OMB No 1545 0052

or Stion 4947(a)(1) Nonexempt Charitab rust
Treated as a Private Foundation

Note The organization may be able to use a copy of this return to satisfy state reporting requirements 2000 Department of the Treasury Internal Revenue Service

F	or ca	alendar	year 2000,	or t	ax year beg	Inning				, 200	0, and	d ending			
G	Chi	eck all t	hat apply		Initial retu	rn	Final ref	turn X	Amended r	eturn		Address	change	Name	change
			Name of org	janız	ation	•							A Employe	er identification	number
1	Jse t	he IRS											1		
	la	bel	THE WI	NT	HROP RO	CKEF	ELLER I	OUNDA'	TION				71-0	285871	
	Othe	rwise,							street address)	Room	n/suite	B Telepho	ne number (see	page 10 or
	•	rınt											the insti	uctions)	
		type	308 E.	8	TH STRE	ET							(501	376-68	54
		pecific actions			te, and ZIP co							C if exer	nption applica	tion is	
•		ictions.											ig check here eine organizat	lons check here	
			T. T TTT 1.E.	R	OCK, AF	722	02					1		dons meeting the	
н	Chi	eck type			X Sect			ot private f	oundation			859	6 test check h	ere and attach	
'nÏ		• • •	_		empt chantabi				vate foundat	ıon			nputation		
ı. ıl			t value of all			1	unting meth			rual				i status was termina)(1)(A) check here	red _
į.			m Part II, co				_		D CASH				-		
٠	16		161,3						cash basis)					in a 60-month term: (1)(B) check here	nation
					and Expens	ies	1		· · · · · ·			•	, ,	(d) Disburs	ements
		The t	otal of amount	ts ın	columns (b), (c), and	(a) Revei expens		(b) Net inve			(c) Adjust		for chari	
		(d) ma	iy not necessa n (a) (see nac	anly (equal the amo of the instruc	unts in tions))	boo		incom	е		Incon	ne	purpos (cash basi	
-							690	0,000.	STMT	1	+			(Cash pasi	s Offily/
	1 2		• •		received (attach sc	neaute)	0.91	. ,	UIIII		+-	· · · · · · · · · · · · · · · · · · ·			
			utions from s	-		- .	3 630	0,996.	3,630	996	+			STMT	2
	3		_		porary cash inve	siments		1,568.		,568					3
	4		nds and intere	est ir	om securities		09.	1,300.	091	, 500	+	·		SIMI	<u></u>
	1	Gross r					 								
	!	-	ntal income or (le)	-3,96	1 502			+				
			n or (loss) from ales price for all		of assets not on		-3,96	1,502							
Revenue		assets	on line 6a		<u>4776883</u>				00 103	460	+-				
į	7		_		(from Part IV,	line 2)			22,193	,462	 	······································			
	8		ort-term capit	-	ıın		· · · · · · · · · · · · · · · · · · ·			· · · · · ·	+				
2	9 10 a		e modification sales less retur		1				,	• • • • • • • • • • • • • • • • • • • •					
;		and all	owances								-				
•			ost of goods sold												
1					ach schedule)	4				101	-		···		-
2	11				hedule) STM	1T 4	1 05	191.	06 516	191	+				
-	12		Add lines 1 th				1,05		26,516					174	
	13	•			rectors, trustees	etc	12		12	<u>,765</u>	-				<u>,699</u>
1	<u></u>) SAMC	ingles england	119	and wages			3,138.		000					,138
1	Бĩ	Pehsio	ees (attach so		benefits	•		3,093	1	<u>,806</u>	+				<u>,287</u>
Ñ								4,728			-				<u>,728</u>
asu:	6	Allicou	ning dees datt	tach	schedule) (attach so 5@1	400 P		8,551	F 0 0	E 0 F				88	,551
Expens	0				attach sobiebb	ment. D	28	9,505.	289	<u>,505</u>	+			 	
V F	177	-pR	BRANC	H	am.	4TI C	F 2	E 410			+				244
Administrative	181	Takes (The refuse)	(see	page 14 of S.T.N nedule) and de	ir ile tior (3)		5,419.						23	,344
Ī	19			1 sch	redule) and de	pletion	3	0,1 <u>6</u> 1.	_					<u> </u>	
Ë	20	Оссир	•		•		<u></u>	. 7			+				700
and A	21		conferences		-			9,798.			-				798.
			g and publica			4m ^		3,636.			-	 -			,636
Operating	23	Other	expenses (att	KY.	E POTE ST		64	<u>7,613.</u>						64/	613.
Spec	24		реньб	_		penses	0.55		·	076				1 200	704
٠			es 13 throug					3,106.	604	<u>,076</u>	+			1,306	
	25	Cdrie	utions, gifts,	Mai	ts paud B3	1T 9	3,03	7,021.				_		2,823	, 544
	26	Toland	xpe 4fff and	disi	Dar Semen	dd lines					ĺ				430
_	-	24 and	25		<u> </u>		5,55	0,127	604	,076				4,130	<u>,438</u>
	27	Sultra	ct MOCIDE	ΞŅ	<u>ا ت</u> ا ع	İ	1								
		-		•	es and disbursem		-4,49	8,874	05 01 -					 	
					(if negative, e				25,912	,141	- 			 	
		: Adjust	ed net incom	e (if	negative, ente	<u>r0-)</u>								<u> </u>	

Form 990-PF (2000)

P	art II	Balance Sheets description co. In should be for	Beginning of year End of year				
4		end of year amounts only (See instructions)	(a) Book Value	(b) Book Value		(c) Fair Market Value	
- 1	1	Cash - non-interest-bearing .	16,383,204	4,514,6	2/.	4,514,657.	
Ì	2	Savings and temporary cash investments			}		
	3	Accounts receivable ▶			ĺ		
		Less allowance for doubtful accounts				 	
- {	4	Pledges receivable			- }		
		Less allowance for doubtful accounts					
	5	Grants receivable					
ļ	6	Receivables due from officers, directors, trustees, and other			- {		
	•	disqualified persons (attach schedule) (see page 15 of the instructions)		_			
ļ	7	Other notes and loans receivable (attach schedule)		,	^	· ·	
Į	•	Less allowance for doubtful accounts	1		Į	···	
	8	Inventories for sale or use					
ssets	9	Prepaid expenses and deferred charges STMT 10					
		Investments U.S. and state government obligations (attach schedule)	25,028,968.	28,004,5	42	28,004,542.	
٧		Investments - corporate stock (attach schedule) STMT 11	98,984,062.	87,240,6	-	87,240,655	
		Investments - corporate bonds (attach schedule) STMT 12	21,568,315.	35,562,9		35,562,987	
-		Investments - corporate bonds (attach scriedule) 3 x 1 x x x Investments land buildings	21,300,313.	30,002,0	7	, <u>, , , , , , , , , , , , , , , , , , </u>	
1	11	and equipment basis Less accumulated depreciation			į		
		(attach schedule)					
	12	Investments - mortgage loans	NONE	1,377,8	72	1,377,872.	
	13	Investments - other (attach schedule) STMT 13	NONE	1,3/1,0	′~ :	1,371,672.	
	• •	Land buildings and equipment basis 510,854.	70 720	75 1	ا م	75 100	
		Less accumulated depreciation 435,745 (attach schedule)	70,730.	75,1	$\overline{}$	75,109	
ı	15	Other assets (describe STMT_14)	3,574,204.	4,551,2	<u> </u>	4,551,204	
	16	Total assets (to be completed by all filers - see page 16 of			ا م	161 207 006	
_		the instructions. Also, see page 1, item I)	165,609,483.	161,327,0	$\overline{}$		
	17	Accounts payable and accrued expenses .	NONE		ONE		
	18	Grants payable .	1,698,983	1,915,4	00.		
es	19	Deferred revenue					
Liabilities	20	Loans from officers, directors, trustees, and other disqualified persons	 _			,	
ap	21	Mortgages and other notes payable (attach schedule)				` ,	
_	22	Other liabilities (describe	<u> </u>				
						,	
	23	Total liabilities (add lines 17 through 22)	1,698,983.	1,915,4	00,		
		Organizations that follow SFAS 117, check here ► X					
		and complete lines 24 through 26 and lines 30 and 31					
Ces	24	Unrestricted	163,910,500	<u>159,411,6</u>	<u> 26</u> _	<i>"</i>	
ä	25 26	Temporarily restricted				^,	
Bal	26	Permanently restricted					
ᅙ	1	Organizations that do not follow SFAS 117,					
Fund		check here and complete lines 27 through 31 ▶	,	!		, · · ·	
6	27	Capital stock trust principal, or current funds .					
		Paid in or capital surplus or land bidg and equipment fund				, ,	
Assets	29	Retained earnings accumulated income endowment, or other funds				[:	
		Total net assets or fund balances (see page 17 of the				•	
Net		instructions)	163,910,500	159,411,6	26_		
	31	Total liabilities and net assets/fund balances (see page 17 of				· .	
	l	the instructions)	165,609,483.	161,327,0	26.	<u> </u>	
		Analysis of Changes in Net Assets or Fund					
Ľ	art	Milalysis of Changes in Net Assets of Fund					
1	Tota	al net assets or fund balances at beginning of year - Part II,	column (a), line 30				
		st agree with end-of-year figure reported on prior year's re			1	163,910,500.	
2		er amount from Part I line 27a			2	<u>-4,498,874.</u>	
		er increases not included in line 2 (itemize) ▶			3		
		lines 1, 2, and 3			4	159,411,626.	
5		reases not included in line 2 (itemize) ▶			5		
	Tata	al net assets or fund balances at end of year (line 4 minus	line 5) - Part II, column (I	b), line 30	6	159,411,626	
Ť						Form 990-PF (2000)	

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Page 2

Form 990-PF (2000)

Form 990-PF (2000)				71	-0285 <u>87</u> 1	Page 3
Part IV Capi	tal G	ains and Los for Tax on Investment Inc	ome			
		st and describe the kind(s) of property sold (e.g., real estate, ory brick warehouse, or common stock, 200 shs MLC Co.)		(b) How acquired P-Purchase D Donation		(d) Date sold (mo , day, yr)
1a SEE PART	IV	SCHEDULE				
b	_					
С						
d				_		
_e					<u> </u>	
(e) Gross sales	price	(-) =	t or other basis expense of sale		(h) Gain or (lo (e) plus (f) minu	
_a						
			<u> </u>	ļ		-
_C				<u> </u>		
_d			·· ·			
<u>e</u>			·			
Complete only fo	or asse	ts showing gain in column (h) and owned by the fou			Gains (Col (h) g	
(i) FMV as of 1	2/31/69		cess of col (i)	COI	(k), but not less t Losses (from co	
_a				ļ	 _	
				ļ		
_c						
<u>e</u>			D 111 7	 		
2 Capital gain net	Incom		er in Part I, line 7		00	102 460
		(11 (1033), effici -	0- in Part I, line 7	2	22,	<u>193,462.</u>
		gain or (loss) as defined in sections 1222(5) and (6)				
		art I, line 8, column (c) (see pages 13 and 17 of the ii	nstructions)	3		
If (loss), enter -0		n Under Section 4940(e) for Reduced Tax on	Not Investment Inc			
		estic private foundations subject to the section 4940				···.
(For optional use i	Jy don	estic private roundations subject to the section 4940	n(a) tax on het mvest	ment inco	ine)	
If costion 4040/d\/	'2\ app	lies, leave this part blank				
ii section 4540(d)(, z) app	iles, leave tils part blank				
Was the organizati	ion liab	ole for the section 4942 tax on the distributable amou	int of any year in the	base per	iod2	Yes X No
		does not qualify under section 4940(e) Do not com		base pen] res[X] No
1 Enter th	he app	ropriate amount in each column for each year, see p	page 18 of the instru	ctions bef	ore making any	entries
(a)		(b)	(c)		(d)	
Base period years Cal (or tax year begin		oar 1	oncharitable use assets	\	Distribution (
1999	iiiiig #i)	5,347,996	32,984,057.		(col (b) divided by	21531694
1998			05,588,725.			54133621
1997		6,355,866.	91,523,797.			44495539
1996		5,885,884.	88,760,160.	<u> </u>		31222837
1995		6,032,905.	74,973,956.			46667565
1933		0,032,903.	14,913,930.	 	0.080	40007303
2 Total of line 1	colum	o (d)		2	0 206	00051056
2 Total of line 1,		atio for the 5-year base period-divide the total on lin	0.7 by 5. as by		0.290	98051256
_		· · · · · · · · · · · · · · · · · · ·			0.050	20610051
the number of	years	the foundation has been in existence if less than 5 ye	ars	3 -	0.059	<u>39610251</u>
4 Enter the net v	alue o	f noncharitable-use assets for 2000 from Part X, line	5	4	151	981,761.
2.1(0) (110)101 (4.45	The figure and a decorate for Leve Hell 1 arroy, line	•			501,701.
5 Multiply line 4	by line	3 .		5	9,	027,124.
6 Enter 1% of ne	et inves	stment income (1% of Part I, line 27b)		6		259,121.
7 Add lines 5 and	d 6			7	9.	286,245.
		hutians from Bort VII. Inc. 4		8		
•	-	butions from Part XII, line 4 er than line 7 check the box in Part VI. line 15 and complete that pa	rt using a 1% tax rate. See	سلسا		130,438 <u>.</u>

orm 9		0285871			age 4
Part	VI Excise Tax Based on Investor Income (Section 4940(a), 4940(b), 4940(e), 948 - see page	18 of the ins	truct	ilons)	
1 a	Exempt operating foundations described in section 4940(d)(2), check here and enter "N/A" on line 1	1			
	Date of ruling letter (attach copy of ruling letter if necessary - see instructions)				
ь	Domestic <u>organizations that meet the section 4940(e)</u> requirements in Part V, check	1	18	,243	
	here ▶ and enter 1% of Part I, line 27b				
С	All other domestic organizations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2			
3	Add lines 1 and 2	3 5	18	,243	<u>. </u>
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4		NON	(E
	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5 5	<u> 518</u>	,243	<u>}</u>
6	Credits/Payments				
а	2000 estimated tax payments and 1999 overpayment credited to 2000 6a 686,000.				
	Exempt foreign organizations - tax withheld at source 6b NONE				
С	Tax paid with application for extension of time to file (Form 8868) 6c NONE				
d	Backup withholding erroneously withheld 6d				
7	Total credits and payments Add lines 6a through 6d	7 6	<u> 586</u>	,000	·
8	Enter any penalty or underpayment of estimated tax. Check here XForm 2220 is attached	8		43	<u> </u>
9	Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9			
0	Overpayment If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.	10	<u> 167</u>	<u>,714</u>	
1	Enter the amount of line 10 to be Gredited to 2001 estimated tax ► 167,714 Refunded ►	11			
Par	VII-A Statements Regarding Activities				
1 a	During the tax year, did the organization attempt to influence any national, state, or local legislation or did	Į		_Yes	No
	it participate or intervene in any political campaign?	Ĺ	1a		<u>X</u>
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page	}	- 1	1	i
	19 of the instructions for definition)?		1b		<u> X</u>
	If the answer is "Yes" to 1a or 1b attach a detailed description of the activities and copies of any materials		1		
	published or distributed by the organization in connection with the activities				
С	Did the organization file Form 1120-POL for this year?	1	10	N/	<u>'A</u>
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year					
	(1) On the organization ▶\$ (2) On organization managers ▶\$	_		į	
e	Enter the reimbursement (if any) paid by the organization during the year for political expenditure tax imposed	ļ	-	[į
	on organization managers > \$		- 1		;
2	Has the organization engaged in any activities that have not previously been reported to the IRS?		2		<u>X</u>
	If "Yes " attach a detailed description of the activities				i
3	Has the organization made any changes not previously reported to the IRS in its governing instrument articles		1	}	İ
	of incorporation or bylaws, or other similar instruments? If "Yes " attach a conformed copy of the changes	}	3		<u> </u>
4 a	Did the organization have unrelated business gross income of \$1,000 or more during the year?	1	4 a		X
b	If Yes has it filed a tax return on Form 990-T for this year?	l ţ	4 b	N/	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year?	ļ	5		<u>X</u>
	If "Yes" attach the statement required by General Instruction T		1		İ
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either		1		į
	By language in the governing instrument or		}		İ
	By state legislation that effectively amends the governing instrument so that no mandatory directions		_	ا ب	ĺ
	that conflict with the state law remain in the governing instrument?		6	X	
7	Did the organization have at least \$5,000 in assets at any time during the year? If "Yes" complete Part II col (c) and Part >	av j	7	X	
8 a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the	Ì	Ì		
	If the answer is Yes" to line 7, has the organization furnished a copy of Form 990-PF to the Attorney		- 1		
b			8ь	$ \mathbf{x} $	ĺ
	General (or designate) of each state as required by General Instruction G? If "No," attach explanation Is the organization claiming status as a private operating foundation within the meaning of section 4942(j)(3)	ţ	-00		
9	or 4942(j)(5) for calendar year 2000 or the taxable year beginning in 2000 (see instructions for Part XIV on		1		
	page 25)? If "Yes," complete Part XIV		9		<u>x</u>
10	Did any persons become substantial contributors during the tax year? If "Yes " attach a schedule listing their names and add	tresses	10		X
11	Did the organization comply with the public inspection requirements for its annual returns and exemption application?)	11_	X	
12	The books are in care of ▶ DR SYBIL J. HAMPTON Telephone no ▶	501-3			1
_	Tocated at ▶ 308 E 8TH ST, LITTLE ROCK, AR ZIP+4 ▶		· -		
13	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here			•	- []
	and enter the amount of tax-exempt interest received or accrued during the year	ş <u> </u>			
		Fc	rm 99	0-PF (2000)

		1-0285871	·	Pa	age 5
Pari	VII-B Statements Regarding tivities for Which Form 4720 May Be Re Ved				
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies			Yes	No
1 a	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)		j		ï
	a disqualified person?				
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? . Yes		}		
	(4) Pay compensation to, or pay or reimburse the expenses of a disqualified person?	X No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available				
	for the benefit or use of a disqualified person)?	X No	- 1		
	(6) Agree to pay money or property to a government official? (Exception Check "No	1	- [
	if the organization agreed to make a grant to or to employ the official for a period		į		
	after termination of government service, if terminating within 90 days)				
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations	1			/ 3
	section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	_ [1b	N	/ <u>A</u>
	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	i.	.		v
	that were not corrected before the first day of the tax year beginning in 2000?	F	1 c		<u>_x</u> _
2	Taxes on failure to distribute income (section 4942) (does not apply for years the organization was a private		-	ĺ	
	operating foundation defined in section 4942(j)(3) or 4942(j)(5))	1)		
а	At the end of tax year 2000, did the organization have any undistributed income (lines 6d	X No			
	and 6e, Part XIII) for tax year(s) beginning before 2000?	X NO	-		
ь			1		
	(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.)	<u> -</u>	2 <u>b</u>	N	<u>/A</u>
С	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 19, 19, 19, 19, 19, 19, 19, 19				
3 a	Did the organization hold more than a 2% direct or indirect interest in any business		}		
	enterprise at any time during the year?	∐ No	ì		
b	If "Yes," did it have excess business holdings in 2000 as a result of (1) any purchase by the organization				
	or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved				
	by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3)				
	the lapse of the 10-, 15- or 20-year first phase holding period? (Use Schedule C. Form 4720 to determine				
	if the organization had excess business holdings in 2000)		3 Ь		X
4 a	Did the organization invest during the year any amount in a manner that would jeopardize its charitable purposes?	·	4 a		<u> </u>
Ь	Did the organization make any investment in a prior year (but after December 31, 1969) that could jeopardize its				v
	purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2000?	H	4b		X
5 a	During the year did the organization pay or incur any amount to (1) Carry on propagandal or otherwise attempt to influence legislation (section 4945(e))? Yes	X No	Ì		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? Yes	X No			
	(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	<u> </u>			
	In section 509(a)(1) (2), or (3) or section 4940(d)(2)?	X No			
	(5) Provide for any purpose other than religious, charitable scientific, literary, or		İ		
	educational purposes or for the prevention of cruelty to children or animals? Yes	X No	-	i	
h	If any answer is Yes to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in				
	Regulations section 53 4945 or in a current notice regarding disaster assistance (see page 20 of the instructions)	, !	5ь		х
	Organizations relying on a current notice regarding disaster assistance check here				
r	If the answer is Yes to question 5a(4), does the organization claim exemption from the	_			
٠	tax because it maintained expenditure responsibility for the grant?	No			
	If "Yes," attach the statement required by Regulations section 53 4945-5(d)	_			
6 2	Did the organization, during the year receive any funds, directly or indirectly to pay	-			
		X No			
ь	Did the organization during the year, pay premiums directly or indirectly, on a personal benefit contract?	— ,	6ь		X
	If you answered "Yes" to 6b also file Form 8870				

s, Directors, Trustees, Foundation Manag

, Highly Paid Employees,

and Contractors				
1 List all officers, directors, trustees, foundation n				uctions)
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter 0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account other allowances
CDD CMAMPAGNM 1.C	-	107 464	10.056	NOVE
SEE STATEMENT 16	 	127,464	18,056	NONE
	-			
	_			
2 Compensation of five highest-paid employees (o'	ther than those inc	luded on line 1 - se	e page 21 of the inst	ructions)
	(b) Title and average		(d) Contributions to	(e) Expense account
(a) Name and address of each employee paid more than \$50,000	hours per week devoted to position	(c) Compensation	employee beneft plans and deferred compensation	other allowances
NONE				
	-			
	 			
	-	18		
	 			
	<u> </u>			
	<u> </u>			·
Total number of other employees paid over \$50,000				▶ NONE
3 Five highest-paid independent contractors for pr "NONE"	OTESSIONAL SERVICE	s - (see page 21 of	the instructions) if n	one, enter
(a) Name and address of each person paid more	than \$50 000	(b) Typ	e of service	(c) Compensation
DRESDNER RCM GLOBAL INVESTORS			п мсмп	112 011
SAN FRANCISCO, CA ESSEX INVESTMENT MANAGEMENT CO		INVESTMEN	T MGMT	112,011.
BOSTON, MA		 INVESTMEN	T MGMT	221,553
UTENDAHL CAPITAL MANAGEMENT				
NEW YORK, NY		INVESTMEN	T MGMT	91,693
JEFFREY, PHILLIPS, MOSLEY, SCOT	rt			
LITTLE ROCK, ARKANSAS		ACCOUNTIN	G	74,017.
GRAY & COMPANY			_	71 001
ATLANTA , GA Total number of others receiving over \$50,000 for profi	eccional canilose	CONSULTIN	<u>G</u>	71,001. ► NONE
				NONE
Part IX-A Summary of Direct Charitable Activity	les			
List the foundation's four largest direct charitable activities during the of organizations and other beneficiaries served conferences convened	tax year Include relevant research papers produced	statistical information such d etc	as the number	Expenses
1 ARKANSAS ENTERPRISE GROUP - 1	PROMOTE CAR	EERS IN HEA	LTHE CARE	
AND INDUSTRY PARTNERS SECTOR	AL EMPLOYME	NT INITIATI	VE' THE	
	NTER, & WOR		ES PROJ.	500,000
		ORGANIZATIO		
EXCELLENCE" PROJECT TO BUILD COMMUNITY DEVELOPMENT CORPS			TY_OF	259,468
		<u>STATE DELTA</u> NG & TECHNI	NCAT.	239,408
SUPPORT TO LAND OWNERS & COM				
DEVELOPING PROJECTS USING ATM	-			162,500.
4 ARKANSAS HUMANITIES COUNCIL :				
K-12 TEACHERS TO IMPROVE LANG	GUAGE, ARTS	, & SOCIAL	SCIENCES	
INITIATIVES.				155,659

orm	1 990-PF (2000)	<u> </u>	02858/1 Page /
Par	t IX-B Summary of Program-Related Investments (see page 22 of the instructions)		
De	scribe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2		Amount
1	SEE ATTACHED STATEMENT NUMBER 38		·
_			
			1,000,000.
2 _			
-		}	
All	other program related investments. See page 22 of the instructions		
3	NONE		
-	Dysia		
_			
Pa	Minimum Investment Return (All domestic foundations must complete this part see page 22 of the instructions)	Fore	eign foundations,
1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc.,		
	purposes	i i	
	Average monthly fair market value of securities	1a	131,019,486.
	Average of monthly cash balances	1 b	23,276,718
	Fair market value of all other assets (see page 23 of the instructions)	1 c	NONE
	Total (add lines 1a, b, and c)	1d	154,296,204.
е	Reduction claimed for blockage or other factors reported on lines 1a and		
2	1c (attach detailed explanation) Acquisition indebtedness applicable to line 1 assets	2	NOVE
3	Subtract line 2 from line 1d	3	NONE 154,296,204
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see	- -	154,296,204
•	page 23 of the instructions)	4	2,314,443
5	Net value of noncharitable-use assets Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	151,981,761.
6	Minimum investment return. Enter 5% of line 5	6	7,599,088
a	Distributable Amount (see page 23 of the instructions) (Section 4942(j)(3) and (j)(5) properties foundations and certain foreign organizations check here	rivate is par	operating
1	Minimum investment return from Part X, line 6	1	7,599,088
2 a	Tax on investment income for 2000 from Part VI, line 5 2a 518,243		
b	Income tax for 2000 (This does not include the tax from Part VI)]	
C	Add lines 2a and 2b	2 c	518,243
	Distributable amount before adjustments. Subtract line 2c from line 1	3	7,080,845
	Recoveries of amounts treated as qualifying distributions . 4a 26,041		
	Income distributions from section 4947(a)(2) trusts]	
	Add lines 4a and 4b	4 c	26,041
5 c	Add lines 3 and 4c	6	7,106,886
6 7	Deduction from distributable amount (see page 23 of the instructions) Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	7,106,886
			7,100,686
	t XII Qualifying Distributions (see page 24 of the instructions)	 -	
1 -	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes	ا ـ ا	4 300 400
a	Expenses, contributions, gifts, etc total from Part I, column (d) line 26	1 a	4,130,438
ь 2	Program-related investments - total of lines 1-3 of Part IX-B Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc.	1 b_	1,000,000
2	purposes	2	NONE
3	Amounts set aside for specific charitable projects that satisfy the	-	NONE
a		3a	NONE
b		3 b	NONE
4	Qualifying distributions Add lines 1a through 3b Enter here and on Part V, line 8 and Part XIII, line 4	4	5,130,438.
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	A\N
6	Adjusted qualifying distributions Subtract line 5 from line 4	6	5,130,438.

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



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

			(a)	(b)	(c)	(d)
1	Distributable amount for	2000 from Part XI,	Corpus	Years prior to 1999	1999	2000
	line 7	•		·	5 J	7,106,886.
2	Undistributed income if any	as of the end of 1999			, ,	· .
а	Enter amount for 1999				NONE	, in the second
b	Total for prior years 199	8		NONE		
3	Excess distributions carry	over, if any, to 2000				
a	From 1995	NONE	1			
b	From 1996	1,442,256.				
c	From 1997	2,088,139.			* ***	, ,
d	Fram 1998	NONE	· , , ,		^ .	,
	From 1999	NONE	· '			
f	Total of lines 3a through e	•	3,530,395.			
4	Qualifying distributions for		•		·	, , ,
	XII, line 4 ▶ 5,1					
а	Applied to 1999, but not i	more than line 2a			NONE	
b	Applied to undistributed in		^ ,			* 4
	(Election required see page	· •		NONE	· · · · · · · · · · · · · · · · · · ·	· · · · · · · · · · · · · · · · · · ·
С	Treated as distributions o	ut of corpus (Election	MONE			
	required - see page 25 of		NONE		7 2 2	
	Applied to 2000 distributa	•				5,130,438.
	Remaining amount distrib Excess distributions carry	•	1,976,448.			1 076 110
-	(If an amount appears in co	lumn (d), the same	1,9/6,448.		· ,	1,976,448
_	amount must be shown in		,	·	•	,
Б	Enter the net total of a indicated below	each column as				r
a	Corpus Add lines 3f, 4c,	and 4e Subtract line 5	1,553,947			<u> </u>
ь	Prior years' undistributed	income Subtract		-	<i>"</i> .	, v.
	line 4b from line 2b	•		NONE		
С	Enter the amount of prior income for which a notice					
	issued, or on which the s		, ,		•	* ,
	been previously assessed			NONE NONE		
d	Subtract line 6c from line	6b Taxable				
_	amount - see page 25 of t			NONE		
e	Undistributed income for 199 from line 2a. Taxable amount					` *
	instructions		·		NONE	
f	Undistributed income for	2000 Subtract lines	· .		-	
	4d and 5 from line 1. This	amount must	. ***	.,	4	
	be distributed in 2001					
7	Amounts treated as distribution					
	satisfy requirements imposed		500 000		,	, , , , , , , , , , , , , , , , , , ,
	4942(g)(3) (see page 25 of the instructions)		690,000.			
8	Excess distributions carryover from 1995 not applied on line 5 or line 7 (see page 25 of the instructions)		NONE			
9	· -					
•	Subtract lines 7 and 8 from line 6a		863,947			•
0	Analysis of line 9	•	· · · · · ·	~		
a	Excess from 1996	NONE				" 1
	Excess from 1997	863,947.	<i>"</i>			
	Excess from 1998	NONE	!	,		
	Excess from 1999	NONE	ger de la	• ,	, , , , , , , , , , , , , , , , , , ,	
	Excess from 2000	NONE	* /			. ^

orm	990 PF (2000)		<u> </u>		_	71-02	85871 Page 9
Pa	rt XIV Private Operat	ting Foundation (see	page 25 of the instruc	tions and Part VII-	A est	ion 9) NO	T APPLICABLE
a	If the foundation has rece	ived a ruling or determi	nation letter that it is a priv	ate operating			
	foundation, and the ruling	is effective for 2000, e	nter the date of the ruling	• •		ļ	
ь	Check box to indicate who	ether the organization is	a private operating found	lation described in se	ction	4942(j)(3) or	4942(j)(5)
а	Enter the lesser of the	Tax year		Prior 3 years			_
	adjusted net income from Part I or the minimum investment return from Part X for each year listed	(a) 2000	{b} 1999	(c) 1998		(d) 1997	(e) Total
b	85% of line 2a		· -·				 _
С	Qualifying distributions from Part XII inne 4 for each year listed						
d	Amounts included in line 2c not used directly for active conduct of exempt activities						
e	Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c.						
a	Complete 3a b or c for the alternative test relied upon "Assets alternative test enter						
	(1) Value of all assets (2) Value of assets qualifying under section						
	4942(j)(3)(B)(i) Endowment alternative test - Enter 2/3 of minimum Investment return shown in Part X line 6 for each year Isted						
c	"Support" alternative test - enter				ł		
	(1) Total support other than gross investment income (interest, dwidends rents payments on securities loans (section \$12(a)(5))						
	or royalties) (2) Support from general public and 5 or more exempt organizations					<u></u>	
	as provided in section 4942(j)(3)(B)(iii) (3) Largest amount of support from an exempt					<u></u>	
	organization	 -			_		
	(4) Gross investment income		!!				
~			lete this part only if the		d \$5,00	0 or more in	
a	Information Regarding List any managers of the	Foundation Manage		of the total contribution		•	on
ь	List any managers of the of a partnership or other N/A				equally la	arge portion of the i	ownership
		organization only makes	contributions to preselected c	naritable organizations a			
	If the organization makes git					onditions, complete i	tems 2a, b, c, and d
а	The name, address, and to PROGRAM MA	telephone number of the NAGER AT PAG		ons should be addres	sed		
b	The form in which applica	ations should be submit		JS INFORMA'	rion	· · · · · · · · · · · · · · · · · · ·	TAILS MAY
С	Any submission deadlines ONGO ING						
ď	Any restrictions or limitat	ions on awards, such a	s by geographical areas, c	hantable fields kinds	of institut	cons, or other	

Form 990-	-PF (2000)			71	028 <u>5</u> 87 <u>1</u> Page 1
Part X	V Supplementary Inform	(continued)			
3 Gra	ants and Contributions Paid Duri	If recipient is an individual		uture Payment	····- _[·
Nar	Recipient me and address (home or business)	show any relationship to any foundation manager	Foundation status of	Purpose of grant or contribution	Amount
	d dunng the year	or substantial contributor	recipient		
a ran	d during the year				
SEE S	STATEMENT 17				
			ļ		
		<u> </u>		<u> </u>	2 2 2 6 4 4
b Apr	proved for future payment	1		<u>▶ 3</u>	a 2,823,644
	,				
SEE S	STATEMENT 18				
			1		
]		
———	 		1	<u> </u>	h 213 377

Part X	VI-A Analysis of Income-Pro	oducina	Activities			
	s amounts unless otherwise indicated		ed business income	Excluded by	section 512, 513, or 514	(e) Related or exempt
_	m service revenue	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See page 26 of the instructions)
a		Code	7	Code	- Milodik	tite instructions)
. —	- · · · · · · · · · · · · · · · · · · ·					
						
					<u></u> -	
f						
g Fee	s and contracts from government agencies					· · · · · · · · · · · · · · · · · · ·
	rship dues and assessments					
3 Interest	on savings and temporary cash investments			14	3,630,996.	
4 Dividen	ids and interest from securities			14	691,568.	
5 Net ren	ital income or (loss) from real estate					
a Del	bt-financed property					
b Not	t debt-financed property		-		·	
6 Net rent	al income of (loss) from personal property					- ,
7 Other ii	nvestment income			18	-3,960,642.	
8 Gain of	(loss) from sales of assets other than inventory			18	-860.	
9 Net inc	ome or (loss) from special events					
10 Gross	profit or (loss) from sales of inventory					
11 Other re	evenue a					
ь <u>т</u>	MISC. INCOME			01	191.	
c						
d			·			
e			W-2			
	al Add columns (b) (d), and (e)				361,253	
	Add line 12, columns (b), (d), and (e)				. ▶13	361,253
	sheet in line 13 instructions on page 27 t					
Part X	VI-B Relationship of Activit					·
Line No	Explain below how each activity	for which	h income is reported	d in column	(e) of Part XVI-A contr	ibuted importantly to
▼	the accomplishment of the org	anization's	exempt purposes (other than b	y providing funds for s	such purposes) (See
	page 27 of the instructions)			· · · · · · · · · · · · · · · · · · ·		
						
				- -		
	- 					
			 			
	<u> </u>	 				
					<u>. </u>	
	·			- - -		
	-		· · · · · · · · · · · · · · · · · · ·			<u></u> -
-	- 		NOT APPLICA	BLE		
			<u></u>	·		
	 					
	 					
	· -				· -	
						
						
	 		·			<u> </u>
	 					
	<u> </u>					

Form	990 PF (200	00)			71-0285	5 871 P	age 12
Pa	rt XVII	Information F Exempt Orga	-	ansfers To and Transac	ctions and ationships With I	Voncharita	ble
1	Old the or	ganization directly o	r indirectly engag	e in any of the following with an	y other organization described in section	Ye	s No
	501(c) of	the Code (other tha	n section 501(c)(3) organizations) or in section 52	7, relating to political organizations?		, .
a	Transfers	from the reporting of	organization to a	nonchantable exempt organization	of		٠
	(1) Cash		·	•		1a(1)	X
	(2) Other	assets				1a(2)	X
ь	Other Trai	nsactions					
	(1) Sales	of assets to a nonc	haritable exempt o	rganization		1b(1)	X
	(2) Purch	ases of assets from	a nonchantable e	xempt organization		1b(2)	_ <u>_x</u> _
	(3) Renta	il of facilities, equipm	nent, or other asse	ts		1b(3)	X
	(4) Reimb	bursement arrangem	ents	•		1b(4)	X
	(5) Loans	or loan guarantees				1b(5)	X
	(6) Perfor	rmance of services	or membership or	fundraising solicitations	•	1b(6)	X_
Ċ	Sharing o	f facilities, equipmet	nt, mailing lists, of	ther assets, or paid employees	•	1c	X_
d	If the ans	wer to any of the ab	ove is "Yes," com	plete the following schedule. Colur	nn (b) should always show the fair market		
	value of th	ne goods, other asse	ets, or services g	ven by the reporting organization	If the organization received less than fair		
	market va received	lue in any transactio	on or sharing arra	ngement, show in column (d) the v	alue of the goods other assets, or services		
(a)		(b) Amount involved	(c) Name of	noncharitable exempt organization	(d) Description of transfers, transactions, and	d sharing arrange	ments
							
					ļ	-	
			<u> </u>				
					 		
							
	_			·	 		
			 		 		
					 		
			 	 _	 		
					 		
							·
			ļ				
						_	
							
			<u></u>				
2 a	Is the org	anization directly or	indirectly affiliate	ed with or related to, one or more	tax-exempt organizations		
		•	•	than section 501(c)(3)) or in section	on 527? •	Yes	X No
		complete the following					
		(a) Name of organization	in	(b) Type of organization	(c) Description of ref	ationship	
							
—					·		
							
				•	ng schedules and statements, and to the best of my sed on all information of which preparer has any kno	-	oellef it is
	· LM	allo M	_ WOVSV				
e i	Signal	ture of officer or austee					
Here							
⊑	v ≥ Pro						
Sign	Pard Preparer's Use Only	nature	KN Cin				
	USe P	enuo, 10) eman a m	DELOI	TTE & TOUCHE			
	۱۱۱ د م	self-employed) addre		ENTER STREET			
		d ZIP code	111 0				
			111111	E ROCK, AR			

Department of the Treasury Internal Revenue Service

Underpayment of Estimated Tax by Comporations are separate. See page 4 for Paperwork Retion Act Notice ► Attach to the corporation's tax return

OMB No 1545-0142

Name

Employer Identification number

71-0285871

THE WINTHROP ROCKEFELLER FOUNDATION

In most cases, the corporation does not need to file Form 2220 (See Part I below for exceptions) The IRS will figure any penalty Note owed and bill the corporation. If the corporation does not need to file Form 2220, it may still use it to figure the penalty. Enter the amount from line 34 on the estimated tax penalty line of the corporation's income tax return, but do not attach Form 2220

Part | Reasons for Filing - Check the boxes below that apply to the corporation If any boxes are checked, the corporation must file Form 2220, even if it does not owe the penalty. If the box on line 1 or line 2 applies, the corporation may be able to lower or eliminate the penalty. See page 1 of the instructions

The corporation is using the annualized income installment method 1

2 The corporation is using the adjusted seasonal installment method The corporation is a "large corporation" figuring its first required installment based on the prior year's tax 3 The corporation also must file Form 2220 if it has a research credit allowed for the current year. See the instructions for line 4 on Part II Figuring the Underpayment 518,243. Total tax (see page 2 of the instructions) 4 a Personal holding company tax. (Schedule PH (Form 1120), line 26) included on 5 a b Interest included on line 4 due under the look-back method of section 460(b)(2) for completed long-term contracts or section 167(g) for property depreciated under the income forecast method. 5 b c Credit for Federal tax paid on fuels (see page 2 of the instructions) 5с d Total Add lines 5a through 5c <u>5 d</u> Subtract line 5d from line 4. If the result is less than \$500, do not complete or file this form. The corporation 518,243. does not owe the penalty 6 Enter the tax shown on the corporation's 1999 income tax return. Caution. See page 2 of the instructions before 7 667,051. completing this line Enter the smaller of line 6 or line 7. If the corporation must skip line 7, enter the amount from line 6 on line 8 518,243. (a) (b) (c) (d) 9 Installment due dates. Enter in columns (a) through (d) the 15th day of the 4th (Form 990-PF filers Enter 5th month), 6th, 9th, and 12th months of the corporation's tax year O Required installments If the box on line 1 and/or line 2 10 above is checked, enter the amounts from Schedule A. line 41 If the box on line 3 (but not 1 or 2) is checked, see page 3 of the instructions for the amounts to enter. If none of these boxes are checked enter 25% of line 8 above ın each column Estimated tax paid or credited for each period (see page 3 of the instructions). For column (a) only enter the amount from line 11 on line 15 Complete lines 12 through 18 of one column before going to the next column

- 12 Enter amount, if any from line 18 of the preceding column
- 13 Add lines 11 and 12
- 14 Add amounts on lines 16 and 17 of the preceding column
- 15 Subtract line 14 from line 13 If zero or less, enter -0-
- 16 If the amount on line 15 is zero, subtract line 13 from line 14 Otherwise, enter -0-
- 17 Underpayment If line 15 is less than or equal to line 10, subtract line 15 from line 10. Then go to line 12 of the next column. Otherwise, go to line 18
- 18 Overpayment If line 10 is less than line 15, subtract line 10 from line 15. Then go to line 12 of the next column.

•	9	05/15/2000	06/15/2000	09/15/2000	12/15/2000
	10	129,561	129,561	129,561.	129,561
	11	170,000	170,000	170,000.	
		2.0,000	1,0,000	110,000.	
	12		40,439	80,878.	121,317.
	13		<u>210,439</u> .	250,878.	121,317.
	14				
	15	170,000.	210,439.	250,878	121,317
	16				
	<u> </u>				
	17				8,244
0		- "			<u> </u>
•	18	40,439.	80,878	121,317	

Complete Part III on page 2 to figure the penalty If there are no entries on line 17, no penalty is owed

Part III Figuring the Penalty

				(a)		(D)		_(0)		(0)
19	Enter the date of payment or the 15th day of the 3rd month after the close of the tax year. whichever is earlier (see page 3 of the		·							
	instructions) (Form 990-PF and Form 990-T filers: Use 5th month instead of 3rd month.)	19							ŀ	
20	Number of days from due date of installment on line 9									
	to the date shown on line 19	20			+				┼—	
21	Number of days on line 20 after 4/15/2000 and before 1/1/2001	21			+				-	
22	Underpayment on line 17 x Number of days on line 21 x 9%	22			-		-		-	
23	Number of days on line 20 after 12/31/2000 and before 4/1/2001	23			ļ.		-		ļ	
24	Underpayment on line 17 x Number of days on line 23 x 9%	24		<u></u> .			-		ļ-	
25	Number of days on line 20 after 3/31/2001 and before 7/1/2001	25	SEE	PENAL'	IY.	COMPUTATI	ON W	HITEPA	PER	DETAIL
26	Underpayment on line 17 x Number of days on line 25 x *% .	26			_		ļ	-		
27	Number of days on line 20 after 6/30/2001 and before 10/1/2001	27			_				-	
28	Underpayment on line 17 x Number of days on line 27 x *%	28					<u> </u>	, <u>, , , , , , , , , , , , , , , , , , ,</u>	<u> </u>	
29	Number of days on line 20 after 9/30/2001 and before 1/1/2002	29			 				-	
30	Underpayment on line 17 x Number of days on line 29 x *% 365	30							-	
31	Number of days on line 20 after 12/31/2001 and before 2/16/2002	31			_		ļ		-	
32	Underpayment on line 17 x Number of days on line 31 x *% 365	32		<u></u>	-				_	
33	Add lines 22 24 26 28 30 and 32	33							-	
34	Penalty Add columns (a) through (d) of line 33 Enter	the to	tal here a	ınd on Form	1120), line 33 Form 112	0-A line			
	29, or the comparable line for other income tax returns							3.	4	43

*For underpayments paid after March 31, 2001 For lines 26, 28, 30, and 32, use the penalty interest rate for each calendar quarter that the IRS will determine during the first month in the preceding quarter. These rates are published quarterly in an IRS News Release and in a revenue ruling in the Internal Revenue Bulletin. To obtain this information on the Internet, access the IRS Web Site at www.irs.gov. You can also call 1-800-829-1040 to get interest rate information.

Form 2220 (2000)

SCHEDULE D (Form 1041)

Capital Gains and Loss

OMB No 1545-0092

Department of the Treasury Internal Revenue Service Name of estate or trust

► Attach to Form 1041 (or Form 5227). See the separate instructions for Form 1041 (or Form 5227)

Employer identification number

THE	WINTHRO:	P ROCKEFELLER	FOUNDATION _
Note	Form 5227	filers need to complet	e only Parts I and II

71-0285871

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo , day yr)	(c) Date sold (mo_day_yr)	(d)	Sales price	(e) Cost or othe (see page 2		(f) Gain or (Loss) (col (d) less col (e)
preferred of 2_co/	THIO, day yi	· · · · · · · · · · · ·			, , , , , , , , , , , , , , , , , , ,	'	(40. (0) 1000 001 (4)
			-		 -		
		_			1.	_	
					<u></u>		
2 Short-term capital ga	on or (loss) from	Forms 4684 6	252 67	81 and 882/		7 2	
Net short-term gain					•		
estates or trusts	or (loss) from pai	riteratilba, a coi	porauo:	is, and other		3	
Short-term capital lo	ss carryover Ent	er the amount,	if any, fr	om line 9 of t	he		
1999 Capital Loss C	arryover Workshe	et			•	4	<u>(</u>
5 Net short-term gain	or (loss) Combin	e lines 1 throug	gh 4 in d	olumn (f) Ei			
here and on line 14	helow				▶	5	

Long-Term Capital Gains and Losses - Assets Held More Than One Year Part II

	(a) Description of property (Example 100 shares 7% preferred of 'Z' Co')	(b) Date acquired (mo day yr)	(c) Date sold (mo day yr)	(d) Sales price	(e) Cost or other (see page 2)		(f) Gain or (Loss) (col (d) less col (e _j)	(g) 28% Ra or (Los *(see ins	ss)
6		2 -		455555	4550456	-	00011170		
	SEE STATEMENT	120		475705583.	4559476	32.	20211170		NONE
_		-							
			-						
7	Long-term capital gain	or (loss) from	Forms 2439, 4	684, 6252, 6781, and	8824	7			
8	Net long-term gain or (loss) from part	nerships, S cor	porations, and other e	states or trusts	8			<u>.</u>
9	Capital gain distribution	ns				9	1,982,292		
10	Gain from Form 4797,	Part I				10			
11	Long-term capital loss	carryover Ent	er in both colum	ins (f) and (g) the amo	unt,				
	if any, from line 14, of	the 1999 Capit	al Loss Carryov	er Worksheet		11	K	<u> </u>)
12	Combine lines 6 throug	gh 11 in columi	n (g)			12			
13	Net long-term gain or	(loss) Combine	lines 6 through	h 11 in column (f) Er	nter				
	here and on line 15 be	•			>	13	22193462.		

*28% rate gain or loss includes all 'collectibles gains and losses" (as defined on page 28 of the instructions) and up to 50% of the eligible gain on qualified small business stock (see page 26 of the instructions)

Part III Summary of Parts I and II		(1) Beneficianes (see page 28)	(2) Estate's or trust s	(3) Total
14 Net short-term gain or (loss) (from line 5 above)	14			
15 Net long-term gain or (loss)				
a 28% rate gain or (loss) (from line 12 above)	15a			<u> </u>
b Unrecaptured section 1250 gain (see line 17 of the worksheet				
on page 29)	15b			
c Total for year (from line 13 above)	15c			22193462
16 Total net gain or (loss) Combine lines 14 and 15c	▶ 16			22193462

Note If line 16, column (3) is a net gain enter the gain on Form 1041, line 4 If lines 15c and 16 column (2) are net gains go to Part V, and do not complete Part IV If line 16, column (3), is a net loss, complete Part IV and the Capital Loss Carryover Worksheet, as necessary

For Paperwork Reduction Act Notice, see the Instructions for Form 1041

Schedule D (Form 1041) 2000

				
Sche Par	t IV Capital Loss Limitation			Page 2
			-	
17	Enter here and enter as a (loss) on Form 1041, line 4, the smaller of			
	a The loss on line 16, column (3) or b \$3,000		17	1
is sh	e loss on line 16_column (3)_is more than \$3,000, or if Form 1041, page 1, lin	0.22 10.010	<u> </u>	di occ
	yover Worksheet on page 30 of the instructions to determine your capital loss c		ss, complete the capita	1 LU33
_	Tay Computation House Maximum Capital Gaine Pates (Com		part only if both line	s 15c and
Par	16 in column (2) are gains, and Form 1041, line 22 is more th	-	•	
18	Enter taxable income from Form 1041, line 22		. 18	
19	Enter the smaller of line 15c or 16 in column (2)	19		
20	If you are filing Form 4952, enter the amount from Form 4952, line 4e	20		
21	Subtract line 20 from line 19 If zero or less, enter -0-	21		
22	Combine lines 14 and 15a, column (2) If zero or less, enter -0-	22		
23	Enter the smaller of line 15a, column (2), or line 22, but not less than zero	23		
24	Enter the amount from line 15b, column (2)	24		
25	Add lines 23 and 24	25		
26	Subtract line 25 from line 21 If zero or less, enter -0-		26	<u> </u>
27	Subtract line 26 from line 18 If zero or less, enter -0-		27	<u> </u>
28	Enter the smaller of line 18 or \$1,750	28		
29	Enter the smaller of line 27 or line 28	29		
30	Subtract line 21 from line 18 If zero or less, enter -0-	30		
31	Enter the larger of line 29 or line 30	31		
32	Tax on amount on line 31 from the 2000 Tax Rate Schedule		32	
	Note If the amounts on lines 28 and 29 are the same skip lines 33 through	. ī	o line 37	
33	Enter the amount from line 28	33		
34	Enter the amount from line 27	34		
35	Subtract line 34 from line 33 if zero or less, enter -0-	35		
36	Multiply line 35 by 10% (10)	50	36	
	Note If the amounts on lines 18 and 28 are the same skip lines 37 through	50 and go to	o line 31	
37	Enter the smaller of line 18 or line 26	38		
38	Enter the amount from line 35	> 3°		
39	Subtract line 38 from line 37	- <u> 3</u> - <u> </u>		•
40	Multiply line 39 by 20% (20)		40	
40			1	
41	Note If line 25 is zero or blank skip lines 41 through 50 and go to line 51 Enter the smaller of line 21 or line 24	41		
42	Add lines 21 and 31 42			
43	Enter the amount from line 18 43	-	ļ	
44	Subtract line 43 from line 42 If zero or less, enter -0-	44		
45	Subtract line 44 from line 41 If zero or less, enter -0-	45		
		· <u>L</u>		
46	Multiply line 45 by 25% (25)		46	
	Note If line 23 is zero or blank skip lines 47 through 50 and go to line 51	•		
47	Enter the amount from line 18	47		
4 B	Add lines 31 35, 39, and 45	48		
49	Subtract line 48 from line 47	49		
-	•			
50	Multiply line 49 by 28% (28)		50	
51	Add lines 32, 36, 40, 46, and 50		51	

52

53

Tax on the amount on line 18 from the 2000 Tax Rate Schedule

and on line 1a of Schedule G, Form 1041

Tax on all taxable income (including capital gains). Enter the smaller of line 51 or line 52 here

Sales of Business Property luntary Conversions and Recapture Under Sections 179 and 280F(b)(2)) (Also I

OMB No 1545 0154

Department of the Treasury Internal Revenue Service (99)

THE WINTHROP ROCKEFELLER FOUNDATION

► Attach to your tax return ► See separate instructions

Attachment Sequence No 27

Name(s) shown on return

Identifying number

71-0285871

1	Enter the gross proceeds from sales				1099-B or 1099-S (d	or substitute			
	statement) that you are including on	line 2, 10, or 20	(see instructions)	·	-	1		F
Pa	Sales or Exchanges of								rrom
	Other Than Casualty	or ineft - F	nost Proper	ty neig More				ns)	
	(a) Description of property	(b) Date acquired (mo day yr)	(c) Date sold (mo day yr)	(d) Gross sales price	(e) Depreciation allowed or allowable since acquisition	(f) Cost or or basis plu improvement expense of	s and	Subtr the	n or (loss) ract (f) from sum of (d) and (e)
2	SEE STATEMENT 35								-860.
		1		<u></u>	<u> </u>				
3	Gain, if any, from Form 4684, lin		•				3		
4	Section 1231 gain from installm						4		
5	Section 1231 gain or (loss) from		-	rm 8824			5		
6	Gain if any, from line 32, from o					•	6		
7	Combine lines 2 through 6 Ente						7		<u>-860.</u>
	Partnerships (except electing large			or (loss) following t	the instructions for	Form			
	1065, Schedule K, line 6 Skip lines								
	S corporations Report the gain or								
	Skip lines 8, 9, 11, and 12 below, up All others If line 7 is zero or a loss.								
	7 is a gain and you did not have an				•)		
	enter the gain from line 7 as a long-			•		, your,			
8	Nonrecaptured net section 1231						8		
9	Subtract line 8 from line 7 If zer	•	•	=	rate line as follows	s	-		
٠	(see instructions)	0 01 1033, Dillo		si oli ulo appiopi		•	9		
	S corporations Enter any gain from	line 9 on Sched	lule D (Form 11:	20S) line 15 and s	kip lines 11 and 12	below			
	All others If line 9 is zero, enter the						n line 8	on line 1	12
	below, and enter the gain from line	9 as a long-term	capital gain on S	chedule D					
P	ort II Ordinary Gains and L	osses							
10	Ordinary gains and losses not in	cluded on line	s 11 through 1	7 (include propei	rty held 1 year or	less)		_	
		<u> </u>	· · · · · · · · · · · · · · · · · · ·						
		<u> </u>		<u> </u>	 _				 -
		<u> </u>	L	<u> </u>	<u> </u>	L	,		
11		•					11		<u>860 .</u>)
12	, ,,	unt from line 8,	ıf applicable				12		
13		•					13		
14	3 , ,						14		
15	- 7 3						15		
16							16	-	
17		· ·	•	poration shareholde	ers from property dis	spositions	\ <u></u>		
	by partnerships and S corporations						17		
18		_	•			ws.	18		-860
	a For all except individual returns	⊏nter the gair	i or (loss) trom	line to on the fe	eturn being filed			•	
	b For individual returns	laas (P	4694 her 25	dunen (h\/\ ==+==+	hat were at the tere :				
	(1) If the loss on line 11 includes a Enter the part of the loss from i								
	of the loss from property used a	as an employee							
	4797, line 18b(1) " See instructi (2) Redetermine the gain or (loss)	ons .	dina the less of s	ny on line 195/1\ 5	inter here and on E	orm.	18b(1)		
	(2) Redetermine the gain or (loss)	on line 46 exclus	ang me 1055, it di	ny orranie rob(1) E	inci dele anu un F	UIIII			
Ea	r Panerwork Reduction Act Notice sa	e nage 7 of the u	nstructions		·		185(2)	Form	4797 (2000)

					(b) Date acquire	·d	(c) Date sold	
9 (a) Description of section 1245, 1250, 1252, 1254,	or 1255	property			(mo day yr)		(mo day yr	
Α								
В								
С								
D								
hese columns relate to the properties on lines 19A through 1	9D >	Property A	Property B		Property C		Property D	
O Gross sales price (Note See line 1 before completing) 20							
Cost or other basis plus expense of sale	21							
2 Depreciation (or depletion) allowed or allowable .	22							
Adjusted basis Subtract line 22 from line 21	23		<u> </u>			-		
4 Total gain Subtract line 23 from line 20	24							
5 If section 1245 property						Ì		
a Depreciation allowed or allowable from line 22 .	25a							
b Enter the smaller of line 24 or 25a	25b							
6 If section 1250 property if straight line depreciation was used enter -0 on line 26g except for a corporation subject to section 291								
a Additional depreciation after 1975 (see instructions)	26a		<u> </u>			_		
b Applicable percentage multiplied by the smaller of								
line 24 or line 26a (see instructions)	26b							
c Subtract line 26a from line 24. If residential rental property								
or line 24 is not more than line 26a skip lines 26d and 26e	26c							
d Additional depreciation after 1969 and before 1976	26d					T		
e Enter the smaller of line 26c or 26d	26e							
f Section 291 amount (corporations only)	26f							
			<u> </u>		_			
g Add lines 26b, 26e, and 26f	26 g							
7 If section 1252 property. Skip this section if you did not dispose of farmland or if this form is being completed for a partnership (other than an electing large partnership).								
a Soil water, and land clearing expenses	27 a							
b Line 27a multiplied by applicable percentage (see instructions)	27Ь							
c Enter the smaller of line 24 or 27b	27c							
8 If section 1254 property a Intangible drilling and development costs expenditures for development of mines and other natural deposits and mining exploration costs (see instructions)	28a							
b Enter the smaller of line 24 or 28a	28b				-			
9 If section 1255 property								
a Applicable percentage of payments excluded from								
income under section 126 (see instructions)	29a					1		
b Enter the smaller of line 24 or 29a (see instructions)	-	-	<u> </u>		-			
summary of Part III Gains. Complete propert		mne A through	n through line	205	hefore going t	o line	30	
	., colu							
0 Total gains for all properties. Add property columns	A throug	jh D, line 24				30		
							-	
1 Add property columns A through D lines 25b, 26g,	27c, 28	b, and 29b. Enter he	ere and on line 13			31		
2 Subtract line 31 from line 30. Enter the portion from	n casual	ty or theft on Form 4	1684 line 33 Ente	r the g	oortion	\		
from other than casualty or theft on Form 4797. line						32		
Part IV Recapture Amounts Under Sections (See instructions)	ons 17	79 and 280F(b)(2) When Busi	ines	s Use Drops to	50 ⁹	% or Less	
					(a) Section		(b) Section	
					179	ļ	280F(b)(2)	
3 Section 179 expense deduction or depreciation allo	wable in	prior years		33				
4 Recomputed depreciation See instructions		. •		34				
5 Recapture amount Subtract line 34 from line 33 S	4.			35				

FORM 990PF, PART I - CONTRIBUTIONS, GIFTS AND GRANTS RECEIVED

NAME AND ADDRESS
DATE
SUPPORT

TRUST U/W WINTHROP ROCKEFELLER 2230 COTTONDALE LANE, SUITE 6 LITTLE ROCK, AR 72202

TOTAL CONTRIBUTION AMOUNTS

690,000.

690,000.

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

	REVENUE	
	AND	NET
	EXPENSES	INVESTMENT
DESCRIPTION	PER BOOKS	INCOME
REGIONS OPERATING ACCOUNT	22,178.	22,178.
BRINSON INTERNATIONAL	104.	104.
ESSEX INVESTMENT MANAGEMENT COMPANY, INC	108,060.	108,060.
BRINSON PARTNERS, INC.	6,648.	6,648.
UTENDAHL	1,778,699.	1,778,699.
RCM CAPITAL MANAGEMENT, INC EQUITIES	11,586.	11,586
RCM CAPITAL MANAGEMENT, INC FIXED INCO		1,571,482
NORTHERN TRUST COMPANY - EQUITY	71,138.	71,138.
NORTHERN TRUST COMPANY - INTERNATIONAL	24,321.	24,321
EARNEST	58,861	
OTHER INTEREST INCOME	4,057.	4,057.
ACCRETION OF ORIGINAL ISSUE DISCOUNT	49,108	49,108.
AMORTIZATION OF BOND PREMIUM	-75,246.	-75,246
TOTAL	3,630,996.	3,630,996.
	=======================================	=======================================

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

	REVENUE	
	AND	NET
	EXPENSES	INVESTMENT
DESCRIPTION	PER BOOKS	INCOME
NORTHERN TRUST COMPANY - INTERNATIONAL	199,467	199,467.
ESSEX INVESTMENT MANAGEMENT COMPANY, INC	20,686.	20,686.
BRINSON PARTNERS, INC.	12,770.	12,770.
NORTHERN TRUST COMPANY - EQUITY	223,282.	223,282.
MISCELLANEOUS DIVIDENDS	6,600	6,600
RCM CAPITAL MANAGEMENT, INC EQUITIES	143,709	143,709.
EARNEST	85,054.	85,054.
TOTAL	691,568.	691,568.
		======================================

FORM 990PF, PART I - OTHER INCOME

	TOTALS	191.	191.
OTHER MISCELLANEOUS INCOME		191	191.
DESCRIPTION		PER BOOKS	INCOME
		EXPENSES	INVESTMENT
		AND	NET
		REVENUE	

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

	REVENUE	
	AND	NET
	EXPENSES	INVESTMENT
DESCRIPTION	PER BOOKS	INCOME
INVESTMENT MANAGEMENT FEES - BRINSON	18,517.	18,517
INVESTMENT MANAGEMETN FEES - ESSEX	·	221,553.
INVESTMENT MANAGEMENT FEES - RCM EQUITIES	•	54,816.
INVESTMENT MANAGEMENT FEES - UTENDAHL	91,693.	91,693.
CUSTODIAN BANK FEES	47,307.	47,307.
OTHER INVESTMENT FEE ADJUSTMENT	-37,326.	-37,326.
INVESTMENT MANAGEMENT FEES - BRINSON INTL	17,404.	17,404.
INVESTMENT MANAGEMENT FEES - RCM FIXED INCOME	57,195.	57,195.
INVESTMENT MANAGEMENT FEES - EARNEST	21,917.	21,917.
INVESTMENT MANAGEMENT FEES - NORTHERN TRUST EQUITY	7 3,211.	3,211.
INVESTMENT MANAGEMENT FEES - NORTHERN TRUST INT'L	22,549.	22,549.
INVESTMENT OVERSIGHT AND CONSULTING	70,669.	70,669.
TOTALS	589,505.	589,505

FORM 990PF, PART I - TAXES --------

		REVENUE	
		AND	
		EXPENSES	CHARITABLE
DESCRIPTION		PER BOOKS	PURPOSES
FEDERAL EXCISE TAX		572,075.	
PAYROLL TAXES		22,413	22, 📤 3.
UNEMPLOYMENT TAXES		931.	´ !
	TOTALS	595,419.	23,344.
			=======================================

FORM 990PF, PART I - OTHER EXPENSES

REVENUE AND				
	EXPENSES	CHARITABLE		
DESCRIPTION	PER BOOKS	PURPOSES		
BANK CHARGES	750.	750.		
UTILITIES	5,525.	5,525.		
INSURANCE GENERAL	15,690.	15,690.		
POSTAGE	12,084.	12,084.		
PROFESSIONAL DEVELOPMENT	17,874.	17,874.		
ANNIVERSARY ACTIVITIES	113,922.	113,922.		
TEMPORARY SERVICES	20,980.	20,980.		
TELEPHONE	17,289.	17,289.		
MEDIA SERVICES	953.	953.		
ISSUES RESEARCH	100,505	100,505.		
REPAIRS & MAINTENANCE	53,944	53,944.		
OFFICE EXPENSES	117,124.	117,124.		
DUES & SUBSCRIPTIONS	31,402	31,402.		
BOARD APPRECIATION	67,635.	67,635.		
EMPLOYEE SEARCH	39,396.	39,396.		
WEBSITE DEVELOPMENT	32,540	32,540.		

FORM	990PF,	PART	I	-	OTHER	EXPENSES
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DESCRIPTION

REVENUE AND

EXPENSES PER BOOKS

TOTALS

647,613.

CHARITABLE PURPOSES

647,613.

FORM 990PF, PART I - CONTRIBUTIONS, GIFTS, GRANTS PAID

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

	AND		
RECIPIENT NAME AND ADDRESS	FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
GRANTS PAID			
=== =================================			
CET ATTACKED CTATELED A ATTACH 25			
SEE ATTACHED STATEMENT NUMBER 36			2,823,644
		TOTAL CONTRIBUTIONS PAID	2,823,644
GRANTS ACCRUED			
VARIOUS CHARITABLE ACTIVITIES			213,377
		TOTAL APPROVED CONTRIBUTIONS ACCRUED	213,377
			=========
		TOTAL CONTRIBUTIONS PAID AND ACCRUED	3,037,021

3,037,021

FORM 990PF, PART II - U S $\,$ AND STATE OBLIGATIONS $\,$

DESCRIPTION	ENDING BOOK VALUE	END ING FMV
SEE ATTACHED STATEMENT 37	28,004,542.	28,004,542
TOTALS	28,004,542	28,004,542.

FORM 990PF, PART II - CORPORATE STOCK

	ENDING	ENDING
DESCRIPTION	BOOK VALUE	FMV
SEE ATTACHED STATEMENT 37	87,240,655.	87,240,655
TOTALS	87,240,655.	87,240,655.
		===========

FORM	990PF,	PART	ΙΙ	-	CORPORATE	BONDS

		=============
TOTALS	35,562,987.	35,562,987.
SEE ATTACHED STATEMENT 37	35,562,987. 	35,562,987.
DESCRIPTION	BOOK VALUE	FMV
	ENDING	ENDING

FORM 990PF, PART II - OTHER INVESTMENTS

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
OBLIGATIONS OF FOREIGN GOVT		
SEE ATTACHED STATEMENT	1,377,872	1,377,872
TOTALS	1,377,872.	1,377,872

71-0285871

FORM 990PF, PART II - OTHER ASSETS

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
UTILITY DEPOSITS	204.	204
PROGRAM RELATED INVESTMENTS: -DEVELOP AND ESTABLISH AN	4,551,000	4,551,000.
INSTITUTION THAT STIMULATES AND STRENGHENS	, .	, ,
LOCAL ECONOMIES.		~~~~~
TOTALS	4,551,204. ====================================	4,551,204

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

NAME AND ADDRESS	TITLE AND TIME DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	AND OTHER
DR. SYBIL J HAMPTON LITTLE ROCK, ARKANSAS	PRESIDENT FULL	127,464.	18,056	NONE
RAE RICE PERRY ARKADELPHIA, ARKANSAS	DIRECTOR PART	NONE	NONE	NONE
WINTHROP P. ROCKEFELLER LITTLE ROCK, ARKANSAS	VICE-CHAIR PART	NONE	NONE	NONE
ROBERT D. CABE LITTLE ROCK, ARKANSAS	CHAIR PART	NONE	NONE	NONE
HAROLD EVANS LITTLE ROCK, ARKANSAS	DIRECTOR PART	NONE	NONE	NONE
MARTIN STRANGE RANDOLF, VERMONT	DIRECTOR PART	NONE	NONE	NONE
TERRENCE J ROBERTS PASADENA, CALIFORNIA	DIRECTOR PART	NONE	NONE	NONE
RUBY TAKANISKI NEW YORK, NEW TORK	DIRECTOR PART	NONE	NONE	NONE
HENRY L JONES, JR. LITTLE ROCK, ARKANSAS	DIRECTOR PART	NONE	NONE	NONE
JOHN LEWIS FAYETTEVILLE, ARKANSAS	DIRECTOR PART	NONE	NONE	NONE
RACHEL B. TOMPKINS	DIRECTOR PART	NONE	NONE	NONE

FORM 990PF. PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

NAME AND ADDRESS	TITLE AND TIME DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCI AND OTHER ALLOWANCES
CHARLESTON, WEST VIRGINIA				
MARTHA DIXON ARKADELPHIA, ARKANSAS	DIRECTOR PART	NONE	NONE	NONE
	GRAND TOTALS	127,464.	18,056 =======	NONE

FORM	990PF,	PART	χv	-	GRANTS	AND	CONTRIBUTIONS	PAID	DURING	THE	YEAR

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

RECIPIENT NAME AND ADDRESS

FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

TRUOMA

SEE ATTACHED STATEMENT NUMBER 36

2,823,644

TOTAL CONTRIBUTIONS PAID

2,823,644

FORM 990PF,	PART XV -	CONTRIBUTIONS	APPROVED	FOR	FUTURE	PAYMENT		

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

RECIPIENT NAME AND ADDRESS FOUNDATION STATUS OF RECIPIENT PURPOSE OF GRANT OR CONTRIBUTION AMOUNT

VARIOUS CHARITABLE ACTIVITIES

213,377

TOTAL CONTRIBUTIONS APPROVED 213,377

PENALTY COMPUTATION DETAIL - FORM 2220

DATE PD UNDERPAYMENT BEG.DATE END DATE	DAYS	% 	PENALTY
QUARTER 4, RATE PERIOD 1 (12/15/2000 - 12/31/2000)			
8,244. 12/15/2000 12/31/2000	16	9	33
TOTAL TO FORM 2220, LINE 22, COLUMN D			33.
QUARTER 4, RATE PERIOD 2 (12/31/2000 - 03/31/2001)			
01/05/2001 8,244. 12/31/2000 01/05/2001	5	9	10.
TOTAL TO FORM 2220, LINE 24, COLUMN D			10.
TOTAL UNDERPAYMENT PENALTY			43

	Date	Date	Gross Sales	Cost or Other	Long-term
Description	Acquired	Sold	Price	Basis	Gain/Loss
CAPITAL GAINS (LOSSES) HELD FOR CHARITABLE	PURPOSES				
SEE STATEMENT NUMBER 21	VAR	VAR	16254509.	13248342.	3,006,167
SEE STATEMENT NUMBER 22	VAR	VAR	3,876,365.	2,935,702	940,663
SEE STATEMENT NUMBER 23	VAR	VAR	18576094.	18615121	-39,027.
SEE STATEMENT NUMBER 24	VAR	VAR	7,759,715.	7,821,515	-61,800.
SEE STATEMENT NUMBER 25	VAR	VAR	130684834.	130777787.	-92,953.
SEE STATEMENT NUMBER 26	VAR	VAR	19032760	19136130.	-103,370.
SEE STATEMENT NUMBER 27	VAR	VAR	19326444.	20701659.	-1375215
SEE STATEMENT NUMBER 28	VAR	VAR	2,473,218.	2,953,830.	-480,612,
SEE STATEMENT NUMBER 29	VAR	VAR	150807831.	143422581	7,385,250.
SEE STATEMENT NUMBER 30	VAR	VAR	59546631.	49228395.	10318236.
SEE STATEMENT NUMBER 31	VAR	VAR	15125329.	12160748.	2,964,581.
SEE STATEMENT NUMBER 32 (DETAIL					
AVAILABLE UPON REQUEST)	VAR	VAR			453,219.
SEE STATEMENT NUMBER 33	VAR	VAR	14979175.	14992923.	-13,748.
SEE STATEMENT NUMBER 34	VAR	VAR	15465573.	18486353.	-3020780.
SEE STATEMENT NUMBER 39	VAR	VAR	1,504,432.	1,490,400.	14,032.
SEE STATMENT NUMBER 40	VAR	VAR	NONE		23,854.
SEE STATMENT NUMBER 41	VAR	VAR	292,673.	NONE	292,673.
		1			
TOTAL CAPITAL GAINS (LOSSES) HELD FOR CHAR	ITABLE PURPO	SES	475705583.	455947632.	20211170.
			· · ·		
· · · · · · · · · · · · · · · · · · ·					· · · · · · · · · · · · · · · · · · ·
			-		
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Totals	<u> </u>		475705583.	455947632.	20211170
Totals			4/5/05583.	43394/032.	202111/0

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Trade date	Security description					Realized gain/loss	
Settle date	Asset ID	Shares/PAR	Transaction				
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total

Sales

Equities

Common stock

Bermuda - USD

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21 Jun 00 28 Jun 00	TYCO INTL LTD NEW COM CUSIP 902124106	- 1 000 000	44 282 12	- 43,804 25	477 87	0 00	477 87
Sattled	CORRESPONDENT SERVICES CORP / 60 00 OTHER CHARGES 1 48	44 343600					
27 Jul 00 1 Aug 00	TYCO INTL LTD NEW COM CUSIP 902124108	- 1 400 000	76 433 80	- 56 917 00	19 516 80	0 00	19 516 80
Settled	ROCHDALE SECURITIES CORPORATION / 70 00 OTHER CHARGES 2 56	54 647400		<u></u> .			
28 Jul 00 2 Aug 00	TYCO INTL LTD NEW COM CUSIP 802124108	2 600 000	138 185 12	- 101 235 16	36 949 96	0.00	36,949 86
Settled	ROCHDALE SECURITIES CORPORATION / 130 00 OTHER CHARGES 4 62	53 199900					
8 Sep 00 13 Sep 00	TYCO INTL LTD NEW COM CUSIP 902124106	- 1 000 000	57 451 38	- 38 936 60	18 514 7B	0 00	18 514 78
Settled	BLAIR WILLIAM & CO / 50 00 OTHER CHARGES 1 92	57 503300					

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	-	R	ealized gain/loss	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Tot
Sales							
Equities						<u>-</u>	
26 Sep 00	TYCO INTL LTD NEW COM	- 5 000 000	259 803 83	- 160 230 58	99 573 25	0 00	99 573
29 Sep 00 Settled	CUSIP 802124106 BEAR STEARNS SECURITIES CORP / 250 00 OTHER CHARGES 8 67	52 012500					
11 Oct 00 18 Oct 00	TYCO INTL LTD NEW COM CUSIP 902124106	- 1 000 000	50 147 62	20 390 00	29,757 62	0 00	29 757
Settled	BAIRD ROBERT W & COMPANY INC / 50 00 OTHER CHARGES 1 68	50 199300					
1 Nov 00 6 Nov 00	TYCO INTL LTD NEW COM CUSIP 902124106	- 1 000 000	57 713 67	- 20,390 00	37 323 67	0 00	37,323
Saltied	MAXUS CORP / 50 00 OTHER CHARGES 1 93	57 765600	_				
27 Dec 00 2 Jan-01	TYCO INTL LTD NEW COM CUSIP 902124106	- 1 000 000	54 167 59	- 20,390 00	33,777 59	0 00	33 777
Pending	J P MORGAN SECURITIES INC / 50 00 OTHER CHARGES 181	54 219400	2260.12/				
26 Sep 00 29 Sep 00	TYCOM LTD COM CUSIP G9144B106	700 000	26 814 07	25 235 00	1 579 07	0 00	1,579
Settled	BEAR STEARNS SECURITIES CORP / 35 00 OTHER CHARGES 90	38 357100					
Total Bermuda	- USD		764,999 20	- 487,528 59	277,470 61	0 00	277,470
Canada - US	SD						
15 Sep 00 20 Sep 00	NORTEL NETWORKS CORP NEW COM CUSIP 656568102	200 000	14 234 04	- 15,129 02	- 894 98	0 00	- 894
Settled	BEAR STEARNS SECURITIES CORP / 10 00 OTHER CHARGES 48	71 222600					
26 Sep 00 29 Sep 00	NORTEL NETWORKS CORP NEW COM CUSIP 656568102	- 2 000 000	132,895 56	- 128 346 08	4 549 48	0 00	4 549
Settled	BEAR STEARNS SECURITIES CORP / 100 00 OTH(R CHARGES 4 44	66 500000					
27 Oct 00 1 Nov 00	NORTEL NETWORKS CORP NEW COM CUSIP 656568102	300 000	12 099 88	- 16 957 50	- 3 957 62	0 00	- 3 957
Sattled	FECHTOR DETWILER AND CO / 15 00 OTHER CHARGES 44	43 384400					
27 Oct 00 1 Nov 00	NORTEL NETWORKS CORP NEW COM CUSIP 656568102	- 400 000	17 333 18	- 22,610 00	- 5 276 82	0 00	- 5,278
Settled	ROBERTSON STEPHENS & CO L R / 20 00 OTHER CHARGES 58	43 384400					

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Trade date Settle date	Security description Asset ID	Characinan	Transaction	=	— 	lealized gain/loss —	 _
Trade Status	Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Tota
Sales						• •	
Equities			 	<u>-</u>			
30 Oct 00	NORTEL NETWORKS CORP NEW COM	- 100 000	4 038 89	5 652 50	- 1,613 61	0 00	1 613 6
2 Nov 00 Settled	CUSIP 656568102 ROBERTSON STEPHENS & CO L R / 5 00 OTHER CHARGES 14	40 440300					(
8 Dec 00 13 Dec 00	NORTEL NETWORKS CORP NEW COM CUSIP 656568102	- 2 000 000	83 868 20	- 111 901 66	- 28,033 46	0 00	28 033 46
Settled	ettled STANDARD AND POORS SECURITIES / 100 00 OTHER CHARGES 2 80	41 985500					
Total Canada	- USD		265,369 75	- 300,596 76	- 35,227 01	0 00	- 35,227 01
Finland - U	sD						
11 Apr 00 14 Apr 00	ADR NOKIA CORP SPONSORED FINLAND CUSIP 654902204	- 1 000 000	54 146 29	- 8 862 03	45 284 26	0 00	45,284 26
Settled	ABN AMRO SECURITIES (USA) INC / 50 00 OTHER CHARGES 1 81	54 198100					
2 May 00 5 May 00	ADR NOKIA CORP SPONSORED FINLAND CUSIP 654902204	- 2,000 000	116,902 89	- 17 699 84	99 203 05	0 00	99 203 05
Settled	SMITH BARNEY INC / 100 00 OTHER CHARGES 3 91	58 503400					
18 May 00	ADR NOKIA CORP SPONSORED FINLAND	1 700 000	91 571 52	- 14 859 57	76 711 95	0 00	76,711 95
23 May 00 Settled	CUSIP 654902204 ABN AMRO SECURITIES (USA) INC / 85 00 OTHER CHARGES 3 06	53 917400					
19 May 00	ADR NOKIA CORP SPONSORED FINLAND	- 300 000	14 933 98	- 2 622 28	12,311 70	0 00	12,311 70
24 May 00 Settled	CUSIP 654902204 BRIDGE TRADING COMPANY / 15 00 OTHER CHARGES 50	49 831600					
27 Jun 00 30 Jun 00	ADR NOKIA CORP SPONSORED FINLAND CUSIP 654902204	1 000 000	52 109 36	- 8 740 92	43,368 44	0 00	43 368 44
Settled	ABN AMRO SECURITIES (USA) INC / 60 00 OTHER CHARGES 1 74	52 171100					
8 Sep 00 13 Sep 00	ADR NOKIA CORP SPONSORED FINLAND CUSIP 654902204	- 1 500 000	63 079 94	- 13 111 39	49 968 55	0 00	49 968 55
Settled	BRIDGE TRADING COMPANY / 75 00 OTHER CHARGES 2 11	42 104700					
19 Sep 00 22 Sep 00	ADR NOKIA CORP SPONSORED FINLAND CUSIP 654902204	- 1,500 000	65 G97 20	13 111 39	52 585 81	0.00	52 585 81
Settled	BRIDGE TRADING COMPANY / 75 00 OTHER CHARGES 2 20	43 849600					
	OTHER CHARGES 220	THE WINTHROP ROCKFELLER FOI	MOITAGNU				

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Trade date	Security description			-		ealized gain/loss	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales		_	-			- · · · -	
Equities							
28 Sep 00 29 Sep 00 Settled	ADR NOKIA CORP SPONSORED FINLAND CUSIP 654902204 BRIDGE TRADING COMPANY / 225 00 OTHER CHARGES 8 30	- 4,500 000 42 000000	188 768 70	- 21 747 81	167 020 89	0 00	167 020 89
Total Finland	- USD		647,209 88	- 100,755 23	546,454 65	0 00	546,454 65
Israel - US	D						
16 Aug 00 21 Aug 00 Settled	CHECK PT SOFTWARE COM CUSIP M22465104 KNIGHT SECURITIES L P OTHER CHARGES 85	200 000 127 375000	25 474 15	- 23 704 28	1 769 87	0 00	1 769 87
26 Sep 00 29 Sep 00 Settled	CHECK PT SOFTWARE COM CUSIP M22465104 BEAR STEARNS SECURITIES CORP OTHER CHARGES 2 00	400 000 149 546900	59 816 76	- 43,699 36	16,117 40	0 00	16, 117 40
Total Israel -	USD		85,290 91	- 67,403 64	17,887 27	0.00	17,887 27
Netherland	s - USD						
6 Mar 00 9 Mar 00 Settled	ADR STMICROELECTRONICS N V SHS-N Y REGISTRY CUSIP 861012102 J P MORGAN SECURITIES INC / 5 00 OTH! R CHARGES 71	- 100 000 211 011500	21 095 44	- 7 352 42	13 743 02	0 00	13,743 02
7 Mar 00 10 Mar 00 Settled	ADR STMICROELECTRONICS N V SHS N Y REGISTRY CUSIP 861012102 JP MORGAN SECURITIES INC / 5 00 OTHER CHARGES 69	100 000 206 718600	20 666 17	- 7 352 42	13 313 75	0 00	13 313 75
10 Apr 00 13 Apr 00 Settled	ADR STMICROELECTRONICS N V SHS N Y REGISTRY CUSIP 861012102 STANDARD AND POORS SECURITIES / 25 00 OTHER CHARGES 3 04	- 500 000 182 209700	91,076 81	- 32,559 20	58 517 61	0 00	58 517 61
26 Sep 00 29 Sep 00 Sattled	ADR STMICROELECTRONICS N V SHS N Y REGISTRY CUSIP 861012102 BEAR STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 87	- 500 000 51 837500	25,892 88	- 10,853 07	15 039 81	0 00	15,039 81

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Trade date Settle date	Security description Asset ID	Ch(DAD	T	_		ealized gain/loss	
Trade Status	Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Equities		 				-	
20 Dec 00	ADR STMICROELECTRONICS N V SHS N Y	- 500 000	20 911 85	10 853 07	10,058 78	0 00	10,058 78
28 Dec 00 Settled	REGISTRY CUSIP 861012102 FIRST BOSTON CORPORATION / 25 00 OTHER CHARGES 70	41 875100					
21 Dec 00 27 Dec 00	ADR STMICROELECTRONICS N V SHS-N Y REGISTRY	- 800 000	33 675 99	17 364 90	16,311 09	0 00	18 311 09
Settled	CUSIP 881012102 FIRST BOSTON CORPORATION / 36 00 OTHER CHARGES 1 13	42 141400					
22 Dec 00 28 Dec 00	ADR STMICROELECTRONICS N V SHS-N Y REGISTRY	- 700 000	30,262 23	- 15 194 29	15,067 94	0 00	15,067 94
Settled	CUSIP 861012102 FIRST BOSTON CORPORATION / 28 00 OTHER CHARGES 1 01	43 273290					
28 Dec 00 29 Dec 00	ADR STMICROELECTRONICS N V SHS N Y REGISTRY	- 200 000	8 587 53	4 341 23	4 240 30	0 00	4 248 30
Settled	CUSIP 861012102 FIRST BOSTON CORPORATION / 10 00 OTHER CHARGES 29	42 969100					
27 Dec 00 2 Jan 01	ADR STMICROELECTRONICS N V SHS-N Y REGISTRY	300 000	13 116 16	- 6 511 84	6 604 32	0 00	6 604 32
Pending	CUSIP 861012102 FIRST BOSTON CORPORATION / 15 00 OTHER CHARGES 44	43 772000	22601 2/		(
26 Sep 00 29 Sep 00	SCHLUMBERGER LTD COM ISIN AN8068571086 CUSIP 806857108	800 000	62 895 42	- 65,885 12	- 2 989 70	0 00	- 2 989 70
Settled	BEAR STEARNS SECURITIES CORP / 40 00 OTHER CHARGES 2 10	78 671900					
Total Netherla	ands - USD	<u></u>	328,180 48	- 178,267 56	149,912 92	0 00	149,912 92
Panama - U	USD						
30 Mar 00 4 Apr 00	CARNIVAL CORP COM CUSIP 143658102	- 1,500 000	35 936 24	- 68 052 22	- 32 115 98	0 00	- 32 115 98
Settled	BRIDGE TRADING COMPANY / 75 00 OTHER CHARGES 1 21	24 008300					
Total Panama	a - USD		35,936 24	- 68,052 22	- 32,115 98	0 00	- 32,115 98

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Trade date	Security_description	01 (DAD	Tananahan	-		ealized galn/loss ——	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
ales							
Equities							
Sweden - U	ISD						
11 Jul 00 14 Jul 00	ADR I RICSSON L M TEL CO CL B SER 10 NEW CUSIP 294821400	- 2 000 000	41 572 61	- 45 380 00	3 807 39	0 00	- 3 807 39
Settled	ABN AMRO SECURITIES (USA) INC OTHER CHARGES 1 39	20 787000					
19 Sep 00 22 Sep 00	ADR ERICSSON L M TEL CO CL B SER 10 NEW CUSIP 294821400	- 2 600 000	48 955 58	54 557 15	- 5,601 57	0 00	- 5,601 57
Settled	FIRST BOSTON CORPORATION OTHER CHARGES 1 64	18 829700					
21 Sep 00 26 Sep 00	ADR ERICSSON L M TEL CO CL B SER 10 NEW CUSIP 204821400	- 1 300 000	21,497 64	- 27 038 83	- 5 541 19	0 00	- 5 541 19
Sattled	COWEN AND COMPANY OTHER CHARGES 72	16 537200					
22 Sep 00 27 Sep 00	ADR FRICSSON L M TEL CO CL B SER 10 NEW CUSIP 294821400	- 1 100 000	18,647 78	- 22 879 01	4 231 23	0 00	- 4 231 23
Settled	MORGAN STANLEY & CO INC OTHER CHARGES 63	16 953100					
25 Sep 00 28 Sep 00	ADR ERICSSON L M TEL CO CL B SER 10 NEW CUSIP 294821400	- 600 000	10 087 16	- 12,479 46	- 2,392 30	0 00	- 2,392 30
Settled	MORGAN STANLEY & CO INC OTHER CHARGES 34	16 812500					
28 Sep 00 29 Sep 00	ADR LRICSSON L M TEL CO CL B SER 10 NEW CUSIP 294621400	- 2 400 000	39 278 29	- 49 017 84	- 10,639 55	0 00	- 10 G39 55
Settled	SOUNDVIEW FINANCIAL GROUP OTHER CHARGES 1 31	16 366500					
Total Sweden	- USD		180,039 06	- 212,252 29	- 32,213 23	0 00	- 32,213 23
United King	gdom - USD						
29 Aug 00 1 Sep 00	ADR VODAFONE GROUP PLC NEW SPONSORED ADR CUSIP 02857W100	1 000 000	39 519 98	- 59 173 19	- 19 653 21	0 00	- 19 653 21
Settled	BEAR STEARNS SECURITIES CORP / 50 00 OTHER CHARGES 1 32	10 571 100					
30 Aug 00 5 Sep 00	ADR VODAFONE GROUP PLC NEW SPONSORED ADR CUSIP 92857W100	- 500 000	19,802 23	- 29 204 68	9 402 45	0 00	- 9 402 45
Settled	BEAR STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 67	39 655800					

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Trade date Settle date	Security description Asset ID	Shares/PAR	Teanagetion	•	~~~~ R	realized gam/loss ——	
Trade Status		Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Equities							
26 Sep 00 29 Sep 00	GLAXO SMITHKLINE SPONS ADR CUSIP 37733W105	1 000 000	57 510 58	- 58 824 42	1 313 84	0 00	1 313 84
Settled	BRIDGE TRADING COMPANY / 50 00 OTHER CHARGES 1 92	57 562500					
Total United I	Kingdom - USD		116,832 79	- 147,202 29	- 30,369 50	0 00	- 30,369 50
United Stat	tes - USD						
1 Mar 00 8 Mar 00	##MFO DRESDNER RCM MIDCAP FD CUSIP CHANGED DO NOT USE SEE 2-281597 4-28 00	- 109 915 810	1 175 000 00	- 992 002 01	182 997 99	0 00	182 997 99
Settled	CUSIP 749359105	10 690000	20.051.00	C CO7 CO	00.452.50		00.450.50
26 Sep 00 29 Sep 00 Settled	#REORG AMERICA ONLINE STK MERGER TO AOL TIME WARNER 2157776 @1 EFF 1/11/01 CUSIP 02364J104 BEAR STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 94	- 500 000 56 154000	28,051 06	- 5 597 50	22 453 56	0 00	22,453 58
25 Sep 00 28 Sep 00	#REORG CHASE MANHATTAN CORP NEW N/C TO JP MORGAN CHASE & CO 2427148 @1 1/2/01	- 1 500 000	72 050 09	- 90 800 00	18 749 91	0 00	- 18 749 91
Settled	CUSIP 18161A108 BEAR STEARNS SECURITIES CORP / 75 00 OTHER CHARGES 2 41	48 085000					
26 Sep 00 29 Sep 00	#REORG CHASE MANHATTAN CORP NEW N/C TO JP MORGAN CHASE & CO 2427148 @1 1/2/01	- 700 000	33 421 71	- 40 424 21	7 002 50	0 00	- 7 002 50
Settled	CUSIP 16161A108 BEAR STEARNS SECURITIES CORP / 35 00 OTHER CHARGES 1 12	47 796900					
28 Sep 00 3 Oct 00	#REORG CHASE MANHATTAN CORP NEW N/C TO JP MORGAN CHASE & CO 2427148 @1 1/2/01	- 1 100 000	51 439 01	- 63 523 75	- 12 084 74	0 00	- 12,084 74
Settled	CUSIP 16161A108 J.P. MORGAN SECURITIES INC / 55 00 OTHER CHARGES 1 72	46 B14300					
28 Jun 00 29 Jun 00	#REORG GTE CORP COM STK MERGER TO VERIZON COMM 2 888499 EFF 6 30 00	- 900 000	60 763 99	- 67 G14 6 6	- 6,850 67	0 00	- 6 850 67
Settled	CUSIP 362320103 HOWARD WEIL LABOUISSE FRIEDICH / 45 00 OTHER CHARGES 2 03	67 567800					
27 Jun 00 30 Jun 00	#REORG GTE CORP COM STK MERGER TO VERIZON COMM 2 888499 EFF 6-30 00	- 300 000	20,131 78	- 22,538 22	- 2 406 44	0 00	- 2 406 44
Settled	CUSIP 362320103 HOWARD WEIL LABOUISSE FRIEDICH / 15 00 OTHER CHARGES 68	67 158200					
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Trade date	Security description	0)(DAD	¥	-				
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total	
Sales								
Equities								
28 Mar 00 31 Mar 00 Settled	#REORG MCI WORLDCOM INC COM N/C TO WORLDCOM INC 2945902 RT I 00 EFF 5 1-0 CUSIP 55268B106 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 2 12	- 1,500 000 42 30G100	63 457 03	- 77,998 20	- 14 541 17	0 00	- 14,541 17	
26 Jul 00 31 Jul 00 Settled	#REORG PE CORP N/C APPLERA CORP-APPLIED BIOSYS GRP 2023356 @1 11/30/00 CUSIP 69332S102 BROADCORT CAPITAL CORP / 60 00 OTHER CHARGES 2 72	81 333300	81,270 58	114 060 00	- 32 789 42	0 00	- 32,789 42	
29 Aug 00 1 Sep 00 Settled	#REORG PE CORP N/C APPLERA CORP-APPLIED BIOSYS GRP 2023356 @1 11/30/00 CUSIP 69332S102 ROCHDALE SECURITIES CORPORATION / 75 00 OTHER CHARGES 4 84	- 1 500 000 9G 648300	144 892 61	171 090 00	- 26 197 39	0 00	26 197 39	
8 Sap 00 13 Sep 00 Sattled	#REORG PE CORP N/C APPLERA CORP APPLIED BIOSYS GRP 2023356 @1 11/30/00 CUSIP 693325102 MERRILL LYNCH PIERCE FENNER & SMITH / 20 00 OTHER CHARGES 1 31	400 000 97 855200	39 120 77	- 45 824 00	- 6 503 23	0 00	- 6 503 23	
26 Sep 00 29 Sep 00 Settled	#REORG PE CORP N/C APPLERA CORP-APPLIED BIOSYS GRP 2023356 @1 11/30/00 CUSIP 693325102 BEAR, STEARNS SECURITIES CORP / 35 00 OTHER CHARGES 2 68	- 700 000 114 848200	80 356 96	- 79 842 00	514 06	• 00	514 08	
28 Sep 00 29 Sep 00 Settled	#REORG TIME WARNER STK MERGER TO AOL TIME WARNER INC 2157778 @1 5 1/11/01 CUSIP 887315109 BEAR STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 1 35	- 500 000 80 890000	40,418 65	- 35 530 00	4,898 65	0 00	4,888 65	
8 Aug 00 11 Aug 00 Settled	ACTIVE PWR INC COM CUSIP 00504W100 HERZOG HEINE GEDWLD INC OTHER CHARGES 91	- 650 000 41 662500	27 079 72	- 11 050 00	16 029 72	0 00	16 029 72	
12 Jun 00 12 Jun 00 Settled	AGILENT TECHNOLOGIES INC COM CUSIP 00846U101	- o 900 o 000000	69 30	- 73 10	- 3 80	0 00	- 3 80	

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Trade_date	Security description	01 - 1 - 1 BAB			Realized gain/loss		
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Markel	Translation	Total
Sales							
Equities							
29 Jun 00 5 Jul 00 Settled	AGILENT TECHNOLOGIES INC COM CUSIP 00846U101 INTERSTATE/JOHNSON LANE CORPORATION /	- 1 334 000 76 398801	101 845 90	- 99 980 24	1 865 66	0 00	1 865 66
	66 70 OTHER CHARGES 3 40	76 333351					
26 Sep 00 29 Sep 00	ALCOA INC COM STK CUSIP 013817101	1 000 000	23 874 20	- 38 840 80	- 14,966 60	0 00	- 14,966 60
Settled	BEAR STEARNS SECURITIES CORP / 50 00 OTHER CHARGES 80	23 925000					
3 Oct 00 6 Oct 00	ALCOA INC COM STK CUSIP 013817101	- 1 500 000	40 236 15	- 56 532 38	16 296 23	0 00	- 16 298 23
Settled	BAIRD ROBERT W & COMPANY INC / 75 00 OTHER CHARGES 1 35	26 875000					
30 Oct 00 2 Nov 00	ALCOA INC COM STK CUSIP 013817101	- 1 500 000	42 244 43	53 074 72	- 10 830 2 9	0 00	- 10 830 29
Settled	JOHNSON RICE & CO / 75 00 OTHER CHARGES 1 42	28 213900					
28 Nov 00 1 Dec 00	ALCOA INC COM STK CUSIP 013817101	- 2 000 000	55 352 95	- 68 945 40	- 13 592 45	0 00	- 13 592 45
Settled	MCDONALD AND COMPANY / 100 00 OTHER CHARGES 1 85	27 727400					
1 Dec 00 6 Dec 00	ALCOA INC COM STK CUSIP 013817101	- 2,000 000	57,953 26	- 68 945 40	- 10 992 14	0 00	- 10 992 14
Settled	PRUDENTIAL SECURITIES INCORP / 100 00 OTHER CHARGES 1 94	29 027600					
10 Aug 00 10 Aug 00	AMER INTL GROUP INC COM CUSIP 026874107	0 500	39 16	- 4 36	34 80	0 00	34 80
Settled		0 000000					
26 Sep 00 28 Sep 00	AMER INTL GROUP INC COM CUSIP 026874107	- 1,712 000	158,441 17	- 99 517 71	58 923 46	0 00	58,923 46
Settled	BEAR STEARNS SECURITIES CORP / 85 60 OTHER CHARGES 5 29	92 600502					
29 Aug 00 31 Aug 00	AMGEN INC COM CUSIP 031162100	- 1 000 000	73 835 63	- 16 328 12	57 507 51	0 00	57,507 51
Settled	GOLDMAN SACHS & COMPANY OTHER CHARGES 2 47	73 B38100					

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_		ealized gain/loss	.
rade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales				-			
Equities							•
26 Sep 00	AMGEN INC COM	2 500 000	177 000 34	- 34 888 45	142 111 89	0 00	142 111 89
29 Sap 00 Sattled	CUSIP 031162100 BEAR, STEARNS SECURITIES CORP OTHER CHARGES 591	70 802500					
20 Nov 00 24 Nov 00	AMGEN INC COM CUSIP 031162100	- 1 000 000	62 372 92	- 13 283 07	49 089 85	0 00	49,089 85
Settled	PRUDENTIAL SECURITIES INCORP OTHER CHARGES 2 08	62 375000					
26 Sep 00 29 Sep 00	ANHEUSER BUSCH COS INC COM CUSIP 035229103	1 900 000	84 583 46	78 872 65	5 7 10 B I	0 00	5 710 81
Settled	BEAR STEARNS, SECURITIES CORP / 95 00 OTHER CHARGES 2 83	44 569100					
26 Sep 00 29 Sep 00	AVON PROD INC COM CUSIP 054303102	1 000 000	40 304 95	- 41 470 70	- 1 165 75	0 00	- 1 165 75
Settled	BEAR STEARNS SECURITIES CORP / 50 00 OTHER CHARGES 1 35	40 356300					
20 Nov 00 24 Nov 00	AVON PROD INC COM CUSIP 054303102	100 000	4 520 35	- 4 129 00	391 35	0 00	391 35
Settled	GOLDMAN SACHS & COMPANY / 5 00 OTHER CHARGES 16	45 255100					
21 Nov 00 27 Nov 00	AVON PROD INC COM CUSIP 054303102	- 300 000	12 923 68	- 12,387 00	536 68	0 00	536 68
Settled	GOLDMAN SACHS & COMPANY / 15 00 OTHER CHARGES 44	43 130400					
22 Nov 00 28 Nov 00	AVON PROD INC COM CUSIP 054303102	- 200 000	8,595 61	- 8 247 66	347 95	0 00	347 95
Settled	GOLDMAN SACHS & COMPANY / 10 00 OTHER CHARGES 29	43 029500					
7 Nov 00	AVON PROD INC COM CUSIP 054303102	100 000	4 245 19	- 4 118 66	126 53	0 00	126 53
Settled	GOLDMAN SACHS & COMPANY / 5 00 OTHER CHARGES 15	42 503400					
8 Nov 00 Dec 00	AVON PROD INC COM CUSIP 054303102	100 000	4,258 71	4 118 66	140 05	0 00	140 05
Settled	GOLDMAN SACHS & COMPANY / 5 00 OTHER CHARGES 15	42 638600					

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Price Amount Cost Market Translation	Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_	R	ealized gain/loss	
Dec 00	rade Status				Cost	Market	Translation	Total
Dec 00 AVON PROD INC COM - 200 000 R,349 28 - 8 237 32 111 86 0 00 CUSIP 054030102 CUSIP 054030102 CUSIP 054030102 CUSIP 10102108 1 1000 000 1 1000 000 52 782 83 - 75 621 55 - 22 848 72 0 00 CUSIP 10102108 1 1	Sales							
8 Die 00 CUSIP DISADDID 2 SERIED GOLDMAN SACHS & COMPANY / 10 00 10 100 000 52 782 83 - 75 621 55 - 22 849 72 0 00 10 100 100 100 100 100 100 100 10	Equities					· -		
Settled GOLDMAN SACHS & COMPANY / 1000 41 797800 11 Jul 00 CUSIP 1 (197120) Settled JP MORGAN SECURTIES INC / 50 00 Settled JP MORGAN SECURTIES INC / 50 00 THER CHARGES 177 23 Aug 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM 1 100 000 72 449 83 97 139 77 - 24 689 94 0 00 28 Aug 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM -1 300 000 72 449 83 97 139 77 - 24 689 94 0 00 28 Aug 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM -900 000 48 606 86 -64 905 84 18 238 98 0 00 1 Sep 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM -900 000 48 606 86 -64 905 84 18 238 98 0 00 1 Sep 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM -900 000 22 479 25 -27 014 88 -4 535 83 0 00 28 Sep 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM -900 000 22 479 25 -27 014 88 -4 535 83 0 00 28 Sep 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM -900 000 61 32 69 -57 872 12 3 450 57 0 00 28 Sep 00 CUSIP 1 (197120) 8 RISTOL MYERS SQUIBB CO COM -900 000 61 32 69 -57 872 12 3 450 57 0 00 THER CHARGES 75 18 Dec 00 BRISTOL MYERS SQUIBB CO COM -900 000 61 32 69 -57 872 12 3 450 57 0 00 OTHER CHARGES 75 18 Dec 00 CUSIP 1 (197120) MERRILL LYNCH PIERCE FENNER & SMITH / 68 188600 45 60 00 OTHER CHARGES 7 0 0 00 OTHER CHARGES 2 10 40 CHO CUSIP 1 (197170) CUSIP 1 (197170)			- 200 000	8,349 28	- 8 237 32	111 96	0 00	111 96
19 Jul 10 CUSIF 1012/2108 Satistid JP MORGAN SECURITIES INC / 50 00 THE CHARGES 177 130 000 T2 449 83 97 139 77 -24 689 94 0 00		GOLDMAN SACHS & COMPANY / 10 00	41 797800					(
Settled J.P. MORGAN SECURITIES INC / 50 00 52 834600			1 000 000	52 782 83	- 75 631 55	- 22 848 72	0 00	- 22 849 72
28 Aug 00 CUSIP 110122108 Sattled BEAR STEARNS SCURTIES CORP / 65 00 55 782500 OTHER CHARGES		JP MORGAN SECURITIES INC / 50 00	52 834600					
BEAR STEARNS SECURITIES CORP / 65 00 55 782500			- 1 300 000	72 449 83	97 139 77	- 24 689 94	0 00	- 24,689 94
Sap 00		BEAR STEARNS SECURITIES CORP / 65 00	55 782500					
Settled BRIGGE TRADING COMPANY / 45 00 OTHER CHARGES 1 63 1 63 1 60 OTHER CHARGES 1 63 0 00 OTHER CHARGES 1 63 0 00 OTHER CHARGES 1 63 0 00 OTHER CHARGES 2 05 0 00 OTHER CHARGES 2 05 0 00 OTHER CHARGES 4 34 34 OTHER CHARGES 4 34 3 00 OTHER CHAR			- 800 000	48 GG6 8G	- 64 905 84	16 238 98	0 00	- 16 238 98
CUSIP 110122108 MERRILL LYNCH PIERCE FENNER & SMITH / 56 250000 OTHER CHARGES 75 18 Dec 00 BRISTOL MYERS SQUIBB CO COM - 900 000 61 322 69 - 57 872 12 3 450 57 0 000 CUSIP 110122108 Settled MERRILL LYNCH PIERCE FENNER & SMITH / 68 188600 45 00 OTHER CHARGES 2 05 4 Oct 00 OTHER CHARGES 2 05 4 Oct 00 CUSIP 160751107 Settled EDWARDS A G / 75 00 0 00 00 00 00 00 00 00 00 00 00 00		BRIDGE TRADING COMPANY / 45 00	54 126100					
MERRILL LYNCH PIERCE FENNER & SMITH / 20 00 OTHER CHARGES 75 18 Dec 00 18 Dec 00 19 Dec 00			400 000	22 479 25	- 27 014 88	- 4 535 63	0 00	- 4 535 63
21 Dec 00 Settled MERRILL LYNCH PIERCE FENNER & SMITH / 68 188600		MERRILL LYNCH PIERCE FENNER & SMITH / 20 00	56 250000					
MERRILL LYNCH PIERCE FENNER & SMITH			- 900 000	61 322 69	- 57 872 12	3 450 57	0 00	3 450 57
4 Oct 00		MERRILL LYNCH PIERCE FENNER & SMITH / 45 00	68 188600					;
Settled EDWARDS A G / 75 00			1 500 000	129 951 91	- 139 239 00	- 9 287 09	0 00	- 9,287 09
4 Apr 00		EDWARDS AG / 75 00	86 687500					2,627
ROCHDALE SECURITIES CORPORATION / 50 00 63 088800 OTHER CHARGES 2 11 3 Apr 00 CIRCUIT CY STORES INC COM 500 000 30,580 57 19 027 25 11 553 32 0 00 8 Apr 00 CUSIP 172737108			1 000 000	63 036 69	38 054 50	24 982 19	0 00	24 982 19
8 Apr 00 CUSIP 172737108		ROCHDALE SECURITIES CORPORATION / 50 00	63 088800					
			500 000	30,580 57	19 027 25	11 553 32	0 00	11,553 32
Settled ROCHDALE SECURITIES CORPORATION / 25 00 61 213200 OTHI R CHARGES 1 03		ROCHDALE SECURITIES CORPORATION / 25 00	61 213200					

THE WINTHROP ROCKFELLER FOUNDATION
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The Northern Trust Company

Account Name WROCKEFELLER RCM EQUITY

Investment Transaction Detail

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_		ealized gain/loss ——	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Tota
Sales			 -		·		
Equities							
26 Sep 00 29 Sep 00	CIRCUIT CY STORES INC COM CUSIP 172737108	- 4 000 000	89 772 20	150 446 66	- 60 674 46	0 00	- 60 674 46
Settled	BEAR STEARNS SECURITIES CORP / 200 00 OTHER CHARGES 3 00	22 493800					
31 Mar 00 5 Apr 00	CISCO SYS INC COM CUSIP 17275R102	3,500 000	256,235 90	57,070 53	199,165 37	0 00	199, 165 37
Settled	BEAR STEARNS SECURITIES CORP OTHER CHARGES 8 55	73 212700					
3 May 00 8 May 00	CISCO SYS INC COM CUSIP 17275R 102	2 500 000	1GB 253 89	28 310 35	139 943 54	0 00	139 943 54
Sattled	BEAR STEARNS SECURITIES CORP OTHER CHARGES 5 61	67 303800					
12 Sep 00 15 Sep 00	CISCO SYS INC COM CUSIP 17275R102	- 1 500 000	93 388 38	23 283 27	70 105 11	0 00	70 105 11
Settled	BEAR STEARNS SECURITIES CORP OTHER CHARGES 3 12	62 26 1000					
14 Sep 00 19 Sep 00	CISCO SYS INC COM CUSIP 17275R102	1 500 000	92 996 90	- 23 283 28	69 713 62	0 00	69,713 62
Settled	MORGAN STANLEY & CO INC OTHER CHARGES 3 10	62 000000					
26 Sep 00 29 Sep 00	CISCO SYS INC COM CUSIP 17275R102	- 3 000 000	174 144 19	36 184 80	137 959 39	0 00	137,959 39
Settled	BEAR STEARNS SECURITIES CORP OTHER CHARGES 581	5B 050000					
11 May 00 16 May 00	CITIGROUP INC COM CUSIP 172967101	- 500 000	29 175 22	- 26 837 50	2 337 72	0 00	2,337 72
Settled	BRIDGE TRADING COMPANY / 25 00 OTHI R CHARGES 98	58 402400					
12 May 00	CITIGROUP INC COM	500 000	30,168 44	- 26 837 50	3 330 94	0 00	3 330 94
17 May 00 Settled	CUSIP 172967101 BRIDGE TRADING COMPANY / 25 00 OTHER CHARGES 1 01	60 389900					
15 Sep 00 15 Sep 00	CITIGROUP INC COM CUSIP 172967101	- 0 660	36 50	- 15 86	20 64	0 00	20 64
Settled	G0011 172307101	0 000000					
26 Sep 00 29 Sep 00	CITIGROUP INC COM CUSIP 172967101	2 800 000	151 061 11	144 866 74	6,194 37	0 00	6, 194 37
Settled	BEAR STEARNS, SECURITIES CORP / 140 00 OTHER CHARGES 5 05	54 002200					
		THE WINTHROP ROCKFE	LED SOUNDATION				

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Trade date	Security description	5 ; (345)	-	_	R	ealized gain/loss	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales						·	
Equities							
17 Jul 00 20 Jul 00 Settled	CLEAR CHANNEL COMMUNICATIONS INC COM CUSIP 184502102 GOLDMAN SACHS & COMPANY / 11 00	200 000 73 613000	14,711 10	- 14 487 88	223 24	0 00	223 24
4 Aug 00 9 Aug 00 Settled	OTHER CHARGES 50 CLEAR CHANNEL COMMUNICATIONS INC COM CUSIP 184502102 BEAR STEARNS SECURITIES CORP / 27 50 OTHER CHARGES 1 31	- 500 000 78 600000	39,271 19	- 36 219 65	3 051 54	0 00	3 051 54
7 Aug 00 10 Aug 00 Settled	CLEAR CHANNEL COMMUNICATIONS INC COM CUSIP 184502102 LEHMAN BROTHERS INC / 33 00 OTHER CHARGES 1 57	- 600 000 78 027700	46,782 05	40 724 08	6 057 97	0 00	6,057 97
31 Aug 00 6 Sep 00 Settled	CLEAR CHANNEL COMMUNICATIONS INC COM CUSIP 184502102 DB CLEARING SERVICES / 40 00 OTHER CHARGES 2 02	- 800 000 75 385800	60 266 G2	- 46 595 36	13 671 26	0 00	13 671 26
26 Sep 00 29 Sep 00 Settled	CLEAR CHANNEL COMMUNICATIONS INC COM CUSIP 184502102 BEAR STEARNS, SECURITIES CORP / 20 00 OTHER CHARGES 80	400 000 59 265600	23 685 44	- 22,334 32	1 351 12	0 00	1,351 12
26 Jul 00 31 Jul 00 Settled	COCA COLA CO COM CUSIP 181216100 BROADCORT CAPITAL CORP / 30 00 OTHER CHARGES 1 00	- 500 000 59 500000	29 719 00	- 37 648 17	- 7,929 17	0 00	- 7 929 17
19 Sap 00 22 Sep 00 Sattled	COCA COLA CO COM CUSIP 191216100 BEAR STEARNS SECURITIES CORP / 75 00 OTHER CHARGES 2 62	- 1 500 000 52 259700	78 311 93	- 9B 822 70	- 20,510 77	0 00	20 510 77
28 Sep 00 29 Sep 00 Settled	COCA COLA CO COM CUSIP 191216100 BEAR STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 90	500 000 53 800000	26 874 10	- 30,888 85	- 4,014 75	0 00	- 4 014 75
10 Jul 00 13 Jul 00 Settled	COLGATE PALMOLIVE CO COM CUSIP 194162103 BRIDGE TRADING COMPANY / 50 00 OTHER CHARGES 1 87	1 000 000 55 874500	55 822 63	- 57 919 60	- 2,096 97	0 00	- 2,096 97

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	-		ealized gain/loss ——	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Tota
Sales							
Equities							
28 Sep 00 29 Sep 00	COLGATE-PALMOLIVE CO COM CUSIP 194162103	- 1 000 000	45 370 48	- 48 689 70	- 3 319 22	0 00	- 3 319 2
Settled	BEAR, STEARNS SECURITIES CORP / 50 00 OTHER CHARGES 1 52	45 422000					
15 May 00 18 May 00	CONOCO INC COM STK CUSIP 208251306	- 3 500 000	87 043 14	- 92,945 00	- 5 901 B6	0 00	- 5,901 8
Settled	PAINE WEBBER INC / 175 00 OTHER CHARGES 2 91	24 920300					
18 May 00 23 May 00	CONOCO INC COM STK CUSIP 208251306	- 2 200 000	55 906 73	- 55 102 10	804 63	0 00	B04 6
Settled	PAINE WEBBER INC / 110 00 OTHER CHARGES 1 87	25 463000					
19 May 00 24 May 00	CONOCO INC COM STK CUSIP 208251306	- 3,300 000	82 549 05	- 76,512 63	6 036 42	0 00	6 036 4
Sattled	PAINE WEBBER INC / 165 00 OTHER CHARGES 2 76	25 065700					
26 Sep 00 29 Sep 00	CORNING INC COM CUSIP 219350105	- 150 000	49 181 48	- 45 730 26	3 451 22	0 00	3 451 2
Settled	BEAR STEARNS SECURITIES CORP / 7 50 OTHER CHARGES 1 64	327 937467					
3 Apr 00 3 Apr 00	COSTCO WHSL CORP NEW COM CUSIP 22160K105	700 000	36 596 52	- 22 573 92	14 022 60	0 00	14 022 6
Settled	B TRADE SERVICES / 21 00 OTHER CHARGES 1 23	52 312500					
1 Apr 00 7 Apr 00	COSTCO WHSL CORP NEW COM CUSIP 22160K105	500 000	27 133 99	16 124 23	11 009 76	0 00	11 009 7
Settled	B TRADE SERVICES / 15 00 OTHER CHARGES 91	54 299800					
1 Aug 00 1 Aug 00	COSTCO WHSL CORP NEW COM CUSIP 22160K105	- 4 000 000	127 647 74	- 124 024 50	3 623 24	0 00	3 623 2
Settled	SMITH BARNEY INC OTHER CHARGES 4 26	31 913000					
28 Sep 00 29 Sep 00	DELL COMPUTER CORP COM CUSIP 247025109	- 1 200 000	40 023 68	- 65 211 12	- 24 587 44	0 00	- 24,587 4
Settled	BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 36	33 854200					

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_	R	ealized gain/loss ——	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales					_	·	
Equities							
12 Dec 00	DELL COMPUTER CORP COM	2 100 000	45 069 74	- 108 269 55	- 63,199 81	D 00	- 63 199 81
15 Dec 00 Settled	CUSIP 247025109 SOUNDVIEW FINANCIAL GROUP OTHER CHARGES I 51	21 462500					
18 Dec 00 21 Dec 00	DELL COMPUTER CORP COM CUSIP 247025109	1 600 000	30 609 05	- 32 196 20	- 1,587 15	0 00	- 1 587 15
Settled	FIDELITY CAPITAL MARKETS OTHER CHARGES 1 03	19 131300				_	
19 Dec 00 22 Dec 00	DELL COMPUTER CORP COM CUSIP 247025109	1 100 000	21 128 42	- 17,296 07	3,832 35	0 00	3 832 35
Settled	GOLDMAN SACHS & COMPANY OTHER CHARGES 71	19 208300					
21 Dec 00 27 Dec 00	DELL COMPUTER CORP COM CUSIP 247025109	- 500 000	8 520 06	7 861 85	658 21	0 00	658 21
Settled	MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 29	17 040700					
28 Sep 00 4 Oct 00	DISNEY WALT CO COM CUSIP 254687106	- 500 000	18 855 62	- 18 191 30	664 32	0 00	664 32
Settled	BEAR, STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 63	37 762500					
10 Apr 00 13 Apr 00	ELI LILLY & CO COM CUSIP 532457108	500 000	32 718 10	- 32 590 30	127 74	0 00	127 74
Sattled	LEHMAN BROTHERS INC / 25 00 OTHER CHARGES 1 10	65 488400					
17 Apr 00 20 Apr 00	ELI LILLY & CO COM	- 1 000 000	69 101 99	- 58 468 74	10 633 25	0 00	10,633 25
Settled	CUSIP 532457108 BROADCORT CAPITAL CORP / 50 00 OTHER CHARGES 2 31	69 154300					
26 Sep 00	ELI LILLY & CO COM	- 900 000	73 377 52	- 64,767 53	8 609 99	0 00	8,609 99
29 Sep 00 Settled	CUSIP 532457108 BEAR STEARNS SECURITIES CORP / 45 00 OTHER CHARGES 2 45	81 583300		, ' 			
18 Apr 00	EMC CORP MASS COM	1 200 000	149,706 52	12 076 82	137,629 70	0 00	137 629 70
24 Apr 00 Settled	CUSIP 268648102 GOLDMAN SACHS & COMPANY / 72 00 OTHER CHARGES 5 00	124 819600					

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_	R	ealized gain/loss	
rade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Tota
ales							
Equities		····					
24 May 00	EMC CORP MASS COM	- 1 000 000	111 542 08	9 121 50	102 420 58	0 00	102 420 5
May 00 Settled	CUSIP 268648102 ROCHDALE SECURITIES CORPORATION / 50 00 OTHER CHARGES 3 72	111 595800					
6 Sep 00 9 Sep 00	EMC CORP MASS COM CUSIP 268648102	2 000 000	197 781 00	- 9 121 50	189 659 50	0 00	188 659 5
ettled	BEAR, STEARNS SECURITIES CORP / 100 00 OTHER CHARGES 6 60	98 943800					
9 Dec 00 2 Dec 00	EMC CORP MASS COM CUSIP 25864B102	1 000 000	68 095 02	- 4 560 75	63 534 27	0 00	63 534 2
Settled	FIRST BOSTON CORPORATION / 50 00 OTHER CHARGES 2 28	68 147300					
6 Sep 00 9 Sep 00	ENRON CORP COM CUSIP 293561106	1 500 000	127 327 00	57 789 68	69 537 32	0 00	69,537
Sattled	BEAR STEARNS SECURITIES CORP / 75 00 OTHER CHARGES 4 25	84 937500					
1 Aug 00 6 Aug 00	GAP INC COM CUSIP 364760108	- 1,300 000	33 973 06	- 47 734 03	- 13 760 97	0 00	- 13 760 9
istlied	GOLDMAN SACHS & COMPANY / 71 50 OTHER CHARGES 1 14	26 189000					
4 Aug 00 7 Aug 00	GAP INC COM CUSIP 364760108	- 1,200 000	31,256 43	- 43 014 36	- 11 757 93	0 00	- 11 757 9
Settled	GOLDMAN SACHS & COMPANY / 60 00 OTHER CHARGES 1 05	26 097900					
5 Aug 00 8 Aug 00	GEN DYNAMICS CORP COM CUSIP 389550108	2 500 000	152 918 64	137 145 18	15 773 46	0 00	15 773 4
Settled	PAINE WEBBER INC / 125 00 OTHER CHARGES 5 11	G1 219500					
1 Jun 00 6 Jun 00	GEN ELEC CO COM	- 1 300 000	64 310 02	- 46 949 29	17,360 73	0 00	17 360 7
ettied	CUSIP 369604103 ALPHA MANAGEMENT INC/BROADCOURT CA / 65 00 OTHER CHARGES 2 15	49 520900					
8 Sep 00	GEN FLEC CO COM	3 500 000	202 249 50	- 133 822 78	68 426 72	0 00	68 426 7
9 Sep 00 lettled	CUSIP 369604103 BEAR STEARNS, SECURITIES CORP / 175 00 OTHER CHARGES 6 75	57 837500					

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rade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_	R	ealized gain/loss	
rade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
ales					·		
Equities							
6 Sep 00 9 Sep 00	GENENTECH INC COM STK CUSIP 368710406	260 000	47 099 17	- 18 655 00	28 444 17	0 00	28 444 17
ettled	BEAR STEARNS SECURITIES CORP / 13 00 OTHER CHARGES 1 58	181 206731					(
1 Aug 00 4 Aug 00	GILLETTE CO COM CUSIP 375766102	4 500 000	133,645 53	199 308 73	65 663 20	0 00	- 65,663 20
ettled	BEAR, STEARNS SECURITIES CORP / 225 00 OTHER CHARGES 4 47	29 750000					
6 Sep 00 9 Sep 00	HEWLETT-PACKARD CO COM CUSIP 428236103	600 000	60 267 99	- 65 984 78	- 5,716 79	0 00	- 5 716 79
ettlad	BEAR, STEARNS SECURITIES CORP / 30 00 OTHER CHARGES 2 01	100 500000					
Nov 00 Nov 00	HEWLETT-PACKARD CO COM CUSIP 428236103	- 1 300 000	43 254 62	- 66 519 93	23 265 31	0 00	- 23,265 31
attled	ROCHDALE SECURITIES CORPORATION / 85 00 OTHER CHARGES 1 45	33 323900					
Dec 00 2 Dec 00	HEWLETT-PACKARD CO COM CUSIP 428236103	1 500 000	47 367 96	74 408 20	- 27 038 24	0 00	- 27 038 24
ettled	SCHWAB CHARLES / 75 00 OTHER CHARGES 1 59	31 629700					
May 00 May 00	HOME DEPOT INC COM CUSIP 437076102	- 1 000 000	56,923 80	- 21 474 17	35 449 63	0 00	35 449 63
Settled	BRIDGE TRADING COMPANY / 50 00 OTHER CHARGES 1 90	56 975700					1
3 Jun 00 8 Jun 00	HONE YWELL INTL INC COM STK CUSIP 438516106	500 000	17 350 17	- 31 699 39	- 14 349 22	0 00	- 14,349 22
ieltied	ROCHDALE SECURITIES CORPORATION / 25 00 OTHER CHARGES 58	34 751500					
00 lut 00 lut	HONEYWELL INTL INC COM STK	200 000	6 856 63	12 679 75	- 5 823 12	0 00	5 823 12
settled	CUSIP 438516106 ROCHDALE SECURITIES CORPORATION / 10 00 OTHER CHARGES 23	34 334300					
Jul 00 0 Jul 00	HONEYWELL INTL INC COM STK CUSIP 438516106	300 000	10,428 76	- 19 019 63	- 8 590 87	0 00	- 8,590 87
ettled	ROCHDALE SECURITIES CORPORATION / 15 00 OTHER CHARGES 35	34 813700					

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_	R	ealized gain/loss	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales							
Equities							
8 Jul 00	HONEYWELL INTL INC COM STK	3 400 000	115 452 32	198 557 93	- 83,105 61	0.00	- 83 105 61
11 Jul 00 Settled	CUSIP 438516106 ROCHDALE SECURITIES CORPORATION / 170 00 OTHER CHARGES 3 86	34 007700					
10 Jul 00 13 Jul 00	HONEYWELL INTL INC COM STK CUSIP 438516106	287 000	9 932 16	16 050 95	- 6 118 79	0 00	- 6 118 79
Settled	ROCHDALE SECURITIES CORPORATION / 14 35 OTHER CHARGES 34	34 658014					
26 Sep 00 29 Sep 00	INTEL CORP CAP CUSIP 458140100	- 2 000 000	89 584 61	- 144 204 05	- 54 619 44	0 00	- 54 619 44
Settled	BEAR STEARNS SECURITIES CORP OTHER CHARGES 299	44 793800					
15 Mar 00 20 Mar 00	INTL BUSINESS MACH CORP CAP CUSIP 459200101	600 000	64,104 14	- 68 034 93	- 3 930 79	0 00	- 3 930 79
Settled	BERNSTEIN SANFORD C & CO / 30 00 OTHER CHARGES 2 14	106 893800					
2 Jun 00 7 Jun 00	INTL BUSINESS MACH CORP CAP CUSIP 459200101	- 500 000	54,472 13	- 37 540 61	16 931 52	0 00	16 931 52
Settled	ROCHDALE SECURITIES CORPORATION / 25 00 OTH! R CHARGES 1 82	108 997900					
26 Sep 00 29 Sep 00	INTL BUSINESS MACH CORP CAP CUSIP 459200101	- 400 000	48,284 62	- 51 949 00	- 3 664 38	0 00	- 3 664 38
Settled	BEAR, STEARNS, SECURITIES CORP / 20 00 OTHER CHARGES 1 62	120 765600					
14 Jul 00 19 Jul 00	JDS UNIPHASE CORP COM ISIN US46812J1016 CUSIP 46612J101	- 900 000	97 945 80	18 393 91	79 551 89	0 00	79,551 89
Settled	MORGAN STANLEY & CO INC OTHER CHARGES 3 27	108 832300					
28 Jul 00 31 Jul 00	JDS UNIPHASE CORP COM ISIN US46612J1018	- 300 000	40 267 32	6 078 84	34, 188 48	0.00	34,188 48
Settled	CUSIP 46612J101 FIRST BOSTON CORPORATION OTHER CHARGES 1 35	134 228900					
14 Aug 00 17 Aug 00	JDS UNIPHASE CORP COM ISIN US46612J1016 CUSIP 46612J101	1 400 000	167 070 43	- 28,367 94	138,702 49	0.00	138 702 49
Settled	COWFN AND COMPANY OTHER CHARGES 5 57	119 340000					

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Trade date	Security description		-	-		ealized gain/loss	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales	_					_	
Equities					·		
15 Aug 00 18 Aug 00 Settled	JDS UNIPHASE CORP COM ISIN US46612J1016 CUSIP 46812J101 COWEN AND COMPANY OTHER CHARGES 3 86	1 000 000 118 713900	118 709 94	- 20 262 81	98 447 13	0 00	98 447 13
16 Aug 00 21 Aug 00 Settled	JDS UNIPHASE CORP COM ISIN US46612J1016 CUSIP 46612J101 COWE'N AND COMPANY OTHER CHARGES 80	- 200 000 119 440600	23 887 32	4 052 56	19 834 76	0 00	19 834 76
26 Sep 00 29 Sep 00 Settled	JDS UNIPHASE CORP COM ISIN US46612J1016 CUSIP 46612J101 BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 44	400 000 107 796900	43 117 32	- 8 105 13	35 012 19	0 00	35 012 19
27 Oct 00 1 Nov 00 Settled	JDS UNIPHASE CORP COM ISIN US46612J1016 CUSIP 46612J101 FIRST BOSTON CORPORATION OTHER CHARGES 5 77	2 200 000 78 631400	172 983 31	43 934 12	129,049 19	0 00	129 049 19
4 Oct 00 10 Oct 00 Sattled	JOHNSON & JOHNSON COM CUSIP 478160104 EDWARDS A.G. / 15 00 OTHER CHARGES 94	300 000 93 138700	27 925 67	24 932 67 	2 993 00	0 00	2 993 00
26 Sep 00 29 Sep 00 Settled	JUNIPER NETWORKS INC COM CUSIP 48203R 104 BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 16	150 000 231 083267	34,661 33	- 30 589 67	4,071 GG	0 00	4 071 66
28 Sep 00 29 Sep 00 Settled	MAXIM INTEGRATED PRODS INC COM CUSIP 57772K101 BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 03	- 400 000 76 640600	30 655 21	- 33 349 08	- 2 693 87	0 00	- 2 693 87
16 Nov 00 21 Nov 00 Settled	MAXIM INTEGRATED PRODS INC COM CUSIP 57772K101 BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 29	600 000 64 501600	38 699 67	- 50 023 62	- 11,323 95	0 00	- 11 323 95
17 Nov 00 22 Nov 00 Settled	MAXIM INTEGRATED PRODS INC COM CUSIP 57772K101 BEAR STEARNS SECURITIES CORP OTHER CHARGES 75	- 350 000 64 254086	22 488 18	- 28,505 79	- 6,017 61	0 00	- 6,017 61

THE WINTHROP ROCKFELLER FOUNDATION

990-PF 12/31/2000 71-0285871

Account Name WROCKEFELLER-RCM.EQUITY

◆ Investment Transaction Detail

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Trade date	Security_description	Channe (DAD	T	-	R	ealized gain/loss	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							_
Equities							
20 Nov 00	MAXIM INTEGRATED PRODS INC COM	950 000	59 804 49	- 74 931 25	- 15 126 76	0 00	- 15 126 76
24 Nov 00 Settled	CUSIP 57772K101 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 2 00	G2 954200					
13 Mar 00	MC DONALDS CORP COM	- 4 200 000	132 862 14	187 405 42	- 54 543 28	0 00	- 54 543 28
16 Mar 00 Sattled	CUSIP 580135101 BERNSTEIN SANFORD C & CO / 210 00 OTHER CHARGES 4 44	31 684900					
14 Mar 00 17 Mar 00	MC DONALDS CORP COM CUSIP 580135101	- 3 800 000	116,726 40	135 809 03	- 19 082 63	0 00	- 19 082 63
Settled	BERNSTEIN SANFORD C & CO / 228 00 OTHER CHARGES 3 90	30 778500					
26 Sep 00 29 Sep 00	MERCK & CO INC COM CUSIP 589331107	- 300 000	21 340 53	22 353 45	- 1 012 92	0 00	- 1 012 92
Settled	BEAR STEARNS SECURITIES CORP / 15 00 OTHER CHARGES 72	71 187500					
19 Sep 00 22 Sep 00	MFO DRESDNER RCM CAP FDS INC MIDCAP CUSIP 26156M108	- 32 956 690	350 000 00	196 970 79	153,029 21	0 00	153 029 21
Settled	COSIF 20130M100	10 620000					
26 Sep 00 6 Oct 00	MFO DRESDNER RCM CAP FDS INC MIDCAP CUSIP 26156M108	91 121 500	975 000 00	- 630 263 89	344 736 11	0 00	344 736 11
Settled		10 700000					
26 Oct 00 1 Nov 00	MFO DRESDNER RCM CAP FDS INC MIDCAP CUSIP 26156M108	- 23 659 310	225 000 00	147 556 01	77 443 99	0 00	77 443 99
Sattled	20130191100	9 510000					•
11 Dec 00 14 Dec 00	MFO DRESDNER RCM CAP FDS INC MIDCAP CUSIP 26156M108	- 16,146 990	145 000 00	- 99 626 93	45,373 07	0 00	45,373 07
Settled	COSIT 20 (30M) 100	000086 B					
2 Jun 00	MICROSOFT CORP COM	1 000 000	65 815 50	- 113 714 83	- 47 899 33	0.00	- 47 899 33
7 Jun 00 Settled	CUSIP 594918104 GOLDMAN SACHS & COMPANY OTHER CHARGES 2 20	G5 817700					
26 Sep 00	MICROSOFT CORP COM	- 2 000 000	126 183 39	- 200 092 66	- 73 909 27	0 00	- 73 909 27
29 Sep 00 Settled	CUSIP 594918104 BEAR, STEARNS, SECURITIES CORP OTHER CHARGES 4 21	63 093800					

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Trade date	Security description	05(DAD	Tue	_		ealized gain/loss ——	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							· · · · · · · · · · · · · · · · · · ·
Equities							
17 May 00 22 May 00 Settled	MOTOROLA INC COM CUSIP 620076109 LEHMAN BROTHERS INC / 50 00 OTHER CHARGES 3 16	1 000 000 94 567800	94 514 64	- 90 425 00	4 089 64	0 00	4 089 64
18 May 00 23 May 00 Settled	MOTOROLA INC COM CUSIP 620076109 MORGAN STANLEY & CO INC / 35 00 OTHER CHARGES 2 19	700 000 93 483000	65 400 91	- 55,501 21	9 899 70	0 00	9 899 70
1 Jun 00 6 Jun 00 Settled	MOTOROLA INC COM CUSIP 620076109 GOLDMAN SACHS & COMPANY / 40 00 OTHER CHARGES 2 65	800 000 99 059200	79 204 71	- 56 757 41	22 447 30	0 00	22 447 30
13 Jun 00 16 Jun 00 Settled	MOTOROLA INC COM CUSIP 620076109 ROCHDALE SECURITIES CORPORATION / 150 00 OTHER CHARGES 3 41	3 000 000 34 067700	102 049 69	- 70 888 60	31 161 09	0 00	31 161 09
14 Jul 00 19 Jul 00 Settled	NEXTEL COMMUNICATIONS INC CL A COM STK CUSIP 65332V103 SMITH BARNEY INC OTHER CHARGES 2 17	900 000 72 062500	64 854 08	- 46 314 99	18 539 09	0 00	18 539 09
28 Sep 00 29 Sep 00 Settled	NEXTEL COMMUNICATIONS INC CL A COM STK CUSIP 65332V103 BEAR STEARNS, SECURITIES CORP OTHER CHARGES 1 56	1 000 000	46 642 24	51 461 10	- 4 818 86	0 00	- 4 818 86
26 Sep 00 29 Sep 00 Settled	NIKE INC CL B COM CUSIP 654106103 BEAR, STEARNS SECURITIES CORP / 85 00 OTHER CHARGES 2 28	- 1,700 000 40 143400	68,156 50	89 855 05	- 21 698 55	0 00	- 21,698 551
7 Dec 00 12 Dec 00 Settled	NIKE INC CL B COM CUSIP 654106103 GOLDMAN SACHS & COMPANY / 75 00 OTHER CHARGES 2 06	1 500 000 41 098700	61,570 99	76 477 82	- 14 906 83	0 00	- 14 906 83
26 Sep 00 29 Sep 00 Settled	ORACLE CORP COM CUSIP 68389X105 BEAR STEARNS SECURITIES CORP OTHER CHARGES 3 19	1 200 000 79 734400	95 678 09	- 101 691 96	- 6 013 87	0 00	- 6 013 87

THE WINTHROP ROCKFELLER FOUNDATION

Account Name WROCKEFELLER:RCM-EQUITY

Investment Transaction Detail

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	-	———— R	ealized gain/loss ——	
Trade Status	Brol er/Commission	Price	amount	Cost	Market	Translation	Total
Sales						_	
Equities		. _					
20 Nov 00 24 Nov 00	ORACLE CORP COM CUSIP 68389X105	- 1 500 000	37,498 75	- 61 394 01	23 895 26	0 00	- 23,895 26
Settled	PRUDENTIAL SECURITIES INCORP OTHER CHARGES 1 25	25 000000					(
30 Nov 00 5 Dec 00	ORACLE CORP COM CUSIP 68389X105	- 1 000 000	24 136 29	39 967 80	- 15 831 51	0 00	- 15,831 51
Settled	GOLDMAN SACHS & COMPANY OTHER CHARGES 81	24 137100					
15 Dec 00 20 Dec 00	ORACLE CORP COM CUSIP 68389X105	- 2 200 000	64 128 52	86 708 90	- 22 580 39	0 00	- 22,580 38
Seltied	GOLDMAN SACHS & COMPANY OTHER CHARGES 2 14	29 150300					
2 Mar 00 20 Mar 00	PALM INC COM STK ISIN# US6966421074 CUSIP 696642107	- 300 000	35,816 94	11 400 00	24 416 94	0 00	24,416 94
Settled		119 393800					
26 Sep 00 29 Sep 00	PFIZER INC COM CUSIP 717081103	5 000 000	217 799 23	158,083 34	59 715 89	0 00	59,715 89
Settled	BEAR STEARNS SECURITIES CORP / 250 00 OTHER CHARGES 7 27	43 611300					
26 Sep 00 29 Sep 00	PHARMACIA CORP COM CUSIP 71713U102	600 000	34 812 57	35 252 58	- 440 01	0 00	- 440 01
Settled	BEAR STEARNS SECURITIES CORP / 30 00 OTHER CHARGES 1 17	58 072900					
28 May 00 1 Jun 00	PROCTER & GAMBLE CO COM CUSIP 742718109	- 300 000	19 818 05	- 25 214 43	- 5 396 38	0 00	- 5,396 38
Settled	SMITH BARNEY INC / 15 00 OTHER CHARGES 67	66 112400					
30 May 00 2 Jun 00	PROCTER & GAMBLE CO COM CUSIP 742718109	500 000	33 002 09	- 41 248 75	- 8,246 6G	0 00	- 8 246 66
Sattled	SMITH BARNEY INC / 25 00 OTHER CHARGES 1 11	G6 056400					
28 Nov 00 1 Dec 00	PROCTER & GAMBLE CO COM CUSIP 742718109	- 800 000	58 872 75	56 007 28	2,865 47	0 00	2 865 47
Settled	PRUDENTIAL SECURITIES INCORP / 40 00 OTHER CHARGES 1 97	73 643400					
12 Dec 00 15 Dec 00	PROCTER & GAMBLE CO COM CUSIP 742718109	- 1,000 000	71 169 32	- 68 470 22	2 699 10	0 00	2 699 10
Settled	WACHOVIA SECURITIES / 50 00 OTHER CHARGES 2 38	71 221700					
	O Mich Grinnaga 2 30	THE WINTHROP ROCKFE	LER FOUNDATION				

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Trade date	Security description	Chara-IDAD	Turneration	-	R	ealized gain/loss ——	
Settle date Trade Status	Asset ID Broker/Commission	<u>Shares/PAR</u> Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Equities							
28 Aug 00 31 Aug 00 Settled	QUALCOMM INC COM CUSIP 747525103 FIRST BOSTON CORPORATION	- 1,000 000 60 070300	60 068 29	17 596 90	42 471 39	0 00	42,471 39
- Settled	OTHER CHARGES 201	00 070300					
28 Sep 00 29 Sep 00	QUALCOMM INC COM CUSIP 747525103	600 000	42 729 85	10 371 92	32 357 93	0 00	32 357 93
Settled	BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 43	71 218800					
26 Sep 00 29 Sep 00	QWEST COMMUNICATIONS INTL INC COM CUSIP 749121109	2,000 000	98 134 32	101 413 40	- 3 279 OB	0 00	- 3 279 08
Settled	BEAR STEARNS SECURITIES CORP / 100 00 OTHER CHARGES 3 28	49 118800					
26 Jul 00 31 Jul 00	SAFEWAY INC COM NEW CUSIP 786514208	- 1 500 000	70 126 40	79 031 25	- 8,904 85	0 00	- 8 904 85
Settled	BROADCORT CAPITAL CORP / 90 00 OTHER CHARGES 2 35	46 812500					
29 Sep 00 28 Sep 00	SAFEWAY INC COM NEW CUSIP 788514208	500 000	26 392 86	- 26 343 75	49 11	0 00	49 11
Settled	BEAR STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 89	52 837500					
26 Sep 00 29 Sep 00	SBC COMMUNICATIONS INC COM CUSIP 78387G103	- 1,800 000	88 119 47	- 98 541 00	- 10,421 53	0 00	- 10 421 53
Settled	BEAR STEARNS SECURITIES CORP / 90 00 OTHER CHARGES 2 95	49 006900		_			
5 Dec 00 8 Dec 00	SBC COMMUNICATIONS INC COM CUSIP 78387G103	- 200 000	10 592 70	10 949 00	- 356 30	0 00	- 356 30
Settled	BERNSTEIN SANFORD C & CO / 10 00 OTHER CHARGES 36	53 015300					
15 Dec 00 20 Dec 00	SBC COMMUNICATIONS INC COM	2 000 000	109 094 56	100 026 BB	9,067 68	0 00	9 067 68
Settled	CUSIP 78387G103 MERRILL LYNCH PIERCE FENNER & SMITH / 100 00 OTHER CHARGES 3 64	54 599100					
28 Sep 00	SDL INC COM	- 130 000	45 457 85	47 972 48	- 2,514 63	0.00	- 2 514 63
28 Sep 00 Settled	CUSIP 784078101 BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 52	349 687462					

THE WINTHROP ROCKFELLER FOUNDATION

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_		ealized gain/loss ——	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales							
Equities							
26 Sep 00 29 Sep 00 Settled	SIEBEL SYS INC COM CUSIP 826170102 BEAR, STEARNS SECURITIES CORP	- 800 000 106 656300	85 322 19	- 74,575 00	10,747 19	0 00	10 747 19
00 5 00	OTHER CHARGES 2 85		PC 405 54				
28 Sep 00 29 Sep 00 Settled	SUN MICROSYSTEMS INC COM STK \$ 00067 PAR CUSIP 866810104 BEAR STEARNS SECURITIES CORP OTHER CHARGES 3 18	- 800 000 118 960900	95, 165 54	72 169 92	22 995 62	0 00	22 995 62
26 Sep 00	SYSCO CORP COM	700 000	31 657 70	30 293 62	1 364 08	0 00	1,364 08
29 Sep 00 Settled	CUSIP 871829107 BEAR STEARNS, SECURITIES CORP / 35 00 OTHER CHARGES 1 06	45 276800					
28 Sep 00 29 Sep 00 Settled	TARGET CORP COM CUSIP 87812E106 BEAR STEARNS SECURITIES CORP / 50 00	1 900 900 25 231300	25 180 45	- 34 521 05	9 340 60	0 00	- 9 340 60
	OTHER CHARGES 85					 	
4 Oct 00 10 Oct 00 Settled	TX INSTRS INC COM CUSIP 882508104 BRIDGE TRADING COMPANY / 50 00 OTHER CHARGES 1 64	- 1 000 000 49 001900	48 050 26	- 98 998 05	- 50 047 79	0 00	50 047 79
10 Oct 00	TX INSTRS INC COM	- 1 600 000	68,201 72	142 784 08	- 74,582 36	0 00	- 74 582 38
13 Oct 00 Settled	CUSIP 882508104 BRIDGE TRADING COMPANY / 80 00 OTHER CHARGES 2 28	42 677500					
26 Sep 00	VERITAS SOFTWARE CORP	200 000	26 967 86	- 27 814 78	- 846 90	0 00	- 846 90
29 Sep 00 Settled	CUSIP 823436109 BEAR STEARNS SECURITIES CORP OTHER CHARGES 90	134 843800					
17 Aug 00	VERIZON COMMUNICATIONS COM	1,490 000	60 457 41	- 86 836 06	- 26 378 65	0 00	- 26,378 65
22 Aug 00 Settled	CUSIP 02343V104 ROCHDALE SECURITIES CORPORATION / 74 50 OTHER CHARGES 2 02	40 626799					
21 Aug 00	VERIZON COMMUNICATIONS COM	- 400 000	17 276 94	- 22 701 28	- 5 424 34	0 00	5,424 34
24 Aug 00 Sattled	CUSIP 92343V104 BRIDGE TRADING COMPANY / 20 00 OTHER CHARGES 58	43 243800					

THE WINTHROP ROCKFELLER FOUNDATION
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1-JAN 00 - 31 DEC 00

Investment Transaction Detail

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Trade date	Security description Asset ID	Chara-IDAD	T*****	_		ealized gain/loss	
Trade Status	Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Equities							
25 Aug 00 30 Aug 00 Settled	VERIZON COMMUNICATIONS COM CUSIP 92343V104 J.P. MORGAN SECURITIES INC / 30 00	600 000 43 051100	25 799 79	- 33 850 68	- 8,050 89	0 00	- 8,050 89
8 Sep 00 13 Sep 00	VERIZON COMMUNICATIONS COM CUSIP 92343V104	- 3,000 000	131,658 10	- 158,185 08	- 26,526 98	0 00	- 26,526 98
Settled	J P MORGAN SECURITIES INC / 150 00 OTHER CHARGES 4 40	43 937500					 _
28 Sep 00 29 Sep 00 Settled	WAL-MART STORES INC COM CUSIP 931142103 BEAR STEARNS SECURITIES CORP / 100 00 OTHER CHARGES 3 18	2 000 000 47 668800	95 234 42	130 508 00	- 35 273 58	0 00	- 35 273 58
28 Sep 00 29 Sep 00 Settled	WELLS FARGO & CO NEW COM STK CUSIP 949746101 BEAR STEARNS SECURITIES CORP / 25 00 OTHER CHARGES 77	500 000 46 200000	23 074 23	- 20 226 0 0	2,847 43	0 00	2,847 43
26 Sep 00 29 Sep 00 Settled	WORLDCOM INC GA NEW COM STK ISIN# US98157D1063 CUSIP 98157D106 BEAR STEARNS SECURITIES CORP OTHER CHARGES 1 71	2 000 000 25 631300	51 260 89	- 37 322 01	13 938 88	0 00	13,938 88
26 Sep 00 29 Sep 00 Settled	XILINX INC COM CUSIP 983919101 BEAR, STEARNS SECURITIES CORP OTHER CHARGES 2 71	- (000 000 81 087500	81 084 79	- 45 904 00	35,180 79	0 00	35,180 79
4 Oct 00 10 Oct 00 Settled	XILINX INC COM CUSIP 983919101 GOLDMAN SACHS & COMPANY OTHER CHARGES 1 49	500 0 00 8 9 0773 00	44 537 16	- 22 580 B5	21 956 31	0 00	21,956 31
19 Oct 00 24 Oct 00 Sattled	XILINX INC COM CUSIP 983919101 BEAR STEARNS SECURITIES CORP OTHER CHARGES 2 42	- 1 000 000 72 321600	72 319 18	- 45 161 70	27 157 48	0 00	27,157 4B
30 Nov 00 5 Dec 00 Sattled	XILINX INC COM CUSIP 983919101 DB CLEARING SERVICES OTHER CHARGES 3 39	- 2 600 000 39 002800	101 403 89	- 107 369 9B	- 5 966 09	0 00	- 5 966 09

THE WINTHROP ROCKFELLER FOUNDATION 990-PF

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Trade date	Security_description	0040	·			ealized gain/loss	
Settle date Trade Status	Asset ID_ Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Equities				· · · · · ·			
1 Dec 00	XILINX INC COM	900 000	36 430 78	- 30,908 49	5 522 30	0 00	5,522 30
6 Dec 00 Settled	CUSIP 983919101 DB CLEARING SERVICES OTHER CHARGES 1 22	40 480000					9
8 May 00 11 May 00	YAHOO INC COM CUSIP 984332106	600 000	73 142 96	49 220 55	23,922 41	0 00	23 922 41
Sattled	DONALDSON LUFKIN & JENRETTE SECURITIES CORP OTHER CHARGES 2 44	121 909000					
26 Sep 00	YAHOO INC COM	- 500 000	52 079 51	- 39 937 50	12 142 01	000	12 142 01
29 Sep 00 Settled	CUSIP 984332108 BEAR, STEARNS SECURITIES CORP OTHER CHARGES 1 74	104 162500					
4 Oct 00 10 Oct 00	YAHOO INC COM CUSIP 984332106	- 300 000	25 606 06	- 23 906 97	1 699 09	0 00	1 699 00
Settled	MORGAN STANLEY & CO INC OTHER CHARGES 86	85 356400					
12 Dec 00 15 Dec 00	YAHOO INC COM CUSIP 984332106	- 2 200 000	79 788 25	- 164 492 04	- 84 703 79	0 00	- 84 703 79
Settled	B TRADE SERVICES / 66 00 OTHER CHARGES 2 67	36 298600					
Total United S	States USD		13,830,651 00	- 11,686,283 83	2,144,367 17	0 00	2,144,367 17
Total common	stock		16,254,509 31	- 13,248,342 41	3,006,166 90	0 00	3,006,166 90
Total equities			16,254,509 31	- 13,248,342 41	3,006,166 90	0 00	3,006,166 90
Total sales		- 529,565 36	16,254,509 31	- 13,248,342 41	3,006,166 90	0 00	3,006,168 90

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ACCOUNT NO 72-0061-06-8

WINTHROP ROCKEFELLER FOUNDATION RCM CAPITAL MANAGEMENT, INC - EQUITY FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSI		PROCEEDS		COST	•	REALIZED GAIN/LOSS
	EQUITY TRANSOCEAN SEDCO FOREX INC CASH IN LIEU FOR FRACTIONAL SHARES SOLD 580 SHS 01/14/00 TO KEBFE BRUYETTEAND WOODS INC	29	00 00	23 (20,197 (53 32	18,691	00 21 -	23 63 1,506 61
	9 34 875							
				20,221 4	15	18,691	21-	1,530 24
	AMERICA ONLINE INC DEL					·		·
01/19/00	SOLD 1000 SHS 01/13/00 TO FIDELITY CAPITAL MARKETS 61 824	50	00	61,771	93	13,079	50-	48,692 43
02/08/00	AMGEN INC SOLD 700 SHS 02/03/00 TO B-TRADE SERVICES LLC 63 9682 AVANEX CORP	21	00	44,755	24	11,429	69-	33,325 55
	COM							
02/09/00	SOLD 75 SHS 02/04/00 TO MORGAN STANLEY & CO , INC @ 177 6556		00	13,323	72	2,700	00-	10,623 72
	BANK NEW YORK INC							
02/09/00	SOLD 3000 SHS 02/04/00 TO BRIDGE TRADING CO 9 38 4231	150	00	115,115	45	69,060	02-	46,055 43
02/10/00	SOLD 1000 SHS 02/07/00 TO BRIDGE TRADING CO 9 38 0738	50	00	38,022 !	53	20,074	70-	17,947 83
				102 122		00 124	72	C4 003 26
	CARNIVAL CORP			153,137	טכ	67,134	12-	64,003 26
01/31/00	SOLD 900 SHS 01/26/00 TO LEHMAN BROTHERS INC 4 43 9753	45	00	39,531	45	45,224	46-	5,693 01-

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ACCOUNT NO 72-0061-06-8

WINTHROP ROCKEFELLER FOUNDATION RCM CAPITAL MANAGEMENT, INC - EQUITY FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSIO	М	PROCEEDS	3	cosi	•	REALIZED GAIN/LOSS
02/01/00	SOLD 600 SHS 01/27/00 TO LEHMAN BROTHERS INC @ 42 7865	30 (00	25,641	04	30,149	64-	4,508 60-
				65 172	49	75.374	10-	10,201.61-
	CISCO SYS INC			03,172		,,,,,,,		10,201.01
03/06/00	SOLD 1000 SHS 03/01/00 TO MERRILL LYNCH, PIERCE, FENNER & @ 133 0625	•	00	133,058	06	21,034	68-	112,023 38
01/06/00	E M C CORP MASS SOLD 500 SHS 01/03/00 TO BEAR STEARNS SECURITIES CORP 110 4605	25 (00	55,203	40	7,388	30-	47,815 10
01/25/00	ENRON CORPORATION SOLD 1000 SHS 01/20/00 TO GOLDMAN, SACHS & CO © 59 3846 EXTENSITY INC	60 (00	59,322	62	31,772	70-	27,549 92
	COM							
02/07/00	SOLD 100 SHS 01/27/00 TO COUNTY SECURITIES CORP USA @ 73 9375 FEDERAL NATIONAL MORTGAGE ASSN	ı	00	7,393	50	2,000	00-	5,393 50
01/26/00	SOLD 1500 SHS 01/21/00 TO MCDONALD & COMPANY SECURITIES @ 56 4975	90	00	84,653	42	107,360	55-	22,707 13-
02/10/00	SOLD 500 SHS 02/07/00 TO KEEPE BRUYETTEAND WOODS INC © 57 716	25	00	28,832	03	35,534	34-	6,702 31-
	GUIDANT CORP			113,485	45	142,894	89-	29,409 44-
02/18/00	COM SOLD 2200 SHS 02/15/00 TO BERNSTEIN, SANFORD C , INC @ 64 2582	110	00	141,253	32	123,275	13-	17,978 19

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ACCOUNT NO 72-0061-06-8

WINTHROP ROCKEPELLER FOUNDATION RCM CAPITAL MANAGEMENT, INC - EQUITY FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
02/08/00	INTERNATIONAL BUSINESS MACHINES CORP SOLD 500 SHS 02/03/00 TO BROADCOURT CAPITAL CO @ 115 7416	25 00	57,843 87	32,751 82-	25,092 05
	LILLY ELI & CO SOLD 1000 SHS 01/14/00 TO BRIDGE TRADING CO 68 3281	50 00	68,275 82	67,552 00-	723 82
01/20/00	LUCENT TECHNOLOGIES INC SOLD 1000 SHS 01/14/00 TO ROCHDALE SECURITIES CORPORATION 9 52 8627	50 00	52,810 93	29,642 06-	23,168 87
01/26/00	© 52 8627 SOLD 1000 SHS 01/21/00 TO BRIDGE TRADING CO © 52 5408	50 00	52,489 04	29,642 06-	22,846 98
01/31/00	SOLD 1000 SHS 01/26/00 TO BEAR STEARNS SECURITIES CORP 55 8477	50 00	55,795 83	53,205 23-	2,590 60
02/02/00	SOLD 1000 SHS 01/28/00 TO D A DAVIDSON & CO @ 56 24	50 00	56,188 12	76,768 40-	20,580 28-
	(OLD SECURITY) MCI WORLDCOM INC (NEW SECURITY) WORLDCOM INC	-	217,283 92	189,257 75-	28,026 17
01/20/00	98157D106 SOLD 1000 SHS 01/14/00 TO PAINE WEBBER JACKSON & CURTIS # 46 6913	00	46,689 74	32,770 22-	13,919 52
02/01/00	MCDONALDS CORP SOLD 1000 SHS 01/27/00 TO U S CLEARING CORPORATION © 37 5244	50 00	37,473 14	30,681 25-	6,791 89

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ACCOUNT NO 72-0061-06-8

WINTHROP ROCKEFELLER FOUNDATION RCM CAPITAL MANAGEMENT, INC - EQUITY FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCR1PTION	BROKEF COMMISSI		PROCEEDS	3	cost		REALIZED GAIN/LOSS
	NEXTEL COMMUNICATIONS INC							
	CL A							
02/17/00	SOLD 300 SHS 02/14/00		00	37,067	21	7,794	24-	29,273 27
	TO GOLDMAN, SACHS & CO							
	Ø 123 5625							
	NOKIA CORP							
	SPONSORED ADR							
02/18/00	SOLD 300 SHS 02/15/00	12	00	56,675	70	10,634	43-	46,041 27
	TO THE CHICAGO CORP							
	6 188 9753							
	ORGANIC INC							
00/15/05	OC-COM		•					<i>-</i>
02/16/00	SOLD 200 SHS 02/10/00		00	10,322	53	4,000	00-	6,322 53
	TO GOLDMAN, SACHS & CO							
	9 51 6144							
	QUALCOMM INC							
01/05/00	COM		00	10 270	E 72	3,583		15,695 74
01/06/00	SOLD 100 SHS 01/03/00 TO INSTINET	•	00	13,273	37	3,563	03-	15,055 /4
	• 192 8422							
01/06/00	SOLD 1000 SHS 01/03/00	30	00	182,143	42	30,365	D.4	151,777 58
01/00/00	TO B-TRADE SERVICES LLC	50	00	104,145		30,303	U 4 -	131,777 30
	€ 182 1795							
01/19/00	SOLD 300 SHS 01/13/00		00	42,456	05	5,279	07-	37,176 98
02, 25, 50	TO SALOMON SMITH BARNEY		•	,		0,2.0	٠.	27,270 30
	0 141 5249							
02/04/00	SOLD 500 SHS 02/01/00		00	6B 226	07	8,798	45-	59,427 62
02,01,00	TO FIRST UNION CAPITAL MARKETS			35,225		0,		05,127 02
	● 136 4567							
			-			-		
				312,105	11	48,027	19-	264,077 92
	RCM GROWTH EQUITY FUND			• -		•		,
01/21/00	SOLD 14,863 258 SHARES		00	125,000	a 0	108,947	68-	16,052 32
	T/D 01/18 @ \$8 41			•		·		•

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ACCOUNT NO 72-0061-06-8

WINTHROP ROCKEPELLER FOUNDATION RCM CAPITAL MANAGEMENT, INC - EQUITY FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	Broker Commission	PROCEEDS	3	COST	,	realizei Gain/Loss	_
02/22/00	SOLD 33,119 658 SHARES T/D 02/15 € \$9 36	00	310,000	00	242,767	09-	67,232	91
			435 000		251 814			
	and colorations and NEW		435,000	00	351,714	77-	83,285	23
00/20/00	SBC COMMUNICATIONS INC NEW	100.00	01.040	60	72 000	80	7 150	
02/18/00	SOLD 2000 SHS 02/15/00	100.00	81,049	69	73,889	80-	7,159	89
	TO WACHOVIA SECURITIES, INC							
	# 40 5762 STMICROBLECTRONICS N V							
	SHICKORDECTRONICS N V							
02/09/00	SOLD 300 SHS 02/04/00	15 00	63,282	89	22 277	42-	41 005	47
02,05,00	TO BROADCOURT CAPITAL CO	15 00	00,202	• •	22,2		12,005	
	● 211							
02/10/00	SOLD 200 SHS 02/07/00	10 00	40,579	28	14,704	84-	25,874	44
	TO GOLDMAN, SACHS & CO							
	● 202 9532							
							- 	
			103,862	17	36,982	26-	66,879	91
/ /	TIME WARNER INC				22.000			
01/26/00	SOLD 500 SHS 01/21/00 TO BROADCOURT CAPITAL CO	25 00	45,254	74	30,283	26-	14,971	4.8
	● 90 5625							
	UNITED TECHNOLOGIES CORP							
03/06/00	SOLD 3000 SHS 03/01/00	180 00	147,377	58	191.114	60-	43.737	02-
05,00,00	TO BEAR STEARNS SECURITIES CORP	200 00			,	••	10,101	-
	49 1875							
	YAHOO INC							
01/07/00	SOLD 200 SHS 01/04/00	00	97,086	80	34,576	46-	62,510	34
,	TO PRUDENTIAL SECURITIES INC							
	● 485 4502							
	MODEL TOURS		0 (01 (07		1 600 004			
	TOTAL EQUITY		2,621,467	48	1,680,804	97-	940,662	51

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ACCOUNT NO 72-0061-06-8

WINTHROP ROCKEFELLER FOUNDATION RCM CAPITAL MANAGEMENT, INC - EQUITY FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
	CASH EQUIVALENTS				
	TRUST MONEY MARKET DEPOSIT FUND				
11/30/00	SALES (22) 01/01/00 TO 11/30/00	00	1,254,897 28	1,254,897 28-	00
	TOTAL CASH EQUIVALENTS	•	1,254,897 28	1,254,897 28-	00
	TOTAL SALES AND REDEMPTIONS	•	3.876.364 76	2.935.702 25-	940.662 51

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Trade date	Security description			-	R	ealized gain/loss	
Settle date	Asset ID	Shares PAR	Transaction	•			
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
		~	·				

Sales

Fixed Income

Government bonds

United States - USD

28 Jun 00	US TREAS BDS 6 125 DUE 08-15 2029 BEO	- 150 000 000	150,345 70	- 152,062 50	- 1,716 BO	0 00	- 1,716 80
10 Jul 00	CUSIP #12810FJ2	- 130 000 000	100,010 10	102,002 00	- 1,110 20	000	1,71009
Settled	MORGAN STANLEY & CO INC	100 230466					
31 Oct 00 3 Nov 00 Settled	US TREAS BDS 6 125 DUE 08 15-2029 BEO CUSIP 912810FJ2	- 150 000 000	155 296 87	- 146,629 78	8 667 09	0 00	8,667 0
	DEUTSCHE BANK GOVT SEC SEC INC	103 531247		<u> </u>			
22 Mar 00 27 Mar 00 Settled	US TREAS NTS DTD 08/15/1999 6 DUE	175 000 000	171 253 91	- 167,535 18	3 718 75	0 00	3 718 75
	08-15-2009 REG CUSIP 9128275NB PAINE WEBBER INC	97 859377					
15 Mar 00 17 Mar 00 Settled	US TREAS NTS 5 375 DUE 02 15-2001 REG CUSIP 9128273W0	- 425 000 000	421,081 92	424 550 73	- 3 468 81	0.00	- 3,468 81
	LEHMAN BROTHERS INC OTHER CHARGES 01	99 078100					
14 Jun 00 19 Jun 00	US TREAS NTS 5 375 DUE 02 15 2001 REG CUSIP 9128273W0	575 000 000	570 867 19	- 573,989 34	- 3 122 15	0 00	- 3,122 15
Settled	FIRST UNION CAPITAL MARKETS CLEARANCE	99 281250					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000

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Trade date Settle date	Security description Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Realized gain/loss		
Trade Status					Market	Translation	Tota
Sales							_
Fixed Inco	me						
7 Nov 00 8 Nov 00	US TREAS NTS 5 75 DUE 08 15-2010 REG CUSIP 3128276J8	- 500,000 000 90 093750	495 468 75	- 502 500 00	- 7,031 25	0 00	- 7 031 2
Settled	DEUTSCHE BANK GOVT SEC SEC INC		462 J62 50	- 475 971 88	- 13 609 33	0 00	- 13 609 3
14 Jun 00 19 Jun 00 Settled	US TREAS NTS 5 75 DUE 11-30 2002 REG CUSIP 9128273Q3 FIRST UNION CAPITAL MARKETS CLEARANCE	- 470 000 000 98 375000	462 362 30	- 4/3 9/1 88	- 13 605 33	0 00	- 13 600 31
15 Aug 00 18 Aug 00	US TREAS NTS 6 5 DUE 02 15-2010 BEO CUSIP 9128275Z1	- 305 000 000	317 068 95	- 317,254 90	- 185 95	0 00	- 185 9
Settled	GOLDMAN SACHS & COMPANY	103 957032	150 000 00				
14 Sep 00 19 Sep 00 Settled	US TREAS NTS 6 5 DUE 02 15-2010 BEO CUSIP 8128275Z1 GOLDMAN SACHS & COMPANY OTHER CHARGES 01	- 150 000 000 104 253 9 00	156,380 86	- 156,251 95	128 91	0 00	129 9
3 Oct 00 11 Oct 00	US TREAS NTS 6 5 DUE 02-15-2010 BEO CUSIP 9128275Z1	- 150 000 000	155 877 45	- 158 274 42	- 396 97	0 00	- 396 9
Settled	SALOMON BROS INC	103 518300					
5 Dec 00 8 Dec 00 Settled	US TREAS NTS 6 5 DUE 02 15-2010 BEO CUSIP 8128275Z1 SALOMON BROS INC	200 000 000 106 687500	213 375 00	- 207,798 88	5 578 12	U 00	5 578 1;
5 Dec 00	US TREAS 6 125 BD DUE 11 15 2027 CV	180 600 000	188,353 12	- 184 555 77	3,797 35	0 00	3 797 3
8 Dec 00 Settled	OVER1 BILLION SEE SEC 3 992267 CUSIP 912810FB9 DEUTSCHE BANK GOVT SEC SEC INC	104 640622			·		
7 Nov 00 10 Nov 00	US TREAS 6 375 BD DUE 8 15 2027 CUSIP 912810FA1	- 168 000 000	174 956 25	- 195,698 69	- 20,742 44	0 00	- 20,742 44
Settled	DEUTSCHE BANK GOVT SEC SEC INC	104 140625				·····	
14 Dec 00 19 Dec 00 Settled	US TREAS 6 375 BD DUE 8 15 2027 CUSIP 912810FA1 WEXFORD CLEARING SERVICES	- 762 000 000 111 500000	849 630 00	- 887 633 35	38,003 35	0 00	- 38 003 3
1 May 00 1 May 00 Settled			800.000.00	616.750.00	40.750.00	0.00	10.350.0
	US TREAS 6 75 NT DUE 4-30-2000 CUSIP 912827T69	- 800 000 000	800 00C 00	- 816 750 00	- 16,750 00	0 00	- 18,750 00
	No. 100	0 000000	5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5	5.005.455.05			
Total United States - USD		5,282,318 47	- 5,365,455 35	- 83,136 88	0 00	- 83,136 88	
Total government bonds			5,282,318 47	- 5,365,455 35	- 83,136 88	0 00	- 83,136 88

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF

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Account Name WROCKEFELLER-UTENDARU

• Investment Transaction Detail

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Trade date	Security description	Charact DAD	Toppostion	-		ealized gain/loss ——	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Tota
Sales							
Fixed Inc	come						
Governme	ent agencles						
United Sta	ates - USD						
15 Dec 00 20 Dec 00	FHLB BD 5 125 02-28 2002 CUSIP 3133M7VB9	- 400 000 000	395 992 00	- 395 992 00	0 00	0 00	0.0
Settled	LEWCO SECURITIES	98 998000					
15 Dec 00	FHLMC NT 6 25 10 15 2002 CUSIP 3134A3T48	500 000 000	503 098 50	- 497,826 23	5,270 27	0 00	5,270 27
20 Dac 00 Settled	WEXFORD CLEARING SERVICES	100 619300					
15 Aug 00 18 Aug 00	FNMA NT 6 625 03-15 2009 CUSIP 31359MEY5	- 305 000 000	298 296 10	- 292,940 03	5,356 07	0 00	5 356 07
Settled	GOLDMAN SACHS & COMPANY	97 802000					
14 Sep 00 21 Sep 00	FNMA NT 6 625 09-15 2009 CUSIP 31359MEY5	- 195 000 000	191,774 70	- 185 361 66	6,413 04	0 00	6,413 04
Settled	GOLDMAN SACHS & COMPANY	98 346000				<u></u>	
27 Oct 00 1 Nov 00	FNMA 5 /5 04 15 2003 CUSIP 31359MDT7	- 500 000 0 00	492 160 00	- 500,090 15	- 7,930 15	0 00	7,030 15
Settled	SALOMON BROS INC	98 432000					
14 Sep 00 19 Sep 00	FNMA 6 375 DUE 06-15-2009 REG CUSIP 31359MEV1	105 000 000	101 566 50	- 104 690 48	3 123 98	0 00	- 3,123 98
Settled	GOLDMAN SACHS & COMPANY	96 730000					
20 Nov 00 21 Nov 00	FNMA 6 375 DUE 06-15-2009 REG CUSIP 31359MEV1	- 145 000 000	142,134 80	- 142,191 23	- 56 43	n 00	- 56 43
Settled	LEWCO SECURITIES	98 024000					
18 Dec 00 21 Dec 00	FNMA 6 375 DUE 06 15-2009 REG CUSIP 31359MEV1	- 250 000 000	256 474 61	245,157 30	11 317 31	0 00	11 317 31
Settled	DB CLEARING SERVICES	102 589843	···				
21 Dec 00 2/ Dec 00	FNMA 8 375 DUE 08 15-2009 REG CUSIP 31359MEV1	1 600 000 000	1 643 281 60	- 1 569,008 73	74,274 87	0 00	74,274 87
Settled	SMITH BARNEY INC	102 705100					
Total United	Stales - USD		4,024,776 81	- 3,933,255 81	91,521 00	0.00	91,521 00
Total govern	nment agencies		4 024,776 81	- 3,903,255 61	ນ1,521 00	0 00	91,521 00

THE WINTHROP ROCKFELLER FOUNDATION 990-PF

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Trade date Settle date	Security description Asset ID	Charac/DAD	Transaction		R	ealized gain/loss	
Trade Status	Broker/Commission	Shares/PAR Price	amount	Cast	Market	Translation	Tota
Sales							
Fixed Inco	me					<u>.</u>	
Corporate b	oonds						
Netherlands	s - USD						
30 Jun 00 30 Jul 00	DEUTSCHE TELEKOM INTL FIN B V GTD NT 8 25 DUE 06-15-2030 BEO	- 150 DDO 000	152 818 50	- 149,896 50	2,922 00	0 00	2 922 0
Settled	CUSIP 25156PAC7 DEUTSCHE BANK SECURITIES CORP	101 879000					
14 Sep 00 21 Sep 00	TELEFONICA EUROPE B V U S NT 7 75 DUE 09-15-2010 BEO	- 185 000 000	185 499 50	- 184,345 10	1 154 40	0 00	1,154 40
Settled	CUSIP 879385AC8 GOLDMAN SACHS & COMPANY	100 270000					
14 Sep 00	TELEFONICA EUROPE B V U S NT 7 75 DUE	- 115 000 000	115 263 35	- 114 592 80	670 45	0 00	G70 4
21 Sep 00 Settled	08 15 2010 BEO CUSIP 879385AC8 GRUNTAL & COMPANY INCORPORATED	100 229000					
Total Netherla	inds - USD	<u></u>	453,581 35	- 448 834 50	4,74G 85	0 00	4,746 85
South Afric	a - USD						
20 Dec 00 20 Dec 00	AFRICAN DEV BK 7 75 DUE 12-15 2001 REG CUSIP 008281AJ8	175 000 000	177,560 25	- 178,810 00	050 25	0 00	950 2
Settled	GOLDMAN SACHS & COMPANY	101 463000					
Total South At	· · · · · · · · · · · · · · · · · · ·		177,560 25	- 176,610 00	950 25	0 00	950 25
United Stat							
18 May 00 23 May 00	ALBERTSONS INC SR DEB 8 7 DUE 05 01-2030BEO	- 150 000 000	149 314 50	- 149 658 5D	- 342 00	0 00	- J42 O
Settled	CUSIP 013104AH7 GOLDMAN SACHS & COMPANY	99 543000					
4 May 00 10 May 00	AT&T CORP NTS 6 5 DUE 03 15 2029 BEO CUSIP 001957AW9	- 150 000 000	121 942 50	- 133 271 14	- 11 32B 64	0 00	- 11,329 64
Settled	DEUTSCHE BANK SECURITIES CORP	81 295000					
7 Dec 00 12 Dec 00	BRIT TELECOMMUNICATIONS P L C 8 125 DUE 12-15 2010 BEO	- 200 000 000	202 108 00	- 199,674 00	2,434 00	0 00	2,434 00
Settled	CUSIP 111021AD3 SALOMON BROS INC	101 054000					
6 Nov 00 13 Nov 00	CIT GROUP INC 7 5 DUE 11 14 2003 BEO CUSIP 125577AL0	550 000 000	549 835 00	- 549,560 00	275 00	0 00	275 00
Settled	DB CLEARING SERVICES	99 970000					

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THE WINTHROP ROCKFELLER FOUNDATION
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12/31/2000
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Account numb. (05349) Account Name WROCKEFELLER UTENDAHL

Investment Transaction Detail

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Trade date	Security description	Characte And C	Transaction		R	ealized gain/loss	
Settle date Trade Status	Asset ID Braker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Tota
Sales		· -					
Fixed Inco	me						
7 Jun 00 14 Jun 00	DAIMLER CHRYSLER N AMER HI DG CORP 8DUE 06-15-2010 BEO	- 320 000 000	323 907 20	- 319,555 20	90 52 د, 4	0 00	4,352 00
Settled	CUSIP 233835AK3 GOLDMAN SACHS & COMPANY	101 221000					
17 Mar 00 22 Mar 00	FORD MTR CO DEL GLOBAL LANDMARK SECS-GLOBLS 7 45 DUE 07 16-2021 BEO	- 125 000 000	120 637 50	- 125,955 00	- 5,267 50	0 00	- 5,267 50
Settled	CUSIP 345370CA6 GRUNTAL & COMPANY INCORPORATED	96 550000					
8 Jun 00 13 Jun 00	FORD MTR CO DEL GLOBAL LANDMARK SECS-GLOBLS 7 45 DUE 07-16 2031 BEO	- 190 000 000	179,711 50	- 191 451 60	- 11,740 10	0 00	- 11,740 10
Settled	CUSIP 345370CA6 DEUTSCHE BANK SECURITIES CORP	94 585000					
18 Dec 00 21 Dec 00	HELLER FINL INC NT 7 5 DUE 08-23 2002 BEO	100 000 000	100,964 00	- 99,938 00	1,028 60	0 00	1 028 00
Settled	CUSIP 423328BQ5 SALOMON BROS INC	100 964000					
25 Apr 00 28 Apr 00	HILFIGER TOMMY U.S.A. INC 6 85 DUE 06 01-2008 REG	- 70 000 000	45 500 00	G9 B28 50	- 24 328 50	0 00	- 24 328 50
Settled	CUSIP 430908AB9 SALOMON BROS INC	65 000000					
13 Nov 00 15 Nov 00	HSEHD FIN CORP 8 4 DUE 06 17 2008 REG CUSIP 441812FY5	100 000 000	92 069 00	100 141 83	- 8 072 83	0 00	8,072 63
Settled	SALOMON BROS INC	92 069000					
3 Mar 00 21 Mar 00	SPRINT CAP CORP NT DTD 05/06/1000 6 375 DUL 05 01-2000 BEO ISIN US852060AF95	285 000 000	260 683 80	- 260 208 15	- 8 524 35	0 00	- 8 524 3
Settled	CUSIP 852060AFB GRUNTAL & COMPANY INCORPORATED	91 468000					
20 Oct 00 24 Oct 00	UNILEVER CAP CORP NT 6 75 DUE	1 250 000 000	1 246 075 00	- 1 245,637 50	437 50	0 00	437 50
Scitled	CUSIP 904764AE7 GRUNTAL & COMPANY INCORPORATED	93 686000					
13 Dec 00 18 Dec 00	WAL MART STORES INC NT 6 875 DUE 08 01-2002 BEO	300 000 000	303 339 00	301 695 00	1 644 00	0.00	1,644 00
Sattled	CUSIP 931142BG7 GRUNTAL & COMPANY INCORPORATED	191 113000					
1 Jun 00 6 Jun 00	WORLDCOM INC GA NEW NT 8 25 DUE 05-15-2010 BEO	320 000 000	323 926 40	- 315 164 80	8,761 60	0 00	8,761 60
Settled	CUSIP 98157DAD8 GOLDMAN SACHS & COMPANY	101 227000					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION

990-PF 12/31/2000 71-0285871

Account numb. 05349

Investment Transaction Detail

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Trade date	Security description	Ch 10 A D	T	-	———	lealized gain/loss —	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Tot
Sales							
Fixed Inco	me						
19 May 00	WORLDCOM INC GA NT 6 4 DUE 08 15 2005	- 320 000 000	296 809 60	303,094 40	- 6 284 80	0 00	- 6,284
24 May 00 Settled	BEO CUSIP 98155KAH5 GRUNTAL & COMPANY INCORPORATED	92 753000					_ (
Total United S	States - USD		4,316,873 00	- 4,373,831 62	- 56,958 62	0 00	- 56,958 6
Total corporat	te bonds		4,948,014 60	- 4,999,276 12	- 51,261 52	0 00	- 51,261 5
Governmen	nt mortgage backed securities						
United State	es - USD						
24 Mar 00	GNMA POOL #781039 SER 2029 6 5 DUE	449 G41 390	420 414 70	- 427,087 83	6 673 13	0 00	- 8 673
12 Apr 00 Settled	05 15 2029 REG CUSIP 36225BEL8 SALOMON BROS INC	93 500000					
Total United S	States - USD		420,114 70	- 427,087 83	- 6,673 13	0 00	- 6,673
Total governm	nent mortgage backed securities		420,414 70	- 427,087 83	- 6,673 13	0 00	- 6,673 1
Asset back	ed securities						
United State	es - USD						
18 Dec 00	CNH EQUIP TR SER 2000 A CL A 3 AST BKD	500 000 000	505 025 00	499,941 20	5 683 71	0 00	5,683
21 Dec 00 Settled	/ 14 DUE 08-15 2004 BEO CUSIP 12613XAC5 FIRST UNION CAPITAL MARKETS CLEARANCE	101 125000					
4 May 00	COPELCO CAP RECEIVABLES LLC SER 2000 A	200 000 000	197 187 50	199,993 52	2 806 02	0 00	- 2 806 (
9 May 00 Settled	CL A 4 7 22 DUE 08 18 2005 BEO CUSIP 21724PAE5 PAINE WEBBER INC	98 593750					
14 Apr 00	HELLER EQUIP AST RECEIVABLES TR SER	500 000 000	496 874 53	- 499 980 15	3 085 G2	0.00	- 3 085
19 Apr 00 Settled	1999-2 CL A3 6 55 DUC 03 14 2004 BEO CUSIP 423327AQ8 FIRST UNION CAPITAL MARKETS CLEARANCE	99 378900					
Total United S	States - USD		1,199,707 03	- 1,199,914 96	- 207 93	0 00	- 207 9
Total asset ba	acked securities		1,199,707 03	- 1,199,914 96	- 207 93	0.00	- 207 9

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THE WINTHROP ROCKFELLER FOUNDATION Generated by The Northern Trust Company from periodic data on 30 Jan 01 990-PF 12/31/2000 71-0285871

Investn	nent Transaction Detail						Page 47 of 199
Trade date	Security description			-	R	Realized gain/loss	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Fixed Inco	ome						
Non-gover	nment backed c.m.o.s						
United Stat	tes - USD						
14 Jun 00	CMO BEAR STEARNS COML MTG SECS INC CTF	- 100 000 000	101,554 69	- 100 465 70	1 088 99	0 00	1 088
19 Jun 00 Settled	2000-WF1 CL A 2 7 78 2-15-32 BEO CUSIP 07383FCV8 BEAR STEARNS SECURITIES CORP	101 554700					
16 Nov 00	CMO BEAR STEARNS COML MTG SECS INC CTF	- 200 000 000	208 414 06	- 200 928 BO	7,485 26	0 00	7 485 28
29 Nov 00 Settled	2000-WF1 CL A-2 7 78 2 15 32 BEO CUSIP 07383FCV8 FIRST UNION CAPITAL MARKETS CLEARANCE	104 207031					
Total United	States - USD		309,968 75	- 301,394 50	8,574 25	0 00	8,574 25
Total non-gov	vernment backed c m o s		309,968 75	- 301,394.50	8,574 25	0 00	8,574 25
Total fixed in	come		16,185,200 J6	- 16,226,384 57	- 41,184.21	0 00	- 41,184.21
Cash and	Cash Equivalents						
Commerci	al paper						
United Sta	tes - USD						
17 Mar 00	GEN ELEC CAP CORP CPN 03 15 7000	- 500 000 000	500 000 00	- 49/ 84』75	2 158 25	0 00	2,156 25
17 Mar 00 Settled	CUSIP 36959HCF2	0 000000					
Total United	States - USD		500,000 00	- 497,843 75	2,156 25	0.00	2,158 2
Total comme	rcial paper		500,000 00	- 497,843 75	2,156 25	0 00	2,156 25
Short term	bills and notes						
United State	tes - USD						
18 Nov 00	FFCB DISC NT 11 18 2000	- 1 900 000 000	1 890 893 30	- 1 890 893 30	0 00	0 00	0 00
18 Nov 00 Settled	CUSIP 31315KP79	0 000000					

THE WINTHROP ROCKFELLER FOUNDATION
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• Investment Transaction Detail

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Trade_date Security_description		7			ealized gain/loss	
Settle date Asset ID Trade Status Broker/Consnission	Sharos/PAR Price	Transaction	Cost	Market	Translation	Total
Sales				- · ···		
Cash and Cash Equivalents						·
Total United States - USD		1,890,893 30	- 1,890,893 30	0 00	0 00	0 00
Total short term bills and notes		1,890,893 30	- 1,890,893 30	00 00	0 00	0 02
Total cash and cash equivalents		2,390,893 30	- 2,388,737 05	2,156.25	0.00	2,156 25
Total sales	- 18,564,641 39	18,578,093 66	- 18,615,121 62	- 39,027 96	0.00	- 39,027 96

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ACCOUNT NO 72-0061-01-9

WINTHROP ROCKEFELLER FOUNDATION UTENDAHL CAPITAL MANAGEMENT, L P FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	Cos	r	REALIZED GAIN/LOSS	
	FIXED INCOME COPELCO CAPITAL FUNDING CORP 6 27% DUE 04/20/2005						
/ /	SERIES 1997-A CLASS A3		10.606	20 10 512	^ -	0.5	
	PRIN PMT FOR 01/20/00 PRIN PMT FOR 02/20/00	00	17,626	30 17,713	95-	87	65-
02/29/00	PRIN PMI FOR 02/20/00	-	17,512	D4 17,099		D/	08-
			35 138	54 17,599 	57-	174	73-
	FHLMC GOLD POOL #G00587		35,130	0. 05,523		1.1	,,
	6 00% DUE 11/01/1996						
01/17/00	PRIN PMT FOR 01/01/00	00	4,356	24 4,049	94 -	306	30
	PRIN PMT FOR 02/01/00	00	3,828	78 3,559	57-	269	21
03/15/00	PRIN PMT FOR 03/01/00	00	3,761	82 3,497	32-	264	50
		-	11,946	84 11,106	83-	840	01
	FEDERAL EXPRESS		•	·			
	7 50% DUE 01/15/2018						
01/20/00	PRIN PMT FOR 01/15/00	00	2,819	29 3,079	35-	260	06-
	FEDL HOME LN MTG DTD 01/12/1999						
	DEB 5 000 DUE 01/15/2004						
02/29/00	SOLD 250000 02/28/00	00	232,715	00 244,150	00-	11,435	00-
	TO PAINE WEBBER JACKSON & CURTIS						
	9 93 086						
	FED NATL MTG ASSN 5 125% 02/13/04						
00/00/00	DTD 02/08/1999 SOLD 25000 02/28/00	00	22 240	75 24,599			
02/29/00	TO PAINE WEBBER JACKSON & CURTIS	00	23,348	75 24,599	22-	1,250	47-
	@ 93 395						
	FED NTL MTG ASSN NT 7 250% 01/15/10						
02/15/00	SOLD 375000 02/10/00	00	372,662	84 375.377	80-	2,714	96-
04, 20, 00	TO NO BROKER USED	<u>-</u> -	**-,***			-,,	-
	@ 99 3768						
02/22/00	SOLD 325000 02/16/00	00	322,179	65 325,327	43-	3,147	78-
	TO DUETSCHEBANK SEC INC						
	@ 99 1322						
		-	694,842	49 700,705	23-	5.862	 74-

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ACCOUNT NO 72-0061-01-9

WINTHROP ROCKEFELLER FOUNDATION UTENDAHL CAPITAL MANAGEMENT, L P FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	3	cos	r	REALIZED GAIN/LOSS	
	FEDERAL NATL MTG ASSN							
	DTD 11/12/1998 6 0% DUE 12/01/2028							
	PRIN PMT FOR 01/01/00	00	7,378	65	7,303	71-	74 94	4
02/25/00	PRIN PMT FOR 02/01/00	00	5,181	60	5,128	97-	52 63	3
03/27/00	PRIN PMT POR 03/01/00	00	3,418	50	3,383		34 7:	2
			15,978	75			162 2	9
	FNCL 7 5% 08/01/29							
01/25/00	PRIN PMT FOR 01/01/00	00	6,310	32	6,351	73 -	41.4	1-
02/25/00	PRIN PMT FOR 02/01/00	00	4,952	48	4,984	98-	32 5	0-
03/27/00	PRIN PMT FOR 03/01/00	00	6,109		6,149	86-	40 10	0-
			17,372		17,486	 57-	114 0:	- 1-
	FEDERAL NATL MTG ASSN MEDIUM TERM NT							
	DTD 06/01/99 6 000% 07/01/29 POOL 323812							
01/25/00	PRIN PMT FOR DECKMBER 1999	0.0	7,059	93	6 603	24-	456 6	9
	PRIN PMT FOR JANUARY 2000	00	•					_
	PRIN PMT FOR 03/01/00	00	6,682		6,249			
			19,130				1.237 5	
	PNMA		19,190	7.7	17,652	<i>32</i> -	1,237 3.	-
	6 00% DUE 04/01/2028							
	POOL # 424186							
01/25/00	The state of the s	00		02		02-	0	Λ
01/13/00	FED NATL MTG ASSN 6 000% 12/01/28	00		-		02	0	
	12/01/1998							
01/25/00	PRIN PMT FOR 02/01/00	00	2.825	43	2,790	11-	35 3	2
	PRIN PMT FOR 02/01/00	00	2,027		2,001			-
	PRIN PMT FOR 03/01/00	00	2,853		2,817			
05,27,00	anan ana aon oo, oa, oa	00						-
			7,706	02	7,609	69-	96 3:	3

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ACCOUNT NO 72-0061-01-9

WINTHROP ROCKEFELLER FOUNDATION UTENDAHL CAPITAL MANAGEMENT, L P FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS		cost	r	REALIZEI GAIN/LOS	_
	FIRST UNION LEHMAN BROTHERS							
00/00/00	6 56% DTD 11/18/08							
02/02/00	SOLD 100000 01/28/00 TO PIRST UNION CAPITAL MARKETS	00	93,445	30	97,125	00-	3,679	70-
	@ 93 4453							
	GNMA II POOL #2391							
	6 50% DUE 03/20/2027							
01/20/00	PRIN PMT FOR DECEMBER 1999	00	4,693	R4	4 591	63-	112	21
	PRIN PMT FOR JANUARY 2000	00			1,203			
	PRIN PMT FOR 03/01/00	00	987	01	963	41-	23	60
,,								
			6,913	46	6,748	18-	165	28
	GNMA II POOL #2495				•			
	6 50% DUE 10/20/2027							
	PRIN PMT FOR DECEMBER 1999	00	1,859	46	1,841	16-	18	30
	PRIN PMT FOR JANUARY 2000	00			705			01
03/20/00	PRIN PMT FOR 03/01/00	00	792	82	785	02-	7	80
			3,364	71	3,331	60-	33	11
	GNMA II POOL #2562							
01/00/00	6 00% DUE 03/20/2028							
•	PRIN PMT FOR DECEMBER 1999		1,726					
	PRIN PMT FOR JANUARY 2000 PRIN PMT FOR 03/01/00	00			560			
03/20/00	PRIN PMT FOR 03/01/00	00			1,363		47	
			3,716		3,592			
	GNMA GTD PASS THRU POOL# 002630 '							
	6 500% 08/20/28							
01/19/00	PRIN PMT FOR DECEMBER 1999	00	1,367	82	1,313	11-	54	71
	PRIN PMT FOR JANUARY 2000	00			1,114			45
03/20/00	PRIN PMT FOR 03/01/00	00	1,320		1,267			
		-	3,849				153	
	GNMA GTD PASS THRU POOL# 2728							
01/20/00	6 000% 03/20/29 PRIN PMT FOR DECEMBER 1999	0.0	1 045	<i>د</i> م	1 000	0.1		
01/20/00	PRIM PHI FOR DECEMBER 1939	00	1,945	90	1,893	OT-	52	59

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ACCOUNT NO 72-0061-01-9

WINTHROP ROCKEFELLER FOUNDATION UTENDAHL CAPITAL MANAGEMENT, L P FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	Broker Commission	PROCEEDS	cos		REALIZED GAIN/LOSS	
02/21/00	PRIN PMT FOR JANUARY 2000	00	1,932 9	7 1,860	72-	52 25	5
03/20/00	PRIN PMT FOR 03/01/00	00	1,548 3	1,506	46-	41 85	i
		-				146 69	
	GNMA GTD PASS THRU POOL#' 781039' 6 500% 05/15/29						
01/17/00	PRIN PMT FOR DECEMBER 1999	00	1 466 0	1 3 9 2	47-	73 5?	1
	PRIN PMT FOR JANUARY 2000	00	1 268 1	1,392 10 1,204	49-	63 61	í
	PRIN PMT FOR 03/01/00	00	1,809 6	1,718	87-	90 77	7
		-		74 4.315			
	GENERAL MTRS ACCEP CORP DTD 01/19/00 7 750% DUE 01/19/201	10					-
01/25/00	SOLD 190000 01/20/00 TO GOLDMAN, SACHS & CO @ 99 191	00	188,462 9	90 189,764	40~	1,301 50)-
	HEART 1997-1 A2 6 39% DUE 05/25/2005						
03/25/00	SERIES 1997-1 CLASS A2 PRIN PMT FOR 01/25/00	00	10 707 5	10 074	20	06.04	_
	PRIN PMI FOR 01/25/00 PRIN PMT FOR 02/25/00	00	14,592 9	34 10,874 90 14,710	40-	117 50	0 -
		-		24 25,584			
	HOUSEHOLD FINANCIAL CORP FLOATING RATE DUE 07/20/2017 SERIES 1991-A CLASS A		,	33,30		207 30	•
01/21/00	PRIN PMT FOR 01/20/00	00	998 5	59 998	59-	00	o
	PRIN PMT FOR 02/20/00	00	841 7	75 841	75-	0.0	
		-		1,840			2
	LEHMAN BROTHERS HLDGS INC DTD 01/26/00 7 750% DUE 01/15/200						
01/27/00	SOLD 500000 01/21/00 TO GRUNTAL & ASSOCIATES @ 99 80025	00	499,001 2	25 498,845	00-	156 25	5

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ACCOUNT NO 72-0061-01-9

WINTHROP ROCKEPELLER FOUNDATION UTENDAHL CAPITAL MANAGEMENT, L P FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	;	cost	7	REALIZEI GAIN/LOSS	_
02/11/00	THEGLOBE INC DTD 07/20/99 7 700% DUE 07/20/2029 SOLD 175000 02/08/00 TO SALOMON BROTHERS @ 92 286 VENDEE MORTGAGE TRUST	00	161,500	50	173,724	25-	12,223	75-
	7 00% DUB 11/15/2014 SERIES 1998-1 CLASS 2A							
01/19/00	PRIN PMT FOR 01/01/00	00	2,411	64	2.460	63-	48	99-
	PRIN PMT FOR 02/01/00		1,748					
	PRIN PMT POR MARCH 2000	00	2,052	56	2,094	25-	41	69-
		-			6,339		126	
	U S TREAS BDS DTD 11/16/98		-,		.,			
	BD 5 250 28							
02/08/00	SOLD 985000 02/03/00	00	848,177	34	860,831	01-	12,653	67-
	TO FIRST UNION BANK, CHARLOTTE, NC							
	8 86 1094							
00/00/00	U S TREASURY BONDS 5 250 02/15/29	00	000 500	00	210 065	63		
02/08/00	SOLD 240000 02/03/00 TO PAINE WEBBER JACKSON & CURTIS	00	208,500	Ų0	210,265	63-	1,765	63-
	● 86 875							
	U S TREASURY NOTES							
	DTD 08/16/99 6 000% DUE 08/15/2009							
01/19/00	SOLD 175000 01/11/00	00	167,125	00	174,152	30-	7,027	30-
	TO SALOMON BROTHERS						-	
	⊕ 95 5							
01/31/00	SOLD 190000 01/27/00	00	180,271	79	179,846	88-	424	91
	TO BEAR STEARNS SECURITIES CORP @ 94 8906							
	C 7- 0700	-		·				
			347,396	79	353,999	18-	6,602	39-

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ACCOUNT NO 72-0061-01-9

WINTHROP ROCKEFELLER FOUNDATION UTENDAHL CAPITAL MANAGEMENT, L P FIRST COMMERCIAL TRUST COMPANY, N A CUSTODIAN

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
02/14/00	VODAFONE AIRTOUCH PLC DTD 02/10/00 7 875% DUE 02/15/2030 SOLD 500000 02/07/00	00	493,635 00	493,480 00-	155 00
02/14/00	TO GRUNTAL & ASSOCIATES @ 98 727	00	493,639 00	493,480 00-	133 00
	WORLDCOM INC 7 75% DTD 4/01/97 MTD 4/01/2007				
02/10/00	SOLD 320000 02/07/00 TO GRUNTAL & ASSOCIATES @ 100 392	00	321,254 40	321,164 80-	89 60
	WORLDCOM INC C P				
01/25/00	DTD 08/11/98 6 400% DUE 08/15/2005 SOLD 320000 01/20/00 TO GRUNTAL & ASSOCIATES @ 94 984	00	303,948 80	311,683 20-	7,734 40~
		-			
	TOTAL FIXED INCOME CASH EQUIVALENTS TRUST MONEY MARKET DEPOSIT FUND		4,587,570 95	4,649,370 14-	61,799 19-
11/30/00		00	3,172,144 28	3,172,144 28-	00
	TOTAL CASH EQUIVALENTS	-	3,172,144 28	3,172,144 28-	00
	TOTAL SALES AND REDEMPTIONS	_	7,759,715 23	7,821,514 42-	61,799 19-



17JAN 00 - 31 DEC 00

Investment Transaction Detail

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Trade date Settle date	Secu <u>rity description</u> Asset ID	Shares/PAR	Transaction	-		lealized gain/loss ——	
Trade Status		Price	amount	Cost	Market	Translation	Tota
Sales							
Fixed Inco	ome		- , , , , , , , , , , , , , , , , , , ,			···-	
Governmer	nt bonds						
Canada - U	ISD						
12 May 00 17 May 00	ONT PROV CDA 5 5 DUE 10 01-2008 BEO CUSIP 6B3234MF2	- 325 000 000	278 739 50	- 297,722 75	- 18 983 25	0 00	- 18,983
Settled	WARBURG DILLON READ LLC	85 766000	··				
Total Canada			278,739 50	- 297,722 75	- 18,983 25	0 00	- 18,983 25
Malaysia -							
17 Apr 00 20 Apr 00	MALAYSIA 8 75 DUE 06 01 2009 BEO CUSIP 560904AE4	- 225 000 000	231 300 00	- 236 488 50	- 5 188 50	0 00	- 5, 188 50
Settled	CHASE LINCOLN FIRST BANK	102 800000		<u> </u>			
Total Malaysi			231,300 00	- 236,488 50	- 5 188 50	0 00	- 5,188 50
United Stat	es - USD				·····	. <u></u>	
14 Jun 00 18 Jun 00	U S TREAS INFLATION INDEX 3 625 NT DUE 07-15-2002 REG	- 1 925 000 000	2,040 758 33	2 033 249 42	7 508 91	0 00	7 508 91
Settled	CUSIP 9128273A8 LEHMAN BROTHERS INC	108 013420					
31 Aug 00	U.S. TREAS NTS 5 250 DUE 08-15 2003 REG	- 495,000 000	483 823 83	- 482 097 28	1 726 55	0 00	1,726 55
8 Sep 00 Settled	CUSIP 8128274N9 GOLDMAN SACHS & COMPANY	97 742188					
14 Sep 00	U.S. TREAS NTS 5 250 DUE 08 15 2003 REG	- 600 000 000	587 531 25	584 532 80	2 998 45	0 00	2 99B AF
18 Sep 00 Sattled	CUSIP 9128274N9 LEHMAN BROTHERS INC	97 921875					
29 Dec 00	U.S. TREAS NTS 5 250 DUE 08-15 2003 REG	- 770 000 000	772 285 94	- 749,360 64	22 925 30	0 00	22 925 30
3 Jan 01 Pending)	CUSIP 8128274N9 GREENWICH CAPITAL MARKETS INC	100 296875					
2 May 00	US TREAS BDS DTD 08/15/1993 6 25 DUE	165 000 000	163 891 41	- 170 414 06	6 522 65	0 00	- 6 522 65
4 May 00	08-15 2023 REG		103 037 41	- 170 414 00	0 322 63	0 00	- 0 322 03
Settled	CUSIP 912810EQ7 FIRST BOSTON CORPORATION	99 328125					
3 May 00	US TREAS BDS DTD 08/15/1993 6 25 DUE	- 160 000 000	158 200 00	165 250 00	7 050 00	0 00	- 7,050 00
5 May 00 Settled	03 15 2023 REG CUSIP 012010EQ7	98 875000					
	MORGAN STANLEY & CO INC						

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION
990-PF
12/31/2000
71-0285871

Account Name WROCKEFELLER RCM FIXED

Investment Transaction Detail

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Trade date	Security description	Diseasinan	Topografiae		R	ealized gain/loss	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Tota
Sales							
Fixed Inco	me						<u></u>
17 May 00	US TREAS BDS DTD 08/15/1993 6 25 DUE	- 95 000 000	92 545 20	- 98 117 19	- 5 571 99	0 00	- 5 571 99
19 May 00 Settled	08-15 2023 REG CUSIP 912810EQ7 FIRST BOSTON CORPORATION	97 416000					
3 Aug 00 8 Aug 00	US TREAS BDS DTD 08/15/1993 6 25 DUE 08 15 2023 REG	- 700 000 000	720 343 75	- 709,287 74	11 056 01	0 00	11,056 01
Settled	CUSIP 912810EQ7 GREENWICH CAPITAL MARKETS INC	102 906250					
15 Sep 00 20 Sep 00	US TREAS BDS DTD 08/15/1993 6 25 DUE 08-15 2023 REG	- 320 000 000	325 000 00	- 322 556 78	2,443 22	0 00	2 443 22
Sattled	CUSIP 912810EQ7 GREENWICH CAPITAL MARKETS INC	101 562500					
7 Apr 00 11 Apr 00	US TREAS BDS 7 5 DUE 11-15 2016 REG CUSIP 912810DX3	- 525 000 000	G03 421 BB	584 261 72	19 160 18	0 00	19 160 16
Settled	FIRST BOSTON CORPORATION	114 937500	<u> </u>				
27 Apr 00 1 May 00	US TREAS NTS DTD 00865 6 5 DUE 02 15 2010 REG	1 340 000 000	1 370 568 75	- 1 417 062 50	46,493 75	0 00	- 46 493 75
Settled	CUSIP 9128275Z1 LEHMAN BROTHERS INC	102 281250					
6 Apr 00 10 Apr 00	US TREAS NTS DTD 08/15/1999 - NTS 6 DUE 08 15-2004 REG	1 700 000 000	1 683 238 00	- 1 677 823 54	5 414 46	0 00	5,414 46
Settled	CUSIP 9128275M0 SALOMON BROS INC	99 014000					
7 Apr 00 11 Apr 00	US TREAS NTS DTD 08/15/1999 - NTS 6 DUE	- 650 000 000	644 05B 59	- 641 520 78	2 537 83	0 00	2,
Settled	08-15 2004 REG CUSIP 9128275M0 FIRST BOSTON CORPORATION	99 085937					_
11 Jul 00	US TREAS NTS DTD 08/15/1999 - NTS 6 DUE	- 100 000 000	99 121 09	- 98 764 85	356 24	0 00	356 24
14 Jul 00 Settled	08 15 2004 REG CUSIP 9128275MD SALOMON BROS INC	99 121093					
1 Nov 00	US TREAS NTS DTD 08/15/1999 - NTS 6 DUE	- 4 000 000 000	4 021 406 24	- 4 014,375 00	7 031 24	0 00	7,031 24
6 Nov 00 Settled	08 15 2004 REG CUSIP 9128275M0 LEHMAN BROTHERS INC	100 535156					
30 Nov 00 30 Nov 00	US TREAS NTS DTD 11/30/1998 4 625 DUE 11-30-2000 REG	745 000 000	745 000 00	- 745 026 73	26 73	0 00	- 26 73
Sallied	CUSIP 9128274W9	0 000000					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000 71-0285871

◆ Investment Transaction Detail

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Trade date Settle date	Security description Asset ID	Chara (OAD	Tanasation	_	R	ealized gain/loss ——	
Trade Status	Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales				-			
Fixed Inco	me				,		
12 Sep 00 15 Sep 00	US TREAS NTS UST NT 6 5 DUE 10 15-2006 BEO	280 000 000	286 825 00	- 287,693 75	- 1 068 75	0 00	- 1 068 75
Settled	CUSIP 912827Z62 GOLDMAN SACHS & COMPANY	102 437500					
31 Oct 00 3 Nov 00	US TREAS NTS UST NT 6 5 DUE 10-15 2006 BEO	- 400,000 000	412 390 62	- 410 531 25	1 859 37	0 00	1,859 37
Sattled	CUSIP 912927Z62 DB CLEARING SERVICES	103 097655					
31 Oct 00 3 Nov 00	US TREAS NTS UST NT 6 5 DUE 10 15-2006 BEO	375 000 000	386 689 45	- 384 980 27	1,709 18	0 00	1 709 18
Settled	CUSIP 912827Z82 GREENWICH CAPITAL MARKETS INC	103 117187					
1 Nov 00 6 Nov 00	US TREAS NTS UST NT 6 5 DUE 10 15 2006 BEO	- 1 075 000 000	1,110 105 47	- I 101 193 70	8 911 77	0 00	8 911 77
Settled	CUSIP 912827Z62 FIRST BOSTON CORPORATION	103 265625					
7 Nov 00 10 Nov 00	US TREAS NTS UST NT 6 5 DUE 10 15 2006 BEO	400 000 000	410 843 75	- 409 093 75	1,750 00	0 00	1 750 00
Settled	CUSIP 912827Z62 GOLDMAN SACHS & COMPANY	102 710938					
8 Nov 00 13 Nov 00	US TREAS NTS UST NT 6 5 DUE 10 15-2006 BEO	400 000 000	410 750 00	- 409,093 75	1 656 25	0 00	1 658 25
Settled	CUSIP 912827Z62 GREENWICH CAPITAL MARKETS INC	102 687500					
9 Nov 00 14 Nov 00	US TREAS NTS UST NT 6 5 DUE 10-15 2006 BEO	400 000 000	412 140 62	- 409 093 76	3 046 86	0 00	3,046
Settled	CUSIP 912827Z62 DB CLEARING SERVICES	103 035155					
1 Dec 00 4 Dec 00	US TREAS NTS UST NT 6 5 DUE 10-15-2006 BEO	2 360 000 000	2 470 164 07	- 2 418 389 85	51,774 22	0 00	51,774 22
Settled	CUSIP 912827Z62 DEUTSCHE BANK GOVT SEC SEC INC	104 G67969					
6 Dec 00 7 Dec 00	US TREAS NTS 5 5 DUE 03 31 2003 REG CUSIP 9128274B5	1 575 000 000	1 575 984 38	- 1,557 013 77	18 970 61	0 00	18,970 61
Settled	GREENWICH CAPITAL MARKETS INC	100 062500					
18 Mar 00 20 Mar 00	US TREAS NTS 5 5 DUE 05 15-2009 REG CUSIP 9128275G3	- 855 000 000	800 493 75	- 789 885 18	10 608 57	0 00	10 608 57
Settled	FIRST BOSTON CORPORATION	93 625000					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION
990-PF
12/31/2000
71-0285871

Account Name WROCKEFELLER-RCM:FIXED

Realized galri/loss →

1 JAN 00 - 31 DEC 00

Trade date

Investment Transaction Detail

Security description

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Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Fixed Inco	ome					<u> </u>	
6 Jul 00 10 Jul 00	US TREAS NTS 5 5 DUE 05-15-2009 REG CUSIP 9128275G3	200 000 000	191 359 37	192 218 75	859 38	0 00	- 859 38
Settled	MERRILL LYNCH GOVERNMENT	95 679685			 		
11 Jul 00 14 Jul 00 Settled	US TREAS NTS 5 5 DUE 05 15 2009 REG CUSIP 9128275G3 LEHMAN BROTHERS INC	220 000 000 95 G3G718	210 400 78	- 211 440 63	1 039 85	0 00	- 1 038 85
18 Aug 00	US TREAS NTS 5 5 DUE 05 15 2009 REG	800 000 000	772 500 00	- 763 770 97	8 729 03	0 00	8 729 03
21 Aug 00 Settled	CUSIP 9128275G3 GOLDMAN SACHS & COMPANY	96 562500					
13 Sep 00 18 Sep 00	US TREAS NTS 5 5 DUE 05 15 2009 REG CUSIP 9128275G3	- 240 000 000	233,606 25	- 232 530 52	1 075 73	0 00	1 075 73
Settled	GOLDMAN SACHS & COMPANY	97 335938					
1 Nov 00 8 Nov 00 Settled	US TREAS NTS 5 5 DUE 05-15-2009 REG CUSIP 9128275G3 SALOMON BROS INC	- 500 000 000 97 757814	488 789 07	479 883 70	8 905 37	0 00	8 905 37
5 Oct 00	US TREAS NTS 5 5 DUE 05 31 2003 REG	1 865 000 000	1 841 R33 21	1 831 408 68	10 334 57	0 00	10 334 53
10 Oct 00 Settled	CUSIP 0120274H2 BEAR STEARNS SECURITIES CORP	98 757813					
12 Dec 00 15 Dec 00	US TREAS NTS \$ 75 DUE 08 15-2010 REG CUSIP 9128276J6	- 270,000 000	277 804 69	276 334 20	1,470 49	0 00	I 470 49
Settled	GOLDMAN SACHS & COMPANY	102 890626				<u> </u>	
14 Dec 00 19 Dec 00	US TREAS NTS 5 75 DUE 08 15 2010 REG CUSIP 8128276J6	- 330 000 000	343 870 31	337 741 80	6 128 51	0 00	6 128
Settled	SALOMON BROS INC	104 203124	· · · · · · · · · · · · · · · · · · ·				
14 Dec 00 19 Dec 00 Sattled	US TREAS NTS 5 75 DUE 08 15 2010 REG CUSIP 9128276J6 FIRST BOSTON CORPORATION	- 400 000 000 104 039063	416 156 25	- 409 384 00	6 772 25	0 00	6 772 25
2 May 00	US TREAS NTS 6 5 DUE 08 31 2001 REG	- 500 000 000	498 710 94	500 703 12	- 1 992 18	0 00	- 1 992 18
4 May 00 Sattled	CUSIP 812827Z39 MERRILL LYNCH GOVERNMENT	99 742 187					, , , ,
3 May 00 5 May 00	US TREAS NTS 6 5 DUE 08 31 2001 REG CUSIP 912827Z39	- 500,000 000	498,750 00	500 703 13	- 1 953 13	0 00	- 1,953 13
Settled	SALOMON BROS INC	99 750000	· · · · · · · · · · · · · · · · · · ·				
6 Sep 00 7 Sep 00	US TREAS NTS 6 5 DUE 08 31-2001 REG CUSIP 912827Z39	925 000 000	926 445 31	- 926,091 87	353 44	0 00	353 44
Settled	HSBC SECURITIES INC	100 156250					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000 71-0285871



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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	-		Realized gain/loss	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Tota
Sales							
Fixed Inco	me			. ==			
27 Apr 00	US TREAS 6 025 BD DUE 02 15 2027	50 000 000	52 724 81	54 044 92	- 1 320 31	0 00	- 1 320 31
1 May 00 Settled	CUSIP 912810EZ7 GREENWICH CAPITAL MARKETS INC	105 449220					4
2 May 00	US TREAS 6 625 BD DUE 02-15 2027	215 000 000	224 943 75	- 232 030 08	7 086 33	0 00	- 7 086 3
4 May 00 Settled	CUSIP 812810EZ7 FIRST BOSTON CORPORATION	104 625000					
3 May 00	US TREAS 6 625 BD DUE 02-15-2027	210 000 000	218 728 13	- 225,815 63	- 7 087 50	0 00	- 7,087 50
5 May 00 Settled	CUSIP 912810EZ7 LEHMAN BROTHERS INC	104 156250					
Total United S	States - USD		29,984,204 04	- 29,845,062 04	139,142 00	0 00	139,142 00
Total governm	nent bonds		30,494,243 54	- 30,379,273 29	114,970 25	0.00	114,970 25
Governmen	nt agencies						
United Stat	es - USD						
20 Jun 00	FNMA BD 7 125 02-15-2005	- 330 000 000	331 544 40	- 331 999 80	- 455 40	0 00	- 455 40
23 Jun 00 Settled	CUSIP 31359MFH1 LEHMAN BROTHERS INC	100 468000					
7 Dec 00	FNMA NT 6 25 11-15 2002	1 675 000 000	1,683 766 95	- 1 672 130 72	11 638 23	0 00	11 638 23
11 Dec 00 Settled	CUSIP 31359MFB4 DB CLEARING SERVICES	100 523400					
21 Mar 00	FNMA NT 6 625 09-15-2009	- 1 025 000 000	990 703 50	- 1 040 993 86	50 290 36	0 00	- 50 290 36
23 Mar 00 Settled	CUSIP 31359MEY5 LEHMAN BROTHERS INC	96 654000					
11 Jul 00	FNMA NT 6 625 09-15-2009	- 225,000 000	217,977 75	- 217 776 65	201 10	0 00	201 10
14 Jul 00 Settled	CUSIP 31359MEY5 BALIS ZORN GERARD INC	96 879000					
17 Jul 00	FNMA NT 6 625 09-15-2009	- 200 000 000	192,168 00	193 239 23	- 1 071 23	0 00	- 1,071 23
20 Jul 00 Settled	CUSIP 31359MEY5 LEHMAN BROTHERS INC	9G 084000	•				•
31 Jul 00	FNMA NT 8 625 09-15 2009	- 525 000 000	500 908 50	- 508 202 75	1 294 25	0 00	- 1 294,25
2 Aug 00 Settled	CUSIP 31359MEY5 JP MORGAN SECURITIES INC	96 554000	-3				, 204,20
17 Nov 00	FNMA NT 6 625 09 15-2009	- 75 000 000	74 763 75	74 106 55	657 20	0 00	957.00
21 Nov 00	CUSIP 31359MEY5		14 103 13	74 100 33	637 20	0 00	657 20
Settled	LEHMAN BROTHERS INC	99 685000					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF

12/31/2000 71-0285871

Account Name WROCKEFELLER-RCM-FIXED

Investment Transaction Detail

Trade date Settle date	Security_description_ Asset ID	0 h	.	-	F	Realized gain/loss —	
Trade Status	Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Tota
Sales	-		-	,			
Fixed Inco	me						-
15 Jun 00 19 Jun 00	FNMA 7 125 01-15 2030 CUSIP 31359MFJ7	- 175 000 000	176 543 50	- 172 163 73	4 379 77	0 00	4,379 77
Settled	LEHMAN BROTHERS INC	100 882000				···	
29 Dec 00 3 Jan 01 Pending	FNMA 7 125 01-15-2030 CUSIP 31359MFJ7 MERRILL LYNCH GOVERNMENT	- 65 000 000 112 601569	73 191 02	- 62,461 09	10 729 93	0 00	10 728 93
17 Nov 00	FNMA 7 125 06 15-2010	· · · · · · · · · · · · · · · · · · ·					
21 Nov 00	CUSIP 31359MFS7	- 975 000 000	1,006,948 80	- 1 006,609 50	339 30	0 00	339 30
Settled	GREENWICH CAPITAL MARKETS INC	103 276800					
13 Dec 00 15 Dec 00	FNMA 7 125 08 15 2010 CUSIP 31359MFS7	- 575 000 000	614 462 25	593 641 50	20 820 75	0 00	20,820 75
Settled	ABN AMRO SECURITIES (USA) INC	106 863000					
9 May 00 11 May 00 Settled	FNMA 7 25 DUE 01-15 2010 REG CUSIP 31359MFG3 SALOMON BROS INC	- 375,000 000	363 993 75	- 380 980 40	- 16 986 65	0 00	- 18 989 65
		97 065000					
22 Jun 00 28 Jun 00 Settled	FNMA 7 25 DUE 01-15 2010 REG CUSIP 31359MFG3 SMITH BARNEY INC	925 000 000	927 904 50	- 938 151 30	- 10 246 80	0 00	- 10 246 80
		100 314000					
30 Jun 00 6 Jul 00	FNMA 7 25 DUE 01-15 2010 REG CUSIP 31359MFG3	- 185 000 000	186 788 95	- 187,022 05	233 10	0 00	- 233 10
Settled	MORGAN STANLEY & CO INC	100 967000					
5 Jul 00 7 Jul 00	FNMA 7 25 DUE 01-15-2010 REG CUSIP 31359MFG3	- 975 000 000	990 G19 50	984 653 42	5 96G 08	0 00	5 966
Settled	J P MORGAN SECURITIES INC	101 G02000					
6 Jul 00 12 Jul 00	FNMA 7 25 DUE 01-15 2010 REG CUSIP 31359MFG3	- 375,000 000	379,518 75	- 375 986 23	3 532 52	0 00	3,532 52
Settled	BALIS ZORN GERARD INC	101 205000					
31 Jul 00 2 Aug 00	FNMA 7 25 DUE 01-15-2010 REG CUSIP 31359MFG3	500 000 000	504 080 00	- 500 921 25	3 158 75	0 00	3,158 75
Settled	J P MORGAN SECURITIES INC	100 816000		· · · · · · · · · · · · · · · · · · ·			
Total United St	tates - USD		9,221,883 87	- 9,241,040 03	- 19,156 16	0 00	- 19,156 16
Total governm	ent agencles		9,221,883 87	- 9,241,040 03	- 19,156 16	0 00	- 19,156 16

JAN,00 - 31 DEC 00

Investment Transaction Detail

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_		ealized gain/loss	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales					-		
Fixed Inco	ome						
Corporate I	bonds						
Cayman Isl	lands - USD						
20 Nov 00 24 Nov 00	BSCH ISSUANCES LTD 7 625 DUE 09-14-2010 BEO	55 000 000	53 621 15	- 54 791 00	- 1 169 85	0 00	- 1,169 BC
Settled	CUSIP 055654AB3 WARBURG DILLON READ LLC	97 493000					
20 Nov 00 24 Nov 00	BSCH ISSUANCES LTD 7 625 DUE 09-14 2010 BEO	50 000 000	48 B46 00	- 49 810 00	964 00	0 00	- 964 00
Settled	CUSIP 055654AB3 SALOMON BROS INC	97 G92000					
20 Nov 00	BSCH ISSUANCES LTD 7 625 DUE 09 14-2010	125 000 000	121 928 75	- 124 525 00	2 596 25	0 00	- 2,598 25
24 Nov 00 Settled	BEO CUSIP 055654AB3 HSBC SECURITIES INC	97 543000					
Total Cayman	Islands - USD		224,395 90	- 229,126 00	- 4,730 10	0 00	- 4,730 10
Hong Kong	- USD						
5 Apr 00 10 Apr 00	KOWLOON-CANTON RY CORP NT 8 DUE 03-15 2010 BEO	- 80 000 000	79,641 60	79,728 80	- 87 20	0 00	- 87 20
Settled	CUSIP 500748AA6 HSBC SECURITIES INC	99 552000					
5 Apr 00 10 Apr 00	KOWLOON CANTON RY CORP NT 8 DUE 03-15-2010 BEO	120 000 000	119 187 GO	- 119 593 20	405 60	0 00	- 405 50
Settled	CUSIP 500748AA6 SALOMON BROS INC	99 323000					•
Total Hong Ko	ong - USD		198,829 20	- 199,322 00	- 492 80	0 00	- 492 80
Netherland:	s - USD						
15 Dec 00 20 Dec 00	DEUTSCHE TELEKOM INTL FIN B V GTD NT 8 DUE 06-15 2010 BEO	- 225 000 000	230 818 50	- 224 228 25	8 590 25	0 00	Ø 590 25
Sattled	CUSIP 2515GPAB9 SALOMON BROS INC	102 586000					
Total Netherla	ands - USD		230,818 50	- 224,228 25	6,590 25	0 00	6,590 25

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Investment Transaction Detail

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	-	R	ealized gain/loss —	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Tota
Sales							
Fixed Inco	ome				-		
South Afric	ca - USD						
17 Apr 00 20 Apr 00	S AFRICA REP CORP NT 9 125 DUE 05-19-2009 BEO	- 220,000 000	212,806 00	- 224 217 40	- 11 411 40	0 00	- 11 41
Settled	CUSIP 836205AE4 WARBURG DILLON READ LLC	96 730000					
Total South A	frica - USD		212,806 00	- 224,217 40	- 11,411 40	0.00	- 11,411 40
United Stat	tes - USD						
5 Oct 00 11 Oct 00	ALCOA INC 7 375 DUE 08-01 2010BEO CUSIP 013817AB7	- 190 000 000 100 256000	190 486 40	188 483 80	2 002 60	0 00	2,002 60
Settled	BEAR, STEARNS SECURITIES CORP	- 400 000 000	377 176 00	- 386,495,80	9 319 80	0 00	- 9,319 80
28 Jun 00 3 Jul 00 Settled	ASSOC CORP N AMER ASSOC 5 75 DUE 11-01-2003 BEO CUSIP 046003JS9 FIRST BOSTON CORPORATION	94 294000	3// 1/6 00	- 386,493 80	5 315 60	0 00	• 8,315 60
19 Sep 00 22 Sep 00	BK AMER CORP 7 875 DUE 05 16 2005 BEO CUSIP 060505AE4	- 485 000 000	499 782 80	- 487 185 68	12 597 12	0 00	12,597 12
Settled	B A. SECURITIES INC	103 048000		· 			
12 Dec 00 15 Dec 00 Settled	BURL RES INC 8 500 BD DUE 10-01-2001 REG CUSIP 122014AD5 SMITH BARNEY INC	- 475 000 000 101 360000	481 460 00	- 485 743 91	- 4,283 91	0 00	- 4 283 91
31 Jul 00	CATERPILLAR FINL SVCS CORP MEDIUM TERM	- 715 000 000	712 240 10	715 000 00	2 759 90	0 00	- 2,759 90
3 Aug 00 Settled	NTS-BOOK ENTRY 6 4 DUE 04-16 2001 CUSIP 14912LVT5 SMITH BARNEY INC	99 614000	712 240 10	, , , , , , , , , , , , , , , , , , , ,	2.0000		
23 May 00	CIT GROUP INC NT DTD 09/29/1999 7 125	- 300 000 000	288 417 00	301 175 00	- 12 759 00	0 00	- 12,759 00
26 May 00 Settled	DUE 10-15 2004 BEO CUSIP 125577AD8 DB CLEARING SERVICES	96 139000					
14 Jun 00	CLEAR CHANNEL COMMUNICATIONS INC 7 875	- 475 000 000	476 002 25	- 474 724 50	1 277 75	0 00	1,277 75
21 Jun 00 Settled	DUE 06-15-2005 BEO CUSIP 184502AG7 PAINE WEBBER INC	100 211000					
2 Mar 00 18 Mar 00 Settled	COCA COLA ENTERPRISES INC COCA COLA 5 75DUE 11 01 2008 BEO CUSIP 191219BF0 PRUDENTIAL SECURITIES INCORP	- 325 000 000 88 770000	288 502 50	323 600 25	35,097 75	0 00	- 35 097 75

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_	R	ealized gain/loss	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales							_
Fixed Inco	ome						
3 Apr 00 6 Apr 00	CONOCO INC NT 6 35 DUE 04-15 2009 BEO CUSIP 208251AD0	330 000 000	307,325 70	- 326 406 30	- 19 080 60	0 00	- 19,080 60
Settled	WARBURG DILLON READ LLC	93 129000					
3 Mar 00 B Mar 00	CSX CORP 6 25 DUE 10 15-2008 BEO CUSIP 126408BR3	- 180 000 000	162,430 20	178,815 60	- 16,385 40	0 00	- 16,385 4c
Settled	SALOMON BROS INC	90 239000					
30 Mar 00 4 Apr 00 Settled	EL PASO ENERGY CORP DEL SR NT 6 75 DUE 05-15 2009 BEO CUSIP 283905AA5 HSBC SECURITIES INC	- 435 000 000 92 469000	402 240 15	- 412,788 60	10 548 45	0 00	- 10,548 45
12 Oct 00 17 Oct 00 Settled	EMPRESA NACIONAL DE ELECTRICIDAD CHILE NT DTD 04/07/1999 8 5 DUE 04-01 2009 BEOCUSIP 29244TAH4 WARBURG DILLON READ LLC	210 000 000 98 713000	207 297 30	- 209 559 38	- 2 262 OB	0 00	- 2,262 08
28 Mar 00 31 Mar 00 Settled	FINOVA CAP CORP FINOVA CAP CORP GLOB NT 7 25 DUE 11 08 2004 BEO CUSIP 318074AY7 PRUDENTIAL SECURITIES INCORP	75 000 000 96 137000	72 102 75	- 74 706 00	2 603 25	0 00	- 2 603 25
28 Mar 00 31 Mar 00 Settled	FINOVA CAP CORP FINOVA CAP CORP GLOB NT 7 25 DUE 11-08 2004 BEO CUSIP 318074AY7 J.P. MORGAN SECURITIES INC	- 20 000 000 95 931000	19 186 20	- 19 921 60	- 735 40	0 00	- 735 40
4 Apr 00 7 Apr 00 Settled	FINOVA CAP CORP FINOVA CAP CORP GLOB NT 7 25 DUE 11 08 2004 BEO CUSIP 318074AY7 SALOMON BROS INC	- 70 000 000 94 349000	66 044 30	- 69 725 60	3 681 30	0 00	- 3,681
5 Apr 00 10 Apr 00 Settled	FINOVA CAP CORP FINOVA CAP CORP GLOB NT 7 25 DUE 11 08 2004 BFO CUSIP 318074AY7 SALOMON BROS INC	- 40 000 000 94 494000	37 797 60	- 39 843 20	- 2 045 60	0 00	- 2 045 60
7 Apr 00 12 Apr 00 Settled	FINOVA CAP CORP FINOVA CAP CORP GLOB NT 7 25 DUE 11 08 2004 BEO CUSIP 318074AY7 BARCLAYS DE ZOETE WEDD INC	- 40 000 000 94 058000	37 623 20	30 843 20	- 2 220 00	0 00	- 2,220 00
17 Apr 00 20 Apr 00 Settled	FINOVA CAP CORP FINOVA CAP CORP GLOB NT 7 25 DUE 11-08-2004 BEO CUSIP 318074AY7 LEHMAN BROTHERS INC	120 000 000 91 258000	109 509 60	119,529 60	10 020 00	0 00	- 10 020 00

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Trade date	Security description	Charact (0.4.D.	T			ealized gain/loss	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Fixed Inco	me						
7 Apr 00	FORD MTR CR CO NT 7 375 DUE 10-28-2009	- 250 000 000	247 047 50	- 249 530 00	- 2 482 50	0 00	- 2 482 50
12 Apr 00 Sattled	BEO CUSIP 3453975M6 SALOMON BROS INC	98 819000					
31 Jul 00 14 Aug 00	FORD MTR CR TRANCHE #TR 00624 6 29 MTN DUE 03-15 2001 BEO	- 625 000 000	622 706 25	624 243 26	- 1,537 01	0 00	- 1 537 01
Settled	CUSIP 345402F97 BARCLAYS DE ZOETE WEDD INC	99 633000					
21 Jul 00 20 guA E	GEN MTRS ACCEP CORP MEDIUM TERM NTS BOOKENTRY 6 12 DUE 11 21 2000	625 000 000	623 650 00	- 625 349 03	- 1 699 03	0 00	- 1 699 03
Sattled	CUSIP 37042WCF0 CHASE SECURITIES INC (CSI)	99 784000					
21 Nov 00 27 Nov 00	GOLDMAN SACHS GROUP INC NT 7 625 DUE 08-17-2005 BEO	570 000 000	575 620 20	- 578,851 90	3 231 70	0 00	- 3 231 70
Settled	CUSIP 38141GAQ7 GOLDMAN SACHS & COMPANY	100 986000					
15 Dec 00 20 Dec 00	HSEHD FIN CORP NT 8 DUE 07-15 2010 BEO CUSIP 441812GM0	- 295 000 000	310 160 05	- 300,094 65	10 065 40	0 00	10,065 40
Settled	BEAR STEARNS SECURITIES CORP	105 139000					
28 Sep 00 29 Sep 00	INTL BUSINESS MACH CORP 8 375 NT DUE	- 140 000 000	153 473 60	- 154 711 20	- 1 237 60	0 00	- 1,237 60
Settled	CUSIP 459200AG6 ADVEST INC	109 624000					
10 Apr 00 13 Apr 00	LIBERTY MEDIA CORP 7 875 DUE 07-15 2009BEO	- 200,000 000	197 650 00	- 197 600 00	56 00	0 00	56
Sattled	CUSIP 530715AB7 WARBURG DILLON READ LLC	98 828000					
27 Nov 00 30 Nov 00	MARCONI PLC MARCONI CORP 8 375 DUE 09 15-2030 BEO	- 160 000 000	148 380 80	159 212 80	- 10 832 00	0 00	- 10 832 00
Settled	CUSIP 566306AB2 MORGAN STANLEY & CO INC	92 738000					
27 Nov 00 30 Nov 00	MOTOROLA INC NT 7 625 DUE 11-15 2010 BEO CUSIP 620076AR0	290 000 000	294 254 30	- 289 138 70	5 115 60	0 00	5,115 60
Sattled	GOLDMAN SACHS & COMPANY	101 467000					
4 Apr 00 7 Apr 00	MOTOROLA INC 5 8 DUE 10-15-2008 BEO CUSIP 620076AN9	- 265 000 000	240 707 45	- 235 231 99	5 475 46	0 00	5 475 46
Settled	GOLDMAN SACHS & COMPANY	90 833000					

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Account Name WROCKEFELLER RCM FIXED

Realized gain/loss ---

Trade date

Investment Transaction Detail Security description

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Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction ลเทอนท์เ	Cost	Market	Translation	Total
Sales							
Fixed Inco	me					-	
28 Apr 00 3 May 00 Settled	NATL RURAL UTILS COOP FIN CORP MEDIUM TERM NTS-BOOKENTRY 5 75 DUE 12-01-2008 CUSIP 63743HCE0 J P MORGAN SECURITIES INC	- 310 000 000 87 458000	271 119 80	- 309,699 30	- 38 579 50	0 00	- 38 579 50
7 Apr 00 12 Apr 00 Sattled	POTOMAC ELEC PWR CO 6 5 DUE 09-15 2005 REG CUSIP 737679BZ2 ADVEST, INC	- 475 000 000 95 422000	453 254 50	- 478 562 50	- 25 308 00	0 00	- 25,308 00
2 Mar 00 27 Mar 00 Settled	PROCTER GAMBLE CO 6 875 DUE 09-15-2009 BEO CUSIP 742718BM0 ADVEST INC	- 290 000 000 96 494000	279 832 60	289 524 40	- 9,691 80	0 00	- 9,691 80
23 Mar 00 28 Mar 00 Settled	SPRINT CAP CORP NT 6 125 DUE 11-15 2008 BEO CUSIP 852060AC6 PRUDENTIAL SECURITIES INCORP	400 000 000 90 817000	363 268 00	- 371 604 27	- 8 336 27	0 00	- 8 336 27
18 May 00 23 May 00 Settled	SPRINT CAP CORP NT 6 125 DUE 11-15-2008 BEO CUSIP 852060AC6 BARCLAYS DE ZOETE WEDD INC	- 220 000 000 85 625000	188 375 00	- 199 040 60	- 10 665 60	0 00	- 10,665 60
31 Aug 00 6 Sep 00 Settled	SPRINT CAP CORP NT 6 125 DUE 11 15-2008 BEO CUSIP 852060AC6 PRUDENTIAL SECURITIES INCORP	- 305 000 000 89 946000	274 335 30	- 276 369 58	2 034 28	0 00	- 2,034 28
10 Mar 00 18 Mar 00 Settled	TIME WARNER ENTMT CO LP SR 10 15 NT DUE 5-1-2012 REG CUSIP 88731EAC4 SALOMON BROS INC	- 195 000 000 115 350000	224 932 50	- 226 471 05	1 538 55	0 00	- 1 538 5
4 Apr 00 7 Apr 00 Settled	WAL MART STORES INC NT 6 875 DUE 08 10-2009 BEO CUSIP 931142BE2 LEHMAN BROTHERS INC	- 245 000 000 97 851000	239 734 95	- 245 220 50	- 5 485 55	0 00	- 5 485 55
Total United S	States - USD		10 444,132 85	- 10,664,004 75	- 219,871 90	0 00	- 219,871 90
Total corporat	le bonds		11,310,982 45	- 11,540,898 40	- 229,915 95	0 00	- 229,915 95

Trade date

Account Name WROCKEFELLER-RCM FIXED

Realized gain/loss

Investment Transaction Detail

Security description

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Settle date Trade Status	Assel ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Fixed Inco	ome						
Governme	nt mortgage backed securities						
United Stat	tes - USD						
27 Sep 00 13 Nov 00	FHLMC GOLD TBA #9999999 8 11-01-2029 CUSIP 02R0806B9	- 1,125 000 000	1 137,875 97	1 132 426 76	5,449 21	0 00	5,449 2
Settled	BALIS ZORN GERARD INC	101 144531					
30 Oct 00 13 Dec 00 Settled	FHLMC TBA GOLD POOL #9999999 8 12 01 2029 CUSIP 02R0806C7	- 1 125 000 000 101 324219	1,139,897 46	- 1 136 601 50	3 295 90	0 00	3,295 80
	BALIS ZORN GERARD INC					 	
15 Mar 00 30 Mar 00	FNMA POOL #253037 7 5 DUE 02 01-2030 REG CUSIP 31371JBE3	- 466 741 750	457 406 92	- 454 198 07	3 208 85	0 00	3,208 85
Settled	FIRST BOSTON CORPORATION	98 000000	_ _		 		
3 Apr 00 3 Apr 00 Settled	FNMA POOL #253037 7 5 DUE 02-01-2030 REG CUSIP 31371JBE3	- 0 010 0 000000	0 01	- 0 01	0 00	0 00	0 00
1 Aug 00	FNMA POOL #253347 8 DUE 06 01-2030 REG	- 875 000 540	875 957 57	· 875 547 42	410 15	0 00	410 15
16 Oct 00 Settled	CUSIP 31371JL44 MERRILL LYNCH GOVERNMENT	100 109370	0,0 02, 0,	7 070 047 42	710 13	0 00	710 10
1 Aug 00 16 Oct 00	FNMA POOL #253347 8 DUE 06 01-2030 REG CUSIP 313713144	- 999 999 230	1,001 092 98	- 1,000 624 23	468 75	0 00	468 75
Settled	MERRILL LYNCH GOVERNMENT	100 109370					
1 Aug 00 16 Oct 00	FNMA POOL #253347 8 DUE 06 01-2030 REG CUSIP 31371JL44	- 599 999 350	600 655 60	- 600,374 35	281 25	0 00	281
Settled	MERRILL LYNCH GOVERNMENT	100 109370					
24 Aug 00 18 Oct 00	FNMA POOL #495059 8 DUE 05 01 2029 REG CUSIP 31382W5U2	- 74 5G8 690	75 174 56	74 661 90	512 66	0 00	512 66
Settled	NOMURA SECURITIES INTERNATIONAL INC	100 812500					
24 Aug 00 16 Oct 00	FNMA POOL #513898 8 DUE 10 01 2029 REG CUSIP 31383U3F0	- 124 988 180	126 003 71	- 125 144 42	859 29	0 00	859 29
Settled	NOMURA SECURITIES INTERNATIONAL INC	100 812500					
24 Aug 00 18 Oct 00	FNMA POOL #515936 8 DUE 09 01 2029 REG CUSIP 31383XEH8	- 894 734 750	902 004 47	- 895 853 17	6 151 30	0 00	8 151 30
Salifed	NOMURA SECURITIES INTERNATIONAL INC	100 812500		. <u></u> .			
24 Aug 00 18 Oct 00	FNMA POOL #516799 8 DUE 12-01 2029 REG CUSIP 31383YDC8	- 30,626 110	30 874 95	- 30,664 39	210 56	000	210 56
Settled	NOMURA SECURITIES INTERNATIONAL INC	100 B12500					
		THE WILLIAM					

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Trade date	Security description Asset ID	Charactes	Tueses		Realized gain/loss		
Settle date Trade Status	Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales			 .				
Fixed Inco	ome						
15 Mar 00 30 Mar 00	FNMA POOL #521467 7 5 DUE 01 01 2030 REG CUSIP 31384EJL5	- 408 835 510	400,658 80	- 397,848 06	2,810 74	0 00	2,810 74
Settled	FIRST BOSTON CORPORATION	98 000000					
1 Aug 00 16 Oct 00 Sattled	FNMA POOL #522329 8 DUE 11 01 2029 REG CUSIP 31384FHE0 MERRILL LYNCH GOVERNMENT	406 510 610 100 109375	40G 955 23	- 407 526 89	571 68	0 00	- 571 €£
7 Mar 00 16 Mar 00 Settled	FNMA POOL #533524 7 5 DUE 03 01 2030 REG CUSIP 31384TVR5 FIRST BOSTON CORPORATION	- 116 112 000 98 000000	113 789 76	112 991 49	798 27	0 00	798 27
7 Mar 00 16 Mar 00	FNMA POOL #533524 7 5 DUE 03 01 2030 REG CUSIP 31384TVR5	- 225 370 000	220 862 60	- 219 313 18	1,549 42	0 00	1,549 42
Settled	FIRST BOSTON CORPORATION	98 000000					
15 Mar 00 30 Mar 00	FNMA POOL #534082 7 5 DUE 03 01-2030 REG CUSIP 31384UJF2	- 307 789 000	301 633 22	- 299,517 17	2 116 05	0 00	2 116 05
Settled	FIRST BOSTON CORPORATION	98 000000					
29 Aug 00 13 Nov 00	FNMA POOL #546604 8 DUE 07-01-2030 REG CUSIP 31385KGM1	- 44 967 710	45 208 60	45 290 92	- 84 32	0 00	- 84 32
Settled	BALIS ZORN GERARD INC	100 531250					··
29 Aug 00 13 Nov 00	FNMA POOL #546862 8 DUE 11-01-2030 REG CUSIP 31385KQP3	- 61 193 000	61 518 09	- 61,632 82	114 73	0 00	- 114 73
Settled	BALIS ZORN GERARD INC	100 531250					
16 Oct 00 16 Oct 00	FNMA POOL #548892 8 DUE 09 01-2030 REG CUSIP 31385PXVI	118 489 320	118 618 92	- 118,785 54	- 166 62	0 00	- 166,0
Settled	MERRILL LYNCH GOVERNMENT	100 109377					
29 Aug 00 13 Nov 00	FNMA POOL #556462 8 DUE 11 01-2030 REG CUSIP 31385YFB6	893,839 000	898 587 52	- 900 263 47	1 675 9 5	0 00	- 1 675 95
Settled	BALIS ZORN GERARD INC	100 531250	.,	· · <u> </u>			
29 Aug 00 13 Nov 00	FNMA POOL #561368 B DUE 11-01-2030 REG CUSIP 31386ETZ1	125 000 000	125 664 07	- 125 898 44	- 234 37	0 00	- 234 37
Settled	BALIS ZORN GERARD INC	100 531248		·			<u> </u>
10 Oct 00 18 Oct 00	FNMA TBA POOL #9999999 7 5 DUE 10-01-2029 REG	400 000 000	398 109 38	- 397,125 00	984 3B	0 00	984 38
Sattled	CUSIP 01F0726A3 SALOMON BROS INC	99 527345					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION
990-PF
12/31/2000
71-0285871

Investment Transaction Detail

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Trade date Settle date	Security_description Asset ID	Charan/DAG	Transaction	_			
Trade Status	Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Fixed Inco	eme						
10 Oct 00 13 Nov 00 Sattled	FNMA TBA POOL #9999999 7 5 DUE 11-01-2029 REG CUSIP 01F0726B1 SALOMON BROS INC	- 400 000 000 99 781250	399 125 00	397 875 00	1 250 00	0 00	1,250 00
4 Dec 00 13 Dec 00 Settled	FNMA TBA POOL #9999999 7 5 DUE 12 25 2029 REG CUSIP 01F0728C9 SALOMON BROS INC	- 400,000 000 100 656250	402 625 00	- 398 796 88	3,828 12	a 00	3 828 12
10 Mar 00 17 Mar 00 Sattled	FNMA TBA POOL #9999999 8 DUE 03-01 2030 REG CUSIP 01F080632 FIRST BOSTON CORPORATION	- 1 705 000 000 100 253906	1 709,329 10	- 1 707,930 47	1 398 63	0 00	1,398 63
21 Mar 00 13 Apr 00 Settled	FNMA TBA POOL #9999999 8 DUE 04 01-2030 REG CUSIP 01F080640 FIRST BOSTON CORPORATION	- 1 705 000 000 100 328125	1 7 10 594 53	1 706 065 63	4 528 90	0 00	4 528 90
7 Apr 00 13 Apr 00 Settled	FNMA TBA POOL #9999999 8 DUE 04-01-2030 REG CUSIP 01F080640 MERRILL LYNCH PIERCE FENNER & SMITH	- 1 125 000 000 100 550781	1 131 196 29	- 1 125 000 00	6,196 29	0 00	6 196 29
5 May 00 15 May 00 Settled	FNMA TBA POOL #9999999 8 DUE 05 01-2030 REG CUSIP 01F080657 MERRILL LYNCH PIERCE FENNER 8 SMITH	- 1,125 000 000 98 695313	I 110 322 27	- 1 129,218 75	18 896 48	0 00	- 18 896 48
7 Jun 00 14 Jun 00 Settled	FNMA TBA POOL #9999999 8 DUE 06 01 2027 REG CUSIP 01F080665 CHASE SECURITIES INC (CSI)	- 525 000 000 100 167969	525 881 84	- 525,656 25	225 59	0 00	225 5.
7 Jun 00 14 Jun 00 Settled	FNMA TBA POOL #9999999 8 DUE 08 01-2030 REG CUSIP 01F080665 MERRILL LYNCH PIERCE FENNER & SMITH	- 1,125 000 000 100 167969	1 120 889 65	- 1 108 078 13	18 811 52	0 00	18,911 52
7 Jun 00 14 Jun 00 Settled	FNMA TBA POOL #9999999 8 DUE 06-01-2030 RFG CUSIP 01F0806G5 SALOMON BROS INC	600 000 000 100 167969	601,007 81	- 591,375 00	9 632 81	0 00	9,632 81

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000 71-0285871

11UAN 00 - 31 DEC 00

Investment Transaction Detail

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Trade date	Security description Asset IO	Shares/PAR	Transaction	_	R	ealized gain/loss	
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales							
Fixed Inco	ome						
27 Jun 00 17 Jul 00 Settled	FNMA TBA POOL #9999999 8 DUE 07-01 2030 REG CUSIP 01F080673 MERRILL LYNCH PIERCE FENNER & SMITH	- 1 125 000 000 100 078125	1 125 878 91	1 125 000 00	878 91	0 00	878 91
27 Jun 00 17 Jul 00 Settled	FNMA TBA POOL #9999999 8 DUE 07-01 2030 REG CUSIP 01F080673 SALOMON BROS INC	600 000 000 100 015625	600 093 75	- 600 000 00	93 75	0 00	93 75
27 Jun 00 17 Jul 00 Settled	FNMA TBA POOL #9999999 8 DUE 07 01-2030 REG CUSIP 01F080673 SALOMON BROS INC	- 600 000 000 100 015625	G00 093 75	- 600,000 00	93 75	0 00	93 75
27 Jun 00 17 Jul 00 Settled	FNMA TBA POOL #9999999 8 DUE 07 01-2030 REG CUSIP 01F080673 CHASE SECURITIES INC (CSI)	- 525 000 000 100 02343B	525 123 05	525 000 00	123 05	0 00	123 05
27 Jun 00 17 Jul 00 Settled	FNMA TBA POOL #9999999 8 DUE 07 01 2030 REG CUSIP 01F080673 SALOMON BROS INC	- 1 875 000 000 100 015625	1 875 292 97	- 1 874 707 03	585 94	0 00	585 94
26 Jul 00 14 Sep 00 Settled	FNMA TBA POOL #9999999 8 DUE 09 01-2030 REG CUSIP 01F080699 SALOMON BROS INC	- 1,875 000 000 100 19 <i>5</i> 313	1 878 662 12	- 1,870,898 44	7,763 68	0 00	7 763 68
26 Jul 00 14 Sep 00 Settled	FNMA TBA POOL #9999999 8 DUE 09 01-2030 REG CUSIP 01F080699 SALOMON BROS INC	- 600 000 000 100 195313	GO1 171 88	- 598,687 50	2 484 38	0 00	2,484 38
28 Jul 00 14 Sep 00 Settled	FNMA TBA POOL #9999999 8 DUE 09 01-2030 REG CUSIP 01F080699 MERRILL LYNCH PIERCE FENNER & SMITH	1 125 000 000	1 127 944 34	- 1,123 242 19	4 702 15	0 00	4 702 15
27 Jul 00 14 Sep 00 Settled	F14MA TBA POOL #9999999 8 DUE 09 01 2030 REG CUSIP 01F080699 CHASE SECURITIES INC (CSI)	- 525 000 000 100 378906	526 989 26	523 851 56	3, 137 70	0 00	3 137 70

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000 71-0285871

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Investment Transaction Detail

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IstoT	Translation	Market	Cost	Transaction Invoms	A44kes/PAR	Settle date Asset ID Trade Status Broker/Commission
	ssol/ulsg bazils:	əგ թ		Transaction	9AQ\263542	Trade date Security description

Fixed Income

00 VoV 00 6 Nov 00 6 Mov 00	GNMA TBA POOL #9999999 SER 2029 8 DUE 11-25-2029 REG CUSIP 01100806B5 NOMURA SECURITIES INTERNATIONAL INC	000 000 005	95 104 LES	E9 067 9ES -	910 93	00 O	68 016
pajjiej 1 Seb 00	CHASE SECURITIES INC (CSI) CUSIP 01N080690 09 01-2029 REG	218867 001	***************************************			, <u> </u>	
00 Inc 9	GNMA TBA POOL #9999999 SER 2029 8 DUE	230'000 000	694 223 44	- 235 620 00	PP E72 1	00 0	PP EZS'I
2 May 00	CHYZE ZECNBILIEZ INC (CZI) COZID 01N080028 DONE02-01 S058 KEG	8088₹£ 60					
00 yeM t	CMMA TBA POOL #9999999 SER 2029 8	- 230 000 000	926 708 20	- 537 287 50	05 673 01 -	00 0	℃ 872,01 -
00 rut S balited	CHYZE ZECNBILIEZ INC (CZI) OB-12 7030 REG OB-12 7030 REG	101 265625					
00 nul 8	GNMA POOL #9999999 SER 2030 8 DUE	- 230 000 000	18 707 868	256 025 00	10,682 81	00 0	10 682 81
00 1qA 8 belilei	MERRILL LYNCH GOVERNMENT CUSIP 36211TUM5 03.15.2030 REG	057834 001					
00 1sM 8	GNMA POOL #522688 SER 2030 8 DUE	967 033 300	ZZ 169 695	- 571 286 05	87 463 1 -	00 0	87 462 f -
9[[]6q 3 Oct 00	05-15 2030 REG CUSIP 36211NV96 HOMURA SECURITIES INTERNATIONAL INC	060175 101					
00 guA 4	GNMA POOL #518240 SER 2030 8 DUE	204 653 020	62 272 113	208 122 21	3 449 78	00 0	87 6ÞÞ,C
egjed 3 Oct 00	05 13 2030 REG CUSIP 3621 K4A9 NOMURA SECURITIES INTERNATIONAL INC	0601 ZE 101					
00 guA 4	GNMA POOL #51517 SER 2030 8 DUE	25 294 570	52 641 39	- 52 468 48	16 271	00 0	16 271
00 Apt 00 belifed	03-15-2010 REG CUSIP 36210XQN0 CHASE MANHATTAN	EICOZS IOI				· · · · · · · · · · · · · · · · · · ·	
00 1qA B	CMMA POOL #505481 SER 2030 8 DUE	069 748 6S8 -	238'569 23	- 233 955 30	4 347 23	00 0	62 746,4
4 Apr 00 etiled	MEBBILT FÄNCH CONERNMENT CUSIP 36210XQN0 03-12-7030 REG	05783> 001					
00 JsM 8	CHMA POOL #505461 SER 2030 8 DUE	010 788,564 -	434 886 08	- 438 113 25	PP 11211 -	00 0	44 TIS 1 -

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Investment Transaction Detail

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letoT	noiselansT	Market	JsoO	Transaction	หลั <i>q</i> เรอาธุ <i>ศั</i> ย อวเาจิ	Broker/Commission	suisis ebsil
	- Realized gain/loss			40(t2E30E1T	QAQ1241E42	Security description	Trade date Settle date

233'150 20

3030 B DNE	: 832 eGeGeGG#	GUMA TBA POOL	00 AUL 7 <u>5</u>

Fixed Income

07-01-2030 REG

24 101 00

Total United	States - USD		3,632,460 75	- 3 856,022 08	- 23,561 33	00 0	- 59'281 33
pailled 10 Jul 00	COME MTG TR PASS THRU CTF 4-18 07 BEO CUSIP 33736LAC8 B A SECURITIES INC	100 039062					
00 Inc \$	12T UN LEHMAN SER 1997 C1 CL A 3 7 38	000 000,065 -	161 064	484 762 43	2 458 98	00 0	2 428 98
palited 6 Jul 00	6 55 AST BKD CTF 1 15 07 EXP MTY 6 15 04CUSIP 55262TCN1 COLDMAN SACHS & COMPANY	00002T TE					
00 nut 81	MBNA MASTER CR CARD TR SER 97-1 CL A	000 000,237 -	08 787 747	81 812 297 -	- 14'430 88	00 0	- 14 430 68
Settled	A FLTG RT AST BACKED CTF 9 15 03 CUSIP 162862TBG7 MERRILL LYNCH PIERCE FENNER & SMITH	004990 001					
12 Oct 00	MBNA MASTER CR CARD TR II SER 1998 D CL	000 000 085 -	280 382 16	- 280'633 36	- 248 20	00 0	OC 892 -
S May 00 Settled	S∀FOMON BBOS INC COSID 34527RCZ4 CF ∀-2 € 25 DDE 09-12 5003 BEO	SS1EOT BE					
00 1QA TS	FORD CR AUTO OWNER TR 1999-D AST BKD NT	000 000 050 1 -	1 036 382 81	87 228 840 1 -	13 542 97	00 0	13 542 87
Settled	6 85 DUE 07-17-2007 BEO FIRST BOSTON CORPORATION	7 E¢8¢I 86					
00 lut 81	DISCOVER CARD MASTER TR I SER 1999 6	- 352 000 000	318 982 42	319,042 94	SS 09 -	00 0	- 60 52
Settled	PARTN CTF CL A & 65 DUE 1115 2006 BEO CUSIP 17303CBW0 CHASE SECURITIES INC (CSI)	pp868\$ 16					
18 שיו 100	CITIBANK CR CARD MASTER TR 1 1999 7	000 000 \$78	SÞ 1EZ 859	ec ecp,e23 -	P6 T0T	00 0	₱₿ ₹ 0₹ -
United Sta	res - NSD						
Asset back	ked securifies						
Total govern	ment mortgage backed securities		40 806,237,1£	12 884,788,15 -	58 144,87	00 0	E8 144,87
Total United	States - USD	 	₽0 806,837,1£	12 994,789,16 -	£8 144,87	00 0	78,441 83
pelijes	CHASE SECURITIES INC (CSI) CUSIP 010080674	100 703125	<u>, </u>			<u>, , , , , , , , , , , , , , , , , , , </u>	

3,832,460 75

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The Northern Trust Company

Lotal asset backed securities

- 53'281 33

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90 220'958'6 -

- 236 158 13

Translation

Realized gain/loss

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Investment Transaction Detail

Broker/Commission Trade date Settle date Trade Status Price Shares/PAR Security description

Sales

Non-government backed c m.o.s

United States - USD

Fixed Income

Cash and	i Cash Enuivalents						
Total fixed	ျပင္ပေယမ		69 8/4,829,88	20 OOY, bO7, 38 -	- 78,221 36	00 0	- 79,221 36
Total non-go	олегителі раскед с m o s		7 0 0	7 00 -	00 0	00 0	00 0
Total United	d States - USD	 .	† 0 0	7 0 0 -	00 0	00 0	00 0
Settled	6 15-2021CUSIP 589929KN7	0000000		_			
00 15M B 00 15M B	M LYNCH MTG INVS INC MTG PASSTHRU CTF SER 1995 C2 CL A VAR RT BD DUE	040 0 -	7 0 0	400 -	00 0	00 0	

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Transaction

1 548 452 00

United States - USD Commercial paper

	bailted
CUSIP 02581RFM0	21 Jun 00
AMERN EXPRESS CR CORP CPN 06 21-2000	21 Jun 00

Settled		000000 0					
00 IJL 12 00 IJL 12	ASSOC CORP N AMER CPN 07-21 2000 US19 0460016M0	- 1'552 000 000	1 518 333 96	1 218 333 96	00 0	00 0	00 0
Settled		000000					
00 AUL E1 00 AUL E1	ASSOC CORP N AMER CPN 06 13 2000 CUSIP 04600JFD1	000 000 578 -	870 923 96	96 526 078 -	00 0	00 0	00 0
Settled		000000 0					
00 guA ≱ 00 guA ≱	CAZIE 05832KH44 VMEKN CEN CEN 08 04-5000	000 000 055 -	24D 304 86	98 304 89	00 0	00 0	00 0
Settled	DIRECT ASSOCIATES	812578 66		-			
00 das 7 V Sep 00	AMERN EXPRESS CR CORP CPN 09-14-2000	1 520 000 000	1 542 002 58	- 1,245,065 28	00 0	00 0	00 0
Settled		000000 0			_	-	
00 guA ES 00 guA ES	COZIE 03281RHEI COZIE 03281RHEI	000 000'052'1 -	1 240 986 11	- 1 240'986 11	00 0	00 0	60 0
Settled		000000 0					
14 JUL 00	CUSIP 02581RGEZ CR CORP CPN 07-14-2000	000 000'09Z (-	70 287 pp2,1	- 1 244 785 07	00 0	00 0	00 0
bailted		000000 0					
21 Jun 00	CUSIP 02581RFM0		00 574 047 1	A0 C75 D57 1 .	no o	00.0	nn o

12/31/2000 660-PF THE WINTHROP ROCKFELLER FOUNDATION

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The Northern Trust Company

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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Market

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Translation

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Trade date Settle date suistS ebsti

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Investment Transaction Detail

Groker/Commission Šaseľ ID Šeculity ďeščripliou

00 guA f beitted	CUSIP 370420HB2	000000 0					
00 guA 1	CEN MIRS ACCEP CORP CPN 08 11-2000	000 000 001	300 320 00	00 056 666 -	00 0	00 0	00 0
00 guA 00 guA balife	GEN MIRS ACCEP CORP CPN 08 02 2000 CUSIP 37042DH22	000 000 000 -	399 653 11	11 654 865 -	00 0	00 0	00'0
00 ful 2: 00 ful 2: belifei	GEN MTRS ACCEP CORP CPN 07-25 2000 CUSUS 37042DGR8	000 000 000 -	87 904 <u>9</u> 85	36¢,885	00 0	00 O	00 0
Sep 00 Sep 00 belified	GEN ELEC CAP CORP CPN 09-14-2000 CUSIP 36959HJE8 DIRECT FORD EUROPE	99 892023	1 S4S 065 28	1,245 065 28	00 0	00 0	•
00 guA 5 00 guA 5 ballte	CNZIF 36959HHP5 GEN ELEC CAP CORP CPN 08 23 2000	000 000 000 - 1 250,000 000	87 720 142,1	- 1 241 027 7B	00 0	00 0	00 0
00 ful 4 00 lul 4 beliled	CUSIP 36959HGE1 GEN ELEC CAP CORP CPN 07-14-2000	000000 0	18 110 507 1	18 110 542 1	00 0	00 0	00 0
00 nul + 00 nul + belite	CUSIP 36959HFE2	000 000 572 % -	1 568 822 63	1 268,822 63	00 0	00 0	00 0
00 nul 1 00 nul 1 bellled	ASSOCIATES CORP NORTH AMER CPN 06-13-2000 1M3100460 912U	000000 0	349 229 00	- 349,559 00	00 0	00 0	00 0
Nov 00 Nov 00 ettled	ASSOC CORP N AMER CPN 11-13-2000 DIRECT - ASSOCIATES	000 000 000 - 261478 66	97 949 568	- 895,648 25	00 0	00 0	00 0
6 Oct 00 6 Oct 00 etited	CUSIP 04600JKG8 ASSOC CORP N AMER CPN 10-16-2000	000 000 522 1	1 218,164 50	- 1 218 164 50	00 O	00 0	20 0
00 daS 9 2 Sep 00 5 Sep 00	ASSOC CORP N AMER CPN 09 15-2000	0000000 - 1 225 000 0000	CB 468 S1S 1	- 1 212 594 83	00 0	00 0	00 0

Innoms

Transaction

Price

Shares/PAR

BY 027 765

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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397,771 44

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The Northern Trust Company

CUSIP 370420JB0

14 Aug 00 Settled

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GOLDMAN SACHS & COMPANY

GEN MTRS ACCEP CORP CPN 09 11 2000

Translation

- Realized gain/loss

Market

Cost

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Investment Transaction Detail

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otal United	OSU - estate		3 324,375 00	16 280 8ee,e -	46 017,E1 -	00 0	46 O17,61 -
00 Apr 00 beilled	09 27 93CUSIP 9128275P3	000005 86				<u></u>	
00 16M ₽	FPO UBS 41 965 00 T NOTE 000 S 91 91 91 91 91 91 91 91 91 91 91 91 91	- 3 375 000 000	3 324 375 00	3 338 042	PE 017 E1 -	00 0	AB OF T,ET -
ste batint	deu - sətr					<u></u>	
sdoruqes	stnements						
otal comme	arcial paper		24,367,346 24	. 54,367,366 90	- 50 66	000	- 50
otal United	States - USD	<u> </u>	24,367,346 24	24,367,366 90	- 50 66	00 0	- 20
pallie		000000 0					
3 NOV 00	CAZIS 289338FD0 WEECK & CO INC CEN 11 13-5000	000 000 008	EE 679 962	EE 698 967	00 O	00 0	00 0
pelite		000000 0	··				
00 15O 0	CORIL 289338KF3 WEBCK & CO INC CLN 10-50 5000	000 000 008 -	79 955 867	Ş9 955 561 -	00 σ	00 0	00 0
patited		000000 0			<u>-</u>		
9 Seb 00 9 Seb 00	CHZIE 28933B/RX MEBCK & CO INC CEN 09 19-3000	000 000 008 ·	00 811 967	00 811,867 -	00 0	00 0	00 0
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00 guA 5 00 guA 5	COZIA 989338HB8 MEECK & CO INC CAN 08 33-5000	000 000 008	22 089 Þ6 2	- 764 680 22	00 0	00 0	00 0
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00 guA, 00 guA,	INTL BUSINESS MACHS CORP CPN 08-02 2000 CUSIP 45920DH22	000 000 001'1 -	95 524 860'1	95 5 2≯ 860'l	00 0	00 0	00 0
pajjie		000000 0	 				 _
00 וער 5 00 וער 5	INTL BUSINESS MACHS CORP CPM 07 25 2000	000 000 001 1 -	₽1 919 8GO 1	ÞI 919 860 I -	00 0	00 0	<u>10</u> 0
pailte	DIRECT - IBM	0809Þ6 6G					
00 guA 0 00 guA 1	CO2Ib 449555HE3 IBW CK COKh CbN 08-14 5000	000 000 001 1 -	EE ES9 760 I	EE E59,760 1 -	00 0	00 0	00 0

Transaction amount

3,324,375 00

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Shares/PAR Sing Total repurchase agreements

Portfo.o Statement

JAN 00 - 31 DEC 00

Account Name WROCKEFELLER-RCM FIXED

◆ Investment Transaction Detail

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Trade date	Security description	Di (D 4 C	-	_		ealized gain/loss ———	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Total
Sales			· -	···			
Cash and	Cash Equivalents						
Short term	bills and notes						
United Stat	tes - USD						
8 Mar 00 8 Mar 00	FHLB DISC NT 03-08-2000 CUSIP 313384UA5	- 400 000 000	398 370 67	- 398 370 67	0 00	0 00	
Settled		0 000000					
31 May 00 31 May 00	FHLB DISC NT 05-31 2000 CUSIP 313384XN4	400 000 000	394,623 44	- 394,623 44	0 00	0 00	0 00
Settled		0 000000					
21 Jul 00 21 Jul 00	FHLB DISC NT 07-21-2000 CUSIP 313384ZR3	- 775 000 000	771 672 67	771 672 67	0 00	0 00	0 00
Settled		0 000000		·		·-··	
8 Aug 00 8 Aug 00	FHLB DISC NT 08 11 2000 CUSIP 313384B65	- 775 000 000	772 120 23	772 120 23	0 00	0 00	0 00
Saltied	HSBC SECURITIES INC	99 946834					
23 May 00 23 May 00 Settled	FHLMC DISC NT 05 23-2000 CUSIP 313396XE8	- 1,275 000 000	I 271 187 75	1 271 187 75	0 00	0 00	0 00
		0 000000				<u></u> _	
18 Jul 00 18 Jul 00 Settled	FHLMC DISC NT 07-18 2000 CUSIP 313396ZNG	1 475,000 000	1,460,246 72	- 1 4GO 24G 72	0 00	0 00	0 00
	F-11/4 0/100 NT 00 00 000						
30 Mar 00 30 Mar 00	FNMA DISC NT 03-30 2000 CUSIP 313588UY9	- 2,000 000 000	1 971 410 82	1,971,410 82	0 00	0 00	0 00
Settled		0 000000		<u> </u>			
16 May 00 16 May 00	STUD LN MARKETING ASSN DISC NTS DISC NT DUE 05-16-2000	- 2 025 000 000	2 021 071 50	- 2 021,071 50	0 00	0 00	0 00
Settled	CUSIP 863872WX1	0 000000					
31 Mar 00 3 Apr 00	US TREAS BILLS 04-18 2000 CUSIP 912795CX3	- 5,000,000 000	4 984 271 32	- 4 984,271 32	0 00	0 00	0 00
Settled	CHASE SECURITIES INC (CSI)	99 753333					
18 Apr 00 18 Apr 00	US TREAS BILLS 04 18-2000 CUSIP 912795GX3	- 2,330 000 000	2 322 658 56	2 322 658 56	0 00	0 00	0 00
Settled		0 000000					

THE WINTHROP ROCKFELLER FOUNDATION 990-PF

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Investment Transaction Detail

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	Realized gain/loss			Transaction	AA9\səse\2	Security description Asset ID	Trade date Settle date

Cash and Cash Equivalents

- 85'825 86	00 0	96 256,26 -	78 887, 557,001 -	13 668,488,061	et 032,638 ot1 -	Fotal sales
)B 167,61 -	00 0	09 157,61 -	25 880,C70,A4 -	44'029'324 85		Total cash and cash equivalents
0	00 0	00 0	88 668,786,81 -	89 669,786,81		Total short term bills and notes
00 0	00 0	00 0	89 669,786,81 -	88 EE8,78E,81		GSU - zətsi2 bəlinU istoT

THE WINTHROP ROCKFELLER FOUNDATION

PAGE 13

	-08 STS,286		00	FEDERAL HOME IN MTG CORP ADMT 02/14/00 TO HSBC SECURITIES TO HSBC SECURITIES PS 79 781444
99 T6Z'Z	-95 08T'966	868,472 22		
				2021 221 221
99 T6Z'Z	- ÞE 80/ 'L6S	00 000'009	00	© 99 986665 02/08/00 RECD PROCEEDS ON MATURITY OF 600,000 PAR VALUE
00	-TT 982'66T	TT 982'66T	00	© 99 873555 01/31/00 SOLD 200000 01/28/00 TO HSPC SECURITIES
00	-tt 962'66t	11 962'661	00	ADMT 02/08/00 01/31/00 SOLD 200000 01/31/00 TO HSBC SECURITIES
זז זזג'ז	398,268 89-	00 000'00+	00	PEDERAL HOME IN BKS ADVITO PER VALUE RECD PROCEEDS ON MATURITY OF RECD PROCESS ON MATURITY OF
-25 810,02 -26 810,02	-6% TLL'90S'T	48 SSL'98†'T 9T SEO'S64'Z	00	PNMA 7 5001 02/01/30 02/14/00 GOLD 1,525,000 PAR VALUE T/D 02/07 @ \$97 492188
		71 300 301 C		
-00 OSZ'SI	-88 9 *0'* 25'T	88 961,802,1	00	2766 86\$ \$ 02\21
-22 6\$6'21	-05 L8T'66Z'T	82 862'982'T	00	OI/19/00 SOLD 1,300,000 PAR VALUE PWAA 7300,000 PAR VALUE
BEALIZED GAIN/LOSS	TSOO	SKOCEEDS	COMMITERION BEOKEE	DATE DESCRIPTION
VN	VI TRUST COMPANY, I PELLER FOUNDATION	RCM CAPITAL MA		ACCOUNT NO 72-0061-02-7

LON PERIOD 01/01/00 THRU 11/30/00 SCHEDULE G - SALES AND REDEMPTIONS

PAGE 14

		1	CUSTODIAN
ΑN	TST COMPANY,	MERCIAL TRU	FIRST COM
	эмг, імс	уг мулусем	KCM CAPIT
	S FOUNDATION	BOCKELETTER	WINTHROP

1785850-17 12/31/2000 44-066 THE WINTHROP ROCKFELLER FOUNDATION

				€ 92 71875
				TO FIRST BOSTON CORP
-99 508'2	-05 171'706	\$6 SEE'10E	00	05/14/00 COTD 352000 01/15/00
				€ 92 976562
				TO COUNTY SECURITIES CORP USA
-88 OTZ'T	-00 #91'48T	ZT ES6'S8T	00	05/14/00 COTD S00000 01/13/00
				€ 93 078127
				TO FIRST BOSTON CORP
7'03Z 84-	-01 648'161	91 018'061	00	05/14/00 COFD 302000 01/15/00
				€ 92 808593
				TO CHASE SECURITIES INC
-LT TOZ'T	-59 222'882	237,021 48	00	01/18/00 COTD 320000 01/15/00
				U S TREASURY BONDS S 625 05/15/08
				● 92 101562
				TO LBI-LEHMAN GOVT SECURITIES, INC
-08 821'88	-85 TZ8'78 7	85 269'911	00	00/50/TO 000581 0705 00/07/TO
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				TO MLPF & S/FIXED INCOME OPERATION
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				DLD 05/11/33 2:76% DUE 11/01/18
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				SLEP87 86 D
				TO SALOMON BROTHERS
-L7 786	-TT L97'96Z	795,482 64	00	05/14/00 COFD 300050 010 05/10/00
				\$48¥8 86 €
				TO SALOMON BROTHERS
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SEALIZED	TSOO	PROCEEDS	BROKER	DATE DESCRIPTION
		MAIGOTEUD		
A 1	AL TRUST COMPANY, A	FIRST COMMERCES		

12/31/2000 12/31/2000 15/31/2000

-89 69E'EOT	-TL 6ZT'9ET'6T	19,032,760 03		SHOITYMEDER AND REDEMPTIONS
00	-98 861,220,7	98 861,220,7		TOTAL CASH EQUIVALENTS
00	-98 861,220,7	98 861,220,7	00	CPAH EQUIVALENTS TRUST MONEY MARKET DEPOSIT FUND 11/30/00 SALES (16) 01/01/00 TO 11/30/00
-89 69E'EOT	-58 066'611'21	LT 195'0T0'ZT		TOTAL PIXED INCOME
-81 LT1'T	-29 068'219	PP ELL'TP9	00	● 38 134312 07\0e\00 20TD e20000 0T\04\00 1 2 LEEVERE RECREILIES INC 0 3 LEEVERE NOIES 2 200\$ 08\31\07
	-16 500,645 31-		00	U S TREASURY NOTES S 500% 05/15/09 02/24/00 SOLD 1270000 02/22/00 TO LBI-LEHMAN GOVT SECURITIES, INC
-57 102 11	-68 Z8T'#15'T	AA 186 502.1		
-99 L6%'T	-L¥ 088'TSZ	320 [°] 383 81	00	TO CHAGE SECURITIES INC \$ 92 414062 02/22/00 SOLD 270000 01/19/00 TO GREENWICH CAPITAL MARKETS \$ 92 734375
-40 88)'T	-48 624'**T	743'54T 80	00	05\53\00 20TD T22000 0T\5T\00 © 35 0010 001\5T\00
-LT \$96'I	-OE TOZ'TOZ	EL 962,861	00	05\55\00 20FD 512000 01\18\00
REALIZED GAIN/LOSS	TSOO	PROCEEDS	COWWIZZION BEOKEE	DATE DESCRIPTION

MAIGOTZUD

FIRST COMMERCIAL TRUST COMPANY, N A PIRST COMMERCIAL TRUST COMPANY, N A

ACCOUNT NO 72-0061-02-7

FOR PERIOD 01/01/00 THRU 11/30/00 SCHEDULE G - SALES AND REDEMPTIONS

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Investment Transaction Detail

lsfoT	Translation	Market	Cost	noilseanstT amount	AA4\zeashA2 Price	Stoket/Commission	Settle date Trade Status
	Realized gain/loss			dollar 3001T	HARINGSE43	Security description	alsb obsil

Sales

Equities

G2U - Isnoitsmeth Common stock

cijouz		BT 508,218,5 - ,	00 0	87.606,218,5 -	000	87.000,218,2 -
	99 555,060 1 -	15,465,573 00	41 ESC,884,B1 -	- 3,020,780 14	00 0	₽1 087,020,€ -
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ou stock		15,465 573 00	41 EZE, 384, 81 -	▶1 087,020,E -	00 0	- 3,020,780 14
QSU - Isnolit		15,465,533 00	41 ESE,384,81 -	41 087,020,E -	00 0	₽1 087,0\$0,€ -
COSIS 665278351	000060 11					
MEB NORTHN INSTL FUS INTL EQTY INDEX	001 N27 836 1 -	00 573 001 81	00 248 E91 81	00 602 816 2 -	00 0	2 873 26
COSIP 665278354	000007 11					
MFB NORTHN INSTL FDS INTL EQTY INDEX PRIENT IN CL A	9 410 560	00 000 57	20 658'98	11 829 02	00 0	20 658 11 •
CN216 ee2518324	11 200000					
MFB NORTHN INSTE FDS INTE EQTY INDEX PORTFOLIO CL A	000 160'21 -	300 000 00	- 532 625 15	- 32 823 15	00 0	- 32'825 15
10	PORTFOLIO CL A CUSIP 665278354 MFB MORTHN INSTL FDS INTL EQTY INDEX CUSIP 665278354 PORTFOLIO CL A PORTFOLIO CL A CUSIP 665278354 CUSIP 665278351 TOUSIP 665278351	CUSIP 665278354 CUSIP 665278354 MEB MORTHM INSTL FDS INTL EQTY INDEX CUSIP 665278354 MEB MORTHM INSTL FDS INTL EQTY INDEX CUSIP 665278354 11 090000 11 500000 - 1 393,555 66	PORTFOLIO CL A WEB MORTHN INSTL FDS INTL EQTY INDEX WEB MORTHN INSTL FDS INTL EQTY INDEX CUSIP 665278354 WEB MORTHN INSTL FDS INTL EQTY INDEX CUSIP 665278354 CUSIP 665278354 II U00000 15,465,573 00 15,465,573 00 15,465,573 00 15,465,573 00 15,465,573 00 15,465,573 00	PORTFOLIO CL A WEB MORTHM INSTL FDS INTL EQTY INDEX WEB MORTHM INSTL FDS INTL EQTY INDEX CUSIP 665278354 WEB MORTHM INSTL FDS INTL EQTY INDEX CUSIP 665278354 CUSIP 665278354 I 1000000 15 180 573 00 16,465,673 00 16,465,67	PORTFOLIO CL A WEB MORTHM INSTL FDS INTL EQTY INDEX WEB MORTHM INSTL FDS INTL EQTY INDEX CUSIP 665278354 WEB MORTHM INSTL FDS INTL EQTY INDEX CUSIP 665278354 TS,465,573 00 - 18,486,353 14 - 3,020,780 14 TS,465,573 00 - 18,486,353 14 - 3,020,780 14 TS,465,573 00 - 18,486,353 14 - 3,020,780 14 TS,465,573 00 - 18,486,353 14 - 3,020,780 14 TS,465,573 00 - 18,486,353 14 - 3,020,780 14 TS,465,573 00 - 18,486,353 14 - 3,020,780 14 TS,465,573 00 - 18,486,353 14 - 3,020,780 14 TS,465,573 00 - 18,486,353 14 - 3,020,780 14	PORTFOLIO CL A WEB NORTHM INSTL FDS INTL EQTY INDEX CUSIP 66578354 WEB NORTHM INSTL FDS INTL EQTY INDEX CUSIP 66578354 WEB NORTHM INSTL FDS INTL EQTY INDEX CUSIP 66578354 CUSIP 66578354 PORTFOLIO CL A PORTFOLIO CL A TS,465,573 00 TS,465,573 00 TS,465,573 00 TS,465,573 00 TS,465,573 14 TS,465,573 00 TS,486,353 14 TS,465,573 00 TS,465,573 00 TS,465,573 14 TS,465,573 00 TS,465,573 14 TS,465,773 14 TS,46

71-0285871 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

Generated by The Northern Trust Company from periodic data on 26 Jan 01

Investn	nent Transaction Detail						Page 6 of 20
Trade date	Security description	01 1040	-	-		tealized gain/loss ——	
Settle date Trade Status	Asset ID Broker/Commission	Shares/PAR Price	Transaction amount	Cost	Market	Translation	Tota
Purchases	s					_	
Equities		-		<u>-</u>			
Common s	stock						
United Stat	tes - USD						4
1 May 00 8 May 00	NTG) COM MONTHLY S&P 500/BARRA VALUE EQTY INDEX FD	3 331 220	65 317 66	65,317 66	0 00	0 00	0.0
Settled	CUSIP 003998192	0 000000	SE 470 00	05 470 00			
1 Jun 00 9 Jun 00	NTGI COM MONTHLY S&P 500/BARRA VALUE EQTY INDEX FD	1 298 810 0 000000	- 25,476 62	25 476 62	a aa	0 00	0 00
Settled	CUSIP 003998192			. 7/0			
2 Oct 00 10 Oct 00 Settled	NTGI COM MONTHLY S&P 500/BARRA VALUE EOTY INDEX FD CUSIP 003998192	477 700 050 0 000000	8 718 090 90	9,718 090 90	0 00	0 00	0 00
Total United S	States - USD	<u> </u>	- 9,808,885 18	9,808,885 18	0 00	0 00	0 00
Total common	n stock		- 9,808,885 18	9,808,885 18	0 00	0 00	0 00
Total equities	5		- 9,808,885 18	9,808,885 18	0 00	0.00	0 00
Total purchas	ies	482,330 08	- 9,808,885 18	9,808,885 18	0 00	0 00	0 00
Sales							
Equities							
Common s	stock						
United Stat	tes - USD						'
12 May 00	NTGI COM MONTHLY S&P 500/BARRA VALUE	0 000	0 00	- 11,132 35	- 11 132 35	0 00	- 11,132 35
12 May 00 Pending	EQTY INDEX FD CUSIP 003998192	0 000000					
12 May 00	NTGI COM MONTHLY S&P 500/BARRA VALUE	0 000	0 00	2,042 89	2,042 89	0 00	2,042 89
12 May 00 Pending	EQTY INDEX FD CUSIP 003998192	0 000000					
14 Jun 00	NTGI COM MONTHLY S&P 500/BARRA VALUE	0 000	0 00	1,014 88	1,014 88	0 00	1,014 88
14 Jun 00 Pending	EQTY INDEX FD CUSIP 003998192	0 000000					
14 Jun 00	NTGI COM MONTHLY SEP 500/BARRA VALUE	0 000	0 00	- 688 13	- 688 13	0 00	- 688 13
14 Jun 00 Panding	CUSIP 003998192	0 000000					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION

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Generated by The Northern Trust Company from periodic data on 26 Jan 01

Translation

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Investment Transaction Detail

Security description Security description Trade date Settle date rusde Status Market Cost Price Transaction Shares/PAR - Realized gain/loss

Sales

States - USD nn stock s		19,326,443 95	- 20,701,658 63	89 ptZ'G/5't -	00.0	00 5170401 -						
States - USD				£9 859, 107,0S -		00 0 89 b12,25(£,1 - £8 858,101,05 - 28 £bb,82£,81	00 0 89 \$12,276,1 - \$68 838,107,02 - 28 \$646,326,81	00 0 89 b12,27£,f - £3 858,107,02 - 39 Cht		- 20,701,658 63		89 Þ12,276,1 -
		19,326,443 95 - 2		- 1,375,214 68	00 0	89 412,275,1 -						
		19,326,443 95	£9 859,107,02 -	- 1,375,214 68	00 0	89 412,276,1 -						
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NTGI COM MONTHLY S&P \$600/RARRA VALUE	000 0	00 0	20 69 1 5	90 691 7	00 0	2,169 q						
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NTGI COM MONTHLY S&P 500/BARRA VALUE	000 0	00 0	- 249 22	249 22	00 0	- 249 22						
CN2Ib 00338135 E01.4 INDEX ED	000000 0											
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CO216 003998192 E017 INDEX FD	000000 0											
NTGI COM MONTHLY S&P 500/BARRA VALUE	000 0	00 0	ZI 18 -	21 18 -	00 0	ZI 18 -						
CN21b 003698165 E014 IMDEX ED	000000 0											
NTGI COM MONTHLY S&P 500/BARRA VALUE	000 0	00 0	C8 621	£6 67A	00 0	E8 81)						
EQ17 INDEX FD CUSIP 003998192	0000000											
NTGI COM MONTHLY S&P 500/BARRA VALUE	000 0	00 0	97 510,722	227,013 76	00 0	87 510,755						
CN2Ib 003388195 EG1.4 IMDEX ED	000000 0											
TIGI COM MONTHLY S&P 500/BARRA VALUE	000 0	00 0	44 476,ST	pp 478 ST	00 0	AA 478,27						
CO2IP 003998192 EG17 10DEX FD	000000 0											
NIG! COM MONTHLY S&P 500/BARRA VALUE	010 487 120 1 -	19,214,443 95	59 906,878 05 -	78 584,488,1 -	0 00	79 584 489 f -						
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amount

71-0285871 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

Investn	nent Transaction Detail						Page 24 of 61
Trade date	Security description		_			Realized gain/loss —	
Settle date Trade Status	Asset ID Broker/Commission	Share of Alv Price	Transaction amount	Cost	Market	Translation	Total
Sales							
Equities							_
Common si United Stat							
11 Dec 00	AVAYA INC COM	949 000	11 993 09	28 837 42	16 854 33	0 00	16 854 33
14 Dec 00 Settled	CUSIP 053499109 DONALDSON AND COMPANY INC / 5u 9- OTHER CHARGES 41	12 487500					
19 Dec 00 22 Dec 00	BIOGEN INC COM CUSIP 090597105	100 000	137 955 80	160 912 50	22 956 70	0 00	22 956 70
Settled	KNIGHT SECURITIES L P OTHER CHARGES 4 (0	£7 (53 QQ)					
21 Dec 00 27 Dec 00	BIOGEN INC COM CUSIP 090597105	1 400 000	d2 016 2v	85 000 00	2 983 74	0 00	2 983 74
Settled	KNIGHT SECURITIES L P OTHER CHARGES 2 74	58 SH 000					
27 Sep 00 2 Oct 00	BSTN SCIENTIFIC CORP COM CUSIP 101137107	5 + DO 000	59 481 17	89 991 00	30 509 83	0.00	30 509 83
Sculed	DONALDSON AND COMPANY INC / IN OU OTHER CHARGES 155	31 - 2 · 160					
28 Sep 00 3 Oct 00	BSTN SCIENTIFIC CORP COM CUSIP 101137107	5 _00 000	87 730 94	112 880 75	25 149 81	0 00	25 149 81
Settled	DONALDSON AND COMPANT INC 31, 00 OTHER CHARGES 2 94	h J 1000					
29 Sep 00 4 Oct 00	BSTN SCIENTIFIC CORP COM CUSIP 101137107	~ 200 000	69 271 22	72 564 50	3 293 28	0 00	- 3 293 28
Settled	DONALDSON AND COMPANY INC / _ 1 00 OTHER CHARGES 2 32	F , 00					
6 Dec 00 6 Dec 00	CITIGROUP INC COM CUSIP 172937101	0 0	30.39	19 71	11 17	0 00	11 17
Settled	CDSIF 1/250/101	0 000000					
3 Oct 00 6 Oct 00	DISNEY WALT CO COM CUSIP 154687106	10 400 000	413 570 63	389 742 75	23 836 88	0 00	23 836 88
Settled	DONALDSON AND COMPANY INC / 624 00 OTHER CHARGES 13 81	≀n q⁻q 00					_
11 Dec 00 14 Dec 00	ELI LILLY & CO COM CUSIP 532457108	PO) 000	74 100 52	81 898 00	7 698 48	0 00	- 7 698 48

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000 71-0285871

1, 31 (00

OTHER CHARGES

DONALDSON AND COMPANY INC 7 18 00

Settled

Total

Settled

29 Oct 00

▶ Investment Transaction Detail

CUSIP 345370360

Translation Market Cost Junouie Brot et/Commission Trade Status Trade date Shaushers Veset 10 Transaction Realized gain/loss Page 25 of 61

26 Oct 00	FORD NITE CO DEL COM PAR \$0.01	087-0	88 3	EE 9	\$10	
Equities						•
səjvS						

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PFIZER INC COM CUSIP 717081101 DONALDSOR AID COMFAITH HR 7 1:0 00	000 000 F	01 RZ7 1 8 1	00 089 511	13 OS I 90	00 0	150 11
OTHER CHEMEES 58 COST 1003 COSE 1000	0000°C 1					
MARCHEIRST INC COM COH STK LJIN,	000 00_ 1	6/ 1/8	140 762 27	SS 785 GEI	00 0	55 788 281
OTHER CHARGES OF HELZOG HEINE GEDWLD INC CUSIP Secatation USSCORTATION	002710 5					
MARCHERST INC COM CON 51K 1511/#	000 007	50 530 91	141 821 01	151 650 35		151 050 33
CUSIP 437076102 DONALDSON AND COMPANY INC / 1.38 00 OTHER CHARGES 2.58	0055 LP 85					
HOINE DEPOT INC COM	000 000	77 721 88	09 092 161	35 622 73	00 0	32 622 73
COSIP 365604103 DONALDSON AND COMPANY INC 7 / 2 00 OTHER CHERGES 2 0 1	00 7 to 0 ,					
GEN ELIC CO COM	866 06 1	66 000 09	66 247 00	10 910 5	00 0	10 942 6
COSIP 369604103 DOUALDSON AND COMPANY INC 7 142 00 OTHER CHARGES 4 37	ons design					
GEN ELEC CO COM	000 001 7	130 001 13	09 619 611 -	11 581 63	000	11 591 63
CAPITAL INSTITUTIONAL SVC / JOU 00 CAPITAL INSTITUTIONAL SVC / JOU 00 OTHER CHARGES 3 3 2	00: Sc + 61	71			, -	
GAP INC COM	000 001 c	ZZ G11 G6	- 189 737 25	85 713 00	000	84 713 06
OTHER CHAPGES 185 ESI SECURITIES CO 1313 50 CUSIP 361760108	000551 25					<u></u>
MOD THE COM	000 002 5	114 828 11	518 888 51	15 140 27	00 0	75 041 84
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71-0285871 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION The Northern Trust Company

OTHER CHAFFOR

Account Name WROCKEFELLER : EARNEST PART

The Morthern Frust Company

TOAN DO JET DEC 00

1782820-17 12/31/2000 990-PF

THE WINTHROP ROCKFELLER FOUNDATION

04 \$18,084 -	00 0	- 480'e15 40	65 058,536,5 -	2,473,218 09	93 849 05		Total sales
04 213,084 -	00 0	- 480 612 40	- 2,953,830 49	2,473 218 09			Total equities
04 S13,084 -	00 0	- 480,612 40	5'823'830 48	\$1473 216 09		10015	Total common
04 213,084 -	00:0	- 780 015 10	5 823 830 48	5 173 214 UU		OSU - salah	Total Uni,ed Si
			<u> </u>		00(0f/ t	CUSIP 642544103 DONALDSON AND COLIFAIL INC 1246 00 OTHER CHARGES 703	Settled 1 NOV 00
19 99 91	00 0	10 662 01	530 103 00	510 200 00	000 024 -	SUN TR BANKS INC COM	27 Oct 00
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Page 26 of 61						hered northernal ringe	_

Translation

- Realized gain/loss

Market

Cost

amount

Transaction

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Total

Investment Transaction Detail

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Trade date
Setting date
Trade Status

Broker/Commission

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Shares/PAR Price Sales

Equities

Common stock

Israel - USD

728 914 31	00 0	228 914 31	58 551 162	91 0 70,0 s 2	000 006 9	ADR TEVA PHARMACEUTICAL INDS LTD ADR ISIN #US8816242098 CUSIP 881624209 MERRILL LYNCH PIERCE FENNER & SMITH THREREL LYNCH PIERCE FENNER & SMITH THRERE STANER & SMITH	25 Sep 00 28 Sep 00 Settled
48 418 22	00 O	48 418 22	SS 222 861 -	LL 10L 90Z	000 007 p -	ADR TEVA PHARMACEUTICAŁ INDS LTD ADR ISIN #USBB1624209 CUSIP BB1624209 SMITH BARNEY INC OTHER CHARGES 8 23	00 nut 51 Selifed

THE WINTHROP ROCKFELLER FOUNDATION
12/31/2000

1782820-17

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Investment Transaction Detail

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1782820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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					36 145300	OTHER CHARGES 3 98 CUSIP 925301103	00 nul CS belited
- 21 388 83	00 0	E8 66C 15 -	₽ € 270,071	18 872 614	000 000 C -	ADR VERSATEL TELECOM INTL N V	20 Jun 00
					37 804100	OTHER CHARGES 4 79 CUSIP 925301103	22 Jun 00 Settled
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					37 200000	SMITH BARNEY INC	ballia2
- 32 648 49	00 0	66 869 56 -	151 502 63	P1 255 58	5 300 000	ADR VERSATEL TELECOM 1NTL N V CUSIP 925301103	00 AUL 81 00 AUL 12
					36 312500	OTHER CHARGES 182 CUSIP 925301103	Settled
- 54 280 55	00 0	- 54 280 55	21 740 67 -	24 466 93	- 1 200 000	ADR VERSATEL TELECOM INTL N V	00 nut 21
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Account Name WROCKEFELLER ESSEX

Translation

Realized gain/loss

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Settle date

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Investment Transaction Detail

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17 Mar 00 Settled	CUSIP 17214R152 MERRILL LYNCH PIERCE FENNER & SMITH THE CHARGES 1 90	000000 ÞÍ 1				_	
14 Mar 00	ADA J Z Z TEL P L C ADA	200 000	01 866 99	56 801 50	30 196 60	00 0	30,196 60
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00 TSM P	OIAGEN N V COM	٠ ١ ٥٥٥ ٥٥٥	243 291 88	109 928 38	133 883 20	00 0	133 663 50
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12/31/2000 44-099 THE WINTHROP ROCKFELLER FOUNDATION

71-0285871

Generated by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

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Detail	Transaction	Investment
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2 Mar 00 7 Mar 00 Settled	GOLDMAN SACHS & COMPANY TOSUN MICROSYSTEMS #2 850213 12/06/00 #REORG COBALT NETWORKS INC STK MERGER	000 001 000347 68	0E Þ26 B	13 841 34	40 738 A -	00 D	PO 298 P -
00 15M 7 00 15M 01 ballfac	OTHER CHERGES 131 OTHER CHERGES 131 WEGORG COBALT NETWORKS INC STK MERGER TO SUN MICROSYSTEMS & SOOR 12 12/06/100 THER CHERGES 131	000520 88 - 400 000	39 208 69	44 S44,85 -	27 8ES -	00 0	SZ 952 -
29 Feb 00 Settled	OTHER CHERGES 87 OSUM MICROSYSTEMS #2-850213 12/06/00 #REORG COBALT NETWORKS INC STK MERGER	000 000 -	LS 296 61	78 766,12 -	- 5 032 30	00 0	- 2,035 30
28 Feb 00 10 Mar 00 Settled	OTHER CHARGES 237 CHORN MICROSYSTEMS #2 850213 12/06/00 #REORG COBALT NETWORKS INC STK MERGER #REORG COBALT NETWORKS INC STK MERGER	000 007 0033\$£ 101	52 926 07	130 61	p9 S61 p	00 0	+9 SQL +
25 Feb 00 8 Mar 00 Settled	OTHER CHRRGES 3 89 OCUSIP 19074R101 #REORG COBALT NETWORKS INC STK MERGER #REORG COBALT NETWORKS INC STK MERGER	1,100 000	98 †99 911	89 S84 641 -	- 35 850 80	00 0	- 32 820 80
United State	asu - mobgail asu - se		79 262,859,1	\E !!E,E\O,! -	0£ 482,282	00 0	222,284 30
00 14A 81 00 14A 62 ballie2	ADR JAZZTEL P L C ADR CUSIP 47214R152 CUSIP 47214R162 OTHER CHARGES 9 60	000 008 & - 002753 @b	06 628,782	98 265,80s -	96 797 21 -	00 0	96 797 21 -
15 Mar 00 20 Mar 00 Settled	ADR JAZZTEL P L C ADR CUSIP 47214R152 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 9 85	3 100 000	592 542 93	79 270 991 -	92 671 621	00 0	95 ET1 621
Equities							
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Trade date Settle date Trade Status	Security des <u>cription</u> A <u>sset ID</u> Broker/Commission	ЯА <u>9\гэла<i>ћ2</i></u> Эліл <mark>Ч</mark>	Transaction	FoO	Market	eilized gain/loss	lsjoT

73-028-68 FUNDARION 12/31/2000 71-028-68 71-028-68 71-028-68 7

OTHER CHARGES

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Ports of Statement

Equities

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Investment Transaction Detail

Trade Status Broker/Commission Price amount Cost Market Translation Tota

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80 781 85	00 0	80 281,82	pp 1 p2 'p01	162 923 52	000 009,1 -	#REORG PE CORP N/C APPLERA CORP-APPLIED BIOSYS GRP 2023356 @1 11/30/00 CUSIP 693325102 BEAR STEARNS, SECURITIES CORP / 96 00 DTURER STEARNS, SECURITIES CORP / 96 00	00 vov 41 00 vov 71 belile2
28 618'ZvI	00 0	18 618, 241	95 121,252 -	C7 176 //9	5 200 000	#REORG PE CORP N/C APPLERA CORP APPLIED HIGSYS GRP 2023356 ((1) 1/30/00 HRST BOSTON CORPORATION / 260 00 OTHER CHARGES 22 61	3 Nov 00 8 Nov 00 Sattled
38 DET, 3E	OD D	36 730 86	88 428 S 4 -	85 222 54	000000 811	#REORG PE CORP N/C APPLERA CORP / 42 00 CUSIP 693325102 BEAR STEARNS SECURITIES CORP / 42 00 OTHER CHARGES 2 76	29 Sep 00 4 Oct 00 Settled
\$3¢ ee5 30	00 0	53¢ ee5 30	> 568 399 9	603 062 24	155 762200	#REORG PE CORP N/C APPLERA CORP APPLIED BIOSYS GRP 2023358 (B) 1/30/00 MAGNA SECURITIES CORPORATION / 246 00 OTHER CHARGES 16 78	S Sep 00 Settled
El 155 Þ8	00 0	CI ISS va	21 PSB 211	50S 388 58	000005 Z11	HREORG PE CORP N/C APPLERA CORP-APPLIED BIOSYS GRP 2023350 (A)1 1/30/00 CUSIP 693325102 BEAR STEARUS SECURITIES CORP / 108 00 OTHER CHARGES 6 75 OTHER CHARGES	21 Sep 00 Settled
EE 767 E2E	00 0	EE 767 E2E	75 013 500,1 -	23 700,725 I	000 006 S1 000745 201	#REORG PE CORP N/C APPLERA CORP-APPLIED BIOSYS GRP 2023358 (Ø1 1/30/00 THOMAS WEISEL PARTNERS LLC / 645 00 THOMAS WEISEL APRINERS LLC / 645 00 THOMAS WEISEL ARTNERS LLC / 645 00	19 Sep 00 22 Sep 00 Setitled
- 34 225 24	00 0	- 34 552 54	25 609 ZOI	CB 384 58	- 800 000	OTHER CHARGES 2 28 COSID 19074R101 TOSUN MICROSYSTEMS #2-850213 1206600 #REORG COBAL RETWORKS INC STK MERGER	00 15M 8 8 Mat 00 5 belited
87 168,6 -	00 0	87 168 6 -	89 789 47 -	06 06Z Zł	009256 88	#REORG COBALT NETWORKS INC STK MERGER CUSIP 19074R101 GOLDMAN SACHS & COMPANY #REORG COBALT NETWORKS INC STK MERGER OTHER CHARGES 60	3 Mar 00 8 Mar 00 Settled

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THE WINTHROP ROCKFELLER FOUNDATION 990-PF 72/37/2000 73/37/2000

The Northern Trust Company

OTHER CHARGES

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Sales

Investment Transaction Detail

Security description Asset ID Broker/Commission Trade date Settle date Trade Status Total Translation Cost Market Inuome Price Transaction Shares/PAR Realized gain/loss Page 50 of 225

90 078 88	00 O	90 OT8 88 -	80 OZZ, 2 ZE -	538 320 00	2 200 000	#REORG PHONE COM INC N/C TO OPENWAVE SYSTEMS INC 2685999 EFF 11/20/00 CUSIP 719200100 FIRST BOSTON CORPORATION OTHER CHARGES 7 88	00 APA SI 00 APA VI Settled
₱8 622°Z6 -	00 0	- 92 229 84	58 784 <u>2</u> 75 -	580 528 09	000 000 2	#REORG PHONE COM INC N/C TO OPENWAVE SYSTEMS INC 2685999 EFF 11/20/00 CUSIP 71920Q100 FIRST BOSTON CORPORATION OTHER CHARGES 9 35	00 14A F1 00 14A P1 Settled
06 070 085 -	00 0	06 070 08S -	SS 616 pp8 -	59 848 4 95	000 005 8 -	#REORG PE CORP N/C TO APPLERA CORP CELERA GENOMICS GRP 2023357 @1 11/30/00 CUSIP 69332S201 CUSIP 69332S201 CUSIP 69332S201 CUNER CHARGES 18 85	11 Oct 00 16 Oct 00 Settled
94 714,1 -	00 0	9/	66 222 621 -	£2 508 7 21	000 00E 1 - 0008\E 86	#REORG PE CORP N/C TO APPLERA CORP CELERA GENOMICS GRP 2023357 (@1 11/30/00 CUSIP 693325201 BEAR, STEARNS SECURITIES CORP / 78 00 OTHER CHARGES 4 27	29 Sep 00 4 Oct 00 Settled
ST T 6 8,58S -	00 O	Z/ /65 ESZ -	1 562 514 54	ZO 219 886	000 002'11 -	#REORG PE CORP N/C TO APPLERA CORP CUSIP 693325201 BEAR STEARNS SECURITIES CORP / 702 00 OTHER CHARGES 32 98	00 guA 11 00 guA 81 beitte2
Z9 099 ZEZ -	00 0	Z9 099 <u>/</u> £7 -	01 SSB SSS -	BF 191 S1E	3 000000	#REORG PE CORP N/C TO APPLERA CORP CUSIP 693325201 BEAR, STEARNS SECURITIES CORP / 228 00 OTHER CHARGES 10 52	00 14A Et 00 14A ES belitied
06 625 801 -	ao a	00 EST 901 -	- 494 630 30	OP 318 TBE	3 400 000	#REORG PE CORP N/C TO APPLERA CORP CUSIP 693325201 CORP / 204 00 CORP / 204 00 OTHER CHARGES 12 94	00 Apt 01 00 Apt Et bellie2
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Generaled by The Northern Trust Company from periodic data on 26 Jan 01

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

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Sales

Investment Transaction Detail

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00 ga2 i i Sep 00	CUSIP 71920Q100 SYSTEMS INC 2685999 EFF 11/20/00 #REORG PHONE COM INC N/C TO OPENWAVE	000 007,5 -	291 11 79	- 382 204 15	- 94 386 33	00 0	EE 98E'ÞG -
	OTHER CHARGES 971						
00 dag (SYSTEMS INC 2685999 EFF 11/20/00	- 6,600 000	S1 658 697	TT 121,E1T -	8E 7ST 88	00 0	56,727,38
pajjja	CUSIP 71920Q100 PIPER JAFFRAY INC OTHER CHARGES 25 67	00//#9 911					
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00 ysM 00 ysM	OPENWVESYS INC 2685999 @1 16105 11/20/00 #REORG SOFTWRE COM INC STCK MRGR	- 4 300 000	346 327 65	- 609 430 32	- 263 102 70	00 0	- 563 102 /-
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The Northern Trust Company

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Investment Transaction Detail

The Northern Trust Company

THOMAS WEISEL PARTNERS LLC

WETHER SYSTEMS INC COM

OTHER CHARGES

CO21P 00808V105

Settled

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28 Jul 00

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	nolisiznatī	Market	JeoJ	Iransaciion smount	93114	Asset ID Broket/Commission	Trade Status
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						OTHER CHARGES 5 47	
					273 275000	COSIP 00808V105 CUSIP 00808V105 CUSIP 00808V105	Nat 00 Settled
112 808 23	00 0	112 809 23	00 060 84 -	ES 656 E01	000 000	AETHER SYSTEMS INC COM	14 Mar 00
					007526 05	OTHER CHARGES 21 41 CUSIP 00764A105 CUSIP 00764A105	Settled 30 Jun 00
17 288 07	00 0	17 592,07	06 614,1TB -	19 286 1 199	- 15 600 000	ADVANCED FIBRE COMMUNICATIONS INC COM	00 nut 12
		,			000575 68	CUSIP 00754P105 CHASE H&Q OTHER CHARGES 6 93	Settled
Br da	00 0	40 184 62	- 167,620 95	20 805 57	- 3 200 000	ADVANCED FIBRE COMMUNICATIONS INC COM	20 Jun 00
		۲		/1 10722	26 100000	OTHER CHARGES 9 49 CUSIP 456817105 CUSIP 456817105	Pending
PO 861 181 -	00 0	₽0 861 181	55 870 804	784 480 21	000 006 01	A 2 ATZIVOJNI ROA	28 Dec 00
				/1 1 0722	Z4 422000	OTHER CHARGES 66 CERIMAN BROTHERS INC NEW YORK CUSIP 456817105	2 Jan 01
99 098'91 -	00 0	99 098 91 -	- 36,400 00	PE 668 61	000 00B -	A 2 ATZIVÔJNI ROA	27 Dec 00
18 805,19 -	00 0	18 828 19 •	- 381 613 10	6S Þ\S,0SC	- 14 000 000	#REORG SOUTHERN ENERGY INC DEL N/C TO MIRANT CORP 2537659 (B) EFF 1/19/01 CUSIP 842816100 BEAR, STEARNS, SECURITIES CORP / 840 00 OTHER CHARGES 10 71	8 Dec 00 13 Dec 00 Settled
05 848 50	ao o	05 848,52 -	- 230,643 15	59 467 702	Se 032500 8 000 000	#REORG SOUTHERN ENERGY INC DEL N/C TO CUSIP 842816100 BEAR STEARNS SECURITIES CORP / 480 00 OTHER CHARGES 6 95	00 VOV 01 15 VOV 00 Settled
\$7 ece c2 -	00 O	27 858 52 -	1 529 009 41	69 690 521	93 369300	#REORG SOFTWRE COM INC STCK MRGR OPENWVESYS INC 2685999 @1 16105 11/20/00 FIRST BOSTON CORPORATION FIRST BOSTON CORPORATION OTHER CHARGES 5 84	5 May 00 Settled Settled
							Equities

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12/31/2000

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Translation

- Realized gain/loss

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Investment Transaction Detail

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57 Dec 00	CUSIP 00808V105 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 2 85	001078 SE					
00 and 19	AETHER SYSTEMS INC COM	- 2 000 000	17 657 58	28 110'982 -	11 228 861 -	00 0	1 199 852
241144 56 Dec 00	CUSIP ODBOBVIOS OTHER CHARGES \$ 10	0095/2 /£			·		
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souled St Dec 00	CUSIP O0808V105 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES S8	45 902000					
00 29G 8I	AETHER SYSTEMS INC COM	000 005 -	17 160 22	- 44 833 26	ÞE 673 72 -	00 0	- 27,673 34
Dec 00	OTHER CHARGES 4 23 CUSIP 00808VI05	000100 05					
00 VON 66	AETHER SYSTEMS INC COM	- 5 200 000	150 049 05	283,714 75	ZZ \$90 Z\$1	00 0	ZZ 590 ZSI -
\$\$11jeq 3 Oct 00	CUSIP 00808V105 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 10 59	000954 22					
0 04 00	AETHER SYSTEMS INC COM	4 100 000	10 655,715	- 342,632 02	10 670 62 -	00 0	10 ETO,85 -
pajites 00 120 f	CUSIF GORGAYIOS CUSIF GORGAYIOS 2 14	001208 901					
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00 daS 83	OTHER CHARGES IN BA CUSIP 00808V105	000578 051					
00 das 9	AETHER SYSTEMS INC COM	- 3'400 000	91 096 777	ÞE 687,012 -	82 839 18	00 0	81 668,28

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Transaction

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Generaled by The Northern Trust Company from periodic data on 26 Jan 01

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Market

Cost

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218 447 67

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Total

Page 53 of 225

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11-0285871 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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Price Shares/PAR The Northern Trust Company

OTHER CHARGES

CUSIP 009367103

OTHER CHARGES

COSIP 00808V105

AIRGATE PCS INC COM

PETHER SYSTEMS INC COM

Settled

Settled

28 Dec 00 55 Dec 00

00 15M EI

32 Feb 00

01 11

2 30

DONALDSON LUFKIN & JENRETTE SECURITIES

MERRILL LYNCH PIERCE FENNER & SMITH

Translation

- Realized gain/loss

Market

Cost

Total

Page 54 of 225

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

Investment Transaction Detail

Security de<u>sc</u>ription Asset ID Broker/Commission

The Northern Trust Company

OTHER CHARGES

CO21P 03822W109

TROSTER SINGER CORP

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Trade date Settle date Trade Status

Equities

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52 Sep 00	APPLIED MICRO CIRCUITS CORP CDT COM	5 300 000	487 583 74	77 844 214 -	72 134 97	00 0	72 134 97
Sellied Se Sep 00	OTHER CHARGES 8 20 MERRIFL LYNCH PIERCE FENNER & SMITH CUSIP 03822W109	190 430900					
21 Sep 00	APPLIED MICRO CIRCUITS CORP CDT COM	- 1,300 000	16 155 745	234 B18 BT	12 733 04	00 0	40 EET,S!
A Dec 00 Settled	CUSIP 037411105 BEAR STEARNS, SECURITIES CORP / 366 00 OTHER CHARGES 11 75	000057 72					
29 Nov 00	APACHE CORP COM	000 001 9 -	32 1897 25	00 990 601 -	ST 801 TZ -	00 0	891 72
Sellied Sellied	CUSIP 037411105 BEAR STEARNS SECURITIES CORP / 510 00 OTHER CHARGES 17 09	90 315200					
20 Nov 00	APACHE CORP COM	000 005 B -	512 129 16	00 010'025 -	48 OBB 72 -	00 0	18 088 72 -
28 2eb 00	CUSIP GOSCOSIOS BEAR STEARNS SECURITIES CORP / 720 00 OTHER CHARGES 25 48	63 694300					
52 Sep 00	AMDOCS LTD COM	- 12 000 000	763 586 12	OB Þ61 257 -	11 391 35	00 0	11,391 32
Settled 30 May 00	CUSIP 016714107 MONTGOMERY SECURITIES OTHER CHARGES 4 54	00 <u>2</u> 077 3£					
24 May 00	ALLAIRE CORP COM	3 200 000	136 045 20	- 278 567 24	- 145 522 04	00 0	142,522 04
Settled Settled	CUSIP 016714107 MONTGOMERY SECURITIES OTHER CHARGES 11 73	40 431800					
23 May 00	ALLAIRE CORP COM	000 007 8 -	321 744 93	67 071,038	- 308 452 86	00 0	308,425 86
20 Mar 00 Salifed	CUSIP 009717101 JP MORGAN SECURITIES INC OTHER CHARGES 26 04	544 103900					
15 Mar 00	AKAMAI TECHNOLOGIES INC COM STK	- 3 500 000	PA 301 187	- 462,636 18	318,470 26	00 0	318,470 26
Nat 00 Settled	CUSIP 009717101 1 P MORGAN SECURITIES INC OTHER CHARGES 10 17	277 345300				· · · · · · · · · · · · · · · · · · ·	
00 16M Pr	AKAMAI TECHNOLOGIES INC COM STK	- 1 100 000	99 690 508	- 282 715 29	22 354 37	00 0	35 32 4 35

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Transaction

Price

Shares/PAR

71-0285871 12/31/2000 990-PF

THE WINTHROP ROCKFELLER FOUNDATION

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The Northern Trust Company

Investinent Transaction Detail

1782820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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311,202,75	00 O	311 202 75	02 586 80Þ -	26 781,0 <u>5</u> 7	000 000 S 8E1	ARIBA INC COM CUSIP 04033V104 LEHMAN BROTHERS INC OTHER CHARGES 24 01	00 guA 11 00 guA 31 ballfe2
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-9 M19 A81 -	00 0	58 419 481 -	82 495 562 -	EÞ 6Þ6 011	000 057 8 0027C# 81	ARADIGM CORP COM CUSIP 038505103 FIRST BOSTON CORPORATION OTHER CHARGES 3 70	00 16M 6S 00 14A C belite?
19 712,255 -	00 0	19 215 922 -	- 381 301 05	14 687 231	000 007 8	ARADIGM CORP COM CUSIP 038505103 FIRST BOSTON CORPORATION OTHER CHARGES 5 53	00 Mar 00 15 Mar 00 Settled
- 183 242 90	00 0	06 242 E91	80 867 705 -	81 SGÞ ÞÞ1	51 220000 e 800 000	ARADIGM CORP COM CUSIP 038505103 FIRST BOSTON CORPORATION THER CHARGES 4 82	00 18M CS 30 Met 00 Settled
10 705,205 -	00 0	- 209 207 01	86 844 774	72 6ES,88S	52 456400 - 10 220 000	ARADIGM CORP COM CUSIP 038505103 FIRST BOSTON CORPORATION THER CHARGES 8 95	24 Mar 00 29 Mar 00 Settled
212 808 77	00 0	- 212 806 77	- 888 600 53	97 667 678	000 007 p -	APPLIED MICRO CIRCUITS CORP CDT COM CUSIP 03822W109 MONTGOMERY SECURITIES OTHER CHARGES 22 53	27 Oct 00 1 Nov 00 Settled
27	00 0	27 325 EE -	- 143 783 43	17 724 011	000 007 - 000208 721	APPLIED MICRO CIRCUITS CORP CDT COM CUSIP 03822W109 OTHER CHARGES 3 69	20 Oct 00 32 Oct 00
8 120 di	00 0	8 120 41	- 164 323 92	172 444 33	- 800 000	APPLIED MICRO CIRCUITS CORP CDT-COM CUSIP 03822W109 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 5.75	Settled 4 Oct 00 29 Sep 00
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IstoT	esolivied galnioss	Market	JsoO	Transaction Jnuoma	Я <u>АЧ\гэль́д?</u> ЭлілЯ	Security description Asser ID Broker/Commission	Trade date Settle date Trade Status

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

11-0285871 12/31/2000

The Northern Trust Company 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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OTHER CHARGES

					000887 68	USO4289-107 CUSIP 04289-107 FIRST UNION CAPITAL MARKETS CLEARANCE FIRST UNION CAPITAL MARKETS CLEARANCE 180 OTHER CHARGES 180	4 Oct 00 Settled
21 826,2 -	00 0	- 2 928 15	21 628 95 -	00 178 52	000 009	ART TECH GROUP INC OC-COM ISIN	00 des 62
					000000 96	USO4289L107 CUSIP 04289L107 CHASE HAQ OTHER CHARGES 10 56	Settled
4 229 28	00 0	4 229 28	- 315 260 16	₱₱ 68Z 91E	3 300 000	ART TECH GROUP INC OC COM ISIN	25 Sep 00
					120 112400	OTHER CHARGES 16 42 CUSIP 04033V104	8 Nov 00 Settled
+ 1 1 8	00 0	Z# 1#B	- 491 615 25	492 456 72	4 100 000	РВІВА ІИС СОМ	1 Nov 00
					114 283300	CUSIP 04033V104 CUSIP 04033V104 1 15	10 Oct 00 Settled
24 487 30	00 0	24 487 30	Þ\$ 988 G -	34 373 84	300 000	АЯІВА ІИС СОМ	00 150 \$
					001728 611	CUSIP 04033V104 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 2 00	Settlad Settlad
43 433 88	00 0	43 433 88	95 774,91 -	52 116,65	000 00\$	ARIBA INC COM	3 Oct 00
					00027B 4E1	CUSIP 04033V104 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 90	S Oct 00 Settled
50,383 08	00 0	50 383 08	ZO 169 9 -	01 476 82	- 200 000	ARIBA INC COM	2 Oct 00
					120 631500	CUSIP 04033V104 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 2 01	4 Oct 00 Settled
24 890,74	00 0	ZÞ 890'ZÞ	13 182 05	60 250 47	000 000 -	ARIBA INC COM	29 Sep 00
			-		149 976200	CUSIP 04033V104 OTHER CHARGES 7 00 OTHER CHARGES 7 00	Settled 3 Oct 00
163 822 50	00 0	163 855 20	81 46,137 18	89 696 602	1 400 000	ARIBA INC COM	58 2eb 00
					000878 781	OTHER CHARGES 11 IE CUSIP 040334104	Settled Settled
\$≥ 689 €\$2	00 0	259 689 42	- 12 049 45	18 867,466	- 2'000 000	ARIBA INC COM	25 Sep 00
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Page 56 of 225						ent Transaction Detail	



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<u> </u>				000578 601	OFFER CHARGES 12.09 CUSIP MISSARIOA	00 guA 5 bailted
00 0	176 263 02	- 186,312 39	362 575 41	3 300 000	AUDIO CODES COM	00 IUL 82
				138 000000	OTHER CHARGES 13 34 ROBERTSON STEPHENS & COLR	21 Mar 00 Settled
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				140 321500	OTHER CHARGES 11 23 CUSTP MISJATION	64 Mar 00 belifed
00 0	124 360 37	- 185 400 00	336 760 37	3 400 000	AUDIO CODES COM	00 15M €
_ 					OTHER CHARGES 8 65	
				43 550800	CUSIP 04289L107	pailing
00 0	50 69¢ 271	02 287,164	\$1 916 6\$2	000 000 9 -	ART TECH GROUP INC OC-COM ISIN	9 Nov 00
				000000 07	THOMAS WEISEL PARTNERS LLC THOMAS WEISEL PARTNERS LLC 9 34	рајува
				000000 07	701.168\$ bOSU	00 IPO 8
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₩29'Z1 ÷	00 0	ZO Þ/29 / 1 -	ÞS Þ98 18 -	64 190 52	22 135400	AUDIO CODES COM CUSIP M15342104 PIPER JAFFRAY INC OTHER CHARGES 2 14	21 Nov 00 27 Nov 00 21 Nov 00
SS 177 81 -	00 0	95 1/2 81 -	SP 289 PB -	06 916 59	000 000 E - 007276 12	AUDIO CODES COM OTHER AFFRAY INC OTHER CHARGES 2 20	26 Mov 00
81 768,6 -	00 0	81 769 6 -	St 595 19 -	42 89B 15	25 935000 25 935000	AUDIO CODES COM (USIP MISSA2104 PIPER JAFERAY INC OTHER CHARGES 173	22 Nov 00 Seifled
60 058 82 -	00 a	- 58 230 09	95 021 30	17 105 99	2 100 000	OTHER CHARGES 2 22	20 Nov 00 20 Nov 00 20 Nov 00
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88 EMI,TT -	00 0	66 E91 <i>LL</i>	02 E11 661 -	151 363 51	000 00p p	AUDIO CODES COM CUSIP M15342104 PIPER JAFFRAY INC OTHER CHARGES 4 07	13 Nov 00 18 Nov 00 Seitled
08 252 08 -	00 0	- 20 535 60	09 608 ৮৮١ -	00 <i>LLS</i> Þ6	3 500 000	AUDIO CODES COM CUSIP MISSAS104 PIPER JAFFRAY INC OTHER CHARGES 3 16	70 Nov 00 15 Nov 00 Settled
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Page 58 of 225						ient Transaction Detail	Investm

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DB CLEARING SERVICES CUSIP 051920106

AURORA BIOSCIENCES CORP COM

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OTHER CHARGES

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The Northern Trust Company

OTHER CHARGES

CUSIP 073325102

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FIRST UNION CAPITAL MARKETS CLEARANCE

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Translation

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00 nut 6	BEA SYSTATION	13 400 000	245 356 85	60 662 864	44 027 73	00 0	ET 720 pp
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00 חטר 5	BEA SYS INC COM	- 9 300 000	383 509 02	- 419,960 12	ZO 169 9E -	00 0	20 169 92 -
Settled Settled	CUSIP 073325102 FIRST BOSTON CORPORATION OTHER CHARGES 2.26	32 283300					
00 YSM 61	BEY 218 INC COM	000 00e f -	10 909 79	- 35 B13 BB	86 705 22 -	00 0	- 52 30 <u>1 P</u> -
oo kew e	CUSIF 07335102 CUSIF 07335102 CUSIF 07335102	009EÞZ SÞ					
90 YEM 1	BEF 242 INC COM	8 600 000	393 381 84	- 385 201 02	67 088 O1	00 0	67 088 01
5 May 00 Settled	CUSIP 073325102 FIRST BOSTON CORPORATION OTHER CHARGES 10 52	20 062500					
00 YSM 9	BEA SYS INC COM	- 6 300 000	212 383 53	74 478 46S -	97 807 02	00 0	97 807,02
Settled 13 Oct 00	CUSIP 068306109 BEAR STEARUS SECURITIES CORP / 336 00 OTHER CHARGES 10 61	002067 82					
00 PO 01	BARR LABS INC COM	- 2 600 000	IS 878 TIE	96 981 GOÞ -	S# 805 16	00 0	S# 80\$ 16 -
Oo 120 s	CUSIP 068306109 CUSIP 068306109 CUSIP 068306109	000057 73		- 1			
00 daS 6	BARR LABS INC COM	000 008 -	61 821,42	- 28 422 58	4 597 09	00 0	e0 162 p -
88 Settled	CUSIP 008306109 BEAR STEARNS SECURITIES CORP / 276 00 OTHER CHARGES 10 62	69 256800					
00 des 5	BARR LABS INC COM	000 009 7 -	318 294 66	- 336 117 86	17 823 20	00 0	oz es8 T1 -
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12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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Settle date Trade Status

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Investment Transaction Detail

BROADCOM CORP CL A CUSIP 111320107 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES \$ 09	000 000 1	16 464 521	98 Þ41 '907 -	56 6 29 E9	00 0	58 8Z9 ES -
OTHER CHARGES 8 15 MORGAN STANLEY & CO INC CUSIN 113220107	103 000000	CB 455 067	62.077'078	05 077 CG	20.0	Ob 027 50 -
CUSIP 055482103 BEER STEARNS SECURITIES CORP / 330 00 OTHER CHARGES 11 33	000057 13					82 217 62 -
B1 SVCS CO COM CUSIP 055482103 MACHA SECURITIES CORPORATION / 294 00 OTHER CHARGES 9 98	000 006,4 -	25 720 885 52 720 885	- 353 384 61	96 736 92	00 0	95 795,45 -
DI SACS CO COM OTHER CHARGES 5 30 CHER CHARGES 5 30 CHER CHARGES 6 30	ea 0e5200 - 5 300 000	S\$ 007,821	19 161,121 -	86 206 9	00 a	88 208'9
BJ SVCS CO COM OTHER CHARGES 12 83 OTHER CHARGES 12 83	000 001,2 - 0027EA 27	384 415 45	328 594 39	E0 818 7Þ	00 0	EO 818 ZÞ
BEST BUY INC COM STK CUSIP 086516101 OTHER CHARGES 20 22	000 000 - 8 202300	61 669 \$09	10 690 811 -	28 898 271 -	00 0	28 698 271 -
OTHER CHARGES 1541 OTHER CHARGES 1541 DEST BUY INC COM STK	0050b5 b7 000 000 6	401 763 69	95 SSE 764	// 855 SE -	00 0	11 858 5E -
BEA SYS INC COM CUSIP 073325102 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 2 06	009590 15	pg 969 19	81 611 88 -	6\$ 918 S	00 0	65 818 5
Asset ID Broker/Commission	SA9\zeaug Price	Transaction Inuorna	isoD	Market	noitsiznasī	ls10T
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12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 7 2/3 1/2000 7 1-02858 7 1

Generated by The Northern Trust Company from periodic data on 26 Jan 01

					232 745200	ONZILIESTIOBY BARNEY INC CUSIP TITESTIOB #USTITESTIOB #USTITESTIOB	26 Sep 00 Settled
	00 0	EE SE8 C9	- 215 649 60	279 284 93	000 002'1 -	BROCADE COMMUNICATIONS SYS INC COM ISIN	21 Sep 00
					006987 271	OTHER CHARGES 14 98 CUSIP 111621108 #US111621108	00 gu∧ S Seitied
0 00 277 155 16	00 0	27 122 16	- 172 075 80	96 052,854	- 2,600 000	BROCADE COMMUNICATIONS SYS INC COM ISIN	OO IUL BS
126 821	00 0	99 727 861	- 92 656 20	551 383 8 6	000 00p,t -	OTHER CHARGES 7 38 PROCADE COMMUNICATIONS SYS INC COM ISIN #US 11621108 BROCADE COMMUNICATIONS SYS INC COM ISIN	Settled
102 801		33 202 801			000 007 1	OTHER CHARGES 3 78	
					000057 141	MORGEN STANLEY & CO INC CUSIP 111621108 #US1116211087	So nut oo Settled
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71 700 0b	00 O	49 0 9 2 17	06 Þ01 ZZ;	20 761 152	000 009 I	BROCADE COMMUNICATIONS SYS INC COM ISIN #US116211087 WONTGOMERY SECURITIES MONTGOMERY SECURITIES OTHER CHARGES 7 38	00 nut e 00 nut àr Seilled
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6\$ 028,781	00 0	65 028 781	25¢ 38 <u>1</u> 60	412,208 19	000 005 1 -	BROCADE COMMUNICATIONS SYS INC COM ISIN #US1116211087 CUSIP 111621108 SMITH BARNEY INC SMITH BARNEY INC SMITH BARNEY INC	00 16M \$1 00 16M \$1 Settled
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Z8 761 304	00 0	28 761 JOh	15 EZS 7e -	EE 157 E02	239 85300	BROADCOM CORP CL A CUSIN 111320107 CUSIN THATOLOGY TO MORGAN SECURITIES INC	Settled Settled Settled
					215	MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 23.74	be(ma2
11 250,631	00 0	11 550 691	Z8 Þ10'EÞS -	712 049 93	- 3 300 000	BROADCOM CORP CL A	00 Jut 85 00 guA S
							Equities
							sajes

Transaction Inuoms

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Shares/PAR earre

Account Name WROCKEFELLER-ESSEX

Translation

Realized gain/loss

Market

Total

Page 61 of 225

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Trade date Settle date zutsta ebent

Broker/Commission Security description

Investinent Transaction Detail

Account Name WROCKEFELLER ESSE)

JAN 00 - 31 DEC 00

Investment Transaction Detail

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Trade date Settle date	Security description Asset ID	Shares/PAR	Transaction	_	Realized gain/loss		
Trade Status	Broker/Commission	Price	amount	Cost	Market	Translation	Total
Sales							
Equities	——————————————————————————————————————						
25 Sep 00 28 Sep 00	BROCADE COMMUNICATIONS SYS INC COM ISIN #US1116211087	- 2,800 000	694,376 85	503 182 40	191,194 45	0 00	191,194 45
Settled	CUSIP 111621108 TROSTER SINGER CORP OTHER CHARGES 23 15	248 000000					
29 Sep 00 4 Oct 00	BROCADE COMMUNICATIONS SYS INC COM ISIN	- 500 000	122 758 75	44 444 00	78 314 75	0 00	78,314 75
Settled	CUSIP 111821108 MORGAN STANLEY & CO INC OTHER CHARGES 4 10	245 525700					
5 Oct 00	BROCADE COMMUNICATIONS SYS INC COM ISIN #US1116211087	- 700 000	152 000 77	- 46 328 10	105 672 67	0 00	105,672 67
Settled	CUSIP 111621108 SMITH BARNEY INC OTHER CHARGES 5 07	217 151200					
19 Oct 00	BROCADE COMMUNICATIONS SYS INC COM ISIN	1 500 000	361 962 68	- 99,274 50	262 688 18	0 00	262 688 18
24 Oct 00 Settled	#US1118211087 CUSIP 111621108 SOUNDVIEW FINANCIAL GROUP OTHER CHARGES 12 07	241 316500					
30 Oct 00 2 Nov 00	BROCADE COMMUNICATIONS SYS INC COM ISIN #US1116211087	700 000	148 756 73	- 46,328 10	102 428 63	0 00	102 428 63
Settled	CUSIP 111621108 DB CLEARING SERVICES OTHER CHARGES 4 96	212 516700					
31 Oct 00 3 Nov 00	BROCADE COMMUNICATIONS SYS INC COM ISIN	- 200 000	43 470 G7	- 13 236 60	30 240 07	0 00	30 240 L
Settled	CUSIP 111621108 DB CLEARING SERVICES OTHER CHARGES 1 45	217 390600					
6 Nov 00	BROCADE COMMUNICATIONS SYS INC COM ISIN	200 000	51 525 08	13 236 60	38 288 48	0 00	38 288 49
9 Nov 00 Sattled	#US1116211087 CUSIP 111621108 SMITH BARNEY INC OTHER CHARGES 1 72	257 G34000			_		
30 May 00 2 Jun 00	CALPINE CORP COM CUSIP 131347100	ממט מחפ כ	382 050 81	325 277 00	57,081 83	0 00	57 081 83
Settled	DONALDSON LUFKIN & JENRETTE SECURITIES CORP / 234 00 OTHER CHARGES 12 78	98 258100					
		THE MONTHOOD BOOKE					

The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION
990-PF

990-PF 12/31/2000 71-0285871

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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--- Realized gain/loss

Market

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The Northern Trust Company

Sales

Trade date Settle date Trade Status

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Investment Transaction Detail

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66 5 82,7	00 0	J 584 39	56 SBB'S -	⊅E 0/1 E1	000 001 DOBTOT 1E1	CLENA CORP COM CUSIP 171779101 MORGAN STRANLEY & CO INC OTHER CHARGES 44	15 May 00 18 May 00 Seitled
				, , , , , , , , , , , , , , , , , , , ,	127 696400	CUSIP 17179101 DEAR STEARNS SECURITIES CORP	Settled
550 564 42	00 0	550 Se4 42	188 320 40	408 614 85	- 3 200 000	CIENA CORP COM	00 1QA 01
					000027 221	OTHER CHARGES 1192 OTHER CHARGES CUSIP 171779101	OO JSM TI Deliled
222 836 20	00 0	555 836 50	139 376 85	328 513 02	- 5 300 000	СІЕИА СОЯР СОМ	00 1≤M €
10,431 -	00 D	11 210 491 -	- 345 240 62	ÞS 825 841	000562 66	CAPSTONE TURBINE CORP COM STK ISIN# US14067D1028 CUSIP 14067D102 OTHER CHARGES 5 96 OTHER CHARGES 5 96	11 Oct 00 18 Oct 00 Settled
10 191 -		11 610 191 -	29 003 CVC -	NA BCA 051	000 001 9		00 20 11
					43 200000	US14087D1028 CUSIP 14087D102 CUSIP 14087D102 OTHER CHARGES 3 34	13 Oct 00 Settled
BZ 011'Z8 -	00 0	92 011 26	- 102 156 05	99 940 001	5 300 000	CAPSTONE TURBINE CORP COM STK ISIN#	10 Oct 00
BE 49 6 E1 -	00 0	13 324 38	58 161,27 -	74 7E8 18	000 006	CAPSTONE TURBINE CORP COM STK ISIN# US 14067D 1028 CUSIP 14067D 102 GOLDMAN SACHS & COMPANY OTHER CHARGES 2 07	29 Sep 00 4 Oct 00 Settled
00 842,330 ·	00 0	00 6/2 99 -	08 l #F #EF	368,162 80	000 002 è -	CAPSTONE TURBINE CORP COM STK ISIN# US 14067D1028 CUSIP 14067D102 FIRST BOSTON CORPORATION OTHER CHARGES 12 28	25 Sep 00 28 Sep 00 25 Sep 00
					102 200000	CUSIP 131347106 BEAR, STEARNS SECURITIES CORP / 60 00 OTHER CHARGES 3 45	4 Oct 00 Settled
6 246,19	00 0	56 546'19	09 065 15 -	103,436 55	000 000'1	САГРІИЕ СОЯР СОМ	39 Seb 00
					005783 56	CUSIP 131347106 OTHER CHARGES 18 24 OTHER CHARGES 18 24	28 Sep 00 Settled
314'348 40	00 0	314 348 40	- 232 347 36	91 569 345	- 2 600 000	САГРІИЕ СОЯР СОМ	52 Sep 00
	-						Eduities

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Investment Transaction Detail

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IstoT	Translation	Market	Cost	Transaction	อวเา4	Broker/Commission	Trade Status
	esol/nisg bəzilsə유 -			Transaction	Shares/PAR	<u>Security description</u> Asset ID	Trade date Settle date

					001610 76	MONTGOMERY SECURITIES	OO VON E
15 669 77	00 0	15 669 44	19 355 62	91 910 26	000 000 1 -	CIENA CORP COM	1 Oct 00
					DB 629200	CUSIP 17179101 MONTGOMERY SECURITIES OTHER CHARGES 3 95	Settled
16 291 36	0 00 92 (63 8)	95 163 91	81 781 62 -	118,351 09	1,200 000	CIENA CORP COM	30 OCI 00
			<u>-</u>		102 782500	CUSIP 17179101 GOLDMAN SACHS & COMPANY OTHER CHARGES B 91	1 Nov 00 Settled
2 EOT 781	00 0	68 501 761	02 129 69 -	267 225 59	2 600 000	CIENA CORP COM	27 Oct 00
					00487B 841	CUSIP 1779101 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 12.91	Settled
16 881,88	00 0	15 551,98	- 300,915 42	EE 070 TBE	5 600 000	CIENA CORP COM	50 Oct 00
					128 000000	CUSIP 17179101 MORGAN STANLEY & CO INC DTHER CHARGES 299	Settled 5 Oct 00
Z1 170,87	00 0	\$1 120 92	- 13 225 86	10 768 68	000 001	CIENA CORP COM	29 Sep 00
					0000\$7 SE1	CUSIP 171779101 CUSIP A SACHS & COMPANY OTHER CHARGES 17 70	Sa Sep 00 Settled
92 080,271	00 0	172 080 26	-, 358 902 04	230 985 30	000 000 b	CIENA CORP COM	\$2 Sep 00
					001758 411	CUSIP 171779101 SMITH BARNEY INC OTHER CHARGES 8 82	Settled 26 Sep 00
87 808,ES	00 0	23 606 78	240 716 73	564 353 21	2 300 000	CIENA CORP COM	21 Sep 00
					007832 \$\$1	CUSIP 17179101 MORGEN STENLEY & CO INC OTHER CHARGES 6 26	Settled
111 025 70	00 O	07 250 111	SE 718 97 -	20 EA2 781	- 1 300 000	CIENA CORP COM	28 141 00
					120 20200	CUSIP 171779101 MORGEN STENLEY & CO INC OTHER CHARGES \$ 75	Sattled Settled
22 TBP, TO1	00 0	22 TO4 TO1	24 247,48 -	172 213 00	000 001 '1 -	CIENA CORP COM	20 Jun 00
							Equities

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THE WINTHROP ROCKFELLER FOUNDATION

Generated by The Northern Trust Company from periodic data on 26 Jan 01

12/31/2000

The Northern Trust Company

OTHER CHARGES

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Investment Transaction Detail

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 610T	- Realized gain/loss	Market	Cost	Transaction amount	AA9/2938/PAR Price	Security descript <u>ion</u> As <u>ser ID</u> Broker/Commission	Figde date Settle date Trade Status

12,389 26	00 O	12,389 26	SS 626 Þ11 -	87 816,721	000 007 f -	COORS ADOLPH CO CL B CUSIP 217016104 BEAR STEARNS SECURITIES CORP / 102 00 OTHER CHARGES 4 25	11 Dec 00 14 Dec 00 Settled
					000578 28	CUSIP 217016104 BROWN BROTHERS, HARRIMAN & CO / 30 00 OTHER CHARGES 1 32	oo too 4 Settled
08 747,7	00 0	7 747 80	31 745 88	39 493 68	000 009 -	соова врогри со се в	29 Sep 00
					001806 \$9	CUSIP 217016104 MAGNA SECURITIES CORPORATION / 204 00 OTHER CHARGES 7 47	Settled Settled
, \$86,64	00 0	43 982 75	- 179 893 32	70 978 CS2	- 3'400 000	COORS ADOLPH CO CL B	52 Sep 00
				,	0056E0 77	CUSIP 205862402 CHASE H&Q OTHER CHARGES 20 29	00 guA 81 belite2
10 812 62	00 0	29 218 31	24 ETC, ET2 -	91 162 809	000 006 7	COMVERSE TECH INC	00 guA 11
					00196 28	CUSIP 205862402 SMITH BARNEY INC OTHER CHARGES 5.74	Settled
24 909 88	00 Q	24 808 86	02 011, 741	90 (16 1(1	- 2 000 000	COMAERSE LECH INC	00 AUL 7
					000801 781	CUSIF 205802402 CUSIF 205802402 CUSIF 205802402 CUSIF 205802402	20 Mar 00 Settled
₱1 638, ₱11	00 0	ÞI 698 ÞII	- 42 812 00	≱1 189 ZS1	000 008 -	СОМЛЕВЗЕ ТЕСН ІИС	00 18M 21
					215 215500	CUSIP 205862402 GOLDMAN SACHS & COMPANY OTHER CHARGES S 03	OO TAM (1) Sellied
113 185 35	00 0	113 182 35	05 03Þ TE -	120 645 85	000 007	COMVERSE TECH INC	00 JEM #1
					215 323400	CUSIP 205862402 SMITH BARNEY INC OTHER CHARGES 38 75	00 Mar 00 Settled
503,514 53	00 0	203 214 23	₽ ₹ 098 899	1,162 375 27	- 2'300 000	COMVERSE TECH INC	00 JEM 7
					103 200000	CUSIP 17179101 LEHMAN BROTHERS INC OTHER CHARGES 69	Settled
16,834 78	00 0	16 834 78	3 864 53	50 699 31	000 002 -	CIENA CORP COM	00 VON 7
							Equities

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The Northern Trust Company

Total

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Translation

Account Name WROCKEFELLER-ESSEX

Market

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THE WINTHROP ROCKFELLER FOUNDATION

							Equities
28,348 O4	00 0	58 346 04	BI 202,041 -	168 848 22	2 100 000	COORS ADOLPH CO CL B	27 Dec 00
		\		- 11 0922	009991 08	BRIDGE TRADING COMPANY / 126 00 OTHER CHARGES \$ 64	Pending
»: 760,87	00 0	₱1 7 60 87	- 363'164 25	99 ÞGZ 12Þ	2 400 000	CORVIS CORP COM	8 Sep 00
					007 6 72 78	FIRST BOSTON CORPORATION OTHER CHARGES 15 72	belile2
70 055,915 -	00 0	- 214 520 07	19 991 875 -	313 626 34	- 15 000 000	COSINE COMMUNICATIONS INC COM	20 Oct 00
					56 136400	OTHER CHARGES 10 46	Settled
- 150 085 BD	00 0	120 082 89	SE Þ69'658 -	39 115 GE <i>L</i>	000 050 52	COVAD COMMUNICATIONS GROUP INC COM CUSIP 222814204	2 May 00 5 May 00
	· · · · · · · · · · · · · · · · · · ·				59 522400	BEAR STEARNS SECURITIES CORP OTHER CHARGES 24 66	Seitled
28 892 78 -	00 0	58 895 48	85 66C 06Z -	202 830 73	000 006 5 -	CUSIP 222946103	58 Sep 00
					005295 48	CANTOR FITZGERALD & CO TOTHER CHARGES TOTHER CHARGES	Setiled Setiled
≱1 677,01 -	00 0	ÞI 677 01	07 TTT ES -	45 868 56	000 000 1	CATYC CORP COM	29 Sep 00 4 Oct 00
					43 000000	PIPER JAFFRAY INC OTHER CHARGES 1 44	Sellied
8CG 18 -	00 0	87 8EC 18	340 222 02	2010102	000 005 9	CYTYC CORP COM	5 Oct 00
					000052 04	ROBERTSON STEPHENS & CO L R OTHER CHARGES 8 73	baiiia2
384,742 12	00 0	384 742 12	26 CC3,6C1 -	524 376 04	3 100 000	COSID 32326100 DIGEK INC DEF CF V COMMON STOCK	00 15M bi 00 15M Tr
					002651 691	OTHER CHARGES 17 48	Settled balting
425,601 93	00 0	425 601 93	£2 076 232 -	94 272 169	000 000 9	CUSIP 253768100 CUSIP 253768100	00 19A 01 00 19A 61
					008190 801	SMITH BARNEY INC STHER CHARGES 23 06	Settled

Investment Transaction Detail

Security des<u>cr</u>iption Asset 1D Broker/Commission

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Sales

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The Northern Trust Company

BEAR STEARNS SECURITIES CORP. CUSIP 255064107

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Sellied 21 Mar 00

25 S

00 15M 8	DIVERSA CORP COM STK ISIN# US2550641078	000 000 1 -	165 663 22	D4 345 85	71 350 40	00 0	71 320 40
7 Mar 00 21 Mar 00 Sellied	OTHER CHRRGES 3 25 DIVER SEAR SECURITIES CORP DIVER CORP COM STK ISIN# US2550641078	000050 851	SZ 188 Z6	89 v39 Lv -	10 199 6 4	00 0	TO 188,62
6 Mar 00 S1 Mar 00 Settled	DIVERSA CORP COM STR ISIN# US2550641078 DIVERS 255064107 OTHER CHARGES 49	100 000	E7 856 51	þZ 608 9	GÞ 6E9'L	00 0	6> 6E9, Y
21 Mar 00 Settled	OTHER CHARGES 1 50 CUSTINET / 15 00 CUSTINET / 15 00	006555 651	27 044 11	76 608 3	GV 62.9 2		
3 Mar 00	DIVERSA CORP COM STK ISIN# US2550641078	300 000	ZZ 058 ÞÞ	- 21,323 52	53 956 75	00 0	23,526 ZS
21 Mar 00 Settled	CUSIP 255064107 OTHER CHARGES 92	000000 281					
	DIAERSA CORP COM STK ISIN# US2550641078		80 685 72	13 618 48	09 077 £1	00 0	09 0/7 EI
21 Mar 00 Settled	OUSTREE CHARGES 2 05 01HER CHARGES 2 05	153 342300					
29 Feb 00	DINERSA CORP COM 51K (SIN# US2550641078	000 000 -	18 4/5 /8	96 962 72 -	16 (10 95	00 0	16 170 48
22 Mar 00 Settled	OTHER CHARGES 3 00 OTHER S25064107	005856 66					
52 E#P 00	DIVERSA CORP COM STK ISIN# US2550641078	000 006 -	₹ 656 68	61 283 16	16 976 31	00 0	28 676 31
13 Mar 00 Settled	OTHER CHARGES 6 65 CORP DONALDSON LUFKIN & JENRETTE SECURITIES CUSIP 25385N101	000529 66					
00 1EM 8	DIGITAL IS INC DEL COM	- 2 000 000	109 243 35	202 867 20	3 653 82	00 0	- 3 623 85
	OTHER CHARGES 29 24		· ·	<u> </u>			_
00 TeM Of bettie2	CORP DONALDSON LUFKIN & JENRETTE SECURITIES CUSIP 25385N101	100 816900					
00 18M V	DIGITAL IS INC DEL COM	000 007 B -	67 770 778	856 873 34	55 267 61 -	00 0	22 267,61
Equities							
ડુવાલ્ટ		, 					
Trade date Settle date Trade Status	Security description Broker/Commission	Shares/PAR Price	Transaction	Cost	Warket	ealized gain/loss Translation	lstoT
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1HE WINTHROP ROCKFELER FOUNDATION

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12/31/2000 Generaled by The Northern Trust Company from periodic data on 26 Jan 01



Investment Transaction Detail

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Sales Trade Status Broket/Commission Trade Status Broket/Commission Trade Status Broket/Commission Trade Status Broket/Commission Trade Status Broket/Commission Trade date Security description Trade date Security description Trade date Transaction Trade date Transaction Total

					235 447600	CUSIP SESSIONS MIORGAN STANLEY & CO INC	Settled Settled
S31 184 23	00 0	23 1 104 23	70 605,241 -	376 703 60	000 009 1	E-TEK DYNAMICS INC COM	21 Mar 90
					00/019 9/2	CUSIP 269240107 CUSIP 269240107 CUSIP 269240107	14 Mar 00 Settled
183 647 27	00 0	12 749 581	92 954 20	ZÞ 109 9ZZ	000 000 1 -	E TEK DYNAMICS INC COM	00 JBM 6
					00519916	CUSIP 26881V100 CUSIP 26881V100 CUSIP 26881V100	oo ad bi Settled
- 948,811 -	00 0	118'846 42	77 865 77	125 819 35	000 002 1 -	E PIPHANY INC COM	00 14A 11
					104 624300	CUSIP 26881V100 CUSIP 26881V100 CUSIP 26881V100	00 1qA Et Settled
₱6 \B1,8\S -	00 0	AB	PB 736,187	602 179 90	000 008' b	E PIPHANY INC COM	00 1qA 01
				<u> </u>	009661 EB1	CUSIP 26881V100 CUSIP 26881V100 CUSIP 26881V100	21 Mar 00 Settled
5 5 5 9 1 7	00 0	5 165 59	- 7111 80	65 773 57	000 000 -	Е РІРНАИУ ІИС СОМ	00 16M at
					64 429200	CUSIP 255064107 BEAR, STEARNS SECURITIES CORP OTHER CHARGES 7 95	21 Mar 00 Settled
67 193 E1 -	00 0	67 132 51 -	- 521 941 88	538 380 09	000 007 E -	DIVERSA CORP COM STK ISIN# US2550641078	16 Mar 00
					000000 92	CUSIP 255064107 BEAR, STEARNS SECURITIES CORP OTHER CHARGES 1 27	21 Mar 00 Settled
E0 E12 1	00 0	1 713 03	- 36 285 70	37 598 73	200 000	DIVERSA CORP COM STK ISIN# US2550641078	14 Mar 00
					000578 68	CUSIP 253064107 BEAR STEARNS SECURITIES CORP OTHER CHARGES 6 64	22 Mar 00 Settled
95 856'29	00 0	e5 828 2e	- 13e 18¢ 80	199 143 3C	2 000 000	DIVERSA CORP COM STK ISIN# US2550641078	00 15M 01
					113 750000	CUSIP 255064107 BEAR, STEARNS SECURITIES CORP OTHER CHARGES 4 55	S2 Mar 00 Settled
72 \$87, \$ 2	00 0	ZS \$87 \$2	88 017 18 -	130 402 42	1 200 000	DIVERSA CORP COM STK ISIN# US2550641078	00 15M 9
							Equities

12/31/2000 12/31/2000 14E WINTHROP ROCKFELLER FOUNDATION

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Generaled by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

OTHER CHARGES

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The Northern Trust Company

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THE WINTHROP ROCKFELLER FOUNDATION

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19 989 17 -	00 0	19 989 IZ -	92 692 121 -	SI E80 051	000 000 1 -	ELANTEC SEMICONDUCTOR INC COM CUSIP 284155108 HERZOG HEINE GEDWLD INC OTHER CHARGES 5.01	2011169 13 NON 00 8 NON 00
					110 634200	OTHER CHARGES 12.54 HERZOG HEINE GEDWLD INC CUSIP 284155108	00 vov 01 Settled
10 924 88	00 0	10 924 86	302 218 88	97 641 970	- 3 400 000	ELANTEC SEMICONDUCTOR INC COM	00 VOH T
					000000 Þ01	CUSIP 284155108 CHASE H&O OTHER CHARGES 1 74	2 Nov 00 Settled
- 2 720 -	00 0	2 720 49	27 B17 42 -	21 898 56	000 005	FLANTEC SEMICONDUCTOR INC COM	30 Oct 00
					55 213000	CUSIP 281667105 CUSIP 281667105	Sellled Sellled
98 SB0 I	00 0	96 580'1	97 C80 er	20 109 72	000 008 -	EDWARDS J D & CO COM	18 Dec 00
					25 452800	CUSIP 281687105 ROBERTSON STEPHENS & CO L R OTHER CHARGES 1 02	So Dec 00
OT 816,1	00 0	OT 816,1	- 28 625 64	30 245 34	000 002 1 -	EDWARDS J D & CO COM	15 Dec 00
		· · · · · · · · · · · · · · · · · · ·			Se 33\200	CUSIP 281667105 ROBERTSON STEPHENS & CO L R OTHER CHARGES 71	19 Dec 00 Settled
EZ 286,1	00 0	1 882 23	97 EB0,91 -	62 690,15	000 008	EDWARDS J D & CO COM	14 Dec 00
					Se 929400	CUSIP 281667105 CUSIP 281667105 OTHER CHARGES 2 97	18 Dec 00 Settled
06 916,9	00 0	8 316 80	51 949'08 -	\$0 £98'88	3 300 000	EDWARDS J D & CO COM	13 Dec 00
					008828 72	CUSIP 281687105 ROBERTSON STEPHENS & CO L R OTHER CHARGES 3 81	15 Dec 00 Setifed
90 279 -	00 0	00 270 -	114 889 33	114 217 27	000 001 6 -	EDWARDS J D & CO COM	15 Dec 00
					530 184000	CUSIP 269240107 MORGEN STENLEY & CO INC OTHER CHARGES 15 35	Settled
\$8 657 872	00 0	20 625 872	181 618 50	460 371 85	5 000 000	E-TEK DYNAMICS INC COM	22 Mar 00
							Equities
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amount

Transaction

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Translation

Realized gain/loss

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Total

Investment Transaction Detail

Broker/Commission Security description Trade date Settle date Trade Status

Account Name WROCKEFELLER: ESSEX

Cost

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Investment Transaction Detail

25 May 00 St May 00 Sellled	OTHER CHARGES 140 CUSIP 296643109 ESPEED INC CLA	1,500 000	09 866 17	52 167 111 -	59 769 69 -	00 0	S9 S64 69 -
30 May 00 Settled	CUSIP 296643109 WARBURG DILLON READ LLC OTHER CHARGES 61	30 021400					
24 May 00	ESPEED INC CL A	000 009	18 012 23	- 44 296 20	56 584 27	00 D	72 584 27
00 1qA ef bellie2	CUSIP 294 100102 GEAR STEARNS SECURITIES CORP / 450 00	00/100 85					
00 1qA 11	ENZO BIOCHEM INC COM	000 00S Z	399 524 41	57 488 E69 -	294 160 34	00 0	- 584 160 7-
00 Apt 00 Settled	CUSIP 294100102 GOLDMAN SACHS & COMPANY / 510 00 OTHER CHARGES 17 65	62 275300	 				
00 1qA &	ENZO BIOCHEM INC COM	- 8 200 000	528,812 40	SD 971, BBT -	522 363 62	00 0	- 521 363 62
00 VON 01 Settled	CUSIP 292475209 CUSIP 292475209 CUSIP 292475209	001861 791					
00 VON 7	EMULEX CORP COM NEW	000 007 C	SC 7S4 810	17 aea obe	P9 0E7,7ES	00 0	\$37,750 64
Settled 30 Oct 00	CUSIP 292475209 PIPER JAFFRAY INC OTHER CHARGES 4 91	009950 741		<u> </u>		<u>. </u>	
25 Oct 00	EMDLEX CORP COM NEW	000 000 1 -	69 640 741	- 106 167 20	GÞ 288'0Þ	00 O	40,682 49
2 Oct 00	CUSIP 292475209 CUSIP 292475209 CUSIP 292475209	160 643100					
20 Oct 00	EMNTEX CORP COM NEW	000 009 5 -	7E 172 008	26 988 968	302 032 02	00 0	30 550 505
4 Oct 00 Settled	CUSIP 292475209 DAIN RAUSCHER OTHER CHARGES 6 26	155 051500					
29 Sep 00	ЕМПГЕХ СОВЬ СОМ ИЕМ	000 005 1	66 072 781	- 129,250 80	58 350 18	00 0	61 028 320 19
Settled 28 Sep 00	OTHER CHARGES 34 00 CUSIP 292475209 CUSIP 292475209	150 000000		· -			•
32 Sep 00	ЕМПГЕХ СОВЬ СОМ ИЕМ	8 200 000	00 996 610 1	- 902,421 20	115 544 80	00 0	08 995 211
Equities						-	
Sales							
Trade date Settle date Trade Status	Asset ID Asset ID Broker/Commission	8Aq\ <u>sə</u> า <u>sd2</u> อวโาจี	nolioszastī Janoms	Cost	Market	ealized gain/loss	IstoT

12/31/2000 990-PF THE WINTHROP POCKFELLER FOUNDATION

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Generaled by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

Investment Transaction Detail

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	Realized gain/loss			โรยกรอนใเอม	Shares/PAR	Security description Asset ID	elsb <u>e</u> bsiT elsb <u>e</u> llieg

					000002 95	DB CLEARING SERVICES CUSIF 302255104	Sellied Sellied
- 122 262 65	00 0	122 562 65	- 618 547 20	463 284 55	8 500 000	EXTENSITY INC COM STK	Mar 00
58 E65 Z 51	00 O	58 EGS 251	20 002 658 -	78 EGT 117	001015 601	OTHER CHARGES 23 73 EXODUS COMMUNICATIONS INC COM STR 151N# EXODUS COMMUNICATIONS INC COM STR 151N#	00 19A 09 00 19A 89 belite2
_a h67 801	00 0	E9 P 94 B01	14 osp 881	80 383 37	25 388800 27 388800	ESPEED INC CL A CUSIP 296643109 CUSIP 296643109 OTHER CHARGES 2 56	00 nut 8 00 nut 8 ballia2
ΔE 005'91 -	00 0	- 1e 500 37	00 005 42 -	E9 668 01	400 000	ESPEED INC CL A CUSIP 296643109 WARBURG DILLON READ LLC OTHER CHARGES 37	00 nut 8 00 nut 8 belife2
9» 016'6Z -	00 O	9Þ 016 67 -	- 158 633 80	45 E27 64	000 008 1	OTHER CHARGES I 66 CUSIP 296643109 ESPEED INC CL A	00 مال 2 00 مال 7 11196
PO 619,63 -	00 0	Þ0 E16 69 -	109,914 00	96 000 07	Se ee8500 1 200 000	OTHER CHARGES 134 COSID SOCCOSIOD COSI	00 nul 1 00 nul 8 ballise
79 065 26 -	00 O	∠9 06\$ SE ~	- 21 293 20	ES 207 81	700 000 00881	ESPEED INC CL A CUSIP 296643109 WARBURG DILLON READ LLC OTHER CHARGES 63	00 yeM to 00 nul 2 betties
46 77 <u>2,</u> 66 -	00 0	pe 112 ee -	08 012 P 21	92 53 5 98	2 100 000	ESPEED INC CL A WARBURG DILLON READ LLC OTHER CHARGES 185	00 ysM 00 00 nut 2 ballied
09 954 99 -	00 0	- 09'428	05 850 Þ01	37 661 90	- 1 400 000	ESPEED INC CL A CUSIP 296643109 WARBURG DILLON READ LLC OTHER CHARGES 1 26	26 May 60 1 Jun 60 Settled
							Equities

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OTHER CHARGES

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7E SOE, #51 -	00 0	124 302 37	- 450 692 49	21 062 362	000 007 2 -	EXTENSITY INC COM STK	24 Mar 00
72 028,61 -	00 0	42 058 61 -	- 152 884 53	100 033 80	000\$2£ 29	OTHER CHARGES 3 54 CASID 302255104 EXTENSITY INC COM STK	00 15M 41 00 15M 71 ballfa2
22 050 01		20 038 61	22 720 301	36 220 301		NI3 NOS SALVIJAGIAS	Equities
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29 Sep 00 4 Oct 00 5ettled	FINISAR CORP COM CUSIP 31A7A101 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 4 00	000 009 \$ - 47 079200	122 401 83	98 789,411 -	71 pp/ 7	00 0	71 pp/ 7
oo das 82	ON THE RESERVENCE SESSER 101ATBY RAUSCHER 102 SESSER 103 SESSER 103 SESSER 103 SESSER 104 SESSER 105 SESSER	000\$ZE ZÞ					
00 ga2 č2	FINISAR CORP COM	- 14 300 000	16 GC# ZZ9	- 630 617 13	87 228 94	00 0	87 SS8 8h
8 Nov 00 Settled	CUSIP 30226D106 CUSIP 30226D106 CUSIP 30226D106	002061 96					
3 Nov 00	EXTREME NETWORKS INC COM	000 006 Þ	92 916 124	₽¥ 020,912	66 EO7 7p -	00 0	-6 E07 7h -
Seliled 2 Nov 00	CUSIP 30226D106 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 10 98	73 164300					
30 Oct 00	EXTREME NETWORKS INC COM	000 005'> -	329 228 37	OT 123 3Th -	EE ESP TP1 -	00 0	- 147,429 33
00 1qA V bettled	CUSIP 30226D108 MORGAN STANLEY & CO INC OTHER CHARGES 12 01	000151 /5					
00 1qA ₽	EXTREME NETWORKS INC COM	9 300 000	360 039 29	73 TSP TT8 -	98 388 217 -	00 0	- 217 388 38
13 Mar 00 Sellled	OTHER CHARGES 30 53 CUSIP 30226D106	106 183200					
00 15M √	EXTREME NETWORKS INC COM	2 800 000	e12 845 03	20 472 712	98 Se8 01	00 0	10 897'86
30 Mar 00 Settled	OTHER CHARGES 8 42 CUSIP 302255104	92 e29000					
00 YEM 72	EXTENSITY INC COM STK	000 008 6 -	225'291 28	- 322,074 36	B7 284,63	00 0	87 <u>\$8</u> \$,e8 -
00 JEM 65 belifed	OTHER CHARGES 9 88 CUSIP 302255104	95 000000					
24 Mar 00	EXTENSITY INC COM STK	000 007 5 -	296 390 12	64 269 024 -	124 302 37	00 0	- 154'305 35
Settled	OTHER CHARGES 3 54 CUSIP 302255104	000545 29					
14 Mar 90	EXTENSITY INC COM STK	000 002'1 -	106 033 96	- 152 884 53	72 028 61 -	00 0	72 028,61 -

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Investment Transaction Detail

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					000776 52	HAMBRECHT & OUEST OTHER CHARGES 11 75	patitied
TE 784,S8 -	00 0	75 784 58 -	19 757 414 -	325 582 30	- 6 650 000	CORIE 368689105 GENE FOGIC INC COM	00 Mar 00 23 Mar 00
					000521 59	CUSIP 36689105 HAMBRECHT & QUEST OTHER CHARGES 3 70	SS Mar 00 Sellled
- 2 633 94	00 0	\$ 633 94	- 113 345 74	08 807 011	000 007 1	GENE TOGIC INC COM	00 16M TI
				•	13e 152000	CUSIP 345838106 BEAR, STEARNS SECURITIES CORP / 108 00 OTHER CHARGES 8 17	Settled
1 800 83	00 0	1 800 83	543 108 00	244 908 B3	1 800 000	FOREST LAB INC COM	00 AON 8
						OTHER CHARGES 1 96	
					000965 711	MERRILL LYNCH PIERCE FENNER & SMITH / CUSIP 345838106	Settled
P8 225 ZI	00 0	Þ6 725 TI	41,213 10	40 147,88	000 009 -	FOREST LAB INC COM	4 Oct 00
					112 625000	CUSIP 345838106 BEAR, STEARNS SECURITIES CORP / 180 00 OTHER CHARGES 11 57	Settled
99,404 83	00 0	28 404 66	09 872 742 -	346 683 43	3 000 000	FOREST LAB INC COM	25 Sep 00
					34 00000	CUSIP 318224102 ROBERTSON STEPHENS & CO L R OTHER CHARGES 170	00 1qA fi Settled
- 68 161 13	00 0	68 161 13	CÞ 651 611 -	20 998 30	1 200 000	FIREPOND INC COM STK	00 1qA 8
					32 616600	CUSIP 318224102 ROBERTSON STEPHENS & CO L R OTHER CHARGES 4 03	00 1qA 01 bellfed
ÞE 195'281 -	00 0	₽E 195,781	308 238 73	120 677 39	000 007,6 -	FIREPOND INC COM STK	00 1qA 5
					31 815200	CUSIP 31787AI01 MORGEN STANLEY & CO INC OTHER CHARGES 3 61	Settled
\$0 877,14 .	00 0	20 877 14 -	P6 926 6P1 -	68 851 801	- 3 400 000	FINISAR CORP COM	00 vol 8
					30 947000	CUSIP 31787A101 MORGEAU STRULEY & CO INC OTHER CHARGES 14 34	Settled
- 182 828 23	00 0	- 185 858 23	64 776,518 -	96 891 029	- 13 200 000	FINISAR CORP COM	3 Nov 00
				 -			Equities

THE WINTHROP ROCKFELLER FOUNDATION

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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The Northern Trust Company

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OTHER CHARGES

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MERRILL LYNCH PIERCE FENNER & SMITH

BEAR, STEARNS, SECURITIES CORP / 912 00

823 34	00 0	NE CSB	47 AT& 20S -	596 428 08	- 12 500 000	CAT PRIDECO INC COM STR ISIN#	00 YeM 4
					64 320300	CUSIP 379571102 ROBERTSON STEPHENS & CO L R OTHER CHARGES 22 09	2 0ct 00
PO 875,278 O4	00 0	- 335 278 04	90 SST T88 -	00 22▶ 299	10 300 000	GLOBESPAN INC COM ISIN US379571 1023	28 Oct 00
					000278 aB	CUSIP 379571102 & CO L R ROBERTSON STEPHENS & CO L R OTHER CHARGES 29	Settled 30 Oct 00
40 (8) C -	00 0	66 181 C -	02 698,11 -	12 (89 8	100 000	GLOBESPAN INC COM ISIN US3795711023	25 Oct 00
					000258 091	CUSIF 37857.105 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 23.01	Settled 28 Sep 00
T1 272 TSS	00 0	21 272 172	- 462 992 32	69 592 069	000 006 7	GLOBESPAN INC COM ISIN US379571 1023	25 Sep 00
					127 687500	CUSIP 379571102 INSTINET / 100 00 OTHER CHARGES 8 52	Settled Se Sep 00
80 696 Z	00 0	8¢ 696 Z	- 247,297 00	522 566 48	- 5 000 000	GLOBESPAN INC COM ISIN US3795711023	21 Sep 00
		<u></u>				CORP 67	
					000844 001	DONALDSON LUFKIN & JENRETTE SECURITIES CUSIF 37957102	15 Jun 60 Sellied
5 681 09	00 O	\$ 601 00	P8 72 P 71	20 088 93	500 000	GLOBESPAN INC COM ISIN US3795711023	00 AUL 7
						CORP OTHER CHARGES 438	
					100 226200	DONALDSON LUFKIN & JENRETTE SECURITIES CUSIP 379571102	00 nut 8 Settled
PT 727 71	00 0	ል ፕ ፕሮ <mark>ል</mark> ,ፕ ፤	- 113 280 96	07 817 051	- 1 300 000	GLOBESPAN INC COM ISIN US3795711023	00 aut 8
•				" "	93 612900	CUSIR 379571102 ROBERTSON STEPHENS & CO L R OTHER CHARGES 7 81	Settled
S> 188'6	00 0	SÞ 188 G	97 989 EÞS -	534 108 31	S 800 000	GLOBESPAN INC COM ISIN US3795711023	30 May 00
			 				Equities
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ls10T	- Realized gain/loss Translation	Market	Cost	Transaclion fuuoms	ЯА <u>९/2อาธ<u>ศ2</u> อวเาฯ</u>	Security description Assel 1D Broker/Commission	Trade date Settle date Trade Status
Page 74 of 225						ient Transaction Detail	Investin

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Page 75 of 225

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Investment Transaction Detail

The Northern Trust Company

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Sales

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00 Jul 00 13 Jul 00 Setiled	INKTOMI CORP COM CUSIP 4577101 CANTOR FITNGERALD & CO OTHER CHARGES 28 35	000 007,7 - 00012h 011	SE E12 058	833,314 80	55 868 , 81	00 0	\$\$ 868,81
oo nut Si	OTHER CHARGES 4 25 CUSIP 457277101 CUSIP 457277101	127 312500					
00 nul 7	иктомі совь сом	000 000 I	127,308 25	02 E67 TE1	- 10 482 25	00 0	- 10,485 25
00 Apr 00 Settled	CUSIP 457277101 SMITH BARNEY INC OTHER CHARGES 22 77	142 352500					
00 1qA 11	ІИКТОМІ СОВР СОМ	000 007 4 -	29 500 889	59 892,272 -	410 737 02	00 0	410 737 L.
00 Jew 25 Delifed	CUSIP 457277101 CUSIP 457277101 CUSIP 457277101	554 263800					
00 16M TI	іиктомі совр сом	- 2,100 000	471,568 26	136 212 99	332 052 27	00 0	335 052 27
eilled bellied	CUSIP 422209106 MONTGOMERY SECURITIES OTHER CHARGES 13 58	41 202200					 -
00 18M V	HEALTHEONWEBMD CORP	000 008 6	407 298 92	28 601 074	- 62 811 00	00 0	- 62,811 00
id Dec 00 Settled	CUSIP 404119109 MAGNA SECURITIES CORPORATION / 66 00 OTHER CHARGES 1 47	000000 07			_		
00 22G FI	HCA HEALTHCARE CO COM	000 001 1	43 932 53	42 280 62	1 348 03	00 0	60 8 > 8 1 -
ellied Dec 00	CUSIP 416515104 BEAR STEARMS SECURITIES CORP / 330 00 OTHER CHARGES 13 04	001951 12					
00 AON 68	HARTFORD FINL SVCS GROUP INC COM	000 005 5	15 058 065	05 866 014	66 741 02 -	00 0	66 TA1 05 .
settled Se Dec 00	CUSIP 410293104 MORGAN STANLEY & CO INC OTHER CHARGES 2 79	44 054200					
00 Dec 00	HANDSPRING INC COM	000 006 1	92 E49 E8	- 112 459 10	45 218 82 -	00 0	- 28,815 34
petited	CUSIP 410293104 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 5.29 OTHER CHARGES	000027 82					•
00 VON 05	HANDSPRING INC COM	000 001 Z -	12 G19 BS1	00 018 651 -	1 100 20	00 0	65 081 1 -

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Generaled by The Morthern Trust Company from periodic data on 26 Jan 01

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Investment Transaction Detail

4 20 700 48	00 0	20 700 48	34 300 05	45 6GS EI	000005 8	INSILICON CORP COM STK CUSIP 45769H109 NEEDHAM & COMPANY OTHER CHARGES 46	20 Way 00 17 May 00 5eilled
					8 312500	OTHER CHRRGES 1 28 COURT & COMPANY CUSIP 45769H108	16 May 00 Settled
ng 081 '29 -	00 0	09 081 '29 -	105 416 82	38 530 55	₹ 600 000	INSTRICON CORP COM STK	11 May 00
	- 1				000000 6	C USIP 45769H108 NEEDHAM & COMPANY OTHER CHARGES 57	10 May 00 Settled
- 26,442 30	00 0	- 56 442 30	E7 142 E4 -	17 099 43	000 006 1 -	INSILICON CORP COM STK	00 YEM 2
					000057 6	CUSIP 45769H108 NEEDHAM & COMPANY OTHER CHARGES 20	Settled Settled
22 006,7 -	00 0	ZZ 006 Z -	- 13 750 02	08 648 8	000 009	INSILICON CORP COM STK	3 May 00
					000097 6	CUSIP 45769H108 NEEDHAM & COMPANY OTHER CHARGES 1 50	S May 00 Settled
- 60 568 32	00 0	- 60 568 32	- 105 416 82	05 848 70	000 000 Þ	INSILICON CORP COM STK	2 May 00
				_	008899 511	CUSIP 457277101 CHASE H&Q OTHER CHARGES 22 75	2 e ttled 3 Oct 00
SE 709,69 -	00 0	SE 708 68 -	752 030 52	682 423 17	000 006 \$ -	ІИКТОМІ СОВР СОМ	28 Sep 00
	_				127 937500	CUSIP 457277101 DB CLEARING SERVICES OTHER CHARGES 18 34	Settled Settled
78 220,2	00 0	2 022 87	90 060 BPS	16 211 099	- 4 300 000	іиктомі сове сом	25 Sep 00
	-				156 000000	CUSIP 457277101 COLDMAN SACHS & COMPANY OTHER CHARGES 6 72	26 Sep 00 Settled
- 2 347 20	00 0	- 2,347 20	- 203,940 48	82 693 102	000 009 1	іиктомі сове сом	21 Sep 00
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Page (6 of 225						ient Transaction Detail	Investm

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THE WINTHROP ROCKFELLER FOUNDATION

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The Northern Trust Company

OTHER CHARGES

CUSIP 45769H108

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9 8Þ9 CBI	00 0	- 183 648 65	- 337 643 SÍ	98 966 891	000 009 21 -	INZIFICON CORP COM STK	00 YEM 71
					000057 8	CUSIP 45769H108 NEEDHAM & COMPANY OTHER CHARGES 5 14	Settled Settled
- 33 112 3	00 0	- 33 112 33	99 990 12 -	37 951 23	000 007,4 -	INZIFICON CORP COM STK	00 YEM 81
					000570 B	CUSIP 45769H108 NEEDHAM & COMPANY OTHER CHARGES 1 27	23 May 90 Settled
- 16 882 17	00 0	71 288 91	00 000 00 -	27 517 83	3 700 000	INSILICON CORP COM STK	22 May 00
					005764 7	CUSIP 45769H108 NEEDHAM & COMPANY OTHER CHARGES 92	SS May 00 Sellied
354'288 61	00 0	324 598 67	- 1 325 040 21	18 144,720,1	000 000 6 -	INTERNET CAP GROUP INC COM ISIN	00 15M 81
					110 481300	COZID 46020C106 O246020C1062	21 Mar 00 Settled

00 150 3	INVITAGGEN CORP COM	000 009 1	15 118 28	A8 001 PR -	1 289 33	000	EE BBC I
Settled	PIPER JAFFRAY INC OTHER CHARGES 3 49	000529 69					
4 Oct 00	INVITROGEN CORP COM CUSIP 46185R100	000 005 1	104 434 01	101 035 20	15 104,5	96 3	12 104 E
28 Sep 00 Settled	CUSIP 46185R100 BEAR STEARNS SECURITIES CORP OTHER CHARGES 19 01	66 312500					
25 Sep 00	INVITROGEN CORP COM	000 009'8 -	64 892 073	60 812 462 -	- 24 247 60	00 0	- 24 247
	1,212 to OTHER CHARGES 13 64						

407 824 38

402 161 80

91 9 OTHER CHARGES 83 961200 FIRST BOSTON CORPORATION Sellled CUSIP 46185R100 15 Dec 00 25 421 74 PZ 159 75 - 135 520 74 84 807,481 00 0 2 200 000 илливоеви совь сом 15 Dec 00 2 93 OTHER CHARGES 05 724600 DAIN RAUSCHER Settled CO21P 46185R100 11 Oct 00 000 005 1 MALLYOPEN CORE COM 00 120 0

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THE WINTHROP ROCKFELLER FOUNDATION

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Investment Transaction Detail

The Northern Trust Company

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		73 360 47	00 608 56	000 005		IS TECHNOLOGIES	29 Sep 00
				000000 061			Se Sep 00
0 90	372,509	70 474 121	493 983 23	000 009 Z	INC COW	12 ТЕСНИОГОСІЕЯ	25 Sep 00
				003169 631	SS 80 SERCE LENNER 8' SMITH		1 Sep 00 Sellled
O B/	232 627	+52 905 25 -	982 233 05	- 4 300 000	ис сом		00 guA es
				135 00000	4 40 4 40		13 Jun 00 Settled
96	60\$ 9\$	\$Z 98¢ \$Z	131 995 60	000 000 1 -	INC COM		00 nut 8
	<u>-</u>			0075S2 001	9 72 4C		Seltled Seltled
0	- 25 230	81 650 945	791 209 01	7 900 000	INC COM		00 YEM 61
				126 000000	95 Z	CUSIP 465754109	S May 00 Settled
0 66	175,401	- 122 520 95	PP 267 922	1 800 000	INC COM		2 May 00
		-		Se 326900	10 36 10 36		Settled
0 15	S18 5 -	/> 79	90 200 018	000 008 11 -		MOD 9ROD DXII	10 May 00
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0 46	781,7 ¢	168 326 76	215 514 13	5,800 000	о сом		14 Dec 00
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THE WINTHROP ROCKFELLER FOUNDATION

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Investment Transaction Detail

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00 IUL ÞS 00 IUL 7S	COSID 48503B104 TONIBEE NELMOBER INC COM	000 007 S -	438 O+O 92	68 621 112 -	226 867 08	00 0	256 867 08
21 Jul 100 S#lifed	CUSIP 482038104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 3 89	166 562500					
00 100 81	JUNIPER NETWORKS INC COM	000 004	98 685 911	87 847,48 ~	80 118 19	00 0	80 158 19
00 nut e ballia2	COSIP 48203R104 CUSIP 48203R104	206 000000					
00 mul 8	JUNIPER NETWORKS INC COM	000 000	82 7 6 6 28	62 570 04	15 728 61	00 0	12 728,61
15 May 00 Settled	CUSIP 48203R104 OTHER CHRRGES 9 96 OTHER CHRRGES 6 96	000000 991					
00 YEM OF	JUNIPER NETWORKS INC COM	000 008 1 -	298 790 04	- 89 GEZ 50	209 727 54	00 0	\$2 727 602
Settled	CUSIP 48203R104 COLDMAN SACHS & COMPANY OTHER CHARGES 10 47	561 625000					
00 15M PI	THAILDER HETWORKS INC COM	000 002 1 -	313 939 23	2C TTE 68 -	554 5G2 18	00 0	254,562 18
Settled	OTHER CHARGES 24 11 CUSIP 46612.101	005021-001					
19 Sep 00	JDS UNIPHASE CORP COM ISIN US46612J1016	- 7 200 000	723 046 69	80 918 209 -	112 530 61	00 0	112 530 61
00 guA S belite2	CUSIP 46612J101 SMITH BARNEY INC ОТНЕК СНАRGES 15 04	121 875000					
00 lut 82	JDS UNIPHASE CORP COM ISIN US4661211016	3 700 000	92 350 955	- 312,349 93	E2 272 8E1	00 0	138,572 53
00 nut 05 bailte2	CUSIP 46612J101 FIRST BOSTON CORPORATION OTHER CHARGES 6 79	005218 611					
00 חטר פו	JOS UNIPHASE CORP COM ISIN US4661211016	000 007 1 -	503 674 46	- 143,512 13	60 162 33	00 0	60 162 33
Settled 25 Oct 00	OTHER CHARGES 13 69 COLDMAN SACHS & COMPANY CUSIP 466754109	180 603600)
20 Oct 00	12 TECHNOLOGIES INC COM	- 2,200 000	410,514 23	86 656 56 -	316,154 25	00 0	316,154 25
Equities							
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Settle date Trade Status	Asset ID Broker/Commission	БһыгезүРАЯ Ргісе	Transaction inuoms	teoD	Market	nolisians17	IstoT
elsb ebsil	ริดตน์นี้หั้ ตุ้อริดนี้โปทุดมี			_	P\$98 B&9	ssol/ulsg bəzils:	

1785850-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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OTHER CHARGES

COWEN AND COMPANY

- Realized gain/loss

Market

Cost

Broket/Commission

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Total

Trade date Settle date sutsiS ebent Security description Investment Transaction Detail

					009125 361	MERGIL LYNCH PIERCE FENNER & SMITH	Settled
28 807,151	00 0	28 807 161	62 £08,70C •	\$1 019 6E¥	000 000 C	KANA COMMUNICATIONS INC COM	00 18M 8 13 Mar 00
					000578 241	CUSIP 483600102 WERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 1 46	Settled Settled
78 B62 O1	00 0	76 962,01	- 33'164 07	43,761 04	300 000	KANA COMMUNICATIONS INC COM	00 16M T
					009657 £81	CUSIP 48203R104 FIRST BOSTON CORPORATION OTHER CHARGES 8 58	Settled Settled
222 292 22	00 0	222 592 22	79 FED 76 -	257 226 86	000 000 1 -	ллигьев иетмовка ис сом	00 VON 1
1					000005 171	CUSIP 48203R104 CUSIP 48203R104 OTHER CHARGES 2 86	S Nov 00
E9 TTE,ET	00 0	E9 \(\frac{7}{2}\)E7	- 15 369 21	A1 TAT 28	200 000	JUNIPER NETWORKS INC COM	30 Oct 00
		-			223 437500	CUSIP 48203R104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 13 41	Settled 24 Oct 00
28 E49,72E	00 0	357 643 85	- 44 230 54	60 171 201	000 008 1 -	JUNIPER NETWORKS INC COM	00 15O 81
					533 152000	CUSIP 48203R104 MORGEN STANLEY & CO INC OTHER CHARGES 3 83	Settled
01 681 401	00 0	01 681 401	15 69E Z1 -	10 828 911	000 005	JUNIPER NETWORKS INC COM	29 Sep 00
356°202 82	00.0	co con'era			734 200000	CUSIP 48203R104 SMITH BARNEY INC OTHER CHARGES 24.24	2ettled 28 Sep 00
38 303 805	00 0	326,505 65	- 400,420 11	726,925 76	- 3 100 000	плињев иетмовка ис сом	25 Sep 00
					212 947300	CUSIP 48203R104 CUSIP 48203R104 OTHER CHARGES 9 23	Settled 26 Sep 00
52 060,66	00 0	99 090 22	17 167 571 -	276 822 26	- 1 300 000	ллињев иетмовка іис сом	51 2€b 00
)					196 209800	CUSIP 48203R104 ROBERTSON STEPHENS & CO L R OTHER CHARGES 34 67	Settled
37 875,21E	00 0	315 278 76	12 862 527 -	1,039,877 27	- 2'300 000	JUNIPER NETWORKS INC COM	00 guA 65
							Equities
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Transaction

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1782820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

OTHER CHARGES

Realized gain/loss

Market

Trade date

Security description

Trade Status

Broker/Commission

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Investment Transaction Detail

Security description

Settled Settled	CUSIP 493308100	37 979200					
23 May 00	KEANOLE 2AZ INC COM IZIN N24933081006	000 006	34 180 14	00 005'96 -	98 616,09 -	00 0	98 615,03
25 May 00 Settled	CUSIP 493308100 ROBERTSON STEPHENS & CO L R OTHER CHARGES 2 00	002/BE \C					
22 May 00	KEANOLE 2X2 INC COM IZIN 024933081006	000 009 1	00 818'69	00 000'891 -	00 281 801 -	00 0	- 108,182 00
Settled Settled	OTHER CHARGES 177 CUSIP 493308100 CUSIP 493308100	00B777 0A					
00 yeM e1	KEAHOLE SAS INC COM ISIN 02:933081000	1 300 000	25 000 52	- 136 500 00	69 064 68 -	00 0	E9 064 EB -
00 ysM Yt Settled	CUSIP 483600102 CHASE HAQ OTHER CHARGES 1 91	000008 01					1
12 May 00	KANA COMMUNICATIONS INC COM	000 000 1 -	60 811 25	33 112 61	24 002 48	00 0	5¢ 005 48
Settled	OTHER CHARGES 68 CHASE H&Q CUSIP 483600102	40 531300			· · · · · · · · · · · · · · · · · · ·		
00 yeM I	KANA COMMUNICATIONS INC COM	200 000	20 264 97	08 CTT !! -	70 / 64 B	00 0	70 165 B
Settled	CUSIP 483600102 CHASE H&Q OTHER CHARGES 15.58	39 936600			· , · , · , · , · , · , · , · , · , · ,		
00 Y&M 01	KANA COMMUNICATIONS INC COM	000 007 11	467 242 64	86 718,282 -	PE 575 811	00 0	ÞE 929 811 -
24 Mar 00 Settled	CUSIP 483600102 HAMBRECHT & QUEST OTHER CHARGES 3 65	99 321400					
21 Mar 00	KANA COMMUNICATIONS INC COM	- 1 100 000	109 249 89	80 780 YS -	85 162 81	00 O	18 291,28
23 Mar 00 Settled	CUSIP 483600102 HAMBRECHT & QUEST OTHER CHARGES 5 45	002776 801					
20 Mar 00	KANA COMMUNICATIONS INC COM	000 005'1	103 460 32	00 290 >+ -	119 393 35	00 0	119,393 35
22 Mar 00 Settled	CUSIP 483600102 HAMBRECHT & QUEST OTHER CHARGES 7.97	132 726 100)
00 15M TI	KANA COMMUNICATIONS INC COM	000 008 1 -	10 668 862	47 828,721 -	81 040 27	00 0	72 040,18
Equities							
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amount

Transaction

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11-0288871 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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THE SEPTEMBER

Investment Transaction Detail

Total Translation Market IsoD amount Transaction - Realized gain/loss

Price Shares/PAR

Broker/Commission Qi jəssy Security description

The Northern Trust Company

OTHER CHARGES

CO21P 495582108

Pellies

52 OCI 00

13 25

BEAR STEARNS SECURITIES CORP / 762 00

Sales Trade Status Settle date

K	24 May 00
	rednities

00 to 02	KING PHARMACEUTICALS INC COM	- 12 200 000	86 289 429	- 421,612 00	86 070,57	00 0	86 070 ET
Settled Settled	CUSIP 495582108 BEAR, STEARNS, SECURITIES CORP / 108 00 OTHER CHARGES 1 92	35 000000					
00 de2 62	KING PHARMACEUTICALS INC COM	000 008'1 -	80 06Þ 29	- 53,239 92	4 520 16	00 0	4 250 16
pallas Se Sep 00	CUSIP 495582108 MAGNA SECURITIES CORPORATION / 594 00 OTHER CHARGES 10 14	30 e99500					
\$2 2€b 00	KING PHARMACEUTICALS INC COM	000 00G 6	303 350 91	16 997,265 -	00 \$S\$ Z	00 0	00 558 7
Settled Se Sep 00	CUSIP 405582108 BEAK, STEARMS SECURITIES CORP / 516 00 OTHER CHARGES 9 50	23 139900					
00 deS 12	KING PHARMACEUTICALS INC COM	000 009 8	284 474 20	9> 9EZ ZIE -	- 33 262 28	00 0	- 33 562 58
	138 00 4 62 01 HER CHARGES 4 62	-					
Settled	MERRILL LYNCH PIERCE FENNER & SMITH /	008099 09					
00 nut 05 00 nut 65	KING PHARMACEUTICALS INC COM	5 300 000	61 741 BEI	102 043 18	37 104 01	00 0	10 101 75
oo aut 7 bellied	CUSIP 495582108 BEER STEARMS SECURITIES CORP / 216 00 OTHER CHARGES 6 79	005295 95					
00 nul S	KING PHARMACEUTICALS INC COM	3 600 000	203 402 21	97 817,621	43 685 45	00 0	43 682 45
Settled	CUSIP 493308100 ROBERTSON STEPHENS & CO L R OTHER CHARGES 60	000057 2E					
Se May 00	KELNOLE 2X2 INC COM IZIN 024933081006	200 000	04 478,71	- 22,500 00	- 34 625 60	00 0	- 34 625 60
31 May 00 Settled	CUSIP 493308100 ROBERTSON STEPHENS & CO L R OTHER CHARGES 21	36 180200					
25 May 00	KEANOLE 24S INC COM ISIN 024933081006	١ 000 000	36 178 99	- 102'000 00	10 178 89 -	00 0	- 68 821 01
Settled 30 May 00	CUSIP 493308100 ROBERTSON STEPHENS & CO L R OTHER CHARGES 3 84	008868 ⊅£)
24 May 00	KEANOLE 2AZ INC COM IZIN NZ4833081008	- 3 300 000	115 162 20	- 346 500 00	- 531 332 80	00 0	231,337 80

1782820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

Total

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Portlesso Statement

Equities

Investment Transaction Detail

Trade date Status Broker/Commission Shares/PAR Transaction
Trade Status Broker/Commission Price amount Cost Market Transaction

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24 Apt 00 27 Apa 73 54 Beille2	LANTE CORP COM CUSIP SIGSGOIGI FIRST BOSTON CORPORATION OTHER CHARGES 2.58	4 200 000 18 424800	85 185 TT	- 124' 180 30	27 807 3 7	00 0	<u> 57 887,87 - </u>
00 1qA 82 bellie2	CUSIP \$16540101 FIRST BOSTON CORPORATION OTHER CHARGES 2.45	50 362500	40.700.01	67 105 05	90 box ov -	00 0	89 461 07 -
00 1qA DS	LANTE CORP COM	3 000 000	73 302 55	ES 784,641	89 161 07 -		93 691 05
25 Apr 00 Settled	CUSIP 516540101 FIRST BOSTON CORPORATION OTHER CHARGES 4 22	21 088300					
00 19A EI	LANTE CORP COM	000 000	15e 252 28	16 627 026	- 224 233 73	00 0	224 233 73
24 Apr 00 Seitled	CUSIP 516540101 FIRST BOSTON CORPORATION OTHER CHARGES 65	005781 62					
00 14A 81	LANTE CORP COM	000 008 -	56 64E 61	LL SÞ9 C9	44 596 45	00 0	- 44'536 45
Settled	CUSIP \$12807108 BEAR STEARNS SECURITIES CORP OTHER CHARGES 20 50	009784 75					
סס והני סו	LAM RESH CORP COM	000 000 91	41 977 419	60 952 165~	23 250 06	00 0	53 250 06
00 nut 8 beliled	CUSIP 512807108 BEAR STEARMS SECURITIES CORP OTHER CHARGES 4 60	00+120 80					
00 nul 8	ГРИ ВЕЗН СОВЬ СОМ	3 700 000	64 673 061	01 110 141 -	- 336 61	00 0	19 966 -
00 NeM 71 Settled	CUSIP 512807108 BEAR STEARNS, SECURITIES CORP OTHER CHARGES 28 81	006885 151					
14 Mar 00	LAM RESH CORP COM	000 007 8	864 057 92	690'878 -	282,958 43	00 0	582,958 43
14 Dec 00	CUSIP 502424104 BEAR, STEARMS SECURITIES CORP / 150 00 OTHER CHARGES 5 89	005295 07					
00 SeC 11	L3 COMMUNICATIONS HLDG CORP COM	\$ 200 000	176 250 36	27 828,781 -	18 657,8	00 0	19 627,8
o vov oo Settled	CUSIP 495582108 BEAR, STEARMS SECURITIES CORP / 198 00 OTHER CHARGES 5 21	47 312500					
00 VON 7	KING PHARMACEUTICALS INC COM	3 300 000	155 928 04	- 117 348 00	38,580 04	00 0	39 580 04

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000 71-0285871

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Investment Transaction Detail

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							Sales
IsioT	Translation	Market	Cost	Junome	Price	Asset 10 Broker/Commission	Settle date Trade Status
	ssilzed gain/loss		_	Transaction	ЯАЧ∖гэль́йС	Security description	Trade date

					000726 £7	CUSIP \$60031102 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 10 11	Settled Settled
82 769,78 -	00 O	82 Tep 18 -	71 117 06E -	303 513 29	- 4 100 000	MCDATA CORP CL B	30 Oct 00
				 	004545 19	CUSIP 580031102 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES	31 Oct 00 Settled
- 196 122 36	00 0	- 196'122 36	07 1SS 674 -	583 099 40	000 009 þ	MCDATA CORP CL B	28 Oct 00
					82 200000	CUSIP 580031102 FIRST BOSTON CORPORATION OTHER CHARGES 80	30 Oct 00 Settled
- 13 869 56	00 0	92 698 C1 -	- 38 218 40	52 649 14	300 000	A LO A ROD A TAGOM	25 Oct 00
					000529 98	CUSIP 555904101 PIPER JAFFRAY INC 07HER 555904101	00 12O ¢
11,924.92	00 0	11 924 92	22 OI	7p 269,09	000 007 -	MACROVISION CORP COM	28 Sep 00
					101 437500	CUSIP 555004101 CANTOR FITZGERALD & CO OTHER CHARGES 12.52	Settled 28 Sep 00
113 958 28	00 0	82 828 E11	- 561 347 95	375 306 23	- 3 200 000	MACROVISION CORP COM	00 qa2 22
		\		/ ₁	009225 05	OTHER CHARGES 9 27 CUSIP 52219L109	Pending
82'889'3 9	po o	e2 e88 38	59 871 212 -	E0 23B 17S	000 009 \$ -	NZ93518F1088 FIEEDOINT HOSPS INC COM ISIN	27 Dec 00
					ره £88000	USS2219L1098 CUSIP S3219L109 CUSIP S3219L109 OTHER CHARGES 2.15	20 Dec 00 Settled
16 068	00 0	890 31	- 63,536 34	64 426 65	000 009 1	LIFEPOINT HOSPS INC COM ISIN	12 Dec 00
					40 629500	OTHER CHARGES 3 80 OTHER CHARGES 3 80 OTHER CHARGES OTHER CHARGES	18 Dec 00 Settled
5'155 5∉	00 0	2,122 24	111'838 28	113 758 80	- 2 800 000	LIFEPOINT HOSPS INC COM ISIN	14 Dec 00
)					22 509400	CUSIP 516540101 FIRST BOSTON CORPORATION OTHER CHARGES 2 11	28 Apr 00 Settled
52,193 19	00 0	et E61,55 -	05.217.40	83 054 51	2 800 000	LANTE CORP COM	25 Apr 00
							Equities

Generated by The Northern Trust Company from periodic data on 26 Jan 01

THE WINTHROP ROCKFELLER FOUNDATION

Realized gain/loss

Market

Trade date Settle date Trade Status

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Investment Transaction Detail

Brokeri Commission Security description

99 777,181	00.0	00 /// 101	70.040.650	00 701 pgb	009901 811	CUSIP 595094103 BEAR STEARMS SECURITIES CORP OTHER CHARGES 16 54	00 guA s Settled
99 777 191	00 0	99 (() 191	- 334 975 32	86 152 98	4 200 000	MICROMUSE INC COM	28 Jul 90
					002677 271	CUSIP 595094103 BEAR, STEARMS SECURITIES CORP OTHER CHARGES 24 19	00 15M 7(Sellied
94 690 996	00 0	366,063 76	- 329 629 49	725 623 25	- 4 500 000	MICSOMUSE INC COM	14 Mar 00
					0009£0 881	CUSIP 595094103 FIRST BOSTON CORPORATION OTHER CHARGES 20 69	oo asm et Settled
351,590 54	00 O	351 290 54	72 706,862 -	11 866 029	- 3 300 000	MICHOMUSE INC COM	00 18M 6
					007414 33	CUSIP 591393103 CUSIP 591393103 OTHER CHARGES 2 66	22 Mar 00 Settled
01 718 11 -	00 0	01 418141 -	- 94'015 08	86 469 6 7	- 1 200 000	METASOLV SOFTWARE INC COM	00 16M TI
					005752 Þð	CUSIP 591393103 CUSIP 591393103 CUSIP 591393103	21 Mar 00 Settled
81 874 681 -	00 0	81 974 491 -	90 659'497 -	88 971 009	000 00E 6 -	METASOLV SOFTWARE INC COM	00 T&M 81
			<u></u>		61 625000	CUSIP 584699102 PIPER JAFFRAY INC OTHER CHARGES 12.33	Settled 13 Oct 00
19 156,512	00 0	213 931 67	00 908'551 -	79 757 695	000 000 9	MEDIWMNNE INC COM	00 12O 01
					92 125000	CUSIP S84699102 CUSIP S84699102 CUSIP S84699102	4 Oct 00 Settled
E1 6E8,08	00 0	50 539 13	06 07C,ES -	73 910 03	000 006	MEDIMMUNE INC COM	29 Sep 00
-					000528 58	CUSIP 584699 102 CUSIP 584699 102	Settled Settled
295 427 84	00 0	56 724 862	87 288 2E1 -	428 110 72	000 000 5 -	MEDIMMONE INC COM	\$2 26b 00
					74 023300	OTHER CHARGES 5 43 CUSIP 884699102	Settled
67 T18 T2	00 0	er r13,72	- 102,228 04	162,845 83	- 2,200 000	MEDIMMUNE INC COM	00 nut 0\$
							Equities
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Price

Shares/PAR

Cost

12/31/2000 44-066 THE WINTHROP ROCKFELLER FOUNDATION

71-0285871

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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Though o Statement

Investment Transaction Detail

-		sealvaled besiles	98B	_	00 1262051 ^T	₽A9\zeasid2	Security description Oi 1822A	eisb ebsiT eisb eilie2
{E	itoT	Translation	Market	Cost	Transaction amount	93119	Broker/Commission	Eulaic obail
								Sales
_								Equities
9	Ses 661 1	00 0	91 199 592	168,824 35	15 585'485	- 2,200 000	CUSIP 595094103	25 Sep 00
)					000002 Tel	TROSTER SINGER CORP OTHER CHARGES 14 49	pelites
2	1 916,02	00 0	20 914 12	30 483 16	81 397 28	000 00\$ -	CUSIP 595094103 MICROMUSE INC COM	29 Sep 00
						000005 60%	LEHMAN BROTHERS INC STS STARGES STS	belling

13 Jun 00 Settled	CUSIN BALISHER DAIN RAUSCHER	004609 04					
00 nut 8	NETRO CORP COM ISIN USG4114R1095	3 100 000	17 845,021	- 180'237 62	- 30'587 82	00 0	- 30 585 82
oo iut a Setited	CUSIP 599902103 ROBERTSON STEPHENS & CO L R OTHER CHARGES 14 24	006860 511					
00 nut 05	MILLENNIUM PHARMACEUTICALS INC COM	3,700 000	426 954 29	- 428,033 91	29 670,1 -	00 0	79 840 1 -
Settled Settled	CUSIP 599902103 CUSIP 599902103	120 750000					
00 AUL 72	MILLENNIUM PHARMACEUTICALS INC COM	500 000	54 149 19	- 53 804 06	545 13	00 0	245 13
29 Jun 00	CUSIP 599902103 CUSIP 599902103 CUSIP 599902103	006342 811					
00 nut 82	MILLENNIUM PHARMACEUTICALS INC COM	3 200 000	5 \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	- 385,464 96	3 127 53	00 0	ES 121,E -
23 Jun 59 Settled	CHER CHARGES 15 92 CHER CHARGES 15 92 CHER CHARGES 16 95	133 647600					
So Jun 00	MILLENNIUM PHARMACEUTICALS INC COM	- 2 300 000	387 565 12	78 809,846 -	40'926 25	00 0	40 928 52
Panding	CUSIP 595094103 FIRST BOSTON CORPORATION OTHER CHARGES 9 92	001602 72	/1 1 on22)		
27 Dec 00	MICROMUSE INC COM	- 5 200 000	09 774 762	- 198 140 53	28 92C 66	00 0	78 986,86
Settled 22 Dec 00	OTHER CHARGES 9 11 CORID 292094103 CORID 292094103	118 808800					
19 Dec 00	MICHOMUSE INC COM	- \$ 300 000	273 251 13	- 248'294 27	24 656 86	00 0	24 656 88
4 Oct 00 Settled	CUSIP 595094103 LEHMAN BROTHERS INC OTHER CHARGES 272	000005 EOZ					
00 qs2 65	MICROMUSE INC COM	000 000 -	82 795 18	30 483 16	71 916 05	00 0	20,914 12
Settled 28 Sep 00	CUSIP 595094103 TROSTER SINGER CORP OTHER CHARGES 14 49	000005 761					•

THE WINTHROP ROCKFELLER FOUNDATION 1 2/3 1/2000 7 1-028 58 7 1

OTHER CHARGES

- Realized gain/loss -

Market

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Investment Transaction Detail

Trade date Settle date Trade Status **Broket/Commission** Security description

The Northern Trust Company

Sales

Equities

28 Sep 00 Sellled	CUSIP 64120L104 SCHWAB CHARLES OTHER CHARGES 18 92	132 152000					
25 Sep 00	NETWORK APPLIANCE INC COM	- 4 200 000	80 90\$ 79\$	00 570 42 -	213 431 08	00 0	80 (64 618
Settled Settled	CUSIP 64120L104 CHASE H&Q OTHER CHARGES 7 74	002089 981					
21 Sep 00	NETWORK APPLIANCE INC COM	000 002 1	535 178 60	- 21 887 50	\$10 581 10	00 0	210 291 10
Settled	CUSIP 64120L104 SMITH BARNEY INC OTHER CHARGES 11 04	000251 78					
00 nut 02	NETWORK APPLIANCE INC COM	3 800 000	96 890,168	- 229,247 80	101816	00 0	91 918'101
Settled	CUSIP 64120L104 CANTOR FITZGERALD & CO CANTOR FITZGERALD & CO OTHER CHARGES 16 63	207 836500					
14 Mar 00	METWORK APPLIANCE INC COM	5 400 000	76 087 8 2 4	00 008 19	436 997	00 0	26 066 9E ▶
Settled	CUSIP GALIARIOS COLOMPA SACHS & COMPANY OTHER CHARGES 7 /2	00+CBE 65					
28 Sep 00	NETRO CORP COM ISIN USG4114R1095	3 000 000	PS 782 165	- 273 000 00	- 41 415 40	00 0	- 41 415 40
2 Oct 00	CUSIP 64 14R109 COLDMAN SACHS & COMPANY OTHER CHARGES 6.59	001598 65					
00 da2 85	NETRO CORP COM ISIN USG4114R1095	- 3 300 000	197 548 24	≯1 158,8ES -	- 38 072 90	00 O	06 270,85 -
Settled	CUSIP 64114R109 GOLDMAN SACHS & COMPANY OTHER CHARGES 11 03	03 625000					
25 Sep 00	NETRO CORP COM ISIN USB4114R1095	000 002 9 -	330 838 83	86 646,776 -	- 46 510 99	00 0	68 OIS 35 .
oo nut 21 ballied	OTHER CHARGES 337 CUSTR 64114R109	42 034500					
00 nut \$1	NETRO CORP COM ISIN USGATIAR 1095	S 400 000	64 678 001	- 117,102 24	- 16 222 81	<i>0</i> 0 0	16 222 81
00 nut 9) belite2	CUSIP 6414R109 DAIN RAUSCHER OTHER CHARGES 980	42 806800					
00 aut 6	NETRO CORP COM ISIN USE4114R1095	000 006 9	30 177,265	+6 899'9EE -	88 768 04 -	<i>0</i> 0 0	BB 768,05 -

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Generated by The Northern Trust Company from periodic data on 26 Jan 01

Investment Transaction Detail

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	ssol/uisg bəsilse	98 Be		Transaction	ЯА҉Ч\́гель́д2҈	Security description Asset (D	Trade date Settle date

00 194 61 25 Apr 00 Settled	NIKU CORP COM ISIN US6541131099 DAIN RAUSCHER OTHER CHARGES 1 39 OTHER CHARGES 1 39	30 845400 5 000 000	41 283 41	02 650 661 -	6Z 59C Z6 -	00 0	67 23E,76 -
S4 Apr 00 Settled	CUSIP 654113109 DAIN RAUSCHER OTHER CHARGES 11 98	006671 02					
00 1qA 81	NIKO CORP COM ISIN USES41131099	000 008 71	929 I BO 54	88 752,752 1	49 745 BTB -	00 0	49 YÞC,878 -
Settled	CUSIP 644383101 FIRST BOSTON CORPORATION OTHER CHARGES 30 79	004056 521		-			
24 141 00	NEM LOCUS INC COM STK	6,000 000	853 223 41	62 pp2'172 -	21 602 399	00 0	\$1 605,388
Settled	CUSIP 64120L104 PIPER JAFFRAY INC OTHER CHARGES 56	83 631900					
00 VON E1	NETWORK APPLIANCE INC COM	- 200 000	16 725 82	2 222 00	14,150 62	00 0	14,150 82
Seitled	CUSIP 64120L104 PIPER JAFFRAY INC OTHER CHARGES 61	00015006					
00 VON 01	NETWORK APPLIANCE INC COM	500 000	61 060 81	00 575 5 -	61 919 91	00 0	61 212 21
00 vov Pr belifed	CUSIP 64120L104 PIPER JAFFRAY INC OTHER CHARGES 1 97	98 200600					
00 VoN 8	NETWORK APPLIANCE INC COM	000 009 -	68 818 39	- 7 725 00	61 163 36	00 0	21 193 39
13 Nov 00 Settled	CUSIP 64120L104 PIPER JAFFRAY INC OTHER CHARGES 3 80	113 842200			A) 400 000	•••	at 000'aa i
00 VON B	NETWORK APPLIANCE INC COM	000 000 1 -	09 838 611	00 \$28 71 -	100 963 40	00 0	100,963 40
Settled Settled	CUSIP 64120L104 SMITH BARNEY INC OTHER CHARGES 14 53	004382 041					
00 toO 61	NETWORK APPLIANCE INC COM	- 3 100 000	432,803 31	- 39 912 50	395,890 81	00 0	395 890 81
4 Oct 00 Settled	CUSIP 64120L104 CENTOR FITZGERALD & CO OTHER CHARGES 3 13	134 000000					•
39 Sep 00	NETWORK APPLIANCE INC COM	000 007 -	₹8 967,6 6	- 9 012 50	76 487 48	00 O	7E 487,48

THE WINTHROP ROCKFELLER FOUNDATION

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Generated by The Northern Trust Company from periodic data on 26 Jan 01

Sales

Account Name WROCKEFELLER-ESSEX

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- Realized gain/loss

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Investment Transaction Detail

The Northern Trust Company

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e8 £23 \$3	000	₹ 623 83	- 30 434 28	25 810 73	400 000	ONI SYS CORP COM	00 VON 6
_					000278 99	CHER CHARGES 90 CHASE HAGO OTHER CHARGES 90	Settled
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25 589 06 •	00 0	- 30'682 25	780 212 25	249,530 00	- 3 000 000	оиі заз совь сом	00 von 0
)					00E412 1C	CUSIP 68273F103 CHASE HŁQ OTHCR CHARGES 13 38	25(1)6q 55 2eb 00
9) 562 65 -	000	9+ 962'69 -	- 460,625 00	401 339 54	000 000 0	ONI SYS CORP COM	00 qa2 61
					75 265600	OTHER CHARGES 3 02 CHASE HEO CUST 68273F103	00 guA 7 belite2
OC 605,25 -	00 0	- 32'300 30	- 152'052 00	07 215 00	1 200 000	ONI 2A2 COBE COM	00 guA S
					002757 18	CUSIP GR273F103 CHASE HRQ OTHER CHARGES 2.18	00 guA A belite2
00 623 81 -	00 0	00 655 81 -	Z8 8C6 C8 -	\$8 GYE \$9	000 008	ONI SYS CORP COM	00 guA 1
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27 462,541 -	00 0	27 462 241 -	27 418 028 -	76 61 E,802	000 006 \$	ONI SAS COSS COM	31 Jul 00
			· -		93 031300	CUSIP 68273F103 CHASE H&Q OTHER CHARGES 3 42	00 guA S balile2
pp 467 ES -	00 D	23 794 44	- 158 155 45	102 331 01	1 100 000	ONI SYS CORP COM	00 Inc 82
						OTHER CHARGES 12 14	
,					007511 81	CUSIP 655664100 BEAR, STEARNS SECURITIES CORP /	00 ced 21 Settled
ÞS 585 SS -	00 0	PS 585,55 -	20 785,814 -	362 801 48	52 600 000	иократком исс сом	12 Dec 00
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990-PF THE MINITHROP ROCKFELLER FOUNDATION

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12/31/2000

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

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Investment Transaction Detail

Broker/Commission

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28 Nov 00 28 Nov 00 22 Nov 00	OTHER CHARGES 148 CUSIP 683757108 US693571089 OPNET TECHNOLOGIES INC COM ISIN	73 341600 1 200 000	44 S23 20	22 810,61 -	- 32'432 69	0 0 0	32°452 69
00 1014 55	OTHER CHARGES 4 13	000 006 1	25 C 5 C PV	20 870 67	69 25 25 -		03 30 30
13 Nov 00 Settled	OZERED CHARGE (13 CUSIP 683757108 US683757108	39 875000					
00 VON B	OPNET TECHNOLOGIES INC COM ISIN	3 100 000	123 453 37	97 877 95! -	19 325 41	00 D	19,325,61 -
Settled	CUSIP 683718100 F1RST BOSTON CORPORATION OTHER CHARGES 80	39 777500					
\$1 Dec 00	OPENWAVE SYS INC COM	000 009	23 865 70	- 45,849 36	99 286 81 -	00 0	- 18,983 60
Settled	CUSIP 683718100 FIRST BOSTON CORPORATION OTHER CHARGES 3 70	45 648100					
20 Dec 00	OPENWAVE SYS INC COM	2,600 000	110,881 36	- 182 680 26	- 14,799 20	00 0	02 667,47 -
Settled	OTHER CHARGES 1.27 CHASE HRQ CUSIP 683718100	009591 92					
20 Nov 00	OPENWAVE SYS INC COM	000 005 -	38 081 53	- 8 923 85	59,157 68	00 0	89 721,157 68
20/11#q 30 //00 00	O1HEK CHYKGEZ	00E2GÞ 58					
00 VON 71	OPENWAVE SYS INC COM	000 007 1 -	142 332 06	- 30 341 09	76 066 411	00 0	76 066 Þ!!
Settled Settled	CUSIP 68273F103 GOLDMAN SACHS & COMPANY OTHER CHARGES \$ 16	38 039800			-	-	
30 NOV 00	oni zaz cobb com	000 000 7 -	124 224 D4	- 301 073 88	PB 612 8P1	00 0	ÞB 615 8Þ1 -
4 Dec 00 Settled	CUSIN 68273F103 COLDMAN SACHS & COMPANY OTHER CHARGES 2 83	009511 74					
00 AON 62	ONI SYS CORP COM	000 008 1 -	84 802 22	- 136,955 52	TS 021 S2 -	00 0	72 021,22 -
00 vov 21	CUSIP 68273F103 CHER CHARGES 22 OTHER CHARGES 22	008516 Þ9					
00 VON 01	ONI 275 CORP COM	000 001	18 164 9	Þ9 809 Z	EE ZII I -	00 0	EE ZII I

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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Generaled by The Northern Trust Company from periodic data on 26 Jan 01

- Realized gain/loss -

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					<u> </u>	OTHER CHARGES 15 OTHER CHARGES 15	
					0057£1 11	801727£89 912UO	pennes co and oz
55 166'11 -	00 O	55 166 11 -	15,846 40	58 ÞSÞ Þ	000 006 -	DZ6837571081 OPNET TECHNOLOGIES INC COM ISIN	22 Dec 00
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Generaled by the Northern Trust Company from periodic data on 26 Jan 01

- Realized gain/loss

Market

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Total

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Security description
Broker/Commission

Sales

Trade date Settle date Trade Status

Investment Transaction Detail

Price

Shares/PAR

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Transaction

settled Settled	CUSTP 6934F106 FIRST BOSTON CORPORATION	143 652000					
00 YeM 0	РМС SIERRA INC COM	000 000 1	143 050 51	- 91,572,39	52 O47 82	00 0	52,047 82
May 00	CUSIP 69344F106 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 10.26	000000 171					
00 Y≤M I	PMC SIERRA INC COM	000 00R I -	307 785 74	362,177 92	81 88C th	00 0	81 886 44 .
00 JBM 51 Settled	CUSIP 69344F106 SMITH BARNEY INC OTHER CHARGES 7 70	008778 062					
00 16M ÞI	PMC SIERRA INC COM	000 000 1	230 970 20	- 46 965 55	184 004 65	00 0	59 100 181
	1 894 00 ОТНЕК СНАЯСЕЅ 11 39						_
balifed	BEAR, STEARNS SECURITIES CORP /	000578 01					
1 Dec 00	PIER 1 IMPORTS INC COM	31 400 000	19 676 655	pp E71,26E -	58 583,58 -	00 0	- 52 593 81
00 t20 t	CUSIP 720279108 BEAR, STEARNS SECURITIES CORP / 276 00 OTHER CHARGES 1 97	12 832900					
00 de2 66	PIER 1 IMPORTS INC COM	000 003 Þ	SB 753 37	91 452 78 -	1 301 51	00 0	130131
oo des es	CUSIP 720279108 MAGNA SECURITIES CORPORATION / 1 554 00 OTHER CHARGES 11 68	13 256500		,Į			
00 da2 25	PIER I IMPORTS INC COM	52 000 000	348 770 67	- 353 480 84	52 SDO 03	00 0	52 530 03
selled 0 Dec 00	US7134091005 CUSIP 713409100 BEAR STEARNS, SECURITIES CORP / 270 00 OTHER CHARGES 6 26	002783 14					
5 Dec 00	PEPSI BOTTLING GROUP INC COM STK ISIN	- 4 200 000	ea Tie,Tbi	- 150,041 25	37 276 24	00 0	97,276 24
Dec 00 balified	CUSIP 696642101 FIRST BOSTON CORPORATION OTHER CHARGES 17 30	34 364800					
00 VON 6	PALM INC COM STK ISIN# USE966421074	000 001 51	81 168 813	74 686 087	261 472 29	00 0	- 561 415 59
0 Nov 00	OTHER CHARGES 4 39 CUSIP 696642107	008518 65					
00 voN	PALM INC COM STK ISIN# US6966421074	5 200 000	76 285 151	7E 569 CI I -	£9 068,71	00 0	£8 068,71
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The Northern Trust Company

OTHER CHARGES

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- Realized gain/loss

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Total

Investment Transaction Detail

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00 VON 52 00 VON 52 ballie2	POLYCOM INC COM CUSIP 73172K104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 285	001029 ZF	SE LEE SA	08 1G0 OF1 -	S# #55 55	00 0	SP PSE SS -
00 guA 81 belite2	CUSIP 73172K104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 24 BU	007840 10					
00 guA (1	POLYCOM INC COM	B 200 000	\$\$ \$7\$ 8\$T	48 184 748 -	99 092 61	00 0	18 260 68
oo unt (CUSIP 73172K104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 7 95	00788 EO1					
00 nut 5	POLYCOM INC COM	- 2 300 000	538 452 46	- 184 400 36	01 250,42	00 0	24 052 10
oo Kew 5 Settled	OTHER CHARGES 15 08 OB CLEARING SERVICES OTHER CHARGES	006176 11					,
00 YEM 5	Рогусом имс сом	2 800 000	425 256 74	• 465 329 38	- 13 072 62	00 0	29 270,61 -
Settled Nov 00	CUSIP 69344F106 CHASE H&Q OTHER CHARGES 15 72	0005E1 Z51					
00 toO 00	PMC SIERRA INC COM	000 000 E	471 389 28	e38'e32 5 0	- 167 245 92	00 0	26 242 791 -
pe()(00 1 OC: 00	CUSIP 69344F106 ROBERTSON STEPHENS & CO L R OTHER CHARGES 3 86	531 152000					
00 deS 68	PMC SIERRA INC COM	000 000	19 898 911	- 106,439 20	pp 611 6	00 0	\$ 611 6
8 Sep 00	CUGIP 6934¢F108 TROSTER SINGER CORP OTHER CHARGES 19.11	559 520000					
25 Sep 00	PMC SIERRA INC COM	2 500 000	68 201 572	- 235 186 00	68 606 0>	00 0	68 608,05
00 ge S 89 beilied	CUSIP 69344F106 PRUDENTIAL SECURITIES INCORP OTHER CHARGES 6 68	552 262500			•		-
00 ga2 19	PMC SIERRA INC COM	000 006	200 599 57	- 191 290 28	10 607 8	00 0	10 607 8
00 guA i	CUSIN 89344F106 SMITH BARNEY INC OTHER CHARGES 20 02	006528 991					
00 guA 1	PMC SIERRA INC COM	- 3 600 000	600 553 22	08 270 691 -	431 477 42	00 0	24 774 164
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Transaction

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12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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Investment Transaction Detail

EZ 186 CI -	00 0	EZ 182 S1 -	38 138 36	E9 958 S1	000 006	POLYCOM INC COM	21 Nov 00
					40 632100	CUSIP 73172K104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 1 09	24 Nov 00
£1 277,25 -	00 0	EI 277,ES -	27 875,88 -	35 504 59	800 000	POLYCOM INC COM	20 Nov 00
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Page 94 of 225						nent Transaction Detail	Investm

00 16M f1 00 1qA i beliled	PRICELINE COM INC COM CUSIP 741503106 LEHMAN BROTHERS INC OTHER CHARGES 49 75	000 004 61 - 003326 37	1 4 95 386 89	\$2 812 2€7 I	- 539 891 95	00 0	539 891 95
palitas 00 des 60	CUSIP 738126105 FIRST BOSTON CORPORATION OTHER CHARGES 0 62	47 266700					
00 de2 b	PORTAL SOFTWARE INC COM	000 001 9 -	288 317 25	- 341 072 35	01 227 22 -	00 0	01 52,755 .
s Sep 00	CUSIP 736126103 FIRST BOSTON CORPORATION OTHER CHARGES 9 26	46 296400					
00 de2 £	PORTAL SOFTWARE INC COM	000 000 9	P1 697 77 <u>2</u>	- 332,481 00	9B 117,52 -	00 0	88 117,52 -
00 guA Ti	CUSIP 736126103 THOMAS WEISEL PARTNERS LLC OTHER CHARGES \$ 22	000000 Þ\$				_ 	
00 guA >	PORTAL SOFTWARE INC COM	7 900 000	BT 462 821	- 162,149 15	7E \$28 2	00 0	76 p22 2 -
00 guA 8 belitet	CUSIP 738126103 INSTINET / 115 00 OTHER CHARGES 4 26	000018 88					
00 guA (PORTAL SOFTWARE INC COM	5 300 000	157 567 54	- 158 601 05	19 880'1 -	00 O	13 250 1 -
Dec 00	CUSIP 73172K104 SMITH BARNEY INC OTHER CHARGES 1.25	005155 19					
2 Dec 00	POLYCOM INC COM	000 006	37 376 92	- 62 132 10	72 B27 PS -	00 0	72 827,42 -
9 Dec 00	CUSIP 73172K104 CUSIP 73172K104 OTHER CHARGES 5 25	42 068400	<u></u>				
4 Dec 00	POLYCOM INC COM	000 006 ε -	100 401 21	- 270 428 61	OP 520 PO!	00 0	01 750,101 -
00 VoV V	CUSIP 73172K104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES \$3	39 642900		· · · · · · · · · · · · · · · · · · ·			
00 VON 1	POLYCOM INC COM	000 001	12 828 63	58' 138 36	- 12 281 73	00 0	- 12,281 73
4 Nov 00	CUSIP 73172K104 THOMAS WEISEL PARTNERS LLC OTHER CHARGES 1 09	40 632100	· · · · · · · · · · · · · · · · · · ·				
00 VON 0	POLYCOM INC COM	000 008	35 204 28	27 872,88 -	E1 277,ES -	00 0	- 23,772 13

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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					83 382400	CUSIP 74369L103 FIRST BOSTON CORPORATION	Settled
55 823 40	00 0	22 953 46	135 283 52	128 536 98	000 00G L	PROTEIN DESIGN LABS INC COM	29 Nov 00
					00+189 96	CUSIP 743892103 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 65	Settled Settled
DZ 560 S	00 0	DZ 960 S	- 14 240 37	19 332 e3	300 000	PROTEIN DESIGN LABS INC COM	12 NOV 00
-			- -		00 71 €7 ≱6	CUSIP 743691/03 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 64	Seliled 5 Nov 00
EE 717 P	00 0	EC TIT Þ	- 14,240 37	OT T26 BI	200 000	PROTEIN DESIGN LABS INC COM	14 Nov 00
			, <u> </u>		006147 661	CUSIP 74369L103 FIRST BOSTON CORPORATION OTHER CHARGES 9 81	2ettled 13 Nov 00
08 878,781	00 0	05 878 751	- 128'844 03	294 222 37	- 2 200 000	PROTEIN DESIGN LABS INC COM	00 VON B
					000000 511	CUSIP 74369L103 FIRST BOSTON CORPORATION OTHER CHARGES 5 37	11 Oct 00
69,5662 68	00 0	99 799 09	76 155 001 -	E9 966 091	000 000 1	PROTEIN DESIGN LABS INC COM	5 Oct 00
					000057 721	CUSIP 74369L103 DAIN RAUSCHER OTHER CHARGES 4 26	4 Oct 00 Settled
22 823 24	00 0	52 953 24	- 71,792 20	47 245 TSI	000 000 1	PROTEIN DESIGN LABS INC COM	29 Sep 00
				-	124 250000	CUSIP 74369L103 FIRST BOSTON CORPORATION OTHER CHARGES 22 37	Settled
283 249 75	00 0	283 249 75	387 677 88	69 726 078	- 2'400 000	PROTEIN DESIGN LABS INC COM	25 Sep 00
			- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1-		000092 011	CUSIP 74369L103 FIRST BOSTON CORPORATION OTHER CHARGES 9 23	28 Sep 00 Settled
586,7 6	00 0	72 285,76	O2 084 671 -	276,865 77	5 200 000	PROTEIN DESIGN LABS INC COM	31 Sep 00
			<u></u>		000000 521	CUSIP 74369L103 FIRST BOSTON CORPORATION OTHER CHARGES 8 17	Settled
73 £78 £4	00 0	79 E76 E4	201,018 16	244,991 83	000 000	PROTEIN DESIGN LABS INC COM	20 Jun 00
							Equities
							sales

THE WINTHROP ROCKFELLER FOUNDATION

1788820-17

The Northern Trust Company

2 28

OTHER CHARGES

Page 96 of 225

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Equities

Investment Transaction Detail

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lstoT	 Market	Cost	Transaction amount	SA9\29a6d2 9arg	Broker/Commission Asse <u>r</u> 1D Security description	Frade date Settle date suisfa obsit

4,232 54	00 0	4°535°24	11 127 24 -	S9 £56'9 +	- 600 000	PROTEIN DESIGN LABS INC COM CUSIP 74369L103 FIRST BOSTON CORPORATION	2 Dec 00 30 Nov 00
						OTHER CHARGES 1 57	
- 266,289 25	00 o	- 266,289 25	- 1 163,269 30	50 086'965	000 005 6 -	DONALDSON LUFKIN & JENRETTE SECURITIES CUSIP 747277101 CLOGIC CORP COM	9 May 00 12 May 00 Settled
						CORP OTHER CHARGES 19 90	
25 566	00 0	993 25	50 050 69 -	£\$ 950 £69	12 700 000	OLT INC COM	00 16M 21
					64 573200	OTHER CHARGES 23 11 DB CLEARING SERVICES	00 JaM 71 Settled
78 68S 2	00 0	78 685 S	95 882,67 -	E# 8/S #8	1 300 000	OLT INC COM	20 Jul 00 23 Jul 60
					005290 59	DAIN RAUSCHER OTHER CHARGES 2 82	Settled
- 7,234 64	00 0	+9 462 7 -	27 827,481 -	80 666,771	- \$ 200 000	CUSIP 746927102	\$6 Sep 00
	· ·				000000 12	ADAMS HARKNESS & HILL INC	Settled
08 767 Þ7	00 0	OB 767 Þ7	81 955 555 -	830 323 88	000 000 B	OLT INC COM CUSIP 746927102	25 Sep 00
)					000218 91	OTHER CHARGES 21 02	perited
16 804 35	00 0	16 804 32	27 39£ 78	104 201 07	000 005 1	QLT 1NC COM CUSIP 746927102	2 Oct 00
-					007694 69	LEHMAN BROTHERS INC OTHER CHARGES 3 48	Settled
7E 4E8,41 -	00 0	75 458,41 -	- 142 661 25	130 856 88	7 200 000	OLT INC COM	00 120 6
					23 335200	CUSIP 746927102 OPPENHEIMER & CO INC OTHER CHARGES 4 37	13 Oct 00 Settled
₱1 6 06 Z -	00 0	ÞI 606'Z -	192 082 70	95 671 481	000 00h E -	CUSIP 746927102	10 Oct 00
					0020T1 AZ	OPPENHEIMER & CO INC	2#### 2###############################

THE WINTHROP ROCKFELLER FOUNDATION
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1782820-17

OTHER CHARGES

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Investment Transaction Detail

Page 97 of 225		

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Translation Market Cost amount Price Transaction - Realized gain/loss

Shares/PAR

Broker/Commission Security description Asset 1D

Sales Trade date Settle date Trade Status

Equities

Out To Sellied	CUSIP 767209101	113 750000	00 00t C0t	7. 570'000 -	co ocoles	AD A	E9 9 S 9 6Þ
00 aut S	REDBACK NETWORKS INC COM ISIN	- 3 600 000	486 35	27 628,825 -	49,656 63	00 0	
12 May 00 Settled	\$1016057272U 101605727 912UJ HADUSCHER 65 \$ 339AHJ RIHTO	0015#8 65					
00 yeM 6	REDBACK NETWORKS INC COM ISIN	- 5 500 000	131 624 83	96 S68'612 -	11 142,88 -	00 0	- 88 241 11
8 May 00 Settled	US7572091012 CUSIP 757209101 DAIN RAUSCHER OTHER CHARGES 24 57	00162p b7					
4 May 00	REDBACK NETWORKS INC COM ISIN	000 006 6	736 823 52	- 1'308 806'13	19 848 178	00 0	19 218 172 -
oo Jen Vi Settled	US7272091012 CUSIP 757209101 DAIN RAUSCHER OTHER CHARGES 15 93	008¢9¢					
14 Mar 00	REDBACK NETWORKS INC COM ISIN	1 300 000	477 688 31	- 89 654 32	388 OE3 96	00 0	388'063 96
Settled	CUSIP 75127302 BEAR STEARMS SECURITIES CORP / 582 00 OTHER CHARGES 8 09	52 003600					70.10010
12 Dec 00	AUORD ANIRUS NOTSJAR NOTSJAR	000 00Y 6 -	545 003 03	- 568,694 85	- 28 691 82	00 0	- 26,691 82
00 to 01 Settled	CUSIP 747225103 FIRST BOSTON CORPORATION OTHER CHARGES 25 20	000100 41					
11 Oct 00	OUALCOMM INC COM	10 200 000	BC ETT 22T	82 007 748 -	02 726 16	00 0	02 726,18 -
Settled	CUSIP 746927102 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES	00021g Ap					
00 AON \$1	ОГ1 INC COM	300 000	13 492 08	AB 785 84	67 267 S .	00 0	67 205 Z
00 vov 01 Settled	CUSIP 746927102 LEHMAN BROTHERS INC OTHER CHARGES 4 92	25 039900					
00 von 7	OLT INC COM	- 2 800 000	147 386 80	- 125 019 84	+ 4'633 04	00 D	- 4'633 04
Settled	CUSIP 746927102 OPPENHEIMER & CO (NC OTHER CHARGES 7 17	25 293400					
11 09 00	מרז ומכ כסא	000 001 b -	77 208 P12	- 556'220 45	59 447,11 -	00 0	59 444 11 -

1782820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

MORGAN STANLEY & CO INC

OTHER CHARGES

00 ابال 28 00 وبالم 2	NZJZSSB1015 REDBYCK NELMOBKZ INC COM IZIN	000 008 6 -	97 452 774	87 878 81£ -	86 248,821	00 0	86 578 851
	GOLDMAN SACHS & COMPANY OTHER CHARGES 9 63			 			
00 lut 12 Sellied	US7572091012 CUSIP 757209101	137 539000					
00 IUL 81	REDBACK NETWORKS INC COM ISIN	000 001 Z	288 822 27	79 006 602 -	09 126 87	00 0	09 126 84
	ROBERTSON STEPHENS & CO L R				<u> </u>	· —· —	
Settled	COSIB 127209101	125 203800					
00 luC 11	US7572091012						
00 171 8	KEDBECK NELMORKS INC COM ISIN	000 001 Z -	350 313 30	79 006 607 -	110 472 63	00 0	110,472 63
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Trade Status	Broker/Commission	Price	Inuoms	Cost	Market	Translation	Total
elsb ebsil	Security description Asset JD	Sharos/PAR	กงปวด2กราT		ย	esilzed gain/loss —	
Investm	nent Transaction Detail						Page 98 of 225

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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Generated by The Northern Trust Company from periodic data on 26 Jan 01

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The Northern Trust Company

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OTHER CHARGES

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OTHER CHARGES PIPER JAFFRAY INC

CUSIP 757209101

OTHER CHARGES SMITH BARNEY INC

CUSIP 757209101

OTHER CHARGES DAIN RAUSCHER

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					002756 501	CUSIP 80864H109 OTHER CHARGES 13 07 OTHER CHARGES 13 07	00 NaM VI Settled
56 740,4 -	00 0	\$6 ZÞO Þ -	67 290 965 -	392 017 84	3 200 000	SCIENT CORP COM	Equities
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IsioT	- Realized gain/loss -	19J16M	Cost	Transaction amount	AAq\ <u>eal</u> e <u>ič</u> Price	Sroker/Commission	Trade dete Settle dete sutstS ebst
225 to 66 egs4						ent Transaction Detail	uvestm

2 Nov 00	CUSIP 784076101	002092 000					
30 Oct 00	2DF INC COM	000 005 1	951 639 69	91 665,104 -	74 ee7 e7 -	00 0	TA 82T 8T -
	OTHER CHARGES 318)
4 Oct 00 Settled	COSIP 784076101 COSIP 784076101	005281 715					
29 Sep 00	SDL INC COM	300 000	15 151 56	70 SEE,E8 -	31 819 44	00 0	>> 618 IC
	OTHER CHARGES 18.81		<u> </u>		··· /· /· /· /· /· /· /· /· /· /· /· /·		
Settled	TROSTER SINGER CORP	325 205200					

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JS/31/2000 Generaled by The Northern Trust Company from periodic data on 26 Jan 01
THE WINTHROP ROCKFELLER FOUNDATION

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The Northern Trust Company

OTHER CHARGES

CUSIP 784076101

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OTHER CHARGES

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2DF INC COM

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MORGAN STANLEY & CO INC

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Equities

Investment Transaction Detail

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IstoT	Translation	Market	Cost	Iransaction Innoms	Price	Settle date Asset ID Trade Status Broker/Commission
	ssol/uleg bazile	eg	<u>'</u> !	Transaction	ЯАЧ\29\6ДЗ	Trade date Security description

00 Apt 00 13 Apt 00 beilied	SEQUENOM INC COM 151N USB173371084 CUNEN AND COMPANY COWER CHARGES 6 47 OTHER CHARGES	4 300 000	19 066 261	26 215 8pp -	16 586 2 52 -	00 0	18 \$88 387 -
eilled 6 Sep 00	CUSIP 817315104 LEHMAN BROTHERS INC OTHER CHARGES 1 35	005959 001					<u></u>
00 des 1	SEPRACOR INC COM	400 000	40 561 13	24,786.20	56 pTp,21	00 0	£6 474,21
paggag go dag g	CUSIP 817315104 LEHMAN BROTHERS INC OTHER CHARGES 4 40	101 332400			<u> </u>		
00 des 0	SEPRACOR INC COM	1 300 000	131 727 72	ÞI 555 08 -	B2 271 12	00 0	82 1112 88
settled 2. Sep 00	CUSIP 817315104 LEHMAN BROTHERS INC OTHER CHARGES 13 54	002812 (01					
00 das 8	SEPRACOR INC COM	000 000 Þ	400 020 50	- 247 861 99	75 TEI BZI	00 0	72 761 821
00 nut E beilied	CUSIP B17315104 SMITH BARNEY INC OTHER CHARGES 5 30	113 262500					
מס מטל נ	SEPRACOR INC COM	000 004 1 -	128'985 50	12 208 98	75 079 99	00 O	66 670 27
settled	CUSIP BITAISION OTHER CHARGES 2 22 OTHER CHARGES 2 22	92 058900					
3 May 00	SEPRACOR INC COM	000 002 -	10 819 99	17 208 59 -	22 615 30	00 0	22,615 30
oo Kew si	CUSIP 817315104 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 3 15	94 402300					
00 YEM 5	SEPRACOR INC COM	000 000 1	S1 66C Þ6	91 817 29 -	96 089'18	00 0	66 089,15
effled	CUSIP 817315104 CUSIP 817315104 CUSIP 817315104	001115 101	- 				
00 YEM 9	SEPRACOR INC COM	1 200 000	152 261 57	- 92,322 89	28'938 68	00 0	89 886 99
May 00	CUSIP 817315104 ROBERTSON STEPHENS & COLR OTHER CHARGES 11.26	004554 96					
00 YEM	SEPRACOR INC COM	000 009 € -	337 582 64	- 534'048 54	103 236 40	00 0	103 236 40

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Page 101 of 225

Investment Transaction Detail

69 408,04	00 0	69 8 08 09	392 744 04	433 248 23	000 005 S -	SMITH INTL INC COM CUSIP 8321/01/00 BEAR STEARNS SECURITIES CORP / 312 00 OTHER CHARGES 14 47	20 Sep 00 25 Sep 00 Settled
58 338 48	00 0	58 338 49	£0 85\$ ¢6Z -	700 519 24	000 000 E	SMITH INTL INC COM CUSIP 8321 IO100 BEAR, STEARNS, SECURITIES CORP / 234 00 OTHER CHARGES 8 89	Onut S Onut 7 Settled
65 81 Þ Z	00 0	65 81 b Z	98 GPG SC1 -	143 308 42	000 008 I	SMITH HITL INC COM CUSIP 832110100 MAGNA SECURITIES CORPORATION / 108 00 OTHER CHARGES 4 79	Sellled Sellled
					005781 48	CUSIP 832110100 BEAR STEARNS, SECURITIES CORP / 216 00 OTHER CHARGES 10 11	00 ysw 61 Settled
71 696 OE	00 0	71 646 OE	27 669,172	302 848 89	000 009 E	CUSIP B26170102 OTHER CHARGES 37 70 SMITH INTL INC COM	00 nut 8 ballia2 00 ysM 91
15'05¢ 62	00 0	12 024 65	02 518 811 1 -	St 768 OCt,1	8 200 000	SIEBER SAS INC COME COMEN AND COMPANY COUST 81333108	OO 10A EI Dailtie2 OO nut 8
82 569,63 -	00 0	85 269 65 -	06 148,88 -	Se 148 35	-1 000 000	SEQUENOM INC COM ISIN USB173371084 COWEN BUT COMPROS CUSIP 817337108	00 Apr 00 Settled
10 998 58	00 0	70 998 58 -	05 \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	47 071 43	30 000 000	SEQUENOM INC COM ISIN USBI73371084 COWEN AND COMPANY	5 Apr 00 13 Apr 00
EI EYY, 34 -	00 0	EI ETT,81 -	00 006,07 -	24 126 87	000 008	COSTE B173371084	00 19A SI 00 19A TI
19 176,54 -	00 0	t	22 810,78 ·	S¢ 6¢¢ 8¢	32 508100	SEQUENOM INC COM ISIN USB173371084 CUSIP B17337108 COWEN AND COMPANY OTHER CHARGES 83	00 19A 11 00 19A 11 ballia2
							Equities
							Sales
lsJoT		Market	Cost	Transaction Inuoms	AA9\zənad2 Poliq	BroketiCommission BroketiCommission	Trade date Settle date Trade Status

990-PF THE WINTHROP ROCKFELLER FOUNDATION

Generated by The Northern Trust Company from periodic data on 26 Jan 01

11-0285871 12/31/2000

COLDMAN SACHS & COMPANY

GOLDMAN SACHS & COMPANY

OTHER CHARGES

CUSIP 88033A103

TENFOLD CORP COM OTHER CHARGES

Broker/Commission

Asset 10 Asset 10

Investment Transaction Detail

Settled

Settled

Sales

Trade Status

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1782850-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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Cost

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2 May 00 5 May 00	COSIF 88033A103	1 200 000	30 640 73	- 63,485 36	- 35 854 63	00 0	- 32,824 63
25 Apr 00 Settled	CUSIP 88033A103 COLDMAN SACHS & COMPANY OTHER CHARGES 3 77	002185 12			-		
00 1qA BI	TENFOLD CORP COM	000 001 r -	98 620 811	86 658 915 -	- 103,760 42	00 0	- 103 760 42
OD APL OO Settled	CUSIP B79202109 FIRST BOSTON CORPORATION OTHER CHARGES 13 09	00/240 SE					
00 1qA A	TELAXIS COMMUNICATIONS CORP	11,200 000	392 465 15	• 262 292 24	- 172 830 09	00 0	90 0EB,2TI
Settled	CUSIP BY9202109 FIRST BOSTON CORPORATION OTHER CHARGES 12.30	007458 E8					
24 Mar 00	TELAXIS COMMUNICATIONS CORP	1 400 000	368 816 38	- 231,348 48	06 784 751	00 0	06 784,751
Settled	CUSIP 87612E108 BEAR, STEARNS, SECURITIES CORP / 414 00 OTHER CHARGES 6 44	000000 BZ					· · · ·
20 Dec 00	TARGET CORP COM	000 006 9	92 67 7 2 61	- 210 864 00	PP 980 B1 -	00 0	PP 980 81 -
	O 1 HER CHARGES 33 26						
14 Mar 00 Settled	BEAR STEARNS SECURITIES CORP /	52 523200					
00 16M 8	SYBRON INTL CORP COM	39 200 000	66 601 566	#6 272,601 f -	- 114 162 95	00 0	114,162 95
Sellied	OTHER CHARGES 10 78 CUSIP 855244109 CUSIP 855244109	36 750000					
00 das 11	STARBUCKS CORP COM	000 008 8 -	353'388 55	- 300 349 28	53 039 94	00 Q	73'039 84
petites Seption	CUSIP 855244109 SMITH BARNEY INC OTHER CHARGES 9 76	008065 90			,		
00 deS 8	STARBUCKS CORP COM	000 000 B -	P9 0P7 262	- 273 044 80	PB 569 61	00 0	19 695 84
Equities							

amount

Transaction

Price

Shares/PAR

Account Name WROCKEFELER ESSEX

Translation

Realized gain/loss

Market

-Realized gain/loss

Market

Trade date
Security description
Trade Status
Brover/Commission

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1510T

Investment Transaction Detail

Asset ID Security description

eilled 4 Oct 00 2 Oct 00	DEFFERIES & COMPANY CUSIP 89379K109 TRIAD HOSPS INC COM ISIN US89579K1097	53 210500	CC 6 40 601	18 167 007 .	8č 891,27	00.0	- 72 166 58
9 Oct 00		000 000 B -	EC 920 881	- 260 241 91	82 891 07	00 0	92 931 67
00 YsM S bellied	CUSIP 88033A103 GOLDMAN SACHS & COMPANY OTHER CHARGES 33	0015/5 61					
00 YEM 7	TENFOLD CORP COM	000 009 -	9,736 72	- 26,246 10	92 605'91 -	00 0	86 608,81 -
9 May 00 ettled	CUSIP 88033A103 COLDMAN SACHS & COMPANY OTHER CHARGES 50	51 115300					
00 YEM 8	TENFOLD CORP COM	000 007	11 877 11	ÞS ÞÞZ'96 -	51'968 43	00 0	£\$ 996'12 -
00 YEM Y Delite	CUSIP 88033A103 COLDMAN SACHS & COMPANY OTHER CHARGES 1 66	21 296600		-			,
2 May 00	TENFOLD CORP COM	7 300 000	22 070 Gh	120,732 08	₱\$ 180 IT -	00 0	₱₽ 190 IZ
oo ycki b	COSIN BROODERS 2 12 COSIN BROODERS COMPANY	21 829300					
00 Y&M 1	TENFOLD CORP COM	3 200 000	93 331 82	- 122 227 38	ES S68 88 -	00 0	E2 268 88 -
oo yam e balife	CUSIF 88037A103 COLDMAN SACHS & COMPANY OTHER CHARGES 2 12	\$1.118300					
00 May 00	LENEOLD CORP COM	- 3 000 000	63 352 78	- 157 476 60	28 EZ1 'Þ6 -	00 0	- 94 153 85
etiled 2 May 00	CUSIP 8803403 COLDMAN SACHS & COMPANY OTHER CHARGES 1 02	20 210700					
00 ysM	LENEOLD CORP COM	000 009 1 -	30 312 03	88 E18 87 -	29 862 8b -	00 C	59 865,8 4 -
i May 00 effled	CUSIP 88033A103 GOLDMAN SACHS & COMPANY OTHER CHARGES 24	53 518800					
00 YEM	TENFOLD CORP COM	- 300 000	C 362 40	SE SEB'S1 -	26 698 8 -	00 0	56 698 8 -
OO YAM O	CUSIP 88033A103 GOLDMAN SACHS & COMPANY OTHER CHARGES 48	000668 42)
May 00	TENFOLD CORP COM	1 800 000	27 875 44	01 210 96 -	86 267,02 -	00 0	8E SEL'OS -
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Transaction

Price

Shares/PAR

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Generated by The Northern Trust Company from periodic data on 26 Jan 01

1785820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

OTHER CHARGES

Realized gain/loss

Market

Cost

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Trade Status

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Investment Transaction Detail

Broker/Commission

Security description

8 > 155'26 -	00 0	86 122 76 -	288'342 15	p9 E67 061	000 00P S 000008 67	TURNSTONE SYS INC COM CUSIP 900423104 ROBERTSON STEPHENS & CO L R OTHER CHARGES 6 36	00 1qA 8 00 1qA 81 b≤llts2
					0098BG 12	CUSIP 900423104 ROBERTSON STEPHENS & CO L R OTHER CHARGES 12 00	00 1qA T belile2
SE 070,865 -	00 0	26 OTO BEE -	26 100 827 -	329 931 00	000 000 \$	TURNSTONE SYS INC COM	4 אפר 00
					000157 321	OTHER CHARGES 125 COSID 900423104 COSID 900423104	13 Mar 00 Settled
97 8EO BOS -	00 0	87 860 805 -	ES EYE 0MY -	235 336 42	- 4 500 000	TURNSTONE SYS INC COM	00 J&M 8
					005(88 141	CUSIP 900423104 COLDMAN SACHS & COMPANY OTHER CHARGES 2 84	10 Mar 00 Settled
- 25 205 06	00 0	72 502 0e	- 110 334 72	99 651 58	000 009 -	TURNSTONE SYS INC COM	00 16M 7
		<u> </u>			23 042700	OTHER CHARGES 3 92 CHASE HRO CUSIP 899165104	Settled
56,006 23	00 a	26 006 23	29 702 16 -	117 513 85	000 001 5 -	TULARIK INC COM	20 מחר 2
					005781 £2	CUSIP 899165104 CHASE HEO OTHER CHARGES 55	00 nut 7 beilie2
2 280 75	00 0	2 280 75	- 13 849 82	16 230 70	000 002	TULARIK INC COM	00 nul 2
					20 750000	CUSIP 899165104 CHASE H&Q OTHER CHARGES 111	00 nut 8 Setiled
E8 CBO,I	00 0	1 083 83	35,115 06	33' 188 88	000 009 1	TULARIK INC COM	00 nul 1
					21 228300	CUSIP 899165104 CHASE H&Q OTHER CHARGES 3 47	Settled
1 6 1343 41	00 0	1 p e p e s	67 178,86 -	104 012 20	000 006 \$ -	TULARIK INC COM	31 May 00
			<u> </u>		51 300000	OTHER CHARGES 114 CUSIN 899165104	Settled Suttled
05 658,1	00 O	05 658'1	- 32 219 36	98 870 ♠€	000 003 L	TULARIK INC COM	30 May 00
							Equities
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Transaction

Price

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1782820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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Eduities

Investment Transaction Detail

The Northern Trust Company

OTHER CHARGES

							Sales
IsjoT	Realized gain/loss	Market	Cost	noticisens 17 Innome	Shares/PAR 9rrce	Security description Broker/Commission	elsb ebsit elsb ellez zuist2 ebsit

00 0	9Þ 788 6 -	- 59,536 80	ÞE 6 5 9 61	000 002 1 -	VARIAGENICS INC COM STK ISIN# US9221961009 CUSIP 922196100	29111ed 13 Oct 00 10 Oct 00
				0000\$7 81	US9221961000 CUSIP 922196100 FIRST BOSTON CORPORATION THER CHARGES 1 19	11 Oct 00 Selitled
00 0	11 142 79	09 992 97 -	32 623 81	000 006 1	VARIAGENICS INC COM STK ISIN#	5 Oct 00
00 0	5≽ 658 -	02 ≯8E,7	87 2 52	00005Z 1Z	VARIAGENICS INC COM STK ISIN# US9221961009 FIRST BOSTON CORPORATION FIRST CHARGES 22	4 Oct 00 10 Oct 00 Sellied
			·	55 000000	US9221961009 CUSIP 922196100 FIRST BOSTON CORPORATION THER CHARGES 59	5 Oct 00 Settled
00 0	67 160.5 -	02 169 61 -	1 \$ 665 21	000 008 -		2 Oct 00
00 0	E8 125 -	02 48¢ 7 •	€'862 27	000 00E -	VARIAGENICS INC COM STK ISIN# US9281961009 CUSIP 928199100 FIRST BOSTON CORPORATION OTHER CHARGES 23	29 Sep 00 4 Oct 00 Settled
00 0	PO B12 I P -	OÞ EST 199 -	ac 2c8 e1#	000 00\$ B1 006518 SS	VARIAGENICS INC COM STK ISIN# USB221961009 CUSIP 922196100 CHASE H&Q OTHER CHARGES 14 00	25 Sep 00 28 Sep 00 Settled
00 0	87 523 721 -	10 890'506 -	747 410 Z3	000 005 \$	TURNSTONE SYS INC COM CUSIP 900423104 PIPER JAFFRAY INC THER CHARGES 24 92	28 Jul 00 28 Jul 00 Selfied
				000005 251	CUSIP 900423104 PIPLR JAFFRAY INC OTHER CHARGES 3 80	00 lut 42 27 lut 00 5ettled
	00 0 00 0 00 0	000 87 523 721 -	00 0 87 523 721 - 10 590,206 - 00 0 0 0 67 192 - 02 193 0 0 0 0 0 0 67 192 - 02 193 0 0 0 0 0 0 0 0 151 135 - 05 135 - 0	00 0 87 523 721 - 10 530,209 - 52 014 747 00 0 0 87 523 72 - 10 530,209 - 52 014 747 00 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	000005 291 000000 25 62 75	Page Page

THE WINTHROP ROCKFELLER FOUNDATION

12/31/2000 12/31/2000 1485821

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Investment Transaction Detail

VARIAGENICS INC COM STK 151N#

Equities							
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	Broket/Commlasion	อวเาจี	Junome	tzoO	Market	Translation	Total
Trade date Settle date	Šecurity <u>de</u> zcript <u>ion</u> Aszet 10	AA9\eos\ê\ê	Transaction	_	э	— ssoj/uje6 pazijes	
Investme	ent Transaction Detail					ď	age 106 of 225

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25 Sep 00	CARIL BS343E105 AEBIRION INC COM	- 3 300 000	648,634 62	70 878,222 ·	95,756	00 0	95 128 22
Settled Se Sep 00	OTHER CHARGES 5 76 CUSIP 923/3E102	000578 161		11.000.101	20.0101.7	00.0	CO 0/0 / Z
71 Sep 00	VERISIGN INC COM	000 006 -	₽Z 189 ZZI	11 603 11	21,078 63	00 0	21 078 63
00 guA S Settled	CUSIP 92343E102 MORGAN STANLEY & CO INC OTHER CHARGES 20 75	163 768200					
00 IUL BS	VERISIGN INC COM	- 3 800 000	15 862,259	62B 603 9B	- 6,305 S7	00 0	15 205,8 -
Sellied 9 May 00	OTHER CHARGES 27 48 CUSIP 92343E102 CUSIP 92343E102	153 013300					
60 YEM >	AEBIZION INC COM	000 002 9	854 161 63	16 626 846 -	B9 767 Þ21 -	00 0	134 787 61
60 19A & Sellled	CUSIP 922815105 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 9 43	000104 88					
28 Mar 00	леитко сояр сом	3,200 000	282 874 73	- 637,630 72	66 557,455 -	00 0	<u> </u>
8 Apr 00 Settled	CUSIP 922816105 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 8 81	110 152000					
24 Mar 00	УЕИТ ВО СОЯР СОМ	000 004 5 -	264 291 19	76 Þ07,27A -	- 211 413 78	00 0	BT EIA 115 -
Seliled	OTHER CHARGES 25 CHASE HRQ OTHER CHARGES 25	18 152000					
14 NOV 00	VARIAGENICS INC COM STK ISIN# US9221361009	000 004	57 6 42 7	9 842 60	58 565 2 -	00 0	- 2 295 85
	OTHER CHARGES 74	<u></u>					
17 Oct 00 Settled	CHYZE H&Q COZIP 922196100 OZ9221961009	14 800000		·			
12 Oct 00	VARIAGENICS INC COM STK ISIN#	1 200 000	52 199 26	- 36 921 00	PT 157,P1 -	000	2 12 721 74 ·
16 Oct 00 Settled	OTHER CHARGES 76 CUSTP 922196100 US9221961009	000051 þ1					

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12/31/2000 Generaled by The Northern Trust Company from periodic data on 26 Jan 01 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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The Northern Trust Company

OTHER CHARGES

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Settled

11 Oct 00

Realized gain/loss

Market

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Investment Transaction Detail

	Sales
Asset ID BrokertCommission	Settle date Trade Status
Security description	etsb eberT

The Northern Trust Company

OTHER CHARGES

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					181 540500	THE CAPAGES 11.39	Settled
66 318,601	00 0	66 916 601	+1 929 822 -	E1 £62 8££	- 2 100 000	VERITAS SOFTWARE CORP	52 Oct 00 50 Oct 00
			,		000027 441	CUSIP 923436109 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 3 86	Settled t Oct op
78,681 42	00 0	59 681 45	- 87,114 72	p1 967 211	000 00B	VERITAS SOFTWARE CORP	00 das 62
				···	000578 861	CUSIP 923436109 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 21 45	Settled Se Sep 00
142 493 91	00 0	142 493 91	P8 606,002	e43 403 22	4 600 000	VERITAS SOFTWARE CORP	00 d≅S \$2
					001195 561	CUSIP 923436109 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 8 14	Selfled
27 728,74	00 0	27 T28 TA	1 800 961	243,965 84	000 008 1	VERITAS SOFTWARE CORP	21 Sep 00
	_				0086/8 56	CUSIP 923436109 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 34 20	00 guA t ballfa2
88 860,49 -	00 0	98 860 79	- 1,089 978 52	1 025 879 66	000 002 01	VERITAS SOFTWARE CORP	27 Jul 00
· —		- -		· · · · · · · · · · · · · · · · · · ·		OTHER CHARGES 4 76	
		_			159 625000	CUSIP 929436109 DONALDSON LUFKIN & JENRETTE SECURITIES	00 nut 00 Settled
26,202 96	00 0	Se 505 9e	87 675 911 -	142 582 74	g00 ggt f	9803 SATIRAS	00 nut 21
					163 437500	CUSIP 923436109 GOLDMAN SACHS & COMPANY OTHER CHARGES 25 75	10 Mar 00 Settled
69 767,888	00 0	69 767 989	27 814 2B -	772 216 44	4 725 000	VERITAS SOFTWARE CORP	00 15M T
					129 444200	OTHER CHARGES 20 73 CUSIP 92343E102 CUSIP 92343E102	Settled Settled
- 53'334 24	00 0	- 53 334 24	61 941,249 -	621 811 65	- 3 800 000	VERISIGN INC COM	00 150 SI
					342300 302 342300	OTHER CHARGES 4 11 CHEB 9243E102	4 Oct 00 Settled
55'134 33	00 0	55' 13 4 33	47 830 JOJ -	153 503 07	000 009 -	VERISIGN INC COM	
00 0 52, 134 33 0 00 CO	25, 134 33 50 74 22, 134 33	42 890 101 - ZO EC	70 50	153 50	000 009 -		sa z ^{eb 00} Edrițies

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Transaction

Рисе Shares/PAR

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71-0285871 12/31/2000

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Generaled by The Northern Trust Company from periodic dala on 26 Jan 01 THE WINTHROP ROCKFELLER FOUNDATION

Equities

Account Name: WROCKEFELLER: ESSEX

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Investment Transaction Detail

							Sales
lstoT	Translation	Market	Cost	ransaction smount	93119	Assel ID Broker/Commission	Trade Status
	szol/nisg bəzils	ცა		Transaction	9Aq\≀sə≀srl2	Security description	etsb ebsiT

00 nut 1 00 nut 8 ballte2	VIGNETTE CORP COM CUSIP 926734104 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 1 59	000 007 f - 005020 BS	62 pG9 7p	- 53'060 38	5 ¢ 9 33 9 1	00 0	74 633 B 1
oo unr s	OTHER CHARGES 4 18 CUSIP 926/34/104 OTHER CHARGES 4 18	Z8 465000	70 142 571	CD COD CC	65,556 13	00 0	E1 955'59
00 YSM 18	VIGNETTE CORP COM	000 000 b -	152 541 85	69 589 65	1 955 59		£1 232 23
00 nut s Settled	CUSIP 926734104 MERRILL LYNCH PIERCE FENNER & SMITH OTHER CHARGES 1 84	27 523600					
00 YeM 00	VIGNETTE CORP COM	2 000 000	22 042 36	99 608 04	12'584 30	00 0	- 12,264 30
Settled 50 May 00	OTHER CHARGES 3 00 CHASE HRO COSID 378734 104	007702.72					
OD YEM PS	VIGNETTE CORP COM	3 300 000	1 > 287 68	215 847 21	156 064 80	00 0	158'064 80
Sellied	OTHER CHARGES 40 CHSIF 926734104	00\$\f\$ 6\$					
OD YEM ES	VICHETTE CORP COM	000 000	09 14 11	37 265 40	08 069 52 -	00 0	- 22 490 80
Seilled SS May 00	OTHER CHARGES 6 52 CHASE HAO CUSIF 920734104	33 156000					
00 YEM 52	VIGNETTE CORP COM	2 200 000	195 436 88	59 409'645 -	11 TSS #26 -	00 0	17 152,227 77
Settled	CUSIP 923436109 J P MORGAN SECURITIES INC OTHER CHARGES 2 67	114 335200					
00 VON EI	VERITAS SOFTWARE CORP	000 002	76 150 08	- 76,225 38	3,806 59	00 0	65 908 C
Settled	CUSIP 923436109 1 P MORGAN SECURITIES INC OTHER CHARGES 4 80	006627 051					
00 VON 01	VERITAS SOFTWARE CORP	000 001 1 -	143 823 09	PT 287 611 -	2E 070,42	00 0	2¢ 010 35
etiled	CUSIP 923436109 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 8 03	005763 191					
00 VON (VERITAS SOFTWARE CORP	000 007 1 -	24 778,042	182 118 78	Þ6 BSZ 55	00 0	≯ 6 857,22

THE WINTHROP ROCKFELLER FOUNDATION 12/31/2000 71-0285877

The Northern Trust Company

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

- Realized gain/loss

Market

Cost

Trade date Settle date Trade Status

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Total

Investment Transaction Detail

Broker/Commission Security description

29 Sep 00 4 Oct 00 Settled	VISX INC DEL COM CUSIP 928445105 BEAR STEARNS SECURITIES CORP / 132 00 OTHER CHARGES 1 99	2 200 000	10 1 75 6 5	21 35E 13	17 4 67 1 -	00 0	12 662'1 -
00 de2 85	CUSIP B28445105 BEAR STEARNS SECURITIES CORP / 720 00 OTHER CHARGES 11 20	000000 BZ					
00 das 50	AIRX INC DEF COM	- 12 000 000	332 568 80	336 976 80	00 207 1 -	00 0	00 207 1 -
2€[[[6q 18 Nov 00	CUSIP 926734104 PIPER JAFFRAY INC 01HER CHARGES 173	21 602600					
00 AON EL	VIGNETTE CORP COM	- 2 400 000	51 844 51	97 ZGC,87	- 26 551 25	00 0	- 26,551 25
12 Nov 00	OTHER CHARGES 4 24 PIPER JAFFRAY INC CUSIP 026734104	23 999700					
00 AON 01	VIGNETTE CORP COM	9300 000	71 461,721	173 123 97	- 42 929 80	000	- 45,929 80
Settled	CUSIP 928734104 PIPER JAFFRAY INC OTHER CHARGES 4.56	25 767300			-		-
00 VON 8	VIGNETTE CORP COM	9 300 000	138 262 13	76 621,671 -	+8 195 9C -	00 0	195,86 -
Delijed 13 NOV 00	OTHER CHARGES 10 07 CUSIP 926734104 CUSIP 926734104	004V09 GZ			_		
00 VON 8	VIGNETTE CORP COM	- 10 200 000	301 927 87	333 181 98	- 31 554 11	00 0	11 224 11 -
oo de S a	CUSIP 926734104 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 2 63	35 818200					
00 guA 18	VIGNETTE CORP COM	\$ 500 000	/ p TeT 8T	02 627 £8	60 296 7 -	00 0	60 Z96 ▶
Settled	CUSIP 926734104 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 4 90	34 147800					
00 guA 05	VIGNETTE CORP COM	1 300 000	140 830 84	SZ 11Z E91 -	11 188 91 -	000	11 188 91 -
pailied 1 Sep 00	CUSIP 926734104 FIRST UNION CAPITAL MARKETS CLEARANCE OTHER CHARGES 29 42	006872 25				-	
00 guA 65	VIGNETTE CORP COM	24 800 000	887 327 30	00 861 996 -	07 078 13 -	00 0	07 078 18 -
Equities				-			
sales				·- ·- ·- ·- ·- ·- ·- ·- ·- ·- ·- ·- ·- ·			

Transaction amount

9744/29164*2*

THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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Page 110 of 225

Investment Transaction Detail

	 aselized gain/loss nolisiznsiT 		— feoD	Transaction amount	ЯĄ٩\səาsh2 Price	HERE TI SUZSCION SeculTV CESH	Trade date Settle date Trade Status
							Sales
							Equities
- 14,623 71	00 0	- 14,623 71	40 465,821 -	EE 076,Eh1	2 800 000	CORID STRAKE 102	5 Oct 00
					24 873300	GOLDMAN SACHS & COMPANY / 290 00 OTHER CHARGES 481	Sellied
83 3C4 C1 -	00 0	- 13 430 68	- 13 858 56	85 168 09	2 200 000	COSID 958442105 AISX INC DEF COM	9 Oct 00
					22 418000	GOLDMAN SACHS & COMPANY / 135 00	Settled

- 14,623 71	00 0	- 14,623 71	ÞO Þ65'851 -	EE 079,EÞ1	2 800 000	NIZX INC DEF COM	2 OCI 00
					24 873300	CUSIP 928445105 GOLDMAN SACHS & COMPANY / 290 00 OTHER CHARGES 4 81	Sellied
88 864 61 -	00 0	- 13 43 <i>0 68</i>	- 73 020 26	85 166 09	22 418000 5 400 000	VISX INC DEL COM CUSIP 328445 105 GOLDMAN SACHS & COMPANY / 135 00 OTHER CHARGES 2 02	Settled 12 Oct 00 9 Oct 00
56 625 61 -	00 0	76 699'61 -	92 \$18 091 -	140 755 84	000 001 9	AIRX INC DET COM	00 I2O GI
					23 125500	CUSIP 928445105 GOLDMAN SACHS & COMPANY / 305 00 OTHER CHARGES 4 71	13 Oct 00 Settled
589,075 69	00 0	69 570 662	- 126 761 58	425 837 27	- 3 300 000	VOICESTREAM WIRELESS CORP COM	00 16M 7 00 16M 01
	-		· · · · · · · · · · · · · · · · · · ·		006240 651	1 P MORGAN SECURITIES INC	Settled
S7 752,54	00 0	27 7E2 EÞ	05 902 61 -	\$0 744 05	000 005	COISE STREET WINDELESS CORP COM	00 18M 8 00 18M ET
					125 492300	J P MORGAN SECURITIES INC	palited
- 14 585 37	00 0	14 285 37	PO 008 97 -	29 719 29	5 300 000	CUSIP 918458100	28 Jul 80
					002181 72	MONTGOMERY SECURITIES OTHER CHARGES 2 09	00 guA S
00 624,051	00 0	130 429 00	65 YEY 145 -	65 361 278	- 55 000 000	VYYO INC COM STK CUSIP 918458100	3 Oct 00
					30 222400	DAIN RAUSCHER 22 41	Settled
- 114 619 25	00 0	- 114 619 25	- 126 642 03	42 022 78	000 001 Z	AAAO INC COM SIK	20 Dec 00
					006816 S	CUSIP 918458100 MONTGOMERY SECURITIES OTHER CHARGES 1 41	Settled
72 821 -	00 0	TZ 854,261 -	PT 00T 28S	T1 272 07	- 12 400 000	COSIP 918458100	00 DeC 12 00 DBC 72
					\$ 667300	MONTGOMERY SECURITIES	Settled

Generated by The Northern Trust Company from periodic data on 26 Jan 01

THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

OTHER CHARGES

THE WINTHROP ROCKFELLER FUNNAMION
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Generated by The Northern Trust Company from periodic data on 26 Jan 01

01 665,74	00 0	OT EEE TA	- 356 403 93	EO EO8 EZE	000 007 B	WEATHERFORD INTL INC NEW COM CUSIP 947074100 BEAR STEARNS SECURITIES CORP / 522 00 OTHER CHARGES 12 48	21 Sep 00 26 Sep 00 Settled
20 373 91	00 0	16 £/£ 0Z	- 543 865 01	764'538 3 5	000 005 9	WEATHERFORD INTL INC NEW COM CUSIP 947074100 MAGNA SECURITIES CORPORATION / 390 00 OTHER CHARGES 8 83	S May 00 Se May 00 Settled
26 089 E9	00 0	£3 £80 97	125 563 85	67 A44 215	3 300 000	OTHER CHARGES 721 OTHER CHARGES 721 OTHER CHARGES 721	Settled 25 Oct 00 20 Oct 00
20,148 28	00 0	20 148 28	72 070 ES -	43 518 22	000005 98	WATERS CORP COM CUSIP 941848103 BEAR STEARNS SECURITIES CORP / 30 00 OTHER CHARGES 1 45	4 Oct 00 4 Oct 00 28 Zep 00
17 556'	00 0	16 556,111	p2 E81 621 -	\$6 Bb1 '1 bZ	000 008,2 - 002781 88	WATERS CORP COM CUSIP 941848103 BEAR STEARNS SECURITIES CORP / 168 00 OTHER CHARGES 8 05	Settled 28 Sep 00 25 Sep 00
15, 228,71	00 0	I & S26 71	55 Opl 8p -	98 260 Þ9	128 220000	WATERS CORP COM CUSIP 941848103 BEAR STEARNS SECURITIES CORP / 30 00 OTHER CHARGES 2 14	00 lut 8 00 lut f1 belling
128,419 13	00 O	E1 614,851	67 0E7,ESE -	452 149 92	000 005 £	WATERS CORP COM CUSIP 941848103 BEAR STEARNS SECURITIES CORP / 210 00 OTHER CHARGES 15 08	20 nut 82 5 iut 3 Settled
20,328 02	00 0	zo 338 oz	08 028 ÞT -	28 8 \$ 1 \$6	000000 611	WATERS CORP COM CUSIP 941848103 BEAR STEARNS SECURITIES CORP / 48 00 OTHER CHARGES 3 18	00 nut 05 30 nut 06 Settled
0 500 091 ·	ao o	b0 S00'991 -	16 889 462 -	78 CES 89	000 000 11	VYYO INC COM STK OTHER CHARGES 2 29 OTHER CHARGES 2 29	22 Dec 00 Settled
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Transaction

Price

Shares/PAR

Page 111 of 225

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Investment Transaction Detail

Security description

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Sales

Trade date Settle date ruets eben Trade Status

Account Name WROCKEFELLER: ESSEX

Translation

- Realized gain/loss

Market

Cost

Account Name WROCKEFELLER: ESSEX

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Investment Transaction Detail

. 512 21	00 0	12 218 -	41 7EE S -	1 854 93	- 200 000	WEB STR INC COM ISIN US9473361031	00 JeM 85 3 Apt 00
							Equities
							Sales
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00 144 11 00 144 11	COSIP 947336103 WEB STR INC COM ISIN US9473361031	000 002	56 GÞÞ I	PI 255 Z	61 788 -	00 0	61 788 -
00 1qA Et Settled	CUSIP 047336103 CUSIP 047336103 OTHER CHARGES TP	00E906 Z					
00 1qA 01	WEB STR INC COM ISIN US9473361031	000 001 -	09 OCT	TE 891 1 -	TØ TTE -	00 0	76 776 -
00 Apr 00 Settled	CUSIP 947336103 KNIGHT SECURITIES L P OTHER CHARGES 26	000057 T					
00 1qA 7	WEB STR INC COM ISIN US9473361031	000 000 1 -	p7 ep7 7	OT 289 11 -	96 526 C -	00 0	96 206 E -
00 19A FI Settled	CUSIP 947336103 KHIGHT SECURITIES L P OTHER CHARGES 14	002506 7	— .				
00 1qA 8	WEB STR INC COM ISIN US9473361031	000 000	11 156 ¢	- 2 845 82	ÞZ 168 1 -	00 0	ÞZ 168'1 -
7 Apr 00 Settled	CUSIP 947336103 CUSIP 947336103 OTHER CHARGES 18	000057 B					
00 1qA b	WEB STR INC COM ISIN US9473361031	000 009	5 249 82	- 7,011 42	09 192 1 -	00 0	09 197,1 -
6 Apr 00 Settled	CUSIP 947336103 KNIGHT SECURITIES L P OTHER CHARGES 18	008818 8					
00 1qA C	WEB SIR INC COM ISIN US9473361031	000 009 -	011115	7,011 42	- 1 900 32	00 0	- 1 900 35
beined	CUSIP 947336103 CUSIP 947336103	000978 8					
31 Mar 00	WEB STR INC COM ISIN US9473361031	000 001	74 TE8	72 891,1 -	- 331 10	00 0	- 331 10
6 Apt 00 Settled	CUSIP 947336103 CUSIP 947336103	000005 8				- 	
30 Mar 00	WEB STR INC COM ISIN US9473361031	300 000	1 2 349 91	12 505'E -	- 822 80	00 0	08 556 -
3 Apr 00 Settled	CUSIP 94/336103 KNIGHT SECURITIES L P OTHER CHARGES 07	000221 6					

12/31/2000 12/31/2000 14E WINTHROP ROCKELLER . C. J.

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Generated by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

OTHER CHARGES

Settled

KNICHT SECURITIES LP

Page 113 of 225

Equities

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			-				Sales
IstoT	noljalzna1T	Market	Cost	Junoms	ЭэнЧ	Broker/Commission	Trade Status
	ssol/ulsg besiles	98 B9		Transaction	AAGteorad2	Security description Asset 10	eteb ebs <u>yT</u> eteb eitte?

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00 aul 72 00 aul 08 0 baille2
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71-0285871 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

Generated by The Morthern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

OTHER CHARGES

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Page 114 of 225

Investment Transaction Detail

							Sales
lstoT	Translation	Market	Cost	Transaction	ี อากาศ อากาศ	Asset ID Broker/Commission	Trade date Settle date Trade Status
	ssol/uleg bezlig	B		doitesgesT	Shares/PAR	Security description	Olsb ebsyT

sərfin	Бq
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Total sales	- 2,217,525 00	£6 0£8,708,031	04 182,SS4,C41 -	£3 642,286,7	00 0	CS 642,28C,7
Total equities	 	£6 0E8,708,021	- 143,422,581 40	7,385,249 53	00 0	53 64 <u>5,38</u> 5,7
Total common stock		£6 0£8,708,0&f	- 143,422,581 40	52 645,285,7	00 0	94S,28E,7
Total United States - USD		64 872,278,84f	- 140,315,410 04	6,560,168 45	00 0	24 831,032,a

11-0285871 12/31/2000 990-PF

				SL 8L \varTheta
				TO DONALDSON LUFKIN & JENRETTE SEC
222,137 13	-22 6 p £ ' L B T	5E 981'601	00	03/53/00 COFD 2500 SHS 05/11/00
				SLE TS 0
				TO DONALDSON LUFKIN & JENRETTE SEC
ፒ₽ ሬ∠ፎ'ፎ	-Z# 995'E8T	184,943 83	00	00/90/TO SHS 009E CTOS 00/TT/TO
				AIRGATE PCS INC
26 569,911	- 71 629'279	90 S92,62 <i>F</i>		
			-	ico, per A
				TO MORGAN STANLEY & CO , INC. ● 158 7097
	co (00/co)	0= 0:=1000	00	00/61/10 SHS 01/13/00 01/61/10
- 27 922 27	-69 LOS'SO₽	96 666 555	VU	6 213
				TO COUNTY SECURITIES CORP USA
S£ 198'88T	-S) TZT'/£Z	00 000/07%	00	01/01/00 SOID 5000 SHS 01/04/00
36 130 001	-37 101 200	00 300 307	00	COM
				YOIFE SOLLMAKE CORP DEL
05 658'88	-20 680'925	ZS 8%6'ET9		
				908 ₽11 ●
				TO MERRILL LYNCH, PIERCE, PENNER &
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				TO GOLDMAN, SACHS & CO
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				CHINA COM CORP
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KEALIZED	TSOO	PROCEEDS	BROKER	DATE DESCRIPTION
		CUSTODIAN		

YCCONAL NO 15-0001-03-2

POR PERIOD 01/01/00 THRU 11/30/00

SCHEDDIE G - SPIES AND REDEMPTIONS

FIRST COMMERCIAL TRUST COMPANY, N A ESSEX INVESTMENT MANAGEMENT, INC MINIHEOP ROCKEFELLER FOUNDATION

PAGE 24

THE WINTHROP ROCKFELLER FOUNDATION

THE WINTHROP ROCKFELLER FOUNDATION

Z9 6Z8'EET	-28 €98'8€Z	ቅ ቅ 669 ረደ7ይ	00	● TSO SS11 DS\SS\00 ROTD 3T00 RHR OS\TE\00 COM DEF RAING GOM DEF RAING OS\SS\00 DEF RAING DEF RAING
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** 673,18*	-00 800'£6T	11 783,183		
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A8 311.0FT	-96 889 OL	08 208,00S	00	02/29/00 SOLD 3700 SHS 02/24/00
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FIRST COMMERCIAL TRUST COMPANY, N A MINTHROP ROCKEFELLER FOUNDATION

YCCOUNT NO 72-0061-03-5

FOR PERIOD 01/01/00 THRU 11/30/00

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THE WINTHROP ROCKFELLER FOUNDATION 990-PF 72/31/2000 71-0285871

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CUSTODIAN

ERBEX COMMERCIPT TRUST COMPANY, N A MINTHROP ROCKEFELLER FOUNDATION

ACCOUNT NO 72-0061-03-5

SCHEDULE G - SALES AND REDEMPTIONS POR PERIOD 01/01/00 THRU 11/30/00

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12/31/2000

YCCODML NO 15-0001-03-2 SCHEDOLE G - SALES AND REDEMPTIONS FOR PERIOD 01/01/00 THRU 11/30/00

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-86	SEE'S61	-01 £9£'LSL	ZL LZ0'Z9S		COWAERSE LECHNOTOGK INC
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-65	787,2A	-0> 614,861	18 229,26	00	● 95 5683 02/15/00 SOLD 1000 SHS 02/10/00 TO GOLDMAN,SACHS & CO
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-τ ν	τςζ'τ6	-27 618,855	16 895,5AS	00	TO GOLDMAN, SACHS & CO TO SOLD 2400 SHS 02/08/00 COM
					COBVIL NELMORKS INC
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THE WINTHROP ROCKFELLER FOUNDATION

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 77-0285871

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The color of the				=	S TIT ●
O					TO LEHMAN BROTHERS INC
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CUSTODIAN

PIRST COMMERCIEL TRUST COMPENT, INC MINTHROP ROCKEPELLER FOUNDATION

ACCOUNT NO 72-0061-03-5

SCHEDULE G - SALES AND REDEMPTIONS FOR PERIOD 01/01/00 THRU 11/30/00

THE WINTKROP ROCKFELLER FUUNUATION THE WINTKROP ROCKFELLER FUUNUATION

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				TO BEAR STEARUS SECURITIES CORP
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		* *	•	COM
				B-TEK DYNAMICS INC
T8 278,472	-05 ZII'65#	TE S8L'EEL		
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				9 704 9596
				IO KEBBILL LYNCH, PIBRCE, PENNER &
61 E90'ZST	-57 8II,662	421'185 S4	00	02/01/00 SOLD 4300 SHS 02/02/00
				● 122 875
				TO MERRILL LYNCH, PIERCE, FENNER &
752,609 32	-S7 £66,621	40 [09,282	00	01/11/00 SHS 00EZ CTOS 00/\$1/10
				COM
_	_	_		DOUBLECLICK INC
34,026 04	-98 626,26	179,355 40	00	03/14/00 SOFD 1400 SH2 ON 5/56/00
				СОЖ
				DIVERSA CORP
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FIRST COMMERCIAL TRUST COMPANY, N A ESSEX INVESTMENT MANAGEMENT, INC MINLHEOD ROCKEPELLER FOUNDATION

YCCONAL NO 12-0001-03-2

FOR PERIOD 01/01/00 THRU 11/30/00 SCHEDOLTE G - SYTES YND KEDEWLLIONS

FAGE 29

THE WINTHROP ROCKFELLER FOUNDATION 72/31/2000

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				TO HERZOG, HEINE, GEDULD
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				98€/ 0/ ●
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				0 71 5592
				TO HERZOG, HEINE, GEDULD
- PE 529 . P	-88 680,62	PO 784,12	00	00/92/TO SHS 00E CTOS 00/TE/TO
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				SVTL 08 🕏
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				LO KOBERTSON, STEPHENS & COMPANY
-29,239,62-	-00 ST0,8₽£	324,835 38	00	05/04/00 COPD 3000 SHS 05/01/00
				EXIESME NELMORKS INC
				££₽ 80£ ●
				TO MERRILL LYNCH, PIERCE, PENNER &
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				COM
				EXODDS COMMUNICATIONS INC
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CUSTODIAN

FIRST COMMERCIAL TRUST COMPAN, N R MINTHROP ROCKEFELLER FOUNDATION

VCCOUNT NO 72-0061-03-5

SCHEDULE G - SALES AND REDEMPTIONS FOR PERIOD 01/01/00 THRU 11/30/00

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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	_				TO J P MORGAN SECURITIES INC
-78 T	60'L8T	-52 649 019	8E 242,ES4	00	05/04/00 SOLD 9100 SHS 02/01/00
					COM
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					1274 PS @
					TO LEWCO SEC AGENT /HAMBRECT & QU
97 S	524,40	-8ፆ ቅሊፒ'ቅሊፘ	₽L 672,822	00	00/00/to shs 009tz atos 00/40/to
					COM
					CEME POCIC INC
					L872 €02 €
					TO MORGAN STANLEY & CO , INC
- ZF 0	9 2 '69T	-Z8 271,753	468,215 40	00	01/13/00 COPD 5300 SHS 01/13/00
					СОМ
					FREEMARKETS INC
					9 758 7928 €
					TO COUNTY SECURITIES CORP USA
SO 1	TZ'ZZ	-95 0Z6'9IO'T	T9 FET'6E0'T	00	05/55/00 20FD 8T00 2H3 05/Te/00
					FOUNDRY NETWORKS
-42 P	\$ 4'28	-6T T99'98S	26 916'E0S		
				•	
					9188 19 0
					TO HERZOG, HEINE, GEDULD
-22 8	52'2	-91 969'8	6,438 24	00	05/08/00 20FD T00 2H2 05/03/00
					€ 60.2655
		_			TO HERZOG, HEINE, GEDULD
-SP 01	89 ' 0T	- 18 287, 1E	S4'102 36	00	02/01/00 SOLD 400 SHS 02/02/00
					9TLL 09 0
		_			TO HERZOG, HEINE, GEDULD
-T0 6	£Z'S	-26 26£'LI	15'123 61	00	05/04/00 BOTD 500 SHB 05/01/00
					€ 959 65
		_			TO HERZOG, HRINE, GEDULD
-60 E	6T'8	-86 680,62	6Z 968'LT	00	00/te/to shs 00e chos 00/e0/zo
SS	GVIN\TO			COMMISSION	
	REALIZ	TSOO	PROCEEDS	BEOKEE	DVIE DESCRIPTION

CUSTODIAN

FIRST COMMERCIAL TRUST COMPANY, N A ESSEX INVESTMENT MANAGEMENT, INC MINITIROP ROCKEFELLER FOUNDATION

VCCOONT NO 12-0061-03-5

POR PERIOD 01/01/00 THRU 11/30/00 SCHEDOLE G - SYTES AND REDEMPTIONS

THE WINTHROP ROCKFELLER FOUNDATION

230,550 92	150'223 40-	8E #0T'TSE		
				€ 107 Z333
				TO OPPENHEIMER & CO , INC
S6 T8#'00T	-99 6£9'6 }	19 171'051	00	00/00/00 SHS 00FT CTOS 00/60/20
				£80€ 50T ●
				TO OPPENHEIMER & CO , INC
₱0 ८8८'८6	-99 689'61	04 924'4\$E	00	05/08/00 SHS 00#D T400 O5/03/00
				SL89 S8 ●
				TO HERZOG, HRINE, GEDULD
LL 220'S	-69 SÞS'E	91 895'8	00	00/92/TO SHS 00T CTOS 00/TE/TO
				6 83 32
				TO HERZOG, HEINE, GEDULD
TO 6LT'S	-69 SFS'E	07 A27,8	00	01/58/00 COT DO 3HS 01/52/00
				€099 06 ●
				TO HERZOG, HEINE, GEDULD
ST 080'ZZ	-9L Z8T'FT	36,262 91	00	01/51/00 20FD 400 2H2 01/54/00
				ITXC CORP
				€ 62 1735
				TO LEHMAN BROTHERS INC
86,626 26	- \$ \$ 619 '65	379,245 70	00	05/53/00 BOID 0100 BHS 05/54/00
				HEVILHEON\MEBWD COKE
-EE OTT'S9	-S6 ZOI'981'I	Z9 Z66'0ZT'T		
				S 94 0
		4		TO LEWCO SEC AGENT /HAMBRECT & QU
29 135.9	120,693 71-	99 210.0ft	00	05/54/00 COTD T100 CH2 05/T8/00
				\$872.97 @
	- 7 - 50 - 1 - 50 - 1 -	25 21 6 6 6 6	0.0	TO LEWCO SEC AGENT /HAMBRECT & QU
-85 534.47	- PZ 60 P' S90'T	96 976 066	00	05/33/00 ROFD T5200 RHR 05/11/00 COW
				COLO COW INC
				8 23 922
				TO BROWN BROTHERS HARRIMAN
/C TCL/CO	-65 S80'SZS	OT / CC 1000	00 05517	02/14/00 SOLD 25500 SHG 02/09/00
72 131 58	-62 280 362	31 TE2 RO3	1 230 00	COM
				GLOBAL TELESYSTEMS, INC
				OKI DAMADADA IAM IKAO IO
GVIN/FORR			COMMISSION	
	TSOO		BROKER	DVIE DESCRIATION
tmor 1490	40 (A)	Judayyuu	GAACGG	Worker work and a

CUSTODIAN

FIRST COMMERCIAL TRUST COMPAN, N A PIRST COMMERCIAL TRUST TO TRUST TRUST TRUST TO THE PROPERTY OF THE PROPERTY

YCCOUNT NO 72-0061-03-5

SCHEDULE G - SALES AND REDEMPTIONS POR PERIOD 01/01/00 THRU 11/30/00

AVCE 33

79 LVS'VI	-00 058'95	29 L6C'IL	00	© 538 OT/SJ/00 20FD 300 2H2 OJ/S¢/00 COW
-TT 964'0FE	-S6 ÞE6'TÞ9'T	₱8 8€T'T0€'T	_	IS LECHNOTOGIES INC
-TL LTL'\$91	-09 966'EDL	69 872,672	00	● TIR 8280 LO CHYBITER RCHMYB F CO 05\54\00 ROITD 2000 RHR 05\18\00 ● TIJ 35R
-46 494'151	-09 669'255	E9 TE6'00P	00	LO CHYBTER RCHMPB ₹ CO 05\53\00 ROTD 3400 RHR 05\71\00 ● 125 8585
- 54 016 43-	345,238 95-	320,928 52	00	OT/14/00 ROND STOO BHR OT/11/00 LATERNET CAPITAL GROUP INC TO MERRILL LYNCH, PIERCE, FENNER &
Z9 \$EL'0\$	-0¥ \$9\$'0ZZ	20 008'192	00	© IT% 1161 LO CONMIX SECURILIES CORP USA 02/23/00 SOLD 2200 SHS 02/17/00 COM
-TO E8*'LST	-6T 99Z'69L	81 £8 <i>L'</i> 119	00 ΖΣĽ'Τ	INKLOWI CORP O1/13/00 SOTD 28100 SHS 01/01/00 CF B INFORET SACS CORP
-86 669'01	-06 686,281	26 S#2,221	00	© 40 \2 LO TEMCO SEC YGEMI \HYWBERCL F ÖN 05\77\00 SOTD 3000 SH2 05\08\00 INYWED COKE
CVIN/TOSS	Tem	ькосвера	COMMISSION BEOKEE	DYIB DESCRIPTION
Ą	LLER FOUNDATION MANAGEMENT, INC TRUST COMPANY, N	ESSEX INAESLWENI		YCCONAL NO 15-0001-03-2

SCHEDULE G - SALES AND REDEMPTIONS FOR PERIOD 01/01/00 THRU 11/30/00

73-0285871 72-0285871 75-000 14E WINTHROP ROCKFELLER FOUNDAILON

55) 86'811	-49 886, Þ16	77 £41'82 %	00	02/11/00 SOLD 3100 SHS 02/08/00 TO MORGAN STANLEY & CO , INC # 138 125
	-ES IO7,7E2			TYW BESEVECH CORP
			-	
				TO LEWCO SEC AGENT /HAMBRECT & QU
MT TCA / Q	- ST 000'/ SE	82 LOL'VIS	00	05/33/00 20FD 1300 3H2 05/11/00
VI 130 23	VI 232 LVV	90 TOT AT3	00	9990 S8T 8
				TO GOLDMAN, SACHS & CO
742'30S 00	-47 792'85	LP 995'E0Z	00	00/61/TO SHS 00TT CTOS 00/61/TO
• • • • • • • • • • • • • • • • • • • •				● 765 6364
				LO GOLDMAN, SACHS & CO
51'335 4 2	- NS 865'OI	38,525 99	00	01/18/00 COTD 500 CHS 01/15/00
				● 513 6944
				TO GOLDMAN, SACHS & CO
SL L89'99	-80 L81'TZ	£8 178,78	00 .	01/11/00 SHS 00# CTOS 00/#1/10
				СОМ
				KANA COMMUNICATIONS INC
06 489.151	- 12 926, 24-	325,011 24		
••••••			-	SAR9 TPT •
				TO COLLIMAN, SACHS & CO
ZE 158'08	-LT £99'91	69 915'221	00	00/\$2/10 SHS 006 CTOS 00/42/TO
				9 325
				TO MORGAN STANLEY & CO , INC
85 EEB'0S	-LT £99'9Þ	SL 967'L6	00	00/90/10 SHS 000 CTOS 00/11/10
				СОМ
				JUNIPER NETWORKS INC
				\Z201 68 €
NZ /CL'OCT	0. 700'007	₽6 88₽' ८₽ €	00	DS\53\00 ZOTD 3000 ZHR OS\11\00 TANCH DOS\53\00 ZOTD 3000 ZHR OS\11\00
AC TEN SET	-07 120 805	P6 887 LFE	00	ADR 6015 3900 849 03/17/00
				DAZZTEL P L C
				D i d iominat
GVIN/FOSS			COMMISSION	
REALIZED	TZOO	5KOCEEDS	BROKER	DYTE DESCRIPTION

MAIGOTEUD

FIRST COMMERCIAL TRUST COMPANY, N A PIRST COMMERCIAL TRUST COMPANY, N A

ACCOUNT NO 72-0061-03-5

SCHEDULE G - SALES AND REDEMPTIONS FOR PERIOD 01/01/00 THRU 11/30/00

SVCE 34

THE WINTHROP ROCKFELLER FOUNDATION 7 2/3 1/2000 7 1-02858 7 1

	•			ZO DONALDSON LUFKIN & JENRETTE SEC ■ 52 2552
LE 100'6	-10 566 T9T	T# 980'ZLT	00	00/L0/T0 SHS 00EE CTOS 00/ZT/TO
				V∠SO SS €
		ne neutoen	• •	TO DONFTDOON FORKIN & TENKELLE SEC 07/11/00 COPD 4300 CHC 01/06/00
-45 022.34	-91 682'582	26 AET AEC	00	NET2PHONE INC
-CO 759'56T	-82 211,286	57 086'181		DAT BROUGGER
				ZZZ8 07 �
				TO ROBERTSON, STEPHENS & COMPANY
-BT 0S0'9T	122,302 43-	106,252 25	00	00/60/20 SHS 00ST QTOS 00/\$T/Z0
				€ 72 6113
				TO ROBERTSON, STEPHENS & COMPANY
-69 90E'LL	-48 486,066	21 870.ELE	00	05\71\00 € 13 S238
				TO ROBERTSON, STEPHENS & COMPANY
-7% C/0'6T	-LL 9ZT'E6	CC TCT'SI	00	05/10/00 COID 1000 CHE 05/01/00
CV 320 61	22 901 60	36 130 12	VV	T6 €8 * ₱ L \varTheta
				TO ROBERTSON, STRPHENS & COMPANY
-99 595'89	-61 129,292	205,058 83	00	05/09/00 SOLD 2700 SHS 02/04/00
				9 84 4032
_				TO ROBERTSON, STEPHENS & COMPANY
-OT \$68'LT	-SL EL9'OIT	92,839 65	00	05\08\00 20FD 1100 2H2 05\03\00
				CF Y NBC INLERNEL INC
				DRI LENGALINI DEN
				TO LEHMAN BROTHERS INC
ZS 450'T4	-LT IEZ'89Z	69 882,656	00	05/53/00 COTD 1800 CHS 05/11/00
				СОМ
				WEDIWWONE INC
				● 189 4432
				07/TT/00 ZOLD 1750 SHS 01/06/00
272,922 64	-06 165'811	731 614 64	00	LIBERATE TECHNOLOGIES
				PHIDA INGING SEAGGET !
GVIN/FORS			COMMISSION	
REALIZED	TROD	PROCERDS	BYOKER	DATE DESCRIPTION

MAIGOTRUS

PIRET COMMERCIAL TRUST COMPANY, N A PINTHROP ROCKEFELLER FOUNDATION

VCCOUNT NO 72-0061-03-5

SCHEDULE G - SALES AND REDEMPTIONS FOR PERIOD 01/01/00 THRU 11/30/00

FACE 35

THE WINTHROP ROCKFELLER FOUNDATION

				SOST SS 0
				TO SBC WARBURG INC
₹ 869'ZS	-01 655,622	781,258 17	00	01/31/00 ROLD 5100 SHS 01/18/00
				77. 5€ 5 5. 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5
				TO SBC WARBURG INC
42,250 90	-89 886'518	85 %8 1'85€	00	01/50/00 20TD 9900 SHS 01/14/00
				€ 23 3333
				TO EBC WARBURG INC
ET 728,E	-80 850'65	45'665 21	00	00/ET/TO SHS 008 CTOS 00/6T/TO
				NETOPIA INC
224,082 40	-28 658'609	827,442 22		
			· -	
				S 9¥ 0
				TO LEWCO SEC AGENT /HAMBRECT & QU
2,746 27	-49 E06'T	18 619't	00	05/04/00 ROLD 100 SHS 02/01/00
				0 45 374
				TO LEWCO SEC AGENT /HAMBRECT & QU
LE L99'¥	- ÞT 408'E	TS \$4.7'8	00	05/03/00 20TD 500 SHS 01/31/00
		•		0 43 0576
				TO LEWCO SEC AGENT /HAMBRECT & QU
S6 96L'>	~\$T 408'E	60 109'8	00	03/05/00 20TD 300 2H2 01/38/00
				8 44 8083
				TO LEWCO SEC AGENT /HAMBRECT & QU
99 Z91'ST	77'457 45-	56,884 08	00	05/01/00 COLD 600 SHS 01/27/00
			••	948 84 0
				TO LEWCO SEC AGENT /HAMBRECT & QU
18'840 32	72'558 20-	16 890'56	00	00/3Z/T0 SHS 008 CTOS 00/TE/T0
				9867 67 0
				TO LEWCO SEC AGENT /HAMBRECT & QU
LL 96L'09	-ET 46T'BE	06 266'86	00	07/2/\0 807D 5000 ENG 01/2/\00
				TS60 95 0
				TO DONALDSON LUPKIN & JENRETTE SEC
06 088'ZST	-99 014,28	95 T6S'SEZ	00	00/tt/to SHS 0070 CTOS 00/PT/TO
	- 2 0 - 5 0 -			00,11,10 010 0001 2100 00,11,10
GAIN/LOSS			COMMISSION	
KEVTISED	TSOO	<i>PROCEEDS</i>	BROKER	DYIE DESCRIBIION
	4000	Pagabona	davoda	MOLIMITADOGG STAGE

CUSTODIAN

EIREL COMMERCIPT LENEL COMPANY, N A MINTHROP ROCKEFELLER FOUNDATION

VCCOUNT NO 72-0061-03-5

KOK BEKIOD 01/01/00 LHKN 11/30/00

THE WINTHROP ROCKFELLER FOUNDATION 12/31/2000

396,283 45	-LS LZZ'+E+	830, LI2, OE		
			. -	
				9 797 € 318
				TO GOLDMAN, SACHS & CO
55 600'SEE	-60 00Z'9EI	471,209 64	00	03/53/00 COPD 5000 SHS 05/11/00
				● 126 2232
				TO SALOMON SMITH BARNEY
06 £LZ'T9	-84 TZO,862	8E TOE'65E	00	00/lt/to she 00fz cros 00/rt/to
				СОМ
				PMC-SIERRA INC
20 770,877	-46 T\$S'BTE	66 819'460'I		
		·- ·	· -	
				951 💆
				TO BEAR STEARUS SECURITIES CORP.
98 LL8'69T	-0E ITZ'SL	91 680'592	10S 00	00/51/20 SHS 00/1 GIOS 00/22/20
				9 T28 952
				TO MAGNA SEC CORP
∠8 9 ₹8′ \$ 9€	-TZ 1/2'11T	80 T6E'LOS	00 Z6T	00/TT/20 SHS 0350 CTOS 00/9T/20
				SZT 071 €
				TO MAGNA SEC CORP
220,382 29	-91 95L'TOT	322,138 75	138 00	01/11/00 SHS 0000 00/11/00
				COW BE BISKS GB
				PR CORP
				● 180 2112
		05 071/005		LO DONTTDEON FORKIN & TEMBELLE SEC
BF OTE BOF	-00 002.12	8E 0T7'09E	00	05\53\00
				MELMOKK PEPLIANCE INC
NC COTILET	-07 672,229	10 0151001		NETWORK ADDITANCE INC
76 591 711	-07 675 569	79 177 914		
			, <u>-</u>	SLE 09 ●
				TO SBC WARBURG INC
24 (OC'CT	- 67 OF/ 10C	89 566'#5	00	00/6T/TO SHS 006 QTOS 00/7Z/TO
AA 503 31	AC 9AT 95	07 366 73	00	00/01/10 505 000 0105 00/10/10
GAIN/LOSS			COMMISSION	
	TEOD	PROCEEDS	BROKER	DVIB DESCRIBLION
ORAL LARD	TOCO	DDVVGEDG	DDOMED	Notacianna Shid
		CUSTODIAN		

CUSTODIAN

EIBEL COMMERCIPL TRUST COMPANY, N A MINTHROP ROCKEFELLER FOUNDATION

ACCOUNT NO 72-0061-03-5

SCHEDDIF G - SPIES AND REDEMPTIONS

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 72/37/2000 71-0285877

9)	-10 OEE'96Z	78 £7 } ,50£	00	● 67 6612 02/04/00 SOLD 3300 SHS 02/01/00 COM S1 CORP © 200 1752
90 125'291	-EÞ S9L'/LI	61 982'01E	00	REDBACK WETWORKS INC O1/27/00 SOLD 1700 SHS 01/24/00 TO FURMANSELZ, MAGENDIETZ & BIRNEY A 200 1752
₱₿ <i>८</i> 66′₱८ 8Z 0Z0′Т9Т	-82 775,282 -82 775,282	16 #92,647 21 276,762	00	QUENTUM BPFECT DEVICES INC O2/11/00 SOLD 3200 SHS 02/08/00 TO MORGEN STRULEY & CO , INC \$ 1822
			· -	£ 101 8217
707'216 92	- 61 165, 681	582'108 02	00	02/22/00 SOLD 2800 SHS 02/16/00 TO MORGAN STANLEY € CO , INC
LO 9LO'8E	-70 998'881	226,942 09	00	JO COMEM ₹ CO 01/14/00 SOTD 1400 SHS 01/11/00 ● 148 5938
62 796,12	-88 9¥8'STZ	71 112,785	00	JO DONYTDRON TOLKIN F TENKELLE REC OT/IS/00 ROTD 1000 RHR 0T/01/00 COW OTOGIC COKE
				TO SEC WANDURG INC 12 S O S O S O S O S O S O S O S O S O S
9T ELL'\$6	-0 <i>L</i> 869'98Z	98 175,155	00	OI/27/00 SOLD 4100 SHS 01/24/00
50 Z¥6'\$8T	-09 LTL'LE	59 659′222	00	COM DITT 1932 01/14/00 SOLD 1900 SHS 01/11/00 01/14/00 SOLD 1932
REALIZED GAIN/LOSS	COST	PROCREDS	COMMISSION BEOKEE	DATE DESCRIPTION

CUSTODIAN

FIRST COMMERCIAL TRUST COMPANY, N A MINTHROP ROCKEFELLER FOUNDATION

YCCOUNT NO 72-0061-03-5

SCHEDULE G - SALES AND REDEMPTIONS POR PERIOD 01/01/00 THRU 11/30/00

FAGE 38

THE WINTHROP ROCKFELLER FOUNDATION

				TO SYTOMON SWILH BYKNEK ### ### ############################
84) TS'TT	-0£ 0SZ'ZSI	80 594'891	00	05\04\00 20FD 3860 2H2 05\01\00 CF Y
				TRITON PCS HLDGS INC
61 170,8££	-IL 90L'9FZ	06 LLL'\$85		
			· -	2878 ZEI ⊕
				YANAAH HTIMS MOMALARY
99 520'561	-EO SLV'95	69 005'TSZ	00	05/53/00 20FD T300 2H2 05/11/00
33 200 301	00 327 72	03 001 120	••	£940 ZS ●
				TO LEHMAN BROTHERS INC.
ES SP0'EPT	-89 TEZ'06T	333,277 21	00	00/90/T0 SHS 00#9 CTOS 00/TT/TO
				ADR SPONSORED
				A 2 ZHWORKS S A
97 STE'907	-08 475,462	92 079'079		
		· ••	· -	
				1968 08 €
				TO FIRST UNION CAPITAL MARKETS
00 865.665	-81 S88'69T	RA ERE PAA	00	00/TT/TO SHS 0085 CTOS 00/∲T/TO SAE6 44 ●
				TO LEHMAN BROTHERS INC
95 / TO 1/ OT	-28 684,43	8/ 9C%'T/T	00	00/40/t0 SHS 0022 0TIOS 00/21/t0
37 210 201	00 00, 75	02 /37 120	00	COM
				SIEBET SAS INC
				SL ELT 8
				TO SALOMON SMITH BARNEY
700'230 TS	-99 <i>6LL</i> '55	84 69E'9ST	00	05/59/00 ROLD 900 SHS 02/24/00
				COWMON BIOCK
				SKPRACOR INC
252,085 42	-47 IDE,872	61 744, 19		
			-	
				TARES TOT O
oc chelent	-9E TEO'ZFE	75 6/6/176	00	TO DIPER JAFFRAY & HOPWOOD, INC
90 CFG 58L	AAF TEO.SAF	65 279, 522	00	05/08/00 SOLD 5200 SHS 02/03/00
GPIN/IOSS			COMMISSION	
REALIZED	TSOO	PROCREDS	BROKER	DATE DESCRIPTION
				•••

CUSTODIAN

EIEST COMMERCIPT TRUST COMPANY, N A MINTHROP ROCKEPELLER FOUNDATION

VCCOUNT NO 72-0061-03-5

LOK DEKIOD 07/07/00 LHKN 11/30/00 SCHEDNFE G - SPTES WND KEDEWLLIONS

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 72/37/2000 71-0285877

8E 16E'L6>	-6L 26Z'FET	LI \$89'TE9		
			•	IIZ6 LLT \varTheta
				TO MORGEN STANLEY & CO , INC
AC BOC'0/T	-22 £06'25	71 607'157	00	00/61/10 SHS 0081 CTIOS 00/61/10
03 306 OCL	E3 803 33*	CC 00C 1CC	00	© 200 2039
				TO WERRILL LYNCH, PIERCE, FENNER &
00 500'675	-LS 68E'T8	C# #65'00#	00	07/17/10 SHS 0002 CTOS 00/\$1/10
80 700 010	23 006 10	30 702 007	00	COM
				VIGNETTE CORP
				● 138 0625
				TO MORGAN STANLEY & CO , INC
BC CTC CTC	-20 584'49	06 040'566	00	00/TI/TO SHS 00EV CTOS 00/VI/TO
AO 610 363	- 20 362 23	90 019 CG3	00	COM
				VERITAS SOFTWARE CO
19 707 699	-LS \$6\$'8E	%7 96C'/7/		
23 101 003	23 767 85	VC 703 LCL	-	
				8 333 32
				TO MORGAL STANLEY & CO , INC
97 675'667	-0E 0IZ'ET	85 685'218	00	05/33/00 SOFD 1400 SHS 05/11/00
00 000 000	00 010 00	02 200 000		€ 766 0282
				TO MORGAN STANLBY & CO , INC
6E ZLL'68E	-72 482,25	99 950'51)	00	01/15/00 20FD 5200 SHS 01/01/00
• • • • • • • • • • • • • • • • • • • •				COM
				ARBIRICH INC
				ES9¥ ES 8
				TO LEHMAN BROTHERS INC
359,540 49	-CE 8%L'66T	28 882,628	00.	01/51/00 SHS 0066 CTIOS 00/LZ/TO
				COM
				TULARIK INC
80,351.42	-TO 888'T8S	662,239 43		
			-	
				609V ZV 🖲
				TO SALOMON SMITH RARNEY
19 900'89	-IL LE9'62¥	SE \$4\$'86\$	00	00/20/20 SHS 01/LT CTOS 00/L0/20
SPOR /NITHE			COMMISSION	
GYIN\TOSS GYIN\TOSS	TSOD			DYIE DESCRIPTION
PEAL.TZUD	7207	PUJAJUAG	ВКОКВК	MATEGICA STAC

CUSTODIAN

EIREL COMMERCIPT LEGEL COMBENT, N P MINTHROP ROCKEPELLER POUNDATION

VCCOONT NO 72-0061-03-5

SCHEDOU'R G - SPIES PAD BEDEWALIONS

BYCE 40

1785820-17 12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

89 069'915'65

LL 9LE'912

456 00

00

COMMISSION BROKER

ESSEX INVESTMENT MANAGEMENT, INC

ACCOUNT NO. 72-0061-03-5

TOTAL SALES AND REDEMPTIONS

TOTAL CASH EQUIVALENTS

TO PUNK, ZIEGEL EKNOELL/IPO TRACKI

11/30/00 SYTES (53) 01/01/00 IO 11/30/00

6128 91 B

COM

00/80/20

DATE

01/03/00 COPD JIOO BHS 75/53/66

SALE CORP NEW

SZ9 TST @

00/LT/20 SHS 006T CTOS 00/EZ/20

DESCRIPTION

131 2847

TRUST MONEY MARKET DEPOSIT FUND CYZH BÖNIAYTEMIZ TOTAL EQUITY

TO J P MORGAN SECURITIES INC

TO COUNTY SECURITIES CORP. USA

00/E0/Z0 SHS 00LT CTIOS

AOICERLEEW MIKETERR COKE

FOR PERIOD 01/01/00 THRU 11/30/00 SCHEDOLE G - SYTES AND REDEMPTIONS

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MINIHBOD BOCKEFELER FOUNDATION

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THE WINTHROP ROCKFELLER FOUNDATION 71-0285877

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POR PERIOD 01/01/00 THRU 11/30/00

SCHEDOLE G - SALES AND REDEMPTIONS

1785820-17 12/31/2000 990-PF

Account Name WINTHROP ROCKEFELLER FUN

Page 54 of 108

Compared by The Northern Trust Company from periodic data on 17 Jan 01

▶ Realized Cain/Loss Detail - Tay Lots

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Portfolio Statement

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▶ Realized Gam/Loss Detail - Tay Lots

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The Northern Trust Company

COURT Name WINTHROP BOCKEFELLER FOR

Page 56 of 108

▶ Realized Gain/Loss Detail - Fax Lots

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THE WINTHROP ROCKFELLER FOUNDATION

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Company from periodic data on 17 Jan 01

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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▶ Realized Gain/Loss Detail - Tay Lots

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The Northern Trust Company

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Portfolio Statement

▶ Realized Gain/Loss Detail - Tay Lots

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THE WINTHROP ROCKFELLER FOUNDATION

Cenerated by The Northern Trust Company from periodic data on 17 Jan 01

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The Northern Trust Company

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The Northern Trust Company

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◆ Realized Gain/Loss Detail - Faz Lots

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12/31/2000 44.066 THE WINTHROP ROCKFELLER FOUNDATION

> Realized Gain/Loss Detail - Tax Lots

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Equities

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Account James Will HACCOURT BELLERY WEED A

Portfolio Statement

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* Realized Gam/Loss Defail - Lay Lots

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The Northern Trust Company

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Realized Gain/Loss Detail - Tay Lots

Portfolio Statement

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Concrated by The Morthern Trust Company from periodic data on 17 Jan 01

Portfolio Statement

Account Name WINTHROP ROCKEFELLER FON

▶ Realized Gain/Loss Detail - Tax Lots

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The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF 12/31/2000

Generated by The Northern Trust Company from periodic data on 17 Jan 01

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Portfolio Statement

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• Realized Gain/Loss Detail - Ta/ Lots

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The Northern Trust Company

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▶ Realized Gain/Loss Detail - Tay Lots

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Short Term

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▶ Realized Gain/Loss Detail - Tay Lots

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Short Term

Portfolio Statement

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▶ Realized Gain/Loss Detail - Tax Lots

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▶ Realized Cam/Loss Detail - Lay Lots

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Generated by The Northern Trust Company from periodic data on 17 Jan 01

The Northern Trust Company

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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▶ Realized Gain/Loss Detail - Tay Lots

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The Northern Trust Company

▶ Realized Gain/Loss Detail - Tax Lots

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▶ Kealized Gain/Loss Detail - Tay Lots

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▶ Realized Gam/Loss Detail - Tay Lots

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* Realized Gam/Loss Detail - Tay Lots

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Unrealized gain/loss change	00 0	- 1,245 526 28	Viemmus Jasse 492
income received	08 ¢66 ZZ	08 266 72	See Income & expense summary
Total Disbursements	90 C76 SQ1 -	90 C76 201 -	See funding & disbursement summary
Wiscellaneous cash disbutsements	90 576 501 -	90 £76,501 -	See funding & disbursement summary
Total Receipts	90 E78 SOI	30 C76,201	See funding & disbursement summary
Miscellaneous cash receipis	90 878 501	90 E76, <u>201</u>	See funding & disbursement summary
Opening balance	20 409 029 73	96 E27 67Þ 61	
	Cost	Market value	For more information
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A Ecouncilisme WINTHROP ROCKEFELLER FON

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Change in Book and Market Value

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Closing balance	Z9 611	29 61 1	
egnaria emonit bernasA	84 578 05 -	86 678 06	See income & expense summary
ssoyulgo pazilaay	96 282 98	96 282 BG	Vernmus scothiles besiless see
Unestized gain/loss on security movements	00 0	2 271 521 84	Sea funding & disbusement summary
egnsdə szoNnisg bazilsend	00 0	20 SEB, P\T, S	Viemmus Jasze sa2
bleq essaped.	16 250 & -	1 C SZO S -	See income & expense summary
pocome received	S9 E67 OÞ	59 864'0)	See Income & expense summary
zonesudald lefoT	61 938 889 7	- 18 261 133 35	See funding & disbursement summary
Security delivenes	- 20,496 886 85	10 590 522 81 -	See Innding & disbutament unamazudaib & gaibnul sas
Miscelleneous cesh disbursemenis	Þ€ 89 <u>7</u> 9€ -	PE 892 SE -	See funding & disbursement suminary
Obeujub psjauce	\$1 86C'1\$\$ OZ	18 566 566 09	
	IzoO	Market value	For more information
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Portfolio Statement

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Realized Gain/Loss Summary - Tax Lots

Proceeds Cost Short Term Long Term Translation Short Term Long Term

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Security Deliceres

stock	Соттол

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Equities

				HOUTE	UNDOD DOCKEELLED COUN	1000 201E	
00 0	68 000 67	129,140 28	00 0	601,88 -	18 860,648 pt -	CT 921 226,41	Total Common Stock
00 0	143,941 20	31 COB 21	00 0	115 545 88	51 879 676 7	56 QUE £50 £	United Kingdom GBP
00 0	<u> </u>	69 090 F	00 0	ta usu 65	SU 1772 SG7 -	54 11 9 078	Switzerland CHF
00 0	- 48 252 53	3 475 25	000	S/ /tG 19 -	85 189 75 9	दा १५६ म्बम	Sweden SEK
00 0	- 11 508 58	98 169 F	00 0	(1 are f	FF 151 951	45 i 015 RU	Spain EUR
00 0	20 7.57,8	St 101	00 0	Zt 1t1'6	85 771 (551	123 740 36	Singapore - SCD
00 0	6,351 93	98 199	00 0	70 UPB 8	Z1 169 8Z	t2 01 2 10 3 10 5 t	Portugal - EUR
00 0	Z9 65Z	615 33	00 0	18 816	इस ८४७ सः	08 849 97	norway - NOK
00 0	5 110 03	99 919	00 0	1 823 37	82 159 02	19 160,62	Mew Zealand NZD
00 0	- 15,120 11	12 108,7 -	00 0	06 818 7	- 868 102 33	825 885 55	Neiherlands - EUR
00 0	26 Sh7,76	146,230 39	00 0	<u> </u>	60 287,017 £	10 168,718,6	Yqt - naqat
00 0	91 944'45 -	+8 833 8+	00 0	- 48,612 32	684 644 73	72 861,0£8	lialy EUR
00 0	67 67E,4	08 615 -	00 0	4,849 23	61 806 75	81 961,89	lreland EUR
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00 0	18 958,17 -	12,42012	00 0	69 98† 6\$	08 QEY 374 r	1,404 883 08	Թermany - EUR
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00 0	\$4 329 48	4,372 40	00 0	80 726 61 -	ZO 969 FLS	6S 39E 06r	Finishd EUR
00 0	14 878,8	1,363 42	00 0	58 860,7	122 106 56	127 781 97	Деишагк - DKK
00 0	ea 77 s ,2	£0 606 -	00 0	6,186 72	108 087 60	95,360 29	Belgium EUR
00 0	PE 099	543 83	00 0	75 427	16 700 67	58 223 52	Austria EUR

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Portfolio Statement

JAN 90 - 31 DEC 90 >>

Realized Gain/Loss Summary - Tax Lots

Account Name WINTHROP ROCKEFELLER FON

Page 5 of 108

					- Realized gain/lo		
	Promed .	Cn t	Short Term	— Market — Long Term	Translation	Short Term	al ———— Long Term
Security Deliveries							
Equities							
Preferred stock							
Australia - AUD	38,811 11	11 386 98	- 1,770 57	0 00	805 27	- 2,575 84	0 00
Germany - EUR	73,570 41	94 082 54	19,485 15	0 00	- 1,026 98	20,512 13	0 00
Total Preferred Stock	112,381 55	- 135 469 52	- 21,255 72	0 00	- 1,832 25	- 23,087 97	0 00
Total S/T translation gain/loss Equities					127,308 03	<u> </u>	-
Total L/T translation gain/loss Equities					0 00		
Total realized gains for Equities			1,049 243 09	0 00	94 888 53	1,144,131 62	0 00
Total realized losses for Equities			1,126 608 20	0 00	32 419 50	- 1,094,188 70	0 00
Total Equities	15 034 511 28	14 984,568 36	- 77,365 11	0 00	127,308 03	49,942 92	0 00
Total Security Deliveries	15,034 511 28	14 984 568 36	- 77 365 11	0 00	127,308 03	49,942 92	0 00
Capital Changes							
Equities	•	·			-	······	
Common stock							
Italy - EUR	8 151 91	- 8,061 62	121 29	0 00	31 00	90 29	0 00
United Kingdom - GBP	262 30	292 60	27 95	0 00	2 35	30 30	0 00
Total Common Stock	8 414 21	- 8 354 22	93 34	0 00	33 35	59 99	0 00
Rights/warrants							
France - EUR	111 71	0 00	111 71	0 00	0 00	111 71	0 00
Total Rights/Warrants	111 71	0 00	111 71	0 00	0 00	111 71	0 00
Total S/T translation gain/loss Equities					- 33 35		

THE WINTHROP ROCKFELLER FOUNDATION
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12/31/2000
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Account Name WinthRop RockeFeller FOM

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Realized Gain/Loss Summary - Tax Lots

							Capital Changes
Long Term	Short Term	uonejsue 1 <u>1</u>	Long Term	Short Term	ادات	Proceeds.	
lei	o1 ——		Market				
		- Realized gain/loss					

Total Capital Changes	8,525 92	8 224 22	S02 02	00 0	SE EE -	0/ 1/1	00 0
Total Equilies	8 222 95	R 384 55	502 02	00 0	33 32	07 171	00 0
Total realized losses for Equities			25 28	00 0	- 5 32	30 30	00 0
Total realized gains for Equities			533 00	00 0	00 16 -	502 00	00 0
Total L/T translation gain/loss Equities					00 0		
Ednifies							

British pound sterling sales GBP	3'141 55	3 125 62	00 0	00 0	01110	01110	00 0
Australian dollar sailes	O) UST	ZZ RST	ບດດ	00 0	£5 0	£\$ 0	00 0
Foreign exchange							
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รูสมาบุวชา เชิเอเอร	· · ·	 					-

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Singapore dollar purchases - SGD	132 761 41	80 180 VC1	00.0	00 0	70 G1S	76 612	00 0
уогуедіал Vrone purchases - ROK	77 716 81	80 5ZU 6t =	00.0	00 0	16.752	16 722	00 0
New Zealand dollar purchases - NZD	06 ZS8 07	50'05C OB	00 0	00 0	231 82	531 85	00 0
Japanese yen purchases - JPY	0E UOS, 267 E	25 PL 5	00.00	00 0	46,978 24	₽ \$ 876,84	00 0
Hong Kong dollar purchases - HKD	16 172'538	DO F37 F25	00 0	00 0	8181	8181	00 0
Euro purchases - EUR	2,064 884 35	26 EGF 200 9	00 0	00 0	42,609 62	- 42,609 62	00 0
Danish krone purchases DKK	RS 700 131	457 527 2 4	00 n	00 0	96 Zr9	96 ZH9	00 0
British pound sterling purchases - GBP	2,934 441 93	28 9#G 876 ¹ 7	00 0	00 0	ZO 56v S	ZO SGÞ S	00 0
Australian dollar purchases AUD	351,874 00	326 611 44	00 0	00 0	pp 787,1 -	pp 757,r -	00 0
18psnese yen sales 1PY	79 100'01	Þ8 S80 G	00 0	00 0	87.21	87.21	00 0
Euro sales EUR	118	lt 08	00 0	00 0	1 03	1 03	00 0
British pound sterling sales GBP	3'141 55	3 152 62	00 0	00 0	0111	Oril	00 0

THE WINTHROP ROCKFELLER FOUNDATION

Realized gain/loss

Portfolio Statement monagre-monaci

Page 7 of 108

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Realized Gain/Loss Summary - Tax Lots

Total Foreign Exchange	92 06 4,6 -	00 0	00 0	00 0	92 064,C -	93 054.5 -	00 0
Jolsi Foreign exchange	92 0CÞ C -	00 0	00 0	00 0	32 000,0	- 3,430 26	00 0
Total realized losses for Foreign exchange			00 0	00 0	95 586 95 -	99 986 99 -	00 0
Total realized gains for Foreign exchange			00 0	00 0	OC 999 C9	23,555 30	00 0
Total L/T translation gain/loss Foreign exchange					00 0		
Total S/T translation gain/loss Foreign exchange					92 064,6 -		
Total Foreign exchange	97 000 -	00 0	00 0	00 0	92 020 5 -	- 3 430 26	00 0
United States dollar sales USD	12'024'909 Sn	15 054,969 20	00 0	00 0	00 0	00 0	00 0
United States dollar purchases USD	t0 77£ £1	13 377 64	00 0	00 0	00 0	00 0	00 0
Swiss franc purchases - CHF	164 555 16	Z6 909 R6Z	00 0	00 0	9† +92°† -	- 4 264 48	00 0
Swedish Frons purchases SEK	12 769 629	<u></u> የፈጣሪር ህንና	00.0	00 0	6r r0r 9	6,104,49	oo o
Foreign e/change			· · · · · · · · · · · · · · · · · · ·				
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The Northern Trust Company

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Gam/loss on cash disbursements

Gain/Loss on Cash Disbussenis

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Portfolio Statement

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· Realized Gain/Loss Summary - Tax Lots

Account Name WINTHROP ROCKEFELLER FON

Page 8 of 108

				Market	 Realized gain/los 	oss Total		
	Proceeds	Cost	Short Term	Long Term	Translation	Snort Term	Long Term	
Gain/Loss on Cash Disbursements								
Gain/loss on cash disbursements								
Norwegian Frone IIOK	3D U5	υ 00	0 00	0 00	30 05	30 05	0.0	
Singapore dollar - SGD	284 03	0 00	0 00	0 00	284 03	284 03	0 00	
Swedish Krona SEK	2,954 77	0 00	0.00	0 00	2,954 77	2,954 77	0 00	
Swiss franc CHF	1 463 85	0.00	0 00	0 00	1,463 85	1,463 85	0 00	
Total Gain/Loss on Cash Disbursements	60 431 91	0 00	0 00	0 00	- 60 431 91	- 60 431 91	0 00	
Total S/T translation gain/loss Gain/Loss on Cash Di	sbursements				- 60 431 91			
Total L/T translation gain/loss Gain/Loss on Cash Di	sbursements				0 00			
Total realized gains for Gain/Loss on Cash Disburse	ments		0 00	0 00	22 132 29	22,132 29	0 00	
Total realized losses for Gam/Loss on Cash Disburse	ements		0 00	0 00	- 82 564 20	- 82 564 20	0 00	
Total Gain/Loss on Cash Disbursements	- 60 431 91	0 00	0 00	0 00	- 60 431 91	- 60 431 91	0 00	
Total Gam/Loss on Cash Disbursements	- 60 431 91	0 00	0.00	0 00	- 60 431 91	60 431 91	0 00	
Total \$/T translation gain/loss for securities Total L/T translation gain/loss to securities Total realized pains Total realized lusses Total realized gain/loss	14,879;175,017,// - 1	4.902.922.58	1,048,428109 1,126,636,15 277,160,06	0.96 8.06 0.96	63,412 51 0,09 170,545,12 167,132 61 63,412 51	1,225,021,21 1,231,755,75 13,141,55	0,00 0,00 0,00	

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Translation

gealized gain/loss -

Centeraled by The Northern Trust Company Iron periodic data on 17 Jan 01

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Long Term

Market

12 626

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Short Term

63 63

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Short Term

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801 to 9 age9

- Total -

Realized Gain/Loss Detail - Tay Lots

Security Deliveries Trade Date Security Description Settle Date

Equities

Common Stock

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SEDOL 6066608	00 19A 6

The Northern Trust Company

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Proceeds

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Shares/Par

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Equities

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Realized Gain/Loss Defail - Tay Lots

The Northern Trust Company

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Short Term Long Term	Market Translation	Short Term	IsoD	√ранэолд	Shares/Par	ecurity Description	

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Portfolio Statement,

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Realized Gain/Loss Detail - Tax Lots

Account Name WINTHROP ROCKEFELLER FOR

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				_			zed gain/loss —		
Settle Da	ite <u>Security Description</u> te Acquisition Date	Shares/Par	Proceeds	Cost	Short Term	— Market —— Long Term	Translation	Short Term	Long Term
Securi	ity Deliveries								_
Equitie	· \								
5 Apr 00 5 Apr 00	GEN PROPERTY TST UNITS NPV SEDOL 6365666	2 200 00	3 676 40	3 о25 Тъ	115 78	0 00	70 54	45 24	0 0:
·	1 Mar 00	2 300 00	3 070 40	3 625 16	115 78	0 00	70 54	45 24	0 00
5 Apr 00 5 Apr 00	GOODMAN FIELDE MEV SEDOL 1318519	nas au	1-11-13	1 405 ()	8 44	0 00	£8 51	20 07	0 00
	1 Mar VV	_ 000 do	1 445 91	14(53)	6 11	0.00	_ և Տ Լ	20 07	0 00
5 Apr 00 5 Apr 00	ILUKA RESOURCES HPV SEDOL 6057575	טט טטג	608 44	Ce3 49	ı 75	0 00	13 30	15 05	0 00
	1 Mar 00	200 00	668 44	683 49	ı 75	0 00	13 30	1 5 0 5	0 00
5 Apr 00 5 Apr 00	JAMES HANDIE INDS HE / SEDOL 640,1407	טט טטט טט	1.435.28	1 3/7 30	ñ <u>i</u> 13	0 00	26.81	b7 32	0 00
	1 M 1 00	600 OO	1 44 - 28	1 3// JG	94 13	0 00	26 81	67 32	0 00
5 Apr 00 5 Apr 00	LEIGHTON HOLDINGS NPV SEDOL 6511227	100 00	1 13- 54	1 154 18	36 70	0 00	- 23 24	59 94	0 00
	1 Mar 00	100 00	1 134 54	1 194 48	36 70	0 00	23 24	59 94	0 00
5 Apr 00 5 Apr 00	LEND LEASE CORP ORD A30 50 SEDOL 0512004	POO 00	3 705 J2	10 SnJ 77	678 20	0.00	206-05	884 25	0 00
	1 Mar 00	£00 00	9 705 52	10 569 77	678 20	0 00	208 05	884 25	0 00
5 Apr 00 5 Apr 00	MAYNE NICKLESS OND AND JU SEDOL 5574600	⁶ 00 00	1.013.22	£75 3a	95 33	0 00	18 99	43 34	0 00
	1 Mar 00	500 00	1 019 22	975 86	62 33	υ 0 0	18 99	13 31	0 00
5 Apr 00 5 Apr 00	MIM HLDGS ORD A\$0 50 SEDOL 6550167	2 000 00	1 o44 00	1 048 82	27 28	U 00	32 08	1 82	0 00
	1 Mar 00	2 600 00	1 644 00	1 648 82	27 26	0 00	32 08	- 4 82	0 00
5 Apr 00 5 Apr 00	NATIONAL AUST HANK NPV SEDOL 6624608	200 00	31 127 26	30 700 50	1 019 10	0 00	597 34	421 76	0 00
	1 Mar 00	, 400 00	31 122 20 THE WINTHOOD D	30 700 50	1 019 10	0 00	597 34	421 76	0 00

THE WINTHROP ROCKFELLER FOUNDATION
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Realized Gain/Loss Detail - Tax Lots

Portfolio Statement

Account Name WINTHROP ROCKEFELLER FDM

The Northern Trust Company

1785820-17 12/31/2000 990-PF

Cernerated by The Northern Trust Company from periodic data on 17 Jan 01

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▶ Realized Gain/Loss Detail - Tay Lots

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Account Name WinthROP ROCKEFELLER FON

Page 14 of 108

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▶ Realized Gam/Loss Detail - Tay Lots

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The Northern Trust Company

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The Northern Trust Company

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Realized Gain/Loss Detail - Tax Lots

Portfolio Statement

Portfolio Statement

1 JAN 00 - 31 DEC 00

▶ Realized Gain/Loss Detail - Tax Lots

Account Name WINTHROP ROCKEFELLER FON

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Trust Company from periodic data on 17 Jan 01	υνουτιακό by The Morthern
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12/31/2000 990-PF

The Northern Trust Company

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▶ Realized Gam/Loss Detail - Tax Lots

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The Northern Trust Company

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Equities

Security Deliveries

Trade Date Security Description Date
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▶ Realized Gain/Loss Detail - Tay Lots

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Long Term

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Portfolio Statement

Translation

Realized gain/loss

Long Term

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The Northern Trust Company

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The Northern Trust Company

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Portfolio Statement

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▶ Realized Gam/Loss Detail - Tax Lots

Account Name WINTHROP ROCKEFELLER FON

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Portfolio Statement

Cenerated by The Northern Trust Company from periodic data on 17 Jan 01

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▶ Realized Gain/Loss Detail - Tax Lots

The Northern Trust Company

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Equities

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▶ Realized Gain/Loss Detail - Ta/ Lots

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▶ Realized Cain/Loss Detail - Tay Lots

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▶ Realized Gam/Loss Detail - Tax Lots Page 28 of 108

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▶ Realized Gain/Loss Detail - Tax Lots

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Long Term

Realized Cam/Loss Detail - Tax Lots

Portfolio Statement

Account Name WinThROP ROCKEFELLER FDM

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Realized gam/loss -

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▶ Realized Gain/Loss Detail - Tay Lots

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▶ Realized Gain/Loss Detail - Tax Lots

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▶ Realized Gam/Loss Detail - Ta/ Lots

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▶ Realized Gam/Loss Detail - Tay Lots

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The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION 990-PF $G\epsilon$

12/37/2000

Generated by The Northern Trust Company from periodic data on 17 Jan 01

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▶ Realized Gain/Loss Detail - Tax Lots

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Short Term

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Proceeds

12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

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Realized Gain/Loss Detail - Tay Lots

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Translation

Realized gain/loss

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Equities

Security Deliseries

Realized Gain/Loss Detail - Tax Lots

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Portfolio Statement

Account Name WINTHROP ROCKETELLER FON

▶ Realized Gain/Loss Detail - Tax Lots

Page 42 of 108

Trade Da	te Security Description			-		Reali	zed gain/ioss —	_	
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THE WINTHROP ROCKFELLER FOUNDATION 990-PF

990-PF 12/31/2000 71-0285871

Generated by The Northern Trust Company from periodic data on 17 Jan 01

Account Name WINTHROP ROCKETELLER BINGS Account Name WINTHROP

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Translation

Realized gain/loss -

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Page 43 of 108

T NY NOO- 31 DEC 00 Portfolio Statement

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Trade Date Security Description Date Settle Date

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Portfolio Statement

▶ Realized Cam/Loss Detail - Tay Lots

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The Northern Trust Company

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The Northern Trust Company

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▶ Realized Gam/I oss Detail - Tax Lots

Rortfolio Statement

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Security Deliveries Trade Date Security Description Date Settle Date

The Northern Trust Company

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Proceeds

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990-PF THE WINTHROP ROCKFELLER FOUNDATION

801 to 32 apsq

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▶ Realized Gam/Loss Detail - Tay Lots

1 14H 00 - 31 DEC 00

Conversion by The Northern Trust Company from periodic data on 17 Jan 10

1787800-17

12/31/2000

990-PF

THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

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▶ Realized Gain/Loss Detail - Fax Lots

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Generaled by The Northern Trust Company from periodic data on 11 Jan 01

990-PF 12/31/2000 71-0285871 Gen

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▶ Realized Gain/Loss Detail - Tay Lots

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Portfolio Statement

Account Name WATHROP ROCKETELLER FDM

SEDOF 6651169

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→ Realized Gain/Loss Detail - Tay Lots

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12/31/2000 990-PF

conserted by The Northern Trust Company from periodic data on 17 Jan 01 THE WINTHROP ROCKFELLER FOUNDATION

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▶ Realized Cain/Loss Detail - Faz Lots

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▶ Realized Gain/Loss Detail - Tax Lots

1 DAN 00 31 DEC 00 Portfolio Statement

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19 May 00 SONY CORP NEW JP1 50,2275/2000)

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Equities

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▶ Realized Gain/Loss Detail - Fax Lots

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Comorair d by The Northern Trust Company from periodic data on 17 Jan 01

12/31/2000 990-PF

The Northern Trust Company

Trust Company from periodic data on 17 Jan 01	Generaled by The Northern
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15/31/5000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

The Northern Trust Company

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▶ Realized Gain/Loss Detail - Tay Lots

Portfolio Statement

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12/31/2000

The Northern Trust Company

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▶ Realized Cam/Loss Detail - Tax Lots

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Portfolio Statement

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Generated by The Northern Trust Company from periodic data on 17 Jan 01

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▶ Realized Cam/Loss Detail - Tay Lots

Page 76 of 108

Portfolio Statement

Account Name WilliamoP ROCKEFELLER TON

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12/31/2000 990-PF THE WINTHROP ROCKFELLER FOUNDATION

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Portfolio Statement

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THE WINTHROP ROCKFELLER FOUNDATION
12/31/2000
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Centeraled by The Northern Trust Company Irom periodic data on 17 Jan 01

The Northern Trust Company

Account Name WINTHROP ROCKEFELLER FON

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Centerated by The Northern Trust Company from periodic data on 17 Jan 01

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LOKIJONO STOECOO

Equities

• Realized Gain/Loss Detail - Tax Lots

The Northern Trust Company

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								Security Deliveries
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THE WINTHROP ROCKFELLER FOUNDATION

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Concreted by The Northern Trust Company from periodic data on 17 Jan 01

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Equities

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▶ Realized Gam/Loss Detail - Tax Lots

The Northern Trust Company

1 Mar 00

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THE WINTHROP ROCKFELLER FOUNDATION

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Equities.

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▶ Realized Gain/Loss Detail - Tax Lots

Long Term	Short Term	Translation	mel proj	Short Term	Lub	तमम्बद्धा	ii (1/) tti,(1/2	Settle Date Acquisition Date
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	00 Nak 1	00 817 1	2 518 92	90 861 9	95 60	00 0	67 95	50 89	00 0
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Account Name WINTHROP ROCKETELLER FDM

Page 83 of 108

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▶ Realized Gain/Loss Detail - Tax Lots

			-		Security Deliveries
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lsio]—	Market				Trade Date Security Description

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▶ Realized Gain/Loss Detail - Tax Lots

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WINTHROP ROCKFELLER FOUNDATION	7000
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Portfolio Statement

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▶ Realized Gain/Loss Detail - Tax Lots

								Security Deliveries
Long Term	Short Term	Translation	miel pnol	Short Term	Cost	P1:00:15	शासन्दर्भकता	Settle Date Acquisition Date
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Equities

Preferred Stock

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00 0	67 £21	59 90	00 O	65 E81	10 crc E	3 208 83	00 0 <u>7</u> 1	SEDOL 5197108 VOLKSWAGEN AG NON VTG FRF NF4	5 Apr 00 5 Apr 00
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Total S/T translation gain/loss for Equities

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Total LVI translation gain/loss for Equilics

1 2/3 1/2000 A90-PF THE WINTHROP ROCKFELLER FOUNDATION

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Ceneraled by The Northern Trust Company from periodic data on 11 Jan 10

The Northern Trust Company

Account Marie WINTHROP ROCKEFELLER FON

Portfolio Statement

Equities

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• Realized Gain/Loss Detail - Tax Lots

								Security Deliveries
Long Term	Short Term	Translation	unal pnoJ	Short Term	Cost	2Det + 1019	0.37 ±104S	Settle Date Acquisition Date
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Total realized losses for Equities			1,126,608 20	00 0	32 419 50	07 881,460,1 -	00 0
Total realized gains for Equilies			1,049,243 09	00 0	CS 888 Þ6	29 IEI ÞÞI'I	

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▶ Realized Gam/Loss Detail - Tax Lots

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Equities

Common Stock

Capital Changes

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Rights/Warrants

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Total S/T translation gain/loss for Equities

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Total L/T translation gam/loss for Equities

Total realized gains for Equilies

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▶ Realized Gain/Loss Defail - Tay Lots

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								Equities
	·	·	<u></u>					Capital Changes
Long Term	Short Term	Translation	Rea Mart et Long Term	Short Term	Cort	50 म्झ ±01द्व	n (II) in II/2	Trade Date Security Description

Total Capital Changes	8 232 95	- 8,354 22	502 02	00 0	98 88 -	07 171	00 0
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Total realized losses for Equities			S6 72 -	00 0	- 5 32	- 30 30	00 0

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1 Mar 00 Foreign Prohible

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United States dollar sales

Trade Date Security Description Settle Date

1 3VN 00 - 31 DEC 00

▶ Realized Gain/Loss Defail - Tax Lots

12/31/2000

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THE WINTHROP ROCKFELLER FOUNDATION

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Portfolio Statement

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▶ Realized Gain/Loss Detail - Tax Lots

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THE WINTHROP ROCKFELLER FOUNDATION

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Portfolio Statement

Account Name WINTHROP ROCKEFELLER FON

▶ Realized Gain/Loss Detail - Tax Lots

Page 91 of 108

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Account Name WINTHROP ROCKEFELLER FDN

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12/31/2000 THE WINTHROP ROCKFELLER FOUNDATION

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▶ Realized Gain/Loss Detail - Ta/ Lots

Generated by The Northern Trust Company from periodic data on 17 Jan 01

Page 95 of 108

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▶ Realized Gain/Loss Detail - Tax Lots

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Portfolio Statement

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▶ Realized Gain/Loss Detail - Tax Lots

Account Name WINTHROP ROCKEFELLER FON

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The Northern Trust Company

THE WINTHROP ROCKFELLER FOUNDATION
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12/31/2000
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Generated by The Northern Trust Company from periodic data on 17 Jan 01

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רסחם ופנש	Short Term	ed gain/loss	Long Term	Short Term	Losi	Proceeds	2hares/Par	Security Description	eQ abeiT
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THE WINTHROP ROCKFELLER FOUNDATION

Portfolio Statement

Gam/Loss on Cash Disbursements

▶ Realized Gain/Loss Detail - Tay Lots

Rage 101 of 108

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met prot - met ned -	nout net met poor	Short Term	1 00	тра ғянд	म तम् नम्पाइ	Trade Date Acquisition Date
1610T	15 JEM		_			Security Description

Total Gain/Loss on Cash Disbursements	16 164 09 -	00 0	00 0	00 0	16 164 09 -	16 124 03 .	00 0
Total GanivLoss on Gash Disbursements	16 164 09 -	00 0	00 0	00 0	16 127 09 -	16 104 09 -	00 0
Total realized losses for Gain/Loss on Cash Disbursements			000	00 0	- 85 264 50	- 85'264 50	00 0
Total realized gains for Gain/Loss on Cash Disbursements			00 0	00 0	55 135 59	55 135 58	00 0
Total L/T translation gauniloss for Gam/Loss on Cash Disbursements					00 0		
Total S/1 translation gam/loss for Gam/Loss on Cash Disbursements					16 ICÞ'09 -		
Total Swiss franc	58 C97 I	00 0	00 0	00 0	1,463 85	1,463 85	00 0
31 Way 00							
31 May 00 Average Book Cost Adjustinent CHF 01	(n a) (n o	00.0	000	00 n	19 01	10.81	1 —

71-0285871 12/31/2000 990-96 THE WINTHROP ROCKFELLER FOUNDATION

Generated by The Northern Trust Commun. 1

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* Realized Cam/Loss Detail - Tay Lots Portfolio Statement

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Investment Transaction Detail

(s)oT	Translation	Market	tsoO	Jnuoms	esing	BrokeriČommission	Zutal2 SbanT
	- Realized gain/loss	-		Transaction	AA9\zə18rl2	Security des <u>c</u> rip <u>tion</u> Sacurity description	elsb ebsit elsb ellie

Sales

Equities

USU - Isnoitennetni Common stock

Total sales		99 555'866'1 -	16,465,573 00	41 686,384,81 -	₽1 087,020,E -	00 0	- 3,020,780 14
Total equiffe	Se		15,465,573 00	18,486,353 14	- 3,020,780 14	00 0	▶1 087,020,E -
Total commo	ou atock		00 618 884,81	41 EZE,384,81 -	br 087,0 <u>\$0,</u> 6 -	00 0	₽£ 087,020 € -
Total Interna	QSU - Isnolis		15,465,573 00	pi 626,384,81 -	- 3,020,780 14	00 0	Ar 087,020 £ -
Settled	CUSIP 6652/8354	000060 11					
21 Dec 00	MFB NORTHN 1NSTL FDS INTL EQTY INDEX PORTFOLIO CL A	001 457 696 1 -	00 £25 061 \$1	- 18 163 842 00	2 973 269 00	00 0	692 ETE S -
Settled	CUSIP L65278354	000007 11					
14 Dec 00 15 Dec 00	MFB NORTHN INSTL FDS INTL EQTY INDEX PORTFOLIO CL A	6 410 260	00 000,27	ZO 658 98 -	70 828 11	00 O	20 658 11
Settled	CUSIP 665278354	11 20000				· ···· ·	
31 MON 00 30 MON 00	MFB NORTHN INSTL FDS INTL EQTY INDEX PORTFOLIO CL A	14 391 300	200 000 00	- 532 625 15	- 32 627 15	00 0	- 32 625 15

12/31/2000 14-066 THE WINTHROP ROCKFELLER FOUNDATION

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

	Date	Date	Gross Sales	Depreciation Allowed	Cost or Other	Gain or (Loss)
Description	Acquired	Sold	Price	or Allowable	Basis	for entire year
	VAR	VAR	511.		1,371.	-860
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T-4-1					-	0.00
Totals			<u>- </u>			-860



\$2.8 MILLION DISTRIBUTED BY THE WINTHROP ROCKEFELLER **FOUNDATION BOARD FOR ARKANSANS IN 2000**

In 2000, the Winthrop Rockefeller Foundation board of directors distributed grants totaling \$2,823,644 in philanthropic dollars to benefit and make a difference in the lives of Arkansans in the areas of education, economic, racial and social justice, and economic development

A Better Chance, Inc - New York, NY

\$ 85,350

To expand higher education opportunities to talented Arkansas students of color in rural areas

Agricultural Development Foundation – Fayetteville, AR (University of Arkansas, School of Human Environmental Sciences)

\$ 1,000

To support participation for two individuals from Arkansas to attend a four-state rural community development conference

Arkansas Arts Center Foundation – Little Rock, AR

\$100,000

To sponsor The Jeanette Rockefeller Memorial Tour (Artmobile), which includes original art, an art educator, and a study guide for young participants and their teachers. The Artmobile tours 20 Arkansas communities annually

The Arkansas Commitment - Little Rock, AR	\$ 25,000
Offers talented African American high school students support in preparing for the ACT/SAT tests, training to enhance interpersonal skills in the business world, summer internships with key central Arkansas businesses, and participation in community service projects	
Arkansas Community Foundation - Little Rock, AR	\$133,655
To implement the "Building Philanthropy" initiative which encourages philanthropic resources for Arkansas	
Arkansas Enterprise Group – Arkadelphia, AR	\$500,000
To match funds to support ongoing workforce training programs in Pine Bluff, Stuttgart, and Helena, an Arkansas Women's Business Development Center, and the Working Families Project	
Arkansas Humanities Council – Little Rock, AR	\$155,659
To enable Arkansas teachers to pursue innovative, imaginative humanities programs with their students. This mini-grant program awards up to \$2,000 per grant.	
Arkansas Repertory Theatre - Little Rock, AR	\$103 015
To expand The Rep's educational outreach program so that as many students as possible across the state will receive arts education	
Arkansas Science and Technology Authority Little Rock, AR	\$ 3,000
To support participation for representatives from Monticello, Dumas, and Helena in a tri-state technology conference	
Winthrop Rockefeller Foundation www wrockefeller foundation.org	Page 2

Arkansas Single Parent Scholarship Fund - Springdale, AR	\$ 50,000
To support the Delta Scholarship Project to increase the number of single parents who obtain post-secondary education, and to provide incentives for expanding the available scholarship funds	
Arkansas Symphony Orchestra Society, Inc - Little Rock, AR	\$111,319
To develop a program in 20 elementary schools statewide that provides music education using symphony musicians as "art partners"	
Arkansas Territorial Restoration Foundation - Little Rock, AR	\$ 50,000
For the development of a statewide education curriculum based on the living history of "A Slave Ship Speaks The Wreck of the Henrietta Marie" traveling exhibit	
Arkansas Urban Gardening Educational Resources – Little Rock, AR	\$ 5,000
To provide a youth gardening program, which helps in the understanding of basic business practices, with equipment that will assist their cut flower business at a farmers' market	
The Centers for Youth and Families - Little Rock, AR	\$ 93,518
To create an awareness and education program for the general public about children of incarcerated parents as a way to inform and obtain additional funding for program implementation	
Central High Museum and Visitor Center - Little Rock AR	\$ 9,999
To provide materials for a self-guided tour and to enhance the current audio system for visually and hearing-impaired visitors	

Winthrop Rockefeller Foundation www.wrockefellerfoundation org



\$ 20,000

To provide funding for up to 20 representatives from Arkansas-based community organizations to attend the National Individual Development Account learning conference, which will assist participants in developing skills that will encourage low-income or low-asset families to save

Enterprise Corporation of the Delta – Jackson, MS

\$150,000

To provide technical assistance to Delta firms and entrepreneurs interested in starting and/or growing businesses in Arkansas

Fort Smith Symphony Young Artist Development Program – Fort Smith, AR \$ 50,000

To further develop the skills of young musicians, this program supplements public school music programs, establishes two youth orchestras, and provides students in the youth orchestras with the opportunity to perform with members of the Fort Smith Symphony

Hechinger Institute on Education and the Media - New York, NY (Teachers College, Columbia University)

\$ 30,000

To provide funds for a select group of Arkansas broadcast and print journalists to participate in education-related seminars that will assist them in providing insightful reporting on education issues and topics

Hot Springs Documentary Film Institute – Hot Springs, AR

\$ 72,400

To provide local communities with selected documentary films to promote critical thinking on real-life issues and events

The Japanese-American National Museum – Los Angeles, CA

\$100,000

To sponsor the internment camp and other exhibits, to develop an educational curriculum, and to create permanent exhibits that will focus on the camps in Rohwer and Jerome, where 17,000 Japanese-Americans were confined

Winthrop Rockefeller Foundation www wrockefeller foundation org

Jump-Start Technology Initiatives - Little Rock, AR

\$129,912

To provide assistance for Lee, Dallas, Crittenden, Stone, and Newton counties, and Morrilton, Alread, Brinkley, Walnut Ridge, Caddo, Bald Knob, Dardanelle, and other rural communities of 10,000 or less, to prepare for the "shift" from low-tech to state-of-the-art technology. This initiative also serves as a catalyst for community members to work collaboratively by building the capacity of youth, seniors, small business enterprises, and educational and nonprofit institutions to understand and use technology effectively

Mid South Delta - Local Initiatives Support Corporation - Greenville, MS

\$259,468

To support the "Organizational Excellence" project to build the organizational capacity of community development corporations

National Conference for Community and Justice – Little Rock, AR

\$ 75,000

To support Unitown, a learning workshop for 60 high school students, volunteers, and facilitators that promotes racial harmony and positive relationships among students of differing ethnic backgrounds, particularly African-Americans, Hispanics, and Caucasians

National Economic Development and Law Center - Oakland, CA

\$ 30,000

To conduct a study of the Cotton Boll workforce training program, with emphasis on welding, in order to replicate this program around the state so that single parents and transition recipients of public assistance can develop skills to earn a livable wage

The Nature Conservancy of Arkansas - Little Rock, AR

\$ 10,000

To match funds that will assist with a comprehensive community and economic development plan for the City of Clarendon

Winthrop Rockefeller Foundation

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Southern Early Childhood Association – Little Rock, AR \$132,850 To convene a regional summit on early childhood development that will provide discussion, an exchange of ideas, and debate pertaining to issues and challenges facing southern states Southern Growth Policies Board - Research Triangle Park, NC \$ 20,000 Provides funds to support a conference and research initiative targeting strategies and projects for the "digitally disenfranchised," since the South lags other regions in Internet home access, non-home access, and total usage Southern Rural Development Initiative - Raleigh, NC \$ 5,000 To involve rural youth in community building and youth leadership development programs, and the development of the assembly program, "Claiming Home Youth Building The Rural South of 2000 and Beyond " United Way of Pulaski County – Little Rock, AR S 50,000 A planning grant to develop a strategy for acquiring and renovating the West Side Junior High School building for use as a comprehensive neighborhood and community services center Wildwood Center for Performing Arts – Little Rock, AR \$100,000 To assist in developing a comprehensive education program and creative teaching methods that enables multi-cultural arts to have a critical role in education Winrock International – Morrilton, AR S162,500 Provides training and technical support to land owners and community based organizations in developing projects that use carbon dioxide as a raw material and obtains it from the atmosphere

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Winthrop Rockefeller Foundation

www wrockefellerfoundation org

◆ Asset Summary

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, J					Unrealized gain/loss			
Country	Accrued Income/expense	Market value	Cost	Marl et	Translation	Total	Market value incl accruais	%
Fixed Income	· · -						<u>-</u>	
Government bonds								
Canada - USD	4 333 20	200,330 00	200 288 00	42 00	0 00	42 00	204,663 20	0 593%
United States - USD	42,086 62	2 951 528 80	2,852,919 64	98,609 16	0 00	98,609 16	2,993 615 42	8 871%
Total government bonds	46,419 82	3,151,850 80	3,053,207,64	98,651 1€	0.00	P8,651 16	3,188,278 62	9.2
Government agencies				•=				
United States - USD	88,420 62	5 252 330 10	5 284 530 93	- 12 200 83	0 00	· 12 200 83	5 340 758 72	15 470%
Total government agencies	88,428 62	5,252,330 10	5,204,530 83	- 12,200 BJ	0 00	- 12,200 BJ	5,340,758 72	15,470%
Corporate bonds								
South Africa - USD	688 80	202 666 00	201 840 00	829 00	0 00	826 00	203,354 80	0 589%
United States - USD	109 720 42	7,894 341 05	7 858, 194 25	36 146 80	0 00	36,146 90	8 003 561 47	23 183%
Total corporate bonds	109,008 22	8,097,007 05	8,060,034 25	36,972 80	0 00	J6,972 80	8,208,916 27	23.772%
Government mortgage back	ked securities							
United States - USD	63,594 86	11 941,104 38	11 699 081 73	242 022 65	0 00	242,022 65	12 004 693 24	34 773%
Total government mortgage backed sec	curities 63,594 RB	11,941,104 38	11,699,081 73	242,022 65	0 00	242,022.05	12,004,699 24	34 773 %
Asset backed securities								
United States - USD	24 646 51	4 157 435 78	4,100,241 87	57 193 89	0 00	57 193 89	4 182 082 30	12 11
Total asset backed securities	24,646 54	4,157,435 76	4,100,241 87	57,193 09	0 00	57,193 89	4,182,082 30	12.114%
Non-government backed c.i	m.o.s							
United Stales - USD	5 4 1 5 7 5	1 097,610 59	1 06B /GO 23	28 850 36	0.00	28 850 36	1 103 026 34	J 195%
Total non-government backed c m o s	5,415 75	1,007,610 59	1,068,700 23	28,850 10	0 00	28,850 30	1,103,028,34	3 105%
Total fixed income	33R,414 B1	33,897,346 G8	33,245,856 65	451,490 03	0 00	451,490 03	34,035,761 49	98 589%

The Northern Trust Company

Generated by The Northern Trust Company from periodic data on 30 Jan 01

◆ Asset Summary

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1 kbbCt Baillillai j					- Unrealized gain/loss—			
Country	Accrued income/expense	Market value	Cost	Market	Translation	Total	Market value incl accruals	%
Fixed Income								
Government bonds								
Canada - USD	38 782 87	1 177 541 65	1,149 710 31	27 831 34	0 00	27,831 34	1 216,324 52	3 514%
United States - USD	242,198 24	12 936,440 37	12,710 361 42	226,078 95	0 00	226,078 95	13 178,638 61	38 076%
Total government bonds	280,981.11	14,113,982 02	13,860,071.73	253,910 29	0 00	253,910 29	14,384,963.13	41
Government agencies		,						
United States - USD	97 483 97	G 864 243 35	G 734 539 45	129 703 90	0 00	129,703 80	6,961 727 32	20 114%
Total government agencies	97,483 97	6,864,243 35	6,734,539 45	129,703 90	0 00	129,703.80	8,961,727,32	20.114%
Corporate bonds						<u> </u>		•
Luxembourg - USD	3 725 92	348 699 10	331 529 20	17,169 90	0 00	17,169 90	352 425 02	1 018%
United States USD	92 421 93	6 251 410 25 +	6 093 65G 4 I	157 753 84	0 00	157 753 84	6 343 832 18	18 329%
Total corporate bonds	90,147 85	8,000,109 35	8,425,185 61	174,923 74	0 00	174,923 74	6,696,257 20	19 347%
Government mortgage back	ed securities			. 	. —.			
United States USD	0 00	2 103 262 25	2 079 387 50	23 874 75	0 00	23 874 75	2,103 262 25	8 077%
Total government mortgage backed secu	ritles 000	2,103,262 25	2,079,307 50	23,874 75	0 00	23,874 75	2,103,262 25	6 077%
Asset backed securities								
United States USD	41 417 05	3 129 407 75	3 043 578 45	85 829 30	0 00	85 829 30	3 170 824 80	: D
Total asset backed securities	41,417 05	3,129,407 75 4	3,043,578.45	85,829 30	0 00	85,829 30	3,170,824 80	9.161 %
Non-government backed c.m	105							
United States - USD	3 506 83	849,407 G5	805 282 22	44 125 43	0 00	44 125 43	852 914 48	2 484%
Total non-government backed & m o s	3,508 83	849,407 65 <710	D 805,282 22	44,125 43	0 00	44,125 43	852,914 48	2 484%
Total fixed Income	519,530 01	33 860 412 37. >	32 948 044 96	712,367 41	0 00	712,367 41	34,179,949.18	98 754%

The Northern Trust Company

Generated by The Northern Trust Company from periodic data on 20 Jun 01

Account Name WROCKEFELLER-RCM EQUITIVE

Asset Summary							Page :	3 of 133
J	Accrued				 Unrealized gain/loss— 		Market value	
Country	income/expense	Market value	Cost	Market	Translation	Total	incl accruals	%
Equities								
Common stock								
Bermuda - USD	187 50	917,525 00	337,811 42	579,713 58	0 00	579,713 58	917,712 50	3 906%
Canada - USD	0 00	96,187 50	117,734 48	- 21 546 96	0 00	- 21,546 96	96,187 50	0 409%
Finland - USD	0 00	543,750 00	27,843 27	515,906 73	0 00	515,906 73	543,750 00	2 3
Israel - USD	0 00	227 056 25	175,092 82	51 963 43	0 00	51 963 43	227 056 25	0 866
Netherlands • USD	787 50	335,737 50	255 730 87	80 006 63	0 00	80 006 63	336,525 00	1 432%
United Kingdom - USD	3,958 53	548,593 75	619,553 46	- 70 959 71	0 00	- 70,959 71	552,552 28	2 352%
United States - USD	6 720 75	20 640 366 65	15,659,429 05	4 980 937 60	0 00	4,980 937 60	20,647,087 40	87 887%
Total common stock	11,654 28	23,309,216.65	17,193,195 35	6,116,021 30	0 00	8,118,021 30	23,320,870 93	99.269%
Total equities	11,654 28	2 109,216 65	17,193,195 35	6,116,021 30	0 00	8,116,021 30	23,320,870 93	99.269%
Cash and Cash Equivo	ulents	~ ~						
Short term investment fun	nds	_						
Short Term Investment Funds	625 88	155,246 80	155 246 80	0 00	0 00	0 00	155 872 68	0 663%
Total short term investment funds	825 88	155,246 80	155,246.80	0 00	0 00	0,00	155,872.88	0.663%
Total cash and cash equivalents	625 88	155,246 80	155,248 80	0 00	0 00	0 00	155,872 68	0.661%
Adjustments To Cash					ř.			
Pending trade purchases								
Pending trade purchases	0 00	1 690 949 44	- 1,G90 949 44	0 00	0 00	0 00	-1,690 949 44	- 7 198%
Total pending trade purchases	0 00	- 1,690,949 44	- 1,690,949 44	0 00	0 00	0 00	-1,690,849 44	- 7,198%
Pending trade sales			<u></u>					
Pending trade sales	0 00	67 283 75	67,283 75	0 00	0 00	0 00	67,283 75	0 286%
Fotal panding trade sales	0.00	67,283 75	67,283 75	0 00	0 00	0 00	67,283.75	0.288%

Account Name (WROCKEFELLER-RCM EQUITY)

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Asset Summary

								Adjustnients To Cash
%	Market value Incl accruals	letoT	Translation	Market	Cost	Market value	Accrued hncome/expense	Country
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Other receivables

isioT	12,280.16	23,480,402,80	17,364,281.50	8,118,021.30	000 (1)	05.150,811,8	23,492,682,96 ;	%000.001
Fotal Unrealized Losess						- 1,614,219 00		
Total Unrealized Gains						8,030,240 30		
Total adjustments to cash	00 0	SC GCB,21	SE 808'SI	00 0	00 0	00 0	2£ 6£6,21	00
Total other receivables	00 0	40 208,8C6,1	1,639,805 O4	00 0	00 0	00.0	₽0,208,8€8,1	A'878.5
Other Receivables	00 0	1 639,605 04	1,639 605 04	00 0	00 0	00 0	₩ 0 \$09'6€9'I	%628 9

99 109,876,71

Total Cost Incl. Accruais

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 Asset Summary
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,					Unrealized galn/loss-			
Country	Accrued Income/expense	Market value	Cost	Market	Translation	Total	Market value Incl accruals	%
Equities								
Common stock								
Israel - USD	0 00	783 775 00	511,246 95	272,528 05	0 00	272 528 05	783 775 00	3 573%
United States - USD	4 867 60	20 286 370 31	19 704,275 70	582,094 61	0 00	582,094 61	20 291,237 91	92 498%
Total common stock	4,867,80	21,070,145 31	20,215,522 65	854,622 66	0 00	854,622.66	21,075,012 91	P8 Q
Total equities Cash and Cash Equition	4,867.60 Valents	21,070,145 31) 20,215,522 85	854,022 60	0 00	854,622.68	21,075,012 91	98.088
Short term investment fu	ınds							
Short Term investment Funds	3 431 45	345 941 13	345 041 13	0 00	0 00	0 00	349 372 58	1 583%
Total short term investment funds	3,431 45	345,941 13	345,941 13	0 00	0 00	0 00	349,372 59	1.593%
Total cash and cash equivalents Adjustments To Cash	3,431 45 Z	345,941 13	345,941 13	0 00	0 00	0 00	349,372,58	1 593%
Pending trade purchases								
Pending trade purchases	0 00	- 581 479 00	- 581,479 00	0 00	0 00	0 00	-581 478 00	- 2 651%
Total pending trade purchases	0 00	- 581,479 00	- 581,479 00	0 00	0 00	0 00	-581,479 00	- 2 651%
Pending trade sales								
Pending trade sales	0 00	1 094,621 44	1 094,621 44	0 00	0 00	0 00	1,094 621 44	4 9
Total pending trade sales	0 00	1,094,621 44	1,094,621.44	0 00	0 00	0 00	1,094,621.44	4.990
Total adjustments to cash	0 00	513,142 44	513,142 44	0 00	0 00	0 00	513,142 44	2.339%
Total Unrestized Gains		··· •	<u> </u>			2,638,544.70		
Total Unrealized Losses	·					- 1,783,922 04		
Total	8,299 Q6	21,929,228 88	21,074,606.22	854,627.G6	0 00	854,622.86	21,937,527 93	100 000%

Total Cost Incl Accruals

21,082,905 27

The Northern Trust Company

Generated by The Northern Trust Company from periodic data on 26 Jan 01

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Somba

Common stock

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08 0F0,60E,81 EE AOT,ASS,F! 02 SZ3,0S	18 205,480,1	000	F8 296,480,1 -	CA TEC, ZAS, T!	%681 86
\$6 652 50 16,207 073 68 173 552 45	77 67± 000	00 0	77 87± 506 -	81 927 725 91	~ 95 36 ~
0 00 330 000 00	38 056 20	00 0	38 028 50	292 037 50	\
SE 201 508 97 660 927 00.0	00 858 C4	00 0	02 858 64	725 593 75	% isı s

Short term investment funds

The Northern Trust Company

ialóī	52 551 LIZ	12,5A2,146 J4	15 512,519 61	1.084,165 67	00 0	₹8.236C,480,4 -	65 f02.682.51	2000 001
Total Unrealized Losses	· · · · · · · · · · · · · · · · · · ·					89 TIC, TOO, E -		
Folal Unrealized Gana						1,922,951 81		
simpleviups deep bas describing	52 70Z	ID IDD, TIC	ID IDD TIE	00 0	00 0	00 0	91 441,816	%1181
Total short term investiment funds	20 ZOL	to too, sie	is iss TIC	00 0	00 0	00 0	31 A41,81C	% 1 1 8 T
Short Term Investment Funds	27 207	313 411 41		00 0	00 0	00 0	318 144 16	%1181

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Total

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Account Name WROCKEFELLER-ARTISAN INT(LFND)

Asset Summary

%	Market value Incl accruals	IsioT	Translation	Market	Cost	Market value	Асстиед Эглэдхэллоэл	Country
			Oureaused gaznearou		_			

Edniti ϵs

total equities Cash and Cash Equivalents	00 0	15,392,802 81/	20 818,602,21	87 480,681	00 O	87 480,881	18,292,802.81) , c86'86
Total common stock	00 0	18,292,802.81	15,203,818,05	87 480,681	00 0	189,084 76	18,392,902 81	% EB8 66
dau - saista belinu	00 0	18 392 902 81	15 203 818 05	97 480 681	00 0	87 480 68!	18,392 902 81	% 588 66
Соттоп згоск		-	·				 	

Short term investment funds

latoT	2,581.46	16,302,902.85	40 818,COZ,A1	87,480,681	00 0	148,084,78	ic 484,380,31	-%000,00₽
Total Unrealized Losees						00.0		- //
Total Unrealized Gains						87,580,681		
- Total cash and cash equivalents	2,581 46	Þ0. 0	Þ0-0	00 0	00 0	00.0	05 185'Z	%710.0
shrul tramtsavni mrat fronts latoT	2,581.46	50.0	50 0	00 0	00 0	00 0	2,581 50	% £10.0
. Short Term Investment Funds	2 581 46	90 0	90 0	00 0	00 0	00 0	2,581 50	%4100

15,206,399 55

Total Cost Incl. Accrusts

Generaled by The Northern Trust Company from periodic data on 26 Jan 01

The Northern Trust Company

♦	Asset	Summary
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•					 Unrealized gain/loss— 			
Country	Accrued Income/expense	Market value	Cost	Market	Translation	Total	Market value incl accruals	•/
Equities								
Common stock					ļ			
United States - USD	11,000 34	9,714,603 68	9,604 113 40	110,490 28	0 00	110,490 28	9,725,604 02	89 638%
Total common stock	11,000.34	9,714,603.58	9,604,113.40	110,490 28	0 00	110,490.28	9,725,604.02	99.838%
Total equities Cash and Cash Equiv Short term investment fu		9,714,603 68	9,604,113 40	110,490 28	0 00	110,490 28	9,725,804 02	9 4
Short Term Investment Funds	166 83	35 152 46	35 152 4G	0 00	0 00	0 00	35 319 29	0 362%
Total short term investment funds	168 83	35,152 46	35,152 46	0 00	0 00	0 00	25,319 29	0.362%
Total cash and cash equivalents	166 83	35,152 46	35,152 46	0 00	0 00	0.00	35,310.29	0.362%
Total Unrealized Gains						110,490 28		
Total Unrealized Losses						0 00		
Total	- 11,167 17	9,749,756.14	9,839,265 86	110,490 28	0.00	110,490.28	9,760,923,31	100.000%

Total Cost inct, Accruals

9,650,433 03

♦	Asset	Summary
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Asset Summary							Page 4	of 186
	Accrued				Unrealized gain/loss—		Market value	
Country	income/expense	Market value	Cost	Market	Translation	Total	incl accruals	•/
Cash and Cash Equivo	ulents					-		
Commercial paper								
United States - USD	0 00	797,969 08	790 755 56	7 213 52	0 00	7,213 52	797 969 08	2 306%
Total commercial paper	0 00	797,969 08	790,755,56	7,213.52	0 00	7,213 52	797,969 08	2.305%
Short term investment fur	ıds							
Short Term Investment Funds	9 437 68	2,032 244 54	2 032,244 54	0.00	0 00	0 00	2,041,682 22	3.5
Total short term investment funds	9,437 68	2,032,244 54	2,032,244 54	0 00	0.00	0 00	2,041,882.22	5 899%
Total cash and cash equivalents	9,437 68	2,830,213 62(2,823,000 10	7,213 52	0 00	7,213 52	2,839,651.30	\$ 204%
Adjustments To Cash		/						
Pending trade purchases								
Pending trade purchases	0 00	- 3 253 987 50	3 253 987 50	0 00	0.00	0.00	-3 253,987 50	- 9 402%
Total pending trade purchases	0 00	- 3,253,997 50	- 3,253,087 50	0 00	0 00	0 00	-3,253,997 50	- 9 402%
Pending trade sales								
Pending trade sales	0 00	845 476 9G	845 476 96	0.00	0 00	0 00	845 476 96	2 443%
Total pending trade sales	0 00	845,470 96	845,47G 96	0 00	0 00	0 00	845,478 96	2.443%
Total adjustments to cash	0 00	- 2,408,510 54	2,408,510 54	0.00	0 00	0 00	-2,408,510 54	- 6.959%
Total Unrealized Gains	<u> </u>		<u> </u>			728,320 64		
								$\overline{}$

Total Cost Incl Accruals

Total Unrealized Losses

Total

33,891,509 01

33,362,534 52

719,580.93

528,974 49

34,082,115 45

- 8,748 71

719,580.93

0 00

31 DEC 2000

• Asset Summary

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	_				Onresinzed gainvioss			
Country	Accrued Income/expense	Market value	Cost	Market	Translation	Total	Market value Incl accruals	%
Cash and Cash Equive	alents	- · 						
Short term investment fur	nds							
Short Term Investment Funds	1 601 89	485 546 01	485 546 DI	0 00	0 00	0 00	487 147 80	1 411%
Total short term investment funds	1,601.89	485,548 01	485,54G 01	0 00	0 00	0 00	497,147.90	1.4111/
Total cash and cash equivalents	1,601 89	485,546.01	485,548 01	0 00	0 00	0 00	497,147 80	1.41
Total Unrealized Gains						830,762 78		
Total Unrealized Losses						- 170,272.75		
Total	340,016,70	,34,182,892.69	33,731,402 66	451,490 03	0.00	451,490.03	34,522,909 39	100 000%

Total Cost incl Accruels

071,419 18

Form 990-PF Part IX-B Program Related Investments

The Southern Development Bancorporation (SDB) – Subscription of long-term financing, to enable SDB to expand its development-lending program to assist economically depressed communities in rural Arkansas

THE WINTHROP ROCKFELLER FOUNDATION
990-PF
12/31/2000
71-0285871

12/31/2000 THE WINTHROP ROCKEFELLER FOUNDATION

1182820-17

ACCT 26-05350

18,896 48	(37 812,621,1)	(1,110,322 27)	4/7/2000	2\2\5000	
(94 168,81)	1,129,213 73	1,110,322 27	4/7/2000	6/5/2000	
et 636,1	(51 507,003)	(00 037,864)	4/6/2000	2\3\5000	
(27 088,1)	500,630 72	468,750 00	4/6/2000	9/3/2000	
09 780,T	(225,815 63)	(218,728 13)	4/6/2000	2/3/2000	
(60 290'4)	22 087,8 <u>2</u> 2	218,72813	4\6\2000	2\3\5000	
00 090'4	(165,250 00)	(128,200 00)	4/7/2000	2\3\5000	
(ST Þ E0,T)	165,234 72	158,200 00	<i>4\</i> 7/2000	9/3/5000	
81 266,f	(SD £07,003)	(46 Ol7,864)	4\6\2000	21515000	
(77 616,1)	17 059,003	46 017,864	4/6/2000	9\2\2000	
££ 880,7	(80 050,262)	(27 £49,425)	_000 <u>2</u> /8/	9/2/2000	
(SS 740,7)	72 166,16S	224,943 T5	41612000	21212000	
6,522 65	(80 414,071)	(14 168,691)	4/7/2000	5/2/2000	
(68 905,8)	06 866,071	163,691	4/7/2000	2\\$\\$000	
27 £64,84	(02 230,714,1)	(37 888,07£,1)	4/17/2000	412712000	
(46,124 54)	1,416,693 29	27 898,07E,1	4/17/2000	4/27/2000	
1,320 31	(54,044 92)	(19 4S7,SB)	4/5/2000	4/27/2000	
(01 316,1)	17 040,43	52,724 61	4/5/2000	4/27/2000	
13,542 97	(1,049,925 78)	(18 288,380,1)	12/8/1999	4/27/2000	
(84 784,81)	92 078,9 <u>4</u> 0,1	18 288,380,1	6661/8/21	4/27/2000	
04 114,11	(224,217 40)	(212,806 00)	3/23/2000	411\2000	
(67 678,11)	224,185 79	212,806 00	3/23/2000	4/17/2000	
(91 091,81)	(27 132,483)	(88 124,609)	3/17/2000	41712000	
80 704,81	584,01480	88 124,609	3/17/2000	0002171 4	
5,485 55	(242,220 50)	(29 P ET,8ES)	6661/ 1 1/6	4/4/2000	
(T& &T4,&)	245,210 52	239,73 4 95	6661/41/6	4/4/2000	
96 062,03	(38 £66,0 1 0,1)	(03 507,088)	6661/91/11	3/21/2000	
(46,808,34)	78 605,040,1	09 607,066	11/16/1966	3/21/2000	
1,538 55	(20 LTP, 62S)	(224,932 50)	1/19/2000	3/10/2000	
(1,237 51)	10 071,822	224,932 50	1/19/2000	3/10/2000	
פ/ר	COST	PROCEEDS	нэяич	SOLD	

(REVERSED) FMMA TBA POOL 8 0% DUE 5/1/2030 FMMA TBA POOL 8 0% DUE 5/1/2030 (REVERSED) US TREAS UTS 6 5% DUE 8/31/2001 **102/18/8 DUE 8/31/2001** (REVERSED) US TREAS BDS 6 625% DUE 2/15/2027 US TREAS BDS 6 625% DUE 2/15/2027 (REVERSED) US TREAS BDS 6 25% DUE 8/15/2023 **NO TREAS BDS 6 25% DUE 8/15/2023** (REVERSED) US TREAS UTS 6 5% DUE 8/31/2001 **102 TREAS NTS 6 5% DUE 8/31/2001** (REVERSED) US TREAS BDS 6 625% DUE 2/15/2027 US TREAS BDS 6 625% DUE 2/15/2027 (REVERSED) US TREAS BDS 6 25% DUE 8/15/2023 US TREAS BDS 6 25% DUE 8/15/2023 (REVERSED) US TREAS UTS 6 5% DUE 2/15/2010 US TREAS NTS 6 5% DUE 2/15/2010 (REVERSED) US TREAS BDS 6 625% DUE 2/15/2027 US TREAS BDS 6 625% DUE 2/15/2027 (REVERSED) FORD CR AUTO OWNER 6 52% FORD CR AUTO OWNER 6 52% (REVERSED) SOUTH AFRICA REP CORP NT 9 125% SOUTH AFRICA REP CORP NT 9 125% (REVERSED) US TREAS BDS 7 5% DUE 11/15/2016 US TREAS BDS 7 5% DUE 11/15/2016 (REVERSED) WAL-MART STORES INC NT 6 875% WAL-MART STORES INC NT 6 875% (REVERSED) FUMA 6 625% DUE 9/15/2009 HAMA 6 625% DUE 9/15/2009 (REVERSED) TIME WARNER ENTMT CO LP SR 10 15% TIME WARNER ENTMT CO LP SR 10 15%

	00 11031131110					
	78 SeO, t f	88 032,607	27 £ 4 £,027	0002/5/1	8/3/2000	US TREAS BDS 6 25% DUE 8/15/2023
	(3,158 75)	(200'851 52)	(504,080 00)	9/2/2000	7/31/2000	(REVERSED) FUMA 7 25% DUE 1/15/2010
	13 691,6	500,910 49	204,080 00	6/2/2000	7/31/2000	FNMA 7 25% DUE 1/15/2010
	(44 ETZ,1)	(532,650 00)	(534,223 44)	0/27/2000	7/26/2000	(REVERSED) GUMA TBA POOL 8 0% DUE 9/1/2029
	95 S73,1	88 7 4 8,268	234,223 44	6/27/2000	7\26\2000	GNMA TBA POOL 8 0% DUE 9/1/2029
	⊅ 6 ∠0∠	(62 664,939 39)	(65 127,829)	6/16/2000	7118/2000	(REVERSED) CITIBANK CR CARD MASTER 6 65%
	(7£ £49)	28 1 79,639	658,731 45	0/16/2000	7/18/2000	CITIBANK CR CARD MASTER 6 65%
	52 170,1	(193,239 23)	(195,168 00)	11/5/1888	000SITNT	(REVERSED) FMMA NT 6 625% DUE 9/15/2009
	(10 EE4,1)	10 109,561	192,168 00	11/5/1888	7/17/2000	FNMA NT 6 625% DUE 9/15/2009
	₹8 6£0,1	(211,440 63)	(87 004,012)	7/5/2000	7/11/2000	(REVERSED) US TREAS NTS 5 5% DUE 5/15/2009
	(00 160,1)	87 164,112	87 004,01S	7/5/2000	7/11/2000	US TREAS NTS 5 5% DUE 5/15/2009
	(3,532 52)	(\$2 986,275)	(37 812,675)	6/2/2000	7/6/2000	(REVERSED) FMMA 7 25% DUE 1/15/2010
	3,548 40	3 26,970 35	37 813,675	6/2/2000	7/6/2000	7 25% DUE 1/15/2010
	(80 996,2)	(24 E39,489)	(05 619,066)	4/3/2000	7/5/2000	(REVERSED) FUMA 7 25% DUE 1/15/2010
	7 6 602,8	52 604,486	09 619,066	4/3/2000	7/5/2000	010S/21/1 3UG %2S 7 AMMA
	233 13	(187,022 05)	(26 887, 881)	3/21/2000	6/30/2000	(REVERSED) FUMA 7 25% DUE 1/15/2010
	(52 561)	31 286,981	26 887,881	3/21/2000	6/30/2000	FNMA 7 25% DUE 1/15/2010
	08 615,6	(386,495 80)	(00 971,775)	12/3/1999	6/28/2000	(REVERSED) ASSOCIATES CORP NORTH AMER
	(81 570,11)	388,249 16	00 971,776	12/3/1999	6/28/2000	ASSOCIATES CORP NORTH AMER
	10,246 80	(938,151 30)	(02 406,726)	4/17/2000	6/22/2000	(REVERSED) FUMA 7 25% DUE 1/15/2010
	(\$6,050,01)	28 4£6,7£6	957,904 50	4/17/2000	6/22/2000	FMMA 7 25% DUE 1/15/2010
	422 40	(08 666,155)	(331,544 40)	4/7/2000	6/20/2000	(REVERSED) FNMA BD 7 125% DUE 2/15/2005
	(86 1 75)	86 616,166	331,544 40	4/7/2000	6/20/2000	FNMA BD 7 125% DUE 2/15/2005
	(1,508 91)	(2,033,249 42)	(2,040,758 33)	6/3/2000	6/14/2000	(REVERSED) US TREAS NTS INFLATION INDEXED 3 625%
	(9£ 780,4t)	27,848,430,5	2,040,758 33	5/3/2000	6/14/2000	US TREAS HITS INFLATION INDEXED 3 625%
	12,759 00	(301,176 00)	(288,417 00)	12/3/1999	5/23/2000	(REVERSED) CIT GROUP INC NT 7 125% DUE 10/15/2004
,	(84 786,51)	30,105	288,417 00	12/3/1999	5/23/2000	CIT GROUP INC NT 7 125% DUE 10/15/2004
	66 178,8	(61 711,86)	(92,545 20)	417/2000	5/17/2000	(REVERSED) US TREAS BDS 6 25% DUE 8/15/2023
	(26 295,3)	St 801,86	92,545 20	4/7/2000	5/17/2000	US TREAS BDS 6 25% DUE 8/15/2023
	32 £89,81	(37 SST, 76S)	(02 667,872)	6661/21/6	5/12/2000	(REVERSED) ONTARIO PROV CDA 5 5% DUE 10/1/2008
	(20,561 63)	E1 105,862	278,739 50	6661/21/6	9/17/2000	ONTARIO PROV CDA 5 5% DUE 10/1/2008
	0£ 672,01	(02 782,768)	(02 807, 828)	411412000	5/11/2000	(REVERSED) GNMA TBA DUE 5/1/2029
	(96 078,01)	91 672,758	526,708 20	4/14/2000	5/11/2000	GNMA TBA DUE 5/1/2029
	33 386,31	(04 086,086)	(37 669,636)	4/7/2000	6/9/2000	(REVERSED) FNMA 7 25% DUE 1/15/2010
	(82 226,81)	£0 816,08£	27 £66,£3£	417/2000	2/9/2000	FNMA 7 25% DUE 1/15/2010
	פ/ר	COST	PROCEEDS	нояпа	гогр	

	e\r	COST	PROCEEDS	РОЯСН	SOLD
	(10 950,11)	(AT T8S, 20T)	(720,3 4 3 75)	7/5/2000	8/3/2000
	(77 168,2)	70 731,772	274,335 30	7/1/2000	8/31/2000
	2,034 28	(88 696, 972)	(274,335 30)	7/1/2000	8/31/2000
	719 5 4	77 327 32 6	16 244, 326	4/6/2000	9/6/2000
	(323 44)	(78 160,829)	(16 244, 926)	4/6/2000	000Z/9/6
	2,458 55	322,541 45	325,000 00	7/5/2000	9/12/5000
	(2,443 22)	(37 355,526)	(352'000 00)	71512000	9/16/2000
	12,719 82	86 290,784	08 287, 694	7/11/2000	9/19/2000
)	(21 766,21)	(89 281,784)	(08 287,664)	7/11/2000	9/19/2000
	(ST 081,1)	124,634 32	09 674,631	7/11/2000	9\56\2000
	1,237 60	(12 4 '711 S0)	(09 ET4,E&1)	7/11/2000	000Z/9Z/6
	2°424 88	1,132,420 99	76 878,781,1	8/27/2000	9/27/2000
	(5,449 21)	(1,132,426 76)	(132,48,781,1)	8\27/2000	9/27/2000
	90 216	19 487,868	99 107,768	8\24\2000	9/27/2000
	(56 016)	(£9 067,3£3)	(93 107,783)	8\24\2000	9/21/2000
	(96 991)	21 155,088	91 286,083	2/12/2000	10/12/2000
	248 20	(58 663,083)	(586,085)	2/12/2000	10/12/2000
	78 482,4	1,135,612 59	34 768, ee1, 1	9/27/2000	10/30/2000
	(3,295 90)	(95 109,981,1)	(84 768,981,1)	9/27/2000	10/30/2000
	1,832 04	14 738,485	34 689,988	10/5/2000	10/31/2000
	(81 607,1)	(72 086,485)	(34 689, 385)	10/2/2000	10/31/2000
	Zt 196,1	410,429 50	Z9 066,214	10/2/2000	10/31/2000
	(7£ 628,1)	(410,531 25)	(412,390 62)	10/5/2000	10/31/2000
	86 099,6	60 244,001,1	74 201,011,1	10/5/2000	11/1/2000
	(77 119,8)	(07 691,101,1)	(74 801,011,1)	10/2/2000	11/1/2000
	SS 868,7	4,013,812 72	4,021,406.24	9/29/2000	11/1/2000
	(7,031 24)	(00 875,410,4)	(4S 304,1S0,4)	9/29/2000	1/1/2000
	71 441,2	89 669'804	27 E48,014	8/4/2000	11/7/2000
	(00 027,1)	(409,093 75)	(410,843 75)	8/4/2000	11/2/2000
	2,050 42	89 669'807	00 032 017	8/4/2000	11/8/2000
	(3S 939,1)	(409,093 75)	(00 027,014)	8/4/2000	11/8/2000
	3,441 03	69 669 807	79 071 217	8/4/2000	11/9/2000
	(38 8 4 0,6) 77 823	(87 E80,804)	(412,140 62)	8/4/2000	11/9/2000
	(05.955)	00 024,000,1 (00 609,000,1)	08 846,300,1 (08 846,300,1)	11/1/2000	0002171111 0002171111

(REVERSED) FMMA 7 13% DUE 6/15/2010 FMMA 7 13% DUE 6/15/2010 (REVERSED) US TREAS NTS 6 5% DUE 10/15/2006 **102 TREAS NTS 6 5% DUE 10/15/2006** (REVERSED) US TREAS NTS 6 5% DUE 10/15/2006 **102 TREAS NTS 6 5% DUE 10/15/2006** (REVERSED) US TREAS NTS 6 5% DUE 10/15/2006 **102 TREAS NTS 6 5% DUE 10/15/2006** (REVERSED) US TREAS NTS 6 0% DUE 8/15/2004 US TREAS NTS 6 0% DUE 8/15/2004 (REVERSED) US TREAS NTS 6 5% DUE 10/15/2006 **US TREAS NTS 6 5% DUE 10/15/2006** (REVERSED) US TREAS NTS 6 5% DUE 10/15/2006 US TREAS NTS 6 5% DUE 10/15/2006 (REVERSED) US TREAS NTS 6 5% DUE 10/15/2006 US TREAS NTS 6 5% DUE 10/15/2006 (REVERSED) FHLMC TBA 8 0% GOLD 30 YR FHLMC TBA 8 0% GOLD 30 YR (REVERSED) MBNA MASTER DUE 9/15/2003 MBNA MASTER DUE 9/15/2003 (REVERSED) GNMA TAR POOL 8 0% DUE 11/15/2029 **GNMA TBA POOL 8 0% DUE 11/15/2029** (REVERSED) FHLMC GOLD 8 0% DUE 11/1/2029 EHFMC GOLD 8 0% DUE 11/1/2029 (REVERSED) IBM 8 375% DUE 11/1/2019 IBW 8 312% DOE 11/1/2019 (REVERSED) BANK AMER CORP 7 875% DUE 5/16/2005 BANK AMER CORP 7 875% DUE 5/16/2005 (REVERSED) US TREAS BDS 6 25% DUE 8/15/2023 US TREAS BDS 6 25% DUE 8/15/2023 (REVERSED) US TREAS NTS 6 5% DUE 8/31/2001 US TREAS NTS 6 5% DUE 8/31/2001 (REVERSED) SPRINT CAP CORP 6 125% DUE 11/15/2008 SPRINT CAP CORP 6 125% DUE 11/15/2008 (REVERSED) US TREAS BDS 6 25% DUE 8/15/2023

		= -	1,504,432 02	1,490,504 93	13,927 09
		_			
NMA TBA POOL 7 5% DUE 1/15/2030	12/4/2000	12/4/2000	21 E34,70A	402,375 00	5,078 12
HLMC TBA POOL 8 0% GOLD 30YR JAN	10/30/2000	10/30/2000	1,158,750 00	1,139,062 50	03 788,er
SUMA TBA POOL 8 0% 30YR DEC	10/30/2000	9/27/2000	238'355 62	es 696'9es	1,353 12
0EVERSED) FMMA TBA 8 0% DUE 71/12030	0002/72/8	0002/4/9	(87 £60,009)	(00 000,009)	(37 £6)
SEVERSED) BURLINGTON RES 8 5% DUE 10/1/2001	12/12/2000	1/18/2000	(481,460 00)	(16 647,884)	16 £82,4
10RLINGTON RES 8 5% DUE 10/1/2001	12/12/2000	1/19/2000	00 034,184	9Þ ÞSÞ'6ZÞ	2,005 54
REVERSED) US TREAS NTS 4 625% DUE 11/30/2000	11/30/2000	6661/91/1	(00 000,347)	(57 920,247)	26 73
32 TREAS NTS 4 625% DUE 11/30/2000	11/30/2000	1/12/1866	745,000 00	742,000 00	-
REVERSED) GENERAL MTRS ACCEP CORP 6 12% DUE 11/21/2000	7/31/2000	1/19/2000	(623,650 00)	(60 646,329)	£0 669,1
ENERAL MTRS ACCEP CORP 6 12% DUE 11/21/2000	7/31/2000	1/19/2000	623,650 00	71 625,025	(1,375,1)
REVERSED) POTOMAC ELEC PWR 6 5% DUE 9/15/2005	000ZI <i>LI</i> Þ	1/19/2000	(453,254 50)	(02 S82,87 4)	25,308 00
OTOMAC ELEC PWR 6 5% DUE 9/15/2005	4/7/2000	1/19/2000	423'524 20	18 149,774	(16 786,42)
REVERSED) COCA COLA ENTERPRISES 5 75% DUE 11/1/2008	3/2/2000	1/19/2000	(288,502 50)	(323'600 25)	37 760,3£
SOCA COLA ENTERPRISES 5 75% DUE 11/1/2008	3/2/2000	8/1/2000	288,502 50	353'281 11	(19 880,35)
REVERSED) US TREAS NTS 5 25% DUE 8/15/2003	12/29/2000	8/1/2000	(1 75,285 9 4)	(49 098,947)	(22,925 30)
IS TREAS NTS 5 25% DUE 8/15/2003	12/29/2000	811/2000	715,285 94	40 486,12T	20,301 90
SEVERSED) HOUSEHOLD FIN CORP 8 0% DUE 7/152010	12/15/2000	10/31/2000	(30 091,015)	(39 460,005)	(10,065 40)
IOUSEHOLD FIN CORP 8 0% DUE 7/152010	15/12/5000	10/31/2000	310,160 05	300,050 83	10,109 22
REVERSED) FWMA 7 13% DUE 6/15/2010	12/13/2000	11/1/2000	(614,462 25)	(02 149,663)	(20,820 75)
010S/S1/9 DUE 6/15/2010	12/13/2000	11/1/2000	614,462 25	593,481 03	20,981 22
REVERSED) US TREAS NTS 6 5% DUE 10/15/2006	12/1/2000	11/21/2000	(70 481,074,2)	(28 686,814,2)	(52,477,12)
12 TREAS NTS 6 5% DUE 10/15/2006	12/1/2000	11/21/2000	70 4 81,074,S	2,416,722 28	67 r pp ,68
REVERSED) GOLDMAN SACHS 7 625% DUE 8/17/2005	11/21/2000	10/2/2000	(02 029,273)	(06 128,873)	3,231 70
SOLDMAN SACHS 7 625% DUE 8/17/2005	11/21/2000	10/2/2000	575,620 20	578,553 02	(2,932 82)

гогр

3/5

COST

PROCEEDS

РОВСН

7,930 15 (91,060,009) (492,16000)8661/12/7 10/27/2000 (KEVERSED) FUMA 5 75% DUE 4/15/2003 (88.988.7)98 6+0'009 492,160,00 8661/12/7 10/27/2000 ENWA 5 75% DUE 4/15/2003 86 609,61 (88 F79,874) (462.362.50)4/15/1999 000Z/\$L/9 (REVERSED) US TREAS UTS 5 75% DUE 11/30/2002 (10 655'11) 12 118,574 462,362.50 4/12/1999 000Z/b1/9 OS TREAS NTS 5 75% DUE 11/30/2002 00 094'91 (00.027, 318)(00.000,008)000Z/L/S 7/21/1998 (REVERSED) US TREAS 6 75% DUE 4/30/2000 00 000,008 00 000,008 7/21/1998 0007/1/9 **12 TREAS 6 75% DUE 4/30/2000** (92.096)(00 019,871) (32 099,771) 10/25/2000 12/20/2000 (REVERSED) AFRICAN DEV BK 7 75% DUE 12/15/2001 99 691'1 69 004'941 177,560.25 10/25/2000 12/20/2000 **PERICAN DEV BK 7 75% DUE 12/15/2001** (00 PP9'L) (00 569,105) (00 655,505) 10/18/2000 12/13/2000 (REVERSED) WAL-MART STORES INC 6 875% DUE 8/1/2002 97 187,1 301,557 24 303,339,00 10/18/2000 12/13/2000 WAL-MART STORES INC 6 875% DUE 8/1/2002 (51,878,12) (88 967,702) (00 675,81S) 11/7/2000 15/2/2000 (REVERSED) US TREAS UTS 6 5% DUE 2/15/2010 **FO 729,8** 66 747,702 213,375,00 11/7/2000 15/2/2000 **102 TREAS NTS 6 5% DUE 2/15/2010** (184'222 11) (35 797,5) (21 535,881) 10/31/2000 15/5/2000 (REVERSED) US TREAS 6 125% DUE 11/15/2027 3,834 42 184,518 70 188 323 12 10/31/2000 15/5/2000 US TREAS 6 125% DUE 11/15/2027 (82,884,7) (08829,002)(20 414 06) 2/11/2000 11/16/2000 (REVERSED) CMO BEAR STEARNS 7 78% DUE 2/15/2032 **4**7 064,7 200,923 32 208,414 06 2/11/2000 11/16/2000 CMO BEAR STEARUS 7 78% DUE 2/15/2032 **26 968** (Zb b/Z, 331) (122'877 45) 9/14/2000 10/3/2000 (REVERSED) US TREAS UTS 6 5% DUE 2/15/2010 (01 555) 156,210 55 94 778,881 9/14/2000 10/3/2000 **102 TREAS NTS 6 5% DUE 2/15/2010** (66 880'L) (07.884,001)(69 556, 101) 2/11/2000 000Z/FL/9 (REVERSED) CMO BEAR STEARUS 7 78% DUE 2/15/2032 1,090 29 100,464 40 69 499'101 2/11/2000 0007/71/9 CMO BEAR STEARNS 7 78% DUE 2/15/2032 01 047,11 (09 124,161) (05 117,671) 11/4/1888 0002/8/9 (REVERSED) FORD MTR CO 7 45% DUE 7/16/2031 (11,732 40) 191,443 90 09 117,971 6661/7/11 0002/8/9 FORD MTR CO 7 45% DUE 7/16/2031 08 482,8 (04 460,808) (09.608, 962)2/7/2000 9/19/2000 (REVERSED) WORLDCOM INC 6 4% DUE 8/15/2005 (56.790,7)**96 948,606** 09 608 962 2/7/2000 2/18/2000 MORLDCOM INC 6 4% DUE 8/15/2005 (37.817, E)(91 255,791) (171,253 91) 2/8/2000 3/22/2000 (REVERSED) US TREAS UTD 6 0% DUE 8/15/2009 **05 759,5** 19 919,791 171,253 91 2/8/2000 3/22/2000 US TREAS NTD 6 0% DUE 8/15/2009 9,267 50 (122,955 00) (02.789,021)11/4/1866 3/17/2000 (REVERSED) FORD MTR CO 7 45% DUE 7/16/2031 (65, 264, 39) 125,951 89 02 788,02r 11/4/1888 3/17/2000 FORD MTR CO 7 45% DUE 7/16/2031 8,524 35 (21 802,692) $(08 \, £89,095)$ 6661/61/11 3/3/2000 (REVERSED) SPRINT CAP CORP NT 6 375% DUE 5/1/2009 (8,955 34) **\$1,689,692** 08 589,035 6661/61/11 3/3/2000 SPRINT CAP CORP NT 6 375% DUE 5/1/2009 7/9 COST **PROCEEDS** РИКСК COCD

71-0285871 71-0285871 ACCT 26-05349

THE WINTHROP ROCKEFELLER FOUNDATION

23,854 33	(23,854 33)	•	= -		
106	(2,405 86)	(28 96£,2)	8661/12/7	12/26/2000	(REVERSED) COPEL CAPITAL FUNDING CORP 6 27% DUE 4/20/2005
-	2,396 85	2,396 85	8661/08/7	712112000	COPEL CAPITAL FUNDING CORP 6 27% DUE 4/20/2005
† 6 99†	(05 680,88)	(87,622 56)	8661/12/7	12/26/2000	(REVERSED) HELLER EQUIP ASSET REC 6 39% DUE 5/25/2005
-	87,622 56	87,622 56	8661/12/7	12/26/2000	HELLER EQUIP ASSET REC 6 39% DUE 5/25/2005
38,003 35	(88 569,788)	(00 059,648)	8661/91/01	15/14/2000	(REVERSED) US TREAS BDS 6 375% DUE 8/15/2027
(EE EAT,EE)	EE EYE,E88	00 059,648	8661/91/01	15/14/2000	US TREAS BDS 6 375% DUE 8/15/2027
8,072 83	(100,141 83)	(95'069 00)	8661/91/7	11/13/2000	(REVERSED) HOUSEHOLD FIN CORP 6 4% DUE 6/17/2008
(8,046 55)	100,115 55	95,069 00	8661/91/7	11/13/2000	HOUSEHOLD FIN CORP 6 4% DUE 6/17/2008
20,742 44	(69 869'961)	(174,956 25)	8661/91/01	11/7/2000	(REVERSED) US TREAS BDS 6 375% DUE 8/15/2027
(52 028,91)	8T 3TT,4e1	174,956 25	8661/91/01	11/7/2000	US TREAS BDS 6 375% DUE 8/15/2027
פור	1800	PROCEEDS	РОВСН	гогр	

THE WINTHROP ROCKEFELLER FOUNDATION 12/31/2000

74 673,262	-	74 673,262		
163,344 09	-	163,344 09	ЯΑV	ЯА∨
88 ese,est	-	129,329 38	ЯА∨	AAV
פ/ר	1800	PROCEEDS	нэяпа	гогр

NTGI COMMON MONTHLY S&P 500 NTGI COMMON MONTHLY S&P 500

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