

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

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

For calendar year 2018 or tax year beginning , 2018, and ending , 20

Name of foundation THE DAVID ROCKEFELLER FUND, INC.		A Employer identification number 13-3533359
Number and street (or P.O. box number if mail is not delivered to street address) 475 RIVERSIDE DRIVE	Room/suite 900	B Telephone number (see instructions) (212) 812-4300
City or town, state or province, country, and ZIP or foreign postal code NEW YORK NY 10115		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <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		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <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, col. (c), line 16) ▶ \$ 62,263,079.	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)	28,211,814.			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	37,057.	37,057.		
	4 Dividends and interest from securities Stmt 2A	1,327,592.	1,329,309.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	151,121.			
	b Gross sales price for all assets on line 6a 5,184,879.				
	7 Capital gain net income (from Part IV, line 2) Stmt 2		1,992,013.		
	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) See Stmt 3	-382.	-16,305.		
	12 Total. Add lines 1 through 11	29,727,202.	3,342,074.		
	13 Compensation of officers, directors, trustees, etc.	200,962.	42,224.		158,738.
	14 Other employee salaries and wages	153,860.			139,297.
	15 Pension plans, employee benefits	133,497.	15,886.		91,701.
	16a Legal fees (attach schedule) L-16a Stmt 1	17,079.			10,803.
	b Accounting fees (attach schedule) L-16b Stmt 1	28,856.	13,328.		9,028.
	c Other professional fees (attach schedule) L-16c Stmt 1	118,711.	86,853.		15,907.
	17 Interest				
	18 Taxes (attach schedule) (see instructions) See Stmt 1	24,494.	25,539.		
	19 Depreciation (attach schedule) and depletion Stmt 4	3,051.			
	20 Occupancy	29,973.	1,586.		19,680.
	21 Travel, conferences, and meetings	50,838.	305.		48,490.
	22 Printing and publications	376.			126.
	23 Other expenses (attach schedule) See Stmt 1	202,334.	170,327.		48,250.
	24 Total operating and administrative expenses. Add lines 13 through 23	964,031.	356,048.		542,020.
	25 Contributions, gifts, grants paid	2,083,671.			1,960,423.
	26 Total expenses and disbursements. Add lines 24 and 25	3,047,702.	356,048.		2,502,443.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	26,679,500.			
	b Net investment income (if negative, enter -0-)		2,986,026.		
	c Adjusted net income (if negative, enter -0-)				

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

OMB No. 1545-1709

► **File a separate application for each return.**
► **Go to www.irs.gov/Form8868 for the latest information.**

Electronic filing (e-file). You can electronically file Form 8868 to request a 6-month automatic extension of time to file any of the forms listed below with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, for which an extension request 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/e-file-providers/e-file-for-charities-and-non-profits.

Automatic 6-Month Extension of Time. Only submit original (no copies needed).

All corporations required to file an income tax return other than Form 990-T (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
Type or print <small>File by the due date for filing your return. See instructions.</small>	Name of exempt organization or other filer, see instructions. THE DAVID ROCKEFELLER FUND, INC.	Employer identification number (EIN) or 13-3533359
	Number, street, and room or suite no. If a P.O. box, see instructions. 475 RIVERSIDE DRIVE, NO. 900	Social security number (SSN)
	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
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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

LUKAS HAYNES

- The books are in the care of ► **475 RIVERSIDE DRIVE - 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 6-month extension of time until **NOVEMBER 15, 2019**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

► ☒ calendar year **2018** or► ☐ tax year beginning _____, and ending _____.

- 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 Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	31,556.
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.	3b	\$	15,306.
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	\$	16,250.

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.

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	232,144.	250,983.	250,983.
	2 Savings and temporary cash investments	2,091,461.	5,999,168.	5,999,168.
	3 Accounts receivable ▶ 127,974.			
	Less: allowance for doubtful accounts ▶	19,364.	127,974.	127,974.
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶ 0.	13,005,000.	0.	0.
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . .			
	7 Other notes and loans receivable (attach schedule) ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges Stmt 4A	6,640.	7,933.	7,933.
	10a Investments—U.S. and state government obligations (attach schedule)	982,465.	14,034,810.	14,034,810.
	b Investments—corporate stock (attach schedule)			
	c Investments—corporate bonds (attach schedule) Stmt 4A	1,238,071.	5,312,254.	5,312,254.
	11 Investments—land, buildings, and equipment: basis ▶			
Liabilities	Less: accumulated depreciation (attach schedule) ▶			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule) L-13 Stmt 1	21,640,941.	36,519,360.	36,519,360.
	14 Land, buildings, and equipment: basis ▶ 16,592.			
	Less: accumulated depreciation (attach schedule) ▶ Stmt 5 5,995.	981.	10,597.	10,597.
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	39,217,067.	62,263,079.	62,263,079.
	17 Accounts payable and accrued expenses	119,381.	156,955.	
	18 Grants payable See Statement 9	306,000.	425,000.	
	19 Deferred revenue			
Net Assets or Fund Balances	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)	425,381.	581,955.	
	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26, and lines 30 and 31.			
	24 Unrestricted	33,752,690.	56,719,925.	
	25 Temporarily restricted	0.	4,961,199.	
	26 Permanently restricted	5,038,996.		
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	38,791,686.	61,681,124.	
	31 Total liabilities and net assets/fund balances (see instructions)	39,217,067.	62,263,079.	

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	38,791,686.
2 Enter amount from Part I, line 27a	2	26,679,500.
3 Other increases not included in line 2 (itemize) ▶ DEFERRED FEDERAL EXCISE TAX CREDIT	3	34,367.
4 Add lines 1, 2, and 3	4	65,505,553.
5 Decreases not included in line 2 (itemize) ▶ UNREALIZED DEPRECIATION ON INVESTMENTS	5	3,824,429.
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . .	6	61,681,124.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a See Statement 2				
b				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))	
a				
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69.				
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
a				
b				
c				
d				
e				
2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }		2	1,992,013.	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8		3		

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.			
(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2017	1,830,092.	12,552,957.	0.145790
2016	1,625,895.	5,718,685.	0.284313
2015	1,608,833.	6,442,245.	0.249732
2014	1,509,650.	6,222,196.	0.242623
2013	1,578,465.	5,592,605.	0.282241
2 Total of line 1, column (d)		2	1.204699
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years		3	0.240940
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5		4	39,621,828.
5 Multiply line 4 by line 3		5	9,546,483.
6 Enter 1% of net investment income (1% of Part I, line 27b)		6	29,860.
7 Add lines 5 and 6		7	9,576,343.
8 Enter qualifying distributions from Part XII, line 4 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.		8	2,515,120.

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 <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	59,721.	
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	59,721.	
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	59,721.	
6	Credits/Payments:			
a	2018 estimated tax payments and 2017 overpayment credited to 2018	6a	15,306.	
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c	16,250.	
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d	7	31,556.	
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	28,165.	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	0.	
11	Enter the amount of line 10 to be: Credited to 2019 estimated tax 0. Refunded	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		x
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition 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.		x
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 <small> Stmt 10</small>	x	
4a 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 <i>General Instruction T</i> .		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	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. ▶ NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? 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 2018 or the tax year beginning in 2018? See the 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. See Statement 6A	x	

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions	11	X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.DRFund.org</u>	13	X
14 The books are in care of ► <u>Lukas Haynes</u> Telephone no. ► <u>(212) 812-4300</u> Located at ► <u>475 RIVERSIDE DRIVE, SUITE 900 NEW YORK NY</u> ZIP+4 ► <u>10115</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here ► <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A		
16 At any time during calendar year 2018, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required**File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.**

	Yes	No
1a During the year, did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? . . . <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	1b	X
Organizations relying on a current notice regarding disaster assistance, check here ► <input type="checkbox"/>		
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 2018?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018? <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.)	2b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If "Yes," did it have excess business holdings in 2018 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 2018.)	3b	N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2018?	4b	X

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

	Yes	No
5a During the year, did the foundation pay or incur any amount to:		
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions See Statement 7A	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions	5b	x
Organizations relying on a current notice regarding disaster assistance, check here	<input type="checkbox"/>	
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? . . . See Statement 7A	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b	x
If "Yes" to 6b, file Form 8870.		
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	7b	
8 Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1 List all officers, directors, trustees, and foundation managers and their compensation. See instructions.**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 7				

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Lexi Fisher 475 Riverside Dr Suite 900 New York NY 10115	Program Manager 40.00	64,350.	45,687.	429.

Total number of other employees paid over \$50,000 **0**

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
Rockefeller Capital Management 45 Rockefeller Plaza, Floor 5 New York NY 10111	Investment Management	207,738.

Total number of others receiving over \$50,000 for professional services **0****Part IX-A Summary of Direct Charitable Activities**

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

	Expenses
1 During 2018, 2 members of the staff of David Rockefeller Fund provided technical assistance to charitable organizations, governmental bodies and committees, and 1 member of the staff served on 1 charitable organization's board. 2 members of the staff served on total of 8 committees, public	83,097.
2 commissions, or task forces in order to provide technical assistance.	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 NONE	0.
2	
All other program-related investments. See instructions.	
3 NONE	0.
Total. Add lines 1 through 3	0.

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	36,969,584.
b	Average of monthly cash balances	1b	3,255,622.
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	40,225,206.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	40,225,206.
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	603,378.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	39,621,828.
6	Minimum investment return. Enter 5% of line 5	6	1,981,091.

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	1,981,091.
2a	Tax on investment income for 2018 from Part VI, line 5	2a	59,721.
b	Income tax for 2018. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	59,721.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,921,370.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	1,921,370.
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	1,921,370.

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	2,502,443.
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	12,677.
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	2,515,120.
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	2,515,120.

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 2017	(c) 2017	(d) 2018
1 Distributable amount for 2018 from Part XI, line 7				1,921,370.
2 Undistributed income, if any, as of the end of 2018:				
a Enter amount for 2017 only			0.	
b Total for prior years: 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2018:				
a From 2013	1,309,533.			
b From 2014	1,207,059.			
c From 2015	1,296,082.			
d From 2016	1,355,799.			
e From 2017	1,209,689.			
f Total of lines 3a through e	6,378,162.			
4 Qualifying distributions for 2018 from Part XII, line 4: ► \$ 2,515,120.				
a Applied to 2017, 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 2018 distributable amount				1,921,370.
e Remaining amount distributed out of corpus	593,750.			
5 Excess distributions carryover applied to 2018 (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	6,971,912.			
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 2017. Subtract line 4a from line 2a. Taxable amount—see instructions			0.	
f Undistributed income for 2018. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2019				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 2013 not applied on line 5 or line 7 (see instructions)	1,309,533.			
9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a	5,662,379.			
10 Analysis of line 9:				
a Excess from 2014	1,207,059.			
b Excess from 2015	1,296,082.			
c Excess from 2016	1,355,799.			
d Excess from 2017	1,209,689.			
e Excess from 2018	593,750.			

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

N/A

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2018, enter the date of the ruling ▶

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

	Tax year	Prior 3 years			(e) Total
	(a) 2018	(b) 2017	(c) 2016	(d) 2015	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test—enter $\frac{2}{3}$ of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test—enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see instructions.)**1 Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

See Supplementary Information Statement 8

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

See Statement 8

- c** Any submission deadlines:

See Statement 8

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

See Statement 8

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

Recipient	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 Statement 9				
Total			▶ 3a	1,960,423.
b <i>Approved for future payment</i> See Statement 9				
Total			▶ 3b	429,248.

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) Exclusion code	(d) Amount	
1	Program service revenue:					
a	_____					
b	_____					
c	_____					
d	_____					
e	_____					
f	_____					
g	Fees and contracts from government agencies					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments			14	37,057.	
4	Dividends and interest from securities	525990	118.	14	1,327,474.	
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	141.	18	-523.	
8	Gain or (loss) from sales of assets other than inventory	525990	72.	18	151,049.	
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)		331.		1,515,057.	
13	Total. Add line 12, columns (b), (d), and (e)				13	1,515,388.

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

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

[illegible]

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

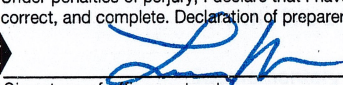
- 1** Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?
- | | Yes | No |
|---|-----|----|
| a Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| (1) Cash | X | |
| (2) Other assets | | X |
| b Other transactions: | | |
| (1) Sales of assets to a noncharitable exempt organization | | X |
| (2) Purchases of assets from a noncharitable exempt organization | | X |
| (3) Rental of facilities, equipment, or other assets | | X |
| (4) Reimbursement arrangements | | X |
| (5) Loans or loan guarantees | | X |
| (6) Performance of services or membership or fundraising solicitations | | X |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | | X |
| d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | |

(a) Line no.	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
1a(1)	25,000.	Protect Our Winters Action Fund	Grant payment for Mobilizing outdoor sports community on climate change
1a(1)	25,000.	Protect Our Winters Action Fund	Grant payment for Mobilizing outdoor sports community on climate change
1a(1)	100,000.	Sixteen Thirty Fund	Grant payment for climate and energy fund
1a(1)	50,000.	Truman National Security Project	Grant payment for climate security forums

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

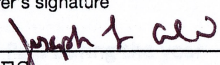
(a) Name of organization	(b) Type of organization	(c) Description of relationship

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

Signature of officer or trustee:  Date: 11/14/19 Title: Executive Director

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

Paid Preparer Use Only

Print/Type preparer's name <u>Joseph L. Ali</u>	Preparer's signature <u></u>	Date <u>11/12/19</u>	Check <input type="checkbox"/> if self-employed	PTIN <u>P02093808</u>
Firm's name <u>PKF O'CONNOR DAVIES</u>	Firm's EIN <u>13-5565207</u>		Phone no. <u>(212) 758-9700</u>	
Firm's address <u>665 5TH AVENUE</u>				

BAA NEW YORK NY 10022 Form 990-PF (2018)

INDEX OF SCHEDULES

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

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ **Attach to Form 990, Form 990-EZ, or Form 990-PF.**
▶ **Go to www.irs.gov/Form990 for the latest information.**

OMB No. 1545-0047

2018

Name of the organization

THE DAVID ROCKEFELLER FUND, INC.

Employer identification number

13-3533359

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

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

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

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

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

☐ 501(c)(3) taxable private foundation

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

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

General Rule

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

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 $\frac{1}{3}$ % 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 (entering "N/A" in column (b) instead of the contributor name and address), II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

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

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

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	Estate of David Rockefeller 10 Rockefeller Plaza 3rd FL New York NY 10020	\$ 26,374,111.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
2	Rockefeller Philanthropy Advisors 10 Rockefeller Plaza 3rd FL New York NY 10020	\$ 10,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
3	Barry Walker 10 Rockefeller Plaza 3rd FL New York NY 10020	\$ 20,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
4	Clayton Rockefeller 10 Rockefeller Plaza 3rd FL New York NY 10020	\$ 1,804,401.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions.)
5	Marianne Gershel 10 Rockefeller Plaza 3rd FL New York NY 10020	\$ 10,000.	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.)

Employer identification number

13-3533359

Part II

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
4	23,550 Exxon Mobil Corp	\$ 1,804,401.	05/01/2018
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		\$	

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

STATEMENT 2A
FORM 990-PF
YEAR 2018

Schedule of Interest & Dividends

Part I, line 3(a)(b)

Interest on savings and temporary cash investments	Column (a)	Column (b)
Cash	\$ 36,274	\$ 36,274
Self-Help Money Market	\$ 783	\$ 783
Interest on savings and temporary cash investments Part I, Line 3	\$ 37,057	\$ 37,057

Part I, line 4(a)(b)

Dividend & Interest from securitites	Column (a)	Column (b)
CRA Qualified Investment Fund	183,460	183,460
Leader Fund/Pax	187,004	187,004
Parnassus Fund	515,954	515,954
Vanguard Short-Term Bond	19,291	19,291
Rockefeller Access Fund	591	3,941
Rockefeller Alternative Strategies Fund	130	140
Libra Fossil Fuel Free, LP	259,708	258,065
Other Fixed Income	161,454	161,454
	\$ 1,327,592	\$ 1,329,309

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

STATEMENT 2
FORM 990-PF
YEAR 2018

Schedule of Capital Gains and Losses

Part I, line 6a

	Gain or (Loss)
Libra Fossil Fuel Free Fund	\$ 149,299
Rock & Co. Access Fund	\$ 1,822
Net Realized Gain per Books (Total Part I, line 6a,col.(a))	\$ 151,121

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

Libra Fossil Fuel Free Fund	148,181	
Rock & Co. Alternative Strategies	4,073	
Rock & Co. Access Fund	46,359	
		198,613
Less: Gain/(loss) from Partnerships previously reflected in books, for which K-1 values are now reflected on Form 990PF:		
	Libra Fossil Fuel Free Fund	(149,299)
	Rock & Co. Access Fund	(1,822)

Stock Contribution

	Date Acquired by donor	Contribution Date Received	Contribution Date Sold	Gross Sales	Cost	
23,550 shares Exxon Mobile Corp *	3/1/1963	5/1/2018	5/3/2018	1,796,703	3,303	1,793,400
Total Part IV, line 2						\$ 1,992,013

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

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

STATEMENT 3
FORM 990-PF
YEAR 2018

Schedule of Other Income

Part I, line 11, col. a & b

	Column (a) Other Income	Column (b) Other Income
<u>Misc Income</u>		
Libra Fossil Fuel Fund	\$ (28,214)	\$ -
Rockefeller Access Fund	\$ (56)	\$ -
Rockefeller Alternative Strategies	\$ 4,315	\$ -
Other Misc. Income	\$ 23,573	\$ 23,573
<u>Other Income - (Schedule k-1 basis)</u>		
Libra Fossil Fuel Fund		\$ (43,284)
Rockefeller Access Fund		\$ 3,406
Other Income - Total Part I, line 11,col (a) & (b)	\$ (382)	\$ (16,305)

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

Form 990-PF: Return of Private Foundation

Other Income

Continuation Statement

Description	Revenue and Expense per Book	Net Investment Income	Adjusted Net Income
See Statement 3			
Other Income from Limited Partnerships	-382.	-16,305.	
Total	-382.	-16,305.	

Form 990-PF: Return of Private Foundation

Taxes

Continuation Statement

Description	Revenue and Expense per Book	Net Investment Income	Adjusted Net Income	Disbursement for charitable purpose
FEDERAL EXCISE TAX	24,494.			
FOREIGN TAXES PAID-THROUGH LIMITED PARTNERSHIPS		25,539.		
Total	24,494.	25,539.		

Form 990-PF: Return of Private Foundation

Other Expenses

Continuation Statement

Description	Revenue and Expense per Book	Net Investment Income	Adjusted Net Income	Disbursement for charitable purpose
Telephone & Internet	2,145.	113.		1,974.
Insurance	5,940.	314.		5,744.
Gen. Office Exp: Dues & Memberships	6,019.	289.		5,559.
Gen. Office Exp: Payroll Fees	8,469.	448.		8,469.
Gen. Office Exp: Maintenance & Repairs	7,945.	420.		15,313.
Office & Computer Equipment	2,166.	115.		1,791.
General Office Exp. - Others	12,468.	633.		9,400.
Rockefeller Capital Management: Partnership fees	157,182.	167,995.		
Total	202,334.	170,327.		48,250.

Form 990-PF: Return of Private Foundation

Part VII-A, line 12, Distribution to a Donor Advised Fund

Explanation Statement

Donor Advised Fund

See Statement 6

Name THE DAVID ROCKEFELLER FUND, INC.	Employer Identification No. 13-3533359
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Line 10a - Investments - US and State Government Obligations:	End of Year State and Local Obligations Book Value	End of Year State and Local Obligations FMV	End of Year US Government Obligations Book Value	End of Year US Government Obligations FMV
See Statement 4A				
Tot to Fm 990-PF, Pt II, Ln 10a				

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

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

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

Line 13 - Investments - Other:	End of Year Book Value	End of Year Fair Market Value
ROCKEFELLER ALTERNATIVE STRATEGIES FUND	5,644.	5,644.
ROCKEFELLER ACCESS FUND 06-1	313,090.	313,090.
ROCKEFELLER LIBRA FOSSIL FUEL FREE L.P.	16,234,460.	16,234,460.
See L-13 Stmt See Statement 1A	19,966,166.	19,966,166.
Totals to Form 990-PF, Part II, Line 13	36,519,360.	36,519,360.

Name THE DAVID ROCKEFELLER FUND, INC.	Employer Identification No. 13-3533359
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Line 16a - Legal Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Patterson, Belknap, Webb & Tyler	Legal Services	16,674.			10,398.
Milbank, Tweed, Hadley & McCloy	Legal Services	405.			405.
Total to Form 990-PF, Part I, Line 16a		17,079.			10,803.

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	TAX	12,326.	2,128.		3,698.
PKF O'CONNOR DAVIES LLP	AUDIT	16,000.	11,200.		4,800.
Grant Thornton	Audit Services of Non-Profits(k)plan	530.			530.
Total to Form 990-PF, Part I, Line 16b		28,856.	13,328.		9,028.

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
Urban Youth Alliance International	Honorarium for speaker at Board meeting	1,000.			1,000.
Hunter Capital/Sageview Advisory Group	DRF Advisory Svc.401K Plan	164.			124.
Amy Solomon	Programs evaluation to refine strategy	2,000.			2,000.
CBIZ	HR Benefit services	1,512.			1,057.
Ventucom	IT services	8,327.			3,521.
GEMTrainers, LLC	Services to review grants	2,000.			2,000.
Valarie Van Slyck	Arts Program consulting	1,000.			1,000.
The Interchurch Center	medical services	75.			25.
Bethany Wall	30th Anniversary History Project	2,300.			2,300.
Rockefeller Capital Management	Investment Management	79,700.	79,700.		
See Statement 1A	See line 16c - Other Professional Fees	20,633.	7,153.		2,880.
Total to Form 990-PF, Part I, Line 16c		118,711.	86,853.		15,907.

Additional information from your 2018 Federal Exempt Tax Return

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

Line 16c - Other Professional Fees

Continuation Statement

Line 16c Name	Line 16c Type Svc	Line 16c Book amount	Line 16c Net invest inc	Line 16c Adjusted net inc	Line 16c Chrtbl dsbrsmnts
JP MORGAN CHASE	CUSTODY FEES	5,778.	5,778.		
Everette Hamlette	Filming & editing videos	250.			250.
The Chronicle/Ideali st.org	Ad for recruitment	465.			465.
FMI Corp.	Compensation review	11,400.			800.
L.F. Stephens	Employment suitability Inquiry	365.			365.
Roy Waterman	Honorarium for speaking at Board Meeting	1,000.			1,000.
State Street	CUSTODY FEES	1,375.	1,375.		
Total		20,633.	7,153.		2,880.

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

L-13 Stmt

Continuation Statement

Line 13 Description	Line 13 Book	Line 13 FMV
FIXED INCOME - CRA QUALIFIED INVESTMENT FUND	8,235,344.	8,235,344.
PARNASSUS FUND INSTITUTIONAL SHARES	6,756,061.	6,756,061.
PAX GLOBAL ENVIRONMENTAL MARKETS FUND	4,974,761.	4,974,761.
Total	19,966,166.	19,966,166.

SCHEDULE OF DEPRECIATION

Part I, line 19.

Description	ASSETS					ACCUMULATED DEPRECIATION		
	Beginning of Year	P/Y Adj.	2018 Acquisitions	2018 Dispositions	End of Year	Reserve, beginning of Year	2018 Depreciation (Part 1, line 19)	Reserve, end of Year
Office Equipment	0		10,238		10,238	0	1,463	1,463
Computer Equipment & Software	3,925		2,429		6,354	2,944	1,588	4,532
	3,925	-	12,667	-	16,592	2,944	3,051	5,995

Schedule of Investments

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

As of Date	Security Name	Shares/Par	Price	line 10a U.S. & State Gov't Obligations		line 10b Corporate Stock	line 10c Corporate Bonds	
				Cost	Market Value		Cost	Market Value
12/31/2018	Atlanta Georgia Development Authority 1.871% Due 12/01/2020	75,000.00	98.40	73,351	73,800	-	-	-
12/31/2018	Cedar Rapids Iowa 2.00% Due 06/01/2019	350,000.00	99.72	349,059	349,017	-	-	-
12/31/2018	Contra Costa California Cmnty Clg Dist BAB 6.504% Due 08/01/2034	25,000.00	127.06	31,589	31,764	-	-	-
12/31/2018	Durham County North Carolina 5.034% Due 11/01/28 Preref Call @ 100 11/01/2020	150,000.00	104.41	155,722	156,612	-	-	-
12/31/2018	Federal Home Loan Bank 2.95% Due 09/17/2021 Call @ 100 12/17/2018	360,000.00	100.00	358,908	360,014	-	-	-
12/31/2018	Metropolitan Govt Nashville & Davidson 2.64% Due 10/01/2027	250,000.00	95.81	234,450	239,515	-	-	-
12/31/2018	Miami-Dade Cnty Florida Aviation Ref Txb Ref Ser B 2.604% Due 10/01/2025	45,000.00	96.60	43,231	43,468	-	-	-
12/31/2018	New York State Energy Research 3.406% Due 07/01/2023	150,000.00	102.73	151,559	154,089	-	-	-
12/31/2018	New York State Envrnmntl Facilities Corp 1.885% Due 01/15/2020	125,000.00	99.08	123,994	123,845	-	-	-
12/31/2018	Oregon State 2.65% Due 01/01/2021	105,000.00	99.84	104,147	104,831	-	-	-
12/31/2018	Oregon State 2.873% Due 05/01/2021	75,000.00	100.53	75,000	75,400	-	-	-
12/31/2018	Port Auth Of New York & New Jersey Txbi 4.823% Due 06/01/2045 Call @ 100 6/1/2025	100,000.00	104.99	105,789	104,989	-	-	-
12/31/2018	Rhode Island State Hsg & Mtge Finance 2.952% Due 10/01/2020	100,000.00	99.90	99,916	99,895	-	-	-
12/31/2018	Salt Lake Cnty Utah Sales Tax Rev Build America Bonds 3.50% Due 11/01/2021 Call @100 05/01/2021	100,000.00	101.87	103,286	101,867	-	-	-
12/31/2018	San Diego California Regl Arpt Auth BAB Txbi Ser C 6.628% Due 07/01/2040 Callable 07/01/20 @100	70,000.00	105.31	73,389	73,717	-	-	-
12/31/2018	Texas St Txbi Ref 1.695% Due 10/01/2019	50,000.00	99.28	49,813	49,639	-	-	-
12/31/2018	Texas State A & M Univeristy 3.66% Due 07/01/2047 Call @ 100 07/01/2027	50,000.00	95.98	48,020	47,990	-	-	-
12/31/2018	Treasury Bill 0% 01/29/19	504,000.00	99.82	503,043	503,086	-	-	-
12/31/2018	Treasury Bill 0% 02/28/19	567,000.00	99.62	564,796	564,862	-	-	-
12/31/2018	Treasury Bill 0% 02/28/19	339,000.00	99.62	337,702	337,722	-	-	-
12/31/2018	Treasury Bill 0% 06/20/19	571,000.00	98.85	564,419	564,453	-	-	-
12/31/2018	Treasury Bill 0% 06/20/19	341,000.00	98.85	337,071	337,090	-	-	-
12/31/2018	Treasury Bill 0% 09/12/19	575,000.00	98.23	564,660	564,842	-	-	-
12/31/2018	Treasury Bill 0% 09/12/19	342,000.00	98.23	335,886	335,958	-	-	-
12/31/2018	Treasury N/B 1.875% 12/31/19	564,000.00	99.27	559,299	559,902	-	-	-
12/31/2018	Treasury N/B 1.875% 12/31/19	338,000.00	99.27	335,148	335,544	-	-	-
12/31/2018	Treasury N/B 2.25% 03/31/20	565,000.00	99.59	561,326	562,682	-	-	-
12/31/2018	Treasury N/B 2.25% 03/31/20	337,000.00	99.59	334,862	335,618	-	-	-
12/31/2018	Treasury N/B 2.375% 12/31/20	562,000.00	99.78	558,408	560,748	-	-	-
12/31/2018	Treasury N/B 2.375% 12/31/20	337,000.00	99.78	334,734	336,250	-	-	-
12/31/2018	Treasury N/B 2.50% 06/30/20	561,000.00	99.92	558,377	560,562	-	-	-
12/31/2018	Treasury N/B 2.50% 06/30/20	334,000.00	99.92	332,626	333,739	-	-	-
12/31/2018	Treasury N/B 2.75% 09/30/20	562,000.00	100.38	561,125	564,108	-	-	-
12/31/2018	Treasury N/B 2.75% 09/30/20	334,000.00	100.38	333,814	335,253	-	-	-
12/31/2018	Treasury Bill 0.00% Due 01/08/2019	327,000.00	99.96	326,831	326,877	-	-	-
12/31/2018	Treasury Bill 0.00% Due 01/10/2019	360,000.00	99.95	359,792	359,820	-	-	-
12/31/2018	Treasury Bill 0.00% Due 06/20/2019	130,000.00	98.85	128,578	128,509	-	-	-
12/31/2018	University Of California CA Regents Med 1.62% Due 05/15/2021	70,000.00	97.11	67,715	67,975	-	-	-
12/31/2018	US Treasury N/B 1.25% Due 04/30/2019	452,000.00	99.59	450,345	450,146	-	-	-
12/31/2018	US Treasury N/B 1.375% Due 09/15/2020	623,000.00	98.11	608,876	611,222	-	-	-
12/31/2018	US Treasury N/B 1.50% Due 07/15/2020	722,000.00	98.43	708,345	710,691	-	-	-

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

SCHEDULE 4 A
FORM 990-PF
YEAR 2018

Schedule of Investments

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

As of Date	Security Name	Shares/Par	Price	line 10a U.S. & State Gov't Obligations		line 10b Corporate Stock	line 10c Corporate Bonds	
				Cost	Market Value		Cost	Market Value
12/31/2018	US Treasury N/B 1.625% Due 08/31/2022	118,000.00	97.00	114,995	114,460	-	-	-
12/31/2018	US Treasury N/B 2.50% Due 02/15/2045	115,000.00	90.63	101,942	104,219	-	-	-
12/31/2018	US Treasury N/B 2.625% Due 03/31/2025	299,000.00	100.30	292,589	299,888	-	-	-
12/31/2018	US Treasury N/B 2.75% Due 02/15/2028	139,000.00	100.52	136,594	139,717	-	-	-
12/31/2018	US Treasury N/B 2.75% Due 09/15/2021	359,000.00	100.70	357,411	361,496	-	-	-
12/31/2018	US Treasury N/B 2.875% Due 09/30/2023	91,000.00	101.63	90,413	92,479	-	-	-
12/31/2018	Will County II School Dist #122 6.30% Due 10/01/2026 Preref Call @ 100 10/01/2019	375,000.00	102.52	384,512	384,443	-	-	-
12/31/2018	Air Products & Chemicals 4.375% Due 8/21/2019	140,000.00	100.83	-	-	-	141,440	141,166
12/31/2018	American Express 4.05% Due 12/03/2042	133,000.00	94.23	-	-	-	130,145	125,322
12/31/2018	Asian Development Bank 1.00% Due 8/16/2019	358,000.00	99.03	-	-	-	354,325	354,540
12/31/2018	Bank of America Corporation 2.151% Due 11/09/2020 Call @100 11/09/2019	359,000.00	98.21	-	-	-	352,630	352,560
12/31/2018	BB&T Corporation 2.75% Due 04/01/2022 Call @ 100 03/01/2022	147,000.00	98.31	-	-	-	146,558	144,510
12/31/2018	Cisco Systems Inc. 4.45% Due 01/15/2020	147,000.00	101.55	-	-	-	149,330	149,282
12/31/2018	Comcast Corp 5.70% Due 07/01/2019	131,000.00	101.18	-	-	-	132,857	132,543
12/31/2018	CVS Health Corp 2.80% Due 07/20/2020 Call @ 100 06/20/2020	177,000.00	99.10	-	-	-	175,622	175,403
12/31/2018	CVS Health Corp 3.35% Due 03/09/2021	137,000.00	99.71	-	-	-	137,156	136,609
12/31/2018	Export Development Canada 1.625% Due 6/1/2020	145,000.00	98.60	-	-	-	142,525	142,969
12/31/2018	Ford Motor Credit Co LLC Float% Due 8/12/2019	285,000.00	99.62	-	-	-	284,014	283,909
12/31/2018	Goldman Sachs Group Inc 3.50% Due 01/23/2025 Call @ 100 10/23/2024	125,000.00	94.79	-	-	-	124,701	118,489
12/31/2018	Home Depot Inc 1.80% Due 06/05/2020	144,000.00	98.57	-	-	-	141,863	141,940
12/31/2018	Home Depot Inc 5.875% Due 12/16/2036	125,000.00	120.15	-	-	-	152,602	150,182
12/31/2018	KFW 1.75% Due 10/15/2019	185,000.00	99.31	-	-	-	183,693	183,726
12/31/2018	Kroger Company 7.50% Due 04/01/31	113,000.00	123.17	-	-	-	142,366	139,185
12/31/2018	Microsoft Corp 1.85% Due 02/06/2020	180,000.00	99.27	-	-	-	178,297	178,694
12/31/2018	Nike Inc. Corp 3.625% Due 05/01/2043	150,000.00	92.38	-	-	-	141,509	138,564
12/31/2018	NVR Inc Corp 3.95% Due 09/15/2022	91,000.00	98.32	-	-	-	93,101	89,473
12/31/2018	Praxair Inc. 2.25% Due 09/24/2020	197,000.00	98.65	-	-	-	194,607	194,348
12/31/2018	Simon Property Group LP 3.375% Due 06/15/2027 Call @ 100 03/15/2027	118,000.00	95.58	-	-	-	113,661	112,780
12/31/2018	Southern Power Co 1.95% Due 12/15/2019	145,000.00	98.49	-	-	-	143,540	142,812
12/31/2018	The Reinvestment Fund 3.477000% Due 2/15/2023	175,000.00	100.54	-	-	-	175,000	175,937
12/31/2018	The Walt Disney Company 2.15% Due 9/17/2020	149,000.00	98.8	-	-	-	146,982	147,217
12/31/2018	Thermo Fisher Scientific 4.50% Due 3/1/2021	154,000.00	102.20	-	-	-	157,463	157,394
12/31/2018	Toronto-Dominion Bank 1.85% Due 9/11/2020	128,000.00	98.17	-	-	-	125,563	125,658
12/31/2018	United Parcel Service 3.125% Due on 1/15/2021	142,000.00	100.82	-	-	-	142,124	143,164
12/31/2018	Vanguard Mortgage Backed Securities ETF	16,195.00	51.49	-	-	-	844,114	833,881
Total line 10				13,987,456	14,034,810	-	5,347,789	5,312,254

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

STATEMENT 5
FORM 990-PF
YEAR 2018

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	6,354	4,532	1,822
Office Equipment	<u>10,238</u>	<u>1,463</u>	<u>8,775</u>
	16,592	5,995	10,597
Total line 14			\$10,597

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

STATEMENT 6
FORM 990-PF
YEAR 2018

STATEMENT REGARDING ACTIVITIES

Part VII-A, line 4b

2018 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

2018 Distribution to Donor Advised Funds

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

<u>Donor Advised Funds</u>	<u>Distribution Amount</u>	<u>Date</u>
<u>Rockefeller Philanthropy Advisors:</u>		
The David Rockefeller Fund Trustee Discretionary Giving - 4th & 5th Generations	\$ 100,000.00 (1)	7/5/2018

(1) This amount was treated as a qualifying distribution by the David Rockefeller Fund in 2018.

DAVID ROCKEFELLER FUND, INC.

13-3533359

475 Riverside Drive, Suite 900

New York, New York 10115

STATEMENT 6A

FORM 990-PF

YEAR 2018

Schedule of substantial contributors during the tax year

Part VII, line 10

Clayton Rockefeller

10 Rockefeller Plaza 3rd FL

New York, NY 10020

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

Schedule 7A
FORM 990-PF
Year 2018

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2018

1. Name and Address of Recipient:
Protect Our Winters Action Fund
Attn: Mario Molina
Executive Director
4676 Broadway
Boulder, CO 80304
2. Date and Amount of Grants:
4/2/18 \$25,000
7/3/18 \$25,000
3. Purpose of Grants:
This grant supported efforts to make action on climate change a top priority for the outdoor sports community. This grant supported purely charitable activities related to advancing climate policies and raising the visibility of climate change as an issue.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee—to the knowledge of Grantor—made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 04/16/19 and 06/01/2019, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

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

Schedule 7A
FORM 990-PF
Year 2018

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2018

1. Name and Address of Recipient:
SIXTEEN THIRTY FUND
Attn: Eric Kessler
1201 Connecticut Ave NW, Suite 300
Washington, DC 20036
2. Date and Amount of Grant:
7/3/18 \$100,000
3. Purpose of Grant:
This grant supported the Sixteen Thirty Fund's Climate and Energy Fund project, which supports organizations working to advance climate change and clean energy solutions. This grant supported purely charitable activities related to advancing climate policies and raising the visibility of climate change as an issue.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee—to the knowledge of Grantor—made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 02/28/19, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

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

Schedule 7A
FORM 990-PF
Year 2018

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2018

1. Name and Address of Recipient:
Truman National Security Project
Attn: Mike Breen
President & CEO
1250 I Street NW, Suite 500
Washington, Dc 20005
2. Date and Amount of Grant:
7/3/18 \$50,000
3. Purpose of Grant:
This grant supported efforts to mobilize veterans and other grassroots constituencies concerned about climate change, especially the impact on homeland and national security. This grant supported purely charitable activities related to advancing climate policies and raising the visibility of climate change as an issue.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee—to the knowledge of Grantor—made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 04/18/19, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

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

Schedule 7A
FORM 990-PF
Year 2018

DAVID ROCKEFELLER FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2018

1. Name and Address of Recipient:
SDK Foundation for Human Dignity
Attn: Ashley Tucker
49 Old Woods Road
Saddle River, NJ 07458-3208
2. Date and Amount of Grant:
12/17/18 \$6,500
3. Purpose of Grant:
This grant supported the Artistic Freedom Initiative's artistic safe haven hosting guide.
4. Amount Expended by Grantee:
None.
5. Whether Grantee—to the knowledge of Grantor—made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 02/28/19, Grantor received from Grantee narrative and financial reports certifying that none of the funds had been spent at that time but that the budget and project scope remained unchanged. Grantee anticipated that all funds would be expended for the purposes for which the grant was made by the next reporting deadline.
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
2018

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	(1) TRUSTEE	1	NONE	NONE	NONE
NEVA GOODWIN 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
DANIEL GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
EILEEN GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1.5	NONE	NONE	NONE
PAUL GROWALD 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	1	NONE	NONE	NONE
STEPHEN HEINTZ 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1.5	NONE	NONE	NONE

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

STATEMENT 7
FORM 990PF
2018

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
DAVID KAISER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	2	NONE	NONE	NONE
MIRANDA KAISER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE/SECRETARY	2	NONE	NONE	NONE
REBECCA LAMBERT 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(1) TRUSTEE	1.5	NONE	NONE	NONE
ROBERT PARTON 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
MICHAEL QUATTRONE 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE/CHAIR	5	NONE	NONE	715
CAMILLA ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(2) TRUSTEE/CHAIR	3	NONE	NONE	NONE

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

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FORM 990PF
2018

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
CLAY ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1.5	NONE	NONE	NONE
SUSAN ROCKEFELLER 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	TRUSTEE	1	NONE	NONE	NONE
MANYA RUBINSTEIN 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	(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
LUKAS HAYNES 475 RIVERSIDE DRIVE, SUITE 900 NEW YORK , NY 10115	EXECUTIVE DIRECTOR	40	200,962	62,384	3,871

Note: Rosemary Corbett, Adam Growald, Chris Lindstrom, Ariana Rockefeller, and David Rockefeller Jr.'s trustee term expired 12/31/2017.

(1) Effective January 1, 2018.

(2) Chair transition effective August 2018. Michael Quattrone was chair until July 2018.

FORM 990-PF, PART XV - SUPPLEMENTARY INFORMATION

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

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

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

In addition to the program areas outlined above, the Fund underwrote a number of initiatives designed to encourage trustees' individual charitable giving.

Form 990-PF: Return of Private Foundation**Part XV, Line 2: Supplementary Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc.****Continuation Statement**

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

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Organization	Approved Req/Granted Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
A Blade of Grass Deborah Fisher Tel: 646-757-4199 dfisher@abladeofgrass.org 81 Prospect Street Brooklyn, NY 11201		Grant: 150,000.00 Paid: 150,000.00 Bal: 0.00 Term: 36 Months	50,000.00	For general support	0.00 PC - Public Charity
Fountain House Kenneth J. Dudek 425 West 47th Street New York, NY 10036-2304		Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 24 Months	25,000.00	For Studio program	0.00 PC - Public Charity
Girl Be Heard Jessica Greer Morris Tel: (718) 222-4475 jessica@girlbeheard.org 20 Jay Street , #210B Brooklyn, NY 11201		Grant: 60,000.00 Paid: 60,000 Bal: 0.00 Term: 24 Months	31,000.00	For general support	0.00 PC - Public Charity
The Listen Charity USA Inc Anthony Hollingsworth Tel: +442089396464 tonyh@listencampaign.com c/o David Ulich Sheppard Mullin 333 Hope Street Los Angeles, CA 90071		Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 24 Months	25,000.00	For general support	0.00 PC - Public Charity
Pros and Cons c/o John Howard Society Chris Brown hchrisbrown@gmail.com c/o Catherine Latimer 809 Blackburn Mews Kingston, ON K7P 2N6		Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 24 Months	25,000.00	Pros & Cons for general support	0.00 PC - Public Charity
A Blade of Grass Deborah Fisher Tel: 646-757-4199 dfisher@abladeofgrass.org 81 Prospect Street Brooklyn, NY 11201	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Content production	0.00 PC - Public Charity
The Amplifier Foundation Aaron Huey Tel: (206) 909-4727 huey@amplifier.org 3518 S Edmunds Street Seattle, WA 98118-1727	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For general support	0.00 PC - Public Charity
Brave New Films Jim Miller Tel: (310) 204-0448 jim@bravenewfilms.org 10510 Culver Boulevard, Culver City, CA, 90232	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For general support	0.00 PC - Public Charity

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Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
chashama Anita Durst Tel: (917) 723-8608 anita@durst.org 675 Third Ave. NY, NY 10017	50,000.00	Grant: 50,000.00 Paid: 25,000.00 Bal: 25,000.00 Term: 24 Months	25,000.00	For Bronx Community Artist Initiative	25,000.00	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: 25,000.00 Term: 24 Months	25,000.00	For general support	25,000.00	PC - Public Charity
Grantmakers in the Arts Eddie Torres Tel: (929) 452-3740 Fax: (206) 624-5568 eddie@giarts.org 522 Courtlandt Avenue, 1st Floor Bronx, NY 10451-5008	1,000.00	Grant: 1,000.00 Paid: 1,000.00 Bal: 0.00 Term: 12 Months	1,000.00	For general support	0.00	PC - Public Charity
Hip Hop Caucus Lennox Yearwood Jr Tel: (202) 293-5902 rev@hiphopcaucus.org 1638 R St. NW, Suite 120, Washington, DC 20009	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	For general support	0.00	PC - Public Charity
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	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For general support	0.00	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	For Public Works program	0.00	PC - Public Charity
Theatre of the Oppressed NYC Katy Rubin Tel: (646) 504-4582 katy@tonyc.nyc 68 Jay Street, Suite 220, New York, NY 11201	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	For general support	0.00	PC - Public Charity

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Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
United Workers Association Todd Cherkis Tel: (410) 340-2838 tcherkis@hotmail.com PO Box 41547 Baltimore, MD 21203	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	For general support	0.00	PC - Public Charity
Victory Gardens Theater Erica Daniels Tel: (773) 328-2152 Fax: 17735492779 rdaniels@victorygardens.org 2433 N Lincoln Ave Chicago, IL 60614	28,000.00	Grant: 28,000.00 Paid: 28,000.00 Bal: 0.00 Term: 12 Months	28,000.00	For general support	0.00	PC - Public Charity
YEARS Project c/o Tides Foundation Becca Shepherd bshepherd@tides.org Tides Foundation 1012 Torney Avenue San Francisco CA, 94129-1755	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For general support	0.00	PC - Public Charity
Campaign for the Fair Sentencing of Youth Jody Kent Lavy Tel: (202) 289-4677 ext. 14 jkent@fairsentencingofyouth.org 1319 F STREET NW SUITE 303 Washington, DC 20004		Grant: 100,000.00 Paid: 100,000.00 Bal: 0.00 Term: 24 Months	50,000.00	For general support	0.00	PC - Public Charity
Center for Constitutional Rights Vincent Warren Tel: 212.614.6468 Vwarren@ccrjustice.org 666 Broadway 7th Floor New York, NY 10012		Grant: 150,000.00 Paid: 150,000.00 Bal: 0.00 Term: 36 Months	50,000.00	For general support	0.00	PC - Public Charity
Abolitionist Law Center Dustin McDaniel Tel: (412) 654-9070 dsm@abolitionistlawcenter.org PO Box 8654 Pittsburgh, PA 15221	50,000.00	Grant: 50,000.00 Paid: 25,000.00 Bal: 25,000.00 Term: 24 Months	25,000.00	For general support	25,000.00	PC - Public Charity
Campaign for Youth Justice Marcy Mistrett Tel: (202) 558-3580 ext. 1607 mmistrett@cfyj.org 1220 L St. NW, Suite 605 Washington, DC 20005	35,000.00	Grant: 35,000.00 Paid: 35,000.00 Bal: 0.00 Term: 12 Months	35,000.00	For general support	0.00	PC - Public Charity

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Organization	Approved Req/Granted Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
Center for Court Innovation c/o Fund for the City of New York Greg Berman Tel: (212) 397-3050 ext. 8097 Fax: (212) 397-0985 bermang@courtinnovation.org Attn: Development Department 520 Eighth Avenue, 18th Floor, New York NY 10018	29,000.00	Grant: 29,000.00 Paid: 29,000.00 Bal: 0.00 Term: 12 Months	29,000.00	Center for Court Innovation for general support	0.00 PC - Public Charity
Center for Popular Democracy Kimihei Tsegai Tel: (347) 985-2220 449 Troutman Street, Suite A Brooklyn, NY 11237	19,000.00	Grant: 19,000.00 Paid: 19,000.00 Bal: 0.00 Term: 12 Months	19,000.00	For general support	0.00 PC - Public Charity
Community Justice Reform Coalition c/o New Venture Fund Amber Goodwin Tel: (512) 820-8613 amber@cjrcoalition.org 1201 Connecticut Avenue NW Washington DC, 20036	30,000.00	Grant: 30,000.00 Paid: 30,000.00 Bal: 0.00 Term: 12 Months	30,000.00	Community Justice Reform Coalition for general support	0.00 PC - Public Charity
Detention Watch Network c/o Tides Center Shah Silky Tel: 520-240-3726 sshah@detentionwatchnetwork.org Yvette Diaz - Senior Advisor c/o Tides Center 55 Exchange Place, Suite 402, NY 10005	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	Detention Watch Network for general support	0.00 PC - Public Charity
Grassroots Leadership Robert Libal Tel: (512) 499-8111 blibal@grassrootsleadership.org 2301 E. Cesar Chavez Austin, TX 78702	40,000.00	Grant: 40,000.00 Paid: 40,000.00 Bal: 0.00 Term: 12 Months	40,000.00	For general support	0.00 PC - Public Charity
KIND Wendy Young Tel: (202) 824-8680 info@supportkind.org 1300 L Street NW Suite 1100 Washington, DC 20005	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	For general support	0.00 PC - Public Charity

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Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
New York Youth Justice Initiative c/o FJC Penny Fujiko Wilgerodt Tel: 212-370-1165 ext. 401 pwillgerodt@prospect-hill.org c/o FJC Fiscal Sponsorship Program 520 Eighth Avenue, 20th Floor New York, NY 10018	5,000.00	Grant: 5,000.00 Paid: 5,000.00 Bal: 0.00 Term: 12 Months	5,000.00	For New York Youth Justice Initiative for general support	0.00	PC - Public Charity
Prisoner Reentry Institute c/o 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	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	For Fellowship program	0.00	PC - Public Charity
Project On Government Oversight Danielle Brian Tel: (202) 347-1122 Fax: (202) 347-1116 dbrian@pogo.org 1100 G Street 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	For general support	0.00	PC - Public Charity
Safe Passage Project Rich Leimsider Tel: (212) 324-6558 rleimsider@safepassageproject.org New York Law School 185 West Broadway New York NY, 10013	5,000.00	Grant: 5,000.00 Paid: 5,000.00 Bal: 0.00 Term: 12 Months	5,000.00	For general support	0.00	PC - Public Charity
Youth First! Initiative c/o New Venture Fund Lee Bodner Tel: (202) 595-1061 lee.bodner@newventurefund.org 1201 Connecticut Avenue NW, Suite 300, Washington, DC 20036	30,000.00	Grant: 30,000.00 Paid: 30,000.00 Bal: 0.00 Term: 12 Months	30,000.00	Youth First Initiative for general support	0.00	PC - Public Charity
Center for Climate and Security c/o Sustainable Markets Foundation Francesco Femia ffemia@climateandsecurity.org c/o Jay Halfon 45 West 36th Street, Floor 6 New York, NY 10018		Grant: 150,000.00 Paid: 150,000.00 Bal: 0.00 Term: 36 Months	50,000.00	Center for Climate & Security for general support	0.00	PC - Public Charity

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Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
Center for Climate and Security c/o The Council on Strategic Risks Francesco Femia 1025 Connecticut Avenue NW, Suite 1000 Washington, DC 20036	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	Center for Climate & Security for general support	0.00	PC - Public Charity
Confluence Philanthropy Dana Lanza Tel: (212) 812-4367 dana@confluencephilanthropy.org 475 Riverside Drive, Suite 900 New York, NY 10115	1,500.00	Grant: 1,500.00 Paid: 1,500.00 Bal: 0.00 Term: 12 Months	1,500.00	For general support	0.00	PC - Public Charity
Consultative Group on Biological Diversity Paige Brown Tel: (415) 561-6575 ext. 304 PO Box 29361 San Francisco, CA 94129-0361	5,000.00	Grant: 5,000.00 Paid: 5,000.00 Bal: 0.00 Term: 12 Months	5,000.00	For Climate & Energy Funder's Group	0.00	PC - Public Charity
Environmental and Energy Study Institute Carol Werner Tel: (202) 662-1881 Fax: (202) 204-5244 cwerner@eesi.org 1020 19th St. NW, Ste 650 Washington, DC 20036	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For general support	0.00	PC - Public Charity
Environmental Grantmakers Association Rachel Leon rleon@ega.org 475 Riverside Drive Suite 900 New York, NY 10115	4,000.00	Grant: 4,000.00 Paid: 4,000.00 Bal: 0.00 Term: 12 Months	4,000.00	For general support	0.00	PC - Public Charity
Peace and Security Funders Group c/o The Fund for Constitutional Government Alexandra Toma atoma@peaceandsecurity.org Attn: Kathryn Saunders 122 Maryland Avenue, NE Washington, DC 20002	3,500.00	Grant: 3,500.00 Paid: 3,500.00 Bal: 0.00 Term: 12 Months	3,500.00	For Peace and Security Funders Group for general support	0.00	PC - Public Charity
Protect Our Winters Action Fund Mario Molina 311 Mapleton Avenue Boulder, CO 80304	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Mobilizing outdoor sports community on climate change	0.00	NC - Organization not otherwise classified
Protect Our Winters Action Fund Mario Molina 311 Mapleton Avenue Boulder, CO 80304	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Mobilizing outdoor sports community on climate change	0.00	NC - Organization not otherwise classified

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Organization	Approved Req/Granted Amount	Paid Amount	Description	Future Grants Approved	Foundation Status
republicEn c/o George Mason University Foundation Susan Van Leunen Tel: (703) 993-8850 mvanleun@gmu.edu 4400 University Drive MS 1A3 Fairfax Virginia 22030	40,000.00	Grant: 40,000.00 Paid: 40,000.00 Bal: 0.00 Term: 12 Months	40,000.00	For republicEn for general support	0.00 PC - Public Charity
Sixteen Thirty Fund Eric Kessler Tel: (202) 664-8762 Fax: (202) 833-5540 info@sixteenthirtyfund.org 1201 Connecticut Ave NW Suite 300 Washington, DC 20036	100,000.00	Grant: 100,000.00 Paid: 100,000.00 Bal: 0.00 Term: 12 Months	100,000.00	For Climate & Energy Fund	0.00 NC - Organization not otherwise classified
Sustainable Markets Foundation Jay Halfon Attn: Jay Halfon 45 West 36th Street, Floor 6, NY, NY 10018	36,000.00	Grant: 36,000.00 Paid: 36,000.00 Bal: 0.00 Term: 12 Months	36,000.00	For Climate security analysis	0.00 PC - Public Charity
Truman National Security Project Mike Breen Tel: (202) 216-9723 mbreen@trumancnp.org 1250 I Street NW Suite 500 Washington DC 20005	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	For Climate security forums	0.00 NC - Organization not otherwise classified
YEARS Project c/o Tides Foundation Becca Shepherd bshepherd@tides.org Tides Foundation 1012 Torney Avenue San Francisco CA 94129-1755	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For general support	0.00 PC - Public Charity
Center for Climate and Security c/o The Council on Strategic Risks Francesco Femia 1025 Connecticut Avenue NW, Suite 1000 Washington, DC 20036	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	For Japan climate security project	0.00 PC - Public Charity
AgitArte Jorge Diaz Ortiz 678 Massachusetts Ave Suite 504 Cambridge, MA 02139	6,500.00	Grant: 6,500.00 Paid: 6,500.00 Bal: 0.00 Term: 6 Months	6,500.00	For Art installation in Puerto Rico	0.00 PC - Public Charity

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Artistic Freedom Initiative c/o SDK Foundation for Human Dignity Ashely Tucker 49 Old Woods Road Saddle River, NJ 07458-3208	6,500.00	Grant: 6,500.00 Paid: 6,500.00 Bal: 0.00 Term: 6 Months	6,500.00	For Artist safe haven guide	0.00	PF - Private Foundation
Beyond the Box c/o Urban Youth Alliance International Wendy Calderon-Payne 432 East 149th Street, 2nd Floor Bronx, NY 10455	6,500.00	Grant: 6,500.00 Paid: 6,500.00 Bal: 0.00 Term: 6 Months	6,500.00	For Funder convening on criminal justice reform	0.00	PC - Public Charity
Gulf of Maine Research Institute Donald W. Perkins Tel: (207) 288-1634 Fax: (207) 772-6855 don@gmri.org 350 Commercial Street Portland, ME 04101	5,000.00	Grant: 5,000.00 Paid: 5,000.00 Bal: 0.00 Term: 12 Months	5,000.00	For Symposium on climate change	0.00	PC - Public Charity
Just Vision Suhad Babaa suhad@justvision.org 1616 P Street NW Ste 340 Washington, DC 20036	5,000.00	Grant: 5,000.00 Paid: 5,000.00 Bal: 0.00 Term: 6 Months	5,000.00	For Film launch & outreach	0.00	PC - Public Charity
No Longer Empty Carol Stakenas 122 West 27th Street Floor 10 New York, NY 10001	4,000.00	Grant: 4,000.00 Paid: 4,000.00 Bal: 0.00 Term: 12 Months	4,000.00	For Art exhibit	0.00	PC - Public Charity
Power Shift Network Lydia Avila 1875 Connecticut Avenue NW, 10th Floor Washington, DC 20009	6,500.00	Grant: 6,500.00 Paid: 6,500.00 Bal: 0.00 Term: 12 Months	6,500.00	For Frontlines to Power training program	0.00	PC - Public Charity
Bedford 2020 Coalition Ellen Rouse Conrad PO Box 812 Bedford Hills, NY 10507	1,500.00	Grant: 1,500.00 Paid: 1,500.00 Bal: 0.00 Term: 12 Months	1,500.00	For Climate action summit	0.00	PC - Public Charity
#cut50 c/o Dream Corps Sandha Kripalani sandhya@dreamcorps.us 436 14th Street Suite 920 Oakland, NY 94612	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	Criminal justice-#cut50 for general support	0.00	PC - Public Charity

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Confluence Philanthropy Dana Lanza Tel: (212) 812-4367 dana@confluencephilanthropy.org 475 Riverside Drive, Suite 900 New York, NY 10115	1,500.00	Grant: 1,500.00 Paid: 1,500.00 Bal: 0.00 Term: 12 Months	1,500.00	Environment-for general support	0.00	PC - Public Charity
Independent Diplomat Sherrie Strect Ager 45 East 20th Street, 6th Floor New York, NY 10003	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	Peace and security-for general support	0.00	PC - Public Charity
The Jed Foundation John MacPhee Tel: (212) 647-7544 6 East 39th Street, Suite 1204 New York, NY 10016	1,000.00	Grant: 1,000.00 Paid: 1,000.00 Bal: 0.00 Term: 12 Months	1,000.00	Health & wellness-for general support	0.00	PC - Public Charity
National Center for Family Philanthropy Virginia Esposito Tel: (202) 293-3424 Fax: (202) 293-3395 1101 Connecticut Avenue, NW, Suite 220 Washington, DC 20036	2,000.00	Grant: 2,000.00 Paid: 2,000.00 Bal: 0.00 Term: 12 Months	2,000.00	Philanthropy-for general support	0.00	PC - Public Charity
Pachamama Alliance PO Box 29191 San Francisco CA 94129	5,050.00	Grant: 5,050.00 Paid: 5,050.00 Bal: 0.00 Term: 12 Months	5,050.00	Environment-for general support	0.00	PC - Public Charity
Philanthropy New York Ronna Brown Tel: (212) 714-0699 Fax: (212)239-2075 320 East 43rd Street New York, NY 10017	1,950.00	Grant: 1,950.00 Paid: 1,950.00 Bal: 0.00 Term: 12 Months	1,950.00	Philanthropy-for general support	0.00	PC - Public Charity
Pros and Cons c/o John Howard Society Chris Brown hchrisbrown@gmail.com c/o Catherine Latimer 809 Blackburn Mews Kingston, ON K7P 2N6	20,000.00	Grant: 20,000.00 Paid: 20,000.00 Bal: 0.00 Term: 12 Months	20,000.00	Arts-Pros & Cons for general support	0.00	PC - Public Charity
Protect Our Winters Christopher Steinkamp 311 Mapleton Avenue Boulder, CO 80304	10,000.00	Grant: 10,000.00 Paid: 10,000.00 Bal: 0.00 Term: 12 months	10,000.00	Environment-for general support	0.00	PC - Public Charity

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Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
Victory Gardens Theater Erica Daniels Tel: (773) 328-2152 Fax: 17735492779 rdaniels@victorygardens.org 2433 N Lincoln Ave Chicago, IL 60614	2,000.00	Grant: 2,000.00 Paid: 2,000.00 Bal: 0.00 Term: 12 Months	2,000.00	Arts-for general support	0.00	PC - Public Charity
Asia Society Andrea Frodema Tel: (212) 327-9269 Fax: (212) 517-8315 AFrodema@asiasociety.org 725 Park Avenue New York, NY 10021-5088	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Arts and environment exhibit	0.00	PC - Public Charity
The Carter Burden Center William J. Dionne Tel: (212) 879-7400 415 East 73rd Street New York, NY 10021	23,573.00	Grant: 23,573.00 Paid: 23,573.00 Bal: 0.00 Term: 12 Months	23,573.00	Health & wellness-for general support	0.00	PC - Public Charity
Men's Story Project c/o Fractured Atlas Theresa Hubbard 248 West 35th Street, 10th Floor New York, NY 10001	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Arts-for general support	0.00	PC - Public Charity
Pachamama Alliance Bill Twist PO Box 29191 San Francisco, CA 94129	15,000.00	Grant: 15,000.00 Paid: 15,000.00 Bal: 0.00 Term: 12 Months	15,000.00	Environment-for general support	0.00	PC - Public Charity
Victory Gardens Theater Erica Daniels Tel: (773) 328-2152 Fax: 17735492779 rdaniels@victorygardens.org 2433 N Lincoln Ave Chicago, IL 60614	10,000.00	Grant: 10,000.00 Paid: 10,000.00 Bal: 0.00 Term: 12 months	10,000.00	Arts-for general support	0.00	PC - Public Charity
AS220 Lucie Searle Tel: (401) 831-9327 info@as220.org 115 Empire Street Providence, RI 02903	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Arts-capital campaign	0.00	PC - Public Charity
Fashion Revolution USA Lauren B Fay lauren@fashionrevolutionusa.org 21 S William Street Apt. 5D New York, NY 10004	5,000.00	Grant: 5,000.00 Paid: 5,000.00 Bal: 0.00 Term: 12 Months	5,000.00	Environment-for general support	0.00	PC - Public Charity

DAVID ROCKEFELLER FUND, INC.

13-3533359

DECEMBER 31, 2018**Form 990PF**

Statement 9

GRANTS APPROVED AND PAID 2018 (approval date is any date between 1/1/2018 and 12/31/2018)

Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
Multidisciplinary Association for Psychedelic Studies (MAPS) Rick Doblin Tel: 617-276-7806 rick@maps.org 1115 Mission Street Santa Cruz, CA 95060	50,000.00	Grant: 50,000.00 Paid: 50,000.00 Bal: 0.00 Term: 12 Months	50,000.00	For Health & wellness-Phase III trials	0.00	PC - Public Charity
The Canary Project c/o Media Collective Inc. Edward Morris Tel: 646-226-6616 edward@canary-project.org 115 West 29th St., Suite 1101 New York, NY 10001	30,000.00	Grant: 30,000.00 Paid: 30,000.00 Bal: 0.00 Term: 12 Months	30,000.00	Arts-Canary Project for general support	0.00	PC - Public Charity
ProBAR Children's Project c/o American Bar Association Fund for Justice and Education Jackie Casey Tel: (312) 988-5404 Jackie.Casey@americanbar.org 321 North Clark Street Chicago, IL 60654	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Criminal justice-ProBAR Children's Project for general support	0.00	PC - Public Charity
Southside Community Land Trust Margaret Devos Tel: (401) 273-9419 109 Somerset Street Providence, RI 02907	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	For Environment-capital campaign	0.00	PC - Public Charity
Global Alliance for the Future of Food c/o New Venture Fund Eric Kessler 1201 Connecticut Ave NW Suite 300 Washington, DC 20036	250,000.00	Grant: 250,000.00 Paid: 250,000.00 Bal: 250,000.00 Term: 12 Months	0.00	For Environment-convening	250,000.00	PC - Public Charity
Our Children's Trust Julia Olson PO Box 5181 Eugene OR 97405	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	Environment-for general support	0.00	PC - Public Charity
Piper Fund c/o Proteus Fund Paul Di Donato 15 Research Drive, Suite B Amherst, MA 01002	25,000.00	Grant: 25,000.00 Paid: 25,000.00 Bal: 0.00 Term: 12 Months	25,000.00	Environment-for general support	0.00	PC - Public Charity
Salzburg Global Seminar Stephen Salyer 1250 H Street NW, Suite 1150 Washington DC 20005	100,000.00	Grant: 100,000.00 Paid: 100,000.00 Bal: 100,000.00 Term: 12 Months	0.00	For Environment-convening	100,000.00	PC - Public Charity

DAVID ROCKEFELLER FUND, INC.

13-3533359

DECEMBER 31, 2018**Form 990PF**

Statement 9

GRANTS APPROVED AND PAID 2018 (approval date is any date between 1/1/2018 and 12/31/2018)

Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
Pollinator Partnership Kelly Rourke 423 Washington Street, 5th Floor San Francisco, CA 94111	48,000.00	Grant: 48,000.00 Paid: 48,000.00 Bal: 0.00 Term: 12 Months	48,000.00	DR Pollinator Education Initiative	0.00	PC - Public Charity
Rockefeller Philanthropy Advisors Melissa Berman 6 West 48th Street, Floor 10 New York, NY 10036-1802	100,000.00	Grant: 100,000.00 Paid: 100,000.00 Bal: 0.00 Term: 12 Months	100,000.00	To administer trustee matching & discretionary grants	0.00	PC - Public Charity
Total:	2,078,573.00		1,959,573.00		425,000.00	

STAFF MATCHING GRANTS

Americans for Oxford Neil Simpkins 500 5th Avenue, 32nd Floor New York, NY 10110	240.00	Grant: 240.00 Paid: 240.00 Bal: 0.00 Term: 12 Months	0.00		240.00	PC - Public Charity
Families for Excellent Schools Katie Cunningham 80 Pine Street, 32nd Floor New York, NY 10005	600.00	Grant: 600.00 Paid: 600.00 Bal: 0.00 Term: 12 Months	600.00		0.00	PC - Public Charity
Friends of the Brooklyn Latin School Gina Mautschke-Mitchell 223 Graham Avenue Brooklyn, NY 11206	300.00	Grant: 300.00 Paid: 300.00 Bal: 0.00 Term: 12 Months	0.00		300.00	PC - Public Charity
JED Foundation Heather Poole 6 East 39th Street, Suite 1204 New York, NY 10016	250.00	Grant: 250.00 Paid: 250.00 Bal: 0.00 Term: 12 Months	250.00		0.00	PC - Public Charity
JED Foundation Heather Poole 6 East 39th Street, Suite 1204 New York, NY 10016	258.00	Grant: 258.00 Paid: 258.00 Bal: 0.00 Term: 12 Months	0.00		258.00	PC - Public Charity
International Rescue Committee Jessica Fisher 122 East 42nd Street New York, NY 10168	250.00	Grant: 250.00 Paid: 250.00 Bal: 0.00 Term: 12 Months	0.00		250.00	PC - Public Charity
Montclair Early Childhood Corp. Molly Brennan 49 Orange Road Montclair, NJ 07042	200.00	Grant: 200.00 Paid: 200.00 Bal: 0.00 Term: 12 Months	0.00		200.00	PC - Public Charity

GRANTS APPROVED AND PAID 2018 (approval date is any date between 1/1/2018 and 12/31/2018)

Organization	Approved Amount	Req/Granted	Paid Amount	Description	Future Grants Approved	Foundation Status
Montclair Early Childhood Corp. Molly Brennan 49 Orange Road Montclair, NJ 07042	3,000.00	Grant: 3000.00 Paid: 3000.00 Bal: 0.00 Term: 12 Months	0.00		3,000.00	PC - Public Charity
Total:	5,098.00		850.00		4,248.00	
GRAND TOTAL	2,083,671.00		1,960,423.00		429,248.00	
2018 Accrued Employee Matching Gifts			4,248.00		(4,248.00)	
Total Per GL	2,083,671.00		1,964,671.00		425,000.00	

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

STATEMENT 10
FORM 990-PF
YEAR 2018

Conformed Copy of Amendment of Bylaws

Part VII-A, line 3

I certify that the attached Amendment of Bylaws revised
on August 10, 2018 is complete and accurate.
I further certify that I am duly authorized to sign this statement
on behalf of the Board of Trustees of the David Rockefeller Fund, Inc.

Signature: 

Name: Lukas Haynes

Title: Executive Director

BYLAWS
OF
THE DAVID ROCKEFELLER FUND, INC.
(A New York Not-for-Profit Corporation)
(the "Corporation")

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(Originally Adopted on July 21, 1989)
(Last revised on August 10, 2018)

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BYLAWS
OF
THE DAVID ROCKEFELLER FUND, INC.
(A New York Not-for-Profit Corporation)
(the "Corporation")

ARTICLE I

MEMBERS

Section 1.1. Members. The Corporation shall have no members.

ARTICLE II

DIRECTORS

Section 2.1. Board of Directors. The property and affairs of the Corporation shall be managed and administered by its Board of Directors. As used in these Bylaws, "entire Board of Directors" means the total number of Directors entitled to vote that the Corporation would have if there were no vacancies.

Section 2.2. Number of Directors. The number of Directors constituting the entire Board of Directors shall be sixteen until such number is changed by amendment to these Bylaws pursuant to Section 7.1, provided that the number of Directors shall not be less than three and no decrease in the number of Directors shall shorten the term of any incumbent Director.

Section 2.3. Election and Term of Office. Directors shall be elected at each annual meeting of the Corporation's Board of Directors for a term of one year. At least eight of the Directors shall be elected from among the descendants of David Rockefeller and their spouses. Each Director shall continue in office until the close of the election of Directors and officers at the next annual meeting of the Board of Directors and until his or her successor, if any, shall have been elected and qualified, or until his or her earlier death, resignation or removal. Directors may succeed themselves in office. Vacancies occurring on the Board of Directors for any reason may be filled by the vote of a majority of the Directors then in office, whether or not a quorum is then in office.

Section 2.4. Resignation and Removal. A Director may resign at any time by giving written notice to the Chair or Secretary. Unless otherwise specified in the notice, the resignation shall take effect upon receipt by such officer, and acceptance of the resignation shall not be necessary to make it effective. Any Director may be removed at any time by the Directors, for cause, provided that there shall be a quorum of not less than a majority of the entire Board of Directors present at the meeting of Directors at which such action is taken.

Section 2.5. Meetings. Annual and regular meetings of the Board of Directors shall be held at such times and places as the Board of Directors may from time to time determine. Special meetings of the Board of Directors may be held at any time and place upon call of the Chair, or of the Secretary upon written demand of not less than one-fifth of the entire Board of Directors. The Chair shall preside at all meetings of the Board of Directors and may designate another member of the Board to preside if the Chair is absent, and if no such designation is made, the Directors shall select one of their number to preside at the meeting.

Section 2.6. Quorum of Directors. Unless otherwise provided by law or these Bylaws, the presence of a majority of the entire Board of Directors shall constitute a quorum for the transaction of business at any meeting of the Directors. Participation by one or more Directors by means of a conference telephone or similar equipment allowing all persons participating in any meeting of the Board of Directors or any committee thereof to hear each other at the same time shall constitute presence at such meeting.

Section 2.7. Adjourned Meetings. A majority of the Directors present at a meeting, whether or not a quorum is present, may adjourn such meeting to another time and place. At least one day's notice of the time and place of such adjourned meeting shall be given to Directors who were not present at the time of such adjournment.

Section 2.8. Action of the Board of Directors. The vote of a majority of the Directors present at the time of the vote, if a quorum is present, shall constitute the action of the Board of Directors, unless the action is one upon which a different vote is required by law or these Bylaws. Each Director shall have one vote. Voting by proxy shall not be permitted at a meeting of the Board of Directors or any committee thereof.

Section 2.9. Action by Written Consent of Directors. Any action required or permitted to be taken at any meeting of the Board of Directors or by any committee thereof may be taken without a meeting if all members of the Board of Directors, or all members of the committee who are authorized to act, consent in writing to the adoption of a resolution authorizing such action. Such action and written consents thereto shall be filed with the minutes of proceedings of the Board of Directors or the committee.

Section 2.10. Compensation. Directors shall not receive compensation for serving as such. The Board of Directors may if circumstances warrant authorize reimbursement of expenses incurred by Directors in the performance of their duties. Nothing herein contained shall be construed to preclude any Director from serving the Corporation in any other capacity and receiving reasonable compensation therefor.

Section 2.11. Notice. Notice of the time, place and purpose of every meeting of the Board of Directors shall be given by the Secretary or other officer by mailing, electronic means, delivering, or telephoning the same to each Director at least three days before such meeting. Notice of any meeting need not be given, however, to any Director who submits a signed waiver of notice, before or after the meeting, or who attends the meeting without protesting the lack of notice, prior thereto or at its commencement.

ARTICLE III

COMMITTEES

Section 3.1. Executive Committee. The Board of Directors may from time to time, by resolution adopted by a majority of the entire Board of Directors, create an Executive Committee, consisting of the Chair and such other Directors as the Board may determine, provided that the Executive Committee shall have no fewer than three members. The Executive Committee shall possess and exercise all of the delegable powers of the Board of Directors, subject to such restrictions as from time to time may be prescribed by the Board of Directors, provided that the Executive Committee shall have no authority to: (i) fill vacancies in the Board of Directors or in any committee, or (ii) amend or repeal the Bylaws or adopt new Bylaws. The Chair shall preside at all meetings of the Executive Committee, and may designate another member of the Committee to preside at any meeting if the Chair is absent.

Section 3.2. Nominating Committee. There shall be a nominating committee consisting of at least three persons selected from among the descendants of David Rockefeller and their spouses. Members of the nominating committee need not be members of the Board of Directors. The nominating committee shall be in charge of devising and maintaining a system of rotation on the Board of Directors for family members and their spouses, and shall also nominate persons for election as Directors and officers.

Section 3.3. Other Committees. The Board of Directors may from time to time create such other committees as the activities of the Corporation may require, and delegate such authority to such committees as the Board of Directors may deem appropriate, provided that any committee which is authorized by the Board of Directors to exercise any of the powers of the Board of Directors shall consist of at least three Directors.

Section 3.4. Appointment and Procedure of Committees. Unless otherwise provided by the Board of Directors, members of committees shall be elected by the Board of Directors upon recommendation of the Chair, and shall serve for a term of one year and until the appointment and qualification of their successors, if any. Chairs of committees shall be appointed by the Chair. A majority of the members of each committee shall constitute a quorum for the transaction of any business. Except as otherwise provided by these Bylaws or by the Board of Directors, each committee shall determine its own rules of procedure. Each committee shall keep records of its proceedings and report the same from time to time to the Board of Directors.

ARTICLE IV

OFFICERS

Section 4.1. Officers. The officers of the Corporation shall be a Chair, Executive Director, Secretary, Treasurer and such other officers, such as a Vice Chair, as the Directors may elect. Any two or more offices may be held by the same person, except the offices of Chair and Secretary. The Chair shall be elected from among the members of the Board of Directors. All other officers may, but need not, be members of the Board.

Section 4.2. Election and Term of Officers. Officers shall be elected by the Directors at the annual meeting of the Board of Directors for terms of one year, and each officer shall continue in office until the close of the election of Directors and officers at the next annual meeting of the Board of Directors and until his or her successor, if any, shall have been elected and qualified, or until his or her earlier death, resignation or removal. Officers may succeed themselves in office. Vacancies occurring in any office for any reason may be filled by the Board of Directors until the next annual meeting of the Board of Directors and until a successor is elected and qualified. Any officer may resign at any time by giving written notice to the Chair or Secretary. Unless otherwise specified in the notice, the resignation shall take effect upon receipt thereof, and acceptance of the resignation shall not be necessary to make it effective. Any officer may be suspended or removed by the Board of Directors for cause.

Section 4.3. Powers and Duties. The officers of the Corporation shall have such powers and perform such duties in the management of the property and activities of the Corporation, subject to the control of the Board of Directors, as provided in these Bylaws and as generally pertain to their respective offices, as well as such other powers and duties as may be authorized from time to time by the Board of Directors.

Section 4.4. Other Agents. The Board of Directors may appoint from time to time such other agents and employees as it shall deem appropriate, each of whom shall hold office at the pleasure of the Board of Directors, and shall have such authority and perform such duties as the Board of Directors may determine.

Section 4.5. Compensation. The Corporation may pay its officers, agents, and employees compensation commensurate with their services, and reimbursement for expenses incurred in the performance of their duties. The amount of compensation shall be fixed by action of the Board of Directors or the Executive Committee.

ARTICLE V

ANNUAL REPORT

Section 5.1. Annual Report. At each annual meeting of the Board of Directors the Treasurer shall present a report in such form and with such contents as may be required from time to time by law, and a copy of such report, or an abstract thereof, shall be filed with the minutes of the meeting.

ARTICLE VI

INDEMNIFICATION

Section 6.1. Indemnification. The Corporation shall indemnify any Director or officer against any matter or cause relating to or arising out of the performance of his, her or its duties in the manner and to the full extent provided by law.

ARTICLE VII

AMENDMENTS

Section 7.1. Amendments. These Bylaws may be amended, added to or repealed upon the consent of a majority of the entire Board of Directors.