

\$1525

# CHAR500

NYS Annual Filing for Charitable Organizations  
www.CharitiesNYS.com

Send with fee and attachments to:  
NYS Office of the Attorney General  
Charities Bureau Registration Section  
28 Liberty Street  
New York, NY 10005

**2017**  
Open to Public  
Inspection

## 1. General Information

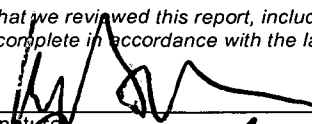

For Fiscal Year Beginning (mm/dd/yyyy) 01 / 01 / 2017 and Ending (mm/dd/yyyy) 12 / 31 / 2017

Check if Applicable: <input type="checkbox"/> Address Change <input type="checkbox"/> Name Change <input type="checkbox"/> Initial Filing <input type="checkbox"/> Final Filing <input type="checkbox"/> Amended Filing <input type="checkbox"/> Reg ID Pending	Name of Organization: <b>ROCKEFELLER FAMILY FUND, INC.</b>	Employer Identification Number (EIN): <b>13-6257658</b>
	Mailing Address: <b>475 RIVERSIDE DRIVE</b>	NY Registration Number: <b>01-13-86</b>
	City / State / Zip: <b>NEW YORK, NY, 10115</b>	Telephone: <b>(212) 812-4252</b>
	Website: <b>RFFUND.ORG</b>	Email: <b>LDANGELO@RBF.ORG</b>
	Check your organization's registration category: <input type="checkbox"/> 7A only <input type="checkbox"/> EPTL only <input checked="" type="checkbox"/> DUAL (7A & EPTL) <input type="checkbox"/> EXEMPT	

## 2. Certification

See instructions for certification requirements. Improper certification is a violation of law that may be subject to penalties.

*We certify under penalties of perjury that we reviewed this report, including all attachments, and to the best of our knowledge and belief, they are true, correct and complete in accordance with the laws of the State of New York applicable to this report.*

President or Authorized Officer:		<b>LEE WASSERMAN, Director</b>	<b>11/6/18</b>
Chief Financial Officer or Treasurer:		<b>TREASURER</b>	<b>11/6/18</b>

## 3. Annual Reporting Exemption

Check the exemption(s) that apply to your filing. If your organization is claiming an exemption under one category (7A or EPTL only filers) or both categories (DUAL filers) that apply to your registration, complete only parts 1, 2, and 3, and submit the certified Char500. No fee, schedules, or additional attachments are required. If you cannot claim an exemption or are a DUAL filer that claims only one exemption, you must file applicable schedules and attachments and pay applicable fees.

**3a. 7A filing exemption:** Total contributions from NY State including residents, foundations, government agencies, etc. did not exceed \$25,000 and the organization did not engage a professional fund raiser (PFR) or fund raising counsel (FRC) to solicit contributions during the fiscal year. Or the organization qualifies for another 7A exemption (see instructions).

**3b. EPTL filing exemption:** Gross receipts did not exceed \$25,000 and the market value of assets did not exceed \$25,000 at any time during the fiscal year.

## 4. Schedules and Attachments

See the following page for a checklist of schedules and attachments to complete your filing.

Yes  No 4a. Did your organization use a professional fund raiser, fund raising counsel or commercial co-venturer for fund raising activity in NY State? If yes, complete Schedule 4a.

Yes  No 4b. Did the organization receive government grants? If yes, complete Schedule 4b.

## 5. Fee

See the checklist on the next page to calculate your fee(s). Indicate fee(s) you are submitting here:	7A filing fee: \$ <u>25.</u>	EPTL filing fee: \$ <u>1,500.</u>	Total fee: \$ <u>1,525.</u>	Make a single check or money order payable to: <b>"Department of Law"</b>
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# CHAR500

## Annual Filing Checklist

Simply submit the certified CHAR500 with no fee, schedule, or additional attachments IF:

- Your organization is registered as 7A only and you marked the 7A filing exemption in Part 3.
- Your organization is registered as EPTL only and you marked the EPTL filing exemption in Part 3.
- Your organization is registered as DUAL and you marked both the 7A and EPTL filing exemption in Part 3.

### Checklist of Schedules and Attachments

Check the schedules you must submit with your CHAR500 as described in Part 4:

- If you answered "yes" in Part 4a, submit Schedule 4a: Professional Fund Raisers (PFR), Fund Raising Counsel (FRC), Commercial Co-Venturers (CCV)
- If you answered "yes" in Part 4b, submit Schedule 4b: Government Grants

Check the financial attachments you must submit with your CHAR500:

- IRS Form 990, 990-EZ, or 990-PF, and 990-T if applicable
- All additional IRS Form 990 Schedules, including Schedule B (Schedule of Contributors).
- Our organization was eligible for and filed an IRS 990-N e-postcard. We have included an IRS Form 990-EZ for state purposes only.

If you are a 7A only or DUAL filer, submit the applicable independent Certified Public Accountant's Review or Audit Report:

- Review Report if you received total revenue and support greater than \$250,000 and up to \$750,000.
- Audit Report if you received total revenue and support greater than \$750,000
- No Review Report or Audit Report is required because total revenue and support is less than \$250,000
- We are a DUAL filer and checked box 3a, no Review Report or Audit Report is required

### Calculate Your Fee

For 7A and DUAL filers, calculate the 7A fee:

- \$0, if you checked the 7A exemption in Part 3a
- \$25, if you did not check the 7A exemption in Part 3a

For EPTL and DUAL filers, calculate the EPTL fee:

- \$0, if you checked the EPTL exemption in Part 3b
- \$25, if the NET WORTH is less than \$50,000
- \$50, if the NET WORTH is \$50,000 or more but less than \$250,000
- \$100, if the NET WORTH is \$250,000 or more but less than \$1,000,000
- \$250, if the NET WORTH is \$1,000,000 or more but less than \$10,000,000
- \$750, if the NET WORTH is \$10,000,000 or more but less than \$50,000,000
- \$1500, if the NET WORTH is \$50,000,000 or more

### Send Your Filing

Send your CHAR500, all schedules and attachments, and total fee to:

NYS Office of the Attorney General  
Charities Bureau Registration Section  
28 Liberty Street  
New York, NY 10005

### Is my Registration Category 7A, EPTL, DUAL or EXEMPT?

Organizations are assigned a Registration Category upon registration with the NY Charities Bureau:

7A filers are registered to solicit contributions in New York under Article 7-A of the Executive Law ("7A")

EPTL filers are registered under the Estates, Powers & Trusts Law ("EPTL") because they hold assets and/or conduct activities for charitable purposes in NY.

DUAL filers are registered under both 7A and EPTL.

EXEMPT filers have registered with the NY Charities Bureau and meet conditions in Schedule E - Registration Exemption for Charitable Organizations. These organizations are not required to file annual financial reports but may do so voluntarily.

Confirm your Registration Category and learn more about NY law at [www.CharitiesNYS.com](http://www.CharitiesNYS.com).

### Where do I find my organization's NET WORTH?

NET WORTH for fee purposes is calculated on:

- IRS Form 990 Part I, line 22
- IRS Form 990 EZ Part I line 21
- IRS Form 990 PF, calculate the difference between Total Assets at Fair Market Value (Part II, line 16(c)) and Total Liabilities (Part II, line 23(b)).

**Return of Organization Exempt From Income Tax**

**2017**

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

**A** For the 2017 calendar year, or tax year beginning **2017**, and ending **20**, 20

**B** Check if applicable:  
 Address change  
 Name change  
 Initial return  
 Final return/terminated  
 Amended return  
 Application pending

**C** Name of organization **ROCKEFELLER FAMILY FUND, INC.**  
 Doing business as  
 Number and street (or P.O. box if mail is not delivered to street address) Room/suite  
**475 RIVERSIDE DRIVE SUITE 900**  
 City or town, state or province, country, and ZIP or foreign postal code  
**NEW YORK, NY 10115**

**D** Employer identification number  
**13-6257658**

**E** Telephone number  
**(212) 812-4252**

**G** Gross receipts \$ **170,387,928.**

**F** Name and address of principal officer:  
**LEE WASSERMAN, SAME AS ABOVE**

**H(a)** Is this a group return for subordinates?  Yes  No  
**H(b)** Are all subordinates included?  Yes  No  
 If "No," attach a list. (see instructions)

**I** Tax-exempt status:  501(c)(3)  501(c) ( ) ◀ (insert no.)  4947(a)(1) or  527

**J** Website: ▶ **RFFUND.ORG**

**K** Form of organization:  Corporation  Trust  Association  Other ▶

**L** Year of formation: **1967**

**M** State of legal domicile: **NY**

**H(c)** Group exemption number ▶

Part I Summary		Prior Year	Current Year
Activities & Governance	<b>1</b> Briefly describe the organization's mission or most significant activities: <u>ROCKEFELLER FAMILY FUND IS A U.S. BASED, FAMILY-LED PUBLIC CHARITY THAT INITIATES, CULTIVATES, AND FUNDS STRATEGIC EFFORTS TO PROMOTE A SUSTAINABLE, JUST, FREE, AND PARTICIPATORY SOCIETY.</u>		
	<b>2</b> Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	<b>3</b> Number of voting members of the governing body (Part VI, line 1a)	<b>3</b>	12
	<b>4</b> Number of independent voting members of the governing body (Part VI, line 1b)	<b>4</b>	12
	<b>5</b> Total number of individuals employed in calendar year 2017 (Part V, line 2a)	<b>5</b>	10
	<b>6</b> Total number of volunteers (estimate if necessary)	<b>6</b>	13
	<b>7a</b> Total unrelated business revenue from Part VIII, column (C), line 12	<b>7a</b>	4,924.
<b>b</b> Net unrelated business taxable income from Form 990-T, line 34	<b>7b</b>	-1,848.	
Revenue	<b>8</b> Contributions and grants (Part VIII, line 1h)	19,441,702.	29,957,267.
	<b>9</b> Program service revenue (Part VIII, line 2g)		
	<b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d)	530,967.	8,409,929.
	<b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)		
	<b>12</b> Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	19,972,669.	38,367,196.
Expenses	<b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1-3)	11,819,810.	11,592,317.
	<b>14</b> Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
	<b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	2,624,186.	2,833,127.
	<b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
	<b>b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶ 161,149.		
	<b>17</b> Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	4,612,808.	3,764,644.
	<b>18</b> Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	19,056,804.	18,190,088.
<b>19</b> Revenue less expenses. Subtract line 18 from line 12	915,865.	20,177,108.	
Net Assets or Fund Balances	<b>20</b> Total assets (Part X, line 16)	Beginning of Current Year 103,519,462.	End of Year 127,093,829.
	<b>21</b> Total liabilities (Part X, line 26)	5,636,786.	4,966,899.
	<b>22</b> Net assets or fund balances. Subtract line 21 from line 20	97,882,676.	122,126,930.

**Part II Signature Block**

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

**Sign Here** ▶ Signature of officer *Lee Wasserman* Date **11/6/18**  
**LEE WASSERMAN, DIRECTOR**  
 Type or print name and title

**COPY**

**Paid Preparer Use Only**

Print/Type preparer's name: **DAVID M. HIGHFILL** Preparer's signature: *David M. Highfill* Date: **11/02/2018** Check  if self-employed PTIN: **P01517891**

Firm's name ▶ **KPMG LLP** Firm's EIN ▶ **13-5565207**

Firm's address ▶ **345 PARK AVENUE, NEW YORK, NY 10154-0102** Phone no. **212-758-9700**

May the IRS discuss this return with the preparer shown above? (see instructions)  Yes  No

# Application for Automatic Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.  
▶ Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).

**Electronic filing (e-file).** You can electronically file Form 8868 to request a 6-month automatic extension of time to file any of the forms listed below with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, for which an extension request must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile), click on Charities & Non-Profits, and click on e-file for Charities and Non-Profits.

### Automatic 6-Month Extension of Time. Only submit original (no copies needed).

All corporations required to file an income tax return other than Form 990-T (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

<b>Type or print</b>  File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions.  ROCKEFELLER FAMILY FUND, INC.	Employer identification number (EIN) or  13-6257658
	Number, street, and room or suite no. If a P.O. box, see instructions. 475 RIVERSIDE DRIVE	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEW YORK, NY 10115	

Enter the Return Code for the return that this application is for (file a separate application for each return) . . . . .

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

ANDREA LAWYER

• The books are in the care of ▶ 475 RIVERSIDE DRIVE, NEW YORK NY 10115

Telephone No. ▶ 212 812-4252 Fax No. ▶

- If the organization does not have an office or place of business in the United States, check this box
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) N/A. If this is for the whole group, check this box . If it is for part of the group, check this box  and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 6-month extension of time until 11/15, 2018, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

- ▶  calendar year 2017 or
- ▶  tax year beginning \_\_\_\_\_, 20\_\_\_\_, and ending \_\_\_\_\_, 20\_\_\_\_.

2 If the tax year entered in line 1 is for less than 12 months, check reason:  Initial return  Final return  Change in accounting period

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a \$	0.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b \$	0.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c \$	0.

Caution. If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

**Part III Statement of Program Service Accomplishments**

Check if Schedule O contains a response or note to any line in this Part III

- 1 Briefly describe the organization's mission:  
ROCKEFELLER FAMILY FUND IS A U.S. BASED,  
FAMILY-LED PUBLIC CHARITY THAT INITIATES, CULTIVATES, AND FUNDS STRATEGIC  
EFFORTS TO PROMOTE A SUSTAINABLE, JUST, FREE, AND PARTICIPATORY SOCIETY.
- 2 Did the organization undertake any significant program services during the year which were not listed on the  
prior Form 990 or 990-EZ?  Yes  No  
If "Yes," describe these new services on Schedule O.
- 3 Did the organization cease conducting, or make significant changes in how it conducts, any program  
services?  Yes  No  
If "Yes," describe these changes on Schedule O.
- 4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by  
expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others,  
the total expenses, and revenue, if any, for each program service reported.

4a (Code: ) (Expenses \$ 7,507,362. including grants of \$ 7,257,362.) (Revenue \$ 0.)  
SPECIAL PROJECT FUNDS - RFF MANAGES A NUMBER OF SPECIAL PROJECT FUNDS IN THE AREAS OF WORK/LIFE INITIATIVES;  
REDUCING THE GLOBAL USE OF COAL AND ADVANCING POLICIES TO ADDRESS CLIMATE CHANGE AND THE TRANSITION  
TO A CLEAN TECH ECONOMY; CRIMINAL JUSTICE REFORM; AND VOTER ENGAGEMENT. IN EACH OF THESE AREAS, RFF DEVELOPS AND  
MANAGES INITIATIVES IN CONJUNCTION WITH FUNDER PARTNERS, INDIVIDUALS, AND EXISTING NON-PROFIT  
ORGANIZATIONS, TO ADVANCE CRITICAL POLICY OBJECTIVES OR BUILD NECESSARY CAPACITY.

4b (Code: ) (Expenses \$ 1,580,000. including grants of \$ 1,475,000.) (Revenue \$ 0.)  
CORE FUNDS - THE ROCKEFELLER FAMILY FUND CORE PROGRAM SERVICES REPRESENT  
AREAS SUCH AS ENVIRONMENT ("ENV"), EMERGING OPPORTUNITIES ("EO"),  
ECONOMIC JUSTICE FOR WOMEN ("EJW"), AND INSTITUTIONAL ACCOUNTABILITY  
AND INDIVIDUAL LIBERTIES ("IAIL").  
SEE SCHEDULE O FOR AN EXPLANATION OF EACH PROGRAM AREA.

4c (Code: ) (Expenses \$ 2,848,150. including grants of \$ 2,848,150.) (Revenue \$ 0.)  
DONOR ADVISED FUNDS ("DAF")-FACILITATE COLLABORATION AMONG ITS  
FOUNDATION COLLEAGUES AND INITIATIVES AMONG NONPROFIT  
ORGANIZATIONS AND PROVIDE FLEXIBLE MECHANISMS TO MEET THE FINANCIAL  
NEEDS OF ADVOCACY CAMPAIGNS OR OTHER DYNAMIC PROJECTS.

4d Other program services (Describe in Schedule O.)  
(Expenses \$ 4,657,340. including grants of \$ 11,805.) (Revenue \$ 0.)

4e Total program service expenses ► 16,592,852.

**Part IV Checklist of Required Schedules**

	Yes	No
<b>1</b> Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i> . . . . .	<input checked="" type="checkbox"/>	
<b>2</b> Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> (see instructions)? . . . . .	<input checked="" type="checkbox"/>	
<b>3</b> Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i> . . . . .		<input checked="" type="checkbox"/>
<b>4</b> <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i> . . . . .	<input checked="" type="checkbox"/>	
<b>5</b> Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i> . . . . .		<input checked="" type="checkbox"/>
<b>6</b> Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i> . . . . .	<input checked="" type="checkbox"/>	
<b>7</b> Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i> . . . . .		<input checked="" type="checkbox"/>
<b>8</b> Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i> . . . . .		<input checked="" type="checkbox"/>
<b>9</b> Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i> . . . . .		<input checked="" type="checkbox"/>
<b>10</b> Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i> . . . . .	<input checked="" type="checkbox"/>	
<b>11</b> If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
<b>a</b> Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i> . . . . .	<input checked="" type="checkbox"/>	
<b>b</b> Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i> . . . . .	<input checked="" type="checkbox"/>	
<b>c</b> Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i> . . . . .		<input checked="" type="checkbox"/>
<b>d</b> Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i> . . . . .		<input checked="" type="checkbox"/>
<b>e</b> Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i> . . . . .		<input checked="" type="checkbox"/>
<b>f</b> Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i> . . . . .	<input checked="" type="checkbox"/>	
<b>12 a</b> Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i> . . . . .		<input checked="" type="checkbox"/>
<b>b</b> Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i> . . . . .	<input checked="" type="checkbox"/>	
<b>13</b> Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i> . . . . .		<input checked="" type="checkbox"/>
<b>14 a</b> Did the organization maintain an office, employees, or agents outside of the United States? . . . . .		<input checked="" type="checkbox"/>
<b>b</b> Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV.</i> . . . . .	<input checked="" type="checkbox"/>	
<b>15</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i> . . . . .		<input checked="" type="checkbox"/>
<b>16</b> Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV.</i> . . . . .		<input checked="" type="checkbox"/>
<b>17</b> Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i> (see instructions) . . . . .		<input checked="" type="checkbox"/>
<b>18</b> Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i> . . . . .		<input checked="" type="checkbox"/>
<b>19</b> Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i> . . . . .		<input checked="" type="checkbox"/>

**Part IV Checklist of Required Schedules (continued)**

		Yes	No
20 a	Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H . . . . .</i>		X
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? . . . . .		
21	Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II . . . . .</i>	X	
22	Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III . . . . .</i>		X
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J . . . . .</i>	X	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a . . . . .</i>		X
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . . .		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? . . . . .		
25a	<b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I . . . . .</i>		X
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I . . . . .</i>		X
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If "Yes," complete Schedule L, Part II . . . . .</i>		X
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III . . . . .</i>		X
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a	A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV . . . . .</i>		X
b	A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV . . . . .</i>		X
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV . . . . .</i>		X
29	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M . . . . .</i>	X	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M . . . . .</i>		X
31	Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I . . . . .</i>		X
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II . . . . .</i>		X
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I . . . . .</i>		X
34	Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1 . . . . .</i>	X	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)? . . . . .	X	
b	If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2 . . . . .</i>	X	
36	<b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2 . . . . .</i>		X
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI . . . . .</i>		X
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O. . . . .	X	

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

checkbox

Table with columns for line numbers (1a-14b), descriptions, and Yes/No checkboxes. Includes entries for Form 1096, Form W-2G, Form W-3, Form 990-T, Form 8886-T, Form 8282, Form 8899, Form 1098-C, Form 4966, Form 501(c)(7), Form 501(c)(12), Form 4947(a)(1), and Form 501(c)(29).



Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI [X]

Section A. Governing Body and Management

Table with 3 columns: Question, Yes, No. Rows include: 1a Enter the number of voting members of the governing body at the end of the tax year. 1b Enter the number of voting members included in line 1a, above, who are independent. 2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? 3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? 4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? 5 Did the organization become aware during the year of a significant diversion of the organization's assets? 6 Did the organization have members or stockholders? 7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? 7b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? 8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following: 8a The governing body? 8b Each committee with authority to act on behalf of the governing body? 9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O.

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

Table with 3 columns: Question, Yes, No. Rows include: 10a Did the organization have local chapters, branches, or affiliates? 10b If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? 11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? 11b Describe in Schedule O the process, if any, used by the organization to review this Form 990. 12a Did the organization have a written conflict of interest policy? If "No," go to line 13 12b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? 12c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done. 13 Did the organization have a written whistleblower policy? 14 Did the organization have a written document retention and destruction policy? 15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision? 15a The organization's CEO, Executive Director, or top management official 15b Other officers or key employees of the organization. If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions). 16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? 16b If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?

Section C. Disclosure

- 17 List the states with which a copy of this Form 990 is required to be filed NY
18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
[ ] Own website [ ] Another's website [X] Upon request [ ] Other (explain in Schedule O)
19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
20 State the name, address, and telephone number of the person who possesses the organization's books and records: LEAH D'ANGELO, TREASURER, 475 RIVERSIDE DRIVE, SUITE 900, NEW YORK, NY 10115 (212) 812-4252

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

Check if Schedule O contains a response or note to any line in this Part VII

**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

**1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) DAVID KAISER TRUSTEE/PRESIDENT	3.00 0.00	X		X				0.	0.	0.
(2) ALEXANDRA CHASIN TRUSTEE/VICE PRESIDENT	3.00 0.00	X		X				0.	0.	0.
(3) MIRANDA KAISER TRUSTEE/VICE PRESIDENT	3.00 0.00	X		X				0.	0.	0.
(4) CLARE M. PIERSON TRUSTEE/VICE PRESIDENT	3.00 0.00	X		X				0.	0.	0.
(5) MICHAEL LAMBERT TRUSTEE	3.00 0.00	X						0.	0.	0.
(6) ADAM GROWALD TRUSTEE	3.00 0.00	X						0.	0.	0.
(7) ELIZA MESSINGER TRUSTEE	3.00 0.00	X						0.	0.	0.
(8) LIAM WANG TRUSTEE	3.00 0.00	X						0.	0.	0.
(9) TRACY TOON SPENCER TRUSTEE	3.00 0.00	X						0.	0.	0.
(10) LUCIA GILL CASE TRUSTEE	3.00 0.00	X						0.	0.	0.
(11) TARA ROCKEFELLER TRUSTEE	3.00 0.00	X						0.	0.	0.
(12) G. TODD MYDLAND TRUSTEE	3.00 0.00	X						0.	0.	0.
(13) LEE WASSERMAN DIRECTOR & SECRETARY	40.00 0.00			X				344,968.	0.	279,766.
(14) LEAH D'ANGELO TREASURER	4.00 0.00			X				0.	0.	0.

**Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)**

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(15) LARRY SHAPIRO ASSOC. DIRECTOR-PROG. DEV.	40.00 0.00				X			234,624.	0.	174,320.
(16) LISA GUIDE ASSOC. DIRECTOR	40.00 0.00				X			230,018.	0.	189,951.
(17) LESLIE LOWE PROGRAM OFFICER-IA&IL	40.00 0.00					X		142,083.	0.	30,564.
(18) HEIDI BINKO EXEC. DIRECTOR, JTF	40.00 0.00					X		175,000.	0.	43,593.
(19)										
(20)										
(21)										
(22)										
(23)										
(24)										
(25)										
<b>1b Sub-total</b>								1,126,693.	0.	718,194.
<b>c Total from continuation sheets to Part VII, Section A</b>										
<b>d Total (add lines 1b and 1c)</b>								1,126,693.	0.	718,194.

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **5**

	Yes	No
<b>3</b> Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>		X
<b>4</b> For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i>	X	
<b>5</b> Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>		X

**Section B. Independent Contractors**

**1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
STRATEGIC INVESTMENT GROUP, 1001 19TH ST. NORTH, 16TH FL, ARLINGTON, VA 22209	INVESTMENT MANAGEMENT	465,668.
TERESA VILMAIN, 8381 SOUTH KOLLATH ROAD, VERONA, WI 53593	CONSULTING SERVICES	195,000.
SPITFIRE STRATEGIES LLC, 1800 M STREET NW, WASHINGTON, DC 20036	CONSULTING SERVICES	151,725.

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **3**

**Part VIII Statement of Revenue**

Check if Schedule O contains a response or note to any line in this Part VIII

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514	
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1a</b> Federated campaigns . . . . .	<b>1a</b>					
	<b>b</b> Membership dues . . . . .	<b>1b</b>					
	<b>c</b> Fundraising events . . . . .	<b>1c</b>					
	<b>d</b> Related organizations . . . . .	<b>1d</b>	219,000.				
	<b>e</b> Government grants (contributions)	<b>1e</b>					
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above	<b>1f</b>	29,738,267.				
	<b>g</b> Noncash contributions included in lines 1a-1f: \$		10,092,726.				
	<b>h Total.</b> Add lines 1a-1f . . . . . ▶		29,957,267.				
<b>Program Service Revenue</b>			<b>Business Code</b>				
	<b>2a</b> . . . . .						
	<b>b</b> . . . . .						
	<b>c</b> . . . . .						
	<b>d</b> . . . . .						
	<b>e</b> . . . . .						
	<b>f</b> All other program service revenue .						
<b>g Total.</b> Add lines 2a-2f . . . . . ▶							
<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest, and other similar amounts) . . . . . ▶		928,746.	0.	4,924.	923,822.	
	<b>4</b> Income from investment of tax-exempt bond proceeds ▶						
	<b>5</b> Royalties . . . . . ▶						
		(i) Real	(ii) Personal				
	<b>6a</b> Gross rents . . . . .						
	<b>b</b> Less: rental expenses . . . . .						
	<b>c</b> Rental income or (loss) . . . . .						
	<b>d</b> Net rental income or (loss) . . . . . ▶						
	<b>7a</b> Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other				
		139,501,915.					
	<b>b</b> Less: cost or other basis and sales expenses . . . . .						
		132,020,732.					
	<b>c</b> Gain or (loss) . . . . .						
		7,481,183.					
	<b>d</b> Net gain or (loss) . . . . . ▶			7,481,183.	0.	0.	7,481,183.
	<b>8a</b> Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18 . . . . .	<b>a</b>					
	<b>b</b> Less: direct expenses . . . . .	<b>b</b>					
<b>c</b> Net income or (loss) from fundraising events . ▶							
<b>9a</b> Gross income from gaming activities. See Part IV, line 19 . . . . .	<b>a</b>						
<b>b</b> Less: direct expenses . . . . .	<b>b</b>						
<b>c</b> Net income or (loss) from gaming activities . . ▶							
<b>10a</b> Gross sales of inventory, less returns and allowances . . . . .	<b>a</b>						
<b>b</b> Less: cost of goods sold . . . . .	<b>b</b>						
<b>c</b> Net income or (loss) from sales of inventory . . ▶							
<b>Miscellaneous Revenue</b>		<b>Business Code</b>					
<b>11a</b> . . . . .							
<b>b</b> . . . . .							
<b>c</b> . . . . .							
<b>d</b> All other revenue . . . . .							
<b>e Total.</b> Add lines 11a-11d . . . . . ▶							
<b>12 Total revenue.</b> See instructions. . . . . ▶			38,367,196.	0.	4,924.	8,405,005.	

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

<b>Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.</b>		(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1	Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 . . . . .	11,592,317.	11,592,317.		
2	Grants and other assistance to domestic individuals. See Part IV, line 22 . . . . .	0.	0.		
3	Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16 . . . . .	0.	0.		
4	Benefits paid to or for members . . . . .	0.	0.		
5	Compensation of current officers, directors, trustees, and key employees . . . . .	1,453,647.	1,291,466.	83,141.	79,040.
6	Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . . . .	0.	0.	0.	0.
7	Other salaries and wages . . . . .	798,801.	578,940.	181,047.	38,814.
8	Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	134,763.	97,671.	30,544.	6,548.
9	Other employee benefits . . . . .	360,150.	261,022.	81,628.	17,500.
10	Payroll taxes . . . . .	85,766.	62,160.	19,439.	4,167.
11	Fees for services (non-employees):				
a	Management . . . . .	0.	0.	0.	0.
b	Legal . . . . .	119,222.	14,940.	104,282.	0.
c	Accounting . . . . .	77,966.	0.	77,966.	0.
d	Lobbying . . . . .	355,000.	355,000.	0.	0.
e	Professional fundraising services. See Part IV, line 17	0.			0.
f	Investment management fees . . . . .	631,220.	0.	631,220.	0.
g	Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.) . . . . .	1,748,182.	1,682,955.	65,227.	0.
12	Advertising and promotion . . . . .	0.	0.	0.	0.
13	Office expenses . . . . .	103,354.	44,635.	55,474.	3,245.
14	Information technology . . . . .	25,670.	0.	25,670.	0.
15	Royalties . . . . .	0.	0.	0.	0.
16	Occupancy . . . . .	96,346.	61,488.	30,388.	4,470.
17	Travel . . . . .	440,163.	440,163.	0.	0.
18	Payments of travel or entertainment expenses for any federal, state, or local public officials . . . . .	0.	0.	0.	0.
19	Conferences, conventions, and meetings . . . . .	0.	0.	0.	0.
20	Interest . . . . .	0.	0.	0.	0.
21	Payments to affiliates . . . . .	0.	0.	0.	0.
22	Depreciation, depletion, and amortization . . . . .	2,136.	1,363.	674.	99.
23	Insurance . . . . .	52,477.	33,491.	16,551.	2,435.
24	Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a	BOOKS & PERIODICALS	7,138.	4,555.	2,251.	332.
b	DUES & MEMBERSHIPS	69,298.	44,226.	21,857.	3,215.
c	BENEFIT EVENT TICKETS	8,800.	8,800.	0.	0.
d	EQUIPMENT LEASES	5,102.	3,256.	1,609.	237.
e	All other expenses	22,570.	14,404.	7,119.	1,047.
25	<b>Total functional expenses.</b> Add lines 1 through 24e	18,190,088.	16,592,852.	1,436,087.	161,149.
26	<b>Joint costs.</b> Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720)				

**Part X Balance Sheet**

Check if Schedule O contains a response or note to any line in this Part X

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .	784,789.	<b>1</b>	2,561,761.
	<b>2</b> Savings and temporary cash investments . . . . .	8,463,310.	<b>2</b>	18,444,751.
	<b>3</b> Pledges and grants receivable, net . . . . .	10,793,242.	<b>3</b>	17,471,307.
	<b>4</b> Accounts receivable, net . . . . .	66,512.	<b>4</b>	35,923.
	<b>5</b> Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .	0.	<b>5</b>	0.
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions). Complete Part II of Schedule L . . . . .	0.	<b>6</b>	0.
	<b>7</b> Notes and loans receivable, net . . . . .	0.	<b>7</b>	0.
	<b>8</b> Inventories for sale or use . . . . .	0.	<b>8</b>	0.
	<b>9</b> Prepaid expenses and deferred charges . . . . .	0.	<b>9</b>	0.
	<b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	<b>10a</b> 156,605.		
	<b>b</b> Less: accumulated depreciation . . . . .	<b>10b</b> 151,975.	<b>10c</b>	4,630.
	<b>11</b> Investments—publicly traded securities . . . . .	29,562,571.	<b>11</b>	31,997,010.
	<b>12</b> Investments—other securities. See Part IV, line 11 . . . . .	53,845,209.	<b>12</b>	56,578,447.
	<b>13</b> Investments—program-related. See Part IV, line 11 . . . . .		<b>13</b>	
	<b>14</b> Intangible assets . . . . .		<b>14</b>	
	<b>15</b> Other assets. See Part IV, line 11 . . . . .		<b>15</b>	
<b>16</b> <b>Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . .	103,519,462.	<b>16</b>	127,093,829.	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .	3,663,375.	<b>17</b>	4,141,899.
	<b>18</b> Grants payable . . . . .	1,973,411.	<b>18</b>	825,000.
	<b>19</b> Deferred revenue . . . . .		<b>19</b>	
	<b>20</b> Tax-exempt bond liabilities . . . . .		<b>20</b>	
	<b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .		<b>21</b>	
	<b>22</b> Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .		<b>22</b>	
	<b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .		<b>23</b>	
	<b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .		<b>24</b>	
	<b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D . . . . .		<b>25</b>	
	<b>26</b> <b>Total liabilities.</b> Add lines 17 through 25 . . . . .	5,636,786.	<b>26</b>	4,966,899.
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>			
	<b>27</b> Unrestricted net assets . . . . .	72,055,235.	<b>27</b>	89,573,936.
	<b>28</b> Temporarily restricted net assets . . . . .	17,436,021.	<b>28</b>	24,161,574.
	<b>29</b> Permanently restricted net assets . . . . .	8,391,420.	<b>29</b>	8,391,420.
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.</b>			
	<b>30</b> Capital stock or trust principal, or current funds . . . . .		<b>30</b>	
	<b>31</b> Paid-in or capital surplus, or land, building, or equipment fund . . . . .		<b>31</b>	
	<b>32</b> Retained earnings, endowment, accumulated income, or other funds . . . . .		<b>32</b>	
<b>33</b> <b>Total net assets or fund balances</b> . . . . .	97,882,676.	<b>33</b>	122,126,930.	
<b>34</b> <b>Total liabilities and net assets/fund balances</b> . . . . .	103,519,462.	<b>34</b>	127,093,829.	

**Part XI Reconciliation of Net Assets**

Check if Schedule O contains a response or note to any line in this Part XI

<b>1</b>	Total revenue (must equal Part VIII, column (A), line 12)	<b>1</b>	38,367,196.
<b>2</b>	Total expenses (must equal Part IX, column (A), line 25)	<b>2</b>	18,190,088.
<b>3</b>	Revenue less expenses. Subtract line 2 from line 1	<b>3</b>	20,177,108.
<b>4</b>	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	<b>4</b>	97,882,676.
<b>5</b>	Net unrealized gains (losses) on investments	<b>5</b>	4,001,732.
<b>6</b>	Donated services and use of facilities	<b>6</b>	
<b>7</b>	Investment expenses	<b>7</b>	
<b>8</b>	Prior period adjustments	<b>8</b>	
<b>9</b>	Other changes in net assets or fund balances (explain in Schedule O)	<b>9</b>	65,414.
<b>10</b>	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	<b>10</b>	122,126,930.

**Part XII Financial Statements and Reporting**

Check if Schedule O contains a response or note to any line in this Part XII

		Yes	No
<b>1</b>	Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.		
<b>2a</b>	Were the organization's financial statements compiled or reviewed by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		X
<b>b</b>	Were the organization's financial statements audited by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input checked="" type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	X	
<b>c</b>	If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.	X	
<b>3a</b>	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?		X
<b>b</b>	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits.		

**Additional information from your Form 990: Return of Organization Exempt from Income Tax**

**Form 990: Return of Organization Exempt from Income Tax**  
**Part V, Line 4b (continued)**

**Continuation Statement**

Foreign Country
BD
CJ



**SCHEDULE A**  
**(Form 990 or 990-EZ)**

**Public Charity Status and Public Support**

OMB No. 1545-0047

**2017**

Department of the Treasury  
Internal Revenue Service

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

**Open to Public Inspection**

Name of the organization ROCKEFELLER FAMILY FUND, INC.	Employer identification number 13-6257658
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**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1  A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2  A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ).)
- 3  A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4  A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state: \_\_\_\_\_
- 5  An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II.)
- 6  A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7  An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 8  A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 9  An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: \_\_\_\_\_
- 10  An organization that normally receives: (1) more than 33<sup>1</sup>/<sub>3</sub>% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33<sup>1</sup>/<sub>3</sub>% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III.)
- 11  An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 12  An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
  - a  **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
  - b  **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
  - c  **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
  - d  **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
  - e  Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
  - f Enter the number of supported organizations . . . . .
  - g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1–10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
(A)						
(B)						
(C)						
(D)						
(E)						
<b>Total</b>						

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .	12,957,587.	13,432,929.	11,209,985.	9,441,702.	29,957,267.	76,999,470.
<b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
<b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .						
<b>4 Total.</b> Add lines 1 through 3 . . . . .	12,957,587.	13,432,929.	11,209,985.	9,441,702.	29,957,267.	76,999,470.
<b>5</b> The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . . . . .						33,722,931.
<b>6 Public support.</b> Subtract line 5 from line 4						43,276,539.

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
<b>7</b> Amounts from line 4 . . . . .	12,957,587.	13,432,929.	11,209,985.	9,441,702.	29,957,267.	76,999,470.
<b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources . . . . .	914,162.	1,037,547.	809,833.	739,415.	923,822.	4,424,779.
<b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .	0.	0.	0.	0.	0.	0.
<b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . . . .	0.	0.	0.	0.		0.
<b>11 Total support.</b> Add lines 7 through 10						81,424,249.
<b>12</b> Gross receipts from related activities, etc. (see instructions) . . . . .					12	0.
<b>13 First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ► <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

<b>14</b> Public support percentage for 2017 (line 6, column (f) divided by line 11, column (f)) . . . . .	<b>14</b>	53.15 %
<b>15</b> Public support percentage from 2016 Schedule A, Part II, line 14 . . . . .	<b>15</b>	62.78 %
<b>16a 33 1/3% support test—2017.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ► <input checked="" type="checkbox"/>		
<b>b 33 1/3% support test—2016.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ► <input type="checkbox"/>		
<b>17a 10%-facts-and-circumstances test—2017.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ► <input type="checkbox"/>		
<b>b 10%-facts-and-circumstances test—2016.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . . ► <input type="checkbox"/>		
<b>18 Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ► <input type="checkbox"/>		

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
<b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose . . . . .						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .						
<b>6 Total.</b> Add lines 1 through 5 . . . . .						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons . . . . .						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year . . . . .						
<b>c</b> Add lines 7a and 7b . . . . .						
<b>8 Public support.</b> (Subtract line 7c from line 6.) . . . . .						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2013	(b) 2014	(c) 2015	(d) 2016	(e) 2017	(f) Total
<b>9</b> Amounts from line 6 . . . . .						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources . . . . .						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 . . . . .						
<b>c</b> Add lines 10a and 10b . . . . .						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on . . . . .						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . . . .						
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.) . . . . .						
<b>14 First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2017 (line 8, column (f) divided by line 13, column (f)) . . . . .	<b>15</b>	%
<b>16</b> Public support percentage from 2016 Schedule A, Part III, line 15 . . . . .	<b>16</b>	%

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for 2017 (line 10c, column (f) divided by line 13, column (f)) . . . . .	<b>17</b>	%
<b>18</b> Investment income percentage from 2016 Schedule A, Part III, line 17 . . . . .	<b>18</b>	%

- 19a 33 1/3% support tests—2017.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization . . . . .
- b 33 1/3% support tests—2016.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization . . . . .
- 20 Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions . . . . .

**Part IV Supporting Organizations**

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

		Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? If "No," describe in <b>Part VI</b> how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If "Yes," explain in <b>Part VI</b> how the organization determined that the supported organization was described in section 509(a)(1) or (2).		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If "Yes," answer (b) and (c) below.		
b	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If "Yes," describe in <b>Part VI</b> when and how the organization made the determination.		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If "Yes," explain in <b>Part VI</b> what controls the organization put in place to ensure such use.		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.		
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If "Yes," describe in <b>Part VI</b> how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.		
c	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If "Yes," explain in <b>Part VI</b> what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in <b>Part VI</b> , including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).		
b	<b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
c	<b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?		
6	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If "Yes," provide detail in <b>Part VI</b> .		
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).		
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).		
9a	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If "Yes," provide detail in <b>Part VI</b> .		
b	Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? If "Yes," provide detail in <b>Part VI</b> .		
c	Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If "Yes," provide detail in <b>Part VI</b> .		
10a	Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If "Yes," answer 10b below.		
b	Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)		

**Part IV Supporting Organizations (continued)**

		Yes	No
11	Has the organization accepted a gift or contribution from any of the following persons?		
a	A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	11a	
b	A family member of a person described in (a) above?	11b	
c	A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in <b>Part VI</b> .	11c	

**Section B. Type I Supporting Organizations**

		Yes	No
1	Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in <b>Part VI</b> how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.	1	
2	Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in <b>Part VI</b> how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.	2	

**Section C. Type II Supporting Organizations**

		Yes	No
1	Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in <b>Part VI</b> how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).	1	

**Section D. All Type III Supporting Organizations**

		Yes	No
1	Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1	
2	Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in <b>Part VI</b> how the organization maintained a close and continuous working relationship with the supported organization(s).	2	
3	By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in <b>Part VI</b> the role the organization's supported organizations played in this regard.	3	

**Section E. Type III Functionally Integrated Supporting Organizations**

1	Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).			
a	<input type="checkbox"/> The organization satisfied the Activities Test. Complete <b>line 2</b> below.			
b	<input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete <b>line 3</b> below.			
c	<input type="checkbox"/> The organization supported a governmental entity. Describe in <b>Part VI</b> how you supported a government entity (see instructions).			
2	Activities Test. <b>Answer (a) and (b) below.</b>		Yes	No
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in <b>Part VI</b> identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.	2a		
b	Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in <b>Part VI</b> the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.	2b		
3	Parent of Supported Organizations. <b>Answer (a) and (b) below.</b>			
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in <b>Part VI</b> .	3a		
b	Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Yes," describe in <b>Part VI</b> the role played by the organization in this regard.	3b		

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

**1**  Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

<b>Section A - Adjusted Net Income</b>		(A) Prior Year	(B) Current Year (optional)
<b>1</b> Net short-term capital gain	<b>1</b>		
<b>2</b> Recoveries of prior-year distributions	<b>2</b>		
<b>3</b> Other gross income (see instructions)	<b>3</b>		
<b>4</b> Add lines 1 through 3.	<b>4</b>		
<b>5</b> Depreciation and depletion	<b>5</b>		
<b>6</b> Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	<b>6</b>		
<b>7</b> Other expenses (see instructions)	<b>7</b>		
<b>8 Adjusted Net Income</b> (subtract lines 5, 6, and 7 from line 4).	<b>8</b>		

<b>Section B - Minimum Asset Amount</b>		(A) Prior Year	(B) Current Year (optional)
<b>1</b> Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):			
<b>a</b> Average monthly value of securities	<b>1a</b>		
<b>b</b> Average monthly cash balances	<b>1b</b>		
<b>c</b> Fair market value of other non-exempt-use assets	<b>1c</b>		
<b>d Total</b> (add lines 1a, 1b, and 1c)	<b>1d</b>		
<b>e Discount</b> claimed for blockage or other factors (explain in detail in <b>Part VI</b> ):			
<b>2</b> Acquisition indebtedness applicable to non-exempt-use assets	<b>2</b>		
<b>3</b> Subtract line 2 from line 1d.	<b>3</b>		
<b>4</b> Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	<b>4</b>		
<b>5</b> Net value of non-exempt-use assets (subtract line 4 from line 3)	<b>5</b>		
<b>6</b> Multiply line 5 by .035.	<b>6</b>		
<b>7</b> Recoveries of prior-year distributions	<b>7</b>		
<b>8 Minimum Asset Amount</b> (add line 7 to line 6)	<b>8</b>		

<b>Section C - Distributable Amount</b>			Current Year
<b>1</b> Adjusted net income for prior year (from Section A, line 8, Column A)	<b>1</b>		
<b>2</b> Enter 85% of line 1.	<b>2</b>		
<b>3</b> Minimum asset amount for prior year (from Section B, line 8, Column A)	<b>3</b>		
<b>4</b> Enter greater of line 2 or line 3.	<b>4</b>		
<b>5</b> Income tax imposed in prior year	<b>5</b>		
<b>6 Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	<b>6</b>		
<b>7</b> <input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).			

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)**

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in Part VI). See instructions.	
7 <b>Total annual distributions.</b> Add lines 1 through 6.	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions.	
9 Distributable amount for 2017 from Section C, line 6	
10 Line 8 amount divided by line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2017	(iii) Distributable Amount for 2017
1 Distributable amount for 2017 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2017 (reasonable cause required—explain in Part VI). See instructions.			
3 Excess distributions carryover, if any, to 2017			
a			
b From 2013 . . . . .			
c From 2014 . . . . .			
d From 2015 . . . . .			
e From 2016 . . . . .			
f <b>Total</b> of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2017 distributable amount			
i Carryover from 2012 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2017 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2017 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4.			
5 Remaining underdistributions for years prior to 2017, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions.			
6 Remaining underdistributions for 2017. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions.			
7 <b>Excess distributions carryover to 2018.</b> Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2013 . . . . .			
b Excess from 2014 . . . . .			
c Excess from 2015 . . . . .			
d Excess from 2016 . . . . .			
e Excess from 2017 . . . . .			





**SCHEDULE C**  
**(Form 990 or 990-EZ)**

**Political Campaign and Lobbying Activities**

OMB No. 1545-0047

**2017**

Department of the Treasury  
Internal Revenue Service

**For Organizations Exempt From Income Tax Under section 501(c) and section 527**

▶ **Complete if the organization is described below.** ▶ **Attach to Form 990 or Form 990-EZ.**  
▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

**Open to Public Inspection**

**If the organization answered "Yes," on Form 990, Part IV, line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then**

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

**If the organization answered "Yes," on Form 990, Part IV, line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then**

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

**If the organization answered "Yes," on Form 990, Part IV, line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then**

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of organization ROCKEFELLER FAMILY FUND, INC.	Employer identification number 13-6257658
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**Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.**

- 1 Provide a description of the organization's direct and indirect political campaign activities in Part IV. (see instructions for definition of "political campaign activities")
- 2 Political campaign activity expenditures (see instructions) ▶ \$
- 3 Volunteer hours for political campaign activities (see instructions)

**Part I-B Complete if the organization is exempt under section 501(c)(3).**

- 1 Enter the amount of any excise tax incurred by the organization under section 4955 ▶ \$
- 2 Enter the amount of any excise tax incurred by organization managers under section 4955 ▶ \$
- 3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year?  Yes  No
- 4a Was a correction made?  Yes  No
- b If "Yes," describe in Part IV.

**Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).**

- 1 Enter the amount directly expended by the filing organization for section 527 exempt function activities ▶ \$
- 2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities ▶ \$
- 3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b ▶ \$
- 4 Did the filing organization file Form 1120-POL for this year?  Yes  No
- 5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-
(1)				
(2)				
(3)				
(4)				
(5)				
(6)				

**Part II-A** Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

- A** Check  if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).
- B** Check  if the filing organization checked box A and "limited control" provisions apply.

<b>Limits on Lobbying Expenditures</b> (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals												
<b>1a</b>	Total lobbying expenditures to influence public opinion (grass roots lobbying) . . . . .	150,000.													
<b>b</b>	Total lobbying expenditures to influence a legislative body (direct lobbying) . . . . .	205,000.													
<b>c</b>	Total lobbying expenditures (add lines 1a and 1b) . . . . .	355,000.													
<b>d</b>	Other exempt purpose expenditures . . . . .	17,835,088.													
<b>e</b>	Total exempt purpose expenditures (add lines 1c and 1d) . . . . .	18,190,088.													
<b>f</b>	Lobbying nontaxable amount. Enter the amount from the following table in both columns.	1,000,000.													
<table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 50%;">If the amount on line 1e, column (a) or (b) is:</th> <th style="width: 50%;">The lobbying nontaxable amount is:</th> </tr> </thead> <tbody> <tr> <td>Not over \$500,000</td> <td>20% of the amount on line 1e.</td> </tr> <tr> <td>Over \$500,000 but not over \$1,000,000</td> <td>\$100,000 plus 15% of the excess over \$500,000.</td> </tr> <tr> <td>Over \$1,000,000 but not over \$1,500,000</td> <td>\$175,000 plus 10% of the excess over \$1,000,000.</td> </tr> <tr> <td>Over \$1,500,000 but not over \$17,000,000</td> <td>\$225,000 plus 5% of the excess over \$1,500,000.</td> </tr> <tr> <td>Over \$17,000,000</td> <td>\$1,000,000.</td> </tr> </tbody> </table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e.	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.	Over \$17,000,000	\$1,000,000.		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e.														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.														
Over \$17,000,000	\$1,000,000.														
<b>g</b>	Grassroots nontaxable amount (enter 25% of line 1f) . . . . .	250,000.													
<b>h</b>	Subtract line 1g from line 1a. If zero or less, enter -0- . . . . .	0.													
<b>i</b>	Subtract line 1f from line 1c. If zero or less, enter -0- . . . . .	0.													
<b>j</b>	If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? . . . . .		<input type="checkbox"/> Yes <input type="checkbox"/> No												

**4-Year Averaging Period Under section 501(h)**  
(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

<b>Lobbying Expenditures During 4-Year Averaging Period</b>					
Calendar year (or fiscal year beginning in)	(a) 2014	(b) 2015	(c) 2016	(d) 2017	(e) Total
<b>2a</b> Lobbying nontaxable amount	1,000,000.	1,000,000.	1,000,000.	1,000,000.	4,000,000.
<b>b</b> Lobbying ceiling amount (150% of line 2a, column (e))					6,000,000.
<b>c</b> Total lobbying expenditures	687,000.	380,000.	415,000.	355,000.	1,837,000.
<b>d</b> Grassroots nontaxable amount	250,000.	250,000.	250,000.	250,000.	1,000,000.
<b>e</b> Grassroots ceiling amount (150% of line 2d, column (e))					1,500,000.
<b>f</b> Grassroots lobbying expenditures	0.	0.	0.	150,000.	150,000.

**Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).**

	(a)		(b)
	Yes	No	Amount
<i>For each "Yes," response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.</i>			
<b>1</b> During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
<b>a</b> Volunteers?			
<b>b</b> Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?			
<b>c</b> Media advertisements?			
<b>d</b> Mailings to members, legislators, or the public?			
<b>e</b> Publications, or published or broadcast statements?			
<b>f</b> Grants to other organizations for lobbying purposes?			
<b>g</b> Direct contact with legislators, their staffs, government officials, or a legislative body?			
<b>h</b> Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?			
<b>i</b> Other activities?			
<b>j</b> Total. Add lines 1c through 1i			
<b>2a</b> Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?			
<b>b</b> If "Yes," enter the amount of any tax incurred under section 4912			
<b>c</b> If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
<b>d</b> If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

**Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).**

	1	2	3	Yes	No
<b>1</b> Were substantially all (90% or more) dues received nondeductible by members?					
<b>2</b> Did the organization make only in-house lobbying expenditures of \$2,000 or less?					
<b>3</b> Did the organization agree to carry over lobbying and political campaign activity expenditures from the prior year?					

**Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No," OR (b) Part III-A, line 3, is answered "Yes."**

<b>1</b> Dues, assessments and similar amounts from members	<b>1</b>	
<b>2</b> Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
<b>a</b> Current year	<b>2a</b>	
<b>b</b> Carryover from last year	<b>2b</b>	
<b>c</b> Total	<b>2c</b>	
<b>3</b> Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	<b>3</b>	
<b>4</b> If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	<b>4</b>	
<b>5</b> Taxable amount of lobbying and political expenditures (see instructions)	<b>5</b>	

**Part IV Supplemental Information**

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions); and Part II-B, line 1. Also, complete this part for any additional information.

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SCHEDULE D (Form 990)

Department of the Treasury Internal Revenue Service

Supplemental Financial Statements

Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b. Attach to Form 990.

Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2017

Open to Public Inspection

Name of the organization: ROCKEFELLER FAMILY FUND, INC. Employer identification number: 13-6257658

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.

Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

Table with 3 columns: Line number, Description, (a) Donor advised funds, (b) Funds and other accounts. Includes rows for total number, aggregate value of contributions, grants, and end of year, plus two Yes/No questions.

Part II Conservation Easements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

Form for Part II with multiple questions (1-9) regarding conservation easements, including checkboxes for various purposes and a table for lines 2a-2d.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

Form for Part III with questions (1a, 1b, 2) regarding collections of art and historical treasures, including amount fields for revenue and assets.

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)**

- 3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):
- a  Public exhibition
  - b  Scholarly research
  - c  Preservation for future generations
  - d  Loan or exchange programs
  - e  Other \_\_\_\_\_
- 4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.
- 5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?  Yes  No

**Part IV Escrow and Custodial Arrangements.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

- 1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?  Yes  No
- b If "Yes," explain the arrangement in Part XIII and complete the following table:
- |                                 | Amount |
|---------------------------------|--------|
| c Beginning balance             | 1c     |
| d Additions during the year     | 1d     |
| e Distributions during the year | 1e     |
| f Ending balance                | 1f     |
- 2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability?  Yes  No
- b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

**Part V Endowment Funds.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	80,891,007.	79,950,342.	86,892,410.	87,591,588.	82,056,198.
b Contributions	274,312.	244,500.	370,250.	426,073.	450,413.
c Net investment earnings, gains, and losses	10,878,623.	5,506,935.	-2,449,236.	4,300,905.	9,461,072.
d Grants or scholarships	0.	0.	0.	0.	0.
e Other expenditures for facilities and programs	5,017,733.	4,810,770.	4,863,082.	5,426,156.	4,376,095.
f Administrative expenses	0.	0.	0.	0.	0.
g End of year balance	87,026,209.	80,891,007.	79,950,342.	86,892,410.	87,591,588.

- 2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:
- a Board designated or quasi-endowment  85.3%
  - b Permanent endowment  9.64%
  - c Temporarily restricted endowment  5.06%
- The percentages on lines 2a, 2b, and 2c should equal 100%.
- 3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:
- |  | Yes | No |
|--|-----|----|
| (i) unrelated organizations  | X   |    |
| (ii) related organizations   |     | X  |
| b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? |     |    |
| 3b   |     |    |
- 4 Describe in Part XIII the intended uses of the organization's endowment funds.

**Part VI Land, Buildings, and Equipment.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements				
d Equipment		156,605.	151,975.	4,630.
e Other				
<b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.)				4,630.

**Part VII Investments—Other Securities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives . . . . .		
(2) Closely-held equity interests . . . . .		
(3) Other U.S. EQUITY FUNDS	6,707,766.	FMV
(A) NON-U.S. EQUITY FUNDS	17,532,824.	FMV
(B) U.S. FIXED INCOME FUNDS	5,261,748.	FMV
(C) PRIVATE EQUITY FUNDS	4,741,653.	FMV
(D) HEDGE FUNDS	22,334,456.	FMV
(E)		
(F)		
(G)		
(H)		
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 12.) ▶	56,578,447.	

**Part VIII Investments—Program Related.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

**Part IX Other Assets.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	

**Part X Other Liabilities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

**Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.**  
 Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements . . . . .		<b>1</b>	42,434,342.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:			
a	Net unrealized gains (losses) on investments . . . . .	2a		4,001,732.
b	Donated services and use of facilities . . . . .	2b		
c	Recoveries of prior year grants . . . . .	2c		
d	Other (Describe in Part XIII.) . . . . .	2d		70,338.
e	Add lines 2a through 2d . . . . .		2e	4,072,070.
3	Subtract line 2e from line 1 . . . . .		3	38,362,272.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b . . . . .	4a		
b	Other (Describe in Part XIII.) . . . . .	4b		4,924.
c	Add lines 4a and 4b . . . . .		4c	4,924.
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.) . . . . .		5	38,367,196.

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.**  
 Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements . . . . .		<b>1</b>	18,190,088.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:			
a	Donated services and use of facilities . . . . .	2a		
b	Prior year adjustments . . . . .	2b		
c	Other losses . . . . .	2c		
d	Other (Describe in Part XIII.) . . . . .	2d		
e	Add lines 2a through 2d . . . . .		2e	
3	Subtract line 2e from line 1 . . . . .		3	18,190,088.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b . . . . .	4a		
b	Other (Describe in Part XIII.) . . . . .	4b		
c	Add lines 4a and 4b . . . . .		4c	
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.) . . . . .		5	18,190,088.

**Part XIII Supplemental Information.**

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Pt X, Line 2: THE FUND FOLLOWS THE PROVISIONS OF ACCOUNTING STANDARDS CODIFICATION

(ASC) SUBTOPIC 740-10, INCOME TAXES-OVERALL, WHICH ADDRESSES THE ACCOUNTING FOR

UNCERTAINTIES IN INCOME TAXES RECOGNIZED IN AN ORGANIZATION'S CONSOLIDATED FINANCIAL

STATEMENTS AND PRESCRIBES A THRESHOLD OF MORE LIKELY THAN NOT FOR RECOGNITION

AND DERECOGNITION OF TAX POSITIONS TAKEN OR EXPECTED TO BE TAKEN IN A TAX RETURN.

ASC SUBTOPIC 740-10 ALSO PROVIDES RELATED GUIDANCE ON MEASUREMENT CLASSIFICATION,

INTEREST AND PENALTIES, AND DISCLOSURES. THE FUND HAS CONCLUDED THAT THERE WERE

NO INCOME TAX UNCERTAINTIES TO DISCLOSE.

Pt XI, Line 2d: OTHER REPRESENTS AMOUNT NOT YET RECOGNIZED AS A COMPONENT OF

NET PERIODIC BENEFIT COST- \$70,338.



**Part XIII** Supplemental Information *(continued)*

Pt XI, Line 4b: OTHER REPRESENTS PASS-THROUGH UBTI FROM ALTERNATIVE INVESTMENTS-\$4,924.

Pt V, Line 4: THE ORGANIZATION INTENDS TO USE ITS ENDOWMENT FUNDS TO PROVIDE  
FUNDING AND SUPPORT FOR ITS PROGRAMS IN ACCORDANCE WITH APPLICABLE DONOR RESTRICTIONS.

**SCHEDULE F  
(Form 990)**

**Statement of Activities Outside the United States**

OMB No. 1545-0047

**2017**

**Open to Public  
Inspection**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 14b, 15, or 16.  
▶ Attach to Form 990.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

Department of the Treasury  
Internal Revenue Service

Name of the organization

ROCKEFELLER FAMILY FUND, INC.

Employer identification number

13-6257658

**Part I** General Information on Activities Outside the United States. Complete if the organization answered "Yes" on Form 990, Part IV, line 14b.

**1 For grantmakers.** Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance?  Yes  No

**2 For grantmakers.** Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

**3 Activities per Region.** (The following Part I, line 3 table can be duplicated if additional space is needed.)

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in the region	(d) Activities conducted in the region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in the region	(f) Total expenditures for and investments in the region
(1) Central America	0	0	INVESTMENT		10,648,940.
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					
(8)					
(9)					
(10)					
(11)					
(12)					
(13)					
(14)					
(15)					
(16)					
(17)					
<b>3a</b> Sub-total . . . . .	0	0			10,648,940.
<b>b</b> Total from continuation sheets to Part I . . . . .					
<b>c Totals</b> (add lines 3a and 3b)	0	0			10,648,940.

For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule F (Form 990) 2017

**Part II** **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of noncash assistance	(h) Description of noncash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)									
(2)									
(3)									
(4)									
(5)									
(6)									
(7)									
(8)									
(9)									
(10)									
(11)									
(12)									
(13)									
(14)									
(15)									
(16)									

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . ▶

3 Enter total number of other organizations or entities . . . . . ▶

**Part III** **Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 16.  
Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of noncash assistance	(g) Description of noncash assistance	(h) Method of valuation (book, FMV, appraisal, other)
(1)							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

**Part IV Foreign Forms**

- 1 Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926).* . . . . .  Yes  No
  
- 2 Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return To Report Transactions With Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990).* . . . . .  Yes  No
  
- 3 Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons With Respect To Certain Foreign Corporations (see Instructions for Form 5471).* . . . . .  Yes  No
  
- 4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund (see Instructions for Form 8621).* . . . . .  Yes  No
  
- 5 Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons With Respect to Certain Foreign Partnerships (see Instructions for Form 8865).* . . . . .  Yes  No
  
- 6 Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990).* . . . . .  Yes  No

**Part V** Supplemental Information

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information. See instructions.

Pt I Line 2: THE FAMILY FUND MONITORS THE USE OF GRANT FUNDS IN A VARIETY OF  
WAYS. RFF REQUIRES AN ANNUAL NARRATIVE REPORT OF ACTIVITIES FINANCED BY THE  
GRANT AND LARGER GRANTEE PROJECT OF WHICH THE GRANT IS A PART, IF RELEVANT, AND  
A FINANCIAL REPORT DETAILING THE EXPENDITURE OF GRANT FUNDS. LARGER GRANTS ARE  
DISTRIBUTED IN AT LEAST TWO PAYMENTS, WITH THE LATER PAYMENT RELEASED ONLY AFTER  
REVIEW OF THE GRANTEE'S WORK DURING THE PREVIOUS PERIOD. FOR SIGNIFICANT GRANTS,  
RFF REGULARLY SPEAKS WITH THE GRANTEE THROUGHOUT THE GRANT PERIOD TO ASSESS THE  
GRANTEE'S PERFORMANCE AND DISCUSS CORRECTIVE ACTION, IF NECESSARY.

Pt I Line 3 Col (F): INVESTMENTS IN THE REGION OF CENTRAL AMERICA AND THE CARIBBEAN  
CONSIST OF A DIRECT INVESTMENT IN A HEDGE FUND AS WELL AS AN INVESTMENT IN A  
FUND OF FUNDS THAT INVESTS IN VARIOUS FINANCIAL MARKETS WORLDWIDE.

**SCHEDULE I  
(Form 990)**

**Grants and Other Assistance to Organizations,  
Governments, and Individuals in the United States**

OMB No. 1545-0047

**2017**

**Open to Public  
Inspection**

Department of the Treasury  
Internal Revenue Service

Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

▶ Attach to Form 990.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

Name of the organization

ROCKEFELLER FAMILY FUND, INC.

Employer identification number

13-6257658

**Part I General Information on Grants and Assistance**

- 1** Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance?  Yes  No
- 2** Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

**Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments.** Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) SEE SCHEDULE I-1							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							

**2** Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ▶ 131

**3** Enter total number of other organizations listed in the line 1 table ▶ 5

For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule I (Form 990) (2017)

BAA

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SCHEDULE I-1		Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.								
FORM 990								2017		
ROCKEFELLER FAMILY FUND, INC.							EIN:	13-6257658		
(a) Name of organization	address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance		
350.org	20 Jay Street, Suite 732 Brooklyn NY 11201-8352	26-1150699	501(c)(3)	\$15,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
350.org	20 Jay Street, Suite 732 Brooklyn NY 11201-8352	26-1150699	501(c)(3)	\$15,000.00	NONE	N/A	N/A	General support.	Little Big Fund	
A Better Balance	80 Maiden Ln Rm 608 New York NY 10038-4954	20-3664771	501(c)(3)	\$50,000.00	NONE	N/A	N/A	Legal Support for Paid Sick Time, Paid Family Leave and Other Family Friendly Policies	Economic Justice for Women	
A Better Balance	80 Maiden Ln Rm 608 New York NY 10038-4954	20-3664771	501(c)(3)	\$165,000.00	NONE	N/A	N/A	Defending Local Democracy Project (providing legal support for Local Solutions Support Center)	Local Solutions Support Center	
A Better Balance	80 Maiden Ln Rm 608 New York NY 10038-4954	20-3664771	501(c)(3)	\$90,000.00	NONE	N/A	N/A	For work on the preemption legal analysis project.	Women Effect Fund	
A Better Balance	80 Maiden Ln Rm 608 New York NY 10038-4954	20-3664771	501(c)(3)	\$105,500.00	NONE	N/A	N/A	Work on legal technical assistance, as well as developing additional public-facing materials from the original legal research.	Women Effect Fund	
Advancement Project	11220 L Street NW, Suite 850 Washington DC 20005	95-4835230	501(c)(3)	\$15,000.00	NONE	N/A	N/A	General support.	Little Big Fund	
Alliance for a Green Economy	2013 East Genesee Street Syracuse NY 13210	46-1585846	501(c)(3)	\$10,000.00	NONE	N/A	N/A	For public education efforts on the financial bailout of New York's upstate nuclear reactors.	Independent Council for Safe Energy	
Alliance for Global Justice	225 East 26th Street, Suite 1 Tucson AZ 85713	52-2094677	501(c)(3)	\$10,000.00	NONE	N/A	N/A	Support for Fossil Fuel Divestment Student Network	Little Big Fund	
Alliance for Justice	Eleven DuPont Circle NW, Suite 500 Washington DC 20035	52-1009973	501(c)(3)	\$20,000.00	NONE	N/A	N/A	Justice Program	Institutional Accountability and Individual Liberties	
Alliance for Youth Organizing	810 7th St Ne Washington DC 20002-3510	45-2455621	501(c)(3)	\$50,000.00	NONE	N/A	N/A	General support.	Alki Fund	
Alliance for Youth Organizing	810 7th St Ne Washington DC 20002-3510	45-2455621	501(c)(3)	\$200,000.00	NONE	N/A	N/A	General support.	Alki Fund	
Appalachian Citizens Law Center	317 Main Street Whitesburg KY 41858	61-1401589	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To advance a just economic transition in central Appalachia by ensuring that citizens are equipped to address the long-standing health, environmental, and social legacies of the coal industry.	Just Transition Fund	
Appalachian Citizens Law Center	317 Main Street Whitesburg KY 41858	61-1401589	501(c)(3)	\$15,000.00	NONE	N/A	N/A	H-election funding to support work on just transition	Just Transition Fund	
Appalachian Headwaters	P.O. Box 1500 Lewinsburg KY 24901	81-1405442	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To restore native hardwood forests on former surface mines.	Just Transition Fund	



SCHEDULE I-1		Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.								
FORM 990								2017		
ROCKEFELLER FAMILY FUND, INC.							EIN:	13-6257658		
(a) Name of organization	Address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance		
Appalachian Mountain Advocates	Po Box 507 Lewisburg WV 24901-0507	55-0781483	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To combat natural gas development	Environment	
Appalachian Sustainable Development	1096 Ole Berry Road, Suite 100 Abingdon VA 24212-0791	31-1445533	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To organize community partnerships & conduct 3 stakeholder engagement meetings to identify scope of work for a proposal to the EDA's Assistance for Coal Communities initiative	Just Transition Fund	
Appalachian Voices	589 West King Street Boone NC 28607	58-2049956	501(c)(3)	\$25,000.00	NONE	N/A	N/A	2017 Assistance to Coal Communities grant that will fund the implementation of projects from the Roadmap for Solar Development project.	Just Transition Fund	
Appalachian Voices	589 West King Street Boone NC 28607	58-2049956	501(c)(3)	\$35,000.00	NONE	N/A	N/A	H-election grant to host a fly-in in support of the RECLAIM Act.	Just Transition Fund	
Blue Green Alliance Foundation	1300 Godward Street NE, Suite 2625 Minneapolis MN 55413	20-3477309	501(c)(3)	\$8,000.00	NONE	N/A	N/A	H-election grant to host a fly-in in support of the RECLAIM Act.	Just Transition Fund	
Bold Education Fund	208 S Burlington Ave Box 326 Suite 103, Box 326 Hasbungs IE 68901	45-5369198	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support the pipelines and property rights project	Changing Horizons Fund	
Brennan Center for Justice at NYU School of Law	120 Broadway, Suite 1750 New York NY 10271-0002	13-3839293	501(c)(3)	\$30,000.00	NONE	N/A	N/A	Ending Mass Incarceration/Economic Harms of Mass Incarceration	Institutional Accountability and Individual Liberties	
Brennan Center for Justice at NYU School of Law	120 Broadway, Suite 1750 New York NY 10271-0002	13-3839293	501(c)(3)	\$10,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
Brennan Center for Justice at NYU School of Law	120 Broadway, Suite 1750 New York NY 10271-0002	13-3839293	501(c)(3)	\$10,000.00	NONE	N/A	N/A	General support.	Little Big Fund	
Carbon Cycle Institute	245 Kentucky St Ste A Petaluma CA 94952-2877	48-2694752	501(c)(3)	\$15,000.00	NONE	N/A	N/A	General support efforts to promote policies and programs that help ranchers and farmers in California sequester carbon emissions through land management strategies.	A Better Tomorrow Fund	
Carpe Diem West	209 Caledonia Street, 2nd Floor Sausalito CA 94965-2926	94-3373078	501(c)(3)	\$50,000.00	NONE	N/A	N/A	General support.	Alki Fund	
Center For American Progress	1333 H Street NW, 10th Floor Washington DC 20005-4746	30-0126510	501(c)(3)	\$75,000.00	NONE	N/A	N/A	Defending and Advancing Women's Progress	Economic Justice for Women	
Center For American Progress	1333 H Street NW, 10th Floor Washington DC 20005-4746	30-0126510	501(c)(3)	\$15,000.00	NONE	N/A	N/A	To support CAP's Women's Initiative.	Women Effect Fund	
Center for Auto Safety	1825 Connecticut Ave, NW, Suite 330 Washington DC 20009-5725	52-0902868	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support the Safe Climate Campaign.	Changing Horizons Fund	
Center for Constitutional Rights	666 Broadway 7th Flr New York NY 10012-2317	22-6082880	501(c)(3)	\$10,000.00	NONE	N/A	N/A	General support.	Little Big Fund	

SCHEDULE I-1		Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.						
FORM 990		2017						
ROCKEFELLER FAMILY FUND, INC.		EIN: 13-6257658						
(a) Name of organization	address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance
Center for Constitutional Rights	666 Broadway 7Th Flr New York NY 10012-2317	22-6082880	501(c)(3)	\$20,000.00	NONE	N/A	N/A	For general support.
Center For Food Safety	303 Sacramento Street, 2nd Floor San Francisco CA 94111	52-2165893	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To support the Soil Solutions Campaign and programs to help promote carbon sequestration through farming and land management practices.
Center For Media And Democracy Inc	PO Box 259010 Madison WI 53725	39-1777402	501(c)(3)	\$265,000.00	NONE	N/A	N/A	To support their strategic research program.
Center for Popular Democracy	449 Troutman Street, Suite A Brooklyn NY 11237	45-3813436	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support the Fossil Fuel Accountability Initiative
Center for Popular Democracy	449 Troutman Street, Suite A Brooklyn NY 11237	45-3813436	501(c)(3)	\$180,000.00	NONE	N/A	N/A	Economic Justice Program
Center for Popular Democracy	449 Troutman Street, Suite A Brooklyn NY 11237	45-3813436	501(c)(3)	\$200,000.00	NONE	N/A	N/A	To support CPD's economic justice program.
Center for Rural Strategies	46 East Main Street Whitesburg KY 41858	61-1379952	501(c)(3)	\$15,000.00	NONE	N/A	N/A	Communications strategy summit that will explore how partners can align strategies and messages as part of a broader effort to advance the just transition movement in Appalachia.
Center for Rural Strategies	46 East Main Street Whitesburg KY 41858	61-1379952	501(c)(3)	\$25,000.00	NONE	N/A	N/A	To design and implement a strategic communications plan that supports and enlivens efforts to move Central Appalachia toward an economy that is greener, more sustainable, and fairer for marginalized communities.
Chesapeake Climate Action Network	P.O. Box 11138 Takoma Park MD 20912	11-3644283	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support the Network's environment program
Chester River Association	400 S Cross Street, Suite 2 Chestertown MD 21620	52-2147118	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support efforts to limit water pollution by reducing the use of fertilizer
Clarkson University	Box 5564 Potsdam NY 13699-0001	15-0543659	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To support RFF's Perennial Agriculture and Education Project
Clean Air Coalition of Western New York	52 Linwood Ave Buffalo NY 14205	27-0746038	501(c)(3)	\$25,000.00	NONE	N/A	N/A	Economic transition project
Clean Air Coalition of Western New York	52 Linwood Ave Buffalo NY 14209	27-0746038	501(c)(3)	\$25,000.00	NONE	N/A	N/A	Development Agency and Engineering Department to form and lead an implementation team that will undertake activities to advance a just transition in Tonawanda.
Clean Air Coalition of Western New York	52 Linwood Ave Buffalo NY 14209	27-0746038	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To launch a national power plant working group to explore a beltway policy advocacy strategy that provides long-term support for diversified, community driven, equitable economies.
Climate Solutions	1402 3rd Avenue, Suite 1305 Olympia WA 98501	91-1123302	501(c)(3)	\$60,000.00	NONE	N/A	N/A	Support for coordination of the Stand Up to Coal and the Power Past Coal campaigns

SCHEDULE I-1		Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.						
FORM 990		2017						
ROCKEFELLER FAMILY FUND, INC.		EIN: 13-6257658						
(a) Name of organization	Address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance
Columbia University	Graduate School of Journalism 2950 Broadway New York NY 10027	13-5598093	501(c)(3)	\$50,000.00	NONE	N/A	N/A	For the Private Rights/Public Conscience Project at the Center for Gender and Sexuality.
								Alki Fund
Columbia University	Graduate School of Journalism 2950 Broadway New York NY 10027	13-5598093	501(c)(3)	\$30,000.00	NONE	N/A	N/A	For its Columbia Journalism Investigations Initiative.
								Changing Horizons Fund
Columbia University	Graduate School of Journalism 2950 Broadway New York NY 10027	13-5598093	501(c)(3)	\$25,000.00	NONE	N/A	N/A	For the Columbia Journalism Investigations initiative.
								Emerging Opportunities
Columbia University	Graduate School of Journalism 2950 Broadway New York NY 10027	13-5598093	501(c)(3)	\$50,000.00	NONE	N/A	N/A	For the Columbia Journalism Investigations initiative.
								Environment
Community Catalyst Inc	One Federal Street Boston MA 02110	04-3355127	501(c)(3)	\$100,000.00	NONE	N/A	N/A	Fiscal sponsor of raising Women's Voices for general support.
								Alki Fund
Community Catalyst Inc	One Federal Street Boston MA 02110	04-3355127	501(c)(3)	\$25,000.00	NONE	N/A	N/A	501(h) election funding for their work on women's healthcare and the Affordable Healthcare Act in Tennessee and Maine.
								Women Effect Fund
Conservation Law Foundation	62 Summer Street Boston MA 02110	04-6149986	501(c)(3)	\$125,000.00	NONE	N/A	N/A	To support the Environmental Justice Project.
								Climate Education Fund
Delta Institute	35 E. Wacker Drive, Suite 1200 Chicago IL 60601	35-4210191	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To help communities and regions plan for the closure and potential reuse of their coal plants in a way that promotes environmentally sustainable and socially equitable economic development.
								Just Transition Fund
Delta Institute	35 E. Wacker Drive, Suite 1200 Chicago IL 60601	35-4210191	501(c)(3)	\$16,000.00	NONE	N/A	N/A	Power Plant Community Tax Base Research project
								Just Transition Fund
Democracy North Carolina	1821 Green St Durham NC 277054185	56-2271150	501(c)(3)	\$25,000.00	NONE	N/A	N/A	We Are Democracy
								Institutional Accountability and Individual Liberties
Diné Citizens Against Running our Environment	10A Town Plaza, Pmb 138 Durango CO 81301	86-0670809	501(c)(3)	\$15,000.00	NONE	N/A	N/A	To support work on economic transition surrounding the future closure of the Navajo Generating Station.
								Just Transition Fund
Dogwood Alliance Inc	126 Baltimore Avenue Asheville NC 28806	58-2139120	501(c)(3)	\$8,000.00	NONE	N/A	N/A	For educating funders about biomass.
								Carbon Intensive Fuel Fund
EarthRights International	1612 K Street NW, Suite 401 Washington DC 20006-2826	04-3265555	501(c)(3)	\$30,000.00	NONE	N/A	N/A	For its Climate Corporate Accountability Initiative.
								Changing Horizons Fund
EarthRights International	1612 K Street NW, Suite 401 Washington DC 20006-2826	04-3265555	501(c)(3)	\$50,000.00	NONE	N/A	N/A	Climate Change Corporate Accountability Program
								Environment
EarthRights International	1612 K Street NW, Suite 401 Washington DC 20006-2826	04-3265555	501(c)(3)	\$10,000.00	NONE	N/A	N/A	For general support.
								Little Big Fund

SCHEDULE I-1		Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.								
FORM 990									2017	
ROCKEFELLER FAMILY FUND, INC.									EIN: 13-6257658	
(a) Name of organization	address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance		
EarthRights International	1612 K Street NW, Suite 401 Washington DC 20006-2826	04-3265555	501(c)(3)	\$10,000.00	NONE	N/A	N/A	General support.	Little Big Fund	
Earthworks	1612 K Street NW, Suite 808 Washington DC 20006	52-1557765	501(c)(3)	\$100,000.00	NONE	N/A	N/A	For the Oil and Gas Accountability Project (\$50,000) and the Integrated Voter Engagement project (\$50,000).	Allu Fund	
El Puente de Williamsburg	211 South 4th Street Brooklyn NY 11211	11-2614265	501(c)(3)	\$10,000.00	NONE	N/A	N/A	For work to build a low-carbon electric system in Puerto Rico in the aftermath of Hurricane Maria.	Carbon Intensive Fuel Fund	
El Puente de Williamsburg	211 South 4th Street Brooklyn NY 11211	11-2614265	501(c)(3)	\$30,000.00	NONE	N/A	N/A	For work to procure and deliver solar generators, lanterns, and cell phone charges to Puerto Rico on an emergency basis, and, in doing so, lay the foundation for sustainable green energy as a substantial part of the island's energy future.	Changing Horizons Fund	
El Puente de Williamsburg	211 South 4th Street Brooklyn NY 11211	11-2614265	501(c)(3)	\$20,000.00	NONE	N/A	N/A	Support for the Hurricane Relief Solar Energy Fund	Environment	
El Puente de Williamsburg	211 South 4th Street Brooklyn NY 11211	11-2614265	501(c)(3)	\$75,000.00	NONE	N/A	N/A	For the Latino Climate Action Network (LCAN)	Environment	
Environmental Advocates of New York	353 Hamilton Street Albany NY 12210	22-2360736	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support the Fossil Fuel Accountability Initiative	Changing Horizons Fund	
Environmental Integrity Project	919 18th Street NW, Suite 975 Washington DC 20006-5503	20-1326922	501(c)(3)	\$100,000.00	NONE	N/A	N/A	To support its biomass work.	Carbon Intensive Fuel Fund	
Environmental Integrity Project	919 18th Street NW, Suite 975 Washington DC 20006-5503	20-1326922	501(c)(3)	\$30,000.00	NONE	N/A	N/A	General support	Changing Horizons Fund	
Environmental Integrity Project	919 18th Street NW, Suite 975 Washington DC 20006-5503	20-1326922	501(c)(3)	\$10,000.00	NONE	N/A	N/A	General support	Little Big Fund	
Environmental Integrity Project	919 18th Street NW, Suite 975 Washington DC 20006-5503	20-1326922	501(c)(3)	\$15,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
Environmental Working Group	1436 U Street NW, Suite 100 Washington DC 20005-3667	52-2148600	501(c)(3)	\$30,000.00	NONE	N/A	N/A	For its Carbon Negative Initiative.	Changing Horizons Fund	
Environmental Working Group	1436 U Street NW, Suite 100 Washington DC 20009-3987	52-2148600	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To help scope out the potential for changes in agricultural management and land use to contribute to slowing the rate of climate change.	Climate Education Fund	
Fair Elections Center	1825 K Street NW, Suite 450 Washington DC 20006	81-5447067	501(c)(3)	\$15,000.00	NONE	N/A	N/A	General support.	Little Big Fund	
Florida Institute for Reform & Empowerment	134 E Colonial Dr Orlando FL 32801-1234	27-4384675	501(c)(3)	\$50,000.00	NONE	N/A	N/A	To support voter engagement efforts.	Women Effect Fund	

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Fordham University	150 W 62nd Street New York NY 10023	13-1740451	501(c)(3)	\$18,605.00	NONE	N/A	N/A	General support.	Women Effect Fund	
Foundation for Appalachian Kentucky, Inc.	420 Main Street Hazard KY 41701	61-1329396	501(c)(3)	\$15,000.00	NONE	N/A	N/A	Planning project that will allow partners to work towards a common vision that will attract public and private investment for increased economic activity in Appalachian Kentucky.	Just Transition Fund	
Foundation for Appalachian Kentucky, Inc.	420 Main Street Hazard KY 41701	61-1329396	501(c)(3)	\$25,000.00	NONE	N/A	N/A	\$15,000 for a study that will examine the financial feasibility of developing a self-sustained coalfield-focused Community Development Corporation. \$10,000 to support the Appalachian Impact Initiative	Just Transition Fund	
Foundation for Louisiana	4354 S Sherwood Foreste Blvd Ste 10 Baton Rouge LA 70816-4476	20-3399944	501(c)(3)	\$10,000.00	NONE	N/A	N/A	Support the Greater New Orleans Funders Network's Criminal Justice Action Table through hiring a consultant to develop a communications strategy	Criminal Legal Reform Initiative	
Foundation for Pennsylvania Watersheds	9697 Loop Road Alexandria PA 15678	20-8746105	501(c)(3)	\$15,000.00	NONE	N/A	N/A	To encourage the reclamation of abandoned mine lands in Pennsylvania.	Just Transition Fund	
Foundation for Pennsylvania Watersheds	9697 Loop Road Alexandria PA 15678	20-8746105	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To support on-going work within Pennsylvania for transitional economies.	Just Transition Fund	
Franklin and Eleanor Roosevelt Institute	570 Lexington Avenue, 5th Floor New York NY 10022	23-7213592	501(c)(3)	\$30,000.00	NONE	N/A	N/A	Police Brutality Bond Research Project	Institutional Accountability and Individual Liberties	
FUSE Innovation Fund	1402 3Rd Ave Ste 405 Seattle WA 98101-2118	87-0800705	501(c)(3)	\$20,000.00	NONE	N/A	N/A	General support. Of this amount, \$30,000 is payable now, and \$20,000 is payable upon confirmation of a 1:1 match of funding from new sources.	Alki Fund	
Government Accountability Project	1612 K Street NW, Suite 1100 Washington DC 20006	52-1343924	501(c)(3)	\$75,000.00	NONE	N/A	N/A	Whistleblower Initiative for Truth	Alki Fund	
Government Accountability Project	1612 K Street NW, Suite 1100 Washington DC 20006	52-1343924	501(c)(3)	\$30,000.00	NONE	N/A	N/A	For the environment program	Changing Horizons Fund	
Government Accountability Project	1612 K Street NW, Suite 1100 Washington DC 20006	52-1343924	501(c)(3)	\$75,000.00	NONE	N/A	N/A	To support its climate work.	Climate Education Fund	
Government Accountability Project	1612 K Street NW, Suite 1100 Washington DC 20006	52-1343924	501(c)(3)	\$10,000.00	NONE	N/A	N/A	General Support.	Little Big Fund	
Government Accountability Project	1612 K Street NW, Suite 1100 Washington DC 20006	52-1343924	501(c)(3)	\$15,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
Grand Canyon Trust	2601 North Fort Valley Road Flagstaff AZ 86001	86-0512633	501(c)(3)	\$30,000.00	NONE	N/A	N/A	Economic transition surrounding the future closure of the Navajo Generating Station	Just Transition Fund	
Green Forests Work	221 Thomas Poe Cooper Building Lexington KY 40546-0001	46-1296612	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To re-establish healthy and productive forests on formerly mined lands and create economic opportunities through "green jobs" in Appalachia.	Just Transition Fund	

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GreenFaith	101 S 3rd Avenue, Apt 12 Highland Park NJ 08904	22-3452273	501(c)(3)	\$20,000.00	NONE	N/A	N/A	Support the climate march and associated events.	Climate Education Fund	
Grnt Magazine	1201 Western Avenue, Suite 410 Seattle WA 98101	06-1664153	501(c)(3)	\$35,000.00	NONE	N/A	N/A	Support for its climate justice and politics coverage.	Alki Fund	
Gun Violence Archive, Inc.	1030 15th Street NW Washington DC 20036-4504	46-3582959	501(c)(3)	\$74,500.00	NONE	N/A	N/A	General support	Klein Fund, Michael	
Headwaters Economics	P.O. Box 7059 Bozeman MT 59715	74-3171967	501(c)(3)	\$25,000.00	NONE	N/A	N/A	To convene a focused discussion on fiscal policy for transitioning coal communities in the West.	Just Transition Fund	
Initiative Foundation	405 First Street SE Little Falls MN 56345	36-3451562	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To help guide a community engagement process that will explore workforce and tax-based changes in Sherburne County pending the decommissioning of two coal-fired generation units in the county.	Just Transition Fund	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$15,000.00	NONE	N/A	N/A	Support for the fossil fuel analysis report.	Carbon Intensive Fuel Fund	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$30,000.00	NONE	N/A	N/A	For general support for its domestic programs.	Changing Horizons Fund	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$95,000.00	NONE	N/A	N/A	General support.	Environment	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$15,000.00	NONE	N/A	N/A	To support communities facing closures of coal-fired power plants or coal mines by helping them develop new strategies to support workers, communities, and local taxes during a time of transition.	Just Transition Fund	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$15,000.00	NONE	N/A	N/A	To help western transition advocates predict mining closures by creating a database that will track and clarify the timing and location of coal-fired generation closures and potential coal mine distress and closures in the Power River Basin.	Just Transition Fund	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$25,000.00	NONE	N/A	N/A	Moving Forward: Planning an Economic Transition for Workers and Communities Affected by the Closings of the Navajo Generating Station and Kayenta Mine	Just Transition Fund	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$10,000.00	NONE	N/A	N/A	Oil and gas programmatic work.	Little Big Fund	
Institute for Energy Economics and Financial Analysis	River's Edge 3430 Rocky River Drive Cleveland OH 44111	45-4244605	501(c)(3)	\$15,000.00	NONE	N/A	N/A	For oil and gas programmatic work.	Little Big Fund	

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Institute for Governance & Sustainable Development	2300 Wisconsin Avenue NW, Suite 300B Washington DC 20007	81-0616238	501(c)(3)	\$50,000.00	NONE	N/A	N/A	Support for IGSD's Center for Climate Integrity	Climate Education Fund
Institute for Governance & Sustainable Development	2300 Wisconsin Avenue NW, Suite 300B Washington DC 20007	81-0616238	501(c)(3)	\$70,000.00	NONE	N/A	N/A	To support the Center for Climate Integrity.	Climate Education Fund
Institute for Governance & Sustainable Development	2300 Wisconsin Avenue NW, Suite 300B Washington DC 20007	81-0616238	501(c)(3)	\$115,000.00	NONE	N/A	N/A	Support for the Climate Education & Litigation Project.	Climate Education Fund
Institute for Governance & Sustainable Development	2300 Wisconsin Avenue NW, Suite 300B Washington DC 20007	81-0616238	501(c)(3)	\$250,000.00	NONE	N/A	N/A	Support for Climate Education & Litigation Project.	Climate Education Fund
Institute for Governance & Sustainable Development	2300 Wisconsin Avenue NW, Suite 300B Washington DC 20007	81-0616238	501(c)(3)	\$525,000.00	NONE	N/A	N/A	Support for Climate Education & Litigation Project	Climate Education Fund
Institute for Governance & Sustainable Development	2300 Wisconsin Avenue NW, Suite 300B Washington DC 20007	81-0616238	501(c)(3)	\$10,000.00	NONE	N/A	N/A	Climate Education & Litigation Project	Little Big Fund
Justice Policy Institute	1012 14th Street NW, Suite 400 Washington DC 20005	20-0102713	501(c)(3)	\$30,000.00	NONE	N/A	N/A	Reframing Reinvestment and America's Approach to Violence	Institutional Accountability and Individual Liberties
Kentuckians for the Commonwealth	P.O. Box 1450 London KY 40743	31-1113237	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To undertake the Empower Kentucky campaign that will draft a blueprint for a new clean energy economy in Kentucky.	Just Transition Fund
League of Conservation Voters Education Fund	1480 15th Street NW, Suite 700 Washington DC 20005	52-1379661	501(c)(3)	\$125,000.00	NONE	N/A	N/A	Support for CHISPA's outreach to Latino communities on climate change and environmental issues.	Alki Fund
Little Village Environmental Justice Organization	2445 S Spaulding Ave Chicago IL 60623-4018	36-4259477	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To lead a series of stakeholder planning meetings and community outreach efforts in the Little Village community of Chicago	Just Transition Fund
Louisiana Bucket Brigade	2803 Saint Philip Street New Orleans LA 70119	72-1488935	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support its campaign to stop the Bayou Bridge Pipeline.	Changing Horizons Fund
Medical Students for Choice	Po Box 48935 Philadelphia PA 19107-0935	20-5263777	501(c)(3)	\$75,000.00	NONE	N/A	N/A	General support.	Alki Fund
Mexican American Legal Defense & Education Fund (MALDEF)	634 S Spring St 11th Floor Los Angeles CA 90014-3921	74-1563270	501(c)(3)	\$15,000.00	NONE	N/A	N/A	General support.	Little Big Fund
Military Religious Freedom Foundation	13170-B Central Avenue SE, Suite 255 Albuquerque NM 87123	20-3967302	501(c)(3)	\$156,000.00	NONE	N/A	N/A	General support.	Wm. B Wiener Jr. Fund

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Minnesota Voice	1500 University Avenue, Suite 309 Saint Paul MN 55104	46-4457692	501(c)(3)	\$82,650.00	NONE	N/A	N/A	General support.	Fair Share Fund	
Mothers Out Front	30 Bow Street Cambridge MA 02138	46-5758600	501(c)(3)	\$25,000.00	NONE	N/A	N/A	General support	Environment	
NARAL Pro-Choice America Foundation	1156 15th Street NW, Suite 700 Washington DC 20005	52-1100361	501(c)(3)	\$50,000.00	NONE	N/A	N/A	General support.	Economic Justice for Women	
National Institute on Money in State Politics	833 North East Chance Gulch Helena MT 59601	81-0526651	501(c)(3)	\$40,000.00	NONE	N/A	N/A	Policy Lockdown Project: Furthering the Investigation of the Corrections Industry's Influence on State Policies and Access to Justice.	Institutional Accountability and Individual Liberties	
National League of Cities Institute	660 N Capitol Street NW, Suite 450 Washington DC 20001	52-6055762	501(c)(3)	\$30,000.00	NONE	N/A	N/A	Local Government Decision Making and State Preemption: Legal Remedies and Actions	Women Effect Fund	
National Partnership For Women And Families Inc	1875 Connecticut Avenue NW, Suite 650 Washington DC 20009	23-7124915	501(c)(3)	\$100,000.00	NONE	N/A	N/A	General Support	Women Effect Fund	
National Women's Law Center	11 Dupont Circle NW, Suite 800 Washington DC 20036	52-1213010	501(c)(3)	\$40,000.00	NONE	N/A	N/A	Sexual Assault on Campus Project	Women Effect Fund	
Natural Capitalism Solutions	11823 N. 75th Street Longmont CO 80503	14-1901877	501(c)(3)	\$10,000.00	NONE	N/A	N/A	For research and policy analysis on soil carbon sequestration and climate mitigation.	A Better Tomorrow Fund	
New Jersey Conservation Foundation	170 Longview Road Far Hills NJ 07931	22-6065456	501(c)(3)	\$20,000.00	NONE	N/A	N/A	For its campaign to organize land trusts to oppose the use of eminent domain to site pipelines.	Environment	
New Jersey Working Families Alliance	1037 Raymond Blvd, Suite 520 Newark NJ 07102	30-0427821	501(c)(4)	\$25,000.00	NONE	N/A	N/A	For the economic justice agenda.		
New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5805345	501(c)(3)	\$25,000.00	NONE	N/A	N/A	For Democracy Alliance's Climate Fund	Climate Education Fund	
New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5805345	501(c)(3)	\$180,000.00	NONE	N/A	N/A	To support the New Venture Fund's Women Effect Fund	Economic Justice for Women	
New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5805345	501(c)(3)	\$75,000.00	NONE	N/A	N/A	For Democracy Alliance's Climate Fund	Environment	
New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5805345	501(c)(3)	\$25,000.00	NONE	N/A	N/A	To the Fair Elections Legal Network for the Campus Vote Project.	Institutional Accountability and Individual Liberties	



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New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5806345	501(c)(3)	\$15,000.00	NONE	N/A	N/A	Fair Elections Legal Network	Little Big Fund	
New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5806345	501(c)(3)	\$540,000.00	NONE	N/A	N/A	To support the Women Effect Fund.	Women Effect Fund	
New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5806345	501(c)(3)	\$880,000.00	NONE	N/A	N/A	Support for the Women Effect Fund.	Women Effect Fund	
New Venture Fund	1201 Connecticut Avenue NW, Suite 300 Washington DC 20036	20-5806345	501(c)(3)	\$1,000,000.00	NONE	N/A	N/A	Support for the Women Effect Fund.	Women Effect Fund	
New York University School of Law	40 Washington Square South New York NY 10012-1099	13-5562308	501(c)(3)	\$20,000.00	NONE	N/A	N/A	For work on the Open Society Foundations-funded preemption legal research project.	Women Effect Fund	
Niskanen Center	820 First Street NE, Suite 675 Washington DC 20002	45-5308952	501(c)(3)	\$50,000.00	NONE	N/A	N/A	Eminent domain and pipeline program.	Emerging Opportunities	
OneAmerica	1225 S. Weller Street, Suite 430 Seattle WA 98144	20-0384893	501(c)(3)	\$50,000.00	NONE	N/A	N/A	General support.	Alki Fund	
Oregon Environmental Council	222 NW Daws Street, Suite 309 Portland OR 97205	93-0578714	501(c)(3)	\$40,000.00	NONE	N/A	N/A	Support the climate program.	Alki Fund	
Organizers in the Lend of Enchantment	411 Ballaham Avenue NW Albuquerque NM 87102	27-1275724	501(c)(4)	\$50,000.00	NONE	N/A	N/A	501(h) election funding for a public education campaign on the importance of earned sick leave.	Economic Justice for Women	
Our Children's Trust	P.O. Box 5181 Eugene OR 97405	27-3094382	501(c)(3)	\$50,000.00	NONE	N/A	N/A	For support of Our Children's Trust's federal climate lawsuit against the federal government.	Environment	
Partnership for Southern Equity	100 Peachtree Street NW, Suite 1960 Atlanta GA 30303-1916	27-4424115	501(c)(3)	\$20,000.00	NONE	N/A	N/A	REC Democracy Organizing Fellowship	Rural Electric Co-op Democracy Project	
Partnership for Southern Equity	100 Peachtree Street NW, Suite 1960 Atlanta GA 30303-1916	27-4424115	501(c)(3)	\$40,000.00	NONE	N/A	N/A	To support PSE's fiscal sponsorship of the REC Democracy Organizing Fellowship.	Rural Electric Co-op Democracy Project	
Peoples Action Institute	2125 North Avenue, 3rd Floor Chicago IL 60647	36-2755109	501(c)(3)	\$50,000.00	NONE	N/A	N/A	Healthy Workers, Strong Local Economies: Small Business Voices for Earned Sick Time and other Family Friendly Employment Policies	Women Effect Fund	
Power Shift Network	1875 Connecticut Avenue NW, 10th Floor Washington DC 20009-6046	45-5616367	501(c)(3)	\$75,000.00	NONE	N/A	N/A	General support.	Alki Fund	

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Protect Our Winters	311 Mapleton Avenue, Suite 221A Boulder CO 80304-3960	20-8474909	501(c)(3)	\$9,836.00	NONE	N/A	N/A	For efforts to engage the ski industry, winter athletes, and ski-dependent states in the urgent cause of addressing climate disruption.	A Better Tomorrow Fund	
Proteus Fund	15 Research Drive, Suite B Amherst MA 01002-2776	04-3243004	501(c)(3)	\$75,000.00	NONE	N/A	N/A	Support for the Funder Collaborative on Religious Liberty.	Alki Fund	
Proteus Fund	15 Research Drive, Suite B Amherst MA 01002-2776	04-3243004	501(c)(3)	\$10,000.00	NONE	N/A	N/A	Security & Rights Collaborative	Little Big Fund	
Public Citizen	1600 20th Street NW Washington DC 20009-1001	23-7104508	501(c)(4)	\$30,000.00	NONE	N/A	N/A	H-Election Funding for Texas Eminent Domain Reform Project	Environment	
Public Citizen Foundation	1600 20th St NW Washington DC 20009	52-1263996	501(c)(3)	\$15,000.00	NONE	N/A	N/A	To oppose efforts by states, Regional Transmission Organizations (RTOs), the Federal Energy Regulatory Commission (FERC), Congress, and the U.S. Department of Energy (DOE) to subsidize existing nuclear power plants.	Independent Council for Safe Energy	
Resource Media	9450 SW Gemini Drive, #59115 Beaverton OR 97008	82-0564961	501(c)(3)	\$65,000.00	NONE	N/A	N/A	To provide leadership and strategic communications for the Stand Up to Coal and Power Past Coal campaigns.	Alki Fund	
Resources for the Future	1816 P Street NW Washington DC 20036-1434	53-0220900	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support the Carbon Pricing Initiative	Changing Horizons Fund	
Rural Action	9030 Hoclong Hills Drive The Plains OH 45780	31-1124220	501(c)(3)	\$25,000.00	NONE	N/A	N/A	Assessment readiness exercises with three coal-plant communities in Adams County that are grappling with the challenges of transition.	Just Transition Fund	
Savannah Riverkeeper	P.O. Box 60 Augusta GA 30903-0060	58-2630660	501(c)(3)	\$8,000.00	NONE	N/A	N/A	For coordinating pipeline activities of Waterkeeper Alliance members.	Carbon Intensive Fuel Fund	
Savannah Riverkeeper	P.O. Box 60 Augusta GA 30903-0060	58-2630660	501(c)(3)	\$30,000.00	NONE	N/A	N/A	To support its oil and gas pipeline resistance rapid response project.	Changing Horizons Fund	
Sierra Club	2101 Webster St Oakland CA 94612-3011	94-1153307	501(c)(4)	\$15,000.00	NONE	N/A	N/A	H-election funding to support work on just transition	Just Transition Fund	
Sightline Institute	1402 3rd Avenue, Suite 500 Seattle WA 98101-2130	52-1833599	501(c)(3)	\$15,000.00	NONE	N/A	N/A	Support for climate and energy research and media work.	Alki Fund	
Solar United Neighbors	1115 Massachusetts Ave NW Washington DC 20005-4604	49-2462990	501(c)(3)	\$15,000.00	NONE	N/A	N/A	To help build a diverse constituency of solar supporters in Appalachia by organizing three solar co-ops in communities that have been hardest hit by power plant and coalfield closings.	Just Transition Fund	
South Carolina Coastal Conservation League	P.O. Box 1765 Charleston SC 29402	57-0887278	501(c)(3)	\$20,000.00	NONE	N/A	N/A	For its pipeline defense project.	Environment	
Southern Alliance for Clean Energy	P.O. Box 1842 Knoxville TN 37901	58-1620569	501(c)(3)	\$20,000.00	NONE	N/A	N/A	For public education efforts to shift away from development of costly new nuclear reactors and move the SE region toward reliance upon affordable, sustainable energy resources.	Independent Council for Safe Energy	

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ROCKEFELLER FAMILY FUND, INC.							EIN:	13-6257658		
(a) Name of organization	Address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance		
Southern Poverty Law Center	400 Washington Avenue Montgomery AL 36104	83-0598743	501(c)(3)	\$15,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
Southern Poverty Law Center	400 Washington Avenue Montgomery AL 36104	83-0598743	501(c)(3)	\$15,000.00	NONE	N/A	N/A	General support.	Little Big Fund	
Southwest Virginia Cultural Heritage Foundation Commonwealth	One Heartwood Circle Abingdon VA 24210-0000	36-4686736	501(c)(3)	\$25,000.00	NONE	N/A	N/A	To support Clinch River Valley Initiative's partnership with vested stakeholders to develop a competitive proposal for funding from the Assistance for Coal Communities Initiative at the Economic Development Administration.	Just Transition Fund	
State Voices	1625 Massachusetts Ave NW Washington DC 20036-2212	20-1115618	501(c)(3)	\$100,000.00	NONE	N/A	N/A	General support.	Alki Fund	
Sunrise Movement Education Fund	50 F Street NW, Suite 800 Washington DC 20001	46-4773036	501(c)(3)	\$10,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
Sustainable Markets Foundation	45 West 35th Street, 6th Floor New York NY 10018-7635	13-4188834	501(c)(3)	\$25,508.00	NONE	N/A	N/A	Support for work to oppose a taxpayer bailout of failing nuclear plants in New York state.	Carbon Intensive Fuel Fund	
Sustainable Markets Foundation	45 West 35th Street, 6th Floor New York NY 10018-7635	13-4188834	501(c)(3)	\$24,274.00	NONE	N/A	N/A	For the Breakthrough Solutions Project	Chernoff Fund	
Sustainable Markets Foundation	45 West 35th Street, 6th Floor New York NY 10018-7635	13-4188834	501(c)(3)	\$50,000.00	NONE	N/A	N/A	Support for the 9th Inning Fund.	Climate Education Fund	
Sustainable Markets Foundation	45 West 35th Street, 6th Floor New York NY 10018-7635	13-4188834	501(c)(3)	\$50,000.00	NONE	N/A	N/A	General support for the Property Rights and Pipelines Project.	Environment	
Sustainable Markets Foundation	45 West 35th Street, 6th Floor New York NY 10018-7635	13-4188834	501(c)(3)	\$20,000.00	NONE	N/A	N/A	SMF's work protecting women's economic equality policies	Local Solutions Support Center	
Sustainable Markets Foundation	45 West 35th Street, 6th Floor New York NY 10018-7635	13-4188834	501(c)(3)	\$380,000.00	NONE	N/A	N/A	To support SMF's work protecting women's economic equality practices.	Women Effect Fund	
Take Action Minnesota Education Fund	705 Raymond Avenue, Suite 100 St. Paul MN 55114	41-1635130	501(c)(3)	\$200,000.00	NONE	N/A	N/A	To support a campaign to expand earned sick and safe time in Minnesota.	Women Effect Fund	
Taxpayers for Common Sense	651 Pennsylvania Ave SE Washington DC 20003-6301	52-1941122	501(c)(3)	\$10,000.00	NONE	N/A	N/A	To conduct educational activities to reduce or eliminate federal subsidies for nuclear power.	Independent Council for Safe Energy	
The Center for Public Integrity	910 17th Street NW, Floor 7 Washington DC 20006-2601	54-1512177	501(c)(3)	\$10,000.00	NONE	N/A	N/A	General support.	Little Big Fund	
The Center for Public Integrity	910 17th Street NW, Floor 7 Washington DC 20006-2601	54-1512177	501(c)(3)	\$15,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	

SCHEDULE I-1		Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.								
FORM 990								2017		
ROCKEFELLER FAMILY FUND, INC.							EIN:	13-6257658		
(a) Name of organization	Address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance		
The Labor Institute	817 Broadway, 6th Floor New York NY 10003-4709	52-1358059	501(c)(3)	\$50,000.00	NONE	N/A	N/A	Support for the Steeworkers and Climate Change project.	Alki Fund	
The Marshall Project	156 W 56th Street, Suite 701 New York NY 10019-3877	46-4353634	501(c)(3)	\$10,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
The Marshall Project	156 W 56th Street, Suite 701 New York NY 10019-3877	46-4353634	501(c)(3)	\$10,000.00	NONE	N/A	N/A	General Support	Little Big Fund	
The Partnership for Working Families	1939 Harrison Street, Suite 150 Oakland CA 94612-0000	71-0914032	501(c)(3)	\$150,000.00	NONE	N/A	N/A	For general support (\$100,000) and for a pilot program based on the citizens' organizing co-op model (\$50,000).	Alki Fund	
The Partnership for Working Families	1939 Harrison Street, Suite 150 Oakland CA 94612-0000	71-0914032	501(c)(3)	\$45,000.00	NONE	N/A	N/A	Understanding the Financing of Correction Facilities	Institutional Accountability and Individual Liberties	
The Partnership for Working Families	1939 Harrison Street, Suite 150 Oakland CA 94612-0000	71-0914032	501(c)(3)	\$35,000.00	NONE	N/A	N/A	For work on preemption.	Women Effect Fund	
The Selma Center for Nonviolence, Truth & Reconciliation	8 Mulberry Rd Selma AL 36703-2548	47-3461578	501(c)(3)	\$7,000.00	NONE	N/A	N/A	REC Democracy Project: Black Warrior Campaign 2017	Rural Electric Co-op Democracy Project	
The Snake River Alliance	P.O. Box 1731 Boise ID 83701-1731	82-0386993	501(c)(3)	\$35,000.00	NONE	N/A	N/A	General support.	Alki Fund	
The Tides Foundation	PO Box 29903 San Francisco CA 94129-0903	51-0198509	501(c)(3)	\$350,000.00	NONE	N/A	N/A	Maryland Earned Sick Days	Women Effect Fund	
The Tides Foundation	PO Box 29903 San Francisco CA 94129-0903	51-0198509	501(c)(3)	\$600,000.00	NONE	N/A	N/A	To support the Center for Working Families' campaign for paid family leave and paid sick days.	Women Effect Fund	
The Voter Participation Center	1707 L Street NW, Suite 300 Washington DC 20036-4230	55-0889748	501(c)(3)	\$15,000.00	NONE	N/A	N/A	For general support.	Little Big Fund	
The Wilderness Society	1615 M Street NW Washington DC 20036	53-0167933	501(c)(3)	\$7,500.00	NONE	N/A	N/A	Mapping the Playing Field: Western Energy Transition and Rural Economic Diversification project	Just Transition Fund	
To Nizhoni Ani	Po Box 657 Kyotsimov AZ 86039-0557	57-1153178	501(c)(3)	\$45,000.00	NONE	N/A	N/A	Economic transition surrounding the future closure of the Navajo Generating Station.	Just Transition Fund	
Trustees of Tufts University	82R Talbot Ave Medford MA 02155-5813	04-2103634	501(c)(3)	\$650,000.00	NONE	N/A	N/A	\$500,000 for direct support of the Theory and Education Program at the Global Development and Environment Institute; and \$60,000 for general support of the School of Arts and Sciences through the Tufts Fund.	Fund for the Future	
UltraViolet Action	P.O. Box 34756 Washington DC 20043	47-5180376	501(c)(4)	\$50,000.00	NONE	N/A	N/A	Re-election funding to support its campaign to advance economic security for women.	Women Effect Fund	

SCHEDULE I-1 Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.									
FORM 990						2017			
ROCKEFELLER FAMILY FUND, INC.						EIN:		13-6257658	
(a) Name of organization	address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance	
Vera Institute of Justice	233 Broadway New York NY 10279-0001	13-1841627	501(c)(3)	\$35,000.00	NONE	N/A	N/A	Pre-Booking Diversion Initiative	Institutional Accountability and Individual Liberties
Virginia Organizing Project	703 Concord Ave Charlottesville VA 22903-5208	54-1674992	501(c)(3)	\$75,000.00	NONE	N/A	N/A	General support.	Alki Fund
Washington Center for Equitable Growth	1500 K Street NW, Suite 850 Washington DC 20005-1267	47-4464400	501(c)(3)	\$60,000.00	NONE	N/A	N/A	For the development of a research-driven policy framework for tackling gender pay equity.	Economic Justice for Women
Washington Environmental Council	1402 Third Avenue, Suite 1400 Seattle WA 98101-2179	91-0839385	501(c)(3)	\$50,000.00	NONE	N/A	N/A	To support the Alliance for Jobs and Clean Energy	Alki Fund
West Virginia Center on Budget and Policy, Inc.	8 Capitol Street, Fourth Floor Charleston WV 25301-2843	56-2653132	501(c)(3)	\$25,000.00	NONE	N/A	N/A	To work with stakeholders to create guidance tools that will inform the development of a new Appalachian Economic Model.	Just Transition Fund
West Virginia Citizen Action Education Fund	1500 Dixie St Charleston WV 25311-1904	11-3650992	501(c)(3)	\$7,500.00	NONE	N/A	N/A	To support Energy Efficient West Virginia's campaign to promote and protect energy efficient initiatives in West Virginia.	Just Transition Fund
West Virginia Citizen Action Education Fund	1500 Dixie St Charleston WV 25311-1904	11-3650992	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To support Energy Efficient West Virginia's collaborative campaign to challenge First Energy's proposed transfer of ownership of the Pleasants Power Stations and efforts to form the Energy Efficiency Business Collaborative.	Just Transition Fund
West Virginia Community Development Hub	2207 Washington Street E Charleston WV 25311	20-0022399	501(c)(3)	\$25,000.00	NONE	N/A	N/A	To build a statewide communications infrastructure that positions community-led transition efforts as a central part of West Virginia's discourse.	Just Transition Fund
West Virginia Healthy Kids & Family Coalition	412 Elizabeth Street Charleston WV 25311	45-2857448	501(c)(3)	\$20,000.00	NONE	N/A	N/A	To convene an economic transition conference that will advance a pro-transition, state-level economic policy.	Just Transition Fund
Western Organization of Resource Councils Education Project	220 South 27th Street, Suite B Billings MT 59101	84-1123481	501(c)(3)	\$50,000.00	NONE	N/A	N/A	For the Grassroots Democracy Project (\$30,000) and Western Native Voice (\$30,000).	Alki Fund
Western Organization of Resource Councils Education Project	220 South 27th Street, Suite B Billings MT 59101	84-1123481	501(c)(3)	\$30,000.00	NONE	N/A	N/A	For general support.	Changing Horizons Fund
Western Organization of Resource Councils Education Project	220 South 27th Street, Suite B Billings MT 59101	84-1123481	501(c)(3)	\$25,000.00	NONE	N/A	N/A	To educate member organizations and the public about key transition issues and to expand conversations among stakeholders about economic transition for coal-dependent states and communities.	Just Transition Fund
Win Win Network	1402 3rd Avenue, Suite 201 Seattle WA 98101-2159	32-0419998	501(c)(3)	\$60,000.00	NONE	N/A	N/A	General support.	Alki Fund
Workers Defense Project Inc	5604 Manor Road Austin TX 78723	35-2296166	501(c)(3)	\$30,000.00	NONE	N/A	N/A	Building a Better South	Institutional Accountability and Individual Liberties
				Total	\$13,018,873.00				
2 Enter total number of section 501(c)(3) and government organizations								131	
3 Enter total number of other organizations								5	

SCHEDULE I-1		Grants and Other Assistance to Organizations, Governments, and Individuals in the U.S.						
FORM 990							2017	
ROCKEFELLER FAMILY FUND, INC.							EIN:	13-6257658
(a) Name of organization	address of organization	(b) EIN	(c) IRC Code	(d) Amount of Cash Grant	(e) Amount of non-cash assistance	(f) Method of valuation	(g) Description of non-cash assets	(h) Purpose of grant assistance
<b>Reconciliation of Part IX, Line 1 to Schedule I, Part II:</b>								
Total Grants Paid in 2017 - Schedule I, Part II				\$13,018,873				
Grants Paid in 2017 - \$5,000 and less				\$78,855				
Total Grants Paid in 2017 per Audited Financial Statements				\$13,095,728				
Less: 2016 Grants Payable per Audited Financial Statements				-\$1,973,411				
Less: 2017 Grants - Lobbying Activities - Part IX, Line 11d				-\$355,000				
Less: 2017 Grants Paid and Other Assistance to Foreign Orgs. - Part IX, Line 3				\$0				
Add: 2017 Grants Payable per Audited Financial Statements				\$10,767,317				
Total Grants to U.S. Organizations - Part IX, Line 1				\$11,592,317				

**Part III** Grants and Other Assistance to Domestic Individuals. Complete if the organization answered "Yes" on Form 990, Part IV, line 22.  
 Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of noncash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
1					
2					
3					
4					
5					
6					
7					

**Part IV** Supplemental Information. Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

Pt I Line 2: THE ROCKEFELLER FAMILY FUND (RFF) MONITORS THE USE OF GRANT FUNDS IN A VARIETY OF WAYS. RFF  
 REQUIRES AN ANNUAL NARRATIVE REPORT OF ACTIVITIES FINANCED BY THE GRANT AND LARGER GRANTEE PROJECT OF WHICH  
 THE GRANT IS A PART. IF RELEVANT, A FINANCIAL REPORT DETAILING THE EXPENDITURE OF GRANT FUNDS IS REQUIRED.  
 LARGER GRANTS ARE DISTRIBUTED IN AT LEAST TWO PAYMENTS, WITH THE LATTER PAYMENT RELEASED ONLY AFTER REVIEW  
 OF THE GRANTEE'S WORK DURING THE PERVIOUS PERIOD. FOR SIGNIFICANT GRANTS, RFF REGULARLY SPEAKS WITH THE GRANTEE  
 THROUGHOUT THE GRANT PERIOD TO ASSESS THE GRANTEE'S PERFORMANCE AND DISCUSS CORRECTIVE ACTION, IF NECESSARY.

**SCHEDULE J  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

Name of the organization

ROCKEFELLER FAMILY FUND, INC.

**Compensation Information**

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

- ▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23. Attach to Form 990.
- ▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047

**2017**

**Open to Public Inspection**

Employer identification number

13-6257658

**Part I Questions Regarding Compensation**

**1a** Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.

- |  |   |
|--|---|
| <input type="checkbox"/> First-class or charter travel             | <input checked="" type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions                     | <input type="checkbox"/> Payments for business use of personal residence            |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees              |
| <input type="checkbox"/> Discretionary spending account            | <input type="checkbox"/> Personal services (such as, maid, chauffeur, chef)         |

**b** If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain . . . . .

**2** Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a? . . . . .

**3** Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> Compensation committee          | <input type="checkbox"/> Written employment contract                                |
| <input type="checkbox"/> Independent compensation consultant        | <input checked="" type="checkbox"/> Compensation survey or study                    |
| <input checked="" type="checkbox"/> Form 990 of other organizations | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

**4** During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:

- a** Receive a severance payment or change-of-control payment? . . . . .
- b** Participate in, or receive payment from, a supplemental nonqualified retirement plan? . . . . .
- c** Participate in, or receive payment from, an equity-based compensation arrangement? . . . . .

**Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.**

**5** For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:

- a** The organization? . . . . .
  - b** Any related organization? . . . . .
- If "Yes" on line 5a or 5b, describe in Part III.

**6** For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:

- a** The organization? . . . . .
  - b** Any related organization? . . . . .
- If "Yes" on line 6a or 6b, describe in Part III.

**7** For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III . . . . .

**8** Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III . . . . .

**9** If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)? . . . . .

	Yes	No
1a		
1b	X	
2	X	
3		
4a		X
4b	X	
4c		X
5a		X
5b		X
6a		X
6b		X
7		X
8		X
9		



**Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that aren't listed on Form 990, Part VII.

**Note:** The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
LEE WASSERMAN	(i)	305,034.	0.	39,934.	247,440.	32,326.	624,734.	0.
1 DIRECTOR & SECRETARY	(ii)	0.	0.	0.	0.	0.	0.	0.
LARRY SHAPIRO	(i)	225,600.	0.	9,024.	161,903.	12,417.	408,944.	0.
2 ASSOC. DIRECTOR-PROG. DEV.	(ii)	0.	0.	0.	0.	0.	0.	0.
LISA GUIDE	(i)	225,600.	0.	4,418.	159,645.	30,307.	419,970.	0.
3 ASSOC. DIRECTOR	(ii)	0.	0.	0.	0.	0.	0.	0.
LESLIE LOWE	(i)	142,083.	0.	0.	20,731.	9,833.	172,647.	0.
4 PROGRAM OFFICER-IA&IL	(ii)	0.	0.	0.	0.	0.	0.	0.
HEIDI BINKO	(i)	175,000.	0.	0.	24,500.	19,093.	218,593.	0.
5 EXEC. DIRECTOR, JTF	(ii)	0.	0.	0.	0.	0.	0.	0.
6	(i)							
	(ii)							
7	(i)							
	(ii)							
8	(i)							
	(ii)							
9	(i)							
	(ii)							
10	(i)							
	(ii)							
11	(i)							
	(ii)							
12	(i)							
	(ii)							
13	(i)							
	(ii)							
14	(i)							
	(ii)							
15	(i)							
	(ii)							
16	(i)							
	(ii)							

**Part III Supplemental Information**

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

Pt I Line 1b: HOUSING ALLOWANCE IS BASED ON A FIXED AMOUNT DETERMINED BY THE COMPENSATION COMMITTEE. 2017

HOUSING ALLOWANCE IN THE AMOUNT OF \$31,800 PAID TO LEE WASSERMAN, DIRECTOR & SECRETARY, IS INCLUDED IN THE REPORTABLE COMPENSATION, PART II, COLUMN B (iii).

Pt I Line 4b: EFFECTIVE JANUARY 1, 2015, THE ROCKEFELLER FAMILY FUND IMPLEMENTED A SUPPLEMENTAL EMPLOYEE RETIREMENT

PLAN (SERP) FOR SELECTED EMPLOYEES OF THE FUND. THE FUND'S SERP IS A NONQUALIFIED, UNFUNDED, DEFERRED COMPENSATION

PLAN, ESTABLISHED TO PROVIDE THE PARTICIPANTS WITH SUPPLEMENTAL RETIREMENT BENEFITS. UNDER THE TERMS OF THE

PLAN, A DESIGNATED ANNUAL AMOUNT WILL BE ACCRUED ON BEHALF OF THE PARTICIPANTS ON JANUARY 1ST OF EACH CALENDAR

YEAR. AMOUNTS CREDITED TO THE PARTICIPANTS' ACCOUNTS EARN INTEREST AT THE 10-YEAR U.S. TREASURY RATE ON JANUARY

1ST OF THE PLAN YEAR AND CREDITED TO THE PARTICIPANTS' ACCOUNTS ON DECEMBER 31ST OF EACH PLAN YEAR. THE PARTICIPANTS'

VESTING DATE OCCUR ON THE FIFTH ANNIVERSARY OF THE PARTICIPATION DATE. AS OF DECEMBER 31, 2017, A LIABILITY

OF \$853,030 IS INCLUDED IN PENSION COSTS REPRESENTING THE VALUE OF THE FUND'S CURRENT OBLIGATION TO THE SERP.

THE NONTAXABLE AMOUNT IS REPORTED IN 2017 IN PART II, COLUMN (C), DETAILED AS FOLLOWS: LEE WASSERMAN - \$204,274;

LISA GUIDE - \$128,063; AND LARRY SHAPIRO - \$128,063.

**SCHEDULE M  
(Form 990)**

**Noncash Contributions**

OMB No. 1545-0047

**2017**

**Open to Public  
Inspection**

Department of the Treasury  
Internal Revenue Service

- ▶ Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.
- ▶ Attach to Form 990.
- ▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

Name of the organization <b>ROCKEFELLER FAMILY FUND, INC.</b>	Employer identification number <b>13-6257658</b>
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**Part I Types of Property**

	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1 Art—Works of art . . . . .				
2 Art—Historical treasures . . . . .				
3 Art—Fractional interests . . . . .				
4 Books and publications . . . . .				
5 Clothing and household goods . . . . .				
6 Cars and other vehicles . . . . .				
7 Boats and planes . . . . .				
8 Intellectual property . . . . .				
9 Securities—Publicly traded . . . . .				
10 Securities—Closely held stock . . . . .				
11 Securities—Partnership, LLC, or trust interests . . . . .				
12 Securities—Miscellaneous . . . . .	X	16	10,092,726.	SELLING PRICE
13 Qualified conservation contribution—Historic structures . . . . .				
14 Qualified conservation contribution—Other . . . . .				
15 Real estate—Residential . . . . .				
16 Real estate—Commercial . . . . .				
17 Real estate—Other . . . . .				
18 Collectibles . . . . .				
19 Food inventory . . . . .				
20 Drugs and medical supplies . . . . .				
21 Taxidermy . . . . .				
22 Historical artifacts . . . . .				
23 Scientific specimens . . . . .				
24 Archeological artifacts . . . . .				
25 Other ▶ ( . . . . . )				
26 Other ▶ ( . . . . . )				
27 Other ▶ ( . . . . . )				
28 Other ▶ ( . . . . . )				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement . . . . .	<b>29</b>	
---	-----------	--

		Yes	No
30a During the year, did the organization receive by contribution any property reported in Part I, lines 1 through 28, that it must hold for at least three years from the date of the initial contribution, and which isn't required to be used for exempt purposes for the entire holding period? . . . . .	30a		X
b If "Yes," describe the arrangement in Part II.			
31 Does the organization have a gift acceptance policy that requires the review of any nonstandard contributions? . . . . .	31	X	
32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions? . . . . .	32a		X
b If "Yes," describe in Part II.			
33 If the organization didn't report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II.			

**Part II** **Supplemental Information.** Provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

Area with horizontal dashed lines for supplemental information.

**SCHEDULE O  
(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.  
▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for the latest information.

OMB No. 1545-0047

**2017**

**Open to Public  
Inspection**

Name of the organization ROCKEFELLER FAMILY FUND, INC.	Employer identification number 13-6257658
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Other: PART III, LINE 4b: ENVIRONMENT ("ENV")-FUNDS CLIMATE CHANGE INITIATIVES  
DESIGNED TO ENACT AGGRESSIVE POLICIES AT THE STATE AND NATIONAL LEVELS TO REDUCE  
CARBON EMISSIONS; BRING DIVERSE AND COMPELLING NEW VOICES INTO THE CLIMATE DEBATE;  
ADDRESS EMERGING THREATS, AND EXPOSE HOW SPECIAL INTEREST AND CERTAIN OFFICIALS  
ARE DISTORTING SCIENCE AND DELAYING CONSTRUCTIVE STEPS TO DEAL WITH THIS IMPENDING  
GLOBAL CRISIS. ECONOMIC JUSTICE FOR WOMEN ("EJW")-SUPPORTS PROJECTS DESIGNED  
TO PROMOTE WOMEN'S ECONOMIC EQUALITY. CURRENTLY, THE PROGRAM SEEKS TO ADVANCE  
WORKPLACE REFORM POLICIES SUCH AS PAID SICK LEAVE, FLEX TIME, AND RAISING THE  
MINIMUM WAGE. INSTITUTIONAL ACCOUNTABILITY & INDIVIDUAL LIBERTIES ("IALI")-ENCOURAGES  
THE ACTIVE PARTICIPATION OF CITIZENS IN GOVERNMENT, SEEKS TO MAKE GOVERNMENT  
AND PRIVATE INSTITUTIONS MORE ACCOUNTABLE AND RESPONSIVE, AND SUPPORTS EFFORTS  
TO ENSURE THAT INDIVIDUALS' RIGHTS AND LIBERTIES UNDER THE CONSTITUTION ARE PROTECTED.  
EMERGING OPPORTUNITIES ("EO")-ENCOURAGES CREATIVE ADVOCACY IN ISSUE AREAS OUTSIDE  
OF RFF'S CURRENT AREAS OF FOCUS, BUT STILL WITHIN RFF'S ESTABLISHED PROGRAM AREAS  
AND SUPPLEMENTS THE RESPECTIVE ANNUAL BUDGET ALLOCATIONS FOR RFF'S OTHER PROGRAM  
AREA IN ORDER TO SEIZE EMERGING OPPORTUNITIES.

Pt VI, Line 2: DAVID KAISER AND MIRANDA KAISER HAVE A FAMILY RELATIONSHIP.

Pt VI, Line 11b: THE 990 AND SUPPORTING SCHEDULES ARE REVIEWED AND APPROVED  
BY SENIOR MANAGEMENT AND THEN DISTRIBUTED VIA EMAIL, IN PDF FORMAT, TO THE BOARD  
OF TRUSTEES FOR REVIEW BEFORE FILING WITH THE IRS.

Pt VI, Line 12c: EACH DIRECTOR, PRINCIPAL OFFICER AND MEMBER OF A COMMITTEE  
WITH GOVERNING BOARD DELEGATED POWERS ANNUALLY SIGNS A STATEMENT WHICH AFFIRMS

Name of the organization

ROCKEFELLER FAMILY FUND, INC.

Employer identification number

13-6257658

SUCH PERSON HAS: (A) RECEIVED A COPY OF THE CONFLICT OF INTEREST POLICY, (B) READ AND UNDERSTAND THE POLICY, (C) AGREED TO COMPLY WITH THE POLICY, (D) UNDERSTANDS THE FUND IS CHARITABLE AND IN ORDER TO MAINTAIN ITS FEDERAL TAX EXEMPTION, IT MUST ENGAGE PRIMARILY IN ACTIVITIES WHICH ACCOMPLISH ONE OR MORE OF ITS TAX-EXEMPT PURPOSES. STEPS IN DETERMINING WHETHER A CONFLICT OF INTEREST EXISTS: AFTER DISCLOSURE OF THE FINANCIAL INTEREST AND ALL MATERIAL FACTS, AND AFTER ANY DISCUSSION WITH THE INTERESTED PERSON, HE OR SHE SHALL LEAVE THE GOVERNING BOARD OR COMMITTEE MEETING WHILE THE DETERMINATION OF A CONFLICT OF INTEREST IS DISCUSSED AND VOTED UPON. THE REMAINING BOARD OR COMMITTEE MEMBERS SHALL DECIDE IF A CONFLICT OF INTEREST EXISTS. RESTRICTIONS IMPOSED ON PERSONS WITH A CONFLICT: IF THE BOARD OR COMMITTEE HAS REASONABLE CAUSE TO BELIEVE A MEMBER HAS FAILED TO DISCLOSE ACTUAL OR POSSIBLE CONFLICTS OF INTEREST, IT SHALL INFORM THE MEMBER OF THE BASIS FOR SUCH BELIEF AND AFFORD THE MEMBER AN OPPORTUNITY TO EXPLAIN THE ALLEGED FAILURE TO DISCLOSE. IF AFTER HEARING THE MEMBER'S RESPONSE AND AFTER MAKING FURTHER INVESTIGATION AS WARRANTED BY THE CIRCUMSTANCES, THE BOARD OR COMMITTEE DETERMINES THE MEMBER HAS FAILED TO DISCLOSE AN ACTUAL OR POSSIBLE CONFLICT OF INTEREST, IT SHALL TAKE APPROPRIATE DISCIPLINARY AND CORRECTIVE ACTION.

Pt VI, Line 15a: THE ROCKEFELLER FAMILY FUND INDEPENDENT EXECUTIVE COMMITTEE REVIEWS ALL COMPENSATION MATTERS.

Pt VI, Line 15b: THE COMMITTEE MEETS ANNUALLY TO CONSIDER THE PERFORMANCE OF THE DIRECTOR AND CONSIDER COMPARABLE COMPENSATION DATA FOR CEOS IN CHARGE OF SIMILAR ORGANIZATIONS. ON THE BASIS OF THE ANNUAL PERFORMANCE REVIEW AND SAID COMPENSATION DATA, THE COMMITTEE ESTABLISHES THE COMPENSATION FOR THE DIRECTOR FOR THE SUCCEEDING YEAR. THE COMMITTEE ALSO REVIEWS THE DIRECTOR'S COMPENSATION RECOMMENDATIONS FOR OTHER KEY ORGANIZATIONAL STAFF. THE COMMITTEE MAINTAINS

Name of the organization ROCKEFELLER FAMILY FUND, INC.	Employer identification number 13-6257658
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CONTEMPORANEOUS DOCUMENTATION OF ITS PROCEEDINGS, DELIBERATIONS, AND SUPPORTING MATERIAL IN THE MINUTES.

Pt VI, Line 19: THE FUND'S FINANCIAL STATEMENTS ARE AVAILABLE TO THE PUBLIC UPON REQUEST.

Pt XI: OTHER CHANGE IN NET ASSETS OF FUND BALANCES REPRESENT UBTI-\$4,924 AND AMOUNT NOT YET RECOGNIZED AS A COMPONENT OF NET PERIODIC BENEFIT COST-\$70,338.

Other: PART IX: THE DIFFERENCE BETWEEN GRANTS REPORTED ON LINE 1 AND GRANTS REPORTED ON THE FINANCIAL STATEMENTS IS RELATED TO LOBBYING EXPENSES RECLASSIFIED TO LINE 11D, FOR TAX PURPOSES.

Other: PART IX, LINE 11g: OTHER FEES FOR SERVICES REPRESENTS ADMINISTRATIVE CONSULTANTS-\$65,227 AND PROGRAMMATIC CONSULTANTS-\$1,682,955, TOTALING \$1,748,182. THE CONSULTANTS RETAINED FALL INTO TWO BROAD CATEGORIES: ADMINISTRATIVE AND PROGRAMMATIC. ADMINISTRATIVE CONSULTANTS UNDERTAKE RESPONSIBILITIES PERTAINING MAINLY TO EMPLOYEE-RELATED MATTERS. PROGRAMMATIC CONSULTANTS WORK TO DEVELOP AND/OR IMPLEMENT INITIATIVES OR ANALYZE ISSUES ACROSS THE SPAN OF RFF'S PROGRAM ARCHITECTURE. SOME OF THESE CONSULTANTS ARE ENGAGED FOR A LIMITED, DISCRETE PURPOSE. OTHERS UNDERTAKE RESPONSIBILITY FOR COMPLEX, MULTI-YEAR PROGRAM ENTERPRISES INVOLVING SOPHISTICATED POLICY INITIATIVES AND THE MANAGEMENT OF MULTIPLE ORGANIZATION AND INDIVIDUALS. THE AMOUNT EXPENDED ON PROGRAM CONSULTANTS CAN VARY SUBSTANTIALLY FROM YEAR-TO-YEAR DEPENDING ON THE NUMBER, TYPE, AND RANGE OF PROGRAMS; AND EXTENT OF PARTICIPATION FROM RFF'S FUNDING PARTNERS.

Other: PART I, LINE 8: FOR TAX PURPOSES, THE DIFFERENCE BETWEEN CONTRIBUTIONS

Name of the organization ROCKEFELLER FAMILY FUND, INC.	Employer identification number 13-6257658
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REPORTED ON LINE 8 OF THE TAX RETURN AND CONTRIBUTIONS REPORTED ON THE FINANCIAL STATEMENTS IN THE PRIOR YEAR AND CURRENT YEAR ARE RELATED TO \$249,000 CONTRIBUTION RECEIVED FROM WILLIAM B. WIENER, JR. FOUNDATION TREATED AS INTERFUND TRANSACTION ON THE CONSOLIDATED FINANCIAL STATEMENTS. HOWEVER, FOR TAX PURPOSES, THE AMOUNTS RECEIVED TO DATE ARE REFLECTED AS CONTRIBUTIONS IN THE PRIOR AND CURRENT YEAR COLUMNS, SINCE BOTH ENTITIES ARE FILING SEPARATE RETURNS.

Pt III, Line 4d:

Expenses: \$4,657,340 including grants of: \$11,805 Revenue: \$0

Description: OTHER PROGRAM SERVICES INCLUDE CONFERENCES, CONSULTING FEES, MEETINGS, AND OTHER PROGRAM-RELATED EXPENSES.

Pt IX, Line 24e:

Description: MISCELLANEOUS

Total: \$22,165

Program services: \$14,146

Management and general: \$6,991

Fundraising: \$1,028

Description: TEMPORARY STAFFING

Total: \$405

Program services: \$258

Management and general: \$128

Fundraising: \$19



**SCHEDULE R  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

**Related Organizations and Unrelated Partnerships**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.

▶ Attach to Form 990.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

OMB No. 1545-0047

**2017**

**Open to Public  
Inspection**

Name of the organization

ROCKEFELLER FAMILY FUND, INC.

Employer identification number

13-6257658

**Part I Identification of Disregarded Entities.** Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity
(1) .....					
(2) .....					
(3) .....					
(4) .....					
(5) .....					
(6) .....					

**Part II Identification of Related Tax-Exempt Organizations.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?	
						Yes	No
(1) THE WILLIAM B WIENER JR FOUNDATION 72-6024398 330 MARSHALL STREET, SUITE 640 SHREVEPORT LA 71101-3036	WILLIAM B WIENER JR FUND	LA	501 (c) (3)	11a	ROCKEFELLER FAMILY FUND	X	
(2) .....							
(3) .....							
(4) .....							
(5) .....							
(6) .....							
(7) .....							

**Part III Identification of Related Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a partnership during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of- year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	
(1) .....												
(2) .....												
(3) .....												
(4) .....												
(5) .....												
(6) .....												
(7) .....												

**Part IV Identification of Related Organizations Taxable as a Corporation or Trust.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b)(13) controlled entity?	
								Yes	No
(1) .....									
(2) .....									
(3) .....									
(4) .....									
(5) .....									
(6) .....									
(7) .....									

**Part V Transactions With Related Organizations.** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

**Note:** Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

	Yes	No
<b>1</b> During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?		
<b>a</b> Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity		X
<b>b</b> Gift, grant, or capital contribution to related organization(s)		X
<b>c</b> Gift, grant, or capital contribution from related organization(s)	X	
<b>d</b> Loans or loan guarantees to or for related organization(s)		X
<b>e</b> Loans or loan guarantees by related organization(s)		X
<b>f</b> Dividends from related organization(s)		X
<b>g</b> Sale of assets to related organization(s)		X
<b>h</b> Purchase of assets from related organization(s)		X
<b>i</b> Exchange of assets with related organization(s)		X
<b>j</b> Lease of facilities, equipment, or other assets to related organization(s)		X
<b>k</b> Lease of facilities, equipment, or other assets from related organization(s)		X
<b>l</b> Performance of services or membership or fundraising solicitations for related organization(s)		X
<b>m</b> Performance of services or membership or fundraising solicitations by related organization(s)		X
<b>n</b> Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)		X
<b>o</b> Sharing of paid employees with related organization(s)		X
<b>p</b> Reimbursement paid to related organization(s) for expenses		X
<b>q</b> Reimbursement paid by related organization(s) for expenses		X
<b>r</b> Other transfer of cash or property to related organization(s)		X
<b>s</b> Other transfer of cash or property from related organization(s)		X

**2** If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1) THE WILLIAM B WIENER JR FOUNDATION	C	219,000	BOOK VALUE
(2)			
(3)			
(4)			
(5)			
(6)			

**Part VI Unrelated Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(e) Are all partners section 501(c)(3) organizations?		(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
				Yes	No			Yes	No		Yes	No	
(1) .....													
(2) .....													
(3) .....													
(4) .....													
(5) .....													
(6) .....													
(7) .....													
(8) .....													
(9) .....													
(10) .....													
(11) .....													
(12) .....													
(13) .....													
(14) .....													
(15) .....													
(16) .....													

**Part VII** **Supplemental Information.**

Provide additional information for responses to questions on Schedule R. See instructions.

PART IV, LINE 34: ON OCTOBER 16, 2013, ROCKEFELLER FAMILY FUND RECEIVED AN INHERENT CONTRIBUTION OF EQUITY, IN A TRANSACTION ACCOUNTED FOR AS AN ACQUISITION, FROM THE WILLIAM B. WIENER, JR. FOUNDATION WITH INTENTION TO PARTNER PHILANTHROPIC EFFORTS. ROCKEFELLER FAMILY FUND DID NOT TRANSFER ANY CONSIDERATION AS PART OF THE ACQUISITION.

Exempt Organization Business Income Tax Return (and proxy tax under section 6033(e))

OMB No. 1545-0687

For calendar year 2017 or other tax year beginning 01/01, 2017, and ending 12/31, 2017.

2017

Department of the Treasury Internal Revenue Service

Go to www.irs.gov/Form990T for instructions and the latest information.

Do not enter SSN numbers on this form as it may be made public if your organization is a 501(c)(3).

Open to Public Inspection for 501(c)(3) Organizations Only

Form header section including: A Check box if address changed; B Exempt under section 501(c)(3); C Book value of all assets; D Employer identification number; E Unrelated business activity codes; F Group exemption number; G Check organization type.

H Describe the organization's primary unrelated business activity: INVESTMENT IN LIMITED PARTNERSHIP. I During the tax year, was the corporation a subsidiary in an affiliated group or a parent-subsidiary controlled group? Yes No.

J The books are in care of: ANDREA LAWYER. Telephone number: 212-812-4252.

Table with 4 columns: (A) Income, (B) Expenses, (C) Net. Rows include: 1a Gross receipts or sales, 2 Cost of goods sold, 3 Gross profit, 4a Capital gain net income, 5 Income (loss) from partnerships and S corporations, 6 Rent income, 7 Unrelated debt-financed income, 8 Interest, annuities, royalties, and rents from controlled organizations, 9 Investment income, 10 Exploited exempt activity income, 11 Advertising income, 12 Other income, 13 Total.

Table with 4 columns: (A) Income, (B) Expenses, (C) Net. Rows include: 14 Compensation of officers, directors, and trustees, 15 Salaries and wages, 16 Repairs and maintenance, 17 Bad debts, 18 Interest, 19 Taxes and licenses, 20 Charitable contributions, 21 Depreciation, 22 Less depreciation claimed, 23 Depletion, 24 Contributions to deferred compensation plans, 25 Employee benefit programs, 26 Excess exempt expenses, 27 Excess readership costs, 28 Other deductions, 29 Total deductions, 30 Unrelated business taxable income before net operating loss deduction, 31 Net operating loss deduction, 32 Unrelated business taxable income before specific deduction, 33 Specific deduction, 34 Unrelated business taxable income.

# Application for Automatic Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.  
▶ Information about Form 8868 and its instructions is at [www.irs.gov/form8868](http://www.irs.gov/form8868).

**Electronic filing (e-file).** You can electronically file Form 8868 to request a 6-month automatic extension of time to file any of the forms listed below with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, for which an extension request must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit [www.irs.gov/efile](http://www.irs.gov/efile), click on Charities & Non-Profits, and click on e-file for Charities and Non-Profits.

## Automatic 6-Month Extension of Time. Only submit original (no copies needed).

All corporations required to file an income tax return other than Form 990-T (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

<b>Type or print</b>  File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	ROCKEFELLER FAMILY FUND, INC.	13-6257658
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	475 RIVERSIDE DRIVE	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	NEW YORK, NY 10115	

Enter the Return Code for the return that this application is for (file a separate application for each return) . . . . .

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

ANDREA LAWYER

- The books are in the care of ▶ 475 RIVERSIDE DRIVE, NEW YORK NY 10115

Telephone No. ▶ 212 812-4252

Fax No. ▶ \_\_\_\_\_

- If the organization does not have an office or place of business in the United States, check this box
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) N/A. If this is for the whole group, check this box . If it is for part of the group, check this box  and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 6-month extension of time until 11/15, 2018, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

- ▶  calendar year 2017 or
- ▶  tax year beginning \_\_\_\_\_, 20\_\_\_\_, and ending \_\_\_\_\_, 20\_\_\_\_

2 If the tax year entered in line 1 is for less than 12 months, check reason:  Initial return  Final return  Change in accounting period

3a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a \$	0.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b \$	0.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c \$	0.

**Caution.** If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Part III Tax Computation

Table with 40 rows for tax computation. Includes sections for Organizations Taxable as Corporations (lines 35-39) and Trusts Taxable at Trust Rates (lines 36-39). Total line 40 shows 0.

Part IV Tax and Payments

Table with 10 rows for tax and payments. Includes foreign tax credit (lines 41a-41e), other taxes (line 43), total tax (line 44), and payments (lines 45a-45g). Total payments line 46 shows 0.

Part V Statements Regarding Certain Activities and Other Information (see instructions)

Table with 3 rows for statements regarding activities. Question 51 asks about interest in foreign countries (answered BERMUDA, CAYMAN ISLANDS). Question 52 asks about foreign trusts (answered No). Question 53 asks about tax-exempt interest (answered \$873).

Sign Here: Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge. Signature of officer: Andrea Lawler, Date: 11/6/18, Title: TREASURER.

Paid Preparer Use Only: Print/Type preparer's name: DAVID M HIGHFILL, Preparer's signature: D.M. Highfill, Date: 10/31/2018, Firm's name: KPMG LLP, Firm's address: 345 PARK AVENUE, NEW YORK, NY 10154-0102, PTIN: P01517891, Firm's EIN: 13-5565207, Phone no.: 212-758-9700.



**Schedule A - Cost of Goods Sold.** Enter method of inventory valuation ▶

1	Inventory at beginning of year	1		6	Inventory at end of year	6	
2	Purchases	2		7	Cost of goods sold. Subtract line 6 from line 5. Enter here and in Part I, line 2.	7	
3	Cost of labor	3		8	Do the rules of section 263A (with respect to property produced or acquired for resale) apply to the organization?	Yes	No
4a	Additional section 263A costs (attach schedule)	4a					X
b	Other costs (attach schedule)	4b					
5	Total. Add lines 1 through 4b	5					

**Schedule C - Rent Income (From Real Property and Personal Property Leased With Real Property)**  
(see instructions)

1. Description of property

(1)
(2)
(3)
(4)

2. Rent received or accrued

(a) From personal property (if the percentage of rent for personal property is more than 10% but not more than 50%)	(b) From real and personal property (if the percentage of rent for personal property exceeds 50% or if the rent is based on profit or income)	3(a) Deductions directly connected with the income in columns 2(a) and 2(b) (attach schedule)
(1)		
(2)		
(3)		
(4)		
Total	Total	

(c) Total income. Add totals of columns 2(a) and 2(b). Enter here and on page 1, Part I, line 6, column (A) ▶

(b) Total deductions. Enter here and on page 1, Part I, line 6, column (B) ▶

**Schedule E - Unrelated Debt-Financed Income** (see instructions)

1. Description of debt-financed property		2. Gross income from or allocable to debt-financed property	3. Deductions directly connected with or allocable to debt-financed property	
			(a) Straight line depreciation (attach schedule)	(b) Other deductions (attach schedule)
(1)				
(2)				
(3)				
(4)				
4. Amount of average acquisition debt on or allocable to debt-financed property (attach schedule)	5. Average adjusted basis of or allocable to debt-financed property (attach schedule)	6. Column 4 divided by column 5	7. Gross income reportable (column 2 x column 6)	8. Allocable deductions (column 6 x total of columns 3(a) and 3(b))
(1)		%		
(2)		%		
(3)		%		
(4)		%		
Totals			Enter here and on page 1, Part I, line 7, column (A).	Enter here and on page 1, Part I, line 7, column (B).
Total dividends-received deductions included in column 8				

**Schedule F - Interest, Annuities, Royalties, and Rents From Controlled Organizations** (see instructions)

1. Name of controlled organization	2. Employer identification number	Exempt Controlled Organizations			
		3. Net unrelated income (loss) (see instructions)	4. Total of specified payments made	5. Part of column 4 that is included in the controlling organization's gross income	6. Deductions directly connected with income in column 5
(1)					
(2)					
(3)					
(4)					

**Nonexempt Controlled Organizations**

7. Taxable Income	8. Net unrelated income (loss) (see instructions)	9. Total of specified payments made	10. Part of column 9 that is included in the controlling organization's gross income	11. Deductions directly connected with income in column 10
(1)				
(2)				
(3)				
(4)				
			Add columns 5 and 10. Enter here and on page 1, Part I, line 8, column (A).	Add columns 6 and 11. Enter here and on page 1, Part I, line 8, column (B).
<b>Totals</b> . . . . . ▶				

**Schedule G - Investment Income of a Section 501(c)(7), (9), or (17) Organization** (see instructions)

1. Description of income	2. Amount of income	3. Deductions directly connected (attach schedule)	4. Set-asides (attach schedule)	5. Total deductions and set-asides (col. 3 plus col. 4)
(1)				
(2)				
(3)				
(4)				
		Enter here and on page 1, Part I, line 9, column (A).		Enter here and on page 1, Part I, line 9, column (B).
<b>Totals</b> . . . . . ▶				

**Schedule I - Exploited Exempt Activity Income, Other Than Advertising Income** (see instructions)

1. Description of exploited activity	2. Gross unrelated business income from trade or business	3. Expenses directly connected with production of unrelated business income	4. Net income (loss) from unrelated trade or business (column 2 minus column 3). If a gain, compute cols. 5 through 7.	5. Gross income from activity that is not unrelated business income	6. Expenses attributable to column 5	7. Excess exempt expenses (column 6 minus column 5, but not more than column 4).
(1)						
(2)						
(3)						
(4)						
		Enter here and on page 1, Part I, line 10, col. (A).	Enter here and on page 1, Part I, line 10, col. (B).			Enter here and on page 1, Part II, line 26.
<b>Totals</b> . . . . . ▶						

**Schedule J - Advertising Income** (see instructions)

**Part I Income From Periodicals Reported on a Consolidated Basis**

1. Name of periodical	2. Gross advertising income	3. Direct advertising costs	4. Advertising gain or (loss) (col. 2 minus col. 3). If a gain, compute cols. 5 through 7.	5. Circulation income	6. Readership costs	7. Excess readership costs (column 6 minus column 5, but not more than column 4).
(1)						
(2)						
(3)						
(4)						
<b>Totals (carry to Part II, line (5))</b> . . . . . ▶						

**Part II** Income From Periodicals Reported on a Separate Basis (For each periodical listed in Part II, fill in columns 2 through 7 on a line-by-line basis.)

1. Name of periodical	2. Gross advertising income	3. Direct advertising costs	4. Advertising gain or (loss) (col. 2 minus col. 3). If a gain, compute cols. 5 through 7.	5. Circulation income	6. Readership costs	7. Excess readership costs (column 6 minus column 5, but not more than column 4).
(1)						
(2)						
(3)						
(4)						
<b>Totals from Part I.</b> . . . . . ▶						
<b>Totals, Part II (lines 1-5)</b> . . . . . ▶	Enter here and on page 1, Part I, line 11, col (A).	Enter here and on page 1, Part I, line 11, col (B).				Enter here and on page 1, Part II, line 27.

**Schedule K - Compensation of Officers, Directors, and Trustees (see instructions)**

1. Name	2. Title	3. Percent of time devoted to business	4. Compensation attributable to unrelated business
(1)		%	
(2)		%	
(3)		%	
(4)		%	
<b>Total.</b> Enter here and on page 1, Part II, line 14 . . . . . ▶			

ATTACHMENT 1

FORM 990T - LINE 5 -INCOME (LOSS) FROM PARTNERSHIPS

STRATEGIC PRIVATE EQUITY FUND III, LP

4,924.

INCOME (LOSS) FROM PARTNERSHIPS

4,924.

ATTACHMENT 2

FORM 990T - PART II - LINE 28 - TOTAL OTHER DEDUCTIONS

INVESTMENT MANAGEMENT FEE	1,272.
TAX PREPARATION FEE	5,250.

PART II - LINE 28 - OTHER DEDUCTIONS	<u>6,522.</u>
--------------------------------------	---------------

FORM 990-T, PART II, LINE 19 - TAXES AND LICENSES

New York State Taxes	<u>250</u>
TOTAL STATE TAXES	250

NET OPERATING LOSS SCHEDULE

<u>YEAR GENERATED</u>	<u>AMOUNT (GENERATED) / UTILIZED</u>
12/31/2010	(4,046)
12/31/2011	(19,159)
12/31/2012	(9,111)
12/31/2013	(8,483)
12/31/2014	(14,234)
12/31/2015	(53,418)
12/31/2016	(23,248)
12/31/2017	(1,848)
CARRYFORWARD TO 12/31/2018	<u>(133,547)</u>

CAPIAL LOSS CARRYFORWARD

<u>YEAR GENERATED</u>	<u>AMOUNT (GENERATED) / UTILIZED</u>
12/31/2016	(216)
12/31/2017	-
CARRYFORWARD TO 12/31/2018	<u>(216)</u>



**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Consolidated Financial Statements and Supplemental Schedule

December 31, 2017 and 2016

(With Independent Auditors' Report Thereon)





KPMG LLP  
345 Park Avenue  
New York, NY 10154-0102

## Independent Auditors' Report

The Board of Trustees  
Rockefeller Family Fund, Inc.:

We have audited the accompanying consolidated financial statements of Rockefeller Family Fund, Inc. and Affiliate, which comprise the consolidated statements of financial position as of December 31, 2017 and 2016, and the related consolidated statements of activities and cash flows for the years then ended, and the related notes to the consolidated financial statements.

### Management's Responsibility for the Consolidated Financial Statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with U.S. generally accepted accounting principles; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the consolidated financial statements that are free from material misstatement, whether due to fraud or error.

### Auditors' Responsibility

Our responsibility is to express an opinion on these consolidated financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### Opinion

In our opinion, the consolidated financial statements referred to above present fairly in all material respects, the financial position of Rockefeller Family Fund, Inc. and Affiliate as of December 31, 2017 and 2016, and the changes in their net assets and their cash flows for the years then ended, in accordance with U.S. generally accepted accounting principles.



**Other Matter**

Our audits were conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. The supplementary information included in the consolidated schedule of functional expenses for the year ended December 31, 2017 is presented for purposes of additional analysis and is not a required part of the 2017 consolidated financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the consolidated financial statements. The information has been subjected to the auditing procedures applied in the audit of the consolidated financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the consolidated financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the 2017 consolidated financial statements as a whole.

KPMG LLP

July 30, 2018

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Consolidated Statements of Financial Position

December 31, 2017 and 2016

Assets	2017			2016 Total
	Rockefeller Family Fund	William B. Wiener, Jr. Foundation	Total	
Cash and cash equivalents	\$ 2,412,761	9,877,921	12,290,682	8,967,541
Accounts receivable	35,923	108,233	144,156	222,049
Contributions receivable	17,371,307	—	17,371,307	10,793,242
Investments	107,020,208	32,437,769	139,457,977	117,845,260
Fixed assets, net of accumulated depreciation of \$151,975 in 2017 and \$149,839 in 2016	4,630	—	4,630	3,829
Total assets	\$ 126,844,829	42,423,923	169,268,752	137,831,921
<b>Liabilities and Net Assets</b>				
Liabilities:				
Grants payable	\$ 825,000	—	825,000	1,981,411
Accrued expenses	706,558	—	706,558	566,221
Accrued pension and postretirement benefits	3,435,341	—	3,435,341	3,099,154
Total liabilities	4,966,899	—	4,966,899	5,646,786
Net assets:				
Unrestricted	89,398,936	42,423,923	131,822,859	106,387,694
Temporarily restricted	24,087,574	—	24,087,574	17,406,021
Permanently restricted	8,391,420	—	8,391,420	8,391,420
Total net assets	121,877,930	42,423,923	164,301,853	132,185,135
Total liabilities and net assets	\$ 126,844,829	42,423,923	169,268,752	137,831,921

See accompanying notes to consolidated financial statements.

ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE

Consolidated Statements of Activities

Years ended December 31, 2017 and 2016

	2017			2016 Total
	Rockefeller Family Fund	William B. Wiener, Jr. Foundation	Total	
Changes in unrestricted net assets:				
Operating revenues:				
Contributions	\$ 11,135,914	—	11,135,914	1,659,915
Investment income	809,977	1,631,263	2,441,240	1,900,022
Net assets released from restriction	13,448,192	—	13,448,192	11,524,621
Total operating revenues	25,394,083	1,631,263	27,025,346	15,084,558
Operating expenses:				
Program expenses:				
Grants awarded	11,947,317	832,000	12,779,317	12,979,910
Other program expenses	4,407,728	—	4,407,728	5,161,196
Total program expenses	16,355,045	832,000	17,187,045	18,141,106
Supporting expenses:				
Administration expenses:				
Investment fees	631,220	94,711	725,931	678,183
Other operating expenses	1,051,054	129,644	1,180,698	1,068,901
Fund-raising expenses	152,769	—	152,769	121,793
Total supporting expenses	18,190,088	1,056,355	19,246,443	20,009,983
Excess (deficiency) of operating revenues over operating expenses	7,203,995	574,908	7,778,903	(4,925,425)
Nonoperating activities:				
Net realized and unrealized gain on investments	10,069,368	7,516,556	17,585,924	7,966,423
Amounts not yet recognized as a component of net periodic benefit cost	70,338	—	70,338	163,626
Total nonoperating activities	10,139,706	7,516,556	17,656,262	8,130,049
Increase in unrestricted net assets	17,343,701	8,091,464	25,435,165	3,204,624
Changes in temporarily restricted net assets:				
Contributions	18,602,353	—	18,602,353	17,726,787
Investment income	113,845	—	113,845	90,011
Net realized and unrealized gain on investments	1,413,547	—	1,413,547	673,085
Net assets released from restriction	(13,448,192)	—	(13,448,192)	(11,524,621)
Increase in temporarily restricted net assets	6,681,553	—	6,681,553	6,965,262
Increase in net assets	24,025,254	8,091,464	32,116,718	10,169,886
Net assets, beginning of year	97,852,676	34,332,459	132,185,135	122,015,249
Net assets, end of year	\$ 121,877,930	42,423,923	164,301,853	132,185,135

See accompanying notes to consolidated financial statements.

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Consolidated Statements of Cash Flows

Years ended December 31, 2017 and 2016

	<u>2017</u>	<u>2016</u>
Cash flows from operating activities:		
Increase in net assets	\$ 32,116,718	10,169,886
Adjustments to reconcile increase in net assets to net cash provided by (used in) operating activities:		
Net unrealized and realized gain on investments	(18,999,471)	(8,639,508)
Amounts not yet recognized as a component of net periodic benefit cost	(70,338)	(163,626)
Depreciation	2,136	1,789
Changes in operating assets and liabilities:		
Accounts receivable	77,893	(118,286)
Contributions receivable	(6,578,065)	(8,923,881)
Grants payable	(1,156,411)	1,236,911
Other liabilities and accrued expenses	546,862	675,536
Net cash provided by (used in) operating activities	<u>5,939,324</u>	<u>(5,761,179)</u>
Cash flows from investing activities:		
Proceeds from sales of investments	84,918,351	45,013,612
Purchases of investments	(87,531,597)	(39,177,139)
Purchases of fixed assets	(2,937)	(4,110)
Net cash (used in) provided by investing activities	<u>(2,616,183)</u>	<u>5,832,363</u>
Net increase in cash and cash equivalents	3,323,141	71,184
Cash and cash equivalents at beginning of year	<u>8,967,541</u>	<u>8,896,357</u>
Cash and cash equivalents at end of year	<u>\$ 12,290,682</u>	<u>8,967,541</u>

See accompanying notes to consolidated financial statements.

## ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

### (1) Organizations and Purpose

The Rockefeller Family Fund, Inc. (RFF) is a not-for-profit charitable corporation existing under the New York State not-for-profit corporation law. RFF's principal purpose is twofold. RFF makes grants to philanthropic organizations in the areas of institutional accountability, individual liberty, economic justice for women, and the environment. It also develops and runs programs and projects to help address key societal challenges.

The William B. Wiener, Jr. Foundation (WBWJF) is a supporting organization of RFF, pursuant to Section 509(a)(3) of the Internal Revenue Code. RFF controls WBWJF through appointment of a majority of WBWJF's board of directors.

Collectively, RFF and WBWJF are herein referred to as the Fund.

### (2) Summary of Significant Accounting Policies

#### (a) Basis of Presentation

The consolidated financial statements of the Fund are prepared on the accrual basis of accounting.

The Fund considers net realized and unrealized gains and losses, the amounts not yet recognized as a component of net periodic benefit cost, and other nonrecurring items as nonoperating activities.

Revenues are reported as increases in unrestricted net assets unless their use is limited by donor-imposed restrictions. Expenses are recorded as decreases in unrestricted net assets. Gains and losses on assets or liabilities are reported as increases or decreases in unrestricted net assets unless their use is restricted by explicit donor stipulation or by law.

#### (b) Contributions and Net Assets

Contributions, including unconditional promises to give, are recognized in the period received. All contributions are considered to be available for unrestricted use unless specifically restricted by the donor. Unrestricted net assets represent resources over which the board of trustees has full discretion with respect to use. Temporarily restricted net assets represent expendable resources, which have been time or purpose restricted by the donor. The Fund's temporarily restricted net assets of \$26,726,860 and \$17,406,021 in 2017 and 2016, respectively, are restricted primarily for the passage of time and grant-making purposes for specific programs. When a donor restriction expires, that is, when a stipulated time restriction ends or a purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the consolidated statements of activities as net assets released from restriction. Permanently restricted net assets represent contributions and other gifts, which require that the corpus be maintained intact and that only the investment return be used as designated by the donor, which is primarily for unrestricted purposes. Such income is reflected in the consolidated statements of activities as temporarily restricted until appropriated for expenditures.

The contributions receivable of \$17,471,307 at December 31, 2017 and \$10,793,242 at December 31, 2016 is expected to be collected within one year. Approximately 32% and 16%, and 52% and 18% of total contribution revenue and contributions receivable, respectively, was generated from one donor in 2017 and 2016, respectively.

## ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE

### Notes to Consolidated Financial Statements

December 31, 2017 and 2016

#### **(c) Fair Value Measurement**

Fair value is defined as the exchange price that would be received to sell an asset or paid to transfer a liability (an exit price) in the principal or most advantageous market for the asset or liability in an orderly transaction between market participants on the measurement date. The Fund has established a fair value hierarchy, which uses the following three levels of inputs to measure fair value:

Level 1 – Quoted prices in active markets for identical assets or liabilities or published net asset value for those alternative investments with characteristics similar to a mutual fund.

Level 2 – Observable inputs other than Level 1 prices for similar assets or liabilities; prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data for substantially the full term of the assets or liabilities.

Level 3 – Unobservable inputs that are supported by little or no market activity and that are significant to the fair value of the asset or liabilities.

Fair value estimates are made at a specific point in time, based on available market information and judgments about the financial asset, including estimates of timing, amount of expected future cash flows, and the credit standing of the issuer. In some cases, the fair value estimates cannot be substantiated by comparison to independent markets. In addition, the disclosed fair value may not be realized in the immediate settlement of the financial asset. The disclosed fair values do not reflect any premium or discount that could result from offering for sale at one time an entire holding of a particular financial asset. Potential taxes and other expenses that would be incurred in an actual sale or settlement are not reflected in amounts disclosed.

#### **(d) Investments**

Investments in fixed income and readily marketable equity securities are carried at quoted market prices and alternative investments with characteristics similar to a mutual fund are carried at published net asset value. Security costs are determined on a first-in, first-out basis. Investments are recorded on a trade-date basis.

The Fund follows the provisions of Accounting Standards Codification (ASC) 820-10-35-59, *Measuring the Fair Value of Investments in Certain Entities That Calculate Net Asset Value per Share (or Its Equivalent)* (ASC 820-10-35-59), to estimate fair value of certain investments in funds that do not have readily determinable fair values, including private investments, hedge funds, real estate, and other funds.

Investments in alternative investments that are not readily marketable are reported in the consolidated financial statements based upon the underlying net asset value (or partner's capital) of each investment, as a practical expedient, which is estimated at fair value by the fund managers or general partners. The Fund reviews and evaluates the values provided by the fund managers and general partners and agrees with the valuation methods and assumptions used in determining the fair value of the underlying net assets (or partner's capital).

## ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE

### Notes to Consolidated Financial Statements

December 31, 2017 and 2016

The Fund's interest in real estate and natural resources represents investments in limited liability companies that own oil, gas, timber, and mineral interests and are reported in the consolidated financial statements at fair value based upon external appraisals.

**(e) Grants Payable**

Grants are recorded at the time of approval by the trustees and notification to the recipient (note 7).

**(f) Cash and Cash Equivalents**

The Fund considers all highly liquid debt instruments purchased with original maturities of three months or less to be cash equivalents, except for those short-term investments managed by the investment managers as part of its long-term investment strategy.

**(g) Tax Status**

RFF is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code (the Code) and has been classified as a public charity. During 2015, WBWJF submitted notification of intent to terminate its private foundation status under Section 507(b)(1)(B) of the Code, and based on its proposed activities and support, the Internal Revenue Service had held that WBWJF can reasonably expect to terminate its private foundation status and will be treated as a public charity under Section 509(a)(3) of the Code for a 60-month advanced ruling period beginning March 1, 2014. Provision has been made for the current and deferred federal excise taxes on realized net investment income prior to this decision.

The Fund follows the provisions of Accounting Standards Codification (ASC) Subtopic 740-10, *Income Taxes – Overall*, which addresses the accounting for uncertainties in income taxes recognized in an organization's consolidated financial statements and prescribes a threshold of more likely than not for recognition and derecognition of tax positions taken or expected to be taken in a tax return. ASC Subtopic 740-10 also provides related guidance on measurement, classification, interest and penalties, and disclosures. The Fund has concluded that there were no income tax uncertainties to disclose.

**(h) Expenses**

The Fund reports expenses on a functional basis, with all expenses charged either to a particular program or supporting service. Overhead expenses, including occupancy, telephone, and insurance, are allocated to functional areas based upon space used or actual usage, if specifically identifiable. The allocation of salary and related expenses for management and supervision of program service functions are made by management based on the estimated time spent by staff in the various program service functions.

**(i) Fixed Assets**

Fixed assets are stated at cost or, if donated, at fair value at the date of donation. Fixed assets are depreciated on a straight-line basis over a useful life of three to seven years.



**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

**(j) Use of Estimates**

The preparation of the consolidated financial statements in accordance with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets, including the valuation of alternative investments, and liabilities at the date of the consolidated financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

**(k) Donor Advised Funds**

The Fund has established several donor advised funds to further its programs. These accounts are funded by donors who contribute monies to be used by the Fund. Although the donor may recommend which charitable organization will receive grants, the Fund has the final approval on the grants awarded. Accordingly, such amounts are classified as unrestricted.

**(3) Investments**

The following tables present the fair value hierarchy and redemption information at December 31, 2017 and 2016:

		<u>December 31, 2017</u>			
		<u>Fair value</u>	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>
Investments:					
U.S. equity securities	\$	21,216,668	21,216,668	—	—
Non-U.S. equity securities		1,758,824	1,758,824	—	—
Mutual funds		3,609,743	3,609,743	—	—
Real estate and natural resources (g)		6,357,663	—	—	6,357,663
U.S. treasury securities		3,822,162	1,631,015	2,191,147	—
Cash equivalents		18,444,751	18,444,751	—	—
		<u>55,209,811</u>	<u>\$ 46,661,001</u>	<u>2,191,147</u>	<u>6,357,663</u>
Investments measured at net asset value:					
Balanced fund (a)		27,646,852			
U.S. equity funds (b)		6,707,766			
Non-U.S. equity funds (c)		17,532,824			
U.S. fixed income funds (d)		5,261,748			
Private equity funds (e)		4,748,478			
Hedge funds (f)		<u>22,350,498</u>			
Total investments	\$	<u>139,457,977</u>			

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

		December 31, 2016			
		<u>Fair value</u>	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>
Investments:					
U.S. equity securities	\$	16,387,610	16,387,610	—	—
Non-U.S. equity securities		1,833,747	1,833,747	—	—
Mutual funds		3,628,891	3,628,891	—	—
Real estate and natural resources (g)		5,277,265	—	—	5,277,265
U.S. treasury securities		7,519,682	1,631,452	5,888,230	—
Cash equivalents		8,463,310	8,463,310	—	—
		43,110,505	\$ 31,945,010	5,888,230	5,277,265
Investments measured at net asset value:					
Balanced fund (a)		20,575,442			
U.S. equity funds (b)		5,281,631			
Non-U.S. equity funds (c)		15,948,480			
U.S. fixed income funds (d)		5,959,678			
Private equity funds (e)		4,985,356			
Hedge funds (f)		21,984,168			
Total investments	\$	<u>117,845,260</u>			

- (a) This investment position consists of two funds of funds. A benchmark-free allocation fund that seeks to generate positive total return, not "relative" return, by allocating to undervalued and often unpopular asset classes and sectors of the global market, free from the constraints of traditional benchmarks. The Fund is not restricted in its exposure to any particular asset class and will often either have exposure to unconventional asset classes or hold conventional asset classes in unconventional proportions. The other investment position consists of a trust that seeks to generate attractive long-term returns on both an absolute and risk-adjusted basis through investing in a portfolio of underlying separate accounts or commingled investment vehicles. The trust invests in U.S. equity, Non-U.S. equity, hedge funds, fixed income, and real assets.
- (b) These investments include a U.S. equity fund of funds, as well as two limited partnership investments that invest directly in U.S. equity securities. The fund of funds invests directly in U.S. securities, exchange-traded funds, and commingled U.S. equity funds. One of the limited partnerships invests directly in U.S. equity securities and generally maintains 140% long and 40% short exposures using a risk-controlled investment process and seeks benchmark neutrality with respect to industries, sectors, and styles. The other limited partnership selects long-term individual U.S. equities on the basis of research and fundamental analysis, while seeking to take opportunistic advantage of market inefficiencies by trading U.S. equities with a shorter time horizon.
- (c) These investments consist of a Non-U.S. equity fund of funds. The Non-U.S. equity fund of funds invests directly in Non-U.S. equities, commingled funds, as well as exchange-traded funds.

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

- (d) These investments consist of a high-yield fund of funds that invest directly in high-yield debt securities and obtain exposure to bank loans, mortgage debt, and other credit securities through investments in commingled funds.
- (e) This investment position is held in private equity fund of funds. The fund invests in limited partnerships or other pooled investment vehicles organized by independent fund sponsors primarily to make private investments in nonpublic companies consisting primarily of equity and equity related ownership interests in such companies and other ownership interests and income streams. At December 31, 2017, there were approximately \$7,929,000 of unfunded commitments in relation to this fund.
- (f) In 2017 and 2016, approximately 76% and 77%, respectively, of the hedge fund position consists of investments in a direct investment in a hedge fund as well as an investment in a fund of funds that invests in various financial markets worldwide and employs a variety of investment strategies and techniques. The remaining 24% and 23% in 2017 and 2016, respectively, consists of a fund of hedge funds, which exhibits varying investment strategies.
- (g) These investments consist of ownership interests in limited liability companies that own oil, gas, timber, and mineral interests.

The Fund had no significant transfers into and out of Level 1, Level 2, or Level 3 fair value measurements in 2017 and 2016.

The funds for which there are redemption provisions included in the Fund's investment portfolio at December 31, 2017 and 2016 are redeemable based on the following terms and conditions:

	2017	2016
Monthly redemptions with 14 days' notice	\$ 27,964,996	25,632,879
Monthly redemptions with 15 days' notice	2,642,552	—
Monthly redemptions with 30 days' notice	25,491,864	21,966,649
Quarterly redemptions with 60 days' notice	6,456,260	5,223,140
Quarterly redemptions (up to 25% of NAV) with 65 days' notice	16,042	314,104
Quarterly redemptions with 90 days' notice	16,659,489	16,320,021
Annual redemptions (up to 25% of NAV), with 45 days' notice	268,485	292,607
	\$ 79,499,688	69,749,400

The nonredeemable alternative investment funds included two investments in the Fund's portfolio at December 31, 2017 and 2016, with a fair value totaling approximately \$4,748,000 and \$4,985,000, respectively. These funds have an estimated remaining life of approximately six to sixteen years with the option for an extension for additional periods. In addition, nonredeemable real estate and natural resource investments with a fair value of approximately \$6,358,000 and \$5,300,000, are also included in the Fund's investment portfolio at December 31, 2017 and 2016, respectively.

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

The following table presents the reconciliation for all Level 3 assets measured at fair value for the years ended December 31, 2017 and 2016:

	<b>Level 3 assets</b>
	<b>Real estate and natural resources</b>
Fair value at December 31, 2015	\$ 4,635,809
Total realized and unrealized gains, net	622,353
Purchases	19,103
Fair value at December 31, 2016	5,277,265
Total realized and unrealized gains, net	1,185,620
Sales	(105,222)
Fair value at December 31, 2017	\$ 6,357,663

The Fund purchases and sells index futures in order to minimize risk from anticipated changes in the market. A futures contract is an agreement to take delivery (long) or make delivery (short) of a standardized amount of a commodity, of standardized minimum-quality grades or specifications, during a specific month under terms and conditions established by U.S. or foreign government designated contract markets upon which trading is conducted, at prices established on such market. The futures contract may be satisfied (closed) by delivery or offset or, in certain cases, settled in cash. Changes in the market values of these financial instruments are recognized currently in the consolidated statements of activities.

These instruments involve credit and market risk in excess of the amounts recognized in the accompanying consolidated statements of financial position. Risks arise from the possible inability of counterparties to meet the terms of their contracts, from movement in currency values and interest rates and imperfect correlation between futures contracts and the assets being hedged. The Fund's notional exposure at December 31, 2017 and 2016 was approximately \$3,411,000 and \$3,730,000, respectively.

**(4) Endowment Funds**

The Fund has a board-designated endowment fund and donor-restricted endowment funds.

The Fund received a major bequest from the estate of Martha Baird Rockefeller in 1972, which constitutes the initial contribution to the Fund's donor-restricted endowment. The Fund's donor-restricted endowment includes permanently restricted net assets of \$8,391,420 in both 2017 and 2016.

The Fund sets its annual spending policy by considering the Fund's long-term financial objectives, determining a rate of annual spending that would align with those long-term objectives, and choosing a formula that could be used consistently over a period of years to set the annual spending amount. Each year, the board of trustees establishes an annual budget using a spending model derived from a three-year average market value base and monitors the impact of actual market trends during the year to make adjustments to spending as necessary.

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

The Board of Trustees of the Fund has interpreted the New York Prudent Management of Institutional Funds Act (NYPMIFA) as allowing the Fund to appropriate for expenditure or accumulate so much of an endowment fund as the Fund determines is prudent for the uses, benefits, purposes and duration under which the endowment fund is established, subject to the intent of the donor as expressed in the gift instrument. Unless stated otherwise in the gift instrument, the assets in an endowment fund shall be donor-restricted assets until appropriated for expenditure by the Board of Trustees. As a result of this interpretation, the Fund has classified as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment and (b) the original value of subsequent gifts to the permanent endowment. The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the Fund in a manner consistent with the standard of prudence prescribed by NYPMIFA.

The Fund's endowment consists of the following at December 31, 2017:

	<u>Unrestricted</u>	<u>Temporarily restricted</u>	<u>Permanently restricted</u>	<u>Total</u>
Donor-restricted	\$ —	4,405,635	8,391,420	12,797,055
Board-designated	74,229,154	—	—	74,229,154
Total endowment net assets	\$ <u>74,229,154</u>	<u>4,405,635</u>	<u>8,391,420</u>	<u>87,026,209</u>

Fund's endowment consists of the following at December 31, 2016:

	<u>Unrestricted</u>	<u>Temporarily restricted</u>	<u>Permanently restricted</u>	<u>Total</u>
Donor-restricted	\$ —	3,551,715	8,391,420	11,943,135
Board-designated	68,947,872	—	—	68,947,872
Total endowment net assets	\$ <u>68,947,872</u>	<u>3,551,715</u>	<u>8,391,420</u>	<u>80,891,007</u>

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

The Fund had the following endowment-related activities:

	<u>Unrestricted</u>	<u>Temporarily restricted</u>	<u>Permanently restricted</u>	<u>Total</u>
Endowment net assets at				
December 31, 2015	\$ 68,511,037	3,047,885	8,391,420	79,950,342
Investment return:				
Net investment gain	436,981	44,012	—	480,993
Net unrealized appreciation	4,566,124	459,818	—	5,025,942
Transfers	244,500	—	—	244,500
Amounts appropriated for expenditure and other changes	<u>(4,810,770)</u>	<u>—</u>	<u>—</u>	<u>(4,810,770)</u>
Endowment net assets at December 31, 2016	68,947,872	3,551,715	8,391,420	80,891,007
Investment return:				
Net investment gain	6,791,015	578,490	—	7,369,505
Net unrealized appreciation	3,233,688	275,430	—	3,509,118
Transfers	274,312	—	—	274,312
Amounts appropriated for expenditure and other changes	<u>(5,017,733)</u>	<u>—</u>	<u>—</u>	<u>(5,017,733)</u>
Endowment net assets at December 31, 2017	<u>\$ 74,229,154</u>	<u>4,405,635</u>	<u>8,391,420</u>	<u>87,026,209</u>

**(5) Pension Plans**

The Fund participates in the Retirement Income Plan (the Plan) for employees of the Rockefeller Brothers Fund, Inc. (RBF) et al., a noncontributory defined-benefit plan covering substantially all of the Fund's employees. Effective December 31, 2003, the Plan was frozen.

The Fund recognizes the funded status of its defined-benefit pension and other postretirement plans as a liability and recognizes the changes in that funded status in the year in which the changes occur through a separate line within the change in unrestricted net assets, apart from expenses, to the extent those changes are not included in the net periodic cost. The funded status reported on the consolidated statements of financial position was measured as the difference between the fair value of plan assets and the benefit obligations as of December 31, 2017 and 2016.

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

The following table sets forth the Fund's funded status and amounts recognized in the Fund's consolidated financial statements at December 31, 2017 and 2016:

	<b>2017</b>	<b>2016</b>
Accumulated benefit obligation/projected benefit obligation for services rendered to date	\$ (1,537,386)	(1,434,476)
Plan assets at fair value	1,140,182	1,027,990
Pension liability	\$ (397,204)	(406,486)

Net periodic pension benefit cost for the years ended December 31, 2017 and 2016 included the following components:

	<b>2017</b>	<b>2016</b>
Service cost on projected benefit obligation	\$ 19,800	17,100
Interest cost on projected benefit obligation	55,580	54,470
Actual return on plan assets	(162,660)	(61,331)
Net amortization and deferral	140,205	27,853
Net periodic pension benefit cost	\$ 52,925	38,092

The weighted average discount rate used to compute the benefit obligations was 3.44% in 2017 and 3.93% in 2016. The weighted average discount rate used in determining the net periodic benefit costs was 3.93% in 2017 and 3.99% in 2016. The expected long-term rate of return on assets was 7.75% in 2017 and 2016. No contributions to plan were required in 2017 or 2016.

The plan assets are currently invested in mutual funds with an allocation of 65% equity and 35% debt securities and are considered Level 1 in the fair value hierarchy. The Fund's investment goal is to obtain a competitive risk-adjusted return on the pension plan assets commensurate with prudent investment practices and the Plan's responsibility to provide retirement benefits for its participants, retirees, and their beneficiaries. The Plan's asset allocation targets are strategic and long-term in nature and are designed to take advantage of the risk-reducing impacts of asset class diversification. Investments within each asset category are further diversified with regard to investment style and concentration holdings.

The accumulated amount not yet recognized as a component of net periodic benefit cost was \$335,634 and \$397,841 at December 31, 2017 and 2016, respectively. The net actuarial loss that will be amortized into net periodic benefit cost in 2018 is approximately \$78,000.

**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

The anticipated benefit payment for the next 10 years is as follows:

Years ending December 31:			
2018	\$	45,000	
2019		61,000	
2020		71,000	
2021		76,000	
2022		77,000	
2023–2027		445,000	

**(6) Postretirement Benefits**

In addition to providing pension benefits, the Fund provides certain healthcare benefits for retired employees. Substantially all of the Fund's employees may become eligible for these benefits if they reach age 55 while employed by the Fund and have accumulated at least five years of service. Such benefits are provided through an insurance company.

The following table sets forth the plan status as of December 31, 2017 and 2016:

		2017	2016
Accumulated postretirement benefit obligation (APBO)/accrued postretirement benefit cost	\$	2,185,107	2,044,438

The net periodic postretirement benefit cost included the following components:

		2017	2016
Service cost	\$	77,788	74,322
Interest cost		74,906	76,143
Net amortization and deferral		40,275	49,165
Net periodic postretirement benefit cost	\$	192,969	199,630

The discount rates assumed in determining the APBO were in 3.55% and 4.10% in 2017 and 2016, respectively. The weighted average discount rates used in determining the net periodic benefit costs were 4.10% in 2017 and 4.30% in 2016. The medical cost trend rates assumed were 7.75% declining to 4.75%, over a five-year period for 2017 and 2016, respectively. Benefits paid were \$52,264 in 2017 and \$58,664 in 2016.

The accumulated amount not yet recognized as a component of net periodic benefit cost was \$658,049 and \$666,180 at December 31, 2017 and 2016, respectively. The net actuarial loss that will be amortized into net periodic benefit cost in 2017 is approximately \$60,878.



**ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE**

Notes to Consolidated Financial Statements

December 31, 2017 and 2016

The anticipated benefit payment for the next 10 years is as follows:

Years ending December 31:			
2018	\$		66,000
2019			64,000
2020			54,000
2021			65,000
2022			73,000
2023–2027			430,000

**(7) Reconciliation of Grants Awarded**

The following table reconciles grants awarded and grants paid during 2017 and 2016:

Grants payable, December 31, 2015	\$	744,500
Grants awarded, 2016		12,979,910
Grants paid, 2016		<u>(11,742,999)</u>
Grants payable, December 31, 2016		1,981,411
Grants awarded, 2017		12,779,317
Grants paid, 2017		<u>(13,935,728)</u>
Grants payable, December 31, 2017	\$	<u><u>825,000</u></u>

Included in the above amounts for grants awarded and grants paid are grants made from donor advised funds in the amount of approximately \$2,848,000 and \$3,725,000 in 2017 and 2016, respectively.

The Fund estimates that the grants payable balance as of December 31, 2017 will be paid in 2018. The net present value of grants payable is not materially different from amounts committed to be paid.

**(8) Related-Party Transactions**

The Fund reimbursed the Rockefeller Brothers Fund, a related party, approximately \$614,461 and \$617,490 in 2017 and 2016, respectively, for the cost of certain expenses, including direct and indirect compensation for accounting, human resource, and operations department staff; technology services; occupancy; employee benefits; capital expenditures; consultant and legal fees related to employee benefit issues.

The Fund previously entered into a resource-sharing and reimbursement agreement with Tioga Fund, Inc., a nonprofit organization and related party. The Fund received reimbursement of approximately \$55,041 and \$77,100 in 2017 and 2016, respectively, from Tioga Fund, Inc. for the cost of support services. During 2016, the Fund awarded three grants to Tioga Fund, Inc. totaling \$450,000 for initiatives that support paid sick days campaigns and workplace reform, American women's research on women's economic security and opportunity, and energy legislative initiative.

## ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE

### Notes to Consolidated Financial Statements

December 31, 2017 and 2016

In 2017, the Fund received two grants from the David Rockefeller Fund, a related party, totaling \$20,000. Of this amount, \$15,000 was designated for the Carbon-Intensive Fuel Fund and \$5,000 was designated for the Leslie Lowe Fund for Economic and Social Justice.

In 2016, the Fund received grants from the Rockefeller Philanthropy Advisors, Inc., (RPA), a related party, that totaled \$20,500 designated for general support.

#### **(9) Subsequent Events**

In connection with the preparation of the consolidated financial statements, the Fund evaluated events after the statement of financial position date of December 31, 2017, through July 30, 2018, which was the date the consolidated financial statements were available to be issued, and noted the following significant event. Upon the death of David Rockefeller on March 20, 2017, and the subsequent granting of probate with respect to his will, the Fund will be the beneficiary of a 1.5% share of the remaining balance of David Rockefeller's net residual estate. No amount has been recorded in the financial statements as the amount is not yet determinable.

## ROCKEFELLER FAMILY FUND, INC. AND AFFILIATE

## Consolidated Schedule of Functional Expenses

Year ended December 31, 2017

(with summarized comparative financial information for the year ended December 31, 2016)

	Program expenses	Administration expenses	Fund-raising expenses	2017 Total	2016 Total
Salaries and employee benefits:					
Salaries	\$ 1,150,139	359,577	77,120	1,586,836	1,454,845
Employee benefits	903,313	282,410	60,570	1,246,293	1,169,343
	<u>2,053,452</u>	<u>641,987</u>	<u>137,690</u>	<u>2,833,129</u>	<u>2,624,188</u>
Other expenses:					
Grants awarded	12,779,317	—	—	12,779,317	12,979,910
Consultant fees	1,682,954	90,898	—	1,773,852	2,678,680
Investment fees	—	725,931	—	725,931	678,183
Legal, audit, and professional fees	14,940	307,019	—	321,959	419,459
Travel and meetings	440,163	3,746	—	443,909	329,942
Rent and electricity	61,488	34,957	4,470	100,915	90,831
Insurance	33,491	18,737	2,435	54,663	42,185
Dues and memberships	44,226	21,857	3,215	69,298	73,624
General office expenses	75,651	27,410	4,860	107,921	88,889
Publications	—	33,413	—	33,413	2,303
Depreciation	1,363	674	99	2,136	1,789
	<u>\$ 17,187,045</u>	<u>1,906,629</u>	<u>152,769</u>	<u>19,246,443</u>	<u>20,009,983</u>

See accompanying independent auditors' report.

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