

00000251545

UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION REPORTS

Last Name	First Name and Middle Initial	Annual Report Calendar Year Covered by Report:	Senate Office / Agency in Which Employed
Rockefeller IV	John D.	2005	United States Senate
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (include Area Code)	Termination Report Termination Date (mm/dd/yy):	Prior Office / Agency in Which Employed
531 Hart Senate Office Building Washington, D.C 20510	202-224-6472		

AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART


	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, Complete and Attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$305 from one source)? If Yes, Complete and Attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? If Yes, Complete and Attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, Complete and Attach PART VII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child receive unearned or investment income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If Yes, Complete & Attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, Complete and Attach PART VIII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, Complete and Attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, Complete and Attach PART IX.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$305 and not otherwise exempt)? If Yes, Complete and Attach PART V.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the two prior years? If Yes, Complete and Attach PART X.	<input type="checkbox"/>	<input type="checkbox"/>

Each question must be answered and the appropriate PART attached for each "YES" response.

File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 6, 104, and 18 U.S.C. 1001.)

**FOR OFFICIAL USE ONLY
Do Not Write Below this Line**

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 4, 2006

For Official Use Only - Do Not Write Below This Line

It is the Opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.	Signature of Reviewing Official	Date (Month, Day, Year)

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PART II. EARNED AND NON-INVESTMENT INCOME

<u>NAME OF INCOME SOURCE</u>	<u>ADDRESS (City, State)</u>	<u>TYPE OF INCOME</u>	<u>AMOUNT</u>
PepsiCo, Inc. (Spouse)	Purchase, New York	Directors Fee	Over \$1,000
Sotheby's Service Corp. (Spouse)	New York, NY	Directors Fee	Over \$1,000
WETA (Spouse)	Washington, D.C.	Salary	Over \$1,000

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

S DC or J	<u>BLOCK A</u>	<u>BLOCK B</u>	<u>BLOCK C</u>	
	ASSETS & INCOME SOURCES	VALUATION OF ASSETS	TYPE AND AMOUNT OF INCOME	
	IDENTIFICATION	CATEGORY OF VALUE	TYPE OF INCOME	CATEGORY OF AMOUNT OF INCOME
	JPMorganChase Bank, N.A. , Trustee U/I dtd. 12/18/1934 New York, New York	Over \$50,000,000	Qualified Blind Trust	\$1,000,001 - \$5,000,000
	Wachovia Bank Trustee U/I dtd. 2/11/52 Newark, New Jersey	\$25,000,001 - \$50,000,000	Qualified Blind Trust	\$1,000,001 - \$5,000,000
	United National Bank, Trustee U/A dtd. 1/28/76 Charleston, West Virginia	\$5,000,001 - \$25,000,000	Qualified Blind Trust	\$100,001 - \$1,000,000
	PNC Bank - NOW Account - Wash., DC	\$50,001 - \$100,000	Interest	None (or less than \$201)
	JPMorganChase Bank, N.A. - Custody Acct. New York, New York	\$1,001 - \$15,000	Interest/Dividends	None (or less than \$201)
	Teachers Insurance - Annuity Association College Retirement Equities Fund	\$100,001 - \$250,000	Excepted Investment Fund	None (or less than \$201)
	U.S. Savings Bonds	\$1,001 - \$15,000	---	None (or less than \$201)
	AXA Equitable Life Assurance Co. - Whole Life Ins. Policy	\$15,001 - \$50,000	---	None (or less than \$201)
S	JPMorganChaseBank, N.A. - Custody Acct. - NY, NY	\$15,001 - \$50,000	Interest/Dividends	\$201 - \$1,000
S	College Retirement Equities Fund	\$500,001 - \$1,000,000	Excepted Investment Fund	None (or less than \$201)
S	John Hancock - Variable Ins. Policy	\$500,001 - \$1,000,000	---	None (or less than \$201)
S	Sirna Therapeutics, Inc.	None (or less than \$1,001)	Capital Gain	\$1,001 - \$2,500
S	PepsiCo Inc.	Over \$1,000,000	Dividends	\$15,001 - \$50,000
S	PNC Bank - NOW Acct - Wash. D.C.	\$15,001 - \$50,000	---	None (or less than \$201)
S	Renovis, Inc.	None (or less than \$1,001)	Capital Gain	\$201 - \$1,000

S DC or J	<u>BLOCK A</u>	<u>BLOCK B</u>	<u>BLOCK C</u>	
	ASSETS & INCOME SOURCES IDENTIFICATION	VALUATION OF ASSETS CATEGORY OF VALUE	TYPE AND AMOUNT OF INCOME	
S			TYPE OF INCOME	CATEGORY OF AMOUNT OF INCOME
	Sotheby's Holdings Inc. - Class A	\$250,001 - \$500,000	---	None (or less than \$201)
	Reporting Individual's Family <u>Trust U/I dtd. December 5, 1980 FBO</u> <u>John D. Rockefeller IV & Family</u> The Trust assets are: Jefferson Pilot Life Insurance Policy	Over \$1,000,000	---	None (or less than \$201)

S DC or J	BLOCK A	BLOCK B	BLOCK C	
	ASSETS & INCOME SOURCES	VALUATION OF ASSETS	TYPE AND AMOUNT OF INCOME	
	IDENTIFICATION	CATEGORY OF VALUE	TYPE OF INCOME	CATEGORY OF AMOUNT OF INCOME
	Rockefeller Financial Services, Inc. (STOCK) *	\$500,001 - \$1,000,000	Dividends	None (or less than \$201)
S	P Holdings Limited Partnership * New York, New York	None (or less than \$1,001)	**	\$201 - \$1,000
S	Pocantico Fund - Limited Partnership * New York, New York	None (or less than \$1,001)	**	\$15,001 - \$50,000
S	Realrock I - Limited Partnership - Underlying Assets: Strategic Hotel Capital LLC	\$1,001 - \$15,000	**	\$201 - \$1,000
	Boston Properties L.P. Series II Preferred Units	\$1,001 - \$15,000	**	\$201 - \$1,000
	Cash	\$1,001 - \$15,000	Interest	None (or less than \$201)
S	Rockefeller Global Equity Fund III - Limited Partnership*	\$500,001 - 1,000,000	**	\$15,001 - \$50,000
S	Venrock Associates - Limited Partnership * New York, New York	\$100,001 - 250,000	**	None (or less than \$201)
	<u>Trust U/I dtd. Dec. 21, 1979 (1)</u> Rockefeller Financial Services, Inc. (STOCK) *	\$100,001 - \$250,000	---	None (or less than \$201)

(1) This trust does not distribute gains or income to JDR IV and the category of value reflects JDR IV's interest as one of 194 beneficiaries as of 12/31/2004.

Note: * Disclosure detail concerning these private investments can be found at the end of this report.

** Dividends, Interest and Capital Gains Income.

PART IV. TRANSACTIONS

S DC or J	IDENTIFICATION OF ASSETS	TRANSACTION TYPE	DATE (Mo.,Day,Yr.)	CATEGORY OF TRANSACTION AMOUNT
S	Renovis, Inc. (1)	Partnership Distrib.	5/10/2005	\$1,001 - \$15,000
S	Sina Therapeutics, Inc. (1)	Partnership Distrib.	9/7/2005	\$1,001 - \$15,000
S	Renovis, Inc.	Sale	5/23/05-5/27/05	\$1,001 - \$15,000
S	Sina Therapeutics, Inc.	Sale	9/16/05-9/19/05	\$1,001 - \$15,000
S	Rockefeller Global Equity Fund III -Limited Partnership	Sale	5/2/2005	\$1,001 - \$15,000
S	Venrock Associates - Limited Partnership	Sale	5/9/05-10/28/05	\$1,001 - \$15,000
S	Discovery Fund I-90, Limited Partnership - Series 1	Sale	12/27/2005	\$201-\$1,000
S	Discovery Fund I-90, Limited Partnership - Series 2	Sale	12/1/05-12/27/05	\$201-\$1,000
S	P Holdings, LP - Limited Partnership	Sale	12/21/05-12/27/05	\$201-\$1,000
S	Rockefeller International Small Company Fund II - Limited Partnership	Sale	12/15/2005	None (or less than \$201)

Note: (1) Venrock Associates Limited Partnership distributed stock in two companies.

PART VII. LIABILITIES

S DC or J	NAME OF CREDITOR	ADDRESS OF CREDITOR	TYPE OF LIABILITY	DATE INCURRED	INTEREST RATE	TERM IF APPLICABLE	CATEGORY OF LIABILITY AMOUNT
	United National Bank	Charleston, West Virginia	Demand Loan	1998	NY Prime	On Demand	\$5,000,001 - \$25,000,000
S	JPMorganChase	New York, NY	Demand Loan	2001	NY Prime	On Demand	\$500,001 - \$1,000,000
S	United National Bank	Charleston, West Virginia	Demand Loan	1992	NY Prime	On Demand	\$1,000,001 - \$5,000,000

PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

NAME OF ORGANIZATION	ADDRESS OF ORGANIZATION	TYPE OF ORGANIZATION	POSITION HELD	FROM (Mo., Yr.)	TO (Mo., Yr.)
Discover the Real West Virginia Foundation	Charleston, WV	Non-profit, Economic Development Organization	Board Member	Jun-93	Present
Children's Health Fund	New York, New York	Non-profit Organization to aid in Development of Health Care Services to Children	Advisory Board	Jan-91	Present
The Asia Society	New York, New York	Non-profit Education Organization	Society's Board of Trustees	Mar-91	Present
Japan-United States Friendship Commission	Washington, D.C.	Non-profit Education Organization	Board Member	Apr-92	Present
Philip McGance Public Fellowship Fund	Morgantown, WV	Non-profit Education Organization	Board of Advisors, Chairman	Sep-88	Present
Alliance for Health Reform	Washington, D.C.	Non-profit Education Organization	Co-Chairman	Apr-91	Present
Nursing Research Consortium of WV	Charleston, WV	Non-profit Organization Nursing Research	Advisory Council	Jul-93	Present
American Friends of the International House of Japan	New York, New York	Non-profit Education/Cultural Organization	Director	Sep-95	Present
Center for Chinese Business at West Virginia University	Morgantown, WV	Non-profit Education Organization	Advisory Board	Oct-97	Present
US-ROC (Taiwan) Business Council	Washington, D.C.	Non-profit, Economic Development Organization	Honorary Co-Chairman	Jun-97	Present

PART VII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

NAME OF ORGANIZATION	ADDRESS OF ORGANIZATION	TYPE OF ORGANIZATION	POSITION HELD	FROM (Mo., Yr.)	TO (Mo., Yr.)
Japan - American Society of West Virginia	Charleston, WV	Non-profit Cultural Organization	Chairman	May-98	Present
Washington Bach Consort	Washington, D.C.	Non-profit Arts Organization	Board Member	Jul-98	Present
Blanchette Rockefeller Neurosciences Institute	Morgantown, WV	Non-profit Medical Organization	Chairman of the Board	Oct-99	Present
West Virginia Children's Health Project	Huntington, WV	Non-profit Health Delivery Organization	Honorary Chairman	Nov-91	Present
Chemical Alliance Zone	Charleston, WV	Non-profit, Economic Development Organization	Honorary Chairman	Jun-01	Present
Helping Hands Health Right, Inc.	Beckley, WV	Non-profit, Community Health Clinic	Honorary Board Member	Aug-01	Present

**SCHEDULE PART IIB - Disclosure Detail Concerning Private Investments

Rockefeller Financial Services, Inc. - (Class B shares) - Rockefeller Financial Services, Inc., through its subsidiaries, renders financial and personal services to members of the Rockefeller Family, to affiliated entities and to non-Family institutional and individual clients. These financial and personal services may be divided into four functional areas: investment management, accounting and tax, trust administration, and miscellaneous.

The following private investment pools listed in Schedule Part IIB closely resemble mutual funds in that the reporting individual, spouse, dependent children and/or trusts have a relatively small percentage ownership, each entity has numerous investment transactions and holdings, and are managed by persons other than the reporting or related individuals. The nature of the activities of each are described below.

Pocantico Fund - This fund is a limited partnership which invests primarily in U.S. small companies.

Rockefeller Global Equity Fund III- These funds are limited partnerships with a diversified investment program in quoted large capitalization companies based both within and outside the U.S.

P-Holdings - This fund invests in non-U.S. small companies, both quoted and unquoted targeting specific high growth economies and capital markets. The fund has concluded its active investment program and is in the process of liquidation.

Venrock Associates - This Fund is a venture capital investment partnership.

The investment activities of these private investment pools are not reported in any financial reference publication. The information furnished, however is in conformity with Interpretative Ruling 425 (issued February 5, 1988) of the Select Committee on Ethics, U.S. Senate. Any individual wishing to obtain more specific information with respect to the investment activities of these entities may do so by submitting a written inquiry to, or appearing during regular business hours at the offices of, the general manager. Written requests should be addressed to David A. Strawbridge, Room 5600, 30 Rockefeller Plaza, New York, NY 10112. Telephone requests for appointments to obtain information at the office of the general manager may be directed to David Strawbridge at (212) 649-5600.