

For calendar year 2020, or tax year beginning 01-01-2020, and ending 12-31-2020

Name of foundation THE ROCK FOUNDATION		A Employer identification number 94-1671318	
Number and street (or P.O. box number if mail is not delivered to street address) 415 MISSION STREET STE 5700		Room/suite	B Telephone number (see instructions) (415) 981-3921
City or town, state or province, country, and ZIP or foreign postal code SAN FRANCISCO, CA 94105		C If exemption application is pending, check here ☐	
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 ... ☐	
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 53,766,258	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)				
	2 Check ☒ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	5,525	5,525		
	4 Dividends and interest from securities	1,494,567	1,494,567		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10 _____	-228,032			
	b Gross sales price for all assets on line 6a _____ 2,913,431				
	7 Capital gain net income (from Part IV, line 2)		0		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less: Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	13,221	16,431		
	12 Total. Add lines 1 through 11	1,285,281	1,516,523		
	13 Compensation of officers, directors, trustees, etc.	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	1,162	0		1,162
	b Accounting fees (attach schedule)	30,675	0		30,675
	c Other professional fees (attach schedule)				
	17 Interest	12,347	12,347		0
	18 Taxes (attach schedule) (see instructions)	12,700	0		0
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	11,787	11,530		180
	24 Total operating and administrative expenses. Add lines 13 through 23	68,671	23,877		32,017
	25 Contributions, gifts, grants paid	1,500,025			1,500,025
	26 Total expenses and disbursements. Add lines 24 and 25	1,568,696	23,877		1,532,042
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-283,415			
	b Net investment income (if negative, enter -0-)		1,492,646		
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	289,847	914,946	914,946
	3 Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U.S. and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)			
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)	39,591,240	38,682,850	52,851,312
	14 Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)	29,200	29,076	0	
16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	39,910,287	39,626,872	53,766,258	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	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)	0	0	
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			
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ ☒ and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds	0	0	
	27 Paid-in or capital surplus, or land, bldg., and equipment fund	0	0	
	28 Retained earnings, accumulated income, endowment, or other funds	39,910,287	39,626,872	
	29 Total net assets or fund balances (see instructions)	39,910,287	39,626,872	
30 Total liabilities and net assets/fund balances (see instructions) .	39,910,287	39,626,872		

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	39,910,287
2 Enter amount from Part I, line 27a	2	-283,415
3 Other increases not included in line 2 (itemize) ▶ _____	3	0
4 Add lines 1, 2, and 3	4	39,626,872
5 Decreases not included in line 2 (itemize) ▶ _____	5	0
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	6	39,626,872

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a	29,576.3 SHRS LOOMIS INSTL HIGH INCOME FUND	P	2019-12-17	2020-01-15
b	434,346.86 SHRS LOOMIS INSTL HIGH INCOME FUND	P	2018-12-17	2020-01-15
c	FROM K-1 - OCM OPPORTUNITIES FUND VI	P	2005-07-01	2020-12-31
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	185,738	183,077	2,661	
b	2,727,693	2,882,053	-154,360	
c		76,333	-76,333	
d				
e				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			2,661
b			-154,360
c			-76,333
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	-228,032
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**SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE**

1	Reserved			
(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved	
2	Reserved		2	
3	Reserved		3	
4	Reserved		4	
5	Reserved		5	
6	Reserved		6	
7	Reserved		7	
8	Reserved ,		8	

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	Reserved.	1	20,748
c	All other domestic foundations enter 1.39% 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	20,748
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	20,748
6	Credits/Payments:		
a	2020 estimated tax payments and 2019 overpayment credited to 2020	6a	26,708
b	Exempt foreign organizations—tax withheld at source	6b	0
c	Tax paid with application for extension of time to file (Form 8868)	6c	0
d	Backup withholding erroneously withheld	6d	0
7	Total credits and payments. Add lines 6a through 6d.	7	26,708
8	Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached.	8	0
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed .	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid .	10	5,960
11	Enter the amount of line 10 to be: Credited to 2021 estimated tax 5,960 Refunded	11	0

Part VII-A Statements Regarding Activities

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?		Yes	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition). <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>	1a		No
c	Did the foundation file Form 1120-POL for this year?	1b		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ► \$ 0 (2) On foundation managers. ► \$ 0	1c		No
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► \$ 0			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	Yes	
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b	Yes	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ► CA			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2020 or the taxable year beginning in 2020? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i>	9		No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10		No

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ <u>N/A</u>	13	Yes	
14	The books are in care of ▶ <u>ARTHUR ROCK</u> Telephone no. ▶ <u>(415) 981-3921</u>			

Located at ▶ 415 MISSION STREET STE 5700 SAN FRANCISCO CA ZIP+4 ▶ 94105

15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ 15			
16	At any time during calendar year 2020, 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	Yes	No

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

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

1a	During the year did the foundation (either directly or indirectly):		Yes	No
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions ☐ Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐	1b		
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 2020?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2020, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2020? ☐ Yes ☒ No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2020 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period?(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2020.)	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2020?	4b		No

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.	☐ 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
	Organizations relying on a current notice regarding disaster assistance check here. ► ☐		
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	☐ Yes ☐ No	
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).		
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No	
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	☐ Yes ☒ No	6b
	If "Yes" to 6b, file Form 8870.		No
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No		
b	If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?	☐ Yes ☒ No	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 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, 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
ARTHUR ROCK 415 MISSION STREET STE 5700 SAN FRANCISCO, CA 94105	PRES/DIRECTOR 1.00	0	0	0
JULIE A DIVOLA 415 MISSION STREET STE 5700 SAN FRANCISCO, CA 94105	CFO/SEC 0.50	0	0	0

2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

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
NONE		
Total number of others receiving over \$50,000 for professional services. ►		0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
All other program-related investments. See instructions.	
3	
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	43,678,345
b	Average of monthly cash balances.	1b	1,319,703
c	Fair market value of all other assets (see instructions).	1c	1,556,929
d	Total (add lines 1a, b, and c).	1d	46,554,977
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	46,554,977
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	698,325
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	45,856,652
6	Minimum investment return. Enter 5% of line 5.	6	2,292,833

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	2,292,833
2a	Tax on investment income for 2020 from Part VI, line 5.	2a	20,748
b	Income tax for 2020. (This does not include the tax from Part VI.).	2b	
c	Add lines 2a and 2b.	2c	20,748
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	2,272,085
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	2,272,085
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	2,272,085

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	1a	1,532,042
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,532,042
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,532,042

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2019	(c) 2019	(d) 2020
1 Distributable amount for 2020 from Part XI, line 7				2,272,085
2 Undistributed income, if any, as of the end of 2020:				
a Enter amount for 2019 only.			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2020:				
a From 2015.				
b From 2016.				
c From 2017.				
d From 2018.				262,942
e From 2019.				545,194
f Total of lines 3a through e.	808,136			
4 Qualifying distributions for 2020 from Part XII, line 4: ► \$ <u>1,532,042</u>				
a Applied to 2019, 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 2020 distributable amount.				1,532,042
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2020. (If an amount appears in column (d), the same amount must be shown in column (a).)	740,043			740,043
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	68,093			
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 2019. Subtract line 4a from line 2a. Taxable amount—see instructions.			0	
f Undistributed income for 2021. 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 2015 not applied on line 5 or line 7 (see instructions).	0			
9 Excess distributions carryover to 2021. Subtract lines 7 and 8 from line 6a.	68,093			
10 Analysis of line 9:				
a Excess from 2016.				
b Excess from 2017.				
c Excess from 2018.				
d Excess from 2019.				68,093
e Excess from 2020.				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2020, enter the date of the ruling. ▶

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

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

	Tax year	Prior 3 years			(e) Total
	(a) 2020	(b) 2019	(c) 2018	(d) 2017	
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).)

ARTHUR ROCK

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

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

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. 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:

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

c Any submission deadlines:

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

Part XV **Supplementary Information** (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			▶ 3a	1,500,025
b <i>Approved for future payment</i>				
Total			▶ 3b	0

Enter gross amounts unless otherwise indicated.

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

[illegible]

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

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

[illegible]

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.		
	*****	2021-08-30	*****
	_____ Signature of officer or trustee	_____ Date	_____ Title

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

Paid Preparer Use Only	Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ☐	PTIN
	PAMELA BURNS		2021-08-13		P00117843
	Firm's name ▶ HOWSON & SIMON LLP				Firm's EIN ▶ 94-3054312
	Firm's address ▶ 101 YGNACIO VLY RD 310 WALNUT CREEK, CA 94596				Phone no. (925) 977-9060

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
50CAN1625 K ST NW STE 400 WASHINGTON, DC 20006	N/A	PC	EDUCATIONAL	50,000
AMERICAN ACADEMY OF ARTS & SCIENCES 136 IRVING STREET CAMBRIDGE, MA 02138	N/A	PC	CHARITABLE	5,000
AMERICAN HIKING SOCIETY 8605 SECOND AVENUE SILVER SPRING, MD 20910	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
AMERICAN HIMALAYAN FOUNDATION 909 MONTGOMERY STREET STE 400 SAN FRANCISCO, CA 94133	N/A	PC	CHARITABLE	10,000
AMERICAN JEWISH COMMITTEE 165 EAST 56TH STREET NEW YORK, NY 10022	N/A	PC	CHARITABLE	5,000
AMERICAN NONSMOKERS' RIGHTS FOUNDATION 2530 SAN PABLO AVENUE SUITE J BERKELEY, CA 94702	N/A	PC	CHARITABLE	150
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
AMNESTY INTERNATIONAL 5 PENN PLAZA FLR 16 NEW YORK, NY 10001	N/A	PC	CHARITABLE	2,000
ANTI-DEFAMATION LEAGUE 605 THIRD AVE NEW YORK, NY 10158	N/A	PC	CHARITABLE	10,000
ARCS FOUNDATION INC NCC (ACHIEVEMENT REWARDS FOR COLLEGE SCIENTISTS) PO BOX 29405 SAN FRANCISCO, CA 94129	N/A	PC	CHARITABLE	50,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ASIAN ART MUSEUM FOUNDATION 200 LARKIN STREET SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	3,000
ASIAN LAW CAUCUS (ASIAN AMERICANS ADVANCING JUSTICE) 55 COLUMBUS AVE SAN FRANCISCO, CA 94111	N/A	PC	CHARITABLE	10,000
ASPEN INSTITUTE INC 477 MADISON AVENUE STE 730 NEW YORK, NY 10022	N/A	PC	CHARITABLE	5,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ASSOCIATION OF FUNDRAISING PROFESSIONALS (AFP GOLDEN GATE) 4300 WILSON BLVD ARLINGTON, VA 22203	N/A	PC	CHARITABLE	15,000
AT THE CROSSROADS 167 JESSIE STREET SAN FRANCISCO, CA 94105	N/A	PC	CHARITABLE	6,000
BAY AREA LEGAL AID 1735 TELEGRAPH AVENUE OAKLAND, CA 94612	N/A	PC	CHARITABLE	10,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BAY AREA RIDGE TRAIL COUNCIL 391 SUTTER STREET STE 701 SAN FRANCISCO, CA 94108	N/A	PC	CHARITABLE	1,000
BIG BROTHERS BIG SISTERS OF THE BAY AREA 65 BATTERY ST FLR 2 SAN FRANCISCO, CA 94111	N/A	PC	CHARITABLE	15,000
BIPARTISAN POLICY CENTER 1225 EYE STREET NW STE 1000 WASHINGTON, DC 20005	N/A	PC	CHARITABLE	50,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BOYS & GIRLS CLUBS OF SAN FRANCISCO 380 FULTON STREET SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	50,000
BRADY CENTER TO PREVENT GUN VIOLENCE 840 FIRST STREET NE SUITE 400 WASHINGTON, DC 20002	N/A	PC	CHARITABLE	1,000
CALIFORNIA ACADEMY OF SCIENCES 55 MUSIC CONCOURSE DRIVE/GOLDEN GATE PARK SAN FRANCISCO, CA 94118	N/A	PC	CHARITABLE	25,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CALIFORNIA CHANGE LAWYERS (FKA BAR FOUNDATION) 180 HOWARD STREET SAN FRANCISCO, CA 94105	N/A	PC	CHARITABLE	2,500
CALIFORNIA HISTORICAL SOCIETY 678 MISSION STREET SAN FRANCISCO, CA 94105	N/A	PC	CHARITABLE	10,000
CALIFORNIA SHAKESPEARE THEATER 701 HEINZ AVENUE BERKELEY, CA 94710	N/A	PC	CHARITABLE	3,500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CALTECH (CALIFORNIA INSTITUTE OF TECHNOLOGY) 1200 E CALIFORNIA BLVD PASADENA, CA 91125	N/A	PC	CHARITABLE	5,000
CHARITY WATCH (AMERICAN INSTITUTE OF PHILANTHROPY) PO BOX 578460 CHICAGO, IL 60657	N/A	PC	CHARITABLE	50
CHILD CARE LAW CENTER 1832 2ND STREET UNIT K BERKELEY, CA 94710	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CHILDREN'S LAW OFFICES INC PO BOX 706 COTATI, CA 94931	N/A	PC	CHARITABLE	6,000
CITIZEN SCHOOLS 1 BEACON ST STE 2200 BOSTON, MA 02108	N/A	PC	EDUCATIONAL	10,000
CLAM (COMMUNITY LAND TRUST ASSOCIATION OF WEST MARIN) PO BOX 273 POINT REYES STATION, CA 94956	N/A	PC	CHARITABLE	2,500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CODE NATION (FKA SCRIPTED INC) 85 BROAD STREET FLR 17 NEW YORK, NY 10004	N/A	PC	CHARITABLE	100,000
COMMON SENSE MEDIA 650 TOWNSEND STREET STE 435 SAN FRANCISCO, CA 94103	N/A	PC	CHARITABLE	2,500
COMMONWEALTH CLUB OF CA 110 THE EMBARCADERO SAN FRANCISCO, CA 94105	N/A	PC	CHARITABLE	125,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
COMMUNITY MUSIC CENTER 544 CAPP STREET SAN FRANCISCO, CA 94110	N/A	PC	CHARITABLE	2,500
COMMUNITY RESOURCES FOR SCIENCE 1611 SAN PABLO AVENUE STE 10B BERKELEY, CA 94702	N/A	PC	CHARITABLE	75,000
COMPASSION & CHOICES 8156 S WADSWORTH BLVD UNIT E LITTLETON, CO 80128	N/A	PC	CHARITABLE	5,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
COMPUTER HISTORY MUSEUM 1401 N SHORELINE BLVD MOUNTAIN VIEW, CA 94043	N/A	PC	CHARITABLE	10,000
CONTEMPORARY JEWISH MUSEUM 736 MISSION STREET SAN FRANCISCO, CA 94103	N/A	PC	CHARITABLE	1,800
CORO CENTER FOR CIVIC LEADERSHIP 233 SANSOME STREET STE 400 SAN FRANCISCO, CA 94104	N/A	PC	CHARITABLE	2,500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CROWDED FIRE THEATER COMPANY 1695 18TH STREET C101 SAN FRANCISCO, CA 94107	N/A	PC	CHARITABLE	3,000
CUTTING BALL THEATER 141 TAYLOR STREET SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	7,500
DANCE PALACEPO BOX 217 POINT REYES STATION, CA 94956	N/A	PC	CHARITABLE	3,500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DEATH WITH DIGNITY NATIONAL CENTER 520 SW 6TH AVENUE SUITE 1220 PORTLAND, OR 97204	N/A	PC	CHARITABLE	500
EDCHOICE (FRIEDMAN FOUNDATION FOR EDUCATIONAL CHOICE) 111 MONUMENT CIRCLE INDIANAPOLIS, IN 46204	N/A	PC	CHARITABLE	5,000
EPISCOPAL IMPACT FUND 1055 TAYLOR ST SAN FRANCISCO, CA 94108	N/A	PC	CHARITABLE	8,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
EQUAL JUSTICE SOCIETY 1939 HARRISON STREET SUITE 818 OAKLAND, CA 94612	N/A	PC	CHARITABLE	10,000
FEEDING AMERICA35 E WACKER DRIVE CHICAGO, IL 60601	N/A	PC	CHARITABLE	10,000
FINE ARTS MUSEUM 50 HAGIWARA TEA GARDEN DRIVE SAN FRANCISCO, CA 94118	N/A	PC	CHARITABLE	2,500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
FRIENDS & FOUNDATION OF THE SAN FRANCISCO PUBLIC LIBRARY 710 VAN NESS AVENUE SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	2,500
FRIENDS OF HSLAPS FUND (FRIENDS OF THE HIGH SCHOOL FOR LEADERSHIP AND PUBL 485 MADISON AVENUE 13TH FLOOR NEW YORK, NY 10022	N/A	PC	EDUCATION	5,000
FRIENDS OF THE AMERICAN UNIVERSITY OF AFGHANISTAN 1901 PENNSYLVANIA AVE NW 207 WASHINGTON, DC 20006	N/A	PC	CHARITABLE	2,000
Total			3a	1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
FRIENDS OF THE URBAN FOREST 1007 GENERAL KENNEDY AVE SUITE 1 SAN FRANCISCO, CA 94129	N/A	PC	CHARITABLE	500
GALLERY ROUTE ONEPO BOX 937 POINT REYES STATION, CA 94956	N/A	PC	CHARITABLE	500
GIANTS COMMUNITY FUND 24 WILLIE MAYS PLAZA SAN FRANCISCO, CA 94107	N/A	PC	CHARITABLE	50,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
GIFFORDS LAW CENTER TO PREVENT GUN VIOLENCE 268 BUSH STREET STE 555 SAN FRANCISCO, CA 94104	N/A	PC	CHARITABLE	6,000
GIRLS INC OF ALAMEDA COUNTY 510 16TH STREET OAKLAND, CA 94612	N/A	PC	CHARITABLE	1,000
GLOBAL FUND FOR WOMEN 800 MARKET STREET SUITE 700 SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
GLOBAL HERITAGE FUND 220 MONTGOMERY STREET SUITE 1020 SAN FRANCISCO, CA 94104	N/A	PC	CHARITABLE	1,000
GOLDEN GATE NATIONAL PARKS CONSERVANCY FORT MASON BUILDING 201 SAN FRANCISCO, CA 94123	N/A	PC	CHARITABLE	10,000
GOLDEN GATE PHILHARMONIC PO BOX 170301 SAN FRANCISCO, CA 94117	N/A	PC	CHARITABLE	500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
GREENBELT ALLIANCE (PEOPLE FOR OPEN SPACE INC) 312 SUTTER STREET SUITE 510 SAN FRANCISCO, CA 94108	N/A	PC	CHARITABLE	10,000
GRITTY CITY REPERTORY YOUTH THEATRE 1905 SANDCREEK WAY ALAMEDA, CA 94501	N/A	PC	CHARITABLE	4,000
HOOVER INSTITUTION STANFORD UNIVERSITY STANFORD, CA 94305	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
HOPE MOHR DANCEPO BOX 225237 SAN FRANCISCO, CA 94122	N/A	PC	CHARITABLE	1,000
IGNITE510 16TH STREET OAKLAND, CA 94612	N/A	PC	CHARITABLE	3,000
IMMACULATE CONCEPTION ACADEMY 3625 24TH STREET SAN FRANCISCO, CA 94110	N/A	PC	CHARITABLE	10,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
IMMIGRANT LEGAL RESOURCE CENTER 1458 HOWARD STREET SAN FRANCISCO, CA 94103	N/A	PC	CHARITABLE	25,000
INSTITUTE ON AGING3575 GEARY BLVD SAN FRANCISCO, CA 94118	N/A	PC	CHARITABLE	1,000
INVERNESS GARDEN CLUB (SCHOLARSHIP) PO BOX 724 INVERNESS, CA 94937	N/A	PC	CHARITABLE	4,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
JACKSON LABORATORY 600 MAIN STREET BAR HARBOR, ME 04609	N/A	PC	CHARITABLE	7,500
JEWISH COMMUNITY CENTER OF SAN FRANCISCO 3200 CALIFORNIA STREET SAN FRANCISCO, CA 94118	N/A	PC	CHARITABLE	1,000
JEWISH VOCATIONAL & CAREER COUNSELING SERVICE 225 BUSH STREET SUITE 400 SAN FRANCISCO, CA 94104	N/A	PC	CHARITABLE	50,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
JOE GOODE PERFORMANCE GROUP 499 ALABAMA STREET 150 SAN FRANCISCO, CA 94110	N/A	PC	CHARITABLE	1,500
JUNIOR ACHIEVEMENT OF NORTHERN CALIFORNIA 3003 OAK ROAD SUITE 109 WALNUT CREEK, CA 94597	N/A	PC	CHARITABLE	5,000
KCSM (SAN MATEO COUNTY COMMUNITY COLLEGE FOUNDATION) 3401 CSM DR SAN MATEO, CA 94402	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
KDFC201 3RD STREET FLR 12 SAN FRANCISCO, CA 94103	N/A	PC	CHARITABLE	5,000
KQED2601 MARIPOSA STREET SAN FRANCISCO, CA 94110	N/A	PC	CHARITABLE	50,000
LAKESIDE SCHOOL 14050 1ST AVENUE NE SEATTLE, WA 98125	N/A	PC	EDUCATIONAL	12,500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
LAMPLIGHTERS MUSIC THEATRE 469 BRYANT STREET SAN FRANCISCO, CA 94107	N/A	PC	CHARITABLE	2,500
LEGAL AID AT WORK 180 MONTGOMERY STREET SUITE 600 SAN FRANCISCO, CA 94104	N/A	PC	CHARITABLE	20,000
LEGAL MOMENTUM 32 BROADWAY STE 1801 NEW YORK, NY 10004	N/A	PC	CHARITABLE	2,500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
LEGAL SERVICES FOR CHILDREN PO BOX 426860 SAN FRANCISCO, CA 94142	N/A	PC	CHARITABLE	1,000
MAGIC THEATRE FORT MASON BUILDING D SAN FRANCISCO, CA 94123	N/A	PC	CHARITABLE	25,000
MARIN AGRICULTURAL LAND TRUST PO BOX 809 POINT REYES STATION, CA 94956	N/A	PC	CHARITABLE	500
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MARIN COUNTRY DAY SCHOOL 5221 PARADISE DR CORTE MADERA, CA 94925	N/A	PC	EDUCATIONAL	250
MARIN THEATRE COMPANY 397 MILLER AVENUE MILL VALLEY, CA 94941	N/A	PC	CHARITABLE	1,500
MASSACHUSETTS FOUNDATION FOR HUMANITIES & PUBLIC POLICY 66 BRIDGE ST NORTHAMPTON, MA 01060	N/A	PC	CHARITABLE	5,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
MEALS ON WHEELS OF SAN FRANCISCO 1375 FAIRFAX AVENUE SAN FRANCISCO, CA 94124	N/A	PC	CHARITABLE	15,000
NATIONAL PARK FOUNDATION 1500 K ST NW STE 700 WASHINGTON, DC 20005	N/A	PC	CHARITABLE	250
NATIONAL PUBLIC RADIO 1111 NORTH CAPITOL ST NE WASHINGTON, DC 20002	N/A	PC	CHARITABLE	25,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
NATURE CONSERVANCY 4245 FAIRFAX DRIVE SUITE 100 ARLINGTON, VA 22203	N/A	PC	CHARITABLE	1,000
NATUREBRIDGE 28 GEARY STREET SUITE 650 SAN FRANCISCO, CA 94108	N/A	PC	CHARITABLE	1,000
NFTE BAY AREA (NETWORK FOR TEACHING ENTREPRENEURSHIP) 120 WALL STREET FLR 29 NEW YORK, NY 10005	N/A	PC	CHARITABLE	15,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
OAKLAND SCHOOL FOR THE ARTS 530 18TH STREET OAKLAND, CA 94612	N/A	PC	CHARITABLE	50,000
ODC DANCE351 SHOTWELL STREET SAN FRANCISCO, CA 94110	N/A	PC	CHARITABLE	2,000
OKIZU FOUNDATION 83 HAMILTON DRIVE NOVATO, CA 94949	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ONEJUSTICE 433 CALIFORNIA STREET SUITE 815 SAN FRANCISCO, CA 94104	N/A	PC	CHARITABLE	10,000
PACIFIC COUNCIL ON INTERNATIONAL POLICY 725 S FIGUEROA STREET STE 450 LOS ANGELES, CA 90017	N/A	PC	CHARITABLE	525
PACIFIC CREST TRAIL ASSOC 1331 GARDEN HIGHWAY SACRAMENTO, CA 95833	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
PACIFIC LEGAL FOUNDATION 930 G STREET SACRAMENTO, CA 95814	N/A	PC	CHARITABLE	500
PLAYGROUND3286 ADELINE STREET 8 BERKELEY, CA 94703	N/A	PC	CHARITABLE	1,000
PLAYWRIGHTS FOUNDATION 1616 16TH STREET SUITE 350 SAN FRANCISCO, CA 94103	N/A	PC	CHARITABLE	2,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
POINT BLUE (POINT REYES BIRD OBSERVATORY) 3820 CYPRESS DRIVE 11 PETALUMA, CA 94954	N/A	PC	CHARITABLE	300
PRESIDIO GRADUATE SCHOOL 1202 RALSTON AVENUE STE 300 SAN FRANCISCO, CA 94129	N/A	PC	EDUCATIONAL	4,000
RAGGED WING ENSEMBLE 1540 BROADWAY OAKLAND, CA 94612	N/A	PC	CHARITABLE	5,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
REBUILDING TOGETHERPIER 28 SAN FRANCISCO, CA 94105	N/A	PC	CHARITABLE	15,000
SAN FRANCISCO BEAUTIFUL 100 BUSH STREET SUITE 1812 SAN FRANCISCO, CA 94104	N/A	PC	CHARITABLE	500
SAN FRANCISCO CONSERVATORY OF MUSIC 50 OAK STREET SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	5,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SAN FRANCISCO COURT APPOINTED SPECIAL ADV PROGRAM (SF CASA) 2535 MISSION STREET SAN FRANCISCO, CA 94110	N/A	PC	CHARITABLE	1,500
SAN FRANCISCO FREE CLINIC 4900 CALIFORNIA STREET SAN FRANCISCO, CA 94118	N/A	PC	CHARITABLE	10,000
SAN FRANCISCO HISTORICAL SOCIETY PO BOX 420470 SAN FRANCISCO, CA 94142	N/A	PC	CHARITABLE	500
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SAN FRANCISCO MARITIME NATIONAL PARK ASSOCIATION PO BOX 470310 SAN FRANCISCO, CA 94147	N/A	PC	CHARITABLE	5,000
SAN FRANCISCO PERFORMANCES 500 SUTTER STREET SUITE 710 SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	2,000
SAN FRANCISCO PLAYHOUSE 588 SUTTER STREET STE 318 SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	15,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SAN FRANCISCO STUDY CENTER INC 1663 MISSION STREET STE 504 SAN FRANCISCO, CA 94103	N/A	PC	CHARITABLE	25,000
SAN FRANCISCO VILLAGE 3220 FULTON ST SAN FRANCISCO, CA 94118	N/A	PC	CHARITABLE	2,500
SEW PRODUCTIONS INC 762 FULTON STREET STE 204 SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	15,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
SIGMA ALPHA MU FOUNDATION PO BOX 7096 - DEPT 255 INDIANAPOLIS, IN 46207	N/A	PC	CHARITABLE	200
SPECIAL OLYMPICS NO CALIFORNIA 3480 BUSKIRK AVENUE SUITE 340 PLEASANT HILL, CA 94523	N/A	PC	CHARITABLE	2,500
STUDENT CONSERVATION ASSOC 4601 FAIRFAX DR STE 900 ARLINGTON, VA 22203	N/A	PC	CHARITABLE	2,500
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
STUDENTS RISING ABOVE PO BOX 192492 SAN FRANCISCO, CA 94119	N/A	PC	EDUCATION	10,000
THEATRE BAY AREA 1119 MARKET STREET FLR 2 SAN FRANCISCO, CA 94103	N/A	PC	CHARITABLE	12,500
THEATRE FIRST1301 SHATTUCK AVE BERKELEY, CA 94709	N/A	PC	CHARITABLE	5,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
TNDC - (TENDERLOIN NEIGHBORHOOD DEVELOPMENT CORPORATION) 201 EDDY STREET SAN FRANCISCO, CA 94102	N/A	PC	CHARITABLE	10,000
UNICEF (UNITED STATES FUND FOR UNICEF) 125 MAIDEN LANE NEW YORK, NY 10038	N/A	PC	CHARITABLE	5,000
UNITED FOR A FAIR ECONOMY 184 HIGH ST STE 603 BOSTON, MA 02110	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
UNIVERSITY OF CALIFORNIA BERKELEY FOUNDATION 1995 UNIVERSITY AVE STE 401 BERKELEY, CA 94704	N/A	PC	EDUCATIONAL	500
UNIVERSITY OF WASHINGTON LAW SCHOOL 4000 15TH AVE NE 231 SEATTLE, WA 98195	N/A	PC	EDUCATION	20,000
US ENGLISH FOUNDATION 5335 WISCONSIN AVENUE NW SUITE 930 WASHINGTON, DC 20015	N/A	PC	CHARITABLE	1,000
Total ▶ 3a				1,500,025

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Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
VOTE SMART (CENTER FOR NATIONAL INDEPENDENCE IN POLITICS) 1153 24TH STREET DES MOINES, IA 50311	N/A	PC	CHARITABLE	1,000
WILDERNESS LAND TRUST PO BOX 11697 BAINBRIDGE ISLAND, WA 98110	N/A	PC	CHARITABLE	2,500
WORLD JEWISH CONGRESS FOUNDATION 501 MADISON AVENUE NEW YORK, NY 10022	N/A	PC	CHARITABLE	125,000
Total ▶ 3a				1,500,025

TY 2020 Accounting Fees Schedule**Name:** THE ROCK FOUNDATION**EIN:** 94-1671318

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREPARATION FEES	30,675	0		30,675

TY 2020 Investments - Other Schedule**Name:** THE ROCK FOUNDATION**EIN:** 94-1671318**Investments Other Schedule 2**

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
ISHARES TRUST S&P MIDCAP 400	AT COST	556,842	1,467,100
ISHARES TRUST S&P SMALLCAP 600	AT COST	533,164	1,431,056
NUVEEN PFD SEC INCOME FD (JPS)	AT COST	13,770,844	13,865,250
VANGUARD TOTAL STOCK MARKET	AT COST	20,764,275	33,580,977
PRIME FINANCE PARTNERS IV	AT COST	1,996,919	1,556,719
NUVEEN PFD INCOME OPP FUND (IJJ)	AT COST	1,049,553	950,000
OCM OPPORTUNITIES FUND VI L.P.	AT COST	11,253	210

TY 2020 Legal Fees Schedule**Name:** THE ROCK FOUNDATION**EIN:** 94-1671318

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	1,162	0		1,162

TY 2020 Other Assets Schedule**Name:** THE ROCK FOUNDATION**EIN:** 94-1671318**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
ORGANIZATION/RESTRUCTURE COSTS	24,396	24,396	0
PREPAID FEDERAL TAXES	4,680	4,680	0
DIVIDEND RECEIVABLE	124	0	0

TY 2020 Other Expenses Schedule**Name:** THE ROCK FOUNDATION**EIN:** 94-1671318**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FILING FEE EXPENSE	180	0		180
INVESTMENT EXPENSE - PRIME PARTNERS IV	7,941	7,941		0
INVESTMENT EXPENSE - NORTHERN TRUST	1,885	1,885		0
INVESTMENT FEES - OCM OPPORTUNITIES FUND VI, L.P.	1,704	1,704		0
OTHER EXPENSE - OCM OPPORTUNITIES FUND VI, L.P.	77	0		0

TY 2020 Other Income Schedule**Name:** THE ROCK FOUNDATION**EIN:** 94-1671318**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
FROM K-1 - OCM OPPORTUNITIES FUND VI, L.P. - COD	22,545	22,545	22,545
FROM K-1 - OCM OPPORTUNITIES FUND VI, L.P. - PORTFOLIO LOSS	-6,114	-6,114	-6,114
ORD INC - OCM IV	-3,210		-3,210

TY 2020 Taxes Schedule

Name: THE ROCK FOUNDATION
EIN: 94-1671318

Taxes Schedule

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FORM 990-PF FEDERAL TAXES	12,700	0		0