

Form 990-PF

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

2014

Open to Public Inspection

Department of the Treasury Internal Revenue Service

Do not enter social security numbers on this form as it may be made public. Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

For calendar year 2014, or tax year beginning 01-01-2014, and ending 12-31-2014

Name of foundation THE WINTHROP ROCKEFELLER FOUNDATION
A Employer identification number 71-0285871
B Telephone number (see instructions) (501) 376-6854
C If exemption application is pending, check here
G Check all that apply Initial return, Final return, Address change, etc.
H Check type of organization Section 501(c)(3) exempt private foundation
I Fair market value of all assets at end of year \$ 145,227,366
J Accounting method Accrual

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Revenue (1-12) and Operating and Administrative Expenses (13-26), ending with Excess of revenue over expenses and disbursements (27).

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

<b>Part II Balance Sheets</b>		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .			
	<b>2</b> Savings and temporary cash investments . . . . .	20,856,375	20,366,164	20,366,164
	<b>3</b> Accounts receivable ▶ <u>253</u>			
	Less allowance for doubtful accounts ▶ _____	357	253	253
	<b>4</b> Pledges receivable ▶ _____			
	Less allowance for doubtful accounts ▶ _____			
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ _____			
	Less allowance for doubtful accounts ▶ _____			
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U S and state government obligations (attach schedule)			
	<b>b</b> Investments—corporate stock (attach schedule) . . . . .	91,206,956 <input checked="" type="checkbox"/>	88,814,727	88,814,727
	<b>c</b> Investments—corporate bonds (attach schedule) . . . . .	29,827,027 <input checked="" type="checkbox"/>	30,519,903	30,519,903
	<b>11</b> Investments—land, buildings, and equipment basis ▶ _____			
Less accumulated depreciation (attach schedule) ▶ _____				
<b>12</b> Investments—mortgage loans . . . . .				
<b>13</b> Investments—other (attach schedule) . . . . .				
<b>14</b> Land, buildings, and equipment basis ▶ <u>435,575</u>				
Less accumulated depreciation (attach schedule) ▶ <u>280,336</u>	178,743	155,239	155,239	
<b>15</b> Other assets (describe ▶ _____)	<input checked="" type="checkbox"/> 5,052,606 <input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> 5,371,080 <input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> 5,371,080 <input checked="" type="checkbox"/>	
<b>16 Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	147,122,064	145,227,366	145,227,366	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .	274,491	299,520	
	<b>18</b> Grants payable . . . . .	3,116,312	3,201,590	
	<b>19</b> Deferred revenue . . . . .			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons			
	<b>21</b> Mortgages and other notes payable (attach schedule) . . . . .			
	<b>22</b> Other liabilities (describe ▶ _____)			
	<b>23 Total liabilities</b> (add lines 17 through 22) . . . . .	3,390,803	3,501,110	
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow SFAS 117, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	<b>24</b> Unrestricted . . . . .	143,731,261	141,726,256	
	<b>25</b> Temporarily restricted . . . . .			
	<b>26</b> Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, check here</b> <input type="checkbox"/> <b>and complete lines 27 through 31.</b>			
	<b>27</b> Capital stock, trust principal, or current funds . . . . .			
	<b>28</b> Paid-in or capital surplus, or land, bldg, and equipment fund			
<b>29</b> Retained earnings, accumulated income, endowment, or other funds				
<b>30 Total net assets or fund balances</b> (see instructions) . . . . .	143,731,261	141,726,256		
<b>31 Total liabilities and net assets/fund balances</b> (see instructions) . . . . .	147,122,064	145,227,366		

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

<b>1</b>	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) . . . . .	<b>1</b>	143,731,261
<b>2</b>	Enter amount from Part I, line 27a . . . . .	<b>2</b>	2,121,202
<b>3</b>	Other increases not included in line 2 (itemize) ▶ _____ <input checked="" type="checkbox"/>	<b>3</b>	54,443
<b>4</b>	Add lines 1, 2, and 3 . . . . .	<b>4</b>	145,906,906
<b>5</b>	Decreases not included in line 2 (itemize) ▶ _____ <input checked="" type="checkbox"/>	<b>5</b>	4,180,650
<b>6</b>	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . . . . .	<b>6</b>	141,726,256

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
<b>1a</b> See Additional Data Table			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</b> See Additional Data Table			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
<b>a</b> See Additional Data Table			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	<b>2</b>	6,163,726
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		<b>3</b>	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?  Yes  No  
 If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2013	5,427,176	132,374,024	0.040999
2012	6,614,196	124,458,087	0.053144
2011	7,658,054	125,708,607	0.060919
2010	7,415,301	118,410,948	0.062623
2009	8,037,938	106,264,684	0.075641

<b>2</b> Total of line 1, column (d).	<b>2</b>	0.293326
<b>3</b> Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	<b>3</b>	0.058665
<b>4</b> Enter the net value of noncharitable-use assets for 2014 from Part X, line 5.	<b>4</b>	140,313,722
<b>5</b> Multiply line 4 by line 3.	<b>5</b>	8,231,505
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b).	<b>6</b>	86,738
<b>7</b> Add lines 5 and 6.	<b>7</b>	8,318,243
<b>8</b> Enter qualifying distributions from Part XII, line 4.	<b>8</b>	6,509,196

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

**Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)**

<b>1a</b>	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
<b>b</b>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b . . . . .	<b>1</b>	173,476
<b>c</b>	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	<b>2</b>	0
<b>3</b>	Add lines 1 and 2. . . . .	<b>3</b>	173,476
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	<b>4</b>	0
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3 If zero or less, enter -0- . . . . .	<b>5</b>	173,476
<b>6</b>	Credits/Payments		
<b>a</b>	2014 estimated tax payments and 2013 overpayment credited to 2014	<b>6a</b>	183,059
<b>b</b>	Exempt foreign organizations—tax withheld at source . . . . .	<b>6b</b>	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868) . . . . .	<b>6c</b>	
<b>d</b>	Backup withholding erroneously withheld . . . . .	<b>6d</b>	
<b>7</b>	Total credits and payments Add lines 6a through 6d. . . . .	<b>7</b>	183,059
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	<b>8</b>	
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b> . . . . .	<b>9</b>	
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b> . . . . .	<b>10</b>	9,583
<b>11</b>	Enter the amount of line 10 to be <b>Credited to 2015 estimated tax</b> <input type="checkbox"/> 9,583 <b>Refunded</b> <input type="checkbox"/>	<b>11</b>	0

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		No
<b>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? . . . . . <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>		No
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year? . . . . .		No
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year <b>(1)</b> On the foundation <input type="checkbox"/> \$ <u>0</u> <b>(2)</b> On foundation managers <input type="checkbox"/> \$ <u>0</u>		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ <u>0</u>		
<b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . . <i>If "Yes," attach a detailed description of the activities.</i>		No
<b>3</b> Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i> . . . . .	Yes	
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .		No
<b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year? . . . . .		
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . . <i>If "Yes," attach the statement required by General Instruction T.</i>		No
<b>6</b> Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	Yes	
<b>7</b> Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i> . . . . .	Yes	
<b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> AR _____		
<b>b</b> If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	Yes	
<b>9</b> Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i> . . . . .		No
<b>10</b> Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i> . . . . .		No

**Part VII-A Statements Regarding Activities (continued)**

<b>11</b>	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	<b>11</b>		<b>No</b>
<b>12</b>	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	<b>12</b>		<b>No</b>
<b>13</b>	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <b>WWW WRFOUNDATION ORG/WWW GUIDESTAR ORG</b>	<b>13</b>	<b>Yes</b>	
<b>14</b>	The books are in care of <b>ANDREA M DOBSON</b> Telephone no <b>(501) 376-6854</b> Located at <b>225 EAST MARKHAM STREET STE 200 LITTLE ROCK AR</b> ZIP +4 <b>72201</b>			
<b>15</b>	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year <b>15</b>			
<b>16</b>	At any time during calendar year 2014, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country	<b>16</b>	<b>Yes</b>	<b>No</b>

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required**

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			<b>Yes</b>	<b>No</b>
<b>1a</b>	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
	(6) Agree to pay money or property to a government official? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</b>	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>	<b>1b</b>		<b>No</b>
<b>c</b>	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2014? <input type="checkbox"/>	<b>1c</b>		<b>No</b>
<b>2</b>	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
<b>a</b>	At the end of tax year 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years <b>20__ , 20__ , 20__ , 20__</b>			
<b>b</b>	Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to <b>all</b> years listed, answer "No" and attach statement—see instructions) <input type="checkbox"/>	<b>2b</b>		
<b>c</b>	If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here <b>20__ , 20__ , 20__ , 20__</b>			
<b>3a</b>	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
<b>b</b>	If "Yes," did it have excess business holdings in 2014 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2014.</i> ) <input type="checkbox"/>	<b>3b</b>		<b>No</b>
<b>4a</b>	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	<b>4a</b>		<b>No</b>
<b>b</b>	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014?	<b>4b</b>		<b>No</b>

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**

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

**(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?  Yes  No

**(2)** Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?  Yes  No

**(3)** Provide a grant to an individual for travel, study, or other similar purposes?  Yes  No

**(4)** Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions).  Yes  No

**(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?  Yes  No

**b** If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here.

**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?  Yes  No  
 If "Yes," attach the statement required by Regulations section 53.4945–5(d).

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?  Yes  No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?  Yes  No  
 If "Yes" to 6b, file Form 8870.

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

**b** If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Additional Data Table				

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
CORY ANDERSON 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	VICE-PRESIDENT 50 00	157,645	20,435	0
ANDREW FORD 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	INTERIM SENIOR ASSOC 40 00	67,048	10,439	0
MICHAEL CASTENS 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	GRANT AND OPERATIONS 40 00	55,737	10,683	0
RUSSELL CAREY 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	PROGRAM ASSOCIATE 40 00	50,117	10,109	0
TAKEMA BRADBERRY 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	ASSISTANT 40 00	15,565	2,000	0
<b>Total</b> number of other employees paid over \$50,000.				0

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
BOSTON CONSULTING GROUP INC ONE BEACON STREET 10TH FLOOR BOSTON, MA 02108	EDUCATION CONSULTING	250,000
KR CAPITAL ADVISORS INC 750 LEXINGTON AVENUE SUITE 2402 NEW YORK, NY 10022	INVESTMENT MANAGEMENT	111,782
THE NORTHERN TRUST COMPANY 50 SOUTH LASALLE ST CHICAGO, IL 60603	INVESTMENT CUSTODY/MANAGEMENT SERVICES	109,679
HEWITT ENNISKNUPP INC AN AON COMPANY 39584 TREASURY CENTER CHICAGO, IL 60694	INVESTMENT OVERSIGHT AND ADVISING	105,343
CBRE CLARION SECURITIES 201 KING OF PRUSSIA ROAD SUITE 600 RADNOR, PA 19087	INVESTMENT MANAGEMENT	51,624
<b>Total</b> number of others receiving over \$50,000 for professional services. . . . .		0

**Part IX-A Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
<b>1</b> SEE STATEMENT 18	421,130
<b>2</b> SEE STATEMENT 18	207,117
<b>3</b> SEE STATEMENT 18	161,500
<b>4</b> SEE STATEMENT 18	87,046

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount	
<b>1</b> INCREASED INVESTMENT IN SOUTHERN BANCORP	249,734	
<b>2</b> _____ _____ _____		
All other program-related investments See instructions		
<b>3</b> _____ _____		
<b>Total.</b> Add lines 1 through 3 . . . . .		249,734

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
<b>a</b>	Average monthly fair market value of securities. . . . .	<b>1a</b>	138,182,163
<b>b</b>	Average of monthly cash balances. . . . .	<b>1b</b>	4,268,316
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b>	0
<b>d</b>	<b>Total</b> (add lines 1a, b, and c). . . . .	<b>1d</b>	142,450,479
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	<b>1e</b>	0
<b>2</b>	Acquisition indebtedness applicable to line 1 assets. . . . .	<b>2</b>	0
<b>3</b>	Subtract line 2 from line 1d. . . . .	<b>3</b>	142,450,479
<b>4</b>	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b>	2,136,757
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3 Enter here and on Part V, line 4	<b>5</b>	140,313,722
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	<b>6</b>	7,015,686

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

<b>1</b>	Minimum investment return from Part X, line 6. . . . .	<b>1</b>	7,015,686
<b>2a</b>	Tax on investment income for 2014 from Part VI, line 5. . . . .	<b>2a</b>	173,476
<b>b</b>	Income tax for 2014 (This does not include the tax from Part VI). . . . .	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b. . . . .	<b>2c</b>	173,476
<b>3</b>	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	<b>3</b>	6,842,210
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>	65,244
<b>5</b>	Add lines 3 and 4. . . . .	<b>5</b>	6,907,454
<b>6</b>	Deduction from distributable amount (see instructions). . . . .	<b>6</b>	0
<b>7</b>	<b>Distributable amount</b> as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . .	<b>7</b>	6,907,454

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
<b>a</b>	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26. . . . .	<b>1a</b>	6,259,462
<b>b</b>	Program-related investments—total from Part IX-B. . . . .	<b>1b</b>	249,734
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. . . . .	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required). . . . .	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule). . . . .	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	6,509,196
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions). . . . .	<b>5</b>	0
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	<b>6</b>	6,509,196

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



**Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2013	(c) 2013	(d) 2014
<b>1</b> Distributable amount for 2014 from Part XI, line 7				6,907,454
<b>2</b> Undistributed income, if any, as of the end of 2014				
<b>a</b> Enter amount for 2013 only. . . . .			0	
<b>b</b> Total for prior years 20__ , 20__ , 20__		0		
<b>3</b> Excess distributions carryover, if any, to 2014				
<b>a</b> From 2009. . . . .	2,272,839			
<b>b</b> From 2010. . . . .	1,380,544			
<b>c</b> From 2011. . . . .	1,391,133			
<b>d</b> From 2012. . . . .	420,036			
<b>e</b> From 2013. . . . .				
<b>f</b> Total of lines 3a through e. . . . .	5,464,552			
<b>4</b> Qualifying distributions for 2014 from Part XII, line 4 ▶ \$ <u>6,509,196</u>				
<b>a</b> Applied to 2013, but not more than line 2a			0	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .		0		
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .	0			
<b>d</b> Applied to 2014 distributable amount. . . . .				6,509,196
<b>e</b> Remaining amount distributed out of corpus		0		
<b>5</b> Excess distributions carryover applied to 2014 <i>(If an amount appears in column (d), the same amount must be shown in column (a).)</i>	398,258			398,258
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	5,066,294			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b. . . . .		0		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . .		0		
<b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions. . . . .		0		
<b>e</b> Undistributed income for 2013 Subtract line 4a from line 2a Taxable amount—see instructions. . . . .			0	
<b>f</b> Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015. . . . .				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions). . . . .	89,000			
<b>8</b> Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions). . . . .	1,785,581			
<b>9</b> Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a. . . . .	3,191,713			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2010. . . . .	1,380,544			
<b>b</b> Excess from 2011. . . . .	1,391,133			
<b>c</b> Excess from 2012. . . . .	420,036			
<b>d</b> Excess from 2013. . . . .				
<b>e</b> Excess from 2014. . . . .				

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

**1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2014, enter the date of the ruling. . . . .

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

	Tax year	Prior 3 years			(e) Total
	(a) 2014	(b) 2013	(c) 2012	(d) 2011	
<b>2a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .					
<b>b</b> 85% of line 2a . . . . .					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed . . . . .					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities . . . . .					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c . . . . .					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon					
<b>a</b> "Assets" alternative test—enter					
<b>(1)</b> Value of all assets . . . . .					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . . . .					
<b>c</b> "Support" alternative test—enter					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) . . . . .					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . . .					
<b>(3)</b> Largest amount of support from an exempt organization					
<b>(4)</b> Gross investment income					

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

**1 Information Regarding Foundation Managers:**

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

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

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

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

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**a** The name, address, and telephone number or e-mail address of the person to whom applications should be addressed  
 ONLINE AT WWWRFUNDATIONORG  
 225 EAST MARKHAM STREET SUITE 200  
 LITTLE ROCK, AR 72201  
 (501) 376-6854

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**b** The form in which applications should be submitted and information and materials they should include  
 SEE STATEMENT 19

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**c** Any submission deadlines  
 SEE STATEMENT 19

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**d** Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors  
 SEE STATEMENT 19

**Part XV** **Supplementary Information** (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i> SEE STATEMENT 20 VARIOUS LITTLE ROCK, AR 72201			SEE STATEMENT 20	3,670,689
YOUNG ADULT OPPORTUNITY CENTER 1200 BISHIP WARREN DRIVE LITTLE ROCK, AR 72204		PC	TO PROVIDE COMPUTERS AND OTHER TECHNOLOGICAL EQUIPMENT	1,199
<b>Total . . . . .</b>				<b>3a</b> 3,671,888
<b>b</b> <i>Approved for future payment</i> SEE STATEMENT 20 VARIOUS LITTLE ROCK, AR 72201			SEE STATEMENT 20	2,299,210
<b>Total . . . . .</b>				<b>3b</b> 2,299,210





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

**Schedule of Contributors**

OMB No 1545-0047

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

**2014**

▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

**Name of the organization**

THE WINTHROP ROCKEFELLER FOUNDATION

**Employer identification number**

71-0285871

Organization type (check one)

**Filers of:**

**Section:**

Form 990 or 990-EZ

501(c)( ) (enter number) organization

4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

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

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

**General Rule**

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33<sup>1</sup>/<sub>3</sub>% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. . . . ▶ \$ \_\_\_\_\_

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

Name of organization  
THE WINTHROP ROCKEFELLER FOUNDATION

Employer identification number  
71-0285871

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	TRUST UW WINTHROP ROCKEFELLER 2230 COTTONDALE LANE SUITE 6  LITTLE ROCK, AR 72202	\$ 89,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>  (Complete Part II for noncash contributions )
—	   	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>  (Complete Part II for noncash contributions )
—	   	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>  (Complete Part II for noncash contributions )
—	   	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>  (Complete Part II for noncash contributions )
—	   	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>  (Complete Part II for noncash contributions )
—	   	\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/>  (Complete Part II for noncash contributions )

Name of organization  
THE WINTHROP ROCKEFELLER FOUNDATION

Employer identification number  
71-0285871

**Part II** Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____
_____	_____ _____ _____	_____ \$	_____



Name of organization  
THE WINTHROP ROCKEFELLER FOUNDATION

Employer identification number  
71-0285871

**Part III** Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$ \_\_\_\_\_  
Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____	_____
_____	_____
_____	_____

## TY 2014 Accounting Fees Schedule

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
JPMS COX - AUDIT AND TAX PREPARATION SERVICES	49,312	13,000	0	36,312
LOVE AND ASSOCIATES - QUARTERLY INTERNAL AUDIT REVIEWS	2,418	0	0	2,418
GUENTHER ACCOUNTING SOLUTIONS - PAYROLL PROCESSING AND TIMEKEEPING SERVICES	4,800	0	0	4,800
COMPLETE PAYROLL SERVICES - PAYROLL PROCESSING AND TIMEKEEPING SERVICES	1,756	0	0	1,756

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

## TY 2014 Expenditure Responsibility Statement

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Grantee's Name	Grantee's Address	Grant Date	Grant Amount	Grant Purpose	Amount Expended By Grantee	Any Diversion By Grantee?	Dates of Reports By Grantee	Date of Verification	Results of Verification
GRANDSLAM PERFORMANCE ASSOCIATES LLC	1672 E JOYCE BOULEVARD SUITE 1 FAYETTEVILLE, AR 72703	2013-09-30	10,000	SEE STATEMENT 22	10,000				
FTN ASSOCIATES LTD	3 INNWOOD CIRCLE SUITE 200 LITTLE ROCK, AR 72211	2005-09-30	18,000	SEE STATEMENT 22	18,000				

**TY 2014 Investments Corporate  
Bonds Schedule****Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

<b>Name of Bond</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
NTGI BOND FUND - SEE STATEMENT 21	12,433,158	12,433,158
PIMCO FIXED INCOME FUND - SEE STATEMENT 21	6,686,073	6,686,073
CCM FIXED INCOME FUND - SEE STATEMENT 21	11,400,672	11,400,672

**TY 2014 Investments Corporate  
Stock Schedule****Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

<b>Name of Stock</b>	<b>End of Year Book Value</b>	<b>End of Year Fair Market Value</b>
ARTISAN - SEE STATMENT 21	14,810,128	14,810,128
KR CAPITAL - SEE STATEMENT 21	11,677,248	11,677,248
GMO INT'L FUND - SEE STATEMENT 21	14,315,340	14,315,340
CBRE CLARION REITS - SEE STATEMENT 21	6,877,632	6,877,632
ADVISORY RESEARCH EQUITIES - SEE STATEMENT 21	3,824,897	3,824,897
HERNDON CAPITAL EQUITIES - SEE STATEMENT 21	7,428,227	7,428,227
BLACKROCK EQUITY - SEE STATEMENT 21	13,982,197	13,982,197
RANGER EQUITIES - SEE STATEMENT 21	4,182,493	4,182,493
RUSSELL 1000 GROWTH EQUITIES	11,716,565	11,716,565

# TY 2014 Legal Fees Schedule

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
WRIGHT, LINDSEY, & JENNINGS - GENERAL BUSINESS COUNSEL	21,445	0	0	21,445

## TY 2014 Other Assets Schedule

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PROGRAM RELATED INVESTMENTS	4,892,168	5,076,658	5,076,658
ACCRUED INTEREST RECEIVABLE	138,188	272,172	272,172
WRCT IN LIEU OF GRANT RECEIVABLE	22,250	22,250	22,250

**TY 2014 Other Decreases Schedule****Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

<b>Description</b>	<b>Amount</b>
UNREALIZED GAINS/(LOSSES) ON INVESTMENTS	3,569,863
CASH VERSUS ACCRUAL BASIS ON INTEREST	666
MONDRIAN FOCUSED EMERGING MARKETS EQUITY FUND, L.P.	609,589
LAZARD, LTD	532



# TY 2014 Other Expenses Schedule

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INSURANCE	16,290	0	0	16,290
POSTAGE	1,344	0	0	1,344
DUES & SUBSCRIPTIONS	61,393	0	0	61,393
OFFICE EXPENSES	201,218	0	0	201,218
PROGRAM EXPENSES	203,206	0	0	203,206
ACCRUAL TO CASH CONVERSION	0	0	0	-79,704
PASSTHROUGH PORTFOLIO DEDUCTIONS	15,740	10,122	0	0
CONVENTIONS AND MEETINGS	14,968	0	0	14,968
PROFESSIONAL DEVELOPMENT	11,689	0	0	11,689
PASSTHROUGH LOSSES - FUND FOR ARKANSAS FUTURE	22,056	22,056	0	0
COMMITTEE SUPPORT - TRUSTEE	4,274	0	0	4,274
BANK CHARGES	78	0	0	78
BOARD APPRECIATION	250	0	0	250
TRUSTEE OPERATIONS EXPENSE	23,264	0	0	23,264
COMPUTER TRAINING	3,520	0	0	3,520
PASSTHROUGH LOSSES - DIAMOND STATE VENTURES II	53,602	53,602	0	0
PASSTHROUGH LOSSES - DIAMOND STATE VENTURES III	47,222	47,222	0	0

## TY 2014 Other Income Schedule

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
NT BOND FUND TRUST MISCELLANEOUS INVESTMENT INCOME	9,084	9,084	
MONDRIAN FOCUSED EMERGING MARKETS EQUITY FUND, LP	7,786	7,786	
BLACKROCK	716	716	

**TY 2014 Other Increases Schedule****Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

<b>Description</b>	<b>Amount</b>
FUND FOR ARKANSAS' FUTURE, LLC	22,823
DIAMOND STATE VENTURES II, L.P.	1,093
DIAMOND STATE VENTURES III, L.P.	30,527

# TY 2014 Other Professional Fees Schedule

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT OVERSIGHT	95,735	95,735	0	0
MANAGEMENT FEES - REITS	51,624	51,624	0	0
INVESTMENT MGMT FEES - KR CAPITAL	111,782	111,782	0	0
INVESTMENT MGMT FEES - NORTHERN TRUST	202	202	0	0
INVESTMENT MGMT FEES - ADVISORY RESEARCH	45,890	45,890	0	0
CUSTODIAL BANK FEES	94,940	94,940	0	0
ADVISORY FEES - KR CAPITAL	142	142	0	0
TRUSTEE FEES- NT BOND INDEX FUND	4,296	4,296	0	0
PROGRAM EVALUATION	1,875	0	0	1,875
CONSULTING FEES	48,359	0	0	48,359
CONSULTING FEES - PROGRAM	138,106	0	0	138,106
COMMUNICATIONS SUPPORT - PROGRAM	51,700	0	0	51,700
INVESTMENT MGMT FEES - HERNDON	40,445	40,445	0	0
INVESTMENT MGMT FEES - RANGER	38,683	38,683	0	0
AR GLR & OTL	113,269	0	0	113,269
PROFESSIONAL FEES-BOND INDEX	1,045	1,045	0	0
FORWARD ARKANSAS INITIATIVE	250,000	0	0	250,000

## TY 2014 Taxes Schedule

**Name:** THE WINTHROP ROCKEFELLER FOUNDATION

**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX	157,672	0	0	0
FOREIGN TAXES	89,602	89,602	0	0

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

<b>(a)</b> List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	<b>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo , day, yr )	<b>(d)</b> Date sold (mo , day, yr )
ADVISORY-SHORT TERM (SEE STMT 15D)	P		
ADVISORY-LONG TERM (SEE STMT 15D)	P		
BLACKROCK-SHORT TERM (SEE STMT 15I)	P		
GMO-LONG TERM (SEE STMT 15J)	P		
HERNDON-SHORT TERM (SEE STMT 15F)	P		
HERNDON-LONG TERM (SEE STMT 15F)	P		
KR CAPITAL-SHORT TERM (SEE STATEMENT 15A)	P		
KR CAPITAL-LONG TERM (SEE STATEMENT 15A)	P		
PIMCO-SHORT TERM (SEE STMT 15C)	P		
PIMCO-LONG TERM (SEE STMT 15C)	P		

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

<b>(e)</b> Gross sales price	<b>(f)</b> Depreciation allowed (or allowable)	<b>(g)</b> Cost or other basis plus expense of sale	<b>(h)</b> Gain or (loss) (e) plus (f) minus (g)
340,847		323,448	17,399
1,721,737		1,085,173	636,564
400,000		388,901	11,099
1,000,000		1,157,299	-157,299
2,344,735		2,331,907	12,828
2,153,973		1,502,692	651,281
567,211		496,302	70,909
2,128,423		1,414,735	713,688
622,806		614,634	8,172
4,327,194		4,234,416	92,778

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			<b>(l)</b> Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
<b>(i)</b> F M V as of 12/31/69	<b>(j)</b> Adjusted basis as of 12/31/69	<b>(k)</b> Excess of col (i) over col (j), if any	
			17,399
			636,564
			11,099
			-157,299
			12,828
			651,281
			70,909
			713,688
			8,172
			92,778

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

<b>(a)</b> List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	<b>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo., day, yr.)	<b>(d)</b> Date sold (mo., day, yr.)
RANGER-SHORT TERM (SEE STMT 15H)	P		
RANGER-LONG TERM (SEE STMT 15H)	P		
CASH ACCOUNT-SHORT TERM (SEE STMT 15G)	P		
ARTISIAN-SHORT TERM (SEE ATTACHED 15K)	P		
ARTISIAN-LONG TERM (SEE ATTACHED 15K)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI-QM COM DAILY (SEE STMT 15E)	P		
MFB NTGI COMMON DAILY (SEE STMT 15E)	P		

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

<b>(e)</b> Gross sales price	<b>(f)</b> Depreciation allowed (or allowable)	<b>(g)</b> Cost or other basis plus expense of sale	<b>(h)</b> Gain or (loss) (e) plus (f) minus (g)
1,214,869		1,306,651	-91,782
1,896,601		1,168,648	727,953
1,262		1,167	95
139,224		143,435	-4,211
285,777		288,466	-2,689
189,885		186,401	3,484
1,510,115		1,133,446	376,669
50,498			50,498
836,509			836,509
35,179			35,179

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			<b>(l)</b> Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
<b>(i)</b> FMV as of 12/31/69	<b>(j)</b> Adjusted basis as of 12/31/69	<b>(k)</b> Excess of col (i) over col (j), if any	
			-91,782
			727,953
			95
			-4,211
			-2,689
			3,484
			376,669
			50,498
			836,509
			35,179

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

<b>(a)</b> List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	<b>(b)</b> How acquired P—Purchase D—Donation	<b>(c)</b> Date acquired (mo , day, yr )	<b>(d)</b> Date sold (mo , day, yr )
MFB NTGI COMMON DAILY (SEE STMT 15E)	P		
CBRE-SHORT TERM (SEE STMT 15B)	P		
CBRE-LONG TERM (SEE STMT 15B)	P		
P/T MONDRIAN FOCUSED EMERGING MARKETS EQUITY FUND S/T(SEE STMT 16A)	P		
P/T MONDRIAN FOCUSED EMERGING MARKETS EQUITY FUND L/T(SEE STMT 16A)	P		
P/T D S V II, LP (SEE STMT 16B)	P		
REGULATED FUTURES CONTRACTS	P		
CAPITAL GAINS DIVIDENDS	P		

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

<b>(e)</b> Gross sales price	<b>(f)</b> Depreciation allowed (or allowable)	<b>(g)</b> Cost or other basis plus expense of sale	<b>(h)</b> Gain or (loss) (e) plus (f) minus (g)
22,786			22,786
1,425,371		1,420,119	5,252
1,500,187		1,078,995	421,192
66,735			66,735
206,853			206,853
1,314			1,314
		556	-556
1,451,026			1,451,026

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			<b>(l)</b> Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
<b>(i)</b> F M V as of 12/31/69	<b>(j)</b> Adjusted basis as of 12/31/69	<b>(k)</b> Excess of col (i) over col (j), if any	
			22,786
			5,252
			421,192
			66,735
			206,853
			1,314
			-556
			1,451,026



**Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SHERECE WEST-SCANTLEBURY 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	PRESIDENT & CEO 50 00	267,018	38,756	0
ANDREA DOBSON 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	COFO 50 00	205,150	40,215	0
JERRY ADAMS 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 36	0	0	0
RENE BRYCE-LAPORTE 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 3 28	0	0	0
VICKI SAVIERS 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 42	0	0	0
LISENNE ROCKEFELLER 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 1 68	0	0	0
DAVID RAINEY 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 95	0	0	0
DIANA GONZALES WORTHEN 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 17	0	0	0
ANDRE GUERRERO 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 1 81	0	0	0
YVETTE MURPHY-ERBY 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 90	0	0	0
TOYCE NEWTON 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	CHAIR 5 79	0	0	0
PLEDGER E MONK III 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 3 45	0	0	0
PHILLIP N BALDWIN 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	VICE CHAIR 3 42	0	0	0
REGAN GRUBER MOFFITT 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	BOARD SECRETARY 50 00	119,860	22,206	0
SUSAN HARRIMAN 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 10	0	0	0
XOCHITL DELGADO-SOLORZANO 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	BOARD LIAISON 40 00	48,073	11,017	0
FREDDIE BLACK 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 3 00	0	0	0
HELEN DORADO ALESSI 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 1 85	0	0	0
CALVIN WHITE 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 06	0	0	0