





For the Rockefeller Foundation, 2005 was a year of reflection and evaluation, a time when some long-standing commitments approached the end of their planned life cycle and others were ripe for reassessment or revision. There was nothing unprecedented about this; most foundations face the need, from time to time, to rethink the way they use their resources and to take fresh stock of the ways the world has changed. We have had many such moments of transition over the past nine decades.

Still, the pace of change in the world is much faster today than when John D. Rockefeller, Sr., established the Rockefeller Foundation in 1913. The velocity of information and capital flows, the gaps in the distribution of economic and political influence around the world, and the number of institutions addressing global problems are all much greater today than at the start of the last century. For foundations—in fact, for all institutions seeking to make the most of their resources—the need for these moments of self-scrutiny and adjustment may now arise more often, and require more flexibility, than ever before.

By the time this annual report is published, the results of our deliberation and planning will be emerging. This report is necessarily retrospective in nature. It presents an ambitious body of work in a few areas of long-standing interest: agriculture and health in developing parts of the world, human and community development in low-income communities of the United States, and creative expression and exchange across continents and cultures. It takes particular note of our concentrated regional efforts in sub-Saharan Africa and in the Greater Mekong Sub-region of Southeast Asia. Such work is of lasting importance, and will require allies, funders and attentive policymakers in coming years. Drawing the interest and commitment of those additional supporters has been a fundamental purpose of much of our grantmaking, a purpose on which the remainder of this annual report will elaborate.

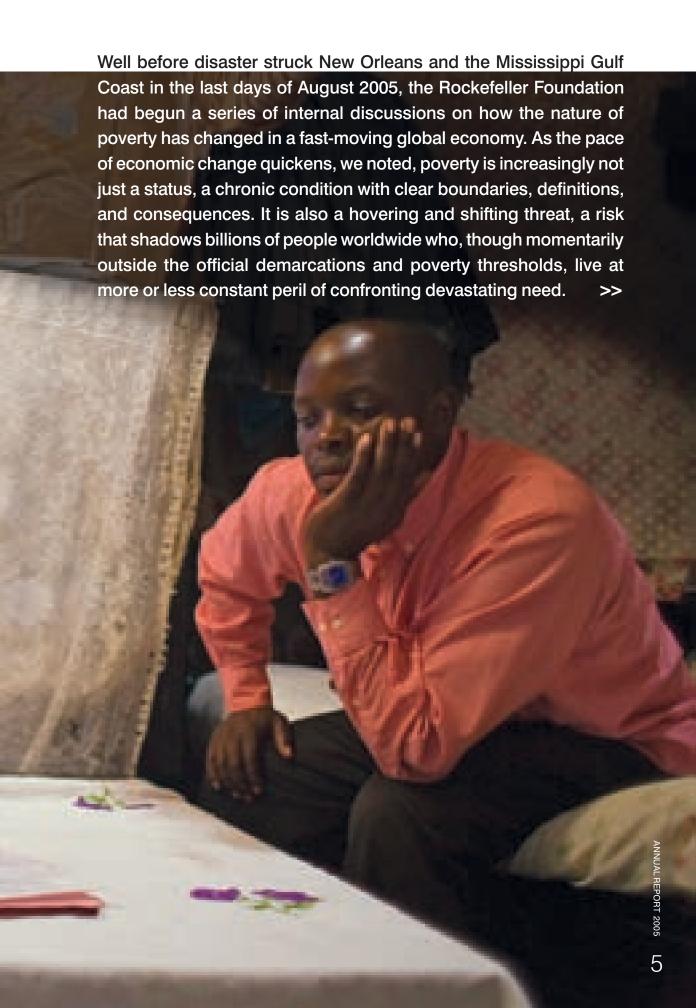
An even more fundamental purpose—one that traces from our earliest years and has remained at the core of our approach ever since—has been combating the root causes of the world's most serious problems. The work of this Foundation is to move resources, people and policies toward our program goals: to innovate, to influence people and events, to have a meaningful impact on human affairs. In particular, it is our aim to expand opportunities for poor and vulnerable people and to help ensure that the benefits of globalization are shared more equitably.

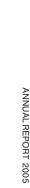
This evolving challenge will lead to a tighter focusing of our priorities in 2006 and beyond. What will not change are the values, concerns and institutional strengths that underlie the work we report on here. Those are, for us, the legacy of 93 years of philanthropy, and are our most important assets. They will guide and enrich endeavors we pursue in the months and years ahead, just as they have governed the work we are pleased to present in this annual report.

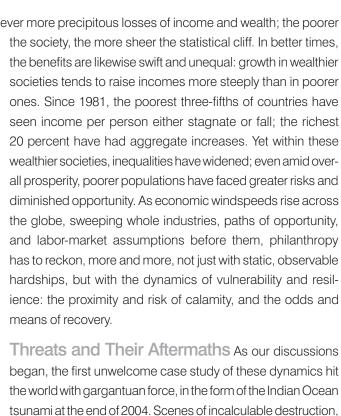
Judith Rodin, Ph.D.

April 2006









tsunami at the end of 2004. Scenes of incalculable destruction, injury and death in already poor and isolated locales naturally riveted the world's attention, including our own, on the profound vulnerability of less-developed societies. The ideas with which we were grappling, about poverty and risk, about economic and social upheaval, had always had important implications for Americans and other residents of industrial countries. But their applications and consequences were most apparent in the developing world, including in the shocking images arriving from Indonesia, Thailand, Sri Lanka and elsewhere, and before that, from the firsthand experience of our regional programs in sub-Saharan Africa and Southeast Asia.

Our immediate response to the tsunami, organized through our office in Thailand, included support for the creation of community-based trauma clinics in three of the hardest-hit districts of Indonesia's Aceh province. Efforts like these grew naturally from the Foundation's intertwining interest in health and community leadership in developing countries, though such interests of course became all the more urgent in the face of sudden catastrophe. Thus for various reasons, both before and after the tsunami, the prevailing images and language of our discussions had been rooted, at least in large part, in the special preoccupations of global poverty and international development. >>

>> And then in late summer 2005, all at once, the global became local.

Here once again, in the wake of Hurricane Katrina, were overwhelming privation, brutal physical conditions, miserable governmental collapse, heartbreaking colonies of stranded refugees. And they were in the world's richest nation, centered on one of its most iconic cities. Horrific vulnerabilities lay exposed: struggling-but-working families left homeless and penniless; segregated-but-functioning communities suddenly demolished and dispersed; a vibrant-if-fragile regional economy stripped of jobs, workers, customers, even basic infrastructure. While the suffering struck every class and subgroup, it was low-income and minority communities—in this case, overwhelmingly African-American—that were hit hardest, had the scantest means of self-protection and faced the most uncertain prospects of recovery.

In one sense, this was not exactly the kind of vulnerability most economic models tend to contemplate. Katrina was initially a natural disaster, not a side effect of market forces (though, it must be said, unbridled forces in the real estate market helped deepen the Gulf Coast's environmental risks). Yet the storm's aftermath, and the grim economic, social and environmental conditions it revealed, increasingly became a story of markets, public policy and structural vulnerability. Once the flood waters had been pumped from the streets of New Orleans, the next questions became surprisingly like those that follow catastrophes of all sorts in all kinds of places:

- Would the most disadvantaged communities come back to life at all, much less come back stronger and less susceptible to the next great danger?
- Would the recovery process provide ways of remedying the longstanding neglect and inequalities that the storm had laid bare?
- Would the rebuilding effort create opportunities for the uprooted and dispossessed—a chance to help plan a better community and to share in the enterprise of reconstruction—or would it just be a replay of the pre-storm disparities, in which opportunity remained closely correlated with wealth?

To help answer these questions, the Rockefeller Foundation made a series of grants aimed primarily at longer-term planning and rebuilding. For the shorter term, we supported the Urban League of Greater New Orleans and the Greater New Orleans Foundation's Katrina Disaster Relief Fund, to help local organizations provide basic services for displaced residents. But most of our support was aimed not at immediate relief, for which contributions were pouring in from

all over the world in amounts that dwarfed anything foundations like ours could contribute.











knew, from experience in developing communities at home and abroad, would soon become pre-eminent.

We directed support to three proven community development and housing intermediaries: the Local Initiatives Support Corporation, the Enterprise Foundation and Habitat for Humanity. In different ways, these organizations are pursuing innovative strategies for rebuilding housing and businesses, approaches that forge partnerships between low-income residents and private industry, ensure affordability, and channel investment and opportunity into the communities that had been most susceptible to hostile forces, whether economic, natural or political. These are activities for which, we were fairly sure, resources would be chronically scarce, especially in the early months. And they are fields of work in which these three organizations are deeply expert and widely respected.

From the perspective of a whole year of Foundation activity—aimed at worldwide vulnerabilities due to hunger and disease, poverty and market failures, cultural exclusion and intellectual isolation—our response to Hurricane Katrina and its aftermath describes merely one moment of hard learning and quick response. Amid our domestic grantmaking in the United States, concentrated on employment, housing, education and urban redevelopment, the response to Katrina was an important element, but only an element, of a much broader picture. Still, it lingers in our year-end thoughts, and provides a point of departure for this annual report, partly because it offered such a close-up portrait of some of the great themes that have been preoccupying us in recent years: the deepening risks confronting huge populations around the world, the steep challenge of recovery for those who lack the safeguards of surplus economic, social and human capital, and the imperative to systematically direct innovation in a direction that benefits the poor and the vulnerable.

THE ROCKEFELLER FOUNDATION

>> Ideas as Infrastructure In the post-hurricane Gulf, as in most places of scarcity and hardship, the immediately obvious capital shortages have tended to be literal: a lack of cash, equipment, buildings, roads and market mechanisms that might have lessened suffering and could now speed recovery. Many of our investments worldwide, like those in the Gulf, address such material needs head-on: support for more durable crops and higher yields for poor farmers in Africa and Southeast Asia; development of more robust commercial, housing and job markets in low-income American neighborhoods; investments in medicines, hospitals and clinics to prevent and treat diseases that destroy lives and undermine economies. In each of these cases, our support aims, either short or long term, at material improvements in the lives and opportunities of vulnerable populations.







But more and more, as global markets come to trade as much in ideas as in material wealth, one of the scarcer forms of capital in the world's most vulnerable places is intellectual: the indigenous power of a well-educated work force, vibrant channels of cultural and scholarly exchange, and expertly trained private and public leadership. In places where education is rare, expensive, reserved only for the privileged, or (commonly) all three, infusions of even large amounts of material capital tend to be less effective, and the consequences of any setback tend to be graver and longer-lasting. Investments in basic education—a mainstay of international development funding in the past few decades—need to be accompanied by opportunity for promising students, including low-income graduates of remote, rural schools, to pursue advanced studies in well-equipped, well-run universities. Even beyond the classroom, developing societies need ways of encouraging their most educated citizens to stay and work in their home societies, preventing the kind of intellectual capital flight that has stymied growth in many parts of the developing world.





for Higher Education in Africa for another five years. This \$200 million fund, following an earlier five-year effort of \$150 million, will support the continued progress of universities in seven African nations to improve their curricula, broaden enrollment, and expand opportunity for talented graduates to remain in Africa and contribute to further intellectual, cultural and material development there.

Among many other things, the partnership has invested some \$5 million in vastly increasing the Internet bandwidth available to a group of participating universities. In an arrangement with the satellite operator Intelsat, the universities will increase their available bandwidth by a factor of at least eight—at a cost less than one-third the rate most African universities normally pay. The result will be a level of connection with the rest of the world that universities in wealthier places take for granted, but without which even the most learned faculty operates at an insuperable disadvantage. Here, too, is an essential infrastructure that is measurable not in square feet, tonnage or kilometers, but in waves of thought and communication: the ability to obtain and share information, join networks, and participate in the collective inquiry of an intellectual sphere largely indifferent to time and place.

Yet even today, some forms of inquiry remain tightly bound up with the particularities of individual places, even as they draw from the worldwide exchange of information and learning. On one hand, knowledge and expertise are more mobile than ever, quickly transferable from more-developed to less-developed countries. But such transfers succeed only when expertise, leadership and capable institutions are simultaneously built and strengthened in the developing society. Scientific breakthroughs in the industrialized world have sometimes led to historic advances for developing countries—for example, in the Green Revolution of the 1950s, '60s and '70s. In those years, plant breeders drawn partly from the United States (prominently including scientists working within the Rockefeller Foundation) helped launch a historic improvement in crop yields across many parts of Latin America and Asia. But in that case, as in nearly all such cases, much of the success was due to diligent recruitment, training and deployment of local expertise—plant breeders, agronomists, farmers themselves—in adapting, advancing and using the new technology.

>> Some places, notably sub-Saharan Africa, were mostly untouched by that great wave of agricultural innovation. One important reason was that local soil and water conditions, microclimates, and gaps in infrastructure posed obstacles that were too varied and particular to be overcome by a single body of imported technology. In such circumstances, there is no substitute for resident expertise, locally trained, working closely with farmers and other participants in agricultural markets, and committed to improving life in their own societies and regions.

For example, one recent grant by the Rockefeller Foundation helped create the new African Centre for Crop Improvement at South Africa's University of KwaZulu-Natal. Among the roughly 40 doctoral candidates from a dozen African countries who have enrolled in the program so far is Chrispus Oduori, a Kenyan who has become the first person to develop hybrid varieties of finger millet. That seemingly technical achievement is significant not only because finger millet is a highly nutritious crop native to Africa, but because until now it had been of little interest to scientists anywhere else. It is a small but telling

example of what happens when local minds are equipped to tackle local problems.





much of the developing world, and a massive obstacle to recovery and growth, is the devastation wrought from readily preventable or curable diseases. Just a decade ago, the needless suffering from treatable diseases such as malaria, tuberculosis and dengue fever, and the unbridled spread of HIV/AIDS, seemed an all but inescapable trap for poor societies. Medical and pharmaceutical companies that had the wealth and technology to tackle these problems found no way of recouping the costs of developing and supplying drugs and supplies to poor countries. Governments lacked both the resources and the skilled personnel to mount an effective response on their own. Meanwhile, the catastrophic toll of infection, suffering and death ruined families, stranded children, and produced crippling labor shortages that overwhelmed communities, governments, markets and social structures.

In 1996, the Rockefeller Foundation convened a group of experts in HIV/AIDS to explore whether it would be possible for industry, philanthropy, and various development and public health agencies to collaborate in finding an AIDS vaccine—one that, if successful, would be made affordable and widely available in the developing world. Among other things, the International AIDS Vaccine Initiative (IAVI), which resulted from those discussions, would pursue avenues of research that until then had not been well-explored by existing public and private efforts. Today, though IAVI has progressed much farther than most observers would have dreamed a decade ago, the partners are still seeking the elusive vaccine—as are many other researchers in private industry and publicly funded laboratories. IAVI's work has led to considerable enthusiasm and occasional bursts of optimism, even if its success is still far from assured. >>

>> The remarkable progress of that once-tentative idea has led, in the ensuing years, to the formation of four other Foundation-sponsored partnerships. They seek effective, affordable, easily administered treatments for malaria, tuberculosis and dengue fever and—in an especially far-reaching and promising effort—a microbicide that women could administer on their own to ward off sexually transmitted diseases. All of these partnerships have attracted far more financial and technical support than at first seemed likely. Industry partners including Bayer Healthcare, Merck & Co., and Glaxo-SmithKline Biologicals have committed major resources, including access to some of their valuable intellectual property—resources that would likely have been unavailable to other kinds of initiatives.

By now, the idea of collaborative work on diseases affecting the poor has ceased to be an eccentric, speculative prospect. In fact, the idea has become the norm for tackling







diseases that require expensive research and development but where sales of the drugs would be unlikely to repay the R&D effort. A study this past year by a group at the London School of Economics showed not only the remarkable spread of this approach (the group examined 47 collaborative projects representing 75 percent of all drug-development efforts for neglected diseases), but their formidable potential: these partnerships are developing products far faster, and at much lower cost, than comparable private-sector efforts.

The work of these partnerships has far exceeded expectations, yet none of them has yet been able to test its full potential. To do that would require several times more investment, especially from government and multinational sources, than the partnerships have received thus far. The next test for these initiatives will be to determine whether their rapid progress and demonstrated promise are enough to attract the large-scale investment, well beyond the resources of foundations alone, which could carry them all the way to the finish line.







of this essay has been taken up with discussions of partnerships—within the nonprofit sector; among industry, government and philanthropy; and between international and local sources of expertise. The problems we confront increasingly defy traditional delineations of responsibility and expertise, and often overwhelm the resources of any one institution or even any single sector. In many such cases, the challenge is not only to bring together many disparate organizations and missions into a single endeavor, but to find the right use of each kind of resource and the most productive role for each participant.

That is a particular challenge for foundations, whose resources are rarely more than a tiny fraction of the amount needed to grapple effectively with major public problems. Yet the flexibility of those resources—unconstrained by the demands of either profit or politics—can sometimes compensate for their relatively small size. That was the lesson of a partnership we helped to form this past year to support New York City's effort to develop affordable housing in the midst of one of the world's most expensive real estate markets.

In the fall of 2005, we and five other foundations joined with the City of New York in launching a \$200 million New York Acquisition Fund. The fund will combine grants and guarantees from foundations and government with below-market financing from private lenders to help small and nonprofit developers build or preserve affordable housing in the city's poorer neighborhoods. Some 30,000 homes and apartments will be created or preserved this way. But the significance of the fund goes beyond the number of housing units involved. Just as important, it focuses the attention of many disparate players on fundamental needs: acquiring land for new affordable housing and securing financing to preserve existing affordable housing in a market where other kinds of development usually have far easier access to capital and public support.

Here, as in the improvement of African farming or the treatment of tropical disease, the challenge is to aim diverse, large-scale resources at particular, place-specific tasks. Confronting the varied constraints and opportunities place by place, and forging the right relationships among sources of capital and centers of public authority, is one important mission of foundations. Though we are best known for our grants, it is not so much our assets that test our value as the way we use them—specifically the extent to which we can help find more effective solutions to chronic problems, build interest and involvement in those solutions, and draw further investment from others.

→ A rice field outside Hanoi, Vietnam, February 2006.

>> A Global Mission This essay clearly isn't meant as a survey of the whole span of the Rockefeller Foundation's philanthropy in 2005. At best, it offers a sampling of some of the broad ideas with which we've been wrestling in the past year, and some examples of how those ideas have influenced our work. The full scope of our grantmaking—in the arts and humanities, in health and agriculture, in low-income U.S. neighborhoods and immigrant communities spanning the U.S.-Mexico border, and in regional development across Southeast Asia and sub-Saharan Africa—is laid out in the list of grants that constitutes the annual report.

That list includes scores of grants that could individually justify an essay many times this length. This year, for example, our regional program in Southeast Asia included several related efforts to cope with the migration of populations across national borders in the Greater Mekong Sub-region. In this area, as in many parts of the world, large numbers of people move across borders or live in communities that straddle national boundaries, without ever being recognized as citizens of these countries or receiving even rudimentary public services. From its base in Bangkok, our program helped form networks and centers of activity to address such issues



as cross-border transmission of disease, trade and the regional integration of peoples.



>> In the arts and humanities, the Foundation this year completed funding of a 10-year body



of work on cultural policy that examines the effects of creative activity on communities, the creation and use of cultural indicators as tools for community economic development, and connections between the arts and public policy. We also supported a network of legal and policy resource centers that work collaboratively to support artists facing an increasingly restrictive regime of intellectual property rights.

The international rules governing such rights—not only in the arts, but in sciences, engineering and practically every area of emerging technology—are still being negotiated. These deliberations tend to be dominated by wealthier societies, whose superior staffing and technical expertise tend to overwhelm those of poorer countries. The result often is agreements that severely limit the ability of poor countries to promote infant domestic industries, protect small farmers, and gain access to essential and affordable technologies. This past year, a group of grantees has worked with these countries to undertake sophisticated economic modeling, analyses of developed countries' subsidies and hidden barriers to trade, and assessments of the trade effects of developing countries' own policies.

In North America, alongside our grants in community development and employment, the Foundation has supported several organizations in tracking the consequences of a growing migrant population with homes, families and civic ties in both the United States and Latin America. Their participation in both their new and original communities, including the financial support they send back to their countries of origin, is different from that of earlier waves of immigrants. Foundation grantees are adding significantly to our understanding of how these patterns might affect social, political and economic life on both sides of the U.S. border.

>> In one way or another, all of these efforts address the fragility of life in a fast-changing world—especially for poor people and communities, but also for those living just beyond the boundaries of official poverty and need. Amid the vast opportunities that technology and globalization have created, there have also come greater risks for those whose resources cover only current needs, without the ability to store up reserves against unexpected change and sudden adversity. When hardship strikes, whether in the form of natural, economic, environmental or political upheaval, the lack of such emergency provisions can mean an abrupt descent into severe need and lasting crisis. As global change accelerates, these risks inevitably grow steeper and wider, affecting more and more people and societies.

For many years, the Rockefeller Foundation has followed these trends in search of ways to reduce vulnerability and increase resilience in the midst of sweeping global change. We have spent much of the past year scrutinizing this work intensively, seeking out opportunities to adjust course, re-examining our assumptions, and contemplating new avenues of exploration and possible intervention. By the time this annual report is published, some of the Foundation's priorities may have changed, new programs begun and current ones concluded. In the meantime, however, the work detailed in the following pages represents our best assessment, through the tumultuous months of 2005, of how a foundation's limited resources could be applied to a few areas of critical need, devising new methods and building networks of investment and leadership that can, in turn, accomplish things no one of us could have dreamt of on our own.





The Rockefeller Foundation

The Rockefeller Foundation was established in 1913 by John D. Rockefeller, Sr., to "promote the well-being" of humanity by addressing the root causes of serious problems. With assets of more than \$3 billion, it is one of the nation's largest private foundations. The Foundation works around the world to expand opportunities for poor and vulnerable people and to help ensure that the benefits of globalization are shared more equitably.

The work of the Foundation is managed by its president and a staff drawn from professional and scholarly disciplines, and is overseen by an independent board of trustees.

> DATA

- \$3.4 billion endowment (December 31, 2005).
- \$109 million in grants, fellowships and programmatic investments in 2005.
- 174 employees worldwide (June 1, 2006).

> HISTORIC WORK

- Developed the vaccine to prevent yellow fever.
- Funded the modernization of agriculture in the developing world, known as the Green Revolution.
- Provided early support in the United States for education "without distinction of sex, race or creed."
- Established the first schools of public health.
- Supported the establishment of international cultural institutions, including Lincoln Center in New York City.

> OFFICES

Headquarters in New York City (United States), regional offices in Bangkok (Thailand) and Nairobi (Kenya), and a conference and study center in Bellagio (Italy).

→ "The best philanthropy is constantly in search of the finalities—a search for a cause, an attempt to cure evils at their source."—JOHN D. ROCKEFELLER, SR.

How We Develop Programs and Make Grants

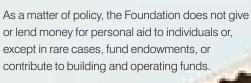
The Rockefeller Foundation develops its programs—strategies and approaches designed to have an impact on a particular set of issues or challenges—through a consultative and collaborative process. We engage a variety of groups, including subject-matter experts, policymakers and representatives of local communities to fully understand a given challenge or opportunity, including the economic, political or social context in which it resides.

In the course of program development, the Foundation identifies and considers organizations that we believe are best positioned to implement defined components of a program. This process helps determine the organizations that the Foundation will provide grants to, and we will then request project proposals from those organizations. In order to focus and maximize the impact of our grantmaking, we rarely provide funding in response to unsolicited proposals.

UGANDA

It is important to note that this annual report summarizes the programs and grants of the Foundation in 2005, many of which will change in 2006.

To determine if your organization's project aligns with the Foundation's 2006 programmatic goals, please visit **www.rockfound.org/grantmaking.** You may want to submit a letter of inquiry via the online form available on our Web site. Inquiries can also be mailed to the director of the subject area of interest, at **The Rockefeller Foundation, 420 Fifth Avenue, New York, NY 10018.**







THE ROCKEFELLER FOUNDATION

Food Security

Grants, fellowships and other philanthropic investments in 2005: \$23,127,000.

→ GOAL: To improve the lives of the rural poor through the generation of agricultural technologies, and support for institutions and policies that improve agricultural production in areas of sub-Saharan Africa and Asia bypassed by the Green Revolution.

>ENHANCED SOIL PRODUCTIVITY

Supporting work to assess the fertility of poor farmers' soils and promote innovative and efficient farming practices that can increase soil nutrients and farmers' yields.

FARM-Africa, London, England: \$500,000 in support of the second phase of the Maendeleo Agricultural Technology Fund's efforts to promote adoption of innovative technologies for improving agriculture, livestock and natural resource management in eastern Africa.

Forum for Organic Resource Management and Agricultural Technologies, Nairobi, Kenya: \$115,633 toward the costs of promoting the adoption of promising soil management technologies in Kenya.

International Center for Tropical Agriculture, Cali, Colombia: \$900,000 in support of its Tropical Soil Biology and Fertility Institute's programs in sub-Saharan Africa.

International Center for Tropical Agriculture, Cali, Colombia: \$94,000 for use by its Tropical Soil Biology and Fertility Institute for research on integrated soil fertility management for banana production in Kenya and Uganda.

International Institute of Tropical Agriculture, Ibadan, Nigeria: \$100,000 for use by its Eastern and Southern Africa Regional Center in support of research on integrated soil and pest management for improved banana production in Uganda, to be conducted in collaboration with Uganda's National Agricultural Research Organisation.

International Maize and Wheat Improvement Center,
Mexico City, Mexico: \$898,725 toward the costs of the Soil
Fertility Consortium for Southern Africa, which promotes collaborative research and development on integrated soil fertility management for small-scale farmers in southern Africa.

Kenya Agricultural Research Institute, Nairobi, Kenya: \$99,845 for use by its National Agricultural Research Laboratories in support of its Legume Research Network Project to develop low-cost and sustainable technologies for increasing crop production in Kenya.

Lukman Nagaya Mulumba, Kampala, Uganda: \$8,682 in support of a fellowship for advanced training in soil science leading to the Ph.D. degree at the Department of Soil Science, Ohio State University, Columbus, Ohio.

>IMPROVED CROP VARIETIES

Working to increase poor farmers' productivity and income through the cultivation of improved crop varieties that have high-quality traits, including enhanced nutritional value and resistance to pests, diseases and environmental stresses such as drought.

African Biotechnology Stakeholders Forum, Nairobi, Kenya: \$12,000 toward the costs of producing educational materials to inform policymakers of the accomplishments of African crop improvement research. (*Joint with Africa Regional Program.*)

Asian Vegetable Research and Development Center Tainan, Taiwan: \$199,997 for use by its Regional Center for Africa to promote quality vegetable seed production and marketing to improve the livelihoods and nutrition status of farm families in East Africa.

Birsa Agricultural University, Jharkhand, India: \$116,287 toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with the Gramin Vikas Trust and the University of Wales.

Boston University, Boston, Massachusetts: \$403,882 in support of research to be conducted collaboratively with the School of Public Health at Harvard University and Ethiopian research organizations to assess the effect of maize cultivation on malaria transmission in sub-Saharan Africa. (Joint with Health Equity and the Africa Regional Program.)

CAMBIA, Black Mountain, Australia: \$500,000 in support of research on the development of a novel gene transfer method for crop improvement that will circumvent intellectual property constraints currently limiting application of this technology in subsistence crops.

Commonwealth Scientific and Industrial Research Organisation, Dickson, Australia: \$132,250 in support of research on genetic engineering of cowpea to create new varieties resistant to insect pests called pod borers.

Cornell University, Ithaca, New York: \$434,490 toward the costs of providing technical assistance to enhance the quality of Ph.D. training for plant breeders at the University of Kwa-Zulu-Natal's African Center for Crop Improvement.

Council for Scientific and Industrial Research, Pretoria, South Africa: \$282,500 toward the costs of developing sorghum with improved nutritional quality.

Egerton University, Njoro, Kenya: \$150,000 toward the costs of establishing a biotechnology laboratory to be shared by its faculties conducting research aimed at improving food security, environmental conservation and health in Kenya.

Forum for Organic Resource Management and Agricultural Technologies, Nairobi, Kenya: \$81,420 toward the costs of a Web site, www.africancrops.net, aimed at improving





access to and sharing of scientific information among crop improvement scientists in sub-Saharan Africa.

Foundation-administered project: \$20,000 for the cost of advisers to help countries of eastern and southern Africa to implement effective regulatory regimes for new crop varieties.

Foundation-administered project: \$28,000 to assist in improving the food security of the rural poor by engaging an expert to develop a financial model that can help small- and medium-sized seed companies in East Africa better serve poor farmers.

Foundation-administered project: \$44,000 toward the costs of assessing the levels of adoption of NERICA and other improved rice varieties in Nigeria.

Foundation-administered project: \$50,000 toward the costs of monitoring Foundation projects in eastern and southern Africa, to improve the development of new crop varieties in the region.

Foundation-administered project: \$60,000 toward the costs of engaging advisers, convening small consultative gatherings and facilitating the travel of plant breeders and seed specialists to relevant meetings and training related to the development of improved crop varieties.

Gramin Vikas Trust, Noida, India: \$258,936 toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with Birsa Agricultural University and the University of Wales.

Institute of Agricultural Research of Mozambique,

Maputo, Mozambique: \$300,190 in support of research and training to develop new maize varieties and seed delivery systems for smallholder farmers in Mozambique.

International Center for Tropical Agriculture, Cali, Colombia: \$189,800 in support of the training of young scientists from East Africa in cassava and rice breeding.

International Center for Tropical Agriculture, Cali, Colombia: \$287,500 in support of research on the genetic improvement of bush and climbing beans for East, central and southern Africa.

International Center for Tropical Agriculture, Cali, Colombia: \$18,000 in support of research on the quantitative and molecular genetic analysis of important agronomic traits in cassava, conducted by a Ugandan Ph.D. candidate.

International Crops Research Institute for the Semi-Arid Tropics, Patancheru, India: \$288,800 in support of research, in collaboration with the Institute of Rural Economy, on improved sorghum hybrids for Africa and methods for large-scale production of hybrid sorghum seed.

International Crops Research Institute for the Semi-

Arid Tropics. Patancheru. India: \$226,500 in support of research on the characterization and more effective utilization of genetic diversity for sorghum improvement in eastern and central Africa.

International Institute of Tropical Agriculture, Ibadan, Nigeria: \$298,410 in support of collaborative research with the International Center for Tropical Agriculture on enhancement of cassava productivity in sub-Saharan Africa through characterizing and combining of new sources of resistance to cassava

International Institute of Tropical Agriculture, Ibadan, Nigeria: \$273,500 in support of research on the characterization and more effective utilization of genetic diversity for cassava improvement in eastern and central Africa.

mosaic disease.

International Institute of Tropical Agriculture, Ibadan, Nigeria: \$184,840 toward the costs of breeding beta-carotenerich and drought-tolerant sweet potato varieties for droughtprone areas of Mozambique.

International Livestock Research Institute, Nairobi, Kenya: \$150,000 in support of efforts to strengthen the bioinformatics capacity of its center, Biosciences East and Central Africa and to use that capacity to assist crop and animal improvement programs in the region.

International Maize and Wheat Improvement Center, Mexico City, Mexico: \$560,000 in support of research to develop innovative biotechnology approaches to improve the drought tolerance of tropical maize.

International Maize and Wheat Improvement Center, Mexico City, Mexico: \$1,182,800 toward the costs of an integrated African network entitled New Seed Initiative for Maize in Southern Africa, which will deliver new drought-tolerant maize varieties to farmers in southern Africa.

International Maize and Wheat Improvement Center, Mexico City, Mexico: \$80,000 in support of its efforts to limit the impact of a new African strain of stem rust disease on wheat production

International Plant Genetic Resources Institute, Rome, Italy: \$17,700 for use by its International Network for Improvement of Banana and Plantain toward the costs of research and training of a Ph.D. student in identification of candidate genes for weevil resistance in banana.

International Rice Research Institute, Metro Manila, Philippines: \$631,217 toward the costs of establishing and operating a network of Indian institutions and scientists working on development of drought-tolerant rice varieties.

International Rice Research Institute. Metro Manila. Philippines: \$602,200 in support of research, in collaboration with the Chinese Academy of Agricultural Sciences, to identify the genes and biochemical pathways determining drought tolerance in rice.





THE ROCKEFELLER FOUNDATION

Food Security

International Rice Research Institute, Metro Manila, Philippines: \$76,245 toward the costs of a Ph.D. fellow to study the genetics of transferring drought tolerance from African rice (Oryza glaberrima) to Asian rice (Oryza sativa).

International Rice Research Institute, Metro Manila, Philippines: \$50,000 in support of the participation of scientists from Africa and the Greater Mekong Sub-region in the 5th International Rice Genetics Symposium, held in Manila, the Philippines, November 2005.

Kilimo Trust, Kampala, Uganda: \$1,140,000 for use in support of African Agricultural Capital Limited, an investment company established to alleviate poverty and reduce food shortages by strengthening seed companies and other African agricultural businesses serving the needs of smallholder farmers in Fast Africa

Michigan State University, East Lansing, Michigan: \$134,000 toward the costs of assessing the effectiveness of a crop-based strategy for sustainably reducing vitamin A deficiency in poor people of rural Mozambique.

Moi University, Eldoret, Kenya: \$155,907 toward the costs of establishing a biotechnology laboratory to be shared by its faculties conducting research aimed at improving food security, environmental conservation and health in Kenya.

Moi University, Eldoret, Kenya: \$99,540 toward the costs of research on development of midge-resistant sorghum varieties for East Africa.

Narendra Deva University of Agriculture and Technology, Faizabad, India: \$220,000 in support of a project to increase its capacity to develop and distribute drought-tolerant rice varieties to rice farming communities in the drought-prone regions of central and eastern India.

Gertrude Night, Kampala, Uganda: \$41,810 for the renewal of her fellowship for advanced training in entomology leading to the Ph.D. degree at the Department of Entomology, Cornell University, Ithaca, New York.

Ohio State University, Columbus, Ohio: \$330,498 in support of research to further develop and test transgenic cassava with less toxic roots and that degrade less rapidly following harvest.

Regional Universities Forum for Capacity Building in Agriculture, Kampala, Uganda: \$285,000 in support of Master of Science training in agricultural biotechnology for up to 10 students from East and southern Africa.

Research in Innovative and Appropriate Technology for Sustainable Development, Bangui, Central African Republic: \$11,987 toward the costs of introducing the New Rice for Africa varieties in the Central African Republic.

Rothamsted Research, Herts, England: \$135,000 toward the costs of an international conference entitled, Inter-Drought-II, on using advances in breeding and the genetics of drought tolerance for crop improvement, held in Rome, Italy, September 2005.

Sokoine University of Agriculture, Morogoro, Tanzania: \$278,775 toward the costs of providing Master of Science training in plant breeding for young scientists from the Tanzanian Ministry of Agriculture and from its University staff. (Joint with the Africa Regional Program.)

Sustainable Agriculture Centre for Research and Development in Africa, Nairobi, Kenya: \$58,225 in support of research to evaluate the adaptability and seed production potential of the New Rice for Africa varieties in different agroecologies and socioeconomic settings in western Kenya.

Swiss Federal Institute of Technology Zürich, Zürich, Switzerland: \$134,430 toward the costs of Ph.D. training for a Kenyan scientist who will develop skills in the use of molecular techniques for the improvement of cassava.

Tamil Nadu Agricultural University, Coimbatore, India: \$55,000 toward the costs of developing seed delivery systems and initiating socioeconomic assessments of new drought-tolerant rice varieties for south India.

Texas A&M University, College Station, Texas: \$22,717 in support of Ph.D. training in maize breeding, with emphasis on tolerance to drought and low soil nitrogen, for two students from southern Africa.

University of Agricultural Sciences, Bangalore, India: \$45,000 toward the costs of developing seed dissemination systems and initiating a socioeconomic impact assessment related to the adoption of new drought-tolerant rice varieties in southern India

University of California, San Diego, La Jolla, California: \$200,000 in support of research to develop a strategy to control the parasitic nematodes that affect the East African Highland Banana.

University of Georgia, Athens, Georgia: \$10,000 for use by its College of Agricultural and Environmental Sciences to enable developing-country scientists to attend the Plant and Animal Genome XIV meeting held in San Diego, California, January 2006.

University of KwaZulu-Natal, KwaZulu Natal, South Africa: \$1,211,498 for use by its African Center for Crop Improvement to provide young scientists from eastern and southern Africa with Ph.D. training in modern crop breeding.

University of Nairobi, Nairobi, Kenya: \$8,429 in support of research assessing the likelihood of insect pests becoming resistant to insecticidal proteins produced in transgenic maize.

University of Pretoria, Pretoria, South Africa: \$285,103 toward the costs of establishing a crop biotechnology research laboratory and training facility for young African scientists at its Forestry and Agricultural Biotechnology Institute.

University of Wales, Bangor, Bangor, Wales: \$159,706 toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with Birsa Agricultural University and the Gramin Vikas Trust.



University of Zambia, Lusaka, Zambia: \$270,500 toward the costs of providing Master of Science training in plant breeding to National Program scientists charged with creating new crop varieties for southern Africa.

Winrock International Institute for Agricultural Development, Little Rock, Arkansas: \$20,000 in support of a conference to explore public/private partnerships to facilitate the development of drought-tolerant crops for poor farmers in the developing world.

>INTERNATIONAL PUBLIC GOODS FOR POOR FARMERS

Ensuring that national scientists and others working on behalf of poor farmers in developing countries have access to the best knowledge, scientific tools and scientific networks available worldwide.

African Agricultural Technology Foundation, Nairobi, Kenya: \$478,500 for general support of its mission to develop and implement projects for transferring proprietary technologies that meet the needs of smallholder farmers in sub-Saharan Africa.

Cornell University, Ithaca, New York: \$34,400 toward the costs of disseminating The Essential Electronic Agricultural Library to sub-Saharan universities and agricultural research institutions.

Friends of Global Crop Diversity, Ltd., Philadelphia, Pennsylvania: \$105,000 in support of its plan to support three related activities of the Global Crop Diversity Trust: (1) building a trust fund to support global crop germplasm conservation; (2) collaborating with the East African Plant Genetic Resources Network to develop a strategy for germplasm conservation in East Africa; and (3) promoting understanding of the International Treaty on Plant Genetic Resources for Food and Agriculture, particularly in countries that are not currently parties to the Treaty. (Joint with Africa Regional Program and Global Inclusion.)

International Service for the Acquisition of Agri-Biotech Applications, Ithaca, New York: \$100,000 in support of its efforts to expand and strengthen its Global Knowledge Center for Crop Biotechnology.

Keystone Symposia on Molecular and Cellular Biology, Silverthorne, Colorado: \$10,000 toward the costs of travel for African scientists to attend its 2006 conference entitled, Plant Responses to Abiotic Stress, held in Copper Mountain, Colorado, April 2006

University of California, Davis, Davis, California: \$912,203 in support of the development of the consortium named the Public Intellectual Property Resource for Agriculture.

>MARKETS TO RAISE INCOMES OF POOR FARMERS

Supporting the development of policies and approaches to create functional and accessible markets that can help supply African farmers with the inputs they need, and offer greater opportunities to generate income from their productivity.

African Economic Research Consortium, Nairobi, Kenya: \$500,000 toward the costs of the Collaborative Master of Science Program in Agricultural and Applied Economics designed to enhance the training of agricultural economists in East, central and southern Africa.

CARE USA, Atlanta, Georgia: \$200,000 toward the costs of assisting smallholder horticulture farmers in Kenya to meet market quality and certification requirements for export markets.

Citizens Network for Foreign Affairs, Washington, D.C.: \$500,000 toward the costs of building agricultural input markets in Malawi that can better serve poor farmers in disadvantaged rural areas.

Cornell University, Ithaca, New York: \$96,342 in support of field research in Africa conducted by an interdisciplinary cohort of Kenyan Ph.D. fellows in its African Food Security and Natural Resource Management Program.

Egerton University, Njoro, Kenya: \$254,771 for use by its Tegemeo Institute of Agricultural Policy and Development to help design and generate the database needed to monitor and evaluate the impact of selected interventions for agricultural development in western Kenva.

Food and Agriculture Organization of the United Nations, Rome, Italy: \$180,000 toward the costs of policy research on building and strengthening market linkages and supply chains in Africa and Asia

Foundation-administered project: \$40,000 toward the costs of convening consultative meetings and facilitating travel to relevant meetings related to the Foundation's efforts to expand input and ouput markets in Africa.

Foundation-administered project: \$100,000 toward the costs of meetings, technical assistance and public outeach related to the African Fertilizer Summit, held in Abuja, Nigeria, June 2006.

International Center for Tropical Agriculture, Cali, Colombia: \$589,050 for use by its Tropical Soil Biology Fertility Institute, in collaboration with Moi University's Academic Model for the Prevention and Treatment of HIV/AIDS, to test a model for improving the food security, nutrition, health and incomes of rural populations, particularly those affected by HIV/AIDS, through the incorporation of soybeans and soybean milk into the diets of adults, children and infants. (Joint with Health Equity.)

International Center for Tropical Agriculture, Cali, Colombia: \$155,650 for use by its Tropical Soil Biology and Fertility Institute for research to expand the production and commercialization of soybeans by smallholder farmers in East Africa.





Health Equity

International Fertilizer Development Center, Muscle Shoals, Alabama: \$600,000 toward the costs of the Africa Fertilizer Summit, to be held in Abuja, Nigeria, June 2006.

International Plant Genetic Resources Institute, Rome, Italy: \$50,000 for use by its International Network for the Improvement of Banana and Plantain toward the costs of preparing for and assuring African participation in an international workshop on the processing and development of banana-based enterprises, held in the Philippines, May 2005.

Makerere University, Kampala, Uganda: \$15,550 toward the costs of workshops designed to develop a strategy to strengthen its Department of Agricultural Economics.

Makerere University, Kampala, Uganda: \$12,510 toward the costs of a workshop to develop a strategic plan for efficient use of nitrogen fertilizers in African farming systems.

Market Matters, Ithaca, New York: \$363,228 toward the costs of its Seeds of Development Program to improve the effectiveness of seed markets serving poor African farmers through research, analysis and management training for local, pro-poor seed companies.

Ministry of Agriculture and Rural Development, Mozambique, Maputo, Mozambique: \$299,917 in support of activities to develop decentralized district-level market information systems for poor farmers.

Sustainable Agriculture Centre for Research and Development in Africa, Nairobi, Kenya: \$391,574 in support of a cereal banking network for collective grain storage, bulking and marketing of maize by poor farmers in western Kenya.

Uganda Development Trust, Kampala, Uganda: \$70,000 in support of its project to identify and strengthen viable agribusinesses as a source of markets for smallholder farmers in Uganda.

University of Botswana, Gaborone, Botswana: \$14,999 toward the costs of participation of African scientists at the Annual Conference and Food Exposition of the Institute of Food Technologists, held in New Orleans, Louisiana, July 2005.

University of Malawi, Zomba, Malawi: \$306,390 for use by its Bunda College of Agriculture to establish a market information system to improve access to market price information for smallholder farmers in Malawi.

University of Pretoria, Pretoria, South Africa: \$25,000 for use by its Centre for Environmental Economics and Policy in Africa toward the costs of its regional master's degree program in environmental economics and policy.

Grants, fellowships and other philanthropic investments in 2005: \$9,502,000.

→ GOAL: To reduce avoidable and unfair differences in the health status of populations within and among countries.

> DEVELOPING BETTER HEALTH PRODUCTS FOR POOR PEOPLE

Working to accelerate the development of, and eventual access to affordable drugs and vaccines against diseases such as HIV/AIDS, tuberculosis and malaria, through support for public/private partnerships that combine business models with a social mission.

BIO Ventures for Global Health, Washington, D.C.: \$100,000 to explore the feasibility of building partnerships and transferring technology between pharmaceutical companies and universities in the North and in the South that will accelerate the development of new products to address diseases of the poor in developing countries.

Centre for the Management of Intellectual Property in Health Research & Development, Oxford, England: \$200,000 for activities in collaboration with the Association of University Technology Managers, a U.S.-Canadian professional society, to improve the management of public-sector technologies and promote the development of health products for poor people in developing countries.

Foundation-administered project: \$390,000 to help ensure the sustainability of health product-development partnerships and to implement other recommendations resulting from the Foundation's evaluation of those partnerships.

Global Forum for Health Research, Geneva, Switzerland: \$500,000 in general support of its mission to increase the amount of research devoted to improving the health of people in developing countries.

International Partnership for Microbicides, Silver Spring, Maryland: \$8,000,000 in general support of its mission to prevent HIV transmission by accelerating the development and availability of safe and effective microbicides for use by women in developing countries.

William Alan Muraskin, New York, New York: \$50,000 to continue documenting the role played by donors, including the Rockefeller Foundation, in the creation of public/private partnerships to develop drugs, vaccines and microbicides to address diseases of the poor in developing countries.

Program for Appropriate Technology in Health, Seattle, Washington: \$100,000 toward the costs of evaluating the feasibility of removing intellectual property barriers to the development of malaria vaccines by "pooling" patents for the public good.

Program for Appropriate Technology in Health, Seattle, Washington: \$170,000 toward the costs of exploring the establishment of Equity Investment Partners, L.P., a double-bottom-line venture capital fund that will invest in technologies to fight





infectious diseases and improve maternal and child health in developing countries, and a workshop on financing global health through social venture capital. (Joint with Global Inclusion, Program Venture Experiment Fund, Creativity & Culture, and Food Security.)

University of Toronto, Toronto, Canada: \$200,000 for use by its Joint Centre for Bioethics toward the costs of a study on the manufacturing capacity of biotechnology and pharmaceutical companies in developing countries, as well as local incentives and disincentives that impact their willingness and ability to address diseases of the poor.

Wellcome Trust, London, England: \$35,000 toward the costs of a meeting on bioethics in research that is focused on the post-clinical trial obligations of researchers and sponsors, held in Malawi. March 2005.

> STRENGTHENING DEVELOPING-COUNTRY HEALTH SYSTEMS

Addressing the severe shortage of health care workers in developing countries by advancing initiatives on training, employment and retention so that health systems can better address the needs of poor people.

AcademyHealth, Washington, D.C.: \$62,100 toward the costs of its International Recruitment of Nurses Program, which includes a meeting at the Bellagio Study and Conference Center, Italy, July 2005.

African Council for Sustainable Health Development, Abuja, Nigeria: \$60,000 toward the costs of bringing African representatives from outside of Nigeria to a meeting on strengthening human resources for health in sub-Saharan Africa, held in Abuja, Nigeria, February 2005.

African Medical and Research Foundation, Nairobi, Kenya: \$50,000 toward the costs of a workshop on health systems delivery for African health development professionals.

Aga Khan Foundation U.S.A., Washington, D.C.: \$22,020 for an assessment of the role of public/private partnerships in health insurance schemes for the poor in Tanzania.

Aspen Institute, Washington, D.C.: \$75,000 toward the costs of a conference in June 2005 on global women's health organized by its Ethical Globalization Initiative in collaboration with Columbia University's Mailman School of Public Health and the Council of Women World Leaders.

Gay Men's Health Crisis, New York, New York: \$50,000 for a conference on overcoming common barriers to scaling up anti-retroviral therapy and strengthening health care systems in developing countries most affected by HIV/AIDS, to be held in Cape Town, South Africa, January 2006.

Global Health Council, White River Junction, Vermont: \$150,000 toward the costs of its 2005 annual international conference, and for a meeting at the Bellagio Study and Conference Center, Italy, April 2005 entitled, UNICEF: Leading on Behalf of the World's Children.

INDEPTH Network, Accra, Ghana: \$450,000 toward the costs of developing, in collaboration with the University of Witwatersrand, a master's degree scholarship program in population-based field epidemiology for its staff.

International Health Policy Program, Thailand, Nonthaburi, Thailand: \$87,130 for a workshop on human resources for health in Asia that may result in the creation of a regional action-learning network on this subject.

Makerere University, Kampala, Uganda: \$500,000 for use by its Institute of Public Health toward the costs of strengthening its distance education master's in public health program. (Joint with Africa Regional Program.)

New York University, New York, New York: \$602,250 to enable its Wagner Graduate School of Public Service to coordinate the activities of a network of global institutions concerned with strengthening the work forces of national health systems, especially in developing countries.

Physicians for Human Rights, Cambridge, Massachusetts: \$250,000 toward the costs of strengthening human resources for health through its Health Action AIDS Campaign in sub-Saharan Africa.

Population Association of America, Silver Spring, Maryland: \$30,000 to enable developing-country scholars to attend its annual meeting in Los Angeles, March 2006.

Population Council, New York, New York: \$44,800 to enable participants from Ethiopia to attend a workshop planned in collaboration with the Navrongo Health Research Centre to inform African health officials about the evidence-based strategies used in Ghana's community-based health planning and services program.

University of California, San Francisco, San Francisco, California: \$74,750 for activities related to developing a franchise system to improve the delivery of TB- and AIDS-related health care to poor people in sub-Saharan Africa.

World Health Organization, Geneva, Switzerland: \$282,500 to help its Evidence and Information for Policy division implement recommendations made by the Joint Learning Initiative on Human Resources for Health.

>RISING TO THE CHALLENGE OF AIDS

Addressing inequities based on gender and social or economic status in the spread of and the response to the HIV/AIDS epidemic and to strengthen long-term clinical care in sub-Saharan Africa.

Africa Health and Development International, Nairobi, Kenya: \$275,000 for development of an East African learning network on strategies to help families cope with AIDS, linked to a similar effort in the Greater Mekong Sub-region.

AIDS ACCESS Foundation, Bangkok, Thailand: \$280,090 toward the costs of expanding its regional training institute, which addresses prevention of HIV infection and care and support of people living with HIV/AIDS in the Greater Mekong Sub-region.





Health Equity

AIDS Support Organisation, Kampala, Uganda: \$183,080 for activities designed to enhance the support it provides to community-based organizations helping families cope with the effects of AIDS and for the work of its drama groups in educating communities on household vulnerability to HIV/AIDS and the role the community can play in providing medical and socioeconomic support.

Axios Foundation, Cleveland, Ohio: \$150,000 for a project in collaboration with the Ministry of Health, Tanzania, to assess the impact of an integrated prevention of mother-to-child transmission of HIV program in rural Tanzania on the development of the health system.

Cheikh Anta Diop University, Dakar-Fann, Senegal: \$32,000 to enable the participation of 10 AIDS activists or people living with HIV/AIDS from sub-Saharan Africa at a meeting on social science research in HIV/AIDS, held in Dakar, Senegal, October, 2005.

Foundation-administered project: \$225,000 toward the costs of bringing together social scientists and other investigations to consider state-of-the-art research and approaches to HIV/AIDS, with attention to potential strategies for addressing health challenges in East Africa and Southeast Asia.

Gynuity Health Projects, New York, New York: \$45,000 toward the costs of a meeting on possible links between hormonal contraception and HIV transmission, held at the New York Academy of Sciences, May 2005.

International Labour Organization, Geneva, Switzerland: \$149,720 toward the costs of a feasibility study and capacity-building activities in Cambodia that explore and build the potential to introduce social protection schemes that would reduce the impact of HIV on poor households.

Ipas, Chapel Hill, North Carolina: \$79,900 toward the costs of a regional conference on the links between HIV/AIDS, contraception and abortion in sub-Saharan Africa.

Johns Hopkins University, Baltimore, Maryland: \$348,410 for use by JHPIEGO-Kenya, in collaboration with the African Population and Health Research Institute, to develop a comprehensive HIV/AIDS care model for households in poor Nairobi settlements.

Joint Clinical Research Centre, Kampala, Uganda: \$197,720 for activities to complete its African Dialogue on AIDS Care program, which promotes research on HIV/AIDS care and treatment in sub-Saharan Africa.

Joint Clinical Research Centre, Kampala, Uganda: \$550,000 for its continued participation in a multicenter clinical trial coordinated by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa.

Khemara, Phnom Penh, Cambodia: \$200,000 toward the costs of developing a community-based model that addresses the continuum of needs among HIV-affected households in urban Cambodia.

Lundy Foundation, Denver, Colorado: \$150,000 toward the costs of evaluating the development and initial impact of a community-based children's center in Tanzania on the physical and psychosocial needs of HIV/AIDS orphans and other vulnerable children.

McMaster University, Hamilton, Canada: \$23,000 for use by its School of Nursing for workshops covering HIV/AIDS and other global health issues facing women and children as part of an international conference held in Dhaka, Bangladesh, February 2006.

Merlin, U.S.A., Lingfield, England: \$99,960 for use by its Nairobi office to identify the coping mechanisms used by HIV/AIDS-affected households in areas of Nyanza province, Kenya, that are served by NGOs and areas not receiving such services.

Ministry of Women's Affairs, Cambodia, Phnom Penh, Cambodia: \$135,000 in support of its efforts to raise awareness in Cambodia and in the Greater Mekong Sub-region of gender vulnerability to HIV/AIDS and to promote approaches that redress gender inequities.

Population Communication Africa, Nairobi, Kenya: \$96,000 for the planning phase of studies designed to examine the usefulness of a nutritional supplement taken by many people living with AIDS in sub-Saharan Africa.

Raks Thai Foundation, Bangkok, Thailand: \$269,820 for development of a Greater Mekong Sub-regional learning network on strategies to help families cope with AIDS, linked to a similar effort in East Africa.

Traditional and Modern Health Practitioners Together Against AIDS and Other Diseases, Kampala, Uganda: \$459,320 toward the costs of strengthening partnerships among the various health systems in Uganda to improve the quality of HIV/AIDS, malaria, and tuberculosis prevention and care.

Trust for Indigenous Culture and Health, Nairobi, Kenya: \$195,000 for activities designed to broaden AIDS treatment options for people in sub-Saharan Africa.

University of Zimbabwe, Harare, Zimbabwe: \$587,310 for the continued participation of its Parirenyatwa Hospital in a multicenter clinical trial sponsored by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa.

Urban Sector Group, Phnom Penh, Cambodia: \$149,060 toward the costs of demonstrating, with partners, a model of integrated health services, financing and community-empowerment programs targeting poor households vulnerable to HIV in the urban slums of Phnom Penh.

Women's Health Advocacy Foundation, Bangkok, Thailand: \$85,980 in continued support of its efforts to strengthen media professionals' reporting of sexual and reproductive health issues, especially as they relate to gender inequality, partner relations and HIV/AIDS.





Grants, fellowships and other philanthropic investments in 2005: \$28,469,000.

> GOAL: To enhance economic opportunity, resilience and security in areas of the United States where poverty is most concentrated.

>ADEQUATE SCHOOL FINANCE

Supporting research that illuminates disparities in educational quality, as well as efforts to engage the public and policymakers on strategies and models that can help address those disparities.

Aspen Institute, Washington, D.C.: \$175,000 for use by its Education and Society Program toward the costs of a conference of educators to analyze lessons learned from Organisation for Economic Co-operation and Development member countries on recruiting, training and sustaining qualified teachers, to inform the improvement of teaching and learning in the United States.

Campaign for College Opportunity, Oakland, California: \$75,000 in general support of its mission to ensure that the next generation of college-age students in California has the opportunity to attend college as promised by the state 1960 Master Plan for Higher Education.

Campaign for Fiscal Equity, New York, New York: \$100,000 toward the costs of expanding the annual conferences of its Advocacy Center for Children's Educational Success with Standards initiative to examine and raise awareness about the relationship between adequate school finance reform and the standards required by the federal No Child Left Behind Act.

Campaign for Fiscal Equity, New York, New York: \$500,000 in general support of its mission to reform New York State's school finance system to ensure adequate resources and the opportunity for a sound basic education for all students in New York.

Center for Applied Linguistics, Washington, D.C.: \$75,000 to complete research on the impact of the Sheltered Instruction Observation Protocol model on the academic performance of middle- and high-school students whose first language is not English.

Center on Education Policy, Washington, D.C.: \$100,000 toward the costs of disseminating findings from a comparative study of school finance issues related to state-mandated high school exit examinations

Education Law Center, Newark, New Jersey: \$75,000 toward the costs of developing a set of tools, using its Abbott Indicators Project in New Jersey as a model, to enable schools and communities to generate indicators of school reform and use the data to develop an improvement agenda.

Foundation-administered project: \$128,000 toward the cost of external advisers to assist in the management of the Foundation's work focused on adequate school financing.

Foundation-administered project: \$261,300 toward the costs of (1) an evaluation of the Foundation's Adequate

School Financing area of work and (2) a comprehensive review of the Foundation's 90-year history of grantmaking in education reform.

Institute for Wisconsin's Future, Milwaukee, Wisconsin: \$500,000 in general support of its mission (1) to inform Wisconsin residents about issues and policies that affect their lives and (2) to increase citizen participation in public debates and decision making on those policies.

Institute on Taxation and Economic Policy, Washington, D.C.: \$25,000 in general support of its mission to keep policy-makers and the public informed of the effects of current and proposed tax polices on fairness, government budgets and sound economic policy.

New York Community Trust, New York, New York: \$150,000 toward the costs of the Donors' Education Collaborative, a joint grantmaking effort of New York-based public-education funders, to promote broad public engagement in systemic public-school reform in New York City.

New York State School Boards Association, Latham, New York: \$150,000 toward the costs of a research project aimed at facilitating sound planning and implementation of fiscal and academic improvement strategies in 57 small city school districts in New York State.

New York University, New York, New York: \$50,000 for use by its Steinhardt School of Education's Metropolitan Center for Urban Education toward the costs of a national summit to explore new strategies for improving educational outcomes for all children in the United States.

PolicyLink, Oakland, California: \$100,000 toward the costs of research to inform and shape policy development and advocacy strategies that promote equitable funding for public school facilities construction in California.

Public Policy and Education Fund of New York, Albany, New York: \$650,000 toward the costs of its Education Project, to expand and conduct public education, research, policy analysis and leadership training to contribute to New York State's school finance reform efforts.

Syracuse University, Syracuse, New York: \$100,000 for use by its Maxwell School of Citizenship and Public Affairs' Center for Policy Research to conduct research and policy analysis on key issues facing school finance reform in New York State.

Teachers College, Columbia University, New York, New York: \$100,000 for use by its Gottesman Libraries to complete and field-test its comprehensive digital archive of documents related to school finance reform activities in New York State.

University of California, Santa Cruz, Santa Cruz, California: \$100,000 for use by its New Teacher Center to study the implementation and impact of New York City's new teacher induction initiative and develop recommendations based on the lessons learned.

University of Wisconsin-Madison, Madison, Wisconsin: \$500,000 for use by its Wisconsin Center for Education Research toward the costs of research and policy analysis on key issues in school finance reform in the state of Wisconsin and in the United States.





Working Communities

>BUILDING MIXED-INCOME COMMUNITIES

Working to increase the supply of affordable housing through investments in nonprofit community development corporations, and through research, advocacy and public/private partnerships.

Association for Neighborhood & Housing Development, New York, New York: \$250,000 in general support of its mission to ensure decent housing and neighborhoods for the people of New York City, especially the poor and working class.

Brookings Institution, Washington, D.C.: \$100,000 for use by its Urban Markets Initiative toward the costs of managing the development of a Web-based tool to facilitate direct electronic access to community-level statistics from nationwide data sources.

Brookings Institution, Washington, D.C.: \$333,000 for use by its Metropolitan Policy Program toward the costs of its Urban Markets Initiative, an information tool used to measure economic power within and around inner-city communities and create knowledge about new investment opportunities in those communities.

Calvert Foundation, Bethesda, Maryland: \$300,000 toward the costs of its Calvert Community Investment Note program, which finances nonprofit affordable housing developers, community development corporations and community development financial institutions serving low-income families.

CEOs for Cities, Chicago, Illinois: \$250,000 toward further investigation and dissemination of the findings of its Changing Dynamics of Urban America project, which aims to keep cities economically competitive and elevate urban issues in national policy debates.

Columbia University, New York, New York: \$125,000 for use by its Institute for Social and Economic Research and Policy toward the costs of: (1) a longitudinal study that examines the social conditions of housing and inequality in Chicago resulting from changes to the city's public housing system and (2) the distribution of a documentary, "Dislocation," chronicling the relocation experiences of families from those communities.

Columbia University, New York, New York: \$88,000 for use by its Earth Institute toward the costs of activities related to World Habitat Day and a workshop on Achieving the Millennium Development Goals aimed at identifying innovative ways for middle-income countries and their cities to improve housing in low-income communities.

Common Ground, New York, New York: \$125,000 toward the costs of a collaborative multicity initiative to develop and implement new and more effective strategies to end chronic urban homelessness in up to 50 communities across the country.

Corporation for Supportive Housing, New York, New York: \$725,000 in general support of its mission to help communities create permanent housing with services to prevent and to end chronic homelessness.

East Baltimore Development Inc., Baltimore, Maryland: \$100,000 in general support of its mission to facilitate and redevelop East Baltimore's waterfront and industrial communities by expanding economic, housing and human service opportunities in the area.

Enterprise Foundation, Columbia, Maryland: \$250,000 in general support of its mission to enable all low-income people in the United States to have the opportunity for decent and affordable housing and to move up and out of poverty.

Enterprise Foundation, Columbia, Maryland: \$500,000 toward the start-up costs of the Community Recovery Fund, a partnership with the Local Initiatives Support Corporation, that will provide funding and technical assistance to, and advocate for, areas affected by Hurricane Katrina.

Foundation-administered project: \$100,000 toward the costs associated with the establishment of the New York City Affordable Housing Loan and Guarantee Fund, a new public/private partnership.

Foundation-administered project: \$100,000 toward the costs ongoing consultations with Foundation grantees, scholars and practitioners to review existing strategies to increase affordable housing, encourage economic resilience and improve education financing in the United States.

Funders' Network for Smart Growth and Livable Communities, Coral Gables, Florida: \$250,000 in general support of its mission to strengthen and expand philanthropic funders' abilities to support organizations working to build more livable communities through smarter growth policies and practices.

Greater New Orleans Foundation, New Orleans, Louisiana: \$250,000 in support of its Rebuild New Orleans Fund designated for the relief, recovery and improvement of communities and their infrastructures in areas affected by Hurricane Katrina.

Habitat for Humanity International, Americus, Georgia: \$150,000 toward the costs of developing a five-year organizational strategic plan focusing on scaling up services to those in need of decent and affordable housing.

Habitat for Humanity International, Americus, Georgia: \$500,000 toward the costs of its Hurricane Katrina response project, Operation Home Delivery.

Harvard University, Cambridge, Massachusetts: \$175,950 for use by its Joint Center for Housing Studies in support of the development of a global network business plan to mobilize domestic finance capital for housing in low-income communities in developing countries.

Harvard University, Cambridge, Massachusetts: \$250,000 for use by its John F. Kennedy School of Government toward the costs of a research initiative to identify new strategies that build societal cohesion, enhance economic equality, and connect diverse communities on local and national levels.

Interfaith Worker Justice, Chicago, Illinois: \$200,000 in general support of its mission to educate, organize and mobilize the religious community in the United States to improve wages, benefits and working conditions, especially for lowwage workers.

Jacobs Center for Neighborhood Innovation, San Diego, California: \$60,000 toward the costs of evaluating the community ownership strategy for its project, Market Creek Plaza, a community complex planned, designed and built with and for low-income residents in a distressed neighborhood of San Diego, California.





Living Cities, Inc.: The National Community Development Initiative, New York, New York: \$2,166,000 for continued support of the second 10-year phase of the National Community Development Initiative.

Local Initiatives Support Corporation, New York, New York: \$100,000 for use by its Twin Cities office toward the costs of the Payne-Lake Community Partners Initiative, an initiative to connect people and place in the neighborhoods surrounding two aging commercial corridors in Minneapolis and St. Paul, Minnesota.

Local Initiatives Support Corporation, New York, New York: \$250,000 in general support of its mission to assist community development corporations in their efforts to transform distressed urban neighborhoods into healthy and working communities.

Local Initiatives Support Corporation, New York, New York: \$500,000 toward the start-up costs of the Community Recovery Fund, a partnership with the Enterprise Foundation, that will provide funding and technical assistance to, and advocate for, areas affected by Hurricane Katrina.

Mercy Housing, Denver, Colorado: \$240,000 toward the costs associated with the potential merger of a national affordable housing provider with a supportive housing agency in metropolitan Chicago and documenting the lessons learned to develop a framework for similar mergers.

National Alliance to End Homelessness, Washington, D.C.: \$150,000 in general support of its mission to mobilize the nonprofit, public and private sectors of society in an alliance to end homelessness in the United States.

National Community Reinvestment Coalition, Washington, D.C.: \$75,000 in general support of its mission to increase fair and equal access to credit, capital, and banking services and products by providing tools and strategies to build economic well-being in underserved communities in the United States.

National Housing Institute, Montclair, New Jersey: \$200,000 in general support of its mission to examine key issues affecting affordable housing and economic opportunities for residents of low- to moderate-income neighborhoods.

National Housing Law Project, Oakland, California: \$200,000 in general support of its mission to advance housing justice for low-income people.

National Law Center on Homelessness & Poverty,

Washington, D.C.: \$150,000 in general support of its mission to serve as the legal arm of the national movement to prevent and end homelessness.

National Low Income Housing Coalition, Washington, D.C.: \$300,000 in general support of its mission to end the affordable housing crisis in the United States.

National Trust for Historic Preservation, Washington, D.C.: \$250,000 for use by its Department of Community Revitalization toward the costs of restructuring its work to use preservation-based community development as a means of restoring cities and neighborhoods.

Neighborhood Funders Group, Washington, D.C.: \$25,000 toward the costs of establishing an association of grantmakers who use program-related and other investments to support community-based efforts to improve the economic and social fabric of low- and moderate-income urban neighborhoods.

NeighborWorks® America, Washington, D.C.: \$100,000 toward the start-up costs for nationwide implementation of its Success Measures initiative, an integrated system of training and technology support that helps community-development organizations evaluate the results of affordable housing, community building and economic development efforts.

Next American City, New Haven, Connecticut: \$50,000 in support of publishing two issues of its magazine aimed at community development field practitioners, the first on the future of integration and segregation in America and the second on new approaches to transportation.

Pacific Community Ventures, San Francisco, California: \$150,000 toward the costs of (1) measuring the social return on its venture capital investment in low-income communities across California and (2) developing a strategy to disseminate the findings nationally to economic, workforce and community development organizations.

PolicyLink, Oakland, California: \$490,000 in general support of its mission to inform, from the wisdom, voice and experience of local constituencies, a new generation of policies that achieve social and economic equity, expand opportunity and build strong, organized communities.

Regional Plan Association, New York, New York: \$200,000 toward the costs of an initiative to identify strategies for sustainable and equitable development in the New York City metropolitan region.

Texas Low Income Housing Information Service, Austin, Texas: \$200,000 in general support of its mission to aid low-income Texans' efforts to achieve the American dream of a decent, affordable home in a quality neighborhood.

University of Texas at Austin, Austin, Texas: \$200,000 for use by its School of Architecture's Partnership for Quality Growth and Preservation in support of its Texas Housing Research Consortium.

Urban Institute, Washington, D.C.: \$100,000 toward the costs of the final phase of a research initiative that examines the impact of three U.S. Department of Housing and Urban Development projects that tested different strategies to transform public housing in several urban cities.

Urban Institute, Washington, D.C.: \$200,000 in continued support of an analysis of the effects on participating families of the federal Moving to Opportunity program, which moved public housing residents out of distressed neighborhoods by using housing vouchers.

Urban Institute, Washington, D.C.: \$210,000 toward continued support of a longitudinal study to assess how the HOPE VI program, in which distressed developments are being demolished and replaced with mixed-income housing, is affecting the health and well-being of original, displaced residents.



Working Communities

Urban Institute, Washington, D.C.: \$25,000 toward the costs of a series of policy essays on best practices in housing, employment, education and transportation that aims to inform the rebuilding effort in New Orleans following Hurricane Katrina.

Urban Institute, Washington, D.C.: \$50,000 in support of a comprehensive review of the existing research literature on the benefits and costs of racial, ethnic and economic diversity for children, adults and communities.

Urban League of Greater New Orleans, New Orleans, Louisiana: \$250,000 toward the costs of its Katrina Relief and Rebuilding New Orleans Initiatives that aim to ensure full participation and equity for all citizens in rebuilding the city of New Orleans, Louisiana.

>CALIFORNIA WORKS FOR BETTER HEALTH

A joint initiative of the California Endowment and the Rockefeller Foundation that is working to improve the health of California residents living in low-income communities.

The California Endowment, Woodland Hills, California: \$2,000,000 in support of the second phase of its California Works for Better Health project, which is designed to improve the health and economic opportunity of residents of the Fresno, Los Angeles, Sacramento and San Diego, California, regions.

>ENCOURAGING ECONOMIC RESILIENCE

Supporting research and policy engagement to better understand the challenges faced by low-wage workers, and to identify approaches at the state and national levels that can assist them in entering the economic mainstream.

Advancement Project, Washington, D.C.: \$150,000 in general support of its mission to advance the field of racial justice by using law, public policy and strategic communications to increase universal opportunity, equity and access in America.

Asian Pacific American Legal Center of Southern California, Los Angeles, California: \$150,000 in general support of its mission to provide multilingual, culturally sensitive legal services, education and civil rights support to southern California's growing Asian Pacific American population.

Brandon Roberts and Associates, Chevy Chase, Maryland: \$125,000 toward the costs of its Working Poor Families project that assesses state efforts to assist the working poor to achieve economic self-sufficiency.

California Partnership for Working Families, Los Angeles, California: \$550,000 in general support of its mission to ensure that community benefits and good jobs are a priority of local economic development efforts in California and nationwide.

Center for Community Change, Washington, D.C.: \$400,000 in general support of its mission to help low-income people build powerful, effective organizations through which they can change their communities and improve public policies that adversely affect their lives.

Center for Economic and Policy Research, Washington, D.C.: \$200,000 in general support of its mission to promote informed debate on critical economic and social issues that affect people's lives.

Center for Labor and Community Research, Chicago, Illinois: \$75,000 in continued support of its Food Chicago program, which operates a skills-based training and placement program for food manufacturers in the Chicago region and promotes better regionally-based public and private workforce investment practices.

Center for Law and Social Policy, Washington, D.C.: \$300,000 in general support of its mission to undertake research, policy analysis, public education and technical assistance to advance the economic security, education and workforce prospects of low-income working families.

Center for Public Policy Priorities, Austin, Texas: \$200,000 in general support of its mission to improve public policies and private practices in Texas to better address the economic and social needs of low- and moderate-income Texans.

Center on Budget and Policy Priorities, Washington, D.C.: \$550,000 in general support of its mission to improve federal and state policies affecting low- and moderate-income families and individuals.

Chicago Jobs Council, Chicago, Illinois: \$100,000 in general support of its mission to ensure access to employment and career-advancement opportunities for low-income and disadvantaged job seekers and low-wage workers.

Children's Defense Fund, Washington, D.C.: \$250,000 in general support of its mission to improve the lives of low-income children and families in the United States.

City Futures, New York, New York: \$100,000 in general support of its mission to improve the overall economic health of New York City and create job opportunities for low-income and working-class New Yorkers.

City University of New York, New York, New York: \$75,000 for use by its Joseph S. Murphy Institute for Worker Education and Labor Studies in support of a project aimed at building labor and community coalitions in New York City to advance public policy solutions.

Community Service Society of New York, New York, New York: \$80,000 toward the costs of a research project, The Unheard Third, to survey and publish data on the economic and community concerns of low-income residents in New York City.

Community Voices Heard, New York, New York: \$190,000 in general support of its mission to expand economic opportunity, jobs and access to education, and training for low-income people in New York City.

Economic Policy Institute, Washington, D.C.: \$350,000 in general support of its mission to provide high-quality economic research and education in order to promote a prosperous, fair and sustainable economy in the United States.

Fiscal Policy Institute, Latham, New York: \$150,000 in general support of its mission to increase public and governmental understanding of issues related to the fairness of New York state's tax system and the stability and adequacy of state and local public services.

Fund for the City of New York, New York, New York: \$50,000 for use by its Agenda for Children Tomorrow's One City



Strategy project, which promotes neighborhood-based integration of public and private workforce development and social services to poor families in five New York City neighborhoods.

Fund for the City of New York, New York, New York: \$90,000 toward the costs of its project, the New York City Employment and Training Coalition, which helps employment service providers increase access to high-quality employment and training for low-income New Yorkers with employment barriers.

Good Jobs First, Washington, D.C.: \$275,000 in general support of its mission to assist constituency-based organizations and policymakers who seek to make state and local economic development policies more transparent and responsive to the public.

Heartland Alliance, Chicago, Illinois: \$100,000 toward the costs of expanding the National Transitional Jobs Network, a coalition of independently operated programs and policy centers, which aims to help low-skilled individuals gain access to the supports and training experience necessary to get and keep quality jobs.

Institute on Taxation and Economic Policy, Washington, D.C.: \$150,000 in general support of its mission to keep policymakers and the public informed of the effects of current and proposed tax polices on tax fairness, government budgets and sound economic policy.

Jobs for the Future, Boston, Massachusetts: \$400,000 in general support of its mission to develop and implement effective strategies for expanding economic opportunity for the urban working poor.

Lawyers' Committee for Civil Rights Under Law,

Washington, D.C.: \$100,000 in general support of its mission to ensure equal opportunity for minorities by addressing, through the law, factors that contribute to racial justice and economic opportunity.

Leadership Conference on Civil Rights Education Fund, Washington, D.C.: \$100,000 in general support of its mission to use research and education to promote an understanding of the need for national policies that support civil rights and social and economic justice.

MDRC, New York, New York: \$200,000 in continued support of a U.S.-U.K. learning exchange on demonstration projects in order to strengthen the evidence base for policies that improve the well-being of low-income people and for an exploration of opportunities for similar international initiatives.

MDRC, New York, New York: \$254,730 toward the costs of (1) an impact evaluation in three sites that implemented its Jobs Plus demonstration model and (2) dissemination of the evaluation lessons to better replicate the program elsewhere.

MDRC, New York, New York: \$250,000 toward the costs of its Work Advancement and Support Center demonstration project that seeks to affect the earning power of low-wage workers, the quality of life of their families and the capacity of public systems to help such workers stabilize their incomes and advance in the labor market.

Massachusetts Workforce Alliance, Somerville, Massachusetts: \$35,000 toward the costs of its Policy Education,

Engagement and Response project that provides technical support to workforce development practitioners serving low-income and low-wage workers in Massachusetts.

Mexican American Legal Defense and Educational Fund, Los Angeles, California: \$500,000 in general support of its mission to protect and defend the civil rights of the more than 43 million Latinos living in the United States and its territories.

NAACP Legal Defense and Educational Fund, New York, New York: \$150,000 in general support of its mission to secure racial and social justice for all Americans.

National Asian Pacific American Legal Consortium,

Washington, D.C.: \$140,000 in general support of its mission to advance the human and civil rights of Asian Americans through advocacy, public policy, public education and litigation.

National Council of La Raza, Washington, D.C.: \$150,000 toward the costs of its Policy Analysis Center, which conducts research, policy analysis and outreach activities to improve the socioeconomic status of Latinos in the United States.

National Employment Law Project, New York, New York: \$250,000 in general support of its mission to promote enforcement and expansion of employment protections for low-income and unemployed workers.

Native American Rights Fund, Boulder, Colorado: \$150,000 in general support of its mission to preserve, protect and promote the rights of Native Americans.

New America Foundation, Washington, D.C.: \$100,000 for a series of articles on the new interdependencies and risks embedded in global production networks, as part of its Global Commodities Project.

New Hope Project, Milwaukee, Wisconsin: \$27,000 toward the costs of an international conference, in collaboration with the University of Wisconsin's Institute for Research on Poverty, to compare lessons learned about implementing a work-based system of welfare reform in the United Kingdom and the United States.

New York Community Trust, New York, New York: \$125,000 toward the costs of its New York City Workforce Development Funders Group's New York City Sectors Initiative, which helps low-income job seekers gain access to skills and employment in the health care and aviation industries.

New York Unemployment Project, New York, New York: \$125,000 to coordinate the New York Unemployment Insurance Access and Expansion Collaborative, whose aim is to improve access to Unemployment Insurance in immigrant communities in New York City.

Pratt Institute, Brooklyn, New York: \$400,000 for use by its Center for Community and Environmental Development in support of a collaboration aimed at advancing accountable economic development in New York City, establishing broadbased community coalitions and improving leadership skills among local community organizations.

Progressive Technology Project, Minneapolis, Minnesota: \$150,000 in general support of its mission to elevate the use of information and communication technology by community-based organizations.





Working Communities

Puerto Rican Legal Defense and Education Fund, New York, New York: \$125,000 in general support of its mission to secure, promote and protect the civil and human rights of the Latino community.

Strategic Concepts in Organizing and Policy Education, Los Angeles, California: \$225,000 in general support of its mission to develop initiatives that reduce or eliminate structural barriers to economic opportunities for individuals living in disadvantaged communities in Los Angeles and the state of California.

University of Illinois at Chicago, Chicago, Illinois: \$325,000 for use by its Center for Urban Economic Development to conduct economic and policy research and provide technical assistance to community groups to improve conditions in economically distressed areas and among marginalized groups. (Joint with North America Regional Program.)

University of Texas at Austin, Austin, Texas: \$100,000 for use by its Lyndon B. Johnson School of Public Affairs' Ray Marshall Center for the Study of Human Resources toward the costs of implementing the Central Texas Workforce demonstration initiative, a pilot project aimed at increasing training and advancement opportunities for low-income residents interested in careers in nursing and medical-technician fields.

University of Texas at Austin, Austin, Texas: \$250,000 for use by its Harry Ransom Humanities Research Center toward the costs of acquiring and maintaining for public access the Watergate Archive, the combined papers of The Washington Post reporters who first reported the story.

University of Washington, Seattle, Washington: \$150,000 toward the costs of a research study to examine and analyze the role of global retail firms in shaping the distribution of manufacturing jobs globally.

Urban Institute, Washington, D.C.: \$400,000 in support of a longitudinal study in Texas on the challenges facing prisoners upon release and reintegration into society, with a focus on informing re-entry policies at the local, state and national levels.

Washington Area Women's Foundation, Washington, D.C.: \$250,000 toward the costs of its Women and Families Financial Independence Initiative to build long-term economic security and financial independence for low-income, women-headed families in the Washington, D.C., metropolitan area.

William J. Brennan Jr. Center for Justice, New York, New York: \$150,000 in support of its Economic Justice Project, which uses research and analysis to promote policies that provide New Yorkers, particularly immigrants and people of color, with access to good jobs while encouraging long-term, sustainable economic growth.

Women's Fund of Miami-Dade County, Miami, Florida: \$450,000 toward the costs of establishing the Social Justice Institute, which will support accountable development initiatives in South Florida and explore ways to support statewide social change efforts.

Creativity & Culture

Grants, fellowships and other philanthropic investments in 2005: \$14,114,000.

→ GOAL: To support the creative work of cultural organizations, artists and humanists that contribute to a diverse cultural landscape and help people and their communities cope in an increasingly global world.

>SUPPORT FOR INDIVIDUAL ARTISTS

Supporting American artists in the performing and media arts fields.

Creative Capital Foundation, New York, New York: \$5,500,000 toward the costs of the Multi-Arts Production Fund, a program that supports the creation of new work in the performing arts.

Creative Capital Foundation, New York, New York: \$175,000 toward the costs of enhancing its fund-raising capacity and re-evaluation of its business model for the Professional Development Program, a program that introduces artists to tools for self-management.

National Video Resources, New York, New York: \$4,850,000 toward the costs of the Program for Media Artists, a program that supports film, video and multimedia artists.

>THE ROLE OF CREATIVITY IN SOCIETY

Supporting research and other explorations that examine and foster increased understanding of the role of artistic and creative activity within societies.

Aaron Davis Hall, Inc., New York, New York: \$200,000 toward the costs of developing and documenting a project aimed at strengthening its work at the nexus between artistic excellence and community and economic development in Harlem, New York.

American University, Washington, D.C.: \$100,000 for use by its Center for Social Media toward the costs of research on intellectual property rights issues facing documentary filmmakers.

American University, Washington, D.C.: \$158,807 for use by its Center for Social Media to implement its Filmmakers' Statement of Best Practices in Fair Use, develop curricular materials related to the Statement and train lawyers and legal service providers about fair use and copyright.

Brooklyn Academy of Music, Brooklyn, New York: \$100,000 toward the costs of the planning phase of a community-engagement program that will enhance the institution's service to the local area.

City Futures, New York, New York: \$150,000 for use by its Center for an Urban Future toward the costs of a public education program to launch the report Creative New York, an analysis of the role New York City's creative sector plays in community and economic development.



Foundation-administered project: \$23,000 toward the costs of publishing materials on fellowships opportunities for the final year of the Humanities Residency Program.

Foundation-administered project: \$400,000 toward the costs of an assessment and synthesis of the Urban Institute's program on cultural indicators and cultural engagement, and the dissemination of its findings to relevant policymakers and practitioners.

Grantmakers in the Arts, Seattle, Washington: \$15,000 toward general operating support of its mission to strengthen the field of private-sector arts and culture grantmaking.

Leveraging Investments in Creativity, Boston, Massachusetts: \$100,000 toward the costs of development of its National Information Network for the Arts.

National Association of Latino Arts and Culture, San Antonio, Texas: \$25,000 toward the costs of a planning meeting on the future of Latino arts and culture in the changing demographic environment of the United States.

National Association of Latino Independent Producers, Santa Monica, California: \$200,000 toward the costs of a strategic planning retreat and three of its signature programs, the Latino Writers Lab, the Latino Producers Academy and the Latino Media Resource Guide, which seek to increase Latino presence in all aspects of media production.

National Video Resources, New York, New York: \$15,000 for the ongoing activities of Grantmakers in Film and Electronic Media.

Public Knowledge, Washington, D.C.: \$150,000 toward the costs of its project to provide a reliable and innovative information resource on copyright law and communications policy that ensures copyright and communications policies address the creative sector's access to copyrighted works and new digital technologies.

Urban Institute, Washington, D.C.: \$550,000 toward the costs of the Arts and Culture Indicators Project's strategy to make arts and culture indicators more useful to policymakers with the goal of including the role of the creative sector as an asset in community building.

William J. Brennan Jr. Center for Justice, New York, New York: \$100,000 toward the costs of its Free Expression Policy Project's Fair Use Empowerment Initiative, which seeks to educate the creative community about intellectual property rights in relation to fair use and freedom of expression.

>REGIONAL PROGRAMMING

Supporting arts and humanities programs in Africa and Southeast Asia that reflect the interests and perspectives of poor or marginalized groups, and promote greater appreciation for and tolerance of cultural diversity.

Amrita Performing Arts, Oakland, California: \$231,000 toward the costs of activities to increase opportunities for performing artists and arts groups in Cambodia, such as commissioning new works, researching traditional repertories and carrying out artists' exchanges.

African Studies Association (Rutgers), New Brunswick, New Jersey: \$12,195 toward the costs of bringing three African scholars to its annual meeting, November 2006.

Federation for the Development of the Book Sector in Cambodia, Phnom Penh, Cambodia: \$90,000 toward the costs of a series of promotional, networking and communications activities designed to develop and strengthen a book publishing culture in Cambodia.

Feminist Press, New York, New York: \$132,500 toward the costs of distributing "Women Writing Africa" to university libraries, teacher education and women's studies programs in Africa.

Foundation-administered project: \$225,000 toward the costs of a research project that will survey current approaches to arts funding, outline opportunities for new models of support in the cultural sector and suggest possible interventions.

Harare International Festival of the Arts, Harare, Zimbabwe: \$35,000 toward the costs of organizing a pan-African festival for the performing and visual arts in 2005.

Independent Television Service, San Francisco, California: \$75,000 toward the costs of travel grants to support global representation at INPUT 2005, a media summit committed to the notion of independent media as a critical tool for civic dialogue and democracy.

Reyum, Phnom Penh, Cambodia: \$251,480 toward research, public education and outreach activities to encourage understanding of Cambodian cultural forms and toward the organization's stabilization efforts.





Global Inclusion

Grants, fellowships and other philanthropic investments in 2005: \$6,635,000.

⇒ GOAL: To help broaden the benefits and reduce the negative impacts of globalization on vulnerable communities, families and individuals.

>BUILDING SUPPORT FOR GLOBAL AND REGIONAL POLICIES TO BENEFIT THE POOR

Working to enable developing countries and nongovernmental organizations representing the interests of poor people to more effectively participate in global and regional debates on trade, technology and intellectual property.

Advocates Coalition for Development and Environment, Kampala, Uganda: \$200,000 toward the costs of a project to examine national and global policy processes and how they can be implemented to reduce poverty, stimulate production and conserve genetic resources in rural Uganda, Kenya and Tanzania. (Joint with Food Security.)

Bread for the World Institute, Washington, D.C.: \$200,000 in general support of its mission to reduce poverty and hunger through research and public education.

CAMBIA, Black Mountain, Australia: \$1,675,000 toward the costs of a project to develop, promote, implement and validate a new model for managing intellectual property, stimulating innovation and delivering useful biological technologies based on the principles of open source, collaborative peer research and development. (Joint with Creativity & Culture, Food Security and Health Equity.)

Center for International Environmental Law, Washington, D.C.: \$150,000 toward the costs of a project to enhance the participation and influence of developing countries in regional and bilateral intellectual property negotiations. (Joint with Creativity & Culture, Food Security and Health Equity.)

Centre for the Management of Intellectual Property in Health Research & Development, Oxford, England: \$210,000 toward the costs of an electronic version of a handbook on the best practices for management of intellectual property in health and agriculture. (Joint with Creativity & Culture, Food Security and Health Equity.)

Foundation-administered project: \$225,000 toward the costs of two global meetings addressing policies on intellectual property and for an assessment and synthesis of lessons learned from the Foundation's IP grantmaking. (Joint with Creativity & Culture, Food Security and Health Equity.)

German Marshall Fund of the United States, Washington, D.C.: \$225,000 to promote understanding, partnerships and policies between the European Union and the United States on food, trade and development, particularly as they relate to Africa.

Intellectual Property Watch, Geneva, Switzerland: \$200,000 toward the costs of producing its Monthly Reporter, a newsletter that provides in-depth reporting on the factors that influence the design and implementation of intellectual property policies. (Joint with Creativity & Culture, Food Security and Health Equity.)

International Centre for Trade and Sustainable Development, Geneva, Switzerland: \$614,604 toward the costs of a program to address developing countries' sustainable development concerns in intellectual property discussions at the bilateral and multilateral level. (Joint with Creativity &

Culture, Food Security and Health Equity.)

International Institute for Environment and Development, London, England: \$100,000 for the costs of a joint initiative with the Foundation for International Environmental Law and Development to examine the effect on developing countries of international trade, intellectual property and biosafety policies. (Joint with Food Security.)

Panos Institute, London, England: \$100,000 toward the costs of a project to support media participation in the debate on genetically modified organisms. (Joint with Food Security.)

Public Interest Intellectual Property Advisors, Inc., Washington, D.C.: \$149,625 for the costs of a project to provide probono counsel on intellectual property policy to developing-country governments, consumers and researchers, including Foundation grantees, to help them gain access to and secure the benefits of knowledge and technologies beneficial to poor people. (Joint with Creativity & Culture, Food Security and Health Equity.)

>RESEARCH ON GLOBAL TRENDS

Helping to strengthen the effectiveness of development work, including the Foundation's, by enhancing understanding of and responsiveness to global trends and their impacts on poor people.

Foundation-administered project: \$123,362 for costs of underwriting The Philanthropy Workshop/West, a donor education program jointly funded by the Hewlett, Rockefeller and TOSA foundations.

Foundation-administered project: \$350,000 toward the costs of expert panels, facilitated discussions and commissioned papers to support the Foundation's long-term program strategy development.

George Washington University, Washington, D.C.: \$99,997 toward the costs of completing research and writing a book on the emergence of self-organizing knowledge networks and how they can benefit developing countries.

German Marshall Fund of the United States, Washington, D.C.: \$950,000 for the costs of designing, planning and facilitating a Bellagio Dialogue on Integration, a monthlong series of activities at the Bellagio Study and Conference Center, Italy, June and July 2006, to examine issues surrounding the adaption and integration of migrants in the United States and Europe in ways that respect cultural diversity and accommodate social cohesion.

Institute of Development Studies, Brighton, England: \$199,024 for the costs of developing a network of natural and social scientists and policymakers from the private and non-profit sectors to generate new thinking on how science and technology can play a more effective role in reducing poverty in developing countries.

Institute of Development Studies, Brighton, England: \$75,000 for the costs of a workshop to examine newly emerging economies in Asia and their impact on developing countries.

openDemocracy, London, England: \$288,400 toward the costs of a Web-based network for coverage of and debate on global issues.

SciDev.Net, London, England: \$450,000 in general support of its mission to enhance the provision of reliable and authoritative information on science- and technology-related issues that have an impact on the economic and social development of developing countries.





Regional Programs

Africa Regional Program

Grants, fellowships and other philanthropic investments in 2005: \$11,311,000.

⇒ GOAL: To contribute to the revitalization of sub-Saharan Africa by strengthening the capacity of people and institutions to advance Africa's development, and increasing critical information and knowledge that will promote effective approaches to the challenges facing poor communities.

>TRANSFORMING AFRICAN UNIVERSITIES

Strengthening African universities' contributions to economic and social progress in their nations, by investing in their efforts to train leadership, foster new knowledge and innovation, and improve public service delivery and governance.

African Virtual University, Nairobi, Kenya: \$1,269,627 toward the costs of implementing a pilot bandwidth buying consortium to negotiate a volume discount for 12 higher-education institutions in Africa.

Association of African Universities, Accra-North, Ghana: \$15,000 toward the costs of a project to examine its role in enhancing bandwidth access for higher-education institutions in Africa

Foundation-administered project: \$176,080 toward the costs of seminars, publications, public outreach and evaluations associated with the Partnership for Higher Education in Africa.

Kenya Education Network Trust, Nairobi, Kenya: \$105,000 in support of a project to acquire and provide effective management of faster and more affordable bandwidth to a consortium of public and private universities in Kenya.

Makerere University, Kampala, Uganda: \$2,000,000 toward the costs of its revitalization as an institution that can nourish Uganda's social, economic and political transformation in the 21st century and address the human capacity and research needs of decentralization.

National Council for Higher Education, Kampala, Uganda: \$25,540 in support of its activities to establish a protocol for cooperation among the higher-education regulatory agencies in Kenya, Tanzania and Uganda.

Tertiary Education Network, Rondebosch, South Africa: \$156,100 toward the costs of implementing a training program to improve bandwidth management capacities in selected African universities

>IMPROVING ACCESS TO AND QUALITY OF PRIMARY EDUCATION

Working to increase literacy and reduce the barriers to access and retention of female students, through improved teaching methods and more effective classroom materials within African primary school education.

Egerton University, Njoro, Kenya: \$60,000 toward the costs of a collaborative project with Maseno University to produce reading materials on growing up and sexual maturation for school children in Kenya, and to produce two scholarly books on the same topic.



Chapter, Nairobi, Kenya: \$155,000 toward the costs of implementing phase three of its project to create awareness among stakeholders about the impact of sexual maturation on school attendance and performance in the Nairobi and Bondo districts of Kenya, and to scale up interventions tested in phases one and two.

Forum for African Women Educators, Zimbabwe Chapter, Harare, Zimbabwe: \$29,535 toward the costs of a project that will address psychosocial needs of orphans and vulnerable children in primary schools in Zimbabwe.

Forum for Organic Resource Management and Agricultural Technologies, Nairobi, Kenya: \$20,960 toward the costs of improving a Web site, www.questafrica.org, that provides access to information on primary education in Africa and offers opportunities for information sharing among partners of the Quality Education for Social Transformation program in Kenya, Uganda and Zimbabwe.

Foundation-administered project: \$78,000 toward the costs of compiling and synthesizing curriculum materials on English proficiency for education publishers in Zimbabwe.

Foundation-administered project: \$238,228 toward the costs of synthesizing research and scholarly materials on girls' education for a series of books for policymakers and educators in Kenya and Uganda.

Jacaranda Designs Limited, Nairobi, Kenya: \$600,000 toward the costs of its project to publish a monthly educational newspaper for upper-primary pupils and out-of-school children in Kenya, Uganda, Tanzania and southern Sudan.

Kenyatta University, Nairobi, Kenya: \$578,616 toward the costs of its project to improve the quality of primary education through the promotion of English literacy interventions in Kenya.

Makerere University, Kampala, Uganda: \$29,480 toward the costs of disseminating the findings of a study on literacy practices in primary schools in Uganda.

Makerere University, Kampala, Uganda: \$855,446 for use by its Makerere Institute of Social Research toward the costs of a project to improve the quality of primary education in Uganda through increased retention, improved literacy and learner-friendly schools.

Makerere University, Kampala, Uganda: \$65,000 for use by its Margaret Trowell School of Industrial and Fine Arts toward the continuing costs of a project that will document skills and methods for training children in reading and writing at the lower primary school level in Uganda.

Uganda Rural Development and Training Programme,

Kampala, Uganda: \$265,185 toward the costs of its project on education and communication for social transformation—an approach to poverty eradication and women's empowerment in Kibaale District, Uganda.

United Nations Educational, Scientific and Cultural Organization, Paris, France: \$100,000 toward the costs of the activities of the Association for the Development of Education in Africa, which promotes information exchange, mutual learning and cooperation between African ministries of education and donor organizations.





THE ROCKEFELLER FOUNDATION

Regional Programs

>INFORMATION FOR DEVELOPMENT

Helping to improve the efficiency and quality of public services and policies addressing agriculture, health and education by generating more and better data on which policy and budgetary decisions are made.

AfriAfya, Nairobi, Kenya: \$250,000 toward the costs of strengthening health management information systems by ensuring linkages to community-based information to improve health care provision in Kenya.

African Medical and Research Foundation, Nairobi, Kenya: \$258,310 in support of a project to develop a functional model for an improved and sustainable community-based health management information system in the Kitui and Makueni districts of Kenya.

African Population and Health Research Centre, Nairobi, Kenya: \$479,600 in support of a project to assess the social, health and economic contexts of HIV/AIDS in two poor urban communities in Nairobi, Kenya, by strengthening the Nairobi Urban Demographic and Health Surveillance System.

Aga Khan Foundation U.S.A., Washington, D.C.: \$502,565 toward the costs of phase two of a project to replicate, in three districts of Coast Province, Kenya, a reliable, efficient and standardized health management information system—already in use in four districts of Coast Province—which will strengthen its potential of being adopted as a prototype for the entire country.

Aga Khan Foundation U.S.A., Washington, D.C.: \$60,300 toward the costs of a study to develop an understanding of the factors that contribute to the design and operation of a viable micro-finance model that has the potential to impact poverty in East Africa.

INDEPTH Network, Accra, Ghana: \$62,100 toward the costs of developing a generic resources kit for its demographic surveillance sites, which are set up in resource-constrained countries to gain a better understanding of population dynamics.

INDEPTH Network, Accra, Ghana: \$500,000 toward the costs of designing and implementing a process, through a multidimensional platform, to enhance the evaluation of its research on health interventions and to inform policymakers.

International Livestock Research Institute, Nairobi, Kenya: \$250,000 toward the costs of a project that will demonstrate the effective use of poverty maps in designing and targeting pro-poor interventions across different sectors in East Africa.

International Livestock Research Institute, Nairobi, Kenya: \$70,000 toward the costs of a project to develop training resources for effective teaching of biometry at universities in sub-Saharan Africa.

Link Community Development, London, United Kingdom: \$380,000 in support of its project to develop and implement a system of information management in education in Uganda.

Makerere University, Kampala, Uganda: \$300,000 for use by its Institute of Public Health toward the costs of building capacity for evidence-based planning and management at the district level to foster a better and more accurate understanding of a total population's health, thus allowing resources to be allocated where needs are greatest.

Moi University, Eldoret, Kenya: \$450,000 toward the costs of a joint project with Indiana University and the World Health Organization to implement the Academic Model for the Prevention and Treatment of HIV/AIDS electronic medical records system in six sites in Tanzania and Uganda to test its applicability as a critical tool for the scale-up of patient care and follow-up in the battle against HIV/AIDS in these countries.

Tropical Institute of Community Health and Development in Africa, Kisumu, Kenya: \$173,500 in support of a project to develop and test models for improved district health systems in Kenya.

>EXPLORATIONS AND OTHER

Foundation-administered project: \$111,964 toward the costs of commissioned papers, meetings and publications aimed at developing a better understanding of the drivers and emerging problems, opportunities and implications of urbanization in Africa.

Foundation-administered project: \$54,000 toward devising strategies to expand ways that private-sector resources can be leveraged to enhance livelihoods in eastern Africa, specifically (1) to identify opportunities in Kenya and Uganda to engage the private sector to further these goals in a financially sustainable manner and (2) to provide advice to the Foundation's officers on the management of existing and potential investments. (Joint with the Program Venture Experiment Fund.)

Foundation-administered project: \$40,000 toward the costs of devising strategies to expand ways that private-sector resources could be leveraged to enhance livelihoods in sub-Saharan Africa, specifically: (1) to identify opportunities in sub-Saharan Africa for the Foundation to work with the private sector to further these goals in a financially sustainable manner, and (2) to provide advice to the Foundation's officers on the management of existing and potential investments.

Kenya National Academy of Sciences, Nairobi, Kenya: \$16,500 toward the costs of a national workshop on the role of science and technology capacity in achieving the Millennium Development Goals, held in Nairobi, October 2005.

Regional Universities Forum for Capacity Building in Agriculture, Kampala, Uganda: \$59,500 toward the costs of enhancing its capacity to broaden its funding base by developing new programs and marketing initiatives.

World Agroforestry Centre, Nairobi, Kenya: \$470,000 in support of a fellowship program designed to build the scientific and leadership skills of African women scientists in the national agricultural research institutes of Kenya, Uganda and Tanzania. (Joint with Food Security.)





North America Regional Program

Grants, fellowships and other philanthropic investments in 2005: \$2,952,000.

→ GOAL: To inform public policies and private initiatives in sending and receiving communities in the United States and Mexico in ways that improve understanding of the various dimensions of migration, and that can offer poor migrants and their families better livelihood choices.

>NORTH AMERICA TRANSNATIONAL COMMUNITIES

Supporting research and dialogue to better understand the effects of new cultural, social and economic relationships effecting families and communities with lives on both sides of the U.S.-Mexico border.

American Friends Service Committee, Philadelphia, Pennsylvania: \$200,000 for use by its Pan Valley Institute toward the costs of a project to expand the work of its Tamejavi Cultural Exchange Project, a series of regional cultural exchanges, training sessions and creative productions to deepen understanding about civic participation among immigrants in California's Central Valley. (Joint with Creativity & Culture, Global Inclusion and Working Communities.)

Autonomous Metropolitan University, Iztapalapa, Iztapalapa, Mexico: \$210,000 in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the Mixteca region of the state of Oaxaca.

Autonomous University of Zacatecas, Zacatecas, Mexico: \$190,000 in support of its project to create a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the Zacatecas region.

Baruch College, City University of New York, New York, New York: \$188,600 toward the costs of a survey to determine what roles community-based organizations, associations and social service providers play in the lives of new immigrants in New York City.

Center for Research and Advanced Studies in Social Anthropology, Mexico City, Mexico: \$95,000 in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the Veracruz region.

Cornell University, Ithaca, New York: \$30,000 for use by Cornell University Press toward the costs of the publication of "Beyond Borders: Transnational Working Communities," a photographic and oral history of working communities in Mexico, Guatemala and the United States, by David Bacon.

Federación de Clubes Zacatecanos del Sur de California/Zacatecan Federation of Southern California, Los Angeles, California: \$200,000 toward the costs of building its capacity to promote and sustain philanthropic investment in the state of Zacatecas, Mexico, and of involving immigrant groups in the United States in binational development projects.

Foundation-administered project: \$380,000 for the costs of a Web-based knowledge management system, program evaluation and external dissemination of research and project work focused on U.S.-Mexico transmigration.

Harvard University, Cambridge, Massachusetts: \$71,730 toward the costs of a workshop on transnational arts and culture in three immigrant communities in New York—Latino, Asian and African—to be held in Cambridge, Massachusetts, fall 2006.

Heartland Alliance, Chicago, Illinois: \$160,000 toward the costs of its Enlaces America project to build the capacity of immigrant community leaders in advancing a sustainable development agenda in their communities of origin.

International Migration and Development Network, Zacatecas, Mexico: \$140,000 toward the costs of research, international exchanges and knowledge dissemination to inform policies and the link between migration and development in countries with high emigration.

National Immigration Law Center, Los Angeles, California: \$150,000 for general support of its mission to protect and promote the rights and opportunities of low-income immigrants and their families. (Joint with Creativity & Culture, Global Inclusion and Working Communities.)

Population Council, New York, New York: \$150,000 toward the costs of a review and analysis of research and health interventions focused on the impacts of Mexico-U.S. migration on the spread of HIV/AIDS, especially to rural areas of Mexico. (*Joint with Health Equity.*)

Rodolfo Morales Cultural Foundation, Oaxaca, Mexico: \$203,000 toward the costs of disseminating the outcomes of research on socioeconomic and cultural dynamics in high-migration communities in rural Mexico and of facilitating a series of dialogues at which these communities can discuss future scenarios should current migratory trends persist.

Technological Institute of Oaxaca, Oaxaca, Mexico: \$60,000 in support of the second and final phase of its project to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the indigenous Oaxaca region.

Universidad Iberoamericana, Puebla, de la Comunidad Universitaria del Golfo Centro A.C., Puebla, Mexico: \$195,000 in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the state of Puebla.

University of California, Los Angeles, Los Angeles, California: \$120,000 in support of a joint research project with New York University and the University of Illinois at Chicago on the prevalence of workplace violations in New York City, Chicago and Los Angeles.

University of California, Santa Cruz, Santa Cruz, California: \$98,340 toward the costs of research papers and a workshop on Mexican migrant civil society in the United States and its implications for public policies in both countries, held in October 2005. (Joint with Creativity & Culture, Global Inclusion and Working Communities.)

University of Notre Dame, Notre Dame, Indiana: \$110,000 toward the costs of an exhibition and educational activities focused on raising awareness of, and creating a public forum around, new artistic interpretations of Mexican migration to the United States.





THE ROCKEFELLER FOUNDATION

Regional Programs

Southeast Asia Regional Program

Grants, fellowships and other philanthropic investments in 2005: \$7,457,000.

→ GOAL: To contribute to more equitable development in the Greater Mekong Sub-region of Southeast Asia by addressing the impacts of rapid regional integration on society, culture and vulnerable groups.

>LEARNING ACROSS BOUNDARIES

Helping nations and organizations anticipate and respond to challenges arising from regional integration by strengthening educational and training institutions and supporting organizations representing vulnerable and ethnic communities.

Cambodia Development Resource Institute, Phnom Penh, Cambodia: \$450,000 in support of a project to enhance the study of emerging regional trends in the Greater Mekong Sub-region through research collaboration among institutions in Cambodia, Lao PDR, Thailand, Vietnam and Yunnan Province, China.

Chiang Mai University, Chiang Mai, Thailand: \$141,063 for use by its Social Research Institute toward the costs of the second phase of a collaborative study of the tourism industry in the Greater Mekong Sub-region and its multiple impacts on socioeconomic development, culture and the environment.

Chiang Mai University, Chiang Mai, Thailand: \$20,000 toward the costs of the participation of Southeast Asian artists, curators, critics and public arts activists in the international symposium, Public Art In(ter)vention, which considers the interface of contemporary visual arts and social issues affecting disadvantaged communities in the Mekong Sub-region, held in Chiang Mai, February 2005.

Chulalongkorn University, Bangkok, Thailand: \$64,090 for use by its Asian Research Center for Migration to study the social protection needs and to improve the working conditions of Burmese, Cambodian and Laotian migrant workers in Thailand.

Foundation-administered project: \$190,000 toward the costs of commissioned studies, public workshops and engaging external experts on Foundation initiatives addressing cross-border dynamics in the Greater Mekong Sub-region of Southeast Asia.

Fund for Reconciliation and Development, New York, New York: \$100,000 toward the costs of a series of consultations and publications to promote cooperation and understanding between the United States and Cambodia, Lao PDR and Vietnam, as well as within the Indochina Sub-region.

Institute for Social Development Studies, Hanoi, Vietnam: \$99,720 in support of a project to enhance knowledge and public awareness of the social protection needs of migrant workers in and from Vietnam through studies, publications, workshops and educational campaigns.

IPS Inter Press Service International Association, Rome, Italy: \$369,618 for use by its Regional Office for Asia-Pacific in Thailand toward the costs of Imaging Our Mekong, a joint media fellowship program with the Probe Media Foundation, designed to address cross-border and cross-cultural issues in the Greater Mekong Sub-region.

National Institute of Development Administration,
Bangkok, Thailand: \$100,000 in support of a program to build
the capacity of young scholars from the Greater Mekong
Sub-region through the study of regional development and
its impact on Thailand and the Sub-region.

Northern Illinois University, DeKalb, Illinois: \$50,000 for use by its Center for Southeast Asian Studies toward the costs of the participation of scholars from Thailand and other Mekong countries in a series of panels on cross-border and cross-cultural issues at the Ninth International Conference on Thai Studies, held at the University, April 2005.

Probe Media Foundation, Quezon City, Philippines: \$391,430 toward the costs of Imaging Our Mekong, a joint media fellowship program with the IPS Inter Press Service International Association, designed to address cross-border and cross-cultural issues in the Greater Mekong Sub-region.

Ubon Ratchathani University, Ubon Ratchathani, Thailand: \$170,000 for use by its Faculty of Liberal Arts to strengthen a new resource center focused on the Greater Mekong Subregion and to establish a Mekong regional studies program.

>BRIDGING DIVERSITY

To enhance recognition and appreciation for the region's religious and ethnic diversity, while aiming to blunt discrimination and exclusion that often emerge during the process of regional integration.

Center for Advanced Study, Phnom Penh, Cambodia: \$100,000 in support of research to assess changes over the last decade in the social and cultural status of ethnic communities in Cambodia.

Center for Community Development Studies, Yunnan, China: \$100,000 in support of a project to produce an analytic review and annotated bibliography of social transformations experienced by ethnic minority groups in Yunnan Province, China, and related groups in Vietnam, Lao PDR and Thailand.

Mirror Foundation, Chiangrai, Thailand: \$200,000 in support of its project, the Virtual Hilltribe Museum, and of related research and documentary and media activities to encourage better public understanding of, and challenges faced by ethnic minority groups in the uplands of northern Thailand.

Princess Maha Chakri Sirindhorn Anthropology Centre,
Bangkok, Thailand: \$210,630 toward the costs of a collaborative effort to develop local capacity in researching and presenting the cultural heritage of diverse ethnic communities in the
Greater Mekong Sub-region.



Vietnam Museum of Ethnology, Vietnamese Academy for Social Sciences, Hanoi, Vietnam: \$450,000 in continued support of a capacity-building initiative among museums and cultural institutions in the Greater Mekong Sub-region to promote, through research and exhibits, greater public understanding of the challenges facing cross-border ethnic communities in the region.

Vietnam Museum of Ethnology, Vietnamese Academy for Social Sciences, Hanoi, Vietnam: \$96,660 for use by its Institute for Southeast Asian Studies to examine social, cultural and economic change among ethnic Vietnamese migrant communities (Viet Kieu) in Lao PDR, in collaboration with the Lao Institute of Cultural Research.

Women's Media Centre of Cambodia, Phnom Penh, Cambodia: \$200,600 toward the costs of the development, production and dissemination of a series of documentary films on the lives of women in ethnic minority communities in Cambodia.

>CROSS-BORDER HEALTH

To stem the cross-border flow of diseases, especially AIDS, TB, malaria, dengue fever and, more recently, SARS and avian flu, while enabling protection of vulnerable mobile and ethnic populations.

Center for Community Health and Development, Hanoi, Vietnam: \$181,400 in support of the development of a multisectoral program to reduce HIV/AIDS vulnerability among ethnic and mobile populations in Lang Son Province, northern Vietnam

EMPOWER Foundation, Nonthaburi, Thailand: \$99,770 in support of a project to share strategies to reduce vulnerability and HIV risk among ethnic and mobile women in emerging entertainment settings in Yunnan Province of China and Lao PDR.

Federation of Family Planning Associations, Malaysia, Selangor Darul Ehsan, Malaysia: \$100,000 toward the costs of participants from the Greater Mekong Sub-region in, and other activities of, the Third Asia Pacific Conference on Reproductive and Sexual Health, held in Malaysia, November 2005.

Gadjah Mada University, Yogyakarta, Indonesia: \$100,000 for use by its Population and Policy Study Centre for comparative research on male mobility and behavior implicated in the spread of sexually transmitted diseases throughout Southeast Asia.

Hanoi Medical University, Hanoi, Vietnam: \$180,300 for use by its Faculty of Public Health to undertake the second phase of research—with the involvement of local communities—to understand and address risk and vulnerability to STIs and HIV along transnational roadway networks in Vietnam.

Kunming Medical College, Kunming, China: \$30,200 for use by its Department of Social Sciences toward the costs of a study to assess equity, efficiency and accountability of the rural health care insurance program, especially as it relates to ethnic populations in Yunnan Province, China.

Kunming Medical College, Kunming, China: \$345,000 for use by its Institute for Health Sciences toward the costs of strengthening its regional presence as a research and training institute focusing on HIV/AIDS and other health challenges in the Greater Mekong Sub-region.

Mahidol University, Nakhon Pathom, Thailand: \$156,856 for longitudinal analysis of demographic, social and health trends and the impact of comprehensive health and social interventions on ethnic and marginalized communities in western Thailand.

Ministry of Health, Cambodia, Phnom Penh, Cambodia: \$78,270 for use by its National Institute of Public Health toward the costs of a planning process, in collaboration with public health institutions in Thailand, Vietnam and the Philippines, leading to the establishment by 2010 of the first government-supported Master of Public Health program in Cambodia.

Ministry of Health, P.R. China, Beijing, China: \$200,000 for use by its Foreign Loan Office to conduct an intervention study in Yunnan Province to make rural health services more responsive to the needs of ethnic women.

Ministry of Health, Vietnam, Hanoi, Vietnam: \$60,000 for use by its Health Policy Unit to strengthen surveillance, prevention and control of avian flu, in coordination with its Department of Preventive Medicine and the Mekong Basin Disease Surveillance Network.

National University of Laos, Vientiane, Lao PDR: \$242,000 for use by its Faculty of Medical Sciences, in collaboration with leading public health institutions in Thailand and Vietnam, to establish the first-ever Master of Public Health Program in Lao PDR.

Pattanarak Foundation, Chachoengsao, Thailand: \$190,000 for continued support for a project to develop experimental models to improve the health and livelihoods of marginalized cross-border ethnic communities in Kanchanaburi, Thailand.

Prince of Songkla University, Hat Yai, Thailand: \$148,710 for use by its Epidemiology Unit to collaborate with national and regional partners, in the development of curriculum guidelines for five health care disciplines sensitive to the increasing cultural diversity of the Greater Mekong Sub-region.

Southeast Asian Ministers of Education Organization, Bangkok, Thailand: \$319,200 for use by its Regional Tropical Medicine and Public Health Network to develop technical and analytic capacity of health professionals to strengthen regional disease prevention and control programs in the Greater Mekong Sub-region.

STDs/HIV/AIDS Prevention Center, Hanoi, Vietnam: \$99,800 in support of the second phase of its project to reduce the vulnerability and strengthen the health and social support systems of ethnic minority communities in the Vietnam-Lao PDR border area, especially in relation to HIV/AIDS.

Thai Nguyen University, Thai Nguyen City, Vietnam: \$96,900 for use by its Medical College to upgrade the knowledge and skills of local health care personnel in order to address the inequitable health status of ethnic minorities in the mountainous and border provinces of northern Vietnam.





Regional Programs

>ADVANCING AGRICULTURAL PRODUCTION IN UPLAND COMMUNITIES

To increase agricultural production in upland, ethnic communities to improve their livelihoods and foster access to regional markets.

Centre for Research and Development of Ethno-Medicinal Plants, Hanoi, Vietnam: \$99,660 in support of a project to introduce experimental models for marketing local products thereby increasing the income level of selected upland communities in border areas of Vietnam, Lao PDR and Yunnan Province. China.

Centre for Sustainable Development in Mountainous

Areas, Hanoi, Vietnam: \$120,000 in support of a project aiming to strengthen agricultural and veterinary extension services in upland communities that border Vietnam, Lao PDR and the Yunnan Province of China, in order to improve agricultural practices and enhance control of animal epidemics, especially avian flu

Chiang Mai University, Chiang Mai, Thailand: \$150,000 for use by its Faculty of Agriculture to develop, in collaboration with other institutions in the Greater Mekong Sub-region, curriculum guidelines for interdisciplinary short course programs in upland agriculture.

Cuu Long Delta Rice Research Institute, Can Tho City, Vietnam: \$200,000 toward a collaborative effort among institutes in Cambodia, Lao PDR and Vietnam to transfer and apply new technologies to the development of crop varieties and to the improvement of farming practices that suit the specific ecological environment of upland areas in the Greater Mekong Sub-region.

Foundation-administered project: \$48,000 for the costs of advisers to assist Foundation grantees working to address agricultural production in the upland areas of the Greater Mekong Sub-region of Southeast Asia.

Hanoi Agricultural University, Hanoi, Vietnam: \$149,000 for use by its Center for Agricultural Research and Ecological Studies to develop a trans-border watershed management plan for the Nam Nern/Ca River basin across Vietnam and Lao PDR. in collaboration with institutions in those countries.

Ministry of Agriculture and Forestry, Lao PDR, Vientiane, Lao PDR: \$60,000 for use by its Department of Livestock and Fisheries to continue collaborating with agricultural organizations in Thailand and Vietnam in a project to transfer and adapt fisheries-development models appropriate to upland areas from those countries to Lao PDR.

Vietnam Museum of Ethnology, Vietnamese Academy for Social Sciences, Hanoi, Vietnam: \$73,340 for use by its Institute of Anthropology to undertake, in collaboration with institutes in Lao PDR, a study of coping mechanisms for seasonal food shortages of ethnic upland communities living across Vietnam and Lao PDR.

Yunnan Academy of Agricultural Sciences, Yunnan, China: \$100,000 toward the costs of developing new high-yielding, drought-tolerant aerobic rice varieties suitable to the specific uplands environment of the Yunnan Province of China, taking into account the socioeconomic impacts of the increasing integration of regional markets.

>OTHER

Association for Women's Rights in Development, Toronto, Canada: \$75,000 toward the costs of enabling participants from Southeast Asia and sub-Saharan Africa to attend its International Forum on Women's Rights in Development, held in Bangkok, Thailand, October 2005. (Joint with Global Inclusion.)

Indonesian Planned Parenthood Association, Jakarta, Indonesia: \$250,000 toward the costs of re-establishing community health services in three rural subdistricts in Aceh Province following the December 2004 tsunami.





Includes the Bellagio Study and Conference Center, PROVENEX (Program Related Investments in Companies and Organizations), and support for Philanthropic Organizations and Other Initiatives.

Bellagio Study and Conference Center

The Bellagio Study and Conference Center offers a place for scholars, scientists, public affairs professionals, writers, artists and others to engage in critical thinking about, and creative responses to some of the most pressing issues of our time. The Center serves as host to more than 140 residents and 40 conferences each year.

Global Health Council, White River Junction, Vermont: \$15,000 toward the costs of travel for 11 individuals from developing countries to participate in the conference, Optimizing the Contribution of Faith-Based Organizations to the Prevention, Care and Treatment of HIV/AIDS, held at the Bellagio Study and Conference Center, Italy, September 2005.

Institute of Development Studies, Brighton, England: \$6,300 toward the costs of travel for four individuals from developing countries to participate in the conference, Rights, Representation and the Poor: Latin America and India, held at the Bellagio Study and Conference Center, Italy, July 2005.

International Center for Transitional Justice, Inc., New York, New York. \$7,200 toward the costs of travel for five individuals from developing countries to participate in the conference, Gender and Transitional Justice, held at the Bellagio Study and Conference Center, Italy, March 2005.

International Society of Nephrology, Brussels, Belgium: \$20,000 toward the costs of travel for 11 individuals from developing countries to participate in the conference, Prevention of Vascular Diseases in the Emerging World, held at the Bellagio Study and Conference Center, Italy, December 2005.

Liverpool School of Tropical Medicine, University of Liverpool, Liverpool, England: \$18,000 toward the costs of travel for nine individuals from developing countries to participate in the conference, TB and Poverty: Are We Doing Enough? held at the Bellagio Study and Conference Center, Italy, December 2005.

National Center for Genetic Engineering and Biotechnology, Pathumthani, Thailand: \$7,900 toward the costs of travel for six individuals from developing countries to participate in the conference, Applications of Transfection Technology for Drug Screening and Immunological Studies in Tropical Parasitic Diseases, held at the Bellagio Study and Conference Center, Italy, August 2005.

Michel Rosenfeld, New York, New York: \$4,650 toward the costs of travel for four individuals from developing countries to participate in the conference, Terrorism, Globalism and the Rule of Law, held at the Bellagio Study and Conference Center, Italy, July 2005.

Godber Tumushabe, Kampala, Uganda: \$5,133 toward the costs of travel for three individuals from Africa to participate in the conference, Biotechnology and Law in Africa, held at the Bellagio Study and Conference Center, Italy, July 2005.

University of California, Los Angeles, Los Angeles, California: \$14,500 toward the costs of travel for 10 individuals from developing countries to participate in the conference, The Regional Question in Economic Development, held at the Bellagio Study and Conference Center, Italy, August 2005.

University of Pretoria, Pretoria, South Africa: \$17,680 toward the costs of travel for 12 individuals from Africa to participate in the conference, Institutions, Markets and Policies for African Agriculture, held at the Bellagio Study and Conference Center, Italy, July 2005.

University of Toronto, Toronto, Canada: \$5,820 toward the costs of travel for four individuals from developing countries to participate in the meeting, The Scope of Labor Law: Redrawing the Boundaries of Protection, held at the Bellagio Study and Conference Center, Italy, May 2005.

University of Wyoming, Laramie, Wyoming: \$11,100 toward the costs of travel for eight individuals from Africa to participate in the conference, Girl Mothers in Fighting Forces and Their Post-War Reintegration in Southern and Western Africa, held at the Bellagio Study and Conference Center, Italy, April 2005.

Washington University, St. Louis, Missouri: \$9,160 toward the costs of travel for 10 individuals from developing countries to participate in the conference, Negotiating a New National Narrative in Georgia, held at the Bellagio Study and Conference Center, Italy, August 2005.

>2005 CONFERENCES AND TEAMS

MEETINGS

Applying the World Health Organization Roadmap for End-of-Life Care in Diverse Health Care Systems—David J. Casarett, M.D., Assistant Professor of Geriatrics, University of Pennsylvania, Philadelphia, Pennsylvania, and Dr. Irene J. Higginson, Professor of Palliative Care and Policy, King's College London, London, England (March 18 to 22).

Biotechnology and Law in Africa—Godber Wilson Tumushabe, Executive Director, Advocates Coalition for Development and Environment, Kampala, Uganda (July 4 to 17).

Building Sustainable Enterprises for the Poor: Best Practices and Lessons for the Field—Dr. Jacqueline Novogratz, Chief Executive Officer, Acumen Fund, New York, New York (July 25 to 29).

The Construction of Gender in Educational Policies: Latin American Cross-National Perspectives—Dr. Nelly Peñaloza Stromquist, Professor of Education, University of Southern California, Los Angeles, California (February 1 to 6).

Cooperation Across Ideological Lines in the Middle East
—Dr. Janine Astrid Clark, Associate Professor of Political Science, University of Guelph, Guelph, Ontario, Canada, and Dr. Jillian Marie Schwedler, Assistant Professor of Government, University of Maryland at College Park, College Park, Maryland (August 8 to 13).



Other Programs

Development of Applications of Genomics in Discovery of Drugs for Tropical Diseases—Dr. Sumalee Kamchonwongpaisan, Researcher, and Dr. Chairat Uthaipibull, both of the National Science and Technology Development Agency, Pathumthani, Thailand (August 3 to 9).

Dissemination of New Technologies for Small-Holder Farmers in the Developing World—Dr. Pamela Anderson, Deputy Director General for Research, International Potato Center, Lima, Peru, and Dr. Debbie Delmer, Associate Director for Food Security, Rockefeller Foundation, New York, New York (September 13 to 17).

Editorial/Dissemination Team: Cambridge General Economic Survey of Africa—Dr. Robert H. Bates, Eaton Professor of the Science of Government, Harvard University, Cambridge, Massachusetts (October 18 to 26).

Editorial Team of "The Correspondence of Samuel Beckett"—Dr. Lois Ellen More Overbeck, Research Associate and Editor, "The Correspondence of Samuel Beckett," Emory University, Atlanta, Georgia (May 11 to 21).

Empire and Modern Political Thought—Dr. Sankar Muthu, Assistant Professor of Politics, Princeton University, Princeton, New Jersey (June 8 to 14).

Ethics Meets the Marketplace: "Best Practices" in Public-Private Partnerships to Adapt Animal and Agricultural Biotechnology to the Needs and Conditions of the Developing World—Dr. Cynthia Perrin Schneider, Distinguished Professor in the Practice of Diplomacy, Georgetown University, Washington, D.C., and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (October 3 to 7).

An Exploratory Executive Session on Technological Development and Health Care in Europe—Dr. Alberto Holly Setton, Professor of Economics, University of Lausanne, Lausanne, Switzerland (May 31 to June 3).

Forging a Transatlantic Consensus on the Legal Rules and Institutions Governing the Use of Force by Nation States—Marc Weller, Assistant Director of Studies, University of Cambridge, Cambridge, England (August 29 to September 3).

Genetics Knowledge for Population Health—Dr. Ronald Leslie Zimmern, Director, Public Health Genetics Unit, Cambridge, England; Wylie G. Burke, Professor, University of Washington, Seattle, Washington; and Dr. Muin J. Khoury, Director, Office of Genomics and Disease Prevention, Centers for Disease Control and Prevention, Atlanta, Georgia (April 14 to 20).

Girl Mothers in Fighting Forces and Their Post-War Reintegration in Southern and Western Africa—Malia A.
Robinson, Psychosocial Adviser, International Rescue
Committee—Uganda, Kampala, Uganda (April 12 to 18).

Global Dialogue Series on Intellectual Property: Open Source Models for Collaborative Innovation in the Life Sciences—Todd Barker, Partner and Senior Mediator,

Meridian Institute, Jericho, Vermont; Steve Hughes, Exeter University, Exeter, Devon, England; Joe Karaganis, Program Officer Culture, Social Science Research Council, New York, New York; and Jacob Werksman, Senior Adviser, Global Inclusion, Rockefeller Foundation, New York, New York (September 6 to 10).

Global Dialogue Series on Intellectual Property:
Revising the Agenda in a New Context—David Vivas
Eugui, Program Manager on Intellectual Property, Technology
and Services, International Centre for Trade and Sustainable
Development, Chatelaine, Geneva, Switzerland, and Jacob
Werksman, Senior Adviser, Global Inclusion, Rockefeller
Foundation, New York, New York (October 24 to 28).

Global Dialogue Series on the Muslim World: The Challenge of Arab Reform—Whose Agenda?—Clifford Chanin, President, The Legacy Project, Brooklyn, New York (September 29 to October 3).

Global Dialogue Series on the Muslim World: Islam at the Periphery—Visions of the Muslim Future From Southeast Asia and Sub-Saharan Africa—Clifford Chanin, President, The Legacy Project, Brooklyn, New York (November 11 to 15).

Global Dialogue Series on Transitional Justice: Transitional Justice and Gender—Vasuki Nesiah, Senior Associate, International Center for Transitional Justice, New York, New York (March 17 to 21).

Global Dialogue Series on Transitional Justice: Vetting and Excluding Abusive Officials—Developing Another Approach to Transnational Justice—Dr. Pablo de Greiff, Director, Research Unit, International Center for Transitional Justice, New York, New York (April 7 to 10).

Globalization and Equity: The Case of International Recruitment of Nurses—Dr. Patricia M. Pittman, Director, AcademyHealth, Washington, D.C. (July 5 to 10).

Global to Local, Local to Global: Why Protecting and Improving the Public's Health Needs New Alliances and Paradigms—Dr. Allan G. Hill, Andelot Professor of Demography, Harvard University, Cambridge, Massachusetts (September 19 to 24).

Global Women's Action Network for Children: Maternal Mortality and Girls' Education—Marian Wright Edelman, Founder and CEO, Children's Defense Fund, Washington, D.C. (May 3 to 7).

Health Innovations Systems in Developing Countries to Address Diseases of the Poor—Dr. Charles A. Gardner, Associate Director, Health Equity, Rockefeller Foundation, New York, New York (April 25 to 29).

HIV/AIDS and Social Science Research—Dr. Richard G. Parker, Professor, Department of Sociomedical Sciences, Columbia University, New York, New York; and George F. Brown, M.D., Director, Health Equity, Rockefeller Foundation, New York. New York (June 17 to 21).

Identity, Community and Economic Policy for Poverty
Alleviation—Dr. Christopher B. Barrett, Associate Professor,
Cornell University, Ithaca, New York, and Dr. Andrew D. Foster,





Professor of Economics, Brown University, Providence, Rhode Island (March 29 to April 2).

Institutions, Markets and Policies for African Agriculture -Dr. Johann Frederick Kirsten, Professor of Agricultural Economics, University of Pretoria, Pretoria, South Africa (July 6 to 15).

Leading on Behalf of the World's Children: Twenty Years After the Child Survival Revolution-Dr. Nils M. Daulaire, President and CEO, The Global Health Council, White River Junction, Vermont, and Dr. George F. Brown, Director, Health Equity, Rockefeller Foundation, New York, New York (April 26 to 30).

Making Agricultural Biotechnology Work for Human **Development**—Sakiko Fukuda-Parr. Research Fellow. and Nina Dudnik, both of Harvard University, Cambridge, Massachusetts; and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (May 30 to June 3).

More Than Shelter: Mobilizing Housing Finance for Economic and Social Development—Dr. Pamela Baldwin, Deputy Director, Joint Center for Housing Studies, Harvard University, Cambridge, Massachusetts, and Darren Walker, Director, Working Communities, Rockefeller Foundation, New York, New York (May 9 to 14).

Negotiating a New National Narrative in Georgia-Dr. James V. Wertsch, Professor, Washington University, St. Louis, Missouri, and Dr. Zurab Karumidze, Communications Officer, New Movement Public Organization, Tbilisi, Republic of Georgia (August 1 to 5).

North America Transnational Communities Workshop -Dr. Ruben Puentes, Associate Vice President, Knowledge Management, and Dr. Katherine McFate, Deputy Director, Working Communities, both of the Rockefeller Foundation, New York, New York (October 13 to 17).

Optimizing the Contribution of Faith-Based Organizations to the Prevention, Care and Treatment of HIV/AIDS -Dr. Karin E. Ringheim, Director, Global Health Council, Washington, D.C. (September 8 to 16).

Partnership on Higher Education in Africa—Dr. Joyce L. Moock, Associate Vice President, Rockefeller Foundation, New York, New York (October 6 to 10).

Perceived AIDS Stigma: A Multinational African Study —Dr. Leana Ria Uys, Deputy Vice Chancellor, University of KwaZulu-Natal, Durban, South Africa (March 8 to 14).

Poverty, Democracy and Clientelism—Dr. Alberto Diaz-Cayeros and Dr. Beatriz Magaloni, both Assistant Professors of Political Science, Stanford University, Stanford, California (November 28 to December 2).

Practical Steps to Strengthen Global Civil Society -David Mepham, Associate Director and Head, International Programme, Institute for Public Policy Research, London, England (July 1 to 3).

Prevention of Vascular Diseases in the Emerging World: A Multidisciplinary Approach to Global Health Equity-Dr. John Herbert Dirks, Chair, International Society of

Nephrology, Massey College, Toronto, Ontario, Canada (December 12 to 16).

The Regional Question in Economic Development-Allen J. Scott, Professor, University of California, Los Angeles, Los Angeles, California (August 30 to September 5).

Rights, Representation and the Poor: Latin America and India—John Charles Harriss, Professor of Development Studies, London School of Economics and Political Science, London, England (July 18 to 31).

RoKS Competition 2003-04 Workshop on Understanding the Social and Public Policy Dimensions of Transformative Technologies in the South-Jean Woo, Research Officer, and Paul Dufour, both of the International Development Research Centre, Ottawa, Ontario, Canada; and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (February 7 to 11).

Sanskrit Knowledge Systems on the Eve of Colonialism IV—Christopher Z. Minkowski, Professor of Asian Studies and Classics, Cornell University, Ithaca, New York (June 28 to July 2).

The Scope of Labor Law: Re-Drawing the Boundaries of Protection—Dr. Guy Davidov, Lecturer, University of Haifa, Haifa, Israel, and Mark R. Freedland, Professor, Oxford University, Oxford, England (May 23 to 27).

TB and Poverty: Are We Doing Enough?—Stephen Bertel Squire, M.D., Senior Lecturer in Clinical Tropical Medicine. Liverpool School of Tropical Medicine, Liverpool, England (December 5 to 9).

Terrorism, Globalism and the Rule of Law-Dr. Michel Rosenfeld, Justice Sydney L. Robins Professor of Human Rights, Yeshiva University, New York, New York (July 18 to 22).

Toward Food Security Among People Dependent on Millet- and Sorghum-Based Systems in West Africa-Dr. Robert M. Goodman, McKnight Foundation (March 31

Transnational Migration: Foreign Labor and Its Impact in the Gulf—Dr. Michael E. Bonine, Professor of Geography, and Andrew M. Gardner, Teaching Assistant, both of the University of Arizona, Tucson, Arizona; and Dr. Sharon Nagy, Assistant Professor of Anthropology and International Studies, DePaul University, Chicago, Illinois (June 20 to 25).

Unprecedented Conversations: Broadening Notions of AIDS Treatment and Care—George F. Brown, M.D., Director, Health Equity, Rockefeller Foundation, New York, New York, and Dr. Pathmanathan Naidoo, Associate Director, Health Equity, Rockefeller Foundation, Nairobi, Kenya (April 5 to 9).

Van Lennep Subsidies Initiative—The World Trade Organization and Subsidies: Bridging the North-South Divide—David A. Bover, Associate, International Institute for Sustainable Development, Geneva, Switzerland, and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (February 28 to March 3).





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Other Programs

Volume 4 Handbook of Agricultural Economics— Dr. T. Paul Schultz, Professor of Economics, Yale University, New Haven, Connecticut (May 2 to 6).

Vulnerability to Climate Change in the Developing World
—Dr. Neil A. Leary, Science Director, Assessments of Impacts
and Adaptations to Climate Change, International START
Secretariat, Washington, D.C. (March 7 to 14).

War and Politics in Medieval and Early Modern Italian City States—Frances McCall Rosenbluth, Professor of Political Science, Yale University, New Haven, Connecticut (December 13 to 16).

Wet—Anne LeBaron, Professor of Music Composition, California Institute of the Arts, Valencia, California (February 1 to 13).

Women Writing Africa: Northern Region—Florence Howe, Emerita Professor, Graduate Center, City University of New York, New York, New York (February 2 to 15).

Yearbook Seminar on Economic and Social Rights—Dr. Marlies Ellen Glasius, Director, London School of Economics and Political Science, London, England, and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (February 22 to 26).

>2005 RESIDENTS

Dr. Mona Abaza (Germany), Associate Professor, American University in Cairo, Cairo, Arab Republic of Egypt—a manuscript, "Consumer Culture and Cairo's Urban Reshaping: Public Spaces, Public Sphere and Democratizing Effects."

Mr. Lourens W. H. Ackermann (South Africa), Retired Justice, South African Constitutional Court, Cape Town, South Africa—a monograph, "The Significance of Dignity for Equality Jurisprudence and Transformation Under the South African Constitution: A Comparative Study With Canada and Germany."

Dr. Marilyn McCord Adams (United States), Regius Professor of Divinity, Oxford University, Oxford, England—a manuscript, "The Coherence of Christology: God, Enmattered and Enmattering."

Dr. Yevgenia Mark Albats (Russian Federation), Professor of Political Science, Moscow Higher School of Economics, Moscow, Russian Federation—a manuscript, "Bureaucrats and Russian Transition: The Politics of Accommodation."

Dr. April Alliston (United States), Professor of Comparative Literature, Princeton University, Princeton, New Jersey—a manuscript, "Character and Plausibility: Gender and the Genres of Historical Narrative (1650–1850 and beyond)."

Dr. Warwick H. Anderson, M.D. (Australia), Robert Turell Professor of Medical History and Population Health and Professor of the History of Science Chair, University of Wisconsin-Madison, Madison, Wisconsin—a research project, "Medicines and Globalization: Historical and Cultural Analysis" (with Adele E. Clarke).

Dr. Jon H. Appleton (United States), Arthur R. Virgin Professor of Music, Dartmouth College, Hanover, New Hampshire

—a performance piece, "Appleton Syntonic Menagerie."

Dr. Ariel C. Armony (Argentina), Associate Professor,
Department of Government, Colby College, Waterville, Maine
—a study, "Civil Society in Cuba: Realities and Possibilities"
(with Margaret E. Crahan).

Dr. Tridib Banerjee (United States), Professor and James Irvine Chair of Urban and Regional Planning, University of Southern California, Los Angeles, California—a manuscript, "Images of Development: City Design in the Third World."

Dr. Ann M. Banfield (United States), Professor of English, University of California, Berkeley, Berkeley, California—a manuscript, "'Tattered Syntaxes': Samuel Beckett, the Mother Tongue and the Revolution of the Syntacticon."

Mr. Peter Franklin Barnes (United States), Senior Fellow, Tomales Bay Institute, Point Reyes Station, California—a manuscript, "Commons and Markets: Capitalism's Tragic Flaws and How to Fix Them."

Dr. Ronald Bayer (United States), Professor of Public Health, Columbia University, New York, New York—a manuscript, "Shattered Dream? An Oral History of AIDS in South Africa" (with Gerald M. Oppenheimer).

Dr. Michael C. Beard (United States), Chester Fritz Distinguished Professor of English and Peace Studies, University of North Dakota, Grand Forks, North Dakota—translation of the Mihyar poems by Adonis (Ali Ahmad Sa'id) (with Adnan Fuad Haydar).

Dr. Karol Berger (United States), Professor of Music, Stanford University, Stanford, California—a manuscript, "Time's Arrow and the Advent of Musical Modernity."

Mr. Mark Berger (United States), Professor of Law, University of Missouri-Kansas City, Kansas City, Missouri—a study, "Comparative Perspectives on the Right to Silence."

Dr. Amy J. Binder (United States), Associate Professor, University of California, San Diego, La Jolla, California—a manuscript, "Educated in Self-Sufficiency: The Work of Supportive Direct Services in the American Welfare State."

Mr. Hisham M. Bizri (United States), Assistant Professor, University of Minnesota, Minneapolis, Minnesota—a screenplay, "Al-Qahera" ("Cairo").

Dr. James G. Blight (United States), Professor of International Relations, Brown University, Providence, Rhode Island—a monograph, "Kennedy, Johnson, and Vietnam: The Impact of the Presidential Transition and Its Lessons for U.S. Foreign and Defense Policy" (with David A. Welch).

Dr. Alexander Lionel Boraine (South Africa), President, International Center for Transitional Justice, Cape Town, South Africa—a study, "Transitional Justice: A Holistic Interpretation."

Dr. Stephen J. Brooke (Canada), Associate Professor of History, York University, Toronto, Ontario, Canada—a manuscript, "Sexual Politics: Gender, Sexuality and the British Labour Party, 1920s to 1990s."

Mr. David Darius Brubeck (United States), Professor of Jazz Studies, University of KwaZulu-Natal, Durban, South Africa—music composition for jazz orchestra and vocal ensemble.





- Ms. Abena P. A. Busia (United Kingdom), Associate Professor of English Literatures, Rutgers, The State University of New Jersey. New Brunswick. New Jersey—a manuscript. "At Territorial Borders: Essays on Gender, Race, Exile and Community."
- Dr. Rudolph P. Byrd (United States), Associate Professor of American Studies, Emory University, Atlanta, Georgia—a manuscript, "The Collected Writings of James Weldon Johnson."
- Dr. Judith A. Carney (United States), Professor of Geography, University of California, Los Angeles, Los Angeles, California—a manuscript, "Africa's Botanical Legacy in the Atlantic World."
- Ms. Yanira H. Castro (United States), Director and Choreographer, New York, New York—research for a dance installation, "Center of Sleep."
- Dr. Mary Ann Caws (United States), Distinguished Professor of English, French and Comparative Literature, The Graduate Center of The City University of New York, New York, New York—a manuscript, "Ten Extraordinary Women."
- Ms. Anita Ching-Tzu Cheng (United States), Choreographer and Artistic Director, Anita Cheng Dance, Brooklyn, New York—a new performance piece (with Ronaldo Kiel).
- Ms. Marilyn Mei Ling Chin (United States), Professor of English, San Diego State University, San Diego, California—a collection of poems, "Love Sanctuary."
- Ms. Lee J. Chinalai (United States), Owner and Vice President, Chinalai Tribal Antiques, Ltd., Shoreham, New York-a bilingual book in Thai and English, "Yantra: Magical Talismanic Cloths and Charms" (with Vichai Chinalai).
- Mr. Vichai Chinalai (United States), Proprietor and President, Chinalai Tribal Antiques, Ltd., Shoreham, New York-a bilingual book in Thai and English, "Yantra: Magical Talismanic Cloths and Charms" (with Lee J. Chinalai).
- Dr. Adele E. Clarke (United States), Professor of Sociology and Adjunct Professor of History of Health Sciences, University of California, San Francisco, San Francisco, California-a research project, "Medicines and Globalization: Historical and Cultural Analysis" (with Warwick H. Anderson).
- Mr. William Taylor Cleveland (United States), Director, Center for the Study of Art and Community, Bainbridge Island, Washington—a manuscript, "Art and Upheaval: Artists Working on the World's Frontlines.'
- Dr. Frances E. Contreras (United States), Assistant Professor, University of Washington, Seattle, Washington-a manuscript, "Understanding the Latino Education Gap: Why Latinos Don't Go to College" (with Patricia C. Gándara).
- Mr. William V. Costanzo (United States), Professor of English and Film, Westchester Community College, Valhalla, New York—a study, "New Trends in Global Cinema."
- Dr. Margaret E. Crahan (United States), Dorothy Epstein Professor of History, Hunter College, City University of New York, New York, New York—a study, "Civil Society in Cuba: Realities and Possibilities" (with Ariel C. Armony).

- Dr. Vidva J. Deheija (United States). Professor of Indian Art. Columbia University, New York, New York—a manuscript, "The Body Adorned: Sacred and Profane.3
- Mr. Daryl G. Dellora (Australia), Film Director, Film Art Doco Pty Ltd., Collingwood, Victoria, Australia-a film script, "Crimes of War: The Defeat of Impunity" (with John F. Hocking).
- Ms. Elena Del Rivero (United States), Visual Artist, New York, New York—a multimedia installation, "[Swi:t] Home: A Chant.'
- Mr. Francisco Diez (Argentina), Special Consultant for Democratic Dialogue in Latin America, United Nations Development Programme, Buenos Aires, Argentina-a manuscript, "International Mediation in Venezuela, 2002-2004" (with Jennifer Lvnn McCov).
- Dr. Vasanta Duggirala (India), Associate Professor, Osmania University, Hyderabad, Andhra Pradesh, India—a technical report, "Linguistic Awareness Training in Telugu: An Instruction Manual for Parents and Teachers of Hearing Impaired Children."
- Dr. Barbara Alpern Engel (United States), Professor of History, University of Colorado at Boulder, Boulder, Coloradoa manuscript, "A Family Affair: Marriage, Its Discontents and the State in Russia, 1881-1914."
- Dr. John Farley (Canada), Professor (retired), Dalhousie University, Halifax, Nova Scotia, Canada—a biography, "Magic Bullets and the Cold War: Brock Chisholm and the World Health Organization (1946-1953)"
- Dr. Richard Festinger (United States), Professor of Music Composition, San Francisco State University, San Francisco, California—a new string quartet for the 20th anniversary season of the Earplay Ensemble.
- Dr. Harriet Friedmann (Canada), Professor of Sociology, University of Toronto, Toronto, Ontario, Canada-a manuscript, "Midas' Feast: Turning Food into Gold, 1846-2005."
- Dr. Curt D. Furberg (United States), Senior Adviser to the Dean for Health Services Research and Health Policy, Wake Forest University, Winston-Salem, North Carolina—a study, "Increasing Efficiency and Global Equity in Health Care."
- Dr. Patricia C. Gándara (United States), Professor of Education, University of California, Davis, Davis, Californiaa manuscript, "Understanding the Latino Education Gap: Why Latinos Don't Go to College" (with Frances E. Contreras).
- Dr. John Price Gaventa (United Kingdom), Professor, University of Sussex, Brighton, England-a manuscript, "Claiming Citizenship: Rights, Participation and Accountability."
- Dr. Peter Gena (United States), Professor of Art and Technology Studies, School of the Art Institute of Chicago, Chicago, Illinois—a music/sound installation, "DNA."
- Dr. Katherine D. Gibson (Australia), Professor of Human Geography, Australian National University, Canberra, Australian Capital Territory, Australia—a monograph, "Rethinking Economy and Economic Development" (with Julie A. Graham).
- Ms. Namita Rajiv Gokhale (India), Writer, New Delhi, India —a manuscript, "In Search of Sita" (with Malashri Lal).





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Other Programs

- **Ms. Patricia Gossman (United States),** Project Director, Afghanistan Justice Project, Open Society Institute, Amman, Jordan—a manuscript, "Impunity, Stability and Justice in Afghanistan."
- **Dr. Julie A. Graham (United States),** Professor of Geography, University of Massachusetts Amherst, Amherst, Massachusetts—a monograph, "Rethinking Economy and Economic Development" (with Katherine D. Gibson).
- Mr. Sam Green (United States), Documentary Filmmaker, San Francisco, California—a feature-length documentary, "The Universal Language."
- Dr. Merilee S. Grindle (United States), Edward S. Mason Professor of International Development, Harvard University, Cambridge, Massachusetts—a book manuscript and two policy-relevant briefs, "Going Local: Decentralization, Democratization, and the Promise of Good Governance."
- **Dr. Sarah Guri-Rosenblit (Israel),** Associate Professor of Education, Open University of Israel, Raanana, Israel—a manuscript, "Digital Technologies in Higher Education: Sweeping Expectations and Moderate Effects."
- Mr. Charles A. Gute (United States), Visual Artist, Brooklyn, New York—a photographic and digital media project, "Epigraphic."
- **Ms. Lonnée Eileen Hamilton (United States),** Screenwriter, Pasadena, California—a screenplay, "Burnt Lands."
- **Ms. Karen S. Hartman (United States),** Playwright, New York, New York—a new play, "Goliath."
- Mr. Michael E. Hartmann (United States), International Prosecutor, United Nations Mission in Kosovo, New York, New York—a policy paper, "Our Lessons Learned: Practitioners' Proposed Rules of Engagement for Successfully Internationalizing Courts in Peacekeeping Missions" (with Agnieszka Marie Klonowiecka-Milart).
- **Ms. Graciela Viviana Hasper (Argentina),** Visual Artist, Federal Capital, Argentina—a manuscript about the conceptual foundations of her work and development of drawings in small scale.
- **Dr. Adnan Fuad Haydar (United States),** Professor of Arabic and Comparative Literature, University of Arkansas, Fayette-ville, Arkansas—translation of the Mihyar poems by Adonis (Ali Ahmad Sa'id) (with Michael C. Beard).
- Mr. Fred S. Hersch (United States), Composer, New York, New York—music composition, "The Baron in the Trees."
- **Dr. Elizabeth Starr Higginbotham (United States),** Professor of Sociology, University of Delaware, Newark, Delaware a manuscript, "Black Professional Women in the United States: A Historical and Theoretical Perspective."
- Ms. Arnell Josephine Hinkle (United States), Executive Director, California Adolescent Nutrition and Fitness Program, Berkeley, California—an article, "California Adolescent Nutrition and Fitness: Lessons Learned."
- Mr. John F. Hocking (Australia), Deputy Registrar, International Criminal Tribunal for the Former Yugoslavia, United

- Nations, The Hague, Netherlands—a film script, "Crimes of War: The Defeat of Impunity" (with Daryl G. Dellora).
- **Dr. Lincoln Steffens Hollister (United States),** Professor of Geosciences, Princeton University, Princeton, New Jersey—an article, "New Insights on the Origin of Continental Crust."
- **Dr. Robinson G. Hollister (United States),** Joseph Wharton Professor of Economics, Swarthmore College, Swarthmore, Pennsylvania—a manuscript, "Nectar of the Gods: Social Policy Experiments and Their Flawed Alternatives."
- **Dr. Karla F. C. Holloway (United States),** William Rand Kenan Jr. Professor of English, Duke University, Durham, North Carolina—a manuscript, "BookMarks: Reading a Writer's Life."
- Mr. Garrett Hongo (United States), Distinguished Professor of Arts and Sciences, University of Oregon, Eugene, Oregon—a novel. "The North Shore"
- **Dr. John Howard (United States),** Professor of American Studies, University of London, London, England—a manuscript, "Unnatural but Not Un-American: Concentration Camps in the South."
- Dr. Frederick E. Hoxie (United States), Swanlund Endowed Chair and Professor of History, University of Illinois at Urbana-Champaign, Urbana, Illinois—a manuscript, "Challenging the State: American Indians and the 'Empire of Liberty,' 1800–2000."
- **Dr. Goran Hyden (Sweden),** Professor of Political Science, University of Florida, Gainesville, Florida—a manuscript, "The Economy of Affection: The Role of Informal Institutions in a Global Setting."
- Mr. Denis Johnson (United States), Writer, Eastport, Idaho —a novel, "Tree of Smoke."
- **Dr. Kellie E. Jones (United States),** Assistant Professor of the History of Art and African American Studies, Yale University, New Haven, Connecticut—a manuscript, "Taming the Freeway and Other Acts of Urban HIP-notism: African American Artists in Los Angeles in the 1960s and 1970s."
- **Ms. Sushma Joshi (Nepal),** Staff Writer, Nation Weekly Magazine, Kathmandu, Nepal—a manuscript, "Cheli-Beti: Discourses of Trafficking, Gender and Citizenship in Modern Nepal."
- **Dr. George A. Kaplan (United States),** Thomas Francis Collegiate Professor of Public Health, University of Michigan, Ann Arbor, Ann Arbor, Michigan—a monograph, "Upstream Determinants of Population Health and Health Disparities."
- **Prof. Malavika Kapur (India),** Honorary Professor of Clinical Psychology, India Institute of Science, Bangalore, India—a manuscript, "Where There Are Few Teachers."
- **Dr. Ruth Kartun-Blum (Israel),** Professor and Head, Department of Literature, Hebrew University, Jerusalem, Israel—a manuscript, "Reading the Scriptures in Hebrew and Israeli Literature."
- Mr. Ronaldo Kiel (Brazil), Assistant Professor of Digital Art, Brooklyn College, City University of New York, Brooklyn, New York—a new performance piece (with Anita Ching-Tzu Cheng).



- **Dr. Young Jak Kim (South Korea),** Director, Institute of Japanese Studies, Kookmin University, Seoul, South Korea a study, "How to Promote Regional Cooperation of East Asia in Democratization and Globalization: Opportunities and Responsibilities for Japan and the Republic of Korea" (with Hideo Otake).
- **Ms. Patricia A. King (United States),** Carmack Waterhouse Professor of Law, Medicine, Ethics and Public Policy, Georgetown University, Washington, D.C.—a study, "The Use of Race in Research."
- **Mr. Jerome Kitzke (United States),** Composer, New York, New York—music composition, "Prairy Erth (deep map)."
- The Hon. Agnieszka Marie Klonowiecka-Milart (Poland), International Judge, Supreme Court, United Nations Mission in Kosovo, AUCON KFOR, Austria—a policy paper, "Our Lessons Learned: Practitioners' Proposed Rules of Engagement for Successfully Internationalizing Courts in Peacekeeping Missions" (with Michael E. Hartmann).
- **Dr. Leszek Koczanowicz (Poland),** Professor of Psychology, University of Lower Silesia of the Association for the Advancement of Education in Wroclaw, Wroclaw, Poland—a manuscript, "The Modes of Dialogue: Comparison of American Pragmatism with Russian Semiology and Psychology."
- **Dr. Kevin Richard Kopelson (United States),** Professor of English, University of Iowa, Iowa City, Iowa—a manuscript, "Modern Satire."
- **Ms. Katharine M. Kuharic (United States),** Assistant Professor of Painting, Washington University in St. Louis, St. Louis, Missouri—artwork, "The World Brought Low: Devastated Consumer Goods, Stylization and Perversity in Painting."
- **Dr. Malashri Lal (India),** Director, Women's Studies and Development Center, University of Delhi, Delhi, India—a manuscript, "In Search of Sita" (with Namita Rajiv Gokhale).
- **Dr. Cornelia-Magda Lazarovici (Romania),** Researcher, Institute of Archaeology, Iasi, Romania—a manuscript, "Neolithic-Chalcolithic Architecture in Romania and Its Connections with Neighboring Areas in Central Europe" (with Gheorghe Corneliu Lazarovici).
- **Dr. Gheorghe Corneliu Lazarovici (Romania),** Researcher and Professor, Historical National Museum of Transylvania, Cluj-Napoca, Romania—a manuscript, "Neolithic-Chalcolithic Architecture in Romania and Its Connections with Neighboring Areas in Central Europe" (with Cornelia-Magda Lazarovici).
- **Dr. Marnia Lazreg (United States),** Professor of Sociology, Hunter College, City University of New York, New York, New York—a study, "Routinizing Terror: Torture, Identity, and Memory in Algeria."
- **Dr. Uri Leron (Israel),** Professor of Science Education, Technion—Israel Institute of Technology, Haifa, Israel— a study, "Mathematical Cognition and Human Nature: Consonance and Conflict."
- **Dr. Sanford Levinson (United States),** Professor of Law, University of Texas at Austin, Austin, Texas—a manuscript, "The Iron Cage of the United States Constitution."

- Mr. Hugh Lewin (South Africa), Writer, Johannesburg, South Africa—a personal study, "Dealing with Demons."
- **Ms. Laura B. Martorelli Lio (Argentina),** Artist, Madrid, Spain—artwork, "The Purest of White Threads."
- The Rev. Deborah W. Little Wyman (United States),
 Founder/Director, Ecclesia Ministries/Common Cathedral, Boston, Massachusetts—a book of stories about the experience of community in the third world of the United States, "Street Stories"
- Mr. Michael P. MacDonald (United States), Author and Lecturer, Brooklyn, New York—narrative nonfiction, "Rise Above: Anguish, Exile and Resiliency in the Aftermath of Trauma."
- Mr. James H. Mann (United States), Writer in Residence, Johns Hopkins University, Washington, D.C.—a manuscript, "Words at the Wall: The End of the Cold War and the Rhetoric of Ronald Reagan."
- **Dr. Elaine Tyler May (United States),** Professor of American Studies and History and Fesler-Lampert Professor of Humanities, University of Minnesota, Minneapolis, Minnesota—a manuscript, "Gimme Shelter: The Legacy of the Cold War at Home."
- **Dr. Jennifer Lynn McCoy (United States),** Associate Professor of Political Science, Georgia State University, Atlanta, Georgia—a manuscript, "International Mediation in Venezuela, 2002–2004" (with Francisco Diez).
- Mr. James McGarrell (United States), Professor Emeritus of Art, Washington University, St. Louis, Missouri—artwork exploring the relationship between mythological narrative and motifs in Mediterranean landscape.
- **Dr. John Joseph McGrath (Australia),** Professor of Epidemiology and Developmental Neurobiology, University of Queensland, Wacol, Queensland, Australia—a manuscript, "Building the Ramshackle Brain: Evolutionary Developmental Biology as a Tool to Explore Psychotic Disorders."
- **Mr. Wesley C. McNair (United States),** Poet, Retired Director of Creative Writing, University of Maine at Farmington, Farmington, Maine—a poetry manuscript, "The Ghosts of You and Me."
- **Dr. Toril Moi (Norway),** James B. Duke Professor of Literature and Romance Studies, Duke University, Durham, North Carolina—a manuscript, "Ibsen's Modernism."
- **Ms. Honor Moore (United States),** Faculty, Graduate Writing Program, New School University, New York, New York—a memoir, "The Bishop's Daughter."
- **Dr. Dulcie A. Mulholland (South Africa),** Professor of Organic Chemistry, University of KwaZulu-Natal, Durban, South Africa—a review article on the chemistry and ethnobotany of the Hyacinthaceae.
- **Dr. Constance A. Nathanson (United States),** Professor of Clinical Sociomedical Sciences, Columbia University, New York, New York—a manuscript, "Disease Prevention as Social Change: Society, Politics and Public Health in the United States, Canada, Great Britain and France."





Other Programs

- Dr. Frederick Neuhouser (United States), Professor of Philosophy and Viola Manderfeld Professor of German, Columbia University, New York, New York—a manuscript, "Jean Jacques Rousseau: The Dangers and Promise of Self-Love" ("L'amour proper").
- **Dr. Ronald Kim Oates (Australia),** Professor of Paediatrics and Chief Executive Officer, Children's Hospital at Westmead, Westmead, New South Wales, Australia—two manuscripts on "The Abused Child and the Legal System: Help or Hindrance" —one for legal professionals and one for those who work with abused children.
- **Dr. Melvin L. Oliver (United States),** Professor of Sociology, University of California, Santa Barbara, Santa Barbara, California—a 10th anniversary edition of "Black Wealth/White Wealth: A New Perspective on Racial Inequality" (with Thomas M. Shapiro).
- **Dr. Massaud Omar (Nigeria),** Senior Lecturer in Local Government Studies, Ahmadu Bello University, Zaria, Nigeria—a study, "Governance and Primary Health Care Delivery in Nigeria"
- **Dr. Gerald M. Oppenheimer (United States),** Professor, Brooklyn College, City University of New York, Brooklyn, New York—a manuscript, "Shattered Dream? An Oral History of AIDS in South Africa" (with Ronald Bayer).
- Mr. Hideo Otake (Japan), Professor of Political Science, Kyoto University, Kyoto, Japan—a study, "How to Promote Regional Cooperation of East Asia in Democratization and Globalization: Opportunities and Responsibilities for Japan and the Republic of Korea" (with Young Jak Kim).
- Mr. Raul C. Pangalangan (Philippines), Professor of Law, University of the Philippines, Quezon City, Manila, Philippines —an essay, "Global Justice, Native Peace: Internationalized Norms, Politicized Institutions."
- Ms. Polly Pen (United States), Composer and Author, New York, New York—a musical theater work, "My Mother and
- **Ms. M. Nourbese Philip (Trinidad and Tobago),** Poet/ Writer, Canada—a poetry manuscript, "Zong!"
- Mr. David J. Roussève (United States), Professor of Choreography, University of California, Los Angeles, Los Angeles, California—a dance-theater work, "Bittersweet 2."
- **Mr. Benardo Ruiz (United States),** Writer and Media Maker, Brooklyn, New York—a screenplay, "Bury Me/Entierrame."
- **Dr. Lidia Ivanovna Sazonova (Russian Federation),** Main Researcher, Institute of World Literature, Russian Academy of Sciences, Moscow, Russian Federation—a chapter, "Eastern Slavic Baroque Poetry in the European Context," for her manuscript, "Poetics of Russian Baroque Poetry."
- **Dr. John R. Scheffer (Canada),** Professor of Chemistry, University of British Columbia, Vancouver, British Columbia, Canada—a review article on recent research in solid state organic photochemistry

- **Dr. Thomas M. Shapiro (United States),** Pokross Professor of Law and Social Policy, Brandeis University, Waltham, Massachusetts—a 10th anniversary edition of "Black Wealth/White Wealth: A New Perspective on Racial Inequality" (with Melvin L. Oliver).
- **Mr. Yuyutsu R. D. Sharma (India),** Poet, Kathmandu, Nepal—a manuscript, "Annapurna Poems."
- **Dr. Carla Jo Shatz (United States),** Professor of Neurobiology, Harvard University, Boston, Massachusetts—a manuscript, "Brain Genes and Brain Wiring: Dynamic Interplay Between Nature and Nurture."
- **Dr. Jane Shaw (United Kingdom),** Dean of Divinity, Oxford University, Oxford, England—a manuscript, "The Visitation: The Story of a Modern Female Prophet and Her Followers."
- **Dr. Bruce Gordon Simons-Morton (United States),** Chief, Prevention Research Branch, National Institutes of Child Health, Bethesda, Maryland—a study, "The Case for Authoritative Parenting of Adolescents."
- Mr. Alvin Singleton (United States), Composer, Atlanta, Georgia—a music composition, "Sojourner Truth Choral Ballet."
- **Dr. Carl S. Smith (United States),** Franklyn Bliss Snyder Professor of English and American Studies and Professor of History, Northwestern University, Evanston, Illinois—a manuscript, "City Water, City Life: A Cultural History of Water in 19th-Century Urbanizing America."
- **Ms. Ellen R. Spiro (United States)**, Filmmaker/Associate Professor, University of Texas at Austin, Austin, Texas—a documentary film, "In Good Faith."
- **Dr. Stephen C. Stearns (United States),** Professor and Chair, Department of Ecology and Evolutionary Biology, Yale University, New Haven, Connecticut—a manuscript, "Hierarchical Selection and the Human Condition."
- Mr. David I. Steinberg (United States), Distinguished Professor and Director, Georgetown University, Washington, D.C. —a manuscript, "Turmoil in Burma: Contested Legitimacies in Myanmar."
- Mr. Peter L. Strauss (United States), Betts Professor of Law, Columbia University, New York, New York—a monograph, "Rulemaking in the Ages of Globalization and Information."
- **Dr. José Teixeira Coelho (Brazil),** Professor, School of Communications and Arts, University of São Paulo, São Paulo, Brazil—a study in fiction and nonfiction, "A Natural History of Dictatorship."
- Mr. Rick Tejada-Flores (United States), Producer/Director, Alturas Films, Berkeley, California—a video documentary, "The Road to Chulumani."
- **Dr. Jennifer Ann Thomson (South Africa),** Professor, University of Cape Town, Cape Town, South Africa—a manuscript, "Genes for the Environment: The Impact of Genetically Modified Crops on the Environment."





Ms. Jackie Tileston (United States), Assistant Professor of Art, University of Pennsylvania, Philadelphia, Pennsylvania—artwork, "Heterotopia."

Dr. Nasaruddin Umar (Indonesia), Professor of Islamic Studies, State Islamic University, Ciputat, Indonesia—a manuscript. "Gender Biases in the Qua'anic Interpretation."

Mr. Thomas Patrick de Waal (United States), Caucasus Editor and Project Manager, Institute for War and Peace Reporting, London, England—a manuscript, "The Black Sea: Diaspora, Diversity and Empire."

Dr. David A. Welch (Canada), George Ignatieff Chair of Peace and Conflict Studies, University of Toronto, Toronto, Ontario, Canada—a monograph, "Kennedy, Johnson, and Vietnam: The Impact of the Presidential Transition and Its Lessons for U.S. Foreign and Defense Policy" (with James G. Blight).

Heiner Westphal M.D. (United States), Chief, Intramural Research—Labs and Branches, National Institute of Child Health and Development, National Institutes of Health, Bethesda, Maryland—an article, "International Considerations of Human Embryonic Stem Cell Research."

Dr. Roger W. Wilkins (United States), C. J. Robinson Professor of History and American Culture, George Mason University, Fairfax, Virginia—a study, "Comprehensive School-Community Service Programs."

Dr. Stuart A. Wright (United States), Professor of Sociology, Lamar University, Beaumont, Texas—a study, "Analysis of a Burgeoning Proto-Fascist Transnational Network."

Ms. Alla Aleksandra Yaroshinskaya (Russian Federation), President, Center for Ecological Studies and Education, Moscow, Russian Federation—a manuscript, "Chernobyl 20 Years Later: Big Lie."

Dr. Ruth Bernard Yeazell (United States), Chace Family Professor of English, Yale University, New Haven, Connecticut—a manuscript, "Dutch Painting and the Realist Novel in Britain and France."

Dr. Yirmiyahu Yovel (Israel), Schulman Professor, Emeritus, Hebrew University, Jerusalem, Israel—a manuscript, "Modernity and the History of the Will."

Program Venture Experiment

The Program Venture Experiment makes investments in companies and organizations whose missions align with the Foundation's philanthropic goals. These investments are expected to return invested capital and to generate both financial and social returns.

Calvert Foundation, Bethesda, Maryland: \$450,000 as a Program Related Investment in support of its efforts to expand the flow of private capital to low-income communities across the United States by enlarging the community investment marketplace.

Centenary Rural Development Bank, Kampala, Uganda: \$500,000 as a Program Related Investment in support of its efforts to raise the incomes of poor smallholder farmers in Uganda who grow bananas and other cash crops, by improving their access to financial capital.

Uganda Development Trust, Kampala, Uganda: \$500,000 as a Program Related Investment in support of efforts to improve viable agribusinesses as a source of markets for smallholder farmers in Uganda.

Supporting Core Philanthropic Organizations

Foundation support to core philanthropic organizations and other special initiatives.

Council on Foundations, Washington, D.C.: \$44,600 toward general operating expenses in 2005.

Council on Foundations, Washington, D.C.: \$35,438 toward the costs of strengthening its access to and ability to engage policymakers on issues impacting the field of philanthropy.

Foundation-administered project: \$137,000 to engage a series of experts and external advisers to help integrate program learning and evaluation mechanisms into the Foundation's areas of work

Foundation-administered project: \$100,000 toward the costs of engaging external advisers to assist the Foundation in its long-term strategic planning process.

Independent Sector, Washington, D.C.: \$35,000 toward the costs of an initiative to strengthen its capacity to provide leadership on issues of ethics and accountability within the nonprofit sector.

Independent Sector, Washington, D.C.: \$12,200 in general support of its mission to advance the common good by leading, strengthening and mobilizing the independent sector.

New York Regional Association of Grantmakers, New York, New York: \$15,450 in general support of its mission to strengthen philanthropy by offering programs and resources that support effective, strategic grantmaking, facilitating collaboration and knowledge sharing, and communicating the value of the philanthropic sector in our society.

Rockefeller Foundation Matching Gift Program:

 $\$2,\!000,\!000$ toward the costs of the Rockefeller Foundation Matching Gift Program.

Rockefeller University, New York, New York: \$900,099 to cover operating costs associated with the preservation and continuing use of Foundation records deposited at the Rockefeller Archive Center.

William J. Clinton Foundation, New York, New York: \$250,000 toward the costs of the inaugural meeting of the Clinton Global Initiative, a nonpartisan conference dedicated to identifying immediate and pragmatic solutions to some of the world's most pressing problems.







Treasurer's Letter

The Rockefeller Foundation's endowment portfolio returned 11.4 percent after fees for the year, benefiting from a significant commitment to international equities and strong performance of hedge funds, real estate and private equity investments. For the three-year period ending in December 2005, the Foundation's portfolio generated an average annual return of 16.0 percent after fees. As of December 31, 2005, the market value of the portfolio was \$3.4 billion.

The concept of generational neutrality—maintaining the long-term purchasing power of the endowment to ensure the Foundation's robust grantmaking ability over the long term—remains a touchstone for the Foundation. The original corpus, which was fully funded by 1929, was worth \$2.8 billion in 2005 dollars compared to its \$3.4 billion value today. With the benefit of compounding investment returns, the Foundation has been able to make approximately \$14 billion (2005 dollars) in grants over the years while maintaining the value of the endowment in real dollars. This approach has allowed the Foundation to maintain its grantmaking that is still benefiting the world today.

> EVOLUTION OF INVESTMENT STRATEGY

In the past, an endowment's financial objectives could be achieved by allocating funds among traditional asset classes, primarily in the public markets. Success was measured by the amount of incremental return generated above a market index or benchmark. In recent years, institutional investors have adopted new models. The collapse of equity markets during 2000–2002 was a painful illustration of the need to seek positive absolute returns rather than returns relative to a benchmark. In addition, the high valuations in almost all sectors today suggest that future returns on traditional asset classes may not be sufficient to meet endowment objectives.

The Foundation has adopted a strategic framework that focuses on a core of assets that have higher potential to generate returns in excess of market indices with lower correlations to public markets. The "alpha core" includes hedge funds/distressed debt, real assets and private equity. The overall portfolio can therefore be thought of in three major categories—public equities, fixed income and the alpha core.

The process of building the alpha core takes time. Investors in these asset classes must make long-term commitments. Therefore, the Foundation strives to invest only with the highest caliber partners and conducts extensive due diligence prior to making a commitment. The following table shows the Foundation's historical allocations to these three categories of investment and illustrates the increase in the alpha core and the corresponding reductions in public equities and fixed income. The trend of increasing the alpha core with corresponding reductions in public equities and fixed income will continue, as the alpha core is currently targeted to reach 41 percent and will further increase as opportunities are identified.

| YEAR | ALPHA CORE % | PUBLIC EQUITIES % | FIXED INCOME % |
|-----------|--------------|-------------------|----------------|
| 1998 | 12.5% | 62.0% | 25.5% |
| 2004 | 23.4% | 56.6% | 20.0% |
| 3/31/2006 | 33.7% | 50.7% | 15.6% |



> PORTFOLIO OVERSIGHT

In providing oversight of the Rockefeller Foundation's endowment, the board of trustees strives to balance two long-term objectives—maximizing funds for current programs and maintaining generational neutrality—through policies on spending rate and asset allocation of the investment portfolio. The Foundation's long-term target for annual spending is 5.5 percent of the market value of the endowment.

Asset allocation policy is reviewed annually by the Foundation's Finance Committee, which establishes a target allocation for each asset class. The combination of an equity bias and broad diversification among equity-oriented asset classes provides a powerful underpinning for a long-term institutional portfolio. As discussed above, the Foundation is implementing a plan to reduce investments in marketable securities and increase commitments to the alpha core. The long-term asset allocation targets are:

| ASSET CLASS | PERCENT | | |
|-------------------------|---------|--|--|
| Global Equity | 10 | | |
| U.S. Equity | 19 | | |
| Developed International | 9 | | |
| Emerging Markets | 6 | | |
| Hedge Funds/Distressed | 18 | | |
| Real Assets | 12 | | |
| Private Equity | 11 | | |
| Fixed Income | 14 | | |
| Cash | 1 | | |

The Foundation's investment staff develops overall strategy, recommends investment managers, and oversees their performance and adherence to guidelines. Staff also researches new investment opportunities and monitors and controls portfolio risks. In selecting outside managers, the Foundation seeks firms that, in addition to strong track records, have the people, management structure, disciplined process, fundamental research and operational controls to deliver superior results.

> PORTFOLIO STRUCTURE

The Foundation's U.S. equity portfolio is allocated among 10 active managers. Each manager has a distinct investment approach and can add significant value through sector and security selection. In most cases, this results in portfolios that are concentrated in a relatively small number of securities. Hedge strategies with a significant long bias are included in U.S. equities.

The Foundation's international equity portfolio has four active managers with EAFE benchmarks. In addition, there are two managers that specialize in Japan. At year-end 2005, 7 percent of the endowment was also invested with three specialist emerging markets managers. One of these managers focuses solely on the Asian markets outside of Japan.

In addition to U.S. and international equities, the Foundation has an allocation to global managers who have the discretion to hold U.S. and international securities. The Treasurer's Office believes that increasing worldwide economic integration requires that investment managers are thoughtful about the relative attractiveness of regions and are able to identify the best companies in global industries. It is difficult to find advisers with true global capacity. To date, the Foundation has three managers in this asset class, which is expected to grow over time.



The fixed income portfolio emphasizes exposure to high-quality, U.S. government securities. Approximately 40 percent of this asset class is invested in passively managed index funds that hold intermediate-maturity Treasury bonds and Treasury Inflation Protected Securities (TIPS). Another segment of the fixed income portfolio is invested with three managers that achieve exposure to Treasury securities using futures and overlay this exposure with opportunistic investments in a variety of market sectors. This "portable alpha" approach preserves the Foundation's exposure to Treasury securities but gives the managers the potential to generate higher excess returns.

The hedge fund/distressed asset class includes investments in event-driven strategies, long/short equity strategies, and distressed debt. These investments are expected to provide equity-like returns that are not highly correlated with the public equity and fixed-income markets. As of December 31, 2005, the hedge fund/distressed asset class was 15 percent of the endowment and was invested with 15 managers.

The Foundation makes investments in private equity and real assets through limited partnerships. The inefficiency of private markets offers long-term institutional investors, who can tolerate illiquidity, the opportunity to benefit from experienced partners who have consistently added value to their portfolio companies. Our strategy is to build relationships with leading firms with whom we can invest in a series of funds over time and to structure partnerships that align our interests with those of our partners.

In private equity, the Foundation has ongoing relationships with over 30 venture and buyout partners. During the past two years, the Foundation has been able to establish relationships with a number of new, high-quality private equity partners including investments in rapidly growing emerging markets. These commitments will be funded over time as the partnerships identify investment opportunities.

The real assets portfolio includes investments in public and private real estate, energy and timber. The Foundation has ongoing relationships with 16 partners that invest privately in commercial real estate. Sales in older partnerships continued to exceed capital calls during 2005 as advisers took advantage of the opportunity to sell property at premium prices. Energy investments include natural resource funds as well as private equity funds that invest in companies in the energy sector. The natural resource funds are primarily engaged in acquiring existing properties and enhancing their production capacity and operating efficiency. The Foundation has made one timber investment in a fund with strong environmental values that often pursues joint ventures with conservation entities.

Building a portfolio that respects the abiding principles of diversification and alignment of sponsor/manager interests, but takes advantage of new approaches and unexplored territory, requires a careful balancing of creativity and discipline. The Foundation's investment staff strives to exercise the creativity to push the bounds of traditional asset allocation and find exceptional partners in new places, while maintaining the discipline to underwrite investments with care and to rigorously evaluate risk/return trade-offs.



Independent Auditors' Report

The Board of Trustees of The Rockefeller Foundation:

We have audited the accompanying statements of financial position of The Rockefeller Foundation (the "Foundation") as of December 31, 2005 and 2004, and the related statements of activities and cash flows for the years then ended. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for purposes of expressing an opinion on the effectiveness of the Foundation's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Rockefeller Foundation at December 31, 2005 and 2004, and the changes in its net assets and cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

Deloitte & Touche LLP New York, New York

Delococe! Touche up

May 18, 2006



Statements of Financial Position

| | (Amounts in thousands) | | | | |
|--|-------------------------|-----------|-----------|-----------|--|
| | | 2005 | | 2004 | |
| ASSETS | | | | | |
| Cash and cash equivalents, including restricted bond | | | | | |
| funds of \$610 and \$629, respectively (Notes 2 and 7) | \$ | 3,590 | \$ | 6,851 | |
| Collateral held for securities on loan, including | | | | | |
| \$0 and \$5,800 received as securities, respectively (Note 3) | | 278,669 | | 283,190 | |
| Dividends, interest and other receivables | | 3,805 | | 4,693 | |
| Investments, including securities on loan of \$268,746 and | | | | | |
| \$274,204, respectively (Notes 2, 3 and 4) | | 3,356,330 | | 3,173,102 | |
| Property—Net of accumulated depreciation and amortization (Note 5) | | 21,298 | | 22,069 | |
| Prepaid pension cost and other assets (Notes 6 and 7) | | 54,474 | | 57,156 | |
| Total | \$3,718,166 \$ 3 | | 3,547,061 | | |
| LIABILITIES AND NET ASSETS | | | | | |
| Liabilities: | | | | | |
| Accounts payable and accrued liabilities | \$ | 10,260 | \$ | 18,295 | |
| Payable for return of collateral on loaned securities (Note 3) | | 278,669 | | 283,190 | |
| Grants approved for specific grantees/purposes | | | | | |
| but not yet paid (Note 8) | | 82,317 | | 86,967 | |
| Bonds payable, net of unamortized discount totaling | | | | | |
| \$215 and \$228, respectively (Note 7) | | 22,750 | | 23,497 | |
| Federal excise tax payable | | | | 192 | |

As of December 31, 2005 and 2004

6,750

18,988

420,079

3,298,087

\$3,718,166

6,515

19,034

437,690

3,109,371

\$ 3,547,061

See notes to financial statements.

Commitments (Notes 3 and 6)

Total liabilities

Total

Deferred Federal excise tax (Note 2)

Accrued post-retirement benefits (Note 6)

Unrestricted net assets, including Board-designated

amounts of \$182,553 and \$185,662, respectively (Note 8)



For the Years Ended December 31, 2005 and 2004 (Amounts in thousands)

| | 2005 | 2004 |
|---|-------------|--------------|
| CHANGES IN NET ASSETS | | |
| Investment return: | | |
| Realized and change in unrealized gain on investments—net | \$ 266,141 | \$ 311,753 |
| Dividend and interest income (Note 2) | 96,256 | 74,067 |
| Other investment income | 1,271 | 1,428 |
| | 363,668 | 387,248 |
| Investment expenses | 19,821 | 18,987 |
| Net investment return | 343,847 | 368,261 |
| | | |
| Other Expenses: | | |
| Approved grants and program costs | 111,607 | 125,177 |
| Program administrative expenses | 18,037 | 17,177 |
| General administrative expenses | 15,902 | 13,789 |
| Provision for Federal excise and unrelated business income taxes (N | ote 2): | |
| Current | 9,350 | 3,344 |
| Deferred | 235 | 2,039 |
| | 155,131 | 161,526 |
| | | |
| Increase in unrestricted net assets | 188,716 | 206,735 |
| Unrestricted net assets: | | |
| Beginning of year | 3,109,371 | 2,902,636 |
| End of year | \$3,298,087 | \$ 3,109,371 |

See notes to financial statements.



Statements of Cash Flows

| | For the Years Ended Dec | | in thousands) |
|---|---|----|---|
| | 2005 | | 2004 |
| CASH FLOWS FROM OPERATING ACTIVITIES | | | |
| Increase in net assets | \$ 188,716 | \$ | 206,735 |
| Adjustments to reconcile increase in net assets to cash | | | |
| used in operating activities: | | | |
| Depreciation and amortization | 925 | | 1,235 |
| Deferred federal excise tax | 235 | | 2,038 |
| Net unrealized gain on investments | (14,215) | | (99,000) |
| Net realized gain on investments | (251,926) | | (212,753) |
| Changes in operating assets and liabilities: | | | |
| Dividends, interest and other receivables | 888 | | 1,886 |
| Prepaid pension cost and other assets | 2,673 | | (1,002) |
| Accounts payable, accrued liabilities and taxes payable | (7,882) | | 861 |
| Grants approved for specific grantees/purposes | | | |
| but not yet paid (Note 8) | (4,650) | | (16,655) |
| Accrued post-retirement benefits | (46) | | 111 |
| 7 toolded post retirement benefits | | | |
| Net cash used in operating activities | (85,282) | | (116,544) |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES | | F | , |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments | 5,202,389 | | 6,221,412 |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments | 5,202,389 (5,119,476) | | 5,221,412 5,101,483) |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions | 5,202,389 (5,119,476) (132) | | 6,221,412 6,101,483) (29) |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments | 5,202,389 (5,119,476) | | 6,221,412 6,101,483) (29) |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities | 5,202,389 (5,119,476) (132) | | 6,221,412 6,101,483) (29) |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES | 5,202,389 (5,119,476) (132) 82,781 | | (116,544) 6,221,412 6,101,483) (29) 119,900 |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable | 5,202,389 (5,119,476) (132) 82,781 | | 6,221,412 6,101,483 (29) 119,900 |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable Net cash used in financing activities | 5,202,389 (5,119,476) (132) 82,781 | | 6,221,412 6,101,483 (29) 119,900 |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable Net cash used in financing activities Net increase (decrease) in cash and cash equivalents, | 5,202,389 (5,119,476) (132) 82,781 (760) (760) | | (725) (29) (725) |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable Net cash used in financing activities Net increase (decrease) in cash and cash equivalents, excluding amounts held in investment portfolio | 5,202,389 (5,119,476) (132) 82,781 | | 6,221,412 6,101,483 (29) 119,900 |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable Net cash used in financing activities Net increase (decrease) in cash and cash equivalents, excluding amounts held in investment portfolio Cash and cash equivalents: | 5,202,389 (5,119,476) (132) 82,781 (760) (760) (3,261) | | 6,221,412 6,101,483 (29) 119,900 (725) (725) |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable Net cash used in financing activities Net increase (decrease) in cash and cash equivalents, excluding amounts held in investment portfolio Cash and cash equivalents: Beginning of year | 5,202,389 (5,119,476) (132) 82,781 (760) (760) (3,261) 6,851 | (6 | 6,221,412 6,101,483 (29) 119,900 (725) (725) 2,631 4,220 |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable Net cash used in financing activities Net increase (decrease) in cash and cash equivalents, excluding amounts held in investment portfolio Cash and cash equivalents: | 5,202,389 (5,119,476) (132) 82,781 (760) (760) (3,261) | | 6,221,412 6,101,483 (29 119,900 (725 (725 2,631 4,220 |
| Net cash used in operating activities CASH FLOWS FROM INVESTING ACTIVITIES Sales of investments Purchases of investments Property additions Net cash provided by investing activities CASH FLOWS FROM FINANCING ACTIVITIES Repayments of bonds payable Net cash used in financing activities Net increase (decrease) in cash and cash equivalents, excluding amounts held in investment portfolio Cash and cash equivalents: Beginning of year | 5,202,389 (5,119,476) (132) 82,781 (760) (760) (3,261) 6,851 | (6 | (725) (29) (725) |

See notes to financial statements.



Notes to Financial Statements

As of and for the years ended December 31, 2005 and 2004

> 1. ORGANIZATION

The Rockefeller Foundation (the "Foundation"), chartered in 1913 "to promote the well-being of mankind throughout the world," is a knowledge-based global foundation with a commitment to enrich and sustain the lives and livelihoods of poor and excluded people throughout the world. Grantmaking is organized around thematic lines of work: Creativity and Culture, Food Security, Health Equity, Working Communities, a cross theme of Global Inclusion and a number of regional and specialty programs. In managing the endowment, the Foundation has two primary objectives: to maximize the funds available for current funding and to preserve the value of the endowment. These objectives are achieved through a diversified investment portfolio and spending policies.

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to Federal income tax (Note 2).

> 2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Cash and Cash Equivalents—Cash and cash equivalents consists of cash and investments with maturities of less than 90 days from the time of purchase. Cash and cash equivalents held by the Foundation's investment managers awaiting investment in various investment asset classes are included as Investments.

Investments—Investments in marketable securities are stated at fair value. Fair value is determined using daily closing prices, where available, for any tradable instruments on any global stock exchange. Interest income and related expenses are accounted for on the accrual basis on trade date. Dividend income and related expenses are recognized on ex-date, net of withholding taxes where applicable. Realized gains and losses on investments in securities are calculated based on the specific identification method, based on trade date.

Limited partnership investments and similar interests are stated at estimated fair value. Values for these partnerships, which may include investments in both nonmarketable and market-traded securities, are provided by the general partner and reviewed by the Foundation's management. Values may be based on historical cost, appraisals, fair values discounted for concentration of ownership or other estimates that require varying degrees of judgment. The financial statements of the limited partnerships are audited annually by independent auditors.

Programmatic investments are philanthropically driven, nonmarketable investments in and loans to businesses that further the Foundation's mission. These investments and loans are made under the Foundation's Program Venture Experiment ("ProVenEx"). Programmatic investments are stated at estimated fair value, which may be based on historical cost, financing events or material changes in the business.

Transactions in other currencies are translated into U.S. dollars at the exchange rates in effect at the date of the transactions. Monetary assets and liabilities denominated in non-U.S. currency are reported at the exchange rates in effect at the dates of the statements of financial position. Any gain or loss arising from a change in exchange rates subsequent to the date of the transaction is included in realized and change in unrealized gain on investments—net, in the statements of activities. For the years ended December 31, 2005 and 2004, the realized and change in unrealized gain (loss)—net, resulting from foreign exchange was approximately \$(54) million and \$22.5 million, respectively.

Derivatives—The Foundation records its derivatives at fair value. The fair value of futures and forwards is reflected in investments in the statement of financial position. Each of these financial instruments contains varying degrees of risk whereby changes in the fair value of the securities underlying the financial instruments or the cost of satisfying the Foundation's obligations may exceed the amount recognized in the statements of financial position. Changes in the fair value of derivatives are included in the statements of activities as part of the realized and change in unrealized gain on investments—net.

Property—Property is stated at cost at the date of acquisition. Depreciation is provided on a straight-line method over the assets' estimated useful lives, which range from 45 years for condominium and condominium improvements, to 10 years for furniture and fixtures, and to five years for equipment.

Financial Instruments—The Foundation has estimated, where practicable, the fair value of its financial instruments by using appropriate valuation methodologies. Except where noted otherwise, the Foundation determined that the differences between the carrying values and fair values of its financial assets and liabilities are not material.

Notes to Financial Statements

Federal Excise and Unrelated Business Income Taxes—The Foundation is classified as a private foundation. It is subject to a Federal excise tax of 1 percent or 2 percent on investment income (its principal source of revenue) less investment expenses, and on net realized taxable gains on securities transactions. In accordance with Section 4940(e) of the Internal Revenue Code, for the year ended December 31, 2005, the Foundation did not meet the specified distribution requirements and, therefore, was subject to a Federal excise tax of 2 percent; for the year ended December 31, 2004, the Foundation met the specified distribution requirements and, therefore, was subject to a Federal excise tax of 1 percent. Additionally, the Foundation's investments in certain private equity and real estate partnerships give rise to unrelated business income tax liabilities.

Deferred Federal excise tax arises from temporary differences between financial and tax reporting related to investment income and the difference between the cost basis and fair value of marketable securities. Deferred taxes are calculated using the full 2 percent excise tax rate.

Use of Estimates—The preparation of financial statements in conformity with accounting principles generally accepted in the United States requires management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Management believes that the estimates utilized in preparing its financial statements are reasonable and prudent. Actual results could differ from these estimates.

Restatement of Cash Flows—The 2004 statement of cash flows was restated to reflect the gross purchases of investments and sales of investments. These amounts had previously been reported net in the statement of cash flows.

> 3. INVESTMENTS

The Foundation's investment portfolio consists of the following:

| | December 31 | | | | |
|--|----------------|-----------------|--------------|-----------------|--|
| | 2005 Cost | 2005 Fair Value | 2004 Cost | 2004 Fair Value | |
| | (In thousands) | | | | |
| Marketable securities: | | | | | |
| Money market funds | \$ 166,533 | \$ 166,467 | \$ 154,314 | \$ 154,314 | |
| Foreign currency—short-term | | (185) | | (2,686) | |
| U.S. and other government obligations | 132,123 | 132,041 | 186,961 | 190,320 | |
| Corporate obligations | 64,020 | 62,875 | 141,374 | 132,887 | |
| Common stock (including REITs) | 1,582,282 | 1,928,518 | 1,639,289 | 2,010,418 | |
| Other investments | 7,548 | 8,385 | 9,934 | 11,625 | |
| Subtotal | 1,952,506 | 2,298,101 | 2,131,872 | 2,496,878 | |
| Alternative investments and similar interests: | | | | | |
| Hedge funds | 514,062 | 591,120 | 236,872 | 280,688 | |
| Real assets | 166,815 | 196,190 | 138,495 | 175,782 | |
| Private equity | 403,415 | 291,578 | 343,500 | 226,693 | |
| Subtotal | 1,084,292 | 1,078,888 | 718,867 | 683,163 | |
| Programmatic investments | 4,850 | 3,177 | 8,614 | 3,704 | |
| Pending securities transactions—net | (23,829) | (23,836) | (10,547) | (10,643) | |
| Total | \$ 3,017,819 | \$ 3,356,330 | \$ 2,848,806 | \$ 3,173,102 | |

In 2001, the Foundation began investing in hedge funds. Hedge funds focus on long/short, event-driven and distressed investments. These investments are held in the form of limited partnerships.

As of December 31, 2005, under the terms of various private equity, real assets and other limited partnership agreements, the Foundation has commitments to contribute approximately \$711 million in additional capital over the next 10 to 15 years.

The Foundation has two investment custodians. Both of these custodians maintained securities lending programs during 2005 and 2004. Collateral is in the form of cash and securities and was held by the custodians at all times in excess of the value of the securities on loan. The collateral is limited to being held in cash or invested in government securities. Investment of this collateral is in accordance with specified guidelines. Interest earned on

these transactions is included with other investment income in the statements of activities. The fair value of securities on loan at December 31, 2005 and 2004, was approximately \$268.7 million and \$274.2 million, respectively. In exchange, collateral was provided to the custodians of \$278.7 million and \$283.2 million as of December 31, 2005 and 2004, respectively, of which \$278.7 million and \$277.4 million was received in cash and \$0 million and \$5.8 million was received in securities. In accordance with SFAS 140, *Accounting for Transfers and Servicing of Financial Assets and Extinguishments of Liabilities*, the collateral is shown as both an asset and a liability on the Statements of Financial Position.

> 4. DERIVATIVE FINANCIAL INSTRUMENTS

Derivatives are tools used to maintain asset mix or adjust portfolio risk exposure. The Foundation invests in futures on the S&P 500 Index and U.S. Treasury bonds, and foreign currency forward contracts. The S&P 500 Index and U.S. Treasury futures are purchased or sold at minimum transaction cost to adjust desired asset mix. Currency forward contracts are utilized by certain specialist investment managers to manage foreign currency exposure in the Foundation's international equity portfolio.

Within the Foundation's limited partnership investments, managers may create additional exposure for the Foundation through short sales of securities, and trading in futures and forward contracts, options, swaps and other derivatives products.

The full market risk and credit risk of derivative financial instruments are associated with their underlying contract amounts or "notional values" in addition to their fair values. Market risk represents potential loss from the decrease in the value of these financial instruments. Credit risk represents potential loss from possible nonperformance by obligors and counterparties on the terms of their contracts.

Assets and liabilities represent the derivative contracts purchased and sold by the Foundation. The fair value of such positions represents the net unrealized gains and losses and, consequently, the net receivables and payables at December 31, 2005 and 2004. Fair values of the Foundation's derivative financial instruments generally are determined by either quoted market prices or third-party pricing models. Pricing models utilize a series of market inputs to determine the present value of future cash flows, with adjustments, as required, for credit risk, liquidity risk and ongoing costs.

Fair values of the Foundation's derivative financial instruments at December 31, 2005 and 2004, are summarized below. This table excludes exposures relating to derivatives held indirectly through partnership investments.

| | December 31 | |
|---|-------------|-----------|
| | 2005 | 2004 |
| | (In ti | nousands) |
| Fixed income contracts to manage portfolio duration, | | |
| asset mix and interest rate risk—futures contracts: | | |
| Assets | \$ 2 | \$ 61 |
| Liabilities | (73) | (24) |
| Foreign currency contracts to manage foreign exchange exposure in non-U.S. dollar securities—forward contracts: | | |
| Assets | 238 | 5,920 |
| Liabilities | (340) | (8,606) |

Of the above contracts, approximately \$.6 million at December 31, 2005, and \$14.5 million at December 31, 2004, related to over-the-counter ("OTC") contracts and are included in investments as foreign currency—short term. The remaining contracts of approximately \$75,000 at December 31, 2005, and \$85,000 at December 31, 2004, related to exchange-traded contracts for futures and are included in investments as part of U.S. and other government obligations or corporate obligations. The Foundation uses financial futures contracts for the purpose of hedging the risk on existing securities, rebalancing, or to take active trading positions. Upon entering into a contract, the Foundation deposits and maintains as collateral such initial margin as required by the exchange on which the transaction is effected. Pursuant to the contract, the Foundation is to receive from or pay to the broker an amount of cash equal to the daily fluctuation in the value of the contract, also known as the variation margin. The Foundation records daily fluctuations in the variation margin account as realized gains and losses.

Notes to Financial Statements

At December 31, 2005 and 2004, \$6.2 million and \$2.7 million, respectively, was on deposit with the brokers as collateral for margin requirements on futures. This amount is included in investments as either U.S. and other government obligations or corporate obligations.

Counterparties to the Foundation's OTC derivative products are high credit quality institutions, which are primarily banks, securities firms and investment companies. Management does not anticipate that losses, if any, resulting from credit or market risk, would materially affect the Foundation's financial position.

> 5. PROPERTY

Expenditures for capital items currently in use are included in the property account and depreciated on a straightline basis over the lives of the respective assets. At December 31, 2005 and 2004, the property account included the following:

| | 2005 | 2004 |
|--|-----------|-----------|
| | (In the | housands) |
| Condominium interest in 420 Fifth Avenue | \$ 16,555 | \$ 16,555 |
| Condominium improvements | 11,777 | 14,145 |
| Furniture, fixtures and equipment | 649 | 2,778 |
| | 28,981 | 33,478 |
| Less accumulated depreciation and amortization | 7,683 | 11,409 |
| Property—net | \$ 21,298 | \$ 22,069 |

Write-offs of fully-depreciated assets totaled \$4,628,000 and \$89,000 in 2005 and 2004, respectively.

> 6. PENSIONS AND OTHER POST-RETIREMENT BENEFITS

The Foundation maintains a defined benefit pension plan (the "Plan") for regular salaried employees who were at least 21 years old and have completed one year of service or had attained the age of 40 prior to July 1, 2000. As of July 1, 2000, the Plan was closed to new employees and also to those employees hired prior to July 1, 2000, who did not meet the eligibility requirements. The Plan provides retirement benefits based on years of service and final average pay, with benefits after retirement subject to increase under a cost-of-living augmentation formula. The Foundation makes annual contributions to the Plan, as needed, based on actuarial calculations, in amounts sufficient to meet the minimum funding requirements pursuant to the Employee Retirement Income Security Act of 1974. Plan assets are invested in a diversified portfolio of equities and fixed income securities.

In 2000, the Foundation enhanced its 401(k) plan to create the Retirement Savings Plan (formerly, the Trusteed Savings Plan). Foundation contributions are now made to equal 13 percent of compensation plus a dollar-fordollar match of up to an additional 2 percent of compensation contributed on a pretax basis by employees up to the compensation cap of \$210,000. Current members of the Plan had the option of remaining in the combined retirement plan consisting of the defined benefit pension plan and the former 401(k) Trusteed Savings Plan or moving to the new Retirement Savings Plan. Employees can make additional unmatched pretax contributions which, when combined with employee contributions that are matched, cannot exceed the maximum pretax contribution limit of \$14,000. All contributions are credited to the participants' accounts. The Foundation's contributions to the Plans were \$1,524,000 and \$1,457,000 in 2005 and 2004, respectively.

Locally hired staff in the Foundation's foreign offices participate in retirement plans and/or provident funds that conform to local customs, conditions or law.

The Foundation provides certain health care and life insurance benefits ("Other Benefits") for retired employees. Employees are eligible for these benefits when they meet the criteria for retirement under the Foundation's pension plan. The plans are noncontributory and there are no cost sharing features. The Foundation accrues the expected cost of providing post-retirement benefits over the years that employees render service and pays the cost of retiree health care benefits with excess pension plan assets under the applicable provisions of the Internal Revenue Code.

The Medicare Prescription Drug, Improvement and Modernization Act of 2003 introduces a prescription drug benefit under Medicare, as well as a federal subsidy to sponsors of retiree medical benefit plans that provide a benefit that is similar to Medicare. In accordance with Financial Accounting Standards Board Staff Position ("FSP") No. 106-1, *Medicare Prescription Drug, Improvement and Modernization Act of 2003*, the Foundation had elected to defer recognizing the effects of the Act on its accounting of retiree medical benefits until such time that specific authoritative guidance was issued. FSP 106-2, issued in May 2004 and which superseded FSP 106-1, was effective for the Foundation's year beginning January 1, 2005.

A Medicare Part D Retiree Drug Subsidy (RDS) analysis has been prepared to assist the Foundation in applying for the subsidy beginning January 1, 2006. The Foundation passed both the gross and net value tests as specified by the Medicare Modernization Act. Accordingly, in 2005, the Foundation commenced accounting for the effect of the subsidy (a net reduction in the Foundation's share of plan costs) as an actuarial experience gain in accordance with FSP 106-2.

| Obligations and Funded Status at December 31 | | | | |
|--|------------------|-----------|-------------|-------------|
| | Pension Benefits | | Oth | er Benefits |
| | 2005 | 2004 | 2005 | 2004 |
| | | (In thou | isands) | |
| Change in Projected Benefit Obligation (PBO): | | | | |
| Projected Benefit Obligation—beginning of year | \$ 67,668 | \$ 63,022 | \$ 17,887 | \$ 16,744 |
| Service cost | 571 | 618 | 339 | 381 |
| Interest cost | 3,891 | 3,837 | 924 | 1,008 |
| Actuarial loss (gain) | 3,602 | 3,620 | (1,166) | 919 |
| Benefits and expenses paid | (3,502) | (3,429) | (1,192) | (1,165) |
| Projected Benefit Obligation—end of year | 72,230 | 67,668 | 16,792 | 17,887 |
| Change in plan assets: | | | | |
| Fair value of plan assets—beginning of year | 94,434 | 90,471 | | |
| Actual return on plan assets | 5,691 | 8,330 | | |
| Employer contributions | | | 1,192 | 1,165 |
| Benefits and expenses paid | (3,502) | (3,429) | (1,192) | (1,165) |
| 401(h) transfer | (914) | (938) | | |
| Fair value of plan assets—end of year | 95,709 | 94,434 | _ | _ |
| Funded status | 23,479 | 26,767 | (16,792) | (17,887) |
| Unrecognized net actuarial loss (gain) | 30,730 | 26,853 | (2,198) | (1,175) |
| Unrecognized prior service cost | 123 | 161 | 2 | 28 |
| Net amount recognized | \$ 54,332 | \$ 53,781 | \$ (18,988) | \$ (19,034) |

Amounts recognized in the statement of financial position consist of:

| | Pens | Pension Benefits Other | | er Benefits |
|-----------------------|-----------|------------------------|-------------|-------------|
| | 2005 | 2004 | 2005 | 2004 |
| | | (In thou | isands) | |
| Prepaid benefit cost | \$ 54,332 | \$ 53,781 | \$ — | \$ — |
| Accrued benefit cost | _ | _ | (18,988) | (19,034) |
| Net amount recognized | \$ 54,332 | \$ 53,781 | \$ (18,988) | \$ (19,034) |

The accumulated benefit obligation for the defined benefit pension plan was \$68,737,000 and \$65,146,000 at December 31, 2005 and 2004, respectively. The accumulated post-retirement benefit obligation for medical and life insurance was \$16,263,000 and \$16,310,000 at December 31, 2005 and 2004, respectively.

Notes to Financial Statements

| Components of Net Periodic Benefit Cost | | | | |
|---|----------|------------|----------|----------|
| | Pensio | n Benefits | Other | Benefits |
| | 2005 | 2004 | 2005 | 2004 |
| | | (In thou | sands) | |
| Service cost | \$ 571 | \$ 618 | \$ 339 | \$ 381 |
| Interest cost | 3,891 | 3,837 | 924 | 1,008 |
| Expected return on plan assets | (7,871) | (7,755) | | |
| Amortization of prior service cost | 39 | 39 | 26 | 26 |
| Amortization of net (gain) loss | 2,820 | 2,394 | (143) | (139) |
| Net periodic benefit cost | \$ (550) | \$ (867) | \$ 1,146 | \$ 1,276 |

| Assumptions Weighted-average assumptions used to det | ermine | | | |
|--|-------------------------------|-------|-------|----------|
| benefit obligations at December 31 | Pension Benefits Other Benefi | | | Benefits |
| | 2005 | 2004 | 2005 | 2004 |
| Discount rate | 5.50% | 5.75% | 5.50% | 5.75% |
| Rate of compensation increase | 6.00% | 4.00% | 6.00% | 4.00% |

| Weighted-average assumptions used to determine net periodic benefit cost for years ending December 31 | | | | | |
|---|--------|------------|-------|----------|--|
| | Pensio | n Benefits | Other | Benefits | |
| | 2005 | 2004 | 2005 | 2004 | |
| Discount rate | 5.75% | 6.25% | 5.75% | 6.25% | |
| Expected long-term return on plan assets | 8.50 | 8.75 | N/A | N/A | |
| Rate of compensation increase | 6.00 | 4.50 | 6.00 | 4.50 | |

The overall expected long-term rate of return on assets assumption was determined based on historical returns (without adjustment) for each asset class.

| Assumed health care cost trend rates at December 31 | | |
|---|------|------|
| | 2005 | 2004 |
| Health care cost trend rate assumed for next year | 10% | 7% |
| Rate to which the cost trend rate is assumed to decline (the ultimate trend rate) | 5 | 5 |
| Year that the rate reaches the ultimate trend rate | 2010 | 2006 |

Assumed health care cost trend rates have a significant effect on the amounts reported for the health care plans. A one-percentage-point change in assumed health care cost trend rates would have the following effects:

| | 1-Percentage- Point Increase | 1-Percentage- Point Decrease |
|---|---------------------------------|---------------------------------|
| | (In | thousands) |
| Effect on total of service and interest costs | \$ 177 | \$ (138) |
| Effect on post-retirement benefit obligation | 1,998 | (1,668) |

| Plan Assets | At Dece | At December 31 | | | |
|-------------------------|---------|----------------|--|--|--|
| | 2005 | 2004 | | | |
| U.S. equities | 53.8% | 55.0% | | | |
| International equities | 15.4 | 14.5 | | | |
| Fixed income securities | 30.8 | 30.5 | | | |
| Total | 100% | 100% | | | |

The Plan is diversified among three asset classes: U.S. equity, international equity and fixed income with weightedaverage target asset allocations of 50 percent, 15 percent and 35 percent, respectively. The Plan's investment managers have been selected from among the endowment's managers to achieve savings on asset based management fees and to garner the benefits of consolidated risk management and oversight.

Cash Flows:

Contributions—The Rockefeller Foundation does not expect to need to make any contributions to its pension plan in 2006; it expects to contribute approximately \$1.1 million toward other post-retirement medical and life insurance plans, most of which will be offset by a 401(h) transfer from excess pension plan assets.

Estimated Future Benefit Payments—The following benefit payments, which reflect expected future service, as appropriate, are expected to be paid:

| | Pension Benefits | Other Benefits |
|-----------------|---------------------|-------------------|
| 2006 | \$ 3,889 | \$ 1,072 |
| 2007 | 4,103 | 1,122 |
| 2008 | 4,257 | 1,184 |
| 2009 | 4,383 | 1,193 |
| 2010 | 4,515 | 1,193 |
| Years 2011-2015 | 24,528 | 6,110 |

> 7. BONDS PAYABLE

During fiscal 1993, the Foundation issued \$20,445,000 in tax-exempt term bonds and \$9,815,000 in tax-exempt serial bonds to fund the acquisition, construction and furnishing of a new office facility (the "Facility"). The bond proceeds and related investment income earned were held by a trustee (the "Trustee") and have been disbursed at the direction of the Foundation to fund allowable Facility-related costs. Deferred charges pertaining to underwriter's fees total

\$142,000 and \$151,000 at December 31, 2005 and 2004, respectively, and are included in the statement of financial position as prepaid pension costs and other assets. The underwriter's fees are being amortized over the life of the bonds. At December 31, 2004, deferred interest costs of \$3,224,000, representing the difference between the amount of interest paid on the bonds and the effect of the cumulative interest expense allocated to operating expenses on a straight-line basis over the life of the bonds, were included in prepaid pension costs and other assets. This deferred charge was expensed in 2005.

The bonds are rated Aaa by Moody's and AAA by Standard & Poor's and are backed by the general assets of the Foundation. In addition, the bonds are secured by the Foundation's ownership interest in the Facility, a leasehold interest in the Facility, and insurance proceeds with respect to the Facility. The nominal interest rates on the serial bonds range from 5.0 percent to 5.1 percent. The nominal interest rates attributable to the term bonds are 5.3 percent and 5.4 percent. The serial bonds mature in various amounts, ranging from \$800,000 to \$880,000 per year, through 2008. The term bonds are due in 2013 (\$5,140,000) and 2023 (\$15,305,000). Bond maturities are shown to the right (in thousands):

| Fiscal Year Endin | g Decer | nber 31 |
|-------------------|---------|---------|
| 2006 | \$ | 800 |
| 2007 | | 840 |
| 2008 | | 880 |
| 2009 | | _ |
| 2010 | | _ |
| Thereafter | 2 | 0,445 |
| | \$2 | 2,965 |

> 8. APPROPRIATIONS AND EXPENDITURES

Appropriations by the Trustees are considered to be obligations when grants are approved (awarded) for specific grantees; appropriations not released for specific grantees and the appropriation for the budget for the next year are considered as Board-designated net assets.

Appropriations and expenditures for the year are summarized as follows:

| | Appropriated | Appropriated | |
|--|---------------------------------------|---|-----------------------|
| | for Specific Grantees/ Purposes | for Allocation and Next Year's Budget | Total Appropriated |
| Balance—December 31, 2003 | \$ 103,622 | \$ 183,735 | \$ 287,357 |
| Approved grants and program and administrative costs | 150,943 | (150,943) | _ |
| Lapses and refunds | (2,800) | 870 | (1,930) |
| Expenditures for grants and operations | (172,798) | | (172,798) |
| 2005 budget | 8,000 | 152,000 | 160,000 |
| Balance—December 31, 2004 | 86,967 | 185,662 | 272,629 |
| Approved grants and program and administrative costs | 147,631 | (145,822) | 1,809 |
| Lapses and refunds | (2,085) | (14,287) | (16,372) |
| Expenditures for grants and operations | (150,196) | | (150,196) |
| 2006 budget | | 157,000 | 157,000 |
| Balance—December 31, 2005 | \$ 82,317 | \$ 182,553 | \$ 264,870 |

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Thitikarn Chayrusmeekul

Front Desk Assistant

Suchart Komol

Driver/Office Assistant

Chalermpol Attasara

Driver/Office Assistant

Pannipa Ruamboon

Services Assistant





to this report, and especially the following:

Citizens Network for Foreign Affairs Dimi Cassava Group Initiative for Development and **Equity in African Agriculture**

Mbavala Cassava Association The Nankhaka Cassava Group

MEXICO

Instituto Tecnologico de Oaxaca **Universidad Autonoma** Metropolitana

UNITED STATES

Association of Community Organizations for Reform Now Neighborhood Development Foundation Southern Mutual Help Association

TANZANIA

Agape Children's Village Faraja Trust Mchukwi Hospital **Open University Morogoro University** Rufiji Demographic Surveillance Site University of Dar Es Salaam

Centre for Agricultural Forestry Research and Development **Dakrong District Health Services Hue University of Agriculture and** Forestry

Institute for Social Development **Studies**

Vietnam Museum of Ethnology

ART DIRECTION AND DESIGN:

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YEAR-IN-REVIEW ESSAY: **Tony Proscio**

PHOTOGRAPHY:

Jonas Bendiksen (except p. 49 by Steve McCurry and left photo on p. 55 by Tom Sennett)

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420 Fifth Avenue New York, New York 10018-2702 U.S.A. www.rockfound.org



Return of Private Foundation

or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation Note: The organization may be able to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0052

2005

| г | <u> </u> | liendar year 2005, or tax year beginning | | , 200 | 5, and endin | <u> </u> | | | |
|----------|-----------|---|------------------------------|--|--|-----------------------------------|--|--|--|
| G | Che | eck all that apply: Initial return | Final return | Amended return | Addres | s change | Name change | | |
|) | | Name of organization | | | | A Employ | er identification number | | |
| (| Jse ti | he IRS | | | | 1 | | | |
| | | oel. THE ROCKEFELLER FOUNDAT | 'ION_ | | | 13-1659629 | | | |
| | | rwise, Number and street (or P O box numb | | o street address) | Room/suite | B Telepho | ne number (see page 10 of | | |
| | • | int | | • | | the insti | ructions) | | |
| • | | ype. pecific 420 FIFTH AVENUE | | : | | (21 | 2) 869-8500 | | |
| | | ctions. City or town, state, and ZIP code | | | C If ex | emotion applica | tion is | | |
| • | | | | | | mg, check here reign organizat | ions, check here | | |
| | | NEW YORK, NY 10018-2702 | | | 1 | | tions, check here | | |
| H | Che | eck type of organization: X Section 501 | | oundation | 85 | % test, check h | ere and attach | | |
| Ï | | Section 4947(a)(1) nonexempt charitable trust | Other taxable pr | | co | mputation . | | | |
| i | | | ounting method: X C | | | | status was terminated | | |
| • | | ear (from Part II, col. (c), line | Other (specify) | | | - |)(1)(A), check here | | |
| | - | | column (d) must be on | cash basis.) | | | in a 60-month termination (1)(B), check here | | |
| ŀ | | Analysis of Revenue and Expenses | 1 | | T | | (d) Disbursements | | |
| | | (The total of amounts in columns (b), (c), and | (a) Revenue and expenses per | (b) Net investment | (c) Adjus | | for charitable | | |
| | | (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions).) | books | ıncome | inco | me | purposes | | |
| | 1 | | | | 1 | | (cash basis only) | | |
| | 2 | Contributions, grits, grants, etc., received (attach schedule). Check Fig. 1 the foundation is not required to attach Sch. R. attach Sch. R. | | | | | • | | |
| | 3 | allaci och b | 1,011,752. | 1,011,752 | -† ' | | · | | |
| | 4 | Interest on savings and temporary cash investments Dividends and interest from securities | 96,613,538. | 96,002,309 | | nt I | | | |
| | | Gross rents | | | | | | | |
| | | | 533,250. | 533,250 | ` | - | | | |
| | | Net rental income or (loss) | 255,859,698. | Statement 1A | 1F | D.Free | American 17 | | |
| 3 | oa b | Net gain or (loss) from sale of assets not on line 10 Gross sales price for all assets on line 6a 3,503,964,992. | 200,009,098. | Jaconon IA | + | FUE | EIVEL TOIL | | |
| ij | | | | 289,927,050 | <u> </u> | NOV | 2 4 2006 8 | | |
| 2 | 7 | Capital gain net income (from Part IV, line 2) . | | 203,321,030 | . 8 | 1464 A. | Z 4 ZUUB O | | |
| - | 8 | Net short-term capital gain | | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | | | | | |
| - | 9 10 a | Income modifications · · · · · · · · · · · · · · · · · · · | | | | - og i | DEN, UT | | |
| | | and allowances · · · · | | | · | | | | |
| | | Less Cost of goods sold . | | | 1 | | | | |
| | | Gross profit or (loss) (attach schedule) | _3 464 035 | -9,858,717 | 1 | 2 000 | Statement 2 | | |
| | | Other income (attach schedule) | -3,464,935. | | | 2,000. | | | |
| - | 12 13 | Total. Add lines 1 through 11 | 350,553,303. | 377,615,644 | | Z, UUU. | 1 720 050 | | |
| | | Compensation of officers, directors, trustees, etc | 2,368,635. | 628,785 1,485,879 | | | 1,739,850 10,866,227 | | |
| 3 | | Other employee salaries and wages | 12,352,106. 5,158,794. | <u>1,485,879</u> <u>578,730</u> | | | | | |
| - 1 | | Pension plans, employee benefits | | · · · · · · · · · · · · · · · · · · · | T Statama | nt 3 | 4,580,064 | | |
| 취 | | Legal fees (attach schedule) | 1,836,400. | 344,076 | Ctotomo | | 1,448,269 58,768 | | |
| ו | | Accounting fees (attach schedule) . Other professional fees (attach sche Stmt. 5 | 122,468. | 63,700 | - | 2,000. | 1 1 1 | | |
| } | | ; | 21,848,205. | 16,091,107 | | 2,000. | 7,560,951 | | |
| 3 | | Interest | 1,159,875. | 78,756 | | nent 6 | 1,081,120 | | |
| Ξ1 | | Taxes (attach schedule) (see page 14 of the instructions) | 9,196,559. | 61 375 | | | | | |
| = | | Depreciation (attach schedule) and depletion | 902,570. | 61,375 | | | 0.035.010 | | |
| ξ, | | Occupancy | 2,232,921. | 197,873 | | | 2,035,048 | | |
| =) | | Travel, conferences, and meetings | 1,792,169. | 169,233 | | | 1,622,936 | | |
| n i | | Printing and publications | 461,008. | 24,192 | | | 436,816. | | |
| 3 I | | Other expenses (attach schedule) Stmt. 7 | 5,297,417. | 399,712 | • | | 4,954,614. | | |
| <u> </u> | | Total operating and administrative expenses. | | | | | | | |
| 딁 | | Add lines 13 through 23 Stmt. 8 | 64,729,127. | 20,123,418. | • 3 | 2,000. | 36,384,663 | | |
| - 1 | | Contributions, gifts, grants paid Stmt. 9 | 108,588,905. | | . | | 111,083,354. | | |
| 4 | | Total expenses and disbursements Add lines 24 and 25 | 173,318,032. | 20,123,418. | . 3 | 2,000. | 147,468,017. | | |
| | 27 | Subtract line 26 from line 12 ⁻ | | | 1 | | | | |
| | | Excess of revenue over expenses and disbursements | 177,235,271. | | | | | | |
| | b | Net Investment income (If negative, enter -0-) | | 357,492,226. | | | ************************************** | | |
| - 1 | c | Adjusted net income (if pegative enter -0-). | 1 | | 1 | -n- | | | |

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

Form 990-PF (2005)

5E1410 2 000

| Fo | rm 990 |)-PF (2005) | 13 | -1659629 | | Page 2 |
|-------------------|----------------------|---|-----------------------------|----------------|------------------|-----------------------|
| | art | Attached schedules and amounts in the description column should be for | Beginning of year | | End o | of year |
| _ | | end-of-year amounts only (See instructions) | (a) Book Value | (b) Book Value | | (c) Fair Market Value |
| | 1 | Cash - non-interest-bearing | 6,698,799. | 3,397,6 | 92. | 3,397,692. |
| _ | 2 | Savings and temporary cash investments | 143,766,146. | 143,554,6 | 14. | 143,297,028. |
| | 3 | Accounts receivable360,082. | | | 1 | |
| " | | Less: allowance for doubtful accounts ▶ | 500,326. | 360,0 | 82. | 360,082. |
| | 4 | Pledges receivable | | | 1 | |
| | | Less: allowance for doubtful accounts ▶ | | | | |
| | 5 | Grants receivable | | | | |
| | 6 | Receivables due from officers, directors, trustees, and other | | | | |
| | | disqualified persons (attach schedule) (see page 15 of the instructions) | 3,620. | N. | ONE | NONE NONE |
| | 7 | Other notes and loans receivable (attach schedule) | | | - | |
| | • | Less¹ allowance for doubtful accounts ▶ | | | ļ | |
| ın | 8 | Inventories for sale or use | | | | |
| Assets | 9 | Prepaid expenses and deferred charges | 3,435,373. | 3,516,6 | 35. | 3,516,635. |
| Ass | 10 a | Investments - U S and state government obligations (attach Stmt. 10 | 188,066,449. | 132,698,0 | | 132,326,061. |
| _ | i | Investments - corporate stock (attach schedule) Stmt. 11 | 1,649,222,733. | 1,696,828,1 | | 2,042,948,125. |
| | | Investments - corporate bonds (attach schedule) . Stmt. 12 | 132,915,741. | 62,020,1 | | 60,536,434. |
| | 11 | Investments - land, buildings, and equipment basis Stmt. 13 2,285,462. | 102/310//11: | <u> </u> | <u> </u> | |
| | | less accumulated depreciation (attach schedule) | 1,213,822. | 1,448,2 | aa T | 3,668,930. |
| | 12 | Investments - mortgage loans | 1/215/022. | 1/110/2 | | <u> </u> |
| | 13 | Investments other (ettech schodule) Statement 14 | 731,359,952. | 979,356,0 | 73 | 974,393,298. |
| | 14 | Land, buildings, and Statement 12 | 131,333,332. | | '''' | 314,333,230. |
| | j | equipment. basis Less accumulated depreciation (attach schedule) Statement 15 11,474,128. | 20,855,653. | 19,850,1 | 47 | 50,285,926. |
| | 15 | Other assets (describe Statement 15 | 3,174,626. | 3,360,5 | | 2,827,402. |
| | 16 | Total assets (to be completed by all filers - see page 16 of | <u> </u> | 3,360,3 | / | 2,021,402. |
| | 1'0 | the instructions Also, see page 1, item I) | 2 001 212 240 | 2 046 200 5 | ₂₁ | 3,417,557,613. |
| _ | 17 | Accounts payable and accrued expenses | 11,228,816. | | | <u> </u> |
| | 18 | Grants payable | 86, 967, 016. | | | |
| S | 19 | Deferred revenue | 80, 907, 010. | 02,310,6. | 30. | |
| ÿ | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | [| |
| | 21 | Mortgages and other notes payable (attach schedule) | | | | |
| Ē | 22 | Other liabilities (describe Statement 16) | 23,497,198. | 22,749,5 | , | |
| | | Other habilities (describe P) | 23,437,130. | 22,149,5 | | |
| | 23 | Total liabilities (add lines 17 through 22) · · · · · · · · · | 121,693,030. | 109,635,05 | 50 | |
| | 23 | Organizations that follow SFAS 117, check here ► X | 121,090,030. | 109,633,0 | - | |
| | | and complete lines 24 through 26 and lines 30 and 31. | | | | |
| Ś | | | 2,759,520,210. | 2 026 755 46 | | |
| ž | 24 25 26 27 | Unrestricted | 2,739,320,210. | 2,930,133,40 | 37. | |
| ala | 25 | Temporarily restricted | | | \dashv | |
| B | 26 | - | | - | \dashv | |
| Ē | | Organizations that do not follow SFAS 117, check here and complete lines 27 through 31. | | | | |
| řΕ | 27 | | | | | |
| S | 27 | Capital stock, trust principal, or current funds | | | | |
| set | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | \dashv | |
| Net Assets | 29 | Retained earnings, accumulated income, endowment, or other funds | | | \dashv | |
| et | 30 | Total net assets or fund balances (see page 17 of the | 0.550.500.010 | | . | |
| Z | | instructions) | <u>2,759,520,210.</u> | 2,936,755,48 | 감사 | |
| | 31 | Total liabilities and net assets/fund balances (see page 17 of | | | _ | |
| | | the instructions) | 2,881,213,240. | 3,046,390,53 | 31. | <u> </u> |
| P | art I | Analysis of Changes in Net Assets or Fund I | Balances | | | |
| _ | | <u> </u> | | | | |
| 1 | | net assets or fund balances at beginning of year - Part II, | | | _ [| |
| | | of-year figure reported on prior year's return) | | | | 2,759,520,210. |
| 2 | Ente | r amount from Part I, line 27a | | . <i>.</i> L | 2 | 177,235,271. |
| 3 | Othe | r increases not included in line 2 (itemize) ▶ | | | 3 | |
| | | ines 1, 2, and 3 | | | 4 | 2,936,755,481. |
| | | | | | 5 | |
| 6 | Total | net assets or fund balances at end of year (line 4 minus li | ine 5) - Part II, column (b |), line 30 | 6 | 2,936,755,481. |

| E | art IV Capital Gains | s and Losses for Tax on Inv | estment Income | | | |
|------------|---|--|--|--|--|----------------------------------|
| | • | d describe the kind(s) of property sold orick warehouse or common stock, 200 | • • • | (b) How acquired P-Purchase D-Donation | (c) Date acquired (mo., day, yr) | (d) Date sold (mo , day, yr) |
| a | See Statement 1 Investr | nent Schedule | | | | |
| | | | | | | |
| | | | | | | - |
| e | <u> </u> | | | | | |
| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | | (h) Gain or (lo (e) plus (f) minu | |
| _ <u>a</u> | <u> </u> | | | ļ | <u> </u> | |
| <u>_ b</u> | | | | <u> </u> | | |
| | | | | | | |
| _ <u>d</u> | | | - | - | | |
| _ | | howing gain in column (h) and ow | ned by the foundation on 12/31/69 | | Cara (Cal (b) a | |
| _= | · · · | (j) Adjusted basis | (k) Excess of col. (i) | | Gains (Col (h) ga (k), but not less t | ain minus han -0-) or |
| | (i) F M V as of 12/31/69 | as of 12/31/69 | over col (j), if any | | Losses (from co | |
| a | | | | | | |
| b |) | | | | | |
| | | | | | | |
| _d | <u> </u> | | | ļ | | |
| _ <u>e</u> | | | | | | |
| 2 | Capital gain net income or | · / | gain, also enter in Part I, line 7 (loss), enter -0- in Part I, line 7 | 2 | 000 | 007 050 |
| | | n or (loss) as defined in sections 12 | · · | - | | 927,050. |
| | _ | , line 8, column (c) (see pages 13 | • | | | |
| | If (loss), enter -0- in Part I, | , , , , , | · · · · · · · · · · · · · · · · · · · | 3 | | |
| Р | art V Qualification Ur | nder Section 4940(e) for Red | uced Tax on Net Investment Inc | come | | |
| W | | | ributable amount of any year in the i). Do not complete this part. | base peri | od? | Yes X No |
| 1 | Enter the appropriate am | ount in each column for each year | ; see page 18 of the instructions be | efore mak | ing any entries. | |
| 1 | (a) Base penod years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of nonchantable-use assets | | (d) Distribution ra (col (b) divided by | |
| | 2004 | 171,058,770. | 2,950,492,544. | | | 97634376 |
| _ | 2003 | 172,422,767. | 2,666,463,895. | | 0.064 | 66345459 |
| _ | 2002 | 183,856,084. | 2,797,840,247. | | | 71357468 |
| _ | 2001 | 161,324,162. | 3,203,532,191. | | | 35821474 |
| _ | 2000 | 192,769,897. | 3,636,520,887. | | 0.053 | 00942934_ |
| 2 | Total of line 1 column (d) | | | | 0.001 | 70101711 |
| 3 | | for the 5-year base period - divide | the total on line 2 by 5, or by | - | 0.291 | 72101711 |
| J | | oundation has been in existence if | | 3 | 0.059 | 34420342 |
| | are number of yours are r | odition has been in existence ii | loss than o yours | | 0.030 | 34420342 |
| 4 | Enter the net value of nor | ncharitable-use assets for 2005 fro | m Part X, line 5 | 4 | 3,134 | ,571,075. |
| 5 | 5 Multiply line 4 by line 3 | | | | 182 | ,884,052. |
| 6 | Enter 1% of net investme | 6 | | ,574,922. | | |
| | Add lines 5 and 6 | | | 7 | 186 | ,458,974. |
| 8 | | | | 8 | 148 | ,240,608. |
| | | | d complete that part using a 1% tax rate. See | | | |

| | 990-PF (2005) 13-1659629 | | | | Page 4 |
|---------|---|---------------|-----------|--------------|-------------|
| | t VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see | page 18 of t | he ins | tructi | ons) |
| 1a | Exempt operating foundations described in section 4940(d)(2), check here And enter N/A on line 1 | | | | |
| | Date of ruling letter (attach copy of ruling letter if necessary - see instructions) | | | | |
| _ b | Domestic organizations that meet the section 4940(e) requirements in Part V, check | 1 | <u>7,</u> | 149, | 845. |
| | here and enter 1% of Part I, line 27b | | | | |
| C | All other domestic organizations enter 2% of line 27b Exempt foreign organizations enter 4% of Part 1, line 12, col (b) | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | | | |
| 3 | Add lines 1 and 2 | 3 | 7, | <u>149,</u> | <u>845.</u> |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | | | <u>NONE</u> |
| 5 | Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0 | 5 | 7, | 149, | <u>845.</u> |
| 6 | Credits/Payments: | | | | |
| | 2005 estimated tax payments and 2004 overpayment credited to 2005 6a 6,443,245. | | | | |
| b | Exempt foreign organizations - tax withheld at source | | | | |
| С | Tax paid with application for extension of time to file (Form 8868) 6c 404,000. | | | | |
| d | Backup withholding erroneously withheld | | | | |
| 7 | Total credits and payments. Add lines 6a through 6d · · · · · · · · · · · · · · · · · · | 7 | 6, | <u>847,</u> | <u>245.</u> |
| 8 | Enter any penalty for underpayment of estimated tax. Check here if Form 2220 is attached | 8 | | | |
| 9 | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | 9 | | 302 <u>,</u> | <u>600.</u> |
| 10 | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | 10 | | | |
| 11 | | 11 | | | |
| | t V _{II-A} Statements Regarding Activities | | : | | |
| 1a | , , , | | | Yes | <u>No</u> |
| | It participate or intervene in any political campaign? | • • • • • • • | 1a | | <u>X</u> _ |
| b | Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page | 1 | i I | | |
| | 19 of the instructions for definition)? | | 1b_ | | X |
| | 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 organization in connection with the activities. | | | | ٠ |
| ر. د | Did the organization file Form 1120-POL for this year? | | 1c | | <u> </u> |
| a | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: | | | | |
| | (1) On the organization \$\Bigs\\$ (2) On organization managers \$\Bigs\\$ (3) \qq \qquad | | | | |
| | Enter the reimbursement (if any) paid by the organization during the year for political expenditure tax imposed | ĺ | | | |
| 2 | on organization managers \$ Has the organization engaged in any activities that have not previously been reported to the IRS? | ĺ | 2 | | |
| _ | If "Yes," attach a detailed description of the activities | | | | <u> </u> |
| 3 | Has the organization made any changes, not previously reported to the IRS, in its governing instrument, articles | | | | |
| Ŭ | of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes Sta | tement 18 | 3 | x | ĺ |
| 4a | Did the organization have unrelated business gross income of \$1,000 or more during the year? | • | 4a | X | _ |
| | If "Yes," has it filed a tax return on Form 990-T for this year? | | 4b | Х | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? | | 5 | | х |
| • | If "Yes," attach the statement required by General Instruction T. | | | | |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either | |] | | |
| | By language in the governing instrument, or | ļ | | | |
| | 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 | х | |
| 7 | Did the organization have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), an | | 7 | Х | L |
| 8a | Enter the states to which the foundation reports or with which it is registered (see page 19 of the | Ĭ | | | |
| | Instructions) ► CA, NY, | | 1 | | |
| b | If the answer is "Yes" to line 7, has the organization furnished a copy of Form 990-PF to the Attorney | | | | |
| | General (or designate) of each state as required by General Instruction G? If "No," attach explanation | | 8b | X | |
| 9 | Is the organization claiming status as a private operating foundation within the meaning of section 4942(j)(3) | - | | | " |
| | or 4942(j)(5) for calendar year 2005 or the taxable year beginning in 2005 (see instructions for Part XIV on | | | | |
| | page 26)? If "Yes," complete Part XIV | | 9 | | <u> </u> |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and a | 1 | 10 | | X |
| 11 | Did the organization comply with the public inspection requirements for its annual returns and exemption application | | 11 | X | |
| | Web site address ► WWW.ROCKFOUND.ORG | | | | |
| | The books are in care of ▶ THE ROCKEFELLER FOUNDATION Telephone no. ▶ | 212-869-8 | 500 | | |
| | Located at ▶ 420 FIFTH AVENUE NEW YORK, NY ZIP+4 ▶ 1001 | | | | |
| 13 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here | N/A. | | 🕨 | - 🔲 |
| | and enter the amount of tax-exempt interest received or accrued during the year | | | | |
| | | Fo | m 99 | 0-PF (| (2005) |

| | File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. | | Yes | No |
|-----|---|----|-----|----|
| 1a | During the year did the organization (either directly or indirectly): | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? Yes X No | | | |
| | (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? Statement 19 X Yes No | | | |
| | (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)? Yes X No | | | |
| | (6) Agree to pay money or property to a government official? (Exception. Check "No" | | | |
| | if the organization agreed to make a grant to or to employ the official for a period | | | |
| | after termination of government service, if terminating within 90 days.) Yes X No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations | | | |
| | section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? · · · · · · · · · · · · · · · · · · · | 1b | | Х |
| | Organizations relying on a current notice regarding disaster assistance check here | | | |
| C | Did the organization 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 2005? | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the organization was a private | | 1 | |
| | operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | 1 | |
| а | At the end of tax year 2005, did the organization have any undistributed income (lines 6d | | | |
| | and 6e, Part XIII) for tax year(s) beginning before 2005? Yes X No | |] | |
| | If "Yes," list the years | | | |
| b | Are there any years listed in 2a for which the organization is not applying the provisions of section 4942(a)(2) | | - | |
| | (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) | | | |
| | to all years listed, answer "No" and attach statement - see page 20 of the instructions) | 2b | _N/ | A |
| 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 organization hold more than a 2% direct or indirect interest in any business | | 1 | |
| | enterprise at any time during the year? | |] | |
| Þ | If "Yes," did it have excess business holdings in 2005 as a result of (1) any purchase by the organization | | 1 | 1 |
| | 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) | | 1 | |
| | the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine | . |] | |
| | if the organization had excess business holdings in 2005.) | 3b | _N/ | |
| 4a | | 4a | | X |
| b | Did the organization make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable | 45 | | v |
| _ | purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2005? | 4b | | X |
| 5 a | During the year did the organization pay or incur any amount to: (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? Yes X No | | | |
| | (2) Influence the outcome of any specific public election (see section 4955); or to carry | | 3 | |
| | on directly or indirectly any veter registration draw? | | | |
| | (3) Provide a grant to an individual for travel, study, or other similar purposes? | | 1 | |
| | (4) Provide a grant to an organization other than a charitable, etc., organization described | | - | |
| | in section 509(a)(1), (2), or (3), or section 4940(d)(2)? | | 1 | |
| | (5) Provide for any purpose other than religious, charitable, scientific, literary, or | | | |
| | educational purposes, or for the prevention of cruelty to children or animals? | | | |
| | If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in | | | |
| D | | 5b | 1 | х |
| | Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 20 of the instructions)? | | | |
| _ | Organizations relying on a current notice regarding disaster assistance check here | | 1 | |
| C | tax because it maintained expenditure responsibility for the grant? Statement 9A X Yes No | | 1 | |
| | | | 1 | |
| e - | If "Yes," attach the statement required by Regulations section 53 4945-5(d) | | 1 | |
| оa | Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | | 1 | |
| _ h | Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6ь | 1 | X |
| Š | but the organization, during the year, pay preliminis, directly of municely, on a personal benefit contact. | | | |

Form 990-PF (2005)

| Part VIII Information About Officers, Dire and Contractors | ectors | , Trustees, | Found | lation Ma | nager | s, Highly Paid | Employ | ees, |
|---|-------------|--|----------------------|---------------------------------------|------------------|--|--------------------------|-----------------------|
| 1 List all officers, directors, trustees, foundation | on ma | nagers and t | heir co | mpensati | on (see | page 21 of the | instruct | ions). |
| (a) Name and address | ho | le, and average urs per week ted to position | (c) Co (If not | mpensation paid, enter -0-) | emplo | Contributions to even benefit plans erred compensation | (e) Expension | e account, owances |
| STATEMENT 17 | | · · · | | | | | | - |
| | | | | | | | | |
| | | | | | 1 | | | |
| | | | | · | | | | |
| | | | | | 1 | | | |
| | -,. | | - | | | · · · · · · · · · · · · · · · · · · · | | |
| 2 Compensation of five highest-paid employee | es (oth | er than thos | e inclu | ided on lir | ne 1—s | ee page 21 of th | ne instruc | ctions). |
| If none, enter "NONE." | | 1 | | | | I | <u> </u> | |
| (a) Name and address of each employee paid more than \$50 | .000 | (b) Title and a hours per v devoted to p | week T | (c) Compe | ensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expens other allo | e account, owances |
| CHUN LAI | | ASSOC DIREC | TOR INV | | | | | |
| 420 FIFTH AVENUE, NEW YORK, NY 10018 | | 45 | | 3 | 35,358 | 73,150 | | NONE |
| EDWIN POSTON | | ASSOC DIREC | TOR OF | - | | 62.045 | | NONE |
| 420 FIFTH AVENUE, NEW YORK, NY 10018 | | 45 | | 1 | 04,080 | 63,84 <u>5</u> | <u> </u> | NONE |
| GARY TOENNIESSEN 420 FIFTH AVENUE, NEW YORK, NY 10018 | | DIRECTOR FO | OD SECU | 1 | 24,580 | 67,019 | | NONE |
| MORRIS VOGEL | | DIRECTOR CR | EATIVIT | | 27,500 | 07,012 | | HONE |
| 420 FIFTH AVENUE, NEW YORK, NY 10018 | | 45 | EAIIVII | | 12,757 | 65,396 | | NONE |
| RONALD CHEN | | SENIOR PORT | FOLIO M | NAGER | | | | |
| 420 FIFTH AVENUE, NEW YORK, NY 10018 | | 45 | | 2 | 04,254 | 59,282 | | NONE |
| Total number of other employees paid over \$50,000 | 0 | | | | | | ▶ | 100 |
| 3 Five highest-paid independent contractors fo | or pro | fessional ser | vices– | -(see page | e 21 of | the instructions | s). If none | e, enter |
| "NONE." (a) Name and address of each person paid mo | re than | \$50.000 | | | b) Type o | f service | (c) Comp | ensation |
| WHIPPOORWILL ASSOCIATES | | 200,000 | | INVEST | | | (0) 00 | |
| 630 WEST GERMANTOWN PIKE, PA 19462 | | | | MANAG | | Γ | 2. | 165,192 |
| PATTERSON, BELKNAP, WEBB & TYLER | | | | | | | | |
| 1133 AVENUE OF THE AMERICAS, NEW YORK | NY 1 | 0036 | | LEGAL: | SERVIC | CES | 1, | ,442,421 |
| STATE STREET BANK & TRUST | | | | | | | | |
| 1 LINCOLN STREET, BOSTON, MA 02111 | | | | | | ERVICES | 1. | ,318,830 |
| EMERGING MARKET MANAGEMENT | | | | INVEST | | _ | _ | |
| 10019 19TH ST, N. ARLINGTON, VA 22209 | | | | MANAG | | Γ | 1, | ,027,040 |
| AETOS | | | | INVEST | | r | | 020 567 |
| 875 THIRD AVENUE, NEW YORK, NY 10020 Total number of others receiving over \$50,000 for p | rofees | ional service | | MANAG | | | <u> </u> | 829,567 |
| | | | 3 | · · · · · · · · · · · · · · · · · · · | · · · | | • • • • • | 68 |
| Part IX-A Summary of Direct Charitable A | | | | | | | | |
| List the foundation's four largest direct chantable activities during of organizations and other beneficiaries served, conferences conferences conferences. | ng the ta | x year Include r research papers | elevant s produce | tatistical infor d, etc | mation su | ch as the number | Expe | nses |
| 1 STATEMENT 20 | | | | | | | | |
| | | | | | | | | |
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| 4 | | | | . | | | | |
| | | | | | | | | |

| | 13-1659629 | | Page / |
|--------|--|--|--------------------|
| | rt IX-B Summary of Program-Related Investments (see page 22 of the instructions) | | |
| De | escribe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | | Amount |
| 1 _ | CALVERT SOCIAL INVESTMENT FOUNDATION, INC: IN SUPPORT OF ITS | | |
| 4 | FFORTS TO EXPAND THE FLOW OF PRIVATE CAPITAL TO LOW-INCOME | | |
| | MMUNITIES ACROSS THE U.S. | | 450,000. |
| 2 _ | CENTENARY RURAL DEVLPMENT BANK, LTD: TO SUPPORT ITS EFFORTS | | |
| | TO RAISE THE INCOMES OF POOR SMALLHOLDER FARMERS IN UGANDA | | |
| | WHO GROW CASH CROPS, BY IMPROVING THEIR ACCESS TO CAPITAL | | 200,000. |
| Al | other program-related investments. See page 22 of the instructions | ł | |
| 3 _ | NONE | | |
| | | | |
| | | | |
| Tot | al. Add lines 1 through 3 | . ▶ | 650,000. |
| Pa | Minimum Investment Return (All domestic foundations must complete this part. Forei see page 22 of the instructions.) | gn fou | indations, |
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., | | |
| | purposes: | | |
| а | Average monthly fair market value of secunties | 1a | 3,177,719,107. |
| _ | | 1b | 917,623. |
| С | Average of monthly cash balances Fair market value of all other assets (see page 23 of the instructions) Statement 13 | 1c | 3,668,930. |
| d | Total (add lines 1a, b, and c) | 1d | 3,182,305,660. |
| - | Reduction claimed for blockage or other factors reported on lines 1a and | | 3,182,303,880. |
| _ | 1c (attach detailed explanation) | | |
| 2 | Application indebtedness applicable to the Appeals | 2 | NONE |
| - 3 | Subtract line 2 from line 1d | 3 | NONE 2 102 205 CC0 |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see page 23 | | 3,182,305,660. |
| • | | 4 | 47 724 505 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 47,734,585. |
| 5 6 | Minimum investment return. Enter 5% of line 5 | 6 | 3,134,571,075. |
| | Distributable Amount (see page 23 of the instructions) (Section 4942(j)(3) and (j)(5) priva | | 156,728,554. |
| Pί | foundations and certain foreign organizations check here \blacktriangleright and do not complete this p | | raung |
| 1 | Minimum investment return from Part X, line 6 | 1 | 156 700 554 |
| | | | 156,728,554. |
| 2 a | | | |
| | <u> </u> | | 0.504.000 |
| C 2 | Add lines 2a and 2b | 2c | 9,694,800. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 147,033,754. |
| 4 | recoveries of amounts treated as qualifying distributions | 4 | 1,027,042. |
| 5 | Add lines 3 and 4 | 5 | 148,060,796. |
| 6 - | Deduction from distributable amount (see page 24 of the instructions) | 6 | |
| 7 | Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, | _ | |
| | <u>line 1 </u> | 7 | 148,060,796. |
| Pa | rt XII Qualifying Distributions (see page 24 of the instructions) | | |
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| а | Expenses, contributions, gifts, etc total from Part I, column (d), line 26 | 1a | 147,468,017. |
| b | Program-related investments - total from Part IX-B | 1b | 650,000. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., | | |
| | purposes | 2 | 122,591. |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| а | Suitability test (prior IRS approval required) | 3a | NONE |
| b | Cash distribution test (attach the required schedule) | 3b | NONE |
| 4 | Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 148,240,608. |
| 5 | Organizations that qualify under section 4940(e) for the reduced rate of tax on net investment | | |
| | income. Enter 1% of Part I, line 27b (see page 24 of the instructions) | 5 | NONE |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 148,240,608. |
| | te: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whe qualifies for the section 4940(e) reduction of tax in those years. | ther th | |

Part XIII Undistributed Income (see page 24 of the instructions)

| _ | Distributeble assessed for 0005 for a Det VI | (a) Corpus | (b) Years prior to 2004 | (c) 2004 | (d) 2005 |
|----|--|--|--|---|--------------|
| | Distributable amount for 2005 from Part XI, | Сограз | rears prior to 2004 | 2004 | |
| Ŷ | line 7 | | -1-1-11-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1- | | 148,060,796. |
| 2 | Undistributed income, if any, as of the end of 2004 | | | | |
| | Enter amount for 2004 only | d-t | ····· | | |
| | Total for prior years: | | | | |
| 3 | Excess distributions carryover, if any, to 2005 | | | | |
| | From 2000 13,573,451. | | | | |
| b | From 2001 | | | | |
| С | From 2002 42,184,566. | | | | |
| d | From 2003 38,600,972. | | | | |
| е | From 2004 | | | | |
| f | Total of lines 3a through e | 124,324,777. | -,1-,1-,,,,,,,,,,, | | |
| 4 | Qualifying distributions for 2005 from Part | | | | 1 |
| | XII, line 4 ▶ \$ <u>148,240,608.</u> | | | | |
| а | Applied to 2004, but not more than line 2a | | | | |
| ь | Applied to undistributed income of prior years | | | | |
| | (Election required - see page 25 of the instructions) | | | | |
| c | Treated as distributions out of corpus (Election required - see page 25 of the instructions) | 124,504,589. | | | |
| d | Applied to 2005 distributable amount | | | | 23,736,019. |
| | Remaining amount distributed out of corpus | | | | |
| 5 | Excess distributions carryover applied to 2005 | 124,324,777. | | | 124,324,777. |
| | (If an amount appears in column (d), the same amount must be shown in column (a)) | 12.11.02.11.11.1 | | ************************************** | |
| 6 | Enter the net total of each column as indicated below: | | | | |
| _a | Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 124,504,589. | | ., | **** |
| | Prior years' undistributed income Subtract | | | • | |
| | line 4b from line 2b Enter the amount of prior years' undistributed | 4 | | | |
| | income for which a notice of deficiency has | | | | |
| | been issued, or on which the section 4942(a) | | | | |
| | tax has been previously assessed | | | | |
| d | Subtract line 6c from line 6b Taxable | | | | |
| e | amount - see page 25 of the instructions | | | | |
| | 4a from line 2a Taxable amount - see page 25 of the instructions | | | | |
| • | Undistributed income for 2005 Subtract | | | 4 | |
| • | lines 4d and 5 from line 1. This amount must | | | | |
| | be distributed in 2006 | ************************************** | | *************************************** | |
| 7 | Amounts treated as distributions out of | | | | |
| | corpus to satisfy requirements imposed by section 170(b)(1)(E) or 4942(g)(3) (see page | | | | |
| | 25 of the instructions) | | | | |
| 8 | Excess distributions carryover from 2000 not applied on line 5 or line 7 (see page 25 of | | | | |
| | the instructions) | | | | |
| 9 | Excess distributions carryover to 2006. | | • | | |
| | Subtract lines 7 and 8 from line 6a | 124,504,589. | | | |
| 10 | Analysis of line 9 | | | | |
| | Excess from 2001 NONE | | 1 | | |
| b | Excess from 2002 NONE | | | | |
| С | Excess from 2003 NONE | | | | |
| d | Excess from 2004 NONE | | | | |
| _е | Excess from 2005 124, 504, 589. | | | | |

Form 990-PF (2005)



| | n 990-PF (2005) | | | 13-1 | | | Page 9 |
|-------------|--|---|--|-------------------------------|---------|---------------------------------------|---------------------------|
| Pa | rt XIV Private Oper | ating Foundations | (see page 26 of the | | | | NOT APPLICABL |
| 1 a | If the foundation has rece | eived a ruling or determ | ination letter that it is a p | rivate operating | | | <u> </u> |
| | foundation, and the ruling | g is effective for 2005, e | enter the date of the ruling | 9 | . 🕨 | | |
| b | Check box to indicate who | ether the organization is | a private operating fou | indation described in section | n | 4942(j)(3) or | 4942(J)(5) |
| | Enter the lesser of the | Tax year | | Prior 3 years | | | (a) Tadal |
| | adjusted net income from | (a) 2005 | (b) 2004 | (c) 2003 | | (d) 2002 | (e) Total |
| | Part I or the minimum Investment return from Part | | | | | | |
| | X for each year listed | | | |] | | |
| b | 85% of line 2a | | | | | | |
| С | 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 | | | | | | |
| е | 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 | | | | | | |
| а | "Assets" alternative test - enter | | } | | | | } |
| | (1) Value of all assets | | | | | | |
| | (2) Value of assets qualifying under section | | | | | | |
| h | 4942(j)(3)(B)(i) | | | <u> </u> | | · · · · · · · · · · · · · · · · · · · | |
| b | enter 2/3 of minimum invest- | | İ | | | | İ |
| | ment return shown in Part X, | | | | l | | |
| c | "Support" alternative test - enter | | | | | ··· | |
| • | (1) Total support other than | | | | | | |
| | gross investment income | | | | | | |
| | (Interest, dividends, rents, payments on securities | | | | | | |
| | toans (section 512(a)(5)), or royalties) | | } | | | | |
| | (2) Support from general | | | | | | |
| | public and 5 or more exempt organizations as | | | | | | |
| • | provided in section 4942 ()(3)(B)(iii) | | | | | | |
| | (3) Largest amount of sup- | | | | | | |
| | port from an exempt organization | | | | | | |
| | (4) Gross investment income | | | - | | | |
| Pa | rt XV Supplementa | ary Information (C | omplete this part | only if the organizati | on ha | ad \$5,000 or m | ore in |
| | | · — · · · · · · · · · · · · · · · · · · | | of the instructions.) | | | |
| 1 | Information Regarding | | | o than 20/ of the total | Looni | ributions rocciu | ad by the foundation |
| а | List any managers of t before the close of any | | | | | | ed by the foundation |
| | • | , (= == =, · | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | | | (-)(-) | |
| _ | NONE | the formulation who | 400/ | f the steel of a serie | | - (ar an agually | large postion of the |
| b | List any managers of to ownership of a partners | | | | | | large portion of the |
| | NONE | simp or outer criary) o | Willow all Touridation | Triad a 1070 or ground | | | |
| | HONE | | | | | | |
| 2 | Information Regarding | Contribution, Grant | , Gift, Loan, Scholars | hip, etc., Programs: | | ···· | - |
| | Check here ▶ ☐ if th | e organization only | makes contributions | to preselected chari | table | organizations a | and does not accept |
| | unsolicited requests fo | or funds. If the organ | nization makes gifts, | grants, etc. (see page | 26 | of the instruction | ns) to individuals or |
| | organizations under oth | ner conditions, comple | ete items 2a, b, c, and | d. | | | |
| a | The name, address, an | d telephone number | of the person to who | n applications should be | addr | essed: | |
| | STATEMENT | • | • | •• | | | _ |
| b | The form in which appli | cations should be sul | mitted and informati | on and materials they | should | d include: | |
| | | | | | | | |
| | STATEMENT | 21 | | | | | |
| С | Any submission deadlin | | | | | | |
| | | | | | | | |
| | STATEMENT | 21 | | | | | |
| ď | Any restrictions or lin | nitations on awards, | such as by geogra | aphical areas, charital | ole fie | elds, kinds of i | nstitutions, or other |
| | factors: | · | | | | | |
| | STATEMENT | 21 | | | | | |
| JSA 5E14 | 90 1.000 | | | | | | Form 990-PF (2005) |
| | 72H0Z7 1534 11 | /14/2006 11:39 | :34 V05-8 | | | | 12 |
| | | | | | | | |

Part XV Supplementary Information (continued) Grants and Contributions Paid During the Year or Approved for Future Payment If recipient is an individual show any relationship to any foundation manager or substantial contributor Foundation status of recipient Recipient Purpose of grant or contribution **Amount** Name and address (home or business) Paid during the year SEE STATEMENT #9 111,083,354. ▶ 3a 111,083,354, b Approved for future payment SEE STATEMENT #9 75,485,220.

> 75,485,220. Form **990-PF** (2005)

▶ 3b

Total .

| Enter gro | ss amounts unless otherwise indicated. | Unrela | ted business income | Excluded by | section 512, 513, or 514 | (e) Related or exempt |
|---------------|--|--|---------------------|--------------------------|--|---|
| Progr | am service revenue· | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | function income (See page 26 of the instructions) |
| a _ | PHILANTHROPY WRKSP | | | | | 32,000 |
| b _ | | | | | | |
| c | | | | 1 1 | | |
| d | | | | | | |
| e | | | | | | |
| f | | | | | | |
| _ | ees and contracts from government agencies | | | 1 | | |
| | pership dues and assessments | | | | | |
| | st on savings and temporary cash investments | | | 14 | 1 011 752 | |
| | ends and interest from securities | | | 14 | 1,011,752. | |
| | | | | | 96,613,538. | *F************************************ |
| | ental income or (loss) from real estate: | | | 11 | | |
| a D | ebt-financed property | | | | | |
| | ot debt-financed property | | | 16 | 533,250. | |
| | ntal income or (loss) from personal property . | | | | | |
| 7 Other | investment income | | | | | |
| 8 Gain d | r (loss) from sales of assets other than inventory | 900000 | 5,730,900. | 18 | 250,128,798. | · |
| 9 Net ir | come or (loss) from special events | | | | | |
| 0 Gross | profit or (loss) from sales of inventory | | | | | |
| | revenue: a | | | | | |
| | TAX REFUNDS | | • | 01 | 410,099. | |
| | PRI INTEREST | | | 14 | 70,923. | |
| | LOSS IN INVESTMENT | | | 18 | -3,983,292. | |
| | ROYALTIES | | | 15 | 5,335. | |
| | | | F 720 000 | | | 20.000 |
| | tal. Add columns (b), (d), and (e) | | | | 344,790,403. | 32,000 |
| 3 lotai, | Add line 12, columns (b), (d), and (e) | | | • • • • • • • | 13 | 350,553,303 |
| | sheet in line 13 instructions on page 27 t | | | | | |
| .∠art X | /I-B Relationship of Activities | | | | | |
| Line No. | Explain below how each activity | | | | | |
| ▼ Time (NO. | The accomplishment of the organic | anization's | exempt purposes (ot | her than by | providing funds for s | such purposes). (Se |
| | page 27 of the instructions.) | | | | | |
| .A | THE PHILANTHROPY WORKS | HOP'S M | ISSION IS TO CR | EATE A CO | ORE OF | |
| _ | COMMITTED PHILANTHROPI | STS AND | PROVIDE THEM W | ITH THE S | SKILLS. | |
| | FRAMEWORK AND EXPERIEN | | | | | |
| | ISSUES OF OUR TIME. TH | | | | | |
| - | BY WHICH THE FOUNDATIO | | | | | |
| | OUR EXEMPT PURPOSE OF | | | | | |
| | | ADVANCII | NG IND WELL DEL | NG OF PEC |)PLG | |
| | THROUGHOUT THE WORLD. | | | | | |
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| Forr | n 990-PF | | | | | 13-165962 | | | | ge 12 |
|-----------|--------------------------------|-------------------------------|---------------------|---|-------------------------|--|---------------------------------|--------------|----------|-------------|
| Pa | rt XV | Information Exempt Orga | | Transfers To and | Transaction | s and Relat | ionships With | Noncl | narit | able |
| 1 | Did th | ne organization directly o | r indirectly enga | age in any of the following | with any other o | organization descri | bed in section | | Yes | No |
| | | | | (3) organizations) or in s | - | _ | | | | |
| _ a | | | | noncharitable exempt orga | | • • | | | | |
| | | | - | | | | | 1a(1) | - 1 | v |
| | | | | | | | | | | <u> </u> |
| | | | • • • • • • • • | | | • • • • • • • • | • • • • • • • • • • | . [1a(2)] | | <u> </u> |
| | | r transactions | | _ | | | | Ţŧ | ł | |
| | | | | organization | | | | | | <u>X</u> |
| | | | | exempt organization | | | | | | <u>X</u> |
| | (3) R | tental of facilities, equipm | nent, or other ass | ets | | | | . 1b(3) | | X |
| | (4) R | eimbursement arrangem | ents | | | | | . 1b(4) | | _X |
| | (5) L | oans or loan guarantees | | | . . | | | . 1b(5) | | <u>X</u> |
| | (6) P | erformance of services of | or membership o | r fundraising solicitations | | | | 1b(6) | | X |
| c | | | | other assets, or paid employ | | | | | | Х |
| d | | | | mplete the following schedu | | | | | | |
| | | | | given by the reporting orga | | | | | | |
| | | | | angement, show in column | - | - | | | | |
| | receiv | | or ordining and | arigoritorit, orien in column | (4) (110 14140 01 1 | goods, strict at | 5501.5, 01 55111.655 | | | |
| (a) | Line no | (b) Amount involved | (c) Name of | noncharitable exempt organiz | ration (d) E | Description of transf | ers, transactions, and sh | anno arrar | ngemer | nts |
| | | (4) | (-) | | | | | | | |
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| | | | | | | | | | | |
| 2 a | Is the | organization directly or i | indirectly affiliat | ed with, or related to, one | or more tax-exem | pt organizations | | | | 7 |
| | descri | ibed in section 501(c) of | the Code (other | r than section 501(c)(3)) or | ın section 527? | | | X Ye | s 🖳 | No |
| <u> </u> | If "Yes | s," complete the following | g schedule. | | | ·, - · · · · · · · · · · · · · · · · · · | | | | |
| | | (a) Name of organization | n | (b) Type of orga | nization | | (c) Description of relation | nship | | |
| РΗЦ | ANTHRO | OPIC VENTURES HOLDING | CORPORATION | 501 (C) (2) | | SOLE SHAR | EHOLDER | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
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| | | | | | | | | | | |
| | Under | penalties of perjury, I decl | are that I have e | xamıned this return, includin of preparer (other than taxpay | g accompanying so | chedules and stater | nents, and to the best | of my kn | owledg | ge and |
| I | belief, | it is tros, correct, and comp | Declaration | of preparer (other than taxpay | ver or fiduciary) is be | ised on all information | n of which preparer has a | ny knowie | age | |
| - 1 | | Mum | 1/2- | | | 4/06 | CHEE FIRMACH | nch | G E | |
| ارو | Sı | grature of officer or trustee | 473 | | Date | ············· | Title | <u></u> | | |
| Sign Here | | Y | | | Date | | Preparer's | SSN or | PTIN | |
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| 5 | ner. | Preparer's | Elheru, | une | 11/14/06 | self-employ | ed of the instr | | _ | |
| ဖ | Paid reparer's Jse Only | signature / | <u></u> | | | | | | <u>:</u> | |
| | Paid Preparer's Use Only | Firm's name (or yours if | | TTE TAX LLP | | | EIN ▶ 86-1065 | <u> 112 </u> | | |
| j | _ | self-employed), address, | TWO J | ERICHO PLAZA | | | | | | |
| | | and ZIP code | JERIC | HO | 1 | 1753 | Phone no. 516-9 | | | |
| | | | | | | | F | om 990 | /-PF | (2005) |

The Rockefeller Foundation EIN: 13-1659629 FYE 12/31/2005 Form 990-PF, Part XIII, Line 4c

Election Pursuant to Internal Revenue Code Regulation §53-4942(a)-3(d)(2)

The Rockefeller Foundation hereby elects to treat the current year's qualifying distributions in excess of the immediately preceding year's undistributed income as made out of corpus.

Signed: James Telegram

Excess Distribution Carryover Calculation

| 4(a): | 2005 Qualifying Distributions | - | \$148,240,608 |
|-------|---|----------|----------------------|
| 4(b): | 2005 Qualifying Distributions treated as a Distribution <i>into</i> corpus | - | \$124,504,589 |
| 4(d): | 2005 Qualifying Distributions applied against current year Distributable Amount | | |
| | from 2005 | - | \$ 23,736,019 |
| | | | \$124,324,777 |
| 5: | Excess Distribution Carryover: | | |
| | 12/31/2000: | - | \$13,573,451 |
| | 12/31/2001: | - | \$0 |
| | 12/31/2002: | - | \$42,184,566 |
| | 12/31/2003: | - | \$38,600,972 |
| | 12/31/2004 | - | \$29,965,788 |
| | Excess Distribution Carryover Utilized in 2005 | <u>.</u> | <u>\$124,324,777</u> |
| | 2005 Qualifying Distribut Applied against current y Distributable Amount | | \$ 23,736,019 |

Total 2005 Distributions

2005 Undistributed Income -

\$128,060,796

NONE

THE ROCKEFELLER FOUNDATION Employer ID No. 13-1659629 Form 990-PF – 2005

TABLE OF STATEMENTS

| Statement #1 | Part I, Line 4 – Dividends and Interest from Securities |
|----------------|---|
| Statement #1A | Part I, Line 6(a) - Capital Gains & Losses |
| Statement #2 | Part I, Line 11 – Other Income |
| Statement #3 | Part I, Line 16(a) - Legal Fees |
| Statement #4 | Part I, Line 16(b) – Accounting Fees |
| Statement #5 | Part I, Line 16(c) – Professional Fees |
| Statement #6 | Part I, Line 18 – Taxes |
| Statement #7 | Part I, Line 23 - Other Expenses |
| Statement #8 | Part I, Line 24 – Total Operating and Administrative Expenses |
| Statement #9 | Part I, Line 25 – Contributions, Gifts & Grants Paid & |
| | Part II, Line 18 – Grants Payable |
| | Part XV, Line 3(a) & (b) – Supplementary Information Regarding Grants |
| Statement #9A | Part VII-B, Line 5a(c) - Expenditure Responsibility Grants |
| Statement #9.B | Part I, Line 25 – Supplement to Statement #9: Grants to Individuals |
| Statement #9.C | Part I, Line 25 - Supplement to Statement #9: Fellowships |
| Statement #10 | Part II, Line 10(a) - Investments - U.S. and state government obligations |
| Statement #11 | Part II, Line 10(b) – Investments - Corporate stock |
| Statement #12 | Part II, Line 10(c) - Investments - Corporate bonds |
| Statement #13 | Part II, Line 11 - Depreciable Assets (held for investment) |
| | Part II, Line 14 – Depreciable Assets (Land, etc.) |
| Statement #14 | Part II, Line 13 - Investments - Other |
| Statement #15 | Part II, Line 15 - Other Assets |
| | |

| Statement #16 | Part II, Line 22 - Other Liabilities |
|---------------|---|
| Statement #17 | Part VIII - Compensation of Officers and Trustees |
| Statement #18 | Part VII-A, Line 3 - Statements Regarding Activities - Amended Bylaws |
| Statement #19 | Part VII-B, Line 1a(3) - Furnishing of Goods, Services & Facilities |
| Statement #20 | Part IX-A - Summary of Direct Charitable Activities |
| Statement #21 | Part XV, Line 2(a) – Information Regarding Grant Requests |
| Form 8868 | Application for Extension of Time to File the 990-PF |
| Form 926 | Return by a U.S. Transferor of Property to a Foreign Corporation |
| Form 5471 | Information Return of U.S. Persons With Respect to Certain Foreign Corporations |
| Form 8865 | Return of U.S. Persons with Respect to Certain Foreign Partnerships |

THE ROCKEFELLER FOUNDATION Employer ID No. 13-1659629 Form 990PF - 2005

DETAILS OF DIVIDENDS AND INTEREST FROM SECURITIES Part I, Line 4(a)

| | Column a | Column b | Column c |
|---|--------------|-------------------------------------|----------|
| Interest from Securities Lending Less: Securities Lending Fees Net Interest from Securities Lending | 616.194 | 7,272,351 (6,620,850) 651,501 | |
| Dividends and Interest from Partnerships | 51,463,578 | 51,210,498 | |
| Dividends and Interest from Other Securities | 44,140,310 | 44,140,310 | |
| Interest from Exempt Municipal Bonds | 393,456 | 0 | |
| TOTAL DIVIDENDS AND INTEREST FROM SECURITIES | \$96,613,538 | \$96,002,309 | \$0 |

THE ROCKEFELLER FOUNDATION EMPLOYER ID NO. 13-1659629 SUMMARY FOR CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME FORM 990PF, 2005

| DESCRIPTION | PROCEEDS | COST | GAIN/(LOSS) |
|--|--|---------------|-------------|
| EQUITY. | | | |
| EQUITY: COMMON STOCK | 1,145,971,449 | 1,008,907,830 | 137,063,619 |
| PREFERRED STOCK | 9,846,231 | 6,498,882 | 3,347,349 |
| DEPOSITORY RECEIPTS | 74,330,332 | 60,149,918 | 14,180,414 |
| MUTUAL FUNDS | 342,945,975 | 303,998,617 | 38,947,359 |
| TOTAL EQUITY | 1,573,093,987 | 1,379,555,247 | 193,538,740 |
| FIXED INCOME: | | | |
| US GOVERNMENT AND AGENCY | 1,710,905,831 | 1,710,884,787 | 21,045 |
| MORTGAGES, NOTES AND CONTRACTS | 114,500,369 | 108,728,239 | 5,772,130 |
| MUNICIPAL OBLIGATION | 7,477,370 | 7,510,792 | (33,422) |
| CORPORATE OBLIGATION | 68,450,395 | 76,043,677 | (7,593,282) |
| ZERO COUPON | 15,383,246 | 14,281,530 | 1,101,716 |
| CONVERTIBLE BOND | - | 21,215 | (21,215) |
| SHORT TERM | 22,519,573 | 22,540,837 | (21,263) |
| TOTAL FIXED INCOME | 1,939,236,785 | 1,940,011,075 | (774,291) |
| | | | |
| MISCELLANEOUS: | | | |
| SUNDRY ASSETS | 2,128,834 | 226,162 | 1,902,673 |
| TOTAL MISCELLANEOUS | 2,128,834 | 226,162 | 1,902,673 |
| NET CAPITAL GAIN/LOSS: | 3,514,459,606 | 3,319,792,484 | 194,667,122 |
| 1121 0/11 11/12 0/111/12000. | | | |
| Partnership Capital Gains(Losses) | | | 95,259,928 |
| NET CAPITAL GAIN/LOSS: | | - | 289,927,050 |
| FUTURES FOREIGN EXCHANGE TOTAL MISCELLANEOUS NON TAXABLE | (1,871,119) (8,623,495) (10,494,614) | | |
| Gross Sales Price for all assets Part I on line 6a | 3,503,964,992 | | |

THE ROCKEFELLER FOUNDATION EIN 13-1659629 FORM 990PF 2005 RECONCILIATION OF NET GAIN FROM SALE OF ASSETS TO CAPITAL GAIN

| Net gain or (loss) from sale of assets - Part 1, line 6, column (a) | 255,859,698 |
|---|--------------|
| Less: Partnership Income per Book | (71,666,198) |
| Less: Program Service Investments | (122,311) |
| Add: Partnership Income per K-1's | 95,259,928 |
| Add capital losses on non-taxable items | 10,595,933 |
| Capital Gains and Losses for Tax on Investment Income, Part IV | 289,927,050 |
| Capital gain net income (Part I, line 7, column (b)) | 289,927,050 |

THE ROCKEFELLER FOUNDATION Employer ID No. 13-1659629 Form 990PF-2005

Page 1, Line 11: Other Income

| | Column a | Column b | Column c | Exclusion code |
|--|---------------|--|----------|----------------|
| Partnership ordinary, other portfolio and other income Other deductions relating to portfolio income per K-1s Net Partnership earnings other than interest, dividends and capital gains/(losses) | _* _* | 7,554,204 (17,489,179) (9,934,975) | | 14/16 14/16 |
| Loss on Investment in Philanthropic Ventures Holding Corp | (3,650,000) | | | N/A |
| Loss on Investment in Origin, Inc. | (333,292) | | | N/A |
| Royalties | 5,335 | 5,335 | | 15 |
| Programmatic investments loan interest | 70,923 | 70,923 | | 14 |
| Philanthropy Workshop fee income | 32,000 | | 32,000 | N/A |
| Tax refunds | 410,099 | | | 01 |
| TOTAL OTHER INCOME | (\$3,464,935) | (\$9,858,717) | \$32,000 | |

^{*} Otherwise reflected in Line 6 for Column (a) purposes.

| | TOTAL (Column A) | ATTRIBUTABLE TO INVESTMENT INCOME (Column B) | ADJUSTED NET INCOME (Column C) | DISBURSEMENTS FOR CHARITABLE PURPOSES (Column D) |
|--|--|--|--------------------------------------|--|
| | | | | Statement #3 |
| D., D. II. W. I. D. II. (2011) | LEGAL FEE | | | |
| Patterson, Belknap, Webb & Tyler (PBW&T) | 1,442,421 | 21,877 | • | 1,418,188 |
| Paul, Weiss, Rifkind, Wharton Proskauer Rose LLP | 192,644 | 163,747 | - | - |
| Morrison & Foerster LLP | 115,689 | 115,689 | • | 1 270 |
| Schulte, Roth & Zabel | 1,379 | 24,512 | - | 1,379 |
| Fragomen, Del Rey, Bernsen & Loewy, PC | 24,512 14,947 | 24,312 | - | 14.047 |
| Testa, Hurwitz & Thibeault | · | 25,971 | - | 14,947 |
| Porden Lander Gervais | 30,554 | 25,971 | • | - 1 217 |
| | 1,317 | • | • | 1,317 |
| Walker Kontos | 3,941 | - | - | 3,941 |
| Raffman Dhanji Elms & Virdee Advocates | 5,523 | - | - | 5,523 |
| Githaiga & Co Advocates | 2,649 | - | - | 2,649 |
| Other firms (under \$600 each) | 824 | 499 | - | 325 |
| Less Professional Fees Allocated to UBIT** | | (8,219) | | |
| Total legal fees | 1,836,400 | 344,076 | | 1,448,269 |
| Total Professional Fees allocated against UBIT - \$44,055. | A CCOLDMINIC I | 70 TO C | | Statement #4 |
| Deloitte & Touche LLP | ACCOUNTING I | | | 50.770 |
| Total accounting fees | 122,468 | 63,700 63,700 | | 58,768 |
| Total accounting fees | 122,468 | 03,700 | | 58,768 |
| | | | | |
| | | | | Statement #5 |
| | OTHER PROFESSION | | | |
| Consultants | 1,775,426 | 137,978 | 32,000 | 1,605,447 |
| Custodians & Investment Managers | 1,775,426 17,083,511 | | 32,000 | 1,605,447 675 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) | 1,775,426 | 137,978 17,082,836 | 32,000 - - | 1,605,447 675 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) | · | 1,605,447 675 5,954,829 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) | 1,775,426 17,083,511 | 137,978 17,082,836 | 32,000 - - - - 32,000 | 1,605,447 675 5,954,829 7,560,951 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) | · | 1,605,447 675 5,954,829 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Fotal other professional fees | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) | · | 1,605,447 675 5,954,829 7,560,951 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) | · - | 1,605,447 675 5,954,829 7,560,951 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) | · - | 1,605,447 675 5,954,829 7,560,951 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Fotal other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) | · - | 1,605,447 675 5,954,829 7,560,951 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Fotal other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes | 1,775,426 17,083,511 2,989,268 21,848,205 TAXES 6,651,604 2,544,955 | 137,978 17,082,836 - (1,129,707) | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Fotal other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes | 1,775,426 17,083,511 2,989,268 21,848,205 TAXES 6,651,604 2,544,955 | 137,978 17,082,836 - (1,129,707) 16,091,107 | · - | 1,605,447 675 5,954,829 7,560,951 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes Total taxes Computer Operations (hardware leases, software, | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) 16,091,107 | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes Total taxes Computer Operations (hardware leases, software, development, data communications, supplies, etc.) | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) 16,091,107 | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes Total taxes Computer Operations (hardware leases, software, development, data communications, supplies, etc.) Furniture & Equipment (leases, purchases, etc.) | 1,775,426 17,083,511 2,989,268 - 21,848,205 TAXES 6,651,604 2,544,955 9,196,559 OTHER EXPEN | 137,978 17,082,836 - (1,129,707) 16,091,107 | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes Total taxes Computer Operations (hardware leases, software, development, data communications, supplies, etc.) Furniture & Equipment (leases, purchases, etc.) | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) 16,091,107 | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes Total taxes Computer Operations (hardware leases, software, development, data communications, supplies, etc.) Furniture & Equipment (leases, purchases, etc.) Office Expenses (supplies, stationery, postage, other) | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) 16,091,107 | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes Total taxes Computer Operations (hardware leases, software, development, data communications, supplies, etc.) Furniture & Equipment (leases, purchases, etc.) Office Expenses (supplies, stationery, postage, other) Sundries (insurance, memberships, training, staff | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) 16,091,107 | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 Statement #7 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees 2005 Federal excise tax payments Federal, NYS, and other state UBTI taxes Total taxes Computer Operations (hardware leases, software, development, data communications, supplies, etc.) Furniture & Equipment (leases, purchases, etc.) Office Expenses (supplies, stationery, postage, other) Sundries (insurance, memberships, training, staff functions, other) | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) 16,091,107 - - - - - - - - - - - - - - - - - - - | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 Statement #7 |
| Custodians & Investment Managers Foundation Administered Projects (Consultants) Consulting Fees Allocated to UBIT Total other professional fees | 1,775,426 17,083,511 2,989,268 | 137,978 17,082,836 - (1,129,707) 16,091,107 - - - - - - - - - - - - - - - - - - - | · - | 1,605,447 675 5,954,829 7,560,951 Statement #6 |

The Rockefeller Foundation

EIN#: 13-1659629 FYE: 12/31/2005

Additional disclosure regarding Form 990PF, Part I, Line 24

The amounts on Part I, Line 24 constitute The Rockefeller Foundation's accounting of Operating and Administrative Expenses for the tax year ending December 31, 2005 as defined under the instructions for this form. The Management of the Foundation believes a more meaningful representation of that accounting is to state that Grantmaking and Program Support constitute 73.2% of the amount of Line 24, Column a (column a includes all expenses) and 82.4% of Line 24 Column d (column d excludes investment expenses).

THE ROCKEFELLER FOUNDATION

EIN: 13-1659629 FYE: 12/31/2005

Form 990-PF, Grants and Expenditures

Payments made to those grantees listed in this attachment over which the Foundation exercises expenditure responsibility are separately listed in Statement 12.A. all other grantee organizations listed in this attachment are, to the best of our knowledge, organizations described in IRC 509(a)(1), (2), (3).

This attachment includes grants made directly to individuals. These grantees are also separately listed in Statement 12.B. In addition, payments for general fellowships are itemized in Statement 12.C. To the best of our knowledge, no person who was a recipient of an individual award from the Foundation was related by blood, marriage, or adoption, or is empolyed by any person having an interest in The Rockefeller Foundation, such as a creator, donor, trustee, or officer.

Statement #9 (Summary)

THE ROCKEFELLER FOUNDATION

Employer ID No. 13-1659629 Form 990PF - 2005, Part XV

| | | | 1 01111 // 01 1 | 2000, 1 41 t 21 | · · | | |
|-----------------------------------|--------------------|-----------------------------|----------------------|-----------------|---------------------------------------|--|--------------------------------------|
| | Unexpended balance | Net gra | ints approved in 200 | 05 | Contributions, gifts, grants net - | Contributions, gifts, grants paid - | Grants payable - Part II, line 18 |
| | on 1/1/05 | Grants approved | reversions | lapses | Part I, line 25 Column A | Part I, line 25 Column D | Column (b) |
| STATEMENT #9 | | | | | | | |
| Africa Regional Program | \$8,341,304 | \$10,612,864 | \$0 | \$55,092 | \$10,557,772 | \$10,786,532 | \$8,112,544 |
| African Initiatives | 14,500 | | • | 254,126 | (254,126) | (325,220) | 85,594 |
| Agricultural Sciences | 128,207 | | - | 13,503 | (13,503) | 40,118 | 74,586 |
| Arts & Humanities | 30,400 | | - | 19,502 | (19,502) | 10,898 | • |
| Assets & Capacities | 5,580,033 | 3,442,230 | 18,049 | 82,317 | 3,341,864 | 4,363,828 | 4,558,069 |
| Building Democracy | • | | - | - | - | - | • |
| Creativity & Culture | 6,019,450 | 13,465,982 | - | 2,253 | 13,463,729 | 8,046,840 | 11,436,339 |
| Equal Opportunity | - | | - | 8,838 | (8,838) | (8,838) | - |
| Food Security | 17,655,975 | 22,734,066 | 500,000 | 120,101 | 22,113,965 | 23,059,895 | 16,710,046 |
| Global Inclusion | 4,715,625 | 5,936,650 | 50,000 | (104,021) | 5,990,671 | 5,953,269 | 4,753,027 |
| Health Equity | 22,131,272 | 8,886,920 | 46,146 | 208,143 | 8,632,631 | 17,951,203 | 12,812,700 |
| Health Sciences | 9,852 | | - | 21,789 | (21,789) | (21,789) | 9,852 |
| North America Regional Program | 1,036,725 | 2,571,670 | - | 11 | 2,571,659 | 2,303,856 | 1,304,528 |
| Population Sciences | 308,663 | | - | 51,849 | (51,849) | 68,258 | 188,556 |
| Regional Activities | - | | - | - | - | | - |
| Southeast Asia Regional Program | 4,636,261 | 7,219,217 | - | - | 7,219,217 | 5,250,638 | 6,604,840 |
| Special Programs | 9,355 | | • | 19,855 | (19,855) | (10,500) | • |
| Understanding Development | 531,550 | | | - | - | 194,466 | 337,084 |
| Working Communities | 5,904,546 | 28,029,680 | 210,000 | 12,715 | 27,806,965 | 25,267,025 | 8,444,486 |
| Foundation-operated Programs | \$0 | 7,241,586 | | | 7,241,586 | 7,241,586_ | |
| | 77,053,717 | 110,140,865 | 824,195 | 766,073 | 108,550,597 | 110,172,063 | 75,432,251 |
| STATEMENT #9.C | | | | | | | |
| General Fellowships | 116,123 | 50,492 | (234) | 12,418 | 38,308 | 101,461 | 52,970 |
| TOTAL | \$77,169,840 | \$110,191,357 | \$823,962 | \$778,491 | 108,588,905 | \$110,273,524 | \$75,485,220 |
| ADD: Refunds of grant amounts tre | ated as qualifying | ng distributions in prior y | ears. | | | 809,830 | |
| Total | - • | - | | | \$108,588,905 | \$111,083,354 | |
| | | | | | | | |

Recoveries of amounts treated as qualifying distributions:

| Part XI, line 4 | \$1,027,042 |
|---|-------------|
| PRI principal repayments | 130,763 |
| Refund of prior year expenses (Part1Line23) | 86,449 |
| Grant Refunds (above) | 809,830 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Southern African Development Community Private Bag 0095 Gaborone, Botswana for the costs of training staff of national statistical/census offices, universities and other institutions of higher learning in the countries of the Southern African Development Community on census and spatial data analysis BURKINA FASO | 235,910.00 | 0.00 | 198,899.67 | 37,010.33 | 0.00 | 0.00 |
| University of Ouagadougou 03 BP 7118 Ouagadougou, 03 Burkina Faso for use by its Research and Training Unit in Demography toward the costs of its project to improve the evidence-base for Interventions to address education and health inequities in Ouagadougou | 122,000.00 | 0.00 | 122,000.00 | 0.00 | 0.00 | 0.00 |
| ENGLAND Link Community Development Unit 39, Kings Exchange Business Village Tileyard Road N7 9AH London, England | | | | | | |
| In support of its project to develop and implement a system of information management in education in Uganda | 110,253.00 | 0.00 | 110,253.00 | 0.00 | 0.00 | 0.00 |
| in support of its project to develop and implement a system of information management in education in Uganda | 0.00 | 380,000.00 | 0.00 | 0.00 | 0.00 | 380,000.00 |
| FRANCE | | | | | | |
| United Nations Educational, Scientific and Cultural Organization 7-9 rue Eugene-Delacroix 75116 Parls, France | | | | | | |
| for use by its international institute for Educational Planning toward the costs of the activities of the Association for the Development of Education in Africa, in particular for its working groups on non-formal education, on books and learning materials and on early childhood development | 80,000.00 | 0.00 | 80,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its International Institute for Educational Planning toward the costs of the activities of the Association for the Development of Education in Africa, which promotes information exchange, mutual learning and cooperation between African ministries of education and donor organizations | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |



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PROGRAM COUNTRY UNEXPENDED NET **LAPSES** REVERSIONS UNEXPENDED **EXPENDITURES US STATE** BALANCE (incl. cancs (incl. cancs BALANCE Grantee Name(s) - Person(s) or Institution(s) AS OF **APPROVED** AS OF & recens) & recens) AS OF Dec-2005 Purpose 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 --------------------------------....... AFRICA REGIONAL PROGRAM . **GHANA** Association of African Universities African Universities House Aviation Road Extension, Airport Residential Area PO Box 5744 Accra-North, Ghana 15,000.00 15,000.00 0.00 0.00 0.00 0.00 toward the costs of a project to examine its role in enhancing bandwidth access for higher education institutions in Africa Forum for African Women Educationalists, Ghana Chapter P O. Box C1217 Cantonments Accra, Ghana toward the costs of institutionalizing its activities in girls' education in Ghana into national, regional and district 482,622,00 0.00 160,874.00 0.00 0.00 321,748.00 education programs and policies INDEPTH Network 9 Adenkum Loop, Kanda P.O. Box KD 213 Accra, Ghana 0.00 500,000.00 257.850.00 0.00 0.00 242,150.00 toward the costs of designing and implementing a process, through a multidimensional platform, to enhance the evaluation of its research on health interventions and to inform policymakers 0.00 62,100.00 62,100.00 0.00 0.00 0.00 toward the costs of developing a generic resources kit for its demographic surveillance sites, which are set up in resource-constrained countries to gain a better understanding of population dynamics KENYA AfnAfya AMREF KCO Building, Wilson Airport P.O. Box 27576 Narrobi, 00506 Kenya 0.00 65,000.00 toward the costs of strengthening community-based information systems for increased access to and utilization 150,000.00 0.00 85,000.00 0.00 of Information for development in Kenya toward the costs of strengthening health management information systems by ensuring linkages to 0.00 250,000.00 0.00 0.00 0.00 250,000.00 community-based information to improve health care provision in Kenya

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose AFRICA REGIONAL PROGRAM KENYA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|---------------------------------------|--|--|
| African Economic Research Consortium, Inc. Third Floor, Middle East Bank Towers Building Millmani Road PO Box 62882 Nairobi, 00200 Kenya | | | | | | |
| In general support of its mission to strengthen local capacity for conducting independent, rigorous inquiry into the problems facing the management of economies in sub-Saharan Africa | 480,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 480,000.00 |
| toward the costs of an Africa-based collaborative Ph.D. program to strengthen teaching, research and economic policy capacity on the continent | 426,000.00 | 0.00 | 213,000.00 | 0.00 | 0.00 | 213,000.00 |
| African Medical and Research Foundation P.O. Box 27691 Langata 00506 Nairobi, Kenya In support of a project to develop a functional model for an improved and sustainable community-based health management information system in the Kitul and Makueni districts of Kenya | 0.00 | 258,310.00 | 132,757.00 | 0.00 | 0.00 | 125,553.00 |
| African Population and Health Research Centre, Inc Shelter Afrique, 2nd Floor P.O. Box 10787 00100 GPO Nairobi, Kenya | | | | | | |
| In support of a project to assess the social, health and economic contexts of HIV/AIDS in two poor urban communities in Nairobi, Kenya, by strengthening the Nairobi Urban Demographic and Health Surveillance System | 0.00 | 479,600.00 | 204,721.00 | 0.00 | 0.00 | 274,879.00 |
| toward the costs of implementing the Nairobi Urban Health and Demographic Surveilliance System, a tool for monitoring and evaluating the impact of various health interventions designed to improve the well-being of the urban poor | 686,813.00 | 0.00 | 465,914.00 | 0.00 | 0.00 | 220,899.00 |
| African Virtual University 71 Maalim Juma Road, Kilimani PO Box 25405 Nalrobl, Kenya | | | | | | |
| toward the costs of implementing a pilot bandwidth buying consortium to negotiate a volume discount for 12 higher-education institutions in Africa | 0.00 | 1,269,627.00 | 455,510.00 | 0.00 | 0.00 | 814,117.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose #################################### | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| David Obura Coral Reef Degradation in the Indian Ocean P.O Box 10135 Mombasa, Kenya to enable him to conduct postdoctoral research with the Coral Reef Degradation in the Indian Ocean program, on the use of participatory monitoring and research as ways of enhancing conservation of coastal resources in Kenya | 24,800.00 | 0.00 | 24,800.00 | 0.00 | 0.00 | 0.00 |
| Dorcas K. Isutsa Department of Horticulture Egerton University P.O Box 538 Njoro, Kenya to enable her to conduct postdoctoral research at Egerton University on the micropropagation and field performance of passion fruit in Kenya | 818.87 | 0.00 | 0.00 | 818.87 | 0.00 | 0.00 |
| Egerton University P.O. Box 536 Njoro, 20107 Kenya for a planning grant to integrate the results of projects on improving English literacy proficiency and on sexual | 0.00 | 0.00 | -432.49 | 432.49 | 0.00 | 0.00 |
| maturation into teacher education and primary schools in Kenya toward the costs of a collaborative project with Maseno University to produce reading materials on growing up and sexual maturation for school children in Kenya, and to produce two scholarly books on the same topic | 0.00 | 60,000.00 | 60,000.00 | 0.00 | 0.00 | 0.00 |
| Forum for African Women Educationalists P.O Box 21394-00505 Nairobi, Kenya as final general support of its mission to increase access to schooling for poor and marginalized girls | 760,000.00 | 0.00 | 760,000.00 | 0.00 | 0.00 | 0.00 |
| Forum for African Women Educationalists, Kenya Chapter P.O. Box 52597-00200 City Square Nairobi, Kenya toward the costs of implementing phase three of its project to create awareness among stakeholders about the impact of sexual maturation on school attendance and performance in the Nairobi and Bondo districts of Kenya, and to scale up interventions tested in phases one and two | 0.00 | 155,000.00 | 0.00 | 0.00 | 0.00 | 155,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AFRICA REGIONAL PROGRAM KENYA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Forum for Organic Resource Management and Agricultural Technologies P O Box 79 Village Market 00621 Nalrobi, Kenya toward the costs of improving a Web site, www.questafrica.org, that provides access to information on primary education in Africa and offers opportunities for information sharing among partners of the Quality Education for Social Transformation program in Kenya, Uganda and Zimbabwe | 0.00 | 20,960.00 | 0.00 | 0.00 | 0.00 | 20, 96 0.00 |
| Institute of Policy Analysis and Research, Limited 2nd Floor, Norfolk Towers Kijabe Street/Harry Thuku Road Junction P.O. Box 45843 GPO 00100 Nalrobi, Kenya toward the costs of strengthening Kenya's Local Authorities Service Delivery Action Plan, created to Improve service delivery in Kenya's urban slum communities | 121,350.00 | 0.00 | 71,000.00 | 0.00 | 0.00 | 50,350.00 |
| International Centre for Research in Agroforestry United Nations Avenue, Gigiri P O. Box 30677 Nalrobl, 00100 Kenya In support of a fellowship program designed to build the scientific and leadership skills of African women scientists in the national agricultural research institutes of Kenya, Uganda and Tanzania | 0.00 | 470,000.00 | 201,810.00 | 0.00 | 6.00 | 268,190.00 |
| International Livestock Research Institute Old Naivasha Road P.O Box 30709 Nairobi, 00100 Kenya | | | | | | |
| for a project to utilize the Kenyan poverty mapping results to explore interactions between poverty and natural resource management | 110,000.00 | 0.00 | 110,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of a project that will demonstrate the effective use of poverty maps in designing and targeting pro-poor interventions across different sectors in East Africa | 0.00 | 250,000.00 | 0.00 | 0.00 | 0.00 | 250,000.00 |
| toward the costs of a project to develop training resources for effective teaching of biometry at universities in sub-Saharan Africa | 0.00 | 70,000.00 | 70,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose STATE | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Jacaranda Designs Limited P.O. Box 76691 Nalrobi, 00508 Kenya toward the costs of its project to publish a monthly educational newspaper for upper primary pupils and out-of-school children in Kenya, Uganda, Tanzania and southern Sudan | 0.00 | 600,000.00 | 169,000.00 | 0.00 | 0.00 | 431,000.00 |
| Judith Awino Otieno P.O. Box 10017 Nairobi, Kenya toward the costs of a research project on the causes of high dropout rates among girls in primary school in Marigat Division, Baringo District, Kenya | 454 .00 | 0.00 | 0.00 | 0.00 | 0.00 | 454.00 |
| Kenya Education Network Trust University of Nairobi The Jomo Kenyatta Memorial Library Local Project Offices (LPO),1st Floor P.O. Box 30244 Nairobi, 00100 Kenya in support of a project to acquire and provide effective management of faster and more affordable bandwidth to a | 0.00 | 105,000.00 | 0.00 | 0.00 | 0.00 | 105,000.00 |
| consortium of public and private universities in Kenya Kenya National Academy of Sciences P. O. Box 39450 Parklands 00623 Nalrobl, Kenya toward the costs of a national workshop on the role of science and technology capacity in achieving the | 0.00 | 16,500.00 | 16,500.00 | 0.00 | 0.00 | 0.00 |
| Millennium Development Goals, held in Nairobi, October 2005 Kenyatta University P.O. Box 43844 00100 GPO Nairobi, Kenya | | | | | | |
| toward the costs of its project to improve the quality of primary education through the promotion of English literacy interventions in Kenya Ministry of Education, Science and Technology, Kenya P.O. Box 30040 Nairobi, Kenya | 0.00 | 578,616.00 | 578,616.00 | 0.00 | 0.00 | 0.00 |
| for use by its Kenya National Examinations Council for a project to monitor and assess the implementation of free primary education in Kenya by tracking enrollment and attendance patterns of pupils in Kenyan primary schools | 80,300.00 | 0.00 | 38,500.00 | 0.00 | 0.00 | 41,800.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AFRICA REGIONAL PROGRAM KENYA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Moi University P. O. Box 3900 Eldoret, 30100 Kenya toward the costs of a joint project with Indiana University and the World Health Organization to implement the Academic Model for the Prevention and Treatment of HIV/AIDS electronic medical records system in six sites in Tanzania and Uganda to test its applicability as a critical tool for the scale-up of patient care and follow-up in the battle against HIV/AIDS in these countries | 0.00 | 450,000.00 | 132,274.00 | 0.00 | 0.00 | 317,726.00 |
| Peter K. Gathumbi Department of Veterinary Pathology University of Nairobi P.O Box 29053 Nairobi, Kenya to enable him to conduct postdoctoral research at the University of Nairobi on the efficacy and safety of medicinal plant extracts used to treat East Coast fever in Kenya | 180.24 | 0.00 | 0.00 | 180.24 | 0.00 | 0.00 |
| Thomas F. Nyaki Thoruwa Appropriate Technology Centre Kenyatta University P.O. Box 43844 Nairobi, Kenya to enable him to conduct postdoctoral research at Kenyatta University on the development and testing of a solar-blomass drier for pyrethrum in Kenya | 6,000.00 | 0.00 | 6,000.00 | 0.00 | 0.00 | 0.00 |
| Tropical Institute of Community Health and Development in Africa Off Tom Mboya Drive, Milimani Area P.O. Box 2224 Kisumu, Kenya In support of a project to develop and test models for improved district health systems in Kenya | 0.00 | 173,500.00 | 107,500.00 | 0.00 | 0.00 | 66,000.00 |
| Wairimu Muita P.O. Box 67357 00200 Nairobi, Kenya to enable her to conduct postdoctoral research at Population Communication Africa on sexuality socialization among pre-teenage girls in Kenya | 6,000.00 | 0.00 | 5,867.44 | 132.56 | 0.00 | 0.00 |



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PROGRAM COUNTRY UNEXPENDED NET LAPSES REVERSIONS UNEXPENDED **EXPENDITURES US STATE** BALANCE (incl. cancs (incl. cancs **BALANCE** Grantee Name(s) - Person(s) or Institution(s) AS OF **APPROVED** AS OF & recens) & recens) AS OF Dec-2005 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 ====== ======== ------**AFRICA REGIONAL PROGRAM SOUTH AFRICA** Council on Higher Education Didacta Building 211 Skinner St. P O. Box 13354, The Tramshed, 0126 South Africa 57,509,50 0.00 57,509.50 0.00 0.00 0.00 toward the costs of a project to initiate and institutionalize a triennial review of South African higher education Tertiary Education Network House Vincent, Wynberg Mews 10 Brodie Road Wynberg, 7800 South Africa 0.00 156,100.00 37,600,00 0.00 0.00 118,500,00 toward the costs of implementing a training program to improve bandwidth management capacities in selected African universities University of Cape Town Private Bag, Rondebosch 7701 Cape Town, South Africa 236,508.00 0.00 118,139,00 for two components of its University Science, Humanities and Engineering Partnership in Africa - the program 0.00 118,369.00 0.00 administration costs of its central office and its program in intellectual property 0.00 0.00 0.00 387,990.00 toward the costs of expanding its program, University Science, Humanities and Engineering Partnerships in 387,990.00 0.00 Africa, into the area of food security toward the costs of its African Gender Institute's associates program to strengthen resources for gender equity 92,000.00 0.00 92,000.00 0.00 0.00 0.00 University of the Western Cape Private Bag X17 Bellville, 7535 South Africa for use by its School of Public Health for a pilot study that will assist the Tanzanian Ministry of Health to enhance 295,000.00 0.00 134,092.00 0.00 160,908.00 0.00 its health information system by conducting routine waiting-time and quality-of-care surveys in health care facilities for use by its School of Public Health toward the costs of developing an integrated health information system and 214,250.00 0.00 107,250.00 0.00 0.00 107,000.00 an equity resource allocation tool that will be sustainable and assist in improving health services in sub-Saharan Africa

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AFRICA REGIONAL PROGRAM TANZANIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Amos Enock Majule Institute of Resources Assessment University of Dar es Salaam P.O. Box 35097 Dar es Salaam, Tanzania to enable him to conduct postdoctoral research at the University of Dar es Salaam on restoring soil fertility in cashew producing areas of Southern Tanzania | 6,000.00 | 0.00 | 6,000.00 | 0.00 | 0.00 | 0.00 |
| Sokoine University of Agriculture P.O. Box 3000 Chuo Kikuu Morogoro, Tanzania toward the costs of its project to generate information for food and nutrition planning and policymaking in Tanzania | 172,846.00 | 0 00 | 86,423.00 | 0.00 | 0.00 | 86,423.00 |
| University of Dar es Salaam P O Box 35091 Dar es Salaam, Tanzania toward the costs of establishing a fund to encourage within its faculties innovations that conceptualize and pilot | 300,000.00 | 0.00 | 300,000.00 | 0.00 | 0.00 | 0.00 |
| new ways of supporting the national framework for poverty reduction UGANDA | | | | | | |
| Economic Policy Research Centre Plot 51 Pool Road, Makerere University P.O. Box 7841 Kampala, Uganda | | | | | | |
| toward the costs of a scoping study to assess the effectiveness of delivery systems for HIV/AIDS therapy in Uganda | 0.00 | 0.00 | -1,023.56 | 0.00 | 0.00 | 1,023.56 |
| toward the costs of further development of the Local Government Information Communication System, created to enhance integrated planning at the district level in Uganda | 145,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 145,000.00 |
| Forum for African Women Educationalists, Uganda Chapter P.O. Box 24117 Kampala, Uganda | | | | | | |
| toward the costs of bridging the gender gap in girls' education in Uganda by increasing the retention, performance and achievement of primary school pupils, especially girls, in five districts | 175,595.00 | 0.00 | 58,263.00 | 0.00 | 0.00 | 117,332.00 |



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PROGRAM COUNTRY UNEXPENDED NET LAPSES REVERSIONS UNEXPENDED **EXPENDITURES US STATE** BALANCE (incl. cancs (incl. cancs BALANCE AS OF Grantee Name(s) - Person(s) or institution(s) AS OF **APPROVED** & recens) & recens) AS OF Dec-2005 Purpose 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 ------======= ------======= ______ AFRICA REGIONAL PROGRAM UGANDA Makerere University P O. Box 7062 Kampala, Uganda for use by its Faculty of Technology toward the costs of developing a prototype machine to produce sanitary 26,000.00 0.00 26,000.00 0.00 0.00 0.00 pads that are affordable to poor school girls for use by its institute of Public Health toward the costs of building capacity for evidence-based planning and 0.00 300,000,00 140,000.00 0.00 0.00 160.000.00 management at the district level to foster a better and more accurate understanding of a total population's health, thus allowing resources to be allocated where needs are greatest for use by its Makerere institute of Social Research toward the costs of a project to improve the quality of primary 0.00 855.446.00 855,446,00 0.00 0.00 0.00 education in Uganda through increased retention, improved literacy and learner-friendly schools for use by its Margaret Trowell School of Industrial and Fine Arts toward the continuing costs of a project that 0.00 65,000.00 65,000 00 0.00 0.00 0.00 will document skills and methods for training children in reading and writing at the lower primary school level in Uganda In support of a study to determine the economic consequences of malaria on rural households in Uganda 49,423.00 0.00 0.00 0.00 0.00 49,423.00 toward the costs of disseminating the findings of a study on literacy practices in primary schools in Uganda 0.00 29,480.00 29,480,00 0.00 0.00 0.00 toward the costs of its revitalization as an institution that can nourish Uganda's social, economic and political 0.00 2,000,000.00 1,000,000.00 0.00 0.00 1.000,000.00 transformation in the 21st century and address the human capacity and research needs of decentralization toward the costs of its revitalization as an institution that can nourish Uganda's social, economic, and political 1,000,000.00 0.00 1,000,000.00 0.00 0.00 0.00 transformation in the 21st century and address the human capacity and research needs of decentralization Mbarara University of Science and Technology P.O. Box 1410 Mbarara, Uganda for a project to promote the production and use of the plant extract Phytolacca dodecandra to control vectors of 0.00 0.00 -8.000.00 8,000.00 0.00 0.00 a number of tropical parasitic diseases which affect man and livestock in Uganda Ministry of Finance, Planning, and Economic Development, Uganda P.O. Box 2666 Kampala, Uganda for use by its Population Secretariat for activities aimed at enhancing utilization of data and Information for 298.582.00 0.00 298.582.00 0.00 0.00 0.00 district planning and service delivery in Uganda

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| UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|-------------------------------------|--|---|--|--|
| 0.00 | 0.00 | -2,773.00 | 2,773.00 | 0.00 | 0.00 |
| 34,159.00 | 0.00 | 34,159.00 | 0.00 | 0.00 | 0.00 |
| 0.00 | 25,540.00 | 0.00 | 0.00 | 0.00 | 25,540.00 |
| 0.00 | 0.00 | -5,385.00 | 5,385.00 | 0.00 | 0.00 |
| 0.00 | 59,500.00 | 0.00 | 0.00 | 0.00 | 59,500.00 |
| 0.00 | 265,185.00 | 265,185.00 | 0.00 | 0.00 | 0.00 |
| | BALANCE AS OF 01-Jan-2005 | BALANCE AS OF 01-Jan-2005 IN 2005 0.00 0.00 34,159.00 0.00 0.00 25,540.00 0.00 59,500.00 | BALANCE AS OF 01-Jan-2005 IN 2005 Dec-2005 0.00 0.00 -2,773.00 34,159.00 0.00 34,159.00 0.00 25,540.00 0.00 0.00 59,500.00 0.00 | BALANCE AS OF 01-Jan-2005 IN 2005 IN 2005 Dec-2005 IN 2005 IN 2005 0.00 0.00 0.00 0.00 0.00 0.00 0.00 | BALANCE AS OF 01-Jan-2005 APPROVED IN 2005 EXPENDITURES AS OF Dec-2005 (Incl. cancs & recens) (Incl. cancs & recens) 0.00 0.00 -2,773.00 2,773.00 0.00 34,159.00 0.00 34,159.00 0.00 0.00 0.00 25,540.00 0.00 0.00 0.00 0.00 59,500.00 0.00 0.00 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AFRICA REGIONAL PROGRAM ZIMBABWE | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| David Wilson University of Zimbabwe Psychology Department Box MP839 Mt. Pleasant Harare, Zimbabwe | | | | | | |
| to enable him to conduct postdoctoral research at the University of Zimbabwe on the effectiveness of a peer-mediated AIDS prevention program among secondary school students in Zimbabwe | 23,452.00 | 0.00 | 0.00 | 0,00 | 0.00 | 23,452.00 |
| Forum for African Women Educators, Zimbabwe Chapter Belvedere Technical Teachers' College 1 Harvard Road P.O. Box MP 1058 Mount Pleasant Harare, Zimbabwe | | | | | | |
| toward the costs of a project that will address psychosocial needs of orphans and vulnerable children in primary schools in Zimbabwe | 0.00 | 29,535.00 | 14,768.00 | 0.00 | 0.00 | 14,767.00 |
| University of Zimbabwe P.O. Box MP 167 Mount Pleasant Harare, Zimbabwe | | | | | | |
| toward the costs of a project to produce norms in English literacy for primary schools in Zimbabwe | 22,000.00 | 0.00 | 22,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of its project to improve teachers' understanding of, and skills in teaching about, the process of sexual maturation in order to enhance children's retention in primary schools in Zimbabwe | 18,360.00 | 0.00 | 18,000.00 | 360.00 | 0.00 | 0.00 |
| UNITED STATES CALIFORNIA Tides Center The Presidio P.O. Box 29907 San Francisco, California 94129-0907 | | | | | | |
| toward the costs of its project, the African Grantmakers' Affinity Group, for support of its mission to build and strengthen partnerships among grantmakers working in Africa | 50,000.00 | 0.00 | 25,000.00 | 0.00 | 0.00 | 25,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AFRICA REGIONAL PROGRAM UNITED STATES WASHINGTON, DC Aga Khan Foundation U S.A 1825 K Street, NW | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|------------------|---------------------------------|--|--|--|
| Suite 901 Washington, DC 20006 | | | | | | |
| toward the costs of a study to develop an understanding of the factors that contribute to the design and operation of a viable micro-finance model that has the potential to impact poverty in East Africa | 0.00 | 60,300.00 | 0.00 | 0.00 | 0.00 | 60,300.00 |
| toward the costs of phase two of a project to replicate, in three districts of Coast Province, Kenya, a reliable, efficient and standardized health management information system - already in use in four districts of Coast Province - which will strengthen its potential of being adopted as a prototype for the entire country | 0.00 | 502,565.00 | 278,760.00 | 0.00 | 0.00 | 223,805.00 |
| International Food Policy Research Institute 2033 K Street, N.W. Suite 400 Washington, DC 20006-1002 | | | | | | |
| In support of a regional network of agricultural and health institutions in eastern Africa in the conduct of research, capacity strengthening and policy communications on the two-way interactions between HIV/AIDS and food security | 335,000 00 | 0.00 | 335,000.00 | 0.00 | 0.00 | 0.00 |
| to undertake a spatial mapping of poverty and mainutrition in Tanzania through the 1990s and evaluate the Impact of agricultural market reforms on spatial and temporal patterns of poverty | 80,606.00 | 0.00 | 80,606.00 | 0.00 | 0.00 | 0.00 |
| MASSACHUSETTS Boston College 140 Commonwealth Avenue Chestnut Hill, Massachusetts 02167-3807 for use by its Center for International Higher Education toward the costs of a joint project with the Council for the Development of Social Science Research in Africa, Senegal, to launch the Journal of Higher Education in Africa | 48,319.00 | 0.00 | 48,319.00 | 0.00 | 0.00 | 0.00 |
| NORTH CAROLINA Ipas 300 Market Street Suite 200 Chapel Hill, North Carolina 27516 | | | | | | |
| for use by its Africa regional office to address unsafe abortion in Africa through evidence-based policy and practice | 33,100.00 | 0.00 | 33,100.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose ################################### | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Stevens Point, Wisconsin 54481 for a collaborative project, with Makerere University and the Regional Universities Forum for Capacity Building in Agriculture, to Integrate the use of geographic Information systems into local government planning in Uganda | 356,103.00 | 0.00 | 294,672.00 | 0.00 | 0.00 | 61,431.00 |
| TOTAL: 82 - AFRICA REGIONAL PROGRAM | 8,341,303.61 | 10,612,864.00 | 10,786,531.56 | 55,092,49 | 0.00 | 8,112,543.56 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AFRICAN INITIATIVES MALI | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Institut du Sahel B.P. 1530 Bamako, Mali for administrative costs associated with Nafissatou Diop-Sidibé's research. UGANDA | 2,500.00 | 0.00 | 0.00 | 2,500.00 | 0.00 | 0.00 |
| Joseph Oryokot National Agricultural Advisory Services P.O Box 25235 Kampala, Uganda to enable him to conduct postdoctoral research at Makerere University on the use of animal draught technology to improve weed management in finger millet in Uganda ZIMBABWE | 6,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6,000.00 |
| Solomon Mombeshora Department of Sociology University of Zimbabwe P.O. Box MP 167 Harare, Zimbabwe to enable him to conduct postdoctoral research at the University of Zimbabwe on the impact of Zimbabwe's economic reform program on women in rural Zimbabwe UNITED STATES | 6,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6,000.00 |
| WASHINGTON, DC The World Bank 1818 H Street, N W. Washington, DC 20433 for a trust fund established by the Bank's Economic Development Institute to finance the Partnership for Strategic Resource Planning in Africa, a joint initiative by several funding agencies targeting girls' education in Africa | 0.00 | 0.00 | -325,220.20 | 251,625.75 | 0.00 | 73,594.45 |
| TOTAL: 4-AFRICAN INITIATIVES | 14,500.00 | 0.00 | -325,220.20 | 254,125.75 | 0.00 | 85,594.45 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|------------|---|---------------------|--|--|--|--|
| Peking University 1 Loudouquao Hai Dian Beijing, 100 871 China for a study of the molecular and cell biology of rice dwarf virus, to be undertaken by Biotechi YI LI, at the Plant Biology Division, The Samuel Roberts Noble Foundation, Inc., Ardmore, Ok | | 16,000.00 | 0.00 | 15,280.00 | 720.00 | 0.00 | 0.00 |
| INDIA ICAR Research Complex for NEH Region | | | | | | | |
| Umrol Road Barapani, 793 103 India | | | | | | | |
| for a study of augmentation of starch biosynthesis by manipulation of ADP-glucose pyrophi rice, to be undertaken by Biotechnology Career Fellow Harl S. Gupta, at the institute of Biolo Washington State University, Pullman | | 16,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 16,000.00 |
| Maharaja Sayajirao University of Baroda Fatehgunj, Vadodara Baroda (Gujarat), 390 002 India | | | | | | | |
| for a study of the biology of fungal disease and the genetic engineering of rice for enhanced to be undertaken by Blotechnology Career Fellow Bharat B. Chattoo, at the John innes Cent Kingdom | | 27,230.00 | 0.00 | 0.00 | 0.00 | 0.00 | 27,230.00 |
| Tamil Nadu Agricultural University Colmbatore, 641 003 India | | | | | | | |
| for a study of identifying and transferring QTL's from wild rice species affecting yield, matur tolerance, and grain quality to cultivated rice, to be undertaken by Biotechnology Career Fel Maheswaran, under the direction of Dr. Susan R. McCouch, Department of Plant Breeding & University, Ithaca, New York | low Dr. M. | 14,400.00 | 0.00 | 0.00 | 0.00 | 0.00 | 14,400.00 |
| for research on genes for insecticidal proteins from local isolates of Bacillus thuringiensis | | 4,450.00 | 0.00 | 4,450.00 | 0.00 | 0.00 | 0.00 |
| for research on the genetic engineering of sorghum for resistance to fungal diseases | | 5,506.01 | 0.00 | 0.00 | 0.00 | 0.00 | 5,506.01 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AGRICULTURAL SCIENCES PAKISTAN | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| University of the Punjab 1 Shahrah-e-al-Beruni Lahore, 2 Pakistan for a study of expression of BT toxin genes in rice, to be undertaken by Biotechnology Career Fellow Prof. Sheikh Riazuddin, under the direction of Dr. Milton P. Gordon, Department of Biochemistry, University of Washington, Seattle | 1,323.30 | 0.00 | 1,323.30 | 0.00 | 0.00 | 0.00 |
| PHILIPPINES | | | | | | |
| International Rice Research Institute DAPO Box 7777 Metro Manila, 1301 Philippines | 0.00 | 0.00 | 2 944 00 | 2 244 00 | 0.00 | 0.00 |
| for research, in collaboration with the University of Agricultural Sciences, Bangalore, India, on mapping quantitative trait loci (QTLs) for blast resistance and the introgression of major genes and QTLs for durable blast resistance in rice | 0.00 | 0.00 | -2,811.00 | 2,811.00 | 0.00 | 0.00 |
| Philippine Rice Research institute Maligaya, Munoz, Nueva Edja, 3119 Philippines | | | | | | |
| for a genetic and physical analysis of tungro resistance in rice, to be undertaken by Biotechnology Career Fellow Gabriel O. Romero, at the Clemson University Genomics Institute, Clemson, South Carolina | 2,952.76 | 0.00 | 0.00 | 2,952.76 | 0.00 | 0.00 |
| SOUTH KOREA | | | | | | |
| Rural Development Administration Suweon, 441 110 South Korea | | | | | | |
| for a study of marker-assisted discovery and transfer of wild QTL's into elite rice cultivars using advanced backcross QTL analysis, to be undertaken by Biotechnology Career Fellow Dr. Ahn Sang-Nag, under the direction of Dr. Susan R. McCouch, Department of Plant Breeding and Biometry, Cornell University, Ithaca, New York | 17,275.30 | 0.00 | 17,275.30 | 0.00 | 0.00 | 0.00 |
| to provide additional funds for a study of marker-assisted discovery and transfer of wild quantitative trait loci (QTLs) into elite rice cultivars using advanced backcross QTL analysis, to be undertaken by Biotechnology Career Fellow Dr. Ahn Sang-Nag, under the direction of Dr. Susan R. McCouch, Department of Plant Breeding, Comell University, Ithaca, New York | 11,450.00 | 0.00 | 0.00 | 0.00 | 0.00 | 11,450.00 |
| THAILAND | | | | | | |
| Kasetsart University 50 Phahonyothin Road Chatuchak Bangkok, 10900 Thailand | | | | | | |
| toward the costs of development of human resources for rice genome research in Thailand | 7,019.56 | 0.00 | 0.00 | 7,019.56 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose AGRICULTURAL SCIENCES ZIMBABWE | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. canes & recens) !N 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| University of Zimbabwe P.O Box MP 167 Mount Pleasant Harare, Zimbabwe | | | | | | |
| for research on the suppression of Striga asiatica by legume mulches | 4,600.00 | 0.00 | 4,600.00 | 0.00 | 0.00 | 0.00 |
| TOTAL: 13 - AGRICULTURAL SCIENCES | 128,206.93 | 0.00 | 40,117.60 | 13,503.32 | 0.00 | 74,586.01 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose ARTS AND HUMANITIES PERU | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| SUR Casa de Estudios del Socialismo Lima. 11 Peru | | | | | | |
| toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, "Violence, Democracy, and Authoritarianism in Contemporary Peruvian Culture and Politics" | 30,400.00 | 0.00 | 30,400.00 | 0.00 | 0.00 | 0.00 |
| UNITED STATES HAWAII University of Hawaii Honolulu, Hawaii | | | | | | |
| toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities at the Office for Women's Research entitled, "Gender and Globalization in Asia and the Pacific" | 0.00 | 0.00 | -501.55 | 501.55 | 0.00 | 0.00 |
| NEW MEXICO Taos Day School P.O. Drawer X Taos, New Mexico 97571-1189 | | | | | | |
| for use by its Service Learning Initiative project toward the costs of the Corral Reconstruction Project, an Initiative designed to connect students, community members, and tribal members in a process that will document and reconstruct the historical corral system on the Taos Pueblo | 0.00 | 0.00 | -19,000.00 | 19,000.00 | 0.00 | 0.00 |
| TOTAL: 3 - ARTS AND HUMANITIES | 30,400.00 | 0.00 | 10,898.45 | 19,501.55 | 0.00 | 0.00 |



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PROGRAM REVERSIONS COUNTRY NET LAPSES UNEXPENDED UNEXPENDED **EXPENDITURES** (incl. cancs (incl. cancs BALANCE **US STATE** BALANCE AS OF APPROVED AS OF & recens) & recens) AS OF Grantee Name(s) - Person(s) or Institution(s) Dec-2005 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 -------. **ASSETS & CAPACITIES** BELGIUM International Society of Nephrology Global Headquarters Avenue de Tervueren 300 Brussels, B-1150 Belglum toward the costs of travel for 11 Individuals from developing countries to participate in the conference. 0.00 20,000.00 20,000.00 0.00 0.00 0.00 "Prevention of Vascular Diseases in the Emerging World," held at the Bellagio Study and Conference Center, Italy, December 2005 CANADA The Communication Initiative Networks Corporation 5148 Polson Terrace Victoria, V8Y 2C4 Canada toward the costs of implementing the Communication initiative project to highlight and share examples of 200,000.00 0.00 100,000.00 0.00 0.00 100,000.00 communication for social change action and to support and to engage practitioners, funders, policymakers and researchers in the strategic dialogue and debate on the communication for social change approach to addressing development issues University of Guelph 437 University Centre Guelph, Ontario, N1G 2W1 Canada toward the costs of travel for seven individuals from the Middle East to participate in the conference, 0.00 6,000.00 0.00 0.00 6.000.00 0.00 "Cooperation Across Ideological Divides in the Middle East." held at the Bellagio Study and Conference Center. October 2005 University of Toronto 215 Huron Street Toronto, M5S 1A1 Canada toward the costs of travel for four individuals from developing countries to participate in the meeting, "The Scope 0.00 5,820.00 4,646.51 1,173.49 0.00 0.00 of Labor Law: Re-drawing the Boundaries of Protection," held at the Beliagio Study and Conference Center, Italy, May 2005 **ENGLAND** Institute of Development Studies University of Sussex Brighton, BN1 9RE England toward the costs of travel for four Individuals from developing countries to participate in the conference, "Rights, 0.00 6.300.00 6,300.00 0.00 0.00 0.00 Representation and the Poor: Latin America and India," held at the Bellagio Study and Conference Center, Italy, July 2005

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SECTION & CAPACITIES ENGLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Liverpool School of Tropical Medicine, University of Liverpool Pembroke Place Liverpool, L3 5QA England toward the costs of travel for nine individuals from developing countries to participate in the conference, "TB and Poverty: Are We Doing Enough," held at the Bellagio Study and Conference Center, Italy, December 2005 | 0.00 | 18,000.00 | 18,000.00 | 0.00 | 0.00 | , 0.00 |
| The King's College of Our Lady and St. Nicholas in Cambridge King's Parada Cambridge, CB2 1ST England for use by its Centre for History and Economics toward the costs of Amartya Sen's project on the foundations of democracy | 92,000.00 | 0.00 | 46,000.00 | 0.00 | 0.00 | 46,000.00 |
| University of Pretona Lynnwood Road, Hillcrest Pretona, 0002 South Africa toward the costs of travel for 12 individuals from Africa to participate in the conference, "Institutions, Markets and Policies for African Agriculture," held at the Bellagio Study and Conference Center, Italy, July 2005 | 0.00 | 17,680.00 | 17,680.00 | 0.00 | 0.00 | 0.00 |
| International Union for Conservation of Nature and Natural Resources Rue Mauvemey 28 Gland, CH-1196 Switzerland for use by its Commission on Environmental, Economic and Social Policy to update the book, "The Careless Technology: Ecology and International Development," which critiques technology from environmental, human development and livelihoods perspectives | 0.00 | 0.00 | -44,000.00 | 44,000.00 | 0.00 | 0.00 |
| World Health Organization 20 Avenue Appia CH-1211 Geneva, 27 Switzerland toward the cost of travel for seven individuals from developing countries to participate in the team residency, "Knowledge into Action: Improving Equity in Child Health," to be held at the Bellagio Study and Conference Center, February 2003 toward the costs of economy round-trip airfare for up to 15 individuals from developing countries to participate in | 0.00 0.00 | 0.00 | -1,265.00 -2,301.00 | 1,265.00 2,301.00 | 0.00 | 0.00 |
| the conference, "Responding to Gender-based Violence: A Health Equity Issue," to be held at the Bellagio Study and Conference Center, April 26 to May 2, 2004 | 0.00 | 0.00 | *2,301.00 | 2,501.00 | 0.00 | V. 00 |

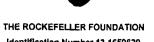


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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose ASSETS & CAPACITIES THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| National Center for Genetic Engineering and Biotechnology 113 Thalland Science Park Phahonyothin Road, Klong 1, Klong Luang Pathumthani, 12120 Thailand toward the costs of travel for six individuals from developing countries to participate in the conference, "Applications of Transfection Technology for Drug Screening and Immunological Studies in Tropical Parasitic Diseases," held at the Bellagio Study and Conference Center, Italy, August 2005 | 0.00 | 7,900.00 | 4,756.84 | 0.00 | 3,143.16 | 0.00 |
| Godber Tumushabe Advocates Coalition for Development and Environment Plot 96, Kanjokya Street, KamSwokya P.O. Box 29836 Kampala, Uganda toward the costs of travel for three Individuals from Africa to participate in the conference, "Biotechnology and Law in Africa," held at the Bellagio Study and Conference Center, Italy, July 2005 | 0.00 | 5,133.00 | 5,133.00 | 0.00 | 0.00 | 0.00 |
| Umzingwane AIDS Network 457 Habane P.O. Box 112 Esigodini, Zimbabwe to test, in a field setting, communication processes aimed at building the capacity of and empowering rural Zimbabwean youth to advocate on their own behalf against risky behaviors which can lead to the transmission of HIV | 9,812.00 | 0.00 | 0.00 | 9,812.00 | 0.00 | 0.00 |
| UNITED STATES CALIFORNIA Asian American/Pacific Islanders in Philanthropy 200 Pine Street (Suite 700) San Francisco, California 94104 for general support of its mission to expand philanthropic resources for Asian-American and Pacific Islander communities and causes and to increase and strengthen leadership among the same groups within philanthropy | 60,000.00 | 0.00 | 30,000.00 | 0.00 | 0.00 | 30,000.00 |
| Hispanics in Philanthropy 200 Pine Street, Suite 7001 San Francisco, California 94104 for general support of its mission to expand philanthropic resources for Latino communities and causes and to increase and strengthen Latino leadership in philanthropy | 62,500.00 | 0.00 | 62,500.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose ASSETS & CAPACITIES UNITED STATES | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| CALIFORNIA Hispanics in Philanthropy to support the efforts of its Funders' Collaborative for Strong Latino Communities to strengthen Latino non-profit organizations in New York City | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| Nelly Stromquist University of Southern California Rossier School of Education Los Angeles, California 90089-0031 toward the costs of travel for four Individuals from Latin America to participate in the conference, "The | 4,676.00 | 0.00 | 3,645 88 | 1,030.12 | 0.00 | 0.00 |
| Construction of Gender in Educational Policies: Latin American Cross-National Perspectives,* to be held at the Bellagio Study and Conference Center, February 2005 | | | · | | | |
| University of California, Irvine Irvine, California 92697 | | | | | | |
| toward the costs of travel for four individuals from developing countries to participate in a team meeting, "Democratizing Women: NGOs, Empowerment and Marginalization in the 21st Century," to be held at the Bellagio Study and Conference Center, August 2004 | 0.00 | 0.00 | -851.16 | 851.16 | 0.00 | 0.00 |
| University of California, Los Angeles 405 Hilgard Avenue Box 951361 Los Angeles, California 90095-1361 | | | | | | |
| toward the costs of travel for ten individuals from developing countries to participate in the conference, "The Regional Question in Economic Development," held at the Bellagio Study and Conference Center, Italy, August 2005 | 0.00 | 14,500.00 | 14,500.00 | 0.00 | 0.00 | 0.00 |
| WASHINGTON, DC Africare 440 R Street, N.W Washington, DC 20001-1935 | | | | | | |
| for use by Africare Zimbabwe to test, in a field setting, communication processes aimed at building the capacity of and empowering rural Zimbabwean youth to advocate on their own behalf against risky behaviors which can lead to the transmission of HIV | 0.00 | 0.00 | -2,288.00 | 2,288.00 | 0.00 | 0.00 |
| American Geophysical Union 2000 Florida Avenue N W. Washington, DC 20009-1227 | | | | | | |
| toward the costs of travel for 18 Individuals from developing countries to participate in the conference, "Vulnerability to Climate Change in the Developing World," to be held at the Bellagio Study and Conference Center, March 2005 | 0.00 | 0.00 | -3,551.33 | 3,551.33 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) | UNEXPENDED BALANCE AS OF | APPROVED | NET EXPENDITURES AS OF | LAPSES (Incl. cancs & recens) | REVERSIONS (incl. cancs & recens) | UNEXPENDED BALANCE AS OF |
|---|--------------------------------|-----------|------------------------------|-------------------------------------|---|--------------------------------|
| Purpose | 01-Jan-2005 | IN 2005 | Dec-2005 | IN 2005 | IN 2005 | Dec-2005 |
| ASSETS & CAPACITIES | | 32235225. | 222222 | *====== | ======: | |
| UNITED STATES | | | | | | |
| WASHINGTON, DC | | | | | | |
| Council on Foundations | | | | | | |
| 1828 L Street, NW | | | | | | |
| Washington, DC 20036-5168 | | | | | | |
| toward general operating expenses in 2005 | 0.00 | 44,600.00 | 44,600.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of strengthening its access to and ability to engage policymakers on issues impacting the field of philanthropy | 70,875.00 | 0.00 | 70,875.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of strengthening its access to and ability to engage policymakers on issues impacting the field of philanthropy | 0.00 | 35,438 00 | 0.00 | 0.00 | 0.00 | 35,438.00 |
| Independent Sector 1200 Eighteenth Street, NW Suite 200 Washington, DC 20036 | | | | | | |
| in general support of its mission to advance the common good by leading, strengthening and mobilizing the independent sector | 0.00 | 12,200.00 | 12,200.00 | 0.00 | 0.00 | 0.00 |
| In support of its leadership of an independent national panel to consider and recommend actions to strengthen good governance, ethical conduct and effective practice in public charities and private foundations | 75,000.00 | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of an initiative to strengthen its capacity to provide leadership on issues of ethics and accountability within the nonprofit sector | 0.00 | 35,000.00 | 35,000.00 | 0.00 | 0.00 | 0.00 |
| The Aspen Institute, Inc. One Dupont Circle, NW Suite 700 Washington, DC 20036-1133 for use by its Congressional Program toward the costs of nonpartisan educational conferences on international Issues held for members of the U.S. Congress | 200,000.00 | 0.00 | 200,000.00 | 0.00 | 0.00 | 0.00 |
| ILLINOIS Northwestern University 633 Clark Street Evanston, Illinois 60208 | | | | | | |
| toward the costs of travel for three individuals from developing countries to participate in the conference, "Investigating the Practice of School Improvement: Theory, Methodology and Relevance," to be held at the Bellagio Study and Conference Center, August 2004 | 0.00 | 0.00 | -1,643.32 | 1,643.32 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose ASSETS & CAPACITIES UNITED STATES MARYLAND University of Maryland CISSM | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| School of Public Affairs College Park, Maryland 20742-1811 toward the costs of travel for six individuals from developing countries to participate in the conference, "The Meanings and Representations of Work in the Lives of Women of Color: A Comparative Study," to be held at the Beliagio Study and Conference Center, August 2004 | 0.00 | 0.00 | -3,987.34 | 3,987.34 | 0.00 | 0.00 |
| MASSACHUSETTS Harvard University Massachusetts Hall Cambridge, Massachusetts 02138 toward the costs of its Global Equity Initiative, to promote global equity through expanding ideas, mobilizing diverse actors and setting the policy agenda | 1,578,285.00 | 0.00 | 0.00 | 0.00 | 0.00 | 1,578,285.00 |
| MISSOURI Washington University in St. Louis Box 1192 N. Brookings 228 St. Louis, Missouri 63130 toward the costs of travel for ten individuals from developing countries to participate in the conference, "Negotiating a New National Narrative in Georgia," held at the Bellagio Study and Conference Center, Italy, August 2005 | 0.00 | 9,160.00 | 9,160.00 | 0.00 | 0.00 | 0.00 |
| NEW JERSEY Communication for Social Change Consortium 14 South Orange Avenue, Suite 2 F South Orange, New Jersey 07079 for general support of its mission to increase the capacity of communication specialists, development workers, aid agencies, nonprofit organizations and communities to use communication for social change concepts in order to improve the lives of those who have been long excluded | 2,200,000.00 | 0.00 | 1,200,000.00 | 0.00 | 0.00 | 1,000,000.00 |
| Rutgers University 83 Somerset Street New Brunswick, New Jersey 08901 toward the costs of travel for seven Individuals from developing countries to participate in the conference, "Federalism and Subnational Constitutions: Design and Reform," to be held at the Bellagio Study and Conference Center, Italy, March 2004 | 492.65 | 0 00 | 0.00 | 492.65 | 0.00 | 0.00 |



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PROGRAM REVERSIONS COUNTRY NET LAPSES UNEXPENDED UNEXPENDED **EXPENDITURES** (incl. cancs **US STATE** (incl. cancs BALANCE BALANCE AS OF **APPROVED** AS OF & recens) & recens) AS OF Grantee Name(s) - Person(s) or Institution(s) Purpose 01-Jan-2005 IN 2005 Dec-2005 IN 2005 IN 2005 Dec-2005 **ASSETS & CAPACITIES** UNITED STATES **NEW JERSEY** Sankar Muthu Princeton University Department of Politics 247 Corwin Hall Princeton, New Jersey 08544-1012 toward the costs of travel for one individual from India to participate in the conference, "Empire and Modern 0.00 1.000.00 0.00 0.00 1.000.00 0.00 Political Thought," held at the Bellagio Study and Conference Center, June 2005 **NEW YORK** Comell University 300 Day Hall Ithaca, New York 14853 toward the costs of travel for five individuals from developing countries to participate in the conference, "identity, 0.00 0.00 -3.352.00 3,352.00 0.00 0.00 Community and Economic Policy for Poverty Alleviation," to be held at the Bellagio Study and Conference Center, March 2005 Creating Resources for Empowerment and Action Inc. 355 Lexington Avenue 3rd Floor New York, New York 10017 toward the costs of travel for 17 individuals from developing countries to participate in the conference, "Building 0.00 0.00 -6,205,69 6,205.69 0.00 0.00 Alliances for Global Organizing on Issues of Gender-based Violence: Working through Chasms, Differences and Boundaries," to be held at the Bellagio Study and Conference Center, July 2004 International Center for Transitional Justice, Inc. 5 Hanover Square, 24th Floor New York, New York 10004 toward the costs of travel for five individuals from developing countries to participate in the conference, "Gender 0.00 7,200.00 7,200.00 0.00 0.00 0.00 and Transitional Justice," held at the Bellagio Study and Conference Center, Italy, March 2005 Michel Rosenfeld Yeshiva University Cardoza School of Law 55 Fifth Avenue New York, New York 10003 toward the costs of travel for four individuals from developing countries to participate in the conference, 0.00 4,650.00 4,285,84 364.16 0.00 0.00

"Terrorism, Globalism and the Rule of Law," held at the Bellagio Study and Conference Center, Italy, July 2005

THE ROCKEFELLER FOUNDATION Identification Number 13-1659629

PROGRAM

philanthropy

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Statement #9

LAPSES REVERSIONS COUNTRY NET UNEXPENDED UNEXPENDED **EXPENDITURES US STATE** BALANCE (incl. cancs (Incl. cancs BALANCE & recens) AS OF AS OF Grantee Name(s) - Person(s) or Institution(s) AS OF **APPROVED** & recens) Dec-2005 IN 2005 IN 2005 Dec-2005 Purpose 01-Jan-2005 IN 2005 ------....... ------**ASSETS & CAPACITIES** UNITED STATES **NEW YORK** New York Immigration Coalition, Inc. 137-139 West 25th Street 12th floor New York, New York 10001-7277 0 00 0.00 100,000.00 100,000.00 for the costs of an initiative almed at engaging immigrant communities in New York City education reform efforts 200,000.00 0.00 New York Regional Association of Grantmakers 79 Fifth Avenue Fourth Floor New York, New York 10003-3076 15,450.00 15,450.00 0.00 0.00 0.00 In general support of its mission to strengthen philanthropy by offering programs and resources that support 0.00 effective, strategic grantmaking, facilitating collaboration and knowledge sharing, and communicating the value of the philanthropic sector in our society New York University 70 Washington Square South 12th Floor New York, New York 10012 0.00 0.00 0.00 for use by its Institute for Education and Social Policy toward the costs of two neighborhood-based projects to 200.000.00 0.00 200,000.00 Improve educational outcomes in several low-performing school districts in New York City Rockefeller University 1230 York Avenue New York, New York 10021-6399 0.00 300,000.00 for use by its Rockefeller Archives Center toward the costs of a collaborative project with the Smithsonian 300,000.00 0.00 0.00 0.00 Institution Archives to develop and implement an electronic records program 900,099.00 to cover operating costs associated with the preservation and continuing use of Foundation records deposited at 0.00 900,099.00 0.00 0.00 0.00 the Rockefeller Archive Center The Foundation Center 79 Fifth Avenue New York, New York 10003 for general support of its mission to strengthen the nonprofit sector by advancing knowledge about U.S. 100,000.00 0.00 0.00 0.00 0.00 100,000.00



THE ROCKEFELLER FOUNDATION Identification Number 13-1659629

GRANTS AND EXPENDITURES REPORT

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| = | PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SSETS & CAPACITIES UNITED STATES NEW YORK | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Inct. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---|---------------------|---------------------------------|--|--|--|
| | William J Clinton Presidential Foundation 55 West 125th Street New York, New York 10027 toward the costs of the inaugural meeting of the Clinton Global Initiative, a nonpartisan conference dedicated to identifying immediate and pragmatic solutions to some of the world's most pressing problems | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| | VERMONT Global Health Council, Inc. 15 Railroad Row White River Junction, Vermont 05001 toward the costs of travel for 11 Individuals from developing countries to participate in the conference, "Optimizing the Contribution of Falth-based Organizations to the Prevention, Care and Treatment of HIV/AIDS," held at the Bellagio Study and Conference Center, Italy, September 2005 | 0.00 | 15,000.00 | 15,000.00 | 0.00 | 0.00 | 0.00 |
| | WYOMING University of Wyoming 1000 E. University Department 3355 Room 305, Old Main Laramie, Wyoming 82071 | | | | | | |
| | toward the costs of travel for eight individuals from Africa to participate in the conference, "Girl Mothers in Fighting Forces and Their Post-War Reintegration in Southern and Western Africa," held at the Bellagio Study and Conference Center, italy, April 2005 | 0.00 | 11,100.00 | 3,193.96 | 0.00 | 7,906.04 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose ASSETS & CAPACITIES GENERAL - FOUNDATION ADMINISTERED PROJECTS | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Rockefeller Foundation Matching Gift Program | 176,392.27 | 2,000,000.00 | 1,808,145.51 | 0.00 | 0.00 | 368,246.76 |
| 100 BLACK MEN OF GREATER DETROIT, INC | | | 15,000 00 | | | |
| 47 PALMER, INC (DBA PASSIM) | | | 105 00 | | | |
| ABYSSINIAN DEVELOPMENT CORPORATION | | | 750 00 | | | |
| ADDICTS REHABILITATION CENTER FOUNDATION, INC. | | | 300 00 | | | |
| ADIRONDACK COUNCIL, INC. | | | 150 00 | | | |
| ADMINISTRATORS OF THE TULANE EDUCATIONAL FUND | | | 300.00 | | | |
| ADRIAN COLLEGE | | | 3,000 00 | | | |
| AFRICA ACTION | | | 750 00 | | | |
| AID ATLANTA, INC. | | | 75 00 | | | |
| ALAMEDA COUNTY COMMUNITY FOOD BANK | | | 225 00 | | | |
| ALEX'S LEMONADE STAND FOUNDATION | | | 90 00 | | | |
| ALLIANCE OF NEW YORK STATE ARTS COUNCILS, INC | | | 248 70 | | | |
| ALLIANCE TO PROTECT NANTUCKET SOUND, INC. | | | 30,162 42 | | | |
| ALTERNATIVE LIVING FOR THE AGING | | | 750.00 | | | |
| ALVIN AILEY DANCE FOUNDATION, INC | | | 975 00 | | | |
| AMATEUR ATHLETIC UNION OF THE UNITED STATES | | | 750.00 | | | |
| AMERICA'S SECOND HARVEST | | | 300 00 | | | |
| AMERICAN BUDDHIST SEMINARY, SACRAMENTO | | | 3,000.00 | | | |
| AMERICAN CANCER SOCIETY | | | 0.00 | | | |
| AMERICAN CANCER SOCIETY, INC | | | 60 00 | | | |
| AMERICAN CANCER SOCIETY, INC | | | 375 00 | | | |
| AMERICAN CIVIL LIBERTIES UNION NEW JERSEY FOUNDATION | | | 1,500 00 | | | |
| AMERICAN DIABETES ASSOCIATION, INC. | | | 375 00 | | | |
| | | | | | | |
| AMERICAN HEART ASSOCIATION, INC | | | 75 00 | | | |
| AMERICAN JEWISH JOINT DISTRIBUTION COMMITTEE, INC | | | 300 00 | | | |
| AMERICAN LEGACY FOUNDATION | | | 735 00 | | | |
| AMERICAN MATHEMATICAL SOCIETY | | | 300 00 | | | |
| AMERICAN MUSEUM OF NATURAL HISTORY | | | 450.00 | | | |
| AMERICAN PARKINSON DISEASE ASSOCIATION, INC. | | | 75 00 | | | |
| AMERICAN PHILOSOPHICAL SOCIETY | | | 1,500.00 | | | |
| AMERICAN RED CROSS | | | 8,250.00 | | | |
| AMERICAN SOCIETY FOR THE PREVENTION OF CRUELTY TO ANIMALS | | | 765.00 | | | |
| AMERICAN SOCIETY OF THE MOST VENERABLE ORDER OF THE HOSPITAL OF ST. JOH | | | 3,000.00 | | | |
| AMERICAN STROKE ASSOCIATION | | | 75 00 | | | |
| AMERICAN UNIVERSITY | | | 675.00 | | | |
| AMERICANS FOR OXFORD INC | | | 750.00 | | | |



THE ROCKEFELLER FOUNDATION Identification Number 13-1659629

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GRANTS AND EXPENDITURES REPORT

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| PROGRAM COUNTRY | | UNEXPENDED | | NET | LAPSES | REVERSIONS | UNEXPENDED |
|--------------------|--|-------------|---------------------|----------------------|----------------------|----------------------|-------------------|
| US STATE | | BALANCE | | EXPENDITURES | (incl. cancs | (Incl. cancs | BALANCE |
| | Name(s) - Person(s) or Institution(s) | AS OF | APPROVED IN 2005 | AS OF Dec-2005 | & recens) IN 2005 | & recens) IN 2005 | AS OF Dec-2005 |
| Purpose | | 01-Jan-2005 | IN 2005 | =======. Dec-2002 | IN 2005 | | |
| | | | | | | | |
| | AMERICANS FOR UNFPA, INC | | | 8,250.00 | | | |
| | AMERICARES FOUNDATION, INC | | | 525.00 | | | |
| | AMERICAS SOCIETY, INC. | | | 3,000.00 | | | |
| | AN URBAN ALTERNATIVE OF NY, INC | | | 24,000.00 | | | |
| | ANIMAL ADOPTION CENTER | | | 150.00 | | | |
| | ANIMAL MEDICAL CENTER | | | 150 00 | | | |
| | ARCHDIOCESE OF NEWARK | | | 120 00 | | | |
| | ARTHRITIS FOUNDATION | | | 150.00 | | | |
| | ARTIST ALLIANCE, INC | | | 75.00 | | | |
| | ARTS BENEFIT ALL COALITION ALTERNATIVE | | | 375 00 | | | |
| | ASSOCIATED PARENT CLUBS OF PIEDMONT | | | 2,250 00 | | | |
| | ASSOCIATION OF GRADUATES OF THE UNITED STATES MILITARY ACADEMY | | | 1,050 00 | | | |
| | ATTACHMENT PARENTING INTERNATIONAL, INC | | | 420 00 | | | |
| | AUTOMOTIVE HALL OF FAME | | | 3,000.00 | | | |
| | AVON PRODUCTS FOUNDATION, INC | | | 300 00 | | | |
| | AVON PRODUCTS FOUNDATION, INC | | | 300.00 | | | |
| | BALLET HISPANICO OF NEW YORK | | | 3,000.00 | | | |
| | BANG ON A CAN, INC | | | 300.00 | | | |
| | BATON ROUGE AREA FOUNDATION | | | 750 00 | | | |
| | BECK MEMORIAL PRESBYTERIAN CHURCH | | | 4,500.00 | | | |
| | BENNETT COLLEGE | | | 64,950.00 | | | |
| | BENNINGTON COLLEGE | | | 7,500.00 | | | |
| | BERGEN COMMUNITY BLOOD SERVICES FOUNDATION, INC | | | 60 00 | | | |
| | BOSTON COLLEGE | | | 375.00 | | | |
| | BOWERY MISSION | | | 150 00 | | | |
| | BOYS & GIRLS HARBOR, INC | | | 2,250.00 | | | |
| | BRANDEIS UNIVERSITY | | | 225 00 | | | |
| | BREAD FOR THE WORLD INSTITUTE | | | 900.00 | | | |
| | BRITISH MEMORIAL GARDEN TRUST, LTD. | | | 750.00 | | | |
| | BROWN UNIVERSITY | | | 25,500 00 | | | |
| | BRYN MAWR CLUB OF NEW YORK CITY | | | 300.00 | | | |
| | BRYN MAWR COLLEGE | | | 11,250 00 | | | |
| | BUILDING WITH BOOKS, INC | | | 600.00 | | | |
| - | CALIFORNIA INSTITUTE OF TECHNOLOGY | | | 30,000.00 | | | |
| | CALIFORNIA PACIFIC MEDICAL CENTER FOUNDATION | | | 600.00 | | | |
| | CALIFORNIA POLICE ACTIVITIES LEAGUE | | | 75 00 | | | |
| | CAMBRIDGE COLLEGE INSTITUTE OF OPEN EDUCATION, INC. | | | 4,999.98 | | | |
| | CARE | | | 12.000.00 | | | |
| | CATHEDRAL CHURCH OF ST JOHN THE DIVINE | | | 300.00 | | | |
| | CATHOLIC FOREIGN MISSION | | | -90,000 00 | | | |
| | CATHOLIC FOREIGN MISSION SOCIETY OF AMERICA, INC | | | 90,000.00 | | | |
| | CATROLIC FOREIGN MISSION SOCIETY OF AMERICA, INC | | | 90,000.00 | | | |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| | ******* | **====: | | | ======. | ======================================= |
| | | | | | | |
| CATHOLIC RELIEF SERVICES | | | 600 00 | | | |
| CENTER FOR FAMILY LIFE | | | 1,200 00 | | | |
| CENTER FOR INDEPENDENT DOCUMENTARY, INC | | | 6,000 00 | | | |
| CENTER FOR PUBLIC INTEGRITY | | | 1,500 00 | | | |
| CENTER ON FATHERS, FAMILIES & PUBLIC POLICY, INC | | | 450 00 | | | |
| CENTRAL STATE UNIVERSITY FOUNDATION | | | 25,500 00 | | | |
| CHAMBER MUSIC SOCIETY OF LINCOLN CENTER | | | 16,500 00 | | | |
| CHARITABLE AND EDUCATION TRUST GRAND LODGE OF PA, ORDER | | | 750 00 | | | |
| CHILDREN INTERNATIONAL | | | 2,466.00 | | | |
| CHILDREN OF GOD RELIEF FUND, INC | | | 2,700 00 | | | |
| CHILDREN'S DEFENSE FUND | | | 1,500.00 | | | |
| CHILDREN'S MUSEUM CORP | | | 6,000 00 | | | |
| CHILDREN'S MUSEUM OF THE EAST END | | | 90,000 00 | | | |
| CHILDREN'S STOREFRONT | | | 300 00 | | | |
| CHRIST CHURCH | | | 3,000.00 | | | |
| CHRIST EPISCOPAL CHURCH | | | 375 00 | | | |
| CHURCH FOR ALL NATIONS | | | 5,100.00 | | | |
| CHURCH OF ST LUKE IN THE FIELDS | | | 7,500 00 | | | |
| CHURCH OF ST. PHILIP THE APOSTLE | | | 4,680 00 | | | |
| CHURCH OF ST STEPHEN OF HUNGARY | | | 750 00 | | | |
| CHURCH OF THE INTERCESSION | | | 12,930 00 | | | |
| CITY HARVEST, INC | | | 900 00 | | | |
| CITY UNIVERSITY SCHOOL OF LAW AT QUEENS COLLEGE FOUNDATION, INC | | | 3,000 00 | | | |
| CITYMEALS ON WHEELS | | | 702 00 | | | |
| CITYMEALS-ON-WHEELS | | | 450.00 | | | |
| CLASSICAL THEATRE OF HARLEM, INC | | | 600 00 | | | |
| CLASSICS FOR KIDS FOUNDATION | | | 3,000 00 | | | |
| CNEWA | | | 300 00 | | | |
| CO-OP AMERICA FOUNDATION, INC | | | 60 00 | | | |
| COALITION OF VOLUNTARY MENTAL HEALTH AGENCIES, INC. | | | 21,000 00 | | | |
| COLGATE UNIVERSITY | | | 750.00 | | | |
| COLLEGE OF CHARLESTON FOUNDATION | | | 1,500 00 | | | |
| COLLEGE OF WILLIAM AND MARY | | | 76,207,23 | | | |
| COLONIAL WILLIAMSBURG FOUNDATION | | | 1,275 00 | | | |
| COMMUNICATION FOR SOCIAL CHANGE CONSORTIUM, INC | | | 8,250 00 | | | |
| COMMUNITY OF THE HOLY SPIRIT | | | 750 00 | | | |
| COMMUNITY VOICES HEARD, INC | | | 1,500.00 | | | |
| CONNECTICUT HUMANE SOCIETY | | | 900 00 | | | |
| COOPERATIVE FOR AMERICAN RELIEF, INC | | | 1,050.00 | | | |
| CORNELLY CENTER | | | 150.00 | | | |
| ON WATER OF STATES | | | 155.55 | | | |

CORO EASTERN CENTER, INC.



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GRANTS AND EXPENDITURES REPORT

| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|----------------------------|--|--|--|--|
| | | # 2 3 5 5 5 5 5 7 . | | | E = 2 2 2 2 2 2 1 1 | ======= |
| CORPORATION OF HAVERFORD COLLEGE | | | 2,250.00 | | | |
| COVENANT HOUSE | | | 1,500 00 | | | |
| CRANBROOK EDUCATIONAL COMMUNITY | | | 4,500.00 | | | |
| DANCE THEATRE OF HARLEM, INC | | | 750.00 | | | |
| DARIEN EMS - POST 53, INC. | | | 300 00 | | | |
| DESERT GREEN FOUNDATION | | | 300.00 | | | |
| DETROIT OMEGA FOUNDATION, INC | | | 375.00 | | | |
| DIOCESE OF ROCKVILLE CENTRE | | | 1,500.00 | | | |
| DIVERSE CITY THEATER CO., INC | | | 1,500 00 | | | |
| DOCTORS WITHOUT BORDERS U.S.A., INC. | | | 648.00 | | | |
| DOCTORS WITHOUT BORDERS USA, INC. | | | 300.00 | | | |
| DONORS CHOOSE, INC. | | | 300.00 | | | |
| DUKE UNIVERSITY | | | 27,319 29 | | | |
| EAST LYNNE COMPANY | | | 22,500.00 | | | |
| EDUCATIONAL BROADCASTING CORPORATION | | | 3,960.00 | | | |
| ENGENDERHEALTH | | | 150.00 | | | |
| ENTERPRISE CORPORATION OF THE DELTA | | | 225 00 | | | |
| ENTERTAINMENT INDUSTRY FOUNDATION (EIF) | | | 75 00 | | | |
| EPISCOPAL CHARITIES OF THE DIOCESE OF NEW YORK | | | 675.00 | | | |
| EPISCOPAL DIOCESE OF ATLANTA IN C/O ABSALOM JONES CENTER | | | 300.00 | | | |
| EPISCOPAL DIOCESE OF LONG ISLAND | | | 5,250.00 | | | |
| EPISCOPAL DIOCESE OF NEW YORK | | | 750 00 | | | |
| EPISCOPAL DIVINITY SCHOOL | | | 4,890.00 | | | |
| EPISCOPAL RELIEF AND DEVELOPMENT | | | 795.00 | | | |
| ESPERANZA PEACE AND JUSTICE CENTER | | | 1,500 00 | | | |
| FAP MATCHING GIFT GRANT | | | 0.00 | | | |
| FEMINIST MAJORITY FOUNDATION | | | 0 00 | | | |
| FIRST PRESBYTERIAN CHURCH OF BERKELEY | | | 10,950.00 | | | |
| FOUNDATION FOR END-OF-LIFE CARE INC | | | 150.00 | | | |
| FREE RANGE ARTS, INC. | | | 4,500.00 | | | |
| FRESH AIR FUND | | | 600.00 | | | |
| FRIENDS OF ALTA | | | 750 00 | | | |
| FRIENDS OF ANIMALS, INC | | | 180.00 | | | |
| FRIENDS OF CLERMONT, INC. | | | 450.00 | | | |
| FRIENDS OF DETROIT SCHOOL OF ARTS | | | 2,850.00 | | | |
| FRIENDS OF HUDSON RIVER PARK | | | 750.00 | | | |
| FRIENDS OF THE MAPLEWOOD MEMORIAL LIBRARY | | | 75.00 | | | |
| FRIENDS OF WEST WINDSOR OPEN SPACE, INC. | | | 75.00 | | | |
| FROM '04 TO '05 MATCH GIFT | | | 0.00 | | | |
| FUNDERS FOR LESBIAN AND GAY ISSUES, INC. | | | 0.00 | | | |
| GATEWAY MINISTRIES INTL, INC. | | | 300.00 | | | |
| | | | | | | |

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750.00

645.00

| GRANTS AND EAFENDITORES RELORT | | | | | | | | |
|--------------------------------|--|---|---------------------|--|--|--|--|--|
| Purpose | Name(s) - Person(s) or Institution(s) | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 | |
| | GAY MEN'S HEALTH CRISIS, INC | | | 2,400 00 | | | | |
| | GENERAL THEOLOGICAL SEMINARY OF THE EPISCOPAL CHURCH | | | 3,450 00 | | | | |
| | GEORGETOWN UNIVERSITY | | | 3,600.00 | | | | |
| | GIRL SCOUTS OF SAN FRANCISCO BAY AREA | | | 105 00 | | | | |
| | GIVE 2 ASIA | | | 4,950.00 | | | | |
| | GLOBAL STRATEGIES FOR HIV PREVENTION | | | 450.00 | | | | |
| | GOD'S LOVE WE DELIVER, INC. | | | 300 00 | | | | |
| | GRAMEEN FOUNDATION USA | | | 300.00 | | | | |
| | GRAND TRAVERSE REGIONAL LAND CONSERVANCY | | | 1,800 00 | | | | |
| | GRASSROOTS INTERNATIONAL, INC | | | 3,000 00 | | | | |
| | GREATER WASHINGTON EDUCATIONAL TELECOMUNICATIONS ASSC | | | 375 00 | | | | |
| | GREATER YELLOWSTONE COALITION, INC | | | 7,500 00 | | | | |
| | GREEN SPHERE INCORPORATED | | | 0.00 | | | | |
| | GREENPEACE FUND, INC. | | | 75 00 | | | | |
| | GREENWOOD HISTORIC FUND, INC | | | 1,500 00 | | | | |
| | GROUP I ACTING COMPANY | | | 9,000.00 | | | | |
| | HABITAT FOR HUMANITY INTERNATIONAL, INC. | | | 1,800 00 | | | | |
| | HARLEM CONGREGATIONS FOR COMMUNITY IMPROVEMENT, INC | | | 2,700 00 | | | | |
| | HARLEM EDUCATIONAL ACTIVITIES FUND, INC | | | 2,250 00 | | | | |
| | HARVARD UNIVERSITY | | | 5,075 01 | | | | |
| | HEIFER PROJECT INTERNATIONAL | | | 3,000 00 | | | | |
| | HEIFER PROJECT INTERNATIONAL, INC | | | 1,200 00 | | | | |
| | HELP HOSPITALIZED VETERANS | | | 60 00 | | | | |
| | HETRICK-MARTIN INSTITUTE, INC | | | 7,500 00 | | | | |
| | HIGH HOPES THERAPEUTIC RIDING, INC | | | 7,500 00 | | | | |
| | HILLSBOROUGH CHINESE LANGUAGE SCHOOL, INC | | | 8.700.00 | | | | |
| | HINDU TEMPLE OF SAN ANTONIO | | | 300 00 | | | | |
| | HOLISTIC MOMS NETWORK, INC | | | 150 00 | | | | |
| | HOPKINS COMMITTEE OF TRUSTEES, INC. | | | 600 00 | | | | |
| | HOSPICE OF MARIN FOUNDATION | | | 750.00 | | | | |
| | HUMANE SOCIETY OF NEW YORK | | | 300 00 | | | | |
| | HUMANE SOCIETY OF THE U.S. | | | 390 00 | | | | |
| | HUMANITY IN ACTION INC | | | 900 00 | | | | |
| | HUNTER COLLEGE FOUNDATION, INC | | | 4,500.00 | | | | |
| | HUNTINGTON HOSPITAL ASSOCIATION | | | 150 00 | | | | |
| | IMMACULATE HEART COMMUNITY | | | 225.00 | | | | |
| | INSTITUTE FOR PUERTO RICAN POLICY | | | 750.00 | | | | |
| | INTERCULTURAL NURSING, INC. | | | 345.00 | | | | |
| | INTERFAITH CARING MINISTRIES, INC. | | | 1,500.00 | | | | |
| | INTERNATIONAL OCUTED FOR OFFICE POLICY AND AND AND AND AND AND AND AND AND AND | | | | | | | |

INTERNATIONAL CENTER FOR RESEARCH ON WOMEN

INTERNATIONAL ORGANIZATION FOR ADOLESCENTS, INC.



THE ROCKEFELLER FOUNDATION

Identification Number 13-1659629

GRANTS AND EXPENDITURES REPORT

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|-----------------------------------|
| NATERIAL DATE DE LA COCCULATION (NO | | | 450.00 | | | |
| INTERNATIONAL PARURESIS ASSOCIATION, INC. | | | 450.00 | | | |
| INTERNATIONAL RESCUE COMMITTEE | | | 3,000 00 | | | |
| INTERNATIONAL WOMEN'S HEALTH COALITION | | | 1,500 00 | | | |
| INTERRELIGIOUS FOUNDATION FOR COMMUNITY ORGANIZATION, INC | | | 600 00 | | | |
| ITALIAN GREYHOUND RESCUE FOUNDATION | | | 975 00 3,000.00 | | | |
| IVORYTON PLAYHOUSE FOUNDATION, INC | | | • | | | |
| JACKSON LABORATORY | | | 15,000.00 | | | |
| JAMAICA IMPACT, INC | | | 1,950 00 75 00 | | | |
| JAMES MADISON HIGH SCHOOL ALUMNI ASSOCIATION, INC JAPANESE AMERICAN SOCIAL SERVICES INC | | | 300 00 | | | |
| JOAN MILLER & THE CHAMBER ARTS / DANCE PLAYERS | | | 300 00 | | | |
| JOHNS HOPKINS UNIVERSITY | | | 4,500 00 | | | |
| JUVENILE DIABETES RESEARCH FOUNDATION INTERNATIONAL | | | 75 00 | | | |
| KALW RADIO | | | 375.00 | | | |
| KECK GRADUATE INSTITUTE OF APPLIED LIFE SCIENCES | | | 3,000.00 | | | |
| KENT STATE UNIVERSITY FOUNDATION, INC | | | 4,500 00 | | | |
| KHYENTSE FOUNDATION | | | 375.00 | | | |
| KQED, INC. | | | 1,296 00 | | | |
| L.S.U. FOUNDATION | | | 750.00 | | | |
| LAKE SCHOOL CORPORATION | | | 600 00 | | | |
| LANDMARK COLLEGE INC | | | 375.00 | | | |
| LARK THEATRE COMPANY, INC. | | | 60 00 | | | |
| LATIN AMERICA MISSION | | | 450.00 | | | |
| LEAGUE TO SAVE LAKE TAHOE | | | 450 00 | | | |
| LEUKEMIA & LYMPHOMA SOCIETY | | | 150.00 | | | |
| LEUKEMIA & LYMPHOMA SOCIETY, INC | | | 90 00 | | | |
| LEUKEMIA & LYMPHOMA SOCIETY, INC. | | | 3,705 00 | | | |
| LINCOLN CENTER FOR THE PERFORMING ARTS | | | 225 00 | | | |
| LITTLE FLOCK CHILDREN'S HOMES, INC | | | 300 00 | | | |
| LOCAL INITIATIVE SUPPORT, TRAINING & EDUCATION NETWORK, INC | | | 1,500.00 | | | |
| LOWER MANHATTAN CULTURAL COUNCIL | | | 600 00 | | | |
| LSE CENTENNIAL FUND, INC. | | | 1,050.00 | | | |
| MAKE-A-WISH FOUNDATION OF AMERICA | | | 150.00 | | | |
| MAKING WAVES EDUCATION PROGRAM | | | 300 00 | | | |
| MARCH OF DIMES BIRTH DEFECTS FOUNDATION | | | 105 00 | | | |
| MARINE BIOLOGICAL LABORATORY | | | 3,000.00 | | | |
| MARY WASHINGTON COLLEGE FOUNDATION MARY WASHINGTON COLLEGE | | | 300 00 | | | |
| MARYMOUNT MANHATTAN COLLEGE | | | 4,050.00 | | | |
| MATCHING GIFT ADJUSTMENT | | | 0 00 | | | |
| MEMORIAL SLOAN-KETTERING CANCER CENTER | | | 450.00 | | | |
| MERCY CORPS | | | 1,500.00 | | | |

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| Purpose | ame(s) - Person(s) or Institution(s) | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---------|---|---|---------------------|--|--|--|--|
| | | | | | | | |
| Į. | METROPOLITAN MUSEUM OF ART | | | 1,575 00 | | | |
| 1 | METROPOLITAN OPERA | | | 375.00 | | | |
| 1 | METROPOLITAN OPERA ASSOCIATION. INC. | | | 6,150 00 | | | |
| | MEXICAN AMERICAN LEGAL DEFENSE AND EDUCATIONAL FUND | | | 7,500.00 | | | |
| | MEXICAN MUSEUM | | | 6,000 00 | | | |
| | MICHIGAN HUMANE SOCIETY | | | 300 00 | | | |
| 1 | MICHIGAN STATE UNIVERSITY | | | 30,450.00 | | | |
| • ; | MIDDLE TENNESSEE COUNCIL, BOY SCOUTS OF AMERICA | | | 1,500 00 | | | |
| 1 | MONTEREY INSTITUTE OF INTERNATIONAL STUDIES | | | 21,000.00 | | | |
| 1 | MORE THAN MONEY, INC | | | 187.50 | | | |
| 1 | MOTHERS AGAINST DRUNK DRIVING | | | 75 00 | | | |
| 1 | MOUNT HOLYOKE COLLEGE | | | 6,000 00 | | | |
| į. | MOUNT MORIAH PENTECOSTAL CHURCH OF GOD, INC | | | 75.00 | | | |
| | MOUNT SAINT DOMINIC ACADEMY | | | 375.00 | | | |
| 1 | MULLER WORKS FOUNDATION | | | 450 00 | | | |
| Į. | MUSCULAR DYSTROPHY ASSOCIATION | | | 1,500 00 | | | |
| ı | MUSE FILM AND TELEVISION | | | 1,200 00 | | | |
| ! | MUSEUM OF FINE ARTS | | | 1,500 00 | | | |
| 1 | MUSICAL MASTERWORKS, INC | | | 2,250 00 | | | |
| ı | NAACP LEGAL DEFENSE AND EDUCATIONAL FUND, INC | | | 375.00 | | | |
| | NAT. CONSORTIUM FOR GRADUATE DEGREES FOR MINORITIES IN ENGINEERING & SC | | | 7,500.00 | | | |
| 1 | NATIONAL ASIAN AMERICAN TELECOMMUNICATIONS ASSOCIATION | | | 750 00 | | | |
| 1 | NATIONAL ASSOCIATION OF LATINO ARTS AND CULTURE | | | 1,500.00 | | | |
| ł | NATIONAL AUDUBON SOCIETY, INC | | | 1,800.00 | | | |
| 1 | NATIONAL CATHEDRAL SCHOOL | | | 3,000 00 | | | |
| 1 | NATIONAL LAW INCOME HOUSING COALITION | | | 750.00 | | | |
| t | NATIONAL MULTIPLE SCLEROSIS SOCIETY, NYC CHAPTER | | | 75 00 | | | |
| 1 | NATIONAL PHILANTHROPIC TRUST | | | 150.00 | | | |
| 1 | NATIONAL PUBLIC RADIO, INC | | | 1,500 00 | | | |
| 1 | NATIONAL TAY-SACHS & ALLIED DISEASES ASSOCIATIONS OF DELAWARE VALLEY | | | 150 00 | | | |
| h | NATIVITY SCHOOL OF WORCESTER | | | 22,750 86 | | | |
| 1 | NATURAL RESOURCES DEFENSE COUNCIL, INC | | | -105.00 | | | |
| 1 | NATURAL RESOURCES DEFENSE COUNCIL, INC | | | 7,500 00 | | | |
| 1 | NELSON MANDELA CHILDREN'S FUND USA, INC. | | | 750 00 | | | |
| 1 | NETAID | | | 750 00 | | | |
| 1 | NEW YORK BOTANICAL GARDEN | | | 240 00 | | | |
| | NEW YORK COMMUNITY TRUST | | | 3,000 00 | | | |
| 1 | NEW YORK FOUNDATION FOR THE ARTS, INC | | | 750 00 | | | |
| | NEW YORK INSTITUTE FOR PSYCHOTHERAPY TRAINING IN INFANCY CHILDHOOD & AL | | | 375.00 | | | |
| | NEW YORK LANDMARKS CONSERVANCY | | | 750 00 | | | |
| | NEW YORK RESTORATION PROJECT | | | 300.00 | | | |
| - | | | | 223.00 | | | |



THE ROCKEFELLER FOUNDATION

Identification Number 13-1659629

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) o Purpose | r institution(s) | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|--|---|---------------------|--|--|--|--|
| NEW YORK SHAKES | SPEARE FESTIVAL | | | 1,500 00 | | | |
| NEW YORK TIMES N | NEEDIEST CASES FUND | | | 3,000.00 | | | |
| NEW YORK UNIVER | RSITY | | | 75 00 | | | |
| NEW YORK WEILL O | CORNELL MEDICAL CENTER | | | 300.00 | | | |
| NEW YORK WOMEN | V'S FOUNDATION | | | 1,500.00 | | | |
| NEWARK PUBLIC R | ADIO INC. | | | 150.00 | | | |
| NIAGARA FRONTIE | R HOSPICE FOUNDATION | | | 3,000 00 | | | |
| NORTH SHORE AN! | MAL LEAGUE AMERICA | | | 300.00 | | | |
| NORTH SHORE ANI | MAL LEAGUE, INC | | | 300.00 | | | |
| NYSARC, INC - SUF | FOLK COUNTY CHAPTER | | | 75 00 | | | |
| OAK KNOLL SCHOO | DL OF THE HOLY CHILD | | | 750.00 | | | |
| OCEAN CONSERVA | NCY | | | 90 00 | | | |
| OKLAHOMA STATE | UNIVERSITY FOUNDATION | | | 3,000.00 | | | |
| OPERATION VISION | 1007 | | | 750.00 | , | | |
| OPRAH'S ANGEL NE | ETWORK | | | 375.00 | | | |
| ORANGUTAN FOUN | DATION | | | 120.00 | | | |
| ORDER OF ST. HELI | ENA | | | 198.00 | | | |
| OUR LADY OF PEAC | CE CHURCH | | | 1,956 00 | | | |
| OUR LADY OF PEAC | CE VACATION BIBLE SCHOOL | | | 60 00 | | | |
| OXFAM AMERICA | | | | 300.00 | | | |
| OXFAM AMERICA, II | NC. | | | 2,400 00 | | | |
| P.S. 161 | • | | | 1,440 00 | | | |
| PACIFIC COUNCIL O | ON INTERNATIONAL POLICY | | | 750 00 | | | |
| PACIFIC LUTHERAN | UNIVERSITY | | | 2,250 00 | | | |
| PAN-MASSACHUSE | TTS CHALLENGE | | | 150 00 | | | |
| PAN-MASSACHUSE | TTS CHALLENGE TRUST | | | 375 00 | | | |
| PARALYZED VETER | ANS OF AMERICA | | | 300.00 | | | |
| PARENT TEACHERS | S ASSOCIATION OF P.S 40 MANHATTAN | | | 1,500.00 | | | |
| PARTNERS FOR SA | CRED PLACES, INC | | | 150.00 | | | |
| PEAR TREE POINT S | SCHOOL FOUNDATION | | | 6,000 00 | | | |
| PEARL THEATRE CO | OMPANY, INC | | | 1,980 00 | | | |
| PEKING UNIVERSIT | Y EDUCATION FOUNDATION (U.S.A.) | | | 5,400 00 | | | |
| PENCIL, INC | | | | 750.00 | | | |
| PHILIPPINE EDUCAT | TIONAL THEATER ASSOCIATION | | | 9,000 00 | | | |
| PIEDMONTERS FOR | RESOURCES ADVOCACY AND INFORMATION IN SPECIAL EDUCAT | | | 150 00 | | | |
| PLANNED PARENTH | HOOD OF CENTRAL & NORTHERN ARIZONA | | | 750.00 | | | |
| PLATTSBURGH COL | LEGE FOUNDATION, INC | | | 150.00 | | | |
| PLEASANT VALLEY | ASSOCIATION, INC | | | 3,750.00 | | | |
| PLOUGHSHARES FL | DND | | | 1,500.00 | | | |
| POLYHYMNIA MUSIC | C FOUNDATION, INC | | | 1,650.00 | | | |
| PORT CHESTER DO | G TRAINING ASSOCIATION, INC. | | | 333.00 | | | |
| | | | | | | | |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| | | | | | | |
| PRATT INSTITUTE | | | 750.00 | | | |
| PRESBYTERIAN CHURCH OF UPPER MONTCLAIR | | | 2,100.00 | | | |
| PRESIDENT & FELLOWS OF MIDDLEBURY COLLEGE | | | 150.00 | | | |
| PRESIDENT & TRUSTEES OF BATES COLLEGE | | | 90,000.00 | | | |
| PRINCETON FRENCH SCHOOL | | | 180 00 | | | |
| PRINCETON UNIVERSITY | | | 1,500.00 | | | |
| PRISONERS' READING ENCOURAGEMENT PROJECT, INC | | | 750 00 | | | |
| PROGRESS FOUNDATION | | | 1,125.00 | | | |
| PROTESTANT EPISCOPAL THEOLOGICAL SEMINARY IN VIRGINIA | | | 750 00 | | | |
| PUBLIC AGENDA FOUNDATION, INC | | | 3,000.00 | | | |
| PUENTE LEARNING CENTER | | | 750 00 | | | |
| PUTNAM COUNTY HUMANE SOCIETY, INC | | | 1,500 00 | | | |
| QUEENS UNIVERSITY OF CHARLOTTE | | | 4,500.00 | | | |
| REGENTS OF THE UNIVERSITY OF MICHIGAN | | | 54,000 00 | | | |
| RESOURCE INSTITUTE FOR LOW ENTROPY SYSTEMS | | | 3,000 00 | | | |
| RESOURCES FOR CHILDREN WITH SPECIAL NEEDS | | | 450 00 | | | |
| ROMAN CATHOLIC ARCHBISHOP OF LOS ANGELES | | | 3,000.00 | | | |
| RUSH UNIVERSITY MEDICAL CENTER | | | 750 00 | | | |
| RUTGERS UNIVERSITY FOUNDATION | | | 150 00 | | | |
| RWJ UNIVERSITY HOSPITAL FOUNDATION, INC. | | | 150 00 | | | |
| SAINT DAVID'S SCHOOL | | | 750 00 | | | |
| SAINT LUKE'S PARISH | | | 3,000 00 | | | |
| SALVATION ARMY | | | 3,750 00 | | | |
| SALVATION ARMY & IT'S COMPONENTS | | | 3,000 00 | | | |
| SALVATION ARMY & ITS COMPONENTS | | | 0 00 | | | |
| SALVATION ARMY AND ITS COMPONENTS | | | 150 00 | | | |
| SAMTEN TSE CHARITABLE SOCIETY | | | 1,500 00 | | | |
| SAN DOMENICO SCHOOL FOR GIRLS | | | 750 00 | | | |
| SANTA FE OPERA | | | 5,250 00 | | | |
| SANTEN TSE CHARITABLE SOCIETY | | | 9,375 00 | | | |
| SARAH LAWRENCE COLLEGE | | | 7,500 00 | | | |
| SAVE THE CHILDREN FEDERATION, INC | | | 11,700 00 | | | |
| SAVE VENICE, INC. | | | 2,250.00 | | | |
| SCIENTIFIC TECHNOLOGY AND SUSTAINABLE AGRICULTURE DEVELOPMENT STSAD, I | | | 2,400.00 | | | |
| SEABROOK ISLAND GREEN SPACE CONSERVANCY | | | 150.00 | | | |
| SEACARE HEALTH SERVICES | | | 150 00 | | | |
| SELF-HELP GRAPHICS AND ARTS, INC. | | | 5,250.00 | | | |
| SHARED INTEREST, INC. | | | 5,000.01 | | | |
| SIGMA PI PHI FOUNDATION, INC. | | | 3,750.00 | | | |
| SISTERS OF THE HOLY FAMILY IN NEW ORLEANS | | | 4,875 00 | | | |
| SMART KIDS WITH LEARNING DISABILITIES INC | | | -75.00 | | | |
| | | | | | | |



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4,500.00

| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| SOCIETY OF THE SACRED HEART | | | 375 00 | | | |
| SOPHIA PROJECT | | | 1,500.00 | | | |
| SOPHIE DAVIS SCHOOL OF BIOMEDICAL EDDUCATION CONY | | | 3,000.00 | | | |
| SOS BEAGLE RESCUE, INC | | | 150.00 | | | |
| SOUTH GREENBURG PRESBYTERIAN CHURCH | | | 15,000.00 | | | |
| SOUTH ORANGE / MAPLEWOOD COMMUNITY COALITION ON RACE, INC. | | | 75.00 | | | |
| SOUTHERN MUTUAL HELP ASSOCIATION, INC | | | 825.00 | | | |
| SOUTHERN POVERTY LAW CENTER | | | 750.00 | | | |
| SPAFFORD CHILDREN'S CENTER ASSOCIATION | | | 675.00 | | | |
| SPECIAL OLYMPICS NEW YORK, INC. | | | 150.00 | | | |
| ST JOHN'S PREPARATORY SCHOOL | | | 75 00 | | | |
| ST. JOSEPH'S CHURCH | | | 210.00 | | | |
| ST. JUDE CHILDREN'S RESEARCH HOSPITAL | | | 60.00 | | | |
| ST. LUKE'S COMMUNITY SERVICES, INC | | | 300.00 | | | |
| ST. NICHOLAS OF TOLENTINE SCHOOL | • | | 300.00 | | | |
| ST. PATRICK'S CHURCH | | | 3,465.00 | | | |
| ST. THOMAS ACADEMY | | | 1,500 00 | | | |
| STANDISH SOFTBALL ASSOCIATION | | | 600.00 | | | |
| STONY BROOK-MILLSTONE WATERSHED ASSOCIATION | | | 213 00 | | | |
| STRATEGIC CONCEPTS IN ORGANIZING & POLICY EDUCATION SCOPE | | | 1,500 00 | | | |
| SUFI FOUNDATION OF AMERICA | | | 450.00 | | | |
| SUSAN G. KOMEN BREAST CANCER FOUNDATION, INC | | | 75.00 | | | |
| SYNERGOS INSTITUTE | | | 20,150 01 | | | |
| THE MASTERS SCHOOL | | | 1,500 00 | | | |
| THOMAS GILCREASE MUSEUM ASSOCIATION | | | 1,500 00 | | | |
| THOMAS JEFFERSON MEMORIAL FOUNDATION, INC. | | | 90,000.00 | | | |
| TOWN OF MAMARONECK FIRE DEPT | | | 60 00 | | | |
| TRANSFAIR USA | | | 90 00 | | | |
| TREEHOUSE SHAKERS, INC | | | 3,300.00 | | | |
| TRINITY EVANGELICAL LUTHERAN CHURCH | | | 577 50 | | | • |
| TRINITY LUTHERAN CHURCH | | | 375 00 | | | |
| TRINITY-ST. PAUL'S EPISCOPAL CHURCH | | | 150.00 | | | |
| TRUSTEES OF BURLINGTON COLLEGE % ST MARY'S HALL | | | 3,000 00 | | | |
| TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK | | | 150.00 | | | |
| TRUSTEES OF PHILLIPS ACADEMY | | | 75.00 | | | |
| TRUSTEES OF PRINCETON UNIVERSITY | | | 300 00 | | | |
| UNITED JEWISH COMMUNITIES, INC | | | 300.00 | | | |
| UNITED METHODIST CHURCH OF NEW FAIRFIELD | | | 57,150.00 | | | |
| UNITED NEGRO COLLEGE FUND | | | 375.00 | | | |
| UNITED STATES FUND FOR UNICEF | | | 1,200.00 | | | |

UNITED WAY OF WESTCHESTER AND PUTNAM, INC.

PROGRAM

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| COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| | | | ======== | ***** | | ******* |
| UNIVERSITY OF CALIFORNIA DAVIS | | | 1,500 00 | | | |
| UNIVERSITY OF CALIFORNIA OF LOS ANGELES FOUNDATION | | | 10,500 00 | | | |
| UNIVERSITY OF CALIFORNIA, BERKELEY FOUNDATION | | | 1,650.00 | | | |
| UNIVERSITY OF CALIFORNIA, LOS ANGELES | | | 1,950 00 | | | |
| UNIVERSITY OF CHICAGO | | | 300.00 | | | |
| UNIVERSITY OF MAINE, THE | | | 3,750.00 | | | |
| UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL | | | 90,750 00 | | | |
| UNIVERSITY OF TEXAS AT AUSTIN | | | 1,500.00 | | | |
| UNIVERSITY OF TEXAS AT EL PASO | | | 105,000 00 | | | |
| UNIVERSITY OF WASHINGTON FOUNDATION | | | 45,000 00 | | | |
| VASHON UNITED METHODIST CHURCH | | | 8,415 00 | | | |
| VASSAR COLLEGE | | | 1,800 00 | | | |
| WARNER LIBRARY | | | 150 00 | | | |
| WAVE HILL, INC | | | 375 00 | | | |
| WELLESLEY COLLEGE | | | 3,000 00 | | | |
| WEST HARLEM ENVIRONMENTAL ACTION | | | 600 00 | | | |
| WEST SIDE YMCA | | | 4,200 00 | | | |
| WIND RIVER ALLIANCE | | | 750 00 | | | |
| WNYC RADIO | | | 2,010 00 | | | |
| WOMEN IN NEED, INC | | | 3,150 00 | | | |
| WORLD WILDLIFE FUND, INC. | | | 60 00 | | | |
| YALE UNIVERSITY | | | 450 00 | | | |
| YOUNG DANCERS IN REPERTORY, INC. | | | 3,750.00 | | | |
| TOTAL: 50 - ASSETS & CAPACITIES | 5.580.032.92 | 3.442.230.00 | 4.363.827.70 | 82,317,26 | 18.049.20 | 4.558.068.76 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE CAMBODIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Federation for the Development of the Book Sector in Cambodia #29AEo, St. 118 Sangkat Phsar Depo 3 Khan Tuol Kok Phnom Penh, Cambodia toward the costs of a series of promotional, networking and communications activities designed to develop and strengthen a book culture in Cambodia | 0.00 | 90,000.00 | 0.00 | 0.00 | 0.00 | 90,000.00 |
| Reyum P.O. Box 2438 Phnom Penh, Cambodia toward research, public education and outreach activities to encourage understanding of Cambodian cultural forms and toward the organization's stabilization efforts | 0.00 | 251,480.00 | 122,140.00 | 0.00 | 0.00 | 129,340.00 |
| Royal University of Fine Arts Phnom Penh, 12201 Cambodia toward the costs of the Cambodian Artists Mentorship Program | 100,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 50,000.00 |
| ENGLAND International Association for Religious Freedom | | | | | | |
| 2 Market Street Oxford, OX1 3EF England | | | | | | |
| toward the costs of a project to develop a "Voluntary Code of Conduct for Religious Communities" | 4,043.60 | 0.00 | 4,043.60 | 0.00 | 0.00 | 0.00 |
| JAMAICA | | | | | | |
| University of the West Indies 3 Gibralter Camp Road Mona Kingston, 7 Jamaica | | | | | | |
| for use by its Cultural Studies initiative toward the costs of a program that will bring noted scholars to the University for workshops, lectures and symposia | 26,320.00 | 0.00 | 26,320.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE MEXICO | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Universidad Nacional Autónoma de México Av Universidad No 3000 Torre de Rectoría Ciudad Universitaria Mexico City, 04510 Mexico for use by its Centro Regional de Investigaciones Multidiscipilnarias (CRIM) toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled: "The Cultural Dimensions of the Mexican Transition: Migration, identity, Gender and Violence" | 101,000.00 | 0.00 | 101,000.00 | 0.00 | 0 00 | 0.00 |
| Cape Higher Education Consortium P O Box 18094 Wynberg, 7824 South Africa toward the costs of developing an academic program in African museum and heritage studies, a joint initiative of the University of the Western Cape, the University of Cape Town and the Robben Island Museum | 328,370.00 | 0.00 | 156,840.00 | 0.00 | 0.00 | 171,530.00 |
| District Stx Museum Foundation P.O Box 10178 7905 Caledon Square 25A Buttenmant Street Cape Town, 8000 South Africa toward the costs of research and public education activities addressing the role of memorialization in the reconstruction of cities in South Africa | 45,700.00 | 0.00 | 45,700.00 | 0.00 | 0.00 | 0.00 |
| ZIMBABWE Harare International Festival of the Arts P.O. Box A 42 Avondale Harare, Zimbabwe toward the costs of organizing a pan-African festival for the performing and visual arts in 2005 | 0.00 | 35,000.00 | 35,000.00 | 0.00 | 0.00 | 0.00 |
| UNITED STATES CALIFORNIA Amrita Performing Arts 4098 Piedmont Avenue, #365 Oakland, California 94611-5221 | | | | | | |
| toward the costs of activities to increase opportunities for performing artists and arts groups in Cambodia, such as commissioning new works, researching traditional repertories, and carrying out artists' exchanges | 0.00 | 231,000.00 | 104,000.00 | 0.00 | 0.00 | 127,000.00 |



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PROGRAM UNEXPENDED NET LAPSES REVERSIONS UNEXPENDED COUNTRY **EXPENDITURES US STATE** BALANCE (incl. canes (incl. cancs BALANCE AS OF Grantee Name(s) - Person(s) or Institution(s) AS OF **APPROVED** & recens) & recens) AS OF Dec-2005 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 =======. ------------======: ------**CREATIVITY & CULTURE UNITED STATES** CALIFORNIA ARTScorpsLA 936 Mei Ling Way Los Angeles, California 90012 toward the costs of "Spiraling Roots," a project in which community members will design and create urban art 30,000.00 0.00 0.00 0.00 30,000.00 0.00 gardens to promote cultural pride and civic engagement, and provide a research laboratory for environmental toxin control California State University, Los Angeles 5151 State University Drive Los Angeles, California 90032 for use by its Center for the Study of Genders and Sexualties and its American Communities Program toward the 109.539.00 0.00 109.539.00 0.00 0.00 0.00 costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled: "Becoming and Belonging: The Alchemy of Identity in the Multiethnic Metropolis* Community Partners 606 South Olive Street Suite 2400 Los Angeles, California 90014 99.179.00 50,000.00 0.00 0.00 49,179.00 for use by Khmer Girls in Action, a project of Community Partners, toward the costs of "Stories from Khmer 0.00 Long Beach," an initiative that will engage young Khmer women through the creation of cultural products that document and explore the history, experiences and struggles of Khmer Americans in Long Beach, California Creative Commons Corporation 543 Howard Street Fifth Floor San Francisco, California 94105 toward the costs of its organizational sustainability assessment and "Remarking the Public Domain," a project 0.00 250,000,00 125,000.00 0.00 0.00 125,000.00 that will help clarify the bounds of the public domain to the creative sector Galeria Studio 24 2857 24th Street San Francisco, California 94110 toward the costs of a youth and community multimedia mentorship project linking Latino artists, teenagers from 50,000.00 0.00 50,000.00 0.00 0.00 0.00 Youth Speaks, and students from the San Francisco Art Institute Independent Television Service, Inc. 501 York Street San Francisco, California 94110 toward the costs of travel grants to support global representation at INPUT 2005, a media summit committed to 0.00 75,000,00 75.000.00 0.00 0.00 0.00 the ideal of independent media as a critical tool for civic dialogue and democracy

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES CALIFORNIA La Raza-Gaieria Posada | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cances & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|---|--|
| 1421 R Street Sacramento, California 95814 toward the costs of an exhibition on the Royal Chicano Air Force, a multidisciplinary artist collaborative established in the Sacramento Valley during the Chicano Civil Rights Movement | 20,000.00 | 0.00 | 20,000.00 | 0.00 | 0.00 | 0.00 |
| Teatro Vision Mexican Heritage Plaza 1700 Alum Rock Avenue San Jose, California 95116 toward the costs of a training program for cultural workers engaged in "teatro," using theater as a tool to illuminate social and political issues experienced by Latino and other immigrant communities in California | 100,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 50,000.00 |
| The National Association of Latino independent Producers, inc P.O. Box 1247 Santa Monica, California 90406 toward the costs of a strategic planning retreat and three of its signature programs, the Latino Writers Lab, the Latino Producers Academy, and the Latino Media Resource Guide, which seek to increase Latino presence in all aspects of media production | 0.00 | 200,000.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 |
| University of California, Santa Cruz 1156 High Street Santa Cruz, California 95064 for use by its Center for Cultural Studies toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled: "Other Globalizations: Histories, Trans-regionalisms, and Cultural Formations" | 102,822.00 | 0.00 | 102,822.00 | 0.00 | 0.00 | 0.00 |
| CONNECTICUT Trinity College 300 Summit Street Hartford, Connecticut 06106 for use by its Hartford Studies Project in support of a collaborative documentary film project that will unite community residents, academics and activists in an exploration of the history and deep transitions of Hartford, Connecticut from 1969 to the present | 50,000.00 | 0.00 | 40,000.00 | 0.00 | 0.00 | 10,000.00 |



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GRANTS AND EXPENDITURES REPORT

| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES WASHINGTON, DC American University 4400 Massachusetts Avenue, NW Washington, DC 20016 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|--------------------------------------|---------------------|---------------------------------|--|--|-----------------------------------|
| for use by its Center for Social Media to implement its "Filmmakers' Statement of Best Practices in Fair Use," develop curricular materials related to the Statement and train lawyers and legal service providers about fair use and copyright | 0.00 | 158,807.00 | 158,807.00 | 0.00 | 0.00 | 0.00 |
| for use by its Center for Social Media toward the costs of research on intellectual property rights issues facing documentary filmmakers | 0 00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Public Knowledge 1875 Connecticut Avenue, NW Suite 650 Washington, DC 20009 toward the costs of its project to ensure that copyright and communications policies address the creative sector's right to broad access to copyrighted works and new digital technologies by providing a reliable and innovative information resource on copyright law and communications policy | 0.00 | 150,000.00 | 75,000.00 | 0 00 | 0.00 | 75,000.00 |
| Smithsonian Institution · 1000 Jefferson Drive, S W. Room 205 - MRC 016 Washington, DC 20560 | | | | | | |
| for use by its Center for Folklife and Cultural Hentage toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled: "Theorizing Cultural Heritage" | 215,000.00 | 0.00 | 107,500.00 | 0.00 | 0.00 | 107,500.00 |
| toward the development and installation of three inaugural exhibitions: "Our Universes," "Our Peoples," and "Our Lives" at the National Museum of the American Indian | 50,000.00 | 0.00 | 25,000.00 | 0.00 | 0.00 | 25,000.00 |
| The Urban Institute 2100 M Street, N.W. Washington, DC 20037 | | | | | | |
| toward the costs of "The Arts and Culture Indicators in Community Project," to develop a new paradigm for the Inclusion of arts and culture in quality of life measurements systems and as a dimension of research and policy discussions on community development, neighborhood transformation and civic engagement | 490,049.00 | 0.00 | 490,049.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of the Arts and Culture Indicators Project's strategy to make arts and culture indicators, corresponding data, and information including arts and culture more useful to policy makers in urban planning and cultural policy, with the goal of including the role of the creative sector as an asset in community building | 0.00 | 550,000.00 | 0.00 | 0.00 | 0.00 | 550,000.00 |

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PROGRAM NET LAPSES REVERSIONS UNEXPENDED COUNTRY UNEXPENDED **EXPENDITURES** (incl. cancs (incl. cancs BALANCE **US STATE** BALANCE AS OF APPROVED AS OF & recens) & recens) AS OF Grantee Name(s) - Person(s) or Institution(s) IN 2005 Dec-2005 IN 2005 IN 2005 Dec-2005 01-Jan-2005 Purpose **CREATIVITY & CULTURE UNITED STATES** HAWAII Ka'ala Farm, Inc. PO Box 630 Wai'anae, Hawaii 96792-0630 0.00 0.00 toward the costs of "Care for the Canoe, Cherish the Canoe," a wood carving project which aims to help revive a 50,000.00 0.00 50.000.00 0.00 native Hawaiian sculptural tradition ILLINOIS Columbia College 600 S. Michigan Avenue Chicago, Illinois 60605-1996 0.00 0.00 50,000.00 for use by its Office of Community Arts Partnerships toward the costs of Building the Field: The Next Generation 100.000.00 0.00 50,000.00 Arts Leadership Project, a master's degree program that will provide professional training to youth arts leaders and increase the capacity of community-based arts organizations Columbia College Chicago 600 S. Michigan Avenue Chicago, Illinois 60605-1996 for use by its Center for Black Music Research toward the costs of a program of Rockefeller Foundation Resident 104.075.00 0.00 0.00 0.00 104,075.00 0.00 Fellowships in the Humanities entitled: "Diasporal Unities in the Circum-Caribbean (and Beyond)" Field Museum of Natural History 1400 South Lake Shore Drive Chicago, Illinois 60605 100,000.00 0.00 0.00 0.00 toward the costs of an ethnographic study incorporating asset-mapping techniques to examine the social, 100,000.00 0 00 cultural and artistic resources of recent Mexican immigrants in Chicago Interfaith Youth Core 1111 N. Wells Street, Suite 501 Chicago, Illinois 60610 0.00 toward general support of its mission to build a movement that encourages religious young people to strengthen 0.00 50,000.00 0.00 0.00 50,000.00 their religious identity, build interreligious understanding and cooperate to serve communities Northwestern University 633 Clark Street Evanston, Illinois 60208 for use by its Program in Latin American and Caribbean Studies, Center for International and Comparative 216,660.00 0.00 107,322.00 0.00 0.00 109,338.00 Studies, and Program of African Studies toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled: How Do the Poor Constitute Community?



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PROGRAM UNEXPENDED COUNTRY NET LAPSES REVERSIONS UNEXPENDED **EXPENDITURES US STATE** BALANCE (incl. cancs (Incl. cancs BALANCE AS OF Grantee Name(s) - Person(s) or Institution(s) AS OF APPROVED & recens) & recens) AS OF Dec-2005 IN 2005 IN 2005 IN 2005 01-Jan-2005 Dec-2005 **CREATIVITY & CULTURE** UNITED STATES ILLINOIS The Newberry Library 60 West Walton Street Chicago, Illinois 60610-3380 for use by its D'Arcy McNickle Center for American Indian History toward the costs of a program of Rockefeller 95.52 0.00 95.52 0.00 0.00 0.00 Foundation Resident Fellowships in the Humanities entitled, Tribal Histories and a Plural World: Toward a New Paradiam* University of Illinois at Chicago 601 S. Morgan Street Chicago, Illinois 60607-7115 for use by its Latin American and Latino Studies Program toward the costs of a program of Rockefeller 241,535.35 0.00 112,089.00 0.00 0.00 129,446.35 Foundation Resident Fellowships in the Humanities entitled, "Latino Chicago: A Model for Emerging Latinidades?" University of Illinois at Urbana-Champaign 1401 West Greene Street Urbana, Illinois 61801 for use by its Center for African Studies toward the costs of a program of Rockefeller Foundation Resident 119,935.00 0.00 119,935.00 0.00 0.00 0.00 Fellowships in the Humanities entitled: "Education and African Modernities" 0.00 for use by its Team Engineering Collaboration toward the costs of an ethnographic study incorporating 100,000.00 0.00 100,000.00 0.00 0.00 asset-mapping techniques to examine the social, cultural and artistic resources of recent Mexican immigrants in Chicago INDIANA University of Notre Dame 400 Main Building Notre Dame, Indiana 46556 for use by its Kroc institute for international Peace Studies toward the costs of a program of Rockefeller 212,404,00 0.00 106,500,00 0.00 0.00 105,904.00 Foundation Resident Fellowships in the Humanities entitled: "Program in Religion, Conflict and Peacebuilding" KENTUCKY Appalshop, Incorporated 91 Madison Avenue Whitesburg, Kentucky 41858 for support of "The Robert F. Kennedy Performance Project," a real-time, multi-site re-creation of Robert 0.00 0.00 50,000.00 0.00 50,000.00 0.00 Kennedy's 1968 tour through central Appalachia

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES KENTUCKY Southeast Community College 700 College Road Cumberland, Kentucky 40823 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| for use by its Appalachian Program for "The Harian County Project," a network of artistic and cultural projects to address social conditions and to build community capacity for continuous organizing toward democratic change | 49,470.00 | 0.00 | 49,470.00 | 0.00 | 0.00 | 0.00 |
| University of Kentucky Patterson Office Tower, Room A 18th Floor Lexington, Kentucky 40506-0027 for use by its Committee on Social Theory and its Appalachian Center toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, "Civic Professionalism and Global Regionalism: Justice, Sustainability, and the 'Scaling Up' of Community Participation" | 0.00 | 0.00 | -2,253.24 | 2,253.24 | 0.00 | 0.00 |
| LOUISIANA Tulane University 6823 St Charles Avenue New Orleans, Louisiana 70118 for use by its Stone Center for Latin American Studies toward the costs of a program of Rockefeller Foundation Resident Fellowships In the Humanities entitled: "Shared Inheritances: Comparative Studies in Creativity and Performance" | 98,050.53 | 0.00 | 98,050.53 | 0.00 | 0.00 | 0.00 |
| MAINE University of Maine 200 Alumni Hall Orono, Maine 04469-5703 for use by its New Media Program toward the costs of the Open Art Network, an initiative that aims to empower artists working in digital formats by devising and promoting standards that encourage open access to internet architecture and digital media | 50,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 50,000.00 |
| MARYLAND Johns Hopkins University 3400 North Charles Street Baltimore, Maryland 21218 for use by its Department of Anthropology toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, "The Child on the Wing: Children Negotiating the Everyday Geography of Violence" | 204,750.00 | 0.60 | 104,050.00 | 0.00 | 0.00 | 100,700.00 |



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GRANTS AND EXPENDITURES REPORT

| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES MASSACHUSETTS Angkor Dance Troupe P.O. Box 1553 Lowell, Massachusetts 01853 toward the costs of a traditional Cambodian dance training program, and anciliary training in personal and career development, for at-risk youth from the Cambodian American community | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 =================================== | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|--------------------------------------|---------------------|---|--|--|--|
| Harvard University Massachusetts Hall Cambridge, Massachusetts 02138 toward the costs of a series of conferences entitled, "New Americas," aimed at developing new understandings | 61,250.00 | 0.00 | 0.00 | 0.00 | 0.00 | 61,250.00 |
| of American Society within a global context toward the costs of its Pluralism Project, a research initiative to document and disseminate information about religious pluralism in the United States | 300,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 150,000.00 |
| University of Massachusetts, Boston 100 Morrissey Boulevard Boston, Massachusetts 02125-3393 for use by its Joiner Center for the Study of War and Social Consequences toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, "Culture, Art, Trauma, Survival, Development: Vietnamese Contexts" | 209,459.28 | 0.00 | 116,676.22 | 0.00 | 0.00 | 92,783.06 |
| MICHIGAN University of Michigan 503 Thompson Street 2074 Fleming Administrative Building Ann Arbor, Michigan 48109-1340 for use by its Prison Creative Arts Project toward the costs of "The Linkage Project," which provides workshops, portfolio preparation, mentoring and exhibitions for formerly incarcerated artists | 0.00 | 0.00 | -122.47 | 0.00 | 0.00 | 122.47 |
| MINNESOTA Youth Farm and Market Project 821 E 35th St Minneapolis, Minnesota 55407 for a series of cultural presentations, workshops and performances by members of Mexican, Hmong and Somall Immigrant communities on the West Side of Minneapolis | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES NEW JERSEY African Studies Association, inc Rutgers, The State University of New Jersey Douglass Campus 132 George Street New Brunswick, New Jersey 08901-1400 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| toward the costs of bringing three African scholars to its annual meeting, November 2005 | 0.00 | 12,195.00 | 12,195.00 | 0.00 | 0.00 | 0.00 |
| Princeton University 1 Nassau Hail Princeton, New Jersey 08544 for use by its Center for Arts and Policy Studies toward the costs of research and meetings on: (1) inequality in access to and usage of the Internet; (2) intellectual property issues in the arts; (3) national trends in arts participation; and (4) arts in new immigrant communities | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| NEW YORK Aaron Davis Hall, inc. West 135th Street & Convent Avenue New York, New York 10031 toward the costs of developing and documenting a project aimed at strengthening its work at the nexus between artistic excellence and community and economic development in Hariem Asian Cultural Council, inc. 437 Madison Avenue | 0.00 | 200,000.00 | 299, 000.00 | 0.00 | 0.00 | 0.00 |
| 37th Floor New York, New York 10022-7001 toward the costs of its Mekong Region Arts and Culture Grant Initiative, a three-year fellowship program for artists and scholars from countries in the Mekong region | 213,334.00 | 0.00 | 106,667.00 | 0.00 | 0.00 | 106,667.00 |
| Brooklyn Academy of Music, Inc. 30 Lafayette Avenue Brooklyn, New York 11217-1486 toward the costs of the planning phase of a community-engagement program that will enhance the institution's service to the local area | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| City Futures, Inc 120 Wall Street, 20th Floor New York, New York 10005 for use by its Center for an Urban Future toward the costs of a public relations program to launch the report "Creative New York," an analysis of the role New York City's creative sector plays in community and economic development | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 | 150,000.00 |



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| CR CR | OGRAM DUNTRY S STATE Grantee Name(s) - Person(s) or Institution(s) Purpose EATIVITY & CULTURE NITED STATES IEW YORK Columbia University 202 Low Memorial Library New York, New York 10027 for use by its Department of Sociomedical Sciences toward the costs of a program of Rockefeller Foundation | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 ======= | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 ======= | UNEXPENDED BALANCE AS OF Dec-2005 ======: |
|----------|--|--------------------------------------|---------------------|---|--|---|---|
| | Resident Fellowships in the Humanities entitled, "Program for the Study of Gender, Sexuality, Health, and Human Rights" | • | | | | | _, |
| 4 | Creative Capital Foundation 35 Bleecker Street, 7th floor New York, New York 10012 | | | | | | |
| | for general support of its mission to support artists pursuing innovative approaches to form and content in the media, performing and visual arts, as well as in emerging arts fields | 150,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| | toward the costs of enhancing its fund-raising capacity and re-evaluation of its business model for the Professional Development Program, a program that introduces artists to tools for self-management | 0.00 | 175,000.00 | 0.00 | 0.00 | 0.00 | 175,000.00 |
| | toward the costs of the Multi-Arts Production Fund, a program that supports the creation of new work in the performing arts | 0.00 | 1,300,000.00 | 1,300,000.00 | 0.00 | 0.00 | 0.00 |
| | toward the costs of the Multi-Arts Production Fund, a program that supports the creation of new work in the performing arts | 0.00 | 4,200,000.00 | 0.00 | 0.00 | 0.00 | 4,200,000.00 |
| 3 | Feminist Press To The Graduate Center, CUNY 65 Frith Avenue Sulte 5406 Lew York, New York 10016 | | | | | | |
| | toward the costs of "Women Writing Africa," a four-volume anthology of the work of women writers in Africa | 262,500.00 | 0.00 | 62,980.78 | 0.00 | 0.00 | 199,519,22 |
| | toward the costs of distributing "Women Writing Africa" to university libraries, teacher education and women's studies programs in Africa | 0.00 | 132,500.00 | 132,500.00 | 0.00 | 0.00 | 0.00 |
| | everaging Investments in Creativity 50 West 37th Street Suite 502 New York, New York 10018 | | | | | | |
| | toward the costs of development of its National information Network for the Arts | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES NEW YORK National Video Resources, Inc. 73 Spring Street Suite 403 New York, New York 10012 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) iN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|------------------|---------------------------------|--|--|--|
| for the ongoing activities of Grantmakers in Film and Electronic Media | 0.00 | 15,000.00 | 15,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of the Program for Media Artists, a program that supports film, video and multimedia artists | 0.00 | 1,100,000.00 | 1,100,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of the Program for Media Artists, a program that supports film, video and multi-media artists | 0.00 | 3,750,000.00 | 0.00 | 0.00 | 0.00 | 3,750,000.00 |
| State University of New York at Stony Brook Stony Brook, New York 11794-1201 for use by its Center for Latin American and Caribbean Studies toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled: "Durable Inequalities in Latin America" | 99,980.05 | 0.00 | 99,980.05 | 0.00 | 0.00 | 0.00 |
| William J Brennan Jr. Center for Justice, Inc. toward the costs of its Free Expression Policy Project, which provides information and analysis on free expression issues | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| c/o NYU School of Law 161 Avenue of the Americas 12th Floor New York, New York 10013 toward the costs of its Free Expression Policy Project's Fair Use Empowerment Initiative, which seeks to educate the creative community about intellectual property rights in relation to fair use and freedom of expression Zest for Life Foundation c/o Torys LLP 237 Park Avenue, 20th Fl New York, New York 10017-3142 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| toward the costs of its Malsha program, a filmmakers laboratory and training program dedicated to the support and development of screenwriters and directors in East Africa | 325,000.00 | 0.00 | 201,502.46 | 0.00 | 0.00 | 123,497.54 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES NORTH CAROLINA Art in the Public Interest P.O. Box 68 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Saxapahaw, North Carolina 27340 In support of its work, especially through its Community Arts Network, to promote growth and stability of the community arts field | 100,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 50,000.00 |
| National Humanities Center 7 Alexander Drive P.O Box 12256 Research Triangle Park, North Carolina 27709-2256 toward the costs of an annual award for humanistic achievement in information technology | 100,000,00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of air annear award for maintains of define-emerican minorination technology | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| SOUTH CAROLINA Spoleto Festival USA 14 George St. Charleston, South Carolina 29401 for support of Places with a Future, a public partnership that will bring together Charleston-area institutions, Individuals, artists and architects to examine neighborhood and public areas targeted for urban redevelopment | 75,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 25,000.00 |
| TEXAS | | | • | | | |
| National Association of Latino Arts and Culture 1204 Buena Vista Street San Antonio, Texas 78207 | | | | | | |
| toward the costs of a planning meeting on the future of Latino arts and culture in the changing demographic environment of the United States | 0.00 | 25,000.00 | 25,000.00 | 0.00 | 0.00 | 0.00 |
| Project Row Houses P.O. Box 1011 Houston, Texas 77251-1011 | | | | | | |
| toward the costs of a series of performances and workshops and the creation of a living archive of African American music in the Third Ward community of Houston, Texas | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| WASHINGTON | | | | | | |
| Grantmakers in the Arts 604 West Galer Street | | | | | | |
| Seattle, Washington 98119-3253 | | | | | | |
| toward general operating support of its mission to strengthen the field of private-sector arts and culture grantmaking | 0.00 | 15,000.00 | 15,000.00 | 0.00 | 0.00 | 0.00 |

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|--|---|---------------------|---------------------------------|--|--|-----------------------------------|
| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CREATIVITY & CULTURE UNITED STATES WASHINGTON University of Washington 301 Gerberding Hall Box 351230 Seattle, Washington 98195-1230 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
| for use by its Simpson Center for the Humanities toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled: "Critical Asian Studies: Forum on Trauma, History, and Asia" | 107,007.00 | 0.00 | 107,007.00 | 0.00 | 0.00 | 0.00 |
| Wing Luke Memorial Foundation 407 7th Avenue South Seattle, Washington 98104 toward the costs of "Learning the Past, Living the Present: Sikh Community, Culture and Conversation," a series of youth/elder oral history workshops, a travelling exhibition and a permanent archive to preserve Sikh cultural traditions and to foster community identity and education | 10,000.00 | 0.00 | 5,000.00 | 0.00 | 0.00 | 5,000.00 |
| WISCONSIN University of Wisconsin-Milwaukee Office of the Chancellor P.O. Box 413 Milwaukee, Wisconsin 53201 | | | | | | |
| toward the costs of "Art and Policy: Mapping the Field," a project to research U.S. and international policy that affects the arts both directly and indirectly | 50,910.00 | 0.00 | 50,910.00 | 0.00 | 0.00 | 0.00 |
| TOTAL: 81 - CREATIVITY & CULTURE | 6,019,450.33 | 13,465,982.00 | 8,046,840.45 | 2,253.24 | 0.00 | 11,436,338.64 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| EQUAL OPPORTUNITY UNITED STATES MASSACHUSETTS University of Massachusetts, Lowell 600 Suffolk Street Lowell, Massachusetts 01854 | | 22088222 | | | | |
| to support a research project entitled: "The dynamics of internal labor market evolution: implications for low-skill workers" | 0.00 | 0.00 | -3,935.96 | 3,935.96 | 0.00 | 0.00 |
| NEW YORK New York University 70 Washington Square South 12th Floor New York, New York 10012 | | | | | | |
| to enable its institute for Education and Social Policy to study emerging charter schools in New York City with regard to finance, accountability and school supports | 0.00 | 0.00 | -4,902.00 | 4,902.00 | 0.00 | 0.00 |
| TOTAL: 2-EQUAL OPPORTUNITY | 0.00 | 0.00 | -8,837.96 | 8,837.96 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY AUSTRALIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| CAMBIA Clunies Ross Street at Dickson Rd Black Mountain, 2601 Australia In support of research on the development of a novel gene transfer method for crop improvement that will bypass intellectual property constraints currently limiting application of this technology in subsistence crops | 0.00 | 500,000.00 | 250,000.00 | 0.00 | 0.00 | 250,000.00 |
| Commonwealth Scientific and Industrial Research Organisation Head Office P.O Box 225 Dickson, ACT 2602 Australia In support of research on genetic engineering of cowpea to create new varieties resistant to insect pests called pod borers | 0.00 | 132,250.00 | 132,250.00 | 0.00 | 0.00 | 0.00 |
| University of Queensland St. Lucia, Brisbane, QLD. 4072 Australia toward the costs of establishing a research and extension network aimed at providing farm communities in Cambodia, Laos and Thailand with drought-resistant rice varieties | 212,124.00 | 0.00 | 212,124.00 | 0.00 | 0.00 | 0.00 |
| Viaams interuniversitair instituut voor Biotechnologie Rijvisschestraat 120 Ghent, B-9052 Belgium toward the costs of a project, in collaboration with Uganda's National Agricultural Research Organization, to Increase banana productivity through genetic transformation to Improve the architecture and development time of the East African Highland Banana | 91,380.00 | 0.00 | 17,640.00 | 0.00 | 0.00 | 73,740.00 |
| West Africa Rice Development Association ADRAO/WARDA 01 B P. 2031 Cotonou, Benin | | | | | | |
| toward the costs of field and laboratory research almed at developing more drought-tolerant varieties of rice for farmers in drought-prone areas of sub-Saharan Africa | 569,565.00 | 0.00 | 287,658.00 | 0.00 | 0.00 | 281,907.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY BOTSWANA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| University of Botswana Office of the Vice Chancellor Private Bag 0022 Gaborone, Botswana toward the costs of participation of African scientists at the Annual Conference and Food Exposition of the Institute of Food Technologists, held In New Orleans, Louisiana, July 2005 | 0.00 | 14,999.00 | 14,999.00 | 0.00 | 0.00 | 0.00 |
| CENTRAL AFRICAN REPUBLIC | | | | | | |
| Research in Innovative and Appropriate Technology for Sustainable Development 50, rue Goudronnee B P. 608 Bangui, Central African Republic toward the costs of introducing the New Rice for Africa varieties in the Central African Republic | 0.00 | 11,987.00 | 11,987.00 | 0.00 | 0.00 | 0.00 |
| CHINA | | | | | | |
| | | | | | | |
| Huazhong Agricultural University Wuhan, Hubei Province, 430070 China | | | | | | |
| to generate new rice cultivars and hybrids with significantly improved tolerance to major abiotic stresses such as drought and salinity through over-expression of specific genes | 150,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of research to elucidate the molecular genetic basis of drought tolerance in rice and to breed and distribute new drought-tolerant varieties of rice to both rainfed and poorly irrigated areas of China | 299,591.15 | 0.00 | 0.00 | 0.00 | 0.00 | 299,591.15 |
| Shanghai Academy of Agnicultural Sciences 2901 Beldi Road Shanghai, 201106 China | | | | | | |
| In support of research to be conducted by its Shanghai Agrobiological Gene Center for continued modifications and improvements of screening facilities in Shanghai and Hainan, China, leading to genetically improved drought-tolerant rice | 270,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 120,000.00 |
| to enable its Shanghai Agrobiological Gene Center to conduct research and activities to raise public awareness about the future problems and potential solutions related to water scarcity and rice production in China | 10,000.00 | 0.00 | 10,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY CHINA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) iN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Sichuan Agricultural University Xinkang Road 36 Ya'an Sichuan, 625014 China In support of research on the genetic improvement of malze for drought tolerance in southwestern China, to be conducted by its Malze Research institute | 40,000.00 | 0.00 | 20,000.00 | 0.00 | 0.00 | 20,000.00 |
| University of Science and Technology of China Hefel, 230026 China to generate new rice cultivars and hybrids with significantly improved tolerance to major ablotic stresses such as drought and salinity through over-expression of specific genes | 35,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 35,000.00 |
| COLOMBIA | | | | | | |
| Centro Internacional de Agricultura Tropical Carretera Cali-Palmira Km 17 Apartado Aereo 6713 Cali, Colombia | | | | | | |
| for a collaborative research project applying marker-assisted selection and farmer participatory methods to the production of new disease- and insect-resistant cassava varieties for poor farmers in Tanzania | 59,411.00 | 0.00 | 0.00 | 0.00 | 0.00 | 59,411.00 |
| for use by its Tropical Soil Biology and Fertility Institute for research on integrated soil fertility management for banana production in Kenya and Uganda | 0.00 | 94,000.00 | 94,000.00 | 0 00 | 0.00 | 0.00 |
| for use by its Tropical Soil Biology and Fertility institute for research to expand the production and commercialization of soybeans by smallholder farmers in East Africa | 0.00 | 155,650.00 | 155,650.00 | 0.00 | 0.00 | 0.00 |
| for use by its Tropical Soil Biology Fertility Institute, in collaboration with Moi University's AMPATH, to test a model for improving the food security, nutrition, health and incomes of rural populations, particularly those affected by HIV/AIDS, through the incorporation of soybeans and soybean milk into the diets of adults, children and Infants | 0.00 | 589,050.00 | 310,750.00 | 0.00 | 0.00 | 278,300.00 |
| In support of its Tropical Soil Biology and Fertility Institute's programs in sub-Saharan Africa | 0.00 | 900,000.00 | 550,000.00 | 0.00 | 0.00 | 350,000.00 |
| In support of research on the genetic improvement of bush and climbing beans for East, central and southern Africa | 0.00 | 287,500.00 | 100,050.00 | 0.00 | 0.00 | 187,450.00 |
| in support of research on the quantitative and molecular genetic analysis of important agronomic traits in cassava, conducted by a Ugandan Ph.D. candidate | 0.00 | 18,000.00 | 18,000.00 | 0.00 | 0.00 | 0.00 |



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PROGRAM REVERSIONS COUNTRY UNEXPENDED NET LAPSES UNEXPENDED EXPENDITURES (incl. cancs **US STATE** BALANCE (incl. cancs BALANCE Grantee Name(s) - Person(s) or Institution(s) AS OF **APPROVED** AS OF & recens) & recens) AS OF IN 2005 Dec-2005 Purpose 01-Jan-2005 IN 2005 IN 2005 Dec-2005 ----------=======: FOOD SECURITY COLOMBIA Centro Internacional de Agricultura Tropical in support of research to be conducted in collaboration with the Max Planck Institute for Plant Breeding 101,200.00 0.00 0.00 0.00 0.00 101,200.00 Research, to enhance the ability of breeders to Improve cassava and tropical fruits by over-expression of known genes that allow breeders to control the timing and extent of flowering In support of the training of young scientists from East Africa in cassava and rice breeding 0.00 189,800.00 119,325,00 0.00 0.00 70.475.00 toward the costs of developing and coordinating a network of researchers working to improve cassava breeding 676,800,00 0.00 336,800.00 0.00 0.00 340,000.00 through the development and use of inbred lines that breed true from one generation to the next toward the costs of the "Sixth International Scientific Meeting of the Cassava Biotechnology Network: Adding 37.500.00 0.00 37,500,00 0.00 0.00 0.00 Value to a Small-Farmer Crop," to be held in Call, Colombia, March 2004 **ENGLAND** Calibre Consultants 33 Princes Street Reading, RG1 4EG England toward the costs of travel for participants in the book conference, "Starter Packs: A Strategy to Fight Hunger in 0.00 0.00 -7,661.50 7.661.50 0.00 0.00 Developing and Transition Countries, " to be held at the Bellagio Study and Conference Center, Italy, October 2004 FARM-Africa 9-10 Southampton Place London, WC1A 2EA England in support of the second phase of the Maendeleo Agricultural Technology Fund's efforts to promote adoption of 500,000.00 0.00 155,780.00 0.00 0.00 344,220.00 innovative technologies for improving agriculture. Ilvestock and natural resource management in eastern Africa Rothamsted Research Limited Harpenden Herts, AL5 2JQ England toward the costs of an international conference entitled interDrought-li, on using advances in breeding and the 0.00 135,000.00 135,000.00 0.00 0.00 0.00 genetics of drought tolerance for crop improvement, held in Rome, Italy, September 2005

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY GERMANY | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Max Planck Society for the Advancement of Science Hofgartenstr. 8 Munich, 80539 Germany for use by its Max Planck institute for Plant Breeding Research to conduct research, in collaboration with the Centro Internacional de Agricultura Tropical, to enhance the ability of breeders to improve cassava and tropical fruits by over-expression of known genes that allow breeders to control the timing and extent of flowering | 77,000.00 | 0.00 | 43,500.00 | 0.00 | 0.00 | 33,500.00 |
| Birsa Agricultural University P.O Kanke, Ranchi 834 006 Jharkhand, India toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with the Gramin Vikas Trust and the University of Wales | 0.00 | 116,287.00 | 50,521.00 | 0.00 | 0.00 | 65,766.00 |
| CCS Haryana Agricultural University Hisar, 125 004 India for molecular marker and transformation research leading to the development of drought and salinity tolerant varieties of Basmati rice for use by Indian farmers | 167.22 | 0.00 | 0.00 | 167. 22 | 0.00 | 0.00 |
| for research and Ph.D. training leading to the use of molecular markers to enhance disease resistance in sorghum | 25.37 | 0.00 | 0.00 | 25.37 | 0.00 | 0.00 |
| Gramin Vikas Trust 5th Floor, A-Wing, Kribhco Bhawan A-10, Section -1, Gautam Budh Nagar (U P.) Noida, 201301 India toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with Birsa Agricultural University and the University of Wales | 0.00 | 258,936.00 | 50,649.00 | 0.00 | 0.00 | 208,287.00 |
| Indira Gandhi Agricultural University P.B. 94 Krishak Nagar Raipur, 492006 India for research on field screening, molecular genetic analysis, and breeding leading to more drought tolerant and gall midge resistant rice varieties | 3,181.13 | 0.00 | -950.22 | 4,131.35 | 0.00 | 0.00 |



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PROGRAM COUNTRY UNEXPENDED NET LAPSES REVERSIONS UNEXPENDED **EXPENDITURES US STATE BALANCE** (incl. cancs (incl. cancs BALANCE AS OF Grantee Name(s) - Person(s) or institution(s) AS OF **APPROVED** & recens) & recens) AS OF IN 2005 Dec-2005 Purpose 01-Jan-2005 IN 2005 IN 2005 Dec-2005 -------------------FOOD SECURITY INDIA Indira Gandhi Agricultural University toward the costs of development and distribution of drought-tolerant rice varieties to farmers in eastern India 0.00 120,395.00 0.00 27,665.00 0.00 92,730.00 through rice genetic improvement and farmer participatory selection techniques International Centre for Genetic Engineering and Biotechnology Aruna Asaf Ali Marg New Delhi, 110 067 India to enable its New Deihi component to train and conduct collaborative research with other Indian institutions on 0.00 0.00 -298.00 298.00 0.00 0.00 the use of marker assisted selection in breeding for stress tolerance in rice International Crops Research Institute for the Semi-Arid Tropics A.P. Patancheru, 502 324 India for research on genetic improvement and increased diversification of pigeon pea, to enhance the crop's 296,600.00 0.00 159,400,00 137,200,00 0.00 0.00 productivity in eastern and southern Africa for the second phase of a joint research project with the institut de Economie Rurale, Mali, on "Guinea sorghum 141,200,00 0.00 141,200.00 0.00 0.00 0.00 hybrids: bringing the benefits of hybrid technology to a staple crop of West Africa" In support of research on the characterization and more effective utilization of genetic diversity for sorghum 0.00 226.500.00 62,100.00 0.00 0.00 164,400.00 improvement in eastern and central Africa In support of research to determine the potential value of pearl millet top-cross hybrids in West Africa by 45,825.00 0.00 45,825.00 0.00 0.00 0.00 assessing levels of hybrid vigor across different growing environments during the 2004 growing season In support of research, in collaboration with the institute of Rural Economy, on improved sorghum hybrids for 0.00 288,800.00 112,080.00 0.00 0.00 176,720.00 Africa and methods for large-scale production of hybrid sorghum seed to develop, test and transfer market technologies and institutional innovations that improve the effectiveness of 150.725.00 0.00 150,725,00 0.00 0.00 0.00 the marketing system for raising the incomes of poor farmers growing grain legumes in Malawl and Mozambique Narendra Deva University of Agriculture and Technology Kumarganj Falzabad, 224229 India In support of a project to increase its capacity to develop and distribute drought-tolerant rice varieties to rice 0.00 220,000.00 105,600.00 0.00 0.00 114,400.00 farming communities in the drought-prone regions of central and eastern India

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY INDIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Punjab Agricultural University | | | | | | |
| Ludhiana, 141 004 India for research on improving the plant architecture and productivity of a traditional high-value rice variety grown in northern India through the use of DNA molecular marker assisted selection | 43,140.00 | 0.00 | 21,200.00 | 0.00 | 0.00 | 21,940.00 |
| In support of research on the economic impacts of new rice varieties developed for northern India through the use of modern blotechnology tools | 13,910.00 | 0.00 | 8,000.00 | 0.00 | 0.00 | 5,910.00 |
| Tamii Nadu Agricultural University | | | | | | |
| Coimbatore, 641 003 India for use by its Center for Agriculture and Rural Development Studies for research on drought-related coping mechanisms of farmers in Tamil Nadu state and for the development of new technologies to decrease the impact of drought on farming communities | 14,465.00 | 0.00 | 14,465 00 | 0.00 | 0.00 | 0.00 |
| for use by its Center for Plant Molecular Biology to support rice breeding for southern India through the use of marker-assisted selection | 37,200.00 | 0.00 | 37,200.00 | 0.00 | 0.00 | 0.00 |
| for use by its Centre for Plant Molecular Biology toward the costs of developing drought-tolerant varieties of rice, using genetic research and participatory plant breeding techniques, and distributing them to smallholder farmers in India | 73,488.00 | 0.00 | 73,488.00 | 0.00 | 0.00 | 0.00 |
| to conduct research using molecular markers and plant transformation to develop insect resistant and drought tolerant rice varieties for use by farmers in southern India | 23,390.56 | 0.00 | 23,390.56 | 0.00 | 0.00 | 0.00 |
| toward the costs of developing seed delivery systems and initiating socio-economic assessments of new drought-tolerant rice varieties for south India | 0.00 | 55,000.00 | 0 00 | 0.00 | 0.00 | 55,000.00 |
| University of Agnicultural Sciences Gandhi Krishi Vignyan Kendra Kamataka Bangalore, 560065 India | | | | | | |
| for research on molecular marker-assisted introgression of major and multiple genes for enhanced blast resistance in rice | 1,081.39 | 0.00 | 0.00 | 1,081.39 | 0.00 | 0.00 |
| to identify molecular markers for drought tolerance and utilize them in a rainfed rice breeding program | 0 00 | 0.00 | -309.34 | 309.34 | 0.00 | 0.00 |
| toward the costs of developing drought-tolerant varieties of rice and disseminating them to poor farmers in southern India | 91,038.00 | 0.00 | 91,038.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY INDIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| University of Agricultural Sciences toward the costs of developing seed dissemination systems and initiating a socioeconomic impact assessment related to the adoption of new drought-tolerant rice varieties in southern India | 0.00 | 45,000.00 | 0.00 | 0.00 | 0.00 | 45,000.00 |
| University of Hyderabad Central University Post Office Hyderabad, 500 046 India to conduct rice genomic research and provide leadership and coordination to the national Indian network on rice Improvement for drought tolerance | 3,000.00 | 0.00 | 1,813.76 | 0.00 | 0.00 | 1,186.24 |
| ISRAEL | | | | | | |
| Abraham Blum P. O. Box 16246 Tel Aviv, 61 162 Israel toward the costs of maintaining a web site to service the information and communication needs of scientists working to create more resilient crop species for less favorable environments worldwide, with emphasis on drought tolerance in cereals | 34,800.00 | 0.00 | 28,800.00 | 0.00 | 0.00 | 6,000.00 |
| Weizmann Institute of Science P.O.Box 26 Rehovot, 76100 israel in support of travel to enable five scientists from developing countries to participate in a workshop entitled, "Crop Ferality and Volunteerism: A Threat to Food Security in the Transgenic Era," to be held at the Bellagio Study and Conference Center, May 24-29, 2004 | 0.00 | 0.00 | -3,990.00 | 3,990.00 | 0.00 | 0.00 |
| ITALY | | | | | | |
| Food and Agriculture Organization of the United Nations Viale delle Terme di Caracalla, 00153 Rome, 00153 Italy toward the costs of policy research on building and strengthening market linkages and supply chains in Africa and Asia | 0.00 | 180,000.00 | 90,000.00 | 0.00 | 0.00 | 90,000.00 |
| International Plant Genetic Resources Institute Via dei Tre Denari, 472/a Maccarese Rome, 00057 Italy | | | | | | |
| for research and training of a Ph.D. student at the University of Pretoria in the Identification of genes to improve the resistance of banana and plantain to the banana weevil | 66,900.00 | 0.00 | 52,800.00 | 0.00 | 0.00 | 14,100.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY ITALY | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| International Plant Genetic Resources Institute for use by its international Network for Improvement of Banana and Plantain toward the costs of research and training of a Ph.D. student in identification of candidate genes for weevil resistance in banana | 0.00 | 17,700.00 | 17,700.00 | 0.00 | 0.00 | 0.00 |
| for use by its international Network for the Improvement of Banana and Plantain toward the costs of preparing for and assuring African participation in an international workshop on the processing and development of banana-based enterprises, held in the Philippines, May 2005 | 0.00 | 50,000.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| to help international agricultural research centers develop common approaches to exchange genetic resources with national and international partners in compliance with the International Treaty on Plant Genetic Resources for Food and Agriculture | 49,854 00 | 0.00 | 30,660.00 | 0.00 | 0.00 | 19,194.00 |
| KENYA | | | | | | |
| A Harvest Blotech Foundation International Runda Mimosa Vale #215 P.O Box 642 Village Market Nairobl, 00621 Kenya | | | | | | |
| toward the costs of improving access of poor farmers in Kenya to lower-cost, disease- and insect-free tissue culture banana plantiets, thereby raising their farm productivity, food security and incomes | 170,296.00 | 0.00 | 170,296 00 | 0.00 | 0.00 | 0.00 |
| African Agricultural Technology Foundation c/o ILRI P O Box 30709 Old Nalvasha Road Nalrobi, 00100 Kenya | | | | | | |
| for general support of its mission to develop and implement projects for transferring proprietary technologies that meet the needs of smallholder farmers in sub-Saharan Africa | 0.00 | 478,500.00 | 478,500.00 | 0.00 | 0.00 | 0.00 |
| African Biotechnology Stakeholders Forum P.O. Box 66069 Nairobi, 00800 Kenya | | | | | | |
| toward the costs of producing educational materials to inform policymakers of the accomplishments of African crop improvement research | 0.00 | 12,000.00 | 0.00 | 0.00 | 0.00 | 12,000.00 |



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PROGRAM NET LAPSES REVERSIONS COUNTRY UNEXPENDED UNEXPENDED BALANCE **EXPENDITURES** (incl. cancs (incl. cancs BALANCE **US STATE** Grantee Name(s) - Person(s) or Institution(s) AS OF **APPROVED** AS OF & recens) & recens) AS OF Dec-2005 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 Purpose * = = = = = = ------------------------------**FOOD SECURITY KENYA** African Economic Research Consortium, Inc. Third Floor, Middle East Bank Towers Building Milimani Road PO Box 82882 Nairobi, 00200 Kenya 500,000.00 0.00 0.00 500.000.00 0.00 0.00 toward the costs of the Collaborative Master of Science Program in Agricultural and Applied Economics designed to enhance the training of agricultural economists in East, Central and southern Africa Egerton University P.O. Box 536 Njoro, 20107 Kenya for use by its Faculty of Agriculture to further the development of its programs 2.500.00 0.00 2,500.00 0.00 0.00 0.00 for use by its Tegemeo Institute of Agricultural Policy and Development to help design and generate the database 254,771.00 254.771.00 0.00 0.00 0.00 0.00 needed to monitor and evaluate the impact of selected interventions for agricultural development in western Kenya toward the costs of establishing a biotechnology laboratory to be shared by its faculties conducting research 0.00 150,000.00 150,000.00 0.00 0.00 0.00 aimed at improving food security, environmental conservation and health in Kenya Forum for Organic Resource Management and Agricultural Technologies P O Box 79 Village Market 00621 Nairobi, Kenya toward the costs of a website, www.africancrops.net, aimed at improving access to and sharing of scientific 0.00 81,420.00 41,460.00 0.00 0.00 39,960.00 Information among crop improvement scientists in sub-Saharan Africa toward the costs of promoting the adoption of promising soil management technologies in Kenya 0.00 115,633.00 115,633.00 0.00 0.00 0.00 International Centre for Research in Agroforestry United Nations Avenue, Gigiri P O Box 30677 Nairobi, 00100 Kenya to support the African Highland initiative's development of a systematic and interactive learning process that will 44,805.00 0.00 44,805.00 0.00 0.00 0.00 enable national agricultural research institutes in Ethiopia, Tanzania and Uganda to be more responsive to farmers' demands, efficient in their allocation of resources and productive in their development of appropriate technologies

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY KENYA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| International Centre of Insect Physiology and Ecology Duduville, Kasarani P.O. Box 30772 Nyayo Stadium Nairobi, Kenya In support of a study to identify chemicals secreted by a forage legume that inhibit development of the parasitic weed Striga, which attacks staple maize and sorghum crops across Africa, and for Ph.D. training of one student | 6,600.00 | 0.00 | 6,600.00 | 0.00 | 0.00 | 0.00 |
| International Livestock Research Institute Old Naivasha Road P.O. Box 30709 Nairobi, 00100 Kenya In support of efforts to strengthen the bioinformatics capacity of its center, Biosciences East and Central Africa | 0.00 | 150,000.00 | 75,000.00 | 0.00 | 0.00 | 75,000.00 |
| and to use that capacity to assist crop and animal improvement programs in the region toward the costs of strengthening its intellectual Property Management Unit and enhancing intellectual property management capacity within national agricultural research systems in sub-Saharan Africa | 111,753.00 | 0.00 | 111,753.00 | 0.00 | 0.00 | 0.00 |
| Jomo Kenyatta University of Agriculture and Technology P O. Box 82000 Nalrobi, Kenya for research on the use of tissue culture propagation of bananas to improve quality and increase output, thus, increasing the food security and raising the incomes of resource-poor farmers in central Kenya | 12,250.00 | 0.00 | 12,250.00 | 0.00 | 0.00 | 0.00 |
| Kenya Agncultural Research Institute Kaptagat Road, Loresho P.O. Box 57811 City Square Nairobi, 00200 Kenya | | | | | | |
| for Introgression of Malze Streak Virus resistant genes into Kenyan hybrid malze using DNA marker-assisted selection, to enable farmers who grow the hybrids to achieve higher yields | 91,700.00 | 0.00 | 48,250.00 | 0.00 | 0.00 | 43,450.00 |
| for research on incorporating Strige resistance genes from Tripsacum Into locally-adapted maize germplasm in Kenya | 5,896.18 | 0.00 | 5,896.18 | 0.00 | 0.00 | 0.00 |
| for the second phase of the Farmer Field School project, almed at testing participatory dissemination strategies for soil and crop management technologies in Kenya | 80,325.00 | 0.00 | 80,325.00 | 0.00 | 0.00 | 0.00 |
| for use by its Kisii Regional Research Centre to continue on-farm research on improved soil management technologies using participatory research methods | 99,322.00 | 0.00 | 99,322.00 | 0.00 | 0.00 | 0.00 |



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PROGRAM COUNTRY UNEXPENDED NET LAPSES REVERSIONS UNEXPENDED BALANCE EXPENDITURES (incl. cancs (Incl. cancs BALANCE **US STATE** AS OF AS OF APPROVED & recens) & recens) AS OF Grantee Name(s) - Person(s) or Institution(s) Dec-2005 IN 2005 01-Jan-2005 IN 2005 IN 2005 Dec-2005 Purpose ---------------....... **FOOD SECURITY KENYA** Kenya Agricultural Research Institute 0.00 64.540.00 0.00 0.00 0.00 64,540.00 for use by its Mtwapa Regional Research Centre for continued research on increasing smallholder food production through improved soll and water management and the Integration of livestock into cropping systems In coastal regions of Kenya 62,000.00 0.00 62,000.00 0.00 0.00 0.00 for use by its Mtwapa Regional Research Centre for the development and dissemination of superior cassava cultivars 37,380.00 0.00 37,380.00 0.00 0.00 0.00 for use by Its National Agricultural Research Centre at Muguga to continue research on the integrated use of manure with modest applications of inorganic fertilizers and the effects of this treatment on soil properties and maize production in the central Kenya highlands 0.00 0.00 0.00 98.962.00 0.00 98,962.00 for use by its National Agricultural Research Centre-Kitale to continue farmer participatory research on improved soil management practices 0.00 99,845.00 67,875.00 0.00 0.00 31,970.00 for use by its National Agricultural Research Laboratories in support of its Legume Research Network Project to develop low-cost and sustainable technologies for increasing crop production in Kenya 122,884.00 0.00 0.00 0.00 43,917.00 in support of research to be conducted by its Katumani National Dry Farming Research Centre, to develop and 78,967.00 test new maize varieties for the dryland and coastal areas of Kenya 136,950.00 in support of research to be conducted in collaboration with the international Maize and Wheat Improvement 220,550.00 0.00 83,600.00 0.00 0.00 Center on development of insect-resistant maize for Africa 55,799.00 0.00 20,917.00 0.00 0.00 34.882.00 In support of research to manage cassava diseases in central Kenya through farmer participatory resistance breeding and multiplication of clean planting material 0.00 0.00 to assess farmer participatory research, information flows and the institute's current monitoring and evaluation 16,940.00 0.00 16,940.00 0.00 systems 0.00 1,387.74 0.00 toward project costs for accelerated multiplication and distribution of healthy planting materials of improved 0.00 0.00 -1,387.74 cassava varieties in western Kenya toward the costs of a study, in collaboration with Cornell University, to enhance the efficiency and effectiveness 50,000.00 0.00 50,000.00 0.00 0.00 0.00 of Kenya's maize improvement program by utilizing both conventional and molecular breeding and to identify genes for resistance to fungal diseases of malze 46,620,00 0.00 46,620.00 0.00 0.00 0.00 toward the costs of enhancing its ability to identify and characterize Banana Streak Virus isolates, through the training of one of its scientists at the John Innes Centre in England

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY KENYA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Kenya Agricultural Research Institute toward the costs of the second phase of "coordinated ecosystem breeding" to generate malze varieties resistant to pests and diseases of malze found in particular agro-ecological zones of Kenya | 188,600.00 | 0 00 | 188,600.00 | 0.00 | 0.00 | 0.00 |
| Kenyatta University P.O. Box 43844 00100 GPO Nairobl, Kenya | | | | | | |
| to develop African malze resistant to the parasitic weed Striga, in a collaborative project with the University of California, Davis | 122,475.00 | 0.00 | 50,600.00 | 0.00 | 0.00 | 71,875.00 |
| to establish a plant genetic transformation facility for malze Improvement in Kenya | 52,434.00 | 0.00 | 52,434.00 | 0.00 | 0.00 | 0.00 |
| Moi University P. O Box 3900 Eldoret, 30100 Kenya | | | | | | |
| for use by its Faculty of Agriculture to further the development of its programs | 2,500.00 | 0.00 | 2,500.00 | 0.00 | 0.00 | 0.00 |
| to provide field training for African graduate students in the agricultural sciences and to support research on social factors affecting adoption of agroforestry systems technology in western Kenya | 7,116.28 | 0.00 | 0.00 | 7,116.28 | 0.00 | 0.00 |
| toward the costs of establishing a biotechnology laboratory to be shared by its faculties conducting research almed at improving food security, environmental conservation and health in Kenya | 0.00 | 155,907.00 | 155,907.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of research on development of midge-resistant sorghum varieties for East Africa | 0.00 | 99,540.00 | 17,094.00 | 0.00 | 0.00 | 82,446.00 |
| Sustainable Agnoulture Centre for Research and Development in Africa Mucal Drive, off Ngong Road P.O. Box 8771 Nairobi, 00200 Kenya | | | | | | |
| for the strategic testing, promotion and evaluation of new maize cultivars in western Kenya | 117,998.00 | 0.00 | 117,998.00 | 0.00 | 0.00 | 0.00 |
| in support of a cereal banking network for collective grain storage, bulking and marketing of maize by poor farmers in western Kenya | 0.00 | 391,574.00 | 194,348.00 | 0.00 | 0.00 | 197,226.00 |
| In support of research to evaluate the adaptability and seed production potential of the New Rice for Africa varieties in different agro-ecologies and socio-economic settings in western Kenya | 0.00 | 58,225.00 | 58,225.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY KENYA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Sustainable Agriculture Centre for Research and Development in Africa to continue on-farm testing of selected technologies for improved soil fertility management in western Kenya | 102,785.00 | 0.00 | 102,785.00 | 0.00 | 0.00 | 0.00 |
| Sustainable Community Oriented Development Programme P.O. Box 5 Sega, Kenya | | | | | | |
| to continue implementation of farmer-participatory trial programs for farm input supply, to promote crop blodiversity, and to develop appropriate integrated nutrient management practices for increased agricultural development | 60,729.62 | 0.00 | 15.00 | 0.00 | 0.00 | 60,714.62 |
| University of Nairobi P.O. Box 30197 Nairobi, 00100 Kenya | | | | | | |
| in support of research assessing the likelihood of insect pests becoming resistant to insecticidal proteins produced in transgenic maize | 0.00 | 8,429.00 | 4,435.00 | 0.00 | 0.00 | 3,994.00 |
| MALAWI . | | | | | | |
| Ministry of Agriculture and Imgation, Malawi PO Box 30779, Lilongwe 3 Lilongwe, 3 Malawi | | | | | | |
| for use by its Department of Agricultural Research and Technical Services toward the costs of conducting and analyzing nationwide agronomic trials on improved organic technologies for maize production by smallholder farmers of Malawi | 10,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 10,000.00 |
| to support research at the Chitedze Agricultural Research Station of Malawi on development and dissemination of integrated soil fertility management technologies for improving food security on smallholder farms in Malawi | 47,398.45 | 0.00 | 47,398.45 | 0.00 | 0.00 | 0.00 |
| University of Malawi P.O. Box 278 Zomba, Malawi | | • | | | | |
| for use by its Bunda College of Agriculture to establish a market information system to improve access to market price information for smallholder farmers in Malawi | 0.00 | 306,390.00 | 306,390.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY MALI | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Institut d'Economie Rurale P.O. Box 258 Rue Mohamed V Bamako, Mali for the development of new drought tolerant rice varieties specifically adapted to the drought-prone production conditions of West Africa | 25,383.00 | 0.00 | 25,383.00 | 0.00 | 0.00 | 0.00 |
| MEXICO Centro de Investigación y de Estudios Avanzados del Instituto Politécnico Nacional Apartado Postal 629 36500, GTO . C.P. 36500 trapuato, Mexico to organize a multi-disciplinary team of Mexican scientists who will conduct a preliminary assessment of risks and opportunities related to transgenic malze in Mexico Centro Internacional de Mejoramiento de Maíz y Trigo | 92,620.00 | 0.00 | 92,620.00 | 0.00 | 0.00 | 0.00 |
| Apdo. Postal 6-641 Lisboa 27, Col. Juárez Deleg Cuauhtémoc, CP 06600 Mexico City, Mexico | | | | | | |
| for the second phase of a project to strengthen malze seed production and distribution systems for small-scale farmers in Kenya and Uganda | 152,000.00 | 0.00 | 152,000.00 | 0.00 | 0.00 | 0.00 |
| In support of its efforts to limit the impact of a new African strain of stem rust disease on wheat production | 0.00 | 80,000.00 | 80,000.00 | 0.00 | 0.00 | 0.00 |
| In support of research on the characterization and more effective utilization of genetic diversity for cassava and sorghum improvement in eastern and central Africa | 0.00 | 500,000.00 | 0.00 | 0.00 | 500,000.00 | 0.00 |
| In support of research to be conducted in collaboration with the Kenya Agricultural Research Institute on development of insect-resistant maixe for Africa | 219,950.00 | 0.00 | 84,600.00 | 0.00 | 0.00 | 135,350.00 |
| in support of research to develop innovative biotechnology approaches to improve the drought tolerance of tropical malze | 0.00 | 560,000.00 | 276,000 00 | 0.00 | 0.00 | 284,000.00 |
| toward the costs of a study to determine how gene flow, including the flow of transgenes, affects traditional landraces, in order to elucidate the impact of gene flow on the livelihoods of small-scale farmers in Mexico | 99,075.00 | 0.00 | 99,075.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY MEXICO | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Centro Internacional de Mejoramiento de Maíz y Trigo toward the costs of an integrated African network entitled New Seed Initiative for Maize in Southern Africa which will deliver new drought-tolerant maize varieties to farmers in southern Africa | 0.00 | 1,182,800.00 | 603,400.00 | 0.00 | 0.00 | 579,400.00 |
| toward the costs of the second phase of its East Africa Regional Maize Nursery's efforts to promote and enhance regional collaboration in eastern and southern Africa to address common disease and insect problems of maize | 60,100.00 | 0.00 | 60,100.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of the Soil Fertility Consortium for Southern Africa, which promotes collaborative research and development on Integrated soil fertility management for small-scale farmers in southern Africa | 0.00 | 898,725.00 | 399,560.00 | 0.00 | 0.00 | 499,165.00 |
| MOZAMBIQUE | | | | | | |
| Instituto de Investigação Agrária de Moçambique C Postal 3658 Av. Das FPLM, No 2698 Malavane 8 Maputo, Mozambique | | | | | | |
| in support of research and training to develop new maize varieties and seed delivery systems for smallholder farmers in Mozambique | 0.00 | 300,190.00 | 113,130.00 | 0.00 | 0.00 | 187,060.00 |
| to facilitate the development and operation of specialized drought-tolerance screening facilities in Mozambique's maize breeding program | 74,700.00 | 0.00 | 66,300.00 | 0.00 | 0.00 | 8,400.00 |
| Ministerio da Agricultura e Desenvolvimento Rural Caixa Postal 1406 Maputo, Mozambique | | | | | | |
| in support of activities to develop decentralized district-level market information systems for poor farmers | 0.00 | 299,917.00 | 102,931.00 | 0.00 | 0.00 | 196,986.00 |
| NETHERLANDS | | | | | | |
| Wageningen University Postbus 9101 Wageningen, 6700 HB Netherlands | | | | | | - |
| for the continuation of a Ph.D. training and research program aimed at understanding and enhancing the role of developing-country smallholder farmers in agricultural innovation and technology dissemination | 570,000.00 | 0.00 | -145,000.00 | 0.00 | 0.00 | 715,000.00 |
| for the development of a collaborative Ph.D. training and research program aimed at systematizing, analyzing and testing various modalities of farmers' participation in agricultural innovation and technology dissemination, and for assessment of strategies for scaling-up of successful local experiences that improve the food security of resource-poor farmers in the tropics | 128,521.00 | 0.00 | 0.00 | 0.00 | 0.00 | 128,521.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY NETHERLANDS | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|--------------------------------------|---------------------|---------------------------------|--|--|--|
| Wageningen University In support of dissertation research conducted by African Ph.D. students in the program on Participatory Approaches and Up-scaling in agricultural research and extension | 123,906.00 | 0.00 | 123,906.00 | 0.00 | 0.00 | 0.00 |
| to enable a second cohort of Ph.D. candidates to participate in a training and research program almed at understanding and enhancing the role of developing-country smallholder farmers in agricultural innovation a technology dissemination | 357,951.87 nd | 0.00 | 0.00 | 0.00 | 0.00 | 357,951.87 |
| NIGERIA | | | | | | |
| International Institute of Tropical Agriculture (Please mail all correspondence to IITA's address in the UK, which you will find listed as its PRIOR ADDRESS) Ibadan, Nigeria | | | | | | |
| for a collaborative research project applying marker-assisted selection and farmer participatory methods to the production of new disease- and insect-resistant cassava varieties for poor farmers in Tanzania | he 105,558.00 | 0.00 | 105,558.00 | 0.00 | 0.00 | 0.00 |
| for use by its Eastern and Southern Africa Regional Center in support of research on integrated soil and pest management for Improved banana production in Uganda, to be conducted in collaboration with Uganda's National Agricultural Research Organisation | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| in support of collaborative research with the International Center for Tropical Agriculture on enhancement of cassava productivity in sub-Saharan Africa through characterizing and combining of new sources of resistanto cassava mosaic disease | | 298,410.00 | 99,470.00 | 0.00 | 0.00 | 198,940.00 |
| In support of research on the characterization and more effective utilization of genetic diversity for cassava improvement in eastern and central Africa | 0.00 | 273,500.00 | 92,100.00 | 0.00 | 0.00 | 181,400.00 |
| toward the costs of breeding beta-carotene-rich and drought-tolerant sweet potato varieties for drought-prone areas of Mozambique | 0.00 | 184,840.00 | 121,479.00 | 0.00 | 0.00 | 63,361.00 |
| toward the costs of developing, with the use of biotechnology, cassava varieties that are resistant to the Cass Brown Streak Disease | sava 296,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 296,000.00 |
| toward the costs of harmonizing data collected during a multi-country survey carried out on cassava production sub-Saharan Africa | ion 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of the Ninth Symposium of the International Society for Tropical Root Crops - Africa Branch | 23,348.00 | 0.00 | 23,348.00 | 0.00 | 0.00 | 0.00 |



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PROGRAM COUNTRY UNEXPENDED NET LAPSES REVERSIONS UNEXPENDED **EXPENDITURES US STATE** BALANCE (incl. cancs (incl. cancs BALANCE Grantee Name(s) - Person(s) or institution(s) AS OF APPROVED AS OF & recens) & recens) AS OF 01-Jan-2005 Dec-2005 Purpose IN 2005 IN 2005 IN 2005 Dec-2005 --------------........... -----......... **FOOD SECURITY PERU** International Potato Center Avenida La Molina 1895 PO Box 1558 Llma, 12 Peru In support of research to identify Bacillus thuringiensis insecticidal proteins that are effective against the 64,400.00 0.00 64,400.00 0.00 0.00 0.00 sweetpotato weevil PHILIPPINES International Rice Research Institute **DAPO Box 7777** Metro Manila, 1301 Philippines 32,913.00 0.00 0.00 for research and training projects leading to the genetic improvement of rice for drought-prone regions of Asia 0.00 0.00 32,913.00 and Africa 0.00 for the Identification and characterization of genes that have the potential to enhance drought tolerance in rice 83.621.00 83,621.00 0.00 0.00 0.00 In support of molecular genetic studies of drought tolerance in rice and training of postdoctoral fellows from 141,641.00 0.00 141,641.00 0.00 0.00 0.00 india in both molecular marker technology and participatory varietal selection In support of research, in collaboration with the Chinese Academy of Agricultural Sciences, to identify the genes 0.00 602,200.00 199,600.00 0.00 0.00 402,600.00 and blochemical pathways determining drought tolerance in rice In support of the participation of scientists from Africa and the Greater Mekong Sub-region in the 5th 0.00 50,000.00 50,000.00 0.00 0.00 0.00 International Rice Genetics Symposium, held in Manila, the Philippines, November 2005 toward continued support of a postdoctoral fellow undertaking research activities on marker-aided breeding, 12,000.00 0.00 12,000.00 0.00 0.00 0.00 leading to drought-tolerant rice varieties toward the costs of a Ph.D. fellow to study the genetics of transferring drought tolerance from African rice (Oryza 0.00 76.245.00 25.415.00 0.00 50.830.00 0.00 glaberrima) to Aslan rice (Oryza sativa) toward the costs of establishing and operating a network of Indian Institutions and scientists working on 0.00 631,217,00 208.131.00 0.00 0.00 423,086,00 development of drought-tolerant rice varieties

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY PHILIPPINES | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Philippine Rice Research Institute Maligaya, Munoz, Nueva Ecija, 3119 Philippines for Identification of the Rice Restorer of Fertility (Rf) gene through candidate gene approach and transgenic complementation assay | 32,946.00 | 0.00 | 15,261.00 | 0.00 | 0.00 | 17,685.00 |
| SOUTH AFRICA | | | | | | |
| Council for Scientific and Industrial Research PO Box 395 Pretoria, 0001 South Africa toward the costs of developing sorghum with improved nutritional quality University of KwaZulu-Natal Private Bag X01 | 0.00 | 282,500.00 | 134,000.00 | 0.00 | 0.00 | 148,500.00 |
| Scottsville KwaZulu Natal, 3209 South Africa | | | | | | |
| for use by its African Center for Crop improvement to enable the first cohort of African students to carry out Ph.D. research in their home countries: Kenya, Malawi, Nigeria, Uganda and Zimbabwe | 277,000.00 | 0.00 | 158,000.00 | 0.00 | 0.00 | 119,000.00 |
| for use by its African Center for Crop improvement to enable the second cohort of African students to carry out Ph.D. research in their home countries: Kenya, Zembia, Malawi, Uganda and Mozambique | 233,200.00 | 0.00 | 128,600.00 | 0.00 | 0.00 | 104,600.00 |
| for use by its African Center for Crop Improvement to provide eight young scientists from eastern and southern Africa with Ph.D. training in modern crop breeding | 0.00 | 479,416.00 | 479,416.00 | 0.00 | 0.00 | 0.00 |
| In support of operating costs of the African Center for Crop Improvement, a Ph.D. training program in plant breeding | 0.00 | 350,012.00 | 350,012.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of field research for the third cohort of Ph.D. students at its African Centre for Crop Improvement | 0.00 | 382,070.00 | 178,270.00 | 0.00 | 0.00 | 203,800.00 |
| University of Pretoria Lynnwood Road, Hillcrest Pretoria, 0002 South Africa | | | | | | |
| for use by its Centre for Environmental Economics and Policy in Africa to continue development of a regional master's degree program in environmental economics and policy | 150,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY SOUTH AFRICA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| University of Pretona . for use by its Centre for Environmental Economics and Policy in Africa toward the costs of its regional masters degree program in environmental economics and policy | 0.00 | 25,000.00 | 0.00 | 0.00 | 0.00 | 25,000.00 |
| for use by its Department of Agricultural Economics, Extension and Rural Development to study the economic, socio-economic and health effects of adoption of Bacillus thuringensis (Bt) white malze in South Africa | 69,000.00 | 0.00 | 69,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of establishing a crop blotechnology research laboratory and training facility for young African scientists at its Forestry and Agricultural Biotechnology Institute | 0.00 | 285,103.00 | 102,750.00 | 0.00 | 0.00 | 182,353.00 |
| SWITZERLAND | | | | | | |
| Eidgenössische Technische Hochschule Zunch Rämistr. 101 ETH-Zentrum Zürich, 8092 Switzerland toward the costs of Ph.D. training for a Kenyan scientist who will develop skills in the use of molecular techniques for the improvement of cassava | 0.00 | 134,430.00 | 41,990.00 | 0.00 | 0.00 | 92,440.00 |
| TAIWAN | | | | | | |
| Asian Vegetable Research and Development Center P O. Box 42 Shanhua Tainan, 74151 Taiwan for use by its Regional Center for Africa to promote quality vegetable seed production and marketing to improve the livelihoods and nutrition status of farm familles in East Africa | 0.00 | 199,997.00 | 73,469.00 | 0.00 | 0.00 | 126,528.00 |
| TANZANIA | | | | | | |
| Ministry of Agnoulture, Food & Cooperatives, Tanzania Kilimo House, Terrieke PO Box 9192 Dar es Salaam, Tanzania | | | | | | |
| for use by its Research and Development Division for a collaborative research project applying marker-assisted selection and farmer participatory methods to the production of new disease- and insect-resistant cassava varieties for poor farmers | 113,850.00 | 0.00 | 113,850.00 | 0.00 | 0.00 | 0.00 |
| to breed maize varieties resistant to gray leaf spot and northern leaf blight in the low and intermediate altitude areas of Tanzania | 22,033.00 | 0.00 | 8,624.00 | 0.00 | 0.00 | 13,409.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose FOOD SECURITY TANZANIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Sokoine University of Agriculture P.O. Box 3000 Chuo Kikuu Morogoro, Tanzania toward the costs of providing M.Sc. training in plant breeding for young scientists from the Tanzanian Ministry of Agriculture and from its University staff | 0.00 | 278,775.00 | 146,475.00 | 0.00 | 0.00 | 132,300.00 |
| Asia - Pacific Association of Agricultural Research Institutions FAO Regional Office for Asia & the Pacific 39 Maliwan Mansion Phra Atit Road Bangkok, 10200 Thailand to establish the Asia-Pacific Consortium on Agricultural Biotechnology (APCoAB), to harness the benefits of agricultural biotechnology for human and animal welfare, while safeguarding the environment and sustainable agricultural development in the Asia-Pacific region | 60,000.00 | 0.00 | 30,000.00 | 0.00 | 0.00 | 30,000.00 |
| Chiang Mai University 239 Huay Kaew Road Muang District Chiang Mai, 50002 Thailand | | | | | | |
| for use by its Faculty of Agriculture for research on participatory plant breeding and toward the costs of its Master of Science in Agricultural Systems degree program | 46,000.00 | 0.00 | 46,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its Faculty of Agriculture to support its Master of Science in Agricultural Systems degree program | 35,849.13 | 0.00 | 35,849.13 | 0.00 | 0.00 | 0.00 |
| Kasetsart University 50 Phahonyothin Road Chatuchak Bangkok, 10900 Thailand to enable scientists from Thailand to pursue M.Sc. and Ph.D. fellowships at the University on the use of molecular markers to assist in rice breeding | 94,905.00 | 0.00 | 94,905.00 | 0.00 | 0.00 | 0.00 |
| Khon Kaen University 123 Mitararp Road Amphoe Muang Khon Kaen, 40002 Thailand | | | | | | |
| for use by its Department of Agricultural Economics for research on drought-related coping strategies of farmers in northeast Thalland and for the development of new technologies to decrease the impact of drought on farming communities | 18,000.00 | 0.00 | 0.00 | 18,000.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose FOOD SECURITY THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|---------------------------------------|--|--|
| National Center for Genetic Engineering and Biotechnology 113 Thailand Science Park Phahonyothin Road, Klong 1, Klong Luang Pathumthani, 12120 Thailand to continue to develop and deploy DNA molecular markers for breeding drought-tolerant rice for use by farmers in north and northeast Thailand | 29,600.00 | 0.00 | 0.00 | 0.00 | 0.00 | 29,600.00 |
| Klimo Trust Piot 2 Serunkuma Road, Mbuya P O Box 71782, Kampala, Uganda for use in support of African Agricultural Capital Limited, an investment company established to alleviate poverty and reduce food shortages by strengthening seed companies and other African agricultural businesses serving the needs of smallholder farmers in East Africa | 0.00 | 1,140,000.00 | 0.00 | 0.00 | 0.00 | 1,140,000.00 |
| Makerere University P O. Box 7062 Kampala, Uganda to provide field training for African graduate students in the agricultural sciences and to support studies on the effectiveness and efficiency of current approaches to improving potato production technologies in the highlands of southwestern and eastern Uganda | 510.00 | 0.00 | 0.00 | 510.00 | 0.00 | 0.00 |
| to provide field training for African students in agricultural sciences and to support economic research on resource use efficiency among the potato and sweet potato producers in Uganda | 122.33 | 0.00 | 0.00 | 122.33 | 0.00 | 0.00 |
| to support the micropropagation of selected banana cultivars for Ugandan farmers | 180.00 | 0.00 | 0.00 | 180.00 | 0.00 | 0.00 |
| toward the costs of a workshop to develop a strategic plan for efficient use of nitrogen fertilizers in African farming systems | 0.00 | 12,510.00 | 0.00 | 0.00 | 0.00 | 12,510.00 |
| toward the costs of strengthening its training programs for professionals and practitioners who will work at the district level to improve food security and rural livelihoods | 58,082.00 | 0.00 | 0.00 | 0.00 | 0.00 | 58,082.00 |
| toward the costs of using molecular marker-assisted selection to enhance breeding for inclusion of the quality protein malze trait and resistance to malze streak virus | 38,750.00 | 0.00 | 38,750.00 | 0.00 | 0.00 | 0.00 |

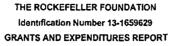
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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose FOOD SECURITY UGANDA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Makerere University toward the costs of workshops designed to develop a strategy to strengthen its Department of Agricultural Economics | 0.00 | 15,550.00 | 15,550.00 | 0.00 | 0.00 | 0.00 |
| Mary Christine Akemo Horticultural Research Programme Kawanda Agricultural Research Institute P.O. Box 7065 Kampala, Uganda for an African Career Award to enable her to undertake postdoctoral research at Kawanda Agricultural Research Institute on potential cover crops for weed control in annual and perennial horticultural crop production in Uganda | 6,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6,000.00 |
| Ministry of Finance, Planning, and Economic Development, Uganda P.O. Box 2666 Kampala, Uganda toward the costs of formulating a national strategy for improving the access of poor farmers to better local, regional and international markets for bananas | 0.00 | 0.00 | -292.00 | 0.00 | 0.00 | 292.00 |
| National Agricultural Research Organisation Plot 3, Lugard Avenue P.O. Box 295 Entebbe, Uganda | | | | | | |
| for use by its Kawanda Agricultural Research Institute to develop new banana genotypes resistant to weevils, black sigatoka and nematodes through conventional breeding methods and to promote their use among smallholder farmers in Uganda | 78,450.00 | 0.00 | 78,450.00 | 0.00 | 0.00 | 0.00 |
| for use by its Namulonge Agricultural and Animal Production Research Institute for cassava improvement in Uganda through the integration of end-user participatory approaches, biotechnology tools and conventional breeding methods | 25,900.00 | 0.00 | 25,900.00 | 0.00 | 0.00 | 0.00 |
| for use by its Namulonge Agricultural and Animal Production Research Institute for participatory evaluation of upland rice varieties and determination of suitable crop management practices in Uganda | 118,650.00 | 0.00 | 90,100.00 | 0.00 | 0.00 | 28,550.00 |
| for use by its Namulonge Agricultural and Animal Production Research institute for the promotion and development of Improved, high-yielding bean varieties for sustainable food security, nutrition and household income in Uganda | 82,022.00 | 0.00 | 49,684.00 | 0.00 | 0.00 | 32,338.00 |
| In support of research to Identify Bacilius thuringlensis insecticidal proteins that are effective against the sweetpotato weevil | 48,300.00 | 0.00 | 48,300.00 | 0.00 | 0.00 | 0.00 |



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PROGRAM COUNTRY NET LAPSES REVERSIONS UNEXPENDED UNEXPENDED **US STATE** BALANCE **EXPENDITURES** (incl. canes (incl. cancs BALANCE Grantee Name(s) - Person(s) or Institution(s) AS OF APPROVED AS OF & recens) & recens) AS OF Dec-2005 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 -------------______ FOOD SECURITY **UGANDA** National Agricultural Research Organisation toward the costs of a project, in collaboration with the Flemish interuniversity institute for Biotechnology, to 387,560.00 0.00 104,110.00 0.00 0.00 283,450,00 increase banana productivity through genetic transformation to improve the architecture and development time of the East African Highland Banana Regional Universities Forum for Capacity Building in Agriculture, Limited Plot 151, Garden Hill Makerere University Main Campus P.O. Box 7062 Kampala, Uganda for general support 3,400,000.00 0.00 2,760,000.00 0.00 0.00 640,000.00 In support of M.Sc. training in agricultural biotechnology for up to 10 students from East and southern Africa 0.00 285,000.00 142,500.00 0.00 0.00 142,500.00 Uganda Development Trust Limited Plot 73, Kiira Road Kamwokva PO Box 7713 Kampala, Uganda In support of its project to identify and strengthen viable agribusinesses as a source of markets for smallholder 0.00 70,000.00 0.00 0.00 0.00 70.000.00 farmers in Uganda VIETNAM Agricultural Genetics Institute Co Nhue, Tu Liem Hanoi, Vietnam for research to utilize molecular marker aided breeding to develop new elite and hybrid rice varieties with 30.51 0.00 0.00 0.00 0.00 30.51 enhanced resistance to bacterial and fungal diseases as well as insect pests for Vietnamese rice farmers Vietnamese Academy of Science and Technology 18 Hoang Quoc Viet Street Nghia Do, Cau Giay Hanol, Vietnam to support research on drought tolerance in rice utilizing DNA genetic markers to assist in breeding new rice 18,231.00 0.00 18,231,00 0.00 0.00 0.00 varieties for the hill regions of northern Vletnam



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY WALES | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) iN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| University of Wales, Bangor College Road Gwynedd Bangor, LL57 2UW Wales toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with Birsa Agricultural University and the Gramin Vikas Trust | 0.00 | 159,706.00 | 2,366.00 | 0.00 | 0.00 | 157,340.00 |
| ZAMBIA | | | | | | |
| University of Zambia P O Box 32379 Lusaka, Zambia toward the costs of providing M.Sc. training in plant breeding to National Program scientists charged with creating new crop varieties for southern Africa | 0.00 | 270,500.00 | 157,000.00 | 0.00 | 0.00 | 113,500.00 |
| ZIMBABWE | | | | | | |
| Ministry of Lands, Agriculture and Rural Resettlement, Zimbabwe Fifth Street Extension P. O. Box CY 594 Causeway Harare, Zimbabwe for use by the Department of Research and Specialist Services toward support of maize open pollinated varieties ecosystem breeding in Zimbabwe | 32,193.00 | 0.00 | 32,193.00 | 0.00 | 0.00 | 0.00 |
| Paul Mapfumo Department of Soil Science and Agricultural Engineering University of Zimbabwe P.O. Box MP 167 Mt. Pleasant Harare, Zimbabwe | | | | | | |
| for an African Career Award to enable him to conduct postdoctoral research at the University of Zimbabwe on the use of non-cultivated herbaceous legumes to increase soil fertility in smallholder cropping systems in Zimbabwe | 404.12 | 0.00 | 0.00 | 404.12 | 0.00 | 0.00 |
| University of Zimbabwe P.O. Box MP 167 Mount Pleasant Harare, Zimbabwe | | | | | | |
| for on-farm testing and dissemination of crop and soil improvement technologies developed by the Chinyika Integrated Crop Management Research project | 0.00 | 0.00 | -1,064.07 | 1,064.07 | 0.00 | 0.00 |



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PROGRAM NET **LAPSES** REVERSIONS UNEXPENDED UNEXPENDED COUNTRY BALANCE **EXPENDITURES** (incl. cancs (incl. cancs BALANCE US STATE AS OF **APPROVED** AS OF & recens) & recens) AS OF Grantee Name(s) - Person(s) or Institution(s) 01-Jan-2005 IN 2005 Dec-2005 IN 2005 IN 2005 Dec-2005 Purpose -------------------FOOD SECURITY ZIMBABWE University of Zimbabwe for research on managing soil organic matter for improved nutrient use efficiency on smallholder farms in 19,189,51 0.00 19,189,51 0.00 0.00 0.00 Zimbabwe in support of research to harness the diversity and nitrogen-fixing capacity of Indigenous herbaceous legumes, 88.810.00 0.00 45,996.00 0.00 0.00 42.814.00 as a low-cost organic nutrient resource for use in the management of soil fertility by smallholder farmers in southern Africa to provide field training for African graduate students in the agricultural sciences and for research on soybean 0.00 0.00 -1,557.00 1,557.00 0.00 0.00 varieties and on improving soybean production in maize/legume intercropping systems 30.000.00 0.00 30,000.00 0.00 0.00 0.00 toward the costs of documenting the results of its soybean promotion program among smallholder farmers in Zimbabwe **UNITED STATES** ALABAMA Auburn University 107 Samford Hall 182 S.College Street Auburn, Alabama 36849 in support of research to identify Bacillus thuringlensis insecticidal proteins that are effective against the 64,400.00 0.00 64,400.00 0.00 0.00 0.00 sweetpotato weevil International Fertilizer Development Center P.O Box 2040 Muscle Shoals, Alabama 35662 toward the costs of the Africa Fertilizer Summit, held in Abuja, Nigeria, in June 2006 0.00 600,000.00 600,000.00 0.00 0.00 0.00 **ARKANSAS** Winrock International Institute for Agricultural Development 2101 Riverfront Drive Little Rock, Arkansas 72202 In support of a conference to explore public-private partnerships to facilitate the development of drought-tolerant 0.00 20.000.00 20.000.00 0.00 0.00 0.00 crops for poor farmers in the developing world

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose FOOD SECURITY UNITED STATES CALIFORNIA University of California, Davis Mirak Hall, Fifth Floor 2200 University Ave Davis, California 95616 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| In support of the development of the consortium named the Public Intellectual Property Resource for Agriculture (PIPRA) | 0.00 | 912,203.00 | 280,232.00 | 0.00 | 0.00 | 631,971.00 |
| to develop African malze resistant to the parasitic weed Striga, in a collaborative project with Kenyatta University | 43,125.00 | 0.00 | 34,500.00 | 0.00 | 0.00 | 8,625.00 |
| University of California, San Diego 9500 Gilman Drive La Jolla, California 92093 | | | | | | |
| for use by its Division of Biological Sciences to determine whether certain toxins from Bacilius thuringensis (Bt) are effective control agents against nematodes that affect plantains and East African Highland Bananas | 62,616.00 | 0.00 | 62,616.00 | 0.00 | 0.00 | 0.00 |
| in support of research to develop a strategy to control the parasitic nematodes that affect the East African Highland Banana | 0.00 | 200,000.00 | 133,333.00 | 0.00 | 0.00 | 66,667.00 |
| COLORADO Keystone Symposia on Molecular and Cellular Biology 221 Summit Place #272 Drawer 1630 Silverthome, Colorado 80498 toward the costs of travel for African scientists to attend its 2006 conference entitled, Plant Responses to Abiotic Stress, to be held in Copper Mountain, Colorado, April 2006 | 0.00 | 10,000.00 | 0.00 | 0.00 | 0.00 | 10,000.00 |
| CONNECTICUT TechnoServe, inc. 49 Day Street Norwalk, Connecticut 06854 | | | | | | |
| toward the costs of a project in Uganda designed to increase the incomes of small-scale banana producers by adding value to their crops through product packaging, processing and transport innovations and by linking them to urban buyers, thereby reducing market inefficiencies | 301,679.00 | 0.00 | 0.00 | 0.00 | 0.00 | 301,679.00 |
| toward the costs of improving access of poor farmers growing bananas in Kenya to profitable output markets by helping them to develop strong producer and marketing associations | 131,119.00 | 0.00 | 131,119.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY UNITED STATES CONNECTICUT Yale University Woodbridge Hall 105 Wall Street P.O. Box 208229 New Haven, Connecticut 06520-8229 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| for a collaborative research project with Peking University to Improve stress tolerance in rice and other cereals through the genome-wide Identification of rice promotors with desirable drought-induceable characteristics | 241,473.00 | 0.00 | 141,214.00 | 0.00 | 0.00 | 100,259.00 |
| WASHINGTON, DC Africare 440 R Street, N.W. Washington, DC 20001-1935 | | | | | | |
| for use by its Africare Zimbabwe to assist poor smallholder farmers in three districts of Zimbabwe to expand the production, processing and utilization of soybeans and to develop sustainable market linkages for raising their incomes | 100,001.00 | 0.00 | 46,043.00 | 53,958.00 | 0.00 | 0.00 |
| In support of its Soybean Market Linkage Project, intended to improve soybean production and market development systems for poor rural households in Zimbabwe | 412,522.00 | 0.00 | 257,265.00 | 0.00 | 0.00 | 155,257.00 |
| Friends of Global Crop Diversity, Ltd c/o United Nations Foundation 1225 Connecticut Avenue NW 4th Floor Washington, DC 20036 In support of its plan to support three related activities of the Global Crop Diversity Trust: (1) building a trust fund to support global crop germplasm conservation; (2) collaborating with the East African Plant Genetic Resources Network to develop a strategy for germplasm conservation in East Africa; and (3) promoting understanding of the International Treaty on Plant Genetic Resources for Food and Agriculture, particularly in | 0.00 | 105,000.00 | 0.00 | 0.00 | 0.00 | 105,000.00 |
| international Food Policy Research Institute 2033 K Street, N.W Suite 400 Washington, DC 20006-1002 | | | | | | |
| toward the costs of research and planning for a project to strengthen agricultural markets in eastern Africa through the development of policies and institutions that improve markets access and incomes for poor farmers | 0.00 | 0.00 | -260.39 | 0.00 | 0.00 | 260.39 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose FOOD SECURITY UNITED STATES WASHINGTON, DC The Citizens Network for Foreign Affairs 1828 L St., N.W. Suite 710 Washington, DC 20036 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|--------------------------------------|------------------|---------------------------------|--|--|--|
| to improve the access of poor farmers to improved seeds and fertilizers through the provision of business training, and technical and financial support to a network of small rural input shops in western Kenya | 187,377.00 | 0.00 | 187,377.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of building agricultural input markets in Malawi that can better serve poor farmers in disadvantaged rural areas | 0.00 | 500,000.00 | 500,000.00 | 0.00 | 0.00 | 0.00 |
| GEORGIA Cooperative for Assistance and Relief Everywhere (CARE USA) 151 Ellis Street, NE Atlanta, Georgia 30303-2440 | | | | | | |
| for use by CARE Zimbabwe to develop a private-sector based network providing smallholder farmers in Zimbabwe with expanded access to farm inputs | 73,574.00 | 0 00 | 73,574.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of assisting smallholder horticulture farmers in Kenya to meet market quality and certification requirements for export markets | 0.00 | 200,000.00 | 125,000.00 | 0.00 | 0.00 | 75,000.00 |
| University of Georgia Lustrat House Athens, Georgia 30602 | | | | | | |
| for use by its College of Agricultural and Environmental Sciences to enable African scientists to attend the Plant and Animal Genome XIII meeting, to be held in San Diego, California, January 2005 | 10,000.00 | 0.00 | 8,710.90 | 1,289.10 | 0.00 | 0.00 |
| for use by its College of Agricultural and Environmental Sciences to enable developing-country scientists to attend the Plant and Animal Genome XIV meeting, held in San Diego, California, January 2006 | 0.00 | 10,000.00 | 10,000.00 | 0.00 | 0.00 | 0.00 |
| to support collaborative research with the University of Hyderabad, India, on the molecular genetics of drought tolerance in rice | 99,290.33 | 0.00 | 99,290.33 | 0.00 | 0.00 | 0.00 |
| ILLINOIS University of Illinois at Urbana-Champaign 1401 West Greene Street Urbana, Illinois 61801 | | | | | | |
| to enable African scientists to attend the Maize Genetics, Genomics and Bloinformatics Workshop and the 46th Annual Maize Genetics Conference, being held in Mexico, March 7-14, 2004 | 0.00 | 0.00 | -10,702.89 | 10,702.89 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY UNITED STATES INDIANA Purdue University | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| 1031 Hovde Hall, Room 200 West Lafayette, Indiana 47907 In support of research to assess the value of transgenic maize engineered to create resistance to the parasitic weed Striga | 91,217.00 | 0.00 | 91,217.00 | 0.00 | 0.00 | 0.00 |
| IOWA Iowa State University 1750 Beardshear Hall Ames, Iowa 50011 In support of training for two African scientists who will contribute to the sustainability of African Vitamin A malze research | 119,429.00 | . 0.00 | 38,965.00 | 0.00 | 0.00 | 80,464.00 |
| MASSACHUSETTS Boston University 121 Bay State Road Boston, Massachusetts 02215 in support of research to be conducted collaboratively with the School of Public Health at Harvard University and Ethiopian research organizations to assess the effect of maize cultivation on malaria transmission in sub-Saharan Africa | 0.00 | 403,882.00 | 202,055.00 | 0.00 | 0.00 | 201,827.00 |
| MICHIGAN Michigan State University 450 Administration Building East Lansing, Michigan 48824-1046 | | | | | | |
| for a study of the expansion of food supermarket chains in Kenya and its effect on supply, income and employment opportunities for poor farmers | 0.00 | 0.00 | -242.64 | 242.64 | 0.00 | 0.00 |
| toward the costs of a study, in collaboration with researchers from the Food, Agriculture and Natural Resources Policy Analysis Network based in Zimbabwe, on maize markets and the regional maize trade in South Africa and their impact on food security for the poor in Malawi, Mozambique and Zambia | 101,485.00 | 0.00 | 101,485.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of assessing the cost-effectiveness of a crop-based strategy for sustainably reducing micronutrient mainutrition in poor people of rural Mozambique | 118,914.00 | 0.00 | 118,914.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of assessing the effectiveness of a crop-based strategy for sustainably reducing vitamin A deficiency in poor people of rural Mozambique | 0.00 | 134,000.00 | 134,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY UNITED STATES MISSOURI Donald Danforth Plant Science Center 975 North Warson Road St. Louis, Missouri 63132 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| toward the costs of a meeting focusing on "The Global Cassava Improvement Plan," to be held at the Bellagio Study and Conference Center | 0.00 | 0.00 | -117.83 | 117.83 | 0.00 | 0.00 |
| NEW YORK Columbia University 202 Low Memorial Library New York, New York 10027 for use by its Earth Institute toward the costs of developing a global strategy and plan of work to help in achieving the Millennium Development Goal of halving world hunger by 2015 | 0.00 | 0.00 | -73.00 | 73.00 | 0.00 | 0.00 |
| for use by its Earth Institute toward the costs of developing an integrated set of recommendations for achieving the Millennium Development Goals for food security, poverty, environmental sustainability and water and sanitation by 2015 | 0.00 | 0.00 | -5,711.55 | 5,711.55 | 0.00 | 0.00 |
| Cornell University 300 Day Hall Ithaca, New York 14853 | | | | | | |
| for a research and training fellowship in development sociology tracing the institutional arrangements governing the growth of pigeon pea, groundnut and chickpea markets in Malawi and Mozambique | 223,687.00 | 0.00 | 0.00 | 0.00 | 0.00 | 223,687.00 |
| for research and training of an interdisciplinary cohort of fellows from eastern and southern Africa at the Ph.D. level in topics related to integrated nutrient management and agricultural economics for Africa | 63,877.00 | 0.00 | 31,358.00 | 0.00 | 0.00 | 32,519.00 |
| for use by its Albert R. Mann Library to develop Access to Global Online Research in Agriculture (AGORA), web-based platform that will increase developing country access to scientific information, thereby improving the quality and efficiency of agricultural research | 29,342.00 | 0.00 | 29,342.00 | 0.00 | 0.00 | 0.00 |
| in support of field research in Africa conducted by an interdisciplinary cohort of Kenyan Ph.D. fellows in its African Food Security and Natural Resource Management Program | 0.00 | 96,342.00 | 31,462.00 | 0.00 | 0.00 | 64,880.00 |
| to support dissemination to developing countries of information on genetic improvement for drought tolerance in cereals | 40,005.00 | 0.00 | 40,005.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of a study, in collaboration with the Kenya Agricultural Research Institute, to enhance the efficiency and effectiveness of Kenya's malze improvement program by utilizing both conventional and molecular breeding and to identify genes for resistance to fungal diseases of malze | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |



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PROGRAM COUNTRY UNEXPENDED NET LAPSES **REVERSIONS** UNEXPENDED **EXPENDITURES** (incl. cancs **US STATE** BALANCE (incl. cancs BALANCE AS OF Grantee Name(s) - Person(s) or institution(s) AS OF **APPROVED** & recens) & recens) AS OF IN 2005 Dec-2005 IN 2005 Purpose 01-Jan-2005 IN 2005 Dec-2005 FOOD SECURITY **UNITED STATES NEW YORK** Comell University toward the costs of cross-disciplinary training workshops to facilitate the use in Africa of Internet-based access 258,500.00 0.00 128,700.00 0.00 0.00 129,800.00 to literature in the fields of agriculture and health provided by the Access to Global Online Research in Agriculture initiative (AGORA) and the Health InterNetwork Access to Research Initiative (HINARI) toward the costs of disseminating The Essential Electronic Agricultural Library to sub-Saharan universities and 34,400,00 0.00 34,400.00 0.00 0.00 0.00 agricultural research institutions toward the costs of providing technical assistance to enhance the quality of Ph.D. training for plant breeders at 0.00 434,490.00 0.00 0.00 0.00 434,490.00 the University of KwaZulu-Natai's African Center for Crop Improvement 35,075.00 toward the costs of studies on soil organic matter recapitalization, to be conducted by a Kenyan Ph.D. student in 95,300.00 0.00 0.00 0.00 60,225.00 collaboration with Kenyatta University International Service for the Acquisition of Agn-Biotech Applications Amerl/Center 417 Bradfield Hall Cornell University Ithaca, New York 14853 In support of its efforts to expand and strengthen its Global Knowledge Center for Crop Biotechnology 0.00 100,000.00 100,000.00 0.00 0.00 0.00 toward the costs of producing, publishing and disseminating in developing countries the annual "Global Review 95,000.00 0.00 0.00 0.00 0.00 95,000.00 of Commercialized Transgenic Crops," an in-depth analysis of global developments pertaining to the adoption and socio-economic impacts of genetically modified crops Market Matters, Inc. 401 South Albany Street Ithaca, New York 14850 toward the costs of its Seeds of Development Program to improve the effectiveness of seed markets serving 0.00 363,228.00 363,228.00 0.00 0.00 0.00 poor African farmers through research, analysis and management training for local, pro-poor seed companies NORTH CAROLINA North Carolina State University Raleigh, North Carolina 27695 toward the costs of developing a new strategy for enhancing geminivirus disease resistance in African crops 106,893.00 0.00 106,893.00 0.00 0.00 0.00

THE ROCKEFELLER FOUNDATION

Identification Number 13-1659629

GRANTS AND EXPENDITURES REPORT

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose FOOD SECURITY UNITED STATES OHIO Ohio State University Columbus, Ohio 44691 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. canes & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| In support of research to further develop and test transgenic cassava with less toxic roots and that degrade less rapidly following harvest | 0.00 | 330,498.00 | 161,310.00 | 0.00 | 0.00 | 169,188.00 |
| TEXAS Texas A&M University College Station, Texas 77843 In support of Ph.D. training in maize breeding, with emphasis on tolerance to drought and low soil nitrogen, for two students from southern Africa | 0.00 | 22,717.00 | 22,717.00 | 0.00 | 0 00 | 0.00 |
| Texas Agnoultural Experiment Station, an agency of the Texas A&M University System Jack K. Williams Administration Building, Suite 113 2142 TAMU College Station, Texas 77843-2142 for Ph.D. training and research in maize genetic improvement with emphasis on tolerance to drought and low soil fertility in sub-Saharan Africa | 93,964.00 | 0.00 | 93,964.00 | 0.00 | 0.00 | 0.00 |
| WASHINGTON University of Washington 301 Gerberding Hali Box 351230 Seattle, Washington 98195-1230 for the identification and characterization of genes that have the potential to enhance drought tolerance in rice | 158,615.00 | 0.00 | 95,965.00 | 0.00 | 0.00 | 62,650.00 |
| TOTAL: 245 - FOOD SECURITY | 17,655,975.15 | 22,734,066.00 | 23,059,894.65 | 120,100.72 | 500,000.00 | 16,710,045.78 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose ==================================== | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| CAMBIA Clunies Ross Street at Dickson Rd Black Mountain, 2601 Australia toward the costs of a project to develop, promote, implement and validate a new model for managing intellectual property, stimulating innovation and delivering useful biological technologies based on the principles of open source, collaborative peer research and development | 0.00 | 1,675,000.00 | 837,500.00 | 0.00 | 0.00 | 837,500.00 |
| CANADA | | | | | | |
| Human Rights Internet 8 York Street, Surte 302 Ontano Ottawa,, K1N 5S6 Canada toward the costs of a joint project with the International Centre of Ethnic Studies, Sri Lanka, to establish a mechanism that aims to prevent Inter-ethnic conflict through quiet diplomacy University of British Columbia 6476 NW Manne Drive | 0 00 | 0 00 | 148,000.00 | -148,000.00 | 0.00 | 0.00 |
| 8.C. Vancouver, V6T 121 Canada | | | | | | |
| toward the costs of four workshops to bring together the conflict research and policy communities to address major methodological and data controversies and ways to improve the communication of the research community's findings to policymakers | 0.00 | 0.00 | -11,206.40 | 11,206.40 | 0.00 | 0.00 |
| ENGLAND | | | | | | |
| Centre for the Management of IP in Health R & D Oxford Centre for Innovation Mill Street Oxford, OX2 OJX England toward the costs of an electronic version of a handbook on the best practices for management of intellectual property in health and agriculture | 0.00 | 210,000.00 | 0.00 | 0.00 | 0.00 | 210,000.00 |
| Consumers International 24 Highbury Crescent London, N5 1RX England | | | | | | |
| toward the costs of a series of dialogues among consumer advocates and E.U and U.S. policymakers, aimed at fostering a fairer system of intellectual property rights to allow for the freer exchange of knowledge and ideas and the delivery of innovative and affordable products to the marketplace | 120,000.00 | 0.00 | 120,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose GLOBAL INCLUSION ENGLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Institute for Public Policy Research 30-32 Southampton Street London, WC2E 7RA England toward the costs of a conference on developing practical ways for strengthening global civil society, to be held at the Bellagio Study and Conference Center, July 1-3, 2005 | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| Institute of Development Studies University of Sussex Brighton, BN1 9RE England | 0.00 | 75 000 00 | 75 000 00 | 0.00 | 0.00 | 0.00 |
| for the costs of a workshop to examine newly-emerging economies in Asia and their impact on developing countries | 0.00 | 75,000.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| for the costs of developing a network of natural and social scientists and policymakers from the private- and nonprofit-sectors to generate new thinking on how science and technology can play a more effective role in reducing poverty in developing countries | 0.00 | 199,024.00 | 199,024.00 | 0.00 | 0.00 | 0.00 |
| International Institute for Environment and Development 3 Endsleigh Street London, WC1H 0DD England | | | | | | |
| for the costs of a joint initiative with the Founda-tion for International Environmental Law and Development to examine the effect on developing countries of international trade, intellectual property and bio-safety policies | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of the first phase of a project to help poor rural communities in developing countries protect their rights with respect to traditional knowledge related to biological resources | 48,940 00 | 0.00 | 48,940.00 | 0.00 | 0.00 | 0.00 |
| London School of Economics and Political Science, University of London Houghton Street London, WC2A 2AE England | | | | | | |
| toward the costs of its Global Civil Society Programme, which researches trends and ideas in global civil society and publishes its findings in an annual publication entitled "The Global Civil Society Yearbook" | 90,000.00 | 0.00 | 90,000.00 | 0.00 | 0.00 | 0.00 |
| openDemocracy Ltd 23-25 Gt. Sutton Street 2nd Floor London, EC1V 0DN England | | | | | | |
| toward the costs of a web-based network for coverage of and debate on global issues | 0.00 | 288,400.00 | 0.00 | 0.00 | 0.00 | 288,400.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose GLOBAL INCLUSION ENGLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Panos Limited 9 White Lion Street London, N1 9PD England | | | | | | |
| toward the cost of a pilot project in Kenya and Zambia to stimulate public awareness and debate on plant blotechnology | 0.00 | 0.00 | -14,830.00 | 14,830.00 | 0.00 | 0.00 |
| toward the costs of a project to support media participation in the debate on genetically modified organisms | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Royal Institute of International Affairs Chatham House 10 St. James's Square London, SW1Y 4LE England to support the launch of the United States Study Group, a project aimed at increasing Europeans' understanding | 0.00 | 0.00 | -3,123.00 | 3,123.00 | 0.00 | 0.00 |
| of the factors influencing U.S. foreign policy | | | | | | |
| SciDev.Net 97/99 Dean Street London, W1D 3TE England | | | | | | |
| in general support of its mission to enhance the provision of reliable and authoritative information on science- and technology-related issues that have an impact on the economic and social development of developing countries | 0.00 | 450,000.00 | 225,000.00 | 0.00 | 0.00 | 225,000.00 |
| The King's College of Our Lady and St. Nicholas in Cambridge King's Parade Cambridge, CB2 1ST England | | | | | | |
| for use by its Common Security Forum toward the costs of two programs on global political institutions and a program on science, health and security | 150,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 100,000.00 |
| JAPAN | | | | | | |
| United Nations University Institute of Advanced Studies 53-70, Jingumae 5-chome Shibuya-Ku Tokyo, 150-8925 Japan | | | | | | |
| for use by its institute of Advanced Studies toward the costs of a project that will provide an assessment of International initiatives for building capacity in the field of biosafety and biotechnology in Southeast Asia and sub-Saharan Africa | 67,000.00 | 0.00 | 67,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose GLOBAL INCLUSION JAPAN | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| United Nations University for use by its institute of Advanced Studies toward the costs of its project, Call of the Earth, an indigenous peoples' initiative on intellectual property policies in relation to indigenous communities | 90,000.00 | 0.00 | 90,000.00 | 0.00 | 0.00 | 0.00 |
| KENYA | | | | | | |
| African Technology Policy Studies Network P.O Box 10081-00100 Nairobi, Kenya toward the costs of a project that will support national and regional efforts to develop policies to manage agricultural biotechnology in sub-Saharan Africa | 250,000.00 | 0.00 | 125,000.00 | 0.00 | 0.00 | 125,000.00 |
| International Centre of Insect Physiology and Ecology Duduville, Kasarani P.O. Box 30772 Nyayo Stadium Nairobi, Kenya for the costs of the second phase of a research project to assess the risk of transgene dissemination associated with the introduction of genetically modified crops in Africa, using cowpea as a model | 145,000.00 | 0.00 | 145,000.00 | 0.00 | 0.00 | 0.00 |
| MEXICO Asociación Mexicana de Uniones de Crédito del Sector Social | | | | | | |
| Domicilio Actual de Asociacion Mexicana de Uniones de Credito del Sector Social, A C Augusto Rodin No 35 Col Ampliacion Napoles Delg Benito Juarez C.P. 03810 Mexico City, Mexico toward the costs of its project to expand and consolidate access to banking services in transnational communities in Mexico and California | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| NORWAY | | | | | | |
| Fafo institute for Applied International Studies Borggata 2B P.O.Box 2947 Tayen 0608 Oslo, Norway | | | | | | |
| for use by its New Security Programme for the costs of writing, publishing and disseminating two articles on the nature and source of threats to human security | 99,970.00 | 0.00 | 99,970.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| AfricaBio P O. Box 873 Irene, South Africa for the final phase of a project to advance an understanding of and dialogue about plant biotechnology through capacity building in southern African countries | 0.00 | 0.00 | -630.75 | 630.75 | 0.00 | 0.00 |
| University of Pretoria Lynnwood Road, Hillcrest Pretoria, 0002 South Africa toward the costs of launching the Annual Pan-African Trade Negotiations and Moot Court Competition, which alms to address the current need for skills in the area of trade negotiations and dispute resolution in Africa | 75,000.00 | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| Centre Henry Dunant pour le Dialogue Humanitaire 114, Rue de Lausanne CH-1202 Geneva, CH 1202 Switzerland toward the costs of a project to research and analyze the potential for unarmed monitoring missions as a tool for international Intervention in conflict | 40,000.00 | 0.00 | 40,000.00 | 0.00 | 0.00 | 0.00 |
| International Centre for Trade and Sustainable Development International Environment House . 13 Chemin des Anemones 1219 Chatelaine Geneva, Switzerland toward the costs of a program to address developing countries' sustainable development concerns in intellectual property discussions at the bilateral and multilateral level | 0.00 | 614,604.00 | 307,302.00 | 0.00 | 0.00 | 307,302.00 |
| IP Watch Association 1-5, Route des Morillons PO Box 2100-1211 Geneva, 1211 Switzerland toward the costs of producing its Monthly Reporter, a newsletter which provides in-depth reporting on the factors that influence the design and implementation of intellectual property policies | 0.00 | 200,000.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose GLOBAL INCLUSION SWITZERLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| South Centre P O. Box 228 Geneva, 1211-19 Switzerland | | | | | | |
| for a study on how developing countries' regional markets can take advantage of flexibility under international trade agreements to improve access to essential medicines | 0.00 | 0.00 | -55.89 | 55.89 | 0.00 | 0.00 |
| for use by its Trade and Development Program for the costs of a project to assist developing countries to participate more effectively in World Trade Organization negotiations and disputes on agricultural trade | 200,000.00 | 0.00 | 133,000.00 | 0.00 | 0.00 | 67,000.00 |
| toward the costs of a project designed to increase the capacity of developing countries to think strategically about intellectual property policy and development and to provide guidance for the operationalization of a development friendly intellectual property system | 250,000.00 | 0.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of its joint project with the Center for International Environmental Law to assist developing countries to bring their concerns to, and participate in, international policy discussions on intellectual property | 189,600.00 | 0 00 | 189,600.00 | 0.00 | 0.00 | 0.00 |
| UGANDA | | | | | | |
| Advocates Coalition for Development and Environment Plot 96, Kanjokya Street P.O. Box 29836 Kampala, Uganda toward the costs of a project to examine national and global policy processes and how they can be implemented to reduce poverty, stimulate production and conserve genetic resources in rural Uganda, Kenya and Tanzanla | 0.00 | 200,000.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 |
| UNITED STATES CALIFORNIA | | | | | | |
| Consultative Group on Biological Diversity Presidio Building 1016 P.O. Box 29361 San Francisco, California 94129 | | | | | | |
| toward general support of its mission to conserve and restore biological diversity in order to safeguard the well-being of people and the health of the global environment | 15,000.00 | 0.00 | 15,000.00 | 0.00 | 0.00 | 0.00 |
| Tides Foundation The Presidio P.O Box 29903 San Francisco, California 94129-0903 | | | | | | |
| for use by its project, the Los Angeles immigrant Funders' Collaborative, for the costs of a project to develop a new model for the joint investment in Mexico of collective remittances from Mexican hometown associations in the United States | 68,555.00 | 0.00 | 68,555.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SECULAR STATES GLOBAL INCLUSION UNITED STATES CALIFORNIA World Affairs Council of Northern California 312 Sutter Street Suite 200 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|--------------------------------------|---------------------|---------------------------------|--|--|--|
| San Francisco, California 94108-4384 for use by its Global Philanthropy Forum toward the costs of two conferences: its fourth annual Conference on Borderless Giving, and a conference to help Forum participants learn about the policy contexts in which they advance their philanthropic goals | 16,000.00 | 0.00 | 16,000.00 | 0.00 | 0.00 | 0.00 |
| COLORADO Meridian Institute P.O. Box 1829 105 Village Place Dillon, Colorado 80435 for the costs of its Agricultural Biotechnology Intranet site and its Food Security Biotechnology News electronic mailling list, which provide relevant actors with timely, high-quality, balanced information on critical developments in the agricultural, biotechnology, Intellectual property rights and food security arenas WASHINGTON, DC Bread for the World Institute, Inc. 50 F Street NW | 125,000.00 | 0.00 | 125,000.00 | 6.00 | 0.00 | 0.00 |
| Suite 500 Washington, DC 20001 | | | | | | |
| in general support of its mission to reduce poverty and hunger through research and public education | 0.00 | 200,000.00 | 0.00 | 0.00 | 0.00 | 200,000.00 |
| Carnegie Endowment for International Peace 1779 Massachusetts Ave., NW Washington, DC 20036 for use by its Trade, Equity and Development Project toward the costs of an initiative that will examine trade negotiations and other global and domestic policies to identify how they can create employment opportunities and Income for the poor | 150,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| Center for Global Development 1776 Massachusetts Ave., NW Sulte 301 Washington, DC 20036 | | | | | | |
| for the costs of a project to examine how countries affected by the December 26, 2004, tsunami disaster can manage the transition from humanitarian assistance to long-term development | 0.00 | 50,000.00 | 0.00 | 0.00 | 50,000.00 | 0.00 |
| toward the costs of researching and publishing second and third editions of the Commitment to Development Index, a tool for rating the impact of economic and social policies of rich countries' governments on the development of poor countries | 200,000.00 | 0.00 | 200,000.00 | 0.00 | 0.00 | 0.00 |

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PROGRAM LAPSES REVERSIONS NET UNEXPENDED COUNTRY UNEXPENDED **EXPENDITURES** (incl. cancs (incl. cancs BALANCE BALANCE **US STATE** AS OF & recens) AS OF & recens) Grantee Name(s) - Person(s) or institution(s) AS OF APPROVED Dec-2005 IN 2005 IN 2005 Dec-2005 Purpose 01-Jan-2005 IN 2005 **GLOBAL INCLUSION UNITED STATES** WASHINGTON, DC Center for International Environmental Law, Inc. 1367 Connecticut Avenue, N.W. Suite 300 Washington, DC 20036-1860 0.00 0.00 0.00 toward the costs of a project to enhance the participation and influence of developing countries in regional and 0.00 150,000.00 150,000.00 bilateral intellectual property negotiations 75.000.00 0.00 0.00 0.00 toward the costs of IP Watch, a project to monitor, investigate and report on the interactions between private 75,000.00 0.00 business interests, government, and intergovernmental organizations, and their effects on the formation of International public policy on intellectual property 0.00 0.00 0.00 0.00 150,000.00 toward the costs of its joint project with the South Centre to assist developing countries to bring their concerns 150,000,00 to, and participate in, international policy discussions on intellectual property Center for Science in the Public Interest 1875 Connecticut Ave., N W. Suite 300 Washington, DC 20009-5728 0.00 0.00 0.00 toward the costs of a project to inform the international debate around scientific and regulatory issues related to 125.000.00 0.00 125,000.00 biotechnology, and to put forward a middle ground on biotechnology in that debate Essential Information, Inc. P.O. Box 19405 Washington, DC 20036 0.00 0.00 0.00 225,000,00 225,000.00 0.00 for use by its Consumer Project on Technology in support of its work on promoting Intellectual policy reform in the areas of culture, creativity and knowledge goods, and innovation and access to medical inventions George Washington University 2121 Eve Street, N.W. Washington, DC 20052 toward the costs of completing research and writing a book on the emergence of self-organizing knowledge 0.00 99,997.00 99,997.00 0.00 0.00 0.00 networks and how they can benefit developing countries Georgetown University 37th and 0 Sts, NW Washington, DC 20057 0.00 0.00 0.00 48.000.00 0.00 48,000.00 toward the costs of a project to develop a framework for public/private partnerships to bring sustainable

agricultural technology to the developing world



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose GLOBAL INCLUSION UNITED STATES WASHINGTON, DC German Marshall Fund of the United States - A Memorial to the Marshall Plan 1744 R Street NW Washington, DC 20009 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| for the costs of designing, planning and facilitating a month-long series of workshops, to be held at the Bellagio Study and Conference Center, Italy, June and July 2006, that will examine and consider policy responses to the challenges raised by migration into the U.S. and Europe | 0.00 | 950,000.00 | 0.00 | 0.00 | 0.00 | 950,000.00 |
| to promote understanding, partnerships and policles between the European Union and the United States on food, trade and development, particularly as they relate to Africa | 225,000.00 | 0.00 | 225,000.00 | 0.00 | 0.00 | 0.00 |
| to promote understanding, partnerships and policies between the European Union and the United States on food, trade and development, particularly as they relate to Africa | 0.00 | 225,000.00 | 0.00 | 0.00 | 0.00 | 225,000.00 |
| International Food Policy Research Institute 2033 K Street, N.W Suite 400 Washington, DC 20006-1002 toward the costs of a joint initiative with the Food, Agriculture, and Natural Resources Policy Analysis Network aimed at raising awareness, promoting dialogue and developing consensus among African policymakers and scientists about improving the institutions and policies needed to govern biotechnology in agriculture in southern Africa | 65,000.00 | 0.00 | 65,000.00 | 0.00 | 0.00 | 0.00 |
| Public Interest Intellectual Property Advisors, Inc 1200 Pennsylvania Avenue N W P.O. Box 548 Washington, DC 20044-0548 for the costs of a project to provide pro bono counsel on intellectual property policy to developing-country governments, consumers and researchers, including Foundation grantees, to help them gain access to and secure the benefits of knowledge and technologies beneficial to poor people | 0.00 | 149,625.00 | 149,625.00 | 0.00 | 0.00 | 0.00 |
| MARYLAND George Meany Center for Labor Studies, Inc The National Labor College 10000 New Hampshire Avenue Silver Spring, Maryland 20903 toward the costs of participation of representatives from developing countries in a meeting of union and worker educators to discuss popular education in the more global economy | 0.00 | 0.00 | -14,133.00 | 14,133.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose GLOBAL INCLUSION UNITED STATES MASSACHUSETTS Harvard University Massachusetts Hall Cambridge, Massachusetts 02138 for use by its Hauser Center for Nonprofit Organizations toward the costs of a workshop that will inform a book about transnational processes, forms and practices and their relationship to globalization, to be held in | UNEXPENDED BALANCE AS OF 01-Jan-2005 ====== | APPROVED IN 2005 SEE SEE SEE. | NET EXPENDITURES AS OF Dec-2005 =================================== | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|-------------------------------|---|--|--|--|
| Cambridge, Massachusetts, fall 2004 | | | | | | |
| Oxiam America Inc 26 West Street Boston, Massachusetts 02111 for the costs of research (1) to assess the benefits, costs and potential risks of developing-country small-scale farmers' use of transgenic cotton and (2) to examine the process of and produce a set of guidelines for developing appropriate biosafety regulations | 265,650.00 | 0.00 | 132,825.00 | 0.00 | 0.00 | 132,825.00 |
| Trustees of Tufts College Medford, Massachusetts 02155 for use by its Global Development and Environment institute toward the costs of assessing agricultural and investment policy options available to Mexico at the national level and bi-laterally with the United States | 98,806.00 | 0.00 | 98,806.00 | 0.00 | 0.00 | 0.00 |
| NEW YORK Columbia University 202 Low Memorial Library New York, New York 10027 | | | | | | |
| toward the costs of its Earth Institute's project, Managing Climate Variability to Improve Livelihoods in South and South East Asia: Methods, Tools and Policies | 175,000.00 | 0.00 | 175,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of The Security Council Report, designed to provide information on the current and prospective work of the United Nations Security Council | 660,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 660,000.00 |
| Public Patent Foundation, Inc. 1375 Broadway, Sulte 600 New York, New York 10018 | | | | | | |
| toward the costs of a project that will challenge certain patents issued on essential medical and agricultural technologies, in order to promote greater access to the technologies | 25,000.00 | 0.00 | 25,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| GLOBAL INCLUSION | | | | | | |
| UNITED STATES | | | | | | |
| NEW YORK | | | | | | |
| Rockefeller Family Fund, Inc. | | | | | | |
| 437 Madison Avenue, 37th Floor New York, New York 10022-7001 | | | | | | |
| for use by its Environmental Grantmakers Association toward the costs of the Funders Network on Trade and Globalization, an initiative designed to suppport foundations and other funders in their efforts to promote global relations, policies and institutions that foster sustainable development around the world | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| | | | | | | |
| TOTAL: 61 - GLOBAL INCLUSION | 4,715,625.00 | 5,936,650.00 | 5,953,268.96 | -104,020.96 | 50,000.00 | 4,753,027.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY AFGHANISTAN | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| IbnSina Daramsal Substreet Opposite of Ghazi Ayob Khan School Karti Parwan- Khalr Khana Main Road Kabul, Afghanistan toward the costs of a training program in public health to increase the number of female health care workers in Afghanistan, especially in rural communities | 46,485.00 | 0.00 | 46,485.00 | 0.00 | 0.00 | 0.00 |
| BURKINA FASO | | | | | | |
| Burkina Faso Association for Family Well-Being 01 B.P 535 Ouagadougou, Burkina Faso to complete a project designed to improve the reproductive health of young people in the Ouahigouya zone of Burkina Faso that includes partnerships with existing health clinics and innovative communication strategies | 26,983.00 | 0.00 | 26,983.00 | 0.00 | 0.00 | 0.00 |
| CAMBODIA | | | | | | |
| Khemara Ottara Vatel Pagoda, National Road # 5 Russey Keo District Mittapheap Village PO Box No 1250 Phnom Penh, Cambodia | | | | | | |
| toward the costs of developing a community-based model that addresses the continuum of needs among HIV-affected households in urban Cambodia | 0.00 | 200,000.00 | 58,358.00 | 0.00 | 0.00 | 141,642.00 |
| Ministry of Women's Affairs, Cambodia 3 Norodom Bldv Phnom Penh, Cambodia In support of its efforts to raise awareness in Cambodia and in the Greater Mekong Sub-region of gender | 0.00 | 135,000.00 | 67,500.00 | 0.00 | 0.00 | 67,500.00 |
| vulnerability to HIV/AIDS and to promote approaches that redress gender inequities | 0.00 | 133,000.00 | 01,300.00 | 0.00 | 0.00 | 07,000.00 |
| Urban Sector Group #81 Street 155 Sangkat Tuol Tumpung ! Khan chamcar Mom Phnom Penh, Cambodia | | | | | | |
| toward the costs of demonstrating, with partners, a model of integrated health services, financing and community empowerment programs targeting poor households vulnerable to HIV in the urban slums of Phnom Penh | 0.00 | 149,060.00 | 49,690.00 | 0.00 | 0.00 | 99,370.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY CANADA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| HealthBridge Foundation of Canada 1 Nicholas Street, Suite 1105 Ottawa, K1N 7B7 Canada toward the costs of strengthening and expanding tobacco control in Vietnam through integration of tobacco control into existing programs and expansion of the number of key agencies involved in tobacco control | 77,411.00 | 0.00 | 77,411.00 | 0.00 | 0.00 | 0.00 |
| McMaster University Ontario Hamilton, Canada for use by its School of Nursing for workshops covering HiV/AIDS and other global health issues facing women and children as part of an international conference held in Dhaka, Bangladesh, February 2006 | 0.00 | 23,000.00 | 23,000.00 | 0.00 | 0.00 | 0.00 |
| University of Toronto 215 Huron Street Toronto, MSS 1A1 Canada for use by its Joint Centre for Bioethics toward the costs of a study on the manufacturing capacity of biotechnology and pharmaceutical companies in developing countries, as well as local incentives and disincentives that impact their willingness and ability to address diseases of the poor | 0.00 | 200,000.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 |
| for use by its Joint Centre for Bioethics toward the costs of disseminating, through a supplement to Nature magazine, case studies of innovative health biotechnology systems in seven developing countries | 0.00 | 0.00 | -838.75 | 838.75 | 0.00 | 0.00 |
| ENGLAND | | | | | | |
| Centre for the Management of IP in Health R & D Oxford Centre for Innovation Mill Street Oxford, OX2 OJX England | | | | | | |
| for activities in collaboration with the Association of University Technology Managers, a U.SCanadian professional society, to improve the management of public sector technologies and promote the development of health products for poor people in developing countries | 0.00 | 200,000.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 |
| for collaboration with Public Intellectual Property Resource for Agriculture to Improve the management of public sector technologies and promote product development of products for the poor in developing countries | 14,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 14,000.00 |
| in general support of its efforts to help the international public health sector manage intellectual property in health research and development, and thereby improve access to health technologies for poor people in developing countries | 250,000.00 | 0.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) • Person(s) or Institution(s) Purpose HEALTH EQUITY ENGLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Medical Emergency Relief International USA Inc c/o Chapel & York Limited P.O. Box 50 RH7 6FT Lingfield, England for use by its Nairobl office to identify the coping mechanisms used by HIV/AIDS-affected households in areas of Nyanza province, Kenya, that are served by NGOs and areas not receiving such services | 0.00 | 99,960.00 | 99,960.00 | 0.00 | 0.00 | 0.00 |
| Medical Research Council, United Kingdom 20 Park Crescent London, W1B 1AL England for use by its Clinical Trials Unit to continue its coordination of a multicenter clinical trial to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa | 412,413.00 | 0.00 | 0.00 | 0.00 | 0.00 | 412,413.00 |
| The Wellcome Trust Limited 215 Euston Road London, NW1 2BE England toward the costs of a meeting on bloethics in research that is focused on the post-clinical trial obligations of researchers and sponsors, held in Malawi in March 2005 | 0.00 | 35,000.00 | 35,000.00 | 0.00 | 0.00 | 0.00 |
| University of Liverpool Senate House, Abercromby Square P.O. Box 147 Liverpool, L69 38X England for use by its Department of Public Health to continue the development of a tool for policymakers that uses household-level data to facilitate equity-oriented health sector reform in developing countries | 39,000.00 | 0.00 | 39,000.00 | 0.00 | 0.00 | 0.00 |
| GHANA | | | | | | • |
| INDEPTH Network 9 Adenkum Loop, Kanda P.O. Box KD 213 Accra, Ghana | | | | | | |
| for general support of the its secretariat, which represents 28 sites in developing countries that collect health and demographic data on a longitudinal basis | 428,818.28 | 0.00 | 350,778.40 | 0.00 | 0.00 | 78,039.88 |
| toward the costs of developing, in collaboration with the University of Witwatersrand, a master's degree scholarship program in population-based field epidemiology for its staff | 0.00 | 450,000.00 | 0.00 | 0.00 | 0.00 | 450,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SECRET | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Ministry of Health, Ghana P O. Box M-44 Accra, Ghana for use by its Navrongo Health Research Centre to measure the impact of a range of approaches designed to improve adolescent sexual and reproductive health in the Kassena-Nankana District | 1,437,511.00 | 0.00 | 744,051.00 | 0.00 | 0.00 | 693,460.00 |
| University of Ghana P.O. Box LG25 Legon, Accra, Ghana for use by the School of Public Health, within its College of Health Sciences, toward the costs of developing and implementing a master's degree course in health informatics | 179,000.00 | 0.00 | 89,500.00 | 0.00 | 0.00 | 89,500.00 |
| INDIA | | | | | | |
| Indian Institute of Management Bangalore Bannerghatta Road Bangalore, 560 076 India for a study on strengthening health service delivery and improving the accountability of health services to poor communities, particularly to poor women | 60,792.00 | 0 00 | 50,000.00 | 0.00 | 0.00 | 10,792.00 |
| INDONESIA | | | | | | |
| ASEAN Secretanat 70.A. Jl. Sisingamangaraja Jakarta, 12110 Indonesia toward the costs of building local capacity to assess the impact of intellectual property rights on public health in the ASEAN region | 0.00 | 0.00 | -53,293.38 | 53,293.38 | 0.00 | 0.00 |
| KENYA | | | | | | |
| Africa Health and Development International Twaweza House Parklands road, Mpesi Lane P.O. Box 66782 Nairobi, 00800 Kenya | | | | | | |
| for development of an East African learning network on strategies to help families cope with AIDS, linked to a similar effort in the Greater Mekong Sub-region | 0.00 | 275,000.00 | 181,678.00 | 0.00 | 0.00 | 93,322.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY KENYA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| African Medical and Research Foundation P.O. Box 27691 Langata 00506 Nairobi, Kenya toward the costs of a workshop on health systems delivery for African health development professionals | 0.00 | 50,000.00 | 50,000.00 | 0.00 | 0 00 | 0.00 |
| Kenya Medical Research institute P O Box 20752 Nairobi, Kenya for use by its Centre for Respiratory Disease Research, in collaboration with the University of Nairobi and the University of Washington, for a study of the use of amoxicillin in the treatment of acute bronchitis in HiV-infected adults in Nairobi, Kenya | 0.00 | 0.00 | -354.37 | 354.37 | 0.00 | 0.00 |
| Population Communication Africa Trust PO Box 39002 Nairobi, Kenya for the planning phase of studies designed to examine the usefulness of a nutritional supplement taken by many people living with AIDS in sub-Saharan Africa | 0.00 | 96,000.00 | 96,000.00 | 0.00 | 0.00 | 0.00 |
| Trust for Indigenous Culture and Health ACS Plaza, 3rd floor, Lenana Road P O. Box 677 - 00502 Nairobi, Kenya for activities designed to broaden AIDS treatment options for people in sub-Saharan Africa LAO PDR | 0.00 | 195,000.00 | 97,500.00 | 0.00 | 0.00 | 97,500.00 |
| Ministry of Health, Lao P D R Km 3, Thadeua Road Vientiane, Lao PDR for use by its Department of Hygiene and Prevention to lead a five-country cross-border project to prevent the spread of communicable diseases in the Greater Mekong Sub-region | 299,300.00 | 0.00 | 148,400.00 | 0.00 | 0.00 | 150,900.00 |
| MALAYSIA Universiti Sains Malaysia Pulau Pinang, 11800 Malaysia for use by its National Poison Centre to advance tobacco control in Malaysia through the establishment of a | 181,180.00 | 0.00 | 120,680.00 | 0.00 | 0.00 | 60,500.00 |
| research network and a national council for tobacco control | , | 0.00 | , | | | |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose #################################### | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) (N 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Universiti Sains Malaysia for use by its National Poison Centre to establish a clearinghouse on tobacco control information with particular relevance to the Southeast Asia region | 36,092.00 | 0.00 | 36,092.00 | 0.00 | 0.00 | 0.00 |
| NETHERLANDS | | | | | | |
| Stichting Health Action International Foundation Jacob van Lennepkade 334 T Amsterdam, 1053 NJ Netherlands to Improve the market transparency of pharmaceutical prices and policy responses to enhance affordable access to essential drugs in developing countries | 42,667.00 | 0.00 | 42,667.00 | 0.00 | 0.00 | 0.00 |
| NIGER | | | | | | |
| Centre de Recherche Médicale et Sanitaire BP 10 887 Niamey, YN034 Niger for use by its Climate and Health Unit toward the costs of a project to assess how environmental data can be integrated within surveillance systems to predict infectious disease outbreaks | 25,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 25,000.00 |
| NIGERIA | | | | | | |
| African Council for Sustainable Health Development House B, Plot 722 Islyaku Rabiu Estate Wuse II Abuja, Nigeria toward the costs of bringing African representatives from outside of Nigeria to a meeting on strengthening human resources for health in sub-Saharan Africa, held in Abuja, Nigeria, February 2005 | 0.00 | 60,000.00 | 13,854.00 | 0.00 | 45 ,146.00 | 0.00 |
| PAKISTAN | | | | | | |
| Aga Khan University Stadium Road P.O. Box 3500 Karachi, 74800 Pakistan for use by its Department of Community Health Sciences toward the costs of workshops to assess and analyze health care needs and priorities in Pakistan, particularly at community and district levels, using the "benchmarks of fairness" tool | 0.00 | 0.00 | -1,455.00 | 1,455.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY PHILIPPINES | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| University of the Philippines, Diliman Quezon City, 1101 Philippines for use by its department of anthropology for a regional research awards program on gender and sexual health in Southeast Asia | 76,835.00 | 0.00 | 0.00 | 0.00 | 0.00 | 76,835.00 |
| Chelkh Anta Diop University BP 5005 Dakar-Fann, Senegal to enable the participation of ten AIDS activists or people living with HIV/AIDS from sub-Saharan Africa at a meeting on social science research in HIV/AIDS, held in Dakar, Senegal, October 10-14, 2005 | 0.00 | 32,000.00 | 0.00 | 0.00 | 0.00 | 32,000.00 |
| SOUTH AFRICA Health Systems Trust 1st Floor Riverside Centre corner of Belmont & Main Road Rondebosch, 7700 South Africa | | | | | | |
| toward the costs of six country-level studies in the Global Equity Gauge Alliance project, which monitors health inequalities within developing countries, and promotes action to reduce unfair disparities in health | 110,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 110,000.00 |
| toward the costs of three urban projects of its Global Equity Gauge Alliance, which promotes action to redress unfair disparities in health within developing countries | 45,000.00 | 0.00 | 45,000.00 | 0.00 | 0.00 | 0.00 |
| South African Medical Research Council P.O. Box 19070 Tygerberg 7050 ' Cape Town, South Africa for use by its Tuberculosis Lead Research Programme to strengthen collaboration in the areas of TB drug, diagnostics and vaccine research among scientists in high-burden countries | 0.00 | 0.00 | -18,415.00 | 0.00 | 0.00 | 18,415.00 |
| University of Pretoria Lynnwood Road, Hillcrest Pretona, 0002 South Africa for use by its School of Health Systems and Public Health to document the training capacity of public health | 194.05 | 0.00 | 0.00 | 0.00 | 0.00 | 194.05 |
| training institutions and research networks in sub-Saharan Africa | 134.03 | 0.00 | 0.00 | Ų.JU | 0.50 | 10-10-0 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY SOUTH AFRICA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) iN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|-----------------------------------|
| University of Pretona for use by its School of Health Systems and Public Health to document the training capacity of public health training institutions and research networks in sub-Saharan Africa | 10,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 10,000.00 |
| University of Stellenbosch Private Bag X1 Matieland, 7602 South Africa for use by its Faculty of Health Sciences, in collaboration with the University of Cape Town, to complete a study that compares two strategies to prevent opportunistic infections in HIV-infected children in South Africa | 151,643.00 | 0.00 | 151,643.00 | 0.00 | 0.00 | 0.00 |
| University of the Western Cape Private Bag X17 Bellville, 7535 South Africa for use by its School of Public Health toward the costs of meetings of global leaders to identify key knowledge gaps and opportunities related to human resources for health in Africa, held in Cape Town, South Africa, March 24-29, 2003 | 16,229.27 | 0.00 | -20,674.00 | 36,903 <i>.2</i> 7 | 0.00 | 0.00 |
| University of the Writwatersrand Private Bag 3 Johannesburg, South Africa for use by its Centre for Health Policy, in collaboration with the Health Economics Unit at the University of Cape Town, to analyze the Impact of policies under health care reform to strengthen and promote health equity in South Africa | 33,759.00 | 0.00 | 0.00 | 0.00 | 0.00 | 33,759.00 |
| SWITZERLAND | | | | | | |
| Global Forum for Health Research 1-5 Route des Monllons P.O. Box 2100 1211 Geneva, 2 Switzerland in general support of its mission to increase the amount of research devoted to improving the health of people in developing countries International Labour Organization | 0.00 | 500,000.00 | 250,000.00 | 0.00 | 0.00 | 2 5 0,000.00 |
| 4, Route des Monitons CH-1211 Geneva 22 Geneva, Switzerland | 0.00 | 440 700 00 | 00 040 00 | 0.00 | 0.00 | 40 040 00 |
| toward the costs of a feasibility study and capacity-building activities in Cambodia that explore and build the potential to introduce social protection schemes that would reduce the Impact of HIV on poor households | 0.00 | 149,720.00 | 99,810.00 | 0.00 | 0.00 | 49,910.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY SWITZERLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Union Internationale Contre le Cancer 62, route de Frontenex Geneva, 1207 Switzerland | | | | | | |
| for development, in collaboration with the Tobacco Control Resource Centre, of an electronic, interactive, distance-learning primer on tobacco control in developing countries | 36,225.00 | 0.00 | 0.00 | 0.00 | 0.00 | 36,225.00 |
| for the establishment of an online resource for developing-country tobacco control groups that want to counter tobacco promotion campaigns in their countries | 150,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 150,000.00 |
| World Health Organization 20 Avenue Appla CH-1211 | | | | | | |
| Geneva, 27 Switzerland for activities, in collaboration with partners in sub-Saharan Africa, to develop syndromic guidelines for common adult outpatient conditions in areas of high HIV prevalence | 150,000.00 | 0.00 | 150,000. 00 | 0.00 | 0.00 | 0.00 |
| for use by its Country Office in Cambodia to continue to provide technical assistance to government and non-governmental organizations involved in tobacco control in Cambodia | 77,260.00 | 0.00 | 77,260.00 | 0.00 | 0.00 | 0.00 |
| for use by its Country Office in Cambodia to provide technical assistance to government and non-governmental organizations involved in tobacco control in Cambodia | 0.00 | 0.00 | -11,631.77 | 11,631.77 | 0.00 | 0.00 |
| for use by its Department of Essential Drugs and Medicines Policy toward the costs of a project on issues of pharmaceutical procurement and patents affecting access to medicines for AIDS, TB and malaria, especially in developing countries | 20,340.00 | 0.00 | -17,437.78 | 37,777.78 | 0.00 | 0.00 |
| for use by its Evidence and Information for Policy unit to establish a partnership among various global health initiatives that focus on equity | 203,870.00 | 0.00 | 0 00 | 0.00 | 0.00 | 203,870.00 |
| to enable its Department of Health Service Provision to prepare a paper on the health workforce and the expansion of anti-retroviral treatments in resource-poor settings, for presentation at a meeting in Zambia, November 2003 | 0.00 | 0.00 | -971.71 | 971.71 | 0.00 | 0.00 |
| to help its Evidence and Information for Policy division implement recommendations made by the Joint Learning Initiative on Human Resources for Health | 0.00 | 282,500.00 | 282,500.00 | 0.00 | 0.00 | 0.00 |
| to work with developing-country institutions to strengthen national research facilities, build local research networks and develop indicators to assess the performance of health research systems | 0.00 | 0.00 | -629.02 | 629.02 | 0.00 | 0.00 |



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| Purpose | erson(s) or Institution(s) | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|--|---|---------------------|--|--|--|--|
| | ation a collaboration with regional networks in sub-Saharan Africa and Southeast Asia to order disease surveillance and response | 125,000.00 | 0.00 | 125,000.00 | 0.00 | 0.00 | 0.00 |
| | improving the ability of its Department of Child and Adolescent Health to help poor countries n Development Goal of reducing child mortality by two thirds by the year 2015 | 40,000.00 | 0.00 | 40,000.00 | 0.00 | 0.00 | 0.00 |
| TANZANIA | | | | | | | |
| | floor its East African Integrated Disease Surveillance Network, which is building a regional | 241,228.00 | 0.00 | 0.00 | 0.00 | 0.00 | 241,228.00 |
| · | ous disease surveillance and response | | | | | | |
| National Institute for M Ocean Road P.O. Box 9653 Dar es Salaam, Tanza | | | | | | | |
| | rk to analyze the impact of health sector reform policies from an equity perspective and ased recommendations for the development of efficient, equitable policy options for the stem | 30,900.00 | 0.00 | 0.00 | 0.00 | 0.00 | 30,900.00 |
| THAILAND | | | | | | | |
| | and expanding its regional training institute, which addresses prevention of HIV infection, and | 0.00 | 280,090.00 | 80,550.00 | 0.00 | 0.00 | 199,540.00 |
| Chiang Mai University 239 Huay Kaew Road Muang District Chiang Mai, 50002 Th | | | | | | | |
| for use by its Wome | on's Studies Center for master's degree scholarships in gender studies for students from the cratic Republic through a newly established Lao-Thai Scholarship Program on Gender Equity | 72,500.00 | 0.00 | 72,500.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| International Health Policy Program, Thailand Thanon Satharanasook 6 Ministry of Public Health Tiwanond Road Nonthaburi, 11000 Thailand for a workshop on human resources for health in Asia that may result in the creation of a regional action-learning network on this subject | 0.00 | 87,130.00 | 87,130.00 | 0.00 | 0.00 | 0.00 |
| Mahidol University 25/25 Puthamolihol Sai 4 Salaya Nakhon Pathom, 73170 Thailand for use by its Faculty of Social Sciences and Humanities to enable fourteen students from Cambodia, Lao PDR and Myanmar to study for a master's degree in a program that focuses on gender and reproductive health | 158,505.00 | 0.00 | 158,505.00 | 0.00 | 0.00 | 0.00 |
| Ministry of Public Health, Thailand Tiwanond Road Nonthaburi, 11000 Thailand for use by its Field Epidemiology Training Program to coordinate the Mekong Basin Disease Surveillance project | 145,965.00 | 0.00 | 43,855.00 | 0.00 | 0.00 | 102,110.00 |
| Raks Thai Foundation 185 Pradipat Road Soi Pradipat 6 Samsennal, Phayathai Bangkok, 10400 Thailand for development of a Greater Mekong Sub-regional learning network on strategies to help families cope with AIDS, linked to a similar effort in East Africa | 0.00 | 269,820.00 | 154,295.00 | 0.00 | 0.00 | 115,525.00 |
| Southeast Asian Ministers of Education Organization Tropmed Central Office 420/6 Rajvithi Road Bangkok, 10400 Thailand for use by its Regional Tropical Medicine and Public Health Network to explore the potential for using Geographic Information Systems to Inform disease prevention and control programs in the Greater Mekong Sub-region | 4,725.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4,725.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Thai Health Promotion Foundation 979/116-120 S.M. Tower Floor 34 Paholyothin Road Samsen Nai, Payathal Bangkok, 10400 Thailand to enable it to serve as the hub for Southeast Asian Tobacco Control Alliance activities, continue its regional collaborative tobacco control research program and create an ASEAN fellowship program for this field | 1,027,280.00 | 0.00 | 335,240.00 | 0.00 | 0.00 | 692,040.00 |
| Women's Health Advocacy Foundation 12/22 Tessabar-songkroh Road Ladyao, Jatujak Bangkok, 10900 Thailand | | | | | | |
| In continued support of its efforts to strengthen media professionals' reporting of sexual and reproductive health issues, especially as they relate to gender inequality, partner relations and HiV/AIDS | 0.00 | 85,980.00 | 43,765.00 | 0.00 | 0.00 | 42,215.00 |
| to raise media professionals' awareness of gender issues in sexual and reproductive health | 49,530.00 | 0.00 | 49,530.00 | 0.00 | 0.00 | 0.00 |
| UGANDA | | | | | | |
| Joint Clinical Research Centre Plot 893 Ring Road Butikiro House - Mengo P.O. Box 10005 Kampala, Uganda | , | | | | | |
| for activities to complete its African Dialogue on AIDS Care program, which promotes research on HIV/AIDS care and treatment in sub-Saharan Africa | 0.00 | 197,720.00 | 197,720.00 | 0.00 | 0.00 | 0.00 |
| for its continued participation in a multicenter clinical trial coordinated by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa | 0.00 | 550,000.00 | 550,000.00 | 0.00 | 0.00 | 0.00 |
| Makerere University P.O. Box 7062 Kampala, Uganda | | | | | | |
| for use by its College of Health Sciences to improve and expand its master's in medicine degree program | 116,575.00 | 0.00 | 116,575.00 | 0.00 | 0.00 | 0.00 |
| for use by its Institute of Public Health for activities related to a collaborative study on equity in health in Uganda, as part of the Equity Gauge Initiative | 128,200.00 | 0.00 | 57,000.00 | 0.00 | 0.00 | 71,200.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UGANDA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Makerere University for use by its institute of Public Health to develop a policy tool to facilitate equity-oriented health care financing reform in Uganda | 69,750.00 | 0.00 | 69,750 00 | 0.00 | 0.00 | 0.00 |
| for use by its institute of Public Health toward the costs of developing and implementing a master's degree program in public health using distance learning | 147,175.00 | 0.00 | 147,175.00 | 0.00 | 0.00 | 0.00 |
| for use by its institute of Public Health toward the costs of strengthening its distance education master's in public health program | 0.00 | 500,000.00 | 300,500.00 | 0.00 | 0.00 | 199,500.00 |
| The AIDS Support Organisation (TASO) PO Box 10443 Kampala, Uganda for activities designed to enhance the support it provides to community-based organizations helping families cope with the effects of AIDS and for the work of its drama groups in educating communities on household vulnerability to HIV/AIDS and the role the community can play in providing medical and socio-economic support | 0.00 | 183,080.00 | 183,080.00 | 0.00 | 0.00 | 0.00 |
| Traditional and Modern Health Practitioners Together Against AIDS and other diseases P.O. Box 21175 Kampala, Uganda toward the costs of strengthening partnerships among the various health systems in Uganda to improve the quality of HIV/AIDS, malaria, and tuberculosis prevention and care | 0.00 | 459,320.00 | 255,805.00 | 0.00 | 0.00 | 203,515.00 |
| VIETNAM | | | | | | |
| Consultation of Investment in Health Promotion 108 A12 Alley 4/15 Phuong Mai Street Hanol, Vietnam to enhance the capacity of local researchers to analyze, publish and disseminate research findings on gender and sexual health in Vietnam | 135,236.00 | 0.00 | 67,618.00 | 0.00 | 0.00 | 67,618.00 |
| Hanoi School of Public Health 138 Glang Vo, Ba dinh Hanoi, Vletnam | | | | | | |
| for transitional funding of its Public Health Schools Without Walls program | 30,000.00 | 0.00 | 30,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY VIETNAM | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Ministry of Health, Vietnam 138A Glang Vo Str Ba dinh Hanoi, Vietnam for use by its Vietnam Committee on Smoking and Health to expand its communications project aimed at decreasing the exposure of women and children to secondhand smoke at home | 146,200,00 | 0.00 | 73,100.00 | 0.00 | 0.00 | 73,100.00 |
| ZAMBIA | | | | | | |
| Centre for Health, Science and Social Research P.O. Box 320168 Woodlands Lusaka, Zambia for continued support of research to strengthen cross-border disease prevention, control and surveillance programs in southern Africa | 23,065.00 | 0.00 | 23,065.00 | 0.00 | 0.00 | 0.00 |
| ZIMBABWÉ | | | | | | |
| Biomedical Research and Training institute P.O. Box CY 1753, Causeway Harare, Zimbabwe to assess the risk of tuberculosis infection among nurses, and the causes of chronic cough among patients attending health care clinics in Harare, Zimbabwe | 15,092.00 | 0.00 | 15,092.00 | 0.00 | 0.00 | 0.00 |
| University of Zimbabwe P O. Box MP 167 Mount Pleasant Harare, Zimbabwe | | | | | | |
| for the continued participation of its Parirenyatwa Hospital in a multicenter clinical trial organized by the Medical Research Council, London, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa | 462,500.00 | 0.00 | 462,500.00 | 0.00 | 0.00 | 0.00 |
| for the continued participation of its Parirenyatwa Hospital in a multicenter clinical trial sponsored by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa | 0.00 | 587,310.00 | 587,310.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UNITED STATES ARIZONA Arizona State University | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Tempe, Arizona 85287 for use by its Arizona Biomedical Institute toward the costs of a meeting on the development of plant-based vaccines for humans and animals, to be held in Phoenix, November 2002 | 0.00 | 0.00 | -1,022.08 | 1,022.08 | 0.00 | 0.00 |
| CALIFORNIA University of California, Davis Mrak Hall, Fifth Floor 2200 University Ave Davis, California 95616 for collaboration between its Public Intellectual Property Resource for Agriculture and the Centre for the Management of Intellectual Property in Health Research & Development (MIHR) to improve management of public-sector technologies and promote development of products for the poor in developing countries University of California, San Francisco | 61,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 61,000.00 |
| 3rd and Pamassus Avenues San Francisco, California 94143 | | | | | | |
| for activities related to developing a franchise system to improve the delivery of TB- and AIDS-related health care to poor people in sub-Saharan Africa | 0.00 | 74,750.00 | 74,750.00 | 0.00 | 0.00 | 0.00 |
| to enable its Global Health Sciences Program to lead an international task force that promotes the use of multi-sectoral information to improve health and reduce poverty in developing countries | 210,000.00 | 0.00 | 105,000.00 | 0.00 | 0.00 | 105,000.00 |
| COLORADO International Development Enterprises 10403 West Colfax Avenue, Suite 500 Lakewood, Colorado 80215 toward the costs of a project that will improve the capacity of its Vietnamese partners to undertake a social marketing tobacco control program | 52,200.00 | 0.00 | 52,200.00 | 0.00 | 0.00 | 0.00 |
| Lundy Foundation 300 West 11th Avenue, Suite 15-B Denver, Colorado 80204-3690 | | | | | | |
| toward the costs of evaluating the development and initial impact of a community-based children's center in Tanzania on the physical and psychosocial needs of HIV/AIDS orphans and other vulnerable children | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UNITED STATES WASHINGTON, DC AcademyHeaith Suite 701-L | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|--------------------------------------|---------------------|---------------------------------|--|--|-----------------------------------|
| 1801 K Street, N W. Washington, DC 20006 toward the costs of its International Recruitment of Nurses Program, which includes a meeting at the Bellagio Study and Conference Center, Italy, July 2005 | 0.00 | 62,100.00 | 62,100.00 | 0.00 | 0.00 | 0.00 |
| Aga Khan Foundation U S A 1825 K Street, NW Suite 901 Washington, DC 20006 | | | | | | |
| for an assessment of the role of public/private partnerships in health insurance schemes for the poor in Tanzania | 0.00 | 22,020.00 | 22,020.00 | 0.00 | 0.00 | 0.00 |
| BIO Ventures for Global Health 1225 Eye Street, N.W., Suite 400 Washington, DC 20005-5958 to explore the feasibility of building partnerships and transferring technology between pharmaceutical | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| companies and universities in the North and in the South that will accelerate the development of new products to address diseases of the poor in developing countries | | | | | | |
| Essential Information, Inc. P.O. Box 19405 Washington, DC 20036 | | | | | | |
| to expand its North-South global partnerships program for tobacco control in developing countries | 200,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 |
| International Center for Research on Women 1717 Massachusetts Avenue, N.W. Suite 302 WashIngton, DC 20036 | | | | | | |
| to complete a project undertaken in collaboration with a group of five non-governmental organizations in India conducting community-based research on adolescent sexuality and reproductive health | 451,181.00 | 0.00 | 287,944.00 | 0.00 | 0.00 | 163,237.00 |
| National Academy of Sciences 500 Fifth Street, NW Washington, DC 20001 | | | | | | |
| for use by its institute of Medicine toward the costs of the first InterAcademy Medical Panel conference, "The World's Medical Academies and Their Role in Confronting Emerging Infectious Diseases," held in Paris, France, March 2002 | 0.00 | 0.00 | -7,519.09 | 7,519.09 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UNITED STATES WASHINGTON, DC The Aspen Institute, inc One Dupont Circle, NW Suite 700 Washington, DC 20036-1133 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| toward the costs of a conference in June 2005 on global women's health organized by its Ethical Globalization Initiative in collaboration with Columbia University's Mailman School of Public Health and the Council of Women World Leaders | 0.00 | 75,000.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| ILLINOIS University of Illinois at Chicago 601 S. Morgan Street Chicago, Illinois 60607-7115 for use by its Health Research and Policy Centers toward the costs of a research and technical assistance program on the economics of tobacco use and control in Southeast Asia | 252,287.00 | 0.00 | 252,287.00 | 0.00 | 0.00 | 0.00 |
| MARYLAND Adventist Development and Relief Agency International 12501 Old Columbia Pike Silver Spring, Maryland 20904 for use by its Cambodia office for continuation of the Smoke-Free Buddhist Monks project and for its expansion into the community and to additional provinces | 96,027.00 | 0.00 | 96,027.00 | 0.00 | 0.00 | 0.00 |
| Funders Network on Population, Reproductive Health and Rights, Inc 1215 Veirs Mill Road Rockville, Maryland 20851 for general support of the Network's aim of enhancing the quality of work of grantmakers concerned about population, and sexual and reproductive health | 16,500.00 | 0.00 | 16,500.00 | 0.00 | 0.00 | 0.00 |
| International Partnership for Microbicides, Inc 1010 Wayne Avenue Suite 1450 Silver Spring, Maryland 20910 In general support of its mission to prevent HIV transmission by accelerating the development and availability of safe and effective microbicides for use by women in developing countries | 4,000,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4,000,000.00 |
| Johns Hopkins University 3400 North Charles Street Baitmore, Maryland 21218 for use by JHPIEGO-Kenya, in collaboration with the African Population and Health Research Institute, to develop a comprehensive HIV/AIDS care model for households in poor Nairobi settlements | 0.00 | 348,410.00 | 257,900.00 | 0.00 | 0.00 | 90,510.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UNITED STATES MARYLAND Population Association of America Silver Spring, Maryland | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|--------------------------------------|---------------------|---------------------------------|--|--|-----------------------------------|
| to enable developing-country scholars to attend its annual meeting in Los Angeles, March 2006 | 0.00 | 30,000.00 | 30,000.00 | 0.00 | 0.00 | 0.00 |
| Sanaria Inc. 12115 Parklawn Drive, Suite L Rockville, Maryland 20852 toward the costs of organizing a session on malaria at the Indian Science Congress meeting in Ahmedabad, January 2005 | 0.00 | 0.00 | -12,488.85 | 12,488.85 | 0.00 | 0.00 |
| MASSACHUSETTS Harvard University Massachusetts Hall Cambridge, Massachusetts 02138 for use by its medical school toward the costs of a meeting on expanding AIDS treatment and care in resource-poor settings, to be held in Cange, Halti, April 2003 | 0.00 | 0.00 | -12,850.80 | 12,850.80 | 0.00 | 0.00 |
| International Society for infectious Diseases, Inc 181 Longwood Avenue Boston, Massachusetts 02115-5804 for use by its Program for Monitoring Emerging Diseases to collaborate with regional disease surveillance networks In Africa and Southeast Asia to improve reporting of disease outbreaks | 143,340.00 | 0.00 | 68,100.00 | 0.00 | 0.00 | 75,240.00 |
| Physicians for Human Rights 2 Arrow Street Suite 301 Cambridge, Massachusetts 02138 toward the costs of strengthening human resources for health through its Health Action AiDS Campaign in sub-Saharan Africa | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| NEW MEXICO Santa Fe Institute 1399 Hyde Park Road Santa Fe, New Mexico 87501 | | | | | | |
| to enable African scientists from outside South Africa to attend a workshop organized in collaboration with the University of Cape Town on the sciences of complexity in Africa, to be held in Cape Town, January 2005 | 0.00 | 0.00 | -9,073.80 | 9,073.80 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UNITED STATES NEW YORK Columbia University 202 Low Memorial Library New York, New Y | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| for use by its Mailman School of Public Health for a policy development and advocacy project to mobilize resources to fight AIDS under the direction of the Special Envoy for AIDS in Africa of the United Nations Secretary General | 175,000.00 | 0.00 | 175,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its Maliman School of Public Health toward the costs of an initiative that builds on existing programs to prevent mother-to-child transmission of HIV by providing treatment for HIV/AIDS to infected mothers and their infected children | 4,000,000.00 | 0.00 | 2,000,000.00 | 0.00 | 0.00 | 2,000,000.00 |
| Gay Men's Health Crisis, Inc The Tisch Building 119 West 24th Street New York, New York 10011-1913 for a conference on overcoming common barriers to scaling up antiretroviral therapy and strengthening health care systems in developing countries most affected by HIV/AIDS, held in Cape Town, South Africa, January 2006 | 0.00 | 50,000 00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| Gynuity Health Projects 15 East 26th Street #1617 New York, New York 10010 toward the costs of a meeting on possible links between hormonal contraception and HIV transmission, held at the New York Academy of Sciences, May 2005 | 0.00 | 45,000.00 | 45,000 00 | 0.00 | 0.00 | 0.00 |
| International AIDS Vaccine initiative 110 William Street New York, New York 10038-3901 In general support of its mission to ensure the development of safe, effective, accessible, preventive HIV vaccines for use throughout the world | 500,000.00 | 0.00 | 250,000.00 | 0.00 | 0.00 | 250,000.00 |
| New York University 70 Washington Square South 12th Floor New York, New York 10012 | | | | | | |
| for use by its School of Medicine's "Undeveloped Drug Project" to bring biopharmaceuticals of limited market potential to poor people in developing countries | 0.00 | 0.00 | -154.91 | 154.91 | 0.00 | 0.00 |
| to enable its Wagner Graduate School of Public Service to coordinate the activities of a network of global institutions concerned with strengthening the workforces of national health systems, especially in developing countries | 350,000.00 | 0.00 | 350,000.00 | 0.00 | 0.00 | 0.00 |



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PROGRAM NET LAPSES REVERSIONS COUNTRY UNEXPENDED UNEXPENDED EXPENDITURES (Incl. cancs **US STATE** BALANCE (Incl. canes BALANCE AS OF **APPROVED** AS OF & recens) & recens) AS OF Grantee Name(s) - Person(s) or Institution(s) 01-Jan-2005 IN 2005 Dec-2005 IN 2005 IN 2005 Dec-2005 Purpose **HEALTH EQUITY** UNITED STATES **NEW YORK** New York University to enable its Wagner Graduate School of Public Service to coordinate the activities of a network of global 0.00 602,250.00 602,250,00 0.00 0.00 0.00 Institutions concerned with strengthening the workforces of national health systems, especially in developing countries The Global Alliance for TB Drug Development, Inc. 80 Broad Street 31st floor New York, New York 10004 in general support of its efforts to develop new, more effective medicines to treat tuberculosis that will be 3,500,000.00 0.00 3,500,000.00 0.00 0.00 0.00 affordable and available in developing countries The Mexican Cultural Institute of New York, Inc. 27 East 39th Street, Third Floor New York, New York 10018 0.00 for the publication and promotion of a health directory for Mexican nationals living in the New York metropolitan 0.00 0.00 -15.49 15.49 0.00 area containing information about public health care programs, disease prevention and local community organizations The Population Council, Inc. One Dag Hammarskiold Plaza New York, New York 10017 0.00 44,800.00 44,800.00 0.00 0.00 0.00 to enable participants from Ethiopia to attend a workshop planned in collaboration with the Navrongo Health Research Centre to Inform African health officials about the evidence-based strategies used in Ghana's community-based health planning and services program to support the assignment of a Resident Senior Fellow to the Navrongo Health Research Centre to provide 39.853.00 0.00 39.853.00 0.00 0.00 0.00 full-time direction to an adolescent reproductive health research study in the Kassena-Nankana District of Ghana William Alan Muraskin 250 West 94th Street, Apt 9E New York, New York 10025 0.00 to continue documenting the role played by donors, including the Rockefeller Foundation, in the creation of 0.00 50,000.00 50.000.00 0.00 0.00 public/private partnerships to develop drugs, vaccines and microbicides to address diseases of the poor in developing countries

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UNITED STATES NORTH CAROLINA Duke University Box 90001 Durham, North Carolina 27708-0340 to enable its Sanford Institute of Public Policy to establish a program on global health and technology access that will focus on harnessing knowledge to improve the health of the poor | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|-----------------------------------|
| Ipas 300 Market Street Suite 200 Chapel Hill, North Carolina 27516 toward the costs of a regional conference to be held in Cape Town, South Africa, on the links between HIV/AIDS, contraception and abortion in sub-Saharan Africa | 0.00 | 79,900.00 | 0.00 | 0.00 | 0.00 | 79,900.00 |
| OHIO The Axios Foundation 33810 Solon Road, Suite 1 Cleveland, Ohio 44139 for a project in collaboration with the Ministry of Health, Tanzania, to assess the Impact of an integrated prevention of mother-to-child transmission of HIV program in rural Tanzania on the development of the health system | 0.00 | 150,000.00 | 112,000.00 | 0.00 | 0.00 | 38,000.00 |
| PENNSYLVANIA Thomas Jefferson University 11th and Walnut Streets Philadelphia, Pennsylvania 19107 to further develop the capacity of the Global Network for Perinatal and Reproductive Health, and to support a multi-center study of perinatal infections | 0.00 | 0.00 | -21,162.44 | 21,162.44 | 0.00 | 0.00 |
| VERMONT Global Health Council, Inc 15 Railroad Row White River Junction, Vermont 05001 toward the costs of its 2005 annual international conference, and for a meeting at the Bellagio Study and | 0.00 | 150,000.00 | 150,000,00 | 0.00 | 0.00 | 0.00 |
| Conference Center, Italy In April 2005 entitled, "UNICEF: Leading on Behalf of the World's Children" | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH EQUITY UNITED STATES VIRGINIA The HealthStore Foundation 113 South Columbus Street, Suite 305 Alexandria, Virginia 22314 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| to test, in Nairobi, a model private-sector, franchise approach to improve health care for poor people in sub-Saharan Africa | 51,450.00 | 0.00 | 0.00 | 0.00 | 0.00 | 51,450.00 |
| WASHINGTON PATH (Program for Appropriate Technology In Health) 1455 NW Leary Way Seattle, Washington 98107 | | | | | | |
| toward the costs of evaluating the feasibility of removing intellectual property barriers to the development of malaria vaccines by "pooling" patents for the public good | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of exploring the establishment of Equity Investment Partners, L.P. (EQUIP), a double-bottom-line venture capital fund that will invest in technologies to fight infectious diseases and improve maternal and child health in developing countries, and a workshop on financing global health through social venture capital | 0 00 | 170,000.00 | 170,000.00 | 0.00 | 0.00 | 0.00 |
| TOTAL: 131 - HEALTH EQUITY | 22,131,271.60 | 8,886,920.00 | 17,951,203.16 | 208,142.51 | 46,146.00 | 12,812,699.93 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose HEALTH SCIENCES SRI LANKA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|-----------------------------------|
| Institute of Policy Studies of Sri Lanka 99 St. Michael's Road Colombo, 3 Sn Lanka as an International Health Research Award to support a collaborative partnership to strengthen health systems reform in the Asia-Pacific region within the National Health Accounts framework | 9,852.00 | 0.00 | 0.00 | 0.00 | 0.00 | 9,852.00 |
| SWITZERLAND World Health Organization 20 Avenue Apple CH-1211 Geneva, 27 Switzerland | | | | | | |
| for use by its Regional Office for Africa to support activities to strengthen national surveillance systems, laboratory capabilities, and information-sharing networks in West Africa and the Sudan | 0.00 | 0.00 | -21,789.12 | 21,789.12 | 0.00 | 0.00 |
| TOTAL: 2-HEALTH SCIENCES | 9,852.00 | 0.00 | -21,789.12 | 21,789.12 | 0.00 | 9,852.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SERVICA REGIONAL PROGRAM MEXICO | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Centro de Investigaciones y Estudios Superiores en Antropologia Social Juarez No. 87 Col. Tlalpan Apartado Postal 22-048 Mexico City, 14000 Mexico | | | | | | |
| in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the Veracruz region | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| In support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the Veracruz region | 0.00 | 95,000.00 | 0.00 | 0.00 | 0.00 | 95,000.00 |
| Fundacion Cultural Rodolfo Morales Morelos 108 Ocotian de Morelos Oaxaca, 71510 Mexico toward the costs of disseminating the outcomes of research on socioeconomic and cultural dynamics in high-migration communities in rural Mexico and of facilitating a series of dialogues at which high-migration communities can discuss future scenarios should current migratory trends persist | 0.06 | 203,000.00 | 0.00 | 0.00 | 0.00 | 203,000.00 |
| Grupo Interdisciplinario sobre Mujer, Trabajo y Pobreza, A C Hilano Pérez de León #80 Col. Niños Héroes de Chapultepec Mexico City, Mexico toward the costs of a competitive research program to investigate the impact of remittances from family | 50,000.00 | . 0.00 | 0.00 | 0.00 | 0.00 | 50,000,00 |
| members in the United States on Indigenous women living in poverty in Mexico Instituto Tecnológico de Oaxaca Av. Ing. Victor Bravo Ahuja No 125 Esq. Calz. Tecnológico Oaxaca, 68030 Mexico | | ••• | •••• | | 2.00 | |
| in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the indigenous Oaxaca region | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| in support of the second and final phase of its project to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the indigenous Oaxeca region | 0.00 | 60,000.00 | 0.00 | 0.00 | 0.00 | 60,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Red Internacional de Migracion y Desarrollo Apartado Postal 3-138 Zacatecas, 98064 Mexico | | | | | | |
| in support of a project to generate a knowledge platform to better understand the dynamics of transnational communities resulting from massive migration from Mexico to the U.S. | 97,500.00 | 0.00 | 97,500.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of research, international exchanges and knowledge dissemination to inform policies and the link between migration and development in countries with high emigration | 0.00 | 140,000.00 | 40,000.00 | 0.00 | 0.00 | 100,000.00 |
| Universidad Autonoma de Zacatecas Apartado Postal 3-138 Zacatecas, 98064 Mexico | | | | | | |
| in support of its project to create a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the Zacatecas region | 0.00 | 190,000.00 | 0.00 | 0.00 | 0.00 | 190,000.00 |
| Universidad Autonoma Metropolitana, Iztapalapa C P. 09340 Iztapalapa, D.F. Mexico | | | | | | |
| in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the Mixteca region of the state of Oaxaca | 0.00 | 210,000.00 | 0 00 | 0.00 | 0.00 | 210,000.00 |
| toward the costs of research to analyze the links between social exclusion and citizenship in transnational communities in Mexico and the U.S. | 31,900.00 | 0.00 | 31,900.00 | 0.00 | 0.00 | 0.00 |
| Universidad Iberoamencana, Puebla, de la Comunidad Universitana del Golfo Centro A C. Apdo Postal 1436 Puebla, 72430 Mexico | | | | | | |
| In support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the state of Puebla | 0.00 | 0.00 | -4,028.00 | 0.00 | 0.00 | 4,028.00 |
| In support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the U.S., focused in particular on the state of Puebla | 0.00 | 195,000.00 | 195,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose HERRICA REGIONAL PROGRAM UNITED STATES CALIFORNIA Centro Binacional para el Desarrollo Indigena Oaxaqueño, Inc. 2014 Tulare Street Suite 223 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Fresno, California 93721 toward the costs of capacity building to enable the Center and its Mexican counterparts to respond better to the needs of Mexican Indigenous transnational communities | 76,185.00 | 0.00 | 76,185.00 | 0.00 | 0.00 | 0.00 |
| Coalition for Humane Immigrant Rights of Los Angeles 2533 West Third Street Ste 101 Los Angeles, California 90057 | | | | | | |
| toward the costs of its project, the National Day Laborer Organizing Network, a coalition of community-based organizations whose aim is to improve the lives and working conditions of day laborers in the United States | 150,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| Federation of Zacatecan International Benefit Organizations, Inc 1332 North Miller Avenue Los Angeles, California 90063 | | | | | | |
| toward the costs of building its capacity to promote and sustain philanthropic investment in the state of Zacatecas, Mexico, and of involving immigrant groups in the U.S. in bi-national development projects | 0.00 | 200,000.00 | 200,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of building its capacity to promote and sustain strategic philanthropic investment in the state of Zacatecas, Mexico | 96,140.00 | 0.00 | 96,140.00 | 0.00 | 0.00 | 0.00 |
| National Immigration Law Center 3435 Wilshire Boulevard Suite 2850 Los Angeles, California 90010 for general support of its mission to protect and promote the rights and opportunities of low-income immigrants and their families | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| University of California, Los Angeles 405 Hilgard Avenue Box 951361 Los Angeles, California 90095-1361 | | | | | | |
| in support of a joint research project with New York University and the University of Illinois at Chicago on the prevalence of workplace violations in New York City, Chicago and Los Angeles | 0.00 | 120,000.00 | 0.00 | 0.00 | 0.00 | 120,000.00 |
| toward the costs of a research project to identify immigrant-serving organizations in the Los Angeles metropolitan area and to analyze their roles in immigrant communities | 190,000.00 | 0.00 | 190,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantse Name(s) - Person(s) or Institution(s) Purpose NORTH AMERICA REGIONAL PROGRAM UNITED STATES CALIFORNIA University of California, Santa Cruz 1156 High Street Santa Cruz, California 95064 toward the costs of research papers and a workshop on Mexican migrant civil society in the United States and Its | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 = = = = = = - | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|--------------------------------|---------------------------------|---------------------------------------|--|--|
| Implications for public policles in both countries, held in October 2005 | | | | | | |
| ILLINOIS Heartland Alliance for Human Needs and Human Rights 208 South LaSalle Street Suite 1818 Chicago, Illinois 60604 toward the costs of its Enlaces America project to build the capacity of immigrant community leaders in advancing a sustainable development agenda in their communities of origin | 0.00 | 160,000.00 | 160,000.00 | 0.00 | 0.00 | . 0.00 |
| INDIANA | | | | | | |
| University of Notre Dame 400 Main Building Notre Dame, Indiana 46556 toward the costs of an exhibition and educational activities focused on raising awareness of, and creating a public forum around, new artistic interpretations of Mexican migration to the United States | 0.00 | 110,000.00 | 0.00 | 0.00 | 0.00 | 110,000.00 |
| MASSACHUSETTS | | | | | | |
| Harvard University Massachusetts Hall Cambridge, Massachusetts 02138 toward the costs of a workshop on transnational arts and culture in three immigrant communities in New York - Latino, Asian and African - to be held in Cambridge, Massachusetts, fall 2006 | 0.00 | 71,730.00 | 71,730.00 | 0.00 | 0.00 | 0.00 |
| NEW YORK Baruch College, City University of New York One Bernard Baruch Way New York, New York 10010 | | | | | | |
| toward the costs of a survey to determine what roles community-based organizations, associations and social service providers play in the lives of new immigrants in New York City | 0.00 | 188,600.00 | 188,600.00 | 0.00 | 0.00 | 0.00 |



PROGRAM

trade systems and migration flows from Oaxaca and Chiapas

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REVERSIONS COUNTRY UNEXPENDED NET LAPSES UNEXPENDED **EXPENDITURES** (incl. cancs (incl. cancs **US STATE** BALANCE BALANCE **APPROVED** AS OF & recens) Grantee Name(s) - Person(s) or Institution(s) AS OF & recens) AS OF Dec-2005 01-Jan-2005 IN 2005 IN 2005 IN 2005 Dec-2005 Purpose **NORTH AMERICA REGIONAL PROGRAM UNITED STATES** NEW YORK Cornell University 300 Day Hall Ithaca, New York 14853 for use by Cornell University Press toward the costs of the publication of "Beyond Borders: Transnational 0.00 30.000.00 30,000,00 0.00 0.00 0.00 Working Communities," a photographic and oral history of working communities in Mexico, Guatemala and the United States by David Bacon Second Generation Media 611 Broadway, Suite 616 New York, New York 10012 0.00 0.00 toward the costs of a documentary on the origin and evolution of a hometown association in New York of -11.00 11.00 0.00 0.00 migrants from the state of Puebla in Mexico The Population Council, inc One Dag Hammarskjold Plaza New York, New York 10017 toward the costs of a review and analysis of research and health interventions focused on the impacts of 0.00 150,000.00 150,000.00 0.00 0.00 0.00 Mexico-U.S. migration on the spread of HIV/AIDS, especially to rural areas of Mexico U.S.-Mexico Foundation for Culture, Inc. c/o Grant, Hermann, Schwartz & Klinger LLP 675 Third Avenue, Suite 1200 New York, New York 10017 toward the costs of establishing a plastic arts community workshop in San Francisco Cajonos, in the state of 45,000.00 0.00 45,000.00 0.00 0.00 0.00 Oaxaca, Mexico, to strengthen that transnational community's cultural identity NORTH CAROLINA Welte Institute for Oaxacan Studies, Inc. 2618-A Battleground Ave # 331 Greensboro, North Carolina 27408 62,500.00 toward the costs of research to elucidate the links among the crisis of coffee production, certification-based 150,000.00 0.00 87.500.00 0.00 0.00

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose FIRST STATE NORTH AMERICA REGIONAL PROGRAM UNITED STATES PENNSYLVANIA American Friends Service Committee 1501 Cherry Street Philadelphia, Pennsylvania 19102-1403 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 | |
|--|---|---------------------|---------------------------------|--|--|-----------------------------------|--|
| for use by its Pan Valley Institute, toward the costs of a project to expand the work of its Tamejavi Cultural Exchange Project, a series of regional cultural exchanges, training sessions and creative productions to deepen understanding about civic participation among immigrants in California's Central Valley | 0.00 | 200,000.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 | |
| TOTAL: 31 - NORTH AMERICA REGIONAL PROGRAM | 1,036,725.00 | 2,571,670.00 | 2,303,856.00 | 11.00 | 0.00 | 1,304,528.00 | |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose POPULATION SCIENCES CANADA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| University of Montreal C.P. 6128 Succursale Centre Ville Montréal, H3C 3J7 Canada for research to be conducted in collaboration with the University of Yaounde, to test several approaches to | 83,250.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 33,250.00 |
| improving the reproductive health and health-seeking behaviors of adolescents in Cameroon | | | | | | |
| PAKISTAN | | | | | | |
| University of the Punjab 1 Shahrah-e-al-Berun Lahore, 2 Pakistan | | | | | | |
| for a study of expression of BT toxin genes in rice, to be undertaken by Biotechnology Career Fellow Prof Shelkh Rlazuddin, under the direction of Dr. Milton P. Gordon, Department of Blochemistry, University of Washington, Seattle | 8,546.63 | 0.00 | 8,546.63 | 0.00 | 0.00 | 0.00 |
| SWITZERLAND | | | | | | |
| World Health Organization 20 Avenue Appia CH-1211 Geneva, 27 Switzerland | | | | | | |
| for meetings, collaborative projects, and publication costs associated with an implantation research initiative of the Special Programme of Research, Development and Research Training in Human Reproduction | 63,000.00 | 0.00 | 28,559.85 | 33,000.00 | 0.00 | 1,440.15 |
| ZIMBABWE | | | | | | |
| Zimbabwe National Family Planning Council P. O. Box St 220 Southertion Harare, Zimbabwe | | | | | | |
| to complete an intervention research project aiming to identify appropriate, effective, and replicable models of reproductive health services for youth in Zimbabwe | 153,866.00 | 0.00 | 0.00 | 0.00 | 0.00 | 153,866.00 |
| UNITED STATES WASHINGTON, DC The World Bank 1818 H Street, N.W. Washington, DC 20433 | | | | | | |
| for a training program in population economics and reproductive health organized by its Economic Development Institute for public- and private-sector professionals in countries receiving World Bank assistance | 0 00 | 0.00 | -1,238.80 | 1,238.80 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose POPULATION SCIENCES UNITED STATES NEW YORK The Population Council, Inc. One Dag Harmarskjold Plaza New York, New York 10017 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|------------------|---------------------------------|--|--|--|
| for the publication of a supplement to its Population and Development Review containing papers from a Beliagio conference on global fertility transition theory | 0.00 | 0.00 | -17,610.00 | 17,610.00 | 0.00 | 0.00 |
| TOTAL: 6-POPULATION SCIENCES | 308,662.63 | 0.00 | 68,257.68 | 51,848.80 | 0.00 | 188,556.15 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM CAMBODIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Cambodia Development Resource Institute 56 Street 315, Tuol Kork (P.O Box 622) Phnom Penh, Cambodia In support of a project to enhance the study of emerging regional trends in the Greater Mekong Sub-region through research collaboration among institutions in Cambodia, Lao PDR, Thailand, Vietnam and Yunnan Province, China | 0.00 | 450,000.00 | 150,000.00 | 0.00 | 0.00 | 300,000.00 |
| Cambodian Women for Peace and Development Association #23, St. 47 Sangkat Sras Chak Khan Daun Penh Phnom Penh, Cambodia for the continuation of an experimental program to strengthen Inter-country health care and social support systems for Cambodian workers milgrating to Thailand | 209,824.00 | 0.00 | 51,025.00 | 0.00 | 0.00 | 158,799.00 |
| Center for Advanced Study #22, Street 592 Sangkat Boeung Kak II Khan Tuol Kork Phnom Penh, Cambodia In support of research to assess changes over the last decade in the social and cultural situation of ethnic communities in Cambodia, building on earlier studies | 0.00 | 100,000.00 | 71,300.00 | 0.00 | 0.00 | 28,700.00 |
| Khemara Ottara Vatei Pagoda, National Road # 5 Russey Keo District Mittapheap Village PO Box No. 1250 Phnom Penh, Cambodia to expand a model that integrates gender concerns into the provision of AIDS and sexual health education and services among marginalized communities in Phnom Penh, Cambodia | 73,942.00 | 0.00 | 73,942.00 | 0.00 | 0.00 | 0.00 |
| Ministry of Health, Cambodia No 151-153 Kampuchea Krom Blvd. Phnom Penh, Cambodia for use by its National institute of Public Health toward the costs of a planning process, in collaboration with public health Institutions in Thailand, Vietnam and the Philippines, leading to the establishment by 2010 of the first government-supported Master of Public Health program in Cambodia | 0.00 | 78,270.00 | 78,270.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM CAMBODIA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Women's Media Centre of Cambodia #30, Street 488 Sangkat Phsar Demthkov Khan Chamcar Mom Phnom Penh, Cambodia toward the costs of the development, production and dissemination of a series of documentary films on the lives of women in ethnic minority communities in Cambodia | 0.00 | 200,600.00 | 118,090.00 | 0.00 | 0.00 | 82,510.00 |
| CANADA Association for Women's Rights in Development 215 Spadina Avenue, Suite 150 Toronto, M5T 2C7 Canada toward the costs of enabling participants from Southeast Asia and sub-Saharan Africa to attend its International Forum on Women's Rights in Development, held in Bangkok, October 2005 CHINA | 0.00 | 75,000.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| Center for Biodiversity and Indigenous Knowledge The First Floor, Building B Zhonghuandasha, Yanjiadi Kunming, Yunnan, 650034 China In support of a multidisciplinary research and learning mobile workshop focused on understanding and predicting land-use trends, in view of regional development plans, in the uplands of Yunnan Province in China, Lao PDR and Thailand | 48,665.00 | 0.00 | 48,665.00 | 0.00 | 0.00 | 0.00 |
| Center for Community Development Studies No. 133, Qixiang Road Kunming The Old Campus, Yunnan Academy of Social Sciences Yunnan, 650032 China In support of a project to produce an analytic review and annotated bibliography of social transformations experienced by ethnic minority groups in Yunnan Province, China, and related groups in Vietnam, Lao PDR, and Thailand, to serve as a baseline research tool | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| Kunming Medical College 191 Western Renmin Road Kunming, 650031 China for use by its Department of Social Sciences toward the costs of a study to assess equity, efficiency and accountability of the rural health care insurance program, especially as it relates to ethnic populations in Yunnan Province, China | 0.00 | 30,200.00 | 17,500.00 | 0.00 | 0.00 | 12,700.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM CHINA | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Kunming Medical College for use by its institute for Health Sciences toward the costs of strengthening its regional presence as a research and training institute focusing on HIV/AIDS and other health challenges in the Greater Mekong Sub-region | 0.00 | 345,000.00 | 197,650.00 | 0.00 | 0.00 | 147,350.00 |
| Ministry of Health, P R. China 1 Naniu, Xizhimenwai Beijing, 100044 China for use by its Foreign Loan Office to conduct an intervention study in Yunnan Province to make rural health services more responsive to the needs of ethnic women | 0.00 | 200,000.00 | 100,400.00 | 0.00 | 0.00 | 99,600.00 |
| Yunnan Academy of Agricultural Sciences Kunming Yunnan, 650205 China toward the costs of developing new high-yielding, drought-tolerant aerobic rice varieties suitable to the specific uplands environment of the Yunnan Province of China, taking into account the socio-economic impacts of the Increasing Integration of regional markets | 0.00 | 100,000.00 | 45,000.00 | 0.00 | 0.00 | 55,000.00 |
| HONG KONG, CHINA | | | | | | |
| Asian Migrant Centre 13/F, Flat 6, Block A, Fuk Keung Ind. Bldg. 66 Tong Mei Road Kowloon, Hong Kong, China to continue support for the monitoring and analysis of migration issues, needs, responses and strategies in the Greater Mekong Sub-region, and to strengthen the newly established Mekong Migration Network | 100,138.00 | 0.00 | 100,138.00 | 0.00 | 0.00 | 0.00 |
| INDONESIA | | | | | | |
| Gadjah Mada University Bulaksumur G-7 Yogyakarta, 55281 Indonesia for use by its Population and Policy Study Centre for comparative research on male mobility and sexual practices that are implicated in the spread of sexually transmitted diseases throughout Southeast Asia | 0.00 | 100,000.00 | 50,000.00 | 0 00 | 0.00 | 50,000.00 |
| Indonesian Planned Parenthood Association Ji. Hang Jebat III/F 3 Kebayoran Baru Jakarta, 12120 Indonesia | | | | | | |
| toward the costs of re-establishing community health services in three rural sub-districts in Aceh Province following the December 2004 tsunami | 0.00 | 250,000.00 | 0.00 | 0.00 | 0.00 | 250,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM ITALY | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| IPS inter Press Service International Association Via Panisperna, 207 Rome, 00184 Italy for use by its Regional Office for Asia-Pacific in Thailand toward the costs of Imaging Our Mekong, a joint media fellowship program with the Probe Media Foundation, designed to address cross-border and cross-cultural Issues in the Greater Mekong Sub-region | 0.00 | 369,618.00 | 77,360.00 | 0.00 | 0.00 | 292,258.00 |
| KENYA | | | | | | |
| International Centre for Research in Agroforestry United Nations Avenue, Gigin P.O. Box 30677 Nairobi, 00100 Kenya for the costs of its research project on upland sustainable productivity in the Greater Mekong Sub-region through analysis of the physical, social, economic and policy environments prevailing in Lao PDR, Thalland, Vietnam and Yunnan Province, China | 168,115.00 | 0.00 | 0.00 | 0.00 | 0.00 | 168,115.00 |
| LAO PDR | | | | | | |
| Ministry of Agriculture and Forestry, Lao PDR P.O. Box 811 Vientiane, Lao PDR for use by its Department of Livestock and Fisheries to continue collaborating with agricultural organizations in | 0.00 | 60.000.00 | 42,500.00 | 0.00 | 0.00 | 17,500.00 |
| Thailand and Vietnam in a project to transfer and adapt fisheries development models appropriate to upland areas from those countries to Loo PDR | 0.00 | 00,000.00 | 42,000.00 | 5.13 ° | | , |
| for use by its National Agriculture and Forestry Research Institute to explore adaptation and use of extension tools and material by poor farmers in upland communities in Northern Lao PDR | 19,500.00 | 0.00 | 19,500.00 | 0.00 | 0.00 | 0.00 |
| for use by its National Agriculture and Forestry Research Institute to support human resource development through 20 fellowships to qualified staff of the Lao National Rice Research Program to enter diploma and bachelor of science programs at Lao educational institutions | 21,000.00 | 0.00 | 10,500.00 | 0.00 | 0.00 | 10,500.00 |
| to enhance agricultural productivity of upland farmers in central Lao PDR through a combination of community seed multiplication and integrated crop management interventions already employed successfully in northern Thailand and other parts of Lao PDR | 21,500.00 | 0.00 | 21,500.00 | 0.00 | 0.00 | 0.00 |



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| Gre Pu | NTRY STATE Intee Name(s) - Person(s) or Institution(s) Impose Intee State | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|-------------|--|---|---------------------|--|--|--|--|
| P C Bdg | istry of Information and Culture, Laos b. Box 5246 b. 100, Nahaidiao ntane, Lao PDR | | | | | | |
| | use by Its Institute of Cultural Research to create an electronic databank presenting existing and newly llected data on the lives and cultures of the diverse ethnic groups in Lao PDR | 77,594.00 | 0.00 | 40,472.00 | 0.00 | 0.00 | 37,122.00 |
| lm | use by its Institute of Cultural Research to undertake a social impact analysis of increased mobility and its plications for increased HiV transmission and substance abuse in Lao PDR's border areas with China, anmar and Thailand | 108,112.00 | 0.00 | 59,500.00 | 0.00 | 0.00 | 48,612.00 |
| P.O | onal University of Laos . Box 7444 ntlane, Lao PDR | | | | | | |
| | use by its Faculty of Agriculture to strengthen its teaching capacities in upland agriculture and improve oratory facilities in consultation with experts from Thai universities | 42,500.00 | 0.00 | 42,500.00 | 0.00 | 0.00 | 0.00 |
| for Vie | use by Its Faculty of Medical Sciences, in collaboration with leading public health institutions in Thailand and tnam, to establish the first-ever Master's of Public Health Program in Lao PDR | 0.00 | 242,000.00 | 80,680.00 | 0.00 | 0.00 | 161,320.00 |
| Min P.O | ngone Irngation College stry of Agriculture and Forestry Box 139 tlane, Lao PDR | | | | | | |
| | support of its project to improve library services and produce Lao language textbooks and teaching aids for ected subjects relevant to rural development and irrigated agriculture in Lao PDR | 17,500.00 | 0.00 | 17,500.00 | 0.00 | 0.00 | 0.00 |
| PO | Production House Box 7405 titane, Lao PDR | | | | | | |
| | vard the production costs of "Growing-up on the Mekong," a series of television episodes to inform Leo youth out emerging socio-cultural trends in the Greater Mekong Sub-region | 23,970.00 | 0.00 | 23,970.00 | 0.00 | 0.00 | 0.00 |
| MALA | YSIA | | | | | | |
| 81-E 475 | eration of Family Planning Associations, Malaysia 3, Jalan SS 15/5A 00 Subang Jaya ingor Darul Ehsan, Malaysia | | | | | | |
| | vard the costs of participants from the Greater Mekong Sub-region in, and of other activities in connection h, the Third Asia Pacific Conference on Reproductive and Sexual Health, held in Malaysia, November 2005 | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) • Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM PHILIPPINES | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. carics & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|---|--|
| International Rice Research Institute DAPO Box 7777 Metro Manila, 1301 Philippines to support the development of an education-entertainment approach to motivate Vietnamese and Laotian farmers to reduce pesticide use thereby enhancing human and environmental health | 100,000.00 | 00.0 | 100,000 00 | 0.00 | 0.00 | 0.00 |
| Philippine Educational Theater Association 5 Sunnyside Drive Barangay Kristong Han New Manuta Quezon City, 1112 Philippines In support of its project to enhance the capacity of art groups in the Greater Mekong Sub-region to use theater | 209,050.00 | 0.00 | 162,370.00 | 0.00 | 0.00 | 46,680.00 |
| and other art forms for public education on AIDS and sexual health Probe Media Foundation, Inc. 13 Matipid Street Sikatuna Village Diliman, 1101 Quezon City, Philippines | | | | | | |
| toward the costs of Imaging Our Mekong, a joint media fellowship program with the IPS Inter Press Service International Association, designed to address cross-border and cross-cultural issues in the Greater Mekong Sub-region SWITZERLAND | 0.00 | 391,430.00 | 81,928.00 | 0.00 | 0.00 | 309,502.00 |
| International Organization for Migration 17 route des Morillons C.P. 71 CH-1211 Geneva, Switzerland In support of a project to Institutionalize disease control measures in Thai immigration detention centers, thereby Increasing access to HIV/AIDS prevention and TB control among detained migrants | 88,075.00 | 0.00 | 0.00 | 0.00 | 0.00 | 88,075.00 |
| THAILAND | | | | | | |
| AIDS Network Development Foundation 145/1 Snpoom Rd. Muang District Chiang Mai, 50200 Thailand | | | | | | |
| for use by its Khon Kaen branch to develop and test HIV prevention intervention models for migrants from Lao PDR IIving in border provinces | 62,956.00 | 0.00 | 62,956.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) o Purpose SOUTHEAST ASIA REGIONAL PR | | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) (N 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---|---------------------|--|--|--|--|
| THAILAND | | | | | | | |
| AIDS Network Development Fou to further refine and documer ethnic, minority populations is | t comprehensive socio-medical approaches to HIV/AIDS vulnerability among | 158,200.00 | 0.00 | 142,470.00 | 0.00 | 0.00 | 15,730.00 |
| Asian Resource Foundation 1562/113, Soi 1/1, Moo Ban Pibt Pracharaj Road Bangkok, 10800 Thailand In continued support of a rese from Within," for young Musil | arch fellowship program entitled, "Islam in Transition in Southeast Asia: A View | 168,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 168,500.00 |
| Chiang Mai University 239 Huay Kaew Road Muang District Chiang Mai, 50002 Thailand | Indigenous Knowledge Studies Center for Research and Sustainable Development | 55,66 0,00 | 0.00 | 25,080.00 | 0.00 | 0.00 | 30,580.00 |
| toward the costs of a project to | o increase understanding of the impacts of sub-regional growth and infrastructural systems and the lives and livelihoods of poor communities in Yunnan Province of | 33,000.00 | 0.00 | 23,000.00 | 0.00 | 0.00 | 30,300.00 |
| | ulture to develop, in collaboration with other institutions in the Greater Mekong ines for interdisciplinary short course programs in upland agriculture | 0.00 | 150,000.00 | 36,645.00 | 0.00 | 0.00 | 113,355.00 |
| exchange program for gradua | for Social Science and Sustainable Development in support of an experimental te and postgraduate students and scholars in the Greater Mekong Sub-Region to ure of the Mon and Mon-Khmer people of the region | 27,720.00 | 0.00 | 27,720.00 | 0.00 | 0.00 | 0.00 |
| broaden its exchange study p | for Social Science and Sustainable Development in support of its efforts to rogram, build institutional linkages across borders and strengthen collaborative onalization process in the Greater Mekong Sub-region | 377,025.00 | 0.00 | 0.00 | 0.00 | 0.00 | 377,025.00 |
| | Institute to undertake the first phase of a collaborative study of the tourism g Sub-region and its multiple impacts on socio-economic development, culture and | 24,500.00 | 0.00 | 24,500.00 | 0.00 | 0.00 | 0.00 |
| | Institute toward the costs of phase two of a collaborative study of the tourism g Sub-region and its multiple impacts on socio-economic development, culture and | 0.00 | 141,063.00 | 141,063.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Chiang Mai University toward the costs of the participation of Southeast Asian artists, curators, critics, and public arts activists in the International symposium "Public Art In(ter)vention," which aims to consider the interface of contemporary visual arts and social issues affecting disadvantaged communities in the Mekong Sub-region, held in Chiang Mai, February 2005 | 0.00 | 20,000.00 | 20,000.00 | 0.00 | 0.00 | 0.00 |
| Chulalongkorn University 254 Phyathal Road Patumwan Bangkok, 10330 Thailand | | | | | | |
| for use by its Asian Research Center for Migration to study the social protection needs of Burmese, Cambodian and Laotian migrant workers in Thaliand and develop interventions to improve their working conditions | 0.00 | 64,090.00 | 47,776.00 | 0.00 | 0.00 | 16,314.00 |
| for use by its Faculty of Arts to continue its fellowship program, Weaving the Mekong into Southeast Asia, thus enabling fifteen students from Greater Mekong countries to participate in its international master's degree program in Southeast Asian Studies, while building its institutional capacity to undertake programs with a regional scope | 301,880.00 | 0.00 | 0.00 | 0.00 | 0.00 | 301,880.00 |
| EMPOWER Foundation Concrete House 57/60 Tivanond Road Nonthaburl, 11000 Thailand | | | | | | |
| In support of a project to enable cross-border sharing of strategies and approaches to reduce vulnerability and HIV risk among ethnic and mobile women in emerging entertainment settings in Yunnan Province of China and Lao PDR | 0.00 | 99,770.00 | 49,885.00 | 0.00 | 0.00 | 49,885.00 |
| Khon Kaen University 123 Mitararp Road Amphoe Muang Khon Kaen, 40002 Thailand | | | | | | |
| for use by its Faculty of Agriculture's Office of International Agriculture toward the costs of a training program for selected faculty members of Laotian agricultural teaching institutions | 5,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5,500.00 |
| for use by its Office of International Agriculture toward the costs of programs to strengthen research and teaching capabilities of academic staff at Lao universities and promote networking and knowledge sharing among agricultural education institutes in Thailand and Lao PDR | 73,179.00 | 0.00 | 0.00 | 0.00 | 0.00 | 73,179.00 |
| toward the costs of a research project on the links between quality of life and health outcomes of migrants from Lao PDR working in two provinces of northeast Thailand | 49,310.00 | 0.00 | 49,310.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Mahidol University 25/25 Puthamolthol Sai 4 Salaya Nakhon Pathom, 73170 Thailand | | | | | | |
| for longitudinal analysis of demographic, social and health trends and the impact of comprehensive health and social interventions on ethnic and marginalized communities in western Thailand | 0 00 | 156,856.00 | 50,762.00 | 0.00 | 0.00 | 106,094.00 |
| for use by its Center for Health Policy Studies for a project to undertake regional training, research and publication activities contributing to a gender-sensitive approach to sexual health | 523,868.00 | 0.00 | 241,664.00 | 0.00 | 0.00 | 282,204.00 |
| Mekong Institute Foundation Khon Ken University Khon Kaen, 40002 Thailand for the costs of holding a series of policy summits and preparing the findings for decision makers of the Greate Mekong Sub-region | or 350,000.00 | 0.00 | 169,402.00 | 0.00 | 0.00 | 180,598.00 |
| Mirror Foundation 160 Moo 1 Huaykhom Village Maeyao Sub-district Muang District Chiangrai, 57000 Thailand In support of its project, the Virtual Hilltribe Museum, and of related research and documentary and media | 0.00 | 200,000.00 | 75,000.00 | 0.00 | 0.00 | 125,000.00 |
| activities to encourage better public understanding of ethnic minority groups in the uplands of northern Thallar and the challenges these groups face | nd | · | · | | | · |
| National Institute of Development Administration 118 Seri-Thai Road Bangkapi Bangkok, 10240 Thailand In support of a program to build the capacity of young scholars from the Greater Mekong Sub-region through th | ne 0.00 | 100,000.00 | 50.000.00 | 0.00 | 0.00 | 50.000.00 |
| study of regional development paradigms and their impact on Thailand and the Sub-region | 0.00 | 100,000.00 | 00,000.00 | 0.00 | 0.00 | 30,000.00 |
| Pattanarak Foundation 49/83 KC Suwintawong Lampakchi, Nongjok Bangkok, 10530 Thailand | | | | | | |
| for continued support for a project to develop experimental models to improve the health and livelihoods of marginalized cross-border ethnic communities in Kanchanaburi, Thailand | 0.00 | 190,000.00 | 62,500.00 | 0.00 | 0.00 | 127,500.00 |
| to develop experimental models to improve the health of marginalized cross-border communities in Kongchiam Thailand, and KongXedone, Lao PDR | 40,800.00 | 0.00 | 40,800.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Prince of Songkia University P.O. Box 102 Hat Yal, 90110 Thailand for use by its Epidemiology Unit to develop, in collaboration with national and regional partners, curriculum guidelines for five health care disciplines that are sensitive to the increasing cultural diversity of the Greater Mekong Sub-region | 0.00 | 148,710.00 | 59,527.00 | 0.00 | 0.00 | 89,183.00 |
| Princess Maha Chakri Sınındhom Anthropology Centre 20 Boromarachachonnanı Road Taling Chan Bangkok, 10170 Thalland toward the costs of a collaborative effort to develop local capacity in researching and presenting the intangible cultural heritage of diverse ethnic communities in the Greater Mekong Sub-region Raks Thai Foundation | 0.00 | 210,630.00 | 133,000.00 | 0.00 | 0.00 | 77,630.00 |
| Naks that Foundation 185 Pradipat Road Soi Pradipat 6 Samsennal, Phayathai Bangkok, 10400 Thalland toward the costs of expanding its model of comprehensive care for HIV-affected families in four districts in northern Thalland | 244,367.00 | 0.00 | 123,317.00 | 0.00 | 0.00 | 121,050.00 |
| Royal Project Foundation 65 Suthep Road Chuang Mai, 50200 Thailand toward the costs of its International Symposium on Sustainable Highland Development and Networking, to be held in Chiang Mai, Thailand, December 2004 | 10,000.00 | 0.00 | 10,000.00 | 0.00 | 0.00 | 0.00 |
| Silkworm Books 6 Sukkasem Road Suthep, Muang Chiang Mai, 50200 Thailand In support of the establishment of a non-profit publishing mechanism to promote the production and dissemination of writing and scholarship on the Mekong sub-region by writers from the region | 142,965.00 | 0.00 | 0.00 | 0.00 | 0.00 | 142,965.0 0 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM THAILAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Southeast Asian Ministers of Education Organization Tropmed Central Office 420/6 Rajvithi Road Bangkok, 10400 Thailand for use by its Regional Tropical Medicine and Public Health Network to develop technical and analytic capacity of health professionals in border health issues in order to strengthen regional disease prevention and control programs in the Greater Mekong Sub-region | 0.00 | 319,200.00 | 159,600.00 | 0.00 | 0.00 | 159,600.00 |
| Ubon Ratchathani University Warlnchamrab Ubon Ratchathani, 34190 Thailand for use by its Faculty of Liberal Arts to establish a resource center on the Greater Mekong Sub-region and organize an International conference on the region's transboundary issues | 36,700.00 | 0.00 | 36,700.00 | 0.00 | 0.00 | 0.00 |
| for use by its Faculty of Liberal Arts to strengthen a new resource center focused on the Greater Mekong Sub-region and to establish a Mekong regional studies program | 0.00 | 170,000.00 | 85,100.00 | 0.00 | 0.00 | 84,900.00 |
| VIETNAM Center for Community Health and Development 127 Lo Duc Street Hanoi, Vietnam | | | | | | |
| In support of the second phase of a project to develop a multisectoral program to reduce HIV/AIDS vulnerability among ethnic and mobile populations in Lang Son Province, northern Vietnam Center for Sustainable Development in Mountainous Areas No. 8 Ngo 198 Le Trong Tan Khuong Mai, Thanh Xuan Hanoi, Vietnam | 0.00 | 181,400.00 | 104,650.00 | 0.00 | 0.00 | 76,750.00 |
| in support of a project alming to strengthen agricultural and veterinary extension services in upland communities that border Vietnam, the Lao PDR and the Yunnan Province of China, in order to improve agricultural practices and enhance control of animal epidemics, especially Avian Flu | 0.00 | 120,000.00 | 60,000.00 | 0.00 | 0.00 | 60,000.00 |
| toward the costs of the IV Mainland Montane Southeast Asia Conference on the preservation of indigenous knowledge, natural resources and poverty reduction in the uplands of the Greater Mekong Sub-region, to be held in Sapa, Vietnam, May 2005 | 30,115.00 | 0.00 | 30,115.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM VIETNAM | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Centre for Research and Development of Ethnomedicinal Plants 9-Vu Huu Loi St. Hanoi, Vietnam In support of a project to introduce experimental models for marketing local products thereby increasing the Income level of selected upland communities in border areas of Vietnam, Lao PDR and Yunnan Province, China | 0.00 | 99,660.00 | 27,300.00 | 0.00 | 0.00 | 72,360.00 |
| Cuu Long Delta Rice Research Institute Thoi Thanh Village Co Do District Can Tho City, Vietnam toward a collaborative effort among institutes in Cambodia, Lao PDR and Vietnam to transfer and apply new technologies to the development of crop varieties and to the improvement of farming practices that suit the specific ecological environment of upland areas in the Greater Mekong Sub-region | 0 00 | 200,000.00 | 57,300.00 | 0.00 | 0.00 | 142,700.00 |
| Hanoi Agricultural University Chau Quy, Gla Lam Hanoi, Vletnam for use by its Center for Agricultural Research and Ecological Studies to develop a transborder watershed management plan for the Nam NerryCa River basin across Vletnam and Lao PDR, in collaboration with Institutions in those countries | 0.00 | 149,000.00 | 70,500.00 | 0.00 | 0.00 | 78,500.00 |
| In support of its efforts to foster a collaborative process among Vietnamese Institutions and enhance their research and training capacity in sustainable agricultural development and natural resource management in the upland communities | 22,500.00 | 0.00 | 22,500.00 | 0.00 | 0.00 | 0.00 |
| Hanoi Medical University 1 Ton That Tung Street Dong Da District Hanoi, Vietnam | | | | | | |
| for use by its Community Health Research Unit to undertake, in relation to HIV and STI transmission, a comprehensive socio-medical impact analysis of transnational infrastructural development and resulting increased mobility across Greater Mekong countries | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its Faculty of Public Health to undertake the second phase of research - with the involvement of local communities - to understand and address risk and vulnerability to STIs and HIV along transnational roadway networks in Vietnam | 0.00 | 180,300.00 | 0.00 | 0.00 | 0.00 | 180,300.00 |



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| - : | COGRAM OUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose US TATE OUTHEAST ASIA REGIONAL PROGRAM | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|-----|--|---|---------------------|---------------------------------|--|--|--|
| ٧ | ETNAM | | | | | | |
| | Hue University of Agriculture and Forestry 102 Phung Hung Street Hue City, Vietnam In support of its project to foster a collaborative process among Vietnamese institutions and enhance their | 22,910.00 | 0.00 | 22,910.00 | 0.00 | 0.00 | 0.00 |
| | research and training capacity in sustainable agricultural development and natural resource management in the upland communities | | | | | | |
| | Institute for Social Development Studies Suite 906, Building 17 T5 Trung Hoa - Nhan Chinh Tran Duy Hung Road Hanol, Vietnam | | | | | | |
| | In support of a project to enhance knowledge and public awareness of the social protection needs of migrant workers in and from Vietnam through studies, publications, workshops and educational campaigns | 0.00 | 99,720.00 | 49,940.00 | 0.00 | 0.00 | 49,780.00 |
| | Ministry of Health, Vietnam 138A Giang Vo Str Ba dinh Hanoi, Vietnam | | | | | | |
| | for use by its Health Policy Unit to strengthen surveillance, prevention and control of Avian Flu, in coordination with its Department of Preventive Medicine and the Mekong Basin Disease Surveillance Network | 0.00 | 60,000.00 | 60,000.00 | 0.00 | 0.00 | 0.00 |
| | Nong Lam University Linh Trung Ward Thu Duc District Ho Chi Minh City, Vietnam | | | | | | |
| | in support of its project to foster a collaborative process among Vietnamese institutions and enhance their research and training capacity in sustainable agricultural development and natural resource management in the upland communities | 21,365.00 | 0.00 | 0.00 | 0.00 | 0.00 | 21,365.00 |
| | STDs/HIV/AIDS Prevention Center | | | | | | |
| | 30B - Nur Truc Lane Giang Van Minh Street Ba Dinh District Hanol, Vietnam | | | | | | |
| | In support of phase II of its project to reduce the vulnerability and strengthen the health and social support systems of ethnic minority communities in the Vietnam-Lao PDR border area, especially in relation to HIV/AIDS | 0.00 | 99,800.00 | 99,800.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM VIETNAM | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Thai Nguyen University Luong Ngoc Quyen Street Thai Nguyen City, Vietnam for use by its Medical College to upgrade the knowledge and skills of local health care personnel in order to address the inequitable health status of ethnic minorities in the mountainous and border provinces of northern Vietnam | 0.00 | 96,900.00 | 64,600.00 | 0.00 | 0.00 | 32,300.00 |
| Thai Nguyen University of Agriculture and Forestry Thai Nguyen, Vietnam for the costs of a fellowship program oriented toward upland agriculture to enhance the academic capacity of selected teaching staff of agricultural colleges in Lao PDR | 85,320.00 | 0.00 | 0.00 | 0.00 | 0.00 | 85,320.00 |
| Vietnam Museum of Ethnology, Vietnamese Academy for Social Sciences Nguyen Van Huyen Road Cau Giay District Hanoi, Vietnam In continued support of a cross-border capacity-building initiative among museums and cultural institutions in the Greater Mekong Sub-region to promote, through research and exhibits, greater public understanding of the challenges facing cross-border ethnic communities in the region | 0.00 | 450,000.00 | 0.00 | 0.00 | 0.00 | 450,000.00 |
| Vietnamese Academy for Social Sciences 36 Hang Chuol Street Hanoi, Vietnam for use by its Institute for Southeast Asian Studies to examine social, cultural and economic change among ethnic Vietnamese migrant communities (Viet Kieu) in Lao PDR, in collaboration with the Lao institute of Cultural | 0.00 | 96,660.00 | 57,480.00 | 0.00 | 0.00 | 39,180.00 |
| Research for use by its institute of Anthropology for the costs of a study of the coping mechanisms of three upland ethnic groups in Vietnam regarding seasonal food shortages | 23,840.00 | 0.00 | 23,840.90 | 0.00 | 0.00 | 0.00 |
| for use by its institute of Anthropology to undertake, in collaboration with institutes in Lao PDR, a study of coping mechanisms for seasonal food shortages of ethnic upland communities living across Vietnam and Lao PDR | 0.00 | 73,340.00 | 36,670.00 | 0.00 | 0.00 | 36,670.00 |

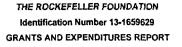


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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM UNITED STATES ILLINOIS Northern Illinois University | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Altgeld Hall DeKalb, Illinois 60115 for use by its Center for Southeast Asian Studies toward the costs of the participation of scholars from Thailand and other Mekong countries in a series of panels on cross-border and cross-cultural issues at the Ninth International Conference on Thai Studies, held at the University, April 2005 | 0.00 | 50,000.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| NEW YORK Center for Khmer Studies, Inc. 120 East, 70th Street New York, New York 10021 In support of its efforts to enhance the capacity of Khmer universities by providing study and research opportunities on regional issues to young faculty in both public and private academic institutes in Cambodia | 233,300.00 | 0.00 | 116,700.00 | 0.00 | 0.00 | 116,600.00 |
| Creating Resources for Empowerment and Action Inc. 355 Lexington Avenue 3rd Floor New York, New York 10017 In support of its project to finalize and publish 15 case studies documenting how organizations in South and Southeast Asia have integrated concepts of gender, sexuality and human rights into AIDS and sexual health Interventions, as follow up to a workshop held at the Bellagio Study and Conference Center, September 2003 | 22,000.00 | 0.00 | 22,000.00 | 0.00 | 0.00 | 0.00 |
| Fund for Reconciliation and Development, Inc 355 West 39th Street New York, New York 10018 toward the costs of a series of consultations and publications to promote cooperation and understanding between the United States and Cambodia, Lao PDR and Vietnam, as well as within the Indochina sub-region | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| The Population Council, Inc. One Dag Hammarskjold Plaza New York, New York 10017 for use by its Bangkok office toward the costs of a project to assist local organizations in the Greater Mekong Sub-region to document interventions on sexual health and HIV/AIDS and to strengthen their capacity in monitoring and evaluation | 104,796.00 | 0.00 | 104,796.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SOUTHEAST ASIA REGIONAL PROGRAM UNITED STATES OREGON Sustainable Development eLearning Network 4415 Pearl Street | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Eugene, Oregon 97405 In support of its project to develop and deploy a web-based resource to promote learning and sustainable agriculture in the Greater Mekong Sub-region | 37,500.00 | 0.00 | 37,500.00 | 0.00 | 0.00 | 0.00 |
| TOTAL: 90 - SOUTHEAST ASIA REGIONAL PROGRAM | 4,636,261.00 | 7,219,217.00 | 5,250,638.00 | 0.00 | 0.00 | 6,604,840.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose SPECIAL PROGRAMS ENGLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Chanties Aid Foundation Kings Hill West Malling, Kent, ME19 4TA England for a project organized by its New Delhi office concerning new mechanisms to encourage indians living in the | 9,355.00 | 0.00 | 213.00 | 9,142.00 | 0.00 | 0.00 |
| United States to assist charitable organizations within India that work for social and economic development UNITED STATES ALABAMA Tuskegee University 219 Kresge Center Tuskegee, Alabama 36088 | | | | | | |
| for a workshop, in collaboration with the University of California, Davis, on how structural transformation, the demographic transition, and AIDS have affected rural development and economic performance in sub-Saharan Africa, to prepare for an African/African-American summit meeting in Nigeria | 0.00 | 0.00 | -10,713.26 | 10,713.26 | 0.00 | 0.00 |
| TOTAL: 2-SPECIAL PROGRAMS | 9,355.00 | 0.00 | -10,500.26 | 19,855.26 | 0 00 | 0.00 |

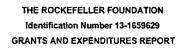
THE ROCKEFELLER FOUNDATION

Identification Number 13-1659629

GRANTS AND EXPENDITURES REPORT

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose UNDERSTANDING DEVELOPMENT UNITED STATES CONNECTICUT Yale University Woodbridge Hall 105 Wall Street P.O Box 208229 New Haven, Connecticut 06520-8229 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|---------------------------------------|--|--|
| to build the analytic capacity for evaluating how public policy and technological change in low-income countries contribute to differences in production and consumption between men and women | 531,549.92 | 0.00 | 194,465.92 | 0.00 | 0.00 | 337,084.00 |
| TOTAL: 1 - UNDERSTANDING DEVELOPMENT | 531,549.92 | 0.00 | 194,465.92 | 0.00 | 0.00 | 337,084.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES ENGLAND | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Institute of Development Studies University of Sussex Brighton, BN1 9RE England to conduct a value chain analysis on horticulture in East Africa and agriculture in Southeast Asia, and to explore the feasibility of developing a strategic consulting and training entity able to provide below-market services to governments and firms in developing countries | 424,520.00 | 0.00 | 300,000.00 | 0.00 | 0.00 | 124,520.00 |
| Legal Resources Trust P O. Box 157 Wits 2050 Johannesburg, South Africa for use by its Legal Resources Centre toward the costs of (1) facilitating a dialogue between American and South African lawyers focusing on innovations in public interest law practice that produce substantive results for poor clients, with particular attention to the realities of racial injustice and how these affect the realization of rights of poor client communities and (2) its creative lawyering work SWITZERLAND | 140,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 140,000.00 |
| International Labour Organization 4. Route des Monilons CH-1211 Geneva 22 Geneva, Switzerland toward the costs of conducting several pilot surveys of socio-economic security among the poor, a research workshop on insecurity measures, and a major international conference on socio-economic security UNITED STATES | 0.00 | 0.00 | -2,123.02 | 2,123.02 | 0.00 | 0.00 |
| CALIFORNIA Asian Pacific American Legal Center of Southern California, Inc 1145 Wilshire Boulevard Second Floor Los Angeles, California 90017 In general support of its mission to provide multilingual, culturally sensitive legal services, education and civil rights support to southern California's growing Asian Pacific American population California Budget Project 1107 9th Street Suite 310 | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| 1107 9th Street, Suite 310 Sacramento, California 95814 In support of producing and disseminating two reports that map and analyze state investments in California's workforce development system | 14,955.00 | 0.00 | 14,955.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES CALIFORNIA California Partnership for Working Families 464 Lucas Avenue Sulte 202 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| Los Angeles, California 90017 In general support of its mission to ensure community benefits and good jobs are a priority of local economic development efforts in California and nationwide | 0.00 | 550,000.00 | 325,000.00 | 0.00 | 0.00 | 225,000.00 |
| Campaign for College Opportunity 663 13th Street, First Floor Oakland, California 94612 | | | | | | |
| In general support of its mission to ensure that all eligible and motivated students have the opportunity to secure a high quality college education within California's system of higher education | 150,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| in general support of its mission to ensure that the next generation of college-age students in California has the opportunity to attend college as promised by the state 1960 Master Plan for Higher Education | 0 00 | 75,000.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| County of San Diego - Health and Human Services Agency 1700 Pacific Highway San Diego, California 92101 | | | | | | |
| in support of the documentation and cost/benefit analysis of San Diego County's Regionalization initiative in restructuring welfare-to-work programs | 0.00 | 0.00 | -842.00 | 842.00 | 0.00 | 0.00 |
| Jacobs Center for Neighborhood Innovation 5160 Federal Boulevard San Diego, California 92105-5429 | | | | | | |
| toward the costs of evaluating the community ownership strategy for its project, Market Creek Plaza, a community complex planned, designed, and built with and for low-income residents in a distressed neighborhood of San Diego, California | 0.00 | 60,000.00 | 45,000.00 | 0.00 | 0.00 | 15,000.00 |
| Mexican American Legal Defense and Educational Fund 634 South Spring Street 11th Floor Los Angeles, California 90014 | | | | | | |
| In general support of its mission to protect and defend the civil rights of the more than 43 million Latinos living in the United States and its territories | 0.00 | 500,000.00 | 500,000.00 | 0.00 | 0.00 | 0.00 |
| National Housing & Community Development Law Project 614 Grand Avenue, Suite 320 Oakland, California 94610 | | | | | | |
| in general support of its mission to advance housing justice for low-income people | 0.00 | 200,000.00 | 120,000.00 | 0.00 | 0.00 | 80,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES CALIFORNIA Pacific Community Ventures, Inc 539 Bryant Street, Suite 302 San Francisco, California 94107 | | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. canes & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|------------|---------------------|---------------------------------|--|--|--|
| toward the costs of (1) measuring the social return on its venture capital investment in low-income communities across California, and (2) developing a strategy to disseminate the findings nationally to economic, workforce and community development organizations PolicyLink | 0.00 | 150,000.00 | 87,500.00 | 0.00 | 0.00 | 62,500.00 |
| 101 Broadway Oakland, California 94607 | | | | | | |
| toward general support of its mission to inform, from the wisdom, voice and experience of local constituencies, a new generation of policies that achieve social and economic equity, expand opportunity and build strong, organized communities | 0.00 | 490,000.00 | 490,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of research to inform and shape policy development and advocacy strategies that promote equitable funding for public school facilities construction in California | 0.00 | 100,000.00 | 65,000.00 | 0.00 | 0.00 | 35,000.00 |
| RAND Corporation 1700 Main Street P.O. Box 2138 Santa Monica, California 90407-2138 | | | | | | |
| in support of an evaluation of Teachers for a New Era, a foundation collaborative designed to improve the quality of teacher education in the U.S. | 0.00 | 0.00 | -1,723.63 | 1,723.63 | 0.00 | 0.00 |
| In support of the second phase of an evaluation of Teachers for a New Era, a foundation collaborative designed to improve the quality of teacher education in the U.S. | 265,250.00 | 0.00 | 0.00 | 0.00 | 0.00 | 265,250.00 |
| toward support of research almed at raising overall student achievement and closing the achievement gap among racial/ethnic groups and between more and less advantaged students | 300,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 300,000.00 |
| Stanford University | | | | | | |
| Stanford, California 94305 | | | | | | |
| for use by its School of Education's Performance Assessment Center in support of the Equity and Accountability project to study outcomes of policies designed to improve school performance | 115,135.00 | 0.00 | -94,865.00 | 0.00 | 210,000.00 | 0.00 |
| Strategic Concepts in Organizing and Policy Education 1715 West Florence Avenue, 2nd Floor Los Angeles, California 90047 | | | | | | |
| in general support of its mission to develop initiatives that reduce or eliminate structural barriers to economic opportunities for individuals living in disadvantaged communities in Los Angeles and California | 0.00 | 225,000.00 | 125,000.00 | 0.00 | 0.00 | 100,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| WORKING COMMUNITIES UNITED STATES CALIFORNIA The California Endowment | | | | | | |
| 1000 N Alameda Street Los Angeles, California 90012 | | | | | | |
| In support of the second phase of its California Works for Better Health project, which is designed to improve the health and economic opportunity of residents of the Fresno, Los Angeles, Sacramento and San Diego, California regions | 0.00 | 2,000,000.00 | 2,000,000.00 | 0.00 | . 0.00 | 0.00 |
| The Mentoring Center 1221 Preservation Park Way, Suite 200 Oakland, California 94612 | | | | | | |
| toward the costs of its juvenile justice project, which will conduct research into juvenile justice practices and policies, document effective re-entry programs for incarcerated youth and publish a best practices guide for organizations serving incarcerated youth | 10,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 10,000.00 |
| Tides Foundation The Presidio P.O. Box 29903 San Francis∞, California 94129-0903 | | | | | | |
| for use by its Right to Vote campaign toward the costs of maintaining public education and litigation clearinghouses on issues around feion disenfranchisement | 25,000.00 | 0.00 | 25,000.00 | 0.00 | 0.00 | 0.00 |
| University of California, Los Angeles 405 Hilgard Avenue Box 951361 Los Angeles, California 90095-1361 | | | | | | |
| In support of its project, Toward a California Campaign for Educational Adequacy and Equity, to expand and conduct public education, research, policy analysis and leadership training to contribute to California's school finance and accountability reform efforts | 100,000.00 | 0.00 | 99,859.70 | 140.30 | 0.00 | 0.00 |
| University of California, Santa Cruz 1156 High Street Santa Cruz, California 95064 | | | | | | |
| for use by its New Teacher Center to study the implementation and impact of New York City's new teacher induction initiative and develop recommendations based on the lessons learned | 0.00 | 100,000.00 | 50,000.00 | 0.00 | 0.00 | 50,000.00 |

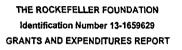


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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose #################################### | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Mercy Housing, Inc. 1999 Broadway, Suite 1000 Denver, Colorado 80202 toward the costs associated with the potential merger of a national affordable housing provider with a supportive housing agency that serves homeless adults and families in metropolitan Chicago, and documenting the lessons learned to develop a framework for how to address scale in the supportive housing industry through a merger/acquisition business model | 0.00 | 240,000.00 | 240,000.00 | 0.00 | 0.00 | 0.00 |
| Native American Rights Fund 1506 Broadway Boulder, Colorado 80302-6296 in general support of its mission to preserve, protect and promote the rights of Native Americans WASHINGTON, DC Advancement Project | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| 1730 M Street, NW Suite 910 Washington, DC 20036 In general support of its mission to advance the field of racial justice by using law, public policy and strategic communications to increase universal opportunity, equity and access in America Asian American Justice Center, inc | 0.00 | 150,000.00 | 100,000.00 | 0.00 | 0.00 | 50,000.00 |
| 1140 Connecticut Avenue, NW Suite 1200 Washington, DC 20036 In general support of its mission to advance the human and civil rights of Asian Americans through advocacy, public policy, public education and litigation | 0.00 | 140,000.00 | 140,000.00 | 0.00 | 0.00 | 0.00 |
| Brookings Institution 1775 Massachusetts Avenue, NW Washington, DC 20036-2188 for use by its Center on Urban and Metropolitan Policy's Urban Markets Initiative toward the costs of managing the development of a web-based tool to facilitate direct electronic access to community-level statistics from nationwide data sources | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its Metropolitan Policy Program toward the costs of its Urban Markets Initiative, an information tool used to measure economic power within and around inner-city communities and create knowledge about new investment opportunities in those communities | 0.00 | 333,000.00 | 333,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose WORKING COMMUNITIES UNITED STATES WASHINGTON, DC Center for Applied Linguistics 4646 40th Street, NW Washington, DC 20016-1859 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) iN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| to complete research on the impact of the Sheltered Instruction Observation Protocol model on the academic performance of middle and high school students whose first language is not English | 0.00 | 75,000.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| Center for Community Change 1536 U Street, NW Washington, DC 20009 In general support of its mission to help low-income people build powerful, effective organizations through which they can change their communities and improve public policies that adversely affect their lives | 0.00 | 400,000.00 | 400,000.00 | 0.00 | 0.00 | 0.00 |
| Center for Community Lending 1300 Connecticut Avenue, NW Room 905 Washington, DC 20038 In general support of its mission to cultivate revitalization of distressed neighborhoods by promoting community reinvestment | 35,000.00 | 0.00 | 35,000.00 | 0.00 | 0.00 | 0.00 |
| Center for Economic and Policy Research 1611 Connecticut Ave, N W , Suite 400 Washington, DC 20009 In general support of its mission to promote informed debate on critical economic and social issues that affect people's lives | 0.00 | 200,000.00 | 200,000.00 | 0.00 | 0.00 | 0.00 |
| Center for Law and Social Policy 1015 15th Street N.W Suite 400 Washington, DC 20005 In general support of its mission to undertake research, policy analysis, public education and technical assistance to advance the economic security, education and workforce prospects of low-income working families | 0.00 | 300,000.00 | 175,000.00 | 0.00 | 0.00 | 125,000.00 |
| Center on Budget and Policy Priorities 820 First Street, NE 8216 510 Washington, DC 20002 In general support of its mission to Improve federal and state policies affecting low- and moderate-income families and individuals | 0.00 | 550,000.00 | 400,000 00 | 0.00 | 0.00 | 150,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES WASHINGTON, DC Center on Education Policy | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|--------------------------------------|---------------------|--|---|--|--|
| 1001 Connecticut Avenue, N.W. Suite 522 Washington, DC 20036 toward the costs of disseminating findings from a comparative study of school finance issues related to state-mandated high school exit examinations | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Children's Defense Fund 25 E Street, NW Washington, DC 20001 toward general support of its mission to improve the lives of low-income children and families in the United States | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| Economic Policy Institute 1333 H Street, NW Suite 300, East Tower Washington, DC 20005 In general support of its mission to provide high-quality economic research and education in order to promote a prosperous, fair and sustainable economy in the United States | 0.00 | 350,000.00 | 350,000.00 | 0.00 | 0.00 | 0.00 |
| George Washington University 2121 Eye Street, N.W. Washington, DC 20052 for use by its George Washington Institute of Public Policy toward the costs of research and an expert seminar comparing state accountability measures for United States labor and welfare policies with current European approaches | 0.00 | 0.00 | -4,000.48 | 4,000.48 | 0.00 | 0.00 |
| Good Jobs First 1616 P Street, NW Suite 210 Washington, DC 20036 In general support of its mission to assist constituency-based organizations and policymakers who seek to make state and local economic development policies more transparent and responsive to the public | 0.00 | 275,000.00 | 275,000.00 | 0.00 | 0.00 | 0.00 |
| Institute on Taxation and Economic Policy 1616 P Street, NW Suite 200 Washington, DC 20036 In general support of its mission to keep policymakers and the public informed of the effects of current and proposed tax polices on tax falmess, government budgets and sound economic policy | 0.00 | 25,000.00 | 25,000.00 | 0.00 | 0.00 | 0.00 |

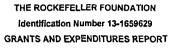
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| PROGRAM COUNTRY US STATE Grantae Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) (IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|---|--|--|
| WORKING COMMUNITIES | | | | | | |
| UNITED STATES | | | | | | |
| WASHINGTON, DC Institute on Taxation and Economic Policy | | | | | | |
| In general support of its mission to keep policymakers and the public informed of the effects of current and proposed tax polices on tax fairness, government budgets and sound economic policy | 0.00 | 150,000.00 | 150,000.00 | 0 00 | 0.00 | 0.00 |
| Jobs with Justice Education Fund 1325 Massachusetts Ave, NW Suite 200 Washington, DC 20005 | | | | | | |
| In general support of its mission to provide technical assistance to local coalitions that connect thousands of labor, faith-based, community and student groups to engage working people and allies in taking action to Improve their quality of life through workplace democracy and civic participation | 100,000.00 | 0.00 | 100,000 00 | 0.00 | 0.00 | 0.00 |
| Lawyers' Committee for Civil Rights Under Law 1401 New York Avenue, NW, Suite 400 Washington, DC 20005-2124 | | | | | | |
| in general support of its mission to ensure equal opportunity for minorities by addressing, through the law, factors that contribute to racial justice and economic opportunity | 6.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Leadership Conference on Civil Rights Education Fund, Inc. 1629 K Street, NW Suite 1010 Washington, DC 20006 | | | | | | |
| in general support of its mission to use research and education to promote an understanding of the need for national policies that support civil rights and social and economic justice | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| National Alliance to End Homelessness, Inc 1518 K Street, NW Suite 410 Washington, DC 20005 | | | | | | |
| in general support of its mission to mobilize the nonprofit, public and private sectors of society in an alliance to end homelessness in the United States | 0.00 | 150,000.00 | 75,000.00 | 0.00 | 0.00 | 75,000.00 |
| National Community Reinvestment Coalition, Inc. 733 15th Street, NW, Suite 540 Washington, DC 20005-2129 | | | | | | |
| In general support of its mission to increase fair and equal access to credit, capital, and banking services and products by providing tools and stratagles to build economic well-being in underserved communities in the United States | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 | 75,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES WASHINGTON, DC National Council of La Raza Raul Yzaguirre Building 1126 16th Street, NW | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Washington, DC 20036 toward the costs of its Policy Analysis Center, which conducts research, policy analysis and outreach activities to improve the socio-economic status of Latinos in the United States | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 | 150,000.00 |
| National Law Center on Homelessness and Poverty 1411 K Street, NW Suite 1400 Washington, DC 20005 | | | | | | |
| in general support of its mission to serve as the legal arm of the national movement to prevent and end homelessness | 0.00 | 150,000.00 | 75,000.00 | 0.00 | 0.00 | 75,000.00 |
| National Low Income Housing Coalition and Low Income Housing Information Service 727 15th St. NW, 6th Floor Washington, DC 20005 | | | | | | |
| In general support of its mission to end the affordable housing crisis in the United States | 0.00 | 300,000.00 | 300,000.00 | 0.00 | 0.00 | 0.00 |
| National Trust for Historic Preservation in the United States 1785 Massachusetts Avenue, NW Washington, DC 20036 | | | | | | |
| for use by its Department of Community Revitalization toward the costs of restructuring its work to use preservation-based community development as a means of restoring cities and neighborhoods | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| Neighborhood Funders Group, Inc 1301 Connecticut Avenue, Suite 500 Washington, DC 20036 toward the costs of establishing a Program-Related Investment (PRI) Makers Network, an association of | 0.00 | 25,000.00 | 12,500.00 | 0.00 | 0.00 | 12,500.00 |
| grantmakers who use program-related and other investments to support community-based efforts to improve the economic and social fabric of low- and moderate-income urban neighborhoods | | | | | | |
| Neighborhood Reinvestment Corporation Suite 800 1325 6th Street, NW Washington, DC 20005-3100 | | | | | | |
| toward the start-up costs for nationwide implementation of its "Success Measures" initiative, an integrated system of training and technology support that helps community development organizations evaluate the results of affordable housing, community building and economic development efforts | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES WASHINGTON, DC New America Foundation 1630 Connectict Avenue, N.W., 7th Floor Washington, DC 20009 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| for a series of articles on the new interdependencies and risks embedded in global production networks, as part of its Global Commodities Project | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| Smithsonian Institution 1000 Jefferson Drive, S W Room 205 - MRC 016 Washington, DC 20560 for use by its National Museum of American History in support of an exhibition on the 50th anniversary of the Brown v. Board of Education Supreme Court decision that required the desegregation of schools across America | 0.00 | 0.00 | -752.97 | 752.97 | 0.00 | 0.00 |
| The Aspen Institute, Inc. One Dupont Circle, NW Suite 700 Washington, DC 20036-1133 | | | | | | |
| for use by its Education and Society Program toward the costs of organizing and convening an international conference of educators to analyze lessons learned from a cross-section of Organisation for Economic Co-operation and Development member countries on recruiting, training and sustaining qualified teachers, with the aim of informing planning under way to improve the quality of teaching and learning in the United States | 0.00 | 175,000.00 | 175,000.00 | 0.00 | 0.00 | 0.00 |
| toward continued support of its Roundtable on Community Change, which promotes and carries out systematic learning about some of the most challenging issues in the community-building field | 150,000.00 | 0.00 | 150,000 00 | 0.00 | 0.00 | 0.00 |
| The Urban Institute 2100 M Street, N W. Washington, DC 20037 | | | | | | |
| In continued support of an analysis of the effects on participating families of the federal Moving to Opportunity program, which moved public housing residents out of distressed neighborhoods by using housing vouchers | 0.00 | 200,000.00 | 200,000.00 | 0.00 | 0.00 | 0.00 |
| in support of a comprehensive review of the existing research literature on the benefits and costs of racial, ethnic and economic diversity for children, adults and communities | 0.00 | 50,000.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| in support of a longitudinal study in Texas on the challenges facing prisoners upon release and reintegration into society, with a focus on informing reentry policies at the local, state and national levels | 0.00 | 400,000.00 | 250,000.00 | 0.00 | 0.00 | 150,000.00 |
| in support of an analysis of the effects on participating families of the federal Moving to Opportunity program, which moved public housing residents out of distressed neighborhoods by using housing vouchers | 175,000.00 | 0.00 | 175,000.00 | 0.00 | 0.00 | 0.00 |

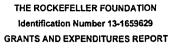


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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose STATE WORKING COMMUNITIES UNITED STATES WASHINGTON, DC | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| The Urban Institute In support of its Neighborhood Change Database project | 0.00 | 0.00 | -247.00 | 247.00 | 0.00 | 0.00 |
| toward continued support of a longitudinal study to assess how the HOPE VI program, in which distressed developments are being demolished and replaced with mixed-income housing, is affecting the health and well-being of original, displaced residents | 0.00 | 210,000.00 | 210,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of a series of policy essays on best practices in housing, employment, education and transportation that aims to inform the rebuilding effort in New Orleans following Hurricane Katrina | 0.00 | 25,000.00 | 0.00 | 0.00 | 0.00 | 25,000.00 |
| toward the costs of the final phase of a research initiative that examines the impact of three U.S. Department of Housing and Urban Development projects that tested different strategies to transform public housing in several urban cities | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| The Workforce Alliance 1701 K Street, NW Suite 750 Washington, DC 20006 | | | | | | |
| for general support of its mission to raise awareness about policy and program options for the education and training of low-skilled, under- and unemployed workers | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Washington Area Women's Foundation, Inc. 1411 K Street, NW Sulte 800 Washington, DC 20005 | | | | | | |
| toward the costs of its Women and Families Financial Independence Initiative to build long-term economic security and financial independence for low-income, women-headed families in the Washington, D.C. metropolitan area | 0.00 | 250,000.00 | 100,000.00 | 0.00 | 0.00 | 150,000.00 |
| FLORIDA Florida International University 11200 SW 8th Street Miami, Florida 33199 | | | | | | |
| for use by its Research Institute on Social and Economic Policy toward the costs of research on issues of concern to low- and moderate-income workers and families in Florida | 100,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |

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| = W | ROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose CORKING COMMUNITIES INITED STATES FLORIDA Funders' Network for Smart Growth and Livable Communities Inc. 1500 San Remo Avenue, Suite 249 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--------|--|---|---------------------|---------------------------------|---------------------------------------|--|--|
| | Coral Gables, Florida 33146 in general support of its mission to strengthen and expand philanthropic funders' abilities to support organizations working to build more livable communities through smarter growth policies and practices | 0.00 | 250,000.00 | 150,000.00 | 0.00 | 0.00 | 100,000.00 |
| | Human Services Coalition of Dade County, Inc 260 NE 17th Terrace, Suite 200 Mlami, Florida 33132 to support the expansion of the neighborhood component of its Greater Miami Prosperity Campaign, a public awareness, outreach and advocacy program designed to increase access to economic benefits for low-wage individuals and families | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| | Miami Workers Center, Inc. 6127 Northwest 7th Avenue Miami, Florida 33127 In general support of its mission to improve the livelihoods of welfare recipients and low-wage workers through leadership development, organizing outreach, coalition building and advocacy | 75,000.00 | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| | South Florida Jobs with Justice 1525 NW 167th Street, Suite 390 Miami, Florida 33169 In general support of its mission to build coalitions of labor, community, faith-based and student organizations that work together to improve the lives of working families in South Florida | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| • | Women's Fund of Miami-Dade County, Inc 2801 Ponce de Leon Bivd #801 Miami, Florida 33146 toward the costs of establishing the Social Justice Institute, which will support accountable development initiatives in South Florida and explore ways to support statewide social change efforts | 0.00 | 450,000.00 | 450,000.00 | 0.00 | 0.00 | 0.00 |
| | GEORGIA Habitat for Humanity International, Inc 121 Habitat Street Americus, Georgia 31709-3498 toward the costs of developing a five-year organizational strategic plan with a focus on scaling-up services to | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| | those in need of decent and affordable housing toward the costs of its Hurricane Katrina response project, Operation Home Delivery | 0.00 | 500,000.00 | 500,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose UNITED STATES UNITED STATES ILLINOIS Center for Labor and Community Research | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| 3411 West Diversey Avenue Chicago, Illinois 60647 In continued support of its Food Chicago program, which operates a skills-based training and placement program for food manufacturers in the Chicago region and promotes batter regional-based public and private workforce investment practices | 0 00 | 75,000.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| CEOs for Cities 177 N. State Street Sulte 500 Chicago, Illinois 60601 toward further Investigation and dissemination of the findings of its Changing Dynamics of Urban America project, which aims to keep cities economically competitive and elevate urban issues in national policy debates | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| Chicago Jobs Council 29 East Madison Street Sulte 1700 Chicago, Illinois 60602-4415 In general support of its mission to ensure access to employment and career advancement opportunities for low-income and disadvantaged job seekers and low-wage workers | 0.00 | 100,000 00 | 75,000.00 | 0.00 | 0.00 | 25,000.00 |
| Heartland Alliance for Human Needs and Human Rights 208 South LaSalle Street Suite 1818 Chlcago, Illinois 60604 toward the costs of expanding the National Transitional Jobs Network, a coalition of independently operated programs and policy centers, which aims to help low-skilled individuals gain access to the supports and training experience necessary to get and keep quality jobs | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Interfaith Worker Justice 1020 West Bryn Mawr Avenue Fourth Floor Chicago, Illinois 60660-4627 In general support of its mission to educate, organize and mobilize the religious community in the United States to Improve wages, benefits and working conditions, especially for low-wage workers | 75,000.00 | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| In general support of its mission to educate, organize and mobilize the religious community in the United States to improve wages, benefits and working conditions, especially for low-wage workers | 0.00 | 200,000.00 | 100,000.00 | 0.00 | 0.00 | 100,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose #################################### | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|---------------------------------|--|--|--|
| Chicago, Illinois 60602 In general support of its mission to develop and support collaborative approaches to achieving social and economic justice for low-income workers | 75,000 00 | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| University of Chicago 5801 South Elis Avenue Chicago, Illinois 60637 | | | | | | |
| for use by its School of Social Service Administration in support of a case study of Jazz on the Boulevard, a new mixed-income housing development on Chicago's South Side | 50,897.00 | 0.00 | 50,897.00 | 0.00 | 0.00 | 0.00 |
| to support comparative research by the Black Civil Society Project of the Center for the Study of Race, Politics & Culture on civic association among different populations in the United States, especially African American communities | 0.00 | 0.00 | -2,555.08 | 2,555.08 | 0.00 | 0.00 |
| University of Illinois at Chicago 601 S Morgan Street Chicago, Illinois 60607-7115 | | | | | | |
| for use by its Center for Urban Economic Development to conduct economic and policy research and provide technical assistance to community groups to improve conditions in economically distressed areas and among marginalized groups | 0.00 | 325,000.00 | 225,000.00 | 0.00 | 0.00 | 100,000.00 |
| Women Employed Institute 111 N. Wabash Ave, Suire 1300 Chicago, Illinois 60602-2002 | | | | | | |
| in general support of its mission to improve women's economic status and remove barriers to economic equity | 75,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 75,000.00 |
| LOUISIANA Greater New Orleans Foundation 1055 St. Charles Avenue, Suite 100 New Orleans, Louisiana 70130 | | 1 | | | | |
| in support of its Rebuild New Orleans Fund designated for the relief, recovery and improvement of communities and their infrastructures in areas affected by Hurricane Katrina | 0.00 | 250,000.00 | 0.00 | 0.00 | 0.00 | 250,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose UNITED STATES LOUISIANA Urban League of Greater New Orleans, Inc 3433 Canal Street New Orleans, Louisiana 70119 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| toward the costs of its Katrina Relief and Rebuilding New Orleans Initiatives that aim to ensure full participation and equity for all citizens in rebuilding the city of New Orleans | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| MARYLAND Brandon Roberts and Associates 4818 Drummond Avenue Chevy Chase, Maryland 20815 | | | | | | |
| toward the costs of its Working Poor Families project that assesses state efforts to assist the working poor to achieve economic self-sufficiency | 0.00 | 125,000.00 | 125,000.00 | 0.00 | 0.00 | 0.00 |
| Calvert Social Investment Foundation, Inc. 7315 Wisconsin Avenue, Sulte 1100W Bethesda, Maryland 20814-9814 | | | | | | |
| toward the costs of its Calvert Community investment Note program, which finances nonprofit affordable housing developers, community development corporations and community development financial institutions serving low-income families | 0.00 | 300,000.00 | 175,000.00 | 0.00 | 0.00 | 125,000.00 |
| East Baltimore Development Inc 1731 East Chase Street Baltimore, Maryland 21213 | | | | | | |
| In general support of its mission to facilitate and redevelop East Baltimore's waterfront and industrial communities by expanding economic, housing and human service opportunities in the area | 0.00 | 100,000.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Enterprise Community Partners, Inc American City Building 10227 Wincopin Circle Suite 500 Columbia, Maryland 21044 | | | | | | |
| in general support of its mission to enable all low-income people in the United States to have the opportunity for fit and affordable housing and to move up and out of poverty into the mainstream of American life | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| toward the start-up costs of the Community Recovery Fund, a partnership with the Local initiatives Support Corporation, that will provide funding and technical assistance to and advocate for areas affected by Hurricane Katrina | 0.00 | 500,000.00 | 0.00 | 0.00 | 0.00 | 500,000.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES MASSACHUSETTS Boston Foundation, Inc. 75 Arlington Street 10th Floor Boston, Massachusetts 02116 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. canes & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|---------------------------------|--|--|--|
| toward the costs of completing the first phase and launching the second phase of its Skillworks program to strengthen Boston community employment agencies that help low-skilled workers and their families gain economic security | 150,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 150,000.00 |
| Harvard University Massachusetts Hall Cambridge, Massachusetts 02138 | | | | | | |
| for use by its John F. Kennedy School of Government toward the costs of a research initiative to identify new strategies that build societal cohesion, enhance social and economic equality, and connect diverse communities on local and national levels | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its Joint Center for Housing Studies in support of an international conference, "More than Shelter: Mobilizing Housing Finance for Economic and Social Development," to be held at the Bellagio Study and Conference Center in May 2005 | 188,130.00 | 0.00 | 188,130.00 | 0.00 | 0 00 | 0.00 |
| for use by its Joint Center for Housing Studies in support of the development of a global network business plan to mobilize domestic finance capital for housing in low-income communities in developing countries | 0.00 | 175,950.00 | 175,950.00 | 0.00 | 0.00 | 0.00 |
| Initiative for a Competitive Inner City, Inc 727 Atlantic Avenue Suite 600 Boston, Massachusetts 02111 | | | | | | |
| for continued support of its Inner City Economic Forum, which aims to advance private investment in America's Inner cities | 150,000.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| Jobs for the Future Inc 88 Broad Street 8th Floor Boston, Massachusetts 02110 | | | | | | |
| for general support of its mission to develop and implement effective strategies for expanding economic opportunity for the urban, working poor | 200,000.00 | 0.00 | 200,000.00 | 0.00 | 0.00 | 0.00 |
| In general support of its mission to develop and implement effective strategies for expanding economic opportunity for the urban working poor | 0.00 | 400,000.00 | 135,000.00 | 0.00 | 0.00 | 265,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|------------------|--|--|--|-----------------------------------|
| WORKING COMMUNITIES UNITED STATES | | | | | | |
| MASSACHUSETTS | | | | | | |
| Massachusetts Workforce Alliance Inc. | | | | | | |
| 6 Beacon, Ste. 415 | | | | | | |
| Boston, Massachusetts 02108 | | | | | | |
| toward the costs of its Policy Education, Engagement and Response project that provides technical support to workforce development practitioners serving low-income and low-wage workers in Massachusetts | 0.00 | 35,000.00 | 35,000.00 | 0.00 | 0.00 | 0.00 |
| National Alliance for Fair Employment 33 Harrison Avenue 5th Floor | | | | | | |
| Boston, Massachusetts 02111 | | | | | | |
| in general support of its mission to undertake research, policy analysis, and convenings for its network of grassroots groups working to improve policies that affect day laborers and part-time and contingent workers | 60,000.00 | 0.00 | 60,000.00 | 0.00 | 0.00 | 0.00 |
| YouthBulld USA, Inc 58 Day Street P.O Box 440332 Somerville, Massachusetts 02144 | | | | | | |
| In support of its program that develops employment opportunities for its graduates working for Home Depot and other corporate partners | 80,000.00 | 0.00 | 80,000.00 | 0.00 | 0.00 | 0.00 |
| MINNESOTA | | | | | | |
| Progressive Technology Project 2801 21st Avenue South, Suite 132E Minneapolis, Minnesota 55407 | | | | | | |
| In general support of its mission to elevate the use of information and communication technology by community-based organizations | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| University of Minnesota 100 Church Street, S.E Minneapolis, Minnesota 55455 | | | | | | |
| for use by its Institute on Race and Poverty for a study designed to show where mismatches between jobs and available workers are most severe and where affordable housing is most needed in various U.S. metropolitan regions | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| Education Law Center, Inc 60 Park Place Suite 300 Newark, New Jersey 07102 toward the costs of developing a set of tools, using its Abbott Indicators Project in New Jersey as a model, to enable school and community stakeholders to generate indicators of school reform, use the data to develop an improvement agenda, and sustain accountability practices | 0.00 | 75,000.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| National Housing Institute 460 Bloomfield Avenue, Suite 211 Montclair, New Jersey 07042-3552 In general support of its mission to examine key issues affecting affordable housing and economic opportunities for residents of low- to moderate-income neighborhoods | 0.00 | 200,000.00 | 120,000.00 | 0.00 | 0.00 | 80,000.00 |
| NEW YORK Association for Neighborhood & Housing Development, Inc 50 Broad Street, Suite 1125 New York, New York 10004 In general support of its mission to ensure decent housing and neighborhoods for the people of New York City, especially the poor and working class | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| Association of Community Organizations for Reform Now 2-4 Nevins Street Brooklyn, New York 11217 for use by its New York affiliate for an initiative to encourage developers to increase construction of affordable housing in low-income New York City neighborhoods | 25,000.00 | 0.00 | 25,000.00 | 0.00 | 0.00 | 0.00 |
| Campaign for Fiscal Equity, Inc. 1 10 William St. Suite #2602 New York, New York 10038 In general support of its mission to reform New York State's school finance system to ensure adequate | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| resources and the opportunity for a sound basic education for all students in New York City, New York in general support of its mission to reform New York State's school finance system to ensure adequate resources and the opportunity for a sound, basic education for all students in New York City | 0.00 | 250,000.00 | 0.00 | 0.00 | 0.00 | 250,000.00 |
| toward the costs of expanding the annual conferences of its Advocacy Center for Children's Educational Success with Standards Initiative to examine and raise awareness about the relationship between adequate school finance reform and the standards required by the federal No Child Left Behind Act | 0.00 | 100,000.00 | 70,000.00 | 0.00 | 0.00 | 30,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| New York, New York 10005 In general support of its mission to improve the overall economic health of New York City and create job opportunities for low-income and working class New Yorkers | 0.00 | 100,000.00 | 75,000.00 | 0.00 | 0.00 | 25,000.00 |
| City University of New York 535 East 80th Street New York, New York 10021 | | | | | | |
| for use by its Joseph S. Murphy Institute for Worker Education and Labor Studies in support of a project almed at building labor and community coalitions in New York City to advance public policy solutions | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 | 75,000.00 |
| Columbia University 202 Low Memorial Library New York, New York 10027 | | | | | | |
| for use by its Earth institute toward the costs of activities related to World Habitat Day and a workshop on Achieving the Millennium Development Goals almed at identifying innovative ways for middle-income countries and their cities to improve housing in low-income communities | 0.00 | 88,000.00 | 88,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its institute for Social and Economic Research and Policy toward the costs of: (1) a longitudinal study that examines the social conditions of housing and inequality in Chicago resulting from changes to the City's public housing system, and (2) the distribution of a documentary, Dislocation, chronicling the relocation experiences of families from those communities | 0.00 | 125,000.00 | 85,000.00 | 0.00 | 0.00 | 40,000.00 |
| Common Ground Community Housing Development Fund Corporation, Inc. 505 Eighth Avenue, 15th floor New York, New York 10018 | | | | | | |
| toward the costs of a collaborative multi-city initiative to develop and implement new and more effective strategies to end chronic urban homelessness in up to 50 communities across the country | 0.00 | 125,000.00 | 125,000.00 | 0.00 | 0.00 | 0.00 |
| Community Development Venture Capital Alliance 424 West 33rd Street, Suite 320 New York, New York 10001 | | | | | | |
| In general support of its mission to promote the use of venture capital tools to grow the economies of distressed communities by creating good jobs, entrepreneurial capacity and wealth for low-income residents | 220,000.00 | 0.00 | 110,000.00 | 0.00 | 0.00 | 110,000.00 |

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| = V | ROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|-----------|--|---|---------------------|--|--|--|--|
| | Community Service Society of New York 105 East 22nd Street New York, New York 10010 toward the costs of a research project, The Unheard Third, to survey and publish data on the economic and community concerns of low-income residents in New York City, New York | 0.00 | 80,000.00 | 80,000.00 | 0.00 | 0.00 | 0.00 |
| | Community Voices Heard, Inc. 170 East 116th Street, Suite 1E New York, New York 10029 In general support of its mission to expand economic opportunity, jobs and access to education and training for low-income people in New York City, New York | 0.00 | 190,000.00 | 125,000.00 | 0.00 | 0.00 | 65,000.00 |
| #1 - , | Corporation for Supportive Housing 50 Broadway, 17th Floor New York, New York 10004 In general support of its mission to help communities create permanent housing with services to prevent and | 0.00 | 725,000.00 | 725,000.00 | 0.00 | 0.00 | 0.00 |
| | Demos: A Network for Ideas and Action, Ltd. 220 Fifth Avenue, Fifth Floor New York, New York 10001 | | | | | | |
| | in general support of its mission to build a more inclusive democracy and promote greater economic equality and opportunity in the U.S. through research, policy advocacy, and communications | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| | Fifth Avenue Committee, Inc. 621 DeGraw Street Brooklyn, New York 11217 | | | | | | |
| | for continued support of its Learn More/Earn More program for low-wage earners, which combines adult education in basic English and math skills with career counseling | 50,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 50,000.00 |
| | Fiscal Policy Institute, Inc. 1 Lear Jet Lane Latham, New York 12110 | | | | | | |
| | for general support of its mission to conduct research and policy analysis on labor market and economic issues in New York City and New York State | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| | In general support of its mission to increase public and governmental understanding of issues related to the fairness of New York State's tax system and the stability and adequacy of state and local public services | 0.00 | 150,000.00 | 87,500.00 | 0.00 | 0.00 | 62,500.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES NEW YORK Fund for the City of New York 121 Avenue of the Amencas, 6th Floor New York, New York 10013-1590 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. canes & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|--------------------------------------|---------------------|---------------------------------|--|--|-----------------------------------|
| for use by its Agenda for Children Tomorrow's One City Strategy project, which promotes neighborhood-based integration of public and private workforce development and social services to poor families in five New York City neighborhoods | 0.00 | 50,000.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| toward the costs of its project, the New York City Employment and Training Coalition, which helps employment service providers increase access to high-quality employment and training for low-income New Yorkers with employment barriers | 0.00 | 90,000.00 | 0.00 | 0.00 | 0.00 | 90,000.00 |
| Living Cities, Inc: The National Community Development initiative 55 West 125th Street, 11th Floor New York, New York 10027 | | | | | | |
| for continued support of the second ten-year phase of the National Community Development Initiative | 0.00 | 2,166,000 00 | 2,166,000.00 | 0.00 | 0.00 | 0.00 |
| Local Initiatives Support Corporation 501 Seventh Avenue, 7th Floor New York, New York 10018 | | | | | | |
| for use by its Phoenix office toward pre-development and start-up costs for the Phoenix Housing Partnership, which will seek to develop affordable housing in the greater Phoenix area | 20,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 20,000.00 |
| for use by its Twin Cities office toward the costs of the Payne-Lake Community Partners Initiative, a collaborative community development initiative whose goal is to connect people and place in the neighborhoods surrounding two aging commercial corridors in Minneapolis and St. Paul, Minnesota | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| for use by its Twin Cities office toward the Twin Cities Pilot Cities Initiative, a collaborative community development initiative whose goal is to connect people and place in the neighborhoods surrounding two aging commercial corridors in Minneapolis and St. Paul, Minnesota | 66,666.00 | 0.00 | 66,666.00 | 0.00 | 0.00 | 0.00 |
| In general support of its mission to assist community development corporations in their efforts to transform distressed urban neighborhoods into healthy and working communities | 0.00 | 250,000.00 | 125,000.00 | 0.00 | 0.00 | 125,000.00 |
| toward the start-up costs of the Community Recovery Fund, a partnership with the Enterprise Foundation, that will provide funding and technical assistance to and advocate for areas affected by Hurricane Katrina | 0.00 | 500,000.00 | 0.00 | 0.00 | 0.00 | 500,008.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or institution(s) Purpose WORKING COMMUNITIES UNITED STATES NEW YORK MORC 16 East 34th Street 19th Floor New York, New York 10016-4326 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. canes & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| In continued support of a U.SU.K. learning exchange on demonstration projects in order to strengthen the evidence base for policies that improve the well-being of low-income people, and for an exploration of opportunities for similar international initiatives | 0.00 | 200,000.00 | 125,000.00 | 0.00 | 0.00 | 75,000.00 |
| toward the costs of (1) an impact evaluation in three sites that implemented its Jobs Plus demonstration model and (2) dissemination of the evaluation lessons to better replicate the program elsewhere | 0.00 | 254,730.00 | 170,000.00 | 0.00 | 0.00 | 84,730.00 |
| toward the costs of its Judith Gueron Fund for Methodological Innovation in Social Policy Research, which will disseminate the evaluation framework and methods learned under the Jobs-Plus project to a broad audience of researchers | 200,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 200,000.00 |
| toward the costs of its Work Advancement and Support Center demonstration project that seeks to affect the earning power of low-wage workers, the quality of life of their families, and the capacity of public systems to help such workers stabilize their incomes and advance in the labor market | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| NAACP Legal Defense and Educational Fund, Inc 99 Hudson Street Sulte 1600 New York, New York 10013-2897 | | | | | | |
| in general support of its mission to secure racial and social justice for all Americans | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| National Employment Law Project, Inc 55 John Street Seventh Floor New York, New York 10038 | | | | | | |
| In general support of its mission to promote enforcement and expansion of employment protections for low-income and unemployed workers | 0.00 | 250,000.00 | 250,000.00 | 0.00 | 0.00 | 0.00 |
| New York Community Trust 909 Third Avenue 22nd Floor New York, New York 10022 | | | | | | |
| toward the costs of its Donors' Education Collaborative, a joint grantmaking effort of New York City-based public education funders to promote broad public engagement in school reform | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 | 150,000.00 |
| toward the costs of its New York City Workforce Development Funders Group, which helps low-income job seekers gain access to skills and employment in the health care and aviation industries | 0.00 | 125,000.00 | 0.00 | 0.00 | 0.00 | 125,000.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES NEW YORK | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|--|---|---------------------|--|--|--|--|
| New York State School Boards Association 24 Century Hill Drive Suite 200 Latham, New York 12110-2125 toward the costs of a research project aimed at facilitating sound planning and implementation of fiscal and academic improvement strategies in 57 small city school districts in New York State | 0.00 | 150,000.00 | 75,000.00 | 0.00 | 0.00 | 75,000.00 |
| New York Unemployment Project Inc. 50 Broadway, 24th floor New York, New York 10004 to coordinate the New York Unemployment Insurance Access and Expansion Collaborative, whose aim is to improve access to Unemployment insurance in immigrant communities in New York City, New York | 0.00 | 125,000.00 | 125,000.00 | 0.00 | 0.00 | 0.00 |
| New York University 70 Washington Square South 12th Floor New York, New York 10012 for use by its Center for Leadership Development, Dialogue and Inquiry at the Robert F. Wagner Graduate School of Public Service, in support of the Next Generation Leadership program, formerly operated by the Rockefeller | 625,993.00 | 0.00 | 256,506.76 | 0.00 | 0.00 | 369,486.24 |
| Foundation for use by its institute for Education and Social Policy in support of the second phase of research to increase community participation in school facility design and development in New York City | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its Steinhardt School of Education's Metropolitan Center for Urban Education to present a two-day forum commemorating the 1954 Brown v. Board of Education Supreme Court decision mandating the desegregation of schools across America | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| for use by its Steinhardt School of Education's Metropolitan Center for Urban Education toward the costs of a national summit to explore new strategies for improving educational outcomes for all children in the United States | 0.00 | 50,000.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |
| Pratt Institute 200 Willoughby Avenue Brooklyn, New York 11205 for use by its Center for Community and Environmental Development in support of a collaboration aimed at | 0.00 | 400,000.00 | 400,000.00 | 0.00 | 0.00 | 0.00 |
| advancing accountable economic development in New York City, establishing broad-based community coalitions and improving leadership skills among local community organizations | | | | | | |

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| • | ROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|--|---|---------------------|--|--|--|--|
| N | /ORKING COMMUNITIES UNITED STATES NEW YORK Public Policy and Education Fund of New York, Inc 94 Central Avenue | ======= | | | | | ********* |
| | Albany, New York 12206 toward the costs of its Education Project to expand and conduct public education, research, policy analysis and leadership training to contribute to New York State's school finance reform efforts | 0.00 | 250,000.00 | 0.00 | 0.00 | 0.00 | 250,000.00 |
| | toward the costs of its Education Project, to expand and conduct public education, research, policy analysis and leadership training to contribute to New York State's school finance reform efforts | 0.00 | 400,000.00 | 400,000.00 | 0.00 | 0.00 | 0.00 |
| ř | Puerto Rican Legal Defense and Education Fund, Inc. 99 Hudson Street 14th Floor New York, New York 10013-2815 | | | | | | |
| | In general support of its mission to secure, promote and protect the civil and human rights of the Latino community | 0.00 | 125,000.00 | 125,000.00 | 0.00 | 0.00 | 0.00 |
| - | Regional Plan Association, Inc 4 Irving Place, 7th Floor New York, New York 10003 toward the costs of an initiative to identify strategies for sustainable and equitable development in the New York City metropolitan region | 0.00 | 200,000.00 | 120,000.00 | 0.00 | 0.00 | 80,0 00 00 |
| | Syracuse University 300 Tolley Administration Building Syracuse, New York 13244-1100 | | | | | | |
| | for use by its Maxwell School of Citizenship and Public Affairs' Center for Policy Research to conduct research and policy analysis on key issues facing school finance reform in New York State | 0.00 | 100,000 00 | 50,000.00 | 0.00 | 0.00 | 50,000.00 |
| | Teachers College, Columbia University 525 West 120th Street New York, New York 10027-6902 | | | | | | |
| | for use by its Gottesman Libraries to complete and field-test its comprehensive digital archive of documents related to school finance reform activities in New York State | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| | Urban Justice Center 686 Broadway, 10th Floor New York, New York 10012 | | | | | | |
| | In general support of its mission to provide legal representation to, and advocate on behalf of, low-income residents in New York City | 50,000.00 | 0.00 | 50,000.00 | 0.00 | 0.00 | 0.00 |



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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES NEW YORK William J Brennan Jr Center for Justice, Inc c/o NYU School of Law 161 Avenue of the Americas 12th Floor New York, New York 10013 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|------------------|--|--|--|--|
| in support of its Economic Justice Project, which uses research and analysis to promote policies that provide New Yorkers, particularly immigrants and people of color, with access to good jobs while encouraging long-term, sustainable economic growth | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 |
| NORTH CAROLINA Duke University Box 90001 Durham, North Carolina 27708-0340 | | | | | | |
| to enable the Global Value Chain Initiative to monitor ongoing trends and issues of global economic restructuring and employment shifts, and to analyze recent industrial development in Mexico | 100,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 100,000.00 |
| Teaching Quality Foundation, Inc. 976 Airport Road, Suite 250 Chapel Hill, North Carolina 27514 for use by its Southeast Center for Teaching Quality in developing a national model for states to assess the progress of teacher and teaching quality efforts, especially in low-income urban and rural communities | 30,000.00 | , 0.00 | 30,000.00 | 0.00 | 0.00 | 0.00 |
| PENNSYLVANIA Next American City Inc P O Box 42627 Philadelphia, Pennsylvania 19101 | | | | | | |
| In support of publishing two issues of its magazine aimed at community development field practitioners, the first on the future of integration and segregation in America, and the second on new approaches to transportation | 0.00 | 50,000.00 | 50,000.00 | 0 00 | 0.00 | 0.00 |
| Public/Private Ventures 2000 Market Street Suite 600 Philadelphia, Pennsylvania 19103 | | | | | | |
| for continued support of its Working Ventures initiative, which aims to build organizational capacity in workforce development providers serving low-skilled youth and low-wage earners in economically challenged communities | 162,500.00 | 0.00 | 162,500.00 | 0.00 | 0.00 | 0.00 |

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| PROGRAM COUNTRY US STATE Grantee Name(s) - Person(s) or Institution(s) Purpose WORKING COMMUNITIES UNITED STATES TENNESSEE Nashville Career Advancement Center 621 Mainstream Drive, Suite 210 | UNEXPENDED BALANCE AS OF 01-Jan-2005 | APPROVED IN 2005 | NET EXPENDITURES AS OF Dec-2005 | LAPSES (Incl. cancs & recens) IN 2005 | REVERSIONS (Incl. cancs & recens) IN 2005 | UNEXPENDED BALANCE AS OF Dec-2005 |
|---|---|---------------------|--|--|--|--|
| Nashville, Tennessee 37228 toward support of its program aiming to increase the effectiveness of job training agencies in Nashville, Tennessee that help low-income job seekers secure livable wage employment | 75,000.00 | 0.00 | 75,000.00 | 0.00 | 0.00 | 0.00 |
| TEXAS Center for Public Policy Priorities 900 Lydia Street Austin, Texas 78702-2625 In general support of its mission to improve public policies and private practices in Texas to better address the economic and social needs of low- and moderate-income Texans | 0.00 | 200,000.00 | 115,000.00 | 0.00 | 0.00 | 85,000.00 |
| Cornerstone Assistance Network, inc 6924 Glenview Drive Fort Worth, Texas 76180 for continued support of its program to increase the effectiveness of job training agencies and the workforce development system in Fort Worth, Texas | 108,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 108,000.00 |
| National Center for Educational Accountability 4030-2 West Braker Lane Suite 200 Austin, Texas 78759 for a research project on how high-performing high schools select their staff and build staff capacity | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |
| Texas Low Income Housing Information Service 508 Powell Street Austin, Texas 78703-5122 | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 3.00 |
| in general support of its mission to aid low-income Texans' efforts to achieve the American dream of a decent, affordable home in a quality neighborhood | 0.00 | 200,000.00 | 120,000.00 | 0.00 | 0.00 | 80,000.00 |
| University of Texas at Austin Austin, Texas 78713 for use by its Center for African and African American Studies for the "Diasporic Racisms" project, a new area of ractal analysis and activist scholarship regarding the impact of transnational demographic, political, social and economic processes on the changing character of race relations in the U.S., especially as they impact Black, Latino and indigenous peoples | 100,000.00 | 0.00 | 100,000.00 | 0.00 | 0.00 | 0.00 |



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PROGRAM LAPSES REVERSIONS NET UNEXPENDED COUNTRY UNEXPENDED EXPENDITURES BALANCE (incl. cancs (incl. cancs BALANCE **US STATE** AS OF & recens) AS OF AS OF APPROVED & recens) Grantee Name(s) - Person(s) or Institution(s) Dec-2005 IN 2005 IN 2005 Dec-2005 01-Jan-2005 IN 2005 ____, -------WORKING COMMUNITIES **UNITED STATES TEXAS** University of Texas at Austin for use by its Harry Ransom Humanities Research Center toward the costs of acquiring and maintaining for 0.00 250,000.00 250,000.00 0.00 0.00 0.00 public access the Watergate Archive, the combined papers of the Washington Post reporters who first reported the story 0.00 -136.79 136.79 0.00 0.00 for use by its Lyndon B. Johnson School of Public Affairs' Ray Marshall Center for the Study of Human 0.00 Resources toward the costs of a project aiming to improve state workforce systems in effectively meeting the needs of the working poor for use by its Lyndon B. Johnson School of Public Affairs' Ray Marshall Center for the Study of Human 100,000.00 0.00 0.00 0.00 0.00 100,000 00 Resources toward the costs of implementing the Central Texas Workforce demonstration initiative, a pilot project almed at increasing training and advancement opportunities for low-income residents interested in careers in nursing and medical technician fields 80.000.00 for use by its School of Architecture's Partnership for Quality Growth and Preservation in support of its Texas 0.00 200,000.00 120.000.00 0.00 0.00 Housing Research Consortium for use by its School of Architecture's Partnership for Quality Growth and Preservation in support of its work to 0.00 -193.84 193.84 0.00 0.00 0.00 develop a research agenda for affordable housing for the poor in Texas VIRGINIA Financial Markets Center, Inc. P.O. Box 23 Howardsville, Virginia 24562 87,500,00 0.00 0.00 0.00 in general support of its mission to use research, policy analysis, and public education to make the operation of 87.500.00 0.00 financial market institutions more transparent and promote democratic values, accountable public institutions and improved livings standards for citizens WASHINGTON University of Washington 301 Gerberding Hall Box 351230 Seattle, Washington 98195-1230 75.000.00 toward the costs of a research study to examine and analyze the role of global retail firms in shaping the 150,000.00 75,000.00 0.00 0.00 0.00 distribution of manufacturing Jobs globally

THE ROCKEFELLER FOUNDATION

Identification Number 13-1659629

GRANTS AND EXPENDITURES REPORT

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| | ROGRAM | | | | | | | |
|----|--|-----------------------|---------------|---------------------|---|-------------------------|-----------------------|--|
| | COUNTRY US STATE | UNEXPENDED BALANCE | | NET EXPENDITURES | LAPSES (Incl. cancs | REVERSIONS (incl. canes | UNEXPENDED BALANCE | |
| | Grantee Name(s) - Person(s) or Institution(s) | AS OF | APPROVED | AS OF | & recens) | & recens) | AS OF | |
| | Purpose | 01-Jan-2005 | IN 2005 | Dec-2005 | IN 2005 | IN 2005 | Dec-2005 | |
| = | | ======== | ======== | | ======================================= | | | |
| | VORKING COMMUNITIES | | | | | | | |
| | UNITED STATES | | | | | | | |
| | WISCONSIN | | | | | | | |
| | Institute for Wisconsin's Future, Inc. | | | | | | | |
| | 1717 South 12th Street | | | | | | | |
| | Suite 203 | | | | | | | |
| | Milwaukee, Wisconsin 53204-3300 | | | | | | | |
| | in general support of its mission (1) to inform Wisconsin residents about issues and policies that affect their | 0.00 | 500,000.00 | 300.000.00 | 0.00 | 0.00 | 200.000.00 | |
| | lives, and (2) to increase citizen participation in public debates and decisionmaking on those policies | 0.00 | 000,000.00 | 0.0,000.00 | | | | |
| | , , | | | | | | | |
| | New Hope Project, Inc. | | | | | | | |
| | 2821 North Fourth Street. Suite 211 | | | | | | | |
| | Milwaukee, Wisconsin 53212 | | | | | | | |
| | Wilwauked, Wisconsin 55212 | | | | | | | |
| | toward the costs of an international conference, in collaboration with the University of Wisconsin's institute for | 0.00 | 27,000.00 | 27,000.00 | 0.00 | 0.00 | 0.00 | |
| | Research on Poverty, to compare lessons learned about implementing a work-based system of welfare reform in | | | | | | | |
| | the United Kingdom and the United States | | | | | | | |
| | | | | | | | | |
| | University of Wisconsin-Madison | | | | | | | |
| | 500 Lincoln Drive | | | | | | | |
| ٠. | Madison, Wisconsin 53706 | | | | | | | |
| | Madash, Wassian 60.00 | | | | | | | |
| | for use by its Wisconsin Center for Education Research toward the costs of research and policy analysis on key | 0.00 | 500,000.00 | 300,000.00 | 0.00 | 0.00 | 200,000.00 | |
| | Issues in school finance reform in the State of Wisconsin and in the United States | | | | | | | |
| | | | | | | - | | |
| | TOTAL . 470 MODIVING COMMUNITIES | | | | 4074544 | | 0.444.405.04 | |
| 1 | TOTAL: 178 - WORKING COMMUNITIES | 5,904,546.00 | 28,029,680.00 | 25,267,024.65 | 12,715.11 | 210,000.00 | 8,444,486.24 | |

THE ROCKEFELLER FOUNDATION Tax Identification Number 13-1659629 Form 990PF - 2005

EXPENDITURE RESPONSIBILITY GRANTS AND PRIS

Prospective grantees are asked to furnish information in order to enable the Foundation to determine whether they have received a determination of 501(c)(3) status from the U.S. Internal Revenue Service or may be considered the equivalent of a tax-exempt charity, if formed outside the United States. Prospective grantees with respect to whom the Foundation is believed to have "expenditure responsibility" obligations are informed by letter, before payment is made on a grant, of the responsibilities imposed upon the Foundation and its grantees by the Internal Revenue Code of 1986, as amended. Each grantee must agree in writing to those terms and conditions, including the obligation to provide financial and substantive reports on how Foundation grant funds are expended. The reports that are received are reviewed for general accuracy, sufficiency and compliance with the terms and conditions of the grant. Additional information is requested from grantees in instances where reports are considered inadequate. Where the Foundation has not received financial or substantive reports from a grantee when expected, Foundation staff follow up in several ways, including reminders that are sent at regular intervals after reports are expected and personal follow-up by program staff through telephone, mail and e-mail.

The following schedules list grant and program-related investment expenditures with respect to which the Foundation has exercised expenditure responsibility. Grantee organizations marked "*" are either private foundations, private operating foundations, or foreign private-foundation equivalents. All other grantees are non 501(c)(3) organizations or organizations for which the Foundation has not made a reasonable determination of 501(c)(3) equivalency status that received grants for charitable projects and maintained payments in segregated funds as required by Treasury Reg. 53.4945-6(c).

The dates of the reports shown on the following schedules are annotated with an "F" and/or an "N" to indicate that the reports are financial reports or narrative reports, respectively. Unless otherwise noted, the reports received were found to be in order and to show that the funds were fully expended for the purpose of the grant.

Where the grantee has satisfactorily reported full expenditure of the funds, the "reporting status" for the expenditure is marked "complete." For all other expenditures, we will provide follow-up information in our 2006 990-PF.

Reporting status is as of 11/10/2006.

Schedule 1: Grant expenditures: (1) all 2005 grant expenditures, and (2) grant expenditures

from 2000 through 2004 for which we were not able to report that reporting

was complete when we filed our 2004 990-PF.

Schedule 2: Program-related investments



AMOUNT PAID IN **SPECIFIED**

YEAR

DATE OF REPORT(S) RECEIVED **FROM GRANTEE** Statement 9.A Schedule 1 Page 1 of 60

> REPORTING STATUS

AFRICA REGIONAL PROGRAM

2004 AR 034 AfriAfya AMREF KCO Building, Wilson Airport P.O. Box 27576 Nairobi 00506 Kenya

Toward the costs of strengthening community-based information systems for increased access to and utilization of information for development in Kenya

2005

2005

PAYMENT

YEAR

85.000.00

12/23/2005 F N 08/30/2006 F N Complete

2001 AR 050 **Council on Higher Education Didacta Building** 211 Skinner St. P.O. Box 13354, The Tramshed, 0126 South Africa

Toward the costs of a project to initiate and institutionalize a triennial review of South African higher education.

2001

12/13/2002 N 76,000.00 10/03/2003 F N 10/26/2004 F N

> 04/24/2005 F 04/25/2005 N 09/29/2006 N

04/24/2005 F 2004 57.509 50 04/25/2005 N

09/29/2006 N

The grantee has accounted for \$62,713.32 through 3/31/2005 A financial report due shortly after 3/31/2006

NOTES

has been received and is under review by staff

The grantee has submitted accountings through 3/31/2005 reporting \$0 00 expenditures against these funds A financial report due shortly after 3/31/2006 has been received and is under review by staff.

57,509 50

AMOUNT PAID IN SPECIFIED

YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 2 of 60

> REPORTING STATUS

AFRICA REGIONAL PROGRAM

2005 AR 009

Forum for African Women Educators, Zimbabwe Chapter Belvedere Technical Teachers' College 1 Harvard Road P.O. Box MP 1058 Mount Pleasant Harare Zimbabwe

Toward the costs of a project that will address psychosocial needs of orphans and vulnerable children in primary schools in Zimbabwe.

2005

PAYMENT

YEAR

14,768.00

03/06/2006 F N 06/28/2006 F N

Complete

2003 AR 042

HelpAge International P.O. Box 32832 London N1 9UZ England

Toward the costs of a project to address the health and nutritional needs of older people in Uganda.

2004

35,766 00

05/28/2004 F N 05/13/2005 N 05/16/2005 F 02/28/2006 F N

Complete

2004 AR 028

Institute of Policy Analysis and Research, Limited 2nd Floor, Norfolk Towers Kijabe Street/Harry Thuku Road Junction P.O. Box 45843 GPO 00100 Nairobi Kenya

Toward the costs of strengthening Kenya's Local Authorities Service Delivery Action Plan, created to improve service delivery in Kenya's urban slum communities.

2005

71,000.00

01/19/2006 N 01/27/2006 F The grantee has accounted for \$66,155 42 through

NOTES

12/31/2005.



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PAYMENT YEAR

AMOUNT PAID IN **SPECIFIED** YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE

NOTES

REPORTING STATUS

AFRICA REGIONAL PROGRAM

2005 AR 003 **Jacaranda Designs Limited** P.O. Box 76691 Nairobi 00508 Kenya

Toward the costs of its project to publish a monthly educational newspaper for upper primary pupils and out-of-school children in Kenya, Uganda, Tanzania and southern Sudan.

2005

169,000 00 07/12/2006 F N

The grantee has accounted for \$157,369 through 3/31/2006.

2005 AR 026

Kenya National Academy of Sciences P. O. Box 39450 Parklands 00623 Nairobi Kenya

Toward the costs of a national workshop on the role of science and technology capacity in achieving the Millennium Development Goals, held in Nairobi, October 2005.

2005

16.500.00

08/01/2006 F N

The grantee has accounted for \$12,349 00 through 3/31/2006



AMOUNT

PAID IN

SPECIFIED

YEAR

DATE OF REPORT(S

REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 4 of 60

REPORTING STATUS

AFRICA REGIONAL PROGRAM

P.O Box 29086, Kangemi 00625

2004 AR 032 Rural Outreach Program Argwings Kodhek Road Hurlingham Groove

Nairobi Kenya

Toward the costs of a conference on capacity development for editors of African scholarly journals, to be held in Nairobi, December 2004.

2004

PAYMENT

YEAR

23,131.00

12/22/2004 F N 10/25/2005 N

11/23/2005 F 12/31/2005 N 07/27/2006 F 10/31/2006 F N Complete

Complete

2002 AR 006

Southern African Development Community

Private Bag 0095 Gaborone

Botswana

For the costs of training staff of national statistical/census offices, universities and other institutions of higher learning in the countries of the Southern African Development Community on census and spatial data analysis.

2002

82,735.00

05/28/2004 F N 02/11/2005 N

04/05/2005 F 03/08/2006 N 04/19/2006 F N

2005

198,899.67

04/19/2006 F N 06/28/2006 F N The grantee has accounted for \$185,160 through

NOTES

3/31/2006

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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

NOTES

REPORTING STATUS

AFRICA REGIONAL PROGRAM

2005 AR 014
Tertiary Education Network
House Vincent, Wynberg Mews
10 Brodie Road
Wynberg 7800
South Africa

Toward the costs of implementing a training program to improve bandwidth 'management capacities in selected African universities.

2005

37,600.00

10/18/2006 F 10/19/2006 N The grantee has submitted an accounting through 12/31/2005 reporting \$0 00 expenditures against these

funds

2004 AR 011

The Starehe Girls' Centre *
P.O. Box 6847-00200
Nairobi
Kenya

Toward the costs of creating a center of excellence to redress the imbalance of access to educational and leadership opportunities for adolescent girls from poor and marginalized communities in Kenya.

2004

91,000.00

03/21/2005 F N 01/30/2006 F N The grantee has accounted for \$42,219 50 through

12/31/2005.

2005 AR 012

Tropical Institute of Community Health and Development in Africa Off Tom Mboya Drive, Milimani Area

P.O. Box 2224

Kısumu Kenya

In support of a project to develop and test models for improved district health systems in Kenya.

2005

107,500 00

01/30/2006 F N 07/15/2006 F 07/24/2006 N

Statement 9.A Schedule 1 Page 6 of 60

AMOUNT PAID IN

SPECIFIED

YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE

NOTES

REPORTING STATUS

ARTS AND HUMANITIES

RF 99044 #620 SUR Casa de Estudios del Socialismo Lima 11 Peru

Toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, "Violence, Democracy, and Authoritarianism in Contemporary Peruvian Culture and Politics".

2005

PAYMENT

YEAR

30,400.00

09/09/2005 F N 12/28/2005 N 03/28/2006 F



AMOUNT

PAID IN

SPECIFIED

YEAR

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STATUS

PAYMENT YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING

NOTES

ASSETS & CAPACITIES

2004 AC 215 New York Foundation * Empire State Building 350 Fifth Avenue Room 2901 New York, New York 10118-2996 United States

For the costs of a project to provide funds to community-based organizations that develop youth leaders in New York City to improve their public schools.

2004

100,000 00

03/22/2006 F N

Complete

2003 AC 105

The Communication Initiative Networks Corporation 5148 Polson Terrace Victoria V8Y 2C4 Canada

Toward the costs of implementing the Communication Initiative project to highlight and share examples of communication for social change action and to support and to engage practitioners, funders, policymakers and researchers in the strategic dialogue and debate on the communication for social change approach to addressing development issues

2005

100,000 00

12/07/2005 F N

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PAYMENT YEAR

AMOUNT DATE OF
PAID IN REPORT(S)
SPECIFIED RECEIVED
YEAR FROM GRANTEE

NOTES

REPORTING STATUS

ASSETS & CAPACITIES

2002 AC 106 Umzingwane AIDS Network 457 Habane P.O. Box 112 Esigodini Zimbabwe

To test, in a field setting, communication processes aimed at building the capacity of and empowering rural Zimbabwean youth to advocate on their own behalf against risky behaviors which can lead to the transmission of HIV.

2003

11,660 00 03/15/2005 F N 02/27/2006 F N



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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING STATUS

CREATIVITY & CULTURE

2004 CC 038

Art Science Research Laboratory, Inc. *
62 Greene Street, 3rd Floor
New York, New York 10012
United States

Toward the costs of a project to create knowledge management software that will provide free global access to two books by Stephen Jay Gould, "Ontogeny and Phylogeny" and "An Urchin in the Storm"

2004

100,000.00

05/25/2005 F N 05/15/2006 F N

Complete

Complete

2003 CC 097

Cape Higher Education Consortium P O Box 18094 Wynberg 7824 South Africa

Toward the costs of developing an academic program in African museum and heritage studies, a joint initiative of the University of the Western Cape, the University of Cape Town and the Robben Island Museum.

2003

146,470.00

01/18/2005 F N 02/24/2006 F N

NOTES

The grantee has accounted for \$150,424 through 12/31/2005.

2005

156,840 00

02/24/2006 F N



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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING STATUS

CREATIVITY & CULTURE

2003 CC 129
District Six Museum Foundation
P.O. Box 10178
7905 Caledon Square
25A Buitenmant Street
Cape Town 8000
South Africa

Toward the costs of research and public education activities addressing the role of memorialization in the reconstruction of cities in South Africa.

2003

54,300.00

09/23/2004 N

09/29/2004 F 09/05/2005 F N

03/08/2006 F N

2005

45,700.00 03/08/2006 F N

Complete

Complete

2005 CC 006

Harare International Festival of the Arts

P.O. Box A 42 Avondale Harare Zimbabwe

Toward the costs of organizing a pan-African festival for the performing and visual arts in 2005.

2005

35,000.00

07/14/2005 F N

YEAR

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AMOUNT PAID IN MENT SPECIFIED

PAYMENT

YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE

NOTES

REPORTING STATUS

CREATIVITY & CULTURE

2001 CC 178
International Association for Religious Freedom
2 Market Street
Oxford OX1 3EF
England

Toward the costs of a project to develop a "Voluntary Code of Conduct for Religious Communities".

2005

4,043.60 07/20/

07/20/2005 F 07/26/2005 N

06/22/2006 F N

Complete

2005 CC 001

National Video Resources, Inc. *

73 Spring Street Suite 403 New York, New York 10012 United States

Toward the costs of the Program for Media Artists, a program that supports film, video and multimedia artists.

2005

1,100,000.00

02/28/2006 F N

Complete

2005 CC 015

National Video Resources, Inc. *

73 Spring Street Suite 403

New York, New York 10012

United States

For the ongoing activities of Grantmakers in Film and Electronic Media.

2005

15,000 00

02/28/2006 F N

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PAYMENT YEAR AMOUNT
PAID IN
SPECIFIED
YEAR
F

DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING STATUS

CREATIVITY & CULTURE

2003 CC 032 Reyum P.O. Box 2438 Phnom Penh Cambodia

Toward the costs of research projects to investigate and record local knowledge on three topics. Khmer ornament, tools and practices of the Cambodian countryside; and the development of a memory bank.

2004

75,000.00

05/10/2005 F N 09/19/2005 F N 04/05/2006 F N

Complete

2005 CC 018

Reyum

P.O Box 2438

Phnom Penh

Cambodia

Toward research, public education and outreach activities to encourage understanding of Cambodian cultural forms and toward the organization's stabilization efforts.

2005

122,140.00

10/03/2006 F N

The grantee has accounted for \$113,108.84 through 8/31/2006.

NOTES

2001 CC 060

Unión de Museos Comunitarios de Oaxaca A.C.

Colón 1016, Colonia Centro, C.P. 68000, Oaxaca, Oax, Mexico

Oaxaca, Oax. C.P. 68000

Mexico

Toward the costs of a series of three annual conferences to develop and strengthen the Network of Community Museums of the Americas.

2003

25,000.00

0.00 11/08/2004 N 11/10/2004 F

11/14/2005 N 11/22/2005 F

Statement 9.A Schedule 1 Page 13 of 60

PAYMENT S

YEAR

AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

NOTES

REPORTING STATUS

CREATIVITY & CULTURE

2002 CC 211
World Faiths Development Dialogue
Dolphin House
Wigginton
Banbury
Oxfordshire OX15 4JZ
England

Toward the costs of planning two convenings, to take place in 2003, which will lay the groundwork for engaging religious communities in poverty-reduction strategies in Africa.

2003

77,000.00 01/08/2004 F N 07/16/2004 F N 07/18/2005 F N



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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING STATUS

NOTES

FOOD SECURITY

2003 FS 011 African Agric

African Agricultural Technology Foundation c/o ILRI P.O. Box 30709 Old Naivasha Road Nairobi 00100 Kenya

Toward the costs of selecting, preparing and mobilizing resources for pilot projects that will facilitate public sector access to new agricultural technologies.

2003

1,000,000 00

06/22/2004 F N 12/04/2004 N

01/17/2005 F 07/18/2005 F N 10/14/2005 F N Complete

2003 FS 126

Asia - Pacific Association of Agricultural Research Institutions

FAO Regional Office for Asia & the Pacific 39 Maliwan Mansion Phra Atit Road Bangkok 10200

Thailand

To establish the Asia-Pacific Consortium on Agricultural Biotechnology (APCoAB), to harness the benefits of agricultural biotechnology for human and animal welfare, while safeguarding the environment and sustainable agricultural development in the Asia-Pacific region.

2005

30,000.00 0

02/06/2006 F N



AMOUNT PAID IN SPECIFIED

YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 15 of 60

> REPORTING STATUS

> > Complete

FOOD SECURITY

2003 FS 057 AT Uganda Limited Plot 1 Muwafu Road, Ntinda P.O. Box 8830 Kampala Uganda

Toward the costs of increasing access for poor farmers to improved seeds, chemical fertilizers and other farm equipment and supplies through a network of rural agricultural input suppliers

2004

PAYMENT

YEAR

100,000 00

06/28/2005 N 06/29/2005 F

02/07/2006 N 03/03/2006 F

2005 FS 055

CAMBIA *

Clunies Ross Street at Dickson Rd Black Mountain 2601 Australia

In support of research on the development of a novel gene transfer method for crop improvement that will bypass intellectual property constraints currently limiting application of this technology in subsistence crops

2005

250,000 00

02/17/2006 F 04/19/2006 N 07/17/2006 F N The grantee has accounted for \$247,795 69 through

NOTES

5/31/2006

2005 FS 039

Forum for Organic Resource Management and Agricultural Technologies

P O Box 79 Village Market 00621 Nairobi Kenya

Toward the costs of a website, www.africancrops.net, aimed at improving access to and sharing of scientific information among crop improvement scientists in sub-Saharan Africa.

2005

41,460.00

01/20/2006 F N 05/30/2006 F N



AMOUNT PAID IN SPECIFIED

YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 16 of 60

> REPORTING STATUS

NOTES

FOOD SECURITY

2005 FS 066

Forum for Organic Resource Management and Agricultural Technologies

P O Box 79 Village Market 00621 Nairobi Kenya

Toward the costs of promoting the adoption of promising soil management technologies in Kenya

2005

PAYMENT

YEAR

115,633 00

01/16/2006 F N 07/27/2006 F N Complete

2000 FS 161

Philippines

Infanta Integrated Community Development Assistance, Inc.

Bahay-Ugnayan Mabini St. Infanta Quezon 4336

To strengthen and document its more than twenty-years of community-based field work and to explore participatory approaches for agricultural innovation and diffusion.

2004

15,000.00 02/28/2006 F N

Complete

2004 FS 087

Kenya Agricultural Commodity Exchange Ltd.

2nd Floor, Brick Court Building Mpaka Road, Westlands P.O. Box 59142 Nairobi 00200 Kenya

For the development of market information and commodity exchange systems aimed at raising the incomes of poor farmers in western Kenya by linking them to input and output markets.

2004

359,756 00

08/04/2005 N 08/12/2005 F 12/15/2005 F N



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PAYMENT YEAR

AMOUNT PAID IN **SPECIFIED** YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING **STATUS**

FOOD SECURITY

2004 FS 033 Max Planck Society for the Advancement of Science Hofgartenstr. 8 Munich 80539 Germany

For use by its Max Planck Institute for Plant Breeding Research to conduct research, in collaboration with the Centro Internacional de Agricultura Tropical, to enhance the ability of breeders to improve cassava and tropical fruits by over-expression of known genes that allow breeders to control the timing and extent of flowering

53,500 00 2004

04/15/2005 F 05/04/2005 N 02/15/2006 F 04/12/2006 N The grantee has accounted for \$53,454.22 through 12/31/2005.

NOTES

2005

02/15/2006 F 04/12/2006 N The grantee has submitted an accounting through 12/31/2005 reporting \$0.00 expenditures against these

funds

2003 FS 136

Red de Estudios para el Desarrollo Rural, A.C. *

Km 65 carretera A.P. 592 C.P. 6800 Oaxaca de Juárez Oaxaca Mexico

> For a participatory review of the Foundation's Natural Resources Management Program in Mexico (1992-1999) and completion of several related publications.

2004

35,000 00

43,500.00

07/03/2005 F N 02/23/2006 F N



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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING STATUS

FOOD SECURITY

2004 FS 073

Regional Universities Forum for Capacity Building in Agriculture, Limited *

Plot 151, Garden Hill Makerere University Main Campus P.O. Box 7062 Kampala Uganda

For general support.

2005

2,760,000.00

07/15/2005 N 07/27/2005 F

06/26/2006 F N

The grantee has accounted for \$2,701,245.13 through

NOTES

5/31/2006.

2005 FS 033

Regional Universities Forum for Capacity Building in Agriculture, Limited *

Plot 151, Garden Hill

Makerere University Main Campus

P.O. Box 7062 Kampala

Uganda

In support of M.Sc. training in agricultural biotechnology for up to 10 students from East and southern Africa

2005

142,500 00

07/15/2006 F N

Complete

2005 FS 002

Research in Innovative and Appropriate Technology for Sustainable

Development

50, rue Goudronnee B. P. 608

Bangui

Central African Republic

Toward the costs of introducing the New Rice for Africa varieties in the Central African Republic.

2005

11,987 00

02/26/2006 N 06/24/2006 F

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PAYMENT YEAR AMOUNT DATE OF
PAID IN REPORT(S)
SPECIFIED RECEIVED
YEAR FROM GRANTEE

REPORTING STATUS

NOTES

FOOD SECURITY

2005 FS 023
Rothamsted Research Limited *
Harpenden
Herts AL5 2JQ
England

Toward the costs of an international conference entitled InterDrought-II, on using advances in breeding and the genetics of drought tolerance for crop improvement, held in Rome, Italy, September 2005.

2005

135,000.00

05/25/2006 N 05/26/2006 F Complete

2002 FS 151

Sustainable Agriculture Centre for Research and Development in Africa * Mucai Drive, off Ngong Road P.O. Box 8771
Nairobi 00200
Kenya

For the development and pilot-testing of a prototype cereal banking system for collective grain storage, bulking and marketing of maize by poor farmers in western Kenya.

2004

71,069 00 0

08/23/2004 F N 09/01/2005 F N

2005

9,965.67

09/01/2005 F N

Complete

Complete

2004 FS 024

Sustainable Agriculture Centre for Research and Development in Africa * Mucai Drive, off Ngong Road P.O. Box 8771
Nairobi 00200
Kenya

To continue on-farm testing of selected technologies for improved soil fertility management in western Kenya.

2005

102,785 00

05/02/2006 F N

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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING STATUS

FOOD SECURITY

2004 FS 078

Sustainable Agriculture Centre for Research and Development in Africa * Mucai Drive, off Ngong Road P.O. Box 8771 Nairobi 00200 Kenya

For the strategic testing, promotion and evaluation of new maize cultivars in western Kenya.

2005

117,998.00

02/08/2006 F N

Complete

2005 FS 051

Sustainable Agriculture Centre for Research and Development In Africa * Mucai Drive, off Ngong Road P.O. Box 8771

Nairobi 00200

Kenya

In support of research to evaluate the adaptability and seed production potential of the New Rice for Africa varieties in different agro-ecologies and socio-economic settings in western Kenya.

2005

58,225 00

01/18/2006 F N

The grantee has accounted for \$37,894 through 12/31/2005.

NOTES

2005 FS 065

Sustainable Agriculture Centre for Research and Development in Africa *

Mucai Drive, off Ngong Road P.O. Box 8771 Nairobi 00200

Kenya

In support of a cereal banking network for collective grain storage, bulking and marketing of maize by poor farmers in western Kenya.

2005

194,348.00

01/16/2006 F N 06/22/2006 F N



YEAR

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AMOUNT PAID IN **SPECIFIED PAYMENT**

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FOOD SECURITY

2004 FS 082 Vlaams Interuniversitair Instituut voor Biotechnologie Rijvisschestraat 120 Ghent B-9052 Belgium

Toward the costs of a project, in collaboration with Uganda's National Agricultural Research Organization, to increase banana productivity through genetic transformation to improve the architecture and development time of the East African Highland Banana

2005

17,640 00

01/31/2006 F 02/06/2006 N The grantee has accounted for \$12,169 through

12/31/2005.



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STATUS

PAYMENT

YEAR

AMOUNT PAID IN **SPECIFIED** YEAR

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REPORTING

GLOBAL ENVIRONMENT

RF 99010 #129 Leadership for Environment and Development International, Inc. * **Sundial House** 114 Kensington High Street London W8 4NP England

Toward the costs of its Fellows Program.

2000

2,000,000.00

12/01/2000 F N 12/01/2001 N 01/08/2002 F 02/26/2003 F N 02/23/2004 F N 02/01/2005 F

02/05/2005 N

The grantee has accounted for \$1,865,275 through 12/31/2005. A balance of \$134,725 is due to the Foundation; staff have followed up, most recently on

NOTES

10/3/2006

AMOUNT PAID IN SPECIFIED

YEAR

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> REPORTING STATUS

GLOBAL INCLUSION

2005 GI 009

Advocates Coalition for Development and Environment

Plot 96, Kanjokya Street P O. Box 29836 Kampala Uganda

Toward the costs of a project to examine national and global policy processes and how they can be implemented to reduce poverty, stimulate production and conserve genetic resources in rural Uganda, Kenya and Tanzania

2005

PAYMENT

YEAR

100,000.00 06/13/2006 F N

This grantee has accounted for \$68,627.95 through

NOTES

12/31/2005

2004 GI 042

African Technology Policy Studies Network *

P.O Box 10081-00100

Nairobi

Kenya

Toward the costs of a project that will support national and regional efforts to develop policies to manage agricultural biotechnology in sub-Saharan Africa.

2005

2005

125,000.00

02/06/2006 F 02/21/2006 N 10/06/2006 N

This grantee has accounted for \$92,276.09 through 12/31/2005 Further reports have been received and are

under review by staff.

2002 GI 026

Asociación Mexicana de Uniones de Crédito del Sector Social

Domicilio Actual de Asociacion Mexicana de Uniones de Credito del Sector Social, A.C Augusto Rodin No. 35 Col. Ampliacion Napoles Delg. Benito Juarez C.P. 03810

Mexico City

Toward the costs of its project to expand and consolidate access to banking services in transnational communities in Mexico and California.

50,000 00

08/26/2005 N 10/27/2005 F

01/31/2006 F 05/30/2006 N



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PAYMENT SP YEAR

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NOTES

GLOBAL INCLUSION

2004 GI 033

Association 3D-Trade-Human Rights-Equitable Economy Maison des Associations, Rue des Savoises 15

Geneva 1205

Switzerland

Toward the costs of a project that will use human rights rules and mechanisms to ensure access to affordable medicines in developing countries.

2004

75,000 00

06/01/2005 F N 06/29/2005 F N

10/25/2005 F

03/09/2006 F N

2002 GI 024

Britain Yearly Meeting

Friends House 173 Euston Road London NW1 2BJ England

Toward the costs of a program to support developing-country strategy development regarding intellectual property policies, particularly with respect to public health, traditional knowledge and food security

2004

75,000.00

05/20/2005 F N 04/24/2006 F

06/14/2006 N

Complete

Complete

2005 GI 019 CAMBIA *

Clunies Ross Street at Dickson Rd Black Mountain 2601 Australia

Toward the costs of a project to develop, promote, implement and validate a 2005 new model for managing intellectual property, stimulating innovation and delivering useful biological technologies based on the principles of open source, collaborative peer research and development.

837,500.00

500.00 02/17/2006 F 05/06/2006 N

05/06/2006 N 06/28/2006 F



| PAID IN REPORT(S) PAYMENT SPECIFIED RECEIVED REPORT YEAR YEAR FROM GRANTEE NOTES STATE PAYMENT SPECIFIED RECEIVED REPORT YEAR YEAR FROM GRANTEE NOTES |
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| |
| |
| |
| |
| 2004 60,000 00 05/23/2005 F N Comple |
| 02/17/2006 F N |
| 2005 40,000.00 02/17/2006 F N Comple |

| Toward the costs of a series of dialogues among consumer advocates and E.U. and U.S. policymakers, aimed at fostering a fairer system of |
|---|
| intellectual property rights to allow for the freer exchange of knowledge and ideas and the delivery of innovative and affordable products to the |
| marketplace. |

Toward the costs of a project to research and analyze the potential for unarmed monitoring missions as a tool for international intervention in

GLOBAL INCLUSION

114. Rue de Lausanne

Centre Henry Dunant pour le Dialogue Humanitaire

2004 GI 012

CH-1202 Geneva CH 1202 Switzerland

conflict.

2004 GI 020

Consumers International 24 Highbury Crescent London N5 1RX England

120,000.00

2004

05/19/2005 F 06/01/2005 N

02/07/2006 F N

2005 120,000 00 02/07/2006 F N 10/06/2006 F N Complete

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AMOUNT

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YEAR

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GLOBAL INCLUSION

2004 GI 053 Creators' Rights Alliance 215 Spadina Avenue c/o Playwrights Canada Press Suite 230 Toronto Ontario M5T 2C7

For the costs of a project to assist advocates for indigenous peoples to prepare for and participate in international meetings on intellectual property and the protection of traditional knowledge.

2004

50,000 00 05/03/2005 N

10/21/2005 F 11/10/2005 N Complete

2004 GI 061

Canada

Fafo Institute for Applied International Studies

Borggata 2B P.O.Box 2947 Tøyen 0608 Oslo Norway

> For use by its New Security Programme for the costs of writing, publishing and disseminating two articles on the nature and source of threats to human security.

2005

99.970 00

12/01/2005 F N 05/31/2006 F N Complete

2003 GI 041

Forum for Agricultural Research in Africa

c/o FAO Regional Office in Africa P.O. Box GP 1628

Accra

Ghana

Toward the costs of its African biosafety initiative to accelerate and improve the development and implementation of biosafety systems in sub-Saharan Africa.

2004

100,000 00

04/13/2005 F 04/23/2005 N 02/14/2006 F N

> **AMOUNT** PAID IN **SPECIFIED**

YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 27 of 60

> REPORTING **STATUS**

GLOBAL INCLUSION

2005 GI 016 **IP Watch Association** 1-5, Route des Morillons PO Box 2100-1211 Geneva 1211 Switzerland

Toward the costs of producing its Monthly Reporter, a newsletter which provides in-depth reporting on the factors that influence the design and implementation of intellectual property policies.

2005

PAYMENT

YEAR

100,000.00 05/02/2006 N

05/03/2006 F

Complete

Complete

2001 GI 092

Neelan Tiruchelvam Trust * 108/1 Rosmead Place Colombo 7 Sri Lanka

For general support of its mission to promote peace and the reconciliation of civil conflict throughout the world.

2002

75,000.00

12/30/2002 N 05/14/2004 F N 04/07/2005 F N

04/19/2006 F N

2003

75,000.00

04/19/2006 F N

The grantee has accounted for \$45,084 through

NOTES

03/31/2006



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> REPORTING **STATUS**

GLOBAL INCLUSION

2004 GI 003

Harare Zimbabwe

The Southern and Eastern African Trade Information and Negotiations Institute Trust * 20 Victoria Drive **Newlands**

For general support of its mission to strengthen the ability of African officials to negotiate on trade and development issues, and to develop research and teaching capacity in trade policy in African institutions.

2004

PAYMENT

YEAR

09/20/2004 N 150,000.00 12/09/2004 F 09/05/2005 F

The grantee has fully accounted for the funds, but has failed to respond to multiple attempts by Foundation staff to follow up on the final narrative report. The grantee was told by letter dated 4/11/2006 that no further funds would be provided.

NOTES



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NOTES

REPORTING STATUS

HEALTH EQUITY

2005 HE 005

Africa Health and Development International

Twaweza House Parklands road, Mpesi Lane P.O. Box 66782 Nairobi 00800 Kenya

For development of an East African learning network on strategies to help families cope with AIDS, linked to a similar effort in the Greater Mekong Sub-region.

2005

181,678.00

12/22/2005 F N

The grantee has accounted for \$136,037.56 through

12/31/2005

2005 HE 012

African Council for Sustainable Health Development

House B, Plot 722 Isiyaku Rabiu Estate Wuse II Abuja Nigeria

Toward the costs of bringing African representatives from outside of Nigeria to a meeting on strengthening human resources for health in sub-Saharan Africa, held in Abuja, Nigeria, February 2005

2005

13,854.00

05/06/2005 F 06/19/2005 N Complete

2002 HE 090

Biomedical Research and Training Institute

P.O. Box CY 1753, Causeway

Harare

Zimbabwe

To assess the risk of tuberculosis infection among nurses, and the causes of chronic cough among patients attending health care clinics in Harare, Zimbabwe.

2004

13,508.00

02/08/2005 F N 03/29/2006 F N



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NOTES

HEALTH EQUITY

2002 HE 090
Biomedical Research and Training Institute
P.O. Box CY 1753, Causeway
Harare
Zimbabwe

| | 2005 | 15,092 00 | 03/29/2006 F N | Complete |
|---|------|-----------|----------------------------------|----------|
| 2003 HE 087 Burkina Faso Association for Family Well-Being * 01 B.P. 535 Ouagadougou Burkina Faso | | | | |
| To complete a project designed to improve the reproductive health of young people in the Ouahigouya zone of Burkina Faso that includes partnerships with existing health clinics and innovative communication strategies. | 2003 | 78,537.00 | 03/24/2004 F N 01/03/2005 F N | Complete |
| | 2004 | 25,000.00 | 01/03/2005 F N | Complete |
| | 2005 | 26,983.00 | 10/31/2005 N 11/14/2005 F | Complete |



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Complete

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HEALTH EQUITY

2003 HE 046 Centre for Health, Science and Social Research P O. Box 320168 Woodlands Lusaka Zambia

| For continued support | of research t | to strengthen cn | oss-border disease |
|------------------------|----------------|------------------|--------------------|
| prevention, control an | d surveillance | e programs in so | outhern Africa. |

| 2004 | 49,980.00 | 02/28/2005 N |
|------|-----------|--------------|
| | , | 03/03/2005 F |
| | | 02/20/2006 E |

The grantee has accounted for \$40,896 57 through 12/31/2005.

NOTES

02/20/2006 F N 2005 23,065.00

The grantee has submitted an accounting through 12/31/2005 reporting \$0 00 expenditures against these funds.

2002 HE 096

Centre for the Management of IP in Health R & D * Oxford Centre for Innovation Mill Street

Oxford OX2 OJX

England

In general support of its efforts to help the international public health sector manage intellectual property in health research and development, and thereby improve access to health technologies for poor people in developing countries.

04/18/2005 F N 2004 750.000.00

Complete

01/20/2006 F N 2005 250,000.00

YEAR

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REPORTING **STATUS**

HEALTH EQUITY

2004 HE 028 Centre for the Management of IP in Health R & D * Oxford Centre for Innovation Mill Street Oxford OX2 OJX

For a project in collaboration with research institutes in India, South Africa and Thailand to build local capacity in India, East Africa and Southeast Asia to manage innovation in public-private partnerships to develop new health technologies.

2004

360,000,00

05/09/2005 F N

The grantee has accounted for \$315,870.14 through 12/31/2005. A financial report due shortly after 3/31/2006 remains outstanding Staff have followed up several times, most recently in October 2006.

2004 HE 050

England

Centre for the Management of IP in Health R & D * Oxford Centre for Innovation Mill Street Oxford OX2 OJX England

For collaboration with Public Intellectual Property Resource for Agriculture to improve the management of public sector technologies and promote product development of products for the poor in developing countries.

2004

300,000.00

05/05/2005 F N

The grantee has accounted for \$215,504 28 through 12/31/2005

2005 HE 038

Centre for the Management of IP in Health R & D * Oxford Centre for Innovation Mill Street Oxford OX2 OJX England

For activities in collaboration with the Association of University Technology Managers, a U.S.-Canadian professional society, to improve the management of public sector technologies and promote the development of health products for poor people in developing countries.

2005

100.000.00

01/18/2006 F 01/19/2006 N



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HEALTH EQUITY

2003 HE 067 Consultation of Investment in Health Promotion 108 A12 Alley 4/15 Phuong Mai Street Hanoi Vietnam

| To enhance the capacity of local researchers to analyze, publish and | |
|--|--|
| disseminate research findings on gender and sexual health in Vietnam | |

2004 67,650.00 02/17/2005 F N

The grantee has accounted for \$50,903 00 through

NOTES

12/31/2005. 01/15/2006 F N

2005 67,618 00 01/15/2006 F N The grantee has submitted an accounting through 12/31/2005 reporting \$0.00 expenditures against these

funds.

2005 HE 014

Gynuity Health Projects 15 East 26th Street #1617 New York, New York 10010 **United States**

Toward the costs of a meeting on possible links between hormonal contraception and HIV transmission, held at the New York Academy of Sciences, May 2005.

2005

45,000.00

12/19/2005 F N



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NOTES

HEALTH EQUITY

2003 HE 078
Health Systems Trust
1st Floor Riverside Centre
comer of Belmont & Main Road
Rondebosch 7700
South Africa

Toward the costs of six country-level studies in the Global Equity Gauge Alliance project, which monitors health inequalities within developing countries, and promotes action to reduce unfair disparities in health.

2004

550,000 00

09/23/2004 F N 10/12/2005 N

02/28/2006 N 05/29/2006 F F Complete

2004 HE 036

Health Systems Trust
1st Floor Riverside Centre
corner of Belmont & Main Road
Rondebosch 7700
South Africa

Toward the costs of three urban projects of its Global Equity Gauge Alliance, which promotes action to redress unfair disparities in health within developing countries. 2004

2005

50,000 00

09/29/2005 N 07/03/2006 F

45,000.00

09/29/2005 N 07/03/2006 F ____

Complete



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HEALTH EQUITY

2002 HE 047
IbnSIna
Daramsal Substreet
Opposite of Ghazi Ayob Khan School
Karti Parwan- Khair Khana Main Road
Kabul
Afghanistan

Toward the costs of a training program in public health to increase the number of female health care workers in Afghanistan, especially in rural communities.

2005

46,485 00 02/26/2005 F N 09/13/2005 F N Complete

2000 HE 042

INCLEN Trust International, Inc. *

Room 3063, 3rd Floor Department of Pediatrics All India Institute of Medical Sciences Ansari Nagar New Delhi 110029 India

For general support

2000 1,000,000.00 11/30/2001 N 07/25/2002 F F N 07/25/2003 F N 07/29/2004 F N 07/27/2005 N 07/28/2005 F

2002 700,000 00 07/27/2005 N 07/28/2005 F 02/22/2006 F N

2003 300,000.00 02/22/2006 F N

Complete

Complete

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NOTES

HEALTH EQUITY

2001 HE 111
Joint Clinical Research Centre *
Plot 893 Ring Road
Butikiro House - Mengo
P.O. Box 10005
Kampala
Uganda

Toward the cost of its African Dialogue on AIDS Care program that promotes research on HIV/AIDS care and treatment in sub-Saharan Africa.

2004

172,420 00 0

02/11/2005 F N 02/08/2006 F 03/03/2006 N

Complete

2005 HE 035

Khemara

Ottara Vatei Pagoda, National Road # 5
Russey Keo District
Mittapheap Village
PO Box No. 1250
Phnom Penh
Cambodia

Toward the costs of developing a community-based model that addresses the continuum of needs among HIV-affected households in urban

2005

58,358 00

02/23/2006 F N 09/08/2006 F The grantee has accounted for \$50,682 99 through

6/30/2006

2004 HE 044

Cambodia.

Massive Effort Campaign

Route de Cite - Ouest 2 Gland 1196

Switzerland

In support of its efforts to develop the human resources needed to mobilize societies against AIDS, TB, malaria and other diseases of poverty

2004

100,000.00

Reports due shortly after 12/31/2004 and 6/30/2005 remain outstanding Staff have followed up five times, most recently on 5/8/2006. Massive Effort Campaign is no longer in existence, accordingly, no further funds will be provided.



AMOUNT PAID IN SPECIFIED

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NOTES

HEALTH EQUITY

2005 HE 008

Population Communication Africa Trust
PO Box 39002

Nairobi

Kenya

For the planning phase of studies designed to examine the usefulness of a nutritional supplement taken by many people living with AIDS in sub-Saharan Africa.

2005

PAYMENT

YEAR

96,000 00

07/01/2005 F N 01/31/2006 F N Complete

2003 HE 104

Southeast Asian Ministers of Education Organization Tropmed Central Office 420/6 Rajvithi Road Bangkok 10400 Thailand

For use by its Regional Tropical Medicine and Public Health Network to explore the potential for using Geographic Information Systems to inform disease prevention and control programs in the Greater Mekong Sub-region

2004

94,500.00

09/15/2004 F N 01/25/2005 F N 10/03/2005 F 10/31/2005 N Complete

2003 HE 063

Stichting Health Action International Foundation Jacob van Lennepkade 334 T

Amsterdam 1053 NJ

Netherlands

To improve the market transparency of pharmaceutical prices and policy responses to enhance affordable access to essential drugs in developing countries.

2004

107,333 00

02/13/2004 F N 01/20/2005 N 02/03/2005 F 01/26/2006 F N



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HEALTH EQUITY

2003 HE 063
Stichting Health Action International Foundation
Jacob van Lennepkade 334 T
Amsterdam 1053 NJ
Netherlands

2005 42,667 00 01/26/2006 F N Complete 08/25/2006 F N

2005 HE 011
The Wellcome Trust Limited
215 Euston Road
London NW1 2BE
England

Toward the costs of a meeting on bioethics in research that is focused on the post-clinical trial obligations of researchers and sponsors, held in Malawi in March 2005.

2005

35,000.00

08/11/2005 N 09/19/2005 F Complete

2005 HE 046

Trust for Indigenous Culture and Health ACS Plaza, 3rd floor, Lenana Road P.O. Box 677 - 00502 Nairobi Kenya

For activities designed to broaden AIDS treatment options for people in sub-Saharan Africa.

2005

97,500.00

08/09/2006 F N

The grantee has accounted for \$47,802.00 through 7/31/2006

NOTES



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> > Complete

NOTES

HEALTH EQUITY

2005 HE 043
Urban Sector Group
#61 Street 155
Sangkat Tuol Tumpung I
Khan chamcar Morn
Phnom Penh
Cambodia

Toward the costs of demonstrating, with partners, a model of integrated health services, financing and community empowerment programs targeting poor households vulnerable to HIV in the urban slums of Phnom Penh.

2005

PAYMENT

YEAR

49,690 00

01/09/2006 F 01/19/2006 N

08/14/2006 F 08/23/2006 N

2003 HE 055

Women's Health Advocacy Foundation 12/22 Tessaban-songkroh Road Ladyao, Jatujak

Bangkok 10900

Thailand

To raise media professionals' awareness of gender issues in sexual and reproductive health.

2005

49,530 00

08/15/2005 F N 03/14/2006 F N

Complete

2005 HE 048

Women's Health Advocacy Foundation 12/22 Tessaban-songkroh Road Ladyao, Jatujak

Bangkok 10900

Thailand

In continued support of its efforts to strengthen media professionals' reporting of sexual and reproductive health issues, especially as they relate to gender inequality, partner relations and HtV/AIDS.

2005

43,765.00



YEAR

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HEALTH SCIENCES

RF 99052 #3
Institute of Policy Studies of Sri Lanka
99 St. Michael's Road
Colombo 3
Sri Lanka

| As an International Health Research Award to support a collaborative |
|--|
| partnership to strengthen health systems reform in the Asia-Pacific region |
| within the National Health Accounts framework. |

| 2002 | 32,426.00 | 05/11/2004 F 06/27/2004 N 03/21/2005 N 12/19/2005 F | The grantee has accounted for \$26,454 through 12/31/2004. Staff have received financial and narrative reports that are currently under review |
|------|-----------|--|---|
| 2003 | 22,080.00 | 03/21/2005 N 12/19/2005 F | The grantee has submitted accountings through 12/31/2004 reporting \$0.00 expenditures against these funds. (See note above in reference to 2002 expenditure) |
| 2004 | 25,000.00 | 03/21/2005 N 12/19/2005 F | (See note above in reference to 2002 expenditure.) |



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NORTH AMERICA REGIONAL PROGRAM

2004 NA 009

Grupo Interdisciplinario sobre Mujer, Trabajo y Pobreza, A.C. Hilario Pérez de León #80 Col. Niños Héroes de Chapultepec Mexico City Mexico

Toward the costs of a competitive research program to investigate the impact of remittances from family members in the United States on indigenous women living in poverty in Mexico.

2004

50,000 00 05/25/2005 F N

12/06/2005 F 12/31/2005 F N Complete

2003 NA 015

Red de Comunicadores Boca de Polen, A.C. Calzada Roberta No. 36 Col 31 de marzo, San Cristóbal Las Casas Chiapas Mexico

Toward the costs of an educational kit about the links among international trade, sustainable agriculture, local knowledge and migration, to be distributed to indigenous and peasants' organizations in Mexico and Central America.

2004

10,500 00

05/25/2004 F N 10/31/2005 F N 12/31/2005 F N 05/02/2006 F All funds have been accounted for. However, the final narrative report due shortly after 4/30/2006, remains outstanding. Staff have followed up four times, most

recently on 9/14/2006.



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NORTH AMERICA REGIONAL PROGRAM

2004 NA 004
Red Internacional de Migracion y Desarrollo
Apartado Postal 3-138
Zacatecas 98064
Mexico

In support of a project to generate a knowledge platform to better understand the dynamics of transnational communities resulting from massive migration from Mexico to the U.S.

2004 152,500 00 06/07/2005 F N 03/13/2006 N

03/15/2006 F 03/31/2006 N 05/02/2006 F The grantee has accounted for \$149,076 46 through

NOTES

12/31/2005

97,500.00

The grantee has submitted an accounting through 12/31/2005 reporting \$0.00 expenditures against these

funds

2005 NA 003

Red Internacional de Migracion y Desarrollo

Apartado Postal 3-138 Zacatecas 98064 Mexico

Toward the costs of research, international exchanges and knowledge dissemination to inform policies and the link between migration and development in countries with high emigration.

2005

2005

40,000 00

11/07/2005 N 01/31/2006 F The grantee has accounted for \$23,502 50 through

12/31/2005.

THE ROCKEFELLER FOUNDATION
Tax Identification Number 13-1659629

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NOTES

NORTH AMERICA REGIONAL PROGRAM

2004 NA 023

U.S.-Mexico Foundation for Culture, Inc. *
c/o Grant, Hermann, Schwartz & Klinger LLP
675 Third Avenue, Suite 1200
New York, New York 10017
United States

Toward the costs of establishing a plastic arts community workshop in San Francisco Cajonos, in the state of Oaxaca, Mexico, to strengthen that transnational community's cultural identity.

2005

PAYMENT

YEAR

45,000 00 03/02/2006 F N 07/05/2006 F N



AMOUNT

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SPECIFIED

YEAR

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PAYMENT YEAR

DATE OF

REPORT(S) RECEIVED FROM GRANTEE

REPORTING **STATUS**

SOUTHEAST ASIA REGIONAL PROGRAM

2004 SE 009 AIDS Society of the Philippines, Inc. * **OTM Building** No. 71 Scout Tuazon Street South Triangle 1103 Quezon City Manila 1004 **Philippines**

Toward the costs of publishing and disseminating at the XV International AIDS Conference, to be held in Bangkok, July 2004, the results of a study of the role of the media in HIV/AIDS prevention and control in Cambodia, Indonesia, Lao PDR, the Philippines, Thailand and Vietnam.

2004

12/23/2004 N 85,730 00

01/11/2005 F 08/31/2005 F N 02/28/2006 F N

2004 SE 010

Cambodian Women for Peace and Development Association

#23, St. 47 Sangkat Sras Chak Khan Daun Penh Phnom Penh Cambodia

> For the continuation of an experimental program to strengthen inter-country health care and social support systems for Cambodian workers migrating to Thailand.

2004

90,176.00

05/04/2005 N 08/11/2005 F

01/30/2006 N 03/09/2006 F

2005

51,025.00

01/30/2006 N 03/09/2006 F

09/25/2006 F 09/28/2006 N

NOTES

Complete

Complete



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PAYMENT YEAR

AMOUNT DATE OF REPORT(S) PAID IN **SPECIFIED** RECEIVED FROM GRANTEE YEAR

NOTES

REPORTING **STATUS**

SOUTHEAST ASIA REGIONAL PROGRAM

2005 SE 044 **Center for Advanced Study** #22. Street 592 Sangkat Boeung Kak II Khan Tuol Kork

Phnom Penh

Cambodia

In support of research to assess changes over the last decade in the social and cultural situation of ethnic communities in Cambodia, building on earlier studies.

2005

71,300.00

2004 SE 036

Center for Community Health and Development 127 Lo Duc Street

Hanoi Vietnam

> For the costs of a formative research project designed to develop a multisectoral program to reduce HIV/AIDS vulnerability among ethnic groups in Lang Son Province, northern Vietnam.

2004

01/30/2005 F N 98,920.00 11/30/2005 F N Complete

2005 SE 042

Center for Community Health and Development

127 Lo Duc Street

Hanoi

Vietnam

In support of the second phase of a project to develop a multisectoral program to reduce HIV/AIDS vulnerability among ethnic and mobile populations in Lang Son Province, northern Vietnam.

2005

104,650.00

01/24/2006 F N

The grantee has accounted for \$4,767 through 12/31/2005.



YEAR

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AMOUNT PAID IN **SPECIFIED**

PAYMENT

YEAR

DATE OF REPORT(S) RECEIVED FROM GRANTEE

NOTES

REPORTING **STATUS**

SOUTHEAST ASIA REGIONAL PROGRAM

2004 SE 044

Center for Sustainable Development in Mountainous Areas No. 8 Ngo 198 Le Trong Tan Khuong Mai, Thanh Xuan Hanoi Vietnam

Toward the costs of the IV Mainland Montane Southeast Asia Conference on the preservation of indigenous knowledge, natural resources and poverty reduction in the uplands of the Greater Mekong Sub-region, to be held in Sapa, Vietnam, May 2005.

2005

30.115 00 07/15/2005 F N

Complete

2005 SE 017

Center for Sustainable Development in Mountainous Areas No. 8 Ngo 198 Le Trong Tan Khuong Mai, Thanh Xuan Hanoi

Vietnam

In support of a project aiming to strengthen agricultural and veterinary extension services in upland communities that border Vietnam, the Lao PDR and the Yunnan Province of China, in order to improve agricultural practices and enhance control of animal epidemics, especially Avian Flu.

2005 60,000 00 12/30/2005 N 01/16/2006 F

The grantee has accounted for \$19,182 11 through

12/31/2005.



AMOUNT PAID IN

DATE OF REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 47 of 60

> REPORTING STATUS

PAYMENT YEAR

SPECIFIED YEAR

NOTES

SOUTHEAST ASIA REGIONAL PROGRAM

2005 SE 016

Centre for Research and Development of Ethnomedicinal Plants 9-Vu Huu Loi St.

Hanoi

Vietnam

In support of a project to introduce experimental models for marketing local products thereby increasing the income level of selected upland communities in border areas of Vietnam. Lao PDR and Yunnan Province. China.

2005

27,300 00

02/15/2006 F 03/02/2006 N The grantee has accounted for \$18,476.55 through

12/31/2005

2002 SE 012

China Council for International Cooperation on Environment and **Development**

c/o Simon Fraser University 515 West Hastings Street Vancouver V6B 5fK3

Canada

To support a series of study visits by selected mid-career Myanmar experts to China to participate in the meetings of the China Council Task Forces focusing on environment, biodiversity and development.

2002

10/16/2003 N 22,400 00 10/20/2003 F

03/26/2004 F 09/20/2004 F N 05/13/2005 F 06/21/2005 N 03/28/2006 F N



AMOUNT PAID IN

DATE OF REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 48 of 60

> REPORTING STATUS

PAYMENT YEAR SPECIFIED RE
YEAR FROM

SOUTHEAST ASIA REGIONAL PROGRAM

2004 SE 048
EMPOWER Foundation
Concrete House
57/60 Tivanond Road
Nonthaburi 11000
Thailand

In support of: (1) the participation of Southeast Asian artists in the sixth "Asiatopia Performance Art Festival," (2) research on performance art in Southeast Asia and (3) a workshop to assess the past and future of performance art in the region.

2004

50,000.00 04/09/2005 N 04/28/2005 F

01/26/2006 F N

Complete

2005 SE 011

EMPOWER Foundation

Concrete House 57/60 Tivanond Road Nonthaburi 11000 Thailand

In support of a project to enable cross-border sharing of strategies and approaches to reduce vulnerability and HIV risk among ethnic and mobile women in emerging entertainment settings in Yunnan Province of China and Lao PDR.

2005

49,885 00

03/22/2006 F N

The grantee has accounted for \$12,579 99 through

NOTES

12/31/2005.

2005 SE 013

Federation of Family Planning Associations, Malaysia

81-B, Jalan SS 15/5A 47500 Subang Jaya Selangor Darul Ehsan Malaysia

Toward the costs of participants from the Greater Mekong Sub-region in, and of other activities in connection with, the Third Asia Pacific Conference on Reproductive and Sexual Health, held in Malaysia, November 2005.

2005

100,000.00

03/31/2005 N 03/31/2006 F N



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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

REPORTING STATUS

SOUTHEAST ASIA REGIONAL PROGRAM

2005 SE 005 Institute for Social Development Studies Suite 906, Building 17 T5 Trung Hoa - Nhan Chinh Tran Duy Hung Road Hanoi

In support of a project to enhance knowledge and public awareness of the social protection needs of migrant workers in and from Vietnam through studies, publications, workshops and educational campaigns.

2005

49.940.00

01/09/2006 F N

The grantee has accounted for \$11,654.37 through 12/31/2005

2004 SE 003

Khemara

Vietnam

Ottara Vatei Pagoda, National Road # 5 Russey Keo District Mittapheap Village PO Box No. 1250 Phnom Penh Cambodia

To expand a model that integrates gender concerns into the provision of AIDS and sexual health education and services among marginalized communities in Phnom Penh, Cambodia.

2004

73,942 00

02/11/2005 F N 05/23/2005 F N

02/23/2006 F N

2005 73,942 00

02/23/2006 F N 07/11/2006 F N Complete

THE ROCKEFELLER FOUNDATION Tax Identification Number 13-1659629

> **AMOUNT** PAID IN

DATE OF REPORT(S) **RECEIVED** FROM GRANTEE Statement 9.A Schedule 1 Page 50 of 60

> REPORTING **STATUS**

PAYMENT YEAR

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NOTES

SOUTHEAST ASIA REGIONAL PROGRAM

2004 SE 031 **Mekong Institute Foundation** Khon Ken University Khon Kaen 40002 Thailand

For the costs of holding a series of policy summits and preparing the findings for decision makers of the Greater Mekong Sub-region.

2005

169,402 00

01/31/2006 F 03/16/2006 N The grantee has accounted for \$14,965.66 through

12/31/2005.

2005 SE 008

Mirror Foundation 160 Moo 1 Huaykhom Village Maevao Sub-district **Muang District** Chiangrai 57000 Thailand

In support of its project, the Virtual Hilltribe Museum, and of related research and documentary and media activities to encourage better public understanding of ethnic minority groups in the uplands of northern Thailand and the challenges these groups face.

2005

75,000 00

01/19/2006 F N

The grantee has accounted for \$65,302 94 through

12/31/2005.

2003 SE 007

Pattanarak Foundation *

49/83 KC Suwintawong Lampakchi, Nongjok Bangkok 10530 Thailand

To develop experimental models to improve the health of marginalized cross-border ethnic communities in Kanchanaburi, Thailand.

2004

50,100 00

02/14/2005 F N

05/24/2005 F N

01/19/2006 F N



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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

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SOUTHEAST ASIA REGIONAL PROGRAM

2004 SE 004
Pattanarak Foundation *
49/83 KC Suwintawong
Lampakchi, Nongjok
Bangkok 10530
Thailand

To develop experimental models to improve the health of marginalized cross-border communities in Kongchiam, Thailand, and KongXedone, Lao PDR.

2004

40,800.00

40.800.00

02/14/2005 F N 05/24/2005 F N

01/18/2006 N 02/10/2006 F

2005

01/18/2006 N 02/10/2006 F

06/01/2006 F 06/07/2006 N Complete

Complete

2005 SE 015

Pattanarak Foundation * 49/83 KC Suwintawong Lampakchi, Nongjok Bangkok 10530 Thailand

For continued support for a project to develop experimental models to improve the health and livelihoods of marginalized cross-border ethnic communities in Kanchanaburi, Thailand

2005

62,500 00

0 01/18/2006 F N

06/07/2006 F N

The grantee has accounted for \$60,936.24 through

NOTES

4/30/2006



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SOUTHEAST ASIA REGIONAL PROGRAM

2005 SE 007

Probe Media Foundation, Inc. *
13 Matipid Street
Sikatuna Village
Diliman, 1101
Quezon City
Philippines

Toward the costs of Imaging Our Mekong, a joint media fellowship program with the IPS Inter Press Service International Association, designed to address cross-border and cross-cultural issues in the Greater Mekong Sub-region

2005

81,928 00

03/20/2006 N 03/21/2006 F The grantee has accounted for \$73,932 36 through

NOTES

12/31/2005.

2004 SE 030

Royal Project Foundation

65 Suthep Road Chiang Mai 50200

Thailand

Toward the costs of its International Symposium on Sustainable Highland Development and Networking, to be held in Chiang Mai, Thailand, December 2004.

2004

10,000 00

09/30/2005 F N

The grantee has accounted for \$6,302.00 through

9/30/2005

2005

10,000.00 09/30/2005 F N

The grantee has submitted an accounting through 9/30/2005 reporting \$0.00 expenditures against these

funds



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PAYMENT YEAR AMOUNT PAID IN SPECIFIED YEAR DATE OF REPORT(S) RECEIVED FROM GRANTEE

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SOUTHEAST ASIA REGIONAL PROGRAM

2002 SE 013
SEASREP Council, Inc. *
20F Escaler Street
Loyola Heights
Quezon City 1108
Philippines

To support an examination of the "Mekong region" as a socio-cultural construct by reviewing relevant literature and the production of an anthology of original writings from a multi-disciplinary perspective.

2004

55,567.00

11/08/2004 F N 02/23/2005 F N 04/12/2006 F N

3/31/2006

The grantee has accounted for \$44,622 08 through

2003 SE 020

Slam Society Under Royal Patronage 131 Soi 21 (Asoke) Sukhumvit Rd. Bangkok 10110 Thailand

To support a series of cultural performances by ethnic groups from Mekong countries now residing in Thailand, thus promoting understanding of the close linkages among the various ethnic identities in the region

2003

50.000 00

02/16/2005 F N 04/08/2005 F N 01/20/2006 F N

09/22/2006 F N

Complete

2004 SE 047

Silkworm Books

6 Sukkasem Road Suthep, Muang Chiang Mai 50200

Thailand

In support of the establishment of a non-profit publishing mechanism to promote the production and dissemination of writing and scholarship on the Mekong sub-region by writers from the region.

2004

84,035.00

03/03/2006 N 03/06/2006 F The grantee has accounted for \$27,958 54 through

12/31/2005.



AMOUNT

PAID IN

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SOUTHEAST ASIA REGIONAL PROGRAM

2005 SE 014

Southeast Asian Ministers of Education Organization

Tropmed Central Office 420/6 Rajvithi Road Bangkok 10400 Thailand

For use by its Regional Tropical Medicine and Public Health Network to develop technical and analytic capacity of health professionals in border health issues in order to strengthen regional disease prevention and control programs in the Greater Mekong Sub-region.

2005

159,600 00 07/13/2006 F N

The grantee has accounted for \$79,730.82 through 6/30/2006.

NOTES

2003 SE 028

STDs/HIV/AIDS Prevention Center

90B - Nui Truc Lane Giang Van Minh Street Ba Dınh District Hanoi Vietnam

To support its project to reduce the vulnerability and strengthen the health and social support systems of ethnic minority communities in the Vietnam-Lao PDR border area, especially in relation to HIV/AIDS.

2004

48,162 00 10/17/2005 F N 03/01/2006 F N Complete

2005 SE 041

Vietnam

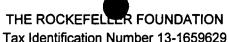
STDs/HIV/AIDS Prevention Center

90B - Nui Truc Lane Giang Van Minh Street Ba Dinh District Hanoi

In support of phase II of its project to reduce the vulnerability and strengthen the health and social support systems of ethnic minority communities in the Vietnam-Lao PDR border area, especially in relation to HIV/AIDS.

2005

99,800 00



| | l ax Identi | • | Statement 9.A Schedule 1 | | |
|---|-----------------|--|--|-------|----------------------------------|
| | PAYMENT YEAR | AMOUNT PAID IN SPECIFIED YEAR | DATE OF REPORT(S) RECEIVED FROM GRANTEE | NOTES | Page 55 of 60 REPORTING STATUS |
| SOUTHEAST ASIA REGIONAL PROGRAM | | | | | |
| 2004 SE 027 Sustainable Development eLearning Network 4415 Pearl Street Eugene, Oregon 97405 United States | | | | | |
| In support of its project to develop and deploy a web-based resource to promote learning and sustainable agriculture in the Greater Mekong Sub-region. | 2004 | 12,500.00 | 01/10/2005 F N 02/16/2006 F N | | Complete |
| | 2005 | 37,500.00 | 02/16/2006 F N | • | Complete |
| 2003 SE 033 Top Production House PO Box 7405 Vientiane Lao PDR | | - | | | |
| Toward the production costs of "Growing-up on the Mekong," a series of television episodes to inform Lao youth about emerging socio-cultural trends in the Greater Mekong Sub-region. | 2004 | 71,920 00 | 07/01/2004 F N 11/23/2004 F N 06/30/2005 F N | | Complete |

3/31/2006.

The grantee has accounted for \$3,291 93 through

10/06/2005 N 10/07/2005 F 08/30/2006 N 09/15/2006 F

08/30/2006 N

09/15/2006 F

23,970.00

2005



AMOUNT PAID IN SPECIFIED

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SOUTHEAST ASIA REGIONAL PROGRAM

2004 SE 006
Visiting Arts
Bloomsbury House
74-44 Great Russell Street
London WC1B 3DA
England

In support of a project to research and develop cultural profiles of Vietnam, Cambodia and Lao PDR, and to train local personnel in research methodology and editorial work.

2004

PAYMENT

YEAR

119,800.00

05/27/2005 N 07/29/2005 F 05/23/2006 F N The grantee has accounted for \$87,883 20 through

NOTES

3/31/2006.

2005 SE 023

Women's Media Centre of Cambodia #30, Street 488 Sangkat Phsar Demthkov Khan Chamcar Mom Phnom Penh Cambodia

Toward the costs of the development, production and dissemination of a series of documentary films on the lives of women in ethnic minority communities in Cambodia

2005

118,090 00

01/19/2006 N 01/25/2006 F The grantee has accounted for \$2,573 09 through 12/31/2005.

THE ROCKEFELLER FOUNDATION Tax Identification Number 13-1659629

YEAR

AMOUNT DATE OF PAID IN **SPECIFIED**

REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 57 of 60

> REPORTING STATUS

NOTES

SPECIAL PROGRAMS

2001 SP 203 **Charities Ald Foundation** Kings Hill West Malling, Kent ME19 4TA England

For a project organized by its New Delhi office concerning new mechanisms 2005 to encourage Indians living in the United States to assist charitable organizations within India that work for social and economic development.

PAYMENT

YEAR

06/02/2005 F 213.00 06/30/2005 N



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PAYMENT YEAR

AMOUNT DATE OF
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NOTES

REPORTING STATUS

WORKING COMMUNITIES

2004 WC 105
Abt Associates Inc.
55 Wheeler Street
Cambridge, Massachusetts 02138-1168
United States

In support of an evaluation of the federal housing voucher program to learn how low-income families' lives are changed when housing becomes more affordable

2004

150,000.00

06/10/2005 F N 05/22/2006 F N

Complete

2004 WC 083

Association of Community Organizations for Reform Now 2-4 Nevins Street Brooklyn, New York 11217 United States

For use by its New York affiliate for an initiative to encourage developers to increase construction of affordable housing in low-income New York City neighborhoods.

2005

25,000 00

05/01/2006 F N

Complete

2002 WC 096

Basic Income European Network

4 Route des Morillons 1211

Geneva 22

Switzerland

Toward the costs of its annual international conference, which this year is focusing on "Income Security as a Right"

2002

30,000 00

05/19/2003 F N

The grantee has accounted for \$29,669.00 through 11/30/2002. A refund from the grantee in the amount of \$331.00 has been requested, and staff have followed up on two occasions, most recently on 10/26/2006.



AMOUNT PAID IN DATE OF REPORT(S) RECEIVED FROM GRANTEE Statement 9.A Schedule 1 Page 59 of 60

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PAYMENT YEAR SPECIFIED YEAR

NOTES

WORKING COMMUNITIES

2005 WC 019 CEOs for Citles 177 N. State Street Suite 500 Chicago, Illinois 60601 United States

Toward further investigation and dissemination of the findings of its Changing Dynamics of Urban America project, which aims to keep cities economically competitive and elevate urban issues in national policy debates.

2005

250,000 00 03/01/2006 N

Staff have raised questions about financial reports submitted 5/5/2006 and 10/20/2006. A narrative report submitted 10/13/2006 is still under review by staff.

2005 WC 105

Jacobs Center for Neighborhood Innovation * 5160 Federal Boulevard
San Diego, California 92105-5429
United States

Toward the costs of evaluating the community ownership strategy for its project, Market Creek Plaza, a community complex planned, designed, and built with and for low-income residents in a distressed neighborhood of San Diego, California.

2005

45,000 00

10/05/2006 N 10/16/2006 F

THE ROCKEFELLER FOUNDATION Tax Identification Number 13-1659629

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AMOUNT PAID IN **SPECIFIED PAYMENT** YEAR

YEAR

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NOTES

REPORTING STATUS

WORKING COMMUNITIES

2005 WC 001 The California Endowment * 1000 N. Alameda Street Los Angeles, California 90012 **United States**

In support of the second phase of its California Works for Better Health project, which is designed to improve the health and economic opportunity of residents of the Fresno, Los Angeles, Sacramento and San Diego, California regions.

2005

2,000,000.00

12/22/2005 N 02/01/2006 N 02/14/2006 F 06/13/2006 F

THE ROCKEFELLER FOUNDATION

Identification Number 13-1659629

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GRANTS TO INDIVIDUALS (Other Than General Fellowships and Other Grants to Organizations Earmarked)

2005 PAYMENTS

AFRICA REGIONAL PROGRAM

2001 AR 057

Amos Enock Majule

6,000.00

Institute of Resources Assessment University of Dar es Salaam P.O Box 35097

Dar es Salaam, Tanzania

to enable him to conduct postdoctoral research at the University of Dar es Salaam on restoring soil fertility in cashew producing areas of Southern Tanzania

2001 AR 056

David Obura

24,800 00

Coral Reef Degradation in the Indian Ocean P O Box 10135

Mombasa, Kenya

to enable him to conduct postdoctoral research with the Coral Reef Degradation in the Indian Ocean program, on the use of participatory monitoring and research as ways of enhancing conservation of coastal resources in Kenya

2001 AR 033

Thomas F Nyaki Thoruwa

6,000 00

Appropriate Technology Centre Kenyatta University P O Box 43844 Nairobi, Kenya

> to enable him to conduct postdoctoral research at Kenyatta University on the development and testing of a solar-biomass drier for pyrethrum in Kenya

2001 AR 075

Wairimu Muita

5.867 44

P O Box 67357 00200

Nairobi, Kenya

to enable her to conduct postdoctoral research at Population Communication Africa on sexuality socialization among pre-teenage girls in Kenya

TOTAL AFRICA REGIONAL PROGRAM

42,667.44

THE ROCKEFELLER FOUNDATION

Identification Number 13-1659629

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GRANTS TO INDIVIDUALS

(Other Than General Fellowships and Other Grants to Organizations Earmarked)

> 2005 **PAYMENTS** ----

ASSETS & CAPACITIES

2005 AC 649

Godber Tumushabe

5,133 00

Advocates Coalition for Development and Environment Plot 96, Kanjokya Street, KamSwokya P O Box 29836

Kampala, Uganda

toward the costs of travel for three individuals from Africa to participate in the conference, "Biotechnology and Law in Africa," held at the Bellagio Study and Conference Center, Italy, July 2005

2005 AC 654

Michel Rosenfeld

4,285.84

Yeshiva University Cardoza School of Law 55 Fifth Avenue

New York, New York 10003

toward the costs of travel for four individuals from developing countries to participate in the conference, "Terrorism, Globalism and the Rule of Law," held at the Bellagio Study and Conference Center, Italy, July 2005

2004 AC 637

Nelly Stromquist

3.645 88

University of Southern California Rossier School of Education Los Angeles, California 90089-0031

> toward the costs of travel for four individuals from Latin America to participate in the conference, "The Construction of Gender in Educational Policies Latin American Cross-National Perspectives," to be held at the Bellagio Study and Conference Center, February 2005

TOTAL ASSETS & CAPACITIES

13,064 72

FOOD SECURITY

2003 FS 035

Abraham Blum

28,800.00

P O Box 16246

Tel Aviv, Israel 61 162

toward the costs of maintaining a web site to service the information and communication needs of scientists working to create more resilient crop species for less favorable environments worldwide, with emphasis on drought tolerance in cereals

TOTAL FOOD SECURITY

28,800.00

THE ROCKEFELLER FOUNDATION

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259,532 16

GRANTS TO INDIVIDUALS

(Other Than General Fellowships and Other Grants to Organizations Earmarked)

2005 **PAYMENTS** **HEALTH EQUITY** 2005 HE 021 William Alan Muraskin 50,000 00 250 West 94th Street, Apt 9E New York, New York 10025 to continue documenting the role played by donors, including the Rockefeller Foundation, in the creation of public/private partnerships to develop drugs, vaccines and microbicides to address diseases of the poor in developing countries TOTAL HEALTH EQUITY 50,000 00 **WORKING COMMUNITIES** 2005 WC 007 125,000 00 **Brandon Roberts and Associates** 4818 Drummond Avenue Chevy Chase, Maryland 20815 toward the costs of its Working Poor Families project that assesses state efforts to assist the working poor to achieve economic self-sufficiency TOTAL WORKING COMMUNITIES 125,000 00

Report Summary =======>>



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| | PAYMENT YEAR | AMOUNT PAID IN SPECIFIED YEAR | REPORT(S) RECEIVED FROM INVESTEE |
|--|-----------------|-------------------------------------|--|
| 2002 AC 401 BCLF Ventures II (aka Boston Community Capital) 56 Warren Street, Palladio Hall Boston, MA 02119-3236 As a program-related investment to support its investments in businesses located in Massachusetts and the northeastern United States that can generate financial and social returns through creation and retention if high quality entry and mid-level jobs for low-income and other disadvantaged groups. | 2002 | \$750,000.00 | Financial reports are submitted quarterly; the latest received was for the quarter ending 6/30/2006. Narrative reports are submitted annually; the latest report was received 8/2/06. |
| 2005 AC 401 Centenary Rural Development Bank, Ltd. Plot 7, Entebbe Road P.O. Box 1892 Kampala, Uganda As a program-related investment in support of its efforts to raise the incomes of poor smallholder farmers in Uganda who grow bananas and other cash crops, by improving their access to financial capital. | 2005 | \$200,000.00 | Financial reports are submitted quarterly; the latest received was for the year and quarter ending 12/31/2005. Narrative reports are submitted annually; the latest report was received 8/24/06. |
| 2003 AC 402 Jacobs Center for Nelghborhood Innovation 5160 Federal Boulevard San Diego, CA 92105-5429 As a program-related investment to provide equity capital to finance Phase I of Market Creek Plaza, a 20-acre commercial, retail and cultural community economic development project in a distressed neighborhood in San Diego, California. | 2003 | \$1,000,000.00 | Financial reports are submitted quarterly; the latest received was for the quarter ending 6/30/06. Narrative reports are submitted annually; the latest report was received 8/31/06. |



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| | PAYMENT YEAR | AMOUNT PAID IN SPECIFIED YEAR | REPORT(S) RECEIVED FROM INVESTEE |
|---|-----------------|-------------------------------------|---|
| 2001 SP 401 Pacific Community Ventures, Inc. | 2001 | \$500,000.00 | Financial reports are submitted |
| (formerly known as Silicon Valley Community Ventures, Inc.) | 2001 | ψ500,000.00 | quarterly; the latest received was for |
| 539 Bryant Street, Suite 302 San Francisco, CA 94107 | | | the quarter ending 6/30/06. Narrative reports are submitted |
| Investment to support efforts to attract and channel investment capital | | | annually; the latest report was |
| into private companies that will provide economic opportunities, jobs, role models, and on-the-job training in low-income and disadvantaged | | | received 9/15/06. |
| communities in the San Francisco Bay area. | | | |

THE ROCKEFELLER FOR DATION IDENTIFICATION NUMBER 13-1659629 GENERAL FELLOWSHIPS

| | Balance 01/01/05 | New IN 2005 | Payments IN 2005 | Lapses | Reversions | Balance 12/31/05 |
|--|---------------------|----------------|---------------------|----------|------------|---------------------|
| Agnes Madrida Abera Banana Research Station National Agricultural Research Organisation P O Box 7065 Kampala, Uganda | 9,098.02 | 0.00 | -31.05 | 9,129.07 | 0.00 | 0.00 |
| David Mwaura Mbugua Kisii Regional Research Centre Kenya Agricultural Research Institute P O Box 523 Kisii, Kenya | 0.00 | 0.00 | -433.99 | 433.99 | 0.00 | 0.00 |
| Eastonce Tendayi Gwata Crop Breeding Institute Box CY 550, Causeway Harare, Zimbabwe | 183.76 | 0.00 | 19.16 | 164.60 | 0.00 | 0.00 |
| Edward Pepukayı Mazhangara Chiredzi ResearchStation P O Box 97 Chiredzi, Zimbabwe | 3,047.37 | 0.00 | -251.84 | 0.00 | 0.00 | 3,299.21 |
| Ephias Makaudze Department of Agnicultural Economics University of Zimbabwe P O Box MP 167 Mount Pleasant Harare, Zimbabwe | 13,871.87 | 0.00 | 10,408.14 | 0.00 | 0.00 | 3,463.73 |
| Gabnel Kayode Aluko Upland Rice Program West Africa Rice Development Association 01 BP 2551 Bouake, Cote d'Ivoire 01 | 0.00 | 0.00 | -43.52 | 43.52 | 0.00 | 0.00 |
| Gertrude Night East and Southern Africa Regional Centre International Institute of Tropical Agriculture P O Box 7878 Kampala, Uganda | 13,517.22 | 41,810.00 | 45,738.70 | 0.00 | 0.00 | 9,588.52 |

THE ROCKEFELLER FOR ATION IDENTIFICATION NUMBER 13-1659629 GENERAL FELLOWSHIPS

| | Balance 01/01/05 | New IN 2005 | Payments IN 2005 | Lapses | Reversions | Balance 12/31/05 |
|---|---------------------|----------------|---------------------|--------|------------|------------------------------|
| James Gichuru Gethi Kenya Agncultural Research Institute Regional Research Centre, Mtwapa P O Box 10275 Bambun, Kenya | 0.00 | 0.00 | 40 78 | 0.00 | -40.78 | 0.00 |
| Julius Juma Okello Department of Agnicultural Economics College of Agniculture and Veterinary Sciences University of Nairobi P O Box 29053 Nairobi, Kenya | 7,841.12 | 0.00 | 3,263.75 | 0.00 | 0.00 | 4,577.37 |
| Lukman Nagaya Mulumba Department of Soil Science Makerere University P O Box 7062 Kampala, Uganda | 0.00 | 8,682.00 | 6,181.42 | 0.00 | 0.00 | 2,500.58 _, |
| Mandé Semon West Africa Rice Development Association 01 BP 2551 Bouake, Cote d'Ivoire 01 | 12,699.30 | 0.00 | -26.13 | 0.00 | 0.00 | 12,725.43 |
| Michael Andrew Nyika Soil Productivity Research Laboratory Chemistry & Soil Research Institute Private Bag 3757 Marondera, Zimbabwe | 8,597.23 | 0.00 | 6,296.74 | 0.00 | 0.00 | 2,300.49 |
| Naomi Norma Mvere Ministry of Local Government and National Housing P O Box 10 Bindura, Zimbabwe | 4,997.50 | 0.00 | 2,222.40 | 0.00 | 0.00 | 2,775.10 |
| Pham Trung Nghia Department of Plant Biotechnology Cuu Long Delta Rice Research Institute Omon, Cantho, Vietnam | 20,352.81 | 0.00 | 9,138.12 | 0.00 | 0.00 | 11,214.69 |

| | Balance 01/01/05 | New IN 2005 | Payments IN 2005 | Lapses | Reversions | Balance 12/31/05 |
|--|---------------------|----------------|---------------------|-----------|------------|---------------------|
| Rachelle Nicole Natalie Kokora Laboratoire de Genetique UFR des Biosciences Université de Cocody 22 BP 582 Abidjan, Cote d'Ivoire 22 | 2,646.66 | 0.00 | 0.00 | 2,646.66 | 0.00 | 0.00 |
| Sujin Patarapuwadol Department of Plant Pathology Faculty of Agnculture Kasetsart University Kamphaengsaen Nakhon Pathom, Thailand 73140 | 19,270.00 | 0.00 | 18,745.17 | 0.00 | 0.00 | 524.83 |
| Varapong Chamarerk Rice Research Institute Chatuchak Bangkok, Thailand 10900 | 0.00 | 0.00 | 192.92 | 0.00 | -192.92 | 0.00 |
| Total | 116,122.86 | 50,492.00 | 101,460.77 | 12,417.84 | -233.70 | 52,969.95 |



990-PF HOLDINGS AS OF DECEMBER 31, 2005

| Fund Name | Security Name | Security Description | Par Value | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------|--------------------------------------|--------------------------------------|----------------------------|----------------------|---------------------------|----------------------|----------------------------|
| | DOMESTIC GOVERNMENT BONDS | | | | | | |
| RF - PIMCO | FNMA TBA FEB 30 SINGLE FAM | 5 5% 01 Dec 2099 | 4,500,000 00 | 98 5781 | 4,436,015 62 | 98 9102 | 4,450,957 20 |
| RF - PIMCO | FED HM LN PC POOL E96988 | 5% 01 Jun 2018 | 99,203 92 | 102 8747 | 102,055 72 | 99 2969 | 98,506 40 |
| RF - PIMCO | FED HM LN PC POOL 1B1776 | 3 972% 01 Jun 2034 | 1,196,073 68 | 98 3906 | 1,176,824 35 | 97 3973 | 1,164,942 87 |
| RF - PIMCO | FEDERAL HOME LN BK CONS DSC NT | 0 01% 22 Mar 2006 | 1,700,000 00 | 99 0422 | 1,683,717 78 | 99 0422 | 1,683,717 77 |
| RF - PIMCO | FEDERAL NATL MTG ASSN DISC NTS | 3 32% 22 Mar 2006 | 300,000 00 | 99 0400 | 297,120 00 | 99 0400 | 297,120 00 |
| RF - PIMCO | FEDERAL NATL MTG ASSN DISC NTS | 4 39% 10 May 2006 | 1,300,000 00 | 98 4269 | 1,279,549 91 | 98 4269 | 1,279,549 91 |
| RF - PIMCO | FEDERAL NATL MTG ASSN REMIC | 6 5% 25 Feb 2023 | 705,487 43 | 84 9260 | 599,142 40 | 103 6432 | 731,189 96 |
| RF - PIMCO | FEDERAL NATL MTG ASSN REMIC | 0% 25 Mar 2028 | 617,391 38 | 71 0313 | 438,540 82 | 80 8398 | 499,097 90 |
| RF - PIMCO | FNMA POOL 093361 | 4 007% 01 Nov 2019 | 25,174 90 | 100 3750 | 25,269 30 | 100 0638 | 25,190 96 |
| RF - PIMCO | FNMA POOL 255711 | 5 5% 01 Apr 2025 | 1,014,402 48 | 101 4219 | 1,028,826 02 | 99 6758 | 1,011,113 58 |
| RF - PIMCO | FNMA POOL 446656 | 6 5% 01 Jul 2006 | 8,071 58 | 97 0625 | 7,834 48 | 100 3219 | 8,097 56 |
| RF - PIMCO | FNMA POOL 544781 | 6 557% 01 Feb 2030 | 837,136 08 | 98 5313 | 824,840 72 | 100 8649 | 844,376 05 |
| RF - PIMCO | FEDERAL NATL MTG ASSN | 5 5% 25 Dec 2032 | 1,000,000 00 | 100 8125 | 1,008,125 00 | 96 9693 | 969,693 30 |
| RF - PIMCO | FEDERAL NATL MTG ASSN | 6 5% 25 Feb 2033 | 2,295,442 43 | 101 4539 | 2,328,816 04 | 103 9055 | 2,385,090 48 |
| RF - PIMCO | FEDERAL HOME LN MTG CORP | 5% 15 Dec 2031 | 600,000 00 | 96 8752 | 581,251 22 | 96 1198 | 576,718.74 |
| RF - PIMCO | FEDERAL NATL MTG ASSN | 4 5% 25 Jun 2024 | 1,100,000 00 | 94 8125 | 1,042,937 50 | 92 2326 | 1,014,558 38 |
| RF - PIMCO | FEDERAL NATL MTG ASSN | 4 5% 25 Aug 2034 | 959,128 95 | 88 2665 | 846,589 47 | 81 1009 | 777,862 21 |
| RF - PIMCO | FEDERAL NATL MTG ASSN | 5% 25 Mar 2035 | 600,000 00 | 94 2299 | 565,379 56 | 94 4597 | 566,758 32 |
| RF - PIMCO | FEDERAL NATL MTG ASSN | 4 5% 25 Jun 2035 | 102,654 72 | 85 8141 | 88,092 22 | 80 5796 | 82,718 74 |
| RF - PIMCO | FEDERAL HOME LN MTG CORP | 5% 15 Mar 2034 | 654,746 33 | 91 3189 | 597,907 06 | 88 1388 | 577,085 36 |
| RF - PIMCO | FEDERAL HOME LN MTG CORP | 5% 15 Feb 2035 | 625,474 00 | 91 9867 | 575,352 67 | 89 2008 | 557,927 75 |
| RF - PIMCO | FEDERAL HOME LN MTG CORP | 5 5% 15 Apr 2035 | 900,000 00 | 100 5938 | 905,343 75 | 98 2708 | 884,437 38 |
| RF - PIMCO | FEDERAL HOME LN MTG CORP | 5% 15 Nov 2034 | 930,441 16 | 89 7831 | 835,378 66 | 87 5871 | 814,945 96 |
| RF - PIMCO | FEDERAL HOME LN MTG CORP | 5% 15 Mar 2035 | 411,813 51 | 92 7607 | 382,001 01 | 88 5952 | 364,847 04 |
| RF - PIMCO | FHLMC REMIC SERIES 3022 | 5 5% 15 Aug 2035 | 916,613 79 | 95.3361 | 873,863 79 | 92 5441 | 848,271 98 |
| RF - PIMCO | FNMA POOL 725773 | 5 5% 01 Sep 2034 | 437,551 88 | 100 9531 | 441,722 29 | 99 2344 | 434,201 90 |
| RF - PIMCO | FNMA POOL 841772 | 1% 01 Sep 2035 | 944,532 51 | 99 7734 | 942,392 56 | 99 3483 | 938,376 52 |
| RF - PIMCO | GNMA II POOL 008927 | 1% 20 Jul 2026 | 120,019 48 | 102 1873 | 122,644 70 | 100 8188 | 121,002 14 |
| RF - PIMCO | GNMA II POOL 008949 | 3 75% 20 Aug 2026 | 104,460 48 | 101 6755 | 106,210 73 | 100 7857 | 105,281 17 |
| RF - PIMCO | GNMA POOL 460929 | 7 5% 15 Oct 2027 | 3,082 97 | 100 8430 | 3,108 96 | 105 9141 | 3,265 30 |
| RF - PIMCO | GNMA POOL 486123 | 8 5% 15 Aug 2030 | 5,463 88 | 104 8089 | 5,726 63 | 107 5117 | 5,874 31 |
| RF - PIMCO | GNMA POOL 533254 GNMA POOL 543869 | 8 5% 15 Jul 2030 | 10,905 88 | 104 8087 | 11,430 31 | 107 5117 | 11,725 10 |
| RF - PIMCO | GNMA POOL 543669 GNMA POOL 544658 | 7 5% 15 Jan 2031 | 2,211 58 755 84 | 101 8295 100 8441 | 2,252 04 762 22 | 105 5391 | 2,334 08 |
| RF - PIMCO | GNMA I POOL 980037 | 7 5% 15 Dec 2030 6 5% 20 Dec 2026 | 40,724 05 | 100 8441 | 41,207 86 | 105 5391 100 6866 | 797 71 41,003 64 |
| RF - PIMCO | GNMA II POOL 080354 | 4% 20 Dec 2029 | 520,352 98 | 99 6569 | 518,567 54 | 100 6866 | 522,862 90 |
| RF - PIMCO | GOVERNMENT NATL MTG ASSN | 6% 20 Jun 2032 | • | 101 1664 | 1,746,381 13 | 100 4624 | |
| RF - PIMCO | GOVERNMENT NATL MTG ASSN GTD | | 1,726,245 78 | 100 4691 | 1,477,736 79 | | 1,750,789 02 |
| RF - PIMCO | GOVERNMENT NATL MTG ASSN GTD | 5 5% 20 Sep 2033 5% 20 Oct 2033 | 1,470,836 86 334,250 51 | 94 7879 | 316,829 10 | 96 7575 90 3744 | 1,423,145 56 302,076 86 |
| RF - PIMCO | GENERAL NATL MTG ASSN | 4 5% 16 Mar 2034 | 2,055,371 47 | 83 3858 | 1,713,888 56 | 90 3744 84 5197 | 1,737,193 39 |
| RF - PIMCO | GOVERNMENT NATL MTG ASSN | 4 5% 16 Mar 2034 6% 20 Jun 2034 | 2,055,371 47 | 102 7977 | 2,249,066 91 | 101 6657 | 2,224,301 47 |
| RF - PIMCO | UNITED STATES TREAS BILLS | 3 845% 02 Mar 2006 | 2,187,857 88 80,000 00 | 99 3532 | 2,249,066 91 79,482 58 | 99 3532 | 2,224,301 47 79,482 58 |
| RF - PIMCO | UNITED STATES TREAS BILLS | 4 05% 16 Mar 2006 | 40,000 00 | 99 2127 | 39,685 09 | 99 3532 | 79,462 58 39,685 09 |
| RF - PIMCO | UNITED STATES TREAS BILES | 3 875% 15 May 2010 | 3,500,000 00 | 98 0398 | 3,431,394 40 | 98 1250 | 3,434,375 00 |



| Fund Name | Security Name | Security Description | Par Value | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--------------------|------------------------------|-----------------------|--------------|-------------------|-----------------|----------------------|-------------------|
| RF - PIMCO | UNITED STATES TREAS NTS | 4% 30 Sep 2007 | 7,600,000 00 | 99 2843 | 7,545,606 08 | 99 3047 | 7,547,156 44 |
| RF - GOLDMAN SACHS | FNMA TBA JAN 15 SINGLE FAM | 5 5% 01 Dec 2099 | 1,000,000 00 | 100 3438 | 1,003,437 50 | 100 5859 | 1,005,859 40 |
| RF - GOLDMAN SACHS | FNMA TBA JAN 30 SINGLE FAM | 5 5% 01 Dec 2099 | 6,000,000 00 | 98 5612 | 5,913,671 88 | 99 0156 | 5,940,937 20 |
| RF - GOLDMAN SACHS | FNMA TBA JAN 30 SINGLE FAM | 6% 01 Dec 2099 | 1,000,000 00 | 100 2500 | 1,002,500 00 | 100 8984 | 1,008,984 40 |
| RF - GOLDMAN SACHS | FNMA TBA FEB 30 SINGLE FAM | 6% 01 Dec 2099 | 1,000,000 00 | 100 9375 | 1,009,375 00 | 100 7773 | 1,007,773 40 |
| RF - GOLDMAN SACHS | FED HM LN PC POOL G01731 | 6 5% 01 Dec 2029 | 64,977 30 | 105 2422 | 68,383 53 | 103 1133 | 67,000 23 |
| RF - GOLDMAN SACHS | FED HM LN PC POOL G01767 | 0 99% 14 Jan 2035 | 1,656,509 16 | 104 7500 | 1,735,193 33 | 102 7070 | 1,701,351 36 |
| RF - GOLDMAN SACHS | FED HM LN PC POOL G01768 | 0 99% 14 Jan 2035 | 346,904 52 | 104 8125 | 363,599 29 | 102 8008 | 356,620 55 |
| RF - GOLDMAN SACHS | FED HM LN PC POOL G01604 | 6 5% 01 Aug 2033 | 582,528.13 | 104 2109 | 607,058 03 | 102 7070 | 598,297 34 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN MTG CORP | 4 48% 19 Sep 2008 | 2,000,000 00 | 98 8612 | 1,977,224 21 | 99 0132 | 1,980,264 00 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN MTG PC GTD | 7 5% 15 May 2008 | 483,122 06 | 109 3750 | 528,414 73 | 100 4089 | 485,097 59 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN MTG PC GTD | 9 404311% 15 May 2008 | 386,497 68 | 97 1250 | 375,385 86 | 101 8480 | 393,639 96 |
| RF - GOLDMAN SACHS | FED HM LN PC POOL C01789 | 6 5% 01 Jan 2034 | 2,529,214 24 | 103 8750 | 2,627,221 30 | 102 5508 | 2,593,728 93 |
| RF - GOLDMAN SACHS | FED HM LN PC POOL A16199 | 7% 01 Apr 2031 | 299,304 86 | 105 7813 | 316,608 44 | 104 3672 | 312,376 07 |
| RF - GOLDMAN SACHS | FEDERAL FARM CR BKS | 4 5% 22 Jan 2015 | 1,100,000 00 | 99 5281 | 1,094,809 49 | 96 5871 | 1,062,457 55 |
| RF - GOLDMAN SACHS | FEDERAL FARM CR BKS | 3 625% 04 Jan 2008 | 1,000,000 00 | 99 6366 | 996,366 45 | 97 7376 | 977,375 50 |
| RF - GOLDMAN SACHS | FEDERAL FARM CR BKS CONS BDS | 4 45% 11 Jun 2009 | 1,500,000 00 | 99 8287 | 1,497,430 50 | 98 8319 | 1,482,478 20 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN MTG PC GTD | 4 11% 15 Nov 2023 | 1,000,000 00 | 103 3750 | 1,033,750 00 | 96 3951 | 963,951 40 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN BKS | 4 08% 26 Apr 2010 | 1,000,000 00 | 100 1896 | 1,001,896 00 | 97 1275 | 971,275 10 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN BKS | 3 875% 24 Jul 2009 | 1,500,000 00 | 98 1660 | 1,472,489 83 | 96 9496 | 1,454,243 40 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN BKS | 4 75% 13 Feb 2015 | 1,000,000 00 | 100 4275 | 1,004,275 15 | 98 4019 | 984,018 50 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN BKS | 4 5% 14 Sep 2012 | 1,000,000 00 | 100 2641 | 1,002,640 92 | 97 1251 | 971,251 40 |
| RF - GOLDMAN SACHS | FEDERAL NATL MTG ASSN REMIC | 4 96103% 25 Dec 2020 | 1,109 71 | 3,200 0036 | 35,510 76 | 2,249 5904 | 24,963 93 |
| RF - GOLDMAN SACHS | FEDERAL NATL MTG ASSN REMIC | 6 5% 25 May 2008 | 150,266 92 | 105 0312 | 157,827 22 | 100 5934 | 151,158 66 |
| RF - GOLDMAN SACHS | FEDERAL NATL MTG ASSN REMIC | 6 5% 25 Jun 2008 | 325,213 41 | 104 9063 | 341,169 20 | 100 6247 | 327,244 92 |
| RF - GOLDMAN SACHS | FEDERAL NATL MTG ASSN GTD | 1% 25 Oct 2008 | 180,985 76 | 96 3820 | 174,437 74 | 104 9803 | 189,999 36 |
| RF - GOLDMAN SACHS | FEDERAL NATL MTG ASSN | 6 625% 15 Sep 2009 | 1,000,000 00 | 106 3830 | 1,063,830 00 | 106 3435 | 1,063,435 30 |
| RF - GOLDMAN SACHS | FEDERAL NATL MTG ASSN | 6% 15 May 2011 | 500,000 00 | 107 3921 | 536,960 27 | 105 7416 | 528,707 95 |
| RF - GOLDMAN SACHS | FEDERAL NATL MTG ASSN GTD | 6 5% 25 Dec 2028 | 96,347 93 | 103 4063 | 99,629 79 | 100 4209 | 96,753 48 |
| RF - GOLDMAN SACHS | FNMA POOL 357267 | 6 5% 01 Sep 2032 | 803,581 84 | 104 3438 | 838,487 43 | 102 8008 | 826,088 40 |
| RF - GOLDMAN SACHS | FNMA POOL 395136 | 3 173% 01 Jul 2027 | 34,396 09 | 100 8750 | 34,697 04 | 100 1624 | 34,451 95 |
| RF - GOLDMAN SACHS | FNMA POOL 555066 | 5 5% 01 Sep 2014 | 941,655 52 | 104 2344 | 981,528 74 | 100 8828 | 949,968 55 |
| RF - GOLDMAN SACHS | FNMA POOL 563497 | 1% 01 Nov 2040 | 49,227 81 | 100 8750 | 49,658 56 | 100 1267 | 49,290 18 |
| RF - GOLDMAN SACHS | FNMA POOL 569943 | 3 173% 01 Jan 2031 | 14,436 29 | 100 8750 | 14,562 61 | 100 0955 | 14,450 08 |
| RF - GOLDMAN SACHS | FNMA POOL 620035 | 3 268% 01 May 2033 | 71,287 69 | 100 8750 | 71,911 45 | 100 1473 | 71,392 70 |
| RF - GOLDMAN SACHS | FNMA POOL 620061 | 3 173% 01 Nov 2027 | 57,775 34 | 100 8750 | 58,280 89 | 100 1731 | 57,875 35 |
| RF - GOLDMAN SACHS | FNMA POOL 620062 | 1% 01 Dec 2037 | 134,776 69 | 100 8750 | 135,955 99 | 100 1416 | 134,967 53 |
| RF - GOLDMAN SACHS | FNMA POOL 620064 | 1% 01 Jan 2038 | 60,647 02 | 100 8750 | 61,177 66 | 100 1447 | 60,734 78 |
| RF - GOLDMAN SACHS | FNMA POOL 620039 | 3 173% 01 Nov 2035 | 29,247 51 | 100 8750 | 29,503 42 | 100 1509 | 29,291 64 |
| RF - GOLDMAN SACHS | FNMA POOL 620043 | 3 268% 01 Jul 2022 | 30,867 69 | 100 8750 | 31,137 77 | 100 1227 | 30,905 56 |
| RF - GOLDMAN SACHS | FNMA POOL 620051 | 3 268% 01 Aug 2032 | 28,014 13 | 100 8751 | 28,259 27 | 100 1258 | 28,049 37 |
| RF - GOLDMAN SACHS | FNMA POOL 651074 | 3 173% 01 Jun 2032 | 17,825 29 | 100 8750 | 17,981 27 | 100 1878 | 17,858 77 |
| RF - GOLDMAN SACHS | FNMA POOL 667469 | 5% 01 Nov 2017 | 230,269 13 | 100 0820 | 230,458 03 | 99 2344 | 228,506 14 |
| RF - GOLDMAN SACHS | FNMA POOL 667748 | 5% 01 Nov 2017 | 15,649 64 | 100 0820 | 15,662 47 | 99 2344 | 15,529 82 |



990-PF HOLDINGS AS OF DECEMBER 31, 2005

| Fund Name | Security Name | Security Description | Par Value | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-----------------------------|--|-------------------------------------|----------------|-------------------|-----------------|----------------------|-------------------|
| RF - GOLDMAN SACHS | FNMA POOL 667749 | 5% 01 Nov 2017 | 362,836 01 | 100 0820 | 363,133 66 | 99 2344 | 360.058 06 |
| RF - GOLDMAN SACHS | FNMA POOL 668799 | 5% 01 Nov 2017 | 803.689 51 | 100 0820 | 804,348 78 | 99 2344 | 797,536 30 |
| RF · GOLDMAN SACHS | FNMA POOL 668357 | 5% 01 Dec 2017 | 2,859,781 29 | 100 1563 | 2,864,249 69 | 99 2344 | 2,837,886 23 |
| RF - GOLDMAN SACHS | FNMA POOL 669104 | 5% 01 Dec 2017 | 174,312 59 | 100 0820 | 174,455 59 | 99 2344 | 172,978 02 |
| RF - GOLDMAN SACHS | FNMA POOL 669105 | 5% 01 Dec 2017 | 212,943 06 | 100 0820 | 213,117 74 | 99 2344 | 211,312 73 |
| RF - GOLDMAN SACHS | FEDERAL HOME LN MTG CORP | 5% 15 Apr 2017 | 420,612 76 | 12 0000 | 50,473 53 | 10 9299 | 45,972 60 |
| RF - GOLDMAN SACHS | FNMA POOL 725922 | 6 5% 01 Dec 2029 | 1,693,855 46 | 105 2500 | 1,782,782 86 | 103 2070 | 1,748,177 91 |
| RF - GOLDMAN SACHS | GOVERNMENT NATL MTG ASSN | 1% 20 Oct 2031 | 39,258 82 | 114 1198 | 44,802 09 | 113 2089 | 44,444 48 |
| RF - GOLDMAN SACHS | GOVERNMENT NATL MTG ASSN | 1% 16 Oct 2031 | 124,780 50 | 115 5278 | 144,156 13 | 117 9875 | 147,225 37 |
| RF - GOLDMAN SACHS | GOVERNMENT NATL MTG ASSN | 1% 16 Oct 2031 | 156,587 23 | 113 6979 | 178,036 39 | 113 2123 | 177,275 96 |
| RF - GOLDMAN SACHS | GOVERNMENT NATL MTG | 12 93094% 20 Dec 2031 | 35,828 56 | 110 6179 | 39,632 80 | 112 7138 | 40,383 72 |
| RF - GOLDMAN SACHS | UNITED STATES TRES BD STRP PRN | 0% 15 Feb 2019 | 400,000 00 | 51 6420 | 206,568 00 | 54 9965 | 219,985 96 |
| RF - GOLDMAN SACHS | UNITED STATES TRES BD STRP PRN | 0% 15 Nov 2021 | 1,550,000 00 | 47 0886 | 729,873 00 | 48 0441 | 744,683 24 |
| RF - GOLDMAN SACHS | UNITED STATES TREAS BD STRP | 0% 15 Nov 2022 | 1,650,000 00 | 45 5649 | 751,821 50 | 45 8387 | 756,338 88 |
| RF - GOLDMAN SACHS | UNITED STATES TREAS BD STRP PR | 0% 15 Nov 2024 | 1,300,000 00 | 39 5400 | 514,020 00 | 41.8823 | 544,469 25 |
| RF - GOLDMAN SACHS | UNITED STATES TREAS BD STRPPED | 0% 15 Feb 2025 | 2,100,000 00 | 32 5943 | 684,481 00 | 41 3815 | 869,011 50 |
| RF - GOLDMAN SACHS | U S TREAS BOND STRIP | 0% 15 Aug 2027 | 100,000 00 | 29 4378 | 29,437 82 | 37 1024 | 37,102 44 |
| RF - GOLDMAN SACHS | UNITED STATES TREAS NTS | 3% 15 Nov 2007 | 1,100,000 00 | 97 6293 | 1,073,921 93 | 97 5156 | 1,072,671 82 |
| RF - GOLDMAN SACHS | UNITED STATES TREAS NTS | 1 875% 15 Jul 2015 | 1,500,000 00 | 100 0619 | 1,500,929 04 | 98 3906 | 1,475,859 30 |
| RF - BRIDGEWATER ASSOCIATES | UNITED STATES TREAS NTS | 4% 15 Feb 2014 | 17,500,000 00 | 98 2733 | 17,197,834 10 | 97 3125 | 17,029,687 50 |
| RF - BRIDGEWATER ASSOCIATES | UNITED STATES TREAS NTS | 3 5% 15 Dec 2009 | 27,000,000 00 | 97 7140 | 26,382,787 78 | 96 9063 | 26,164,687 50 |
| | DOMESTIC GOVERNMENT BOND TOTAL | | 136,891,005.52 | | 130,698,094.00 | | 129,988,060.65 |
| RF - PIMCO | MUNICIPAL BONDS NEW YORK ST DORM AUTH REVS | 40% 15 Aug 2030 | 2,000,000 00 | 100 0000 | 2,000,000 00 | 116 9000 | 2,338,000 00 |
| THE PROOF | MUNICIPAL BOND TOTAL | 4076 15 Aug 2000 | 2,000,000.00 | 100 0000 | 2,000,000.00 | 110 3000 | 2,338,000.00 |
| | MUNICIPAL BOND TOTAL | | 2,000,000.00 | | 2,000,000.00 | | 2,336,000.00 |
| | GOVERNMENT BOND TOTAL | 1 | 136,891,005.52 | | 130,698,094.00 | ,- | 129,988,060.65 |
| · | MUNICIPAL BOND TOTAL | | 2,000,000.00 | | 2,000,000.00 | | 2,338,000.00 |
| | FIXED INCOME TOTAL | management the second second second | 138,891,005.52 | | 132,698,094.00 | · | 132,326,060.65 |
| | | | | | | | |



| RF- EMERGING MARKETS MGMT CA RF- EMERGING MARKETS MGMT SC RF- EMERGING MARKETS MGMT AR RF- EMERGING MARKETS MGMT NE RF- EMERGING MARKETS MGMT UK | ecurity Name OMMON STOCK ASPIAN SVCS INC OUTHERN COPPER CORP DEL RRAL PACIFIC EQUITY TRUST EW CENTURY HOLDINGS V | Security Description COM COM | 28,000 00 | 3 0000 | Base Total Cost | Amount | Base Market Value |
|--|---|--------------------------------|--------------|--------------|-----------------|-------------|-------------------|
| RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT NE RF- EMERGING MARKETS MGMT UK | ASPIAN SVCS INC OUTHERN COPPER CORP DEL RRAL PACIFIC EQUITY TRUST | - · | , | 3 0000 | | | |
| RF- EMERGING MARKETS MGMT SC RF- EMERGING MARKETS MGMT AF RF- EMERGING MARKETS MGMT NE RF- EMERGING MARKETS MGMT UK | OUTHERN COPPER CORP DEL RRAL PACIFIC EQUITY TRUST | - · | , | 3 0000 | | | |
| RF- EMERGING MARKETS MGMT AF RF- EMERGING MARKETS MGMT NE RF- EMERGING MARKETS MGMT UK | RRAL PACIFIC EQUITY TRUST | СОМ | | | 84,000 00 | 4 7500 | 133,000 00 |
| RF- EMERGING MARKETS MGMT NE RF- EMERGING MARKETS MGMT UK | | | 100 00 | 29 4700 | 2,947 00 | 66 9800 | 6,698 00 |
| RF- EMERGING MARKETS MGMT UK | EW CENTURY HOLDINGS V | | 0 25 | 383,230 6000 | 95,807 65 | 39,527 3500 | 9,881 84 |
| | | LIMITED PARTNERSHIP V | 331 00 | • | • | • | • |
| DE EMEDOINO MADVETE MONT EN | KRAINE FUND LP | | 95,000 00 | 0 5533 | 52,561 38 | - | • |
| HE- EMERGING MARKETS MGMT | MSAF MAURITIUS | REREF FROM 1321197 | 364,467 00 | 10 7134 | 3,904,664 20 | 18 7399 | 6,830,056 91 |
| RF- EMERGING MARKETS MGMT EN | MM MIDDLE EAST FUND | | 41,555 74 | 10 6625 | 443,086 42 | 15 7000 | 652,425 18 |
| RF- EMERGING MARKETS MGMT . LA | ATIN AMERICAN SMALL CAPITAL | | 81,046 00 | • | • | 0 0772 | 6,259 99 |
| RF- EMERGING MARKETS MGMT NE | EW CENTURY FD PED | (USD QUOTED) | 220 00 | • | - | • | • |
| RF- EMERGING MARKETS MGMT AF | FRICA EMERGING MARKET FUNDS | | 77,664 00 | 8 3100 | 645,388 22 | 22 5179 | 1,748,830 96 |
| RF- WHIPPOORWILL ASSOCIATES BE | DK HLDGS INC | CDT COM | 10,320 84 | 1 0000 | 10,320 84 | - | • |
| RF- WHIPPOORWILL ASSOCIATES BE | DK HLDGS INC | COM | 42 59 | 8,370 3083 | 356,491 43 | • | • |
| RF- WHIPPOORWILL ASSOCIATES BI | I EQUIPMENT LESSOR NOTE | | 29,781 57 | • | • | • | • |
| RF- WHIPPOORWILL ASSOCIATES IC | CG COMMUNICATIONS INC | WT EXP 100CT07 | 921 00 | • | • | • | - |
| RF- WHIPPOORWILL ASSOCIATES ES | SC KASPER A S L LTD | | 143,564 00 | • | - | - | • |
| RF- WHIPPOORWILL ASSOCIATES RC | OTECH MED CORP | | 2,210 00 | - | • | - | |
| RF- WHIPPOORWILL ASSOCIATES ME | IEMOREX TELEX | TRANCHE NO 1+2 LOAN | 1,232,190 56 | 0 6165 | 759,670 60 | 0 0005 | 616 10 |
| RF- WHIPPOORWILL ASSOCIATES ME | EMOREX TELEX | TRANCHE NO 2 LOAN | 571,317 10 | 0 6794 | 388,178 23 | 0 0005 | 285 66 |
| RF-SOUND SHORE ASSET MGMT AE | ES CORP | COM | 135,500 00 | 16 2806 | 2,206,020 20 | 15 8300 | 2,144,965 00 |
| RF-SOUND SHORE ASSET MGMT AE | ETNA INC | СОМ | 20,500 00 | 28 9188 | 592,836 05 | 94 3100 | 1,933,355 00 |
| RF-SOUND SHORE ASSET MGMT AG | GILENT TECHNOLOGIES INC | COM | 51,143 00 | 23 1113 | 1,181,982 42 | 33 2900 | 1,702,550 47 |
| RF-SOUND SHORE ASSET MGMT AC | ON CORP | СОМ | 86,500 00 | 24 7845 | 2,143,857 10 | 35 9500 | 3,109,675 00 |
| RF-SOUND SHORE ASSET MGMT BA | AXTER INTL INC | СОМ | 50,500 00 | 23 2801 | 1,175,646 50 | 37 6500 | 1,901,325 00 |
| RF-SOUND SHORE ASSET MGMT BE | ERKSHIRE HATHAWAY INC DEL | CL A | 22 00 | 64,602 4141 | 1,421,253 11 | 88,620 0000 | 1,949,640 00 |
| RF-SOUND SHORE ASSET MGMT BO | OSTON SCIENTIFIC CORP | СОМ | 69,500 00 | 24 8942 | 1,730,148 70 | 24 4900 | 1,702,055 00 |
| RF-SOUND SHORE ASSET MGMT CI | IGNA CORP | СОМ | 29,000 00 | 49 7998 | 1,444,194 10 | 111 7000 | 3,239,300 00 |
| RF-SOUND SHORE ASSET MGMT CS | SX CORP | СОМ | 49,500 00 | 36 6472 | 1,814,033 95 | 50 7700 | 2,513,115 00 |
| RF-SOUND SHORE ASSET MGMT CH | CHUBB CORP | СОМ | 25,000 00 | 61 1775 | 1,529,438 30 | 97 6500 | 2,441,250 00 |
| RF-SOUND SHORE ASSET MGMT DI | IEBOLD INC | СОМ | 41,000 00 | 35 7890 | 1,467,347 40 | 38 0000 | 1,558,000 00 |
| RF-SOUND SHORE ASSET MGMT DI | IRECTV GROUP INC | СОМ | 180,000 00 | 16 6223 | 2,992,018 00 | 14 1200 | 2,541,600 00 |
| RF-SOUND SHORE ASSET MGMT EL | L PASO CORP | СОМ | 126,500 00 | 10 0986 | 1,277,477 15 | 12 1600 | 1,538,240 00 |
| RF-SOUND SHORE ASSET MGMT FF | REESCALE SEMICONDUCTOR INC | COM CL A | 120,500 00 | 19 6246 | 2,364,759 30 | 25 1900 | 3,035,395 00 |
| RF-SOUND SHORE ASSET MGMT GE | ENWORTH FINL INC | COM CL A | 78,500 00 | 27 6201 | 2,168,173 95 | 34 5800 | 2,714,530 00 |
| RF-SOUND SHORE ASSET MGMT HE | EWLETT PACKARD CO | СОМ | 65,000 00 | 19 7107 | 1,281,198 00 | 28 6300 | 1,860,950 00 |
| RF-SOUND SHORE ASSET MGMT IN | NTERPUBLIC GROUP COS INC | СОМ | 232,000 00 | 9 7640 | 2,265,257 60 | 9 6500 | 2,238,800 00 |
| RF-SOUND SHORE ASSET MGMT LA | ABORATORY CORP AMER HLDGS | COM NEW | 49,500 00 | 28 1453 | 1,393,190 40 | 53 8500 | 2,665,575 00 |
| RF-SOUND SHORE ASSET MGMT LII | IBERTY MEDIA CORP | COM SER A | 324,500 00 | 7 1303 | 2,313,794 30 | 7 8700 | 2,553,815 00 |
| RF-SOUND SHORE ASSET MGMT LY | YONDELL CHEMICAL CO | СОМ | 102,000 00 | 25 9261 | 2,644,463 85 | 23 8200 | 2,429,640 00 |
| RF-SOUND SHORE ASSET MGMT M. | MARSH + MCLENNAN COS INC | СОМ | 79,000 00 | 29 3831 | 2,321,265 40 | 31 7600 | 2,509,040 00 |
| | MCDONALDS CORP | COM | 63,500 00 | 19 5308 | 1,240,205 20 | 33 7200 | 2,141,220 00 |
| | MORGAN STANLEY | COM NEW | 34,000 00 | 55 7824 | 1,896,600 00 | 56 7400 | 1,929,160 00 |
| | IOSAIC CO | COM | 59,000 00 | 14 3942 | 849,258 90 | 14 6300 | 863,170 00 |
| | FIZER INC | COM | 90,500 00 | 24 4981 | 2,217,077 40 | 23 3200 | 2,110,460 00 |
| | OUTHWEST AIRLS CO | COM | 209,000 00 | 14 3090 | 2,990,584 40 | 16 4300 | 3,433,870 00 |
| | YMANTEC CORP | COM | 143,500 00 | 20 7316 | 2,974,982 90 | 17 5000 | 2,511,250 00 |
| | HERMO ELECTRON CORP | COM | 76,000 00 | 22 8663 | 1,737,835 32 | 30 1300 | 2,289,880 00 |





| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|---------------------------|-------------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF-SOUND SHORE ASSET MGMT | TIME WARNER INC NEW | СОМ | 203,500 00 | 15 0581 | 3,064,320 40 | 17 4400 | 3,549,040 00 |
| RF-SOUND SHORE ASSET MGMT | US BANCORP DEL | COM NEW | 97,500 00 | 27 9419 | 2,724,336 80 | 29 8900 | 2,914,275 00 |
| RF-SOUND SHORE ASSET MGMT | UNUMPROVIDENT CORP | СОМ | 140,500 00 | 17 1716 | 2,412,610 55 | 22 7500 | 3,196,375 00 |
| RF-SOUND SHORE ASSET MGMT | WASTE MGMT INC DEL | СОМ | 92,000 00 | 28 8522 | 2,654,406 80 | 30 3500 | 2,792,200 00 |
| RF-SOUND SHORE ASSET MGMT | WATSON PHARMACEUTICALS INC | COM | 88,000 00 | 27.3093 | 2,403,221 85 | 32 5100 | 2,860,880 00 |
| RF-SOUND SHORE ASSET MGMT | WILLIAMS COS INC | СОМ | 118,500 00 | 18 3130 | 2,170,090 90 | 23 1700 | 2,745,645 00 |
| RF-BGI EQUITY INDEX FUND | BGI EQUITY INDEX FUND B | | 61,912 57 | 152 9818 | 9,471,496 67 | 168 8902 | 10,456,427 82 |
| TCW ASSET MANAGEMENT | AFLAC INC | СОМ | 24,955 00 | 29 2226 | 729,249 98 | 46 4200 | 1,158,411 10 |
| TCW ASSET MANAGEMENT | ADOBE SYS INC | СОМ | 78,955 00 | 30 9633 | 2,444,705 90 | 36 9600 | 2,918,176 80 |
| TCW ASSET MANAGEMENT | AMAZON COM INC | СОМ | 186,200 00 | 25 9861 | 4,838,608 27 | 47 1500 | 8,779,330 00 |
| TCW ASSET MANAGEMENT | AMERICAN INTL GROUP INC | СОМ | 26,500 00 | 59 7201 | 1,582,583 89 | 68 2300 | 1,808,095 00 |
| TCW ASSET MANAGEMENT | AMGEN INC | СОМ | 34,600 00 | 35 3734 | 1,223,918 25 | 78 8600 | 2,728,556 00 |
| TCW ASSET MANAGEMENT | APOLLO GROUP INC | CL A | 57,700 00 | 77 4433 | 4,468,477 73 | 60 4600 | 3,488,542 00 |
| TCW ASSET MANAGEMENT | CISCO SYS INC | СОМ | 107,400 00 | 23 2631 | 2,498,459 56 | 17 1200 | 1,838,688 00 |
| TCW ASSET MANAGEMENT | COMMERCE BANCORP INC N J | СОМ | 99,100 00 | 30 8677 | 3,058,985 75 | 34 4100 | 3,410,031 00 |
| TCW ASSET MANAGEMENT | COUNTRYWIDE FINL CORP | СОМ | 68,300 00 | 34 9862 | 2,389,557 74 | 34 1900 | 2,335,177 00 |
| TCW ASSET MANAGEMENT | DELL INC | СОМ | 95,700 00 | 25 3328 | 2,424,350 66 | 29 9900 | 2,870,043 00 |
| TCW ASSET MANAGEMENT | EBAY INC | СОМ | 193,600 00 | 22 8310 | 4,420,076 40 | 43 2500 | 8,373,200 00 |
| TCW ASSET MANAGEMENT | ELECTRONIC ARTS INC | СОМ | 63,900 00 | 48 4413 | 3,095,398 32 | 52 3100 | 3,342,609 00 |
| TCW ASSET MANAGEMENT | GENENTECH INC | СОМ | 77,000 00 | 16 1659 | 1,244,774 00 | 92 5000 | 7,122,500 00 |
| TCW ASSET MANAGEMENT | GENERAL ELEC CO | СОМ | 48,500 00 | 51 2123 | 2,483,794 64 | 35 0500 | 1,699,925 00 |
| TCW ASSET MANAGEMENT | GOOGLE INC | CL A | 12,800 00 | 187 4623 | 2,399,517 94 | 414 8600 | 5,310,208 00 |
| TCW ASSET MANAGEMENT | MAXIM INTEGRATED PRODS INC | СОМ | 60,295 00 | 39 9240 | 2,407,215 51 | 36 2400 | 2,185,090 80 |
| TCW ASSET MANAGEMENT | NETWORK APPLIANCE INC | СОМ | 172,825 00 | 11 5058 | 1,988,497 27 | 27 0000 | 4,666,275 00 |
| TCW ASSET MANAGEMENT | PIXAR | СОМ | 84,600 00 | 15 0551 | 1,273,663 41 | 52 7200 | 4,460,112 00 |
| TCW ASSET MANAGEMENT | PROGRESSIVE CORP OHIO | СОМ | 106,290 00 | 37 8181 | 4,019,686 10 | 116 7800 | 12,412,546 20 |
| TCW ASSET MANAGEMENT | QUALCOMM INC | СОМ | 140,400 00 | 26 7232 | 3,751,932 45 | 43 0800 | 6,048,432 00 |
| TCW ASSET MANAGEMENT | SALESFORCE COM INC | СОМ | 65,300 00 | 26 8917 | 1,756,027 02 | 32 0500 | 2,092,865 00 |
| TCW ASSET MANAGEMENT | STARBUCKS CORP | СОМ | 109,080 00 | 14 4285 | 1,573,857 59 | 30 0100 | 3,273,490 80 |
| TCW ASSET MANAGEMENT | VARIAN MED SYS INC | СОМ | 54,400 00 | 39 4701 | 2,147,173 69 | 50 3400 | 2,738,496 00 |
| TCW ASSET MANAGEMENT | WALGREEN CO | СОМ | 52,600 00 | 28 6408 | 1,506,504 41 | 44 2600 | 2,328,076 00 |
| TCW ASSET MANAGEMENT | XM SATELLITE RADIO HLDGS INC | CL A | 142,050 00 | 25 0657 | 3,560,585 49 | 27 2800 | 3,875,124 00 |
| TCW ASSET MANAGEMENT | XILINX INC | СОМ | 44,830 00 | 25 0830 | 1,124,469 34 | 25 2100 | 1,130,164 30 |
| TCW ASSET MANAGEMENT | YAHOO INC | COM | 211,200 00 | 11 8653 | 2,505,944 05 | 39 1800 | 8,274,816 00 |
| TUKMAN CAPITAL MANAGEMENT | AMERICAN INTL GROUP INC | COM | 78,900 00 | 60 8041 | 4,797,446 94 | 68 2300 | 5,383,347 00 |
| TUKMAN CAPITAL MANAGEMENT | ANHEUSER BUSCH COS INC | COM | 136,500 00 | 45 8044 | 6,252,306 30 | 42 9600 | 5,864,040 00 |
| TUKMAN CAPITAL MANAGEMENT | AUTOMATIC DATA PROCESSING INC | СОМ | 165,800 00 | 37 4474 | 6,208,776 95 | 45 8900 | 7,608,562 00 |
| TUKMAN CAPITAL MANAGEMENT | COCA COLA CO | COM | 138,800 00 | 40 8891 | 5,675,412 35 | 40 3100 | 5,595,028 00 |
| TUKMAN CAPITAL MANAGEMENT | DISNEY WALT CO | DISNEY COM | 177,100 00 | 22 5724 | 3,997,577 09 | 23 9700 | 4,245,087 00 |
| TUKMAN CAPITAL MANAGEMENT | GANNETT INC | СОМ | 112,800 00 | 55 1817 | 6,224,499 41 | 60 5700 | 6,832,296 00 |
| TUKMAN CAPITAL MANAGEMENT | GENERAL ELEC CO | COM | 267,900 00 | 33 8612 | 9,071,428 49 | 35 0500 | 9,389,895 00 |
| TUKMAN CAPITAL MANAGEMENT | GOLDMAN SACHS GROUP INC | COM | 45,300 00 | 78 8813 | 3,573,320 66 | 127 7100 | 5,785,263 00 |
| TUKMAN CAPITAL MANAGEMENT | INTERNATIONAL BUSINESS MACHS | COM | 100,300 00 | 80 3059 | 8,054,678 22 | 82 2000 | 8,244,660 00 |
| TUKMAN CAPITAL MANAGEMENT | JOHNSON + JOHNSON | СОМ | 106,500 00 | 50 4531 | 5,373,252 86 | 60 1000 | 6,400,650 00 |
| TUKMAN CAPITAL MANAGEMENT | MICROSOFT CORP | СОМ | 244,800 00 | 26 5009 | 6,487,426 88 | 26 1500 | 6,401,520 00 |
| TUKMAN CAPITAL MANAGEMENT | PEPSICO INC | COM | 147,000 00 | 42 5872 | 6,260,316 21 | 59 0800 | 8,684,760 00 |
| TUKMAN CAPITAL MANAGEMENT | PFIZER INC | COM | 56,000 00 | 29 7118 | 1,663,863 29 | 23 3200 | 1,305,920 00 |
| | | - | 22,000 | | 1,000,000 20 | 20 00.00 | .,000,020 00 |





| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|---------------------------|-------------------------------|--------------------------|------------|----------------|-----------------|----------------------|-------------------|
| TUKMAN CAPITAL MANAGEMENT | PROCTER AND GAMBLE CO | СОМ | 68,100 00 | 37 5427 | 2,556,656 08 | 57 8800 | 3,941,628 00 |
| TUKMAN CAPITAL MANAGEMENT | WAL MART STORES INC | COM | 203,500 00 | 50 2258 | 10,220,947 92 | 46 8000 | 9,523,800 00 |
| TUKMAN CAPITAL MANAGEMENT | WELLS FARGO + CO NEW | COM | 144,100 00 | 45 8116 | 6,601,453 20 | 62 8300 | 9,053,803 00 |
| RF - CAPITAL GUARDIAN II | ADOBE SYS INC | СОМ | 5,600 00 | 29 1911 | 163,470 15 | 36 9600 | 206,976 00 |
| RF - CAPITAL GUARDIAN II | AFFILIATED COMPUTER SVCS INC | CL A | 7,300 00 | 52 5118 | 383,336 12 | 59 1800 | 432,014 00 |
| RF - CAPITAL GUARDIAN II | ALLERGAN INC | СОМ | 10,200 00 | 54 1267 | 552,092 62 | 107 9600 | 1,101,192 00 |
| RF - CAPITAL GUARDIAN II | ALTERA CORP | СОМ | 33,600 00 | 17 7796 | 597,395 87 | 18 5300 | 622,608 00 |
| RF - CAPITAL GUARDIAN II | AMERICAN INTL GROUP INC | COM | 6,400 00 | 58 5154 | 374,498 38 | 68 2300 | 436,672 00 |
| RF - CAPITAL GUARDIAN II | AMERICAN STD COS INC DEL | СОМ | 12,200 00 | 28 3105 | 345,388 26 | 39 9500 | 487,390 00 |
| RF - CAPITAL GUARDIAN II | AMGEN INC | СОМ | 3,300 00 | 51 5354 | 170,066 71 | 78 8600 | 260,238 00 |
| RF - CAPITAL GUARDIAN II | ANHEUSER BUSCH COS INC | СОМ | 9,100 00 | 48 6091 | 442,343 22 | 42 9600 | 390,936 00 |
| RF - CAPITAL GUARDIAN II | APPLIED MATERIALS INC | COM | 65,100 00 | 12 1035 | 787,937 96 | 17 9400 | 1,167,894 00 |
| RF - CAPITAL GUARDIAN II | AUTOMATIC DATA PROCESSING INC | СОМ | 4,200 00 | 28 7023 | 120,549 77 | 45 8900 | 192,738 00 |
| RF - CAPITAL GUARDIAN II | AVON PRODS INC | СОМ | 8,400 00 | 29 8566 | 250,795 60 | 28 5500 | 239,820 00 |
| RF - CAPITAL GUARDIAN II | BAKER HUGHES INC | СОМ | 4,800 00 | 38.2493 | 183,596 64 | 60 7800 | 291,744 00 |
| RF - CAPITAL GUARDIAN II | BAXTER INTL INC | СОМ | 8,400 00 | 35 1357 | 295,139 82 | 37 6500 | 316,260 00 |
| RF - CAPITAL GUARDIAN II | BERKSHIRE HATHAWAY INC DEL | CL A | 8 00 | 73,700 0500 | 589,600 40 | 88,620 0000 | 708,960 00 |
| RF - CAPITAL GUARDIAN II | BOEING CO | СОМ | 2,800 00 | 54 7148 | 153,201 37 | 70 2400 | 196,672 00 |
| RF - CAPITAL GUARDIAN II | CABLEVISION SYS CORP | CABLEVISION NY GROUP COM | 12,929 00 | 22 2039 | 287,073 76 | 23 4700 | 303,443 63 |
| RF - CAPITAL GUARDIAN II | CAPITAL ONE FINL CORP | СОМ | 2,100 00 | 80 9776 | 170,052 87 | 86 4000 | 181,440 00 |
| RF - CAPITAL GUARDIAN II | CHEVRON CORP | COM | 1,816 00 | 52 1621 | 94,726 30 | 56 7700 | 103,094 32 |
| RF - CAPITAL GUARDIAN II | CHUBB CORP | СОМ | 4,000 00 | 72 2909 | 289,163 40 | 97 6500 | 390,600 00 |
| RF - CAPITAL GUARDIAN II | CISCO SYS INC | СОМ | 48,900 00 | 11 6743 | 570,873 97 | 17 1200 | 837,168 00 |
| RF - CAPITAL GUARDIAN II | CLEAR CHANNEL COMMUNICATIONS | COM | 5,600 00 | 29 8777 | 167,314 99 | 31 4500 | 176,120 00 |
| RF - CAPITAL GUARDIAN II | COCA COLA CO | СОМ | 4,100 00 | 43 8348 | 179,722 68 | 40 3100 | 165,271 00 |
| RF - CAPITAL GUARDIAN II | COMCAST CORP NEW | CL A | 8,000 00 | 33 0609 | 264,487 33 | 25 9600 | 207,680 00 |
| RF - CAPITAL GUARDIAN II | CORNING INC | СОМ | 9,800 00 | 18 2888 | 179,230 71 | 19 6600 | 192,668 00 |
| RF - CAPITAL GUARDIAN II | COSTCO WHSL CORP NEW | СОМ | 4,300 00 | 29 0617 | 124,965 24 | 49 4700 | 212,721 00 |
| RF - CAPITAL GUARDIAN II | DANAHER CORP | СОМ | 6,400 00 | 54 5747 | 349,278 30 | 55 7800 | 356,992 00 |
| RF - CAPITAL GUARDIAN II | DIRECTY GROUP INC | СОМ | 14,082 00 | 14 6161 | 205,824 06 | 14 1200 | 198,837 84 |
| RF - CAPITAL GUARDIAN II | DOW CHEM CO | COM | 4,500 00 | 46 7189 | 210,235 14 | 43 8200 | 197,190 00 |
| RF - CAPITAL GUARDIAN II | EBAY INC | COM | 7,100 00 | 13 0749 | 92,831 70 | 43 2500 | 307,075 00 |
| RF - CAPITAL GUARDIAN II | EXXON MOBIL CORP | COM | 3,100 00 | 33 8447 | 104,918 54 | 56 1700 | 174,127 00 |
| RF - CAPITAL GUARDIAN II | FEDERAL HOME LN MTG CORP | COM | 11,800 00 | 56 8428 | 670,745 09 | 65 3500 | 771,130 00 |
| RF - CAPITAL GUARDIAN II | FEDERAL NATL MTG ASSN | COM | 25,600 00 | 61 6282 | 1,577,683 11 | 48 8100 | 1,249,536 00 |
| RF - CAPITAL GUARDIAN II | FIFTH THIRD BANCORP | COM STK | 4,100 00 | 40 1914 | 164,784 76 | 37 7200 | 154,652 00 |
| RF - CAPITAL GUARDIAN II | FLUOR CORP NEW | COM | 8,800 00 | 42 0377 | 369,931 76 | 77 2600 | 679,888 00 |
| RF - CAPITAL GUARDIAN II | FOREST LABS INC | COM | 29,300 00 | 37 7781 | 1,106,899 01 | 40 6800 | 1,191,924 00 |
| RF - CAPITAL GUARDIAN II | GENERAL ELEC CO | COM | 36,500 00 | 32 1525 | 1,173,566 96 | 35 0500 | 1,279,325 00 |
| RF - CAPITAL GUARDIAN II | GENERAL MTRS CORP | COM | 2,900 00 | 22 5168 | 65,298 72 | 19 4200 | 56,318 00 |
| RF - CAPITAL GUARDIAN II | GOLDEN WEST FINL CORP DEL | COM | 4,200 00 | 38 2057 | 160,463 90 | 66 0000 | 277,200 00 |
| RF - CAPITAL GUARDIAN II | GOLDMAN SACHS GROUP INC | COM | 1,500 00 | 79 7837 | 119,675 55 | 127 7100 | 191,565 00 |
| RF - CAPITAL GUARDIAN II | HEWLETT PACKARD CO | COM | 8,300 00 | 20 8346 | 172,927 57 | 28 6300 | 237,629 00 |
| RF - CAPITAL GUARDIAN II | HUDSON CITY BANCORP INC | COM | 24,300 00 | 11 3187 | 275,044 45 | 12 1200 | 294,516 00 |
| RF - CAPITAL GUARDIAN II | HUNTSMAN CORP | COM | 21,100 00 | 19 1104 | 403,228 75 | 17 2200 | 363,342 00 |
| RF - CAPITAL GUARDIAN II | IAC INTERACTIVECORP | COM NEW | 6,550 00 | 24 0998 | 157,853 66 | 28 3100 | 185,430 50 |
| RF - CAPITAL GUARDIAN II | IKON OFFICE SOLUTIONS INC | COM | 20,400 00 | 11 5042 | 234,686 37 | 10 4100 | 212,364 00 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|-------------------------------|-----------------------------|--------------|----------------|-----------------|----------------------|-------------------|
| RF - CAPITAL GUARDIAN II | ILLINOIS TOOL WKS INC | СОМ | 4,000 00 | 75 8291 | 303,316 51 | 87 9900 | 351,960 00 |
| RF - CAPITAL GUARDIAN II | INTEL CORP | СОМ | 9,000 00 | 15 9818 | 143,836 20 | 24 9600 | 224,640 00 |
| RF - CAPITAL GUARDIAN II | IVAX CORP | | 5,600 00 | 19 4880 | 109,132 74 | 31 3300 | 175,448 00 |
| RF - CAPITAL GUARDIAN II | JPMORGAN CHASE + CO | СОМ | 23,584 00 | 29 6405 | 699,042 67 | 39 6900 | 936,048.96 |
| RF - CAPITAL GUARDIAN II | JABIL CIRCUIT INC | COM | 10,800 00 | 24 0866 | 260,135 05 | 37 0900 | 400,572 00 |
| RF - CAPITAL GUARDIAN II | KLA TENCOR CORP | СОМ | 23,300 00 | 33 2296 | 774,249 86 | 49 3300 | 1,149,389 00 |
| RF - CAPITAL GUARDIAN II | KRAFT FOODS INC | CL A | 7,400 00 | 29 7967 | 220,495 68 | 28 1400 | 208,236 00 |
| RF - CAPITAL GUARDIAN II | LEGGETT + PLATT INC | СОМ | 8,100 00 | 25 5877 | 207,259 98 | 22 9600 | 185,976 00 |
| RF - CAPITAL GUARDIAN II | LEXMARK INTL INC | CLA | 2,800 00 | 66 9338 | 187,414 51 | 44 8300 | 125,524 00 |
| RF - CAPITAL GUARDIAN II | LINCARE HLDGS INC | СОМ | 4,600 00 | 31 2309 | 143,662 25 | 41 9100 | 192,786 00 |
| RF - CAPITAL GUARDIAN II | LINEAR TECHNOLOGY CORP | СОМ | 5,400 00 | 29 0240 | 156,729 42 | 36 0700 | 194,778 00 |
| RF - CAPITAL GUARDIAN II | LOWES COS INC | USD0 50 | 5,800 00 | 42 5204 | 246,618 32 | 66 6600 | 386,628 00 |
| RF - CAPITAL GUARDIAN II | MEDTRONIC INC | СОМ | 6,800 00 | 57 9787 | 394,255 10 | 57 5700 | 391,476 00 |
| RF - CAPITAL GUARDIAN II | MICROSOFT CORP | СОМ | 19,900 00 | 23 9270 | 476,146 99 | 26 1500 | 520,385 00 |
| RF - CAPITAL GUARDIAN II | MILLENNIUM PHARMACEUTICALS | СОМ | 19,900 00 | 8 9556 | 178,216 27 | 9 7000 | 193,030 00 |
| RF - CAPITAL GUARDIAN II | NEWS CORP | CL A | 12,286 00 | 15 2943 | 187,905 31 | 15 5500 | 191,047 30 |
| RF - CAPITAL GUARDIAN II | NORTHROP GRUMMAN CORP | СОМ | 3,000 00 | 56 4912 | 169,473 70 | 60 1100 | 180,330 00 |
| RF - CAPITAL GUARDIAN II | PEPSICO INC | СОМ | 6,600 00 | 51 5929 | 340,512 98 | 59 0800 | 389,928 00 |
| RF - CAPITAL GUARDIAN II | PFIZER INC | СОМ | 10,300 00 | 27 4047 | 282,268 50 | 23 3200 | 240,196 00 |
| RF - CAPITAL GUARDIAN II | QUALCOMM INC | COM | 6,800 00 | 12 5258 | 85,175 76 | 43 0800 | 292,944 00 |
| RF - CAPITAL GUARDIAN II | QWEST COMMUNICATIONS INTL INC | COM | 35,100 00 | 4 3885 | 154,037 68 | 5 6500 | 198,315 00 |
| RF - CAPITAL GUARDIAN II | SLM CORP | COM | 15,300 00 | 37 4072 | 572,330 64 | 55 0900 | 842,877 00 |
| RF - CAPITAL GUARDIAN II | SANDISK CORP | СОМ | 17,300 00 | 52 4270 | 906,987 78 | 62 8200 | 1,086,786 00 |
| RF - CAPITAL GUARDIAN II | SPRINT NEXTEL CORP | COM SER 1 | 48,100 00 | 9 2236 | 443,656 09 | 23 3600 | 1,123,616 00 |
| RF - CAPITAL GUARDIAN II | STARWOOD HOTELS + RESORTS | PAIRD 1 CL B SH BEN + 1 COM | 3,100 00 | 34 0500 | 105,555 00 | 63 8600 | 197,966 00 |
| RF - CAPITAL GUARDIAN II | STATE STREET CORPORATION | СОМ | 2,800 00 | 39 6340 | 110,975 20 | 55 4400 | 155,232 00 |
| RF - CAPITAL GUARDIAN II | SYSCO CORP | COM | 20,200 00 | 32 8997 | 664,574 19 | 31 0500 | 627,210 00 |
| RF - CAPITAL GUARDIAN II | TARGET CORP | СОМ | 4,600 00 | 48 8282 | 224,609 82 | 54 9700 | 252,862 00 |
| RF - CAPITAL GUARDIAN II | TENET HEALTHCARE CORP | СОМ | 32,800 00 | 10 5972 | 347,587 14 | 7 6600 | 251,248 00 |
| RF - CAPITAL GUARDIAN II | TERADYNE INC | COM | 16,300 00 | 20 8214 | 339,388 30 | 14 5700 | 237,491 00 |
| RF - CAPITAL GUARDIAN II | TIME WARNER INC NEW | СОМ | 52,300 00 | 12 2003 | 638,073 77 | 17 4400 | 912,112 00 |
| RF - CAPITAL GUARDIAN II | UNITED PARCEL SVC INC | CL B | 3,000 00 | 72 1629 | 216,488 60 | 75 1500 | 225,450 00 |
| RF - CAPITAL GUARDIAN II | UNITED TECHNOLOGIES CORP | COM | 15,400 00 | 33 8619 | 521,472 68 | 55 9100 | 861,014 00 |
| RF - CAPITAL GUARDIAN II | VERIZON COMMUNICATIONS | COM USD 500 | 6,700 00 | 33 2964 | 223,085 88 | 30 1200 | 201,804 00 |
| RF - CAPITAL GUARDIAN II | WASHINGTON MUT INC | СОМ | 22,200 00 | 38 8848 | 863,241 98 | 43 5000 | 965,700 00 |
| RF - CAPITAL GUARDIAN II | WELLPOINT INC | СОМ | 3,700 00 | 51 7500 | 191,475 00 | 79 7900 | 295,223 00 |
| RF - CAPITAL GUARDIAN II | WELLS FARGO + CO NEW | СОМ | 15,100 00 | 53 5925 | 809,246 49 | 62 8300 | 948,733 00 |
| RF - CAPITAL GUARDIAN II | XILINX INC | COM | 23,400 00 | 22 8104 | 533,762 45 | 25 2100 | 589,914 00 |
| RF - CAPITAL GUARDIAN II | YAHOO INC | СОМ | 3,500 00 | 35 7190 | 125,016 63 | 39 1800 | 137,130 00 |
| RF - BGI INTER GOV BOND INDEX | BGI INT GOV BD INDEX FD B | INT GOVT BD INDEX FUND B | 3,270,079 00 | 29 2862 | 95,768,058 15 | 28 1297 | 91,986,239 87 |
| RF - BGI TIPS INDEX FUND | BGI US TIPS FUND B | | 9,335,580 15 | 14 1055 | 131,682,565 53 | 13 8426 | 129,228,645 77 |
| SOUTHEASTERN ASSET MGMT | ANHEUSER BUSCH COS INC | СОМ | 89,000 00 | 44 3191 | 3,944,399 60 | 42 9600 | 3,823,440 00 |
| SOUTHEASTERN ASSET MGMT | AON CORP | СОМ | 196,000 00 | 20 2040 | 3,959,980 45 | 35 9500 | 7,046,200 00 |
| SOUTHEASTERN ASSET MGMT | COMCAST CORP NEW | CL A SPL | 189,000 00 | 24 4178 | 4,614,961 50 | 25 6900 | 4,855,410 00 |
| SOUTHEASTERN ASSET MGMT | DELL INC | СОМ | 255,000 00 | 34 2220 | 8,726,620 30 | 29 9900 | 7,647,450 00 |
| SOUTHEASTERN ASSET MGMT | DIRECTV GROUP INC | СОМ | 352,000 00 | 10 9035 | 3,838,039 43 | 14 1200 | 4,970,240 00 |
| SOUTHEASTERN ASSET MGMT | DISNEY WALT CO | DISNEY COM | 209,000 00 | 18 8245 | 3,934,314 20 | 23 9700 | 5,009,730 00 |
| | | | | | | | |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|---------------------------|---|-----------------------------|------------|----------------|-----------------|----------------------|-------------------|
| SOUTHEASTERN ASSET MGMT | DISCOVERY HLDG CO | COM SER A | 51,100 00 | 15 1418 | 773,746 29 | 15 1500 | 774,165 00 |
| SOUTHEASTERN ASSET MGMT | GENERAL MTRS CORP | СОМ | 178,000 00 | 32 8580 | 5,848,727 20 | 19 4200 | 3,456,760 00 |
| SOUTHEASTERN ASSET MGMT | JACUZZI BRANDS INC | COM | 610,300 00 | 3 1747 | 1,937,492 02 | 8 4000 | 5,126,520 00 |
| SOUTHEASTERN ASSET MGMT | LEVEL 3 COMMUNICATIONS INC | COM | 842,304 00 | 6 0700 | 5,112,782 94 | 2 8700 | 2,417,412 48 |
| SOUTHEASTERN ASSET MGMT | LIBERTY MEDIA CORP | COM SER A | 608,000 00 | 8 7529 | 5,321,789 91 | 7 8700 | 4,784,960 00 |
| SOUTHEASTERN ASSET MGMT | TELEPHONE + DATA SYS INC | СОМ | 70,000 00 | 26 5974 | 1,861,820 32 | 36 0300 | 2,522,100 00 |
| SOUTHEASTERN ASSET MGMT | TELEPHONE + DATA SYS INC | SPL COM | 70,000 00 | 25 0329 | 1,752,301 58 | 34 6100 | 2,422,700 00 |
| SOUTHEASTERN ASSET MGMT | WASTE MGMT INC DEL | СОМ | 140,000 00 | 23 3471 | 3,268,600 00 | 30 3500 | 4,249,000 00 |
| SOUTHEASTERN ASSET MGMT | YUM BRANDS INC | COM | 118,000 00 | 22 0698 | 2,604,237 40 | 46 8800 | 5,531,840 00 |
| RF - TROWE PRICE | CENSTOR CORP | СОМ | 124,131 00 | • | Ŧ | | |
| RF - TROWE PRICE | CISCO SYS INC | СОМ | 2,463 00 | 18 0499 | 44,457 00 | 17 1200 | 42,166 56 |
| RF - TROWE PRICE | CONOR MEDSYSTEMS INC | СОМ | 12,996 00 | 22 4200 | 291,370 32 | 19 3500 | 251,472 60 |
| AF - TROWE PRICE | LEADIS TECHNOLOGY INC | СОМ | 20,000 00 | 5 2380 | 104,760 00 | 5 1500 | 103,000 00 |
| RF - TROWE PRICE | MINERVA NETWORKS INC | СОМ | 85,613 00 | 0 7500 | 64,209 75 | • | |
| RF - TROWE PRICE | MYOGEN INC | OC COM | 11,935 00 | 31 6363 | 377,579 25 | 30 1600 | 359,959 60 |
| RF - TROWE PRICE | TUMBLEWEED COMMUNICATIONS CORP | COM | 1,586 00 | 4 1800 | 6,629 48 | 3 0800 | 4,884 88 |
| RF - TROWE PRICE | VALUECLICK INC | COM | 10,000 00 | 19 2000 | 192,000 00 | 18 1100 | 181,100 00 |
| RF-KG REDDING | DIGITAL RLTY TR INC | СОМ | 36,200 00 | 12 0000 | 434,400 00 | 22 6300 | 819,206 00 |
| RF-KG REDDING | HILTON HOTELS CORP | COM | 25,500 00 | 16 4150 | 418,582 40 | 24 1100 | 614,805 00 |
| RF-KG REDDING | ST JOE CO | СОМ | 8,300 00 | 76 3804 | 633,957 02 | 67 2200 | 557,926 00 |
| RF-KG REDDING | STARWOOD HOTELS + RESORTS | PAIRD 1 CL B SH BEN + 1 COM | 31,399 00 | 41 7307 | 1,310,302 83 | 63 8600 | 2,005,140 14 |
| RF - ARTISAN SMALL CAP | AMN HEALTHCARE SVCS INC | COM | 33,800 00 | 15 1423 | 511,808 07 | 19 7800 | 668,564 00 |
| RF - ARTISAN SMALL CAP | ACTEL CORP | COM | 12,500 00 | 14 1789 | 177,236 49 | 12 7300 | 159,125 00 |
| RF - ARTISAN SMALL CAP | ACUITY BRANDS INC | COM | 5,600 00 | 27 5779 | 154,436 40 | 31 8000 | 178,080 00 |
| RF - ARTISAN SMALL CAP | ADVANCED DIGITAL INFORMATION | COM | 37,500 00 | 8 9382 | 335,180 63 | 9 7900 | 367,125.00 |
| RF - ARTISAN SMALL CAP | ADVO INC | COM | 21,850 00 | 28 9450 | 632,448 94 | 28 1800 | 615,733 00 |
| RF - ARTISAN SMALL CAP | ALBEMARLE CORP | COM | 11,700 00 | 29 5789 | 346,072 64 | 38 3500 | 448,695 00 |
| RF - ARTISAN SMALL CAP | ALTIRIS INC | COM | 25,200 00 | 15 4559 | 389,488 07 | 16 8900 | 425,628 00 |
| RF - ARTISAN SMALL CAP | AMERICA SVC GROUP INC | COM | 8,100 00 | 19 9739 | 161,788 96 | 15 8600 | 128,466 00 |
| RF - ARTISAN SMALL CAP | ANALOGIC CORP | COM PAR 0 05 | 4,900 00 | 43 0564 | 210,976 24 | 47 8500 | 234,465 00 |
| RF - ARTISAN SMALL CAP | ARCTIC CAT INC | COM | 9,700 00 | 19 9667 | 193,677 23 | | |
| RF - ARTISAN SMALL CAP | ARKANSAS BEST CORP | СОМ | 6,400 00 | 31 7399 | 203,135 24 | 20 0600 | 194,582 00 |
| RF · ARTISAN SMALL CAP | BELDEN CDT INC | COM | 19,400 00 | 20 3259 | 394,323 32 | 43 6800 | 279,552 00 |
| RF - ARTISAN SMALL CAP | BLACK BOX CORP | COM | 5,200 00 | 34 2454 | 178,076 09 | 24 4300 | 473,942 00 |
| RF - ARTISAN SMALL CAP | BORLAND SOFTWARE CORP | СОМ | 27,400 00 | 7 4805 | 204,964 98 | 47 3800 | 246,376 00 |
| RF - ARTISAN SMALL CAP | BROWN SHOE INC NEW | COM | 7,700 00 | 28 8060 | • | 6 5300 42 4300 | 178,922 00 |
| RF - ARTISAN SMALL CAP | C D I CORP | COM | 8,200 00 | 18 1978 | 221,806 55 | | 326,711 00 |
| RF - ARTISAN SMALL CAP | CSG SYS INTL INC | COM | | | 149,222 27 | 27 4000 | 224,680 00 |
| RF - ARTISAN SMALL CAP | CABOT OIL + GAS CORP | | 9,800 00 | 17 6293 | 172,766 75 | 22 3200 | 218,736 00 |
| RF - ARTISAN SMALL CAP | CAPITAL SOUTHWEST CORP | COM | 7,400 00 | 18 4706 | 136,682 12 | 45 1000 | 333,740 00 |
| RF - ARTISAN SMALL CAP | CAPITAL SOUTHWEST CORP CARRIZO OIL + GAS INC | COM | 3,276 00 | 57 4234 | 188,119 00 | 90 5000 | 296,478 00 |
| RF - ARTISAN SMALL CAP | CIBER INC | COM | 2,900 00 | 13 8752 | 40,238 00 | 24 7100 | 71,659 00 |
| RF - ARTISAN SMALL CAP | CIMAREX ENERGY CO | COM | 27,000 00 | 7 4293 | 200,591 56 | 6 6000 | 178,200 00 |
| RF - ARTISAN SMALL CAP | CONMED CORP | СОМ | 20,000 00 | 27 0656 | 541,312 43 | 43 0100 | 860,200 00 |
| RF - ARTISAN SMALL CAP | | 604 | 2,800 00 | 23 8541 | 66,791 50 | 23 6600 | 66,248 00 |
| RF - ARTISAN SMALL CAP | CROSS CTRY HEALTHCARE INC | СОМ | 18,000 00 | 15 9431 | 286,975 02 | 17 7800 | 320,040 00 |
| RF - ARTISAN SMALL CAP | DATASCOPE CORP | COM | 500 00 | 33 3742 | 16,687 10 | 33 0500 | 16,525 00 |
| III - AITHGAIT GNIALL CAP | DELTA + PINE LD CO | СОМ | 13,900 00 | 23 2352 | 322,969 05 | 23 0100 | 319,839 00 |





| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------------------|--------------------------------|----------------------|-----------|----------------|-----------------|----------------------|-------------------|
| RF - ARTISAN SMALL CAP | DIAMONDCLUSTER INTL INC | СОМ | 34,200 00 | 8 2987 | 283,814 72 | 7.9400 | 271,548 00 |
| RF - ARTISAN SMALL CAP | DYCOM INDS INC | COM | 10,800 00 | 18 8446 | 203,521 53 | 22 0000 | 237,600 00 |
| RF - ARTISAN SMALL CAP | EARTHLINK INC | COM | 10,900 00 | 9 6545 | 105,233 74 | 11 1100 | 121,099 00 |
| RF - ARTISAN SMALL CAP | EL PASO ELEC CO | COM NEW | 12,700 00 | 11 9912 | 152,287 98 | 21 0400 | 267,208 00 |
| RF - ARTISAN SMALL CAP | ETHAN ALLEN INTERIORS INC | СОМ | 19,300 00 | 33 6040 | 648,558 09 | 36 5300 | 705,029 00 |
| RF - ARTISAN SMALL CAP | FOREST OIL CORP | COM PAR 0 01 | 4,600 00 | 21 1903 | 97,475 38 | 45 5700 | 209,622 00 |
| RF - ARTISAN SMALL CAP | FURNITURE BRANDS INTL INC | COM | 38,900 00 | 22 3388 | 868,977 37 | 22 3300 | 868,637 00 |
| RF - ARTISAN SMALL CAP | GAMCO INVS INC | COM | 7,400 00 | 42 8988 | 317,451 16 | 43 5300 | 322,122 00 |
| RF - ARTISAN SMALL CAP | GARTNER INC | COM | 25,100 00 | 10 7091 | 268,799 31 | 12 9000 | 323,790 00 |
| RF - ARTISAN SMALL CAP | GENERALE CABLE CORP DEL NEW | СОМ | 20,600 00 | 7 3411 | 151,225 71 | 19 7000 | 405,820 00 |
| RF - ARTISAN SMALL CAP | GENLYTE GROUP INC | СОМ | 2,900 00 | 20 2427 | 58,703 71 | 53 5700 | 155,353 00 |
| RF - ARTISAN SMALL CAP | GLOBAL IMAGING SYS INC | СОМ | 2,500 00 | 31 8368 | 79,592 03 | 34 6300 | 86,575 00 |
| RF - ARTISAN SMALL CAP | GLOBAL PWR EQUIP GROUP INC | COM | 26,000 00 | 7 5345 | 195,895 89 | 4 5200 | 117,520 00 |
| RF - ARTISAN SMALL CAP | GRIFFON CORP | СОМ | 4,700 00 | 21 2775 | 100,004 46 | 23 8100 | 111,907 00 |
| RF - ARTISAN SMALL CAP | HILB ROGAL + HOBBS CO | СОМ | 29,700 00 | 29 4203 | 873,783 72 | 38 5100 | 1,143,747 00 |
| RF - ARTISAN SMALL CAP | IDT CORP | СОМ | 10,300 00 | 14 6949 | 151,357 27 | 11 5600 | 119,068 00 |
| RF - ARTISAN SMALL CAP | IDT CORP | CL B | 10,200.00 | 15 7988 | 161,148 00 | 11 7000 | 119,340 00 |
| RF - ARTISAN SMALL CAP | HYPERCOM CORP | СОМ | 17,200 00 | 4 5039 | 77,466 69 | 6 3900 | 109,908 00 |
| RF - ARTISAN SMALL CAP | IMATION CORP | COM | 1,400 00 | 31 8357 | 44,569 93 | 46 0700 | 64,498 00 |
| RF - ARTISAN SMALL CAP | KEANE INC | СОМ | 26,800 00 | 12 5399 | 336,069 32 | 11 0100 | 295,068 00 |
| RF - ARTISAN SMALL CAP | KELLWOOD CO | СОМ | 37,200 00 | 32 7843 | 1,219,576 09 | 23 8800 | 888,336 00 |
| RF - ARTISAN SMALL CAP | KIRBY CORP | СОМ | 1,300 00 | 28 0000 | 36,400 00 | 52 1700 | 67,821 00 |
| RF - ARTISAN SMALL CAP | KORN / FERRY INTL | COM NEW | 13,900 00 | 15 6181 | 217,091 93 | 18 6900 | 259,791 00 |
| RF - ARTISAN SMALL CAP | LTX CORP | COM | 43,400 00 | 4 2550 | 184,668 65 | 4 5000 | 195,300 00 |
| RF - ARTISAN SMALL CAP | LA Z BOY INC | СОМ | 17,700 00 | 13 7210 | 242,861 92 | 13 5600 | 240.012 00 |
| RF - ARTISAN SMALL CAP | LAWSON SOFTWARE INC | COM | 65,800 00 | 5 5171 | 363,022 05 | 7 3500 | 483,630 00 |
| RF - ARTISAN SMALL CAP | LINENS N THINGS INC | СОМ | 16,400 00 | 23 2576 | 381,425 40 | 26 6000 | 436,240 00 |
| RF - ARTISAN SMALL CAP | LONE STAR TECHNOLOGIES INC | СОМ | 7,000 00 | 45 4836 | 318,385 36 | 51 6600 | 361,620 00 |
| RF - ARTISAN SMALL CAP | MANHATTAN ASSOCS INC | COM | 15,600 00 | 19 7884 | 308,699 04 | 20 4800 | 319,488 00 |
| RF - ARTISAN SMALL CAP | MARVEL ENTMT INC | COM | 11,200 00 | 14 1416 | 158,386 41 | 16 3800 | 183,456 00 |
| RF - ARTISAN SMALL CAP | MEDICAL STAFFING NETWORK HLDGS | COM | 30,000 00 | 6 2793 | 188,378 10 | 5 3700 | 161,100 00 |
| RF - ARTISAN SMALL CAP | MOVIE GALLERY INC | COM | 40,600 00 | 17 0983 | 694,191 67 | 5 6100 | 227,766 00 |
| RF - ARTISAN SMALL CAP | MUELLER INDS INC | | 13,300 00 | 26 9362 | 358,251 34 | 27 4200 | 364,686 00 |
| RF - ARTISAN SMALL CAP | NATIONAL DENTEX CORP | COM | 8,350 00 | 15 3333 | 128,033 33 | 22 5400 | 188,209 00 |
| RF - ARTISAN SMALL CAP | NEWMARKET CORP | COM | 9,800 00 | 18 1248 | 177,623 11 | 24 4600 | 239,708 00 |
| RF - ARTISAN SMALL CAP | NEWPORT CORP | COM | 11,200 00 | 13 3342 | 149,342 88 | 13 5400 | 151,648 00 |
| RF - ARTISAN SMALL CAP | OCTEL CORP | СОМ | 7,700 00 | 18 9620 | 146,007 05 | 16 2700 | 125,279 00 |
| RF - ARTISAN SMALL CAP | 1 800 CONTACTS | COM | 12,500 00 | 17 6098 | 220,122 72 | 11 7100 | 146,375 00 |
| RF - ARTISAN SMALL CAP | PICO HLDGS INC | COM NEW | 13,400 00 | 13 4115 | 179,714 32 | 32 2600 | 432,284 00 |
| RF - ARTISAN SMALL CAP | PAYLESS SHOESOURCE INC | COM | 4,700 00 | 9 8226 | 46,166 03 | 25 1000 | 117,970 00 |
| RF - ARTISAN SMALL CAP | PENN VA CORP | COM | 3,000 00 | 34 7861 | 104,358 29 | 57 4000 | 172,200 00 |
| RF - ARTISAN SMALL CAP | PEP BOYS MANNY MOE + JACK | COM | 15,000 00 | 14 0172 | 210,257 39 | 14 8900 | 223,350 00 |
| RF - ARTISAN SMALL CAP | PETCO ANIMAL SUPPLIES INC | COM NEW | 11,700 00 | 20 6538 | 241,649 07 | 21 9500 | 256,815 00 |
| RF - ARTISAN SMALL CAP | PLAINS EXPL + PRODTN CO | COM | 21,628 00 | 10 4806 | 226,674 34 | 39 7300 | 859,280 44 |
| RF - ARTISAN SMALL CAP | PROQUEST COMPANY | COM | 8,700 00 | 25 1845 | 219,104 97 | 27 9100 | 242,817 00 |
| RF - ARTISAN SMALL CAP | QUANEX CORP | COM | 4,550 00 | 34 5452 | 157,180 44 | 49 9700 | 227,363 50 |
| RF - ARTISAN SMALL CAP | REMINGTON OIL GAS CORP | COM | 6,500 00 | 22 3127 | 145,032 85 | 36 5000 | 237,250 00 |
| | | | 5,550 | | | -5 -5000 | -0.,200 00 |





| RF - ARTISAN SMALL CAP RUBY TUESDAY INC COM 5,400 00 19 9841 427,231 48 18,8600 403,604 00 RF - ARTISAN SMALL CAP RUBY TUESDAY INC COM 5,400 00 21 6156 116,724 40 25 8900 139,806 00 RF - ARTISAN SMALL CAP SEMCO ENERGY INC COM 27,300 00 5 6481 154,193 47 5 6200 153,426 00 RF - ARTISAN SMALL CAP ST MARY LD + EXPL CO COM 27,300 00 14 2290 338,649 31 36 8100 876,778 00 RF - ARTISAN SMALL CAP SCHNITZER STL INDS INC CL A 9,200 00 23 7549 218,545 06 30 5900 281,428 00 RF - ARTISAN SMALL CAP SIMPSON MFG INC COM 15,400 00 19 2250 296,055 00 36 3500 559,790 00 RF - ARTISAN SMALL CAP STEWART INFORMATION SVCS CORP COM 24,600 00 31 2797 769,479 90 48 6700 1,197,282 00 RF - ARTISAN SMALL CAP STONE ENERGY CORP 16,100 00 37 5878 605,164 04 45 5300 733,033 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 8,400 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR ENSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TERA TECH INC NEW COM 24,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRENDONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TRENDONTAIGNE INC COM 100 00 18 6455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 7,300 00 19 6893 76,572 08 16 2200 10 100,806 00 10 10 10 10 10 10 10 10 10 10 10 10 |
|--|
| RF - ARTISAN SMALL CAP SEMCO ENERGY INC COM 27,300 00 5 6481 154,193 47 5 6200 153,428 00 RF - ARTISAN SMALL CAP ST MARY LD + EXPL CO COM 23,800 00 14 2290 338,649 31 36 8100 876,078 00 RF - ARTISAN SMALL CAP SCHNITZER STL INDS INC CL A 9,200 00 23 7549 218,545 06 30 5900 281,428 00 RF - ARTISAN SMALL CAP SIMPSON MFG INC COM 15,400 00 19 2250 296,065 00 36 3500 559,790 00 RF - ARTISAN SMALL CAP STEWART INFORMATION SVCS CORP COM 24,600 00 31 2797 769,479 90 48 6700 1,197,282 00 RF - ARTISAN SMALL CAP STONE ENERGY CORP 16,100 00 37 5878 605,164 04 45 5300 733,033 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 8,400 00 14 4826 121,654 04 21 0500 176,820 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR ESSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TERA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TERA TECH INC NEW COM 24,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TERA TECH INC SOM 66,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREBHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP TREBHOUSE FOODS INC COM 100 00 13 7285 46,676 81 16 4200 55,828 00 RF - ARTISAN SMALL CAP TREBHOUSE FOODS INC COM 100 00 13 7285 46,676 81 16 4200 55,828 00 RF - ARTISAN SMALL CAP TREBHOUSE FOODS INC COM 100 00 13 7285 46,676 81 16 4200 55,828 00 RF - ARTISAN SMALL CAP TREBHOUSE FOODS INC COM 100 00 13 7285 46,676 81 16 4200 55,828 00 RF - ARTISAN SMALL CAP TREBHOUSE FOODS INC COM 100 00 13 7285 46,676 81 16 4200 55,828 00 RF - ARTISAN SMALL CAP TREBHOUSE FOODS INC COM 100 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP ST MARY LD + EXPL CO COM 23,800 00 14 2290 338,649 31 36 8100 876,078 00 RF - ARTISAN SMALL CAP SCHNITZER STL INDS INC CL A 9,200 00 23 7549 218,545 06 30 5900 281,428 00 RF - ARTISAN SMALL CAP SIMPSON MFG INC COM 15,400 00 19 2250 296,065 00 36 3500 559,790 00 RF - ARTISAN SMALL CAP STEWART INFORMATION SVCS CORP COM 24,600 00 31 2797 769,479 90 48 6700 1,197,282 00 RF - ARTISAN SMALL CAP STONE ENERGY CORP 16,100 00 37 5878 605,164 04 45 5300 733,033 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR RESSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,3160 2 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP TREHOUSE FOODS INC COM 3,400 00 13 7285 46,676 81 16 4200 555,828 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 555,828 00 |
| RF - ARTISAN SMALL CAP SCHNITZER STL INDS INC CL A 9,200 00 23 7549 218,545 06 30 5900 281,428 00 RF - ARTISAN SMALL CAP SIMPSON MFG INC COM 15,400 00 19 2250 296,065 00 36 3500 559,790 00 RF - ARTISAN SMALL CAP STEWART INFORMATION SVCS CORP COM 24,600 00 31 2797 769,479 90 48 6700 1,197,282 00 RF - ARTISAN SMALL CAP STONE ENERGY CORP 16,100 00 37 5878 605,164 04 45 5300 733,033 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 8,400 00 14 4826 121,654 04 21 0500 176,820 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,551 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 5,582 00 55,828 00 |
| RF - ARTISAN SMALL CAP SIMPSON MFG INC COM 15,400 00 19 2250 296,065 00 36 3500 559,790 00 RF - ARTISAN SMALL CAP STEWART INFORMATION SVCS CORP COM 24,600 00 31 2797 769,479 90 48 6700 1,197,282 00 RF - ARTISAN SMALL CAP STONE ENERGY CORP 16,100 00 37 5878 605,164 04 45 5300 733,033 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 8,400 00 14 4826 121,654 04 21 0500 176,820 00 RF - ARTISAN SMALL CAP SUPERIOR ESSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP STEWART INFORMATION SVCS CORP COM 24,600 00 31 2797 769,479 90 48 6700 1,197,282 00 RF - ARTISAN SMALL CAP STONE ENERGY CORP 16,100 00 37 5878 605,164 04 45 5300 733,033 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 8,400 00 14 4826 121,654 04 21 0500 176,820 00 RF - ARTISAN SMALL CAP SUPERIOR ESSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP SUPERIOR INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP STONE ENERGY CORP 16,100 00 37 5878 605,164 04 45 5300 733,033 00 RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 8,400 00 14 4826 121,654 04 21 0500 176,820 00 RF - ARTISAN SMALL CAP SUPERIOR ESSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP SUPERIOR ENERGY SVCS INC COM 8,400 00 14 4826 121,654 04 21 0500 176,820 00 RF - ARTISAN SMALL CAP SUPERIOR ESSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP SUPERIOR ESSEX INC COM 14,000 00 13 9803 195,724.80 20 1600 282,240 00 RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP SUPERIOR INDS INTL INC COM 29,100 00 29 5083 858,691 57 22 2600 647,766 00 RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP TETRA TECH INC NEW COM 24,300 00 13 7167 333,316 02 15 6700 380,781 00 RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP TIBCO SOFTWARE INC COM 22,300 00 6 8165 152,008 88 7 4700 166,581 00 RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP TRANSMONTAIGNE INC COM 6,800 00 6 3868 43,429 97 6 6000 44,880 00 RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP TREEHOUSE FOODS INC COM 100 00 18 5455 1,854 55 18 7200 1,872 00 RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| RF - ARTISAN SMALL CAP ULTRATECH INC COM 3,400 00 13 7285 46,676 81 16 4200 55,828 00 |
| |
| RF - ARTISAN SMALL CAP UNITED ONLINE INC COM 7.300 00 10 4893 76.572 08 14 2200 103 806 00 |
| 170,000 00 |
| RF - ARTISAN SMALL CAP UNITED STATIONERS INC COM 7,300 00 40 1023 292,747 13 48 5000 354,050 00 |
| RF - ARTISAN SMALL CAP VIASYS HEALTHCARE INC COM NEW 2,400 00 16 7300 40,152 05 25 7000 61,680 00 |
| RF - ARTISAN SMALL CAP WATSON WYATT WORLDWIDE INC CL A 31,900 00 24 4912 781,268 16 27 9000 890,010 00 |
| RF - ARTISAN SMALL CAP WEBMETHODS INC COM 31,600 00 5 2053 164,488 99 7 7100 243,636 00 |
| RF - ARTISAN SMALL CAP WORLD WRESTLING ENTMT INC CL A 20,770 00 10 1265 210,327 34 14 6800 304,903 60 |
| RF - ARTISAN SMALL CAP ZALE CORP NEW COM 32,400 00 23 7509 769,529 92 25 1500 814,860 00 |
| RF-ENDOWMENT CAPITAL ENDOWNMENT CAPITAL LP LP 25,000,000 00 1 0000 25,000,000 00 1 0519 26,298,300 00 |
| RF - MARATHON ASSET MGMT LTD AMR CORP DEL COM 45,600 00 11 6900 533,064 00 22 2300 1,013,688 00 |
| RF - MARATHON ASSET MGMT LTD AT+T INC COM 34,200 00 24 6000 841,320 00 24 4900 837,558 00 |
| RF - MARATHON ASSET MGMT LTD AGERE SYS INC COM 31,700 00 13 0300 413,051 19 12 9000 408,930 00 |
| RF - MARATHON ASSET MGMT LTD AMAZON COM INC COM 12,500 00 34 1569 426,960 99 47 1500 589,375 00 |
| RF - MARATHON ASSET MGMT LTD AMERICAN EXPRESS CO COM 12,700 00 45 4066 576,663 39 51 4600 653,542 00 |
| RF - MARATHON ASSET MGMT LTD AMERIPRISE FINL INC COM 2,540 00 32 7672 83,228 61 41 0000 104,140 00 |
| RF - MARATHON ASSET MGMT LTD BAKER HUGHES INC COM 14,200 00 41 5723 590,326.67 60 7800 863,076 00 |
| RF - MARATHON ASSET MGMT LTD BERKSHIRE HATHAWAY INC DEL CL B 400 00 2,909 9000 1,163,960 00 2,935 5000 1,174,200 00 |
| RF - MARATHON ASSET MGMT LTD |
| RF - MARATHON ASSET MGMT LTD BRISTOL MYERS SQUIBB CO COM 24,400 00 25 3000 617,320 00 22 9800 560,712 00 |
| RF - MARATHON ASSET MGMT LTD CINCINNATI BELL INC NEW COM 109,500 00 4 4338 485,505 47 3.5100 384,345 00 |
| RF - MARATHON ASSET MGMT LTD CLEAR CHANNEL COMMUNICATIONS COM 22.600 00 30 1880 682,249 01 31 4500 710,770 00 |
| RF - MARATHON ASSET MGMT LTD COMCAST CORP NEW CL A SPL 30,800 00 29 0600 895,048 00 25 6900 791,252 00 |
| RF - MARATHON ASSET MGMT LTD COSTCO WHSL CORP NEW COM 63,900 00 43 9364 2,807,533 83 49 4700 3,161,133 00 |
| RF - MARATHON ASSET MGMT LTD DST SYS INC DEL COM 8,900 00 50 0798 445,709 87 59 9100 533,199 00 |
| RF - MARATHON ASSET MGMT LTD DELL INC COM 17,000 00 34 8100 591,770 00 29 9900 509,830.00 |
| RF - MARATHON ASSET MGMT LTD DISCOVERY HLDG CO COM SER A 32,930 00 14 5285 478,422 26 15 1500 498,889 50 |
| RF - MARATHON ASSET MGMT LTD DOW JONES + CO INC COM 13,000 00 42 0951 547,235 83 35 4900 461,370 00 |
| RF - MARATHON ASSET MGMT LTD GOLDMAN SACHS GROUP INC COM 6,100 00 89 1800 543,998 00 127 7100 779,031 00 |
| RF - MARATHON ASSET MGMT LTD HEWLETT PACKARD CO COM 40,700 00 28 6659 1,166,702 89 28 6300 1,165,241 00 |
| RF - MARATHON ASSET MGMT LTD HOLLINGER INTERNATIONAL INC CL A 60,800 00 16 5000 1,003,200 00 8 9600 544,768 00 |
| RF - MARATHON ASSET MGMT LTD IMS HEALTH INC COM 42,300 00 24 5400 1,038,042 00 24 9200 1,054,116 00 |
| RF - MARATHON ASSET MGMT LTD INTEL CORP COM 15,200 00 27 6400 420,128 00 24 9600 379,392 00 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--------------------------------|--------------------------------|----------------------|----------------|----------------|-----------------|----------------------|-------------------|
| RF - MARATHON ASSET MGMT LTD | INTERNATIONAL SPEEDWAY CORP | CLA | 16,400 00 | 47 8100 | 784,084 00 | 47 9000 | 785,560 00 |
| RF - MARATHON ASSET MGMT LTD | KANSAS CITY SOUTHERN | COM NEW | 41,900 00 | 15 6374 | 655,208 13 | 24 4300 | 1,023,617 00 |
| RF - MARATHON ASSET MGMT LTD | LEARNING TREE INTL INC | COM | 7,400 00 | 13 9600 | 103,304 00 | 12 8300 | 94,942 00 |
| RF · MARATHON ASSET MGMT LTD | LEVEL 3 COMMUNICATIONS INC | COM | 65,700 00 | 1 9880 | 130,612 79 | 2 8700 | 188,559 00 |
| RF - MARATHON ASSET MGMT LTD | LEXMARK INTL INC | CL A | 7,300 00 | 62 0671 | 453,090 07 | 44 8300 | 327,259 00 |
| RF - MARATHON ASSET MGMT LTD | LIBERTY GLOBAL INC | COM SER A | 48,844 00 | 17 9088 | 874,739 21 | 22 5000 | 1,098,990 00 |
| RF - MARATHON ASSET MGMT LTD | LIBERTY GLOBAL INC | COM SER C | 48,844 00 | 16 9536 | 828,081 91 | 21 2000 | 1,035,492 80 |
| RF - MARATHON ASSET MGMT LTD | LIBERTY MEDIA CORP | COM SER A | 101,300 00 | 7 8030 | 790,443 43 | 7 8700 | 797,231 00 |
| RF - MARATHON ASSET MGMT LTD | CCE SPINCO INC | | 2,825 00 | 10 4078 | 29,402 15 | 13 1000 | 37,007 50 |
| RF - MARATHON ASSET MGMT LTD | LUCENT TECHNOLOGIES INC | СОМ | 339,600 00 | 3 4700 | 1,178,412 00 | 2 6600 | 903,336 00 |
| RF - MARATHON ASSET MGMT LTD | MBIA INC | СОМ | 11,100 00 | 57 0900 | 633,699 00 | 60 1600 | 667,776 00 |
| RF - MARATHON ASSET MGMT LTD | MGIC INVT CORP WIS | СОМ | 7,000 00 | 75 1800 | 526,260 00 | 65 8200 | 460,740 00 |
| RF - MARATHON ASSET MGMT LTD | MERCURY GEN CORP | СОМ | 13,600 00 | 49 8500 | 677,960 00 | 58 2200 | 791,792 00 |
| RF - MARATHON ASSET MGMT LTD | MICROSOFT CORP | COM | 19,500 00 | 28 1918 | 549,740 70 | 26 1500 | 509,925 00 |
| RF - MARATHON ASSET MGMT LTD | MOODYS CORP | COM | 28,000 00 | 32 7600 | 917,280 00 | 61 4200 | 1,719,760 00 |
| RF - MARATHON ASSET MGMT LTD | 99 CENTS ONLY STORES | COM | 44,900 00 | 14 2821 | 641,268 21 | 10 4600 | 469,654 00 |
| RF - MARATHON ASSET MGMT LTD | NORTHWEST AIRLS CORP | CLASS A | 37,400 00 | 10 2000 | 381,480 00 | 0 5400 | 20,196 00 |
| RF - MARATHON ASSET MGMT LTD | PRIMEDIA INC | COM | 240,700 00 | 2 6000 | 625,820 00 | 1 6100 | 387,527 00 |
| RF - MARATHON ASSET MGMT LTD | RAYTHEON CO | COM NEW | 7,000 00 | 39 3863 | 275,704 28 | 40 1500 | 281,050 00 |
| RF - MARATHON ASSET MGMT LTD | SCHERING PLOUGH CORP | СОМ | 74,000 00 | 16 5500 | 1,224,700 00 | 20 8500 | 1,542,900 00 |
| RF - MARATHON ASSET MGMT LTD | SCOTTS MIRACLE GRO CO | CL A | 26,000 00 | 33 1650 | 862,290 00 | 45 2400 | 1,176,240 00 |
| RF - MARATHON ASSET MGMT LTD | SPRINT NEXTEL CORP | COM SER 1 | 65,403 00 | 20 2682 | 1,325,601 73 | 23 3600 | 1,527,814 08 |
| RF - MARATHON ASSET MGMT LTD | SUN MICROSYSTEMS INC | СОМ | 219,800 00 | 4 0400 | 887,992 00 | 4 1900 | 920,962 00 |
| RF - MARATHON ASSET MGMT LTD | SUPERIOR ESSEX INC | СОМ | 30,700 00 | 19 1571 | 588,124 32 | 20 1600 | 618,912 00 |
| RF - MARATHON ASSET MGMT LTD | US AWYS GROUP INC | СОМ | 11,300 00 | 19 7047 | 222,663 24 | 37 1400 | 419,682 00 |
| RF - MARATHON ASSET MGMT LTD | VIACOM INC | CL A | 11,500 00 | 36 7156 | 422,228 94 | 32 7600 | 376,740 00 |
| RF - MARATHON ASSET MGMT LTD | VIAD CORP | COM NEW | 26,600 00 | 27 8634 | 741,166 06 | 29 3300 | 780,178 00 |
| RF - MARATHON ASSET MGMT LTD | XEROX CORP | СОМ | 82,400 00 | 14 2200 | 1,171,728 00 | 14 6500 | 1,207,160 00 |
| RF - ADAGE CAPITAL | ADAGE CAPITAL PARNTERS | LP | 100,000,000 00 | 1 0000 | 100,000,000 00 | 1 1799 | 117,987,700 00 |
| RF - APS ASSET MANAGEMENT | APS CHINA | A SHARE FUND | 96,127 45 | 104 0286 | 10,000,000 00 | 110 5300 | 10,624,967 05 |
| RF - APS ASSET MANAGEMENT | APS SMALL CAP ALPHA FUNDS | | 100,000 00 | 100 0000 | 10,000,000 00 | 97 3500 | 9,735,000 00 |
| RF-PZENA INVESTMENT MANAGEMENT | AFTERMARKET TECHNOLOGY CORP | COM | 20,675 00 | 15 2668 | 315,640 44 | 19 4400 | 401,922 00 |
| RF-PZENA INVESTMENT MANAGEMENT | AMERICAN NATL INS CO | СОМ | 2,825 00 | 105 7941 | 298,868 33 | 116 9900 | 330,496 75 |
| RF-PZENA INVESTMENT MANAGEMENT | AMERUS GROUP CO | СОМ | 6,025 00 | 44 2960 | 266,883 40 | 56 6700 | 341,436 75 |
| RF-PZENA INVESTMENT MANAGEMENT | ARVINMERITOR INC | СОМ | 41,750 00 | 17 4329 | 727,825 63 | 14 3900 | 600,782 50 |
| RF-PZENA INVESTMENT MANAGEMENT | BEARINGPOINT INC | СОМ | 40,125 00 | 8 0338 | 322,356 19 | 7 8600 | 315,382 50 |
| RF-PZENA INVESTMENT MANAGEMENT | BOWNE + CO INC | СОМ | 36,100 00 | 14 1311 | 510,132 86 | 14 8400 | 535,724 00 |
| RF-PZENA INVESTMENT MANAGEMENT | CIBER INC | СОМ | 62,450 00 | 7 9632 | 497,303 07 | 6 6000 | 412,170 00 |
| RF-PZENA INVESTMENT MANAGEMENT | COMMSCOPE INC | СОМ | 21,250 00 | 14 4880 | 307,869 03 | 20 1300 | 427,762 50 |
| RF-PZENA INVESTMENT MANAGEMENT | DEL MONTE FOODS CO | СОМ | 43,300 00 | 10 9790 | 475,391 78 | 10 4300 | 451,619 00 |
| RF-PZENA INVESTMENT MANAGEMENT | DELPHI FINL GROUP INC | | 6,925 00 | 44 8619 | 310,668 82 | 46 0100 | 318,619 25 |
| RF-PZENA INVESTMENT MANAGEMENT | FMC CORP | COM NEW | 7,875 00 | 47 8613 | 376,907 44 | 53 1700 | 418,713 75 |
| RF-PZENA INVESTMENT MANAGEMENT | FIRST CTZNS BANCSHARES INC N C | | 1,075 00 | 142 0890 | 152,745 72 | 174 4200 | 187,501 50 |
| RF-PZENA INVESTMENT MANAGEMENT | GLOBAL IMAGING SYS INC | COM | 11,200 00 | 33 2236 | 372,104 26 | 34 6300 | 387,856 00 |
| RF-PZENA INVESTMENT MANAGEMENT | HANGER ORTHOPEDIC GROUP | COM NEW | 21,050 00 | 7 2900 | 153,454 50 | 5 7100 | 120,195 50 |
| RF-PZENA INVESTMENT MANAGEMENT | HORACE MANN EDUCATORS CORP NEW | NEW COM | 26,875 00 | 18 2189 | 489,632 98 | 18 9600 | 509,550 00 |
| RF-PZENA INVESTMENT MANAGEMENT | IDACORP INC | COM | 12,725 00 | 29 9645 | 381,298 16 | 29 3000 | 372,842.50 |
| | | | | | | | |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--------------------------------|--------------------------------|----------------------|---------------|----------------|-----------------|----------------------|-------------------|
| RF-PZENA INVESTMENT MANAGEMENT | JACKSON HEWITT TAX SVC INC | СОМ | 950 00 | 23 4498 | 22,277 31 | 27 7100 | 26,324 50 |
| RF-PZENA INVESTMENT MANAGEMENT | KELLWOOD CO | СОМ | 13,175 00 | 28 7441 | 378,703 52 | 23 8800 | 314,619 00 |
| RF-PZENA INVESTMENT MANAGEMENT | KELLY SVCS INC | CL A | 18,375 00 | 28 2360 | 518,836 24 | 26 2200 | 481,792 50 |
| RF-PZENA INVESTMENT MANAGEMENT | KENNAMETAL INC | СОМ | 8,925 00 | 47 6824 | 425,565 14 | 51 0400 | 455,532 00 |
| RF-PZENA INVESTMENT MANAGEMENT | LEAR CORP | СОМ | 16,125 00 | 32 2049 | 519,303 70 | 28 4600 | 458,917.50 |
| RF-PZENA INVESTMENT MANAGEMENT | LIBBEY INC | СОМ | 22,075 00 | 17 5863 | 388,218 20 | 10 2200 | 225,606 50 |
| RF-PZENA INVESTMENT MANAGEMENT | MAYTAG CORP | СОМ | 19,650 00 | 15 4835 | 304,250 78 | 18 8200 | 369,813 00 |
| RF-PZENA INVESTMENT MANAGEMENT | MILACRON INC | СОМ | 51,200 00 | 3 0556 | 156,444 70 | 1 2600 | 64,512 00 |
| RF-PZENA INVESTMENT MANAGEMENT | MONEYGRAM INTL INC | СОМ | 15,350 00 | 19 2484 | 295,462 94 | 26 0800 | 400,328 00 |
| RF-PZENA INVESTMENT MANAGEMENT | MYERS IND INC | СОМ | 20,550 00 | 12 6641 | 260,247 00 | 14 5800 | 299,619 00 |
| RF-PZENA INVESTMENT MANAGEMENT | NBTY INC | СОМ | 22,925 00 | 22 9651 | 526,475 24 | 16 2500 | 372,531 25 |
| RF-PZENA INVESTMENT MANAGEMENT | NCI BLDG SYS INC | СОМ | 7,400 00 | 35 0273 | 259,201 89 | 42 4800 | 314,352 00 |
| RF-PZENA INVESTMENT MANAGEMENT | NACCO INDS INC | CL A | 3,150 00 | 96 2344 | 303,138 36 | 117 1500 | 369,022 50 |
| RF-PZENA INVESTMENT MANAGEMENT | PHH CORP | COM NEW | 17,200 00 | 20 9147 | 359,733 63 | 28 0200 | 481,944 00 |
| RF-PZENA INVESTMENT MANAGEMENT | RENT A CTR INC NEW | СОМ | 24,650 00 | 24 0931 | 593,895 46 | 18 8600 | 464,899 00 |
| RF-PZENA INVESTMENT MANAGEMENT | ROBBINS + MYERS INC | СОМ | 2,850 00 | 21 8397 | 62,243 21 | 20 3500 | 57,997 50 |
| RF-PZENA INVESTMENT MANAGEMENT | SPHERION CORP | COM | 54,025 00 | 7 2541 | 391,900 44 | 10 0100 | 540,790 25 |
| RF-PZENA INVESTMENT MANAGEMENT | U S I HLDGS CORP | COM | 33,250 00 | 11 6720 | 388,093 92 | 13 7700 | 457,852 50 |
| RF-PZENA INVESTMENT MANAGEMENT | UNITED AMER INDTY LTD | СОМ | 16,550 00 | 18 2960 | 302,799 39 | 18 3600 | 303,858 00 |
| RF-PZENA INVESTMENT MANAGEMENT | UNITED STATIONERS INC | СОМ | 9,025 00 | 43 6470 | 393,913 93 | 48 5000 | 437,712 50 |
| RF-PZENA INVESTMENT MANAGEMENT | VALASSIS COMMUNICATIONS INC | COM | 16,250 00 | 33 0175 | 536,534 15 | 29 0700 | 472,387 50 |
| RF-PZENA INVESTMENT MANAGEMENT | VIAD CORP | COM NEW | 16,550 00 | 27 6201 | 457,112 16 | 29 3300 | 485,411 50 |
| RP - LONE CASCADE LP | LONE CASCADE LP | | 75,000,000 00 | 1 0000 | 75,000,000 00 | 1 2421 | 93,157,200 00 |
| RF - WELLINGTON MANAGEMENT CO | ALLIANT TECHSYSTEMS INC | СОМ | 49,500 00 | 71 7659 | 3,552,414 28 | 76 1700 | 3,770,415 00 |
| RF - WELLINGTON MANAGEMENT CO | ALTERA CORP | СОМ | 210,900 00 | 19 2345 | 4,056,548 08 | 18 5300 | 3,907,977 00 |
| RF - WELLINGTON MANAGEMENT CO | AMBAC FINL GROUP INC | COM | 47,400 00 | 69 3923 | 3,289,197 21 | 77 0600 | 3,652,644 00 |
| RF - WELLINGTON MANAGEMENT CO | COGNIZANT TECHNOLOGY SOLUTIONS | CL A | 61,100 00 | 45 4890 | 2,779,375 60 | 50 3500 | 3,076,385 00 |
| RF - WELLINGTON MANAGEMENT CO | COVENTRY HEALTH CARE INC | COM | 62,550 00 | 43 5333 | 2,723,010 00 | 56 9600 | 3,562,848 00 |
| RF - WELLINGTON MANAGEMENT CO | D R HORTON INC | СОМ | 73,100 00 | 28 6700 | 2,095,777 00 | 35 7300 | 2,611,863 00 |
| RF - WELLINGTON MANAGEMENT CO | DAVITA INC | COM | 77,700 00 | 41 4962 | 3,224,254 70 | 50 6400 | 3,934,728 00 |
| RF - WELLINGTON MANAGEMENT CO | EOG RESOURCES INC | COM | 65,000 00 | 53 4408 | 3,473,653 44 | 73 3700 | 4,769,050 00 |
| RF - WELLINGTON MANAGEMENT CO | E TRADE FINL CORP | ÇOM | 190,400 00 | 17 9549 | 3,418,621 46 | 20 8600 | 3,971,744 00 |
| RF - WELLINGTON MANAGEMENT CO | EQUIFAX INC | СОМ | 55,600 00 | 38 0215 | 2,113,997 07 | 38 0200 | 2,113,912 00 |
| RF - WELLINGTON MANAGEMENT CO | EXPEDITORS INTL WAINC | COM | 43,000 00 | 51 1071 | 2,197,607 22 | 67 5100 | 2,902,930 00 |
| RF - WELLINGTON MANAGEMENT CO | HARRAHS ENTMT INC | COM | 62,000 00 | 64 1401 | 3,976,688 04 | 71 2900 | 4,419,980 00 |
| RF - WELLINGTON MANAGEMENT CO | INVESTMENT TECHNOLOGY GROUP | COM | 101,100 00 | 38 6066 | 3,903,125 91 | 35 4400 | 3,582,984 00 |
| RF - WELLINGTON MANAGEMENT CO | JABIL CIRCUIT INC | СОМ | 138,900 00 | 26 8800 | 3,733,632 00 | 37 0900 | 5,151,801 00 |
| RF - WELLINGTON MANAGEMENT CO | MOHAWK INDS INC | COM | 39,400 00 | 84 6097 | 3,333,621 31 | 86 9800 | 3,427,012 00 |
| RF - WELLINGTON MANAGEMENT CO | MONSTER WORLDWIDE INC | СОМ | 75,200 00 | 24 2800 | 1,825,856 00 | 40 8200 | 3,069,664 00 |
| RF - WELLINGTON MANAGEMENT CO | NVIDIA CORP | COM | 102,700 00 | 33 0466 | 3,393,880 82 | 36 5600 | 3,754,712 00 |
| RF - WELLINGTON MANAGEMENT CO | OFFICE DEPOT INC | COM | 96,500 00 | 29 6417 | 2,860,425 25 | 31 4000 | 3,030,100 00 |
| RF - WELLINGTON MANAGEMENT CO | PACCAR INC | COM | 36.100 00 | 66 1107 | 2,386,596 58 | 69 2300 | 2,499,203 00 |
| RF - WELLINGTON MANAGEMENT CO | PACIFIC SUNWEAR OF CALIF | COM | 120,500 00 | 23 4488 | 2,825,585 05 | 24 9200 | 3,002,860 00 |
| RF · WELLINGTON MANAGEMENT CO | PIXAR | COM | 67,700 00 | 46 8769 | 3,173,566 13 | 52 7200 | 3,569,144 00 |
| RF - WELLINGTON MANAGEMENT CO | RED HAT INC | COM | 168,900 00 | 14 6830 | 2,479,964 40 | 27 2400 | 4,600,836 00 |
| RF - WELLINGTON MANAGEMENT CO | ROCKWELL COLLINS INC | COM | 85,800 00 | 47 1925 | 4,049,115 06 | 46 4700 | 3,987,126 00 |
| RF - WELLINGTON MANAGEMENT CO | ROHM + HAAS CO . | COM | 71,700 00 | 42 9614 | 3,080,329 50 | 48 4200 | 3,471,714 00 |
| WELLINGTON MANAGEMENT OU | COLINI T HAVE GO | CON | 71,700 00 | 42 5014 | 3,000,329 50 | 40 4200 | 3,4/1,/14 00 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--|-----------------------------------|-----------------------------------|---------------------|-------------------|------------------|----------------------|-------------------|
| RF - WELLINGTON MANAGEMENT CO | SANDISK CORP | COM | 57,100 00 | 26 9132 | 1,536,743 32 | 62 8200 | 3,587,022 00 |
| RF - WELLINGTON MANAGEMENT CO | STATE STREET CORPORATION | СОМ | 61,400 00 | 54 2981 | 3,333,903 34 | 55 4400 | 3,404,016 00 |
| RF - WELLINGTON MANAGEMENT CO | STRAYER ED INC | COM | 34,800 00 | 92 1653 | 3,207,351 66 | 93 7000 | 3,260,760 00 |
| RF - WELLINGTON MANAGEMENT CO | TEKTRONIX INC | СОМ | 141,500 00 | 24 9265 | 3,527,098 80 | 28 2100 | 3,991,715 00 |
| RF - WELLINGTON MANAGEMENT CO | UNIVISION COMMUNICATIONS INC | CL A | 143,100 00 | 25 9358 | 3,711,407 50 | 29 3900 | 4,205,709 00 |
| RF - BRIDGEWATER ASSOCIATES | BRIDGEWATER PURE ALPHA FUND | SERIES 1 | 30,172 29 | 1,672 3958 | 50,460,007 44 | 1,658 7214 | 50,047,416 90 |
| RF - BRIDGEWATER ASSOCIATES | BRIDGEWATER PURE ALPHA FUND | SERIES III | 700 00 | 1,000 0000 | 700,000 00 | 1,006 5467 | 704,582 69 |
| RF - BRIDGEWATER ASSOCIATES | BRIDGEWATER ST INV FUND I LLC | | 569,342 15 | 10 2550 | 5,838,587 95 | 10 3956 | 5,918,666 30 |
| RF- BGI PURE ALPHA | BGI MULTI STRATEGY FUND LTD | | 49,757 40 | 1,004 8757 | 50,000,000 00 | 992 3100 | 49,374,765 59 |
| RF - BRAHMAN CAPITAL | BRAHMAN PARTNERS IV OFFSHORE | OTHER STOCK | 50,000 00 | 1,000 0000 | 50,000,000 00 | 1,031 7900 | 51,589,500 00 |
| | COMMON STOCK TOTAL | | 236,779,714.66 | | 1,102,061,419.94 | | 1,244,365,140.33 |
| | PREFERRED STOCK | | | | | | |
| DE. WHIRDOODWILL ASSOCIATES | | PED 13 50PCT | 553 68 | 1 0000 | 553 68 | _ | _ |
| RF- WHIPPOORWILL ASSOCIATES | BDK HLDGS INC | PFD 13 50PCT | | | 31 06 | • | • |
| RF- WHIPPOORWILL ASSOCIATES RF - CAPITAL GUARDIAN II | TOKHEIM CORP GENERAL MTRS CORP | PFD SERIES A SR DEB CONV SER C | 129 33 12,600 00 | 0 2402 19 0943 | 240,588 67 | 15 7500 | 198,450 00 |
| | | | | 19 0943 | 240,300 67 | 15 /500 | 190,450 00 |
| RF - TROWE PRICE | CENSTOR CORP | PFD CONV SER B | 15,755 00 | - | • | • | • |
| RF - TROWE PRICE RF - PIMCO | CENSTOR CORP | SERIES A PFD | 31,058 00 | 1 000 7000 | 2 002 270 00 | 276 5040 | 920 792 00 |
| RF - PIMCO | HOME OWNERSHIP | SER 144A PFD | 3,000 00 | 1,000 7900 | 3,002,370 00 | 276 5940 | 829,782 00 |
| | PREFERRED STOCK TOTAL | | 63,096 01 | | 3,243,543.41 | | 1,028,232.00 |
| | REAL ESTATE | | | | | | |
| RF- WHIPPOORWILL ASSOCIATES | METROPOLIS RLTY HLDGS LLC | UNIT LTD LIABILTY CO | 39,786 00 | • | • | 0 0200 | 795 72 |
| RF - CAPITAL GUARDIAN II | GENERAL GROWTH PPTYS INC | СОМ | 2,100 00 | 34 6182 | 72,698 22 | 46 9900 | 98,679 00 |
| RF-KG REDDING | ACADIA RLTY TR | СОМ | 35,600 00 | 18 2983 | 651,420 14 | 20 0500 | 713,780 00 |
| RF-KG REDDING | AMERICAN FINL RLTY TR | СОМ | 21,714 00 | 14 3039 | 310,595 53 | 12 0000 | 260,568 00 |
| RF-KG REDDING | BRE PPTYS INC | СОМ | 26,200 00 | 46 5882 | 1,220,611 12 | 45 4800 | 1,191,576 00 |
| RF-KG REDDING | CAMDEN PPTY TR | | 20,751 00 | 34 3785 | 713,387 47 | 57 9200 | 1,201,897 92 |
| RF-KG REDDING | EQUITY RESIDENTIAL | SH BEN INT | 48,700 00 | 37 5635 | 1,829,342 58 | 39 1200 | 1,905,144 00 |
| RF-KG REDDING | FIRST INDL RLTY TR INC | СОМ | 19,700 00 | 39 1024 | 770,317 86 | 38 5000 | 758,450 00 |
| RF-KG REDDING | GENERAL GROWTH PPTYS INC | СОМ | 40,500 00 | 42 9434 | 1,739,205 85 | 46 9900 | 1,903,095 00 |
| RF-KG REDDING | GLENBOROUGH RLTY TR INC | СОМ | 30,800 00 | 18 5561 | 571,529 06 | 18 1000 | 557,480 00 |
| RF-KG REDDING | MAGUIRE PPTYS INC | СОМ | 41,000 00 | 28 3797 | 1,163,566 05 | 30 9000 | 1,266,900 00 |
| RF-KG REDDING | OMEGA HEALTHCARE INVESTORS | REAL ESTATE | 43,000 00 | 10 4106 | 447,653 67 | 12 5900 | 541,370 00 |
| RF-KG REDDING | POST PPTYS INC | СОМ | 14,598 00 | 38 3228 | 559,435 86 | 39 9500 | 583,190 10 |
| RF-KG REDDING | PROLOGIS | SH BEN INT | 43,720 00 | 40 9500 | 1,790,333 91 | 46 7200 | 2,042,598 40 |
| RF-KG REDDING | RAMCO GERSHENSON PPTYS TR | COM SH BEN INT | 16,550 00 | 24 9999 | 413,748 53 | 26 6500 | 441,057 50 |
| RF-KG REDDING | RECKSON ASSOCS RLTY CORP | СОМ | 31,000 00 | 33 9055 | 1,051,069 64 | 35 9800 | 1,115,380 00 |
| RF-KG REDDING | REGENCY CTRS CORP | COM | 24,372 00 | 50 6133 | 1,233,548 01 | 58 9500 | 1,436,729 40 |
| RF-KG REDDING | SIMON PPTY GROUP INC NEW | COM | 32,829 00 | 59 4648 | 1,952,170 20 | 76 6300 | 2,515,686 27 |
| RF-KG REDDING | SUNSTONE HOTEL INVS INC NEW | СОМ | 31,900 00 | 23 8624 | 761,209 07 | 26 5700 | 847,583 00 |
| RF-KG REDDING | TRIZEC PPTYS INC | СОМ | 57,400 00 | 22 2874 | 1,279,299 21 | 22 9200 | 1,315,608 00 |
| RF-KG REDDING | VENTAS INC | СОМ | 33,905 00 | 27 6024 | 935,858 66 | 32 0200 | 1,085,638 10 |
| RF - ARTISAN SMALL CAP | ANNALY MTG MGMT INC | СОМ | 20,200 00 | 11 7963 | 238,284 30 | 10 9400 | 220,988 00 |
| RF - ARTISAN SMALL CAP | COUSINS PPTYS INC | СОМ | 5,800 00 | 28 6188 | 165,988 94 | 28 3000 | 164,140 00 |
| RF - ARTISAN SMALL CAP | EAGLE HOSPITALITY PPTYS TR INC | СОМ | 17,700 00 | 9 3314 | 165,166 10 | 7 6300 | 135,051 00 |
| RF HEDGE FUND - REAL ESTATE | K G REDDING WELLS ST OFFSHORE | | 25,000 00 | 1,000 0000 | 25,000,000 00 | 1,090 3600 | 27,259,000 00 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--------------------------------|-------------------------------|-------------------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF-PZENA INVESTMENT MANAGEMENT | AMERICAN HOME MTG INVT CORP | СОМ | 13,825 00 | 32 6746 | 451,726 95 | 32.5700 | 450,280 25 |
| RF-PZENA INVESTMENT MANAGEMENT | GLENBOROUGH RLTY TR INC | COM | 8,475 00 | 19 2147 | 162,844 58 | 18 1000 | 153,397 50 |
| | REAL ESTATE TOTAL | | 747,125.00 | | 45,651,011.51 | | 50,166,063.16 |
| | | FOREIGN EQUITY | | | | | |
| | COMMON STOCK | | | | | | |
| RF-BGI INTERNATIONAL FUND | BGI EAFE EQUITY INDEX FUND B | | 338,097 03 | 42 7990 | 14,470,201 15 | 45 2399 | 15,295,481 58 |
| SILCHESTER | SILCHESTER INTL TOBACCO FREE | INTL VALUE EQUITY TRUST | 947,342 77 | 29 1538 | 27,618,675 41 | 29 6400 | 28,079,212 08 |
| | ADOFNITINA | | | | | | |
| DE ENERGING MARKETS MONT | ARGENTINA | OL 400 B OLIO 4004 | 47.050.00 | 4 4454 | 04.040.07 | 4 7740 | 22 222 74 |
| RF- EMERGING MARKETS MGMT | BCO BANSUD SA | CLASS B SHS ARS1 | 17,053 00 | 1 4451 | 24,642 67 | 1 7712 | 30,203 74 |
| RF- EMERGING MARKETS MGMT | TELEC ARGENTINA SA | CL B ARS1 | 1 00 | 1 4300 | 1 43 | 2 6105 | 2 61 |
| RF- EMERGING MARKETS MGMT | IRSA INVERSIONES Y REPRESENT | GLOBAL DEPOSITARY RCPT | 2,739 00 | 9 1500 | 25,061 85 | 12 0800 | 33,087 12 |
| RF- EMERGING MARKETS MGMT | TELECOM ARGENTINA S A. | SPONSORED ADR REPSTG CL B SHS | 5,300 00 | 12 9048 | 68,395 41 | 12 8900 | 68,317 00 |
| | AUSTRALIA | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | LEND LEASE CORP | NPV | 128,100 00 | 7 7612 | 994,215 48 | 10 6218 | 1,360,652 68 |
| RF- ACADIAN ASSET MANAGEMENT | BHP BILLITON LTD | NPV | 62,756 00 | 16 3586 | 1,026,601 60 - | 16 6883 | 1,047,288 29 |
| RF- ACADIAN ASSET MANAGEMENT | BURNS PHILP + CO | NPV | 51,883 00 | 0 8054 | 41,787 40 | 0 8069 | 41,864 64 |
| RF- ACADIAN ASSET MANAGEMENT | CALTEX AUSTRALIA | NPV | 5,682 00 | 15 2620 | 86,718 91 | 14 2162 | 80,776 42 |
| RF- ACADIAN ASSET MANAGEMENT | DOWNER GROUP | NPV | 7,550 00 | 4 5280 | 34,186 35 | 5 2669 | 39,765 00 |
| RF- ACADIAN ASSET MANAGEMENT | MACQUARIE BANK LTD | NPV | 22,166 00 | 49 0236 | 1,086,656 93 | 49 9914 | 1,108,109 76 |
| RF- ACADIAN ASSET MANAGEMENT | RINKER GROUP | NPV | 6,098 00 | 12 2015 | 74,404 78 | 12 0669 | 73,583 92 |
| RF- ACADIAN ASSET MANAGEMENT | SANTOS LTD | NPV | 211,364 00 | 8 6213 | 1,822,240 25 | 8 9860 | 1,899,313 69 |
| RF- ACADIAN ASSET MANAGEMENT | WOOLWORTHS LTD | NPV | 997 00 | 11 5144 | 11,479 82 | 12 3603 | 12,323 23 |
| RF- ACADIAN ASSET MANAGEMENT | BABCOCK + BROWN LTD | NPV | 33,075 00 | 14 3082 | 473,243 64 | 12 5804 | 416,096 03 |
| RF - CAPITAL GUARDIAN II | AMCOR LIMITED | NPV | 54,700 00 | 6 1279 | 335,193 55 | 5 4796 | 299,735 04 |
| RF - CAPITAL GUARDIAN II | BORAL LIMITED NEW | NPV | 56,391 00 | 5 4283 | 306,106 62 | 5 9418 | 335,061 41 |
| RF - CAPITAL GUARDIAN II | MACQUARIE AIRPORTS | NPV STAPLED FULLY PAID | 99,729 00 | 2 3079 | 230,166 08 | 2 3254 | 231,905 11 |
| RF - CAPITAL GUARDIAN II | RINKER GROUP | NPV | 38,093 00 | 5 5972 | 213,215 52 | 12 0669 | 459,664 19 |
| RF - CAPITAL GUARDIAN II | PROMINA GROUP | NPV | 58,500 00 | 2 5339 | 148,230 70 | 3 5504 | 207,697 28 |
| RF - CAPITAL GUARDIAN II | NEWCREST MINING | NPV | 13,400 00 | 12 6196 | 169,103 17 | 17 8253 | 238.858 48 |
| RF - CAPITAL GUARDIAN II | QANTAS AIRWAYS | NPV | 68,500 00 | 2 3924 | 163,881 77 | 2 9635 | 203,002 57 |
| RF - MARATHON ASSET MGMT LTD | AUST + NZ BANK GRP | NPV | 29,818 00 | 12 8566 | 383,358 89 | 17 5685 | 523,858 05 |
| RF - MARATHON ASSET MGMT LTD | AMCOR LIMITED | NPV | 25,732 00 | 5 9429 | 152,923 15 | 5 4796 | 141,001 50 |
| RF - MARATHON ASSET MGMT LTD | ORICA LTD | NPV | 20,578 00 | 10 4455 | 214,948 27 | 14 9644 | 307,937 74 |
| RF - MARATHON ASSET MGMT LTD | RINKER GROUP | NPV | 23,000 00 | 5 5302 | 127,194 42 | 12 0669 | 277,538 56 |
| RF - MARATHON ASSET MGMT LTD | SANTOS LTD | NPV | 87.098 00 | 4 9510 | 431,219 59 | 8 9860 | 782.661 30 |
| RF - MARATHON ASSET MGMT LTD | ALUMINA LIMITED | NPV | 66,000 00 | 3 7236 | 245,755 62 | 5 4429 | 359,234 00 |
| RF - MARATHON ASSET MGMT LTD | ILUKA RESOURCES | NPV | 61,000 00 | 3 0961 | 188,860.88 | 5 7510 | 350,812 85 |
| | AUSTRIA | | | | | | |
| RF - CAPITAL GUARDIAN II | TELEKOM AUSTRIA | NPV | 47 700 00 | 0.5050 | 100 110 51 | 00 4114 | 000 000 00 |
| RF - CAPITAL GUARDIAN II | WIENERBERGER AG | NPV NPV | 17,790 00 | 9 5059 | 169,110 54 | 22 4114 | 398,699 66 |
| RF - CAPITAL GUARDIAN II | RAIFFEIS INTL BANK HOLDING AG | | 6,300 00 | 46 3397 | 291,939 95 | 39 8688 | 251,173 36 |
| RF - ARTISAN PARTNERS | WIENER STADTISCHE | NPV (REGD) | 1,100 00 | 51 1434 | 56,257 76 | 65 5240 | 72,076 40 |
| DE - ATTIONIX FANTIKENS | WIENER STAUTISCHE | NPV (BR) | 8,201 00 | 59 3119 | 486,417 09 | 58 8006 | 482,223 42 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--------------------------------|--------------------------------|-------------------------------|--------------|----------------|-----------------|----------------------|-------------------|
| | BELGIUM | | | | | | |
| RF- ACADIAN ASSET MANAGEMENT | DOLMEN COMPUTER AP | NPV | 174 00 | • | • | 13 0930 | 2,278 18 |
| RF- ACADIAN ASSET MANAGEMENT | GPE BRUXELLES LAM | NPV (NEW) | 3,991 00 | 98 3376 | 392,465 43 | 97 7257 | 390,023 31 |
| RF- ACADIAN ASSET MANAGEMENT | DEXIA | NPV | 68,200 00 | 18 9423 | 1,291,862 16 | 22 9776 | 1,567,074 52 |
| RF- ACADIAN ASSET MANAGEMENT | BELGACOM SA | NPV | 3,846 00 | 34 3531 | 132,122 18 | 32 4966 | 124,981 92 |
| RF - CAPITAL GUARDIAN II | UCB | NPV | 2,900 00 | 56 9868 | 165,261 60 | 46 8045 | 135,733 17 |
| RF - ARTISAN PARTNERS | INBEV | NPV | 34,073 00 | 27 2017 | 926,842 18 | 43 3721 | 1,477,815 86 |
| | BERMUDA | | | | | | |
| RF- EMERGING MARKETS MGMT | CREDICORP LTD | SHS | 6,600 00 | 20 0724 | 132,477 70 | 22 7900 | 150,414 00 |
| RF - CAPITAL GUARDIAN II | COOPER INDUSTRIES LTD | SHS A | 4,500 00 | 66 5264 | 299,368 98 | 73 0000 | 328,500 00 |
| RF - CAPITAL GUARDIAN II | PARTNERRÉ LTD | COM | 3,400 00 | 64 5719 | 219,544 32 | 65 6700 | 223,278 00 |
| RF - CAPITAL GUARDIAN II | WEATHERFORD INTL LTD | COMMON STOCK | 9,200 00 | 24 9067 | 229,141 18 | 36 2000 | 333,040 00 |
| RF - TROWE PRICE | APW LTD | WT EXP NEW | 16 00 | • | | - | |
| RF - ARTISAN SMALL CAP | ARCH CAP GROUP LTD | SHS | 2,400 00 | 33 4390 | 80,253 53 | 54 7500 | 131,400 00 |
| RF - ARTISAN SMALL CAP | IPC HOLDINGS LTD BERMUDA | SHS | 7,600 00 | 32 5606 | 247,460 19 | 27 3800 | 208,088 00 |
| RF - MARATHON ASSET MGMT LTD | MANDARIN ORIENTAL | USD 0 05 SING QUOTE | 107,000 00 | 0 5150 | 55,105 00 | 0 8400 | 89,880 00 |
| RF-PZENA INVESTMENT MANAGEMENT | IPC HOLDINGS LTD BERMUDA | SHS | 22,350 00 | 37 2721 | 833,031 52 | 27 3800 | 611,943 00 |
| RF- EMERGING MARKETS MGMT | BUNGE LIMITED | SHS | 2,500 00 | 35 8125 | 89,531 32 | 56 6100 | 141,525 00 |
| RF - ARTISAN SMALL CAP | ASSURED GUARANTY LTD | SHS | 5,400 00 | 18 4351 | 99,549 65 | 25 3900 | 137,106 00 |
| RF - MARATHON ASSET MGMT LTD | JARDINE MATHESON | USD0 25(SING QUOTE) | 112,200 00 | 11 1396 | 1,249,860 00 | 17 2000 | 1,929,840 00 |
| RF - MARATHON ASSET MGMT LTD | JARDINE STRATEGIC | US 0 05(SING QUOTE) | 151,000 00 | 5 0500 | 762,550 00 | 10 7000 | 1,615,700 00 |
| RF-SOUND SHORE ASSET MGMT | TYCO INTL LTD | NEW COM | 92,000 00 | 18 6388 | 1,714,766 70 | 28 8600 | 2,655,120 00 |
| RF - CAPITAL GUARDIAN II | TYCO INTL LTD | NEW COM | 8,500 00 | 29 8349 | 253,596 49 | 28 8600 | 245,310 00 |
| RF- EMERGING MARKETS MGMT | YUE YUEN INDL HLDG | HKD0 25 | 223,000 00 | 2 0584 | 459,015 05 | 2 7923 | 622,676 06 |
| RF - CAPITAL GUARDIAN II | LI + FUNG | HKD0 025 | 180,000 00 | 1 6300 | 293,401 55 | 1 9281 | 347,066 83 |
| RF · MARATHON ASSET MGMT LTD | FIRST PACIFIC CO | USD0 01 | 854,000 00 | 0 2177 | 185,889 48 | 0 3869 | 330,429 29 |
| RF - MARATHON ASSET MGMT LTD | BIL INTERNATIONAL | USD0 20 SING REG | 469,000 00 | 0 4427 | 207,624 89 | 0 8299 | 389,235 03 |
| RF - APS ASSET MANAGEMENT | KINGBOARD COPPER | USD 10 | 1,845,000 00 | 0 2852 | 526,182 36 | 0 1594 | 294,037 17 |
| RF- EMERGING MARKETS MGMT | JOHNSON ELEC HLDGS | HKD0 0125 | 644,500 00 | 1 0053 | 647,908 24 | 0 9480 | 610,955 63 |
| RF- EMERGING MARKETS MGMT | GIORDANO INTL LTD | HKD0 05 | 624,000 00 | 0 5296 | 330,444 58 | 0 5610 | 350,084 80 |
| RF - MARATHON ASSET MGMT LTD | SMARTONE TELECOM | HKD0 10 | 219,000 00 | 1 0642 | 233,065 28 | 1 1672 | |
| AF - WARATHON ASSET WIGHT ETD | SMANTONE TELECOM | AKDO 10 | 219,000 00 | 1 0042 | 233,063 26 | 1 10/2 | 255,618 39 |
| DE EMEDONIO | BRAZIL | | | | | | |
| RF- EMERGING MARKETS MGMT | TELE NORTE LESTE P | COM NPV | 9,646 00 | 15 4285 | 148,822 97 | 22 8217 | 220,137 79 |
| RF- EMERGING MARKETS MGMT | TELE CENTRO OESTE | COM NPV | 20 00 | 8 4055 | 168 11 | 10 6530 | 213 06 |
| RF- EMERGING MARKETS MGMT | BANCO BRADESCO SA | SPONSORED ADR REPSTG PFD SHS | 1,950 00 | 6 8003 | 13,260 62 | 29 1500 | 56,842 50 |
| RF- EMERGING MARKETS MGMT | BANCO ITAU S A | SPONSORED ADR REPSTG 500 PFD | 32,350 00 | 12 5891 | 407,258 75 | 24 0200 | 777,047 00 |
| RF- EMERGING MARKETS MGMT | COMPANHIA VALE DO RIO DOCE | SPONS ADR REPSTG 250 PFD SHS | 46,300 00 | 14 7746 | 684,064 16 | 36 2500 | 1,678,375 00 |
| RF- EMERGING MARKETS MGMT | COMPANHIA PARANAENSE DE ENERG | SPONSORED ADR REPSTG PFD SHS | 55,100 00 | 7 7792 | 428,632 71 | 7 5300 | 414,903 00 |
| RF- EMERGING MARKETS MGMT | COMPANHIA DE BEBIDAS DAS AMERS | SPONSORED ADR REPSTG PFD SHD | 17,100 00 | 19 2624 | 329,387 75 | 38 0500 | 650,655 00 |
| RF- EMERGING MARKETS MGMT | GERDAU S A | SPONSORED ADR | 51,895 00 | 14 0696 | 730,144 35 | 16 6800 | 865,608 60 |
| RF- EMERGING MARKETS MGMT | PETROLEO BRASILEIRO SA PETRO | SPONSORED ADR | 46,700 00 | 24 6759 | 1,152,366 09 | 64 3700 | 3,006,079 00 |
| RF- EMERGING MARKETS MGMT | TELE NORTE LESTE PARTICIPACOES | SPONSORED ADR REPSTG PFD | 11,500 00 | 18 5880 | 213,762 00 | 17 9200 | 206,080 00 |
| RF- EMERGING MARKETS MGMT | UNIBANCO UNIAO DE BANCOS BRAS | GLOBAL DEPOSITORY RCPT REPSTG | 9,300 00 | 55 2432 | 513,761 82 | 63 5700 | 591,201 00 |
| RF - ARTISAN PARTNERS | TELESP CELULAR PARTICIPACOES | SPONSORED ADR REPSTG PFD | 108,659 00 | 3 7225 | 404,485 56 | 3 7800 | 410,731 02 |
| RF - BAILLIE GIFFORD | COMPANHIA VALE DO RIO DOCE | SPONSORED ADR | 23,700 00 | 30 3282 | 718,778 96 | 41 1400 | 975,018 00 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost B | ase Total Cost | Base Price Amount | Base Market Value |
|--------------------------------|--------------------------------|--------------------------|------------|------------------|----------------|----------------------|-------------------|
| RF - BAILLIE GIFFORD | PETROLEO BRASILEIRO SA | SPONSORED ADR | 40,000 00 | 29 2718 | 1,170,872 80 | 71 2700 | 2,850,800 00 |
| RF - BAILLIE GIFFORD | TELE NORTE LESTE PARTICIPACOES | SPONSORED ADR REPSTG PFD | 29,500 00 | 13 7505 | 405,638 42 | 17 9200 | 528,640.00 |
| | CANADA | | | | | | |
| RF- ACADIAN ASSET MANAGEMENT | ENCANA CORP | COM | 4,400 00 | 50 0797 | 220,350 75 | 44 9942 | 197,974 58 |
| RF- ACADIAN ASSET MANAGEMENT | IPSCO INC | COM | 2,500 00 | 51 9000 | 129,749 93 | 82 7890 | 206,972 56 |
| RF- ACADIAN ASSET MANAGEMENT | METRO INC | CL A SUB VTG | 6,600 00 | 12 6885 | ~ 83,744 31 | 26 1097 | 172,323 76 |
| RF- ACADIAN ASSET MANAGEMENT | ROYAL BK CDA MONTREAL QUE | COM | 7,800 00 | 68 2103 | 532,040 42 | 77 7383 | 606,358 77 |
| RF- ACADIAN ASSET MANAGEMENT | TECK COMINCO LTD FORMERLY TECK | CL B SUB VTG | 3,900 00 | 32 3747 | 126,261 18 | 53 1182 | 207,160 90 |
| RF- ACADIAN ASSET MANAGEMENT | TELUS CORP | NON VTG SHS | 14,700 00 | 31 6447 | 465,177 47 | 39 9521 | 587,295 30 |
| RF- ACADIAN ASSET MANAGEMENT | PENN WEST ENERGY TR | TR UNIT | 2,100 00 | 17 6597 | 37,085 47 | 32 5215 | 68,295 17 |
| RF - CAPITAL GUARDIAN II | ABITIBI CONSOLIDATED INC | COM | 39,000 00 | 6 4160 | 250,224 76 | 3 9892 | 155,579 33 |
| RF - CAPITAL GUARDIAN II | ALCAN INC | COM | 21,700 00 | 32 4612 | 704,409 10 | 40 8852 | 887,207 98 |
| RF - CAPITAL GUARDIAN II | CAMECO CORP | COM . | 10,800 00 | 34 8874 | 376,783 73 | 63 1683 | 682,217 18 |
| RF - CAPITAL GUARDIAN II | CANADIAN NATURAL RES LTD | СОМ | 10,700 00 | 32 5562 | 348,351 01 | 49 3344 | 527,878 27 |
| RF - CAPITAL GUARDIAN II | FALCONBRIDGE LTD NEW 2005 | COM | 9,247 00 | 20 2949 | 187,667 31 | 29 5339 | 273,099 77 |
| RF - CAPITAL GUARDIAN II | IGM FINL INC | COM | 7,200 00 | 19 9731 | 143,806 58 | 39 4812 | 284,264 86 |
| RF - CAPITAL GUARDIAN II | LOBLAW COS LTD | СОМ | 3,000 00 | 56 5236 | 169,570 85 | 48 2558 | 144,767 37 |
| RF - CAPITAL GUARDIAN II | MAGNA INTL INC | CL A SUB VTG | 2,000 00 | 72 1808 | 144,361 68 | 71 9086 | 143,817 15 |
| RF - CAPITAL GUARDIAN II | METHANEX CORP | COM | 11,400 00 | 18 7749 | 214,033 59 | 18 7134 | 213,332 19 |
| RF - CAPITAL GUARDIAN II | POTASH CORP SASK INC | СОМ | 3,500 00 | 81 3870 | 284,854 43 | 79 6987 | 278,945 34 |
| RF - CAPITAL GUARDIAN II | TELUS CORP | СОМ | 6,400 00 | 26 1111 | 167,111 11 | 40 9708 | 262,212 90 |
| RF - CAPITAL GUARDIAN II | TELUS CORP | NON VTG SHS · | 1,700 00 | 24 9441 | 42,404 92 | 39 9521 | 67,918 50 |
| RF - ARTISAN PARTNERS | CORUS ENTERTAINMENT INC | COM CL B NON VTG | 300 00 | 11 6368 | 3,491 05 | 26 7089 | 8,012 67 |
| RF - ARTISAN PARTNERS | ENCANA CORP | СОМ | 40,700 00 | 15 5448 | 632,672 43 | 44 9942 | 1,831,264 82 |
| RF - MARATHON ASSET MGMT LTD | ABITIBI CONSOLIDATED INC | СОМ | 54,600 00 | 6 7155 | 366,668 65 | 3 9892 | 217,811 07 |
| RF - MARATHON ASSET MGMT LTD | ACE AVIATION HLDGS INC | SHS CL A VAR VTG | 10,000 00 | 27 8033 | 278,032 63 | 32 5301 | 325,300 69 |
| RF - MARATHON ASSET MGMT LTD | ALCAN INC | СОМ | 18,700 00 | 37 0974 | 693,721 20 | 40 8852 | 764,552 50 |
| RF · MARATHON ASSET MGMT LTD | BCE INC | СОМ | 18,000 00 | 18 8783 | 339,809 38 | 23 8582 | 429,448 27 |
| RF - MARATHON ASSET MGMT LTD | BOMBARDIER INC | CLASS B | 485,900 00 | 2 3355 | 1,134,803 52 | 2 3627 | 1,148,040 92 |
| RF - MARATHON ASSET MGMT LTD | FAIRMONT HOTELS RESORTS INC | СОМ | 9,000 00 | 26 2463 | 236,217 01 | 42 1093 | 378,983 86 |
| RF - MARATHON ASSET MGMT LTD | FRASER PAPERS INC | СОМ | 15,300 00 | 8 4076 | 128,636 51 | 8 5691 | 131,107 31 |
| RF - MARATHON ASSET MGMT LTD | IMPERIAL OIL LTD | COM NEW | 18,600 00 | 45 2346 | 841,363 64 | 98 7972 | 1,837,628 73 |
| RF - MARATHON ASSET MGMT LTD | NORTEL NETWORKS CORP | СОМ | 340,600 00 | 4 2985 | 1,464,056 53 | 3 0390 | 1,035,081 11 |
| RF - MARATHON ASSET MGMT LTD | NOVELIS INC | COM | 3,740 00 | 21 3312 | 79,778 79 | 20 8792 | 78,088 09 |
| RF - MARATHON ASSET MGMT LTD | ROGERS COMMUNICATIONS INC | CLB | 43,400.00 | 18 3578 | 796,727 26 | 42 1179 | 1,827,915 94 |
| RF- ACADIAN ASSET MANAGEMENT | PENGROWTH ENERGY TR | TR UNITS CL A | 1,400 00 | 24 2753 | 33,985 45 | 23 5300 | 32,942 00 |
| RF - CAPITAL GUARDIAN II | INCO LTD | COM | 6,900 00 | 32 4377 | 223,820 13 | 43 5700 | 300,633 00 |
| RF-KG REDDING | BROOKFIELD PPTYS CORP | COM | 39,900 00 | 28 6095 | 1,141,519 42 | 29 4200 | 1,173,858 00 |
| RF - ARTISAN SMALL CAP | HUB INTL LTD | COM | 12,900 00 | 16 2687 | 209,866 71 | 25 8000 | 332,820 00 |
| RF - ARTISAN SMALL CAP | OPEN TEXT CORP | COM | 11,200 00 | 14 9914 | 167,903 48 | 14 1100 | 158,032 00 |
| RF-PZENA INVESTMENT MANAGEMENT | HUB INTL LTD | COM | 11,725 00 | 21 1604 | 248,105 63 | 25 8000 | 302,505 00 |
| RF-PZENA INVESTMENT MANAGEMENT | MI DEVS INC | CL A SUB VTG SHS | 12,525 00 | 32 6469 | 408,902 18 | 34 3800 | 430,609 50 |
| RF - WELLINGTON MANAGEMENT CO | CAMECO CORP | JE A GOD TTG GIIG | 76,500 00 | 39 1973 | 2,998,591 62 | 63 3900 | 4,849,335 00 |
| | | COM | • | | | | |
| RF - WELLINGTON MANAGEMENT CO | COGNOS INC | СОМ | 102,900 00 | 37 8600 | 3,895,791 78 | 34 7100 | 3,571,659 00 |

CAYMAN ISLANDS



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|------------------------------|----------------------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF- EMERGING MARKETS MGMT | BATAVIA INVESTMENT FUND | RED SHS US 0 01 | 7,632 00 | 3 1354 | 23,929 75 | 0 0249 | 190 04 |
| RF- EMERGING MARKETS MGMT | INTERNATIONAL BRIQUETTES HLD | SHS | 6,366 00 | 16 5280 | 105,217 25 | • | • |
| RF- EMERGING MARKETS MGMT | VEDAN INTL | USD0 01 | 428,000 00 | 0 2209 | 94,557 65 | 0 1212 | 51,888 49 |
| RF- EMERGING MARKETS MGMT | CHINA MENGNIU DAIRY | HKD0 1 | 246,000 00 | 0 6680 | 164,329 25 | 0 8512 | 209,400 86 |
| RF- EMERGING MARKETS MGMT | ASM PACIFIC TECH | HKD0 10 | 92,000 00 | 2 0804 | 191,400 11 | 5 6426 | 519,117 05 |
| RF- ACADIAN ASSET MANAGEMENT | SOLOMON SYSTECH | HKD0 1 | 158,000 00 | 0 3973 | 62,772 53 | 0 4159 | 65,718 28 |
| RF- ACADIAN ASSET MANAGEMENT | ASM PACIFIC TECH | HKD0 10 | 20,000.00 | 4 6502 | 93,004 19 | 5 6426 | 112,851 53 |
| RF - CAPITAL GUARDIAN II | TRANSOCEAN INC | SHS | 3,000 00 | 47 2784 | 141,835 16 | 69 6900 | 209,070 00 |
| RF - CAPITAL GUARDIAN II | XL CAPITAL LTD | SHS A | 3,200 00 | 67 1114 | 214,756 48 | 67 3800 | 215,616 00 |
| RF - APS ASSET MANAGEMENT | CHAODA MODERN AGRICULTURE | HKD0 10 | 63,000 00 | 0 3969 | 25,003 34 | 0 4159 | 26,204 13 |
| RF - APS ASSET MANAGEMENT | XINYI GLASS HLDGS | HKD0 1 | 766,000 00 | 0 2601 | 199,215 77 | 0 2296 | 175,852 35 |
| RF - WELLINGTON MANAGEMENT CO | NOBLE CORPORATION | SHS | 35,500 00 | 53 2100 | 1,888,955 00 | 70 5400 | 2,504,170 00 |
| | SWITZERLAND | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | GIVAUDAN AG | CHF10 | 2,700 00 | 394 6931 | 1,065,671 26 | 675 6705 | 1,824,310 48 |
| RF- MERCATOR ASSET MANAGEMENT | HOLCIM , | CHF2(REGD) | 28,813 00 | 32 5672 | 938,358 06 | 67 9085 | 1,956,647 44 |
| RF- MERCATOR ASSET MANAGEMENT | NESTLE SA | CHF1 (REGD) | 5,800 00 | 257 0271 | 1,490,757 14 | 298 1904 | 1,729,504 15 |
| RF- MERCATOR ASSET MANAGEMENT | SWATCH GROUP | CHF2 25(BR) | 9,500 00 | 72 9770 | 693,281 43 | 147 9571 | 1,405,592 02 |
| RF- ACADIAN ASSET MANAGEMENT | SYNGENTA AG | CHF5 60(REGD) | 2,195 00 | 104 1429 | 228,593 61 | 124 0563 | 272,303 58 |
| RF- ACADIAN ASSET MANAGEMENT | ZURICH FIN SVS GRP | CHF2 50 | 9,604 00 | 170 2544 | 1,635,123 64 | 212 4512 | 2,040,380 89 |
| RF- ACADIAN ASSET MANAGEMENT | BALOISE HLDGS | CHF0 1 REGD | 8,580 00 | 45 9595 | 394,332 29 | 58 2344 | 499,650 97 |
| RF- ACADIAN ASSET MANAGEMENT | CREDIT SUISSE GRP | CHF3 (REGD) | 7,613 00 | 39 9665 | 304,265 09 | 50 8365 | 387,018 48 |
| RF- ACADIAN ASSET MANAGEMENT | RICHEMONT (CIE FIN) | A CHF1 (BR) EQUITY UNIT | 6,417 00 | 36 3722 | 233,400 68 | 43 4007 | 278,502 52 |
| RF - CAPITAL GUARDIAN II | SWISSCOM AG | CHF1 (REGD) | 880 00 | 264 0648 | 232,377 01 | 314 6933 | 276,930 08 |
| RF - CAPITAL GUARDIAN II | LINDT + SPRUENGLI | PTG CERT CHF10 | 143 00 | 628 0493 | 89,811 05 | 1,697 3330 | 242,718 62 |
| RF - CAPITAL GUARDIAN II | GIVAUDAN AG | CHF10 | 310 00 | 636 8382 | 197,419 84 | 675 6705 | 209,457 87 |
| RF - CAPITAL GUARDIAN II | NOVARTIS AG | CHF0 50 REGD | 21,184 00 | 41 1228 | 871,145 40 | 52 3920 | 1,109,871 54 |
| RF - CAPITAL GUARDIAN II | ROCHE HOLDINGS AG | GENUSSCHEINE NPV | 3,185 00 | 133 6978 | 425,827 60 | 149 7022 | 476,801 47 |
| RF - CAPITAL GUARDIAN II | HOLCIM | CHF2(REGD) | 12,730 00 | 43 4824 | 553,531 43 | 67 9085 | 864,475 13 |
| RF - CAPITAL GUARDIAN II | NESTLE SA | CHF1 (REGD) | 1,624 00 | 231 7418 | 376,348 67 | 298 1904 | 484,261 16 |
| RF - CAPITAL GUARDIAN II | UBS AG | CHF 80 (REGD) | 2,569 00 | 50 6401 | 130,094 50 | 94 9201 | 243,849 84 |
| RF - CAPITAL GUARDIAN II | CREDIT SUISSE GRP | CHF3 (REGD) | 8,395 00 | 31 7430 | 266,482 17 | 50 8365 | 426,772 64 |
| RF - CAPITAL GUARDIAN II | SWISS REINSURANCE | CHF0 1 | 7,254 00 | 80 3119 | 582,582 78 | 72 9921 | 529,485 03 |
| RF - ARTISAN PARTNERS | NOVARTIS AG | CHF0 50 REGD | 21,937 00 | 49 1355 | 1,077,884 57 | 52 3920 | 1,149,322 70 |
| RF - ARTISAN PARTNERS | ROCHE HOLDINGS AG | GENUSSCHEINE NPV | 12,151 00 | 75 4789 | 917,144 53 | 149 7022 | 1,819,031 30 |
| RF - ARTISAN PARTNERS | NESTLE SA | CHF1 (REGD) | 8,257 00 | 227 7807 | 1,880,784 83 | 298 1904 | 2,462,157 90 |
| RF · ARTISAN PARTNERS | UBS AG | CHF 80 (REGD) | 40,248 00 | 56 7993 | 2,286,057 65 | 94 9201 | 3,820,345 84 |
| RF - ARTISAN PARTNERS | SWISS REINSURANCE | CHF0 1 | 17,024 00 | 69 0202 | 1,175,000 71 | 72 9921 | 1,242,618 31 |
| RF - ARTISAN PARTNERS | NOBEL BIOCARE AG | CHF2 00 (BR) | 508 00 | 237 6566 | | | |
| RF - ARTISAN PARTNERS | SYNTHES INC | CHF2 00 (BH) CHF0 001(POST SUBD) | | | 120,729 53 | 219 2799 | 111,394 21 |
| RF - MARATHON ASSET MGMT LTD | PUBLIGROUPE AG | | 860 00 | 116 1208 | 99,863 85 | 111 9921 | 96,313 21 |
| RF - MARATHON ASSET MGMT LTD | GEBERIT | CHF1(RECD) | 300 00 | 306 5905 | 91,977 15 | 272 0134 | 81,604 01 |
| RF - MARATHON ASSET MGMT LTD | NOVARTIS AG | CHF1(REGD) CHF0 50 REGD | 270 00 | 676 4033 | 182,628 88 | 789 1043 | 213,058 16 |
| RF - MARATHON ASSET MGMT LTD | | | 10,400 00 | 45 9886 | 478,281 16 | 52 3920 | 544,876 51 |
| | ADECCO SA | CHF1(REGD) | 4,400 00 | 49 7922 | 219,085 88 | 45 9805 | 202,314 20 |
| RF - MARATHON ASSET MGMT LTD | KUDELSKI SA | CHF10 (BR) | 200 00 | 30 6946 | 6,138 92 | 29 6293 | 5,925 87 |
| RF - MARATHON ASSET MGMT LTD | LOGITECH INTL | CHF0 5(REGD) (POST SUBD) | 6,000 00 | 22 7231 | 136,338 58 | 46 8531 | 281,118 40 |



| CHILE RF- EMERGING MARKETS MGMT RF- BAILLIE GIFFORD CHINA RF- ACADIAN ASSET MANAGEMENT RF- BAILLIE GIFFORD CHINA RF- ARTISAN PARTNERS CHINA CONST BK H CNY1 RF- BAILLIE GIFFORD RF- MARATHON ASSET MGMT LTD TSINGTAO BREWERY RF- APS ASSET MANAGEMENT RF- APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO COLOMBIA RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 91,011 00 1 00 165,827.00 0M 7,200 00 | 2 3343 1 8859 | 212,448 56 | 2 7341 | Base Market Value 248,833 90 |
|--|--|------------------------------|--|--------------------|------------------------------|
| RF- EMERGING MARKETS MGMT COMERCIAL SIGLOXXI COM NPV RF- EMERGING MARKETS MGMT CORPBANCA COM NPV RF- EMERGING MARKETS MGMT CENCOSUD SA COM NPV RF- EMERGING MARKETS MGMT BANCO SANTANDER CHILE NEW SPONSORED ADR REPSTG CO RF- EMERGING MARKETS MGMT ENERSIS S A SPONSORED ADR REPSTG CO CHINA RF- BAILLIE GIFFORD BANCO SANTANDER CHILE NEW SPONSORED ADR REPSTG CO CHINA RF- ACADIAN ASSET MANAGEMENT ALUMINIUM CORP CHN H CNY1 RF- ACADIAN ASSET MANAGEMENT BANK OF COMMUNICAT H CNY1 00 RF- ARTISAN PARTNERS CHINA CONST BK H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF- MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF- APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP5 | 1 00 165,827.00 | • | 212,448 56 | 2 7341 | 248,833 90 |
| RF- EMERGING MARKETS MGMT CORPBANCA COM NPV RF- EMERGING MARKETS MGMT CENCOSUD SA COM NPV RF- EMERGING MARKETS MGMT BANCO SANTANDER CHILE NEW SPONSORED ADR REPSTG CO RF- EMERGING MARKETS MGMT ENERSIS S A SPONSORED ADR REPSTG CO CHINA RF- ACADIAN ASSET MANAGEMENT PETROCHINA CO H CNY1 RF- ACADIAN ASSET MANAGEMENT ALUMINIUM CORP CHN H CNY1 RF- ACADIAN ASSET MANAGEMENT BANK OF COMMUNICAT H CNY1 RF- ARTISAN PARTNERS CHINA CONST BK H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF- APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 RF- EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 COM COP32 8 RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP5 | 1 00 165,827.00 | • | 212,448 56 - | 2 7341 | 248,833 90 |
| RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- BAILLIE GIFFORD CHINA RF- ACADIAN ASSET MANAGEMENT RF- ARTISAN PARTNERS CHINA CONST BK H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD RF- BAILLIE GIFFORD RF- MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF- APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 165,827.00 | 1 0050 | • | | |
| RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- BAILLIE GIFFORD CHINA RF- ACADIAN ASSET MANAGEMENT RF- BAILLIE GIFFORD RF- BAILLIE GIFFORD RF- BAILLIE GIFFORD RF- BAILLIE GIFFORD RF- MARATHON ASSET MANAGEMENT RF- APS ASSET MANAGEMENT RF- APS ASSET MANAGEMENT RF- APS ASSET MANAGEMENT NJIANGSU EXPRESSWAY H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO COLOMBIA RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | | 1 0050 | | 0 0055 | 0 01 |
| RF- EMERGING MARKETS MGMT RF- BAILLIE GIFFORD CHINA RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ARTISAN PARTNERS CHINA CONST BK H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF- MARATHON ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF- EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 B RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | M 7,200 00 | 1 0039 | 312,730 49 | 1 9822 | 328,706 97 |
| RF - BAILLIE GIFFORD CHINA RF- ACADIAN ASSET MANAGEMENT RF- ARTISAN PARTNERS CHINA CONST BK H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF- MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF- APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO COLOMBIA RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | | 40 6179 | 292,449 04 | 44 6000 | 321,120 00 |
| CHINA RF- ACADIAN ASSET MANAGEMENT PETROCHINA CO H CNY1 RF- ACADIAN ASSET MANAGEMENT ALUMINIUM CORP CHN H CNY1 RF- ACADIAN ASSET MANAGEMENT BANK OF COMMUNICAT H CNY1 00 RF - ARTISAN PARTNERS CHINA CONST BK H CNY1 RF - BAILLIE GIFFORD PETROCHINA CO H CNY1 RF - BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF - MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF- EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 18,700 00 | 8 0271 | 150,107 00 | 10 9900 | 205,513 00 |
| RF- ACADIAN ASSET MANAGEMENT PETROCHINA CO H CNY1 RF- ACADIAN ASSET MANAGEMENT ALUMINIUM CORP CHN H CNY1 RF- ACADIAN ASSET MANAGEMENT BANK OF COMMUNICAT H CNY1 00 RF - ARTISAN PARTNERS CHINA CONST BK H CNY1 RF - BAILLIE GIFFORD PETROCHINA CO H CNY1 RF - BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF - MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 0M 10,100 00 | 28 2439 | 285,263 48 | 44.6000 | 450,460 00 |
| RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ACADIAN ASSET MANAGEMENT RF- ARTISAN PARTNERS CHINA CONST BK H CNY1 RF- BAILLIE GIFFORD PETROCHINA CO H CNY1 RF- BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF- MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF- APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF- APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF- EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | | | | | |
| RF- ACADIAN ASSET MANAGEMENT RF - ARTISAN PARTNERS CHINA CONST BK H CNY1 RF - BAILLIE GIFFORD PETROCHINA CO H CNY1 RF - BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF - MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | . 1,061,000 00 | 0 5527 | 586,433 64 | 0 8190 | 868,937 45 |
| RF - ARTISAN PARTNERS CHINA CONST BK H CNY1 RF - BAILLIE GIFFORD PETROCHINA CO H CNY1 RF - BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF - MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 216,000 00 | 0 7575 | 163,626 76 | 0 7609 | 164,363 42 |
| RF - BAILLIE GIFFORD PETROCHINA CO H CNY1 RF - BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF - MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 500,000 00 | 0 4300 | 215,012 66 | 0 4546 | 227,315 23 |
| RF - BAILLIE GIFFORD CHINA TELECOM CORP H CNY1 RF - MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 1,142,100 00 | 0 3059 | 349,411 27 | 0 3482 | 397,710 73 |
| RF - MARATHON ASSET MGMT LTD TSINGTAO BREWERY SER H CNYU1 RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 966,000 00 | 0 4094 | 395,500 49 | 0 8190 | 791,134 38 |
| RF - APS ASSET MANAGEMENT JIANGSU EXPRESSWAY H CNY1 RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 2,276,000 00 | 0 3584 | 815,706 34 | 0 3676 | 836,597 43 |
| RF - APS ASSET MANAGEMENT WEICHAI POWER CO H CNY1 COLOMBIA RF - EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF - EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF - EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 168,500 00 | 1 0877 | 183,270 99 | 1 0576 | 178,202 24 |
| COLOMBIA RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 332,000 00 | 0 4679 | 155,326 60 | 0 5643 | 187,333 54 |
| RF- EMERGING MARKETS MGMT BANCOLOMBIA SA COP500 RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 61,000 00 | 3 0861 | 188,253 42 | 1 6895 | 103,062 47 |
| RF- EMERGING MARKETS MGMT INTERCONEXION ELEC COM COP32 8 RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | | | | | |
| RF- EMERGING MARKETS MGMT INV NACIONAL CHOCO COM COP5 | 3,121 00 | 4 9430 | 15,427 25 | 6 7089 | 20,938 38 |
| | 55,335 00 | 0 5832 | 32,272 11 | 2 4710 | 136,732 71 |
| | 31,806 00 | 0 8149 | 25,918 52 | 5 6505 | 179,719 67 |
| RF- EMERGING MARKETS MGMT CEMENTOS ARGOS COP62 5 | 14,463 00 | 0 7379 | 10,672 80 | 5 1694 | 74,765 27 |
| RF- EMERGING MARKETS MGMT BANCOLOMBIA S A SPONSORED ADR REPSTG 4 P | PREF 4,600 00 | 2 0200 | 9,292 00 | 28 8300 | 132,618 00 |
| DENMARK | | | | | |
| RF- ACADIAN ASSET MANAGEMENT DSV DKK2 | 1,200 00 | 68 7355 | 82,482 56 | 123 0341 | 147,640 92 |
| RF - CAPITAL GUARDIAN II NOVO NORDISK AS DKK2 SER B | 2,100 00 | 30 8714 | 64,830 01 | 56 0612 | 117,728 46 |
| RF - ARTISAN PARTNERS VESTAS WIND SYSTEMS DKK1 | 7,900 00 | 21 9602 | 173,485 39 | 16 3676 | 129,304 41 |
| RF - MARATHON ASSET MGMT LTD WILLIAM DEMANT HOL DKK1 | 6,500 00 | 38 2230 | 248,449 65 | 55 1123 | 358,230 08 |
| RF - MARATHON ASSET MGMT LTD VESTAS WIND SYSTEMS DKK1 | 10,500 00 | 14 4384 | 151,602 90 | 16 3676 | 171,860 30 |
| RF - MARATHON ASSET MGMT LTD COLOPLAST SER B DKK5 | 4,400 00 | 47 5569 | 209,250 35 | 61 8333 | 272,066 67 |
| EGYPT CONTROL OF CONTR | | | | | |
| RF - BAILLIE GIFFORD ORASCOM TELECOM S A E GDR REG S | 23,569 00 | 12 4895 | 294,365 22 | 53 5000 | 1,260,941 50 |
| FINLAND RF- MERCATOR ASSET MANAGEMENT STORA ENSO OYJ NPV SER R | | | | | |
| | 87,700 00 | 10 3303 | 905,969.90 | 13 4941 | 1,183,428 27 |
| RF- ACADIAN ASSET MANAGEMENT RAUTARUUKKI OY K FIM10 | 17,400 00 | 10 4460 | 181,760 79 | 24 2398 | 421,771 66 |
| RF- ACADIAN ASSET MANAGEMENT SAMPO OYJ SER A NPV | 68,500 00 | 15 7309 | 1,077,569 05 | 17 3630 | 1,189,363 76 |
| RF- ACADIAN ASSET MANAGEMENT METSO CYJ FIM50 | 21,500 00 | 26 4418 | 568,497 66 | 27 2712 | 586,330 67 |
| RF - ARTISAN PARTNERS FORTUM OYJ EUR3 40 | 29,300.00 | 18 2456 | 534,596 02 | 18 6841 | 547,443 27 |
| RF - MARATHON ASSET MGMT LTD M REAL OYJ B ORD EUR1 70 | 23,830 00 | 6 2086 | 147,951 70 | 4 9777 | 118,618 61 |
| RF - MARATHON ASSET MGMT LTD SAMPO OYJ SER A NPV | | | | 17 2020 | 538,252 21 |
| RF - MARATHON ASSET MGMT LTD TIETOENATOR OYJ ORD NPV | 31,000 00 | 9 7368 | 301,840 18 | 17 3630 | |
| RF - MARATHON ASSET MGMT LTD METSO OYJ FIM50 | 31,000 00 9,400 00 20,100 00 | 9 7368 28 4949 11 7011 | 301,840 18 267,852 38 235,192 33 | 36 3891 27.2712 | 342,057 68 548,151 00 |

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|--------------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| | FRANCE | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | SCHNEIDER ELECTRIC | EUR8 | 17,500 00 | 77 6077 | 1,358,134 73 | 88 8791 | 1,555,384 00 |
| RF- MERCATOR ASSET MANAGEMENT | CARREFOUR | EUR2 50 | 22,770 00 | 42 5062 | 967,866 50 | 46 6866 | 1,063,053 55 |
| RF- MERCATOR ASSET MANAGEMENT | AXA | EUR2 29 | 59,700 00 | 19 3090 | 1,152,745 47 | 32 1545 | 1,919,625 47 |
| RF- ACADIAN ASSET MANAGEMENT | BOUYGUES | EUR1 | 400 00 | 26 1325 | 10,453 00 | 48 7154 | 19,486 16 |
| RF- ACADIAN ASSET MANAGEMENT | BONGRAIN SA | EUR1 | 6,682 00 | 39 3736 | 263,094 56 | 58 3877 | 390,146 75 |
| RF- ACADIAN ASSET MANAGEMENT | TOTAL SA | EUR10 | 6,150 00 | 195 7291 | 1,203,733 68 | 250 3005 | 1,539,348 02 |
| RF- ACADIAN ASSET MANAGEMENT | VALLOUREC(USIN) | USIN A T EUR20 | 982 00 | 442 4778 | 434,513 16 | 548 4907 | 538,617 87 |
| RF- ACADIAN ASSET MANAGEMENT | FRANCE TELECOM | EUR4 | 13,063 00 | 24 2702 | 317,041 93 | 24 7588 | 323,423 58 |
| RF- ACADIAN ASSET MANAGEMENT | CNP ASSURANCES | EUR4 | 2,187 00 | 79 1662 | 173,136 48 | 78 5580 | 171,806 40 |
| RF- ACADIAN ASSET MANAGEMENT | BNP PARIBAS | EUR2 | 28,898 00 | 65 8973 | 1,904,301 18 | 80 6222 | 2,329,821 38 |
| RF - CAPITAL GUARDIAN II | BOUYGUES | EUR1 | 14,400 00 | 26 9275 | 387,756 07 | 48 7154 | 701,501 92 |
| RF - CAPITAL GUARDIAN II | AIR LIQUIDE(L) | EUR11 | 1,040 00 | 125 1408 | 130,146 42 | 191 6769 | 199,343 93 |
| RF - CAPITAL GUARDIAN II | LOREAL | EUR0 2 | 4,000 00 | 64 0238 | 256,095 03 | 74 0757 | 296,302 94 |
| RF - CAPITAL GUARDIAN II | SCHNEIDER ELECTRIC | EUR8 | 4,800 00 | 47 4278 | 227,653 53 | 88 8791 | 426,619 61 |
| RF - CAPITAL GUARDIAN II | VIVENDI UNIVERSAL | EUR5 5 | 8,300 00 | 10 5362 | 87,450 66 | 31 2109 | 259,050 39 |
| RF - CAPITAL GUARDIAN II | SANOFI AVENTIS | EUR2 | 13,300 00 | 58 2078 | 774,164 26 | 87 2867 | 1,160,913 02 |
| RF - CAPITAL GUARDIAN II | ESSILOR INTL | EUR0 35 | 2,900 00 | 37 3300 | 108,257 03 | 80 4453 | 233,291 38 |
| RF - CAPITAL GUARDIAN II | BNP PARIBAS | EUR2 | 11,400 00 | 40 4762 | 461,428 66 | 80 6222 | 919,093 49 |
| RF - CAPITAL GUARDIAN II | GROUPE DANONE | EUR0 50 | 1,800 00 | 60 0043 | 108,007 69 | 104 0953 | 187,371 50 |
| RF - ARTISAN PARTNERS | LVMH MOET HENNESSY LOUIS VUITT | EUR0 30 | 12,680 00 | 73 5383 | 932,465 28 | 88 5252 | 1,122,499 80 |
| RF - ARTISAN PARTNERS | PPR | EUR4 | 10,722 00 | 101 0827 | 1,083,808 47 | 112 2342 | 1,203,374 81 |
| RF - ARTISAN PARTNERS | CARREFOUR | EUR2 50 | 33,157 00 | 47 8514 | 1,586,610 04 | 46 6866 | 1,547,987 11 |
| RF - ARTISAN PARTNERS | SANOFI AVENTIS | EUR2 | 1,816 00 | 89 0576 | 161,728 64 | 87 2867 | 158,512 63 |
| RF - ARTISAN PARTNERS | ACCOR | EUR3 | 7,709 00 | 49 3536 | 380,466 99 | 54 8019 | 422,467 76 |
| RF - ARTISAN PARTNERS | AXA | EUR2 29 | 39,153 00 | 27 5855 | 1,080,055 45 | 32 1545 | 1,258,946 33 |
| RF - ARTISAN PARTNERS | JC DECAUX SA | NPV | 22,539 00 | 10 6054 | 239,034 98 | 23 2371 | 523,741 74 |
| RF - ARTISAN PARTNERS | PAGESJAUNES GROUPE | EUR0 20 | 35,667 00 | 17 8142 | 635,378 25 | 25 9383 | 925,141 43 |
| RF - ARTISAN PARTNERS | SAFRAN SA | EUR0 20 | 24,722 00 | 21 9217 | 541,949 12 | 23 8269 | 589,048 82 |
| RF - MARATHON ASSET MGMT LTD | THALES | EUR3 | 6,700 00 | 36 6581 | 245,609 22 | 45 1768 | 302,684 30 |
| RF - MARATHON ASSET MGMT LTD | SCOR | EUR0 7876972 | 149,700 00 | 1 4793 | 221,452 85 | 2 1468 | 321,373 09 |
| RF - MARATHON ASSET MGMT LTD | CARREFOUR | EUR2 50 | 7,800 00 | 48 7809 | 380,491 04 | 46 6866 | 364,155 37 |
| RF - MARATHON ASSET MGMT LTD | ATOS ORIGIN | EUR1 | 3,200 00 | 59 8879 | 191,641 16 | 65 6420 | 210,054 25 |
| RF - MARATHON ASSET MGMT LTD | SANOFI AVENTIS | EUR2 | 3,800 00 | 74 1468 | 281,757 71 | 87 2867 | 331,689 43 |
| RF - MARATHON ASSET MGMT LTD | ALCATEL | EUR2 | 24,800 00 | 13 9201 | 345,217 93 | 12 3499 | 306,277 21 |
| RF - MARATHON ASSET MGMT LTD | AXA | EUR2 29 | 16,200 00 | 22 9930 | 372,486 94 | 32 1545 | 520,903 39 |
| RF - MARATHON ASSET MGMT LTD | BNP PARIBAS | EUR2 | 5,800 00 | 63 0526 | 365,705 20 | 80 6222 | 467,608 97 |
| RF - MARATHON ASSET MGMT LTD | CIE DE ST GOBAIN | EUR4 | 4,300 00 | 51 1575 | 219,977 26 | 59 2724 | 254,871 25 |
| RF - MARATHON ASSET MGMT LTD | GROUPE DANONE | EUR0 50 | 2,500 00 | 87 9705 | 219,926 33 | 104 0953 | 260,238 20 |
| RF - MARATHON ASSET MGMT LTD | EDF | EUR0 5 | 600 00 | 36 5527 | 21,931 59 | 37 7220 | 22,633 20 |
| SOUTHEASTERN ASSET MGMT | VIVENDI UNIVERSAL | SPONSORED ADR NEW | 218,000 00 | 13 6987 | 2,986,305 80 | 31 4300 | |
| | GERMANY | • | | | | | |
| RF - CAPITAL GUARDIAN II | SAP AKTIENGESELLSCHAFT | SPONSERED ADR | 6,200 00 | 26 9443 | 167,054 42 | 45 0700 | 279,434 00 |
| RF- MERCATOR ASSET MANAGEMENT | ADIDAS SALOMON AG | DEM5 | 7,700 00 | 51 2292 | 394,465 21 | 188 7280 | 1,453,205 49 |
| RF- MERCATOR ASSET MANAGEMENT | DEUTSCHE POST AG | NPV REGD | 53,100 00 | 23 6174 | 1,254,082 97 | 24 1572 | 1,282,746 37 |

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|-----------------------------|-----------------------|-----------|----------------|-----------------|----------------------|-------------------|
| RF- MERCATOR ASSET MANAGEMENT | METRO AG | ORD NPV | 25,700 00 | 20 1598 | 518,107 44 | 48 1256 | 1,236,828 85 |
| RF- MERCATOR ASSET MANAGEMENT | SIEMENS AG | NPV (REGD) | 16,300 00 | 55 8681 | 910,649 70 | 85 3994 | 1,392,010 44 |
| RF- ACADIAN ASSET MANAGEMENT | ADIDAS SALOMON AG | DEM5 | 1,202 00 | 119 7827 | 143,978 77 | 188 7280 | 226,851 04 |
| RF- ACADIAN ASSET MANAGEMENT | MPC MUNCHMEYER PET NPV | | 208 00 | 71 8747 | 14,949 93 | 77 6144 | 16,143 79 |
| RF- ACADIAN ASSET MANAGEMENT | AWD HOLDINGS AG | EUR NPV | 1,110 00 | 38 0498 | 42,235 23 | 27 6604 | 30,703 09 |
| RF- ACADIAN ASSET MANAGEMENT | CONTINENTAL AG | ORD NPV | 18,862 00 | 68 1015 | 1,284,529 90 | 88 4427 | 1,668,205 30 |
| RF- ACADIAN ASSET MANAGEMENT | SCHERING AG | ORD NPV | 13,024 00 | 58 1719 | 757,631 17 | 66 7625 | 869,515 12 |
| RF- ACADIAN ASSET MANAGEMENT | PUMA AG | NPV | 2,960 00 | 273 5167 | 809,609 49 | 290 7591 | 860,648 79 |
| RF- ACADIAN ASSET MANAGEMENT | BASF AG | NPV | 6,243 00 | 69 0615 | 431,150 99 | 76 3287 | 476,519 91 |
| RF- ACADIAN ASSET MANAGEMENT | ALLIANZ AG | NPV(REGD)(VINKULIERT) | 11,910 00 | 126 4012 | 1,505,438 45 | 150 9116 | 1,797,357 34 |
| RF- ACADIAN ASSET MANAGEMENT | MUENCHENER RUCKVERS AG | NPV(REGD) | 4,623 00 | 110 3105 | 509,965 33 | 134 9169 | 623,720 91 |
| RF- ACADIAN ASSET MANAGEMENT | AMB GENERALI HOLDING AG | NPV | 437 00 | 82 5506 | 36,074.60 | 99 3181 | 43,402 01 |
| RF- ACADIAN ASSET MANAGEMENT | SALZGITTER AG | ORD NPV | 4.646 00 | 40 2999 | 187,233 15 | 53 7993 | 249,951 41 |
| RF- ACADIAN ASSET MANAGEMENT | MAN AG | ORD NPV | 29,581 00 | 50 4693 | 1,492,933 30 | 53 1741 | 1,572,943 34 |
| RF- ACADIAN ASSET MANAGEMENT | MOBILCOM AG | ORD NPV | 3,452 00 | 19 7034 | 68,016 22 | 21 9396 | 75,735 60 |
| RF- ACADIAN ASSET MANAGEMENT | SOLARWORLD AG | ORD SHS | 1,169 00 | 137 5831 | 160,834 67 | 133 2891 | 155,815 00 |
| RF - CAPITAL GUARDIAN II | DEUTSCHE POST AG | NPV REGD | 10,000 00 | 24 2470 | 242,470 25 | 24 1572 | 241,571 82 |
| RF - CAPITAL GUARDIAN II | SAP AG | NPV | 1,700 00 | 165 2147 | 280,865 06 | 180 6599 | 307,121 77 |
| RF - CAPITAL GUARDIAN II | E ON AG | NPV | 2,400 00 | 70 8740 | 170,097 48 | 103 0809 | 247,394 08 |
| RF - CAPITAL GUARDIAN II | BAYER AG | ORD NPV | 8,600 00 | 31 1083 | 267,531 48 | 41 6263 | 357,986 32 |
| RF - CAPITAL GUARDIAN II | ALLIANZ AG | NPV(REGD)(VINKULIERT) | 2,500 00 | 116 9955 | 292,488 83 | 150 9116 | 377,279 04 |
| RF - CAPITAL GUARDIAN II | VOLKSWAGEN AG | ORD NPV | 4,800 00 | 43 3320 | 207,993 52 | 52 6197 | 252,574 66 |
| RF - CAPITAL GUARDIAN II | DAIMLERCHRYSLER AG | ORD NPV(REGD) | 4,800 00 | 43 4678 | 208,645 56 | 50 8858 | 244,251 76 |
| RF - CAPITAL GUARDIAN II | SIEMENS AG | NPV (REGD) | 7,000 00 | 61 4435 | 430,104 46 | 85 3994 | 597,795 89 |
| RF - CAPITAL GUARDIAN II | BAYERISCHE MOTOREN WERKE AG | EUR1 | 3,900 00 | 37 5148 | 146,307 75 | 43 7023 | 170,439 06 |
| RF - CAPITAL GUARDIAN II | INFINEON TECHNOLOGIES AG | ORD NPV | 18,700 00 | 14 2567 | 266,599 74 | 9 1179 | 170,505 12 |
| | COMMERZBANK AG | NPV | 48,400 00 | 20 8002 | 1,006,729 91 | 30 6919 | 1,485,487 41 |
| RF - ARTISAN PARTNERS | | | · | | 1,006,729 91 | 24 1572 | 1,076,975 49 |
| RF - ARTISAN PARTNERS | DEUTSCHE POST AG | NPV REGD | 44,582 00 | 23 1503 | | 73 7808 | 590,172 99 |
| RF - ARTISAN PARTNERS | RWE AG (NEU) | NPV A | 7,999 00 | 66 7539 | 533,964 82 | | |
| RF - ARTISAN PARTNERS | SAP AG | NPV · | 3,097 00 | 173 0899 | 536,059 51 | 180 6599 | 559,503 60 |
| RF - ARTISAN PARTNERS | E ON AG | NPV | 14,888 00 | 93 3155 | 1,389,281 55 | 103 0809 | 1,534,667 94 |
| RF - ARTISAN PARTNERS | ALLIANZ AG | NPV(REGD)(VINKULIERT) | 12,679 00 | 81 2932 | 1,030,716 80 | 150 9116 | 1,913,408 37 |
| RF - ARTISAN PARTNERS | HEIDELBERGER DRUCK | ORD NPV | 8,474 00 | 34 9565 | 296,221 46 | 38 1231 | 323,054 75 |
| RF - ARTISAN PARTNERS | SIEMENS AG | NPV (REGD) | 18,533 00 | 77 7443 | 1,440,835.01 | 85 3994 | 1,582,707 33 |
| RF - MARATHON ASSET MGMT LTD | DEUTSCHE POST AG | NPV REGD | 10,500 00 | 20 2617 | 212,748 03 | 24 1572 | 253,650 41 |
| RF - MARATHON ASSET MGMT LTD | E ON AG | NPV | 4,800 00 | 71 1403 | 341,473 59 | 103 0809 | 494,788 16 |
| RF - MARATHON ASSET MGMT LTD | BASF AG | NPV | 6,700 00 | 51 7638 | 346,817 30 | 76 3287 | 511,402 12 |
| RF - MARATHON ASSET MGMT LTD | FRESENIUS MEDICAL | DEM5 | 6,400 00 | 75 8208 | 485,252 96 | 104 9799 | 671,871 63 |
| RF - MARATHON ASSET MGMT LTD | DAIMLERCHRYSLER AG | ORD NPV(REGD) | 8,900 00 | 49 4065 | 439,717 46 | 50 8858 | 452,883 47 |
| RF - MARATHON ASSET MGMT LTD | BAYERISCHE MOTOREN WERKE AG | EUR1 | 7,400 00 | 42 7788 | 316,562 95 | 43 7023 | 323,397 20 |
| | GREECE | | | | | | |
| RF- ACADIAN ASSET MANAGEMENT | TECHNIKI OLYMPIAKI | EUR1 | 34,400 00 | 2 5772 | • | 5 5439 | 190,709.63 |
| RF - CAPITAL GUARDIAN II | OPAP (ORG OF FOOTB) | EUR0 30 (CR) | 5,700 00 | 30 9666 | · · | 34 3249 | 195,651 94 |
| RF - CAPITAL GUARDIAN II | TITAN CEMENT CO | EUR2 | 5,200 00 | 34 1245 | 177,447 46 | 40 6945 | 211,611 25 |

HONG KONG

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|----------------------------|--------------------------------|--------------|----------------|-----------------|----------------------|-------------------|
| RF- EMERGING MARKETS MGMT | UTD PACIFIC IND | HKD0 10 | 522,000 00 | 0 1953 | 101,922 76 | 0 0245 | 12,791 56 |
| RF- EMERGING MARKETS MGMT | FOUNTAIN SET HLDGS | HKD0 20 | 204,000 00 | 0 6638 | 135,411 87 | 0 4611 | 94,060 14 |
| RF- EMERGING MARKETS MGMT | PARKSON RETAIL GRO | HKD0 10 | 9,500 00 | 1 2768 | 12,129 86 | 1 8056 | 17,153 43 |
| RF- EMERGING MARKETS MGMT | SAMSON HOLDING | USD0 05 | 560,000 00 | 0 3826 | 214,280 13 | 0 4579 | 256,398 68 |
| RF- EMERGING MARKETS MGMT | CHINA MOBILE (HK) | HKD0 10 | 302,500 00 | 2 9509 | 892,642 18 | 4 7333 | 1,431,828 00 |
| RF- MERCATOR ASSET MANAGEMENT | SWIRE PACIFIC | A HKD0 60 | 131,700 00 | 4 6215 | 608,647 76 | 8 9765 | 1,182,209 44 |
| RF- ACADIAN ASSET MANAGEMENT | TELEVISION BROADCT | HKD0 05 | 6,000 00 | 5 5875 | 33,524 99 | 5 3137 | 31,882 17 |
| RF- ACADIAN ASSET MANAGEMENT | CNOOC LTD | HKD0 02 | 100,000 00 | 0 7171 | 71,705 30 | 0 6771 | 67,710 92 |
| RF- ACADIAN ASSET MANAGEMENT | CHINA MOBILE (HK) | HKD0 10 | 115,300 00 | 2 6060 | 300,474 10 | 4 7333 | 545,751 30 |
| RF - CAPITAL GUARDIAN II | SUN HUNG KAI PROPS | HKD0 50 | 45,000 00 | 8 0596 | 362,682 38 | 9 7375 | 438,186 38 |
| RF - ARTISAN PARTNERS | CHEUNG KONG(HLDGS) | HKD0 50 | 45,200 00 | 9 2057 | 416,096 38 | 10 2598 | 463,743 70 |
| RF - ARTISAN PARTNERS | CHINA MERCHANTS HLDGS INTL | HKD0 10 | 58,000 00 | 2 0290 | 117,679 75 | 2 1732 | 126,045 49 |
| RF - ARTISAN PARTNERS | SUN HUNG KAI PROPS | HKD0 50 | 125,000 00 | 9 6279 | 1,203,485 29 | 9 7375 | 1,217,184 39 |
| RF - ARTISAN PARTNERS | CHINA MOBILE (HK) | HKD0 10 | 616,200 00 | 3 1470 | 1,939,201 13 | 4 7333 | 2,916,669 14 |
| RF - ARTISAN PARTNERS | MTR CORP | HKD1 | 232,800 00 | 2 0158 | 469,283 63 | 1 9668 | 457,880 58 |
| RF - BAILLIE GIFFORD | CNOOC LTD | HKD0 02 | 1,225,000 00 | 0 3985 | 488,206 43 | 0 6771 | 829,458 76 |
| RF - MARATHON ASSET MGMT LTD | ASIA SATELLITE TEL | HKD0 10 | 34,000 00 | 1 6669 | 56,673 20 | 1 7734 | 60,294 96 |
| RF - MARATHON ASSET MGMT LTD | HONG KONG EXCHANGE | HKD1 | 107,000 00 | 1 9489 | 208,536 90 | 4 1465 | 443,674 19 |
| RF - MARATHON ASSET MGMT LTD | HONGKONG+SHANG HOT | HKD0 50 | 341,444 00 | 0 5748 | 196,263 74 | 1 0963 | 374,315.51 |
| RF - MARATHON ASSET MGMT LTD | SILVER GRANT INTL | HKD0 20 | 188,000 00 | 0 3956 | 74,363 77 | 0 2966 | 55,768 00 |
| RF - MARATHON ASSET MGMT LTD | NEW WORLD DEVEL CO | HKD1 | 897,205 00 | 0.6796 | 609,710 02 | 1 3736 | 1,232,368 82 |
| RF - MARATHON ASSET MGMT LTD | TELEVISION BROADCT | HKD0 05 | 119,000 00 | 4 1030 | 488,261 51 | 5 3137 | 632,329.71 |
| RF - MARATHON ASSET MGMT LTD | WHEELOCK + CO | HKD0 50 | 205,000 00 | 1 1796 | 241,822 71 | 1 6315 | 334,459 70 |
| RF - MARATHON ASSET MGMT LTD | I CABLE COMMUNICATION | HKD1 | 555,000 00 | 0 3827 | 212,394 32 | 0 2450 | 136,002 22 |
| RF - MARATHON ASSET MGMT LTD | NEXT MEDIA | HKD1 | 403,000 00 | 0 3583 | 144,408 35 | 0 4772 | 192,311 91 |
| RF - MARATHON ASSET MGMT LTD | HENDERSON LAND DEV | HKD2 | 137,000 00 | 3 9876 | 546,306 68 | 4 7075 | 644,930 39 |
| RF - MARATHON ASSET MGMT LTD | HONG KONG AIRCRAFT | HKD1 | 67,000 00 | 4 6517 | 311,663 10 | 7 6739 | 514,151 58 |
| RF - APS ASSET MANAGEMENT | TEXWINCA HLDGS | HKD0 05 | 718,000 00 | 0 9622 | 690,846 50 | 0 7223 | 518,575 36 |
| RF - APS ASSET MANAGEMENT | IDT INTERNATIONAL | HK0 10 | 592,000 00 | 0 2242 | 132,730 53 | 0 0735 | 43,520 71 |
| RF - APS ASSET MANAGEMENT | KINGBOARD CHEMICAL | HKD0 10 | 147,000 00 | 2 3744 | 349,032 24 | 2 7084 | 398,140 21 |
| RF - APS ASSET MANAGEMENT | KINGMAKER FOOTWEAR | HKD0 10 | 332,000 00 | 0 2583 | 85,766 29 | 0 1612 | 53,523 87 |
| RF - APS ASSET MANAGEMENT | VARITRONIX INTL | HKD0 25 | 87,085 00 | 0 6876 | 59,882 46 | 0 7223 | 62,897 12 |
| | HUNGARY | | | | | | |
| RF- EMERGING MARKETS MGMT | OTP BANK | HUF100 | 22,401 00 | 11 7256 | 262,666 18 | 32 5527 | 729,212 64 |
| RF - BAILLIE GIFFORD | OTP BANK | HUF100 | 27,000 00 | 37 6556 | 1,016,700 39 | 32 5527 | 878,922 43 |
| | INDONESIA | | | | | | |
| RF- EMERGING MARKETS MGMT | ANEKA TAMBANG | IDR500 | 353,500 00 | 0 2449 | 86,557 68 | 0 3633 | 128,431 15 |
| RF- EMERGING MARKETS MGMT | MEDCO ENERGI INTL | IDR100 | 649,000 00 | 0 3389 | 219,931 93 | 0 3430 | 222,599 09 |
| RF- EMERGING MARKETS MGMT | INDOFOODS SUKSES M | IDR100 | 1,021,500 00 | 0 0827 | 84,456 62 | 0 0925 | 94,467 99 |
| RF- EMERGING MARKETS MGMT | INDOCEMENT TUNGGAL | IDR500 | 941,000 00 | 0 3197 | 300,806 58 | 0 3608 | 339,486 79 |
| RF- EMERGING MARKETS MGMT | LIPPO BANK | CERT/ENTLMT(AMKT) CONV 16FEB08 | 4,184,000 00 | - | • | | • |
| RF- EMERGING MARKETS MGMT | INDOSAT | IDR100 | 419,000 00 | 0 5154 | 215,955 19 | 0 5640 | 236,326 22 |
| RF- EMERGING MARKETS MGMT | BK CENTRAL ASIA | IDR125 | 517,000 00 | 0 1311 | 67,790 21 | 0 3455 | 178,638 21 |
| RF- EMERGING MARKETS MGMT | TELEKOMUNIKASI IND | SER B IDR250 | 202,040 00 | 0 4277 | 86,410 20 | 0 5996 | 121,141 87 |
| RF- EMERGING MARKETS MGMT | RAMAYANA LESTARI | IDR50 00 | 638,500 00 | 0 0295 | 18,805 01 | 0 0823 | 52,559 45 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|------------------------------|------------------------------|--------------|----------------|-----------------|----------------------|-------------------|
| RF - BAILLIE GIFFORD | BUMI RESOURCES TBK | IDR500 | 2,732,000 00 | 0 0413 | 112,940 62 | 0 0772 | 211,008 13 |
| RF - BAILLIE GIFFORD | BK RAKYAT | IDR500 | 2,886,000 00 | 0 2901 | 837,301 06 | 0 3074 | 887,210 37 |
| RF - BAILLIE GIFFORD | TELEKOMUNIKASI IND | SER B IDR250 | 2,080,000 00 | 0 4344 | 903,568 76 | 0 5996 | 1,247,154 47 |
| RF - MARATHON ASSET MGMT LTD | INDOFOODS SUKSES M | IDR100 | 1,211,000 00 | 0 0972 | 117,668 08 | 0 0925 | 111,992 89 |
| RF - MARATHON ASSET MGMT LTD | MATAHARI PUTRA(DEMAT) | IDR 500 | 1,210,000 00 | 0 0560 | 67,724 72 | 0 0976 | 118,048 78 |
| RF - MARATHON ASSET MGMT LTD | BK PAN INDONESIA | IDR100 | 5,826,000 00 | 0 0321 | 187,009 08 | 0 0427 | 248,670 73 |
| RF - MARATHON ASSET MGMT LTD | SEMEN GRESIK(PERS) | IDR1000 | 125,000 00 | 0 8559 | 106,981 48 | 1 8089 | 226,117 89 |
| | IRELAND | | | | | | |
| RF - CAPITAL GUARDIAN II | CRH | ORD EURO 32 | 7,600 00 | 17 3456 | 131,826 51 | 29 3000 | 222,680 15 |
| RF - MARATHON ASSET MGMT LTD | INDEPENDENT NEWS + MEDIA | ORD EUR0 30 | 114,100 00 | 2 3160 | 264,252 29 | 2 9489 | 336,466 61 |
| RF - MARATHON ASSET MGMT LTD | EIRCOM GROUP | ORD EUR0 10 | 14,166.00 | 1 9539 | 27,679 50 | 2 3355 | 33,084 82 |
| RF · MARATHON ASSET MGMT LTD | EIRCOMGROUPPLC | ORD EUR0 10 | 106,958 00 | 1 7828 | 190,681 19 | 2 3355 | 249,801 35 |
| RF - MARATHON ASSET MGMT LTD | FYFFES | ORD EURO 06(DUBLIN LISTING) | 58,400 00 | 2 0492 | 119,673 86 | 2 7130 | 158,437.14 |
| RF- EMERGING MARKETS MGMT | EMM UMBRELLA FUNDS | EMERGING MKTS GLBL SMALL CAP | 343,135 54 | 10 4398 | 3,582,267.07 | 14 5800 | 5,002,916 16 |
| RF - CAPITAL GUARDIAN II | RYANAIR HOLDGS PLC | SPONSORED ADR | 3,000 00 | 31 0273 | 93,081 89 | 55 9900 | 167,970 00 |
| RF- EMERGING MARKETS MGMT | DRAGON OIL | ORD EUR0 10 | 59,207 00 | 0 4938 | 29,236 89 | 3 4077 | 201,762 59 |
| RF - BAILLIE GIFFORD | KENMARE RESOURCES ORD | EUR0 06 | 500,000 00 | 0 6369 | 318,428 98 | 0 6695 | 334,766 25 |
| | ISRAEL | | | | | | |
| RF- EMERGING MARKETS MGMT | CHECK POINT SOFTWARE | COMMON STOCK | 16,800 00 | 24 5545 | 412,515 65 | 20 1000 | 337,680 00 |
| RF- EMERGING MARKETS MGMT | TEVA PHARMACEUTICAL INDS LTD | ADR | 17,700 00 | 20 8943 | 369,828 43 | 43 0100 | 761,277 00 |
| RF - CAPITAL GUARDIAN II | TEVA PHARMACEUTICAL INDS LTD | ADR | 10,300 00 | 26 1281 | 269,119 49 | 43 0100 | 443,003 00 |
| RF - ARTISAN SMALL CAP | ORBOTECH LTD | COM | 1,000 00 | 23 8333 | 23,833 29 | 23 9700 | 23,970.00 |
| RF - BAILLIE GIFFORD | CHECK POINT SOFTWARE | COMMON STOCK | 52,000 00 | 21 5913 | 1,122,747 22 | 20 1000 | 1,045,200 00 |
| RF - BAILLIE GIFFORD | TEVA PHARMACEUTICAL INDS LTD | ADR | 21,600 00 | 30 5307 | 659,463 29 | 43 0100 | 929,016 00 |
| RF- EMERGING MARKETS MGMT | BK HAPOALIM BM | iLS1 | 34,383 00 | 1 6064 | 55,231 38 | 4 6440 | 159,676 03 |
| RF- EMERGING MARKETS MGMT | BEZEK ISRAEL TELCM | ILS1 | 114,479 00 | 1 2409 | 142,055 08 | 1 2829 | 146,861 36 |
| RF- EMERGING MARKETS MGMT | MAKHTESHIM AGAM IN | ILS1 | 36,488 00 | 2 1488 | 78,405 84 | 5 7692 | 210,506 93 |
| RF- EMERGING MARKETS MGMT | ICL ISRAEL CHEM | ILS1 | 67,567 00 | 2 4767 | 167,343 70 | 3 9468 | 266,672 25 |
| RF - BAILLIE GIFFORD | BK HAPOALIM BM | ILS1 | 223,000 00 | 2 7091 | 604,120 85 | 4 6440 | 1,035,620 96 |
| RF - BAILLIE GIFFORD | MAKHTESHIM AGAM IN | ILS1 | 122,197 00 | 4 2029 | 513,582 77 | - 5 7692 | 704,980 14 |
| | ITALY | | | | | | |
| RF - ARTISAN PARTNERS | UNICREDITO ITALIAN | EUR 5 | 213,291 00 | 4 3714 | 932,383 43 | 6 8414 | 1,459,206 80 |
| RF- MERCATOR ASSET MANAGEMENT | UNICREDITO ITALIAN | EUR0 50 | 244,200 00 | 6 0994 | 1,489,467 69 | 6 8650 | 1,676,428 23 |
| RF- MERCATOR ASSET MANAGEMENT | SAIPEM | EUR1 | 90,000 00 | 5 9631 | 536,679 37 | 16 3486 | 1,471,370 55 |
| RF- ACADIAN ASSET MANAGEMENT | MILANO ASSICURAZIO | ITL1000 | 15,000 00 | 5 2932 | 79,398 37 | 6 8119 | 102,178 51 |
| RF- ACADIAN ASSET MANAGEMENT | FONDIARIA SAI SPA | EUR1 | 8,388 00 | 30 4144 | 255,115 85 | 32 8151 | 275,252 88 |
| RF- ACADIAN ASSET MANAGEMENT | ENI | EUR1 | 84,828 00 | 25 6414 | 2,175,110 88 | 27 6369 | 2,344,379 08 |
| RF- ACADIAN ASSET MANAGEMENT | BCE POP UNITE | ORD EUR2 50 | 1,799 00 | 22 2929 | 40,104 84 | 21 8453 | 39,299 63 |
| RF - ARTISAN PARTNERS | ASSIC GENERALI | EUR1 00 | 37,947 00 | 29 8305 | 1,131,979 60 | 34 8203 | 1,321,326 43 |
| RF - ARTISAN PARTNERS | UNICREDITO ITALIAN | EUR0 50 | 42,711 00 | 5 8251 | 248,795 73 | 6 8650 | 293,210 18 |
| RF - ARTISAN PARTNERS | SAIPEM | EUR1 | 114,846 00 | 9 7976 | 1,125,209 89 | 16 3486 | 1,877,566 92 |
| RF - ARTISAN PARTNERS | ENI | EUR1 | 43,848 00 | 20 6595 | 905,877 93 | 27 6369 | 1,211,820 79 |
| RF - MARATHON ASSET MGMT LTD | UNICREDITO ITALIAN | EUR0 50 | 59,900 00 | 4 8987 | 293,432 37 | 6 8650 | 411,212 33 |
| RF - MARATHON ASSET MGMT LTD | SAIPEM | EUR1 | 32,700 00 | 9 4700 | 309,669 59 | 16 3486 | 534,597 97 |





| F. MARATHON ASSET MONIT LTD PASTWES SPA TLL1000 \$6,000 \$ | Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--|-------------------------------|------------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF - MARTHON ASSET MONITION NATUZZI S P A SPONSORED ADR 20,000 0 0 16 7500 25 3100 25 3100 37 355 | RF - MARATHON ASSET MGMT LTD | FIAT SPA | EUR5 | 61,000 00 | 7 5117 | 458,212 60 | 8 6815 | 529,570 73 |
| RF - MARATHON ASSET MANAGEMENT RF - MARATHON ASSET MANAGEMENT TOYOTA MORTHUST BENG PF30 PF | RF - MARATHON ASSET MGMT LTD | FASTWEB SPA | ITL1000 | 4,000 00 | 50 6838 | 202,735 27 | 45 5306 | 182,122 51 |
| NOTICA NOTICA NOTICA NOTICA NOTICA NOTICAL | RF - MARATHON ASSET MGMT LTD | LUXOTTICA GROUP S P A | SPONSORED ADR | 26,000 00 | 16 7600 | 435,760 00 | 25 3100 | 658,060 00 |
| RF - BALLE GIPFORD HOPC BANK LTD APR REPS 3 NF 17,500 0 30 6153 55,767 88 59,900 89,77 | | NATUZZI S P A | ADR | 5,400 00 | 10 7500 | 58,050 00 | 7 0000 | 37,800 00 |
| RF - BALLE GIFFORD HOPG DAWK LTD ADR REPS 3 INS 17,500 30 8153 55,767 88 59 9000 89.07. | | INDIA | | | | | | |
| FF - BALLE GIFFORD NFOSYS TECHNOLOGIES LTD SPONSORED ADRI REPSTG 1/1 EO SH 20,400 0 71 6833 1,423,400 0 80 8000 1,434,52 | RF - BAILLIE GIFFORD | | ADR REPS 3 SHS | 17,500 00 | 30 6153 | 535,767 88 | 50 9000 | 890,750 00 |
| RF - BAILLIE GIFFORD RELIANCE INDOLTED REPOLSARIAN TELEKOMUNIKIASI IND SPONSORED ADR RF - EMERGING MARKETS MGMT RF - MERCATOR ASSET MANAGEMENT RF - MERCATO | | | | | 71 6833 | 1,462,340 00 | 80 8600 | 1,649,544 00 |
| RF. MERCATOR ASSET MANAGEMENT RF. MERCATOR ASSET MANAGEMEN | | | | 33,400 00 | 24 6400 | 822,976 34 | 39 5300 | 1,320,302 00 |
| RF - MERCATOR ASSET MANAGEMENT | | INDONESIA | | | | | | |
| FF. MERCATOR ASSET MANAGEMENT MITSUBISH UFJ FIN GROUP MPV | RF- EMERGING MARKETS MGMT | | SPONSORED ADR | 11,876 00 | 3 7178 | 44,152 62 | 23 8600 | 283,361 36 |
| RF- MERCATOR ASSET MANAGEMENT MTSUBISHI UFJ FIN GROUP NPV 122 00 9.812 028 1.246,175 15 13,555 8756 1.721,55 RF- MERCATOR ASSET MANAGEMENT FULL PHOTO FILM CO JPY50 37,600 00 36 4450 1.170,300 73 33 0424 1.242,328 RF- MERCATOR ASSET MANAGEMENT RF- MERCATOR ASSET MANAGEMENT SUMITOMO TRUST-REG JPY50 222,300 00 3 9102 880,699 20 1.245,99 RF- MERCATOR ASSET MANAGEMENT TRAGE PHARMACEUTICAL CO LTD JPY50 30,400 00 39 9100 1.198,089 20 1.273,181 RF- MERCATOR ASSET MANAGEMENT TROTAL MANAGEMENT TOYOTA MOTOR CORP JPY50 30,400 00 36 3890 1.170,231 54 51 8512 1.873,93 RF- ACADIAN ASSET MANAGEMENT TOYOTA MOTOR CORP JPY50 30,000 00 30 3661 115,391 07 56 4471 207,88 RF- ACADIAN ASSET MANAGEMENT CADIAN ASSET MANAGEM | | JAPAN | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT FUJI PHOTO FILM CO JPY50 37,600 00 38 4450 1,370,330 73 33 0424 1,242,33 RF- MERCATOR ASSET MANAGEMENT KYOCERA CORP JPY50 17,100 00 61 9946 1,000,107 94 72 8628 1,245,33 RF- MERCATOR ASSET MANAGEMENT TAKEDA PHARMACEUTICAL CO LTD JPY50 30,400 00 39 9100 1,198,063 38 54 051 1,183,22 RF- MERCATOR ASSET MANAGEMENT TAKEDA PHARMACEUTICAL CO LTD JPY50 30,400 00 39 9100 1,198,063 38 54 0541 1,183,22 RF- MERCATOR ASSET MANAGEMENT COMPO JAPAN INS JPY50 30,000 00 30 3061 11,199,231 4 51 8512 1,573,93 RF- ACADIAN ASSET MANAGEMENT COMPO JAPAN INS JPY50 3,600 00 30 3061 1115,391 07 54 6471 207,53 RF- ACADIAN ASSET MANAGEMENT CONTRAL JAPAN IRWY JPY500 3,500 00 30 3061 115,391 07 54 6471 207,53 RF- ACADIAN ASSET MANAGEMENT CONTRAL JAPAN IRWY JPY5000 45 50 7,500 00 3,501 00 3,501 00 3,501 00 <td>RF- MERCATOR ASSET MANAGEMENT</td> <td></td> <td>JPY50</td> <td>67,000 00</td> <td>16 5407</td> <td>1,108,226 47</td> <td>20 7998</td> <td>1,393,586 38</td> | RF- MERCATOR ASSET MANAGEMENT | | JPY50 | 67,000 00 | 16 5407 | 1,108,226 47 | 20 7998 | 1,393,586 38 |
| RF- MERCATOR ASSET MANAGEMENT KYOCERA CORP JPY50 17,1000 61,946 1,060,10794 72,8628 1,245,825 RF- MERCATOR ASSET MANAGEMENT SUMITOMO TRUST-BKG JPY50 30,400 to 3,9410 1,198,063 8 54,0541 1,143,225 RF- MERCATOR ASSET MANAGEMENT TOYOTA MOTOR CORP JPY50 30,400 to 39,410 1,198,063 8 54,0541 1,143,22 RF- MERCATOR ASSET MANAGEMENT TOYOTA MOTOR CORP JPY50 32,400 to 38,300 to 3,061 1,179,231 54 51,8512 1,179,33 RF- ACADIAN ASSET MANAGEMENT NISSIN KOGYO JPY50 3,800 to 3,000 to 30,001 30,001 to 30,000 fo 2,272 to 10,1513,00 30,000 fo 2,215,00 30,000 fo 2,200 to 30,000 fo 2,215,00 30, | RF- MERCATOR ASSET MANAGEMENT | MITSUBISHI UFJ FIN GROUP | NPV | 127 00 | 9,812 4028 | 1,246,175 15 | 13,555 8756 | 1,721,596 20 |
| RF- MERCATOR ASSET MANAGEMENT SUMITOMO TRUST-BKG JPY50 33,300 00 3 7912 880,893 20 10 2093 2,371,61 RF- MERCATOR ASSET MANAGEMENT TAKEDA PHARMACEUTICAL CO LTD JPY50 32,400 00 39 400 11,980,663 8 45 641 1,454,22 RF- MERCATOR ASSET MANAGEMENT SOMPO JAPAN INS JPY50 66,100 00 4 5760 302,472 10 13 1353 893,22 RF- ACADIAN ASSET MANAGEMENT NISSIN KOGYO JPY50 3,800 00 30 30 861 115,391 07 54 647 1 207,88 RF- ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY5000 1500 00 20 0005 300,000 76 21 3505 320,22 RF- ACADIAN ASSET MANAGEMENT CENTRAL JPAN RLWY JPY5000 363 00 5,599 177 2,001,197 3 357,28 27 9,578 3872 430,88 RF- ACADIAN ASSET MANAGEMENT BOSCH CORPORATION NPV 15,000 00 5 5158 82,737 13 4 8293 72,43 RF- ACADIAN ASSET MANAGEMENT POINT INC JPY50 5,000 00 30 4836 152,417 9 32,829 416,4 | RF- MERCATOR ASSET MANAGEMENT | FUJI PHOTO FILM CO | JPY50 | 37,600 00 | 36 4450 | 1,370,330 73 | 33 0424 | 1,242,396 00 |
| RF- MERCATOR ASSET MANAGEMENT TAKEDA PHARMACEUTICAL CO LTD JPY50 30,400 00 39 4100 1,198,083 38 54 0541 1,643,22 RF- MERCATOR ASSET MANAGEMENT TOYOTA MOTOR CORP JPY50 68,100 00 4 6760 302,472 10 13 18512 1,679,975 RF- ACADIAN ASSET MANAGEMENT NISSIN KOGYO JPY50 3,800 00 30 3661 115,391 07 54 6471 207,85 RF- ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY50 15,000 00 20 0005 300,000 76 21 3055 302,227 RF- ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY50000 45 00 7,384 160 357,228 72 9,573 8372 430,85 RF- ACADIAN ASSET MANAGEMENT KOLD CORP JPY50000 38 30 5,509 9717 2,000,119 73 5,761 2471 2,091,33 RF- ACADIAN ASSET MANAGEMENT KOLD CORP JPY500 38 30 5,509 9717 2,000,119 73 5,761 2471 2,091,33 RF- ACADIAN ASSET MANAGEMENT KOLD CORP JPY50 5,000 00 5,285 2270 6,28,857 272 6,455 8858 64,55 | RF- MERCATOR ASSET MANAGEMENT | KYOCERA CORP | JPY50 | 17,100 00 | 61 9946 | 1,060,107 94 | 72 8628 | 1,245,954 42 |
| RF- MERCATOR ASSET MANAGEMENT TOYOTA MOTOR CORP JPYS0 32,400 00 36 3980 1,179,231 54 51 8512 1,679,575 RF- MERCATOR ASSET MANAGEMENT SOMPO JAPAN INS JPY50 66,100 00 4 5760 302,472 10 13 5135 893,24 RF- ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY50 15,000 00 20 0005 300,006 76 21 3505 320,22 RF- ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY50000 45 60 7,938 4160 357,228 72 9,573 8372 200,018 73 RF- ACADIAN ASSET MANAGEMENT KODI CORP JPY5000 36 30 5,599 9717 2,000,11973 5,761 2471 2,091,33 RF- ACADIAN ASSET MANAGEMENT KODI CORP JPY5000 36 30 5,599 9717 2,000,11973 5,761 2471 2,991,33 RF- ACADIAN ASSET MANAGEMENT KODIC CORPORATION NPY 15,000 00 3 0436 182,479 41 48 2839 724,41 RF- ACADIAN ASSET MANAGEMENT EN APAN INC JPY50 2,000 00 18 4764 53,581 53 16 9194 49,00 RF- AC | RF- MERCATOR ASSET MANAGEMENT | SUMITOMO TRUST+BKG | JPY50 | 232,300 00 | 3 7912 | 880,693 20 | 10 2093 | 2,371,613 15 |
| RF- MERCATOR ASSET MANAGEMENT SOMPO JAPAN INS JPY50 66,100 00 4 5760 302,472 10 13 5135 893,24 RF- ACADIAN ASSET MANAGEMENT NISSIN KOGYO JPY50 3,800 00 30 3661 115,391 07 56 46/1 207,81 RF- ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY50 15,000 00 20 0005 300,006 76 21 3505 320,22 RF- ACADIAN ASSET MANAGEMENT CENTRAL JPAN RLWY JPY50000 45 00 7,938 4160 357,228 72 9,573 8372 430,85 RF- ACADIAN ASSET MANAGEMENT KDDI CORP JPY5000 36 30 5,599 9717 2,000,119 73 5,761 2471 2,091,33 RF- ACADIAN ASSET MANAGEMENT BOSCH CORPORATION NPV 15,000 00 5 1518 82,737 13 4 623 72,44 RF- ACADIAN ASSET MANAGEMENT POINT INC JPY50 5,000 00 30 4836 152,417 94 83 2839 416,4 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,000 00 18 4764 53,581 63 16 9194 49,00 RF- ACADIAN ASSET MANAGEMENT </td <td>RF- MERCATOR ASSET MANAGEMENT</td> <td>TAKEDA PHARMACEUTICAL CO LTD</td> <td>JPY50</td> <td>30,400 00</td> <td>39 4100</td> <td>1,198,063 38</td> <td>54 0541</td> <td>1,643,243 24</td> | RF- MERCATOR ASSET MANAGEMENT | TAKEDA PHARMACEUTICAL CO LTD | JPY50 | 30,400 00 | 39 4100 | 1,198,063 38 | 54 0541 | 1,643,243 24 |
| RF. ACADIAN ASSET MANAGEMENT NISSIN KOGYO JPY50 3,800 00 30 3661 115,391 07 54 6471 207,80 RF. ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY50 15,000 00 20 0005 300,006 76 21 3505 320,21 RF. ACADIAN ASSET MANAGEMENT CENTRAL JPAN RLWY JPY50000 363 00 5,599 9717 2,000,119 73 5,761 2471 2,091,33 RF. ACADIAN ASSET MANAGEMENT KODI CORP JPY5000 363 00 5,599 9717 2,000,119 73 5,761 2471 2,091,33 RF. ACADIAN ASSET MANAGEMENT BOSCH CORPORATION NPV 15,000 00 5 1568 82,737 13 4 8293 72,45 RF. ACADIAN ASSET MANAGEMENT BOSCH CORPORATION JPY50 5,000 00 30 4836 152,417 94 83 2839 416,47 RF. ACADIAN ASSET MANAGEMENT EIL JPAN INC JPY50 2,900 00 18 4764 53,581 63 16,45 94 RF. ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,900 00 18 4764 53,581 63 16,54 19 49,50 RF. ACADIAN ASSET MANAGEMENT | RF- MERCATOR ASSET MANAGEMENT | TOYOTA MOTOR CORP | JPY50 | 32,400 00 | 36 3960 | 1,179,231 54 | 51 8512 | 1,679,979 67 |
| RF- ACADIAN ASSET MANAGEMENT CANON SALES CO INC JPY50000 15,000 00 20 0005 300,006 76 21 3505 302,021 RF- ACADIAN ASSET MANAGEMENT CENTRAL JPAN RLWY JPY50000 45 00 7,398 4160 357,228 72 9,573 8372 490,88 RF- ACADIAN ASSET MANAGEMENT BOSCH CORPORATION NPV 15,000 00 5 5158 82,737 13 4 2693 72,44 RF- ACADIAN ASSET MANAGEMENT POINT INC JPY50000 5 000 00 30 4836 152,417 94 83 2839 416,4 RF- ACADIAN ASSET MANAGEMENT POINT INC JPY50000 10 00 5,285 727 52,857 27 6,455 9858 64,55 RF- ACADIAN ASSET MANAGEMENT GLORY JPY50 2,900 00 18 4764 53,581 63 16 919 49,00 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,400 00 14 5242 34,857 96 14 5841 34,98 RF- ACADIAN ASSET MANAGEMENT KOMATSU JPY50 28,700 00 26 6399 707,135 10 24 5700 705,11 RF- ACADIAN ASSET MANAGEMENT | RF- MERCATOR ASSET MANAGEMENT | SOMPO JAPAN INS | JPY50 | 66,100 00 | 4 5760 | 302,472 10 | 13 5135 | 893,243 24 |
| RF. ACADIAN ASSET MANAGEMENT CENTRAL IPAN RLWY JPY50000 45 00 7.938 4160 357,228 72 9.573 8372 430.86 RF. ACADIAN ASSET MANAGEMENT KDDI CORP JPY5000 363 00 5.509 9717 2.000,119 73 5.761 2471 2.913.3 RF. ACADIAN ASSET MANAGEMENT BOSCH CORPORATION NPV 15,000 00 5 5158 82,737 13 4 8293 72.43 RF. ACADIAN ASSET MANAGEMENT POINT INC JPY5000 50.000 00 30 4836 152,417 94 83 2839 416,47 RF. ACADIAN ASSET MANAGEMENT EN JAPAN INC JPY5000 10 00 5 2,65 7270 52,857 27 6,455 9858 64,55 RF. ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,900 00 18 4764 55,581 63 16 9194 49,00 RF. ACADIAN ASSET MANAGEMENT KOMATSU JPY50 2,900 00 16 978 386,274 31 16 5297 925,81 RF. ACADIAN ASSET MANAGEMENT KOMATSU JPY50 2,800 00 24 6389 707,135 10 24 5700 705,11 RF. ACADIAN ASSET MANAGEMENT < | RF- ACADIAN ASSET MANAGEMENT | NISSIN KOGYO | JPY50 | 3,800 00 | 30 3661 | 115,391 07 | 54 6471 | 207,659 07 |
| RF- ACADIAN ASSET MANAGEMENT KDDI CORP JPY5000 363 00 5,509 9717 2,000,119 73 5,761 2471 2,091,33 RF- ACADIAN ASSET MANAGEMENT BOSCH CORPORATION NPV 15,000 00 5 5158 82,737 13 4 8293 72,43 RF- ACADIAN ASSET MANAGEMENT POINT INC JPY50 5,000 00 30 4836 152,417 94 83 2839 416,4 RF- ACADIAN ASSET MANAGEMENT EN JAPAN INC JPY50000 10 00 5,285 7270 52,857 27 6,455 8858 64,55 RF- ACADIAN ASSET MANAGEMENT GLORY JPY50 2,900 00 18 4764 53,581 63 16 9194 49,00 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,400 00 14 5242 34,857 96 14 5641 34,95 RF- ACADIAN ASSET MANAGEMENT KOMATSU JPY50 28,700 00 24 6389 707,135 10 24 5700 705,18 RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,48 RF- ACADIAN ASSET MANAGEMENT MIZUHO FI | RF- ACADIAN ASSET MANAGEMENT | CANON SALES CO INC | JPY50 | 15,000 00 | 20 0005 | 300,006 76 | 21 3505 | 320,257 56 |
| RF- ACADIAN ASSET MANAGEMENT BOSCH CORPORATION NPV 15,000 00 5 5158 82,737 13 4 8293 72,42 RF- ACADIAN ASSET MANAGEMENT POINT INC JPY50 5,000 00 30 4836 152,417 94 83 2839 416,47 RF- ACADIAN ASSET MANAGEMENT EN JAPAN INC JPY50000 10 00 5,285 7270 5,285 727 6,455 9858 64,55 RF- ACADIAN ASSET MANAGEMENT GLORY JPY50 2,900 00 18 4764 53,581 63 16 9194 49,00 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,400 00 14 5242 34,857 96 14 5641 34,99 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 28,700 00 6 8978 386,274 31 16 5297 925,61 RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 28,700 00 24 6389 707,135 10 24 5700 70,135 10 24 570 70,301 872 1,715,44 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINL GB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,64 | RF- ACADIAN ASSET MANAGEMENT | CENTRAL JPAN RLWY | JPY50000 | 45 00 | 7,938 4160 | 357,228 72 | 9,573 8372 | 430,822 67 |
| RF- ACADIAN ASSET MANAGEMENT POINT INC JPY50 5,000 00 30 4836 152,417 94 83 2839 416,47 RF- ACADIAN ASSET MANAGEMENT EN JAPAN INC JPY50000 10 00 5,285 7270 52,857 27 6,455 9858 64,55 RF- ACADIAN ASSET MANAGEMENT GLORY JPY50 2,900 00 16 4764 53,581 63 16 9194 49,01 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,400 00 14 5242 34,857 96 14 5641 34,90 RF- ACADIAN ASSET MANAGEMENT KOMATSU JPY50 56,000 00 6 8978 386,274 81 16 6 5297 925,60 RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 28,700 00 24 6389 707,135 10 24 5700 705,11 RF- ACADIAN ASSET MANAGEMENT MATSUSHITIA ELC IND JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,41 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINL GB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,66 RF- ACADIAN ASSET MANAGEMENT | RF- ACADIAN ASSET MANAGEMENT | KDDI CORP | JPY5000 | 363 00 | 5,509 9717 | 2,000,119 73 | 5,761 2471 | 2,091,332 71 |
| RF- ACADIAN ASSET MANAGEMENT EN JAPAN INC JPY50000 10 00 5.2857 270 52.857 27 6,455 9858 64.55 RF- ACADIAN ASSET MANAGEMENT GLORY JPY50 2,900 00 18 4764 53,581 63 16 9194 49,00 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,400 00 14 5242 34,857 96 14 5641 34,95 RF- ACADIAN ASSET MANAGEMENT KOMATSU JPY50 56,000 00 6 8978 366,274 31 16 5297 925,61 RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 28,700 00 24 6389 707,135 10 24 5700 705,135 RF- ACADIAN ASSET MANAGEMENT MATSUSHITA EIC IND JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,48 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINL GB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,68 RF- ACADIAN ASSET MANAGEMENT MITSUI ISKI LORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,60 RF- ACADIAN ASSET MANAGEMENT | RF- ACADIAN ASSET MANAGEMENT | BOSCH CORPORATION | NPV | 15,000 00 | 5 5158 | 82,737 13 | 4 8293 | 72,439 21 |
| RF- ACADIAN ASSET MANAGEMENT GLORY JPY50 2,900 00 18 4764 53,581 63 16 9194 49,00 RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,400 00 14 5242 34,857 96 14 5641 34,95 RF- ACADIAN ASSET MANAGEMENT KOMATSU JPY50 56,000 00 6 8978 386,274 31 16 5297 925,61 RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 28,700 00 24 6389 707,135 10 24 5700 705,19 RF- ACADIAN ASSET MANAGEMENT MATSUSHITA ELC IND JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,41 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINLGB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,64 RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,64 RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 50,000 00 4 9241 246,206 89 8 7181 435,94 RF- ACADIAN ASSET MANAGEMENT < | RF- ACADIAN ASSET MANAGEMENT | POINT INC | JPY50 | 5,000 00 | 30 4836 | 152,417 94 | 83 2839 | 416,419 55 |
| RF- ACADIAN ASSET MANAGEMENT KANTO AUTO WORKS JPY50 2,400 00 14 5242 34,857 96 14 5641 34,959 RF- ACADIAN ASSET MANAGEMENT KOMATSU JPY50 56,000 00 6 8978 386,274 31 16 5297 925,60 RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 28,700 00 24 6389 707,135 10 24 5700 705,15 RF- ACADIAN ASSET MANAGEMENT MATSUSHITA ELC IND JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,49 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINLGB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,69 RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,60 RF- ACADIAN ASSET MANAGEMENT MITSUI OSK LINES JPY50 50,000 00 4 9241 246,206 89 8 7181 435,90 RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 164,000 00 2 3030 37,693 76 3 5584 583,50 RF- ACADIAN ASSET MANAGEMENT </td <td>RF- ACADIAN ASSET MANAGEMENT</td> <td>EN JAPAN INC</td> <td>JPY50000</td> <td>10 00</td> <td>5,285 7270</td> <td>52,857 27</td> <td>6,455 9858</td> <td>64,559 86</td> | RF- ACADIAN ASSET MANAGEMENT | EN JAPAN INC | JPY50000 | 10 00 | 5,285 7270 | 52,857 27 | 6,455 9858 | 64,559 86 |
| RF- ACADIAN ASSET MANAGEMENT KOMATSU JPY50 56,000 00 6 8978 386,274 31 16 5297 925,60 RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 28,700 00 24 6389 707,135 10 24 5700 705,15 RF- ACADIAN ASSET MANAGEMENT MATSUSHITA ELC IND JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,45 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINL GB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,66 RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,60 RF- ACADIAN ASSET MANAGEMENT MITSUI OSK LINES JPY50 50,000 00 4 9241 246,206 89 8 7181 435,90 RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 2,000 00 16 8469 33,693 79 20 4609 49,90 RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 9300 377,697 60 3 5584 583,50 RF- ACADIAN ASSET MANAGEMENT | RF- ACADIAN ASSET MANAGEMENT | GLORY | JPY50 | 2,900 00 | 18 4764 | 53,581 63 | 16 9194 | 49,066 34 |
| RF- ACADIAN ASSET MANAGEMENT MAKITA CORP JPY50 28,700 00 24 6389 707,135 10 24 5700 705,115 RF- ACADIAN ASSET MANAGEMENT MATSUSHITA ELC IND JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,44 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINL GB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,64 RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,60 RF- ACADIAN ASSET MANAGEMENT MITSUI OSK LINES JPY50 50,000 00 4 9241 246,206 89 8 7181 435,90 RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 2,000 00 16 8469 33,693 79 20 4609 40,90 RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 3030 377,697 60 3 5584 583,50 RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,10 RF- ACADIAN ASS | RF- ACADIAN ASSET MANAGEMENT | KANTO AUTO WORKS | JPY50 | 2,400 00 | 14 5242 | 34,857 96 | 14 5641 | 34,953 83 |
| RF- ACADIAN ASSET MANAGEMENT MATSUSHITA ELC IND JPY50 89,000 00 19 2251 1,711,029 67 19 2748 1,715,44 RF- ACADIAN ASSET MANAGEMENT MIZUHO FINL GB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,6 RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,60 RF- ACADIAN ASSET MANAGEMENT MITSUI OSK LINES JPY50 50,000 00 4 9241 246,206 89 8 7181 435,90 RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 2,000 00 16 8469 33,693 79 20 4609 40,93 RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 3030 377,697 60 3 5584 583,50 RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,10 RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,30 RF- ACADIAN ASSE | RF- ACADIAN ASSET MANAGEMENT | KOMATSU | JPY50 | 56,000 00 | 6 8978 | 386,274 31 | 16 5297 | 925,662 97 |
| RF- ACADIAN ASSET MANAGEMENT MIZUHO FINL GB NPV 177 00 5,270 9340 932,955 32 7,930 1872 1,403,64 RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,66 RF- ACADIAN ASSET MANAGEMENT MITSUI OSK LINES JPY50 50,000 00 4 9241 246,206 89 8 7181 435,91 RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 2,000 00 16 8469 33,693 79 20 4609 40,93 RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 3030 377,697 60 3 5584 583,51 RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,10 RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,30 RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,22 RF- ACADIAN ASSET MAN | RF- ACADIAN ASSET MANAGEMENT | MAKITA CORP | JPY50 | 28,700 00 | 24 6389 | 707,135 10 | 24 5700 | 705,159 71 |
| RF- ACADIAN ASSET MANAGEMENT MITSUBISHI CORP JPY50 60,400 00 11 9283 720,471 25 22 1130 1,335,60 RF- ACADIAN ASSET MANAGEMENT MITSUI OSK LINES JPY50 50,000 00 4 9241 246,206 89 8 7181 435,90 RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 2,000 00 16 8469 33,693 79 20 4609 40,93 RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 3030 377,697 60 3 5584 583,50 RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,10 RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,30 RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,22 RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,22 | RF- ACADIAN ASSET MANAGEMENT | MATSUSHITA ELC IND | JPY50 | 89,000 00 | 19 2251 | 1,711,029 67 | 19 2748 | 1,715,453 70 |
| RF- ACADIAN ASSET MANAGEMENT MITSUI OSK LINES JPY50 50,000 00 4 9241 246,206 89 8 7181 435,91 RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 2,000 00 16 8469 33,693 79 20 4609 40,93 RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 3030 377,697 60 3 5584 583,50 RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,10 RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,30 RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,22 RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,22 | RF- ACADIAN ASSET MANAGEMENT | MIZUHO FINL GB | NPV | 177 00 | 5,270 9340 | 932,955 32 | 7,930 1872 | 1,403,643 14 |
| RF- ACADIAN ASSET MANAGEMENT NIPPON SEIKI CO JPY50 2,000 00 16 8469 33,693 79 20 4609 40,93 RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 3030 377,697 60 3 5584 583,51 RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,10 RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,30 RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,20 RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,20 | RF- ACADIAN ASSET MANAGEMENT | MITSUBISHI CORP | JPY50 | 60,400 00 | 11 9283 | 720,471 25 | 22 1130 | 1,335,626 54 |
| RF- ACADIAN ASSET MANAGEMENT NIPPON STEEL CORP JPY50 164,000 00 2 3030 377,697 60 3 5584 583,51 RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,14 RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,30 RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,20 RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,20 | RF- ACADIAN ASSET MANAGEMENT | MITSUI OSK LINES | JPY50 | 50,000 00 | 4 9241 | 246,206 89 | 8 7181 | 435,906 13 |
| RF- ACADIAN ASSET MANAGEMENT NIPPON YUSEN KK JPY50 187,000 00 5 4171 1,012,992 66 6 8457 1,280,14 RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,31 RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,22 RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,22 | RF- ACADIAN ASSET MANAGEMENT | NIPPON SEIKI CO | JPY50 | 2,000 00 | 16 8469 | 33,693 79 | 20 4609 | 40,921 80 |
| RF- ACADIAN ASSET MANAGEMENT ORIX CORP JPY50 4,200 00 170 5229 716,196 28 254 5963 1,069,31 RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,22 RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,23 | RF- ACADIAN ASSET MANAGEMENT | NIPPON STEEL CORP | JPY50 | 164,000 00 | 2 3030 | 377,697 60 | 3 5584 | 583,580 45 |
| RF- ACADIAN ASSET MANAGEMENT RYOHIN KEIKAKU CO JPY50 2,400 00 43 6092 104,662 09 87 1812 209,21 RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,21 | RF- ACADIAN ASSET MANAGEMENT | NIPPON YUSEN KK | JPY50 | 187,000 00 | 5 4171 | 1,012,992 66 | 6 8457 | 1,280,149 11 |
| RF- ACADIAN ASSET MANAGEMENT SANTEN PHARM CO JPY50 10,800 00 18 5055 199,859 67 27 6201 298,2 | RF- ACADIAN ASSET MANAGEMENT | ORIX CORP | JPY50 | 4,200 00 | 170 5229 | 716,196 28 | 254 5963 | 1,069,304 41 |
| | RF- ACADIAN ASSET MANAGEMENT | RYOHIN KEIKAKU CO | JPY50 | 2,400 00 | 43 6092 | 104,662 09 | 87 1812 | 209,234 94 |
| DE ACADIAN ACCET MANACENTAIT CUINIVO EL FO INDO IDVEA | RF- ACADIAN ASSET MANAGEMENT | SANTEN PHARM CO | JPY50 | 10,800 00 | 18 5055 | 199,859 67 | 27 6201 | 298,297 04 |
| nr- acadian asset management Shinko electinds jpysu 3,300 00 56 0392 184,929 34 75 5740 249,3 | RF- ACADIAN ASSET MANAGEMENT | SHINKO ELEC INDS | JPY50 | 3,300 00 | 56 0392 | 184,929 34 | 75 5740 | 249,394 22 |
| RF- ACADIAN ASSET MANAGEMENT SONY CORP NPV 48,200 00 35 8278 1,726,897 93 40 8371 1,968,3 | RF- ACADIAN ASSET MANAGEMENT | SONY CORP | NPV | 48,200 00 | 35 8278 | 1,726,897 93 | 40 8371 | 1,968,347 03 |
| RF- ACADIAN ASSET MANAGEMENT SUMISHO LEASE CO JPY50 11,000 00 14 0107 154,117 70 51.0887 561,9 | RF- ACADIAN ASSET MANAGEMENT | SUMISHO LEASE CO | JPY50 | 11,000 00 | 14 0107 | 154,117 70 | 51.0887 | 561,975 77 |
| RF- ACADIAN ASSET MANAGEMENT TEIJIN JPY50 125,000 00 5 2788 659,851 16 6 3458 793,25 | RF- ACADIAN ASSET MANAGEMENT | TEIJIN | JPY50 | 125,000 00 | 5 2788 | 659,851 16 | 6 3458 | 793,230 53 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------------------------|------------------------------|----------------------|-----------|----------------|-----------------|----------------------|-------------------|
| RF- ACADIAN ASSET MANAGEMENT | TOYOTA TSUSHO CORP | JPY50 | 28 00 | 9 3039 | 260.51 | 22 7061 | 635 77 |
| RF- ACADIAN ASSET MANAGEMENT | YAMADA DENKI CO | JPY50 | 2,700 00 | 64 4424 | 173,994 44 | 125 0530 | 337,642 97 |
| RF- ACADIAN ASSET MANAGEMENT | YAMAHA MOTOR CO | JPY50 | 84,000 00 | 18 1833 | 1,527,395 30 | 26 0951 | 2,191,985 09 |
| RF- ACADIAN ASSET MANAGEMENT | JFE SHOJI HLDGS | NPV | 14,000 00 | 4 8623 | 68,071 76 | 5 6596 | 79,234 09 |
| RF- ACADIAN ASSET MANAGEMENT | SEGA SAMMY HOLDINGS INC | ORD SHS | 5,300.00 | 32 1230 | 170,252 15 | 33 4661 | 177,370 16 |
| RF-SOUND SHORE ASSET MGMT | HONDA MOTOR LTD | ADR AMER SHS | 96,500 00 | 21 4148 | 2,066,528 55 | 28 9700 | 2,795,605 00 |
| RF - CAPITAL GUARDIAN II | YAHOO JAPAN CORP | JPY50000 | 226 00 | 1,153 5463 | 260,701 46 | 1,516 5636 | 342,743 37 |
| RF - CAPITAL GUARDIAN II | TREND MICRO INC | JPY50 | 6,000 00 | 33 4869 | 200,921 61 | 37 7870 | 226,722 02 |
| RF - CAPITAL GUARDIAN II | CANON INC | JPY50 | 5,500 00 | 39 2892 | 216,090 69 | 58 4597 | 321,528 42 |
| RF - CAPITAL GUARDIAN II | ENPLAS CORPORATION | JPY50 | 7,000 00 | 26 3072 | 184,150 60 | 27 7895 | 194,526 82 |
| RF - CAPITAL GUARDIAN II | DAIMARU INC | JPY50 | 35,000 00 | 7 5413 | 263,945 58 | 14 4201 | 504,702 19 |
| RF - CAPITAL GUARDIAN II | DAINIPPON SCREEN | JPY50 | 25,000 00 | 7 0323 | 175,806 36 | 8 3623 | 209,057 02 |
| RF - CAPITAL GUARDIAN II | MITSUBISHI UFJ FIN GROUP | NPV | 78 00 | 7,340 7909 | 572,581 69 | 13,555 8756 | 1,057,358 30 |
| RF - CAPITAL GUARDIAN II | FANUC | JPY50 | 4,000 00 | 57 1341 | 228,536 21 | 84 8089 | 339,235 79 |
| RF - CAPITAL GUARDIAN II | AEON CO LTD | JPY50 | 23,300 00 | 12 7613 | 297,339 11 | 25 4173 | 592,222 32 |
| RF - CAPITAL GUARDIAN II | KANSAI ELEC POWER | JPY500 | 10,000 00 | 16 1303 | 161,302 75 | 21 4776 | 214,775 90 |
| RF - CAPITAL GUARDIAN II | MILLEA HOLDINGS INC | NPV | 25 00 | 12,190 6676 | 304,766 69 | 17,199 0172 | 429,975 43 |
| RF - CAPITAL GUARDIAN II | SUMITOMO MITSUI GR | NPV | 137 00 | 4,793 5046 | 656,710 13 | 10,590 5278 | 1,450,902 31 |
| RF - CAPITAL GUARDIAN II | MITSUBISHI ESTATE | JPY50 | 35,000 00 | 7 3089 | 255,812 28 | 20 7574 | 726,510 21 |
| RF - CAPITAL GUARDIAN II | MITSUBISHI CORP | JPY50 | 14,600 00 | 8 9465 | 130,619 24 | 22 1130 | 322,850 12 |
| RF - CAPITAL GUARDIAN II | NINTENDO CO | JPY50 | 2,900 00 | 91 7948 | 266,205 05 | 120 7320 | 350,122 85 |
| RF - CAPITAL GUARDIAN II | NIPPON TEL+TEL CP | JPY50000 | 68 00 | 4,164 8563 | 283,210 23 | 4,541 2183 | 308,802 85 |
| RF - CAPITAL GUARDIAN II | NITTO DENKO CORP | JPY50 | 6,000 00 | 65 8618 | 395,170 88 | 77 8616 | 467,169 36 |
| RF - CAPITAL GUARDIAN II | NIKON CORP | JPY50 | 12,000 00 | 12 1185 | 145,421 73 | 15 7672 | 189,206 13 |
| RF - CAPITAL GUARDIAN II | NIPPON ELEC GLASS | JPY50 | 13,000 00 | 14 7212 | 191,375 07 | 21 8165 | 283,614 34 |
| RF - CAPITAL GUARDIAN II | NISSAN MOTOR CO | JPY50 | 25,600 00 | 7 6731 | 196,432 51 | 10 1245 | 259,188 34 |
| RF - CAPITAL GUARDIAN II | ORIX CORP | JPY50 | 2,300 00 | 82 1184 | 188,872 39 | 254 5963 | 585,571 46 |
| RF - CAPITAL GUARDIAN II | T+D HOLDINGS INC | NPV | 3,200 00 | 56 4939 | 180,780 33 | 66 2543 | 212,013 89 |
| RF - CAPITAL GUARDIAN II | ВОНМ СО | JPY50 | 2,200 00 | 144 0872 | 316,991 85 | 108 7012 | 239,142 59 |
| RF - CAPITAL GUARDIAN II | SMC CORP | NPV | 2,500 00 | 108 0010 | 270,002 48 | 142 7603 | 356,900 79 |
| RF - CAPITAL GUARDIAN II | SOFTBANK CORPORATION | JPY50 | 34,200 00 | 16 4103 | 561,230 67 | 42 1927 | 1,442,989 07 |
| RF - CAPITAL GUARDIAN II | SEKISUI HOUSE | JPY50 | 4,000 00 | 6 8769 | 27,507 78 | 12 5731 | 50,292 30 |
| RF - CAPITAL GUARDIAN II | SHIMAMURA CO | JPY50 | 3,300 00 | 55 8916 | 184,442 26 | 138 2699 | 456,290 77 |
| RF - CAPITAL GUARDIAN II | SUMITOMO RLTY+DEV | JPY50 | 12,000.00 | 14 6372 | 175,646 71 | 21 7318 | 260,781 16 |
| RF - CAPITAL GUARDIAN II | SUMITOMO CORP | JPY50 | 37,000 00 | 8 3993 | 310,775 58 | 12 9204 | 478,056 43 |
| RF - CAPITAL GUARDIAN II | SUZUKI MOTOR CORP | JPY50 | 23,600 00 | 11 5966 | 273,680 40 | 18 5122 | 436,888 93 |
| RF - CAPITAL GUARDIAN II | TOK CORP | NPV50 | 2,300 00 | 71 4651 | 164,369 82 | 68 8808 | 158,425 82 |
| RF - CAPITAL GUARDIAN II | TAKEDA PHARMACEUTICAL CO LTD | JPY50 | 4,900 00 | 40 6963 | 199,411 88 | 54 0541 | 264,864 86 |
| RF - CAPITAL GUARDIAN II | ADVANTEST | JPY50 | 3,000 00 | 82 6041 | 247,812 33 | 100 7371 | 302,211 30 |
| RF - CAPITAL GUARDIAN II | TOHOKU ELEC POWER | JPY500 | 7,900 00 | 18 8030 | 148,544 03 | 20 3338 | 160,637 13 |
| RF - CAPITAL GUARDIAN II | TOKYO GAS CO | JPY50 | 56,000 00 | 3 6947 | 206,905 95 | 4 4395 | 248,614 76 |
| RF - CAPITAL GUARDIAN II | TOKYO ELECTRON | JPY50 | 5,300 00 | 67 5663 | 358,101 27 | 62 7806 | 332,737 44 |
| RF - CAPITAL GUARDIAN II | TOKYU CORP | JPY50 | 26,000 00 | 5 9154 | 153,801 01 | 7 0660 | 183,716 00 |
| RF - CAPITAL GUARDIAN II | тото | JPY50 | 38,000 00 | 7 8860 | 299,668 75 | 8 4470 | 320,986 19 |
| RF - CAPITAL GUARDIAN II | YAMATO HOLDINGS CO LTD | NPV | 30,000 00 | 15 4459 | 463,377 59 | 16 5721 | 497,161 74 |
| RF - CAPITAL GUARDIAN II | BANK OF YOKOHAMA | JPY50 | 38,000 00 | 5 3978 | 205,117 37 | 8 1759 | 310,683 72 |
| RF - CAPITAL GUARDIAN II | DAIICHI SANKYO | COM NPV | 13,000 00 | 21 6663 | 281,661 69 | 19 2748 | 250,571 89 |
| | | | | | | | |

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------------------------|--------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF - ARTISAN PARTNERS | NTT DATA CORP | JPY5000 | 23 00 | 4,717 5048 | 108,502 61 | 4,973 3119 | 114,386.17 |
| RF - ARTISAN PARTNERS | BRIDGESTONE CORP | JPY50 | 40,500 00 | 20 4359 | 827,655 17 | 20 7998 | 842,391 76 |
| RF - ARTISAN PARTNERS | CHUGAI PHARM CO | JPY50 | 37,500 00 | 19 5788 | 734,206 51 | 21 4352 | 803,821 06 |
| RF - ARTISAN PARTNERS | JUPITER TELECOMM | NPV | 1,576 00 | 804 4856 | 1,267,869 24 | 797 2549 | 1,256,473 78 |
| RF - ARTISAN PARTNERS | MITSUBISHI UFJ FIN GROUP | NPV | 16.00 | 14,259 1006 | 228,145 61 | 13,555 8756 | 216,894 01 |
| RF - ARTISAN PARTNERS | HONDA MOTOR CO | JPY50 | 22,600 00 | 41 3738 | 935,048 47 | 57 0194 | 1,288,638 48 |
| RF - ARTISAN PARTNERS | AEON CO LTD | JPY50 | 2,300 00 | 19 4395 | 44,710 87 | 25 4173 | 58,459 71 |
| RF - ARTISAN PARTNERS | KEYENCE CORP | JPY50 | 3,300 00 | 220 7883 | 728,601 25 | 284 2498 | 938,024 23 |
| RF - ARTISAN PARTNERS | MIZUHO FINL GB | NPV | 350 00 | 4,170 1650 | 1,459,557 75 | 7,930 1872 | 2,775,565 53 |
| RF - ARTISAN PARTNERS | CREDIT SAISON CO | JPY50 | 77,200 00 | 30 1732 | 2,329,368 57 | 49 9026 | 3,852,478 18 |
| RF - ARTISAN PARTNERS | MITSUBISHI ESTATE | JPY50 | 40,000 00 | 13 8079 | 552,315 39 | 20.7574 | 830,297 38 |
| RF - ARTISAN PARTNERS | MITSUBISHI CORP | JPY50 | 72,200 00 | 13 4605 | 971,847 39 | 22 1130 | 1,596,560 20 |
| RF - ARTISAN PARTNERS | MITSUBISHI HVY IND | JPY50 | 29,300 00 | 4 5509 | 133,340 09 | 4 4057 | 129,085 83 |
| RF - ARTISAN PARTNERS | MITSUI + CO | JPY50 | 41,500 00 | 10 8818 | 451,595 47 | 12 8357 | 532,682 37 |
| RF - ARTISAN PARTNERS | MITSUI FUDOSAN CO | JPY50 | 31,000 00 | 15 2628 | 473,146 46 | 20 2915 | 629,034 99 |
| RF - ARTISAN PARTNERS | ORIX CORP | JPY50 | 11.900 00 | 110 2532 | 1,312,012 48 | 254 5963 | 3,029,695 84 |
| RF - ARTISAN PARTNERS | SMC CORP | NPV | 6,400 00 | 111 3277 | 712,496 96 | 142 7603 | 913,666 02 |
| RF - ARTISAN PARTNERS | SEGA SAMMY HOLDINGS INC | ORD SHS | 75,700 00 | 23 8247 | 1,803,527 35 | 33 4661 | 2,533,381 34 |
| RF - ARTISAN PARTNERS | SUMCO CORPOATION | NPV | 700 00 | 28 0219 | 19,615 34 | 52 4443 | 38,711 01 |
| SOUTHEASTERN ASSET MGMT | MILLEA HLDGS INC | ADR | 81,000 00 | 65 5084 | 5,306,182 00 | 86 0500 | 6,970,050.00 |
| RF - MARATHON ASSET MGMT LTD | AISIN SEIKI CO | JPY50 | 1,000 00 | 20 5404 | 20,540 39 | 36 6856 | 36,685 59 |
| RF - MARATHON ASSET MGMT LTD | FUKUOKA BANK OF | JPY50 | 33,000 00 | 6 0489 | 199,614 51 | 8 5487 | 282,106 24 |
| RF - MARATHON ASSET MGMT LTD | TOPPAN FORMS | JPY50 | 12,000 00 | 13 3358 | 160,029 34 | 14 3946 | 172,735 75 |
| RF - MARATHON ASSET MGMT LTD | NTT DOCOMO | NPV | 288 00 | 1,735 9830 | 499,963 11 | 1,525 0360 | 439,210 37 |
| RF - MARATHON ASSET MGMT LTD | CHIBA BANK | JPY50 | 28,000 00 | 5 9992 | 167,977 57 | 8 3792 | 234,618 32 |
| RF - MARATHON ASSET MGMT LTD | KDDI CORP | JPY5000 | 42 00 | 5,280 8412 | 221,795 33 | 5.761 2471 | 241,972 38 |
| RF - MARATHON ASSET MGMT LTD | DAI NIPPON PRINTNG | JPY50 | 15,000 00 | 15 5317 | 232,974 92 | 17 7921 | 266,881 30 |
| RF - MARATHON ASSET MGMT LTD | EAST JAPAN RAILWAY | JPY50000 | 86 00 | 5,336 2809 | 458,920 16 | 6,871 1345 | 590,917 56 |
| RF - MARATHON ASSET MGMT LTD | EBARA CORP | JPY50 | 33,000 00 | 4 1464 | 136,830 64 | 5 3969 | 178,098 79 |
| RF - MARATHON ASSET MGMT LTD | FAMILYMART CO | JPY50 | 11,000 00 | 33 1771 | 364,948 08 | 33 8050 | 371,854 61 |
| RF - MARATHON ASSET MGMT LTD | MITSUBISHI UFJ FIN GROUP | NPV | 17 00 | 13,536 7882 | 230,125 40 | 13,555 8756 | 230,449 89 |
| RF - MARATHON ASSET MGMT LTD | FUJI PHOTO FILM CO | JPY50 | 11,000 00 | 31 1552 | 342,707 48 | 33 0424 | |
| RF - MARATHON ASSET MGMT LTD | HITACHI | JPY50 | 38,000 00 | 6 5527 | 249,002 87 | 6 7356 | 255,951 88 |
| RF - MARATHON ASSET MGMT LTD | ISETAN CO | JPY50 | 9,000 00 | 11 5251 | 103,725 68 | 21 3081 | 191,773 28 |
| RF - MARATHON ASSET MGMT LTD | KAO CORP | JPY50 | 15,000 00 | 23 6117 | 354,175 03 | 26.7729 | 401,592 82 |
| RF - MARATHON ASSET MGMT LTD | ONWARD KASHIYAMA | JPY50 | 11,000 00 | 15 6971 | 172,667 96 | 19 6560 | |
| RF - MARATHON ASSET MGMT LTD | KAWASAKI HEAVY IND | JPY50 | 129,000 00 | 1 6358 | 211,011 73 | 3 6431 | 469,965 26 |
| RF - MARATHON ASSET MGMT LTD | KINDEN CORPORATION | JPY50 | 12,000 00 | 6 0681 | 72,816 62 | 9 0231 | 108,277 56 |
| RF · MARATHON ASSET MGMT LTD | KIRIN BREWERY CO | JPY50 | 37,000 00 | 9 8388 | 364,034 82 | 11 6496 | 431,034 48 |
| RF - MARATHON ASSET MGMT LTD | NIPPON MINING HLDG | NPV | 9,000 00 | 4 8885 | 43,996 49 | 7 1084 | 63,975 26 |
| RF - MARATHON ASSET MGMT LTD | SUMITOMO MITSUI GR | NPV | 63 00 | 6,992 6348 | 440,535 99 | 10,590 5278 | 667,203 25 |
| RF - MARATHON ASSET MGMT LTD | MATSUSHITA ELC IND | JPY50 | 8,000 00 | 13 7120 | 109,695 80 | 19 2748 | 154,198 09 |
| RF - MARATHON ASSET MGMT LTD | MATSUSHITA ELC WKS | JPY50 | 38,000 00 | 8 5644 | 325,446 71 | 9 3366 | 354,791 15 |
| RF - MARATHON ASSET MGMT LTD | MIZUHO FINL GB | NPV | 67 00 | 4,767 9309 | 319,451 37 | 7,930 1872 | |
| RF - MARATHON ASSET MGMT LTD | MITSUBISHI CORP | JPY50 | 13,000 00 | 9 6774 | 125,806 44 | 22 1130 | |
| RF - MARATHON ASSET MGMT LTD | | IDVEA | 7,000,00 | 3 8599 | 27,019 57 | 0.4460 | 66 107 06 |
| | MITSUBISHI GAS CHM | JPY50 | 7,000 00 | 3 0399 | 27,019 37 | 9 4468 | 66,127 26 |





| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------------------------|------------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF - MARATHON ASSET MGMT LTD | NINTENDO CO | JPY50 | 3,400 00 | 112 6925 | 383,154 36 | 120 7320 | 410,488 86 |
| RF - MARATHON ASSET MGMT LTD | TAIYO NIPPON SANSO | NPV | 46,000 00 | 5 1856 | 238,536 20 | 6.6763 | 307,108 36 |
| RF - MARATHON ASSET MGMT LTD | NIPPON MEAT PACKER | JPY50 | 13,000 00 | 12 0132 | 156,171 32 | 10 4889 | 136,355 16 |
| RF - MARATHON ASSET MGMT LTD | NIPPON TEL+TEL CP | JPY50000 | 76 00 | 4,921 0496 | 373,999 77 | 4,541 2183 | 345,132 59 |
| RF - MARATHON ASSET MGMT LTD | NIPPON OIL CORP | JPY50 | 32,000 00 | 6 1116 | 195,570 28 | 7 7523 | 248,072 52 |
| RF - MARATHON ASSET MGMT LTD | NISSHINBO IND INC | JPY50 | 13,000 00 | 7 3431 | 95,459 98 | 10 9210 | 141,972 38 |
| RF - MARATHON ASSET MGMT LTD | ALFRESA HOLDINGS C | NPV | 2,800 00 | 37 8743 | 106,048 14 | 46 7678 | 130,949 76 |
| RF - MARATHON ASSET MGMT LTD | RICOH CO | JPY50 | 7,000 00 | 17 6889 | 123,822 28 | 17 4956 | 122,468 86 |
| RF - MARATHON ASSET MGMT LTD | RYOSAN CO | JPY50 | 4,000 00 | 20 5736 | 82,294 24 | 26 5187 | 106,074 73 |
| RF - MARATHON ASSET MGMT LTD | SANKYO CO | NPV | 5,000 00 | 40 7030 | 203,515 04 | 57 8666 | 289,333 22 |
| RF - MARATHON ASSET MGMT LTD | SECOM CO | JPY50 | 8,000 00 | 41 0808 | 328,646 26 | 52 2748 | 418,198 76 |
| RF - MARATHON ASSET MGMT LTD | SEKISUI HOUSE | JPY50 | 24,000 00 | 10 6644 | 255,946 24 | 12 5731 | 301,753 79 |
| RF - MARATHON ASSET MGMT LTD | SHIMIZU CORP | JPY50 | 21,000 00 | 5 2157 | 109,529 93 | 7 3456 | 154,257 39 |
| RF - MARATHON ASSET MGMT LTD | SHISEIDO CO | JPY50 | 15,000 00 | 12 4437 | 186,655 64 | 18 6393 | 279,589 93 |
| RF - MARATHON ASSET MGMT LTD | SONY CORP | NPV | 8,000 00 | 38 4961 | 307,968 66 | 40 8371 | 326,696 60 |
| RF - MARATHON ASSET MGMT LTD | SUMITOMO ELEC INDS | JPY50 | 21,000 00 | 9 5120 | 199,751 86 | 15 1741 | 318,656 27 |
| RF - MARATHON ASSET MGMT LTD | SUMITOMO METAL MNG | JPY50 | 24,000 00 | 7 0119 | 168,285 29 | 12 3613 | 296,670 34 |
| RF - MARATHON ASSET MGMT LTD | SUMITOMO FORESTRY | JPY50 | 16,000 00 | 10 8078 | 172,925 28 | 9 9975 | 159,959 33 |
| RF - MARATHON ASSET MGMT LTD | SUMITOMO TRUST+BKG | JPY50 | 51,000 00 | 6 7273 | 343,093 47 | 10 2093 | 520,672 71 |
| RF - MARATHON ASSET MGMT LTD | TAKEDA PHARMACEUTICAL CO LTD | JPY50 | 7,500 00 | 45 0637 | 337,977 59 | 54 0541 | 405,405 41 |
| RF - MARATHON ASSET MGMT LTD | TANABE SEIYAKU CO | JPY50 | 20,000 00 | 8 7216 | 174,432 50 | 9 7094 | 194,187 92 |
| RF - MARATHON ASSET MGMT LTD | TOKYO BROADCASTING | JPY50 | 1,700 00 | 17 4616 | 29,684 77 | 27 1118 | 46,089 98 |
| RF - MARATHON ASSET MGMT LTD | TOKYO ELEC POWER | JPY500 | 13,800 00 | 24 1365 | 333,083 56 | 24 2735 | 334,974 16 |
| RF - MARATHON ASSET MGMT LTD | TOKYO GAS CO | JPY50 | 107,000 00 | 3 6270 | 388,093 32 | 4 4395 | 475,031 77 |
| RF - MARATHON ASSET MGMT LTD | JS GROUP CORP | NPV | 12,000 00 | 20 8761 | 250,512 85 | 19 9949 | 239,939 00 |
| RF - MARATHON ASSET MGMT LTD | TOYOTA MOTOR CORP | JPY50 | 7,400 00 | 39 7513 | 294,159 89 | 51 8512 | 383,699 06 |
| RF · MARATHON ASSET MGMT LTD | WEST JAPAN RAILWAY | JPY50000 | 108 00 | 3,602 8478 | 389,107 56 | 4,168 4318 | 450,190 63 |
| RF - MARATHON ASSET MGMT LTD | YAMAHA MOTOR CO | JPY50 | 5,000 00 | 14 9802 | 74,901 21 | 26 0951 | 130,475 30 |
| RF - MARATHON ASSET MGMT LTD | SOMPO JAPAN INS | JPY50 | 30,000 00 | 9 6590 | 289,771 17 | 13 5135 | 405,405 41 |
| RF - MARATHON ASSET MGMT LTD | BANK OF YOKOHAMA | JPY50 | 32,000 00 | 5 6873 | 181,992 49 | 8 1759 | 261,628 40 |
| RF · MARATHON ASSET MGMT LTD | SEVEN + I HOLDINGS | NPV | 8,400 00 | 34 6799 | 291,311 25 | 42 7857 | 359,400 15 |
| RF - MARATHON ASSET MGMT LTD | NAMCO BANDAI HLDGS | NPV | 15,200 00 | 14 9197 | 226,779 98 | 14 6065 | 222,018 13 |
| RF - MORANT WRIGHT | AMADA CO | JPY50 | 125,000 00 | 6 4327 | 804,086 34 | 8 8113 | 1,101,414 89 |
| RF - MORANT WRIGHT | AOYAMA TRADING CO | JPY50 | 33,000 00 | 26 6309 | 878,820 77 | 33 8050 | 1,115,563 84 |
| RF - MORANT WRIGHT | CHARLE CO | JPY50 | 60,000 00 | 8 6518 | 519,105 76 | 8 5233 | 511,395 41 |
| RF · MORANT WRIGHT | CHUDENKO CORP | JPY50 | 65,000 00 | 16 3986 | 1,065,911 49 | 18 8935 | 1,228,077 61 |
| RF - MORANT WRIGHT | DAIWA KOSHO LEASE | JPY50 | 150,000 00 | 5 4861 | 822,910 94 | 5 9053 | 885,791 75 |
| RF · MORANT WRIGHT | NISSAY DOWA GENERA | JPY50 | 130,000 00 | 5 2025 | 676,327 28 | 6 9728 | 906,464 46 |
| RF - MORANT WRIGHT | FUJITSU BSNESS SYS | JPY50 | 50,000 00 | 14 0604 | 703,019 06 | 14 8437 | 742,184 19 |
| RF - MORANT WRIGHT | FUTABA INDUSTRIAL | JPY50 | 45,000 00 | 18 7046 | 841,707 04 | 23 9770 | 1,078,962 98 |
| RF - MORANT WRIGHT | DYDO DRINCO INC | JPY50 | 16,600 00 | 31 6056 | 524,653 52 | 37 1939 | 617,419 30 |
| RF - MORANT WRIGHT | HITACHI MAXELL | JPY50 | 48,800 00 | 13 6534 | 666,287 50 | 12 7341 | 621,421 67 |
| RF - MORANT WRIGHT | ITOHAM FOODS INC | JPY50 | 170,000 00 | 4 7213 | 802,616 69 | 4 0668 | 691,349 66 |
| RF - MORANT WRIGHT | JAPAN WOOL TEXTILE | JPY50 | 80,000 00 | 7 2560 | 580,481 78 | 9 3705 | 749,639 92 |
| RF - MORANT WRIGHT | JAPAN SECS FINANCE | JPY50 | 100,000 00 | 6 8472 | 684,723 99 | 11 5055 | 1,150,554 94 |
| RF - MORANT WRIGHT | JAPAN AIRPORT TERM | JPY50 | 90,000 00 | 9 9093 | 891,834 75 | 9 4129 | 847,157 50 |
| RF - MORANT WRIGHT | KATAKURA INDS | JPY50 | 55,000 00 | 13 6827 | 752,550 69 | 23 2568 | 1,279,123 95 |
| | | | | | | | |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------|------------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF - MORANT WRIGHT | KATO SANGYO | JPY50 | 45,000 00 | 17 8121 | 801,543 79 | 19 4018 | 873,083 11 |
| RF - MORANT WRIGHT | KOKUYO CO | JPY50 | 65,000 00 | 12 7651 | 829,732 75 | 14 8098 | 962,636 62 |
| RF - MORANT WRIGHT | KOMORI CORPORATION | JPY50 | 50,000.00 | 15 5284 | 776,418 43 | 18 3852 | 919,257 82 |
| RF - MORANT WRIGHT | KURIMOTO | JPY50 | 270,000 00 | 3 1858 | 860,163 32 | 3.1517 | 850,970 09 |
| RF - MORANT WRIGHT | MAEDA ROAD CONST | JPY50 | 130,000 00 | 7 9264 | 1,030,427 66 | 7 3117 | 950,521 05 |
| RF - MORANT WRIGHT | MEIKO TRANS CO LTD | JPY50 | 42,000 00 | 9 6170 | 403,912 66 | 12 8866 | 541,235 28 |
| RF - MORANT WRIGHT | NAGASE + CO | JPY50 | 70,000 00 | 10 1574 | 711,017 28 | 12 2342 | 856,392 44 |
| RF - MORANT WRIGHT | PANAHOME CORP | JPY50 | 125,000 00 | 6 1969 | 774,611 01 | 7 1168 | 889,604 34 |
| RF · MORANT WRIGHT | NIPPON DENSETSU | JPY50 | 80,000 00 | 5 6756 | 454,050 18 | 6 4814 | 518,512 24 |
| RF - MORANT WRIGHT | NIPPON SHINYAKU CO | JPY50 | 95,000 00 | 8 3565 | 793,868 86 | 8 3030 | 788,782 51 |
| RF - MORANT WRIGHT | NISHIMATSU CONST | JPY50 | 170,000 00 | 3 7985 | 645,750 10 | 4 1007 | 697,110 90 |
| RF - MORANT WRIGHT | NITTETSU MINING CO | JPY50 | 180,000 00 | 4 6122 | 830,192 78 | 6 7017 | 1,206,303 48 |
| RF - MORANT WRIGHT | NISSHIN FIRE + MAR | JPY50 | 200,000 00 | 4 2620 | 852,408 13 | 4 0075 | 801,491 15 |
| RF - MORANT WRIGHT | HYAKUGO BANK(105TH | JPY50 | 100,000 00 | 6 5266 | 652,662 94 | 6 8796 | 687,960 69 |
| RF - MORANT WRIGHT | DAI DAN CO | JPY50 | 60,000 00 | 6 1977 | 371,860 46 | 7 1084 | 426,501 74 |
| RF - MORANT WRIGHT | RIKEN TECHNOS CORP | JPY50 | 198,000 00 | 4 1540 | 822,493 20 | 4 5073 | 892,451 07 |
| RF - MORANT WRIGHT | SAN IN GODO BANK | JPY50 | 90,000 00 | 9 4561 | 851,049 34 | 10 3194 | 928,746 93 |
| RF - MORANT WRIGHT | SANKI ENGINEERING | JPY50 | 110,000 00 | 8 0436 | 884,800 29 | 8 8028 | 968,313 14 |
| RF - MORANT WRIGHT | SANSHIN ELECTRONICS | JPY50 | 70,000 00 | 8 5892 | 601,247 11 | 11 3615 | 795,306 28 |
| RF - MORANT WRIGHT | SEINO HOLDINGS | NPV | 100,000 00 | 9 6001 | 960,009 05 | 10 8871 | 1,088,706 26 |
| RF - MORANT WRIGHT | SEKISUI JUSHI CORP | JPY50 | 100,000 00 | 6 6972 | 669,718 48 | 7 6675 | 766,754 22 |
| RF - MORANT WRIGHT | SEKISUI PLASTICS | JPY50 | 300,000 00 | 3 5289 | 1,058,659 91 | 3 8041 | 1,141,235 28 |
| RF - MORANT WRIGHT | 77TH BANK | JPY50 | 100,000 00 | 7 0999 | 709,986 62 | 7 5913 | 759,129 03 |
| RF - MORANT WRIGHT | SHIBUSAWA W HOUSE | JPY50 | 250,000 00 | 2 9871 | 746,774 87 | 6 0493 | 1,512,327 37 |
| RF - MORANT WRIGHT | SHINMAYWA INDS | JPY50 | 150,000 00 | 4 7487 | 712,303 95 | 5 7951 | 869,270 52 |
| RF - MORANT WRIGHT | SUMITOMO WAREHOUSE | JPY50 | 140,000 00 | 5 6130 | 785,813 23 | 8 5995 | 1,203,931 20 |
| RF - MORANT WRIGHT | TACHI S CO | JPY50 | 60,000 00 | 10 8840 | 653,041 08 | 9 5399 | 572,396 85 |
| RF - MORANT WRIGHT | TACHIHI ENTERPRISE | JPY50 | 13,000 00 | 41 3369 | 537,379 18 | 52 2748 | 679,572 99 |
| RF - MORANT WRIGHT | MITSUI SUMITOMO INSURANCE CO | JPY50 | 70,000 00 | 10 0484 | 703,386 44 | 12 2257 | 855,799 37 |
| RF - MORANT WRIGHT | TODA CORPORATION | JPY50 | 175,000 00 | 5 0812 | 889,212 20 | 5 4901 | 960,772 68 |
| RF - MORANT WRIGHT | TOPRE CORPORATION | JPY50 | 52,000 00 | 7 7496 | 402,980 23 | 10 5905 | 550,707 45 |
| RF - MORANT WRIGHT | TOKYO STYLE CO | JPY50 | 50,000 00 | 11 6068 | 580,337 82 | 12 2427 | 612,132 51 |
| RF - MORANT WRIGHT | TOYO BUSSAN CO | JPY50 | 50.000 00 | 10 4520 | 522,600 28 | 11 1836 | 559,179 87 |
| RF - MORANT WRIGHT | TOYO SEIKAN KAISHA | JPY50 | 55,000 00 | 16 7256 | 919,905 86 | 16 2755 | 895,153 77 |
| RF - MORANT WRIGHT | YOKOGAWA BRIDGE CP | JPY50 | 74,000 00 | 7 3475 | 543,716 97 | 7 5489 | 558,620 69 |
| RF - MORANT WRIGHT | YOKOHAMA REITO CO | JPY50 | 90,000 00 | 8 0620 | 725,583 95 | 7 8455 | 706,091 67 |
| RF - MORANT WRIGHT | ZOJIRUSHI CORP | JPY50 | 25,000 00 | 7 8719 | 196,797 93 | 10 7600 | 268,999 41 |
| RF - BAILLIE GIFFORD II | AIFUL CORP | JPY50 | 4,500 00 | 81 1265 | 365,069 11 | 83 4534 | 375,540 12 |
| RF - BAILLIE GIFFORD II | ALPS ELECTRIC CO | JPY50 | 8,000 00 | 15 5875 | 124,699 84 | 13 9202 | 111,361 52 |
| RF - BAILLIE GIFFORD II | FUJI TELEVISION NETWORK INC | NPV | 87 00 | 2,268 9947 | 197,402 54 | 2,516 3094 | 218,918 92 |
| RF - BAILLIE GIFFORD II | ASAHI GLASS CO | JPY50 | 36,000 00 | 11 9566 | 430,438 61 | 12 9035 | 464,525 97 |
| RF - BAILLIE GIFFORD II | MOSHIMOSHI HOTLINE | JPY50 | 1,700 00 | 111 0564 | 188,795 91 | 118 6139 | 201,643 65 |
| RF - BAILLIE GIFFORD II | NTT DOCOMO | NPV | 179 00 | 1,538 6953 | 275,426 45 | 1,525 0360 | 272,981 45 |
| RF - BAILLIE GIFFORD II | BRIDGESTONE CORP | JPY50 | 11,000 00 | 21 3911 | 235,302 15 | 20 7998 | 228,797 76 |
| RF - BAILLIE GIFFORD II | BROTHER INDUSTRIES | JPY50 | 25,000 00 | 9 9383 | 248,456 77 | 10 4973 | 262,433 28 |
| RF - BAILLIE GIFFORD II | USS | JPY50 | 3.710 00 | 62 8964 | 233,345 53 | 63 7126 | 236,373 80 |
| RF - BAILLIE GIFFORD II | CANON INC | JPY50 | 9,300 00 | 59 0917 | 549,552 45 | 58 4597 | 543,675 34 |
| | | | 2,230 00 | | 0.0,002.40 | 30 .001 | 310,0.004 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|---------------------------|------------------------------|----------------------|-----------|----------------|-----------------|----------------------|-------------------|
| RF - BAILLIE GIFFORD II | GOODWILL GROUP | JPY5000 | 142 00 | 1,962 2811 | 278,643 92 | 2,033 3813 | 288,740 15 |
| RF - BAILLIE GIFFORD II | YOSHINOYA D+C CO | JPY5000 | 188 00 | 1,989 2768 | 373,984 04 | 1,863 9329 | 350,419 38 |
| RF - BAILLIE GIFFORD II | KDDI CORP | JPY5000 | 55 00 | 5,464 3836 | 300,541 10 | 5,761 2471 | 316,868 59 |
| RF - BAILLIE GIFFORD II | DAIKIN INDUSTRIES | JPY50 | 11,600 00 | 30 5908 | 354,853 15 | 29.2299 | 339,066 34 |
| RF - BAILLIE GIFFORD II | DON QÙIJOTE | NPV | 2,400 00 | 82 7721 | 198,653 08 | 83 5381 | 200,491 40 |
| RF - BAILLIE GIFFORD II | CAWACHI | JPY50 | 4,400 00 | 41 2960 | 181,702 54 | 42 4468 | 186,766 08 |
| RF - BAILLIE GIFFORD II | ASKUL | JPY50 | 5,500 00 | 30 5217 | 167,869 16 | 31 0091 | 170,549 86 |
| RF - BAILLIE GIFFORD II | EAST JAPAN RAILWAY | JPY50000 | 28 00 | 6,362 3664 | 178,146 26 | 6,871 1345 | 192,391 76 |
| RF - BAILLIE GIFFORD II | NIPPON PAPER GROUP INC | NPV | 52 00 | 3,605 5771 | 187,490 01 | 3,998 9833 | 207,947 13 |
| RF - BAILLIE GIFFORD II | MITSUBISHI UFJ FIN GROUP | NPV | 59 00 | 13,930 5259 | 821,901 03 | 13,555 8756 | 799,796 66 |
| RF - BAILLIE GIFFORD II | FULLCAST CO LTD | JPY 50000 | 37 00 | 2,990 5170 | 110,649 13 | 3,321 1895 | 122,884 01 |
| RF - BAILLIE GIFFORD II | SEIKO CORPORATION | JPY50 | 13,000 00 | 5 5070 | 71,591 30 | 5 3800 | 69,939 85 |
| RF - BAILLIE GIFFORD II | HITACHI | JPY50 | 42,000 00 | 6 7589 | 283,874 14 | 6 7356 | 282,894 18 |
| RF - BAILLIE GIFFORD II | ITO EN | JPY50 | 8,300 00 | 59 1192 | 490,689 17 | 59 8153 | 496,467 00 |
| RF - BAILLIE GIFFORD II | KAO CORP | JPY50 | 10,000 00 | 26 8847 | 268,846 95 | 26 7729 | 267,728 54 |
| RF - BAILLIE GIFFORD II | KEYENCE CORP | JPY50 | 700 00 | 269 0963 | 188,367 40 | 284 2498 | 198,974 84 |
| RF - BAILLIE GIFFORD II | KONICA MINOLTA HOLDINGS INC | JPY50 | 25,000 00 | 9 2083 | 230,207 90 | 10 1754 | 254,384 48 |
| RF - BAILLIE GIFFORD II | KYOCERA CORP | JPY50 | 6,400 00 | 70 7059 | 452,517 85 | 72 8628 | 466,322 12 |
| RF - BAILLIE GIFFORD II | NIWS CO | NPV | 123 00 | 1,168 4772 | 143,722 70 | 1,364 0600 | 167,779 38 |
| RF - BAILLIE GIFFORD II | SUMITOMO MITSUI GR | NPV | 35 00 | 10,533 2966 | 368,665 38 | 10,590 5278 | 370,668 47 |
| RF - BAILLIE GIFFORD II | MISUMI GROUP INC | JPY50 | 4,600 00 | 42 3111 | 194,631 01 | 43 5483 | 200,321 95 |
| RF - BAILLIE GIFFORD II | MITSUI + CO | JPY50 | 21,000 00 | 13 2076 | 277,360 23 | 12 8357 | 269,550 11 |
| RF - BAILLIE GIFFORD II | MITSUI OSK LINES | JPY50 | 26,000 00 | 7 8102 | 203,065 68 | 8 7181 | 226,671 19 |
| RF - BAILLIE GIFFORD II | NIPPON TEL+TEL CP | JPY50000 | 36 00 | 4,476 0669 | 161,138 41 | 4,541 2183 | 163,483 86 |
| RF - BAILLIE GIFFORD II | NISSAN MOTOR CO | JPY50 | 25,500 00 | 10 0239 | 255,608 71 | 10 1245 | 258,175 89 |
| RF - BAILLIE GIFFORD II | NOMURA HOLDINGS | JPY50 | 15,000 00 | 18 5234 | 277,850 65 | 19.1477 | 287,215 11 |
| RF - BAILLIE GIFFORD II | TAIHEIYO CEMENT | JPY50 | 43,000 00 | 4 2222 | 181,553 92 | 4 0583 | 174,506 48 |
| RF - BAILLIE GIFFORD II | PROMISE CO | JPY50 | 6,700 00 | 64 6667 | 433,266 62 | 66 5085 | 445,607 05 |
| RF - BAILLIE GIFFORD II | SANKYO CO | NPV | 6,200 00 | 49 5626 | 307,287 90 | 57.8666 | 358,773 19 |
| RF - BAILLIE GIFFORD II | SANYO ELECTRIC CO | JPY50 | 80,000 00 | 2 3902 | 191,213 46 | 2 7112 | 216,894 01 |
| RF - BAILLIE GIFFORD II | SONY CORP | NPV | 5,800 00 | 37 3768 | 216,785 62 | 40 8371 | 236,855 04 |
| RF - BAILLIE GIFFORD II | SUMITOMO HEAVY IND | JPY50 | 40,000 00 | 8 1915 | 327,659 74 | 8 3877 | 335,507 92 |
| RF - BAILLIE GIFFORD II | SUMITOMO RLTY+DEV | JPY50 | 12,000 00 | 19 0111 | 228,133 76 | 21 7318 | 260,781 16 |
| RF - BAILLIE GIFFORD II | MITSUI SUMITOMO INSURANCE CO | JPY50 | 42,000 00 | 12 7985 | 537,535 50 | 12 2257 | 513,479 62 |
| RF · BAILLIE GIFFORD II | TAKEDA PHARMACEUTICAL CO LTD | JPY50 | 4,000 00 | 55 0444 | 220,177 65 | 54 0541 | 216,216 22 |
| RF - BAILLIE GIFFORD II | TOKYU CORP | JPY50 | 46,000 00 | 6 3812 | 293,535 32 | 7 0660 | 325,036 01 |
| RF - BAILLIE GIFFORD II | TORAY INDS INC | MPV | 42,000 00 | 7 7264 | 324,507 59 | 8 1505 | 342,319 75 |
| RF - BAILLIE GIFFORD II | TOYO SUISAN KAISHA | JPY50 | 24,000 00 | 16 2257 | 389,417 82 | 16 1315 | 387,155 81 |
| RF - BAILLIE GIFFORD II | TOYOTA MOTOR CORP | JPY50 | 11,800 00 | 48 6377 | 573,924 75 | 51 8512 | 611,844 45 |
| RF - BAILLIE GIFFORD II | TSUMURA + CO | JPY50 | 8,000 00 | 24 3337 | 194,669 63 | 27 6201 | 220,960 77 |
| RF - BAILLIE GIFFORD II | USHIO INC | JPY50 | 4,000 00 | 22 5260 | 90,104 09 | 23 3415 | 93,366 09 |
| RF - BAILLIE GIFFORD II | YAMADA DENKI CO | JPY50 | 5,300 00 | 116 1827 | 615,768 11 | 125 0530 | 662,780 65 |
| | KOREA, REPUBLIC OF | | | | | | |
| RF- EMERGING MARKETS MGMT | PUSAN BANK | KRW5000 | 23,130 00 | 7 3720 | 170,515 05 | 13 1078 | 303,182 96 |
| RF- EMERGING MARKETS MGMT | HANKOOK TIRE MANFT | KRW500 | 81,120 00 | 7 2646 | 589,306 95 | 14 0970 | 1,143,552 46 |
| RF- EMERGING MARKETS MGMT | SAMSUNG FIRE + MAR | KRW500 | 12,829 00 | 22 5680 | 289,524 74 | 126 6261 | 1,624,486 32 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------------------------|------------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF- EMERGING MARKETS MGMT | DAEWOO SHIPBUILDING + MARINE | KRW5000 | 18,160 00 | 8 9739 | 162,966 22 | 27 2543 | 494,937 92 |
| RF- EMERGING MARKETS MGMT | DAEGU BANK | KRW5000 | 39,430 00 | 5 3324 | 210,257 17 | 15 1358 | 596,803 68 |
| RF- EMERGING MARKETS MGMT | KOOKMIN BANK | KRW5000 | 38,099 00 | 29 0489 | 1,106,734 32 | 75 6789 | 2,883,289 81 |
| RF- EMERGING MARKETS MGMT | HYUNDAI MOTOR CO | KRW5000 | 13,020 00 | 17 4828 | 227,626 35 | 96 2556 | 1,253,248 26 |
| RF- EMERGING MARKETS MGMT | POSCO | KRW5000 | 4,990 00 | 30 7798 | 153,590 97 | 199 8318 | 997,160 81 |
| RF- EMERGING MARKETS MGMT | SAMSUNG ELECTRONIC | KRW5000 | 10,509 00 | 50 0248 | 525,710 64 | 651 9266 | 6,851,096 60 |
| RF- EMERGING MARKETS MGMT | SHINSEGAE CO LTD | KRW5000 | 3,300 00 | 74 3603 | 245,389 15 | 438 2450 | 1,446,208 64 |
| RF- EMERGING MARKETS MGMT | KOREAN REINSURANCE | KRW500 | 56,680 00 | 3 4147 | 193,543 50 | 10 4862 | 594,359 20 |
| RF- ACADIAN ASSET MANAGEMENT | HONAM PETROCHEM | | 6,550 00 | 42 2380 | 276,659 02 | 49 4633 | 323,984 77 |
| RF - CAPITAL GUARDIAN II | SAMSUNG ELECTRONIC | KRW5000 | 870 00 | 355 3230 | 309,130 99 | 651 9266 | 567,176 14 |
| RF - ARTISAN PARTNERS | KOOKMIN BK NEW | SPONSORED ADR | 600 00 | 46 5399 | 27,923 94 | 74 7100 | 44,826 00 |
| RF - ARTISAN PARTNERS | SHINHAN FINANCIAL | KRW5000 | 26,200 00 | 25 9928 | 681,010 41 | 40 6094 | 1,063,965 97 |
| RF - ARTISAN PARTNERS | KOOKMIN BANK | KRW5000 | 31,820 00 | 40 6999 | 1,295,070 23 | 75 6789 | 2,408,102 09 |
| RF - ARTISAN PARTNERS | HANA FINANCIAL HOL | KRW5000 | 25,058 00 | 25 8554 | 647,884 41 | 45 7041 | 1,145,253 60 |
| RF - BAILLIE GIFFORD | CHEIL COMMUNICATION | KRW5000 | 3,300 00 | 151 2163 | 499,013 65 | 218 1333 | 719,839 74 |
| RF - BAILLIE GIFFORD | SAMSUNG FIRE + MAR | KRW500 | 14,130 00 | 69 7009 | 984,873 50 | 126 6261 | 1,789,226 89 |
| RF - BAILLIE GIFFORD | WOONG JIN COWAY | KRW500 | 54,500 00 | 19 2868 | 1,051,130 27 | 23 6929 | 1,291,264 78 |
| RF - BAILLIE GIFFORD | S1 CORP | KRW500 | 19,750 00 | 20 2755 | 400,440 40 | 43 3299 | 855,764 95 |
| RF - BAILLIE GIFFORD | DAEWOO SHIPBUILDING + MARINE | KRW5000 | 39,300 00 | 14 4842 | 569,228 99 | 27 2543 | 1,071,093 63 |
| RF - BAILLIE GIFFORD | HYUNDAI INDL + DEV | KRW5000 | 16,800 00 | 32 5769 | 547,291 14 | 45 3084 | 761,181 18 |
| RF - BAILLIE GIFFORD | HANWHA | KRW5000 | 73,860 00 | 8 5877 | 634,290 28 | 33 6351 | 2,484,285 50 |
| RF - BAILLIE GIFFORD | LG CORP | KRW5000 | 55,600 00 | 25 9403 | 1,442,279 38 | 31 2608 | 1,738,101 60 |
| RF - BAILLIE GIFFORD | MERITZ FIRE+MARINE | KRW5000 | 23,500 00 | 20 2401 | 475,641 97 | 52 2333 | 1,227,481 82 |
| RF - BAILLIE GIFFORD | DAEKYO | COM KRW5000 | 5,000 00 | 70 1447 | 350,723 46 | 77 9542 | 389,770.98 |
| RF - BAILLIE GIFFORD | SAMSUNG CO | KRW5000 | 119,000 00 | 10 7508 | 1,279,348 35 | 21 3682 | 2,542,810 51 |
| RF - BAILLIE GIFFORD | SAMSUNG HEAVY | KSWN5000 | 113,200 00 | 4 9516 | 560,518 63 | 17 5595 | 1,987,733 10 |
| RF - BAILLIE GIFFORD | YUHAN CORP | KRW5000 | 7,862 00 | 53 5635 | 421,116 01 | 180 0465 | 1,415,525 55 |
| RF - BAILLIE GIFFORD | GS HOLDINGS CORP | KRW5000 | 41,000 00 | 22 9914 | 942,647 92 | 23 2972 | 955,186 23 |
| RF - APS ASSET MANAGEMENT | KOREA ELEC TERM | KRW500 | 3,860 00 | 16 4507 | 63,499 53 | 19 1423 | 73,889 30 |
| RF - APS ASSET MANAGEMENT | DAEDUCK GDS | KRW500 | 4,880 00 | 9 0144 | 43,990 21 | 10 2884 | 50,207 25 |
| RF - APS ASSET MANAGEMENT | HANDSOME CORP | KRW500 | 5,190 00 | 9 7974 | 50,848 68 | 14 8390 | 77,014 39 |
| RF - APS ASSET MANAGEMENT | DAEWOO SHIPBUILDING + MARINE | KRW5000 | 7,160 00 | 13 6427 | 97,681 77 | 27 2543 | 195,140 72 |
| RF - APS ASSET MANAGEMENT | SK TELECOM | KRW500 | 880 00 | 187 3280 | 164,848 67 | 179 0572 | 157,570 36 |
| RF - APS ASSET MANAGEMENT | DK UIL CO LTD | 500 KRW | 7,974 00 | 25 5908 | 204,061 11 | 17 6584 | 140,808 13 |
| RF - APS ASSET MANAGEMENT | HANKUK ELEC GLASS | KRW 5000 | 5,640 00 | 43 2514 | 243,938 17 | 33 6351 | 189,701 74 |
| RF - APS ASSET MANAGEMENT | KOOKMIN BANK | KRW5000 | 7,830 00 | 48 4729 | 379,542 93 | 75 6789 | 592,565 66 |
| RF - APS ASSET MANAGEMENT | HYUNDAI MOBIS | KRW5000 | 1,550 00 | 59 1723 | 91,717 06 | 91 4082 | 141,682 74 |
| RF - APS ASSET MANAGEMENT | HYUNDAI MOTOR CO | KRW5000 | 970 00 | 49 7574 | 48,264 72 | 96 2556 | 93,367 96 |
| RF - APS ASSET MANAGEMENT | KIA MOTORS CORP | KRW5000 | 19,620 00 | 13 8043 | 270,840 27 | 26 2650 | 515,319 78 |
| RF - APS ASSET MANAGEMENT | SAMSUNG FINE CHEM | KRW5000 | 3,930 00 | 19 8984 | 78,200 72 | 32 8931 | 129,269 92 |
| RF - APS ASSET MANAGEMENT | KH VATEC | KRW500 | 6,126 00 | 27 8617 | 170,680 81 | 32 5469 | 199,382 10 |
| RF - APS ASSET MANAGEMENT | SAMSUNG ELECTRONIC | KRW5000 | 1,416 00 | 414 7129 | 587,233 47 | 651 9266 | 923,128 06 |
| RF - APS ASSET MANAGEMENT | SNU PRECISION CO L | KRW5000 | 2,058 00 | 47 6914 | 98,148 87 | 47 2869 | 97,316 52 |
| RF - APS ASSET MANAGEMENT | HANA FINANCIAL HOL | KRW5000 | 13,907 00 | 28 6197 | 398,013 58 | 45 7041 | 635,607 06 |
| | LUXEMBOURG | | | | | | |
| RF- EMERGING MARKETS MGMT | TENARIS S A | SPONSORED ADR | 1,590 00 | 16 6500 | 26,473 49 | 114 5000 | 182,055 00 |

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------------------------|--------------------------------|--------------------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF- ACADIAN ASSET MANAGEMENT | ARCELOR | NPV | 98,285 00 | 21 2366 | 2,087,242 15 | 24 7116 | 2,428,776 71 |
| RF - ARTISAN PARTNERS | RTL GROUP NPV | NPV | 6,088 00 | 46 2577 | 281,616 65 | 80 2094 | 488,314 79 |
| RF - MARATHON ASSET MGMT LTD | ARCELOR | NPV | 24,720 00 | 15 6115 | 385,915 77 | 24 7116 | 610,870 02 |
| RF- EMERGING MARKETS MGMT | EVRAZ GROUP SA | SPONSORED GDR 144A | 36,400 00 | 14 5000 | 527,800 00 | 18 1000 | 658,840.00 |
| RF - ARTISAN PARTNERS | STOLT OFFSHORE | COM USD2 | 85,300 00 | 10 9245 | 931,863 40 | 11 5931 | 988,894 22 |
| | MALAYSIA | | | | | | |
| RF- EMERGING MARKETS MGMT | BUMIPUTRA COMMERCE HLDS BH | MYR1 | 144,400 00 | 1 5024 | 216,953 26 | 1 5081 | 217,774 84 |
| RF- EMERGING MARKETS MGMT | BERJAYA SPORTS | MYR1 | 281,900 00 | 0 9630 | 271,480 18 | 1 1853 | 334,147.90 |
| RF- EMERGING MARKETS MGMT | MAXIS COMMUN BHD | MYR0 10 | 173,400 00 | 1 3347 | 231,432 70 | 2 2225 | 385,384 31 |
| RF- EMERGING MARKETS MGMT | MALAKOFF BHD | MYR1 | 381,900 00 | 0 7868 | 300,472 77 | 2 1696 | 828,569 92 |
| RF- EMERGING MARKETS MGMT | MISC BHD | MYR1(ALIEN MARKET) | 387,400 00 | 0 6919 | 268,034 59 | 2 6194 | 1,014,753 27 |
| RF- EMERGING MARKETS MGMT | TELEKOM MALAYSIA | MYR1 | 179,500 00 | 2 7021 | 485,025 37 | 2 5268 | 453,558 67 |
| RF- EMERGING MARKETS MGMT | TENAGA NASIONAL | MYR1 | 145,900 00 | 2 8709 | 418,864 98 | 2 6194 | 382,169 60 |
| RF- EMERGING MARKETS MGMT | TRANSMILE GROUP | MYR1 | 55,700 00 | 1 1020 | 61,381 23 | 2 8046 | 156,216 43 |
| RF- ACADIAN ASSET MANAGEMENT | DIGI COM BERHAD | MYR1 | 59,300 00 | 1 8712 | 110,960 67 | 2 0638 | 122,381 27 |
| RF - BAILLIE GIFFORD | IOI CORP | MYR0 50 | 230,000 00 | 2 5824 | 593,947 50 | 3 2809 | 754,597 17 |
| RF - BAILLIE GIFFORD | PLUS EXPRESSWAYS B | ORD MYR0 25 | 475,000 00 | 0 5783 | 274,687 95 | 0 8096 | 384,574 68 |
| RF - BAILLIE GIFFORD | MALAKOFF BHD | MYR1 | 190,000 00 | 2 0546 | 390,380 55 | 2 1696 | 412,223 84 |
| RF - BAILLIE GIFFORD | TELEKOM MALAYSIA | MYR1 | 314,000 00 | 2 8510 | 895,200 74 | 2 5268 | 793,411 83 |
| RF - BAILLIE GIFFORD | SP SETIA | MYR1 | 375,000 00 | 0 9301 | 348,782 44 | 0 8625 | 323,455 48 |
| RF - MARATHON ASSET MGMT LTD | BUMIPUTRA COMMERCE HLDS BH | MYR1 | 161,000 00 | 1 2903 | 207,742 50 | 1 5081 | 242,809 90 |
| RF - MARATHON ASSET MGMT LTD | KUMPULAN GUTHRIE | MYR1 | 117,000 00 | 0 6053 | 70,825 57 | 0 6429 | 75,224 24 |
| RF - MARATHON ASSET MGMT LTD | MALAY AIRLINE SYST | ORD MYR1 | 62,400 00 | 1 2341 | 77,004 84 | 0 7514 | 46,888 74 |
| RF - MARATHON ASSET MGMT LTD | CIMB BERHAD | MYR1 | 165,111 00 | 1 3544 | 223,629 66 | 1 6801 | 277,405 70 |
| RF - MARATHON ASSET MGMT LTD | MULTI PURPOSE HLDG | MYR1 | 233,000 00 | 0 3039 | 70,812 72 | 0 2037 | 47,469 24 |
| RF - MARATHON ASSET MGMT LTD | RESORTS WORLD BHD | MYR0 50 | 190,700 00 | 2 3205 | 442,521 26 | 2.9634 | 565,111 79 |
| RF - MARATHON ASSET MGMT LTD | TELEKOM MALAYSIA | MYR1 | 101,000 00 | 2 7782 | 280,593 51 | 2 5268 | 255,205 72 |
| | MEXICO | | | | | | |
| RF- EMERGING MARKETS MGMT | GRUPO TRIBASA | SPONSORED ADR | 3,920 00 | 61 6136 | 241,525 46 | 7 4605 | 29,244 96 |
| RF- EMERGING MARKETS MGMT | EMPRESAS ICA SOCIEDAD CONTRLAD | SONSORED ARD NEW | 4,063 00 | 29 8820 | 121,410 68 | 29 2500 | 118,842 75 |
| RF- EMERGING MARKETS MGMT | AMERICA MOVIL S A DEC V | SPONS ADR REPSTG SER L SHS | 32,500 00 | 4 3169 | 140,298 31 | 29 2600 | 950,950 00 |
| RF- EMERGING MARKETS MGMT | CEMEX S A | SPONSORED ADR NEW REP ORD PART | 19,548 00 | 19 0952 | 373,273 75 | 59 3300 | 1,159,782 84 |
| RF- EMERGING MARKETS MGMT | FOMENTO ECONOMICO MEXICANO | SPONSORED ADR UNIT 1 SER B | 8,100 00 | 6 8510 | 55,492 80 | 72 5100 | 587,331 00 |
| RF- EMERGING MARKETS MGMT | GRUPO TELEVISION SA DE CV | SPONSORED ADR REPSTG ORD PARTN | 12,000 00 | 59 0662 | 708,793 93 | 80 5000 | 966,000 00 |
| RF - BAILLIE GIFFORD | AMERICA TELECOM SA | NPV SER A | 174,000 00 | 3 6252 | 630,790 81 | 4 8592 | 845,493 13 |
| RF- EMERGING MARKETS MGMT | CORP GEO SA DE CV | SER B NPV | 48,100 00 | 3 0526 | 146,831 87 | 3 5327 | 169,924 56 |
| RF- EMERGING MARKETS MGMT | GPO BIMBO SA DE CV | SER A NPV | 80,800 00 | 1 5939 | 128,789 17 | 3 4820 | 281,343 34 |
| RF- EMERGING MARKETS MGMT | GRUMA SA DE CV | SER B NPV | 23,700 00 | 2 5371 | 60,128 35 | 3 2432 | 76,863 78 |
| RF- EMERGING MARKETS MGMT | GRUPO FINANCIERO BANORTE SA | O SHS | 253,452 00 | 0 1437 | 36,413 32 | 2 0944 | 530,841 92 |
| RF- EMERGING MARKETS MGMT | ORGANIZ SORIANA | SER B NPV | 64,300 00 | 3 2830 | 211,095 15 | 4 5264 | 291,045 95 |
| RF- EMERGING MARKETS MGMT | GPO FIN INBURSA SA | COM SER O MXN1 000228 | 69,800 00 | 0 6848 | 47,798 77 | 1 7034 | 118,896 18 |
| RF- EMERGING MARKETS MGMT | PROMOTORA Y OPERADORA DE INFRA | | 81,000 00 | 2 9004 | 234,930 35 | 0 3760 | 30,457 85 |
| RF- EMERGING MARKETS MGMT | IMPULSORA DEL DESA | COM SERIE B1 NPV | 102,700 00 | 0 2259 | 23,199 66 | 1 1093 | 113,921 78 |
| RF- EMERGING MARKETS MGMT | EMPRESAS ICA SA | COM NPV | 25,667 00 | 2 3929 | 61,418 29 | 2 4263 | 62,275 53 |
| RF- EMERGING MARKETS MGMT | AXTEL SA DE CV | NPV | 75,100 00 | 2 4392 | 183,187 63 | 2 5654 | 192,662 76 |

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|-----------------------------|--------------------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF - CAPITAL GUARDIAN II | AMERICA MOVIL S A DEC V | SPONS ADR REPSTG SER L SHS | 14,100 00 | 8 3397 | 117,590 43 | 29 2600 | 412,566 00 |
| RF - ARTISAN PARTNERS | GRUPO TELEVISION SA DE CV | SPONSORED ADR REPSTG ORD PARTN | 25,300 00 | 31 0678 | 786,016 29 | 80 5000 | 2,036,650 00 |
| RF - ARTISAN PARTNERS | WAL MART DE MEXICO | SER V NPV | 238,200 00 | 2 7995 | 666,843 68 | 5 5473 | 1,321,361 58 |
| SOUTHEASTERN ASSET MGMT | CEMEX S A | SPONSORED ADR NEW REP ORD PART | 158,986 00 | 33 3779 | 5,306,623 81 | 59 3300 | 9,432,639 38 |
| RF - BAILLIE GIFFORD | AMERICA MOVIL S A DEC V | SPONS ADR REPSTG SER L SHS | 51,300 00 | 9 1623 | 470,023 73 | 29 2600 | 1,501,038 00 |
| RF - BAILLIE GIFFORD | GRUPO AEROPORTUARIO DEL | SPONSORED ADR SER B | 10,836 00 | 20 4048 | 221,106 43 | 32 3400 | 350,436 24 |
| RF - BAILLIE GIFFORD | CONSORICO ARA SA | SER UNICA NPV | 96,000 00 | 2 7273 | 261,821 17 | 4 2312 | 406,194 98 |
| RF - BAILLIE GIFFORD | GRUPO FINANCIERO BANORTE SA | O SHS | 544,400 00 | 0 9656 | 525,684 93 | 2 0944 | 1,140,217 25 |
| RF - BAILLIE GIFFORD | WAL MART DE MEXICO | SER V NPV | 156,393 00 | 2 8608 | 447,411 80 | 5 5473 | 867,555 42 |
| RF - BAILLIE GIFFORD | EMPRESAS ICA SA | COM NPV | 43,567 00 | 2 2681 | 98,813 30 | 2 4263 | 105,706 08 |
| RF - MARATHON ASSET MGMT LTD | AMERICA MOVIL S A DEC V | SPONS ADR REPSTG SER L SHS | 3,300 00 | 12 3567 | 40,777 00 | 29 2600 | 96,558 00 |
| RF · MARATHON ASSET MGMT LTD | TELEFONOS DE MEXICO S A | SPONSORED ADR REPSTG SH ORD L | 3,000 00 | 16 6450 | 49,935 00 | 24 6800 | 74,040 00 |
| | NETHERLANDS | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | VNU NV | EUR0 20 | 63,300 00 | 28 1144 | 1,779,638 94 | 33 0392 | 2,091,380 91 |
| RF- MERCATOR ASSET MANAGEMENT | ABN AMRO HLDGS NV | EUR0 56 | 46,800 00 | 16 6972 | 781,431 02 | 26 0563 | 1,219,432 85 |
| RF- MERCATOR ASSET MANAGEMENT | ING GROEP NV | CVA EUR0 24 | 40,400 00 | 3 5869 | 144,908 80 | 34 5608 | 1,396,256 82 |
| RF- ACADIAN ASSET MANAGEMENT | NUTRECO HOLDINGS | EUR0 24 | 4,723 00 | 41 2650 | 194,894 78 | 44 0090 | 207,854 54 |
| RF- ACADIAN ASSET MANAGEMENT | ABN AMRO HLDGS NV | EUR0 56 | 82,672 00 | 24 9581 | 2,063,337 96 | 26 0563 | 2,154,122 92 |
| RF- ACADIAN ASSET MANAGEMENT | AEGON NV | EUR0 12 | 71,441 00 | 14 1347 | 1,009,799 83 | 16 2188 | 1,158,688 09 |
| RF- ACADIAN ASSET MANAGEMENT | ING GROEP NV | CVA EUR0 24 | 74,681 00 | 22 2769 | 1,663,661 41 | 34 5608 | 2,581,036 02 |
| RF- ACADIAN ASSET MANAGEMENT | TOMTOM NV | EUR0 20 | 8,366 00 | 36 1441 | 302,381 17 | 34 2069 | 286,175 32 |
| RF- ACADIAN ASSET MANAGEMENT | ROYAL DUTCH SHEL | A SHS EURO 07 | 1,672 00 | 29 3317 | 49,042 52 | 30 4088 | 50,843 51 |
| RF - CAPITAL GUARDIAN II | REED ELSEVIER NV | EUR0 06 | 7,400 00 | 13 5623 | 100,361 30 | 13 9187 | 102,998 30 |
| RF - CAPITAL GUARDIAN II | ABN AMRO HLDGS NV | EUR0 56 | 17,104 00 | 17 5881 | 300,826 56 | 26 0563 | 445,666 23 |
| RF - CAPITAL GUARDIAN II | UNILEVER NV | CVA NLG1 12 | 8,700 00 | 62 5777 | 544,426 10 | 68 2370 | 593,661 57 |
| RF - CAPITAL GUARDIAN II | AEGON NV | EUR0 12 | 26,601 00 | 9 4758 | 252,065 22 | 16 2188 | 431,436 60 |
| RF - CAPITAL GUARDIAN II | ASML HOLDING NV | EUR0 02 | 22,300 00 | 5 2298 | 116,624 97 | 19 9344 | 444,536 97 |
| RF - CAPITAL GUARDIAN II | KONINKLIJKE KPN NV | EUR0 24 | 20,500 00 | 8 0901 | 165,847 56 | 9 9908 | 204,811 15 |
| RF - CAPITAL GUARDIAN II | ING GROEP NV | CVA EUR0 24 | 8,784 00 | 16 9496 | 148,885 10 | 34 5608 | 303,582 18 |
| RF - CAPITAL GUARDIAN II | HEINEKEN NV | EUR1 60 | 4,906 00 | 28 3633 | 139,150 58 | 31 5883 | 154,972 43 |
| RF - CAPITAL GUARDIAN II | NUMICO (KON) NV | EUR0 25 | 5,000 00 | 43 8165 | 219,082.52 | 41.2607 | 206,303 28 |
| RF - CAPITAL GUARDIAN II | ROYAL DUTCH SHEL | A SHS EURO 07 | 61,200 00 | 22 6800 | 1,388,018 75 | 30 4088 | 1,861,018 35 |
| RF - CAPITAL GUARDIAN II | HEINEKEN HOLDING | EUR1 6 | 10,100 00 | 27.0249 | 272,951 33 | 29 2764 | 295,691 93 |
| RF - ARTISAN PARTNERS | ASML HOLDING NV | EUR0 02 | 93,049 00 | 10 9406 | 1,018,010 12 | 19 9344 | 1,854,875 37 |
| RF - ARTISAN PARTNERS | ING GROEP NV | CVA EUR0 24 | 42,081 00 | 30 4922 | 1,283,141 77 | 34 5608 | 1,454,353 54 |
| RF - ARTISAN PARTNERS | FORTIS | UNIT(FORTIS SA/NV NPV/0 42) | 98,481 00 | 18 7601 | 1,847,509 44 | 31 7181 | 3,123,629 91 |
| RF - MARATHON ASSET MGMT LTD | BOSKALIS WESTMNSTR | CVA EUR2 40 | 3,997 00 | 26 3556 | 105,343 21 | 66 3497 | 265,199 68 |
| RF - MARATHON ASSET MGMT LTD | WOLTERS KLUWER | CVA EUR0 12 | 8,736 00 | 17 6289 | 154,005 97 | 20 1467 | 176,001 68 |
| RF - MARATHON ASSET MGMT LTD | KONINKLIJKE KPN NV | EUR0 24 | 36,300 00 | 7 2753 | 264,093 46 | 9 9908 | 362,665 59 |
| RF - MARATHON ASSET MGMT LTD | PHILIPS ELEC(KON) | EUR0 20 | 17,400 00 | 25 8880 | 450,450 35 | 30 9632 | 538,759 42 |
| RF - MARATHON ASSET MGMT LTD | HEINEKEN NV | EUR1 60 | 13,100 00 | 33 2845 | 436,027 05 | 31 5883 | 413,807 34 |
| RF - MARATHON ASSET MGMT LTD | ROYAL DUTCH SHEL | A SHS EURO 07 | 23,498 00 | 26 5533 | 623,949 50 | 30 4088 | 714,545 90 |
| RF-SOUND SHORE ASSET MGMT | ROYAL DUTCH SHELL PLC | SPONSORED ADR REPSTG A SHS | 42,000 00 | 57 3835 | 2,410,106 54 | 61 4900 | 2,582,580 00 |
| RF-SOUND SHORE ASSET MGMT | UNILEVER N V | NY SHS NEW | 40,000 00 | 69 0346 | 2,761,382 75 | 68 6500 | 2,746,000 00 |
| RF - CAPITAL GUARDIAN II | ROYAL DUTCH SHELL PLC | SPONSORED ADR REPSTG A SHS | 4,400 00 | 44 6774 | 196,580 50 | 61 4900 | 270,556 00 |
| RF - ARTISAN PARTNERS | ASML HOLDING N V | NEW YORK SHS | 19,000 00 | 15 8783 | 301,688 28 | 20 0800 | 381,520 00 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|-------------------------------|--------------------------------|------------|----------------|-----------------|----------------------|-------------------|
| SOUTHEASTERN ASSET MGMT | KONINKLIJKE PHILIPS ELECTRS N | NY REGISTRY SH NEW 2000 | 235,000 00 | 19 5528 | 4,594,903 20 | 31 1000 | 7,308,500 00 |
| | | | | | | | |
| | NETH. ANTILLES | • | | | | | |
| RF - CAPITAL GUARDIAN II | SCHLUMBERGER LTD | СОМ | 8,800 00 | 42 6593 | 375,401 58 | 97 1500 | 854,920 00 |
| | NEW ZEALAND | | | | | | |
| RF- ACADIAN ASSET MANAGEMENT | FLETCHER BUILDING | NPV | 64,415 00 | 4 7363 | 305,089 12 | 5 1419 | 331,217 25 |
| RF - MARATHON ASSET MGMT LTD | TELECOM CORP OF NZ | NPV (NŽ LISTING) | 71,900 00 | 3 5853 | 257,781 86 | 4 0931 | 294,294 64 |
| | | | | | | | |
| | NORWAY | _ | | | | | |
| RF- ACADIAN ASSET MANAGEMENT | ORKLA ASA | NOK6 25 | 1,450 00 | 37 8521 | 54,885 60 | 41 2775 | 59,852 32 |
| RF- ACADIAN ASSET MANAGEMENT | STATOIL ASA | NOK2 50 | 51,700 00 | 12 4799 | 645,212 01 | 22 8909 | 1,183,459 48 |
| RF - CAPITAL GUARDIAN II | NORSKE SKOGSINDUST | ORD A NOK10 | 13,284 00 | 12 6524 | 168,074 89 | 15 8390 | 210,405 61 |
| RF - ARTISAN PARTNERS | AKER ASA | SER A NOK28 | 100 00 | 16 5822 | 1,658 22 | 29 2413 | 2,924 13 |
| RF - MARATHON ASSET MGMT LTD | DNB NOR ASA | NOK10 | 26,800 00 | 6 8237 | 182,875 51 | 10 6332 | 284,969 54 |
| | PAKISTAN | | | | | | |
| RF- EMERGING MARKETS MGMT | PAKISTAN STATE OIL | PKR10 | 7,280 00 | 2 0409 | 14,857 49 | 6 9719 | 50,755 44 |
| RF- EMERGING MARKETS MGMT | PAK TELECOM CORP | A PKR10 | 59,400 00 | 0 3335 | 19,811 10 | 1 0938 | 64,973 41 |
| | 774 (22230 M GO/M | | 50,100 00 | 5 5555 | 10,511 10 | | 04,010 11 |
| | PANAMA | | | | | | |
| RF- EMERGING MARKETS MGMT | COPA HOLDINGS S A | CL A | 11,300 00 | 23 4432 | 264,907 59 | 27 3000 | 308,490 00 |
| RF - CAPITAL GUARDIAN II | CARNIVAL CORP | PAIRED 1 COM CARN +1 TR SH BEN | 3,300 00 | 30 8583 | 101,832 39 | 53 4700 | 176,451.00 |
| | PERU | | | | | | |
| RF- EMERGING MARKETS MGMT | MINAS BUENAVENTURA | COM PEN4 | 4,788 00 | 3 3838 | 16,201 44 | 28 5673 | 136,780 06 |
| RF- EMERGING MARKETS MGMT | ENERGIA DEL SUR SA | COM PEN1 | 17,821 00 | 2 4624 | 43,882 19 | 2 3320 | 41,558 96 |
| | | 33m L.V. | 17,021.00 | 2 4024 | 40,002 13 | 2 0020 | 41,550 50 |
| | PHILIPPINES | | | | | | |
| RF- EMERGING MARKETS MGMT | PHILIPPINE LONG DIST TEL CO | SPONSORED ADR | 2,600 00 | 7 2681 | 18,897 06 | 33 5400 | 87,204 00 |
| RF- EMERGING MARKETS MGMT | SEMIRARA MINING | PHP1 | 136,596 00 | 0 5478 | 74,830 83 | 0 5468 | 74,691 88 |
| RF- EMERGING MARKETS MGMT | 1ST PHILIPPINE | PHP10 | 71,972 00 | 0 3972 | 28,589 21 | 0 9239 | 66,496 24 |
| RF- EMERGING MARKETS MGMT | SM PRIME | PHP1 | 484,000 00 | 0 1031 | 49,913 77 | 0 1490 | 72,095 79 |
| RF - MARATHON ASSET MGMT LTD | GLOBE TELECOM IN | PHP50 | 42,400 00 | 15 6196 | 662,269 49 | 13 8588 | 587,611 95 |
| RF - MARATHON ASSET MGMT LTD | JOLLIBEE FOODS | | 282,400 00 | 0 4505 | 127,220 41 | 0 7636 | 215,653 81 |
| RF - MARATHON ASSET MGMT LTD | BCO DE ORO UNIV BK | PHP10 | 289,000 00 | 0 3209 | 92,729 53 | 0 6411 | 185,273 88 |
| RF - MARATHON ASSET MGMT LTD | AYALA CORP | PHP50 | 137,720 00 | 5 0496 | 695,431 23 | 5 9395 | 817,984 35 |
| RF - MARATHON ASSET MGMT LTD | ABS CBN HLDGS CORP | PDR EACH REPR 1 ORD SHS PHP1 | 432,000 00 | 0 4014 | 173,407 66 | 0 2404 | 103,855 94 |
| | | | | | | | |
| DE EMEDOINO MADICETO MONT | POLAND | 0.01 | | | | | |
| RF- EMERGING MARKETS MGMT | POLSKI KONCERN NAFTOWY S A | GLOBAL DEPOSITARY RCPT 144A | 4,700 00 | 9 2224 | 43,345 28 | 39 0000 | 183,300 00 |
| RF- EMERGING MARKETS MGMT | POLSKI KONCERN NAFTOWY ORLEN | GLOBAL DEPOSITARY RCPT REG S | 3,300 00 | 8 3030 | 27,399 80 | 39 0000 | 128,700 00 |
| RF- EMERGING MARKETS MGMT | OPOCZNO SA | PLN10 | 9,416 00 | 16 5126 | 155,482 17 | 11 1746 | 105,219 62 |
| RF - BAILLIE GIFFORD | AGORA | PLN1 | 19,000 00 | 15 2329 | 289,424 32 | 21 1825 | 402,468 23 |
| | PORTUGAL | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | PORTUGAL TCOM SGPS | EUR1(REGD) | 154,500 00 | 7 0046 | 1,082,206 19 | 10 0852 | 1,558,155 94 |
| | | | | | | | |



990-PF HSDINGS AS OF DECEMBER 31, 2005

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|---|-----------------------------------|---------------------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF - CAPITAL GUARDIAN II | PORTUGAL TCOM SGPS | EUR1(REGD) | 18,900 00 | 11 6637 | 220,443 66 | 10 0852 | 190,609 37 |
| RF - ARTISAN PARTNERS | BCO COM PORTUGUES | EUR1(REGD) | 351,740 00 | 2 6672 | 938,168 46 | 2 7484 | 966,705 08 |
| | | | | | | | |
| | RUSSIAN FEDERATION | | | | | | |
| RF- EMERGING MARKETS MGMT | SBERBANK ROSSII | RUB 50 | 700 00 | 579 9086 | 405,936 02 | 1,310 0000 | 917,000 00 |
| RF- EMERGING MARKETS MGMT | SEVERSTAL AUTO JSC | RUB12 5 | 4,291 00 | 15 1000 | 64,794 10 | 17 4250 | 74,770 68 |
| RF- EMERGING MARKETS MGMT | MOBILE TELESYSTEMS | SPONSORED ADR | 17,000 00 | 15 6395 | 265,871 82 | 35 0000 | 595,000 00 |
| RF- EMERGING MARKETS MGMT | OIL CO LUKOIL | SPONSORED ADR | 62,431 00 | 26 1326 | 1,631,483 69 | 59 0000 | 3,683,429 00 |
| RF- EMERGING MARKETS MGMT | OPEN JT STK CO VIMPEL COMMN | SPONSORED ADR | 32,200 00 | 13 9490 | 449,159 05 | 44 2300 | 1,424,206 00 |
| RF - ARTISAN PARTNERS | JSFC SISTEMA | SPONSORED GDR 144A | 25,158 00 | 17 0679 | 429,394 84 | 23 5000 | 591,213 00 |
| RF - ARTISAN PARTNERS | OIL CO LUKOIL | SPONSORED ADR | 47,700 00 | 23 9193 | 1,140,952 11 | 59 0000 | 2,814,300 00 |
| RF - BAILLIE GIFFORD | GAZPROM OAO | ADS REP10 ORD RUB5(REG S) | 8,000 00 | 77 1982 | 617,585 68 | 71 7000 | 573,600 00 |
| RF - BAILLIE GIFFORD | OIL CO LUKOIL | SPONSORED ADR | 33,640.00 | 25 2795 | 850,403 52 | 59 0000 | 1,984,760 00 |
| RF - BAILLIE GIFFORD | OPEN JT STK CO VIMPEL COMMN | SPONSORED ADR | 18,800 00 | 31 4197 | 590,690 63 | 44 2300 | 831,524 00 |
| RF - BAILLIE GIFFORD | SISTEMA JSFC | GDR REPR 1/50 RUB90 REGS | 35,500 00 | 22 3322 | 792,794 36 | 23 5000 | 834,250 00 |
| | | | | | | | |
| RF - APS ASSET MANAGEMENT | SINGAPORE DEL MONTE PACIFIC | USD0 01 | 212,000 00 | 0 4238 | 89,848 72 | 0 3819 | 80,959 83 |
| RF- EMERGING MARKETS MGMT | HUAN HSIN HLDGS | SGD0 20 | 37,000 00 | 0 5177 | 19,153 37 | 0 3999 | 14,797 33 |
| RF- EMERGING MARKETS MGMT | GES INTERNATIONAL | SGD0 20 | 80,000 00 | 0 3787 | 30,294 78 | 0 5593 | 44,743 81 |
| RF- EMERGING MARKETS MGMT | SEKSUN CORPORATION | SGD0 20 SGD0 10 | 127,200 00 | 0 2116 | 26,915 61 | 0 1924 | 24,479 19 |
| RF- MERCATOR ASSET MANAGEMENT | KEPPEL CORP | SGD0 50 | 87,200.00 | 2 7406 | 238,976 53 | 6 6153 | 576,858 31 |
| RF- MERCATOR ASSET MANAGEMENT | UNITED O SEAS BANK | SGD1 | 156,200.00 | 6 1152 | 955,197 42 | 8 7804 | 1,371,493 87 |
| RF- ACADIAN ASSET MANAGEMENT | STARHUB LTD | SGD0 4 | 107.000 00 | 1 1345 | 121,390 00 | 1 2329 | 131,916 05 |
| RF- ACADIAN ASSET MANAGEMENT | MOBILEONE | SGD0 4 SGD0 20 (POST RE ORG) | 19.000 00 | 1 2064 | 22,921 70 | 1 2750 | 24,224 20 |
| RF-SOUND SHORE ASSET MGMT | FLEXTRONICS INTERNATIONAL LTD | SHS | 134,500 00 | 12 0332 | · | 10 4400 | 1,404,180 00 |
| RF - CAPITAL GUARDIAN II | UNITED O SEAS BANK | SGD1 | 23.000 00 | 6 6468 | | 8 7804 | 201,948 52 |
| RF - CAPITAL GUARDIAN II | SINGAPORE TELECOMM | SGD0 15(POST RE ORGANIZATION) | 136,430 00 | 0 8445 | | 1 5696 | 214,146 20 |
| RF - ARTISAN PARTNERS | KEPPEL CORP | SGD0 50 | 152,200 00 | 7 0791 | 1,077,435 70 | 6 6153 | 1,006,855 91 |
| RF - ARTISAN PARTNERS | SINGAPORE AIRLINES | | 195,900 00 | | | 7 4573 | |
| RF - ARTISAN PARTNERS | | SGD0 50(1000 BOARD LOT) | | 6 7818 | | | |
| | SINGAPORE TELECOMM | SGD0 15(POST RE ORGANIZATION) | 494,650 00 | 1 1749 | | 1 5696 | 776,423 20 |
| RF - MARATHON ASSET MGMT LTD | SEMBCORP MARINE | SGD0 10 | 104,000 00 | 0 5446 | | 1 6599 | |
| RF - MARATHON ASSET MGMT LTD | GREAT EASTERN HLDG | SGD0 50 | 60,000 00 | 7 5330 | • | 8 8405 | |
| RF - MARATHON ASSET MGMT LTD | O/SEAS UNION ENTPR | SGD1 | 5,000 00 | 4 1066 | 20,532 98 | 6 5552 | 32,776 04 |
| RF - MARATHON ASSET MGMT LTD RF - MARATHON ASSET MGMT LTD | UTD INDUSTRIAL CP YELLOW PAGES | SGD1 | 312,000 00 | 0 5213 | · | 0 7036 | 219,533 32 |
| RF - APS ASSET MANAGEMENT | | SGD0 05 | 40,000 00 | 0 7953 | 31,813 05 | 0 8239 | 32,956 46 |
| RF - APS ASSET MANAGEMENT | WANT WANT HOLDINGS | USD0 10 | 210,000 00 | 0 9416 | | 0 9950 | 208,950 00 |
| | IDT HLDGS (SING) | SGD0 20 | 243,000 00 | 1 6260 | 395,117 56 | 0 6315 | |
| RF - APS ASSET MANAGEMENT | KIM ENG HLDGS LTD | SGD0 25 | 239,000 00 | 0 7902 | | 0 8119 | |
| RF - APS ASSET MANAGEMENT | HI P INTERNATIONAL | SGD0 05 | 289,000 00 | 0 9551 | 276,010 13 | 1 0164 | 293,727 45 |
| RF - APS ASSET MANAGEMENT | HONG LEONG SINGAPORE | SGD1 | 38,000 00 | 1 7728 | | 2 1771 | 82,727 93 |
| RF - APS ASSET MANAGEMENT RF - APS ASSET MANAGEMENT | VENTURE CORP LTD | SGD0 25 | 18,000 00 | 9 5964 | 172,734 86 | 8 2993 | |
| DE - AES ASSET MANAGEMENT | MEMTECH INTL LTD | SGD0 01 | 350,000 00 | 0 2675 | 93,612 32 | 0 1143 | 39,992 78 |
| | SOUTH AFRICA | | | | | | |
| RF- EMERGING MARKETS MGMT | GOLD FIELDS LTD NEW | SPONSORED ADR | 53,600 00 | 11 0531 | 592,444 30 | 17 6300 | 944,968 00 |





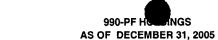
| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|------------------------------|-----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF- EMERGING MARKETS MGMT | S AFRICA CAPITAL GROWTH FUND | <u> </u> | 60 00 | 409 4340 | 24,566 04 | 56.5186 | 3,391 12 |
| RF- EMERGING MARKETS MGMT | BARLOWORLD LTD | ZAR0 05 | 42,847 00 | 8 2880 | 355,113 92 | 17 4269 | 746,689 62 |
| RF- EMERGING MARKETS MGMT | STEINHOFF INTL HLD | ZAR0 005 | 48,594 00 | 0 9244 | 44,920 24 | 2 9562 | 143,655 89 |
| RF- EMERGING MARKETS MGMT | MASSMART | ZAR0 01 | 114,168 00 | 3 4330 | 391,933 34 | 8 1435 | 929,724 43 |
| RF- EMERGING MARKETS MGMT | KUMBA RESOURCES LT | ZAR0 01 | 27,062 00 | 13 6814 | 370,245 21 | 16 0820 | 435,210 72 |
| RF- EMERGING MARKETS MGMT | JD GROUP LTD | ZAR0 05 | 71,839 00 | 6 3119 | 453,443 71 | 12 0851 | 868,184 37 |
| RF- EMERGING MARKETS MGMT | ANGLOGOLD ASHANTI LTD | ZAR0 25 | 15,302 00 | 33 1837 | 507,777 63 | 49 5073 | 757,560 58 |
| RF- EMERGING MARKETS MGMT | FIRSTRAND LTD | ZAR0 01 | 216,608 00 | 2 0056 | 434,437 99 | 2 9089 | 630,101 32 |
| RF- EMERGING MARKETS MGMT | SASOL | NPV | 48,198 00 | 26 8679 | 1,294,976 86 | 35 7115 | 1,721,221 44 |
| RF- EMERGING MARKETS MGMT | LEWIS GROUP LTD | ZAR0 01 | 20,235 00 | 5 2767 | 106,774 18 | 7 4009 | 149,756 55 |
| RF- EMERGING MARKETS MGMT | STANDARD BK GR LTD | ORD ZAR0 1 | 60,376 00 | 2 7757 | 167,585 05 | 11 9527 | 721,656 22 |
| RF- EMERGING MARKETS MGMT | IMPERIAL HLDGS | ZAR0 04 | 22,070 00 | 20 5883 | 454,383 04 | 22 1679 | 489,245 88 |
| RF- EMERGING MARKETS MGMT | EDGARS CONSD STORE | ZAR0 01 | 94,129 00 | 2 4080 | 226,659 97 | 5 5436 | 521,809 32 |
| RF- ACADIAN ASSET MANAGEMENT | TELKOM SA | ZAR10 | 16,468 00 | 20 8135 | 342,756 33 | 21 2456 | 349,871 97 |
| RF - CAPITAL GUARDIAN II | SASOL | NPV | 32,800 00 | 16 9155 | 554,829 79 | 35.7115 | 1,171,336 22 |
| RF - BAILLIE GIFFORD | MASSMART | ZAR0 01 | 55,524 00 | 7 2685 | 403,575 43 | 8 1435 | 452,158 39 |
| RF - BAILLIE GIFFORD | TELKOM SA | ZAR10 | 41,000 00 | 13 4881 | 553,011 75 | 21 2456 | 871,068 19 |
| RF - BAILLIE GIFFORD | NASPERS | N ZAR0 02 | 48,500 00 | 12 3357 | 598,282 22 | 17 6602 | 856,521 09 |
| RF · BAILLIE GIFFORD | ANGLO PLATINUM LTD | ZAR0 10 | 14,400 00 | 39 8138 | 573,318 34 | 72 0536 | 1,037,571 94 |
| RF - BAILLIE GIFFORD | SASOL | NPV | 64,600 00 | 14 5747 | 941,524 44 | 35 7115 | 2,306,960 98 |
| RF · BAILLIE GIFFORD | STANDARD BK GR LTD | ORD ZAR0 1 | 98,700 00 | 9 7059 | 957,970 32 | 11 9527 | 1,179,731 49 |
| RF - BAILLIE GIFFORD | IMPERIAL HLDGS | ZAR0 04 | 41,262 00 | 15 0139 | 619,503 47 | 22 1679 | 914,692 50 |
| RF - BAILLIE GIFFORD | EDGARS CONSD STORE | ZAR0 01 | 75,000 00 | 4 2780 | 320,851 96 | 5 5436 | 415,766 65 |
| RF - MARATHON ASSET MGMT LTD | NEW CLICKS HLDGS | ZARO 01 (POST RECONS) | 30,000 00 | 1 3756 | 41,268 36 | 1 3717 | 41,150 97 |
| RF - MARATHON ASSET MGMT LTD | CITY LODGE HOTELS | R0 10 | 8,256 00 | 3 4260 | 28,284 78 | 6 8585 | 56,623 73 |
| RF - MARATHON ASSET MGMT LTD | GOLD FIELDS | ZAR0 50 | 9,100 00 | 10 5031 | 95,578 53 | 17 6271 | 160,406 78 |
| RF - MARATHON ASSET MGMT LTD | JD GROUP LTD | ZAR0 05 | 14,000 00 | 6 3950 | 89,529 78 | 12 0851 | 169,191 96 |
| RF - MARATHON ASSET MGMT LTD | FIRSTRAND LTD | ZAR0 01 | 133,980 00 | 1 5893 | 212,940 04 | 2 9089 | 389,740 80 |
| RF - MARATHON ASSET MGMT LTD | NEDBANK GROUP LTD | R1 | 35,426 00 | 10 0060 | 354,472 92 | 15 7667 | 558,549 47 |
| RF - MARATHON ASSET MGMT LTD | VENFIN | ZAR0 01 | 67,100 00 | 3 0911 | 207,410 15 | 7 5207 | 504,638 55 |
| RF - MARATHON ASSET MGMT LTD | RMB HOLDINGS | ZAR0 01 | 154,000 00 | 2 3511 | 362,068 97 | 4 3989 | 677,430 04 |
| RF - MARATHON ASSET MGMT LTD | ANGLO PLATINUM LTD | ZAR0 10 | 6,000 00 | 40 5821 | 243,492 42 | 72 0536 | 432,321 64 |
| RF - MARATHON ASSET MGMT LTD | SUN INTL LTD | ZAR0 08 | 54,646 00 | 6 4958 | 354,969 46 | 13 0863 | 715,115 18 |
| RF- ACADIAN ASSET MANAGEMENT | SABMILLER PLC | USD0 10 | 60,700 00 | 11 8198 | 717,463 68 | 18 5652 | 1,126,909 74 |
| RF - MARATHON ASSET MGMT LTD | ANGLO AMERICAN | USD0 50 | 15,000 00 | 20 6755 | 310,133 24 | 33 6933 | 505,400 08 |
| | | | | | | | |
| | SPAIN | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | IBERDROLA SA | EUR3 | 44,200 00 | 6 0503 | 267,424 11 | 27 2358 | 1,203,822 69 |
| RF- MERCATOR ASSET MANAGEMENT | BBVA (BILB VIZ ARG) | EUR0 49 | 66,500 00 | 9 0405 | 601,194 20 | 17 7876 | 1,182,876 24 |
| RF- MERCATOR ASSET MANAGEMENT | REPSOL YPF SA | EUR1 | 48,200 00 | 16 6501 | 802,535 02 | 29 0995 | 1,402,595 72 |
| RF- ACADIAN ASSET MANAGEMENT | BCO SANT CENT HISP | EURO 50(REGD) | 105,672 00 | 11 9052 | 1,258,044 75 | 13 1520 | 1,389,796 19 |
| RF- ACADIAN ASSET MANAGEMENT | ACS ACTIVIDADES CO | EURO 5 | 10,524 00 | 26 8750 | 282,832 97 | 32 0956 | 337,773 60 |
| RF - CAPITAL GUARDIAN II | IBERDROLA SA | EUR3 | 6,600 00 | 24 1522 | 159,404 41 | 27 2358 | 179,756 33 |
| RF - CAPITAL GUARDIAN II | BBVA (BILB VIZ ARG) | EUR0 49 | 36,300 00 | 10 3063 | 374,117 38 | 17 7876 | 645,690 34 |
| RF - CAPITAL GUARDIAN II | REPSOL YPF SA | EUR1 | 27,300 00 | 25 7925 | 704,135 82 | 29 0995 | 794,416 25 |
| RF - CAPITAL GUARDIAN II | BCO SANT CENT HISP | EURO 50(REGD) | 22,200 00 | 10 8768 | 241,465 91 | 13 1520 | 291,973 99 |
| RF - CAPITAL GUARDIAN II | TELEFONICA SA | EUR 1 | 15,348 00 | 8 7439 | 134,201 00 | 14 9921 | 230,098 43 |

| | | | | | | Base Price | |
|-------------------------------|--------------------------------|------------------------------|--------------|----------------|-----------------|------------|-------------------|
| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Amount | Base Market Value |
| RF · CAPITAL GUARDIAN II | INDITEX | EUR0 15 | 7,200 00 | 20 6255 | 148,503 51 | 32 4966 | 233,975 52 |
| RF - ARTISAN PARTNERS | BBVA (BILB VIZ ARG) | EUR0 49 | 62,894 00 | 14 0495 | 883,632 22 | 17 7876 | 1,118,734 11 |
| RF - ARTISAN PARTNERS | PROMOTORA DE INFOR | EUR0 10 | 55,974 00 | 7 6799 | 429,872 48 | 16 9855 | 950,747 42 |
| RF - ARTISAN PARTNERS | INDITEX | EUR0 15 | 22,766 00 | 23 1048 | 526,003 29 | 32 4966 | 739,817 59 |
| RF · MARATHON ASSET MGMT LTD | NH HOTELES SA | EUR2 | 10,300 00 | 10 6098 | 109,281 11 | 15 6290 | 160,979 07 |
| RF - MARATHON ASSET MGMT LTD | PROSEGUR SEGURIDAD | EUR0 60(REGD) | 2,100 00 | 16 8554 | 35,396 38 | 22 7889 | 47,856 70 |
| RF - MARATHON ASSET MGMT LTD | ACCIONA S A | UER1 | 6,200 00 | 61 3550 | 380,401 30 | 111 4085 | 690,732 63 |
| RF - MARATHON ASSET MGMT LTD | VISCOFAN SA | EUR0 30 | 7,200 00 | 9 3315 | 67,187 08 | 10 9462 | 78,812 81 |
| RF - MARATHON ASSET MGMT LTD | BCO SANT CENT HISP | EURO 50(REGD) | 39,454 00 | 9 0456 | 356,886 42 | 13 1520 | 518,898 28 |
| RF - MARATHON ASSET MGMT LTD | SOGECABLE ORD SHS | EUR2 | 7,099 00 | 37 3467 | 265,124 30 | 39 9396 | 283,530 94 |
| RF - MARATHON ASSET MGMT LTD | TELEFONICA SA | EUR 1 | 22,884 00 | 13 6551 | 312,483 01 | 14 9921 | 343,078 74 |
| RF - MARATHON ASSET MGMT LTD | ACERINOX S A. ORD SHS | EUR 25 | 32,400 00 | 13 4502 | 435,787 12 | 14 4967 | 469,692 05 |
| RF - MARATHON ASSET MGMT LTD | BCO POPULAR ESP | EUR0 10 (POST SUBD) | 38,500 00 | 11 4295 | 440,035 74 | 12 1494 | 467,750 52 |
| | SWEDEN | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | ATLAS COPCO AB | SER A SEK1 25 | 48,100 00 | 8 6829 | 417,648 53 | 22 2401 | 1,069,748 45 |
| RF- ACADIAN ASSET MANAGEMENT | JM BYGG + FASTIGH | SEK4 SER B | 2,100 00 | 40 2178 | 84,457 35 | 44 2289 | 92,880 66 |
| RF- ACADIAN ASSET MANAGEMENT | FORENINGSSPARBK | SEK20 SER A | 34,200 00 | 22 9235 | 783,985 06 | 27 2033 | 930,352 07 |
| RF- ACADIAN ASSET MANAGEMENT | VOLVO(AB) | SEK6 SER B | 6,600 00 | 40 8085 | 269,336 11 | 47 0560 | 310,569 70 |
| RF- ACADIAN ASSET MANAGEMENT | NORDEA BANK AB | ORD EUR0 39632 | 120,000 00 | 9 7126 | 1,165,515 99 | 10 3661 | 1,243,937 38 |
| RF- ACADIAN ASSET MANAGEMENT | TELE2 AB | SER B SEK1 25 | 44,800 00 | 11 0336 | 494,304 41 | 10 7117 | 479,883 40 |
| RF - CAPITAL GUARDIAN II | ERICSSON L M TEL CO | ADR CL B SEK 10 NEW EXCHANGE | 15,300 00 | 29 8617 | 456,884 26 | 34 4000 | 526,320 00 |
| RF · CAPITAL GUARDIAN II | ERICSSON(LM)TEL | SEK1 SER B | 112,000 00 | 3 0244 | 338,732 12 | 3 4303 | 384,188 17 |
| RF - CAPITAL GUARDIAN II | SANDVIK AB | SEK6 | 4,900 00 | 43 0803 | 211,093 55 | 46 4906 | 227,803 89 |
| RF - MARATHON ASSET MGMT LTD | HOGANAS AG | ORD B SHS SEK5 | 5,100 00 | 24 5020 | 124,960 27 | 21 6118 | 110,220 39 |
| RF - MARATHON ASSET MGMT LTD | SVENSKA CELLULOSA | SER B SEK10 FREE | 8,100 00 | 37 4276 | 303,163 22 | 37 3181 | 302,276 78 |
| RF - MARATHON ASSET MGMT LTD | ASSA ABLOY | SEK1 SER B | 22,600 00 | 12 4828 | 282,110 87 | 15 7063 | 354,961 93 |
| RF - MARATHON ASSET MGMT LTD | SVENSKA HANDELSBANKEN SERIES A | SER A SEK4 30 | 22,000 00 | 19 7341 | 434,149 19 | 24 7531 | 544,568 14 |
| RF - MARATHON ASSET MGMT LTD | ERICSSON(LM)TEL | SEK1 SER B | 160,700 00 | 2 7283 | 438,442 95 | 3 4303 | 551,241 42 |
| | TAIWAN | | | | | | |
| RF- EMERGING MARKETS MGMT | CHUNGHWA TELECOM CO LTD | SPONSORED ADR | 6,500 00 | 18 9800 | 123,370 00 | 18 3500 | 119,275 00 |
| RF- EMERGING MARKETS MGMT | ADVANCED SEMICONDT | TWD10 (ASE) | 752,000 00 | 0 6194 | 465,801 01 | 0 9165 | 689,194 04 |
| RF- EMERGING MARKETS MGMT | MERRY ELECTRONICS | TWD10 | 151,000 00 | 2 1669 | 327,197 36 | 2 9230 | 441,372 59 |
| RF- EMERGING MARKETS MGMT | CATCHER TECHNOLOGY CO LTD | TWD10 | 175,047 00 | 1 8533 | 324,414 31 | 8 0687 | 1,412,400 05 |
| RF- EMERGING MARKETS MGMT | DELTA ELECTRONICS | TWD10 | 167,000 00 | 1 7541 | 292,940 14 | 2 0491 | 342,206 86 |
| RF- EMERGING MARKETS MGMT | CHUNGWHA TELECOM | TWD10 | 821,000 00 | 1 8340 | 1,505,717 62 | 1 7294 | 1,419,870 29 |
| RF- EMERGING MARKETS MGMT | NOVATEK MICROELECT | TWD10 | 89,956 00 | 2 4181 | 217,519 11 | 5 8764 | 528,621 26 |
| RF- EMERGING MARKETS MGMT | HON HAI PRECISION | TWD10 | 630,710 00 | 2 1284 | 1,342,431 20 | 5 4806 | 3,456,681 79 |
| RF- EMERGING MARKETS MGMT | HIGH TECH COMPUTER | TWD10 | 137,840 00 | 1 8054 | 248,856 24 | 18 7559 | 2,585,313 16 |
| RF- EMERGING MARKETS MGMT | CHINA TRUST FINANCE | TWD10 | 1,383,814 00 | 0 7825 | 1,082,862 51 | 0 7916 | 1,095,489 57 |
| RF- EMERGING MARKETS MGMT | TAIWAN SEMICON MAN | TWD10 | 2,042,543 00 | 1 2296 | 2,511,494 02 | 1 9030 | 3,886,945 09 |
| RF- ACADIAN ASSET MANAGEMENT | POWERCHIP SEMICOND | TWD10 | 224,000 00 | 0 7143 | 159,993 21 | 0 6592 | 147,660 08 |
| RF- ACADIAN ASSET MANAGEMENT | CHUNGWHA TELECOM | TWD10 | 181,000 00 | 1 7080 | 309,147 44 | 1 7294 | 313,028 65 |
| RF- ACADIAN ASSET MANAGEMENT | TAIWAN MOBILE CO | TWD10 | 50,000 00 | 0 8646 | 43,231 79 | 0 8739 | 43,692 72 |
| RF- ACADIAN ASSET MANAGEMENT | FORMOSA PLASTIC | TWD10 | 123,000 00 | 1 4814 | 182,216 22 | 1 5376 | 189,127 06 |
| RF- ACADIAN ASSET MANAGEMENT | CHI MEI OPTOELECTR | TWD10 | 225,000 00 | 1 1571 | 260,355 93 | 1 4798 | 332,947 66 |





| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|------------------------------|--------------------------------|--------------------------------|--------------|----------------|-----------------|----------------------|-------------------|
| RF- ACADIAN ASSET MANAGEMENT | UNITED MICRO ELEC | TWD10 | 794,000 00 | 0 6546 | 519,726 50 | 0 5663 | 449,666 60 |
| RF - CAPITAL GUARDIAN II | TAIWAN SEMICNDCTR MFG CO LTD | SPONSORED ADR | 5,800.00 | 7 8399 | 45,471 49 | 9 9100 | 57,478 00 |
| RF - ARTISAN PARTNERS | CHUNGHWA TELECOM CO LTD | SPONSORED ADR | 36,100 00 | 14 1002 | 509,018 90 | 18 3500 | 662,435 00 |
| RF - BAILLIE GIFFORD | TAIWAN FERTILIZER | TWD10 | 784,000 00 | 0 9609 | 753,310 41 | 1 1646 | 913,071 28 |
| RF - BAILLIE GIFFORD | CTCI CORP | TWD10 | 304,000 00 | 0 5650 | 171,751 37 | 0 4187 | 127,272 17 |
| RF - BAILLIE GIFFORD | FAR EAST DEPT | TWD10 | 1,102,500 00 | 0 4129 | 455,231 95 | 0 5937 | 654,591.54 |
| RF - BAILLIE GIFFORD | HON HAI PRECISION | TWD10 | 423,256 00 | 2 8085 | 1,188,716 42 | 5 4806 | 2,319,705 26 |
| RF - BAILLIE GIFFORD | SHIN KONG FINANCIAL | TWD10 | 770,749 00 | 0 9311 | 717,646 98 | 0 7779 | 599,599 21 |
| RF - BAILLIE GIFFORD | HIGH TECH COMPUTER | TWD10 | 82,000 00 | 11 2059 | 918,881 85 | 18 7559 | 1,537,983 74 |
| RF - BAILLIE GIFFORD | SINOPAC HLDG | TWD10 | 1,650,000 00 | 0 5224 | 861,923 53 | 0 4826 | 796,288 40 |
| RF - BAILLIE GIFFORD | TAIWAN SEMICON MAN | TWD10 | 582,000 00 | 1 6414 | 955,282 80 | 1 9030 | 1,107,541 94 |
| RF - APS ASSET MANAGEMENT | FU SHENG INDUSTRIA | TWD10 | 170,640 00 | 1 1320 | 193,158 86 | 1 2727 | 217,177 24 |
| RF - APS ASSET MANAGEMENT | BASSO INDUSTRY CORP | TWD10 | 78,540 00 | 2 1366 | 167,808 35 | 2 2653 | 177,918 46 |
| RF - APS ASSET MANAGEMENT | CATCHER TECHNOLOGY CO LTD | TWD10 | 27,380 00 | 3 4419 | 94,239 62 | 8 0687 | 220,920 74 |
| RF - APS ASSET MANAGEMENT | MEILOON INDUSTRIAL | TWD10 | 259,075 00 | 0 7136 | 184,864 02 | 0 5344 | 138,439 43 |
| RF - APS ASSET MANAGEMENT | FENG TAY ENTERPRISE | TWD10 | 275,400 00 | 1 0380 | 285,859 89 | 1 0657 | 293,487 20 |
| RF - APS ASSET MANAGEMENT | PIHSIANG MACHINERY | TWD10 | 64,640 00 | 1 9330 | 124,952 29 | 1 5315 | 98,998 02 |
| RF - APS ASSET MANAGEMENT | HON HAI PRECISION | TWD10 | 54,000 00 | 4 6686 | 252,103 42 | 5 4806 | 295,953 48 |
| RF - APS ASSET MANAGEMENT | NIEN HSING TEXTILE | TWD10 | 131,000 00 | 0 8386 | 109,858 78 | 0 6820 | 89,346 28 |
| RF - APS ASSET MANAGEMENT | DEPO AUTO PARTS IN | TWD10 | 98,215 00 | 2 9339 | 288,155 58 | 3 7908 | 372,309 70 |
| RF - APS ASSET MANAGEMENT | FOXCONN TECH CO | TWD10 | 26,400 00 | 2 4961 | 65,896 62 | 4 9782 | 131,425 27 |
| DE EMEDONIO MARKETO MONT | THAILAND | | | | | | |
| RF- EMERGING MARKETS MGMT | BANGKOK BANK | THB10(ALIEN MARKET) | 80,000 00 | 1 0006 | 80,046 56 | 2 8049 | 224,390 24 |
| RF- EMERGING MARKETS MGMT | SHIN CORPORATION | THB1(ALIEN MARKET) | 309,600 00 | 0 8878 | · | 0 9970 | 308,656 10 |
| RF- EMERGING MARKETS MGMT | ADVANCED INFO SERV | THB1 (ALIEN MARKET) | 77,800 00 | 0 8091 | 62,944 50 | 2 5854 | 201,141 46 |
| RF- EMERGING MARKETS MGMT | PTT PUBLIC COMPANY | THB10(ALIEN MARKET) | 109,400 00 | 4 7988 | 524,985 77 | 5 4634 | 597,697 56 |
| RF- EMERGING MARKETS MGMT | THAI UNION FROZEN | THB1 ALN MKT | 144,800 00 | 0 2856 | | 0 7805 | 113,014 63 |
| RF- EMERGING MARKETS MGMT | MDX PUBLIC CO LTD | THB10 (ALIEN MKT) | 161,900 00 | 2 8583 | 462,754 62 | • | • |
| RF- EMERGING MARKETS MGMT | SIAM CEMENT CO | THB1 (ALIEN MARKET) | 32,600 00 | 2 7006 | | 6 4390 | 209,912 20 |
| RF- EMERGING MARKETS MGMT | KASIKORNBANK PCL | THB10 (ALIEN MARKET) | 65,600 00 | 0 4656 | 30,546 07 | 1 8293 | 120,000 00 |
| RF- EMERGING MARKETS MGMT | HANA MICROELECTRNC | THB1 (ALIEN MKT) | 144,000 00 | 0 0235 | 3,386 24 | 0 6463 | 93,073 17 |
| RF- EMERGING MARKETS MGMT | TRUE CORPORATION PUBLIC CO LTD | PURCH RTS EX DATE 3APR00 ALIEN | 105,032 00 | - | • | • | • |
| RF- ACADIAN ASSET MANAGEMENT | CHAROEN POK FOODS | THB1 (ALIEN MKT) | 491,600 00 | 0 1521 | 74,795 73 | 0 1439 | • |
| RF - BAILLIE GIFFORD | TISCO FINANCE THB10(NVDR) | NON VTG DEP RECPT REP 1 LOCAL | 650,000 00 | 0 5674 | | 0 6768 | |
| RF · BAILLIE GIFFORD | BANGKOK BANK | THB10 (NVDR) | 391,000 00 | 2 6522 | | 2 5610 | |
| RF - BAILLIE GIFFORD | PTT EXPLORTN + PRD | THB5 (NVDR) | 97,500 00 | 7 3369 | • | 11 5122 | 1,122,439 02 |
| RF - BAILLIE GIFFORD | ADVANCED INFO SERV | THB1 (NVDR) | 422,600 00 | 2 2483 | | 2 6341 | 1,113,190 24 |
| RF - MARATHON ASSET MGMT LTD | ADVANCED INFO SERV | THB1 (ALIEN MARKET) | 270,900 00 | 2 0640 | · | 2 5854 | 700,375 61 |
| RF - MARATHON ASSET MGMT LTD | GMM GRAMMY PUBLIC | THB1 (ALIEN MKT) | 193,000 00 | 0 4006 | • | 0 3244 | • |
| RF - MARATHON ASSET MGMT LTD | MBK PCL | THB10(ALIEN MKT) | 24,000 00 | 1 2335 | 29,604 29 | 1 0854 | 26,048 78 |
| RF - MARATHON ASSET MGMT LTD | SIAM CEMENT CO | THB1 (ALIEN MARKET) | 74,000 00 | 5 6180 | | 6 4390 | · |
| RF - MARATHON ASSET MGMT LTD | NATIONAL FINANCE PUBLIC | THB10 (ALIEN MARKET) | 169,000 00 | 0 3468 | 58,617 48 | 0 3220 | 54,409 76 |
| RF - MARATHON ASSET MGMT LTD | KASIKORNBANK PCL | THB10 (ALIEN MARKET) | 187,000 00 | 1 1419 | 213,538 11 | 1 8293 | 342,073 17 |
| RF - MARATHON ASSET MGMT LTD | MATICHON | THB1(ALIEN MKT) | 59,000 00 | 0 2714 | 16,012 36 | 0 2585 | 15,253 66 |
| RF - MARATHON ASSET MGMT LTD | SIAM CEMENT CO | THB1 (NVDR) | 105,000 00 | 5 2760 | 553,981 47 | 5 9512 | 624,878 05 |
| RF - APS ASSET MANAGEMENT | CHAROEN POK FOODS | THB1 (ALIEN MKT) | 594,000 00 | 0 1071 | 63,620 54 | 0 1439 | 85,478 05 |



| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|-----------------------------|----------------------|------------|----------------|-----------------|----------------------|-------------------|
| RF - APS ASSET MANAGEMENT | HANA MICROELECTRNC | THB1 (ALIEN MKT) | 167,900 00 | 0 4949 | 83,097 61 | 0 6463 | 108,520 73 |
| | TURKEY | | | | | | |
| RF- EMERGING MARKETS MGMT | AKBANK | TRY1 | 24,461 00 | 1 5235 | 37,265 45 | 8 1391 | 199,090 64 |
| RF- EMERGING MARKETS MGMT | ALARKO HLDG | TRY1 | 3,590 00 | 19 8376 | 71,217 02 | 42 1754 | 151,409.54 |
| RF- EMERGING MARKETS MGMT | ARCELIK | TRY1 | 6,834 00 | 6 1731 | 42,186 82 | 6 9552 | 47,532 08 |
| RF- EMERGING MARKETS MGMT | T SISE CAM | TRY1 | 63,860 00 | 1 0243 | 65,414 92 | 3 4776 | 222,080 65 |
| RF- EMERGING MARKETS MGMT | TRAKYA CAM | TRY1 | 53,493 00 | 3 7374 | 199,925 41 | 3 8846 | 207,797 45 |
| RF- EMERGING MARKETS MGMT | TURK HAVA YOLLARI | TRY1 | 29,827 00 | 4 9411 | 147,377 25 | 6 2523 | 186,487 72 |
| RF- EMERGING MARKETS MGMT | TURKIYE GARANTI BANKASI | TRY1 | 74,503 00 | - | • | 3 6256 | 270,118 17 |
| RF- EMERGING MARKETS MGMT | TURKIYE IS BANKASI | TRY1 | 27,931 00 | 4 9744 | 138,939 38 | 8 6570 | 241,800 00 |
| RF- ACADIAN ASSET MANAGEMENT | MIGROS | TRY1 | 2,717 00 | 8 7915 | 23,886 58 | 9 6929 | 26,335 70 |
| RF- ACADIAN ASSET MANAGEMENT | PETKIM | TRY1 | 14,679 00 | 5 4177 | 79,526 75 | 5 8084 | 85,260 93 |
| RF- ACADIAN ASSET MANAGEMENT | TOFAS(TURK OTOMOBIL FAB) | TRY1 | 102,222 00 | 1 5765 | 161,153 86 | 2 1014 | 214,806 13 |
| RF- ACADIAN ASSET MANAGEMENT | TURK HAVA YOLLARI | TRY1 | 5,902 00 | 4 4607 | 26,327 19 | 6 2523 | 36,901 15 |
| RF- ACADIAN ASSET MANAGEMENT | TURKCELL ILETISIM | TRY1 | 82,348 00 | 5 7072 | 469,977 43 | 6 0673 | 499,632 70 |
| RF- ACADIAN ASSET MANAGEMENT | TUPRAS(T PETR RAF) | TRY1 | 46,426 00 | 14 6410 | 679,720 85 | 18 3500 | 851,916 24 |
| RF- ACADIAN ASSET MANAGEMENT | HACI OMER SABANCI HLDGS A S | TRY1 | 68,333 00 | 4 0917 | 279,598 47 | 5 6604 | 386,790 57 |
| RF - BAILLIE GIFFORD | DOGAN YAYIN HLDGS | TRY1 | 138,268 00 | 2 9393 | 406,416 96 | 3 9586 | 547,342 80 |
| RF - BAILLIE GIFFORD | TURKIYE GARANTI BANKASI | TRY1 | 493,703 00 | 0 8013 | 395,600 93 | 3 6256 | 1,789,970 18 |
| RF - BAILLIE GIFFORD | BIM BIRLESIK MAGAZ | TRY1 | 20,000 00 | 21 1111 | 422,222 20 | 24 7873 | 495,745 47 |
| RF - BAILLIE GIFFORD | TURKIYE VAKIFLAR | TRY1 | 74,800 00 | 4 1601 | 311,172 40 | 5 2904 | 395,723 27 |
| | UNITED KINGDOM | | | | | | |
| RF- MERCATOR ASSET MANAGEMENT | PEARSON | ORD GBP0 25 | 112,600 00 | 9 9694 | 1,122,552 36 | 11 8027 | 1,328,979 0 |
| RF- ACADIAN ASSET MANAGEMENT | XSTRATA | COM STK USD0 5 | 4,200 00 | 17 5541 | 73,727 12 | 23 3478 | 98,060 76 |
| RF- ACADIAN ASSET MANAGEMENT | ANTOFAGASTA HLDGS | ORD GBP0 05 | 83,720 00 | 27 0580 | 2,265,294 69 | 32 0861 | 2,686,244 7 |
| RF- MERCATOR ASSET MANAGEMENT | VODAFONE GROUP | ORD USD0 10 | 657,900 00 | 1 4715 | 968,091 37 | 2 1545 | 1,417,459 52 |
| RF- MERCATOR ASSET MANAGEMENT | ROYAL BK SCOT GRP | ORD GBP0 25 | 43,500 00 | 5 4087 | 235,277 19 | 30 1290 | 1,310,609 8 |
| RF- MERCATOR ASSET MANAGEMENT | LLOYDS TSB GROUP | ORD GBP0 25 | 144,600 00 | 6 6947 | 968,057 27 | 8 3863 | 1,212,662 40 |
| RF- MERCATOR ASSET MANAGEMENT | GLAXOSMITHKLINE | ORD GBP0 25 | 72,000 00 | 20 1383 | 1,449,954 93 | 25 2191 | 1,815,772 13 |
| RF- MERCATOR ASSET MANAGEMENT | MARKS + SPENCER GP | ORD GBP0 25 | 206,100 00 | 5 0104 | 1,032,653 59 | 8 6696 | 1,786,801 97 |
| RF- MERCATOR ASSET MANAGEMENT | KINGFISHER | ORD GBP0 157142857 | 312,800 00 | 4 9599 | 1,551,458 95 | 4 0730 | 1,274,031 0 |
| RF- MERCATOR ASSET MANAGEMENT | GROUP 4 SECURICOR | ORD GBP0 25 | 424,300 00 | 2 6639 | 1,130,304 39 | 2 7640 | 1,172,751 40 |
| RF- MERCATOR ASSET MANAGEMENT | WPP GROUP | ORD GBP0 23 | 119,100 00 | 10 6227 | 1,265,168 44 | 10 7984 | 1,286,084 37 |
| RF- ACADIAN ASSET MANAGEMENT | AMLIN | ORD GBP0 10 | 51,600 00 | 3 1206 | 161,022 54 | 4 2661 | 220,131 9 |
| RF- ACADIAN ASSET MANAGEMENT | ASHTEAD GROUP | ORD GBP0 23 | 37,697 00 | 1 9013 | 71,673 14 | 3 1245 | 117,783 7 |
| RF- ACADIAN ASSET MANAGEMENT | BARRATT DEVEL | ORD GBP0 10 | 12,310 00 | 4 3524 | 53,578 45 | 16 9272 | 208,373 2 |
| RF- ACADIAN ASSET MANAGEMENT | SABMILLER PLC | ORD USD0 10 | 67,300 00 | | | | |
| RF- ACADIAN ASSET MANAGEMENT | | | | 14 3292 | 964,354 52 | 18 2147 | 1,225,850 4 |
| RF- ACADIAN ASSET MANAGEMENT | HSBC HLDGS | ORD ORBO OF | 230,912 00 | 15 6998 | 3,625,278 66 | 16 0173 | 3,698,581 5 |
| RF- ACADIAN ASSET MANAGEMENT | NATL EXPRESS GRP | ORD ORDO 50 | 7,500 00 | 16 0742 | 120,556 80 | 14 7726 | 110,794 7 |
| | | ORD GRP0 50 | 51,900 00 | 2 4548 | 127,404 62 | 4 1116 | 213,392 8 |
| RF- ACADIAN ASSET MANAGEMENT | CARILLION | ORD GRP0 50 | 10,100 00 | 4 3264 | 43,696 98 | 5 2533 | 53,057 8 |
| RF- ACADIAN ASSET MANAGEMENT | SCOT + SOUTHERN EN | ORD GBP0 50 | 68,440 00 | 17 4817 | 1,196,446 58 | 17 4078 | 1,191,392 90 |
| RF- ACADIAN ASSET MANAGEMENT | BP PLC | ORD USDO 25 | 48,300 00 | 6 4036 | 309,291 72 | 10 6267 | 513,268 70 |
| RF- ACADIAN ASSET MANAGEMENT | CORUS GROUP | ORD GBP0 10 | 73,242 00 | 1 0224 | 74,881 47 | 1 0129 | 74,185 54 |
| RF- ACADIAN ASSET MANAGEMENT | GLAXOSMITHKLINE | ORD GBP0 25 | 3,000 00 | 19 0444 | 57,133 29 | 25 2191 | 75,657 |

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--------------------------------|----------------------------|----------------------------------|------------|----------------|-------------------------|----------------------|-------------------------|
| RF- ACADIAN ASSET MANAGEMENT | KELDA GROUP | ORD GBX15 55555 | 19,500 00 | 7 0097 | 136,690 02 | 13 2876 | 259,109 08 |
| RF- ACADIAN ASSET MANAGEMENT | ASTRAZENECA | ORD USD0 25 | 70,880 00 | 44 2599 | 3,137,144 23 | 48 5669 | 3,442,418 83 |
| RF- ACADIAN ASSET MANAGEMENT | HBOS | ORD GBP0 25 | 75,575 00 | 10 2330 | 773,358 33 | 17 0473 | 1,288,351 77 |
| RF- ACADIAN ASSET MANAGEMENT | MARKS + SPENCER GP | ORD GBP0 25 | 32,445 00 | 7 9728 | 258,677 90 | 8 6696 | 281,284 76 |
| RF- ACADIAN ASSET MANAGEMENT | BARCLAYS | ORD GBP0 25 | 127,100.00 | 7 4996 | 953,197 10 | 10 4893 | 1,333,195 42 |
| RF- ACADIAN ASSET MANAGEMENT | NORTHUMBRIAN WATER | ORD GBP0 10 | 30,179 00 | 3 8550 | 116,339 49 | 4 1803 | 126,156 87 |
| RF- ACADIAN ASSET MANAGEMENT | NETELLER | ORD GBP1 | 20,871 00 | 11 0330 | 230,270 18 | 12 6181 | 263,352 62 |
| RF- ACADIAN ASSET MANAGEMENT | ROYAL DUTCH SHELL B SHARES | EUR0 07 | 4,769 00 | 31 7957 | 151,633 78 | 31.8972 | 152,117 82 |
| RF - CAPITAL GUARDIAN II | ASTRAZENECA PLC | SPONSORED ADR | 45,600 00 | 41 5307 | 1,893,798 23 | 48 6000 | 2,216,160 00 |
| RF - CAPITAL GUARDIAN II | BHP BILLITON PLC' | ORD USD0 5 | 17,450 00 | 4 6579 | 81,280 20 | 16 3005 | 284,444 44 |
| RF - CAPITAL GUARDIAN II | ARM HLDGS | ORD GBP0 0005 | 35,700 00 | 3 2206 | 114,976 53 | 2 0773 | 74,158 45 |
| RF - CAPITAL GUARDIAN II | BRADFORD + BINGLEY | ORD GBP0 25 | 43,700 00 | 6 3770 | 278,676 47 | 7 0473 | 307,965 20 |
| RF - CAPITAL GUARDIAN II | DIAGEO | ORD GBX28 935185 | 21,400 00 | 11 5497 | 247,164 63 | 14 4636 | 309,521 44 |
| RF - CAPITAL GUARDIAN II | STANDARD CHARTERED | ORD USD0 50 | 13,900 00 | 9 7128 | 135,008 58 | 22 2319 | 309,023 58 |
| RF - CAPITAL GUARDIAN II | HSBC HLDGS | ORD USDO 50(UK REG) | 10,700 00 | 10 5564 | 112,953 03 | 16 0173 | 171,384 87 |
| RF - CAPITAL GUARDIAN II | CADBURY SCHWEPPES | ORD GBP0 125 | 17,200 00 | 10 6731 | 183,576 82 | 9 4335 | 162,256 91 |
| RF - CAPITAL GUARDIAN II | PEARSON | ORD GBP0 25 | 15,500 00 | 8 7974 | 136,359 40 | 11 8027 | 182,941 17 |
| RF - CAPITAL GUARDIAN II | VODAFONE GROUP | ORD USD0 10 | 753,000 00 | 1 5714 | 1,183,239 93 | 2 1545 | 1,622,354 49 |
| RF - CAPITAL GUARDIAN II | RECKITT BENCKISER PLC | ORD GBP0 105263 | 5,600 00 | 32 1754 | 180,182 00 | 32 9616 | 184,584 96 |
| RF - CAPITAL GUARDIAN II | REED ELSEVIER PLC | ORD GBP0 125 | 24,200 00 | 8 0948 | 195,895 09 | 9 3735 | 226,837 61 |
| RF - CAPITAL GUARDIAN II | ROYAL BK SCOT GRP | ORD GBP0 25 | 28,800 00 | 27 2387 | 784,475 04 | 30 1290 | 867,714 11 |
| RF - CAPITAL GUARDIAN II | ASTRAZENECA | ORD USD0 25 | 2,000 00 | 46 8522 | 93,704 32 | 48 5669 | 97,133 71 |
| RF - CAPITAL GUARDIAN II | HBOS | ORD GBP0 25 | 33,700 00 | 12 3983 | 417,824 23 | 17 0473 | 574,494 93 |
| RF - CAPITAL GUARDIAN II | TI AUTOMOTIVE | A SHS GBP0 0001 | 91,700 00 | - | • | - | • |
| RF - CAPITAL GUARDIAN II | ROLLS ROYCE GROUP | ORD GBP0 20 | 30,180 00 | 5 0741 | 153,137 33 | 7 3391 | 221,494 22 |
| RF - ARTISAN PARTNERS | BRITISH SKY BROADCAST | ORD GBP0 50 | 157,383 00 | 10 3925 | 1,635,608.78 | 8 5237 | 1,341,479 77 |
| RF - ARTISAN PARTNERS | MORRISON(W)SUPRMKT | ORD GBP0 10 | 342,417 00 | 3 3820 | 1,158,044 45 | 3 3219 | 1,137,478 88 |
| RF - ARTISAN PARTNERS | CADBURY SCHWEPPES | ORD GBP0 125 | 70,322 00 | 9 7660 | 686,763 09 | 9 4335 | 663,385 48 |
| RF - ARTISAN PARTNERS | TESCO | ORD GBP0 05 | 209,327 00 | 3 3808 | 707,697 21 | 5 6910 | 1,191,285 45 |
| RF · ARTISAN PARTNERS | SMITH + NEPHEW | ORD GBP0 1222 | 20,711 00 | 9 7889 | 202,738 83 | 9 1932 | 190,400 29 |
| RF · ARTISAN PARTNERS | CARNIVAL PLC | ORD USD1 66 | 16,775 00 | 51 6991 | 867,252 84 | 56 6528 | 950,349 87 |
| RF - ARTISAN PARTNERS | BARCLAYS | ORD GBP0 25 | 34,124 00 | 10 4776 | 357,536 25 | 10 4893 | 357,938 32 |
| RF - ARTISAN PARTNERS | KINGFISHER | ORD GBP0 157142857 | 510,028 00 | 4 5978 | 2,345,022 36 | 4 0730 | 2,077,338 61 |
| RF - ARTISAN PARTNERS | ITV | ORD GBP0 10 | 638,550 00 | 1 3717 | 875.928 50 | 1 9313 | 1,233,259 54 |
| RF - BAILLIE GIFFORD | LONMIN | ORD USD1 | 26,000 00 | 19 1431 | 497,721 11 | 27 6912 | 719,970 61 |
| RF - BAILLIE GIFFORD | PETER HAMBRO MININ | ORD GBP0 01 | 19,500 00 | 14 1526 | 275,975 91 | 15 8456 | 308,989 25 |
| RF - BAILLIE GIFFORD | ASTRO ALL ASIA NET | ORD GBP0 10 | 490,000 00 | 1 3808 | 676,592 30 | 1 3891 | 680,645 59 |
| RF · MARATHON ASSET MGMT LTD | ASSOC BRIT PORTS | ORD GBP0 25 | 47,500 00 | 7 8723 | 373,934 30 | 10 0773 | 478,672 81 |
| RF - MARATHON ASSET MGMT LTD | BAA | ORD GBP 1 | 36,300 00 | 10 1563 | 368,673 87 | 10 7640 | 390,734 01 |
| RF - MARATHON ASSET MGMT LTD | ENODIS PLC | ORD GBP0 10 GBP | 92,200 00 | 1 6476 | 151,909 61 | 2 2232 | 204,978 23 |
| RF · MARATHON ASSET MGMT LTD | AMVESCAP | ORD USD0 10 | 52,400 00 | 6 1950 | 324,619 15 | 7 5880 | 397,613 03 |
| RF - MARATHON ASSET MGMT LTD | CABLE + WIRELESS | ORD G8P0 25 | 177,200 00 | 2 3530 | 416,944 16 | 2 0472 | 362,768 16 |
| RF - MARATHON ASSET MGMT LTD | CAPITA GROUP | ORD GBP0 23 | 61,100 00 | 5 9576 | 364,007 75 | 7 1546 | 437,143 35 |
| RF - MARATHON ASSET MGMT LTD | ARRIVA | ORD GBP0 02 | 46,700 00 | 7 4176 | 346,403 51 | 10 0001 | 467,003 21 |
| RF - MARATHON ASSET MGMT LTD | DIAGEO | ORD GBP0 05 ORD GBX28 935185 | 36,700 00 | 13 6214 | 499,906 26 | 14 4636 | 530,814 80 |
| RF - MARATHON ASSET MGMT LTD | BAE SYSTEMS | ORD GBA28 933183 ORD GBP0 025 | 115,100 00 | 3 7868 | 435,859 88 | 6 5537 | 754,330 07 |
| RF - MARATHON ASSET MGMT LTD | DEVRO | ORD GBP0 025 ORD GBP0 10 | 34,800 00 | 1 9707 | 435,859 88 68,581 97 | | 754,330 07 76,620 27 |
| III WATER TO PROSE I WIGHT LID | 52410 | OND GDEV TO | 34,000 00 | 19/0/ | 00,001 9/ | 2 2017 | /0,020 2/ |

| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|-------------------------------|--------------------------------|-------------------------------|----------------|----------------|-----------------|----------------------|-------------------|
| RF - MARATHON ASSET MGMT LTD | PROVIDENT FINL | ORD GBX10 363636 | 27,800 00 | 11 5885 | 322,160 31 | 9 3992 | 261,297 93 |
| RF - MARATHON ASSET MGMT LTD | HAYS | ORD GBP0 01 | 80,800 00 | 2 4509 | 198,034 99 | 2.1545 | 174,085 32 |
| RF - MARATHON ASSET MGMT LTD | REXAM | ORD | 17,300 00 | 9 1131 | 157,657 35 | 8 7211 | 150,874 86 |
| RF - MARATHON ASSET MGMT LTD | HILTON GROUP | ORD GBP0 10 | 40,500 00 | 4 9587 | 200,826 38 | 6 2404 | 252,735 64 |
| RF - MARATHON ASSET MGMT LTD | COMPASS GROUP | ORD GBP0 10 | 75,500 00 | 5 1207 | 386,609 32 | 3 7854 | 285,800 25 |
| RF - MARATHON ASSET MGMT LTD | PILKINGTON | ORD GBP0 50 | 208,400 00 | 1 7151 | 357,427 79 | 2 5580 | 533,078 34 |
| RF - MARATHON ASSET MGMT LTD | RIO TINTO | ORD GBP0 10(REGD) | 20,100 00 | 23 8605 | 479,595 45 | 45 5797 | 916,152 21 |
| RF - MARATHON ASSET MGMT LTD | VODAFONE GROUP | ORD USD0 10 | 154,600 00 | 2 3300 | 360,214 91 | 2 1545 | 333,088 98 |
| RF - MARATHON ASSET MGMT LTD | RECKITT BENCKISER PLC | ORD GBP0 105263 | 15,300 00 | 28 5952 | 437,506 09 | 32 9616 | 504,312 48 |
| RF - MARATHON ASSET MGMT LTD | REED ELSEVIER PLC | ORD GBP0 125 | 51,200 00 | 9 7718 | 500,314 47 | 9 3735 | 479,920 89 |
| RF - MARATHON ASSET MGMT LTD | BP PLC | ORD USDO 25 | 42,300 00 | 9 3610 | 395,971 23 | 10 6267 | 449,508 67 |
| RF - MARATHON ASSET MGMT LTD | SAGE GROUP | ORD GBP0 01 | 98,000 00 | 3 2951 | 322,915 98 | 4 4292 | 434,063 07 |
| RF - MARATHON ASSET MGMT LTD | INVENSYS | ORD GBP0 01 | 516,600 00 | 0 2807 | 145,007 48 | 0 3176 | 164,071 51 |
| RF - MARATHON ASSET MGMT LTD | SMITHS GROUP | ORD GBP0 25 | 19,200 00 | 13 0240 | 250,060 67 | 17 9572 | 344,778 33 |
| RF - MARATHON ASSET MGMT LTD | TESCO | ORD GBP0 05 | 85,200 00 | 4 9311 | 420,129 89 | 5 6910 | 484,875 43 |
| RF - MARATHON ASSET MGMT LTD | BT GROUP | ORD GBP0 05 | 48,900 00 | 3 5846 | 175,286 21 | 3 8241 | 186,996 56 |
| RF - MARATHON ASSET MGMT LTD | CARNIVAL PLC | ORD USD1 66 | 7,000 00 | 47 4268 | 331,987 73 | 56 6528 | 396,569 25 |
| RF - MARATHON ASSET MGMT LTD | BARCLAYS | ORD GBP0 25 | 56,300 00 | 8 9247 | 502,460 50 | 10 4893 | 590,549 98 |
| RF - MARATHON ASSET MGMT LTD | INTERTEK GROUP PLC | ORD GBP0 01 | 26,700 00 | 10 3329 | 275,888 14 | 11 9657 | 319,485 46 |
| RF - MARATHON ASSET MGMT LTD | BOOTS GROUP | ORD GBP0 25 | 20,400 00 | 12 1416 | 247,689 31 | 10 3863 | 211,881 28 |
| RF - MARATHON ASSET MGMT LTD | HANSON | ORD GBP0 10 | 46,100 00 | 7 5506 | 348,082 98 | 10 9700 | 505,718 49 |
| RF - MARATHON ASSET MGMT LTD | ICAP | ORD GBP0 10 | 63,900 00 | 4 8992 | 313,061 83 | 6 9528 | 444,286 31 |
| RF - MARATHON ASSET MGMT LTD | ENTERPRISE INNS | ORD GBP0 05 | 11,300 00 | 10 3677 | 117,155 27 | 16 1031 | 181,965 20 |
| RF - MARATHON ASSET MGMT LTD | ITV | ORD GBP0 10 | 110,800 00 | 2 4088 | 266,891 26 | 1 9313 | 213,992 89 |
| RF - MARATHON ASSET MGMT LTD | HOMESERVE PLC | ORD GBP0 125 | 1,400 00 | 18 2371 | 25,531 88 | 20 7898 | 29,105 78 |
| RF - MARATHON ASSET MGMT LTD | STAGECOACH GROUP | ORD GBP0 0063157 | 155,958 00 | 1 9969 | 311,436 12 | 1 9828 | 309,240 73 |
| RF - MARATHON ASSET MGMT LTD | ROYAL DUTCH SHELL B SHARES | EUR0 07 | 24,883 00 | 26 9590 | 670,820 42 | 31 8972 | 793,698 39 |
| RF - MARATHON ASSET MGMT LTD | MYTRAVEL GROUP | ORD GBP0 30 | 37,733 00 | 2 8237 | 106,545 05 | 3 9914 | 150,609 15 |
| RF - MARATHON ASSET MGMT LTD | BUNZL | ORD GBP0 3214857 | 10,188 00 | 8 3783 | 85,358 42 | 10 9529 | 111,587 79 |
| RF - MARATHON ASSET MGMT LTD | WPP GROUP | ORD GBP0 10 | 23,200 00 | 10 3585 | 240,317 94 | 10 7984 | 250,521 89 |
| | VENEZUELA | | | | | | |
| RF- EMERGING MARKETS MGMT | F V I FONDO DE VALORES | SPONSORED GDR REPSTG CL B SHS | 27,274 00 | 5 2773 | 143,932 47 | 2 6100 | 71,185 14 |
| RF- EMERGING MARKETS MGMT | INTL BRIQUETTES HOLDING | | 262 00 | 20 0294 | 5,247 70 | - | |
| RF- ACADIAN ASSET MANAGEMENT | COMPANIA ANON NACL TELE DE VEZ | SPON ADR REPST 7 CL D SHRS | 13,600 00 | 14 8587 | 202,077 78 | 14 3000 | 194,480 00 |
| | VIRGIN ISLANDS, BRITISH | | | | | | |
| RF - WELLINGTON MANAGEMENT CO | UTI WORLDWIDE INC | SHS | 34,000 00 | 94 1024 | 3,199,480 87 | 92 8400 | 3,156,560 00 |
| | TOTAL FOREIGN COMMON STOCK | | 119,044,547.33 | | 541,567,586.06 | | 740,031,881.51 |
| | PREFERRED STOCK | | | | | | |
| | BRAZIL | | | | | | |
| RF- EMERGING MARKETS MGMT | TAM SA | PRF NPV | 16,400 00 | 7 4665 | 122,450 54 | 19 0109 | 311,779 06 |
| RF- EMERGING MARKETS MGMT | BRASIL TELECOM SA | PREF SHS NPV | 55,633 00 | - | • | 0 0043 | 239 40 |
| RF- EMERGING MARKETS MGMT | TELEMAR NORTE LEST | PRF A NPV | 8,123 00 | 13 4877 | 109,560 78 | 27 1890 | 220,856 56 |
| RF- EMERGING MARKETS MGMT | TELE CENTRO OESTE | PRF NPV | 1 00 | 8 9900 | 8 99 | 11 4665 | 11 47 |





| | | | | | | Base Price | |
|---------------------------|------------------------|--------------------------|----------------|----------------|----------------------|------------|-------------------|
| Fund Name | Security Name | Security Description | Shares | Base Unit Cost | Base Total Cost | Amount | Base Market Value |
| RF - BAILLIE GIFFORD | VALE RIO DOCE(CIA) | PREF A NPV | 27,600 00 | 13 8412 | 382,018 25 | 35 8596 | 989,723 83 |
| RF - BAILLIE GIFFORD | AES TIETE SA | PREF A NPV | 28,600,000 00 | 0 0164 | 468,219 21 | 0 0218 | 623,309 78 |
| RF - BAILLIE GIFFORD | ITAUSA INV ITAU SA | PREF NPV | 662,550 00 | 2 1890 | 1,450,307 20 | 3 1685 | 2,099,280 67 |
| RF - BAILLIE GIFFORD | NET SERVICOS DE CO | PRF NPV | 2,023,881 00 | 0 1888 | 382,188 74 | 0 4581 | 927,233 00 |
| | CHILE | | | | | | |
| RF- EMERGING MARKETS MGMT | EMBOTELLA ANDINA | PRF B NPV | 88,313 00 | 2 4278 | 214,407 86 | 2 3826 | 210,412 77 |
| | GERMANY | | | | | | |
| RF - ARTISAN PARTNERS | PROSIEBENSAT1 MEDIA AG | NPV PREF | 60,409 00 | 17 4116 | 1,051,814 65 | 19 2856 | 1,165,026 29 |
| | KOREA, REPUBLIC OF | | | | | | |
| RF- EMERGING MARKETS MGMT | HYUNDAI MOTOR CO | 2ND PFD KRW5000 | 11,920 00 | 10 3735 | 123,651 88 | 67 8637 | 808,935 05 |
| | PREFERRED STOCK TOTAL | | 31,554,830.00 | | 4,304,628.10 | | 7,356,807.88 |
| | COMMON STOCK TOTAL | aranan u u u uuma r - mu | 355,824,261.99 | | 1,643,629,008.00 | | 1,984,397,021.84 |
| | PREFERRED STOCK TOTAL | | 31,617,926.01 | | 7,548,171.51 | | . 8,385,039.88 |
| | REAL ESTATE TOTAL | - | 747,125.00 | | <u>45,651,011,51</u> | , , | 50,166,063.16 |
| | | | 388,189,313.00 | | 1,696,828,189.02 | | 2,042,948,124.88 |

| | | | | | Base Unit | | Base Price Amount | |
|-----------------------------|--------------------------------|------------------------|----|--------------|-----------|-----------------|----------------------|-------------------|
| Fund Name | Security Name | Security Description | | Par Value | Cost | Base Total Cost | Amount | Base Market Value |
| | | FIXED INCOME SECURITIE | S | | | | | |
| | DOMESTIC CORPORATE BONDS | | | | | | | |
| RF- EMERGING MARKETS MGMT | IRSA INVERSIONES Y REP | 100% 14 Nov 2007 | | 24,294 00 | 100 0000 | 24,294 00 | 210 0000 | 51,017 40 |
| RF- WHIPPOORWILL ASSOCIATES | BDK HLDGS INC | 9% 15 May 2007 | | 41,170 00 | 100 0000 | 41,170 00 | 0 0300 | 12 35 |
| RF- WHIPPOORWILL ASSOCIATES | CROWN PACKAGING HLDGS | 12 25% 01 Nov 2023 | | 9,254,000 00 | • | • | - | • |
| RF- WHIPPOORWILL ASSOCIATES | MAXWELL SR BK DEBT RABO BANK | | 0% | 4,534,225 00 | - | • | 0 0200 | 906 85 |
| RF- WHIPPOORWILL ASSOCIATES | MAXWELL SR BK DEBT SWISS BANK | | 0% | 1,620,000 00 | • | • | 0 0200 | 324 00 |
| RF- WHIPPOORWILL ASSOCIATES | MAXWELL SR BANK DEBT/FRANKLIN | | 0% | 900,000 00 | • | • | 0 0200 | 180 00 |
| RF- WHIPPOORWILL ASSOCIATES | TOKHEIM SPECIAL | 16% 20 Oct 2005 | | 3,364,489 74 | 40 8002 | 1,372,719 23 | 5 0000 | 168,224 49 |
| RF - PIMCO | ACE SECS CORP HOME EQUITY LN T | 4 30125% 25 Oct 2035 | | 730,469 84 | 100 0000 | 730,469 84 | 100 0156 | 730,583 79 |
| RF - PIMCO | AMERIQUEST MTG SECS INC | 4 5975% 25 Jun 2034 | | 196,720 40 | 99 8960 | 196,515 87 | 100 2188 | 197,150 82 |
| RF - PIMCO | BANC AMER MTG SECS INC | 6 5% 25 Feb 2033 | | 314,797 76 | 102 7031 | 323,307 14 | 100 8009 | 317,318 82 |
| RF - PIMCO | BANK AMER MTG SECS INC | 1% 20 Jul 2032 | | 19,438 66 | 102 4141 | 19,907 93 | 100 3499 | 19,506 68 |
| RF - PIMCO | BEAR STEARNS ARM TR | 3 86707% 25 Jul 2034 | | 1,692,229 47 | 99 8437 | 1,689,585 35 | 98 2776 | 1,663,082 85 |
| RF - PIMCO | BEAR STEARNS ARM TR | 5 620492% 25 Feb 2033 | | 114,679 90 | 102 4062 | 117,439 38 | 99 6475 | 114,275 61 |
| RF - PIMCO | BEAR STEARNS ARM TR | 5 358131% 25 Sep 2034 | | 2,479,917 89 | 100 5000 | 2,492,317 49 | 99.2903 | 2,462,316 67 |
| RF - PIMCO | CIT GRP INC MED TERM SR NTS | 4 589415% 23 May 2008 | | 300,000 00 | 100 0000 | 300,000 00 | 100 1938 | 300,581 43 |
| RF - PIMCO | CHARLIE MAC TR | 5 25% 25 Aug 2034 | | 2,296,728 67 | 98 8750 | 2,270,890 46 | 98 9650 | 2,272,958 22 |
| RF - PIMCO | CITIGROUP INC | 4 5412% 26 Dec 2008 | • | 200,000 00 | 100 0000 | 200,000 00 | 99 9160 | 199,832 02 |
| RF - PIMCO | DENVER ARENA TR | 6 94% 15 Nov 2019 | | 409,318 14 | 104 5000 | 427,737 45 | 101 4773 | 415,365 00 |
| RF - PIMCO | FINANCIAL ASSET SECS CORP | 4 29125% 26 Nov 2035 | | 495,539 26 | 99 9988 | 495,533 31 | 99 9844 | 495,461 96 |
| RF - PIMCO | FIRST HORIZON MTG PASSTHRU TR | 5 5% 25 Jan 2035 | | 600,000 00 | 96 3086 | 577,851 45 | 94 1060 | 564,636 12 |
| RF - PIMCO | FREMONT HOME LN TR | 4 30125% 25 Feb 2035 | | 940 02 | 100 0000 | 940 02 | 100 0000 | 940 02 |
| RF - PIMCO | GOLDMAN SACHS GROUP INC MTN | 1% 22 Dec 2008 | | 300,000 00 | 100 0000 | 300,000 00 | 99 8032 | 299,409 54 |
| RF - PIMCO | HSBC FIN CORP | 4 62125% 15 Sep 2008 | | 400,000 00 | 100 0000 | 400,000 00 | 99 7437 | 398,974 88 |
| RF - PIMCO | HSBC FIN CORP MTN | 4 35% 10 May 2007 | | 200,000 00 | 100 0000 | 200,000 00 | 100 0360 | 200,072 00 |
| RF - PIMCO | HARBORVIEW MTG LN TR | 1% 19 May 2035 | | 264,951.10 | 100 0000 | 264,951 10 | 99 9012 | 264,689 30 |
| RF - PIMCO | HOUSEHOLD MTG LN TR | 4 50938% 20 Feb 2033 | | 113,235 72 | 100 1484 | 113,403 81 | 100 0132 | 113,250 66 |
| RF - PIMCO | LONG BEACH MTG LN TR | 4 31125% 25 Sep 2035 | | 171,065 10 | 100 0000 | 171,065 10 | 100 0156 | 171,091 79 |
| RF - PIMCO | NAAC REPERFORMING LN REMIC TR | 6 5% 25 Mar 2034 | | 1,715,719 43 | 106 2500 | 1,822,951 89 | 102 2500 | 1,754,323 12 |
| RF - PIMCO | NEW CENTY HOME EQUITY LN TR | 3 67% 25 Sep 2035 | | 163,155 05 | 100 0000 | 163,155 05 | 100 0156 | 163,180 50 |
| RF - PIMCO | REPUBLIC NY CORP | 9 5% 15 Apr 2014 | | 700,000 00 | 133 7484 | 936,238 58 | 127 9479 | 895,635 16 |
| RF - PIMCO | RESIDENTIAL ASSET MTG PRODS | 4 53875% 25 Sep 2013 | | 171,626 05 | 100 0000 | 171,626 05 | 100 0156 | 171,652 82 |
| RF - PIMCO | SACOITR | 4 3812499% 25 Jul 2019 | | 32,168 19 | 100 0000 | 32,168 19 | 100 0111 | 32,171 77 |
| RF - PIMCO | SMALL BUSINESS ADMIN | 1% 01 Jul 2024 | | 478,237 12 | 100 0000 | 478,237 12 | 100 8130 | 482,125 19 |
| RF - PIMCO | SMALL BUSINESS ADMIN | 4 88% 01 Nov 2024 | | 965,834 30 | 100 0000 | 965.834 30 | 99 0630 | 956,784 43 |
| RF - PIMCO | SMALL BUSINESS ADMIN | 5 11% 01 Aug 2025 | | 1,100,000 00 | 100 0000 | 1,100,000 00 | 100 2190 | 1,102,409 00 |
| RF - PIMCO | SMALL BUSINESS ADMIN PARTN CTF | 7 452% 01 Sep 2010 | | 306,762 93 | 109 8750 | 337,055 78 | 106 0310 | 325,263 80 |
| RF - PIMCO | SMALL BUSINESS ADMIN PARTN CTF | 6 64% 10 Feb 2011 | | 802,349 22 | 103 9844 | 834,317 82 | 104 5940 | 839,209 14 |
| RF - PIMCO | SMALL BUSINESS ADMIN PARTN CTF | 6 344% 10 Aug 2011 | | 756,000 34 | 106 4062 | 804,431 60 | 103 9690 | 786,005 99 |
| RF - PIMCO | STRUCTURED ASSET MTG INVTS INC | 4 57938% 19 Oct 2033 | | 254,671 33 | 100 0000 | 254,671 33 | 100 1691 | 255.101 95 |
| RF - PIMCO | STRUCTURED ASSET MITG INVISING | 6 375% 25 Aug 2032 | | 78,037 74 | 102 8125 | 80,232 54 | 99 8901 | 77,951 99 |
| RF - PIMCO | STRUCTURED ASSET SECS CORP | 6 15% 25 Jul 2032 | | 129,592 61 | 102 3126 | 132,589 58 | 100 1334 | 129,765 45 |
| RF - PIMCO | WAMU MTG PASS THROUGH CTFS | | | ••• | 102 3126 | 1,220,711 38 | 98 9912 | 1,182,529 36 |
| THE P INVIOL | WAND WITG FASS THROUGH CIFS | 5 25% 25 Jan 2018 | | 1,194,579 92 | 102 10/5 | 1,220,71138 | 30 3312 | 1,102,329 30 |

| Fund Name | Security Name | Security Description | Par Value | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--------------------|-------------------------------|----------------------|--------------|-------------------|-----------------|----------------------|-------------------|
| RF - PIMCO | WAMU MTG PASS THROUGH CTFS | 2 85% 25 Jun 2042 | 164,460 99 | 100 8906 | 165,925 72 | 100 3120 | 164,974 11 |
| RF - PIMCO | WAMU MTG PASS THROUGH CTFS | 1% 25 Oct 2032 | 161,955 70 | 101 3750 | 164,182 60 | 99 6450 | 161,380 77 |
| RF - PIMCO | WASHINGTON MUT MTG SECS CORP | 5 3925% 25 Feb 2033 | 122,036 54 | 101 9062 | 124,362 86 | 99 6999 | 121,670 33 |
| RF - PIMCO | WELLS FARGO HOME EQUITY | 1% 25 Feb 2018 | 118,602 67 | 100 0000 | 118,602 66 | 100 0156 | 118,621 17 |
| RF - GOLDMAN SACHS | ABN AMRO MTG CORP | 5 5% 25 Jun 2033 | 348,858 56 | 12 2188 | 42,626 17 | 10 2290 | 35,684 88 |
| RF - GOLDMAN SACHS | AIG SUNAMERICA GLOBAL FING VI | 6 3% 10 May 2011 | 500,000 00 | 113 8067 | 569,033 47 | 105 4614 | 527,306 95 |
| RF - GOLDMAN SACHS | ANZ CAP TR I | 5 36% 15 Dec 2049 | 500,000 00 | 99 9974 | 499,986 77 | 99 8683 | 499,341 35 |
| RF - GOLDMAN SACHS | AXA FINL INC | 7 75% 01 Aug 2010 | 500,000 00 | 108 8377 | 544,188 47 | 110 8817 | 554,408 40 |
| RF - GOLDMAN SACHS | BANK AMER CORP | 7 4% 15 Jan 2011 | 1,000,000 00 | 108 4418 | 1,084,417 81 | 110 7339 | 1,107,338 90 |
| RF - GOLDMAN SACHS | BANK NEW YORK INC | 1% 04 Sep 2012 | 750,000.00 | 99 8917 | 749,187 56 | 98 9780 | 742,335 00 |
| RF - GOLDMAN SACHS | BEAR STEARNS ALT A TR | 4 46125% 25 Jan 2035 | 895,328 04 | 100 0000 | 895,328 04 | 100 0000 | 895,328 04 |
| RF - GOLDMAN SACHS | CWABS INC | 4 38% 15 Oct 2028 | 532,488 11 | 100 1172 | 533,112 11 | 100 0469 | 532,737 85 |
| RF - GOLDMAN SACHS | CWABS INC | 4 41% 25 Mar 2032 | 420,653 28 | 100 0000 | 420,653 28 | 100 1719 | 421,376 38 |
| RF - GOLDMAN SACHS | CWALTING | 4 49125% 25 Aug 2035 | 930,550 34 | 99 9958 | 930,511 57 | 100 0000 | 930,550 34 |
| RF - GOLDMAN SACHS | CWHEQ INC | 1% 15 Nov 2036 | 1,000,000 00 | 100 0000 | 1,000,000 00 | 100 0000 | 1,000,000 00 |
| RF - GOLDMAN SACHS | CWALT INC | 4 45938% 25 Oct 2035 | 993,558 35 | 100 0000 | 993,558 35 | 100 0000 | 993,558 35 |
| RF - GOLDMAN SACHS | CWALT INC | 1% 25 Oct 2035 | 996,525 17 | 100 0000 | 996,525 17 | 100 0000 | 996,525 17 |
| RF - GOLDMAN SACHS | CWALT INC | 4 47938% 25 Oct 2035 | 992,551 76 | 100 0000 | 992,551 76 | 100 0000 | 992,551 76 |
| RF - GOLDMAN SACHS | CWALT INC | 1% 25 Feb 2036 | 1,000,000 00 | 99 9985 | 999,985 00 | 100 0000 | 1,000,000 00 |
| RF - GOLDMAN SACHS | CHUBB CORP | 4 934% 16 Nov 2007 | 525,000 00 | 100 5302 | 527,783 70 | 100 0214 | 525,112 14 |
| RF - GOLDMAN SACHS | COUNTRYWIDE FDG CORP MTN | 5 625% 15 Jul 2009 | 500,000 00 | 103 1140 | 515,569 99 | 101 4476 | 507,237 75 |
| RF - GOLDMAN SACHS | CREDIT SUISSE FIRST BOSTON | 6 55% 17 Jan 2035 | 700,000 00 | 101 4235 | 709,964 55 | 102 2333 | 715,633 31 |
| RF - GOLDMAN SACHS | CREDIT SUISSE FIRST BOSTON | 5 25% 25 Jul 2033 | 375,432 35 | 10 5952 | 39,777 98 | 6 5155 | 24,461 11 |
| RF - GOLDMAN SACHS | CREDIT SUISSE FIRST BOSTON | 6 5% 01 May 2008 | 125,000 00 | 105 7932 | 132,241 53 | 103 1728 | 128,965 96 |
| RF - GOLDMAN SACHS | DEN DANSKE BK AKTIESELSKAB | 7 4% 15 Jun 2010 | 500,000 00 | 109 8488 | 549,243 90 | 103 3380 | 516,690 00 |
| RF - GOLDMAN SACHS | FIRST HORIZON ABS TR | 1% 25 Oct 2034 | 499,543 46 | 100 0000 | 499,543 46 | 100 2031 | 500,558 03 |
| RF - GOLDMAN SACHS | FIRST UN NATL BK COML MTG TR | 7 202% 15 Oct 2032 | 1,150,000 00 | 100 4948 | 1,155,690 20 | 108 2362 | 1,244,715 96 |
| RF - GOLDMAN SACHS | GMAC COML MTG SEC INC | 9 52% 15 Nov 2039 | 1,000,000 00 | 104 6954 | 1,046,954 08 | 105 5448 | 1,055,448 40 |
| RF - GOLDMAN SACHS | GENERAL ELEC CAP CORP MTN | 6% 15 Jun 2012 | 250,000 00 | 104 2047 | 260,511 68 | 105 3871 | 263,467 78 |
| RF - GOLDMAN SACHS | HANCOCK JOHN FINL SVCS INC | 5 625% 01 Dec 2008 | 500,000 00 | 101 6213 | 508,106 25 | 101 9303 | 509,651 70 |
| RF - GOLDMAN SACHS | HARBORVIEW MTG LN TR | 4 46938% 19 Nov 2035 | 986,780 85 | 100 0000 | 986,780 85 | 100 1020 | 987,787 17 |
| RF - GOLDMAN SACHS | HARTFORD FINL SVCS GROUP INC | 7 9% 15 Jun 2010 | 350,000 00 | 110 5794 | 387,027 78 | 110 6991 | 387,446 78 |
| RF - GOLDMAN SACHS | HELLER FINL INC | 7 375% 01 Nov 2009 | 750,000 00 | 110 6825 | 830,118 92 | 108 7091 | 815,318 33 |
| RF - GOLDMAN SACHS | HOUSEHOLD FIN CORP | 4 125% 16 Nov 2009 | 900,000 00 | 99 8210 | 898,388 89 | 96 9205 | 872,284 05 |
| RF - GOLDMAN SACHS | HOUSEHOLD HOME EQUITY LN TR | 4 50938% 20 Sep 2033 | 389,270 22 | 100 0000 | 389,270 22 | 100 2900 | 390,399 14 |
| RF - GOLDMAN SACHS | IMC HOME EQUITY LN TR | 7 23% 20 May 2027 | 378,820 20 | 103 2344 | 391,072 66 | 99 9688 | 378,702 01 |
| RF - GOLDMAN SACHS | IMPAC CMB TR | 4 55125% 25 Dec 2034 | 588,229 79 | 100 0000 | 588,229 79 | 100 0536 | 588,545 20 |
| RF - GOLDMAN SACHS | IMPAC SECD ASSETS CORP | 1% 25 Dec 2035 | 1,000,000 00 | 100 0000 | 1,000,000 00 | 100 3820 | 1,003,820 00 |
| RF - GOLDMAN SACHS | JPMORGAN CHASE + CO | 5 15% 01 Oct 2015 | 975,000 00 | 99 5920 | 971,022 14 | 98 5765 | 961,120 88 |
| RF - GOLDMAN SACHS | LEHMAN XS TR | 1% 25 Jan 2036 | 1,000,000 00 | 100 0000 | 1,000,000 00 | 100 0000 | 1,000,000 00 |
| RF - GOLDMAN SACHS | AMERITECH CAPITAL FUNDING CO | 6 25% 18 May 2009 | 75,000 00 | 105 9625 | 79,471 90 | 103 4600 | 77,595 00 |
| RF - GOLDMAN SACHS | MASTR ASSET BACKED SECS TR | 4 38125% 25 Mar 2035 | 1,000,000 00 | 99 9718 | 999,718 24 | 100 0938 | 1,000,938 00 |
| RF - GOLDMAN SACHS | MORGAN STANLEY GROUP INC | 5 3% 01 Mar 2013 | 150,000 00 | 103 0001 | 154,500 20 | 100 1625 | 150,243 71 |
| RF - GOLDMAN SACHS | PRUDENTIAL FDG CORP MTN 144A | 6 6% 15 May 2008 | 750,000 00 | 103 5468 | 776,601 25 | 103 5261 | 776,445 60 |



| Fund Name | Security Name | Security Description | Par Value | Base Unit Cost | Base Total Cost | Base Price Amount | Base Market Value |
|--|--------------------------------|---|---------------------------|-------------------|---|----------------------|-------------------|
| RF - GOLDMAN SACHS | SALOMON BROS MTG SECS VII INC | 7 098% 25 Feb 2031 | 254,183 80 | 100 7500 | 256,090 17 | 100 1381 | 254,534 70 |
| RF - GOLDMAN SACHS | SMALL BUSINESS ADMIN | 6 3% 01 Jun 2018 | 671,575 33 | 100 2068 | 672,964 28 | 103 4690 | 694,872 28 |
| RF - GOLDMAN SACHS | STRUCTURED ASSET SECS CORP | 1% 25 Sep 2035 | 980,580 12 | 99 9375 | 979,967 25 | 100 0806 | 981,370 27 |
| RF - GOLDMAN SACHS | VERIZON GLOBAL FDG CORP | 7 25% 01 Dec 2010 | 300,000 00 | 101 7183 | 305,154 86 | 108 6435 | 325,930 47 |
| RF - GOLDMAN SACHS | WAMU MTG | 4 679% 25 Feb 2033 | 94,971 54 | 101 7344 | 96,618 71 | 99 0573 | 94,076 28 |
| RF - GOLDMAN SACHS | WAMU MTG | 4 51125% 25 Aug 2045 | 1,921,834 37 | 100 0000 | 1,921,834 37 | 100 0000 | 1,921,834 37 |
| RF - GOLDMAN SACHS | WAMU MTG PASS THROUGH CTFS | 1% 25 Oct 2045 | 1,223,328 00 | 100 0000 | 1,223,328 00 | 100 0000 | 1,223,328 00 |
| RF - GOLDMAN SACHS | WAMU MTG PASS THROUGH CTFS | 4 35% 25 Dec 2045 | 989,163 00 | 100 0000 | 989,163 00 | 100 0000 | 989,163 00 |
| RF - GOLDMAN SACHS | WAMU MTG PASS THROUGH CTFS | 1% 25 Jul 2045 | 926,565 26 | 100 0000 | 926,565 26 | 100 0000 | 926,565 26 |
| RF - GOLDMAN SACHS | WELLS FARGO + COMPANY | 3 75% 15 Oct 2007 | 800,000 00 | 100 0000 | 800,000 00 | 98 3701 | 786,960 88 |
| RF - GOLDMAN SACHS | WELLS FARGO MTG BKD SECS | 4 9787% 25 Oct 2035 | 911,990 38 | 100 3539 | 915,217 91 | 99 5684 | 908,054 05 |
| RF - MARATHON ASSET MGMT LTD | LEVEL 3 COMMUNICATIONS INC | 6% 15 Mar 2010 | 486,000.00 | 53 6058 | 260,524 00 | 64 1250 | 311,647 50 |
| | DOMESTIC CORPORATE BOND TOTAL | | 76,792,783.08 | | 58,634,077.48 | | 57,172,887.76 |
| | FOREIGN CORPORATE BONDS | | | | | | |
| | CAYMAN ISLANDS | | | | | | |
| RF - GOLDMAN SACHS | PRINCIPAL FINL GROUP AUSTRALIA | 8 2% 15 Aug 2009 | 450,000 00 | 108 6543 | 488,944 20 | 111 0011 | 499,504 91 |
| | FINLAND | | | | | | |
| RF - GOLDMAN SACHS | MERITA BANK LTD | 6 5% 15 Jan 2006 | 500,000 00 | 100 1065 | 500,532 36 | 99 6173 | 498,086 30 |
| | JERSEY, C.I. | | | | | | |
| RF - GOLDMAN SACHS | HBOS CAP FDG NO 2 L P | 1% 30 Jun 2049 | 125,000 00 | 101 8242 | 127,280 19 | 103 3230 | 129,153 75 |
| RF - GOLDMAN SACHS | HSBC CAP FDG DLR 2 L P | 27 8% 29 Dec 2049 | 400,000 00 | 100 0000 | 400,000 00 | 94 4934 | 377,973 54 |
| | NETHERLANDS | | | | | | |
| RF - GOLDMAN SACHS | AEGON N V | 4 75% 01 Jun 2013 | 350,000 00 | 99 9804 | 349,931 35 | 97 8032 | 342,311 17 |
| | SWEDEN | | | | | | |
| RF - GOLDMAN SACHS | NORDBANKEN AB | 8 95% 29 Nov 2049 | 250,000 00 | 116 2938 | 290,734 48 | 112 8360 | 282,090 00 |
| | UNITED KINGDOM | | | | | | |
| RF - GOLDMAN SACHS | ABBEY NATL PLC | 7 95% 26 Oct 2029 | 250,000 00 | 130 8444 | 327,110 88 | 129 9068 | 324,766 88 |
| RF - GOLDMAN SACHS | GOVERNOR + CO BK SCOTLAND | 7% 29 Nov 2049 | 350,000 00 | 115 1848 | 403,146 84 | 103 1530 | 361,035 50 |
| RF - GOLDMAN SACHS | VODAFONE AIRTOUCH PLC | 7 75% 15 Feb 2010 | 500,000 00 | 99 6764 | 498,382 07 | 109 7249 | 548,624 60 |
| | FOREIGN CORPORATE BOND TOTAL | | 3,175,000.00 | <u> </u> | 3,386,062.37 | | 3,363,546.65 |
| - | ~ | مي | _ wy way y _ makeur maren | | A 1 - 2 - 2 - 2 - 2 - 2 - 2 - 2 - 2 - 2 - | | |
| Name of the second seco | CORPORATE BOND TOTAL | and the proportional and the same material and the same the | 79,967,783.08 | | 62,020,139.85 | | 60,536,434.41 |

STATEMENT # 13 Page 1 of 3

Employer ID No. 13-1659629 Form 990PF - 2005

DEPRECIABLE ASSETS and DEPRECIATION EXPENSE

| | Allocation % ** | Book Value on 1/1/05 | Allocation Adjustment | Additions | Depreciation | Book Value on 12/31/05 | Market Value Adjustment* | Fair Market Value on 12/31/05 |
|--|-----------------|-------------------------|--------------------------|-----------|--------------|---------------------------|--------------------------|----------------------------------|
| Depreciable assets held for charitable puposes | | | <u> </u> | | - | | | |
| New York Office: | 93.20% | 20,855,653 | (286,903) | 122,591 | (841,195) | 19,850,146 | 30,435,779 | 50,285,925 |
| Bellagio, Italy Land & Buildings (at nominal amount) | | 1 | | 0 | 0 | 1 | 0 | 1 |
| Subtotal | | 20,855,654 | (286,903) | 122,591 | (841,195) | 19,850,147 | 30,435,779 | 50,285,926 |
| Depreciable assets held for investment purposes (Part X, line 1.C) | 6.80% | 1,213,822 | 286,903 | 8,944 | (61,375) | 1,448,294 | 2,220,636 | 3,668,930 |
| TOTAL (Part II, line 14) | | 22,069,476 | 0 | 131,535 | (902,570) | 21,298,441 | 32,656,416 | 53,954,857 |

^{*} Based on appraisal performed as of December 31, 2004

^{**} Allocation % based on occupied space per square footage.

THE ROCKEFELLER FOUNDATION MASTER DEPRECIATION SCHEDULE 2005

STATEMENT # 13
Page 2 of 3

| | | | 2005 | | | | |
|-------------------------|-----|----------|-----------|---------------------|-----------------------|---------------|----------|
| | | | | epreciation allowed | | | |
| | | Date | Basis | or allowable in | Life or | Deduction for | Net Book |
| Description of Property | | acquired | (cost) | earlier years | rate | this year* | Value |
| Computer hardware & | | | | | | | |
| software | | | | | | | |
| | | 2000 | 12,720 | 12,089 | 5 | 632 | (0) |
| | | 2001 | 5,167 | 3,615 | 5 | 1,033 | 519 |
| | | 2002 | 7,758 | 4,035 | 5 | 1,552 | 2,171 |
| | | 2003 | 0 | 0 | 5 | 0 | 0 |
| | | 2004 | 78,827 | 8,208 | 5 | 15,765 | 54,854 |
| | | 2005 | 28,351 | | 5 | 1,891 | 26,459 |
| subtotal | | | 132,822 | 27,946 | | 20,874 | 84,003 |
| Equipment | | | | | | | |
| • • | | 2000 | 182,993 | 163,068 | 5 | 19,925 | 0 |
| | | 2001 | 24,365 | 17,248 | 5 5 5 5 5 | 4,873 | 2,244 |
| | | 2002 | 25,815 | 12,465 | 5 | 5,163 | 8,187 |
| | | 2003 | 10,145 | 4,069 | 5 | 2,029 | 4,047 |
| | | 2004 | 15,798 | 2,526 | 5 | 3,160 | 10,112 |
| | | 2005 | 11,318 | • | 5 | 1,420 | 9,898 |
| | | _ | 270,435 | 199,376 | | 36,570 | 34,489 |
| Furniture & Fixtures | | 1994 | 1,893,210 | 1,893,210 | 10 | 0 | 0 |
| | *** | 1994 | 3,623 | 3,623 | 10 | 0 | 0 |
| | | 1995 | 67,718 | 67,718 | 10 | 0 | 0 |
| | | 1996 | 8,381 | 8,381 | 10 | 0 | 0 |
| | | 1997 | 1,116 | 824 | 10 | 112 | 180 |
| | | 1998 | 65,888 | 42,349 | 10 | 6,589 | 16,951 |
| | | 1999 | 4,922 | 2,915 | 10 | 492 | 1,515 |
| | | 2000 | 442,510 | 206,706 | 10 | 44,251 | 191,552 |
| | | 2001 | 5,715 | 1,971 | 10 | 572 | 3,173 |
| | | 2002 | 9,751 | 2,597 | 10 | 975 | 6,179 |
| | | 2003 | 0, | 0 | 10 | 0 | 0,0 |
| | | 2004 | 7,500 | 1,385 | 10 | 2,885 | 3,230 |
| | | | 2,510,334 | 2,231,679 | .• | 55,875 | 222,780 |
| | | | | | | | |

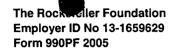
| THE ROCKEFELLER FOUNDATION |
|------------------------------|
| MASTER DEPRECIATION SCHEDULE |
| 2005 |

STATEMENT # 13 Page 3 of 3

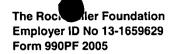
| Building - 420 5th Avenue | | 1994 | 27,033,155 | 6,457,921 | 45 | 600,740 | 19,974,494 |
|---------------------------|-------|------|--------------|--------------|----|-----------|--------------|
| - | *** | 1994 | 356,055 | 79,120 | 45 | 7,912 | 269,023 |
| | | 1995 | 268,672 | 59,700 | 45 | 5,970 | 203,002 |
| | **** | 1995 | 10,805 | 2,160 | 45 | 240 | 8,405 |
| | | 1996 | 48,284 | 9,657 | 45 | 1,073 | 37,554 |
| , | | 1997 | 31,985 | 5,248 | 45 | 711 | 26,027 |
| | | 1998 | 42,171 | 6,096 | 45 | 937 | 35,138 |
| | | 1999 | 76,186 | 9,147 | 45 | 1,693 | 65,346 |
| | | 2000 | 2,459,579 | 2,297,854 | 5 | 161,725 | 0 |
| | | 2001 | 239,335 | 19,451 | 45 | 5,319 | 214,566 |
| | | 2002 | 22,670 | 3,035 | 45 | 1,177 | 18,458 |
| | | 2003 | 0 | 0 | 45 | 0 | 0 |
| | | 2004 | 15,382 | 335 | 45 | 342 | 14,705 |
| | | 2005 | 91,867 | 0 | 45 | 1,413 | 90,453 |
| | | | 30,696,146 | 8,949,724 | | 789,252 | 20,957,170 |
| | TOTAL | | \$33,609,737 | \$11,408,726 | | \$902,570 | \$21,298,441 |
| | | _ | | | | | ··· |

^{***} Included as asset purchase in 1994, to be depreciated starting in 1995
****Included as an asset purchase in 1995, to be depreciated starting in 1996

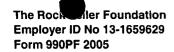
| INVESTMENTS - Form 990-PF, Part II, Line 11 | 2,285,462 | 775,793 | 1,509,669 6.80% | 61,375 | 1,448,294 |
|---|------------|------------|--------------------------|---------|------------|
| CHARITABLE - Form 990-PF, Part II, Line 14 | 31,324,275 | 10,632,933 | 20,691,342 93.20% | 841,195 | 19,850,147 |
| TOTAL | 33,609,737 | 11,408,726 | 22,201,011 22,201,011 | 902,570 | 21,298,441 |



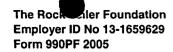
| Security Name | Investment Type Name | Base Total Cost | Base Market Value |
|----------------------------------|----------------------|------------------------|------------------------|
| | | | |
| ASLAN REALTY PARTNERS LP | LMTD PARTNRSHIP UNTS | 2,030,204 | 361,220 |
| AETOS CAPITAL ASIA TE | REAL ESTATE INV TRST | 10,785,222 | 11,605,234 |
| AETOS CAPITAL ASIA TE II LTD | REAL ESTATE INV TRST | 873,561 | 712,448 |
| ASLAN REALTY PARTNERS II | REAL ESTATE INV TRST | 13,725,087 | 16,003,301 |
| AVANTI STRATEGIC LAND INV IV | REAL ESTATE INV TRST | 967,259 | 1,039,042 |
| BROADREACH CAPITAL PARTNERS LP | REAL ESTATE INV TRST | 12,320,847 | 12,225,089 |
| BROOKDALE INVESTORS FIVE LP | REAL ESTATE INV TRST | 95,546 | 5,397 |
| BROOKDALE REALTY FOUR LP | REAL ESTATE INV TRST | 0 | 595,407 |
| CABOT INDUSTRIAL PROPERTIES | REAL ESTATE INV TRST | 1 | 0 |
| CABOT INDUSTRIAL VALUE FD II | REAL ESTATE INV TRST | 1,333,500 | 1,333,500 |
| CHR II | REAL ESTATE INV TRST | 31,897 | 1,104,296 |
| CP INVESTMENT FUND II LP | REAL ESTATE INV TRST | 133,674 | 62,370 |
| CROW HLDGS REALTY PART II LP | REAL ESTATE INV TRST | 6,255,102 | 3,990,835 |
| CROW HOLDINGS REALTY | REAL ESTATE INV TRST | 12,763,971 | 12,439,281 |
| CYPRESS REALTY V LP | REAL ESTATE INV TRST | 3,906,813 | 3,802,388 |
| DA VINCI JAPAN REAL ESTATE | REAL ESTATE INV TRST | 11,199,983 | 9,597,456 |
| FORTRESS INVESTMENT FUND III | REAL ESTATE INV TRST | 4,974,747 | 4,965,300 |
| FORTRESS RES INVEST | REAL ESTATE INV TRST | 1,282,995 | 1,229,335 |
| FREMONT STRATEGIC PROPERTY | REAL ESTATE INV TRST | 3,490,954 | 7,745,767 |
| FREMONT STRETEGIC PROPERTY II | REAL ESTATE INV TRST | 4,740,554 | 4,217,078 |
| GREENFIELD ACQS PARTNERS IV LP | REAL ESTATE INV TRST | 3,244, 44 4 | 3,153,295 |
| GREENFIELD ACQU PARTNERS III | REAL ESTATE INV TRST | 11,845,635 | 13,032,745 |
| HIGHCROSS | REAL ESTATE INV TRST | 14,517,784 | 14,388,155 |
| LASALLE PARTNERS | REAL ESTATE INV TRST | 1 | 0 |
| M + H REALTY PART V LP | REAL ESTATE INV TRST | 3,204,872 | 8,528,520 |
| MOORFIELD REAL ESTATE FUND A | REAL ESTATE INV TRST | 145,116 | 144,923 |
| ORION EUROPEAN RE FUND II | REAL ESTATE INV TRST | 1,703,926 | 1,320,951 |
| QUADRANGLE/NACIONAL | REAL ESTATE INV TRST | 6,889,132 | 11,615,476 |
| SHORENSTEIN REALTY INV VI LP | REAL ESTATE INV TRST | 5,311,671 | 4,756,777 |
| SHORENSTEIN REALTY INV VII LP | REAL ESTATE INV TRST | 3,964,275 | 4,849,942 |
| TA III | REAL ESTATE INV TRST | 1,622,145 | 2, 444 ,876 |
| TA IV | REAL ESTATE INV TRST | 4,150,629 | 4,418,154 |
| TA VI | REAL ESTATE INV TRST | 13,309,169 | 14,079,239 |
| TRANSEUROPEAN PROPERTIES LP | REAL ESTATE INV TRST | 1,262,747 | 494,676 |
| US DOLLAR | SHORT TERM CASH | 21,808 | 21,808 |
| Year End Market Value Adjustment | | | 15,115,129 |
| | Real Estate Subtotal | 162,105,272 | 191,399,410 |



| Security Name | Investment Type Name | Base Total Cost | Base Market Value |
|--|--|--|---|
| ACACIA FUND II LP | REAL ESTATE INV TRST | 0 | 3,345 |
| ACACIA FUND III LP | REAL ESTATE INV TRST | 0 | 11,022 |
| NCP QUADRANGLE | REAL ESTATE INV TRST | 0 | 112,567 |
| | Real Estate Residual Subtotal | 0 | 126,934 |
| | REAL ESTATE GRAND TOTAL | 162,105,272 | 191,526,344 |
| | | | |
| CADENT ENERGY PARTNERS I | LMTD PARTNRSHIP UNTS | 778,090 | 431,967 |
| COMM FD CAP NATRL RES PRTNS VI | LMTD PARTNRSHIP UNTS | 270,000 | 270,000 |
| LIME ROCK PARTNERS III LP | LMTD PARTNRSHIP UNTS | 998,250 | 950,262 |
| LIME ROCK RES C LP | LMTD PARTNRSHIP UNTS | 286,747 | 286,747 |
| MERIT ENERGY PARTNERS EI | LMTD PARTNRSHIP UNTS | 2,377,078 | 2,724,198 |
| | ENERGY GRAND TOTAL | 4,710,165 | 4,663,174 |
| | | | |
| | TOTAL REAL ASSETS | 166,815,437 | 196,189,518 |
| | TOTAL REAL ASSETS | 166,815,437 | 196,189,518 |
| ACCEL IX | | | |
| ACCEL IX RATTERY VENTURES VI LP | LMTD PARTNRSHIP UNTS | 1,425,000 | 1,330,275 |
| BATTERY VENTURES VI LP | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 | 1,330,275 3,101,903 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 | 1,330,275 3,101,903 1,125,000 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 | 1,330,275 3,101,903 1,125,000 6,693,096 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS NON-SECY ASSET-STOCK | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V CHARLES RIVER PARTNERSHIP X | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 1,385,927 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 1,408,072 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V CHARLES RIVER PARTNERSHIP X CHARLES RIVER PARTNERSHIP XI | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS NON-SECY ASSET-STOCK LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 1,408,072 333,962 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V CHARLES RIVER PARTNERSHIP X CHARLES RIVER PARTNERSHIP XI CHARLES RIVER PARTNERSHIP XI | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS NON-SECY ASSET-STOCK LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 1,385,927 399,849 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 1,408,072 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V CHARLES RIVER PARTNERSHIP X CHARLES RIVER PARTNERSHIP XI CHARLES RIVER PARTNERSHIP XII CROSSPOINT VENTURE PARTNERS 2000 CROSSPOINT VENTURE PRINRS 1999 DELPHI VENTURES IV | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS NON-SECY ASSET-STOCK LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 1,385,927 399,849 13,337,422 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 1,408,072 333,962 5,757,311 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V CHARLES RIVER PARTNERSHIP X CHARLES RIVER PARTNERSHIP XI CHARLES RIVER PARTNERSHIP XII CROSSPOINT VENTURE PARTNERS 2000 CROSSPOINT VENTURE PRTNRS 1999 DELPHI VENTURES IV GENERAL CATALYST GROUP IV L.P. | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS NON-SECY ASSET-STOCK LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 1,385,927 399,849 13,337,422 9,805,538 5,855,347 280,000 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 1,408,072 333,962 5,757,311 1,850,217 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V CHARLES RIVER PARTNERSHIP X CHARLES RIVER PARTNERSHIP XI CHARLES RIVER PARTNERSHIP XII CROSSPOINT VENTURE PARTNERS 2000 CROSSPOINT VENTURE PRTNRS 1999 DELPHI VENTURES IV GENERAL CATALYST GROUP IV L.P. GENERAL CATALYST GRP III LP | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS NON-SECY ASSET-STOCK LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 1,385,927 399,849 13,337,422 9,805,538 5,855,347 280,000 2,950,000 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 1,408,072 333,962 5,757,311 1,850,217 2,757,921 280,000 3,031,624 |
| BATTERY VENTURES VI LP BATTERY VENTURES VII LP BENCHMARK CAPITAL PARTNERS IV BENCHMARK CAPITAL PARTNERS V CHARLES RIVER PARTNERSHIP X CHARLES RIVER PARTNERSHIP XI CHARLES RIVER PARTNERSHIP XII CROSSPOINT VENTURE PARTNERS 2000 CROSSPOINT VENTURE PRTNRS 1999 DELPHI VENTURES IV GENERAL CATALYST GROUP IV L.P. | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS NON-SECY ASSET-STOCK LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 1,425,000 5,089,759 1,125,000 9,893,083 1,450,000 3,404,033 1,385,927 399,849 13,337,422 9,805,538 5,855,347 280,000 | 1,330,275 3,101,903 1,125,000 6,693,096 1,333,284 651,750 1,408,072 333,962 5,757,311 1,850,217 2,757,921 280,000 |



| Security Name | Investment Type Name | Base Total Cost | Base Market Value |
|--------------------------------|-----------------------------------|-----------------|-------------------|
| INSTITUTIONAL VENTURE PART 8 | LMTD PARTNRSHIP UNTS | 6,523,971 | 1,773,581 |
| MOHR DAVIDOW VENTURES VI | LMTD PARTNRSHIP UNTS | 7,600,000 | 1,397,716 |
| MOHR DAVIDOW VENTURES VIII LP | LMTD PARTNRSHIP UNTS | 750,000 | 681,410 |
| MOHR DAVIDOW VENTURES VII LP | LMTD PARTNRSHIP UNTS | 3,484,000 | 2,496,586 |
| NEA 10 | LMTD PARTNRSHIP UNTS | 3,408,744 | 2,907,202 |
| NEA 11 | LMTD PARTNRSHIP UNTS | 4,321,711 | 4,992,886 |
| NEA 9 | LMTD PARTNRSHIP UNTS | 4,721,884 | 1,501,937 |
| POLARIS VENTURE PARTNERS IV | LMTD PARTNRSHIP UNTS | 4,800,000 | 4,455,038 |
| REDPOINT VENTURE I LP | LMTD PARTNRSHIP UNTS | 6,125,770 | 1,515,252 |
| REDPOINT VENTURES II LP | LMTD PARTNRSHIP UNTS | 6,390,000 | 4,516,388 |
| SB ASIA INVESTMENT FD II LP | LMTD PARTNRSHIP UNTS | 3,866,770 | 3,723,707 |
| SEQUOIA CAPITAL CHINA | LMTD PARTNRSHIP UNTS | 360,000 | 360,000 |
| SEQUOIA CAPITAL GROWTH FD III | LMTD PARTNRSHIP UNTS | 1,890,000 | 1,789,824 |
| SEQUOIA CAPITAL IX | LMTD PARTNRSHIP UNTS | 1,839,878 | 426,633 |
| SEQUOIA CAPITAL X | LMTD PARTNRSHIP UNTS | 4,132,147 | 2,799,679 |
| SEQUOIA CAPITAL XI LP | LMTD PARTNRSHIP UNTS | 1,685,400 | 1,685,321 |
| SIERRA VENTURES VII | LMTD PARTNRSHIP UNTS | 9,453,368 | 4,292,161 |
| SIGMA PARTNERS VII LP | LMTD PARTNRSHIP UNTS | 594,000 | 594,000 |
| U S VENTURE PARTNERS V | LMTD PARTNRSHIP UNTS | 7,509,689 | 1,364,218 |
| US VENTURE PARNTERS IX | LMTD PARTNRSHIP UNTS | 1,600,000 | 1,505,346 |
| US VENTURE PARTNERS VI | LMTD PARTNRSHIP UNTS | 13,129,314 | 4,730,675 |
| US VENTURE PARTNERS VII | LMTD PARTNRSHIP UNTS | 12,870,660 | 4,126,063 |
| US VENTURE PARTNERS VIII | LMTD PARTNRSHIP UNTS | 11,224,516 | 8,631,462 |
| | Venture Capital Subtotal | 184,112,811 | 98,629,295 |
| INSTITUTIONAL VENTURE PRTNS IV | LMTD PARTNRSHIP UNTS | 1,715,596 | 529,913 |
| U S VENTURE PARTNERS IV | LMTD PARTNRSHIP UNTS | 2,567,315 | 503,381 |
| | Venture Capital Residual Subtotal | 4,282,911 | 1,033,294 |
| | VENTURE GRAND TOTAL | 188,395,721 | 99,662,590 |
| | | | |
| AMERICAN SECURITIES PRTNRS IV | LMTD PARTNRSHIP UNTS | 115,932 | 115,932 |
| APAX EUROPE VI A LP | LMTD PARTNRSHIP UNTS | 9,078,507 | 8,773,831 |
| APAX EUROPE V A L P | LMTD PARTNRSHIP UNTS | 9,432,996 | 13,854,519 |
| AUDAX PRIVATE EQUITY FD II | LMTD PARTNRSHIP UNTS | 1,797,463 | 1,808,800 |



| Security Name | Investment Type Name | Base Total Cost | Base Market Value |
|--------------------------------|----------------------|-----------------|-------------------|
| BAIN CAPITAL FUND VIII E | LMTD PARTNRSHIP UNTS | 3,294,481 | 2,799,009 |
| BC EUROPEAN CAPITAL VII | LMTD PARTNRSHIP UNTS | 9,996,029 | 9,622,494 |
| BC EUROPEAN CAPITAL VIII | LMTD PARTNRSHIP UNTS | 551,586 | 551,586 |
| BERKSHIRE FUND VI LP | LMTD PARTNRSHIP UNTS | 3,908,106 | 2,542,661 |
| CAPITAL RESOURCE LENDERS II | LMTD PARTNRSHIP UNTS | 7,717,535 | 2,499,154 |
| CAPITAL RESOURCE LENDERS III | LMTD PARTNRSHIP UNTS | 7,755,637 | 4,210,334 |
| CAPITAL RESOURCE LENDERS IV | LMTD PARTNRSHIP UNTS | 6,294,424 | 5,267,596 |
| CAPITAL RESOURCE PARTNERS V | LMTD PARTNRSHIP UNTS | 3,971,348 | 3,720,458 |
| CODE HENNESSY + SIMMONS IV | LMTD PARTNRSHIP UNTS | 6,824,718 | 6,771,888 |
| CODE HENNESSY + SIMMONS PE V | LMTD PARTNRSHIP UNTS | 922,061 | 922,061 |
| GOLDER THOMA + CRESSEY FD III | LMTD PARTNRSHIP UNTS | 1,782,293 | 0 |
| GRAHAM PARTNERS II | LMTD PARTNRSHIP UNTS | 4,138,671 | 3,725,234 |
| GS CAPITAL PARTNERS III | LMTD PARTNRSHIP UNTS | 5,718,522 | 995,475 |
| GTCR FUND VIII | LMTD PARTNRSHIP UNTS | 4,785,871 | 5,056,268 |
| LITTLEJOHN + LEVY II LP | LMTD PARTNRSHIP UNTS | 6,213,452 | 2,341,552 |
| LITTLEJOHN FUND III LP | LMTD PARTNRSHIP UNTS | 2,435,877 | 2,145,844 |
| MADISON DEARBORN CAP PART IV | LMTD PARTNRSHIP UNTS | 6,103,275 | 7,260,328 |
| MADISON DEARBORN III | LMTD PARTNRSHIP UNTS | 6,725,800 | 5,378,514 |
| MORGAN STANLEY PRIVATE EQUITY | LMTD PARTNRSHIP UNTS | 1,718,707 | 1,513,707 |
| ROSEWOOD CAPITAL | LMTD PARTNRSHIP UNTS | 2,603,423 | 1,349,760 |
| SUMMIT VENTURES IV | LMTD PARTNRSHIP UNTS | 1,379,447 | 190,271 |
| SUMMIT VENTURES V | LMTD PARTNRSHIP UNTS | 4,071,996 | 1,722,047 |
| SUMMIT VENTURES VI | LMTD PARTNRSHIP UNTS | 8,381,958 | 8,521,652 |
| THOMA CRESSEY FUND VI | LMTD PARTNRSHIP UNTS | 6,804,514 | 3,860,119 |
| THOMA CRESSEY FUND VII | LMTD PARTNRSHIP UNTS | 5,049,699 | 3,610,187 |
| TPG PARTNERS | LMTD PARTNRSHIP UNTS | 5,534,822 | 1,206,613 |
| VESTAR CAPITAL PARTNER V | LMTD PARTNRSHIP UNTS | 23,521 | 11,029 |
| VESTAR CAPITAL PARTNERS II | LMTD PARTNRSHIP UNTS | 810,342 | 48,539 |
| VESTAR CAPITAL PARTNERS III LP | LMTD PARTNRSHIP UNTS | 8,005,317 | 6,229,586 |
| VESTAR CAPITAL PARTNERS IV LP | LMTD PARTNRSHIP UNTS | 9,565,995 | 9,670,871 |
| WELSH CARSON ANDERSON STOWE 8 | LMTD PARTNRSHIP UNTS | 14,104,714 | 11,638,025 |
| WELSH CARSON ANDERSON/STOWE IX | LMTD PARTNRSHIP UNTS | 14,327,672 | 15,718,473 |
| WESTON PRESIDIO CAP IV LP | LMTD PARTNRSHIP UNTS | 11,378,889 | 10,010,931 |
| WESTON PRESIDIO III | LMTD PARTNRSHIP UNTS | 7,677,352 | 4,103,452 |
| WESTON PRESIDIO V | LMTD PARTNRSHIP UNTS | 525,000 | 509,282 |
| WILLIAM BLAIR MEZZANINE CAP | LMTD PARTNRSHIP UNTS | 3,490,921 | 1,853,560 |
| | Buyout Subtotal | 215,018,874 | 172,131,641 |

| Security Name | Investment Type Name | Base Total Cost | Base Market Value |
|--|--|---|---|
| ALTA SUBORDINATED DEBT FUND CLAYTON DUBILIER + RICE INC GROTECH IV LP | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 0 0 0 | 442,971 368,024 178,858 |
| | Buyout Residual Subtotal | 0 | 989,853 |
| <u>-</u> | BUYOUT GRAND TOTAL | 215,018,874 | 173,121,494 |
| Year End Market Value Adjustment | TOTAL PRIVATE EQUITY | 403,414,595 | 18,794,214 291,578,298 |
| | | | |
| GS SPECIAL OPPORTUNITIES ASIA OAKTREE CAPITAL MANAGEMENT III OAKTREE CAPITAL MANAGEMENT IV OAKTREE CAPITAL MANAGEMENT OPP | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 0 50,435 1 125,529 | 1,442,610 4,063,929 770,071 4,576,500 |
| <u></u> | High Yield Subtotal | 175,965 | 10,853,110 |
| CERBERUS SERIES 3 HOLDINGS LLC THE PRIVATVARDE FUND LP WATERSHED CAPITAL INSTITUTIONA LONE STAR V AR | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS REAL ESTATE INV TRST | 8,656,933 10,000,000 15,000,000 2,299,726 | 9,937,839 10,000,000 20,051,790 2,723,664 |
| | Distressed Debt Subtotal | 35,956,659 | 42,713,293 |
| | DISTRESSED GRAND TOTAL | 36,132,624 | 53,566,403 |
| BRAHMAN INSTITUTIONAL PTNRS LP EMINENCE LEV LONG ALPHA LTD EMINENCE LONG ALPHA LTD FINE OFFSHORE FUND LTD LONE PINON SAB OVERSEAS FUND LTD SAVANNAH BALTIMORE OFFSHORE LT THE CHILDREN S INVESTMENT FUND | LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS LMTD PARTNRSHIP UNTS | 20,000,000 10,000,000 13,000,000 15,000,000 3,363,000 15,000,000 15,000,000 30,000,000 | 25,494,860 10,654,345 13,660,055 15,155,005 5,668,350 17,183,474 15,636,272 42,894,000 |

| Security Name | Investment Type Name | Base Total Cost | Base Market Value |
|--------------------------------|----------------------------------|-----------------|-------------------|
| TPG AXON PARTNERS OFFSHORE LTD | LMTD PARTNRSHIP UNTS | 10,000,000 | 11,417,901 |
| HF EMINENCE FUND LTD | MUTUAL FUNDS | 12,000,000 | 13,361,795 |
| US DOLLAR | FOREIGN CURRENCY | 30,000,000 | 30,000,000 |
| | | , | |
| | Long/Short Subtotal with Cash | 173,363,000 | 201,126,057 |
| | Long/Short Subtotal without Cash | 143,363,000 | 171,126,057 |
| | | | |
| CHESAPEAKE PARTNERS INTL LTD | LMTD PARTNRSHIP UNTS | 20,000,000 | 23,175,018 |
| FARALLON CAPITAL INST PARTNERS | LMTD PARTNRSHIP UNTS | 40,000,000 | 43,294,680 |
| OZ EUROPE OVERSEAS FUND LTD | LMTD PARTNRSHIP UNTS | 10,000,000 | 12,353,464 |
| OZ OVERSEAS FUND LTN | LMTD PARTNRSHIP UNTS | 15,000,000 | 22,414,793 |
| | Event Driven Subtotal | 85,000,000 | 101,237,955 |
| BAY RESOURCE PRTNRS OFFSHORE | LMTD PARTNRSHIP UNTS | 5,000,000 | 7,530,058 |
| CADMUS CAPITAL FUND LTD | LMTD PARTNRSHIP UNTS | 5,000,000 | 5,530,523 |
| CANTILLON US LOW VOLATILITY LT | LMTD PARTNRSHIP UNTS | 5,000,000 | 5,463,000 |
| CAVALRY TECH OFFSHORELTD | LMTD PARTNRSHIP UNTS | 5,000,000 | 5,256,811 |
| JL PARTNERS | LMTD PARTNRSHIP UNTS | 10,000,000 | 11,614,540 |
| SARAS CAPITAL PTNRS OFFSHORE | LMTD PARTNRSHIP UNTS | 4,000,000 | 3,995,200 |
| THE ELKHORN FUND LLC | LMTD PARTNRSHIP UNTS | 5,000,000 | 5,571,858 |
| TPG AXON PTNRS OFFSHORE LTD II | LMTD PARTNRSHIP UNTS | 10,000,000 | 11,417,901 |
| WELLINGTON MANAGEMENT INVESTOR | LMTD PARTNRSHIP UNTS | 7,500,000 | 8,122,927 |
| | Actor Feet Lang/Chart Cubtotal | FC F00 000 | C4 F02 010 |
| | Aetos Fof Long/Short Subtotal | 56,500,000 | 64,502,819 |
| VIII 0 | | | |
| KING STREET CAPITAL LP | LMTD PARTNRSHIP UNTS | 10,021,140 | 12,064,400 |
| MILLGATE INTERNATIONAL LTD | LMTD PARTNRSHIP UNTS | 6,500,000 | 6,701,585 |
| PEQUOT CORP OPPORT OFFSHORE | LMTD PARTNRSHIP UNTS | 5,000,000 | 5,126,145 |
| PERRY PARTNERS INTL INC | LMTD PARTNRSHIP UNTS | 10,243,386 | 12,246,812 |
| SATELLITE OVERSEAS FUND LTD LP | LMTD PARTNRSHIP UNTS | 5,000,000 | 5,789,126 |
| SOWOOD ALPHA FUND LTD | LMTD PARTNRSHIP UNTS | 8,500,000 | 9,192,391 |
| | Aetos FoF Event Driven Subtotal | 45,264,526 | 51,120,458 |
| GMO MEAN REVERSION FD OFFSHORE | LMTD PARTNRSHIP UNTS | 2,500,000 | 3,014,013 |

| Security Name | Investment Type Name | Base Total Cost | Base Market Value |
|---|---|----------------------|------------------------|
| | Aetos FoF Other Subtotal | 2,500,000 | 3,014,013 |
| | Aetos Total | 104,264,526 | 118,637,290 |
| | HEDGE FUNDS TOTAL | 332,627,526 | 391,001,302 |
| Aetos FoF Icarus | Investment Receivables | 5,357,743 | 5,357,743 |
| Argus Healthcare | Investment Receivables | 484,914 | 484,914 |
| Lone Pine | Investment Receivables | 1,637,000 | 1,637,000 |
| Standard Pacific | Investment Receivables Investment Receivables | 823,370 | 823,370 227,897 |
| Aetos Management Fees | , investment Receivables | | -227,807 |
| Year End Market Value Adjustmen | Investment Receivables total t | 8,303,027 | 8,075,220 2,431,488 |
| • | | 407,063,176 | 485,074,413 |
| | | | |
| GRAND TOTAL - RF NON_MARKETABLE SECURITES | S ' | 977,293,209 | 972,842,229 |
| FOREIGN GOVT - BONDS - NEW ZEALAND | 4 5% 15 Feb 2016 | 573,183 | 1,201,972 |
| PHILANTHROPIC VENTURES HOLDING CORP. | | 0 | 182,968 |
| HARVEST FARM SEEDS, LTD. NETOMAT, INC. | | 332,260 1,157,421 | 166,130 0 |
| PROGRAMMATIC INVESTMENTS TOTAL | <u> </u> | 1,489,681 | 349,098 |
| INVESTMENTS OTHER-TOTAL | | 979,356,073 | 974,393,298 |

THE ROCKEFELLER FOUNDATION Employer ID No. 13-1659629 Form 990PF - 2005

RECEIVABLES DUE FROM OFFICERS (Part II - line 6)

| | Column a | Column b | Column c |
|---|----------|----------|----------|
| Travel advances made in connection | | | |
| with official business of the Foundation. | 3,620 | 0 | 0 |

DETAILS OF OTHER ASSETS (Part II - line 15)

| PROGRAM-RELATED INVESTMENTS: | Column a | Column b | Column c |
|--|-----------|-----------|-----------|
| Pacific Community Ventures LLC | 500,000 | 460,571 | 307,303 |
| Smithsonian Institution | 500,000 | 500,000 | 250,000 |
| BCLF Ventures II, LLC (Boston Community Capital) | 750,000 | 750,000 | 620,099 |
| Origin, Inc. | 424,626 | - | - |
| Jacobs Center for Neighborhood Innovation | 1,000,000 | 1,000,000 | 1,000,000 |
| Calvert Social Investment Foundation | | 450,000 | 450,000 |
| Centenary Rural Development Bank, Ltd. | - | 200,000 | 200,000 |
| Part II, Line 15, TOTAL OTHER ASSETS | 3,174,626 | 3,360,571 | 2,827,402 |

THE ROCKEFELLER FOUNDATION Employer ID No. 13-1659629 Form 990PF - 2005

DETAILS OF OTHER LIABILITIES (Part II - line 22)

| | Column a | Column b |
|---|--------------|--------------|
| Tax-exempt bonds to fund facility purchased in 1993 | \$23,497,198 | \$22,749,511 |

THE ROCKEFELLER FOUNDATION

Employer ID No. 13-1659629

Form 990-PF 2005

Part VIII, Line 1 - Information About Officers, Directors, Trustees, etc.

Trustees
Time devoted to position - average of two hours per week, primarily in preparation for and in attendance at board meetings. Compensation (Column (c)) represents annual honoraria and board meeting fees. Column (d) represents deferred compensation (Sec. 457) only. Expense account and other allowances (Column (e)) represents spousal travel expense

| (A) Nove | | (a) C | (d) Deferred compensation | (e) Expense account, other |
|------------------------------------|----------------------------|------------------|---------------------------|----------------------------|
| (a) Name | • | (c) Compensation | | allowances |
| Cardoso, Fernando H | | 5,000 | | |
| Foege, William H | | 9,000 | | |
| Hamburg, Margaret | | 9,000 | | |
| Healey, Thomas J | | 9,000 | | |
| Hernandez, Antonia | | 9,000 | | |
| Huang, Alice | | 9,000 | | |
| Masiyiwa, Strive* | | 18,000 | | 1,673 |
| Mathews, Jessica T | | 9,000 | | |
| Natalicio, Diana | | 9,000 | | |
| Orr, III, James F | | 9,000 | | 359 |
| Ramphele, Mamphela* | | 16,000 | | |
| Williams, Frederick B. | | 9,000 | | |
| Vo-Tong, Xuan | | 9,000 | | |
| -Trustee Finance Committee Members | | | | |
| Hamilton, Beverly | | 9,000 | | |
| Handy, Alice | | 9,000 | | |
| | Subtotal: | 147,000 | | 2,032 |
| | Total Trustee Compensation | 147,000 | (column c & d) | |

^{*} A portion of the compensation for these officers is actually a delayed payment of their 2004 fees.

THE ROCKEFELLER FOUNDATION Employer ID No. 13-1659629 Form 990-PF 2005 Part VIII, Line 1 - Information About Officers, Directors, Trustees, etc.

Corporate Officers
Compensation represents salaries, nonuses, vacation, restoration pay and severance pay
Compensation represents salaries, nonuses, vacation, restoration pay and severance pay
Compensation represents salaries, nonuses, vacation, restoration pay and severance pay
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Compensation represen life, disability and accident insurance, eTrac transit, employer contribution to the Retirement Savings Plan and for Social Security and Medicare taxes Column (d) does not include the value of incremental accruals under the qualified defined benefit plan (Retirement Income Plan) Expense account and other allowances (Column (e)) includes spouse travel, moving expenses, housing allowance and tuition

| | (a) Name | (b) Title | Hours/Week | (c) Compensation | (d) Contributions to employee benefit plans | (e) Expense account, other allowances |
|---|---|-------------------------------|------------|------------------|---|--|
| | Rodin, Judith (from 3/01/05) | President | 45 | 497,979 | 79,396 | |
| | Shmavonian, Nadya(from 4/01/05) | Interim Vice President | 40 | 187,500 | 37,636 | |
| | Mullen, Lynda | Corporate Secretary | 45 | 215,250 | 58,901 | |
| | Foster, Pamela O | | | | | |
| | | Assistant Corporate Secretary | 40 | 110,468 | 43,098 | |
| | Julia Lopez (through 6/30/05) | Senior Vice President | 45 | 223,920 | 32,716 | 626 |
| • | Dean, Donna J. | Treasurer and Chief | | | | |
| | | Investment Officer | 45 | 628,785 | 48,139 | |
| | Mbacke,Cheikh | Vice President | 45 | 264,823 | 51,556 | 3,000 |
| | Giacometti, Robert J. (through 4/30/05) | Vice President | 45 | 92,911 | 28,557 | |
| | | Subtotal: | | 2,221,635 | 379,999 | 3,626 |
| | | GRAND TOTAL | | 2,368,635 | 379,999 | 5,658 |

Investment-related *

628,785

All other officer compensation paid to officers, directors & trustees has been allocated to disbursements for charitable purposes (See Page 1, Line 13, Column D)

The Rockefeller Foundation

EIN#: 13-1659629 FYE: 12/31/2005

The revised bylaws attached to the Form 990-PF were those in effect as of 12/31/2005. A current version of the bylaws is posted on the Foundation's website, www.rockfound.org.

THE ROCKEFELLER FOUNDATION

BYLAWS

(As amended and restated, April 20-21, 2005)

FOREWORD

The Rockefeller Foundation as now constituted is a corporation resulting from the consolidation - pursuant to the Membership Corporations Law of the State of New York - of The Rockefeller Foundation, a corporation created by Special Act of the legislature of the State of New York (Chapter 488 of the Laws of 1913, approved May 14, 1913), and The Laura Spelman Rockefeller Memorial, a corporation incorporated under the Membership Corporations Law of the State of New York on October 9, 1918.

The Consolidation of the two corporations in accordance with an agreement for consolidation was approved on January 3, 1929, by an order of the Supreme Court of the State of New York and a certified copy of the order was filed with the Secretary of State of the State of New York on the same date.

The Bylaws of The Rockefeller Foundation as amended through April 20-21, 2005, follow.

TRUSTEES

- Section 1. The board of trustees of the corporation shall consist of not fewer than 12 members, as fixed by vote of the majority of the entire number of the board authorized at the time of such vote.
- Section 2. No salaried officer of the corporation other than the president shall be eligible to serve as a trustee.
- Section 3. Trustees shall be elected at the annual meeting each year and shall be expected to serve for five years, although shall have no right to do so, except that the board chair and the president shall be re-elected as trustees so long as they continue in office. A trustee who has served five years shall be eligible for re-election annually for an additional five years. A trustee may only serve for ten full consecutive years and shall not be eligible for re-election for at least two years after the trustee has ceased to be a trustee.
- Section 4. The absence of a trustee from three consecutive meetings of the board shall be deemed to be a resignation as trustee, effective as of the date of such third meeting unless the board signifies otherwise by vote of a majority of the duly elected trustees.
- Section 5. At any meeting of the board an existing or anticipated vacancy in the place of a trustee may be filled, effective immediately or prospectively on a date fixed by the board.
- Section 6. The vote of a majority of the trustees then in office shall be necessary to elect a trustee.

BOARD MEETINGS

- Section 7. Regular meetings of the board of trustees may be held on such dates and at such times and places as set by the secretary, subject to approval of the board of trustees. The annual meeting of the board shall be held in the spring of each year. A special meeting of the board may be called, and the date, time and place of the meeting shall be set, by the board chair, the president or any three trustees.
- Section 8. The secretary shall give to each trustee not less than ten days' written notice of the time and place of each meeting of the board.
- Section 9. At the annual meeting of the board the president and the treasurer shall present the annual financial report required by Section 519 of the New York Not-for-Profit Corporation Law or any successor statute. The report shall be filed with the minutes of the annual meeting.
- Section 10. A majority of the trustees then in office shall constitute a quorum for the transaction of business at meetings of the board. Except as required by law or these bylaws, all matters shall be decided by a majority vote of the trustees present. In the absence of a quorum at the time and place set for a meeting of the board, the trustees present may adjourn the meeting from time to time until a quorum is present.

Section 11. Any one or more of the trustees may participate in a meeting of the board by means of conference telephone or other communications equipment allowing all persons participating in the meeting to hear each other at the same time. Participation by such means shall be deemed presence in person at the meeting.

Section 12. Any action required or permitted to be taken by the board may be taken without a meeting, if all the trustees consent in writing to the adoption of a resolution authorizing the action. The resolution and the written consents thereto shall be filed with the minutes of the board.

OFFICERS

Section 13. The officers of the corporation shall be a board chair, a president (both of whom shall be or become trustees of the corporation), one or more vice presidents, a secretary, a treasurer, and such assistant secretaries and assistant treasurers or other officers as shall be deemed appropriate to carry out the business of the corporation. With the exception of the board chair and the president, who shall be elected by the board, all officers of the corporation shall be elected by the board upon recommendation of the president. Between meetings of the board, the president may appoint officers of the corporation (other than a board chair and a president), subject to approval by the board at its next meeting. Any officer whose duties and powers are not described in these bylaws shall have such duties and powers as the board or the president shall determine.

Section 14. The board chair shall be elected for a term of five years and may be reelected for one additional term. All other officers shall be elected for an indefinite term and hold office at the pleasure of the board.

Section 15. The president's compensation shall be set by the board of trustees or by the executive committee, on recommendation of the budget and compensation committee. The compensation of all other salaried officers shall be determined in accordance with procedures approved by the budget and compensation committee.

BOARD CHAIR

Section 16. The board chair, when present, shall preside at all meetings of the board. In the absence of the board chair the trustees present shall appoint one of their own number to preside. The board chair shall be a member ex officio, with the right to vote, of all standing committees and of the finance committee.

PRESIDENT

Section 17. The president shall be the chief executive officer of the corporation, responsible to the board for the administration of the corporation's business and affairs. The president shall recommend to the board candidates for all offices except those of board chair and president. Except as otherwise provided in these bylaws or by resolution of the board, the president shall sign for the corporation all deeds, memoranda of law, powers of attorney and other formal in-

struments. The president shall be a member ex officio, with the right to vote, of the finance committee and of all standing committees except the audit committee. In the absence or disability of the president, a vice president or other officer designated by the board shall have the powers and duties of the president.

VICE PRESIDENTS

Section 18. The vice president or vice presidents shall have such duties as may be assigned by the president.

SECRETARY

Section 19. The secretary shall give notice, as provided in these bylaws, of all meetings of the board of trustees and the executive committee, shall prepare, under the direction of the president, dockets of the business to be transacted at these meetings and shall keep the minutes of these meetings. The secretary shall have the custody of the corporate seal and shall have the authority to affix the same to any instrument requiring it, and when so affixed, to attest it. The secretary shall in general perform all duties incident to the office of secretary and shall perform such other administrative duties as the president or the board of trustees may direct. In the absence or disability of the secretary, any assistant secretary shall perform the duties of the secretary.

TREASURER

Section 20. The treasurer, subject to these bylaws and to any resolutions of the board of trustees and the finance committee, shall have responsibility for the investment funds and securities of the corporation and shall deposit, or cause to be deposited, the investment funds and the securities of the corporation in such banks, trust companies, custody accounts or other depositories as the treasurer may deem advisable.

Section 21. The treasurer, subject to these bylaws and to any resolutions of the board of trustees and the finance committee, shall develop and recommend the asset allocation strategy, investment strategies and spending policies of the corporation, and, in accordance with such guidelines and policies as approved by the finance committee, shall have the authority and responsibility to operate the investment program, including (i) monitoring the performance of the investment managers and custodians; (ii) allocating assets among the investment managers and custodians; (iii) establishing the investment guidelines to be followed by each investment manager and custodian; (iv) approving and executing all contracts with custodians, trustees, investment managers and investment partners and executing investment-related powers of attorney; and (v) approving the proxy voting process with respect to securities owned by the corporation, including appointing other internal individuals, the investment advisors that initiated the securities' purchase, or external proxy voting services to execute or to rescind proxies.

Section 22. The treasurer shall report to the finance committee on the performance of the investment program. The treasurer shall keep or cause to be kept, and the director, financial resources shall from time to time review, proper books of account and other books showing at all times the character, value and amount of the investments and funds of the corporation. The books

and records shall be at all times open to the inspection of the trustees, and shall be provided to the firm of certified public accountants selected to perform the corporation's annual audit. The treasurer or an assistant treasurer shall serve as secretary and keep the minutes and other records of the finance committee, including a record of actions taken on investment matters between meetings of the finance committee, and shall quarterly send copies of such minutes and records to all members of the finance committee.

Section 23. The treasurer shall have and execute such other authorities as may be delegated to the treasurer by the finance committee, and shall perform such other fiscal duties as the president may direct. In the absence or disability of the treasurer, any assistant treasurer shall perform the duties of the treasurer.

Section 24. The treasurer and each staff member in the treasurer's office shall be bonded for the faithful performance of their duties, as appropriate.

ASSOCIATE VICE PRESIDENTS, DIRECTORS AND DEPUTY, ASSOCIATE AND ASSISTANT DIRECTORS

Section 25. The president shall appoint one or more associate vice presidents, directors, deputy directors, associate directors and assistant directors as shall be deemed appropriate to carry out the programs and administrative operations of the corporation, and shall present such appointments for ratification at the next subsequent meeting of the board.

Section 26. **Program Directors**: Each director shall have primary responsibility, under the direction of the president, for a division or program and shall perform such other duties as may be assigned by the president or the relevant vice president.

Section 27. **Director, Financial Resources**: The director, financial resources shall keep proper records of all appropriations, budgets and other authorizations of expenditure and shall maintain duly itemized and classified accounts of expenditures and shall perform such other duties as may be assigned by the president or the relevant vice president. The director, financial resources shall have responsibility for the operational accounts of the corporation and shall establish procedures for payments of funds of the corporation and for each annual meeting of the board shall prepare such financial statements and reports as the board may require. The director, financial resources shall coordinate the preparation of the materials to be provided to the firm of certified public accountants selected to perform the corporation's annual audit.

Section 28. **Director, Communications**: The director, communications, shall have responsibility for developing and directing the internal and external communications activities of the corporation and shall perform such other duties as may be assigned by the president or the relevant vice president.

COMMITTEES

Section 29. By resolution adopted by a majority of the entire authorized number of trustees, the board of trustees shall designate the following standing committees from among its members: an executive committee, an audit committee, a budget and compensation committee

and a trusteeship committee, and may also designate from among its members other standing committees of not fewer than three trustees, each of which shall have the authority delegated to it by these bylaws or the board. The board shall also designate a finance committee, a majority of whose members shall be trustees.

Section 30. The board may establish additional committees and determine their powers and duties. Such committees may have members who are not trustees.

Section 31. Except as otherwise provided in these bylaws or by the board, members of committees shall be elected each year at the annual meeting and shall be eligible for re-election. The members of each committee and each committee chair shall serve at the pleasure of the board for the term specified in these bylaws or by the board. A vacancy in any committee may be filled by the board at any meeting. Except as otherwise provided in these bylaws, any committee member elected to fill a vacancy shall serve for the remainder of the unexpired term.

Section 32. Except as otherwise provided in these bylaws, (a) meetings of each committee shall be held on the call of the board chair, the president, the committee chair or a majority of its members, and (b) a majority of the committee members present in person shall constitute a quorum and action shall be taken by a majority vote of those present. If a committee chair is not designated by these bylaws or the board, the board chair shall designate such committee chair. A committee chair shall be eligible for re-election.

Section 33. No committee shall have authority to:

fill vacancies in the board or in any committee;

fix compensation of the trustees for serving on the board or on any committee;

amend or repeal these bylaws or adopt new bylaws; or

amend or repeal any resolution of the board which by its terms shall not be so amendable or repealable.

Section 34. Any one or more members of a committee may participate in a meeting of the committee by means of conference telephone or other communications equipment allowing all persons participating in the meeting to hear each other at the same time. Participation by such means shall be deemed presence in person at the meeting.

Section 35. Any action required or permitted to be taken by any committee may be taken without a meeting, if all the members of the committee consent in writing to the adoption of a resolution authorizing the action. The resolution and the written consents thereto by the members of such committee shall be filed with the minutes of the committee.

Section 36. Each committee shall report its actions to the board as required by these bylaws or by the board.

EXECUTIVE COMMITTEE

Section 37. The executive committee shall consist of the board chair, the president and the chairs of the other standing committees and of the finance committee, ex officio, with the right to vote.

Section 38. During periods between meetings of the board, the executive committee shall have all the powers and duties of the board except the power to alter fundamental policies of the board, the power to make appropriations which are not in accordance with the general policies approved by the board, the power to elect the board chair or the president and the power to exercise the authorities described in Section 33.

Section 39. A majority of the members of the executive committee shall constitute a quorum for the transaction of business at meetings of the committee and action shall be taken by majority vote of those present at the meeting. The board chair shall be the chair of the executive committee. In the absence of the board chair, the president or, if absent, a member of the committee designated by the board chair shall preside at meetings of the committee.

Section 40. Whenever action is taken by the executive committee at a meeting or by unanimous consent, a written summary of the actions taken shall be sent to each trustee. At each meeting of the board the executive committee shall present a written report of actions taken since the preceding meeting of the board.

FINANCE COMMITTEE

Section 41. The finance committee shall consist of the board chair and the president, ex officio, with the right to vote, and not fewer than five other members, provided that a majority of the members shall be trustees. The finance committee chair, who shall be a trustee, shall be elected by the board at each annual meeting. At any other meeting of the board, a vacancy in the finance committee chair may be filled by the election of a chair to serve until the next annual meeting.

Section 42. The finance committee shall have the power and responsibility to:

approve the asset allocation strategy and the investment strategies of the corporation, based on the treasurer's annual investment policy recommendation including the allocations to the various asset classes, and on the treasurer's periodic asset class strategy recommendations;

approve the spending policies of the corporation, based on the treasurer's annual recommendation on spending policy and long-term spending objectives;

monitor the performance of the investment program, tak ing into account risk and return objectives;

monitor the performance of the treasurer's office; and

authorize the treasurer's office to function as an investment manager, subject to the corporation's investment guidelines approved by the finance committee for such internally managed assets.

Section 43. The chair of the finance committee shall have the power and responsibility, on recommendation of the treasurer, to select, appoint and terminate investment managers and to vest in such managers the power to make and change investments, subject to the corporation's investment guidelines, including, without limitation, (i) buying and selling securities, unregistered securities, mortgages, insurance contracts, partnership interests, participation in limited liability companies, real estate, derivative instruments, and other investment vehicles and (ii) taking other necessary actions to protect the corporation's interests with regard to such investments. The chair of the finance committee shall also serve as an ex officio member of the audit committee, with the right to vote.

Section 44. Meetings of the finance committee shall be held on the call of any one of its members. A majority of members of the finance committee shall constitute a quorum for the transaction of business at meetings of the committee, and action shall be taken by majority vote of those present at the meeting.

Section 45. From time to time the finance committee shall keep the board of trustees advised of the performance of the corporation's investments and of its investment managers.

BUDGET AND COMPENSATION COMMITTEE

Section 46. The budget and compensation committee shall consist of the board chair and the president, ex officio, with the right to vote, and not fewer than four other members of the board of trustees. The budget and compensation committee chair shall be elected by the board at each annual meeting. At any other meeting of the board, a vacancy in the budget and compensation committee chair may be filled by the election of a chair to serve until the next annual meeting.

Section 47. The budget and compensation committee shall review and make recommendations with respect to such matters affecting the corporation's budgets, expenditures and appropriation guidelines, and the compensation and benefits of corporate officers and staff, as may be assigned to it by the board.

Section 48. A majority of members of the budget and compensation committee shall constitute a quorum for the transaction of business at meetings of the committee, and action shall be taken by majority vote of those present at the meeting.

AUDIT COMMITTEE

Section 49. The audit committee shall consist of the board chair, ex officio, with the right to vote, and not fewer than five other members of the board of trustees. The audit committee chair shall be elected by the board at each annual meeting. At any other meeting of the board, a vacancy in the audit committee chair may be filled by the election of a chair to serve until the next annual meeting.

Section 50. The audit committee shall cause the accounts and funds of the corporation to be audited and certified annually by a firm of certified public accountants selected by the committee, shall define the scope of the audit to be performed, shall review the compensation to be paid to such firm and shall review the annual financial statements of the corporation. The audit committee shall review regularly the status and adequacy of the corporation's financial safeguards and internal controls, including its administrative and program management and effectiveness systems, and may examine and consider such other matters relating to the audit of the accounts of the corporation and the corporation's financial affairs as the committee may determine to be desirable.

Section 51. A majority of members of the audit committee shall constitute a quorum for the transaction of business at meetings of the committee, and action shall be taken by majority vote of those present at the meeting.

TRUSTEESHIP COMMITTEE

Section 52. The trusteeship committee shall consist of the board chair and the president, ex officio, with the right to vote, and not fewer than four other members of the board of trustees. The trusteeship committee chair shall be elected by the board upon the recommendation of the board chair at each annual meeting. At any other meeting of the board, a vacancy in the trusteeship committee chair may be filled by the election of a chair to serve until the next annual meeting.

Section 53. The trusteeship committee may make recommendations at any meeting of the board regarding trustees to be elected to fill existing or anticipated vacancies and shall make recommendations at any meeting of the board regarding appointments to fill any existing or anticipated vacancy in the office of board chair, president, or in the membership or chair of a committee. A member of the trusteeship committee shall abstain from participation in any recommendation with respect to the member's appointment as an officer, trustee, committee member or committee chair. The trusteeship committee shall be responsible for developing and administering the conflict of interest and other governance policies, orientation and continual education of trustees, and evaluation of board and trustee performance, and shall perform such other duties as may be assigned by the board.

Section 54. A majority of members of the trusteeship committee shall constitute a quorum for the transaction of business at meetings of the committee, and action shall be taken by majority vote of those present at the meeting.

GENERAL FISCAL PROVISIONS

Section 55. Contracts, checks and other instruments: In addition to any specific authorizations contained in or pursuant to these bylaws, the board of trustees may authorize one or more officers or other persons to enter into any contract or to execute and to deliver any instrument or to sign checks or authorize electronic transfers upon any accounts held by the corporation. Any such officers or other persons with these responsibilities shall be bonded for the faithful performance of their duties, as appropriate.

Section 56. Loans: No indebtedness shall be incurred on behalf of the corporation and no negotiable paper shall be issued in its behalf unless authorized by vote of the board or the finance committee. When so authorized, any officer of the corporation may effect loans and advances at any time for the corporation from any bank, trust company or other similar institution, or from any firm, corporation or individual.

FISCAL YEAR

Section 57. The fiscal year of the corporation shall be the calendar year.

CONFLICT OF INTEREST POLICY

Section 58. To ensure adherence by trustees and staff to the highest ethical standards in all matters affecting the corporation's administration and operations, the board shall from time to time adopt a conflict of interest policy as recommended by the trusteeship committee. This policy shall be designed to identify conflicts of interest and shall require full disclosure by the individual involved of any conflict or potential conflict.

INDEMNIFICATION

Section 59. Except as limited by law, the corporation (1) shall indemnify and advance expenses to each trustee, officer, non-trustee member of the finance committee and employee and (2) may indemnify and advance expenses to any agent or member of any committee of the corporation, in each case to the extent that such individual has been made, or threatened to be made, a party to any action by reason of the fact that such individual is or was a trustee, officer, employee, committee member or agent, or at the request of the corporation served any other corporation or enterprise in any capacity, and in each case provided that the Board has determined that the indemnified person was acting in good faith and within the scope of his or her authority.

NOTICES

Section 60. All notices required by these bylaws shall be given by the secretary in writing and may be delivered in person, mailed or sent by facsimile or other electronic means addressed to members of the board, or of any committee, as the case may be. A notice shall be unnecessary if waived in writing or if the individual attends the meeting without protesting before the meeting or at its beginning the lack of notice.

DISSOLUTION

Section 61. In the event of the liquidation, dissolution or winding up of the corporation (whether voluntary, involuntary or by operation of law), the corporation's property or assets shall not be conveyed or distributed to any director, officer, member, employee or member of a committee of, or person connected with, the corporation, or any other private individual, nor to any organization created or operated for profit; but, after deducting all necessary expenses of liquidation, dissolution or winding up, as the case may be, all the remaining property and assets of the corporation shall be distributed only to such other organizations as shall then qualify under Section 501(c)(3) of the Internal Revenue Code as the trustees of the corporation shall in their discretion determine.

AMENDMENTS

Section 62. Provided that written notice of the text of proposed amendments has been sent to every trustee at least ten days in advance of the date of meeting, these bylaws may be amended at any meeting of the board of trustees by a vote of a majority of the trustees then in office, except that a change in the number of trustees authorized in Section 1 shall require the vote of a majority of the entire authorized number of trustees and further that Section 61 may not be amended unless permitted by applicable law.

The Rockefeller Foundation

EIN#: 13-1659629 FYE: 12/31/2005

The Rockefeller Foundation regularly provides food and lodging for conferences relating to its exempt purposes at its Study and Conference Center located in Bellagio, Italy. In 2005, the Foundation furnished food and lodging to four U.S. government officials who attended these conferences (see list attached); such benefits were provided pursuant to a ruling from the Internal Revenue Service, secured by the Foundation in 1975, that such transactions would not be acts of self-dealing. A copy of the ruling is attached.

Government Officials Attending Bellagio Conferences or Teams - 2005

BARKS-RUGGLES, Erica J. (F) USA – Policy Planning Staff, U.S. Department of State, Washington, DC. (Attended the meeting "Global Dialogues on Islam and the West: The Challenge of Arab Reform - Whose Agenda?." Stayed at the Center September 29 to October 3.)

BREYER, Stephen (M) USA – Associate Justice, United States Supreme Court, Washington, DC. (Attended the meeting "Terrorism, Globalism and the Rule of Law." Stayed at the Center July 18 to 25.)

BUCHWALD, Todd (M) USA – Assistant Legal Advisor, U.S. Department of State, Washington, DC. (Attended the meeting "Forging a Transatlantic Consensus on the Legal Rules and Institutions Governing the Use of Force by Nation States." Stayed at the Center August 29 to September 2.)

TAFT, William (M) USA – Legal Advisor, U.S. Department of State, Washington, DC. (Attended the meeting "Forging a Transatlantic Consensus on the Legal Rules and Institutions

SUMMARY OF LARGEST DIRECT CHARITABLE ACTIVITIES

The Foundation operated the following two direct charitable activities in 2005:

Bellagio Study and Conference Center, Italy - \$6,181,315.00

The Foundation's Bellagio Study and Conference Center, located in Bellagio, Italy, had operating expenses of \$5,172,655.00 in 2005. Since 1959, the Center has served as a resource for fostering dialogue and problem solving for diverse participants around the world. The Center hosts conferences that focus on topics of international importance, with preference given to applications that promote development and align with the Foundation's programming. In 2005, the Center hosted 58 conferences and team meetings with a total of 962 participants; 68 percent of the participants were from outside the United States, with 38 percent from developing countries. In addition to conferences and teams, the Center hosted 143 residents, 36 percent of whom were from outside the United States, with 20 percent from developing countries. A listing of 2005 conferences, teams and individual residencies is attached.

In addition to the Center's operating expenses, the Bellagio Center office in New York, which in charge of marketing and advertising the Center, as well as coordinating the review of all applications, had operating expenses of \$1,008,660.00 in 2005. This office is responsible for soliciting proposals and managing their review and disposition, including coordinating internal and external reviewers; assessing needs of the program as a whole; drafting policy for consideration of the Bellagio Committee, which ultimately makes decisions about conferences and residencies; working with Foundation staff to maximize use of the Center in flexible and innovative ways; and communicating regularly and exchanging information with the Center in Italy.

The Philanthropy Workshop - \$ 607,653.00

The mission of The Philanthropy Workshop (TPW) is to create an active, global association of strategic philanthropists with the skill, commitment and imagination to make a significant contribution to the pressing issues of our time. TPW consists of four modules, offered over the course of a year, that provide opportunities for leadership development, lifelong learning and collaborative problem solving. Each module explores critical elements of international and strategic philanthropy through a variety of methods, including site visits, case studies, seminars, discussions, colloquia and retreats. TPW also brings together alumni of the program for ongoing learning, international site visit modules to the developing world, and collaborative grantmaking. In 2005, the Foundation also provided funding for a related project, TPW West, co-funded with the William and Flora Hewlett Foundation.

Bellagio Study and Conference Center Conferences and Teams – 2005

Global Dialogue Series

On Intellectual Property

Intellectual Property and Sustainable Development - Revising the Agenda in a New Context - Mr. David Vivas Eugui, Program Manager on Intellectual Property, Technology and Services, International Centre for Trade and Sustainable Development, Chatelaine, Geneva, Switzerland and Mr. Jacob D. Werksman, Senior Advisor, Rockefeller Foundation, New York, NY (October 24 to 28)

Open Source Models for Collaborative Innovation in the Life Sciences - Mr Todd Barker, Partner and Senior Mediator, Meridian Institute, Jericho, VT and Mr. Jacob D. Werksman, Senior Advisor, Rockefeller Foundation, New York, NY and Mr Steve Hughes, Exeter University, Exeter, Devon, England and Dr Joe Karaganis, Program Officer Culture, Social Science Research Council, New York, NY (September 6 to 10)

On Islam and the West

Challenge of Arab Reform - Whose Agenda? - Mr Clifford Chanin, President, The Legacy Project, Brooklyn, NY (September 29 to October 3)

Islam in Southeast Asia and Africa - Recentering the Periphery - Mr Clifford Chanin, President, The Legacy Project, Brooklyn, NY (November 11 to 15)

On Transitional Justice

Transitional Justice and Gender - Ms Vasuki Nesiah, Senior Associate, International Center for Transitional Justice, New York, NY (March 17 to 21)

Vetting and Excluding Abusive Officials - Developing Another Approach to Transnational Justice - Dr. Pablo de Greiff, Director, Research Unit, International Center for Transitional Justice, New York, NY (April 7 to 10)

Other Meetings

An Exploratory Executive Session on Technological Development and Health Care in Europe - Dr. Alberto Holly Setton, Professor of Economics, University of Lausanne, Lausanne, Switzerland (May 31 to June 3)

Applying the World Health Organization Roadmap for End-of-Life Care in Diverse Health Care Systems - David J Casarett M D, Assistant Professor of Geriatrics, University of Pennsylvania, Philadelphia, PA and Dr Irene J Higginson, Professor of Palliative Care and Policy, King's College London, London, England and Joan M. Teno M D, Professor of Community Health and Medicine, Brown University, Providence, RI (March 18 to 22)

Biotechnology and Law in Africa - Mr Godber Wilson Tumushabe, Executive Director, Advocates Coalition for Development and Environment, Kampala, Uganda (July 4 to 17)

Building Sustainable Enterprises for the Poor: Best Practices and Lessons for the Field - Dr Jacqueline Novogratz, Chief Executive Officer, Acumen Fund, New York, NY (July 25 to 29)

Construction of Gender in Educational Policies: Latin American Cross-national Perspectives - Dr Nelly Peñaloza Stromquist, Professor of Education, University of Southern California, Los Angeles, CA (February 1 to 6)

Bellagio Study and Conference Center Conferences and Teams – 2005

Cooperation Across Ideological Lines in the Middle East - Dr. Janine Astrid Clark, Associate Professor of Political Science, University of Guelph, Guelph, Ontario, Canada and Dr. Jillian Marie Schwedler, Assistant Professor of Government, University of Maryland at College Park, College Park, MD (August 8 to 13)

Development of Applications of Genomics in Discovery of Drugs for Tropical Diseases - Dr. Sumalee Kamchonwongpaisan, Researcher, National Science and Technology Development Agency, Pathumthani, Thailand and Dr. Chairat Uthaipibull, Natinal Science and Technology Development Agency, Pathumthani, Thailand (August 3 to 9)

Dissemination of New Technologies for Small-holder Farmers in the Developing World - Dr. Pamela Anderson, Deputy Director General for Research, International Potato Center, Lima, Peru (September 13 to 17)

Editorial/Dissemination Team: Cambridge General Economic Survey of Africa - Prof. Robert H. Bates, Eaton Professor of the Science of Government, Harvard University, Cambridge, MA (October 18 to 26)

Editorial Team of "The Correspondence of Samuel Beckett" - Dr. Lois More Overbeck, Research Associate, Graduate School of Arts and Sciences, Emory University, Atlanta, GA (May 11 to 21)

Empire and Modern Political Thought - Dr Sankar Muthu, Assistant Professor of Politics, Princeton University, Princeton, NJ (June 8 to 14)

Ethics Meets the Marketplace: "Best Practices" in Public-Private Partnerships to Adapt Animal and Agricultural Biotechnology to the Needs and Conditions of the Developing World - Dr Cynthia Perrin Schneider, Distinguished Professor in the Practice of Diplomacy, Georgetown University, Washington, DC (October 3 to 7)

Forging a Transatlantic Consensus on the Legal Rules and Institutions Governing the Use of Force by Nation States - Mr. Marc Weller, Assistant Director of Studies, University of Cambridge, Cambridge, England (August 29 to September 3)

Genetics Knowledge for Population Health - Dr. Ronald Leslie Zimmern, Director, Public Health Genetics Unit, Cambridge, England and Ms Wylie G Burke, Professor, University of Washington, Seattle, WA and Dr. Muin J. Khoury, Director, Office of Genomics and Disease Prevention, Centers for Disease Control and Prevention, Atlanta, GA (April 14 to 20)

Girl Mothers in Fighting Forces and Their Post-war Reintegration in Southern and Western Africa - Ms Malia 4 Robinson, Independent Consultant, Child Protection & Psychosocial Programming, Adams, NE (April 12 to 18)

Global to Local, Local to Global: Why Protecting and Improving the Public's Health Needs New Alliances and Paradigms - Dr Allan G. Hill, Andelot Professor of Demography, Harvard University, Cambridge, MA (September 19 to 24)

Global Women's Action Network for Children: Maternal Mortality and Girls' Education - Ms. Marian Wright Edelman, Founder and CEO, Children's Defense Fund, Washington, DC (May 3 to 7)

Globalization and Equity: The Case of International Recruitment of Nurses - Dr. Patricia M. Pittman, Vice-President, Academy Health, Washington, DC (July 5 to 10)

Health Innovations Systems in Developing Countries to Address Diseases of the Poor - Dr Charles A. Gardner, Associate Director, Health Equity, Rockefeller Foundation, New York, NY (April 25 to 29)



Bellagio Study and Conference Center Conferences and Teams – 2005

HIV/AIDS and Social Science Research - Dr. Richard G. Parker, Professor and and Chair, Department of Sociomedical Sciences, Columbia University, New York, NY (June 17 to 21)

Identity, Community and Economic Policy for Poverty Alleviation - Dr. Christopher B Barrett, Associate Professor, Cornell University, Ithaca, NY and Dr. Andrew D. Foster, Professor of Economics, Brown University, Providence, RI (March 29 to April 2)

Institutions, Markets and Policies for African Agriculture - Dr. Johann Frederick Kirsten, Professor of Agricultural Economics, University of Pretoria, Pretoria, South Africa (July 6 to 15)

Leading on Behalf of the World's Children: Twenty Years after the Child Survival Revolution - Dr. Nils M. Daulaire, President and CEO, Global Health Council, White River Junction, VT (April 26 to 30)

Making Agricultural Biotechnology Work for Human Development - Ms Sakiko Fukuda-Parr, Research Fellow, Harvard University, Cambridge, MA and Dr. Nina Dudnik, Harvard University, Boston, MA (May 30 to June 3)

More Than Shelter: Mobilizing Housing Finance for Economic and Social Development - Dr. Pamela Baldwin, Deputy Director, Joint Center for Housing Studies, Harvard University, Cambridge, MA (May 9 to 14)

Negotiating a New National Narrative in Georgia - Dr. James V Wertsch, Professor, Washington University, St. Louis, MO and Dr Zurab Karumidze, Communications Officer, New Movement Public Organization, Tbilisi, Georgia, Republic of (August 1 to 5)

North America Transnational Communities Workshop - Dr. Ruben Puentes, Associate Vice President, Knowledge Management, Rockefeller Foundation, New York, NY and Dr. Katherine McFate, Deputy Director, Working Communities, Rockefeller Foundation, New York, NY (October 13 to 17)

Optimizing the Contribution of Faith-based Organizations to the Prevention, Care and Treatment of HIV / AIDS - Dr Karın E Rıngheim, Director, Global Health Council, Washington, DC (September 8 to 16)

Partnership on Higher Education in Africa - Dr. Joyce L. Moock, Associate Vice President, Rockefeller Foundation, New York, NY (October 6 to 10)

Perceived AIDS Stigma: A Multinational African Study - Dr Leana Ria Uys, Deputy Vice Chancellor, University of KwaZulul-Natal, Durban, South Africa (March 8 to 14)

Poverty, Democracy and Clientelism - Dr Alberto Diaz-Cayeros, Assistant Professor of Political Science, Stanford University, Stanford, CA and Dr Beatriz Magaloni, Assistant Professor of Political Science, Stanford University, Stanford, CA (November 28 to December 2)

Practical Steps to Strengthen Global Civil Society - Mr. David Mepham, Associate Director and Head, International Programme, Institute for Public Policy Research, London, United Kingdom (July 1 to 3)

Prevention of Vascular Diseases in the Emerging World: A Multidisciplinary Approach to Global Health Equity - Dr John Dirks, Chair, International Society of Nephrology, Massey College, Toronto, Toronto, Ontario, Canada (December 12 to 16)

Regional Question in Economic Development - Prof. Allen J. Scott, Professor, University of California at Los Angeles, Los Angeles, CA (August 30 to September 5)





Bellagio Study and Conference Center Conferences and Teams – 2005

Rights, Representation and the Poor: Latin America and India - Mr. John Charles Harriss, Professor of Development Studies, London School of Economics and Political Science, London, England (July 18 to 31)

Rockefeller Foundation Board of Trustees - Ms Lynda Mullen, Corporate Secretary, Rockefeller Foundation, New York, NY (August 19 to 24)

Rockefeller Foundation Program Strategy Development Meeting - Dr. Judith Rodin, President, Rockefeller Foundation, New York, NY (March 3 to 6)

RoKS Competition 2003-4 Workshop on Understanding the Social and Public Policy Dimensions of Transformative Technologies in the South - Ms. Jean Woo, Research Officer, International Development Research Centre, Ottawa, Ontario, Canada and Mr. Paul Dufour, International Development Research Centre, Ottawa, Ontario, Canada (February 7 to 11)

Sanskrit Knowledge Systems on the Eve of Colonialism IV - Prof Christopher Z. Minkowski, Professor of Asian Studies and Classics, Cornell University, Oxford, England (June 28 to July 2)

Scope of Labor Law: Re-drawing the Boundaries of Protection - Dr. Guy Davidov, Lecturer, University of Haifa, Israel and Prof. Mark R Freedland, Oxford University, Oxford, England (May 23 to 27)

TB and Poverty: Are We Doing Enough? - Dr. Stephen Bertel Squire, Senior Lecturer in Clinical Tropical Medicine, Liverpool School of Tropical Medicine, Liverpool, England (December 5 to 9)

Terrorism, Globalism and the Rule of Law - Dr. Michel Rosenfeld, Justice Sydney L. Robins Professor of Human Rights, Yeshiva University, New York, NY (July 18 to 22)

Toward Food Security Among People Dependent on Millet- and Sorghum-Based Systems in West Africa - Dr. Robert M Goodman, McKnight Foundation, Minneapolis, MN (March 31 to April 4)

Transnational Migration: Foreign Labor and Its Impact in the Gulf - Dr. Michael E. Bonine, Professor of Geography, University of Arizona, Tucson, AZ and Dr. Sharon Nagy, Assistant Professor of Anthropology and International Studies, DePaul University, Chicago, IL and Mr. Andrew M. Gardner, Teaching Assistant, University of Arizona, Tucson, AZ (June 20 to 25)

Unprecedented Conversations: Broadening Notions of AIDS Treatment and Care - Dr. George F. Brown M.D., Director, Health Equity, Rockefeller Foundation, New York, NY and Dr. Pathmanathan Naidoo, Associate Director, Health Equity, Rockefeller Foundation, Nairobi, Kenya and Dr. Mary Ann Burris, Executive Director, Trust for Indigenous Culture and Health, Nairobi, Kenya (April 5 to 9)

Van Lennep Subsidies Initiative - The World Trade Organization and Subsidies: Bridging the North-South Divide - Mr David A Boyer, Associate, International Institute for Sustainable Development, Geneva, Switzerland (February 28 to March 3)

Volume 4 Handbook of Agricultural Economics - Dr. T Paul Schultz, Professor of Economics, Yale University, New Haven, CT (May 2 to 6)

Vulnerability to Climate Change in the Developing World - Dr Neil A Leary, Science Director, Assessments of Impacts and Adaptations to Climate Change, International START Secretariat, Washington, DC (March 7 to 14)



Bellagio Study and Conference Center Conferences and Teams - 2005

War and Politics in Medieval and Early Modern Italian City States - Prof Frances McCall Rosenbluth, Professor of Political Science, Yale University, New Haven, CT (December 13 to 16)

Wet - Prof Anne LeBaron, Professor of Music Composition, California Institute of the Arts, Valencia, CA (February 1 to 13)

Women Writing Africa: Northern Region - Ms Florence Howe, Emerita Professor, Graduate Center, City University of New York, New York, NY (February 2 to 15)

Yearbook Seminar on Economic and Social Rights - Dr Marlies Ellen Glassus, Director, London School of Economics and Political Science, London, United Kingdom (February 22 to 26)



Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

- Dr. Monu Abaza (Germany), Associate Professor, American University in Cairo, Cairo, Egypt, Arab Rep. a manuscript, "Consumer Culture and Cairo's Urban Reshaping: Public Spaces, Public Sphere and Democratizing Effects"
- Mr. Lourens W. H. Ackermann (South Africa), Retired Justice, South African Constitutional Court, Cape Town, South Africa a monograph, "The Significance of Dignity for Equality Jurisprudence and Transformation under the South African Constitution: A Comparative Study with Canada and Germany"
- Dr. Marilyn McCord Adams (United States), Regius Professor of Divinity, Oxford University, Oxford, England a manuscript, "The Coherence of Christology: God, Enmattered and Enmattering"
- Dr. Yevgenia Mark Albats (Russian Federation), Professor of Political Science, Moscow Higher School of Economics, Moscow, Russian Federation a manuscript, "Bureaucrats and Russian Transition." The Politics of Accommodation"
- Dr. April Alliston (United States), Professor of Comparative Literature, Princeton University, Princeton, NJ a manuscript, "Character and Plausibility: Gender and the Genres of Historical Narrative (1650-1850 and beyond)"
- Dr. Warwick H. Anderson M.D. (Australia), Robert Turell Prof. of Medical History and Population Health, Prof. of the History of Science Chair, University of Wisconsin at Madison, Madison, WI a research project, "Medicines and Globalization." Historical and Cultural Analysis" (with Adele E Clarke)
- Dr. Jon H. Appleton (United States), Arthur R. Virgin Professor of Music, Dartmouth College, Hanover, NH a performance piece, "Appleton Syntonic Menagerie"
- Dr. Ariel C. Armony (Argentina), Associate Professor Dept. of Government, Colby College, Waterville, ME a study, "Civil Society in Cuba Realities and Possibilities" (with Margaret E. Crahan)
- Dr. Tridib Banerjee (United States), Professor and James Irvine Chair of Urban and Regional Planning, University of Southern California, Los Angeles, CA a manuscript, "Images of Development: City Design in the Third World"
- Dr. Ann M. Banfield (United States), Professor of English, University of California at Berkeley, Berkeley, CA a manuscript, "Tattered Syntaxes' Samuel Beckett, the Mother Tongue and the Revolution of the Syntacticon"
- Mr. Peter Franklin Barnes (United States), Senior Fellow, Tomales Bay Institute, Point Reyes Station, CA a manuscript, "Commons and Markets." Capitalism's Tragic Flaws and How to Fix Them"
- Dr. Ronald Bayer (United States), Professor of Public Health, Columbia University, New York, NY a manuscript, "Shattered Dream? An Oral History of AIDS in South Africa" (with Gerald M. Oppenheimer)
- Dr. Michael C. Beard (United States), Chester Fritz Distinguished Professor of English and Peace Studies, University of North Dakota, Grand Forks, ND translation of the Mihyar poems by Adonis (Ali Ahmad Sa'ıd) (with Adnan Fuad Haydar)
- Dr. Kurol Berger (United States), Professor of Music, Stanford University, Stanford, CA a manuscript, "Time's Arrow and the Advent of Musical Modernity"
- Mr. Mark Berger (United States), Professor of Law, University of Missouri at Kansas City, Kansas City, MO a study. "Comparative Perspectives on the Right to Silence"

Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents - 2005

Dr. Amy J. Binder (United States), Associate Professor of Sociology, University of California at San Diego, La Jolla, CA - a manuscript, "Educated in Self-Sufficiency: The Work of Supportive Direct Services in the American Welfare State"

Mr. Hisham M. Bizri (United States), Assistant Professor, University of Minnesota, Minneapolis, MN - a screenplay, "Al-Qahera" ("Cairo")

Dr. James G. Blight (United States), Professor of International Relations, Brown University, Providence, RI - a monograph, "Kennedy, Johnson, and Vietnam: The Impact of the Presidential Transition and Its Lessons for US Foreign and Defense Policy" (with David A. Welch)

Dr. Alexander Lionel Boraine (South Africa), President, International Center for Transitional Justice, Cape Town, South Africa - a study, "Transitional Justice A Holistic Interpretation"

Dr. Stephen J. Brooke (Canada), Associate Professor of History, York University, Toronto, Ontario, Canada - a manuscript, "Sexual Politics Gender, Sexuality and the British Labour Party, 1920s to 1990s"

Mr. David Darius Brubeck (United States), Professor of Jazz Studies, University of Kwazulu-Natal, Durban, South Africa - music composition for jazz orchestra and vocal ensemble

Ms. Abena P. A. Busia (United Kingdom), Associate Professor of English Literatures, Rutgers State University, New Brunswick, NJ - a manuscript, "At Territorial Borders: Essays on Gender, Race, Exile and Community"

Dr. Rudolph P. Byrd (United States), Associate Professor of American Studies, Emory University, Atlanta, GA - a manuscript, "The Collected Writings of James Weldon Johnson"

Dr. Judy A. Carney (United States), Professor, University of California at Los Angeles, Los Angeles, CA - a manuscript, "Africa's Botanical Legacy in the Atlantic World"

Ms. Yanira H. Castro (United States), Director and Choreographer, New York, NY - research for a dance installation, "Center of Sleep"

Dr. Mary Ann Caws (United States), Distinguished Professor of English, French and Comparative Literature, Graduate School, City University of New York, New York, NY - a manuscript, "Ten Extraordinary Women"

Ms. Anita Ching-Tzu Cheng (United States), Choreographer and Artistic Director, Anita Cheng Dance, Brooklyn, NY - a new performance piece (with Ronaldo Kiel)

Ms. Marilyn Mei Ling Chin (United States), Professor of English, San Diego State University, San Diego, CA - a collection of poems, "Love Sanctuary"

Ms. Lee J. Chinalai (United States), Owner and Vice President, Chinalai Tribal Antiques, Ltd., Shoreham, NY - a bi-lingual book in Thai and English, "Yantra: Magical Talismanic Cloths and Charms" (with Vichai Chinalai)

Mr. Vichai Chinalai (United States), Proprietor and President, Chinalai Tribal Antiques, Ltd., Shoreham, NY - a bilingual book in Thai and English, "Yantra. Magical Talismanic Cloths and Charms" (with Lee J. Chinalai)

Dr. Adele E. Clarke (United States), Prof of Sociology and Adjunct Professor of History of Health Sciences, University of California at San Francisco, San Francisco, CA - a research project, "Medicines and Globalization: Historical and Cultural Analysis" (with Warwick H. Anderson)



Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

- Mr. William Taylor Cleveland (United States), Director, Center for the Study of Art and Community, Bainbridge Island, WA a manuscript, "Art and Upheaval. Artists Working on the World's Frontlines"
- Dr. Frances E. Contreras (United States), Assistant Professor, University of Washington, Seattle, WA a manuscript, "Understanding the Latino Education Gap: Why Latinos Don't Go to College" (with Patricia C Gándara)
- Mr. William V. Costanzo (United States), Professor of English and Film, Westchester Community College, Valhalla, NY a study, "New Trends in Global Cinema"
- Dr. Margaret E. Crahan (United States), Dorothy Epstein Professor of History, Hunter College, City University of New York, New York, NY a study, "Civil Society in Cuba: Realities and Possibilities" (with Ariel C. Armony)
- Mr. Thomas Patrick de Waal (United States), Caucasus Editor and Project Manager, Institute for War and Peace Reporting, London, England a manuscript, "The Black Sea. Diaspora, Diversity and Empire"
- Dr. Vidya J. Dehejia (United States), Professor of Indian Art, Columbia University, New York, NY a manuscript, "The Body Adorned: Sacred and Profane"
- Ms. Elena Del Rivero (United States), Visual Artist, New York, NY a multi-media installation, "[Swi.t] Home A Chant"
- Mr. Daryl G. Dellora (Australia), Film Director, Film Art Doco Pty Ltd., Collingwood, Victoria, Australia a film script, "Crimes of War: The Defeat of Impunity" (with John F. Hocking)
- Mr. Francisco Diez (Argentina), Special Consultant for Democratic Dialogue in Latin America, United Nations Development Programme, Buenos Aires, Argentina a manuscript, "International Mediation in Venezuela, 2002-2004" (with Jennifer Lynn McCoy)
- Dr. Vasanta Duggirala (India), Associate Professor, Osmania University, Hyderabad, AP, India a technical report, "Linguistic Awareness Training in Telugu: An Instruction Manual for Parents and Teachers of Hearing Impaired Children"
- Dr. Barbara Alpern Engel (United States), Professor of History, University of Colorado at Boulder, CO a manuscript, "A Family Affair. Marriage, Its Discontents and the State in Russia, 1881-1914"
- Dr. John Farley (Canada), Adjunct Professor of Biology and History, Dalhousie University, Halifax, NS, Canada a biography, "Magic Bullets and the Cold War: Brock Chisholm and the World Health Organization (1946-1953)"
- Dr. Richard Festinger (United States), Professor of Music Composition, San Francisco State University, San Francisco, CA a new string quartet for the 20th anniversary season of the Earplay Ensemble
- Dr. Harriet Friedmann (Canada), Professor of Sociology, University of Toronto, Toronto, Ontario, Canada a manuscript, "Midas' Feast Turning Food into Gold, 1846-2005"
- Dr. Curt D. Furberg (United States), Senior Advisor to the Dean for Health Services Research and Health Policy, Wake Forest University, Winston-Salem, NC a study, "Increasing Efficiency and Global Equity in Health Care"
- Dr. Patricia C. Gándara (United States), Professor of Education, University of California at Davis, Davis, CA a manuscript, "Understanding the Latino Education Gap: Why Latinos Don't Go to College" (with Frances E. Contreras)

Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

Dr. John Price Gaventa (United Kingdom), Professor and Director, Participation Group, University of Sussex, Brighton, ESS, England - a manuscript, "Claiming Citizenship: Rights, Participation and Accountability"

Dr. Peter Gena (United States), Professor of Art and Technology Studies, School of the Art Institute of Chicago, Chicago, IL - a music/sound installation. "DNA"

Dr. Katherine D. Gibson (Australia), Professor of Human Geography, Australian National University, Canberra, ACT, Australia - a monograph, "Rethinking Economy and Economic Development" (with Julie A Graham)

Ms. Namita Rajiv Gokhale (India), Writer, New Delhi, India - a manuscript, "In Search of Sita" (with Malashri Lal)

Ms. Patricia Gossman (United States), Project Director, Afghanistan Justice Project, Open Society Institute, Amman, Jordan - a manuscript, "Impunity, Stability and Justice in Afghanistan"

Dr. Julie A. Graham (United States), Professor of Geography, University of Massachusetts at Amherst, Amherst, MA - a monograph, "Rethinking Economy and Economic Development" (with Katherine D Gibson)

Mr. Sam Green (United States), Documentary Filmmaker, San Francisco, CA - a feature-length documentary, "The Universal Language"

Dr. Merilee S. Grindle (United States), Edward S. Mason Professor of International Development, Harvard University, Cambridge, MA - a book manuscript and two policy-relevant briefs, "Going Local. Decentralization, Democratization, and the Promise of Good Governance"

Dr. Sarah Guri-Rosenblit (Israel), Associate Professor of Education, Open University of Israel, Raanana, Israel - a manuscript, "Digital Technologies in Higher Education" Sweeping Expectations and Moderate Effects"

Mr. Charles A. Gute (United States), Visual Artist, Brooklyn, NY - a photographic and digital media project, "Epigraphic"

Ms. Lonnée Eileen Hamilton (United States), Screenwriter, Pasadena, CA - a screenplay, "Burnt Lands"

Ms. Karen S. Hartman (United States), Playwright, New York, NY - a new play, "Goliath"

Mr. Michael E. Hartmann (United States), International Prosecutor, United Nations Mission in Kosovo, New York, NY - a policy paper, "Our Lessons Learned: Practitioners' Proposed Rules of Engagement for Successfully Internationalizing Courts in Peacekeeping Missions" (with Agnieszka Marie Klonowiecka-Milart)

Ms. Graciela Viviana Hasper (Argentina), Visual Artist, Capital Federal, Argentina - a manuscript about the conceptual foundations of her work and development of drawings in small scale

Dr. Adnan Fuad Haydar (United States), Professor of Arabic and Comparative Literature, University of Arkansas, Fayetteville, AR - translation of the Mihyar poems by Adonis (Ali Ahmad Sa'id) (with Michael C. Beard)

Mr. Fred S. Hersch (United States), Composer, New York, NY - music composition, "The Baron in the Trees"

Dr. Elizabeth Starr Higginbotham (United States), Professor of Sociology, University of Delaware, Newark, DE - a manuscript, "Black Professional Women in the United States: A Historical and Theoretical Perspective"

Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

Ms. Arnell Josephine Hinkle (United States), Executive Director, California Adolescent Nutrition and Fitness Program, Berkeley, CA - an article, "California Adolescent Nutrition and Fitness: Lessons Learned"

Mr. John F. Hocking (Australia), Deputy Registrar, International Criminal Tribunal for the Former Yugoslavia, United Nations, The Hague, Netherlands - a film script, "Crimes of War: The Defeat of Impunity" (with Daryl G. Dellora)

Dr. Robinson G. Hollister (United States), Joseph Wharton Professor of Economics, Swarthmore College, Swarthmore, PA - a manuscript, "Nectar of the Gods: Social Policy Experiments and Their Flawed Alternatives"

Dr. Lincoln Steffens Hollister (United States), Professor of Geosciences, Princeton University, Princeton, NJ - an article, "New Insights on the Origin of Continental Crust"

Dr. Karla F. C. Holloway (United States), William Rand Kenan, Jr. Professor of English, Duke University, Durham, NC - a manuscript, "BookMarks: Reading a Writer's Life"

Mr. Garrett Hongo (United States), Distinguished Professor of Arts and Sciences, University of Oregon, Eugene, OR - a novel, "The North Shore"

Dr. John Howard (United States), Professor of American Studies, University of London, London, England - a manuscript, "Unnatural But Not Un-American: Concentration Camps in the South"

Dr. Frederick E. Hoxie (United States), Swanlund Endowed Chair and Professor of History, University of Illinois at Urbana/Champaign, Urbana, IL - a manuscript, "Challenging the State: American Indians and the 'Empire of Liberty,' 1800-2000"

Dr. Goran Hyden (Sweden), Professor of Political Science, University of Florida, Gainesville, FL - a manuscript, "The Economy of Affection The Role of Informal Institutions in a Global Setting"

Mr. Denis Johnson (United States), Writer, Eastport, ID - a novel, "Tree of Smoke"

Dr. Kellie E. Jones (United States), Assistant Professor of the History of Art and African American Studies, Yale University, New Haven, CT - a manuscript, "Taming the Freeway and Other Acts of Urban HIP-notism. African American Artists in Los Angeles in the 1960s and 1970s"

Ms. Sushma Joshi (Nepal), Staff Writer, Nation Weekly Magazine, Kathmandu, Nepal - a manuscript, "Cheli-Beti: Discourses of Trafficking, Gender and Citizenship in Modern Nepal"

Dr. George A. Kaplan (United States), Thomas Francis Collegiate Professor of Public Health, University of Michigan at Ann Arbor, Ann Arbor, MI - a monograph, "Upstream Determinants of Population Health and Health Disparties"

Prof. Malavika Kapur (India), Honorary Professor of Clinical Psychology, India Institute of Science, Bangalore, India - a manuscript, "Where There Are Few Teachers"

Dr. Ruth Kartun-Blum (Israel), Professor and Head, Department of Literature, Hebrew University, Jerusalem, Israel - a manuscript, "Reading the Scriptures in Hebrew and Israeli Literature"

Mr. Ronaldo Kiel (Brazil), Assistant Professor of Digital Art, Brooklyn College, City University of New York, Brooklyn, NY - a new performance piece (with Anita Ching-Tzu Cheng)



Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

Dr. Young Jak Kim (South Korea Dem. Rep.), Director, Institute of Japanese Studies, Kookmin University, Seoul, South Korea Dem. Rep. - a study, "How to Promote Regional Cooperation of East Asia in Democratization and Globalization." Opportunities and Responsibilities for Japan and the Republic of Korea" (with Hideo Otake)

Ms. Patricia A. King (United States), Carmack Waterhouse Professor of Law, Medicine, Ethics and Public Policy, Georgetown University, Washington, DC - a study, "The Use of Race in Research"

Mr. Jerome Kitzke (United States), Composer, New York, NY - music composition, "Prairy Erth (deep map)"

The Hon. Agnieszka Marie Klonowiecka-Milart (Poland), International Judge, Supreme Court, United Nations Mission in Kosovo, AUCON KFOR, Austria - a policy paper, "Our Lessons Learned: Practitioners' Proposed Rules of Engagement for Successfully Internationalizing Courts in Peacekeeping Missions" (with Michael E. Hartmann)

Dr. Leszek Koczanowicz (Poland), Professor of Psychology, University of Lower Silesia of the Association for the Advancement of Education in Wroclaw, Wroclaw, Poland - a manuscript, "The Modes of Dialogue: Comparison of American Pragmatism with Russian Semiology and Psychology"

Dr. Kevin Richard Kopelson (United States), Professor of English, University of Iowa, Iowa City, IA - a manuscript, "Modern Satire"

Ms. Katharine M. Kuharic (United States), Assistant Professor of Painting, Washington University in St. Louis, St. Louis, MO - artwork, "The World Brought Low: Devastated Consumer Goods, Stylization and Perversity in Painting"

Mrs. Malashri Lal (India), Joint Director, South Campus and Professor of English, University of Delhi, Delhi, India - a manuscript, "In Search of Sita" (with Namita Rajiv Gokhale)

Dr. Gheorghe Corneliu Lazarovici (Romania), Researcher and Professor, Historical National Museum of Transylvania, Cluj-Napoca, Romania - a manuscript, "Neolithic-Chalcolithic Architecture in Romania and Its Connections with Neighboring Areas in Central Europe" (with Cornelia-Magda Lazarovici)

Dr. Cornella-Magda Lazarovici (Romania), Researcher, Institute of Archaeology, Iasi, Romania - a manuscript, "Neolithic-Chalcolithic Architecture in Romania and Its Connections with Neighboring Areas in Central Europe" (with Gheorghe Corneliu Lazarovici)

Dr. Marnia Lazreg (United States), Professor of Sociology, Hunter College, City University of New York, New York, NY - a study, "Routinizing Terror: Torture, Identity, and Memory in Algeria"

Dr. Uri Leron (Israel), Professor of Science Education, Technion - Israel Institute of Technology, Haifa, Israel - a study, "Mathematical Cognition and Human Nature. Consonance and Conflict"

Prof. Sanford Levinson (United States), Professor of Constitutional Law, University of Texas at Austin, Austin, TX - a manuscript, "The Iron Cage of the United States Constitution"

Mr. Hugh Lewin (South Africa), Writer, Johannesburg, South Africa - a personal study, "Dealing with Demons"

Ms. Laura B. Martorelli Lio (Argentina), Artist, Madrid, Spain - artwork, "The Purest of White Threads"



Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents - 2005

The Rev. Deborah W. Little Wyman (United States), Founder/Director, Ecclesia Ministries/Common Cathedral, Boston, MA - a book of stories about the experience of community in the third world of the United States, "Street Stories"

Mr. Michael P. MacDonald (United States), Author and Lecturer, Brooklyn, NY - narrative nonfiction, "Rise Above. Anguish, Exile and Resiliency in the Aftermath of Trauma"

Mr. James H. Mann (United States), Writer in Residence, Johns Hopkins University, Washington, DC - a manuscript, "Words at the Wall: The End of the Cold War and the Rhetoric of Ronald Reagan"

Dr. Elaine Tyler May (United States), Professor of American Studies and History and Fesler-Lampert Professor of Humanities, University of Minnesota, Minneapolis, MN - a manuscript, "Gimme Shelter The Legacy of the Cold War at Home"

Dr. Jennifer Lynn McCoy (United States), Associate Professor of Political Science, Georgia State University, Atlanta, GA - a manuscript, "International Mediation in Venezuela, 2002-2004" (with Francisco Diez)

Mr. James McGarrell (United States), Professor Emeritus of Art, Washington University, St. Louis, MO - artwork exploring the relationship between mythological narrative and motifs in Mediterranean landscape

Dr. John Joseph McGrath (Australia), Professor of Epidemiology and Developmental Neurobiology, University of Queensland, Wacol, Queensland, Australia - a manuscript, "Building the Ramshackle Brain. Evolutionary Developmental Biology as a Tool to Explore Psychotic Disorders"

Mr. Wesley C. McNair (United States), Poet, Retired Director of Creative Writing, University of Maine at Farmington, Farmington, ME - a poetry manuscript, "The Ghosts of You and Me"

Dr. Toril Moi (Norway), James B. Duke Professor of Literature and Romance Studies, Duke University, Durham, NC - a manuscript, "Ibsen's Modernism"

Ms. Honor Moore (United States), Faculty, Graduate Writing Program, New School University, New York, NY - a memoir, "The Bishop's Daughter"

Dr. Dulcie A. Mulholland (South Africa), Professor of Organic Chemistry, University of Kwazulu-Natal, Durban, South Africa - a review article on the chemistry and ethnobotany of the Hyacınthaceae

Dr. Constance A. Nathanson (United States), Professor of Clinical Sociomedical Sciences, Columbia University, New York, NY - a manuscript, "Disease Prevention as Social Change: Society, Politics and Public Health in the U.S., Canada, Great Britain and France"

Dr. Frederick Neuhouser (United States), Professor of Philosophy and Viola Manderfeld Professor of German, Columbia University, New York, NY - a manuscript, "Jean-Jacques Rousseau: The Dangers and Promise of Self-Love ('L'amour propre')"

Dr. Ronald Kim Oates (Australia), Professor of Paediatrics and Chief Executive Officer, Children's Hospital at Westmead, Westmead, NSW, Australia - two manuscripts on "The Abused Child and the Legal System" Help or Hindrance" - one for legal professionals and one for those who work with abused children

Dr. Melvin L. Oliver (United States), Professor of Sociology, University of California at Santa Barbara, Santa Barbara, CA - a tenth anniversary edition of "Black Wealth/White Wealth: A New Perspective on Racial Inequality" (with Thomas M. Shapiro)



Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

Dr. Massaud Omar (Nigeria), Senior Lecturer in Local Government Studies, Ahmadu Bello University, Zaria, Nigeria - a study, "Governance and Primary Health Care Delivery in Nigeria"

Dr. Gerald M. Oppenheimer (United States), Professor, Brooklyn College, City University of New York, Brooklyn, NY - a manuscript, "Shattered Dream? An Oral History of AIDS in South Africa" (with Ronald Bayer)

Mr. Hideo Otake (Japan), Professor of Political Science, Kyoto University, Kyoto, Japan - a study, "How to Promote Regional Cooperation of East Asia in Democratization and Globalization." Opportunities and Responsibilities for Japan and the Republic of Korea" (with Young Jak Kim)

Prof. Raul C. Pangalangan (Philippines), Professor of Law, University of the Philippines, Manila, Philippines - an essay, "Global Justice, Native Peace: Internationalized Norms, Politicized Institutions"

Ms. Polly Pen (United States), Composer and Author, New York, NY - a musical theatre work, "My Mother and Umm Kulthum"

Ms. M. Nourbese Philip (Trinidad & Tobago), Poet/Writer, Toronto, Ontario, Canada - a poetry manuscript, "Zong!"

Mr. David J. Roussève (United States), Professor of Choreography, University of California at Los Angeles, Los Angeles, CA - a dance-theater work, "Bittersweet 2"

Mr. Benardo Ruiz (United States), Writer and Media Maker, Brooklyn, NY - a screenplay, "Bury Me/Entierrame"

Dr. Lidia Ivanovna Sazonova (Russian Federation), Main Researcher, Institute of World Literature, Russian Academy of Sciences, Moscow, Russian Federation - a chapter, "Eastern Slavic Baroque Poetry in the European Context," for her manuscript, "Poetics of Russian Baroque Poetry"

Dr. John R. Scheffer (Canada), Professor of Chemistry, University of British Columbia, Vancouver, BC, Canada - a review article on recent research in solid state organic photochemistry

Dr. Thomas M. Shapiro (United States), Pokross Professor of Law and Social Policy, Brandeis University, Waltham, MA - a tenth anniversary edition of "Black Wealth/White Wealth A New Perspective on Racial Inequality" (with Melvin L. Oliver)

Mr. Yuyutsu R. D. Sharma (India), Poet, Kathmandu, Nepal - a manuscript, "Annapurna Poems"

Dr. Carla Jo Shatz (United States), Professor of Neurobiology, Harvard University, Boston, MA - a manuscript, "Brain Genes and Brain Wiring Dynamic Interplay between Nature and Nurture"

Dr. Jane Shaw (United Kingdom), Dean of Divinity, Oxford University, Oxford, England - a manuscript, "The Visitation. The Story of a Modern Female Prophet and Her Followers"

Dr. Bruce Gordon Simons-Morton (United States), Chief, Prevention Research Branch, National Institutes of Child Health, Bethesda, MD - a study, "The Case for Authoritative Parenting of Adolescents"

Mr. Alvin Singleton (United States), Composer, Atlanta, GA - a music composition, "Sojourner Truth Choral Ballet"



Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

Dr. Carl S. Smith (United States), Franklyn Bliss Snyder Professor of English and American Studies and Professor of History, Northwestern University, Evanston, IL - a manuscript, "City Water, City Life: A Cultural History of Water in 19th-Century Urbanizing America"

Ms. Ellen R. Spiro (United States), Filmmaker/Associate Professor, University of Texas at Austin, Austin, TX - a documentary film, "In Good Faith"

Dr. Stephen C. Stearns (United States), Professor and Chair, Department of Ecology and Evolutionary Biology, Yale University, New Haven, CT - a manuscript, "Hierarchical Selection and the Human Condition"

Mr. David I. Steinberg (United States), Distinguished Professor and Director, Georgetown University, Washington, DC - a manuscript, "Turmoil in Burma Contested Legitimacies in Myanmar"

Mr. Peter L. Strauss (United States), Betts Professor of Law, Columbia University, New York, NY - a monograph, "Rulemaking in the Ages of Globalization and Information"

Dr. José Teixeira Coelho (Brazil), Professor, School of Communications and Arts, University of São Paulo, São Paulo, Brazil - a study in fiction and nonfiction, "A Natural History of Dictatorship"

Mr. Rick Tejada-Flores (United States), Producer/Director, Alturas Films, Berkeley, CA - a video documentary, "The Road to Chulumanı"

Dr. Jennifer Ann Thomson (South Africa), Board Chair, African Agricultural Technology Foundation (AATF), Cape Town, South Africa - a manuscript, "Genes for the Environment: The Impact of Genetically Modified Crops on the Environment"

Ms. Jackie Tileston (United States), Assistant Professor of Art, University of Pennsylvania, Philadelphia, PA - artwork, "Heterotopia"

Dr. Nasaruddin Umar (Indonesia), Professor of Islamic Studies, State Islamic University, Ciputat, Indonesia - a manuscript, "Gender Biases in the Qua'anic Interpretation"

Dr. David A. Welch (Canada), George Ignatieff Chair of Peace and Conflict Studies, University of Toronto, Toronto, Ontario, Canada - a monograph, "Kennedy, Johnson, and Vietnam. The Impact of the Presidential Transition and Its Lessons for U.S. Foreign and Defense Policy" (with James G. Blight)

Heiner Westphal M.D. (United States), Chief, Intramural Research - Labs & Branches, National Institute of Child Health and Development, National Institutes of Health, Bethesda, MD - an article, "International Considerations of Human Embryonic Stem Cell Research"

Dr. Roger W. Wilkins (United States), C. J. Robinson Professor of History and American Culture, George Mason University, Fairfax, VA - a study, "Comprehensive School-Community Service Programs"

Dr. Stuart A. Wright (United States), Professor of Sociology, Lamar University, Beaumont, TX - a study, "Analysis of a Burgeoning Proto-Fascist Transnational Network"

Ms. Alla Aleksandra Yaroshinskaya (Russian Federation), President, Center for Ecological Studies and Education, Moscow, Russian Federation - a manuscript, "Chernobyl 20 Years Later Big Lie"

Dr. Ruth Bernard Yeazell (United States), Chace Family Professor of English, Yale University, New Haven, CT - a manuscript, "Dutch Painting and the Realist Novel in Britain and France"

Bellagio Study and Conference Center Individual, Collaborative and Parallel Residents – 2005

Dr. Yirmiyahu Yovel (Israel), Schulman Professor, Emeritus, Hebrew University, Jerusalem, Israel - a manuscript, "Modernity and the History of the Will"



THE ROCKEFELLER FOUNDATION 420 Fifth Avenue New York, N.Y. 10018-2702

Employer ID No. 13-1659629 Form 990-PF - 2005

Part XV, LINE 2, SUPPLEMENTARY INFORMATION

(a) We ask prospective applicants to determine if their organization's project aligns with the Foundation's programmatic goals by visiting www.rockfound.org. Throughout 2005, applicants were invited to submit a brief letter of inquiry via an online form available on our Web site or to mail them to the director of the subject area of interest at:

The Rockefeller Foundation 420 Fifth Avenue, New York, NY 10018 212-869-8500

(b) Grant applicants are asked to submit a brief letter of inquiry, without attachments, in order for the Foundation to make an initial assessment of interest.

Applicants to the Bellagio Study and Conference Center, Italy, are asked to apply on line at www.rockfound.org.

- (c) In 2005, there were no specific submission deadlines for the Foundation's programs, other than for the Bellagio program.
- (d) The Rockefeller Foundation develops its programs—strategies and approaches designed to have an impact on a particular set of issues or challenges—through a consultative and collaborative process. We engage a variety of groups, including subject matter experts, policymakers and representatives of local communities to fully understand a given challenge or opportunity, including the economic, political or social context in which it resides. In the course of program development, the Foundation identifies and considers organizations that we believe are best positioned to implement defined components of a program. This process helps determine the organizations that the Foundation will provide grants to, and we will then request project proposals from those organizations. In order to focus and maximize the impact of our grantmaking, we rarely provide funding in response to unsolicited proposals. As a matter of policy, the Foundation does not give or lend money for personal aid to individuals or, except in rare cases, fund endowments, or contribute to building and operating funds.

The Foundation provides grants to institutions and individuals seeking to improve the lives of poor people with a focus on the issues and regions where we work. The Foundation works globally but provides the

majority of its grants to organizations whose work is focused in Southern and Eastern Africa, Southeast Asia and North America. During 2005, the Foundation operated within the following program themes: Creativity & Culture, Food Security, Health Equity and Working Communities. A cross-theme of Global Inclusion supported, promoted and supplemented the work of these themes. In addition, the Foundation supported the following three regional programs: the Africa Regional Program, the Southeast Asia Regional Program, and the North America Regional Program. The Foundation also operates a conference and study program at its Bellagio Study and Conference Center in Italy.

Form **926** (Rev. December 2005)

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No 1545-0026

Attachment Sequence No 128

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U.S. Transferor Information (see instructions) Identifying number (see instructions) Name of transferor 13-1659629 THE ROCKEFELLER FOUNDATION 1 If the transferor was a corporation, complete questions 1a, 1b, and 1c. a If the transfer was a section 361(a) or (b) transfer, was the transferor controlled (under section 368(c)) by ☐ Yes 5 or fewer domestic corporations? NOT. APPLICABLE ☑ Yes If not, list the controlling shareholder(s) and their identifying number(s): Controlling shareholder Identifying number NOT APPLICABLE c If the transferor was a member of an affiliated group filing a consolidated return, was it the parent ☐ Yes ☐ No If not, list the name and employer identification number (EIN) of the parent corporation: Name of parent corporation EIN of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was the actual transferor (but is not treated as such under section 367), list the name and EIN of the transferor's partnership: Name of partnership EIN of partnership 05~0534534 AETOS CAPITAL ASIA T.E. L.P. Transferee Foreign Corporation Information (see instructions) 3 Name of transferee (foreign corporation) 4 Identifying number, if any ACA LOWER TIER (CAYMAN), L.P. N/A 5 Address (including country) 875 THIRD AVENUE, FLOOR 21, NEW YORK, NY 10022 6 Country of incorporation or organization CAYMAN 7 Foreign law characterization (see instructions) CORPORATION X Yes For Paperwork Reduction Act Notice, see page 4. Form 926 (Rev 12-2005)

| Form 926 (Rev 12-2005) | | | Page 2 |
|---|--|---------------|-------------|
| Part III Information Regarding Transfer of Property | (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) |) |
| VARIOUS | SECTION 351 | | |
| 11 Description of property transferred: | | | |
| CASH IN THE AMOUNT OF \$7,457,910. | | | |
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| 12 Did this transfer result from a change in the classification of | f the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciatio | | ☐ Yes | ⊠ No |
| 14a Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible p NOT APPLICABLE | property that was transferred in the transfer: | | |
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Form **926** (Rev. December 2005)

Department of the Treasury Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0028

| Part U.S. Transferor Information (see instructions | |
|--|--|
| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
| | |
| 1 If the transferor was a corporation, complete questions 1: | |
| a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? | |
| If not, list the controlling shareholder(s) and their identifying | ··- |
| | |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
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| | |
| c If the transferor was a member of an affiliated group fill corporation? | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | he actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| AETOS CAPITAL ASIA T.E. L.P. | 05-0534534 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| MID URBAN DEVELOPMENT | N/A |
| 5 Address (including country) | |
| 875 THIRD AVENUE, FLOOR 21, NEW YORK, NY | 10022 |
| 6 Country of incorporation or organization | |
| JAPAN | |
| ***** <u>-, </u> | |
| 7 Foreign law characterization (see instructions) | |
| 7 Foreign law characterization (see instructions) CORPORATION | ornoration? 図 Vas □ Na |
| 7 Foreign law characterization (see instructions) | orporation? |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|------|--|---|-------------|--------|
| Pa | t III Information Regarding Transfer of Property (| (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| VA | RIOUS | SECTION 351 | | |
| 11 | Description of property transferred: | | | |
| _CA | SH IN THE AMOUNT OF \$671,622. | | | |
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| | | | | |
| 12 | Did this transfer result from a change in the classification of the | he transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under T | | | |
| | through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | 🛛 No |
| 14a | Was intangible property (within the meaning of section stransaction? | 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible pro | operty that was transferred in the transfer: | | |
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(Rev. December 2005)

Return by a U.S. Transferor of Property to a Foreign Corporation

OMB No. 1545-0026

| Department of the Treasury Internal Revenue Service | ► Attach to yo | ur income tax return. | | Attachment Sequence N | to 128 |
|--|---|-------------------------------|-------------------------------------|--------------------------|-------------|
| | ransferor Information (see instructions | s) | | | |
| Name of transferor THE ROCKEFEL | LER FOUNDATION | | Identifying number (se | e instructions) | |
| a If the transfer5 or fewer dob Did the transfer | or was a corporation, complete questions 1 was a section 361(a) or (b) transfer, was the mestic corporations? | e transferor controlled (unde | BLE | ☐ Yes ☒ Yes | □ No |
| If not, list the | controlling shareholder(s) and their identifying | ng number(s): | | | |
| | Controlling shareholder | Ide | entifying number | | |
| NOT APPLICAE | BLE | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| corporation? . | or was a member of an affiliated group fi | NOT. APPLIC | ABLE | ☐ Yes | □ No |
| N | ame of parent corporation | EIN of | f parent corporation | 1 | |
| NOT APPLICAB | | | | | |
| | or was a partner in a partnership that was t and EIN of the transferor's partnership: | he actual transferor (but is | not treated as such t | under section | on 367), |
| | Name of partnership | El | N of partnership | | |
| AETOS CAPITA | L ASIA T.E. II, LTD | 83-0432211 | | | |
| Part II Trans | feree Foreign Corporation Information | n (see instructions) | | | |
| SHIRAKABA IN | eferee (foreign corporation) VESTMENT TE, LIMITED | | 4 Identifying num 98-0466973 | nber, if any | |
| | ENUE, FLOOR 21, NEW YORK, NY | 10022 | | | |
| 6 Country of inc CAYMAN | corporation or organization | | | | |
| | naracterization (see instructions) | | | | |
| CORPORATION | | | | | |
| | ee foreign corporation a controlled foreign o | orporation? | | ☐ Yes | ⊠ No |
| For Paperwork Redu | ction Act Notice, see page 4. | | For | m 926 (Rev | |

| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes No No Yes No Yes No Yes No Yes No Yes No No Yes No No Yes No No Yes No Yes No No Yes No No Yes No Yes No Yes No Yes No Yes Yes Yes No Yes Yes No Yes Ye | Form | 926 (Rev 12-2005) | | | Page 2 |
|--|----------------|--|--|--------------|----------|
| 1 Description of property transferred: CASH IN THE AMOUNT OF \$141,948. 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? ☐ Yes ☒ No. 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☒ No. 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☒ No. | Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes No. 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? | _ | | | instructions | <u> </u> |
| CASH IN THE AMOUNT OF \$141,948. 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Yes X No. 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes X No. 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? Yes X No. | | | SECTION 351 | | |
| Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Yes No Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | <u>CA</u> | SH IN THE AMOUNT OF \$141,948. | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | ······································ | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | | | | | |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☑ No Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? ☐ Yes ☑ No | 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes No 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? | _ | · | | L 163 | 22 110 |
| transaction? | 13 | | | ☐ Yes | ⊠ No |
| | 14a | transportion? | | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible property that was transferred in the transfer: NOT APPLICABLE | b NO | If yes, describe the nature of the rights to the intangible pr Γ APPLICABLE | roperty that was transferred in the transfer: | | |
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Form 926
(Rev December 2005)
Department of the Treasury
Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No 1545-0026

| V.S. Iransferor Information (see instructions Name of transferor | Identifying number (see instructions) |
|--|--|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifyin | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | <u> </u> |
| c If the transferor was a member of an affiliated group fill corporation? | NOT APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | ne actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| AETOS CAPITAL ASIA T.E. II L.P. | 83-0432211 |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) ARSENAL ASSET TMK LTD | (see instructions) 4 Identifying number, if any N/A |
| 5 Address (including country) 875 THIRD AVENUE, FLOOR 21, NEW YORK, NY 6 Country of incorporation or organization JAPAN | |
| 7 Foreign law characterization (see instructions) CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005) |

| Form | 926 (Rev. 12-2005) | | | Page 2 |
|----------|---|---|-------------|-------------|
| Pa | rt III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| _ | RIOUS | SECTION 351 | | |
| 1 | Description of property transferred: | | | |
| _C# | SH IN THE AMOUNT OF \$142,802. | | | |
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| | | | | |
| <u></u> | Did this transfer result from a change in the classification of the | he transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under T | • | | |
| | through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 9 | 936(h)(3)(B)) transferred as a result of the | | _ |
| _ | transaction? | | ☐ Yes | ⊠ No |
| NC NC | If yes, describe the nature of the rights to the intangible pro | operty that was transferred in the transfer: | | |
| | | | | |
| | | | <u></u> | |
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(Rev. December 2005)

Return by a U.S. Transferor of Property to a Foreign Corporation

OMB No 1545-0026

Form **926** (Rev. 12-2005)

| Department of the Treasury Internal Revenue Service | ► Attach to your | income tax return. | j | Attachment Sequence N | o 128 |
|---|---|-------------------------------|--------------------------------------|--------------------------|--------------|
| Part I U.S. T | ransferor Information (see instructions) | | | | |
| Name of transferor THE ROCKEFEL | LER FOUNDATION | | Identifying number (se 13-1659629 | e instructions) | |
| a If the transfer of the following of the transfer of | or was a corporation, complete questions 1a, was a section 361(a) or (b) transfer, was the finestic corporations? | transferor controlled (under | LE | ☐ Yes ☒ Yes | □ No □ No |
| | Controlling shareholder | lde | ntifying number | | |
| NOT APPLICAB | LE | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| corporation? . | or was a member of an affiliated group filir | NOT. APPLIC | ABLE | ☐ Yes | □ No |
| | ame of parent corporation | 1 | parent corporation | | |
| NOT APPLICAB | LE | | | | |
| | or was a partner in a partnership that was the and EIN of the transferor's partnership: | e actual transferor (but is r | not treated as such t | ınder sectio | n 367), |
| | Name of partnership | EIN | l of partnership | | |
| APAX EUROPE | V-A, LP | 98-0355027 | | | |
| Part II Transf | eree Foreign Corporation Information | (see instructions) | | | |
| 3 Name of trans | feree (foreign corporation) ISSIONS | | 4 Identifying num | ber, if any | |
| 5 Address (inclu | ding country) | | | | |
| | /INCILAAN 1, B 2650 EDEGEM, B | ELGIUM | | | |
| 6 Country of inc BELGIUM | orporation or organization | | | | |
| | paracterization (see instructions) | | | | |
| CORPORATION | | | | | |
| | ee foreign corporation a controlled foreign co | rporation? | | ☐ Yes | X No |

For Paperwork Reduction Act Notice, see page 4.

| Form | 926 (Rev 12-2005) | | | Page 2 |
|----------------|--|--|-------------|----------|
| Pa | rt III Information Regarding Transfer of Property (se | ee instructions) | | |
| 9 | | 10 Type of nonrecognition transaction (see in | structions) | |
| V | RIOUS | SECTION 351 | | |
| 11 | Description of property transferred: | | | <u> </u> |
| _C <i>I</i> | SH IN AMOUNT OF \$198,395 | · | | |
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| | | | | |
| 12 | Did this transfer result from a change in the classification of the | e transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Ter through 1.367(a)-6T (e.g., for tainted property, depreciation re | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 93 transaction? | 66(h)(3)(B)) transferred as a result of the | □ Yes | ⊠ No |
| b NC | If yes, describe the nature of the rights to the intangible prop T APPLICABLE | erty that was transferred in the transfer: | | |
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Form **926** (Rev December 2005)

Department of the Treasury Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Part I U.S. Transferor Information (see instructions | |
|---|--|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| | |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group fill corporation? | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | ne actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE V-A, LP | 98-0355027 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) HIT ENTERTAINMENT LIMITED | 4 Identifying number, if any N/A |
| 5 Address (including country) MAPLE HOUSE, 149 TOTTENHAM COURT ROAD, Load 6 Country of incorporation or organization | |
| UNITED KINGDOM 7 Foreign law characterization (see instructions) | |
| CORPORATION 8 Is the transferee foreign corporation a controlled foreign corporation. | prporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form 926 (Rev 12-2005) | | | Page 2 |
|--|---|--------------|-------------|
| Part III Information Regarding Transfer of Prope | rty (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) | |
| VARIOUS | SECTION 351 | | |
| 11 Description of property transferred: | | | |
| CASH IN AMOUNT OF \$518,648. | | | |
| | | | |
| | | | |
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| | | | |
| 12 Did this transfer result from a change in the classification | of the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, deprecia | | ☐ Yes | ⊠ No |
| 14a Was intangible property (within the meaning of section transaction? | on 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible NOT APPLICABLE | e property that was transferred in the transfer: | | |
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Form 926
(Rev December 2005)
Department of the Treasury

nternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Part I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, | |
| a If the transfer was a section 361(a) or (b) transfer, was the | transferor controlled (under section 368(c)) by |
| 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? . | |
| If not, list the controlling shareholder(s) and their identifying | number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| | |
| APAX EUROPE V-A, LP | 98-0355027 |
| | |
| | |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) | (see instructions) 4 Identifying number, if any |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) INTELSAT HOLDINGS LTD 5 Address (including country) NORTH TOWER, 2ND FLOOR, 90 PITTS BAY ROAD | (see instructions) 4 Identifying number, if any N/A |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) INTELSAT HOLDINGS LTD 5 Address (including country) NORTH TOWER, 2ND FLOOR, 90 PITTS BAY ROAD 6 Country of incorporation or organization | (see instructions) 4 Identifying number, if any N/A |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) INTELSAT HOLDINGS LTD 5 Address (including country) NORTH TOWER, 2ND FLOOR, 90 PITTS BAY ROAD 6 Country of incorporation or organization BERMUDA | (see instructions) 4 Identifying number, if any N/A |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) INTELSAT HOLDINGS LTD 5 Address (including country) NORTH TOWER, 2ND FLOOR, 90 PITTS BAY ROAD 6 Country of incorporation or organization BERMUDA 7 Foreign law characterization (see instructions) | (see instructions) 4 Identifying number, if any N/A |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) INTELSAT HOLDINGS LTD 5 Address (including country) NORTH TOWER, 2ND FLOOR, 90 PITTS BAY ROAD 6 Country of incorporation or organization BERMUDA 7 Foreign law characterization (see instructions) CORPORATION | (see instructions) 4 Identifying number, if any N/A 9, PEMBRAKOKE, HM 08, BERMUDA |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) INTELSAT HOLDINGS LTD 5 Address (including country) NORTH TOWER, 2ND FLOOR, 90 PITTS BAY ROAD 6 Country of incorporation or organization BERMUDA 7 Foreign law characterization (see instructions) | (see instructions) 4 Identifying number, if any N/A 9, PEMBRAKOKE, HM 08, BERMUDA |

| Form 926 (Rev 12-2005) | | | Page 2 |
|--|--|--------------|-------------|
| Part III Information Regarding Transfer of Property | (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) |) |
| VARIOUS | SECTION 351 | | |
| Description of property transferred: | | | |
| CASH IN THE AMOUNT OF \$351,472. | | | |
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| | | | |
| 12 Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 Was the transferor required to recognize income under | Temporary Regulations sections 1.367(a)-4T | | |
| through 1.367(a)-6T (e.g., for tainted property, depreciation | recapture, branch loss recapture, etc.)? | ☐ Yes | X No |
| 14a Was intangible property (within the meaning of section | | _ | _ |
| transaction? | | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible pr | roperty that was transferred in the transfer: | | |
| NOT THE DECEMBE | | | |
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Form 926
(Rev December 2005)
Department of the Treasury

ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Part I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
| | |
| 1 If the transferor was a corporation, complete questions 1a, | |
| a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? | |
| | — ··· |
| If not, list the controlling shareholder(s) and their identifying | intinuer(s). |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? If not, list the name and employer identification number (Eli | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE V-A, LP | 98-0355027 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| PICTURE FINANCIAL GROUP LIMITED | N/A |
| 5 Address (including country) | |
| PICTURE HOUSE, IMPERIAL WAY, NEWPORT, NP1 | 0 8UH, UNITED KINGDOM |
| 6 Country of incorporation or organization | |
| UNITED KINGDOM | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| 8 Is the transferee foreign corporation a controlled foreign co For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005) |
| i or i aportioin neadodon not itodos, see page 4. | rum 340 (K8V. 12-2005) |

| Form 926 (Rev 12-2005) | | | Page 2 |
|---|--|-------------|--------|
| Part III Information Regarding Transfer of Property | (see instructions) | | ····· |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| VARIOUS | SECTION 351 | | |
| 1 Description of property transferred: | | | |
| CASH IN AMOUNT OF \$120,487. | | | |
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| 12 Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 Was the transferor required to recognize income under | • , | | NO |
| through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | X No |
| 14a Was intangible property (within the meaning of section transaction? | 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible p NOT APPLICABLE | roperty that was transferred in the transfer: | | |
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(Rev. December 2005)

Return by a U.S. Transferor of Property to a Foreign Corporation

OMB No. 1545-0026

| Department of the Treasury Internal Revenue Service | ► Attach to you | r income tax return. | Attachment Sequence No 128 |
|--|--|-------------------------------|--|
| Part I U.S. 1 | ransferor Information (see instructions) | | |
| Name of transferor THE ROCKEFEL | LER FOUNDATION | | Identifying number (see instructions) 13-1659629 |
| 1 If the transfer | or was a corporation, complete questions 1a | , 1b, and 1c. | |
| 5 or fewer do b Did the transf | was a section 361(a) or (b) transfer, was the mestic corporations? | NOT. APPLICABL | LE 🔲 Yes 🔲 No |
| If not, list the | controlling shareholder(s) and their identifying | number(s): | |
| | Controlling shareholder | Ide | ntifying number |
| NOT APPLICAE | BLE | | |
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| | | | |
| c If the transfer corporation? | or was a member of an affiliated group fili | ng a consolidated return, | was it the parent |
| • | name and employer identification number (El | | |
| N | ame of parent corporation | EIN of | parent corporation |
| NOT APPLICAB | BLE | | |
| | or was a partner in a partnership that was th and EIN of the transferor's partnership: | e actual transferor (but is n | ot treated as such under section 367). |
| | Name of partnership | EIN | of partnership |
| APAX EUROPE | V-A, LP | 98-0355027 | |
| Part II Trans | feree Foreign Corporation Information | (see instructions) | |
| | sferee (foreign corporation) | | 4 Identifying number, if any |
| | MUSIC LIMITED |] | N/A |
| 5 Address (inclu | - | | |
| | DIA CONSULTING LIMITED, 100 H | PALL MALL, LONDON, | SW1Y 5NQ, UK |
| • | corporation or organization | | |
| UNITED KINGDO | | | |
| = | haracterization (see instructions) | | |
| CORPORATION | | | |
| | ee foreign corporation a controlled foreign co | rporation? | ☐ Yes 🖾 No |
| For Paperwork Redu | ction Act Notice, see page 4. | | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|------|---|--|---------------|-------------|
| Pa | rt III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | instructions |) |
| VI | RIOUS | SECTION 351 | _ | |
| | Description of property transferred: | | | |
| _CP | SH IN AMOUNT OF \$105,858. | · · · · · · · · · · · · · · · · · · · | | |
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| | | | | |
| 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible pr T APPLICABLE | roperty that was transferred in the transfer: | | |
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Form 926
(Rev December 2005)
Department of the Treasury
Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Part I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| " not, list the controlling shareholder(s) and their identifying | y number(s). |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group fili corporation? | NOT.APPLICABLE |
| If not, list the name and employer identification number (El | N) of the parent corporation: |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE V-A, LP | 98-0355027 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| TRAVELEX HOLDINGS LIMITED 5 Address (including country) | N/A |
| 65 KINGSWAY, LONDON, WC2B 6TD, UNITED KIN | NGDOM |
| 6 Country of incorporation or organization | |
| UNITED KINGDOM7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | progration? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Part III Information Regarding Transfer of Property (see instructions) 9 Date of transfer | age 2 |
|---|-------|
| VARIOUS SECTION 351 Description of property transferred: | |
| Description of property transferred: | |
| | |
| CASH IN AMOUNT OF \$789,953. | |
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| | 1 |
| | No |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? ☐ Yes ☒ | No |
| 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? | No |
| b If yes, describe the nature of the rights to the intangible property that was transferred in the transfer: NOT APPLICABLE | |
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Form **926**(Rev. December 2005)
Department of the Treasury

ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No. 1545-0026

| Vart I U.S. Transferor Information (see instructions) | |
|---|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group filicorporation? If not, list the name and employer identification number (Electric Control of the control of the | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE VI-A, LP | 98-0441546 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) PURPLE GREEN PROJECT & INVESTMENT LTD. | 4 Identifying number, if any N/A |
| 5 Address (including country) 2 MASKIT STREET, 6TH FLOOR, PO BOX 2034, 6 Country of incorporation or organization ISRAEL | HERZLIYA, 46120, ISRAEL |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|------|---|--|--------------|---------------|
| Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| 10 | /11/2005 | SECTION 351 | | |
| | Description of property transferred: | | - | |
| CA | SH IN AMOUNT OF \$620,770. | | | |
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| 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible property APPLICABLE | roperty that was transferred in the transfer: | | |
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Form 926
(Rev December 2005)
Department of the Treasury
Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Part I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, | , 1b, and 1c. |
| a If the transfer was a section 361(a) or (b) transfer, was the | |
| 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? . | 🖾 Yes 🗆 No |
| If not, list the controlling shareholder(s) and their identifying | ı number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
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| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE VI-A, LP | 98-0441546 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| MIDASPLAYER.COM LTD_ | N/A |
| 5 Address (including country) | |
| 35-37 GROSVENOR GARDENS, LONDON SW1W OBS, | UNITED KINGDOM |
| 6 Country of incorporation or organization | |
| JNITED KINGDOM | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005) |

| Part III Information Regarding Transfer of Property (see instructions) 9 Date of transfer 10 Type of nonrecognition transaction (see instructions) 09/16/2005 SECTION 351 Description of property transferred: CASH IN AMOUNT OF \$ 149,158. | Form | 926 (Rev 12-2005) | | Page 2 |
|--|------|---|---|--------|
| 9 Date of transfer 09/16/2005 Description of property transferred: CASH IN AMOUNT OF \$ 149,158. | | | (see instructions) | |
| Description of property transferred: CASH IN AMOUNT OF \$ 149,158. | 9 | | <u></u> | |
| CASH IN AMOUNT OF \$ 149,158. | 09 | /16/2005 | SECTION 351 | |
| | | Description of property transferred: | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? | CA | SH IN AMOUNT OF \$ 149,158. | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? ☐ Yes ☒ N | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Yes X N | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Yes N | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Yes N | | | | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? \Box Yes \Box N | | | | |
| | 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? \Box Yes | ⊠ No |
| 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes N | 13 | | | ⊠ No |
| 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? | 14a | Was intangible property (within the meaning of section transaction? | 936(h)(3)(B)) transferred as a result of the Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible property that was transferred in the transfer: NOT APPLICABLE | b | If yes, describe the nature of the rights to the intangible p | | |
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mai Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Name of transferor | Identifying number (see instructions) |
|--|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete question a If the transfer was a section 361(a) or (b) transfer, was | |
| 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the trans | |
| If not, list the controlling shareholder(s) and their idea | ntifying number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
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| | |
| c If the transferor was a member of an affiliated grocorporation? | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| NOT APPLICABLE | |
| | vas the actual transferor (but is not treated as such under section 367) |
| 2 If the transferor was a partner in a partnership that v | |
| 2 If the transferor was a partner in a partnership that valist the name and EIN of the transferor's partnership: | |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP | EIN of partnership 98-0441546 |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Informs 3 Name of transferee (foreign corporation) | EIN of partnership 98-0441546 ation (see instructions) 4 Identifying number, if any |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Informs 3 Name of transferee (foreign corporation) | EIN of partnership 98-0441546 ation (see instructions) |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Inform: 3 Name of transferee (foreign corporation) IBERIAN FOOD SARL 5 Address (including country) | EIN of partnership 98-0441546 ation (see instructions) 4 Identifying number, if any |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Inform: 3 Name of transferee (foreign corporation) IBERIAN FOOD SARL 5 Address (including country) | EIN of partnership 98-0441546 ation (see instructions) 4 Identifying number, if any |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Inform: 3 Name of transferee (foreign corporation) IBERIAN FOOD SARL 5 Address (including country) 16, GRAND-RUE, L-1660 LUXEMBOURG 6 Country of incorporation or organization LUXEMBOURG | EIN of partnership 98-0441546 ation (see instructions) 4 Identifying number, if any |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Inform: 3 Name of transferee (foreign corporation) IBERIAN FOOD SARL 5 Address (including country) 16, GRAND-RUE, L-1660 LUXEMBOURG 6 Country of incorporation or organization LUXEMBOURG 7 Foreign law characterization (see instructions) | EIN of partnership 98-0441546 ation (see instructions) 4 Identifying number, if any |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Inform: 3 Name of transferee (foreign corporation) IBERIAN FOOD SARL 5 Address (including country) 16, GRAND-RUE, L-1660 LUXEMBOURG 6 Country of incorporation or organization LUXEMBOURG 7 Foreign law characterization (see instructions) CORPORATION | EIN of partnership 98-0441546 ation (see instructions) 4 Identifying number, if any N/A |
| 2 If the transferor was a partner in a partnership that we list the name and EIN of the transferor's partnership: Name of partnership APAX EUROPE VI-A, LP Part II Transferee Foreign Corporation Inform: 3 Name of transferee (foreign corporation) IBERIAN FOOD SARL 5 Address (including country) 16, GRAND-RUE, L-1660 LUXEMBOURG 6 Country of incorporation or organization LUXEMBOURG | EIN of partnership 98-0441546 ation (see instructions) 4 Identifying number, if any N/A |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|----------------|---|---|-------------|--------|
| Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| $\frac{11}{1}$ | /11/2005 | SECTION 351 | | |
| | Description of property transferred: | | | |
| <u>C</u> P | SH IN AMOUNT OF \$1,218,092. | | | |
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| 12 | Did this transfer result from a change in the classification of t | he transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under 7 through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible property APPLICABLE | operty that was transferred in the transfer: | | |
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Form 926
(Rev December 2005)
Department of the Treasury
Ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No. 1545-0026

Attachment Sequence No. 128

Form 926 (Rev 12-2005)

| Vart I U.S. Transferor Information (see instructions | s) |
|---|--|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1 a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | e transferor controlled (under section 368(c)) by NOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group for corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was flist the name and EIN of the transferor's partnership: | he actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE VI-A, LP | 98-0441546 |
| Part II Transferee Foreign Corporation Information | n (see instructions) |
| 3 Name of transferee (foreign corporation) VIENNA 1 SARL | 4 Identifying number, if any 98-0472170 |
| 5 Address (including country) GRAND RUE 16, L-1660 LUXEMBOURG 6 Country of incorporation or organization LUXEMBOURG | |
| 7 Foreign law characterization (see instructions) CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign of | corporation? |

For Paperwork Reduction Act Notice, see page 4.

| Form | 926 (Rev. 12-2005) | | | Page 2 |
|---------|---|--|-------------|---------------------------------------|
| Pa | rt III Information Regarding Transfer of Property | (see instructions) | | · · · · · · · · · · · · · · · · · · · |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see in | structions) | |
| 10 | /13/2005 | SECTION 351 | | |
| | Description of property transferred: | | | |
| _CP | SH IN AMOUNT OF \$1,316,280. | | | |
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| 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible p $T_APPLICABLE$ | property that was transferred in the transfer: | | |
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mal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Name of transferor | Identifying number (see instructions) |
|--|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT.APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE VI-A, LP | 98-0441546 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) TRAPAX PAYMENTS LTD. | 4 Identifying number, if any |
| 5 Address (including country) 65 KINGSWAY, LONDON WC2B 6TD, UNITED KING 6 Country of incorporation or organization UNITED KINGDOM 7 Foreign law characterization (see instructions) CORPORATION | |
| COMPONENTION | |
| 8 Is the transferee foreign corporation a controlled foreign co | rporation? |

| Form 926 (Rev 12-2005) | | | Page 2 |
|--|--|--------------|--------|
| Part III Information Regarding Transfer of Property | (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see in | nstructions) | |
| 08/02/2005 | SECTION 351 | | |
| 1 Description of property transferred: | | | |
| CASH IN AMOUNT OF \$145,537. | | | |
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| | | | |
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| | | | |
| 12 Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciatio | | ☐ Yes | ⊠ No |
| 14a Was intangible property (within the meaning of section transaction? | 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| \boldsymbol{b} If yes, describe the nature of the rights to the intangible parameter NOT APPLICABLE | property that was transferred in the transfer: | | |
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mai Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| art U.S. Transferor Information (see instruction | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identify | e transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group corporation? | |
| If not, list the name and employer identification number (| |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: | the actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE VI-A, LP | 98-0441546 |
| Part II Transferee Foreign Corporation Information | n (see instructions) |
| 3 Name of transferee (foreign corporation) SUNSHINE HOLDINGS 3 LTD. | 4 Identifying number, if any N/A |
| 5 Address (including country) | TED KINGDOM |
| 6 Country of incorporation or organization | TED KINGDOM |
| UNITED KINGDOM | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION 8 Is the transferee foreign corporation a controlled foreign | corporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form 926 (| Rev 12-2005) | | | Page 2 |
|---------------|---|--|-------------|-------------|
| Part III | Information Regarding Transfer of Property | (see instructions) | | |
| 9 Dat | e of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| <u>-07/06</u> | 5/2005 | SECTION 351 | | |
| _ | scription of property transferred: | | | |
| CASH | IN AMOUNT OF \$1,583,905. | | | |
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| 12 Did | this transfer result from a change in the classification of t | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| | s the transferor required to recognize income under lough 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | X No |
| | s intangible property (within the meaning of section | | ☐ Yes | ⊠ No |
| b if you | es, describe the nature of the rights to the intangible pr PPLICABLE | operty that was transferred in the transfer: | | |
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Form **926** (Rev. December 2005)

Department of the Treasury

emal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

Attachment Sequence No 128

Form **926** (Rev. 12-2005)

| art U.S. Transferor Information (see instructions | |
|--|--|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a | |
| a If the transfer was a section 361(a) or (b) transfer, was the | |
| 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? . | |
| If not, list the controlling shareholder(s) and their identifyin | g number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
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| | |
| | |
| c If the transferor was a member of an affiliated group fill corporation? | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | ne actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE VI-A, LP | 98-0441546 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| VIOLET EQUITY CO LIMITED | N/A |
| 5 Address (including country) | |
| | EET, GEORGE TOWN, GRAND CAYMAN, CAYMAN ISLANDS |
| 6 Country of incorporation or organization | |
| CAYMAN ISLANDS | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign of | prporation? |

For Paperwork Reduction Act Notice, see page 4.

| Form | 926 (Rev 12-2005) | | | Page 2 |
|----------------|---|--|--------------|--------|
| Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 9 12 | Date of transfer /21/2005 | 10 Type of nonrecognition transaction (see i SECTION 351 | nstructions) | |
| CA | Description of property transferred: SH IN AMOUNT OF \$1,013,256. | | | |
| | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | Temporary Regulations sections 1.367(a)-4T | □ Yes | ⊠ No |
| b | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| | | | | |
| | | | | |

Form 926
(Rev December 2005)
Department of the Treasury
Ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
|--|---|
| If the transferor was a corporation, complete questions 1a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) by NOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group filic corporation? | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was th list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| APAX EUROPE VI-A, LP | 98-0441546 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) NORDIC TELEPHONE COMPANY ADMINISTRATION A | 4 Identifying number, if any 98-0477961 |
| 5 Address (including country) LANGELINIE ALLE 35, 2100 KOBENHAVN O, DEN | IMARK |
| 6 Country of incorporation or organization | |
| DENMARK 7 Foreign law characterization (see instructions) | |
| 7 Foreign law characterization (see instructions) CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| 926 (Rev. 12-2005) | | | Page 2 |
|--|---|---|--|
| t III Information Regarding Transfer of Property (| see instructions) | | |
| Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) | |
| /21/2005 | SECTION 351 | | · |
| Description of property transferred: | | | |
| SH IN AMOUNT OF \$920,020. | | | |
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| | | | |
| Did this transfer result from a change in the classification of th | ne transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| | | | [[] |
| | | ☐ Yes | ⊠ No |
| | | ☐ Yes | ⊠ No |
| If yes, describe the nature of the rights to the intangible pro | perty that was transferred in the transfer: | | |
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| | Date of transfer /21/2005 Description of property transferred: .SH IN AMOUNT OF \$920,020. Did this transfer result from a change in the classification of the Was the transferor required to recognize income under Tothrough 1.367(a)-6T (e.g., for tainted property, depreciation Was intangible property (within the meaning of section 9 transaction? | Date of transfer 10 Type of nonrecognition transaction (see in SECTION 351 | Information Regarding Transfer of Property (see instructions) Date of transfer /21/2005 Description of property transferred: SH IN AMOUNT OF \$920,020. Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transfer: In Type of nonrecognition transaction (see instructions) SECTION 351 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Yes Vas the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes If yes, describe the nature of the rights to the intangible property that was transferred in the transfer: |

Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Name of transferor | Identifying number (see instructions) |
|--|--|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| | |
| 1 If the transferor was a corporation, complete questions 12 | |
| a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? | |
| | |
| If not, list the controlling shareholder(s) and their identifyin | g number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
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| | |
| c If the transferor was a member of an affiliated group fill corporation? | NOT APPLICABLE Yes No |
| Name of parent corporation | EIN of parent corporation |
| | |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the | ne actual transferor (but is not treated as such under section 367), |
| | ne actual transferor (but is not treated as such under section 367), EIN of partnership |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) | EIN of partnership 58-2672907 |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information | EIN of partnership 58-2672907 (see instructions) |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) | EIN of partnership 58-2672907 (see instructions) 4 Identifying number, if any |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) BARNEA S.A.R.L. | EIN of partnership 58-2672907 (see instructions) |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) BARNEA S.A.R.L. 5 Address (including country) | EIN of partnership 58-2672907 (see instructions) 4 Identifying number, if any N/A |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) BARNEA S.A.R.L. 5 Address (including country) 16A, AVENUE J.F. KENNEDY, L-1855, LUXEMB | EIN of partnership 58-2672907 (see instructions) 4 Identifying number, if any N/A |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) BARNEA S.A.R.L. 5 Address (including country) 16A, AVENUE J.F. KENNEDY, L-1855, LUXEMB 6 Country of incorporation or organization | EIN of partnership 58-2672907 (see instructions) 4 Identifying number, if any N/A |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) BARNEA S.A.R.L. 5 Address (including country) 16A, AVENUE J.F. KENNEDY, L-1855, LUXEMB 6 Country of incorporation or organization | EIN of partnership 58-2672907 (see instructions) 4 Identifying number, if any N/A |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) BARNEA S.A.R.L. 5 Address (including country) 16A, AVENUE J.F. KENNEDY, L-1855, LUXEMB 6 Country of incorporation or organization LUXEMBOURG 7 Foreign law characterization (see instructions) | EIN of partnership 58-2672907 (see instructions) 4 Identifying number, if any N/A |
| Name of partnership CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) BARNEA S.A.R.L. 5 Address (including country) 46A, AVENUE J.F. KENNEDY, L-1855, LUXEMB 6 Country of incorporation or organization LUXEMBOURG | EIN of partnership 58-2672907 (see instructions) 4 Identifying number, if any N/A |

| Fom | 926 (Rev 12-2005) | | | Page 2 |
|----------------|--|--|-------------|---------------|
| Pa | rt III Information Regarding Transfer of Property (se | ee instructions) | | - |
| 9 | Date of transfer 10 | 0 Type of nonrecognition transaction (see in | nstructions | |
| _02 | 2/03/2005 S | SECTION 351 | | |
| | Description of property transferred: | —- | | |
| CF | SH IN AMOUNT OF \$720,649. | | | |
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| 12 | Did this transfer result from a change in the classification of the | transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Tem | | | ET |
| | through 1.367(a)-6T (e.g., for tainted property, depreciation rec | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 936 transaction? | 6(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b NC | If yes, describe the nature of the rights to the intangible prope ${\tt T}$ ${\tt APPLICABLE}$ | erty that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| mal Revenue Service | ► Attach to you | r income tax return. | Sequence No 128 |
|------------------------|---|--------------------------------------|-----------------------------------|
| art I U.S. | Transferor Information (see instructions) | | |
| Name of transferor | | ı | tifying number (see instructions) |
| THE ROCKEFE | LLER FOUNDATION | 13- | -1659629 |
| 1 If the transfer | ror was a corporation, complete questions 1a | , 1b, and 1c. | |
| a If the transfer | was a section 361(a) or (b) transfer, was the | transferor controlled (under section | on 368(c)) by |
| 5 or fewer do | | | |
| b Did the trans | feror remain in existence after the transfer? . | | 🖾 Yes 🗌 No |
| If not, list the | controlling shareholder(s) and their identifying | j number(s): | |
| | Controlling shareholder | Identifyi | ng number |
| NOT APPLICAL | BLE | | |
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| If not, list the | name and employer identification number (El | N) of the parent corporation: | Yes No |
| NOT APPLICA | | | |
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| | ror was a partner in a partnership that was th and EIN of the transferor's partnership: | e actual transferor (but is not tre | eated as such under section 367), |
| | Name of partnership | EIN of pa | artnership |
| CERBERUS INS | STITUTIONAL PARTNERS, L.P. | 58-2672907 | |
| Part II Trans | feree Foreign Corporation Information | (see instructions) | |
| 3 Name of trans | sferee (foreign corporation) | 4 lc | dentifying number, if any |
| BAUBECON HOL | | N/A | |
| | uding country) | | |
| | R LANDSTRABE 6, 60322 FRANKFU | JRT AM MAIN, GERMANY | |
| | corporation or organization | | |
| GERMANY | | | |
| | haracterization (see instructions) | | |
| 8 Is the transfer | ree foreign corporation a controlled foreign co | rnoration? | ····· 🗌 Yes 🖾 No |
| | | iporations | |
| For Paperwork Redu | action Act Notice, see page 4. | | Form 926 (Rev 12-2005) |

| For | 926 (Rev. 12-2005) | | | Page 2 |
|------------|---|--|-------------|-------------|
| Pa | rt III Information Regarding Transfer of Property | y (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | nstructions | |
| V | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | | |
| <u>C</u> 2 | SH IN AMOUNT OF \$137,886. | | | |
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| 12 | Did this transfer result from a change in the classification of | f the transferee to that of a foreign corporation? | Yes | 🛛 No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| NC. | If yes, describe the nature of the rights to the intangible ${\tt T}$ APPLICABLE | | | |
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Form 926 (Rev. December 2005) Department of the Treasury amal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| U.S. Transferor Information (see instructions | |
|---|---|
| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
| | |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| in not, list the controlling shareholder(s) and their identitying | y number(s). |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group filicorporation? | NOT APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) | 58-2672907 |
| Part II Transferee Foreign Corporation Information | .) |
| 3 Name of transferee (foreign corporation) CETUS INVESTMENTS S.A.R.L. | 4 Identifying number, if any N/A |
| 5 Address (including country) | 147.63 |
| 46A, AVENUE J.F. KENNEDY, L-1855, LUXEMBO | DURG |
| 6 Country of incorporation or organization | |
| LUXEMBOURG | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|-----------------|---|--|--------------|--------|
| Pa | rt III Information Regarding Transfer of Property (s | see instructions) | | |
| 9 V <i>I</i> | | 10 Type of nonrecognition transaction (see i SECTION 351 | nstructions) |) |
| | Description of property transferred: | | | |
| CF | SH IN AMOUNT OF \$116,942. | | | |
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| 12 | Did this transfer result from a change in the classification of the | e transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Te through 1.367(a)-6T (e.g., for tainted property, depreciation re | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 93 transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible prop T APPLICABLE | perty that was transferred in the transfer: | | |
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Form 926
(Rev December 2005)
Department of the Treasury
Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| art U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) 13-1659629 |
| THE ROCKEFELLER FOUNDATION | |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group filic corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| CERBERUS INSTITUTIONAL PARTNERS, L.P. (SERIES THREE) | 58-2672907 |
| Part II Transferee Foreign Corporation Information | |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| CERBERUS FERN HOLDINGS IV LTD | N/A |
| 5 Address (including country) | A GUUDGU GERERE B A DOV UM CCC DEDWID |
| C/O CODAN SERVICES LIMITED, CLARENDON HOUSE, | 2 CHURCH STREET, P.O. BOX HM 666, BERMUDA |
| 6 Country of incorporation or organization BERMUDA | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | prporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|---------|---|--|--------------|--------|
| Pa | rt III Information Regarding Transfer of Property (s | see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) |) |
| VP | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | | |
| CP | SH IN AMOUNT OF \$625,394. | | | |
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| 12 | Did this transfer result from a change in the classification of the | e transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Terthrough 1.367(a)-6T (e.g., for tainted property, depreciation re | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 93 transaction? | | □ Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible prop T APPLICABLE | perty that was transferred in the transfer: | | |
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rnal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No 1545-0026

| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
|---|---|
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) by NOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group fili | |
| corporation? | NOT. APPLICABLE |
| corporation? | NOT. APPLICABLE |
| corporation? If not, list the name and employer identification number (El | |
| corporation? If not, list the name and employer identification number (Element Corporation NOT APPLICABLE | |
| corporation? If not, list the name and employer identification number (Element Corporation NOT APPLICABLE If the transferor was a partner in a partnership that was the | N) of the parent corporation: EIN of parent corporation |
| corporation? If not, list the name and employer identification number (Element Corporation) NOT APPLICABLE If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | NOT. APPLICABLE |
| corporation? If not, list the name and employer identification number (Elementary Corporation) NOT APPLICABLE 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership FARALLON CAPITAL INSTITUTIONAL PARTNERS | NOT. APPLICABLE |
| Corporation? If not, list the name and employer identification number (Elementary Corporation) NOT APPLICABLE 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) | NOT. APPLICABLE |
| Corporation? If not, list the name and employer identification number (Elementary Corporation) NOT APPLICABLE 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information | N) of the parent corporation: EIN of parent corporation e actual transferor (but is not treated as such under section 367) EIN of partnership 94-3106323 (see instructions) 4 Identifying number, if any N/A |
| If not, list the name and employer identification number (Elemontario) Not applicable If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information Name of transferee (foreign corporation) FARALLON CAPITAL OFFSHORE INVESTORS Address (including country) WALKERS (BVI) LIMITED, WALKERS CHAMBERS, Country of incorporation or organization BRITISH VIRGIN ISLANDS Foreign law characterization (see instructions) | N) of the parent corporation: EIN of parent corporation e actual transferor (but is not treated as such under section 367) EIN of partnership 94-3106323 (see instructions) 4 Identifying number, if any N/A |
| Corporation? If not, list the name and employer identification number (Elementary Corporation) NOT APPLICABLE 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: Name of partnership FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) FARALLON CAPITAL OFFSHORE INVESTORS 5 Address (including country) WALKERS (BVI) LIMITED, WALKERS CHAMBERS, 6 Country of incorporation or organization BRITISH VIRGIN ISLANDS | N) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of partnership 94-3106323 (see instructions) 4 Identifying number, if any N/A PO BOX 92, ROAD TOWN, TORTOLA |

| Form 926 (Rev 12-2005) | | | Page 2 |
|--|--|--------------|-------------|
| Part III Information Regarding Transfer | of Property (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see in | nstructions) | |
| VARIOUS | SECTION 351 | | |
| Description of property transferred: | | | |
| CASH IN AMOUNT OF \$3,284,432. | | | |
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| • | lassification of the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 Was the transferor required to recognize in through 1 367(a)-6T (e.g., for tainted propert | ncome under Temporary Regulations sections 1.367(a)-4T by, depreciation recapture, branch loss recapture, etc.)? | ☐ Yes | ⊠ No |
| 14a Was intangible property (within the meaning transaction? | ng of section 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to th NOT APPLICABLE | ne intangible property that was transferred in the transfer. | | |
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ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

Attachment Sequence No 128

Form **926** (Rev 12-2005)

| Name of transferor | Identifying number (see instructions) |
|--|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | ransferor controlled (under section 368(c)) byNOT.APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS | 94-3106323 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) NOONDAY OFFSHORE INC | 4 Identifying number, if any N/A |
| 5 Address (including country) WALKERS (BVI) LIMITED, WALKERS CHAMBERS, 6 Country of incorporation or organization BRITISH VIRGIN ISLANDS | PO BOX 92, ROAD TOWN, TORTOLA |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| | rporation? 🔲 Yes 🔣 No |

For Paperwork Reduction Act Notice, see page 4.

| Form 926 (Rev 12-2005) | | | Page 2 |
|---|--|--------------|--------|
| Part III Information Regarding Transfer of Property | (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) |) |
| VARIOUS | SECTION 351 | | |
| Description of property transferred: | | | |
| CASH IN AMOUNT OF \$821,765. | | | |
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| | | | |
| Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciatio | | ☐ Yes | ⊠ No |
| 4a Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible p NOT APPLICABLE | | | |
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Form 926
(Rev December 2005)
Department of the Treasury
Fernal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| art U.S. Transferor Information (see instructions) | |
|---|--|
| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
| | |
| 1 If the transferor was a corporation, complete questions 1a, | |
| a If the transfer was a section 361(a) or (b) transfer, was the to 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? | |
| | |
| If not, list the controlling shareholder(s) and their identifying | number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| <u> </u> | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | N) of the parent corporation: |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| | |
| Name of partnership | EIN of partnership |
| Name of partnership FARALLON CAPITAL INSTITUTIONAL PARTNERS | EIN of partnership 94-3106323 |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS | 94-3106323 |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information | 94-3106323 (see instructions) |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) | 94-3106323 |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) PASSENNE AT ABACO HOLDINGS, LTD. | 94-3106323 (see instructions) 4 Identifying number, if any |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) PASSENNE AT ABACO HOLDINGS, LTD. 5 Address (including country) | 94-3106323 (see instructions) 4 Identifying number, if any N/A |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) PASSENNE AT ABACO HOLDINGS, LTD. 5 Address (including country) FRONT STREET, PO BOX AB 20766, MARSH HARE | 94-3106323 (see instructions) 4 Identifying number, if any N/A |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) PASSENNE AT ABACO HOLDINGS, LTD. 5 Address (including country) FRONT STREET, PO BOX AB 20766, MARSH HARE 6 Country of incorporation or organization | 94-3106323 (see instructions) 4 Identifying number, if any N/A |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) PASSENNE AT ABACO HOLDINGS, LTD. 5 Address (including country) FRONT STREET, PO BOX AB 20766, MARSH HARE 6 Country of incorporation or organization BAHAMAS | 94-3106323 (see instructions) 4 Identifying number, if any N/A |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) PASSENNE AT ABACO HOLDINGS, LTD. 5 Address (including country) FRONT STREET, PO BOX AB 20766, MARSH HARE 6 Country of incorporation or organization BAHAMAS 7 Foreign law characterization (see instructions) | 94-3106323 (see instructions) 4 Identifying number, if any N/A |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) PASSENNE AT ABACO HOLDINGS, LTD. 5 Address (including country) FRONT STREET, PO BOX AB 20766, MARSH HARE 6 Country of incorporation or organization BAHAMAS | 94-3106323 (see instructions) 4 Identifying number, if any N/A SOUR, ABACO, BAHAMAS |

| 926 (Rev 12-2005) | | | Page 2 |
|--|--|---|--|
| t III Information Regarding Transfer of Property (| see instructions) | | |
| Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| RIOUS | SECTION 351 | | |
| Description of property transferred: | | | |
| SH IN AMOUNT OF \$100,082. | | | |
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| • | | ⊔ Yes | ⊠ No |
| | | ☐ Yes | ⊠ No |
| | | ☐ Yes | ⊠ No |
| If yes, describe the nature of the rights to the intangible pro Γ APPLICABLE | perty that was transferred in the transfer: | | |
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| | . | ···· | |
| | | | |
| | Did this transfer result from a change in the classification of the Was the transferor required to recognize income under Through 1.367(a)-6T (e.g., for tainted property, depreciation? | Information Regarding Transfer of Property (see instructions) Date of transfer RIOUS Description of property transferred: SH IN AMOUNT OF \$100,082. Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transfer: If yes, describe the nature of the rights to the intangible property that was transferred in the transfer: | Information Regarding Transfer of Property (see instructions) Date of transfer RIOUS Description of property transferred: SH IN AMOUNT OF \$100,082. Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transfer: In Type of nonrecognition transaction (see instructions) SECTION 351 Yes Yes |

Form 926
(Rev December 2005)
Department of the Treesury
Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| art I U.S. Transferor Information (see instructions) | |
|--|--|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| | The management of the second o |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? If not, list the name and employer identification number (Eligible) | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS | 94-3106323 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| JUPITER TM LIMITED (MAURITIUS) | N/A |
| 5 Address (including country) | |
| 608 ST. JAMES COURT, ST. DENIS STREET | |
| 6 Country of incorporation or organization | |
| PORT LUIS, MAURITIUS | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| For Paperwork Reduction Act Notice, see page 4. | |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|---------|---|--|-------------|-------------|
| Pa | rt III Information Regarding Transfer of Property (s | see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| V | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | _ | |
| CZ | SH IN AMOUNT OF \$154,428. | | | |
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| 12 | Did this transfer result from a change in the classification of the | transferoe to that of a faraign corporation? | ☐ Yes | ⊠ No |
| _ | _ | | ⊔ res | D NO |
| 13 | Was the transferor required to recognize income under Ter through 1.367(a)-6T (e.g., for tainted property, depreciation re | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 93 transaction? | | ☐ Yes | ⊠ No |
| NC D | If yes, describe the nature of the rights to the intangible prop ${\tt T}$ APPLICABLE | | | |
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Form 926
(Rev December 2005)
Department of the Treasury
mal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| art I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, | 1b, and 1c. |
| a If the transfer was a section 361(a) or (b) transfer, was the t | ransferor controlled (under section 368(c)) by |
| 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? | |
| If not, list the controlling shareholder(s) and their identifying | |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
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| | |
| c If the transferor was a member of an affiliated group filir | ng a consolidated return, was it the parent |
| corporation? | |
| If not, list the name and employer identification number (Ell | |
| I not, list the name and employer identification number (En | v) of the parent corporation. |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FARALLON CAPITAL INSTITUTIONAL PARTNERS | 94-3106323 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| SEAL ROCK OFFSHORE FUNDING, LTD | N/A |
| 5 Address (including country) | |
| WALKERS SPV LIMITED, WALKER HOUSE, MARY STREE | T, PO BOX 908 GT, GEORGE TOWN, GRAND CAYMAN |
| 6 Country of incorporation or organization | |
| CAYMAN ISLANDS | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign cor | rporation? |
| For Panerwork Reduction Act Notice, see page 4 | Form 926 (Rev. 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|------|---|--|-------------|--------|
| Pa | t III Information Regarding Transfer of Property (| (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see in | nstructions |) |
| _08 | /25/2005 | SECTION 351 | | |
| | Description of property transferred: | | | |
| CA | SH IN AMOUNT OF \$1,089,608. | | | |
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| 12 | Did this transfer result from a change in the classification of the | ne transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Tethrough 1.367(a)-6T (e.g., for tainted property, depreciation | emporary Regulations sections 1.367(a)-4T recapture, branch loss recapture, etc.)? | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 9 transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible pro | perty that was transferred in the transfer: | | |
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ernal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| art I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| If not, list the controlling shareholder(s) and their identifying | g number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
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| | |
| c If the transferor was a member of an affiliated group filicorporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | <u> </u> |
| 2 If the transferor was a partner in a partnership that was th list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FORTRESS INVESTMENT FUND III (FUND B), LP | 20-1637675 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| BC HOLDINGS (UK) LIMITED | APPLIED FOR |
| 5 Address (including country) | |
| RED WOLF HOUSE, 5/10 BOLTON ST., LONDON, | W1J 8BA, UNITED KINGDOM |
| 6 Country of incorporation or organization | |
| UNITED KINGDOM | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| O la Mar Assertance foreign agreement as a section of the section | tian2 |
| 8 Is the transferee foreign corporation a controlled foreign corporation acontrolled foreign c | rporation? |

| Form 926 (Rev 12-2005) | | | | Page 2 |
|--|--|---|-------------|-------------|
| Part III Information R | Regarding Transfer of Property | (see instructions) | | |
| 9 Date of transfer | | 10 Type of nonrecognition transaction (see i | nstructions |) |
| 01/19/2005 | | SECTION 351 | | |
| Description of property | | | | |
| CASH IN AMOUNT OF | \$125,682. | | | |
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| 12 Did this transfer result fr | rom a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| | | Temporary Regulations sections 1.367(a)-4T n recapture, branch loss recapture, etc.)? | ☐ Yes | ⊠ No |
| | ty (within the meaning of section | 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b If yes, describe the nat NOT APPLICABLE | ture of the rights to the intangible p | roperty that was transferred in the transfer: | | |
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Form 926 (Rev December 2005) Department of the Treasury Ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| vart I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| c If the transferor was a member of an affiliated group filing corporation? If not, list the name and employer identification number (Elitable). Name of parent corporation | NOT APPLICABLE |
| NOT APPLICABLE | |
| | e actual transferor (but is not treated as such under section 367), |
| list the name and EIN of the transferor's partnership: | T |
| Name of partnership | EIN of partnership |
| FORTRESS INVESTMENT FUND III (FUND B), LP | 20-1637675 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| FIF III MJATV HOLDINGS LTD | APPLIED FOR |
| 5 Address (including country) | |
| PO BOX 309GT, UGLAND HOUSE, SOUTH CHURCH | STREET, GEORGE TOWN, GRAND CAYMAN |
| 6 Country of incorporation or organization | |
| CAYMAN 7 Foreign law characterization (see instructions) | , |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005) |
| i oi i aportioin neuacaon not trodes, see page 4. | rom 320 (Rev. 12-2005) |

| Form 926 (Rev. 12-2005) | | | Page 2 |
|--|---|--------------|--------|
| Part III Information Regarding Transfer of Prope | rty (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) |) |
| 05/03/2005 | SECTION 351 | | |
| Description of property transferred: | | | |
| CASH IN AMOUNT OF \$460,791. | | | |
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| 12 Did this transfer result from a change in the classification | of the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 Was the transferor required to recognize income und through 1.367(a)-6T (e.g., for tainted property, deprecia | | ☐ Yes | ⊠ No |
| 14a Was intangible property (within the meaning of sectitions transaction? | on 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible NOT APPLICABLE | e property that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

OMB No 1545-0026

| Department of the Treasury Internal Revenue Service Attach to your Income tax return. | | Attachment Sequence No. 128 | | |
|--|---|--------------------------------|--|----------------------------|
| Part I U.S. T | ransferor Information (see instructions) | | | |
| Name of transferor THE ROCKEFEL | LER FOUNDATION | Identifying number | | e instructions) |
| 1 If the transfer | or was a corporation, complete questions 1a | , 1b, and 1c. | | |
| 5 or fewer do b Did the transfe | was a section 361(a) or (b) transfer, was the mestic corporations? | NOT. APPLICAB | LE | ☐ Yes ☐ No ☑ Yes ☐ No |
| | Controlling shareholder | lde | entifying number | |
| NOT APPLICAB | NOT APPLICABLE | | | |
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| | | | ······································ | |
| corporation? . | or was a member of an affiliated group fili | NOTAPP.LIC | ABLE | ☐ Yes ☐ No |
| If not, list the i | name and employer identification number (El | N) of the parent corporatio | n: | |
| N | ame of parent corporation | EIN of | parent corporation | |
| NOT APPLICAB | LE | | | |
| | or was a partner in a partnership that was th and EIN of the transferor's partnership: | e actual transferor (but is | not treated as such i | under section 367), |
| | Name of partnership | EIR | N of partnership | |
| FORTRESS INVE | STMENT FUND III (FUND B), LP | 20-1637675 | | |
| | eree Foreign Corporation Information | (see instructions) | | |
| | feree (foreign corporation) | | 4 Identifying num | ıber, if any |
| | C HOLDINGS LTD | | APPLIED FOR | |
| 5 Address (inclu | ding country) UGLAND HOUSE, SOUTH CHURCH | CMDEEM CEODCE W | OWN CDAND CA | VM 7 NI |
| | orporation or organization | SIREEI, GEORGE I | OWN, GRAND CA | IMAN |
| CAYMAN | orporation of organization | | | |
| | naracterization (see instructions) | | | |
| CORPORATION | (eas menadions) | | | |
| | ee foreign corporation a controlled foreign co | rporation? | | ⊠ Yes ☐ No |
| | ction Act Notice, see page 4. | | For | m 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|---------|---|---|-------------|-------------|
| Pa | rt III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| 0.5 | /03/2005 | SECTION 351 | | |
| 1 | Description of property transferred: | | | |
| CP | SH IN AMOUNT OF \$162,350. | | | |
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| 12 | Did this transfer result from a change in the classification of t | he transferee to that of a foreign corporation? | | ⊠ No |
| 13 | Was the transferor required to recognize income under T through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section stransaction? | | □ Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible pro | operty that was transferred in the transfer: | | |
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nternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Name of transferor | Identifying number (see instructions) |
|--|--|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, 1b, a a If the transfer was a section 361(a) or (b) transfer, was the transfer 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying num | eror controlled (under section 368(c)) by .NOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group filing a corporation? | NOTAPPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the actulist the name and EIN of the transferor's partnership: | al transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| | |
| FORTRESS INVESTMENT FUND III (FUND B), LP 20- | -1637675 |
| | |
| Part II Transferee Foreign Corporation Information (see 3 Name of transferee (foreign corporation) AIRCASTLE INVESTMENT LIMITED | |
| Part II Transferee Foreign Corporation Information (see 3 Name of transferee (foreign corporation) AIRCASTLE INVESTMENT LIMITED 5 Address (including country) C/O CONYERS DILL AND PEARMAN, CLARENDON HOUSE, 2 CHURC 6 Country of incorporation or organization BERMUDA | instructions) 4 Identifying number, if any 98-0444035 |
| Part II Transferee Foreign Corporation Information (see 3 Name of transferee (foreign corporation) AIRCASTLE INVESTMENT LIMITED 5 Address (including country) C/O CONYERS DILL AND PEARMAN, CLARENDON HOUSE, 2 CHURC | # Identifying number, if any 98-0444035 H STREET, PO BOX HM 666, HAMILTON, HM CX BERMUD |

| Form | 926 (Rev. 12-2005) | | | Page 2 |
|------------|--|--|--------------|--------|
| Pa | rt III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | instructions | |
| _VA | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | | |
| <u>C</u> P | SH IN AMOUNT OF \$862,112. | | | |
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| 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under | Temporary Regulations sections 1.367(a)-4T | | |
| | through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | 🛛 No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| NO NO | If yes, describe the nature of the rights to the intangible property in the intended property of the rights to the intangible property in the rights of the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the intangible property in the rights to the rights to the intangible property in the rights to the rights to the rights to the rights to the rights are represented by the rights of the rights are represented by the rights are represented b | | | |
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Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Vanue of transferor Information (see instructions) Name of transferor | Identifying number (see instructions) |
|--|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group fili | ng a consolidated return, was it the parent |
| corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was th list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FORTRESS INVESTMENT FUND III (FUND B), LP | 20-1637675 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) NLG ACQUISITION GMBH | 4 Identifying number, if any APPLIED FOR |
| 5 Address (including country) 5 BOULEVARD DE LA FOIRE, L-1528, LUXEMBOU 6 Country of incorporation or organization GERMANY | JRG |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| CORPORATION 8 Is the transferee foreign corporation a controlled foreign co | rporation? |

| Fom | 926 (Rev. 12-2005) | _ | | Page 2 |
|---------|---|---|--------------|-------------|
| Pá | rt III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | instructions |) |
| 08 | /30/2005 | SECTION 351 | | |
| 1 | Description of property transferred: | • | | |
| _C/ | SH IN AMOUNT OF \$1,001,960. | | | |
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| _ | | | | |
| 12 | Did this transfer result from a change in the classification of | - - | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| b NC | If yes, describe the nature of the rights to the intangible p ${\tt T}$ APPLICABLE | roperty that was transferred in the transfer: | | |
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Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| art I U.S. Transferor Information (see instructions) | |
|---|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| If not, list the controlling shareholder(s) and their identifying | g number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| c If the transferor was a member of an affiliated group fili | |
| corporation? | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was th list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FORTRESS INVESTMENT FUND III (FUND B), LP | 20-1637675 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) FORTEZZA PARENT SARL | 4 Identifying number, if any APPLIED FOR |
| 5 Address (including country) 14 RUS DES BAIN, L-1212, LUXEMBOURG 6 Country of incorporation or organization LUXEMBOURG | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION 8 Is the transferee foreign corporation a controlled foreign co | prporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev. 12-2005) | | | Page 2 |
|---------|--|--|--------------|-------------|
| Pa | rt III Information Regarding Transfer of Property (s | see instructions) | | |
| 9 | | 10 Type of nonrecognition transaction (see in | nstructions |) |
| 12 | /15/2005 | SECTION 351 | | |
| | Description of property transferred: | | | |
| CP | SH IN AMOUNT OF \$1,036,781. | | | |
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| | | | | |
| 12 | Did this transfer result from a change in the electification of the | o transferoe to that of a foreign corporation? | ☐ Yes | ⊠ No |
| | Did this transfer result from a change in the classification of the | - · | □ 162 | טא עם |
| 13 | Was the transferor required to recognize income under Tel through 1.367(a)-6T (e.g., for tainted property, depreciation re | ecapture, branch loss recapture, etc.)? | ☐ Yes | 🖾 No |
| 14a | Was intangible property (within the meaning of section 93 transaction? | | ☐ Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible prop ${f T}$ APPLICABLE | perty that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

OMB No 1545-0026

| Department of the Treasury Internal Revenue Service Attach to your income tax return. | | | Attachment Sequence No 128 |
|---|--|-----------------------------|--|
| ?art I U.S. T | ransferor Information (see instructions) | | |
| Name of transferor THE ROCKEFEL | LER FOUNDATION | | Identifying number (see instructions) 13-1659629 |
| a If the transfer of the following of the transfer of | or was a corporation, complete questions 1a, was a section 361(a) or (b) transfer, was the transfer corporations? | ransferor controlled (unde | LE 🗌 Yes 🗎 No |
| | Controlling shareholder | lde | entifying number |
| NOT APPLICAB | LE | | |
| | | | |
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| corporation? . | or was a member of an affiliated group filir | NOT. APPLIC | ABLE 🗌 Yes 🗎 No |
| Na | ame of parent corporation | EIN of | parent corporation |
| NOT APPLICAB | LE | | |
| | or was a partner in a partnership that was the and EIN of the transferor's partnership: | e actual transferor (but is | not treated as such under section 367), |
| | Name of partnership | EII | l of partnership |
| FORTRESS RESIDENTIA | L INVESTMENT DEUTSCHLAND (FUND B) L.P. | 98-0450955 | |
| | eree Foreign Corporation Information | (see instructions) | |
| | feree (foreign corporation) | | 4 Identifying number, if any |
| NLG ACQUISITI | | | APPLIED FOR |
| 5 Address (inclu | • | n.c | |
| | DE LA FOIRE, L-1528, LUXEMBOU orporation or organization | KG | |
| 6 Country of inco GERMANY | orporation of organization | | |
| | aracterization (see instructions) | | |
| CORPORATION | and to the first the state of t | | |
| | ee foreign corporation a controlled foreign co | poration? | ····· 🛭 Yes 🗌 No |
| | tion Act Notice, see page 4. | <u> </u> | Form 926 (Rev. 12-2005) |

| Part III Information Regarding Transfer of Property (see instructions) | |
|---|------|
| Tail in information Regarding Transfer of Property (See instructions) | |
| 9 Date of transfer 10 Type of nonrecognition transaction (see instructions) | |
| 08/30/2005 SECTION 351 | |
| Description of property transferred: | |
| CASH IN AMOUNT OF \$1,233,624. | |
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| | |
| | X No |
| Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes | X No |
| 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? | ⊠ No |
| b If yes, describe the nature of the rights to the intangible property that was transferred in the transfer: NOT APPLICABLE | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| art I U.S. Transferor Information (see instructions | |
|--|--|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group fill corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | he actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FORTRESS RESIDENTIAL INVESTMENT DEUTSCHLAND (FUND B) L.P. | 98-0450955 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) GAGFAH ACQUISITION 1 GMBH | 4 Identifying number, if any APPLIED FOR |
| 5 Address (including country) | |
| HUYSSENALLE 36/38, 45128 ESSEN | |
| 6 Country of incorporation or organization GERMANY | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign of | orporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev. 12-2005) | | | Page 2 |
|----------|--|--|--------------|--------|
| Pa | rt III Information Regarding Transfer of Property (se | ee instructions) | | |
| 9 | | Type of nonrecognition transaction (see in | structions) | |
| 12 | | SECTION 351 | | _ |
| | Description of property transferred: | | | |
| CI | SH IN AMOUNT OF \$419,282. | | | |
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| 12 | Did this transfer result from a change in the classification of the | transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Tenthrough 1.367(a)-6T (e.g., for tainted property, depreciation re- | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 936 transaction? | | ☐ Yes | ⊠ No |
| NC NC | If yes, describe the nature of the rights to the intangible property APPLICABLE | | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No 1545-0026

| Part I U.S. Transferor Information (see instructions) | · · · · · · · · · · · · · · · · · · · |
|--|--|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, a If the transfer was a section 361(a) or (b) transfer, was the to 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT.APPLICABLE. Yes NoYes No |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FREMONT STRATEGIC PROPERTY PARTNERS, L.P. | 94-3368794 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) FREMONT CAYMAN STRATEGIC PARTNERS III, L. | 4 Identifying number, if any 98-0222679 |
| 5 Address (including country) P.O. BOX 192386, SAN FRANCISCO, CA 94119- | -2386, U.S.A. |
| 6 Country of incorporation or organization CAYMAN ISLANDS | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|----------------|--|--|-------------|--------|
| Pa | rt III Information Regarding Transfer of Property (s | see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see in | nstructions |) |
| VP | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | | |
| CP | SH IN AMOUNT OF \$662,322. | | | |
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| 12 | Did this transfer result from a change in the classification of th | e transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Te through 1.367(a)-6T (e.g., for tainted property, depreciation r | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 9: transaction? | 36(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible property Γ APPLICABLE | perty that was transferred in the transfer: | | |
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emal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No 1545-0026

| Name of transferor | Identifying number (see instructions) |
|--|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) by NOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT.APPLICABLE Yes No |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| FSPP II MUNOZ RIVERA, LLC | 20-2257295 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) FSPP II MUNOZ RIVERA COMPANY, LLC | 4 Identifying number, if any N/A |
| 5 Address (including country) P.O. BOX 192386 SAN FRANCISCO, CA 94119-2 | 2386 |
| 6 Country of incorporation or organization PUERTO RICO | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|---------|--|---|---------------|--------|
| Pa | t III Information Regarding Transfer of Propert | y (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | instructions) | |
| 03 | /01/2005 | SECTION 351 | | · |
| | Description of property transferred: | | | |
| CA | SH IN THE AMOUNT OF \$351,217. | | | |
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| | | | | |
| | | | | |
| | Did this transfer result from a change in the classification o | of the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under | <u> </u> | | |
| . • | through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ☑ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible Γ APPLICABLE | property that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| 2art U.S. Transferor Information (see instruction | |
|--|---|
| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) . 13-1659629 |
| 1 If the transferor was a corporation, complete questions | |
| a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations?b Did the transferor remain in existence after the transfer? | ne transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| If not, list the controlling shareholder(s) and their identify | ing number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group corporation? | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: | the actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| LIME ROCK PARTNERS III, L.P. | 98-0439676 |
| Part II Transferee Foreign Corporation Informatio | n (see instructions) |
| 3 Name of transferee (foreign corporation) EASTERN DRILLING ASA | 4 Identifying number, if any N/A |
| 5 Address (including country) VESTERLED 15, N-4876 GRIMSTAD, NORWAY | |
| 6 Country of incorporation or organization NORWAY | |
| 7 Foreign law characterization (see instructions) CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign | corporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|------|---|--|--------------|--------|
| Pa | t III Information Regarding Transfer of Property (se | e instructions) | | |
| 9 | | Type of nonrecognition transaction (see in | structions) | |
| 07 | | ECTION 351 | | |
| | Description of property transferred: | | | |
| _CA | SH IN AMOUNT OF \$584,687. | <u></u> | | |
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| 12 | Did this transfer result from a change in the classification of the t | transferee to that of a foreign corporation? | ∐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Tem through 1.367(a)-6T (e.g., for tainted property, depreciation rec | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 936 transaction? | S(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible prope Γ APPLICABLE | erty that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Name of transferor | Identifying number (see instructions) |
|---|--|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? | , 1b, and 1c. transferor controlled (under section 368(c)) by NOT. APPLICABLE |
| If not, list the controlling shareholder(s) and their identifying | number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| LIME ROCK PARTNERS III, L.P. | 98-0439676 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) LARICINA ENERGY LIMITED | 4 Identifying number, if any N/A |
| 5 Address (including country) 800-138-4TH AVE SE, CALGARY, ALBERTA T2G 6 Country of incorporation or organization | 4Z6 CANADA |
| CANADA 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|----------|--|---|--------------|--------|
| Pá | rt III Information Regarding Transfer of Property (| (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) | |
| _12 | /19/2005 | SECTION 351 | · | |
| | Description of property transferred: | | | |
| <u>C</u> | SH IN AMOUNT OF \$239,597. | | | |
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| 12 | Did this transfer result from a change in the classification of the | he transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under T | emporary Regulations sections 1.367(a)-4T | | |
| | through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 9 | 936(h)(3)(B)) transferred as a result of the | _ | _ |
| | transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible pro T APPLICABLE | operty that was transferred in the transfer | | _ |
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Form **926** (Rev. December 2005)

Department of the Treasury

Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Identifying number (see instructions) |
|---|
| 13-1659629 |
| a, 1b, and 1c. transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Identifying number |
| |
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| |
| ing a consolidated return, was it the parentNOT. APPLICABLE |
| EIN of parent corporation |
| |
| ne actual transferor (but is not treated as such under section 367), |
| EIN of partnership |
| |
| 20-1495165 |
| 20-1495165 (see instructions) |
| |
| (see instructions) 4 Identifying number, if any |
| (see instructions) 4 Identifying number, if any N/A |
| (see instructions) 4 Identifying number, if any N/A |
| |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|---------|---|--|--------------|--------|
| Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | instructions |) |
| VA | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | | |
| CP | SH IN AMOUNT OF \$173,065. | | | |
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| 12 | Did this transfer would from a shape in the classification of the | he transferoe to that of a faraira comparticu? | | ⊠ No |
| | Did this transfer result from a change in the classification of the | · · | ☐ Yes | LXI NO |
| 13 | Was the transferor required to recognize income under T through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section stransaction? | | ☐ Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible pro | | | |
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nternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| 'art I U.S. Transferor Information (see instructions) | |
|---|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a | , 1b, and 1c. |
| a If the transfer was a section 361(a) or (b) transfer, was the | |
| 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfer? . | 🖾 Yes 🗆 No |
| If not, list the controlling shareholder(s) and their identifying | g number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
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| | <u> </u> |
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| | |
| If not, list the name and employer identification number (El | N) of the parent corporation: ElN of parent corporation |
| | |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was th list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| LONE STAR FUND V (U.S.), LP | 20-1495165 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| HOSHI HOLDINGS LIMITED | N/A |
| 5 Address (including country) | |
| WASHINGTON MALL, 7 REID STREET, SUITE 104 | 4, 1ST FLOOR, HAMILTON HM 11 BERMUDA |
| 6 Country of incorporation or organization | |
| BERMUDA | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Forπ | 926 (Rev 12-2005) | | | Page 2 |
|---------|---|--|--------------|--------|
| Pa | rt III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | instructions |) |
| VP | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | | |
| CF | SH IN AMOUNT OF \$218,295. | | | |
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| 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section | · | | |
| | transaction? | | Yes | ⊠ No |
| b NO | If yes, describe the nature of the rights to the intangible pr ${f T}$ APPLICABLE | roperty that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
|--|---|
| 1 If the transferor was a corporation, complete question as If the transfer was a section 361(a) or (b) transfer, we see that the transferor remain in existence after the transferor, list the controlling shareholder(s) and their idea. | ons 1a, 1b, and 1c. as the transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated gro- corporation? | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that list the name and EIN of the transferor's partnership | was the actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| LONE STAR FUND V (U.S.), LP | 20-1495165 |
| Part II Transferee Foreign Corporation Inform | ation (see instructions) |
| 3 Name of transferee (foreign corporation) LSF5 PSN REALTY (BERMUDA), LTD | 4 Identifying number, if any N/A |
| 5 Address (including country) WASHINGTON MALL, 7 REID STREET, SUITE 6 Country of incorporation or organization BERMUDA | E 104, 1ST FLOOR, HAMILTON HM 11 BERMUDA |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION 8 Is the transferee foreign corporation a controlled fore | eign corporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|------|---|---|-------------|-------------|
| Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| VA | RIOUS | SECTION 351 | | |
| į. | Description of property transferred: | | | |
| CA | SH IN AMOUNT OF \$150,984. | | | |
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| 12 | Did this transfer result from a change in the classification of t | he transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under 7 through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible property APPLICABLE | operty that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Name of transferor | Identifying number (see instructions) |
|---|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| If the transferor was a corporation, complete questions of a lf the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | e transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group of corporation? | NOT.APPLICABLE 🗌 Yes 🗆 No |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: | the actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| LONE STAR FUND V (U.S.), LP | 20-1495165 |
| Part II Transferee Foreign Corporation Informatio | n (see instructions) |
| 3 Name of transferee (foreign corporation) LSF5 PHOENIX INVESTMENTS, LTD | 4 Identifying number, if any 20-1495165 |
| 5 Address (including country) WASHINGTON MALL, 7 REID STREET, SUITE 10 6 Country of incorporation or organization BERMUDA | 04, 1ST FLOOR, HAMILTON HM 11 BERMUDA |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign | corporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005 |

| Form | 926 (Rev. 12-2005) | | | Page 2 |
|------|---|--|--------------|-------------|
| Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | instructions |) |
| VA | RIOUS | SECTION 351 | | |
| | Description of property transferred: | | | |
| CA | SH IN AMOUNT OF \$368,046. | | | |
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| 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | | □ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible pr | roperty that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
|--|---|
| If the transferor was a corporation, complete question If the transfer was a section 361(a) or (b) transfer, was 5 or fewer domestic corporations? | s the transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| If not, list the controlling shareholder(s) and their ider | turying number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated groucorporation? | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that w list the name and EIN of the transferor's partnership: | vas the actual transferor (but is not treated as such under section 367). |
| Name of partnership | EIN of partnership |
| MDCP IV GLOBAL INVESTMENTS, LP | 98-0379475 |
| Part II Transferee Foreign Corporation Informa | ation (see instructions) |
| 3 Name of transferee (foreign corporation) SIRONA DENTAL SERVICES GMBH (FKA: BLI 5 Address (including country) | 4 Identifying number, if any |
| FABRIKSTR. 31, 64625 BENSHEEIM, GERMA 6 Country of incorporation or organization GERMANY | NY |
| 7 Foreign law characterization (see instructions) CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign | gn corporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev. 12-2005) |

| Form 926 (Rev 12-2005) | | | Page 2 |
|--|---|--------------|---------------|
| Part III Information Regarding Transfer of Propert | y (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| _06/30/2005 | SECTION 351 | | |
| 1 Description of property transferred: | | | |
| CASH IN AMOUNT OF \$677,022. | | | |
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| 12 Did this transfer result from a change in the classification of | of the transferee to that of a foreign corporation? | ☐ Yes | X No |
| Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a Was intangible property (within the meaning of sectio transaction? | | □ Yes | ⊠ No |
| \boldsymbol{b} If yes, describe the nature of the rights to the intangible NOT <code>APPLICABLE</code> | property that was transferred in the transfer: | | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
|--|--|
| | |
| 1 If the transferor was a corporation, complete questions 1 a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying the state of the state | e transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group for corporation? | NOT.APPLICABLE |
| corporation? | NOT. APPLICABLE |
| corporation? | NOT. APPLICABLE |
| corporation? | NOT. APPLICABLE |
| corporation? If not, list the name and employer identification number (in the name of parent corporation) NOT APPLICABLE If the transferor was a partner in a partnership that was a list the name and EIN of the transferor's partnership: | NOT. APPLICABLE |
| corporation? If not, list the name and employer identification number (in the name of parent corporation) NOT APPLICABLE If the transferor was a partner in a partnership that was a list the name and EIN of the transferor's partnership: Name of partnership | NOT. APPLICABLE Yes No EIN) of the parent corporation: EIN of parent corporation the actual transferor (but is not treated as such under section 367), EIN of partnership 98-0379475 |
| corporation? If not, list the name and employer identification number (in the name of parent corporation) NOT APPLICABLE If the transferor was a partner in a partnership that was a list the name and EIN of the transferor's partnership: Name of partnership MDCP IV GLOBAL INVESTMENTS, LP | NOT. APPLICABLE |
| If not, list the name and employer identification number (in Name of parent corporation NOT APPLICABLE 2 If the transferor was a partner in a partnership that was a list the name and EIN of the transferor's partnership: Name of partnership MDCP IV GLOBAL INVESTMENTS, LP Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) | EIN of parent corporation EIN of parent corporation EIN of parent corporation EIN of parent corporation EIN of parent corporation EIN of partnership 98-0379475 In (see instructions) 4 Identifying number, if any N/A |
| corporation? If not, list the name and employer identification number (in Name of parent corporation) NOT APPLICABLE 2 If the transferor was a partner in a partnership that was a list the name and EIN of the transferor's partnership: Name of partnership MDCP IV GLOBAL INVESTMENTS, LP Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) ZEUS HOLDINGS, LTD. 5 Address (including country) WELLESLEY HOUSE NORTH, 2ND FLOOR, 90 PIT 6 Country of incorporation or organization BERMUDA | EIN of parent corporation EIN of parent corporation EIN of parent corporation EIN of parent corporation EIN of partnership 98-0379475 In (see instructions) 4 Identifying number, if any N/A ETS BAY ROAD, PEMBROKE HM 08 |

| Part III Information Regarding Transfer of Property (see instructions) 9 Date of transfer 10 Type of nonrecognition transaction (see instructions) | |
|--|------|
| | |
| | |
| 01/28/2005 SECTION 351 | |
| Description of property transferred: | |
| CASH IN AMOUNT OF \$318,756. | |
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| | |
| 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? | X No |
| 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T | |
| | X No |
| 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? | ⊠ No |
| b If yes, describe the nature of the rights to the intangible property that was transferred in the transfer. NOT APPLICABLE | |
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Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| V.S. I ransferor Information (see instructions) Name of transferor | |
|--|---|
| THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT. APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| SEQUOIA CAPITAL CHINA I, L.P. | 20-3514012 |
| Part II Transferee Foreign Corporation Information | |
| 3 Name of transferee (foreign corporation) ASIA MEDIA | 4 Identifying number, if any N/A |
| 5 Address (including country) 901#, 9F TAIFU BUILDING, 10 YI DEWAI STRE 6 Country of incorporation or organization BERMUDA 7 Foreign law characterization (see instructions) | ET, XICHENG DISTRICT, BEIJING, CHINA |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | · |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev. 12-2005) | | | Page 2 |
|------|---|--|--------------|--------|
| Pa | rt III Information Regarding Transfer of Property (se | ee instructions) | | |
| 9 | | Type of nonrecognition transaction (see i | nstructions) | |
| 11 | , | SECTION 351 | | |
| | Description of property transferred: | | | |
| CP | SH IN AMOUNT OF \$138,488. | | | - |
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| 12 | Did this transfer result from a change in the classification of the | transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Tem through 1.367(a)-6T (e.g., for tainted property, depreciation recognize | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 936 transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible prope T APPLICABLE | erty that was transferred in the transfer: | | |
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ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| Name of transferor | Identifying number (see instructions) |
|---|---|
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1 a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | e transferor controlled (under section 368(c)) by NOT APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group f | |
| If not, list the name and employer identification number (I | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: | the actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| SEQUOIA CAPITAL CHINA I, L.P. | 20-3514012 |
| Part II Transferee Foreign Corporation Information | n (see instructions) |
| 3 Name of transferee (foreign corporation) UUSEE, INC. | 4 Identifying number, if any N/A |
| 5 Address (including country) CRAIGMUIR CHAMBERS, ROAD TOWN, TORTOLA, 6 Country of incorporation or organization BRITISH VIRGIN ISLANDS 7 Foreign law characterization (see instructions) CORPORATION | BRITISH VIRGIN ISLANDS |
| 8 Is the transferee foreign corporation a controlled foreign of | corporation? |

| Form 926 (Rev 12-2005) | | | Page 2 |
|--|--|--------------|--------|
| Part III Information Regarding Transfer of Property | (see instructions) | | |
| 9 Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions) | |
| 12/21/2005 | SECTION 351 | | |
| Description of property transferred: | | | |
| CASH IN AMOUNT OF \$166,172. | | | |
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| | | | |
| 12 Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 Was the transferor required to recognize income under through 1 367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a Was intangible property (within the meaning of section transaction? | | ☐ Yes | ⊠ No |
| b If yes, describe the nature of the rights to the intangible prince NOT APPLICABLE | operty that was transferred in the transfer: | | |
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Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
|--|---|
| If the transferor was a corporation, complete questions a If the transfer was a section 361(a) or (b) transfer, was 5 or fewer domestic corporations? | the transferor controlled (under section 368(c)) by NOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| | n filing a consolidated return, was it the parent |
| corporation? | |
| corporation? | r (EIN) of the parent corporation: |
| corporation? If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE | r (EIN) of the parent corporation: |
| corporation? If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was | r (EIN) of the parent corporation: EIN of parent corporation |
| Corporation? If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: | NOT. APPLICABLE |
| corporation? If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership | r (EIN) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of parent corporation EIN of partnership 04-3540853 |
| If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership SUMMIT VENTURES VI-A, L.P. Part II Transferee Foreign Corporation Information Name of transferee (foreign corporation) | r (EIN) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of partnership 04-3540853 Eion (see instructions) 4 Identifying number, if any |
| If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership SUMMIT VENTURES VI-A, L.P. Part II Transferee Foreign Corporation Information SAFEBOOT HOLDINGS, BV | r (EIN) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of parent corporation EIN of partnership 04-3540853 Eion (see instructions) |
| Corporation? If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership SUMMIT VENTURES VI-A, L.P. Part II Transferee Foreign Corporation Information and SAFEBOOT HOLDINGS, BV 5 Address (including country) | r (EIN) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of partnership 04-3540853 Eion (see instructions) 4 Identifying number, if any |
| If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership SUMMIT VENTURES VI-A, L.P. Part II Transferee Foreign Corporation Information SAFEBOOT HOLDINGS, BV | r (EIN) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of partnership 04-3540853 Eion (see instructions) 4 Identifying number, if any |
| Corporation? If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership SUMMIT VENTURES VI-A, L.P. Part II Transferee Foreign Corporation Informated and SAFEBOOT HOLDINGS, BV 5 Address (including country) EDISONBAAN 15, 3439 MN NIEUWEGEIN | r (EIN) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of partnership 04-3540853 Eion (see instructions) 4 Identifying number, if any |
| If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership SUMMIT VENTURES VI-A, L.P. Part II Transferee Foreign Corporation Informate Name of transferee (foreign corporation) SAFEBOOT HOLDINGS, BV Address (including country) EDISONBAAN 15, 3439 MN NIEUWEGEIN Country of incorporation or organization THE NETHERLANDS 7 Foreign law characterization (see instructions) | r (EIN) of the parent corporation: EIN of parent corporation EIN of parent corporation EIN of partnership 04-3540853 Eion (see instructions) 4 Identifying number, if any |
| If not, list the name and employer identification number Name of parent corporation NOT APPLICABLE If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: Name of partnership SUMMIT VENTURES VI-A, L.P. Part II Transferee Foreign Corporation Informate Name of transferee (foreign corporation) SAFEBOOT HOLDINGS, BV Address (including country) EDISONBAAN 15, 3439 MN NIEUWEGEIN Country of incorporation or organization THE NETHERLANDS | NOT. APPLICABLE Yes Not related to the parent corporation: EIN of parent corporation |

| Fom | 926 (Rev 12-2005) | | | Page 2 |
|----------|--|---|---------------------------------------|--------|
| Pa | rt III Information Regarding Transfer of Property (| (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see | instructions |) |
| V | RIOUS | SECTION 351 | · · · · · · · · · · · · · · · · · · · | |
| | Description of property transferred: | | | |
| CI | SH IN AMOUNT OF \$177,091. | | | |
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| | | | <u> </u> | |
| 12 | Did this transfer result from a change in the classification of the | he transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under To through 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 9 transaction? | | ☐ Yes | ⊠ No |
| NC NC | If yes, describe the nature of the rights to the intangible pro | | _ | |
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Form 926
(Rev. December 2005)
Department of the Treasury

oternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| art I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13~1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? If not, list the controlling shareholder(s) and their identifying | transferor controlled (under section 368(c)) byNOT.APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | |
| | Ent of parent of portation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| VESTAR-AIV HOLDINGS A L.P. | 04-3598523 |
| Part II Transferee Foreign Corporation Information | (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| WILTON REINSURANCE BERMUDA LIMITED | N/A |
| 5 Address (including country) | |
| PAR LA VILLE PLACE, 14 PAR-LA-VILLE ROAD, | HAILTON HM 08 BERMUDA |
| 6 Country of incorporation or organization | |
| BERMUDA 7 Foreign law characterization (see instructions) | |
| 7 Foreign law characterization (see instructions) CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| o lo allo dalloloro i loroign corporation a contitolica loreign co | iporadioni L. Tes M No |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form 920 | 6 (Rev. 12-2005) | | | Page ∡ |
|-------------|--|--|--------------|-------------|
| Part | II Information Regarding Transfer of Property | (see instructions) | | |
| 9 D | ate of transfer | 10 Type of nonrecognition transaction (see | nstructions' |) |
| VARI | OUS | SECTION 351 | | |
| D | escription of property transferred: | | | |
| CASE | I IN AMOUNT OF \$182,656. | | | |
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| <u> </u> | | | | |
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| 12 D | id this transfer result from a change in the classification of t | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| | as the transferor required to recognize income under lough 1.367(a)-6T (e.g., for tainted property, depreciation | | ☐ Yes | ⊠ No |
| | as intangible property (within the meaning of section ansaction? | | ☐ Yes | ⊠ No |
| b If NOT | yes, describe the nature of the rights to the intangible pr APPLICABLE | operty that was transferred in the transfer: | | |
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Form 926
(Rev. December 2005)
Department of the Treasury

ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| art I U.S. Transferor Information (see instruction) | |
|---|--|
| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
| If the transferor was a corporation, complete questions a If the transfer was a section 361(a) or (b) transfer, was to 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer If not, list the controlling shareholder(s) and their identification. | 1a, 1b, and 1c. the transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Ti flot, list the controlling shareholder(s) and their identiti | ying number(s). |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| c If the transferor was a member of an affiliated group corporation? | |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was list the name and EIN of the transferor's partnership: | s the actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| VESTAR-AIV HOLDINGS A L.P. | 04-3598523 |
| Part II Transferee Foreign Corporation Informati | on (see instructions) |
| 3 Name of transferee (foreign corporation) CESARE FLORUSCCI S.P.A. | 4 Identifying number, if any N/A |
| 5 Address (including country) VIALE CESARE FIORUCCI, 11, LOCALITA SAM 6 Country of incorporation or organization ITALY | |
| 7 Foreign law characterization (see instructions) CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign | n corporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form 9 | 26 (Rev 12-2005) | | | Page 2 |
|--|---|--|-------------|--------|
| Part | III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| VAR | IOUS | SECTION 351 | | |
| Part III Information Regarding Transfer of Property (see instructions) 9 Date of transfer VARIOUS 10 Type of nonrecognition transaction (see instructions) SECTION 351 1 Description of property transferred: CASH IN AMOUNT OF \$787,786. 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? Yes Xi 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-47 through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? Yes Xi 14a Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the | | | | |
| Part III Information Regarding Transfer of Property (see instructions) 9 Date of transfer VARIOUS 10 Type of nonrecognition transaction (see instructions) SECTION 351 1 Description of property transferred: CASH IN AMOUNT OF \$787,786. 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? 14 Was intangible property (within the meaning of section 936(h)(3)(B)) transferred as a result of the transaction? 15 b If yes, describe the nature of the rights to the intangible property that was transferred in the transfer: | | | | |
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| 12 l | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| | | | _ | |
| t | hrough 1.367(a)-6T (e.g., for tainted property, depreciation | recapture, branch loss recapture, etc.)? | ☐ Yes | ⊠ No |
| | | | | |
| | | | ⊔ Yes | X No |
| | | roperty that was transferred in the transfer: | | |
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Form **926** (Rev December 2005)

Department of the Treasury email Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No. 1545-0026

| Jart U.S. Transferor Information (see instruction) | |
|---|--|
| Name of transferor THE ROCKEFELLER FOUNDATION | Identifying number (see instructions) 13-1659629 |
| | |
| 1 If the transferor was a corporation, complete question | |
| a If the transfer was a section 361(a) or (b) transfer, was 5 or fewer domestic corporations? | |
| b Did the transferor remain in existence after the transfe | |
| If not, list the controlling shareholder(s) and their ident | |
| | |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
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| | |
| c If the transferor was a member of an affiliated grou | p filing a consolidated return, was it the parent |
| corporation? | |
| If not, list the name and employer identification number | er (EIN) of the parent corporation: |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that wallist the name and EIN of the transferor's partnership: | as the actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| | |
| Part II Transferee Foreign Corporation Information | tion (see instructions) |
| 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| FINE OFFSHORE FUND, LTD | N/A |
| 5 Address (including country) | |
| | ND FLOOR, NORTH CHURCH STREET, GRAND CAYMAN, CAYMAN ISLANDS |
| 6 Country of incorporation or organization | |
| CAYMAN ISLANDS | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | an corneration? |
| 8 Is the transferee foreign corporation a controlled foreign | gn corporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|------|---|--|--------------|--------|
| Pa | t III Information Regarding Transfer of Property (s | see instructions) | | |
| 9 | | 10 Type of nonrecognition transaction (see i | nstructions) |) |
| 04 | | SECTION 351 | | |
| | Description of property transferred: SH IN THE AMOUNT OF \$5,000,000. | | | |
| | 511 IN THE AMOUNT OF \$5,000,000. | | | |
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| | | | | |
| 12 | Did this transfer result from a change in the classification of the | e transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under Te through 1.367(a)-6T (e.g., for tainted property, depreciation re | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 93 transaction? | | ☐ Yes | ⊠ No |
| | If yes, describe the nature of the rights to the intangible prop T APPLICABLE | perty that was transferred in the transfer: | | |
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| | <u> </u> | | | |
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Form 926
(Rev. December 2005)
Department of the Treasury
ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No 1545-0026

| Part I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a, a lf the transfer was a section 361(a) or (b) transfer, was the t 5 or fewer domestic corporations? b Did the transferor remain in existence after the transfer? lf not, list the controlling shareholder(s) and their identifying | ransferor controlled (under section 368(c)) byNOT. APPLICABLE |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| c If the transferor was a member of an affiliated group filling corporation? If not, list the name and employer identification number (Elling) | NOT APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was the list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| Transferra Foreign Comparties Information | (occ instructions) |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| MILLGATE INC. | N/A |
| 5 Address (including country) | |
| • | A VILLE ROAD, SUITE 464, HAMILTON HM 11 BERMUDA |
| 6 Country of incorporation or organization | |
| BERMUDA | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|--|--|--|--------------|-------------|
| Pa | Information Regarding Transfer of Property (see instructions) Date of transfer | | | |
| 9 | | • | nstructions) | - |
| V | <u></u> | SECTION 351 | | |
| Part III Information Regarding Transfer of Property (see instructions) 9 Date of transfer VARIOUS 10 Type of nonrecognition transaction (see instructions) SECTION 351 1 Description of property transferred: CASH IN THE AMOUNT OF \$3,500,000. 12 Did this transfer result from a change in the classification of the transferee to that of a foreign corporation? 13 Was the transferor required to recognize income under Temporary Regulations sections 1.367(a)-4T through 1.367(a)-6T (e.g., for tainted property, depreciation recapture, branch loss recapture, etc.)? | | | | |
| <u>C</u> F | SH IN THE AMOUNT OF \$3,500,000. | | | |
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| | · · | · · · · · · · · · · · · · · · · · · · | ∟ Yes | IXI No |
| 13 | | | ☐ Yes | ⊠ No |
| 14a | | | ☐ Yes | ⊠ No |
| NC NC | If yes, describe the nature of the rights to the intangible pro | operty that was transferred in the transfer: | | |
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Form **926** (Rev December 2005)

Department of the Treasury

ternal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

► Attach to your income tax return.

OMB No. 1545-0026

| | J.S. Transferor Information (see instructions | <u> </u> | T | | |
|---------------------|---|-------------------------------|------------------------|---------------|-------------|
| Name of transfer | | | Identifying number (se | e instruction | ıs) |
| | EFELLER FOUNDATION | | 13-1659629 | | |
| | ansferor was a corporation, complete questions 1 | | | | |
| | insfer was a section 361(a) or (b) transfer, was the | | | | п., |
| | er domestic corporations? | | | ∐ Ye | |
| | transferor remain in existence after the transfer? | | | × Ye | s 🗆 No |
| If not, lis | st the controlling shareholder(s) and their identifyir | ng number(s): | | | |
| | Controlling shareholder | lde | entifying number | | |
| NOT APPL | ICABLE | | | | |
| | | | | | |
| | | | | | |
| - 16.41 | | | | | |
| | ansferor was a member of an affiliated group filion? | | | ☐ Ye | s 🗆 No |
| • | | | | LJ Ye | S L NO |
| ir not, iis | t the name and employer identification number (E | in) of the parent corporation | on: | | |
| | Name of parent corporation | EIN of | f parent corporation | | |
| NOT APPL | ICABLE | | | | |
| | insferor was a partner in a partnership that was t name and EIN of the transferor's partnership: | ne actual transferor (but is | not treated as such t | ınder sed | ction 367), |
| | Name of partnership | EI | N of partnership | | |
| | | | | | |
| | ransferee Foreign Corporation Information | (see instructions) | 4 1446-4 | .h | |
| | f transferee (foreign corporation) | | 4 Identifying num | iber, it ai | ny |
| | PHA FUND LTD. | | N/A | | |
| | (including country) | | | | |
| | ND SERVICES (CAYMAN) LIMITED, SAFEHAVEN COR | PORATE CENTRE, WEST BAY | ROAD, GRAND CAYMAI | N, CAYMA | N ISLANDS |
| 6 Country CAYMAN IS | of incorporation or organization | | | | |
| | law characterization (see instructions) | | | | |
| CORPORATI | | | | | |
| | ansferee foreign corporation a controlled foreign c | ornoration? | | ☐ Ye | s 🛛 No |
| | Reduction Act Notice, see page 4. | | | | ev 12-2005) |

| Form 926 (| Rev 12-2005) | | | Page 2 |
|--|---|---|--------------|--------|
| Part III | Information Regarding Transfer of Proper | ty (see instructions) | | |
| | | 1 7, | nstructions |) |
| 03/01 | /2005 | SECTION 351 | | |
| | · · · · · · · · · · · · · · · · · · · | | | |
| Part III Information Regarding Transfer of Property (see instructions) 9 Date of transfer | | | | |
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| 12 Did | this transfer result from a change in the classification of | of the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| | | | ☐ Yes | ⊠ No |
| | | | □ Yes | ⊠ No |
| | | property that was transferred in the transfer: | | |
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Form **926** (Rev. December 2005)

Department of the Treasury Internal Revenue Service

Return by a U.S. Transferor of Property to a Foreign Corporation

▶ Attach to your income tax return.

OMB No 1545-0026

| Part I U.S. Transferor Information (see instructions) | |
|--|---|
| Name of transferor | Identifying number (see instructions) |
| THE ROCKEFELLER FOUNDATION | 13-1659629 |
| 1 If the transferor was a corporation, complete questions 1a a If the transfer was a section 361(a) or (b) transfer, was the 5 or fewer domestic corporations? | transferor controlled (under section 368(c)) byNOT. APPLICABLE |
| b Did the transferor remain in existence after the transfer? . | 🔽 Yes 🗌 No |
| If not, list the controlling shareholder(s) and their identifying | g number(s): |
| Controlling shareholder | Identifying number |
| NOT APPLICABLE | |
| | |
| | |
| | |
| | |
| c If the transferor was a member of an affiliated group filing corporation? | NOT.APPLICABLE |
| Name of parent corporation | EIN of parent corporation |
| NOT APPLICABLE | |
| 2 If the transferor was a partner in a partnership that was th list the name and EIN of the transferor's partnership: | e actual transferor (but is not treated as such under section 367), |
| Name of partnership | EIN of partnership |
| Transferse Fersian Comparation Information | (acc instructions) |
| Part II Transferee Foreign Corporation Information 3 Name of transferee (foreign corporation) | 4 Identifying number, if any |
| TPG AXON LTD. | N/A |
| 5 Address (including country) | 1.7.2 |
| • • • | ARBOUR CENTRE, 2ND FL, NORTH CHURCH STREET, GRAND CAYMAN |
| 6 Country of incorporation or organization | |
| CAYMAN ISLANDS | |
| 7 Foreign law characterization (see instructions) | |
| CORPORATION | |
| 8 Is the transferee foreign corporation a controlled foreign co | rporation? |
| For Paperwork Reduction Act Notice, see page 4. | Form 926 (Rev 12-2005) |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|----------------|--|---|-------------|-------------|
| Pa | t III Information Regarding Transfer of Property | (see instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see i | nstructions |) |
| 03 | /31/2005 | SECTION 351 | | |
| 1 | Description of property transferred: | | | |
| CP | SH IN THE AMOUNT OF \$4,000,000. | | | |
| | | | | |
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| | | | | |
| 12 | Did this transfer result from a change in the classification of | the transferee to that of a foreign corporation? | ☐ Yes | ⊠ No |
| 13 | Was the transferor required to recognize income under through 1.367(a)-6T (e.g., for tainted property, depreciatio | Temporary Regulations sections 1.367(a)-4T n recapture, branch loss recapture, etc.)? | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section transaction? | 936(h)(3)(B)) transferred as a result of the | ☐ Yes | ⊠ No |
| b NC | If yes, describe the nature of the rights to the intangible pT APPLICABLE | | | |
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(Rev. December 2005)

Return by a U.S. Transferor of Property to a Foreign Corporation

OMB No. 1545-0026

| Department of the Treasury Marial Revenue Service Attach to your income tax return. | | | | | | | | |
|---|--|---------------------------------|---|--|--|--|--|--|
| art I U.S. T | ransferor Information (see instructions | | | | | | | |
| Name of transferor THE ROCKEFEL | LER FOUNDATION | | entifying number (see instructions) 3-1659629 | | | | | |
| a If the transfer5 or fewer dorb Did the transfer | or was a corporation, complete questions 1a was a section 361(a) or (b) transfer, was the mestic corporations? | transferor controlled (under se | Yes No | | | | | |
| | Controlling shareholder | Identii | rying number | | | | | |
| NOT APPLICAB | LE | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
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| | | | | | | | | |
| corporation? . | or was a member of an affiliated group fili name and employer identification number (El | NOT. APPLICAB | | | | | | |
| N: | ame of parent corporation | EIN of pa | rent corporation | | | | | |
| NOT APPLICAB | LE | | | | | | | |
| | or was a partner in a partnership that was th and EIN of the transferor's partnership: | e actual transferor (but is not | treated as such under section 367), | | | | | |
| | Name of partnership | EIN of | partnership | | | | | |
| | | | | | | | | |
| | feree Foreign Corporation Information | | · · · · · · · · · · · · · · · · · · · | | | | | |
| | feree (foreign corporation) | | Identifying number, if any | | | | | |
| | ORTH RIVER LTD | N/ | <u>A</u> | | | | | |
| • | | O EL DICHODIC COMADE I | DEDMONDIC UTIL DUDITM 2 | | | | | |
| | AL FUND SERVICES (IRELAND) LTD, 3RECORPORATION OF ORGANIZATION | D FL, BISHUP'S SQUARE, F | REDMOND'S HILL, DUBLIN 2 | | | | | |
| IRELAND | orporation or organization | | | | | | | |
| | naracterization (see instructions) | | | | | | | |
| CORPORATION | in describation (one management) | | | | | | | |
| | ee foreign corporation a controlled foreign co | prporation? | 🗌 Yes 🖾 No | | | | | |
| | ction Act Notice, see page 4. | | Form 926 (Rev 12-2005) | | | | | |

| Form | 926 (Rev 12-2005) | | | Page 2 |
|----------|--|---|--------------|-------------|
| Pa | rt III Information Regarding Transfer of Property (se | ee instructions) | | |
| 9 | Date of transfer | 10 Type of nonrecognition transaction (see in | nstructions) | |
| 04 | /01/2005 | SECTION 351 | | |
| 1 | Description of property transferred: | | | |
| CI | SH IN THE AMOUNT OF \$2,500,000. | | | |
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| | | | | |
| 12 | Did this transfer result from a change in the classification of the | transferee to that of a foreign corporation? | | ⊠ No |
| 13 | Was the transferor required to recognize income under Ter through 1.367(a)-6T (e.g., for tainted property, depreciation re | | ☐ Yes | ⊠ No |
| 14a | Was intangible property (within the meaning of section 93 transaction? | | ☐ Yes | ⊠ No |
| NC NC | If yes, describe the nature of the rights to the intangible prop T APPLICABLE | erty that was transferred in the transfer | | |
| | | | | |
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Form **5471**

(Rev December 2005)

Information Return of U.S. Persons With Respect To Certain Foreign Corporations

► See separate instructions.

Information furnished for the foreign corporation's annual accounting period (tax year required by

OMB No 1545-0704 Attachment Sequence No 121

Where To File in

Form **5471** (Rev 12-2005)

File In Duplicate (see When and

artment of the Treasury section 898) (see instructions) beginning , 20 05 , and ending . 20 05 the instructions) 03/29 nal Revenue Service A Identifying number Name of person filing this return 13-1659629 THE ROCKEFELLER FOUNDATION B Category of filer (See instructions Check applicable box(es)) Number, street, and room or suite no (or PO box number if mail is not delivered to street address) 1 (repealed) 3 x 5 □ 2 420 FIFTH AVENUE C Enter the total percentage of the foreign corporation's voting stock you City or town, state, and ZIP code 3.20 % owned at the end of its annual accounting period NEW YORK, NY 10118-2702 01/01 20 05 12/31 20 05 Filer's tax year beginning and ending D Person(s) on whose behalf this information return is filed (4) Check applicable box(es) (2) Address (3) Identifying number (1) Name Shareholder Officer Director Important: Fill in all applicable lines and schedules All information must be in English All amounts must be stated in U.S. dollars unless otherwise indicated. 1a Name and address of foreign corporation b Employer identification number, if any ORION FUND II INVESTORS LTD PARTNERSHIP APPLIED FOR c Country under whose laws incorporated 7 CAVENDISH SQUARE LONDON W1G OPE d Date of incorporation e Principal place of business f Principal business activity g Principal business activity h Functional currency code number 03/28/2005 UK **REAL ESTATE** 53139 **EUROS** Provide the following information for the foreign corporation's accounting period stated above Name, address, and identifying number of branch office or agent (if any) in b If a U S income tax return was filed, enter the United States (ii) U S income tax paid (i) Taxable income or (loss) ORION FUND II INVESTORS LLC (after all credits) CORPORATION SVC COMPANY, 2711 CENTERVILLE ROAD WILMINGTON, DE 19808 NOT APPLICABLE NOT APPLICABLE c Name and address of foreign corporation's statutory or resident agent in d Name and address (including corporate department, if applicable) of person (or persons) with custody of the books and records of the foreign country of incorporation corporation, and the location of such books and records, if different ORION CAPITAL MANAGERS (UK) LIMITED VAN STULTS 7 CAVENDISH SQUARE ORION CAPITAL MANAGERS (UK) LIMITED LONDON W1G OPE 7 CAVENDISH SQUARE LONDON W1G OPE Schedule A Stock of the Foreign Corporation (b) Number of shares issued and outstanding (a) Description of each class of stock (i) Beginning of annual (ii) End of annual accounting period accounting period PARTNERS CAPITAL 100 100

For Paperwork Reduction Act Notice, see instructions.

| Schedule B U.S. Shareholders of | Foreign Corporation (see instructions.) | | | |
|--|--|--|--|---|
| (a) Name, address, and identifying number of shareholder | (b) Description of each class of stock held by shareholder Note: This description should match the corresponding description entered in Schedule A, column (a) | (c) Number of shares held at beginning of annual accounting period | (d) Number of shares held at end of annual accounting period | (e) Pro rata share of subpart F income (enter as a percentage) |
| HARVARD CAPITAL REALTY INC | | 26.18999 | 26.18999 | |
| HARVARD MANAGEMENT COMPANY | | <u> </u> | | |
| 600 ATLANTIC AVENUE | | - | | 00.4000 |
| BOSTON, MA 02212 | | 47 45000 | 47 45000 | 26.1899 |
| FOURTH CENTURY, LLC | | 17.45999 | 17,45999 | |
| C/O ALAN FORMAN | | | | |
| 55 WHITNEY AVE., YALE INVEST. | | | | 47 45000 |
| NEW HAVEN, CT 06510 | | | | 17.45999 |
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Schedule C Income Statement (see instructions.)

Important: Report all information in functional currency in accordance with U.S. GAAP. Also, report each amount in U.S. dollars translated from functional currency (using GAAP translation rules). However, if the functional currency is the U.S. dollar, complete only the U.S. Dollars column. See instructions for special rules for DASTM corporations.

| | | | т Т | Functional Currency | U.S. Dollars |
|------------|-----|--|-----|---------------------|----------------|
| | 1a | Gross receipts or sales | 1a | | |
| | l | Returns and allowances | 1b | | |
| | l | Subtract line 1b from line 1a | 1c | 0.00 | 0.00 |
| 4 | 2 | Cost of goods sold | 2 | | |
| Income | 3 | Gross profit (subtract line 2 from line 1c) | | 0.00 | 0.00 |
| ည | 4 | Dividends | 4 | | |
| = | 5 | Interest | 5 | | |
| | 6 | Gross rents, royalties, and license fees | 6 | | |
| | 7 | Net gain or (loss) on sale of capital assets | 7 | | |
| | 8 | Other income (attach schedule) STATEMENT. #1 | 8 | (5,210,761) | (6,489,430) |
| | 9 | Total income (add lines 3 through 8) | | (5,210,761.00) | (6,489,430.00) |
| | 10 | Compensation not deducted elsewhere | 10 | | |
| | 11 | Rents, royalties, and license fees | 11 | | ··- |
| 2 | 12 | Interest | 12 | | |
| ğ | 13 | Depreciation not deducted elsewhere | 13 | | |
| 걸 | 14 | Depletion | 14 | | |
| Deductions | 15 | Taxes (exclude provision for income, war profits, and excess profits taxes) | 15 | | |
| | 16 | Other deductions (attach schedule — exclude provision for | | | |
| | | income, war profits, and excess profits taxes) | | | |
| | 17_ | Total deductions (add lines 10 through 16) | 17 | 0.00 | 0.00 |
| • | 18 | Net income or (loss) before extraordinary items, prior period |), | | |
| соше | | adjustments, and the provision for income, war profits, and | 1 | /F 240 764 001 | (C 400 420 00) |
| 3 | | excess profits taxes (subtract line 17 from line 9) | | (5,210,761.00) | (6,489,430.00) |
| | 19 | Extraordinary items and prior period adjustments (see instructions) | 19 | | |
| 2 | 20 | Provision for income, war profits, and excess profits taxes (see instructions) | 20 | (5.040.704) | (0.400.400) |
| _ | 21 | Current year net income or (loss) per books (combine lines 18 through 20) | 21 | (5,210,761) | (6,489,430) |

| | Amount of tax | | | |
|-----------------------|------------------------|----------------------------|---------------------------------------|--|
| (d) In U S dollars | (c) Conversion rate | (b) In foreign currency | (a) Name of country or U S possession | |
| | , , | | J.S | |
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| | | | | |
| _ | | | iotal | |

Schedule F Balance Sheet

Important: Report all amounts in U.S. dollars prepared and translated in accordance with U.S. GAAP. See instructions for an exception for DASTM corporations.

| | Assets | | (a) Beginning of annual accounting period | (b) End of annual accounting period |
|------------|---|-----|---|-------------------------------------|
| 1 | Cash | | | |
| 2a | Trade notes and accounts receivable | 2a | | |
| b | Less allowance for bad debts | 2b | (| () |
| 3 | Inventories | 3 | | |
| 4 | Other current assets (attach schedule) | 4 | | |
| 5 | Loans to shareholders and other related persons | 5 | | |
| 6 | Investment in subsidiaries (attach schedule) | 6 | | |
| 7 | Other investments (attach schedule)STATEMENT.#2 | 7 | | 18,112,838 |
| _8a | Buildings and other depreciable assets | 8a | | |
| D b | Less accumulated depreciation | 8b | (| (|
| 9a | Depletable assets | 9a | | |
| b | Less accumulated depletion | 9b | () | (|
| 10 | Land (net of any amortization) | 10 | | |
| 11 | Intangible assets. | | | |
| а | Goodwill | 11a | | |
| b | Organization costs | 11b | | |
| C | Patents, trademarks, and other intangible assets | 11c | | |
| d | Less accumulated amortization for lines 11a, b, and c | 11d | () | () |
| 12 | Other assets (attach schedule) | 12 | | |
| 13 | Total assets | 13 | | 18,112,838.00 |
| | Liabilities and Shareholders' Equity | | | , |
| 14 | Accounts payable | 14 | | |
| 15 | Other current liabilities (attach schedule) | 15 | | |
| 16 | Loans from shareholders and other related persons | 16 | | |
| 17 | Other liabilities (attach schedule) | 17 | | |
| 18 | Capital stock: | | | |
| а | Preferred stock | 18a | | |
| b | Common stock | 18b | | |
| 19 | Paid-in or capital surplus (attach reconciliation) | 19 | | 18,112,838 |
| 20 | Retained earnings | 20 | | |
| 21 | Less cost of treasury stock | 21 | () | () |
| 22 | Total liabilities and shareholders' equity | 22 | | 18,112,838.00 |

| $\overline{}$ | 5471 (Rev 12-2005) hedule G Other Information | | | | Page 4 |
|---------------|--|-------------------------------|--------------------------------|-----------|-------------|
| _ | | | | | Yes No |
| | During the tax year, did the foreign corporation | n own at least a 10% intere | st, directly or indirectly, in | any fo | |
| | partnership? | | | | |
| | If "Yes," see the instructions for required attac | | STATEM | | |
| 2 | During the tax year, did the foreign corporation | | | | |
| 3 | During the tax year, did the foreign corporation | | | | |
| | from their owners under Regulations sections | | · · | · · · · · | □ 🛭 |
| | If "Yes," you are generally required to attach F | form 8858 for each entity (S | ee instructions). | | |
| Sc | nedule H Current Earnings and Profit | s (see instructions.) | | | |
| | ortant: Enter the amounts on lines 1 throu | | ency. | | |
| 1 | Current year net income or (loss) per foreign t | | | 1 | |
| _ | | | | | |
| 2 | Net adjustments made to line 1 to determine current | Net | Net | | |
| | earnings and profits according to U.S. financial and tax accounting standards (see instructions) | Additions | Subtractions | , , | |
| | - Tax associating statistical (see monoton) | | | | |
| | Capital gains or losses | | | | |
| | Depreciation and amortization | | | | |
| | Depletion | | | | |
| | Investment or incentive allowance | | _ | | |
| | Charges to statutory reserves | | | | |
| | Tawas | | | | |
| _ | Other (attach schedule) | | | | |
| 3 | Total net additions | 0.00 | | | |
| 4 | Total net subtractions | | 0.00 | | |
| | Current earnings and profits (line 1 plus line 3 | | | 5a | 0.00 |
| - 6 | DASTM gain or (loss) for foreign corporations | | | 5b | |
| C | Combine lines 5a and 5b | | | 5c | 0.00 |
| d | Current earnings and profits in U S. dollars (lin | | | | |
| | as defined in section 989(b) and the related re | egulations (see instructions) |) | 5d | |
| <u> </u> | Enter exchange rate used for line 5d | la a sua - Fara - Faraira - C | <u> </u> | | - 1 |
| SCI | nedule I Summary of Shareholder's | income From Foreign C | orporation (see instri | action: | s.) |
| 1 | Subpart F income (line 38b, Worksheet A in th | e instructions) | | 1 | |
| | (| | | | |
| 2 | Earnings invested in U.S. property (line 17, W | orksheet B in the instruction | ns) | 2 | |
| 3 | Previously excluded subpart F income withdra | wn from qualified investme | nts (line 6b, | | |
| | , | | | 3 | |
| 4 | Previously excluded export trade income with (line 7b, Worksheet D in the instructions). | drawn from investment in ex | | | |
| | Time 10, Worksheet D in the instructions). | | ************ | 4 | |
| 5 | Factoring income | | | 5 | |
| | - | | | | |
| 6 | Total of lines 1 through 5. Enter here and on ye | our income tax return. See | instructions | 6 | 0.00 |

Dividends received (translated at spot rate on payment date under section 989(b)(1)).....

Exchange gain or (loss) on a distribution of previously taxed income

Was any income of the foreign corporation blocked?.....
Did any such income become unblocked during the tax year (see section 964(b))?....

e answer to either question is "Yes," attach an explanation.

| | | | | | | | | | • | Yе | S | No |
|---|--|--|--|--|--|--|--|--|---|----|---|----|
| | | | | | | | | | | |] | X |
| • | | | | | | | | | | |] | X |
| | | | | | | | | | | | | |

SCHEDULE O (Form 5471)

(Rev December 2005)

Organization or Reorganization of Foreign Corporation, and Acquisitions and Dispositions of its Stock

OMB No 1545-0704

Identifying number

Department of the Treasury nternal Revenue Service

Name of person filing Form 5471

▶ Attach to Form 5471. See Instructions for Form 5471.

| THE ROCKEFELLER FOUNDATION | | | | | | 13-165 | 9629 | | | |
|--|-------------------------|-------------------------|--|----------------------------------|---------------------|---------------------------------------|-------------|---|-------------|--------------------------|
| Name of foreign corporation | | , | | | | | | | | |
| ORION FUND II INVESTORS LTD PA | RTNERSHIP | | | | | | | | | |
| Important: Complete a separate Sch | nedule O for eacl | n foreign comora | ition foi | r which info | matic | on must | be re | porte | d. | |
| | | | | - | | | | | _ | |
| Part I To Be Completed by U. | 5. Officers and | | | (c) | | (4 | d) | | | e) |
| Name of shareholder for whom acquisition information is reported | Addres | (b) s of shareholder | ŀ | Identifying nu of sharehol | | Date of 10% ac | ongina | ıl I | Date of | additional equisition |
| acquisition information is reported | | | | Or Sharehol | uei | 1070 ac | quisitio | • | 10 /0 40 | Adiation |
| NOT APPLICABLE | | | | | | | | | | |
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| | | | | | | | - | | | |
| Part II To Be Completed by U. | S. Shareholde | rs | | | | | | | | |
| Note: If this return is requi | | | olders b | ecame U.S | S. pers | sons, atta | ach a | list s | howing | the |
| names of such persons and | d the date each b | ecame a U.S. p | erson. | | | · · · · · · · · · · · · · · · · · · · | | | | |
| | Section A—C | Seneral Shareh | older In | formation | | | | | | |
| (a) | For sh | areholder's latest U | ne tax return filed, indicate (if any) share | | | | | | | |
| Name, address, and identifying number of | | (1) (2) | | | (3) | | | las | t filed inf | ormation |
| shareholder(s) filing this schedule | Type of return | Data retur | n filed | | evenue i where i | Service Ce | nter | return under section 6046 for the foreign corporation | | |
| HE ROCKEFELLER FOUNDATION | (enteriorni namo | 51) | - | | WITCHE | illed | | | | |
| 420 FIFTH AVENUE | | | | | | | | | | |
| NEW YORK, NY 10118-2702 | 990-PF | 11/15/2 | 005 | OGDEN, | UT | | | | | |
| | | | | | | | | | | |
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| | | | | | | | | | | |
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| | | | | | | | | | | |
| Section B—U.S. | Persons Who A | re Officers or I | Directo | rs of the F | oreigi | n Corpoi | ration | | | |
| (a) | | (b) | | | (| (c) | | | Check a | (d) ppropriate |
| Name of U.S. officer or director | | Address | | Soc | cial sect | urity numbe | er | ⊢ | Officer | x(es) Director |
| | | | | | | | | | · · | Director |
| AVAILABLE UPON REQUEST | | | | | | | | | | |
| | | | | | • | · | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | Saction | n C. Assuisitis | of C4 | la als | | | | L. | | <u> </u> |
| | Section | n C—Acquisitic | ול זט ות | LOUR | r | | | (e) | | |
| (a) | (b) | (c) | | (d) | | Num | | | s acquired | t |
| Name of shareholder(s) filing this schedule | Class of stock acquired | Date of acquisition | | ethod of coursition (1) Directly | | | | (2) (3) | | (3) |
| | 204000 | | | | | rectly | In | | | nstructively |
| AVAILABLE UPON REQUEST | | | ļ | | | | | | | |
| | | | | | | | | | - | |

For Paperwork Reduction Act Notice, see the Instructions for Form 5471.

Schedule O (Form 5471) (Rev 12-2005)

| Schedule O (Form 5471) (Rev 12-2005) | | | | | | Page 2 |
|--|-------------------------------|-------------------------|---------------------------------------|----------------------|------------------|--------------------------|
| (f) Amount paid or value given | | Name and add | (g) ress of person from wh | om shares were ac | nuired | |
| Allicant paid of value girch | | Hame and add | icas of paraer from the | om onarco moro do | | - |
| | | | | | | |
| | Sect | ion D—Disposit | ion of Stock | | ···· | |
| (a) | (b) | (6) | (d) | Numbe | disposed of | |
| Name of shareholder disposing of stock | Class of stock | (c) Date of disposition | Method of disposition | (1) Directly | (2) Indirect | (3) ly Constructively |
| AVAILABLE UPON REQUEST | | | | | | |
| (f) | | | (g) | | | |
| Amount received | | Name and address | s of person to whom di | sposition of stock v | | |
| | | | | | | |
| Section | | ion or Reorgani | zation of Foreign | 1 | | |
| | (a) e and address of tran | sferor | | (b) Identifying numb | per (ifany) | (c) Date of transfer |
| VAILABLE UPON REQUEST | | | _ | | | |
| | | | | | | _ |
| | · · · | | · · · · · · · · · · · · · · · · · · · | | | |
| Assets tra | (d) ansferred to foreign o | orporation | | Description of s | (e) | erred by, or notes or |
| (1) | (2) Fair market v | . Admis | (3) ted basis (if transferor | secunties is | eign corporation | |

Assets transferred to foreign corporation (1) Description of assets Fair market value Adjusted basis (if transferor was U S person) Description of assets Adjusted basis (if transferor was U S person) Description of assets transferred by, or notes or securities issued by, foreign corporation

Section F-Additional Information

(a) If the foreign corporation or a predecessor U S corporation filed (or joined with a consolidated group in filing) a U S. income tax return for any of the last 3 years, attach a statement indicating the year for which a return was filed (and, if applicable, the name of the corporation filing the consolidated return), the taxable income or loss, and the U S. income tax paid (after all credits)

(b) List the date of any reorganization of the foreign corporation that occurred during the last 4 years while any U.S. person held 10% or more in value or vote (directly or indirectly) of the corporation's stock ▶

(c) If the foreign corporation is a member of a group constituting a chain of ownership, attach a chart, for each unit of which a shareholder owns 10% or more in value or voting power of the outstanding stock. The chart must indicate the corporation's position in the chain of whereship and the percentages of stock ownership (see instructions for an example).

Schedule O (Form 5471) (Rev 12-2005)

ORION FUND II INVESTORS LTD PARTNERSHIP STATEMENT ATTACHED TO FORM 5471 FEIN: APPLIED FOR FOR THE YEAR 03/28/2005 - 12/31/2005

SCHEDULE G, LINE 1 10% OWNERSHIP INTEREST IN FOREIGN PARTNERSHIPS:

ANDROMEDA CAPMAN PROPIEDAD EIN - N/A TAX FORMS FILED - N/A TAX MATTERS PARTNER - N/A TAX YEAR 1/1/2005 - 12/31/2005

CANOPUS CAPMAN HOLDING EIN - N/A TAX FORMS FILED - N/A TAX MATTERS PARTNER - N/A TAX YEAR 1/1/2005 - 12/31/2005

CANOPUS CAPMAN PROPIEDAD EIN - N/A TAX FORMS FILED - N/A TAX MATTERS PARTNER - N/A TAX YEAR 1/1/2005 - 12/31/2005

ORION EUROPEAN REAL ESTATE FUND II, CV EIN - 98-0451970 TAX FORMS FILED - N/A TAX MATTERS PARTNER - ORION FUND II PARTNER, LP TAX YEAR - 3/29/2005 - 12/31/2005

ORION FUND II INVESTORS LTD PARTNERSHIP STATEMENT ATTACHED TO FORM 5471 FEIN: APPLIED FOR FOR THE YEAR 03/28/2005 - 12/31/2005

SCHEDULE C - INCOME STATEMENT

LINE 8: OTHER INCOME INCOME FROM UNDERLYING INVESTMENT IN ORION EUROPEAN REAL ESTATE FUND II, C.V.

〈6,489,430**〉**

ORION FUND II INVESTORS LTD PARTNERSHIP STATEMENT ATTACHED TO FORM 5471 FEIN: APPLIED FOR FOR THE YEAR 03/28/2005 - 12/31/2005

SCHEDULE F - BALANCE SHEET

LINE 7: OTHER INVESTMENTS INVESTMENT IN ORION EUROPEAN REAL ESTATE FUND II, C.V.

18,112,838

(Rev. December 2005) Department of the Treasury Internal Revenue Service

Information Return of U.S. Persons With Respect To Certain Foreign Corporations

► See separate instructions.

OMB No. 1545-0704 Attachment Sequence No. 121

File In Duplicate

Information furnished for the foreign corporation's annual accounting period (tax year required by section 898) (see instructions) beginning JAN 1 , 2005, and ending DEC 31, 2005

(see When and Where To File in the instructions)

| Name of person filing this return | | A Identifying nur | nber | | | | | |
|---|---|--|---|--|------------------------------|-------------|--|--|
| FREMONT STRATEGIC PR | | | | | | | | |
| C/O FREMONT REALTY C | | 94-3368 | 3794 | | | | | |
| Number, street, and room or suite no (or P O box nu | imber if mail is not delivered to street address) | B Category of file | r (See instructions. Check | applicable t | oox(es)):_ | | | |
| P.O. BOX 192386 | | | 1 (repealed) 2 | _ 3 🗀 | 4 X | 5 X | | |
| City or town, state, and ZIP code | | C Enter the total percentage of the foreign corporation's voting stock | | | | | | |
| SAN FRANCISCO, CA 9 | 94119-2386 | | he end of its annual accou | | | 0.00 % | | |
| Filer's tax year beginning JAN 1 | , 2005 , and ending | DEC 31 | ,2005 | | | | | |
| D Person(s) on whose behalf this information | | | | | | | | |
| STMT 23 | | | <u> </u> | (4) Check | k applicable | box(es) | | |
| (1) Name | (2) Address | | (3) Identifying number | Shareholder | Officer | Director | | |
| FANO & COMPANY | 3 CHASE METROTECH | CENTER | | | | | | |
| | 5TH FLOOR BROOKLYN | | 20-0489336 | X | _ | _ | | |
| THE ROCKEFELLER | 420 FIFTH AVENUE | | 20 0103330 | | | | | |
| FOUNDATION | NEW YORK, NY 100 | 18 | 13-1659629 | X | | | | |
| Important: Fill in all applicable lines a | | | | | | | | |
| | | oe in English. Ali amot | ints | | | | | |
| | lollars unless otherwise indicated. | | h Complemental | | | | | |
| 1a Name and address of foreign corporation | " RATEGIC PARTNERS II | T T D | b Employer id 98-022 | | iumber, it a | ny | | |
| | | 1,4.2. | | | | | | |
| C/O FREMONT REALTY | | 110 0206 | c Country und | ier whose lav | ws incorpoi | ated | | |
| P.O. BOX 192386, S | SAN FRANCISCO CA 94 | 119-2386 | | | | | | |
| d Data of La Dilamal along of hugan | Defendant La Dela | | CAYMAN | | | | | |
| d Date of e Principal place of busing | ess f Principal g Prin business activity | cipal business activity | n Function | nal currency | | | | |
| Incorporation CAYMAN ISLAN | IDS code number II | NVESTMENT | 1 | | | | | |
| 01/01/00 | 531390 | | US DO | LLAR | | | | |
| Provide the following information for the | foreign corporation's accounting period s | tated above. | | | | | | |
| a Name, address, and identifying number of | of branch office or agent (if any) in the Unit | ted States | b If a U.S. income tax | return was f | iled, enter: | | | |
| | | | G) Tayahla yasama ay (la | | I.S. income | | | |
| | | | (i) Taxable income or (lo |)SS) (| after all cre | dits) | | |
| | | | | | | | | |
| | | | | İ | | | | |
| c Name and address of foreign corporation | n's statutory or resident agent | d Name and address | (including corporate depa | artment, if ai | oplicable) o | f | | |
| in country of incorporation | , | person (or persons | with custody of the boo | ks and recor | rds of the fo | oreign | | |
| | | corporation, and th | e location of such books | and records. | , if different | | | |
| WALKERS SPV LIMITE | ED I | VICTOR KW | iok | | | | | |
| P.O. BOX 908GT, WA | | | ROUP, P.O. | BOX 1 | 92386 | | | |
| GRAND CAYMAN, CAYM | | | SISCO CA 941 | | <i>-</i> <u>-</u> | | | |
| CAYMAN ISLANDS | MI IC | DAM LIMMO | TOCO CA JAI | 19 | | | | |
| Schedule A Stock of the For | reign Corporation | | | | | | | |
| Schedule A Stock of the For | reight Corporation | | (h) Number of the | ree lected a | nd outstan | duna | | |
| 4.5 | | | (b) Number of sha | | | | | |
| (a) Desc | cription of each class of stock | | (i) Beginning of annua accounting period | il (i | ii) End of ar ecounting p | | | |
| 2017(0)7 | <u> </u> | | | | | | | |
| COMMON | | - | 1 | 00 | | 0 | | |
| | | | | —— | | | | |
| | | | | | | | | |
| | | - <u> </u> | <u> </u> | | | | | |
| LHA For Paperwork Reduction Act Notice, | see instructions. | - | | Form 5 | 5471 (Rev | r. 12-2005) | | |

Page 2

| Schodula Bil | TIE Ch | areholders of | Eoroian (| Omoration |
|--------------|----------|------------------|--------------|-------------|
| Scriedule D | U.S. 311 | ai eliviuei 5 vi | - LOLEIAII (| Julbutation |

| (a) Name, address, and identifying number of shareholder | (b) Description of each class of stock held by shareholder Note; This description should match the corresponding description entered in Schedule A, column (a). | (c) Number of shares held at beginning of annual accounting period | (d) Number of shares held at end of annual accounting period | (e) Pro rata share of subpart F income (enter as a percentage) |
|--|---|--|--|---|
| FREMONT STR. PROP. PTNRS | COMMON | 100 | 0 | .00% |
| P.O. BOX 192386 | | | |] |
| SAN FRANCISCO CA 94119 | | | | } |
| 94-3368794 | | | | |
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| | | | | |
| | | | | |
| Schedule C Income Statement | | | · · · · · · · · · · · · · · · · · · · | <u>L</u> |

Important: Report all information in functional currency in accordance with U.S. GAAP. Also, report each amount in U.S. dollars translated from functional currency (using GAAP translation rules). However, if the functional currency is the U.S. dollar, complete only the U.S. Dollars column. See instructions for special rules for DASTM corporations.

| | | | | Functional Currency | U.S. Dollars |
|------------|----|--|----|---------------------|-----------------|
|) | 18 | a Gross receipts or sales | 1a | | |
| | l | Returns and allowances | 1b | | |
| | (| Subtract line 1b from line 1a | 1c | | |
| | 2 | Cost of goods sold | 2 | | |
| Ĕ | 3 | Gross profit (subtract line 2 from line 1c) | 3 | | |
| Income | 4 | Dividends . | 4 | | |
| <u>-</u> | 5 | Interest | 5 | | |
| | 6 | Gross rents, royalties, and license fees | 6 | | |
| | 7 | Net gain or (loss) on sale of capital assets | 7 | | |
| | 8 | Other income (attach schedule) | 8 | | |
| | 9 | Total income (add lines 3 through 8) | 9 | | 0 |
| | 10 | Compensation not deducted elsewhere | 10 | | |
| | 11 | Rents, royalties, and license fees | 11 | | |
| m | 12 | Interest | 12 | | |
| Deductions | 13 | Depreciation not deducted elsewhere | 13 | | |
| ucti | 14 | Depletion | 14 | | |
| ē | 15 | Taxes (exclude provision for income, war profits, and excess profits taxes) | 15 | | |
| | 16 | Other deductions (attach schedule - exclude provision for income, war profits, | | | |
| | | and excess profits taxes) SEE STATEMENT 24 | 16 | | 256. |
| | 17 | Total deductions (add lines 10 through 16) | 17 | | 256. |
| | 18 | Net income or (loss) before extraordinary items, prior period adjustments, and | | | |
| 60 | | the provision for income, war profits, and excess profits taxes (subtract line | | | New 20 22 22 22 |
| Ě | | 17 from line 9) | 18 | | <256.> |
| Ĕ | 19 | Extraordinary items and prior period adjustments | 19 | | |
| Net Income | 20 | Provision for income, war profits, and excess profits taxes | 20 | | |
| | | • · · · · · · · · · · · · · · · · · · · | | | .05.6 |
| | 21 | Current year net income or (loss) per books (combine lines 18 through 20) | 21 | | <u> </u> |

Page 3

| Schedule E Income, War P | rofits, and Excess Profits | s Taxes Paid or A | \ccn | ned | |
|---|-----------------------------------|----------------------------|----------|---|--|
| | | | | | |
| (a) Name of country or U | J.S. possession | (b) In foreign currency | y | (c) Conversion rate | (d) In U.S. dollars |
| 1 U.S. | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | <u></u> | | | |
| 8 Total | | | | • | None |
| Schedule F Balance Sheet | | <u> </u> | • | | |
| Important: Report all amounts in U. corporations | S. dollars prepared and translate | d in accordance with (| u.s. c | GAAP. See instructions for | an exception for DASTM |
| | Assets | | | (a) Beginning of annual | (b) End of annual |
| | | | | accounting period | accounting period |
| 1 Cash | | 1 | _1_ | | |
| 2a Trade notes and accounts receivable | | <u> </u> | 2a | | |
| b Less allowance for bad debts | | ļ | 2b | () | () |
| 3 Inventories | | - | 3 | | |
| 4 Other current assets (attach schedule | | <u> </u> | 4 | | |
| 5 Loans to shareholders and other relat | | AMENTENTO O É | 5 | 10 060 227 | -26 122 000 |
| 6 Investment in subsidiaries (attach sch | nedule) SEE STA | ATEMENT 25 | 6 | 10,860,337. | <26,133,989.> |
| 7 Other investments (attach schedule) | | - | 7 | | |
| 8a Buildings and other depreciable asset | S | | 8a | | |
| b Less accumulated depreciation 9a Depletable assets | | • - | 8b 9a | . () | 1 |
| b Less accumulated depletion | | · - | 9b | 1 | 1 |
| 10 Land (net of any amortization) | | - | 10 | | <u></u> |
| 11 Intangible assets: | | ŀ | -" | | |
| a Goodwill | | | 11a | | |
| b Organization costs | | F | 11b | | - |
| c Patents, trademarks, and other intang | uble assets | · | 11c | | |
| d Less accumulated amortization for lin | | · | 11d | () | (|
| 12 Other assets (attach schedule) | ,, | | 12 | | |
| 13 Total assets | | | 13 | 10.860.337. | <26,133,989.> |
| | d Shareholders' Equity | | ,,, | | · · · · · · · · · · · · · · · · · · · |
| | | | 1563 | *, | , |
| 14 Accounts payable | | ľ | 14 | Charles and strength was taken and the same | TO THE CHARLES AND THE PARTY OF |
| 15 Other current liabilities (attach schedu | ile) SEE STA | АТЕМЕНТ 26 | 15 | 3,255. | 0 |
| 16 Loans from shareholders and other re | elated persons | . [| 16 | | |
| 17 Other liabilities (attach schedule) | | . [| 17 | | |
| 18 Capital stock: | | | | | |
| a Preferred stock | | | 188 | | |
| b Common stock | | 1 | 18b | 18,919,996. | <17,180,890.> |
| 19 Paid-in or capital surplus (attach reco | nciliation) | [| 19 | | 2 |
| 20 Retained earnings | | . 1 | 20 | <u><8,062,914.</u> | <8,953,099. |
| 21 Less cost of treasury stock | | <u>į</u> | 21 | () | () |
| AA TAMAAAAAAA | | | . | 10 060 227 | -26 122 000 |
| 22 Total liabilities and shareholders' equi | <u></u> | | 22 | | <26,133,989.> |
| | | | | | Form 5471 (Rev. 12-2005) |

| đ | Current earnings and profits in U.S. dollars (line 5c translated at the appropriate exchange rate as defined in section 989(b) |
|---|--|
| | and the related regulations) |
| | Enter exchange rate used for line 5d ▶ |
| S | chedule I Summary of Shareholder's Income From Foreign Corporation |

DASTM gain or (loss) for foreign corporations that use DASTM

If the answer to either question is "Yes," attach an explanation.

Combine lines 5a and 5b

5a 28,624,196.
5b 28,624,196.
5d 28,624,196.

None 1 Subpart F income (line 38b, Worksheet A in the instructions) 1 None 2 2 Earnings invested in U.S. property (line 17, Worksheet B in the instructions) Previously excluded subpart F income withdrawn from qualified investments (line 6b, Worksheet C in None 3 the instructions) Previously excluded export trade income withdrawn from investment in export trade assets (line 7b, None Worksheet D in the instructions) None 5 Factoring income None Total of lines 1 through 5. Enter here and on your income tax return 6 None Dividends received (translated at spot rate on payment date under section 989(b)(1)) 7 None Exchange gain or (loss) on a distribution of previously taxed income Yes No XWas any income of the foreign corporation blocked? \mathbf{X} Did any such income become unblocked during the tax year (see section 964(b))?

Form **5471** (Rev. 12-2005)

SCHEDULE J (Form 5471)

(Rev December 2005) Department of the Treasury Internal Revenue Service

Accumulated Earnings and Profits (E&P) of Controlled Foreign Corporation

➤ Attach to Form 5471.

OMB No. 1545-0704

Name of person filing Form 5471

Identifying number

FREMONT STRATEGIC PROPERTY PARTNERS, L.P C/O FREMONT REALTY CAPITAL, L.P.

94-3368794

Name of foreign corporation

FREMONT CAYMAN STRATEGIC PARTNERS III, L.P. C/O FREMONT REALTY CAPITAL, L.P.

| | | | | (a) Post-1986 | (b) Pre-1987 E&P |
|-------------------------|---|---|--------------------------|---|---|
| Important. | Important. Enter amounts in functional currency. | | | Undistributed Earnings (post-86 section 959(c)(3) balance) | Not Previously Taxed (pre-87 section 959(c)(3) balance) |
| 1 Balance at | beginning of year | | ··· | <9,856,840. | > |
| 2a Current yea | ar E&P | | | 28,624,196. | * * * * * * * * * * * * * * * * * * * |
| b Current yea | ar deficit in E&P | | <u> </u> | | λ |
| 3 Total curre | nt and accumulated E&P not previo | usly taxed (line 1 plus line 2a | or line 1 minus line 2b) | 18,767,356. | |
| 4 Amounts in | ncluded under section 951(a) or rec | lassified under section 959(c) |) in current year | 28,624,196. | - · · - · · · · · · · · · · · · · · · · |
| 5a Actual distr | ributions or reclassifications of prev | iously taxed E&P | | .8 / \$ | 2 12. |
| b Actual distr | ributions of nonpreviously taxed E& | P | | | |
| 6a Balance of | previously taxed E&P at end of year | (line 1 plus line 4, minus line | 5a) | the the same | |
| b Balance of | E&P not previously taxed at end of | year (line 3 minus line 4, mini | us line 5b) | <9,856,840. | > |
| 7 Balance at | end of year. (Enter amount from line | e 6a or line 6b, whichever is a | pplicable.) | <9,856,840. | > |
| | (c) Previously Taxed E&P (sections 959(c)(1) and (2) balances) | | | | |
| | (sec | (c) Previously Taxed E&P ctions 959(c)(1) and (2) balan | nces) | (d) Total Section | |
| | (sec (i) Earnings Invested in U.S. Property | (c) Previously Taxed E&P ctions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive Assets | (iii) Subpart F Income | (d) Total Section 964(a) E&P (combine columns (a), (b), and (c)) | |
| 1 | (i) Earnings Invested | ctions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive | <u> </u> | 964(a) E&P (combine columns | > |
| 1 2a | (i) Earnings Invested | ctions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive | <u> </u> | 964(a) E&P (combine columns (a), (b), and (c)) | > |
| · · · · · · · | (7) Earnings Invested in U.S. Property | ctions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive | (iii) Subpart F Income | 964(a) E&P (combine columns (a), (b), and (c)) <9,856,840. | > |
| 2a | (i) Earnings Invested in U.S. Property | ctions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive | (iii) Subpart F Income | 964(a) E&P (combine columns (a), (b), and (c)) <9,856,840. | > |
| 2a b | (7) Earnings Invested in U.S. Property | tions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive Assets | (iii) Subpart F Income | 964(a) E&P (combine columns (a), (b), and (c)) <9,856,840. | > |
| 2a b | (7) Earnings Invested in U.S. Property | tions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive Assets | (iii) Subpart F Income | 964(a) E&P (combine columns (a), (b), and (c)) <9,856,840. | > |
| 2a b 3 | (7) Earnings Invested in U.S. Property | tions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive Assets | (iii) Subpart F Income | 964(a) E&P (combine columns (a), (b), and (c)) <9,856,840. | > |
| 2a b 3 4 5a | (7) Earnings Invested in U.S. Property | tions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive Assets | (iii) Subpart F Income | 964(a) E&P (combine columns (a), (b), and (c)) <9,856,840. | > |
| 2a b 3 4 5a b | (7) Earnings Invested in U.S. Property | tions 959(c)(1) and (2) balan (ii) Earnings Invested in Excess Passive Assets | (iii) Subpart F Income | 964(a) E&P (combine columns (a), (b), and (c)) <9,856,840. | > |

SCHEDULE M (Form 5471)

(Rev. December 2005)
Department of the Treasury

Transactions Between Controlled Foreign Corporation and Shareholders or Other Related Persons

OMB No 1545-0704

Attach to Form 5471.

Name of person filing Form 5471

FREMONT STRATEGIC PROPERTY PARTNERS, L.P

C/O FREMONT REALTY CAPITAL, L.P.

Identifying number

94-3368794

Name of foreign corporation

FREMONT CAYMAN STRATEGIC PARTNERS III, L.P.

C/O FREMONT REALTY CAPITAL, L.P.

Important: Complete a separate Schedule M for each controlled foreign corporation. Enter the totals for each type of transaction that occurred during the annual accounting period between the foreign corporation and the persons listed in columns (b) through (f). All amounts must be stated in U.S. dollars translated from functional currency at the average exchange rate for the foreign corporation's tax year. See instructions.

Enter the relevant functional currency and the exchange rate used throughout this schedule

U.S. DOLLARS

| (a) Transactions of foreign corporation | (b) US person filing this return | (C) Any domestic corporation or partnership controlled by US person filing this return | (d) Any other foreign corporation or partnership controlled by US person filing this return | (e) 10% or more U S shareholder of controlled foreign corporation (other than the U S person filing this return) | (f) 10% or more U S shareholder of any corporation controlling the foreign corporation |
|---|---|--|---|--|--|
| 1 Sales of stock in trade (inventory) | None — | | | | |
| 2 Sales of property rights | | | | | |
| (patents, trademarks, etc.) | | | | _ | |
| 3 Compensation received for tech- | | | | | |
| nıcal, managerial, engineering, | | | | | |
| construction, or like services | | | <u> </u> | | |
| 4 Commissions received 5 Rents, royalties, and license | | | | | |
| fees received | | | | | |
| 6 Dividends received (exclude | | | | | |
| deemed distributions under | | | | | |
| subpart F and distributions of | | | | | |
| previously taxed income) | | | | | |
| 7 Interest received | | | | | |
| 8 Premiums received for insur- | | | | | |
| ance or reinsurance | | = | | | |
| 9 Add lines 1 through 8 | None _ | | | | |
| 10 Purchases of stock in trade | | | | | |
| (inventory) | | | | | |
| 11 Purchases of tangible property other than stock in trade | | | | | |
| 12 Purchases of property rights | • | | | | |
| (patents, trademarks, etc.) | | | | | |
| 13 Compensation paid for tech- | | | | | |
| nical, managerial, engineering, | | | | | |
| construction, or like services | 256. | | | | |
| 14 Commissions paid | | | | | |
| 15 Rents, royalties, and license | | | | | |
| fees paid | | | | | |
| 16 Dividends paid | 28,624,196. | | | | |
| 17 Interest paid | 00 604 455 | | | | |
| 18 Add lines 10 through 17 | 28,624,452. | None - | | | |
| 19 Amounts borrowed (enter the | | | | | _ |
| maximum loan balance during | NONE | | | | |
| the year) - see instructions | | | | - | |
| 20 Amounts loaned (enter the | 110115 | | | | , |
| maximum loan balance during the year) - see instructions | NONE | | <u> </u> | | |
| the year) - see histractions | 4 | 1 | <u></u> | D 1 1 1 1 1 1 1 1 | m E471\ (Pay 12 200) |

| FORM 5471 OTHER DE | EDUCTIONS | | STATEMENT | 24 |
|---|-----------------------|--|-------------------------------------|-------------|
| DESCRIPTION | FUNCTIONA CURRENCY | | U.S. DOLLA | ΔR |
| INTERNAL FRC SERVICES | | | 25 | 66. |
| TOTAL TO 5471, SCHEDULE C, LINE 16 | | | 25 | 66. |
| FORM 5471 INVESTMENT IN | N SUBSIDIAR | RIES | STATEMENT | 25 |
| DESCRIPTION | | BEG. OF ANNUAL ACCOUNTING PERIOD | END OF ANNU ACCOUNTING PERIOD | |
| FREMONT CAYMAN STRATEGIC PARTNERS III, | LP | 10,860,337. | <26,133,98 | 39.> |
| TOTAL TO 5471, PAGE 3, SCHEDULE F, LINE | E 6 | 10,860,337. | <26,133,98 | 39.> === |
| FORM 5471 OTHER CURRENT | LIABILITI | ES | STATEMENT | 26 |
| DESCRIPTION | | BEG. OF ANNUAL ACCOUNTING PERIOD | END OF ANNU ACCOUNTING PERIOD | |
| DUE TO AFFILIATES | | 3,255. | | 0. |
| TOTAL TO 5471, PAGE 3, SCHEDULE F, LINE | E 15 | 3,255. | | 0. |
| FORM 5471 OTHER NET A | ADJUSTMENTS | <u> </u> | STATEMENT | 27 |
| DESCRIPTION | A | NET DDITIONS | NET SUBTRACTION | ıs |
| OTHER FROM INVESTMENT NONDEDUCTIBLE EXPENSES | | 28,624,737. | 28 | 35. |
| TOTAL TO 5471, PAGE 4, SCHEDULE H, LINE | Е 2Н | 28,624,737. | 28 | 35. |

Form **5471**

(Rev. December 2005) Department of the Treasury Internal Revenue Service

Information Return of U.S. Persons With **Respect To Certain Foreign Corporations**

► See separate instructions.

OMB No. 1545-0704 Attachment Sequence No. **121**

File In Duplicate

Information furnished for the foreign corporation's annual accounting period (tax year required by section 898) (see instructions) beginning $\,$ JAN $\,$ 1 $\,$, $\,$ 2005, and ending DEC $\,$ 31, $\,$ 2005

(see When and Where To File in the instructions)

| Name of person filing this return | | A Identifying nun | nber | | | |
|--|--|--------------------------|---|----------------|--------------------|--|
| FSPP PUERTO RICO PAR | | | | | | |
| C/O FREMONT REALTY C | | 94-3397 | | | | |
| | mber il maii is not delivered to street address) | B Category of file | r (See instructions. Check | | | - जि |
| P.O. BOX 192386 | | | 1 (repealed) 2 | 3 📗 | 4 X | 5 X |
| City or town, state, and ZIP code | A110 020C | · · | ercentage of the foreign (| | | |
| | 04119-2386 | | ne end of its annual accou | inting period | 9 100 | .00 % |
| Filer's tax year beginning JAN 1 | | DEC 31 | ,2005 | | | |
| D Person(s) on whose behalf this information | on return is filed: | | г - | 1 | | |
| STMT 13 | (2) Address | | (3) Identifying number | | k applicable | |
| JOHN S. & JAMES L. | WACHOVIA FINANCIAL | CENTED | | Shareholder | Officer | Director |
| KNIGHT FOUNDATION | SUITE 3300 MIAMI F | | 65-0464177 | x | <u> </u> | |
| FANO & COMPANY | 3 CHASE METROTECH | | 03-04041// | ^ | i | |
| FANO & COMPANI | 5TH FLOOR BROOKLYN | | 20-0489336 | x | <u>-</u> . | |
| Important: Ellin all analoghic lines | | | <u> </u> | | <u> </u> | <u> </u> |
| Important: Fill in all applicable lines a | and scriedules. All information must ollars unless otherwise indicated. | De in English. All amou | inis | | | |
| 1a Name and address of foreign corporation | | | b Employer id | entification | number if | n.v. |
| | TNERS III, SE, LP, | C/O FRC I | | | ilulliber, il c | .ity |
| P.O. BOX 192386 | HABRO III, OB, BI, | C/O TRC, I | c Country und | | We Incorpo | rated |
| SAN FRANCISCO CA 9 | 24119 | | C Country unio | ei wiiose ia | wa mcorpo | alcu |
| 0121 112210100 011 9 | 1219 | | CAYMAN | TSLAN | DS | |
| d Date of e Principal place of busin | ess f Principal g Pri | ncipal business activity | | nal currency | | |
| Incorporation CAYMAN ISLAN | IDS business activity code number I | NVESTMENTS | | - | | |
| 05/10/01 | 531390 | | us do | LLARS | | |
| Provide the following information for the | | stated above. | | | | |
| a Name, address, and identifying number of | | | b If a U.S. income tax | return was | filed. enter: | |
| | •, | | | (ii) L | J.S. income | tax paid |
| | | | (i) Taxable income or (lo | iss) | (after all cre | dits) |
| | | | | | | |
| | | | | | | |
| c Name and address of foreign corporation | n's statutory or resident agent | | (including corporate depart | | | |
| in country of incorporation | | |) with custody of the boo e location of such books | | | |
| | | Corporation, and th | c location of such books | and records | , ii uiiicicii | • |
| WS WALKER & CO. | | | OK, FREMONT | GROU | P | |
| PO BOX 265GT, WALK | ER HOUSE, MARY ST | P.O. BOX | | | | |
| GRAND CAYMAN | | SAN FRANC | ISCO CA 941 | 19 | | |
| CAYMAN ISLANDS | | | | | | |
| Schedule A Stock of the For | reign Corporation | | | | | |
| | | | (b) Number of sha | | | |
| (a) Desc | cription of each class of stock | | (i) Beginning of annua | | (ii) End of a | |
| | | | accounting period | | ccounting (| |
| COMMON | | | <u> </u> | 00 | | 100 |
| | | | | | | |
| | | | | - | | |
| | | | l | | # 4 = 4 = = | |
| LHA For Paperwork Reduction Act Notice. | see instructions. | | | Form | 5471 (Re | v. 12-2005) |

| Schedule B U.S. Shareholders of I | -oreign Corporation | | | _ |
|---|--|--|--|---|
| (a) Name, address, and identifying number of shareholder | (b) Description of each class of stock held by shareholder Note: This description should match the corresponding description entered in Schedule A, column (a) | (c) Number of shares held at beginning of annual accounting period | (d) Number of shares held at end of annual accounting period | (e) Pro rata share of subpart F income (enter as a percentage) |
| FSPP PUERTO RICO PTRS III SE LP, PO BOX 192386 SAN FRANCISCO CA 94119 | COMMON | 100 | 100 | 100.00% |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Schedule C Income Statement

Important: Report all information in functional currency in accordance with U.S. GAAP. Also, report each amount in U.S. dollars translated from functional currency (using GAAP translation rules). However, if the functional currency is the U.S. dollar, complete only the U.S. Dollars column. See instructions for special rules for DASTM corporations.

| | | detions for special fales for DAS fivil corporations. | | Т | Functional Currency | U.S. Dollars |
|------------|----|--|-----|----|---------------------|--------------|
|) | 1a | Gross receipts or sales | ┢ | 1a | | |
| | Ь | Returns and allowances | | 1b | | |
| | C | Subtract line 1b from line 1a | | 1c | | |
| | 2 | Cost of goods sold | | 2 | | |
| Ē | 3 | Gross profit (subtract line 2 from line 1c) | | 3 | | |
| ncome | 4 | Dividends | | 4 | | |
| = | 5 | Interest | | 5 | | |
| | 6 | Gross rents, royalties, and license fees | | 6 | | |
| | 7 | Net gain or (loss) on sale of capital assets | Г | 7 | | |
| | 8 | Other income (attach schedule) SEE STATEMENT 1 | 4 🗆 | 8 | | 2,807,903. |
| | 9 | Total income (add lines 3 through 8) | | 9 | | 2,807,903. |
| _ | 10 | Compensation not deducted elsewhere | | 10 | | |
| | 11 | Rents, royalties, and license fees | | 11 | | |
| | 12 | Interest | | 12 | | |
| Deductions | 13 | Depreciation not deducted elsewhere | | 13 | | |
| Icti | 14 | Depletion | Γ | 14 | | |
| ð | 15 | Taxes (exclude provision for income, war profits, and excess profits taxes) | Γ | 15 | | |
| ٥ | 16 | Other deductions (attach schedule - exclude provision for income, war profits, | | | | |
| | | and excess profits taxes) SEE STATEMENT 1 | 5. | 16 | | 2,697. |
| | 17 | Total deductions (add lines 10 through 16) | Г | 17 | | 2,697. |
| | 18 | Net income or (loss) before extraordinary items, prior period adjustments, and | | | | |
| _ | | the provision for income, war profits, and excess profits taxes (subtract line | | | | |
| Ĕ | | 17 from line 9) | | 18 | | 2,805,206. |
| ĕ | 19 | Extraordinary items and prior period adjustments | | 19 | | |
| Net Income | | Provision for income, war profits, and excess profits taxes | | 20 | | |
|) | 21 | Current year net income or (loss) per books (combine lines 18 through 20) | | 21 | | 2,805,206. |

Form **5471** (Rev. 12-2005)

Page 3

| (a) | Amount of tax | | | | | |
|--|----------------------------|------------------------|------------------------|--|--|--|
| (a) Name of country or U.S. possession | (b) In foreign currency | (c) Conversion rate | (d) In U.S. dollars | | | |
| U.S. | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| 3 Total . | | | NONE | | | |

Important: Report all amounts in U.S. dollars prepared and translated in accordance with U.S. GAAP. See instructions for an exception for DASTM corporations.

| Assets | | | | | (a) Beginning of annual accounting period | (b) End of annual |
|---|---------|-----------|------|-----|---|---|
| 4 0 | | | | | accounting period | accounting period |
| 1 Cash | | • | • | 1 | | |
| 2a Trade notes and accounts receivable | | | • | 2a | | , |
| b Less allowance for bad debts | | • | | 2b | (| (|
| 3 Inventories | | • | | 3 | | |
| 4 Other current assets (attach schedule) | | | • | 4 | | |
| 5 Loans to shareholders and other related persons | | | ٠. ـ | 5 | 4.5.055.045 | |
| 6 Investment in subsidiaries (attach schedule) | SEE | STATEMENT | 1.6 | 6 | 16,366,016. | 0. |
| 7 Other investments (attach schedule) | | • | | 7 | | |
| 8a Buildings and other depreciable assets | | | - | 8a | | |
| b Less accumulated depreciation | | | | 8b | (| () |
| 9a Depletable assets | | | | 9a | | |
| b Less accumulated depletion | | | | 9b | (| (|
| 10 Land (net of any amortization) | | | | 10 | | |
| 11 Intangible assets: | | | | | | |
| a Goodwill | | | | 11a | | |
| b Organization costs | | | | 11b | | |
| c Patents, trademarks, and other intangible assets | | _ | | 11c | | |
| d Less accumulated amortization for lines 11a, b, and c | | | | 11d | () | (|
| 12 Other assets (attach schedule) | | | | 12 | | |
| 13 Total assets | | | | 13 | 16,366,016. | 0. |
| Liabilities and Sharehold | ers' Eq | uity | | | | |
| | | _ | | | · | to a substitute recognition is more greatern. |
| 14 Accounts payable . | | | | 14 | 2,747. | 10. |
| 15 Other current liabilities (attach schedule) | | | | 15 | <u> </u> | |
| 16 Loans from shareholders and other related persons | | | | 16 | | |
| 17 Other liabilities (attach schedule) | | | - | 17_ | | |
| 18 Capital stock: | | | | | | |
| a Preferred stock | _ | | | 18a | | |
| b Common stock | • | | | 18b | 5,316,746. | <13,633,576. |
| 19 Paid-in or capital surplus (attach reconciliation) | | • | _ | 19 | | |
| 20 Retained earnings | | • | • | 20 | 11,046,523. | 13,633,566. |
| 21 Less cost of treasury stock | • | | | 21 | () | () |
| | | • | | | | |
| 22 Total liabilities and shareholders' equity | | | | 22 | 16,366,016. | 0. |
| | | | | | | Form 5471 (Rev. 12-2005 |

Form **5471** (Rev. 12-2005)

512331 02-08-06 NONE

No X

X

Yes

Form **5471** (Rev. 12-2005)

01620111

Exchange gain or (loss) on a distribution of previously taxed income

Did any such income become unblocked during the tax year (see section 964(b))?

Was any income of the foreign corporation blocked?

If the answer to either question is "Yes," attach an explanation.

SCHEDULE J (Form 5471)

(Rev December 2005) Department of the Treasury Internal Revenue Service

Accumulated Earnings and Profits (E&P) of Controlled Foreign Corporation

Attach to Form 5471.

OMB No. 1545-0704

Name of person filing Form 5471

Identifying number

FSPP PUERTO RICO PARTNERS, SE, LP C/O FREMONT REALTY CAPITAL, L.P.

94-3397799

Name of foreign corporation

FSPP CAYMAN PR PARTNERS III, SE, LP, C/O FRC, LP P.O. BOX 192386

| | Important. Enter a | mounts in functional current | (a) Post-1986 Undistributed Earnings (post-86 section 959(c)(3) balance) | (b) Pre-1987 E&P Not Previously Taxed (pre-87 section 959(c)(3) balance) | | | |
|------|---|--|---|---|--|--|--|
| _1 | Balance at beginni | ng of year | | | | | |
| 2a | Current year E&P | | 11,594,584. | * | | | |
| _ b | Current year defice | t in E&P | | | | | |
| 3 | Total current and a | occumulated E&P not previou | 11,594,584. | | | | |
| 4 | Amounts included | under section 951(a) or recl | 11,590,216. | | | | |
| 5a | Actual distributions | s or reclassifications of previ | , , , | : | | | |
| b | Actual distributions | s of nonpreviously taxed E&I | 4,368. | | | | |
| - 6a | Balance of previou | sly taxed E&P at end of year | 13 1 1 1 1 | | | | |
| | Balance of E&P not previously taxed at end of year (line 3 minus line 4, minus line 5b) | | | | | | |
| 7 | | rear. (Enter amount from line | 0. | | | | |
| | | (c) Previously Taxed E&P (sections 959(c)(1) and (2) balances) | | | | | |
| | | (i) Earnings Invested in U.S. Property | (ii) Earnings Invested in Excess Passive Assets | (iii) Subpart F Income | (combine columns (a), (b), and (c)) | | |
| _1 | | | | | | | |
| 28 | 1 | | | | | | |
| t |) | | J | | | | |
| 3 | | | · · · · · · · · · · · · · · · · · · · | , , | | | |
| 4 | | | | | | | |
| 5a | ı | | | | | | |
| b |) | 1 | | 1, 1 | | | |
| 68 | | | | | - / . | | |
| | , | | | | · · · · · · · · · · · · · · · · · · · | | |
| 7 | | | | | | | |

512421/02-01-06 LHA

For Paperwork Reduction Act Notice, see the Instructions for Form 5471.

Schedule J (Form 5471) (Rev. 12-2005)

SCHEDULE M (Form 5471)

(Rev. December 2005)

Department of the Treasury

Transactions Between Controlled Foreign Corporation and Shareholders or Other Related Persons

OMB No 1545-0704

► Attach to Form 5471.

Name of person filing Form 5471

FSPP PUERTO RICO PARTNERS, SE, LP

C/O FREMONT REALTY CAPITAL, L.P.

Identifying number

94-3397799

Name of foreign corporation

FSPP CAYMAN PR PARTNERS III, SE, LP, C/O FRC, LP

P.O. BOX 192386

Important: Complete a separate Schedule M for each controlled foreign corporation. Enter the totals for each type of transaction that occurred during the annual accounting period between the foreign corporation and the persons listed in columns (b) through (f). All amounts must be stated in U.S. dollars translated from functional currency at the average exchange rate for the foreign corporation's tax year. See instructions Enter the relevant functional currency and the exchange rate used throughout this schedule

U.S. DOLLARS

| (8) Transactions of foreign corporation | (b) ∪ S person filing this return | (C) Any domestic corporation or partnership controlled by US person filing this return | (d) Any other foreign corporation or partnership controlled by US person filing this return | (e) 10% or more U S shareholder of controlled foreign corporation (other than the U S person filing this return) | (f) 10% or more U S shareholder of any corporation controlling the foreign corporation |
|---|--------------------------------------|--|---|--|--|
| 1 Sales of stock in trade | NONE - | | | | |
| (inventory) | | | | | |
| (patents, trademarks, etc.) | | | | | |
| Compensation received for tech- nical, managerial, engineering, | | | | | |
| construction, or like services | | | <u> </u> | | |
| 4 Commissions received | | <u> </u> | | | |
| 5 Rents, royalties, and license fees received | | | | | |
| 6 Dividends received (exclude | | | | | |
| deemed distributions under | | | | | |
| subpart F and distributions of | | | | | |
| previously taxed income) | | | | | |
| 7 Interest received | | | | | |
| 8 Premiums received for insur- | | | | | |
| ance or reinsurance | NONE | | | | |
| 9 Add lines 1 through 8 10 Purchases of stock in trade | . NONE | | | | |
| (inventory) | | | | | |
| 11 Purchases of tangible property | | | | | |
| other than stock in trade | į | | | | |
| 12 Purchases of property rights | | | | | |
| (patents, trademarks, etc.) | | | | | |
| 13 Compensation paid for tech- | | | | | |
| nical, managerial, engineering, | 370. | | | | |
| construction, or like services | 370. | | | | |
| 14 Commissions paid | | | | | |
| fees paid | | | | | |
| 16 Dividends paid | 11,594,584. | | | | |
| 17 Interest paid | | | | | |
| 18 Add lines 10 through 17 | 11,594,954. | | | | |
| 19 Amounts borrowed (enter the | | | | | |
| maximum loan balance during | 10 | | | | |
| the year) - see instructions | 10. | | | | |
| 20 Amounts loaned (enter the | | | | | _ |
| maximum loan balance during the year) - see instructions | NONE " | | | · · · · · · | \ |
| STANDARD OF OR LAW FOR BONDERS B | | <u> </u> | | 0 1 1 1 14 7 | m 5471\/Rev. 12-200 |

512371/02-01-06 LHA For Paperwork Reduction Act Notice, see the Instructions for Form 5471.

Schedule M (Form 5471) (Rev. 12-2005)

Worksheet A - Foreign Base Company Income and Insurance Income and Summary of U.S. Shareholder's Pro Rata Share of Subpart F Income of a CFC

Enter the amounts on lines 1a through 38a in functional currency. Gross foreign personal holding company income: a Dividends, interest, royalties, rents, and annuities (section 954(c)(1)(A) <294,535. (excluding amounts described in sections 954(c)(2) and (3))) b Excess of gains over losses from certain property transactions (section 954(c)(1)(B)) 16 c Excess of gains over losses from commodity transactions (section 954(c)(1)(C)) 10 d Excess of foreign currency gains over foreign currency losses (section 954(c)(1)(D)) 14 1e e Income equivalent to interest (section 954(c)(1)(E)) 1f f Net income from a notional principal contract (section 954(c)(1)(F)) g Payments in lieu of dividends (section 954(c)(1)(G)) 1g h Certain amounts received for services under personal service contracts (see section 954(c)(1)(l)) i Certain amounts from sales of partnership interests to which the look-through rule of section 954(c)(4) applies 11 <294,535.> 2 Gross foreign personal holding company income. Add lines 1a through 1i 3 Gross foreign base company sales income (see section 954(d)) 4 Gross foreign base company services income (see section 954(e)) 5 Gross foreign base company oil-related income (see section 954(g)) after application of section 954(b)(6) 5 <294,535·> 6 Gross foreign base company income. Add lines 2 through 5 6 7 Gross insurance income (see sections 953 and 954(b)(3)(C) and the instructions for lines 20 and 21) 7 <294,535.> 8 Gross foreign base company income and gross insurance income. Add lines 6 and 7 8 <14,372.> 9 Enter 5% of total gross income (as computed for income tax purposes) <201,212.> 10 Enter 70% of total gross income (as computed for income tax purposes) 10 11 11 If line 8 is less than line 9 and less than \$1 million, enter -0- on this line and skip lines 12 through 21 12 12 If line 8 is more than line 10, enter total gross income (as computed for income tax purposes) 13 Total adjusted gross foreign base company income and insurance income (enter the greater of line 8 or line 12) 13 14 Adjusted net foreign personal holding company income: a Enter amount from line 2 14a b Expenses directly related to amount on line 2 14b c Subtract line 14b from line 14a 14c 14d d Related person interest expense (see section 954(b)(5)) e Other expenses allocated and apportioned to the amount on line 2 under section 954(b)(5) 14e f Net foreign personal holding company income. Subtract the sum of lines 14d and 14e from line 14c 14f g Net foreign personal holding company income excluded under high-tax exception 14h h Subtract line 14g from line 14f 15 Adjusted net foreign base company sales income: 15a a Enter amount from line 3 b Expenses allocated and apportioned to the amount on line 3 under section 954(b)(5) 15b 15c c Net foreign base company sales income. Subtract line 15b from line 15a d Net foreign base company sales income excluded under high-tax exception 15d e Subtract line 15d from line 15c 15e 16 Adjusted net foreign base company services income:

16a 16b

16c

16d

e Subtract line 16d from line 16c

a Enter amount from line 4

b Expenses allocated and apportioned to line 4 under section 954(b)(5)
 c Net foreign base company services income. Subtract line 16b from line 16a

d Net foreign base company services income excluded under high-tax exception

16e

| Wo | rksheet A (continued) | | | |
|----------|--|-------------|--------------|-------------|
| 17 | Adjusted net foreign base company oil-related income: | | | |
| 8 | Enter amount from line 5 | 17a | | |
| t | Expenses allocated and apportioned to line 5 under section 954(b)(5) | 17b | | |
| , | Subtract line 17b from line 17a | | 17c | _ |
| 18 | Adjusted net full inclusion foreign base company income: | | | |
| а | Enter the excess, if any, of line 12 over line 8 | 18a | | |
| b | Expenses allocated and apportioned under section 954(b)(5) | 18b | | |
| C | Net full inclusion foreign base company income. Subtract line 18b from | | | |
| | line 18a | 18c | 1 1 | |
| d | Net full inclusion foreign base company income excluded under | | | |
| | high-tax exception | 18d | | |
| е | Subtract line 18d from line 18c | | 18e | |
| 19 | Adjusted net foreign base company income. Add lines 14h, 15e, 16e, 17c, and 18e | | . 19 | - |
| 20 | Adjusted net insurance income (other than related person insurance income): | | | |
| 8 | Enter amount from line 7 (other than related person insurance income) | 20a | | |
| b | Expenses allocated and apportioned to the amount from line 7 under | | | |
| | section 953 | 20b | | |
| C | Net insurance income. Subtract line 20b from line 20a | 20c | | |
| d | Net insurance income excluded under high-tax exception | 20d | | |
| е | Subtract line 20d from line 20c | | 20e | |
| 21 | Adjusted net related person insurance income: | 1 1 | | |
| а | Enter amount from line 7 that is related person insurance income | 21a | ** | |
| b | Expenses allocated and apportioned to related person insurance | | | |
| | income under section 953 | 21b | | |
| | Net related person insurance income. Subtract line 21b from line 21a | 21c | | |
| | Net related person insurance income excluded under high-tax exception | 21d | | |
| | Subtract line 21d from line 21c | | 21e | |
| | International boycott income (section 952(a)(3)) | | 22 | |
| 23 | Illegal bribes, kickbacks, and other payments (section 952(a)(4)) | | 23 | |
| 24 | Income described in section 952(a)(5) (see instructions) | | . 24 | |
| 25 | Subpart F income before application of sections 952(b) and (c) and section 959(b). Add | ines 19, | امدا | |
| 00 | 20e, 21e, and 22 through 24 | | . 25 | |
| 20 | Enter portion of line 25 that is U.S. source income effectively | امدا | 2,,; | |
| 07 | connected with a U.S. trade or business (section 952(b)) | 26 | | |
| 27 | Exclusions under section 959(b) Total subport Function Subtreat the sum of lines 25 and 27 from line 25 | 21 | | |
| 28 29 | Total subpart F income. Subtract the sum of lines 26 and 27 from line 25 Current E&P | • • | 28 | 11,594,584. |
| 30 | Enter the smaller of line 28 or line 29 | | 30 | 11,334,304. |
| 31 | Shareholder's pro rata share of line 30 | 31 | 30 | |
| 32 | Shareholder's pro rata share of export trade income | 32 | | |
| 33 | Subtract line 32 from line 31 | 33 | | |
| | Divide the number of days in the tax year that the corporation was a CFC | | | |
| • | by the number of days in the tax year and multiply the result by line 33 | 34 | | |
| 35 | Dividends paid to any other person with respect to your stock during | | <u> </u> | |
| - | the tax year | 35 | i 1 | |
| 36 | Divide the number of days in the tax year you did not own such stock by | | | |
| - | the number of days in the tax year and multiply the result by line 33 | 36 | | |
| 37 | Enter the smaller of line 35 or line 36 | 37 | | |
| | Shareholder's pro rata share of subpart F income. Subtract line 37 from line 34 | L L | 38a | |
| | Translate the amount on line 38a from functional currency to U.S. dollars at the average | | . | |
| _ | exchange rate. See section 989(b). Enter the result here and on line 1, Schedule I | | . 38ь | |

| FORM 5471 | PERSON(S) ON W INFORMATION F | | | STATEMENT | 13 |
|---|---------------------------------|------------------------|--------------------------------------|--|-----------------|
| (1) NAME | (2) ADDF | RESS | (3) IDENTIFYING NUMBER | CHECK APPL CABLE BOX(SHR- OFFI D HLDR -CER - | ES) IREC |
| THE ROCKEFELLER FOUNDATION FREMONT FRCI INVESTORS, LP | 420 FIFTH AVENUE | | | x x | |
| FORM 5471 | OTHER | INCOME | | STATEMENT | 14 |
| DESCRIPTION | | FUNCTIONAL CURRENCY | EXCHANGE RATE | U.S. DOL | LAR |
| INCOME FROM INVESTM | ENTS | | | 2,807, | 903. |
| TOTAL TO 5471, SCHEI | OULE C, LINE 8 | | | 2,807, | 903. |
| FORM 5471 | OTHER D | EDUCTIONS | | STATEMENT | 15 |
| DESCRIPTION | | FUNCTIONAL CURRENCY | EXCHANGE RATE | U.S. DOL | |
| SERVICES COSTS TOTAL TO 5471, SCHEI | OULE C, LINE 16 | | | | 697. 697. |
| FORM 5471 | INVESTMENT I | N SUBSIDIARI | ES | STATEMENT | 16 |
| DESCRIPTION | | В | EG. OF ANNUA ACCOUNTING PERIOD | L END OF AN ACCOUNTI PERIOD | NG |
| INVESTMENTS | | | 16,366,016 | • | 0. |
| TOTAL TO 5471, PAGE | 3, SCHEDULE F, LIN | TE 6 | 16,366,016 | • | 0. |

| FORM 5471 OTHER NET ADJUSTM | MENTS | STATEMENT 17 |
|--|------------------|---------------------|
| DESCRIPTION | NET ADDITIONS | NET SUBTRACTIONS |
| OTHER FROM INVESTMENT | 8,785,010. | |
| TOTAL TO 5471, PAGE 4, SCHEDULE H, LINE 2H | 8,785,010. | |

8865

Return of U.S. Persons With Respect to **Certain Foreign Partnerships**

▶ Attach to your tax return. See separate instructions.

Information furnished for the foreign partnership's tax year 20 05 12/31

OMB No 1545-1668

Attachment

zent of the Treasury Revenue Service Sequence No 118 beainning 01/01 2005, and ending Name of person filing this return Filer's Identifying number THE ROCKEFELLER FOUNDATION 13-1659629 Filer's address (if you are not filing this form with your tax return) A Category of filer (see Categories of Filers in the instructions and check applicable box(es)) 420 FIFTH AVENUE 3 🔯 2 🗌 NEW YORK, NY 10018 01/01 20 05, and ending B Filer's tax year beginning C NONE Other \$ Filer's share of liabilities Nonrecourse \$ NONE NONE Qualified nonrecourse financing \$ D If filer is a member of a consolidated group but not the parent, enter the following information about the parent Name N/A EIN N/A Address N/A Information about certain other partners (see instructions) (4) Check applicable box(es) (1) Name (2) Address (3) Identifying number Category 1 Category 2 | Constructive owner N/A F1 Name and address of foreign partnership 2 EIN (if any) APAX EUROPE VI-A. L.P. 98-0441546 13-15 VICTORIA ROAD, ST. PETER PORT 3 Country under whose laws organized GUERNSEY, CHANNEL ISLANDS **ENGLAND** Date of 5 Principal place 6 Principal business 7 Principal business 8a Functional currency 8b Exchange rate of business (see instr.) organization activity code number activity 09/28/2004 **ENGLAND** 523900 0.8045 PRIVATE EQUITY FUND EURO Provide the following information for the foreign partnership's tax year: Name, address, and identifying number of agent (if any) in the Check if the foreign partnership must file United States N/A Form 1042 Form 8804 X Form 1065 or 1065-B Service Center where Form 1065 or 1065-B is filed PHILADELPHIA. PA Name and address of foreign partnership's agent in country of 4 Name and address of person(s) with custody of the books and records of the foreign partnership, and the location of such books organization, if any and records, if different INTERNATIONAL PRIVATE EQUITY SERVICES LIMITED 13-15 VICTORIA ROAD, ST. PETER PORT CONNIE HEYLAR **GUERNSEY, CHANNEL ISLANDS** ☐ Yes ☒ No 5 Were any special allocations made by the foreign partnership?. 6 Enter the number of Forms 8858, Information Return of U.S. Persons With Respect To Foreign Disregarded Entities, N/A - CATEGORY 3 FILER attached to this return (see instructions) **PARTNERSHIP** 7 How is this partnership classified under the law of the country in which it is organized? . . 8 Did the partnership own any separate units within the meaning of Regulations section 1.1503-2(c)(3) or (4)? 9 Does this partnership meet both of the following requirements? N/A - CATEGORY 3 FILER • The partnership's total receipts for the tax year were less than \$250,000 and ☐ Yes ☐ No The value of the partnership's total assets at the end of the tax year was less than \$600,000. N/A - CATEGORY 3 FILER If "Yes," do not complete Schedules L, M-1, and M-2 Sign Here Only If You Are Filing 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 general partner or limited liability company member) is based on all Information of which preparer has any knowledge This Form Separately and Not With Your Tax Signature of general partner or limited liability company member Return Preparer's SSN or PTIN Paid Preparer Date Preparer's Check if Sign and 11/14/06 09652 6066 signature aw self-employed ▶ □ plete y (f Form Firm's name (or 86-1065772 DELOITTE TAX LLP lieil (516) 918-7000 2 JERICHO PLAZA, JERICHO, NY 11753 Phone no address, and ZIP code

| Form | n 8865 (2005) |) | | | | Page 2 |
|--|---------------|--|---|--------------------------------|-------------------------------|--|
| So | hedule A | check box b , enter to person(s) whose interest | thip of Partnership Interest. Che the name, address, and U.S. ta est you constructively own. See in | xpayer identifying structions. | number (if a | filer. If you |
| | | a 💢 Owns a direct inte | erest t | Owns a constructi | ve interest | |
| | | Name | Address | Identifying number (if | any) Check if foreign person | Check if direct partner |
| | | | | | | |
| | | | | | | |
| Sc | hedule A | -1 Certain Partners of F | oreign Partnership (see instruction | ons) | | <u></u> |
| | | Name | Address | Identifying numb | per (if any) | Check if foreign person |
| | | ORY 3 FILER that only | | | | , p |
| | | ish and did not own a 10% | | | | |
| | | erest in the transferee | | | - | ļ |
| par | tnersnip ar | ter the transfer. | | <u> </u> | | |
| Do | es the part | tnership have any other foreign | person as a direct partner? | | Yes | □ No |
| | hedule A | -2 Affiliation Schedule. | List all partnerships (foreign or or indirectly owns a 10% interest | domestic) in which | | |
| | | Name | Address | EIN (if any) | Total ordinary income or loss | Check if foreign partnership |
| <u>AP.</u> | SB. AR. H | HOLDINGS LTD. | RUBINSTEN HOUSE 20 LINCOLN S | T 98-0457194 | | X |
| 1/15 | Alata D./ O. | 4.51 | TEL AVIV 67134, ISRAEL | 400UED 500 | | |
| VIE | NNA IV SA | | 16, GRAND RUE L-1660, LUXEMBOURG | APPLIED FOR | | X |
| SE | E STATEM | | L-1000, LUXEMBOURG | | | |
| | hedule B | | rade or Business Income | N/A - CATEGORY 3 | FILER | |
| Ca | ution. Inclu | de only trade or business incom | e and expenses on lines 1a through 22 | below See the instruct | lions for more in | formation |
| | | | | | | |
| | | ss receipts or sales | 1 | - | | |
| | i | returns and allowances | | | 1c | |
| ā | 4 | = | | | 3 | |
| ome | | | | | 4 | ~ <u>~</u> |
| <u>2</u> | | | tnerships, estates, and trusts (attach staule F (Form 1040)) | - | 5 | |
| _ | | | rt II, line 17 (attach Form 4797) | | 6 | |
| | 1 | | nt) | | 7 | |
| | | • • • | · | j | | |
| | | | 3 through 7 | | 8 | |
| | 9 Sala | ries and wages (other than to p | partners) (less employment credits) | | 9 | |
| (S | | | | | 10 | |
| attor | | | | | 11 | |
| Ē | 1 | | | | 13 | |
| Š | | | | | 14 | |
| ğ | ı | | | | 15 | |
| see instructions for limitations) | | | m 4562) | | | |
| 8 | b Less | depreciation reported elsewhe | ere on return | | 16c | |
| 8 | | | as depletion.) | | 17 | |
| ťior | J . | • | · · · · · · · · · · · · · · · · · · · | | 18 | |
| Š | I . | loyee benefit programs | 19 | | | |
| | 20 Othe | r deductions (attach statement) |) | | 20 | |
| | 21 Total | deductions. Add the amounts sho | own in the far right column for lines 9 thro | uah 20 | 21 | |
| | | | | -g., -v | · | |

22 Ordinary business income (loss) from trade or business activities. Subtract line 21 from line 8

22

| Sc | hedule D Capital Gains a | nd Losses | N/A - CATEGOR) | / 3 FILER | | | |
|----|--|--------------------------------------|-------------------------------------|---------------------------------------|---------------------------------------|----|---|
| Pa | rt I Short-Term Capital G | Sains and Losses | Assets Held Or | ne Year or Less | ; | | |
| | (a) Description of property (e g . 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or other (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 1 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | • | | | | | | |
| 2 | Short-term capital gain from in | stallment sales from | Form 6252, line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) fr | om like-kind exchan | ges from Form 882 | 4 | | 3_ | |
| 4 | Partnership's share of net short- gains (losses), from other partner | | | | | 4 | |
| 5 | Net short-term capital gain of Form 8865, Schedule K, line 8 | r (loss). Combine lir | nes 1 through 4 in c | olumn (f). Enter h | nere and on | 5 | |
| Pa | rt II Long-Term Capital G | ains and Losses- | –Assets Held Mo | ore Than One \ | ′ear | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or other (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 6_ | | | | | | | |
| _ | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 7 | Long-term capital gain from ins | stallment sales from | Form 6252, line 26 | or 37 | | 7 | |
| 8 | Long-term capital gain (loss) fro | om like-kind exchanç | ges from Form 8824 | • | | 8 | |
| 9 | 9 Partnership's share of net long-term capital gain (loss), including specially allocated long-term capital gains (losses), from other partnerships, estates, and trusts | | | | | | |
| 10 | Capital gain distributions | | | | | 10 | |
| 11 | Net long-term capital gain or Form 8865, Schedule K, line 98 | (loss). Combine line | es 6 through 10 in o | column (f). Enter | here and on | 11 | |

| Sched | lule | K Partners' Distributive Share Items N/A - CATEGORY 3 FILER | | Total amount |
|-------------------------------------|------|--|------------|---------------|
| | 1 | Ordinary business income (loss) (page 2, line 22) | 1 | |
| | l . | Net rental real estate income (loss) (attach Form 8825) | 2 | |
| | l . | | | |
| | 1 | other gross remainments (1035) | 1 | |
| | I | | 3c | |
| ⊕ | , | Other net rental income (loss) Subtract line 3b from line 3a | _ | |
| Income (Loss) | 4 | Guaranteed payments | 4 | |
| ٦ | 5 | Interest income | 5 | |
| e (| 6 | Dividends: a Ordinary dividends | 6a | |
| Ĕ | | b Qualified dividends | 1, 14 | |
| ဋ | 7 | Royalties | 7 | |
| - | 8 | Net short-term capital gain (loss) | 8 | - <u> </u> |
| | 9a | Net long-term capital gain (loss) | 9a | · |
| | | Collectibles (28%) gain (loss) | 1.5 | |
| | | Unrecaptured section 1250 gain (attach statement) | | |
| | | Net section 1231 gain (loss) (attach Form 4797) | 10 | |
| | 11 | Other income (loss) (see instructions) Type ▶ | 11 | |
| <u> </u> | 12 | Section 179 deduction (attach Form 4562) | 12 | |
| ō | | Contributions | 13a | |
| <u>5</u> | | Investment interest expense | 13b | |
| Deductions | | Section 59(e)(2) expenditures (1) Type ▶ (2) Amount ▶ | 13c(2) | |
| ညိ | d | Other deductions (see instructions) Type > | 13d | |
| | | | 14a | _ |
| '' 링크 | | Net earnings (loss) from self-employment | | |
| Self- Employ- ment | b | Gross farming or fishing income | 14b | |
| <u></u> | | Gross nonfarm income | 14c | <u> </u> |
| ୬ ୪ ଥି | 15a | Low-income housing credit (section 42(j)(5)) | 15a | |
| ecaptur | b | Low-income housing credit (other) | | |
| # 중 <u>즉</u> | C | Qualified rehabilitation expenditures (rental real estate) (attach Form 3468) | 15c | |
| Credits & Credit | a | Other rental real estate credits (see instructions) Type ▶ Other rental credits (see instructions) Type ▶ | 15d 15e | |
| | f | | 15e | |
| | | Other credits and credit recapture (see instructions) Type ▶ Name of country or U.S possession ▶ | 131 | |
| G | | | 466 | |
| Ë | | Gross income from all sources | 16b | |
| ij | С | Gross income sourced at partner level | 16c | |
| Sa | | Foreign gross income sourced at partnership level | 405 | |
| Transactions | a | Passive ► e Listed categories (attach statement) ► f General limitation ► | 16f | |
| F | | Deductions allocated and apportioned at partner level | 16h | |
| Foreign | g | Interest expense ▶ h Other | 1011 | |
| ē | _ | Deductions allocated and apportioned at partnership level to foreign source income | 401 | |
| Ō | | Passive ► j Listed categories (attach statement) ► k General limitation ► | 16k | |
| _ | | Total foreign taxes (check one). ▶ ☐ Paid ☐ Accrued | 161 | |
| | | Reduction in taxes available for credit (attach statement) | 16m | · · · · · |
| | | Other foreign tax information (attach statement) | 17a | |
| Alternative Minimum Tax (AMT) Items | | Post-1986 depreciation adjustment | 17b | |
| n Tiv | | Adjusted gain or loss | 17c | |
| Ĕ 2 C | | Depletion (other than oil and gas) | 17d | |
| ≸i≘i≸ | | Oil, gas, and geothermal properties—gross income | 17e | |
| 753 | | Oil, gas, and geothermal properties—deductions | 17f | |
| | | Other AMT items (attach statement) | 18a | ·· |
| Other Information | | Tax-exempt interest income | 18b | |
| ıati | | Other tax-exempt income | 18c | |
| Ę | | Nondeductible expenses | 19a | ····· |
| Jf. | | Distributions of cash and marketable securities | 19b | |
| n 🗧 | | Distributions of other property | 20a | |
| 를 | | Investment income | 20a | |
| る | | Investment expenses | 200 | |
| | | other name and animante fattach statements | | |

| | 1edule L Balance Sheets per Books. | Not required if I | tem G9, page 1, is | s answered "Yes | Page 5 5.") N/A |
|-----|--|---|--------------------|--|--------------------|
| | | Beginnır | g of tax year | End o | of tax year |
| | Assets | (a) | (b) | (c) | (d) |
| 1 | Cash | | | | |
| 2a | Trade notes and accounts receivable | | 2 | <u>. </u> | <u> </u> |
| b | Less allowance for bad debts | | | | |
| 3 | Inventories | - | | 1 | |
| 4 | U.S. government obligations | The same of the same of | | | |
| 5 | Tax-exempt securities | I will be the second | | | |
| 6 | Other current assets (attach statement) | 1 | | | |
| 7 | Mortgage and real estate loans | · | | *- | |
| 8 | Other investments (attach statement) | 1. 1. 200 4 10 | | | |
| 9a | Buildings and other depreciable assets | | id the co | | |
| b | Less accumulated depreciation | | | | |
| l0a | Depletable assets | | No. 18 Carlot | | |
| b | Less accumulated depletion | | | | |
| 11 | Land (net of any amortization) | | Mark . | | |
| 2a | Intangible assets (amortizable only) | | | | |
| b | Less accumulated amortization | | | | |
| 3 | Other assets (attach statement) | - 4 - 4 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 | | | |
| 4 | Total assets | | | And the line | |
| | Liabilities and Capital | | | | |
| 5 | Accounts payable | | | | |
| 6 | Mortgages, notes, bonds payable in less than 1 year. | A STATE OF | | | |
| 7 | Other current liabilities (attach statement) | | | | |
| 18 | All nonrecourse loans | | | | |
| 19 | Mortgages, notes, bonds payable in 1 year or more. | | | | |
| | Other liabilities (attach statement) | | | | |
| M | Partners' capital accounts | * | | | |
| 2 | Total liabilities and capital | 1 | | | |

| | 8865 (2005) | | | Page 6 |
|---------------|--|------------------------------|--|--|
| Sc | hedule M Balance Sheets | for Interest Allocation | N/A - CATEGORY | 3 FILER |
| | | | (a) Beginning of tax year | (b) End of tax year |
| | Total U.S assets | | · · · · · · · · · · · · · · · · · · · | A CAMPA AND A CAMPAGA AND A CA |
| C | Listed categories (attach stateme General limitation income catego | rry | | |
| Sc | hedule M-1 Reconciliation of 1, is answered " | f Income (Loss) per Books Wi | th Income (Loss) per Retu N/A - CATEGORY | ı rn. (Not required if Item G9, page 3 FILER |
| 1 2 3 4 a b 5 | Net income (loss) per books Income included on Schedule K, lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, and 11 not recorded on books this year (itemize): Guaranteed payments (other than health insurance) | 7 | Income recorded on bool year not included on Sched lines 1 through 11 (itemized Tax-exempt interest \$ | dule K, e): hedule 16I not he this |
| | nedule M-2 Analysis of Par | tners' Capital Accounts. (1 | | |
| | Balance at beginning of year . Capital contributed: a Cash | 7 | Distributions: a Cash b Property Other decreases (itemize) | CATEGORY 3 FILER |
| 3 4 | b Property Net income (loss) per books Other increases (itemize): | 8 | Add lines 6 and 7 | |
| 5 | Add lines 1 through 4 | 8 9 | Balance at end of year. Suline 8 from line 5 | btract |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

Important: Complete a separate Form 8865 and Schedule N for each controlled foreign partnership Enter the totals for each type of transaction that occurred between the foreign partnership and the persons listed in columns (a) through (d).

| | Transactions of foreign partnership | (a) U S person filing this return | (b) Any domestic corporation or partnership controlling or controlled by the U.S. person filing this return | (c) Any other foreign corporation or partnership controlling or controlled by the U.S. person filing this return | (d) Any U S person with a 10% or more direct interest in the controlled foreign partnership (other than the U S person filing this return) |
|-----------|--|--------------------------------------|---|--|--|
| 1 2 | Sales of inventory Sales of property rights (patents, trademarks, etc.) | | | | |
| 3 | Compensation received for technical, managerial, engineering, construction, or like services | | | | |
| 4 5 | Commissions received Rents, royalties, and license fees received | | | | |
| 6 7 | Distributions received Interest received | | | | |
| 8 | Other | | | | |
| 9 | Add lines 1 through 8 | | | | |
| 10 | Purchases of inventory | | | | |
| 11 | Purchases of tangible property other than inventory | | | | |
| .2 | Purchases of property rights (patents, trademarks, etc.) | | | | |
| | Compensation paid for technical, managerial, engineering, construction, or like services | | | | |
| | Commissions paid Rents, royalties, and | | | | |
| | license fees paid | | | | |
| | Distributions paid | | | | |
| 18 | Other | | | | |
| <u>19</u> | Add lines 10 through 18. | | | | |
| 20 | Amounts borrowed (enter the maximum loan balance during the year) —see instructions | | | | |
| 21 | Amounts loaned (enter the maximum loan balance during the year)—see instructions | | | | |

SCHEDULE O (Form 8865)

Transfer of Property to a Foreign Partnership

(under section 6038B)

OMB No 1545-1668

Department of the Treasury Internal Revenue Service

▶ Attach to Form 8865. See Instructions for Form 8865.

| 7 | Λ | Λ | 5 |
|---|---|---|---|
| 4 | v | v | J |

| tame of transfer | | | | | | Filer's identifying nu | ımber |
|---|--|--|---|---|--|--|---|
| | FELLER FOUNDA | TION | | | | <u> 13-1659629 </u> | |
| Name of foreign | | | | | | | |
| <u>APAX EURC</u> | OPE VI-A, L.P. | | | | | | |
| Part I | Transfers Reporta | ble Under Se | ection 6038B | | | | |
| Type of property | (a) Date of transfer | (b) Number of Items transferred | (c) Fair market value on date of transfer | (d) Cost or other basis | (e) Section 704(c) allocation method | (f) Gain recognized on transfer | (g) Percentage interest in partnership after transfer |
| Cash | VARIOUS | -22 | 8,978,389 | | *. : '`E | | 0.41810 |
| Marketable securities | | | | | | | |
| nventory | | | | | | | |
| Tangible property used in trade or business | | | | | | | |
| ntangible property | | | | | | | |
| Other property | | | | | | | |
| Supplement | al Information Re | quired To Be | Reported (see in | structions). | <u> </u> | | |
| | | | | | | | |
| Part II | Dispositions Repo | rtable Under | Section 6038B | | | | |
| (a) Type of property | (b) Date of original transfer | (c) Date of disposition | (d) Manner of disposition | (e) Gain recognized by partnership | (f) Depreciation recapture recognized by partnership | (g) Gain allocated to partner | (h) Depreciation recapture allocated to partner |
| N/A | | | | | | | |
| Part III | Is any transfer reposection 904(f)(5)(F) | orted on this | schedule subject t | o gain recognition | n under section | on 904(f)(3) or | Yes 🗓 No |

| SCHEDULE A-2 - AFFILIATION SCHEDULE | | | | |
|-------------------------------------|--|-------------|---|------------------------------|
| NAME | ADDRESS | ID NUMBER | TOTAL ORDINARY INCOME OR LOSS | CHECK IF:. FOREIGN PTRSHP |
| VIENNA V SARL | 16, GRAND RUE L-1660, LUXEMBOURG, | APPLIED FOR | *************************************** | х |
| VIENNA VI SARL | 16, GRAND RUE L-1660, LUXEMBOURG, | APPLIED FOR | | x |
| VIENNA VII SARL | 16, GRAND RUE L-1660, LUXEMBOURG, | APPLIED FOR | | x |
| VIENNA VIII SARL | 16, GRAND RUE L-1660, LUXEMBOURG, | APPLIED FOR | | х |
| HIT ENTERTAINMENT SCOTTISH LIMITED | 50 LOTHIAN ROAD, FESTIVAL SQUARE EDINBURGH EH3 9WJ, SCOTLAND | 98-0466617 | | x |
| ANGEL LUX I SARL | 5, RUE GUILLAUME KROLL L-1822 LUXEMBOURG, | 98-0480412 | | x |
| NORDIC TELEPHONE CO. INVESTMENT APS | LANGELINIE ALLE 35, 2100 KOBENHAVN O,, DENMARK | 98-0477957 | | x |
| HELLAS TELECOMMUNICATIONS LTD. | 8-10, RUE MATHIAS HARDT, B.P. 3023 LUXEMBOURG 1030, | APPLIED FOR | | x |
| MICROTECH DEVELOPMENT SERVICES LTD. | C/ PEDRO I PONS 6-8, 08034 BARCELONA, SPAIN | APPLIED FOR | | x |
| ORIENTAL VENTURE INVESTMENTS LTD. | C/ PEDRO I PONS 6-8 08034 BARCELONA, SPAIN | APPLIED FOR | | x |
| BEIJING PANRICO FOOD PROCESSING CTR | C/ PEDRO I PONS 6-8 08034 BARCELONA, SPAIN | APPLIED FOR | | x |

Form **8865**

Return of U.S. Persons With Respect to **Certain Foreign Partnerships**

▶ Attach to your tax return. See separate instructions.

| L | U | U | J |
|---|---|---|---|
| | | | |

OMB No 1545-1668

epartment of the Treasury

Information furnished for the foreign partnership's tax year

Attachment

| ernal Revenue | | beginn | <u>ng 01/01 </u> | , 2005, 8 | $\overline{}$ | | | 20 05 | Sec | uence N | <u> </u> |
|--|---|---------------------|---|--------------|----------------------|--|------------------------|------------------------------------|----------------------------|----------------|--|
| • | on filing this return KEFELLER FOUN | NDATION | | | - 1 | Filer's Identifying 13-1659629 | g number | • | | | |
| | (if you are not filing this | form with your tax | return) | A Category | of filer (| see Categories of I | ilers in th | e instructions and | check app | icable box | x(es)) |
| 420 FIFTH | | | | 1 🗆 | 2 | 3 🔯 | <u>]</u> | 4 🔲 | | | |
| NEW YOR | K, NY 10018 | | | B Filer's ta | ax year t | peginning 01/0 | 1, 20 | | ling <u>12</u> | <u>/31</u> , : | 20 05 |
| | share of liabilities | | | | | course financing | | NONE | Other \$ | | NONE |
| | is a member of a c | consolidated g | roup but not the pa | arent, enter | r the fol | | | ut the parent. | | | |
| Name | | | | | | EIN N | Ά | | | | |
| Addres | ss N/A | | | | | | | | | | |
| E Inform | nation about certain | other partner | s (see instructions) | | | | | | | | |
| | (1) Name | | (2) Addres | ss | | (3) Identifying ni | ımber | | k applicab | | |
| NI/A | | | | | | | | Category 1 | Categor | / 2 Cons | structive owner |
| N/A | | | | | | | | | | | |
| | | | | | | | · | | | | |
| | and address of for | | ip | | | | | 2 EIN (if any | y) | | |
| | ITAL FUND VIII-E | • | | | | | | 98-043466 | | | |
| | INGTON AVENUE | E | | | | | | 3 Country u | | | organized |
| 4 Date of | MA 02199-7615 | cipal place | 6 Principal busin | 2055 | 7 Pan | cipal business | 9a Eu | CAYMAN Inctional currer | | Exchan | no rate |
| | | usiness | activity code | | activ | | Jara | modonai cuirci | | (see ins | |
| 11/19/2004 | I MASSA | CHUSETTS | 523900 | 1 | INVES | TMENTS | EURC |) | - 1 | | 0.8444 |
| 6 Provid | le the following info | rmation for the | e foreign partnersh | ıp's tax ye | ar: | | | | | | |
| 1 Name | , address, and iden | tifying number | of agent (if any) i | n the | | heck if the forei | | | | | |
| Onited | ∃ States N/A | | | | | Form 1042 rvice Center wher | | orm 8804 | | า 1065 (| or 1065-B |
| | | | | | 1 | DEN, UTAH | C I OIIII I | 000 01 1000-01 | 3 11100 | | |
| 3 Name | and address of for | eign partnersh | ip's agent in coun | try of | | ame and addres | s of per | rson(s) with cu | stody of | the boo | ks and |
| organı | zation, if any | | | , | re | cords of the for | eign pai | rtnership, and | the locat | ion of s | uch books |
| | ERS SPV LIMITE | | | | | nd records, if dr | | | AL FUN | D VIII-E | Ξ, L.P. |
| | HOUSE, MARY S | • | | _ | 1 | HUNTINGTO | | | | | |
| GEORGE | TOWN, GRAND (| CAYMAN, CA | YMAN ISLANDS | <u> </u> | BOS | STON, MA 02 | 199-761 | 15 | | <u></u> | |
| | any special allocation | - | • • | • | | | | | | X Yes | . □ No |
| | the number of Forn | | | | | | eign Dısı | regarded Entit | ies, | | ************************************** |
| | ed to this return (se | | | | | | • | PARTNE | . P RSHIP | N/A - CA | ATEGORY 3 FIL |
| | s this partnership c e partnership own : | | | | | | | | | ☐ Yes | . □ No |
| | this partnership me | | | | 92.2 | | -(-)(| ., (., | | | ORY 3 FILER |
| | partnership's total | | | | 50,000 | and | |) | | | |
| | value of the partne s," do not complete | • | | f the tax ye | ear was | less than \$600 | ,000. | } | | | No PRY 3 FILER |
| Sign Here Only If You Are Filling This Form Separately and Not With | knowledge and beli | ief, it is true, co | re that I have exami rrect, and complete reparer has any know | Declaration | um, inclu of prep | iding accompanyi arer (other than g | ng sched general pa | dules and states artner or limited | ments, and liability of | I to the I | best of my member) is |
| Your Tax Return | Signature of ge | neral partner or | limited liability compa | any member | | | 7 D | ate | | | |
| Paid Preparer Sign and Complete | Preparer's signature | Laine | u Kin | | | ate /14/06 | Check self-en | ıf nployed ▶ □ | | er's SSN | or PTIN |
| ly if Form | Firm's name (or | DELC | DITTE TAX LLP | | | | | | 065772 | | |
| separately. | yours if self-employed | ea), V | | ERICHO | NY 11 | 753 | | | 16) 918- | 7000 | |

| Form | 8865 | (2005) | | | | Page 2 |
|--|-------|--|--|-----------------------|----------------------------------|------------------------------|
| Sc | hedu | check box b, enter | ship of Partnership Interest. the name, address, and U.S. est you constructively own. Se | taxpayer identifying | | filer. If you |
| | | a 🗓 Owns a direct into | erest | b Owns a construc | ctive interest | |
| | | Name | Address | Identifying number (| (if any) Check if foreign person | Check if direct partner |
| | | | | | | |
| Sc | hedu | le A-1 Certain Partners of F | Toreign Partnership (see instru | l uctions) | | <u> </u> |
| | | Name | Address | Identifying nur | nber (if any) | Check if foreign person |
| N/A | - CA | TEGORY 3 FILER that only | | | | |
| | | ed cash and did not own a 10% | | | | |
| | | r interest in the transferee | | | | |
| parl | nersh | nip after the transfer. | | | | |
| Dad | o the | nartnership have any other fereign | porcen as a direct partner? | | | |
| | | | List all partnerships (foreign or indirectly owns a 10% inter | or domestic) in which | Yes the foreign p | □ No partnership |
| | - | Name | Address | EIN (ıf any) | Total ordinary income or loss | Check if foreign partnership |
| ST/ | \TEM | ENT #1 | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| ic | hedu | Ile B Income Statement— | Trade or Business Income | N/A - CATEGORY | 3 FILER | |
| _ | | Include only trade or business incom | · · · · · · · · · · · · · · · · · · · | | | nformation. |
| | | | | | - (5) | |
| | 1a | Gross receipts or sales | | 1a | | |
| | | Less returns and allowances | | 1b | 1c | |
| a) | 2 | Cost of goods sold | | | 2 | |
| Ĕ | | Gross profit. Subtract line 2 from li | | | 3 | |
| lucou | | Ordinary income (loss) from other pai | | | 5 | |
| _ | | Net farm profit (loss) (attach Sched Net gain (loss) from Form 4797, Pa | * ** | | | |
| | | Other income (loss) (attach stateme | • | | 7 | |
| | ' | Caron moonio (1000) (andomotation) | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | | | |
| | 8 | Total income (loss). Combine lines | s 3 through 7 | | | |
| | 9 | Salaries and wages (other than to p | partners) (less employment credits |) | 9 | |
| (S) | 1 | Guaranteed payments to partners | | | 10 | |
| attor | ł | Repairs and maintenance | | | 11 | |
| tions (see instructions for limitations) | | Bad debts | | | 12 | |
| ns fo | | Rent | | | 14 | |
| g | | Interest | | | 15 | |
| instr | | Depreciation (if required, attach Foi | | | | |
| 88 | b | Less depreciation reported elsewhere | ere on return | 6b | 16c | |
| ନ | | Depletion (Do not deduct oil and g | | | 17 | |
| .2 | 18 | Retirement plans, etc | | | 18 | |

Employee benefit programs

Total deductions. Add the amounts shown in the far right column for lines 9 through 20.....

Ordinary business income (loss) from trade or business activities. Subtract line 21 from line 8

19

20

21

22

19

20

21

| | n 8865 (2005) | · | | : == = | | | Page 3 |
|----|--|--------------------------------------|-------------------------------------|---------------------------------------|--------------------------------------|---|---|
| | chedule D Capital Gains art I Short-Term Capital | | N/A - CATEGOR\ —Assets Held O | | | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instructi | | (f) Gain or (loss) Subtract (e) from (d) |
| _1 | | | | | | | |
| | | | | | | | |
| | Short-term capital gain from i | nstallment sales from | Form 6252 line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) | | | | | 3 | |
| 4 | Partnership's share of net shor gains (losses), from other partnership | t-term capital gain (los | ss), including special | ly allocated short- | term capital | 4 | |
| 5 | Net short-term capital gain of Form 8865, Schedule K, line | or (loss). Combine lir | nes 1 through 4 in c | olumn (f). Enter l | nere and on | 5 | |
| Pa | rt II Long-Term Capital (| Gains and Losses- | Assets Held Mo | ore Than One | /ear | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 6 | | | | | | | |
| _ | | | | | | | |
| _ | | | | | | | |
| 7 | Long-term capital gain from in | stallment sales from | Form 6252, line 26 | or 37 | | 7 | |
| 8 | Long-term capital gain (loss) f | rom like-kind exchang | ges from Form 8824 | 4 | | 8 | |
| 9 | Partnership's share of net long gains (losses), from other partn | | | | | 9 | |

Net long-term capital gain or (loss). Combine lines 6 through 10 in column (f). Enter here and on Form 8865, Schedule K, line 9a or 11.....

Form 8865 (2005)

10

10

_. 11

| Sched | lule | | Total amount | |
|-------------------------------------|------|--|--------------|---------------------------------------|
| | 1 | Partners' Distributive Share Items N/A - CATEGORY 3 FILER Ordinary business income (loss) (page 2, line 22) | 1 | |
| _ | 2 | Net rental real estate income (loss) (attach Form 8825) | 2 | |
| | _ | | | |
| | | • | 1 | |
| | 1 | | Зс | |
| <u></u> | C | Other net rental income (loss). Subtract line 3b from line 3a | | |
| SS | 4 | Guaranteed payments | 4 | |
| <u>د</u> | 5 | Interest income | 5 | |
| Income (Loss) | 6 | Dividends a Ordinary dividends | 6a | <u></u> |
| Ĕ | | b Qualified dividends | _[| |
| ဋ | 7 | Royalties | 7 | |
| = | 8 | Net short-term capital gain (loss) | 8 | |
| | 9a | Net long-term capital gain (loss) | 9a_ | |
| | b | Collectibles (28%) gain (loss) | ا الله | |
| | С | Unrecaptured section 1250 gain (attach statement) 9c | | |
| | 10 | Net section 1231 gain (loss) (attach Form 4797) | 10 | |
| | 11 | Other income (loss) (see instructions) Type ▶ | 11 | |
| 2 | 12 | Section 179 deduction (attach Form 4562) | 12 | |
| Deductions | | Contributions. | 13a | |
| <u> </u> | | | 13b | |
| 큥 | | Investment interest expense | 13c(2) | |
| Ď | q | Other deductions (see instructions) Type > | 13d | |
| | | | 14a | |
| Self- Employ- ment | | Net earnings (loss) from self-employment | 14a | |
| | | Gross farming or fishing income | - | |
| <u> </u> | | Gross nonfarm income | 14c | |
| න වු | | Low-income housing credit (section 42(j)(5)) | 15a | |
| S ≒ Z | | Low-income housing credit (other) | 15b | |
| edits Sredit captu | | Qualified rehabilitation expenditures (rental real estate) (attach Form 3468) | 15c | _ |
| edits & Credit ecapture | | Other rental real estate credits (see instructions) Type ▶ | 15d | |
| P œ | | Other rental credits (see instructions) Type ▶ Other credits and credit recapture (see instructions) Type ▶ | 15e | - |
| | | | 15f | |
| | | Name of country or U S possession ▶ | <u> </u> | |
| Su | | Gross income from all sources | 16b | - |
| ţį | С | Gross income sourced at partner level | 16c | _ |
| ac | | Foreign gross income sourced at partnership level | <u>=</u> | |
| ins. | d | Passive ▶ e Listed categories (attach statement) ▶ f General limitation ▶ | 16f | _ |
| Transactions | | Deductions allocated and apportioned at partner level | 4 | |
| - | g | Interest expense > h Other | 16h | |
| Foreign | | Deductions allocated and apportioned at partnership level to foreign source income | | |
| Ö | i | Passive ▶ j Listed categones (attach statement) ▶ k General limitation ▶ | 16k | |
| ш | | Total foreign taxes (check one): ▶ ☐ Paid ☐ Accrued | 161 | |
| | | Reduction in taxes available for credit (attach statement) | 16m | |
| | n | Other foreign tax information (attach statement) | | |
| × " | 17a | Post-1986 depreciation adjustment | 17a | |
| Alternative Minimum Tax (AMT) Items | b | Adjusted gain or loss | 17b | |
| nati ITE | C | Depletion (other than oil and gas) | 17c | · · · · · · · · · · · · · · · · · · · |
| 걸ᆵ덡 | d | Oil, gas, and geothermal properties—gross income | 17d | - |
| A file A | е | Oil, gas, and geothermal properties—deductions | 17e | |
| | f | Other AMT items (attach statement) | 17f | <u></u> |
| Ē | | Tax-exempt interest income | 18a | · |
| ţi | | Other tax-exempt income | 18b | |
| па | | Nondeductible expenses | 18c | |
| 0 | | Distributions of cash and marketable securities | 19a | |
| <u>1</u> | | Distributions of other property | 19b | |
| ē | | Investment income | 20a | |
| Other Information | | Investment expenses | 20b | _ |
| O | | Other items and amounts (attach statement) | | |

| 20 | nedule L Balance Sheets per Books. | | | | | |
|----|---|--|--------------------|--|----------|--|
| | | | ng of tax year | End of tax year | | |
| | Assets | (a) | (b) | (c) | (d) | |
| | Cash | | | | | |
| 2a | Trade notes and accounts receivable | | <u> </u> | | | |
| b | Less allowance for bad debts | | | ļ | | |
| 3 | Inventories | The state of the | | , , , | | |
| 4 | U.S. government obligations | | | | | |
| 5 | Tax-exempt securities | 3.50 | , | | | |
| 6 | Other current assets (attach statement) | 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1 | | | | |
| 7 | Mortgage and real estate loans | 4 | | | | |
| 8 | Other investments (attach statement) | | | | | |
| 9a | Buildings and other depreciable assets | | <u> </u> | | | |
| b | Less accumulated depreciation | | 7. | | - war. | |
| 0a | Depletable assets | | | | - i | |
| b | Less accumulated depletion | | | 31 | <u> </u> | |
| 1 | Land (net of any amortization) | | ļ | | | |
| 2a | Intangible assets (amortizable only) | | - 388 . Asid 1985. | | | |
| b | Less accumulated amortization | | | | | |
| 3 | Other assets (attach statement) | | | | | |
| 4 | Total assets | | | | | |
| | Liabilities and Capital | The state of the | | 3 - 3 - 3 - 3 - 3 - 3 - 3 - 3 - 3 - 3 - | | |
| 5 | Accounts payable | | | | · | |
| 6 | Mortgages, notes, bonds payable in less than 1 year | Like ku S | <u></u> | de la companya de la companya de la companya de la companya de la companya de la companya de la companya de la | | |
| 7 | Other current liabilities (attach statement) | | | | | |
| 8 | All nonrecourse loans | The state of the | | ina is | | |
| 9 | Mortgages, notes, bonds payable in 1 year or more . | |] | | | |
| 0 | Other liabilities (attach statement) | The state of the | | | | |
| 1 | Partners' capital accounts | | | | | |

| | 8865 (2005) | | | Page 6 |
|--------|---|--|--|---------------------------|
| Sc | hedule M Balance Sheets for Inte | rest Allocation | N/A - CATEGORY 3 FILER | |
| | | | (a) Beginning of tax year | (b) End of tax year |
| b | | | ome (Loss) per Return. (Not | required if Item G9, page |
| | 1, is answered "Yes.") | 6 Incon | N/A - CATEGORY 3 FILER ne recorded on books this | |
| b 5 | Net income (loss) per books Income included on Schedule K, lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, and 11 not recorded on books this year (itemize): Guaranteed payments (other than health insurance) Expenses recorded on books this year not included on Schedule K, lines 1 through 13d, and 16l (itemize): Depreciation \$ Travel and entertainment \$ Add lines 1 through 4 | year r lines a Tax-e 7 Deduc K, line charg year (a Depre | not included on Schedule K, 1 through 11 (itemize): exempt interest \$ ctions included on Schedule es 1 through 13d, and 16l not ed against book income this itemize) cciation \$ ines 6 and 7 | |
| Scl | nedule M-2 Analysis of Partners' | | | |
| | Balance at beginning of year . Capital contributed: a Cash | | butions: a Cash b Property decreases (itemize): | CATEGORY 3 FILER |
| 3 4 | b Property Net income (loss) per books Other increases (itemize): | 8 Add li | ines 6 and 7 | |
| _5_ | Add lines 1 through 4 | 9 Balan | ce at end of year. Subtract from line 5 | |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

Important: Complete a separate Form 8865 and Schedule N for each controlled foreign partnership. Enter the totals for each type of transaction that occurred between the foreign partnership and the persons listed in columns (a) through (d)

| | Transactions of foreign partnership | (a) U S person filing this return | (b) Any domestic corporation or partnership controlling or controlled by the US person filing this return | (c) Any other foreign corporation or partnership controlling or controlled by the U S person filing this return | (d) Any U S person with a 10% or more direct interest in the controlled foreign partnership (other than the U S person filing this return) |
|-----------|--|--------------------------------------|---|---|--|
| 1 2 | Sales of inventory Sales of property rights (patents, trademarks, etc.) | | | | |
| 3 | Compensation received for technical, managerial, engineering, construction, or like services | | | | |
| 5 | Commissions received Rents, royalties, and license fees received | | | | |
| 6 7 | Distributions received Interest received | | | | |
| 8 | Other | | | | |
| | Purchases of inventory | | | | |
| 11 | Purchases of tangible property other than inventory | | | | |
| 2 | Purchases of property rights (patents, trademarks, etc.) | | | | |
| 13 | Compensation paid for technical, managerial, engineering, construction, or like services | | | | |
| | Commissions paid Rents, royalties, and license fees paid | | | | |
| | Distributions paid Interest paid | | | | |
| 18 | Other | | | | |
| <u>19</u> | Add lines 10 through 18. | | | | |
| 20 | Amounts borrowed (enter the maximum loan balance during the year) —see instructions | | | | |
| 21 | Amounts loaned (enter the maximum loan balance during the year)—see instructions | | | | |

SCHEDULE O (Form 8865)

Transfer of Property to a Foreign Partnership

(under section 6038B)

Department of the Treasury Internal Revenue Service

▶ Attach to Form 8865. See Instructions for Form 8865.

2005

OMB No 1545-1668

| THE ROCKEFE | LI FR FOUNDA | 13-1659629 | | | | | |
|---|---------------------------------------|--|--|---|--|--|---|
| Name of foreign par | | | | | | | |
| BAIN CAPITAL | <u>FUND VIII-E, L.</u> | P | | | | | |
| Part I Tra | nsfers Reporta | ble Under Se | ection 6038B | | | | |
| Type of property | (a) Date of transfer | (b) Number of Items transferred | (c) Fair market value on date of transfer | (d) Cost or other basis | (e) Section 704(c) allocation method | (f) Gain recognized on transfer | (g) Percentage interest in partnership after transfer |
| Cash | VARIOUS | * * * * * * * * * * * * * * * * * * * | 1,318,417 | | k | | 0.986194 |
| Marketable secunties | | | | | | | |
| Inventory | | | | | | | |
| Tangible property used in trade or business | | | | | | | |
| Intangible property | | | | | | | |
| Other property | | | | | | | |
| Supplemental I | nformation Rec | quired To Be | Reported (see in | structions). | | | |
| | | | | | | | |
| Part II Dis | positions Repo | rtable Under | Section 6038B | | | | |
| (a) Type of property | (b) Date of onginal transfer | (c) Date of disposition | (d) Manner of disposition | (e) Gain recognized by partnership | (f) Depreciation recapture recognized by partnership | (g) Gain allocated to partner | (h) Depreciation recapture allocated to partner |
| N/A | | | | | | | |
| Part III Is a sec | ny transfer repo | orted on this s | chedule subject | to gain recognition | under section | n 904(f)(3) or ▶ □ | Yes ⊠ No |

THE ROCKEFELLER FOUNDATION

N: 13-1659629

FORM 8865 SUPPORTING SCHEDULES

SCHEDULE A-2 - AFFILIATION SCHEDULE

| NAME | ADDRESS | EIN | TOTAL ORDINARY INCOME OR LOSS | CHECK IF FOREIGN PARTNERSHIP |
|---------------------------------|---|------------|--|------------------------------------|
| TEAMSYSTEM LUXCO SCA | 5 PARC D'ACTIVITE SYRDALL UNIT 8, L-5365 MUNSBUCK, LUXEMBOURG | 98-0441969 | N/A | X |
| BAIN BL HOLDINGS, LP | 111 HUNTINGTON AVENUE BOSTON, MA 02199-7615 | 20-3545695 | N/A | |
| BAIN CAPITAL FCI CAYMAN A, LP | 111 HUNTINGTON AVENUE BOSTON, MA 02199-7615 | 98-0485605 | N/A | · X |
| BAIN CAPITAL FCI CAYMAN PEC, LP | 111 HUNTINGTON AVENUE BOSTON, MA 02199-7615 | 98-0485606 | N/A | X |

Form **8865**

Return of U.S. Persons With Respect to **Certain Foreign Partnerships**

▶ Attach to your tax return. See separate instructions.

Attachment

partment of the Treasury

Information furnished for the foreign partnership's tax year

OMB No 1545-1668

| ternal Revenu | te Service | beginni | ing 01/01 | , 2005, | and end | ing 12/31 | | 20 05 | Sequer | nce No 116 |
|----------------------------|---|-----------|--------------------------------------|-----------------|------------|-------------------------------------|-------------|--------------------|---------------------------------------|---------------------------|
| • | son filing this return KEFELLER FOUNDAT | ION | | | 1 | Filer's identifying 13-1659629 | number | • | | |
| | (If you are not filing this form wi | | return) | A Categor | | see Categories of F | ilers in th | e instructions and | t check applicat | ole box(es)) |
| | I AVENUE | , | | 1 [| | 2 ☐ 3 🔯 | | 4 🔲 | o oricon apprious | no 201(00)) |
| | RK, NY 10018 | | | B Filore | | peginning 01/01 | | 05 , and end | ting 12/31 | 1 , 20 05 |
| | · | | | D Filers | ax year t | Jeganning | | , and end | , , , , , , , , , , , , , , , , , , , | |
| C Filer's | s share of liabilities Nonre | course | \$ NON | E Qualifie | nonrec | ourse financing | \$ | NONE | Other \$ | NONE |
| | r is a member of a consoli | dated g | roup but not the pa | arent, ente | r the fol | | | ut the parent: | | |
| Name | ess N/A | | | | | EIN N/ | Α | | | |
| Addie | 333 N/A | | | | | | | | | |
| E Inform | nation about certain other | partner | s (see instructions) | | | | | | | |
| | (1) Name | | (2) Addres | :e | | (3) Identifying nu | mber | (4) Chec | ck applicable t | ox(es) |
| | | | (2) //60/00 | | | (0) (0) (1) | | Category 1 | Category 2 | Constructive owner |
| N/A | | ļ | | | | | | | | |
| | | - | | | | | | | | |
| F1 Name | e and address of foreign p | artnersh | | | | l | | 2 EIN (if an | / v) | |
| | PEAN CAPITAL VII-7 L | | ·· F | | | | | 98-034909 | | |
| | AR COURT, LES BANG | QUES, | ST. PETER POR | T | | | | 1 | | laws organized |
| | EY, GY1 3QL | | | | | ·· | | UNITED K | | |
| 4 Date | of 5 Principal p | | 6 Principal busin activity code i | | 7 Prince | cipal business | 8a Fu | nctional currer | | change rate ee instr) |
| 03/01/2000 | | | 1 | | | LIO INVESTMENT | EURO |) | (0) | 0.8443 |
| | de the following information | | | in's tay ve | | LIO INVESTMENT | LOIK | | | 0.0440 |
| | e, address, and identifying | | | | | heck if the foreig | n partn | ership must f | ile· N/A | |
| United | d States | | • | | . – | Form 1042 | _ | orm 8804 | | 065 or 1065-B |
| NONE | | | | | Se | rvice Center where | Form 1 | 065 or 1065-B ı | s filed | |
| | | | | | 1 | | | | | Laster and |
| | e and address of foreign p lization, if any | artnersn | iips agent in coun | iry oi | | ame and addres cords of the fore | | | | |
| CIE MANA | AGEMENT II LTD | | | | ar | nd records, if diff | ferent | | | |
| TRAFALG | AR COURT, LES BANG | QUES, | ST. PETER POR | T | GUI | ERNESY INTE | RNATI | ONAL FUND | MANAGE | :RS |
| GUERNSE | EY, CHANNEL ISLAND | S, GY1 | 3QL | | SAN | ME ADDRESS | AS IN | G3 | | |
| 5 Were | any special allocations m | ade by t | he foreign partners | ship? | | | | | ▶ 💢 | Yes 🗌 No |
| 6 Enter | the number of Forms 885 | 8, Inforn | nation Return of U | S Persor | s With F | Respect To Fore | ıgn Disi | regarded Entit | ies, | |
| | ned to this return (see inst | | | | | | | | | A - CATEGORY 3 F |
| | is this partnership classifie | | | • | | • | | PARTNE | | V - D N |
| | ne partnership own any se | | | | egulatio | ns section 1.150 |)3-2(c)(\ | | | Yes L No |
| | this partnership meet bot e partnership's total receip | | | | 50 000 | and | | N/A - CA | TEGORY 3 | FILER |
| | e value of the partnership's | | • | | • | | 000. | } | | Yes 🗆 No |
| If "Ye: | s," do not complete Sche | dules L | M-1, and M-2. | | | | | N/A - CA | TEGORY 3 | FILER |
| Sign Here Only if You | Under penalties of perjury knowledge and belief, it is | | | | | | | | | |
| Are Filing This Form | based on all nformation of | | | | , o. p.op. | | | | | ,2, |
| Separately and Not With | Mun_7 | SAL | man | | | i | . | 11/14/00 | | |
| four Tax Return | Signature of general p | artner or | lim ed liability compa | ny member | | | D | ate | | |
| Pald Preparer | Preparer's | | <u>u</u> | | Da | ite / . / . | Check | ıf. | | SSN or PTIN |
| Sign and Complete | signature oc | | u pine | | | 11/14/06 | | nployed 🕨 🔲 | | 650666 |
| y if Form Filed | Firm's name (or yours if self-employed), | DELC | DITTE TAX LLP | EB 12112 | 4077 | 750 | | | 065772 | |
| Separately. | address, and ZIP code | 2 JEF | RICHO PLAZA, J | ERICHO. | NY 11 | 753 | 1 | Phone no (5 | 16) 918-70 | 00 |

| | • | , |
|-------|-----|-----|
| Sched | ule | e A |
| | | |

Constructive Ownership of Partnership Interest. Check the boxes that apply to the filer. If you check box b, enter the name, address, and U.S. taxpayer identifying number (if any) of the person(s) whose interest you constructively own See instructions.

| | | a X Owns a direct inte | erest | | Owns a construct | ive inte | erest | |
|---|---------------------------------|---|--|----------|------------------------|----------|---------------------------|------------------------------|
| Name | | | Address | | Identifying number (if | | Check if foreign person | Check if direct partner |
| | | | | | | - | | |
| | hedule A-1 | Cortain Partners of E | oreign Partnership (see inst | tructio | nc) | - | | |
| | | Name | Address | | Identifying numl | ber (ıf | any) | Check if foreign person |
| trar or c | nsferred cash greater intere | RY 3 FILER that only and did not own a 10% st in the transferee the transfer. | | | | | | |
| | es the partne hedule A-2 | Affiliation Schedule. | person as a direct partner? List all partnerships (foreign or indirectly owns a 10% into | or d | | ☐ Y | | □ No artnership |
| | | Name | Address | | EIN (if any) | 1 | al ordinary me or loss | Check if foreign partnership |
| Ava | ailable upon r | equest | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| Sc | hedule B | Income Statement—T | rade or Business Income | | N/A - CATEGORY 3 | FILE | R | L |
| Ca | ution. Include | only trade or business income | e and expenses on lines 1a throug | gh 22 t | oelow See the instruc | | for more inf | omation |
| | | | | 4. | | j | | |
| | | | | 1a 1b | | 1c | | |
| 4 | | | | | | 2 | | |
| Income | 1 | • | ne 1c | | | 3 | | |
| ည | | • | tnerships, estates, and trusts (atta | | • | 5 | | |
| _ | 1 | • • • • | <i>ule F (Form 1040))</i> | | | 6 | | |
| | | | ent) | | | 7 | | |
| | | | | | | | | |
| | | · · · · · · · · · · · · · · · · · · · | s 3 through 7 | | | 9 | | |
| | | | partners) (less employment credi | | | 10 | | |
| (Suc | | * * | | | | 11 | | |
| nfat | | | | | | 12 | | |
| Ğ. ⊒ | | | | | | 13 | | |
| ons (| 14 Taxes | and licenses | | | | 14 | | |
| 줥 | | | | | | 15 | | |
| e inst | 16a Depred | ciation (if required, attach For | m 4562) | 16a | | | | |
| 8 | | | ere on return | | | 16c | | |
| SE | | - | as depletion.) | | | 17 | | |
| ਝੁੱ | | • | | | | 18 19 | | |
| Deductions (see instructions for limitations) | | | | | | 20 | | |
| Z | | |) | | | | - | |
| | 21 Total d | eductions. Add the amounts sh | own in the far right column for lines | 9 throi | Jgn ∠U | 21 | | |
| | 22 Ordina | ry business income (loss) fro | m trade or business activities. Su | btract | line 21 from line 8 | 22 | | |

| Sc | hedule D. Capital Gains a | nd Losses | N/A - CATEGORY | Y 3 FILER | · · · · · · · · · · · · · · · · · · · | | |
|------------|---|--------------------------------------|-------------------------------------|---------------------------------------|--|----------|---|
| Pa | rt I Short-Term Capital G | ains and Losses | —Assets Held Or | ne Year or Less | • | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or other b (see instructions | | (f) Gain or (loss) Subtract (e) from (d) |
| 1 | | | | | | | |
| - | | | | | | | ······································ |
| | | | | | | - | |
| | | | | | | | |
| | | | | | | _ | |
| 2 | Short-term capital gain from ins | stallment sales from | Form 6252, line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) from | om like-kind exchan | aes from Form 882 | 4 | | 3 | |
| | , , , | | | | | | |
| 4 | Partnership's share of net short- gains (losses), from other partner | | | | | 4 | |
| 5 | Net short-term capital gain or Form 8865, Schedule K, line 8 | r (loss). Combine lir | nes 1 through 4 in c | column (f). Enter h | nere and on | 5 | |
| Pa | rt II Long-Term Capital G | | | | | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or other b (see instructions | | (f) Gain or (loss) Subtract (e) from (d) |
| - 6 | | | | | | | |
| | | | | | | | |
| | | | | | | + | |
| | | | | | | \dashv | |
| | | | | | <u> </u> | \dashv | |
| 7 | Long-term capital gain from ins | tallment sales from | Form 6252, line 26 | or 37 | | 7 | |
| 8 | Long-term capital gain (loss) fro | om like-kind exchan | nes from Form 8824 | 1 | | 8 | |
| | | | | | | | - |
| 9 | Partnership's share of net long-t gains (losses), from other partne | | | | | 9 | |
| 10 | Capital gain distributions | | | | 1 | 10 | |
| 11 | Net long-term capital gain or | (loss) Combine line | es 6 through 10 in a | column (f) Enter l | nere and on | | |
| •• | Form 8865, Schedule K, line 9a | or 11 | <u> </u> | · · · · · · · · · · · · · · · · · · · | | 11 | |

| Sched | lule | K Partners' Distributive Share Items N/A - CATEGORY 3 FILER | Total amount |
|-------------------------------------|------|--|--------------|
| | 1 | Ordinary business income (loss) (page 2, line 22) | 1 |
| _ | 2 | Net rental real estate income (loss) (attach Form 8825) | 2 |
| | | | |
| | Ja | Other gross rental income (loss) | 1 1 |
| | ם | Expenses from other rental activities (attach statement) | 3c |
| | C | Other net rental income (loss) Subtract line 3b from line 3a | |
| SS | 4 | Guaranteed payments | 4 |
| Income (Loss) | 5 | Interest income | 5 |
|) e | 6 | Dividends a Ordinary dividends | |
| Ĕ | | b Qualified dividends | |
| ၓၟ | 7 | Royalties | 7 |
| <u>-</u> | 8 | Net short-term capital gain (loss) | 8 |
| | 9a | Net long-term capital gain (loss) | 9a |
| | | Collectibles (28%) gain (loss) | |
| | | Unrecaptured section 1250 gain (attach statement) | |
| | 10 | Net section 1231 gain (loss) (attach Form 4797) | 10 |
| | 11 | Other income (loss) (see instructions) Type > | 11 |
| - v | 40 | | 12 |
| Deductions | l | Section 179 deduction (attach Form 4562) | 13a |
| Ė | l | Contributions | 13b |
| 흈 | | Investment interest expense | |
| ĕ | C | Section 59(e)(2) expenditures. (1) Type ▶ (2) Amount ▶ | 13c(2) |
| | | Other deductions (see instructions) Type ▶ | 13d |
| Self- Employ- ment | | Net earnings (loss) from self-employment | 14a |
| elf- | b | Gross farming or fishing income | 14b |
| <u>∾⊞ E</u> | С | Gross nonfarm income | 14c |
| . 4 | 15a | Low-income housing credit (section 42(j)(5)) | 15a |
| dits & Credit | b | Low-income housing credit (other) | 15b |
| 新華 | С | Qualified rehabilitation expenditures (rental real estate) (attach Form 3468) | 15c |
| Credit Credit | d | Other rental real estate credits (see instructions) Type | 15d |
| S & | е | Other rental credits (see instructions) Type | 15e |
| | f | Other credits and credit recapture (see instructions) Type ▶ | 15f |
| | 16a | Name of country or U S possession ▶ | 2 |
| S | | Gross income from all sources | 16b |
| 6 | | Gross income sourced at partner level | 16c |
| 뜐 | · | • | ;; |
| Transactions | _ | Foreign gross income sourced at partnership level | 16f |
| ä | a | Passive ► e Listed categories (attach statement) ► f General limitation ► | 101 |
| Ë | | Deductions allocated and apportioned at partner level | 46h |
| 드 | g | Interest expense ▶ h Other | 16h |
| Foreign | | Deductions allocated and apportioned at partnership level to foreign source income | |
| ō | | Passive ▶ j Listed categories (attach statement) ▶ k General limitation ▶ | 16k |
| ш | | Total foreign taxes (check one): ▶ ☐ Paid ☐ Accrued | 161 |
| | | Reduction in taxes available for credit (attach statement) | 16m |
| | n | Other foreign tax information (attach statement) | - |
| × | 17a | Post-1986 depreciation adjustment | 17a |
| Alternative Minimum Tax (AMT) Items | | Adjusted gain or loss | 17b |
| ag ⊒ agi | | Depletion (other than oil and gas) | 17c |
| 200円 | | Oil, gas, and geothermal properties—gross income | 17d |
| A E A | | Oil, gas, and geothermal properties—deductions | 17e |
| 2 | | Other AMT items (attach statement) | 17f |
| | | Tax-exempt interest income | 18a |
| <u>.</u> 5 | | | 18b |
| Tat | | Other tax-exempt income | 18c |
| E | | Nondeductible expenses | |
| ₽ | | Distributions of cash and marketable securities | 19a |
| <u>.</u> | | Distributions of other property | 19b |
| Other Information | | Investment income | 20a |
| ラカー | | Investment expenses | 20b |
| | С | Other items and amounts (attach statement) | |

| | | Beginnin | g of tax year | is answered "Yes.") N/A End of tax year | | |
|---------------|---|---------------------------------------|---------------------------------------|--|---------------------------------------|--|
| | Assets | (a) | (b) | (c) | (d) | |
| Cash | | · · · · · · · · · · · · · · · · · · · | | 18 1 24 | | |
| 2a Trade | e notes and accounts receivable | | | | | |
| b Less | allowance for bad debts | | | | | |
| 3 Inver | ntories | | | | | |
| 4 U.S. | government obligations | | | | | |
| | exempt securities | | | | | |
| 6 Othe | r current assets (attach statement) | | | 3 2 7 1 L | | |
| 7 Morto | gage and real estate loans. | 1 1 | | eriki a iki | | |
| 8 Othe | r investments (attach statement) | , , , , , , , , , , , , , , , , , , , | | | | |
| 9a Build | ings and other depreciable assets | | Weight Cartine Ca | | 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | |
| b Less | accumulated depreciation | | , , , , , , , , , , , , , , , , , , , | | | |
| | etable assets | | Br. See with | | ALL ALL ALL A | |
| b Less | accumulated depletion | | | 1. pdg 1 506 - 246> | | |
| 1 Land | (net of any amortization) | | * * * * * * * * * * * * * * * * * * * | | 2, 2, 5 | |
| 2a Intan | gible assets (amortizable only) | | na di | | | |
| b Less | accumulated amortization | | | | | |
| | r assets (attach statement) | | | · 横。 湖 。 基 | | |
| 4 Tota | l assets | | | | | |
| | Liabilities and Capital | | | 为: (基: 英: A) | | |
| | unts payable | | · · · · · · · · · · · · · · · · · · · | | | |
| - | ages, notes, bonds payable in less than 1 year. | | | | | |
| | r current liabilities (attach statement) | | | | <u> </u> | |
| | onrecourse loans | 大学 经 | | | | |
| | ages, notes, bonds payable in 1 year or more. | | | | | |
| | r liabilities (attach statement) | | | | | |
| Partn | ers' capital accounts | | | | | |

| | 8865 (2005) | | | | | | Page 6 |
|-----|--|---|---------------------------------------|--------|---|---|------------------------------|
| Sc | hedule M | Balance Sheets | or Interest Allocation | | | N/A - CATEGORY 3 FILE | R |
| | | | | | | (a) Beginning of tax year | (b) End of tax year |
| b | Total foreign Passive inco | n assets: pme category | | | | ome (Loss) per Return. (N | ot required if Item G9, page |
| | | 1, is answered "Y | es.") | | , | N/A - CATEGORY 3 FILE | R |
| | Income includines 1, 2, 3d and 11 not this year (ite Guaranteed than health in Expenses or this year Schedule K, and 16I (item Depreciation Travel and e | payments (other insurance) ecorded on books not included on lines 1 through 13d, nize): | | 7 | year ni lines 1 Tax-ex Deduc K, lines charge year (if Depre | e recorded on books this of included on Schedule K, through 11 (itemize): kempt interest \$ | |
| Sc | | | ners' Capital Accoun | ts. (| Not rec | uired if Item G9, page | , is answered "Yes.") N/A - |
| 3 4 | Balance at b Capital contri Net income | eginning of year . ibuted a Cash b Property (loss) per books | | 6 7 | Distrib | utions: a Cash b Property decreases (itemize): | CATEGORY 3 FILER |
| 5 | | ses (itemize): | · · · · · · · · · · · · · · · · · · · | 8 9 | Balanc | nes 6 and 7 | |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

Important: Complete a separate Form 8865 and Schedule N for each controlled foreign partnership. Enter the totals for each type of transaction that occurred between the foreign partnership and the persons listed in columns (a) through (d)

| | Transactions of foreign partnership | (a) U S person filing this return | (b) Any domestic corporation or partnership controlling or controlled by the US person filing this return | (c) Any other foreign corporation or partnership controlling or controlled by the U S person filing this return | (d) Any U S person with a 10% or more direct interest in the controlled foreign partnership (other than the U S person filing this return) |
|------------|--|--------------------------------------|---|---|--|
| 1 2 | Sales of inventory Sales of property rights (patents, trademarks, etc.) | | | | |
| 3 | Compensation received for technical, managerial, engineering, construction, or like services | | | | |
| 4 5 | Commissions received Rents, royalties, and license fees received | - | | | |
| 6 7 | Distributions received Interest received | | | | |
| 8 | Other | | | | |
| 9 | Add lines 1 through 8 | | | I | |
| 10 | Purchases of inventory | | | | |
| 11 | Purchases of tangible property other than inventory | | | | |
| | Purchases of property rights (patents, trademarks, etc) | | | | |
| 13 | Compensation paid for technical, managerial, engineering, construction, or like services | | | | |
| | Commissions paid Rents, royalties, and | | | | |
| | license fees paid | | | | |
| | Distributions paid Interest paid | | | | |
| 18 | Other | | | | |
| 19 | Add lines 10 through 18. | | | | |
| | Amounts borrowed (enter the maximum loan balance during the year) —see instructions | | | | |
| 21 | Amounts loaned (enter the maximum loan balance during the year)—see instructions | | | | |

SCHEDULE O (Form 8865)

Transfer of Property to a Foreign Partnership

(under section 6038B)

2005

OMB No 1545-1668

ntemal Revenue Service

Department of the Treasury ▶ Attach to Form 8865. See Instructions for Form 8865. ame of transferor Filer's identifying number

THE ROCKEFELLER FOUNDATION 13-1659629 Name of foreign partnership BC EUROPEAN CAPITAL VII-7 LP Part I Transfers Reportable Under Section 6038B (g) Percentage interest in partnership after (e) Section 704(c) (b) Number of (f) Gain (c) Fair market (d) Cost or other (a) Date of Type of value on date of transfer allocation recognized on transfer items property transfer basis transferred method transfer Cash **VARIOUS** 3,446,604 4.137931 Marketable securities Inventory Tangible property used in trade or business Intangible property Other property Supplemental Information Required To Be Reported (see instructions): Part II **Dispositions Reportable Under Section 6038B** (f) Depreciation (h) Depreciation (b) Date of (e) Gain (a) Type of (c) Date of (d) Manner of (g) Gain allocated recapture recognized by partnership recapture allocated to partner onginal transfer property disposition disposition recognized to partner by partnership N/A Part III

Is any transfer reported on this schedule subject to gain recognition under section 904(f)(3) or

For Paperwork Reduction Act Notice, see the Instructions for Form 8865.

section 904(f)(5)(F)?

Schedule O (Form 8865) 2005

☑ No

Form 8865

Return of U.S. Persons With Respect to Certain Foreign Partnerships

Attach to your tax return. See separate instructions.

OMB No 1545-1668

Attachment

Information furnished for the foreign partnership's tax year partment of the Treasury 2005, and ending 20 05 Sequence No 118 beginning 01/01 12/31 rnal Revenue Service Filer's Identifying number Name of person filing this return THE ROCKEFELLER FOUNDATION 13-1659629 Filer's address (if you are not filing this form with your tax return) A Category of filer (see Categories of Filers in the instructions and check applicable box(es)) 420 FIFTH AVENUE 3 🔯 2 NEW YORK, NY 10018 20 05, and ending 01/01 12/31 B Filer's tax year beginning Filer's share of liabilities Nonrecourse \$ NONE Qualified nonrecourse financing \$ NONE Other \$ NONE If filer is a member of a consolidated group but not the parent, enter the following information about the parent: D Name N/A EIN N/A Address N/A Information about certain other partners (see instructions) (4) Check applicable box(es) (1) Name (2) Address (3) Identifying number Category 1 Category 2 Constructive owner N/A F1 Name and address of foreign partnership 2 EIN (if any) LIME ROCK PARTNERS III. L.P. 98-0439676 518 RIVERSIDE AVENUE C/O LIME ROCK MANAGEMENT LP. 3 Country under whose laws organized WESTPORT, CT 06880 CAYMAN ISLANDS Date of 5 Principal place Principal business 7 Principal business 8a Functional currency 8b Exchange rate (see instr) organization of business activity code number activity 11/18/2004 CAYMAN ISLANDS | 523900 INVESTMENTS US DOLLAR NONE Provide the following information for the foreign partnership's tax year Name, address, and identifying number of agent (if any) in the 2 Check if the foreign partnership must file: United States N/A ☐ Form 1042 ☐ Form 8804 X Form 1065 or 1065-B Service Center where Form 1065 or 1065-B is filed PHILADELPHIA, PA 4 Name and address of person(s) with custody of the books and Name and address of foreign partnership's agent in country of organization, if any records of the foreign partnership, and the location of such books and records, if different BISYS PRIVATE EQUITY SERVICES INC. N/A 245 FIFTH AVENUE, 16TH FLOOR NEW YORK, NY 10016 Yes X No 5 Were any special allocations made by the foreign partnership? 6 Enter the number of Forms 8858, Information Return of U.S. Persons With Respect To Foreign Disregarded Entities, N/A - CATEGORY 3 FILER attached to this return (see instructions) **PARTNERSHIP** 7 How is this partnership classified under the law of the country in which it is organized? ☐ Yes ☐ No 8 Did the partnership own any separate units within the meaning of Regulations section 1.1503-2(c)(3) or (4)? N/A - CATEGORY 3 FILER 9 Does this partnership meet both of the following requirements? · The partnership's total receipts for the tax year were less than \$250,000 and ☐ Yes ☐ No The value of the partnership's total assets at the end of the tax year was less than \$600,000 N/A - CATEGORY 3 FILER If "Yes," do not complete Schedules L, M-1, and M-2 Sign Here Only If You Under penalties of penury, 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 general partner or limited liability company member) is Are Filing based on alkinformation of which preparer has any knowledge This Form Separately and Not With Your Tax Signature of general partner or limited liability company member Return Preparer's SSN or PTIN Paid Prepare Preparer's Check if Sign and 11/14/06 aw 096 10 6066 signature self-employed ▶ □ omplete ty it Form Firm's name (or DELOITTE TAX LLP 86-1065772

2 JERICHO PLAZA, JERICHO, NY 11753

yours if self-employed), address, and ZIP code

Phone no (516) 918-7000

Separately.

| So | hedule i | check box b, enter | Constructive Ownership of Partnership Interest. Check the check box b, enter the name, address, and U.S. taxpayer person(s) whose interest you constructively own. See instruction | | | | | |
|---|---------------------|--|--|-----------|------------------------|----------|---------------------------|---------------------------------------|
| | | _ a 💢 Owns a direct into | erest | b | ☐ Owns a construct | ve int | erest | |
| | | Name | Address | | Identifying number (if | any) | Check if foreign person | Check if direct partner |
| | | | | | | | | |
| Sc | hedule / | A-1 Certain Partners of F | <mark>oreign Partnership</mark> (see ins | tructio | ns) | | | l |
| | | Name | Address | | Identifying num | ber (ıf | any) | Check if foreign person |
| | | SORY 3 FILER that only | | | | | | |
| | | ash and did not own a 10% | | | | | | ļ ——— |
| | | erest in the transferee Ifter the transfer. | | | | | | - |
| pui | <u>arciamp a</u> | inci the dansier. | | | | | | |
| Do | es the par | rtnership have any other foreign | person as a direct partner? | | | □ Y | es | ☐ No |
| Sc | hedule <i>F</i> | | List all partnerships (foreign or indirectly owns a 10% into | | | the | foreign pa | |
| | | Name | Address | | EIN (if any) | 1 | al ordinary me or loss | Check if foreign partnershi |
| N/A | | | | | | | | |
| | | ······································ | | | | | | |
| | | | | | | | | |
| | | | ` ` | | | | | |
| | hedule E | | rade or Business Income | | N/A - CATEGORY 3 | | | |
| Ca | ution. <i>Incli</i> | ude only trade or business incom | e and expenses on lines 1a throug | gh 22 b | pelow See the instruc | tions | for more in: | formation |
| | 4- 6- | as receipts or color | | 1a | | 1 | | |
| | | ss receipts or sales s returns and allowances | | 1b | | 1c | | |
| | | | | | | 2 | | |
| ncome | 3 Gro | ss profit. Subtract line 2 from li | ne 1c | | | 3_ | | |
| ည | | | tnerships, estates, and trusts (atta | | - | 5 | | |
| = | | | ule F (Form 1040)) | | | 6 | | · · · · · · · · · · · · · · · · · · · |
| | ı | · · · · · · · · · · · · · · · · · · · | rt II, line 17 (attach Form 4797) ent) | | | 7 | | |
| | | | · | | | | | |
| | 8 Tota | al income (loss). Combine lines | s 3 through 7 | · · · · · | | 8 | | |
| | J | • . | partners) (less employment cred | | | 9 | | |
| <u>(S</u> | | | | | | 10 11 | | |
| ifato | | | | | | 12 | | |
| or E | (| | | | | 13 | | |
| ons f | | | | | | 14 | | |
| 쥝 | | | | | | 15 | | |
| e IIS | 16a Dep | preciation (if required, attach For | m 4562) | 16a | | 40- | | |
| 8 | | | ere on return | | | 16c | <u> </u> | |
| ğ | | _ | as depletion.) | | | 18 | | |
| Lctions (see instructions for limitations) | | • | | | | 19 | | |
| ð | | |) | | | 20 | | <u></u> |
| | 21 Tota | al deductions. Add the amounts sh | own in the far right column for lines | 9 throu | ıgh 20 | 21 | | |
| | 22 Ord | inary business income (loss) fro | m trade or business activities. Su | btract | line 21 from line 8 | 22 | | |

| Sc | hedule D Capital Gains a | ind Losses | N/A - CATEGOR | Y 3 FILER | | | |
|----------|---|---|-------------------------------------|---------------------------------------|---------------------------------------|----|---|
| Pa | rt I Short-Term Capital G | Sains and Losses | —Assets Held O | ne Year or Less | 5 | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 1 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 2 | Short-term capital gain from in: | stallment sales from | Form 6252, line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) from | om like-kind exchan | ges from Form 882 | 4 | | 3 | |
| 4 | Partnership's share of net short- gains (losses), from other partner | | | | | 4 | |
| 5 | Net short-term capital gain or | r (loss). Combine lir | nes 1 through 4 in c | olumn (f). Enter h | nere and on | | • |
| | Form 8865, Schedule K, line 8 | | | | | 5 | |
| Pa | t II Long-Term Capital G | ains and Losses- | Assets Held Mc | ore Than One Y | ear | | |
| | (a) Description of property (e.g., 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or other (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| <u> </u> | | | | | | | |
| _ | | | | | | | |
| | · | | | | | | |
| | | | | | | | |
| 7 | Long-term capital gain from ins | stallment sales from | Form 6252, line 26 | or 37 | | 7 | |
| 8 | Long-term capital gain (loss) fro | om like-kind exchang | ges from Form 8824 | 1 | | 8 | |
| 9 | Partnership's share of net long-t | | | | | 9 | |
| 10 | Capital gain distributions | | | | | 10 | |
| 11 | Net long-term capital gain or Form 8865, Schedule K, line 9a | | | | | 11 | |

| Schedule K Partners' Distributive Share Items N/A - CATEGORY 3 FILER | | | T | Total amount |
|--|-----|---|-------------|---------------------------------------|
| | 1 | Ordinary business income (loss) (page 2, line 22) | 1 | |
| | ı | Net rental real estate income (loss) (attach Form 8825) | 2 | |
| | | | 1- | _ |
| | Ja | Other gross rental income (loss) | 1 | |
| | | Expenses from other rental activities (attach statement) | 3c | |
| | | Other net rental income (loss) Subtract line 3b from line 3a | H | |
| Income (Loss) | 4 | Guaranteed payments | 4 | |
| ۲ | 5 | Interest income | 5 | |
| e e | 6 | Dividends. a Ordinary dividends | 6a | |
| Ĕ | | b Qualified dividends | 1 | |
| ၓၟ | 7 | Royalties | 7 | |
| = | 8 | Net short-term capital gain (loss) | 8 | |
| | 9a | Net long-term capital gain (loss) | 9a | |
| | b | Collectibles (28%) gain (loss) | | |
| | С | Unrecaptured section 1250 gain (attach statement) 9c | | |
| | 10 | Net section 1231 gain (loss) (attach Form 4797) | 10 | |
| | 11 | Other income (loss) (see instructions) Type > | 11 | |
| 35 | 12 | Section 179 deduction (attach Form 4562) | 12 | |
| <u>.</u> 5 | | Contributions | 13a | |
| <u>ct</u> | | Investment interest expense | 13b | |
| Deductions | | Section 59(e)(2) expenditures (1) Type ▶ (2) Amount ▶ | 13c(2) | |
| Õ | d | Other deductions (see instructions) Type | 13d | |
| | | Net earnings (loss) from self-employment | 14a | - |
| 부 | | Gross farming or fishing income | 14b | |
| Self- Employ- ment | | Gross nonfarm income | 14c | |
| | | | 15a | |
| න ව | | Low-income housing credit (section 42(j)(5)) | 15b | |
| redits & Credit ecapture | | Low-income housing credit (other) | 15c | |
| a e | | Qualified rehabilitation expenditures (rental real estate) (attach Form 3468) | 15d | |
| | | Other rental real estate credits (see instructions) Other rental credits (see instructions) Type ▶ Type ▶ | 15e | |
| ~ ∝ | | Other credits and credit recapture (see instructions) Type Other credits and credit recapture (see instructions) Type I ype | 15f | |
| | 162 | Name of country or U S possession ▶ | 1 1 | |
| ဟ | | Gross income from all sources | 16b | |
| Ö | | | 16c | |
| Ė | · | Gross income sourced at partner level | 100 | |
| sa | | Foreign gross income sourced at partnership level Passive e Listed categories (attach statement) f General limitation | 16f | |
| Transactions | a | | 1 | |
| | | Deductions allocated and apportioned at partner level | 16h | · |
| Foreign | g | Interest expense • h Other | 1 | |
| <u>.</u> | | Deductions allocated and apportioned at partnership level to foreign source income | 4614 | |
| ō | | Passive ► j Listed categories (attach statement) ► k General limitation ► | 16k | · · · · · · · · · · · · · · · · · · · |
| | | Total foreign taxes (check one) ▶ ☐ Paid ☐ Accrued | | · |
| | | Reduction in taxes available for credit (attach statement) | 16m | |
| | | Other foreign tax information (attach statement) | 470 | |
| Altemative Minimum Tax (AMT) Items | | Post-1986 depreciation adjustment | 17a 17b | |
| tiv Tr | | Adjusted gain or loss | 176 | |
| E 2 | | Depletion (other than oil and gas) | 17d | |
| Main te | | Oil, gas, and geothermal properties—gross income | | |
| જ <u>≅</u> ઙ | | Oil, gas, and geothermal properties—deductions | 17e | |
| | | Other AMT items (attach statement) | 17f | |
| o | | Tax-exempt interest income | 18a | • |
| aţį | | Other tax-exempt income | 18b | |
| Ě | | Nondeductible expenses | 18c | · |
| Į. | | Distributions of cash and marketable securities | 19a | |
| 흔 | | Distributions of other property | 19b | |
| Other Information | | Investment income | 20a | |
| 7 | b | Investment expenses | 20b | |
| | С | Other items and amounts (attach statement) | | |

| Sch | nedule L Balance Sheets per Books. (| | | s answered "Yes | .") N/A | | |
|----------|---|----------|---------------|--|-----------------|--|--|
| | | Beginnin | g of tax year | End of tax year | | | |
| | Assets | (a) | (b) | (c) | (d) | | |
| | Cash | | | | | | |
| 2a | Trade notes and accounts receivable | | 7: | | | | |
| b | Less allowance for bad debts | | | | | | |
| 3 | Inventories | | | | | | |
| | U.S. government obligations | 1 | | | | | |
| | Tax-exempt securities | | | | | | |
| 6 | Other current assets (attach statement) | | | | | | |
| | Mortgage and real estate loans | 1 | | the state of the s | | | |
| | Other investments (attach statement) | | | | | | |
| | Buildings and other depreciable assets | | Ar to the | | 等。據 灣 源 | | |
| | Less accumulated depreciation | | | | | | |
| | Depletable assets | | A AN LINE A | | | | |
| | Less accumulated depletion | | | | | | |
| | Land (net of any amortization) | | | 11 - 12 | | | |
| 2a | Intangible assets (amortizable only) | | 一个 | | , in the second | | |
| b | Less accumulated amortization | A | | | | | |
| 3 | Other assets (attach statement) | | | | | | |
| 4 | Total assets | | | · 4 | | | |
| | Liabilities and Capital | | | Hillian III. Hillian Carlo Carlo Carlo | | | |
| 5 | Accounts payable | | | | | | |
| 6 | Mortgages, notes, bonds payable in less than 1 year | | | in the same | | | |
| 7 | Other current liabilities (attach statement) | | | | | | |
| 8 | All nonrecourse loans. | | | 物学的 | | | |
| 9 | Mortgages, notes, bonds payable in 1 year or more. | | | | | | |
| | Other liabilities (attach statement) | 图 在 图 | | | | | |
| 1 | Partners' capital accounts | 新方体 * | | A A A A A A | | | |
| P | Total liabilities and capital | | | The said states the | | | |

| | 8865 (2005) | | | | | Page 6 |
|-----|---|--|--------|-----------|---|-----------------------------------|
| Sc | hedule M Balance Sheets 1 | or Interest Allocation | | | N/A - CATEGORY 3 FILE | R |
| | | | | | (a) Beginning of tax year | (b) End of tax year |
| 9 | Total U.S. assets | | | | | |
| 2 | Total foreign assets: | | | } | | |
| а | Passive income category | | | | | |
| b | | | | | | |
| | General limitation income categor | y | | <u></u> | | |
| Sc | nedule M-1 Reconciliation of 1, is answered "You | | ks W | ith Incol | ne (Loss) per Return. (N N/A - CATEGORY 3 FILE | ot required if Item G9, page R |
| | | | 6 | Income | recorded on books this | |
| 1 | Net income (loss) per books | | | year no | t included on Schedule K | . |
| 2 | Income included on Schedule K, | | | lines 1 | through 11 (itemize) | |
| _ | lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, and 11 not recorded on books | | а | Tax-ex | empt interest \$ | |
| | this year (itemize): | | 7 | Deducti | ons included on Schedule | |
| 3 | Guaranteed payments (other | | | K, lines | 1 through 13d, and 16l not | |
| | than health insurance) | ······································ | | charged | against book income this | |
| 4 | Expenses recorded on books | | | | emize): | |
| | this year not included on | | a | Deprec | iation \$ | . |
| | Schedule K, lines 1 through 13d, | | | | | |
| | and 16I (itemize): | | | | · · · · · · · · · · · · · · · · · · · | |
| а | Depreciation \$ | | | | _ , | |
| b | Travel and entertainment | | 8 | Add lin | es 6 and 7 | |
| | \$ | | 9 | | (loss). Subtract line 8 | |
| 5 | Add lines 1 through 4 | | | | e 5 | <u> </u> |
| Scl | nedule M-2 Analysis of Part | ners' Capital Accoun | ts. (I | | | |
| _1 | Balance at beginning of year . | | 6 | Distribu | tions: a Cash | CATEGORY 3 FILER |
| | Capital contributed: | | | | b Property | |
| | a Cash | | 7 | Other d | lecreases (itemize): | |
| | b Property | | | | | |
| 3 | Net income (loss) per books | | | | | |
| 4 | Other increases (itemize): | | | | | |
| | | | 8 | Add lin | es 6 and 7 | |
| | | | 9 | | e at end of year. Subtract | |
| 5 | Add lines 1 through 4 | | | | om line 5 | |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

| Important: (| Complete a | separate | Form 8865 | and Schedu | le N for | each controlle | d foreigr | partnership | Enter the totals | for each ty | pe of |
|----------------|-------------|------------|-------------|-------------|----------|----------------|-----------|-----------------|------------------|-------------|-------|
| transaction tl | hat occurre | ed betweer | the foreign | partnership | and the | persons listed | ın colum | ins (a) through | h (d) | | |

| | Transactions of foreign partnership | (a) U S person filing this return | (b) Any domestic corporation or partnership controlling or controlled by the U S person filing this return | (c) Any other foreign corporation or partnership controlling or controlled by the U S person filing this return | (d) Any U S person with a 10% or more direct interest in the controlled foreign partnership (other than the U S person filing this return) |
|--------|--|--------------------------------------|--|---|--|
| 1 2 | Sales of inventory Sales of property rights (patents, trademarks, etc.) | | | | |
| 3 | Compensation received for technical, managerial, engineering, construction, or like services | | | | |
| 4 5 | Commissions received . Rents, royalties, and license fees received . | | | | |
| 6 7 | Distributions received Interest received | | | | |
| 8 | Other | | | | |
| 9 | Add lines 1 through 8 | | | | |
| 10 | Purchases of inventory | | | | |
| | Purchases of tangible property other than inventory | | | | |
| | Purchases of property rights (patents, trademarks, etc.) | | | | |
| | Compensation paid for technical, managerial, engineering, construction, or like services | | | | |
| | Commissions paid Rents, royalties, and license fees paid | | | | |
| | Distributions paid | | | | |
| | Interest paid | | | | |
| | Other | | | | · · · · · · · · · · · · · · · · · · · |
| | Add lines 10 through 18. | | | | |
| 20 | Amounts borrowed (enter the maximum loan balance during the year) —see instructions | | | | |
| 21 | Amounts loaned (enter the maximum loan balance during the year)—see instructions | | | | |

SCHEDULE O (Form 8865)

Transfer of Property to a Foreign Partnership

(under section 6038B)

2005

OMB No 1545-1668

Department of the Treasury Internal Revenue Service

Tangible property used in trade or business

ame of transferor

▶ Attach to Form 8865. See Instructions for Form 8865. Filer's identifying number

THE ROCKEFELLER FOUNDATION 13-1659629 Name of foreign partnership LIME ROCK PARTNERS III, L.P. Part I Transfers Reportable Under Section 6038B (f) Gain (b) Number of (e) Section 704(c) (g) Percentage interest (c) Fair market (d) Cost or other (a) Date of Type of recognized on transfer in partnership after transfer property ıtems value on date allocation transfer basis transferred of transfer method Cash **VARIOUS** 990,427 **VARIOUS** Marketable securities Inventory

| Intangible property | | | | | | | |
|---------------------|---------------|---------------|------------------|--------------|---|---|--|
| | | | | | | | |
| Other property | | - | | | | | |
| | | | | | | | |
| Supplementa | Information R | equired To Be | Reported (see in | structions): | 1 | · | |

| | | | · · · · · · · · · · · · · · · · · · · | | | | | | | |
|---|-------------------------------|-------------------------|---------------------------------------|---|---------------------------------------|-------------------------------------|---|--|--|--|
| Part II Dispositions Reportable Under Section 6038B | | | | | | | | | | |
| (a) Type of property | (b) Date of original transfer | (c) Date of disposition | (d) Manner of disposition | (e) Gain recognized by partnership | (f) Depreciation recapture recognized | (g) Gain allocated to partner | (h) Depreciation recapture allocated to partner | | | |

| | (a) Type of roperty | Date of onginal transfer | Date of disposition | Manner of disposition | Gain recognized by partnership | recapture recognized by partnership | (g) Gain allocated to partner | Depreciation recapture allocated to partner |
|---|---------------------------|--------------------------------|---------------------|--------------------------|--------------------------------------|-------------------------------------|-------------------------------------|---|
| | N/A | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| - | | | | | | | | |
| | | | | | | | | |

Part III Is any transfer reported on this schedule subject to gain recognition under section 904(f)(3) or

☐ Yes Schedule O (Form 8865) 2005

For Paperwork Reduction Act Notice, see the Instructions for Form 8865.

8865

Return of U.S. Persons With Respect to Certain Foreign Partnerships

Attach to your tax return. See separate instructions.

OMB No 1545-1668

Sequence No 118

(4) Check applicable box(es)

Category 1 | Category 2 | Constructive owner

Information furnished for the foreign partnership's tax year rtment of the Treasury 20 05 01/01 2005, and ending mal Revenue Service beginning 12/31 Name of person filing this return Filer's identifying number THE ROCKEFELLER FOUNDATION 13-1659629 Filer's address (if you are not filing this form with your tax return) A Category of filer (see Categories of Filers in the instructions and check applicable box(es)) 420 FIFTH AVENUE 2 🔲 3 🛛

NEW YORK, NY 10018 20 05 01/01 20 05 and ending B Filer's tax year beginning NONE Other \$ Filer's share of liabilities Nonrecourse \$ NONE Qualified nonrecourse financing \$ NONE D If filer is a member of a consolidated group but not the parent, enter the following information about the parent

Name N/A EIN N/A

(2) Address

Address N/A

(1) Name

Information about certain other partners (see instructions)

GEORGE TOWN, GRAND CAYMAN, CAYMAN ISLANDS

| | | | • • • • • • • • • • • • • • • • • • • | , , | |
|---------------------------------------|--------------------------|----------------------|---------------------------------------|------------------------|----------------------|
| N/A | | | | | |
| · · · · · · · · · · · · · · · · · · · | | | | | |
| | | | | | |
| F1 Name and addr | ess of foreign partnersh | ıp | | 2 EIN (if any) | |
| MDCP IV GLOBAL | INVESTMENTS, L.P. | | | 98-0379475 | |
| WALKERS HOUSE | , MARY STREET, P.O |). BOX 908GT | | 3 Country under | whose laws organized |
| <u>GEORGE TÓWN, C</u> | GRAND CAYMAN, CA | YMAN ISLANDS | | CAYMAN ISLA | NDS |
| 4 Date of | 5 Principal place | 6 Principal business | 7 Principal business | 8a Functional currency | 8b Exchange rate |

(3) Identifying number

organization of business activity code number activity (see instr) 06/10/2002 CAYMAN ISLANDS | 523900 INVESTMENT USD N/A Provide the following information for the foreign partnership's tax year

Name, address, and identifying number of agent (if any) in the 2 Check if the foreign partnership must file United States N/A ☐ Form 1042 Form 8804 X Form 1065 or 1065-B Service Center where Form 1065 or 1065-B is filed

PHILADELPHIA. PA Name and address of person(s) with custody of the books and Name and address of foreign partnership's agent in country of records of the foreign partnership, and the location of such books organization, if any MICHAEL J. WILSON

and records, if different WALKERS WALKERS HOUSE, MARY STREET, P.O. BOX GT MDP IV GLOBAL GP. LP

5 Were any special allocations made by the foreign partnership?. 6 Enter the number of Forms 8858, Information Return of U.S. Persons With Respect To Foreign Disregarded Entities,

NONE attached to this return (see instructions). LIMITED PARTNERSHIP 7 How is this partnership classified under the law of the country in which it is organized? . . .

☐ Yes ☐ 8 Did the partnership own any separate units within the meaning of Regulations section 1.1503-2(c)(3) or (4)? .

9 Does this partnership meet both of the following requirements? N/A - CATEGORY 3 FILER

· The partnership's total receipts for the tax year were less than \$250,000 and The value of the partnership's total assets at the end of the tax year was less than \$600,000.

If "Yes," do not complete Schedules L, M-1, and M-2

☐ Yes ☐ No N/A - CATEGORY 3 FILER

Sign Here Only If You Are Filing This Form Separately and Not With Your Tax Return

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 general partner or limited liability company member) is based on all unformation of which preparer has any knowledge

Date

06

CHICAGO, IL 60602

general partner or limited lia ulity company member Signature of

Check if

self-employed ▶

Preparer's SSN or PTIN 09650 6066

Paid Prepare Sign and mplete v It Form filed

Preparer's

signature

Firm's name (or **DELOITTE TAX LLP**

2 JERICHO PLAZA, JERICHO, NY 11753

86-1065772 EIN ▶ Phone no (516) 918-7000

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

Form 8865 (2005)

☐ Yes ☒ No

| Sch | edu | le | Α |
|-----|-----|----|---|
| | | | |

Constructive Ownership of Partnership Interest. Check the boxes that apply to the filer. If you check box b, enter the name, address, and U.S. taxpayer identifying number (if any) of the person(s) whose interest you constructively own. See instructions.

| | | a 🗓 Owns a direct into | erest | b | Owns a construct | ive inte | erest | |
|--|--------------------|--|---------------------------------------|----------|---|------------------|-------------------------|-------------------------|
| | | Name | Address | | Identifying number (if | апу) | Check if foreign person | Check if direct partner |
| | | | | | · · · · · · · · · · · · · · · · · · · | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | <u> </u> | |
| Sc | hedule / | Cortain Partners of E | oreign Partnership (see ins | tructio | ine) | | L | |
| G. | Ticadic ! | Certain Faithers Off | Oreign Farulership (see ma | Tuctio | | | | Check if |
| | | Name | Address | | Identifying num | ber (ıf | any) | foreign person |
| | | GORY 3 FILER that only | | | | | | <u> </u> |
| | | ash and did not own a 10% | | | | | | |
| | | erest in the transferee | | | | | | |
| par | <u>inersnip a</u> | ofter the transfer. | | | ······································ | | | " • · |
| Do | e the na | rtnership have any other foreign | porson as a direct partner? | | | □ Y | | □ No |
| | hedule / | | List all partnerships (foreign | | | | | |
| | ricaale . | | or indirectly owns a 10% into | | omodio, in windi | | oreign pe | ara ioi oi iip |
| | | | | | EIN | Tota | al ordinary | Check if |
| | | Name | Address | | (if any) | 1 | me or loss | foreign partnership |
| SIR | ONA HO | LDINGS LUXCO, S.C.A. | LUXEMBOURG | | 98-0468038 | | | Χ |
| | | | | | | | | |
| | | | | | | | | |
| | | <u> </u> | | | | | | |
| | | | | | | | | |
| | hedule | | rade or Business Income | | N/A - CATEGORY 3 | | | |
| Ca | ution. <i>Incl</i> | ude only trade or business incom- | e and expenses on lines ta throug | gn 22 t | pelow See the instruc | tions i | ror more ini | ormation. |
| | | | | | | The state of the | | |
| | 1 | ess receipts or sales | | 1a 1b | | 1c | | |
| | 1 | s returns and allowances | | | | 2 | | |
| ē | I . | st of goods sold | | | | 3 | | |
| Income | I . | inary income (loss) from other par | 4 | | | | | |
| <u>=</u> | | farm profit (loss) (attach Schede | | | | 5_ | | |
| | | gain (loss) from Form 4797, Pa | | | | 6 | | |
| | | er income (loss) (attach stateme | | | | 7 | | |
| | | | • | | | | | |
| | | al income (loss). Combine lines | | | | 8_ | | |
| | | aries and wages (other than to p | | | | 9 | | |
| (S) | | aranteed payments to partners . | | | | 10 | | |
| zator | | pairs and maintenance | | | | 11 | | |
| Ē | 1 | debts | | | | 13 | <u> </u> | · |
| ž | | nt | | | | 14 | | |
| 줯 | P . | es and licenses | | | | 15 | | |
| nstr. | | rest preciation <i>(if required, attach For</i> | | | • | | | |
| 8 | h Los | s depreciation reported elsewhe | ore on return | 16b | | 16c | | |
| Lctions (see instructions for limitations) | | oletion (Do not deduct oil and g | | | | 17 | | |
| jo | | irement plans, etc | | | | 18 | | |
| ថ្ម | 1 | ployee benefit programs | | | | 19 | | |
| | | er deductions (attach statement | | | | 20_ | | |
| | ļ | | | | |]] | | |
| | 21 Total | al deductions. Add the amounts sho | own in the far right column for lines | 9 throu | ıgh 20 | 21 | | |
| | | | | | ". O4 5 " ~ | | | |
| | 22 Ord | linary business income (loss) fro | m trade or business activities. Su | btract | line 21 from line 8 | 22 | | |

| Sc | hedule D Capital Gains ar | nd Losses | N/A - CATEGORY | 3 FILER | | | |
|----------|---|--|-------------------------------------|---------------------------------------|--------------------------------------|----|---|
| Pa | | ains and Losses | —Assets Held Or | ne Year or Less | 3 | | |
| – | (a) Description of property (e g , 100 shares of "Z" Co) | m Capital Gains and Losses—Assets Held One Year or Less roperty es (b) Date acquired (month, day, year) (c) Date sold (month, day, year) (d) Sales price (see instructions) (e) Cost or other basis (see instructions) Subtract (e) from (d) | | | | | |
| 1 | | | | | | | |
| | | · | | | | | |
| | | | | | ļ | | |
| | | | | | | | |
| 2 | Short-term capital gain from ins | tallment sales from | Form 6252, line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) fro | m like-kind exchan | ges from Form 8824 | 4 | | 3 | |
| 4 | Partnership's share of net short-to- gains (losses), from other partners | | | | | 4 | |
| 5 | Net short-term capital gain or Form 8865, Schedule K, line 8 d | | | | | 5 | |
| Pa | rt II Long-Term Capital Ga | ins and Losses- | –Assets Held Mo | re Than One Y | 'ear | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 6 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | <u> </u> | | |
| 7 | Long-term capital gain from inst | allment sales from | Form 6252, line 26 | or 37 | | 7 | |
| 8 | Long-term capital gain (loss) fro | m like-kind exchang | ges from Form 8824 | · | | 8_ | · |
| 9 | Partnership's share of net long-tegains (losses), from other partners | | | | | 9_ | |
| 10 | Capital gain distributions | | | | | 10 | |
| 11 | Net long-term capital gain or Form 8865, Schedule K, line 9a | (loss). Combine line | es 6 through 10 in c | column (f). Enter f | nere and on | 11 | |
| | | | | | | | |

| Sched | lule | | Total amount | |
|---|----------|--|--------------|---|
| | 1 | Ordinary business income (loss) (page 2, line 22) | 1 | |
| | 1 | Net rental real estate income (loss) (attach Form 8825) | 2 | |
| | 32 | Other gross contal income (loss) | Š | |
| | Ja | Other gross rental income (loss) | 1 | |
| | D | Other and professional diseases (least) Subtract less 25 from the 25 | 3c | |
| ⊕ | | Other net rental income (loss). Subtract line 3b from line 3a | 4 | |
| SS | 4 | Guaranteed payments | 5 | |
| Ę | 5 | Interest income | 6a | |
| <u>ڪ</u> | 6 | Dividends a Ordinary dividends | oa ob | |
| 5 | l _ | | 7 | |
| Income (Loss) | | Royalties | 8 | ····- |
| _ | 8 | Net short-term capital gain (loss) | 9a | |
| | | Net long-term capital gain (loss) | 94 | |
| | b | Collectibles (28%) gain (loss) | | |
| | C | Unrecaptured section 1250 gain (attach statement) 9c | 10 | |
| | 10 11 | Net section 1231 gain (loss) (attach Form 4797) | 11 | |
| · · | | | 12 | |
| Ë | 12 | Section 179 deduction (attach Form 4562) | 13a | |
| Ċţ | | Contributions | 13b | - |
| ğ | | Investment interest expense | 13c(2) | · · · · · · · · · · · · · · · · · · · |
| Deductions | q C | Section 59(e)(2) expenditures (1) Type ▶ (2) Amount ▶ Other deductions (see instructions) Type ▶ | 13d | |
| | 44: | | 14a | |
| ^꺆 <mark>얼 두</mark> | 14a | Net earnings (loss) from self-employment | 14a | |
| Self- Employ- ment | D | Gross farming or fishing income Gross nonfarm income | 14c | |
| *, = = | | | 15a | |
| ≪ර වු | l . | Low-income housing credit (section 42(j)(5)) | 15b | |
| Credits & Credit | | Low-income housing credit (other) | 15c | |
| a e g | | Other rental real estate credits (see instructions) Type | 15d | |
| 1 0 % | | Other rental credits (see instructions) Type Typ | 15e | |
| | f | Other credits and credit recapture (see instructions) Type ▶ | 15f | |
| | 16a | Name of country or U S possession ▶ | | |
| <u>s</u> | | Gross income from all sources | 16b | |
| Transactions | | Gross income sourced at partner level | 16c | |
| Ş | _ | Foreign gross income sourced at partnership level | \$. S.L. | |
| 38. | d | Passive ▶ e Listed categories (attach statement) ▶ f General limitation ▶ | 16f | |
| <u>.</u> | | Deductions allocated and apportioned at partner level | * | |
| | a | Interest expense ▶ h Other ▶ | 16h | |
| Foreign | 9 | Deductions allocated and apportioned at partnership level to foreign source income | 10.000 | |
| <u> </u> | i | Passive ▶ j Listed categories (attach statement) ▶ k General limitation ▶ | 16k | |
| щ | | Total foreign taxes (check one) ▶ ☐ Paid ☐ Accrued | 161 | |
| | | Reduction in taxes available for credit (attach statement) | 16m | |
| | | Other foreign tax information (attach statement) | , * * * | 4 · · · · · · · · · · · · · · · · · · · |
| ¥ | | Post-1986 depreciation adjustment | 17a | |
| Tay | | Adjusted gain or loss | 17b | · |
| | | Depletion (other than oil and gas) | 17c | |
| A ii te | d | Oil, gas, and geothermal properties—gross income | 17d | |
| Alternative Minimum Tax (AMT) Items | | Oil, gas, and geothermal properties—deductions | 17e | |
| | f | Other AMT items (attach statement) | 17f | |
| Ë | | Tax-exempt interest income | 18a | |
| atic | | Other tax-exempt income | 18b | |
| Ĕ | | Nondeductible expenses | 18c | |
| <u>.</u> | | Distributions of cash and marketable securities | 19a | |
| - - | | Distributions of other property | 19b | |
| Other Information | | Investment income | 20a | |
| ₹ | b | Investment expenses | 20b | |
| | C | Other items and amounts (attach statement) | 1 | |

| Schedule L | Balance Sheets per Books | . (No | | | | 1, is | answered "Yes | .") N/A | <u></u> |
|-----------------------|---|--------|---|---------------|---------------------------------------|----------|-----------------|---------------------|--|
| | | | Beginnin | g of ta | x year | | End o | f tax yea | г <u></u> . |
| | Assets | | (a) | | (b) | | (c) | | (d) |
| 1 Cash . | | | | | · · | | | | |
| 2a Trade notes | and accounts receivable | | | | | | | | |
| b Less allowar | nce for bad debts | . L | | | | | | | |
| 3 Inventories. | | . | 2 9 S | <u> </u> | | | | | |
| 4 U.S. govern | ment obligations | . [] | | | | | | | |
| 5 Tax-exempt | securities | | | | | | | | . ——— |
| 6 Other currer | t assets (attach statement) | . | | | | | 1 | | |
| 7 Mortgage ar | nd real estate loans | . 7 | 1966年春日春 | | | | 1.5 () *** | | |
| | ments (attach statement) | | | | | 941. | 4 | | sty - cod 100 |
| 9a Buildings an | d other depreciable assets | | | · ' <u>\$</u> | · 本 | 夢 | | - (E) (| \$ |
| b Less accum | ulated depreciation | . L | | 200 | | | | | |
| 0a Depletable a | ssets | . 上 | | × × × | ** | - 1 | | | · · · · · · · · |
| | ulated depletion | | | | ·· | | · | | |
| 1 Land (net of | any amortization) | . | | |) Mrs a dec | 1. 4 898 | | | 71 . 1667 |
| 2a Intangible as | ssets (amortizable only) | . 上 | | - 1887 | 的野""遗》 | J., 1625 | | # 57. | |
| b Less accum | ulated amortization | | | | | | | | · |
| 3 Other assets | s (attach statement) | . ; | | | | | | | |
| | · · · · · · · · · · · · · · · · · · · | | - 1961 / 112 - 12 | | | | | | |
| 1 | Liabilities and Capital | 1. | | 1 | , , , , , , , , , , , , , , , , , , , | ,,,,, | il water | | <u> </u> |
| 5 Accounts pa | yable | | | | | | | | |
| - | otes, bonds payable in less than 1 year | | ~~ 液心瘤 | | | | | | |
| | t liabilities (attach statement) | 1 ' | * | <u></u> . | | | | | |
| 8 All nonrecou | rse loans | · 1 | 一种 香油 | | | | [影 : 李 · 第 · 第 | | |
| 9 Mortgages, n | otes, bonds payable in 1 year or more | . | | | | | | | ······································ |
| | es (attach statement) | | | | | | | | |
| 1 Partners' ca | pital accounts | . 57 | 40.4 | | | | | | |
| 2 Total liabiliti | es and capital | | | | | | 1 | | |

| | 1 8865 (2005) | | | Page 6 |
|-----------------------|---|---|--|---|
| Sc | hedule M Balance Sheets for Interest Allocat | ion | N/A - CATEGORY 3 FILE | R |
| | | | (a) Beginning of tax year | (b) End of tax year |
| 1 2 a b c | Listed categories (attach statement) | | | |
| Sc | hedule M-1 Reconciliation of Income (Loss) per E 1, is answered "Yes.") | Books With Inc | ome (Loss) per Return. (N N/A - CATEGORY 3 FILE | ot required if Item G9, page R |
| | Net income (loss) per books Income included on Schedule K, lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, and 11 not recorded on books this year (itemize). Guaranteed payments (other than health insurance) Expenses recorded on books this year not included on Schedule K, lines 1 through 13d, and 16l (itemize): Depreciation \$ Travel and entertainment | year a fines a Tax-e 7 Dedu K, line charg year (a Depre | ne recorded on books this not included on Schedule K. 1 through 11 (itemize): exempt interest \$ | |
| | Add lines 1 through 4 | from | line 5 | |
| Sc | hedule M-2 Analysis of Partners' Capital Acco | | | 1, is answered "Yes.") N/A - CATEGORY 3 FILE |
| 3 | Balance at beginning of year . Capital contributed: a Cash b Property Net income (loss) per books | | butions: a Cash | CATEGORT 3 PILE |
| 4 5 | Other increases (itemize): Add lines 1 through 4 | 9 Balan | ines 6 and 7 | |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

Important: Complete a separate Form 8865 and Schedule N for each controlled foreign partnership. Enter the totals for each type of ansaction that occurred between the foreign partnership and the persons listed in columns (a) through (d) (b) Any domestic (c) Any other foreign (d) Any US person with a corporation or partnership controlling or controlled Transactions corporation or partnership controlling or controlled 10% or more direct interest in the controlled foreign (a) US person filing this return by the US person filing this return partnership (other than the US person filing this return) foreign partnership by the U S person filing this return 1 Sales of inventory Sales of property rights (patents, trademarks, etc.) 3 Compensation received for technical, managerial, engineering, construction, or like services 4 Commissions received ... Rents, royalties, and license fees received Distributions received . . . Interest received Add lines 1 through 8 ... 10 Purchases of inventory . . 11 Purchases of tangible property other than inventory 12 Purchases of property rights (patents, trademarks, etc) 13 Compensation paid for technical, managerial, engineering, construction, or like services 14 Commissions paid Rents, royalties, and license fees paid 16 Distributions paid **17** Interest paid 19 Add lines 10 through 18. 20 Amounts borrowed (enter the maximum loan balance during the year) -see instructions 21 Amounts loaned (enter the maximum loan balance during the year)-see

instructions

SCHEDULE O (Form 8865)

Transfer of Property to a Foreign Partnership

(under section 6038B)

Filer's Identifying number

2005

OMB No 1545-1668

Department of the Treasury ternal Revenue Service ame of transferor

▶ Attach to Form 8865. See Instructions for Form 8865.

| | LLER FOUNDA | ATION | | | | | | 13-16 | 59629 | |
|--|---------------------------------------|---------------------------------|---|----------|---|---------------------------------------|--|-------|---|---|
| Name of foreign par | • | NTC LD | | | | | | | | |
| | BAL INVESTME ansfers Reporta | | ection 6038B | _ | | | - | | | |
| Type of property | (a) Date of transfer | (b) Number of Items transferred | (c) Fair market value on date of transfer | Cı | (d) ost or othe basis | r | (e) Section 704(c) allocation method | | (f) Gain ecognized on transfer | (g) Percentage interest in partnership after transfer |
| Cash | VARIOUS | ♦ ♦ • | 968,730 |) 🙀 🤞 | | · · · · · · · · · · · · · · · · · · · | 1 ": " | | · 李 字 : | 0.247770 |
| Marketable securities | | | | | | | | | | |
| inventory | | | | | | | | | | |
| Tangible property used in trade or business | | | | | | | | | | |
| Intangible property | | | | | | - | | | | |
| Other property | | | | | | | | | | |
| Supplemental I | Information Re | quired To Be | Reported (see in | ıstructi | ons): | | | | | 1 |
| Part II Dis | positions Repo | ortable Under | Section 6038B | | | | | | | |
| (a) Type of property | (b) Date of onginal transfer | (c) Date of disposition | (d) Manner of disposition | rec p | (e) Gain cognized be partnership | у | (f) Depreciation recapture recognized by partnership | G | (g) Sain allocated to partner | (h) Depreciation recapture allocated to partner |
| N/A | | | | | | | | _ | | |
| Part III Is a | any transfer repo | orted on this s | chedule subject | to gair | recogni | tion | under sectio | n 904 | 4(f)(3) or □ | Yes 🛛 No |

Form **8865**

Return of U.S. Persons With Respect to **Certain Foreign Partnerships**

▶ Attach to your tax return. See separate instructions.

Information furnished for the foreign partnership's tax year ning 01/01 , 2005, and ending 12/31

OMB No 1545-1668

| partment of the | | | In beginni | formation furnishe ng 01/01 | | foreign p and end | | p's tax 12/31 | | 20 05 | Attachr Sequer | nent nce No 118 |
|---|---|--------------------------------|---------------|---|---------------|----------------------|-------------|------------------|------------------|-------------------------------|---------------------------------------|--|
| Name of pers | _ | | _ <u>_</u> | | | | Filer's ide | | number | | · · · · · · · · · · · · · · · · · · · | |
| | | R FOUNDATI | | rotum) | A Catago | | 13-1659 | | Uarr in th | | l abook applicat | de hay(es)) |
| 420 FIFTH | | | i youi tax | returny | 1 [| _ | see Callego | 3 🔯 | | e instructions and | і спеск арріісат | ne box(es)) |
| NEW YOR | K, NY 10 | 018 | | | B Filer's | tax year b | eginning _ | 01/01 | | 05 , and end | ling 12/31 | . 20 05 |
| C Filer's | share of | abilities. Nonre | course \$ | NON | E Qualifie | d nonrec | ourse fir | nancing | \$ | NONE | Other \$ | NONE |
| | | ber of a consolid | lated gr | oup but not the pa | arent, ente | er the fol | | | | ut the parent. | | |
| Name Addre | ss N/A | | | | | | | EIN N/ | 4 | | - | |
| | | | _ | | | | | | | | | |
| E Inform | E Information about certain other partners (see instructions) | | | | | | | | | | | |
| | (1) Name (2) Ad | | | | ss | | (3) Ident | ifying nu | mber | (4) Chec | k applicable to Category 2 | |
| N/A | | | | | | | | | | Category | Odicgory 2 | CONSTRUCTION OF THE PROPERTY O |
| | | | | | | | | | | | | |
| F1 Name | and addr | ess of foreign pa | adnorch | | | | l | | | 2 EIN (if any | | 1 |
| | | . CHINA I, L.P. | | ih | | | | | | 20-351401 | | |
| | | OAD, BUILDIN | IG 4, S | UITE 180 | | | | | | 3 Country u | nder whose I | aws organized |
| MENLO PA | | | | | | - 5 | | | a - E - | CAYMAN I | | |
| 4 Date o | | 5 Principal plants of business | | 6 Principal busing activity code if | | | | | nctional currer | • • • | change rate ee instr) | |
| 09/23/2005 | 5 | MENLO PARI | K, CA | 525990 | | VENTU | RE CAPIT | AL | US D | OLLAR | | N/A |
| | | | | foreign partnersh | | | | | | | | |
| | , address, I States | and identifying | number | of agent (if any) in | n the | 1 | neck if th | - | | ership must fi orm 8804 | | 065 or 1065-B |
| 3000 SANI | HILL R | OAD, BUILDIN | IG 4, S | UITE 180 | | - 1 | | | | 065 or 1065-B i | | |
| MENLO PA | | | | | <u>-</u> | | LADELF | | | | | |
| | and addro zation, if a | | artnersh | p's agent in count | try of | re | cords of | the fore | eign pai | rson(s) with curtnership, and | the location | of such books |
| CODAN TR | RUST CC | MPANY (CAY | | | | ar | nd record | s, if diff | erent | SEQUOIA C | APITAL CH | IINA I, L.P. |
| | | | | P.O. BOX 2681 G | | | | | | BUILDING 4 | I, SUITE 18 | 30 |
| GEORGE | TOWN, G | RAND CAYM | AN, CA | YMAN ISLANDS | <u> </u> | MEI | NLO PA | RK, CA | 9402 | <u> </u> | | |
| | • • | | • | ne foreign partners | • | | | | | · · | | Yes 🛛 No |
| | | return (see instr | | nation Return of U | S. Persor | 15 VVIII F | kespect i | | ign Disi | egardeo ⊑nuu | | A - CATEGORY 3 FILER |
| | | • | | the law of the cou | antry in wh | nich it is | organize | d? | . • | PARTNE | | |
| | | | | nits within the me | _ | Regulatio | ns sectio | n 1.150 | 3-2(c)(3 | 3) or (4)? | | Yes No |
| | | - | | following requireme tax year were le | | 250 000 : | and | | | | N/A - CA | TEGORY 3 FILER |
| • The | value of t | | total a | ssets at the end of | | | | n \$600,0 | 000. | } | | Yes No TEGORY 3 FILER |
| Sign Here Only If You Are Filing This Form Separately | knowledg | e and belief, it is | true, con | e that I have examinated and complete eparer has any knowledge. | Declaration | | | | | | | |
| and Not With Your Tax | | pun 1 | -CM | 7- | | | | |) – | 11/14/06 | | |
| Return Paid Preparer | | | irtner or | imited liability compa | iny membe | r Da | ite . | | 7 D: | ate | Preparer's | SSN or PTIN |
| Sign and | Preparer' signature | | ree | Min | | 1 | "i /14/ | 06 | Check self-en | ıf nployed ▶ 🔲 | | 610 6066 |
| ly if Form Filed | Firm's na | elf-employed). | | ITTE TAX LLP | | | | | | | 65772 | |
| Separately. | address, | and ZIP code | 2 JEF | RICHO PLAZA, J | <u>ERICHO</u> | , <u>NY 11</u> | 753 | | | Phone no (5 | <u>16) 918-70</u> (| 00 |

| Schedule A |
|------------|
|------------|

Constructive Ownership of Partnership Interest. Check the boxes that apply to the filer. If you check box b, enter the name, address, and U.S. taxpayer identifying number (if any) of the person(s) whose interest you constructively own. See instructions.

| | a 🗓 Owns a direct | interest | b Owns a constructive | e interest | |
|--|---|--|--------------------------|----------------------------|-------------------------|
| | Name | Address | Identifying number (if a | any) Chec forei pers | gn direct |
| _ | | | | | |
| | | | | | |
| Sc | chedule A-1 Certain Partners o | Foreign Partnership (see instruc | tions) | | |
| | Name | Address | Identifying numb | er (if any) | Check if foreign person |
| | A - CATEGORY 3 FILER that only | | | | |
| | nsferred cash and did not own a 10% | | | | |
| | greater interest in the transferee | | | . <u>-</u> . | |
| par | rtnership after the transfer. | | | | |
| Do | es the partnership have any other fore | nn nerson as a direct nartner? | <u> </u> | ☐ Yes | □ No |
| | | E. List all partnerships (foreign or | | | |
| | | st or indirectly owns a 10% interes | | J | |
| | Name | Address | EIN (if any) | Total ordina income or l | ' i toreian |
| NO | NE | | | | |
| | | | _ | | |
| | | | | | |
| | | | | | |
| | chedule B Income Statement- | Trade or Business Income | N/A - CATEGORY 3 | FILER | |
| | ution. Include only trade or business inc | | | | e information. |
| lucome | 3 Gross profit. Subtract line 2 from 4 Ordinary income (loss) from other 5 Net farm profit (loss) (attach Sch 6 Net gain (loss) from Form 4797, 7 Other income (loss) (attach state | | statement) | 1c 2 3 4 5 6 7 8 | |
| | 9 Salaries and wages (other than t | partners) (less employment credits). | | 9 | |
| ĝ | 10 Guaranteed payments to partner | s | | 10 | |
| atou | 11 Repairs and maintenance | | | 11 | |
| Ĕ | 12 Bad debts | | | 12 | |
| Š | 13 Rent | | | 14 | |
| 퉏 | 14 Taxes and licenses | | | 15 | |
| TŞ. | 15 Interest | | | | |
| 8 | h Less depreciation reported elsev | here on return | | 16c | |
| LCTIONS (see instructions for limitations) | 17 Depletion (Do not deduct oil and | gas depletion.) | <u>L</u> ., | 17 | |
| <u>5</u> | 18 Retirement plans, etc | | | 18 | |
| ष्ट | 19 Employee benefit programs | | | 19 | |
| | | nt) | | 20 | |
| | | shown in the far right column for lines 9 th | 1 | 21 | |
| | 22 Ordinary business income (loss) | from trade or business activities. Subtrac | et line 21 from line 8 | 22 | |

| Sc | nedule D Capital Gains a | nd Losses | N/A - CATEGORY | 3 FILER | | | |
|-----|---|--------------------------------------|-------------------------------------|---------------------------------------|---------------------------------------|----|---|
| Pa | rt I Short-Term Capital G | ains and Losses | Assets Held Or | ne Year or Less | ; | | |
| | (a) Description of property (e.g., 100 shares of "Z" Co.) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or other (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 1 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 2 | Short-term capital gain from ins | tallment sales from | Form 6252, line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) fro | m like-kind exchan | ges from Form 882 | 4 | | 3 | |
| 4 | Partnership's share of net short-t gains (losses), from other partners | | | | | 4 | |
| 5 | Net short-term capital gain or Form 8865, Schedule K, line 8 | (loss). Combine lin | es 1 through 4 in c | olumn (f). Enter h | nere and on | 5 | |
| Pai | t II Long-Term Capital Ga | ins and Losses- | -Assets Held Mo | re Than One Y | 'ear | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or other (see instructio | | (f) Gain or (loss) Subtract (e) from (d) |
| 6 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | <u></u> | | 7 | |
| 7 | Long-term capital gain from inst | | | | | | |
| 8 | Long-term capital gain (loss) fro | m like-kind exchang | ges from Form 8824 | | | 8 | |
| 9 | Partnership's share of net long-to- gains (losses), from other partner | | | | | 9 | |
| 10 | Capital gain distributions | | | | | 10 | |
| 11 | Net long-term capital gain or Form 8865, Schedule K, line 9a | | | | | 11 | |

| 1 Ordinary business income (loss) (age 2. Line 22) 2 Net rental real estate income (loss) (affach Form 8825) 3 Other gross rental income (loss) (affach Form 8825) 3 Other gross rental income (loss) (affach stefament) 3 Despenses from other rental activities (affach stefament) 3 Despenses from other rental activities (affach stefament) 3 Despenses from other rental activities (affach stefament) 3 Despenses from other rental activities (affach stefament) 3 Despenses from other rental activities (affach stefament) 4 Despenses from other rental activities (affach stefament) 5 Despenses from other rental activities (affach stefament) 5 Despenses | Sched | lule | K Partners' Distributive Share Items N/A - CATEGORY 3 FILER | | Total amount |
|--|---------------|------|---|--------------|---|
| 2 Net rental real estate income (loss) (attach Form 8825) 3a Dither gross rental income (loss) (attach statement) c Other net rental income (loss). Subtract line 3b from line 3a 4 4 4 4 4 4 4 4 4 4 4 4 4 5 6 6 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 | | 1 | | 1 | |
| 3a Other gross rental income (loss) 3a 3b | | | | 2 | |
| Description Section 19(e) | _ | | 3- | |
| Cother net rental income (loss). Subtract line 3b from line 3s 3c | • | | |] | |
| 4 Guaranteed payments 5 5 5 5 5 5 5 5 5 | | | | 3с | |
| Section 1996 Section 1997 Sec | (S | | · | 4 | |
| Section 1996 Section 1997 Sec | S | 1 | | 5 | |
| Section 1996 Section 1997 Sec | Ĵ | l - | | 6a | |
| Section 1996 Section 1997 Sec | πe | " | · · · · · · · · · · · · · · · · · · · | | |
| Section 1996 Section 1997 Sec | Ŏ | 7 | | 7 | |
| 9a Net long-term capital gain (loss) b Collectibles (28%) gain (loss) c Unrecaptured section 1250 gain (attach statement) 10 Net section 1231 gain (loss) (attach Form 4797) 11 Other income (loss) (see instructions) Type ▶ 11 1 | Ĕ | l _ | • | 8 | |
| b Collectibles (28%) gain (loss) c Unrecaptured section 1250 gain (attach statement) 10 Net section 1231 gain (loss) (attach Form 4797) 11 Other income (loss) (see instructions) Type ▶ 11 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | | l | | | |
| C Unrecaptured section 1250 gain (attach statement) 9c 10 10 10 10 10 10 10 1 | | | | | |
| 10 | | L | Concentibles (20%) gain (1035) | | |
| 11 Other income (loss) (see instructions) Type 11 12 13 13 13 13 13 13 | | | - · · · · · · · · · · · · · · · · · · · | 10 | |
| 12 Section 179 deduction (attach Form 4562) 13a | | Other income (loss) (see instructions) Type > | _ | |
| 13a Contributions 13a 13b 13 | | 12 | | 12 | |
| 14a Net earnings (loss) from self-employment 14a 14b 14c 14b 14c | <u> </u> | | | | |
| 14a Net earnings (loss) from self-employment 14a 14b 14c 14b 14c | 달 | 1 | | - | |
| 14a Net earnings (loss) from self-employment 14a 14b 14c 14b 14c | ਰੂ | | | | |
| 14a Net earnings (loss) from self-employment 14a 14b 14b 14b 14b 14c | ۵ | ď | Other deductions (see instructions) Type > | | |
| 15a 15a 15b 15b 15b 15b 15b 15c 15b 15c | | | - | |
| 15a 15a 15b 15b 15b 15b 15b 15c 15b 15c 두윤두 | | | - | |
| 15a 15a 15b 15b 15b 15b 15b 15c 15b 15c SE E | | | - | |
| b Low-income housing credit (other) c Qualified rehabilitation expenditures (rental real estate) (attach Form 3468) d Other rental real estate credits (see instructions) Type e Other rental credits (see instructions) Type f Other credits and credit recapture (see instructions) Type f Other credits and credit recapture (see instructions) Type 156 16a Name of country or U S possession b Gross income from all sources c Gross income sourced at partner level Foreign gross income sourced at partnership level d Passive e Listed categories (attach statement) Deductions allocated and apportioned at partner level i Passive Deductions allocated and apportioned at partnership level to foreign source income i Passive i Passive J Listed categones (attach statement) k General limitation 16k Total foreign taxes (check one) I Total foreign taxes (check one) Reduction in taxes available for credit (attach statement) n Other foreign tax information (attach statement) Total foreign tax information (attach statement) o Depletion (other than oil and gas) d Oil, gas, and geothermal properties—gross income e Oil, gas, and geothermal properties—deductions f Other AMT items (attach statement) 17e f Other AMT items (attach statement) 17f Total | | l | | 15a | |
| 16a Name of country or U S possession 16b 16c | ∞ . ೬ | 1 | | 15b | |
| 16a Name of country or U S possession 16b 16c | _£ <u>£</u> £ | | | 15c | |
| 16a Name of country or U S possession 16b 16c | S S S | ı | | 15d | |
| 16a Name of country or U S possession | ~ 5°% | _ | Other rental gradita (and instructions) | 15e | |
| 16a Name of country or U S possession | | f | Other credits and credit recapture (see instructions) Type ▶ | | |
| g Interest expense ▶h Other | | 16a | Name of country or U S possession ▶ | | |
| g Interest expense ▶h Other | ПS | b | Gross income from all sources | 16b | |
| g Interest expense ▶h Other | Ę | c | Gross income sourced at partner level | | |
| g Interest expense ▶h Other | ac | | Foreign gross income sourced at partnership level | | |
| g Interest expense ▶h Other | Su | ď | Passive ▶ e Listed categories (attach statement) ▶ f General limitation ▶ | | |
| g Interest expense ▶h Other | <u>ra</u> | | Deductions allocated and apportioned at partner level | | |
| m Reduction in taxes available for credit (attach statement) n Other foreign tax information (attach statement) 17a Post-1986 depreciation adjustment b Adjusted gain or loss c Depletion (other than oil and gas) d Oil, gas, and geothermal properties—gross income e Oil, gas, and geothermal properties—deductions f Other AMT items (attach statement) 16m 17a 17a 17a 17b 17c 17d 17c | | g | Interest expense • h Other | 16h | |
| m Reduction in taxes available for credit (attach statement) n Other foreign tax information (attach statement) 17a Post-1986 depreciation adjustment b Adjusted gain or loss c Depletion (other than oil and gas) d Oil, gas, and geothermal properties—gross income e Oil, gas, and geothermal properties—deductions f Other AMT items (attach statement) 16m 17a 17a 17a 17b 17c 17d 17c | eig | } | ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' ' | | |
| m Reduction in taxes available for credit (attach statement) n Other foreign tax information (attach statement) 17a Post-1986 depreciation adjustment b Adjusted gain or loss c Depletion (other than oil and gas) d Oil, gas, and geothermal properties—gross income e Oil, gas, and geothermal properties—deductions f Other AMT items (attach statement) 16m 17a 17a 17a 17b 17c 17d 17c | ةِ | | | | |
| n Other foreign tax information (attach statement) 17a Post-1986 depreciation adjustment b Adjusted gain or loss c Depletion (other than oil and gas) d Oil, gas, and geothermal properties—gross income e Oil, gas, and geothermal properties—deductions f Other AMT items (attach statement) 17a 17b 17c 17d 17d 17f | ш. | 1 | · · · · · · · · · · · · · · · · · · · | | |
| 17a Post-1986 depreciation adjustment | | I | · · · · · · · · · · · · · · · · · · · | 16m | , |
| b Adjusted gain or loss c Depletion (other than oil and gas) d Oil, gas, and geothermal properties—gross income e Oil, gas, and geothermal properties—deductions f Other AMT items (attach statement) 17b 17c 17d 17d 17d | | | | 1 | • |
| 1 Other Ain't items (attach statement) | 2 × 2 | | · · · · · · · · · · · · · · · · · · · | H | |
| 1 Other Ain't items (attach statement) | er Ti | | | - | |
| 1 Other Ain't items (attach statement) | E E | • | | | |
| 1 Other Ain't items (attach statement) | 돌글돌 | | | — | |
| | 4 ≅ 3 | 1 | | | |
| b Other tax-exempt income c Nondeductible expenses 19a Distributions of cash and marketable securities b Distributions of other property 20a Investment income b Investment expenses 20a 20b | | | | + | |
| c Nondeductible expenses 19a Distributions of cash and marketable securities b Distributions of other property 20a Investment income b Investment expenses 20b | Ö | | · | | |
| 19a Distributions of cash and marketable securities | lat | | | _ | |
| b Distributions of other property 20a Investment income b Investment expenses | Ĕ | | · | | |
| 20a Investment income | F F | | | | · |
| b Investment expenses | ther In | | | | |
| A I - mountain expenses in it. | | | | - | |
| c Other items and amounts (attach statement) | δ | | | | |

| Schedule L Balance Sheets p | er Books. (Not required i | | | |
|--|--|---------------------------------------|---|-------------------------|
| | | ning of tax year | | of tax year |
| Assets | (a) | (b) | (c) | (d) |
| 1 Cash | | 3 | | |
| 2a Trade notes and accounts receivable | e | | 110 | 7 1 |
| b Less allowance for bad debts | | | | |
| 3 Inventories | | ·' ˈ <u> </u> | | |
| 4 U.S. government obligations | | iii . | | |
| 5 Tax-exempt securities | | | | |
| 6 Other current assets (attach stateme | nt) | ~ : | | |
| 7 Mortgage and real estate loans | The state of the s | 4 | The state of | ` |
| 8 Other investments (attach statement) | | 5. | <u> </u> | |
| 9a Buildings and other depreciable asse | ets | 11 5 3 | | |
| b Less accumulated depreciation | | | | |
| 0a Depletable assets | | <u> </u> | <u></u> | The same of the same of |
| b Less accumulated depletion | | | 10 mm | |
| 1 Land (net of any amortization) | | | | |
| 2a Intangible assets (amortizable only) | | it the Maritini | | to the charge of |
| b Less accumulated amortization | | | the state of the Control of the Control | |
| 3 Other assets (attach statement) | · · · · · · · · · · · · · · · · · · · | · · · · · · · · · · · · · · · · · · · | | |
| 4 Total assets | | · | | ¥ |
| Liabilities and Capital | | | | <u> </u> |
| 5 Accounts payable | | ¥ | |] |
| 6 Mortgages, notes, bonds payable in less | sthan 1 year. 🗀 🗫 🐗 🏂 🦠 | : [| | |
| 7 Other current liabilities (attach statem | nent) | \$ | | <u></u> |
| 8 All nonrecourse loans | | ,*) | — [| |
| 9 Mortgages, notes, bonds payable in 1 y | ear or more . | ø | | ! |
| O Other liabilities (attach statement) | Land All Miles | ' 1 | - Sharp for | |
| 1 Partners' capital accounts | | | | 7 |
| 2 Total liabilities and capital | mr: 1961 1/2 - | ₩ | · 如 · · · · · · · · · · · · · · · · · · | * |

| | n 8865 (2005) | | | | | | Page | <u>, 6</u> |
|--------|--|--|-------------------------|-------|--|--|----------------------------------|-------------------|
| So | hedule M E | Balance Sheets | for Interest Allocation | | | N/A - CATEGORY 3 FILE | R | |
| | . | | | | | (a) Beginning of tax year | (b) End of tax year | _ |
| 1 | | | | | | A SECTION OF THE PROPERTY OF T | | |
| 2 | Total foreign a | | | | | | | لـــ |
| a b | Passive income | e category | | | • • • • | | | — |
| _ | : General limitati | ies (<i>allach staleme</i> ion income catego | nt) | | | | | _ |
| Sc | hedule M-1 | Reconciliation of 1, is answered "Y | Income (Loss) per Boo | ks W | ith Inco | me (Loss) per Return. (N N/A - CATEGORY 3 FILE | ot required if Item G9, pag R | je |
| b | Income include lines 1, 2, 3c, 5 and 11 not recthis year (items Guaranteed puthan health instance) Expenses recothis year not the line includes the line inc | ertainment | | 7 | year not lines 1 Tax-ex Deduct K, lines charge year (it Deprec | e recorded on books this of included on Schedule K, through 11 (itemize): tempt interest \$ | | |
| | | | ners' Canital Accoun | fe /l | Vot rea | ne 5 | 1 is answered "Yes ") N | J/ Δ _ |
| | Balance at beg | inning of year . | uieis Capital Accoun | 6 | | utions: a Cash | CATEGORY 3 | |
| | Capital contribu | | | | 0.11 | b Property | | |
| 3 4 | b Net income (los | Cash Property ss) per books (itemize): | | 7 | | decreases (itemize): | | _ |
| | | | | 8 | | es 6 and 7 | | |
| 5 | Add lines 1 thro | ough 4 | | 9 | Balanc line 8 f | e at end of year. Subtract rom line 5 | | |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

Important: Complete a separate Form 8865 and Schedule N for each controlled foreign partnership. Enter the totals for each type of transaction that occurred between the foreign partnership and the persons listed in columns (a) through (d)

| | Transactions of foreign partnership | (a) U S person filing this return | (b) Any domestic corporation or partnership controlling or controlled by the U S person filing this return | (c) Any other foreign corporation or partnership controlling or controlled by the U S person filing this return | (d) Any U S person with a 10% or more direct interest in the controlled foreign partnership (other than the U S person filing this return) |
|----------|--|--------------------------------------|--|---|--|
| 1 2 | Sales of inventory Sales of property rights (patents, trademarks, etc.) | | | | |
| 3 | Compensation received for technical, managerial, engineering, construction, or like services | | | | |
| 4 5 | Commissions received Rents, royalties, and license fees received | | | | |
| 6 7 | Distributions received | | | | |
| 8 | Other | | | | |
| 9 | Add lines 1 through 8 | | | | |
| 10 | Purchases of inventory . | | | | |
| 11 | Purchases of tangible property other than inventory | | | | |
| 12 | | | | | |
| 13 | Compensation paid for technical, managerial, engineering, construction, or like services | | | | |
| 14 15 | Commissions paid Rents, royalties, and | | | | |
| | license fees paid | | | | |
| | Distributions paid Interest paid | | | | |
| 18 | Other | | | | <u> </u> |
| 19 | Add lines 10 through 18. | | | | |
| | Amounts borrowed (enter the maximum loan balance during the year) —see instructions | | | | |
| 21 | Amounts loaned (enter the maximum loan balance during the year)—see instructions | | | | |

SCHEDULE O (Form 8865)

Transfer of Property to a Foreign Partnership

(under section 6038B)

Schedule O (Form 8865) 2005

Department of the Treasury Internal Revenue Service

▶ Attach to Form 8865. See Instructions for Form 8865.

2005

OMB No 1545-1668

| Name of transfer | ror | | | | | Filer's identifying nu | mber |
|---|--|--|---|---|--|---|---|
| THE ROCKE | FELLER FOUNDA | TION | | | | <u>13-1659629</u> | <u> </u> |
| Name of foreign | • | _ | | | | | |
| | <u>APITAL CHINA I, L.</u> | <u>P.</u> | · · · · · · · · · · · · · · · · · · · | | | | |
| Part I | Transfers Reporta | ble Under Se | ection 6038B | | | | |
| Type of property | (a) Date of transfer | (b) Number of Items transferred | (c) Fair market value on date of transfer | Fair market value on date of transfer value | | (g) Percentage interest in partnership after transfer | |
| Cash | VARIOUS | 多多沙。 | 360,000 | · 基本等 | · 1/2 . ** | | 2.373889 |
| Marketable securities | | | | | | | |
| Inventory | | | | | | | |
| Tangible property used in trade or business | | | | | | | |
| Intangible property | | | | | | | |
| Other property | | | | | | | |
| Supplement | al Information Rec | uired To Be | Reported (see in | structions): | | 1 | |
| Part II | Dispositions Repo | rtable Under | Section 6038B | | | | |
| (a) Type of property | (b) Date of original transfer | (c) Date of disposition | (d) Manner of disposition | (e) Gain recognized by partnership | (f) Depreciation recapture recognized by partnership | (g) Gain allocated to partner | (h) Depreciation recapture allocated to partner |
| N/A | | | | | | | |
| Part III | Is any transfer repo section 904(f)(5)(F) | rted on this s | schedule subject | to gain recognition | under section | on 904(f)(3) or | Yes 🗓 No |

For Paperwork Reduction Act Notice, see the Instructions for Form 8865.

Form **8865**

Return of U.S. Persons With Respect to **Certain Foreign Partnerships**

▶ Attach to your tax return. See separate instructions. Information furnished for the foreign partnership's tax year ning 01/01 , 2005, and ending 12/31

Attachment Sequence No 118

| partment of the | | | ln beginnı | formation furnishe | | foreign p and end | | p's tax 12/31 | | 20 05 | - | Attachm Sequence | ent æ No | 118 |
|---|----------------------|--------------------------------|---|---|---------------|----------------------|--|------------------------|--|------------------------------|--------------|---------------------|------------------|-------------|
| Name of pers | - | | ON. | | | | Filer's Ide | | numbe | Г | | | | |
| | | R FOUNDATI | | return) | A Catego | | 13-1659 see Catego | | ilers in th | ne instructions and | check | applicable | box(es | |
| 420 FIFTH | | - | | , | 1 [| | | 3 [∑ | | 4 🔲 | | appoos | | ''' |
| NEW YOR | K, NY 10 | 018 | | | B Filer's | tax year b | eginning _ | 01/01 | | 05 , and end | ling _ | 12/31 | , 20 | 05 |
| C Filer's | share of | liabilities Nonre | course \$ | NON | E Qualifie | d nonrec | ourse fin | ancing | \$ | NONE | Other | \$ | | NONE |
| | | ber of a consolic | lated gr | oup but not the pa | arent, ent | er the fol | $\overline{}$ | | | ut the parent | | | | |
| Name | N/A ss N/A | | | | | | E | EIN N/ | Α | | | | | |
| Addie | 39 N/A | | | | | | | | | | | | | |
| E Inform | nation abo | ut certain other | partners | (see instructions) | | | | | | - | | | | |
| | (1) Name (2) Address | | | | | | (3) Identi | fvina nu | mber | (4) Chec | k appli | cable bo | x(es) | |
| N1/A | (,, | | | (=) / local ex | | | (0).00 | .,g | | Category 1 | Cate | gory 2 | Construc | tive owner |
| N/A | 4 | | | | | | | | . <u>-</u> - | <u> </u> | ļ | | | |
| | | | | | | | | | | | | | | |
| | | ess of foreign pa | artnersh | ib | | | <u> </u> | | | 2 EIN (if any 04-359852 | | | <u> </u> | |
| | | E, 41ST FLOO | R | | | | | | | 3 Country u | nder w | vhose la | ws org | anızed |
| NEW YOR | | | | | | 1 | | | - - | CAYMANI | | | | |
| 4 Date o | | 5 Principal pl of business | | 6 Principal busing activity code in | | 7 Princ | cipal busin rity | ess | 8a Fi | ınctional curren | icy | 8b Exc | hange e instr | |
| 12/12/2001 | | CAYMAN ISL | ANDS | 523900 | | INVES | TMENT | | USD | | Ì | • | | N/A |
| | | | | foreign partnersh | | ear | | | <u>. </u> | | | | | |
| 1 Name, | , address, | and identifying ESTAR CAPIT | number | of agent (if any) ii | n the | | | _ | | nership must fi | | | | |
| | | E, 41ST FLOOI | | KINEKS | | | Form 1 | | | orm 8804 065 or 1065-B ii | | orm 10 | ob or | 1065-B |
| NEW YOR | | | • | | | | LADELP | | | | | | | |
| 3 Name | and addre | ess of foreign pa | artnershi | p's agent in count | try of | 4 N | ame and | addres | s of pe | rson(s) with cu | | | | |
| organi N/A | zation, if a | any | | | | re | cords of the cords | the fore s. if diff | eign pa ferent | rtnership, and | the lo | cation o | of sucl | n books |
| IN/A | | | | | | | | | | IN/A | | | | |
| | | | | | | | | | | | | | | |
| 5 Were | anv snecia | al allocations ma | de by th | ne foreign partners | shin? | | | | | | | П, | /es [| X No |
| | - | | | nation Return of U | • | | | | | regarded Entiti | es, | | | До |
| attache | ed to this | return (see instr | uctions). | | | | | | | | | | NE_ | |
| | - | = | | the law of the cou | - | | - | | | PARTNER | <u>RSHIF</u> | | | |
| | | | | nits within the me following requirem | _ | Regulatio | ns section | 1 1 150 |)3-2(c)(; | | . P | | | _ No |
| | • | • | | e tax year were le | | 250.000 | and | | | N/A - CA | IEGC | PRY 3 I | ILER | |
| • The | value of t | | total as | ssets at the end of | | | | \$600, | 000 | N/A - CAT | FEGO | | res [ILER | |
| Sign Here Only if You Are Filing This Form Separately | knowledg | e and belief, it is | true, cor | e that I have examil rect, and complete eparer has any know | Declaration | | | | | | | | | |
| and Not With Your Tax | | um_b | 1000 00 100 100 100 100 100 100 100 100 | united liability and | | | | | <u> </u> | 14706 | | | | |
| Paid Preparer | Preparer' | 1 | uner or I | intited liability compa | illy membe | r Da | te | | | ate | Pre | parer's S | SN or I | PTIN |
| Sign and | signature | | ene . | e Kean | | | 1/14/0 | 56 | Check self-en | nployed ▶ □ | 1 ' | 56. | | _ |
| y If Form | Firm's na | me (or elf-employed), | DELO | | | | | | | EIN ► 86-10 | | | | |
| Separately. | | and ZIP code | 2 JER | ICHO PLAZA. J | ERICHO | NY 11 | 753 | | | Phone no (5° | 16) 91 | 18-700 | 0 | |

| | _ | | hip of Partnership Interest. | | | | | |
|---|----------|---|---|---------|--|------------|-------------------------|-------------------------|
| | | person(s) whose interes | the name, address, and U.S est you constructively own. S | ee ins | tructions. | | • | y) of the |
|) | | a 🗓 Owns a direct inte | erest | b | Owns a construct | ive inte | | |
| | | Name | Address | | Identifying number (if | any) | Check if foreign person | Check if direct partner |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| Sc | hed | ule A-1 Certain Partners of F | oreign Partnership (see inst | ruction | าร) | | | |
| | | Name | Address | | Identifying num | ber (ıf | any) | Check if foreign person |
| | | ATEGORY 3 FILER that only | | | | | | |
| | | red cash and did not own a 10% | | | | | | |
| | | er interest in the transferee | | -+ | | | | - |
| par | iners | hip after the transfer. | | | | | | |
| Do | as the | e partnership have any other foreign | nerson as a direct narmer? | | | □ Y | es | □ No |
| | | | List all partnerships (foreign | | | <u> </u> | | |
| | | | or indirectly owns a 10% inte | | | | 0.0.g., pc | |
| | | N | Address | | EIN | Tota | al ordinary | Check if |
| | | Name | Address | | (if any) | ıncoı | me or loss | foreign partnership |
| SEI | E ST/ | ATEMENT #1 | | | | | | _ |
| | | | | | · · · · · · · · · · · · · · · · · · · | | | |
| | | | | | | | | |
| | - | | | | · · · - · · · - · · · · · · · · · · | | | |
| 8 | hed | ule B Income Statement—1 | Trade or Business Income | | N/A - CATEGORY 3 | FILE | 2 | l |
| | | . Include only trade or business income | | | | | | formation |
| | T | . menade emy adde or basiness meem | o and expended on mice he among | | 0.011 0.00 1.10 1.10 1.10 | 1 | | 0111100011 |
| | 1a | Gross receipts or sales | | 1a | | 1. 深 | | |
| | 1 | Less returns and allowances | | 1b | | 1c | | |
| | | | | | | 2 | | |
| E | 3 | Gross profit. Subtract line 2 from lin | | | | 3 | | |
| Incor | 4 | Ordinary income (loss) from other par | • | | - | 4 | | |
| 드 | 5 | Net farm profit (loss) (attach Schede | , ,, | | | 5 | | |
| | 6 | Net gain (loss) from Form 4797, Pa | • | | | 6 7 | | |
| | 7 | Other income (loss) (attach stateme | ent) | | | | | |
| | 8 | Total income (loss). Combine lines | 3 through 7 | | | 8 | | |
| | 9 | Salaries and wages (other than to p | | | | 9 | | |
| | 10 | Guaranteed payments to partners | , , , , | • | | 10 | | |
| ions) | 11 | Repairs and maintenance | | | | 11 | | |
| mitat | 12 | Bad debts | | | | 12 | | |
| ق ق | 13 | Rent | | | | 13 | | |
| gus | 14 | Taxes and licenses | | | | 14 | L | |
| άZα | 15 | Interest | | | | 15 | | |
| Deductions (see instructions for limitations) | 16a | Depreciation (if required, attach For | m 4562) _. | 16a | | 16- | | |
| 8 | | Less depreciation reported elsewhere | | 16c | | | | |
| ğ | 17 | Depletion (Do not deduct oil and ga | · · · · · · · · · · · · · · · · · · · | | | 18 | | |
| ξ | 18 19 | Retirement plans, etc | | | | 19 | | |
| Š | 20 | Other deductions (attach statement | | | | 20 | | |
| ă | - | Calci deddellons (allach statement) | , | | | | | |
| | 21_ | Total deductions. Add the amounts she | own in the far right column for lines | 9 throu | gh <u>20</u> | 21 | | |

Ordinary business income (loss) from trade or business activities. Subtract line 21 from line 8

22

| Sc | hedule D Capital Gains a | nd Losses | N/A - CATEGORY | 3 FILER | | | |
|----|---|--------------------------------------|-------------------------------------|---------------------------------------|------------------------------------|----|---|
| Pa | rt I Short-Term Capital G | ains and Losses | Assets Held Or | ne Year or Less | 5 | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instructi | | (f) Gain or (loss) Subtract (e) from (d) |
| 1 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 2 | Short-term capital gain from ins | stallment sales from | Form 6252, line 26 | or 37 | | 2_ | |
| 3 | Short-term capital gain (loss) fro | om like-kind exchan | ges from Form 8824 | 4 | | 3_ | |
| 4 | Partnership's share of net short-tigains (losses), from other partner | | | | | 4 | |
| 5 | Net short-term capital gain or Form 8865, Schedule K, line 8 | | | | | 5 | |
| Pa | rt II Long-Term Capital Ga | | | | | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instructi | | (f) Gain or (loss) Subtract (e) from (d) |
| 6 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 7 | Long-term capital gain from inst | tallment sales from | Form 6252, line 26 | or 37 | | 7 | |
| 8 | Long-term capital gain (loss) fro | m like-kind exchanç | ges from Form 8824 | | | 8 | |
| 9 | Partnership's share of net long-to- gains (losses), from other partner | | | | | 9 | |
| 10 | Capital gain distributions | | | | | 10 | |
| 11 | Net long-term capital gain or Form 8865, Schedule K, line 9a | | | | | 11 | |

| Sched | dule | K Partners' Distributive Share Items N/A - CATEGORY 3 FILER | Total amount | |
|-------------------------------------|------|--|---|--|
| ` | 1 | Ordinary business income (loss) (page 2, line 22) | 1 | |
| | 2 | Net rental real estate income (loss) (attach Form 8825) | 2 | |
| | 2 | Other research (1999) (diam'r form 6020) | | |
| | Ja. | Other gross rental income (loss) | *. | |
| | þ | Expenses from other rental activities (attach statement) . | 3c | |
| | C | Other net rental income (loss). Subtract line 3b from line 3a | | |
| SS | 4 | Guaranteed payments | | |
| Income (Loss) | 5 | Interest income | 5 | |
| ě | 6 | Dividends a Ordinary dividends | 6a | |
| Ĕ | | b Qualified dividends | | |
| ၓၟ | 7 | Royalties | 7 | |
| = | 8 | Net short-term capital gain (loss) | 8 | |
| | 9a | Net long-term capital gain (loss) | 9a | |
| | b | Collectibles (28%) gain (loss) | | |
| | c | Unrecaptured section 1250 gain (attach statement) 9c | fa + 12in | |
| | 10 | Net section 1231 gain (loss) (attach Form 4797) | 10 | |
| | 11 | Other income (loss) (see instructions) Type ▶ | 11 | |
| | 12 | Section 179 deduction (attach Form 4562) | 12 | |
| <u>.</u> 5 | | Contributions | 13a | |
| <u> </u> | | Investment interest expense | 13b | |
| ᅙ | | Section 59(e)(2) expenditures (1) Type ▶ (2) Amount ▶ | 13c(2) | |
| Deductions | ď | Other deductions (see instructions) Type > | 13d | |
| | 142 | Net earnings (loss) from self-employment | 14a | |
| Self- Employ- ment | 1-a | Gross farming or fishing income | 14b | |
| SE E | C | Gross nonfarm income | 14c | |
| | | | 15a | |
| ∞ ව | 15a | Low-income housing credit (section 42(j)(5)) | 15b | |
| \$ặğ | 5 | Low-income housing credit (other) | 15c | |
| ָהָ פַ ה <u>ַ</u> | 4 | Other rental real estate credits (see instructions) Type | 15d | |
| Credits & Credit | ء ا | Other rental credits (see instructions) Type Type | 15e | |
| | f | Other credits and credit recapture (see instructions) Type | 15f | |
| | 16a | Name of country or U.S. possession ▶ | P. S. S. S. S. S. S. S. S. S. S. S. S. S. | |
| Ω | ł . | Gross income from all sources | 16b | |
| <u>.</u> | 1 | Gross income sourced at partner level | 16c | |
| ਤੁ | | Foreign gross income sourced at partnership level | *** | |
| Transactions | d | Passive ► e Listed categories (attach statement) ► f General limitation ► | 16f | |
| <u> 5</u> | - | Deductions allocated and apportioned at partner level | | |
| | | Interest expense ▶ h Other | 16h | |
| Foreign | 9 | Deductions allocated and apportioned at partnership level to foreign source income | र्म र भ्य | |
| ē | i | Passive ▶ j Listed categories (attach statement) ▶ k General limitation ▶ | 16k | |
| Ē. | | Total foreign taxes (check one) ▶ ☐ Paid ☐ Accrued | 161 | |
| | | Reduction in taxes available for credit (attach statement) | 16m | |
| | | Other foreign tax information (attach statement) | · · · · · · · · · · · · · · · · · · · | |
| | | Post-1986 depreciation adjustment | 17a | |
| Alternative Minimum Tax (AMT) Items | ь | Adjusted gain or loss | 17b | |
| ま ≡ ま | c | Depletion (other than oil and gas) | 17c | |
| FEE | d | Oil, gas, and geothermal properties—gross income | 17d | |
| AEE | е | Oil, gas, and geothermal properties—deductions | 17e | |
| ~ _ | f | Other AMT items (attach statement) | 17f | |
| | 18a | Tax-exempt interest income | 18a | |
| Ę | | Other tax-exempt income | 18b | |
| πa | | Nondeductible expenses | 18c | |
| Ö | | Distributions of cash and marketable securities | 19a | |
| Ξ | | Distributions of other property | 19b | |
| Other Information | | Investment income | 20a | |
| ₹ | | Investment expenses | 20b | |
| | С | Other items and amounts (attach statement) | | |

| | | Beginnin | g of tax year | End of tax year | | |
|------------|--|-------------|-------------------------------|---|--|--|
| | Assets | (a) | (b) | (c) | (d) | |
| 4 (| Cash | | | | | |
| | Trade notes and accounts receivable | | | | , | |
| b i | Less allowance for bad debts | | | | | |
| 3 | Inventories | ~ | | 1 1 | | |
| | U.S. government obligations | , , , , , , | | 700 | | |
| 5 | Tax-exempt securities | 33.031.00 | | | | |
| 6 (| Other current assets (attach statement) | | | | | |
| | Mortgage and real estate loans | | | | | |
| 8 (| Other investments (attach statement) | | 17.3 | | | |
| 9a 8 | Buildings and other depreciable assets | | 157 | | | |
| bι | Less accumulated depreciation | | | _ <u> </u> | | |
| 0a [| Depletable assets | | 478 | | | |
| bι | Depletable assets Less accumulated depletion | | | - (2/38/####») | | |
| 1 L | Land (net of any amortization) | | ey, gradent, since each e. an | | Pari i a na paramenta da a cara da car | |
| 2a | ntangible assets (amortizable only) | | | · | | |
| | Less accumulated amortization | 3 | | | | |
| 3 (| Other assets (attach statement) | | | 4 - 1 - 1 | | |
| 4 7 | Total assets | | | → | | |
| | Liabilities and Capital | | | | <u> </u> | |
| | Accounts payable | | | | | |
| 6 1 | Mortgages, notes, bonds payable in less than 1 year. | 1 | | | | |
| | Other current liabilities (attach statement) | | | | | |
| | All nonrecourse loans | | | 4 * * * * * * * * * * * * * * * * * * * | | |
| | Mortgages, notes, bonds payable in 1 year or more. | | | | | |
| | Other liabilities (attach statement) | | | | | |
|)4 C | Partners' capital accounts | F: 1 | i | 1 " 124 Line | 1 | |

| | 1 8865 (2005) | | | Page 6 |
|--------|---|------------------------|---|-----------------------------|
| Sc | hedule M Balance Sheets for | or Interest Allocation | N/A - CATEGORY 3 FILER | ₹ |
| | | | (a) Beginning of tax year | (b) End of tax year |
| b | Total U.S. assets | Ŋ | | |
| Sc | hedule M-1 Reconciliation of I 1, is answered "Yes | | Income (Loss) per Return. (No N/A - CATEGORY 3 FILER | t required if Item G9, page |
| b | Net income (loss) per books Income included on Schedule K, lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, and 11 not recorded on books this year (itemize): Guaranteed payments (other than health insurance) Expenses recorded on books this year not included on Schedule K, lines 1 through 13d, and 16l (itemize): Depreciation \$ Travel and entertainment \$ Add lines 1 through 4 | y li a T 7 E 8 A 9 Ir | ncome recorded on books this ear not included on Schedule K, nes 1 through 11 (itemize): fax-exempt interest \$ Deductions included on Schedule K, lines 1 through 13d, and 16l not harged against book income this ear (itemize) Depreciation \$ add lines 6 and 7 | |
| Sc | hedule M-2 Analysis of Partr | | | is answered "Yes.") N/A - |
| | Balance at beginning of year . Capital contributed: a Cash | | beributions: a Cash b Property | CATEGORY 3 FILER |
| 3 4 | b Property Net income (loss) per books Other increases (itemize): | | dd lines 6 and 7 | |
| _ 5 | Add lines 1 through 4 | 9 B | dd lines 6 and 7alance at end of year. Subtract ne 8 from line 5 | |

Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities Schedule N Important: Complete a separate Form 8865 and Schedule N for each controlled foreign partnership. Enter the totals for each type of transaction that occurred between the foreign partnership and the persons listed in columns (a) through (d) (b) Any domestic (c) Any other foreign (d) Any US person with a **Transactions** corporation or partnership corporation or partnership 10% or more direct interest (a) US person controlling or controlled controlling or controlled in the controlled foreign filing this return by the U.S. person filing this return by the U.S. person filing this return partnership (other than the US person filing this return) foreign partnership 1 Sales of inventory Sales of property rights (patents, trademarks, etc.) Compensation received for technical, managerial, engineering, construction, or like services ... Commissions received . . Rents, royalties, and license fees received . . . Distributions received . . . Interest received Add lines 1 through 8 . . . 10 Purchases of inventory 11 Purchases of tangible property other than inventory Purchases of property rights (patents, trademarks, etc.) 13 Compensation paid for technical, managerial, engineering, construction,

| | or like services | l | f | |
|----|---|-------|---|--|
| 14 | Commissions paid | | | |
| | Rents, royalties, and license fees paid | | | |
| 16 | Distributions paid | | | |
| | Interest paid | | | |
| | · | | | |
| 18 | Other | | | |
| | | | | |
| 19 | Add lines 10 through 18. | | | |
| 20 | Amounts borrowed (enter | | | |

Form **8865** (2005)

SCHEDULE O (Form 8865)

Transfer of Property to a Foreign Partnership

(under section 6038B)

Department of the Treasury Internal Revenue Service Name of transferor

▶ Attach to Form 8865. See Instructions for Form 8865.

2005

OMB No 1545-1668

| Name of transferor | • | | | | | Filer's identifying nu | mber |
|--|---------------------------------------|--|---|---|--|-------------------------------------|---|
| THE ROCKEF | ELLER FOUNDA | ATION | | | | 13-1659629 | |
| Name of foreign pa | | | | | | | |
| <u>VESTAR-AIV I</u> | <u> HOLDINGS A L.F</u> | <u> </u> | | | | | |
| Part I Tr | ansfers Reporta | able Under S | ection 6038B | | | | |
| Type of property | (a) Date of transfer | (b) Number of items transferred | (c) Fair market value on date of transfer | (d) Cost or other basis | (e) Section 704(c allocation method | (f) Gain recognized on transfer | (g) Percentage interest in partnership after transfer |
| Cash | VARIOUS | go phi sight h | 1,911,825 | "你一样" | e i she 👰 | | 0.59 |
| Marketable securities | | | <u>-</u> . | | | | |
| | | | | | | | |
| Inventory | | | | | | | |
| | | | | | | | |
| Tangible | | | | | | | |
| property used in trade or business | | | | | | | |
| Intangible property | | | | | | | |
| | | | | | | | |
| Other property | | | | | | | |
| | Information Re | quired To Be | Reported (see in | structions): | | | |
| | | | - | | | | |
| | | · · · · · · · · · · · · · · · · · · · | | | | | |
| Part II Di | spositions Repo | ortable Under | Section 6038B | | | | |
| (a) Type of property | (b) Date of onginal transfer | (c) Date of disposition | (d) Manner of disposition | (e) Gain recognized by partnership | (f) Depreciation recapture recognized by partnership | (g) Gain allocated to partner | (h) Depreciation recapture allocated to partner |
| N/A | | | | | | | |
| | | | | - | | | |
| Part III Is | any transfer repo | orted on this s | schedule subject | to gain recognition | under section | on 904(f)(3) or | Yes 🛛 No |
| se | ction 904(f)(5)(F | <u>)? </u> | <u></u> | <u></u> | · · · · · · · · · · · · · · · · · · · | ▶ □ | Yes 💢 N |

THE ROCKEFELLER FOUNDATION N: 13-1659629

FORM 8865 SUPPORTING SCHEDULES

SCHEDULE A-2 - AFFILIATION SCHEDULE

| NAME | |
|------------------------|--|
| VESTAR EUROPE I, LLP | |
| VESTAR EUROPE II, LLP | |
| VESTAR EUROPE III, LLP | |
| VESTAR EUROPE IV, LLP | |
| VESTAR EUROPE V, LLP | |
| AKH LUXCO S.C.A. | |
| | |

NOTE: ADDRESS AND IDENTIFYING NUMBERS ARE AVAILABLE UPON REQUEST.

Form **8865**

Return of U.S. Persons With Respect to **Certain Foreign Partnerships**

▶ Attach to your tax return. See separate instructions.

OMB No 1545-1668

Information furnished for the foreign partnership's tax year nning 01/01 , 2005, and ending 12/31 beginning

| partment of ternal Revenue | | lr beginn | nformation furnishe ing 01/01 | | foreign p and end | | s tax ye 2/31 | | 20 05 | | Attachm Sequence | ent ce No | 118 |
|---|--|--------------|----------------------------------|---------------|--------------------------|---------------------------|--|------------------|--|---|-----------------------|-------------------|----------------------|
| • | on filing this return | | | | | Filer's identi | ifylng n | umber | | | | | |
| | KEFELLER FOUNDAT | | | 1 | | <u>13-165962</u> | | | | | | | |
| 420 FIFTH | (if you are not filing this form w | ith your tax | return) | A Catego | _ | | | | e instructions and | checi | applicable | e box(e | s)) |
| | K, NY 10018 | | | | _ | | 3 🔯 | | | | 10/21 | | 05 |
| 11211 1011 | , | | | B Filer's | tax year b | eginning 0 | J 1/U 1 | _, 20 _ | 05 , and end | ing _ | 12/31 | , 20 | <u>05</u> |
| C Filer's | share of liabilities Nonr | ecourse | NON | E Qualifie | d nonrec | ourse finan | ncing \$ | | NONE | Othe | \$ | | NONE |
| | is a member of a consol | idated g | roup but not the pa | arent, ente | er the fol | | | abou | it the parent | | | | |
| Name | | • | ·- | | | EIN | <u> N/A</u> | | | | | | |
| Adare | ss N/A | | | | | | | | | | | | |
| E Inform | nation about certain othe | r partner | s (see instructions) | - | | | | | . | | | | • |
| | | T | | | | | | | (4) Chec | k app | licable bo | x(es) | |
| | (1) Name | | (2) Addres | SS | | (3) Identifyii | ng numi | ber | Category 1 | | | T | ctive owner |
| N/A | | | <u>-</u> | | | | | | | | | | |
| | | | | | | | <u> </u> | | | | | | |
| E1 Name | and address of foreign | nartnersh | un. | | | | | | 2 EIN (if any | <u>, </u> | | L | |
| | STANLEY PRIVATE | | | | | | | | AVAILABL | - | ON RE | OUE | ST |
| AVAILABL | E UPON REQUEST | | | | | | | | 3 Country u | | | | |
| | | | | | | | | | AVAILABL | E UF | ON RE | QUE | ST |
| 4 Date o | | | 6 Principal busing | | 7 Prince | cipal busines: | s i | 8a Fu | nctional curren | су | 8b Exc | change e instr | |
| • | | • | 531390 | Hamber | j | TMENT | - 1, | JSD | | | , | | |
| | ON REQUEST AVAILABLE UPON le the following informati | | | un'e tay w | <u> </u> | TIVILITY | | שטט | | | AVAILABLE | UPON | REQUEST |
| 1 Name | , address, and identifying I States N/A | | | | 2 C | Form 104 | 12 (where F | Form 10 | ership must fi orm 8804 065 or 1065-B ii | X | Form 10 | 65 or | 1065-B |
| organı | and address of foreign parties, if any | partnersh | ip's agent in count | try of | 4 N | ame and ad | ddress o | of per | son(s) with cu | the I | ocation | of suc | h books |
| AVAILABL | E UPON REQUEST | | | | | ia records, | ii dillei | ent | AVAILABLE | UPC | ON REC | NES. | 1 |
| 5 Were | any special allocations n | ade by t | he foreign partners | ship? . | | | | | | | | Yes [| X No |
| 6 Enter | the number of Forms 88 | 58, Inforn | nation Return of U | .S Perso | ns With F | Respect To | Foreign | n Disr | egarded Entiti | ies, | | | |
| | ed to this return (see ins | | | | | | | | LIMITED | | | NE | |
| | s this partnership classifi | | | - | | - | | 2/2//2 | LIMITED I | PAR | | | □ No |
| | e partnership own any so this partnership meet bo | | | | Regulatio | ns section | 1 1503- | -2(0)(3 | | TE () | | | |
| | partnership's total recei | | • • | | 250.000 | and | | | N/A - CA ⁻ | IEG | URY 3 | FILER | < |
| • The | value of the partnership s," do not complete Sch | s total a | ssets at the end of | | | | 600,00 | . 00 | N/A - CAT | ΪEG | | | □ No |
| Sign Here Only If You Are Filing This Form Separately and Not With Your Tax | Under penalties of perjurknowledge and belief, it based on all information o | s true, co | rrect, and complete | Declaratio | turn, inclu n of prep | ding accomparer (other th | panying nan gen | sched eral pa | ules and stater irtner or limited | nents liabili | , and to ity compa | the bearing me | st of my mber) is |
| Return | Signature of general p | partner or | limited liability compa | any membe | | | | D a | ate | т = | | | DTIN: |
| Paid Preparer Sign and | Preparer's signature | | Kusa | <u></u> | Da | ite 1/14/0 | | Check | | | eparer's S シタ6 | | |
| Complete y If Form | Firm's name (or | DELC | DITTE TAX LLP | | | -7.710 | <u>- </u> | | EIN > 86-1 | | | | 000 |
| lled Separately. | yours if self-employed), address, and ZIP code | 2.JFF | | ERICHO | NY 11 | 753 | | - | | | <u>72</u> 118-700 | 0 | |

| Form | 8865 | (2005) | | | | | | Page 2 |
|---|----------|--|-----------------------|--|--|--------------|-------------------------------|-------------------------|
| | | ule A Cons | k box b, enter t | hip of Partnership Interest. the name, address, and U.S est you constructively own. Se | . taxpayer identifying ee instructions. | numl | oer (if an | ler. If you |
| | | a | X Owns a direct inte | erest | b Owns a construc | tive inte | | |
| | | Name | • | Address | Identifying number (if | f any) | Check if foreign person | Check if direct partner |
| _ | | | | | | | | |
| | | | | | | | | |
| | | | | | | | _ | |
| Sc | hedi | ule A-1 Cert | ain Partners of F | oreign Partnership (see instr | uctions) | | | |
| | | Name | | Address | Identifying num | ber (if | any) | Check if foreign person |
| | | TEGORY 3 FILE | | | | | | |
| | | ed cash and did r | | | | | | |
| | | er interest in the to hip after the trans | | | | | | |
| | | mp and the trans | | | | | | |
| | | | | person as a direct partner? | | □ Y | | □ No |
| Sc | neal | | | List all partnerships (foreign or indirectly owns a 10% inte | | the i | oreign pa | · |
| | | Name | | Address | EIN (if any) | 4 | al ordinary me or loss | Check if foreign |
| SIR | ONA | HOLDINGS LUX | (CO, S.C.A. | LUXEMBOURG | 98-0468038 | 1 | | partnershi X |
| | | | | | | | | |
| | | | | | | | | ļ <u></u> |
| | | | | | | - | | |
| Sc | hedi | ule B Inco | me Statement—T | rade or Business Income | N/A - CATEGORY 3 | FILE | ₹ | J., |
| Ca | ıtion. | . Include only trad | le or business incom | e and expenses on lines 1a through | 22 below See the instruc | tions f | for more in | formation |
| | | | | | | | | |
| | | | | | 1a | 1c | | |
| | 2 | | | | | 2 | | |
| ome | 3 | | | ne 1c | | 3 | | |
| Ö | 4 | | | tnerships, estates, and trusts (attack | | 4 | | |
| <u>2</u> | 5 | - | | ule F (Form 1040)) | | 5 | | |
| | 6 | • | | rt II, line 17 (attach Form 4797) . | | 6 | | |
| | 7 | Other income (le | oss) (attach stateme | nt) | | 7 | | |
| | 8 | Total income (le | oss). Combine lines | 3 through 7 | | 8 | | |
| | 9 | | | partners) (less employment credits | | 9 | | |
| ঞ | 10 | | · · | | | 10 | | |
| atou | 11 | • | | | | 11 | | |
| <u>Ē</u> | 12 | | | | | 12 | | |
| ស្ន | 13 | | | | | 14 | | |
| ള | 14 15 | | | | | 15 | | |
| ınstr | | | | m 4562) | | | | |
| Deductions (see instructions for limitations) | b | Less depreciation | n reported elsewhe | ere on return | 16b | 16c | | |
| S | 17 | Depletion (Do no | ot deduct oil and ga | as depletion.) | | 17 | | |
| 矣 | 18 | | | | | 18 | | |
| ğ | 19 | • • | | | | 19 20 | | |
| 28 | 20 | Other deduction | s (attach statement) |) | | 20 | | |
| | 21 | Total deductions. | . Add the amounts she | own in the far right column for lines 9 | through 20 | 21 | | |
| | 22 | Ordinary busine | ss income (loss) fro | m trade or business activities. Subt | tract line 21 from line 8 | 22 | | |

| So | hedule D Capital Gains | and Losses | N/A - CATEGOR | Y 3 FILER | | | |
|----|--|---|-------------------------------------|---------------------------------------|--------------------------------------|-----|---|
| Pa | rt I Short-Term Capital (| Gains and Losses | Assets Held O | ne Year or Less | 5 | | |
| | (a) Description of property (e.g., 100 shares of "Z" Co.) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 1 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | Short-term capital gain from in | stallment sales from | Form 6252, line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) fi | | | | | 3 | |
| | | | | | | | |
| 4 | Partnership's share of net short gains (losses), from other partner | | | | | 4_ | |
| 5 | Net short-term capital gain of Form 8865, Schedule K, line 8 | or (loss). Combine lir | nes 1 through 4 in c | column (f) Enter h | nere and on | 5 | |
| Pa | rt II Long-Term Capital G | | | | | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 6 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | - | |
| | | | 5 0050 II 00 | 07 | <u> </u> | 7 | |
| 7 | Long-term capital gain from in | | | | | | |
| 8 | Long-term capital gain (loss) fr | om like-kind exchang | ges from Form 8824 | 1 | | _8_ | |
| 9 | Partnership's share of net long- gains (losses), from other partner | | | | | 9 | |
| 10 | Capital gain distributions | | | | | 10 | |
| 11 | Net long-term capital gain o | r (loss). Combine line | es 6 through 10 in o | column (f). Enter | here and on | | |
| | Form 8865, Schedule K, line 9 | a or 11 | | · · · · · · · · · · · · · · · · · · · | | 11 | |

| Sched | lule | K Partners' Distributive Share Items N/A - CATEGORY 3 FILER | | Total amount |
|---|--|--|--------|---|
| | 1 | Ordinary business income (loss) (page 2, line 22) | 1 | |
| | 2 | Net rental real estate income (loss) (attach Form 8825) | 2 | · |
| | 1 | Other gross rental income (loss) | J., | |
| | | | 1 " | |
| | | Zaponioco nom outo tonal countrio (unacimono) | 3c | |
| <u> </u> | 1. | Other net rental income (loss) Subtract line 3b from line 3a | 4 | |
| ä | 4 | Guaranteed payments | 5 | |
| Ţ | 5 | Interest income | 6a | |
| Income (Loss) | 6 | Dividends a Ordinary dividends | " | |
| Ö | _ | Royalties | 7 | |
| _ <u>≥</u> | 7 | • | 8 | |
| | 8 | Net short-term capital gain (loss) | 9a | |
| | J | Net long-term capital gain (loss) | 7 | |
| | I | | 49. | |
| | | officeaptared section 1200 gain (attach statement) | 10 | |
| | 10 11 | Net section 1231 gain (loss) (attach Form 4797) | 11. | |
| - v | | | 12 | |
| 6 | 12 | Section 179 deduction (attach Form 4562) | 13a | |
| 댱 | 1 | Contributions | 13b | |
| 큥 | | Investment interest expense | 13c(2) | |
| Deductions | d | Other deductions (see instructions) Type > | 13d | |
| | 440 | | 14a | |
| Self- Employ- ment | 14a | Net earnings (loss) from self-employment | 14b | |
| E E E | ן נ | Gross nonfarm income | 14c | |
| | | | 15a | |
| න ව | 15a | Low-income housing credit (section 42(j)(5)) | 15b | |
| dits & Credit ecapture | D | Low-income housing credit (other) | 15c | |
| ž ė č | A | Other rental real estate credits (see instructions) Type | 15d | ·· ··································· |
| S O S | e | Other rental credits (see instructions) Type | 15e | |
| | f | Other credits and credit recapture (see instructions) Type ▶ | 15f | |
| | 16a | Name of country or U S possession ▶ | 3 | |
| જ | ł | Gross income from all sources | 16b | |
| <u>.</u> 5 | С | Gross income sourced at partner level | 16c | |
| 껉 | | Foreign gross income sourced at partnership level | | |
| Transactions | d | Passive ▶ e Listed categories (attach statement) ▶ f General limitation ▶ | 16f | |
| <u>.</u> <u>a</u> | | Deductions allocated and apportioned at partner level | | |
| | a | Interest expense ▶ h Other | 16h | |
| Foreign | | Deductions allocated and apportioned at partnership level to foreign source income | ا تا | |
| 0 | i | Passive ▶ j Listed categories (attach statement) ▶ k General limitation ▶ | 16k | |
| ഥ | ı | Total foreign taxes (check one) ▶ ☐ Paid ☐ Accrued | 161 | |
| | | Reduction in taxes available for credit (attach statement) | 16m | ······································ |
| | n | Other foreign tax information (attach statement) | 1 de- | |
| ≚ ω | 17a | Post-1986 depreciation adjustment | 17a | |
| e Ta | b | Adjusted gain or loss | 17b | |
| 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | С | Depletion (other than oil and gas) | 17c | |
| ᅗᇎ | d | Oil, gas, and geothermal properties—gross income | 17d | |
| Alternative Minimum Tax (AMT) Items | е | Oil, gas, and geothermal properties—deductions | 17e | |
| | <u> </u> | Other AMT items (attach statement) | 17f | |
| Other Information | ľ | Tax-exempt interest income | 18a | |
| ati | | Other tax-exempt income | 18b | |
| E | | Nondeductible expenses | 18c | · |
| وَ | | Distributions of cash and marketable securities | 19a | |
| 트 | | Distributions of other property | 19b | |
| e e | | Investment income | 20a | |
| 8 | | Investment expenses | 20b | <u> </u> |
| | LC | Other items and amounts (attach statement) | | |

| Schedule | Balance Sheets per Books. | | | | | | |
|------------|--|---|----------------|---|------|--|--|
| | | | ng of tax year | End of tax year | | | |
| | Assets | (a) | (b) | (c) | (d) | | |
| 1 Cash | | | | <u> </u> | | | |
| 2a Trade | notes and accounts receivable | | <u> </u> | | | | |
| b Less a | allowance for bad debts | | | | | | |
| 3 Invent | ories | 7, | | 1 | | | |
| 4 US. g | overnment obligations | - dm - 14 | | <i>\$</i> 7 * * * * * * * * * * * * * * * * * * * | | | |
| _ | kempt securities | | | | | | |
| | current assets (attach statement) | | | | | | |
| 7 Mortga | age and real estate loans | , | | | | | |
| | investments (attach statement) | 1 N // | | ٠ <u>٠</u> , iŋ, 'ঝ়ুঁ'১' | | | |
| 9a Buildir | ngs and other depreciable assets | | # 12 A: 40. | | 李辛子概 | | |
| | accumulated depreciation | | | | | | |
| | able assets | | | | , M | | |
| | accumulated depletion | | | | | | |
| 1 Land | (net of any amortization) | 1 8th 12 July 29 | | W 10 10 16 16 | | | |
| 2a Intang | ible assets (amortizable only) | | | | | | |
| b Less a | occumulated amortization | | | | | | |
| 3 Other | assets (attach statement) | " ** " ** ** | | 四 吃量 歌舞 | | | |
| | assets | | <u></u> | A A A A A A A A A A A A A A A A A A A | | | |
| | Liabilities and Capital | | | | | | |
| 5 Accou | nts payable | 1 1.3 | | | | | |
| 6 Mortga | ges, notes, bonds payable in less than 1 year. | 中心手手序 | | | | | |
| 7 Other | current liabilities (attach statement) | 100 新海·香 | s | 1. 药、香、香、香、 | | | |
| 8 All nor | nrecourse loans | Fine Hard | | | | | |
| 9 Mortga | ges, notes, bonds payable in 1 year or more | | | | | | |
| 0 Other | liabilities (attach statement) | | | TAPANA | | | |
| | rs' capital accounts | | | 华 和 多 一年 月 | | | |
| 2 Total | liabilities and capital | | | | | | |

| | 8865 (2005) | · | | Page 6 |
|--------|--|--|---|------------------------------|
| Sc | hedule M Balance Sheets for Intere | est Allocation | N/A - CATEGORY 3 FILE | R |
| | | | (a) Beginning of tax year | (b) End of tax year |
| | Total U.S. assets | | · · · · · · · · · · · · · · · · · · · | |
| | General limitation income category | | | |
| | hedule M-1 Reconciliation of Income 1, is answered "Yes.") | (Loss) per Books With Inc | ome (Loss) per Return. (N | ot required if Item G9, page |
| | Net income (loss) per books . Income included on Schedule K, lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, and 11 not recorded on books this year (itemize): Guaranteed payments (other than health insurance) Expenses recorded on books this year not included on Schedule K, lines 1 through 13d, and 16l (itemize): Depreciation \$ Travel and entertainment \$ Add lines 1 through 4 | year lines a Tax-e 7 Dedu K, line charg year a Depri | ne recorded on books this not included on Schedule K, 1 through 11 (itemize): exempt interest \$ ctions included on Schedule es 1 through 13d, and 16l not led against book income this (itemize): | |
| Scl | hedule M-2 Analysis of Partners' Ca | | | 1, is answered "Yes.") |
| 1 2 | Balance at beginning of year . Capital contributed. a Cash | | butions. a Cash b Property r decreases (itemize): | |
| 3 4 | b Property Net income (loss) per books Other increases (itemize): | 8 Add | lines 6 and 7 | |
| 5 | Add lines 1 through 4 | 9 Balar | nce at end of year. Subtract | |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

| | | 14110404 | THE BOLLING | | | or origin i direction | <u> </u> | 4114 1 414101 | 0 0. 0. | <u> </u> | OG LITTING | -0 |
|----------------|--|------------|-------------|------------|----------|-----------------------|----------|----------------|--------------------|--------------|---------------|----|
| Important: (| Complete | a separate | Form 8865 | and Schedu | le N for | each controlle | d foreig | gn partnership | Enter the | e totals for | each type | of |
| transaction ti | ransaction that occurred between the foreign partnership and the persons listed in columns (a) through (d) | | | | | | | | | | | |
| | | | | | | (h) Any domos | *** | (a) Any other | faraign. | (d) Any II S | C posses with | |

| | Transactions of foreign partnership | (a) U S person filing this return | (b) Any domestic corporation or partnership controlling or controlled by the U.S person filing this return | (c) Any other foreign corporation or partnership controlling or controlled by the U.S. person filing this return | (d) Any U S person with a 10% or more direct interest in the controlled foreign partnership (other than the U S person filing this return) |
|----------------------|--|-----------------------------------|--|--|--|
| 1 2 | Sales of inventory Sales of property rights (patents, trademarks, etc.) | | | | |
| 3 | Compensation received for technical, managerial, engineering, construction, or like services | | | | |
| 4 5 | Commissions received Rents, royalties, and license fees received | | | | |
| 6 7 | Distributions received Interest received | | | | |
| 8 | Other | | | | |
| _9 | Add lines 1 through 8 | | | | |
| 10 11 12 | Purchases of inventory . Purchases of tangible property other than inventory Purchases of property nghts (patents, trademarks, etc.) | | | | |
| 14 | Compensation paid for technical, managerial, engineering, construction, or like services | | | | |
| | Rents, royalties, and license fees paid | | | | |
| | Distributions paid Interest paid | | | | |
| 18 | Other | | | | |
| 19 | Add lines 10 through 18. | | | | |
| 20 | Amounts borrowed (enter the maximum loan balance during the year) —see instructions | | | | |
| 21 | Amounts loaned (enter the maximum loan balance during the year)—see instructions | | | | |

Return of U.S. Persons With Respect to **Certain Foreign Partnerships**

▶ Attach to your tax return. See separate instructions.

OMB No 1545-1668

Information furnished for the foreign partnership's tax year online 01/01 , 2005, and ending 12/31 beginning

| epartment of ternal Reven | of the Treasury | | In beginni | iformation furnishe ng 01/01 | | oreign p and end | | p's tax 12/31 | year | 20 05 | Attac Sequ | chment Jence No 118 |
|--|----------------------|--|---------------|---|----------------------|---------------------|----------------------------------|---|-----------|--------------------------|-----------------|--|
| • | rson filing the | | | <u> </u> | | | Filer's Ide | | numbe | | | |
| | | R FOUNDATI | • • • | | | | <u>13-1659</u> | | | | | |
| | | ot filing this form wit | h your tax | retum) | 1 | | | | | he instructions and | t check appli | cable box(es)) |
| | H AVENU | _ | | | 1 [|] 2 | | 3 💢 | | 4 🗍 | | |
| | RK, NY 10 | | | | B Filer's t | | | 01/0 | | , and end | ling <u>12/</u> | |
| | | liabilities Nonre | | | E Qualified | | | | | NONE | Other \$ | NONE |
| | | ber of a consolic | dated gr | oup but not the pa | arent, ente | r the fol | | | | ut the parent | | |
| | ne N/A ress N/A | | | - | | | | EIN N/ | <u> </u> | | | |
| Addi | iess M/A | | | | | | | | | | | |
| E Infor | mation abo | ut certain other | nartners | s (see instructions) | | | | | | | | - · · · · · · · · · · · · · · · · · · · |
| - 171101 | | | Partificia | · · · · · · · · · · · · · · · · · · · | | | _ | | | (4) Chec | ck applicable | e box(es) |
| | (1) Nan | ne | ļ | (2) Addres | SS | | (3) Ident | ifying nu | mber | Category 1 | Category | |
| V/A | | | | · · · · · · · · · · · · · · · · · · · | | | | | | | | |
| | | | 1 | | | | | | • | | | |
| | | | | | | | | | | | | |
| | | ess of foreign p | artnersh | ıp | | | | | | 2 EIN (if any | | |
| CIF (CH | IILDREN'S | FUND) LP | | | | | | | | | | REQUEST |
| | | | | | | | | | | 1 | | e laws organized |
| | | · | | T | | | | | | | | REQUEST |
| 4 Date | e of nization | 5 Principal pl of business | | 6 Principal busing activity code in | | | | Functional currency 8b Exchange rate (see instr.) | | | | |
| _ | | | | | ļ | | • | | | | ŀ | |
| | | L | | AVAILABLE UPON REC | | | E UPON RE | QUEST | AVAILA | BLE UPON REQUE | ST AVAIL | ABLE UPON REQUEST |
| Unite | ed States N | ess of foreign p | | of agent (if any) ii | | Se AVA | Form 1 rvice Cent ILABLE ame and | 042 er where UPON addres | Form NREC | rson(s) with cu | Form s filed | 1065 or 1065-B he books and on of such books |
| I/A | | | | | | ar | nd record | s, if diff | ferent | SAME | | |
| | • | | • | he foreign partners | • | | | | | | | Yes 🛛 No |
| | | | • | nation Return of U | S Person | s With F | Respect 1 | lo Fore | ign Dis | regarded Entit | • | NIA CATECORY 2 |
| | | return (see instr | • | | Indox in | uob.it:- | | | | EYEMDTI | | <u>N/A - CATEGORY 3 I</u> 'ARTNERSHIP |
| | • | • | | the law of the counits within the me | - | | • | | ۱۵-2/۵۱/ | | | Yes No |
| | | • | | following requirem | • | -yulali0 | 3561101 | | .u-2(u)(| (-), (-), . | | A - CATEGORY 3 |
| | • | • | | e tax year were le | | 50,000 : | and | | | 1 | | _ |
| • Th | ne value of t | • | total a | ssets at the end of | | | | n \$600, | 000 | } · | ► [N/ | Yes No A - CATEGORY 31 |
| Ign Here Inly If You The Filling Inls Form The Parately T | knowledg based on | e and belief, it is all information of | true, co | e that I have examir rrect, and complete eparer has any knowl | Declaration ledge | of prepa | | | eneral p | | ments, and | to the best of my |
| Paid Prepare Sign and Complete | + | s V | nen | e Krae | | Da | te // 4/ | 66 | Check | | | rs SSN or PTIN |
| ty if Form | 1 111113 180 | | DELC | OITTE TAX LLP | | | | | 1 | | 065772 | |
| eparately. | | elf-employed), | 2.IFF | | FRICHO | NY 11 | 753 | | | | 16) 918-7 | 000 |

| Form | 8865 (2005) | | | | | Page 2 |
|--|------------------------------|--|--|---------------------------------------|-------------------------------|------------------------------|
| Sc | hedule A | check box b, enter | thip of Partnership Interest. Control of the name, address, and U.S. est you constructively own. See | taxpayer identifying | | iler. If you |
| | | a 🗓 Owns a direct inte | erest | b Owns a construct | tive interest | |
| | | Name | Address | Identifying number (if | any) Check if foreign person | Check if direct partner |
| | | | | | | |
| Sc | hedule A-1 | Cortain Partners of E | oreign Partnership (see instru | otions) | | |
| OU | neddie A- | Name | Address | Identifying num | ber (if any) | Check if foreign person |
| tran | sferred cash | RY 3 FILER that only and did not own a 10% | | | | |
| | | st in the transferee r the transfer. | | | | |
| Doe Sc | es the partner hedule A-2 | Affiliation Schedule. | person as a direct partner? List all partnerships (foreign o or indirectly owns a 10% interes | r domestic) in which | Yes the foreign pa | No artnership |
| | | Name | Address | EIN (if any) | Total ordinary income or loss | Check if foreign partnership |
| N/A | | | | | | |
| | | | | | | |
| | hedule B | | rade or Business Income | N/A - CATEGORY 3 | | <u> </u> |
| Cau | ition. Include | only trade or business income | e and expenses on lines 1a through | 22 below. See the instruc | | formation. |
| | 1a Gross | receipts or sales | · · · · · · · · · · · · · · · · · · · | la | | |
| | | eturns and allowances | | b | 1c | · · · · · · · · |
| ne | | O * | | | 3 | |
| Income | | = | tnerships, estates, and trusts (attach | | 4 | |
| 드 | | • | ule F (Form 1040)) | | 5 | |
| | _ | • • | rt II, line 17 (attach Form 4797) ent) | | 7 | |
| | 8 Total i | ncome (loss). Combine lines | 3 through 7 | · · · · · · · · · · · · · · · · · · · | 8 | |
| | | | partners) (less employment credits) | | 9 | - |
| <u>ව</u> | | | | | 10 | |
| utatio | | s and maintenance | | 12 | | |
| ž. | | | 13 | | | |
| ons f | | and licenses | 14 | | | |
| LCTIONS (see instructions for limitations) | 15 Interes | t | | | 15 | |
| eins | | | m 4562) | | 400 | |
| 8 | | | ere on return | | 16c | |
| O S | · · | • | as depletion) | | 18 | |
| <u>1</u> | | rent plans, etc | | | 19 | |

Employee benefit programs

Total deductions. Add the amounts shown in the far right column for lines 9 through 20......

Ordinary business income (loss) from trade or business activities Subtract line 21 from line 8

20

21

22

19

20

| | 8865 (2005) nedule D Capital Gains | and Losses | N/A - CATEGOR | √ 2 EII ED | . | | Page |
|--|--|---|-------------------------------------|---------------------------------------|--------------------------------------|-------------|---|
| Par | | | | | . | | |
| (a) Description of property (e g , 100 shares of "Z" Co) | | (e g 100 shares (b) Date acquired (month, day year) | | (d) Sales price (see instructions) | (e) Cost or other ba | | (f) Gain or (loss) Subtract (e) from (d) |
| 1_ | | | | | | | |
| | | | | i | | | |
| | | | | | | Ť | |
| 2 | Short-term capital gain from i | nstallment sales from | Form 6252, line 26 | or 37 | | 2 | |
| 3 | Short-term capital gain (loss) | from like-kind exchan | ges from Form 882 | 4 | | 3_ | - · |
| 4 | Partnership's share of net shor gains (losses), from other partnership | | | | | 4 | |
| 5 | Net short-term capital gain of Form 8865, Schedule K, line | or (loss). Combine lin 8 or 11 | es 1 through 4 in c | olumn (f). Enter h | ere and on | 5 | |
| Par | Long-Term Capital (| Gains and Losses- | -Assets Held Mo | ore Than One Y | 'ear | | |
| | (a) Description of property (e g , 100 shares of "Z" Co) | (b) Date acquired (month, day, year) | (c) Date sold (month, day, year) | (d) Sales price (see instructions) | (e) Cost or othe (see instruction | | (f) Gain or (loss) Subtract (e) from (d) |
| 6 | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | - | | | | | |

Long-term capital gain from installment sales from Form 6252, line 26 or 37

Long-term capital gain (loss) from like-kind exchanges from Form 8824

Partnership's share of net long-term capital gain (loss), including specially allocated long-term capital gains (losses), from other partnerships, estates, and trusts

Capital gain distributions

Net long-term capital gain or (loss). Combine lines 6 through 10 in column (f). Enter here and on

Form **8865** (2005)

9

10

11

7

8

10

| Sched | lule | Total amount | |
|-------------------------------------|------|--|--|
| | 1 | Ordinary business income (loss) (page 2, line 22) | 1 1 1 |
| _ | l . | Net rental real estate income (loss) (attach Form 8825) | 2 |
| | | Other gross rental income (loss) 3a | |
| | | Other gross rental income (loss) | 1-: |
| | 1 | | 3c |
| ≅ | l. | Other net rental income (loss) Subtract line 3b from line 3a | 4 |
| SS | 4 | Guaranteed payments | 5 |
| 7 | 5 | Interest income | |
| Income (Loss) | 6 | Dividends a Ordinary dividends | 6a |
| Ē | | b Qualified dividends | |
| ĕ | 7 | Royalties | 7 |
| = | 8 | Net short-term capital gain (loss) | 8 |
| | | Net long-term capital gain (loss) | 9a |
| | b | Collectibles (28%) gain (loss) | |
| | c | Unrecaptured section 1250 gain (attach statement) | 44. 2 |
| | 10 | | 10 |
| | 11 | Other income (loss) (see instructions) Type ▶ | 11 |
| ยน | 12 | Section 179 deduction (attach Form 4562) | 12 |
| 엹 | 13a | Contributions | 13a |
| <u>3</u> | | Investment interest expense | 13b |
| Deductions | С | Section 59(e)(2) expenditures. (1) Type ▶ (2) Amount ▶ | 13c(2) |
| | d | Other deductions (see instructions) Type ▶ | 13d |
| Self. Employ- ment | | Net earnings (loss) from self-employment | 14a |
| Self- Empl | b | Gross farming or fishing income | 14b |
| NII F | C | Gross nonfarm income | 14c |
| . w (I) | 15a | Low-income housing credit (section 42(j)(5)) | 15a |
| დ <u>ყ</u> | b | Low-income housing credit (other) | 15b |
| はの辞 | С | Qualified rehabilitation expenditures (rental real estate) (attach Form 3468) | 15c |
| Credits & Credit | đ | Other rental real estate credits (see instructions) Type ▶ | 15d |
| | е | Other rental credits (see instructions) Other credits and credit recapture (see instructions) Type | 15e |
| | | | 15f |
| | | Name of country or U S. possession ▶ | <u></u> |
| ž. | | Gross income from all sources | 16b |
| ¥ | С | Gross income sourced at partner level | 16c |
| šac | | Foreign gross income sourced at partnership level | |
| Transactions | d | Passive ▶ e Listed categories (attach statement) ▶ f General limitation ▶ | 16f |
| Ĕ | | Deductions allocated and apportioned at partner level | 401 |
| E | g | Interest expense ▶ h Other | 16h |
| Foreign | | Deductions allocated and apportioned at partnership level to foreign source income | <u> </u> |
| Ģ | | Passive ▶ j Listed categories (attach statement) ▶ k General limitation ▶ | 16k |
| | | Total foreign taxes (check one) ▶ ☐ Paid ☐ Accrued | 161 |
| | | Reduction in taxes available for credit (attach statement) | 16m |
| | | Other foreign tax information (attach statement) | |
| Alternative Minimum Tax (AMT) Items | | Post-1986 depreciation adjustment | 17a |
| five Terr | | Adjusted gain or loss | 17b |
| Alternative linimum Ta | | Depletion (other than oil and gas) | 17d |
| ¥ in te | | Oil, gas, and geothermal properties—gross income | 17e |
| 753 | | Oil, gas, and geothermal properties—deductions | 17f |
| | | | 18a |
| <u>.</u> 0 | | Tax-exempt interest income | 18b |
| ıat | | Other tax-exempt income | 18c |
| H. | | Nondeductible expenses | 19a |
| Je | | Distributions of cash and marketable securities | 19b |
| Other Information | | Distributions of other property | 20a |
| PE I | | Investment expenses | 20b |
| ゟ | | Investment expenses | |
| | | other remounts farther elation of the first state o | <u> </u> |

| | nedule L Balance Sheets per Books. (| | | | |
|-----|--|-----------------------|---------------------------------------|-----------------|-------------|
| | | Beginnin | g of tax year | End o | of tax year |
| | Assets | (a) | (b) | (c) | (d) |
| 1 | Cash | <u>'</u> | | J | |
| 2a | Trade notes and accounts receivable | | | | |
| b | Less allowance for bad debts | | | , , , | |
| 3 | Inventories | 4.5 5 5 5 | | | |
| 4 | U.S. government obligations | | | | |
| 5 | Tax-exempt securities | ž | | | |
| 6 | Other current assets (attach statement) | § 3 1 1 | | 1 1 1 1 1 1 | |
| 7 | Mortgage and real estate loans | ડી જાં≎ કે સ મ | | 1 . | |
| 8 | Other investments (attach statement) | , , , , , , , , , , , | | , 27 pr 3 2 20° | |
| 9a | Buildings and other depreciable assets | | , y , s , r | | 在 |
| b | Less accumulated depreciation | | | | M |
| 10a | Depletable assets | | 人物機 数 於京人 | | 物的小质型沙門 |
| b | Less accumulated depletion | | | 4 3/ 2/ | |
| 11 | Land (net of any amortization) | | | 京南南海南京 | 2 0 0 0 |
| 12a | Intangible assets (amortizable only) | | | | 李 李 李 李 皇 等 |
| b | Less accumulated amortization | | <u> </u> | | |
| 13 | Other assets (attach statement) | / 李操而 安安 | | 1 . 并参考,去 | |
| 14 | Total assets | · 14 0 14 14 14 14 14 | | 李李章中又二 | |
| | Liabilities and Capital | > \ | | | |
| 15 | Accounts payable | The state of the | | 1 | |
| 16 | Mortgages, notes, bonds payable in less than 1 year. | were a time | · · · · · · · · · · · · · · · · · · · | 秦中 李 李 李 李 李 | |
| 17 | Other current liabilities (attach statement) | 13 # R 3 4 | | 4 2 4 6 4 4 | |
| 18 | All nonrecourse loans | | | 专业工业净额 | |
| 19 | Mortgages, notes, bonds payable in 1 year or more. | and the state of the | | 如本并如中中 | |
| 20 | Other liabilities (attach statement) | السيانية | | | |
| | Partners' capital accounts | | | | |

| | 8865 (2005) | | | | | Page | <u>e 6</u> |
|-----|--|----------|-------------|---|--------------|-----------------------------|----------------|
| Sc | hedule M Balance Sheets for Interest Allocati | on | | N/A - CATEGORY 3 FILE | ER | | |
| ` | | | | (a) Beginning of tax year | En | (b) d of year | |
| 1 | Total U S. assets | | | | | | |
| 2 | Total foreign assets: | | | . 3, , , , | · * 14 14 | | ائــ |
| а | Passive income category | | | | | | |
| | Listed categories (attach statement) | | | | | | |
| | General limitation income category | | | | | | |
| Scl | nedule M-1 Reconciliation of Income (Loss) per B 1, is answered "Yes") | looks W | ith Inco | me (Loss) per Return. (N N/A - CATEGORY 3 FILE | | Item G9, pag | ge |
| | | 6 | Incom | e recorded on books this | 3 | | |
| 1 | Net income (loss) per books | | | ot included on Schedule K | | | |
| 2 | Income included on Schedule K, | į | | through 11 (itemize): | | | |
| | lines 1, 2, 3c, 5, 6a, 7, 8, 9a, 10, | a | Tax-ex | cempt interest \$ | - 1 | | |
| | and 11 not recorded on books | | | | | | |
| | this year (itemize): | 7 | Deduct | tions included on Schedule | | | |
| 3 | Guaranteed payments (other | | K, lines | s 1 through 13d, and 16l not | t | | |
| | than health insurance) | | | d against book income this | | | |
| 4 | Expenses recorded on books | } | | emize) | 1 | | |
| | this year not included on | a | Depre | ciation \$ | _ | | |
| | Schedule K, lines 1 through 13d, | | | - | _ | | |
| | and 16I (itemize): | | | | _ | | |
| | Depreciation \$ | - [| | | | | |
| b | Travel and entertainment | 8 | Add lir | nes 6 and 7 | | | |
| | \$ | 9 | | e (loss). Subtract line 8 | 3 | | |
| 5 | Add lines 1 through 4 | | from li | ne 5 | | | |
| Sc | nedule M-2 Analysis of Partners' Capital Acco | ounts. (| | | 1, is answer | | |
| 1 | Balance at beginning of year . | 6 | Distrib | utions: a Cash | | CATEGORY: | <u>3 F</u> ILE |
| 2 | Capital contributed. | | | b Property | | | |
| | a Cash | 7 | Other | decreases (itemize): | - | | |
| | b Property | | | | . [| | |
| 3 | Net income (loss) per books . | | | | - | | |
| 4 | Other increases (itemize): | | | | - | | |
| | | 8 | Add lir | nes 6 and 7 | ļ | | _ |
| _ | | 9 | | e at end of year. Subtract | ; | | |
| 5 | Add lines 1 through 4 | l | line 8 t | from line 5 | i | | |

Schedule N Transactions Between Controlled Foreign Partnership and Partners or Other Related Entities

| | • <u> </u> | | 3110 BOTTIO | 7011 0011ti 011 | .ou : 0:0:g | | omp and raidio | 0 0. 0 | natou Ellinico | , |
|------------|------------|--------------|---------------|-----------------|--------------|----------------|---------------------|------------------|------------------|----|
| mportant: | Complete | a separate | Form 8865 | and Schedul | e N for eac | h controlled | foreign partnership | Enter the totals | for each type of | ρf |
| ransaction | that occu | irred betwee | n the foreigr | n partnership a | and the pers | sons listed in | columns (a) throug | h (d) | | |

| | - Transactions of foreign partnership | (a) U S person filing this return | (b) Any domestic corporation or partnership controlling or controlled by the US person filing this return | (c) Any other foreign corporation or partnership controlling or controlled by the U.S. person filing this return | (d) Any U S person with a 10% or more direct interest in the controlled foreign partnership (other than the U S person filing this return) |
|-------------|--|--------------------------------------|---|--|--|
| 1 2 | Sales of inventory Sales of property rights (patents, trademarks, etc.) | | | | |
| 3 | Compensation received for technical, managerial, engineering, construction, or like services | | | | |
| 4 5 6 | Commissions received Rents, royalties, and license fees received Distributions received | | | | |
| 7 | Interest received Other | | | | |
| 9 | Add lines 1 through 8 | <u> </u> | | | |
| 11 | Purchases of inventory | | | | |
| | technical, managerial, engineering, construction, or like services | | | | |
| | Distributions paid | | | | |
| 18 | Other | | | | |
| <u>19</u> | Add lines 10 through 18. | | | | |
| | Amounts borrowed (enter the maximum loan balance during the year) —see instructions | | | | |
| | maximum loan balance during the year)—see instructions | | | | |

Application for Extension of Time To File an Exempt Organization Return

► File a separate application for each return.

OMB No 1545-1709

| alterna Heveride | - COLVICE | | | | |
|---|---|---|--|--|--|
| If you are | filing for an Automatic 3-Month Extension, complete only Part I and check this box | ▶ ☑ | | | |
| If you are | filing for an Additional (not automatic) 3-Month Extension, complete only Part II (or | n page 2 of this form). | | | |
| | plete Part II unless you have already been granted an automatic 3-month extension on a p | | | | |
| Part I | Automatic 3-Month Extension of Time—Only submit original (no copies nee | ded) | | | |
| | corporations requesting an automatic 6-month extension—check this box and complete | - | | | |
| Partnerships | porations (including Form 990-C filers) must use Form 7004 to request an extension of s, REMICs, and trusts must use Form 8736 to request an extension of time to file Form | 1065, 1066, or 1041. | | | |
| returns note (not automa | Filing (e-file). Form 8868 can be filed electronically if you want a 3-month automatic extended below (6 months for corporate Form 990-T filers). However, you cannot file it electronitic) 3-month extension, instead you must submit the fully completed signed page 2 (Pile electronic filing of this form, visit www.lrs.gov/efile. | cally if you want the additional | | | |
| Type or print | Name of Exempt Organization THE ROCKEFELLER FOUNDATION | Employer identification number 13: 1659629 | | | |
| File by the due date for filing your | Number, street, and room or suite no. If a P.O. box, see instructions. 420 FIFTH AVENUE | | | | |
| City, town or post office, state, and ZIP code. For a foreign address, see instructions. NEW YORK, NY 10018-2702 | | | | | |
| Check type | of return to be filed (file a separate application for each return): | | | | |
| ☐ Form 99 | Form 990-T (corporation) | ☐ Form 4720 | | | |
| ☐ Form 99 | 0-BL | ☐ Form 5227 | | | |
| ☐ Form 99 | 0-EZ | ☐ Form 6069 | | | |
| Form 99 | 0-PF | ☐ Form 8870 | | | |
| · | | | | | |
| ·, | s are in the care of ▶ THE ROCKEFELLER FOUNDATION | | | | |
| • The books | s are in the care of Filte ROOKEr ELLERY OURDANDING | ************ | | | |
| Telephone | No. ► (212) 869-8500 FAX No. ► (212) 852-8275 | | | | |
| | inization does not have an office or place of business in the United States, check this | box ▶ □ | | | |
| • | or a Group Return , enter the organization's four digit Group Exemption Number (GEN | | | | |
| is for the wi | note group, check this box I it it is for part of the group, check this box I is for part of the group. | and attach a list with the | | | |
| | st an automatic 3-month (6-months for a Form 990-T corporation) extension of time unti- | 1 20 | | | |
| • | he exempt organization return for the organization named above. The extension is for the | | | | |
| _ | calendar year 20.05 or | organization s return tor. | | | |
| | tax year beginning, 20, and ending | | | | |
| , _ | 4 | , | | | |
| 2 If this t | ax year is for less than 12 months, check reason. Initial return Final return | Change in accounting period | | | |
| | application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax andable credits. See instructions | , less any | | | |
| | application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax include any prior year overpayment allowed as a credit | payments \$ 6,443,245 | | | |
| c Baland with F instruct | re Due. Subtract line 3b from line 3a. Include your payment with this form, or, if require TD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment Systions | d, deposit tem). See \$ 404,000 | | | |
| Caution. If y for payment | ou are going to make an electronic fund withdrawal with this Form 8868, see Form 845 instructions. | 3-EO and Form 8879-EO | | | |
| | | | | | |

| Form 8868 (Rev | 12-2004) | Page 2 | | | |
|--|---|--|--|--|--|
| If you are Note, Only compared | filing for an Additional (not automatic) 3-Month Extension, complete only Part II a omplete Part II if you have already been granted an automatic 3-month extension on a pre- | nd check this box Viously filed Form 8868. | | | |
| If you are | filing for an Automatic 3-Month Extension, complete only Part I (on page 1). | nearly mea voin coop. | | | |
| Part II | Additional (not automatic) 3-Month Extension of Time—Must File Origina | l and One Copy. | | | |
| Type or print | Name of Exempt Organization | Employer identification number | | | |
| File by the extended due date for | Number, street, and room or suite no. If a P O. box, see instructions. | For IRS use only | | | |
| filing the return See instructions | City, town or post office, state, and ZIP code For a foreign address, see instructions. | | | | |
| Check type | of return to be filed (File a separate application for each return): | askaning i projekti. Pad katika ang padhaning ang katika ang kinat pakina an ting bilang. Tanggaran | | | |
| ☐ Form 99 | Form 990-T (sec. 401(a) or 408(a) trust) | ☐ Form 5227 | | | |
| ☐ Form 99 | | ☐ Form 6069 | | | |
| Form 99 | = = = = = = = = = = = = = = = = = = = | ☐ Form 8870 | | | |
| ☐ Form 99 | | | | | |
| | ot complete Part II if you were not already granted an automatic 3-month extension o | | | | |
| | are in the care of - | | | | |
| • | No. ► () FAX No. ► () | | | | |
| - | nization does not have an office or place of business in the United States, check this | | | | |
| | r a Group Return, enter the organization's four digit Group Exemption Number (GEN) e group, check this box . If it is for part of the group, check this box If it is for part of the group, check this box | | | | |
| | ElNs of all members the extension is for. | and attach a list with the | | | |
| | st an additional 3-month extension of time until | 20 | | | |
| | endar year, or other tax year beginning, 20, and ending | | | | |
| | ax year is for less than 12 months, check reason: Initial return Final return [| | | | |
| | detail why you need the extension | | | | |
| | | | | | |
| | | | | | |
| | application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative ta Indable credits. See instructions | x, less any | | | |
| | | | | | |
| | pplication is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and ments made. Include any prior year overpayment allowed as a credit and any ar | | | | |
| | sly with Form 8868 | \$ | | | |
| • | e Due. Subtract line 8b from line 8a. Include your payment with this form, or, if requir | ed. deposit | | | |
| | D coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See in | | | | |
| | Signature and Verification | and the second of constitution and and an arrange benefits of | | | |
| Under penalties it is true, correc | of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to | o the best of my knowledge and belief, | | | |
| | May 1. O The | Date > 5/12/06 | | | |
| Signature ▶ | (Master) (Mens Title DINECTOR PROPORTION | | | | |
| П w ь | Notice to Applicant—To Be Completed by the IRSPE | acon ce. | | | |
| | e approved this application. Please aftach this form to the organization's return. | of the data chave below as the disc | | | |
| date of otherwis | e not approved this application. However, we have granted a 10-day grace period from the later the organization's return (including any prior extensions). This grace period is considered to be a se required to be made on a timely return. Please attach this form to the organization's return. | valid extension of time for elections | | | |
| We have to file. V | e not approved this application. After considering the reasons stated in item 7, we cannot grant yo of are not granting a 10-day grace period. | our request for an extension of time | | | |
| | not consider this application because it was filed after the extended due date of the return for | • | | | |
| | | | | | |
| | By | | | | |
| Director | The state of the state of the same of the | Date | | | |
| | ailing Address — Enter the address if you want the copy of this application for an ac in address different than the one entered above. | ditional 3-month extension | | | |
| istained to a | Name | | | | |
| Type or print | Number and street (include suite, room, or apt. no.) or a P.O. box number | | | | |
| E | City or town, province or state, and country (including postal or ZIP code) | | | | |

| Form 8868 (Rev | 12-2004) | | | Page 2 | | |
|--|---|--|-------------------------------|--|--|--|
| Note. Only c | filing for an Additional (not automatic) 3-Month Extension, complete of omplete Part II if you have already been granted an automatic 3-month extension, complete only Part I (on particular of the particular of | ision on a prev | | | | |
| Part II Additional (not automatic) 3-Month Extension of Time—Must File Original and One Copy. | | | | | | |
| Type or print | Name of Exempt Organization THE ROCKEFELLER FOUNDATION | | | dentification number 1659629 | | |
| File by the extended due date for | Number, street, and room or suite no. If a P O box, see instructions 420 FIFTH AVENUE | 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - | For IRS use | only | | |
| filing the return See instructions | City, town or post office, state, and ZIP code. For a foreign address, see instructions NEW YORK, NY 10018-2702 | | | And the second of the second o | | |
| Check type | of return to be filed (File a separate application for each return) | | | | | |
| Form 996 Form 996 Form 996 | D-BL | | | Form 5227 Form 6069 Form 8870 | | |
| Form 99 | · · · · · · · · · · · · · · · · · · · | | | -L. (1- d E | | |
| The books Telephone If the orga If this is fo for the whole | No ► () FAX No. ► () | es, check this umber (GEN) | box | ▶ □ | | |
| names and i | ElNs of all members the extension is for | 15 | 00.06 | | | |
| 5 For call 6 If this t 7 State in large | st an additional 3-month extension of time until NOVENBER endar year .05 , or other tax year beginning ,20. ax year is for less than 12 months, check reason Initial return detail why you need the extension .The Foundation has yet to receive partnership investments due to their filing extensions. Therefore, the ile information for the return. | , and ending Final return [re tax informa | G ☐ Change ation from s | in accounting period several of our | | |
| | application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter th indable credits. See instructions | e tentative ta | x, less any | \$ 6,847,245 | | |
| tax pa | application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundably ments made. Include any prior year overpayment allowed as a cred sly with Form 8868 | | | \$ 6,847,245 | | |
| c Balanc with FT | e Due. Subtract line 8b from line 8a. Include your payment with this form D coupon or, if required, by using EFTPS (Electronic Federal Tax Payment S | n, or, if requir System) See ir | ed, deposit estructions. | \$ | | |
| | Signature and Verification | statements and t | a the best of r | ny kaovilodos and bolisf | | |
| Under penalties of perjury. I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct and complete, and that I am authorated to prepare this form Signature Director, Financial Resources Date Director | | | | | | |
| Signature > | sylvani y corr | | S Date ▶ | 1116/06 | | |
| _ | Notice to Applicant—To Be Completed by | the IRS | | | | |
| We hav date of otherwis | e approved this application. Please attach this form to the organization's return e not approved this application. However, we have granted a 10-day grace period the organization's return (including any prior extensions). This grace period is consider required to be made on a timely return. Please attach this form to the organization. | sidered to be a ion's return | valid extensi | on of time for elections | | |
| to file V | e not approved this application. After considering the reasons stated in item 7, we le are not granting a 10-day grace period. | | | | | |
| _ | not consider this application because it was filed after the extended due date of | | | • | | |
| | By | | | | | |
| Director | | | | | | |
| | ailing Address — Enter the address if you want the copy of this applican address different than the one entered above Name | ation for an ac | dditional 3-r | month extension | | |
| Type or print | Number and street (include suite, room, or apt. no.) or a P.O. box number | . | | | | |
| | City or town, province or state, and country (including postal or ZIP code) | | | | | |