

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>ROSENTHAL, LEE H.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S.D.C.-S.D.TX                                                                                                                                                                                                                                   | <b>3. Date of Report</b><br><br>08/8/2018                        |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S.DISTRICT JUDGE-ACTIVE                                                     | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2017<br>to<br>12/31/2017 |
| <b>7. Chambers or Office Address</b><br><br>515 RUSK<br>ROOM 11535<br>HOUSTON, TEXAS 77002                                                                                                                |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

|    | <u>POSITION</u>                      | <u>NAME OF ORGANIZATION/ENTITY</u> |
|----|--------------------------------------|------------------------------------|
| 1. | MEMBER, EXECUTIVE COMMITTEE, COUNCIL | AMERICAN LAW INSTITUTE             |
| 2. | MEMBER, BOARD OF TRUSTEES            | BAYLOR COLLEGE OF MEDICINE         |
| 3. |                                      |                                    |
| 4. |                                      |                                    |
| 5. |                                      |                                    |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

|    | <u>DATE</u> | <u>PARTIES AND TERMS</u> |
|----|-------------|--------------------------|
| 1. |             |                          |
| 2. |             |                          |
| 3. |             |                          |

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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

| DATE    | SOURCE AND TYPE                          | INCOME<br>(yours, not spouse's) |
|---------|------------------------------------------|---------------------------------|
| 1. 2017 | NATIONAL BOARD OF BAR EXAMINERS, WRITING | \$7,000.00                      |
| 2.      |                                          |                                 |
| 3.      |                                          |                                 |
| 4.      |                                          |                                 |

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

| DATE    | SOURCE AND TYPE                   |
|---------|-----------------------------------|
| 1. 2017 | [REDACTED], INC.: DIRECTOR'S FEES |
| 2. 2017 | [REDACTED]: PARTNER DISTRIBUTION  |
| 3.      |                                   |
| 4.      |                                   |

**IV. REIMBURSEMENTS** *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

|    | SOURCE                     | DATES                | LOCATION         | PURPOSE                                           | ITEMS PAID OR PROVIDED                     |
|----|----------------------------|----------------------|------------------|---------------------------------------------------|--------------------------------------------|
| 1. | LOUISIANA STATE UNIVERSITY | JANUARY 8-12, 2017   | BATON ROUGE, LA  | FACULTY, LSU APPRENTICESHIP PROGRAM               | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 2. | AMERICAN LAW INSTITUTE     | JANUARY 18-20, 2017  | PHILADELPHIA, PA | ATTEND ALI COUNCIL MEETING                        | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 3. | BRIGHAM YOUNG UNIVERSITY   | FEBRUARY 9-11, 2017  | PROVO, UT        | REX E. LEE MOOT COURT COMPETITION (FINAL)         | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 4. | AMERICAN LAW INSTITUTE     | FEBRUARY 23-25, 2017 | NEW YORK, NY     | AMERICAN LAW INSTITUTE MEETING (DRAFTING MEETING) | LODGING, MEALS, TRANSPORTATION AND AIRFARE |

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|     |                                                    |                        |                   |                                                                                                    |                                                           |
|-----|----------------------------------------------------|------------------------|-------------------|----------------------------------------------------------------------------------------------------|-----------------------------------------------------------|
| 5.  | UNIVERISTY OF IRVINE<br>SCHOOL OF LAW              | MARCH 10-12, 2017      | IRVINE, CA        | UNIVERSITY OF<br>CALIFORNIA IRVINE<br>SCHOOL OF LAW<br>BOARD OF VISITORS<br>MEETING                | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 6.  | AMERICAN BAR<br>ASSOCIATION AND DUKE<br>LAW SCHOOL | MAY 14-15, 2017        | SAN FRANCISCO, CA | BAY AREA IN-<br>HOUSE LAYWERS<br>PRESENTATION                                                      | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 7.  | DUKE LAW SCHOOL                                    | MAY 25-27, 2017        | DURHAM, NC        | FACULTY AT DUKE<br>JUDICIAL STUDIES<br>(DUKE MASTER OF<br>JUDICIAL STUDIES)                        | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 8.  | DUKE LAW SCHOOL                                    | JUNE 1-2, 2017         | DURHAM, NC        | FACULTY AT DUKE<br>JUDICIAL STUDIES<br>(DUKE MASTER OF<br>JUDICIAL STUDIES)                        | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 9.  | DUKE LAW SCHOOL                                    | JUNE 15-16, 2017       | DURHAM, NC        | FACULTY AT DUKE<br>JUDICIAL STUDIES<br>(DUKE MASTER OF<br>JUDICIAL STUDIES)                        | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 10. | AMERICAN LAW<br>INSTITUTE                          | OCTOBER 12-14,<br>2017 | NEW YORK, NY      | ALI MODEL PENAL<br>CODE: SEXUAL<br>ASSAULT AND<br>RELATED OFFENSES,<br>ADVISERS/MEMBERS<br>MEETING | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 11. | AMERICAN LAW<br>INSTITUTE                          | OCTOBER 18-20,<br>2017 | NEW YORK, NY      | ALI OCTOBER<br>COUNCIL MEETING                                                                     | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 12. | YALE LAW SCHOOL                                    | OCTOBER 22-23,<br>2017 | NEW HAVEN, CT     | YALE LAW SCHOOL<br>PRESENTATION                                                                    | LODGING, MEALS,<br>TRANSPORTATION, TRAIN AND<br>AIRFARE   |
| 13. | AMERICAN LAW<br>INSTITUTE                          | OCTOBER 25-26,<br>2017 | PHILADELPHIA, PA  | ALI RESTATEMENT<br>OF THE LAW THIRD,<br>CONFLICT OF LAW<br>ADVISERS MEETING                        | LODGING, MEALS,<br>TRANSPORTATION AND AIRFARE             |
| 14. | NATIONAL CONFERENCE<br>OF BAR EXAMINERS            | OCTOBER 26-29,<br>2017 | MONTREAL, CANADA  | NATIONAL<br>CONFERENCE OF BAR<br>EXAMINERS                                                         | LODGING, MEALS, AGENCY FEE,<br>TRANSPORTATION AND AIRFARE |
| 15. |                                                    |                        |                   |                                                                                                    |                                                           |
| 16. |                                                    |                        |                   |                                                                                                    |                                                           |
| 17. |                                                    |                        |                   |                                                                                                    |                                                           |
| 18. |                                                    |                        |                   |                                                                                                    |                                                           |
| 19. |                                                    |                        |                   |                                                                                                    |                                                           |
| 20. |                                                    |                        |                   |                                                                                                    |                                                           |
| 21. |                                                    |                        |                   |                                                                                                    |                                                           |
| 22. |                                                    |                        |                   |                                                                                                    |                                                           |

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |   |          |    |   |             |          |    |   |  |
|----------------------------------------------------|---|----------|----|---|-------------|----------|----|---|--|
| 1. Boise-Kuna, IA 6.3% due 6/1/2031                | E | Interest | P1 | T | Buy         | 09/07/17 | P1 |   |  |
| 2. Brazos Cty, TX 5.00% due 9/1/25                 | D | Interest | N  | T |             |          |    |   |  |
| 3. Chicago Brd Ed 0.00% due 12/1/19                |   | None     |    |   | Sold        | 07/14/17 | L  | E |  |
| 4. Clark Cnty, NV Sch Dist Ltd, 5.0% due 6/15/2026 | E | Interest |    |   | Buy         | 09/28/17 | P1 |   |  |
| 5.                                                 |   |          |    |   | Sold        | 12/15/17 | O  |   |  |
| 6. College Station ISD 4.625% due 9/15/20          | D | Interest |    |   | Sold        | 08/15/17 | M  | A |  |
| 7. District Columbia 5.00% due 6/1/17              | D | Interest |    |   | Sold        | 06/01/17 | N  |   |  |
| 8. Goodyear AZ P1 6.0% due 7/1/31                  | F | Interest | P1 | T |             |          |    |   |  |
| 9. Grand Prairie, TX ISD 0.00% due 8/15/33         |   | None     | N  | T |             |          |    |   |  |
| 10. Grapevine-Colleyville ISD 0.00% due 8/15/23    |   | None     | M  | T |             |          |    |   |  |
| 11. Harris Cty, TX, 5.00% due 10/1/19              | D | Interest | N  | T |             |          |    |   |  |
| 12. Harris Cty, TX, 5.75% due 10/1/20              | D | Interest | M  | T |             |          |    |   |  |
| 13. Houston, TX Pub Impt 5.00% due 3/1/20          | E | Interest | O  | T |             |          |    |   |  |
| 14. LA St Ctnzs Ppty Ins Corp 6.75% due 6/1/2026   | G | Interest | P1 | T | Buy         | 03/31/17 | P1 |   |  |
| 15. Leander, TX ISD 0.00% due 8/15/20              |   | None     |    |   | Sold (part) | 08/15/17 | N  | E |  |
| 16.                                                |   |          |    |   | Sold        | 09/05/17 | J  | D |  |
| 17. Leander, TX ISD 0.00% due 8/15/21              |   | None     | N  | T |             |          |    |   |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes:   | A = \$1,000 or less              | B = \$1,001 - \$2,500       | C = \$2,501 - \$5,000          | D = \$5,001 - \$15,000          | E = \$15,001 - \$50,000 |
| (See Columns B1 and D4) | F = \$50,001 - \$100,000         | G = \$100,001 - \$1,000,000 | H1 = \$1,000,001 - \$5,000,000 | H2 = More than \$5,000,000      |                         |
| 2. Value Codes          | J = \$15,000 or less             | K = \$15,001 - \$50,000     | L = \$50,001 - \$100,000       | M = \$100,001 - \$250,000       |                         |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000        | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 |                         |
|                         | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| 3. Value Method Codes   | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
| (See Column C2)         | U = Book Value                   | V = Other                   | W = Estimated                  |                                 |                         |

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Lewisville, TX ISD 0.00% due 8/15/21                                                                                    |                                         | None                                          | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. MA St Hlth & Ed 5.25% due 7/1/23                                                                                        | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. MA St Rans-Ser C 2.0% due 6/25/2018                                                                                     |                                         | None                                          | P1                                              | T                                         | Buy                                             | 08/03/17                | P1                              |                                |                                                                   |
| 21. Mesquite, TX ISD 0.00% due 8/15/32                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 08/15/17                | N                               | G                              |                                                                   |
| 22. Richmond Co, GA Dev 6.375% due 12/01/21                                                                                 |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. Snohomish Cty, WA 5.25% due 12/1/24                                                                                     | D                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. St of Illinois 5.00% due 6/1/22                                                                                         | D                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 25. St of Washington BO 0.00% due 12/01/21                                                                                  |                                         | None                                          | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 26. Texarkana, TX ISD 0.00% due 2/15/26                                                                                     |                                         | None                                          |                                                 |                                           | Sold                                            | 02/15/17                | M                               | F                              |                                                                   |
| 27. Texas St Trans, 4.0% due 8/30/20                                                                                        |                                         | None                                          | P1                                              | T                                         | Buy                                             | 08/22/17                | P1                              |                                |                                                                   |
| 28. University TX Univ 5.25% due 7/1/21                                                                                     | E                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. Wylie, TX ISD 0.00% due 8/15/19                                                                                         |                                         | None                                          |                                                 |                                           | Sold                                            | 08/15/17                | N                               | E                              |                                                                   |
| 30. Wylie, TX ISD 0.00% due 8/15/23                                                                                         |                                         | None                                          |                                                 |                                           | Sold                                            | 08/15/17                | N                               | G                              |                                                                   |
| 31. JPM Chase - Checking                                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 32. HSA Bank                                                                                                                | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. Ally Bank                                                                                                               | E                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 34. American Express Bank, FSB                                                                                              | F                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. AIF V Private Investors LLC (1)                                                                                         |                                         | None                                          | J                                               | U                                         | Distributed<br>(part)                           | 12/12/17                | J                               |                                |                                                                   |
| 36. AIF VI Private Investors LLC (1)                                                                                        |                                         | None                                          | M                                               | U                                         | Distributed<br>(part)                           | 09/12/17                | K                               |                                |                                                                   |
| 37.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/21/17                | K                               |                                |                                                                   |
| 38. AIF VII Private Investors LLC (1)                                                                                       |                                         | None                                          | M                                               | U                                         | Distributed<br>(part)                           | 06/09/17                | J                               |                                |                                                                   |
| 39.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 07/18/17                | J                               |                                |                                                                   |
| 40.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/02/17                | J                               |                                |                                                                   |
| 41.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/10/17                | J                               |                                |                                                                   |
| 42. APAX Europe VII Private Investors, LLC<br>(1)                                                                           |                                         | None                                          | M                                               | U                                         | Distributed<br>(part)                           | 04/12/17                | J                               |                                |                                                                   |
| 43. Atlantic Trust Company, N.A.                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. Barclays Bank                                                                                                           | E                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. BRKB-Common                                                                                                             |                                         | None                                          | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. Black Stone Minerals, LP common units                                                                                   | G                                       | Distribution                                  | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. Black Stone Minerals, LP sub units                                                                                      | F                                       | Distribution                                  | P1                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. Arrowhead Research Corp. (9)Y                                                                                           |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 49. Brand Group Holdings, Inc.-Common                                                                                       |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. Carlyle Asia Partners II (1)                                                                                            |                                         | None                                          | J                                               | U                                         | Distributed<br>(part)                           | 05/08/17                | J                               |                                |                                                                   |
| 51.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 11/01/17                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 11/21/17                | L                               |                                |                                                                   |
| 53. CAP IV Private Investors, LLC (1)                                                                                       |                                         | None                                          | N                                               | U                                         | Distributed<br>(part)                           | 04/24/17                | J                               |                                |                                                                   |
| 54.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 07/20/17                | J                               |                                |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/22/17                | K                               |                                |                                                                   |
| 56. Carlyle Japan International Partners II, L.P.<br>(1)(a)                                                                 |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 01/17/17                | J                               |                                |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/30/17                | J                               |                                |                                                                   |
| 58.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/17                | J                               |                                |                                                                   |
| 59.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/14/17                | J                               |                                |                                                                   |
| 60.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/17/17                | K                               |                                |                                                                   |
| 61.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/21/17                | J                               |                                |                                                                   |
| 62.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/29/17                | J                               |                                |                                                                   |
| 63. CIT Bank                                                                                                                | E                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. CJIP II Limited, L.P. (1)(a)                                                                                            |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 65. CD&R Fund VII Private Investors, LLC (1)                                                                                |                                         | None                                          | L                                               | U                                         | Distributed<br>(part)                           | 04/24/17                | K                               |                                |                                                                   |
| 66.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 05/19/17                | J                               |                                |                                                                   |
| 67.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 06/09/17                | L                               |                                |                                                                   |
| 68.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 08/09/17                | L                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/13/17                | K                               |                                |                                                                   |
| 70. CD&R Fund IX Private Investors, LLC (1)                                                                                 |                                         | None                                          | N                                               | U                                         | Buy<br>(add'l)                                  | 06/16/17                | K                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/17                | K                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/29/17                | J                               |                                |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/20/17                | K                               |                                |                                                                   |
| 74. Consumer Staples Select Sector SPDR-ETF                                                                                 | E                                       | Dividend                                      | P1                                              | T                                         | Buy<br>(add'l)                                  | 01/04/17                | M                               |                                |                                                                   |
| 75. Continuum Energy                                                                                                        |                                         | None                                          | L                                               | U                                         | Distributed<br>(part)                           | 10/06/17                | J                               |                                |                                                                   |
| 76. -Common                                                                                                                 |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77. Discover Bank                                                                                                           | E                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 78. Emerald Marina Bay (1)                                                                                                  |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 79. Emerald Cambridge (1)Y                                                                                                  |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 80. Emerald Marina Cove (1)Y                                                                                                |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 81. Emerald Marina Shores (1)Y                                                                                              |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 82. Encino Energy, LLC (1)(a)                                                                                               |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 83. Energy Capital Investors Fund, LLC (1)                                                                                  |                                         | None                                          | K                                               | U                                         | Distributed<br>(part)                           | 05/10/17                | K                               |                                |                                                                   |
| 84. Family Alignment: FA YPS LLC (1)                                                                                        |                                         | None                                          | K                                               | U                                         | Buy<br>(add'l)                                  | 03/23/17                | J                               |                                |                                                                   |
| 85. Family Alignment: FA SPR LLC (1)                                                                                        |                                         | None                                          | K                                               | U                                         | Buy                                             | 04/26/17                | K                               |                                |                                                                   |

|                                                  |                                                                  |                                                      |                                                             |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------|------------------------------------------------------|-------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                    | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000       | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J ~\$15,000 or less<br>N ~\$250,001 - \$500,000                  | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | L ~\$50,001 - \$100,000<br>P1 ~\$1,000,001 - \$5,000,000    | M ~\$100,001 - \$250,000<br>P2 ~\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | P3 ~\$25,000,001 - \$50,000,000<br>Q ~Appraisal<br>U ~Book Value | R ~Cost (Real Estate Only)<br>V ~Other               | P4 ~More than \$50,000,000<br>S ~Assessment<br>W ~Estimated | T ~Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. FDC Group McKinney, Ltd. (1)(12)                                                                                        | E                                       | Rent                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. FDC Group Crawford, Ltd. (1)                                                                                            |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. FDC Group Dunlavy, Ltd. (1)                                                                                             |                                         | None                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. FDC Group Wilcrest, Ltd. (1)(12)                                                                                        | D                                       | Rent                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 90. FDC Group Yorktown, Ltd. (1)                                                                                            |                                         | None                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. FDC Group Waugh, Ltd. (1)(12)                                                                                           | E                                       | Rent                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 92. Finger-Roxboro, Ltd. (1)(12)                                                                                            | D                                       | Rent                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. Finger-VOTL, Ltd. (1)(12)                                                                                               | E                                       | Rent                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. Goldman Sachs Bank                                                                                                      | E                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. Mt. Kellett (1)                                                                                                         |                                         | None                                          | M                                               | U                                         | Distributed<br>(part)                           | 02/08/17                | K                               |                                |                                                                   |
| 96.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 07/27/17                | J                               |                                |                                                                   |
| 97. Mt. Kellett II (1)                                                                                                      |                                         | None                                          | M                                               | U                                         | Distributed<br>(part)                           | 09/08/17                | J                               |                                |                                                                   |
| 98.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/31/17                | K                               |                                |                                                                   |
| 99.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 11/27/17                | J                               |                                |                                                                   |
| 100. GHR Healthcare, LLC                                                                                                    |                                         | None                                          | L                                               | U                                         | Buy                                             | 02/06/17                | M                               |                                |                                                                   |
| 101. Great Northern Midstream, LLC (1)                                                                                      |                                         | None                                          | K                                               | U                                         | Distributed<br>(part)                           | 05/30/17                | K                               |                                |                                                                   |
| 102. Ishares Core High Dividend-ETF                                                                                         | E                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. [REDACTED] Inc. (1)                                                                                                    |                                         | None                                          | J                                               | U                                         | Buy<br>(add'l)                                  | 06/15/17                | J                               |                                |                                                                   |
| 104.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/13/17                | K                               |                                |                                                                   |
| 105. HMTF Fund IV (1)                                                                                                       |                                         | None                                          |                                                 |                                           | Distributed                                     | 12/04/17                | J                               |                                |                                                                   |
| 106. HydroEx Acquisition, LLC - Note<br>Receivable                                                                          | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. Ishares Global Energy-ETF                                                                                              | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 108. Ishares US Consumer Goods-ETF                                                                                          | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 109. JP Morgan Chase Investment Account -<br>Cash                                                                           | B                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 110. KKR 2006 Private Investors, LLC (1)(a)                                                                                 |                                         | None                                          |                                                 |                                           | Distributed<br>(part)                           | 04/13/17                | J                               |                                |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 06/07/17                | J                               |                                |                                                                   |
| 112.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 06/26/17                | K                               |                                |                                                                   |
| 113.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 07/31/17                | L                               |                                |                                                                   |
| 114.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 09/29/17                | J                               |                                |                                                                   |
| 115.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/10/17                | K                               |                                |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/21/17                | J                               |                                |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/29/17                | K                               |                                |                                                                   |
| 118. KKR Americas XII Private Investors (1)                                                                                 |                                         | None                                          | J                                               | U                                         | Buy                                             | 10/30/17                | J                               |                                |                                                                   |
| 119. KMI-Common                                                                                                             | E                                       | Dividend                                      | P1                                              | T                                         | Buy<br>(add'l)                                  | 10/17/17                | L                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/01/17                | K                               |                                |                                                                   |
| 121.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/06/17                | L                               |                                |                                                                   |
| 122.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/15/17                | L                               |                                |                                                                   |
| 123.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/20/17                | L                               |                                |                                                                   |
| 124.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/01/17                | L                               |                                |                                                                   |
| 125.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/11/17                | K                               |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/27/17                | L                               |                                |                                                                   |
| 127. Merrill Lynch (CMA)                                                                                                    | D                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128. Milton Meisler Holdings LLC                                                                                            |                                         | None                                          | L                                               | U                                         | Buy                                             | 05/24/17                | L                               |                                |                                                                   |
| 129. NITYA - BCH Investors LLC (1)(12)                                                                                      | E                                       | Rent                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. NITYA - Legacy at Westchase Investors, LLC (1)(12)                                                                     | B                                       | Rent                                          | M                                               | U                                         | Buy                                             | 08/25/17                | M                               |                                |                                                                   |
| 131. NITYA - D2 Properties, LLC (1)(12)                                                                                     | E                                       | Rent                                          | M                                               | U                                         | Buy                                             | 03/08/17                | M                               |                                |                                                                   |
| 132. NITYA - Sierra Park Investors, LLC (1)(12)                                                                             | D                                       | Rent                                          | M                                               | U                                         | Buy                                             | 07/07/17                | M                               |                                |                                                                   |
| 133. Oaktree Capital Group LLC                                                                                              | F                                       | Distribution                                  | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 134. <input type="checkbox"/> Restricted Stock (7)                                                                          |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 135. <input type="checkbox"/> -Common (7)                                                                                   |                                         | None                                          | O                                               | T                                         | Buy<br>(add'l)                                  | 05/26/17                | M                               |                                |                                                                   |
| 136. MGI Pearl Midtown, LLC (1)(12) (renamed for easier tracking)                                                           | D                                       | Rent                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "X" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. MGI Pearl CityCenter, LLC (1) (renamed for easier tracking)                                                          |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 138. MGI Pearl Midtown Residences, Ltd (1) (renamed for easier tracking)                                                  |                                         | None                                          | N                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 139. Platform Partners, LLC (1)                                                                                           |                                         | None                                          | P1                                              | U                                         | Buy (add'l)                                     | 02/17/17                | N                               |                                |                                                                   |
| 140. RDS/B-ADR                                                                                                            | F                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 141. SCF-V, L.P. (1)                                                                                                      |                                         | None                                          | K                                               | U                                         | Buy (add'l)                                     | 01/10/17                | J                               |                                |                                                                   |
| 142.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 04/07/17                | J                               |                                |                                                                   |
| 143.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 07/06/17                | J                               |                                |                                                                   |
| 144.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 10/12/17                | J                               |                                |                                                                   |
| 145. SCF-VI, L.P. (1)                                                                                                     |                                         | None                                          | M                                               | U                                         | Buy (add'l)                                     | 01/10/17                | J                               |                                |                                                                   |
| 146.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 04/07/17                | J                               |                                |                                                                   |
| 147.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 07/06/17                | J                               |                                |                                                                   |
| 148.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 10/12/17                | J                               |                                |                                                                   |
| 149. SCF-VII, L.P. (1)                                                                                                    |                                         | None                                          | N                                               | U                                         | Buy (add'l)                                     | 01/10/17                | J                               |                                |                                                                   |
| 150.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 01/27/17                | J                               |                                |                                                                   |
| 151.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 02/27/17                | K                               |                                |                                                                   |
| 152.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 04/07/17                | J                               |                                |                                                                   |
| 153.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 04/10/17                | J                               |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                       |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                                      | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000                                 | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J ~\$15,000 or less<br>N ~\$250,001 - \$500,000<br>P3 ~\$25,000,001 - \$50,000,000 | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | L ~\$50,001 - \$100,000<br>P1 ~\$1,000,001 - \$5,000,000<br>P4 ~More than \$5,000,000 | M ~\$100,001 - \$250,000<br>P2 ~\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                    | R = Cost (Real Estate Only)<br>V = Other             | S = Assessment<br>W = Estimated                                                       | T = Cash Market                                            |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/06/17                | J                               |                                |                                                                   |
| 155.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/12/17                | J                               |                                |                                                                   |
| 156. SCF-VII(a), L.P. (1)                                                                                                   |                                         | None                                          | L                                               | U                                         | Buy<br>(add'l)                                  | 08/18/17                | K                               |                                |                                                                   |
| 157.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/12/17                | J                               |                                |                                                                   |
| 158. SCF-VII(AIV), L.P. (1)                                                                                                 |                                         | None                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 159. SCF-VIII, L.P. (1)                                                                                                     |                                         | None                                          | M                                               | U                                         | Distributed<br>(part)                           | 01/13/17                | J                               |                                |                                                                   |
| 160.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/10/17                | J                               |                                |                                                                   |
| 161.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/25/17                | K                               |                                |                                                                   |
| 162.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/07/17                | J                               |                                |                                                                   |
| 163.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/23/17                | J                               |                                |                                                                   |
| 164.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/15/17                | J                               |                                |                                                                   |
| 165.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/06/17                | J                               |                                |                                                                   |
| 166.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/18/17                | J                               |                                |                                                                   |
| 167.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/11/17                | K                               |                                |                                                                   |
| 168.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/13/17                | K                               |                                |                                                                   |
| 169. SCF-VIII(AIV), L.P. (1)                                                                                                |                                         | None                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 170. SJKI-Common                                                                                                            |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes:   | A = \$1,000 or less              | B = \$1,001 - \$2,500       | C = \$2,501 - \$5,000          | D = \$5,001 - \$15,000          | E = \$15,001 - \$50,000 |
| (See Columns B1 and D4) | F = \$50,001 - \$100,000         | G = \$100,001 - \$1,000,000 | H1 = \$1,000,001 - \$5,000,000 | H2 = More than \$5,000,000      |                         |
| 2. Value Codes          | J = \$15,000 or less             | K = \$15,001 - \$50,000     | L = \$50,001 - \$100,000       | M = \$100,001 - \$250,000       |                         |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000        | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 |                         |
|                         | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| 3. Value Method Codes   | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
| (See Column C2)         | U = Book Value                   | V = Other                   | W = Estimated                  |                                 |                         |

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. SRE Properties, LP (1)(12)                                                                                             | D                                       | Rent                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 172. Surefire Social-Convertible Pfd                                                                                        |                                         | None                                          | J                                               | U                                         | Buy<br>(add'l)                                  | 04/19/17                | J                               |                                |                                                                   |
| 173. Synchrony Bank                                                                                                         | E                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 174. [REDACTED], LP (1)                                                                                                     |                                         | None                                          | M                                               | U                                         | Distributed<br>(part)                           | 12/31/17                | M                               |                                |                                                                   |
| 175. [REDACTED], LLC (1)                                                                                                    |                                         | None                                          | J                                               | U                                         | Buy<br>(add'l)                                  | 12/31/17                | J                               |                                |                                                                   |
| 176.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/31/17                | J                               |                                |                                                                   |
| 177. [REDACTED] LLC (1)                                                                                                     |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 178. [REDACTED] LLC (1)                                                                                                     |                                         | None                                          |                                                 |                                           | Distributed                                     | 12/31/17                | J                               |                                |                                                                   |
| 179. [REDACTED], LP (1)                                                                                                     |                                         | None                                          | K                                               | U                                         | Distributed<br>(part)                           | 12/31/17                | J                               |                                |                                                                   |
| 180. [REDACTED], LP (1)                                                                                                     |                                         | None                                          | J                                               | U                                         | Buy<br>(add'l)                                  | 12/31/17                | J                               |                                |                                                                   |
| 181.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/31/17                | J                               |                                |                                                                   |
| 182. [REDACTED], LP (1)                                                                                                     |                                         | None                                          | K                                               | U                                         | Distributed<br>(part)                           | 12/31/17                | K                               |                                |                                                                   |
| 183. [REDACTED], LP (1)                                                                                                     |                                         | None                                          | K                                               | U                                         | Distributed<br>(part)                           | 12/31/17                | O                               |                                |                                                                   |
| 184. [REDACTED] III, LP (1)                                                                                                 |                                         | None                                          | P1                                              | U                                         | Buy<br>(add'l)                                  | 12/31/17                | K                               |                                |                                                                   |
| 185.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/31/17                | P1                              |                                |                                                                   |
| 186. [REDACTED] III GP, LP (1)                                                                                              |                                         | None                                          | P2                                              | U                                         | Buy<br>(add'l)                                  | 12/31/17                | J                               |                                |                                                                   |
| 187.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/31/17                | P2                              |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes:   | A = \$1,000 or less              | B = \$1,001 - \$2,500       | C = \$2,501 - \$5,000          | D = \$5,001 - \$15,000          | E = \$15,001 - \$50,000 |
| (See Columns B1 and D4) | F = \$50,001 - \$100,000         | G = \$100,001 - \$1,000,000 | H1 = \$1,000,001 - \$5,000,000 | H2 = More than \$5,000,000      |                         |
| 2. Value Codes          | J = \$15,000 or less             | K = \$15,001 - \$50,000     | L = \$50,001 - \$100,000       | M = \$100,001 - \$250,000       |                         |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000        | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 |                         |
|                         | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| 3. Value Method Codes   | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
| (See Column C2)         | U = Book Value                   | V = Other                   | W = Estimated                  |                                 |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

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## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                      |  |      |   |   |                       |          |    |  |  |
|--------------------------------------|--|------|---|---|-----------------------|----------|----|--|--|
| 188. [REDACTED] IV GP, LP (1)        |  | None | M | U | Buy<br>(add'l)        | 12/31/17 | L  |  |  |
| 189.                                 |  |      |   |   | Distributed<br>(part) | 12/31/17 | K  |  |  |
| 190. [REDACTED] IV LLC (1)           |  | None | J | U | Buy<br>(add'l)        | 12/31/17 | J  |  |  |
| 191.                                 |  |      |   |   | Distributed<br>(part) | 12/31/17 | J  |  |  |
| 192. [REDACTED] IV, LP (1)           |  | None | O | U | Buy<br>(add'l)        | 12/31/17 | N  |  |  |
| 193.                                 |  |      |   |   | Distributed<br>(part) | 12/31/17 | K  |  |  |
| 194. [REDACTED] IV, LP (1)           |  | None | K | U | Buy<br>(add'l)        | 12/31/17 | M  |  |  |
| 195.                                 |  |      |   |   | Distributed<br>(part) | 12/31/17 | P1 |  |  |
| 196. [REDACTED], LP (1)              |  | None | J | U | Buy                   | 07/13/17 | J  |  |  |
| 197. [REDACTED]<br>(alpha sort) (11) |  |      |   |   |                       |          |    |  |  |
| 198. American Bath                   |  |      |   |   | Sold                  | 01/09/17 | J  |  |  |
| 199. B&G                             |  |      |   |   | Sold                  | 10/02/17 | J  |  |  |
| 200. Construction Supply             |  |      | N | U | Buy<br>(add'l)        | 06/27/17 | L  |  |  |
| 201. [REDACTED] Industries           |  |      |   |   | Sold                  | 12/31/17 | J  |  |  |
| 202. DexKo                           |  |      | N | U | Sold<br>(part)        | 07/24/17 | P1 |  |  |
| 203.                                 |  |      |   |   | Buy<br>(add'l)        | 07/24/17 | N  |  |  |
| 204. Industrial Services             |  |      | M | U |                       |          |    |  |  |

|                                                  |                                                                                       |                                                        |                                                              |                                                              |                                                     |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------|--------------------------------------------------------------|-----------------------------------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H = \$1,000,001 - \$5,000,000       | D = \$5,001 - \$15,000<br>I = \$15,001 - \$50,000            | E = \$15,001 - \$50,000<br>J = \$50,001 - \$100,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                                                     |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                              | T = Cash Market                                              |                                                     |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34–60 of filing instructions.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                               |   |           |    |   |                |          |   |   |  |
|-------------------------------------------------------------------------------|---|-----------|----|---|----------------|----------|---|---|--|
| 205. Highline                                                                 |   |           | N  | U | Buy<br>(add'l) | 03/15/17 | K |   |  |
| 206. Liqui-Box                                                                |   |           |    |   | Sold           | 04/21/17 | J |   |  |
| 207. Lynx FBO                                                                 |   |           | L  | U |                |          |   |   |  |
| 208. Process Barron                                                           |   |           | M  | U |                |          |   |   |  |
| 209. SafeFleet                                                                |   |           | O  | U |                |          |   |   |  |
| 210. Saxco                                                                    |   |           | K  | U |                |          |   |   |  |
| 211. Specified Air Solutions                                                  |   |           | M  | U | Buy<br>(add'l) | 06/26/17 | K |   |  |
| 212. Time Manufacturing                                                       |   |           | M  | U | Buy            | 01/30/17 | N |   |  |
| 213. Universal Fibers                                                         |   |           |    |   | Sold           | 04/21/17 | J |   |  |
| 214. [REDACTED] 401(k): FA Stable<br>Value                                    | A | Int./Div. | N  | T |                |          |   |   |  |
| 215. JP Morgan Chase-Checking                                                 |   | None      | J  | T |                |          |   |   |  |
| 216. JP Morgan Chase-Checking-S                                               |   | None      | J  | T |                |          |   |   |  |
| 217. TROW-Common                                                              |   | None      |    |   | Sold           | 01/04/17 | N | E |  |
| 218. Vac One (1)(a)                                                           |   | None      |    |   | Buy<br>(add'l) | 10/12/17 | K |   |  |
| 219. Vanguard Municipal Money Market<br>(formerly Tax-Exempt M/M-Mutual Fund) | D | Dividend  | P2 | T |                |          |   |   |  |
| 220. Vanguard Large Cap Index Fund Adm                                        | D | Dividend  | O  | T |                |          |   |   |  |
| 221. Vanguard Tax-Managed Cap Apprec-<br>Mutual Fund                          |   | None      | O  | T | Buy<br>(add'l) | 01/04/17 | N |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/8/2018

## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                            |   |          |    |   |                |          |   |  |  |
|------------------------------------------------------------|---|----------|----|---|----------------|----------|---|--|--|
| 222. Vanguard 500 Index-Mutual Fund                        | G | Dividend | P2 | T | Buy<br>(add'l) | 06/19/17 | M |  |  |
| 223.                                                       |   |          |    |   | Buy<br>(add'l) | 09/18/17 | N |  |  |
| 224.                                                       |   |          |    |   | Buy<br>(add'l) | 09/29/17 | M |  |  |
| 225.                                                       |   |          |    |   | Buy<br>(add'l) | 10/06/17 | M |  |  |
| 226.                                                       |   |          |    |   | Buy<br>(add'l) | 10/20/17 | M |  |  |
| 227.                                                       |   |          |    |   | Buy<br>(add'l) | 12/06/17 | N |  |  |
| 228.                                                       |   |          |    |   | Buy<br>(add'l) | 11/21/17 | N |  |  |
| 229. Vanguard S&P 500-ETF                                  |   | None     |    |   | Buy            | 12/04/17 | M |  |  |
| 230.                                                       |   |          |    |   | Sold           | 12/06/17 | M |  |  |
| 231. Vanguard Federal M/M                                  | D | Dividend | O  | T |                |          |   |  |  |
| 232. Vanguard Information Technology Index<br>Admiral Fund | D | Dividend | O  | T | Buy            | 05/08/17 | L |  |  |
| 233.                                                       |   |          |    |   | Buy<br>(add'l) | 05/09/17 | M |  |  |
| 234.                                                       |   |          |    |   | Buy<br>(add'l) | 05/16/17 | M |  |  |
| 235.                                                       |   |          |    |   | Buy<br>(add'l) | 06/19/17 | M |  |  |
| 236.                                                       |   |          |    |   | Buy<br>(add'l) | 11/21/17 | L |  |  |
| 237. Vanguard Total Stock Market Index<br>Admiral Fund     | C | Dividend | P1 | T | Buy            | 12/04/17 | O |  |  |
| 238.                                                       |   |          |    |   | Buy<br>(add'l) | 12/18/17 | M |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

ROSENTHAL, LEE H.

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                         |  |      |    |   |                        |          |   |  |  |
|-----------------------------------------|--|------|----|---|------------------------|----------|---|--|--|
| 239. WLR Recovery IV Investors, LLC (1) |  | None | K  | U | Distributed (part)     | 07/21/17 | J |  |  |
| 240.                                    |  |      |    |   | Distributed (part)     | 11/13/17 | J |  |  |
| 241. Xapp Media (9)                     |  | None |    |   |                        |          |   |  |  |
| 242. Zinc Oxide-SeriesA (1)             |  | None | L  | U | Buy                    | 08/08/17 | K |  |  |
| 243. Zinc Oxide (1)                     |  | None |    |   | Merged (with line 242) | 08/08/17 | K |  |  |
| 244. Certain LLC 1/18 (1)               |  | None | J  | U |                        |          |   |  |  |
| 245. Certain Limited Partners 1/39 (1)  |  | None | J  | U |                        |          |   |  |  |
| 246. Certain Limited Partners 2/54      |  |      |    |   |                        |          |   |  |  |
| 247. Elliott Associates, L.P. (1)       |  | None | P2 | U | Buy (add'l)            | 01/03/17 | O |  |  |
| 248.                                    |  |      |    |   | Buy (add'l)            | 07/03/17 | O |  |  |
| 249. West Cam, L.P. (1)                 |  | None | J  | U |                        |          |   |  |  |
| 250. MP GEO, LLC (1)                    |  | None | J  | U | Distributed (part)     | 01/04/17 | K |  |  |
| 251.                                    |  |      |    |   | Distributed (part)     | 08/31/17 | M |  |  |
| 252.                                    |  |      |    |   | Buy (add'l)            | 08/31/17 | J |  |  |
| 253. Midland Basin GEO, LLC (1)         |  | None | K  | U |                        |          |   |  |  |
| 254. Gamma Geo (1)                      |  | None | J  | U | Distributed (part)     | 03/03/17 | J |  |  |
| 255.                                    |  |      |    |   | Distributed (part)     | 03/13/17 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 256.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 04/17/17                | J                               |                                |                                                                   |
| 257.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 05/01/17                | J                               |                                |                                                                   |
| 258.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 08/30/17                | J                               |                                |                                                                   |
| 259.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/10/17                | J                               |                                |                                                                   |
| 260.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/26/17                | J                               |                                |                                                                   |
| 261.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 11/02/17                | J                               |                                |                                                                   |
| 262.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 12/27/17                | J                               |                                |                                                                   |
| 263. Flex Waz (1)                                                                                                           |                                         | None                                          | L                                               | U                                         | Distributed<br>(part)                           | 03/22/17                | J                               |                                |                                                                   |
| 264.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 06/13/17                | J                               |                                |                                                                   |
| 265.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/60/17                | L                               |                                |                                                                   |
| 266. Certain LLC 2/54 (1% owner in 2/54LP) (1)                                                                              |                                         | None                                          | K                                               | U                                         | Buy<br>(add'l)                                  | 01/03/17                | J                               |                                |                                                                   |
| 267.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/03/17                | J                               |                                |                                                                   |
| 268. IRA #1                                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 269. Merrill Lynch Cash                                                                                                     |                                         | None                                          |                                                 |                                           | Closed                                          | 01/03/17                | J                               |                                |                                                                   |
| 270. Vanguard Admiral Fund Treasury M/M -<br>Mutual Fund                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 271. Vanguard Prime M/M - Mutual Fund                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 272. Vanguard 500 Index Fund                                                                                                | D                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 273. Vanguard S&P 500 Index ETF                                                                                             | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 274. Vanguard Federal Money Market Fund                                                                                     | A                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 275. IRA #2                                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 276. Merrill Lynch Cash                                                                                                     | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 277. US Treas 2.375% due 1/15/17                                                                                            | B                                       | Interest                                      |                                                 |                                           | Matured                                         | 01/17/17                | L                               |                                |                                                                   |
| 278. Goldman Sachs Bank                                                                                                     | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 279. Goldman Sachs Liberty Harbor (1)                                                                                       |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 280. iShares Core High Dividend - ETF                                                                                       | E                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 281. KMI - Common Stock                                                                                                     | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 282. Oaktree - Units                                                                                                        | E                                       | Distribution                                  | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 283. RDSB - ADR                                                                                                             | E                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 284. RDS/A - ADR                                                                                                            |                                         | None                                          | K                                               | T                                         | Spinoff<br>(from line 283)                      | 12/20/17                | K                               |                                |                                                                   |
| 285. SJKI - Common Stock                                                                                                    |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 286. Vanguard Admiral Fund Treasury M/M -<br>Mutual Fund                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 287. Vanguard 500 Index Fund                                                                                                | E                                       | Dividend                                      | P1                                              | T                                         | Buy<br>(add'l)                                  | 12/04/17                | L                               |                                |                                                                   |
| 288. Vanguard S&P 500 Index ETF                                                                                             | F                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 289. Vanguard Information Technology Index<br>Fund                                                                          |                                         | None                                          |                                                 |                                           | Buy                                             | 05/09/17                | M                               |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A –\$1,000 or less<br>F –\$50,001 - \$100,000                                      | B –\$1,001 - \$2,500<br>G –\$100,001 - \$1,000,000   | C –\$2,501 - \$5,000<br>H1 –\$1,000,001 - \$5,000,000                                  | D –\$5,001 - \$15,000<br>H2 –More than \$5,000,000         | E –\$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J –\$15,000 or less<br>N –\$250,001 - \$500,000<br>P3 –\$25,000,001 - \$50,000,000 | K –\$15,001 - \$50,000<br>O –\$500,001 - \$1,000,000 | L –\$50,001 - \$100,000<br>P1 –\$1,000,001 - \$5,000,000<br>P4 –More than \$50,000,000 | M –\$100,001 - \$250,000<br>P2 –\$5,000,001 - \$25,000,000 |                        |
| 3. Value Method Codes<br>(See Column C2)         | Q –Appraisal<br>U –Book Value                                                      | R –Cost (Real Estate Only)<br>V –Other               | S –Assessment<br>W –Estimated                                                          | T –Cash Market                                             |                        |

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 290.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 05/10/17                | M                               |                                |                                                                   |
| 291. Vanguard Federal Money Market Fund                                                                                     | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 292. #2 Trust (R8)                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 293. Merrill Lynch Reserves                                                                                                 | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 294. iShares US Consumer Goods - ETF                                                                                        | E                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 295. Vanguard Tax-Managed Capital Appreciation - Mutual Fund                                                                | E                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 296. Vanguard Admiral Fund Treasury - Mutual Fund                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 297. Vanguard Tax-Exempt M/M - Mutual Fund                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 298. Vanguard Federal M/M Fund                                                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 299. Certain Limited Partners 2/54                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 300. Elliott Associates, L.P. (1)                                                                                           |                                         | None                                          | P1                                              | U                                         | Buy<br>(add'l)                                  | 01/03/17                | L                               |                                |                                                                   |
| 301.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/03/17                | L                               |                                |                                                                   |
| 302. #3 Trust (H8)                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         | L                               |                                |                                                                   |
| 303. Merrill Lynch Reserves                                                                                                 | A                                       | Interest                                      |                                                 |                                           | Distributed                                     | 03/21/17                | L                               |                                | distributed to beneficiary                                        |
| 304. Consumer Staples Select Sector SPDR - ETF                                                                              | C                                       | Dividend                                      |                                                 |                                           | Distributed                                     | 04/02/17                | M                               |                                | distributed to beneficiary                                        |
| 305. Vanguard Tax-Managed Capital Appreciation - Mutual Fund                                                                | D                                       | Dividend                                      |                                                 |                                           | Distributed                                     | 01/02/17                | O                               |                                | distributed to beneficiary                                        |
| 306. Vanguard Admiral Fund Treasury M/M - Mutual Fund                                                                       | A                                       | Dividend                                      |                                                 |                                           | Distributed                                     | 04/02/17                | J                               |                                | distributed to beneficiary                                        |

|                                                  |                                                                                        |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|----------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                        | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$250,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                        | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 307. Vanguard Tax-Exempt M/M - Mutual Fund                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Distributed                                     | 04/02/17                | J                               |                                | distributed to<br>beneficiary                                     |
| 308. Vanguard Federal M/M Fund                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Distributed                                     | 04/02/17                | M                               |                                | distributed to<br>beneficiary                                     |
| 309.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

- 1) Private entities including private company investment partnerships. For private entities, valuation is based on net book value. For such entities, valuation (Column C(2)) is based on capital account as set forth on form K-1 and income and gain is included (to the extent distributed) in cash paid or received (as described below) under Column D(3) and not in Column B and/or Column D(4). The [REDACTED] values in Column D(2) are listed as of year-end notwithstanding when distribution was made.
- (a) In connection with Footnote (1) private company investment partnerships, in absence of receipt of K-1 by filer by filing date, no information is provided as to gross value in Column C(2).
- (2) Purchase and sale price of regular interest paying bonds excludes accrued interest. Interest income on regular interest paying bonds excludes accrued interest bought or sold. Gain indicated on redeemed bonds represents only the redemption amount (and premium, if any) in excess of principal amount. Bond premium or discount at purchase is assumed to be fully amortized for purposes of calculating gain or loss on sale, redemption or maturity on regular interest paying bonds, and such amortization does not affect interest reported annually.
- (3) No interest income is included in Interest Income Column B(1) on zero coupon bonds. Total to date accreted interest for zero coupon bonds is included in Value Column C(1). On maturity of zero coupon bonds, total accreted interest is included in Value Column D(3). On maturity, redemption, or sale of zero coupon bonds, Value Column D(3) is the maturity value, redemption price, or sales price and Gain Column D(4) reflects the difference between the maturity value, redemption price, or sales price and the original cost.
- (4) All mutual fund reinvested dividends, interest and capital gains are not separately shown as new purchases, but are included in the end of period (Column C(2)) values. All unreinvested distributions from mutual funds (dividends, interest and capital gains) are included in Column B(1). Money market mutual funds set forth aggregate dividend/interest paid for year and end of year value only.
- (5) Municipal and U.S. Treasury bond values reflected in Value Column C(2) are based on market value.
- (6) No transaction value or gain or loss is reported on non-taxable exchanges of one security for another or spin-offs of securities or stock dividends. If publicly traded, the value as of the date of the transaction when such security is received is reflected in Column C(1) Gross Value. In instances noted in first sentence, any gain is reported only when the new security is sold.
- (7) Restricted stock is not valued during restriction period. After restrictions lapse, restricted stock is reflected as owned shares. A "buy" transaction is reflected in Section (D) with the date and value of the vested stock.
- (8) Oil and Gas interests – value not known to filer.
- (9) Private company – value not known to filer.
- (10) Inadvertently omitted in prior year report.
- (11) Amounts for each portfolio company aggregate values for the direct ownership of each entity as well as indirectly through other [REDACTED] entities are shown in Column C(2). Column D(3) reflects cash paid or received for each [REDACTED] Company. Income and gain is included (to the extent distributed) in this value.
- (12) Represents a limited partnership or LLC investment in a real estate project or projects. All income noted in Column B(1) is effectively net rental income.

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**IX. CERTIFICATION.**

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **LEE H. ROSENTHAL**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
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