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Toward the Year 2000

The beginning of the new decade, 1980, was a year in which the RBF marked its fortieth anniversary, a year in which David Rockefeller, the fourth of the Rockefeller brothers to hold the position, became chairman of the Fund, and a year in which the Fund completed both the program redefinition and the staff reductions required by a diminished endowment, the result of the gifts from capital described in the Rockefeller Brothers Fund Annual Report for 1978.

1980 also marked the publication of a volume of special interest to the RBF, *The Global 2000 Report to the President: Entering the Twenty-First Century*. This report to the President of the United States was prepared by the Council on Environmental Quality and the Department of State in response to the President's charge to study the "Probable changes in the world's population, natural resources, and environment through the end of the century." *The Global 2000 Report* is of special interest to the RBF both because the report speaks to a number of issues that have been of concern to the Fund for at least the last twenty years, and because the director of the project, Gerald O. Barney, is a former RBF program associate.

The Report looks at the long-term implications of present world trends in population, natural resources, and the environment. It is a projection of current trends, not a prediction of what will happen by the year 2000, and explicit in the report is the hope that "a keener awareness of the nature of the current trends . . . may induce changes that will alter these trends and the projected outcome." In other words, if current trends, projected out to the year 2000, produce undesirable results, then the policies that are responsible for those trends need to be changed.

Much of what the RBF has been doing is confirmed by *The Global 2000 Report*. Through many of its grants, the Fund has tried to encourage the global perspective and the understanding of the interrelatedness of problems that characterize the Report. Specific program interests of the Fund in such areas as farming and food production, eco-development, and international relations have also been addressing needs identified in the Report and helping to build a base of examples and experience that can be used in making the changes in policies necessary to ensure that the projections of the Report do not become predictions.

The substantive conclusions of the report can be briefly summarized.

- If current trends continue, world population will grow by 55 percent from 1975 to 2000, from 4.1 billion to 6.35 billion, while world income, as measured by gross national product, will increase 145 percent. This would mean a per-capita GNP increase of 35 percent, but that increase would not be divided equally between the inhabitants of the less developed countries (LDCs) and the industrialized countries: for every \$1 of increase in per-capita GNP in the less developed countries, there would be a \$20 increase in the industrialized countries.
- Again, if present trends and policies continue, the resources that would be available to this increased population would include an increased food production of 90 percent from 1970 to 2000, but that 90 percent increase would produce a per-capita increase of only 15 percent, with most of the per-capita increase in the industrialized countries. The real cost of food would increase 95 percent over 1970. In some LDC's, per-capita food consumption would decline, and the number of malnourished people would increase dramatically. Forests would decline by 40 percent in the LDC's, where many people depend on wood for fuel; the per-capita decrease in those LDC's would be 60 percent. The demand for water would increase between 200 and 300 percent from 1970 to 2000, while the demand for energy would increase by 58 percent by 1990. (Information about energy supplies and use was in such disarray that the Department of Energy was not able to project beyond 1990 while *The Global 2000 Report* was being prepared.) Only for non-fuel minerals is the projected increase in demand not pushing toward apparent limits, and even in this area there would be continued need for both heavy capital investment and increasing amounts of energy and water.
- The environmental consequences of these trends would be serious: an accelerating deterioration and loss of resources necessary to agriculture, with a 20 percent increase in desert areas; increasing pollution, salinization, and siltation of water resources; extensive cutting of forests with undesirable results on both water resources and the atmosphere; increases in atmospheric pollution, in acid rain, and in the CO₂ level of the atmosphere, with further potential impact on human health, agriculture, and fisheries; increasing amounts of waste products from nuclear energy production, with no satisfactory methods as yet developed for dealing with them; and the extinction of between 15 and 20 percent of the species now living, with a consequent decline in the gene pool available as a base for future agricultural, medical, and industrial development.

While the work of The Global 2000 Study in pointing to these trends in population, natural resources, and the environment has received the greatest attention, and has been the subject of both misinterpretation and criticism, the other part of the study group's task, "to assess the Government's foundation for long-range planning," reveals some equally disturbing problems. The study's method was to use, "to the fullest extent possible, the long-term global data and models routinely employed by the Federal agencies," and in employing this method the study was "the first U.S. Government effort to look at all three issues from a long-term global perspective that recognizes their interrelationships and attempt to make connections among them."

In bringing together, for the first time, the people in various government agencies responsible for long-range projections and planning, the Study found serious inconsistencies, gaps, and contradictions in the methods and assumptions employed by these agencies in making their projections, and it proved impossible to link the various projections completely. So, for example, the food projections assumed that the catch from traditional fisheries would increase as fast as world population, while the fisheries projections indicated that this catch would not increase significantly over present levels. Because these two projections could not be linked, the food projection probably overestimates the contribution of fisheries to the human food supply in the year 2000. And most of the individual projections (such as food or non-fuel minerals) assumed that the resource needs of the sector dealt with in that particular projection would be met—for example, the projection for food assumed that all the capital, energy, water, land, and minerals necessary for the continued development of that sector would be available. It was not possible, therefore, for the report to assess the potential effects of possible competition for limited resources.

It seems clear, then, that *The Global 2000 Report*, both because it projects on the basis of the continuation of current policies and of the trends that they produce, and because it could not make dynamic, interactive connections among the projections of the various agencies, does not have answers to the problems we will face over the next two decades. But the Report does serve to identify and bring into clear focus major critical issues to which attention must be paid, not the least of which is the need to improve our capacity to make projections (1) that take into account the interrelatedness of things, our capacity to build models that can help people look at the whole, not just at parts, and (2) that are dynamic so that they change over time.

The projects described below provide some specific examples of RBF grants which indicate the Fund's history of concern for the issues dealt with in *The Global 2000 Report*. While several of these projects have

received RBF's support for a number of years—one since 1967—others represent initiatives taken in 1980 as the Fund has continued to work to identify needs and, when appropriate, to help establish new institutions to meet those needs. RBF grants to two organizations illustrate the Fund's support for efforts to broaden the kind of understanding of the interrelatedness of issues, on a global scale, that is at the heart of *The Global 2000 Report*.

- The International Federation of Institutes for Advanced Study (IFIAS) was founded in 1972 to develop new modes of international and multidisciplinary analysis of crucial global issues. It now consists of a worldwide network of 26 member institutes and laboratories, including El Colegio de Mexico, the Delft Hydraulics Laboratory, the Neils Bohr Institute, the Tata Institute for Fundamental Research (Bombay, India), and the Woods Hole Oceanographic Institution, and 30 special advisers. Concentrating on the issues of the sustainable carrying capacity of the earth and the potential for scientific and technological solutions to global problems, IFIAS conducts projects within six program themes: (1) Land and Water Resources for Sustainable Biomass Production; (2) Impact of Climate Change on the Character and Quality of Human Life; (3) Transition to a Manageable Energy Equilibrium Society; (4) Self-Reliant Development; (5) Science, Technology and Society; and (6) Scanning Our Changing Planet. RBF support for IFIAS has included a grant in 1975 for the "Man and Drought" project, and grants for general operating support for the years 1978 through 1983.

- Worldwatch Institute was founded in 1974 with support from the RBF and the Kettering Foundation to serve as a kind of early warning system that would encourage, as a prospectus put it, "a new mode of global problem solving," and it has received RBF support ever since. Conceived of as an alternative to the traditional research institute—less costly, lighter on its feet, quicker to spot issues of urgent concern—and as an attempt to combine in one organization both a respected analytical capacity and an effective communications capacity, Worldwatch produces research papers that are intended for intellectual, political, and business leaders as well as reporters, columnists, and editorial writers around the world. These papers, dealing with issues that threaten to affect, either directly or indirectly, "the wellbeing of a sizeable segment of humanity" before these issues reach a crisis stage, outline the problems and suggest solutions. By the end of 1980, Worldwatch had produced 42 papers, published six books, and had four additional books in process, and Worldwatch publications had been translated into 23 different languages. The first Worldwatch Paper, *The Other Energy Crisis: Firewood*, is widely credited with identifying the important part

firewood plays in meeting the energy needs of a large part of the world and touched off reassessments of policy at the World Bank, the Agency for International Development, and in a number of third world countries. Worldwatch has received more orders for one of the eight papers published in 1980, *Food or Fuel: New Competition for the World's Cropland*, than for any Worldwatch paper to date, and it has been translated into Japanese, Portuguese, and Spanish. By the end of 1980, more than 1.5 million copies of Worldwatch papers were in print.

Three organizations which have received support under the RBF's national program illustrate the Fund's interest in preserving and increasing the nation's capacity for food production in the face of a rapidly growing world population.

- In 1980, the RBF made a grant to The Conservation Foundation to plan and launch a new national organization—The American Farmland Trust—in an effort to anticipate and address the problem of the loss of American farmland before it becomes a crisis. Such land is currently being lost at the rate of 3 million acres each year, 1 million of which are “prime” farmland, the flat, fertile, well-drained land that is the most productive and the most economical to cultivate. Since much of this land is near expanding urban areas and is easy to build on, the very qualities that make it most valuable for agriculture also make it the most tempting to builders and developers. Such farmland, once submerged for a reservoir, paved over, or built upon, cannot be recovered. We depend on the productivity of this land not only to feed ourselves, but also for the exports which help feed the rest of the world and which are important to our balance of payments. The American Farmland Trust is already working closely with local and state organizations to demonstrate successful preservation techniques through open-market intervention, to provide information and clearinghouse services, and to develop strategies for land policy and policy reform.
- While the American Farmland Trust addresses the loss of farmland on a national scale, two other RBF grantees are working to preserve farmland by improving the economics of farming in the Northeast, an area with an abundance of potentially productive farmland but which currently imports from other regions over 80 percent of the food now consumed. The farmland of the Northeast, which is extensively divided into small holdings, was once highly productive and is especially suitable for raising sheep. The New England Regional Commission Sheep Project, started in 1980 with private support from the RBF and Control Data Corporation and with governmental funding provided through the Commission, is a three-year

demonstration project providing “hands-on” assistance in modern sheep management, production, and marketing practices to farmers in the Connecticut River Valley area of New Hampshire and Vermont, and is also developing a regional plan for the vertical integration of sheep production in New England—sheep and forage production, transportation, slaughtering facilities, wool processing, product design, and marketing. Also in 1980 the RBF began support of the Livestock Guarding Dog Project of the New England Farm Center at Hampshire College, a project to explore the suitability of using guard dog breeds—developed in other countries to protect sheep—for controlling predators. This project involves both research on the genetics of successful guard dog behavior and the use of guard dogs in the field by more than 100 cooperators, in more than 20 states, who provide the project with information on the dogs’ behavior and effectiveness.

Under the eco-development category of the international program, the Fund is specifically interested in fostering, in several islands of the Eastern Caribbean, economic development that is appropriate to the ecology of the area. One grantee serves as a good example of ways in which the Fund has been dealing with the concerns about and the interrelationships among food, energy, economic development, and the environment that are central to *The Global 2000 Report*.

- Established in 1976 and an RBF grantee since 1978, the Foundation for P.R.I.D.E., Inc. (*Protection of Reefs and Islands from Degradation and Exploitation*) conducts applied research and educational programs aimed at conserving island habitats and the diversity of life they support, and develops management techniques that might produce harmony between the islands’ people and natural resources. P.R.I.D.E. began its work at a field headquarters at Pine Cay, Turks and Caicos Islands, with a program of research on the conservation and possible mariculture of the queen conch, and with a program of education on natural resource responsibilities.

The conch mariculture program is of special significance because conch, with a white meat similar to the Pacific abalone, is a popular, high-protein food in the Caribbean, a major export of some of the island countries, and is being rapidly depleted through overfishing. P.R.I.D.E.’s research is aimed at developing techniques for the culture of conch that are suitable to the resources and levels of technological sophistication available on the islands. P.R.I.D.E.’s education effort centers on an annual one-week course on marine biology, ecology, and conservation held for seniors from the two Turks and Caicos Islands high schools which has had remarkable results in spreading P.R.I.D.E.’s message to the people of the islands

and also in inspiring a number of students to pursue further educational opportunities. P.R.I.D.E. has also conducted a natural resource course for island decisionmakers. More recently, P.R.I.D.E. has developed a program on alternative energy resources appropriate to the islands, based on harnessing the trade winds through the use of wind-powered electric generators. P.R.I.D.E.'s own field headquarters and salt-water research laboratory are powered by wind generators, and P.R.I.D.E. is also involved in the operation of a demonstration wind- and solar-energy-powered farm and vocational training project in Antigua.

Increased international understanding and cooperation, preconditions for any global understanding or problem-solving, have long been concerns of the RBF, as grants to the following two institutions indicate.

- Formed in 1973 and the recipient of RBF support from its beginning, the Trilateral Commission brings together leading citizens in Western Europe, Japan, and North America to work together in the discussion and resolution of common problems. In its 11 plenary conferences and more than 20 completed task-force reports, the members of the Commission have addressed such issues as the world monetary system, North-South relations, alternative energy strategies, labor and management in industrialized societies, and cooperation with communist countries on global problems. Each task force report is produced by three authors—one from each of the trilateral regions—after extensive consultation with experts from all over the world, and is presented in draft form to the members of the Commission at a plenary conference before undergoing revision for final publication. These reports have received considerable attention in the press, and some of the ideas from these reports and some of the recommendations that have grown out of them have been adopted by international organizations and by governments within the trilateral regions. In addition, through the processes of the Commission a cross-section of outstanding leaders in North America, Europe, and Japan have come to know one another on a personal basis and have exchanged views and insights on major problems facing the world, a process that itself is essential to developing a harmonious climate for global problem-solving.
- Since 1967, the RBF has supported the work of the National Committee on United States-China Relations, a private educational organization whose membership includes prominent businessmen, civic leaders, and academic specialists. In its early years, under the leadership of the principal China experts from U.S. universities, the Committee organized an intensive educational effort to increase knowledge and understanding of mainland China in the United

States—the first such effort in this country since the 1940s. Carefully bipartisan, the Committee from the start has included people with a variety of political points of view and has avoided taking policy positions. Since the beginning of governmental contacts between the United States and the People's Republic of China in 1972, the Committee has concentrated on exchanges of people in the fields of civic and world affairs, culture, education, and sports between the two countries. More than 60 of these exchanges, which began with the Committee's serving as co-host for the visiting Chinese table-tennis team in 1972, have now been completed. In 1980, the Committee also began a Scholar Orientation Program which acquaints Chinese scholars working at American universities with the history and development of American government and society. These students, who for financial reasons are usually unable to travel outside of their campus communities, are exposed to institutions, places, and people they would not otherwise encounter. Through the Committee's efforts, a growing number of Chinese and Americans have had first-hand experience with one another, and a network of leaders and potential leaders of both countries is being established.

Under the leadership of a new chairman, and with the next generation of the Rockefeller family taking a growing role on the board of trustees, the Rockefeller Brothers Fund embarks on the coming two decades continuing its commitment to identify and help suggest solutions for the kinds of problems to which attention must be paid if the lot of humankind is to be improved in the year 2000 and beyond.

The Rockefeller Brothers Fund and Its Program

The RBF was founded in 1940 as a vehicle through which the five sons and daughter of John D. Rockefeller, Jr., could share a source of advice and research on charitable activities and combine some of their philanthropies to better effect. John D. Rockefeller, Jr., made a substantial gift to the Fund in 1951, and in 1960 the Fund received a major bequest from his estate. Together, these constitute the basic endowment of the Fund.

In the last four years, the Fund has made several gifts from capital (see the RBF Annual Report for 1978), which have so far reduced the principal endowment by over \$58 million. The assets of the RBF at the end of 1980 were \$177,087,767 and its 199 payments during the year amounted to \$22,894,957, including approximately \$15 million in gifts from principal. Since 1940, the RBF has disbursed a total of \$262,944,285 in grants.

The Fund makes grants in three program areas—national, New York City, and international—under policy guidelines established by the board of trustees. In late 1979, the Fund made substantial changes in the focus of its international program, and in 1980 in the focus of its New York City program. Modifications of the national program were made in 1978 and described in the Fund's report for that year.

The National Program

Total expenditures in 1980: \$13,302,950 (75 payments)

Domestic Development Finance. Emphasis: support of efforts to focus public and private investment on critical national needs. Special attention is given to forums, research, and other public information activities designed to insure broad public debate, and to private sector implementation of public policy objectives in this field.

American Farmland Preservation. Emphasis: efforts to reduce the loss of prime agricultural land and to preserve this vital national resource. The Fund will support projects that inform and educate both the general public and decision-makers in the public and private sectors on governmental and economic issues that promote farming opportunity and the retention of land for agricultural use.

Employment Policy and Job Development. Emphasis: the strengthening of private-sector remedies to unemployment through private-sector monitoring of government-agency economic development and employment programs, local economic development interns, and stimulation of greater use of the public job-training funds in the growth areas of the economy.

The Wellbeing of the Private, Nonprofit Sector. Emphasis: projects that affirm for the public, government officials, and corporate leaders the unique, dynamic, and constructive qualities that the nonprofit sector brings to society. The Fund is especially interested in ways to encourage increased personal and corporate giving in the United States, to work with corporations on projects that are in the public interest, and to help business leaders extend their role in the solution of social and economic problems.

Other Critical Issues. In keeping with the diverse interests of the trustees of the RBF, grants are made to projects that further the three broad objectives of the Fund: (1) to improve and make more responsive democratic institutions and systems; (2) to enhance American enterprise as one of the best means for fulfilling basic human needs; and (3) to encourage cultural pluralism and opportunity and make possible the full expression of the individual.

The New York City Program

Total expenditures in 1980: \$8,006,732 (59 payments). The objective during 1980 and for several previous years has been to improve the quality of life in New York, the RBF's home community, by encouraging more comprehensive, efficient, and publicly accountable approaches to problems in the fields described below.

Arts and Culture. Emphasis: broad-constituency service organizations, programs that link the resources of cultural organizations to the public school system, selected major institutions, community-based organizations that express the vitality of the city's cultural mix, and projects that address issues and policies affecting the wellbeing of the city's cultural life as a whole.

Economic Development. Emphasis: cooperative efforts to strengthen the city's overall economic base through employment generation and increased investment in the metropolitan area.

Housing and Community Development. Emphasis: ways to stabilize existing housing in the city and to revitalize moderate- and middle-income neighborhoods through preventive therapy, rehabilitation, new

patterns of maintenance and ownership, and the encouragement of community development and self-help efforts.

Human Services. Emphasis: cooperative relations between public and private agencies, action-oriented studies that have broad implications for the human service field, selected major voluntary organizations, and techniques to improve the accountability and management of publicly funded programs.

Public Education. Emphasis: attempts to strengthen private agencies outside the public school system that work with the New York City Board of Education to effect change and efforts within the public system that try to improve the schools' performance.

In 1980 the trustees of the RBF, in reviewing the Fund's New York City program, decided to phase out grant support in the categories of Housing and Community Development and Public Education, and to redefine the Fund's interests under the Arts and Culture and the Human Services categories and combine these under the new title of Creative Living Environment.

The emphasis of the New York City program will now be on economic development in New York City. Specifically, the Fund will seek selected opportunities in the four fields described below.

Governmental Efficiency. To help the city function as an accountable municipality. Emphasis: projects that provide objective evaluative analysis and long-range perspective for the city government's fiscal planning process, and that demonstrate a built-in capacity for informing policy decisions in government programs.

Economic Growth and Stabilization. To help the city retain and attract business. Emphasis: research and action programs related to doing business in New York City. Special attention will be given to technical assistance projects that help local development groups coordinate public and private resources.

Employment and Skill Development. To help the city enable its residents to become more productive citizens. Emphasis: projects that bring the city and the business community together and that integrate education, social services, and job-training to upgrade skills and employability.

Creative Living Environment. To help the city continue as a center of cultural preeminence. Emphasis: improved financial management and the development of earned income for cultural institutions; strengthen-

ing partnerships between nonprofit and public agencies delivering essential human services; improved management of and assistance to mergers of human service agencies that will result in more efficient use of resources.

The International Program

Total expenditures in 1980: \$1,585,275 (65 payments). Grants here are directed at three objectives—improved international cooperation, conservation efforts through eco-development, and enhancement of human dignity, individual liberties, and the law.

International Cooperation. Emphasis: relations between the People's Republic of China and the United States and multilateral relations in the Pacific Community. The Fund tries to nurture creative efforts to increase understanding between the PRC and the United States and harmony within the Pacific Community through projects that facilitate analysis and discussion of issues of common concern, as well as through exchanges of people and translation of foreign-language material for broader distribution.

Eco-Development. Geographical focus: the wider Caribbean area, including the islands of the Greater and Lesser Antilles and the coastal countries of Central America, Mexico, and Colombia. The Fund's aim is to draw together conservation and the use and management of land and marine resources through projects in planning, training, education, and regional cooperation and through experimental ventures. Particular attention is given to self-help programs in the Caribbean that demonstrate wise use of natural resources and generate employment.

Human Dignity, Individual Liberties and the Law. Emphasis: legal protection of human dignity and individual liberties. For example, Fund grants have encouraged the legal profession in the United States and other countries to become more actively involved in the protection of civil and political liberties and the promotion of economic and social rights.

How to apply for a grant

To qualify for a grant from RBF, as from most other foundations, a prospective grantee must be either a tax-exempt organization or an organization seeking support for a project that would qualify as tax-exempt. A grantee must also be engaged in work that fits generally within one of the three areas of program activity outlined here.

Proposals to the RBF should include a complete description of the purpose of the project or organization, the background and the research that have led to the development of the proposal, the methods by which the project is to be carried out, the qualifications and experience of the project's or organization's principal staff members, a list of those who serve as board members or advisers to the project, and a carefully prepared realistic budget. Attached to each proposal must be a copy of the organization's tax exemption notice and classification from the Internal Revenue Service, dated after 1969, and a copy of its most recent financial statement, preferably audited. Proposals from former grantees of the Fund will be considered only after earlier grants have been evaluated and grantees have submitted necessary reports of expenditures of those grants.

Although the RBF has made substantial gifts to organizations and programs in which it has considerable interest, most grants run between \$10,000 and \$75,000, the average between \$25,000 and \$35,000.

It should be noted that the Fund does not make grants to individuals, nor does it, as a general rule, support research, graduate study, or the writing of books or dissertations by individuals.

Grant procedure

Each proposal to the RBF is reviewed by one or more members of the staff, who try to be prompt in notifying applicants if their proposals do not fit the current program guidelines or budgetary restraints. If a project is taken up for grant consideration, staff members may ask for further information and almost certainly for a meeting with the principal organizers of the project. Grants are awarded by the trustees, who meet regularly throughout the year.

Fund grantees are required to submit financial and narrative reports at specified intervals and at the end of each grant period. In addition, RBF staff members are expected to follow projects along throughout the life of the grant and to evaluate the project at the end of the period. The evaluations become part of the Fund's permanent records.

Grants and Contributions Paid or Approved for Future Payments During the Year

NATIONAL PROGRAM: Development Banking (\$445,000—Paid)

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
National Center for Policy Alternatives <i>Washington, D. C.</i> Toward the Center's consumer cooperative bank project and toward its federal water sewage and land treatment policy project.	\$ 70,000	\$	\$ 70,000	\$
National Rural Center, The <i>Washington, D. C.</i> Toward the Center's domestic development bank project.	225,000		225,000	
Northeast Economic Action Research Corporation <i>Boston, Massachusetts</i> Toward an evaluation and training program to improve the effectiveness and efficiency of federal credit programs in meeting the needs of businesses and economic development projects in the Northeast.	150,000		75,000	75,000
Princeton University, Trustees of <i>Princeton, New Jersey</i> Toward the Princeton Urban and Regional Research Center's comparative analysis of economic development policy in four Western nations and toward its research on geographical targeting of tax policies.	75,000		75,000	
NATIONAL PROGRAM: Farmland Preservation (\$575,000—Paid)				
Conservation Foundation, The <i>Washington, D. C.</i> Toward the Foundation's planning and launching of a nonprofit national farmland preservation organization.	310,000		310,000	
Environmental Policy Institute, Inc. <i>Washington, D. C.</i> Toward the agricultural policy program of the Institute, which provides information to policymakers and the general public on national resource issues.	70,000		70,000	
Hampshire College, The Trustees of <i>Amherst, Massachusetts</i> Toward the Hampshire College New England Farm Center's guard dog project, which conducts research on the genetics of successful guard dog behavior and tests the dogs' effectiveness in guarding sheep under a wide variety of conditions.	70,000		70,000	
Natural Resources Defense Council, Inc. <i>New York, New York</i> Toward the Council's research and planning activities in farmland preservation.	50,000		50,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
New England Regional Commission <i>Boston, Massachusetts</i> Toward the Commission's project to demonstrate that modern methods of sheep production provide a profitable way to maintain small acreages of farmland in New England.	\$ 75,000	\$	\$ 75,000	\$
Southern Development Foundation <i>Lafayette, Louisiana</i> For general budgetary support of the Foundation's program of technical, managerial, and financial assistance to agricultural cooperatives in the South and toward its work in organizing the Southern Rural Policy Congress.	75,000*	25,000		50,000
NATIONAL PROGRAM: Structural Unemployment (\$592,900—Paid)				
Corporation for Public-Private Ventures, Inc. <i>Philadelphia, Pennsylvania</i> Toward the establishment of a national intern and fellowship program in the area of economic development and job creation.	450,000		250,000	200,000
Entrepreneurship Institute, The <i>Worthington, Ohio</i> Toward the Institute's New Orleans conference on small business creation and expansion held in October 1980.	25,000		25,000	
Environmentalists for Full Employment <i>Washington, D. C.</i> Toward a public education campaign on ways to integrate energy and employment policies both to create jobs, and to improve the environment.	60,000		60,000	
National Association of Private Industry Councils <i>Washington, D. C.</i> Toward initial budgetary support of the Association, an information clearinghouse for the Private Industry Councils, which train and place the disadvantaged unemployed within private industry.	40,000		40,000	
North Carolina Manpower Development Corporation <i>Chapel Hill, North Carolina</i> Toward the Corporation's "hardship index" study project, a test of this new economic indicator, which uses a measure of economic status that is broader than the current, unreliable measurements of unemployment to improve the planning of economic and employment programs.	67,900		67,900	
Opportunity Funding Corporation <i>Washington, D. C.</i> Toward a public-private partnership effort to foster business development and job expansion along the Tennessee-Tombigbee Waterway.	150,000		150,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
NATIONAL PROGRAM: Private, Nonprofit Sector				
(\$143,343—Paid)				
Centre College of Kentucky				
<i>Danville, Kentucky</i>				
Toward a financial equilibrium study for the College.	\$ 20,000	\$	\$ 20,000	\$
Council on Foundations, Inc.				
<i>Washington, D. C.</i>				
To cover the Fund's full membership contribution for 1981 to this national service agency for foundations.	20,000		18,343	1,657 ⁽¹⁾
Foundation Center, The				
<i>New York, New York</i>				
For general budgetary support of the Center, which collects and disseminates information in the foundation field.	20,000*		20,000	
For general budgetary support in 1981.	22,500			22,500
Independent Sector, The				
<i>Washington, D. C.</i>				
To cover the Fund's full membership contribution for 1981 to this new organization designed to preserve and enhance the American tradition of giving and volunteering.	5,000		5,000	
National Committee for Responsive Philanthropy				
<i>Washington, D. C.</i>				
For general budgetary support of the Committee, which undertakes research and analysis of questions related to society's current needs and the extent to which they are, or are not, being met by private philanthropy.	50,000*	30,000	20,000	
New York Public Library, Astor, Lenox, and Tilden Foundations, The				
<i>New York, New York</i>				
Toward detailed studies of recommended actions that New York City's Research Libraries might take to achieve financial equilibrium.	60,000		60,000	
NATIONAL PROGRAM: Other Critical Issues				
(\$11,546,707—Paid)				
American Civil Liberties Union Foundation, Inc.				
<i>New York, New York</i>				
Toward the Foundation's Voter Law Project, which monitors and seeks enforcement of the Voting Rights Act of 1965.	40,000*	25,000	15,000	
American Enterprise Institute for Public Policy Research				
<i>Washington, D. C.</i>				
Toward a study of successful community-initiated efforts to control and prevent youth crime, from which the Institute plans to formulate local, state, and federal policy proposals.	50,000		50,000	

(1) Lapsed

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
American Institute of Buddhist Studies, Inc. <i>Amherst, Massachusetts</i> For general budgetary support of the Institute, which works through liberal arts institutions to introduce a comprehensive study of Buddhist philosophy, science, and tradition without alienating students from their own Western culture.	\$ 25,000*	\$ 15,000	\$ 10,000	\$
Archaeological Conservancy, The <i>Santa Fe, New Mexico</i> Toward the Conservancy's permanent revolving fund for acquisition of important American archaeological sites.	150,000		50,000	100,000
Arts, Education and Americans, Inc., The <i>New York, New York</i> For general budgetary support of this organization, which sponsors workshops, conferences, and public information programs on art education.	50,000*	30,000	20,000	
For further general budgetary support.	250,000*	62,902	56,810	130,288
Aspen Institute for Humanistic Studies <i>New York, New York</i> For general budgetary support of this organization, devoted to thought and action in areas of contemporary life that will be most affected by the changes transforming the modern world.	300,000*	125,000	100,000	75,000
Center for Community Change <i>Washington, D. C.</i> Toward the core operating budget of the Center, and toward the Center's program of assistance to community and economic development organizations.	325,000		325,000	
Center for Law and Social Policy <i>Washington, D. C.</i> Toward the Center's program to improve health services for minority groups and the poor.	60,000*	40,000	20,000	
Children's Theatre Company and School, The <i>Minneapolis, Minnesota</i> Toward the Company's study of the feasibility of establishing a full-time laboratory school in which the arts would form the spine of the curriculum.	25,000		25,000	
Colonial Williamsburg Foundation, Inc., The <i>Williamsburg, Virginia</i> To underwrite a contingent commitment incurred in the acquisition of Carter's Grove Plantation, Virginia, for exhibition as an historic property.	290,000*			290,000(2)
Toward the general purposes of the Foundation, which operates the Colonial Williamsburg restoration.	4,000,000*	1,150,000	1,450,000	1,400,000
Elderhostel, Inc. <i>Boston, Massachusetts</i> For general budgetary support of this program, which offers people over 60 years of age a series of weekly low-tuition, residential, academic experiences during the summer on the campuses of a national network of colleges.	50,000*	30,000	20,000	

(2) Lapsed

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Institute of Open Education, Inc. <i>Cambridge, Massachusetts</i> To assist the Institute, which offers a specialized upward-mobility program designed particularly for women and minority students, become an independent degree-granting institution.	\$ 30,000	\$	\$ 30,000	\$
Jackson Hole Preserve, Incorporated <i>New York, New York</i> Toward the general purposes of this organization to restore, protect, and preserve natural resources and areas of scenic beauty.	3,000,000*	2,500,000	500,000	
Joint Center for Political Studies, Inc., The <i>Washington, D. C.</i> Toward the Center's work to strengthen voter law policy in favor of securing the franchise for all Americans.	150,000		150,000	
Martin Luther King, Jr., Center for Social Change <i>Atlanta, Georgia</i> Toward construction of the auditorium of the King Center, which will be used for, among other projects, showing film segments on the life of Martin Luther King, Jr.	250,000*	225,000	25,000	
Michigan, University of <i>Ann Arbor, Michigan</i> Toward the University's President Ford Library/Museum Fund.	50,000*		50,000	
NAACP Special Contribution Fund <i>New York, New York</i> For general budgetary support of this national civil rights organization.	70,000*	40,000	30,000	
National Academy of Public Administration Foundation, The <i>Washington, D. C.</i> Toward a study of the role of the President in the management of the federal government, to be conducted by the Academy.	25,000		25,000	
National Association of Independent Schools, Inc. <i>Boston, Massachusetts</i> For general budgetary support over three years, with special attention to the Association's Commission on Educational Issues and to the establishment of a Washington office for governmental relations.	220,000*	165,000	55,000	
National Center for Policy Alternatives <i>Washington, D. C.</i> For general budgetary support of the Center's agricultural policy clearinghouse and toward the clearinghouse's Family Farm Development Act monitoring project.	70,000*	15,000	40,000	15,000
National Trust for Historic Preservation in the United States <i>Washington, D. C.</i> Toward the preparation of a property development and operation plan for the Kykuit Historic Park of Pocantico Hills.	54,500		54,500	
A supplementary contribution toward the preparation of the plan for the Kykuit Historic Park of Pocantico Hills.	28,000		28,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
National Urban League, Inc.				
<i>New York, New York</i>				
For general budgetary support of the League, which plays a leading role in a wide variety of concerns relating to black citizens, including housing, health, employment, and education.	\$ 50,000	\$	\$ 30,000	\$ 20,000
Toward the League's Leadership Development Program.	500,000*	162,500	227,500	110,000
New Alchemy Institute				
<i>Woods Hole, Massachusetts</i>				
For general budgetary support and for support of a study of the economic viability of the Institute's agricultural bioshelters.	120,000*	55,000	55,000	10,000
New York Community Trust, The				
<i>New York, New York</i>				
Toward the creation of an independent national service organization to help communities implement energy conservation programs for nonprofit agencies.	25,000			25,000 ⁽³⁾
New York Institute of Technology				
<i>Old Westbury, New York</i>				
Toward the fundraising program of the Institute's College of Osteopathic Medicine.	200,000*	125,000		75,000
Toward the development campaign of the Institute's New York College of Osteopathic Medicine.	2,500,000		225,000	2,275,000
Northeast-Midwest Institute, The				
<i>Washington, D. C.</i>				
Toward the research program of the Institute, a bipartisan coalition of senators and congressmen that analyzes policy options open to the federal government.	75,000		75,000	
Partners for Livable Places				
<i>Washington, D. C.</i>				
For general budgetary support of this nonprofit membership corporation of individuals and organizations working to improve the physical environment in our nation's communities.	50,000		25,000	25,000
Population Council, Inc., The				
<i>New York, New York</i>				
For general budgetary support of the Council over the three-year period 1978-1980, and toward the policy-related aspects of the Council's programs in research, training, technical assistance, and information exchange in demography, reproductive physiology and contraceptive development, family planning, and population policy.	3,750,000*	3,250,000	500,000	
To assist the Council in sustaining and furthering its objectives.	3,650,000*	1,250,000	1,000,000	1,400,000
A supplemental contribution to assist the Council in sustaining and furthering its objectives.	2,600,000*	500,000	500,000	1,600,000

⁽³⁾ Lapsed

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Public Resources, Inc.				
<i>New York, New York</i>				
For general budgetary support of the center, which helps to develop the potential of business in meeting public needs and to make it easier for business resources to be used for solving social problems.	\$ 55,000*	\$ 35,000	\$ 20,000	\$
Puerto Rican Legal Defense and Education Fund, Inc.				
<i>New York, New York</i>				
For general budgetary support of this organization, which protects and promotes the civil rights of Puerto Ricans and other Spanish-speaking citizens.	100,000		40,000	60,000
Rockefeller University, The				
<i>New York, New York</i>				
Toward the general purposes of this graduate research institution for the sciences.	15,000,000*	8,250,000	3,000,000	3,750,000
Toward a fund functioning as endowment for the University's Rockefeller Archive Center.	1,000,000*	250,000	410,000	340,000
Toward a library coordination project of the Memorial Sloan-Kettering Cancer Center, the New York Hospital-Cornell Medical Center, and The Rockefeller University.	37,000		37,000	
Toward the inter-institutional scientific seminars among the Memorial Sloan-Kettering Cancer Center, the New York Hospital-Cornell Medical Center, and The Rockefeller University.	30,000		30,000	
Toward the University's research project in the field of tropical medicine.	42,000		42,000	
Rural Advancement Fund of the National Sharecroppers Fund, Inc.				
<i>Charlotte, North Carolina</i>				
Toward the Fund's program to provide job training and assistance to local cooperatives and community development programs in the South.	45,000*	30,000	15,000	
Sleepy Hollow Restorations, Inc.				
<i>Tarrytown, New York</i>				
Toward the general purposes of this historical restoration complex in the lower Hudson River valley.	1,000,000		625,000	375,000
Southwest Voter Registration Project, Inc.				
<i>San Antonio, Texas</i>				
For general budgetary support of this coordinating agency for voter registration and education in the Southwest.	25,000*	15,000	10,000	
Spelman College				
<i>Atlanta, Georgia</i>				
Toward the College's Centennial Financial Development Program.	4,200,000*	2,200,000	1,000,000	1,000,000
Union Church of Pocantico Hills				
<i>Tarrytown, New York</i>				
For general budgetary support of this nondenominational church.	25,000		25,000	
Toward the cost of maintaining and repairing the Church's property.	12,500		12,500	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Union Theological Seminary <i>New York, New York</i> Toward the Seminary's capital fund campaign.	\$ 250,000*	\$ 50,000	\$ 200,000	\$
United Negro College Fund, Inc. <i>New York, New York</i> Toward UNCF's special Capital Resources Development Program.	750,000*		200,000	550,000
Worldwatch Institute <i>Washington, D. C.</i> For general budgetary support of the Institute, which seeks to identify emerging public problems and to create a climate in which these problems can be rationally discussed.	375,000*	300,000	75,000	
Zen Center <i>Rochester, New York</i> Toward the Center's development and long-term planning of a country training facility in Jefferson County, Colorado.	50,000*	25,000	18,397	6,603(4)
Zen Center, A Corporation Sole <i>San Francisco, California</i> For general budgetary support of the Center and its effort to translate Buddhist ideas and sense of community into direct involvement with its own neighborhood.	50,000*	20,000	20,000	10,000
NEW YORK CITY PROGRAM: Arts and Culture (\$3,671,000—Paid)				
Afro-American Total Theatre Arts Foundation, Inc. (Richard Allen Center for Culture and Art) <i>New York, New York</i> Toward the Center's international festival of black performing arts held in the spring of 1980.	20,000		20,000	
Amigos del Museo del Barrio, Inc. <i>New York, New York</i> Toward the Museum's new development office.	10,000		10,000	
Children's Art Carnival, The <i>New York, New York</i> Toward additional financial, educational, and development management assistance for the Carnival, which seeks to develop creative thinking in children through multi-media art activities offered in its school-day and summer parks programs.	50,000		25,000	25,000
Cultural Assistance Center, Inc. <i>New York, New York</i> Toward the implementation of recommendations based on the Center's study of public and private support systems affecting New York City arts organizations.	35,000		35,000	

(4) Lapsed

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Cultural Council Foundation <i>New York, New York</i> Toward the expansion of the fiscal management services that the Foundation provides to over 200 New York City arts organizations.	\$ 17,000	\$	\$ 17,000	\$
For general budgetary support of the Center for Arts Information, a clearinghouse serving nonprofit arts organizations.	30,000*	15,000	15,000	
Elgin Theatre Foundation, Inc. <i>New York, New York</i> Toward the conversion of the Elgin Theatre from a movie house to a dance theatre.	25,000		25,000	
Foundation for the Joffrey Ballet, Inc., The <i>New York, New York</i> A special one-time contribution for general budgetary support during a period of transition.	35,000		35,000	
Just Above Midtown, Inc. <i>New York, New York</i> Toward the publication costs of this service organization's manual "The Business of Being an Artist."	12,000		12,000	
Learning Through an Expanded Arts Program, Inc. <i>New York, New York</i> Toward the production of a technical assistance manual and for general budgetary support of this program, which helps schools utilize existing resources in the community and in the schools themselves to institute and expand arts education in their curricula.	25,000*	10,000	10,000	5,000 ⁽⁵⁾
Lincoln Center for the Performing Arts, Inc. <i>New York, New York</i> Toward the long-range capital fund drive of the organization, which provides overall management and direction for associated music, theater, dance, and film groups in the Lincoln Center complex.	3,000,000*	1,150,000	925,000	925,000
Lower Manhattan Cultural Council, Inc. <i>New York, New York</i> For general budgetary support of the Council, which oversees a variety of cultural activities in Lower Manhattan.	10,000		10,000	
Museum of the American Indian (Heye Foundation) <i>New York, New York</i> Toward the Museum's fundraising program.	75,000*	50,000		25,000
Museum of Modern Art, The <i>New York, New York</i> Toward the Museum's 50th Anniversary Capital Funds Campaign.	9,825,000*	5,500,000	1,950,000	2,375,000
New York Public Library, Astor, Lenox, and Tilden Foundations, The <i>New York, New York</i> Toward the renovation and reopening of the gallery on the main floor of the central building on 42nd Street and an endowment fund for program and program staff.	1,000,000*			1,000,000

(5) Lapsed in 1979

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
New York Zoological Society <i>Bronx, New York</i> Toward the Society's Animal Kingdom Fund for endowment and capital projects.	\$ 1,000,000*	\$ 250,000	\$ 500,000	\$ 250,000
Poets & Writers, Inc. <i>New York, New York</i> Toward the computer and marketing project of this information clearinghouse and service agency for the literary community.	15,000		15,000	
Puerto Rican Traveling Theatre Company, Inc. <i>New York, New York</i> Toward the Theater Company's marketing campaign.	25,000		25,000	
Studio Museum in Harlem, Inc., The <i>New York, New York</i> Toward the renovation costs of the Museum's new building.	100,000			100,000
Symphony Space, Inc., The <i>New York, New York</i> Toward the core administrative staff costs of this community-sponsored performing arts center on the upper West Side.	22,000		22,000	
TAG Foundation, Ltd. <i>New York, New York</i> For general budgetary support of this dance service organization, which provides technical, production, and management assistance to small and medium-sized dance companies.	45,000*	25,000	20,000	
NEW YORK CITY PROGRAM: Economic Development (\$305,000—Paid)				
Columbia University in the City of New York, The Trustees of <i>New York, New York</i> Toward the interdisciplinary project, under the auspices of Columbia University and the New School for Social Research, to provide continuing analyses of New York City's annual budget.	70,000		35,000	35,000
42nd Street Local Development Corporation <i>New York, New York</i> Toward an emergency revolving reserve fund for the Corporation's work to redevelop the 42nd Street area.	150,000		50,000	100,000
Natural Resources Defense Council, Inc. <i>New York, New York</i> Toward the Council's efforts to speed the improvement of the mass transit network serving the New York region.	50,000		50,000	
New York Interface Development Project, Inc. <i>New York, New York</i> Toward an outreach program designed to improve coordination of employment training programs, public education, and economic development activities in New York City.	35,000		35,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Opportunities Industrialization Center of New York, Inc.				
<i>New York, New York</i>				
Toward the renovation costs of OIC's training facility in Brooklyn.	\$ 50,000	\$	\$ 50,000	\$
Pratt Institute				
<i>Brooklyn, New York</i>				
Toward the Institute's Center for Community and Environmental Development, which provides technical assistance to community-led commercial and neighborhood revitalization projects in New York City.	55,000		35,000	20,000
South Bronx Overall Economic Development Corporation				
<i>Bronx, New York</i>				
Toward the establishment of a community development department to provide technical assistance to neighborhood groups working to upgrade the South Bronx.	75,000		50,000	25,000
NEW YORK CITY PROGRAM: Housing & Community Development (\$152,500—Paid)				
Bryant Park Restoration Corporation				
<i>New York, New York</i>				
Toward the Corporation's planning for the redesign and maintenance of Bryant Park including the identification of sources of support for these efforts.	75,000		75,000	
42nd Street Local Development Corporation				
<i>New York, New York</i>				
Toward the Corporation's conversion of Holland House, on 42nd Street, into an international hostel.	50,000		50,000	
Parks Council, Inc.				
<i>New York, New York</i>				
Toward the Council's site improvement and program activities aimed at expanding public use of Bryant Park as part of the overall revitalization of the 42nd Street area.	15,000		15,000	
Settlement Housing Fund, Inc.				
<i>New York, New York</i>				
Toward the Fund's affirmative marketing program, which seeks to attract stable, moderate-income families as tenants for Noonan Plaza in the Highbridge area of the Bronx.	12,500		12,500	
NEW YORK CITY PROGRAM: Human Services (\$3,573,042—Paid)				
American Foundation of Religion and Psychiatry: Harlem Interfaith Counseling Service, Inc.				
<i>New York, New York</i>				
Toward the relocation and expansion of this family mental health agency.	125,000*	25,000		100,000

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Association of Black Social Workers Child Adoption and Counseling Referral Service, Inc. <i>New York, New York</i> For general budgetary support of this voluntary agency, which, through recruitment, referral, education, and advocacy, is seeking to expedite and increase the adoption of black children.	\$ 60,000*	\$ 35,000	\$ 25,000	\$
Cornell University <i>New York, New York</i> Toward the improvement of the basic science education and research programs of the University's Medical College and the encouragement, in these programs of further cooperative activities with The Rockefeller University and Memorial Sloan-Kettering Cancer Center.	500,000*	100,000		400,000
Girls Club of New York, Inc., The <i>New York, New York</i> Toward the renovation costs of the Club's building in the South Bronx.	50,000		50,000	
Legal Aid Society <i>New York, New York</i> Toward the expenses of launching the Society's expanded volunteer division.	75,000		30,000	45,000
Memorial Sloan-Kettering Cancer Center <i>New York, New York</i> Toward the general purposes of this complex of medical, research, education, and patient-care services.	15,000,000*	8,250,000	3,000,000	3,750,000
New York Blood Center, Inc. <i>New York, New York</i> Toward the expansion program of this blood collection, processing, and research center, which is seeking to respond to the soaring needs of the Greater New York area.	300,000*	100,000	100,000	100,000
New York City Mission Society <i>New York, New York</i> Toward the endowment fund campaign of the Society, one of the city's oldest voluntary social service agencies.	500,000*	100,000	108,092	291,908 ⁽⁶⁾
New York City Youth Board <i>New York, New York</i> Toward the Board's program to assist in the development of new and exemplary youth programs.	200,000		94,950	105,050
Northside Center for Child Development, Inc. <i>New York, New York</i> Toward the transition fund campaign of the Center, which is central Harlem's only voluntary full-time child guidance clinic for emotionally disturbed children.	50,000		25,000	25,000
Planned Parenthood of New York City, Inc. <i>New York, New York</i> Toward the agency's core program.	35,000		35,000	

(6) Lapsed

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Salem Community Service Council, Inc. <i>New York, New York</i> Toward the renovation campaign of the Council, which provides a wide variety of human services to its Harlem community.	\$ 50,000	\$	\$ 50,000	\$
United Neighborhood Houses of New York, Inc. <i>New York, New York</i> Toward the agency's management assistance to help restructure the James Weldon Johnson Community Center, which provides a variety of human services to residents of East Harlem.	45,000		30,000	15,000
Young Women's Christian Association of the City of New York <i>New York, New York</i> Toward the YMCA—YWCA Camping Services council's capital development campaign.	25,000		25,000	
NEW YORK CITY PROGRAM: Public Education (\$120,000—Paid)				
Advocates for Children of New York, Inc. <i>Long Island City, New York</i> Toward a research and training program to help institutionalize and replicate innovative school-based models that provide positive alternatives to the suspension of problem children.	60,000*	30,000	30,000	
Economic Development Council of New York City, Inc. <i>New York, New York</i> Toward the development of resource materials for the Mastery Learning Program, a strategy that permits individualized instruction in a group setting.	50,000		50,000	
United Parents Associations of New York City, Inc. <i>New York, New York</i> Toward the work of the Educational Priorities Panel, which conducts research and policy analysis on the quality of educational services in the New York City public schools.	40,000		40,000	
NEW YORK CITY PROGRAM: Special Projects (\$185,190—Paid)				
Cultural Council Foundation (New York City Department of Parks and Recreation) <i>New York, New York</i> Toward the research phase of a planning project for an outdoor arena in Battery Park City in lower Manhattan.	50,000		50,000	
Cultural Council Foundation (Temporary State Commission on the Restoration of the Capitol) <i>New York, New York</i> Toward the public information project of the Temporary Commission.	10,000		10,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
New York, City of: Office of the Council President <i>New York, New York</i> Toward the development and dissemination of an energy conservation and operation manual for residential old law tenements owned and operated by both private landlords and New York City.	\$ 74,690	\$	\$ 74,690	\$
New York Community Trust, The <i>New York, New York</i> Toward the design and operation of a financial intermediary that will link large, long-term funding sources with the needs of nonprofit agencies seeking support to make energy-conserving alterations in their buildings.	35,000		35,000	
New York Interface Development Project, Inc. <i>New York, New York</i> Toward a feasibility study of income-producing ventures for nonprofit organizations.	15,500		15,500	
INTERNATIONAL PROGRAM: International Cooperation—China (\$338,300—Paid)				
Asia Foundation, The <i>San Francisco, California</i> Toward sending a representative from the Foundation to the People's Republic of China for informal discussions of the nature and practice of American foundations.	19,000		9,150	9,850
For general budgetary support of the Foundation's Comparative Literature and Translation Centre at The Chinese University of Hong Kong, and toward the Foundation's assistance to the Research Committee on Local Philanthropy on Taiwan.	29,850		29,850	
Asia Society, Inc., The <i>New York, New York</i> For general budgetary support of the Society, which is dedicated to deepening American understanding of Asia and promoting thoughtful transpacific international exchange.	540,000*	160,000	140,000	240,000
Toward the education projects of the Society's China Council, which seeks to enhance public understanding of Sino-American relations and of developments in China.	50,000*	20,000	20,000	10,000
Toward the costs of Williamsburg X, the 1981 meeting of the annual forum of Asian and American leaders founded in 1971 by John D. Rockefeller 3rd for discourse on issues important to the Pacific region.	25,000		25,000	
Columbia University in the City of New York, The Trustees of <i>New York, New York</i> For general budgetary support of the Center for United States-People's Republic of China Arts Exchange of the Columbia University School of the Arts.	65,000		35,000	30,000
Massachusetts Institute of Technology <i>Cambridge, Massachusetts</i> Toward a study of the modernization of Asian societies to be conducted under the direction of Lucian W. Pye of the Institute's Center for International Studies.	40,000*	20,000	20,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
National Committee on United States-China Relations, Inc. <i>New York, New York</i> For general budgetary support of the Committee, which conducts educational programs on contemporary China and U.S.-China relations.	\$ 75,000*	\$ 40,000	\$ 35,000	\$
Stanford University (Board of Trustees of the Leland Stanford Junior University) <i>Stanford, California</i> Toward the University's United States-China Relations Program, which seeks to develop and maintain scholarly ties with Chinese counterparts.	24,300*		24,300	
INTERNATIONAL PROGRAM: International Cooperation— Pacific Community (\$182,175—Paid)				
Asia Foundation, The <i>San Francisco, California</i> For general budgetary support of the Foundation's Translation Service Center in Tokyo.	60,000*	20,000	20,000	20,000
Chicago Council on Foreign Relations, The <i>Chicago, Illinois</i> Toward the Council's efforts, through a series of seminars in the Midwest, to increase understanding of the political, economic, and security relationships between Japan and the United States in the broader context of Northeast Asia.	28,500*	17,500	11,000	
International House of Japan, Inc., The <i>Tokyo, Japan</i> Toward publication of a Japanese-language edition of <i>Robert's Guide to Japanese Museums</i> and an English language guide for short-term residents in Japan.	15,000*			15,000
International Institute of Rural Reconstruction <i>Silang, Cavite, Philippines</i> Toward a demonstration project designed to further the role of rural women in village development projects.	60,000*	40,000	20,000	
International Institute of Rural Reconstruction <i>New York, New York</i> Toward the Institute's project to develop a collaborative relationship with institutions in the People's Republic of China.	7,900		7,900	
Japan Center for International Exchange <i>Tokyo, Japan</i> For general budgetary support of the Center, which seeks to improve Japanese communication with other peoples and to encourage greater Japanese participation in international activities.	60,000		30,000	30,000
Ramon Magsaysay Award Foundation <i>Manila, Philippines</i> Toward the capital fund of the Foundation's Asian Library.	15,275		15,275	
Toward the annual Ramon Magsaysay Awards.	50,000		50,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Washington, University of <i>Seattle, Washington</i> Toward the English translation costs of Japanese articles for the <i>Journal of Japanese Studies</i> , published by the University's School of International Studies.	\$ 5,000*	\$ 2,000	\$ 3,000	\$
Youth for Understanding, Inc. <i>Washington, D. C.</i> Toward the agency's Japan Project, a student-exchange program between Japan and the United States.	75,000*		25,000	50,000
INTERNATIONAL PROGRAM: International Cooperation— Special Projects (\$295,000—Paid)				
Africa News Service, Inc. <i>Durham, North Carolina</i> For general budgetary support of the Service, which, through publications and radio features, aims to improve American understanding of the crucial issues facing African countries.	75,000*	25,000	25,000	25,000
African-American Institute, The <i>New York, New York</i> For general budgetary support of this private agency, which seeks to improve American contacts with Africans.	40,000		40,000	
American Friends Service Committee, Inc. <i>Philadelphia, Pennsylvania</i> For general budgetary support of this organization's worldwide program of international cooperation and humanitarian assistance.	25,000*	15,000	10,000	
Center for Inter-American Relations, Inc. <i>New York, New York</i> Toward the start-up costs of Arts International, an initiative to create a greater awareness of the needs and opportunities for international exchanges in the performing and visual arts and to stimulate such exchanges.	150,000		25,000	125,000
Good Hope School, Inc. <i>St. Croix, Virgin Islands</i> Toward the School's collaborative learning disabilities resource center, which provides a full-service diagnostic and teaching resource for the private and public schools of St. Croix.	15,000*	5,000	10,000	
Maru a Pula Foundation <i>Gaborone, Botswana</i> Toward scholarships for students who attend the Maru a Pula School, the first international multiracial, coeducational, private secondary school in Botswana.	30,000*	20,000	10,000	
Massachusetts Institute of Technology <i>Cambridge, Massachusetts</i> Toward MIT's World Coal Study.	10,000		10,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Project Orbis, Inc. <i>New York, New York</i> Toward the start-up expenses of this project, which uses a specially equipped aircraft to provide a teaching laboratory and patient services for persons in underdeveloped countries suffering from eye diseases.	\$ 35,000	\$	\$ 35,000	\$
Smithsonian Institution <i>Washington, D. C.</i> Toward a policy-oriented program on Latin America and Inter-American affairs of the Woodrow Wilson International Center for Scholars.	60,000*	10,000	25,000	25,000
Sussex, University of <i>Brighton, England</i> Toward the project on "Food Policy Options of the European Community for the 1990s" of the University's Sussex European Research Centre.	10,000		10,000	
Trilateral Commission (North America), The <i>New York, New York</i> For general budgetary support of the Commission, whose members—private persons in the United States, Europe, and Japan—propose policies that their countries might consider in their economic, political, and defense relations.	180,000*	60,000	95,000	25,000
INTERNATIONAL PROGRAM: Eco-development—Caribbean (\$442,300—Paid)				
Antigua-Caribbean Training Institute Limited <i>St. John, Antigua</i> Toward the Institute's efforts to expand agricultural and employment opportunities by offering practical courses to indigenous unemployed Antiguan.	63,000*	25,000	25,000	13,000
Association of Caribbean Universities and Research Institutes Foundation, Inc. <i>Coral Gables, Florida</i> Toward the preparation and testing of new curricular materials that will assist in the development of small business activity in Caribbean countries.	75,000*			75,000
Caribbean Conservation Association, The <i>St. Michael, Barbados</i> Toward the Association's Eastern Caribbean wildland management and utilization program.	210,000*	118,902	91,098	
Toward the Association's Eastern Caribbean Natural Area Management Program, which develops experimental initiatives in environmental management and economic development to improve life in the Caribbean.	75,000*	18,893	53,930	2,177
Toward further support of the Eastern Caribbean Natural Area Management Program, and toward the related Marine Resources Program for the Eastern Caribbean.	240,000		13,722	226,278

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Food and Agriculture Organization of the United Nations				
<i>Rome, Italy</i>				
Toward a program of resource management and rural development in the Central American region.	\$ 10,000*	\$ 1,700	\$	\$ 8,300
Foundation for P.R.I.D.E., Inc., The				
<i>Miami, Florida</i>				
Toward the Foundation's projects that focus on conserving island habitats in the Caribbean and the diversity of life they support.	45,000*	20,000	15,000	10,000
Toward the Foundation's experimental wind and solar energy project in Antigua.	41,000		10,000	31,000
Island Resources Foundation, Inc.				
<i>St. Thomas, Virgin Islands</i>				
For general budgetary support of the Foundation, which is concerned with the development of small island economies and the management of island resources.	75,000*	55,000	20,000	
Toward the Foundation's cultural resources management project in the Caribbean.	25,000			25,000
King's Hill Youth Group				
<i>Roseau, Dominica</i>				
Toward the self-help employment generation program of this organization, which tries to increase the economic self-sufficiency of the island economy of Dominica.	45,000*	37,800		7,200(7)
Michigan, University of				
<i>Ann Arbor, Michigan</i>				
Toward the Eastern Caribbean Natural Area Management Program of the University's School of Natural Resources.	75,000*	40,000	35,000	
Toward the School of Natural Resource's project in strategic management of wildland resources for eco-development.	75,000		50,000	25,000
Further support toward the School of Natural Resource's project in strategic management of wildland resources for eco-development.	165,000			165,000
National Association of the Partners of the Alliance, Inc.				
<i>Washington, D. C.</i>				
Toward the establishment of an eco-development fund offering small grants to Partner groups in the Caribbean islands and coastal states for self-help projects that contribute to the sound use of natural resources for economic development.	75,000			75,000
Organization for Rural Development, The				
<i>St. Vincent, West Indies</i>				
For general budgetary support of this community organization, set up to create jobs, improve agriculture, and raise nutrition standards in the rural areas of St. Vincent.	30,000*	5,000	25,000	
For further general budgetary support.	60,000		13,050	46,950

(7) Lapsed

*Appropriation made prior to 1980

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Partnership for Productivity Foundation USA, Inc. <i>Washington, D.C.</i> Toward the agency's business advisory services to small indigenous enterprises in the Caribbean.	\$ 35,000*	\$ 4,500	\$ 30,500	\$
Toward further support for the small-business development program.	30,000		20,000	10,000
Policy Sciences Center, Inc. <i>New York, New York</i> Toward a project to study appropriate pesticide technology for small farmers in developing countries.	15,000		15,000	
SERVOL Ltd. <i>Port-of-Spain, Trinidad, West Indies</i> Toward the establishment of the Caribbean Life Centre in Trinidad as a base from which to expand SERVOL's technical assistance services to community development efforts on neighboring islands.	100,000		25,000	75,000
Sierra Club Foundation, The <i>New York, New York</i> Toward the Foundation's Caribbean mangrove management project, which is focused on the preservation of mangroves as a unique habitat for many kinds of plant and animal life that are now being destroyed.	20,000*			20,000
Venezuelan Federation of Private Foundations <i>Caracas, Venezuela</i> Toward the costs of the Federation's Second International Conference of Foundation and Business Leaders.	5,000			5,000
INTERNATIONAL PROGRAM: Eco-Development—Africa (\$80,000—Paid)				
African Wildlife Husbandry Development Association <i>Vancouver, British Columbia, Canada</i> Toward the Association's Nazinga Game Ranch Project in Upper Volta, which demonstrates that properly managed wildlife can lead both to sustained protein production and to environmentally sound use of marginal, arid land.	75,000*	50,000	25,000	
International Voluntary Services, Inc. <i>Washington, D.C.</i> Toward this organization's program in Botswana, which is designed to help strengthen the management, local participation, and projects of development agencies in Botswana.	52,500*	34,000		18,500
Kanye Brigades Development Trust <i>Kanye, Botswana</i> Toward a revolving loan fund to help launch small-scale, job-creating enterprises in the southern part of Botswana.	60,000*	44,000		16,000

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
Kweneng Rural Development Association				
<i>Molepolole, Botswana</i>				
Toward the Association's self-help and job-creating projects.	\$ 75,000*	\$ 32,200	\$ 30,000	\$ 12,800
Private Agencies Collaborating Together, Inc.				
<i>New York, New York</i>				
Toward its Supportive Activities Grants Program, which assists member agencies in project planning and training to improve coordination and implementation of local development activities in Africa, Asia, and Latin America.	50,000*	25,000	25,000	
INTERNATIONAL PROGRAM: Eco-Development— Special Projects (\$110,000—Paid)				
International Federation of Institutes for Advanced Study				
<i>Solna, Sweden</i>				
For general budgetary support of IFIAS, a transnational, interdisciplinary organization engaged in research on crucial global problems, such as climate modification, forestry management, and energy requirements.	60,000*	40,000	20,000	
For general budgetary support of IFIAS during 1981-83.	120,000			120,000
Overseas Development Council				
<i>Washington, D. C.</i>				
For general budgetary support of this widely recognized center for research, information, and public education on the increasingly complex relations between the United States and the developing world.	150,000*	100,000	50,000	
Toward the Council's Tenth Anniversary Drive.	100,000			100,000
Worldwatch Institute				
<i>Washington, D. C.</i>				
For general budgetary support of the Institute, which seeks to encourage global problem solving through the publication of carefully researched books and papers on major world problems of food, population, resources, and environment.	150,000		40,000	110,000
INTERNATIONAL PROGRAM: Human Dignity, Individual Liberties and the Law (\$137,500—Paid)				
African-American Institute, The				
<i>New York, New York</i>				
Toward the Institute's expanded Southern Africa program, in particular a bi-weekly newsletter on the state of civil and economic liberties inside South Africa.	75,000*	30,000	30,000	15,000

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1980</i>	<i>Unpaid Balance</i>
American Association for the International Commission of Jurists, Inc. <i>New York, New York</i> Toward the Commission's Geneva-based Centre for the Independence of Lawyers and Judges.	\$ 60,000*	\$	\$ 20,000	\$ 40,000
Center for Law and Social Policy <i>Washington, D.C.</i> Toward the Center's International Project, which concentrates on legal issues in the areas of trade, environment, and human rights.	60,000*	45,000	15,000	
International League for Human Rights, Inc., The <i>New York, New York</i> For general budgetary support of the Lawyer's Committee for International Human Rights, the League's public interest law project in the international human rights field.	60,000*	25,000	25,000	10,000
Toward the League's project to assess current activities being undertaken in behalf of human rights in Africa and to develop options for the League and other organizations that might further protect and promote these civil liberties.	12,500		12,500	
Legal Resources Trust <i>Johannesburg, South Africa</i> Toward the establishment of a Legal Resources Centre, designed to promote, through legal representation and training, the use of law as a peaceful and constructive means of redressing legal wrongs and to reduce unfairness in the administration of justice.	120,000*	100,000		20,000
Procedural Aspects of International Law Institute, Inc., The <i>Washington, D.C.</i> Toward the Institute's International Human Rights Law Group, which trains volunteer lawyers and law students in handling cases of infringements of individual liberties.	60,000*	30,000	20,000	10,000
South African Institute of Race Relations <i>Johannesburg, South Africa</i> Toward the Research and Library Trust and the National Education Trust of the Institute, which engages in information gathering and dissemination on all aspects of race relations.	40,000*	25,000	15,000	
			\$22,894,957	\$24,977,693 ⁽⁸⁾

(8) Total does not include lapsed items

*Appropriation made prior to 1980

Reconciliation of Appropriations Paid with Financial Statements

Unpaid Appropriations, December 31, 1979

Principal Fund	\$38,146,403	
Ramon Magsaysay Award Foundation	-0-	
Abby R. Mauzé Fund	-0-	\$38,146,403

Appropriations Authorized in 1980

Principal Fund	10,216,115	
Ramon Magsaysay Award Foundation	50,000	
Abby R. Mauzé Fund	82,500	
Less: Appropriations lapsed Principal Fund	622,368	9,726,247
		47,872,650

Appropriations Paid in 1980

Principal Fund	22,762,457	
Ramon Magsaysay Award Foundation	50,000	
Abby R. Mauzé Fund	82,500	22,894,957

Unpaid Appropriations, December 31, 1980

Principal Fund	24,977,693	
Ramon Magsaysay Award Foundation	-0-	
Abby R. Mauzé Fund	-0-	
Authorization for Special Projects	1,335,000	
Less: Paid in 1980	9,022	1,325,978
		\$26,303,671

Summary Statement of Assets at Cost and Market Values at December 31, 1980

	<i>Cost</i>	<i>Market Value</i>
Principal Fund		
Cash	\$ 105,683	\$ 105,683
Short-term investments	8,155,372	8,155,372
Long-term investments:		
U.S. Government and Agency Bonds	9,522,386	8,379,747
U.S. Treasury Notes	16,925,168	16,288,412
Foreign Governments & Other Foreign Bonds	980,340	617,320
Corporate Bonds	10,844,464	8,403,993
Corporate Notes	9,721,452	8,370,200
Common Stocks	57,462,319	121,868,938
Program-related investments	2,656,501	2,116,516
Real estate	510,000	510,000
	116,883,685	174,816,181
Ramon Magsaysay Award Foundation		
Cash	686	686
Short-term investments	84,000	84,000
Long-term investments	946,305	663,813
	1,030,991	748,499
Abby R. Mauzé Fund		
Cash	24,087	24,087
Short-term investments	149,000	149,000
Long-term investments	1,493,808	1,350,000
	1,666,895	1,523,087
Total	\$119,581,571	\$177,087,767

Financial Information

Following the certificate of Coopers & Lybrand, Independent Certified Public Accountants, are financial statements comprising:

Financial Statements

Balance Sheets, December 31, 1980 and 1979
Statements of Support, Revenue, Expenses and Changes in Principal Fund Balance for the years ended December 31, 1980 and 1979
Statements of Support, Revenue, Expenses and Changes in Other Fund Balances for the years ended December 31, 1980 and 1979
Notes to Financial Statements

Supporting Schedules

Schedule of Functional Expenses, Principal Fund for the year ended December 31, 1980 and with Comparative 1979 Totals
Schedule of Investments, Principal Fund, December 31, 1980
Schedules of Net Realized and Unrealized Gain on Investments, Principal Fund for the years ended December 31, 1980 and 1979
Schedule of Investments, Other Funds, December 31, 1980

The following additional information is required by Section 6056 of the Internal Revenue Code

Revenues

1. Amount of gifts, grants, bequests and contributions received for the year			\$ 50,000
2. Gross income for the year			
Dividends and interest	\$12,768,377		
Gains on sale of securities	60,509		
Other	78,520	12,907,406	
3. Total			\$12,957,406

Disbursements & Expenses

4. Disbursements for the year (including administrative expense)			\$24,602,321
5. Expenses attributable to gross income (Item 2 above) for the year			\$ 190,819

Report of Independent Certified Public Accountants

To the Board of Trustees,
Rockefeller Brothers Fund, Inc.:

We have examined the balance sheets of ROCKEFELLER BROTHERS FUND, INC. as of December 31, 1980 and 1979, and the related statements of support, revenue, expenses and changes in principal fund balance and other fund balances for the years then ended, and the supporting schedules listed in the accompanying index. Our examinations were made in accordance with generally accepted auditing standards and, accordingly, included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

In our opinion, the financial statements referred to above present fairly the financial position of Rockefeller Brothers Fund, Inc. at December 31, 1980 and 1979, and the results of its operations for the years then ended, and the supporting schedules present fairly the information included therein, all in conformity with generally accepted accounting principles applied on a consistent basis.

COOPERS & LYBRAND

New York, New York
April 15, 1981.

Rockefeller Brothers Fund, Inc. Balance Sheets

December 31, 1980 and 1979

	1980	1979
Assets		
Principal fund:		
Cash	\$ 104,111	\$ 131,494
Short-term investments, at cost, which approximates market value, as annexed	8,155,372	14,350,292
Long-term investments, at market value, as annexed (cost: 1980, \$105,456,129; 1979, \$110,295,604) (Note 7)	163,928,610	142,351,708
Program-related investments, at fair value, as annexed (cost: 1980, \$2,656,501; 1979, \$2,202,386)	2,116,516	1,637,746
Real estate, at cost to the donor (Note 4)	510,000	
Other assets	1,572	82,735
	174,816,181	158,553,975
Other funds, assets, principally investments (Note 3)	2,271,586	3,993,562
	<u>\$177,087,767</u>	<u>\$162,547,537</u>
Liabilities and Funds		
Principal fund:		
Federal excise tax payable	\$ 246,781	\$ 219,554
Fund balances, as annexed:		
Unpaid appropriations (including for 1980 \$1,325,978 authorized for special projects)	26,303,671	38,146,403
Unappropriated	148,265,729	120,188,018
	174,569,400	158,334,421
	174,816,181	158,553,975
Other funds (Note 3):		
Federal excise tax payable	4,791	5,654
Fund balances, as annexed	2,266,795	3,987,908
	2,271,586	3,993,562
	<u>\$177,087,767</u>	<u>\$162,547,537</u>

Statements of Support, Revenue, Expenses, and Changes in Principal Fund Balance

for the years ended December 31, 1980 and 1979

	1980	1979
Unappropriated		
Support and revenue:		
Contributions, cash in 1980 and securities in 1979	\$ 50,000	\$ 15,262
Dividend income	5,358,303	5,813,051
Interest income (Note 7)	7,075,212	5,358,115
Other, net	78,520	20,783
	12,562,035	11,207,211
Expenses:		
Program-related:		
Appropriations authorized (net of appropriations lapsed of \$622,368 in 1980, and \$76,934 in 1979) (Note 6)	9,593,747	10,989,891
Authorization for Special Projects	1,335,000	
Program support, as annexed	848,601	964,646
Advisory activities, as annexed	192,593	168,826
	11,969,941	12,123,363
Other:		
Investment services, as annexed	114,524	114,576
Administration, as annexed	508,273	605,289
Relocation expense, as annexed		180,575
Federal excise tax	244,875	219,554
	867,672	1,119,994
Less, Reimbursements, as annexed	56,323	85,646
	12,781,290	13,157,711
Deficiency of support and revenue over expenses before gain on investments	(219,255)	(1,950,500)
Net realized and unrealized gain on investments, as annexed	26,616,416	12,806,021
Excess of support and revenue over expenses after gain on investments	26,397,161	10,855,521
Beginning balance	120,188,018	108,665,025
Transfer from Special Fund of proceeds from sale of real estate		667,472
Transfer of remaining balance of Special Fund	1,680,550	
Ending balance	148,265,729	120,188,018

Unpaid appropriations

Appropriations authorized (Note 6)	10,216,115	11,065,825
Authorizations for Special Projects	1,325,978	
Appropriations paid or lapsed	(23,384,825)	(32,621,912)
Net decrease in unpaid appropriations	(11,842,732)	(21,556,087)
Beginning balance	38,146,403	59,702,490
Ending balance (Note 6)	26,303,671	38,146,403
Total principal fund balance, end of year	\$174,569,400	\$158,334,421

Statements of Support, Revenue, Expenses and Changes in Other Fund Balances (Note 3)

for the years ended December 31, 1980 and 1979

	1980			1979			
	Special Fund	Fund for the Ramon Magsaysay Award Foundation	Abby R. Mauzé Fund	Special Fund	Fund for the Advancement of Contemporary Social and Cultural Studies	Fund for the Ramon Magsaysay Award Foundation	Abby R. Mauzé Fund
Unappropriated							
Support and revenue:							
Interest income	\$ 95,287	\$ 79,001	\$ 160,574	\$ 81,310	\$ 2,018	\$ 75,093	\$ 126,204
Gain on sale of real estate				597,472			
	95,287	79,001	160,574	678,782	2,018	75,093	126,204
Expenses:							
Program related:							
Appropriations authorized (net of appropriations lapsed)		50,000	82,500	149	2,018	50,000	
Other:							
Salaries, employee benefits and consultant fees			56,287				
Federal excise tax	1,906	1,580	3,211	1,626		1,504	2,524
	1,906	51,580	141,998	1,775	2,018	51,504	2,524
Excess of revenue over expenses before loss on investments	93,381	27,421	18,576	677,007	—	23,589	123,680
Net realized and unrealized loss on investments	(20,939)	(84,312)	(74,690)	(28,256)		(65,605)	(62,870)
Excess (deficiency) of revenue over expenses after loss on investments	72,442	(56,891)	(56,114)	648,751		(42,016)	60,810
Beginning balances	1,608,108	803,810	1,575,990	1,626,829		845,826	1,515,180
Transfer to Principal Fund of proceeds from sale of real estate				(667,472)			
Transfer of fund balance to Principal Fund	(1,680,550)						
Ending balances	—	746,919	1,519,876	1,608,108	—	803,810	1,575,990
Unpaid appropriations							
Appropriations authorized		50,000	82,500	149	2,018	50,000	
Appropriations paid		50,000	82,500	7,372	38,331	50,000	
Net decrease in unpaid appropriations		—	—	(7,223)	(36,313)	—	
Beginning balances				7,223	36,313		
Ending balances				—	—		
Total fund balances, end of year	—	\$746,919	\$1,519,876	1,608,108	—	\$803,810	\$1,575,990
	746,919			803,810			
	1,519,876			1,575,990			
Total other fund balances, end of year	\$2,266,795			\$3,987,908			

Notes to Financial Statements

1. Summary of Significant Accounting Policies:

Income and expenses are generally accounted for on the cash basis and office furniture and equipment are charged to expense when acquired. However, the accompanying financial statements are not materially different from statements which would result from use of the accrual basis of accounting.

Investments in securities traded on a national securities exchange are valued based on published market quotations on the last business day of the year; securities traded in the over-the-counter market and listed securities for which no sale was reported on that date are valued based on the last bid price. Investments in corporate notes and foreign securities purchased through direct negotiation (aggregate value as of December 31, 1980 approximates \$2,700,000) are valued based on prices determined by the Fund's investment advisor. Program-related investments (aggregate value as of December 31, 1980 approximates \$2,100,000) with limited or no marketability are stated at fair value as determined by the Fund management.

Security transactions are recorded as of the settlement date (date cash payment is due for delivery of securities).

Donated securities are recorded at the market value at date of gift.

Realized gains and losses from sales of securities are determined on the specific identification basis.

Certain services are donated by related parties. The value of such services is not material and is not reflected in the accompanying financial statements.

2. Organization and Purpose:

Rockefeller Brothers Fund, Inc. is a nonprofit charitable corporation existing under the New York Not-for-Profit Corporation Law and is classified as a private foundation as defined in the Internal Revenue Code. The Fund's principal purpose is to make grants to local, national and international philanthropic organizations.

3. Other Funds:

Other funds consist of the Special Fund, the Fund for the Ramon Magsaysay Award Foundation and the Abby R. Mauzé Fund. As of December 31, 1980, the assets, liabilities and fund balance of the Special Fund were transferred to the Principal Fund. The assets, liabilities and fund balances for these funds as of December 31, 1980 and 1979 are as follows:

	<i>December 31,</i>	
	<i>1980</i>	<i>1979</i>
Special Fund		
Cash	\$	730
Short-term investments, at cost, which approximates market value		314,000
Long-term investments, at market value (cost: \$338,940 in 1979)		245,004
The Interchurch Center, \$540,000 second mortgage leasehold bonds, 5½%, due January 1, 1988, at cost		540,000
Real estate, at amounts based on cost to the donor		510,000
Total assets		1,609,734
Less, Federal excise tax payable		1,626
Fund balance		1,608,108
Fund for the Ramon Magsaysay Award Foundation		
Cash	\$	686
Short-term investments, at cost, which approximates market value, as annexed	84,000	56,000
Long-term investments, at market value, as annexed (cost: \$946,305 in 1980 and 1979)	663,813	748,125
Total assets	748,499	805,314
Less, Federal excise tax payable	1,580	1,504
Fund balance	746,919	803,810

	1980	1979
Abby R. Mauzé Fund		
Cash	24,087	24,824
Short-term investments, at cost, which approximates market value, as annexed	149,000	129,000
Long-term investments, at market value, as annexed (cost: \$1,493,808 in 1980 and 1979)	1,350,000	1,424,690
	1,523,087	1,578,514
Less, Federal excise tax payable	3,211	2,524
Fund balance	1,519,876	1,575,990
Total assets, other funds	<u>\$2,266,795</u>	<u>\$3,987,908</u>

4. Real Estate:

The Fund holds real estate subject to a lease agreement expiring in 2056 and other restrictions.

5. Pension Plan:

The Fund participates in the Retirement Income Plan for employees of Rockefeller Brothers Fund, Inc. et al., a non-contributory plan covering substantially all its employees. The Fund's pension expense under the plan was \$91,169 and \$102,852 in 1980 and 1979, respectively. The Fund makes annual contributions to the plan equal to the amount accrued for pension expense. The most recent actuarial valuation as of January 1, 1979 disclosed the following accumulated plan benefits and plan net assets:

Actuarial present value of accumulated plan benefits:

Vested	<u>\$1,183,915</u>
Nonvested	<u>Not Available</u>
	<u>\$1,183,915</u>

Net assets available for plan benefits

\$1,503,202

The assumed rate of return used in determining the actuarial present value of accumulated plan benefits was 6%, compounded annually.

6. Appropriations:

Appropriations include certain conditional grants which are generally contingent upon the grantee's receiving a similar amount of contributions from other donors. Approximately \$4,900,000 and \$4,000,000 of such conditional grants are included in unpaid appropriations as of December 31, 1980 and 1979, respectively. In addition, \$25,750,000 of the unappropriated fund balance has been reserved for possible future appropriation.

7. Securities Loaned:

The Fund loans certain stocks and bonds included in its investment portfolio to brokerage firms. In return, the Fund receives credit for deposits of cash or U.S. Treasury bills in an amount at least equal to the market value of the securities. Such cash is generally reinvested in short-term money market instruments.

The Fund's investment advisor has indemnified the Fund against losses arising from these transactions.

The Fund retains all rights of ownership to the securities loaned and, as such, receives all interest and dividend income. At December 31, 1980 and 1979, the market value of securities loaned under this arrangement approximated \$15,000,000 and \$23,000,000, respectively.

8. Expenses:

"Program Support" covers expenses directly related to the processes of program management encompassing functions of planning and development as well as control and evaluation of grants. "Advisory Activities" comprise amounts expended by the Fund in providing advisory or consultative services on subjects of mutual interest to charitable organizations outside the context of a grantee relationship. "Relocation Expense" consists of expenditures related to the relocation of the Fund's offices during 1979.

9. Commitments:

The Fund has an operating lease commitment for office facilities. The future minimum rental payments required under this lease are as follows:

1981	\$ 163,418
1982	170,306
1983	170,306
1984	170,515
1985	172,810
1986-88	<u>518,430</u>
Total	<u>\$1,365,785</u>

Rent expense of \$164,333 and \$162,815 for 1980 and 1979, respectively, is included in the Schedule of Functional Expenses.

Schedule of Functional Expenses, Principal Fund

for the year ended December 31, 1980 with Comparative 1979 Totals

	Program Support (Note 8)	Advisory Activities (Note 8)	Investment Services	Administration	1980 Total	1979 Total
Salaries and related expenses						
Salaries	\$376,575	\$103,785		\$250,622	\$ 730,982	\$ 851,344
Retirement plan contributions (Note 5)	46,970	12,946		31,253	91,169	102,852
Group life insurance	17,067	4,704		11,356	33,127	40,479
Thrift plan	20,125	5,547		13,390	39,062	45,680
Other employee benefits	26,571	7,323		17,679	51,573	55,002
Unemployment and disability insurance	7,344	2,024		4,887	14,255	17,948
Social security tax	18,190	5,014		12,103	35,307	38,052
	512,842	141,343		341,290	995,475	1,151,357
Other expenses						
Consultants' fees	149,819				149,819	143,456
Investment services			\$114,524		114,524	114,576
Legal and audit fees				44,786	44,786	74,118
New York State transfer tax				1,079	1,079	11,979
Travel	39,613	10,920			50,533	45,575
Rent and electricity (Note 9)	84,665	23,335		56,333	164,333	162,815
Telephone	21,647	5,966		14,404	42,017	38,459
Furniture and equipment				4,248	4,248	
General office expenses	32,554	8,972		41,169	82,695	96,071
Publications	7,461	2,057		4,964	14,482	14,931
Relocation expense (Note 8)						180,575
	\$848,601	\$192,593	\$114,524	\$508,273	1,663,991	2,033,912
Less, Reimbursement received for share of expenses:						
Rockefeller Family Fund, Inc. (including \$29,019 in 1979 as reimbursement for relocation expense)					56,323	84,376
Charitable Trust under the will of Winthrop Rockefeller						1,270
					56,323	85,646
					\$1,607,668	\$1,948,266

Schedule of Investments, Principal Fund

December 31, 1980

Summary of Investments

	<i>Cost</i>	<i>Value (Note 1)</i>
Short-term investments	\$ 8,155,372*	
Long-term investments		
U.S. Government and agency bonds	\$ 9,522,386	\$ 8,379,747
U.S. Treasury notes	16,925,168	16,288,412
Foreign governments and other foreign bonds	980,340	617,320
Corporate bonds	10,844,464	8,403,993
Corporate notes	9,721,452	8,370,200
Common stocks	57,462,319	121,868,938
	\$105,456,129	\$163,928,610
Program-related investments	\$ 2,656,501	\$ 2,116,516
	<i>Principal Amount</i>	<i>Cost*</i>
Short-term investments		
Commercial paper:		
Bank of America, 14.50%, May 4, 1981	\$ 1,000,000	\$ 1,000,000
Notes due on demand (at prevailing market interest rates):		
Allstate Financial Corp.	45,000	45,000
General Electric Credit Corp.	308,000	308,000
General Motors Acceptance Corp.	4,551,000	4,551,000
Sears Roebuck Acceptance Corp.	485,000	485,000
		5,389,000
U.S. Treasury bills:		
Due June 18, 1981	830,000	768,851
Due October 8, 1981	1,130,000	997,521
		1,766,372
Total short-term investments		\$ 8,155,372

Continued

*Approximates market value.
See accompanying notes.

	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments			
U.S. Government and agency bonds:			
Federal Farm Credit Bank, 13.25%, April 22, 1985	\$1,000,000	\$ 1,000,000	\$ 1,008,750
Federal Home Loan Banks:			
10%, February 25, 1981	1,000,000	1,000,000	987,810
9.15%, May 25, 1982	1,000,000	1,000,000	946,250
8.1%, November 25, 1985	1,000,000	1,021,250	830,000
		3,021,250	2,764,060
Federal National Mortgage Association:			
8.2%, July 10, 1984	1,000,000	980,000	866,250
7.9%, October 10, 1985	2,000,000	2,000,000	1,642,500
8.8%, October 10, 1985	520,000	519,029	445,250
9.2%, April 10, 1986	1,000,000	971,250	860,000
		4,470,279	3,814,000
Federal Land Bank, 7.25%, July 20, 1987			
	450,000	396,562	342,563
U.S. Postal Service, 6.875%, February 1, 1997			
	300,000	294,375	183,750
U.S. Treasury, 6.75%, February 15, 1993			
	400,000	339,920	266,624
Total U.S. Government and agency bonds		\$ 9,522,386	\$ 8,379,747
U.S. Treasury notes:			
9.75%, January 31, 1981	1,000,000	\$ 998,220	\$ 995,000
9.75%, February 28, 1981	500,000	499,110	495,000
9.625%, March 31, 1981	1,000,000	999,030	985,940
7.375%, May 15, 1981	800,000	765,496	777,752
9.75%, May 31, 1981	500,000	499,820	489,690
9.125%, June 30, 1981	1,000,000	998,300	976,250
9.375%, July 31, 1981	1,000,000	999,380	971,880
8.375%, August 15, 1981	200,000	200,250	192,500
12.625%, October 31, 1981	2,000,000	1,998,970	1,983,760
13.875%, February 28, 1982	1,000,000	998,220	1,006,880
15%, March 31, 1982	1,000,000	999,830	1,021,250
9%, August 15, 1982	1,000,000	998,450	940,630
12.125%, October 31, 1982	1,000,000	995,620	985,630
11.875%, August 15, 1983	1,000,000	979,375	985,000
7.25%, August 15, 1984	1,000,000	996,250	849,380
11.75%, November 15, 1985	1,000,000	998,350	976,250
7.875%, May 15, 1986	2,000,000	2,000,497	1,655,620
Total U.S. Treasury notes		\$16,925,168	\$16,288,412
Foreign government and other foreign bonds:			
City of Winnipeg, Canada, 4.75%, November 1, 1989	500,000	\$ 500,000	\$ 296,250
TransCanada Pipeline Ltd.: 5.125%, May 1, 1985	68,000	68,340	47,090
6.625%, August 1, 1987	412,000	412,000	273,980
Total foreign government and other foreign bonds		\$ 980,340	\$ 617,320

Continued

Long-term investments, continued	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Corporate bonds:			
Utilities:			
General Telephone and Electronics Corp., convertible subordinated debentures:			
4%, March 15, 1990	\$ 115,000	\$ 117,300	\$ 66,269
5%, December 15, 1992	500,000	500,000	303,125
Mountain States Telephone and Telegraph Co., 7.75%, June 1, 2013	750,000	750,000	450,938
Northern Illinois Gas Company, 6%, August 1, 1991	425,000	321,406	265,094
Pacific Gas and Electric Co., 5%, June 1, 1989	250,000	196,818	148,750
Pacific Power and Light Company, 3.50%, August 1, 1984	200,000	209,500	142,250
Pacific Telephone and Telegraph Co., 6%, November 1, 2002	500,000	427,500	233,750
Southern Bell Telephone Co., 7.625%, March 15, 2013	750,000	750,000	442,500
Transcontinental Gas Pipe Line Corporation, 5%, November 1, 1981	44,000	44,565	40,315
		3,317,089	2,092,991
Financials:			
Charter New York Corp., 5.75%, August 1, 1991	500,000	458,775	279,375
General Motors Acceptance Corp., 4.625%, March 1, 1983-2079	900,000	821,903	765,000
International Bank for Reconstruction and Development: 8.15%, January 15, 1985	1,000,000	990,000	843,750
5%, February 15, 1985	100,000	100,000	76,625
John Deere Credit Co., Deb., Series B, 4.75%, April 1, 1981	500,000	493,750	490,000
Macy Credit Corp., Deb.: 4.75%, November 1, 1981	700,000	650,392	639,872
4.875%, June 1, 1985	250,000	247,625	175,000
		3,762,445	3,269,622
Industrials:			
Standard Oil Co. (Indiana), 9.2%, July 15, 2004	2,000,000	2,038,750	1,540,000
Union Tank Car Co. Equipment Trust, 9.875%, July 1, 1990	728,000	726,180	585,130
Union Oil Co. of California, 8.375%, December 1, 1982	1,000,000	1,000,000	916,250
		3,764,930	3,041,380
Total corporate bonds		\$10,844,464	\$ 8,403,993

Continued

Long-term investments, continued	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Corporate notes			
ARCO Pipelines Co., 8%, January 15, 1982	\$1,000,000	\$ 995,000	\$ 943,750
Bank of Hawaii, 4.7%, October 15, 1989	191,667	191,667	104,698
Bell Telephone Co. of Canada, 4.875%, May 1, 1988	200,000	199,280	126,000
Central Trust Co. (Rochester, N.Y.), 4.875%, June 1, 1989	148,000	148,000	87,320
Chemical Bank, New York Trust Co., 5.875%, January 1, 1992	400,000	398,700	232,500
City National Bank (Detroit, Mich.), 4.75%, February 1, 1990	150,000	150,000	93,000
Continental Mortgage Investors, 5%, April 1, 1989	500,000	500,000	1
Digital Equipment Corp., 8.875%, June 15, 2005	700,000	700,000	855,750
Ethyl Corp., 5.75%, November 1, 1982	510,000	396,515	451,350
First Jersey National Bank (Jersey City, N.J.), 4.75%, June 1, 1990	125,000	125,000	65,469
Glens Falls National Bank & Trust Co. (Glens Falls, N.Y.), 4.875%, September 1, 1989	151,000	151,000	87,769
Hilo Electric Light Co., Ltd., 5.875%, March 1, 1989	396,000	396,000	291,060
Industrial Acceptance Corp., Ltd., 5.50%, October 15, 1987	250,000	250,000	166,875
International Telephone & Telegraph Credit Corp., 5.10%, December 1, 1984	125,000	125,000	125,000
Iowa Electric Light and Power Co., 5.125%, January 1, 1991	500,000	500,000	277,500
Michigan Gas Utilities Co., 4.70%, February 1, 1990	202,000	202,000	113,373
Norfolk and Western Railway Co., Convertible: 4.625%, October 1, 1981	2,000,000	1,564,000	1,910,000
4.625%, January 1, 1983	1,200,000	907,800	1,098,000
Pennsylvania Life Co., Convertible, 5%, August 1, 1983	84,113	84,113	51,894
Pennsylvania Railroad Co., Conditional Sales Contracts, 5.75%, February 15, 1986	100,000	100,000	70,500
Ryan Homes Inc., Convertible, 6%, July 15, 1991	300,000	300,000	246,750
Sears, Roebuck and Co., 8.375%, December 31, 1986	1,000,000	998,000	762,500
Virginia National Building Corp., 4.70%, May 1, 1990	339,377	339,377	209,141
Total corporate notes		\$ 9,721,452	\$ 8,370,200

Continued

Long-term investments, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Common stocks:			
Automotive Equipment, Machinery, and Machine Parts:			
Caterpillar Tractor Co.	50,000	\$ 1,449,083	\$ 2,900,000
General Motors Corp.	20,000	1,371,905	900,000
Purolator Inc.	60,000	3,827,370	2,010,000
		6,648,358	5,810,000
Building Products and Homebuilding:			
Masco Corp.	80,000	1,204,952	2,430,000
Weyerhaeuser Co.	60,000	1,757,460	2,047,500
		2,962,412	4,477,500
Chemicals:			
Air Products & Chemicals Inc.	35,000	1,713,712	1,448,125
Eastman Kodak Co.	30,000	177,963	2,092,500
		1,891,675	3,540,625
Computer and Office Equipment:			
International Business Machines Corp.	93,000	676,321	6,312,375
Xerox Corp.	18,000	1,834,209	1,077,750
		2,510,530	7,390,125
Consumer Products and Services:			
American Express Co.	65,000	1,605,605	2,616,250
PepsiCo, Inc.	20,000	652,000	545,000
Procter & Gamble and Co.	40,000	2,849,360	2,755,000
		5,106,965	5,916,250
Electrical Equipment:			
General Electric Co.	50,000	1,159,666	3,062,500
Grainger (W.W.), Inc.	70,000	833,350	2,415,000
		1,993,016	5,477,500
Financials:			
Chase Manhattan Corp.	100,000	2,498,980	4,812,500
Wells Fargo & Company	100,000	2,554,008	2,850,000
		5,052,988	7,662,500
Insurance:			
Connecticut General Insurance Co.	70,000	2,289,320	3,255,000
Continental Corp.	60,000	1,126,906	1,447,500
		3,416,226	4,702,500

Continued

Long-term investments, continued	Shares	Cost	Market Value (Note 1)
Metals and Minerals:			
Aluminum Co. of America	30,000	\$ 1,335,844	\$ 1,788,750
Freeport Minerals Co.	67,500	693,524	4,109,063
		2,029,368	5,897,813
Oils and Oil Services:			
Conoco Inc.	40,000	1,271,488	2,615,000
Exxon Corporation	130,000	2,510,560	10,481,250
Halliburton Co.	56,000	1,541,251	4,676,000
Mobil Corp.	220,000	2,069,320	17,765,000
Smith International, Inc.	86,000	624,188	5,536,250
Standard Oil Company of California	100,000	1,790,500	9,950,000
		9,807,307	51,023,500
Pharmaceutical and Health:			
Lilly (Eli) & Co.	40,000	1,509,225	2,550,000
Merck & Co., Inc.	30,000	1,395,140	2,542,500
Pfizer Inc.	50,000	1,829,435	2,675,000
		4,733,800	7,767,500
Railroads:			
Southern Railway Co.	30,000	1,530,875	2,415,000
Retail:			
Federated Department Stores	85,000	3,208,398	2,422,500
Utilities:			
American Telephone & Telegraph Co.	45,000	2,487,380	2,154,375
Duke Power Co.	50,000	915,550	906,250
Houston Natural Gas Corp.	50,000	1,351,013	2,700,000
Northern States Power Co.	40,000	1,036,455	860,000
Texas Utilities Co.	40,000	780,003	745,000
		6,570,401	7,365,625
Total common stocks		\$57,462,319	\$121,868,938
Program-related investments:			
Cooperative Assistance Fund, investment units, valued at cost		\$1,000,000	\$1,000,000
The Interchurch Center, \$540,000 second mortgage leasehold bonds, 5 1/2 %, due January 1, 1998, valued at cost		540,000	540,000
Ramon Magsaysay Award Foundation, first mortgage loan receivable, 6 % payable annually through December 31, 1993		1,116,501	576,516
Total program-related investments		\$2,656,501	\$2,116,516

Schedules of Net Realized and Unrealized Gain on Investments, Principal Fund

for the years ended December 31, 1980 and 1979

	1980	1979
Realized gain from security transactions (excluding short-term investments):		
Proceeds from sales and redemptions	\$15,494,921	\$37,756,569
Identified cost of securities sold and redeemed	15,434,412	32,340,382
Net realized gain	60,509	5,416,187
Unrealized gain on investments:		
End of year	57,932,496	31,491,464
Less:		
Beginning of year	31,491,464	24,101,630
Unrealized loss transferred from Special Fund	(114,875)	
Net unrealized gain	26,555,907	7,389,834
Net realized and unrealized gain on investments	\$26,616,416	\$12,806,021

Schedule of Investments, Other Funds

December 31, 1980

	<i>Principal Amount</i>	<i>Cost*</i>	
Fund for the Ramon Magsaysay Award Foundation			
Short-term investments			
Notes due on demand (at prevailing market interest rates):			
American Express Credit Corp.	\$ 33,000	\$ 33,000	
Allstate Financial Corp.	27,000	27,000	
General Motors Acceptance Corp.	3,000	3,000	
Sears Roebuck Acceptance Corp.	21,000	21,000	
		\$ 84,000	
		<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments			
Bonds:			
U.S. Treasury bond, 7.25%, August 15, 1992	950,000	\$ 946,305	\$663,813
		<i>Cost*</i>	
Abby R. Mauzé Fund			
Short-term investments			
Notes due on demand (at prevailing market interest rates):			
Allstate Financial Corp.	1,000	\$ 1,000	
General Electric Credit Corp.	29,000	29,000	
General Motors Acceptance Corp.	36,000	36,000	
Sears Roebuck Acceptance Corp.	83,000	83,000	
		\$ 149,000	
		<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments			
Bonds and notes:			
Federal Home Loan Bank, 9.05%, February 27, 1984	500,000	\$ 495,313	\$ 449,375
U.S. Treasury notes:			
9.375%, December 31, 1982	500,000	498,775	471,250
9%, February 15, 1987	500,000	499,720	429,375
		\$1,493,808	\$1,350,000

*Approximates market value.
See accompanying notes.

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(1) *Until June 27, 1980*
(2) *Effective June 27, 1980*
(3) *Effective June 27, 1980*
(4) *Until June 27, 1980*
(5) *Until June 27, 1980*

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George Putnam, Chairman⁽²⁾
James H. Evans
Henry H. Fowler
Eli Shapiro

(1) Until June 27, 1980

(2) Effective June 27, 1980

(1) Effective June 27, 1980; Vice Chairman prior to that date

(2) Effective June 27, 1980; Chairman prior to that date

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Barbara Y. Newsom⁽⁴⁾
Hilary K. Palmer⁽⁵⁾
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Barbara Y. Newsom⁽⁶⁾
Albert R. Ravenholt
Marjorie S. Ravenholt
Thomas W. Wahman

Contributions

Foundation managers who have made a number of contributions to the Rockefeller Brothers Fund are Laurance S. Rockefeller, David Rockefeller, and the late Abby R. Mauzé, John D. Rockefeller 3rd, Nelson A. Rockefeller, and Winthrop Rockefeller. Only Winthrop Rockefeller has contributed more than two percent of the total contributions received by the Fund.

In addition to a major gift which he made in 1951, the late John D. Rockefeller, Jr. bequeathed one-half of his estate to the Fund in 1960. In 1971, following the death of Martha B. Rockefeller, the Fund was the beneficiary of a trust in which she held a life interest and a trust she had created in which the Fund had a contingent beneficial interest.

Foundation Managers

Trustees and officers are "foundation managers" within the meaning of Section 4946(b) of the Internal Revenue Code with respect to all activities of the Fund.

(1) Until 4/30/80

(2) Until 10/31/80

(3) Until 12/31/80

(4) Until 8/31/80; Consultant effective 9/1/80

(5) Part-time

(6) Effective 9/1/80

*As of December 31, 1980

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