

Form **990-PF**Department of the Treasury
Internal Revenue Service**Return of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation**

- ▶ **Do not enter social security numbers on this form as it may be made public.**
▶ **Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.**

OMB No. 1545-0052

2015**Open to Public Inspection****For calendar year 2015, or tax year beginning , 2015, and ending ,**

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) 475 RIVERSIDE DRIVE	Room/suite 900	B Telephone number (see instructions) (212) 812-4200
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. ▶ <input type="checkbox"/>
G Check all that apply:		D 1 Foreign organizations, check here ▶ <input type="checkbox"/>
<input type="checkbox"/> Initial return		<input type="checkbox"/> Initial return of a former public charity
<input type="checkbox"/> Final return		<input type="checkbox"/> Amended return
<input type="checkbox"/> Address change		<input type="checkbox"/> Name change
H Check type of organization:		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/>
<input type="checkbox"/> Section 501(c)(3) exempt private foundation		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ <input type="checkbox"/>
<input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		
I Fair market value of all assets at end of year (from Part II, column (c), line 16) ▶ \$ 5,526,610.		J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
REVENUE	1 Contributions, gifts, grants, etc., received (attach schedule)	1,250,000.			
	2 Ck ▶ <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	148.	148.		
	4 Dividends and interest from securities	96,294.	111,081.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	427,018.			
	b Gross sales price for all assets on line 6a 1,033,206.				
	7 Capital gain net income (from Part IV, line 2)		471,104.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less: Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
See Line 11 Stmt			-187.		
12 Total. Add lines 1 through 11	1,773,460.	582,146.			
ADMINISTRATIVE AND OPERATING EXPENSES	13 Compensation of officers, directors, trustees, etc.	180,883.	16,746.		164,137.
	14 Other employee salaries and wages	89,224.	0.		77,339.
	15 Pension plans, employee benefits	70,862.	4,392.		51,260.
	16a Legal fees (attach schedule) L-16a Stmt.	2,341.			9,864.
	b Accounting fees (attach sch.) L-16b Stmt.	24,650.	14,677.		4,100.
	c Other prof. fees (attach sch.) L-16c Stmt.	77,263.	67,650.		6,183.
	17 Interest				
	18 Taxes (attach schedule)(see instrs) See Line 18 Stmt	13,946.	8,792.		
	19 Depreciation (attach schedule) and depletion See Statement 4.	981.	31.		
	20 Occupancy	22,804.	730.		16,389.
	21 Travel, conferences, and meetings	24,694.			22,705.
	22 Printing and publications	1,314.			1,344.
	23 Other expenses (attach schedule)				
	See Line 23 Stmt	33,414.	1,069.		31,187.
	24 Total operating and administrative expenses. Add lines 13 through 23	542,376.	114,087.		384,508.
25 Contributions, gifts, grants paid See Statement 9.	1,266,000.			1,224,325.	
26 Total expenses and disbursements. Add lines 24 and 25	1,808,376.	114,087.		1,608,833.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-34,916.				
b Net investment income (if negative, enter -0-)		468,059.			
c Adjusted net income (if negative, enter -0-)					

**Application for Extension of Time To File an
Exempt Organization Return**

OMB No. 1545-1709

► **File a separate application for each return.**
► **Information about Form 8868 and its instructions is at www.irs.gov/form8868.**

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☐
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form).

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Electronic filing (e-file). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile and click on *e-file for Charities & Nonprofits*.

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☒

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	THE DAVID ROCKEFELLER FUND INC.	13-3533359
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	475 RIVERSIDE DRIVE, City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	NEW YORK, NY 10115	

Enter the Return code for the return that this application is for (file a separate application for each return)

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ► LUKAS HAYNES, 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK, NY 10115

Telephone No. ► 212 812-4200

FAX No. ► _____

- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____. If this is for the whole group, check this box ☐ . If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 11/15, 2016, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
 ► ☒ calendar year 2015 or
 ► ☐ tax year beginning _____, 20____, and ending _____, 20____.

2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
☐ Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	0.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	0.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	0.

Caution. If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form **8868** (Rev. 1-2014)

• If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box. ☒ **X**

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

• If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

		Enter filer's identifying number, see instructions
Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	THE DAVID ROCKEFELLER FUND INC.	13-3533359
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	475 RIVERSIDE DRIVE,	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	NEW YORK, NY 10115	

Enter the Return code for the return that this application is for (file a separate application for each return) **0 4**

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.


- The books are in the care of **LUKAS HAYNES, 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK, NY 10115**
Telephone No. **212 812-4200** Fax No.
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

- 4** I request an additional 3-month extension of time until **11/15, 2016**.
- 5** For calendar year **2015**, or other tax year beginning , 20 , and ending , 20 .
- 6** If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
☐ Change in accounting period
- 7** State in detail why you need the extension **INFORMATION NECESSARY TO PREPARE A COMPLETE AND ACCURATE RETURN IS NOT YET AVAILABLE.**

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	9,000.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	9,500.
c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature  Title **PAID PREPARER** Date **8/10/16**

Form **8868** (Rev. 1-2014)

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		82,286.	73,373.	73,373.
	2	Savings and temporary cash investments		155,963.	85,776.	85,776.
	3	Accounts receivable ▶ 2,396.				
		Less: allowance for doubtful accounts ▶		300.	2,396.	2,396.
	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 sch) ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		3,530.	3,530.	
	10a	Investments — U.S. and state government obligations (attach schedule)				
	b	Investments — corporate stock (attach schedule)				
	c	Investments — corporate bonds (attach schedule)				
	LIABILITIES	11	Investments — land, buildings, and equipment: basis ▶			
		Less: accumulated depreciation (attach schedule) ▶				
12		Investments — mortgage loans				
13		Investments — other (attach schedule)	5,720,486.	5,358,592.	5,358,592.	
14		Land, buildings, and equipment: basis ▶ 3,924.				
		Less: accumulated depreciation (attach schedule) ▶ See Statement 5 981.		2,943.	2,943.	
15		Other assets (describe ▶)				
16		Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)	5,959,035.	5,526,610.	5,526,610.	
17		Accounts payable and accrued expenses	101,693.	105,475.		
18		Grants payable ▶ See Statement 8 19,000.		55,000.		
NET ASSETS OR FUND BALANCES	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe ▶)				
	23	Total liabilities (add lines 17 through 22)	120,693.	160,475.		
		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/> X				
	24	Unrestricted	5,838,342.	5,366,135.		
25	Temporarily restricted					
26	Permanently restricted					
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>					
27	Capital stock, trust principal, or current funds					
28	Paid-in or capital surplus, or land, bldg., and equipment fund					
29	Retained earnings, accumulated income, endowment, or other funds					
30	Total net assets or fund balances (see instructions)	5,838,342.	5,366,135.			
31	Total liabilities and net assets/fund balances (see instructions)	5,959,035.	5,526,610.			

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year — Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	5,838,342.
2	Enter amount from Part I, line 27a	2	-34,916.
3	Other increases not included in line 2 (itemize) ▶ UNREALIZED DEPRECIATION ON INVESTMENTS	3	-446,501.
4	Add lines 1, 2, and 3	4	5,356,925.
5	Decreases not included in line 2 (itemize) ▶ DEFERRED FEDERAL EXCISE TAX	5	-9,210.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	5,366,135.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)	
1 a See Statement 2					
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
a					
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69					
(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	(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).		<div style="border: 1px solid black; padding: 2px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div>		<div style="border: 1px solid black; padding: 2px;"> 2 </div>	471,104.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):				<div style="border: 1px solid black; padding: 2px;"> 3 </div>	
If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8					

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If 'Yes,' the foundation does not qualify under section 4940(e). Do not complete this part.

(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))	
2014	1,509,650.	6,222,196.	0.242623	
2013	1,578,465.	5,592,605.	0.282241	
2012	1,378,629.	4,819,300.	0.286064	
2011	1,510,145.	4,865,255.	0.310394	
2010	1,427,677.	4,786,973.	0.298242	
2 Total of line 1, column (d)			<div style="border: 1px solid black; padding: 2px;"> 2 </div>	1.419564
3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			<div style="border: 1px solid black; padding: 2px;"> 3 </div>	0.283913
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.			<div style="border: 1px solid black; padding: 2px;"> 4 </div>	6,442,245.
5 Multiply line 4 by line 3			<div style="border: 1px solid black; padding: 2px;"> 5 </div>	1,829,037.
6 Enter 1% of net investment income (1% of Part I, line 27b)			<div style="border: 1px solid black; padding: 2px;"> 6 </div>	4,681.
7 Add lines 5 and 6.			<div style="border: 1px solid black; padding: 2px;"> 7 </div>	1,833,718.
8 Enter qualifying distributions from Part XII, line 4			<div style="border: 1px solid black; padding: 2px;"> 8 </div>	1,608,833.

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter 'N/A' on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary — see instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	9,361.
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	9,361.
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	9,361.
6 Credits/Payments:			
a 2015 estimated tax pmts and 2014 overpayment credited to 2015	6 a	9,500.	
b Exempt foreign organizations — tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	9,500.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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	0.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	139.	
11 Enter the amount of line 10 to be: Credited to 2016 estimated tax 139. Refunded	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?		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?		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.		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		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
b If 'Yes,' has it filed a tax return on Form 990-T for this year? See Statement 6.	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If 'Yes,' attach the statement required by General Instruction T.		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?	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	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) NY - New York		
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	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 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? If 'Yes,' complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If 'Yes,' attach a schedule listing their names and addresses		X

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Form 990-PF (2015)

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		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? Website address WWW.DRFund.org	13	X	
14	The books are in care of ▶ Lukas Haynes Telephone no. ▶ (212) 812-4224 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			
16	At any time during calendar year 2015, 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
1 a	During the year did the foundation (either directly or indirectly):			
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 <input type="checkbox"/>	1 b		X
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 2015?	1 c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) N/A	2 b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20 __ , 20 __ , 20 __ , 20 __ .			
3 a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If 'Yes,' did it have excess business holdings in 2015 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 2015.) N/A	3 b		
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?	4 b		X

BAA

Form 990-PF (2015)

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** 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)?5 b ☐ XOrganizations 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? Statement 7A ☒ Yes ☐ No

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d).

6 a 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 ☒ No6 b ☐ X

If 'Yes' to 6b, file Form 8870.

7 a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No**b** If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction? N/A7 b ☐**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 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
NONE				

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

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter 'NONE.'**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services		None

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 2015, 2 members of the staff of David Rockefeller Fund provided technical assistance to charitable organizations, governmental bodies and committees, and 1 member of the staff served on 1 charitable organization's board, and 3 committees, public commissions, or task forces.	42,099.
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 NONE	
2	0.
All other program-related investments. See instructions.	
3 NONE	
	0.
Total. Add lines 1 through 3	None

BAA

Form 990-PF (2015)

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	1 a	6,094,870.
b	Average of monthly cash balances	1 b	445,480.
c	Fair market value of all other assets (see instructions)	1 c	
d	Total (add lines 1a, b, and c)	1 d	6,540,350.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1 e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	6,540,350.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	98,105.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	6,442,245.
6	Minimum investment return. Enter 5% of line 5	6	322,112.

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	322,112.
2 a	Tax on investment income for 2015 from Part VI, line 5	2 a	9,361.
b	Income tax for 2015. (This does not include the tax from Part VI.)	2 b	
c	Add lines 2a and 2b	2 c	9,361.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	312,751.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	312,751.
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	312,751.

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	1 a	1,608,833.
b	Program-related investments — total from Part IX-B.	1 b	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)	3 a	
b	Cash distribution test (attach the required schedule)	3 b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,608,833.
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	1,608,833.

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 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				312,751.
2 Undistributed income, if any, as of the end of 2015:				
a Enter amount for 2014 only			0.	
b Total for prior years: 20 __, 20 __, 20 __				
3 Excess distributions carryover, if any, to 2015:				
a From 2010	1,191,862.			
b From 2011	1,266,764.			
c From 2012	1,143,142.			
d From 2013	1,309,533.			
e From 2014	1,207,059.			
f Total of lines 3a through e	6,118,360.			
4 Qualifying distributions for 2015 from Part XII, line 4: ► \$ 1,608,833.				
a Applied to 2014, 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 2015 distributable amount				312,751.
e Remaining amount distributed out of corpus	1,296,082.			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	7,414,442.			
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 2014. Subtract line 4a from line 2a. Taxable amount — see instructions			0.	
f Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				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 2010 not applied on line 5 or line 7 (see instructions)	1,191,862.			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	6,222,580.			
10 Analysis of line 9:				
a Excess from 2011	1,266,764.			
b Excess from 2012	1,143,142.			
c Excess from 2013	1,309,533.			
d Excess from 2014	1,207,059.			
e Excess from 2015	1,296,082.			

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

N/A

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, 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)					
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
	(a) 2015	(b) 2014	(c) 2013	(d) 2012	
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: See Statement 8A

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

- 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**

<div>Recipient</div> <div>Name and address (home or business)</div>	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> See Statement 9				
Total			3 a	1,224,325.
b <i>Approved for future payment</i> See Statement 9				
Total			3 b	68,175.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
		(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1	Program service revenue:					
a						
b						
c						
d						
e						
f						
g	Fees and contracts from government agencies . .					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments			14	148.	
4	Dividends and interest from securities	525990	89.	14	96,205.	
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	295.	18	-295.	
8	Gain or (loss) from sales of assets other than inventory . .	525990	734.	18	426,284.	
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)		1,118.		522,342.	
13	Total. Add line 12, columns (b), (d), and (e)					523,460.

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

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

[illegible]

INDEX OF SCHEDULES

Schedule of Contributions, Gifts, Grants Received	Schedule B
Schedule of Expenditures - Taxes Part I, line 18	Statement 1
Schedule of Expenditures - Other Expenses Part I, line 23	Statement 1
Schedule of Capital Gain Net Income/(Loss) Part I and Part IV, line 6a	Statement 2
Schedule of Other Income Part I, line 11	Statement 3
Schedule of Expenditures Part I, line 16	Statement 1
Schedule of Depreciation Part I, line 19	Statement 4
Schedule of Investments - Other Part II, line 13	Statement 1
Schedule of Land, Building & Equipment Part II, line 14, col. (b) & (c)	Statement 5
Statement of Activities Part VII-A, line 4b and line 12	Statement 6
Grant Subject to Expenditure Responsibility Part VII-B, line 5c	Statement 7A
Compensation of Officers, Directors & Trustees Part VIII, line 1	Statement 7
Supplementary Information Part XV, line 2	Statement 8A
Balance Sheets: Liabilities Part II, line 18	Statement 8
Detail of Grants Approved and Paid during the year Part XV, 3a and 3b. Part I, line 25	Statement 9

Schedule B
(Form 990, 990-EZ,
or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

► **Attach to Form 990, Form 990-EZ, or Form 990-PF.**

► **Information about Schedule B (Form 990, 990-EZ, 990-PF) and its instructions is at www.irs.gov/form990.**

OMB No. 1545-0047

2015

Name of the organization

THE DAVID ROCKEFELLER FUND, INC.

Employer identification number

13-3533359

Organization type (check one):

Filers of:

Form 990 or 990-EZ

Section:

☐ 501(c)() (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

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

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

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33-1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ► \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer 'No' on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

BAA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2015)

Employer identification number	
--------------------------------	--

13-3533359

Part I

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1		\$ 1,250,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

THE DAVID ROCKEFELLER FUND, INC.

13-3533359

1

Form 990-PF, Page 1, Part I, Line 11

Line 11 Stmt

Other income:	Rev/Exp Book	Net Inv Inc	Adj Net Inc
See Statement 3			
Other Income from Limited Partnerships		-187.	
Total		<u>-187.</u>	

Form 990-PF, Page 1, Part I, Line 18

Line 18 Stmt

Taxes	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
FEDERAL EXCISE TAX	13,946.			
FOREIGN TAXES PAID-THROUGH LIMITED PARTNERSHIPS		8,792.		
Total	<u>13,946.</u>	<u>8,792.</u>		

Form 990-PF, Page 1, Part I, Line 23

Line 23 Stmt

Other expenses:	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
Telephone & Internet	2,155.	69.		1,878.
Insurance	5,291.	169.		5,121.
Dues & Memberships	4,010.	128.		3,882.
Payroll Fees	9,928.	318.		9,610.
Maintenance & Repairs (Equip. & Software)	5,280.	169.		5,588.
General Office Expenses	6,750.	216.		5,108.
Total	<u>33,414.</u>	<u>1,069.</u>		<u>31,187.</u>

Form 990-PF, Page 1, Part I

Line 16a - Legal Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Patterson, Belknap, Webb & Tyler	Legal counsel: employee benefits	1,983.			9,506.
Milbank, Tweed, Hadley & McCloy	Legal services: accounting services matters	358.			358.
Total		<u>2,341.</u>			<u>9,864.</u>

Form 990-PF, Page 1, Part I

Line 16b - Accounting Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
KPMG LLP	Audit & Tax Services	24,650.	14,677.		4,100.
Total		<u>24,650.</u>	<u>14,677.</u>		<u>4,100.</u>

Form 990-PF, Page 1, Part I

Line 16c - Other Professional Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Grant Thornton	Rebill: Audit Services of Non-Profit(s)(k) plan	276.			276.
Hunter Capital Advisory, Inc.	Rebill: DRF Advisory Svc. 401K Plan	160.			
Sentrylink, LLC	Rebill: Intern background check	20.			20.
CBIZ	Rebill: HR Benefit services	1,260.			692.
Venturcom	Rebill: IT services	1,750.			960.
Valaire Van Slyck	Produce grant dockets for 2015 Spring Board	270.			270.
Lexi Fisher	Admin services for Board meeting	3,500.			3,500.
L.F. Stephens	Employment suitability inquiry	0.			465.
ROCK & CO.	Investment Management	69,633.	67,650.		
ROCK & CO.	CUSTODY FEES	394.			
Total		<u>77,263.</u>	<u>67,650.</u>		<u>6,183.</u>

Form 990-PF, Page 2, Part II, Line 13

L-13 Stmt

Line 13 - Investments - Other:	End of Year	
	Book Value	Fair Market Value
ROCKEFELLER GLOBAL EQUITY FUND	977,202.	977,202.
ROCKEFELLER ALTERNATIVE STRATEGIES FUND	10,465.	10,465.
ROCKEFELLER ACCESS FUND 06-1	484,068.	484,068.
ROCKEFELLER LIBRA FUND	3,351,542.	3,351,542.
Rockefeller Sustain & Impact	271,428.	271,428.
ACCESS CAP	213,227.	213,227.
SELF HELP CREDIT UNION	50,660.	50,660.
Total	<u>5,358,592.</u>	<u>5,358,592.</u>

Supporting Statement of:

Form 990-PF, p1/Line 13(a)

Description	Amount
Executive Director	180,883.
Total	180,883.

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

STATEMENT 2
FORM 990-PF
YEAR 2015

Schedule of Capital Gains and Losses

Part I, line 6a

	Gain or (Loss)
Vanguard Short-Term Bond	\$ (2,371)
Libra Fund	\$ 146,477
Rock & Co. Global Equity I	\$ 268,947
Rock & Co. Access Fund	\$ 12,003
Rock Sustain & Impact Fund, LP	\$ 1,962
Net Realized Gain per Books (Total Part I, line 6a,col.(a))	\$ 427,018

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

Libra Fund	146,520	
Rock & Co. Global Equity I	268,953	
Rock & Co. Alternative Strategies	(12,093)	
Rock & Co. Access Fund	68,128	
Rock Sustain & Impact Fund, LP	1,967	
		473,475
Less: Gain/(loss) from Partnerships previously reflected in books, for which K-1 values are now reflected on Form 990PF:		
	Libra Fund	(146,477)
	Rock & Co. Global Equity I	(268,947)
	Rock & Co. Access Fund	(12,003)
	Rock Sustain & Impact Fund, LP	(1,962)

Total Part IV, line 2	\$ 471,104
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DAVID ROCKEFELLER FUND, INC.
13-3533359
475 Riverside Drive, Suite 900
New York, New York 10115

STATEMENT 3
FORM 990-PF
YEAR 2015

Schedule of Other Income

Part I, line 11, col. b

	Other Income
Libra Fund	\$ (232)
Rock & Co. Global Equity I	\$ (78)
Rock & Co. Alternative Strategies	\$ 184
Rock & Co. Access Fund	\$ (61)
Rock & Co. Sustainability & Impact SMID CAP Fund, LP	\$ -
Other Income (Total Part I, line 11,col.(b))	\$ (187)

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

SCHEDULE 4
FORM 990-PF
YEAR 2015

SCHEDULE OF DEPRECIATION

Part I, line 19

Description	ASSETS					ACCUMULATED DEPRECIATION		
	Beginning of Year	P/Y Adj.	2015 Acquisitions	2015 Dispositions	End of Year	Reserve, beginning of Year	2015 Depreciation (Part 1, line 19)	Reserve, end of Year
Computer Equipment & Software	0		3,924		3,924	0	981	2,943
	-	-	3,924	-	3,924	0	981	2,943

DAVID ROCKEFELLER FUND, INC.
13-3533359
475 Riverside Drive, Suite 900
New York, New York 10015

STATEMENT 5
FORM 990-PF
YEAR 2015

SCHEDULE OF LAND, BUILDINGS & EQUIPMENT

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

<u>Description</u>	<u>Cost</u>	<u>Accumulated Depreciation</u>	<u>Net Basis</u>
Computer Equipment & Software	3,924	981	2,943
Total line 14			\$2,943

DAVID ROCKEFELLER FUND, INC.
13-3533359
475 Riverside Drive, Suite 900
New York, New York 10015

STATEMENT 6
FORM 990-PF
YEAR 2015

STATEMENT REGARDING ACTIVITIES

Part VII-A, line 4b

2015 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

2015 Distribution to Donor Advised Funds

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

<u>Donor Advised Funds</u>	<u>Distribution Amount</u>	<u>Date</u>
<u>Rockefeller Philanthropy Advisors:</u>		
The David Rockefeller Fund Trustee Giving - 4th & 5th Generations	\$ 145,000.00 (1)	2/27/2015

(1) This amount was treated as a qualifying distribution by the David Rockefeller Fund in 2015.

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2015

1. Name and Address of Recipient:
PEOPLE'S CLIMATE ARTS
c/o The Watershed Center
44 Kaye Road
Millerton, NY 12546
2. Date and Amount of Grant:
10/6/15 \$5,000
3. Purpose of Grant:
Support efforts around the People's Climate Movement Day of Action.
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 4/26/2016, 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.

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

STATEMENT 7
FORM 990PF
2015

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
PEGGY DULANY 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1.5	NONE	NONE	NONE
ADAM 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
DAVID KAISER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
CHRIS LINDSTROM 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	1	NONE	NONE	NONE
MICHAEL QUATTRONE 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE/CHAIR	4	NONE	NONE	NONE

THE DAVID ROCKEFELLER FUND INC.
13-3533359
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STATEMENT 7
FORM 990PF
2015

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
ABBY ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	0.5	NONE	NONE	NONE
ARIANA ROCKEFELLER BUCKLIN 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
CAMILLA ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(2) TRUSTEE/SECRETARY	2.5	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	TRUSTEE	1.5	NONE	NONE	NONE
MAEVE KING ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	0.75	NONE	NONE	NONE

THE DAVID ROCKEFELLER FUND INC.
13-3533359
475 Riverside Drive, Suite 900
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STATEMENT 7
FORM 990PF
2015

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
MANYA RUBINSTEIN 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	1.5	NONE	NONE	NONE
JAMES SLIGAR 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE/TREASURER	1.5	NONE	NONE	NONE
BARRY WALKER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
LUKAS HAYNES 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(3) EXECUTIVE DIRECTOR	40	180,883	50,781	3,435
MARNIE PILLSBURY 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	TRUSTEE/EXECUTIVE (4) DIRECTOR	12	NONE	NONE	NONE

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

STATEMENT 7
FORM 990PF
2015

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
MARIANNA SCHAFFER 30 ROCKEFELLER PLAZA, C/O ROOM 5600 NEW YORK , NY 10112	(5) SECRETARY	35	NONE	NONE	NONE

Note: Neva Goodwin, Daniel Growald, Paul Growald, Michael Lambert, their trustee's term expired 12/31/2014.

(1) Effective January 1, 2015.

(2) Term as board secretary effective May 18, 2015.

(3) Effective on January 20, 2015.

(4) Term expired January 20, 2015.

(5) Term expired May 8, 2015.

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 focused on access and engagement; Criminal Justice promoted a more humane and fair criminal justice system; and Environment addresses climate change and did address local sustainability efforts.

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

FORM 990-PF, Part II - Balances Sheets: Liabilities

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

Grant Reconciliation

Grants Payable at 12/31/2014 \$ 19,000

Add: Grants Awarded Through 12/31/15

Discretionary (Trustee) ¹	145,000
Program Grants ¹	<u>1,115,000</u>
	1,260,000
Matching Gifts ²	<u>6,000</u>
	1,266,000

2015 Lapsed Grants	-	1,266,000
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Less: Grants Paid Through 12/31/15

Discretionary (Trustee) ¹	145,000
Program Grants ¹	<u>1,060,000</u>
	1,205,000
Matching Gifts ²	<u>25,000</u>
	1,230,000

2015 Returned Grant	0	1,230,000
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Grants Payable at 12/31/15	<u>\$ 55,000</u>
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¹ See attached report from Gifts grant tracking program for detail.

² Matching grants are not tracked in the Gifts program. Rockefeller Financial Services is reimbursed for matching grants paid on DRF's behalf. The amount for matching grants paid in 2015 includes \$19,000 in matching grants for 2014 that were paid in 2015.

GENERAL NOTES:

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

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

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

DAVID ROCKEFELLER FUND, INC.

13-3533359

DECEMBER 31, 2015
Form 990PF

Statement 9

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance	Foundation Status
Grants Approved and Paid 2015						
Approval Date is any date between 1/1/2015 and 12/31/2015						
DRF Arts Grants						
A Blade of Grass Deborah Fisher Tel: 646-757-4199 dfisher@abladeofgrass.org 137 5th Avenue, 10th floor New York, NY 10010	50,000.00	Grant: 50,000.00 Paid: 45,000.00 Bal: 0.00 Term: 24 Months	45,000.00	DRF Arts	5,000.00	PC- Public Charity
Center for Urban Pedagogy Christine Gaspar Tel: (718)596-7721 christine@welcometocup.org 232 Third Street #D201 Brooklyn, NY 11215	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Arts	-	PC- Public Charity
Fortune Society Joanne Paige Tel: 212-691-7554 Fax: 347-510-3451 jpage@fortunesociety.org 29-76 Northern Boulevard Long Island City, NY 11101	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	DRF Arts	-	PC- Public Charity
Gibney Dance Gina Gibney Tel: 212 677 8560 gina@gibneydance.org 890 Broadway, Fifth Floor New York, NY 10003	50,000.00	Grant: 50,000.00 Paid: 25,000.00 Bal: 0.00 Term: 24 Months	25,000.00	DRF Arts	25,000.00	PC- Public Charity
Groundswell Community Mural Project Rob Krulak Tel: 718-254-9782 director@groundswellmural.org 540 President Street, Suite 1A Brooklyn, NY 11215	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	DRF Arts	-	PC- Public Charity
The Laundromat Project Kemi Ilesanmi Tel: (718) 218-4964 kemi@laundromatproject.org 127 West 127th Street, Suite 324 New York, NY 10027	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	DRF Arts	-	PC- Public Charity
Mayor's Fund to Advance New York City Megan Sheekey One Centre Street, 23rd Floor New York, NY 10007	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Arts	-	PC- Public Charity
Museum of Contemporary African Diasporan Arts (MOCADA) James Bartlett Tel: 718 230 0492 james@mocada.org 80 Hanson Place, Brooklyn NY 11217	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Arts	-	PC- Public Charity
The New York Community Trust Robert V. Edgar Tel: (212) 686-0010 kem@nyct-cfi.org 909 Third Avenue, 22nd Floor New York, NY 10022	25,000.00	Grant: 25,000.00 Paid: 0.00 Bal: 0.00 Term: 12 Months	-	DRF Arts	25,000.00	PC- Public Charity
The Public Theater Alex Tonetta Tel: (212) 539-8505 atonetta@publictheater.org 425 Lafayette St. New York, NY 10003	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	DRF Arts	-	PC- Public Charity
Schomburg Center for Research in Black Culture Khalil Gibran Muhammad Tel: (212) 491-2263 khalilmuhammad@nypl.org New York Public Library 515 Malcolm X Blvd. New York, NY 10037-1801	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Arts	-	PC- Public Charity
Socrates Sculpture Park John Hatfield Tel: (718) 956-1819 Fax: (718) 626-1533 jh@socratessculpturepark.org 32-01 Vernon Boulevard Long Island City, NY 11106	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	DRF Arts	-	PC- Public Charity
Total Arts Grants (12 Grants)	355,000.00		300,000.00		55,000.00	

DAVID ROCKEFELLER FUND, INC.

13-3533359

DECEMBER 31, 2015
Form 990PF

Statement 9

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance	Foundation Status
Grants Approved and Paid 2015						
Approval Date is any date between 1/1/2015 and 12/31/2015						
DRF Criminal Justice Grants						
Bard Prison Initiative Max Kenner Tel: 845.758.7308 kenner@bard.edu Bard College PO Box 5000 Annandale-on-Hudson, NY 12504-5000 Center for Constitutional Rights Vincent Warren Tel: 212.614.6468 Vwarren@ccrjustice.org 666 Broadway 7th Floor New York, NY 10012 Detention Watch Network Shah Silky Tel: 520-240-3726 sshah@detentionwatchnetwork.org Yvette Diaz Senior Advisor c/o Tides Center 55 Exchange Place, Suite 402 NY, 10005 John Jay College of Criminal Justice Ann Jacobs Tel: (646) 557-4532 ajacobs@jjay.cuny.edu 524 West 59th Street, BMW 609 New York, NY 10019 Just Detention International Lovisa Stanow Tel: (213) 384-1400 Fax: (213) 384-1411 info@spr.org 3325 Wilshire Boulevard Suite 340, Los Angeles CA, 90010 Just Leadership USA Glenn Martin Tel: 347-454-2195 glenn@justleadershipusa.org 555 Lenox Avenue Suite 4C New York, NY 10037 Sheltering Arms Mohan Sivaloganathan Tel: 212.886.5604 msivaloganathan@shelteringarmsny.org 305 Seventh Avenue New York, NY 10001-6008 The Sentencing Project Marc Mauer Tel: 202-628-0871 Fax: 202-628-1091 mauer@sentencingproject.org 1705 DeSales Street, NW, 8th Floor Washington, DC 20036 Working Narratives c/o Fractured Atlas Nick Szuberla Tel: 606-454-8864 nick@workingnarratives.org P.O. Box 448 Wilmington, NC 28402 Youth First! Initiative c/o New Venture Fund Liz Ryan Tel: (571) 205-7620 lizryanyouthjustice@gmail.com Jordana Belke 1441 Broadway Suite 2002 New York, NY 10018	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Criminal Justice	-	PC- Public Charity
	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	DRF Criminal Justice	-	PC- Public Charity
	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Criminal Justice	-	PC- Public Charity
	60,000.00	Grant: 60,000.00 Paid: 60,000.00 Bal: 0.00 Term: 12 Months	60,000.00	DRF Criminal Justice	-	PC- Public Charity
	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	DRF Criminal Justice	-	PC- Public Charity
	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	DRF Criminal Justice	-	PC- Public Charity
	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Criminal Justice	-	PC- Public Charity
	35,000.00	Grant: 35,000.00 Paid: 35,000.00 Bal: 0.00 Term: 12 Months	35,000.00	DRF Criminal Justice	-	PC- Public Charity
	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	DRF Criminal Justice	-	PC- Public Charity
	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	DRF Criminal Justice	-	PC- Public Charity

DAVID ROCKEFELLER FUND, INC.

13-3533359

DECEMBER 31, 2015
Form 990PF

Statement 9

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance	Foundation Status
Grants Approved and Paid 2015						
Approval Date is any date between 1/1/2015 and 12/31/2015						
DRF Criminal Justice Grants (continued)						
Youth Represent	20,000.00	Grant: 20,000.00	20,000.00	DRF Criminal Justice	-	PC- Public Charity
Laurie Parise		Paid: 20,000.00				
Tel: 646-759-8080		Bal: 0.00				
lparise@youthrepresent.org		Term: 12 Months				
11 Park Place, Suite 1512						
New York, NY 10007						
Total Criminal Justice Grants (11 Grants)	350,000.00		350,000.00		-	
DRF Environment Grants						
Appalachian Voices	35,000.00	Grant: 35,000.00	35,000.00	DRF Environment	-	PC- Public Charity
Tom Cormons		Paid: 35,000.00				
Tel: (434) 293-6373		Bal: 0.00				
tom@appvoices.org		Term: 12 Months				
812 East High Street						
Charlottesville, VA 22902						
Catholic Climate Covenant	35,000.00	Grant: 35,000.00	35,000.00	DRF Environment	-	PC- Public Charity
Dan Misleh		Paid: 35,000.00				
Tel: (202) 756-5545		Bal: 0.00				
danmisleh@catholicclimatecovenant.org		Term: 12 Months				
415 Michigan Avenue NE						
Suite 260						
Washington, DC 20017						
Center for Climate and Security	25,300.00	Grant: 25,300.00	25,300.00	DRF Environment	-	PC- Public Charity
Francesco Femia		Paid: 25,300.00				
1025 Connecticut Avenue NW, Suite 1000		Bal: 0.00				
Washington, DC 20036		Term: 12 Months				
Consultative Group on Biological Diversity	45,000.00	Grant: 45,000.00	45,000.00	DRF Environment	-	PC- Public Charity
Paige Brown		Paid: 45,000.00				
Tel: (415) 561-6575 ext. 304		Bal: 0.00				
PO Box 29361		Term: 12 Months				
San Francisco, CA 94129-0361						
Environmental Grantmakers Association	3,700.00	Grant: 3,700.00	3,700.00	DRF Environment	-	PC- Public Charity
Rachel Leon		Paid: 3,700.00				
rleon@ega.org		Bal: 0.00				
475 Riverside Drive		Term: 12 Months				
Suite 900						
New York, NY 10115						
Green Guerillas	13,000.00	Grant: 13,000.00	13,000.00	DRF Environment	-	PC- Public Charity
Steve Frillmann		Paid: 13,000.00				
Tel: (212) 594-2155 ext. 1		Bal: 0.00				
Fax: (800) 886-4358		Term: 12 Months				
steve@nycgreen.org						
232 E 11th Street						
New York, NY 10003						
Kentucky Coalition	35,000.00	Grant: 35,000.00	35,000.00	DRF Environment	-	PC- Public Charity
Lauderdale Burt		Paid: 35,000.00				
Tel: (606) 878-2161		Bal: 0.00				
blauderdale@earthlink.net		Term: 12 Months				
P.O. Box 1450						
London, KY 40743						
Mountain Association for Community Economic Development (MACED)	35,000.00	Grant: 35,000.00	35,000.00	DRF Environment	-	PC- Public Charity
Peter Hille		Paid: 35,000.00				
Tel: (859) 986-2373		Bal: 0.00				
Fax: (859) 986-1299		Term: 12 Months				
peter@maced.org						
433 Chestnut Street						
Berea, KY 40403						
New York City Energy Efficiency Corporation	50,000.00	Grant: 50,000.00	50,000.00	DRF Environment	-	PC- Public Charity
Jessica Luk		Paid: 50,000.00				
Tel: 212.312.3822		Bal: 0.00				
jluk@nyceec.com		Term: 12 Months				
1359 Broadway, 19th Floor						
New York, NY 10018						
Transition US	13,000.00	Grant: 13,000.00	13,000.00	DRF Environment	-	PC- Public Charity
Carolyn Stayton		Paid: 13,000.00				
Tel: (707) 824-1554		Bal: 0.00				
maggie@transitionus.org		Term: 12 Months				
P.O. Box 917						
Sebastopol, CA 95473						

DAVID ROCKEFELLER FUND, INC.

13-3533359

DECEMBER 31, 2015
Form 990PF

Statement 9

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance	Foundation Status
Grants Approved and Paid 2015						
Approval Date is any date between 1/1/2015 and 12/31/2015						
DRF Environment Grants (continued)						
Truman Center for National Policy Michael Breen Tel: (202) 216-9723 mbreen@trumancnp.org 1250 I St. NW Suite 500 Washington, DC 20005	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	DRF Environment	-	PC- Public Charity
West Virginia Free Margaret Chapman Pomponio Tel: 304-342-9188 margaret@wvfree.org PO Box 11042 Charleston, WV 25339	35,000.00	Grant: 35,000.00 Paid: 35,000.00 Bal: 0.00 Term: 12 Months	35,000.00	DRF Environment	-	PC- Public Charity
Total Environment Grants (12 Grants)	350,000.00		350,000.00		-	
DRF Micro-Grants						
Center for Constitutional Rights Vincent Warren Tel: 212.614.6468 Vwarren@ccrjustice.org 666 Broadway 7th Floor New York, NY 10012	6,500.00	Grant: 6,500.00 Paid: 6,500.00 Bal: 0.00 Term: 6 Months	6,500.00	DRF Micro Grant	-	PC- Public Charity
Climate Ribbon c/o Backbone Campaign Andrew Boyd climateribbon@gmail.com PO Box 278 Vashon, WA 98070	5,000.00	Grant: 5,000.00 Paid: 0.00 Bal: 0.00 Term: 6 Months	-	DRF Micro Grant	5,000.00	PC- Public Charity
Partnership for a Secure America Nathan Sermonis Tel: (202) 293-8580 sermonis@psaonline.org 1629 K St. NW, Suite 450 Washington, DC 20006	8,000.00	Grant: 8,000.00 Paid: 8,000.00 Bal: 0.00 Term: 6 Months	8,000.00	DRF Micro Grant	-	PC- Public Charity
People's Climate Arts Rachel Schragis peoplesclimatearts@gmail.com 232 Gates Avenue Apt. 1 Brooklyn, NY 11238	5,000.00	Grant: 5,000.00 Paid: 5,000.00 Bal: 0.00 Term: 6 Months	5,000.00	DRF Micro Grant	-	NC- Organization not otherwise classified
Salzburg Global Seminar Benjamin Glahn Tel: (202) 637-7683 bglahn@salzburgglobal.org 1250 H Street NW Suite 1150 Washington, DC 20005	5,975.00	Grant: 5,975.00 Paid: 5,975.00 Bal: 0.00 Term: 6 Months	-	DRF Micro Grant	5,975.00	PC- Public Charity
Second Stage Theater Catherine Sumner Tel: (212) 787-8302 ext. 113 csumner@2st.com 1501 Broadway Suite 518 New York, NY 10036	2,025.00	Grant: 2,025.00 Paid: 2,025.00 Bal: 0.00 Term: 6 Months	2,025.00	DRF Micro Grant	-	PC- Public Charity
Youth Shelter Program of Westchester Christian Philemon Tel: (914) 668-4702 CMPhelemon@ysow.org 220 East 8th Street Mount Vernon, NY 10550	2,500.00	Grant: 2,500.00 Paid: 2,500.00 Bal: 0.00 Term: 6 Months	2,500.00	DRF Micro Grant	-	PC- Public Charity
Total Micro-Grant/Team (7 Grants)	35,000.00		24,025.00		10,975.00	
DRF Judicious Exception Grants						
Climate Interactive c/o Eric Kessler New Venture Fund 1201 Connecticut Ave., NW Suite 300 Washington, DC 20036	10,000.00	Grant: 10,000.00 Paid: 10,000.00 Bal: 0.00 Term: 6 Months	10,000.00	DRF Judicious Exception	-	PC- Public Charity
NeON Arts c/o Mayor's Fund to Advance New York City Catrina Prioleau cpriolea@probation.nyc.gov 253 Broadway, 6th Floor New York, NY 10007	2,800.00	Grant: 2,800.00 Paid: 2,800.00 Bal: 0.00 Term: 6 Months	2,800.00	DRF Judicious Exception	-	PC- Public Charity

DAVID ROCKEFELLER FUND, INC.

13-3533359

DECEMBER 31, 2015
Form 990PF

Statement 9

Organization	Approved Amount	Req/Granted	Paid Amount	Program Area	Ending Balance	Foundation Status
Grants Approved and Paid 2015						
Approval Date is any date between 1/1/2015 and 12/31/2015						
DRF Judicious Exception Grants Continued)						
The Regeneration Project Sally Bingham Tel: (415) 561-4891 sally@theregenerationproject.org 369 Pine Street Suite 700 San Francisco, CA 94104	10,000.00	Grant: 10,000.00 Paid: 10,000.00 Bal: 0.00 Term: 6 Months	10,000.00	DRF Judicious Exception	-	PC- Public Charity
Salzburg Global Seminar Benjamin Glahn Tel: (202) 637-7683 bglahn@salzburgglobal.org 1250 H Street NW Suite 1150 Washington, DC 20005	2,200.00	Grant: 2,200.00 Paid: 2,200.00 Bal: 0.00 Term: 6 Months	-	DRF Judicious Exception	2,200.00	PC- Public Charity
Central Park Conservancy Douglas Blonsky Tel: 212-310-6600 Fax: 212-310-6654 JPall@centralparknyc.org 14 East 60th Street New York, NY 10022	0.00	Grant: 5,000.00 Grant Awarded & Paid: 5,000.00 accrued in 2014 Bal: 0.00 Term: 12 Months	5,000.00	DRF Judicious Exception	-	PC- Public Charity
International School of Brooklyn Rebecca Skinner Tel: 718-369-3023 477 Court Street Brooklyn, NY 11221	0.00	Grant: 2,500.00 Grant Awarded & Paid: 2,500.00 accrued in 2014 Bal: 0.00 Term: 12 Months	2,500.00	DRF Judicious Exception	-	PC- Public Charity
Total Judicious Exception Grants (4 Grants)	25,000.00		30,300.00		2,200.00	
Discretionary Grants - RPA						
Rockefeller Philanthropy Advisors Melissa Berman 6 West 48th Street, Floor 10 New York, NY 10036-1802	145,000.00	Grant: 145,000 Paid: 145,000 Bal: 0.00 Term: 12 Months	145,000.00		-	PC- Public Charity
Total Discretionary Grants (1 Grants)	145,000.00		145,000.00		-	
Total Program Grants (47 Grants)	1,260,000.00		1,199,325.00		68,175.00	
Matching Gifts 2014			19,000.00			
Matching Gifts 2015	6,000.00		6,000.00		-	
Total Matching Gifts	6,000.00		25,000.00			
Grand Total	1,266,000.00		1,224,325.00		68,175.00	