 26			14,833	13,772		

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12/31/2019	Credicorp Limited	93 00	213 13			20,348	19,821		
12/31/2019	Credit Suisse Group - Spon ADR	1,543 00	13 45			18,484	20,753		
12/31/2019	CSL Limited - Sponsored ADR	492 00	96 92			37,964	47,686		
12/31/2019	CSX Corporation	227 00	72 36			17,726	16,426		
12/31/2019	Cummins Engine Inc	93 00	178 96			14,725	16,643		
12/31/2019	CVS Health Corporation	719 00	74 29			39,426	53,415		
12/31/2019	Dai Nippon Printing Co , Ltd - ADR	2,234 00	13 62			23,087	30,424		
12/31/2019	Daiichi Sankyo Company Ltd	286 00	66 51			15,848	19,022		
12/31/2019	Daikin Industries, Ltd Unsponsored ADR	2,950 00	14 22			38,328	41,939		
12/31/2019	Daimler AG Unsponsored- ADR	5,412 00	13 85			71,587	74,980		
12/31/2019	Daito Trust Construction Co , Ltd Sponsored ADR	228 00	31 01			7,104	7,070		
12/31/2019	Daiwa House Industry Co , Ltd Unsponsored ADR	940 00	31 19			27,566	29,322		
12/31/2019	Danaher Corporation	116 00	153 48			16,697	17,804		
12/31/2019	Danone S A Sponsored ADR	2,880 00	16 59			48,963	47,781		
12/31/2019	Darden Restaurants, Inc	85 00	109 01			10,292	9,266		
12/31/2019	Dassault Systems S A - ADR	187 00	164 50			29,286	30,762		
12/31/2019	DBS Group Holdings - Spon ADR	795 00	76 99			61,173	61,204		
12/31/2019	Deere & Company	92 00	173 26			15,094	15,940		
12/31/2019	Deutsche Bank AG - Reg ADR	2,336 00	7 78			18,201	18,174		
12/31/2019	Diageo Plc - sponsored ADR	330 00	168 42			55,953	55,579		
12/31/2019	DNB ASA Sponsor ADR	3,097 00	18 66			56,129	57,800		
12/31/2019	Dollar General Corp	132 00	155 98			17,672	20,589		
12/31/2019	Dollar Tree, Inc	47 00	94 05			5,133	4,420		
12/31/2019	Dominion Energy Inc	1,250 00	82 82			95,955	103,525		
12/31/2019	Dow Inc	337 00	54 73			15,790	18,444		
12/31/2019	Dr Reddy's Laboratories Limited - ADR	525 00	40 58			19,202	21,305		
12/31/2019	DTE Energy Company	240 00	129 87			30,845	31,169		
12/31/2019	Duke Energy Corporation	245 00	91 21			21,614	22,346		
12/31/2019	DuPont de Nemours Inc	399 00	64 20			27,404	25,616		
12/31/2019	DXC Technology Co	233 00	37 59			12,919	8,758		
12/31/2019	Dycom Industries, Inc	81 00	47 15			4,823	3,819		
12/31/2019	Eastman Chemical Company	70 00	79 26			5,518	5,548		
12/31/2019	Eaton Corporation PLC	246 00	94 72			19,789	23,301		
12/31/2019	eBay Inc	334 00	36 11			13,292	12,061		
12/31/2019	Ecolab Inc	77 00	192 99			15,087	14,860		
12/31/2019	Edison International	189 00	75 41			12,654	14,252		
12/31/2019	Edwards Lifesciences Corporation	76 00	233 29			16,179	17,730		
12/31/2019	Eisai Co , Ltd - Sponsored ADR	199 00	75 49			12,972	15,023		
12/31/2019	Elbit Systems Ltd	54 00	155 06			8,069	8,373		
12/31/2019	Electronic Arts Inc	40 00	107 51			4,047	4,300		

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12/31/2019	Eli Lilly & Co	176 00	131 43			19,835	23,132		
12/31/2019	EMCOR Group, Inc	47 00	86 30			4,113	4,056		
12/31/2019	Emerson Electric Co	285 00	76 26			18,826	21,734		
12/31/2019	Equifax Inc	33 00	140 12			4,479	4,624		
12/31/2019	Erste Group Bank AG - ADR	410 00	18 84			7,522	7,723		
12/31/2019	Essilor International SA ADR	190 00	76 22			12,241	14,481		
12/31/2019	Exact Sciences Corporation	68 00	92 48			7,935	6,289		
12/31/2019	Exelon Corporation	279 00	45 59			13,460	12,720		
12/31/2019	Experian PLC - Spons ADR	967 00	33 81			29,435	32,692		
12/31/2019	Facebook Inc	777 00	205 25			148,999	159,479		
12/31/2019	Fast Retailing Co Ltd - ADR	180 00	59 81			11,021	10,766		
12/31/2019	FedEx Corporation	84 00	151 21			13,560	12,702		
12/31/2019	Ferrari NV	156 00	165 54			25,218	25,824		
12/31/2019	Fiat Chrysler Automobiles NV	729 00	14 69			10,140	10,709		
12/31/2019	Fidelity National Information	212 00	139 09			26,319	29,487		
12/31/2019	Fifth Third Bancorp	627 00	30 74			17,717	19,274		
12/31/2019	First Republic Bank	171 00	117 45			16,507	20,084		
12/31/2019	Fiserv, Inc	167 00	115 63			15,449	19,310		
12/31/2019	FMC Corporation	53 00	99 82			4,448	5,290		
12/31/2019	FNF Group	248 00	45 35			10,050	11,247		
12/31/2019	Fomento Economico Mexicano, S A -Sp ADR	249 00	94 51			22,637	23,533		
12/31/2019	Ford Motor Company	1,102 00	9 30			11,120	10,249		
12/31/2019	Fortive Corporation	265 00	76 39			19,847	20,243		
12/31/2019	Fresenius SE & Co KGaA - Sponsored ADR	308 00	14 08			4,231	4,337		
12/31/2019	FUJIFILM Holdings- Unspon ADR	206 00	48 13			10,583	9,914		
12/31/2019	Fujitsu Limited - Unsponsored ADR	765 00	18 90			10,758	14,459		
12/31/2019	GEA Group AG - Spon ADR	133 00	33 09			3,751	4,401		
12/31/2019	Geely Automobile Holdings- ADR	830 00	39 12			28,293	32,468		
12/31/2019	General Electric Co	4,980 00	11 16			51,555	55,577		
12/31/2019	General Mills, Inc	79 00	53 56			4,213	4,231		
12/31/2019	Genuine Parts Company	165 00	106 23			15,714	17,528		
12/31/2019	Gildan Activewear Inc	408 00	29 53			15,855	12,048		
12/31/2019	Gilead Sciences Inc	627 00	64 98			41,579	40,742		
12/31/2019	GlaxoSmithKline PLC - ADR	1,302 00	46 99			53,008	61,181		
12/31/2019	Global Payments Inc	72 00	182 56			11,589	13,144		
12/31/2019	Goldman Sachs Group, Inc	70 00	229 93			14,389	16,095		
12/31/2019	Grainger W W Inc	30 00	338 52			7,951	10,156		
12/31/2019	GrubHub, Inc	105 00	48 64			7,912	5,107		
12/31/2019	Grupo Aeroportuario Del - ADR	196 00	118 61			19,839	23,248		
12/31/2019	Grupo Aeroportuario del Sureste S A de C V - ADR	67 00	187 39			10,816	12,555		

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12/31/2019	Grupo Financiero Banorte SAB Sponsored ADR	592 00	27 95			17,344	16,546		
12/31/2019	Hang Lung Properties Ltd - Sponsored ADR	1,865 00	10 97			22,473	20,465		
12/31/2019	Hang Seng Bank- ADR	611 00	20 66			13,404	12,625		
12/31/2019	Hasbro, Inc	36 00	105 61			3,816	3,802		
12/31/2019	HCA Healthcare Inc	87 00	147 81			11,721	12,859		
12/31/2019	Healthcare Services Group	494 00	24 32			11,717	12,014		
12/31/2019	HENKEL AG & CO/S ADR	764 00	23 57			17,693	18,009		
12/31/2019	Herman Miller, Inc	282 00	41 65			12,307	11,745		
12/31/2019	Hershey Foods Corp	71 00	146 98			9,662	10,436		
12/31/2019	Hewlett Packard Enterprise Company	286 00	15 86			4,316	4,536		
12/31/2019	Hexagon AB - Unsponsored ADR	203 00	56 08			11,332	11,385		
12/31/2019	Hilton Worldwide Holdings Inc	126 00	110 91			12,528	13,975		
12/31/2019	Hitachi, Ltd - ADR	545 00	85 13			40,015	46,398		
12/31/2019	Home Depot Inc	417 00	218 38			87,521	91,064		
12/31/2019	Honda Motor Co , Ltd	739 00	28 31			19,295	20,921		
12/31/2019	Honeywell International Inc	230 00	177 00			39,893	40,710		
12/31/2019	Hong Kong Exchanges & Clearing Limited Unsponsored Adr	842 00	32 47			30,202	27,340		
12/31/2019	Howard Hughes Corporation	271 00	126 80			34,810	34,363		
12/31/2019	Hoya Corporation	159 00	96 16			12,098	15,289		
12/31/2019	HP Inc	618 00	20 55			12,950	12,700		
12/31/2019	HSBC Holdings plc - Spons ADR	1,326 00	39 09			55,609	51,833		
12/31/2019	Humana Inc	64 00	366 52			16,567	23,457		
12/31/2019	Iberdrola S A - Sponsored ADR	1,410 00	41 22			55,274	58,118		
12/31/2019	Icici Bank Limited - Spon ADR	2,649 00	15 09			34,280	39,973		
12/31/2019	Idexx Laboratories Inc	15 00	261 13			4,204	3,917		
12/31/2019	IHS Markit Ltd	305 00	75 35			19,694	22,982		
12/31/2019	Illinois Tool Works Inc	87 00	179 63			13,032	15,628		
12/31/2019	Illumina, Inc	45 00	331 74			16,610	14,928		
12/31/2019	Imperial Brands PLC - ADR	667 00	24 76			16,114	16,515		
12/31/2019	Industria de Diseno Textil, S A Unsponsored ADR	2,092 00	17 65			31,270	36,927		
12/31/2019	Infineon Technologies AG - ADR	675 00	22 80			12,238	15,389		
12/31/2019	Informa Plc- ADR	825 00	22 71			17,346	18,733		
12/31/2019	Infosys Technologies Limited	1,497 00	10 32			16,066	15,449		
12/31/2019	Ingersoll-Rand Plc	96 00	132 92			11,613	12,760		
12/31/2019	Insperity, Inc	164 00	86 04			16,899	14,111		
12/31/2019	Intel Corp	1,554 00	59 85			74,798	93,007		
12/31/2019	InterDigital, Inc	232 00	54 49			13,579	12,642		
12/31/2019	Int'l Business Machines Corp	235 00	134 04			32,813	31,499		
12/31/2019	Intuit Corp	89 00	261 93			23,518	23,312		
12/31/2019	Intuitive Surgical, Inc	23 00	591 15			12,154	13,596		

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12/31/2019	iQIYI, Inc - ADR	330 00	21 11			6,918	6,966		
12/31/2019	IQVIA Holdings Inc	78 00	154 51			12,535	12,052		
12/31/2019	Israel Chemicals Ltd	3,472 00	4 79			18,571	16,631		
12/31/2019	J P Morgan Chase & Co	508 00	139 40			57,703	70,815		
12/31/2019	Jack Henry & Associates, Inc	121 00	145 67			16,651	17,626		
12/31/2019	Jacobs Engineering Group, Inc	46 00	89 83			3,898	4,132		
12/31/2019	JBS S A - ADR	381 00	12 83			4,447	4,887		
12/31/2019	JD com Inc - ADR	441 00	35 23			13,835	15,536		
12/31/2019	Johnson & Johnson	814 00	145 87			110,790	118,738		
12/31/2019	Johnson Controls International PLC	394 00	40 71			16,450	16,040		
12/31/2019	Jones Lang LaSalle Inc	125 00	174 09			17,880	21,761		
12/31/2019	Julius Baer Group Ltd - Unsponsored ADR	2,285 00	10 31			19,284	23,564		
12/31/2019	Kansas City Southern	163 00	153 16			19,856	24,965		
12/31/2019	Kao Corp - ADR	2,580 00	16 61			38,724	42,852		
12/31/2019	Kasikornbank Public Campany Limited ADR	1,148 00	20 10			27,407	23,072		
12/31/2019	KB Financial Group Inc - ADR	1,108 00	41 37			41,325	45,838		
12/31/2019	Kering -Unsponsored ADR	280 00	65 69			16,681	18,393		
12/31/2019	Keurig Dr Pepper Inc	155 00	28 95			4,564	4,487		
12/31/2019	Keysight Technologies Inc	46 00	102 63			4,264	4,721		
12/31/2019	Kimberly-Clark Corp	267 00	137 55			36,159	36,726		
12/31/2019	Kirin Brewery Co - Spon ADR	606 00	21 99			13,086	13,327		
12/31/2019	Komatsu Ltd - Spons ADR	1,138 00	24 31			25,951	27,666		
12/31/2019	Kone OYJ-B-Unsponsored ADR	1,162 00	32 71			33,761	38,009		
12/31/2019	Koninklijke Ahold Delhaize NV - ADR	912 00	25 03			20,701	22,824		
12/31/2019	Koninklijke DSM NV - Spons ADR	456 00	32 58			14,139	14,857		
12/31/2019	Koninklijke Philips Elect-N V NY Shs	435 00	48 80			19,146	21,228		
12/31/2019	Kubota Corporation - Spons ADR	153 00	79 41			12,731	12,150		
12/31/2019	Kyocera Corporation - Spons ADR	181 00	68 83			12,061	12,458		
12/31/2019	L3 Harris Technologies Inc	103 00	197 87			20,955	20,381		
12/31/2019	Las Vegas Sands Corp	68 00	69 04			4,210	4,695		
12/31/2019	Legrand SA-Unsponsored ADR	1,370 00	16 31			20,147	22,342		
12/31/2019	Leidos Holdings Inc	171 00	97 89			13,645	16,739		
12/31/2019	Lennox International Inc	16 00	243 97			4,495	3,904		
12/31/2019	Lenovo Group Limited ADR	264 00	13 42			4,164	3,544		
12/31/2019	Linde AG	273 00	212 90			53,703	58,122		
12/31/2019	Lions Gate Entertainment - A	946 00	10 66			7,958	10,084		
12/31/2019	LivaNova PLC	58 00	75 43			4,166	4,375		
12/31/2019	Lockheed Martin Corporation	45 00	389 38			16,371	17,522		
12/31/2019	Loews Corporation	2,208 00	52 49			119,568	115,898		
12/31/2019	LogMeIn Inc	118 00	85 74			8,713	10,117		

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12/31/2019	London Stock Exchange Group plc - Unspon ADR	788 00	25 67			14,040	20,226		
12/31/2019	L'Oreal SA-Unsponsored ADR	1,320 00	59 27			72,842	78,234		
12/31/2019	Lowe's Companies	388 00	119 76			39,144	46,467		
12/31/2019	Lululemon Athletica Inc	43 00	231 67			7,753	9,962		
12/31/2019	LVMH Moet Hennessy Louis Vuitton SA Unsponsored ADR	280 00	92 99			23,837	26,037		
12/31/2019	LyondellBasell Industries NV	183 00	94 48			15,901	17,290		
12/31/2019	Makita Corporation Sponsored ADR	328 00	35 06			11,385	11,499		
12/31/2019	Manpower Inc	132 00	97 10			12,730	12,817		
12/31/2019	Marsh McLennan & Co	270 00	111 41			27,001	30,081		
12/31/2019	Mastercard Inc - Class A	305 00	298 59			81,739	91,070		
12/31/2019	McCormick & Company, Incorporated	26 00	169 73			4,039	4,413		
12/31/2019	McDonald's Corporation	283 00	197 61			59,289	55,924		
12/31/2019	McKesson HBOC Inc	116 00	138 32			16,630	16,045		
12/31/2019	Medtronic, PLC	357 00	113 45			35,489	40,502		
12/31/2019	Merck & Co Inc	787 00	90 95			66,501	71,578		
12/31/2019	Methanex Corporation	543 00	38 63			19,714	20,976		
12/31/2019	Mettler-Toledo International	14 00	793 28			11,915	11,106		
12/31/2019	MGM Resorts International	433 00	33 27			12,446	14,406		
12/31/2019	Michelin CGDE Unspon ADR	1,155 00	24 49			26,946	28,289		
12/31/2019	Micron Technology, Inc	321 00	53 78			12,687	17,263		
12/31/2019	Microsoft Corp	2,481 00	157 70			336,701	391,254		
12/31/2019	Mitsubishi Electric Corporation Unsponsored ADR	876 00	27 58			23,897	24,158		
12/31/2019	Mitsubishi Estate Company, Ltd Unsponsored ADR	1,417 00	19 23			26,506	27,245		
12/31/2019	Mitsubishi Tanabe Pharma Corp ADR	1,871 00	18 48			21,391	34,571		
12/31/2019	Molson Coors Brewing Co	322 00	53 90			17,133	17,356		
12/31/2019	Mowi ASA - Sponsored ADR	687 00	25 97			16,294	17,841		
12/31/2019	MSCI Inc	62 00	258 18			15,054	16,007		
12/31/2019	Murata Manufacturing Co Ltd - Unspon ADR	632 00	15 52			7,402	9,808		
12/31/2019	Mylan NV	658 00	20 10			13,142	13,226		
12/31/2019	Naspers Ltd - Sponsored ADR	1,170 00	32 76			57,059	38,334		
12/31/2019	National Australia Bank Ltd - Sp ADR	5,250 00	8 66			49,713	45,448		
12/31/2019	National Grid PLC - SP ADR	310 00	62 67			16,639	19,428		
12/31/2019	Nedbank Group Ltd - Spons ADR	1,433 00	15 33			24,367	21,961		
12/31/2019	Nestle SA-Spons ADR For Reg	1,194 00	108 20			124,607	129,196		
12/31/2019	Netease com Inc - ADR	41 00	306 64			10,758	12,572		
12/31/2019	NetFlix Inc	180 00	323 57			63,498	58,243		
12/31/2019	New Oriental Education & Technology Grp Sponsored- ADR	160 00	121 25			16,369	19,400		
12/31/2019	Newcrest Mining Ltd - Spon ADR	589 00	21 26			12,860	12,525		
12/31/2019	Newmont Goldcorp Corporation	980 00	43 45			36,407	42,581		
12/31/2019	News Corporation- Class A	296 00	14 14			4,004	4,185		

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12/31/2019	NextEra Energy, Inc	217 00	242 16			45,261	52,549		
12/31/2019	Nidec Corporation - Spon ADR	1,052 00	34 52			36,051	36,313		
12/31/2019	Nike Inc - CL B	513 00	101 31			42,788	51,972		
12/31/2019	Nintendo Co Ltd - Unsponsored ADR	304 00	50 58			14,065	15,375		
12/31/2019	Nippon Telegraph & Telephone -ADR	672 00	50 74			31,270	34,096		
12/31/2019	Nissan Motors Co , Ltd - Spon ADR	1,277 00	11 71			18,520	14,949		
12/31/2019	Nitto Denko Corporation Unsponsored ADR	330 00	28 43			8,264	9,383		
12/31/2019	Nomura Holdings, Inc - ADR	6,237 00	5 16			22,307	32,183		
12/31/2019	Norsk Hydro AS Spon ADR	12,569 00	3 71			44,331	46,688		
12/31/2019	Northrop Grumman Corporation	50 00	343 97			16,043	17,199		
12/31/2019	NortonLifeLock Inc	174 00	25 52			3,816	4,440		
12/31/2019	Novartis AG - ADR	948 00	94 69			87,128	89,766		
12/31/2019	Novo Nordisk A/S-Spons ADR	293 00	57 88			16,103	16,959		
12/31/2019	Novozymes A/S Unspons-ADR	488 00	48 97			22,617	23,898		
12/31/2019	NTT DOCOMO, Inc - Sponsored ADR	657 00	27 95			15,364	18,366		
12/31/2019	NVIDIA Corporation	241 00	235 30			39,208	56,707		
12/31/2019	NXP Semiconductors NV	104 00	127 26			10,270	13,235		
12/31/2019	OGE Energy Corp	122 00	44 47			5,185	5,425		
12/31/2019	Omron Corporation - Spon ADR	542 00	59 08			27,322	32,019		
12/31/2019	Oracle Corporation	828 00	52 98			47,464	43,867		
12/31/2019	O'Reilly Automotive, Inc	28 00	438 26			10,578	12,271		
12/31/2019	ORIX Corporation - Spon ADR	290 00	83 41			21,826	24,189		
12/31/2019	Orkla ASA Spon ADR	1,366 00	10 12			12,190	13,829		
12/31/2019	Otsuka Hldgs Co-Unspon ADR	692 00	22 47			11,762	15,547		
12/31/2019	Owens Corning Inc	149 00	65 12			8,593	9,703		
12/31/2019	PACCAR Inc	200 00	79 10			13,385	15,820		
12/31/2019	Palo Alto Networks, Inc	50 00	231 25			11,145	11,563		
12/31/2019	Panasonic Corporation Spon ADR	4,558 00	9 47			37,896	43,179		
12/31/2019	Paychex, Inc	191 00	85 06			15,828	16,246		
12/31/2019	PayPal Holdings Inc	396 00	108 17			44,305	42,835		
12/31/2019	Pearson Plc - Sponsored ADR	1,547 00	8 43			15,728	13,041		
12/31/2019	Pepsico, Inc	482 00	136 67			62,684	65,875		
12/31/2019	Pernod-Ricard - Spons ADR	350 00	35 79			12,810	12,525		
12/31/2019	Perrigo Company PLC	184 00	51 66			9,022	9,505		
12/31/2019	Persimmon PLC - Unspons ADR	187 00	71 40			9,329	13,353		
12/31/2019	Pfizer Inc	1,416 00	39 18			58,424	55,479		
12/31/2019	Philip Morris International Inc	491 00	85 09			39,038	41,779		
12/31/2019	Ping An Insurance - ADR	2,380 00	23 64			56,639	56,264		
12/31/2019	PLDT Inc- Unsponsored ADR	552 00	19 99			13,687	11,034		
12/31/2019	PNC Financial Services Group	182 00	159 63			25,358	29,053		

Schedule of Investments

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

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 Cost	line 10b Corporate Stock Market Value	line 10c Corporate Bonds Cost	line 10c Corporate Bonds Market Value
12/31/2019	PPL Corporation	305 00	35 88			9,380	10,943		
12/31/2019	Procter & Gamble Co	928 00	124 90			104,156	115,907		
12/31/2019	Progressive Corporation	132 00	72 39			10,803	9,555		
12/31/2019	Prosus NV - Sponsored ADR	1,170 00	14 94			18,702	17,475		
12/31/2019	Prudential Financial, Inc	175 00	93 74			15,621	16,405		
12/31/2019	Prudential plc - ADR	630 00	38 09			27,959	23,997		
12/31/2019	Public Service Enterprise Group Inc	69 00	59 05			4,016	4,074		
12/31/2019	QBE Insurance Group-Spn ADR	1,451 00	9 05			11,943	13,137		
12/31/2019	Qualcomm Inc	491 00	88 23			36,642	43,321		
12/31/2019	Quanta Services, Inc	326 00	40 71			12,624	13,271		
12/31/2019	Quest Diagnostics Incorporated	128 00	106 79			13,094	13,669		
12/31/2019	Reckitt Benckiser Group PLC- Spons ADR	1,250 00	16 24			19,656	20,299		
12/31/2019	Reliance Steel & Aluminium Co	248 00	119 76			23,518	29,700		
12/31/2019	Relx PLC - Sponsored ADR	910 00	25 27			22,520	22,996		
12/31/2019	Renault SA - Unsponsored ADR	1,040 00	9 47			12,782	9,848		
12/31/2019	Rentokil Initial PLC - ADR	433 00	30 01			11,508	12,992		
12/31/2019	Republic Services Inc Cl A	377 00	89 63			32,939	33,791		
12/31/2019	ResMed Inc	86 00	154 97			10,604	13,327		
12/31/2019	Restaurant Brands International Inc	228 00	63 77			15,759	14,540		
12/31/2019	Roche Holding AG - Spons ADR	1,512 00	40 53			52,727	61,286		
12/31/2019	Rollins, Inc	355 00	33 16			11,694	11,772		
12/31/2019	Roper Industries Inc	11 00	354 23			4,090	3,897		
12/31/2019	Royal Bank Of Canada	1,710 00	79 20			134,075	135,432		
12/31/2019	Royal Caribbean Cruises Ltd	109 00	133 51			12,019	14,553		
12/31/2019	S&P Global Inc	61 00	273 05			14,239	16,656		
12/31/2019	Safran SA-Unspon ADR	488 00	38 63			17,882	18,850		
12/31/2019	Salesforce com, Inc	261 00	162 64			39,367	42,449		
12/31/2019	Sampo OYJ-A SHS-Unsponsored ADR	1,584 00	21 84			35,015	34,592		
12/31/2019	Sandvik AB - Sponsored ADR	1,443 00	19 51			22,897	28,155		
12/31/2019	Sanlam Ltd - Sponsored ADR	1,164 00	11 31			12,961	13,169		
12/31/2019	Sanofi-Aventis - ADR	1,190 00	50 20			50,743	59,738		
12/31/2019	Santen Pharmaceutical - Unsp ADR	652 00	19 19			10,817	12,515		
12/31/2019	Sap AG - Sponsored ADR	514 00	133 99			67,866	68,871		
12/31/2019	Schneider Electric SA-Unsponsored ADR	2,560 00	20 54			44,828	52,587		
12/31/2019	Science Applications International Corp	133 00	87 02			10,999	11,574		
12/31/2019	Sempra Energy	366 00	151 48			49,958	55,442		
12/31/2019	ServiceMaster Global Holdings Inc	165 00	38 66			8,729	6,379		
12/31/2019	Seven & I Holdings Co-Unsponsored ADR	808 00	18 42			13,738	14,881		
12/31/2019	Sharp Corp-Unsponsored ADR	1,568 00	3 88			4,355	6,078		
12/31/2019	Shaw Communications Inc Class B	274 00	20 29			5,613	5,559		

Schedule of Investments

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

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 Cost	line 10b Corporate Stock Market Value	line 10c Corporate Bonds Cost	line 10c Corporate Bonds Market Value
12/31/2019	Shin-Etsu Chemical Co , Ltd -Unspon ADR	944 00	27 74			22,383	26,190		
12/31/2019	Shinhan Financial Group Co , Ltd - ADR	2,603 00	38 07			95,499	99,096		
12/31/2019	Shiseido Company, Limited Spon ADR	177 00	71 61			13,447	12,675		
12/31/2019	Siemens AG-Spons ADR	424 00	65 41			25,255	27,733		
12/31/2019	SINA Corporation	194 00	39 93			8,485	7,746		
12/31/2019	SK Telecom Co , Ltd	1,539 00	23 11			36,768	35,566		
12/31/2019	SKF AB-Sponsored ADR	211 00	20 23			3,865	4,269		
12/31/2019	SMC Corporation - Sponsored ADR	580 00	23 14			11,141	13,420		
12/31/2019	Smith & Nephew plc ADR	292 00	48 07			13,313	14,036		
12/31/2019	Smiths Group Plc Sponsored ADR	906 00	22 35			17,752	20,248		
12/31/2019	Sociedad Quimica Y Minera de Chile SA Sponsored Adr	350 00	26 69			10,617	9,342		
12/31/2019	Societe Generale-Sponsored ADR	4,300 00	6 96			21,726	29,940		
12/31/2019	SoftBank Corp - Unspon ADR	1,498 00	21 88			38,270	32,779		
12/31/2019	Sonic Healthcare Sponsored ADR	845 00	20 21			16,016	17,077		
12/31/2019	Sony Corporation - Spons ADR	734 00	68 00			39,671	49,912		
12/31/2019	Spire Inc	167 00	83 31			13,644	13,913		
12/31/2019	Spirit Aerosystems Holdings, Inc Class A	105 00	72 88			8,288	7,652		
12/31/2019	Sprint Corporation	577 00	5 21			3,833	3,006		
12/31/2019	Square Inc - A	106 00	62 56			7,781	6,631		
12/31/2019	SS&C Technologies Holdings, Inc	277 00	61 40			12,610	17,008		
12/31/2019	Standard Bank Group Ltd - Spons ADR	1,012 00	12 04			14,066	12,181		
12/31/2019	Stanley Black & Decker Inc	28 00	165 74			4,084	4,641		
12/31/2019	Starbucks Corporation	290 00	87 92			24,558	25,497		
12/31/2019	Steel Dynamics, Inc	466 00	34 04			14,179	15,863		
12/31/2019	STMicroelectronics-N V NY Shs	600 00	26 91			10,888	16,146		
12/31/2019	Stora Enso Oyj - Spons ADR	1,547 00	14 55			17,259	22,514		
12/31/2019	Stryker Corporation	73 00	209 94			15,020	15,326		
12/31/2019	Sumitomo Mitsui Financial Group Spon ADR	6,850 00	3 99			24,384	27,337		
12/31/2019	Sumitomo Mitsui Financial Group, Inc Spon ADR	7,075 00	7 41			49,337	52,426		
12/31/2019	Sun Hung Kai Properties Sponsored ADR	830 00	15 31			14,145	12,708		
12/31/2019	Sun Life Financial Inc	1,203 00	45 57			48,904	54,821		
12/31/2019	Suntory Beverage & Food Ltd - ADR	352 00	20 91			7,664	7,361		
12/31/2019	Swedbank AB - Sponsored ADR	783 00	14 90			12,030	11,664		
12/31/2019	Swire Pacific Limited Sponsored ADR	1,257 00	9 29			12,297	11,680		
12/31/2019	Synchrony Financial	479 00	36 01			16,742	17,249		
12/31/2019	SYSCO Corporation	534 00	85 54			37,379	45,678		
12/31/2019	TAL Education Group - ADR	257 00	48 20			10,073	12,387		
12/31/2019	Taiwan Semiconductor Manufacturing Company Ltd - SP ADR	2,834 00	58 10			116,821	164,655		
12/31/2019	Takeda Pharmaceutical Co Ltd-SPN ADR	2,090 00	19 73			37,121	41,236		
12/31/2019	Tapestry, Inc	551 00	26 97			16,503	14,860		

Schedule of Investments

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

As of Date	Security Name	Shares/Par	Price	line 10a U S. & State Gov't Obligations		line 10b Corporate Stock		line 10c Corporate Bonds	
				Cost	Market Value	Cost	Market Value	Cost	Market Value
12/31/2019	Target Corporation	172 00	128 21			14,898	22,052		
12/31/2019	Tata Motors Limited - ADR	938 00	12 93			11,169	12,128		
12/31/2019	Techtronic Industries Company Limited	555 00	40 78			19,956	22,633		
12/31/2019	Telefonica Brasil- ADR	1,281 00	14 32			16,519	18,344		
12/31/2019	Telefonica S A - ADR	2,148 00	6 97			17,813	14,972		
12/31/2019	Tencent Holdings Ltd - Sponsored ADR	2,706 00	48 20			123,750	130,441		
12/31/2019	Teradyne Inc	243 00	68 19			13,000	16,570		
12/31/2019	Tesco plc - Sponsored ADR	1,899 00	10 14			16,758	19,260		
12/31/2019	Tesla Inc	36 00	418 33			8,026	15,060		
12/31/2019	Texas Instruments Inc	381 00	128 29			45,307	48,878		
12/31/2019	The Brink's Company	143 00	90 68			12,668	12,967		
12/31/2019	The Cooper Companies, Inc	25 00	321 29			8,399	8,032		
12/31/2019	The Estee Lauder Companies Inc Class A	64 00	206 54			11,707	13,219		
12/31/2019	The Kraft Heinz Company	206 00	32 13			6,273	6,619		
12/31/2019	The Madison Square Garden Company Class A	16 00	294 19			4,446	4,707		
12/31/2019	The Mosaic Company	386 00	21 64			9,508	8,353		
12/31/2019	The Sherwin-Williams Company	31 00	583 54			14,252	18,090		
12/31/2019	The TJX Companies, Inc	647 00	61 06			34,011	39,506		
12/31/2019	The Walt Disney Company	692 00	144 63			97,863	100,084		
12/31/2019	Thermo Fisher Scientific Inc	142 00	324 87			41,151	46,132		
12/31/2019	Tim Participacoes S A - ADR	841 00	19 11			13,379	16,072		
12/31/2019	T-Mobile US, Inc	139 00	78 42			10,411	10,900		
12/31/2019	Tokio Marine Holding Inc ADR	185 00	56 31			9,373	10,417		
12/31/2019	Tokyo Electron Ltd Unsponsored ADR	280 00	55 04			10,333	15,411		
12/31/2019	Toray Industries, Inc - Unspon ADR	296 00	13 64			4,426	4,037		
12/31/2019	Toronto-Dominion Bank	835 00	56 13			48,976	46,869		
12/31/2019	Toyota Motor Corporation - Spon ADR	478 00	140 54			60,946	67,178		
12/31/2019	Treasury Wine Estates - ADR	369 00	11 42			3,881	4,212		
12/31/2019	Trip com Group Ltd ADR	355 00	33 54			13,752	11,907		
12/31/2019	Truist Financial Corp	688 00	56 32			33,661	38,748		
12/31/2019	UBS Group AG	3,759 00	12 58			43,375	47,288		
12/31/2019	UGI Corporation	341 00	45 16			18,289	15,400		
12/31/2019	Ulta Beauty Inc	12 00	253 14			4,093	3,038		
12/31/2019	UniCredit SPA - ADR	1,984 00	7 31			11,817	14,498		
12/31/2019	Unilever NV - NY Shares	668 00	57 46			38,454	38,383		
12/31/2019	Union Pacific Corp	210 00	180 79			35,860	37,966		
12/31/2019	United Overseas Bank Ltd - Sp ADR	1,066 00	39 28			41,011	41,874		
12/31/2019	United Parcel Service Class B	232 00	117 06			23,688	27,158		
12/31/2019	United Rentals, Inc	32 00	166 77			4,269	5,337		
12/31/2019	United States Steel Corporation	970 00	11 41			11,899	11,068		

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

STATEMENT 4 A
FORM 990-PF
YEAR 2019

Schedule of Investments

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

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 Cost	line 10b Corporate Stock Market Value	line 10c Corporate Bonds Cost	line 10c Corporate Bonds Market Value
12/31/2019	United Technologies Corp	343 00	149 76			44,972	51,368		
12/31/2019	UnitedHealth Group Inc	345 00	293 98			84,432	101,423		
12/31/2019	Universal Health Servies-B	92 00	143 46			13,421	13,198		
12/31/2019	UPM- Kymmene Oyj - Unspon ADR	403 00	34 70			10,664	13,983		
12/31/2019	US Foods Holding Corp	120 00	41 89			4,341	5,027		
12/31/2019	V F Corporation	46 00	99 66			4,042	4,584		
12/31/2019	Veolia Environment ADR	519 00	26 61			12,851	13,813		
12/31/2019	Verizon Communications	1,786 00	61 40			100,802	109,660		
12/31/2019	Vertex Pharmaceuticals Inc	59 00	218 95			10,660	12,918		
12/31/2019	Vestas Wind Systems-Unsp ADR	438 00	33 71			13,037	14,765		
12/31/2019	Visa Inc - Class A Shares	748 00	187 90			130,871	140,549		
12/31/2019	Vivendi SA - Unspon ADR	370 00	28 98			10,296	10,724		
12/31/2019	Volkswagen AG Unspon ADR	670 00	19 45			11,530	13,030		
12/31/2019	Voya Financial Inc	233 00	60 98			12,986	14,208		
12/31/2019	Vulcan Materials Company	109 00	143 99			14,955	15,695		
12/31/2019	Wabtec Corporation	54 00	77 80			3,944	4,201		
12/31/2019	Walgreens Boots Alliance Inc	344 00	58 96			18,503	20,282		
12/31/2019	Wal-Mart de Mexico SA de CV ADR	187 00	28 74			5,253	5,375		
12/31/2019	Walmart Inc	629 00	118 84			69,252	74,750		
12/31/2019	Waste Management, Inc	121 00	113 96			13,970	13,789		
12/31/2019	Waters Corporation	61 00	233 65			13,322	14,253		
12/31/2019	Wells Fargo Company	1,420 00	53 80			67,133	76,396		
12/31/2019	Western Digital Corporation	241 00	63 47			13,100	15,296		
12/31/2019	Western Union Co	718 00	26 78			15,740	19,228		
12/31/2019	Westlake Chemical Corp	58 00	70 15			4,002	4,069		
12/31/2019	Westpac Banking Sponsored ADR	2,842 00	16 98			55,962	48,257		
12/31/2019	WEX Inc	21 00	209 46			4,434	4,399		
12/31/2019	Wheaton Precious Metals Corp	712 00	29 75			16,722	21,182		
12/31/2019	Wheelock & Co LTD - ADR	448 00	66 67			27,511	29,869		
12/31/2019	White Mountains Insurance Group Ltd	28 00	1115 51			29,579	31,234		
12/31/2019	Wipro Ltd - ADR	1,068 00	3 75			4,627	4,005		
12/31/2019	Woori Financial Sponsored ADR-W/I	452 00	30 26			16,507	13,678		
12/31/2019	Workday Inc - Class A	62 00	164 45			12,252	10,196		
12/31/2019	WPP Plc ADR	271 00	70 29			15,943	19,049		
12/31/2019	Xilinx, Inc	108 00	97 77			12,927	10,559		
12/31/2019	Yara International ASA-ADR	802 00	20 78			18,675	16,666		
12/31/2019	Yaskawa Electric Corp ADR	104 00	76 74			7,382	7,981		
12/31/2019	Yum China Holdings Inc	767 00	48 01			34,508	36,824		
12/31/2019	Yum! Brands, Inc	147 00	100 73			16,151	14,807		
12/31/2019	Zayo Group Holdings, Inc	121 00	34 65			4,002	4,193		

Schedule of Investments

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

As of Date	Security Name	Shares/Par	Price	line 10a U S & State Gov't Obligations		line 10b Corporate Stock		line 10c Corporate Bonds	
				Cost	Market Value	Cost	Market Value	Cost	Market Value
12/31/2019	Zimmer Biomet Holdings, Inc	118 00	149 68			16,227	17,662		
12/31/2019	Zoetis Inc	45 00	132 35			5,098	5,956		
12/31/2019	ZTO Express Cayman Inc - ADR	228 00	23 35			4,494	5,324		
12/31/2019	Zurich Insurance Group AG - ADR	1,620 00	41 01			56,378	66,433		
12/31/2019	Air Products & Chemicals 3 00% Due 11/03/2021	63,000 00	102 04	-	-		-	62,927	64 284
12/31/2019	American Express 4 05% Due 12/03/2042	77,000 00	117 82	-	-		-	75,389	90 725
12/31/2019	Ascension Health 2 532% Due 11/15/2029	125,000 00	99 07	-	-		-	125,000	123 837
12/31/2019	Bank Of America Corp 3 499% Due 05/17/2022 Call @ 100 05/17/2021	96,000 00	102 01	-	-		-	97,007	97,929
12/31/2019	Bank Of America Corporation 3 335% Due 01/25/2023 Call @ 100 01/25/2022	86,000 00	102 75	-	-		-	86,849	88,363
12/31/2019	Cisco Systems Inc 3 00% Due 06/15/2022	63,000 00	103 03	-	-		-	64,278	64 905
12/31/2019	Comcast Corp 3 90% Due 03/01/2038 Call @ 100 09/01/2037	78,000 00	110 80	-	-		-	77,914	86,423
12/31/2019	Comcast Corporation 3 45% Due 10/01/2021	62,000 00	102 94	-	-		-	62,345	63,82[illegible]
12/31/2019	Conservation Fund 3 474% Due 12/15/2029	100,000 00	99 70	-	-		-	100,000	99,700
12/31/2019	CVS Health Corp 2 75% Due 12/01/2022 Call @ 100 09/01/2022	80,000 00	101 62	-	-		-	81,089	81,299
12/31/2019	CVS Health Corp 4 30% Due 03/25/2028 Call @ 100 12/25/2027	66,000 00	109 24	-	-		-	70,701	72,10[illegible]
12/31/2019	Ecolab Inc 4 35% Due 12/08/2021	61,000 00	104 72	-	-		-	62,287	63,879
12/31/2019	Export Development Canada 1 625% Due 06/01/2020	70,000 00	99 96	-	-		-	69,331	69,974
12/31/2019	Fannie Mae FN AT5988 3 00% Due 05/01/2043	95,011 78	102 98	-	-		-	93,434	97,846
12/31/2019	Fannie Mae FN BM3973 3 00% Due 04/01/2032	48,082 30	102 95	-	-		-	48,160	49,499
12/31/2019	Fannie Mae FN BM4676 4 00% Due 10/01/2048	95,570 38	106 97	-	-		-	98,317	102,234
12/31/2019	Fannie Mae FN MA3660 3 50% Due 05/01/2039	38,228 05	103 20	-	-		-	39,028	39,451
12/31/2019	Ford Credit Floorplan Master O 2 07% Due 05/15/2022	55,000 00	100 02	-	-		-	54,519	55,009
12/31/2019	Ford Credit Floorplan Master O 2 07% Due 05/15/2022	80,000 00	100 02	-	-		-	79,301	80,015
12/31/2019	Freddie Mac FN ZA5476 4 50% Due 06/01/2048	60,801 86	105 64	-	-		-	63,337	64,231
12/31/2019	Freddie Mac FN ZS7888 2 50% Due 10/01/2032	36,587 65	101 53	-	-		-	36,749	37,147
12/31/2019	Freddie Mac FN ZT0240 3 50% Due 01/01/2048	109,553 35	104 21	-	-		-	112,211	1 4,166
12/31/2019	Freddie Mac FR QA3329 3 00% Due 10/1/2049	83,595 23	101 57	-	-		-	85,350	84,908
12/31/2019	Goldman Sachs Group Inc 4 223% Due 05/01/2029 Call @ 100 05/01/2028	73,000 00	110 26	-	-		-	73,431	80,486
12/31/2019	Home Depot Inc 3 25% Due 03/01/2022	62,000 00	103 35	-	-		-	63,039	64,076
12/31/2019	Home Depot Inc 5 875% Due 12/16/2036	55,000 00	138 05	-	-		-	65 671	75,926
12/31/2019	JP Morgan Chase & Co 3 782% Due 02/01/2028 Call @ 100 02/01/2027	85,000 00	107 84	-	-		-	87 110	91,663
12/31/2019	KFW 2 00% Due 09/29/2022	95,000 00	100 88	-	-		-	96,039	95,837
12/31/2019	Kroger Co 2 80% Due 08/01/2022 Call @ 100 07/01/2022	72,000 00	101 95	-	-		-	73 194	73,403
12/31/2019	Microsoft Corp 2 375% Due 02/12/2022 Call @100 01/12/2022	80,000 00	101 36	-	-		-	80 045	81,089
12/31/2019	NVR Inc Corp 3 95% Due 09/15/2022	53,000 00	104 20	-	-		-	53,462	55,225
12/31/2019	NVR Inc Corp 3 95% Due 09/15/2022	62,000 00	104 20	-	-		-	63 993	64,603
12/31/2019	Praxair, Inc 2 45% Due 02/15/2022 Call @ 100 11/15/2021	88,000 00	101 21	-	-		-	88 408	89,066
12/31/2019	Simon Property Group LP 2 625% Due 06/15/2022 Call @ 100 3/15/2022	64,000 00	101 58	-	-		-	64 895	65,011
12/31/2019	Simon Property Group LP 3 375% Due 06/15/2027 Call @ 100 03/15/2027	69,000 00	105 85	-	-		-	69 460	73,038
12/31/2019	Southern Power Co 2 50% Due 12/15/2021 Call @ 100 11/15/2021	64,000 00	101 04	-	-		-	63 578	64,656

Schedule of Investments

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

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 Cost	line 10b Corporate Stock Market Value	line 10c Corporate Bonds Cost	line 10c Corporate Bonds Market Value
12/31/2019	Toronto-Dominion Bank 1 85% Due 09/11/2020	81,000 00	99 99	-	-		-	80,412	80,991
12/31/2019	Truist Financial Corporation 3 75% Due 12/06/2023 Call @ 100 11/06/2023	84,000 00	106 08	-	-		-	86,356	89,110
12/31/2019	Visa Inc 2 15% Due 09/15/2022 Call @ 100 08/15/2022	64,000 00	101 14	-	-		-	64,496	64,728
12/31/2019	Walt Disney Company 2 45% Due 03/04/2022	64,000 00	101 43	-	-		-	64,204	64,912
	Total line 10			8,605,751	**8,688,090**	14,690,861	**15,942,859**	2,981,116	**3,065,577**

SCHEDULE OF LAND, BUILDINGS & EQUIPMENT

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

Description	Cost	Accumulated Depreciation	Net Basis
Computer Equipment & Software	6,354	5,140	1,214
Office Equipment	10,238	2,925	7,313
	16,592	8,065	8,527
		Total line 14	**$8,527**

STATEMENT REGARDING ACTIVITIES

Part VII-A, line 4b

2019 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

2019 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), for charitable purposes, 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 Discretionary Giving - 4th & 5th Generations	$ 100,000 00	(1)	7/9/2019

(1) This amount was treated as a qualifying distribution by the David Rockefeller Fund in 2019.

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2019

1. Name and Address of Recipient:
   Protect Our Winters Action Fund
   Attn: Mario Molina
   Executive Director
   4676 Broadway Street
   Boulder, CO, 80304

2. Date and Amount of Grant:
   12/3/2019, $50,000

3. Purpose of Grant:
   Support educational efforts to make action on climate change a top policy priority for the outdoor sports community.

4. Amount Expended by Grantee:
   $25,000. Grantor received from Grantee narrative and financial reports certifying that this amount was expended for charitable purposes.

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 02/28/20, Grantor received from Grantee narrative and financial progress reports.

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

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2019

1. Name and Address of Recipient:
Americans for the Arts Action Fund
Attn: Nina Tunceli
Executive Director
1000 Vermont Avenue, 6th Floor
Washington, DC 20005

2. Date and Amount of Grant:
12/3/2019, $38,000

3. Purpose of Grant:
To educate citizens on arts-friendly public policies at the federal, state and local levels.

4. Amount Expended by Grantee:
$5,286. Grantor received from Grantee narrative and financial reports certifying that this amount was expended for charitable purposes.

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 02/28/20, Grantor received from Grantee narrative and financial progress reports.

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

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2019

1. Name and Address of Recipient:
Sixteen Thirty Fund
Attn: Eric Kessler
President
1201 Connecticut Ave NW, Suite 300
Washington, DC 20036

2. Date and Amount of Grant:
7/8/19, $150,000

3. Purpose of Grant:
Support educational components of the Climate and Energy Fund and Climate Equity Action Fund, both of which advocate for climate and clean energy policies.

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 02/27/20, 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.

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2019

1. Name and Address of Recipient:
   Tides Advocacy
   Attn: Romilda Justilien
   Interim CEO
   PO Box 29229
   San Francisco, CA 94129

2. Date and Amount of Grant:
   12/3/2019, $100,000 over 24 months

3. Purpose of Grant:
   To support educational activities of the Florida Rights Restoration Coalition, dedicated to ending the disenfranchisement and discrimination against people with convictions.

4. Amount Expended by Grantee:
   $16,025. Grantor received from Grantee narrative and financial reports certifying that this amount was expended for charitable purposes.

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 02/28/20, Grantor received from Grantee narrative and financial progress reports.

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

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2019

1. Name and Address of Recipient:
   Jolt Action
   Attn: Antonio Arellano
   Interim Executive Director
   PO Box 4185
   Austin, TX 78765

2. Date and Amount of Grant:
   7/19/2019, $50,000

3. Purpose of Grant:
   To build long-term leadership of Latinx youth, giving them the ability to shape the conversation on climate justice.

4. Amount Expended by Grantee:
   $30,010. Grantor received from Grantee narrative and financial reports certifying that this amount was expended for charitable purposes.

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 02/27/20, Grantor received from Grantee narrative and financial progress reports.

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

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2018

1. Name and Address of Recipient:
SDK Foundation for Human Dignity
Attn: Ashley Tucker
49 Old Woods Road
Saddle River, NJ 07458-3208

2. Date and Amount of Grant:
12/17/18 $6,500

3. Purpose of Grant:
This grant supported the Artistic Freedom Initiative's artistic safe haven hosting guide.

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 2/28/19, Grantor received narrative and financial progress reports indicating that no funds were expended at that time. On 02/28/20, 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	(1)	TRUSTEE	1.5	NONE	NONE	NONE
PEGGY DULANY 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1.5	NONE	NONE	NONE
NILI GILBERT 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1)	TRUSTEE	2	NONE	NONE	NONE
DANIEL GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	2	NONE	NONE	NONE
EILEEN GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1.5	NONE	NONE	NONE
STEPHEN HEINTZ 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		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
GARA LAMARCHE 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1)	TRUSTEE	1	NONE	NONE	NONE
REBECCA LAMBERT 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1.5	NONE	NONE	NONE
MICHAEL QUATTRONE 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	2.5	NONE	NONE	NONE
CAMILLA ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE/CHAIR	3	NONE	NONE	NONE
CLAY ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	2	NONE	NONE	NONE
DAVID ROCKEFELLER JR. 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1)	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
SUSAN ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1	NONE	NONE	NONE
MANYA RUBINSTEIN 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		TRUSTEE	1.5	NONE	NONE	NONE
DAVID KAISER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(2)	TRUSTEE	1	NONE	NONE	NONE
MIRANDA KAISER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(2)	TRUSTEE/SECRETARY	1	NONE	NONE	NONE
LUKAS HAYNES 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115		EXECUTIVE DIRECTOR	40	233,900	59,246	3,566
LEXI FISHER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(3)	SECRETARY/PROGRAM MANAGER	40	75,780	48,916	429

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
LEAH D'ANGELO 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(3) TREASURER	2	6,680	2,004	NONE

Note: Neva Goodwin, Paul Growald, Robert Parton, James Sligar's trustee term expired 12/31/2018.

(1) Effective January 1, 2019.

(2) David Kaiser and Miranda Kaiser resigned in spring 2019.

(3) Leah's appointment effective February 1, 2019. Lexi's appointment effective February 14, 2019.

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 trustees' individual charitable giving

Form 990-PF: Return of Private Foundation

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

Name and Address Information	Form Information	Submission Information	Restrictions
Lexi Fisher, Program Manager David Rockefeller Fund 475 Riverside Drive Suite 900 New York, NY 10115 212-812-4300	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)

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
350 org 20 Jay Street, Suite 732 Brooklyn , NY 11201 United States	0 00	100,000 00	100,000 00	Grassroots climate movement	0 00	PC - Public Charity
350 org 20 Jay Street, Suite 732 Brooklyn, NY 11201 United States	0 00	250,000 00	250,000 00	Grassroots climate movement	0 00	PC - Public Charity
Abolitionist Law Center PO Box 8654 Pittsburgh, PA 15221 United States	25,000 00	0 00	25,000 00	Life Without Parole Project	0 00	PC - Public Charity
Americans for the Arts Action Fund 1000 Vermont Avenue NW, 6th Floor Washington, D C 20005 United States	0 00	38,000 00	38,000 00	To educate citizens on arts-friendly public policies at the federal, state and local levels	0 00	NC - Organization not otherwise classified
Biodiversity Funders Group PO Box 29361 San Francisco, CA 94129-0361 United States	0 00	5,000 00	5,000 00	Climate and Energy Funders Group	0 00	PC - Public Charity
Brave New Films 10510 Culver Boulevard Culver City, CA 90232 United States	0 00	25,000 00	25,000 00	Youth empowerment documentaries	0 00	PC - Public Charity
Canary Impact Fund c/o Dream Corps 436 14th Street, Suite 920 Oakland, CA 94612 United States	0 00	100,000 00	50,000 00	Participatory grantmaking	50,000 00	PC - Public Charity
Canary Impact Fund c/o Dream Corps 436 14th Street, Suite 920 Oakland, CA 94612 United States	0 00	100,000 00	50,000 00	Participatory grantmaking	50,000 00	PC - Public Charity
Center for Climate and Security c/o Council on Strategic Risks 1025 Connecticut Avenue NW, Suite 1000 Washington, DC 20036 United States	0 00	175,000 00	75,000 00	Climate security analysis	100,000 00	PC - Public Charity
Center for Climate and Security c/o Council on Strategic Risks 1025 Connecticut Avenue NW, Suite 1000 Washington, DC 20036 United States	0 00	50,000 00	50,000 00	Climate security in Japan	0 00	PC - Public Charity
Center for Popular Democracy 449 Troutman Street, Suite A Brooklyn, NY 11237 United States	0 00	26,000 00	26,000 00	Advancing people-powered democracy reform	0 00	PC - Public Charity
Center for Popular Democracy 449 Troutman Street, Suite A Brooklyn, NY 11237 United States	0 00	5,000 00	5,000 00	March 2019 Convening	0 00	PC - Public Charity
chashama 675 Third Ave New York, NY 10017 United States	25,000 00	0 00	25,000 00	Bronx Community Artist Initiative	0 00	PC - Public Charity
Climate Chores c/o Fractured Atlas 248 West 35th Street, 10th Floor New York, NY 10001 United States	0 00	25,000 00	25,000 00	Climate-conscience comedy	0 00	PC - Public Charity
Coalition for Buzzards Bay 114 Front Street New Bedford, MA 02740 United States	0 00	10,000 00	0 00	Cuttyhunk Island	10,000 00	PC - Public Charity

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
Columbia Riverkeeper 407 Portway, Suite 301 Hood River, OR 97031 United States	0 00	50,000 00	50,000 00	Limit fossil fuel infrastructure	0 00	PC - Public Charity
Confluence Philanthropy 436 14th Street, Ste 900 Oakland, CA 94612 United States	0 00	1,500 00	1,500 00	Mission-aligned investing	0 00	PC - Public Charity
Confluence Philanthropy 436 14th Street, Suite 900 Oakland, CA 94612 United States	0 00	1,500 00	1,500 00	Mission-aligned investing	0 00	PC - Public Charity
Corporate Accountability 10 Milk Street Suite 610 Boston , MA 02108 United States	0 00	25,000 00	25,000 00	International climate negotiations	0 00	PC - Public Charity
Council on Criminal Justice 560 Lexington Avenue, Suite 16B New York, NY 10022 United States	0 00	75,000 00	75,000 00	National justice reform coalition	0 00	PC - Public Charity
Cultural Shed 545 West 30th Street New York, NY 10001 United States	0 00	50,000 00	50,000 00	DIS OBEY performance program	0 00	PC - Public Charity
Detention Watch Network 1915 I Street NW, 8th Floor Washington, D C 20006 United States	0 00	30,000 00	30,000 00	Immigrant detention reform	0 00	PC - Public Charity
Environmental Grantmakers Association 475 Riverside Drive Suite 900 New York, NY 10115 United States	0 00	5,000 00	5,000 00	Environment funder networking	0 00	PC - Public Charity
Environmental Integrity Project 1000 Vermont Ave, NW Suite 1100 Washington, DC 20005 United States	0 00	34,000 00	34,000 00	Clean air standards in TX	0 00	PC - Public Charity
Exploring the Metropolis 161-04 Jamaica Avenue - 5th Floor Jamaica, NY 11432 United States	0 00	5,000 00	5,000 00	Performing arts	0 00	PC - Public Charity
Tides Advocacy For Florida Rights Restoration Coalition P O Box 29229 San Francisco, CA 94129 United States	0 00	100,000 00	50,000 00	To support educational activities of the Florida Rights Restoration Coalition, dedicated to ending the disenfranchisement and discrimination against people with convictions	50,000 00	NC - Organization not otherwise classified
Forum for the Future US 81 Prospect Street Brooklyn, NY 11201 United States	0 00	25,000 00	25,000 00	Regenerative agriculture	0 00	PC - Public Charity
Fountain House 425 West 47th Street New York, NY 10036 United States	0 00	50,000 00	25,000 00	Studio Gallery	25,000 00	PC - Public Charity
Gibney Dance 280 Broadway New York, NY 10007 United States	25,000 00	0 00	25,000 00	Gibney Community Action Hub	0 00	PC - Public Charity
Girl Be Heard 20 Jay Street #210B Brooklyn, NY 11201 United States	0 00	20,000 00	20,000 00	Performance	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
Global Alliance for the Future of Food c/o New Venture Fund Eric Kessler 1201 Connecticut Ave NW Suite 300 Washington, DC 20036	250,000 00	0 00	250,000 00	Designated for collaboration with Global Alliance for the Future of Food	0 00	PC - Public Charity
Grantmakers in the Arts 522 Courtlandt Avenue 1st Floor Bronx, NY 10451-5008 United States	0 00	2,000 00	2,000 00	Arts funder programming	0 00	PC - Public Charity
Grantmakers in the Arts 522 Courtlandt Avenue 1st Floor Bronx, NY 10451-5008 United States	0 00	25,000 00	25,000 00	2020 Conference	0 00	PC - Public Charity
Grassroots Leadership 2301 E Cesar Chavez Austin, TX 78702 United States	0 00	40,000 00	40,000 00	Immigrant detention reform	0 00	PC - Public Charity
Hip Hop Caucus Education Fund 1638 R St NW, Suite 120 Washington, DC 20009 United States	0 00	20,000 00	20,000 00	Climate change education through hip hop	0 00	PC - Public Charity
Independent Diplomat 45 East 20th Street, 6th Floor New York, NY 10003 United States	0 00	35,000 00	35,000 00	Diplomacy & democracy	0 00	PC - Public Charity
International Planned Parenthood Federation 125 Maiden Lane - 9th Floor New York, NY 10038 United States	0 00	5,000 00	5,000 00	Reproductive health	0 00	PC - Public Charity
Jackson Hole Center for Global Affairs 125 S King St, Suite F1 Jackson, WY 83001 United States	0 00	40,000 00	10,000 00	Jackson Hole Global Forum Climate Change and National Security	30,000 00	PC - Public Charity
JED Foundation 6 E 39th Street, Suite 1204 New York, NY 10016 United States	0 00	5,000 00	5,000 00	Suicide prevention	0 00	PC - Public Charity
JED Foundation 6 E 39th Street, Suite 1204 New York, NY 10016 United States	0 00	2,000 00	2,000 00	Suicide prevention	0 00	PC - Public Charity
Jewish Council for Public Affairs 25 Broadway – Suite 1700 New York , NY 10004 United States	0 00	100,000 00	50,000 00	Bail reform	50,000 00	PC - Public Charity
Jolt Action P O Box 4185 Austin, TX 78765 United States	0 00	50,000 00	50,000 00	To build long-term leadership of Latinx youth, giving them the ability to shape the conversation on climate justice	0 00	NC - Organization not otherwise classified
Kiss the Ground 2236 South Barrington Avenue Los Angeles, CA 90064 United States	0 00	25,000 00	25,000 00	Healthy soil	0 00	PC - Public Charity
Kiss the Ground 2236 South Barrington Avenue Los Angeles, CA 90064 United States	0 00	25,000 00	25,000 00	Healthy soil	0 00	PC - Public Charity
Little Victor Productions c/o Fractured Atlas 248 West 35th Street, 10th Floor New York, NY 10001 United States	0 00	3,000 00	3,000 00	Otisville Correctional Facility theater production	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
March on Maryland 15800 Crabbs Branch Way, Suite 319 Rockville , MD 20855 United States	0 00	21,000 00	21,000 00	Future Coalition	0 00	PC - Public Charity
Mayor's Fund to Advance New York City 253 Broadway, 6th Floor New York, NY 10007 United States	0 00	7,500 00	7,500 00	European prison delegation	0 00	PC - Public Charity
Men's Story Project c/o Fractured Atlas 248 West 35th Street, 10th Floor New York, NY 10001 United States	0 00	10,000 00	10,000 00	Training cohort	0 00	PC - Public Charity
Middle Collegiate Church 50 East 7th Street New York , NY 10003 United States	0 00	5,000 00	5,000 00	Border detention assistance programs	0 00	PC - Public Charity
Mighty Earth c/o Center for International Policy 2000 M Street NW, Suite 720 Washington, DC 20036 United States	0 00	1,000,000 00	500,000 00	Decarbonizing agriculture	500,000 00	PC - Public Charity
Mosaic c/o Windward Fund 1201 Connecticut Ave NW Suite 300 Washington , DC 20036 United States	0 00	75,000 00	25,000 00	Environment movement infrastructure	50,000 00	PC - Public Charity
Movement Law Lab c/o NEO Philanthropy 45 West 36th Street, 6th Floor New York, NY 10018	0 00	50,000 00	50,000 00	Global network of movement lawyers	0 00	PC - Public Charity
National Center for Family Philanthropy 1667 K Street, NW, Suite 550 Washington, DC 20006 United States	0 00	2,000 00	2,000 00	Philanthropic sector support	0 00	PC - Public Charity
National Committee for Responsive Philanthropy 1900 L Street NW, Suite 825 Washington, DC 20036 United States	0 00	1,500 00	1,500 00	Philanthropic sector support	0 00	PC - Public Charity
Native Movement P O Box 83467 Fairbanks, AK 99708 United States	0 00	15,000 00	15,000 00	Indigenous rights	0 00	PC - Public Charity
Neighborhood Funders Group 300 Frank H Ogawa Plaza - Suite 700 Oakland, CA 94612 United States	0 00	1,500 00	1,500 00	Funders for justice	0 00	PC - Public Charity
New York Foundation for the Arts 20 Jay Street, Suite 740 Brooklyn, NY 11201 United States	0 00	70,000 00	70,000 00	River Valley Arts Collective	0 00	PC - Public Charity
New York Youth Justice Initiative c/o FJC 520 Eighth Avenue, 20th Floor New York, NY 10018 United States	0 00	3,500 00	3,500 00	Youth justice	0 00	PC - Public Charity
One Neighborhood Builders 66 Chaffee Street Providence, RI 02909 United States	0 00	50,000 00	50,000 00	Sheridan Small Homes Project (Tiny Homes)	0 00	PC - Public Charity
One Neighborhood Builders 66 Chaffee Street Providence, RI 02909 United States	0 00	25,000 00	25,000 00	Sheridan Small Homes Project (Tiny Homes)	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
One Neighborhood Builders 66 Chaffee Street Providence, RI 02909 United States	0 00	25,000 00	25,000 00	Sheridan Small Homes Project (Tiny Homes)	0 00	PC - Public Charity
Our Climate Education Fund PO Box 221012 Seattle, WA 98102 United States	0 00	8,000 00	8,000 00	Creative Climate Policy Camps	0 00	PC - Public Charity
Pachamama Alliance Presidio Bldg # 1009, 2nd Floor San Francisco, CA 94129 United States	0 00	25,000 00	25,000 00	Sacred Headwaters	0 00	PC - Public Charity
Peace and Security Funders Group c/o Fund for Constitutional Government 122 Maryland Avenue, NE Washington, DC 20002 United States	0 00	3,500 00	3,500 00	Climate security	0 00	PC - Public Charity
Philanthropy New York 320 East 43rd Street New York, NY 10017 United States	0 00	2,000 00	2,000 00	Philanthropic sector support	0 00	PC - Public Charity
Prisoner Reentry Institute at John Jay College of Criminal Justice c/o Research Foundation of CUNY 230 West 41 Street, 7th Floor New York, NY 10036-7207 United States	0 00	55,000 00	55,000 00	Fellowship program	0 00	PC - Public Charity
Project On Government Oversight 1100 G Street NW Suite #500 Washington, DC 20005 United States	0 00	25,000 00	25,000 00	Increased oversight of the private prison industry	0 00	PC - Public Charity
Protect Our Winters Action Fund 4676 Broadway Street Boulder, CO 80304 United States	0 00	50,000 00	50,000 00	Support educational efforts to make action on climate change a top policy priority for the outdoor sports community	0 00	NC - Organization not otherwise classified
Rattlestick Playwrights Theater 224 Waverly Place New York, NY 10014 United States	0 00	10,000 00	10,000 00	Rattlestick Playwrights Theater's production of Lockdown	0 00	PC - Public Charity
republicEn c/o George Mason University Foundation 4400 University Drive MS 1A3 Fairfax, Virginia 22030 United States	0 00	50,000 00	50,000 00	Enfranchising conservative grassroots to embolden American climate leadership	0 00	PC - Public Charity
Rockefeller Family Fund 475 Riverside Drive, Suite 900 New York, NY 10115 United States	0 00	75,000 00	75,000 00	Strategic consultant in TX	0 00	PC - Public Charity
Rockefeller Family Fund 475 Riverside Drive, Suite 900 New York, NY 10115 United States	0 00	50,000 00	50,000 00	Limit oil and gas development in Texas	0 00	PC - Public Charity
Rockefeller Philanthropy Advisors 6 West 48th Street, Floor 10 New York, NY 10036-1802 United States	0 00	100,000 00	100,000 00	Administer trustee discretionary and matching grants	0 00	PC - Public Charity
Rutgers, the State University of New Jersey 249 University Avenue, Room 206 Newark, NJ 07012 United States	0 00	15,000 00	15,000 00	Rikers Public Memory Project	0 00	PC - Public Charity
Rutgers, the State University of New Jersey 249 University Avenue, Room 206 Newark, NJ 07012 United States	0 00	15,000 00	15,000 00	Rikers Public Memory Project	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
Salzburg Global Seminar Stephen Salyer 1250 H Street NW, Suite 1150 Washington DC 20005	100,000 00	0 00	100,000 00	Designated for collaboration with Global Alliance for the Future of Food	0 00	PC - Public Charity
Scheherazade Initiatives 8 The Green STE A Dover, DE 19901-3618 United States	0 00	50,000 00	25,000 00	Replication of participatory theater model	25,000 00	PC - Public Charity
Sepsis Alliance 1855 First Avenue, Suite 102 San Diego, CA 92101 United States	0 00	45,000 00	45,000 00	Sepsis prevention	0 00	PC - Public Charity
Sixteen Thirty Fund 1201 Connecticut Ave NW Suite 300 Washington, DC 20036 United States	0 00	150,000 00	150,000 00	Support educational components of the Climate and Energy Fund and Climate Equity Action Fund, both of which advocate for climate and clean energy policies	0 00	NC - Organization not otherwise classified
Texas Campaign for the Environment Fund 105 W Riverside Dr - Suite 120 Austin, TX 78704 United States	0 00	50,000 00	50,000 00	Limit oil and gas development in Texas	0 00	PC - Public Charity
Texas Rio Grande Legal Aid 4920 I-35 Austin, TX 78751 United States To limit oil and gas development in Texas	0 00	50,000 00	50,000 00	Limit oil and gas development in Texas	0 00	PC - Public Charity
The Amplifier Foundation 220 2nd Avenue South Seattle, WA 98104 United States	0 00	15,000 00	15,000 00	Youth climate march video	0 00	PC - Public Charity
The Gordon School 45 Maxfield Avenue East Providence, RI 02914 United States	0 00	250,000 00	250,000 00	Energy efficiency	0 00	PC - Public Charity
The Niskanen Center 820 First Street, NE, Suite 675 Washington, DC 20002 United States	0 00	25,000 00	25,000 00	Limit oil and gas development	0 00	PC - Public Charity
Tides Foundation 50 F Street NW Washington, DC 20001 United States	0 00	10,000 00	10,000 00	Civic Participation Fund	0 00	PC - Public Charity
Tides Foundation P O Box 29903 San Francisco, CA 94129-0903 United States	0 00	20,000 00	20,000 00	Civic Participation Fund	0 00	PC - Public Charity
Tribeca Film Institute 32 Avenue of the Americas 27th Floor New York, NY 10013 United States	0 00	25,000 00	25,000 00	TFI Screening Series for incarcerated communities	0 00	PC - Public Charity
Upstart Co-Lab c/o Rockefeller Philanthropy Advisors 6 West 48th Street 10th Floor New York, NY United States	0 00	75,000 00	25,000 00	Creative economy	50,000 00	PC - Public Charity
Victory Gardens Theater 2433 N Lincoln Ave Chicago, IL 60614 United States	0 00	40,000 00	40,000 00	Envisioning Justice through the Lens of Theater program	0 00	PC - Public Charity
W Haywood Burns Institute 475 14th Street - Suite 800 Oakland, CA 94612 United States	0 00	30,000 00	30,000 00	Data-driven justice reform	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
Women's Earth Alliance c/o Earth Island Institute The David Brower Center 2150 Allston Way, Suite 460 Berkeley, CA 94704 United States	0 00	6,500 00	6,500 00	Accelerator seed grants	0 00	PC - Public Charity
YEARS Project 630 9th Avenue, Suite 1106 New York, NY 10036 United States	0 00	25,000 00	25,000 00	Fossil fuel documentary	0 00	PC - Public Charity
YEARS Project 630 9th Avenue, Suite 1106 New York, NY 10036 United States	0 00	25,000 00	25,000 00	Fossil fuel documentary	0 00	PC - Public Charity
Total.	**425,000 00**	**4,495,000 00**	**3,930,000 00**		**990,000.00**	

STAFF MATCHING GRANTS

Americans for Oxford Neil Simpkins 500 5th Avenue, 32nd Floor New York, NY 10110	240 00	0 00	240 00	general operating purposes	0 00	PC - Public Charity
Friends of the Brooklyn Latin School Gina Mautschke-Mitchell 223 Graham Avenue Brooklyn, NY 11206	300 00	0 00	300 00	general operating purposes	0 00	PC - Public Charity
JED Foundation Heather Poole 6 East 39th Street, Suite 1204 New York, NY 10016	258 00	0 00	258 00	general operating purposes	0 00	PC - Public Charity
International Rescue Committee Jessica Fisher 122 East 42nd Street New York, NY 10168	250 00	0 00	250 00	general operating purposes	0 00	PC - Public Charity
Montclair Early Childhood Corp Molly Brennan 49 Orange Road Montclair, NJ 07042	200 00	0 00	200 00	general operating purposes	0 00	PC - Public Charity
Montclair Early Childhood Corp Molly Brennan 49 Orange Road Montclair, NJ 07042	3,000 00	0 00	3,000 00	general operating purposes	0 00	PC - Public Charity
International Rescue Committee 122 East 42nd Street New York, NY 10168-1289 United States	0 00	250 00	0 00	general operating purposes	250 00	PC - Public Charity
JED Foundation 6 E 39th Street Suite 1204 New York, NY 10016 United States	0 00	52 00	52 00	general operating purposes	0 00	PC - Public Charity
JED Foundation 6 E 39th Street Suite 1204 New York, NY 10016 United States	0 00	350 00	350 00	general operating purposes	0 00	PC - Public Charity
Montclair Community Pre-K 49 Orange Road Montclair NJ 07042 United States	0 00	2,000 00	2,000 00	general operating purposes	0 00	PC - Public Charity

GRANTS APPROVED AND PAID 2019 (approval date is any date between 1/1/2019 and 12/31/2019)

Organization	Beginning Balance 2019	Approved Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
Montclair Community Pre-K 49 Orange Road Montclair NJ 07042 United States	0 00	1,000 00	1,000 00	general operating purposes	0 00	PC - Public Charity
Montclair Community Pre-K 49 Orange Road Montclair NJ 07042 United States	0 00	300 00	0 00	general operating purposes	300 00	PC - Public Charity
Nurse-Family Partnership 1900 Grant Street, Suite 400 Denver, CO 80204 United States	0 00	25 00	25 00	general operating purposes	0 00	PC - Public Charity
Social Tees Animal Rescue 325 E 5th Street New York, NY 10023 United States	0 00	25 00	0 00	general operating purposes	25 00	PC - Public Charity
Total:	**4,248.00**	**4,002.00**	**7,675 00**		**575 00**	
GRAND TOTAL Part XV, line 3a & 3b	**429,248 00**	**4,499,002.00**	**3,937,675 00**		**990,575.00**	
2019 Accrued Employee Matching Gifts	**(4,248.00)**		**575.00**		**(575.00)**	
Total Per GL	**425,000.00**	**4,499,002.00**	**3,938,250.00**		**990,000 00**	