Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

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

OMB No. 1545-0052

**2019**

**Open to Public Inspection**

**For calendar year 2019, or tax year beginning 01-01-2019 , and ending 12-31-2019**

Name of foundation
THE ROCKEFELLER FOUNDATION

**A Employer identification number**
13-1659629

Number and street (or P.O. box number if mail is not delivered to street address) Room/suite
420 FIFTH AVENUE

**B** Telephone number (see instructions)
(212) 852-8361

City or town, state or province, country, and ZIP or foreign postal code
NEW YORK, NY 100182702

**C** If exemption application is pending, check here ▶ ☐

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

**D 1.** Foreign organizations, check here..... ▶ ☐
**2.** Foreign organizations meeting the 85% test, check here and attach computation ... ▶ ☐

**H** Check type of organization: ☑ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

**E** If private foundation status was terminated under section 507(b)(1)(A), check here ..... ▶ ☐

**I** Fair market value of all assets at end of year (from Part II, col. (c), *line 16)* ▶$ 4,929,907,452

**J** Accounting method: ☐ Cash ☑ Accrual ☐ Other (specify)
*(Part I, column (d) must be on cash basis.)*

**F** If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ..... ▶ ☐

**Part I** **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)*

| | | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc., received (attach schedule) | 793,344 | | | |
| | 2 | Check ▶ ☐ if the foundation is **not** required to attach Sch. B | | | | |
| | 3 | Interest on savings and temporary cash investments | 4,035,221 | 4,035,221 | | |
| | 4 | Dividends and interest from securities | 14,934,109 | 37,178,652 | | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 318,721,441 | | | |
| | b | Gross sales price for all assets on line 6a 229,577,284 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 193,133,090 | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less: Cost of goods sold | | | | |
| | c | Gross profit or (loss) (attach schedule) | | | | |
| | 11 | Other income (attach schedule) | -996,389 | 2,040,970 | 1,519 | |
| | 12 | **Total.** Add lines 1 through 11 | 337,487,726 | 236,387,933 | 1,519 | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc. | 5,590,193 | 2,207,256 | 0 | 3,382,937 |
| | 14 | Other employee salaries and wages | 27,151,792 | 4,146,059 | 1,519 | 22,493,089 |
| | 15 | Pension plans, employee benefits | 9,517,275 | 952,198 | 0 | 8,829,937 |
| | 16a | Legal fees (attach schedule) | 5,802,076 | 277,974 | 0 | 4,794,045 |
| | b | Accounting fees (attach schedule) | 398,575 | 213,734 | 0 | 126,841 |
| | c | Other professional fees (attach schedule) | 33,162,712 | 5,631,647 | 0 | 26,431,127 |
| | 17 | Interest | 271,592 | 2,550,157 | 0 | 271,592 |
| | 18 | Taxes (attach schedule) (see instructions) | 1,198,366 | 2,540,744 | 0 | 0 |
| | 19 | Depreciation (attach schedule) and depletion | 2,566,233 | 228,510 | 0 | |
| | 20 | Occupancy | 2,556,647 | 144,091 | 0 | 2,412,555 |
| | 21 | Travel, conferences, and meetings | 4,813,856 | 310,081 | 0 | 4,763,747 |
| | 22 | Printing and publications | 207,829 | 14,038 | 0 | 193,791 |
| | 23 | Other expenses (attach schedule) | 5,468,431 | 35,663,460 | 0 | 5,283,266 |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 98,705,577 | 54,879,949 | 1,519 | 78,982,927 |
| | 25 | Contributions, gifts, grants paid | 150,802,470 | | | 146,298,106 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 249,508,047 | 54,879,949 | 1,519 | 225,281,033 |
| | 27 | Subtract line 26 from line 12: | | | | |
| | a | **Excess of revenue over expenses and disbursements** | 87,979,679 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 181,507,984 | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | 0 | |

**Part II** **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash—non-interest-bearing | 14,244,459 | 33,978,439 | 33,978,439 |
| | 2 | Savings and temporary cash investments | 136,883,934 | 242,539,094 | 242,539,094 |
| | 3 | Accounts receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments—U.S. and state government obligations (attach schedule) | 32,113,710 | 33,044,574 | 33,044,574 |
| | b | Investments—corporate stock (attach schedule) | 9,763,596 | 11,348,183 | 11,348,183 |
| | c | Investments—corporate bonds (attach schedule) | | | |
| | 11 | Investments—land, buildings, and equipment: basis ▶ | | | |
| | | Less: accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | 4,183,874,772 | 4,537,017,372 | 4,537,017,372 |
| | 14 | Land, buildings, and equipment: basis ▶ 51,167,348 | | | |
| | | Less: accumulated depreciation (attach schedule) ▶ 41,699,560 | 9,462,474 | 9,467,788 | 9,467,788 |
| | 15 | Other assets (describe ▶ ) | 57,531,397 | 62,512,002 | 62,512,002 |
| | 16 | **Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I) | 4,443,874,342 | 4,929,907,452 | 4,929,907,452 |
| Liabilities | 17 | Accounts payable and accrued expenses | 8,006,451 | 9,557,398 | |
| | 18 | Grants payable | 68,332,902 | 72,837,268 | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | 46,061,989 | 51,974,786 | |
| | 23 | **Total liabilities**(add lines 17 through 22) | 122,401,342 | 134,369,452 | |
| Net Assets or Fund Balances | | **Foundations that follow FASB ASC 958, check here** ▶ ☑ **and complete lines 24, 25, 29 and 30.** | | | |
| | 24 | Net assets without donor restrictions | 4,321,473,000 | 4,795,538,000 | |
| | 25 | Net assets with donor restrictions | | | |
| | | **Foundations that do not follow FASB ASC 958, check here** ▶ ☐ **and complete lines 26 through 30.** | | | |
| | 26 | Capital stock, trust principal, or current funds | | | |
| | 27 | Paid-in or capital surplus, or land, bldg., and equipment fund | | | |
| | 28 | Retained earnings, accumulated income, endowment, or other funds | | | |
| | 29 | **Total net assets or fund balances** (see instructions) | 4,321,473,000 | 4,795,538,000 | |
| | 30 | **Total liabilities and net assets/fund balances** (see instructions) | 4,443,874,342 | 4,929,907,452 | |

**Part III** **Analysis of Changes in Net Assets or Fund Balances**

| | | | |
|---|---|---|---|
| 1 | Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return) | 1 | 4,321,473,000 |
| 2 | Enter amount from Part I, line 27a | 2 | 87,979,679 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 394,163,706 |
| 4 | Add lines 1, 2, and 3 | 4 | 4,803,616,385 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 8,078,385 |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 | 6 | 4,795,538,000 |

**Part XI Capital Gains and Losses for Tax on Investment Income**

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired P—Purchase D—Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|
| 1a SOLDS OF PUBLICLY TRADED STOCK/ INCOME DISTRIBUTIONS | | | |
| b 1099-B SUPPLEMENTAL INFORMATION FOR SECURITIES | | | |
| c ADVENTRIS GROWTH OPPORT | P | | |
| d ADVENTRIS GROWTH OPPORT | P | | |
| e MISCELLANEOUS FOREIGN INCOME STATMENT | P | | |
| f AMCI ADV | P | | |
| g AMCI ADV | P | | |
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| i AMCI PARTNERS XII | P | | |
| j AMCI XII FUNDS LLC | P | | |
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## Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ **(attach copy of letter if necessary–see instructions)** | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b | 1 | 1,815,080 |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | 0 |
| 3 | Add lines 1 and 2 | 3 | 1,815,080 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | 0 |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 1,815,080 |
| 6 | Credits/Payments: | | |
| a | 2019 estimated tax payments and 2018 overpayment credited to 2019 — 6a: 7,460,000 | | |
| b | Exempt foreign organizations—tax withheld at source — 6b: | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c: 0 | | |
| d | Backup withholding erroneously withheld — 6d: 0 | | |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | 7,460,000 |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☑ if Form 2220 is attached. | 8 | 0 |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | 5,644,920 |
| 11 | Enter the amount of line 10 to be: **Credited to 2020 estimated tax** ▶ 5,644,920 **Refunded** ▶ | 11 | 0 |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | No |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition) | 1b | | No |
| | *If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ 0 **(2)** On foundation managers. ▶ $ 0 | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0 | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.* | 2 | | No |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | Yes | |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | Yes | |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | Yes | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.* | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | Yes | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV.* | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY, CA | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation* | 8b | Yes | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2019 or the taxable year beginning in 2019? See the instructions for Part XIV. If "Yes," complete Part XIV | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.* | 10 | | No |

## Part VII-A Statements Regarding Activities (continued)

| | | | | |
|---|---|---|---|---|
| **11** | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions | **11** | **Yes** | |
| **12** | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions | **12** | | **No** |
| **13** | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | **13** | **Yes** | |

Website address ▶ WWW.ROCKEFELLERFOUNDATION.ORG

**14** The books are in care of ▶ DOMINICK J IMPEMBA CPACGMACFO Telephone no. ▶ (212) 852-8361

Located at ▶ 420 FIFTH AVENUE NEW YORK NY ZIP+4 ▶ 100182702

**15** Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ **15**

| | | | Yes | No |
|---|---|---|---|---|
| **16** | At any time during calendar year 2019, 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** | |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign country ▶ UNITED KINGDOM | | | |

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

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

| | | | Yes | No |
|---|---|---|---|---|
| **1a** | During the year did the foundation (either directly or indirectly): | | | |
| | **(1)** Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☑ No | | | |
| | **(2)** Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No | | | |
| | **(3)** Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☑ Yes ☐ No | | | |
| | **(4)** Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☑ Yes ☐ No | | | |
| | **(5)** Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☑ No | | | |
| | **(6)** Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☑ No | | | |
| **b** | If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions | **1b** | | **No** |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| **c** | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2019? | **1c** | | **No** |
| **2** | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | | |
| **a** | At the end of tax year 2019, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2019? ☐ Yes ☑ No<br>If "Yes," list the years ▶ 20____, 20____, 20____, 20____ | | | |
| **b** | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions.) | **2b** | | |
| **c** | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here.<br>▶ 20____, 20____, 20____, 20____ | | | |
| **3a** | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☑ Yes ☐ No | | | |
| **b** | If "Yes," did it have excess business holdings in 2019 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 2019.)* | **3b** | | **No** |
| **4a** | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | **4a** | | **No** |
| **b** | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2019? | **4b** | | **No** |

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

| | | | Yes | No |
|---|---|---|---|---|
| **5a** | During the year did the foundation pay or incur any amount to: | | | |
| | **(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No | | | |
| | **(2)** Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No | | | |
| | **(3)** Provide a grant to an individual for travel, study, or other similar purposes? ☑ Yes ☐ No | | | |
| | **(4)** Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions ☑ Yes ☐ No | | | |
| | **(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No | | | |
| **b** | If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions | **5b** | | 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? | **6b** | | 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? | **7b** | | |
| **8** | Is the foundation subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment during the year? ☑ Yes ☐ No | | | |

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**

**1 List all officers, directors, trustees, foundation managers and their compensation. See instructions**

| **(a)** Name and address | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation **(If not paid, enter -0-)** | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| RICHARD D PARSONS<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE, CHAIR<br>2.00 | 9,500 | 0 | 0 |
| AGNES BINAGWAHO<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE - EFFECTIVE NOVEMBER 2019<br>2.00 | 0 | 0 | 0 |
| HELENE GAYLE<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 7,000 | 0 | 0 |
| MELLODY HOBSON<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 9,000 | 0 | 0 |
| WALTER ISAACSON<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>0.01 | 0 | 0 | 0 |
| DONALD KABERUKA<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 7,500 | 0 | 0 |
| MARTIN LEIBOWITZ<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.50 | 9,000 | 0 | 0 |
| YIFEI LI<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 9,000 | 0 | 0 |
| NDIDI OKONKWO NWUNELI<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 5,000 | 0 | 0 |
| PAUL POLMAN<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 0 | 0 | 0 |
| SHARON PERCY ROCKEFELLER<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 5,500 | 0 | 0 |
| JOHN W ROWE<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.50 | 7,000 | 0 | 0 |
| JAMES G STAVRIDIS<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.50 | 7,500 | 0 | 0 |
| PATRICIA STONESIFER<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE - EFFECTIVE NOVEMBER 2019<br>2.00 | 9,000 | 0 | 0 |
| RAVI VENKATESAN<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TRUSTEE<br>2.00 | 9,000 | 0 | 0 |
| RAJEEV J SHAH<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | PRESIDENT<br>45.00 | 1,221,378 | 77,822 | 0 |
| STEVEN VANROEKEL<br>C/O FOUNDATION 420 FIFTH AVENUE | CHIEF OPERATING OFFICER<br>45.00 | 505,060 | 77,587 | 0 |

| (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 |
|---|---|---|---|---|
| NEW YORK, NY 10018 | | | | |
| DONNA J DEAN<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | CHIEF INVESTMENT OFFICER<br>45.00 | 1,371,952 | 55,087 | 0 |
| CHUN LAI<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | CHIEF INVESTMENT OFF. (EFF. 11/2019)<br>45.00 | 830,805 | 79,200 | 0 |
| DOMINICK IMPEMBA<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | TREASURER & CFO<br>45.00 | 400,366 | 78,799 | 0 |
| MARIA R SANTOS VALENTIN<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | SVP/CHIEF LEGAL, ETHICS & GOVERNANCE<br>45.00 | 310,411 | 46,674 | 0 |
| ZIA KHAN<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | SVP/CHIEF INNOVATION<br>45.00 | 500,092 | 56,702 | 0 |
| CHRISTINE M HEENAN<br>C/O FOUNDATION 420 FIFTH AVENUE<br>NEW YORK, NY 10018 | VICE PRESIDENT (THROUGH SEPT. 2019)<br>45.00 | 356,129 | 69,498 | 0 |

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

| (a) Name and address of each employee paid more than $50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| DOUGLASS COYLE<br>420 FIFTH AVENUE<br>NEW YORK,NY 10018 | DEPUTY CHIEF INVESTM<br>45.00 | 686,185 | 79,652 | 0 |
| MICHELLE PAK<br>420 FIFTH AVENUE<br>NEW YORK,NY 10018 | MANAGING DIRECTOR, I<br>45.00 | 562,931 | 79,858 | 0 |
| ASHVIN DAYAL<br>420 FIFTH AVENUE<br>NEW YORK,NY 10018 | SVP/CHIEF - POWER A N<br>45.00 | 547,349 | 79,652 | 0 |
| ROY STEINER<br>420 FIFTH AVENUE<br>NEW YORK,NY 10018 | SVP/CHIEF - FOOD INI<br>45.00 | 474,420 | 71,263 | 0 |
| DEBORAH C WRIGHT<br>420 FIFTH AVENUE<br>NEW YORK,NY 10018 | SVP/CHIEF - ECONOMIC<br>45.00 | 428,922 | 66,008 | 0 |
| **Total** number of other employees paid over $50,000. . . . . ▶ | | | | 109 |

**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 |
|---|---|---|
| ACCENTURE DEVELOPMENT PARTNERSHIPS<br>20 OLD BAILEY<br>LONDON<br>UK | PROGRAMMATIC CONSULTING SERVICE | 3,828,761 |
| PATTERSON BELKNAP WEBB & TYLER LLP<br>1133 AVENUE OF THE AMERICAS<br>NEW YORK,NY 10036 | LEGAL SERVICES | 2,584,243 |
| SECONDMUSE LLC<br>PO BOX 582<br>BERNALILLO,NM 87004 | PROGRAMMATIC CONSULTING SERVICE | 1,654,937 |
| VENTUCOM LLC<br>145 WEST 28TH ST 10TH FL<br>NEW YORK,NY 10001 | IT CONSULTANT | 1,244,851 |
| THE BANK OF NEW YORK MELLON<br>135 SANTILLI HIGHWAY<br>EVERETT,MA 02149 | CUSTODIAL SERVICE | 1,235,645 |

**Total** number of others receiving over $50,000 for professional services. . . . . ▶ 116

**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** SEE STATEMENT 32 | 5,956,090 |
| **2** ACCENTURE: TO CATALYZE A SYSTEM AND CULTURE OF DATA USE AND ANALYSIS IN INDIA AND UGANDA, WHICH WILL ALLOW NEW INSIGHTS TO INFORM FRONT-LINE DELIVERY OF HEALTH SERVICES, AND IMPROVE MATERNAL AND CHILD HEALTH OUTCOMES; ENGAGING MINISTRIES OF HEALTH TO DEVELOP DATA-DRIVEN INSIGHTS THAT WILL INFORM DECISIONS AROUND SERVICE DELIVERY, PLANNING, AND SUPPLY CHAINS. | 4,122,811 |
| **3** SMART POWER FOR RURAL DEVELOPMENT INDIA FOUNDATION ("SPI"): TO PROVIDE TECHNICAL ASSISTANCE TO DEVELOPERS AND HELP EXPAND THE FIELD OF OFFGRID RENEWABLE ENERGY TO RURAL VILLAGES IN INDIA. IN 2019, A SPECIFIC FOCUS WAS ON THE TATA POWER TRANSACTION WHEREIN RF, SPI AND TATA HAVE PARTNERED TO ROLL OUT A PILOT MINI-GRID PROJECT OF 300 VILLAGES WHICH WE HOPE TO SCALE UP TO 10,000 VILLAGES IN 10 YEARS. PROVIDING THE TECHNICAL ASSISTANCE FOR FREE ON THE SITE SELECTIONS, DEMAND/CUSTOMER ACQUISITION AND PLANT DESIGN. TATA WOULD PROVIDE OPERATION, MANAGEMENT, PROCUREMENT, AND CREDITORS TO THE PROJECT. RF IS PROVIDING THE FUNDING FOR ITS SUBSIDIARY, SPI, AND WILL PROVIDE CONCESSIONAL EQUITY CAPITAL AFTER THE PILOT PHASE IS COMPLETED AND SUCCESSFUL. | 3,349,923 |
| **4** FOOD SYSTEM VISION PRIZE: AN INVITATION FOR ORGANIZATIONS AROUND THE GLOBE TO DEVELOP A VISION OF THE REGENERATIVE AND NOURISHING FOOD SYSTEM THAT THEY ASPIRE TO CREATE BY THE YEAR 2050 AND EFFECTIVELY ADDRESSES SCIENTIFIC, TECHNOLOGICAL AND ENVIRONMENTAL TRENDS, GROWING RESOURCE DEMANDS, AND REGIONAL CHARACTERISTICS. THE PRIZE IS INTENDED TO AMPLIFY THE DISCOURSE ON THE STATE AND THE FUTURE OF THE WORLD'S MANY FOOD SYSTEMS AND TO EMPOWER COMMUNITIES GLOBALLY TO DEVELOP ACTIONABLE SOLUTIONS AND BECOME PROTAGONISTS IN THEIR OWN FOOD FUTURE. THE PRIZE COMPETITION WAS DESIGNED WITH ASSISTANCE FROM SECONDMUSE IN 2019 AND PRIZES WILL BE AWARDED IN 2020. | 1,654,937 |

**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** A PRI TO WINDGEN POWER USA INC. TO SUPPORT THE RELIEF OF POOR AND DISTRESSED PEOPLE IN COMMUNITIES IN SUB-SAHARAN AFRICA THAT HAVE INADEQUATE ACCESS TO ELECTRICITY | 2,500,000 |
| **2** A PRI TO ATLAS AI P.B.C. TO REVOLUTIONIZE THE MEASUREMENT OF ECONOMIC AND AGRICULTURAL ACTIVITY IN THE DEVELOPMENT SECTOR IN AFRICA AND OTHER EMERGING MARKETS | 2,000,000 |
| All other program-related investments. See instructions.<br>**3** | 2,494,139 |
| **Total.** Add lines 1 through 3 . . . . . ▶ | 6,994,139 |

## 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 | 4,594,955,607 |
| b | Average of monthly cash balances | | 1b | 49,772,645 |
| c | Fair market value of all other assets (see instructions) | | 1c | 10,063,571 |
| d | **Total** (add lines 1a, b, and c) | | 1d | 4,654,791,823 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e 0 | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | | 2 | 0 |
| 3 | Subtract line 2 from line 1d | | 3 | 4,654,791,823 |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | | 4 | 69,821,877 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | 5 | 4,584,969,946 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | | 6 | 229,248,497 |

## 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 | 229,248,497 |
| 2a | Tax on investment income for 2019 from Part VI, line 5 | 2a 1,815,080 | | |
| b | Income tax for 2019. (This does not include the tax from Part VI.) | 2b | | |
| c | Add lines 2a and 2b | | 2c | 1,815,080 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | 3 | 227,433,417 |
| 4 | Recoveries of amounts treated as qualifying distributions | | 4 | 4,638,605 |
| 5 | Add lines 3 and 4 | | 5 | 232,072,022 |
| 6 | Deduction from distributable amount (see instructions) | | 6 | 0 |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | 7 | 232,072,022 |

## 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 | 225,281,033 |
| b | Program-related investments—total from Part IX-B | 1b | 6,994,139 |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | 2,301,037 |
| 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 | 234,576,209 |
| 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 | 1,815,080 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 232,761,129 |

**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 2018 | (c) 2018 | (d) 2019 |
|---|---|---|---|---|
| **1** Distributable amount for 2019 from Part XI, line 7 | | | | 232,072,022 |
| **2** Undistributed income, if any, as of the end of 2019: | | | | |
| **a** Enter amount for 2018 only. . . . . | | | 0 | |
| **b** Total for prior years: 20___, 20___, 20___ | | 0 | | |
| **3** Excess distributions carryover, if any, to 2019: | | | | |
| **a** From 2014. . . . . | | | | |
| **b** From 2015. . . . . 5,493,837 | | | | |
| **c** From 2016. . . . . 583,399 | | | | |
| **d** From 2017. . . . . 816,930 | | | | |
| **e** From 2018. . . . . 4,768,114 | | | | |
| **f** **Total** of lines 3a through e. . . . . | 11,662,280 | | | |
| **4** Qualifying distributions for 2019 from Part XII, line 4: ▶ $ 234,576,209 | | | | |
| **a** Applied to 2018, but not more than line 2a | | | 0 | |
| **b** Applied to undistributed income of prior years (Election required—see instructions). . . . . | | 0 | | |
| **c** Treated as distributions out of corpus (Election required—see instructions). . . . . | 0 | | | |
| **d** Applied to 2019 distributable amount . . . . . | | | | 232,072,022 |
| **e** Remaining amount distributed out of corpus | 2,504,187 | | | |
| **5** Excess distributions carryover applied to 2019. *(If an amount appears in column (d), the same amount must be shown in column (a).)* | 0 | | | 0 |
| **6** **Enter the net total of each column as indicated below:** | | | | |
| **a** Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 | 14,166,467 | | | |
| **b** Prior years' undistributed income. Subtract line 4b from line 2b . . . . . | | 0 | | |
| **c** Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . . | | 0 | | |
| **d** Subtract line 6c from line 6b. Taxable amount —see instructions . . . . . | | 0 | | |
| **e** Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions . . . . . | | | 0 | |
| **f** Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020 . . . . . | | | | 0 |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) . . . . . | 0 | | | |
| **8** Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions) . . . | 0 | | | |
| **9** **Excess distributions carryover to 2020.** Subtract lines 7 and 8 from line 6a . . . . . | 14,166,467 | | | |
| **10** Analysis of line 9: | | | | |
| **a** Excess from 2015 . . . . 5,493,837 | | | | |
| **b** Excess from 2016 . . . . 583,399 | | | | |
| **c** Excess from 2017. . . . 816,930 | | | | |
| **d** Excess from 2018 . . . . 4,768,114 | | | | |
| **e** Excess from 2019 . . . . 2,504,187 | | | | |

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

**1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling

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

| | Tax year | Prior 3 years | | | (e) Total |
|---|---|---|---|---|---|
| | **(a)** 2019 | **(b)** 2018 | **(c)** 2017 | **(d)** 2016 | |
| **2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| **b** 85% of line 2a | | | | | |
| **c** Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| **d** Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| **e** Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c | | | | | |
| **3** Complete 3a, b, or c for the alternative test relied upon: **a** "Assets" alternative test—enter: **(1)** Value of all assets | | | | | |
| **(2)** Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| **b** "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| **c** "Support" alternative test—enter: **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| **(2)** Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| **(3)** Largest amount of support from an exempt organization | | | | | |
| **(4)** Gross investment income | | | | | |

## Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year—see instructions.)

**1 Information Regarding Foundation Managers:**

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

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

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

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

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

OFFICE OF GRANTS MANAGEMENT
420 FIFTH AVENUE
NEW YORK,NY 10018
(212) 852-8465

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

SEE STATEMENT 28

**c** Any submission deadlines:

SEE STATEMENT 28

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

SEE STATEMENT 28

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a PROGRAM RELATED INVESTMENT INCOME | | | | | 833,327 |
| b PAMIGA PRI GAIN | | | | | 214,661 |
| c SPI INDIA | | | | | 1,519 |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 4,035,221 | |
| 4 Dividends and interest from securities | 525990 | 5,776,583 | 14 | 9,157,526 | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | 525990 | 8,340,714 | 18 | 310,380,727 | |
| 9 Net income or (loss) from special events: | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a FOREIGN CURRENCY LOSS | | | 14 | -2,447,167 | |
| b SECURITIES LITIGATION PROCEEDS | | | 14 | 52,355 | |
| c GRANT REFUNDS | | | 01 | 339,560 | |
| d ROYALTIES | | | 15 | 2,135 | |
| e OTHER INCOME THROUGH K-1S NOT ON BOOKS | 525990 | -8,403,765 | 14 | 8,403,765 | |
| f UBIT STATE REFUNDS | | | 01 | 7,221 | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 5,713,532 | | 329,931,343 | 1,049,507 |
| 13 **Total.** Add line 12, columns (b), (d), and (e) | | | | 13 | 336,694,382 |

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

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

| Line No. ▼ | 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 instructions.) |
|---|---|
| 1 A | SEE PART IX-B AND STATEMENT 25 |
| 1 B | SEE PART IX-B AND STATEMENT 25 |
| 1 C | SEE PART IX-A, LINE 3 AND STATEMENT 23 |

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

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

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

| **(a)** Line No. | **(b)** Amount involved | **(c)** Name of noncharitable exempt organization | **(d)** Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| 1a(1) | 160,000 | OASIS OPEN | FOR USE BY ITS OPEN MOBILITY FOUNDATION, IN SUPPORT OF PROVIDING CITIES WITH OPEN SOURCE SOFTWARE AND DATA STANDARDS THAT WILL ENABLE SAFE, EQUITABLE GOVERNANCE OF PUBLIC NEEDS |
| 1a(1) | 200,000 | ST LOUIS DEVELOPMENT CORPORATION | IN SUPPORT OF ENHANCING ST. LOUIS'S CAPACITY TO LEVERAGE THE OPPORTUNITY ZONES TAX INCENTIVE TO ATTRACT PRIVATE INVESTMENTS INTO DISTRESSED COMMUNITIES |

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

**b** If "Yes," complete the following schedule.

| **(a)** Name of organization | **(b)** Type of organization | **(c)** Description of relationship |
|---|---|---|
| | | |

**Sign Here**

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

Signature of officer or trustee — Date: 2020-11-06 — Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's Signature | Date | Check if self-employed ☐ | PTIN |
|---|---|---|---|---|
| THOMAS BLANEY | | 2020-11-06 | | P00234022 |

Firm's name ▶ PKF O'CONNOR DAVIES LLP — Firm's EIN ▶ 27-1728945

Firm's address ▶ 665 FIFTH AVENUE NEW YORK, NY 10022 — Phone no. (212) 286-2600

## Additional Data

Return to Form

**Software ID:**

**Software Version:**

**Form 990PF - Special Condition Description:**

| Special Condition Description |
| --- |

**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.**
▶ **Go to *www.irs.gov/Form990* for the latest information.**

OMB No. 1545-0047

**2019**

| Name of the organization | **Employer identification number** |
|---|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |

**Organization type** (check one):

| **Filers of:** | **Section:** |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)( ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☑ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

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

**General Rule**

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

**Special Rules**

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

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

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

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

Name of organization
THE ROCKEFELLER FOUNDATION

**Employer identification number**
13-1659629

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

**Contributors**

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | WILBUR E TISDALE TRUST<br>C/O JP MORGAN 2200 ROSS AVE 5TH FL<br>DALLAS, TX 752012787 | $ 793,344 | ☑ Person<br>☐ Payroll<br>☐ Noncash<br>(Complete Part II for noncash contributions.) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| - | | $ | ☐ Person<br>☐ Payroll<br>☐ Noncash<br>(Complete Part II for noncash contributions.) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| - | | $ | ☐ Person<br>☐ Payroll<br>☐ Noncash<br>(Complete Part II for noncash contributions.) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| - | | $ | ☐ Person<br>☐ Payroll<br>☐ Noncash<br>(Complete Part II for noncash contributions.) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| - | | $ | ☐ Person<br>☐ Payroll<br>☐ Noncash<br>(Complete Part II for noncash contributions.) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| - | | $ | ☐ Person<br>☐ Payroll<br>☐ Noncash<br>(Complete Part II for noncash contributions.) |

Name of organization
THE ROCKEFELLER FOUNDATION

**Employer identification number**
13-1659629

**Part II** **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| - | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| - | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| - | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| - | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| - | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| - | | $ | |

Name of organization
THE ROCKEFELLER FOUNDATION

**Employer identification number**
13-1659629

**Part III** ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of $1,000 or less for the year. (Enter this information once. See instructions.) ▶ $ _____**

Use duplicate copies of Part III if additional space is needed.

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

## Additional Data

Return to Form

**Software ID:**

**Software Version:**

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| PKF O'CONNOR DAVIES, LLP | 390,793 | 213,734 | 0 | 119,059 |
| PKF SHRIDHAR AND SANTHANAM LLP | 7,782 | 0 | 0 | 7,782 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Category | Amount |
|---|---|
| A PRI TO LEAPFROG EMERGING CONSUMER FUND III, LP TO IMPROVE THE LIVELIHOODS OF LOW INCOME AND FINANCIALLY EXCLUDED PEOPLE BY PROVIDING FINANCIAL SERVICES OR HEALTHCARE PRODUCTS AND SERVICES IN AFRICA AND ASIA | 933,002 |
| A PRI TO CROSSBOUNDARY ENERGY ACCESS HOLDINGS TO SUPPORT SOLVING ENERGY POVERTY BY PROMOTING ACCESS TO PRODUCTIVE POWER THAT DRIVES DEVELOPMENT AND ENABLES FAMILIES IN SUB-SAHARAN AFRICA TO LIFT THEMSELVES OUT OF POVERTY | 663,457 |
| A PRI TO ELEVAR EQUITY TO SUPPORT SMALL TO MEDIUM SIZED SOCIAL ENTERPRISES SERVING BASE OF THE PYRAMID (BOP) POPULATIONS IN SOUTHEAST ASIA AND LATIN AMERICA | 276,000 |
| A PRI TO OMNIVORE PARTNERS OFFSHORE FUND 2 TO IMPROVE THE LIVELIHOODS OF POOR SMALLHOLDER FARMERS BY CAPITALIZING A VENTURE CAPITAL FUND THAT INVESTS IN SMALL TO MEDIUM SIZED SOCIAL ENTERPRISES IN THE AGRICULTURE SECTOR IN INDIA | 243,988 |
| A PRI TO LIVELIHOOD IMPACT FUND, L.P. TO SUPPORT IMPROVING THE LIVELIHOODS OF THE WORKING POOR BY CAPITALIZING A VENTURE CAPITAL FUND THAT INVESTS IN SMALL-TO MEDIUM-SIZED SOCIAL ENTERPRISES PRIMARILY BUT NOT EXCLUSIVELY IN SOUTHEAST ASIA. | 190,192 |
| A PRI TO FRB YUBA PROJECT I, LLC TO SUPPORT REDUCING THE RISK OF CATASTROPHIC WILDFIRE AND PROTECTING WATER RESOURCES IN THE NORTH YUBA RIVER WATERSHED OF THE TAHOE NATIONAL FOREST IN CALIFORNIA | 187,500 |

**THE SECURITIES AND EXCHANGE COMMISSION**
**FOR QUARTER ENDED 31 DECEMBER 2020**

**Name:** THE SECURITIES FOUNDATION
**Address:** 1 CHURCH
**City:** 1 CHURCH

| Name of Issuer | Title of Issue | Cusip | Value | Shares/ Prn Amt | SH/ PRN | Put/ Call | Investment Discretion | Other Managers | Voting Authority Sole | Voting Authority Shared | Voting Authority None |
|---|---|---|---|---|---|---|---|---|---|---|---|
| ABBOTT LABS | COM | 002824100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ABBVIE INC | COM | 00287Y109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ACCENTURE PLC IRELAND | SHS CLASS A | G1151C101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ADOBE INC | COM | 00724F101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ADVANCE AUTO PARTS INC | COM | 00751Y106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AFLAC INC | COM | 001055102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AGILENT TECHNOLOGIES INC | COM | 00846U101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AIR PRODS & CHEMS INC | COM | 009158106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ALIGN TECHNOLOGY INC | COM | 016255101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ALLEGION PLC | SHS | G0176J109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ALLSTATE CORP | COM | 020002101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ALPHABET INC | CAP STK CL A | 02079K305 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ALPHABET INC | CAP STK CL C | 02079K107 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AMAZON.COM INC | COM | 023135106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AMERICAN TOWER CORP NEW | COM | 03027X100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AMERICAN WATER WORKS CO INC NEW | COM | 030420103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AMERIPRISE FINL INC | COM | 03076C106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AMERISOURCEBERGEN CORP | COM | 03073E105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AMGEN INC | COM | 031162100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AMPHENOL CORP NEW | CL A | 032095101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ANSYS INC | COM | 03662Q105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| APPLE INC | COM | 037833100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| APPLIED MATLS INC | COM | 038222105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ARCHER DANIELS MIDLAND CO | COM | 039483102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ASSOCIATED BANC CORP | COM | 045487105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AT&T INC | COM | 00206R102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AUTOMATIC DATA PROCESSING INC | COM | 053015103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AVALONBAY COMMUNITIES INC | COM | 053484101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| AVERY DENNISON CORP | COM | 053611109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BANK OF AMERICA CORP | COM | 060505104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BANK OF NEW YORK MELLON CORP | COM | 064058100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BAXTER INTL INC | COM | 071813109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BECTON DICKINSON & CO | COM | 075887109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BERKSHIRE HATHAWAY INC DEL | CL B NEW | 084670702 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BIOGEN INC | COM | 09062X103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BLACKROCK INC | COM | 09247X101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BOEING CO | COM | 097023105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BOOKING HOLDINGS INC | COM | 09857L108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BRISTOL-MYERS SQUIBB CO | COM | 110122108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BROADRIDGE FINL SOLUTIONS INC | COM | 11133T103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| BROOKFIELD ASSET MGMT INC | CL A LIMITED VOTING | 112585104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CARDINAL HEALTH INC | COM | 14149Y108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CATERPILLAR INC | COM | 149123101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CHARTER COMMUNICATIONS INC | CL A | 16119P108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CHEVRON CORP | COM | 166764100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CHUBB LIMITED | COM | H1467J104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| CITIGROUP INC | COM | 172967101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CITIZENS FINL GROUP INC | COM | 174610105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CLOROX CO | COM | 189054109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| CONSOLIDATED EDISON INC | COM | 209115104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| CORNING INC | COM | 219350105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| COSTCO WHSL CORP NEW | COM | 22160K105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| CROWN CASTLE INTL CORP NEW | COM | 22822V101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| DEERE & CO | COM | 244199105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| DUKE ENERGY CORP NEW | COM | 26441C105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| DUPONT DE NEMOURS INC | COM | 26614N102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| EATON CORP PLC | SHS | G29183103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| EBAY INC | COM | 278642103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| EDWARDS LIFESCIENCES CORP | COM | 28176E108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| ESSENTIAL UTILS INC | COM | 29670Y112 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| EXXON MOBIL CORP | COM | 30231G102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FACEBOOK INC | CL A | 30303M102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FASTENAL CO | COM | 311900104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FEDEX CORP | COM | 31428X106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FIDELITY NATIONAL INFORMATION SERVICES INC | COM | 31620M106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FIFTH THIRD BANCORP | COM | 316773100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FISERV INC | COM | 337738108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FLEETCOR TECHNOLOGIES INC | COM | 339041105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| FORTIS INC | COM | 34959E109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| GENERAL DYNAMICS CORP | COM | 369550108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| GENUINE PARTS CO | COM | 372460105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| GOLDMAN SACHS GROUP INC | COM | 38141G104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HALEON PLC | SPONSORED ADR | 405524106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HARTFORD FINL SVCS GROUP INC | COM | 416515104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HCA HOLDINGS INC | COM | 40412C101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HEALTHPEAK PROPERTIES INC | COM | 42250P103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HEINZ (H.J.) CO | COM | 423074103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HERSHEY CO | COM | 427866108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HILTON WORLDWIDE HOLDINGS INC | COM | 43300A203 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| HOME DEPOT INC | COM | 437076102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| INTERCONTINENTAL EXCHANGE INC | COM | 46284V101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| JOHNSON & JOHNSON | COM | 478160104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| KEYCORP | COM | 493267108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| KIMBERLY-CLARK CORP | COM | 494368103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| LIBERTY BROADBAND CORP | COM SER C | 530307107 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| LILLY (ELI) & CO | COM | 532457108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| LYONDELLBASELL INDS N.V. | SHS - A - | N53745100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| MASTERCARD INC | CL A | 57636Q104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| MCCORMICK & CO INC | COM NON VTG | 579780206 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| METLIFE INC | COM | 59156R108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| MICROSOFT CORP | COM | 594918104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| MONDELEZ INTL INC | CL A | 609207105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| MONSTER BEVERAGE CORP NEW | COM | 611740101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| MORGAN STANLEY | COM | 617446448 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| MOTOROLA SOLUTIONS INC | COM | 620076109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| NEXTERA ENERGY INC | COM | 65339F101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| NIKE INC | CL B | 654106103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| NORFOLK SOUTHERN CORP | COM | 655844108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| SCHLUMBERGER LTD | COM | 806857108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| SCHWAB (CHARLES) CORP | COM | 808513105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
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| STANLEY BLACK & DECKER INC | COM | 854502101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| STARBUCKS CORP | COM | 855244109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| STATE STREET CORP | COM | 857477103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| STRYKER CORP | COM | 863667101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| SYSCO CORP | COM | 871829107 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TAIWAN SEMICONDUCTOR MFG LTD | ADR | 874039100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TARGET CORP | COM | 87612E106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TELEDYNE TECHNOLOGIES INC | COM | 879360105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TELEFONAKTIEBOLAGET LM ERICSSON | ADR | 294821608 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TELEFONICA S.A. | ADR | 879382208 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TELEPHONE & DATA SYSTEMS INC | COM | 879433829 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TELEPHONE & DATA SYSTEMS INC | SPECIAL COM | 879433860 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TELLURIAN INC | COM | 87946X105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TERADYNE INC | COM | 880770102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TESLA INC | COM | 88160R101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TEXAS INSTRS INC | COM | 882508104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| THERMO FISHER SCIENTIFIC INC | COM | 883556102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TJX COS INC NEW | COM | 872540109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TOTAL SA | ADR | 89151E109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TRACTOR SUPPLY CO | COM | 892356106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TRANSDIGM GROUP INC | COM | 893641100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TRAVELERS COS INC | COM | 89417E109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TRIMBLE INC | COM | 896239100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TRUIST FINL CORP | COM | 89832Q109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| TYSON FOODS INC | CL A | 902494103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| UNITED PARCEL SERVICE INC | CL B | 911312106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| UNITEDHEALTH GROUP INC | COM | 91324P102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| UNITED RENTALS INC | COM | 911363109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| UNITED STATES STEEL CORP | COM | 912909108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| UNITEDHEALTH GROUP INC | COM | 91324P102 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| VALERO ENERGY CORP | COM | 91913Y100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| VERIZON COMMUNICATIONS INC | COM | 92343V104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| VISA INC | COM | 92826C839 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| VMWARE INC | CL A | 928563402 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WALGREENS BOOTS ALLIANCE INC | COM | 931427108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WALMART INC | COM | 931142103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WASTE MANAGEMENT INC | COM | 94106L109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WATERS CORP | COM | 941848103 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WELLS FARGO & CO NEW | COM | 949746101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WESTERN UNION CO | COM | 959802109 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WEYERHAEUSER CO | COM | 962166104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WILLIS TOWERS WATSON PLC | SHS | G96666105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WOLTERS KLUWER | ADR | 98137J108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WORKDAY INC | CL A | 98138H101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WORLDPAY INC | CL A | 98156Q108 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| WPP PLC | ADR | 92936G106 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| XCEL ENERGY INC | COM | 98389B100 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| XILINX INC | COM | 983919101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| YUM! BRANDS INC | COM | 988498101 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ZOOM VIDEO COMMUNICATIONS INC | CL A | 98418K105 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |
| ZOOMINFO TECHNOLOGIES INC | COM | 98980F104 | [illegible] | [illegible] | SH | | SOLE | | [illegible] | | [illegible] |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Identifier | Return Reference | Explanation |
|---|---|---|
| | 990PF, PAGE 10, PART XV, LINES 2A THROUGH 2D | GRANT APPLICATION SUBMISSION INFORMATION(A) THE FOUNDATION DID NOT ACCEPT UNSOLICITED INQUIRIES IN 2019 EXCEPT FOR APPLICANTS TO THE BELLAGIO CENTER, ITALY.(B) APPLICANTS TO THE BELLAGIO CENTER, ITALY, ARE ASKED TO APPLY ON LINE AT WWW.ROCKEFELLERFOUNDATION.ORG.(C) IN 2019, THERE WERE NO SPECIFIC SUBMISSION DEADLINES FOR THEFOUNDATION'S PROGRAMS, OTHER THAN FOR THE BELLAGIO PROGRAM. INADDITION, FROM TIME TO TIME, REQUESTS FOR PROPOSALS WERE SENT OUT WITHSPECIFIC DEADLINES TO A SELECT GROUP OF PROSPECTIVE GRANTEES FORPARTICULAR PROJECTS.(D) THE ROCKEFELLER FOUNDATION DEVELOPS ITS PROGRAMS, STRATEGIES ANDAPPROACHES DESIGNED TO HAVE AN IMPACT ON A PARTICULAR SET OF ISSUES ORCHALLENGES THROUGH A CONSULTATIVE AND COLLABORATIVE PROCESS. WE ENGAGE A VARIETY OF GROUPS, INCLUDING SUBJECT MATTER EXPERTS, POLICYMAKERS AND REPRESENTATIVES OF APPLICABLE COMMUNITIES TO FULLY UNDERSTAND A GIVEN CHALLENGE OR OPPORTUNITY, INCLUDING THE ECONOMIC, POLITICAL OR SOCIAL CONTEXT IN WHICH IT RESIDES. IN THE COURSE OF PROGRAM DEVELOPMENT, THE FOUNDATION IDENTIFIES AND CONSIDERS ORGANIZATIONS THAT WE BELIEVE ARE BEST POSITIONED TO IMPLEMENT DEFINED COMPONENTS OF A PROGRAM. THIS PROCESS HELPS DETERMINE THE ORGANIZATIONS TO WHICH THE FOUNDATION WILL PROVIDE GRANTS, AND WE WILL THEN REQUEST PROJECT PROPOSALS FROM THOSE ORGANIZATIONS. IN ORDER TO FOCUS AND MAXIMIZE THE IMPACT OF OUR GRANTMAKING, WE RARELY PROVIDE FUNDING IN RESPONSE TO UNSOLICITED PROPOSALS. AS A MATTER OF POLICY, THE FOUNDATION DOES NOT GIVE OR LEND MONEY FOR PERSONAL AID TO INDIVIDUALS OR, EXCEPT IN RARE CASES, FUND ENDOWMENTS, OR CONTRIBUTE TO BUILDING AND OPERATING FUNDS.DURING 2019, THE ROCKEFELLER FOUNDATION PURSUED ITS 1913 MISSION OF PROMOTING THE WELL-BEING OF HUMANITY THROUGHOUT THE WORLD BY BUILDING COLLABORTIVE RELATIONSHIPS WITH PARTNERS AND GRANTEES TO SOLVE GLOBAL CHALLENGES RELATED TO HEALTH, FOOD, POWER AND ECONOMIC MOBILITY. CURRENT WORK WITHIN THESE INITIATIVES, AS WELL AS AREAS BEING EXPLORED FOR FUTURE INITIATIVES, ARE DESCRIBED ON THE FOUNDATION'S WEB SITE AT WWW.ROCKEFELLERFOUNDATION.ORG, WHICH IS CONTINUALLY UPDATED. ACTIVE WORK DURING 2019 INCLUDED: CLIMATE AND RESILIENCE; HEALTH INITIATIVE; 100 RESILIENT CITIES; SMART POWER FOR RURAL DEVELOPMENT; DATA AND TECHNOLOGY; AND EQUITY AND ECONOMIC OPPORTUNITY.THE FOUNDATION ALSO OPERATES A CONFERENCE AND STUDY PROGRAM AT ITSBELLAGIO CENTER IN ITALY. |
| EXPENDITURE RESPONSIBILITY GRANTS AND PRIS | 990PF, PART VII-B, LINE 5(C) | THE FOLLOWING TEXT RELATES TO THE STATEMENT 21, THE EXPENDITURE RESPONSIBILITY STATEMENT, IN RESPONSE TO PART VII-B, LINE 5C. PROSPECTIVE GRANTEES ARE ASKED TO FURNISH INFORMATION IN ORDER TO ENABLE THE FOUNDATION TO DETERMINE WHETHER THEY HAVE NOT RECEIVED A DETERMINATION OF 501(C)(3) STATUS FROM THE U.S. INTERNAL REVENUE SERVICE OR MAY BE CONSIDERED THE EQUIVALENT OF A TAX-EXEMPT CHARITY, IF FORMED OUTSIDE THE UNITED STATES. PROSPECTIVE GRANTEES WITH RESPECT TO WHOM THE FOUNDATION HAS "EXPENDITURE RESPONSIBILITY" OBLIGATIONS ARE INFORMED BY LETTER, BEFORE PAYMENT IS MADE ON A GRANT, OF THE RESPONSIBILITIES IMPOSED UPON THE FOUNDATION AND ITS GRANTEES BY THE INTERNAL REVENUE CODE OF 1986, AS AMENDED. EACH GRANTEE MUST AGREE IN WRITING TO THOSE TERMS AND CONDITIONS, INCLUDING THE OBLIGATION TO PROVIDE FINANCIAL AND SUBSTANTIVE REPORTS ON HOW FOUNDATION GRANT FUNDS ARE EXPENDED. THE REPORTS THAT ARE RECEIVED ARE REVIEWED FOR GENERAL ACCURACY, SUFFICIENCY AND COMPLIANCE WITH THE TERMS AND CONDITIONS OF THE GRANT. ADDITIONAL INFORMATION IS REQUESTED FROM GRANTEES IN INSTANCES WHERE REPORTS ARE CONSIDERED INADEQUATE. WHERE THE FOUNDATION HAS NOT RECEIVED FINANCIAL OR SUBSTANTIVE REPORTS FROM A GRANTEE WHEN EXPECTED, FOUNDATION STAFF FOLLOW UP IN SEVERAL WAYS, INCLUDING REMINDERS THAT ARE SENT AT MONTHLY INTERVALS AFTER REPORTS ARE EXPECTED AND PERSONAL FOLLOW-UP BY PROGRAM AND GRANTS MANAGEMENT STAFF THROUGH TELEPHONE, MAIL AND E-MAIL.STATEMENT 21 LISTS GRANT AND PROGRAM-RELATED INVESTMENT EXPENDITURES WITH RESPECT TO WHICH THE FOUNDATION HAS EXERCISED EXPENDITURE RESPONSIBILITY. WHERE THE GRANTEE'S NAME IS FOLLOWED BY AN ASTERISK (*), THE GRANTEE ORGANIZATION IS EITHER A PRIVATE FOUNDATION, A PRIVATE OPERATING FOUNDATION, OR A FOREIGN PRIVATE-FOUNDATION EQUIVALENT. ALL OTHER GRANTEES ARE NON-501(C)(3) ORGANIZATIONS OR ORGANIZATIONS FOR WHICH THE FOUNDATION HAS NOT MADE A REASONABLE DETERMINATION OF 501(C)(3) EQUIVALENCY STATUS THAT RECEIVED GRANTS FOR CHARITABLE PROJECTS AND MAINTAINED PAYMENTS IN SEGREGATED FUNDS AS REQUIRED BY TREASURY REG. 53.4945-6(C).IF A PARTICULAR GRANT EXPENDITURE IS SHOWN TO HAVE BEEN FULLY EXPENDED BY THE GRANTEE BUT THE FOUNDATION HAS NOT YET RECEIVED ONE OR MORE NARRATIVE REPORTS, THE FOUNDATION WILL REPORT ON THE STATUS OF THE EXPENDITURE ON OUR 2019 990-PF. UNLESS OTHERWISE NOTED, THE REPORTS RECEIVED WERE FOUND TO BE IN ORDER AND TO SHOW THAT THE FUNDS WERE FULLY EXPENDED FOR THE PURPOSE OF THE GRANT.REPORTING STATUS IS AS OF 10/15/2020. |
| FOUNDATION STATUS CODE "PC" | 990PF, PART XV | WITH REGARD TO PART XV SUPPLEMENTARY INFORMATION REFLECTING GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR AND APPROVED FOR FUTURE PAYMENT, ORGANIZATIONS GIVEN THE FOUNDATION STATUS CODE DESIGNATION "PC" (OR PUBLIC CHARITY) INCLUDE U.S. PUBLIC CHARITIES DESCRIBED IN SECTION 509(A)(1) OR (2) OF THE CODE AND ORGANIZATIONS BASED OUTSIDE THE U.S. THAT HAVE BEEN FOUND TO BE THE EQUIVALENT OF A U.S. PUBLIC CHARITY. |
| CONTROLLED ENTITIES | 990-PF, PAGE 5, PART VII-A, LINE 11 | THE FOLLOWING CONTROLLED ENTITY IS NOT AN EXCESS BUSINESS HOLDING:PX VENTURE (A), LLC51 ASTOR PLACE, 10TH FLOORNEW YORK, NY 10003EIN# 84-1995535TRANSACTION: $5,068,728 CAPITAL CONTRIBUTION (TRANSFER TO CONTROLLED ENTITY) |

| Identifier | Return Reference | Explanation |
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| SUMMARY OF DIRECT CHARITABLE ACTIVITIES | 990PF, PAGE 7, PART IX-A | THE ROCKEFELLER FOUNDATIONBELLAGIO CENTER, ITALYSUMMARY OF DIRECT CHARITABLE ACTIVITESFORM 990PF, PART IX-ATHE BELLAGIO CENTER HAD OPERATING EXPENSES OF $5,956,090.06, SINCE 1959, THE CENTER HAS SERVED AS A RESOURCE FOR FOSTERING DIALOGUE AND PROBLEM SOLVING FOR DIVERSE PARTICIPANTS AROUND THE WORLD. THE CENTER HOSTS CONFERENCES THAT FOCUS ON TOPICS OF INTERNATIONAL INTEREST, WITH PREFERENCE GIVEN TO APPLICANTS WHO PROMOTE DEVELOPMENT AND ALIGN WITH THE FOUNDATION'S AREAS OF INTEREST. IN 2019 THE BELLAGIO CENTER HOSTED 50 MEETINGS WITH A TOTAL OF 1260 PARTICIPANTS; 37% OF WHOM WERE FROM THE UNITED STATES, 35% FROM DEVELOPED COUNTRIES OUTSIDE OF UNITED STATES, AND 22% FROM DEVELOPING COUNTRIES. IN ADDITION, THE CENTER OFFERS TWO-TO-FOUR WEEK RESIDENCIES TO SCHOLARS, ARTISTS, AND PRACTITIONERS. IN 2019, THE CENTER HOSTED 101 RESIDENTS, 46 % OF WHOM WERE FROM THE UNITED STATES, 33% FROM DEVELOPED COUNTRIES OUTSIDE OF THE UNITED STATES, AND 13% FROM DEVELOPING COUNTRIES. A LISTING OF 2019 CONFERENCES, TEAM RESIDENCIES AND INDIVIDUAL RESIDENTS IS BELOW.2019 BELLAGIO CENTER CONFERENCES2/11/2019 2/15/2019, " DIVERSITY AND INCLUSION IN DIPLOMACY, CONFLICT RESOLUTION AND DEVELOPMENT: WORKSHOP TO REFINE EDITED VOLUME AND DEVELOP CURRICULAR MATERIALS," INSTITUTE FOR WOMEN, PEACE AND SECURITY, UNITED STATES2/18/2019 2/22/2019, " REIMAGINING INDEPENDENT MEDIA SUPPORT," BBC MEDIA ACTION, UNITED KINGDOM2/19/2019 TO 2/23/2019, " SCALING FOR-BENEFIT ENTERPRISE: SHAPING AN ECONOMY THAT BENEFITS ALL STAKEHOLDERS," FOURTH SECTOR GROUP, UNITED STATES2/25/2019 TO 3/1/2019, " LEADING CHANGE IN INTERNATIONAL ORGANIZATIONS," THE ROCKEFELLER FOUNDATION, UNITED STATES3/4/2019 TO 3/8/2019, "GLOBAL RESILIENCE PARTNERSHIP," GLOBAL RESILIENCE PARTNERSHIP, UNITED KINGDOM3/11/2019 TO 3/15/2019, "#GIVINGTUESDAY GLOBAL SUMMIT," #GIVINGTUESDAY, UNITED STATES3/25/2019 TO 3/29/2019, "DEFENDING DEMOCRACY AND SUPPORTING THE TRANSATLANTIC PARTNERSHIP," CENTER FOR AMERICAN PROGRESS, UNITED STATES 3/27/2019 TO 3/30/2019, "MISSION ORIENTED INNOVATION NETWORK (MOIN) SUMMIT," UCL, INSTITUTE FOR INNOVATION AND PUBLIC PURPOSE, ITALY4/2/2019 TO 4/6/2019, "LAUNCHING AN SDG LEADERSHIP CITIES INITIATIVE," BROOKINGS INSTITUTION, UNITED STATES 4/8/2019 TO 4/12/2019, "ACCELERATING DEVELOPMENT AT THE INTERSECTION OF AGRICULTURE AND ENERGY," 430 NORTH COLLEGE AVE, UNITED STATES4/9/2019 TO 4/13/2019, "CELEBRITY PHILANTHROPY SYMPOSIUM: HOW TO LEVERAGE FAME FOR SOCIAL GOOD," SAINT PARTNERS PHILANTHROPY SERVICES, PHILIPPINES4/23/2019 TO 4/27/2019, "CONNECTING WOMEN LEADERS TO CREATE CHANGE," PAT MITCHELL MEDIA, UNITED STATES5/6/2019 TO 5/10/2019, "A DIALOGUE TOWARD A NEW GLOBAL AID REGIME," NATIONAL SCHOOL OF DEVELOPMENT, CHINA5/9/2019 TO 5/11/2019, "DEVELOPING THE ROCKEFELLER FOOD STRATEGY," THE ROCKEFELLER FOUNDATION, UNITED STATES5/13/2019 TO 5/17/2019, "THE SAHEL, LAND OF OPPORTUNITIES: FRAMING CONTEXTUAL AND PRACTICAL SOLUTIONS FOR LASTING PEACE AND PROSPERITY IN THE SAHEL," UNITED NATIONS CONVENTION TO COMBAT DESERTIFICATION (UNCCD), MAURITANIA5/20/2019 TO 5/24/2019, "CREATING A UNIVERSITY GLOBAL COMPACT, "GEORGE MASON UNIVERSITY, UNITED STATES 5/21/2019 TO 5/25/2019, "DELIVERING ON THE SDGS: WHAT NEEDS TO BE DONE TO IMPROVE THE GLOBAL INSTITUTIONAL ARCHITECTURE AND FINANCING OF THE FOOD AND AGRICULTURE SECTOR," CHATHAM HOUSE, UNITED KINGDOM5/27/2019 TO 5/31/2019, "IGNITING A REVOLUTION IN DEVELOPMENT THAT HAS PEOPLE AND LEADERSHIP AT THE CENTER," TEACH FOR ALL, UNITED STATES6/5/2019 TO 6/9/2019, "INNOVATIVE FRONTIERS OF DEVELOPMENT II," MAGIC SEED MEDIA, UNITED KINGDOM 6/10/2019 TO 6/13/2019, "CO-IMPACT COLLABORATIVE PHILANTHROPY," BILL & MELINDA GATES FOUNDATION, UNITED STATES 6/18/2019 TO 6/24/2019, "BELLAGIO60," THE ROCKEFELLER FOUNDATION, UNITED STATES 6/19/2019 TO 6/24/2019, "HOMECOMING," THE ROCKEFELLER FOUNDATION, UNITED STATES 6/30/2019 TO 7/4/2019, "FUTURE OF DEMOCRACY ROUND TABLE II," BERGGRUEN INSTITUTE, CANADA7/8/2019 TO 7/12/2019, "REIMAGINING CLIMATE FINANCE, 2020-2030," CLIMATE FINANCE ADVISORS, BLLC, UNITED STATES 7/9/2019 TO 7/13/2019, "IDENTIFYING PRACTICAL SOLUTIONS TO ACCELERATING FINANCIAL INCLUSION THROUGH INTERNATIONAL COLLABORATION," CONSUMER CENTRIX, UNITED STATES7/15/2019 TO 7/19/2019, "RESULTS BASED FINANCING FOR MINI-GRIDS," EED ADVISORY, KENYA7/22/2019 TO 7/26/2019, "COHORT 2030 CONVENING: STRATEGIES TO UNLOCK THE POWER OF THE NEW GENERATION TO DELIVER ON THE SDG 16+ AGENDA AND BUILD PEACEFUL, JUST, AND INCLUSIVE SOCIETIES," INTERNATIONAL YOUTH FOUNDATION, UNITED STATES7/29/2019 TO 8/2/2019, "THE DIGITAL REACH INITIATIVE RESOURCE MOBILIZATION WORKSHOP," TILLER, UNITED STATES 7/30/2019 TO 8/2/2019, "ACCELERATING PROGRESS TO ERADICATE TB," STONY BROOK UNIVERSITY, UNITED STATES 8/5/2019 TO 8/9/2019, "CIVIC SPACE 2040-BUILDING A BETTER FUTURE FOR CIVIL SOCIETY, PHILANTHROPY AND DEVELOPMENT," INTERNATIONAL CENTER FOR NOT FOR PROFIT LAW, HUNGARY8/19/2019 TO 8/23/2019, "THE EARLY YEARS IN CRISIS: WORKING TOGETHER TO MOBILIZE SUPPORT FOR THE YOUNGEST REFUGEES AND THE PEOPLE WHO CARE FOR THEM EVERY DAY," BERNARD VAN LEER FOUNDATION / MOVING MINDS ALLIANCE, NETHERLANDS8/26/2019 TO 8/31/2019, "ACCADEMIA CONCERTANTE WORKSHOP," ACCADEMIA CONCERTANTE D'ARCHI DI MILANO, ITALY8/27/2019 TO 8/31/2019, "IMPACT INVESTING FOR RETAIL INVESTORS," US SIF: THE FORUM FOR SUSTAINABLE AND RESPONSIBLE INVESTMENT, UNITED STATES9/2/2019 TO 9/6/2019, "TRANSFORMING CHILD & ADOLESCENT HEALTH: TECHNICAL REVIEW & LANCET SERIES FINALIZATION MEETING (BELLAGIO SERIES UPDATE: 15 YEARS ON)," SICKKIDS CENTRE FOR GLOBAL CHILD HEALTH, CANADA9/9/2019 TO 9/13/2019, "BUILT FOR PURPOSE: CHARTING THE FUTURE OF ASIA'S CIVIL SOCIETY IN TRANSFORMATIVE TIMES," NEELAN TIRUCHELVAM TRUST, SRI LANKA9/9/2019 TO 9/12/2019, "GLOBAL COMMISSION TO END ENERGY POVERTY," MIT, UNITED STATES9/16/2019 TO 9/20/2019, "POWER OF LAW AND POWER OF PEOPLE: MOVEMENT LAWYERING FOR GLOBAL JUSTICE," EARTH RIGHTS INTERNATIONAL, UNITED STATES9/23/2019 TO 9/27/2019, "A GLOBAL AGENDA FOR A NEW MAP OF LIFE PREPARING THE WORLD FOR LONGER, HEALTHIER AND MORE FULFILLED LIVES," THE LONGEVITY FORUM/LONDON BUSINESS SCHOOL, UNITED KINGDOM 9/24/2019 TO 9/28/2019, "WOMEN'S AND GENDER STUDIES IN AFRICA: PROMOTING GENDER JUSTICE AND SOCIAL EQUITY IN AN AGE OF NEOLIBERALISM AND CONSERVATISM," THE PENNSYLVANIA STATE UNIVERSITY, UNITED STATES 10/8/2019 TO 10/12/2019, "DESIGNING A FUTURE FOR AI IN SOCIETY," CASPIAN AGENCY, UNITED STATES 10/16/2019 TO 10/19/2019, "AI GOVERNANCE AND HUMAN RIGHTS," ELEMENT AI, CANADA 10/22/2019 TO 10/25/2019, "OPERATIONALIZING A VISION OF LIBERATING DATA TO EMPOWER PEOPLE," UNITED NATIONS FOUNDATION, UNITED STATES 11/4/2019 TO 11/8/2019, "DIGITAL FINANCING OF THE SUSTAINABLE DEVELOPMENT GOALS (UN SECRETARY GENERAL'S TASK FORCE)," UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP), UNITED STATES 11/11/2019 TO 11/15/2019, "MINE 2 CONSUMER: MULTI-STAKEHOLDER |

| Identifier | Return Reference | Explanation |
| --- | --- | --- |
| | | ROUNDTABLE ON RESPONSIBLE MINERALS AND METAL SOURCING FROM AUTOMOTIVE TO JEWELRY," THE DEVELOPMENT PARTNER INSTITUTE, UNITED KINGDOM11/12/2019 TO 11/16/2019, "ONLINE CONTENT MODERATION AND THE PROMISE OF ARTIFICIAL INTELLIGENCE," ANNENBERG PUBLIC POLICY CENTER, UNIVERSITY OF PENNSYLVANIA, UNITED STATES 11/18/2019 TO 11/22/2019, "TOWARD A GLOBAL GOLD STANDARD FOR FEMINIST FOREIGN POLICY," INTERNATIONAL CENTER FOR RESEARCH ON WOMEN, UNITED STATES 11/19/2019 TO 11/23/2019, "PUTTING HUMANS AT THE CENTRE OF SOCIAL CHANGE: TRANSFORMING THE CULTURE OF SOCIAL CHANGE," THE WELLBEING PROJECT, BELGIUM11/25/2019 TO 11/29/2019, "LANCET COMMISSION ON THE VALUE OF DEATH," POINT OF CARE FOUNDATION, UNITED KINGDOM12/2/2019 TO 12/6/2019, "BELLAGIO EXTREME URBAN HEAT CONFERENCE," ATLANTIC COUNCIL, UNITED STATES 12/9/2019 TO 12/13/2019, "SYSTEMS CHANGERS 2020: SHAPING AN ECONOMY THAT BENEFITS ALL STAKEHOLDERS," FOURTH SECTOR GROUP, UNITED STATES TEAM RESIDENCIESALBERTO, JORGE, COLUMBIA, UNIVERSIDAD SANTO TOMAS MEDELLN, ""MEDELLIN, A COLLECTIVE PROJECT. A CRITICAL APPROACH. ARCHITECTURE AND URBAN DESIGN AS TOOLS FOR SOCIAL CHANGE." (8/21/2019-9/18/2019)PEREZ, JARAMILLO, COLOMBIA, UNIVERSIDAD SANTO TOMAS MEDELLN, "MEDELLIN, A COLLECTIVE PROJECT. A CRITICAL APPROACH. ARCHITECTURE AND URBAN DESIGN AS TOOLS FOR SOCIAL CHANGE." (8/21/2019-9/18/2019)DABIR, NEELA, INDIA, TATA INSTITUTE OF SOCIAL SCIENCE, MUMBAI, INDIA, "A BLUEPRINT FOR THE INTEGRATION OF VOCATIONAL EDUCATION INTO MAINSTREAM HIGHER EDUCATION IN INDIA, IN THE CONTEXT OF THE UPCOMING NEW EDUCATION POLICY" (7/8/2019-7/29/2019)WADIA, LEENA, INDIA, OBSERVER RESEARCH FOUNDATION, "A BLUEPRINT FOR THE INTEGRATION OF VOCATIONAL EDUCATION INTO MAINSTREAM HIGHER EDUCATION IN INDIA, IN THE CONTEXT OF THE UPCOMING NEW EDUCATION POLICY" (7/8/2019-7/29/2019)LI, TANIA, CANADA, UNIVERSITY OF TORONTO, "PLANTATION LIFE" (3/20/2019 4/17/2019)SEMEDI, PUJO, INDONESIA, DEPT. OF ANTHROPOLOGY, UNIVERSITAS GADJAH MADA, "PLANTATION LIFE" (3/20/2019 4/17/209)RAO, APARNA, INDIA, PORS & RAO, "PATHOS: POETIC ANIMATRONICS THROUGH HAND ON OPEN SYSTEMS" (2/4/2019 3/4/2019)SIMONSEN, SOREN, DENMARK, PORS & RAO, "PATHOS: POETIC ANIMATRONICS THROUGH HAND ON OPEN SYSTEMS" (2/4/2019 3/4/2019)2019 BELLAGIO CENTER RESIDENTS:ADAMS, ALEXANDRA, UNITED S |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| GUARDANT HEALTH INC | 1,909,898 | 1,909,898 |
| PAGERDUTY INC | 1,806,410 | 1,806,410 |
| SLACK TECHNOLOGIES INC | 2,127,710 | 2,127,710 |
| TENABLE HOLDINGS INC | 1,290,150 | 1,290,150 |
| UBER TECHNOLOGIES INC | 1,693,485 | 1,693,485 |
| VIOMI TECHNOLOGY CO LTD ADR | 101,039 | 101,039 |
| ZOOM VIDEO COMMUNICATIONS INC | 2,110,465 | 2,110,465 |
| ZUORA INC | 309,026 | 309,026 |

# TY 2019 IRS 990 e-File Render

| | |
|---|---|
| **Name:** | THE ROCKEFELLER FOUNDATION |
| **EIN:** | 13-1659629 |
| **US Government Securities - End of Year Book Value:** | 33,044,574 |
| **US Government Securities - End of Year Fair Market Value:** | 33,044,574 |
| **State & Local Government Securities - End of Year Book Value:** | 0 |
| **State & Local Government Securities - End of Year Fair Market Value:** | 0 |

# TY 2010 IBS 990-PF Filer Name:

**Name:** THE ROCKEFELLER FOUNDATION
**EIN:** 13-1837418

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|---|---|---|---|
| 12 WEST CAPITAL | FMV | 50,601,149 | 50,601,149 |
| 12 WEST CAPITAL FUND FUND LP | FMV | 4,586,176 | 4,586,176 |
| 12 WEST DEV DC GRP FUND | FMV | 5,043,035 | 5,043,035 |
| 12 WEST DEVELOPMENTS III LP | FMV | 10,499,160 | 10,499,160 |
| ABRY ADVANCED SECS IV LP | FMV | 2,471,827 | 2,471,827 |
| ABRY ADVANCED SECS III LP | FMV | 954,957 | 954,957 |
| ABRY HERITAGE PARTNERS LP | FMV | 1,954,068 | 1,954,068 |
| ABRY PARTNERS IV LP | FMV | 1,854,191 | 1,854,191 |
| ABRY PARTNERS VI LP | FMV | 368,253 | 368,253 |
| ABRY PARTNERS VII LP | FMV | 4,684,141 | 4,684,141 |
| ABRY PARTNERS VIII LP | FMV | 12,883,036 | 12,883,036 |
| ABRY SENIOR EQUITY IV LP | FMV | 1,535,180 | 1,535,180 |
| ABRY SENIOR EQUITY V LP | FMV | 2,991,647 | 2,991,647 |
| ACCEL GROWTH FUND I L.P. | FMV | 15,576,000 | 15,576,000 |
| ACCEL GROWTH FUND II L.P. | FMV | 17,580,134 | 17,580,134 |
| ACCEL GROWTH FUND III L.P. | FMV | 21,181,122 | 21,181,122 |
| ACCEL GROWTH FUND V L.P. | FMV | 3,875,000 | 3,875,000 |
| ACCEL IX L.P. (ACCEL PARTNERSHIP | FMV | 1,171,875 | 1,171,875 |
| ACCEL KKR VI L.P. | FMV | 6,133,836 | 6,133,836 |
| ACCEL INDIA V LP | FMV | 19,451,809 | 19,451,809 |
| ACCEL IV LP | FMV | 455,000 | 455,000 |
| ACCEL IX LP | FMV | 1,438,015 | 1,438,015 |
| ACCEL LEADERS FUND II LP | FMV | 6,000,000 | 6,000,000 |
| ACCEL LEADERS FUND LP | FMV | 6,170,777 | 6,170,777 |
| ACCEL VI | FMV | 16,332,000 | 16,332,000 |
| ACCEL XI | FMV | 9,088,642 | 9,088,642 |
| ACCEL XII LP | FMV | 16,586,000 | 16,586,000 |
| ACCEL X22 LP | FMV | 4,081,587 | 4,081,587 |
| ACCEL XIII LP | FMV | 328,000 | 328,000 |
| ADAGE CAPITAL PARTNERS | FMV | 187,864,449 | 187,864,449 |
| ADELES EQUITY PARTNERS II LP | FMV | 1,000,000 | 1,000,000 |
| ADELES EQUITY PARTNERS FUND II 4B | FMV | 6,133,836 | 6,133,836 |
| ADVENT GLOBAL PRIVATE EQUITY V | FMV | 2,000,000 | 2,000,000 |
| AETOS CAPITAL ASIA T E D LTD | FMV | 1,368,920 | 1,368,920 |
| AFRICAN DEVELOPMENT FINANCE III LP | FMV | 1,000,000 | 1,000,000 |
| AFRICAN DEVELOPMENT PARTNERS III LP | FMV | 14,519,446 | 14,519,446 |
| AGRI ASIA PARTNERS II LP | FMV | 851,000 | 851,000 |
| AH AMREE FUND I P | FMV | 7,509,361 | 7,509,361 |
| AH BIO FUND I L.P. | FMV | 5,000,000 | 5,000,000 |
| AH BIO FUND II LP | FMV | 4,076,981 | 4,076,981 |
| AH FAMILY FUND I L.P. | FMV | 5,000,000 | 5,000,000 |
| AH FAMILIES FUND IV LP | FMV | 13,948,932 | 13,948,932 |
| AH FAMILIES FUND V LP | FMV | 5,000,000 | 5,000,000 |
| AH FUND I LP (ALTA BIO) | FMV | 9,995,881 | 9,995,881 |
| AHCONCAGUA CAPITAL | FMV | 1,324,700 | 1,324,700 |
| AHCONCAGUA CAPITAL PARTNERS OFFSHORE LTD | FMV | 64,435,387 | 64,435,387 |
| AHCONCAGUA CAPITAL PARTNERS LTD | FMV | 19,000,000 | 19,000,000 |
| ANDERSEN HORIZONTZ FD IV LP | FMV | 21,513,991 | 21,513,991 |
| ANDERSEN HORIZONTZ FUND I LP | FMV | 1,000,000 | 1,000,000 |
| ANDERSEN HORIZONTZ FUND II LP | FMV | 15,269,283 | 15,269,283 |
| ANDERSEN HORIZONTZ FUND III | FMV | 25,272,272 | 25,272,272 |
| ANDERSEN HORIZONTZ FUND V LP | FMV | 9,535,394 | 9,535,394 |
| ANDERSEN HORIZONTZ FUND VI | FMV | 1,000,000 | 1,000,000 |
| AP CAPIMA PARTNERS II LP | FMV | 150,597 | 150,597 |
| APC BRAZIL FUND LP | FMV | 1,000,000 | 1,000,000 |
| APC ENERGY FUND II LP | FMV | 6,115,394 | 6,115,394 |
| ARCLIGHT CAPITAL | FMV | 36,000 | 36,000 |
| ARCLIGHT ENERGY PARTNERS FD V | FMV | 5,266,582 | 5,266,582 |
| ARCLIGHT ENERGY PARTNERS FUND VI | FMV | 1,000,000 | 1,000,000 |
| ARCLIGHT ENERGY PARTNERS FUND VII | FMV | 4,485,000 | 4,485,000 |
| ARDIA RLTY PARTNERS I | FMV | 1,453,453 | 1,453,453 |
| ATTENTION DEVELOPMENT PARTNERS | FMV | 1,000,000 | 1,000,000 |
| ATTENTION DEVELOPMENT PARTNERS II | FMV | 19,250,819 | 19,250,819 |
| AVENUE PRIVATE EQUITY FUND III | FMV | 4,966,243 | 4,966,243 |
| AVENUE PRIVATE EQUITY FUND IV | FMV | 185,586 | 185,586 |
| AVENUE PRIVATE EQUITY FUND V | FMV | 1,432,127 | 1,432,127 |
| AVENUE PRIVATE EQUITY FUND VI | FMV | 14,097,034 | 14,097,034 |
| BAIN CAPITAL EQUITY FUND VI | FMV | 4,452,014 | 4,452,014 |
| BAIN CAPITAL FUND IX LP | FMV | 338,011 | 338,011 |
| BAIN CAPITAL FUND X LP | FMV | 36,000 | 36,000 |
| BAIN CAPITAL SS CONVERTIBLE FUND LP | FMV | 229,791 | 229,791 |
| BAIN CAPITAL VI LP | FMV | 20,067,000 | 20,067,000 |
| BAIN CAPITAL VIII LP | FMV | 189,175,096 | 189,175,096 |
| BAIN CAPITAL VII LP | FMV | 17,691,014 | 17,691,014 |
| BALIFORT VALUE IV | FMV | 94,885,050 | 94,885,050 |
| BC EUROPEAN CAPITAL VIII | FMV | 1,000,000 | 1,000,000 |
| BENCHMARK CAP PTNRS VD AMERI LP | FMV | 837,825 | 837,825 |
| BENCHMARK CAPITAL PARTNERS IV | FMV | 768,106 | 768,106 |
| BENCHMARK CAPITAL PARTNERS VI LP | FMV | 2,516,594 | 2,516,594 |
| BENCHMARK CAPITAL PARTNERS VII LP | FMV | 4,000,000 | 4,000,000 |
| BENCHMARK CAPITAL PARTNERS VI-2 | FMV | 8,909,693 | 8,909,693 |
| BENCHMARK CAPITAL PTNRS VC | FMV | 16,564,176 | 16,564,176 |
| BENCHMARK CAPITAL PTNRS VII | FMV | 60,285,975 | 60,285,975 |
| BENCHMARK V LP | FMV | 1,000,000 | 1,000,000 |
| BERKSHIRE PARTNERS III TRANSFER INDEX NON UNDIVIDED | FMV | 139,524,299 | 139,524,299 |
| BERKSHIRE T JOYE TRANSFER INDEX NON UNDIVIDED | FMV | 66,819,538 | 66,819,538 |
| BLACKSTONE CAPITAL PARTNERS V | FMV | 1,000,000 | 1,000,000 |
| BLACKSTONE RE PARTNERS VIII LP | FMV | 15,226,135 | 15,226,135 |
| BLACKSTONE RE PARTNERS IX | FMV | 1,485,000 | 1,485,000 |
| BLI II FUND B LP | FMV | 5,995,963 | 5,995,963 |
| BLI GLOBAL SUPPORTERS | FMV | 13,075,000 | 13,075,000 |
| BLUE RIDGE OPPORTUNIS PARTNERSHIP II LP | FMV | 671,591 | 671,591 |
| BLUEHOUSE PROPERTY PTNRS II LP | FMV | 4,998,836 | 4,998,836 |
| BLUEHOUSE PROPERTY PTNRS FD FEEDER LP | FMV | 3,836,112 | 3,836,112 |
| BRAZIL REALTY | FMV | 13,075,000 | 13,075,000 |
| BRACKENRIDGE LTD CASS V SERIES B19 | FMV | 15,565,015 | 15,565,015 |
| BRAZIL REALTY II LP | FMV | 16,995,000 | 16,995,000 |
| BROOGRAPHIE PURE ALPHA FUND II ACCOUNT 2 | FMV | 32,817,564 | 32,817,564 |
| BROOGRAPHIE PURE ALPHA FUND | FMV | 2,522,000 | 2,522,000 |
| CADENT ENERGY PARTNERS I | FMV | 123,535 | 123,535 |
| CADENT ENERGY PARTNERS II | FMV | 10,595,290 | 10,595,290 |
| CAPITAL RESOURCE PARTNERS V | FMV | 2,246,639 | 2,246,639 |
| CAPITAL RESOURCE PARTNERS VI LP | FMV | 2,000,000 | 2,000,000 |
| CAMELLIA ENERGY CAPITAL II LP | FMV | 6,662,852 | 6,662,852 |
| CAMELLIA ENERGY CAPITAL | FMV | 1,849,688 | 1,849,688 |
| CAMELLIA ENERGY CAPITAL III | FMV | 22,200 | 22,200 |
| CAMELLIA ENERGY CAPITAL IV | FMV | 10,000,000 | 10,000,000 |
| CAYALYST FUND II PARALLEL LP | FMV | 4,991,291 | 4,991,291 |
| CAYALYST FUND II PARTNERS LP | FMV | 1,000,000 | 1,000,000 |
| CAYALYST FUND I | FMV | 5,601,000 | 5,601,000 |
| CENTERBRIDGE CAPITAL PARTNERS (SERIES FOUR) L | FMV | 1,000,000 | 1,000,000 |
| CENTERBRIDGE SUSTAINABLE PARTNERS LP SERIES ED | FMV | 306,742 | 306,742 |
| CHARLES RIVER PARTNERSHIP XI | FMV | 1,000,000 | 1,000,000 |
| CHARLES RIVER PARTNERSHIP XII | FMV | 145,152 | 145,152 |
| CHARLES RIVER PARTNERSHIP XIII | FMV | 1,000,000 | 1,000,000 |
| CHARLES RIVER PARTNERSHIP XIII LP | FMV | 997,455 | 997,455 |
| CHARLES RIVER PARTNERSHIP XV | FMV | 215,207 | 215,207 |
| CICC GROWTH I | FMV | 4,942,731 | 4,942,731 |
| CIMPERIUM NATURAL RESOURCE VI | FMV | 1,000,000 | 1,000,000 |
| COMMONWEALTH NATURAL RESOURCES PARTNERS VII | FMV | 2,929,706 | 2,929,706 |
| CORNERSTONE PARTNERS VI LP | FMV | 1,000,000 | 1,000,000 |
| DECHENG CAP CHINA LIFE SCIENCE USD FD II LP | FMV | 14,297,171 | 14,297,171 |
| DECHENG CAPITAL CHINA FUND III LP | FMV | 1,000,000 | 1,000,000 |
| DENHAM COMMODITY PARTNERS VI | FMV | 14,839,444 | 14,839,444 |
| DENHAM COMMODITY PARTNERS VIII | FMV | 2,000,000 | 2,000,000 |
| DYNEN ASIA PACIFIC FUND SERIES 702 | FMV | 4,645,150 | 4,645,150 |
| DYNEN FUND SERIES 1 | FMV | 8,550,000 | 8,550,000 |
| EDGARTON ASIAN EQUITY TRUST | FMV | 36,246,591 | 36,246,591 |
| ELLIOT INTERNATIONAL | FMV | 1,000,000 | 1,000,000 |
| ELLIOT INTL CONVERT | FMV | 6,736,077 | 6,736,077 |
| ENERGY CAPITAL PARTNERS III LP | FMV | 1,000,000 | 1,000,000 |
| ENHALO HEL CAP PARTNERS III LP | FMV | 9,135,139 | 9,135,139 |
| ENI ASIA I LP | FMV | 1,000,000 | 1,000,000 |
| ENI ASIA II LP | FMV | 11,979,000 | 11,979,000 |
| FINALON CAPITAL DEBT PARTNERS LP | FMV | 1,000,000 | 1,000,000 |
| FIRE AND EARTH FUND TEDA I | FMV | 1,171,875 | 1,171,875 |
| FIVE POINT ENERGY FUND I LP | FMV | 2,177,055 | 2,177,055 |
| FIVE POINT ENERGY FUND II LP | FMV | 5,968,000 | 5,968,000 |
| FIVE POINT ENERGY FUND III LP | FMV | 3,597,033 | 3,597,033 |
| FIVE POINT ENERGY FUND IV-A | FMV | 8,281,840 | 8,281,840 |
| FIVE POINT ENERGY FUND IV-B | FMV | 5,335,450 | 5,335,450 |
| FIVE POINT ENERGY FUND V | FMV | 475,475 | 475,475 |
| FLEXPORT FUND II LP | FMV | 3,631,000 | 3,631,000 |
| FLEXPORT FUND III LP | FMV | 1,000,000 | 1,000,000 |
| FLEXPORT PPV AGGREGATOR LLC | FMV | 2,499,955 | 2,499,955 |
| FLEXPORT SERIES A LP | FMV | 1,868,964 | 1,868,964 |
| FORESTIE CAPITAL FD II LP | FMV | 21,152,288 | 21,152,288 |
| FORESTIE CAPITAL FUND I LP | FMV | 1,000,000 | 1,000,000 |
| FORESTIE CAPITAL III LP | FMV | 11,664,896 | 11,664,896 |
| FORESTIE CAPITAL IV LP | FMV | 1,850,750 | 1,850,750 |
| FORESTIE CAPITAL V LC | FMV | 904,447 | 904,447 |
| FORESTIE CAPITAL VI LP | FMV | 1,000,000 | 1,000,000 |
| FORESTIES INVEST FD II (20 IN) | FMV | 391,043 | 391,043 |
| FORESTIES INVEST FD I (COMMITMENT FUNDS) | FMV | 2,036,173 | 2,036,173 |
| FORESTIES INVESTMENT FUND V (FUND C) LP | FMV | 17,014,836 | 17,014,836 |
| FORESTIES INVESTMENTS | FMV | 2,415,105 | 2,415,105 |
| GARDINO PARTNERS FUND I | FMV | 1,000,000 | 1,000,000 |
| GARDINO PARTNERS FUND II | FMV | 3,924,795 | 3,924,795 |
| GEN CAPITAL VII SPECIAL EQUITY FUND LLC | FMV | 1,000,000 | 1,000,000 |
| GEN CAPITAL VII | FMV | 17,768,000 | 17,768,000 |
| GEN CAPITAL VIII LP | FMV | 1,297,028 | 1,297,028 |
| GEN CAPITAL VI LP | FMV | 1,395,127 | 1,395,127 |
| GEN CAPITAL VII LP | FMV | 2,105,073 | 2,105,073 |
| GEN CAPITAL VII PLUS LP | FMV | 525,000 | 525,000 |
| GEN DISCOVERY III LP | FMV | 4,849,548 | 4,849,548 |
| GEN DISCOVERY IV LP | FMV | 1,415,540 | 1,415,540 |
| GLENDON OPP FUND VI LP | FMV | 1,146,235 | 1,146,235 |
| GLENDON OPPORTUNITIES FD LP | FMV | 1,000,000 | 1,000,000 |
| GRAPHIN DIRECT ASSETS STRATEGY LP | FMV | 5,122,267 | 5,122,267 |
| GRAMP FUND I LP | FMV | 512,500 | 512,500 |
| GRAMP FTNRS II CO INVST LP | FMV | 53,204 | 53,204 |
| HARVEST MINERAL FUND VIII | FMV | 1,752,000 | 1,752,000 |
| HARVEST SMALL CAP OPPORTUNITIES CLASS A SER 25 2019 | FMV | 1,735,182 | 1,735,182 |
| HARVEST SMALL CAP OPPORTUNITIES CLASS A SERIES 24 | FMV | 20,314,636 | 20,314,636 |
| HARVEST SMALL CAP OPPORTUNITIES CLASS A SER 4 2017 | FMV | 499,672 | 499,672 |
| HARVEST SMALL CAP OPPORTUNITIES CLASS A SERIES 1 | FMV | 2,990,115 | 2,990,115 |
| HARVEST SMALL CAP OPTIONS CLASS A SERIES 2 2018 | FMV | 544,339 | 544,339 |
| HARVEST SMALL CAP OPTIONS CLASS A SER 1 | FMV | 1,514,525 | 1,514,525 |
| HARVEST SMALL CAP OPTIONS CLASS A SERIES 3 | FMV | 788,000 | 788,000 |
| HARVEST SMALL CAP OPTIONS CLASS A SERIES 1 | FMV | 1,882,773 | 1,882,773 |
| HARVEST SMALL CAP OPTIONS CLASS A SERIES 11 | FMV | 3,360,221 | 3,360,221 |
| HARVEST SMALL CAP OPTIONS CLASS A SERIES 12 | FMV | 1,579,323 | 1,579,323 |
| HARVEST SMALL CAP OPTIONS CLASS A SERIES 7 | FMV | 3,123,620 | 3,123,620 |
| HENGEFORD SUL INVESTMENTOS FD (A) LP | FMV | 1,241,610 | 1,241,610 |
| HENGEFORD SUL INVESTIMENTOS FD (B) LP | FMV | 1,241,610 | 1,241,610 |
| HIGHLAND CAPITAL PARTNERS VI LP | FMV | 1,241,610 | 1,241,610 |
| HIGHLAND CAPITAL PARTNERS VI-2 | FMV | 347,656 | 347,656 |
| HIGH YIELD CREDIT II LP | FMV | 73,950,413 | 73,950,413 |
| HIGH YIELD CREDIT II LP | FMV | 10,080 | 10,080 |
| HIGH YIELD CREDIT III LP | FMV | 10,080 | 10,080 |
| HIGH YIELD CREDIT III LP CO- INVEST PRODUCER LP | FMV | 128,563 | 128,563 |
| HIGH YIELD CREDIT III LP CO-INVEST PRODUCER II | FMV | 128,563 | 128,563 |
| HIGH YIELD CREDIT III LP CO-INVEST PRODUCER II | FMV | 128,563 | 128,563 |
| HUTSKAN CAPITAL LLC | FMV | 19,000 | 19,000 |
| IDG ACCEL CHINA CAPITAL II | FMV | 264,522 | 264,522 |
| IDG ACCEL CHINA CAPITAL FUND II | FMV | 264,522 | 264,522 |
| IDG ACCEL CHINA CAPITAL FD II | FMV | 264,522 | 264,522 |
| IDG ACCEL CHINA CAPITAL FUND II | FMV | 549,000 | 549,000 |
| IDG ACCEL CHINA CAPITAL FD II | FMV | 15,960,220 | 15,960,220 |
| IDG ACCEL CHINA CAPITAL FUND II | FMV | 10,676,000 | 10,676,000 |
| IDG ECHA VENTURE CAP FD II LP | FMV | 23,145,522 | 23,145,522 |
| IDG ACCEL CHINA CAPITAL FUND II LP | FMV | 1,000,000 | 1,000,000 |
| IDG ACCEL CHINA GROWTH FUND II LP | FMV | 17,019,155 | 17,019,155 |
| IDG ACCEL CHINA GROWTH FUND II | FMV | 9,389,000 | 9,389,000 |
| IDG ECHA VENTURE CAPITAL F D IV | FMV | 1,000,000 | 1,000,000 |
| IDG ECHAMEDIA LP | FMV | 15,291 | 15,291 |
| IDG ECHA VENTURE CAPITAL | FMV | 5,776,000 | 5,776,000 |
| K2 PARTNERS IV LP | FMV | 1,225,277 | 1,225,277 |
| K2 SPECIAL OPPORTUNITIES I LP | FMV | 1,000,000 | 1,000,000 |
| KEP II INVESTORS LP | FMV | 6,786,014 | 6,786,014 |
| KEISSER CAPITAL PARTNERS VI | FMV | 1,000,000 | 1,000,000 |
| KING STREET CAPITAL II | FMV | 122,103 | 122,103 |
| LEGEND PRIVATE EQUITY CAPITAL FUND I LP | FMV | 1,000,000 | 1,000,000 |
| LFTIN POWER FD II | FMV | 25,876 | 25,876 |
| LIBERTY CITY | FMV | 10,647,000 | 10,647,000 |
| LINK ROCK PARTNERS IV AF LP | FMV | 7,662,138 | 7,662,138 |
| LINK ROCK PARTNERS V LP | FMV | 1,000,000 | 1,000,000 |
| LINK ROCK PARTNERS V LP | FMV | 4,456,083 | 4,456,083 |
| LITTLEJOHN FUND IV | FMV | 125,000 | 125,000 |
| LITTLEJOHN FUND III | FMV | 3,281,716 | 3,281,716 |
| LM ENERGY INVEST II LLC | FMV | 624,000 | 624,000 |
| LO BROOER CO INVEST LLC | FMV | 3,274,758 | 3,274,758 |
| LBI LPE FUND | FMV | 3,963,000 | 3,963,000 |
| LNK PARTNERS III LP | FMV | 6,754,486 | 6,754,486 |
| LNK PARTNERS VI (U.S.) L.P. | FMV | 1,758,750 | 1,758,750 |
| LONE STAR FUND VI U S LP | FMV | 2,751,814 | 2,751,814 |
| LONGREACH CAPITAL | FMV | 469,000 | 469,000 |
| LONGREACH CAPITAL PARTNERS I LP | FMV | 3,273,511 | 3,273,511 |
| LONGREACH CAPITAL PARTNERS II LP | FMV | 9,155,000 | 9,155,000 |
| LONGREACH CP 5 USD LP | FMV | 2,516,591 | 2,516,591 |
| LONE STAR FUND VII LP | FMV | 2,375,257 | 2,375,257 |
| LYNE FOREST FUND III | FMV | 2,860,447 | 2,860,447 |
| LYNE FOREST FUND IV | FMV | 1,000,000 | 1,000,000 |
| MAGELLAN PORTFOLIO | FMV | 77,573,223 | 77,573,223 |
| MAIN STREET | FMV | 10,642,000 | 10,642,000 |
| MEKIT ENERGY PARTNERS II | FMV | 155,626 | 155,626 |
| MEZZANINE CAPITAL PARTNERS FUND LP | FMV | 1,000,000 | 1,000,000 |
| MODERN RESOURCES INC | FMV | 275,039 | 275,039 |
| MOON DRAGON CAPITAL II | FMV | 1,000,000 | 1,000,000 |
| MOW DAVIDSON VENTURES VI LP | FMV | 2,541,524 | 2,541,524 |
| MOW DAVIDSON VENTURES VII LP | FMV | 502,000 | 502,000 |
| MOW DAVIDSON VENTURES VIII | FMV | 1,586,129 | 1,586,129 |
| MOW DAVIDSON VENTURES EQUITY ASIA LP | FMV | 1,000,000 | 1,000,000 |
| NATIONAL CAPITAL PROP III | FMV | 16,231 | 16,231 |
| NEW ENTERPRISE ASSOCIATES VI | FMV | 4,773,000 | 4,773,000 |
| NEW ENTERPRISE | FMV | 381,195 | 381,195 |
| NEW YORK BERMAN CHINA EQUITY | FMV | 1,000,000 | 1,000,000 |
| NEW ENTERPRISE ASSOCIATES VII | FMV | 651,000 | 651,000 |
| NEW ENTERPRISE ASSOCIATES XII LP | FMV | 1,000,000 | 1,000,000 |
| NORTH BRIDGE GROWTH I LP | FMV | 1,560,000 | 1,560,000 |
| NORTH BRIDGE GROWTH II | FMV | 1,225,000 | 1,225,000 |
| OMYA US SPECIAL EQUITY | FMV | 2,041,244 | 2,041,244 |
| ORION EUR RE II EQUITY | FMV | 7,000 | 7,000 |
| ORION EUROPEAN REAL ESTATE II | FMV | 1,000,000 | 1,000,000 |
| OZ OVERSEAS | FMV | 448,004 | 448,004 |
| PALIMPA DEVT SERIES MARCH 2019 | FMV | 21,186,126 | 21,186,126 |
| PALIMPA DEVT LP AURA | FMV | 21,855,000 | 21,855,000 |
| PALIMPA DEVT LP SERIES D USD LEAD SERIES | FMV | 8,155,000 | 8,155,000 |
| PALIMPA DEVT LP SERIES D USD LEAD SERIES | FMV | 29,935,370 | 29,935,370 |
| PALIMPA DEVT LP SERIES OCT SERIES OCT 2019 | FMV | 19,576,000 | 19,576,000 |
| PIK LLC | FMV | 74,050,974 | 74,050,974 |
| PEARL CAP HOLDINGS LP | FMV | 4,000,000 | 4,000,000 |
| PEARL ENERGY INVESTMENTS II LP | FMV | 3,777,486 | 3,777,486 |
| PEARL ENERGY II LP | FMV | 4,972,741 | 4,972,741 |
| PEARL CAPITAL II LC | FMV | 4,030,022 | 4,030,022 |
| PINNACLE INVESTMENTS & PARTNERS & FUNDING - MFT | FMV | 3,692,000 | 3,692,000 |
| PRECEPTOR LIFE SCI CASS AA | FMV | 36,984,734 | 36,984,734 |
| PRECEPTOR LIFE SCIENCES VENTUR FD | FMV | 1,000,000 | 1,000,000 |
| PORTESTATE FUND | FMV | 34,771,304 | 34,771,304 |
| PROVIDENCE EQUITY PARTNERS VI | FMV | 4,115 | 4,115 |
| PROVIDENTIAL RE PARTNERS III LP | FMV | 10,513 | 10,513 |
| PROVIDENTIAL RE PTNRS III LP | FMV | 10,513 | 10,513 |
| PROVIDENTIAL RE PTNRS III | FMV | 10,513 | 10,513 |
| PRO VENTURE LP | FMV | 5,038,000 | 5,038,000 |
| QUANTUM ENERGY PARTNERS IV | FMV | 1,993,000 | 1,993,000 |
| QUANTUM ENERGY PARTNERS V | FMV | 4,591,000 | 4,591,000 |
| REEPORT ORYXIA | FMV | 11,535,275 | 11,535,275 |
| REEPORT ORYXIA II | FMV | 794,707 | 794,707 |
| REEPORT VENTURES III | FMV | 2,720,505 | 2,720,505 |
| RESIDUAL CAPITAL II LP | FMV | 6,620,140 | 6,620,140 |
| RESIDUAL CAPITAL FUND VI LP | FMV | 10,065,405 | 10,065,405 |
| RESIDUAL CAPITAL FUND VII LP | FMV | 2,588,000 | 2,588,000 |
| RIVER ENT INVEST FD | FMV | 93,221,646 | 93,221,646 |
| RIVER ENTERPRISE FUND | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAP CHINA | FMV | 72,615,933 | 72,615,933 |
| SEQUOIA CAP CHINA GR FD V LP | FMV | 11,989,000 | 11,989,000 |
| SEQUOIA CAP CHINA GROWTH | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAP CHINA GROWTH FD IV LP | FMV | 10,236,000 | 10,236,000 |
| SEQUOIA CAP CHINA GROWTH FD V LP | FMV | 10,236,000 | 10,236,000 |
| SEQUOIA CAP CHINA SEED FD I LP | FMV | 845,825 | 845,825 |
| SEQUOIA CAP CHINA VENTURE FD | FMV | 10,048,000 | 10,048,000 |
| SEQUOIA CAP CHINA VENTURE FD IV | FMV | 10,229,449 | 10,229,449 |
| SEQUOIA CAP CHINA VENTURE VI | FMV | 1,980,000 | 1,980,000 |
| SEQUOIA CAP CHINA VENTURE VI LP | FMV | 8,824,775 | 8,824,775 |
| SEQUOIA CAP GBL GROWTH FD II | FMV | 6,512,562 | 6,512,562 |
| SEQUOIA CAP GBL GROWTH FD III | FMV | 42,074,851 | 42,074,851 |
| SEQUOIA CAP GROWTH FD IV LP | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAP GROWTH FD VI LP | FMV | 27,384,504 | 27,384,504 |
| SEQUOIA CAP GROWTH FUND | FMV | 1,153,000 | 1,153,000 |
| SEQUOIA CAP ISRAEL VENTURE FD V | FMV | 15,371,158 | 15,371,158 |
| SEQUOIA CAP US GROWTH FD IV LP | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAP US GROWTH FD VI LP | FMV | 18,604,440 | 18,604,440 |
| SEQUOIA CAP US GROWTH FD VII LP | FMV | 20,078,000 | 20,078,000 |
| SEQUOIA CAP US SCOUT SEED FD II LP | FMV | 1,394,892 | 1,394,892 |
| SEQUOIA CAP US SCOUT SEED FD I LP | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAPITAL CHINA | FMV | 48,048,875 | 48,048,875 |
| SEQUOIA CAPITAL CHINA GROWTH | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAPITAL CHINA GR FD III LP | FMV | 10,352,571 | 10,352,571 |
| SEQUOIA CAPITAL CHINA GROWTH FD II LP | FMV | 10,236,000 | 10,236,000 |
| SEQUOIA CAPITAL CHINA I | FMV | 28,902,613 | 28,902,613 |
| SEQUOIA CAPITAL CHINA GROWTH FD | FMV | 10,448,000 | 10,448,000 |
| SEQUOIA CAPITAL CHINA GROWTH FD III | FMV | 4,749,344 | 4,749,344 |
| SEQUOIA CAPITAL CHINA I LP | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAPITAL INDIA GROWTH FUND I | FMV | 1,699,679 | 1,699,679 |
| SEQUOIA CAPITAL INDIA I | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAPITAL INDIA V LTD | FMV | 17,542,428 | 17,542,428 |
| SEQUOIA CAPITAL INDIA | FMV | 20,025,000 | 20,025,000 |
| SEQUOIA CAPITAL ISRAEL II | FMV | 931,074 | 931,074 |
| SEQUOIA CAPITAL ISRAEL III | FMV | 1,000,000 | 1,000,000 |
| SEQUOIA CAPITAL ISRAEL I LP | FMV | 132,131 | 132,131 |
| SEQUOIA CAPITAL LEAN SEED FUND 2021 R | FMV | 386,000 | 386,000 |
| SEQUOIA CAPITAL U.S. GROWTH FUND I L.P. | FMV | 16,936,922 | 16,936,922 |
| SEQUOIA CAPITAL U.S. GROWTH FUND VII L.P. | FMV | 19,578,000 | 19,578,000 |
| SEQUOIA CAPITAL US VENTURE 2010 FUND SEED FUND | FMV | 5,693,905 | 5,693,905 |
| SEQUOIA CAPITAL US VENTURE FUND | FMV | 25,181,000 | 25,181,000 |
| SEQUOIA CAPITAL V | FMV | 260,893 | 260,893 |
| SEQUOIA CAPITAL VI | FMV | 89,000 | 89,000 |
| SEQUOIA CAPITAL VII LP | FMV | 23,981,131 | 23,981,131 |
| SG CASH FUND LP | FMV | 2,024,000 | 2,024,000 |
| SG GROWTH PARTNERS II LP | FMV | 21,548,911 | 21,548,911 |
| SG GROWTH PARTNERS I LP | FMV | 1,000,000 | 1,000,000 |
| SG EU CO-INVEST LP | FMV | 5,750,369 | 5,750,369 |
| SG GROWTH PARTNERS III LP | FMV | 107,250,077 | 107,250,077 |
| SGWOOD ALPHA FUND | FMV | 71,744 | 71,744 |
| SHARP PARTNERS EUROPE VI LP | FMV | 1,000,000 | 1,000,000 |
| SHARP PARTNERS PRIVATE EQUITY FUND VII LP | FMV | 1,315,179 | 1,315,179 |
| SHARP PARTNERS PRIVATE EQUITY EQUITY FD II SCSP | FMV | 1,000,000 | 1,000,000 |
| SUMMIT VENTURES II A | FMV | 295,252 | 295,252 |
| SUMMIT VENTURES II | FMV | 155,000 | 155,000 |
| THE CHILDRENS INVESTMENT FUND - CLASS D1 | FMV | 207,181,134 | 207,181,134 |
| THE CHILDRENS INVESTMENT FUND | FMV | 1,000,000 | 1,000,000 |
| THINK INVESTMENTS TRANCHE 5 SEED | FMV | 775,552 | 775,552 |
| THINK INVESTMENTS TRANCHE 5 SERIES A | FMV | 155,000 | 155,000 |
| TIGER GLOBAL PRIV INV PARTNERS V | FMV | 1,863,507 | 1,863,507 |
| TIGER GLOBAL PRIVATE INVESTMENT FUND IV | FMV | 226,000 | 226,000 |
| TPG AGON PART FEE REBATE | FMV | 12,714 | 12,714 |
| TPG BEGIN PARTNERS FEE REBATE | FMV | 1,000,000 | 1,000,000 |
| TRAVERT CHINA FOCUS FUND | FMV | 56,367,838 | 56,367,838 |
| TRAVERT CHINA FOCUS FUND B (B) (D) SHARES | FMV | 1,000,000 | 1,000,000 |
| TRAVERT CHINA FOCUS FUND B (D) (E) SHARES | FMV | 2,218,845 | 2,218,845 |
| TRAVERT CHINA FOCUS FUND (D) SHARES | FMV | 1,000,000 | 1,000,000 |
| TS CAPITAL VALUE FUND (PARIS) - CLASS A SHARES - | FMV | 11,449,210 | 11,449,210 |
| UNCOR PARTNERS FD I LP | FMV | 1,000,000 | 1,000,000 |
| UNCOR PARTNERS FD II LP | FMV | 7,748,521 | 7,748,521 |
| UNCOR PARTNERS FUND III LP | FMV | 1,000,000 | 1,000,000 |
| UNCOR PARTNERS FUND IV LP | FMV | 158,679 | 158,679 |
| US VENTURE PARTNERS VI | FMV | 1,000,000 | 1,000,000 |
| US VENTURE PARTNERS VII | FMV | 776,600 | 776,600 |
| VARDE FUND VI LP | FMV | 1,000,000 | 1,000,000 |
| VARDE FUND IX LP | FMV | 146,605 | 146,605 |
| VARDE FUND X LP | FMV | 1,000,000 | 1,000,000 |
| VETAR CAPITAL PARTNERS III LP | FMV | 32,079 | 32,079 |
| VETAR CAPITAL PARTNERS IV LP | FMV | 1,000,000 | 1,000,000 |
| VIVO CAPITAL VIII LLC | FMV | 1,000,000 | 1,000,000 |
| VIVO CAPITAL VIII | FMV | 1,000,000 | 1,000,000 |
| VIVO CAPITAL VIII LP | FMV | 1,000,000 | 1,000,000 |
| WARBURG PINCUS XI

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Category / Item | Cost / Other Basis | Accumulated Depreciation | Book Value | End of Year Fair Market Value |
|---|---|---|---|---|
| CONDOMINIUM INTEREST IN 420 FIFTH AVE AND IMPROVEMENTS | 30,618,275 | 24,418,307 | 6,199,968 | 6,199,968 |
| FURNITURE, FIXTURES AND EQUIPMENT | 20,549,073 | 17,281,253 | 3,267,820 | 3,267,820 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| AJAY K. SUD & ASSOCIATES, LAW OFFICES (AKSA) | 7,200 | 0 | 0 | 7,200 |
| ANJARWALLA & KHANNA LLP | 7,577 | 0 | 0 | 7,577 |
| AXIOM LEGAL SOLUTIONS, INC. | 16,146 | 0 | 0 | 16,146 |
| AZB & PARTNERS | 43,050 | 0 | 0 | 43,050 |
| BATES WELLS BRAITHWAITE LONDON LLP | 2,119 | 0 | 0 | 2,119 |
| CENTRAL LAW GUATELMALA CORP. | 20,850 | 0 | 0 | 20,850 |
| DECHERT LLP | 780,899 | 0 | 0 | 780,899 |
| FOLEY & LARDNER LLP | 19,690 | 19,690 | 0 | 0 |
| FRAGOMEN, DEL REY, BERNSEN & LOEWY, P.C. | 47,306 | 0 | 0 | 47,306 |
| GOODELL, DEVRIES, LEECH & DANN, LLP | 108,636 | 0 | 0 | 108,636 |
| HERRICK, FEINSTEIN LLP | 10,000 | 0 | 0 | 10,000 |
| HOGAN LOVELLS US LLP | 9,750 | 9,750 | 0 | 0 |
| K & L GATES LLP | 3,110 | 0 | 0 | 3,110 |
| KAPLAN & STRATTON | 2,452 | 0 | 0 | 2,452 |
| MORGAN, LEWIS & BOCKIUS LLP | 673,674 | 4,616 | 0 | 669,058 |
| MORRISON & FOERSTER LLP | 161,915 | 0 | 0 | 161,915 |
| NISHITH DESAI ASSOCIATES | 31,903 | 0 | 0 | 31,903 |
| PATTERSON, BELKNAP, WEBB & TYLER LLP | 2,584,243 | 0 | 0 | 1,735,946 |
| PERLMAN & PERLMAN, LLP | 1,100 | 0 | 0 | 1,100 |
| PLANET DEPOS, LLC | 17,604 | 0 | 0 | 17,604 |
| REED SMITH LLP | 660,735 | 0 | 0 | 778,975 |
| ROPES AND GRAY LLP | 235,368 | 235,368 | 0 | 0 |
| SIMPSON THACHER & BARTLETT LLP | 39,900 | 0 | 0 | 39,900 |
| TATVA LEGAL BANGALORE | 19,938 | 0 | 0 | 19,938 |
| TRISTER, ROSS, SCHADLER & GOLD, PLLC | 11,048 | 0 | 0 | 11,048 |
| UNITY LEGAL | 41,872 | 0 | 0 | 41,872 |
| WEIL, GOTSHAL & MANGES LLP | 8,550 | 8,550 | 0 | 0 |
| WILSON SONSINI GOODRICH & ROSATI | 232,441 | 0 | 0 | 232,441 |
| WINDELS MARX LANE & MITTENDORF, LLP | 3,000 | 0 | 0 | 3,000 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| PROGRAM RELATED INVESTMENTS | 32,382,255 | 35,077,350 | 35,077,350 |
| PREPAID PENSION COST | 22,184,494 | 25,615,923 | 25,615,923 |
| REDEMPTIONS, DIVIDENDS, INTEREST, AND OTHER RECEIVABLES | 499,219 | 593,850 | 593,850 |
| PREPAID FEDERAL EXCISE AND UNRELATED BUSINESS INCOME TAXES | 2,371,992 | 1,224,879 | 1,224,879 |
| INTEREST RATE SWAP ASSET | 93,437 | | |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Description | Amount |
|---|---|
| DEFERRED FEDERAL EXCISE TAX | 7,815,000 |
| CHANGE IN FAIR VALUE OF INTEREST RATE SWAP | 151,632 |
| DEFERRED COMPENSATION PLAN (457B) UNREALIZED | 111,753 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| COMPUTER/FURNITURE AND EQUIPMENT | 1,748,591 | 2,855 | 0 | 1,745,736 |
| OFFICE EXPENSES (SUPPLIES, POSTAGE, OTHER) | 1,065,553 | 1,970 | 0 | 1,064,658 |
| SUNDRIES (INSURANCE, MEMBERSHIPS, TRAINING, STAFF FUNCTIONS, OTHER) | 2,184,859 | 25,146 | 0 | 2,156,594 |
| CREDIT FACILITY FEES | 460,944 | 0 | 0 | 316,278 |
| OTHER PORTFOLIO DEDUCTIONS | 0 | 35,625,005 | 0 | 0 |
| BROKER COMMISSIONS | 8,484 | 8,484 | 0 | 0 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|---|---|---|---|
| OTHER INCOME THROUGH K-1S, NET OF UBI | | 2,321,055 | |
| SECTION 951(A) INCOME INCLUSION | | 1,064,604 | |
| PROGRAM RELATED INVESTMENT INCOME | 833,327 | 833,327 | 0 |
| PAMIGA PRI GAIN | 214,661 | 214,661 | 0 |
| SPI INDIA | 1,519 | | 1,519 |
| FOREIGN CURRENCY LOSS | -2,447,167 | -2,447,167 | 0 |
| SECURITIES LITIGATION PROCEEDS | 52,355 | 52,355 | 0 |
| GRANT REFUNDS | 339,560 | | 0 |
| ROYALTIES | 2,135 | 2,135 | 0 |
| UBIT STATE REFUNDS | 7,221 | | 0 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Description | Amount |
|---|---|
| CHANGE IN UNREALIZED GAIN ON INVESTMENTS AND PRI'S | 390,814,906 |
| PENSION AND POSTRETIREMENT BENEFIT LIABILITY ADJUSTMENTS | 3,348,800 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Description | Beginning of Year - Book Value | End of Year - Book Value |
|---|---|---|
| POSTRETIREMENT BENEFIT OBLIGATION | 21,403,503 | 21,173,688 |
| DEFERRED FEDERAL EXCISE TAX | 16,294,000 | 24,109,000 |
| TERM LOAN PAYABLE | 8,364,486 | 6,633,903 |
| TERM LOAN SWAP LIABILITY | 0 | 58,195 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| CONSULTANTS (ADMINISTRATIVE) | 3,937,212 | 0 | 0 | 3,937,212 |
| CONSULTANTS (DIRECT PROGRAMMATIC EXPENDITURES) | 22,080,426 | 0 | 0 | 22,493,915 |
| CUSTODIANS & INVESTMENT MANAGERS | 7,145,074 | 5,631,647 | 0 | 0 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| FOREIGN WITHHOLDING TAXES | 0 | 2,540,744 | 0 | 0 |
| FEDERAL EXCISE AND UBI TAX | 805,344 | 0 | 0 | 0 |
| STATE UBI TAXES | 393,022 | 0 | 0 | 0 |

# TY 2019 IRS 990 e-File Render

**Name:** THE ROCKEFELLER FOUNDATION

**EIN:** 13-1659629

| Name | US / Foreign Address | EIN | Description | Amount |
|---|---|---|---|---|
| PX VENTURE (A) LLC (SEE STMT 31) | 51 ASTOR PLACE 10TH FLOOR NEW YORK, NY 10003 | 84-1995535 | CAPITAL CONTRIBUTION | 5,068,728 |
| **Total** | | | | 5,068,728 |