

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

**2010**

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 2010, or tax year beginning 2010, and ending 2010

G Check all that apply:  Initial return  Initial Return of a former public charity  Final return  
 Amended return  Address change  Name change

Name of foundation <b>Rockefeller Brothers Fund, Inc.</b>		A Employer identification number <b>13-1760106</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>475 Riverside Drive</b>		B Telephone number (see the instructions) <b>(212) 812-4200</b>
Room/suite <b>900</b>	State ZIP code <b>NY 10115</b>	C If exemption application is pending, check here <input type="checkbox"/>
City or town <b>New York</b>		D 1 Foreign organizations, check here <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation		D 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
<input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, column (c), line 16) ▶ \$ <b>789,378,035.</b>	J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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 the 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)	772,000.			
	2 Ck <input type="checkbox"/> if the foundn is not req to att Sch B				
	3 Interest on savings and temporary cash investments	569,050.	569,050.		
	4 Dividends and interest from securities	248.	9,747,670.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain/(loss) from sale of assets not on line 10	13,522,665.			
	b Gross sales price for all assets on line 6a	299,733,920.			
	7 Capital gain net income (from Part IV, line 2)		21,012,908.		
	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	1,136,869.	-5,101,385.			
12 Total. Add lines 1 through 11	16,000,832.	26,228,243.			
ADMINISTRATIVE EXPENSES	13 Compensation of officers, directors, trustees, etc.	1,406,652.	100,161.		1,312,491.
	14 Other employee salaries and wages	3,991,412.	22,098.		3,983,714.
	15 Pension plans, employee benefits	2,422,051.	52,566.		2,073,969.
	16a Legal fees (attach schedule) Schedule 3	376,195.	27,668.		308,974.
	b Accounting fees (attach sch) Schedule 3	156,829.	109,780.		81,924.
	c Other prof fees (attach sch) Schedule 3	4,260,739.	2,135,528.		1,395,538.
	17 Interest				
	18 Taxes (attach schedule)(see instr.) See Line 18 Stmt	864,183.			
	19 Depreciation (attach sch) and depletion	2,525,527.	32,057.		
	20 Occupancy	3,177,325.	1,169,099.		2,003,489.
	21 Travel, conferences, and meetings	889,714.	3,953.		870,723.
	22 Printing and publications	303,092.	0.		300,949.
	23 Other expenses (attach schedule) See Line 23 Stmt	883,281.	17,492.		892,517.
	24 Total operating and administrative expenses. Add lines 13 through 23	21,257,000.	3,670,402.		13,224,288.
	25 Contributions, gifts, grants paid	22,507,155.			28,066,006.
26 Total expenses and disbursements. Add lines 24 and 25	43,764,155.	3,670,402.		41,290,294.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-27,763,323.				
b Net investment income (if negative, enter -0-)		22,557,841.			
c Adjusted net income (if negative, enter -0-)					

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

<b>Type or print</b> File by the extended due date for filing your return. See instructions.	Name of exempt organization <b>ROCKEFELLER BROTHERS FUND, INC</b>	Employer identification number <b>13-1760106</b>
	Number, street, and room or suite no. If a P.O. box, see instructions. <b>475 RIVERSIDE DRIVE, SUITE 900</b>	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. <b>NEW YORK, NY 10115</b>	

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

Application Is For	Return Code	Application Is For	Return Code
Form 990	01		
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	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.

- I request an additional 3-month extension of time until **11/15**, 20**11**.
- For calendar year **2010**, or other tax year beginning \_\_\_\_\_, 20\_\_\_\_, and ending \_\_\_\_\_, 20\_\_\_\_.
- If the tax year entered in line 5 is for less than 12 months, check reason:  Initial return  Final return  Change in accounting period
- State in detail why you need the extension **INFORMATION NECESSARY TO PREPARE A COMPLETE AND ACCURATE RETURN IS NOT YET AVAILABLE.**

<b>8a</b> 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.	<b>8a</b> \$
<b>b</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 and any amount paid previously with Form 8868.	<b>8b</b> \$
<b>c</b> Balance Due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFIPS (Electronic Federal Tax Payment System). See instructions.	<b>8c</b> \$

**Signature and Verification**

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

Signature **▶**  Title **▶ AUTHORIZED AGENT** Date **▶ 8/10/11**

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

▶ **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](http://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.

<b>Type or print</b>	Name of exempt organization <b>ROCKEFELLER BROTHERS FUND, INC.</b>	Employer identification number <b>13-1760106</b>
	Number, street, and room or suite no. if a P.O. box, see instructions. <b>475 RIVERSIDE DRIVE, SUITE 900</b>	
File by the due date for filing your return. See instructions.	City, town or post office, state, and ZIP code. For a foreign address, see instructions. <b>NEW YORK, NY 10115</b>	

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

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	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 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 11, to file the exempt organization return for the organization named above. The extension is for the organization's return for:  
 ▶  calendar year 20 10 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 \$
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 \$
c Balance Due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFIPS (Electronic Federal Tax Payment System). See instructions.	3c \$

**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.

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		728,900.	2,056,170.	2,056,170.
	2	Savings and temporary cash investments		20,158,547.	31,206,276.	31,206,276.
	3	Accounts receivable	1,735,303.			
		Less: allowance for doubtful accounts	0.	1,571,675.	1,735,303.	1,735,303.
	4	Pledges receivable	13,539,872.			
		Less: allowance for doubtful accounts	0.	13,539,872.	13,539,872.	13,539,872.
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see the 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		5,114.	14,472.	14,472.
	10a	Investments – U.S. and state government obligations (attach schedule) Schedule 5		19,285,613.	14,319,063.	14,319,063.
	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) Schedule 6	0.	510,000.	510,000.	510,000.	
12	Investments – mortgage loans					
13	Investments – other (attach schedule) Schedule 7		661,959,697.	716,504,733.	716,504,733.	
14	Land, buildings, and equipment: basis	32,892,439.				
	Less: accumulated depreciation (attach schedule) Schedule 8	23,400,293.	11,503,963.	9,492,146.	9,492,146.	
15	Other assets (describe)					
16	<b>Total assets</b> (to be completed by all filers – see instructions. Also, see page 1, item f)		729,263,381.	789,378,035.	789,378,035.	
LIABILITIES	17	Accounts payable and accrued expenses		5,781,939.	7,683,774.	
	18	Grants payable		12,885,309.	7,349,377.	
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe <u>Deferred Taxes</u> )		441,941.	1,294,207.	
	23	<b>Total liabilities</b> (add lines 17 through 22)		19,109,189.	16,327,358.	
NET ASSET BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/>					
	24	Unrestricted		692,356,768.	754,441,665.	
	25	Temporarily restricted		9,902,424.	10,714,012.	
	26	Permanently restricted		7,895,000.	7,895,000.	
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>					
	27	Capital stock, trust principal, or current funds				
	28	Paid-in or capital surplus, or land, building, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
30	<b>Total net assets or fund balances</b> (see the instructions)		710,154,192.	773,050,677.		
31	<b>Total liabilities and net assets/fund balances</b> (see the instructions)		729,263,381.	789,378,035.		

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	710,154,192.
2	Enter amount from Part I, line 27a	2	-27,763,323.
3	Other increases not included in line 2 (itemize) See Other Increases Stmt	3	92,607,505.
4	Add lines 1, 2, and 3	4	774,998,374.
5	Decreases not included in line 2 (itemize) See Other Decreases Stmt	5	1,947,697.
6	<b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) – Part II, column (b), line 30	6	773,050,677.

**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)

1a 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) 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	(l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
a			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss). <span style="float:right">[ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 ]</span>	2	21,012,908.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): <span style="float:right">[ If gain, also enter in Part I, line 8, column (c) (see the instructions). If (loss), enter -0- in Part I, line 8 ]</span>	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.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (column (b) divided by column (c))
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
2006	36,930,163.	815,936,975.	0.045261
2005	33,914,557.	744,329,891.	0.045564

2 Total of line 1, column (d)	2	0.274568
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	0.054914
4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	699,305,732.
5 Multiply line 4 by line 3	5	38,401,675.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	225,578.
7 Add lines 5 and 6	7	38,627,253.
8 Enter qualifying distributions from Part XII, line 4	8	41,799,194.

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 the 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 instr.)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	225,578.
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	225,578.
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	225,578.
6 Credits/Payments:			
a 2010 estimated tax pmts and 2009 overpayment credited to 2010	6a 1,021,954.		
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d		7	1,021,954.
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	796,376.
11 Enter the amount of line 10 to be: Credited to 2011 estimated tax 796,376. 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)? <i>If the answer is 'Yes' to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>		X
c Did the foundation file Form 1120-POL for this year?		
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? <i>If 'Yes,' attach a detailed description of the activities.</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		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? <i>If 'Yes,' attach the statement required by General Instruction T.</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see the 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? <i>If 'No,' attach explanation</i>	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 2010 or the taxable year beginning in 2010 (see instructions for Part XIV)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses.</i>		X

**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 acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? .....	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>15</u>				
16	At any time during calendar year 2010, 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	Yes	No
				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
<b>1a</b> During the year did the foundation (either directly or indirectly):			
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? .....	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? .....	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? .....	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? .....	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? .....	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(6)	Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) .....	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<b>b</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 the instructions)? .....	1b	X
Organizations relying on a current notice regarding disaster assistance check here ..... <input type="checkbox"/>			
<b>c</b>	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 2010? .....	1c	X
<b>2</b> 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)):			
<b>a</b>	At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? .....	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If 'Yes,' list the years ▶ 20__ , 20__ , 20__ , 20__ .			
<b>b</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 the instructions.) .....	2b	
<b>c</b>	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20__ , 20__ , 20__ , 20__ .		
<b>3a</b>	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>b</b>	If 'Yes,' did it have excess business holdings in 2010 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 2010.) .....	3b	
<b>4a</b>	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? .....	4a	X
<b>b</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 2010? .....	4b	X

**Part VIII** Statements Regarding Activities for Which Form 4720 May Be Required (continued)

- 5a** During the year did the foundation pay or incur any amount to:
- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?  Yes  No
  - (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?  Yes  No
  - (3) Provide a grant to an individual for travel, study, or other similar purposes?  Yes  No
  - (4) Provide a grant to an organization other than a charitable, etc. organization described in section 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)?  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here
- c** If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?  Yes  No  
 If 'Yes,' attach the statement required by Regulations section 53.4945-5(d).
- 6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?  Yes  No
- b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?  Yes  No  
 If 'Yes' to 6b, file Form 8870.
- 7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?  Yes  No
- b** If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No

<b>5b</b>		X
<b>6b</b>		X
<b>7b</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		1,406,652.	339,903.	8,157.

**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
Benjamin R. Shute 475 Riverside Drive, Suite 900 New York NY 10115	Program Director 35.00	243,565.	70,420.	634.
Charles Granquist 475 Riverside Drive, Suite 900 New York NY 10115	Executive Director 35.00	212,981.	62,665.	0.
Michael F. Northrop 475 Riverside Drive, Suite 900 New York NY 10115	Program Director 35.00	193,452.	65,145.	2,181.
Taleb Salhab 475 Riverside Drive, Suite 900 New York NY 10115	Program Director 35.00	191,443.	35,757.	1,346.
Joan Sullivant-Atton 475 Riverside Drive, Suite 900 New York NY 10115	Records Administrator 35.00	178,384.	4,954.	0.

Total number of other employees paid over \$50,000  Yes  No 35



**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	1,276,638.
Investure, LLC 126 Garrett Street, Suite J Charlottesville VA 22902	Investment Management	2,036,734.
Ventucom, LLC 110 Wall Street, 11th Floor New York NY 10005	IT Services	268,765.
Patterson, Belknap, Webb & Tyler 1133 Avenue of the Americas New York NY 10036	Legal Services	345,935.
BNY Mellon Asset Servicing P.O. Box 371791 Pittsburgh PA 15251	Investment Custody	170,000.
Total number of others receiving over \$50,000 for professional services		3

**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 <u>Pocantico Historic Area</u> (See Schedule 11)	3,586,421.
2 <u>Assistance to Charitable Organizations</u> (See Schedule 11)	905,338.
3 <u>Pocantico Conference Center</u> (See Schedule 11)	359,221.
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 None	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	

BAA

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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a Average monthly fair market value of securities	1a	707,790,284.
b Average of monthly cash balances	1b	2,164,774.
c Fair market value of all other assets (see instructions)	1c	
d Total (add lines 1a, b, and c)	1d	709,955,058.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2 Acquisition indebtedness applicable to line 1 assets	2	
3 Subtract line 2 from line 1d	3	709,955,058.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	10,649,326.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	699,305,732.
6 Minimum investment return. Enter 5% of line 5	6	34,965,287.

**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	34,965,287.
2a Tax on investment income for 2010 from Part VI, line 5	2a	225,578.
b Income tax for 2010. (This does not include the tax from Part VI.)	2b	
c Add lines 2a and 2b	2c	225,578.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	34,739,709.
4 Recoveries of amounts treated as qualifying distributions	4	22,919.
5 Add lines 3 and 4	5	34,762,628.
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	34,762,628.

**Part XII Qualifying Distributions** (see instructions)

1 Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26	1a	41,290,294.
b Program-related investments — total from Part IX-B	1b	
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	508,900.
3 Amounts set aside for specific charitable projects that satisfy the:		
a Suitability test (prior IRS approval required)	3a	
b Cash distribution test (attach the required schedule)	3b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	41,799,194.
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	225,578.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	41,573,616.

**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 2009	(c) 2009	(d) 2010
1 Distributable amount for 2010 from Part XI, line 7				34,762,628.
2 Undistributed income, if any, as of the end of 2010:				
a Enter amount for 2009 only			0.	
b Total for prior years: 20__, 20__, 20__				
3 Excess distributions carryover, if any, to 2010:				
a From 2005	0.			
b From 2006	0.			
c From 2007	0.			
d From 2008	8,847,022.			
e From 2009	19,929,509.			
f Total of lines 3a through e	28,776,531.			
4 Qualifying distributions for 2010 from Part XII, line 4: \$ 41,799,194.				
a Applied to 2009, 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 2010 distributable amount				34,762,628.
e Remaining amount distributed out of corpus	7,036,566.			
5 Excess distributions carryover applied to 2010 (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	35,813,097.			
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 2009. Subtract line 4a from line 2a. Taxable amount - see instructions			0.	
f Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011				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)				
8 Excess distributions carryover from 2005 not applied on line 5 or line 7 (see instructions)		0.		
9 Excess distributions carryover to 2011. Subtract lines 7 and 8 from line 6a	35,813,097.			
10 Analysis of line 9:				
a Excess from 2006	0.			
b Excess from 2007	0.			
c Excess from 2008	8,847,022.			
d Excess from 2009	19,929,509.			
e Excess from 2010	7,036,566.			

**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 2010, enter the date of the ruling ▶

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

	Tax year	Prior 3 years			(e) Total
	(a) 2010	(b) 2009	(c) 2008	(d) 2007	
<b>2 a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
<b>b</b> 85% of line 2a					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon:					
<b>a</b> 'Assets' alternative test - enter:					
<b>(1)</b> Value of all assets					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> 'Endowment' alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
<b>c</b> 'Support' alternative test - enter:					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
<b>(3)</b> Largest amount of support from an exempt organization					
<b>(4)</b> Gross investment income					

**Part XV Supplementary Information** (Complete this part only if the organization 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 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
a Paid during the year See Schedule 13				28,066,006.
<b>Total</b> .....				<b>3a</b> 28,066,006.
b Approved for future payment See Schedule 13				7,349,377.
<b>Total</b> .....				<b>3b</b> 7,349,377.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Table with 5 main columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Rows include Program service revenue, Fees and contracts from government agencies, Membership dues and assessments, Interest on savings and temporary cash investments, Dividends and interest from securities, Net rental income or (loss) from real estate, Net rental income or (loss) from personal property, Other investment income, Gain or (loss) from sales of assets other than inventory, Net income or (loss) from special events, Gross profit or (loss) from sales of inventory, Other revenue, Income from Subleases, Subtotal, and Total.

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

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

Table with 2 columns: Line No. and Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See the instructions.)

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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

a Transfers from the reporting foundation to a noncharitable exempt organization of:

(1) Cash X
(2) Other assets X

b Other transactions:

(1) Sales of assets to a noncharitable exempt organization X
(2) Purchases of assets from a noncharitable exempt organization X
(3) Rental of facilities, equipment, or other assets X
(4) Reimbursement arrangements X
(5) Loans or loan guarantees X
(6) Performance of services or membership or fundraising solicitations X

c Sharing of facilities, equipment, mailing lists, other assets, or paid employees X

d If the answer to any of the above is 'Yes,' complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

Table with 4 columns: (a) Line no., (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions, and sharing arrangements.

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? Yes No

b If 'Yes,' complete the following schedule.

Table with 3 columns: (a) Name of organization, (b) Type of organization, (c) Description of relationship.

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

Sign Here Signature of officer or trustee: [Signature] Date: 11.15.11 Title: PRESIDENT

Paid Preparer Use Only Print/type preparer's name: Barbara E. Hunt Preparer's signature: [Signature] Date: 11/9/11 Check if self-employed: [ ] PTIN: P00916443 Firm's name: KPMG LLP Firm's address: 345 PARK AVENUE NEW YORK NY 10154-0102 Phone no.: (212) 758-9700

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

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

▶ Attach to Form 990, 990-EZ, or 990-PF

OMB No. 1545-0047

**2010**

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, aggregate 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 aggregate 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 their Form 990, or check the box on line H of its Form 990-EZ, or on 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) (2010)**



Name of organization

Employer identification number

Rockefeller Brothers Fund, Inc.

13-1760106

**Part I** Contributors (see instructions.)

(a) Number	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1		\$ 700,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
2		\$ 45,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
3		\$ 10,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
4		\$ 10,000.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.)
5		\$ 5,000.	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.)

## 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	44,246.	-6,194,008.	
Income from Subleases (See Schedule 2)	1,092,623.	1,092,623.	
<b>Total</b>	<b><u>1,136,869.</u></b>	<b><u>-5,101,385.</u></b>	

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

**Line 18 Stmt**

Taxes (see the instructions) See Line 18 Stmt	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
Property Tax	46,577.			
Tax on Investment Income	817,606.			
<b>Total</b>	<b><u>864,183.</u></b>			

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

**Line 23 Stmt**

Other expenses: See Line 23 Stmt	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
Postage	11,379.			11,379.
Messenger Services	4,103.			4,103.
Dues & Subscriptions	10,272.			0.
Misc. Office Expenses	99,648.	17,492.		119,156.
Office Supplies	162,864.			162,864.
Maintenance & Repairs	91,595.			91,595.
Telephone & Internet	98,856.			98,856.
Staff Development	57,214.			57,214.
General Insurance	218,237.			218,237.
Equipment Leases & Rentals	38,241.			38,241.
Temporary Help	23,208.			23,208.
Collections Maintenance	55,135.			55,135.
Printing & Stationary	12,529.			12,529.
<b>Total</b>	<b><u>883,281.</u></b>	<b><u>17,492.</u></b>		<b><u>892,517.</u></b>

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

**Other Increases Stmt**

See Part III, line 3 Stmt	
Unrealized Appreciation on Investments	<u>92,607,505.</u>
<b>Total</b>	<b><u>92,607,505.</u></b>

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

**Other Decreases Stmt**

See Part III, line 5 Stmt	
Net Periodic Benefit Cost	<u>1,947,697.</u>

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Form 990-PF, Page 2, Part III, Line 5  
**Other Decreases Stmt**

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Continued

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Total

1,947,697.

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Form 990-PF, Page 4, Part VII-A, Line 8a  
**States Registered In**

---

NY - New York

CA - California

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ROCKEFELLER BROTHERS FUND, INC.  
13-4760106  
475 Riverside Drive, Suite 900  
New York, New York 10115

INDEX  
FORM 990-PF  
2010

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

SCHEDULE 1  
 FORM 990-PF  
 YEAR 2010

**Schedule of Capital Gains and Losses**

**Part I, line 6a**

	Gain or (Loss)
Colchester Global Fund	\$ 23,837
Contrarian Capital	(245,144)
Convexity Capital	2,454,094
Eton Park Overseas	2,338,302
Fir Tree International	2,286
Investure Alternative Fund	(882,789)
Investure Cash Fund	94,631
Investure Emerging Markets Fund	51,737
Investure Fixed Income	647,848
Investure Global Equity Fund	9,040,882
Loss from partnerships accrued in audited financial statements	(3,019)

**Net Realized Capital Gain (Loss) (Total net capital gain)** \$ (6,224,663)

Add: Actual Net Capital Gain per limited partnerships (Schedule K-1 basis)  
 (See attached schedule) 16,358,536

Less: Gain/(loss) from Partnerships previously reflected in books,  
for which K-1 values are now reflected on Form 990PF:

Colchester Global Fund	(23,837)
Contrarian Capital	245,144
Investure Emerging Markets Fund	(51,737)
Investure Global Equity Fund	(9,040,882)
Loss from partnerships accrued in audited financial statements	3,019
	(8,868,293)

**Net Realized Capital Gain (Loss) (Total net capital gain)** \$ 7,090,000

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

Part IV

	Capital Gain	Capital Loss	Net Capital Gain/(Loss)
1818 Mezzanine	22,126		22,126
Alinda Infrastructure Fund I, LP	33,892		33,892
Ampersand 2001 Limited Partnership	108,604		108,604
Cabot Industrial Value Fund II			-
C/R UK Ethanol Holdings TE, LP			-
C/R Ontario Ethanol Holdings TE, LP			-
C/R Brazil Ethanol			-
C/R Renewable Energy Infrastructure Fund I, L.P.			-
Carlyle Riverstone TE Knight, LP			-
Carlyle Riverstone TE Partners III (Cayman), LP	8,207	(256,243)	(248,036)
Carlyle Riverstone TE Partners III, LP			-
Colchester Global Bond Fund	143,001		143,001
Contrarian Capital Fund I, LP		(143,473)	(143,473)
CSFB Strategic Partners II	335,402		335,402
CSFB Strategic Partners III	373,036		373,036
CSFB Strategic Partners III VC	254,593		254,593
Cypress Merchant Banking Partners II, LP		(1,268,392)	(1,268,392)
DLJ Strategic Partners, LP	569	(7,583)	(7,014)
Investure Emerging Mkt Fund LP	2,598,542		2,598,542
Investure Global Equity Fund LP	10,901,836		10,901,836
J.H. Whitney III		(188,113)	(188,113)
J.H. Whitney IV		(197,403)	(197,403)
Kayne Anderson Energy Fund III	42,667		42,667
Kayne Anderson Energy Fund IV		(32,122)	(32,122)
Lehman Brothers NB Co-Investment Partners - Cayman, LP	250,467		250,467
Lehman Brothers NB Co-Investment Partners, LP	110,419		110,419
Lehman Brothers NB Secondary Opportunities Fund	430,882	(10,866)	420,016
Lexington Capital Partners II, LP	128,622	(3,941)	124,681
Lexington Capital Partners IV, LP	67,172	(4,468)	62,704
Morgan Stanley Real Estate Fund V International - TE, LP		(198,828)	(198,828)
Morgan Stanley Real Estate Fund VI	1,067		1,067
Natural Gas Partners VIII		(32,841)	(32,841)
New Enterprise Associates 10		(196,772)	(196,772)
NGP Energy Technology Partners	39,324	(7,904)	31,420
Palamou European Equity 'B', LP	1,378,463		1,378,463
Private Advisors Income Fund, LP		(762,619)	(762,619)
Private Advisors Small Company Buyout Fund II, LP	635,366		635,366
Prospect Venture Partners	286,968		286,968
Silchester International			-
Siguler Guff	9,835	(11,961)	(2,126)
TCV IV		(159,768)	(159,768)
Three Arch Capital IV		(110,393)	(110,393)
Three Arch Capital, LP	114,842		114,842
Third Avenue Institutional Int'l Value Fund, LP			-
TIFF Partners I	71,052		71,052
TIFF Partners II	234,795		234,795
TIFF Partners IV	450,358		450,358
Trinity Ventures VI	6,417		6,417
Trinity Ventures VII	50,098		50,098
Trinity Ventures VIII	31,422		31,422
Weston Presidio Capital III	117,761		117,761
Weston Presidio Capital IV	96,422		96,422
Weston Presidio V, L.P.	617,999		617,999
	19,952,226	(3,593,690)	16,358,536

ROCKEFELLER BROTHERS FUND, INC.

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

SCHEDULE 2

FORM 990-PF

YEAR 2010

Schedule of Other Income/(Loss) \*

Part I, line 11

Miscellaneous Investment Income	44,246
Income from Subleases	1,092,623

Total line 11, col. (a) \$1,136,869

Add: Other Income/(Loss) per Limited Partnerships K-1s (See attached schedule)	(6,238,254)
---	-------------

Total line 11, col. (b) (\$5,101,385)



## ROCKEFELLER BROTHERS FUND, INC.

13-1760106  
 475 Riverside Drive, Suite 900  
 New York, New York 10115

SCHEDULE J  
 FORM 990-PF  
 YEAR 2010

## Schedule of Other Income/(Loss)

Part I, line 11, col. (b)

	Other Income/(Loss)	Deductions Related to Portfolio Income	Net Other Income/(Loss)
<b>Net Income/(Loss) received from the following Partnerships: *</b>			
1818 Mezzanine		(6,762)	(6,762)
Alinda Infrastructure Fund I, LP	(34,452)	(231,080)	(265,532)
Ampersand 2001 Limited Partnership		(63,774)	(63,774)
Cabot Industrial Value Fund II		(955)	(955)
C/R UK Ethanol Holdings TE, LP	(5,413)		(5,413)
C/R Brazil Ethanol			-
C/R Renewable Energy Infrastructure Fund I, L.P.	138,844	(147,031)	(8,187)
Carlyle Riverstone TE Knight, LP	(1)		(1)
Carlyle Riverstone TE Partners III (Cayman), LP			-
Carlyle Riverstone TE Partners III, LP		(187,884)	(187,884)
Colchester Global Bond Fund	(89,588)	(154)	(89,742)
Contrarian Capital Fund I, LP	(11,081)		(11,081)
CSFB Strategic Partners II	(3,251)	(44,154)	(47,405)
CSFB Strategic Partners III	9,251	(142,073)	(132,822)
CSFB Strategic Partners III VC	5,327	(151,110)	(145,783)
Cypress Merchant B Partners II (Cayman) LP		(61)	(61)
Cypress Merchant Banking Partners II, LP		(14,109)	(14,109)
DLJ Strategic Partners, LP	5,168	(21,858)	(16,690)
Investure Emerging Mkt Fund LP	(21,853)	(523,286)	(545,139)
Investure Global Equity Fund LP	(236,397)	(1,904,602)	(2,140,999)
J.H. Whitney III		(726)	(726)
J.H. Whitney IV	41	(2,722)	(2,681)
Kayne Anderson Energy Fund III	11,744	(267,936)	(256,192)
Kayne Anderson Energy Fund IV	89,142	(524,040)	(434,898)
Lehman Brothers NB Co-Investment Partners - Cayman, LP	(195)	(17,899)	(18,094)
Lehman Brothers NB Co-Investment Partners, LP	1,283	(102,235)	(100,952)
Lehman Brothers NB Secondary Opportunities Fund	3,559	(191,151)	(187,592)
Lexington Capital Partners II, LP	9,712	(10,782)	(1,070)
Lexington Capital Partners IV, LP	3,763	(36,767)	(33,004)
Morgan Stanley Real Estate Fund V International - TE, LP	78,365	(40,009)	38,356
Morgan Stanley Real Estate Fund VI	144,432	(10,652)	133,780
Natural Gas Partners VIII	96,864	(90,588)	6,276
New Enterprise Associates 10	(1)	(31,230)	(31,231)
NGP Energy Technology Partners		(13,297)	(13,297)
Palamon European Equity 'B', LP	5,209	(99,872)	(94,663)
Pernira IV LP I		(169,326)	(169,326)
Private Advisors Income Fund, LP	(52,398)	(184,857)	(237,255)
Private Advisors Small Company Buyout Fund II, LP	85,893	(262,625)	(176,732)
Prospect Venture Partners		(39,185)	(39,185)
Siguler Guff	447	(441,758)	(441,311)
TCV IV		(20,277)	(20,277)
Three Arch Capital IV		(118,192)	(118,192)
Three Arch Capital, LP		(72,664)	(72,664)
TIFF Partners I	(557)	(7,902)	(8,459)
TIFF Partners II	2,917	(17,785)	(14,868)
TIFF Partners IV	(477)	(82,248)	(82,725)
Trinity Ventures VI		(846)	(846)
Trinity Ventures VII		(1,347)	(1,347)
Trinity Ventures VIII		(24,717)	(24,717)
Weston Presidio Capital III		(4,182)	(4,182)
Weston Presidio Capital IV		(55,835)	(55,835)
Weston Presidio V, L.P.		(92,006)	(92,006)
	<b>\$ 236,297</b>	<b>\$ (6,474,551)</b>	

Other Income/(Loss) from Limited Partnerships

**(6,238,254)**

\* 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 2010

**SCHEDULE OF EXPENDITURES**

**Part I. line 16(a,b,c)**

<u>Legal Fees (Patterson, Belknap, Webb &amp; Tyler):</u>	\$	345,935
<u>Legal Fees (Fuller &amp; Fuller LLP):</u>		5,160
<u>Legal Fees (Vladeck, Waldman):</u>		10,000
<u>Legal Fees (Decheri):</u>		14,206
<u>Legal Fees (Kuitim Kerveshi):</u>		894

**Total line 16a** \$ 376,195

**Accounting Fees (KPMG LLP):**

**Total line 16b** \$ 166,829

**Other Professional Fees:**

Investment Management Fees	\$2,296,170
Custody Fees	170,000
Consultants' Fees	338,096
Facilities Maintenance	<u>1,456,473</u>

**Total line 16c** \$ 4,260,739



ROCKEFELLER BROTHERS FUND, INC.  
13-1760106  
475 Riverside Drive, Suite 500  
New York, New York 10016

SCHEDULE 6  
FORM 990-PF  
YEAR 2010

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	\$ 14,319,063	\$ -	\$ -
Totals	<u>\$ 14,319,063</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 2010

Investments-Land, Buildings, Equipment

Part 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

Schedule of Investments-Other

Part II, line 13, col. (b)

Description:	End Of Year	
	Book Value	Fair Market Value
INVESTURE FIXED INCOME FUND	\$ 194,395	\$ 194,395
INVESTURE EMERGING MARKETS	42,472,099	42,472,099
COLCHESTER GLOBAL BOND	13,913,742	13,913,742
CONTRARIAN	912,944	912,944
CONVEXITY OFFSHORE	21,967,402	21,967,402
ETON PARK OVERSEAS FUND	16,273,692	16,273,692
FIR TREE INT'L FUND I	28,374,553	28,374,553
FIR TREE INT'L FUND II	11,174,760	11,174,760
INVESTURE ALTERNATIVE FUND	105,341,953	105,341,953
INVESTURE GLOBAL EQUITY FUND	166,443,888	166,443,888
IGEF - MARKETABLE	8,159,204	8,159,204
IGEF - SUSTAINABILITY	14,591,005	14,591,005
OSS CAPITAL MANAGEMENT	584,472	584,472
PRIVATE ADVISORS INCOME FUND	7,486,320	7,486,320
Alluda Infrastructure I	8,459,626	8,459,626
Ampersand 2001	6,840,707	6,840,707
Cabot Industrial Value Fund II	6,504,733	6,504,733
CSFB Strategic Partners II	862,785	862,785
CSFB Strategic Partners III	9,526,566	9,526,566
CSFB Strategic Partners III VC	3,455,224	3,455,224
Cypress Merchant Banking II	1,827,908	1,827,908
DLJ Strategic Partners I	790,931	790,931
Europa II	2,626,888	2,626,888
Investure Evergreen Fund, LP	116,443,279	116,443,279
JMB IV	15,808	15,808
KA Energy Fund III & IV	6,288,476	6,288,476
Lexington Partners II	978,984	978,984
Lexington Partners IV	2,014,904	2,014,904
Morgan Stanley RE Fund V & VI	5,892,276	5,892,276
NB Co-Investment Partners LP	6,749,547	6,749,547
NB Secondary Opportunities Fund LP	6,524,995	6,524,995
NEA 10	1,892,663	1,892,663
NGP ETP	637,652	637,652
NGP VIII	6,746,607	6,746,607
Orton European Real Estate II	1,312,677	1,312,677
OSS Capital Management	19,400	19,400
Palamon European Equity	6,392,644	6,392,644
Private Advisors Small Company Buyout Fund II, LP	8,824,652	8,824,652
Prospect II	927,195	927,195
Riverstone/Cortlye Global Energy III	25,829,411	25,829,411
Riverstone/Cortlye Renewable I	6,213,354	6,213,354
Siguler Guff Small Buyout Opportunities Fund LP	10,488,736	10,488,736
TCV IV	3,082,620	3,082,620
Three Arch Capital Limited Partnership	3,102,272	3,102,272
Three Arch Partners IV Limited Partnership	2,360,682	2,360,682
TIFF Partners I, LLC	93,653	93,653
TIFF Partners II, LLC	395,650	395,650
TIFF Partners IV, LLC	4,204,188	4,204,188
Trinity VI	23,272	23,272

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

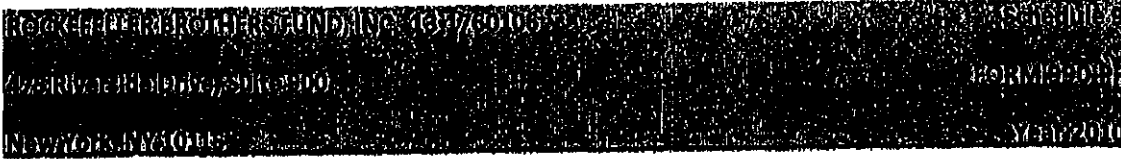
SCHEDULE B  
FORM 990-PF  
YEAR 2010

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	\$2,154,055	\$1,359,730	\$794,325
Computer Equipment & Software	1,839,765	1,751,885	87,880
Fine Art	4,780	0	4,780
Leasehold Improvements	<u>28,893,839</u>	<u>20,288,678</u>	<u>8,605,161</u>
	<u>\$32,892,439</u>	<u>\$23,400,293</u>	

Total line 14 \$9,492,146



**PART VII-B. line 5 c**

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. **Name and Address of Recipient:**  
CENTER FOR RESEARCH, DOCUMENTATION AND PUBLICATION  
Str. Abdyl Frasheri 38  
Prishtina 10000  
Kosovo
2. **Date and Amount of Grant:**  
6/30/2010      \$58,000
3. **Purpose of Grant:**  
For general support.
4. **Amount Expended by Grantee:**  
\$48,672.68. Grantor received from Grantee narrative and financial reports certifying that \$48,672.68 was expended for the purpose for which it was made. A report on the balance of \$9,327.32 will be due in 2012.
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 9/8/2011, Grantor received from Grantee narrative and financial reports certifying that \$48,672.68 of the grant was expended for the purpose for which it was made. A report on the balance of \$9,327.32 will be due in 2012.
7. **Dates and Results of the Verification of Grantee's Report(s):**  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
THE CENTURY FOUNDATION, INC.  
41 East 70th Street  
New York, NY 10021
2. Date and Amount of Grant:  
12/8/2010    \$100,000
3. Purpose of Grant:  
For its Khyber connection 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 8/30/2011, 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 - 2010**

1. Name and Address of Recipient:  
CHENGDU ROOTS AND SHOOTS ENVIRONMENTAL CULTURE EXCHANGE  
CENTRE  
2-1-401 Dongheng Guoji, 108, 1st Ring East  
Fifth Section, Jinjiang District  
Chengdu  
China
2. Date and Amount of Grant:  
11/24/2009 \$20,000
3. Purpose of Grant:  
For its Sichuan Earthquake Community Environmental Health School Action Program.
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 3/29/2011, 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 - 2010**

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:  
7/16/2009    \$8,500
3. Purpose of Grant:  
For its research project, Health in South China.
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 9/13/2011, 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 - 2010**

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:  
6/30/2010 \$60,000
3. Purpose of Grant:  
To support its Web-based work focusing on energy and climate; and environment and health.
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 8/19/2011, 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 - 2010**

1. Name and Address of Recipient:  
ENCOMPASS - CENTRE FOR SOCIAL AND PSYCHOLOGICAL STUDIES AND SERVICES  
Gazmend Zajmi Str. ½, Apt. 18  
Prishtina 10060  
Kosovo
2. Date and Amount of Grant:  
12/1/2010     \$50,000
3. Purpose of Grant:  
For its project, ATOMI.
4. Amount Expended by Grantee:  
\$0. Grantor received from Grantee narrative and financial reports certifying that, because of unforeseen delays, none of the grant was expended in 2010 for the purpose for which it was made. The project began in 2011, and a report on the balance will be due in 2012.
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 9/2/2011, Grantor received from Grantee narrative and financial reports certifying that, because of unforeseen delays, none of the grant was expended in 2010 for the purpose for which it was made. The project began in 2011, and a report on the balance will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
FOOTSTEPS  
23 Acacia Road  
Glenwood  
Durban 4001  
South Africa
2. Date and Amount of Grant:  
4/2/2009      \$60,000
3. Purpose of Grant:  
To provide organizational development support to the Fund's grantees in the KwaZulu-Natal province as the Fund phases out its current work in South Africa.
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 9/14/2011, 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 - 2010**

1. Name and Address of Recipient:  
FOREIGN POLICY CLUB  
Bregi i Diellit Rr. 2  
Hy. 6/2  
Prishtina 10000  
Kosovo
2. Date and Amount of Grant:  
4/30/2009    \$25,000  
7/15/2010    \$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 9/19/2011, 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 - 2010**

1. Name and Address of Recipient:  
FREEDOM HOUSE EUROPE PUBLIC SERVICE AND DEMOCRACY  
DEVELOPMENT PUBLIC BENEFIT COMPANY  
Falk Miksa u. 30 4/2  
Budapest H-1055  
Hungary
2. Date and Amount of Grant:  
11/20/2007 \$25,000
3. Purpose of Grant:  
For a Kosovo-Serbia European Standards project.
4. Amount Expended by Grantee:  
\$23,572. Grantor received from Grantee narrative and expenditure reports certifying that \$23,572 was expended for the purpose for which it was made. The unexpended balance of \$1,428 was returned to the Fund on 10/18/2011.
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 6/17/2010, Grantor received from Grantee narrative and expenditure reports certifying that \$23,572 was expended for the purpose for which it was made. The unexpended balance of \$1,428 was returned to the Fund on 10/18/2011.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

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:  
5/20/2010     \$50,000
3. Purpose of Grant:  
For program support for its institutional, operational, and program development.
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 9/20/2011, 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 - 2010**

1. Name and Address of Recipient:  
GREEN NETWORK OF VOJVODINA  
Heroja Pinkija 32  
Vojvodina  
Novi Sad 21000  
Serbia
  
2. Date and Amount of Grant:  
2/4/2010     \$35,000  
5/27/2010    \$35,000
  
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 4/1/2011, 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 - 2010**

1. Name and Address of Recipient:  
GUANGZHOU GREEN POINT ENVIRONMENTAL PROTECTION INFORMATION  
CENTER  
Room 202, #55 Zhoumen Bei Road  
Guangzhou 510000  
China
2. Date and Amount of Grant:  
9/30/2010      \$35,000
3. Purpose of Grant:  
To support its Youth Environmental Leadership 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 8/31/2011, 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 - 2010**

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:  
12/22/2009 \$60,000
3. Purpose of Grant:  
For the Youth Social Entrepreneurship program.
4. Amount Expended by Grantee:  
\$34,948. Grantor received from Grantee narrative and financial reports certifying that \$34,948 of the grant was expended through 2/28/2011 for the purpose for which it was made. A report on the balance of \$25,052 will be due in 2012.
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 9/15/2011, Grantor received from Grantee narrative and financial reports certifying that \$34,948 of the grant was expended through 2/28/2011 for the purpose for which it was made. A report on the balance of \$25,052 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

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:  
12/1/2010. \$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:  
\$28,626. Grantor received from Grantee narrative and financial reports certifying that \$28,626 of the grant was expended through 2/28/2011 for the purpose for which it was made. A report on the balance of \$50,626 will be due in 2012.
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 9/15/2011, Grantor received from Grantee narrative and financial reports certifying that \$28,626 of the grant was expended through 2/28/2011 for the purpose for which it was made. A report on the balance of \$50,626 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
INITIATIVE FOR KOSOVA COMMUNITY  
Gjon Serreçi n.n.  
Ferizaj 70000  
Kosovo
2. Date and Amount of Grant:  
12/6/2010    \$30,000
3. Purpose of Grant:  
For its project to replace environmentally damaging economic activities with sustainable development activities.
4. Amount Expended by Grantee:  
\$8,089.19. Grantor received from Grantee narrative and financial reports certifying that \$8,089.19 of the grant was expended for the purpose for which it was made. A report on the balance of \$21,910.81 will be due in 2012.
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 9/12/2011, Grantor received from Grantee narrative and expenditure reports certifying that \$8,089.19 of the grant was expended for the purpose for which it was made. A report on the balance of \$21,910.81 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
INSTITUTE OF PUBLIC AND ENVIRONMENTAL AFFAIRS  
601 Room, 3 Danyuan, 9 Haolou  
Xin Fun Jian Yuan  
Guang Qu Men Nei Street  
Beijing  
China
2. Date and Amount of Grant:  
12/17/2009 \$15,000
3. Purpose of Grant:  
To support its role in the Air Quality Information Disclosure 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 9/19/2011, 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 - 2010**

1. Name and Address of Recipient:  
INSTITUTE FOR STABILITY AND DEVELOPMENT, O.P.S.  
Lucembarska 3  
Prague 3 13000  
Czech Republic
2. Date and Amount of Grant:  
7/6/2009     \$50,000  
4/29/2010     \$50,000
3. Purpose of Grant:  
For its cross-border cooperation program.
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 9/10/2011 and 9/12/2011, 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 - 2010**

1. Name and Address of Recipient:  
INVESTOR WATCH  
286 Sandycombe Road  
Kew Gardens  
Surrey TW9 3NG  
United Kingdom
2. Date and Amount of Grant:  
7/22/2010    \$90,000
3. Purpose of Grant:  
For its Investor Disclosure Project's analytic work on energy-related initial public offerings.
4. Amount Expended by Grantee:  
\$10,040. Grantor received from Grantee narrative and financial reports certifying that \$10,040 was expended for the purpose for which it was made. A report on the balance of \$79,960 will be due in 2012.
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 2/23/2011, Grantor received from Grantee narrative and financial reports certifying that \$10,040 was expended for the purpose for which it was made. A report on the balance of \$79,960 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
JOY IN ACTION  
1602 C4, No. 489  
Jiixin Garden, Xingangzhong Road  
Haizhu District  
Guangzhou 510310  
China
2. Date and Amount of Grant:  
11/12/2009    \$30,000  
12/1/2010    \$30,000
3. Purpose of Grant:  
For general support.
4. Amount Expended by Grantee:  
\$41,605. Grantor received from Grantee narrative and financial reports certifying that \$41,605 of the grant was expended for the purpose for which it was made. A report on the balance of \$18,395 will be due in 2012.
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 11/22/2010 and 9/15/2011, Grantor received from Grantee narrative and financial reports certifying that \$41,605 of the grant was expended for the purpose for which it was made. A report on the balance of \$18,395 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
KOSOVO LAW INSTITUTE  
Rr. Gjon Kastrioti p.n.  
Prishtina 10000  
Kosovo
2. Date and Amount of Grant:  
12/6/2010 \$30,000
3. Purpose of Grant:  
For its project to strengthen judicial sector accountability in Kosovo.
4. Amount Expended by Grantee:  
\$8,883.47. Grantor received from Grantee narrative and financial reports certifying that \$8,883.47 of the grant was expended for the purpose for which it was made. A report on the balance of \$21,116.53 will be due in 2012.
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 9/20/2011, Grantor received from Grantee narrative and financial reports certifying that \$8,883.47 of the grant was expended for the purpose for which it was made. A report on the balance of \$21,116.53 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. **Name and Address of Recipient:**  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. **Date and Amount of Grant:**  
11/25/08      \$64,000
3. **Purpose of Grant:**  
For the activities of the Program for Asian Projects during 2007 and 2008.
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 9/15/11, 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 - 2010**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
12/22/09      \$57,996  
12/20/10      \$2,004
3. Purpose of Grant:  
To support the documentation and dissemination of information about the recipients of the Ramon Magsaysay Awards.
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 9/15/11, 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 - 2010**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
8/19/10      \$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 will be due in 2012.
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 and 9/15/2011, Grantor received from Grantee narrative and financial reports certifying that \$135,000 was expended for the purpose for which it was made. A report on the balance of \$15,000 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
12/20/2010 \$7,677
3. Purpose of Grant:  
To support the documentation and dissemination of information about the recipients of the 2010 Ramon Magsaysay Awards.
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 9/15/2010, 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 - 2010**

1. Name and Address of Recipient:  
MEDIA CENTAR NIS  
Obrenoviceva 38  
Nis 18000  
Serbia
2. Date and Amount of Grant:  
12/18/2006 \$30,000
3. Purpose of Grant:  
For a project to produce a weekly video newsletter publicizing the efforts and achievements of local NGOs in southeast Serbia.
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 9/3/2011, 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 - 2010**

1. Name and Address of Recipient:  
MEDIA AND REFORM CENTRE NIS  
Obrenoviceva 38  
Nis 18000  
Serbia
2. Date and Amount of Grant:  
8/24/2006 \$65,000
3. Purpose of Grant:  
For its project, Promoting a Dialogue.
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 10/26/2010, 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 - 2010**

1. Name and Address of Recipient:  
PRINCESS TRUST  
#25 Private Bag X9  
Melville  
Johannesburg 2109  
South Africa
2. Date and Amount of Grant:  
12/20/2006 \$50,000
3. Purpose of Grant:  
To support grantees in the Gauteng and Mpumalanga provinces.
4. Amount Expended by Grantee:  
The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the Grantee's report but was unsuccessful. The Fund will not make additional grants to the Grantee or its principals unless the report is received. To our knowledge, the Grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
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 - 2010**

1. Name and Address of Recipient:  
PROTEUS DEVELOPMENT RESOURCES  
5 Rose Way  
Constantia 7806  
South Africa
2. Date and Amount of Grant:  
5/14/2009     \$60,000
3. Purpose of Grant:  
To provide organizational development support to grantees of the Fund in the Western and Eastern Cape provinces.
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 9/7/2011, 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 - 2010**

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:  
12/1/2010 \$50,000
3. Purpose of Grant:  
For general support.
4. Amount Expended by Grantee:  
\$0. Grantor received from Grantee narrative and financial reports certifying that none of the grant was expended through 12/31/2010 for the purpose for which it was made. A report on the balance will be due in 2012.
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 4/13/2011, Grantor received from Grantee narrative and expenditure reports certifying that none of the grant was expended through 12/31/2010 for the purpose for which it was made. A report on the balance will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
SOCIETY FOR HARMONIOUS DEVELOPMENT  
B2, 335 Castle Peak Road  
Ding Kau  
Hong Kong  
China
2. Date and Amount of Grant:  
8/14/2008 \$35,000
3. Purpose of Grant:  
For its Youth Leadership Training 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 1/31/2011, 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 - 2010**

1. Name and Address of Recipient:  
SOCIETY FOR HARMONIOUS DEVELOPMENT  
B2, 335 Castle Peak Road  
Ding Kau  
Hong Kong  
China
2. Date and Amount of Grant:  
12/21/2010 \$35,000
3. Purpose of Grant:  
For its youth engagement project in Guangzhou.
4. Amount Expended by Grantee:  
\$12,449. Grantor received from Grantee narrative and financial reports certifying that \$12,449 was expended for the purpose for which it was made. A report on the balance of \$22,551 will be due in 2012.
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 8/29/2011, Grantor received from Grantee narrative and expenditure reports certifying that \$12,449 was expended for the purpose for which it was made. A report on the balance of \$22,551 will be due in 2012.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2010**

1. Name and Address of Recipient:  
STONE BARNS RESTORATION CORP  
630 Bedford Road  
Pocantico Hills, NY 10591
2. Date and Amount of Grant:  
8/19/2010    \$25,000
3. Purpose of Grant:  
For the first phase of its New York City Regional Foodshed Analysis 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 9/15/2011, 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 - 2010**

1. Name and Address of Recipient:  
WHAT IS MISSING FOUNDATION  
112 Prince Street  
New York, NY 10012
2. Date and Amount of Grant:  
2/25/2010    \$25,000
3. Purpose of Grant:  
For the What is Missing? memorial in its offset program and partnership with the Clinton Global Initiative to raise awareness on deforestation and its contribution to global warming.
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 9/13/2011, 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 - 2010**

1. Name and Address of Recipient:  
WHAT IS MISSING FOUNDATION  
112 Prince Street  
New York, NY 10012
2. Date and Amount of Grant:  
12/6/2010     \$25,000
3. Purpose of Grant:  
To support the development of core media content.
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 9/13/2011, 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.

Compensation of Officers, Directors, and Trustees

**Part VIII. (I)**

<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>
Steven C. Rockefeller c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(1) 1 hr.	- 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	(1) 1 hr.	- 0 -	None	None
William H. Luers c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Advisory Trustee	(3) 1 hr.	- 0 -	None	None
Robert B. Oxnam c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Advisory Trustee	(1) 1 hr.	- 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) 1 hr.	- 0 -	None	None
Jonathan F. Fanton c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Advisory Trustee	1 hr.	- 0 -	None	None
James E. Moltz c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	1,000	None	None

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>
R. Nicholas Burns c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(1) 1 hr.	- 0 -	None	None
Valerie Rockefeller Wayne c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee, Vice-Chair	1 hr.	- 0 -	None	None
James Gustave Speth c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	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	(1) 1 hr.	- 0 -	None	None
Miranda M. Kaiser c/o Rockefeller Brother Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	- 0 -	None	None
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.	2,000	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	1 hr.	- 0 -	None	None

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
Arlene Shuler c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	1 hr.	- 0 -	None	None
Marsha Simms c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(4) 1 hr.	- 0 -	None	None
Kavita Ramdas c/o Rockefeller Brothers Fund 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee	(5) 1 hr.	- 0 -	None	None
Stephen B. Heintz 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Trustee, President	40 hrs.	500,000	74,287	2,313
Nancy L. Muirhead 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Corporate Secretary	40 hrs.	183,563	63,158	1,560
Elizabeth C. Campbell 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Vice President For Programs	40 hrs.	295,362	65,539	1,370
Leah A. D'Angelo 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Comptroller	(6) 23 hrs.	83,658	40,529	748
Andrea Gray 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Assistant Comptroller	(6) 40 hrs.	91,017	24,012	605
Geraldine F. Watson 475 Riverside Drive, Suite 900 New York, N.Y. 10115	Vice President, Finance and Operations	40 hrs.	250,052	72,378	1,561
			<u>\$ 1,406,652</u>	<u>\$ 339,903</u>	<u>\$ 8,157</u>

(1) Re-elected June 16, 2010

(2) Not used

(3) Until June 16, 2010

(4) Effective March 10, 2010

(5) Effective November 17, 2010

(6) Compensation shown is for the entire reporting year. Mr. D'Angelo and Ms. Gray served as Comptroller and Assistant Comptroller, respectively, through 3/31/2010, and as Co-Treasurers for Finance and Operations.

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Summary of Direct Charitable Activities

PART IX-A

Line 1 Pocantico Historic Area

In 1991, the Rockefeller Brothers Fund entered into an agreement with the National Trust for Historic Preservation in the United States under which the Fund is responsible for the renovation, maintenance, and operation of this historic site which is to be used both for a program of public visitation and for a philanthropic program. In 2010, the public visitation program, organized by Historic Hudson Valley, hosted 33,560 visitors. In its capacity as steward of the Pocantico Historic Area, in 2010 the Rockefeller Brothers Fund continued its efforts to preserve and conserve the collections and buildings in its care.

Amount: \$3,586,421

Line 2 Assistance to Charitable Organizations:

During 2010, 16 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 68 charitable organizations' boards, public commissions, or task forces.

Amount: \$905,338

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 purpose of the Pocantico Conference Center is to provide a setting where nonprofit organizations and public sector institutions can bring together people of diverse backgrounds and perspectives to engage in discussions of critical issues related to the Fund's philanthropic program, leading to new levels of understanding and creative resolution of problems. In 2010, 63 conferences and 12 public programs were hosted at the Conference Center. Pocantico Conferences, usually multi-day events, are designed by RBF staff, grantees and/or outside groups whose objectives are consistent with the program interests of the Fund.

Amount: \$359,221

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PART XV, Line 2a

Grant Inquiries are accepted throughout the year at [www.rbf.org](http://www.rbf.org). The online Grant Inquiry (also known as a letter of 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.

Fund staff are highly engaged in the fields in which the RBF provides support, enabling them to identify organizations that are well-positioned to meet the Fund's programmatic goals. While the Fund remains open to unsolicited requests, applicants should be aware that, owing to the RBF's proactive grantmaking approach, the likelihood of an unsolicited request becoming a grant is quite low.

Applications for funding are considered throughout the year for most programs, except:

- **Pivotal Place: New York City** – Preliminary applications for the Charles E. Culpeper Arts & Culture Grants are generally accepted September 30—December 1. Application deadlines may be found at [www.rbf.org](http://www.rbf.org).

The online grant inquiry is the recommended starting point for requesting a grant from the RBF. Staff reviews each inquiry for fit within current program guidelines, funding priorities, and budget constraints. The review process may take up to 90 days from the time the inquiry is received.

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. Details on what to include in the proposal can be found in Grant Forms and Tools.

If a proposal is being considered for a grant, it will be reviewed by the program staff recommending the grant as well as by an internal review team for programmatic fit, organizational capacity, and legal and anti-terrorism compliance.

Prospective grantees in the United States must either be a tax-exempt or seeking support for a project that would qualify as educational or charitable. Foreign organizations must satisfy an RBF determination that they would qualify, if incorporated in the United States, as tax-exempt or that the project for which support is sought would qualify in the United States as educational or charitable.

While the approval process is generally completed within three months, the exact timeline may vary. The majority of grants are approved by the Fund's board of trustees, which meets three times a year (March, June, and November). A limited number of grants may be approved by the Fund's president between meetings. RBF staff will advise an applicant as to how and when a proposal is being reviewed for funding.

Once a grant is approved, grantees will receive an award 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.

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RBF staff monitor grants throughout their life cycle and evaluate them at their conclusion. Each grantee is required to submit financial and narrative reports at specified intervals during the grant as well as at its conclusion. Grant reports and evaluations 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.

#### ***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

#### ***Submission Process***

Full proposals are accepted online. Only one submission per organization is permitted. Applicants will receive e-mail confirmation of their application's receipt.

#### ***Online Application***

The Charles E. Culpeper Arts & Culture Grants application will be available and accepted online Grants are generally accepted September 30—December 1. Application deadlines may be found at [www.rbf.org](http://www.rbf.org).

#### ***Tips for Successful Applications***

Requests for one-year Building Capacity in Arts and Cultural Organizations grants should outline discrete, time-bound projects that contribute to the overall efficiency of the organization. Requests should describe how the project will help the organization more effectively pursue its mission and overall work. Past grants have enabled organizations to increase earned income revenue by implementing new technology and launch individual donor fundraising campaigns. Building Capacity in Arts and Cultural Organizations grants are non-renewable, one-year grants.

Supporting the Creative Process grants support residencies, fellowships, commissioning, and other programs that help individual artists create new work and further their artistic careers. Creative process grants are targeted toward programs that benefit New York City artists, emerging artists, and artists of color. Supporting the Creative Process grants are non-renewable, one-year grants. Requests for support should describe how the project will directly support the production of new work by individual artists.

Please see the Grants Search for examples of past grants. Given the volume of the applications that are submitted for this program, not all worthy organizations and projects can be funded.

#### ***Contact Information***

For questions about proposal submissions for the Charles E. Culpeper Arts & Culture Grants, please

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contact Doreen Wang at [dwang@rbf.org](mailto:dwang@rbf.org).  
**PART XV, Line 2d**

To qualify for a grant from the Rockefeller Brothers Fund, as from most other foundations, a prospective grantee in the United States must be either a tax-exempt organization or an organization seeking support for a project that would qualify as educational or charitable. A prospective foreign grantee must satisfy an RBF determination that it would qualify, if incorporated in the United States, as a tax-exempt organization or that the project for which support is sought would qualify in the United States as educational or charitable. A grantee must also be engaged in work that fits within the Fund's guidelines.

***General Restrictions:***

Regrettably, the RBF is able to support only a fraction of the great number of worthwhile inquiries it receives. We favor a flexible approach to grantmaking; however, we do not make grants that support individuals, biomedical research, or scholarships. Furthermore we only support conferences, symposia, publications, and documentaries that are integral to or an outgrowth of one of the Fund's programs.

***Geographic Restrictions:***

The United States and three pivotal places—New York City, Southern China, and the Western Balkans—are the primary geographic grantmaking focus.

**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; Sustainable Development; and Peacebuilding. 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.



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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](http://www.rbf.org) for specific guidance on the application process.

## **RBF PROGRAMS**

### **DEMOCRATIC PRACTICE PROGRAM GUIDELINES**

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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.

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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

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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.

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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,

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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-

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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 in 2011).

*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

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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 green economy that produces high quality jobs in New York City.

**Strategies:**

- Supporting citywide advocacy efforts that advance brownfield reclamation and waterfront revitalization and promote civic engagement in vital, green, and sustainable communities.
- Advancing energy efficiency and innovative affordable green buildings, particularly in affordable housing.

**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

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and cultural institutions, and promote the pursuit of the creative life.

The standard RBF letter of inquiry process does not apply for these grants. Full proposals are generally accepted September 30 – December 1. Applications may be submitted online.

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.
- Awarding grants for innovative, team-based, institutional leadership conferences designed to strengthen long-range organizational management and governance. Grants cover the costs of one or two-day conferences at the Fund's Pocantico Center, including the participation of professional consultants, advisors, or facilitators.

**PIVOTAL PLACE: SOUTHERN CHINA PROGRAM GUIDELINES**

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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. 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 25 years, progress which includes, among many achievements, the elevation of over 400 million people out of extreme poverty and the growth of China's economy into the second largest in the world.



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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. The Chinese government and people have been responding vigorously to these complex challenges. The RBF's grantmaking seeks to assist these efforts, supporting work that advances one of its central programmatic interests: sustainable development.

Within this programmatic interest, the Fund has defined three areas of initial focus. These include addressing the links between the environment and human health; advancing sustainable approaches to meeting the region's energy needs; and strengthening community leadership in support of 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: Promoting Healthy, Sustainable Communities by Addressing the Links between the Environment and Human Health**

The health of ecological systems and human health are inextricably connected. The Fund seeks to work at the intersection of these two fields by supporting integrated, multidisciplinary approaches for improving the environment and public health.

**Strategies:**

- Increasing policymaker and citizen understanding of the relationship between the environment and human health by facilitating innovative research, information sharing, and public education.
- Strengthening the capacity of all sectors—government, business, academic institutions, and civil society—to respond to environmental threats to human health.

**Goal: Addressing Global Warming by Advancing Ecologically, Economically, and Socially Sustainable Approaches to Energy Conservation and Clean Energy Production in China**

**Strategies:**

- Support 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.
- Build understanding and facilitate 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**

A strong civic sector can play a vital role in advancing sustainable development, particularly at the local level. The RBF will support a limited number of projects designed to strengthen community leadership.

**Strategies:**

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- Nurturing indigenous philanthropy.
- Strengthening institutional capacity in the civic sector, including the development of creative models for engaging youth.
- Supporting initiatives that actively engage communities in integrating traditional wisdom and culture with their sustainable development goals.

### **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
- 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:**

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- **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**

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1Sky Education Fund 6930 Carroll Avenue Suite 1000 Takoma Park, MD 20912 <i>For general support.</i>	2	\$250,000	\$0	\$0	\$250,000	\$0
2030, Inc. 607 Cerrillos Road Santa Fe, NM 87505 <i>For general support.</i>	2	\$350,000	\$0	\$0	\$225,000	\$125,000
35 mm Jola Piletica 9/36 Podgorica, 81000 Montenegro <i>For its work monitoring public services and its investigative reporting program.</i>	7	\$0	\$120,000	\$0	\$60,000	\$60,000
Abraham Path Initiative, Inc. Harvard Law School 513 Pound Hall 1563 Massachusetts Avenue Cambridge, MA 02138 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$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 analysis and advocacy on the programs of key international financial institutions in Africa.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
ActionAid USA ActionAid International USA 1420 K Street, NW Suite 900 Washington, D.C. 20005 <i>For Haiti relief efforts.</i>	2	\$0	\$80,000	\$0	\$80,000	\$0
The Afro Latin Jazz Alliance, Inc. 1713 Eighth Avenue Brooklyn, NY 11215 <i>For capacity building.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Alliance for Children and Families, Inc. 11700 W. Lake Park Drive Milwaukee, WI 53224-3021 <i>For its New Vision for Civic Engagement program.</i>	2	\$225,000	\$0	\$0	\$225,000	\$0

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<b>Alliance for Children and Families, Inc.</b> 11700 W. Lake Park Drive Milwaukee, WI 53224-3021 <i>For a final grant to phase out support for and to document the Alliance's civic engagement work that has been supported by the Fund.</i>	2	\$0	\$80,000	\$0	\$80,000	\$0
<b>Alliance for the Arts, Inc.</b> 330 West 42nd Street Suite 1701 New York, NY 10036 <i>For its NYC ARTS project.</i>	2	\$70,000	\$0	\$0	\$70,000	\$0
<b>America Abroad Media</b> 1020 19th Street, NW Suite 650 Washington, D.C. 20036 <i>For its Afghanistan and Iran initiatives.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
<b>American Bar Association Fund for Justice and Education</b> 740 15th Street, NW Washington, D.C. 20005 <i>For its project, the Social Policy Advocacy Coalition for Healthy and Sustainable Communities.</i>	2	\$80,000	\$0	\$0	\$80,000	\$0
<b>American Council on Renewable Energy</b> P.O. Box 33518 Washington, D.C. 20033 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>American Councils for International Education, Inc.</b> 1828 L Street, NW Suite 1200 Washington, D.C. 20036 <i>For its Kosovo American Education Fund.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>American University</b> 4400 Massachusetts Avenue, NW Washington, D.C. 20016-8061 <i>For the Investigative Reporting Workshop of its School of Communication.</i>	1	\$0	\$40,000	\$0	\$40,000	\$0
<b>American University in Kosovo Foundation, Inc.</b> 481 8th Avenue, Suite 922 New York, NY 10001 <i>For its Center for Energy and Natural Resource Development and summer school program on European integration and peace-building, post-conflict reconstruction, and development.</i>	2	\$0	\$65,000	\$0	\$40,000	\$25,000

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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	\$0	\$50,000	\$0	\$50,000	\$0
Americans for Campaign Reform Five Bicentennial Square Concord, NH 03301 <i>For general support.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
AmericaSpeaks, Inc. 1050 17th Street, NW, Suite 350 Washington, D.C. 20009 <i>For planning the Campaign for a Stronger Democracy.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Amigos del Museo del Barrio, Inc. 1230 Fifth Avenue New York, NY 10029 <i>For the curatorial department endowment.</i>	2	\$250,000	\$0	\$0	\$0	\$250,000
Architecture for Humanity 848 Folsom Street, Suite 201 San Francisco, CA 94107 <i>For its Haiti Schools Initiative.</i>	2	\$0	\$45,000	\$0	\$45,000	\$0
Asia Society 725 Park Avenue New York, NY 10021-5088 <i>For its U.S.-Iran dialogue.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Asian Cultural Council, Inc. 6 West 48th Street, 12th Floor New York, NY 10036-1802 <i>For general support.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Aspen Global Change Institute, Inc. 100 East Francis Street Aspen, CO 81611 <i>For its Climate Science Outreach Project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
The Aspen Institute, Inc. One Dupont Circle, NW Suite 700 Washington, D.C. 20036 <i>For its Congressional Program.</i>	2	\$400,000	\$0	\$0	\$318,000	\$82,000
The Aspen Institute, Inc. One Dupont Circle, NW Suite 700 Washington, D.C. 20036 <i>For its project, Realizing Rights: The Ethical Globalization Initiative.</i>	2	\$105,000	\$0	\$0	\$105,000	\$0

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The Aspen Institute, Inc. One Dupont Circle, NW Suite 700 Washington, D.C. 20036 <i>For the Partnership for a New Beginning.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Association of Women's Business Centers P.O. Box 1255 Camden, ME 04843 <i>For its Global Student Leadership program activities in the Western Balkans and to increase the capacity and sustainability of the program.</i>	2	\$0	\$10,000	\$0	\$10,000	\$0
Balkan Community Initiatives Fund Gospodar Jevremova 45/III-8 Belgrade, 11000 Serbia <i>For general support.</i>	7	\$289,105	\$0	\$0	\$114,105	\$175,000
Balkan Community Initiatives Fund Gospodar Jevremova 45/III-8 Belgrade, 11000 Serbia <i>For its project, Together toward Sustainable Development.</i>	7	\$0	\$70,000	\$0	\$70,000	\$0
Balkan Investigative Reporting Network Mesa e Studenteve, Kati I Prishtina, 10000 Kosovo <i>For general support.</i>	7	\$200,000	\$0	\$0	\$170,981	\$29,019
Balkan Investigative Reporting Network Mesa e Studenteve, Kati I Prishtina, 10000 Kosovo <i>For its parliamentary election debates project.</i>	7	\$0	\$65,000	\$0	\$65,000	\$0
Balkan Investigative Reporting Regional Network Obala Kullina Bana 10/2 Sarajevo, 71000 Bosnia and Herzegovina <i>For general support.</i>	7	\$140,000	\$0	\$0	\$70,000	\$70,000
Ballet Hispanico of New York 167 West 89th Street New York, NY 10024 <i>For creation of its Instituto Coreografico.</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 general support.</i>	2	\$0	\$250,000	\$0	\$162,000	\$88,000

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<b>The Bank Information Center</b> 1100 H Street, NW Suite 650 Washington, D.C. 20005 <i>For a conference on international finance and coal.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
<b>Baryshnikov Dance Foundation, Inc.</b> 450 West 37th Street, Suite 501 New York, NY 10018 <i>For the Jerome Robbins New Essential Works (NEW) Program.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
<b>Beijing Chaoyang District Yongxu Global Environmental Institute</b> 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 Energy Efficiency.</i>	7	\$0	\$400,000	\$0	\$189,060	\$210,940
<b>Belgrade Fund for Political Excellence</b> Decanska 1 Belgrade, 11000 Serbia <i>For general support.</i>	7	\$0	\$25,000	\$0	\$25,000	\$0
<b>Bibliotheca Alexandrina</b> P.O. Box 1138, Chatby Alexandria, 21526 Egypt <i>For its New Beginning: U.S.-Muslim Relations Conference.</i>	7	\$0	\$50,000	\$0	\$50,000	\$0
<b>William J. Brennan, Jr., Center for Justice, Inc.</b> 161 Avenue of the Americas 12th Floor New York, NY 10013 <i>For the campaign finance reform work of its democracy program.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Bronx Council on the Arts, Inc.</b> 1738 Hone Avenue Bronx, NY 10461-1486 <i>For endowment.</i>	2	\$175,000	\$0	\$0	\$0	\$175,000
<b>Brooklyn Philharmonic Symphony Orchestra, Inc.</b> 189 Montague Street Suite 200A Brooklyn, NY 11201 <i>For endowment.</i>	2	\$80,000	\$0	\$0	\$0	\$80,000



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<b>Brown University</b> Providence, RI 02912 <i>For a project of the Annenberg Institute for School Reform, the Coalition for Educational Justice (CEJ).</i>	1	\$175,000	\$0	\$0	\$175,000	\$0
<b>Brown University</b> Providence, RI 02912 <i>For a project of the Annenberg Institute for School Reform, the Urban Youth Collaborative (UYC).</i>	1	\$50,000	\$0	\$0	\$50,000	\$0
<b>Business for Social Responsibility</b> 111 Sutter Street, 12th Floor San Francisco, CA 94104 <i>For the project, Sustainable Supply Chains in South China: Building Efficiency and Transparency of Green Factories and Ports.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Byrd Hoffman Watermill Foundation</b> 55 Washington Street, Suite 216 Brooklyn, NY 11201 <i>For the Watermill Center's Next Generation project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>The Campaign Finance Institute</b> 1667 K Street, NW, Suite 650 Washington, D.C. 20006 <i>For its Small Donor Project.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
<b>Carnegie Council on Ethics and International Affairs, Inc.</b> 170 East 64th Street New York, NY 10065 <i>For its program on U.S. Global Engagement.</i>	2	\$0	\$125,000	\$0	\$125,000	\$0
<b>Carnegie Endowment for International Peace</b> 1779 Massachusetts Avenue, NW Washington, D.C. 20036 <i>For its past-Copenhagen dialogue between the U.S. and China on climate and energy issues.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
<b>Casita Maria, Inc.</b> 928 Simpson Street Bronx, NY 10459 <i>For capacity building.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
<b>Center for American Progress</b> 1333 H Street, NW, 10th Floor Washington, D.C. 20005 <i>For its Energy Opportunity Program.</i>	2	\$0	\$175,000	\$15,000	\$160,000	\$0

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<b>Center for American Progress</b> 1333 H Street, NW, 10th Floor Washington, D.C. 20005 <i>For its Young Muslim American Voices project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Center for Arms Control and Non-Proliferation</b> 322 4th Street, NE Washington, D.C. 20002 <i>For its project, Advocacy 2.0: From Information to Influence.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>Center for Book Arts</b> 28 West 27th Street 3rd Floor New York, NY 10001 <i>For salary support, collections management, and an endowment campaign.</i>	2	\$25,000	\$0	\$0	\$25,000	\$0
<b>Center for Clean Air Policy</b> 750 First Street, NE Suite 940 Washington, D.C. 20002 <i>For its From Fast Start to Successful Finish Initiative.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>Center for Climate Strategies</b> 1899 L Street, NW Suite 900 Washington, D.C. 20036 <i>For general support.</i>	2	\$400,000	\$0	\$0	\$400,000	\$0
<b>Center for Climate Strategies</b> 1899 L Street, NW Suite 900 Washington, D.C. 20036 <i>For the project, United States-China Partnership on Climate Action Planning and Policy Development.</i>	2	\$0	\$90,000	\$0	\$90,000	\$0
<b>Center for Climate Strategies</b> 1899 L Street, NW Suite 900 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$350,000	\$0	\$0	\$350,000
<b>Center for Community Change</b> 1536 U Street, NW Washington, D.C. 20009 <i>For its youth leadership development programs.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0

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Center for Effective Philanthropy, Inc. 675 Massachusetts Avenue Seventh Floor Cambridge, MA 02139 <i>For general support for 2010 and 2011.</i>	2	\$0	\$50,000	\$0	\$25,000	\$25,000
Center for Investigative Reporting, Inc. 2130 Center St., Suite 103 Berkeley, CA 94704-2565 <i>For general support.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Center for Lobbying in the Public Interest 1612 K Street, NW Suite 505 Washington, D.C. 20006 <i>For general support.</i>	2	\$55,300	\$0	\$0	\$55,300	\$0
Center for Political Accountability 1233 20th Street, NW, Suite 205 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Center for Public Integrity 910 17th Street, NW 7th Floor Washington, D.C. 20006 <i>For general support.</i>	2	\$0	\$60,000	\$0	\$60,000	\$0
Center for Public Integrity 910 17th Street, NW 7th Floor Washington, D.C. 20006 <i>For its editorial collaboration with the Investigative News Network, Investigative Reporting for INN and Beyond.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Center for Research, Documentation and Publication Str. 'Abdyl Frasher' 38 Prishtina, 10000 Kosovo <i>For general support.</i>	8	\$0	\$58,000	\$0	\$58,000	\$0
Center for Responsive Politics 1101 14th Street, NW Suite 1030 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Center for Rural Strategies, Inc. 46 East Main Street Whitesburg, KY 41858 United States <i>To support its community philanthropy initiative, Donors Ourselves, and its work with the Rural Development Philanthropy Collaborative.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
Center for U.S. Global Leadership 1129 20th Street NW, Suite 600	2	\$0	\$75,000	\$0	\$75,000	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Washington, D.C. 20036 <i>For its Brasstops Initiative.</i>						
The Century Foundation, Inc. 41 East 70th Street New York, NY 10021 <i>For its Khyber connection project.</i>	3	\$0	\$100,000	\$0	\$100,000	\$0
Ceres, Inc. 99 Chauncey Street Boston, MA 02111-1703 <i>For its We Can Lead campaign.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
cheshama, Inc. 201 East 42nd Street 32nd Floor New York, NY 10017 <i>To launch an individual donor program.</i>	2	\$35,000	\$0	\$0	\$35,000	\$0
Chez Bushwick, Inc. 304 Boerum Street Suite 23 Brooklyn, NY 11206 <i>For capacity building.</i>	2	\$25,000	\$0	\$0	\$25,000	\$0
China Dialogue Trust Suite 306 Grayston Centre 28 Charles Square London, N1 6HT United Kingdom <i>To support its Web-based work focusing on energy and climate; and environment and health.</i>	8	\$0	\$120,000	\$0	\$60,000	\$60,000
China Primary Health Care Foundation No. 66, XinAnLI Street Don Cheng District Beijing China <i>To support its Soil Pollution and Environmental Health Forum.</i>	7	\$0	\$20,000	\$0	\$20,000	\$0
China Youth Climate Action Network Room 1221, Unit 4, Building 4, Dahezhuangyuan, No. 3 Suzhou Street, Haidian District Beijing, 100080 China <i>To support its U.S.-China Youth Dialogue project.</i>	7	\$0	\$35,000	\$0	\$35,000	\$0
Chinese Academy of Sciences 52 Sanlihe Road Beijing, 100864 China <i>For its project, Forum on Health, Environment and Development.</i>	6	\$0	\$300,000	\$0	\$150,000	\$150,000

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

<b>Recipient and Purpose</b>	<b>Tax Status</b>	<b>Beginning Balance</b>	<b>Approved In 2010</b>	<b>Lapsed In 2010</b>	<b>Paid In 2010</b>	<b>Ending Balance</b>
<b>The Chinese University of Hong Kong Shatin, NT Hong Kong China To support its Civil Society Visiting Fellows Program.</b>	6	\$0	\$200,000	\$0	\$100,000	\$100,000
<b>Christian Aid P.O. Box 100 London, SE1 7RT United Kingdom For continued support of its global Southern Advocacy and Outreach program.</b>	7	\$0	\$200,000	\$0	\$100,000	\$100,000
<b>Citizen's Association for Democracy and Civic Education - Civic Initiatives Simina 9a Belgrade, 11000 Serbia For general support.</b>	7	\$0	\$30,000	\$0	\$30,000	\$0
<b>Citizens for Responsibility and Ethics in Washington, Inc. 1400 Eye Street, NW Suite 450 Washington, D.C. 20005 For its Citizens United project.</b>	2	\$0	\$15,000	\$0	\$15,000	\$0
<b>Civic Association Kuda.Org Brace Mogin 2 P.O. Box 22 Novi Sad, 21113 Serbia For general support.</b>	7	\$0	\$30,000	\$0	\$30,000	\$0
<b>Civic Association LiNet 41, Cetinjska Street Belgrade, 11000 Serbia For its government monitoring and investigative journalism project, Truth-o-meter.</b>	7	\$0	\$50,000	\$0	\$50,000	\$0
<b>Civic Exchange Hoselnea House, Room 701 69 Wyndham Street Hong Kong China For its project, Health Impacts of Marine Emissions In the Pearl River Delta.</b>	7	\$0	\$200,000	\$0	\$100,000	\$100,000
<b>Civil Society Institute, Inc. 1 Bridge Street Suite 200 Newton, MA 02458 For the Global Warming Legal Action Project.</b>	2	\$0	\$100,000	\$0	\$50,000	\$50,000

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Clean Economy Network Education Fund 1101 14th Street, NW Suite 1200 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$300,000	\$0	\$300,000	\$0
Climate Central, Inc. One Palmer Square Suite 330 Princeton, NJ 08542 <i>For its Communications Campaign on Sea Level Rise.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
The Climate Change Organisation Abbey House Wellington Way Weybridge, KT13 0TT United Kingdom <i>To support its China Carbon Treasure Program.</i>	7	\$0	\$100,000	\$0	\$100,000	\$0
Climate Prosperity Project, Inc. 1429 21st Street, NW Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$250,000	\$0	\$0	\$250,000
The Climate Registry 523 West 6th Street Los Angeles, CA 90014 <i>To provide technical support to the Innovation Center for Energy and Transportation's project, The China Energy and Climate Registry.</i>	2	\$0	\$80,000	\$0	\$40,000	\$40,000
Trustees of Columbia University in the City of New York Office of Research Administration 1210 Amsterdam Avenue Room 254 Engineering Terrace, Mail Code: 2205 New York, NY 10027 <i>For its program, the Initiative for Policy Dialogue, for research, convening, and communications on the economics of equity in global climate policies.</i>	1	\$0	\$100,000	\$100,000	\$0	\$0
Common Cause Education Fund 1133 19th Street, NW Washington, DC 20036 <i>For its campaign finance reform program, and toward the development of a data-based, integrated framing and communications strategy for campaign finance reform.</i>	2	\$0	\$150,000	\$0	\$150,000	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Community Growth Educational Foundation, Inc. 4875 Eisenhower Avenue Suite 250 Alexandria, VA 22304 <i>For its project, States and Regions: Redefining a Critical Relationship for America's Governance.</i>	2	\$0	\$10,000	\$0	\$10,000	\$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	\$35,000	\$0	\$35,000	\$0
Connexus Communications 854 9th Street, Suite B Arcata, CA 95521 <i>For its project, Better Together-U.S.-China Cooperation in Environmental Innovation.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Consensus Building Institute, Inc. 238 Main Street, Suite 400 Cambridge, MA 02142 <i>For its U.S.-Muslim Engagement Initiative.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Consensus Building Institute, Inc. 238 Main Street, Suite 400 Cambridge, MA 02142 <i>For its Convergence project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
The Constitution Project 1200 18th Street, NW Suite 1000 Washington, D.C. 20036 <i>For its Blue Ribbon Panel on Detainee Treatment Project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
The Constitution Project 1200 18th Street, NW Suite 1000 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$50,718	\$49,282
Consultative Group on Biological Diversity Presido Building 1016 P.O. Box 29361 San Francisco, CA 94129-0361 <i>For general support and to support its Climate and Energy Funders Group.</i>	2	\$30,000	\$0	\$0	\$30,000	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved In 2010	Lapsed In 2010	Paid In 2010	Ending Balance
Consultative Group on Biological Diversity Presido Building 1016 P.O. Box 29361 San Francisco, CA 94129-0361 For its project to examine public perception on ocean acidification.	2	\$0	\$100,000	\$0	\$100,000	\$0
Cornell University Ithaca, NY 14853 For its Global Labor Institute's Labor Leaders Climate Forum and Global Trade Union Task Force for Development Alternatives.	1	\$0	\$125,000	\$0	\$125,000	\$0
Corporate Ethics International P.O. Box 2401 Suisun City, CA 94585 For its campaign to reduce demand for tar sands oil.	2	\$250,000	\$0	\$0	\$250,000	\$0
Corporate Ethics International P.O. Box 2401 Suisun City, CA 94585 For its Tar Sands Campaign.	2	\$0	\$300,000	\$0	\$0	\$300,000
Corporate Ethics International P.O. Box 2401 Suisun City, CA 94585 For its Business Ethics Network project.	2	\$0	\$50,000	\$0	\$50,000	\$0
The Council of Canadians 700-170, av. Laurier Ave West Ottawa, ON K1P 5V5 Canada For publication of materials on Earth jurisprudence.	7	\$0	\$20,000	\$0	\$20,000	\$0
The Council of Canadians 700-170, av. Laurier Ave West Ottawa, ON K1P 5V5 Canada For its work coordinating the dissemination, outreach, and networking on Earth jurisprudence.	7	\$0	\$25,000	\$0	\$25,000	\$0
Council on Foundations, Inc. 2121 Crystal Drive Suite 700 Arlington, VA 22202 For general support for 2011.	2	\$0	\$39,500	\$0	\$39,500	\$0
Crag Law Center 917 SW Oak Street Suite 417 Portland, OR 97205 For the IMatter Campaign of its project, Our Children's Trust.	2	\$0	\$100,000	\$0	\$100,000	\$0
Cuban Artists Fund, Inc. 41 Union Square West	2	\$0	\$100,000	\$0	\$100,000	\$0



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Room 610 New York, NY 10003 <i>For capacity building.</i>						
Aaron Davis Hall, Inc. Harlem Stage Gatehouse 150 Convent Avenue New York, NY 10031 <i>For its Fund for New Work.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Deep Democracy 4192 E. Boulder Springs Way Tuscon, AZ 85712 <i>For general support.</i>	2	\$50,000	\$0	\$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
Demos: A Network for Ideas & Action, Ltd. 220 Fifth Avenue Fifth Floor New York, NY 10001 <i>For Public Works: The Demos Center for the Public Sector.</i>	2	\$125,000	\$0	\$0	\$125,000	\$0
Demos: A Network for Ideas & Action, Ltd. 220 Fifth Avenue Fifth Floor New York, NY 10001 <i>For its Building Movement Project for a civic engagement convening at the Pocantico Conference Center.</i>	2	\$0	\$26,000	\$0	\$26,000	\$0
Demos: A Network for Ideas & Action, Ltd. 220 Fifth Avenue Fifth Floor New York, NY 10001 <i>For Public Works: The Demos Center for the Public Sector.</i>	2	\$0	\$250,000	\$0	\$0	\$250,000
Demos: A Network for Ideas & Action, Ltd. 220 Fifth Avenue Fifth Floor New York, NY 10001 <i>To support its U.S. in the World Initiative.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Dialogo 2000 Piedras 7300 Buenos Aires, 1070 Argentina <i>For its project, Jubilee South, for its South-South Summit on Climate Justice and Finance.</i>	7	\$0	\$15,000	\$0	\$15,000	\$0

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<b>DokuFest</b> Mimar Sinan 12 Prizren, 20000 Kosovo <i>For its 2010 documentary and short film festival.</i>	7	\$0	\$35,000	\$0	\$35,000	\$0
<b>DonorsChoose.org</b> 347 West 36th Street Suite 503 New York, NY 10018 <i>To its Double Your Impact grants program for college-readiness projects in high-need New York City public schools.</i>	2	\$28,380	\$0	\$0	\$28,380	\$0
<b>DRUM-Deis Rising Up and Moving, Inc.</b> 72-18 Broadway Jackson Heights, NY 11372 <i>For its YouthPower program.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
<b>Earth Island Institute</b> 2150 Alston Way, Suite 460 Berkeley, CA 94704-1375 <i>For its project, the Energy Action Coalition.</i>	2	\$400,000	\$0	\$0	\$200,000	\$200,000
<b>ecoAmerica</b> 2000 P Street, NW Suite 410 Washington, D.C. 20036 <i>To support its America the Best Climate Solutions Conference.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
<b>Ekspedidja-EXPEDITIO</b> P.O. Box 85 Kotor, 85330 Montenegro <i>For general support.</i>	7	\$35,000	\$0	\$0	\$35,000	\$0
<b>Electrification Coalition Foundation</b> 1111 19th Street, NW, Suite 406 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>ENCOMPASS - Centre for Social and Psychological Studies and Services</b> Gazmend Zajmi Str. 1/ Apt. 18 Prishtina, 10060 Kosovo <i>For its project, ATOMI.</i>	8	\$0	\$50,000	\$0	\$50,000	\$0
<b>Environmental Grantmakers Association</b> 55 Exchange Place, Suite 405 New York, NY 10005-1965 <i>For general support.</i>	2	\$24,690	\$0	\$0	\$24,690	\$0

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European Foundation Centre 78 Avenue de la Toison D'or Brussels, 1060 Belgium <i>For its 2010 Grantmakers East Forum.</i>	7	\$0	\$10,000	\$0	\$10,000	\$0
European Foundation Centre 78 Avenue de la Toison D'or Brussels, 1060 Belgium <i>For its foundation law project.</i>	7	\$0	\$40,000	\$0	\$40,000	\$0
<b>FIERCE</b> 147 West 24th Street 6th Floor New York, NY 10011 <i>For general support.</i>	2	\$0	\$60,000	\$0	\$60,000	\$0
<b>Fiji Theater Company, Inc.</b> 47 Great Jones Street, 6th Floor New York, NY 10012 <i>For capacity building.</i>	2	\$0	\$50,000	\$0	\$25,000	\$25,000
<b>The Focus Project</b> 1742 Connecticut Avenue, NW Washington, D.C. 20009 <i>For general support.</i>	2	\$0	\$60,000	\$0	\$60,000	\$0
<b>Focus the Nation</b> 240 N. Broadway, Suite 212 Portland, OR 97227 <i>For general support.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
<b>Focus the Nation</b> 240 N. Broadway, Suite 212 Portland, OR 97227 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Foreign Policy Club</b> Bregji Djalilit Rr. 2 Hy. 6/2 Prishtina, 10000 Kosovo <i>For general support.</i>	8	\$25,000	\$0	\$0	\$25,000	\$0
<b>Forum for Civic Initiatives</b> Bedri Pejani 7/A Prishtina, 10000 Kosovo <i>For general support.</i>	7	\$139,105	\$0	\$0	\$139,105	\$0
<b>Forum for Civic Initiatives</b> Bedri Pejani 7/A Prishtina, 10000 Kosovo <i>For its project, Go to Vote-Shape Your Future.</i>	7	\$0	\$52,740	\$0	\$52,740	\$0

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Forum for Civic Initiatives Bedri Pejani 7/A Prishtina, 10000 Kosovo <i>For its civil society training program on the processes and frameworks of international financial institutions and multinational corporations.</i>	7	\$0	\$50,000	\$0	\$25,000	\$25,000
Forum on Democracy and Trade c/o Harrison Institute 101 F Street, Suite 102 Washington, D.C. 20001 <i>For general support.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
Foundation Center 79 Fifth Avenue, 8th Floor New York, NY 10003 <i>For its Anniversary Campaign.</i>	2	\$77,381	\$0	\$0	\$77,381	\$0
Foundation Center 79 Fifth Avenue, 8th Floor New York, NY 10003 <i>For general support for 2011 and 2012.</i>	2	\$0	\$60,000	\$0	\$30,000	\$30,000
The Foundation for a Civil Society, Ltd. 455 East 51st Street, Suite 2D New York, NY 10022 <i>For its Iran project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Foundry Theatre, Inc. 140-142 Second Avenue Suite 405 New York, NY 10003 <i>For capacity building.</i>	2	\$40,000	\$0	\$0	\$40,000	\$0
Fresh Energy 408 St. Peter Street Suite 220 St. Paul, MN 55102 <i>For its Global Warming Solutions program.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Friends of Nature Room 368, Wanbo Building, Ganyu Hutong 53 Dongcheng District Beijing, 100006 China <i>For its In Search of Low-Carbon Households in China project.</i>	7	\$50,000	\$0	\$0	\$50,000	\$0
Friends of the Earth 1717 Massachusetts Avenue, NW Suite 600 Washington, D.C. 20036 <i>For its work on bringing international equity concerns into climate policy.</i>	2	\$85,000	\$0	\$0	\$85,000	\$0

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<b>Friends of the Earth Trust Limited</b> 26-28 Underwood Street London, N1 7JQ United Kingdom <i>For the development of a network of advocates for justice and equity in global climate change policy processes.</i>	7	\$0	\$100,000	\$0	\$100,000	\$0
<b>Fund for Active Citizenship</b> Serdara Jola Piletica 18/1-1 Podgorica, 81000 Montenegro <i>For its small grants program.</i>	7	\$0	\$120,000	\$0	\$60,000	\$60,000
<b>Fund for Constitutional Government</b> 122 Maryland Avenue, NE Washington, D.C. 20002 <i>For general support of its project, OpenTheGovernment.org.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
<b>The President and Directors Georgetown College (Georgetown University)</b> 600 New Jersey Avenue, NW Washington, D.C. 20001-2022 <i>For the Georgetown Climate Center.</i>	1	\$0	\$400,000	\$0	\$400,000	\$0
<b>The German Marshall Fund of the United States - A Memorial to the Marshall Plan</b> 1744 R Street, NW Washington, D.C. 20009 <i>For their small grants program supporting youth engagement.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
<b>Global Exchange</b> 2017 Mission Street Suite 303 San Francisco, CA 94110 <i>For innovative communications platforms to link climate advocates.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
<b>Global Fund for Community Foundations</b> Registered Office Community House Citilink Business Park Albert Street Belfast BT12 4HQ Northern Ireland <i>For program support for its institutional, operational, and program development.</i>	8	\$0	\$50,000	\$0	\$50,000	\$0
<b>Global Justice Ecology Project, Inc.</b> P.O. Box 412 Hinesburg, VT 05461 <i>For climate justice media and communications work around COP 16 in Cancun, Mexico.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0

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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
Grantmakers Concerned with Immigrants and Refugees P.O. Box 1100 Sebastopol, CA 95473-1100 <i>For membership.</i>	2	\$0	\$2,700	\$0	\$2,700	\$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. 1101 14th Street, NW Suite 420 Washington, D.C. 20005 <i>For general support for 2011.</i>	2	\$0	\$2,250	\$0	\$2,250	\$0
Greater Washington Educational Telecommunications Association, Inc. 2700 South Quincy Street Arlington, VA 22206 <i>For the International Reporting Unit of the PBS NewsHour, a project of the Greater Washington Educational Telecommunications Association, Inc.</i>	2	\$0	\$130,000	\$0	\$130,000	\$0
Green Network of Vojvodina Heroja Pinkija 32 Vojvodina Novi Sad, 21000 Serbia <i>For general support.</i>	8	\$70,000	\$0	\$0	\$70,000	\$0
Guangdong Energy Conservation Center 6th Floor, 11 Jianxin Road Guangzhou, 510030 China <i>For its project, Improving Energy Efficiency in Small Medium-sized Enterprises (SMEs) in Guangdong.</i>	6	\$0	\$100,000	\$0	\$100,000	\$0
Guangxi Academy of Social Sciences No. 5 Xinzhu Road Nanning, Guangxi 530022 China <i>For the Western Guangxi Manganese Mining Environmental Pollution and Minority Health Research Project.</i>	6	\$40,000	\$0	\$40,000	\$0	\$0

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Guangzhou Green Point Environmental Protection Information Center Room 202, #55 Zhaumen Bel Road Guangzhou, 510000 China <i>To support its Youth Environmental Leadership Project.</i>	8	\$35,000	\$0	\$0	\$35,000	\$0
President and Fellows of Harvard College Cambridge, MA 02138 <i>For its Western Balkan Civil Society Leadership Development Program.</i>	1	\$0	\$50,000	\$0	\$25,000	\$25,000
Health Care Without Harm 12355 Sunrise Valley Drive Suite 680 Reston, VA 20191 <i>For its climate and energy initiative.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
The H. John Heinz III Center for Science, Economics, and the Environment 900 17th Street, NW Suite 700 Washington, D.C. 20006 <i>For its Institute for Science Communication and Policy Development.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Highlander Research and Education Center, Inc. 1959 Highlander Way New Market, TN 37820 <i>For its youth organizing programs.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
Horizon Research Consultancy Group Limited Rm. 1108, Xinhengji Guoji Dasha No. 3, Maizidian West Road Beijing, 100016 China <i>For its Black Apple Youth Project: Promoting University Students' Social Entrepreneurship and Social Engagement.</i>	9	\$0	\$160,000	\$0	\$80,000	\$80,000
Netayo Cultural Arts Facility, Inc. 629A East 35th Street Suite 2 Brooklyn, NY 11203 <i>For salary support for a deputy director.</i>	2	\$35,000	\$0	\$0	\$35,000	\$0
Independent Sector 1602 L Street, NW Suite 900 Washington, D.C. 20036 <i>For membership for 2011.</i>	2	\$0	\$12,150	\$0	\$12,150	\$0

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The Trustees of Indiana University 107 South Indiana Avenue Bloomington, IN 47405-7000 <i>To work with Zhongshan University to establish a Center on Philanthropy in southern China.</i>	1	\$0	\$200,000	\$0	\$100,000	\$100,000
Initiative for Kosova Community Gjon Serreçl n.n. Ferizaj, 70000 Kosovo <i>For its project to replace environmentally damaging economic activities with sustainable development activities.</i>	8	\$0	\$30,000	\$0	\$30,000	\$0
Innovation Center for Energy and Transportation 592 Garfield Avenue South Pasadena, CA 91030 <i>For its project, The China Energy and Climate Registry.</i>	2	\$0	\$200,000	\$0	\$100,000	\$100,000
Institute for Advanced Studies GAP Mother Theresa Str. 42/29 Prishtina, 10000 Kosovo <i>For general support.</i>	7	\$120,000	\$0	\$0	\$60,000	\$60,000
Institute for Agriculture and Trade Policy 2105 First Avenue South Minneapolis, MN 55404-2505 <i>For its work on climate change, trade, and agriculture.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Institute for American Values 1841 Broadway, Suite 211 New York, NY 10023 <i>For its Declaration Initiative project.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Institute for EastWest Studies, Inc. 11 East 26th Street, 20th Floor New York, NY 10010 <i>For its mission to Ankara, Erbil, and Tel Aviv.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Institute for Media Analysis, Inc. 143 West 4th Street New York, NY 10012 <i>For the GRITtv DIGS -- The Loaded Chamber series of its project, GRITtv.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
Institute for Social Policy and Understanding 43151 Dalcoma Road, Suite 6 Clinton Township, MI 48038 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0



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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Institute for Stability and Development, o.p.s. Lucembarska 3 Prague 3, 13000 Czech Republic <i>For its cross-border cooperation program.</i>	8	\$50,000	\$0	\$0	\$50,000	\$0
Institute of Public and Environmental Affairs 601 Room, 3 Danyuan, 9 Haolou Xin Fun Jian Yuan Guang Qu Men Nei Street Beijing China <i>For general support.</i>	7	\$0	\$300,000	\$0	\$150,000	\$150,000
Institute for State Effectiveness 600 New Hampshire Avenue NW Suite 700 Washington, D.C. 20037 <i>For the Kabul Conference.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
International Crisis Group 1629 K Street, NW Room 450 Washington, D.C. 20006 <i>For its Balkans project.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
Investor Watch 286 Sandycombe Road Kew Gardens Surrey, TW9 3NG United Kingdom <i>For its Investor Disclosure Project's analytic work on energy-related initial public offerings.</i>	8	\$0	\$90,000	\$0	\$90,000	\$0
Islands First, Inc. 380 Lexington Avenue, 17th Floor New York, NY 10168 <i>For general support.</i>	2	\$0	\$40,000	\$0	\$40,000	\$0
Isolon.org, inc. 945 Old County Road Severna Park, MD 21146 <i>For its Common Identifier Problem project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
J Street Education Fund, Inc. P.O. Box 66073 Washington, D.C. 20035 <i>For its 2011 National Conference.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Jewish Funds for Justice, Inc. 330 Seventh Avenue Suite 1902 New York, NY 10001 <i>For its program, the Funders Collaborative on Youth Organizing.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
<b>Johns Hopkins University</b> 600 North Wolfe Street Blalock 1408 Baltimore, MD 21287-4961 <i>For the International Reporting Project.</i>	1	\$83,646	\$0	\$0	\$83,646	\$0
<b>Johns Hopkins University</b> 600 North Wolfe Street Blalock 1408 Baltimore, MD 21287-4961 <i>For its international Reporting Project.</i>	1	\$0	\$125,000	\$0	\$125,000	\$0
<b>Joy in Action</b> 1602 C4, No. 489 Jiaxin Garden, Xingangzhong Road Halzhu District Guangzhou, 510310 China <i>For general support.</i>	8	\$30,000	\$0	\$0	\$30,000	\$0
<b>Joyce Theatre Foundation, Inc.</b> 175 Eighth Avenue New York, NY 10011 <i>For its residency program for dance and theater artist partnerships.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>Kelgwin and Company, Inc.</b> 246 West 38th Street, 8th Floor New York, NY 10018 <i>For supporting the creation of original choreography by Larry Kelgwin through a partnership with the Orchestra of St. Luke's.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
<b>Kings Majestic Corporation</b> 651 Fulton Street Brooklyn, NY 11217 <i>For capacity building.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
<b>Kosovar Institute for Policy Research and Development</b> Rexhep Mala S/a Prishtina, 10000 Kosovo <i>For its work to strengthen the rule of law in Kosovo.</i>	7	\$0	\$74,000	\$0	\$74,000	\$0
<b>Kosovo Law Institute</b> Rr. Gjon Kastrioti p.n. Prishtina, 10000 Kosovo <i>For its project to strengthen judicial sector accountability in Kosovo.</i>	8	\$0	\$30,000	\$0	\$30,000	\$0

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<b>La Fuente, A Tri-State Worker &amp; Community Fund, Inc.</b> 101 Avenue of the Americas 17th Floor New York, NY 10013 <i>For general support.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
<b>Land Institute</b> 2440 East Water Well Road Salina, KS 67401 <i>For its Climate and Energy Project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Lark Theatre Company, Inc.</b> 939 Eighth Avenue, Suite 301 New York, NY 10019 <i>For capacity building.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
<b>Latinjustice PRLDEF</b> 99 Hudson Street, 14th Floor New York, NY 10013-2815 <i>For its Youth Civic Engagement Network.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>League of Young Voters Education Fund</b> 310 Atlantic Avenue 2nd Floor Brooklyn, NY 11201 <i>For support of its capacity-building project.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
<b>Lesbian Herstory Education Foundation, Inc.</b> P.O. Box 1258 New York, NY 10116 <i>To advance the digitization process and create an online public access catalog of lesbian archives.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
<b>Lincoln Center for the Performing Arts, Inc.</b> 70 Lincoln Center Plaza New York, NY 10023-6583 <i>For endowment for its Lincoln Center Festival.</i>	2	\$250,000	\$0	\$0	\$250,000	\$0
<b>Ramon Magsaysay Award Foundation</b> 1680 Roxas Boulevard Manila, 1004 Philippines <i>To support the documentation and dissemination of information about the recipients of the Ramon Magsaysay Awards.</i>	8	\$2,004	\$0	\$0	\$2,004	\$0
<b>Ramon Magsaysay Award Foundation</b> 1680 Roxas Boulevard Manila, 1004 Philippines <i>To support the 2010 Ramon Magsaysay Awards</i>	8	\$0	\$150,000	\$0	\$150,000	\$0

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<b>Recipient and Purpose</b>	<b>Tax Status</b>	<b>Beginning Balance</b>	<b>Approved in 2010</b>	<b>Lapsed in 2010</b>	<b>Paid in 2010</b>	<b>Ending Balance</b>
<b>Ramon Magsaysay Award Foundation</b> 1680 Roxas Boulevard Manila, 1004 Philippines <i>To support the documentation and dissemination of information about the recipients of the 2010 Ramon Magsaysay Awards.</i>	8	\$0	\$7,677	\$0	\$7,677	\$0
<b>University of Maine System, Inc.</b> Office of University Development 101 College Avenue Orono, ME 04473-1511 <i>For its DeepCWind project.</i>	1	\$0	\$125,000	\$0	\$125,000	\$0
<b>Make the Road New York</b> 301 Grove Street Brooklyn, NY 11237 <i>For capacity building.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>MAPLight</b> 2223 Shattuck Avenue Berkeley, CA 94704 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
<b>MAPP International Productions, Inc.</b> 140 Second Avenue Suite 502 New York, NY 10003 <i>For its Cultural Investor Program.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Martha Graham Center of Contemporary Dance, Inc.</b> 316 East 63rd Street New York, NY 10021 <i>For general operating support.</i>	2	\$25,000	\$0	\$0	\$25,000	\$0
<b>Mayi Filipino Theatre Ensemble, Inc.</b> 520 Eighth Avenue Suite 309 New York, NY 10018 <i>For endowment.</i>	2	\$80,000	\$0	\$0	\$80,000	\$0
<b>MDRC</b> 16 East 34th Street New York, NY 10016 <i>For dissemination of New York City research and evaluation project findings.</i>	2	\$0	\$15,000	\$0	\$15,000	\$0
<b>Meedan, Inc.</b> 972 Mission Street Fifth Floor San Francisco, CA 94103 <i>To build its capacity in the Middle East.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0

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Meet the Composer, Inc. 90 John Street Suite 312 New York, NY 10038 <i>For endowment.</i>	2	\$125,000	\$0	\$0	\$125,000	\$0
Metropolitan Waterfront Alliance, Inc. 457 Madison Avenue New York, NY 10022 <i>For general support.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Mexican American Symphony Orchestra, Inc. 30 West 63rd Street, Suite 3L New York, NY 10023 <i>For capacity building.</i>	2	\$100,000	\$0	\$0	\$50,000	\$50,000
Morphoses Limited The Wheeldon Company 800 Fifth Avenue Suite 18F New York, NY 10021 <i>For a fundraising consultant.</i>	2	\$25,000	\$0	\$0	\$25,000	\$0
Movement Strategy Center 1611 Telegraph Avenue Suite 510 Oakland, CA 94612 <i>For its support of youth groups and alliances.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
The Municipal Art Society of New York 457 Madison Avenue New York, NY 10022 <i>For its 2010 strategic planning activities.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Museum for African Art 36-01 43rd Avenue Long Island City, NY 11101 <i>For capacity building.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
National Association of Latino Independent Producers, Inc. c/o POV 32 Broadway, Floor 14 New York, NY 10004 <i>To provide support for its Latino and Native American filmmakers fellowship programs.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
National Council of Nonprofits 1101 Vermont Avenue, NW Suite 1002 Washington, D.C. 20005 <i>For general support.</i>	2	\$80,000	\$0	\$0	\$80,000	\$0

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National Institute on Money in State Politics 833 N. Last Chance Gulch 2nd Floor Helena, MT 59601 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
National Iranian American Council c/o 1411 K Street, NW Suite 600 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
National League of Cities Institute, Inc. 1301 Pennsylvania Avenue, NW Washington, D.C. 20004-1763 <i>For the Institute's Promoting Democratic Governance in Cities project.</i>	2	\$100,000	\$0	\$0	\$100,000	\$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	\$100,000	\$0	\$100,000	\$0
National Priorities Project, Inc. 243 King Street Suite 109 Northampton, MA 01060 <i>For the NPP Data 2.0 Project.</i>	2	\$60,000	\$0	\$0	\$60,000	\$0
National Wildlife Federation 11100 Wildlife Center Drive Reston, VA 20190-5362 <i>For its Outreach to Faith Community on Climate Action project.</i>	2	\$0	\$150,000	\$0	\$150,000	\$0
Native Americans in Philanthropy 2801 21st Avenue South Suite 132D Minneapolis, MN 55407 <i>For its project, the Native Youth Leadership Alliance.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>For its Solutions at the Speed of Business project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>For its Presidential Climate Action Project 2010.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0

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Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>For its Feed-in Tariffs Coalition project.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>For its Feed-in Tariffs Coalition.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>To fund up to 10 fora, events, and conferences focused on feed-in tariffs.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Natural Capitalism Solutions, Inc. 11823 N. 75th Street Longmont, CO 80503 <i>For its Feed-in Tariff project.</i>	2	\$0	\$400,000	\$0	\$228,000	\$172,000
Natural Resources Defense Council, Inc. 40 West 20th Street New York, NY 10011 <i>For its Green Light New York, Inc. project.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Natural Resources Defense Council, Inc. 40 West 20th Street New York, NY 10011 <i>For its continuing work on heavy metal pollution.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
The Network for the Affirmation of the NGO Sector Dalmatinska 188 Podgorica, 81000 Montenegro <i>For general support.</i>	7	\$0	\$70,000	\$0	\$35,000	\$35,000
New Immigrant Community Empowerment, Inc. 37-41 77th Street Second Floor Jackson Heights, NY 11372 <i>For its project, the New York State Youth Leadership Council, to build the capacity of its leadership development program and membership support structure.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
New Partners for Community Revitalization, Inc. 151 West 30th Street, 11th Floor New York, NY 10001 <i>For its New York City brownfields redevelopment program.</i>	2	\$0	\$330,000	\$0	\$165,000	\$165,000

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<b>New Venture Fund</b> 734 15th Street, NW Washington, D.C. 20005 <i>For its evaluation project with the U.S. Department of Education to develop a comprehensive evaluation and monitor system.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
<b>New Venture Fund</b> 734 15th Street, NW Washington, D.C. 20005 <i>For its Creation Care Fund.</i>	2	\$0	\$125,000	\$0	\$125,000	\$0
<b>New Venture Fund</b> 734 15th Street, NW Washington, D.C. 20005 <i>For its Turnwell/Climate Interactive project to support the development of the C-ROADS Climate simulation.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
<b>New Venture Fund</b> 734 15th Street, NW Washington, D.C. 20005 <i>For its project, the Fair Elections Legal Network.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>New York City Center, Inc.</b> 130 West 56th Street New York, NY 10019 <i>For endowment for its annual Fall for Dance Festival.</i>	2	\$80,000	\$0	\$0	\$80,000	\$0
<b>New York City Center, Inc.</b> 130 West 56th Street New York, NY 10019 <i>For the Fall for Dance Festival.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
<b>The New York Community Trust</b> 909 Third Avenue, 22nd Floor New York, NY 10022 <i>For emergency grants to Haitian-led organizations.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
<b>The New York Immigration Coalition, Inc.</b> 137-139 West 25th Street 12th Floor New York, NY 10001-7277 <i>For its mobilization of New York City community groups to Washington, D.C., for the March 21st March for America.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
<b>The New York Immigration Coalition, Inc.</b> 137-139 West 25th Street 12th Floor New York, NY 10001-7277 <i>For its civic participation program.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0



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<b>The New York Public Library, Astor, Lenox and Tilden Foundations</b> Fifth Avenue and 42nd Street New York, NY 10018 <i>For the endowment of the Jerome Robbins Dance Division of the New York Public Library for the Performing Arts, Dorothy and Lewis B. Cullman Center.</i>	2	\$250,000	\$0	\$0	\$150,000	\$100,000
<b>New York University</b> 25 West Fourth Street New York, NY 10012 <i>For its project, The Center for Dialogues: Islamic World-U.S.-The West; of which \$20,000 is for a development consultant.</i>	1	\$0	\$100,000	\$0	\$100,000	\$0
<b>Nonprofit Coordinating Committee of New York, Inc.</b> 1350 Broadway Suite 1801 New York, NY 10018 <i>For general support for 2011.</i>	2	\$0	\$1,500	\$0	\$1,500	\$0
<b>Northeast States for Coordinated Air Use Management, Inc.</b> 89 South Street, Suite 602 Boston, MA 02111 <i>For its project to develop a regional low-carbon fuel standard in 11 Northeast and Mid-Atlantic states.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Oceana, Inc.</b> 1350 Connecticut Avenue, NW 5th Floor Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
<b>Oil Change International</b> 236 Massachusetts Avenue, NE Suite 203 Washington, D.C. 20002 <i>For general support.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
<b>Pacific News Service</b> 275 Ninth Street San Francisco, CA 94103 <i>For a pilot project of its program, New America Media.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>Page Seventy-Three Productions, Inc.</b> 138 South Oxford Street Suite 5C Brooklyn, NY 11217 <i>For its capacity-building initiatives.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0

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Partners Albania, Center for Change and Conflict Management Muhamet Gjollështa Tirana, 1019 Albania <i>For its efforts to develop philanthropy in Albania.</i>	7	\$0	\$70,000	\$0	\$70,000	\$0
Partnership for a Secure America, Inc. 2000 P Street, NW Suite 505 Washington, D.C. 20036 <i>For its 2011 Congressional Fellows program.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Partnership for Public Service, Inc. 1100 New York Avenue, NW Suite 1090E Washington, D.C. 20005 <i>Toward the costs of its Acquisition in Crisis: Transforming Workforce and Process in the Public Interest conference at the Pocantico Conference Center.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
Partnership for Public Service, Inc. 1100 New York Avenue, NW Suite 1090E Washington, D.C. 20005 <i>For the development of a new business plan.</i>	2	\$0	\$40,000	\$0	\$0	\$40,000
PeaceWorks Network Foundation P.O. Box 1577 Old Chelsea Station New York, NY 10113 <i>For its OneVoice Movement project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Performance Zone, Inc. 161 Sixth Avenue 14th Floor New York, NY 10013 <i>For the creation of its Emerging Artists Fund and for Web site enhancements.</i>	2	\$0	\$140,000	\$0	\$140,000	\$0
Pesticide Eco-Alternatives Center Yunnan Thoughtful Action Apt. 1212, 1214, 1216, 12/F Block 14 Yunnan Yingdang Quarter Chuanjin Road Kunming, Yunnan 650224 China <i>For its project, Building a Network to Promote Pesticide Reduction in China.</i>	7	\$70,000	\$0	\$0	\$70,000	\$0

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Philanthropy for Active Civic Engagement 444 Sherman Street Suite 200 Denver, CO 80203 <i>For 2010 membership and general support.</i>	2	\$0	\$34,500	\$0	\$34,500	\$0
Philanthropy New York, Inc. 79 Fifth Avenue Fourth Floor New York, NY 10003 <i>For general support for 2011.</i>	2	\$0	\$18,800	\$0	\$18,800	\$0
Poets & Writers 90 Broad Street, Suite 2100 New York, NY 10004 <i>For capacity building.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
Poets House, Inc. 10 River Terrace New York, NY 10282 <i>For capacity building.</i>	2	\$100,000	\$0	\$0	\$50,000	\$50,000
Polaris Institute USA 2235 Lakeshore Road P.O. Box 106 Essex, NY 12936 <i>For its project, the Our World Is Not For Sale network.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
The Political Security Domain - Center for Peace and Security in the Middle East Ussishkin 117 Ramat HaSharon, 47204 Israel <i>For general support.</i>	7	\$0	\$50,000	\$0	\$50,000	\$0
Prett Institute 200 Willoughby Avenue Brooklyn, NY 11205 <i>For its project, the Center for Sustainable Design Studies.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
Trustees of Princeton University Princeton, NJ 08544-5264 <i>For the Program on Science and Global Security at the Woodrow Wilson School of Public and International Affairs.</i>	1	\$0	\$25,600	\$0	\$25,600	\$0
Progressive America Fund 1133 Broadway, Suite 332 New York, NY 10010 <i>For its project, the Center for Working Families for the Green Jobs/Green New York project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0

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<b>The Project on Government Oversight, Inc.</b> 1100 G Street, NW Suite 900 Washington, D.C. 20005 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$50,000	\$50,000
<b>The Project on Middle East Democracy, Inc.</b> 1820 Jefferson Place, NW 3rd Floor Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Proteus Fund, Inc.</b> 101 University Drive Suite A2 Amherst, MA 01002 <i>For its Democracy Project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>Proteus Fund, Inc.</b> 101 University Drive Suite A2 Amherst, MA 01002 <i>For its project, the Piper Fund.</i>	2	\$0	\$160,000	\$0	\$160,000	\$0
<b>Public Campaign</b> 1133 19th Street, NW Suite 900 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$125,000	\$0	\$125,000	\$0
<b>Public Citizen Foundation, Inc.</b> 1600 20th Street, NW Washington, D.C. 20009 <i>For institutional development and communications capacity building.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
<b>Public Citizen Foundation, Inc.</b> 1600 20th Street, NW Washington, D.C. 20009 <i>For its Global Trade Watch program.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
<b>Public Interest Law Institute</b> 333 Seventh Avenue 14th Floor New York, NY 10001 <i>For its civil society and public interest advocacy programs in Serbia.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
<b>Public Interest Projects, Inc.</b> 45 West 36th Street, 6th Floor New York, NY 10018 <i>For its Climate Communications Policy Initiative.</i>	2	\$350,000	\$0	\$0	\$350,000	\$0

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**SCHEDULE OF GRANTS TO ORGANIZATIONS**  
**FYE 12/31/2010**

*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 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Public Interest Projects, Inc. 45 West 36th Street, 6th Floor New York, NY 10018 <i>For its State Infrastructure Collaborative Fund.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
Public Interest Projects, Inc. 45 West 36th Street, 6th Floor New York, NY 10018 <i>To support its Climate Communications Policy Initiative coverage of the Gulf of Mexico.</i>	2	\$0	\$20,000	\$0	\$20,000	\$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
Quebec-Labrador Foundation, Inc. 55 South Main Street Ipswich, MA 01938 <i>For general support.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
Queens Museum of Art New York City Building Flushing Meadows Corona Park Queens, NY 11368 <i>For endowment.</i>	2	\$175,000	\$0	\$0	\$175,000	\$0
Reconstruction Women's Fund Viajkoviceva 15/5 Belgrade, 11000 Serbia <i>For its Special Focus Program.</i>	7	\$0	\$30,000	\$0	\$30,000	\$0
Regional Plan Association, Inc. 4 Irving Place 7th Floor New York, NY 10003 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Resource Media A Nonprofit Corporation 325 Pacific Avenue, 3rd Floor San Francisco, CA 94111 <i>For its project, Defending Climate Science: Communications Support for the Intergovernmental Panel on Climate Change.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Resource Media A Nonprofit Corporation 325 Pacific Avenue, 3rd Floor San Francisco, CA 94111 <i>For its Climate Science Initiative.</i>	2	\$0	\$250,000	\$25,000	\$225,000	\$0

**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**  
**FYE12/31/2010**

*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 2010	Lapsed In 2010	Paid In 2010	Ending Balance
Right Question Project, Inc. 2464 Massachusetts Avenue Suite 314 Cambridge, MA 02140 <i>For general support.</i>	2	\$0	\$52,000	\$0	\$52,000	\$0
The Mary Robinson Foundation Trinity College 6 South Leinster Street Dublin, 2 Ireland <i>For general support.</i>	8	\$0	\$100,000	\$0	\$50,000	\$50,000
Rockefeller Family Fund, Inc. 475 Riverside Drive Suite 900 New York, NY 10115 <i>For its voter registration modernization project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Rockefeller Philanthropy Advisors 6 West 48th Street 10th Floor New York, NY 10036 <i>For its project, the D5 Initiative.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
Save the Children Federation, Inc. P.O. Box 950 54 Wilton Road Westport, CT 06881 <i>For Haiti relief efforts.</i>	2	\$0	\$80,000	\$0	\$80,000	\$0
Search for Common Ground 1601 Connecticut Avenue, NW Suite 200 Washington, D.C. 20009-1035 <i>For The Bridge reality television show.</i>	2	\$75,000	\$0	\$75,000	\$0	\$0
Search for Common Ground 1601 Connecticut Avenue, NW Suite 200 Washington, D.C. 20009-1035 <i>For its Iran project.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
Seventh Generation Advisors 3110 Main Street, Suite 220 Santa Monica, CA 90405 <i>For general support.</i>	2	\$200,000	\$0	\$0	\$200,000	\$0
Shen Wei Dance Arts, Inc. 135 West 29th St. Ste. 1100 New York, NY 10001 <i>For capacity-building initiatives.</i>	2	\$35,000	\$0	\$0	\$35,000	\$0

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**  
**FYE 12/31/2010**

*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 2010	Lapsed in 2010	Paid in 2010	Ending Balance
<b>The Sierra Club Foundation</b> 85 Second Street Suite 750 San Francisco, CA 94105 <i>To support its Beyond Coal Campaign</i>	2	\$0	\$200,000	\$0	\$0	\$200,000
<b>Signature Theatre Company, Inc.</b> 630 Ninth Avenue, Suite 1106 New York, NY 10036 <i>For its Signature Ticket initiative.</i>	2	\$0	\$70,000	\$0	\$35,000	\$35,000
<b>Smart Kolektiv</b> Alekse Nenadovica 34 Belgrade, 11000 Serbia <i>For its project, Business Contributions to Tackle Climate Change.</i>	7	\$0	\$30,000	\$0	\$30,000	\$0
<b>SmartPower Connecticut, Inc.</b> P.O. Box 1375 Glastonbury, CT 06033 <i>For general support.</i>	2	\$15,500	\$0	\$0	\$15,500	\$0
<b>Social Science Research Council</b> 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
<b>Society for Harmonious Development</b> B2, 335 Castle Peak Road Ding Kau Hong Kong China <i>For its youth engagement project in Guangzhou.</i>	8	\$0	\$35,000	\$0	\$35,000	\$0
<b>The Society for the Preservation of Weeksville and Bedford Stuyvesant History</b> P.O. Box 130120 St. John's Station Brooklyn, NY 11213 <i>For cash reserve.</i>	2	\$175,000	\$0	\$0	\$100,000	\$75,000
<b>Sofiya, Inc.</b> 6 East 39th Street, Suite 300 New York, NY 10016 <i>For its Connect Program.</i>	2	\$0	\$75,000	\$0	\$75,000	\$0
<b>South Centre</b> Ch. du Champ d'Anier 17 P.O. Box 228 Geneva 19, 1211 Switzerland <i>For the Program on Finance and Development.</i>	7	\$125,000	\$0	\$0	\$125,000	\$0

SCHEDULE 13

**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  
FYE12/31/2010**

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

<b>Recipient and Purpose</b>	<b>Tax Status</b>	<b>Beginning Balance</b>	<b>Approved In 2010</b>	<b>Lapsed In 2010</b>	<b>Paid In 2010</b>	<b>Ending Balance</b>
South Centre Ch. du Champ d'Anier 17 P.O. Box 228 Geneva 19, 1211 Switzerland <i>For general support.</i>	7	\$0	\$200,000	\$0	\$200,000	\$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
State of St. Louis Foundation One Metropolitan Square Suite 1300 St. Louis, MO 63102 <i>For its Climate Prosperity Project.</i>	2	\$250,000	\$0	\$0	\$250,000	\$0
Stephen Patronio Dance Company 140 Second Avenue Suite 504 New York, NY 10003 <i>For capacity building.</i>	2	\$25,000	\$0	\$0	\$25,000	\$0
The Henry L. Stimson Center 1111 19th Street, NW, 12th Floor Washington, D.C. 20036 <i>For its project, the Global Systems Initiative.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
The Henry L. Stimson Center 1111 19th Street, NW, 12th Floor Washington, D.C. 20036 <i>For its Security for a New Century program.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
Stone Barns Restoration Corp 630 Bedford Road Pocantico Hills, NY 10591 <i>For the first phase of its New York City Regional Foodshed Analysis project.</i>	3	\$0	\$25,000	\$0	\$25,000	\$0
Sustainable Fisheries Partnership Foundation 720 Ocean View Drive, Suite 1 Honolulu, HI 96810 <i>For its project, the Sustainable Fisheries Partnership.</i>	2	\$0	\$57,500	\$0	\$57,500	\$0
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



SCHEDULE 13

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**  
**FYE12/31/2010**

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

<b>Recipient and Purpose</b>	<b>Tax Status</b>	<b>Beginning Balance</b>	<b>Approved in 2010</b>	<b>Lapsed in 2010</b>	<b>Paid in 2010</b>	<b>Ending Balance</b>
<b>Sustainable Markets Foundation</b> 45 West 36th Street, 6th Floor New York, NY 10018-7635 <i>For its 350.org project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>Sustainable Markets Foundation</b> 45 West 36th Street, 6th Floor New York, NY 10018-7635 <i>For its project, ClimateSignals.</i>	2	\$0	\$3,000	\$0	\$3,000	\$0
<b>Tehtabba Foundation, Inc.</b> 1 Roman Ayson Road P.O. Box 1993 Bagulo City, 2600 Philippines <i>For its education and outreach on International climate policy processes.</i>	7	\$75,000	\$0	\$0	\$0	\$75,000
<b>TechSoup Global</b> 435 Brannan Street, Suite 100 San Francisco, CA 94107-1780 <i>For its work to strengthen the technology infrastructure of civil society organizations in the Western Balkans.</i>	2	\$0	\$80,000	\$0	\$80,000	\$0
<b>TechSoup Global</b> 435 Brannan Street, Suite 100 San Francisco, CA 94107-1780 <i>For the launch, operation, and growth of its project, NGOsource, the NGO Repository of Equivalency Determination Information.</i>	2	\$0	\$75,000	\$0	\$21,862	\$53,138
<b>Third World Network Berhad</b> 131 Jalan Macalister Road Penang, 10400 Malaysia <i>To build capacity on climate policy with developing-country governments and civil society organizations.</i>	7	\$100,000	\$0	\$0	\$100,000	\$0
<b>Third World Network Berhad</b> 131 Jalan Macalister Road Penang, 10400 Malaysia <i>For an analysis and strategy-setting meeting of international climate policy nongovernmental organizations and their networks.</i>	7	\$0	\$40,000	\$0	\$40,000	\$0
<b>Third World Network Ghana</b> 9 Ollenu Street, East Legon P.O. Box 19452 Accra Ghana <i>For its regional work on trade.</i>	7	\$0	\$150,000	\$0	\$75,000	\$75,000

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**  
**FYE12/31/2010**

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Tides Center P.O. Box 29907 San Francisco, CA 94129-0907 <i>For its project, the Generational Alliance.</i>	2	\$100,000	\$0	\$0	\$100,000	\$0
Tides Center P.O. Box 29907 San Francisco, CA 94129-0907 <i>For the Connect U.S. Fund's meeting on systems thinking and global policy.</i>	2	\$0	\$7,000	\$0	\$7,000	\$0
Tides Center P.O. Box 29907 San Francisco, CA 94129-0907 <i>For Its Democracy in the Senate Project.</i>	2	\$0	\$150,000	\$0	\$150,000	\$0
Tides Center P.O. Box 29907 San Francisco, CA 94129-0907 <i>For its project, the New Policy Institute.</i>	2	\$0	\$19,500	\$0	\$19,500	\$0
Truman National Security Project Educational Institute 1420 K Street, NW Suite 250 Washington, D.C. 20005 <i>For its work on climate change.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
The Trust for Public Land The Trust for Public Land National Office 101 Montgomery Street, Suite 900 San Francisco, CA 94104 <i>For its project to identify and support U.S. municipalities interested in implementing carbon reduction efforts.</i>	2	\$0	\$68,000	\$8,000	\$60,000	\$0
Tsinghua University Institute of Energy, Environment, and Economy Beijing, 100084 China <i>For its Institute of Energy, Environment and Economy for the project, Creating a Common Platform Simulator to Support the Disaggregation of National Carbon Emissions Reduction Target.</i>	6	\$0	\$100,000	\$0	\$100,000	\$0
Trustees of Tufts College Medford, MA 02155 <i>For its Global Development and Environment Institute for further development of its research and communications program on globalization and sustainable development.</i>	1	\$82,200	\$0	\$0	\$82,200	\$0

**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**  
**FYE12/31/2010**

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<b>Recipient and Purpose</b>	<b>Tax Status</b>	<b>Beginning Balance</b>	<b>Approved in 2010</b>	<b>Lapsed in 2010</b>	<b>Paid in 2010</b>	<b>Ending Balance</b>
<b>The U.S. Climate Action Network</b> 1810 16th Street, NW Washington, D.C. 20009 <i>For its China Strategy project.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>The U.S. Climate Action Network</b> 1810 16th Street, NW Washington, D.C. 20009 <i>For its Facing the Climate Security Threat project.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0
<b>The U.S. Climate Action Network</b> 1810 16th Street, NW Washington, D.C. 20009 <i>To help bridge a budget gap at the end of 2010.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
<b>United Nations</b> 1 UN Plaza New York, NY 10017 <i>For its program, the United Nations Conference on Trade and Development, for its mapping study of multilateral negotiating processes.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
<b>United Nations</b> 1 UN Plaza New York, NY 10017 <i>To its program, the United Nations Non-Governmental Liaison Service, for its work on climate finance.</i>	2	\$0	\$20,000	\$0	\$20,000	\$0
<b>School of Unity and Liberation</b> 1904 Franklin Street, Suite 904 Oakland, CA 94612 <i>For its youth organizing training and internship programs.</i>	2	\$0	\$35,000	\$0	\$35,000	\$0
<b>US Working Group, Inc.</b> dba Forest Stewardship Council US 212 Third Avenue North, Suite 280 Minneapolis, MN 55401 <i>For general support.</i>	2	\$75,000	\$0	\$0	\$75,000	\$0
<b>USAAction Education Fund</b> 1825 K Street, NW Suite 210 Washington, D.C. 20006 <i>For general support.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
<b>Vermont Law School</b> 164 Chelsea Street P.O. Box 96 South Royalton, VT 05068 <i>For its project on the transition to a new economy.</i>	1	\$0	\$50,000	\$0	\$50,000	\$0

SCHEDULE 13

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**  
**FYE 12/31/2010**

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Washington State University Pullman, WA 99164-5020 <i>For its Muslim World Media Survey in Pakistan.</i>	1	\$0	\$51,300	\$0	\$51,300	\$0
Welfare Association Al-Nahda Square, Canada Street Ramallah Palestine <i>For the Arab Foundations Forum.</i>	7	\$0	\$50,000	\$0	\$50,000	\$0
What is Missing Foundation 112 Prince Street New York, NY 10012 <i>For the What is Missing? memorial in its offset program and partnership with the Clinton Global Initiative to raise awareness on deforestation and its contribution to global warming.</i>	3	\$25,000	\$0	\$0	\$25,000	\$0
What is Missing Foundation 112 Prince Street New York, NY 10012 <i>To support the development of core media content.</i>	3	\$0	\$25,000	\$0	\$25,000	\$0
WildAid, Inc. 744 Montgomery Street, Suite 300 San Francisco, CA 94111 <i>To support its 5 TO DO TODAY campaign in China for energy conservation to combat climate change.</i>	2	\$0	\$200,000	\$0	\$200,000	\$0
The Wilderness Foundation P.O. Box 12509 Central Port Elizabeth, 6006 South Africa <i>For its project, The Development of a Universal Declaration of the Rights of Mother Earth.</i>	7	\$0	\$40,000	\$0	\$40,000	\$0
Women's Voices-Women Vote 1640 Rhode Island Avenue, NW Suite 825 Washington, D.C. 20036 <i>For general support.</i>	2	\$0	\$30,000	\$0	\$30,000	\$0
Woodrow Wilson International Center for Scholars One Woodrow Wilson Plaza 1300 Pennsylvania Avenue, NW Washington, D.C. 20004 <i>For its China Environment Forum's publication on United States and China energy and climate actions and collaborations.</i>	2	\$39,000	\$0	\$0	\$39,000	\$0

PART XV, Lines 3(a) and 3(b) Grants and Contributions Paid During the Year and Approved for Future Payment  
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**FYE12/31/2010**

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
<b>Woodrow Wilson International Center for Scholars</b> One Woodrow Wilson Plaza 1300 Pennsylvania Avenue, NW Washington, D.C. 20004 <i>For its public diplomacy initiative working group.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
<b>Woodrow Wilson National Fellowship Foundation</b> 5 Vaughn Drive Suite 300 Princeton, NJ 08543-5281 <i>For transition of the Fellowships for Aspiring Teachers of Color to the Woodrow Wilson National Fellowship Foundation.</i>	2	\$2,500,000	\$0	\$0	\$1,250,000	\$1,250,000
<b>Works and Process, Inc.</b> 845 Third Avenue 16th Floor New York, NY 10022 <i>For general support.</i>	2	\$0	\$50,000	\$0	\$50,000	\$0
<b>World Music Productions</b> 688 Union Street Brooklyn, NY 11215 <i>For a new media director position.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
<b>World Resources Institute</b> 10 G Street, NE Washington, D.C. 20002 <i>For its International Financial Flows and Environment Project.</i>	2	\$50,000	\$0	\$0	\$50,000	\$0
<b>World Resources Institute</b> 10 G Street, NE Washington, D.C. 20002 <i>For the International Financial Flows and Environment Project of its Institutions and Governance program, to monitor the global public climate finance and advocate for clean energy policies in the Multilateral Development Banks.</i>	2	\$200,000	\$0	\$0	\$200,000	\$0
<b>World Resources Institute</b> 10 G Street, NE Washington, D.C. 20002 <i>For its U.S.-China Climate and Energy Information Network: Advancing Climate Protection through Better Information.</i>	2	\$0	\$100,000	\$0	\$100,000	\$0

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**  
 FYE12/31/2010

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Recipient and Purpose	Tax Status	Beginning Balance	Approved In 2010	Lapsed In 2010	Paid In 2010	Ending Balance
World Resources Institute 10 G Street, NE Washington, D.C. 20002 <i>For the International Financial Flows and Environment Project of its Institutions and Governance Program, for its work on emerging financial actors and social and environmental safeguards.</i>	2	\$0	\$70,000	\$0	\$70,000	\$0
Yale University New Haven, CT 06520 <i>For its project on U.S.-Iran relations during the first year of the Obama administration.</i>	1	\$0	\$5,000	\$0	\$5,000	\$0
Young Audiences/New York, Inc. One East 53rd Street New York, NY 10022 <i>For endowment.</i>	2	\$250,000	\$0	\$0	\$100,000	\$150,000
Youth America Grand Prix, Inc. 304 Park Avenue South, Suite 1004 New York, NY 10010 <i>To commission and present new ballet choreography.</i>	2	\$0	\$25,000	\$0	\$25,000	\$0
Youth Initiative for Human Rights Kondida 26/II Belgrade, 11000 Serbia <i>For general support.</i>	7	\$50,000	\$0	\$0	\$50,000	\$0
Youth Initiative for Human Rights - Montenegro Vukice Mitrovic 16 Podgorica, 20000 Montenegro <i>For its School of Democratic Leadership.</i>	7	\$0	\$25,000	\$0	\$25,000	\$0
Yunnan Health and Development Research Association No. 102, 1st Unit, 6th Group, Yinhalshanshuijian, No. 748 Dianchi Road Kunming, 650228 China <i>For general support for its work on environment and health.</i>	7	\$0	\$150,000	\$0	\$75,000	\$75,000

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**  
 FYE12/31/2010

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Recipient and Purpose	Tax Status	Beginning Balance	Approved in 2010	Lapsed in 2010	Paid in 2010	Ending Balance
Zhongshan University Room 807, Science and Technology Park No. 135, Xingang West Road Guangzhou, Guangdong 510275 China For the Institute for Civil Society.	6	\$89,000	\$0.00	50	\$89,000	\$0
<b>Grand Total</b>		<b>\$12,885,311</b>	<b>\$22,754,317</b>	<b>\$263,000</b>	<b>\$28,027,249</b>	<b>\$7,349,379</b>
<i>Known historical difference</i>		<i>\$1</i>	<i>\$0</i>	<i>\$0</i>	<i>\$0</i>	<i>\$2</i>
<b>Per G/L @ 12/31/2010</b>		<b>\$12,885,310</b>	<b>\$22,754,317</b>	<b>\$263,000</b>	<b>\$28,027,249</b>	<b>\$7,349,377</b>

2010 Matching Gifts (see following attached schedule)

38,757

**Total Part XV, Line 3(a) \$ 28,066,006**

**Total Part XV, Line 3(b)**

**\$ 7,349,377**

Key to Tax Status

- 1 U.S. church, school, hospital, government agency  
509(a)(1) and 170(b)(1)(A)(i-ii, 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)

ROCKEFELLER BROTHERS FUND, INC.  
 13-1760106  
 478 Riverside Drive, Suite 900  
 New York, New York 10118

SCHEDULE 19  
 FORM 990-PF  
 YEAR 2010

**Detail of Employee Matching Gifts**

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

Date	Organization	Matching Gift Amount
2/12/2010	NEW YORK FOUNDATION FOR THE ARTS	\$ 175.00
2/12/2010	SECU FAMILY HOUSE AT UNC HOSPITAL	50.00
2/12/2010	CHILDREN'S TUMOR FOUNDATION	50.00
2/12/2010	DEMOS	500.00
2/12/2010	INDEPENDENT SECTOR	500.00
2/12/2010	INTERNATIONAL RESCUE COMMITTEE	100.00
2/12/2010	INTERNATIONAL CENTER FOR	50.00
2/12/2010	HOPITAL ALBERT SCHWENZER HAIT	200.00
2/12/2010	STONE BARNES CENTER FOR AGRICULTURE	100.00
2/26/2010	MEDICC	200.00
2/26/2010	ACTION AID INTERNATIONAL USA	144.00
2/26/2010	J.CLARK MATCHING GIFT DOC W/ B	200.00
3/5/2010	JOSEPH UNANUE INSTITUTE OF SET	210.00
3/5/2010	FOOD BANK FOR NEW YORK CITY	50.00
3/5/2010	DOCTORS WITHOUT BORDERS USA	200.00
3/19/2010	THE DOE FUND	100.00
3/19/2010	SPCA OF CENTRAL FLORIDA	100.00
3/19/2010	BALLET HISPANICO	375.00
3/19/2010	AMIGOS DEL MUSEO DEL BARRIO	1,000.00
3/19/2010	CARE	200.00
3/19/2010	SHELburnE MUSEUM	65.00
3/19/2010	CARE	100.00
3/19/2010	AMERICAN RED CROSS	40.00
4/9/2010	BETHANY BEACH VOLUNTEES FIRE DEPT	40.00
4/29/2010	PARTNERS IN HEALTH	500.00
4/29/2010	SAVE THE CHILDREN FEDERATION	120.00
4/29/2010	LEUKEMIA & LYMPHOMA SOCIETY	25.00
4/29/2010	ALZHEIMER'S ASSOCIATION	100.00
4/29/2010	MARYLAND ZOO IN BALTIMORE	50.00
4/29/2010	YALE UNIVERSITY	525.00
4/29/2010	SAVE THE CHILDREN FEDERATION	200.00
4/29/2010	AMERICAN HEART ASSOCIATION	25.00
5/7/2010	NORTH AMERICAN BUTTERFLY	30.00
5/7/2010	AFSP	75.00
5/7/2010	AMERICAN CANCER SOCIETY INC.	91.00
5/7/2010	COLUMBIA UNIVERSITY	3,000.00
5/13/2010	SMITHSONIAN NATIONAL PORTRAIT	250.00
5/28/2010	WNYC	74.00
5/28/2010	AUTISM SPEAKS	30.00
5/28/2010	COLUMBIA UNIVERSITY	70.00
6/4/2010	BATES COLLEGE	100.00
6/17/2010	SILENT ANIMAL VOICES ECHO, INC	200.00
6/17/2010	WOMEN FOR AFGHAN WOMEN	50.00
6/17/2010	NATIONAL COUNCIL JEWISH WOMEN	68.00
6/17/2010	ST. JUDE CHILDREN'S RESEARCH	25.00
6/28/2010	BROADWAY CARES/EQUITY FIGHTS	325.00
6/28/2010	THE FOOTE SCHOOL	200.00
6/28/2010	SUSAN G. KOMEN FOR THE CURE	15.00
6/29/2010	ELMIRA COLLEGE	50.00
7/16/2010	INTERNATIONAL FUND FOR ANIMAL	200.00
7/16/2010	WNET.ORG	125.00
7/16/2010	GLOBAL GIVING FOUNDATION	45.00
7/16/2010	CARE	50.00
7/16/2010	INTERNATIONAL RESCUE COMMITTEE	75.00
7/16/2010	BARNARD COLLEGE	100.00
7/16/2010	GIRL SCOUTS HEART OF THE HUDSON	25.00
8/6/2010	ANIMAL RESCUE FORCE	50.00



ROCKEFELLER BROTHERS FUND, INC.  
 13-2768106  
 478 Riverside Drive, Suite 800  
 New York, New York 10116

SCHEDULE 13  
 FORM 990-PF  
 YEAR 2010

Detail of Employee Matching Gifts

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

Date	Organization	Matching Gift Amount
8/6/2010	PARALYZED VETERANS OF AMERICA	200.00
9/10/2010	LINNAEAN SOCIETY OF NEW YORK	35.00
9/10/2010	NEW YORK CITY AUDUBON SOCIETY	50.00
9/10/2010	CHESTER THEATRE GROUP	200.00
9/10/2010	THE NICHOLAS ROSSOMANDO	650.00
9/10/2010	CASITA MARIA, INC.	1,000.00
9/10/2010	CECIL COMMUNITY COLLEGE FOUNDATION	400.00
9/10/2010	NATIONAL MOBILIZATION AGAINST	25.00
9/24/2010	MDA	50.00
9/30/2010	CHASHAMA INC.	500.00
9/30/2010	TEAM CONTINUUM, INC.	100.00
10/14/2010	INFINITE FAMILY	50.00
10/14/2010	THE CENTER FOR HOPE HOSPICE	50.00
10/14/2010	FIERCE	50.00
10/21/2010	ACHILLES INTERNATIONAL	25.00
10/21/2010	DONORS CHOOSE. ORG	100.00
10/21/2010	AMERICAN CANCER SOCIETY	25.00
11/1/2010	ISLAND DOG	500.00
11/1/2010	SAVE (SILENT ANIMAL VOICES ECH	200.00
11/1/2010	ARAB COMMUNITY CENTER FOR	1,000.00
11/1/2010	MISGRICORDIA HOME	50.00
11/1/2010	HUDSON RIVER MUSEUM	150.00
11/1/2010	DANCE THEATER IN WESTCHESTER	95.00
11/4/2010	THE LEUKEMIA & LYMPHOMA SOCIET	50.00
11/11/2010	ALZHEIMER'S ASSOCIATION	50.00
11/11/2010	DONORS CHOOSE. ORG	65.00
11/11/2010	DUKE UNIVERSITY	50.00
11/11/2010	STONE BARNS CENTER FOR AGRICULTURE	125.00
11/18/2010	CHILDREN'S CHORUS OF WASHINGTON	100.00
11/18/2010	LONG ISLAND COUNCIL OF CHURCHES	250.00
11/18/2010	SETON HALL UNIVERSITY	500.00
11/18/2010	NATIONAL MULTIPLE SCLEROSIS SOCIETY	100.00
11/18/2010	CHINESE STAFF AND WORKERS ASSOCIATION	500.00
12/16/2010	THE NATURE CONSERVANCY OF HAWAII	50.00
12/16/2010	THE NATURE CONSERVANCY	50.00
12/16/2010	STONE EDUCATIONAL SYSTEMS, INC	2,500.00
12/16/2010	BIDE AWEE	10.00
12/16/2010	ASPCA	250.00
12/16/2010	CASITA MARIA, INC.	250.00
12/16/2010	ST. ANGUSTINES PROJECT, INC.	100.00
12/16/2010	THE COLLEGE OF WOOSTER	500.00
12/16/2010	WESTCHESTER EXCEPTIONAL CHILDR	75.00
12/16/2010	THIRTEEN WNET	125.00
12/16/2010	HABITAT FOR HUMANITY HEWARK	100.00
12/16/2010	NEW YORK PUBLIC RADIO	150.00
12/16/2010	COLUMBIA UNIVERSITY	100.00
12/16/2010	SHELBURNE MUSEUM	2,000.00
12/16/2010	SADDLE RIVER DAY SCHOOL	200.00
12/16/2010	LYNDHURST	500.00
12/21/2010	TRINITY SCHOOL	1,000.00
12/21/2010	WILLAMETTE VALLEY LAW PROJECT/	50.00
12/21/2010	DONORS CHOOSE. ORG	200.00
12/29/2010	ALLEN COUNTY HISTORICAL SOCIET	500.00
12/29/2010	BIDE AWEE	250.00
12/29/2010	AMERICAN CANCER SOCIETY INC.	50.00
12/29/2010	WESTCHESTER COUNTY HISTORICAL	225.00
12/29/2010	HUDSON RIVER MUSEUM	220.00

ROCKEFELLER BROTHERS FUND, INC.  
13-176016  
478 Riverside Drive, Suite 900  
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SCHEDULE 13  
FORM 990-PF  
YEAR 2010

**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>
12/29/2010	GREATER HUDSON HERITAGE NETWORK	100.00
12/31/2010	Friends Seminary	1,000.00
12/31/2010	Asian Cultural Council	500.00
12/31/2010	Bethany Beach Volunteer Fire Department	25.00
12/31/2010	Bowdoin College	1,000.00
12/31/2010	Center for Rural Strategies	500.00
12/31/2010	Center for Effective Philanthropy	500.00
12/31/2010	Demos	500.00
12/31/2010	Hedgebrook	600.00
12/31/2010	Independent Sector	1,000.00
12/31/2010	Phillips Exeter Academy	500.00
12/31/2010	Trinity School	2,000.00
12/31/2010	Winrock International	500.00
12/31/2010	Fierce	600.00
12/31/2010	God's Love, We Deliver	240.00
12/31/2010	Purse of Hope	100.00
12/31/2010	St. Jude's Children Research Hospital	25.00
12/31/2010	Elmira College	200.00
12/31/2010	Shelburne Museum	500.00
		<u>\$ 38,757.00</u>