

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

**2009**

Department of the Treasury  
Internal Revenue Service

*Note: The foundation may be able to use a copy of this return to satisfy state reporting requirements.*

**For calendar year 2009, or tax year beginning , 2009, and ending**

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

|  |  |  |
|--|--|--|
| <b>Use the IRS label. Otherwise, print or type. See Specific Instructions.</b>   | Name of foundation<br><b>Rockefeller Brothers Fund, Inc.</b>   | <b>A</b> Employer identification number<br><b>13-1760106</b>   |
|  | Number and street (or P.O. box number if mail is not delivered to street address) Room/suite<br><b>475 Riverside Drive 900</b> | <b>B</b> Telephone number (see the instructions)<br><b>(212) 812-4200</b>  |
|  | City or town State ZIP code<br><b>New York NY 10115</b>  | <b>C</b> If exemption application is pending, check here <input type="checkbox"/><br><b>D 1</b> Foreign organizations, check here <input type="checkbox"/><br><b>D 2</b> Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/><br><b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/><br><b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> |
| <b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation |  |  |
| <b>I</b> Fair market value of all assets at end of year (from Part II, column (c), line 16)<br><b>\$ 729,263,381.</b>  |  | <b>J</b> Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____<br><i>(Part I, column (d) must be on cash basis.)</i>  |

| <b>Analysis of Revenue and Expenses</b> (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see the instructions).)   |   | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|------------------------------------|---------------------------|-------------------------|---|
| <b>R<br/>E<br/>V<br/>E<br/>N<br/>U<br/>E</b>  | <b>1</b> Contributions, gifts, grants, etc., received (att sch) <span style="float: right;">1,237,264.</span>                 | 1,237,264.                         |                           |                         |   |
|   | <b>2</b> Ck <input type="checkbox"/> if the foundn is not req to att Sch B  |                                    |                           |                         |   |
|   | <b>3</b> Interest on savings and temporary cash investments <span style="float: right;">826,917.</span>                       | 826,917.                           | 826,917.                  |                         |   |
|   | <b>4</b> Dividends and interest from securities <span style="float: right;">271,953.</span>                                   | 271,953.                           | 7,518,917.                |                         |   |
|   | <b>5a</b> Gross rents   |                                    |                           |                         |   |
|   | <b>b</b> Net rental income or (loss)  |                                    |                           |                         |   |
|   | <b>6a</b> Net gain/(loss) from sale of assets not on line 10 <span style="float: right;">-46,798,688.</span>                  | -46,798,688.                       |                           |                         |   |
|   | <b>b</b> Gross sales price for all assets on line 6a <span style="float: right;">455,789,359.</span>                          | 455,789,359.                       |                           |                         |   |
|   | <b>7</b> Capital gain net income (from Part IV, line 2) <span style="float: right;">0.</span>                                 | 0.                                 |                           |                         |   |
|   | <b>8</b> Net short-term capital gain  |                                    |                           |                         |   |
|   | <b>9</b> Income modifications   |                                    |                           |                         |   |
|   | <b>10a</b> Gross sales less returns and allowances  |                                    |                           |                         |   |
| <b>b</b> Less: Cost of goods sold   |   |                                    |                           |                         |   |
| <b>c</b> Gross profit/(loss) (att sch)  |   |                                    |                           |                         |   |
| <b>11</b> Other income (attach schedule)<br>See Line 11 Stmt <span style="float: right;">1,090,676.</span>  | 1,090,676.  | -6,785,499.                        |                           |                         |   |
| <b>12 Total.</b> Add lines 1 through 11 <span style="float: right;">-43,371,878.</span>   | -43,371,878.  | 1,560,335.                         |                           |                         |   |
| <b>A<br/>D<br/>M<br/>I<br/>N<br/>I<br/>S<br/>T<br/>R<br/>A<br/>T<br/>I<br/>V<br/>E<br/><br/>O<br/>P<br/>E<br/>R<br/>A<br/>T<br/>I<br/>N<br/>G<br/><br/>A<br/>N<br/>D<br/><br/>E<br/>X<br/>P<br/>E<br/>N<br/>S<br/>E<br/>S</b> | <b>13</b> Compensation of officers, directors, trustees, etc. <span style="float: right;">1,589,810.</span>                   | 1,589,810.                         | 106,415.                  |                         | 1,239,771.  |
|   | <b>14</b> Other employee salaries and wages <span style="float: right;">3,307,407.</span>                                     | 3,307,407.                         | 62,798.                   |                         | 3,467,833.  |
|   | <b>15</b> Pension plans, employee benefits <span style="float: right;">2,233,410.</span>                                      | 2,233,410.                         | 77,886.                   |                         | 1,772,850.  |
|   | <b>16a</b> Legal fees (attach schedule) . See Schedule 3 <span style="float: right;">195,655.</span>                          | 195,655.                           | 30,543.                   |                         | 170,620.  |
|   | <b>b</b> Accounting fees (attach sch) <span style="float: right;">184,119.</span>   | 184,119.                           | 128,883.                  |                         | 52,461.   |
|   | <b>c</b> Other prof fees (attach sch) <span style="float: right;">3,707,299.</span>   | 3,707,299.                         | 1,566,599.                |                         | 2,389,679.  |
|   | <b>17</b> Interest  |                                    |                           |                         |   |
|   | <b>18</b> Taxes (attach schedule)(see instr.) See Line 18 Stmt <span style="float: right;">1,147,898.</span>                  | 1,147,898.                         |                           |                         |   |
|   | <b>19</b> Depreciation (attach sch) and depletion . See Schedule 4 <span style="float: right;">2,516,959.</span>              | 2,516,959.                         | 52,795.                   |                         |   |
|   | <b>20</b> Occupancy <span style="float: right;">3,109,747.</span>   | 3,109,747.                         | 1,071,693.                |                         | 2,040,014.  |
|   | <b>21</b> Travel, conferences, and meetings <span style="float: right;">778,990.</span>                                       | 778,990.                           | 5,540.                    |                         | 778,080.  |
|   | <b>22</b> Printing and publications <span style="float: right;">298,589.</span>   | 298,589.                           |                           |                         | 298,589.  |
|   | <b>23</b> Other expenses (attach schedule)<br>See Line 23 Stmt <span style="float: right;">982,581.</span>                    | 982,581.                           | 25,514.                   |                         | 896,912.  |
|   | <b>24 Total operating and administrative expenses.</b> Add lines 13 through 23 <span style="float: right;">20,052,464.</span> | 20,052,464.                        | 3,128,666.                |                         | 13,106,809.   |
|   | <b>25</b> Contributions, gifts, grants paid <span style="float: right;">27,170,535.</span>                                    | 27,170,535.                        |                           |                         | 31,188,924.   |
| <b>26 Total expenses and disbursements.</b> Add lines 24 and 25 <span style="float: right;">47,222,999.</span>  | 47,222,999.   | 3,128,666.                         |                           | 44,295,733.             |   |
| <b>27</b> Subtract line 26 from line 12:  |   |                                    |                           |                         |   |
| <b>a Excess of revenue over expenses and disbursements</b> <span style="float: right;">-90,594,877.</span>  | -90,594,877.  |                                    |                           |                         |   |
| <b>b Net investment income</b> (if negative, enter -0-) <span style="float: right;">0.</span>   |   | 0.                                 |                           |                         |   |
| <b>c Adjusted net income</b> (if negative, enter -0-) <span style="float: right;">0.</span>   |   |                                    | 0.                        |                         |   |

| Balance Sheets              |  | Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)        |   |              |             |
|-----------------------------|--|---|---|--------------|-------------|
|                             |  | Beginning of year<br>(a) Book Value   | End of year<br>(b) Book Value (c) Fair Market Value |              |             |
| ASSETS                      | 1  | Cash – non-interest-bearing   | 161,583.  | 728,900.     | 728,900.    |
|                             | 2  | Savings and temporary cash investments  | 12,055,542.   | 20,158,547.  | 20,158,547. |
|                             | 3  | Accounts receivable   | 1,571,675.  |              |             |
|                             |  | Less: allowance for doubtful accounts   | 0.  | 1,571,675.   | 1,571,675.  |
|                             | 4  | Pledges receivable  | 13,539,872.   |              |             |
|                             |  | Less: allowance for doubtful accounts   | 0.  | 13,539,872.  | 13,539,872. |
|                             | 5  | Grants receivable   |   |              |             |
|                             | 6  | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see the instructions) |   |              |             |
|                             | 7  | Other notes and loans receivable (attach sch)   |   |              |             |
|                             |  | Less: allowance for doubtful accounts   |   |              |             |
|                             | 8  | Inventories for sale or use   |   |              |             |
|                             | 9  | Prepaid expenses and deferred charges   | 40,562.   | 5,114.       | 5,114.      |
|                             | 10a  | Investments – U.S. and state government obligations (attach schedule) See Schedule 5  | 18,374,170.   | 19,285,613.  | 19,285,613. |
|                             | b  | Investments – corporate stock (attach schedule)   | 167,018,119.  |              |             |
|                             | c  | Investments – corporate bonds (attach schedule)   | 12,284,640.   |              |             |
|                             | 11   | Investments – land, buildings, and equipment: basis   | 510,000.  |              |             |
|                             | Less: accumulated depreciation (attach schedule) See Schedule 6  | 510,000.  | 510,000.  | 510,000.     |             |
| 12                          | Investments – mortgage loans   |   |   |              |             |
| 13                          | Investments – other (attach schedule) See Schedule 7   | 410,447,437.  | 661,959,697.  | 661,959,697. |             |
| 14                          | Land, buildings, and equipment: basis  | 32,378,729.   |   |              |             |
|                             | Less: accumulated depreciation (attach schedule) See Schedule 8  | 20,874,766.   | 5,764,433.  | 11,503,963.  |             |
| 15                          | Other assets (describe)  | 1,485,000.  |   |              |             |
| 16                          | <b>Total assets</b> (to be completed by all filers – see instructions. Also, see page 1, item I)                                       | 663,781,425.  | 729,263,381.  | 729,263,381. |             |
| LIABILITIES                 | 17   | Accounts payable and accrued expenses   | 5,050,645.  | 5,781,939.   |             |
|                             | 18   | Grants payable  | 16,907,498.   | 12,885,309.  |             |
|                             | 19   | Deferred revenue  |   |              |             |
|                             | 20   | Loans from officers, directors, trustees, & other disqualified persons  |   |              |             |
|                             | 21   | Mortgages and other notes payable (attach schedule)   |   |              |             |
|                             | 22   | Other liabilities (describe) <u>Deferred Taxes</u>  |   | 441,941.     |             |
|                             | 23   | <b>Total liabilities</b> (add lines 17 through 22)  | 21,958,143.   | 19,109,189.  |             |
| NET ASSETS OR FUND BALANCES | Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/> |   |   |              |             |
|                             | 24   | Unrestricted  | 624,859,525.  | 692,356,768. |             |
|                             | 25   | Temporarily restricted  | 9,068,757.  | 9,902,424.   |             |
|                             | 26   | Permanently restricted  | 7,895,000.  | 7,895,000.   |             |
|                             | Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>                         |   |   |              |             |
|                             | 27   | Capital stock, trust principal, or current funds  |   |              |             |
|                             | 28   | Paid-in or capital surplus, or land, building, and equipment fund   |   |              |             |
|                             | 29   | Retained earnings, accumulated income, endowment, or other funds  |   |              |             |
| 30                          | <b>Total net assets or fund balances</b> (see the instructions)  | 641,823,282.  | 710,154,192.  |              |             |
| 31                          | <b>Total liabilities and net assets/fund balances</b> (see the instructions)   | 663,781,425.  | 729,263,381.  |              |             |

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

|   |  |   |                     |
|---|--|---|---------------------|
| 1 | Total net assets or fund balances at beginning of year – Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 641,823,282.        |
| 2 | Enter amount from Part I, line 27a   | 2 | -90,594,877.        |
| 3 | Other increases not included in line 2 (itemize) <u>Unrealized Appreciation on Investments</u>   | 3 | 160,461,517.        |
| 4 | Add lines 1, 2, and 3  | 4 | 711,689,922.        |
| 5 | Decreases not included in line 2 (itemize) <u>See Other Decreases Stmt</u>   | 5 | 1,535,730.          |
| 6 | <b>Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30</b>   | 6 | <b>710,154,192.</b> |

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

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shares MLC Company) | (b) How acquired<br>P — Purchase<br>D — Donation | (c) Date acquired<br>(month, day, year) | (d) Date sold<br>(month, day, year) |
|--|--|---|-------------------------------------|
| 1 a  |  |   |                                     |
| b  |  |   |                                     |
| c  |  |   |                                     |
| d  |  |   |                                     |
| e  |  |   |                                     |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--|---|--|
| a                     |  |   |  |
| b                     |  |   |  |
| c                     |  |   |  |
| d                     |  |   |  |
| e                     |  |   |  |

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

| (i) Fair Market Value<br>as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of column (i)<br>over column (j), if any | (l) Gains (Column (h)<br>gain minus column (k), but not less<br>than -0-) or Losses (from column (h)) |
|---|--------------------------------------|---|---|
| a                                       |                                      |   |   |
| b                                       |                                      |   |   |
| c                                       |                                      |   |   |
| d                                       |                                      |   |   |
| e                                       |                                      |   |   |

|  |   |              |
|--|---|--------------|
| 2 Capital gain net income or (net capital loss). <span style="float: right;">[ If gain, also enter in Part I, line 7<br/>If (loss), enter -0- in Part I, line 7 ]</span>   | 2 | -43,108,729. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c) (see the instructions). If (loss), enter -0-<br>in Part I, line 8. <span style="float: right;">[ ]</span> | 3 |              |

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?  Yes  No

If 'Yes,' the foundation does not qualify under section 4940(e). Do not complete this part.

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

| (a) Base period years<br>Calendar year (or tax year<br>beginning in) | (b) Adjusted qualifying distributions | (c) Net value of<br>noncharitable-use assets | (d) Distribution ratio<br>(column (b) divided by column (c)) |
|--|---------------------------------------|--|--|
| 2008   | 48,477,527.                           | 829,638,960.                                 | 0.058432   |
| 2007   | 41,088,800.                           | 922,756,652.                                 | 0.044528   |
| 2006   | 36,930,163.                           | 815,936,975.                                 | 0.045261   |
| 2005   | 33,914,557.                           | 744,329,891.                                 | 0.045564   |
| 2004   | 33,403,835.                           | 687,274,753.                                 | 0.048603   |

|  |   |              |
|--|---|--------------|
| 2 Total of line 1, column (d)  | 2 | 0.242388     |
| 3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.048478     |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5   | 4 | 647,412,111. |
| 5 Multiply line 4 by line 3  | 5 | 31,385,244.  |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)   | 6 | 0.           |
| 7 Add lines 5 and 6  | 7 | 31,385,244.  |
| 8 Enter qualifying distributions from Part XII, line 4   | 8 | 52,300,115.  |

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see the instructions)

Table with 11 rows for excise tax calculation. Includes items like 'Exempt operating foundations', 'Domestic foundations', 'Tax under section 511', 'Credits/Payments', and 'Total credits and payments'. Total amount owed is 1,021,954.

Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political influence, political purposes, Form 1120-POL filing, and other activities. Includes 'Yes' and 'No' columns.

**Statements Regarding Activities Continued**

|    |   |    |   |   |
|----|---|----|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)                                   | 11 |   | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?   | 12 |   | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address <u>www.rbf.org</u>   | 13 | X |   |
| 14 | The books are in care of <u>Leah A. D'Angelo</u> Telephone no. <u>(212) 812-4228</u><br>Located at <u>475 Riverside Drive</u> <u>New York</u> <u>NY</u> ZIP + 4 <u>10115</u>  |    |   |   |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here <input type="checkbox"/><br>and enter the amount of tax-exempt interest received or accrued during the year <u>15</u> |    |   |   |

**Statements Regarding Activities for Which Form 4720 May Be Required**

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

|            |   | Yes | No |
|------------|---|-----|----|
| <b>1 a</b> | During the year did the foundation (either directly or indirectly):   |     |    |
| (1)        | Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |     |    |
| (2)        | Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |     |    |
| (3)        | Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  |     |    |
| (4)        | Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  |     |    |
| (5)        | Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No   |     |    |
| (6)        | Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No   |     |    |
| <b>b</b>   | If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see the instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/>  | 1 b | X  |
| <b>c</b>   | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?   | 1 c | X  |
| <b>2</b>   | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):  |     |    |
| <b>a</b>   | At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>If 'Yes,' list the years <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u> .   |     |    |
| <b>b</b>   | Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see the instructions.)  | 2 b |    |
| <b>c</b>   | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.<br><u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u> .   |     |    |
| <b>3 a</b> | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  |     |    |
| <b>b</b>   | If 'Yes,' did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.) | 3 b |    |
| <b>4 a</b> | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?   | 4 a | X  |
| <b>b</b>   | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?   | 4 b | X  |

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

**5a** During the year did the foundation pay or incur any amount to:

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?  Yes  No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?  Yes  No
- (3) Provide a grant to an individual for travel, study, or other similar purposes?  Yes  No
- (4) Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions)  Yes  No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?  Yes  No

**b** If any answer is 'Yes' to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

Organizations relying on a current notice regarding disaster assistance check here

5b X

**c** If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d).  Yes  No

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

Yes  No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If 'Yes' to 6b, file Form 8870.

6b X

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?  Yes  No

**b** If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

7b

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

**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

| (a) Name and address | (b) Title and average hours per week devoted to position | (c) Compensation (if not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|----------------------|--|---|---|---------------------------------------|
| See Schedule 10      |  | 1,589,810.                                | 382,254.  | 9,753.                                |
|                      |  |   |   |                                       |
|                      |  |   |   |                                       |
|                      |  |   |   |                                       |

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

| (a) Name and address of each employee paid more than \$50,000                | (b) Title and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|--|--|------------------|---|---------------------------------------|
| Charles Granguist<br>475 Riverside Drive, Suite 900<br>New York NY 10115     | Executive Director<br>35.00                              | 207,786.         | 60,289.   | 2,000.                                |
| Michael F. Northrop<br>475 Riverside Drive, Suite 900<br>New York NY 10115   | Program Director<br>35.00                                | 186,910.         | 57,763.   | 4,592.                                |
| Ben Rodriguez-Cubenas<br>475 Riverside Drive, Suite 900<br>New York NY 10115 | Program Director<br>35.00                                | 165,909.         | 36,513.   | 4,300.                                |
| Michael Klompus<br>475 Riverside Drive, Suite 900<br>New York NY 10115       | Director of Human Resou<br>35.00                         | 145,000.         | 28,666.   | 1,156.                                |
| Shenyu Belsky<br>475 Riverside Drive, Suite 900<br>New York NY 10115         | Program Director<br>35.00                                | 144,107.         | 32,429.   | 4,021.                                |

Total number of other employees paid over \$50,000

38

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

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

| (a) Name and address of each person paid more than \$50,000                          | (b) Type of service    | (c) Compensation |
|--|------------------------|------------------|
| Greenrock Corporation<br>200 Lake Road<br>Sleepy Hollow NY 10591                     | Facilities Maintenance | 1,143,669.       |
| Investure, LLC<br>126 Garrett Street, Suite J<br>Charlottesville VA 22902            | Investment Management  | 991,441.         |
| Venturcom, LLC<br>110 Wall Street, 11th Floor<br>New York NY 10005                   | IT Services            | 323,015.         |
| Patterson, Belknap, Webb & Tyler<br>1133 Avenue of the Americas<br>New York NY 10036 | Legal Services         | 198,717.         |
| BNY Mellon Asset Servicing<br>P.O. Box 371791<br>Pittsburgh PA 15251                 | Investment Custody     | 185,810.         |
| <b>Total</b> number of others receiving over \$50,000 for professional services      |                        | <b>8</b>         |

**Summary of Direct Charitable Activities**

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | Expenses   |
|--|------------|
| 1 <u>Pocantico Historic Area</u><br>(See Schedule 11)  | 3,577,363. |
| 2 <u>Assistance to Charitable Organizations</u><br>(See Schedule 11)   | 582,252.   |
| 3 <u>Pocantico Conference Center</u><br>(See Schedule 11)  | 266,136.   |
| 4  |            |

**Summary of Program-Related Investments (see instructions)**

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

BAA

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

|          |   |           |              |
|----------|---|-----------|--------------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes:  |           |              |
| <b>a</b> | Average monthly fair market value of securities   | <b>1a</b> | 655,174,149. |
| <b>b</b> | Average of monthly cash balances  | <b>1b</b> | 2,097,030.   |
| <b>c</b> | Fair market value of all other assets (see instructions)  | <b>1c</b> |              |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c)   | <b>1d</b> | 657,271,179. |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)   | <b>1e</b> |              |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets  | <b>2</b>  |              |
| <b>3</b> | Subtract line 2 from line 1d  | <b>3</b>  | 657,271,179. |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)   | <b>4</b>  | 9,859,068.   |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 | <b>5</b>  | 647,412,111. |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5  | <b>6</b>  | 32,370,606.  |

**Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here  and do not complete this part.)

|           |   |           |             |
|-----------|---|-----------|-------------|
| <b>1</b>  | Minimum investment return from Part X, line 6   | <b>1</b>  | 32,370,606. |
| <b>2a</b> | Tax on investment income for 2009 from Part VI, line 5  | <b>2a</b> | 0.          |
| <b>b</b>  | Income tax for 2009. (This does not include the tax from Part VI.)  | <b>2b</b> |             |
| <b>c</b>  | Add lines 2a and 2b   | <b>2c</b> | 0.          |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1                                     | <b>3</b>  | 32,370,606. |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions   | <b>4</b>  |             |
| <b>5</b>  | Add lines 3 and 4   | <b>5</b>  | 32,370,606. |
| <b>6</b>  | Deduction from distributable amount (see instructions)  | <b>6</b>  |             |
| <b>7</b>  | <b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | 32,370,606. |

**Qualifying Distributions** (see instructions)

|          |  |           |             |
|----------|--|-----------|-------------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc, purposes:  |           |             |
| <b>a</b> | Expenses, contributions, gifts, etc – total from Part I, column (d), line 26   | <b>1a</b> | 44,295,733. |
| <b>b</b> | Program-related investments – total from Part IX-B   | <b>1b</b> |             |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc, purposes   | <b>2</b>  | 8,004,382.  |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the:   |           |             |
| <b>a</b> | Suitability test (prior IRS approval required)   | <b>3a</b> |             |
| <b>b</b> | Cash distribution test (attach the required schedule)  | <b>3b</b> |             |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                                    | <b>4</b>  | 52,300,115. |
| <b>5</b> | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | <b>5</b>  | 0.          |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4  | <b>6</b>  | 52,300,115. |

**Note:** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.



**Undistributed Income** (see instructions)

|  | (a)<br>Corpus | (b)<br>Years prior to 2008 | (c)<br>2008 | (d)<br>2009 |
|--|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2009 from Part XI, line 7   |               |                            |             | 32,370,606. |
| 2 Undistributed income, if any, as of the end of 2009:   |               |                            |             |             |
| a Enter amount for 2008 only   |               |                            | 0.          |             |
| b Total for prior years: 20__, 20__, 20__  |               |                            |             |             |
| 3 Excess distributions carryover, if any, to 2009:   |               |                            |             |             |
| a From 2004  | 99,557.       |                            |             |             |
| b From 2005  |               |                            |             |             |
| c From 2006  |               |                            |             |             |
| d From 2007  |               |                            |             |             |
| e From 2008  | 8,847,022.    |                            |             |             |
| f Total of lines 3a through e  | 8,946,579.    |                            |             |             |
| 4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 52,300,115.  |               |                            |             |             |
| a Applied to 2008, but not more than line 2a   |               |                            |             |             |
| b Applied to undistributed income of prior years (Election required – see instructions)  |               |                            |             |             |
| c Treated as distributions out of corpus (Election required – see instructions)  |               |                            |             |             |
| d Applied to 2009 distributable amount   |               |                            |             | 32,370,606. |
| e Remaining amount distributed out of corpus   | 19,929,509.   |                            |             |             |
| 5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)  |               |                            |             |             |
| 6 Enter the net total of each column as indicated below:   |               |                            |             |             |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5  | 28,876,088.   |                            |             |             |
| b Prior years' undistributed income. Subtract line 4b from line 2b   |               | 0.                         |             |             |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed |               |                            |             |             |
| d Subtract line 6c from line 6b. Taxable amount – see instructions   |               | 0.                         |             |             |
| e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount – see instructions  |               |                            | 0.          |             |
| f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010  |               |                            |             | 0.          |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)                                  |               |                            |             |             |
| 8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see instructions)  | 99,557.       |                            |             |             |
| 9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a  | 28,776,531.   |                            |             |             |
| 10 Analysis of line 9:   |               |                            |             |             |
| a Excess from 2005   | 0.            |                            |             |             |
| b Excess from 2006   | 0.            |                            |             |             |
| c Excess from 2007   | 0.            |                            |             |             |
| d Excess from 2008   | 8,847,022.    |                            |             |             |
| e Excess from 2009   | 19,929,509.   |                            |             |             |

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

N/A

**1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, enter the date of the ruling ▶

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

|  | Prior 3 years |          |          |          | (e) Total |
|--|---------------|----------|----------|----------|-----------|
|  | (a) 2009      | (b) 2008 | (c) 2007 | (d) 2006 |           |
| <b>2 a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed                     |               |          |          |          |           |
| <b>b</b> 85% of line 2a  |               |          |          |          |           |
| <b>c</b> Qualifying distributions from Part XII, line 4 for each year listed   |               |          |          |          |           |
| <b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities   |               |          |          |          |           |
| <b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c                                   |               |          |          |          |           |
| <b>3</b> Complete 3a, b, or c for the alternative test relied upon:  |               |          |          |          |           |
| <b>a</b> 'Assets' alternative test – enter:  |               |          |          |          |           |
| <b>(1)</b> Value of all assets   |               |          |          |          |           |
| <b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)   |               |          |          |          |           |
| <b>b</b> 'Endowment' alternative test – enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed                              |               |          |          |          |           |
| <b>c</b> 'Support' alternative test – enter:   |               |          |          |          |           |
| <b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) |               |          |          |          |           |
| <b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)                                      |               |          |          |          |           |
| <b>(3)</b> Largest amount of support from an exempt organization   |               |          |          |          |           |
| <b>(4)</b> Gross investment income   |               |          |          |          |           |

**Supplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year – see instructions.)**

**1 Information Regarding Foundation Managers:**

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

None

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

None

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

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

**a** The name, address, and telephone number of the person to whom applications should be addressed:  
See Schedule 12

**b** The form in which applications should be submitted and information and materials they should include:  
See Schedule 12

**c** Any submission deadlines:  
See Schedule 12

**d** Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:  
See Schedule 12

**Supplementary Information (continued)**

**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business)                       | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount                |
|--|---|--------------------------------|----------------------------------|-----------------------|
| <p><b>a</b> <i>Paid during the year</i><br/>See Schedule 13</p>        |   |                                |                                  |                       |
| <b>Total</b> .....   |   |                                |                                  | <b>3a</b> 31,188,924. |
| <p><b>b</b> <i>Approved for future payment</i><br/>See Schedule 13</p> |   |                                |                                  |                       |
| <b>Total</b> .....   |   |                                |                                  | <b>3b</b> 12,885,309. |





**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

**INDEX****FORM 990-PF****2009****INDEX OF SCHEDULES**

|  |                    |
|--|--------------------|
| Schedule of Contributions, Gifts, Grants Received  | <b>Schedule B</b>  |
| Schedule of Expenditures - Taxes<br>Part I, line 18  | <b>Schedule 1A</b> |
| Schedule of Expenditures - Other Expenses<br>Part I, line 23   | <b>Schedule 1A</b> |
| Analysis of Changes in Fund Balance<br>Part III, line 5  | <b>Schedule 1A</b> |
| Schedule of Dividends and Interest from Securities<br>Part I, line 4   | <b>Schedule 1B</b> |
| Schedule of Capital Gain Net Income/(Loss)<br>Part 1, line 6a  | <b>Schedule 1</b>  |
| Schedule of Other Income<br>Part I, line 11  | <b>Schedule 2</b>  |
| Schedule of Expenditures<br>Part I, line 16  | <b>Schedule 3</b>  |
| Schedule of Depreciation<br>Part I, line 19  | <b>Schedule 4</b>  |
| Schedule of Investments<br>Part II, line 10(a), (b) & (c)  | <b>Schedule 5</b>  |
| Schedule of Investments - Land, Buildings, and<br>Equipment<br>Part II, line 11                              | <b>Schedule 6</b>  |
| Schedule of Investments - Other<br>Part II, line 13  | <b>Schedule 7</b>  |
| Schedule of Land, Buildings & Equipment<br>Part II, line 14  | <b>Schedule 8</b>  |
| Grants Subject to Expenditure Responsibility<br>Part VII-B, line 5 (c)                                       | <b>Schedule 9</b>  |
| Compensation of Officers, Directors & Trustees<br>Part VIII, line 1  | <b>Schedule 10</b> |
| Summary of Direct Charitable Activities<br>Part IX-A   | <b>Schedule 11</b> |
| Information Regarding Grant Programs<br>Part XV, line 2 (a-d)  | <b>Schedule 12</b> |
| Grants and Contributions Paid During the Year<br>or Approved for Future Payment<br>Part XV, line 3 (a) & (b) | <b>Schedule 13</b> |

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

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

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

OMB No. 1545-0047

**2009**

Name of the organization

Rockefeller Brothers Fund, Inc.

Employer identification number

13-1760106

Organization type (check one):

Filers of:

Form 990 or 990-EZ

Section:

- 501(c)(\_\_\_\_) (enter number) organization
- 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- 527 political organization

Form 990-PF

- 501(c)(3) exempt private foundation
- 4947(a)(1) nonexempt charitable trust treated as a private foundation
- 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

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

**General Rule –**

- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. (Complete Parts I and II.)

**Special Rules –**

- For a section 501(c)(3) organization filing Form 990 or 990-EZ, that met the 33-1/3% support test of the regulations under sections 509(a)(1)/170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ, that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ, that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc. purposes, but these contributions did not aggregate to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc. purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc. contributions of \$5,000 or more during the year. ▶ \$ \_\_\_\_\_

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

**BAA For Privacy Act and Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.**

**Schedule B (Form 990, 990-EZ, or 990-PF) (2009)**

Name of organization

Employer identification number

Rockefeller Brothers Fund, Inc.

13-1760106

**Contributors** (see instructions.)

| (a)<br>Number | (b)<br>Name, address, and ZIP + 4 | (c)<br>Aggregate contributions | (d)<br>Type of contribution  |
|---------------|-----------------------------------|--------------------------------|--|
| 1             | -----<br>-----<br>-----           | \$ 600,000.                    | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
| 2             | -----<br>-----<br>-----           | \$ 600,000.                    | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
| 3             | -----<br>-----<br>-----           | \$ 31,500.                     | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
| ---           | -----<br>-----<br>-----           | \$ -----                       | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |
| ---           | -----<br>-----<br>-----           | \$ -----                       | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |
| ---           | -----<br>-----<br>-----           | \$ -----                       | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |



Form 990-PF, Page 1, Part I, Line 11

**Line 11 Stmt**

| Other income:                             | Rev/Exp Book             | Net Inv Inc               | Adj Net Inc |
|---|--------------------------|---------------------------|-------------|
| Misc. Investment Income                   | 105,017.                 | -6,785,499.               |             |
| Administrative Income                     | 4,667.                   |                           |             |
| Income from Subleases<br>(See Schedule 2) | 980,992.                 |                           |             |
| <b>Total</b>                              | <b><u>1,090,676.</u></b> | <b><u>-6,785,499.</u></b> |             |

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

**Line 18 Stmt**

| Taxes (see the instructions) | Rev/Exp Book             | Net Inv Inc | Adj Net Inc | Charity Disb |
|------------------------------|--------------------------|-------------|-------------|--------------|
| Tax on Investment Income     | 1,101,486.               |             |             |              |
| Property Tax                 | 46,412.                  |             |             |              |
| <b>Total</b>                 | <b><u>1,147,898.</u></b> |             |             |              |

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

**Line 23 Stmt**

| Other expenses:            | Rev/Exp Book           | Net Inv Inc           | Adj Net Inc | Charity Disb           |
|----------------------------|------------------------|-----------------------|-------------|------------------------|
| Printing & Stationery      | 18,826.                |                       |             | 18,826.                |
| Postage                    | 10,385.                |                       |             | 10,385.                |
| Messenger Services         | 1,736.                 |                       |             | 1,736.                 |
| Dues & Subscriptions       | 18,355.                |                       |             | 18,355.                |
| Misc. Office Expenses      | 160,995.               | 25,514.               |             | 75,326.                |
| Office Supplies            | 41,480.                |                       |             | 41,480.                |
| Maintenance & Repairs      | 98,155.                |                       |             | 98,155.                |
| Telephone & Internet       | 109,337.               |                       |             | 109,337.               |
| Staff Development          | 47,797.                |                       |             | 47,797.                |
| General Insurance          | 267,517.               |                       |             | 267,517.               |
| Equipment Leases & Rentals | 37,906.                |                       |             | 37,906.                |
| Temporary Help             | 111,182.               |                       |             | 111,182.               |
| Collections Maintenance    | 58,910.                |                       |             | 58,910.                |
| <b>Total</b>               | <b><u>982,581.</u></b> | <b><u>25,514.</u></b> |             | <b><u>896,912.</u></b> |

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

**Other Decreases Stmt**

|                           |                          |
|---------------------------|--------------------------|
| Loan Forgiveness          | 1,512,743.               |
| Net Periodic Benefit Cost | 22,987.                  |
| <b>Total</b>              | <b><u>1,535,730.</u></b> |

Form 990-PF, Page 4, Part VII-A, Line 8a

**States Registered In**

NY - New York  
CA - California

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

SCHEDULE 1B  
FORM 990-PF  
YEAR 2009

Schedule of Dividends & Interest from Securities \*

Part I, line 4

|   |                           |
|---|---------------------------|
| Dividends   | 271,953                   |
| Interest  | 0                         |
| <b>Total line 4, col. (a)</b>                           | <b>\$271,953</b>          |
| Add: Dividends & Interest per Limited Partnerships K-1s | 7,246,964                 |
| <b>Total line 4, col. (b)</b>                           | <b><u>\$7,518,917</u></b> |

\* Partnership income booked on cash receipts basis.

**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

**SCHEDULE 1****FORM 990-PF****YEAR 2009**Schedule of Capital Gains and LossesPart I, line 6a

|  | Gain or<br>(Loss) |
|--|-------------------|
| Alpine International   | \$ (6,835,075)    |
| Axiom International  | 2,120,216         |
| Colchester Global Fund   | 16,926            |
| Eton Park Overseas   | 1,888,348         |
| Fairholme  | (7,694,734)       |
| Fiduciary Asset Management                                     | (3,481,218)       |
| Fir Tree International   | (763,223)         |
| Investure Cash Fund  | (152,163)         |
| Investure Emerging Markets Fund                                | (3,150,438)       |
| Investure Fixed Income   | 1,364,178         |
| Investure Global Equity Fund                                   | 2,981,857         |
| Iridian Asset Management                                       | (10,743,068)      |
| Mariner Select   | 9,149             |
| Nomad  | 453,979           |
| OSS Overseas   | (5,656,252)       |
| Security Capital   | (12,193,160)      |
| Silchester International                                       | 14,505,002        |
| Southern Asset Management                                      | (8,397,444)       |
| Third Avenue International                                     | (6,637,254)       |
| Loss from partnerships accrued in audited financial statements | (4,434,314)       |

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**Net Realized Loss per Books (Total Part I, line 6a, col.(a))**      \$      **(46,798,688)**

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Actual Net Capital Loss per limited partnerships (Schedule K-1 basis)  
(See attached schedule)      (8,894,266)

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

|  |                  |
|--|------------------|
| Axiom International  | (2,120,216)      |
| Colchester Global Fund   | (16,926)         |
| Fiduciary Asset Management                                     | 3,481,218        |
| Investure Emerging Markets Fund                                | 3,150,438        |
| Investure Global Equity Fund                                   | (2,981,857)      |
| Third Avenue International                                     | 6,637,254        |
| Loss from partnerships accrued in audited financial statements | 4,434,314        |
|  | <hr/> 12,584,225 |

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**Total Part IV, line 2**      \$      **(43,108,729)**

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**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

**SCHEDULE 1****FORM 990-PF****YEAR 2009**Schedule of Limited Partnerships' Gains and Losses per Schedules K-1Part IV

|  | Capital Gain     | Capital Loss        | Net Capital<br>Gain/(Loss) |
|--|------------------|---------------------|----------------------------|
| 1818 Mezzanine   | 174,555          |                     | 174,555                    |
| Ampersand 2001 Limited Partnership                       | 836,883          | (5,648)             | 831,235                    |
| Axiom International Equity Fund                          |                  | (3,260,456)         | (3,260,456)                |
| Cabot Industrial Value Fund II                           | 14,407           |                     | 14,407                     |
| Colchester Global Bond Fund                              |                  | (69,455)            | (69,455)                   |
| Contrarian Capital Fund I, LP                            |                  | (2,953,227)         | (2,953,227)                |
| CSFB Strategic Partners II                               |                  | (235,281)           | (235,281)                  |
| CSFB Strategic Partners III                              |                  | (106,147)           | (106,147)                  |
| CSFB Strategic Partners III VC                           | 15,660           | (3,771)             | 11,889                     |
| Cypress Merchant Banking Partners II, LP                 |                  | (411,345)           | (411,345)                  |
| DLJ Strategic Partners, LP                               |                  | (17,937)            | (17,937)                   |
| Investure Emerging Mrkt Fund LP                          |                  | (2,178,935)         | (2,178,935)                |
| Investure Global Equity Fund LP                          | 6,769,666        | (255,318)           | 6,514,348                  |
| J.H. Whitney III   |                  | (14,208)            | (14,208)                   |
| J.H. Whitney IV  |                  | (191,068)           | (191,068)                  |
| Kayne Anderson Energy Fund IV                            |                  | (3,239)             | (3,239)                    |
| Lehman Brothers NB Co-Investment Partners, LP            | (3,699)          |                     | (3,699)                    |
| Lehman Brothers NB Secondary Opportunities Fund          | 7,438            | (69,057)            | (61,619)                   |
| Lexington Capital Partners II, LP                        | 106              | (70,035)            | (69,929)                   |
| Lexington Capital Partners IV, LP                        | 40,046           | (246)               | 39,800                     |
| Morgan Stanley Real Estate Fund V International - TE, LP | 17,752           |                     | 17,752                     |
| Morgan Stanley Real Estate Fund VI                       |                  | (7,142)             | (7,142)                    |
| Natural Gas Partners VIII                                | 2,435            | (110,066)           | (107,631)                  |
| New Enterprise Associates 10                             |                  | (109,513)           | (109,513)                  |
| Private Advisors Income Fund, LP                         | 540              | (159,886)           | (159,346)                  |
| Private Advisors Small Company Buyout Fund II, LP        | 8,569            | (176,705)           | (168,136)                  |
| Prospect Venture Partners                                | 202,429          |                     | 202,429                    |
| Siguler Guff   | 9,596            | (74,358)            | (64,762)                   |
| TCV IV   |                  | (5,706)             | (5,706)                    |
| Three Arch Capital IV                                    | 2,186            | (127,977)           | (125,791)                  |
| Three Arch Capital, LP                                   |                  | (5,985)             | (5,985)                    |
| Third Avenue Institutional Int'l Value Fund, LP          |                  | (6,384,533)         | (6,384,533)                |
| TIFF Partners I  |                  | (98,790)            | (98,790)                   |
| TIFF Partners II   | 61,341           |                     | 61,341                     |
| TIFF Partners IV   | 269,979          |                     | 269,979                    |
| Trinity Ventures VI                                      | 174,424          |                     | 174,424                    |
| Trinity Ventures VII                                     |                  | (144,086)           | (144,086)                  |
| Trinity Ventures VIII                                    | 4,158            |                     | 4,158                      |
| Weston Presidio Capital IV                               | 25               | (251,859)           | (251,834)                  |
| Atlas Pipeline Holdings, LP                              |                  | (783)               | (783)                      |
|  | <u>8,608,496</u> | <u>(17,502,762)</u> | <u>(8,894,266)</u>         |

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

SCHEDULE 2  
FORM 990-PF  
YEAR 2009

Schedule of Other Income/(Loss) \*

Part I, line 11

|   |                             |
|---|-----------------------------|
| Miscellaneous Investment Income   | 105,017                     |
| Administrative Income   | 4,667                       |
| Income from Subleases   | 980,992                     |
| <b>Total line 11, col. (a)</b>  | <b>\$1,090,676</b>          |
| <br>Add: Other Income/(Loss) per Limited Partnerships K-1s<br>(See attached schedule) | <br>(7,876,175)             |
| <b>Total line 11, col. (b)</b>  | <b><u>(\$6,785,499)</u></b> |

\* Partnership income booked on cash receipts basis.

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

**SCHEDULE 2**  
**FORM 990-PF**  
**YEAR 2009**

Schedule of Other Income/(Loss) \*

Part I, line 11

|   |                             |
|---|-----------------------------|
| Miscellaneous Investment Income   | 105,017                     |
| Administrative Income   | 4,667                       |
| Income from Subleases   | 980,992                     |
| <b>Total line 11, col. (a)</b>  | <b>\$1,090,676</b>          |
| Add: Other Income/(Loss) per Limited Partnerships K-1s<br>(See attached schedule) | (7,876,175)                 |
| <b>Total line 11, col. (b)</b>  | <b><u>(\$6,785,499)</u></b> |

\* Partnership income booked on cash receipts basis.

**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

**SCHEDULE 2****FORM 990-PF****YEAR 2009**Schedule of Other Income/(Loss)Part I, line 11, col. (b)

|  | <u>Other<br/>Income/(Loss)</u> | <u>Deductions Related<br/>to Portfolio Income</u> | <u>Net Other<br/>Income/(Loss)</u> |
|--|--------------------------------|---|------------------------------------|
| <u>Net Income/(Loss) received from the following Partnerships: *</u> |                                |   |                                    |
| 1818 Mezzanine   |                                | (1,999)   | (1,999)                            |
| Alinda Infrastructure Fund I, LP                                     | (26,066)                       | (236,733)   | (262,799)                          |
| Ampersand 2001 Limited Partnership                                   | 1,184                          | (52,932)  | (51,748)                           |
| Axiom International Equity Fund                                      | (241,850)                      | (15,974)  | (257,824)                          |
| Cabot Industrial Value Fund II                                       |                                | (913)   | (913)                              |
| C/R UK Ethanol Holdings TE, LP                                       | (139,457)                      |   | (139,457)                          |
| C/R Brazil Ethanol   | 613                            |   | 613                                |
| C/R Renewable Energy Infrastructure Fund I, L.P.                     | (1,757)                        | (218,742)   | (220,499)                          |
| Carlyle Riverstone TE Knight, LP                                     | (1)                            |   | (1)                                |
| Carlyle Riverstone TE Partners III, LP                               |                                | (172,664)   | (172,664)                          |
| Colchester Global Bond Fund  | (1,301,194)                    |   | (1,301,194)                        |
| Contrarian Capital Fund I, LP  | (18,168)                       |   | (18,168)                           |
| CSFB Strategic Partners II   | (6,722)                        | (42,900)  | (49,622)                           |
| CSFB Strategic Partners III  | (8,572)                        | (162,667)   | (171,239)                          |
| CSFB Strategic Partners III VC                                       | (914)                          | (163,583)   | (164,497)                          |
| Cypress Merchant Banking Partners II, LP                             |                                | (26,078)  | (26,078)                           |
| DLJ Strategic Partners, LP   | (1,560)                        | (27,991)  | (29,551)                           |
| Investure Emerging Market Fund LP                                    | 22,846                         | (537,957)   | (515,111)                          |
| Investure Global Equity Fund LP                                      | 168,926                        | (1,302,750)                                       | (1,133,824)                        |
| J.H. Whitney III   |                                | (176,995)   | (176,995)                          |
| J.H. Whitney IV  |                                | (3,141)   | (3,141)                            |
| Kayne Anderson Energy Fund III                                       | 141                            | (326,931)   | (326,790)                          |
| Kayne Anderson Energy Fund IV  | 18,932                         | (331,153)   | (312,221)                          |
| Lehman Brothers NB Co-Investment Partners, LP                        | 769                            | (124,264)   | (123,495)                          |
| Lehman Brothers NB Co-Investment Partners - Cayman, LP               |                                | (186)   | (186)                              |
| Lehman Brothers NB Secondary Opportunities Fund                      | (20,426)                       | (130,889)   | (151,315)                          |
| Lexington Capital Partners II, LP                                    | (6,035)                        | (28,309)  | (34,344)                           |
| Lexington Capital Partners IV, LP                                    | 2,246                          | (51,353)  | (49,107)                           |
| Morgan Stanley Real Estate Fund V International - TE, LP             | 13,140                         | (35,305)  | (22,165)                           |
| Morgan Stanley Real Estate Fund VI                                   | 2,501                          | (13,341)  | (10,840)                           |
| Natural Gas Partners VIII  | 249,565                        | (509,034)   | (259,469)                          |
| New Enterprise Associates 10   | 39                             | (29,964)  | (29,925)                           |
| NGP Energy Technology Partners                                       |                                | (13,497)  | (13,497)                           |
| Palamon European Equity 'B', LP                                      | 13,754                         | (111,669)   | (97,915)                           |
| Permira IV LP I  |                                | (166,377)   | (166,377)                          |
| Private Advisors Income Fund, LP                                     | (15,223)                       | (232,800)   | (248,023)                          |
| Private Advisors Small Company Buyout Fund II, LP                    | 71,330                         | (292,198)   | (220,868)                          |
| Prospect Venture Partners  |                                | (43,298)  | (43,298)                           |
| Siguler Guff   | (13,885)                       | (337,565)   | (351,450)                          |
| TCV IV   | (301)                          | (99,968)  | (100,269)                          |
| Three Arch Capital IV  |                                | (126,183)   | (126,183)                          |
| Three Arch Capital, LP   |                                | (88,119)  | (88,119)                           |
| Third Avenue Institutional Int'l Value Fund, LP                      | (771)                          | (48,230)  | (49,001)                           |
| TIFF Partners I  | 9,021                          | (16,259)  | (7,238)                            |
| TIFF Partners II   | 4,827                          | (21,852)  | (17,025)                           |
| TIFF Partners IV   | (11,956)                       | (80,329)  | (92,285)                           |
| Trinity Ventures VI  |                                | (258)   | (258)                              |
| Trinity Ventures VII   |                                | (29,622)  | (29,622)                           |
| Trinity Ventures VIII  |                                | (27,011)  | (27,011)                           |

**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10115

**SCHEDULE 2****FORM 990-PF****YEAR 2009**

|                                 |                       |                       |            |
|---------------------------------|-----------------------|-----------------------|------------|
| Weston Presidio Capital IV      |                       | (86,445)              | (86,445)   |
| Weston Presidio V, L.P.         | (31)                  | (102,120)             | (102,151)  |
| <b>Combined FAMCO K-1's:</b>    |                       |                       |            |
| Atlas Pipeline Holdings, LP     | 246                   | (246)                 | -          |
| DCP Midstream Partners, LP      | 73                    |                       | 73         |
| Enterprise Products Partners LP | (132)                 |                       | (132)      |
| EV Energy Partners, LP          | 12,756                | (2,420)               | 10,336     |
| Inergy LP                       | (1)                   |                       | (1)        |
| Markwest Energy Partners, LP    | (777)                 |                       | (777)      |
| Plains All American Pipeline LP | 1                     |                       | 1          |
| Spectra Energy Partners LP      | (28)                  |                       | (28)       |
| TEPPCO Partners, LP             | (1,392)               |                       | (1,392)    |
| Williams Partners LP            | (650)                 |                       | (650)      |
| Williams Pipeline Partners LP   |                       | (2)                   | (2)        |
|                                 |                       | <u>(2)</u>            | <u>(2)</u> |
|                                 | <u>\$ (1,224,959)</u> | <u>\$ (6,651,216)</u> |            |

Other Income/(Loss) from Limited Partnerships (7,876,175)

\* Partnership income/(loss) reported for investment income tax purposes on basis of Schedules K-1.



**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10015

**SCHEDULE 3****FORM 990-PF****YEAR 2009****SCHEDULE OF EXPENDITURES****Part I, line 16(a,b,c)**Legal Fees (Patterson, Belknap, Webb & Tyler): \$ 182,377Legal Fees (Fuller & Fuller LLP): 6943Legal Fees (THSH, LLP): 6335**Total line 16a** **\$ 195,655**Accounting Fees (KPMG LLP):**Total line 16b** **\$ 184,119****Other Professional Fees:**

Investment Management Fees \$1,365,038

Custody Fees 185,810

Consultants' Fees 772,746

Facilities Maintenance 1,383,705**Total line 16c** **\$ 3,707,299**



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

SCHEDULE 5  
FORM 990-PF  
YEAR 2009

Schedule of Investments

Part II, lines 10 (a,b,c), col. (b)

|                        | <u>line 10a</u><br>U.S. & State<br>Gov't Obligations | <u>line 10b</u><br>Corporate<br>Stock | <u>line 10c</u><br>Corporate<br>Bonds |
|------------------------|--|---------------------------------------|---------------------------------------|
| Investure Fixed Income | \$ 19,285,613  | \$ -                                  | \$ -                                  |
| Totals                 | <u>\$ 19,285,613</u>                                 | <u>\$ -</u>                           | <u>\$ -</u>                           |

ROCKEFELLER BROTHERS FUND, INC.  
 13-1760106  
 437 Madison Avenue  
 New York, New York 10022

SCHEDULE 6  
 FORM 990-PF  
 YEAR 2007

**SCHEDULE OF DEPRECIATION**

Part I, line 19

| Description                             | ASSETS            |                   |                   | ACCUMULATED DEPRECIATION |                            |                                     |                      |
|---|-------------------|-------------------|-------------------|--------------------------|----------------------------|-------------------------------------|----------------------|
|   | Beginning of Year | 2007 Acquisitions | 2007 Dispositions | End of Year              | Reserve, beginning of Year | 2007 Depreciation (Part I, line 19) | Reserve, end of Year |
| Office Equipment                        | 1,066,471         | 18,480            | -                 | 1,084,951                | 986,407                    | 24,191                              | 1,010,598            |
| Computer Equipment & Software           | 1,433,286         | 130,413           | -                 | 1,563,699                | 1,335,070                  | 109,923                             | 1,444,993            |
| Fine Art                                | 4,780             | 0                 | -                 | 4,780                    | 0                          | 0                                   | 0                    |
| Leasehold Improvements-New Office Space | 3,042,831         | 0                 | -                 | 3,042,831                | 1,247,356                  | 23,375                              | 1,270,731            |
| Leasehold Improvements                  | 16,203,083        | 476,599           | -                 | 16,679,682               | 11,661,305                 | 1,263,518                           | 12,924,823           |
|   | <u>21,750,451</u> | <u>625,492</u>    | <u>0</u>          | <u>22,375,943</u>        | <u>15,230,138</u>          | <u>1,421,007</u>                    | <u>16,651,145</u>    |
|   |                   |                   |                   |                          |                            |                                     | <u>5,724,798</u>     |

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

SCHEDULE 6  
FORM 990-PF  
YEAR 2009

Investments-Land, Buildings, Equipment

Part II, line 11

| <u>Description</u>     | <u>Cost or Other Basis</u> | <u>Accumulated Depreciation</u> | <u>Book Value</u> | <u>Fair Market Value</u> |
|------------------------|----------------------------|---------------------------------|-------------------|--------------------------|
| Real Estate            | 510,000                    | 0                               | 510,000           | 510,000                  |
| Total Part II, line 11 | <u>510,000</u>             | <u>0</u>                        | <u>510,000</u>    | <u>510,000</u>           |

**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10015

**SCHEDULE 7****FORM 990-PF****YEAR 2009**Schedule of Investments- OtherPart II, line 13, col. (b)

| Description:                                      | End Of Year |                   |
|---|-------------|-------------------|
|   | Book Value  | Fair Market Value |
| Alinda Infrastructure I                           | 7,304,139   | 7,304,139         |
| Ampersand 2001                                    | 7,462,977   | 7,462,977         |
| Cabot Industrial Value Fund II                    | 7,273,271   | 7,273,271         |
| Colchester Global Bond Fund                       | 13,080,355  | 13,080,355        |
| Contrarian Capital                                | 1,113,564   | 1,113,564         |
| Convexity Offshore                                | 25,635,940  | 25,635,940        |
| CSFB Strategic Partners II                        | 1,789,353   | 1,789,353         |
| CSFB Strategic Partners III                       | 7,870,454   | 7,870,454         |
| CSFB Strategic Partners III VC                    | 3,826,584   | 3,826,584         |
| Cypress Merchant Banking II                       | 1,407,466   | 1,407,466         |
| DLJ Strategic Partners I                          | 973,308     | 973,308           |
| Eton Park Overseas Fund                           | 15,137,238  | 15,137,238        |
| Europa II   | 2,700,817   | 2,700,817         |
| Fir Tree International Fund I                     | 24,323,075  | 24,323,075        |
| Fir Tree International Fund II                    | 9,583,760   | 9,583,760         |
| Investure Alternative Fund                        | 96,835,066  | 96,835,066        |
| Investure Emerging Markets Fund                   | 40,568,283  | 40,568,283        |
| Investure Evergreen Fund, LP                      | 76,029,908  | 76,029,908        |
| Investure Global Equity Fund                      | 187,516,418 | 187,516,418       |
| JMB IV  | 15,805      | 15,805            |
| KA Energy Fund III & IV                           | 4,802,492   | 4,802,492         |
| Lexington Partners II                             | 1,126,757   | 1,126,757         |
| Lexington Partners IV                             | 2,241,489   | 2,241,489         |
| Morgan Stanley RE Fund V & VI                     | 5,405,331   | 5,405,331         |
| NB Co-Investment Partners LP                      | 5,276,058   | 5,276,058         |
| NB Secondary Opportunities Fund LP                | 6,252,919   | 6,252,919         |
| NEA 10  | 1,959,883   | 1,959,883         |
| NGP ETP   | 762,485     | 762,485           |
| NGP VIII  | 5,068,413   | 5,068,413         |
| Orion European Real Estate II                     | 362,234     | 362,234           |
| OSS Capital Management                            | 519,531     | 519,531           |
| Palamon European Equity                           | 8,443,055   | 8,443,055         |
| Permira Europe III                                | 4,968,425   | 4,968,425         |
| Permira Europe IV                                 | 2,252,468   | 2,252,468         |
| Private Advisors Income Fund                      | 11,974,421  | 11,974,421        |
| Private Advisors Small Company Buyout Fund II, LP | 6,727,067   | 6,727,067         |
| Prospect II                                       | 1,229,808   | 1,229,808         |
| Riverstone/Carlyle Global Energy III              | 22,290,213  | 22,290,213        |
| Riverstone/Carlyle Renewable I                    | 6,775,818   | 6,775,818         |
| Siguler Guff Small Buyout Opportunities Fund LP   | 7,048,307   | 7,048,307         |
| TCV IV  | 3,597,870   | 3,597,870         |
| The 1818 Mezzanine Fund, LP                       | 553,021     | 553,021           |

**ROCKEFELLER BROTHERS FUND, INC.**

13-1760106

475 Riverside Drive, Suite 900

New York, New York 10015

**SCHEDULE 7****FORM 990-PF****YEAR 2009**Schedule of Investments- OtherPart II, line 13, col. (b)

|   | End Of Year           |                       |
|---|-----------------------|-----------------------|
|   | Book Value            | Fair Market Value     |
| <b>Three Arch Capital Limited Partnership</b>     | 3,288,100             | 3,288,100             |
| <b>Three Arch Partners IV Limited Partnership</b> | 1,871,625             | 1,871,625             |
| <b>TIFF Partners I, LLC</b>                       | 214,970               | 214,970               |
| <b>TIFF Partners II, LLC</b>                      | 699,071               | 699,071               |
| <b>TIFF Partners IV, LLC</b>                      | 3,843,459             | 3,843,459             |
| <b>Trinity VI</b>                                 | 313,454               | 313,454               |
| <b>Trinity VII</b>                                | 1,482,660             | 1,482,660             |
| <b>Trinity VIII</b>                               | 1,515,228             | 1,515,228             |
| <b>Weston Presidio III</b>                        | 1,326,176             | 1,326,176             |
| <b>Weston Presidio IV</b>                         | 3,721,069             | 3,721,069             |
| <b>Weston Presidio V</b>                          | 3,223,875             | 3,223,875             |
| <b>Whitney Equity Partners III</b>                | 136,809               | 136,809               |
| <b>Whitney Equity Partners IV</b>                 | 237,355               | 237,355               |
| <b>Total line 13, col. (b)</b>                    | <b>\$ 661,959,697</b> | <b>\$ 661,959,697</b> |

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

SCHEDULE 8  
FORM 990-PF  
YEAR 2009

SCHEDULE OF LAND, BUILDINGS & EQUIPMENT

Part II, line 14, col. (b) & ©

| <u>Description</u>               | <u>Cost</u>          | <u>Accumulated<br/>Depreciation</u> | <u>Net Basis</u>    |
|----------------------------------|----------------------|-------------------------------------|---------------------|
| Office Equipment                 | \$2,142,397          | \$1,194,636                         | \$947,761           |
| Computer Equipment<br>& Software | 1,717,137            | 1,653,058                           | 64,079              |
| Fine Art                         | 4,780                | 0                                   | 4,780               |
| Leasehold Improvements           | <u>28,514,415</u>    | <u>18,027,072</u>                   | <u>10,487,343</u>   |
|                                  | <u>\$32,378,729</u>  | <u>\$20,874,766</u>                 |                     |
|                                  | <b>Total line 14</b> |                                     | <b>\$11,503,963</b> |



## ROCKEFELLER BROTHERS FUND, INC.

## GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

## Program-Related Investment Loan

1. Name and Address of Recipient:  
 RAMON MAGSAYSAY AWARD FOUNDATION  
 1680 Roxas Boulevard  
 Manila 1004  
 Philippines

2. Date and Amount of Loan:

|                   |                   |
|-------------------|-------------------|
| July 28, 1994     | \$ 468,061.00     |
| July 29, 1994     | 1,020,230.00      |
| November 4, 1994  | 183,130.00        |
| January 12, 1995  | 429,017.25        |
| March 15, 1995    | 169,432.00        |
| May 10, 1995      | 217,273.75        |
| October 13, 1995  | 101,969.15        |
| December 20, 1995 | <u>410,886.85</u> |
|                   | \$3,000,000.00    |

Loan Re-payment through 12/31/09 <\$1,515,000.00>

On June 17, 2009, the board of trustees of the Rockefeller Brothers Fund approved the forgiveness of the balance due of \$1,512,743 on the loan, which includes both principal and unpaid interest.

3. Purpose of Loan:  
 For the renovation and upgrading of the Magsaysay Center.

4. Amount Expended by Borrower:  
 Lender has received from Borrower narrative and financial reports certifying that the entire amount of the loan was expended for the purpose for which it was made.

5. Whether Borrower – to the knowledge of Lender – made any diversions of funds from the purpose of the loan:  
 No.

6. Date of Reports received from the Borrower:  
 On November 7, 1994, and May 4, 1995, Lender received narrative and expenditure reports from Borrower certifying that the entire amount of the loan was expended for the purpose for which it was made. Pursuant to the loan agreement, Lender receives quarterly unaudited financial statements from Borrower, as well as annual audited financial statements. Such financial statements have been received for each quarter and year since

SCHEDULE 9

the loan was made.

7. Dates and Results of the Verification of Borrower's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
THE ADM CAPITAL FOUNDATION LIMITED  
2406 9 Queen's Road Central  
Hong Kong  
China
2. Date and Amount of Grant:  
5/8/08            \$150,000
3. Purpose of Grant:  
For the Green Choice Initiative.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On January 14, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
THE ADM CAPITAL FOUNDATION LIMITED  
2406 9 Queen's Road Central  
Hong Kong  
China
2. Date and Amount of Grant:  
12/16/08      \$150,000
3. Purpose of Grant:  
For the Green Choice Initiative.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On April 1, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
AFRICA! IGNITE  
59 Henwood Road  
Morningside 4001  
South Africa
2. Date and Amount of Grant:  
2/5/09      \$50,000
3. Purpose of Grant:  
As a final contribution to improve the communications capacity of grantees in South Africa.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On April 26, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
AFRICA! IGNITE  
59 Henwood Road  
Morningside 4001  
South Africa
2. Date and Amount of Grant:  
6/25/08      \$2,000
3. Purpose of Grant:  
For the South Africa grantee communications support initiative.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and expenditure reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On August 31, 2010, Grantor received from Grantee narrative and expenditure reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
AFRICA! IGNITE  
59 Henwood Road  
Morningside 4001  
South Africa
2. Date and Amount of Grant:  
5/2/08          \$55,000
3. Purpose of Grant:  
For the South Africa grantee communications support initiative.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On August 31, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
ALLIANCE PUBLISHING TRUST  
76 Sistova Road  
London SW12 9QS  
United Kingdom
2. Date and Amount of Grant:  
9/13/07      \$5,000
3. Purpose of Grant:  
For the publication of its special issue on climate change.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On November 13, 2009, Grantor received from the Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
CENTER FOR THE PROTECTION AND RESEARCH OF BIRDS  
Piperska 370a  
Podgorica 81000  
Montenegro
2. Date and Amount of Grant:  
10/19/06      \$5,000
3. Purpose of Grant:  
For a book about birds and their habitat in Montenegro.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 21, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
THE CENTURY FOUNDATION, INC.  
41 East 70th Street  
New York, NY 10021
2. Date and Amount of Grant:  
7/16/09      \$60,000
3. Purpose of Grant:  
For its project, the Iran Election Bulletin and the insideiran.org Web site.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On August 19, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
CHENGDU ROOTS AND SHOOTS ENVIRONMENTAL CULTURE EXCHANGE  
CENTRE  
2-1-401 Dongheng Guoji, 108, 1st Ring East  
Fifth Section, Jinjiang District  
Chengdu  
China
2. Date and Amount of Grant:  
11/24/09      \$20,000
3. Purpose of Grant:  
For its Sichuan Earthquake Community Environmental Health School Action Program.
4. Amount Expended by Grantee:  
**\$5,085.** Grantor received from Grantee narrative and financial reports certifying that \$5,085 of the grant was expended for the purpose for which it was made. A report on the balance of \$14,915 will be due in 2011 in conjunction with final reporting on the grant.
5. Whether Grantee -- to the knowledge of Grantor -- made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On October 1, 2010, Grantor received from Grantee narrative and financial reports certifying that, through February 28, 2010, \$5,085 of the grant was expended for the purpose for which it was made. A report on the balance of \$14,915 will be due in 2011 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
CHINA DIALOGUE TRUST  
Suite 306 Grayston Centre  
28 Charles Square  
London N1 6HT  
United Kingdom
2. Date and Amount of Grant:  
7/16/09      \$8,500
3. Purpose of Grant:  
For its research project, Health in South China.
4. Amount Expended by Grantee:  
**\$8,287.94.** Grantor received from Grantee narrative and expenditure reports certifying that \$8,287.94 of the grant was expended for the purpose for which it was made. A report on the balance of \$212.06 will be due in late 2010 in conjunction with final reporting on the grant.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 21, 2010, Grantor received from Grantee narrative and expenditure reports certifying that \$8,287.94 of the grant was expended for the purpose for which it was made. A report on the balance of \$212.06 will be due in late 2010 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
COMMUNITY CENTER-BAR  
55 Jovana Tomasevica  
Bar 85000  
Montenegro
2. Date and Amount of Grant:  
10/20/05      \$25,000  
12/18/06      \$25,000
3. Purpose of Grant:  
For core needs and institutional strengthening of the organization and three other community centers in Montenegro.
4. Amount Expended by Grantee:  
**\$20,000.** Grantor received from grantee narrative and financial reports certifying that \$20,000 of the grant was expended for the purpose for which it was made.

The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report on the balance of \$30,000 but was unsuccessful. Further inquiries indicate that the grantee may no longer be in operation. The Fund will not make additional grants to the grantee or its principals unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.

5. Whether Grantee -- to the knowledge of Grantor -- made any diversion of funds from the purpose of the grant:  
See No. 4 above.
6. Date of Reports received from Grantee:  
On October 31, 2006, Grantor received from Grantee narrative and financial reports certifying that \$20,000 of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
CONVENE VENTURE PHILANTHROPY  
66 Kerry Road  
Parkview 2193  
South Africa
2. Date and Amount of Grant:  
2/12/09      \$50,000
3. Purpose of Grant:  
As a final contribution for its Leadership and Innovation Network for Collaboration in the Children's Sector Fellowship project.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On July 27, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
CRISIS MANAGEMENT INITIATIVE  
Pieni Roobertinkatu 13 B 24-26  
Helsinki 00130  
Finland
2. Date and Amount of Grant:  
1/10/2006     \$30,000
3. Purpose of Grant:  
To assist the United Nations Office of the Special Envoy for Kosovo (UNOSEK).
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On April 5, 2007, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
THE DEVELOPMENT SCHOOL  
147 Godshuizeniaan  
Gent 9000  
Belgium
2. Date and Amount of Grant:  
9/22/05          \$15,000
3. Purpose of Grant:  
To support participation from Serbia and Montenegro in the postgraduate program, MA in Social Development Practice.
4. Amount Expended by Grantee:  
The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report but was unsuccessful. Further inquiries indicate that the grantee may no longer be in operation. The Fund will not make additional grants to the grantee or its principals unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
See No. 4 above.
6. Date of Reports received from Grantee:  
See No. 4 above.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
FOOTSTEPS  
23 Acacia Road  
Glenwood  
Durban 4001  
South Africa
2. Date and Amount of Grant:  
4/2/09            \$60,000
3. Purpose of Grant:  
To provide organizational development support to the Fund's grantees in the KwaZulu-Natal province as the Fund phases out its current work in South Africa.
4. Amount Expended by Grantee:  
\$6,706. Grantor received from Grantee narrative and financial reports certifying that \$6,706 of the grant was expended for the purpose for which it was made. A report on the balance of \$53,294 will be due in 2011 in conjunction with final reporting on the grant.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On March 31, 2010, Grantor received from Grantee narrative and financial reports certifying that \$6,706 of the grant was expended for the purpose for which it was made. A report on the balance of \$53,294 will be due in 2011 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
FOOTSTEPS  
23 Acacia Road  
Glenwood  
Durban 4001  
South Africa
2. Date and Amount of Grant:  
4/4/08          \$62,000
3. Purpose of Grant:  
To provide organizational development support to grantees of the Fund in the KwaZulu-Natal province.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On March 31, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
FOREIGN POLICY CLUB  
Bregi i Diellit Rr. 2  
Hy. 6/2  
Prishtina 10000  
Kosovo
2. Date and Amount of Grant:  
4/30/09        \$25,000
3. Purpose of Grant:  
For general support.
4. Amount Expended by Grantee:  
\$24,027.56. Grantor received from Grantee narrative and financial reports certifying that \$24,027.56 of the grant was expended for the purpose for which it was made. A report on the balance of \$972.44 will be due in 2011 in conjunction with final reporting on the grant.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On March 15, 2010, Grantor received from Grantee narrative and expenditure reports certifying that \$24,027.56 of the grant was expended for the purpose for which it was made. A report on the balance of \$972.44 will be due in 2011 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
FREEDOM HOUSE EUROPE PUBLIC SERVICE AND DEMOCRACY  
DEVELOPMENT PUBLIC BENEFIT COMPANY  
Falk Miksa u. 30 4/2  
Budapest H-1055  
Hungary
2. Date and Amount of Grant:  
11/16/07      \$25,000
3. Purpose of Grant:  
For a Kosovo-Serbia European Standards project.
4. Amount Expended by Grantee:  
\$23,572. Grantor received from Grantee narrative and financial reports certifying that \$23,572 of the grant was expended for the purpose for which it was made. Grantor is awaiting an updated report and has made efforts to secure same from Grantee.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On June 7, 2010, Grantor received from Grantee narrative and financial reports certifying that \$23,572 of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
GUANGZHOU GREEN POINT ENVIRONMENTAL PROTECTION INFORMATION  
CENTER  
Room 202, #55 Zhoumen Bei Road  
Guangzhou 510000  
China
2. Date and Amount of Grant:  
6/16/09      \$35,000
3. Purpose of Grant:  
To support its Youth Environmental Leadership Project.
4. Amount Expended by Grantee:  
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 12, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
HORIZON RESEARCH CONSULTANCY GROUP LIMITED  
Rm. 1108, Xinhengji Guoji Dasha  
No. 3, Maizidian West Road  
Beijing 100016  
China
2. Date and Amount of Grant:  
12/22/09      \$60,000
3. Purpose of Grant:  
For the Youth Social Entrepreneurship program.
4. Amount Expended by Grantee:  
**\$8,587.** Grantor received from Grantee narrative and financial reports certifying that \$8,587 of the grant was expended for the purpose for which it was made. A report on the balance of \$51,413 will be due in 2011 in conjunction with final reporting on the grant.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 9, 2010, Grantor received from Grantee narrative and expenditure reports certifying that, through February 28, 2010, \$8,587 of the grant was expended for the purpose for which it was made. A report on the balance of \$51,413 will be due in 2011 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
HORIZON RESEARCH CONSULTANCY GROUP LIMITED  
Rm. 1108, Xinhengji Guoji Dasha  
No. 3, Maizidian West Road  
Beijing 100016  
China
2. Date and Amount of Grant:  
12/16/08      \$58,000
3. Purpose of Grant:  
For the Youth Social Entrepreneurship program.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On December 4, 2009, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
INSTITUTE OF PUBLIC AND ENVIRONMENTAL AFFAIRS  
601 Room, 3 Danyuan, 9 Haolou  
Xin Fun Jian Yuan  
Guang Qu Men Nei Street  
Beijing  
China
2. Date and Amount of Grant:  
12/17/09      \$15,000
3. Purpose of Grant:  
To support its role in the Air Quality Information Disclosure project.
4. Amount Expended by Grantee:  
\$2,350. Grantor received from Grantee narrative and financial reports certifying that \$2,350 of the grant was expended for the purpose for which it was made. A report on the balance of \$12,650 will be due in 2011 in conjunction with final reporting on the grant.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 27, 2010, Grantor received from Grantee narrative and financial reports certifying that, through February 28, 2010, \$2,350 of the grant was expended for the purpose for which it was made. A report on the balance of \$12,650 will be due in 2011 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
INSTITUTE FOR STABILITY AND DEVELOPMENT, O.P.S.  
Lucembarska 3  
Prague 3 13000  
Czech Republic
2. Date and Amount of Grant:  
7/6/09            \$50,000
3. Purpose of Grant:  
For its cross-border cooperation program.
4. Amount Expended by Grantee:  
\$49,666. Grantor received from Grantee narrative and financial reports certifying that \$49,666 of the grant was expended for the purpose for which it was made. A report on the balance of \$334 will be due in 2011 in conjunction with final reporting on the grant.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On February 26, 2010, Grantor received from Grantee narrative and expenditure reports certifying that \$49,666 of the grant was expended for the purpose for which it was made. A report on the balance of \$334 will be due in 2011 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
MULTIETHNIC CHILDREN AND YOUTH PEACE CENTRE  
House of Culture, 3rd Floor  
Mitrovica  
Kosovo
2. Date and Amount of Grant:  
1/8/04            \$10,000
3. Purpose of Grant:  
For its multiethnic magazine project.
4. Amount Expended by Grantee:  
The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report but was unsuccessful. Further inquiries indicate that the grantee may no longer be in operation. The Fund will not make additional grants to the grantee or its principals unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
See No. 4 above.
6. Date of Reports received from Grantee:  
See No. 4 above.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
PESTICIDE ECO-ALTERNATIVES CENTER YUNNAN THOUGHTFUL ACTION  
Apt. 1212, 1214, 1216, 12/F  
Block 14  
Yunnan Yingxiang Quarter  
Chuanjin Road  
Kunming, Yunnan 650224  
China
2. Date and Amount of Grant:  
7/10/08      \$75,000
3. Purpose of Grant:  
For its project, Building a Network to Promote Pesticide Reduction in China.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On March 8, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
PRINCESS TRUST  
#25 Private Bag X9  
Melville  
Johannesburg 2109  
South Africa
2. Date and Amount of Grant:  
12/20/06      \$50,000
3. Purpose of Grant:  
To support grantees in the Gauteng and Mpumalanga provinces.
4. Amount Expended by Grantee:  
Not currently known. Grantor is awaiting an updated report and has made efforts to secure same from Grantee. Future payments to grantees that are delinquent in submitting satisfactory reports will be withheld.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
See No. 4 above.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
THE PROMETHEUS INSTITUTE FOR SUSTAINABLE DEVELOPMENT  
1420 North Lake Shore Drive, Suite 9A  
Chicago, IL 60610
2. Date and Amount of Grant:  
12/2/09      \$50,000
3. Purpose of Grant:  
For its project, the Global Observatory.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 9, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
PROTEUS DEVELOPMENT RESOURCES  
5 Rose Way  
Constantia 7806  
South Africa
2. Date and Amount of Grant:  
5/14/09      \$60,000
3. Purpose of Grant:  
To provide organizational development support to grantees of the Fund in the Western and Eastern Cape provinces.
4. Amount Expended by Grantee:  
\$38,408.37. Grantor received from Grantee narrative and financial reports certifying that \$38,408.37 of the grant was expended for the purpose for which it was made. Grantor is awaiting an updated report and has made efforts to secure same from Grantee.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On May 18, 2010, Grantor received from Grantee narrative and financial reports certifying that \$38,408.37 of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
PUTER FOUNDATION  
Permata Cimanggu Blok A, No. 4  
R.T./R.W. 008/007 Kedung Badak - Tanah Sareal  
Bogor 16710  
Indonesia
  
2. Date and Amount of Grant:  
10/1/01      \$35,000  
8/1/02      \$35,000
  
3. Purpose of Grant:  
To the Indonesian Network of Coastal and Marine NGOs (Jaring Pela).
  
4. Amount Expended by Grantee:  
\$24,549. Grantor received from Grantee narrative and financial reports certifying the \$24,549 of the grant was expended for the purpose for which it was made.  
  
The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report on the balance of \$45,451 but was unsuccessful. The Fund will not make additional grants to the grantee unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.
  
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
See No. 4 above.
  
6. Date of Reports received from Grantee:  
On November 18, 2003, Grantor received from Grantee narrative and expenditure reports certifying that \$24,549 of the grant was expended for the purpose for which it was made.
  
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RADIO TELEVISION B 92  
Bulevar AVNOJ-a-64  
Belgrade 11000  
Serbia
2. Date and Amount of Grant:  
5/31/01      \$15,000
3. Purpose of Grant:  
For a conference, In Search of Truth and Responsibility: Toward a Democratic Future.
4. Amount Expended by Grantee:  
Grantor received from Grantee narrative and financial reports certifying that a portion of the grant was expended for the purpose for which it was made. The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report on the balance of the grant but was unsuccessful. The Fund will not make additional grants to the grantee unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
See No. 4 above.
6. Date of Reports received from Grantee:  
On January 6, 2003, Grantor received from Grantee narrative and financial reports certifying that a portion of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
12/20/06      \$189,193
3. Purpose of Grant:  
For the activities of the Program for Asian Projects for 2006.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 27, 2010, Grantor received from Grantee narrative and expenditure reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
10/17/07      \$55,000
3. Purpose of Grant:  
For a research study on the impact of the awards on awardee work and in the context of developments in Asia.
4. Amount Expended by Grantee:  
The entire amount. Grantor received from Grantee narrative and expenditure reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 27, 2010, Grantor received from Grantee narrative and expenditure reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
10/17/07      \$80,000
3. Purpose of Grant:  
For a DVD series documenting best practices drawn from awardee work.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee -- to the knowledge of Grantor -- made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On October 20, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
11/25/08      \$64,000
3. Purpose of Grant:  
For the activities of the Program for Asian Projects during 2007 and 2008.
4. Amount Expended by Grantee:  
**\$59,000.** Grantor received from grantee narrative and financial reports certifying that \$59,000 of the grant was expended for the purpose for which it was made. Grantor is awaiting an updated report and has made efforts to secure same from Grantee.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 29, 2010, Grantor received from Grantee narrative and expenditure reports certifying that \$59,000 of the grant was expended for the purpose in which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
10/17/07      \$100,000
3. Purpose of Grant:  
For the activities of the Program for Asian Projects during 2007 and 2008.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and expenditure reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 29, 2010, Grantor has received from Grantee narrative and expenditure reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
8/14/08      \$122,500
3. Purpose of Grant:  
For strategic planning designed to position the Ramon Magsaysay Awards for high impact and financial sustainability for the next 50 years.
4. Amount Expended by Grantee:  
The entire amount. Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 27, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
12/16/08      \$43,650
3. Purpose of Grant:  
Toward documentation and dissemination of information about the recipients of the Ramon Magsaysay Awards.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether the Grantee – to the knowledge of the Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from the Grantee:  
On October 28, 2009, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
8/26/09      \$150,000
3. Purpose of Grant:  
For the stipends for the 2009 Ramon Magsaysay Awards.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On October 11, 2010, Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
RAMON MAGSAYSAY AWARD FOUNDATION  
1680 Roxas Boulevard  
Manila 1004  
Philippines
2. Date and Amount of Grant:  
12/22/09      \$57,996
3. Purpose of Grant:  
To support the 2009 and 2010 documentation and dissemination of information about the recipients of the Ramon Magsaysay Awards.
4. Amount Expended by Grantee:  
**\$21,946.** Grantor received from Grantee narrative and financial reports certifying that \$21,946 of the grant was expended for the purpose for which it was made. A report on the balance of \$36,050 will be due in 2011 in conjunction with final reporting on the grant.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On October 11, 2010, Grantor received from Grantee narrative and financial reports certifying that \$21,946 of the grant was expended for the purpose for which it was made. A report on the balance of \$36,050 will be due in 2011 in conjunction with final reporting on the grant.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
SMART KOLEKTIV  
Alekse Nenadovica 34  
Belgrade 11000  
Serbia
2. Date and Amount of Grant:  
4/9/09            \$100,000
3. Purpose of Grant:  
For its public awareness project, Sustainable Development Strategy-Informative Educational Campaign in Serbia.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On May 18, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
SOCIETY FOR HARMONIOUS DEVELOPMENT  
B2, 335 Castle Peak Road  
Ding Kau  
Hong Kong  
China
2. Date and Amount of Grant:  
8/14/08      \$35,000
3. Purpose of Grant:  
For its Youth Leadership Training Project.
4. Amount Expended by Grantee:  
**\$30,672.15.** Grantor received from Grantee narrative and financial reports certifying that \$30,672.15 of the grant was expended for the purpose for which it was made. Grantor is awaiting an updated report and has made efforts to secure same from Grantee.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On September 10, 2010, Grantor received from Grantee narrative and financial reports certifying that \$30,672.15 of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
STOCKHOLM ENVIRONMENT INSTITUTE  
Kraftriket 2B  
Stockholm SE-106 91  
Sweden
2. Date and Amount of Grant:  
4/4/08            \$150,000
3. Purpose of Grant:  
To support its climate change meeting in Stockholm with Chinese economists and their western counterparts.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On March 11, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
TRAIL ASSOCIATION  
Dusanova 4/2  
Nis 18000  
Serbia and Montenegro
2. Date and Amount of Grant:  
12/31/03      \$25,000
3. Purpose of Grant:  
For the youth winter camp, In the Name of Our Future.
4. Amount Expended by Grantee:  
The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report but was unsuccessful. The Fund will not make additional grants to the grantee unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
See No. 4 above.
6. Date of Reports received from Grantee:  
See No. 4 above.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
VULEKA PRODUCTIONS  
P.O. Box 15077  
Bellair 4006  
South Africa
2. Date and Amount of Grant:  
12/18/07      \$14,000
3. Purpose of Grant:  
To support and amplify orphan and vulnerable children interventions in South Africa through media.
4. Amount Expended by Grantee:  
**The entire amount.** Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On March 3, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the grant was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
WHAT IS MISSING FOUNDATION  
112 Prince Street  
New York, NY 10012
2. Date and Amount of Grant:  
11/24/09      \$25,000
3. Purpose of Grant:  
For the What is Missing? memorial in its offset program and partnership with the Clinton Global Initiative to raise awareness on deforestation and its contribution to global warming.
4. Amount Expended by Grantee:  
The entire amount. Grantor has received from Grantee narrative and financial reports certifying that the entire amount of the payment was expended for the purpose for which it was made.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
No.
6. Date of Reports received from Grantee:  
On January 15, 2010, Grantor received from Grantee narrative and financial reports certifying that the entire amount of the payment was expended for the purpose for which it was made.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

ROCKEFELLER BROTHERS FUND, INC.

GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009

1. Name and Address of Recipient:  
YUNNAN PARTICIPATORY WATERSHED MANAGEMENT RESEARCH AND  
PROMOTION CENTER  
7th Floor, Academy of Social Sciences  
133 Qixaiang Road  
Kunming 650034  
China

2. Date and Amount of Grant:  
10/21/03      \$30,000  
12/28/05      \$30,000

3. Purpose of Grant:  
To its work on Participatory Social Impact Assessment.

4. Amount Expended by Grantee:  
**\$28,000.** Grantor received from grantee narrative and financial reports certifying that \$28,000 of the grant was expended for the purpose for which it was made.

The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report on the balance of \$32,000 but was unsuccessful. The Fund will not make additional grants to the grantee unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.

5. Whether Grantee -- to the knowledge of Grantor -- made any diversion of funds from the purpose of the grant:  
No.

6. Date of Reports received from Grantee:  
On December 16, 2005, Grantor received from Grantee narrative and expenditure reports certifying that \$28,000 of the grant was expended for the purpose for which it was made.

7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.



**ROCKEFELLER BROTHERS FUND, INC.**

**GRANT SUBJECT TO EXPENDITURE RESPONSIBILITY - 2009**

1. Name and Address of Recipient:  
ZED BOOKS, LTD.  
7 Cynthia Street  
London N1 9JF  
United Kingdom
2. Date and Amount of Grant:  
3/16/05      \$6,000
3. Purpose of Grant:  
For translation into English of *Islam et Liberté*, by Mohamed Charfi.
4. Amount Expended by Grantee:  
The Rockefeller Brothers Fund, Inc. (the "Fund") made reasonable efforts to obtain the grantee's report but was unsuccessful. The Fund will not make additional grants to the grantee unless the report is received. To our knowledge, the grantee has not diverted any portion of the funds from the purposes of the grant. Thus, the Fund has met the requirements of Treas. Reg. Section 53.4945-5(e)(2) and will not report the grant as an expenditure responsibility grant on subsequent Forms 990-PF filed by the Fund with the IRS.
5. Whether Grantee – to the knowledge of Grantor – made any diversion of funds from the purpose of the grant:  
See No. 4 above
6. Date of Reports received from Grantee:  
See No. 4 above.
7. Dates and Results of the Verification of Grantee's Report(s):  
Not required.

## ROCKEFELLER BROTHERS FUND, INC.

3-1760106  
75 Riverside Drive, Suite 900  
New York, New York 10115

SCHEDULE 10  
FORM 990-PF  
YEAR 2009

Compensation of Officers, Directors, and TrusteesPart VIII, (1)

| <u>Name and Address</u>  | <u>Title</u>          | <u>Average Hours<br/>per Week<br/>Devoted to<br/>Position</u> | <u>Compensation</u> | <u>Contributions<br/>to Employee<br/>Benefit Plans</u> | <u>Expense<br/>Account and<br/>Other<br/>Allowances</u> |
|--|-----------------------|---|---------------------|--|---|
| Abby M. O'Neill<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115        | Advisory<br>Trustee   | (2) 1 hr.   | - 0 -               | None   | None  |
| Steven C. Rockefeller<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115  | Trustee               | 1 hr.   | - 0 -               | None   | None  |
| David Rockefeller<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115      | Advisory<br>Trustee   | 1 hr.   | - 0 -               | None   | None  |
| Richard G. Rockefeller<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115 | Trustee<br>Chairman   | 1 hr.   | - 0 -               | None   | None  |
| Deva Goodwin<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115           | Trustee<br>Vice Chair | (2) 1 hr.   | - 0 -               | None   | None  |
| William H. Luers<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115       | Advisory<br>Trustee   | 1 hr.   | - 0 -               | None   | None  |
| Richard D. Parsons<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115     | Advisory<br>Trustee   | (2) 1 hr.   | - 0 -               | None   | None  |
| Robert B. Oxnam<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115        | Advisory<br>Trustee   | 1 hr.   | - 0 -               | None   | None  |
| Anne Bartley<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115           | Trustee               | 1 hr.   | - 0 -               | None   | None  |

**ROCKEFELLER BROTHERS FUND, INC.**

 3-1760106  
 75 Riverside Drive, Suite 900  
 New York, New York 10115

**SCHEDULE 10**  
**FORM 990-PF**  
**YEAR 2009**
Compensation of Officers, Directors, and Trustees
Part VIII, (1)

| <u>Name and Address</u>  | <u>Title</u>        | <u>Average Hours per Week Devoted to Position</u> | <u>Compensation</u> | <u>Contributions to Employee Benefit Plans</u> | <u>Expense Account and Other Allowances</u> |
|--|---------------------|---|---------------------|--|---|
| Wali Nasr<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115                  | Trustee             | 1 hr.   | - 0 -               | None   | None  |
| Frank G. Wisner<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115           | Trustee             | (2) 1 hr.   | - 0 -               | None   | None  |
| Jonathan F. Fanton<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115        | Advisory Trustee    | 1 hr.   | - 0 -               | None   | None  |
| Richard Chasin<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115            | Trustee             | (2) 1 hr.   | - 0 -               | None   | None  |
| James Moltz<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115               | Trustee             | 1 hr.   | 2,000               | None   | None  |
| John Morning<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115              | Trustee             | (2) 1 hr.   | - 0 -               | None   | None  |
| R. Nicholas Burns<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115         | Trustee             | 1 hr.   | - 0 -               | None   | None  |
| Valerie Rockefeller Wayne<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115 | Trustee, Vice-Chair | 1 hr.   | - 0 -               | None   | None  |
| James Gustave Speth<br>c/o Rockefeller Brothers Fund<br>175 Riverside Drive, Suite 900<br>New York, N.Y. 10115       | Trustee             | 1 hr.   | - 0 -               | None   | None  |

Compensation of Officers, Directors, and Trustees

Part VIII, (1)

| <u>Name and Address</u>  | <u>Title</u>           | <u>Average Hours<br/>per Week<br/>Devoted to<br/>Position</u> | <u>Compensation</u> | <u>Contributions<br/>to Employee<br/>Benefit Plans</u> | <u>Expense<br/>Account and<br/>Other<br/>Allowances</u> |
|--|------------------------|---|---------------------|--|---|
| Joseph A. Pierson<br>c/o Rockefeller Brother Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115   | Trustee                | 1 hr.   | - 0 -               | None   | None  |
| Airanda M. Kaiser<br>c/o Rockefeller Brother Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115   | Trustee                | 1 hr.   | - 0 -               | None   | None  |
| Wendy O'Neill Wang<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115 | Trustee                | 1 hr.   | - 0 -               | None   | None  |
| Timothy O'Neill<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115    | Trustee                | 1 hr.   | 3,000               | None   | None  |
| Wendy Gordon<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115       | Trustee                | 1 hr.   | - 0 -               | None   | None  |
| Justin Rockefeller<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115 | Trustee                | (1) 1 hr.   | - 0 -               | None   | None  |
| Arlene Shuler<br>c/o Rockefeller Brothers Fund<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115      | Trustee                | (1) 1 hr.   | - 0 -               | None   | None  |
| Stephen B. Heintz<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115                                   | Trustee,<br>President  | 40 hrs.   | 500,000             | 73,132   | 1,284   |
| Nancy L. Muirhead<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115                                   | Corporate<br>Secretary | (3) 40 hrs.   | 175,006             | 58,384   | 1,845   |
| Benjamin R. Shute<br>75 Riverside Drive, Suite 900<br>New York, N.Y. 10115                                   | Corporate<br>Secretary | (4) 40 hrs.   | 237,624             | 68,433   | 1,035   |

- In 2005, the RBF has decided to focus this strategy on selected advocacy and public engagement efforts chosen from the following issue areas: terrorism and the proliferation of deadly weapons, climate change, and fairness in global trade.
- Across a broader range of issues, priority is also given to efforts with the potential to engage people of faith, young people, business leaders, and women.

*Note: Given limited resources, the RBF can only fund a small number of communications-related projects each year. Staff actively work to identify strategic opportunities in the field, so funding for unsolicited proposals is the exception rather than the rule.*

- Promoting effective collaboration among organizations seeking to build public support for responsible U.S. global engagement. At present, the Fund pursues this strategy primarily through involvement in the Connect US initiative.

#### Goal | Promoting Mutual Respect and Understanding between Muslim and Western Societies

The RBF seeks to reduce the divisive and destabilizing tensions that exist between much of the Islamic world and the West, particularly the United States, and to increase the potential for collaboration among Muslim and Western societies on behalf of a better, safer world through the following strategies:

##### *Strategies*

- Supporting efforts to ensure that U.S. policies and behaviors reflect an understanding of the complexity and diversity of Muslim societies and contribute to mutually respectful, productive relations with those societies.
- Supporting initiatives that contribute to deeper U.S. public understanding of Islam and Muslim societies. Priority is given to high-leverage efforts that have the potential, over time, to reduce persistent misperceptions and sources of tension between the U.S. and the Muslim world.
- Supporting joint Muslim-Western efforts to address issues and problems that are of shared concern and that have a significant bearing on the relationship between the U.S. and Muslim-majority countries.

*Note: At present, the Fund pursues this strategy primarily at the global and transnational levels and is only rarely able to support community-based or country-specific programs.*

- Supporting the efforts of Muslim organizations and scholars to contribute to dynamic debate within Muslim societies about the role and future of Islam and of Islamic peoples in a rapidly changing, increasingly interconnected world.

*Note: Because of the exploratory nature of this strategy, the Fund will be pursuing it primarily through solicited proposals.*

#### RBF Pivotal Places

The Fund pursues its three program interests—Democratic Practice, Sustainable Development, and Peace and Security—in a variety of geographic contexts. In addition, the Fund has identified several specific locations on which to concentrate cross-programmatic grantmaking attention. The Fund refers to these as RBF "pivotal places": sub-national areas, nation-states, or cross-border regions which have special importance with regard to the Fund's substantive concerns and whose future will have disproportionate significance for the future of a surrounding region, an ecosystem, or, indeed, the globe.

While there are many places in the world that might be considered pivotal, the selection of RBF pivotal places is guided by both the Fund's program interests and grantmaking history. These are places where the Fund judges that because of its experience, knowledge, and program interests, its grantmaking could be particularly effective, and where the Fund generally makes a long-term commitment. The Fund's engagement in these places is multidisciplinary, involving two or more RBF program interests. It is also responsive to local needs and priorities; indeed, the Fund may pursue its broad programmatic goals in different ways within each RBF pivotal place.

In 2009, the Fund worked in three RBF pivotal places:

### **New York City Pivotal Place – 2009 Guidelines**

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#### **NEW YORK CITY**

The Rockefeller Brothers Fund has been active in New York City since the RBF’s founding there in 1940. New York City’s extraordinarily diverse population, its economic prominence, and its cultural vitality combine to make the city pivotal to the future of its region, the nation, and the world.

New York City has the potential to be a model 21st century sustainable urban community that nourishes neighborhoods and civic life, supports individual achievement and artistic expression, generates widely shared prosperity, and preserves and enhances its built and natural environments. Linked as it is to the region, the nation, and the world, New York City can become a beacon of excellence and a force for positive change both within and well beyond its boundaries.

Two of the Fund’s three program interests are reflected in the RBF’s engagement with New York City as an RBF pivotal place. The Charles E. Culpeper Arts & Culture grants are a distinctive feature of the Pivotal Place: New York City program.

#### **Democratic Practice**

##### **Goal: Encouraging Civic Engagement**

The Fund seeks to build the capacity of community groups working to improve the quality of life in disadvantaged neighborhoods through the following strategies:

Strategies:

- Supporting civic initiatives and community processes that address locally identified priorities.
- Strengthening community leadership capacity, particularly among immigrant populations.
- Encouraging collaboration among local institutions and across sectors.

Goal: Encouraging Civic Participation in Public Education

The Fund seeks to promote civic responsibility for school improvement through the following strategies:

Strategies:

- Supporting projects that reach out to and engage new constituencies in public education improvement efforts.
- Fostering collaborations/networks among community groups, academic centers, education advocacy groups, and public institutions to improve the New York City public education system.
- Strengthening the capacity of community groups to engage in public education advocacy and reform-related initiatives.

Sustainable Development

Goal: Building Sustainable Communities

The Fund seeks to improve the safety, aesthetic quality, environmental stewardship, and the spiritual and community life of New York City neighborhoods through the following strategies:

Strategies:

- Assisting community-based initiatives that encourage, respect, and care for the natural and built environment and that enhance or reclaim public space.
- Supporting opportunities for community engagement in local development and planning processes.
- Advancing innovative ideas and projects that promote the concept of New York as a sustainable city.

**CHARLES E. CULPEPER ARTS & CULTURE GRANTS**

The Charles E. Culpeper Arts & Culture grants honor the legacy of Charles E. Culpeper by supporting the artists and arts and cultural organizations that make New York City one of the world's most dynamic creative capitals. These grants support the creative process, build the capacity of small and mid-size arts and cultural institutions, and promote the pursuit of the creative life.

The standard RBF letter of inquiry process does not apply for these grants. Proposals are accepted each year, January 1 through March 1 (on the following business day if March 1st falls on a weekend). Beginning with the 2009 award cycle, applications may only be submitted online at [www.rbf.org](http://www.rbf.org).

Grantee organizations must wait a minimum of three years from their grant final payment before

reapplying.

Goal: Supporting the Creative Process

The Fund seeks to foster an environment in which artists and the creative process can flourish through the following strategy:

Strategy:

- Supporting organizations that assist individual artists and the creative process, providing infrastructure to sustain the artistic life, and offering artists additional opportunities to develop skills complementary to their creative talents.

Goal: Building Capacity in Cultural Organizations

The Fund seeks to sustain and advance small and mid-size cultural organizations, particularly those that are community-based and/or culturally specific, with annual budgets under \$4 million, through the following strategies:

Strategies:

- Giving non-renewable, three-year capacity-building grants of up to \$50,000 per year, as a source of stable funding and added vitality in the immediate term.
- Providing endowment grants of up to \$250,000 matched on a one-to-one basis to cultural and arts organizations that demonstrate the potential for long-term leadership and excellence in the presentation of creative work to the broadest possible audiences.
- Awarding grants of up to \$15,000 for innovative, team-based, institutional leadership conferences designed to strengthen long-range organizational management and governance. Grants cover the costs of one or two-day conferences at the Fund's Pocantico Conference Center, including the participation of professional consultants, advisors, or facilitators.

**Southern China Pivotal Place – 2009 Guidelines**

In March 2004, the Rockefeller Brothers Fund decided to concentrate its Asian grantmaking in Southern China, one of the fastest growing and most dynamic regions of the world. This focus builds on the Fund's history of philanthropy in East and Southeast Asia and continues over a century of Rockefeller family philanthropy in China which includes the founding of the Peking Union Medical College in 1917.

The Fund's geographic area of interest encompasses the nine diverse and increasingly interconnected provinces of the Pan Pearl River Delta—Guangdong, Guangxi, Hunan, Yunnan, Sichuan, Guizhou, Fujian, Hainan, and Jiangxi—and, to a lesser extent, Hong Kong and Macau. This region accounts for one-third of China's population and 40 percent of its GDP. It has played a pivotal role in China's extraordinary progress over the last 25 years, progress which includes, among many achievements, the elevation of over 400 million people out of extreme poverty and the growth of China's economy into the fourth largest in the world.

Southern China's rapid development, however, has been accompanied by profound challenges including environmental degradation and growing disparities between rich and poor, urban and rural which, if not addressed, threaten the sustainability of development in the region, the country, and the world. The Chinese government and people have been responding vigorously to these complex challenges. The RBF's grantmaking seeks to assist these



efforts, supporting work that advances one of its central programmatic interests: sustainable development.

Within this programmatic interest, the Fund has defined three areas of initial focus. These include addressing the links between the environment and human health; advancing sustainable approaches to meeting the region's energy needs; and strengthening community leadership in support of sustainable development.

At the core of all of the RBF's work in Southern China is a fundamental belief in the wisdom, creativity, and resourcefulness of the Chinese people. The Fund will encourage multidisciplinary approaches to problem solving that integrate social, economic, environmental, and cultural concerns and it will seek to foster collaboration at all levels and across sectors—government, business, civil society, and academia.

### **Sustainable Development**

#### Goal: Promoting Healthy, Sustainable Communities by Addressing the Links between the Environment and Human Health

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

##### Strategies:

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

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

##### Strategies:

- Support a broad range of initiatives to assist China's efforts to reduce greenhouse gas emissions, with a strong emphasis on work at the provincial and local levels. Priorities include: deepening awareness in all sectors of the threat of global warming; strengthening leadership capacity to develop innovative policy responses and improve implementation and enforcement; identifying and removing regulatory, financial, and market barriers to low-carbon development; encouraging research, development, manufacture, and marketing of cost-effective energy efficient and clean energy technologies; and engaging the business sector in efforts to reduce GHG emissions.
- Build understanding and facilitate cooperation between the United States and China in pursuing effective policy and action on energy and climate challenges.

#### Goal: Strengthening Community Leadership to Support Sustainable Development

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

##### Strategies:

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

## Western Balkans Pivotal Place – 2009 Guidelines

### Democratic Practice

#### Goal | Improving the Performance, Accountability, and Transparency of Government

##### *Strategies*

- Supporting the development and implementation of internal reforms in select government institutions.
- Assisting government officials, parliamentarians, and emerging public sector leaders to acquire the skills necessary for effective governance.

#### Goal | Strengthening Constituencies of Citizens Actively Engaged in Building Democracy

##### *Strategies*

- Supporting public education and communications activities that promote a deeper understanding of the responsibilities and benefits of open societies and equip citizens to participate in democratic processes.
- Promoting civic engagement of youth, including leadership development activities and efforts to insert fresh ideas into public life at all levels of society.
- Strengthening civil society as an essential component of a robust democratic political culture.

### Sustainable Development

#### Goal | Supporting Efforts to Nurture Economically, Ecologically, and Socially Sustainable Urban and Rural Communities

##### *Strategies*

- Fostering experimentation with urban, rural, and regional planning processes that actively engage the public.
- Promoting inclusive collaborations to promote the wise use of natural and cultural resources.
- Assisting efforts to integrate into formal education and life-long learning the knowledge, values, and skills needed for sustainable development.

### ADDITIONAL INFORMATION

The Rockefeller Brothers Fund maintains a Web site at [www.rbf.org](http://www.rbf.org) that includes information about the Fund's program guidelines, descriptions of recent grants, and a list of publications, many of which are available online.

In addition the RBF submits information about its grantmaking on a regular basis to the Foundation Center for inclusion in its key print and electronic resources. The Foundation Center provides free access to a core collection of its publications and CD-ROMs through a network of reference libraries in New York; Washington, D.C.; Atlanta; Cleveland; and San Francisco, as well as Cooperating Collections in more than

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

**Schedule 12**  
**FORM 990-PF**  
**Year 2009**

200 locations nationwide. Information about the location of Cooperating Collections can be obtained from the Foundation Center by calling 1-800-424-9836.

PART XV, Lines 3(a) and 3(b) Grants and Contributions Paid During the Year and Approved for Future Payment  
**SCHEDULE OF GRANTS TO ORGANIZATIONS**  
 FYE 12/31/2009

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

| Recipient and Purpose   | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>1Sky Education Fund</b><br>6930 Carroll Avenue<br>Suite 1000<br>Takoma Park, MD 20912<br><i>To support a consultant to coordinate the alignment of U.S. climate change leaders and large grassroots organizations.</i> | 2          | \$0.00            | \$30,000.00      | \$0.00         | \$30,000.00  | \$0.00         |
| <b>1Sky Education Fund</b><br>6930 Carroll Avenue<br>Suite 1000<br>Takoma Park, MD 20912<br><i>For general support.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$250,000.00 | \$0.00         |
| <b>1Sky Education Fund</b><br>6930 Carroll Avenue<br>Suite 1000<br>Takoma Park, MD 20912<br><i>For general support.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$0.00       | \$250,000.00   |
| <b>1Sky Education Fund</b><br>6930 Carroll Avenue<br>Suite 1000<br>Takoma Park, MD 20912<br><i>For general support.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$250,000.00 | \$0.00         |
| <b>2030, Inc.</b><br>607 Cerrillos Road<br>Santa Fe, NM 87505<br><i>To support its project Architecture 2030.</i>   | 2          | \$95,000.00       | \$0.00           | \$0.00         | \$95,000.00  | \$0.00         |
| <b>2030, Inc.</b><br>607 Cerrillos Road<br>Santa Fe, NM 87505<br><i>For general support.</i>  | 2          | \$0.00            | \$400,000.00     | \$0.00         | \$50,000.00  | \$350,000.00   |
| <b>35 mm</b><br>Jola Piletica 9/36<br>Podgorica, 81000 Montenegro<br><i>For its investigative journalism project.</i>   | 7          | \$0.00            | \$77,000.00      | \$0.00         | \$77,000.00  | \$0.00         |
| <b>Abraham Path Initiative, Inc.</b><br>1245 Pearl Street, Suite 208<br>Boulder, CO 80302<br><i>For general support.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>ActionAid</b><br>Hamlyn House<br>Macdonald Road<br>London, N19 5PG United Kingdom<br><i>For its Bretton Woods Project.</i>   | 7          | \$0.00            | \$150,000.00     | \$0.00         | \$75,000.00  | \$75,000.00    |
| <b>ActionAid USA</b><br>ActionAid International USA<br>1420 K Street, NW<br>Suite 900<br>Washington, D.C. 20005<br><i>For general support.</i>  | 2          | \$37,000.00       | \$0.00           | \$0.00         | \$37,000.00  | \$0.00         |

| Recipient and Purpose  | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>ActionAid USA</b><br>ActionAid International USA<br>1420 K Street, NW<br>Suite 900<br>Washington, D.C. 20005<br><i>For its analysis and advocacy on the programs of key international financial institutions in Africa.</i> | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$100,000.00 | \$100,000.00   |
| <b>AFRICA! IGNITE</b><br>59 Henwood Road<br>Morningside 4001 South Africa<br><i>As a final contribution to improve the communications capacity of grantees in South Africa.</i>  | 8          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Alliance for Children and Families, Inc.</b><br>11700 W. Lake Park Drive<br>Milwaukee, WI 53224-3021<br><i>For its New Vision for Civic Engagement program.</i>   | 2          | \$450,000.00      | \$0.00           | \$0.00         | \$225,000.00 | \$225,000.00   |
| <b>Alliance for Children's Entitlement to Social Security</b><br>PostNet Suite 78, Private Bag X3<br>Plumstead, 7801 South Africa<br><i>For general support.</i>   | 7          | \$70,000.00       | \$0.00           | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Alliance for the Arts, Inc.</b><br>330 West 42nd Street<br>Suite 1701<br>New York, NY 10036<br><i>For its NYC ARTS project.</i>   | 2          | \$0.00            | \$105,000.00     | \$0.00         | \$35,000.00  | \$70,000.00    |
| <b>Alliance of Resident Theatres/New York, Inc.</b><br>520 Eighth Avenue<br>Suite 319<br>New York, NY 10018<br><i>For salary support for a senior development staff member and a facilities and outreach manager.</i>          | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Alvin Ailey Dance Foundation, Inc.</b><br>The Joan Weill Center for Dance<br>405 West 55th Street<br>New York, NY 10019-4402<br><i>For its subsidized rehearsal space program.</i>  | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>America Abroad Media</b><br>1020 19th Street, NW<br>Suite 650<br>Washington, D.C. 20036<br><i>For its Afghanistan and Iran initiatives.</i>   | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$100,000.00 | \$100,000.00   |
| <b>American Bar Association Fund for Justice and Education</b><br>740 15th Street, NW<br>Washington, DC 20005<br><i>To support its project, the Social Policy Advocacy Coalition for Healthy and Sustainable Communities.</i>  | 2          | \$0.00            | \$180,000.00     | \$0.00         | \$100,000.00 | \$80,000.00    |
| <b>American Council on Renewable Energy</b><br>P.O. Box 33518<br>Washington, DC 20033<br><i>For general support.</i>   | 2          | \$0.00            | \$350,000.00     | \$0.00         | \$350,000.00 | \$0.00         |

| Recipient and Purpose   | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>American Councils for International Education, Inc.</b><br>1776 Massachusetts Avenue, NW<br>Suite 700<br>Washington, DC 20036<br><i>To its Kosovo American Education Fund.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>American Documentary, Inc., The</b><br>32 Broadway, 14th Floor<br>New York, NY 10004<br><i>For its Diverse Voices Project.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>American Institute for Social Justice, Inc.</b><br>1024 Elysian Fields Avenue<br>New Orleans, LA 70117-8402<br><i>For its Association of Community Organizations for Reform Now New York chapter.</i>  | 2          | \$65,000.00       | \$0.00           | \$0.00         | \$65,000.00  | \$0.00         |
| <b>American Opera Projects, Inc.</b><br>138 South Oxford Street<br>Brooklyn, NY 11217<br><i>For capacity-building initiatives.</i>  | 2          | \$20,100.00       | \$0.00           | \$0.00         | \$20,100.00  | \$0.00         |
| <b>American Prospect, Inc.</b><br>1710 Rhode Island Avenue, NW<br>12th Floor<br>Washington, DC 20036<br><i>For Thinking Big, Thinking Ahead, a conference on transformative economics.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>American Symphony Orchestra, Inc.</b><br>333 West 39th Street<br>Suite 1101<br>New York, NY 10018<br><i>For customer relationship management software.</i>   | 2          | \$35,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$0.00         |
| <b>American University in Cairo, The</b><br>420 Fifth Avenue, 3rd Floor<br>New York, NY 10018<br><i>For a mapping of youth civic engagement in the Middle East and North Africa region.</i>   | 1          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>AmericaSpeaks, Inc.</b><br>1050 17th Street, NW, Suite 350<br>Washington, DC 20009<br><i>For the Citizen Engagement Sustainability Program of its Democracy Lab.</i>   | 2          | \$75,000.00       | \$0.00           | \$0.00         | \$75,000.00  | \$0.00         |
| <b>AmericaSpeaks, Inc.</b><br>1050 17th Street, NW, Suite 350<br>Washington, DC 20009<br><i>For its Champions of Participation II conference, a meeting of managers of federal agencies to develop recommendations for the implementation of the President's Open Government Directive.</i> | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Amigos del Museo del Barrio, Inc.</b><br>1230 Fifth Avenue<br>New York, NY 10029<br><i>Towards the development of the 2010 exhibition Caribbean: Crossroads of the World.</i>  | 2          | \$35,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$0.00         |

| Recipient and Purpose  | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Amigos del Museo del Barrio, Inc.</b><br>1230 Fifth Avenue<br>New York, NY 10029<br><i>For an institutional leadership conference.</i>  | 2          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |
| <b>Amigos del Museo del Barrio, Inc.</b><br>1230 Fifth Avenue<br>New York, NY 10029<br><i>For the curatorial department endowment.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$0.00       | \$250,000.00   |
| <b>Arabella Legacy Fund</b><br>1816 Jefferson Place, NW<br>Washington, D.C. 20036<br><i>For its Creation Care Fund.</i>  | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$150,000.00 | \$0.00         |
| <b>Asia Society</b><br>725 Park Avenue<br>New York, NY 10021-5088<br><i>For the Independent Task Force on Afghanistan.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Asia Society</b><br>725 Park Avenue<br>New York, NY 10021-5088<br><i>For its Water Security Project.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Asia Society</b><br>725 Park Avenue<br>New York, NY 10021-5088<br><i>For its U.S.-Iran Dialogue.</i>  | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Asian American Writers' Workshop, Inc.</b><br>16 West 32nd Street<br>Suite 10A<br>New York, NY 10001-3808<br><i>For its Open City program.</i>  | 2          | \$0.00            | \$40,000.00      | \$0.00         | \$40,000.00  | \$0.00         |
| <b>Asian American-Pacific Islanders in Philanthropy</b><br>211 Sutter Street, Suite 600<br>San Francisco, CA 94108<br><i>For its mapping project of the national philanthropic landscape and of foundations funding programs in the Middle East, North Africa, and South Asia.</i> | 2          | \$0.00            | \$10,000.00      | \$0.00         | \$10,000.00  | \$0.00         |
| <b>Asian Cultural Council, Inc.</b><br>6 West 48th Street, 12th Floor<br>New York, NY 10036-1802<br><i>For general support.</i>  | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Asian Cultural Council, Inc.</b><br>6 West 48th Street, 12th Floor<br>New York, NY 10036-1802<br><i>For general support.</i>  | 2          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |
| <b>Aspen Institute, Inc., The</b><br>One Dupont Circle, NW<br>Suite 700<br>Washington, D.C. 20036<br><i>For its Congressional Program.</i>   | 2          | \$475,000.00      | \$0.00           | \$0.00         | \$75,000.00  | \$400,000.00   |
| <b>Aspen Institute, Inc., The</b><br>One Dupont Circle, NW<br>Suite 700<br>Washington, D.C. 20036<br><i>For its project, Realizing Rights: The Ethical Globalization Initiative.</i>   | 2          | \$0.00            | \$180,000.00     | \$0.00         | \$75,000.00  | \$105,000.00   |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Association of Citizens for Democracy and Civic Education "CIVIC INITIATIVES"</b><br>Bulevar Kralja Aleksandra<br>79/Vsprat<br>Belgrade, 11120 Serbia<br><i>For general support.</i>   | 7          | \$75,000.00       | \$0.00           | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Balkan Community Initiatives Fund</b><br>Gospodar Jevremova 45/III-8<br>Belgrade, 11000 Serbia<br><i>For general support.</i>  | 7          | \$0.00            | \$500,000.00     | \$0.00         | \$210,895.00 | \$289,105.00   |
| <b>Balkan Investigative Reporting Network</b><br>Mesa e Studenteve, Kati I<br>Prishtina, 10000 Kosovo<br><i>For general support.</i>  | 7          | \$0.00            | \$300,000.00     | \$0.00         | \$100,000.00 | \$200,000.00   |
| <b>Balkan Investigative Reporting Regional Network</b><br>Obala Kullina bana 10/2<br>Sarajevo, 71000 Bosnia and Herzegovina<br><i>For general support.</i>  | 7          | \$0.00            | \$210,000.00     | \$0.00         | \$70,000.00  | \$140,000.00   |
| <b>Ballet Theatre Foundation, Inc.</b><br>890 Broadway<br>New York, NY 10003-1278<br><i>For new choreography commissions for American Ballet Theatre II.</i>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Bank Information Center</b><br>1100 H Street, NW<br>Suite 650<br>Washington, D.C. 20005<br><i>For general support.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Beijing Chaoyang District Yongxu Global Environmental Institute</b><br>Building No. 5, Suite 1-401<br>New World Villa<br>Chongwen District<br>Beijing, 100062 China<br><i>For the China-U.S. Climate Track II Dialogue activities, including work in Guangdong Province.</i> | 7          | \$200,000.00      | \$0.00           | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Better World Fund</b><br>1800 Massachusetts Avenue, NW<br>Suite 400<br>Washington, D.C. 20036<br><i>To support its 25x'25 Climate Change Initiative.</i>   | 2          | \$200,000.00      | \$0.00           | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Big Shoes Foundation</b><br>Postnet Suite 381, Private Bag X30500<br>Houghton, 2041 South Africa<br><i>For its project, the Bigshoes Foundation.</i>   | 7          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Blacksmith Institute, Inc.</b><br>2014 Fifth Avenue<br>New York, NY 10035<br><i>For its two projects to protect human health and the environment for mine tailings and burgeoning e-waste recycling in Guangdong Province.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |



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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Brigham Young University</b><br>A-285 ASB<br>Provo, UT 84602<br><i>For the campaign donor survey conducted by its Center for the Study of Elections and Democracy.</i>   | 1          | \$0.00            | \$10,000.00      | \$0.00         | \$10,000.00  | \$0.00         |
| <b>Bronx Council on the Arts, Inc.</b><br>1738 Hone Avenue<br>Bronx, NY 10461-1486<br><i>For endowment.</i>   | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$75,000.00  | \$175,000.00   |
| <b>Brookings Institution</b><br>1775 Massachusetts Avenue, NW<br>Washington, D.C. 20036<br><i>For its project, Iran's Political Economy Since the Revolution.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Brookings Institution</b><br>1775 Massachusetts Avenue, NW<br>Washington, D.C. 20036<br><i>For its project, Managing Global Insecurity: American Leadership, International Institutions, and the Search for Peace in the 21st Century.</i> | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Brooklyn Academy of Music, Inc.</b><br>30 Lafayette Avenue<br>Brooklyn, NY 11217<br><i>For programs to develop and present work by emerging artists.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Brooklyn Arts Council</b><br>55 Washington Street<br>Suite 218<br>Brooklyn, NY 11201<br><i>For the implementation of its strategic plan.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Brooklyn Philharmonic Symphony Orchestra, Inc.</b><br>189 Montague Street<br>Suite 200A<br>Brooklyn, NY 11201<br><i>For endowment.</i>   | 2          | \$80,000.00       | \$0.00           | \$0.00         | \$0.00       | \$80,000.00    |
| <b>Brown University</b><br>164 Angell Street<br>Providence, RI 02912<br><i>For a project of the Annenberg Institute for School Reform, the Coalition for Educational Justice (CEJ).</i>   | 1          | \$0.00            | \$350,000.00     | \$0.00         | \$175,000.00 | \$175,000.00   |
| <b>Brown University</b><br>164 Angell Street<br>Providence, RI 02912<br><i>For a project of the Annenberg Institute for School Reform, the Urban Youth Collaborative (UYC).</i>   | 1          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>Business for Social Responsibility</b><br>111 Sutter Street, 12th Floor<br>San Francisco, CA 94104<br><i>For its project, Water and Environmental Health: Building Constituencies in Southern China.</i>                                   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Business for Social Responsibility</b><br>111 Sutter Street, 12th Floor<br>San Francisco, CA 94104<br><i>For the Business for Social Responsibility Green Manufacturing Sites Conference.</i>  | 2          | \$0.00            | \$17,000.00      | \$0.00         | \$17,000.00  | \$0.00         |
| <b>Regents of the University of California</b><br>215 Moses Hall, Room 2308<br>Berkeley, CA 94720-2308<br><i>For the Redistricting Reform and Voting Rights Project of the Chief Justice Earl Warren Institute on Race, Ethnicity, and Diversity of its Berkeley School of Law.</i> | 1          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Campaign Finance Institute, The</b><br>1667 K Street NW, Suite 650<br>Washington, DC 20006<br><i>For its Small Donor Project.</i>  | 2          | \$185,000.00      | \$0.00           | \$0.00         | \$85,000.00  | \$100,000.00   |
| <b>Campaign for Fiscal Equity, Inc.</b><br>110 William Street<br>Suite 2602<br>New York, NY 10038<br><i>For general support.</i>  | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Cape Town, University of</b><br>Private Bag<br>Rondebosch<br>Cape Town, 7701 South Africa<br><i>For the HIV/AIDS Program of its Children's Institute.</i>  | 6          | \$70,000.00       | \$0.00           | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Cape Town, University of</b><br>Private Bag<br>Rondebosch<br>Cape Town, 7701 South Africa<br><i>To support its Democracy in Africa Research Unit (DARU).</i>   | 6          | \$47,000.00       | \$0.00           | \$0.00         | \$47,000.00  | \$0.00         |
| <b>Carnegie Council on Ethics and International Affairs, Inc.</b><br>170 East 64th Street<br>New York, NY 10065<br><i>For its program on U.S. Global Engagement.</i>  | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Carnegie Endowment for International Peace</b><br>1779 Massachusetts Avenue, NW<br>Washington, D.C. 20036<br><i>For implementation of its New Vision strategic plan.</i>   | 2          | \$55,000.00       | \$0.00           | \$0.00         | \$55,000.00  | \$0.00         |
| <b>Carnegie Endowment for International Peace</b><br>1779 Massachusetts Avenue, NW<br>Washington, D.C. 20036<br><i>For its project, Helping China's Provinces Deploy Energy Efficiency.</i>   | 2          | \$200,000.00      | \$0.00           | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Casita Maria, Inc.</b><br>c/o St. Anthonasius School<br>830 Southern Boulevard, 4th Floor<br>Bronx, NY 10459<br><i>For capacity building.</i>  | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$50,000.00  | \$100,000.00   |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Center for a New American Security</b><br>1301 Pennsylvania Avenue, NW<br>Suite 403<br>Washington, D.C. 20004<br><i>For its project, Climate Change and National Security: Promoting the Dialogue.</i> | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Center for Book Arts</b><br>28 West 27th Street<br>3rd Floor<br>New York, NY 10001<br><i>For salary support, collections management, and an endowment campaign.</i>                                    | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$25,000.00    |
| <b>Center for Civil Society Development Protecta</b><br>TPC Kalca BI-43<br>Obrenoviceva bb<br>Nis, 18000 Serbia<br><i>For general support.</i>  | 7          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Center for Climate Strategies</b><br>1899 L Street, NW<br>Suite 900<br>Washington, D.C. 20036<br><i>To support economic analysis and implementation of New Jersey's climate mitigation plan.</i>       | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Center for Climate Strategies</b><br>1899 L Street, NW<br>Suite 900<br>Washington, D.C. 20036<br><i>For general support.</i>   | 2          | \$0.00            | \$350,000.00     | \$0.00         | \$350,000.00 | \$0.00         |
| <b>Center for Climate Strategies</b><br>1899 L Street, NW<br>Suite 900<br>Washington, D.C. 20036<br><i>For its China Climate Planning Initiative.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Center for Climate Strategies</b><br>1899 L Street, NW<br>Suite 900<br>Washington, D.C. 20036<br><i>For general support.</i>   | 2          | \$0.00            | \$400,000.00     | \$0.00         | \$0.00       | \$400,000.00   |
| <b>Center for Community Change</b><br>1536 U Street, NW<br>Washington, D.C. 20009<br><i>For its youth leadership development programs.</i>  | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$100,000.00 | \$100,000.00   |
| <b>Center for Economic and Policy Research</b><br>1611 Connecticut Ave, NW<br>Suite 400<br>Washington, D.C. 20009<br><i>For general support.</i>  | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Center for Effective Philanthropy, Inc.</b><br>675 Massachusetts Avenue<br>Seventh Floor<br>Cambridge, MA 02139<br><i>For general support.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Center for Food Safety</b><br>660 Pennsylvania Avenue, SE<br>Suite 302<br>Washington, D.C. 20003<br><i>For its project, Cool Foods: Countdown to Copenhagen and Beyond.</i>                        | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Center for Governmental Studies</b><br>10951 West Pico Boulevard<br>Suite 120<br>Los Angeles, CA 90064<br><i>For its studies of state and local public campaign financing systems.</i>             | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Center for Investigative Reporting, Inc.</b><br>2927 Newbury Street, Suite A<br>Berkeley, CA 94703-2565<br><i>For general support.</i>   | 2          | \$0.00            | \$40,000.00      | \$0.00         | \$40,000.00  | \$0.00         |
| <b>Center for Lobbying in the Public Interest</b><br>1612 K Street, NW<br>Suite 505<br>Washington, DC 20006<br><i>For general support.</i>  | 2          | \$0.00            | \$160,000.00     | \$0.00         | \$104,700.00 | \$55,300.00    |
| <b>Center for Regionalism</b><br>35 Zeljeznicka<br>Novi Sad Serbia<br><i>For general support.</i>   | 7          | \$35,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Center for U.S. Global Engagement</b><br>1220 19th Street, NW, Suite 300<br>Washington, D.C. 20036<br><i>For its National Security Advisory Council.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Center for American Progress</b><br>1333 H Street, NW, 10th Floor<br>Washington, D.C. 20005<br><i>For its Energy Opportunity Program.</i>  | 2          | \$125,000.00      | \$0.00           | \$0.00         | \$125,000.00 | \$0.00         |
| <b>Center for American Progress</b><br>1333 H Street, NW, 10th Floor<br>Washington, D.C. 20005<br><i>For its Faith and Progressive Policy Initiative.</i>   | 2          | \$0.00            | \$37,500.00      | \$0.00         | \$37,500.00  | \$0.00         |
| <b>Century Foundation, Inc., The</b><br>41 East 70th Street<br>New York, NY 10021<br><i>For its project, the Iran Election Bulletin.</i>  | 3          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Ceres, Inc.</b><br>99 Chauncey Street<br>Boston, MA 02111-1703<br><i>For its work with institutional investors to advocate for greenhouse gas reductions.</i>                                      | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$250,000.00 | \$0.00         |
| <b>Ceres, Inc.</b><br>99 Chauncey Street<br>Boston, MA 02111-1703<br><i>To amplify the voice of business leaders during the Major Economies Forum hosted by President Obama on April 27-28, 2009.</i> | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Ceres, Inc.</b><br>99 Chauncey Street<br>Boston, MA 02111-1703<br><i>For its We Can Lead campaign to amplify the voice of business leaders who assert that U.S. competitiveness, economic growth and job creation depend on the U.S. taking steps to become a leader on climate change and clean energy investment.</i> | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Ceres, Inc.</b><br>99 Chauncey Street<br>Boston, MA 02111-1703<br><i>For its We Can Lead campaign to amplify the voice of business leaders in support of strong climate policy.</i>   | 2          | \$0.00            | \$300,000.00     | \$0.00         | \$300,000.00 | \$0.00         |
| <b>Consultative Group on Biological Diversity</b><br>Presido Building 1016<br>P.O. Box 29361<br>San Francisco, CA 94129-0361<br><i>For general support and its funders network on energy and climate.</i>  | 2          | \$15,000.00       | \$0.00           | \$0.00         | \$15,000.00  | \$0.00         |
| <b>Consultative Group on Biological Diversity</b><br>Presido Building 1016<br>P.O. Box 29361<br>San Francisco, CA 94129-0361<br><i>For general support and to support its Climate and Energy Funders Group.</i>  | 2          | \$0.00            | \$45,000.00      | \$0.00         | \$15,000.00  | \$30,000.00    |
| <b>chashama, Inc.</b><br>201 East 42nd Street<br>32nd Floor<br>New York, NY 10017<br><i>To launch an individual donor program.</i>   | 2          | \$70,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$35,000.00    |
| <b>Chengdu Roots and Shoots Environmental Culture Exchange Centre</b><br>2-1-401 Dongheng Guoji, 108, 1st Ring East Fifth Section, Jinjiang District<br>Chengdu China<br><i>For its Sichuan Earthquake Community Environmental Health School Action Program.</i>   | 8          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Chesapeake Climate Action Network</b><br>PO Box 11138<br>Takoma Park, MD 20912<br><i>To support its preparation for and participation in the International Day of Climate Action, October 24, 2009.</i>   | 2          | \$0.00            | \$5,000.00       | \$0.00         | \$5,000.00   | \$0.00         |
| <b>Chez Bushwick, Inc.</b><br>304 Boerum Street<br>Suite 23<br>Brooklyn, NY 11206<br><i>For capacity building.</i>   | 2          | \$0.00            | \$40,000.00      | \$0.00         | \$15,000.00  | \$25,000.00    |
| <b>Chicago Council on Global Affairs</b><br>332 South Michigan Avenue, Suite 1100<br>Chicago, IL 60604-4434<br><i>For its project to strengthen support for strong energy and climate policies in the Midwest.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Chicago Theological Seminary Board of Directors</b><br>5757 S. University<br>Chicago, IL 60637<br><i>For its Interfaith Just Peacemaking project and for a Pocantico conference.</i>   | 1          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Children in Distress Network</b><br>P.O. Box 157<br>Pietemmaritzburg, 3200 South Africa<br><i>For a final contribution for its monitoring and evaluation work.</i>   | 7          | \$35,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$0.00         |
| <b>China Dialogue Trust</b><br>Suite 409-411 Davina House<br>137-149 Goswell Road<br>London, EC1V 7ET United Kingdom<br><i>For its research project, Health in South China.</i>   | 8          | \$0.00            | \$8,500.00       | \$0.00         | \$8,500.00   | \$0.00         |
| <b>Chinese Academy of Sciences</b><br>52 Sanlihe Road<br>Beijing, 100864 China<br><i>For its Forum on Health, Environment, and Development.</i>   | 6          | \$200,000.00      | \$0.00           | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Chinese Academy of Sciences</b><br>52 Sanlihe Road<br>Beijing, 100864 China<br><i>To support the establishment of a Centre for Environment, Development, and Health (CEDAH) based at the Institute of Geographic Sciences and Natural Resources Research of the Chinese Academy of Sciences (CAS).</i> | 6          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Chinese University of Hong Kong, The</b><br>Shatin, NT<br>Hong Kong China<br><i>For its project, Southern China Visiting Fellows Program for Civil Society Stakeholders.</i>   | 6          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Christian Aid</b><br>PO Box 100<br>London, SE1 7RT United Kingdom<br><i>For its global Southern Advocacy and Outreach program.</i>   | 7          | \$0.00            | \$70,000.00      | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Citizens for Pennsylvania's Future</b><br>610 N. Third Street<br>Harrisburg, PA 17101<br><i>For its Federal Climate, Renewable Energy and Energy Efficiency Policy Work in Pennsylvania.</i>   | 2          | \$0.00            | \$30,000.00      | \$0.00         | \$30,000.00  | \$0.00         |
| <b>New York City Center, Inc.</b><br>130 West 56th Street<br>New York, NY 10019<br><i>Endowment for its annual Fall for Dance Festival.</i>   | 2          | \$165,000.00      | \$0.00           | \$0.00         | \$85,000.00  | \$80,000.00    |
| <b>New York City Center, Inc.</b><br>130 West 56th Street<br>New York, NY 10019<br><i>For its Fall for Dance program.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |

| Recipient and Purpose   | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Civic Association Kuda.Org</b><br>Brace Mogln 2<br>P.O. Box 22<br>Novi Sad, 21113 Serbia<br><i>To support its Youth Center CK13 in Novi Sad.</i>   | 7          | \$15,000.00       | \$0.00           | \$0.00         | \$15,000.00  | \$0.00         |
| <b>Climate Registry, The</b><br>523 West 6th Street<br>Los Angeles, CA 90014<br><i>To the China Climate Registry project.</i>   | 2          | \$44,000.00       | \$0.00           | \$0.00         | \$44,000.00  | \$0.00         |
| <b>University of Colorado Foundation</b><br>225 East 16th Avenue<br>Suite 900<br>Denver, CO 80203<br><i>For its Presidential Climate Action Project.</i>  | 2          | \$0.00            | \$54,000.00      | \$0.00         | \$54,000.00  | \$0.00         |
| <b>Columbia College</b><br>600 S. Michigan Avenue<br>Chicago, IL 60605-1996<br><i>For the Malta-IV conference.</i>  | 1          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Trustees of Columbia University in the City of New York</b><br>Office of Research Administration<br>1210 Amsterdam Avenue<br>Room 254 Engineering Terrace, Mail Code: 2205<br><br>New York, NY 10027<br><i>To develop a model of care and support for vulnerable young children and their families in rural areas of South Africa affected by HIV/AIDS and poverty.</i>    | 1          | \$45,000.00       | \$0.00           | \$0.00         | \$45,000.00  | \$0.00         |
| <b>Trustees of Columbia University in the City of New York</b><br>Office of Research Administration<br>1210 Amsterdam Avenue<br>Room 254 Engineering Terrace, Mail Code: 2205<br><br>New York, NY 10027<br><i>As a final contribution for its Developing Families Project-South Africa: A Model of Training, Care and Support for Very Young Children and Their Families.</i> | 1          | \$30,000.00       | \$0.00           | \$0.00         | \$30,000.00  | \$0.00         |
| <b>Trustees of Columbia University in the City of New York</b><br>Office of Research Administration<br>1210 Amsterdam Avenue<br>Room 254 Engineering Terrace, Mail Code: 2205<br><br>New York, NY 10027<br><i>For the Institute of War and Peace Studies' project with Chamey Research.</i>   | 1          | \$1,000.00        | \$0.00           | \$0.00         | \$1,000.00   | \$0.00         |
| <b>Common Cause Education Fund</b><br>1133 19th Street, NW<br>Washington, DC 20036<br><i>For the research and public education elements of its campaign for clean elections.</i>  | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Common Cents New York, Inc.</b><br>570 Columbus Avenue<br>New York, NY 10024<br><i>For general support.</i>  | 2          | \$0.00            | \$26,000.00      | \$0.00         | \$26,000.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Community Partners</b><br>1000 North Alameda Street<br>Suite 240<br>Los Angeles, CA 90012<br><i>For its project, the Funders Network on Trade and Globalization, for work to educate funders on equity and the United Nations Framework Convention on Climate Change process.</i> | 2          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |
| <b>Community Service Society of New York</b><br>105 East 22nd Street<br>New York, NY 10010<br><i>To implement its strategic plan.</i>  | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Consensus Building Institute</b><br>238 Main Street, Suite 400<br>Cambridge, MA 02142<br><i>For its U.S.-Muslim Engagement Project.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Conservation Fund A Nonprofit Corporation, The</b><br>1655 North Fort Myer Drive<br>Suite 1300<br>Arlington, VA 22209<br><i>For state work on climate and land use planning.</i>  | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Constitution Project, The</b><br>1200 18th Street, NW<br>Suite 1000<br>Washington, D.C. 20036<br><i>For general support.</i>  | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Convene Venture Philanthropy</b><br>66 Kerry Road<br>Parkview 2193 South Africa<br><i>As a final contribution for its Leadership and Innovation Network for Collaboration in the Children's Sector Fellowship project.</i>  | 8          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Cornell University</b><br>Ithaca, NY 14853<br><i>For the work of its Global Labor Institute on climate change.</i>  | 1          | \$0.00            | \$55,000.00      | \$0.00         | \$55,000.00  | \$0.00         |
| <b>Corporate Ethics International</b><br>P.O. Box 2401<br>Suisun City, CA 94585<br><i>To its project, the Business Ethics Network, for expenses related to the Pocantico Senior Campaigners Retreat.</i>   | 2          | \$0.00            | \$70,000.00      | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Corporate Ethics International</b><br>P.O. Box 2401<br>Suisun City, CA 94585<br><i>For its campaign to reduce demand for tar sands oil.</i>   | 2          | \$0.00            | \$500,000.00     | \$0.00         | \$250,000.00 | \$250,000.00   |
| <b>Council of Canadians, The</b><br>700-170, av. Laurier Ave West<br>Ottawa, ON K1P 5V5 Canada<br><i>To support the work of the Senior Advisor on Water to the President of the United Nations General Assembly.</i>   | 7          | \$0.00            | \$80,000.00      | \$0.00         | \$80,000.00  | \$0.00         |



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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Council on Foreign Relations, Inc.</b><br>58 East 68th Street<br>New York, NY 10021<br><i>For its Contingency Planning Roundtable Series.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Council on Foundations, Inc.</b><br>2121 Crystal Drive<br>Suite 700<br>Arlington, VA 22202<br><i>For general support for 2010.</i>   | 2          | \$0.00            | \$44,500.00      | \$0.00         | \$44,500.00  | \$0.00         |
| <b>Center for Strategic and International Studies, 2 Inc.</b><br>1800 K Street, NW<br>Suite 400<br>Washington, D.C. 20006<br><i>For its project to examine the changing nature of Muslim networks.</i>  | 2          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Deep Democracy</b><br>4192 E. Boulder Springs Way<br>Tucson, AZ 85712<br><i>For general support.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>Democracy Matters Institute, Inc.</b><br>P.O. Box 157<br>Hamilton, NY 13346<br><i>For general support.</i>   | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Demos: A Network for Ideas &amp; Action, Ltd.</b><br>220 Fifth Avenue<br>Fifth Floor<br>New York, NY 10001<br><i>For Public Works: The Demos Center for the Public Sector.</i>   | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$125,000.00 | \$125,000.00   |
| <b>Demos: A Network for Ideas &amp; Action, Ltd.</b><br>220 Fifth Avenue<br>Fifth Floor<br>New York, NY 10001<br><i>For its Building Movement Project.</i>  | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Demos: A Network for Ideas &amp; Action, Ltd.</b><br>220 Fifth Avenue<br>Fifth Floor<br>New York, NY 10001<br><i>To support the Demos' Fellows Program for a book project on youth organizing, climate change, and democratic renewal.</i> | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Demos: A Network for Ideas &amp; Action, Ltd.</b><br>220 Fifth Avenue<br>Fifth Floor<br>New York, NY 10001<br><i>To support the U.S. in the World initiative.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Demos: A Network for Ideas &amp; Action, Ltd.</b><br>220 Fifth Avenue<br>Fifth Floor<br>New York, NY 10001<br><i>For its National Voter Registration Act Project.</i>  | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>DokuFest</b><br>Mimar Sinan 12<br>Prizren, 20000 Kosovo<br><i>For its 2009 documentary and short film festival.</i>  | 7          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |

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| <b>DonorsChoose.org</b><br>347 West 36th Street<br>Suite 503<br>New York, NY 10018<br><i>To its Double Your Impact grants program for college-readiness projects in high-need New York City public schools.</i> | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$171,620.00 | \$28,380.00    |
| <b>E &amp; Co</b><br>Energy House<br>383 Franklin Street<br>Bloomfield, NJ 07003<br><i>For the LaRocco Fellowship Program.</i>  | 2          | \$0.00            | \$5,000.00       | \$0.00         | \$5,000.00   | \$0.00         |
| <b>Earth Island Institute</b><br>2150 Allston Way, Suite 460<br>Berkeley, CA 94704-1375<br><i>For the Campus Climate Challenge campaign of its project, the Energy Action Coalition</i>                         | 2          | \$175,000.00      | \$0.00           | \$0.00         | \$175,000.00 | \$0.00         |
| <b>Earth Island Institute</b><br>2150 Allston Way, Suite 460<br>Berkeley, CA 94704-1375<br><i>For its project, EcoEquity.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Earth Island Institute</b><br>2150 Allston Way, Suite 460<br>Berkeley, CA 94704-1375<br><i>To support the Power Shift 2009 youth conference of its Energy Action Coalition.</i>                              | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Earth Island Institute</b><br>2150 Allston Way, Suite 460<br>Berkeley, CA 94704-1375<br><i>For its project, the Energy Action Coalition.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$250,000.00 | \$0.00         |
| <b>Earth Island Institute</b><br>2150 Allston Way, Suite 460<br>Berkeley, CA 94704-1375<br><i>For its project, the Energy Action Coalition.</i>   | 2          | \$0.00            | \$400,000.00     | \$0.00         | \$0.00       | \$400,000.00   |
| <b>Education for Employment Foundation, The</b><br>624 9th Street, NW, Suite 222<br>Washington, D.C. 20001<br><i>For its impact assessment project.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Elijah Interfaith Institute USA Inc.</b><br>10 Caspi Street<br>Jerusalem, 93554 Israel<br><i>For its project, Toward a Contemporary Theology of Islam's Religious Other.</i>                                 | 2          | \$175,000.00      | \$0.00           | \$175,000.00   | \$0.00       | \$0.00         |
| <b>En Foco, Inc.</b><br>1738 Hone Avenue<br>Bronx, NY 10461<br><i>For capacity building.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Enterprise Community Partners, Inc.</b><br>One Whitehall Street<br>11th Floor<br>New York, NY 10004<br><i>For its New York Green Communities programs.</i>   | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$200,000.00 | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Environmental Grantmakers Association</b><br>55 Exchange Place, Suite 405<br>New York, NY 10005-1965<br><i>For general support.</i>  | 2          | \$0.00            | \$39,380.00      | \$0.00         | \$14,690.00  | \$24,690.00    |
| <b>Environmental Investigation Agency</b><br>P.O. Box 53343<br>Washington, D.C. 20009<br><i>For a campaign to instigate a global phase-out of hydrofluorocarbons.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>European Foundation Centre</b><br>51 Rue de la Concorde<br>Brussels, 1050 Belgium<br><i>For its 2009 Grantmakers East Forum.</i>   | 7          | \$0.00            | \$10,000.00      | \$0.00         | \$10,000.00  | \$0.00         |
| <b>Evangelical Environmental Network</b><br>680 I Street, NW<br>Washington, D.C. 20024<br><i>For general support.</i>   | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$200,000.00 | \$0.00         |
| <b>EXPEDITIO</b><br>P.O. Box 85<br>Kotor, 85330 Montenegro<br><i>For general support.</i>   | 7          | \$35,000.00       | \$0.00           | \$0.00         | \$0.00       | \$35,000.00    |
| <b>FIERCE</b><br>147 West 24th Street<br>6th Floor<br>New York, NY 10011<br><i>For LGBTQ youth center campaign and youth leadership development programs.</i>   | 2          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Focus Project, The</b><br>1742 Connecticut Avenue, NW<br>Washington, D.C. 20009<br><i>For its Public Right to Know project.</i>  | 2          | \$0.00            | \$80,000.00      | \$0.00         | \$80,000.00  | \$0.00         |
| <b>Focus the Nation</b><br>917 SW Oak Street, Suite 208<br>Portland, OR 97205<br><i>To support its project Focus the Nation to retain staff to do the follow-up after its nationwide town hall meetings on April 18, 2009 and to optimize its web site.</i> | 2          | \$0.00            | \$42,000.00      | \$0.00         | \$42,000.00  | \$0.00         |
| <b>Focus the Nation</b><br>917 SW Oak Street, Suite 208<br>Portland, OR 97205<br><i>For general support.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$25,000.00  | \$75,000.00    |
| <b>Footsteps</b><br>23 Acacia Road<br>Glenwood<br>Durban 4001 South Africa<br><i>To provide organizational development support to the Fund's grantees in the KwaZulu-Natal province as the Fund phases out its current work in South Africa.</i>            | 8          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Foreign Policy Club</b><br>Bregl i Diellit Rr. 2<br>Hy. 6/2<br>Prishtina, 10000 Kosovo<br><i>For general support.</i>  | 8          | \$0.00            | \$50,000.00      | \$0.00         | \$25,000.00  | \$25,000.00    |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Forum for Civic Initiatives</b><br>Bedri Pejani 7/A<br>Prishtina, 10000 Kosovo<br><i>For general support.</i>   | 7          | \$0.00            | \$280,000.00     | \$0.00         | \$140,895.00 | \$139,105.00   |
| <b>Forum on Democracy and Trade</b><br>690 East Colonel Wright Road<br>Shelton, WA 98584<br><i>For general support.</i>  | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Foundation Center</b><br>79 Fifth Avenue, 8th Floor<br>New York, NY 10003<br><i>For its Anniversary Campaign.</i>   | 2          | \$147,000.00      | \$0.00           | \$0.00         | \$69,619.00  | \$77,381.00    |
| <b>Foundation Center</b><br>79 Fifth Avenue, 8th Floor<br>New York, NY 10003<br><i>For general support for 2009 and 2010.</i>  | 2          | \$30,000.00       | \$0.00           | \$0.00         | \$30,000.00  | \$0.00         |
| <b>Foundation for a Civil Society, Ltd., The</b><br>455 East 51st Street, Suite 2D<br>New York, NY 10022<br><i>For developing its Iran Project.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Foundation for Democratic Initiatives, The</b><br>Besim Bishtazhini, No. 12<br>Gjakova Kosovo<br><i>For general support.</i>  | 7          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Foundry Theatre, Inc.</b><br>140-142 Second Avenue<br>Suite 405<br>New York, NY 10003<br><i>For capacity building.</i>  | 2          | \$0.00            | \$80,000.00      | \$0.00         | \$40,000.00  | \$40,000.00    |
| <b>Fresh Energy</b><br>408 St. Peter Street<br>Suite 220<br>St. Paul, MN 55102<br><i>For its Global Warming Solutions program.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Friends of Nature</b><br>Room 368, Wanbo Building, Ganyu Hutong 53<br>Dongcheng District<br><br>Beijing, 100006 China<br><i>For its In Search of Low-Carbon Households in China project.</i>        | 7          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>Friends of the Earth</b><br>1717 Massachusetts Avenue, NW<br>Suite 600<br>Washington, D.C. 20036<br><i>For its work on bringing international equity concerns into climate policy.</i>              | 2          | \$0.00            | \$170,000.00     | \$0.00         | \$85,000.00  | \$85,000.00    |
| <b>Friends of the Earth</b><br>1717 Massachusetts Avenue, NW<br>Suite 600<br>Washington, D.C. 20036<br><i>For media capacity building and coordination with climate equity advocacy organizations.</i> | 2          | \$0.00            | \$17,500.00      | \$0.00         | \$17,500.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Friends of the Earth International</b><br>P.O. Box 19199<br>Amsterdam, 1000 Netherlands<br><i>For the production of a video on corporate influence on climate negotiations.</i>   | 7          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Friends of WWB/USA, Inc.</b><br>8 West 40th Street, 9th Floor<br>New York, NY 10018<br><i>For its project, The Real Story of Microfinance.</i>  | 2          | \$0.00            | \$5,000.00       | \$0.00         | \$5,000.00   | \$0.00         |
| <b>Fund for Active Citizenship</b><br>Serdara Jola Piletica 18/1-1<br>Podgorica, 81000 Montenegro<br><i>For general support.</i>   | 7          | \$150,000.00      | \$0.00           | \$0.00         | \$150,000.00 | \$0.00         |
| <b>Fund for the City of New York, Inc.</b><br>121 Avenue of the Americas<br>New York, NY 10013<br><i>For a community planning fellowship program.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>George Washington University</b><br>2129 Eye Street, NW<br>Suite 813<br>Washington, DC 20052<br><i>For its Project on Forward Engagement.</i>   | 1          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>German Marshall Fund of the United States, The - A Memorial to the Marshall Plan</b><br>1744 R Street, NW<br>Washington, D.C. 20009<br><i>For their small grants program supporting youth engagement.</i>   | 2          | \$200,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$100,000.00   |
| <b>Global Greengrants Fund, Inc.</b><br>2840 Wilderness Place, Suite A<br>Boulder, CO 80301<br><i>For its small grants program for support of non-governmental organizations in Southern China working on environment, health, and climate change.</i> | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Global Kids, Inc.</b><br>137 East 25th Street, 2nd Floor<br>New York, NY 10010<br><i>For its program, U.S. in the World: U.S. Foreign Policy and International Law.</i>   | 2          | \$0.00            | \$30,000.00      | \$0.00         | \$30,000.00  | \$0.00         |
| <b>Global Philanthropy Partnership</b><br>643 W. Arlington Place<br>Chicago, IL 60614<br><i>For its Urban Sustainability Leaders Learning Community.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Global Urban Development</b><br>1250 24th Street<br>Suite 300<br>Washington, DC 20037<br><i>For its Climate Prosperity Project.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>God's Golden Acre</b><br>9 Killarney Valley Road<br>P.O. Box 331<br>Cato Ridge 3680, KwaZulu-Natal South Africa<br><br><i>For an evaluation of its youth development program.</i>  | 7          | \$16,000.00       | \$0.00           | \$0.00         | \$16,000.00  | \$0.00         |
| <b>God's Golden Acre</b><br>9 Killarney Valley Road<br>P.O. Box 331<br>Cato Ridge 3680, KwaZulu-Natal South Africa<br><br><i>As a final contribution to support fundraising efforts.</i>  | 7          | \$0.00            | \$30,000.00      | \$0.00         | \$30,000.00  | \$0.00         |
| <b>Grantmakers in the Arts</b><br>604 West Galer Street<br>Seattle, WA 98119-3253<br><i>For organizational membership and to support its annual conference.</i>   | 2          | \$0.00            | \$5,600.00       | \$0.00         | \$5,600.00   | \$0.00         |
| <b>Grants Managers Network, Inc.</b><br>1101 14th Street, NW<br>Suite 420<br>Washington, D.C. 20005<br><i>For general support for 2010.</i>   | 2          | \$0.00            | \$2,250.00       | \$0.00         | \$2,250.00   | \$0.00         |
| <b>Great Plains Institute for Sustainable Development, Inc.</b><br>2801 21st Avenue South<br>Suite 230<br>Minneapolis, MN 55407<br><i>For education and outreach in North Dakota on climate change.</i>                                   | 2          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Greater Jamaica Development Corporation</b><br>90-04 161st Street<br>Jamaica, NY 11432<br><i>To launch Culture Builds Jamaica.</i>   | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Greater Washington Educational Telecommunications Association, Inc.</b><br>2700 South Quincy Street<br>Arlington, VA 22206<br><i>For the Overseas Reporting Unit of the NewsHour with Jim Lehrer.</i>                                  | 2          | \$0.00            | \$130,000.00     | \$0.00         | \$130,000.00 | \$0.00         |
| <b>Green Earth Environmental Science Research Center of Chao Yang District, Beijing</b><br><br>Room 1509, No. 5, Shenggujiayuan<br>Chaoyang District<br>Beijing, 100029 China<br><i>For its online environmental news digest project.</i> | 7          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Green Network of Vojvodina</b><br>Heroja Pinkija 32<br>Vojvodina<br>Novi Sad, 21000 Serbia<br><i>For general support.</i>  | 7          | \$105,000.00      | \$0.00           | \$0.00         | \$35,000.00  | \$70,000.00    |
| <b>Grist Magazine, Inc.</b><br>710 Second Avenue<br>Suite 860<br>Seattle, WA 98104<br><i>For its Climate Citizen initiative.</i>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Guangxi Academy of Social Sciences</b><br>No. 5 Xinzhu Road<br>Nanning, Guangxi 530022 China<br><i>For the Western Guangxi Manganese Mining Environmental Pollution and Minority Health Research Project.</i> | 6          | \$40,000.00       | \$0.00           | \$0.00         | \$0.00       | \$40,000.00    |
| <b>Guangzhou Green Point Environmental Protection Information Center</b><br>Room 202, 55# Zhoumen Bei Road<br>Guangzhou, 510000 China<br><i>To support its Youth Environmental Leadership Project.</i>           | 8          | \$0.00            | \$70,000.00      | \$0.00         | \$35,000.00  | \$35,000.00    |
| <b>Health Care Without Harm</b><br>c/o Anna Gilmore Hall<br>1901 North Moore Street, Ste 509<br>Arlington, VA 22201<br><i>For its initiative to move the health care market toward climate sustainability.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Health Care Without Harm</b><br>c/o Anna Gilmore Hall<br>1901 North Moore Street, Ste 509<br>Arlington, VA 22201<br><i>For its climate and energy initiative.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>High Road for Human Rights Education Project</b><br>438 East 200 South<br>Salt Lake City, UT 84111<br><i>For general support.</i>   | 2          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Highlander Research and Education Center, Inc.</b><br>1959 Highlander Way<br>New Market, TN 37820<br><i>For Seeds of Fire, a youth leadership development program.</i>  | 2          | \$30,000.00       | \$0.00           | \$0.00         | \$30,000.00  | \$0.00         |
| <b>Hip-Hop Theater Festival, Inc.</b><br>442D Lorimer Street, Suite 195<br>Brooklyn, NY 11206<br><i>For general operating support.</i>   | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Horizon Research Consultancy Group Limited</b><br>Rm. 1108, Xinhengji Guoji Dasha<br>No. 3, Maizidian West Road<br>Beijing, 100016 China<br><i>For the Youth Social Entrepreneurship program.</i>             | 9          | \$92,000.00       | \$0.00           | \$32,000.00    | \$60,000.00  | \$0.00         |
| <b>Human Sciences Research Council</b><br>Private Bag X41<br>Pretoria 0001 South Africa<br><i>As a final year contribution for its Going to Scale project.</i>   | 6          | \$0.00            | \$70,000.00      | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Humanitarian Law Center - Documentation and Memory</b><br>67 Makenzijeve<br>Belgrade, 11110 Serbia<br><i>For its Regional Initiative for RECOM project.</i>   | 7          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |

| Recipient and Purpose  | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>ICLEI-Local Governments for Sustainability USA, Inc.</b><br>180 Canal Street<br>Suite 401<br>Boston, MA 02114<br><i>For general support.</i>  | 2          | \$325,000.00      | \$0.00           | \$325,000.00   | \$0.00       | \$0.00         |
| <b>ICLEI-Local Governments for Sustainability USA, Inc.</b><br>180 Canal Street<br>Suite 401<br>Boston, MA 02114<br><i>For the Local Government Climate Action Education Campaign.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>ICLEI-Local Governments for Sustainability USA, Inc.</b><br>180 Canal Street<br>Suite 401<br>Boston, MA 02114<br><i>To support its Local Government Climate Action Education Campaign.</i>  | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Ikamva Labantu</b><br>P.O. Box 165<br>Cape Town, 8000 South Africa<br><i>As a final contribution to strengthen its organizational capacity through the development of a comprehensive management information system.</i>  | 7          | \$14,500.00       | \$0.00           | \$0.00         | \$14,500.00  | \$0.00         |
| <b>Independent Sector</b><br>1602 L Street, NW<br>Suite 900<br>Washington, D.C. 20036<br><i>For its Advancing Good Governance and Ethical Practice Initiative.</i>   | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Independent Sector</b><br>1602 L Street, NW<br>Suite 900<br>Washington, D.C. 20036<br><i>For its Envisioning Our Future initiative.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Independent Sector</b><br>1602 L Street, NW<br>Suite 900<br>Washington, D.C. 20036<br><i>For general support for 2010.</i>  | 2          | \$0.00            | \$12,150.00      | \$0.00         | \$12,150.00  | \$0.00         |
| <b>Indiana University, Trustees of, The</b><br>107 South Indiana Avenue<br>Bloomington, IN 47405-7000<br><i>For its Center on Philanthropy to plan for a collaborative initiative with the Institute for Civil Society at Zhongshan University to develop a capacity-building program for Chinese nongovernmental organizations.</i> | 1          | \$0.00            | \$30,000.00      | \$0.00         | \$30,000.00  | \$0.00         |
| <b>Infact dba Corporate Accountability International</b><br>10 Milk Street<br>Suite 610<br>Boston, MA 02108<br><i>For its work building civil society capacity to use global governance tools to improve corporate practices.</i>  | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |



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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Infinite Family</b><br>P.O. Box 2027<br>New York, NY 10108<br><i>As a final contribution to general support.</i>   | 2          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Innovation Center for Energy and Transportation</b><br>c/o The William and Flora Hewlett Foundation<br>2121 Sand Hill Road<br>Menlo, California 94025<br><i>For the Climate Registry Project.</i>                                    | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Institute for Advanced Studies GAP</b><br>Mother Theresa Str.<br>42/29<br>Prishtina, 10000 Kosovo<br><i>For general support.</i>   | 7          | \$0.00            | \$180,000.00     | \$0.00         | \$60,000.00  | \$120,000.00   |
| <b>Institute for Democracy in South Africa</b><br>PO Box 56950<br>Arcadia, 0007 South Africa<br><i>For research and advocacy related to HIV/AIDS and democratic practice in Southern Africa.</i>  | 7          | \$70,000.00       | \$0.00           | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Institute for EastWest Studies, Inc.</b><br>11 East 26th Street, 20th Floor<br>New York, NY 10010<br><i>For its project, Engaging Iran in Effective Multilateral Approaches to Regional Security.</i>                                | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Institute for Governance and Sustainable Development, Inc.</b><br>2300 Wisconsin Avenue, NW<br>Suite 300B<br>Washington, D.C. 20007<br><i>For general support.</i>   | 2          | \$75,000.00       | \$0.00           | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Institute for Governance and Sustainable Development, Inc.</b><br>2300 Wisconsin Avenue, NW<br>Suite 300B<br>Washington, D.C. 20007<br><i>For additional support of its climate change policy work.</i>                              | 2          | \$0.00            | \$70,000.00      | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Institute for Policy Studies</b><br>1112 16th Street, NW<br>Suite 600<br>Washington, DC 20036<br><i>For communications capacity-building and salary support for a director of communications.</i>                                    | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Institute of Public and Environmental Affairs</b><br>601 Room, 3 Danyuan, 9 Haolou<br>Xin Fun Jian Yuan<br>Guang Qu Men Nei Street<br>Beijing China<br><i>To support its role in the Air Quality Information Disclosure project.</i> | 8          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Institute for Security Studies</b><br>P.O. Box 1787<br>Brooklyn Square<br>Pretoria, 0075 South Africa<br><i>For its work in Africa related to HIV/AIDS and peace and security issues.</i>   | 7          | \$60,000.00       | \$0.00           | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Institute for Stability and Development, o.p.s.</b><br><br>Benatska 5<br>Prague 2, 12800 Czech Republic<br><i>For its cross-border cooperation program.</i>   | 8          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>Institute for Sustainable Communities</b><br>535 Stone Cutters Way<br>Montpelier, VT 05602-3795<br><i>For its Guangdong Community-Based Energy Efficiency project.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>International Center for Transitional Justice, Inc.</b><br>5 Hanover Square, 24th Floor<br>New York, NY 10004<br><i>To provide technical assistance related to post-conflict fact-finding and truth-telling in the Western Balkans.</i>                         | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>International Centre for Democratic Transition</b><br><br>Arvacska u. 12<br>Budapest, 1022 Hungary<br><i>For the project Annus Mirabilis: Commemorating the 1989 Transitions in CEE.</i>  | 7          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>International Crisis Group</b><br>1629 K Street, NW<br>Room 450<br>Washington, D.C. 20006<br><i>For its Balkans project.</i>  | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$75,000.00  | \$75,000.00    |
| <b>International Forum on Globalization, Inc.</b><br>1009 General Kennedy Avenue, Suite 2<br>San Francisco, CA 94129<br><i>To support a second, follow-on strategy conference on the global economic governance aspects of international climate negotiations.</i> | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>International Forum on Globalization, Inc.</b><br>1009 General Kennedy Avenue, Suite 2<br>San Francisco, CA 94129<br><i>For transitional strategic planning.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>International Institute for Sustainable Development</b><br>161 Portage Avenue East<br>6th Floor<br>Winnipeg, MB R3B 0Y4 Canada<br><i>For continued support of its Investment for Sustainable Development program.</i>   | 7          | \$0.00            | \$120,000.00     | \$0.00         | \$120,000.00 | \$0.00         |
| <b>Internews Network</b><br>P.O. Box 4448<br>Arcata, CA 95521<br><i>For the Southern China Environmental Journalism Project.</i>   | 2          | \$85,000.00       | \$0.00           | \$0.00         | \$85,000.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Isandla Institute</b><br>P.O. Box 12263<br>Mill Street Gardens<br>Cape Town, 8010 South Africa<br><i>For research and advocacy related to HIV/AIDS and democratic practice in South Africa.</i>   | 7          | \$70,000.00       | \$0.00           | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Jamaica Center for Arts and Learning, Inc.</b><br>161-04 Jamaica Avenue<br>Jamaica, NY 11432<br><i>For its strategic plan.</i>  | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Jazz Gallery, The</b><br>290 Hudson Street<br>New York, NY 10013<br><i>For general operating support.</i>   | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Johns Hopkins University</b><br>600 North Wolfe Street<br>Blablock 1408<br>Baltimore, MD 21287-4961<br><i>For the International Reporting Project.</i>  | 1          | \$125,000.00      | \$0.00           | \$0.00         | \$41,354.00  | \$83,646.00    |
| <b>Johns Hopkins University</b><br>600 North Wolfe Street<br>Blablock 1408<br>Baltimore, MD 21287-4961<br><i>For two advocacy roundtables convened by the Listening Post Project of the University's Institute for Policy Studies.</i>                 | 1          | \$39,500.00       | \$0.00           | \$0.00         | \$39,500.00  | \$0.00         |
| <b>Joy in Action</b><br>1602 C4, No. 489<br>Jiaxin Garden, Xingangzhong Road<br>Haizhu District<br>Guangzhou, 510310 China<br><i>For general support.</i>  | 8          | \$0.00            | \$60,000.00      | \$0.00         | \$30,000.00  | \$30,000.00    |
| <b>Kosovar Gender Studies Center</b><br>Parku i Qytetit Nr. 28<br>Prishtina, 10000 Kosovo<br><i>For general support.</i>   | 7          | \$20,000.00       | \$0.00           | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Kosovo Democratic Institute</b><br>Rruga Rexhep Mala, Nr. 33<br>Prishtina, 10000 Kosovo<br><i>For its Democracy in Action election monitoring program in 2009.</i>  | 7          | \$0.00            | \$55,000.00      | \$0.00         | \$55,000.00  | \$0.00         |
| <b>Leadership Conference on Civil Rights Education Fund, Inc.</b><br>1629 K Street, NW<br>10th Floor<br>Washington, D.C. 20006<br><i>For its Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) education project.</i> | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>League of Conservation Voters Education Fund</b><br>1920 L Street, NW<br>Suite 800<br>Washington, D.C. 20036<br><i>For its work with unions in the building trades to educate and engage them on global warming issues.</i>                         | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |

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| <b>League of Conservation Voters Education Fund</b><br>1920 L Street, NW<br>Suite 800<br>Washington, D.C. 20036<br><i>For general support.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>League of Young Voters Education Fund</b><br>45 Main Street<br>Suite 628<br>Brooklyn, NY 11201<br><i>For support of its capacity-building project.</i>  | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$75,000.00  | \$75,000.00    |
| <b>Legal Resources Trust</b><br>P.O. Box 9495<br>Johannesburg, 2000 South Africa<br><i>As a final contribution for its Children's Rights Project of the Trust's Legal Resources Centre.</i>  | 7          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Ifetayo Cultural Arts Facility, Inc.</b><br>629A East 35th Street<br>Suite 2<br>Brooklyn, NY 11203<br><i>For salary support for a deputy director.</i>  | 2          | \$70,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$35,000.00    |
| <b>Lincoln Center for the Performing Arts, Inc.</b><br>70 Lincoln Center Plaza<br>New York, NY 10023-6583<br><i>For endowment for its Lincoln Center Festival.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$0.00       | \$250,000.00   |
| <b>Mani Tese</b><br>Piazza Gambara 7/9<br>Milan, 20146 Italy<br><i>For a conference of civil society organizations to coordinate strategies on financial regulation and standards for responsible international lending.</i>                             | 7          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>MAPLight</b><br>2223 Shattuck Avenue<br>Berkeley, CA 94704<br><i>For general support.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Martha Graham Center of Contemporary Dance, Inc.</b><br>316 East 63rd Street<br>New York, NY 10021<br><i>For general operating support.</i>   | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$25,000.00    |
| <b>Massachusetts Institute of Technology</b><br>Office of Sponsored Programs<br>77 Massachusetts Avenue, E19-750<br>Cambridge, MA 02139<br><i>For its project, Enrichment on National Territories: Options for Improving Nonproliferation Assurance.</i> | 1          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Mayi Filipino Theatre Ensemble, Inc.</b><br>520 Eighth Avenue<br>Suite 309<br>New York, NY 10018<br><i>For endowment.</i>   | 2          | \$165,000.00      | \$0.00           | \$0.00         | \$85,000.00  | \$80,000.00    |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Mayor's Fund to Advance New York City, The</b>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <p>One Centre Street<br/>23rd Floor<br/>New York, NY 10007<br/><i>For the Department of Housing Preservation and Development to hire a green consultant.</i></p>                       |            |                   |                  |                |              |                |
| <b>Meadan, Inc.</b>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <p>P.O. Box 97<br/>Woodacre, CA 94973<br/><i>For general support.</i></p>  |            |                   |                  |                |              |                |
| <b>Media in Education Trust Africa</b>   | 7          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <p>PO Box 37590<br/>Overport, 4067 South Africa<br/><i>A final contribution to help disseminate its work related to the care and support of vulnerable children across Africa.</i></p> |            |                   |                  |                |              |                |
| <b>Media Monitoring Project Trust</b>  | 7          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <p>P.O. Box 1560<br/>Parklands 2121 South Africa<br/><i>As a final contribution for its Empowering Children and the Media project.</i></p>   |            |                   |                  |                |              |                |
| <b>Meet the Composer, Inc.</b>   | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$125,000.00 | \$125,000.00   |
| <p>90 John Street<br/>Suite 312<br/>New York, NY 10038<br/><i>For endowment.</i></p>   |            |                   |                  |                |              |                |
| <b>Metropolitan Waterfront Alliance, Inc.</b>  | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$100,000.00 | \$100,000.00   |
| <p>457 Madison Avenue<br/>New York, NY 10022<br/><i>For general support.</i></p>   |            |                   |                  |                |              |                |
| <b>Mexican American Symphony Orchestra, Inc.</b>   | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$50,000.00  | \$100,000.00   |
| <p>520 Eighth Avenue, Suite 330<br/>New York, NY 10018<br/><i>For capacity building.</i></p>   |            |                   |                  |                |              |                |
| <b>Morphoses Limited The Wheeldon Company</b>  | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$25,000.00    |
| <p>800 Fifth Avenue<br/>Suite 18F<br/>New York, NY 10021<br/><i>For a fundraising consultant.</i></p>  |            |                   |                  |                |              |                |
| <b>Movement Strategy Center</b>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <p>1611 Telegraph Avenue<br/>Suite 510<br/>Oakland, CA 94612<br/><i>For its support of youth groups and alliances.</i></p>   |            |                   |                  |                |              |                |
| <b>Moving Theater</b>  | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <p>c/o Park Avenue Armory<br/>643 Park Avenue<br/>New York, NY 10065<br/><i>For its new artist residency program at the Park Avenue Armory.</i></p>                                    |            |                   |                  |                |              |                |

| Recipient and Purpose  | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Muller/Works Foundation</b><br>131 West 24th Street, 4th Floor<br>New York, NY 10011<br><i>For capacity building.</i>   | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Nation Institute</b><br>116 East 16th Street<br>8th Floor<br>New York, NY 10003<br><i>To its Investigative Fund for completion of a book on the emerging geography of conflict caused by the impacts of climate change.</i>                       | 2          | \$0.00            | \$30,000.00      | \$0.00         | \$30,000.00  | \$0.00         |
| <b>Nation Institute</b><br>116 East 16th Street<br>8th Floor<br>New York, NY 10003<br><i>For its project, WireTap.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>National Center on Philanthropy and the Law, Inc.</b><br>New York University School of Law<br>110 West 3rd Street, 2nd Floor<br>New York, NY 10012-1074<br><i>For final support of the Rockefeller Brothers Fund Fellowship in Nonprofit Law.</i> | 2          | \$0.00            | \$27,000.00      | \$0.00         | \$27,000.00  | \$0.00         |
| <b>National Council of Nonprofit Associations</b><br>1101 Vermont Avenue, NW<br>Suite 1002<br>Washington, D.C. 20005<br><i>For general support.</i>  | 2          | \$0.00            | \$160,000.00     | \$0.00         | \$80,000.00  | \$80,000.00    |
| <b>National Institute on Money in State Politics</b><br>833 N. Last Chance Gulch<br>2nd Floor<br>Helena, MT 59601<br><i>For general support.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>National Iranian American Council</b><br>c/o 1411 K Street, NW<br>Suite 600<br>Washington, DC 20005<br><i>For the U.S.-Iran Policy Program.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>National League of Cities Institute, Inc.</b><br>1301 Pennsylvania Avenue, NW<br>Washington, DC 20004-1763<br><i>For the Institute's Promoting Democratic Governance in Cities project.</i>   | 2          | \$200,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$100,000.00   |
| <b>National Parks of New York Harbor Conservancy</b><br>Federal Hall National Memorial<br>26 Wall Street, 3rd Floor<br>New York, NY 10005<br><i>For its next phase of activities to develop New York Harbor.</i>                                     | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>National Priorities Project, Inc.</b><br>243 King Street<br>Suite 109<br>Northampton, MA 01060<br><i>For the NPP Data 2.0 Project.</i>  | 2          | \$0.00            | \$195,000.00     | \$0.00         | \$135,000.00 | \$60,000.00    |

| Recipient and Purpose   | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>National Senior Conservation Corps, Inc.</b><br>200 Leeder Hill Drive, 600-B<br>Hamden, CT 06517<br><i>For general support.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>National Trust for Historic Preservation in the United States</b><br>1785 Massachusetts Avenue, NW<br>Washington, D.C. 20036<br><i>For its Sustainability Program: Federal Policy Agenda.</i>  | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>National Wildlife Federation</b><br>11100 Wildlife Center Drive<br>Reston, VA 20190-5362<br><i>For its project Securing Strong Global Warming Policy.</i>  | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$150,000.00 | \$0.00         |
| <b>Natural Capitalism Solutions, Inc.</b><br>11823 N. 75th Street<br>Longmont, CO 80503<br><i>For the Futurama 2050 project.</i>  | 2          | \$0.00            | \$52,000.00      | \$0.00         | \$52,000.00  | \$0.00         |
| <b>Natural Resources Defense Council, Inc.</b><br>40 West 20th Street<br>New York, NY 10011<br><i>For its project, Expanding the Network: Building a Multi-Disciplinary Consortium of Experts to Address Lead Pollution in China.</i>                                       | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Natural Resources Defense Council, Inc.</b><br>40 West 20th Street<br>New York, NY 10011<br><i>For the Moving Cooler project.</i>  | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Network for the Affirmation of NGO Sector-MANS, The</b><br>Stari Aerodom, Zgrada<br>"Celebic"<br>11/9<br>Podgorica Serbia and Montenegro<br><i>For its project to fight corruption and support citizen participation in the decision making processes in Montenegro.</i> | 7          | \$35,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$0.00         |
| <b>University System of New Hampshire</b><br>Office of Sponsored Research<br>51 College Road, Service Building<br>Durham, NH 03824<br><i>To its Carsey Institute for the public engagement project to consider the expansion of gaming as a source of public revenue.</i>   | 1          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>New Horizon</b><br>Igmanske zgrade 2<br>Ulcinj, 85360 Montenegro<br><i>For general support.</i>  | 7          | \$35,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$0.00         |
| <b>New Museum of Contemporary Art</b><br>235 Bowery<br>New York, NY 10002<br><i>For endowment for its education and community programs.</i>   | 2          | \$80,000.00       | \$0.00           | \$0.00         | \$80,000.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>New Partners for Community Revitalization, Inc.</b><br>11 Penn Plaza<br>5th Floor<br>New York, NY 10001<br><i>For its New York City brownfield redevelopment program.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>New Rules for Global Finance Coalition</b><br>1717 Massachusetts Avenue, NW<br>Suite 801<br>Washington, D.C. 20036<br><i>For its nongovernmental media and outreach work around the United Nations Conference on the World Financial and Economic Crisis and its Impact on Development.</i> | 2          | \$0.00            | \$10,000.00      | \$0.00         | \$10,000.00  | \$0.00         |
| <b>New School, The</b><br>66 West 12th Street<br>New York, NY 10011<br><i>For its conference, Limiting Knowledge in a Democracy.</i>   | 1          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>New Voice of Business</b><br>82 Levant Street<br>San Francisco, CA 94114<br><i>To support efforts to engage its network on climate change.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>New York City Opera, Inc.</b><br>David H. Koch Theater<br>20 Lincoln Center<br>New York, NY 10023<br><i>For supporting the creation of original choreography by Jennifer Muller for revival of Hugo Weisgall's opera Esther.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>New York Community Trust, The</b><br>909 Third Avenue<br>22nd Floor<br>New York, NY 10022<br><i>For its Donors Education Collaborative.</i>   | 2          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>New York Community Trust, The</b><br>909 Third Avenue<br>22nd Floor<br>New York, NY 10022<br><i>For the capacity-building initiative of its Fund for New Citizens project.</i>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>New York Foundation for the Arts, Inc.</b><br>20 Jay Street<br>Suite 740<br>Brooklyn, NY 11201<br><i>For programming and administrative expenses.</i>   | 2          | \$125,000.00      | \$0.00           | \$0.00         | \$125,000.00 | \$0.00         |
| <b>New York Foundation for the Arts, Inc.</b><br>20 Jay Street<br>Suite 740<br>Brooklyn, NY 11201<br><i>For the creation of Black and White Project Space in Williamsburg, Brooklyn.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |



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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>New York Immigration Coalition, Inc., The</b><br>137-139 West 25th Street<br>12th Floor<br>New York, NY 10001-7277<br><i>For its Equity Monitoring Project for Immigrant and Refugee Education.</i>   | 2          | \$75,000.00       | \$0.00           | \$0.00         | \$75,000.00  | \$0.00         |
| <b>New York Public Library, Astor, Lenox and Tilden Foundations, The</b><br>Fifth Avenue and 42nd Street<br>New York, NY 10018<br><i>For the endowment at the Jerome Robbins Dance Division of the New York Public Library for the Performing Arts, Dorothy and Lewis B. Cullman Center.</i> | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$0.00       | \$250,000.00   |
| <b>Philanthropy New York, Inc.</b><br>79 Fifth Avenue<br>Fourth Floor<br>New York, NY 10003<br><i>For its Diversity in Philanthropy project.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Philanthropy New York, Inc.</b><br>79 Fifth Avenue<br>Fourth Floor<br>New York, NY 10003<br><i>For general support for 2010.</i>  | 2          | \$0.00            | \$18,800.00      | \$0.00         | \$18,800.00  | \$0.00         |
| <b>New York University</b><br>25 West Fourth Street<br>New York, NY 10012<br><i>For the Hemispheric Institute of Performance and Politics' Hemispheric New York project.</i>   | 1          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>New York University</b><br>25 West Fourth Street<br>New York, NY 10012<br><i>For its project, Dialogues: Islamic World-U.S.-The West.</i>   | 1          | \$0.00            | \$80,000.00      | \$0.00         | \$80,000.00  | \$0.00         |
| <b>Nonprofit Coordinating Committee of New York, Inc.</b><br>1350 Broadway<br>Suite 1801<br>New York, NY 10018<br><i>For general support for 2010.</i>   | 2          | \$0.00            | \$1,500.00       | \$0.00         | \$1,500.00   | \$0.00         |
| <b>North Star Fund</b><br>520 Eighth Avenue<br>22nd Floor<br>New York, NY 10018<br><i>For its grants program to immigrant-led community-based organizations.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Northwest Bronx Community and Clergy Coalition</b><br>103 East 196th Street<br>Bronx, NY 10468-3637<br><i>For general operating support.</i>  | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Oceana, Inc.</b><br>1350 Connecticut Avenue, NW<br>5th Floor<br>Washington, D.C. 20036<br><i>For general support.</i>   | 2          | \$200,000.00      | \$0.00           | \$0.00         | \$200,000.00 | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Oceana, Inc.</b><br>1350 Connecticut Avenue, NW<br>5th Floor<br>Washington, D.C. 20036<br><i>To support its Climate and Energy Campaign.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Oil Change International, Inc.</b><br>4004 32nd Street<br>Mount Ranier, MD 20712<br><i>For general support.</i>  | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$75,000.00  | \$75,000.00    |
| <b>Ottawa, University of</b><br>55 Laurier E. (11101)<br>Ottawa, ON K1N 6N5 Canada<br><i>For the Canada-Iran dialogue process.</i>  | 6          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Pacific Institute for Studies in Development, Environment, and Security</b><br>654 13th Street<br>Suite 104<br>Oakland, CA 94612<br><i>For its work on international standard-setting.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Page Seventy-Three Productions, Inc.</b><br>138 South Oxford Street<br>Suite 5C<br>Brooklyn, NY 11217<br><i>For salary support.</i>  | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Partners for Livable Communities, Inc.</b><br>1429 21st Street, NW<br>Washington, D.C. 20036<br><i>For its Economics of Sustainability initiative.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Partnership for a Secure America, Inc.</b><br>2000 P Street, NW<br>Suite 505<br>Washington, D.C. 20036<br><i>For its 2010 Congressional Fellows program.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Partnership for Cures</b><br>70 West Madison Street<br>Suite 1500<br>Chicago, IL 60602<br><i>Long-term transition support for the Charles E. Culpeper Scholarships in Medical Science and the Charles E. Culpeper Biomedical Pilot Initiative.</i> | 2          | \$324,000.00      | \$0.00           | \$0.00         | \$324,000.00 | \$0.00         |
| <b>Partnership for Public Service, Inc.</b><br>1100 New York Avenue, NW<br>Suite 1090E<br>Washington, D.C. 20005<br><i>Toward the costs of its Achieving Public Good: Making Government and Philanthropy Effective Partners conference.</i>           | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Pascal Rioult Dance Theatre, Inc.</b><br>246 West 38th Street<br>4th Floor<br>New York, NY 10018<br><i>For capacity building.</i>  | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Pesticide Eco-Alternatives Center Yunnan Thoughtful Action</b><br>Apt. 1212, 1214, 1216, 12/F<br>Block 14<br>Yunnan Yingxiang Quarter<br>Chuanjin Road<br>Kunming, Yunnan 650224 P.R. of China<br><i>For its project, Building a Network to Promote Pesticide Reduction in China</i>          | 7          | \$140,000.00      | \$0.00           | \$0.00         | \$70,000.00  | \$70,000.00    |
| <b>Philanthropy for Active Civic Engagement</b><br>444 Sherman Street<br>Suite 200<br>Denver, CO 80203<br><i>For 2009 membership and general support.</i>  | 2          | \$0.00            | \$34,500.00      | \$0.00         | \$34,500.00  | \$0.00         |
| <b>Ploughshares Fund</b><br>Fort Mason Center B-330<br>San Francisco, CA 94123<br><i>For its Peace and Security Funders Group.</i>   | 2          | \$0.00            | \$12,000.00      | \$0.00         | \$12,000.00  | \$0.00         |
| <b>Poets House, Inc.</b><br>594 Broadway, Suite 510<br>New York, NY 10012<br><i>For capacity building.</i>   | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$50,000.00  | \$100,000.00   |
| <b>Polaris Institute USA</b><br>2235 Lakeshore Road<br>P.O. Box 106<br>Essex, NY 12936<br><i>For initiatives of its project, the Our World is Not For Sale network, to build the capacity of civil society organizations to engage with World Trade Organization institutions and processes.</i> | 2          | \$0.00            | \$80,000.00      | \$0.00         | \$80,000.00  | \$0.00         |
| <b>Political Security Domain, The - Center for Peace and Security in the Middle East</b><br>Ussishkin 117<br>Ramat HaSharon, 47204 Israel<br><i>For bitterlemons-international.org.</i>  | 7          | \$0.00            | \$40,000.00      | \$0.00         | \$40,000.00  | \$0.00         |
| <b>Pratt Institute</b><br>200 Willoughby Avenue<br>Brooklyn, NY 11205<br><i>For its Center for Sustainable Design Studies.</i>   | 1          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>Premiere Commission, Inc.</b><br>222 West 23rd Street, Suite 102<br>New York, NY 10011<br><i>For its commissioning programs.</i>  | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>President and Directors Georgetown College (Georgetown University), The</b><br>600 New Jersey Avenue, NW<br>Washington, D.C. 20001-2022<br><i>For its State-Federal Climate Resource Center.</i>  | 1          | \$500,000.00      | \$0.00           | \$0.00         | \$500,000.00 | \$0.00         |
| <b>President and Directors Georgetown College (Georgetown University), The</b><br>600 New Jersey Avenue, NW<br>Washington, D.C. 20001-2022<br><i>For travel costs for a group of state leaders to attend climate meetings in Copenhagen.</i>   | 1          | \$0.00            | \$30,000.00      | \$0.00         | \$30,000.00  | \$0.00         |

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| <b>Harvard College, President and Fellows of</b><br>Cambridge, MA 02138<br><i>To the Hauser Center of the John F. Kennedy School of Government for a project on media ownership.</i>   | 1          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Harvard College, President and Fellows of</b><br>Cambridge, MA 02138<br><i>For continued support of its Graduate School of Education's project, Trust and Trustworthiness in a Democratic Society.</i>  | 1          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Project for Public Spaces, Inc.</b><br>700 Broadway, 4th Floor<br>New York, NY 10003<br><i>For its project, Community Development through Public Space Improvements: Bringing Placemaking to Kosovo.</i>  | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Project on Ethnic Relations, Inc.</b><br>15 Chambers Street<br>Princeton, NJ 08542-3707<br><i>For its work in the Western Balkans.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Project on Middle East Democracy, Inc., The</b><br>1820 Jefferson Place, NW<br>3rd Floor<br>Washington, D.C. 20036<br><i>For its Dialogue program.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Prometheus Institute for Sustainable Development, The</b><br>1420 North Lake Shore Drive, Suite 9A<br>Chicago, IL 60610<br><i>For its project, the Global Observatory.</i>  | 4          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Protestant Episcopal Cathedral Foundation of the District of Columbia</b><br>c/o Washington National Cathedral<br>Massachusetts and Wisconsin Avenues, NW<br>Washington, D.C. 20016<br><i>For the Christian-Muslim Summit at the Washington National Cathedral.</i> | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Proteus Fund, Inc.</b><br>101 University Drive<br>Suite A2<br>Amherst, MA 01002<br><i>For its project, the Piper Fund.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Proteus Development Resources</b><br>5 Rose Way<br>Constantia, 7806 South Africa<br><i>To provide organizational development support to grantees of the Fund in the Western and Eastern Cape provinces.</i>   | 8          | \$60,000.00       | \$0.00           | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Public Campaign</b><br>1133 19th Street, NW<br>Suite 900<br>Washington, DC 20036<br><i>For general support.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Public Citizen Foundation, Inc.</b><br>1600 20th Street, NW<br>Washington, D.C. 20009<br><i>For its Global Trade Watch program.</i>  | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Public Interest Law Institute</b><br>333 Seventh Avenue<br>14th Floor<br>New York, NY 10001<br><i>For its civil society and public interest advocacy programs in Serbia.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>Public Interest Projects, Inc.</b><br>45 West 36th Street, 6th Floor<br>New York, NY 10018<br><i>For its project, Science First.</i>   | 2          | \$175,000.00      | \$0.00           | \$0.00         | \$175,000.00 | \$0.00         |
| <b>Public Interest Projects, Inc.</b><br>45 West 36th Street, 6th Floor<br>New York, NY 10018<br><i>For its Climate Communications Policy Initiative.</i>   | 2          | \$0.00            | \$350,000.00     | \$0.00         | \$0.00       | \$350,000.00   |
| <b>Public Interest Projects, Inc.</b><br>45 West 36th Street, 6th Floor<br>New York, NY 10018<br><i>For membership in its project, the Funders' Committee on Civic Participation.</i>                                   | 2          | \$0.00            | \$4,750.00       | \$0.00         | \$4,750.00   | \$0.00         |
| <b>Public Policy and Education Fund of New York Inc.</b><br>94 Central Avenue<br>Albany, NY 12206<br><i>For its Clean Money, Clean Elections campaign finance reform project.</i>                                       | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>LatinoJustice PRLDEF</b><br>99 Hudson Street, 14th Floor<br>New York, NY 10013-2815<br><i>For its Youth Civic Engagement Network.</i>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Quebec-Labrador Foundation, Inc.</b><br>55 South Main Street<br>Ipswich, MA 01938<br><i>For its Central and Southeastern European Stewardship Program.</i>   | 2          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |
| <b>Queens Museum of Art</b><br>New York City Building<br>Flushing Meadows Corona Park<br>Queens, NY 11368<br><i>For endowment.</i>  | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$75,000.00  | \$175,000.00   |
| <b>Ramon Magsaysay Award Foundation</b><br>1680 Roxas Boulevard<br>Manila, 1004 Philippines<br><i>For the stipends for the 2009 Ramon Magsaysay Awards.</i>   | 8          | \$0.00            | \$150,000.00     | \$0.00         | \$150,000.00 | \$0.00         |
| <b>Ramon Magsaysay Award Foundation</b><br>1680 Roxas Boulevard<br>Manila, 1004 Philippines<br><i>To support the documentation and dissemination of information about the recipients of the Ramon Magsaysay Awards.</i> | 8          | \$0.00            | \$60,000.00      | \$0.00         | \$57,996.00  | \$2,004.00     |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Regional Plan Association, Inc.</b><br>4 Irving Place<br>7th Floor<br>New York, NY 10003<br><i>For general support.</i>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Regional Environmental Center for Central and Eastern Europe</b><br>Ady Endre ut 9-11<br>Szentendre, 2000 Hungary<br><i>For its Green Pack Teacher Training Program in Serbia.</i>   | 6          | \$0.00            | \$56,210.00      | \$0.00         | \$56,210.00  | \$0.00         |
| <b>Renmin University of China</b><br>No 59, Zhongguancun Street<br>Haidian District<br>Beijing, 100872 China<br><i>To support its role in the Air Quality Information Disclosure project.</i>                                   | 6          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Resource Media A Nonprofit Corporation</b><br>325 Pacific Avenue, 3rd Floor<br>San Francisco, CA 94111<br><i>For its Climate Science Initiative.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Right Question Project, Inc.</b><br>2464 Massachusetts Avenue<br>Suite 314<br>Cambridge, MA 02140<br><i>For general support and for the development of a strategic communications plan.</i>                                  | 2          | \$0.00            | \$95,000.00      | \$0.00         | \$95,000.00  | \$0.00         |
| <b>Rockefeller Family Fund, Inc.</b><br>475 Riverside Drive<br>Suite 900<br>New York, NY 10115<br><i>For its program fund for voter registration modernization.</i>   | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$150,000.00 | \$0.00         |
| <b>Rockefeller Family Fund, Inc.</b><br>475 Riverside Drive<br>Suite 900<br>New York, NY 10115<br><i>For its cap and dividend project.</i>  | 2          | \$0.00            | \$200,000.00     | \$200,000.00   | \$0.00       | \$0.00         |
| <b>Rockefeller Family Fund, Inc.</b><br>475 Riverside Drive<br>Suite 900<br>New York, NY 10115<br><i>For its project to educate media about the value of the Clean Air Act as a tool to control carbon emissions.</i>           | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Rockefeller Philanthropy Advisors</b><br>6 West 48th Street<br>10th Floor<br>New York, NY 10036<br><i>For the Carbon Disclosure Project's work in Asia - ASrIA (Association of Socially Responsible Investment in Asia).</i> | 2          | \$0.00            | \$21,500.00      | \$0.00         | \$21,500.00  | \$0.00         |
| <b>Rockefeller Philanthropy Advisors</b><br>6 West 48th Street<br>10th Floor<br>New York, NY 10036<br><i>For its Sustainable Endowments Institute project.</i>  | 2          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |

| Recipient and Purpose  | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Royal Institute of International Affairs</b><br>c/o Chatham House<br>10 St. James Square<br>London, SW1Y 4LE United Kingdom<br><i>For its project Iran and the Iranian Question.</i>                  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Save the Children Fund, The</b><br>P.O. Box 14038<br>Hatfield<br>Pretoria, 0028 South Africa<br><i>For its Caring Schools Network</i>   | 7          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>School of American Ballet, The</b><br>70 Lincoln Center Plaza<br>New York, NY 10023<br><i>For the development of a strategic plan.</i>  | 1          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>School of Unity and Liberation</b><br>287 17th Street, Suite 225<br>Oakland, CA 94612<br><i>For general support.</i>  | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Search for Common Ground</b><br>1601 Connecticut Avenue, NW<br>Suite 200<br>Washington, DC 20009-1035<br><i>For its US-Iran program.</i>  | 2          | \$75,000.00       | \$0.00           | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Search for Common Ground</b><br>1601 Connecticut Avenue, NW<br>Suite 200<br>Washington, DC 20009-1035<br><i>For The Bridge reality television show.</i>   | 2          | \$100,000.00      | \$0.00           | \$0.00         | \$25,000.00  | \$75,000.00    |
| <b>Search for Common Ground</b><br>1601 Connecticut Avenue, NW<br>Suite 200<br>Washington, DC 20009-1035<br><i>For the Syria Dialogue Project.</i>   | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Seventh Generation Advisors</b><br>3110 Main Street, Suite 220<br>Santa Monica, CA 90405<br><i>For general support.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Seventh Generation Advisors</b><br>3110 Main Street, Suite 220<br>Santa Monica, CA 90405<br><i>For its U.S.-China state-to-province initiative.</i>   | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>Seventh Generation Advisors</b><br>3110 Main Street, Suite 220<br>Santa Monica, CA 90405<br><i>For general support.</i>   | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$0.00       | \$200,000.00   |
| <b>Shan Shui Conservation Center</b><br>Conservation Biology Building, College of Life Sciences<br>Peking University<br>Beijing China<br><i>For its project, Chinese Business Leaders in Copenhagen.</i> | 7          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Shen Wei Dance Arts, Inc.</b><br>185 Franklin Street, 3rd Floor<br>New York, NY 10013<br><i>For capacity-building initiatives.</i>   | 2          | \$70,000.00       | \$0.00           | \$0.00         | \$35,000.00  | \$35,000.00    |
| <b>Sierra Club Foundation, The</b><br>85 Second Street<br>Suite 750<br>San Francisco, CA 94105<br><i>To convene a gathering of global labor leaders to connect them with their U.S. counterparts and engage in a dialogue about issues related to a global climate agreement at the U.N. Climate Change Conference in Copenhagen.</i> | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Sierra Club Foundation, The</b><br>85 Second Street<br>Suite 750<br>San Francisco, CA 94105<br><i>To support its Campaign for Climate Solutions through EPA Rulemaking.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Smart Kolektiv</b><br>Alekse Nenadovica 34<br>Belgrade, 11000 Serbia<br><i>For its public awareness project, Sustainable Development Strategy-Informative Educational Campaign in Serbia.</i>  | 9          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>SmartPower Connecticut, Inc.</b><br>P.O. Box 1375<br>Glastonbury, CT 06033<br><i>For general support.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>SmartPower Connecticut, Inc.</b><br>P.O. Box 1375<br>Glastonbury, CT 06033<br><i>For general support.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$84,500.00  | \$15,500.00    |
| <b>Social Science Research Council</b><br>810 Seventh Avenue<br>New York, NY 10019<br><i>To support its China Environment and Health Initiative.</i>  | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$250,000.00 | \$0.00         |
| <b>Society for the Preservation of Weeksville and Bedford Stuyvesant History, The</b><br>P.O. Box 130120<br>St. John's Station<br>Brooklyn, NY 11213<br><i>For endowment.</i>   | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$75,000.00  | \$175,000.00   |
| <b>Soul City</b><br>P.O. Box 1290<br>Houghton, 2041 South Africa<br><i>To evaluate the impact on vulnerable children of its Schools as Nodes of Care and Support Program.</i>   | 7          | \$140,000.00      | \$0.00           | \$0.00         | \$140,000.00 | \$0.00         |



| Recipient and Purpose  | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>South Centre</b><br>Ch. du Champ d'Anier 17<br>P.O. Box 228<br>Geneva 19, 1211 Switzerland<br><i>To support its project to assist developing countries in negotiation on issues relating to global economic governance and World Trade organization institutional reform.</i> | 7          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>South Centre</b><br>Ch. du Champ d'Anier 17<br>P.O. Box 228<br>Geneva 19, 1211 Switzerland<br><i>For the Program on Finance and Development.</i>  | 7          | \$0.00            | \$250,000.00     | \$0.00         | \$125,000.00 | \$125,000.00   |
| <b>South China Normal University</b><br>Guangzhou, 510631 China<br><i>For its community-based Sustainable Development Education Project.</i>   | 6          | \$75,000.00       | \$0.00           | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Southern Governors Association</b><br>444 North Capitol Street, NW<br>Suite 200<br>Washington, D.C. 20001<br><i>For a regional assessment of potential costs and benefits of its state-level climate change policies.</i>   | 1          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Spanish Theatre Repertory Company, Ltd.</b><br>138 East 27th Street<br>New York, NY 10016<br><i>For its residency program for Young American Directors.</i>   | 2          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Sponsors for Educational Opportunity, Inc.</b><br>55 Exchange Place<br>New York, NY 10005<br><i>For its Career Program in Philanthropy.</i>   | 2          | \$0.00            | \$10,000.00      | \$0.00         | \$10,000.00  | \$0.00         |
| <b>St. Ann's Warehouse, Inc.</b><br>45 Main Street<br>Suite 315<br>Brooklyn, NY 11201<br><i>For its commissions of new work.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>State of St. Louis Foundation</b><br>One Metropolitan Square<br>Suite 1300<br>St. Louis, MO 63102<br><i>For its Climate Prosperity Project.</i>   | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>State of St. Louis Foundation</b><br>One Metropolitan Square<br>Suite 1300<br>St. Louis, MO 63102<br><i>For its Climate Prosperity Project.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$0.00       | \$250,000.00   |
| <b>Stephen Petronio Dance Company</b><br>140 Second Avenue<br>Suite 504<br>New York, NY 10003<br><i>For capacity building.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$25,000.00  | \$25,000.00    |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Henry L. Stimson Center, The</b><br>1111 19th Street, NW, 12th Floor<br>Washington, D.C. 20036<br><i>For its Security for a New Century project.</i>                                       | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Stockholm Environment Institute US, Inc.</b><br>11 Curtis Avenue<br>Somerville, MA 02144<br><i>For technical and analytic support to equitable climate policy advocates.</i>               | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Sustainability Institute, Inc.</b><br>3 Linden Road<br>Hartland Four Corner, VT 05049<br><i>For the C-ROADS Climate Simulation Project.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Sustainable Markets Foundation</b><br>80 Broad Street<br>Suite 1600<br>New York, NY 10004-2248<br><i>For its climate accountability project.</i>   | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$200,000.00 | \$0.00         |
| <b>Sustainable Markets Foundation</b><br>80 Broad Street<br>Suite 1600<br>New York, NY 10004-2248<br><i>For its Project 350.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Sustainable Markets Foundation</b><br>80 Broad Street<br>Suite 1600<br>New York, NY 10004-2248<br><i>For its project 350.org.</i>  | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Tebtebba Foundation, Inc.</b><br>1 Roman Ayson Road<br>P.O. Box 1993<br>Bagulo City, 2600 Philippines<br><i>For its education and outreach on international climate policy processes.</i>  | 7          | \$0.00            | \$150,000.00     | \$0.00         | \$75,000.00  | \$75,000.00    |
| <b>TechSoup Global</b><br>435 Brannan Street, Suite 100<br>San Francisco, CA 94107-1780<br><i>For the Phase I Development of the NGO Repository of Equivalency Determination Information.</i> | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Tellus Institute</b><br>11 Arlington Street<br>Boston, MA 02116-3411<br><i>To its project, Corporation 20/20, for support of the Second Summit on the Future of the Corporation.</i>       | 2          | \$0.00            | \$10,000.00      | \$0.00         | \$10,000.00  | \$0.00         |
| <b>Terror Free Tomorrow</b><br>5335 Wisconsin Ave., N.W.<br>Suite 440<br>Washington, District of Columbia 20015<br><i>For its Iran Public Opinion Poll.</i>                                   | 2          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Third Wave Foundation</b><br>25 East 21st Street<br>New York, NY 10010<br><i>For its Thriving Leaders and Communities project.</i>   | 2          | \$0.00            | \$120,000.00     | \$0.00         | \$120,000.00 | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Third World Network Berhad</b><br>131 Jalan Macalister Road<br>Penang, 10400 Malaysia<br><i>For general support.</i>   | 7          | \$100,000.00      | \$0.00           | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Third World Network Berhad</b><br>131 Jalan Macalister Road<br>Penang, 10400 Malaysia<br><i>To build capacity on climate policy with developing-country governments and civil society organizations.</i>   | 7          | \$0.00            | \$200,000.00     | \$0.00         | \$100,000.00 | \$100,000.00   |
| <b>Third World Network Berhad</b><br>131 Jalan Macalister Road<br>Penang, 10400 Malaysia<br><i>To support a nongovernmental organization climate equity strategy meeting.</i>   | 7          | \$0.00            | \$48,000.00      | \$0.00         | \$48,000.00  | \$0.00         |
| <b>Third World Network Berhad</b><br>131 Jalan Macalister Road<br>Penang, 10400 Malaysia<br><i>To support educational events at the 2009 United Nations Framework Convention on Climate Change 15th Conference of the Parties (COP) in Copenhagen in December 2009.</i> | 7          | \$0.00            | \$13,000.00      | \$0.00         | \$13,000.00  | \$0.00         |
| <b>Thomas Jefferson Institute for the Study of World Politics</b><br>310 9th Street, NE<br>Washington, D.C. 20002<br><i>For its Information Empowerment: The Power of Analysis in the Civic Movement for Alternative Energy program.</i>                                | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Tides Canada Initiatives Society</b><br>400-163 West Hastings Street<br>Vancouver, BC V6B 1H5 Canada<br><i>For its project, the DeSmog Blog.</i>   | 7          | \$0.00            | \$20,000.00      | \$0.00         | \$20,000.00  | \$0.00         |
| <b>Tides Center</b><br>P.O. Box 29907<br>San Francisco, CA 94129-0907<br><i>For its project, the Generational Alliance.</i>   | 2          | \$0.00            | \$200,000.00     | \$0.00         | \$100,000.00 | \$100,000.00   |
| <b>Tides Center</b><br>P.O. Box 29907<br>San Francisco, CA 94129-0907<br><i>For its project, The Story of Stuff, for the production and distribution of their short film, The Story of Carbon Trading.</i>  | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>Tides Center</b><br>P.O. Box 29907<br>San Francisco, CA 94129-0907<br><i>For its project, the Foreign Policy Roundtable.</i>   | 2          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |
| <b>Tides Foundation</b><br>Presidio Main Post, Building No. 37<br>P.O. Box 29903<br>San Francisco, CA 94129-0903<br><i>For its project, the Connect US Funders Collaborative.</i>   | 2          | \$250,000.00      | \$0.00           | \$0.00         | \$250,000.00 | \$0.00         |

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|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>Tides Foundation</b><br>Presidio Main Post, Building No. 37<br>P.O. Box 29903<br>San Francisco, CA 94129-0903<br><i>For its Connect U.S. Fund.</i>  | 2          | \$0.00            | \$500,000.00     | \$0.00         | \$500,000.00 | \$0.00         |
| <b>Times Square District Management Association</b><br>1560 Broadway<br>Suite 800<br>New York, NY 10036<br><i>For its public art program.</i>  | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Tomorrow Trust</b><br>15 Alice Lane, 4th Floor West<br>iBurst Building<br>Sandton<br>Johannesburg South Africa<br><i>For general support.</i>   | 7          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |
| <b>Training and Resources in Early Education</b><br>P.O. Box 35173<br>Northway, 4065 South Africa<br><i>As a final contribution for general support.</i>   | 7          | \$0.00            | \$70,000.00      | \$0.00         | \$70,000.00  | \$0.00         |
| <b>Truman National Security Project Educational Institute</b><br>1420 K Street, NW<br>Suite 250<br>Washington, D.C. 20005<br><i>For its work on climate change.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>Trust for Public Land, The</b><br>Mid-Atlantic Region<br>666 Broadway, Ninth Floor<br>New York, NY 10012<br><i>For its Parks for People project.</i>  | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Trustees of Tufts College</b><br>108 Bromfield<br>Medford, MA 02155<br><i>For its Global Development and Environment Institute for further development of its research and communications program on globalization and sustainable development.</i> | 1          | \$0.00            | \$200,000.00     | \$0.00         | \$117,800.00 | \$82,200.00    |
| <b>US Working Group Inc.</b><br>dba Forest Stewardship Council US<br>212 Third Avenue North, Suite 280<br>Minneapolis, MN 55401<br><i>For general support.</i>   | 2          | \$0.00            | \$150,000.00     | \$0.00         | \$75,000.00  | \$75,000.00    |
| <b>U.S. Climate Action Network, The</b><br>1810 16th Street, NW<br>Washington, D.C. 20009<br><i>To coordinate its members to push for the most ambitious outcome possible in Copenhagen.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Union of Concerned Scientists, Inc.</b><br>Two Battle Square<br>Cambridge, MA 02238-9105<br><i>For the Midwest Climate Campaign.</i>  | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |

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|---|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>United Nations</b><br>1 UN Plaza<br>New York, NY 10017<br><i>To its program, the United Nations Non-Governmental Liaison Service, for its work on the current financial and economic crisis.</i>   | 2          | \$0.00            | \$70,000.00      | \$0.00         | \$70,000.00  | \$0.00         |
| <b>University of British Columbia, The</b><br>UBC College for Interdisciplinary Studies<br>#179 - 1855 West Mall<br>Vancouver, BC V6T 1Z2 Canada<br><i>For its Simons Centre's project The Web-Based Community-Building Nexus.</i>  | 6          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |
| <b>University of Hawaii Foundation</b><br>2444 Dole Street<br>Bachman Hall 105<br>Honolulu, HI 96822<br><i>For the participation of eight American scholars in a conference on American and Confucian philosophy in Beijing.</i>  | 2          | \$0.00            | \$15,000.00      | \$0.00         | \$15,000.00  | \$0.00         |
| <b>USAction Education Fund</b><br>1825 K Street, NW<br>Suite 210<br>Washington, D.C. 20006<br><i>For its economic justice program.</i>  | 2          | \$40,000.00       | \$0.00           | \$0.00         | \$40,000.00  | \$0.00         |
| <b>Visiting Nurse Service of New York</b><br>107 East 70th Street<br>New York, NY 10021-5087<br><i>For the Community Connections TimeBank in lower Manhattan.</i>   | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00  | \$0.00         |
| <b>West Harlem Environmental Action, Inc.</b><br>P.O. Box 1846<br>New York, NY 10027<br><i>For general operating support.</i>   | 2          | \$0.00            | \$75,000.00      | \$0.00         | \$75,000.00  | \$0.00         |
| <b>Western Cape Networking HIV/AIDS Community of South Africa</b><br>P.O. Box 6358<br>Roggebaai<br>Cape Town, 8012 South Africa<br><i>As a final contribution for its Children's HIV/AIDS Network.</i>  | 7          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00  | \$0.00         |
| <b>What is Missing Foundation</b><br>112 Prince Street<br>New York, NY 10012<br><i>For the What is Missing? memorial in its offset program and partnership with the Clinton Global Initiative to raise awareness on deforestation and its contribution to global warming.</i> | 3          | \$0.00            | \$50,000.00      | \$0.00         | \$25,000.00  | \$25,000.00    |
| <b>Wilderness Foundation, The</b><br>P.O. Box 12509<br>Central<br>Port Elizabeth 6006 South Africa<br><i>As a final contribution for its Umzi Wethu training academies in ecotourism for vulnerable youth in Southern Africa.</i>   | 7          | \$0.00            | \$70,000.00      | \$0.00         | \$70,000.00  | \$0.00         |

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| <b>Will Steger Foundation</b><br>P.O. Box 1438<br>Minnetonka, MN 55345<br><i>For its Midwest climate outreach and education project.</i>  | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00    | \$0.00         |
| <b>William J. Brennan, Jr., Center for Justice, Inc.</b><br>161 Avenue of the Americas<br>12th Floor<br>New York, NY 10013<br><i>For its Dobbins Litigation and Public Education project.</i>   | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00    | \$0.00         |
| <b>William J. Brennan, Jr., Center for Justice, Inc.</b><br>161 Avenue of the Americas<br>12th Floor<br>New York, NY 10013<br><i>For a joint project to defend campaign finance laws against legal challenges.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00   | \$0.00         |
| <b>William Marsh Rice University</b><br>6100 Main Street<br>Houston, TX 77005<br><i>For the research project, Campaign Finance Laws and Lobbying Strategies in Connecticut.</i>   | 1          | \$0.00            | \$14,985.00      | \$0.00         | \$14,985.00    | \$0.00         |
| <b>Winrock International Institute for Agricultural Development, Inc.</b><br>2101 Riverfront Drive<br>Little Rock, AR 72202<br><i>For preparation of a national strategy for reducing fossil fuel use in Nepal.</i>   | 2          | \$0.00            | \$35,000.00      | \$0.00         | \$35,000.00    | \$0.00         |
| <b>Women's Leadership Fund</b><br>434 West 33rd Street, 8th Floor<br>New York, NY 10001<br><i>For engagement of a strategy consultant.</i>  | 2          | \$25,000.00       | \$0.00           | \$0.00         | \$25,000.00    | \$0.00         |
| <b>Woodrow Wilson International Center for Scholars</b><br>One Woodrow Wilson Plaza<br>1300 Pennsylvania Avenue, NW<br>Washington, D.C. 20004<br><i>For its China Environment Forum's publication on United States and China energy and climate actions and collaborations.</i> | 2          | \$0.00            | \$60,000.00      | \$0.00         | \$21,000.00    | \$39,000.00    |
| <b>Woodrow Wilson National Fellowship Foundation</b><br>5 Vaughn Drive<br>Suite 300<br>Princeton, NJ 08543-5281<br><i>For transition of the Fellowships for Aspiring Teachers of Color to the Woodrow Wilson National Fellowship Foundation.</i>                                | 2          | \$3,500,000.00    | \$0.00           | \$0.00         | \$1,000,000.00 | \$2,500,000.00 |
| <b>Works and Process, Inc.</b><br>845 Third Avenue<br>16th Floor<br>New York, NY 10022<br><i>For capacity building.</i>   | 2          | \$0.00            | \$50,000.00      | \$0.00         | \$50,000.00    | \$0.00         |

| Recipient and Purpose  | Tax Status | Beginning Balance | Approved in 2009 | Lapsed in 2009 | Paid in 2009 | Ending Balance |
|--|------------|-------------------|------------------|----------------|--------------|----------------|
| <b>World Music Institute, Inc.</b><br>49 West 27th Street<br>Suite 930<br>New York, NY 10001-6936<br><i>For capacity building.</i>   | 2          | \$0.00            | \$25,000.00      | \$0.00         | \$25,000.00  | \$0.00         |
| <b>World Resources Institute</b><br>10 G Street, NE<br>Washington, D.C. 20002<br><i>For its International Financial Flows and Environment Project.</i>   | 2          | \$0.00            | \$170,000.00     | \$0.00         | \$120,000.00 | \$50,000.00    |
| <b>World Resources Institute</b><br>10 G Street, NE<br>Washington, D.C. 20002<br><i>For its project, the U.S.-China Climate and Energy Information Network.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>World Resources Institute</b><br>10 G Street, NE<br>Washington, D.C. 20002<br><i>For the Climate Security Project.</i>  | 2          | \$0.00            | \$100,000.00     | \$0.00         | \$100,000.00 | \$0.00         |
| <b>World Resources Institute</b><br>10 G Street, NE<br>Washington, D.C. 20002<br><i>For the International Financial Flows and Environment Project of its Institutions and Governance program, to monitor the global public climate finance and advocate for clean energy policies in the Multilateral Development Banks.</i> | 2          | \$0.00            | \$400,000.00     | \$0.00         | \$200,000.00 | \$200,000.00   |
| <b>Young Audiences/New York, Inc.</b><br>One East 53rd Street<br>New York, NY 10022<br><i>For its endowment.</i>   | 2          | \$0.00            | \$250,000.00     | \$0.00         | \$0.00       | \$250,000.00   |
| <b>Youth Initiative for Human Rights</b><br>Cvijiceva 31<br>Belgrade, 11000 Serbia<br><i>For general support.</i>  | 7          | \$100,000.00      | \$0.00           | \$0.00         | \$50,000.00  | \$50,000.00    |
| <b>Yunnan Academy of Social Sciences</b><br>18th Floor<br>No. 577, West Ring Road<br>Kunming, Yunnan 650032 China<br><i>For its Rural Development Institute's pilot project to improve the effectiveness of rural biogas schemes.</i>  | 6          | \$0.00            | \$60,000.00      | \$0.00         | \$60,000.00  | \$0.00         |
| <b>Zhongshan University</b><br>Room 807, Science and Technology Park<br>No. 135, Xingang West Road<br>Guangzhou, Guangdong 510275 China<br><i>For the Institute for Civil Society.</i>   | 6          | \$120,400.00      | \$0.00           | \$0.00         | \$31,400.00  | \$89,000.00    |
| <b>Zhongshan University</b><br>Room 807, Science and Technology Park<br>No. 135, Xingang West Road<br>Guangzhou, Guangdong 510275 China<br><i>For the Law School's Environmental Law Clinic's Guangdong Environmental Law project.</i>   | 6          | \$50,000.00       | \$0.00           | \$0.00         | \$50,000.00  | \$0.00         |