

Form **990-PF**
 Department of the Treasury
 Internal Revenue Service

Return of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation
 ▶ Do not enter social security numbers on this form as it may be made public.
 ▶ Go to www.irs.gov/Form990PF for instructions and the latest information.

OMB No 1545-0052
2018
Open to Public Inspection

For calendar year 2018, or tax year beginning 01-01-2018, and ending 12-31-2018

Name of foundation THE WINTHROP ROCKEFELLER FOUNDATION		A Employer identification number 71-0285871
Number and street (or P O box number if mail is not delivered to street address) 225 EAST MARKHAM STREET NO 200	Room/suite	B Telephone number (see instructions) (501) 376-6854
City or town, state or province, country, and ZIP or foreign postal code LITTLE ROCK, AR 72201		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2 Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ <u>130,783,646</u>	J Accounting method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ <i>(Part I, column (d) must be on cash basis)</i>	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</i>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	2,269,500			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	571,171	895,617		
	4 Dividends and interest from securities	1,035,837	1,558,752		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	2,224,823			
	b Gross sales price for all assets on line 6a	12,310,450			
	7 Capital gain net income (from Part IV, line 2)		3,620,696		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)	0	71,578			
12 Total. Add lines 1 through 11	6,101,331	6,146,643	0		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	817,935	118,217	0	699,718
	14 Other employee salaries and wages	589,163	0	0	589,163
	15 Pension plans, employee benefits	414,675	23,153	0	391,523
	16a Legal fees (attach schedule)	11,235	3,137	0	8,098
	b Accounting fees (attach schedule)	53,940	27,186	0	26,754
	c Other professional fees (attach schedule)	702,546	603,181	0	149,656
	17 Interest	20	128,576	0	0
	18 Taxes (attach schedule) (see instructions)		98,883		
	19 Depreciation (attach schedule) and depletion	48,773	0	0	
	20 Occupancy	132,320	0	0	132,320
	21 Travel, conferences, and meetings	70,443	3,013	0	67,431
	22 Printing and publications	78,408	0	0	77,181
	23 Other expenses (attach schedule)	853,309	395,827	0	493,922
	24 Total operating and administrative expenses. Add lines 13 through 23	3,772,767	1,401,173	0	2,635,766
	25 Contributions, gifts, grants paid	1,181,356			2,306,739
26 Total expenses and disbursements. Add lines 24 and 25	4,954,123	1,401,173	0	4,942,505	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	1,147,208				
b Net investment income (if negative, enter -0-)		4,745,470			
c Adjusted net income (if negative, enter -0-)			0		

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	8,314,744	10,438,560	10,438,560
	3 Accounts receivable ▶ <u>73,913</u>			
	Less allowance for doubtful accounts ▶ _____	55,469	73,913	73,913
	4 Pledges receivable ▶ _____			
	Less allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____			
	Less allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges		75,289	75,289
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	105,669,140	94,859,234	94,859,234
	c Investments—corporate bonds (attach schedule)	19,307,690	17,343,057	17,343,057
	11 Investments—land, buildings, and equipment basis ▶ _____			
Less accumulated depreciation (attach schedule) ▶ _____				
12 Investments—mortgage loans				
13 Investments—other (attach schedule)				
14 Land, buildings, and equipment basis ▶ <u>641,686</u>				
Less accumulated depreciation (attach schedule) ▶ <u>303,591</u>	77,347	338,095	338,095	
15 Other assets (describe ▶ _____)	7,771,318	7,655,498	7,655,498	
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	141,195,708	130,783,646	130,783,646	
Liabilities	17 Accounts payable and accrued expenses	353,692	703,945	
	18 Grants payable	2,225,054	1,142,837	
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule).			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)	2,578,746	1,846,782	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	138,616,962	128,936,864	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg , and equipment fund			
29 Retained earnings, accumulated income, endowment, or other funds				
30 Total net assets or fund balances (see instructions)	138,616,962	128,936,864		
31 Total liabilities and net assets/fund balances (see instructions) .	141,195,708	130,783,646		

Part III Analysis of Changes in Net Assets or Fund Balances			
1 Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)		1	138,616,962
2 Enter amount from Part I, line 27a		2	1,147,208
3 Other increases not included in line 2 (itemize) ▶ _____		3	0
4 Add lines 1, 2, and 3		4	139,764,170
5 Decreases not included in line 2 (itemize) ▶ _____		5	10,827,306
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .		6	128,936,864

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.)
1a See Additional Data Table			
b			
c			
d			
e			

(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)
a See Additional Data Table			
b			
c			
d			
e			

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) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a See Additional Data Table			
b			
c			
d			
e			

2 Capital gain net income or (net capital loss)	2	3,620,696
3 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	3	

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))
2017	8,199,035	126,532,909	0.064798
2016	7,852,817	123,286,602	0.063696
2015	8,451,846	134,529,115	0.062825
2014	6,509,196	140,313,722	0.046390
2013	5,427,176	132,374,024	0.040999
2 Total of line 1, column (d)			0.278708
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years			0.055742
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5			130,225,730
5 Multiply line 4 by line 3			7,259,043
6 Enter 1% of net investment income (1% of Part I, line 27b)			47,455
7 Add lines 5 and 6			7,306,498
8 Enter qualifying distributions from Part XII, line 4			4,942,505

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 instructions)

1a	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	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	1	94,909
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	0
3	Add lines 1 and 2.	3	94,909
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	0
5	Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-	5	94,909
6	Credits/Payments		
a	2018 estimated tax payments and 2017 overpayment credited to 2018	6a	160,854
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	0
d	Backup withholding erroneously withheld	6d	0
7	Total credits and payments Add lines 6a through 6d.	7	160,854
8	Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	0
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid ▶	10	65,945
11	Enter the amount of line 10 to be Credited to 2019 estimated tax ▶ 65,945 Refunded ▶	11	0

Part VII-A Statements Regarding Activities

	Yes	No
1a 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?	1a	No
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>	1b	No
c Did the foundation file Form 1120-POL for this year?.	1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ 0 (2) On foundation managers ▶ \$ _____ 0		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____ 0		
2 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>	2	No
3 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>	3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?.	4a	Yes
b If "Yes," has it filed a tax return on Form 990-T for this year?.	4b	Yes
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>	5	No
6 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?	6	Yes
7 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>	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ AR _____		
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> .	8b	Yes
9 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 2018 or the taxable year beginning in 2018? See the instructions for Part XIV <i>If "Yes," complete Part XIV</i>	9	No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10	No

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule See instructions.
12 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
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address WWW WRFOUNDATION ORG/WWW GUIDESTAR ORG
14 The books are in care of ANDREA M DOBSON Telephone no (501) 376-6854

Located at 225 EAST MARKHAM STREET STE 200 LITTLE ROCK AR ZIP+4 72201

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 -check here and enter the amount of tax-exempt interest received or accrued during the year 15

16 At any time during calendar year 2018, 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 the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes", enter the name of the foreign country

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.

1a 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?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(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)?
(6) Agree to pay money or property to a government official?
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance?
c 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 2018?
2 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))
a At the end of tax year 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018?
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income?
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?
b If "Yes," did it have excess business holdings in 2018 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?
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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 2018?

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					Yes	No
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No				
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No				
(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No				
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> 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?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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.					5b	Yes
Organizations relying on a current notice regarding disaster assistance check here.			<input type="checkbox"/>			
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? If "Yes," attach the statement required by Regulations section 53.4945–5(d).	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No				
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No			6b	No
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? If "Yes" to 6b, file Form 8870.						
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No			7b	
b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?						
8 Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment during the year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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	208,780	44,127	0
ANDREW FORD 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	INTERIM SENIOR ASSOC 40 00	93,750	15,783	0
MICHAEL CASTENS 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	GRANT AND OPERATIONS 40 00	80,707	16,386	0
LISA DIXON 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	PROGRAM ASSOCIATE 40 00	70,854	25,828	0
SARAH MCBROOM 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	PROGRAM ASSOCIATE 40 00	59,871	18,225	0
Total number of other employees paid over \$50,000.				3

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
CAMBRIDGE ASSOCIATES 125 HIGH STREET BOSTON, MA 021102112	INVESTMENT ADVISORY SERVICES	260,423
OAKVIEW CAPITAL MANAGEMENT 3879 MAPLE AVENUE STE 300 DALLAS, TX 75219	INVESTMENT MANAGEMENT SERVICES	77,439
DOXA TOTAL DESIGN STRATEGY INC 311 DICKSON STREET SUITE 202 FAYETTEVILLE, AR 727015144	ANNUAL REPORT DESIGN & PRODUCTION	75,968
THE NORTHERN TRUST COMPANY 50 SOUTH LASALLE ST CHICAGO, IL 60603	INVESTMENT CUSTODY/ MANAGEMENT SERVICES	72,244
ARKANSAS COMMUNITY FOUNDATION 5 ALLIED DRIVE SUITE 51110 LITTLE ROCK, AR 72202	CAPITAL ACCESS RESEARCH STUDY	60,000
Total number of others receiving over \$50,000 for professional services. ▶		1

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
1 SEE STATEMENT 18	141,483
2 SEE STATEMENT 18	138,894
3 SEE STATEMENT 18	134,104
4 SEE STATEMENT 18	131,256

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
1 NONE MADE IN 2018	0
2	
3	
All other program-related investments See instructions	
Total. Add lines 1 through 3 ▶	0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities.	1a	125,929,995
b	Average of monthly cash balances.	1b	6,278,868
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	132,208,863
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	132,208,863
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	1,983,133
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	130,225,730
6	Minimum investment return. Enter 5% of line 5.	6	6,511,287

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.)

1	Minimum investment return from Part X, line 6.	1	6,511,287
2a	Tax on investment income for 2018 from Part VI, line 5.	2a	94,909
b	Income tax for 2018 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	94,909
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	6,416,378
4	Recoveries of amounts treated as qualifying distributions.	4	149,491
5	Add lines 3 and 4.	5	6,565,869
6	Deduction from distributable amount (see instructions).	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	6,565,869

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	1a	4,942,505
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	4,942,505
5	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.	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	4,942,505

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 2017	(c) 2017	(d) 2018
1 Distributable amount for 2018 from Part XI, line 7				6,565,869
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only.			0	
b Total for prior years 20___, 20___, 20___		0		
3 Excess distributions carryover, if any, to 2018				
a From 2013.				
b From 2014.				
c From 2015.				1,847,793
d From 2016.				1,698,611
e From 2017.				1,952,914
f Total of lines 3a through e.	5,499,318			
4 Qualifying distributions for 2018 from Part XII, line 4 ▶ \$ <u>4,942,505</u>				
a Applied to 2017, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).		0		
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2018 distributable amount.				4,942,505
e Remaining amount distributed out of corpus				0
5 Excess distributions carryover applied to 2018 (If an amount appears in column (d), the same amount must be shown in column (a))	1,623,364			1,623,364
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	3,875,954			
b Prior years' undistributed income Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.		0		
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2017 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2018 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2019				0
7 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			
8 Excess distributions carryover from 2013 not applied on line 5 or line 7 (see instructions).	0			
9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a	3,786,954			
10 Analysis of line 9				
a Excess from 2014.				
b Excess from 2015.				135,429
c Excess from 2016.				1,698,611
d Excess from 2017.				1,952,914
e Excess from 2018.				

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 2018, 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) 2018	(b) 2017	(c) 2016	(d) 2015	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c "Support" alternative test—enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation 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))

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. to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions.

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

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

c Any submission deadlines
 SEE STATEMENT 19

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 Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> SEE STATEMENT 20 VARIOUS LITTLE ROCK, AR 72201			SEE STATEMENT 20	2,306,739
Total ▶ 3a				
b <i>Approved for future payment</i> SEE STATEMENT 20 VARIOUS LITTLE ROCK, AR 72201			SEE STATEMENT 20	615,994
Total ▶ 3b				

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

Table with columns for question numbers (1, a, b, c, d), descriptions of transactions, and Yes/No response columns. Includes sub-items like 'Cash', 'Other assets', and 'Sales of assets'.

Table with 4 columns: (a) Line No, (b) Amount involved, (c) Name of noncharitable exempt organization, and (d) Description of transfers, transactions, and sharing arrangements.

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) (other than section 501(c)(3)) or in section 527? [] Yes [x] No
b If "Yes," complete the following schedule
(a) Name of organization (b) Type of organization (c) Description of relationship

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
***** 2019-09-05 *****
Signature of officer or trustee Date Title

May the IRS discuss this return with the preparer shown below (see instr)? [x] Yes [] No

Paid Preparer Use Only
Print/Type preparer's name: MICHELLE MANN
Preparer's Signature
Date: 2019-08-23
Check if self-employed []
PTIN: P01064483
Firm's name: HOGANTAYLOR LLP
Firm's EIN: 73-1413977
Firm's address: 11300 CANTRELL ROAD SUITE 301, LITTLE ROCK, AR 72212
Phone no: (501) 227-5800

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

List and describe the kind(s) of property sold (e.g., real estate, (a) 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.)
1 PROGRAM-RELATED INVESTMENTS GAIN/LOSS	P		
1 P/T CNX - L/T (SEE STMT 16C)			
P/T NEWTYN TE PARTNERS - S/T (SEE STMT 16E)	P		
P/T CIM ENTERPRISE LOAN FUND - S/T (SEE STMT 16G)	P		
P/T DIAMOND STATE VENTURES III - L/T (SEE STMT 16B)	P		
LOSS ON DISPOSITION OF ASSETS	P		
P/T DIAMOND STATE VENTURES II - L/T (SEE STMT 16A)	P		
P/T GQG PARTNERS - S/T (SEE STMT 16M)	P		
P/T NEWTYN TE PARTNERS - L/T (SEE STMT 16E)	P		
P/T FUND FOR ARKANSAS' FUTURE - L/T (SEE STMT 16J)	P		

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

(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)
148,666			148,666
		16,268	-16,268
		54,761	-54,761
		40,393	-40,393
2,866			2,866
		3,677	-3,677
58,085			58,085
59,122			59,122
114,978			114,978
116,114			116,114

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			(I) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
			148,666
			-16,268
			-54,761
			-40,393
			2,866
			-3,677
			58,085
			59,122
			114,978
			116,114

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

List and describe the kind(s) of property sold (e g , real estate, (a) 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)
CAPITAL GAIN DISTRIBUTIONS	P		
1 P/T GQG PARTNERS - L/T (SEE STMT 16M)	P		
GAIN/LOSS FROM PUBLICLY-TRADED SECURITIES			

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

(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)
411,165			411,165
727,528			727,528
10,671,926		8,574,655	2,097,271

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			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			411,165
			727,528
			2,097,271

Form 990FP Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation				
(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
SHERECE WEST-SCANTLEBURY	PRESIDENT & CEO 50 00	369,645	55,972	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
ANDREA DOBSON	COFO 50 00	270,843	58,518	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
LISENNE ROCKEFELLER	DIRECTOR 1 90	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
DAVID RAINEY	CHAIRMAN 4 19	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
KILOLO KIJAKAZI	DIRECTOR 1 66	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
ROSA VELAZQUEZ	DIRECTOR 1 51	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
REGAN GRUBER MOFFITT	BOARD SECRETARY AND VICE P 50 00	177,447	33,165	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
FREDDIE BLACK	DIRECTOR 2 19	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
HELEN DORADO ALESSI	DIRECTOR 1 46	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
CALVIN WHITE	VICE CHAIRMAN 1 40	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
MIKE MALONE	DIRECTOR 2 14	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
CHRIS VINCENT	DIRECTOR 2 21	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
CHRIS CARDONA	DIRECTOR 1 89	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
WIN ROCKEFELLER JR	DIRECTOR 2 24	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				
CHARLOTTE GREEN	DIRECTOR 1 97	0	0	0
225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201				

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

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
KIISHA MORROW 225 EAST MARKHAM STREET STE 200 LITTLE ROCK, AR 72201	DIRECTOR 2 16	0	0	0

TY 2018 Accounting Fees Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING	7,508	0	0	7,508
AUDIT	33,982	27,186	0	6,796
TAX PREPARATION	12,450	0	0	12,450

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

TY 2018 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
BATESVILLE AREA CHAMBER OF COMMERCE	409 VINE STREET BATESVILLE, AR 72501	2016-04-01	65,000	SEE STATEMENT 21	65,000		7/15/2018	2018-07-15	THE GRANTEE HAS SUBMITTED DETAILED SUPPORTING DOCUMENTATION FOR THE USE OF THE FUNDS THEWINTHROP ROCKEFELLER FOUNDATION DEEMED FURTHER VERIFICATION OF THE GRANTEE'S REPORTUNNECESSARY
MARY REYNOLDS BABCOCK FOUNDATION INC	2920 REYNOLDA ROAD WINSTONSALEM, NC 27106	2016-09-29	500,000	SEE STATMENT 21	333,334		1/29/2019	2019-01-29	THE GRANTEE HAS SUBMITTED DETAILED SUPPORTING DOCUMENTATION FOR THE USE OF THE FUNDS THEWINTHROP ROCKEFELLER FOUNDATION DEEMED FURTHER VERIFICATION OF THE GRANTEE'S REPORTUNNECESSARY

TY 2018 General Explanation Attachment**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**General Explanation Attachment**

Identifier	Return Reference	Explanation	
1	REG 53 4942(A)-3(C)(2) ELECTION STATEMENT	PART XIII, LINE 7	THE TAXPAYER (THE WINTHROP ROCKEFELLER FOUNDATION, EIN 71-0285871) HEREBY ELECTS UNDER REGULATION 53 4942(A)-3(C)(2) TO TREAT \$89,000 OF PRIOR-YEAR DISTRIBUTIONS MADE OUT OF CORPUS AS A CURRENT-YEAR DISTRIBUTION OUT OF CORPUS IN ORDER TO SATISFY THE REQUIREMENTS OF SECTION 4942(G)(3) THE PRIOR-YEAR DISTRIBUTIONS DESCRIBED ABOVE WERE TREATED UNDER REGULATION 53 4942(A)-3(D)(1) (III) AS DISTRIBUTIONS OUT OF CORPUS DURING THE TAXABLE YEAR ENDING DECEMBER 31, 2015

TY 2018 Investments Corporate Bonds Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**Investments Corporate Bonds Schedule**

Name of Bond	End of Year Book Value	End of Year Fair Market Value
NORTHERN TRUST BARCLAYS AGG BOND FUND	5,609,534	5,609,534
CCM FIXED INCOME FUND	5,937,590	5,937,590
BRECKINRIDGE CAPITAL FIXED INCOME	5,795,933	5,795,933

TY 2018 Investments Corporate Stock Schedule

Name: THE WINTHROP ROCKEFELLER FOUNDATION

EIN: 71-0285871

Investments Corporation Stock Schedule

Name of Stock	End of Year Book Value	End of Year Fair Market Value
NTGI RUSSELL 1000 GROWTH EQUITY	10,367,872	10,367,872
RUSSELL 1000 VALUE EQUITIES	10,481,725	10,481,725
OAKVIEW EQUITY	4,450,436	4,450,436
KABOUTER INT'L OPP OFFSHORE FUND EQUITY	3,778,150	3,778,150
BROWN SUSTAINABLE GROWTH EQUITY	5,843,847	5,843,847
ARIEL INT'L FUND EQUITY	12,310,334	12,310,334
BLACKROCK EQUITY	4,083,920	4,083,920
AQR STYLE PREMIA EQUITY	1,745,846	1,745,846
FORT GLOBAL OFFSHORE FUND EQUITY	1,947,396	1,947,396
COATUE	1,633,987	1,633,987
LAKEWOOD	1,454,779	1,454,779
SENTINEL DOME	1,753,137	1,753,137
COMPLUS ASIA	1,678,073	1,678,073
VARADERO	1,780,851	1,780,851
HOLLIS PARK	1,508,264	1,508,264
GQG INT'L FUND EQUITY	12,425,288	12,425,288
BLACKROCK ISHARES EQUITY	8,994,008	8,994,008
CIM ENTERPRISE LOAN FUND	3,227,773	3,227,773
LONG POND OFFSHORE FUND EQUITY	2,681,156	2,681,156
ELIZABETH PARK CAPITAL OFFSHORE	1,441,330	1,441,330
BAIN CAPITAL DOUBLE IMPACT PRIVATE PARTNERSHIP	371,213	371,213
MATERIAL IMPACT	287,720	287,720
ELEVAR EQUITY IV	193,986	193,986
ILLUMEN CAPITAL	297,014	297,014
IMPACT AMERICA	121,129	121,129

TY 2018 Legal Fees Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL SERVICES	11,235	3,137	0	8,098

TY 2018 Other Assets Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**Other Assets Schedule**

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
PROGRAM RELATED INVESTMENTS	7,611,695	7,535,605	7,535,605
ACCRUED INTEREST RECEIVABLE	137,373	119,893	119,893
WRCT IN LIEU OF GRANT RECEIVABLE	22,250	0	0

TY 2018 Other Decreases Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Description	Amount
UNREALIZED GAINS/(LOSSES) ON INVESTMENTS	10,827,306

TY 2018 Other Expenses Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK CHARGES	71	0	0	71
INSURANCE	17,833	0	0	17,833
POSTAGE	692	0	0	692
DUES & SUBSCRIPTIONS	91,601	0	0	91,601
OFFICE EXPENSE	125,266	0	0	121,266
PROGRAM EXPENSES	277,707	0	0	299,386
ACCRUAL TO CASH	0	0	0	-339,992
PASSTHROUGH PORTFOLIO DEDUCTIONS	0	395,827	0	0
CONVENTIONS AND MEETINGS	203,265	0	0	198,574
PROFESSIONAL DEVELOPMENT	61,412	0	0	61,412

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TRUSTEE OPERATIONS EXPENSE	43,079	0	0	43,079
TENANT IMPROVEMENT ALLOWANCE	30,676	0	0	0
BOARD COMMITTEE SUPPORT	100	0	0	0
UBIT - CURRENT YEAR	1,607	0	0	0

TY 2018 Other Income Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
BLACKROCK	0	809	
NT BOND INDEX	0	2,257	
CCM	0	1,751	
RUSSELL 1000 VALUE	0	2,128	
RUSSELL 1000 GROWTH	0	2,714	
OTHER INCOME FROM PASSTHROUGH	0	61,162	
BROWN	0	757	

TY 2018 Other Professional Fees Schedule**Name:** THE WINTHROP ROCKEFELLER FOUNDATION**EIN:** 71-0285871

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CASH ACCOUNT MANAGEMENT FEES	0	455	0	0
INVESTMENT OVERSIGHT	260,423	260,423	0	0
TRUSTEE FEES - NT BOND INDEX	0	2,809	0	0
CUSTODIAL BANK FEES	109,401	109,401	0	0
PROFESSIONAL FEES - NT BOND INDEX	0	864	0	0
NT INVESTMENT MANAGEMENT FEES	18,665	18,665	0	0
BRECKINRIDGE INVESTMENT MANAGEMENT FEES	5,167	5,158	0	0
OAKVIEW MANAGEMENT FEE	33,027	77,439	0	0
OUTCOMES ASSESSMENT	10,626	0	0	11,123
OTHER CONSULTING	12,774	0	0	13,814
GRANTEE TECHNICAL ASSISTANCE	124,496	0	0	124,719
INVESTMENT EXPENSES ALLOCATION	127,967	127,967	0	0

Schedule B
(Form 990, 990-EZ,
or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors
▶ Attach to Form 990, 990-EZ, or 990-PF
▶ Go to www.irs.gov/Form990 for the latest information

OMB No 1545-0047
2018

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 33¹ 3% 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 Don't 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 isn't covered by the General Rule and/or the Special Rules doesn't 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 doesn't 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	\$ 2,269,500	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> <small>(Complete Part II for noncash contributions)</small>

Name of organization THE WINTHROP ROCKEFELLER FOUNDATION	Employer identification number 71-0285871
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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
_____	_____
_____	_____