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

2020

Open to Public Inspection

For calendar year 2020, or tax year beginning 01-01-2020 , and ending 12-31-2020

Name of foundation
THE DAVID ROCKEFELLER FUND INC

A Employer identification number
13-3533359

Number and street (or P.O. box number if mail is not delivered to street address)
475 RIVERSIDE DRIVE NO 900

Room/suite

B Telephone number (see instructions)
(212) 812-4300

City or town, state or province, country, and ZIP or foreign postal code
NEW YORK, NY 10115

C If exemption application is pending, check here ▶ ☐

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)* ▶$ 66,044,643

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)	378,960			
	2 Check ▶ ☐ if the foundation is **not** required to attach Sch. B				
	3 Interest on savings and temporary cash investments	3,768	3,768		
	4 Dividends and interest from securities	1,343,064	1,331,178		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	492,192			
	b Gross sales price for all assets on line 6a 27,601,702				
	7 Capital gain net income (from Part IV, line 2)		976,336		
	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)	-23,997	-31,248		
	12 **Total.** Add lines 1 through 11	2,193,987	2,280,034		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	348,154	57,568		288,586
	14 Other employee salaries and wages	121,929	0		117,418
	15 Pension plans, employee benefits	158,389	15,965		149,789
	16a Legal fees (attach schedule)	11,281	5,929		14,156
	b Accounting fees (attach schedule)	28,372	12,858		2,004
	c Other professional fees (attach schedule)	440,263	279,564		158,913
	17 Interest		89		
	18 Taxes (attach schedule) (see instructions)	19,583	25,500		0
	19 Depreciation (attach schedule) and depletion	4,238	0		
	20 Occupancy	32,230	1,557		28,478
	21 Travel, conferences, and meetings	17,503	0		20,834
	22 Printing and publications	400	0		400
	23 Other expenses (attach schedule)	291,990	195,450		98,183
	24 **Total operating and administrative expenses.** Add lines 13 through 23	1,474,332	594,480		878,761
	25 Contributions, gifts, grants paid	10,236,780			10,752,105
	26 **Total expenses and disbursements.** Add lines 24 and 25	11,711,112	594,480		11,630,866
	27 Subtract line 26 from line 12:				
	a **Excess of revenue over expenses and disbursements**	-9,517,125			
	b **Net investment income** (if negative, enter -0-)		1,685,554		
	c **Adjusted net income** (if negative, enter -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	269,114	511,865	511,865
	2 Savings and temporary cash investments	1,769,818	397,504	397,504
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶	80,159		
	4 Pledges receivable ▶ 8,300			
	Less: allowance for doubtful accounts ▶	1,000	8,300	8,300
	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	9,600	22,757	22,757
	10a Investments—U.S. and state government obligations (attach schedule)	8,688,090	6,966,527	6,966,527
	b Investments—corporate stock (attach schedule)	15,942,859	20,019,851	20,019,851
	c Investments—corporate bonds (attach schedule)	3,065,577	2,786,215	2,786,215
	11 Investments—land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)	38,715,674	35,247,659	35,247,659
	14 Land, buildings, and equipment: basis ▶ 29,110			
	Less: accumulated depreciation (attach schedule) ▶ 12,304	8,527	16,806	16,806
	15 Other assets (describe ▶)	0	67,159	67,159
	16 **Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	68,550,418	66,044,643	66,044,643
Liabilities	17 Accounts payable and accrued expenses	252,434	293,184	
	18 Grants payable	990,000	475,000	
	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 ▶)			
	23 **Total liabilities**(add lines 17 through 22)	1,242,434	768,184	
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	62,424,603	61,134,181	
	25 Net assets with donor restrictions	4,883,381	4,142,278	
	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)	67,307,984	65,276,459	
	30 **Total liabilities and net assets/fund balances** (see instructions)	68,550,418	66,044,643	

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	67,307,984
2	Enter amount from Part I, line 27a	2	-9,517,125
3	Other increases not included in line 2 (itemize) ▶	3	7,556,704
4	Add lines 1, 2, and 3	4	65,347,563
5	Decreases not included in line 2 (itemize) ▶	5	71,104
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29	6	65,276,459

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a	PUBLICLY TRADED SECURITIES			
b	LIBRA FOSSIL FUEL FREE FUND, LP	P		
c	ROCKEFELLER ACCESS FUND 06-I, LLC - NET OF UBI	P		
d	ROCKEFELLER ALTERNATIVE STRATEGIES FUND, LP	P		
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				-94,056
b				924,040
c				145,177
d				1,175
e				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) **or** Losses (from col.(h))
a				-94,056
b				924,040
c				145,177
d				1,175
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	976,336
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8	3	

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

SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE

1 Reserved

(a) Reserved	(b) Reserved	(c) Reserved	(d) Reserved

2	Reserved	2	
3	Reserved	3	
4	Reserved	4	
5	Reserved	5	
6	Reserved	6	
7	Reserved	7	
8	Reserved	8	

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	Reserved	1	23,429
c	All other domestic foundations enter 1.39% 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	23,429
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	23,429
6	Credits/Payments:		
a	2020 estimated tax payments and 2019 overpayment credited to 2020 — 6a: 18,417		
b	Exempt foreign organizations—tax withheld at source — 6b:		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 6,600		
d	Backup withholding erroneously withheld — 6d: 0		
7	Total credits and payments. Add lines 6a through 6d	7	25,017
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	1,588
11	Enter the amount of line 10 to be: **Credited to 2021 estimated tax** ▶ 1,588 **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). *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.*	1b		No
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		No
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			
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 2020 or the taxable year beginning in 2020? 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)

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions	11		No
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	Yes	
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶ WWW.DRFUND.ORG

14 The books are in care of ▶ LUKAS HAYNES Telephone no. ▶ (212) 812-4300

Located at ▶ 475 RIVERSIDE DRIVE NEW YORK NY ZIP+4 ▶ 10115

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

			Yes	No
16	At any time during calendar year 2020, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign	16		No

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?	☐	☑
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐	☑
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☑	☐
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☑	☐
	(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)?	☐	☑
	(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.)	☐	☑
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 2020? (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 2020, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2020?	☐	☑
	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. ▶ 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?	☐	☑
b	If "Yes," did it have excess business holdings in 2020 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 2020.)* (3b)		
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 2020? (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
PEGGY DULANY 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.50	0	0	0
NILI GILBERT 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 2.50	11,550	0	0
DANIEL GROWALD 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 2.00	0	0	0
GARA LAMARCHE 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.00	2,000	0	0
REBECCA LAMBERT 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.50	0	0	0
MICHAEL QUATTRONE 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 2.50	0	0	0
CAMILLA ROCKEFELLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE/CHAIR 3.00	0	0	0
CLAY ROCKEFELLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 2.00	0	0	0
DAVID ROCKEFELLER JR 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.50	0	0	0
MANYA RUBINSTEIN 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.50	0	0	0
JAMIE BENNETT 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 2.00	0	0	0
ARIANA ROCKEFELLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.50	0	0	0
CHRISTINE HEENAN 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.00	0	0	0
MAX MILLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TRUSTEE 1.50	0	0	0
LUKAS HAYNES 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	EXECUTIVE DIRECTOR 40.00	242,087	49,260	5,050
LEXI FISHER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	SECRETARY/DIR OF PROGRAMS & OPERATIONS 40.00	86,232	47,014	1,485
LEAH D'ANGELO 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	TREASURER 1.00	6,285	1,886	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
STEPHANIE BURGOS 475 RIVERSIDE DRIVE SUITE 900 NEW YORK,NY 10115	PROGRAM ASSISTANT 40.00	52,230	17,960	1,178

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

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
ROCKEFELLER CAPITAL MANAGEMENT 45 ROCKEFELLER PLAZA FLOOR 5 NEW YORK,NY 10111	INVESTMENT MANAGEMENT	342,058
BUILDING IMPACT 44 HOWARD AVENUE NEW HAVEN,CT 06519	GRANT MAKING CONSULTANTS	70,000

Total number of others receiving over $50,000 for professional services. . . . . ▶
0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 DURING 2020, 2 MEMBERS OF THE STAFF OF DAVID ROCKEFELLER FUND PROVIDED TECHNICAL ASSISTANCE TO CHARITABLE ORGANIZATIONS, GOVERNMENTAL BODIES AND COMMITTEES, AND 1 MEMBER OF THE STAFF SERVED ON 3 CHARITABLE ORGANIZATIONS' BOARDS. 2 MEMBERS OF THE STAFF SERVED ON TOTAL OF 7 COMMITTEES, PUBLIC COMMISSIONS, OR TASK FORCES IN ORDER TO PROVIDE TECHNICAL ASSISTANCE.	109,586
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
All other program-related investments. See instructions. **3**	
Total. Add lines 1 through 3 . . . . . ▶	0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:			
a	Average monthly fair market value of securities		1a	62,262,759
b	Average of monthly cash balances		1b	2,312,853
c	Fair market value of all other assets (see instructions)		1c	0
d	**Total** (add lines 1a, b, and c)		1d	64,575,612
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	64,575,612
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	968,634
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	63,606,978
6	**Minimum investment return.** Enter 5% of line 5		6	3,180,349

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	3,180,349
2a	Tax on investment income for 2020 from Part VI, line 5	2a 23,429		
b	Income tax for 2020. (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	23,429
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	3,156,920
4	Recoveries of amounts treated as qualifying distributions		4	0
5	Add lines 3 and 4		5	3,156,920
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	3,156,920

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	11,630,866
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
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	11,630,866
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions	5	0
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	11,630,866

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 2019	(c) 2019	(d) 2020
1 Distributable amount for 2020 from Part XI, line 7				3,156,920
2 Undistributed income, if any, as of the end of 2020:				
a Enter amount for 2019 only			0	
b Total for prior years: 20___, 20___, 20___		0		
3 Excess distributions carryover, if any, to 2020:				
a From 2015 1,296,082				
b From 2016 1,355,799				
c From 2017 1,209,689				
d From 2018 593,750				
e From 2019 1,621,017				
f **Total** of lines 3a through e	6,076,337			
4 Qualifying distributions for 2020 from Part XII, line 4: ▶ $ 11,630,866				
a Applied to 2019, 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 2020 distributable amount				3,156,920
e Remaining amount distributed out of corpus	8,473,946			
5 Excess distributions carryover applied to 2020. *(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	14,550,283			
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 2019. Subtract line 4a from line 2a. Taxable amount—see instructions			0	
f Undistributed income for 2021. 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 2015 not applied on line 5 or line 7 (see instructions)	1,296,082			
9 **Excess distributions carryover to 2021.** Subtract lines 7 and 8 from line 6a	13,254,201			
10 Analysis of line 9:				
a Excess from 2016 1,355,799				
b Excess from 2017 1,209,689				
c Excess from 2018 593,750				
d Excess from 2019 1,621,017				
e Excess from 2020 8,473,946				

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 2020, 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) 2020	(b) 2019	(c) 2018	(d) 2017	
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:

LEXI FISHER
475 RIVERSIDE DRIVE SUITE 900
NEW YORK,NY 10115
(212) 812-4300
LOI@DRFUND.ORG

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

THE DAVID ROCKEFELLER FUND WEBSITE STATES 1-2 PAGE LETTER OF INTENT SHOULD BE SUBMITTED TO LOI@DRFUND.ORG

c Any submission deadlines:

THE DAVID ROCKEFELLER FUND ACCEPTS UNSOLICITED REQUESTS ON A ROLLING BASIS.

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

THE DAVID ROCKEFELLER FUND ONLY ACCEPTS UNSOLICITED REQUESTS THAT FIT ITS THREE KEY PROGRAM AREAS (ARTS, CRIMINAL JUSTICE AND ENVIRONMENT)

Form 990 Schedule I Supplemental Information (continued)

Grants and Other Assistance Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foreman, director, trustee, or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
• Paid during the year				
1				
GRASSROOTS CLIMATE INITIATIVE WASHINGTON DC 20036		PC	GRASSROOTS CLIMATE INITIATIVE	100,000
2				
SOCIALIST ALTERNATIVE PO BOX 1851 MISSOULA,MT 59807		PC	SOCIALIST ELECTORAL CAMPAIGN ORGANIZATION EDUCATIONAL WORK AND ELECTORAL CAMPAIGN WORK ORGANIZATION	20,000
3				
A PEACE OF GRASS 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	SOCIALIST ENGAGED ART	25,000
4				
ABOLITIONIST LAW CENTER PO BOX 8654 PITTSBURGH,PA 15221		PC	LAW WITHOUT PRISONS	100,000
5				
ACTION FOR ABORTION CARE PO BOX 1 LAKE BROADWAY SUITE A ROSLYN,PA 19001		PC	PRIVACY VISION EDUCATION CAMPAIGN	100,000
6				
ADVANCE PEACE 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	ARTIST RESIDENCIES	50,000
7				
AMERICAN FAIRBANKS TRUST 1 N LA SALLE STREET SUITE 3600 CHICAGO,IL 60602		PC	REPRESENTATIVE GOVERNANCE	50,000
8				
AMERICANS FOR DEMOCRATIC ACTION 1909 K STREET NW 3RD FLOOR WASHINGTON,DC 20006		PC	ANTI-FASCISM ELECTORAL ORGANIZING	50,000
9				
ANTI-DEFAMATION LEAGUE 1100 KRAMER AVENUE NW - 6TH FLOOR ATLANTA,GA 30309		PC	ANTI-ZIONISM ON CAMPUS POLITICAL ACTION	50,000
10				
ARCHIVE OF SELF-DETERMINATION 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	ARCHIVE OF SELF-DETERMINATION	25,000
11				
ARTISTS AT THE BORDER AND FREE STORE 1611 TELEGRAPH AVE		PC	ARTISTS AT THE BORDER	25,000
12				
ARTIVISM FOR JUSTICE 1611 TELEGRAPH AVE UNIT 100 OAKLAND,CA 94612		PC	DESIGN LAB FOR ART ACTIVISM	50,000
13				
ASIAN PACIFIC ISLANDER AMERICAN VOTE 1629 K STREET NW WASHINGTON,DC 20006		PC	VOTING RIGHTS PROTECTION	50,000
14				
ASSOCIATED PRESS 450 WEST 33RD STREET NEW YORK,NY 10001		PC	VOTING RIGHTS PROTECTION	50,000
15				
ATLANTIC COUNCIL 1030 15TH STREET NW 12TH FLOOR WASHINGTON,DC 20005		PC	"LIKE WITHOUT PARALLEL" EDUCATION	150,000
16				
BALLOTPEDIA 1600 N DESERT DRIVE MESA,AZ 85201		PC	REPRESENTATIVE SPACE FOR ALL	50,000
17				
BARNARD CENTER FOR RESEARCH ON WOMEN 3009 BROADWAY NEW YORK,NY 10027		PC	LEGAL DEFENSE IN REPRODUCTIVE RIGHTS RESOURCE	50,000
18				
BEAUTIFUL TROUBLE 1611 TELEGRAPH AVE SUITE 1100 OAKLAND,CA 94612		PC	REPRESENTATIONARY GOVERNANCE	50,000
19				
BELLOTA FOUNDATION 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	ARTIST-LED PUBLIC ART PROJECT	50,000
20				
BERKELEY LAW UNIVERSITY OF CALIFORNIA BERKELEY,CA 94720		PC	MISSION ALLIANCE LEADERSHIP	50,000
21				
BILL OF RIGHTS DEFENSE COMMITTEE 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	PROTECT CELEBRATE'S ELIMATE, ADL, LAND, AND CULTURE	75,000
22				
BLACK LIVES MATTER 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	CENTER FOR CLIMATE & ENERGY SOLUTIONS	50,000
23				
BLACK VOTERS MATTER 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	CENTER FOR CLIMATE & ENERGY SOLUTIONS	50,000
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BLOOMBERG 731 LEXINGTON AVENUE NEW YORK,NY 10022		PC	CENTER FOR CLIMATE & ENERGY SOLUTIONS	50,000
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BOARD OF TRUSTEES 1611 TELEGRAPH AVE OAKLAND,CA 94612		PC	CENTER FOR CLIMATE & ENERGY SOLUTIONS	50,000
164	

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					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	3,768	
4 Dividends and interest from securities	525990	247	14	1,342,817	
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	-194	18	492,386	
9 Net income or (loss) from special events:					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a LIBRA FOSSIL FUEL FREE FUND, LP			14	-25,042	
b ROCKEFELLER ACCESS FUND 06-I, LLC	525990	4,378	14	-4,508	
c ROCKEFELLER ALTERNATIVE STRATEGIES FUND, LP			14	1,175	
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		4,431		1,810,596	0
13 **Total.** Add line 12, columns (b), (d), and (e). (See worksheet in line 13 instructions to verify calculations.)				13	1,815,027

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.)

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)	50,000	A BETTER BIG SKY	GRANT PAYMENT TO SUPPORT MONTANA-BASED ORGANIZATION EDUCATING WITH RURAL AND YOUNGER MONTANANS ABOUT PROGESSIVE POLICY.
1a(1)	75,000	AMERICANS FOR THE ARTS ACTION FUND	GRANT PAYMENT TO EDUCATE CITIZENS ON ARTS-FRIENDLY PUBLIC POLICIES AT THE FEDERAL, STATE AND LOCAL LEVELS.
1a(1)	25,000	BRAVE NEW FILMS ACTION FUND	GRANT PAYMENT TO CREATE AND DISTRIBUTE ENGAGING MEDIA TO EDUCATE AND MOTIVATE CITIZENS, LEADING TO PRODUCTIVE CIVIC PARTICIPATION.
1a(1)	50,000	CONSERVATION COLORADO	GRANT PAYMENT TO PROTECT COLORADO'S CLIMATE, AIR, LAND, WATER, AND COMMUNITIES THROUGH ORGANIZING AND ADVOCACY.
1a(1)	100,000	CULTURAL ENGAGEMENT LAB	GRANT PAYMENT TO ORGANIZE A STRONG NETWORK OF ARTISTS AND CULTURE MAKERS FROM IMPACTED COMMUNITIES WHO CAN USE ART AND CULTURE AS AN ENGINE FOR CIVIC ENGAGEMENT.
1a(1)	50,000	GAMALIEL FAITH AND DEMOCRACY CAMPAIGN	GRANT PAYMENT TO BUILD STRUCTURAL POWER THROUGH COMMUNITY EDUCATION TO TRANSFORM THE SYSTEMS THAT PERPETUATE INEQUITY AND INJUSTICE.
1a(1)	750,000	GEORGIA INVESTOR ACTION FUND INC	GRANT PAYMENT TO BUILD POWER IN HISTORICALLY UNDERREPRESENTED COMMUNITIES THROUGH CIVIC ENGAGEMENT AND COMMUNITY ORGANIZING.
1a(1)	100,000	HIP HOP CAUCUS ACTION FUND	TOTAL GRANT PAYMENTS MADE IN 2020 TO ENERGIZE THE HIP HOP COMMUNITY AS A WAY TO BUILD CLIMATE MOVEMENT POWER AND PROMOTE CIVIC ENGAGEMENT.
1a(1)	50,000	JOLT ACTION	GRANT PAYMENT TO BUILD LONG-TERM LEADERSHIP OF LATINX YOUTH, GIVING THEM THE ABILITY TO SHAPE THE CONVERSATION ON CLIMATE JUSTICE.
1a(1)	250,000	LEAGUE OF CONSERVATION VOTERS	GRANT PAYMENT TO BUILD POWER THROUGH EDUCATION THAT WILL CREATE A WORLD WITH CLEAN AIR, CLEAN WATER, PUBLIC LANDS, AND A SAFE CLIMATE THAT ARE PROTECTED BY A JUST AND EQUITABLE DEMOCRACY.
1a(1)	50,000	MAKE THE ROAD ACTION FUND	GRANT PAYMENT TO BUILD POWER THROUGH EDUCATION FOR JUSTICE IN LATINX AND IMMIGRANT COMMUNITIES AND WORKING CLASS COMMUNITIES OF COLOR.
1a(1)	100,000	MICHIGAN CIVIC ACTION FUND	GRANT PAYMENT TO IMPROVE ALIGNMENT ACROSS NATIONAL, STATE, AND LOCAL PARTNERS TO FOCUS ON TOP PRIORITIES FOR ELIMINATING DISPARITIES IN CIVIC PARTICIPATION.
1a(1)	50,000	MINNESOTA YOUTH COLLECTIVE	GRANT PAYMENT TO ENGAGE YOUNG PEOPLE IN CIVIC ENGAGEMENT AND LEADERSHIP DEVELOPMENT.
1a(1)	100,000	NEW FLORIDA MAJORITY	GRANT PAYMENT TO EDUCATE TO BUILD POWER AND INCREASE THE CIVIC ENGAGEMENT OF MARGINALIZED AND EXCLUDED CONSTITUENCIES TOWARD AN INCLUSIVE, EQUITABLE, AND JUST FLORIDA.
1a(1)	50,000	ORGANIZE PENNSYLVANIA	GRANT PAYMENT TO AMPLIFY VOICES AND PRIORITIZE LEADERSHIP DEVELOPMENT IN COMMUNITIES THAT ARE UNDERPAID AND UNDERSERVED IN THE CURRENT ECONOMY, SPECIFICALLY THE ONE PA AMBASSADOR PROGRAM.
1a(1)	50,000	PODER	GRANT PAYMENT TO TRANSFORM POLICING AND IMMIGRANT DETENTION THROUGH EDUCATING ARIZONA COMMUNITIES OF COLOR IN CIVIC ENGAGEMENT STRATEGIES THAT BUILD POWER.
1a(1)	75,000	PROGRESSIVE MULTIPLIER ACTION FUND	GRANT PAYMENT TO SUPPORT CHARITABLE ORGANIZATIONS IN ENGAGING IN EFFECTIVE COMMUNITY OUTREACH AND REVENUE GENERATION.
1a(1)	494,430	SIXTEEN THIRTY FUND	TOTAL GRANT PAYMENTS MADE IN 2020, TO SUPPORT EDUCATIONAL COMPONENTS OF THE CLIMATE EQUITY ACTION FUND, WHICH ADVOCATES FOR CLIMATE AND CLEAN ENERGY POLICIES.
1a(1)	100,000	THE NORTH FUND	GRANT PAYMENT TO SUPPORT DEMOCRACY DOCKET ACTION FUND IN FIGHTING SUPPRESSIVE VOTING LAWS

			AND PRACTICES IN COURT WITH A PARTICULAR FOCUS ON THOSE LAWS AND PRACTICES THAT WILL HAVE THE GREATEST IMPACT ON MINORITY AND YOUNG VOTERS.
1a(1)	100,000	THE VOTER PROJECT	GRANT PAYMENT TO ENSURE THAT EACH PENNSYLVANIA VOTER IS ABLE TO CAST A BALLOT IN A SAFE, SECURE, CONVENIENT WAY.
1a(1)	50,000	TIDES ADVOCACY	GRANT PAYMENT TO SUPPORT DETROIT ACTION IN CHALLENGING THE ROOT CAUSE OF POVERTY, ADVANCING JUSTICE, AND PROMOTING HUMAN DEVELOPMENT THROUGH NEIGHBORHOOD-DRIVEN CIVIC ENGAGEMENT.
1a(1)	50,000	TIDES ADVOCACY	GRANT PAYMENT TO SUPPORT FLORIDA RIGHTS RESTORATION COALITION

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.

2021-11-08

Signature of officer or trustee — Date — 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
JOSEPH L ALI CPA		2021-11-08		P02093808

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

Firm's address ▶ 500 MAMARONECK AVENUE
HARRISON, NY 105281633

Phone no. (914) 381-8900

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

2020

Name of the organization
THE DAVID ROCKEFELLER FUND INC

Employer identification number
13-3533359

Organization type (check one):

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

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

General Rule

☑ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or 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 DAVID ROCKEFELLER FUND INC

Employer identification number
13-3533359

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

Contributors

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	CAMILLA ROCKEFELLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 29,150	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
2	MAEVE ROCKEFELLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 25,000	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
3	MICHAEL QUATTRONE KALA SMITH 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 50,000	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
4	NILI GILBERT 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 10,000	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
5	REBECCA LAMBERT 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 150,000	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
6	PEGGY DULANY 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 60,000	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)

Name of organization
THE DAVID ROCKEFELLER FUND INC

Employer identification number
13-3533359

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

Contributors

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	GRIFFIN MILLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 12,500	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
8	MAX MILLER 475 RIVERSIDE DRIVE SUITE 900		☑ Person ☐ Payroll

	NEW YORK, NY 10115	$ 12,500	☐ Noncash (Complete Part II for noncash contributions.)
(a) No.	**(b) Name, address, and ZIP + 4**	**(c) Total contributions**	**(d) Type of contribution**
9	DAVID SUSAN ROCKEFELLER 475 RIVERSIDE DRIVE SUITE 900 NEW YORK, NY 10115	$ 25,000	☑ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
(a) No.	**(b) Name, address, and ZIP + 4**	**(c) Total contributions**	**(d) Type of contribution**
		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
(a) No.	**(b) Name, address, and ZIP + 4**	**(c) Total contributions**	**(d) Type of contribution**
		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)
(a) No.	**(b) Name, address, and ZIP + 4**	**(c) Total contributions**	**(d) Type of contribution**
		$	☐ Person ☐ Payroll ☐ Noncash (Complete Part II for noncash contributions.)

Name of organization
THE DAVID ROCKEFELLER FUND INC

Employer identification number
13-3533359

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 DAVID ROCKEFELLER FUND INC

Employer identification number
13-3533359

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

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Software ID:

Software Version:

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
GRANT THORNTON, LLP	360	0		212
PKF O'CONNOR DAVIES, LLP	28,012	12,858		1,792

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
A BETTER BIG SKY	PO BOX 7134 MISSOULA, MT 59807	2020-05-22	50,000	TO SUPPORT MONTANA-BASED ORGANIZATION EDUCATIONG RURAL AND YOUNGER MONTANANS ABOUT PROGRESSIVE POLICY.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
AMERICANS FOR THE ARTS ACTION FUND	1000 VERMONT AVENUE 6TH FLOOR WASHINGTON, DC 20005	2020-07-31	75,000	TO EDUCATE CITIZENS ON ARTS-FRIENDLY PUBLIC POLICIES AT THE FEDERAL, STATE AND LOCAL LEVELS.	25,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
AMERICANS FOR THE ARTS ACTION FUND	1000 VERMONT AVENUE 6TH FLOOR WASHINGTON, DC 20005	2019-12-03	38,000	TO EDUCATE CITIZENS ON ARTS-FRIENDLY PUBLIC POLICIES AT THE FEDERAL, STATE AND LOCAL LEVELS.	38,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/2020 & 2/28/2021		
BRAVE NEW FILMS ACTION FUND	10510 CULVER BOULEVARD CULVER CITY, CA 90232	2020-05-22	50,000	TO CREATE AND DISTRIBUTE ENGAGING MEDIA TO EDUCATE AND MOTIVATE CITIZENS, LEADING TO PRODUCTIVE CIVIC PARTICIPATION.	29,844	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
CONSERVATION COLORADO	1536 WYNKOOP STREET SUITE 510 DENVER, CO 80202	2020-09-23	50,000	TO PROTECT COLORADO'S CLIMATE, AIR, LAND, WATER, AND COMMUNITIES THROUGH ORGANIZING AND ADVOCACY.	28,477	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
CULTURAL ENGAGEMENT LAB	1330 BROADWAY SUITE 300 OAKLAND, CA 94612	2020-11-09	100,000	TO ORGANIZE A STRONG NETWORK OF ARTISTS AND CULTURE MAKERS FROM IMPACTED COMMUNITIES WHO CAN USE ART AND CULTURE AS AN ENGINE FOR CIVIC ENGAGEMENT.	0	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
GAMALIEL FAITH & DEMOCRACY CAMPAIGN	5401 S CORNELL AVENUE SUITE 301 CHICAGO, IL 60615	2020-05-22	50,000	TO BUILD STRUCTURAL POWER THROUGH COMMUNITY EDUCATION TO TRANSFORM THE SYSTEMS THAT PERPETUATE INEQUITY AND INJUSTICE.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
GEORGIA INVESTOR ACTION FUND	PO BOX 170515 ATLANTA, GA 30317	2020-12-03	750,000	TO BUILD POWER IN HISTORICALLY UNDERREPRESENTED COMMUNITIES THROUGH CIVIC ENGAGEMENT AND COMMUNITY ORGANIZING.	750,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
HIP HOP CAUCUS ACTION FUND	20 F ST NW 7TH FLOOR WASHINGTON, DC 20001	2020-05-22	50,000	TO ENERGIZE THE HIP HOP COMMUNITY AS A WAY TO BUILD CLIMATE MOVEMENT POWER AND PROMOTE CIVIC ENGAGEMENT.	29,477	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
HIP HOP CAUCUS ACTION FUND	20 F ST NW 7TH FLOOR WASHINGTON, DC 20001	2020-09-09	50,000	TO ENERGIZE THE HIP HOP COMMUNITY AS A WAY TO BUILD CLIMATE MOVEMENT POWER AND PROMOTE CIVIC ENGAGEMENT.	29,477	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
JOLT ACTION	PO BOX 4185 AUSTIN, TX 78765	2020-09-26	50,000	TO BUILD LONG-TERM LEADERSHIP OF LATINX YOUTH, GIVING THEM THE ABILITY TO SHAPE THE CONVERSATION ON CLIMATE JUSTICE.	16,667	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
JOLT ACTION	PO BOX 4185 AUSTIN, TX 78765	2019-07-19	50,000	TO BUILD LONG-TERM LEADERSHIP OF LATINX YOUTH, GIVING THEM THE ABILITY TO SHAPE THE CONVERSATION ON CLIMATE JUSTICE.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/27/2020 & 2/28/21		
LEAGUE OF CONSERVATION VOTERS	740 15TH ST NW 7TH FLOOR WASHINGTON, DC 20005	2020-10-19	250,000	TO BUILD POWER THROUGH EDUCATION THAT WILL CREATE A WORLD WITH CLEAN AIR, CLEAN WATER, PUBLIC LANDS, AND A SAFE CLIMATE THAT ARE PROTECTED BY A JUST AND EQUITABLE DEMOCRACY.	105,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
MAKE THE ROAD ACTION FUND	449 TROUTMAN STREET SUITE C BROOKLYN, NY 11237	2020-11-06	50,000	TO BUILD POWER THROUGH EDUCATION FOR JUSTICE IN LATINX AND IMMIGRANT COMMUNITIES AND WORKING CLASS COMMUNITIES OF COLOR.	13,636	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
MICHIGAN CIVIC ACTION FUND	28342 DARTMOUTH STREET MADISON HEIGHTS, MI 48071	2020-09-09	100,000	TO IMPROVE ALIGNMENT ACROSS NATIONAL, STATE, AND LOCAL PARTNERS TO FOCUS ON TOP PRIORITIES FOR ELIMINATING DISPARITIES IN CIVIC PARTICIPATION.	100,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
MINNESOTA YOUTH COLLECTIVE	2161 UNIVERSITY AVE WEST SUITE 100 ST PAUL, MN 55114	2020-05-22	50,000	TO ENGAGE YOUNG PEOPLE IN CIVIC ENGAGEMENT AND LEADERSHIP DEVELOPMENT.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
NEW FLORIDA MAJORITY (NAME CHANGED TO FLORIDA RISING AS OF JANUARY 2021)	10800 BISCAYNE BLVD SUITE 1050 MIAMI, FL 33161	2020-09-17	100,000	EDUCATE TO BUILD POWER AND INCREASE THE CIVIC ENGAGEMENT OF MARGINALIZED AND EXCLUDED CONSTITUENCIES TOWARD AN INCLUSIVE, EQUITABLE, AND JUST FLORIDA.	100,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21 & 4/16/21		
ORGANIZE PENNSYLVANIA	1414 BRIGHTON RD PITTSBURGH, PA 15212	2020-10-05	50,000	TO AMPLIFY VOICES AND PRIORITIZE LEADERSHIP DEVELOPMENT IN COMMUNITIES THAT ARE UNDERPAID AND UNDERSERVED IN THE CURRENT ECONOMY, SPECIFICALLY THE ONE PA AMBASSADOR PROGRAM.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
PODER	PO BOX 23406 / 4415 N MARYVALE PKWY PHOENIX, AZ 85063	2020-09-09	50,000	TO TRANSFORM POLICING AND IMMIGRANT DETENTION THROUGH EDUCATING ARIZONA COMMUNITIES OF COLOR IN CIVIC ENGAGEMENT STRATEGIES THAT BUILD POWER.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
PROGRESSIVE MULTIPLIER ACTION FUND	714 G ST SE STE 200 WASHINGTON, DC 20003	2020-07-09	75,000	TO SUPPORT CHARITABLE ORGANIZATIONS IN ENGAGING IN EFFECTIVE COMMUNITY OUTREACH AND REVENUE GENERATION.	75,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	8/31/21		
PROTECT OUR WINTERS ACTION FUND	4676 BROADWAY STREET BOULDER, CO 80304	2019-12-03	50,000	TO SUPPORT EDUCATIONAL EFFORTS TO MAKE ACTION ON CLIMATE CHANGE A TOP POLICY PRIORITY FOR THE OUTDOOR SPORTS COMMUNITY.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/2020 & 2/28/2021		
SIXTEEN THIRTY FUND	1201 CONNECTICUT AVE NW SUITE 300 WASHINGTON, DC 20036	2020-10-07	269,431	SUPPORT EDUCATIONAL COMPONENTS OF THE CLIMATE EQUITY ACTION FUND, WHICH ADVOCATES FOR CLIMATE AND CLEAN ENERGY POLICIES.	269,431	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21 & 4/30/21		
SIXTEEN THIRTY FUND	1201 CONNECTICUT AVE NW SUITE 300 WASHINGTON, DC 20036	2020-09-26	100,000	SUPPORT EDUCATIONAL COMPONENTS OF THE CLIMATE EQUITY ACTION FUND, WHICH ADVOCATES FOR CLIMATE AND CLEAN ENERGY POLICIES.	100,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21 & 4/30/21		
SIXTEEN THIRTY FUND	1201 CONNECTICUT AVE NW SUITE 300 WASHINGTON, DC 20036	2020-05-22	125,000	SUPPORT EDUCATIONAL COMPONENTS OF THE CLIMATE EQUITY ACTION FUND, WHICH ADVOCATES FOR CLIMATE AND CLEAN ENERGY POLICIES.	125,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21 & 4/30/21		
THE NORTH FUND	1101 CONNECTICUT AVENUE NW SUITE 450 WASHINGTON, DC 20036	2020-09-17	100,000	TO SUPPORT DEMOCRACY DOCKET ACTION FUND IN FIGHTING SUPPRESSIVE VOTING LAWS AND PRACTICES IN COURT WITH A PARTICULAR FOCUS ON THOSE LAWS AND PRACTICES THAT WILL HAVE THE GREATEST IMPACT ON MINORITY AND YOUNG VOTERS.	100,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
THE VOTER PROJECT	1229 CHESTNUT STREET PMB 177 PHILADELPHIA, PA 19107	2020-09-18	100,000	TO ENSURE THAT EACH PENNSYLVANIA VOTER IS ABLE TO CAST A BALLOT IN A SAFE, SECURE, CONVENIENT WAY.	100,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
TIDES ADVOCACY	1600 E GRAND BLVD SUITE 300G DETROIT, MI 48211	2020-10-08	50,000	EDUCATIONAL PROJECT FOR DETROIT ACTION IN CHALLENGING THE ROOT CAUSE OF POVERTY, ADVANCING JUSTICE, AND PROMOTING HUMAN DEVELOPMENT THROUGH NEIGHBORHOOD-DRIVEN CIVIC ENGAGEMENT.	50,000	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/21		
TIDES ADVOCACY	PO BOX 29229 SAN FRANCISCO, CA 94129	2019-12-03	100,000	TO SUPPORT EDUCATIONAL ACTIVITIES OF THE FLORIDA RIGHTS RESTORATION COALITION, DEDICATED TO ENDING THE DISENFRANCHISEMENT AND DISCRIMINATION AGAINST PEOPLE WITH CONVICTIONS.	77,045	TO OUR KNOWLEDGE, THE GRANTEE HAS NOT DIVERTED ANY PORTION OF THE FUNDS.	2/28/2020 & 2/28/21		

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Identifier	Return Reference	Explanation
INFORMATION REGARDING CONTRIBUTIONS, GRANT, GIFT, LOAN, SCHOLARSHIP, ETC.	990-PF, PART XV, LINE 2	THE DAVID ROCKEFELLER FUND CURRENTLY HAS THREE PRIMARY PROGRAM AREAS: ARTS, CRIMINAL JUSTICE, AND ENVIRONMENT.THE ARTS PROGRAM FOCUSES ON CULTIVATING, SHOWCASING AND DISSEMINATING THE STORIES OF INNOVATIVE ART FOR SOCIAL CHANGE; CRIMINAL JUSTICE SUPPORTS BOLD NEW IDEAS AND POLICY INITIATIVES FOR TRANSFORMING U.S. DETENTION AND INCARCERATION POLICY; AND ENVIRONMENT SUPPORTS NEW IDEAS, INITIATIVES AND POLICY BREAKTHROUGHS IN SUPPORT OF BIPARTISAN U.S. CLIMATE LEADERSHIP.IN ADDITION TO THE PROGRAM AREAS OUTLINED ABOVE, THE FUND SUPPORTED A NUMBER OF CHARITABLE INITIATIVES DESIGNED TO ENCOURAGE TRUSTEES' INDIVIDUAL CHARITABLE GIVING.

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Name of Bond	End of Year Book Value	End of Year Fair Market Value
AIR PRODUCTS & CHEMICALS 3.00% DUE 11/03/2021	64,431	64,431
AMAZON.COM INC 0.80% DUE 06/03/2025 CALLABLE @ 100 05/03/25	26,381	26,381
AMERICAN EXPRESS 4.05% DUE 12/03/2042	38,247	38,247
ASCENSION HEALTH 2.532% DUE 11/15/2029	54,780	54,780
BANK OF AMERICA CORP 3.499% DUE 05/17/2022 CALL @ 100 05/17/2021	97,138	97,138
BANK OF AMERICA CORPORATION 3.335% DUE 01/25/2023 CALL @ 100 01/25/2022	74,339	74,339
CISCO SYSTEMS INC 3.00% DUE 06/15/2022	65,519	65,519
COMCAST CORP 3.90% DUE 03/01/2038 CALL @ 100 09/01/2037	79,549	79,549
CONSERVATION FUND 3.474% DUE 12/15/2029	108,253	108,253
CVS HEALTH CORP 2.75% DUE 12/01/2022 CALL @ 100 09/01/2022	85,244	85,244
CVS HEALTH CORP 3.25% DUE 08/15/2029 CALL @ 100 05/15/2029	31,535	31,535
CVS HEALTH CORP 4.30% DUE 03/25/2028 CALL @ 100 12/25/2027	38,079	38,079
ECOLAB INC 3.25% DUE 01/14/2023 CALL @ 100 11/14/2022	67,354	67,354
FANNIE MAE FN BM3973 3.00% DUE 04/01/2032	38,340	38,340
FANNIE MAE FN BM4676 4.00% DUE 10/01/2048	77,051	77,051
FANNIE MAE FN BO8903 3.00% DUE 01/01/2050	77,021	77,021
FANNIE MAE FN BQ2350 2.00% DUE 09/01/2050	67,093	67,093
FANNIE MAE FN CA3845 4.50% DUE 07/01/2049	51,730	51,730
FANNIE MAE FN CA7588 1.50% DUE 11/01/2050	50,546	50,546
FANNIE MAE FN FM2612 3.50% DUE 05/01/2049	37,053	37,053
FANNIE MAE FN FM4933 2.00% DUE 12/01/2035	26,075	26,075
FANNIE MAE FN MA3902 2.50% DUE 01/01/2050	22,634	22,634
FREDDIE MAC FN ZS7888 2.50% DUE 10/01/2032	30,377	30,377
FREDDIE MAC FR RA2970 3.00% DUE 07/01/2050	65,934	65,934
GM FINANCIAL SECURITIZED TERM GMCAR 2019-3 A3 2.18% DUE 04/16/2024	30,485	30,485
GOLDMAN SACHS GROUP INC 4.223% DUE 05/01/2029 CALL @ 100 05/01/2028	33,218	33,218
HAROT 2020-2 A2 0.74% DUE 11/15/2022	31,362	31,362
HOME DEPOT INC 3.25% DUE 03/01/2022	64,125	64,125
HOME DEPOT INC 5.875% DUE 12/16/2036	69,743	69,743
JPMORGAN CHASE & CO 4.493% DUE 03/24/2031 CALL @ 100 03/24/2030	86,109	86,109
KFW 2.00% DUE 09/29/2022	98,004	98,004
KROGER CO 2.80% DUE 08/01/2022 CALL @ 100 07/01/2022	74,588	74,588
MICROSOFT CORP 2.375% DUE 02/12/2022 CALL @100 01/12/2022	81,787	81,787
NAROT 2020-B A2A .47% DUE 10/17/2022	63,854	63,854
NVR INC CORP 3.95% DUE 09/15/2022	114,653	114,653
PNC FINANCIAL SERVICES 2.20% DUE 11/01/2024 CALL @ 100 10/02/2024	69,081	69,081
PRAXAIR, INC. 2.45% DUE 02/15/2022 CALL @ 100 11/15/2021	89,634	89,634
SIMON PROPERTY GROUP LP 2.625% DUE 06/15/2022 CALL @ 100 3/15/2022	67,730	67,730
SIMON PROPERTY GROUP LP 3.375% DUE 06/15/2027 CALL @ 100 03/15/2027	39,985	39,985
SOUTHERN POWER CO 2.50% DUE 12/15/2021 CALL @ 100 11/15/2021	65,186	65,186
TRUIST FINANCIAL CORPORATION 3.75% DUE 12/06/2023 CALL @ 100 11/06/2023	76,899	76,899
VANGUARD MORTGAGE BACKED SECURITIES ETF	52,826	52,826
VERIZON COMMUNICATIONS 5.15% DUE 09/15/2023	66,484	66,484
VISA INC 2.15% DUE 09/15/2022 CALL @ 100 08/15/2022	68,049	68,049
WALT DISNEY COMPANY 2.45% DUE 03/04/2022	67,710	67,710

**** 2020 2021 data in the Network ****

Data Source: Network Solutions Data Accessed from the Network Solutions Database on 10-Jan-2021

Name of Awards	Dollar Value Awarded	Total Value Awarded
ABC, INC.	$1,000	$1,000
ACCESS SYSTEMS AMERICAS, INC.	$1,000	$1,000
ACTIVE AIR, LLC	$1,000	$1,000
ADVANCED TECHNOLOGY INTERNATIONAL	$1,000	$1,000
AEROSPACE CORPORATION	$1,000	$1,000
AIRBUS S.A.S.	$1,000	$1,000
AIRBUS SAS	$1,000	$1,000
AIRCRAFT SERVICE INTERNATIONAL, INC.	$1,000	$1,000
ALAKAI TECHNOLOGIES CORPORATION	$1,000	$1,000
ALAKAI TECHNOLOGIES, INC.	$1,000	$1,000
ALAUDA AERONAUTICS, INC.	$1,000	$1,000
ALLIANCE TECHNOLOGIES, INC.	$1,000	$1,000
ALLIED AEROSPACE INDUSTRIES, INC.	$1,000	$1,000
ALLIED AEROSPACE INDUSTRIES, INC.	$1,000	$1,000
ALLIED PILOT TRAINING	$1,000	$1,000
ALPHA AVIATION GROUP, INC.	$1,000	$1,000
AMAZON.COM SERVICES LLC	$1,000	$1,000
AMERICAN AIRLINES, INC.

TY 2020 IRS 990 e-File Render

Name:	THE DAVID ROCKEFELLER FUND INC
EIN:	13-3533359
US Government Securities - End of Year Book Value:	6,966,527
US Government Securities - End of Year Fair Market Value:	6,966,527
State & Local Government Securities - End of Year Book Value:	0
State & Local Government Securities - End of Year Fair Market Value:	0

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
ALEXANDRIA REAL ESTATE EQUITIES, INC.	FMV	1,960	1,960
AMERICAN TOWER CORPORATION	FMV	46,014	46,014
AVALONBAY COMMUNITIES, INC.	FMV	9,786	9,786
CROWN CASTLE INTERNATIONAL CORP.	FMV	12,098	12,098
DIGITAL REALTY TRUST, INC.	FMV	13,672	13,672
DUKE REALTY CORPORATION	FMV	5,236	5,236
EQUINIX, INC.	FMV	23,568	23,568
FEDERAL REALTY INVESTMENT TR.	FMV	9,108	9,108
GAMING AND LEISURE PROPERTIES, INC.	FMV	11,661	11,661
HEALTHPEAK PROPERTIES INC	FMV	18,440	18,440
HOST HOTELS & RESORTS INC.	FMV	9,597	9,597
IRON MOUNTAIN INC.	FMV	7,930	7,930
JBG SMITH PROPERTIES	FMV	18,856	18,856
MEDICAL PROPERTIES TRUST INC.	FMV	14,469	14,469
PROLOGIS INC.	FMV	37,472	37,472
REGENCY CENTERS CORPORATION	FMV	4,331	4,331
RETAIL PROPERTIES OF AMERICA, INC. - A	FMV	10,991	10,991
SBA COMMUNICATIONS CORPORATION	FMV	10,439	10,439
SIMON PROPERTY GROUP, INC.	FMV	10,234	10,234
STORE CAPITAL CORP	FMV	11,145	11,145
VENTAS, INC.	FMV	17,409	17,409
WELLTOWER INC.	FMV	14,023	14,023
CRA QUALIFIED INVESTMENT FUND	FMV	6,644,409	6,644,409
PARNASSUS FUND INSTITUTIONAL SHARES	FMV	6,100,841	6,100,841
PAX GLOBAL ENVIRONMENTAL MARKETS FUND	FMV	6,120,228	6,120,228
NEW ENERGY CAPITAL INFRASTRUCTURE	FMV	264,456	264,456
ROCKEFELLER ALTERNATIVE STRATEGIES FUND	FMV	8,709	8,709
ROCKEFELLER ACCESS FUND 06-1	FMV	243,457	243,457
ROCKEFELLER LIBRA FOSSIL FUEL FREE L.P.	FMV	15,547,120	15,547,120

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
OFFICE EQUIPMENT	9,905	6,635	3,270	3,270
COMPUTER EQUIPMENT & SOFTWARE	19,205	5,669	13,536	13,536

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PATTERSON BELKNAP WEBB & TYLER, LLP	10,531	5,929		13,406
OTHER LEGAL FEES	750	0		750

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
ACCRUED INVESTMENT RECEIVABLE		67,159	67,159

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Description	Amount
DEFERRED FEDERAL EXCISE TAX EXPENSE	71,104

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TELEPHONE & INTERNET	3,092	149		2,973
INSURANCE	14,217	688		14,217
GEN. OFFICE EXP: DUES & MEMBERSHIPS	21,560	39		21,560
GEN. OFFICE EXP: MAINTENANCE & REPAIRS	14,662	708		11,675
OFFICE & COMPUTER EQUIPMENT	1,346	65		1,346
GENERAL OFFICE EXP: OTHER	16,076	656		15,356
PORTFOLIO DEDUCTIONS THROUGH PARTNERSHIPS	152,353	154,070		0
APERIO ADR FEES	37,649	37,649		0
GEN. OFFICE EXP: PAYROLL FEES	8,705	420		8,705
PRINTING & STATIONERY	20,830	1,006		20,851
FILING FEE	1,500	0		1,500

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
ROCKEFELLER ACCESS FUND 06-I, LLC STRATEGIES FUND, LP		278	
ROCKEFELLER LIBRA FOSSIL FUEL FREE FUND LP		-31,526	
LIBRA FOSSIL FUEL FREE FUND, LP	-25,042		-25,042
ROCKEFELLER ACCESS FUND 06-I, LLC	-130		-130
ROCKEFELLER ALTERNATIVE STRATEGIES FUND, LP	1,175		1,175

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Description	Amount
UNREALIZED APPRECIATION ON INVESTMENTS	7,556,704

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
PROGRAM CONSULTANTS	145,288	0		145,368
INVESTMENT ADVISORY COMMITTEE STIPENDS	5,000	5,000		0
INVESTMENT MANAGEMENT FEES	218,479	218,479		0
CONSULTANTS' FEES - BENEFIT RESOURCES	3,409	0		1,757
INFORMATION & TECHNOLOGY SERVICES	12,002	0		11,788
CUSTODY FEES	56,085	56,085		0

TY 2020 IRS 990 e-File Render

Name: THE DAVID ROCKEFELLER FUND INC

EIN: 13-3533359

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX	19,583	0		0
FOREIGN TAXES THROUGH K-1S	0	25,500		0