

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

OMB No 1545-0052

2012

Department of the Treasury
Internal Revenue Service

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

For calendar year 2012, or tax year beginning

, 2012, and ending

Name of foundation Rockefeller Brothers Fund, Inc.		A Employer identification number 13-1760106
Number and street (or P O box number if mail is not delivered to street address) 475 Riverside Drive		B Telephone number (see the instructions) (212) 812-4200
City or town New York	State NY	C If exemption application is pending, check here <input type="checkbox"/>
ZIP code 10115	Room/suite 900	D 1 Foreign organizations, check here <input type="checkbox"/>
G Check all that apply		D 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
<input type="checkbox"/> Initial return	<input type="checkbox"/> Initial Return of a former public charity	E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
<input type="checkbox"/> Final return	<input type="checkbox"/> Amended return	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
<input type="checkbox"/> Address change	<input type="checkbox"/> Name change	
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, column (c), line 16) \$ 800,956,943		
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 (att sch)	8,780,173.			
	2 <input type="checkbox"/> If the foundn is not req'd to att Sch B				
	3 Interest on savings and temporary cash investments	371,241.	371,241.		
	4 Dividends and interest from securities	5,880.	10,902,697.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain/(loss) from sale of assets not on line 10	9,618,338.			
	b Gross sales price for all assets on line 6a 235,986,762.				
	7 Capital gain net income (from Part IV, line 2)		35,413,275.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit/(loss) (att sch)					
11 Other income (attach schedule)	See Line 11 Stmt	1,158,630.	-3,652,748.		
12 Total. Add lines 1 through 11		19,934,262.	43,034,465.		
ADMINISTRATIVE AND OPERATING EXPENSES	13 Compensation of officers, directors, trustees, etc.	1,310,201.	113,618.		1,091,783.
	14 Other employee salaries and wages	4,077,133.	65,169.		4,078,900.
	15 Pension plans, employee benefits	2,862,926.	93,526.		2,115,726.
	16a Legal fees (attach schedule)	413,421.	43,723.		235,912.
	b Accounting fees (attach sch)	138,800.	65,460.		42,340.
	c Other prof fees (attach sch)	4,295,514.	1,523,259.		1,868,909.
	17 Interest				
	18 Taxes (attach schedule)(see instrs) See Line 18 Stmt	989,134.			
	19 Depreciation (attach sch) and depletion	1,084,290.	33,356.		
	20 Occupancy	2,789,631.	1,230,430.		1,570,054.
	21 Travel, conferences, and meetings	1,000,861.	6,447.		996,162.
	22 Printing and publications	105,007.	0.		111,052.
	23 Other expenses (attach schedule) See Line 23 Stmt	940,471.	23,530.		741,524.
	24 Total operating and administrative expenses. Add lines 13 through 23	20,007,389.	3,198,518.		12,852,362.
25 Contributions, gifts, grants paid	30,363,606.			29,097,484.	
26 Total expenses and disbursements. Add lines 24 and 25	50,370,995.	3,198,518.		41,949,846.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-30,436,733.				
b Net investment income (if negative, enter -0-)		39,835,947.			
c Adjusted net income (if negative, enter -0-)					

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
ASSETS	1	Cash — non-interest-bearing		1,124,814.	1,407,084.	1,407,084.
	2	Savings and temporary cash investments		26,628,072.	55,498,494.	55,498,494.
	3	Accounts receivable	1,100,782.			
		Less: allowance for doubtful accounts	0.	982,001.	1,100,782.	1,100,782.
	4	Pledges receivable	19,186,294.			
		Less: allowance for doubtful accounts	0.	15,040,972.	19,186,294.	19,186,294.
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach sch)				
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges		5,989.	18,000.	18,000.
	10a	Investments — U.S. and state government obligations (attach schedule) Schedule 7		15,474,712.	16,219,807.	16,219,807.
	b	Investments — corporate stock (attach schedule)				
	c	Investments — corporate bonds (attach schedule)				
	11	Investments — land, buildings, and equipment basis	510,000.			
	Less: accumulated depreciation (attach schedule)	0.	510,000.	510,000.	510,000.	
12	Investments — mortgage loans					
13	Investments — other (attach schedule) Schedule 8		684,685,095.	700,292,469.	700,292,469.	
14	Land, buildings, and equipment basis					
	Less: accumulated depreciation (attach schedule)		7,352,927.	6,724,013.	6,724,013.	
15	Other assets (describe)					
16	Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)		751,804,582.	800,956,943.	800,956,943.	
LIABILITIES	17	Accounts payable and accrued expenses		9,377,723.	9,700,336.	
	18	Grants payable		6,990,106.	8,299,428.	
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe)		2,709,005.	4,283,825.	
	23	Total liabilities (add lines 17 through 22)		19,076,834.	22,283,589.	
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted		712,363,499.	752,321,912.	
	25	Temporarily restricted		12,469,249.	16,447,075.	
	26	Permanently restricted		7,895,000.	9,904,367.	
	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, building, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
	30	Total net assets or fund balances (see instructions)		732,727,748.	778,673,354.	
	31	Total liabilities and net assets/fund balances (see instructions)		751,804,582.	800,956,943.	

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	732,727,748.
2	Enter amount from Part I, line 27a	2	-30,436,733.
3	Other increases not included in line 2 (itemize) See Other Increases Stmt	3	77,957,160.
4	Add lines 1, 2, and 3	4	780,248,175.
5	Decreases not included in line 2 (itemize) See Other Decreases Stmt	5	1,574,821.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	778,673,354.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a See Schedule 1				
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) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any		
a				
b				
c				
d				
e				
2 Capital gain net income or (net capital loss)		<div style="border: 1px solid black; padding: 2px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div>		2 35,413,275.
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 does not qualify under section 4940(e). Do not complete this part.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (column (b) divided by column (c))
2011	42,332,134.	742,833,551.	0.056987
2010	41,573,616.	699,305,732.	0.059450
2009	52,300,115.	647,412,111.	0.080783
2008	48,477,527.	829,638,960.	0.058432
2007	41,088,800.	922,756,652.	0.044528
2 Total of line 1, column (d)			2 0.300180
3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			3 0.060036
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5			4 739,358,492.
5 Multiply line 4 by line 3			5 44,388,126.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 398,359.
7 Add lines 5 and 6			7 44,786,485.
8 Enter qualifying distributions from Part XII, line 4			8 42,416,766.

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter 'N/A' on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary — see instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	796,719.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	
3 Add lines 1 and 2		3	796,719.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	796,719.
6 Credits/Payments			
a 2012 estimated tax pmts and 2011 overpayment credited to 2012	6 a	1,180,229.	
b Exempt foreign organizations — tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	1,180,229.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	383,510.	
11 Enter the amount of line 10 to be Credited to 2013 estimated tax 383,510. Refunded	11		

Part VII-A Statements Regarding Activities

	Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)?		X
If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (2) On foundation managers \$		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If 'Yes,' attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If 'Yes,' attach a conformed copy of the changes		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
b If 'Yes,' has it filed a tax return on Form 990-T for this year?	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If 'Yes,' attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If 'Yes,' complete Part II, column (c), and Part XIV	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) See States Registered in		
b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If 'No,' attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? If 'Yes,' complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If 'Yes,' attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes,' attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address <u>www.rbf.org</u>				
14	The books are in care of <u>Leah A. D'Angelo</u> Telephone no <u>(212) 812-4228</u>			
Located at <u>475 Riverside Drive</u> <u>New York</u> <u>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 <u>N/A</u> 15 <u>0</u>				
16	At any time during calendar year 2012, 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 Form TD F 90-22.1 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
1 a	During the year did the foundation (either directly or indirectly)		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
1 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)? <input type="checkbox"/>	1 b	X
1 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 2012? <input type="checkbox"/>	1 c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If 'Yes,' list the years <u>20</u> <u>20</u> <u>20</u> <u>20</u>			
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) <u>N/A</u>	2 b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here <u>20</u> <u>20</u> <u>20</u> <u>20</u>		
3 a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If 'Yes,' did it have excess business holdings in 2012 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 2012) <u>N/A</u>	3 b	
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4 a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	4 b	X

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** During the year did the foundation pay or incur any amount to(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☒ Yes ☐ No(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No**b** If any answer is 'Yes' to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?**5 b**

X

Organizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?☒ Yes ☐ No

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

6 a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?**6 b**

X

If 'Yes' to 6b, file Form 8870

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Schedule 10				
		1,310,201.	343,688.	25,071.

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
Charles Granguist 475 Riverside Drive, Suite 900 New York NY 10115	Executive Director 35.00	224,856.	77,345.	1,357.
Benjamin R. Shute, Jr. 475 Riverside Drive, Suite 900 New York NY 10115	Program Director 35.00	207,722.	73,339.	637.
Michael F. Northrop 475 Riverside Drive, Suite 900 New York NY 10115	Program Director 35.00	206,630.	78,506.	1,544.
Ben Rodriguez-Cubenas 475 Riverside Drive, Suite 900 New York NY 10115	Program Director 35.00	181,290.	50,462.	875.
Shenyu Belsky 475 Riverside Drive, Suite 900 New York NY 10115	Program Director 35.00	174,366.	47,422.	3,208.
Total number of other employees paid over \$50,000				36

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
Greenrock Corporation 200 Lake Road Sleepy Hollow NY 10591	Facilities Maintenance	1,086,318.
Investure, LLC 126 Garrett Street, Suite J Charlottesville VA 22902	Investment Management	2,023,238.
Ventucom, LLC 110 Wall Street, 11th Floor New York NY 10005	IT Services	265,696.
Patterson, Belknap, Webb & Tyler 1133 Avenue of the Americas New York NY 10036	Legal Services	331,416.
BNY Mellon Asset Servicing P.O. Box 371791 Pittsburgh PA 15251	Investment Custody	174,421.
Total number of others receiving over \$50,000 for professional services		5

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 Pocantico Historic Area (See Schedule 11)	3,613,807.
2 Assistance to Charitable Organizations (See Schedule 11)	676,766.
3 Pocantico Conference Center (See Schedule 11)	361,329.
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	
Total. Add lines 1 through 3	None

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes	
a	Average monthly fair market value of securities	1 a 748,758,879.
b	Average of monthly cash balances	1 b 1,858,879.
c	Fair market value of all other assets (see instructions)	1 c
d	Total (add lines 1a, b, and c)	1 d 750,617,758.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e
2	Acquisition indebtedness applicable to line 1 assets	2
3	Subtract line 2 from line 1d	3 750,617,758.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4 11,259,266.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5 739,358,492.
6	Minimum investment return. Enter 5% of line 5	6 36,967,925.

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 36,967,925.
2 a	Tax on investment income for 2012 from Part VI, line 5	2 a 796,719.
b	Income tax for 2012 (This does not include the tax from Part VI)	2 b
c	Add lines 2a and 2b	2 c 796,719.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3 36,171,206.
4	Recoveries of amounts treated as qualifying distributions	4 43,200.
5	Add lines 3 and 4	5 36,214,406.
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 36,214,406.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes	
a	Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26	1 a 41,949,846.
b	Program-related investments — total from Part IX-B.	1 b 0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2 466,920.
3	Amounts set aside for specific charitable projects that satisfy the	
a	Suitability test (prior IRS approval required)	3 a
b	Cash distribution test (attach the required schedule)	3 b
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4 42,416,766.
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 42,416,766.

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 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				36,214,406.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			0.	
b Total for prior years 20__ , 20__ , 20__				
3 Excess distributions carryover, if any, to 2012				
a From 2007	0.			
b From 2008	8,847,022.			
c From 2009	18,879,509.			
d From 2010	6,486,566.			
e From 2011	4,898,336.			
f Total of lines 3a through e	39,111,433.			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ 42,416,766.				
a Applied to 2011, but not more than line 2a				
b Applied to undistributed income of prior years (Election required — see instructions)				
c Treated as distributions out of corpus (Election required — see instructions)				
d Applied to 2012 distributable amount				36,214,406.
e Remaining amount distributed out of corpus	6,202,360.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5.	45,313,793.			
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				
d Subtract line 6c from line 6b Taxable amount — see instructions		0.		
e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount — see instructions			0.	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	1,840,000.			
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a	43,473,793.			
10 Analysis of line 9				
a Excess from 2008	8,847,022.			
b Excess from 2009	18,879,509.			
c Excess from 2010	6,486,566.			
d Excess from 2011	4,898,336.			
e Excess from 2012	4,362,360.			

BAA

Form 990-PF (2012)

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

N/A

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, 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) ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2012	(b) 2011	(c) 2010	(d) 2009	
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a 'Assets' alternative test — enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b 'Endowment' alternative test — enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c 'Support' alternative test — enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

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

None

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

None

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

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

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

See Schedule 12

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

See Schedule 12

- c** Any submission deadlines

See Schedule 12

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

See Schedule 12

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<i>a Paid during the year</i> See Schedule 13				29,097,483.
Total			3 a	29,097,483.
<i>b Approved for future payment</i> See Schedule 13				8,299,429.
Total			3 b	8,299,429.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies .					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	371,241.	
4 Dividends and interest from securities	525990	31,404.	14	-25,524.	
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	-856,925.	14	874,242.	
8 Gain or (loss) from sales of assets other than inventory . .	525990	653,230.	18	8,965,108.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory . .					
11 Other revenue					
a <u>Income from Subleases</u>			16	1,141,313.	
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		-172,291.		11,326,380.	
13 Total. Add line 12, columns (b), (d), and (e)				13	11,154,089.

(See worksheet in line 13 instructions to verify calculations)

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

[illegible]

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**

OMB No 1545-0047

2012

Name of the organization

Rockefeller Brothers Fund, Inc.

Employer identification number

13-1760106

Organization type (check one)

Filers of:

Form 990 or 990-EZ

Section:

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

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

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

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

☐ 501(c)(3) taxable private foundation

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

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

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. (Complete Parts I and II.)

Special Rules

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33-1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution 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 a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year ▶ \$

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

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

Schedule B (Form 990, 990-EZ, or 990-PF) (2012)

Name of organization

Employer identification number

Rockefeller Brothers Fund, Inc.

13-1760106

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

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	Barr Foundation The Pilot House, Lewis Wharf Boston, MA 02110	\$ 2,000,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
2	The Advantage Foundation Witikonerstrasse 61 Postfach, CH-8032	\$ 1,000,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
3	Laszlo Bito and Olivia Carino Foundation 450 7th Avenue, Suite 2701 New York NY 10123	\$ 840,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
4	Alida R. Messinger 10 Rockefeller Plaza New York NY 10020	\$ 171,900	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
5	William K. Simpson 10 Rockefeller Plaza New York NY 10020	\$ 34,380	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
6	Charles P. Rockefeller 10 Rockefeller Plaza New York NY 10020	\$ 8,595	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

Name of organization

Employer identification number

Rockefeller Brothers Fund, Inc.

13-1760106

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

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	Abby R. Simpson 10 Rockefeller Plaza New York NY 10020	\$ 8,595	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
8	Jennifer R. Nolan 30 Rockefeller Plaza New York NY 10112	\$ 8,690	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
9	Peggy Dulany 30 Rockefeller Plaza New York NY 10112	\$ 327,420	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
10	Simon C. Roosevelt 6 West 48th Street New York NY 10036	\$ 12,704	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
11	Rockefeller Philanthropy Advisors 6 West 48th Street New York NY 10036	\$ 5,500	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
12	Sandra Ferry 30 Rockefeller Plaza New York NY 10112	\$ 181,900	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

Name of organization

Employer identification number

Rockefeller Brothers Fund, Inc.

13-1760106

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

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
13	Neva Goodwin 30 Rockefeller Plaza New York NY 10112	\$ 109,140.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
14	Eileen & Paul Growald 30 Rockefeller Plaza New York NY 10112	\$ 181,900.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
15	Ann Roberts 30 Rockefeller Plaza New York NY 10112	\$ 90,950.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
16	David Rockefeller, Jr. 30 Rockefeller Plaza New York NY 10112	\$ 327,420.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
17	Mark Rockefeller 30 Rockefeller Plaza New York NY 10112	\$ 90,950.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
18	Nelson Rockefeller, Jr. 30 Rockefeller Plaza New York NY 10112	\$ 90,950.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

Name of organization

Employer identification number

Rockefeller Brothers Fund, Inc.

13-1760106

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

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
19	Richard Rockefeller 30 Rockefeller Plaza New York NY 10112	\$ 327,420.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
20	Peter Rockefeller 30 Rockefeller Plaza New York NY 10112	\$ 9,095.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
21	Stuart Rockefeller 30 Rockefeller Plaza New York NY 10112	\$ 27,285.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
22	David Rockefeller 30 Rockefeller Plaza New York NY 10112	\$ 2,910,400.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

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

Line 11 Stmt

Other income:	Rev/Exp Book	Net Inv Inc	Adj Net Inc
Misc. Investment Income	17,317.	-4,794,061.	
Income from Subleases (See Schedule 2)	1,141,313.	1,141,313.	
Total	<u>1,158,630.</u>	<u>-3,652,748.</u>	

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

Line 18 Stmt

Taxes	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
See Line 18 Stmt				
Property Tax	71,994.			
Tax on Investment Income	917,140.			
Total	<u>989,134.</u>			

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

Line 23 Stmt

Other expenses:	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
See Line 23 Stmt				
Postage	6,019.			6,019.
Messenger Services	1,105.			1,105.
Dues & Subscriptions	15,397.			0.
Misc. Office Expenses	294,431.	20,871.		113,540.
Office Supplies	30,676.			30,676.
Maintenance & Repairs	64,244.			64,244.
Telephone & Internet	91,411.	2,659.		88,752.
Staff Development	68,730.			68,730.
General Insurance	230,207.			230,207.
Equipment Leases & Rentals	43,048.			43,048.
Temporary Help	35,724.			35,724.
Collections Maintenance	56,654.			56,654.
Printing & Stationary	2,825.			2,825.
Total	<u>940,471.</u>	<u>23,530.</u>		<u>741,524.</u>

Form 990-PF, Page 2, Part III, Line 3

Other Increases Stmt

See Part III, line 3 Stmt	
Unrealized Appreciation on Investments	<u>77,230,800.</u>
Amounts Not Recognized as a Component of Net Periodic Benefit Cost	<u>726,360.</u>
Total	<u>77,957,160.</u>

Form 990-PF, Page 2, Part III, Line 5

Other Decreases Stmt

See Part III, line 5 Stmt

Form 990-PF, Page 2, Part III, Line 5

Continued

Other Decreases Stmt

Deferred Excise Tax Expense	<u>1,574,821.</u>
Total	<u><u>1,574,821.</u></u>

Form 990-PF, Page 4, Part VII-A, Line 8a

States Registered In

NY - New York
CA - California
MA - Massachusetts

ROCKEFELLER BROTHERS FUND, INC.

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

SCHEDULE 1B

FORM 990-PF

YEAR 2012

Schedule of Dividends & Interest from Securities *

Part I, line 4

Dividends	5,880
Interest	0

Total line 4, col. (a) \$5,880

Add: Dividends & Interest per Limited Partnerships K-1s 10,896,817

Total line 4, col. (b) \$10,902,697

ROCKEFELLER BROTHERS FUND, INC.
13-1760106
475 Riverside Drive, Suite 900
New York, New York 10115

SCHEDULE 1
FORM 990-PF
YEAR 2012

Schedule of Capital Gains and Losses

Part I, line 6a

	Gain or (Loss)
Colchester Global Fund	\$ 37,106
Contrarian Capital	89,431
Eton Park Overseas	(1,310,042)
Fir Tree Institutional Partners Fund I	9,720,401
Investure Alternative Fund	-
Investure Cash Fund	13,595
Investure Fixed Income	1,056,247
OSS Capital Management	(8,882)
	20,482
Net Realized Gain per Books (Total Part I, line 6a,col.(a))	\$ 9,618,338
Add: Actual Net Capital Gain per limited partnerships (Schedule K-1 basis) (See attached schedule)	25,921,474
Less: Gain/(loss) from Partnerships previously reflected in books, <u>for which K-1 values are now reflected on Form 990PF:</u>	
Colchester Global Fund	(37,106)
Contrarian Capital	(89,431)
	(126,537)
Total Part IV, line 2	\$ 35,413,275

Schedule of Limited Partnerships' Gains and Losses per Schedules K-1

Part IV

	Capital Gain	Capital Loss	Net Capital Gain/(Loss)
Amersand 2001 Limited Partnership	179,103		179,103
Cabot Industrial Value Fund II			-
C/R UK Ethanol Holdings TE, LP			-
C/R UK Ethanol Investment Partnership, LP		(1,038,128)	(1,038,128)
C/R Brazil Ethanol			-
C/R Renewable Energy Infrastructure Fund I, L P			-
Carlyle Riverstone TE Knight, LP	1,719,716		1,719,716
Carlyle Riverstone TE Partners III (Cayman), LP	9,669		9,669
Carlyle Riverstone TE Partners III, LP		(27,049)	(27,049)
Colchester Global Bond Fund	94,059	(45,791)	48,268
Contrarian Capital Fund I, LP	19,684	(1,807)	17,877
CSFB Strategic Partners II	83,757	(233)	83,524
CSFB Strategic Partners III	507,299		507,299
CSFB Strategic Partners III VC	571,024		571,024
DLJ Strategic Partners, LP	39,842		39,842
Investure Emerging Mkt Fund LP	15,243		15,243
Investure Global Equity Fund LP	8,529,463	(770,333)	7,759,130
Investure Evergreen Fund	10,227,403		10,227,403
J H Whitney III		(290,367)	(290,367)
J H Whitney IV		(299,079)	(299,079)
Kayne Anderson Energy Fund III		(16,019)	(16,019)
Kayne Anderson Energy Fund IV	7,973		7,973
Lehman Brothers NB Co-Investment Partners, LP - Cayman, LP		(307)	(307)
Lehman Brothers NB Co-Investment Partners	435,939		435,939
Lehman Brothers NB Secondary Opportunities Fund	564,964		564,964
Lexington Capital Partners II, LP	24	(11,478)	(11,454)
Lexington Capital Partners IV, LP		(77,306)	(77,306)
Morgan Stanley Real Estate Fund V International - TE, LP		(278,068)	(278,068)
Morgan Stanley Real Estate Fund VI		(44,030)	(44,030)
Natural Gas Partners VIII		(32,099)	(32,099)
New Enterprise Associates 10	183,876		183,876
NGP Energy Technology Partners		(16,920)	(16,920)
Palamon European Equity 'B', LP	1,654		1,654
Private Advisors Income Fund, LP	1,192	(672,025)	(670,833)
Private Advisors Small Company Buyout Fund II, LP	2,461,133		2,461,133
Prospect Venture Partners	2,219		2,219
Siguler Guff	2,149,976	(13,859)	2,136,117
TCV IV		(1)	(1)
Three Arch Capital, LP	74,724		74,724
Three Arch Capital IV, LP	451,450		451,450
TIFF Partners I	197,502		197,502
TIFF Partners II		(54,339)	(54,339)
TIFF Partners IV	509,310	(1,645)	507,665
Trinity Ventures VI	1,689		1,689
Trinity Ventures VII		(554,640)	(554,640)
Trinity Ventures VIII	36,770		36,770
Weston Presidio Capital III	66,304		66,304
Weston Presidio Capital IV	1,020,182		1,020,182
Weston Presidio V AIV I Holdings, L P			-
Weston Presidio V, L P	3,854		3,854
	30,166,997	(4,245,523)	25,921,474

ROCKEFELLER BROTHERS FUND, INC.
13-1760106
475 Riverside Drive, Suite 900
New York, New York 10115

SCHEDULE 2
FORM 990-PF
YEAR 2012

Schedule of Other Income/(Loss) *

Part I, line 11

Miscellaneous Investment Income	17,317
Income from Subleases	1,141,313
Total line 11, col. (a)	\$1,158,630
Add: Other Income/(Loss) per Limited Partnerships K-1s (See attached schedule)	(4,811,378)
Total line 11, col. (b)	<u>(\$3,652,748)</u>

ROCKEFELLER BROTHERS FUND, INC.
13-1760106
475 Riverside Drive, Suite 900
New York, New York 10115

SCHEDULE 2
FORM 990-PF
YEAR 2012

Schedule of Other Income/(Loss)
Part I, line 11, col. (b)

	Other Income/(Loss)	Deductions Related to Portfolio Income	Net Other Income/(Loss)
<u>Net Income/(Loss) received from the following Partnerships *</u>			
Ampersand 2001 Limited Partnership		(17,398)	(17,398)
Cabot Industrial Value Fund II		(784)	(784)
C/R UK Ethanol Holdings TE, LP		(5)	(5)
C/R UK Ethanol Investment Partnership, LP	181		181
C/R Brazil Ethanol			-
C/R Renewable Energy Infrastructure Fund I, L P		(22,294)	(22,294)
Carlyle Riverstone TE Knight, LP			-
Carlyle Riverstone TE Partners III (Cayman), LP			-
Carlyle Riverstone TE Partners III, LP		(144,822)	(144,822)
Colchester Global Bond Fund	(135,896)	(4,645)	(140,541)
Contrarian Capital Fund I, LP	(5,771)		(5,771)
CSFB Strategic Partners II	7,389	(12,298)	(4,909)
CSFB Strategic Partners III	43,437	(96,247)	(52,810)
CSFB Strategic Partners III VC	619	(101,443)	(100,824)
DLJ Strategic Partners, LP	4,815	(11,209)	(6,394)
Investure Emerging Mkt Fund LP	33,652	(127,526)	(93,874)
Investure Global Equity Fund LP	(611,698)	(2,129,891)	(2,741,589)
Investure Evergreen Fund	366,880	(2,784,732)	(2,417,852)
J H Whitney III		(1,789)	(1,789)
J H Whitney IV		(2,706)	(2,706)
Kayne Anderson Energy Fund III	319,934	(37,453)	282,481
Kayne Anderson Energy Fund IV	479,817	(62,450)	417,367
Lehman Brothers NB Co-Investment Partners, LP - Cayman, LP	(7)	(12,880)	(12,887)
Lehman Brothers NB Co-Investment Partners	(1,096)	(74,623)	(75,719)
Lehman Brothers NB Secondary Opportunities Fund	64,093	(169,880)	(105,787)
Lexington Capital Partners II, LP	964	(4,996)	(4,032)
Lexington Capital Partners IV, LP	4,191	(16,797)	(12,606)
Morgan Stanley Real Estate Fund V International - TE, LP	702,751	(18,031)	684,720
Morgan Stanley Real Estate Fund VI	11,238	(3,536)	7,702
Natural Gas Partners VIII	88,966	(91,327)	(2,361)
New Enterprise Associates 10		(27,896)	(27,896)
NGP Energy Technology Partners		(10,082)	(10,082)
Palamon European Equity 'B', LP	22	(24,941)	(24,919)
Private Advisors Income Fund, LP	465,170	(123,514)	341,656
Private Advisors Small Company Buyout Fund II, LP	43,252	(211,710)	(168,458)
Prospect Venture Partners		(24,740)	(24,740)
Siguler Guff	33,034	(312,081)	(279,047)
TCV IV		(2,134)	(2,134)
Three Arch Capital, LP		(24,142)	(24,142)
Three Arch Capital IV, LP		(94,619)	(94,619)
TIFF Partners I	-	(8,328)	(8,328)
TIFF Partners II	3,523	(14,835)	(11,312)
TIFF Partners IV	(20,910)	(67,096)	(88,006)
Trinity Ventures VI		(1,117)	(1,117)
Trinity Ventures VII		(809)	(809)
Trinity Ventures VIII		(225)	(225)
Weston Presidio Capital III	(1,860)	(1,559)	(3,419)
Weston Presidio Capital IV	(13)	(1,568)	(1,581)
Weston Presidio V AIV I Holdings, L P		(280)	(280)
Weston Presidio V, L P	265,967	(72,584)	193,383
	<u>2,162,644</u>	<u>(6,974,022)</u>	
Other Income/(Loss) from Limited Partnerships			<u>(4,811,378)</u>

* Partnership income/(loss) reported for investment income tax purposes on basis of Schedules K-1

ROCKEFELLER BROTHERS FUND, INC.

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10015

SCHEDULE 3**FORM 990-PF****YEAR 2012****SCHEDULE OF EXPENDITURES****Part I. line 16(a,b,c)**Legal Fees (Patterson, Belknap, Webb & Tyler): \$ 408,525Legal Fees (Eagle Line Services): 4,896**Total line 16a** \$ **413,421**Accounting Fees (KPMG LLP):**Total line 16b** \$ **138,800**Other Professional Fees:

Investment Management Fees \$2,117,595

Custody Fees 174,421

Consultants' Fees 562,609

Facilities Maintenance 1,440,889**Total line 16c** \$ **4,295,514**

ROCKEFELLER BROTHERS FUND, INC.
13-1780108
476 Riverside Drive, Suite 900
New York, New York 10115

**SCHEDULE 4
FORM 990-PF
YEAR 2012**

SCHEDULE OF DEPRECIATION

Part I, line 19

[illegible]

ROCKEFELLER BROTHERS FUND, INC.
13-1760106
475 Riverside Drive, Suite 900
New York, New York 10016

SCHEDULE S
FORM 990-PF
YEAR 2012

Schedule of Investments

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

	<u>line 10a</u> U.S. & State Gov't Obligations	<u>line 10b</u> Corporate Stock	<u>line 10c</u> Corporate Bonds
Investure Fixed Income	\$ 16,219,807	\$ -	\$ -
Totals	<u>\$ 16,219,807</u>	<u>\$ -</u>	<u>\$ -</u>

ROCKEFELLER BROTHERS FUND, INC.

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

SCHEDULE 6**FORM 990-PF****YEAR 2012**Investments-Land, Buildings, EquipmentPart II, line 11

<u>Description</u>	<u>Cost or Other Basis</u>	<u>Accumulated Depreciation</u>	<u>Book Value</u>	<u>Fair Market Value</u>
Real Estate	510,000	0	510,000	510,000
Total Part II, line 11	510,000	0	510,000	510,000

ROCKEFELLER BROTHERS FUND, INC.
13-1760106
475 Riverside Drive, Suite 900
New York, New York 10015

SCHEDULE 7
FORM 990-PF
YEAR 2012

Schedule of Investments- Other

Part II, line 13, col. (b)

Description:	End Of Year	
	Book Value	Fair Market Value
COLCHESTER GLOBAL BOND	16,251,281	16,251,281
INVESTURE CASH ACCOUNT	104,928	104,928
BETA ALTERNATIVE	58,811	58,811
INVESTURE EMERGING MARKETS	51,011,570	51,011,570
CONTRARIAN	268,955	268,955
CONVEXITY OFFSHORE	25,711,046	25,711,046
ETON PARK OVERSEAS FUND	8,115,345	8,115,345
FIR TREE INTL FUND I	58,902	58,902
FIR TREE INT'L FUND II	13,427,064	13,427,064
INVESTURE ALTERNATIVE FUND	119,892,826	119,892,826
INVESTURE GLOBAL EQUITY FUND	187,926,404	187,926,404
IGEF - MARKETABLE	8,781,380	8,781,380
IGEF - SUSTAINABILITY	22,215,668	22,215,668
OSS CAPITAL MANAGEMENT	1,169,891	1,169,891
PRIVATE ADVISORS INCOME FUND	4,754,005	4,754,005
Ampersand 2001	2,061,823	2,061,823
Cabot Industrial Value Fund II	7,220,397	7,220,397
CSFB Strategic Partners II	381,631	381,631
CSFB Strategic Partners III	6,797,262	6,797,262
CSFB Strategic Partners III VC	2,774,566	2,774,566
DLJ Strategic Partners I	377,600	377,600
Europa II	2,031,765	2,031,765
Investure Evergreen Fund, LP	128,980,905	128,980,905
KA Energy Fund III & IV	5,785,618	5,785,618
Lexington Partners II	459,181	459,181
Lexington Partners IV	812,883	812,883
Morgan Stanley RE Fund V & VI	5,741,956	5,741,956
NB Co-Investment Partners LP	5,528,138	5,528,138
NB Secondary Opportunities Fund LP	4,970,540	4,970,540
NEA 10	1,514,971	1,514,971
NGP ETP	208,750	208,750
NGP VIII	7,015,835	7,015,835
Orion European Real Estate II	1,846,643	1,846,643
Palamon European Equity	4,010,980	4,010,980
Private Advisors Small Company Buyout Fund II, LP	6,381,202	6,381,202
Prospect II	437,068	437,068
Riverstone/Carlyle Global Energy III	14,792,442	14,792,442
Riverstone/Carlyle Renewable I	1,959,600	1,959,600
Siguler Guff Small Buyout Opportunities Fund LP	14,743,614	14,743,614
TCV IV	391,962	391,962
Three Arch Capital Limited Partnership	1,425,203	1,425,203
Three Arch Partners IV Limited Partnership	2,383,996	2,383,996
TIFF Partners II, LLC	299,777	299,777
TIFF Partners IV, LLC	2,721,819	2,721,819
Trinity VI	23,737	23,737
Trinity VII	117,176	117,176
Trinity VIII	301,262	301,262
Weston Presidio III	531,646	531,646
Weston Presidio IV	690,473	690,473
Weston Presidio V	4,663,305	4,663,305
Whitney Equity Partners IV	158,667	158,667
Total line 13, col. (b)	\$ 700,292,469	\$ 700,292,469

ROCKEFELLER BROTHERS FUND, INC.
13-1750106
475 Riverside Drive, Suite 900
New York, New York 10015

SCHEDULE 8
FORM 990-PF
YEAR 2012

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>
Office Equipment	2,238,146	1,701,526	\$536,620
Computer Equipment & Software	1,911,823	1,881,282	30,541
Fine Art	4,780	0	4,780
Leasehold Improvements	29,539,723	23,404,891	6,134,832
Other	12,000	2,000	10,000
Automobile	9,050	1,810	7,240
	<u>\$33,715,522</u>	<u>\$26,991,509</u>	

Total line 14 \$6,724,013

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
4E
Pashko Vasa, 16
Pristina 10000
Kosovo
2. Date and Amount of Grant:
12/21/2011 \$126,055
3. Purpose of Grant:
For general support.
4. Amount Expended by Grantee:
\$125,928.94. Grantor received from Grantee narrative and financial reports certifying that \$125,928.94 of the grant was expended for the purpose for which it was made. This amount is equal to the total amount received by Grantee (\$125,928.94), which is less than the amount granted because of bank fee deductions and currency fluctuations.
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 10/2/2013, Grantor received from Grantee narrative and financial reports certifying that \$125,928.94 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
THE ADM CAPITAL FOUNDATION LIMITED
2406 9 Queen's Road Central
Hong Kong
China
2. Date and Amount of Grant:
8/22/2012 \$75,000
3. Purpose of Grant:
For its China Water Risk project.
4. Amount Expended by Grantee:
\$17,578. Grantor received from Grantee narrative and financial reports certifying that \$17,578 of the grant was expended for the purpose for which it was made. A report on the balance of \$57,422 will be due in 2014.
5. Whether Grantee -- to the knowledge of Grantor -- made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 2/28/2013, Grantor received from Grantee narrative and financial reports certifying that \$17,578 of the grant was expended for the purpose for which it was made. A report on the balance of \$57,422 will be due in 2014.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
ARAB HUMAN RIGHTS FUND STICHTING
Bahrain Street, Nakheel Building, Caracas District
Beirut
Lebanon
2. Date and Amount of Grant:
9/28/2011 \$73,000
3. Purpose of Grant:
For building internal capacity.
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 1/30/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2011

1. Name and Address of Recipient:
THE ASSOCIATION FOR THE DEVELOPMENT AND ENHANCEMENT OF
WOMEN
8/10 Mathaf El Manyal Street, 5th Floor, Apartment 12
Cairo
Egypt
2. Date and Amount of Grant:
Not yet paid \$75,000
3. Purpose of Grant:
For its Youth Political Participation project.
4. Amount Expended by Grantee:
Payment not yet made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
Not applicable. See No. 4 above.
6. Date of Reports received from Grantee:
See No. 4 above.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
BOKRA FOR MEDIA PRODUCTION, MEDIA STUDIES AND HUMAN RIGHTS
12 Hoda El-Shaarwy Street
Cairo
Egypt
2. Date and Amount of Grant:
12/21/2011 \$65,260
3. Purpose of Grant:
For its Web TV project.
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 9/12/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
CENTER FOR RESEARCH, DOCUMENTATION AND PUBLICATION
Str. Abdyl Frasheri 38
Pristina 10000
Kosovo
2. Date and Amount of Grant:
10/19/2011 \$25,000
3. Purpose of Grant:
For general support.
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 11/12/2012, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
CHINA DIALOGUE TRUST
Suite 306 Grayston Centre
28 Charles Square
London N1 6HT
United Kingdom
2. Date and Amount of Grant:
8/22/2012 \$65,000
3. Purpose of Grant:
To support expanded coverage of environment and health and of energy and climate issues.
4. Amount Expended by Grantee:
\$44,593. Grantor received from Grantee narrative and financial reports certifying that \$44,593 of the grant was expended for the purpose for which it was made. A report on the balance of \$20,407 will be due in 2014.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 2/28/2013, Grantor received from Grantee narrative and financial reports certifying that \$44,593 of the grant was expended for the purpose for which it was made. A report on the balance of \$20,407 will be due in 2014.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
CIVIC ALLIANCE
Vukice Mitrovic 16
Podgorica 8100
Montenegro
2. Date and Amount of Grant:
3/14/2012 \$100,000
3. Purpose of Grant:
For general support.
4. Amount Expended by Grantee:
\$99,901. Grantor received from Grantee narrative and financial reports certifying that \$99,901 of the grant was expended for the purpose for which it was made. A report on the balance of \$99 will be due in 2014.
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 1/31/2013, Grantor received from Grantee narrative and financial reports certifying that \$99,901 of the grant was expended for the purpose for which it was made. A report on the balance of \$99 will be due in 2014.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
CLUB ALPBACH BELGRADE
Borska Street 70
Belgrade 11000
Serbia
2. Date and Amount of Grant:
9/26/2012 \$15,000
3. Purpose of Grant:
For its Summer School on European Integration.
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 1/7/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
FORWARD WORKS
2H, Yat Sing Mansion, Lei King Wan, Sai Wan Ho
Hong Kong
China
2. Date and Amount of Grant:
11/30/2011 \$55,000
3. Purpose of Grant:
To support the preparatory work to establish its Greenovation Hub.
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 11/21/2012, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
GLOBAL FUND FOR COMMUNITY FOUNDATIONS
Registered Office Community House
Citilink Business Park
Albert Street
Belfast BT12 4HQ
Northern Ireland
2. Date and Amount of Grant:
4/11/2012 \$30,000
3. Purpose of Grant:
For general support.
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 10/28/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
THE TOM GOLD DANCE FOUNDATION
51 West 81st Street, Suite 2L
New York, NY 10024
2. Date and Amount of Grant:
7/5/2012 \$45,000
3. Purpose of Grant:
For general support.
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 9/13/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
GUANGDONG HARMONY FOUNDATION
Room 806, Haizhu Science Park
Sun Yat-sen University
No. 135 Xingang Road
Guangzhou 510275
China
2. Date and Amount of Grant:
4/4/2012 \$125,000
3. Purpose of Grant:
To establish its South China Environmental Leadership Fund.
4. Amount Expended by Grantee:
\$18,217.90. Grantor received from Grantee narrative and financial reports certifying that \$18,217.90 of the grant was expended for the purpose for which it was made. A report on the balance of \$106,782.10 will be due in 2014.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 4/1/2013, Grantor received from Grantee narrative and financial reports certifying that \$18,217.90 of the grant was expended for the purpose for which it was made. A report on the balance of \$106,782.10 will be due in 2014.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
GUANGDONG HARMONY FOUNDATION
Room 806, Haizhu Science Park
Sun Yat-sen University
No. 135 Xingang Road
Guangzhou 510275
China
2. Date and Amount of Grant:
8/22/2012 \$15,000
3. Purpose of Grant:
For its project, Fujian Green Home Environment-Friendly Center.
4. Amount Expended by Grantee:
\$14,899. Grantor received from Grantee narrative and financial reports certifying that \$14,899 of the grant was expended for the purpose for which it was made. This amount is equal to the total amount received by Grantee (\$14,899), which is less than the amount granted because of bank fee deductions and currency fluctuations.
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 10/31/2013, Grantor received from Grantee narrative and financial reports certifying that \$14,899 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
GUANGDONG HARMONY FOUNDATION
Room 806, Haizhu Science Park
Sun Yat-sen University
No. 135 Xingang Road
Guangzhou 510275
China
2. Date and Amount of Grant:
12/19/2013 \$75,000
3. Purpose of Grant:
For its Green Watershed project.
4. Amount Expended by Grantee:
Not currently known as reports from Grantee are due 1/31/2014. Monitoring of the grant indicates that implementation is proceeding satisfactorily.
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:
See No. 4 above. Subsequent to the date of the grant, the grantee has been determined to be the equivalent of a public charity. As a result, this schedule will not be included in subsequent Forms 990-PF.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
HORIZON RESEARCH CONSULTANCY GROUP LIMITED
Rm. 1108, Xinhengji Guoji Dasha
No. 3, Maizidian West Road
Beijing 100016
China
2. Date and Amount of Grant:
12/7/2011 \$80,000
3. Purpose of Grant:
For its Black Apple Youth Project: Promoting University Students' Social Entrepreneurship and Social Engagement.
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 12/3/2012, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
INSTITUTE FOR DEVELOPMENT POLICY
Rrustem Statovci str. 78
Pristina
Kosovo
2. Date and Amount of Grant:
12/21/2011 \$145,000
3. Purpose of Grant:
For general support.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 2/15/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
INSTITUTE FOR DEVELOPMENT POLICY
Rrustem Statovci str. 78
Pristina
Kosovo
2. Date and Amount of Grant:
6/28/2012 \$50,000
3. Purpose of Grant:
For research and analysis of energy investment and global governance institutions.
4. Amount Expended by Grantee:
\$28,946.58. Grantor received from Grantee narrative and financial reports certifying that \$28,946.58 was expended for the purpose for which it was made. A report on the balance of \$21,053.42 will be due in 2014.
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 9/9/2013, Grantor received from Grantee narrative and financial reports certifying that \$28,946.58 was expended for the purpose for which it was made. A report on the balance of \$21,053.42 will be due in 2014.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
INSTITUTE FOR INTEGRATED TRANSITIONS
Pau Claris Street
Number 155, 3rd Floor
Barcelona 08009
Spain
2. Date and Amount of Grant:
9/26/2012 \$80,000
3. Purpose of Grant:
For general support.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 2/27/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
INVESTOR WATCH
286 Sandycombe Road
Kew Gardens
Surrey TW9 3NG
United Kingdom
2. Date and Amount of Grant:
10/24/2012 \$60,000
3. Purpose of Grant:
For its Carbon Tracker Initiative.
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 7/31/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
JOY IN ACTION
1602 C4, No. 489
Jiaxin Garden, Xingangzhong Road
Haizhu District
Guangzhou 510310
China
2. Date and Amount of Grant:
11/23/2011 \$30,000
3. Purpose of Grant:
For general support.
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 12/3/2012, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
RAMON MAGSAYSAY AWARD FOUNDATION
1680 Roxas Boulevard
Manila 1004
Philippines
2. Date and Amount of Grant:
8/19/2010 \$150,000
3. Purpose of Grant:
To support the 2010 Ramon Magsaysay Awards.
4. Amount Expended by Grantee:
\$135,000. Grantor received from Grantee narrative and financial reports certifying that \$135,000 of the grant was expended for the purpose for which it was made. A report on the balance of \$15,000 is due in 2014.
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 10/11/2010, 9/15/2011, and 11/3/2013, Grantor received from Grantee narrative and financial reports certifying that \$135,000 of the grant was expended for the purpose for which it was made. A report on the balance of \$15,000 is due in 2014.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
MOLAD-THE CENTER FOR THE RENEWAL OF DEMOCRACY
20 Emek Refaim Street
Jerusalem 93105
Israel
2. Date and Amount of Grant:
12/11/2012 \$50,000
3. Purpose of Grant:
For general support.
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 10/23/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
NASEEJ FOUNDATION - RESOURCES FOR COMMUNITY YOUTH
DEVELOPMENT IN THE ARAB WORLD
P.O Box 9363
Amman 11191
Jordan
2. Date and Amount of Grant:
7/27/2011 \$100,000
3. Purpose of Grant:
For two meetings of youth activists from the Arab world.
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 1/7/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
NASEEJ FOUNDATION - RESOURCES FOR COMMUNITY YOUTH
DEVELOPMENT IN THE ARAB WORLD
P.O Box 9363
Amman 11191
Jordan
2. Date and Amount of Grant:
12/19/2011 \$100,000
3. Purpose of Grant:
For its Egypt operation and activities.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 2/18/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
ORGANIZATION FOR SOCIAL, CULTURAL, AWARENESS AND
REHABILITATION
Ittifaq Market
Main Asadabad Bazaar
Asadabad, Kunar
Afghanistan
2. Date and Amount of Grant:
12/21/2011 \$12,000
3. Purpose of Grant:
For its Kunar Center for Nonviolence.
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 12/10/2012, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
JEROME ROBBINS FOUNDATION
156 West 56th Street, Suite 900
New York, NY 10019
2. Date and Amount of Grant:
2/9/2012 \$35,000
3. Purpose of Grant:
For its Floria V. Lasky Symposium.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 2/28/2013 and 10/2/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
THE MARY ROBINSON FOUNDATION
Trinity College
6 South Leinster Street
Dublin 2
Ireland
2. Date and Amount of Grant:
1/21/2011 \$50,000
3. Purpose of Grant:
For general support.
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 9/12/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
SHANGRI-LA INSTITUTE FOR SUSTAINABLE COMMUNITIES
709, Building A, SOHO New Town, No. 88 Jianguo Road, Chaoyang District
Beijing 100022
China
2. Date and Amount of Grant:
3/23/2011 \$80,000
5/23/2012 \$80,000
3. Purpose of Grant:
For its Climate Change Education Project.
4. Amount Expended by Grantee:
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 4/27/2013, 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.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2012

1. Name and Address of Recipient:
SHANGRI-LA INSTITUTE FOR SUSTAINABLE COMMUNITIES
709, Building A, SOHO New Town, No. 88 Jianguo Road, Chaoyang District
Beijing 100022
China
2. Date and Amount of Grant:
12/19/2012 \$100,000
3. Purpose of Grant:
For its Climate Change Education project.
4. Amount Expended by Grantee:
\$0. Grantor received from Grantee narrative and financial reports certifying that none of the grant was expended through 2/28/2013 for the purpose for which it was made. A report on the balance of \$100,000 will be due in 2014.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:
No.
6. Date of Reports received from Grantee:
On 4/29/2013, Grantor received from Grantee narrative and financial reports certifying that none of the grant was expended through 2/28/2013 for the purpose for which it was made. A report on the balance of \$100,000 will be due in 2014.
7. Dates and Results of the Verification of Grantee's Report(s):
Not required.

ROCKEFELLER BROTHERS FUND, INC.

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

SCHEDULE 10
FORM 990-PF
YEAR 2012
Compensation of Officers, Directors, and Trustees
Part VIII. (1)

Name and Address	Title	Average Hours per Week Devoted to Position	Compensation	Contributions to Employee Benefit Plans	Expense Account and Other Allowances
Steven C. Rockefeller c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	3 hrs.	- 0 -	None	None
David Rockefeller c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Advisory Trustee	1 hr.	- 0 -	None	None
Richard G. Rockefeller c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee Chairman	4 hrs.	- 0 -	None	None
Anne Bartley c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	- 0 -	None	None
Vali Nasr c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	- 0 -	None	829
R. Nicholas Burns c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	- 0 -	None	829
Valerie Wayne c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Advisory Trustee	(1) 1 hr.	- 0 -	None	None
Joseph A. Pierson c/o Rockefeller Brother Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee Vice Chairman	(1) 1 hr.	- 0 -	None	829
Miranda M. Kaiser c/o Rockefeller Brother Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(2) 1 hr.	- 0 -	None	None

ROCKEFELLER BROTHERS FUND, INC.
13-1760106
475 Riverside Drive, Suite 900
New York, New York 10115
SCHEDULE 10
FORM 990-PF
YEAR 2012
Compensation of Officers, Directors, and Trustees
Part VII, (1)

<u>Name and Address</u>	<u>Title</u>	<u>Average Hours per Week Devoted to Position</u>	<u>Compensation</u>	<u>Contributions to Employee Benefit Plans</u>	<u>Expense Account and Other Allowances</u>
Wendy O'Neill c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	- 0 -	None	None
Timothy O'Neill c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	4,000	None	None
Wendy Gordon c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	- 0 -	None	None
Justin Rockefeller c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(2) 1 hr.	- 0 -	None	None
Arlene Shuler c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(2) 1 hr.	- 0 -	None	829
Marsha Simms c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(2) 1 hr.	- 0 -	None	829
Kavita Ramdas c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(2) 1 hr.	- 0 -	None	829
Stephen B. Heintz 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee, President	40 hrs.	536,000	96,002	5,000
Nancy L. Muirhead 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Corporate Secretary	40 hrs.	195,688	76,216	4,369

ROCKEFELLER BROTHERS FUND, INC.
 13-1760106
 475 Riverside Drive, Suite 900
 New York, New York 10115

SCHEDULE 10
FORM 990-PF
YEAR 2012

Compensation of Officers, Directors, and Trustees

Part VIII, (1)

<u>Name and Address</u>	<u>Title</u>	<u>Average Hours per Week Devoted to Position</u>	<u>Compensation</u>	<u>Contributions to Employee Benefit Plans</u>	<u>Expense Account and Other Allowances</u>
Elizabeth C. Campbell 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Vice President For Programs	40 hrs.	308,000	81,106	5,443
Geraldine F. Watson 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Vice President, Finance and Operations	40 hrs.	266,513	90,364	5,285
			<u>\$ 1,310,201</u>	<u>\$ 343,688</u>	<u>\$ 25,071</u>

(1) *Effective June 18, 2012.*

(2) *Re-elected to Board effective June 18, 2012.*

ROCKEFELLER BROTHERS FUND, INC. 13-1760106
475 Riverside Drive, Suite 900
New York, NY 10115

Schedule 11
FORM 990-PF
Year 2012

Summary of Direct Charitable Activities

PART IX-A

Line 1 Pocantico Historic Area

The Pocantico Center is managed by the Rockefeller Brothers Fund as part of its agreement with the National Trust for Historic Preservation, entered into in 1991, under which the Fund is responsible for the renovation, maintenance, and operation of this historic site. It also serves as a community resource, and offers public access through a visitation program, lectures, and cultural events. In 2012, 30,914 people visited the Pocantico Historic area.

Amount: \$3,613,807

Line 2 Assistance to Charitable Organizations:

During 2012, 13 members of the staff of Rockefeller Brothers Fund provided technical assistance to charitable organizations, governmental bodies and committees, and 18 members of the staff served on 87 charitable organizations' boards, public commissions, or task forces.

Amount: \$676,766

Line 3 Pocantico Conference Center

The Pocantico Conference Center of the Rockefeller Brothers Fund, located within the Pocantico Historic Area (see Line 1, above), began operations in April of 1994. The Pocantico Center is a venue for conferences and meetings on critical issues related to the Rockefeller Brothers Fund's mission. The Pocantico Center also hosts artist residencies, and provides performance space for artists selected by RBF grantees and New York City arts organizations. In 2012, The Pocantico Center held 50 conferences and meetings, and 25 public programs. Of the 50 conferences held, 19 were related to the Fund's programs. Pocantico artist residencies remained at 12 for 2012.

Amount: \$361,329

PART XV, Line 2a

Grant Inquiries are accepted throughout the year at <http://www.rbf.org/content/apply-grant>. The online Grant Inquiry is the starting point for applying for a grant from the Rockefeller Brothers Fund.

PART XV, Line 2b

Founded in 1940, the Rockefeller Brothers Fund advances social change that contributes to a more just, sustainable, and peaceful world. The Fund's grantmaking is organized in three thematic programs that support work in the United States and at the global level: Democratic Practice, Sustainable Development, and Peacebuilding; and in three pivotal place programs that address these themes in specific contexts: New York City, Southern China, and the Western Balkans.

The Rockefeller Brothers Fund is highly engaged in the fields in which the RBF provides support. Staff members actively identify organizations that are well-positioned to meet programmatic goals. While the Fund remains open to unsolicited requests, applicants should be aware that the likelihood of an unsolicited request becoming a grant is low. The online grant inquiry is the starting point for requesting a grant.

Applications for funding are considered throughout the year for most programs, except for the Charles E. Culpeper Arts and Culture grants. The first step for prospective applicants is to submit an online grant inquiry. The review process may take up to three months from the time the inquiry is received.

Staff review each inquiry for fit within current program guidelines, funding priorities, and budget constraints. If there is interest in considering a grant, staff will contact the applicant for additional information, including a detailed proposal. Applicants should not send a full proposal unless requested to do so by Fund staff. The review process may take up to three months from the time the inquiry is received.

Once a grant is approved, grantees will receive an agreement letter from the Fund outlining the terms of the grant, including the expected reporting requirements and payment schedule. The first payment on the grant is generally issued upon return of the countersigned award letter to the Fund.

RBF staff members monitor grants throughout their life cycle. Each grantee is required to submit narrative and financial reports at specified intervals during the grant as well as at its conclusion. Grant reports become part of the Fund's permanent records.

PART XV, Line 2c

The Charles E. Culpeper Arts & Culture Grants honor the legacy of Charles E. Culpeper by supporting the artists and arts and cultural organizations that make New York City one of the world's most dynamic creative capitals. Managed by the Fund's Pivotal Place: New York City program, these grants support the creative process, build the capacity of small and mid-size arts and cultural institutions, and promote the pursuit of the creative life.

The standard online grant inquiry process does not apply for these grants. Applications may only be submitted online. Because of the response to the 2011 request for proposals, the Fund did not issue requests for proposals in 2012 and 2013.

ELIGIBILITY

- Organizations based within the five boroughs of New York City
- Organizations with 501(c)(3) tax status or projects of sponsoring organizations with 501(c)(3) tax status
- For capacity-building grants, organizations with annual operating budgets between \$200,000 and \$4 million
- Generally, no capital campaigns, festivals, publications, films, meetings, cash reserve funds, or endowments
- Support for arts education has been phased out

PART XV, Line 2d

The Rockefeller Brothers Fund awards grants throughout the year to support a variety of charitable projects in the United States and abroad that seek to expand knowledge, clarify values and critical choices, nurture creative expression, and shape public policy.

To be eligible for a grant, organizations should be considered tax-exempt or seeking support for a project that would qualify as educational or charitable. The Fund's grantmaking is organized around three thematic programs and three place-based programs. The RBF awards a limited number of Philanthropic Stewardship and Special Opportunities grants that support nonprofit infrastructure organizations and help to further the Fund's mission. The Fund does not accept unsolicited applications in these areas.

Please also see What We Do Not Fund at www.rbf.org/content/what-we-do-not-fund.

RBF Program Statement

The Rockefeller Brothers Fund advances social change that contributes to a more just, sustainable, and peaceful world. Through its grantmaking, the Fund supports efforts to expand knowledge, clarify values and critical choices, nurture creative expression, and shape public policy. The Fund's programs are intended to develop leaders, strengthen institutions, engage citizens, build community, and foster partnerships that include government, business, and civil society. Respect for cultural diversity and ecological integrity pervades the Fund's activities.

As an institutional citizen of an interdependent world, the Fund is active globally, nationally, and locally in its home city of New York. Grant programs are organized around three themes: Democratic Practice, Peacebuilding, and Sustainable Development. The Fund recognizes that achievement of progress in each of these program areas is often interconnected with developments in the others. As a private foundation, the Fund strives to promote philanthropic excellence and to enhance the effectiveness of the nonprofit sector.

As specified in the guidelines for each grant program, the Fund supports activities in a variety of geographic contexts. It also has identified several specific locations on which to concentrate cross-programmatic attention. The Fund refers to these as "RBF pivotal places": sub-national areas, nation-states, or cross-border regions which have special importance with regard to the Fund's substantive concerns and whose future will have disproportionate significance for the future of a surrounding region, an ecosystem, or the world. The Fund currently works in three pivotal places: New York City, Southern China, and Western Balkans.

The Pocantico Center of the Rockefeller Brothers Fund is located at the heart of the Rockefeller estate outside New York City and was created when the Fund leased the area from the National Trust for Historic Preservation in 1991. The conference center provides a unique setting where the RBF and other nonprofit organizations and public sector institutions can bring together people of diverse backgrounds and

perspectives to engage critical issues, reach new levels of understanding, and develop creative solutions to pressing problems.

In the years since its founding in 1940, the Fund has developed a distinctive style of grantmaking that is reflected in the following characteristics:

Long View. Grantmaking is primarily concerned with fundamental problems and is designed to contribute to the achievement of long-term goals and to make a lasting impact.

Commitment. Extended commitments are frequently made to specific issues and geographic regions and even to particular grantees.

Synergy. Rather than considering opportunities on a stand-alone basis, the Fund looks for connections among the activities it supports and the themes it pursues, both within and across program areas and in specific geographic locations.

Initiative. The Fund initiates or participates in the development of many of the projects that it supports.

Engagement. In addition to providing financial support, the Fund often works closely with grantee organizations to help strengthen their capacity and advance their work

Collaboration. The Fund actively seeks opportunities to collaborate with other funders.

Convening. The Fund devotes time and resources, including the use of its Pocantico Conference Center, to convening groups of diverse stakeholders and encouraging collaboration among government agencies, corporations, and nongovernmental organizations.

The goals and strategies in each of our programs are implemented through a variety of approaches to grantmaking. In some programs, as is noted in the guidelines, the Fund proactively identifies grantee partners and thus has limited ability to respond to unsolicited proposals. Grantseekers are encouraged to study the guidelines closely. Prospective grantees are also urged to consult the section "How to Apply" at www.rbf.org for specific guidance on the application process.

RBF PROGRAMS

DEMOCRATIC PRACTICE PROGRAM GUIDELINES

For democracy to flourish and deliver on its promises—including political participation, human rights, access to justice, a good education, an improved quality of life, a healthy environment, and personal security—its citizens must be informed, engaged, empowered, and assertive. Similarly, institutions of governance must be inclusive, transparent, accountable, and responsive.

The frequent failure of both new and established democracies to deliver on democracy's promises undermines the commitment to democratic practices. Wealthy and powerful actors exercise undue influence, and voices that historically have been excluded remain unheard in decision-making processes.

The United States continues to face a number of democratic deficits: a decline in many traditional forms of civic engagement; reduced participation in the formal institutions of democracy, including but not limited to voting; and declining trust in all institutions, especially institutions of government. These deficits are being exacerbated by deeply rooted economic challenges, and American society is becoming increasingly polarized, socially, economically, and politically.

At the same time, the process of globalization has similarly produced democratic deficits in global governance. Global power and wealth inequities have deepened, while the significance of decisions made by transnational institutions such as multilateral organizations, multinational corporations, and international financial institutions has increased. In this patchwork of institutions and practices, global governance decisions are made with inadequate inclusiveness, accountability, and transparency, often preempting or distorting legitimate national and local decision-making processes.

The Fund's Democratic Practice program has two parts: strengthening democracy in the United States and strengthening democratic practice in global governance. Based on a careful assessment of local needs and priorities, the Fund also pursues one or more of the democratic principles underlying the program in its "pivotal places." Recognizing that there is no single model of effective democratic practice, the Fund emphasizes flexibility and adaptability to different contexts in these pivotal places.

DEMOCRACY IN THE UNITED STATES

Persistent and deep divisions undermine the nation's, social, economic, and political vitality. The gap between rich and poor, both economic and social, continues to widen, with the top one percent of American wage earners receiving nearly a quarter of the nation's total income. Exorbitant amounts of private money spent on political campaigns and lobbying profoundly distort the political system. Those without the financial resources to influence public policy are further marginalized, and private interests are frequently prioritized over the public good, fostering public cynicism and a distrust of elected officials. According to the Center for Responsive Politics, in 2008 successful candidates for the House of Representatives spent an average of \$1.3 million on their campaigns; successful candidates for the Senate spent an average of \$8.5 million. Moreover, there were 14,800 registered lobbyists working to influence Congress and federal agencies—27 for every member of Congress—with a total of \$3.3 billion spent on lobbying.

The quality of our political culture is deteriorating. There are few examples of bipartisanship and constructive compromise in political debate. While participation in national elections has increased, it remains below that of most advanced democracies and turnout for local elections is persistently low. Furthermore, millions of eligible voters have been kept from voting by registration or identification problems and many others have been discouraged by poor administration of polling places, or worse, by overt efforts at voter suppression. For years, government has been derided as a source of the nation's ills, rather than a positive force for national progress. The capacities of government institutions have been weakened, and confidence in them has declined.

In the media, confrontation often passes for dialogue, crowding out nuanced views and a middle ground. Traditional media organizations face financial challenges that are reducing the number of public voices and limiting journalism's ability to hold government and business accountable. Resources for investigative

journalism are shrinking. New media offer opportunities to broaden and redefine journalism but may foster a cacophony of voices without editorial mediation, leaving the public with no way to judge the accuracy or reliability of the information.

All of our nation's democracy deficits are particularly acute among, and disproportionately affect, young people, especially low-income youth, youth of color, and non-college youth. These young people are profoundly disconnected from work, school, and civic institutions. Despite the persistent, systemic problems facing low-income youth and youth of color, there is still reason for optimism about the future of their civic participation. Young people are using new technologies, particularly Internet, video, and social networking tools, to facilitate organizing and build community. Voting rates among young people have increased substantially over the last ten years, especially among African-American youth in the 2008 presidential elections. Finally, the numbers of young people involved in volunteerism is encouraging, though service opportunities too rarely penetrate beyond college campuses and middle- and upper-class communities.

Goal: Strengthening the Vitality of Democracy in the U.S.

In the United States, the Fund seeks to strengthen and to broaden participation in the practices and institutions of democratic governance through the following strategies.

Strategies:

- Combating the corrupting influence of money in politics by supporting the adoption of public financing of electoral campaigns and selected other reforms that increase access to and participation in elections and enhance the integrity of representative democracy.
- Fostering greater understanding of and appreciation for the role of the public sector in society. Support also will be provided on a limited basis to organizations that promote the improved performance of key public sector institutions.
- Promoting the transparency, accountability, and responsiveness of government institutions and the transparency and accountability of corporate political spending, with special attention to the potential of new technologies to enhance transparency and strengthen accountability, and to the importance of investigative journalism.
- Strengthening networks of support for youth-led organizations in which youth define their concerns; develop and harness their own approaches to pursue social change; and form effective and stable constituencies. Organizations led by low-income youth, youth of color, and non-college youth will receive special attention.

GLOBAL GOVERNANCE

Globalization—the dramatic increase in cross-border flows of capital, goods, and people and their values and ideas—is producing deeper interdependencies and changes in power relations. It is a defining process

of the 21st century, offering both challenges and opportunities.

Global governance is an incomplete patchwork of institutions, rules, and processes that transcend the authority of individual nations. The elements of global governance are many, including formal agreements among nations; the architecture and practices of international and intergovernmental institutions and international courts; the policies, behaviors, and actions of states and multinational corporations; and the work and influence of civil society organizations.

Economic interests have largely overshadowed democratic practices, social equity, and environmental concerns in the evolution of global governance institutions and processes. Powerful international trade and financial institutions remain opaque and exclusive, while the power and reach of multinational corporations often escape oversight or effective regulation. Thus, while the impact of global governance on peoples' lives is growing, democracy in global governance faces acute deficits. Transparency and accountability in global decision making are often critically deficient. Representation in global governance processes remains limited; underrepresented populations and weaker states have restricted voice and standing, curtailing their access and participation. Injustices persist, as rights are unevenly recognized and ad hoc coordination often substitutes for meaningful democratic processes. Together, these deficits challenge the ability of nations and groups to protect their commonwealth, ensure necessary social and environmental protections, and promote ethical and effective stewardship of common resources.

At the same time, globalization has opened up new opportunities for building cross-border coalitions that are finding innovative ways to address and resolve global problems. Novel combinations of public, private, intergovernmental, and nongovernmental organizations are asserting their concerns, forging new democratic practices, and advancing systemic changes in global processes, rules, and institutions.

Goal: Strengthening the Vitality of Democracy in Global Governance

In its work to strengthen democracy in global governance, the Fund focuses on the areas of climate change, development finance, and trade. The Fund is particularly interested in civil society organizations that represent and advance developing country concerns as they seek to increase equity and foster sustainability.

Strategies:

- Enhancing transparency and accountability of global governance institutions and decision-making processes.
- Expanding access to and participation in global governance institutions and decision-making processes. Priority is given to initiatives led by or in support of constituencies underrepresented in global governance.
- Advancing new ideas, advocacy approaches, and institutional arrangements aimed at more effective and democratic decision making in global governance and more just and sustainable outcomes.

SUSTAINABLE DEVELOPMENT PROGRAM GUIDELINES

Human activity is causing climate change, rapid loss of biodiversity, and accelerating degradation of Earth's life support systems. These developments threaten the livelihoods, health, and security of people in all nations and cultures as well as the well-being of the greater community of life. The RBF's sustainable development grantmaking endeavors to address these challenges by supporting development that meets the needs of the present without compromising the ability of future generations to meet their own needs. The program supports global stewardship that is ecologically based, economically sound, socially just, culturally appropriate, and consistent with intergenerational equity. The Fund encourages government, business, and civil society to work collaboratively on climate change, to acknowledge the moral and ethical consequences of inaction, and to make it an integral part of all development planning and activity. Recognizing the global nature of many environmental problems, the Fund also promotes international cooperation in addressing these challenges.

The Sustainable Development program maintains a significant focus on the United States in light of its disproportionate impact on the global economy, politics, and the environment. The program's work is also advanced in collaboration with the Fund's "pivotal place" programs—New York City, Southern China, and the Western Balkans—and with the Democratic Practice program's Global Governance portfolio. Pivotal place programs support work in specific countries or regions to build the knowledge, policies, organizational capacity, and leadership needed to advance sustainable development in locally appropriate ways. The Fund's Global Governance portfolio supports broad participation in forging the international agreements and institutional arrangements needed to encourage investment in sustainable development. Fund staff work to ensure that global developments inform work in specific places and that locally grounded efforts generate lessons and innovations needed for global impact.

With the recognition that the impact of unchecked climate change threatens all other conservation efforts, the Sustainable Development program focuses its U.S. grantmaking on building a green economy at the federal, state, and local levels.

Goal: Advancing Solutions to Climate Change

Strategies:

- Building public and policymaker understanding and support for a range of actions to address the threat of climate change.
- Supporting implementation efforts to build a clean energy economy at the federal, state, and local levels.
- Supporting efforts to reduce reliance on carbon-intensive energy sources.
- Supporting targeted efforts to advance international progress on climate change.

PEACEBUILDING PROGRAM GUIDELINES

Numerous and diverse factors drive contemporary conflicts, from strained relations between governments and groups of people to threats that transcend borders such as environmental crises, the flow of weapons, and violent extremism. In today's interdependent world, regional or local conflicts often have

consequences that undermine the security and well-being of distant communities. Transforming conflict to build just and durable peace requires the global community to think differently about how it responds to the complex nature of 21st century challenges. Governments, multilateral organizations, and civil society must work in concert to develop a new framework for conflict prevention and peacebuilding that engages international, regional, state, and local actors in addressing the human security challenges of local populations.

As the world evolves rapidly toward a multipolar reality in which a growing array of nations pursue their national interests from positions of shifting political and economic power, the United States continues to play an important role in global efforts to create a more just, sustainable, and peaceful world. U.S. policies and behaviors that demonstrate respect for the competencies and perspectives of both traditional allies and emerging powers can help create a greater sense of shared responsibility and advance collective problem-solving to prevent, manage, and resolve conflicts. Civil society organizations have a significant role to play in promoting non-violent responses to conflict and cultivating the political climate necessary for official peacebuilding and diplomatic negotiations to succeed. They also are important advocates for a more robust multilateral system that is effective at brokering peace agreements.

The Fund's Peacebuilding program aspires to strengthen grassroots constituencies for peace and to connect them with policymaking on the regional and international levels. It aims to understand the conditions that lead to violence and the processes that support durable peace in order to identify innovative solutions to the most pressing drivers of insecurity. The program's grantmaking focuses on conflicts that have a disproportionate influence on international peace and security. It works closely with the Fund's Pivotal Place programs, especially in the Western Balkans, and with the Global Governance portfolio of the Democratic Practice program. The Fund places particular importance on elevating the role of women and young leaders in international peacebuilding and conflict transformation efforts.

Goal: Advancing Just and Durable Peace

The Fund will pursue the following interrelated strategies with respect to select conflicts.

Strategies:

- Supporting innovative and collaborative approaches and policies for conflict prevention, management, and transformation at the multilateral, regional, and national levels.
- Strengthening constituencies and political will for conflict transformation and durable peace.
- Exploring solutions to emerging transnational threats and drivers of conflict (specific focus to be developed).

The program is currently focusing a significant portion of its grantmaking on the wider Middle East.

PIVOTAL PLACE: NEW YORK CITY PROGRAM GUIDELINES

The Rockefeller Brothers Fund has been active in New York City since its founding there in 1940. New York City's extraordinarily diverse population, economic prominence, and cultural vitality combine to make the city pivotal to the future of its region, the nation, and the world. New York City has the potential

to be a model 21st century sustainable urban community that nourishes neighborhoods and civic life, encourages immigrant civic and political participation, supports individual achievement and artistic expression, generates widely shared prosperity, and preserves and enhances its built and natural environments. Linked as it is to the region, the nation, and the world, New York City can become a beacon of excellence and a force for positive change both within and well beyond its boundaries.

Two of the Fund's three program areas—sustainable development and democratic practice—are reflected in the RBF's engagement with New York City as a pivotal place. The Charles E. Culpeper Arts & Culture Grants are a distinctive feature of the Pivotal Place: New York City program.

DEMOCRATIC PRACTICE

In the absence of national immigrant integration policies much can be accomplished at the local level to remove barriers to immigrant and new citizen civic and political engagement. The Fund will focus on immigrant communities throughout its Democratic Practice grantmaking in New York City by pursuing the following goal and strategies:

Goal: Advancing the Civic and Political Participation of Immigrant Communities

Strategies:

- Strengthening the organizational capacity of a limited number of key community-based and immigrant-led groups to advance citywide social and political equity issues.
- Supporting collaborations and new networks among immigrants, established community groups, and public institutions to improve local government accountability, access, and services. A special interest of the Fund is to strengthen citywide multi-group collaboration and strategic alliances to advance public education advocacy efforts that promote accountability, transparency, and equal access for all public institutions.
- Connecting immigrant groups with citywide, national, and international networks and campaigns for joint action on immigration issues, mutual support, and leadership development. Special attention will be given to projects that align with RBF-related thematic areas.

SUSTAINABLE DEVELOPMENT

New York City is poised to become a model of urban sustainable development and environmental stewardship for the next century. However, the city faces complex development challenges driven by projections of significant population growth, limited space, and the imperatives of climate change mitigation and adaptation. Against these challenges, PlaNYC and the adoption of state and local legislation to advance green economic development in the city offer promising new avenues for the development of sustainable New York communities.

Goal: Building Sustainable Communities

Following on a history of support for community and waterfront development and brownfield remediation, the Fund seeks to engage low-income communities and communities of color in the development of an

equitable clean energy economy in New York City.

Strategies:

- Promoting civic engagement in vital, green, and sustainable communities with an emphasis on restoring the city's waterfront for community use.
- Supporting implementation efforts to build a clean energy economy in New York City, particularly in the buildings sector. Grantmaking under this strategy is carried out in collaboration with the Fund's Sustainable Development program.

CHARLES E. CULPEPER ARTS & CULTURE GRANTS

The Charles E. Culpeper Arts & Culture Grants honor the legacy of Charles E. Culpeper by supporting the artists and arts and cultural organizations that make New York City one of the world's most dynamic creative capitals. These grants support the creative process, build the capacity of small and mid-size arts and cultural institutions, and promote the pursuit of the creative life.

The standard online grant inquiry process does not apply for these grants. Applications may only be submitted online at www.rbf.org. Because of the response to the 2011 request for proposals, the Fund will not be issuing requests for proposals in 2012 and 2013.

Grantee organizations must wait a minimum of three years from their grant final payment before reapplying.

Goal: Supporting the Creative Process

The Fund seeks to foster an environment in which artists and the creative process can flourish through the following strategy:

Strategy:

- Supporting organizations that assist individual artists and the creative process, providing infrastructure to sustain the artistic life, and offering artists additional opportunities to develop skills complementary to their creative talents.

Goal: Building Capacity in Cultural Organizations

The Fund seeks to sustain and advance small and mid-size cultural organizations, particularly those that are community-based and/or culturally specific, with annual budgets under \$4 million, through the following strategies:

Strategies:

- Giving non-renewable, capacity-building grants as added vitality in the immediate term.

PIVOTAL PLACE: SOUTHERN CHINA PROGRAM GUIDELINES

In March 2004, the Rockefeller Brothers Fund decided to concentrate its Asian grantmaking in southern China, one of the fastest growing and most dynamic regions of the world. This focus builds on the Fund's history of philanthropy in East and Southeast Asia and continues over a century of Rockefeller family philanthropy in China which includes the founding of the Peking Union Medical College in 1917.

The Fund's geographic area of interest encompasses the nine diverse and increasingly interconnected provinces of the Pan Pearl River Delta—Guangdong, Guangxi, Hunan, Yunnan, Sichuan, Guizhou, Fujian, Hainan, and Jiangxi—and, to a lesser extent, Hong Kong and Macau. In practice, RBF grantmaking also connects work in southern China with Beijing-based institutions and stakeholders because of their importance in addressing regional and national sustainable development challenges. This region accounts for one-third of China's population and 40 percent of its GDP. It has played a pivotal role in China's extraordinary progress over the last 30 years, progress which includes, among many achievements, the elevation of hundreds of millions of people out of extreme poverty and the growth of China's economy into the second largest in the world.

Southern China's rapid development, however, has been accompanied by profound challenges including environmental degradation and growing disparities between rich and poor, urban and rural which, if not addressed, threaten the sustainability of development in the region, the country, and the world. With innovative government policy, a vibrant marketplace, and growing public participation, China has the potential to lead the world in sustainable approaches to development. The RBF's southern China grantmaking seeks to assist indigenous Chinese efforts to: 1) mitigate environmental pollution and improve the well-being of the Chinese people; 2) further sustainable energy practices and climate change solutions; and 3) strengthen community leadership for sustainable development.

At the core of all of the RBF's work in southern China is a fundamental belief in the wisdom, creativity, and resourcefulness of the Chinese people. The Fund will encourage multidisciplinary approaches to problem solving that integrate social, economic, environmental, and cultural concerns; and it will seek to foster collaboration at all levels and across sectors—government, business, civil society, and academia.

SUSTAINABLE DEVELOPMENT

Goal: Mitigating Environmental Pollution and Its Impact on Human Health

Strategies:

- Building knowledge, capacity, and cross-sector, cross-discipline collaborations.
- Strengthening public participation in environmental governance by promoting accountability, transparency, and access to information.
- Encouraging responsible corporate behavior in protecting the environment and public health.

Goal: Advancing Solutions to Climate Change

Strategies:

- Supporting a broad range of initiatives to assist China's efforts to reduce greenhouse gas emissions, with a strong emphasis on work at the provincial and local levels to promote energy conservation and clean energy production.
- Building understanding and facilitating cooperation between the United States and China in pursuing effective policy and action on energy and climate challenges.

Goal: Strengthening Community Leadership to Support Sustainable Development

Strategies:

- Nurturing indigenous philanthropy.
- Strengthening the capacity of key civic sector institutions, including the development of emerging leaders.

PIVOTAL PLACE: WESTERN BALKANS PROGRAM GUIDELINES

The Rockefeller Brothers Fund (RBF) has been engaged in grantmaking in the Western Balkans since 2001. At that time, in light of the region's long history of instability and the recent conclusion of the Balkan wars of the 1990s, the prospect of a peaceful, democratic, and prosperous Europe hinged, in part, on the Balkans' successful transition to a post-Communist and post-conflict era. During its first years in the Western Balkans, the Fund's grantmaking aimed to nurture healthy democratic processes, support regional initiatives to debunk persistent myths and prejudices, and encourage development of a vibrant civil society. The Fund's work in the Balkans, and especially in Serbia, Montenegro, and Kosovo, builds on its 20-year experience in Central and Eastern Europe, supporting transition processes and helping to create conditions for their accession to the European Union.

The countries of the Western Balkans are now focused on realizing their own European integration aspirations, as accession brings with it the promise of stability and rule of law—necessary prerequisites for long-term peace, prosperity, and democracy. To support that vision, the Fund will help create the enabling legal, fiscal, and political environment for EU membership, giving special attention to democratic practice and sustainable development requirements. Engagement and leadership of youth in building a sustainable future for the region, facing the past, and establishing a truth and reconciliation process will continue to be part of the RBF's support in the region.

The RBF will continue to work closely with civil society groups, governmental institutions, and other funding organizations to highlight the richness of the region's ethnic, gender, age, cultural, and racial diversity and to promote the values of a tolerant and inclusive society.

The RBF is pursuing the following goals and strategies across the Western Balkans region:

DEMOCRATIC PRACTICE

Goal: Improving the Performance, Transparency, and Accountability of Government

Strategies:

- Enhancing the capacity of civil society to monitor the quality of public sector governance and service delivery

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- Strengthening the investigative and educational practices of media and nongovernmental organizations
- Strengthening the capacity of government and nongovernmental institutions to conduct sound policy analysis

Goal: Building Civil Society Capacity and Effectiveness to Strengthen Participatory Democracy

Strategies:

- Strengthening the organizational and financial capacity of the civic sector
- Stimulating indigenous philanthropy and solidarity in society

SUSTAINABLE DEVELOPMENT

Goal: Building a Culture and Practice of Sustainable Development

Strategies:

- Contributing to participatory and inclusive approaches to the design and implementation of strategies for sustainable development
- Supporting educational reforms to include sustainable development concepts and practices as part of curriculum
- Introducing and encouraging energy efficiency and environmental protection approaches in economic and infrastructure development

PEACEBUILDING

Goal: Strengthening Constituencies for Reconciliation and Enduring Peace

Strategies:

- Supporting efforts to establish and disseminate the truth about atrocities and mass violations of human rights during the years of conflict in the region.
- Contributing to regional initiatives that engage diverse states and communities in conflict transformation to create conditions for enduring peace.

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SCHEDULE OF GRANTS TO ORGANIZATIONS

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NOTE: There are no relationships between any individual grantee and any foundation manager or substantial contributor

Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
2030, Inc. 607 Cerrillos Road Santa Fe, NM 87505 <i>For general support.</i>	2	\$200,000	\$0	\$0	\$200,000	\$0
2030, Inc. 607 Cerrillos Road Santa Fe, NM 87505 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
350.org 155 Water Street, 6th Floor Brooklyn, NY 11201 <i>For general support</i>	2	\$0	\$225,000	\$0	\$225,000	\$0
3-Legged Dog, Inc. 80 Greenwich Street New York, NY 10006 <i>For its Project Finch.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
ActionAid 33-39 Bowling Green Lane London, EC1R 0BJ United Kingdom <i>For its Bretton Woods Project.</i>	7	\$75,000	\$0	\$0	\$75,000	\$0
ActionAid USA ActionAid International USA 1420 K Street, NW Suite 900 Washington, D C. 20005 <i>For its work on international climate finance.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
ActionAid USA ActionAid International USA 1420 K Street, NW Suite 900 Washington, D.C 20005 <i>For its Building a Global Campaign for Tax Justice in Impoverished Countries project.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
The ADM Capital Foundation Limited 2406 9 Queen's Road Central Hong Kong China	8	\$0	\$150,000	\$0	\$75,000	\$75,000

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<i>For its China Water Risk project.</i>						
The Museum for African Art 36-01 43rd Avenue Long Island City, NY 11101 <i>For capacity building.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
Alvin Ailey Dance Foundation, Inc. The Joan Weill Center for Dance 405 West 55th Street New York, NY 10019-4402 <i>For its New Directions Choreography Lab.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Alliance for Justice 11 Dupont Circle, NW, 2nd Floor Washington, D.C. 20036 <i>For its Democracy Project.</i>	2	\$0	\$60,000	\$0	\$25,000	\$35,000
America Abroad Media 1020 19th Street, NW Suite 650 Washington, D C 20036 <i>For its Afghanistan-Pakistan town hall series.</i>	2	\$0	\$150,000	\$0	\$150,000	\$0
School of American Ballet, Inc. 70 Lincoln Center Plaza New York, NY 10023 <i>For its strategic plan's outreach and recruitment activities.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
American Councils for International Education, Inc. 1828 L Street, NW Suite 1200 Washington, D.C. 20036 <i>For its Kosovo American Education Fund.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
American Independent News Network 1825 Connecticut Avenue, NW Suite 625 Washington, D.C. 20009 <i>For general support.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0

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American University 4400 Massachusetts Avenue, NW Washington, D.C. 20016-8061 <i>For the Investigative Reporting Workshop of its School of Communication.</i>	1	\$0	\$80,000	\$0	\$40,000	\$40,000
The American University in Cairo 420 Fifth Avenue, 3rd Floor New York, NY 10018 <i>For the second phase of its Building a Better Egypt project.</i>	1	\$100,000	\$0	\$0	\$100,000	\$0
American University of Beirut 3 Dag Hammarskjold Plaza, 8th Floor New York, NY 10017-2303 <i>For the Issam Fares Institute for Public Policy and International Affairs.</i>	1	\$75,000	\$0	\$0	\$0	\$75,000
Americans for Campaign Reform Five Bicentennial Square Concord, NH 03301 <i>For general support.</i>	2	\$0	\$80,000	\$0	\$30,000	\$50,000
Americas Society, Inc. 680 Park Avenue New York, NY 10021 <i>For continued development of its immigrant integration initiative</i>	2	\$0	\$72,000	\$0	\$72,000	\$0
Americas Society, Inc. 680 Park Avenue New York, NY 10021 <i>For its initiative, Immigration and Integration: New York City, New Gateway Cities, and Beyond.</i>	2	\$0	\$500,000	\$0	\$250,000	\$250,000
AmericaSpeaks, Inc. 1050 17th Street, NW, Suite 350 Washington, D.C. 20009 <i>For its Enabling Accountable and Responsive Engagement program.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0

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Amigos del Museo del Barrio, Inc. 1230 Fifth Avenue New York, NY 10029 <i>For cash reserve.</i>	2	\$250,000	\$0	\$0	\$0	\$250,000
Amigos del Museo del Barrio, Inc. 1230 Fifth Avenue New York, NY 10029 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Arab Reform Initiative 71 Rue Fondary Paris, 75015 France <i>For general support.</i>	7	\$0	\$150,000	\$0	\$150,000	\$0
The Art Students League of New York 215 West 57th Street New York, NY 10019 <i>For its Model to Monument initiative.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
Asia Society 725 Park Avenue New York, NY 10021-5088 <i>For its U S.-Iran dialogue.</i>	2	\$75,000.00	\$0.00	\$0.00	\$75,000.00	\$0.00
Asia Society 725 Park Avenue New York, NY 10021-5088 <i>For its Shenzhen Environmental Film Festival</i>	2	\$0.00	\$50,000.00	\$0.00	\$50,000.00	\$0.00
Asian Cultural Council, Inc. 6 West 48th Street, 12th Floor New York, NY 10036-1802 <i>For general support.</i>	2	\$0.00	\$125,000.00	\$0.00	\$125,000.00	\$0.00
Asian Pacific Environmental Network 310 8th Street, Suite 309 Oakland, CA 94607 <i>For general support.</i>	2	\$0.00	\$200,000.00	\$0.00	\$0.00	\$200,000.00
Aspen Global Change Institute, Inc. 104 Midland Avenue, Suite 205 Basalt, CO 81621	2	\$0.00	\$100,000.00	\$0.00	\$100,000.00	\$0.00

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<i>For its Climate Communications project.</i>						
The Aspen Institute, Inc. One Dupont Circle, NW Suite 700 Washington, D.C. 20036 <i>For its Congressional Program.</i>	2	\$320,051.00	\$0.00	\$0 00	\$120,051.00	\$200,000.00
The Aspen Institute, Inc. One Dupont Circle, NW Suite 700 Washington, D.C. 20036 <i>For its National Study of Artist-Endowed Foundations.</i>	2	\$0.00	\$10,000 00	\$0.00	\$10,000.00	\$0.00
The Association for the Development and Enhancement of Women 8/10 Mathaf El Manyal Street, 5th Floor, Apartment 12 Cairo Egypt <i>For its Youth Political Participation project.</i>	8	\$75,000	\$0	\$0	\$0	\$75,000
Association for Women's Total Advancement and Development 19 Road 151, 6th Floor Maadi Cairo Egypt <i>For its Solokiat project.</i>	7	\$107,000	\$0	\$0	\$0	\$107,000
The Association Oktopus Vojislava Illica 28 Belgrade, 11000 Serbia <i>For its program, Knowledge for Sustainable Development.</i>	7	\$0	\$30,000	\$0	\$30,000	\$0
Atlantic Council of the U.S., Inc. 1101 15th Street, NW 11th Floor Washington, D.C. 20005 <i>For its South Asia Center.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Atlantic Theater Company 76 Ninth Avenue, Suite 537 New York, NY 10011	2	\$0	\$50,000	\$0	\$50,000	\$0

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<i>For its development of an open-source software for performing arts groups.</i>						
Balkan Community Initiatives Fund Majke Jevrosime 19/I Belgrade - Stari Grad, 106502 Serbia <i>For operating costs and its grants to civic environmental initiatives programs.</i>	7	\$0	\$100,000	\$0	\$100,000	\$0
Balkan Investigative Reporting Network Mesa e Studenteve, Katil Prishtina, 10000 Kosovo <i>For its project for monitoring public services and investigative media work.</i>	7	\$0	\$113,000	\$0	\$113,000	\$0
Balkan Investigative Reporting Regional Network Mehmeda Spahe 10 Sarajevo, 71000 Bosnia and Herzegovina <i>For general support.</i>	7	\$0	\$100,000	\$0	\$50,000	\$50,000
Ballet Hispanico of New York 167 West 89th Street New York, NY 10024 <i>For its Instituto Coreografico.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
Bang on a Can, Inc. 80 Hanson Place, Suite 701 Brooklyn, NY 11217 <i>To support the implementation of its Bang Forward strategic plan.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
The Bank Information Center 1100 H Street, NW Suite 650 Washington, D.C. 20005 <i>For its Combating Climate Change and Supporting Renewable Energy Development project in Kosovo.</i>	2	\$20,000	\$0	\$0	\$20,000	\$0
The Bank Information Center 1100 H Street, NW Suite 650 Washington, D.C. 20005 <i>For its work on energy investment and the</i>	2	\$0	\$90,000	\$0	\$90,000	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
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World Bank.

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The Bank Information Center 1100 H Street, NW Suite 650 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$125,000	\$0	\$125,000	\$0
Baum Foundation P.O. Box 475027 San Francisco, CA 94147 <i>For its project, The Future We Want.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Baum Foundation P.O. Box 475027 San Francisco, CA 94147 <i>To support its Presidential Climate Action Project.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Beijing Chaoyang District Yongxu Global Environmental Institute Building No. 5, Suite 1-401 New World Villa Chongwen District Beijing, 100062 China <i>For its project, China-U.S. Cooperation: Low Carbon Planning and Sub-National Cooperation.</i>	7	\$0	\$500,000	\$0	\$250,000	\$250,000
Beijingshi Chaoyangqu Zhengtongjinghe Energy Conservation Institute Room 266, 2nd Floor, No. 218, Tangli Road, Chaoyang District Beijing China <i>For its project on environmental accountability assessment and tracking.</i>	7	\$0	\$75,000	\$0	\$75,000	\$0
Bend the Arc: A Jewish Partnership for Justice 330 Seventh Avenue, 19th Floor New York, NY 10001 <i>For its project, the Funders Collaborative on Youth Organizing.</i>	2	\$0	\$200,000	\$0	\$100,000	\$100,000

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Better World Fund 1800 Massachusetts Avenue, NW Suite 400 Washington, D.C. 20036 <i>For the 25x'25 Clean Local Energy for America Now initiative of its project, the Energy Future Coalition.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Blacksmith Institute, Inc. 475 Riverside Drive, Suite 860 New York, NY 10115 <i>To expand public participation in environmental remediation</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Breaking the Silence 29 Haoman, P.O. Box 68150 Jerusalem, 91681 Israel <i>For general support.</i>	7	\$0	\$40,000	\$0	\$40,000	\$0
William J. Brennan, Jr., Center for Justice, Inc. 161 Avenue of the Americas 12th Floor New York, NY 10013 <i>For its Public Financing in New York project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
William J. Brennan, Jr., Center for Justice, Inc. 161 Avenue of the Americas 12th Floor New York, NY 10013 <i>For its Democracy Program's Money in Politics Project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Broadway Cares/Equity Fights AIDS, Inc. 165 West 46th Street, Suite 1300 New York, NY 10036 <i>For the development of new work and performance opportunities in its Dancers Responding to AIDS program.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0

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Bronx Council on the Arts, Inc. 1738 Hone Avenue Bronx, NY 10461-1486 <i>For cash reserve.</i>	2	\$39,600	\$0	\$0	\$39,600	\$0
Brookings Institution 1775 Massachusetts Avenue, NW Washington, D.C. 20036 <i>For its work on the Managing Global Order project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Brooklyn Academy of Music, Inc. 30 Lafayette Avenue Brooklyn, NY 11217 <i>For its Next Wave Festival at the new Richard B. Fisher building.</i>	2	\$0	\$100,000	\$0	\$0	\$100,000
Brooklyn Community Foundation 45 Main Street, Suite 409 Brooklyn, NY 11201 <i>For its Brooklyn Recovery Fund project.</i>	2	\$0	\$80,000	\$0	\$80,000	\$0
Brooklyn Philharmonic Symphony Orchestra, Inc. 189 Montague Street Suite 200A Brooklyn, NY 11201 <i>For its endowment.</i>	2	\$80,000	\$0	\$0	\$0	\$80,000
Brooklyn Youth Chorus Academy, Inc. 179 Pacific Street Brooklyn, NY 11201 <i>To build its capacity as a presenter and producer.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
Business for Social Responsibility 88 Kearny Street, 12th Floor San Francisco, CA 94108 <i>For its project, Supply Chains for Carbon Breakthroughs.</i>	2	\$0	\$200,000	\$0	\$100,000	\$100,000

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Cairo Institute for Human Rights Studies 21 Abd El-Megid El-Remaly Street 7th Floor, Flat No. 71 Bab El Louk Cairo Egypt <i>For the planning phase of its Washington, D.C.-based advocacy office.</i>	7	\$0	\$75,000	\$0	\$75,000	\$0
Cairo Institute for Human Rights Studies 21 Abd El-Megid El-Remaly Street 7th Floor, Flat No. 71 Bab El Louk Cairo Egypt <i>For phase two of its project, Toward a Nation of Rights and Rule of Law.</i>	7	\$100,000	\$0	\$0	\$100,000	\$0
Regents of the University of California Office of Vice Chancellor for Research 410 Mrak Hall Davis, CA 95616 <i>For the Policy Institute for Energy, Environment and the Economy.</i>	1	\$0	\$47,000	\$0	\$47,000	\$0
Campaign Legal Center, Inc. 215 E Street, NE Washington, D C 20002 <i>For its Supreme Court amici project.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
Carnegie Endowment for International Peace 1779 Massachusetts Avenue, NW Washington, D.C. 20036 <i>For its Middle East Center's Middle East Dialogue.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Casita Maria, Inc. 928 Simpson Street Bronx, NY 10459 <i>For the development and implementation of its new strategic plan.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Cave Canem Foundation, Inc. 20 Jay Street, Suite 310-A Brooklyn, NY 11201	2	\$0	\$50,000	\$0	\$50,000	\$0

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<i>For its development plan.</i>						
Center for American Progress 1333 H Street, NW, 10th Floor Washington, D.C. 20005 <i>To convene a U.S.-China bilateral climate meeting.</i>	2	\$0	\$18,337	\$0	\$18,337	\$0
Center for Climate Strategies 1800 K Street, NW, Suite 714 Washington, D.C. 20006 <i>To support its provincial-level, low-carbon economic development action planning work in Guangdong and in China.</i>	2	\$200,000	\$0	\$0	\$200,000	\$0
Center for Climate Strategies 1800 K Street, NW, Suite 714 Washington, D.C. 20006 <i>To support its work with the Pacific Coast Collaborative.</i>	2	\$0	\$106,600	\$0	\$106,600	\$0
Center for Democratic Transition Podgorica Montenegro <i>For its project, Informed Voters for Accountable Politics.</i>	7	\$0	\$30,000	\$0	\$30,000	\$0
Center for Economic and Policy Research 1611 Connecticut Ave, NW Suite 400 Washington, D.C. 20009 <i>For general support.</i>	2	\$85,000	\$0	\$0	\$85,000	\$0
Center for Effective Philanthropy, Inc. 675 Massachusetts Avenue Seventh Floor Cambridge, MA 02139 <i>For general support for 2012 and 2013.</i>	2	\$0	\$50,000	\$0	\$25,000	\$25,000
Center for Euro-Atlantic Studies Trajka Stamenkovica 2 Belgrade, 11000 Serbia <i>For its Serbian security sector reform and integration project.</i>	7	\$0	\$45,000	\$0	\$45,000	\$0

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Center for Investigative Reporting, Inc. 2130 Center Street, Suite 103 Berkeley, CA 94704-2565 <i>For general support.</i>	2	\$0	\$80,000	\$0	\$40,000	\$40,000
Center for Political Accountability 1233 20th Street, NW, Suite 205 Washington, D C. 20036 <i>For general support</i>	2	\$0	\$70,000	\$0	\$70,000	\$0
Center for Public Integrity 910 17th Street, NW 7th Floor Washington, D.C. 20006 <i>For general support.</i>	2	\$0	\$80,000	\$0	\$40,000	\$40,000
Center for Responsive Politics 1101 14th Street, NW Suite 1030 Washington, D.C. 20005 <i>For general support.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
Center for Strategic and International Studies, Inc. 1800 K Street, NW Suite 400 Washington, D.C. 20006 <i>For its Albanian Neighborhood Project: Fostering Albanian Cross-Border Cooperation in the Western Balkans</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
The Centre for Humanitarian Dialogue 114 Rue de Lausanne Geneva, CH-1202 Switzerland <i>For general support.</i>	7	\$100,000	\$0	\$0	\$100,000	\$0
Ceres, Inc. 99 Chauncey Street Boston, MA 02111-1703 <i>For general support.</i>	2	\$0	\$175,000	\$0	\$175,000	\$0
Ceres, Inc. 99 Chauncey Street Boston, MA 02111-1703	2	\$0	\$200,000	\$0	\$200,000	\$0

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<i>For general support.</i>						
Chesapeake Climate Action Network P.O. Box 11138 Takoma Park, MD 20912 <i>For its offshore wind project.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Chesapeake Climate Action Network P.O. Box 11138 Takoma Park, MD 20912 <i>For general support.</i>	2	\$0	\$25,000	\$0	\$0	\$25,000
Chez Bushwick, Inc. 304 Boerum Street Suite 23 Brooklyn, NY 11206 <i>To implement its strategic plan.</i>	2	\$150,000	\$0	\$0	\$150,000	\$0
China Dialogue Trust Suite 306 Grayston Centre 28 Charles Square London, N1 6HT United Kingdom <i>To support expanded coverage of environment and health and of energy and climate issues.</i>	8	\$0	\$130,000	\$0	\$65,000	\$65,000
Chinese Academy of Sciences 52 Sanlihe Road Beijing, 100864 China <i>For its Forum on Health, Environment and Development.</i>	6	\$0	\$375,000	\$0	\$210,000	\$165,000
The Chinese University of Hong Kong Shatin, NT Hong Kong China <i>For its Southern China Visiting Fellows Program for Civil Society Stakeholders.</i>	6	\$0	\$200,000	\$0	\$100,000	\$100,000
Christian Aid P.O. Box 100 London, SE1 7RT United Kingdom <i>For continued support of its Southern Advocacy and Outreach on Climate Justice program.</i>	7	\$0	\$200,000	\$0	\$100,000	\$100,000

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Citizens for Responsibility and Ethics in Washington, Inc. 1400 Eye Street, NW Suite 450 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
Center for Civilians in Conflict 1210 18th Street, NW 4th Floor Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Civic Alliance Vukice Mitrovic 16 Podgorica, 8100 Montenegro <i>For general support.</i>	8	\$0	\$200,000	\$0	\$100,000	\$100,000
Civic Association CRTA-The Center for Research, Transparency and Accountability 24, Cetinjska Street Belgrade, 11000 Serbia <i>For its Candidate the Truth Project.</i>	7	\$0	\$100,000	\$0	\$100,000	\$0
Civic Association Kuda.Org Brace Mogin 2 P.O. Box 22 Novi Sad, 21113 Serbia <i>For general support.</i>	7	\$35,000	\$0	\$0	\$35,000	\$0
Clean Economy Development Center 1707 N St. NW Suite 3 Washington, D.C. 20036 <i>For its Clean Economy Acceleration Fellowship Program.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Clean Energy Finance Center 24 Brenway Drive West Hartford, CT 06117 <i>For general support.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Clean Energy Finance Center 24 Brenway Drive West Hartford, CT 06117	2	\$0	\$80,000	\$0	\$30,000	\$50,000

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<i>For general support.</i>						
Clean Energy States Alliance, Inc. 50 State Street, Suite 1 Montpelier, VT 05602 <i>For its project to accelerate offshore wind development.</i>	2	\$60,000	\$0	\$0	\$60,000	\$0
Clean Energy States Alliance, Inc. 50 State Street, Suite 1 Montpelier, VT 05602 <i>For its Offshore Wind Accelerator Project.</i>	2	\$0	\$150,000	\$0	\$150,000	\$0
Club Alpbach Belgrade Borska Street 70 Belgrade, 11000 Serbia <i>For its Summer School on European Integration</i>	8	\$0	\$30,000	\$0	\$15,000	\$15,000
Clubbed Thumb, Inc. 141 East 3rd Street, Suite 11H New York, NY 10009 <i>For general support.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
Colorado State University Foundation 410 Univesity Services Center Fort Collins, CO 80523-9100 <i>For Colorado State University's Center for the New Energy Economy.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
COMET-ME Meshek 30 Tsafririm, 99830 Israel <i>For general support.</i>	7	\$0	\$40,000	\$0	\$40,000	\$0
Committee for Economic Development 2000 L Street, NW, Suite 700 Washington, D.C. 20036 <i>For its Money in Politics Program.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Common Cause Education Fund 1133 19th Street, NW, 9th Floor Washington, D.C. 20036 <i>For the research, policy development, and public education elements of its program to</i>	2	\$100,000	\$0	\$0	\$100,000	\$0

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<i>protect and advance public financing of elections</i>						
The Community Foundation for the National Capital Region 1201 15th Street, NW Suite 420 Washington, D.C. 20005 <i>For its DC PACE Commercial project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Community Foundation of New Jersey 35 Knox Hill Road P.O. Box 338 Morristown, NJ 07963-0338 <i>For its New Jersey Recovery Fund.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Community Partners 1000 North Alameda Street Suite 240 Los Angeles, CA 90012 <i>For its project, the Funders Network on Transforming the Global Economy.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Confluence Philanthropy, Inc. 475 Riverside Drive, Suite 900 New York, NY 10115 <i>For general support.</i>	2	\$0	\$10,000	\$0	\$10,000	\$0
Consensus Building Institute, Inc. 238 Main Street, Suite 400 Cambridge, MA 02142 <i>For its U.S.-Pakistan Leaders Forum.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Conservation Law Foundation, Inc. 62 Summer Street Boston, MA 02110 <i>For its Coal-Free New England Campaign.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
Conservation Law Foundation, Inc. 62 Summer Street Boston, MA 02110 <i>For its work on offshore wind deployment.</i>	2	\$0	\$50,000	\$0	\$25,000	\$25,000
The Constitution Project 1200 18th Street, NW	2	\$0	\$100,000	\$0	\$50,000	\$50,000

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Suite 1000 Washington, D.C. 20036 <i>For general support.</i>						
Consultative Group on Biological Diversity Presido Building 1016 P.O. Box 29361 San Francisco, CA 94129-0361 <i>For general support and its Climate and Energy Funders Group.</i>	2	\$0	\$34,500	\$0	\$34,500	\$0
Cool Culture, Inc. 80 Hanson Place, Suite 604 Brooklyn, NY 11217 <i>For its Diverse Cultural Audience Development program</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
Cornell University Ithaca, NY 14853 <i>For the Cornell Global Labor Institute.</i>	1	\$0	\$125,000	\$0	\$125,000	\$0
Corporate Ethics International P.O. Box 82021 Portland, OR 97282 <i>For the creation of training materials for its Business Ethics Network.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Council on Foreign Relations, Inc. 58 East 68th Street New York, NY 10021 <i>For its Contingency Planning Roundtable Series</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Council on Foundations, Inc. 2121 Crystal Drive Suite 700 Arlington, VA 22202 <i>For general support for 2013.</i>	2	\$0	\$39,500	\$0	\$39,500	\$0
Crisis Action, Inc. 866 United Nations Plaza Suite 4018 New York, NY 10017 <i>For general support.</i>	2	\$67,000	\$0	\$0	\$67,000	\$0

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Crisis Management Initiative Etelaranta 12, 2nd Floor Helsinki, 00130 Finland <i>For its Middle East and North Africa program.</i>	7	\$100,000	\$0	\$0	\$100,000	\$0
Cypress Hills Local Development Corporation, Inc. 625 Jamaica Avenue Brooklyn, NY 11208 <i>For its youth organizing initiative, Future of Tomorrow.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Dance USA 1111 16th Street, NW Suite 300 Washington, D.C. 20036 <i>To help build the capacity of its branch, Dance/NYC.</i>	2	\$0	\$150,000	\$0	\$40,000	\$110,000
Dare 2 Dream Leaders, Inc. 867 East 35th Street Brooklyn, NY 11210 <i>For its Creative Arts Recycling program.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
Groundswell Inc. 1156 15th Street, NW, Suite 840 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$150,000	\$0	\$150,000	\$0
Groundswell Inc. 1156 15th Street, NW, Suite 840 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$400,000	\$0	\$0	\$400,000
Democracy 21 Education Fund 2000 Massachusetts Avenue, NW Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Democracy Matters Institute, Inc. P.O. Box 157 Hamilton, NY 13346 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0

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Democratization Policy Council 1723 Q Street, NW, Apt. 203 Washington, D.C. 20009 <i>For its project on policies to promote democratic accountability, durable peace, and Euro-Atlantic integration in Kosovo, Serbia, and Bosnia and Herzegovina.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Demos: A Network for Ideas and Action, Ltd. 2 220 Fifth Avenue, Second Floor New York, NY 10001 <i>For Public Works: The Demos Center for the Public Sector.</i>		\$125,000	\$0	\$0	\$125,000	\$0
Demos: A Network for Ideas and Action, Ltd. 2 220 Fifth Avenue, Second Floor New York, NY 10001 <i>For its project, Campaign for Stronger Democracy.</i>		\$0	\$50,000	\$0	\$50,000	\$0
Demos: A Network for Ideas and Action, Ltd. 2 220 Fifth Avenue, Second Floor New York, NY 10001 <i>For a special report on the Trans-Pacific Partnership Agreement.</i>		\$0	\$25,000	\$0	\$25,000	\$0
Demos: A Network for Ideas and Action, Ltd. 2 220 Fifth Avenue, Second Floor New York, NY 10001 <i>For a study to map democratic deficits in global governance.</i>		\$0	\$70,000	\$0	\$70,000	\$0
DokuFest 7 Mimar Sinan 12 Prizren, 20000 Kosovo <i>For general support.</i>		\$0	\$30,000	\$0	\$30,000	\$0
DRUM-Desis Rising Up and Moving, Inc. 2 72-18 Roosevelt Avenue Jackson Heights, NY 11372 <i>For its YouthPower! program.</i>		\$0	\$30,000	\$0	\$30,000	\$0

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13-1760106
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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
Earth Island Institute, Inc. 2150 Allston Way, Suite 460 Berkeley, CA 94704-1375 <i>For its project, EcoEquity.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Earth Island Institute, Inc. 2150 Allston Way, Suite 460 Berkeley, CA 94704-1375 <i>For its project, Energy Action Coalition.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Earth Island Institute, Inc. 2150 Allston Way, Suite 460 Berkeley, CA 94704-1375 <i>For its project, Energy Action Coalition, to build a small donor program.</i>	2	\$0	\$6,000	\$0	\$6,000	\$0
Economic Cooperation Foundation 4, Hashalom Road Tel Aviv, 67892 Israel <i>For its project, Establishing an Information, Knowledge and Research Center on Israeli-Palestinian Relations.</i>	7	\$0	\$70,000	\$0	\$70,000	\$0
Economic Cooperation Foundation 4, Hashalom Road Tel Aviv, 67892 Israel <i>For its project, Establishing an Information, Knowledge and Research Center on Israeli-Palestinian Relations.</i>	7	\$0	\$5,000	\$0	\$5,000	\$0
Education for Employment 1612 K Street, Suite 800 Washington, D.C. 20006 <i>For the advocacy and policy program of Education for Employment Foundation-Egypt.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
Ekspedicija-EXPEDITIO P.O. Box 85 Kotor, Crna Gora 85330 Montenegro <i>For general support.</i>	7	\$0	\$50,000	\$0	\$25,000	\$25,000
Electrification Coalition Foundation 1111 19th Street, NW, Suite 406	2	\$0	\$100,000	\$0	\$100,000	\$0

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Washington, D.C. 20036 <i>For general support.</i>						
ENCOMPASS - Centre for Social and Psychological Studies and Services Gazmend Zajmi Str. ½, Apt. 18 Prishtina, 10060 Kosovo <i>For its project, ATOMI.</i>	7	\$0	\$50,000	\$0	\$50,000	\$0
Environmental Defense Fund, Incorporated 257 Park Avenue South New York, NY 10010 <i>For its building efficiency finance project.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Environmental Defense Fund, Incorporated 257 Park Avenue South New York, NY 10010 <i>For its Clean Heat initiative.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Environmental Grantmakers Association 475 Riverside Drive New York, NY 10115 <i>For general support.</i>	2	\$14,606	\$0	\$0	\$14,606	\$0
Environmental Grantmakers Association 475 Riverside Drive New York, NY 10115 <i>For its U.S.-China environmental grantmakers' study exchange trip.</i>	2	\$0	\$85,000	\$0	\$63,741	\$21,259
Environmental Law & Policy Center of the Midwest 35 East Wacker Drive Suite 1300 Chicago, IL 60601-2110 <i>For its Midwest Clean Air Initiative.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Evangelical Environmental Network P.O. Box 2791 Washington, D.C. 20013-2791 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
FIERCE 147 West 24th Street 6th Floor	2	\$0	\$55,000	\$0	\$30,000	\$25,000

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New York, NY 10011 <i>For general support.</i>						
Florida Wildlife Federation P.O. Box 6870 Tallahassee, FL 32314 <i>For its communications project on climate and renewable energy.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
The Focus Project 1742 Connecticut Avenue, NW Washington, D.C. 20009 <i>For general support.</i>	2	\$60,000	\$0	\$0	\$60,000	\$0
The Focus Project 1742 Connecticut Avenue, NW Washington, D.C. 20009 <i>For its Charity and Security Network.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
Focus the Nation 240 N. Broadway, Suite 212 Portland, OR 97227 <i>For general support.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Forum for Civic Initiatives Aktash Quarter Rexhep Mala Prishtina, 10000 Kosovo <i>For capacity building and engagement with institutions of global governance.</i>	7	\$0	\$25,000	\$0	\$25,000	\$0
Forum for Civic Initiatives Aktash Quarter Rexhep Mala Prishtina, 10000 Kosovo <i>For general support.</i>	7	\$0	\$175,000	\$0	\$175,000	\$0
Forum Mladi i Neformalna Edukacija ul. Bratstva i jedinstva br. 4 Podgorica, 81000 Montenegro <i>For its project, Youth Green Montenegro.</i>	7	\$0	\$80,000	\$0	\$40,000	\$40,000
Foundation Center 79 Fifth Avenue, 8th Floor New York, NY 10003	2	\$0	\$60,000	\$0	\$30,000	\$30,000

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For general support for 2013 and 2014.

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The Foundation for a Civil Society, Ltd. 25 East End Ave Apt. 1B New York, NY 10028 <i>For its Iran project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
The Foundation for a Civil Society, Ltd. 25 East End Ave Apt. 1B New York, NY 10028 <i>For its Celebrate Havel event.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
Foundation for Free Frequency Band Bokor u. 1-3-5 Budapest, HU-1037 Hungary <i>To support its efforts to maintain freedom of speech in Hungary.</i>	7	\$0	\$100,000	\$0	\$100,000	\$0
Foundation for Free Frequency Band Bokor u. 1-3-5 Budapest, HU-1037 Hungary <i>To support its efforts to maintain freedom of speech in Hungary.</i>	7	\$0	\$200,000	\$0	\$200,000	\$0
Foundation for Free Frequency Band Bokor u. 1-3-5 Budapest, HU-1037 Hungary <i>To support its efforts to maintain freedom of speech in Hungary.</i>	7	\$0	\$540,000	\$0	\$540,000	\$0
Franklin Furnace Archive, Inc. 80 Hanson Place, Suite 301 Brooklyn, NY 11217-1506 <i>For its strategic planning process.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Free Press 40 Main Street, Suite 301 Florence, MA 01062 <i>For its Political Advertising Transparency Project.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0

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Friends of the Earth 1100 15th Street, NW, Suite 1100 Washington, D.C. 20005 <i>For continued support of its initiative, Advancing and Protecting Sustainability Standards in Development Finance.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Fund for Active Citizenship Serdara Jola Piletica 18/I-1 Podgorica, 81000 Montenegro <i>For general support.</i>	7	\$0	\$150,000	\$0	\$75,000	\$75,000
Fund for Constitutional Government 122 Maryland Avenue, NE Washington, D.C. 20002 <i>For its project, OpenTheGovernment.org</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
Fund for Global Human Rights 1666 Connecticut Avenue, NW Suite 410 Washington, D.C. 20009 <i>For its Egypt program</i>	2	\$0	\$150,000	\$0	\$150,000	\$0
The Fund for Public Advocacy, Inc. One Centre Street, 15th Floor New York, NY 10007 <i>For its project, the Coalition for Accountability in Political Spending.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Future Generations HC 73 Box 100 Rt. 33 W at North Mountain Franklin, WV 26807 <i>For its project, Engaging Community Resilience for Security, Development, and Peacebuilding in Afghanistan.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
Gallim Dance Company, Inc. 304 West 75th Street, Suite 6B New York, NY 10023 <i>For general support and for costs associated with a Pocantico leadership retreat and performance.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0

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Generation Citizen 89 South Street Boston, MA 02111 <i>For its project, the Pipeline Program.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
The President and Directors Georgetown College (Georgetown University) 37th and O Streets, NW Washington, D.C. 20057 <i>For the Georgetown Climate Center.</i>	1	\$300,000	\$0	\$0	\$300,000	\$0
The President and Directors Georgetown College (Georgetown University) 37th and O Streets, NW Washington, D.C. 20057 <i>For the Georgetown Climate Center.</i>	1	\$0	\$100,000	\$0	\$100,000	\$0
Global Fund for Community Foundations Registered Office Community House Citilink Business Park Albert Street Belfast, BT12 4HQ Northern Ireland <i>For general support.</i>	8	\$0	\$30,000	\$0	\$30,000	\$0
Global Philanthropy Partnership 1916 N. Mohawk Street, Suite 7 Chicago, IL 60614 <i>For its Urban Sustainability Directors Network.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
The Tom Gold Dance Foundation 51 West 81st Street, Suite 2-L New York, NY 10024 <i>For general support.</i>	3	\$0	\$45,000	\$0	\$45,000	\$0
Grantmakers in the Arts 4055 21st Avenue West, Suite 100 Seattle, WA 98119-1247 <i>For organizational membership.</i>	2	\$0	\$1,100	\$0	\$1,100	\$0
Grants Managers Network, Inc. 1666 K Street, NW Suite 440 Washington, D.C. 20006	2	\$0	\$2,250	\$0	\$2,250	\$0

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<i>For general support for 2013.</i>						
Greenlining Institute 1918 University Avenue, 2nd Floor Berkeley, CA 94704 <i>To support its Green Assets program.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
groundWork Trust P.O. Box 2375 Pietermaritzburg, 3200 South Africa <i>For its Climate Justice and Energy Campaign.</i>	7	\$75,000	\$0	\$0	\$75,000	\$0
Group for Legal and Political Studies Rexhep Luci str. 10/5 Prishtina, 10 000 Kosovo <i>For general support</i>	7	\$0	\$40,000	\$0	\$40,000	\$0
Guangdong Harmony Foundation Room 806, Haizhu Science Park Sun Yat-sen University No. 135 Xingang Road Guangzhou, 510275 China <i>To establish its South China Environmental Leadership Fund.</i>	8	\$0	\$250,000	\$0	\$125,000	\$125,000
Guangdong Harmony Foundation Room 806, Haizhu Science Park Sun Yat-sen University No. 135 Xingang Road Guangzhou, 510275 China <i>For its project, Fujian Green Home Environment-Friendly Center.</i>	8	\$0	\$15,000	\$0	\$15,000	\$0
Guangdong Harmony Foundation Room 806, Haizhu Science Park Sun Yat-sen University No. 135 Xingang Road Guangzhou, 510275 China <i>For its Green Watershed project.</i>	7	\$0	\$75,000	\$0	\$75,000	\$0
Guangzhou Green Point Environmental Protection Information Center Room 202, #55 Zhoumen Bei Road Guangzhou, 510000 China	7	\$37,500	\$0	\$0	\$37,500	\$0

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<i>To support its Guangdong Youth Environmental Leadership Program.</i>						
President and Fellows of Harvard College 124 Mount Auburn Street Cambridge, MA 02138 <i>For its Western Balkan Civil Society Leadership Development Program.</i>	1	\$0	\$25,000	\$0	\$25,000	\$0
President and Fellows of Harvard College 124 Mount Auburn Street Cambridge, MA 02138 <i>For the Taubman Center for State and Local Government at the Kennedy School for its project, Declining American Working Class Mobility in the Decades Ahead.</i>	1	\$0	\$80,000	\$0	\$30,000	\$50,000
Health Care Without Harm 12355 Sunrise Valley Drive Suite 680 Reston, VA 20191 <i>For its healthier hospitals and climate change project</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Heartefact Fund Alekse Nenadovica 3 Belgrade, 11000 Serbia <i>For general support.</i>	7	\$0	\$60,000	\$0	\$30,000	\$30,000
Highlander Research and Education Center, Inc. 1959 Highlander Way New Market, TN 37820 <i>For its youth and intergenerational work.</i>	2	\$0	\$80,000	\$0	\$40,000	\$40,000
Historic House Trust of New York City, Inc. The Arsenal, Room 203 New York, NY 10065 <i>To launch a Roof Raisers Brigade collections training initiative.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Humanitarian Law Center - Documentation and Memory Decanska 12 III/IV	7	\$100,000	\$0	\$0	\$100,000	\$0

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Belgrade, 11110 Serbia <i>For general support.</i>						
Independent Curators International 401 Broadway, Suite 1620 New York, NY 10013 <i>To establish its Curatorial Hub.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Independent Journalists' Association of Vojvodina Zmaj Jovina 3/1 Novi Sad, 21000 Serbia <i>For its Research Journalism and Local Self-Government project.</i>	7	\$0	\$35,000	\$0	\$35,000	\$0
Independent Sector 1602 L Street, NW Suite 900 Washington, D.C. 20036 <i>For its 2012 annual conference.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Independent Sector 1602 L Street, NW Suite 900 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$250,000	\$0	\$250,000	\$0
Independent Sector 1602 L Street, NW Suite 900 Washington, D.C. 20036 <i>For general support for 2013.</i>	2	\$0	\$12,150	\$0	\$12,150	\$0
Independent Sector 1602 L Street, NW Suite 900 Washington, D.C. 20036 <i>For general support for 2012.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Innovation Center for Energy and Transportation 592 Garfield Avenue South Pasadena, CA 91030 <i>For general support.</i>	2	\$0	\$200,000	\$0	\$150,000	\$50,000

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Institute for Advanced Studies GAP Mother Theresa Str. 42/29 Prishtina, 10000 Kosovo <i>For general support.</i>	7	\$0	\$150,000	\$0	\$75,000	\$75,000
Institute for Agriculture and Trade Policy 2105 First Avenue South Minneapolis, MN 55404-2505 <i>For its Trade and Global Governance Program's work on climate change, trade, and agriculture.</i>	2	\$72,576	\$0	\$0	\$72,576	\$0
Institute for Development Policy Rrustem Statovci str 78 Prishtina Kosovo <i>For research and analysis of energy investment and global governance institutions</i>	8	\$0	\$50,000	\$0	\$50,000	\$0
Institute for Governance and Sustainable Development, Inc. 2300 Wisconsin Avenue, NW Suite 300B Washington, D C. 20007 <i>For its work on climate change.</i>	2	\$150,000	\$0	\$0	\$150,000	\$0
Institute for Integrated Transitions Pau Claris Street Number 155, 3rd Floor Barcelona, 08009 Spain <i>For general support.</i>	8	\$0	\$160,000	\$0	\$80,000	\$80,000
Institute for State Effectiveness 600 New Hampshire Avenue, NW Suite 400 Washington, D.C. 20037 <i>For its New Silk Route project.</i>	2	\$0	\$250,000	\$0	\$125,000	\$125,000
Institute for Sustainable Communities 535 Stone Cutters Way Montpelier, VT 05602-3795 <i>For its Environmental Nongovernmental Organization Capacity-Building program.</i>	2	\$34,906	\$0	\$0	\$34,906	\$0
Institute of International Education	2	\$0	\$200,000	\$0	\$200,000	\$0

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809 United Nations Plaza New York, NY 10017 <i>For the establishment of a Global Travel and Learning Fund.</i>						
Institute of Public and Environmental Affairs 7		\$0	\$420,000	\$0	\$210,000	\$210,000
601 Room, 3 Danyuan, 9 Haolou Xin Fun Jian Yuan Guang Qu Men Nei Street Beijing China <i>For its Green Choice Initiative.</i>						
International Crisis Group 2 1629 K Street, NW Room 450 Washington, D.C. 20006 <i>For its work in Afghanistan and Pakistan.</i>		\$0	\$200,000	\$0	\$175,000	\$25,000
International Documentary 2 1201 West 5th Street, Suite M270 Los Angeles, CA 90017 <i>For outreach and engagement for the film, Citizen Koch.</i>		\$0	\$25,000	\$0	\$25,000	\$0
International Economic Development Council, Inc. 2 734 15th Street, NW, Suite 900 Washington, D.C. 20005 <i>For a research project on clean energy market creation.</i>		\$75,000	\$0	\$0	\$75,000	\$0
International Institute for Sustainable Development 7 161 Portage Avenue East 6th Floor Winnipeg, MB R3B 0Y4 Canada <i>For its Investment for Sustainable Development Programme.</i>		\$75,000	\$0	\$0	\$75,000	\$0
Internet: International Human Rights Documentation Network dba Human Rights Internet 7 1 Nicholas Street, Suite 1105 Ottawa, ON K1N 7B7 Canada		\$0	\$75,000	\$0	\$75,000	\$0

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*For the Organization of the Islamic
Conference project of its Institute for Quiet
Diplomacy.*

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Internews Network P.O. Box 4448 Arcata, CA 95521 <i>For its Earth Journalism Network's Southern China Environmental Journalism Project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Investigative News Network 17514 Ventura Boulevard, Suite 103 Encino, CA 91316 <i>For its project, the Investigative News Network.</i>	2	\$70,000	\$0	\$0	\$70,000	\$0
Investigative Reporters and Editors, Inc. 141 Neff Annex Missouri School of Journalism Columbia, MO 65211 <i>For a series of training events designed to help journalists provide better coverage of the 2012 elections.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Investor Watch 286 Sandycombe Road Kew Gardens Surrey, TW9 3NG United Kingdom <i>For its Carbon Tracker Initiative.</i>	8	\$0	\$120,000	\$0	\$60,000	\$60,000
Islands First, Inc. 380 Lexington Avenue, 17th Floor New York, NY 10168 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
J Street Education Fund, Inc. P.O. Box 66073 Washington, D.C. 20035 <i>For its Two-State Summer campaign and for general support.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
The Jazz Gallery 290 Hudson Street New York, NY 10013 <i>For its artists commissions and residencies.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0

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Just Vision 1616 P Street, NW, Suite 340 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Justice at Stake Campaign, Inc. 717 D Street, NW, Suite 203 Washington, D.C. 20004 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Juvenile Justice Project of Louisiana 1600 Oretha Castle Haley Boulevard New Orleans, LA 70113-1311 <i>For its youth-led organizing projects.</i>	2	\$0	\$90,000	\$0	\$50,000	\$40,000
Keigwin and Company, Inc. 246 West 38th Street, 8th Floor New York, NY 10018 <i>To support its 10th anniversary campaign.</i>	2	\$0	\$125,000	\$0	\$0	\$125,000
Lawyers' Committee for Civil Rights Under Law 1401 New York Avenue, NW Suite 400 Washington, D.C. 20005 <i>For the Election Protection Program of its Voting Rights Project.</i>	2	\$0	\$60,000	\$0	\$60,000	\$0
Leadership Conference Education Fund, Inc. 1629 K Street, NW 10th Floor Washington, D.C. 20006 <i>For its work to combat voter suppression.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
League of Conservation Voters Education Fund 1920 L Street, NW Suite 800 Washington, D.C. 20036 <i>For its Latino Outreach and Engagement Project.</i>	2	\$0	\$250,000	\$0	\$125,000	\$125,000

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
League of Young Voters Education Fund 540 President Street 3rd Floor Brooklyn, NY 11215 <i>For capacity building.</i>	2	\$0	\$120,000	\$0	\$60,000	\$60,000
Lincoln Center for the Performing Arts, Inc. 70 Lincoln Center Plaza New York, NY 10023-6583 <i>For its Lincoln Center Institute's Artist Mentoring Lab.</i>	2	\$0	\$160,000	\$0	\$40,000	\$120,000
Make the Road New York 301 Grove Street Brooklyn, NY 11237 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Make the Road New York 301 Grove Street Brooklyn, NY 11237 <i>To launch its new project, the Center for Popular Democracy.</i>	2	\$0	\$150,000	\$0	\$150,000	\$0
Mani Tese Piazza Gambara 7/9 Milan, 20146 Italy <i>For its Re:Common program's work on financial sector regulations to promote environmental stewardship.</i>	7	\$0	\$40,000	\$0	\$40,000	\$0
MAPLight 2223 Shattuck Avenue Berkeley, CA 94704 <i>For general suport.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
Massachusetts Institute of Technology Office of Sponsored Programs 77 Massachusetts Avenue, E19-750 Cambridge, MA 02139 <i>For the Green Economic Development Initiative of its Community Innovators Lab.</i>	1	\$75,000	\$0	\$0	\$75,000	\$0

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The Mayor's Fund to Advance New York City 2 253 Broadway, 8th Floor New York, NY 10007 <i>To support the Mayor's Office of Immigrant Affairs and its efforts to advance immigrant-friendly cities.</i>		\$0	\$60,000	\$0	\$60,000	\$0
The Mayor's Fund to Advance New York City 2 253 Broadway, 8th Floor New York, NY 10007 <i>For its Housing and Neighborhood Recovery Funding Collaborative project</i>		\$0	\$110,000	\$0	\$110,000	\$0
Media Matters for America 2 455 Massachusetts Avenue, NW, Suite 600 Washington, D.C. 20031 <i>For its Climate and Energy initiative.</i>		\$0	\$100,000	\$0	\$100,000	\$0
Metropolitan Waterfront Alliance, Inc. 2 241 Water Street, 3rd Floor New York, NY 10038 <i>For general support.</i>		\$0	\$300,000	\$0	\$300,000	\$0
MOLAD-The Center for the Renewal of Democracy 8 20 Emek Refaim Street Jerusalem, 93105 Israel <i>For general support.</i>		\$0	\$50,000	\$0	\$50,000	\$0
Movement Strategy Center 2 436 14th Street, 5th Floor Oakland, CA 94612 <i>For general support.</i>		\$50,000	\$0	\$0	\$50,000	\$0
Moving Theater 2 FDR Station, P.O. Box 1449 New York, NY 10150 <i>For its strategic planning process</i>		\$0	\$30,000	\$0	\$30,000	\$0

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The Municipal Art Society of New York 111 West 57th Street New York, NY 10019 <i>For a green economy program session at its 2012 Summit for New York City.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Music for the Earth, Inc. P.O. Box 1740 Litchfield, CT 06759 <i>For its Flyways project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
The National Association of State Energy Officials 1414 Prince Street, Suite 200 Alexandria, VA 22314 <i>For its project to conduct an analysis of innovative state clean energy financing programs.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
National Caucus of Environmental Legislators 1301 Pennsylvania Ave, NW Suite 800 Washington, D.C. 20004 <i>For its Energy Financing Summit</i>	2	\$0	\$10,000	\$0	\$10,000	\$0
National Institute on Money in State Politics 833 N. Last Chance Gulch 2nd Floor Helena, MT 59601 <i>For general support.</i>	2	\$54,094	\$0	\$0	\$54,094	\$0
National Iranian American Council c/o 1411 K Street, NW Suite 600 Washington, D.C. 20005 <i>For its Iran Media Fact Check project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
National Parks of New York Harbor Conservancy Federal Hall National Memorial 26 Wall Street, 3rd Floor New York, NY 10005 <i>For general support.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0

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National Priorities Project, Inc. 243 King Street Suite 109 Northampton, MA 01060 <i>For general support.</i>	2	\$0	\$80,000	\$0	\$80,000	\$0
Native Youth Leadership Alliance P.O. Box 241 Pine Ridge, SD 57770 <i>For general support.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>For its CLEAN Policy project</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Natural Capitalism Solutions, Inc. 11823 N 75th Street Longmont, CO 80503 <i>For its CLEAN Policy project.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>For its CLEAN Policy project.</i>	2	\$0	\$400,000	\$0	\$250,000	\$150,000
Natural Resources Defense Council, Inc. 40 West 20th Street New York, NY 10011 <i>For its New York City Energy Efficiency Corporation.</i>	2	\$0	\$250,000	\$0	\$125,000	\$125,000
The Network for the Affirmation of the NGO Sector Dalmatinska 188 Podgorica, 81000 Montenegro <i>For general support.</i>	7	\$0	\$60,000	\$0	\$30,000	\$30,000
New America Foundation 1899 L Street, NW, Suite 400 Washington, D.C. 20036 <i>For its Open Zion project.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0

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New England Clean Energy Foundation, Inc. 2 125 Summer Street Suite 1020 Boston, MA 02110 For its New England Clean Energy Policy and Sector Development Initiative.		\$100,000	\$0	\$0	\$100,000	\$0
New Partners for Community Revitalization, Inc. 2 151 West 30th Street, 11th Floor New York, NY 10001 For general support.		\$0	\$110,000	\$0	\$110,000	\$0
New Venture Fund 2 1201 Connecticut Avenue, NW, Suite 300 Washington, D C 20036 For its project, the Fair Elections Legal Network.		\$0	\$50,000	\$0	\$50,000	\$0
New Venture Fund 2 1201 Connecticut Avenue, NW, Suite 300 Washington, D.C. 20036 For its Fossil Fuels Reduction project.		\$0	\$250,000	\$0	\$250,000	\$0
New Venture Fund 2 1201 Connecticut Avenue, NW, Suite 300 Washington, D.C. 20036 To support its PACENow project.		\$0	\$100,000	\$0	\$100,000	\$0
New Venture Fund 2 1201 Connecticut Avenue, NW, Suite 300 Washington, D.C. 20036 For its Fossil Fuels Reduction project.		\$0	\$150,000	\$0	\$150,000	\$0
New Venture Fund 2 1201 Connecticut Avenue, NW, Suite 300 Washington, D.C. 20036 For its PACENow project.		\$0	\$100,000	\$0	\$100,000	\$0
New Woman Foundation 7 14 Abd El Moneem Sanad Street Mohandeseen Cairo Egypt For its Egyptian Youth and Political and Social		\$54,000	\$0	\$0	\$0	\$54,000

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<i>Change project</i>						
New York City Ballet, Inc. David H. Koch Theater 20 Lincoln Center Plaza New York, NY 10023 <i>For its New Combinations Fund.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
New York City Center, Inc. 130 West 56th Street New York, NY 10019 <i>For its Choreography Fellowship.</i>	2	\$0	\$120,000	\$0	\$0	\$120,000
New York Communities Organizing Fund, Inc. 2-4 Nevins Street, 2nd Floor Brooklyn, NY 11217 <i>For its project, New York Communities for Change Workers Rights Program.</i>	2	\$0	\$50,000	\$0	\$25,000	\$25,000
The New York Community Trust 909 Third Avenue, 22nd Floor New York, NY 10022 <i>For its Fund for New Citizens project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
The New York Community Trust 909 Third Avenue, 22nd Floor New York, NY 10022 <i>For its Long Island Community Foundation's Hurricane Sandy Long Island Relief and Restoration Fund</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
New York Foundation for the Arts, Inc. 20 Jay Street, Suite 740 Brooklyn, NY 11201 <i>For its Season of Cambodia festival.</i>	2	\$0	\$70,000	\$0	\$35,000	\$35,000
New York Foundation for the Arts, Inc. 20 Jay Street, Suite 740 Brooklyn, NY 11201 <i>For its project, ARTMKT.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
New York Foundation for the Arts, Inc. 20 Jay Street, Suite 740 Brooklyn, NY 11201	2	\$0	\$60,000	\$0	\$15,000	\$45,000

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<i>For its Pakistan Arts Project.</i>						
The New York Immigration Coalition, Inc. 137-139 West 25th Street 12th Floor New York, NY 10001-7277 <i>For its grassroots civic base-building efforts.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
The New York Public Library, Astor, Lenox and Tilden Foundations Fifth Avenue and 42nd Street New York, NY 10018 <i>For the endowment at the Jerome Robbins Dance Division of the New York Public Library for the Performing Arts, Dorothy and Lewis B Cullman Center.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
New York State Energy Research and Development Authority 17 Columbia Circle Albany, NY 12203 <i>For its New York State Building Energy Efficiency Initiative.</i>	1	\$0	\$84,000	\$0	\$84,000	\$0
Nine Seven Two-Advancement of Citizen Journalism 40 Shderot Chen Street Tel Aviv, 64167 Israel <i>For general support</i>	7	\$0	\$30,000	\$0	\$0	\$30,000
Non-Governmental Organization Emancipimi Civil Ma Ndryshe rr. Zeki Shulemaja 2 Pristina, 10000 Kosovo <i>For general support.</i>	7	\$0	\$50,000	\$0	\$30,000	\$20,000
Nonprofit Coordinating Committee of New York, Inc. 1350 Broadway Suite 1801 New York, NY 10018 <i>For general support for 2013</i>	2	\$0	\$1,500	\$0	\$1,500	\$0

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Nonprofit Information Networking Association 112 Water Street, Suite 400 Boston, MA 02109 <i>For general support.</i>	2	\$0	\$40,000	\$0	\$20,000	\$20,000
The Ocean Conservancy, Inc. 1300 19th Street, NW 8th Floor Washington, D.C. 20036 <i>For its project on ocean acidification.</i>	2	\$200,000	\$0	\$0	\$200,000	\$0
Oceana, Inc. 1350 Connecticut Avenue, NW 5th Floor Washington, D.C. 20036 <i>For general support</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Ohio Campus Compact 631 North Pearl Street Granville, OH 43023 <i>For its project, the 2012 Campus Election Engagement Project.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
Oil Change International 236 Massachusetts Avenue, NE Suite 203 Washington, D.C. 20002 <i>For its work on the G20 Mexico Summit and global fossil fuel subsidies reform.</i>	2	\$0	\$10,000	\$0	\$10,000	\$0
openDemocracy USA, Inc. c/o New World Foundation 666 West End Avenue Suite 1B New York, NY 10025 <i>For its web magazine, openDemocracy.net.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Oregon Environmental Council, Inc. 222 NW Davis Street, Suite 309 Portland, OR 97209 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000

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University of Oxford Oxford, OX2 6JF United Kingdom For its Food Climate Research Network's mapping study on the food supply chain and food safety challenges.	6	\$0	\$50,000	\$0	\$50,000	\$0
Pace University 1 Pace Plaza New York, NY 10038 For the Pace Energy and Climate Center of the Pace University School of Law.	1	\$0	\$35,000	\$0	\$35,000	\$0
Pacific News Service 275 Ninth Street San Francisco, CA 94103 For its program, New America Media, for the Ethnic Media Editorial Collaborative Women Immigrants project.	2	\$0	\$50,000	\$0	\$50,000	\$0
The Parents Circle Families Forum: Bereaved Families Supporting Peace, Reconciliation and Tolerance Hayasmin 1 St. Ramat-Efal, 52960 Israel For general support.	7	\$0	\$50,000	\$0	\$50,000	\$0
Partners Albania, Center for Change and Conflict Management Muhamet Gjolllesha Tirana, 1019 Albania For general support.	7	\$0	\$70,000	\$0	\$70,000	\$0
Partnership for Public Service, Inc. 1100 New York Avenue, NW Suite 200 East Washington, D.C. 20005 For the costs related to its conference on the presidential transition.	2	\$0	\$75,000	\$0	\$75,000	\$0
PeaceWorks Network Foundation P.O. Box 1577 Old Chelsea Station New York, NY 10113 For its OneVoice Movement project.	2	\$100,000	\$0	\$0	\$100,000	\$0

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Performance Zone, Inc. 161 Sixth Avenue, 14th Floor New York, NY 10013 For its project, <i>Pontus Lidberg Dance</i> .	2	\$0	\$25,000	\$0	\$25,000	\$0
Performance Zone, Inc. 161 Sixth Avenue, 14th Floor New York, NY 10013 For its project, <i>Our Goods</i> .	2	\$0	\$35,000	\$0	\$35,000	\$0
Performance Zone, Inc. 161 Sixth Avenue, 14th Floor New York, NY 10013 For its <i>New York Dance and Performance Awards, The Bessies</i> .	2	\$0	\$10,000	\$0	\$10,000	\$0
Pesticide Action Network-North America Regional Center 49 Powell Street Suite 500 San Francisco, CA 94102 For its project, <i>the Global Alliance for Incinerator Alternatives</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Pesticide Eco-Alternatives Center Yunnan Thoughtful Action Apt. 1212, 1214, 1216, 12/F Block 14 Yunnan Yingxiang Quarter Chuanjin Road Kunming, Yunnan 650224 China For its project, <i>Building a Network to Promote Pesticide Reduction in China - Phase Two</i> .	7	\$65,000	\$0	\$0	\$65,000	\$0
Philanthropy for Active Civic Engagement 1201 15th Street, NW Suite 420 Washington, D.C. 20005 For 2012 membership and general support.	2	\$0	\$34,500	\$0	\$34,500	\$0
Philanthropy New York, Inc. 79 Fifth Avenue Fourth Floor	2	\$0	\$19,750	\$0	\$19,750	\$0

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New York, NY 10003 For general support for 2013						
Philanthropy New York, Inc. 79 Fifth Avenue Fourth Floor New York, NY 10003 For its Staten Island Foundation Nonprofit Recovery Fund project.	2	\$0	\$60,000	\$0	\$60,000	\$0
Ploughshares Fund 1808 Wedemeyer Street, Suite 200 San Francisco, CA 94129 For its Iran campaign.	2	\$0	\$200,000	\$0	\$200,000	\$0
Ploughshares Fund 1808 Wedemeyer Street, Suite 200 San Francisco, CA 94129 For its Iran campaign.	2	\$0	\$800,000	\$0	\$800,000	\$0
Polaris Institute USA 2235 Lakeshore Road P.O. Box 106 Essex, NY 12936 For its project, the Our World Is Not For Sale network, for its work related to the World Trade Organization.	2	\$0	\$175,000	\$0	\$100,000	\$75,000
Pratt Institute 200 Willoughby Avenue Brooklyn, NY 11205 For the Pratt Center for Community Development's Retrofit Block by Block program.	2	\$0	\$200,000	\$0	\$100,000	\$100,000
Printed Matter, Inc. 195 Tenth Avenue New York, NY 10011 For its technology upgrades and inventory control improvements.	2	\$0	\$50,000	\$0	\$50,000	\$0
Prishtina Institute for Political Studies Agim Ramadani Str. 50/8 Prishtina, 10000 Kosovo For general support.	7	\$0	\$30,000	\$0	\$30,000	\$0

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Progressive America Fund dba Center for Working Families 1133 Broadway, Suite 332 New York, NY 10010 <i>For its Green Jobs Green New York initiative.</i>	2	\$0	\$150,000	\$0	\$75,000	\$75,000
The Project on Government Oversight, Inc. 1100 G Street, NW Suite 900 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
The Project on Middle East Democracy, Inc. 1820 Jefferson Place, NW 3rd Floor Washington, D C. 20036 <i>For its Egypt-related activities.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Project Vote, Inc. 1350 Eye Street, NW Suite 1250 Washington, D.C. 20005 <i>For its Election Administration Program.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Proteus Fund, Inc. 15 Research Drive, Suite B Amherst, MA 01002 <i>For its Piper Fund initiative.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Public Campaign 1133 19th Street, NW Suite 900 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$130,000	\$0	\$130,000	\$0
Public Citizen Foundation, Inc. 1600 20th Street, NW Washington, D.C. 20009 <i>For its work with the Corporate Reform Coalition.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0

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Public Citizen Foundation, Inc. 1600 20th Street, NW Washington, D.C. 20009 <i>For its Global Trade Watch program.</i>	2	\$0	\$200,000	\$0	\$118,000	\$82,000
Public Interest Projects, Inc. 45 West 36th Street, 6th Floor New York, NY 10018 <i>For its Science First project.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Public Interest Projects, Inc. 45 West 36th Street, 6th Floor New York, NY 10018 <i>For its project, the Corporate Disclosure Resource Center.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Public Interest Projects, Inc. 45 West 36th Street, 6th Floor New York, NY 10018 <i>For membership in its project, the Funders' Committee for Civic Participation.</i>	2	\$0	\$4,500	\$0	\$4,500	\$0
Public Policy and Education Fund of New York, Inc. 94 Central Avenue Albany, NY 12206 <i>For its Public Financing of Elections in New York project.</i>	2	\$0	\$60,000	\$0	\$60,000	\$0
Public Works The Center for the Public Sector 3801 N. Capital of Texas Highway E-240/446 Austin, TX 78746 <i>For general support.</i>	2	\$0	\$250,000	\$0	\$32,829	\$217,171
Queens Museum of Art New York City Building Flushing Meadows Corona Park Queens, NY 11368 <i>For programs related to its exhibition, Caribbean: Crossroads of the World.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0

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Regional Environmental Center for Central and Eastern Europe Ady Endre ut 9-11 Szentendre, 2000 Hungary <i>To continue its project, Education for Sustainable Development in the Western Balkans: Turning Education into Action for Sustainable Future.</i>	6	\$0	\$300,000	\$0	\$300,000	\$0
Jerome Robbins Foundation 156 West 56th Street, Suite 900 New York, NY 10019 <i>For its Floria V. Lasky Symposium.</i>	4	\$0	\$35,000	\$0	\$35,000	\$0
Rockefeller Philanthropy Advisors 6 West 48th Street 10th Floor New York, NY 10036 <i>For its Climate Nexus project.</i>	2	\$0	\$450,000	\$0	\$250,000	\$200,000
San Francisco Chamber of Commerce Foundation 235 Montgomery Street, 12th Floor San Francisco, CA 94104 <i>For its Chambers for Innovation and Clean Energy project</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
San Francisco Chamber of Commerce Foundation 235 Montgomery Street, 12th Floor San Francisco, CA 94104 <i>For its Chambers for Innovation and Clean Energy Project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Seventh Generation Advisors 2601 Ocean Park, Suite 311 Santa Monica, CA 90405 <i>For its work with the R20 Regions of Climate Action.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Seventh Generation Advisors 2601 Ocean Park, Suite 311 Santa Monica, CA 90405 <i>For its work with the R20 Regions of Climate</i>	2	\$0	\$25,000	\$0	\$25,000	\$0

ROCKEFELLER BROTHERS FUND, INC.
13-1760106
475 Riverside Drive, Suite 900
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SCHEDULE 13
FORM 990-PF
YEAR 2012

PART XV, Lines 3(a) and 3(b) Grants and Contributions Paid During the Year and Approved for Future Payment

SCHEDULE OF GRANTS TO ORGANIZATIONS

FYE12/31/2012

NOTE: There are no relationships between any individual grantee and any foundation manager or substantial contributor

Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
<i>Action.</i>						
Shan Shui Conservation Center Conservation Biology Building, College of Life Sciences Peking University Beijing China <i>For its report, Review of China's Sustainable Development 1992-2011: A Perspective from Civil Society.</i>	7	\$0	\$25,000	\$0	\$25,000	\$0
Shangri-la Institute for Sustainable Communities 709, Building A, SOHO New Town, No. 88 Jianguo Road, Chaoyang District Beijing, 100022 China <i>For its Climate Change Education Project</i>	8	\$80,000	\$0	\$0	\$80,000	\$0
Shangri-la Institute for Sustainable Communities 709, Building A, SOHO New Town, No. 88 Jianguo Road, Chaoyang District Beijing, 100022 China <i>For its Climate Change Education project.</i>	8	\$0	\$200,000	\$0	\$100,000	\$100,000
Sierra Club Foundation 85 Second Street Suite 750 San Francisco, CA 94105 <i>To support its Beyond Coal Campaign.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Sierra Club Foundation 85 Second Street Suite 750 San Francisco, CA 94105 <i>For its International Financial Institution Reform Project's work on international financial institutions and fossil fuels.</i>	2	\$0	\$10,000	\$0	\$10,000	\$0
Sierra Club Foundation 85 Second Street Suite 750 San Francisco, CA 94105 <i>For the Sierra Club's Beyond Coal Campaign.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0

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PART XV, Lines 3(a) and 3(b) Grants and Contributions Paid During the Year and Approved for Future Payment
SCHEDULE OF GRANTS TO ORGANIZATIONS
FYE12/31/2012

NOTE. There are no relationships between any individual grantee and any foundation manager or substantial contributor

Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
Sierra Club Foundation 85 Second Street Suite 750 San Francisco, CA 94105 <i>For its Trade and Climate Project.</i>	2	\$0	\$150,000	\$0	\$75,000	\$75,000
Sierra Club Foundation 85 Second Street Suite 750 San Francisco, CA 94105 <i>For the Senate rules reform campaign of its Building a Better Democracy Program.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Social Science Research Council One Pierrepont Plaza, 15th Floor Brooklyn, NY 11201 <i>For its China Environment and Health Initiative.</i>	2	\$0	\$500,000	\$0	\$250,000	\$250,000
South Centre Ch. du Champ d'Anier 17 P.O. Box 228 Geneva 19, 1211 Switzerland <i>For general support</i>	7	\$325,000	\$0	\$0	\$325,000	\$0
Sponsors for Educational Opportunity, Inc. 55 Exchange Place New York, NY 10005 <i>For its Career Program in Philanthropy.</i>	2	\$0	\$10,000	\$0	\$10,000	\$0
Stichting European Climate Foundation Tournooiveld 4 The Hague, 2511 CX Netherlands <i>For a conference on global transitions from coal to efficiency and alternatives.</i>	7	\$0	\$25,000	\$0	\$25,000	\$0
Stichting Global Partnership for the Prevention of Armed Conflict Laan van Meerdervoort 70, 6th Floor The Hague, 2517 AN The Netherlands <i>For its consortium to strengthen peacebuilding policy through civil society empowerment.</i>	7	\$0	\$1,050,000	\$0	\$350,000	\$700,000

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
Stockholm Environment Institute US, Inc. 11 Curtis Avenue Somerville, MA 02144 <i>For its work on an initiative to provide equity-sensitive scientific, technical, and analytic support to climate change negotiators and policy advocates.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Strategies for the Global Environment 2101 Wilson Boulevard, Suite 550 Arlington, VA 22201 <i>To support its Plug-In Vehicle initiative.</i>	2	\$0	\$100,000	\$0	\$0	\$100,000
The Sunlight Foundation 1818 N Street, NW Suite 300 Washington, D.C. 20036 <i>For general support</i>	2	\$0	\$80,000	\$0	\$40,000	\$40,000
Sustainable Markets Foundation 45 West 36th Street, 6th Floor New York, NY 10018-7635 <i>For its Eco-Accountability project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Teachers and Writers Collaborative 520 Eighth Avenue Suite 2020 New York, NY 10018 <i>For its technology upgrade initiative.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
TechSoup Global 435 Brannan Street, Suite 100 San Francisco, CA 94107-1780 <i>For its project, Strengthening the Technology Infrastructure of Civil Society Organizations in the Western Balkans, Years Two and Three.</i>	2	\$27,000	\$0	\$0	\$27,000	\$0
The Telos Group P.O. Box 33248 Washington, D.C. 20033-3248 USA <i>For general support.</i>	2	\$0	\$150,000	\$0	\$75,000	\$75,000

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SCHEDULE OF GRANTS TO ORGANIZATIONS

FYE12/31/2012

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
The Studio Museum in Harlem 144 West 125th Street New York, NY 10027 For programs related to its exhibition, Caribbean: Crossroads of the World.	2	\$0	\$35,000	\$0	\$35,000	\$0
Third World Network Berhad 131 Jalan Macalister Road Penang, 10400 Malaysia For general support.	7	\$200,000	\$0	\$0	\$200,000	\$0
Third World Network Berhad 131 Jalan Macalister Road Penang, 10400 Malaysia For an analysis and strategy-setting meeting of climate policy nongovernmental organizations and their networks.	7	\$0	\$30,000	\$0	\$30,000	\$0
Third World Network Berhad 131 Jalan Macalister Road Penang, 10400 Malaysia For an international strategy meeting of the Global Campaign to Demand Climate Justice	7	\$0	\$8,000	\$0	\$8,000	\$0
Third World Network Ghana 9 Ollenu Street, East Legon P.O. Box 19452 Accra Ghana For its project on Mineral Resources and Transformation in Africa.	7	\$0	\$200,000	\$0	\$100,000	\$100,000
TIGRA Transnational Institute for Grassroots Research and Action 900 Alice Street, Suite 320 Oakland, CA 94607 For its Making Economic Choices Matter project.	2	\$0	\$50,000	\$0	\$50,000	\$0
Times Square District Management Association 1560 Broadway Suite 800 New York, NY 10036	2	\$0	\$120,000	\$0	\$60,000	\$60,000

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
<i>For its public arts program.</i>						
Trustees of Tufts College Medford, MA 02155 <i>For the Global Economic Governance and Sustainable Development Program of its Global Development and Environment Institute.</i>	1	\$100,000	\$0	\$0	\$100,000	\$0
United Nations 1 United Nations Plaza New York, NY 10017 <i>For its program, the United Nations Development Programme, for its Egypt Network for Integrated Development program.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
U.S. Green Building Council, New York Chapter 40 Fulton Street, Suite 802 New York, NY 10038 <i>For general support.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
U.S. Green Building Council, New York Chapter 40 Fulton Street, Suite 802 New York, NY 10038 <i>For general support</i>	2	\$0	\$150,000	\$0	\$0	\$150,000
School of Unity and Liberation 1904 Franklin Street, Suite 904 Oakland, CA 94612 <i>For its youth organizing training and leadership programs.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Untermeyer Gardens Conservancy 4602 Palisade Avenue Bronx, NY 10471 <i>For its Cultural Landscape Restoration project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
urgewald Von-Galen Str. 4 Sassenberg, 48336 Germany <i>For its work on the global finance of fossil</i>	7	\$0	\$12,500	\$0	\$12,500	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
<i>fuels.</i>						
USAction Education Fund 1825 K Street, NW Suite 210 Washington, D.C. 20006 <i>For general support.</i>	2	\$30,000	\$0	\$0	\$30,000	\$0
The Voter Participation Center 1640 Rhode Island Avenue, NW Suite 825 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
Washington Environmental Council 1402 3rd Avenue, Suite 1400 Seattle, WA 98101 <i>To support its Pacific Coast Collaborative Skamania Conference.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
Washington Environmental Council 1402 3rd Avenue, Suite 1400 Seattle, WA 98101 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
University of Washington Foundation 407 Gerberding Hall Campus Box 351210 Seattle, WA 98195-1210 <i>For the University's Washington Sea Grant Program's work on Washington State's Blue Ribbon Panel on Ocean Acidification.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
Washington Monthly Corporation 1200 18th Street, NW Suite 330 Washington, D.C. 20036 <i>Toward the launch of its Government in My Backyard website.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Beverly Willis Architecture Foundation, Inc. 6 Barclay Street, 6th Floor New York, NY 10007 <i>For its Industry Leaders Roundtable.</i>	2	\$0	\$10,000	\$0	\$10,000	\$0

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Woodrow Wilson International Center for Scholars One Woodrow Wilson Plaza 1300 Pennsylvania Avenue, NW Washington, D.C. 20004 <i>To support publication and outreach activities related to its Cooperative Competitors project.</i>	2	\$30,000	\$0	\$0	\$30,000	\$0
Works and Process, Inc. 845 Third Avenue 16th Floor New York, NY 10022 <i>For general support</i>	2	\$0	\$66,000	\$0	\$66,000	\$0
World Resources Institute 10 G Street, NE Washington, D C. 20002 <i>For continued support of the International Financial Flows and Environment Project of its Institutions and Governance Program.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
World Resources Institute 10 G Street, NE Washington, D.C. 20002 <i>For its project, the U.S.-China Climate and Energy Information Network.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Young Audiences/New York, Inc. One East 53rd Street New York, NY 10022 <i>For endowment.</i>	2	\$60,000	\$0	\$0	\$60,000	\$0
Young Voices on Climate Change, Inc. P.O. Box 127 Thurmont, MD 21788 <i>For its project Young Voices for the Planet.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
Youth Initiative for Human Rights 10 Djure Danicica Street, 3rd Floor, Apt. 16 Belgrade, 11000 Serbia <i>For its New Policy School.</i>	7	\$40,000	\$0	\$0	\$40,000	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
Youth Initiative for Human Rights 10 Djure Danicica Street, 3rd Floor, Apt. 16 Belgrade, 11000 Serbia <i>For its project, Interactive Platforms for High School Children.</i>	7	\$0	\$26,000	\$0	\$13,000	\$13,000
Yunnan Academy of Social Sciences 18th Floor, No. 577, West Ring Road Kunming, Yunnan 650032 China <i>For its Rural Development Institute's second phase of the rural household biogas utilization project.</i>	6	\$100,000	\$0	\$0	\$100,000	\$0
Yunnan Health and Development Research Association No. 102, 1st Unit, 6th Group, Yinhaishanshuijian No. 748 Dianchi Road Kunming, 650228 China <i>For its environment and health project.</i>	7	\$0	\$160,000	\$0	\$80,000	\$80,000
Zajecar Initiative 7 septembra br.2, P.O. Box 162 Zajecar, 19 000 Serbia <i>For general support.</i>	7	\$0	\$45,000	\$0	\$45,000	\$0
Zhongshan University Room 807, Science and Technology Park No. 135, Xingang West Road Guangzhou, Guangdong 510275 China <i>For its Institute for Civil Society.</i>	6	\$121,774	\$0	\$0	\$121,774	\$0
Zhongshan University Room 807, Science and Technology Park No. 135, Xingang West Road Guangzhou, Guangdong 510275 China <i>To support the establishment of its Guangdong environment, health, and development forum.</i>	6	\$0	\$75,000	\$0	\$75,000	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2012	Lapsed in 2012	Paid in 2012	Ending Balance
Grand Total		\$6,990,107	\$30,349,187	\$0	\$29,039,864	\$8,299,430
Known historical difference		\$1	\$0	\$0	\$0	\$1
Per G/L @ 12/31/2012		\$6,990,106	\$30,349,187	\$0	\$29,039,864	\$8,299,429
2012 Matching Gifts (see following attached schedule)					\$57,619	
					Total Part XV, line 3(a)	\$29,097,483
					Total Part XV, line 3(b)	\$8,299,429

Key to Tax Status

- 1 U.S. church, school, hospital, government agency
509(a)(1) and 170(b)(1)(A)(i-iii, v)
- 2 U.S. publicly supported organization
509(a)(1) and 170(b)(1)(A)(iv, vi), 509(a)(2), 509(a)(3);
including 4940(d)(2) (exempt operating foundation)
- 3 U.S. private operating foundation
- 4 U.S. private non-operating foundation
- 5 U.S. non 501(c)(3)
- 6 foreign church, school, hospital, government agency
- 7 foreign organization equivalent to publicly supported 501(c)(3)
- 8 foreign organization equivalent to private foundation
- 9 foreign organization not equivalent to 501(c)(3)

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SCHEDULE 13**FORM 990-PF****YEAR 2012****Detail of Employee Matching Gifts**

The Rockefeller Brothers Fund makes matching grants only to U.S. publicly supported organizations.

Date	Organization	Matching Gift Amount
2/1/2012	HABITAT FOR HUMANITY NEWARK	100.00
2/1/2012	NORTH JERSEY AFFILIATE OF SUSAN	25.00
2/8/2012	ELMIRA COLLEGE	50.00
2/8/2012	ONLY MAKE BELIEVE, INC.	50.00
2/23/2012	CARE	100.00
2/23/2012	VITAS HOSPICE	75.00
2/29/2012	WINROCK INTERNATIONAL	500.00
3/15/2012	AMERICAN CANCER SOCIETY	100.00
3/15/2012	FIVE MILE RIVER NURSERY SCHOOL	1,440.00
3/15/2012	STEPHEN PETRONIO DANCE COMPANY	250.00
3/16/2012	SAKHI FOR SOUTH ASIAN WOMEN	25.00
3/22/2012	DEMOS	5,000.00
3/22/2012	HARLEM RBI	300.00
3/22/2012	IOWA STATE UNIVERSITY FOUNDATI	500.00
4/4/2012	NEW YORK CITY COLLEGE OF TECHN	150.00
4/11/2012	FRIENDS SEMINARY	1,500.00
4/11/2012	PARKINSON'S UNITY WALK	50.00
4/11/2012	REGIS HIGH SCHOOL	1,500.00
5/16/2012	DEMOS	175.00
5/16/2012	LEUKEMIA & LYMPHOMA SOCIETY,IN	50.00
5/16/2012	MARCH OF DIMES	20.00
5/16/2012	MARCH OF DIMES	20.00
5/16/2012	MARCH OF DIMES	20.00
5/16/2012	MARCH OF DIMES	25.00
5/16/2012	MARCH OF DIMES	50.00
5/16/2012	MARCH OF DIMES	10.00
5/16/2012	MARCH OF DIMES	25.00
5/16/2012	MARCH OF DIMES	20.00
5/16/2012	MARCH OF DIMES	25.00
5/16/2012	NEW YORK FOUNDATION FOR	500.00
5/16/2012	PARTNERS IN PREVENTION	150.00
5/23/2012	MARCH OF DIMES	40.00
5/30/2012	THE CARVER FOUNDATION OF NORWA	125.00
6/6/2012	CHASHAMA INC.	250.00
6/13/2012	ALS THERAPY DEVELOPMENT INSTIT	20.00
6/13/2012	PRINCETON UNIVERSITY	500.00
6/13/2012	WNYC RADIO	74.00
6/20/2012	MARCH OF DIMES	50.00
6/20/2012	NEW LIFE OF NEW YORK CITY, INC	100.00
6/20/2012	NEW YORK CITY CENTER, INC.	150.00
6/20/2012	THE AMERICAN PROSPECT	250.00
7/5/2012	THE WOOSTER FUND	600.00
7/11/2012	THIRTEEN WNET	150.00
7/11/2012	WESTCHESTER EXCEPTIONAL CHILDR	100.00
7/18/2012	COOPERSTOWN GRADUATE PROGRAM	200.00

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SCHEDULE 13**FORM 990-PF****YEAR 2012****Detail of Employee Matching Gifts**

The Rockefeller Brothers Fund makes matching grants only to U.S. publicly supported organizations.

Date	Organization	Matching Gift Amount
7/18/2012	THE LEUKEMIA & LYMPHOMA SOCIET	50.00
8/1/2012	COLUMBIA UNIVERSITY	120.00
8/14/2012	NEW HAVEN MUSEUM	100.00
8/22/2012	CASITA MARIA, INC.	1,600.00
8/22/2012	LEGAL AID SOCIETY	100.00
8/29/2012	CHEZ BUSHWICK, INC.	375.00
9/5/2012	NEW YORK CITY AUDUBON SOCIETY,	50.00
9/12/2012	CECIL COLLEGE FOUNDATION, INC.	400.00
9/12/2012	CHILDREN'S MIRACLE NETWORK	20.00
9/12/2012	PEOPLE FOR PROGRESS IN INDIA	500.00
9/12/2012	THE LINNAEAN SOCIETY OF NEW YO	35.00
9/26/2012	PORT DEPOSIT HERITAGE CORPORAT	73.00
10/3/2012	INTERFAITH NUTRITION NETWORK	500.00
10/3/2012	INTERNATIONAL FUND FOR ANIMAL	200.00
10/3/2012	WORLD WILDLIFE FUND	50.00
10/24/2012	ASPCA	250.00
10/24/2012	CHESTER THEATRE GROUP	102.00
10/24/2012	DANCE THEATER IN WESTCHESTER	150.00
10/24/2012	THE VICTORIA SNELGROVE MEMORIA	70.00
11/7/2012	NEW YORK CITY AUDUBON SOCIETY,	150.00
11/14/2012	THE WOOSTER FUND	400.00
11/20/2012	LEUKEMIA & LYMPHOMA SOCIETY,IN	50.00
11/20/2012	NEW YORK PUBLIC RADIO	50.00
11/20/2012	SETON HALL UNIVERSITY	2,000.00
11/20/2012	SILENT ANIMAL VOICES ECHO, INC	250.00
11/28/2012	AMERICAN CANCER SOCIETY	25.00
11/28/2012	AMERICAN CANCER SOCIETY	40.00
11/28/2012	AMERICAN CANCER SOCIETY	25.00
11/28/2012	GOD'S LOVE WE DELIVER, INC.	100.00
11/28/2012	GOD'S LOVE WE DELIVER, INC.	50.00
11/28/2012	NEW CASTLE HISTORICAL SOCIETY	35.00
12/6/2012	AMERICAN CANCER SOCIETY	35.00
12/6/2012	AMERICAN CANCER SOCIETY	35.00
12/6/2012	AMERICAN CANCER SOCIETY	25.00
12/6/2012	CHILDREN'S CHORUS OF WASHINGTO	200.00
12/6/2012	STONE EDUCATIONAL SYSTEMS, INC	3,000.00
12/6/2012	THE SATO PROJECT	250.00
12/12/2012	GOD'S LOVE WE DELIVER, INC.	50.00
12/12/2012	RECLASS POC MATCH GFT TO PRIN	195.00
12/12/2012	RECLASS POC MATCH GFT TO PRIN	650.00
12/12/2012	RECLASS POC MATCH GFT TO PRIN	1,500.00
12/18/2012	CENTER FOR RURAL STRATEGIES, I	1,000.00
12/18/2012	FRACTURED ATLAS	100.00
12/18/2012	MUSIC HAVEN	100.00
12/18/2012	OPEN DOOR FAMILY MEDICAL CENTE	100.00

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SCHEDULE 13**FORM 990-PF****YEAR 2012****Detail of Employee Matching Gifts**

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Date	Organization	Matching Gift Amount
12/18/2012	SOLARONE	400.00
12/18/2012	STONE BARNs CENTER FOR	125.00
12/18/2012	WESTCHESTER COUNTY HISTORICAL	100.00
12/20/2012	ASIA SOCIETY	2,500.00
12/20/2012	BATES COLLEGE	100.00
12/20/2012	GOD'S LOVE WE DELIVER, INC.	50.00
12/20/2012	HUDSON RIVER MUSEUM	900.00
12/20/2012	INDEPENDENT SECTOR	1,500.00
12/20/2012	LYNDHURST	500.00
12/20/2012	SADDLE RIVER DAY SCHOOL	200.00
12/20/2012	THE RIGHT QUESTION INSTITUTE	100.00
12/31/2012	ALLEN COUNTY HISTORICAL SOCIET	500.00
12/31/2012	ALPHA PHI FOUNDATION	504.00
12/31/2012	AMERICAN CANCER SOCIETY	20.00
12/31/2012	AMERICAN CANCER SOCIETY	20.00
12/31/2012	AMERICAN CANCER SOCIETY	20.00
12/31/2012	ASIAN CULTURAL COUNCIL, INC.	500.00
12/31/2012	B'KLYN COMMUNITY FOUNDATION	500.00
12/31/2012	BOWDOIN COLLEGE	2,000.00
12/31/2012	BROWN UNIVERSITY	300.00
12/31/2012	CASITA MARIA, INC.	100.00
12/31/2012	CENTER FOR EFFECTIVE PHILANTHR	500.00
12/31/2012	CONGREGATION BETH ISRAEL	500.00
12/31/2012	DEMOS	500.00
12/31/2012	EMMA WILLARD SCHOOL	250.00
12/31/2012	FINCA	250.00
12/31/2012	FOOD BANK FOR NY CITY	400.00
12/31/2012	FOUNDATION FOR ADVANCEMENT OF	100.00
12/31/2012	FREINDS OF THE ARTS MUSEUM MID	100.00
12/31/2012	GBS/CID FOUNDATION INTERN'L	500.00
12/31/2012	GEORGE STREET PLAYHOUSE, INC	100.00
12/31/2012	HARVARD COLLEGE FUND	300.00
12/31/2012	HARVARD UNIVERSITY	200.00
12/31/2012	LA ESCUELITA	600.00
12/31/2012	LEUKEMIA & LYMPHOMA SOCIETY	300.00
12/31/2012	LUTHERAN MEDICAL CENTER	250.00
12/31/2012	MAYOR'S FUND ADVANCE NY CITY	500.00
12/31/2012	MUSEUM OF MODERN ART	306.00
12/31/2012	NESST	100.00
12/31/2012	NEW HAVEN COLONY HISTORICAL	100.00
12/31/2012	OPEN SPACE INSTITUTE	1,000.00
12/31/2012	PAPER MILL PLAYHOUSE	100.00
12/31/2012	PHILANTHROPY NEW YORK, INC.	500.00
12/31/2012	PHILLIPS EXTER ACADEMY	500.00
12/31/2012	PRINCETON IN ASIA	500.00

ROCKEFELLER BROTHERS FUND, INC.**13-1760106****475 Riverside Drive, Suite 900****New York, New York 10115****SCHEDULE 13****FORM 990-PF****YEAR 2012****Detail of Employee Matching Gifts**

The Rockefeller Brothers Fund makes matching grants only to U.S. publicly supported organizations.

<u>Date</u>	<u>Organization</u>	<u>Matching Gift Amount</u>
12/31/2012	REDDING LAND TRUST	225.00
12/31/2012	ROBIN HOOD FOUNDATION	1,000.00
12/31/2012	SHELBURNE MUSEUM	3,000.00
12/31/2012	ST. JOHN VILLA ACADEMY	200.00
12/31/2012	STONE BARNS CENTER FOR	250.00
12/31/2012	THE ALOHA FOUNDATION, INC.	500.00
12/31/2012	THE AMERICAN PROSPECT	500.00
12/31/2012	THE ARCHITECTURAL LEAGUE OF NY	1,000.00
12/31/2012	THE DOE FUND	250.00
12/31/2012	THE THIRTEEN	150.00
12/31/2012	THIRTEEN WNET	50.00
12/31/2012	WINROCK INTERNATIONAL	500.00
12/31/2012	YORKTOWN VOLUNTEER AMBULANCE C	25.00
		<u>57,619.00</u>

ROCKEFELLER BROTHERS FUND, INC.

13-1760108

475 Riverside Drive, Suite 900

New York, New York 10115

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FORM 990-PF
2012**INDEX OF SCHEDULES**

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

OMB No 1545-1709

► **File a separate application for each return.**

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

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

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

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

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

Part I only ☐

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

Enter filer's identifying number, see instructions

**Type or
print**File by the
due date for
filing your
return. See
instructions

Name of exempt organization or other filer, see instructions

Employer identification number (EIN) or

ROCKEFELLER BROTHERS FUND, INC.

13-1760106

Number, street, and room or suite no. If a P O box, see instructions

Social security number (SSN)

475 RIVERSIDE DRIVE, SUITE 900

City, town or post office, state, and ZIP code. For a foreign address, see instructions

NEW YORK, NY 10115

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

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

- The books are in the care of ► LEAH A. D'ANGELO

Telephone No ► 212-812-4228

FAX No ►

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

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15, 20 13, to file the exempt organization return for the organization named above. The extension is for the organization's return for.

► ☒ calendar year 20 12 or► ☐ tax year beginning , 20 , and ending , 20 .

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

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	3a \$	668,147
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b \$	1,180,229
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	3c \$	0

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

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

Form **8868** (Rev. 1-2013)

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box, ☒ **X**
- Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.
- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

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

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions		Enter filer's identifying number, see instructions	
	ROCKEFELLER BROTHERS FUND, INC.		Employer identification number (EIN) or	
	Number, street, and room or suite no. If a P.O. box, see instructions.		13-1760106	
	475 RIVERSIDE DRIVE		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 ☐ 1 ☐ 2 ☐ 3 ☐ 4

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

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

- The books are in the care of LEAH D'ANGELO
Telephone No. 212 812-4228 FAX No.
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) . If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.
- 4 I request an additional 3-month extension of time until 11/15, 20 13.
- 5 For calendar year 2012, or other tax year beginning , 20 , and ending , 20 .
- 6 If the tax year entered in line 5 is for less than 12 months, check reason ☐ Initial return ☐ Final return ☐ Change in accounting period
- 7 State in detail why you need the extension INFORMATION NECESSARY TO PREPARE A COMPLETE AND ACCURATE RETURN IS NOT YET AVAILABLE.

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a \$	668,147.
8b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	8b \$	1,180,229.
8c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c \$	0

Signature and Verification must be completed for Part II only.

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

Signature *Dorinda E. Hunt* Title PAID PREPARER Date 8/9/13
 Senior Tax Manager, KPMG LLP Form 8868 (Rev. 1-2013)