
ROCKEFELLER BROTHERS FUND

ANNUAL REPORT

1983

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RBF

ROCKEFELLER BROTHERS FUND, INC.

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ROCKEFELLER BROTHERS FUND

ANNUAL REPORT

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INTRODUCTION

The Rockefeller Brothers Fund's interest in conservation, which dates back to the Fund's beginnings and which grew directly from the strong commitment of the founding trustees, has over the years involved the Fund in a wide range of exploration, research, and action dealing with the uses and abuses of land. Some of the Fund's earliest efforts involving land use were directed toward helping preserve open space and historic areas, including the Grand Teton and Virgin Islands National Parks. In time, the RBF's concern expanded beyond wilderness areas to include the urban environment, and led to such projects as the study *The Use of Land: A Citizen's Policy Guide to Urban Growth*, produced in 1973 with Fund support by the Citizens' Advisory Committee on Environmental Quality.

Also in the early 1970's, concern for improving the lives of the rural poor in the South—many of whom were sharecroppers—led the Fund to explore the problems faced by small farmers in that region and the reasons for the then-growing rate at which minorities in the South were losing their land. RBF support, over a period of years, for such organizations as the Opportunity Funding Corporation, the Emergency Land Fund, the Rural Advancement Fund of the National Sharecroppers Fund, the Delta Foundation, and the National Rural Center, led to an increasing awareness of and involvement with broad agricultural land-use issues on the national level.

For the past four years, much of the Fund's work related to agricultural land use in the United States has been focused on the creation and development of a new organization—the American Farmland Trust. The essay that follows, in sketching the background and some of the accomplishments of the Trust, provides an example of one of the ways in which the Rockefeller Brothers Fund identifies, approaches, and begins to deal with an issue of major importance to the nation. And while the work described was carried out under the Fund's previous program, the RBF's experience with issues of land use is not unrelated to the Fund's new One World—Resources program.

IDENTIFYING A PROBLEM

If there is one field of human accomplishment in which the United States remains the undisputed leader, it is in the production of food. Our “amber waves of grain” are the underpinning of economic and social stability in America and, increasingly, the best hope for alleviating hunger throughout the developing world. Indeed, so successfully have American farmers met the challenge of feeding a growing population in this country and abroad that in recent decades we have taken our bountiful harvests for granted. For most of us, food comes from the supermarket, and we rarely think of its continued availability.

The remarkable success of American agriculture has been built on a broad foundation. To start with, we have a temperate climate that the very first settlers recognized as nearly ideal. The institutions of an open marketplace and private property have given farmers an incentive to produce, for themselves and for society. Agricultural research has steadily developed the technology of farming, from the moldboard plow to the modern hybrids of the “Green Revolution” which have doubled crop yields since World War II. Perhaps most important, there is our land—millions upon millions of acres of some of the richest soils on the planet. No other nation has been endowed with such fertility. The roots of American agricultural success go deep into this prime ground, this abundant resource. With such accomplishments—each American farmer now feeds 78 other people—our complacency about food would seem justified.

In the late 1970's, the RBF looked beyond this conventional wisdom of the unlimited American cornucopia to make a careful examination of how our food-producing resources are being used. The Fund discovered that some fundamental changes were taking place in American agriculture, hastened by a series of events that boiled over the horizon during the 1970's like an approaching hailstorm at harvest time.

The 1973 oil embargo that sent shock waves through the world economy did not leave American agriculture unscathed. The price of tractor fuel, as well as of fertilizers and agrichemicals, climbed along with that of gasoline. These increases contributed to a leveling off of crop yields after an uninterrupted upward spiral of several decades. Today, per-acre productivity on American farms is increasing at only half the rate of the 1960's. The “Green Revolution” has lost much of its impetus.

On top of the energy crisis came a Russian grain deal that dramatically expanded export demand for American agricultural commodities, leading farmers to plant “fencerow to fencerow” to satisfy it. The new lands they brought under cultivation were for the most part marginal, not so fertile as our prime farmlands and more susceptible to soil erosion. A decade later, four out of 10 acres of American cropland produce food for export, while in some regions of this country, erosion has worsened to the point that farmers are losing a bushel of soil for every bushel of corn they grow.

But there was one additional trend of the 1970’s that had even more significant implications for American agriculture. The latest Census revealed that, for the first time in the history of the Republic, nonmetropolitan areas were growing faster than the cities and suburbs. A population exodus to the rural countryside was consuming millions of acres of prime American farmland. So much of it, later analysis confirmed, that in the decade prior to 1977 Americans paved over an area equal to Vermont, New Hampshire, Massachusetts, Rhode Island, Connecticut, Delaware, and New Jersey combined. This conclusion of the U.S. Department of Agriculture’s *National Agriculture Lands Study*, published in 1981, translated into the startling revelation that every day 12 square miles of rural land were being planted with housing developments and shopping malls—the land’s “last crop.”

Viewed in the context of the constraints implied by diminishing returns on agricultural technology and the inexorably increasing demand for our farm output, the conversion of so much American farmland to nonagricultural uses gave policymakers cause for deep concern. Former Interior Secretary Cecil Andrus said the United States was pursuing a policy of “pave now, pay later.” And Secretary of Agriculture John Block called the loss of prime farmland a “potential crisis.”

MOVING TOWARD SOLUTIONS

Not long after farmland conversion first captured public attention, a *Washington Post* editorial observed: “For once an impending problem has been identified before it reaches crisis proportions. It remains to be seen whether the will to do something about it can be summoned while the solutions are still relatively painless.” The implication was that both the status quo and reformist sentiment were represented by a wide variety of interest groups, and that reconciling them would not be easy.

To some farmers, for instance, the land is a “pension plan” to be cashed in by subdividing their fields into lots when it comes time to retire. Although the practice is understandable, the new subdivision jeopardizes the agricultural livelihood of other nearby farmers when its residents are bothered by manure odors, and when its developers see prime farmland as the best buildable land, flat and well-drained, needing few improvements that can add to the cost of new homes. But the conversion of this land means one less customer for the agricultural service businesses—the equipment dealers, the seed companies, the fertilizer suppliers—that provide the infrastructure on which the farmer depends, and which in turn depend on a critical mass of working farms to stay in business.

To some public officials, farmland represents the local tax base and sites for new schools or a sewage treatment plan. Other officials recognize that the conversion of cropland into housing tracts means an additional demand for public services and pressure to increase taxes. For millions of ordinary Americans, the scenic, open countryside gives welcome respite from crowded urban surroundings. These same fields and pastures, of course, are the ultimate source of the food on the supermarket shelves.

How, indeed, to strike a balance among all these competing interests?

The Fund’s investigation led it to the conclusion that existing institutions, representing rather narrow bureaucratic or private interests and tending toward the extremes of detached academia or political activism, were inadequate to the task. Through a grant to The Conservation Foundation, the Fund initiated an exploration of the possibility of creating a new kind of institution to follow up on the report of the *National Agricultural Lands Study* and to do what was necessary to promote the conservation of American farmland. Such an institution, it soon became clear, would have to be able to work with government in the public interest, yet remain independent to pursue private approaches to keeping private property in agriculture. It would have to be equipped to undertake sophisticated research, but also be able to translate studies into action. Above all, it would have to promote a common ground where agriculturalists and conservationists, businessmen and scholars, public officials and private citizens could work together toward a single goal—stewardship of the land that feeds America and much of the world.

From this ambitious prescription emerged, in 1980, the American Farmland Trust, the only national nonprofit institution committed exclusively to the conservation of agricultural land resources. With the initial support and guidance of the Fund, this new institution set out to fulfill its mission through a three-pronged strategy motivated by a “middleground” philosophy of achieving practical results by fostering consensus rather than confrontation, and by attempting to synthesize the best that the public and private sectors had to offer.

Essential to dealing successfully with the problem of farmland conversion in the face of public complacency is the task of informing people and their representatives about the facts and their implications. Thus, the first element of the AFT strategy is public education and serving as a clearinghouse for information about farmland conversion, its causes, and methods of preventing it. These efforts lay the groundwork for the reform of public policies so as to conserve prime farmland while allowing for development on less productive soils. The AFT pursues this second objective by providing expert technical assistance to state and local governments, bringing the results of its own research and a nationwide perspective on how solutions can be tailored to local circumstances. Finally, but not least important, the AFT attempts to demonstrate to others how the private sector can make a contribution to protecting a “working landscape” that is a fabric of private property. In this third strategy, it is following in the footsteps of organizations like The Nature Conservancy, securing interests in real estate to conserve farms one at a time—which, after all, is the way they are taken out of agriculture.

The three-pronged AFT strategy has been effective, not just as a result of its broad and ambitious scope, but also because its elements are thoroughly integrated. There are no definitive boundaries between its informational research and its policy advocacy, or between its work with private landowners and its cooperation with government. And this is, by choice, a further manifestation of the AFT’s “middleground” approach to the diverse challenges it faces. Some examples will illustrate how this approach is achieving results.

**Lancaster County, just beyond the Philadelphia suburbs, is widely known as the home of the “Pennsylvania Dutch,” an agrarian society of Amish and Mennonite families who cultivate tidy fields with horse-drawn plows. What most people do not know is that this county is also one of the most astonishingly fertile agricultural regions in the world. Its farmers grow more food per acre, measured by its dollar value, than any other county in the United States, contributing more than 18 percent of the total farm production of all 67 counties in a state where—again it comes as a surprise—agriculture is the leading industry. But this incredible bounty is under siege by suburban sprawl.

To help Lancaster cope with the problem of farmland conversion, the AFT has participated in local workshops to acquaint farmers with private options for keeping land in agriculture, and is negotiating with a number of landowners to secure conservation easements on their property. To help assure the favorable tax treatment of the easements that will provide an incentive to the landowners, the AFT arranged a special meeting with the Internal Revenue Service in Washington to enable Lancaster officials to explain their local public policies favoring farmland conservation, policies on which tax incentives depend and that an AFT Advisory Committee member, himself a Lancaster farmer, was instrumental in formulating.

Recognizing that Lancaster would need help from the state, and that it is not the only county in Pennsylvania troubled by farmland conversion, the AFT initiated a joint venture with the Pennsylvania Farmers Association, an affiliate of the American Farm Bureau Federation. The Pennsylvania Farmland Project that emerged from this cooperation is educating farmers all over the state about private land conservation techniques, creating additional opportunities for AFT to acquire farmland easements. And now the Project has brought the technical expertise of the AFT staff to bear on the challenge of developing a program for state purchase of easements from farmers, a policy initiative made possible by a public opinion survey, commissioned by the AFT-PFA project, which showed broad public support for the idea.

**For strategic reasons, the AFT concentrated on farmland conversion for its first two years, but from the start soil erosion, the other agricultural resource problem that had been identified in the *National Agricultural Lands Study*, had been on its agenda. It made little sense, the group's leaders knew, to keep the land in agriculture if the soil was allowed to blow or wash away, destroying the land's productivity. In 1982, the AFT was able to enlarge its scope and begin work in soil conservation, obtaining a major grant from the Andrew W. Mellon Foundation to conduct the most comprehensive, independent examination of the issue in the past 50 years, a study commissioned by a Congressional agricultural subcommittee.

The principals of the study were Robert J. Gray, the AFT Director of Policy Development who had formerly headed the *National Agricultural Lands Study*, and Norman A. Berg, an AFT Senior Advisor who had recently retired as chief of the U.S. Soil Conservation Service. They assembled a team of agricultural experts to analyze the latest erosion data, investigate governmental soil conservation programs, and conduct personal interviews with 700 farmers in six Midwestern states to evaluate private conservation efforts and landowner attitudes. The findings of the study, *Soil Conservation In America: What Do We Have To Lose?*, surprised many policymakers. What it showed was that most erosion was highly concentrated on a very small percentage of total U.S. cropland, and that traditional conservation programs were largely ineffective in treating this land.

The case for policy reform that the AFT made has prompted Congress to consider the most sweeping changes in national soil conservation policy since the Dust Bowl. One of the reforms the AFT recommended is the establishment of a "conservation reserve" into which farmers would be encouraged to place highly erosive cropland, turning it into productive pasture or forestland. Incentives would be provided through government payments not unlike those now made to control temporary surpluses of specific farm commodities. This linkage of federal agricultural adjustment policy with soil conservation, the AFT study showed, could save both precious topsoil and taxpayer dollars. For their contribution to the policy dialogue, AFT's Gray received the Gulf Oil Conservation Award and Berg was honored with the National Award for Agricultural Excellence, the first conservationist to be so recognized.

**The confidence that the AFT's "middleground" philosophy has earned it resulted, last year, in an extraordinary contribution to the organization, a 390-acre Vermont dairy farm located in the very heart of a fertile, picture postcard valley that has supported agriculture since the birth of the Republic, but a region now under development pressure generated by a nearby city and by several ski resort communities. Inspired by the generosity of the donors, a retired couple who had been leasing the farm to a young family, the AFT accepted the challenge of preserving the entire Pleasant Valley for agriculture, a project that will require all the ingenuity and resources the organization can muster.

With support from a New England foundation, the AFT recently completed the first step, a comprehensive inventory of the agricultural land resources in the valley, including soil surveys and ownership patterns. Its staff has now begun to work with individual landowners to devise private conservation strategies to assure that each working farm can remain economically viable and that the land on which agriculture depends will be protected in perpetuity. Proceeds from the eventual sale by AFT of Sugar Bush Farm, to the family that continues to operate it, will be plowed back into the valley to help finance private farmland conservation transactions. Meanwhile, with AFT encouragement and technical assistance, Vermont officials are examining a range of potential governmental programs that could be applied to save Pleasant Valley farms, and would become a model for a statewide agricultural land conservation program. The 1983 AFT Annual Report perhaps sums up best the organization's optimistic expectations: "From a single seed, a bumper crop is in prospect."

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 six years, the Fund has made a number of grants from capital (see the RBF Annual Report for 1978), which have so far reduced the principal endowment by over \$100 million. The assets of the RBF at the end of 1983 were \$160,055,365 and its 158 payments during the year amounted to \$26,208,888, including approximately \$18.4 million from principal. Since 1940, the RBF has disbursed a total of \$326,447,228 in grants.

In June, 1983, the trustees of the Rockefeller Brothers Fund adopted program recommendations presented in a report from the Fund's planning committee. The report, the result of almost two years of work by a committee of the Fund's trustees, recommended that the principal part of the Fund's program be organized around the theme of global interdependence—One World—with two major components: Resources and Security. The resources component of the program hopes to address issues with a global consciousness and with a recognition of the need for balance and foresight in resources management for the benefit of mankind. The security component is defined broadly to include issues specifically related to arms control and those involving international relations, development, trade, and finance. The report also recommended that the Fund continue its interests in New York City and in the well-being of the private, nonprofit sector.

While the Planning Committee Report identifies the general areas of the Fund's interests in coming years, and the reasons for these recommendations, it is not sufficiently specific to be used as a statement of guidelines by those considering submitting a proposal to the RBF. The trustees of the Fund are currently working to identify the approaches and strategies to be employed in this new program, and a more specific statement of guidelines should be available by early 1985.

It is anticipated that most of the Fund's grants in 1984 will be devoted to the phasing out of portions of the previous program. These phase-out grants will allow the orderly conclusion of projects that have been undertaken with the assistance of the RBF, and will help to provide grantee institutions time to identify new sources of support.

In the meantime, the RBF is interested in learning about organizations and projects that fall within the general scope of the Fund's future interests. In most instances, a two- or three-page letter describing the goals and strategies of an institution or project would be an appropriate first step.

In 1983, the Fund made grants in the three areas defined by the previous program—national, New York City, and international; continued to explore the field of security/arms control; and made an initial grant under the new resources program. The policy guidelines established by the board of trustees for the previous program, under which most of the 1983 grants were made, follow. These guidelines do not, of course, reflect the future interests of the Fund.

NATIONAL PROGRAM

Domestic Development Finance. Emphasis: support of efforts to focus public and private investment on critical national needs.

Producing and Conserving Basic Resources:

Preserving America's Farmland. Emphasis: efforts to reduce the loss of prime agricultural land and to preserve this vital national resource.

Conserving America's Water. Emphasis: efforts to spread the implementation of innovative water management that emphasizes resource recovery systems.

Employment Policy and Job Development. Emphasis: strengthening private-sector remedies to unemployment through local economic development training and other economic development activities.

The Well-being 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.

Other Critical Issues. In keeping with the diverse interests of the trustees of the RBF, grants were 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.

NEW YORK CITY PROGRAM

The focus of the New York City program has been on economic development in New York City, specifically in the four fields described below.

Governmental Efficiency. Emphasis: efforts to help the city function as an accountable municipality.

Economic Growth and Stabilization. Emphasis: projects to help the city retain and attract business.

Employment and Skill Development. Emphasis: projects that enable the city's residents to become more productive citizens.

Creative Living Environment. Emphasis: efforts to help the city continue as a center of cultural preeminence.

INTERNATIONAL PROGRAM

Grants were 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.

Eco-Development. Emphasis: the drawing together of conservation and the use and management of land and marine resources through projects in planning, training, education, and regional cooperation and through experimental ventures in the wider Caribbean area.

Human Dignity, Individual Liberties, and the Law. Emphasis: legal protection of human dignity and individual liberties.

ROCKEFELLER BROTHERS FUND AWARDS IN ARTS EDUCATION

In 1983, the Fund conducted the third cycle in what is intended to be a five-year series of annual awards to individual public elementary and secondary schools with outstanding programs in arts education. Awards go to schools whose arts programs are marked by high quality and significant achievement, worthy of national recognition and emulation. Through the awards program, the Fund hopes to enhance the quality and quantity of students' engagement with the arts by encouraging schools to sustain and expand outstanding programs, and by making these programs widely known.

To be eligible for an award, a school's arts program need not be large, elaborate, or expensive. The Fund is interested in all kinds of programs that, in the school's judgment, meet a high standard of excellence.

Schools that receive Rockefeller Brothers Fund Awards in Arts Education are not eligible to apply in subsequent program competitions.

Application information is available in a separate brochure which is available from:

Lonna Jones, Director
Rockefeller Brothers Fund Awards in Arts Education
1290 Avenue of the Americas—Room 3450
New York, New York 10104

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 the Fund's new program: Global Interdependence, with specific emphasis on sustainable resources management or on security. (See page 13, above.)

A preliminary letter of inquiry is recommended for an initial approach to the Fund, although the submission of detailed proposals is also appropriate. 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 or organization's principal staff members, a list of those who serve as board members or advisors 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. Letters of inquiry or proposals should be addressed to:

Benjamin R. Shute, Jr., Secretary
Rockefeller Brothers Fund
1290 Avenue of the Americas
New York, New York 10104

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.

NATIONAL PROGRAM:
DOMESTIC DEVELOPMENT FINANCE

CONEG Policy Research Center
Washington, D.C.

Continued support of the Coalition of Northeastern Governors' (CONEG) Policy Research Center project to assess priorities for interregional infrastructure needs, including transportation facilities and water supply and treatment systems, and to help design and promote policy recommendations and financial mechanisms to meet these needs. An informal roundtable was initiated to provide communication on the issues among staff working at the local, state, regional and national levels. **\$75,000** (over two years)

National Center for Policy Alternatives
Washington, D.C.

To enable the Center to broaden its housing project to include sponsorship of a national housing-policy forum that would prepare national policy recommendations based on the project's more innovative models of low-, moderate- and middle-income housing. **\$65,000**

NATIONAL PROGRAM:
PRODUCING AND CONSERVING BASIC RESOURCES
PRESERVING AMERICA'S FARMLAND

American Farmland Trust
Washington, D.C.

Continued general budgetary support of this organization and its efforts, through federal and state public policy development, public information, and intervention in the open market, to reduce the high rate of farmland being converted to nonagricultural purposes. \$100,000 is in the form of a challenge grant to begin building up a revolving loan fund that would help facilitate the financial transactions of AFT's open-market conservancy projects. **\$1,000,000** (over three years)

Toward the costs of an AFT agricultural and food policy project that will provide an informal forum for a fresh review of American farm policies in the context of an expanding American leadership role in world agriculture, recognizing concerns for the sustainable use of natural resources in agricultural production and distribution practices. The grant includes support of a second stage to carry out a public education program, if additional funding is secured. **\$75,000**

**National Association of State Departments of
Agriculture Research Foundation**
Washington, D.C.

Continued support of NASDA's farmland preservation project while planning with state members is under way to maintain it as an ongoing activity. Launched in 1981, the project has been a strong force assisting states in the implementation of farmland retention policies and has monitored other state government farmland initiatives. **\$75,000**

New England Governors' Conference
Boston, Massachusetts

Renewed support of the Conference's farmland retention project: \$100,000 toward the expansion of sheep herds and improvement of marketing practices in a project demonstrating the retention of small farmland holdings through modern methods of sheep production; and \$10,000 for the agricultural assistance task force, a joint undertaking of the New England Governors and Eastern Canadian Premiers to promote agricultural opportunity in their six states and eleven provinces. **\$110,000** (over two years)

NATIONAL PROGRAM:
PRODUCING AND CONSERVING BASIC RESOURCES
CONSERVING AMERICA'S WATER

Center for Neighborhood Technology
Chicago, Illinois

Continued support of a project to establish a biodegradable waste-conversion facility in a depressed neighborhood. Now in the second phase that is implementing a feasibility study for such a facility, the project could have widespread applicability among other older cities needing creative solutions to resource-management problems that can also contribute to community and commercial revitalization. **\$50,000**

Clean Water Fund
Washington, D.C.

A contribution toward a national water policy education project focusing on issues relevant to clean water and safe drinking water, as part of CFW's program to eliminate water contamination and promote wise management of water resources through a range of educational and research programs. **\$50,000**

Natural Resources Defense Council
New York, New York

Toward the Council's national water-policy efforts to encourage renewal of effective national water policies, ensure implementation of existing clean-water programs by assisting in the development of appropriate regulatory programs, and expand education and training activities which provide technical assistance to citizens organizations working to obtain effective toxic controls. **\$50,000**

NATIONAL PROGRAM:
EMPLOYMENT POLICY AND JOB DEVELOPMENT

Jobs in Energy
Washington, D.C.

A general budgetary contribution to this new organization that evolved from a project of the National Committee for Full Employment and will promote job creation through greater public and private investment in energy conservation and renewable energy resource production. Operating as a national clearinghouse and technical assistance center for state and local officials and local communities interested in starting job-generating energy conservation initiatives, it will be active in formulating a national policy consensus that would support a nationwide "jobs in energy" program. **\$65,000** (over two years)

MDC, Inc.
Chapel Hill, North Carolina

Formerly known as the North Carolina Manpower Development Corporation, MDC is an employment and manpower training organization that has designed and tested several pioneering economic measurement indicators. This challenge grant was toward the costs of completing a "hardship index," a more reliable measure of individual and family income that could assist state governments in targeting social service programs to those in the greatest need. **\$15,000**

NATIONAL PROGRAM:
THE WELL-BEING OF THE PRIVATE NONPROFIT SECTOR

Center for Responsive Governance

Washington, D.C.

Toward a program of research and education on critical issues in nonprofit marketing and management and the changes in attitudes and acquisition of new skills necessary for nonprofit organizations to achieve growth potential in the '80s. **\$16,000**

Children's Art Carnival

New York, New York

The Children's Art Carnival provides a rich and varied program of art education to young people in its community. This special contribution provided general support for the Carnival at a time when it is adapting to changing patterns of public and private support and exploring new possibilities for self-generated income. **\$15,170**

Children's Museum of Denver

Denver, Colorado

Toward expenses of a three-day conference on earned-income programs for nonprofit organizations. The conference was a collaboration of the Museum with the Pike's Peak Mental Health Center, two organizations particularly effective in their entrepreneurial income-generating activities. The grant followed up on the publication of the RBF-supported study, *Enterprise in the Nonprofit Sector*. **\$10,000**

Columbia University in the City of

**New York, Trustees of
Graduate School of Business**
New York, New York

A challenge grant to establish a summer student internship program in nonprofit management as a means to strengthen the private nonprofit sector by improvement of executive-level management. **\$15,000**

Council on Foundations

Washington, D.C.

Toward the Council's Program Fund, a special development fund to enable the Council to continue its effective leadership and representation of the foundation community and to maintain the existing level of programs serving grantmaking institutions while aligning its program expenditures with operating and targeted grants income. **\$60,000** (over three years)

Independent Sector

Washington, D.C.

Toward costs of participation by selected scholars in the working conference, "Since the Filer Commission . . .", attended by leaders and researchers currently engaged in activities in the independent sector. **\$5,000**

**Leland Stanford Junior University,
Trustees of the**

Graduate School of Business
Stanford, California

A challenge grant toward the summer student internship program in nonprofit management, organized under the Stanford Management Internship Fund, as a means to strengthen the private nonprofit sector by improvement of executive-level management. **\$15,000**

Volunteer Lawyers for the Arts

New York, New York

Toward expenses of a two-day conference that dealt with the legal implications of profit-making enterprises for arts organizations, and for the broader spectrum of all nonprofit organizations, focusing on the legal responsibilities and complexities of income-earning activities. **\$10,000**

**Yale University
School of Organization and Management**

New Haven, Connecticut

Toward a program of student internships in professional management of nonprofit organizations as a means to strengthen the private nonprofit sector by improvement of executive-level management. **\$15,000**

Yankelovich, Skelly and White, Inc.
New York, New York

A grant for the costs of an initial survey of the giving attitudes and behavior of young people in the U.S. Since individual giving constitutes the bulk of charity and philanthropy in the U.S., and assuming that the vitality of the private sector could be enhanced if giving were to be increased, this survey will review patterns and personal and demographic characteristics of individual giving in the U.S., develop and test hypotheses about motivations for giving in this country, and formulate strategies for subsequent research. Up to **\$62,000**

**NATIONAL PROGRAM:
OTHER CRITICAL ISSUES**

**American Indian Lawyer Training
Program**
San Francisco, California

To help expedite a plan to obtain advisory services in the energy, agriculture, and employment areas for the preparation of proposals to foundations on a Navajo policy for sustainable resource development; conservation planning and implementation by the tribe are viewed as critical to the survival of the Navajo Nation. Development of a successful policy would serve as an example to other Indian tribes. **\$100,000**

Center for Community Change
Washington, D.C.

To help the Center plan a new organization that would provide broader voter registration and education services to underserved and unserved areas of the U.S. The initiative is a joint foundation effort in response to a rising tide of appeals regarding interest in voter registration activities from many social service institutions and from communities themselves that have no access to existing voter registration organizations. **\$100,000**

Dartmouth College, Trustees of
Hanover, New Hampshire

A grant for the inaugural-year program of the Nelson A. Rockefeller Center for the Social Sciences. The program, "Responsible Choice and National Leadership," includes a series of symposia on the potential contribution of the social sciences to the process of exercising responsible choice and leadership, and two national conferences on the role of political leadership in the U.S., and reflects the Center's central purpose of strengthening the social science disciplines and fostering interaction among them through studies that offer an integrative approach and perspective on public policy issues. **\$50,000**

Delta Foundation
Greenville, Mississippi

A special contribution to aid the Foundation as it adjusts to present financial pressures resulting from withdrawal of federal agency support and develops fund-raising initiatives for finding new sources of support to continue its successful record in community economic development and job creation in a severely depressed region. **\$40,000**

Institute for Urban Design
Purchase, New York

A challenge grant for the Institute's City Building project to assess and document the value of including cultural facilities in mixed-use urban real estate developments. Taking advantage of lessons learned from joint commercial and art facilities now being constructed in a number of cities, a state of the art handbook will be prepared and distributed to real estate developers, public officials, and administrators and trustees of major non-profit cultural institutions. **\$25,000**

Northeast-Midwest Institute
Washington, D.C.

Toward a program of policy research that assesses options open to the federal government on issues being considered by the congressional and executive branches, with special attention to the potential impact on the Northeast-Midwest region. **\$65,000**

Rockefeller University
New York, New York

A final grant under a five-year effort to increase inter-institutional cooperation among the University, Memorial Sloan-Kettering Cancer Center, and New York Hospital-Cornell Medical Center: \$520,000 designated for the joint M.D./Ph.D. program of Rockefeller University and Cornell University Medical College and for the Clinical Research Scholars Programs of all three institutions; and \$200,000 for an inter-institutional study of computing resources and services. **\$720,500**

Sleepy Hollow Restorations
Tarrytown, New York

For a program of preservation, maintenance, enhancement, and display of the church building of the Union Church of Pocantico Hills, New York, as an historic site. The church has a unique collection of stained glass windows designed by Marc Chagall and Henri Matisse. **\$500,000**

NEW YORK CITY PROGRAM:
ECONOMIC GROWTH AND STABILIZATION

Harlem Urban Development Corporation
New York, New York

A first-year contribution as part of a three-year commitment to assist HUDC in the expansion of its development and planning capacities to combat community deterioration and foster residential, commercial, and industrial development in Harlem. **\$75,000**

Second- and third-year contributions to assist HUDC in the expansion of its development and planning capacities to combat community deterioration and foster residential, commercial, and industrial development in Harlem. **\$150,000** (over two years)

NEW YORK CITY PROGRAM:
EMPLOYMENT AND SKILL DEVELOPMENT

New York City Partnership
New York, New York

Further support for a summer youth jobs program that provided over 15,000 jobs in 1982 for economically disadvantaged young people in the City. The success of the summer program is leading the Partnership to broaden its program on a year-round basis, and \$25,000 of the grant is toward institutionalizing the program to establish full operating and fund-raising functions. **\$125,000**

Playing to Win
New York, New York

Toward the establishment and operation of a computer use and resource center for the East Harlem community as part of the agency's program to increase access to computers and computer-related educational opportunities for minorities and the disadvantaged. **\$10,000**

NEW YORK CITY PROGRAM:
CREATIVE LIVING ENVIRONMENT

**Fund for the City
of New York**
New York, New York

A contribution in joint support with several other foundations of a conference to explore how nonprofit organizations, consistent with their programs and purposes, might provide additional benefits to New York City and its people. Conference follow-up activities may lead to the creation of a formal organization to foster collaboration by the private nonprofit community in New York City on common issues and matters of broad concern and to maintain a continuing relationship with the City. **\$5,000**

New School for Social Research
New York, New York

Toward a sophisticated long-range financial equilibrium study to ensure the continued growth and vitality of the New School, which has grown into one of the nation's leading universities devoted to meeting the intellectual and cultural needs of mature citizens and which provides a rich educational and cultural resource to New York City. **\$35,000**

New York Community Trust
New York, New York

Continued support toward the summer youth program of several New York City grantmakers in cooperation with the New York City Youth Board and Community Planning Boards that provides constructive recreational and educational activities. **\$15,000**

**United Parents Associations
of New York City**
New York, New York

A general support grant for the Educational Priorities Panel, a coalition of voluntary member groups focusing on financial and management issues of the New York City schools in an effort to maintain instructional budgets that reflect parent and citizen concern for quality education. **\$70,000** (over two years)

NEW YORK CITY PROGRAM:
SPECIAL PROJECTS

**Economic Development Council
of New York City:
New York City Partnership**
New York, New York

Toward two programs of the Task Force for Public Safety of the New York City Partnership, prison overcrowding and performance standards in criminal justice agencies, two areas in which the skills of on-loan corporate executives and the pro bono services of management consulting and law firms could improve efficiency and effectiveness in the criminal justice system. **\$75,000**

New York Bar Foundation
Albany, New York

Toward start-up costs of the New York Interest on Lawyers' Trust Accounts Fund that would allow attorneys, on a voluntary basis, to deposit small or short-term trust money into a single statewide interest-bearing account. Ninety percent of this interest will be used as a supplementary source of funding for legal services for low-income people, and ten percent will be allocated as grants for innovative legal assistance programs. **\$35,000**

INTERNATIONAL PROGRAM:
INTERNATIONAL COOPERATION

Gerald O. Barney & Associates
Arlington, Virginia

To support a training program for a senior staff person of the Institute for Scientific and Technological Information for China, which is responsible for informing the Chinese leadership of the latest scientific and technological developments. The Institute, a key agency in China involved in issues relating to the environment, conservation, and resources, is launching a study using *Global 2000* methodology, and the staff person will be trained in the technology for data gathering and analysis. Conclusions from the analysis could have substantial impact on crucial policy decisions in China's modernization drive. **\$40,000** (over two years)

Council on Foundations
Committee on International Grantmaking
Washington, D.C.

Renewed support of the Committee, formerly called Grantmaking International, a program initiated to improve the scope and effectiveness of grantmaking for international purposes. A data base of informational services has been developed for a wide range of public and private funders interested in opportunities for international grantmaking or in establishing international programs. In 1983, the program became an integral part of the Council. **\$75,000** (over three years)

Hong Kong, University of
Hong Kong

Continued support of the Hong Kong-People's Republic of China exchange program of the University's Centre for Urban Studies and Urban Planning. The program was designed to increase the flow of information on urban planning between academics and professionals in Hong Kong and the PRC and to encourage increased cooperation on the problems of urbanization, now recognized in the area as an important and inevitable process of economic and social development. **\$40,000** (over two years)

Johns Hopkins University
School for Advanced International Studies
Baltimore, Maryland

Toward the costs of a study to analyze the rapidly changing aspects of the two-Koreas problem and look for opportunities for dialogue that could break the 30-year impasse on the Korean peninsula and reduce tensions in an area of overlapping interests among the four major world powers. **\$21,000**

Korea University
Asiatic Research Center
Seoul, Korea

Toward Phase II of the Center's Korea-U.S. Intellectual Exchange Program, a part of the effort among several policy development centers in East Asia that is beginning to create an Asian-guided, multidisciplinary, multilateral perspective on social, economic, and strategic problems common to the Pacific basin region, and including the interests of the U.S. **\$15,000**

National Academy of Sciences
Washington, D.C.

A contribution to the project, "China Turning West: Educational and Scientific Relations with Europe, Japan and the United States." By studying the consequences of China's foreign policy decision to send their nationals to Western institutions for advanced training in science and technology and to invite foreign professors to lecture in a wide range of institutions throughout China, the project should provide a better appreciation of contemporary China and its modernization efforts, and a better understanding of the effect of educational exchanges on China's external relations. **\$15,000**

National Committee on United States-China Relations
New York, New York

Continued general budgetary support for the Committee's programs of officially facilitated exchanges and follow-up activities aimed at advancing a substantive dialogue between Americans and Chinese that can enhance official and public knowledge of U.S.-China relations. **\$60,000** (over two years)

Pan Pacific Community Association
Washington, D.C.

The Association encourages broad American interest in the development of Pacific regional cooperation. The grant is to assist in achieving an appropriate level of American participation in PPCA's international task forces exploring such regional economic issues as trade, investment, and technology transfer. **\$25,000**

Ramon Magsaysay Award Foundation
Manila, Philippines

To enable the Foundation to increase the 1983 Ramon Magsaysay Awards to \$20,000 each. Up to five awards are presented each year to those persons (or organizations) in Asia "who exemplify the greatness of spirit, integrity, and devotion to freedom of Ramon Magsaysay," former President of the Philippines. Awards are made in five categories: government service, public service, community leadership, international understanding, journalism, and literature. The awards are widely known in Asia, where they are regarded as accolades of high distinction. **\$50,000**

Leland Stanford Junior University, Trustees of the Food Research Institute
Stanford, California

In support of a comparative analysis of food pricing in Asia, using China and several other Asian countries as principal targets of study. On the assumption that the pricing dilemma is at the heart of most food policies, country case studies by local Asian agricultural economists will focus on food pricing in order to assess how these countries address food problems and rank various food policy objectives. The grant is toward support of the project's director and assistant and for the preparation of the country case studies. **\$75,000** (over three years)

Youth for Understanding
Washington, D.C.

Continued support of the Japan Project, an exchange program that has been enormously successful in attracting high school age students for extended visits with local families in Japan and the U.S. By promoting contact and association between peoples of each country, the project is enhancing Japanese-American understanding and creating a reservoir of persons knowledgeable about Japan and the U.S. who can intelligently debate and support public-policy issues relating to the affairs of the two countries. **\$50,000** (over two years)

**INTERNATIONAL PROGRAM:
ECO-DEVELOPMENT**

Center for Inter-American Relations
New York, New York

Toward the expenses of the Commission on Western Hemisphere Foreign Debt and Public Policy, which examined the economic, political, and social impact of foreign debt on the domestic policies of debtor countries of the hemisphere and the effect on foreign policies, especially relations with the U.S. A report of the Commission's review and recommendations was published. **\$15,000**

**Georgetown University
Center for Strategic and
International Studies**
Washington, D.C.

In support of the Commission on Security and Economic Assistance. Early in 1983, the Secretary of State announced that the Commission would conduct an analytical review of the goals and activities of U.S. foreign assistance efforts and their effectiveness in achieving national economic and security priorities. The report of the Commission's review, conclusions, and recommendations was made public. **\$25,000**

Meals for Millions/Freedom from Hunger Foundation
New York, New York

Toward the expansion of the Caribbean program that provides technical assistance combined with ecologically sound methods of food production and food processing to improve nutrition and increase agricultural self-sufficiency. The program is being used as a demonstration program for the entire organization which operates in nearly a dozen developing countries. **\$10,000**

Quebec-Labrador Foundation
Ipswich, Massachusetts

The Foundation helps safeguard the unique cultural and environmental heritage of isolated communities in the Atlantic Region—Maine, Quebec, New Brunswick, Nova Scotia and Newfoundland. The grant is toward establishing an Atlantic Region/Caribbean Exchange Project, to link people in the greater Caribbean region concerned with conservation and development issues with like-minded people in the Atlantic Region to share and learn techniques that not only help communities meet changing social and economic needs but also involve environmental considerations in development planning. **\$37,500** (over three years)

Winrock International Livestock Research and Training Center
Morrliton, Arkansas

Toward the planning with US/AID of an international agricultural development corporation that would be a public/private intermediary organization that could more effectively manage American agricultural assistance to developing countries. **\$30,000**

Worldwatch Institute
Washington, D.C.

The Institute has an internationally recognized capability for producing credible and balanced analyses of human and natural resource issues and formulating them into a sensible framework and usable criteria for national policymakers and international agency officials. As a logical extension of its work, the Institute will prepare an annual report measuring progress, or lack thereof, in the creation of a sustainable global society. The grant was to enable the Institute to meet an early 1984 publication date for the first report. **\$75,000**

Further support for the Institute's annual report on progress toward a sustainable global society. **\$225,000** (over three years)

INTERNATIONAL PROGRAM:
HUMAN DIGNITY, INDIVIDUAL LIBERTIES, AND THE LAW

**AFS International/
Intercultural Programs**
New York, New York

AFS, the largest U.S. youth-exchange program, is now programming adult exchanges in fields that have promise for affecting socio-economic concerns of the underprivileged. The grant was toward a public-interest law internship program for a dozen mid-career lawyers from around the world to serve for two months in public service legal organizations in the U.S. and Canada. **\$20,000**

Witwatersrand, University of the Centre for Applied Legal Studies
Johannesburg, South Africa

The University is one of the leading educational institutions in South Africa encouraging creative initiatives in race relations. The Centre, established in 1978, has pursued research in areas of the law that affect the black community and civil rights, promote justice and equality before the law, and encourage cooperation among lawyers for the purpose of promoting human rights. The grant is toward an action program that complements the Centre's research, utilizing its staff and cooperating volunteer lawyers in litigation efforts to foster social change and racial harmony without violence. **\$40,000** (over two years)

ONE WORLD PROGRAM:
RESOURCES

World Resources Institute
Washington, D.C.

In support of its energy task force network among a number of developing countries that are studying more integrated and sustainable approaches to identify local energy conservation and production alternatives, and toward the costs of a 1984 international conference and commissioned papers on conference topics. **\$100,000**

ONE WORLD PROGRAM:
ARMS CONTROL/SECURITY

Council on Foreign Relations
New York, New York

Toward an international study, "New Approaches to Non-Proliferation," to examine the specific cases of most immediate proliferation concern to discover how and why they have arisen and identify new ways of keeping these situations under control. The published report will reflect the work, conclusions, and recommendations of U.S. and European panels and consultations with Soviet, Japanese, Chinese, and Third World representatives. **\$50,000**

Ditchley Foundation
Ditchley, England

The purpose of the Foundation's program is to provide opportunities for men and women from the U.S., Britain and other nations to meet for discussions on matters of common concern. The grant was for an international conference of people with public-policy decision experience to examine NATO's current strategy with particular emphasis on its guidelines for use of nuclear weapons. **\$35,000**

**Institute for East-West
Security Studies**
New York, New York

The Institute, established in 1982 to promote fresh, in-depth perspectives on interests and concerns behind East-West security problems, brings experts from different parts of the world together for sustained periods. The grant is to launch a two-year U.S.-Soviet Relations Program. **\$125,000** (over two years)

**International Institute for
Strategic Studies**
London, England

The Institute is an outstanding independent center for policy-oriented research, information, and debate on problems of international security, conflict, defense and arms control. The grant is toward a new program of Arms Control Studies seeking to draw general conclusions and make recommendations for international security policy for the next five to ten years. The goal is to develop a basic structure for policy decisions and public debate. **\$150,000** (over three years)

Open Space Institute
New York, New York

Toward the Conference on the Long-Term Worldwide Biological Consequences of Nuclear War, the purpose of which was to bring credible discussion and comprehensive analysis to one of the most critical concerns of our time and to bring the results to the attention of the public. The Institute, an organization created to help local groups throughout the country protect open space and address other environmental concerns, collaborated in an eighteen-month preparation of conclusions by physical scientists, biologists, oceanographers, and ecologists that were presented at the two-day conference. **\$30,000**

PHILANTHROPIC SERVICE ORGANIZATIONS

Council on Foundations
Washington, D.C.

Continued membership support of the Council, which provides leadership in the field of philanthropy as the national professional organization of U.S. private, community, and corporate foundations. **\$15,000**

Foundation Center
New York, New York

General budgetary support for 1984 for the Center, which provides a public source of information about foundations and foundation grants through its four libraries and its cooperating collections across the country and through the publication of directories and grant indexes. The Center actively works to help all foundations be more accessible and accountable to the public. **\$25,000**

Independent Sector
Washington, D.C.

For continued membership in 1984 in this organization representing at the national level the private sector of the country. **\$5,000**

**New York Regional Association
of Grantmakers**
New York, New York

For continued membership in 1984 in this organization that serves as a forum for the grantmaking community in the tri-state region of New York, New Jersey, and Connecticut on program topics of mutual interest and concern, and works to improve communication among members and with other interested grantmakers. **\$5,000**

ROCKEFELLER BROTHERS FUND AWARDS IN ARTS EDUCATION

The following ten schools received Rockefeller Brothers Fund Awards in Arts Education in 1983. The award, a grant of \$10,000 for the school's art program, is given in recognition of excellence in arts curricula and teaching.

Base Line Junior High School
Boulder, Colorado

Bolinas-Stinson School
Bolinas, California

Caledonia Elementary School
East Cleveland, Ohio

Farragut High School
Knoxville, Tennessee

Fiorello H. LaGuardia High School of Music and the Arts
New York, New York

High School for the Performing and Visual Arts
Houston, Texas

Memorial High School
Elkhart, Indiana

P.S. 84
New York, New York

Shaftsbury Elementary School
Shaftsbury, Vermont

William M. Meredith School
Philadelphia, Pennsylvania

PAYMENTS MADE IN 1983 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
NATIONAL PROGRAM:				
DOMESTIC DEVELOPMENT FINANCE				
(\$174,357 Paid)				
CONEG Policy Research Center				
Washington, D.C.				
Development finance policy project	\$ 75,000		\$ 55,000	\$ 20,000
National Center For Policy Alternatives				
Washington, D.C.				
Housing finance project	140,000*	90,643	49,357	
National Housing Policy Forum	65,000		45,000	20,000
Princeton University, Trustees of				
Princeton, New Jersey				
Urban and Regional Research Center	65,000*	40,000	25,000	
NATIONAL PROGRAM:				
PRODUCING AND CONSERVING BASIC RESOURCES				
PRESERVING AMERICA'S FARMLAND				
(\$572,500 Paid)				
American Farmland Trust				
Washington, D.C.				
Agricultural policy project	75,000		50,000	25,000
Core support and revolving loan fund	1,000,000		350,000	650,000
Hampshire College, Trustees of				
Amherst, Massachusetts				
Guard dog project	37,500*	25,000	12,500	
National Association of State Departments of Agriculture Research Foundation				
Washington, D.C.				
Farmland retention project	75,000		75,000	
New England Governors' Conference				
Boston, Massachusetts				
Farmland retention project and agricultural task force	110,000		85,000	25,000
NATIONAL PROGRAM:				
PRODUCING AND CONSERVING BASIC RESOURCES				
CONSERVING AMERICA'S WATER				
(\$155,000 Paid)				
Center For Neighborhood Technology				
Chicago, Illinois				
Waste conversion feasibility study	50,000		25,000	25,000
Clean Water Fund				
Washington, D.C.				
National water policy education project	50,000		50,000	

*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
Conservation Foundation				
Washington, D.C.				
National water policy survey	95,000*	65,000	30,000	
Natural Resources Defense Council				
New York, New York				
National water policy efforts	50,000		50,000	
NATIONAL PROGRAM: EMPLOYMENT POLICY AND JOB DEVELOPMENT (\$202,500 Paid)				
Corporation For Public/Private Ventures				
Philadelphia, Pennsylvania				
Development Training Institute	350,000*	212,500	137,500	
Jobs in Energy				
Washington, D.C.				
General budget	65,000		50,000	15,000
MDC, Inc.				
Chapel Hill, North Carolina				
Hardship index study project	15,000		15,000	
NATIONAL PROGRAM: THE WELL-BEING OF THE PRIVATE NONPROFIT SECTOR (\$210,670 Paid)				
Center for Responsive Governance				
Washington, D.C.				
Critical issues in nonprofit marketing and management	16,000		16,000	
Children's Art Carnival				
New York, New York				
General support	15,170		15,170	
Children's Museum of Denver				
Denver, Colorado				
Conference on earned income programs for nonprofit organizations	10,000		10,000	
Columbia University in the City of New York, Trustees of				
New York, New York				
Graduate School of Business				
Student internships in nonprofit organizations	15,000		7,500	7,500
Council on Foundations				
Washington, D.C.				
Program Fund	60,000		34,000	26,000
Independent Sector				
Washington, D.C.				
Conference, "Since the Filer Commission . . ."	5,000		5,000	

*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
Northern New England Independent Schools Fund				
Phippsburg, Maine				
First-year operating budget	10,000*			10,000
Leland Stanford Junior University, Trustees of the				
Stanford, California				
Graduate School of Business				
Student internships in nonprofit organizations	15,000		15,000	
Urban Institute				
Washington, D.C.				
Changing Domestic Priorities project	70,000*	45,000	25,000	
Volunteer Lawyers for the Arts				
New York, New York				
Conference on earned income and the law	10,000		10,000	
Yale University				
New Haven, Connecticut				
School of Organization and Management				
Student internships in nonprofit organizations	15,000		15,000	
Yankelovich, Skelly, & White, Inc.				
New York, New York				
Individual giving attitudes survey	62,000		58,000	4,000
NATIONAL PROGRAM: OTHER CRITICAL ISSUES (\$21,072,000 Paid)				
American Indian Lawyer Training Program				
Oakland, California				
Tribal assistance project	100,000		100,000	
Center for Community Change				
Washington, D.C.				
Core budget and community economic development program	300,000*	150,000	150,000	
Voter registration and education services	100,000		100,000	
Cooperative Assistance Fund				
New York, New York				
Operating expenses	10,000*	2,000	2,000	6,000
Cornell University				
Ithaca, New York				
College of Agriculture and Life Sciences				
Program of Agriculture and Environment Values	25,000*		25,000	
Dartmouth College, Trustees of				
Hanover, New Hampshire				
Nelson A. Rockefeller Center for the Social Sciences				
Inaugural-year program	50,000			50,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
Delta Foundation				
Greenville, Mississippi Emergency appeal	40,000		40,000	
Enterprise Foundation				
Columbia, Maryland Start-up costs	150,000*	75,000	75,000	
Institute for Urban Design				
Purchase, New York City Building project	25,000		25,000	
National Audubon Society				
New York, New York Environmental Policy Department	75,000*	50,000	25,000	
Neurosciences Research Foundation				
Jamaica Plain, Massachusetts Neurosciences Institute	105,000*	70,000	35,000	
New York Institute of Technology				
Old Westbury, New York New York College of Osteopathic Medicine	2,500,000*	965,000	700,000	835,000
Northeast-Midwest Institute				
Washington, D.C. Policy research program	65,000		65,000	
Partners for Livable Places				
Washington, D.C. Economics of Amenity Program	150,000*	50,000	50,000	50,000
Population Council				
New York, New York Special contribution	2,600,000*	2,100,000	500,000	
Puerto Rican Legal Defense and Education Fund				
New York, New York General budget	100,000*	90,000	10,000	
Rockefeller University				
New York, New York Capital funds Joint M.D./Ph.D. Program and joint computer resource facility	7,500,000* 720,500	5,000,000	2,500,000	720,500
Sleepy Hollow Restorations				
Tarrytown, New York Pocantico Estate Plan, principal Pocantico Estate Plan, expenses Kykuit Historic Park Union Church Program	15,000,000* 60,000* 1,570,000* 500,000	56,200	15,000,000 1,570,000	3,800(1) 500,000
United Negro College Fund				
New York, New York Capital resources development program	750,000*	515,000	100,000	135,000

(1) Lapsed

*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
NEW YORK CITY PROGRAM: ECONOMIC GROWTH AND STABILIZATION (\$220,000 Paid)				
Brooklyn Academy of Music				
Brooklyn, New York				
BAM Local Development Corporation	50,000*	40,000	10,000	
Economic Development Council of New York City				
New York, New York				
Design and implementation of a new nonprofit housing corporation and trust fund	150,000*	100,000	50,000	
Forty-Second Street Local Development Corporation				
New York, New York				
Revolving reserve fund	150,000*	50,000	50,000	50,000(2)
Harlem Urban Development Corporation				
New York, New York				
New nonprofit development and planning capacities	75,000		75,000	
Second- and third-year support of development and planning capacities	150,000			150,000
South Bronx Overall Economic Development Corporation				
Bronx, New York				
Administrative expenses, business services unit	70,000*	35,000	35,000	
NEW YORK CITY PROGRAM: EMPLOYMENT AND SKILL DEVELOPMENT (\$200,000 Paid)				
New York Chamber of Commerce Educational Foundation				
New York, New York				
Private Industry Council jobs for youth program	100,000*	50,000	50,000	
New York City Partnership				
New York, New York				
Jobs program for youth	125,000		125,000	
Playing to Win				
New York, New York				
Computer use and resource center	10,000		10,000	
State Communities Aid Association				
New York, New York				
Employment and training system	40,000*	25,000	15,000	

(2)Lapsed

*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
NEW YORK CITY PROGRAM: CREATIVE LIVING ENVIRONMENT (\$256,500 Paid)				
Bryant Park Restoration Corporation				
New York, New York				
Administrative expenses	185,000*	135,000	50,000	
Educational Broadcasting Corporation				
New York, New York				
Financial and business studies	75,000*	37,500	37,500	
Fund for the City of New York				
New York, New York				
Conference and follow-up activities	5,000		5,000	
Housing Conservation Coordinators				
New York, New York				
Technical assistance program	33,000*	16,500	16,500	
New School for Social Research				
New York, New York				
Financial equilibrium study	35,000		35,000	
New York Community Trust				
New York, New York				
Summer program for youth project	15,000		15,000	
Off Off Broadway Alliance				
New York, New York				
Marketing strategy	35,000*	25,000	10,000	
Southern Queens Park Association				
Jamaica, New York				
Financial development office	75,000*	37,500	37,500	
United Neighborhood Houses of New York				
New York, New York				
Assistance program for member agencies	150,000*	75,000	50,000	25,000
United Parents Associations of New York City				
New York, New York				
Educational Priorities Panel	70,000			70,000
NEW YORK CITY PROGRAM: SPECIAL PROJECTS (\$1,405,000 Paid)				
Cornell University				
New York, New York				
Medical College				
Basic science and research programs	500,000*	300,000	200,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
Economic Development Council of New York City				
New York, New York Task Force for Public Safety of the New York City Partnership	75,000		75,000	
Memorial Sloan-Kettering Cancer Center				
New York, New York Capital funds	2,500,000*	1,630,000	870,000	
New Business Ventures for Not-For-Profit Organizations				
New York, New York Assistance to nonprofit organizations	25,000*	15,000	10,000	
New York Bar Foundation				
Albany, New York Start-up costs of the New York Interest on Lawyers' Trust Accounts Fund	35,000		35,000	
New York Public Library Astor, Lenox and Tilden Foundations				
New York, New York Renovation and endowment for gallery	1,000,000*	500,000	177,000	323,000
President's Discretionary Fund	60,000*	30,000	30,000	
Union Church of Pocantico Hills				
Tarrytown, New York General budget	25,000*	12,000	8,000	5,000
INTERNATIONAL PROGRAM: INTERNATIONAL COOPERATION (\$597,506 Paid)				
Africa News Service				
Durham, North Carolina General budget	30,000*	20,000	10,000	
Agricultural Development Council				
New York, New York Asian agricultural and rural development seminars	75,000*	25,000	25,000	25,000
Arts International				
Washington, D.C. General budget	100,000*		50,000	50,000
Asia Society				
New York, New York Public Affairs Department	75,000*	25,000	25,000	25,000
Gerald O. Barney & Associates				
Arlington, Virginia Training project	40,000		20,000	20,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
Chinese University of Hong Kong Hong Kong Conference on modernization and Chinese culture	12,640*		12,640	
Columbia University in the City of New York, The Trustees of New York, New York Center for United States-China Arts Exchange Hong Kong Center General budget	25,000* 62,000*	32,000	30,000	25,000
Council on Foundations Washington, D.C. Committee on International Grantmaking	75,000		25,000	50,000
Economic Perspectives, Inc. McLean, Virginia Analysis of Polish agricultural situation	25,000*	17,634	7,366	
Harvard University Cambridge, Massachusetts Center for International Affairs Program on U.S.-Japan Relations	60,000*	40,000	20,000	
Hong Kong, University of Hong Kong Center for Urban Studies and Urban Planning	40,000			40,000
International House of Japan Tokyo, Japan Publishing projects	15,000*			15,000(3)
Japan Center for International Exchange Tokyo, Japan General budgetary expenses	60,000*	30,000	30,000	
Johns Hopkins University Baltimore, Maryland School for Advanced International Studies Study of the two Koreas	21,000		21,000	
Korea University Seoul, Korea Asiatic Research Center Korea-Japan-U.S. Exchange Program	15,000		15,000	
Maru a Pula Foundation Gaborone, Botswana Scholarship support	30,000*	10,000	10,000	10,000
National Academy of Sciences Washington, D.C. "China Turning West" project	15,000		15,000	
National Committee on United States- China Relations New York, New York General budgetary expenses	60,000		30,000	30,000

(3)Lapsed
*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
Pan Pacific Community Association				
Washington, D.C.				
General budgetary expenses	25,000		12,500	12,500
Ramon Magsaysay Award Foundation				
Manila, Philippines				
Awards	50,000		50,000	
Smithsonian Institution				
Washington, D.C.				
Woodrow Wilson Center				
Latin American Program	60,000*	35,000	25,000	
Latin American Program	75,000*			75,000
Society of Japanese Studies				
(University of Washington)				
Seattle, Washington				
Journal translation	6,000*	2,000	2,000	2,000
Leland Stanford Junior University, Trustees of the				
Stanford, California				
Food Research Institute				
Food Pricing in Asia Project	75,000		17,000	58,000
Trilateral Commission (North America)				
Washington, D.C.				
General budget	240,000*	10,000	70,000	160,000
United Nations Association of the United States of America				
New York, New York				
American-Japanese Parallel Studies Program	50,000*	35,000	15,000	
Waterford-kaMhlaba Treasury Association				
Mbabane, Swaziland				
Scholarship support	30,000*	10,000	10,000	10,000
Youth for Understanding				
Washington, D.C.				
Japan Project	50,000		50,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
INTERNATIONAL PROGRAM: ECO-DEVELOPMENT (\$583,360 Paid)				
ACCION International				
Cambridge, Massachusetts Program expansion, an educational department, and reserve fund	75,000*	25,000	25,000	25,000
Caribbean Conservation Association				
St. Michael, Barbados Eastern Caribbean Natural Area Management Program and Marine Resources Program in the Eastern Caribbean	240,000*	176,545	53,360	10,095
Center for Inter-American Relations				
New York, New York Commission on Western Hemisphere Foreign Debt and Public Policy	15,000		15,000	
Foundation for P.R.I.D.E.				
Miami, Florida Renewable energy in the Caribbean	100,000*	60,000	10,000	30,000
Turks and Caicos Development Trust	60,000*	40,000	20,000	
Friends of Women's World Banking/USA				
New York, New York General budget	125,000*	100,000	25,000	
Fund for Multinational Management Education				
New York, New York Jamaican aquaculture project	25,000*	5,000	20,000	
Georgetown University				
Washington, D.C. Center for Strategic and International Studies Commission on Security and Economic Assistance	25,000		25,000	
International Federation of Institutes for Advanced Study				
Stockholm, Sweden General budget	120,000*	60,000	30,000	30,000
Increased participation of members from developing countries	30,000*		30,000	
Meals for Millions/ Freedom from Hunger Foundation				
New York, New York Caribbean program	10,000		10,000	
Michigan, University of				
Ann Arbor, Michigan School of Natural Resources Strategic management project	165,000*	55,000	110,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
National Association of Partners of the Alliance Washington, D.C. Eco-development Fund	75,000*	50,000	25,000	
Private Agencies Collaborating Together New York, New York Supportive Activities Fund	25,000*	15,000	10,000	
Quebec-Labrador Foundation Ipswich, Massachusetts Atlantic Region/Caribbean Exchange Project	37,500		12,500	25,000
Sierra Club Foundation New York, New York Caribbean mangrove management project	20,000*		20,000	
Volunteers in Technical Assistance Arlington, Virginia Renewable energy in the Caribbean	50,000*	20,000		30,000
Winrock International Livestock Research and Training Center Morrliton, Arkansas International agricultural planning project	30,000		30,000	
Worldwatch Institute Washington, D.C. General budget Annual report on progress toward a sustainable society Annual report on progress toward a sustainable society	150,000* 75,000 225,000	112,500	37,500 75,000	225,000
INTERNATIONAL PROGRAM: HUMAN DIGNITY, INDIVIDUAL LIBERTIES, AND THE LAW (\$85,000 Paid)				
AFS International/Intercultural Programs New York, New York Public interest law program	20,000		10,000	10,000
International League For Human Rights New York, New York Lawyers Committee for International Human Rights	50,000*	25,000	25,000	
Legal Resources Trust Johannesburg, South Africa Legal Resources Centre	75,000*	35,000	25,000	15,000
Procedural Aspects of International Law Institute Washington, D.C. International Human Rights Law Group	50,000*	25,000	25,000	

*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
South African Institute of Race Relations				
Johannesburg, South Africa				
Domestic Workers Legal Advice Project	20,000			20,000(4)
Witwatersrand, University of the				
Johannesburg, South Africa				
Centre for Applied Legal Studies	40,000			40,000
ONE WORLD PROGRAM: RESOURCES				
World Resources Institute				
Washington, D.C.				
Energy task force network and 1984 international conference on sustainable resources use in energy and agriculture	100,000			100,000
ONE WORLD PROGRAM: ARMS CONTROL/SECURITY (\$300,000 Paid)				
American Academy of Arts and Sciences				
Boston, Massachusetts				
European Security Study	35,000*		35,000	
Council on Foreign Relations				
New York, New York				
New Approaches to Non-Proliferation study	50,000		50,000	
Ditchley Foundation				
Oxfordshire, England				
Conference on NATO strategy	35,000		33,000	2,000(5)
Harvard University				
Cambridge, Massachusetts				
Conference on nuclear weapons freeze	20,000*		20,000	
Institute for East-West Security Studies				
New York, New York				
U.S.-Soviet Relations Project	125,000		32,000	93,000
International Institute for Strategic Studies				
London, England				
Arms Control Studies	150,000		100,000	50,000
Open Space Institute				
New York, New York				
Conference on the Long-Term Worldwide Biological Consequences of Nuclear War	30,000		30,000	

(4)Lapsed

(5)Lapsed

*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
PHILANTHROPIC SERVICE ORGANIZATIONS				
(\$52,300 Paid)				
Council on Foundations				
Washington, D.C.				
Membership for 1984	15,000		12,800	2,200(6)
Foundation Center				
New York, New York				
General budget for 1983	25,000*		25,000	
General budget for 1984	25,000			25,000
Independent Sector				
Washington, D.C.				
Membership for 1983	5,000*		4,900	100(7)
Membership for 1984	5,000		4,900	100(8)
New York Regional Association of Grantmakers				
New York, New York				
Membership for 1984	5,000		4,700	300(9)
ROCKEFELLER BROTHERS FUND AWARDS IN ARTS EDUCATION				
(\$122,195 Paid)				
American Academy of Arts and Sciences				
Boston, Massachusetts				
Daedalus	70,000*	40,000	22,195	7,805(10)
Base Line Junior High School				
Boulder, Colorado				
Award	10,000		10,000	
Bolinas-Stinson School				
Bolinas, California				
Award	10,000		10,000	
Caledonia Elementary School				
East Cleveland, Ohio				
Award	10,000		10,000	
Farragut High School				
Knoxville, Tennessee				
Award	10,000		10,000	
Fiorello H. LaGuardia High School of Music and the Arts				
New York, New York				
Award	10,000		10,000	
High School for the Performing and Visual Arts				
Houston, Texas				
Award	10,000		10,000	

(6) Lapsed

(7) Lapsed

(8) Lapsed

(9) Lapsed

(10) Lapsed

*Appropriation made prior to 1983

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1983	Unpaid Balance
Memorial High School				
Elkhart, Indiana				
Award	10,000		10,000	
P.S. 84				
New York, New York				
Award	10,000		10,000	
Shaftsbury Elementary School				
Shaftsbury, Vermont				
Award	10,000		10,000	
William M. Meredith School				
Philadelphia, Pennsylvania				
Award	10,000		10,000	
			\$26,208,888	\$4,997,595(11)

RECONCILIATION OF GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR
OR APPROVED FOR FUTURE PAYMENT

Unpaid Appropriations, December 31, 1982:

Principal Fund	\$24,071,818	
Ramon Magsaysay Award Foundation	—	
Abby R. Mauze Fund	3,800	
RBF Awards in Arts Education	1,001,093	
Corporate Philanthropy	20,000	\$25,096,711

Appropriations authorized in 1983:

Principal Fund	5,482,170	
Ramon Magsaysay Award Foundation	50,000	
Abby R. Mauze Fund	1,570,000	
RBF Awards in Arts Education	—	
	7,102,170	
Less:		
Appropriations lapsed:		
Principal Fund	89,700	
Abby R. Mauze Fund	3,800	
Corporate Philanthropy	20,000	
	113,500	6,988,670
		32,085,381

Appropriations paid in 1983:

Principal Fund	24,466,693	
Ramon Magsaysay Award Foundation	50,000	
Abby R. Mauze Fund	1,570,000	
	26,086,693	
RBF Awards in Arts Education*	309,343	
		26,396,036

Unpaid Appropriations, December 31, 1983:

Principal Fund	4,997,595	
Ramon Magsaysay Award Foundation	—	
Abby R. Mauze Fund	—	
	4,997,595	
RBF Awards in Arts Education	691,750	
		\$ 5,689,345

*includes administration and grants paid

FINANCIAL INFORMATION

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

Financial Statements

Balance Sheets, December 31, 1983 and 1982
Statements of Support, Revenue, Expenses and Changes
in Principal Fund Balance for the years ended
December 31, 1983 and 1982
Statements of Support, Revenue, Expenses and
Changes in Other Fund Balances for the years ended
December 31, 1983 and 1982
Notes to Financial Statements

Supplemental Schedules

Schedule of Functional Expenses, Principal Fund for the
year ended December 31, 1983 with Comparative
1982 Totals
Schedule of Investments, Principal Fund,
December 31, 1983
Schedules of Net Realized and Unrealized Gain (Loss)
on Investments, Principal Fund for the years ended
December 31, 1983 and 1982
Schedule of Investments, Other Funds,
December 31, 1983

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

We have examined the balance sheets of ROCKEFELLER BROTHERS FUND, INC. as of December 31, 1983 and 1982, 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 supplemental 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, 1983 and 1982, and the results of its operations and the changes in its fund balances for the years then ended, and the supplemental schedules, when considered in relation to the basic financial statements taken as a whole, 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 4, 1984.

ROCKEFELLER BROTHERS FUND, INC. BALANCE SHEETS

December 31, 1983 and 1982

	1983	1982
Assets:		
Principal fund:		
Cash	\$ 125,271	
Short-term investments, at cost, which approximates market, as annexed	8,350,000	\$ 3,174,000
Long-term investments, at market value, as annexed (cost: 1983, \$102,661,322; 1982, \$107,890,507) (Note 7)	148,408,784	156,267,135
Program-related investments, at fair value, as annexed (cost: 1983 and 1982, \$2,484,731)	1,803,180	1,945,290
Real estate, at cost to the donor (Note 4)	510,000	510,000
	159,197,235	161,896,425
Other funds' assets, principally investments (Note 3)	858,130	2,453,041
	\$160,055,365	\$164,349,466
Liabilities and Funds:		
Principal fund:		
Bank overdraft		\$ 34,776
Federal excise tax payable	\$ 400,403	258,558
Unpaid appropriations (including \$691,750 in 1983 and \$1,021,093 in 1982, authorized for special projects)	5,689,345	25,092,911
	6,089,748	25,386,245
Fund balance	153,107,487	136,510,180
	159,197,235	161,896,425
Other funds (Note 3):		
Federal excise tax payable	1,665	5,107
Fund balances, as annexed	856,465	2,447,934
	858,130	2,453,041
	\$160,055,365	\$164,349,466

STATEMENTS OF SUPPORT, REVENUE, EXPENSES AND CHANGES
 IN PRINCIPAL FUND BALANCE
 for the years ended December 31, 1983 and 1982

	1983	1982
Support and revenue:		
Contribution of common stock	\$ 47,430	\$ 19,972
Dividend income	4,816,791	4,928,731
Interest income (Note 7)	3,699,687	5,591,391
Other income	150	
	8,564,058	10,540,094
Expenses:		
Program-related:		
Appropriations authorized (net of appropriations lapsed of \$109,700 in 1983 and \$35,417 in 1982) (Note 6)	5,372,470	5,234,355
Program support, as annexed	727,672	746,577
Advisory activities, as annexed	288,802	227,654
	6,388,944	6,208,586
Other:		
Investment services, as annexed	449,909	243,652
Administration, as annexed	688,078	601,528
Federal excise tax	400,403	258,558
	1,538,390	1,103,738
Less, Reimbursements, as annexed	77,645	76,661
	7,849,689	7,235,663
Net increase before gain on investments	714,369	3,304,431
Net realized and unrealized gain on investments, as annexed	15,882,938	18,040,119
Net increase after gain on investments	16,597,307	21,344,550
Beginning balance	136,510,180	115,165,630
Ending balance	\$153,107,487	\$136,510,180

STATEMENTS OF SUPPORT, REVENUE, EXPENSES AND CHANGES
IN OTHER FUND BALANCES (NOTE 3)
for the years ended December 31, 1983 and 1982

Support and revenue:

Interest income
Other income

Expenses:

Program-related:
Appropriations authorized (net of appropriations lapsed)
Other:
Salaries, employee benefits, consultant and legal fees
Federal excise tax

Net increase (decrease) before loss on investments
Net realized and unrealized gain (loss) on investments

Net increase (decrease) after gain (loss) on investments
Beginning balances

Ending balances

Fund for the Ramon Magsaysay Award Foundation
Abby R. Mauzé Fund

Total other fund balances, end of year

1983

1982

<i>Fund for the Ramon Magsaysay Award Foundation</i>	<i>Abby R. Mauzé Fund</i>	<i>Fund for the Ramon Magsaysay Award Foundation</i>	<i>Abby R. Mauzé Fund</i>
\$ 83,255	\$ 68,677	\$ 87,422 10,000	\$ 166,736
83,255	68,677	97,422	166,736
50,000	1,566,200	50,000	235,500
38,804 1,665	35,318	31,427 1,748	83,244 3,359
90,469	1,601,518	83,175	322,103
(7,214) (48,393)	(1,532,841) 779	14,247 157,339	(155,367) 136,715
(55,607) 912,072	(1,532,062) 1,532,062	171,586 740,486	(18,652) 1,550,714
\$856,465	—	\$ 912,072	\$1,532,062
\$856,465		\$ 912,072 1,532,062	
\$856,465		\$2,444,134	

1. Summary of Significant Accounting Policies:

Support, revenue 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 are valued based on prices determined by the Fund's investment advisor (aggregate value as of December 31, 1983 approximates \$330,000). Program-related investments 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 Fund for the Ramon Magsaysay Award Foundation and the Abby R. Mauzé Fund. During 1983, all of the assets of the Abby R. Mauzé Fund were appropriated to various philanthropic organizations and the Fund ceased operations. The assets, liabilities and fund balances for these funds as of December 31, 1983 and 1982 are as follows:

	<i>As of December 31,</i>	
	<i>1983</i>	<i>1982</i>
Fund for the Ramon Magsaysay Award Foundation:		
Cash	\$ 335	\$ 632
Short-term investments, at cost, which approximates market, as annexed	126,000	133,000
Long-term investment, at market value, as annexed (cost: \$946,305 in 1983 and 1982)	731,795	780,188
Total assets	858,130	913,820
Less, Federal excise tax payable	1,665	1,748
Fund balance	856,465	912,072
Abby R. Mauzé Fund:		
Cash		523,626
Short-term investments, at cost, which approximates market, as annexed		32,000
Long-term investments, at market value (cost: \$995,033 in 1982)		983,595
Total assets		1,539,221
Less:		
Federal excise tax payable		3,359
Unpaid appropriations		3,800
Fund balance		1,532,062
Total fund balances, other funds	\$856,465	\$2,444,134

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 makes annual contributions to the plan equal to the amount accrued for pension expense. The Fund's pension expense under this plan was \$40,000 in 1982. In 1983, no contribution was required. Accumulated plan benefits and plan net assets are presented below:

	<i>As of January 1,</i>	
	<i>1983</i>	<i>1982</i>
Actuarial present value of accumulated plan benefits:		
Vested	\$2,043,492	\$2,025,137
Nonvested	118,357	37,784
	<hr/>	<hr/>
	\$2,161,849	\$2,062,921
Net assets available for plan benefits	\$3,061,152	\$3,279,796

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 receiving a similar amount of contributions from other donors. Approximately \$1,990,500 and \$5,900,000 of such conditional grants are included in unpaid appropriations as of December 31, 1983 and 1982, respectively.

7. Securities Loaned:

The Fund loans certain stocks and bonds included in its investment portfolio to brokerage firms. In return, the Fund receives, as collateral, cash or U.S. Treasury bills in an amount at least equal to the market value of the securities. 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, 1983 and 1982, the market value of securities loaned under this arrangement approximated \$10,000,000 and \$3,400,000, 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.

9. Commitments:

a. The Fund has a lease commitment for office facilities. The future minimum rental payments required under this lease, which contains normal escalation clauses, are as follows:

1984	\$170,500
1985	172,800
1986	172,800
1987	172,800
1988	172,800
Total	<hr/>
	\$861,700

Rent expense of \$181,468 and \$175,406 for 1983 and 1982, respectively, is included in the Schedule of Functional Expenses.

b. During 1982, the Fund agreed to invest \$5,000,000 in Emerging Growth Partners, an investment partnership. At December 31, 1983, \$3,750,000 had been invested.

10. Reclassifications:

In 1983, unpaid appropriations have been classified as a liability of the Fund. Accordingly, unpaid appropriations of \$25,092,911 at December 31, 1982 have been reclassified for comparative purposes.

SCHEDULE OF FUNCTIONAL EXPENSES, PRINCIPAL FUND
for the year ended December 31, 1983 with Comparative 1982 Totals

Salaries and related expenses:

Salaries
Group life insurance
Thrift plan
Other employee benefits
Unemployment and disability insurance
Social security tax

Other expenses:

Consultants' fees
Investment services
Legal and audit fees
Travel
Rent and electricity (Note 9)
Telephone
Furniture and equipment
General office expenses
Publications

Less, Reimbursement received for share of expenses:
 Rockefeller Family Fund, Inc.
 Other

<i>Program Support (Note 8)</i>	<i>Advisory Activities (Note 8)</i>	<i>Investment Services</i>	<i>Administration</i>	<i>1983 Total</i>	<i>1982 Total</i>
\$347,330	\$146,267		\$325,615	\$ 819,212	\$ 770,235
9,454	3,982		8,865	22,301	25,905
19,377	8,158		18,166	45,701	42,775
26,067	10,974		24,437	61,478	47,040
1,992	839		1,867	4,698	3,912
17,917	7,543		16,797	42,257	40,156
422,137	177,763		395,747	995,647	930,023
88,746	19,764		37,203	145,712	138,003
		\$449,909		449,909	243,652
			72,690	72,690	59,660
64,612	27,210			91,822	80,195
84,728	35,670		79,432	199,831	192,151
20,868	8,785		19,563	49,215	46,910
			6,633	6,633	2,362
30,692	12,922		61,914	105,528	111,630
15,889	6,688		14,896	37,474	14,825
\$727,672	\$288,802	\$449,909	\$688,078	2,154,461	1,819,411
				70,051	71,337
				7,594	5,324
				\$2,076,816	\$1,742,750

SCHEDULE OF INVESTMENTS, PRINCIPAL FUND

December 31, 1983

SUMMARY OF INVESTMENTS

	<i>Cost</i>	<i>Carrying Value (Note 1)</i>
Short-term investments	\$ 8,350,000	\$ 8,350,000*
Long-term investments:		
U.S. Government and agency bonds	\$ 4,604,573	\$ 4,386,444
U.S. Treasury notes	10,953,083	11,286,875
Foreign bonds	270,130	206,277
Corporate bonds	4,071,624	3,158,032
Corporate notes	2,121,120	2,062,475
Common stocks	76,890,792	123,558,681
Other investment	3,750,000	3,750,000
Total long-term investments	\$102,661,322	\$148,408,784
Program-related investments	\$ 2,484,731	\$ 1,803,180
	<i>Principal Amount</i>	<i>Cost*</i>
Short-term investments:		
Notes due on demand (at prevailing market interest rates):		
Prudential-Bache	\$ 919,000	\$ 919,000
Citicorp	960,000	960,000
CIT Financial Corp.	13,000	13,000
First Boston Corp.	162,000	162,000
General Electric Credit Corp.	122,000	122,000
General Motors Acceptance Corp.	5,779,000	5,779,000
Goldman Sachs & Co.	57,000	57,000
Phillips Chemical Corp.	190,000	190,000
Sears Roebuck Acceptance Corp.	148,000	148,000
Total short-term investments	\$8,350,000	\$8,350,000

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	\$ 1,032,810
Federal National Mortgage Association: 7.9%, October 10, 1985 9.2%, April 10, 1986	2,000,000 1,000,000	1,999,028 971,250	1,903,760 961,250
		2,970,278	2,865,010
U.S. Postal Service, 6.875%, February 1, 1997	300,000	294,375	193,500
U.S. Treasury, 6.75%, February 15, 1993	400,000	339,920	295,124
Total U.S. Government and agency bonds		\$ 4,604,573	\$ 4,386,444
U.S. Treasury notes:			
11.75%, November 15, 1985	1,000,000	\$ 998,350	\$ 1,015,940
14%, March 31, 1986	500,000	500,895	529,220
7.875%, May 15, 1986	2,000,000	2,000,497	1,875,000
13.875%, November 15, 1986	1,000,000	997,200	1,066,560
16.125%, November 15, 1986	500,000	501,719	560,155
14%, May 15, 1987	1,000,000	998,150	1,072,810
13.25%, April 15, 1988	3,000,000	2,942,805	3,173,430
11.75%, November 15, 1993	2,000,000	2,013,467	1,993,760
Total U.S. Treasury notes		\$10,953,083	\$11,286,875
Foreign bonds:			
TransCanada Pipelines Ltd.: 5.625%, May 1, 1985 7.125%, August 1, 1987	26,000 244,000	\$ 26,130 244,000	\$ 23,887 182,390
Total foreign bonds		\$ 270,130	\$ 206,277
Corporate bonds:			
Utilities:			
Northern Illinois Gas Company, 6%, August 1, 1991	225,000	\$ 170,156	\$ 162,844
Pacific Gas and Electric Co., 5%, June 1, 1989	250,000	196,818	183,750
Pacific Power and Light Company, 3.5%, August 1, 1984	200,000	209,500	191,750
Southern Bell Telephone Co., 7.625%, March 15, 2013	750,000	750,000	460,313
		1,326,474	998,657

Continued

	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments, continued			
Financials:			
Irving Bank Corp., 5.75%, August 1, 1991	\$ 500,000	\$ 458,775	\$ 350,000
Macy Credit Corp., Deb., 5.375%, June 1, 1985	250,000	247,625	229,375
		706,400	579,375
Industrials:			
Standard Oil Co. (Indiana), 9.2%, July 15, 2004	2,000,000	2,038,750	1,580,000
Total corporate bonds		\$4,071,624	\$3,158,032
Corporate notes:			
Continental Mortgage Investors, 15%, March 31, 1990	\$ 98,000	\$ 92,120	\$ 93,100
International Telephone & Telegraph Credit Corp., 5.1%, December 1, 1984	31,000	31,000	31,000
Ryan Homes Inc., Convertible, 6%, July 15, 1991	300,000	300,000	344,625
Sears Roebuck & Co., 8.375%, December 31, 1986	1,000,000	998,000	920,000
Sun Co., Inc., 10.75%, April 1, 2006	700,000	700,000	673,750
Total corporate notes		\$2,121,120	\$2,062,475
			<i>Market Value (Note 1)</i>
	<i>Shares</i>	<i>Cost</i>	
Common stocks:			
AMP, Inc.	4,200	\$ 237,095	\$ 480,375
Ahmanson (H.F.) & Co.	9,400	360,662	289,050
Amerada Hess Corp.	12,000	364,718	348,000
American Express Co.	30,000	342,555	978,750
American Home Products Corp.	40,000	1,755,875	1,985,000
American Hospital Supply Corp.	15,000	680,775	594,375
American Telephone & Telegraph Co.	68,000	3,922,788	4,182,000
Applied Biosystems Inc.	2,700	48,425	48,600
Astra Corp.	1,900	370,034	134,900
Avnet, Inc.	14,100	350,591	648,600
Baxter Travenol Labs., Inc.	28,300	541,923	657,975
Brown-Forman Distillers Corp.	12,700	460,362	412,750
Brush Wellman Inc.	11,900	316,733	663,425
CNA Financial Corp.	11,600	163,328	245,050
CPC Internatioanl Inc.	18,000	671,142	693,000
Capital Cities Communications, Inc.	3,100	241,812	446,400
Caterpillar Tractor Co.	50,000	1,487,277	2,362,500
Chase Manhattan Corp.	50,000	1,182,525	2,275,000
Chemlawn Corp.	7,500	332,199	307,500
CIGNA Corp.	24,800	838,653	1,085,000
Communications Satellite Corp.	15,000	462,882	491,250
Continental Mtg. Investors—Preferred	314,500	270,273	270,470
Cox Communications, Inc.	10,700	324,331	482,838
Cray Research, Inc.	3,700	194,692	205,812

Continued

Long-term investments, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Common stocks, continued:			
Dover Corp.	30,000	\$ 844,700	\$ 900,000
Duke Power Co.	50,000	915,550	1,256,250
Equatorial Communications Co.	10,100	203,771	203,262
Exxon Corp.	100,000	965,600	3,737,500
Federal Express	7,600	325,145	351,500
Federal National Mortgage Association	20,000	246,000	460,000
Federated Department Stores, Inc.	50,000	1,713,721	2,681,250
First Boston Corp.**	500	20,188	20,875
First Data Resources Inc.	10,000	131,250	138,750
First Nationwide Financial Corp.	24,800	505,114	458,800
Floating Point Systems, Inc.	12,900	307,420	464,400
Forest Laboratories Inc.	3,100	106,484	83,700
Freeport McMoran, Inc.	80,000	167,104	1,610,000
Freeport McMoran Oil & Gas Royalty Trust	15,999	111,403	83,995
General Electric Co.	85,000	880,886	4,983,125
General Foods Corp.	7,500	313,478	385,313
General Host Corp.	6,750	105,827	94,500
General Motors Corp.	53,000	3,312,055	3,941,875
General Re Corp.	9,700	523,338	664,450
Grainger (W.W.), Inc.	60,000	714,300	3,690,000
Graphic Scanning Co.	18,000	178,250	117,000
Great Lakes Chemical Corp.	18,800	295,510	636,850
Great Western Financial Corp.	12,200	350,996	268,400
Halliburton Co.	30,000	781,114	1,211,250
Hewlett Packard Co.	20,000	809,100	847,500
Home Depot, Inc.	12,800	253,918	336,000
Home Federal Savings & Loan Association of San Diego	10,122	169,544	141,708
Houston Industries Inc.	21,500	434,132	416,563
I.M.S. International Corp.	18,400	267,787	515,200
Information Resources Inc.	3,100	84,500	79,050
Interfirst Corp.	26,000	560,259	432,250
International Business Machines Corp.	60,300	1,748,250	7,356,600
ITT Corp.	10,000	414,641	447,500
Johnson & Johnson	41,200	1,903,491	1,684,050
Kolff Medical Inc.	13,000	162,500	58,500
Kyocera Ltd.		221,960	308,275
Liebert Corp.	2,900	56,700	60,900
Loctite Corp.	9,500	390,291	394,250
Loews Corp.	2,800	263,025	522,200
Manufacturers Hanover Corp.	16,000	443,030	608,000
Masco Corp.	100,000	624,752	3,375,000
Matrix Corp.	8,100	230,407	214,650
Matrix Science Corp.	2,900	98,150	108,025
Merck & Co., Inc.	25,000	1,150,095	2,259,375
Micom Systems, Inc.	4,900	142,862	210,700
Miller (Herman), Inc.	27,400	316,350	736,375
Mobil Corp.	120,000	564,360	3,450,000
Molex Inc.	9,900	297,000	779,625
Multimedia Inc.	14,050	302,075	523,362

Continued

**Donated Security.
See accompanying notes.

Long-term investments, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Common stocks, continued:			
National Medical Care Inc.	13,800	\$ 207,921	\$ 193,200
Norfolk Southern Corp.	27,500	654,711	1,735,938
Northern Indiana Public Service	25,000	381,707	365,625
Northern State Power Co.	50,000	1,383,705	1,900,000
Northern Telecom Ltd.	25,000	1,021,250	975,000
Novo Corp.	9,800	462,475	548,800
Onyx Imi Inc.	5,800	109,439	55,100
Owens-Corning Fiberglass Corp.	5,800	125,480	211,700
Oxoco Inc.	18,000	195,375	148,500
Pall Corp.	21,466	440,988	794,242
Panhandle Eastern Corp.	10,000	249,575	361,250
Pharmacia AB	29,366	249,402	568,966
Penn Central Corp.	30,000	731,733	1,125,000
Pfizer Inc.	40,000	672,785	1,430,000
Premier Industrial Corp.	14,500	347,638	496,625
Procter & Gamble Co.	70,000	2,493,190	3,981,250
Purolator Inc.	40,000	1,442,653	2,480,000
RCA Corp.	16,000	403,746	556,000
Ralston Purina Co.	60,000	1,497,300	1,665,000
Raychem Corp.	6,400	360,204	499,200
Rite Aid Corp.	30,000	1,179,300	1,335,000
Sabine Corp.	9,600	171,180	196,800
Sandoz Ltd.	800	383,075	418,400
Santa Fe Southern Pacific Corp.	77,150	1,880,000	2,025,200
Scoa Industries Inc.	21,625	412,476	562,250
Signal Companies Inc.	60,000	1,541,137	1,980,000
Squibb Corp.	20,800	977,247	949,000
Standard Oil Co. of California	100,000	895,250	3,462,500
Sterling Drug Inc.	12,000	317,618	325,500
Storer Broadcasting Co.	10,000	283,688	373,750
Super Valu Stores Inc.	27,400	520,615	801,450
Superior Oil Co.	11,700	394,145	429,975
TIE Communications, Inc.	31,100	384,499	839,700
TRW, Inc.	20,000	1,125,750	1,592,500
Tandon Corp.	14,400	116,867	288,000
Technicom International Inc.	600	6,701	7,800
Teradyne Inc.	17,100	217,617	615,600
Texas Utilities Co.	50,000	996,106	1,162,500
Toys "R" Us, Inc.	24,900	491,358	896,400
Tymshare Inc.	8,000	205,350	171,000

Continued

Long-term investments, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Common stocks, continued			
U S F & G Corp.	30,000	\$ 1,666,712	\$ 1,661,250
United States Shoe Corp.	30,000	1,198,150	1,128,750
United Stationers Inc.	13,700	136,144	369,900
United Technologies Corp.	30,000	2,072,475	2,175,000
Unitrode Corp.	15,300	410,695	493,425
Valley Federal Savings & Loan	3,100	83,123	50,762
Valley National Corp.	30,000	596,187	746,250
Wal Mart Stores Inc.	20,900	573,125	815,100
Weyerhaeuser Co.	60,000	1,757,460	2,025,000
Xidex Corp.	15,400	305,689	331,100
Zayre Corp.	14,800	309,743	640,100
Total common stocks		\$76,890,792	\$123,558,681
Other investment:			
Emerging Growth Partners	3,750,000	\$ 3,750,000	\$ 3,750,000
		<i>Cost</i>	<i>Fair Value (Note 1)</i>
Program-related investments:			
CAF Inc., investment units		\$1,000,000	\$1,000,000
The Interchurch Center, \$540,000 second mortgage leasehold bonds, 5 ½ %, due January 1, 1998		540,000	540,000
Ramon Magsaysay Award Foundation, first mortgage loan receivable, 6% payable annually through December 31, 1993		944,731	263,180
Total program-related investments		\$2,484,731	\$1,803,180

SCHEDULES OF NET REALIZED AND UNREALIZED GAIN (LOSS)
ON INVESTMENTS, PRINCIPAL FUND
for the years ended December 31, 1983 and 1982

	<i>1983</i>	<i>1982</i>
Realized gain from security transactions (excluding short-term investments):		
Proceeds from sales and redemptions	\$70,440,937	\$39,501,633
Identified cost of securities sold and redeemed	51,786,723	33,916,686
Net realized gain	18,654,214	5,584,947
Unrealized gain (loss) on investments:		
End of year	45,065,911	47,837,187
Less:		
Beginning of year	47,837,187	35,382,015
Increase (decrease) in unrealized appreciation	(2,771,276)	12,455,172
Net realized and unrealized gain on investments	\$15,882,938	\$18,040,119

SCHEDULE OF INVESTMENTS, OTHER FUNDS

December 31, 1983

	<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):			
Citicorp	\$ 27,000	\$ 27,000	
General Motors Acceptance Corp.	3,000	3,000	
Sears Roebuck Acceptance Corp.	96,000	96,000	
		\$ 126,000	
		<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investment:			
U.S. Treasury bond, 7.25%, August 15, 1992	950,000	\$ 946,305	\$731,795

*Approximates market value.
See accompanying notes.

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(2) Advisory Trustee

(3) Effective June 30, 1983

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*Part-time

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