	_	990-T		AMENDEL Exempt O		- SECT: tion Rus				'EAL	urn		OMB No 1545-0687	
	Form	, 3 30-1	•	-xempt O		exy tax und					_	-	ONB 140 1343-0687	
			For cal	lendar year 2018 or othe	•	•	C1 3C	, and end		181	6		2018	
	_	(con)	1 0, 50,			Form990T for in	structio					-	2010	
1	Intern	rtment of the Treasury.	•	Do not enter SSN							(c)(3).		Open to Public Inspections (50 1(c)(3) Organizations	on for Only
8_	Ā	Check box of		Name of organization (Check box if name changed and see inst							· · · ·	D Emplo	yer identification numb	
POSTMARK DATE	<u> </u>	address changed		- Samestan / / /								(Employees' trust, see instructions)		
2	ВЕ	xempt under section	Print	ROCKEFEL	LER BRO	THERS F	UND	, INC.				1	<u>3-1760106</u>	
6	X] 501(c)(3)	Or	Number, street, an									ated business activity constructions)	ode
Ä		408(e) 220(e)	Туре	475 RIVE	RSIDE D	RIVE, N	0. 9	900				`	,	
71		408A 530(a)		City or town, state		. * :	r foreig	n postal code						
E		529(a)	ļ.,	NEW YORK		0115						52 <u>5</u>	990	
	C Bo	ok value of all assets end of year		F Group exemptio			<u> </u>							
. N		<u>,146,793,2</u>				X 501(c) corp	oration	<u>1 501</u>	(c) trust		401(a)		Other tru	ıst
4 2		nter the number of the				es. >	1			the only (or f				
2020	tra	ide or business here								complete Par			•	
		scribe the first in the b			previous senter	nce, complete Pa	rts I an	d II, complete a	Schedule	M for each a	dditiona	al trade	or	
		siness, then complete											. (V),	
		uring the tax year, was "Yes," enter the name a					nt-subsi	idiary controlled	group?			Ye	s X No	
	_	ne books are in care of							Telenho	ne number	2	12-	812-4200	
				le or Busines		5011		(A) Inco			penses		(C) Net	
		Gross receipts or sale			1			(1)		(5) 5.	-		(0)	<u> </u>
	1	Less returns and allow			c Bala	nce 🕨	_{1c}							1
	2	Cost of goods sold (S		A. line 7)			2							<u>i</u>
	3	Gross profit. Subtract					3						*	
	4 a	Capital gain net incom					4a	1,386,	544.				1,386,54	4.
			t gain (loss) (Form 4797, Part II, line 17) (attach Form 4b											
	C	c Capital loss deduction for trusts 4c												
	5	Income (loss) from a	partners	ship or an S corpora	tion (atiach sia	tement)	_ 5	415,	747.	STI	MT 3	3 ;	415,74	7.
	6	Rent income (Schedu	le C)				6							
_	7	Unrelated debt-finance	ed incon	ne (Schedule E)			7							
12	8	Interest, annuities, roy			· =		8							
		Investment income of			(17) organizati	on (Schedule G)								
	10	Exploited exempt activ					10							
	11	Advertising income (S			STATE	MENT 4	11	61	986.				61,98	-
	12 13	Other income (See ins			STATE	MENT 4	12	1,864,					1,864,27	
		Total. Combine lines	ns No	ot Taken Else	where (See	unetructions fo							1,004,27	
SCANNED	<u></u>			utions, deductions		ctly connected	Lwith t	the unrelated l		income.)				
Z	14	Compensation of off				RECE	IVF	n				14		
Z	15	Salaries and wages	10010, 011	cotors, and trastoc				(3)				15		
ပ္သ	16	Repairs and mainten	ance		C126	FEB 2	7 20	20 👸				16		
()	17	Bad debts			10	1 2	# ZU	ltal				17		
	18	Interest (attach sche	dule) (se	ee instructions)	1	OCDE	A	JÉEE	STAT	EMENT	5	18_	3,27	
	19	Taxes and licenses	, ,		L_	OGDE		JI SEE	STAT	EMENT	11	19	87,24	0.
2020	20	Charitable contributi	ons (See	e instructions for lin	nitation rules)	STATEME	ENT	8 SEE	STAT	EMENT	6	20	75,79	0.
	21	Depreciation (attach	Form 45	562)				L	21					
0 5	22	Less depreciation cla	umed or	n Schedule A and els	sewhere on retu	irn		_	22a			22b		
à Y W	23	Depletion						SEE	STAT	EMENT	11	23	93,17	0.
Ĭ	24	Contributions to defe		mpensation plans								24		
	25	Employee benefit pro										25		
الم الم	26	Excess exempt exper										26		
₽ ;	27	Excess readership co						מקום	C m v m	EMENT.	7	27	921 60	2
د ا	28.	Other deductions (at						255	STAT	EMENT	28	28 29	921,69 1,181,16	
Received in	29	Total deductions. A			oratina lass de	duation College	t line of	0 from line 19			- U	-	683,11	
₩.		Unrelated business t			_				tione)			30	000,11	١
 •	31	Deduction for net op Unrelated business t					ıy I, 20	, 10 (966 HISH AC	110115)		21	32	683,11	2 -
	82370	on on-on-in LHA Fo								-	3 \	4	Form 990-T (

Form 990	-T (2018)	ROCKEFELLER BROTHERS FUND, INC. 13-176	0106		P	age 2
Part	iii '	Total Unrelated Business Taxable Income				
38	Total	of unrelated business taxable income computed from all unrelated trades or businesses (see instructions)	33	683	,11	2.
84	Amo	ints paid for disallowed fringes *Repealed under H.R. 1865 Further Consolidated Appropriations Act, 2020	84			0.
36		ction for not operating lose arising in tax years beginning before January 1, 2018 (see instructions)	35	_ = ====		
36	Total	of unrelated business taxable income before specific deduction. Subtract line 35 from the sum of				_
	lines	33 and 34	38	683		
37	Speci	fic deduction (Generally \$1,000, but see line 37 instructions for exceptions)	87	<u> </u>	00	0.
38	Unre		111			_
		the smaller of zero or line 36	48	682	<u>, 11</u>	<u>.2.</u>
Part	N .	Tax Computation				
89	Organ	nizations Taxable as Corporations. Multiply line 38 by 21% (0.21)	89	143	<u>.24</u>	4.
40	Trust	s Taxable at Trust Rates. See instructions for tax computation, income tax on the amount on line 38 from:	111			
		Tax rate schedule or Schedule D (Form 1041)	40			
41	Prox	tax. See Instructions	41			
42	Alterr	native minimum tax (trusts only)	42			
48		n Noncompliant Facility Income. See Instructions	43			
44		Add lines 41, 42, and 43 to line 39 or 40, whichever applies	4	143	<u>. 24</u>	<u>4.</u>
Part	ν .	Tax and Payments	<u> </u>			
45 a	Forei	on tax credit (corporations attach Form 1118; trusts attach Form 1116)	1			
b	Other	credits (see instructions)	1			
0	Gene	credits (see instructions) 45b 45c 20,511.	↓			
d		t for prior year minimum tax (attach Form 8801 or 8827)	1 1			
	Total	oredite. Add lines 45a through 45d	45e	20		
46	Subtr	act line 45e from line 44	48	122	<u>.73</u>	<u> 3.</u>
47	Other	taxes. Check if from: Form 4255 Form 8611 Form 8697 Form 8866 Other (ethach schedule)	47			
48	Total	tax. Add lines 46 and 47 (see instructions)	48	122	<u>,73</u>	<u> 3.</u>
49	2018	net 965 tax liability paid from Form 965-A or Form 965-B, Part II, column (k), line 2,	49			0.
50 (Paym	ents: A 2017 overpayment credited to 2018				
	2018	estimated tax payments] [
		eposited with Form 8868] [
	Forel	in organizations: Tax paid or withheld at source (see instructions) 50d				
	Backı	p withholding (see instructions) SBS STATEMENT 11 5(6 50s 12.] [
1	Credi	for small employer health insurance premiums (attach Form 8941)] [
		credits, adjustments, and payments: Form 2439	1 1			
•	•	Form 4136 Other Total > 50g	1 1			
61		payments. Add lines 50a through 50g	61	694	,96	8.
52		ated tax penalty (see instructions). Check if Form 2220 is attached	52			
63		ue. If line 51 is less than the total of lines 48, 49, and 52, enter amount owed	63			
54,		ayment. If line 51 is larger than the total of lines 48, 49, and 52, enter amount overpaid	64	572	, 23	35.
1,58	•	the amount of line 54 you want; Credited to 2019 estimated tax > 554,977. Refunded	55	17	, 25	58.
Part		Statements Regarding Certain Activities and Other Information (see instructions)				
56		time during the 2018 calendar year, did the organization have an interest in or a signature or other authority		Y	/es	No
•••		i financial account (bank, securities, or other) in a foreign country? If "Yes," the organization may have to file			П	
		N Form 114, Report of Foreign Bank and Financial Accounts. If "Yes," enter the name of the foreign country			ł	
	here			1:	x	
67		g the tax year, did the organization receive a distribution from, or was it the grantor of, or transferor to, a foreign trust?				X
07		s," see instructions for other forms the organization may have to file.		···		
58		the amount of tax-exempt interest received or accrued during the tax year >\$ 262. SEE	STMT	11	- 1	
	115	de appetité of partier i declare that i have exemined this return, including accompanying schedules and statements, and to the bast of my knowles	dge and bell	ef, R is true,		
Sign	00	rect, end complets. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.				
Here				liscuss this ret shown below (c		lth
				X Yes		No
			if PTIN			
Paid		CARRETT M. HIGGINS HAITT M Har 21,12020 self-employed		05432	n a	
Prep	Brer	3344432		-1728		ξ
Use (Only	Firm's name ▶ PKF O'CONNOR DAVIES, LLP '\ Firm's EIN ▶	41	-1/40	_	
		665 FIFTH AVENUE				

Phone no. 212-286-2600

Form 990-T (2018)

823711 01-09-18

Firm's address ► NEW YORK, NY 10022

Schedule A - Cost of Good	ls Sold. Enter	method of inven	tory valuation N/A	<u> </u>				
1 Inventory at beginning of year	1		6 Inventory at end of ye		<u> </u>	6		
2 Purchases	2		7 Cost of goods sold. S		line 6			
3 Cost of labor	3		from line 5. Enter here			_		
4a Additional section 263A costs			line 2			7		
(attach schedule)	4a		8 Do the rules of section	n 263A (with respect to		Yes No	
b Other costs (attach schedule)	4b		property produced or	acquired	d for resale) apply to			
5 Total. Add lines 1 through 4b	5		the organization?	•	,			
Schedule C - Rent Income	(From Real	Property and	Personal Property	Lease	d With Real Prop	erty)		
(see instructions)								
1. Description of property								
(1)		 _						
(2)								
(3)								
(4)								
		red or accrued			3(a) Deductions directly	connected with th	ne income in	
rent for personal property is more than of rent for			and personal property (if the percent personal property exceeds 50% or if it is based on profit or income)	age	columns 2(a) and 2(b) (attach schedule)			
(1)								
(2)								
(3)								
(4)		T						
Total	0.	Total		0.				
(c) Total income. Add totals of columns here and on page 1, Part I, line 6, columns		nter		0.	(b) Total deductions. Enter here and on page 1, Part I, line 6, column (B)	.	0.	
Schedule E - Unrelated De		Income (see	instructions)		1			
		(000		T	3. Deductions directly conn		cable	
			Gross income from or allocable to debt-		to debt-finance	T		
1. Description of debt-f	inanced property		financed property	(a)	Straight line depreciation (attach schedule)		er deductions n schedule)	
(1)				+		 -		
(2)								
(3)								
(4)								
4. Amount of average acquisition debt on or allocable to debt-financed property (attach schedule)	4. Amount of average acquisition 5. Average debt on or allocable to debt-financed of or allocable to debt-financed		6. Column 4 divided by column 5		7. Gross income reportable (column 2 x column 6)	(column 6	able deductions x total of columns a) and 3(b))	
(1)			%		· · · · · · · · · · · · · · · · · · ·			
(2)			%			<u> </u>		
(3)				<u> </u>		<u> </u>		
(4)			%	<u> </u>				
					Enter here and on page 1, Part I, line 7, column (A)		and on page 1, 7, column (B)	
Totals			_		0.	.	0.	
Total dividende-received deductions	included in colum	n 0	•				0.	

Schedule F - Interest, A	Annuities, Ro	yalties, ar				<u>-</u>	tions	(see ins	truction	s)
	}		Exempt	Controlled O	rganızatı	ons				<u> </u>
Name of controlled organizati	ion 2	Employer entification number		related income e instructions)		tal of specified ments made	include	of column 4 to d in the contr ition's gross i	olling	6. Deductions directly connected with income in column 5
(1)							1			
(2)										
(3)					l					
(4)										
Nonexempt Controlled Organiz	zations									
7. Taxable Income	8. Net unrelated i (see instruc		9. Total	of specified pays made	nents	10 Part of colu in the controll gros	mn 9 that ing organi s income	is included zation's		ductions directly connected income in column 10
(1)			 							
(2)			 		"					
(3)										
(4)										
						Add colur Enter here and line 8,		1, Part I,	Enter h	d columns 6 and 11 ere and on page 1, Part I, line 8, column (B)
Totals					<u> </u>			0.		<u> </u>
Schedule G - Investme (see instr		a Section	501(c)(7 	7), (9), or (17) Org					···
1. Descr	ription of income			2. Amount of	income	3. Deduction directly connected (attach scheduler)	ected	4. Set-asides (attach schedule)		5, Total deductions and set-asides (col 3 plus col 4)
(1)										<u> </u>
(2)				<u></u>						
(3)	······································			ļ						<u> </u>
(4)			·							<u></u>
				Enter here and Part I, line 9, co	ilumn (A)					Enter here and on page 1, Part I, line 9, column (B)
Totals				<u> </u>	0.					0.
Schedule I - Exploited I (see instru		ity Incom	e, Other	Than Adv	ertisin	g Income				
Description of exploited activity	2. Gross unrelated business income from trade or business	directly with p of u	xpenses connected roduction nrelated ss income	4. Net incor from unrelated business (co minus colum gain, comput through	trade or olumn 2 n 3) If a e cols 5	5. Gross income from activity that is not unrelated business income 6. Expenses attributable to column 5		attributable to		7. Excess exempt expenses (column 6 minus column 5, but not more than column 4)
(1)										1
(2)										
(3)										
(4)	Enter here and on page 1, Part I, line 10, col (A)	page line 10	ere and on 1, Part I, 0, col (B)				,			Enter here and on page 1, Part II, line 26
Totals) • l	0.	<u></u>						0.
Schedule J - Advertisir				1! -1 - 41	Dania					
Part I Income From I	Periodicals R	eported o	on a Con	solidated	Basis	<u> </u>				
1. Name of periodical	2. Gro advertis incom	ing ad	3. Direct vertising costs	or (loss) (c col 3) If a g	tising gain of 2 minus ain, comput hrough 7	5. Circula e income		6. Read cost		7. Excess readership costs (column 6 minus column 5, but not more than column 4)
(1)										
(2)				⊣ ,		·				
(3)						<u> </u>				
(4)						<u> </u>				
Totals (carry to Part II, line (5))	•	0.	0			<u> </u>				0.
										Form 990-T (2018

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

1. Name of periodical		2. Gross advertising income	3. Direct advertising costs	4. Advertising gain or (loss) (col 2 minus col 3) If a gain, compute cols 5 through 7	5. Circulation income	6. Readership costs	7. Excess readership costs (column 6 minus column 5, but not more than column 4)
(1)							
(2)							
(3)							
(4)							
Totals from Part I	•	0.	0.	•			0
		Enter here and on page 1, Part I, line 11, col (A)	Enter here and on page 1, Part I, line 11, col (B)		•	·	Enter here and on page 1, Part II, line 27
Totals, Part II (lines 1-5)		0.	0.			•	0

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

1. Name	2. Title	3. Percent of time devoted to business	Compensation attributable to unrelated business
(1)		%	
(2)		%	
(3)		%	
(4)		%	
Total. Enter here and on page 1, Part II, line 14			0.

Form 990-T (2018)

SCHEDULE D (Form 1120) Department of the Treasury Internal Revenue Service

Capital Gains and Losses

➤ Attach to Form 1120, 1120-C, 1120-F, 1120-FSC, 1120-H, 1120-IC-DISC, 1120-L, 1120-ND, 1120-PC, 1120-POL, 1120-REIT, 1120-RIC, 1120-SF, or certain Forms 990-T.

➤ Go to www.irs.gov/Form1120 for instructions and the latest information.

OMB No 1545-0123

Name

Employer identification number

	ROCKEFELLER BROTHE		<u></u> .		<u>тэ-</u>	1/60106
	Part I Short-Term Capital Gai	ns and Losses (See	instructions.)			
See to e	e instructions for how to figure the amounts enter on the lines below.	(d) Proceeds	(e) Cost	(I) Adjustments to gain or loss from Form(s) 894	n	(h) Gain or (loss) Subtract column (e) from column (d) and
Thi	s form may be easier to complete if you nd off cents to whole dollars.	(sales price)	(or other basis)	or loss from Form(s) 894 Part I, line 2, column (g	9,) 	column (e) from column (d) and combine the result with column (g)
1a	Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b					
1b	Totals for all transactions reported on					
	Form(s) 8949 with Box A checked					
2	Totals for all transactions reported on				_	
	Form(s) 8949 with Box B checked					
3	Totals for all transactions reported on					
	Form(s) 8949 with Box C checked					
4	Short-term capital gain from installment sales	from Form 6252, line 26 or 37	7		4	
5	Short-term capital gain or (loss) from like-kind	d exchanges from Form 8824			5	
6	Unused capital loss carryover (attach computa	ation)			6	(
7	Net short-term capital gain or (loss). Combine	e lines 1a through 6 in column	h		7	
Ŀ	Part II Long-Term Capital Gai	ns and Losses (See i	nstructions.)			
to e	e instructions for how to figure the amounts enter on the lines below.	(d) Proceeds	(e) Cost	(g) Adjustments to gail or loss from Form(s) 894	9,	(ħ) Gain or (loss) Subtract column (e) from column (d) and
rou	s form may be easier to complete if you nd off cents to whole dollars.	(sales price)	(or other basis)	Part II, line 2, column (g)	combine the result with column (g)
8a	Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b					
8b	Totals for all transactions reported on					ļ
	Form(s) 8949 with Box D checked					
9	Totals for all transactions reported on					
	Form(s) 8949 with Box E checked			 		
10	Totals for all transactions reported on					1 166 361
_	Form(s) 8949 with Box F checked					1,166,361.
	Enter gain from Form 4797, line 7 or 9				11	220,279.
	Long-term capital gain from installment sales		(12	
	Long-term capital gain or (loss) from like-king	d exchanges from Form 8824			13	
	Capital gain distributions				14	1,386,640.
	Net long-term capital gain or (loss). Combine		<u>n n</u>		15	1,300,040.
	Part III Summary of Parts I and		Line (line 45)		40	<u> </u>
	Enter excess of net short-term capital gain (lii			. 71	16	1,386,544.
	Net capital gain. Enter excess of net long-term			(1)	17	1,386,544.
18	Add lines 16 and 17. Enter here and on Form	· -	oper line on other returns.		18	1,300,344.
	Note: If losses exceed gains, see Capital loss	es in the instructions.				

JWA

Schedule D (Form 1120) 2018

For Paperwork Reduction Act Notice, see the Instructions for Form 1120.

FORM 990-T	OTHER DEDUCTIONS	STATEMENT 7
DESCRIPTION		AMOUNT
ACCOUNTING FEES INVESTMENT MANAGEMENT FEES		64,000. 264,852.
IDC EXPENSES FROM THE FOLLOWI INVESTURE EVERGREEN FUND, L.P NATURAL GAS PARTNERS VIII, L. STRATEGIC PARTNERS FUND III, STRATEGIC PARTNERS FUND III V	P. L.P.	483,933. -111. 3,242. 408.
OTHER DEDUCTIONS FROM THE FOLINVESTURE EVERGREEN FUND, L.P. NB CO-INVESTMENT PARTNERS LP. STRATEGIC PARTNERS FUND III, STRATEGIC PARTNERS FUND III V	L.P.	103,073. 47. 396. 1,852.
TOTAL TO FORM 990-T, PAGE 1,	LINE 28	921,692.

FORM 990-T	CONTRIBUTIONS SUMMARY		STATEMENT	8
QUALIFIED CONTRIBU	JTIONS SUBJECT TO 100% LIMIT			
CARRYOVER OF PRIOR FOR TAX YEAR 201 FOR TAX YEAR 201 FOR TAX YEAR 201 FOR TAX YEAR 201 FOR TAX YEAR 201	4 5 6			
TOTAL CARRYOVER TOTAL CURRENT YEAR	R 10% CONTRIBUTIONS	33,831,422		
TOTAL CONTRIBUTION TAXABLE INCOME LIN	NS AVAILABLE MITATION AS ADJUSTED	33,831,422 75,790	•	
EXCESS 10% CONTRIB EXCESS 100% CONTRI TOTAL EXCESS CONTR	IBUTIONS	33,755,632 0 33,755,632	•	
ALLOWABLE CONTRIBU	JTIONS DEDUCTION		75,'	79(
TOTAL CONTRIBUTION	N DEDUCTION		75,	79

FORM 990-T NAME OF FOREIGN COUNTRY IN WHICH STATEMENT 9
ORGANIZATION HAS FINANCIAL INTEREST

NAME OF COUNTRY

CHINA
ISRAEL
MALAYSIA
PORTUGAL
KOREA (SOUTH)

ROCKEFELLER BROTHERS FUND INC.	13-1760106
	STATEMENT 11
FORM 990-T, PART II, LINE 19 - TAXES AND LICENSES:	
ARIZONA IDAHO	50. 30.
LOUSISANA	8.
MARYLAND MONTANA	18,247. 50.
NEW MEXICO	50.
NEW YORK OREGON	250. 150.
RHODE ISLAND	400.
FOREIGN TAXES PAID	68,005.
TOTAL TAXES PAID	87,240.
FORM 990-T, PART II, LINE 23 - DEPLETION:	
INVESTURE EVERGREEN FUND, L.P.	92,980.
NATURAL GAS PARTNERS VIII, L.P.	190.
TOTAL DEPLETION	93,170.
FORM 990-T, PART V, LINE 50E - BACK-UP WITHHOLDING:	
INVESTURE EVERGREEN FUND, L.P. (EIN: 20-5583068)	12.
TOTAL BACK-UP WITHHOLDING	12.
FORM 990-T, PART VI, LINE 58 - TAX-EXEMPT INTEREST	
INVESTURE EVERGREEN FUND, L.P.	19.
NB CO-INVESTMENT PARTNERS LP STRATEGIC PARTNERS FUND III VC, L.P.	57. 186.
GINALEGIC EMIMENO FUND III VC, D.I.	

262.

TOTAL TAX-EXEMPT INTEREST

Department of the Treasury Internal Revenue Service

Sales and Other Dispositions of Capital Assets

OMB No. 1545-0074

Go to www.irs.gov/Form8949 for instructions and the latest information. ▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D. equence No 12A

Name(s) shown on return

ROCKEFELLER BROTHERS FUND, INC.

Social security number or taxpayer identification no.

13-1760106

Before you check Box A, B, or C below, see whether you received any Form(s) 1099-B or substitute statement(s) from your	broker	A substitute
statement will have the same information as Form 1099-B. Either will show whether your basis (usually your cost) was repor		
proker and may even tell you which box to check		• •

Part I | Short-Term. Transactions involving capital assets you held 1 year or less are generally short-term (see instructions). For long-term transactions, see page 2. Note: You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 1a, you aren't required to report these transactions on Form 8949 (see instructions) You must check Box A, B, or C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see Note above) (B) Short-term transactions reported on Form(s) 1099-B showing basis wasn't reported to the IRS X (C) Short-term transactions not reported to you on Form 1099-B Adjustment, if any, to gain or (c) (d) (e) loss. If you enter an amount Proceeds Cost or other Gain or (loss). Description of property Date acquired Date sold or in column (g), enter a code in (sales price) basis. See the Subtract column (e) (Example, 100 sh. XYZ Co.) (Mo., day, yr.) disposed of column (f). See instructions. Note below and from column (d) & (Mo., day, yr.) combine the result see *Column (e)* ın Amount of adjustment Code(s) with column (g) the instructions INVESTURE EVERGREEN FUND L.P.-INVESTURE <198.> STRATEGIC PARTNERS FUND III L.P.-STRATE 102. 2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts), Enter each total here and include on your Schedule D, line 1b (if Box A above is checked), line 2 (if Box B above is checked), or line 3 (if Box C above is checked)

Note: If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment.

823011 11-28-18 LHA For Paperwork Reduction Act Notice, see your tax return instructions.

Form 8949 (2018)

Name(s) shown on return. Name and SSN or taxpayer identification no. not required if shown on page 1

Social security number or taxpayer identification no.

						taxpayer ide	entification no.
ROCKEFELLER BR	OTHERS F	UND, INC.	•			13-1	760106
Before you check Box D, E, or F belo statement will have the same information	w, see whether ation as Form 10			or substitute statem or basis (usually you	ent(s) from y r cost) was re	our broker A su eported to the IF	bstitute RS by your
Part II Long-Term. Transaction	oox to check.						
see page 1 Note: You may aggregate all							
codes are required. Enter the	totals directly on S	Schedule D, line 8a	i, yoù aren't requirec	i to report these trans	actions on For	m 8949 (see instru	ctions)
You must check Box D, E, or F below. Of you have more long-term transactions than will							each applicable box
(D) Long-term transactions rep	orted on Form(s) 1099-B showin	g basis was repor	ted to the IRS (see	Note above	e)	
(E) Long-term transactions rep	orted on Form(s) 1099-B showing	g basis wasn't re	eported to the IRS			
X (F) Long-term transactions not	reported to you	on Form 1099-E		,			
1 (a)	(b)	(c)	(d) Proceeds	(e)		if any, to gain or enter an amount	, ,,,
Description of property (Example: 100 sh, XYZ Co.)	Date acquired (Mo., day, yr)	Date sold or disposed of	(sales price)	Cost or other basis. See the	ın column (g), enter a code in	Gain or (loss). Subtract column (e)
(Example 100 sil. X12 00.)	(IVIO., day, yi /	(Mo., day, yr.)		Note below and	(f)	See instructions.	from column (d) &
		, , , , , , , ,	:	see Column (e) In the instructions	Code(s)	Amount of adjustment	combine the result with column (g)
INVESTURE				<u> </u>		adjuditioni	
EVERGREEN FUND,							
L.PINVESTURE							1176050.
STRATEGIC PARTNERS							
FUND III,				ļ			
L.PSTRATE							<11,617.
STRATEGIC PARTNERS				ļ			<u> </u>
FUND III VC, L.PSTR				 			1,928.
L.PSIK				 			1,320.
				 			
				 			
				 			
							
				 		 .	
				ļ			<u></u>
				<u> </u>			
				 			
				 			
				 			 -
				 			<u> </u>
				 			
				 	 		
				 			
				 			
				† 			
		-					
2 Totals. Add the amounts in colum	nns (d), (e), (g), a	nd (h) (subtract					
negative amounts). Enter each to	tal here and inclu	ide on your		1			
Schedule D, line 8b (if Box D abo							1166361
above is checked) or line 10 (if F	ov F above is ch	necked)	l	1	ı î		1166361.

Note: If you checked Box D above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment.

General Business Credit



OMB No 1545-0895

Department of the Treasury Internal Revenue Service (99) Name(s) shown on return

► Go to www.irs.gov/Form3800 for Instructions and the latest information. ▶ You must attach all pages of Form 3800, pages 1, 2, and 3, to your tax return.

Attachment Sequence No 22 Identifying number

ROCKI	EFELLER BROTHERS FUND, INC.	13	-1760106
Part I	Current Year Credit for Credits Not Allowed Against Tentative Minimum Tax (TMT)	
	(See instructions and complete Part(s) III before Parts I and II)		
1	General business credit from line 2 of all Parts III with box A checked	1	11,566.00
2	Passive activity credits from line 2 of all Parts III with box B checked 2		
3	Enter the applicable passive activity credits allowed for 2018 See instructions	3	
4	Carryforward of general business credit to 2018 Enter the amount from line 2 of Part III with		
	box C checked See instructions for statement to attach	4	8,166.00
5	Carryback of general business credit from 2019 Enter the amount from line 2 of Part III with		
	box D checked See instructions	5	
6	Add lines 1, 3, 4, and 5	6	19,732.00
Part I			
7	Regular tax before credits		
	• Individuals Enter the sum of the amounts from Form 1040, line 11a, and Schedule 2		
	(Form 1040), line 46, or the sum of the amounts from Form 1040NR, lines 42 and 44		
	• Corporations Enter the amount from Form 1120, Schedule J, Part I, line 2, or the		
	applicable line of your return	7	143,244.00
	• Estates and trusts Enter the sum of the amounts from Form 1041, Schedule G,		
	lines 1a and 1b, or the amount from the applicable line of your return \dots		
8	Alternative minimum tax		
	Individuals Enter the amount from Form 6251, line 11		
	• Corporations Enter -0	8	0.00
	• Estates and trusts Enter the amount from Schedule I (Form 1041), line 56		
9	Add lines 7 and 8	9	143,244.00
40-	Foreign tax credit		
10a	Certain allowable credits (see instructions)		
	Add lines 10a and 10b	10c	
C	Add lines for and for ,		
11	Net income tax. Subtract line 10c from line 9 If zero, skip lines 12 through 15 and enter -0- on line 16	11	143,244.00
12	Net regular tax. Subtract line 10c from line 7 If zero or less, enter -0- 12 143,244.00		
13	Enter 25% (0 25) of the excess, if any, of line 12 over \$25,000 See		
	instructions		
14	Tentative minimum tax		
	• Individuals Enter the amount from Form 6251, line 9		
	• Corporations Enter -0		
	Estates and trusts Enter, the amount from Schedule I		
	(Form 1041), line 54		20 561 22
15	Enter the greater of line 13 or line 14	15	29,561.00
16	Subtract line 15 from line 11 If zero or less, enter -0	16	113,683.00
17	Enter the smaller of line 6 or line 16 · · · · · · · · · · · · · · · · · ·	17	19,732.00
	C corporations: See the line 17 instructions if there has been an ownership change, acquisition, or reorganization		

Allowable Credit (continued) Part II Note: If you are not required to report any amounts on line 22 or 24 below, skip lines 18 through 25 and enter -0- on line 26 18 18 19 29,561.00 19 20 <u>113,68</u>3.00 20 21 93,951.00 21 187.00 Combine the amounts from line 3 of all Parts III with box A, C, or D checked 22 Passive activity credit from line 3 of all Parts III with box B checked 23 23 24 Enter the applicable passive activity credit allowed for 2018 See instructions 24 25 187.00 25 Empowerment zone and renewal community employment credit allowed. Enter the smaller of 26 26 187.00 27 113,683.00 27 28 19,919.00 28 29 93,764.00 29 30 592.00 Enter the general business credit from line 5 of all Parts III with box A checked. 30 31 31 Passive activity credits from line 5 of all Parts III with box B checked 32 32 33 33 Enter the applicable passive activity credits allowed for 2018 See instructions Carryforward of business credit to 2018 Enter the amount from line 5 of Part III with box C 34 34 checked and line 6 of Part III with box G checked. See instructions for statement to attach Carryback of business credit from 2019 Enter the amount from line 5 of Part III with box D 35 35 36 592.00 36 37 592.00 37 38 Credit allowed for the current year. Add lines 28 and 37 Report the amount from line 38 (if smaller than the sum of Part I, line 6, and Part II, lines 25 and 36, see instructions) as indicated below or on the applicable line of your return • Individuals Schedule 3 (Form 1040), line 54, or Form 1040NR, line 51...

Corporations Form 1120, Schedule J. Part I, line 5c

20,511.00 Form 3800 (2018)

38

			_	
_	3800 (2018)	(Page
Name	e(s) shown on return		Identifying number	
RO	CKEFELLER BROTHERS FUND, INC.		13-176010	6
Par	t III General Business Credits or Eligible Small Business Credits (see in	structi	ons)	
Con	nplete a separate Part III for each box checked below. See instructions			
Α	X General Business Credit From a Non-Passive Activity E Reserved			
В	General Business Credit From a Passive Activity F Reserved			
С	General Business Credit Carryforwards G Eligible Smal	II Busi	ness Credit Carryfon	wards
D	General Business Credit Carrybacks H Reserved		•	
ı	If you are filing more than one Part III with box A or B checked, complete and attach first an	additio	nal Part III combining	amounts from all Parts
	III with box A or B checked Check here if this is the consolidated Part III	<u> </u>	<u> </u>	▶ X
	(a) Description of credit		(b)	(c)
	: On any line where the credit is from more than one source, a separate Part III is needed for -through entity	each	If claiming the credit from a pass-through entity, enter the EIN	Enter the appropriate amount
1 a	Investment (Form 3468, Part II only) (attach Form 3468)	1a		
b	_	1b		
С			20-5583068	11,533.00
d		1d		
е	Disabled access (Form 8826) (see instructions for limitation)	1e		
f	Renewable electricity, refined coal, and Indian coal production (Form 8835)			
g	Indian employment (Form 8845)	1g		
h				
j	New markets (Form 8874)	1i		
j	Small employer pension plan startup costs (Form 8881) (see instructions for limitation)	1j		
k	Employer-provided child care facilities and services (Form 8882) (see			
	Instructions for limitation)	1k		
- 1	Biodiesel and renewable diesel fuels (attach Form 8864)			
n	Low sulfur diesel fuel production (Form 8896)	1m		

b Reserved 1b	1 a	Investment (Form 3468, Part II only) (attach Form 3468)	<u> 1a</u>		
Comparison Com	b	Reserved			
d Low-income housing (Form 8586, Part I only) Disabled access (Form 8820) (see instructions for limitation). 1 Renewable electricity, refined coal, and Indian coal production (Form 8835). 1 Indian employment (Form 8845). 1 Norphan drug (Form 8820). 1 New markets (Form 8874). 1 Small employer penson plan startup costs (Form 8881) (see instructions for limitation). 1 Employer-provided child care facilities and services (Form 8882) (see instructions for inmitation). 1 Biodiesel and renewable diesel fuels (attach Form 8884). 1 Biodiesel and renewable diesel fuels (attach Form 8884). 1 Indian District (Form 8906). 1 Indian District (Form 8906). 1 Indian District (Form 8906). 2 Nonconventional source fuel (carryforward only). 3 Energy efficient home (Form 8908). 4 Energy efficient home (Form 8908). 4 P. 5 Renergy efficient appliance (carryforward only). 5 Alternative fuel vehicle refueling property (Form 8911). 5 Entranted fuel vehicle refueling property (Form 8911). 5 Entranted fuel vehicle refueling property (Form 8911). 5 Entranted fuel vehicle refueling property (Form 8913). 7 Unalified plug-in electric drive motor vehicle (Form 8933). 8 Unalified plug-in electric drive motor vehicle (Form 8933). 9 Qualified plug-in electric drive motor vehicle (Form 8936). 1 Indian District (Form 89	C	Increasing research activities (Form 6765)	1c	20-5583068	11,533.00
f Renewable electricity, refined coal, and Indian coal production (Form 8935). g Indian employment (Form 8845). h Orphan drug (Form 8840). i New markets (Form 8874). j Small employer pension plan startup costs (Form 8881) (see instructions for limitation). k Employer-provided child care facilities and services (Form 8882) (see instructions for limitation). l Biodiesel and renewable diesel fuels (attach Form 8864). m Low sulfur diesel fuel production (Form 8896). n Distilled spirits (Form 8906). n Distilled spirits (Form 8906). n Distilled spirits (Form 8908). p Energy efficient home (Form 8908). q Energy efficient home (Form 8908). q Energy efficient appliance (carryforward only). p Energy efficient appliance (carryforward only). t Alternative fuel vehicle (Form 8910). t Enhanced oil recovery credit (Form 8930). t Bine rescue team training (Form 8932). t Agricultural chemicals security (carryforward only). t Enhanced oil recovery credit (Form 8932). t Agricultural chemicals security (carryforward only). t Employer differential wage payments (Form 8932). t Agricultural chemicals security (carryforward only). t Employer differential wage payments (Form 8932). t Qualified plug-in electric vehicle (carryforward only). t Employer differential wage payments (Form 8933). t X carbon oxide sequestation (Form 8933). t X carbon oxide sequestation (Form 8933). t X carbon oxide sequestation (Form 8934). t X a Employee retention (Form 5844). b General credits from an electing large partnership (Schedule K-1 (Form 1065-B)). t Z ther Oth and gas production from marginal wells (Form 8904) and certain other credits (see instructions). 2 Add lines 1a through 1zz and enter here and on the applicable line of Part II. 3 alient the amount from Form 8844 here and on the applicable line of Part II. 3 alient the amount from Form 8844 here and on the applicable line of Part II. 4 Co-5583068 d 490.00 G Qualified raifroad track maintenance (Form 8941). i Increasing research activities (Form 8765). 4 Employer credit for paid family and med	d	Low-income housing (Form 8586, Part I only)	1d		
g Indian employment (Form 8845) 1g 1h 1h 1h 1h 1h 1h 1h	е		1e		
h Orphan drug (Form 8820), 1h h	f	Renewable electricity, refined coal, and Indian coal production (Form 8835)	1f		
h Orphan drug (Form 8820), 1h h	g	Indian employment (Form 8845)	1g		
i New markets (Form 8874)	h		1h		
j Small employer pension plan startup costs (Form 8881) (see instructions for limitation) k Employer-provided child care facilities and services (Form 8882) (see instructions for limitation) l Biodiesel and renewable diesel fuels (attach Form 8864) 11	j	New markets (Form 8874)	1i		
Instructions for limitation) I Biodesel and renewable diesel fuels (attach Form 8884) II II III III III III III III III III	j		_1j		
Biodiesel and renewable diesel fuels (attach Form 8864) 11 m 1 m	k	Employer-provided child care facilities and services (Form 8882) (see			
Biodiesel and renewable diesel fuels (attach Form 8864) 11 m 1 m		Instructions for limitation)	1k		
Distilled spirits (Form 8906) 1n	- 1	Biodiesel and renewable diesel fuels (attach Form 8864)	11		
Distilled spirits (Form 8906) 1n	m	Low sulfur diesel fuel production (Form 8896)	1m		
o Nonconventional source fuel (carryforward only), p Energy efficient home (Form 8908), q Energy efficient appliance (carryforward only) r Alternative motor vehicle (Form 8910)	n	Distilled spirits (Form 8906)	1n		
P Energy efficient home (Form 8908), q Energy efficient appliance (carryforward only)		Nonconventional source fuel (carryforward only)	10		
q Energy efficient appliance (carryforward only) r Alternative motor vehicle (Form 8910) s Alternative fuel vehicle refueling property (Form 8911) t Enhanced oil recovery credit (Form 8830) u Mine rescue team training (Form 8923) v Agricultural chemicals security (carryforward only) w Employer differential wage payments (Form 8932) 1 tu v Agricultural chemicals security (carryforward only) w Employer differential wage payments (Form 8932) 1 tu v Carbon oxide sequestration (Form 8933) y Qualified plug-in electric drive motor vehicle (Form 8936) 1 ty 2 Qualified plug-in electric drive motor vehicle (Form 8936) 1 tz 2 Qualified plug-in electric drive motor vehicle (Form 8936) 1 tz aa Employee retention (Form 5884-A) bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) tz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 1 tzz 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I 3 Linvestment (Form 3468, Part III) (attach Form 3468) 4 Investment (Form 3468, Part III) (attach Form 3468) 4 Work opportunity (Form 5884) 4 Bourne housing (Form 8586, Part II) 4 Renewable electricity, refined coal, and Indian coal production (Form 8835) 4 Employer social security and Medicare taxes paid on certain employee tips (Form 8846) 4 Gualified railroad track maintenance (Form 8900) 4 Small employer health insurance premiums (Form 8941) 1 Increasing research activities (Form 6765) 1 Employer credit for paid family and medical leave (Form 8994) 2 Other 5 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 7 Enter the amount form track maintenance (Form 8941) 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 7 Enter the amount form track maintenance (Form 8941) 7 Employer credit for paid family and medical leave (Form 8941) 8 Employer credit for paid family and medical leave (Form 8941) 9 Employer c	р		1p		
s Alternative fuel vehicle refueling property (Form 8911) t Enhanced oil recovery credit (Form 8830) 1t u Mine rescue team training (Form 8923) v Agricultural chemicals security (carryforward only) v Employer differential wage payments (Form 8932) x Carbon oxide sequestration (Form 8933) y Qualified plug-in electric drive motor vehicle (Form 8936) 2 Qualified plug-in electric vehicle (carryforward only) a Employee retention (Form 5884-A) bb General credits from an electing large partnership (Schedule K-I (Form 1065-B)) 22 Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I 3 Lengular (Form 3468, Part III) (attach Form 3468) b Work opportunity (Form 5884) c Biofuel producer (Form 6478) d Low-income housing (Form 8566, Part II) e Renewable electricity, refined coal, and Indian coal production (Form 8845) f Employer social security and Medicare taxes paid on certain employee tips (Form 8846) f Employer credit for paid family and medical leave (Form 8994) f Increasing research activities (Form 6765) f Employer credit for paid family and medical leave (Form 8994) f Employer credit for paid family and medical leave (Form 8994) f Add lines 4a through 4z and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable	q	Energy efficient appliance (carryforward only)	1q		
s Alternative fuel vehicle refueling property (Form 8911) t Enhanced oil recovery credit (Form 8830) 1t u Mine rescue team training (Form 8923) v Agricultural chemicals security (carryforward only) v Employer differential wage payments (Form 8932) x Carbon oxide sequestration (Form 8933) y Qualified plug-in electric drive motor vehicle (Form 8936) 2 Qualified plug-in electric vehicle (carryforward only) a Employee retention (Form 5884-A) bb General credits from an electing large partnership (Schedule K-I (Form 1065-B)) 22 Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I 3 Lengular (Form 3468, Part III) (attach Form 3468) b Work opportunity (Form 5884) c Biofuel producer (Form 6478) d Low-income housing (Form 8566, Part II) e Renewable electricity, refined coal, and Indian coal production (Form 8845) f Employer social security and Medicare taxes paid on certain employee tips (Form 8846) f Employer credit for paid family and medical leave (Form 8994) f Increasing research activities (Form 6765) f Employer credit for paid family and medical leave (Form 8994) f Employer credit for paid family and medical leave (Form 8994) f Add lines 4a through 4z and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable line of Part II f S Add lines 2, 3, and 5 and enter here and on the applicable	r	Alternative motor vehicle (Form 8910)	1r		
u Mine rescue team training (Form 8923) v Agricultural chemicals security (carryforward only) w Employer differential wage payments (Form 8932) x Carbon oxide sequestration (Form 8933) y Qualified plug-in electric drive motor vehicle (Form 8936) 2 Qualified plug-in electric vehicle (carryforward only) aa Employee retention (Form 5884-A) bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) zz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I 3 Enter the amount from Form 8844 here and on the applicable line of Part I 4 Investment (Form 3468, Part III) (attach Form 3468) b Work opportunity (Form 5884) c Biofuel producer (Form 6478) d Low-income housing (Form 8586, Part II) e Renewable electricity, refined coal, and Indian coal production (Form 8835) f Employer social security and Medicare taxes paid on certain employee tips (Form 8846) g Qualified railroad track maintenance (Form 8901) h Small employer health insurance premiums (Form 8941) i Increasing research activities (Form 6765) j Employer credit for paid family and medical leave (Form 8994) 2 Other 5 Add lines 4a through 4z and enter here and on the applicable line of Part II 5 5 551.00 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 12,084.00	s	Alternative fuel vehicle refueling property (Form 8911)	_1s_		
v Agricultural chemicals security (carryforward only) w Employer differential wage payments (Form 8932) x Carbon oxide sequestration (Form 8933) y Qualified plug-in electric drive motor vehicle (Form 8936) 2 Qualified plug-in electric vehicle (carryforward only) 2 Qualified plug-in electric vehicle (carryforward only) 3 Employee retention (Form 5884-A) bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) 22 Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part II 3 Enter the amount from Form 8844 here and on the applicable line of Part II 4 Investment (Form 3468, Part III) (attach Form 3468) 4 Work opportunity (Form 5884) 6 Biofuel producer (Form 6478) 6 Low-income housing (Form 8586, Part II) 7 Employer social security and Medicare taxes paid on certain employee tips (Form 8846) 8 Qualified railroad track maintenance (Form 8900) 9 Qualified railroad track maintenance (Form 8900) 9 Cualified railroad track maintenance (Form 8900) 9 Small employer health insurance premiums (Form 8941) 9 Increasing research activities (Form 6765) 9 Employer credit for paid family and medical leave (Form 8994) 9 Other 9 Add lines 4a through 4z and enter here and on the applicable line of Part II 9 5 5 551.00 9 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 9 5 5 551.00	t	Enhanced oil recovery credit (Form 8830)	1t		
w Employer differential wage payments (Form 8932) x Carbon oxide sequestration (Form 8933). y Qualified plug-in electric drive motor vehicle (Form 8936). 1y 2 Qualified plug-in electric vehicle (carryforward only) aa Employee retention (Form 5884-A). 1aa bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) 22 Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions). 122 Add lines 1a through 1zz and enter here and on the applicable line of Part II. 3 Enter the amount from Form 8844 here and on the applicable line of Part III. 3 Linestment (Form 3468, Part III) (attach Form 3468). 4 Linestment (Form 3468, Part III) (attach Form 3468). 4 Low-income housing (Form 8586, Part III) 4 Renewable electricity, refined coal, and Indian coal production (Form 8835). 4 Employer social security and Medicare taxes paid on certain employee tips (Form 8846). 4 Gualified railroad track maintenance (Form 8900). 4 Gualified railroad track maintenance (Form 8900). 4 Increasing research activities (Form 6765). 5 Add lines 4a through 4z and enter here and on the applicable line of Part II. 5 Add lines 4 at through 4z and enter here and on the applicable line of Part II. 5 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II. 6 12,084.00	u	Mine rescue team training (Form 8923)	1u		
x Carbon oxide sequestration (Form 8933) y Qualified plug-in electric drive motor vehicle (Form 8936). z Qualified plug-in electric vehicle (carryforward only). 12 aa Employee retention (Form 5884-A). bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) zz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part II. 2 11, 533.00 3 Enter the amount from Form 8844 here and on the applicable line of Part II. 4 Investment (Form 3468, Part III) (attach Form 3468) b Work opportunity (Form 5884) c Biofuel producer (Form 6478). d Low-income housing (Form 8586, Part III). e Renewable electricity, refined coal, and Indian coal production (Form 8835). f Employer social security and Medicare taxes paid on certain employee tips (Form 8846). g Qualified railroad track maintenance (Form 8900). f Small employer health insurance premiums (Form 8941). i Increasing research activities (Form 6765). j Employer credit for paid family and medical leave (Form 8994). z Other. 5 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II. 5 5 551.00 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part III. 6			1v		
y Qualified plug-in electric drive motor vehicle (Form 8936). z Qualified plug-in electric vehicle (carryforward only). aa Employee retention (Form 5884-A). bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) zz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions). 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I. 3 Enter the amount from Form 8844 here and on the applicable line of Part II. 4a Investment (Form 3468, Part III) (attach Form 3468). 4b Work opportunity (Form 5884). 4c Biofuel producer (Form 6478). 4 Low-income housing (Form 8586, Part II). e Renewable electricity, refined coal, and Indian coal production (Form 8835). f Employer social security and Medicare taxes paid on certain employee tips (Form 8846). g Qualified railroad track maintenance (Form 8900). h Small employer health insurance premiums (Form 8941). i Increasing research activities (Form 6765). j Employer credit for paid family and medical leave (Form 8994). z Other. 5 Add lines 4a through 4z and enter here and on the applicable line of Part II. 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II. 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II.	w	Employer differential wage payments (Form 8932)	1w		
z Qualified plug-in electric vehicle (carryforward only) aa Employee retention (Form 5884-A) bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) zz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part II 3 Enter the amount from Form 8844 here and on the applicable line of Part II 4 Investment (Form 3468, Part III) (attach Form 3468) 4 Investment (Form 5884) 6 Work opportunity (Form 5884) 6 Low-income housing (Form 6478) 6 Low-income housing (Form 8586, Part III) 7 Employer social security and Medicare taxes paid on certain employee tips (Form 8846) 7 Employer social security and Medicare taxes paid on certain employee tips (Form 8846) 8 Mail employer health insurance premiums (Form 8941) 9 Increasing research activities (Form 6765) 9 Employer credit for paid family and medical leave (Form 8994) 9 Zother 1 Add lines 4a through 4z and enter here and on the applicable line of Part II 1 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 1 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 1 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 1 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 1 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 1 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 1 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 2 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 3 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 4 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 4 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 4 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 4 Add lines 2, 3, and 5 and enter here and on the applicable line	X				
aa Employee retention (Form 5884-A) bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) zz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part II 3 Enter the amount from Form 8844 here and on the applicable line of Part II 4 Investment (Form 3468, Part III) (attach Form 3468) b Work opportunity (Form 5884) c Biofuel producer (Form 6478) d Low-income housing (Form 8586, Part II) e Renewable electricity, refined coal, and Indian coal production (Form 8835) f Employer social security and Medicare taxes paid on certain employee tips (Form 8846) g Qualified railroad track maintenance (Form 8900) h Small employer health insurance premiums (Form 8941) i Increasing research activities (Form 6765) j Employer credit for paid family and medical leave (Form 8994) z Other 5 Add lines 4a through 4z and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 12, 084.00			_1y_		
bb General credits from an electing large partnership (Schedule K-1 (Form 1065-B)) zz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I. 3 Enter the amount from Form 8844 here and on the applicable line of Part II. 4a Investment (Form 3468, Part III) (attach Form 3468) 4 b Work opportunity (Form 5884) 5 Biofuel producer (Form 6478) 4 Low-income housing (Form 8586, Part II) 8 Renewable electricity, refined coal, and Indian coal production (Form 8835) 9 Gualified railroad track maintenance (Form 8900) 9 Gualified railroad track maintenance (Form 8900) 1 Small employer health insurance premiums (Form 8941) 1 Increasing research activities (Form 6765) 2 Employer credit for paid family and medical leave (Form 8994) 2 Other 5 Add lines 4a through 4z and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part			1z		<u> </u>
zz Other Oil and gas production from marginal wells (Form 8904) and certain other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I 2 11,533.00 3 Enter the amount from Form 8844 here and on the applicable line of Part II 3 4a Investment (Form 3468, Part III) (attach Form 3468) 4a 4b 20–5583068 61.00 c Biofuel producer (Form 6478) 4c 4c 4c 4d			1aa		
other credits (see instructions) 2 Add lines 1a through 1zz and enter here and on the applicable line of Part I 2 11,533.00 3 Enter the amount from Form 8844 here and on the applicable line of Part II 4a Investment (Form 3468, Part III) (attach Form 3468) 5 Work opportunity (Form 5884) 6 Biofuel producer (Form 6478) 6 Low-income housing (Form 8586, Part II) 7 Renewable electricity, refined coal, and Indian coal production (Form 8835) 8 Employer social security and Medicare taxes paid on certain employee tips (Form 8846) 9 Qualified railroad track maintenance (Form 8900) 10 Small employer health insurance premiums (Form 8941) 11 Increasing research activities (Form 6765) 2 Employer credit for paid family and medical leave (Form 8994) 2 Other 5 Add lines 4a through 4z and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 12,084.00			1bb		
Add lines 1a through 1zz and enter here and on the applicable line of Part I Enter the amount from Form 8844 here and on the applicable line of Part II Investment (Form 3468, Part III) (attach Form 3468) Work opportunity (Form 5884) Biofuel producer (Form 6478) Low-income housing (Form 8586, Part II) Renewable electricity, refined coal, and Indian coal production (Form 8835) Employer social security and Medicare taxes paid on certain employee tips (Form 8846) Qualified railroad track maintenance (Form 8900) Small employer health insurance premiums (Form 8941) Increasing research activities (Form 6765) Employer credit for paid family and medical leave (Form 8994) Z Other Add lines 4a through 4z and enter here and on the applicable line of Part II Add lines 2, 3, and 5 and enter here and on the applicable line of Part II Enter the amount from 8941 in 11, 533.00 3 11, 533.00 3 12, 533.00 14a 20-5583068 410.00 42 45 47 49 40 41 41 41 42 5 5 551.00 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 Add lines 42 5 11, 533.00 12, 084.00	ZZ				
3 Enter the amount from Form 8844 here and on the applicable line of Part II 3 4a Investment (Form 3468, Part III) (attach Form 3468) 4a 4b 20-5583068 61.00 b Work opportunity (Form 5884) 4c 4c 4d 4d c Biofuel producer (Form 6478) 4d 4d 4d e Renewable electricity, refined coal, and Indian coal production (Form 8835) 4e 4f 20-5583068 490.00 g Qualified railroad track maintenance (Form 8900) 4g 4h i Increasing research activities (Form 6765) 4i j Employer credit for paid family and medical leave (Form 8994) 4j z Other 4z 5 Add lines 4a through 4z and enter here and on the applicable line of Part II 5 551.00 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 12,084.00		other credits (see instructions)			
4aInvestment (Form 3468, Part III) (attach Form 3468)4abWork opportunity (Form 5884)4b20-558306861.00cBiofuel producer (Form 6478)4c4ddLow-income housing (Form 8586, Part II)4d4deRenewable electricity, refined coal, and Indian coal production (Form 8835)4efEmployer social security and Medicare taxes paid on certain employee tips (Form 8846)4f20-5583068490.00gQualified railroad track maintenance (Form 8900)4g4hhSmall employer health insurance premiums (Form 8941)4h4hiIncreasing research activities (Form 6765)4ijEmployer credit for paid family and medical leave (Form 8994)4jzOther4z5Add lines 4a through 4z and enter here and on the applicable line of Part II5551.006Add lines 2, 3, and 5 and enter here and on the applicable line of Part II612,084.00	2	· · · · · · · · · · · · · · · · · · ·			11,533.00
b Work opportunity (Form 5884) 4b 20-5583068 61.00 c Biofuel producer (Form 6478) 4c d Low-income housing (Form 8586, Part II) 4d e Renewable electricity, refined coal, and Indian coal production (Form 8835) 4e f Employer social security and Medicare taxes paid on certain employee tips (Form 8846) 4f 20-5583068 490.00 g Qualified railroad track maintenance (Form 8900) 4g h Small employer health insurance premiums (Form 8941) 4h i Increasing research activities (Form 6765) 4i j Employer credit for paid family and medical leave (Form 8994) 4j z Other 4z 5 Add lines 4a through 4z and enter here and on the applicable line of Part II 5 51.00 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6	3				
c Biofuel producer (Form 6478) 4c 4d	4 a			<u> </u>	
d Low-income housing (Form 8586, Part II)	b			20-5583068	61.00
e Renewable electricity, refined coal, and Indian coal production (Form 8835)	С				
f Employer social security and Medicare taxes paid on certain employee tips (Form 8846). g Qualified railroad track maintenance (Form 8900). h Small employer health insurance premiums (Form 8941). i Increasing research activities (Form 6765). j Employer credit for paid family and medical leave (Form 8994). z Other. 5 Add lines 4a through 4z and enter here and on the applicable line of Part II. 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II. 6 12,084.00	-				<u> </u>
g Qualified railroad track maintenance (Form 8900) h Small employer health insurance premiums (Form 8941) i Increasing research activities (Form 6765) j Employer credit for paid family and medical leave (Form 8994) z Other 5 Add lines 4a through 4z and enter here and on the applicable line of Part II 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 7 12,084.00	е				100.00
h Small employer health insurance premiums (Form 8941)	f			20-5583068	490.00
i Increasing research activities (Form 6765)	g				
j Employer credit for paid family and medical leave (Form 8994) 4j z Other	h				
z Other 5 Add lines 4a through 4z and enter here and on the applicable line of Part II	i				
5 Add lines 4a through 4z and enter here and on the applicable line of Part II 5 51.00 6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 12,084.00	j				
6 Add lines 2, 3, and 5 and enter here and on the applicable line of Part II 6 12,084.00		Other			F.1.00
	5			 _	
		Add lines 2, 3, and 5 and enter here and on the applicable line of Part II	6	<u> </u>	

Form 3800 (2018) Name(s) shown on return					
Name(s) shown on return					
ROCKEFELLER I					

Form 3800 (2018)		Page (
Name(s) shown on return	Identifying number	, ogo ,
ROCKEFELLER BROTHERS FUND, INC.	13-1760106	
Part III General Business Credits or Eligible Small Business Credi	ts (see instructions)	

Com	plete a separate Part III for each box checked below. See instructions		01107	
Α	X General Business Credit From a Non-Passive Activity E Reserved			
в	General Business Credit From a Passive Activity F Reserved			
С	· · ·	Busi	ness Credit Carryfon	wards
D	General Business Credit Carrybacks H Reserved		, -	
1	f you are filing more than one Part III with box A or B checked, complete and attach first an a II with box A or B checked. Check here if this is the consolidated Part III	additio	nal Part III combining	amounts from all Parts
	(a) Description of credit		(b)	(c)
	On any line where the credit is from more than one source, a separate Part III is needed for ethrough entity	each	If claiming the credit from a pass-through entity, enter the EIN	Enter the appropriate amount
1 a	Investment (Form 3468, Part II only) (attach Form 3468)	1a		
b	Reserved	1b	 	
C	Increasing research activities (Form 6765)	1c	20-1980775	5.00
d	Low-income housing (Form 8586, Part I only)	1d	<u> </u>	
е	Disabled access (Form 8826) (see instructions for limitation)	_1e		
f	Renewable electricity, refined coal, and Indian coal production (Form 8835)	1f		
g	Indian employment (Form 8845)	1g		
h		1h	· 	
j	New markets (Form 8874)	_1i	<u> </u>	<u> </u>
j	Small employer pension plan startup costs (Form 8881) (see instructions for limitation)	<u> 1i</u>		
k	Employer-provided child care facilities and services (Form 8882) (see			
	instructions for limitation)	1k		·
ı	Biodiesel and renewable diesel fuels (attach Form 8864)	11		
	Low sulfur diesel fuel production (Form 8896)	1m		<u> </u>
n		1n		
0	Nonconventional source fuel (carryforward only)	10		_
p	Energy efficient home (Form 8908)	1p		
q	Energy efficient appliance (carryforward only)	1 <u>q</u>		
r	Alternative motor vehicle (Form 8910)	1r	<u> </u>	
S	Alternative fuel vehicle refueling property (Form 8911)	1s 1t		
t	Enhanced oil recovery credit (Form 8830)	1u		
u V	Agricultural chemicals security (carryforward only)	10		
	Employer differential wage payments (Form 8932)	1w		
	Carbon oxide sequestration (Form 8933)	1x		
ŷ	Qualified plug-in electric drive motor vehicle (Form 8936)	1y		
•	Qualified plug-in electric vehicle (carryforward only)	1z		
	Employee retention (Form 5884-A)	1aa		
	General credits from an electing large partnership (Schedule K-1 (Form 1065-B))	1bb		
	Other Oil and gas production from marginal wells (Form 8904) and certain	1 1 1		
	other credits (see instructions)	1zz		
2	Add lines 1a through 1zz and enter here and on the applicable line of Part I	2		5.00
3	Enter the amount from Form 8844 here and on the applicable line of Part II	3		
4a	Investment (Form 3468, Part III) (attach Form 3468)	4a		
b	Work opportunity (Form 5884)	4b	20-1980775	4.00
С	Biofuel producer (Form 6478)	4c		
d	Low-income housing (Form 8586, Part II)	4d		
е	Renewable electricity, refined coal, and Indian coal production (Form 8835)	4e		
f	Employer social security and Medicare taxes paid on certain employee tips (Form 8846)	4f	20-1980953	5.00
g	Qualified railroad track maintenance (Form 8900)	4g		
h	Small employer health insurance premiums (Form 8941)	4h		
i	Increasing research activities (Form 6765)	4i		
j	Employer credit for paid family and medical leave (Form 8994)	<u>4j</u>		
z	Other	4z		
5	Add lines 4a through 4z and enter here and on the applicable line of Part II	5		9.00
<u>6</u>	Add lines 2, 3, and 5 and enter here and on the applicable line of Part II	6		14.00

Page 3

Form 3800 (2018)	
Name(s) shown on return	Identifying number
ROCKEFELLER BROTHERS FUND, INC.	13-1760106
Part III General Business Credits or Eligible Small Business Credits (see	instructions)
Complete a separate Part III for each box checked below See instructions	
A X General Business Credit From a Non-Passive Activity E Reserved	

Reserved

General Business Credit From a Passive Activity

С	General Business Credit Carryforwards G Eligible Smal	l Busi	ness Credit Carryfon	wards
D	General Business Credit Carrybacks H Reserved			
	If you are filing more than one Part III with box A or B checked, complete and attach first an a III with box A or B checked. Check here if this is the consolidated Part III			
	(a) Description of credit		(b)	(c)
	: On any line where the credit is from more than one source, a separate Part III is needed for e-through entity	each	If claiming the credit from a pass-through entity, enter the EIN	Enter the appropriate amount
1 a	Investment (Form 3468, Part II only) (attach Form 3468)	1a		
b		1b		
С		1c	20-1980953	28.00
d		1d		
е		1e		
f	Renewable electricity, refined coal, and Indian coal production (Form 8835)	1f		
g	Indian employment (Form 8845)	1g		
h	- · · · · · · · · · · · · · · ·	1h		
i	New markets (Form 8874)	1i		
j	Small employer pension plan startup costs (Form 8881) (see instructions for limitation)	1j		
k	Employer-provided child care facilities and services (Form 8882) (see			
	instructions for limitation)	1k		
1	Biodiesel and renewable diesel fuels (attach Form 8864)	11		
n	Low sulfur diesel fuel production (Form 8896)	1m		
n	- · · · · · · · · · · · · · · · · · · ·	1n		
0		10		
р	E (C. 1.1. (E. 0000)	1p		
q		1q		
r	*** * * * * * * * * * * * * * * * * * *	1r		
s	AU	1s		
t		1t		
u		1u	· ·	
٧		1v		
W		1w		
x	0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	1x		
у		1y		
	Qualified plug-in electric vehicle (carryforward only)	1z		
	a Employee retention (Form 5884-A)	1aa		
	b General credits from an electing large partnership (Schedule K-1 (Form 1065-B))	1bb		
z	z Other Oil and gas production from marginal wells (Form 8904) and certain			
	other credits (see instructions)	1zz		
2	Add lines 1a through 1zz and enter here and on the applicable line of Part I	2		28.00
3	Enter the amount from Form 8844 here and on the applicable line of Part II	3		
4a	Investment (Form 3468, Part III) (attach Form 3468)	4a	-	
b		4b	20-1980953	7.00
С	Biofuel producer (Form 6478)	4c		
d		4d		
е	Renewable electricity, refined coal, and Indian coal production (Form 8835).	4e		
f	Employer social security and Medicare taxes paid on certain employee tips (Form 8846)	4f		
g	Qualified railroad track maintenance (Form 8900)	4g		
h	- · · · · · · · · · · · · · · · · · · ·	4h		
i	Increasing research activities (Form 6765)	4i		
i	Employer credit for paid family and medical leave (Form 8994)	4j		
z	-	4z		
5	Add lines 4a through 4z and enter here and on the applicable line of Part II	5		7.00
6	Add lines 2, 3, and 5 and enter here and on the applicable line of Part II	6		35.00

	4		
Form 3800 (2018)			Page
Name(s) shown on return		Identifying number	
ROCKEFELLER BROTHERS FUND, INC.		13-176010	6
Part III General Business Credits or Eligible Small Business Credits (see ins	truction	ns)	
Complete a separate Part III for each box checked below See instructions			
A X General Business Credit From a Non-Passive Activity E Reserved			
B General Business Credit From a Passive Activity F Reserved			
C General Business Credit Carryforwards G Eligible Small	Busine	ess Credit Carryforv	vards
D General Business Credit Carrybacks H Reserved			
If you are filing more than one Part III with box A or B checked, complete and attach first an a III with box A or B checked. Check here if this is the consolidated Part III			
(a) Description of credit		(b)	(c)
Note: On any line where the credit is from more than one source, a separate Part III is needed for epass-through entity	ach	If claiming the credit from a pass-through entity, enter the EIN	Enter the appropriate amount
1a Investment (Form 3468, Part II only) (attach Form 3468)	1a		
b Reserved	1b		
c Increasing research activities (Form 6765)	1c		
d Low-income housing (Form 8586, Part I only)	1d		
· // · · · · · · · · · · · · · · · · ·			

	(a) Description of credit		(b)	(c)
Note: On any line where the credit is from more than one source, a separate Part III is needed for each pass-through entity			If claiming the credit from a pass-through entity, enter the EIN	Enter the appropriate amount
1 a	Investment (Form 3468, Part II only) (attach Form 3468)	1a		
b	Reserved	1b		
С	Increasing research activities (Form 6765)	1c		
d	Low-income housing (Form 8586, Part I only)	1d		
е	Disabled access (Form 8826) (see instructions for limitation)	1e		
f	Renewable electricity, refined coal, and Indian coal production (Form 8835)	1f		
g	Indian employment (Form 8845)	1g		
h	Orphan drug (Form 8820)	1h		
i	New markets (Form 8874)	1i		
j	Small employer pension plan startup costs (Form 8881) (see instructions for limitation)	1j		
k	Employer-provided child care facilities and services (Form 8882) (see			
	instructions for limitation)	1k		
ı	Biodiesel and renewable diesel fuels (attach Form 8864)	11		
m	Low sulfur diesel fuel production (Form 8896)	1m		
n	Distilled spirits (Form 8906)	1n		
0	Nonconventional source fuel (carryforward only)	10		
р	Energy efficient home (Form 8908)	1p		
q	Energy efficient appliance (carryforward only)			
r	Alternative motor vehicle (Form 8910)			
s	Alternative fuel vehicle refueling property (Form 8911)			
t	Enhanced oil recovery credit (Form 8830)			
ū	Mine rescue team training (Form 8923)			
v	Agricultural chemicals security (carryforward only)			
	Employer differential wage payments (Form 8932)	1w		
	Carbon oxide sequestration (Form 8933)	1x		
у	Qualified plug-in electric drive motor vehicle (Form 8936)	1y		
•	Qualified plug-in electric vehicle (carryforward only)	1z		
	Employee retention (Form 5884-A)	1aa		
bb	General credits from an electing large partnership (Schedule K-1 (Form 1065-B))	1bb		
	Other Oil and gas production from marginal wells (Form 8904) and certain			
	other credits (see instructions)	1zz		
2	Add lines 1a through 1zz and enter here and on the applicable line of Part I	2		
3	Enter the amount from Form 8844 here and on the applicable line of Part II	3		
4 a	Investment (Form 3468, Part III) (attach Form 3468)	4a		
	Work opportunity (Form 5884)	4b	20-5357220	25.00
C	Biofuel producer (Form 6478)	4c		
d	Low-income housing (Form 8586, Part II)	4d		
e	Renewable electricity, refined coal, and Indian coal production (Form 8835)	4e		
f	Employer social security and Medicare taxes paid on certain employee tips (Form 8846)	4f		
g g	Qualified railroad track maintenance (Form 8900)	4g		
h	Small employer health insurance premiums (Form 8941)	4h		
i	Increasing research activities (Form 6765)	4i		
i	Employer credit for paid family and medical leave (Form 8994)	4j		
J Z	• •	4z		
5	Other	5		25.00
_	Add lines 2, 3, and 5 and enter here and on the applicable line of Part II	6		25.00
JSA	Add inted 2, 9, and 9 and enter here and off the applicable line of tartiff 1 1 1 1 1	<u> </u>	<u> </u>	3900 (2040)

Form 3800 (20	018)				Page 3
Name(s) show				Identifying number	· · ·
ROCKEFE	LLER BROTHERS FUND, INC.			13-176010	6
Part III	General Business Credits or Eligible Small Business Cred	lits (see ınstrı	iction	s)	
Complete a	separate Part III for each box checked below See instructions				
A G	eneral Business Credit From a Non-Passive Activity 🛮 E 🔃 Re	eserved			
в G	eneral Business Credit From a Passive Activity F Re	eserved			
c X G	eneral Business Credit Carryforwards G 🔲 El	igible Small B	usine	ss Credit Carryfon	wards
D G	eneral Business Credit Carrybacks H Re	eserved		•	
I If you a	re filing more than one Part III with box A or B checked, complete and atta	ach first an add	itional	Part III combining	amounts from all Parts
	box A or B checked Check here if this is the consolidated Part III				
	(a) Description of credit			(b)	(c)
Note: On an	Ine where the credit is from more than one source, a separate Part III is	needed for eac	h .	f claiming the credit from a pass-through entity, enter the EIN	Enter the appropriate amount
	tment (Form 3468, Part II only) (attach Form 3468)	1	a	onary, onto and env	-
	ved			· · · · · · · · · · · · · · · · · · ·	
c Incre	asing research activities (Form 6765)	1	_	20-5583068	8,166.00
d Low-	ncome housing (Form 8586, Part I only)	1	\rightarrow		
e Disab	oled access (Form 8826) (see instructions for limitation)	1			
	wable electricity, refined coal, and Indian coal production (Form 88		f		
	n employment (Form 8845)	• • • • —	g		
	an drug (Form 8820)		h		
i New	markets (Form 8874)		i		
	employer pension plan startup costs (Form 8881) (see instructions for		j		
	oyer-provided child care facilities and services (Form 888				
	octions for limitation)		k		
	esel and renewable diesel fuels (attach Form 8864)		ī		
	sulfur diesel fuel production (Form 8896)		m		
	ed spirits (Form 8906)		n		
o Nonc	onventional source fuel (carryforward only)	1	0		
	gy efficient home (Form 8908)		р		
q Energ	gy efficient appliance (carryforward only)	🖸	q		
	native motor vehicle (Form 8910)		r _		
s Alteri	native fuel vehicle refueling property (Form 8911)	1	s		
t Enha	nced oil recovery credit (Form 8830)	1	t	·	
u Mine	rescue team training (Form 8923)	1	u		
	ultural chemicals security (carryforward only)		v		
w Empl	oyer differential wage payments (Form 8932)	[1	w		
x Carb	on oxide sequestration (Form 8933)	1	x		
y Quali	fied plug-in electric drive motor vehicle (Form 8936)	<u> 1</u>	у		
z Qualı	fied plug-in electric vehicle (carryforward only)	<u> 1</u>	z		
aa Empl	oyee retention (Form 5884-A)	<u> 1</u> :	aa 📗		
bb Gene	ral credits from an electing large partnership (Schedule K-1 (Form	1065-B)) 1	ob _		
	Oil and gas production from marginal wells (Form 8904) an	1			
other	credits (see instructions)	<u> 1</u>	zz		
2 7441	ines 1a through 1zz and enter here and on the applicable line of Pa	anti i)		l 8.166.00

Enter the amount from Form 8844 here and on the applicable line of Part II

Low-income housing (Form 8586, Part II)

Renewable electricity, refined coal, and Indian coal production (Form 8835). . . . Employer social security and Medicare taxes paid on certain employee tips (Form 8846)

Employer credit for paid family and medical leave (Form 8994)

Add lines 4a through 4z and enter here and on the applicable line of Part II

Add lines 2, 3, and 5 and enter here and on the applicable line of Part II

5

3

C

f

8,353.00

0.00

187.00

20-5583068

4c

4d 4e

4g

4h 4i

> 4j 4z

5

FOOTNOTES

STATEMENT 2

THE FORM 990-T HAS BEEN AMENDED DUE TO THE PASSAGE OF THE H.R. 1865 FURTHER CONSOLIDATED APPROPRIATIONS ACT, 2020, WHICH WAS SIGNED INTO LAW ON DECEMBER 20, 2019. THE NEW LEGISLATION REPEALS THE TAX ON QUALIFIED TRANSPORTATION FRINGE BENEFITS (QTFB) WHICH WAS ORIGINALLY PASSED AS PART OF THE TAX CUTS AND JOBS ACT (TCJA) AND IS RETROACTIVE TO THE DATE OF ENACTMENT.

THE FOLLOWING LINE ITEMS HAVE BEEN CHANGED ON THE AMENDED RETURN DUE TO THE REPEAL OF SECTION 512(A)(7):

- FORM 990-T, LINE 20, CHARITABLE CONTRIBUTIONS CHANGED TO \$75,790 (DECREASED BY \$9,132 DUE TO THE LIMITATION RULE). - FORM 990-T, LINE 34, AMOUNTS PAID FOR DISALLOWED FRINGES CHANGED TO \$0 (TO REMOVE THE REPORTING OF THE QTFB IN THE AMOUNT OF \$91,315).
- FORM 3800, LINE 9, 11, AND 12 CHANGED TO \$143,244 TO REFLECT THE CHANGE IN TAX (DUE TO THE REMOVAL OF THE REPORTING OF THE QTFB)
- FORM 3800, LINE 13 AND 15 CHANGED TO \$29,561
- FORM 3800, LINE 16 CHANGED TO \$113,683



FORM 990-T INCOME (LOSS) FROM PARTNERSHIPS	STATEMENT 3
	NET INCOME
DESCRIPTION	OR (LOSS)
INVESTURE EVERGREEN FUND, L.P ORDINARY BUSINESS INCOME	
(LOSS)	1,201,665
INVESTURE EVERGREEN FUND, L.P NET RENTAL REAL ESTATE	_,_,,,,,,
INCOME	-53,278
INVESTURE EVERGREEN FUND, L.P INTEREST INCOME	7,051
INVESTURE EVERGREEN FUND, L.P DIVIDEND INCOME	1
INVESTURE EVERGREEN FUND, L.P ROYALTIES	5,185
INVESTURE EVERGREEN FUND, L.P OTHER INCOME (LOSS)	221,283
KAYNE ANDERSON ENERGY FUND III (QP), L.P ORDINARY	,
BUSINESS INCOME (LOSS)	-26,333
KAYNE ANDERSON ENERGY FUND IV (OP), L.P ORDINARY	
BUSINESS INCOME (LOSS)	36,899
NATURAL GAS PARTNERS VIII, L.P ORDINARY BUSINESS INCOME	33,333
(LOSS)	-3,900
NB CO-INVESTMENT PARTNERS LP - ORDINARY BUSINESS INCOME	0,200
(LOSS)	18,014
NB CO-INVESTMENT PARTNERS LP - NET RENTAL REAL ESTATE	10,011
INCOME	-10
SIGULER GUFF SMALL BUYOUT - ORDINARY BUSINESS INCOME	10
(LOSS)	-547
STRATEGIC PARTNERS FUND III, L.P ORDINARY BUSINESS	317
INCOME (LOSS)	9,992
STRATEGIC PARTNERS FUND III, L.P NET RENTAL REAL ESTATE	2,332
INCOME	-211
STRATEGIC PARTNERS FUND III, L.P OTHER NET RENTAL	
INCOME (LOSS)	5
STRATEGIC PARTNERS FUND III, L.P INTEREST INCOME	334
STRATEGIC PARTNERS FUND III, L.P DIVIDEND INCOME	10
STRATEGIC PARTNERS FUND III, L.P OTHER PORTFOLIO INCOME	
(LOSS)	-21
STRATEGIC PARTNERS FUND III VC, L.P ORDINARY BUSINESS	
INCOME (LOSS)	-3,373
STRATEGIC PARTNERS FUND III VC, L.P NET RENTAL REAL	3,3,3
ESTATE INCOME	-111
STRATEGIC PARTNERS FUND III VC, L.P INTEREST INCOME	33
STRATEGIC PARTNERS FUND III VC, L.P DIVIDEND INCOME	117
STRATEGIC PARTNERS FUND III VC, L.P OTHER INCOME (LOSS)	-22
SUSTAINABLE ASSET FUND, LP - ORDINARY BUSINESS INCOME	22
(LOSS)	-997,036
TOTAL INCLUDED ON FORM 990-T, PAGE 1, LINE 5	415,747

FORM 990-T	OTHER INCOME	STATEMENT 4
DESCRIPTION		AMOUNT
REFUNDED STATE TAXES		61,986.
TOTAL TO FORM 990-T, PAGE 1, LINE 12		61,986.
FORM 990-T	INTEREST PAID	STATEMENT 5
DESCRIPTION		AMOUNT
PORTFOLIO EXPENSES FROM THE FOLLOWING PARTNERSHIPS: INVESTURE EVERGREEN FUND, L.P. STRATEGIC PARTNERS FUND III, L.P. STRATEGIC PARTNERS FUND III VC, L.P.		1,805. 1,176.
STRATEGIC PARTNERS FUND III VC	, L.P.	292.
STRATEGIC PARTNERS FUND III VC		3,273.
TOTAL TO FORM 990-T, PAGE 1, L	INE 18	3,273.
TOTAL TO FORM 990-T, PAGE 1, LT FORM 990-T DESCRIPTION/KIND OF PROPERTY INVESTURE EVERGREEN FUND, L.P. KAYNE ANDERSON ENERGY FUND IV (QP), L.P. NB CO-INVESTMENT PARTNERS LP STRATEGIC PARTNERS FUND III, L.P. STRATEGIC PARTNERS FUND III	CONTRIBUTIONS METHOD USED TO DETERMINE FMV N/A	3,273. STATEMENT 6
TOTAL TO FORM 990-T, PAGE 1, LT FORM 990-T DESCRIPTION/KIND OF PROPERTY INVESTURE EVERGREEN FUND, L.P. KAYNE ANDERSON ENERGY FUND IV (QP), L.P. NB CO-INVESTMENT PARTNERS LP STRATEGIC PARTNERS FUND III, L.P.	CONTRIBUTIONS METHOD USED TO DETERMINE FMV N/A N/A N/A N/A	3,273. STATEMENT 6 AMOUNT 6,122. 181. 99. 25.