

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) ROSENTHAL, LEE H.	2. Court or Organization U.S.D.C.-S.D.TX	3. Date of Report 08/09/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.DISTRICT JUDGE-ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 515 RUSK ROOM 11535 HOUSTON, TEXAS 77002		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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, BOARD OF TRUSTEES	THE KINKAID SCHOOL
2. MEMBER, BOARD OF OVERSEERS	THE RAND INSTITUTE FOR CIVIL JUSTICE (RESIGNED IN 2016)
3. MEMBER, BOARD OF TRUSTEES	RICE UNIVERSITY
4. MEMBER, BOARD OF TRUSTEES	CENTER FOR AMERICAN AND INTERNATIONAL LAW (RESIGNED IN 2016)
5. MEMBER, ADVISORY BOARD	INSTITUTE FOR THE ADVANCEMENT OF THE AMERICAN LEGAL SYSTEM (RESIGNED IN 2016)
6. MEMBER, BOARD OF VISITORS	DUKE UNIVERSITY SCHOOL OF LAW
7. MEMBER, EXECUTIVE COMMITTEE, COUNCIL	AMERICAN LAW INSTITUTE
8. MEMBER, BOARD OF TRUSTEES	BAYLOR COLLEGE OF MEDICINE

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 (yours, not spouse's)
1. 2016	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. 2016	[REDACTED], INC.: DIRECTOR'S FEES
2. 2016	[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 3-7, 2016	BATON ROUGE, LA	FACULTY, LSU APPRENTICESHIP PROGRAM	LODGING, MEALS, TRANSPORTATION AND AIRFARE
2.	AMERICAN LAW INSTITUTE	JANUARY 20-22, 2016	PHILADELPHIA, PA	ATTEND COUNCIL MEETING	LODGING, MEALS, TRANSPORTATION AND AIRFARE
3.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	JANUARY 26-27, 2016	LOS ANGELES, CA	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE

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4.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	JANUARY 27-28, 2016	SAN FRANCISCO, CA	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
5.	LEWIS & CLARK COLLEGE	FEBRUARY 19-21, 2016	CAMBRIDGE, MA	13TH ANNUAL NATIONAL ANNUAL LAW MOOT COURT	TRANSPORTATION AND AIRFARE
6.	UNIVERSITY OF DENVER/ IAALS	FEBRUARY 24-28, 2016	DENVER, CO	IAALS 4TH CIVIL JUSTICE REFORM SUMMIT	LODGING, MEALS, TRANSPORTATION AND AIRFARE
7.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	MARCH 2-3, 2016	PHOENIX, AZ	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
8.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	MARCH 3-4, 2016	DENVER, CO	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
9.	ABA/MENA RULE OF LAW INITIATIVE	MARCH 11-17, 2016	CAIRO, EGYPT	ABA-MENA RULE OF LAW INITIATIVE EGYPT CASE MGMT	LODGING, MEALS, TRANSPORTATION, AIRFARE AND SHIPPING
10.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	MARCH 30-31, 2016	DALLAS, TX	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
11.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	MARCH 31- APRIL 1, 2016	MIAMI, FL	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
12.	AMERICAN LAW INSTITUTE	APRIL 11-12, 2016	NEW YORK CITY, NY	ALI AGGREGATE LITIGATION CONFERENCE	LODGING, MEALS, TRANSPORTATION AND AIRFARE
13.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	APRIL 27-28, 2016	SAN DIEGO, CA	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
14.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	APRIL 28-29, 2016	SEATTLE, WA	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
15.	AMERICAN BAR ASSOCIATION & DUKE UNIVERSITY	MAY 12-13, 2016	BOSTON, MA	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRES.	LODGING, MEALS, TRANSPORTATION AND AIRFARE
16.	NATIONAL CONFERENCE OF BAR EXAMINERS	MAY 19-22, 2016	SAN FRANCISCO, CA	BAR EXAMINERS MEETING	LODGING, MEALS, TRANSPORTATION AND AIRFARE
17.	DUKE LAW SCHOOL	MAY 22-23, 2016	DURHAM, NC	FACULTY AT DUKE JUDICIAL STUDIES	LODGING, MEALS, TRANSPORTATION AND AIRFARE
18.	DUKE LAW SCHOOL	JUNE 2-3, 2016	DURHAM, NC	FACULTY AT DUKE JUDICIAL STUDIES	LODGING, MEALS, TRANSPORTATION AND AIRFARE

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19.	DUKE LAW SCHOOL	JUNE 9-10, 2016	DURHAM, NC	FACULTY AT DUKE JUDICIAL STUDIES	LODGING, MEALS, TRANSPORTATION AND AIRFARE
20.	DUKE LAW SCHOOL	JUNE 16-17, 2016	DURHAM, NC	FACULTY AT DUKE JUDICIAL STUDIES	LODGING, MEALS, TRANSPORTATION AND AIRFARE
21.	AMERICAN LAW INSTITUTE	SEPTEMBER 8-9, 2016	PHILADELPHIA, PA	ALI RESTATEMENT OF THE LAW THIRD, CONFLICT OF LAW ADVISERS MEETING	LODGING, MEALS, TRANSPORTATION AND AIRFARE
22.	AMERICAN COLLEGE OF TRIAL LAWYERS	SEPTEMBER 15-20, 2016	PHILADELPHIA, PA	U.S./U.K. LEGAL EXCHANGE	LODGING, MEALS, TRANSPORTATION, TRAIN, AIRFARE AND MISC.
23.	AMERICAN COLLEGE OF TRIAL LAWYERS	SEPTEMBER 20-23, 2016	WASHINGTON, DC	U.S./U.K. LEGAL EXCHANGE	LODGING, MEALS, TRANSPORTATION, AIRFARE AND MISC.
24.	YALE LAW SCHOOL	OCTOBER 16-17, 2016	NEW HAVEN, CT	YALE LAW SCHOOL PRESENTATION	LODGING, MEALS, TRANSPORTATION AND TRAIN
25.	AMERICAN LAW INSTITUTE	OCTOBER 18-21, 2016	NEW YORK, NY	ALI OCTOBER COUNCIL MEETING	LODGING, MEALS AND AIRFARE
26.	AMERICAN LAW INSTITUTE	OCTOBER 23-25, 2016	NEW YORK, NY	ALI MODEL PENAL CODE: SEXUAL ASSAULT AND RELATED OFFENSES ADVISERS AND MEMBERS MTG	LODGING, MEALS, TRANSPORTATION AND AIRFARE
27.	COURT (JUDICIARY)	NOVEMBER 14-15, 2016	GRAPEVINE, TX	JUDICIAL COUNCIL MEETING	LODGING, MEALS, MEETING ROOM, AV FREES, TRANSPORTATION AND AIRFARE
28.	NATIONAL CONFERENCE OF BAR EXAMINERS	DECEMBER 8-11, 2016	PHOENIX, AZ	BAR EXAMINERS MEETINGS	LODGING, MEALS, TRANSPORTATION AND AIRFARE
29.					
30.					
31.					
32.					
33.					
34.					
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37.					
38.					
39.					

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

1. Bexar Cty, TX GO 5.25% due 6/15/23	D	Interest			Redeemed	06/15/16	N		
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	L	T					
4. College Station ISD 4.625% due 9/15/20	D	Interest	N	T					
5. Denton, TX ISD 0.00% due 8/15/23		None			Redeemed	08/15/16	N	G	
6. District Columbia 5.00% due 6/1/17	E	Interest	N	T					
7. Goodyear AZ PI 6.0% due 7/1/31		None	O	T	Buy	12/06/16	P1		
8. Grand Prairie, TX ISD 0.00% due 8/15/33		None	N	T					
9. Grapevine-Colleyville ISD 0.00% due 8/15/23		None	M	T					
10. Harris Cty, TX, 5.00% due 10/1/19	D	Interest	N	T					
11. Harris Cty, TX, 5.75% due 10/1/20	E	Interest	M	T					
12. Houston, TX Pub Impt 5.00% due 3/1/20	E	Interest	O	T					
13. Leander, TX ISD 0.00% due 8/15/20		None	N	T					
14. Leander, TX ISD 0.00% due 8/15/21		None	N	T					
15. Leander, TX ISD 0.00\$ due 8/15/23		None			Redeemed	08/15/16	N	G	
16. Lewisville, TX ISD 0.00% due 8/15/21		None	O	T					
17. MA St Hlth & Ed 5.25% due 7/1/23		None	O	T	Buy	12/06/16	O		

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

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18. Mesquite, TX ISD 0.00% due 8/15/32		None	N	T					
19. Northwest, TX ISD 5.00% due 2/15/16	C	Interest			Matured	02/16/16	M		
20. Richmond Co, GA Dev 6.375% due 12/01/21		None	L	T					
21. Schertz-Cibolo-Unvl City, TX 0.00% due 2/1/24		None			Redeemed	03/08/16	N	F	
22. Schertz-Cibolo-Unvl City, TX 0.00% due 2/1/25		None			Redeemed	03/08/16	N	F	
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	M	T					
27. University TX Univ 5.25% due 7/1/21	E	Interest	N	T					
28. Wylie, TX ISD 0.00% due 8/15/19		None	N	T					
29. Wylie, TX ISD 0.00% due 8/15/23		None	N	T					
30. JPM Chase - Checking		None	J	T					
31. HSA Bank	A	Interest	L	T					
32. Ally Bank	E	Interest	P1	T					
33. American Express Bank, FSB	F	Interest	P2	T					
34. AIF V Private Investors LLC (1)		None	J	U	Buy (add'l)	01/26/16	J		

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35.					Distributed (part)	01/26/16	J		
36. AIF VI Private Investors LLC (1)		None	M	U	Distributed (part)	01/22/16	K		
37.					Distributed (part)	06/29/16	J		
38.					Distributed (part)	10/11/16	J		
39. AIF VII Private Investors LLC (1)		None	M	U	Distributed (part)	01/22/16	J		
40.					Distributed (part)	04/19/16	J		
41.					Distributed (part)	06/15/16	J		
42.					Distributed (part)	07/15/16	J		
43.					Distributed (part)	08/30/16	J		
44. APAX Europe VII Private Investors, LLC (1)		None	L	U	Distributed (part)	01/14/16	J		
45.					Distributed (part)	03/24/16	K		
46.					Distributed (part)	04/27/16	J		
47.					Distributed (part)	10/26/16	K		
48. Atlantic Trust Company, N.A.	A	Dividend	J	T					
49. Barclays Bank	E	Interest	P1	T					
50. BRKB-Common		None	P1	T	Donated (part)				
51.					Buy (add'l)	12/14/16	N		

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52. Black Stone Minerals, LP common units	G	Distribution	P1	T					
53. Black Stone Minerals, LP sub units	F	Distribution	P1	U					
54. Arrowhead Research Corp. (9)		None							
55. Brand Group Holdings, Inc.-Common		None	M	U	Buy (add'l)	10/04/16	L		
56. Carlyle Asia Partners II (1)		None	M	U	Distributed (part)	02/08/16	J		
57.					Distributed (part)	04/11/16	L		
58.					Distributed (part)	05/10/16	K		
59.					Distributed (part)	05/27/16	J		
60.					Distributed (part)	07/27/16	L		
61.					Distributed (part)	09/06/16	K		
62. CAP IV Private Investors, LLC (1)		None	N	U	Distributed (part)	03/01/16	J		
63.					Buy (add'l)	06/30/16	J		
64.					Distributed (part)	08/02/16	J		
65.					Buy (add'l)	10/18/16	K		
66.					Buy (add'l)	12/30/16	J		
67. Carlyle Japan International Partners II, L.P. (1)		None	L	U	Distributed (part)	04/27/16	J		
68.					Distributed (part)	07/19/16	K		

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69.					Distributed (part)	11/30/16	K		
70. CIT Bank	E	Interest	P1	T					
71. CJIP II Limited, L.P. (1)		None	K	U	Distributed (part)	04/27/16	J		
72.					Distributed (part)	07/19/16	J		
73.					Distributed (part)	11/30/16	J		
74. CD&R Fund VII Private Investors, LLC (1)		None	M	U	Distributed (part)	02/18/16	K		
75.					Distributed (part)	05/06/16	L		
76.					Distributed (part)	10/25/16	J		
77. CD&R Fund IX Private Investors, LLC (1)		None	N	U	Buy (add'l)	04/08/16	K		
78.					Buy (add'l)	06/24/16	K		
79.					Buy (add'l)	07/18/16	K		
80.					Buy (add'l)	11/02/16	J		
81.					Buy (add'l)	11/10/16	K		
82. Consumer Staples Select Sector SPDR-ETF	E	Dividend	O	T					
83. Continuum Energy		None	L	U	Distributed (part)	12/01/16	J		
84. CVEO-Common		None	M	T					
85. Discover Bank	E	Interest	P1	T					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	P4 ~More than \$50,000,000
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. Emerald Marina Bay (1)		None	M	U					
87. Emerald Cambridge (1)		None	J	U					
88. Emerald Marina Cove (1)		None	J	U					
89. Emerald Marina Shores (1)		None	J	U					
90. Encino Energy, LLC (1)		None	L	U	Buy (add'l)	05/06/16	L		
91. Energy Capital Investors Fund, LLC (1)		None	L	U					
92. Family Alignment: FA YPS LLC (1)		None	K	U	Buy	09/12/16	K		
93. FDC Group McKinney, Ltd. (1)		None	J	U	Distributed (part)	03/25/16	J		
94.					Distributed (part)	06/17/16	J		
95.					Distributed (part)	09/22/16	J		
96.					Distributed (part)	12/23/16	J		
97. FDC Group Crawford, Ltd. (1)		None	M	U	Buy (add'l)	12/02/16	L		
98. FDC Group Dunlavy, Ltd. (1)		None	L	U					
99. FDC Group Wilcrest, Ltd. (1)		None	J	U	Distributed (part)	03/25/16	J		
100.					Distributed (part)	06/17/16	J		
101.					Distributed (part)	09/22/16	J		
102.					Distributed (part)	12/23/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. FDC Group Yorktown, Ltd. (1)		None	L	U					
104. FDC Group Waugh, Ltd. (1)		None	M	U	Distributed (part)	03/25/16	J		
105.					Distributed (part)	06/17/16	J		
106.					Distributed (part)	09/22/16	J		
107.					Distributed (part)	12/23/16	J		
108. FPA Crescent-Mutual Fund		None			Sold	01/20/16	O		
109. Finger-Roxboro, Ltd. (1)		None	M	U	Distributed (part)	03/14/16	J		
110.					Distributed (part)	06/14/16	J		
111.					Distributed (part)	09/22/16	J		
112.					Distributed (part)	12/23/16	J		
113. Finger-VOTL, Ltd. (1)		None	L	U	Distributed (part)	03/14/16	J		
114.					Distributed (part)	06/14/16	J		
115.					Distributed (part)	09/22/16	J		
116.					Distributed (part)	12/23/16	J		
117. Goldman Sachs Bank (includes former listing of GE Capital Bank)	E	Interest	P1	T					
118. Mt. Kellett (1)		None	M	U	Distributed (part)	04/11/16	J		
119.					Distributed (part)	07/25/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Distributed (part)	08/15/16	J		
121. Mt. Kellett II (1)		None	M	U	Distributed (part)	04/08/16	J		
122.					Distributed (part)	06/24/16	J		
123.					Distributed (part)	09/21/16	K		
124.					Distributed (part)	12/29/16	J		
125. GE Capital Bank (now included in Goldman Sachs Bank)									
126. Great Northern Midstream, LLC (1)		None	K	U	Distributed (part)	01/11/16	N		
127.					Distributed (part)	07/08/16	J		
128. Hawkins Investment Partnership (1)		None			Distributed	02/28/16	O		
129. Ishares Core High Dividend-ETF	D	Dividend	N	T					
130. [REDACTED] Inc. (1)		None	J	U	Buy (add'l)	06/30/16	J		
131.					Buy (add'l)	12/19/16	K		
132. HMTF Fund IV (1)		None	J	U	Distributed (part)	08/09/16	J		
133. HydroEx Acquisition, LLC - Note Receivable	B	Interest	K	T					
134. Ishares Global Energy-ETF	E	Dividend	N	T	Sold (part)	06/24/16	M	E	
135. Ishares US Consumer Goods-ETF	E	Dividend	N	T	Donated (part)				
136. JP Morgan Chase Investment Account - Cash	A	Dividend	O	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. KKR 2006 Private Investors, LLC (1)(a)		None		U	Buy (add'l)	01/29/16	J		
138.					Distributed (part)	02/25/16	J		
139.					Distributed (part)	05/19/16	J		
140.					Distributed (part)	06/27/16	K		
141.					Distributed (part)	07/25/16	J		
142.					Distributed (part)	08/15/16	J		
143.					Distributed (part)	09/06/16	K		
144.					Distributed (part)	09/30/16	K		
145.					Distributed (part)	12/19/16	K		
146. KMI-Common	E	Dividend	P1	T	Buy (add'l)	01/25/16	L		
147.					Buy (add'l)	01/28/16	K		
148.					Buy (add'l)	02/01/16	K		
149. Merrill Lynch (CMA)	C	Interest	P1	T					
150. NITYA - BCH Investors LLC (1)		None	N	U	Buy	12/06/16	N		
151. Oaktree Capital Group LLC	F	Distribution	P1	T					
152. OIS Restricted Stock (7)		None							
153. OIS-Common (7)		None	O	T	Buy (add'l)	05/19/16	M		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Donated (part)				
155. Pearl Midtown, LLC (1)		None	J	U	Distributed (part)	01/01/16	J		
156.					Distributed (part)	02/01/16	J		
157.					Distributed (part)	03/01/16	J		
158.					Distributed (part)	04/01/16	J		
159.					Distributed (part)	05/01/16	J		
160.					Distributed (part)	06/01/16	J		
161.					Distributed (part)	07/01/16	J		
162.					Distributed (part)	08/01/16	J		
163.					Distributed (part)	09/01/16	J		
164.					Distributed (part)	10/01/16	J		
165.					Distributed (part)	11/01/16	J		
166.					Distributed (part)	12/01/16	J		
167. Pearl CityCenter, LLC (1)		None	M	U					
168. Pearl Midtown Residences, Ltd (1)		None	N	U	Buy	12/06/16	N		
169. Platform Partners, LLC (1)		None	P1	U	Distributed (part)	06/20/16	N		
170. RDS/B-ADR	F	Dividend	P1	T	Buy (add'l)	01/07/16	N		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. SCF-V, L.P. (1)		None	K	U	Buy (add'l)	01/11/16	J		
172.					Buy (add'l)	04/08/16	J		
173.					Buy (add'l)	07/11/16	J		
174.					Buy (add'l)	10/07/16	J		
175.					Distributed (part)	12/14/16	K		
176. SCF-VI, L.P. (1)		None	M	U	Buy (add'l)	01/11/16	J		
177.					Buy (add'l)	04/08/16	J		
178.					Buy (add'l)	07/11/16	J		
179.					Distributed (part)	08/25/16	J		
180.					Buy (add'l)	10/07/16	J		
181.					Buy (add'l)	12/14/16	K		
182.					Distributed (part)	12/14/16	K		
183. SCF-VII, L.P. (1)		None	N	U	Buy (add'l)	01/11/16	J		
184.					Buy (add'l)	04/08/16	J		
185.					Buy (add'l)	07/11/16	J		
186.					Buy (add'l)	08/01/16	J		
187.					Buy (add'l)	10/07/16	J		

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Buy (add'l)	12/06/16	J		
189.					Distributed (part)	12/14/16	K		
190. SCF-VII(a), L.P. (1)		None	J	U	Buy	07/21/16	J		
191.					Buy (add'l)	07/22/16	J		
192.					Buy (add'l)	12/06/16	J		
193. SCF-VII(AIV), L.P. (1)		None	K	U	Buy (add'l)	08/01/16	J		
194. SCF-VIII, L.P (1)		None	M	U	Buy (add'l)	01/11/16	J		
195.					Buy (add'l)	04/08/16	J		
196.					Buy (add'l)	07/11/16	J		
197.					Buy (add'l)	07/18/16	J		
198.					Buy (add'l)	10/07/16	J		
199.					Buy (add'l)	12/06/16	J		
200. SCF-VIII(AIV), L.P. (1)		None	L	U	Buy (add'l)	12/06/16	J		
201. SJKI-Common		None	K	T					
202. SRE Properties, LP (1)		None	J	U	Distributed (part)	05/10/16	J		
203.					Distributed (part)	06/21/16	J		
204.					Distributed (part)	09/28/16	J		

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

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

205.					Distributed (part)	12/28/16	J		
206. Surefire Social-Convertible Pfd		None	J	U					
207. Synchrony Bank	E	Interest	P1	T					
208. [REDACTED] LP (1)		None	M	U	Distributed (part)	12/31/16	M		
209. [REDACTED] LLC (1)		None	J	U	Distributed (part)	12/31/16	J		
210. [REDACTED] LLC (1)		None	J	U					
211. [REDACTED] (1)		None	J	U					
212. [REDACTED] (1)		None	K	U	Distributed (part)	12/31/16	K		
213. [REDACTED] LP (1)		None	J	U	Buy (add'l)	12/31/16	J		
214.					Distributed (part)	12/31/16	J		
215. [REDACTED] (1)		None	K	U	Buy (add'l)	12/31/16	J		
216.					Distributed (part)	12/31/16	J		
217. [REDACTED] III, LP (1)		None	L	U	Distributed (part)	12/31/16	P1		
218. [REDACTED] III, LP (1)		None	P1	U	Buy (add'l)	12/31/16	M		
219.					Distributed (part)	12/31/16	O		
220. [REDACTED] III GP, LP (1)		None	P2	U	Buy (add'l)	12/31/16	L		
221.					Distributed (part)	12/31/16	P1		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

222. [REDACTED] IV GP, LP (1)		None	L	U	Buy	12/31/16	L		
223. [REDACTED]					Distributed (part)	12/31/16	J		
224. [REDACTED] IV LLC (1)		None	J	U	Buy	12/31/16	J		
225. [REDACTED]					Distributed (part)	12/31/16	J		
226. [REDACTED] IV, LP (1)		None	O	U	Buy	12/31/16	O		
227. [REDACTED]					Distributed (part)	12/31/16	L		
228. [REDACTED] IV, LP (1)		None	N	U	Buy	12/13/16	P1		
229. [REDACTED]					Distributed (part)	12/13/16	P1		
230. [REDACTED] (alpha sort) (11)									
231. American Bath		None	K	U	Sold (part)	10/10/16	P2		
232. B&G		None	J	U	Sold (part)	01/15/16	J		
233. Construction Supply		None	N	U	Buy	10/19/16	N		
234. CST Industries		None	J	U					
235. DexKo		None	O	U					
236. Industrial Services		None	N	U	Buy	06/10/16	N		
237. Highline		None	M	U	Buy	03/11/16	N		
238. Liqui-Box		None	J	U	Sold (part)	10/10/16	M		

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

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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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. Lynx FBO		None	L	U	Buy	08/16/16	K		
240.					Buy (add'l)	10/19/16	J		
241. Panolam (one additional payment)		None			Sold	06/28/16	J		
242. Process Barron		None	M	U					
243. SafeFleet		None	N	U					
244. Saxco		None	M	U					
245. Specified Air Solutions		None	L	U	Buy (add'l)	10/25/16	K		
246. Stackpole (one additional payment)		None			Sold	10/10/16	N		
247. Universal Fibers		None	J	U	Sold (part)	01/15/16	J		
248. 401(k): FA Stable Value	A	Int./Div.	N	T					
249. JP Morgan Chase-Checking		None	J	T					
250. JP Morgan Chase-Checking-S		None	J	T					
251. TROW-Common	D	Dividend	N	T					
252. Vac One (9)		None			Buy (add'l)	09/26/16	J		
253. Vanguard Tax-Exempt M/M-Mutual Fund	A	Dividend	J	T					
254. Vanguard Admiral Fund Treasury M/M-Mutual Fund	A	Dividend			Closed	04/06/16	P1		
255. Vanguard Large Cap Index Fund Adm	D	Dividend	O	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$5,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. Vanguard Large Cap ETF		None			Sold	01/22/16	P1		
257. Vanguard Tax-Managed Cap Apprec-Mutual Fund		None	N	T	Buy (add'l)	12/28/16	N		
258. Vanguard 500 Index-Mutual Fund	F	Dividend	P2	T	Buy	01/20/16	N		
259.					Buy (add'l)	01/22/16	P1		
260.					Buy (add'l)	02/24/16	O		
261.					Buy (add'l)	03/02/16	M		
262.					Buy (add'l)	03/16/16	N		
263.					Buy (add'l)	04/29/16	M		
264.					Buy (add'l)	05/18/16	L		
265.					Buy (add'l)	05/19/16	L		
266.					Buy (add'l)	06/24/16	L		
267.					Buy (add'l)	08/15/16	M		
268.					Buy (add'l)	11/10/16	N		
269.					Buy (add'l)	11/21/16	M		
270.					Buy (add'l)	11/30/16	N		
271.					Buy (add'l)	12/20/16	N		
272.					Buy (add'l)	12/23/16	N		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. Vanguard Federal M/M	C	Dividend	P1	T	Open	03/29/16	J		
274. WLR Recovery IV Investors, LLC (1)		None	J	U	Distributed (part)	03/23/16	J		
275.					Distributed (part)	06/23/16	J		
276.					Distributed (part)	11/23/16	J		
277.					Distributed (part)	12/27/16	J		
278. Xapp Media (9)		None							
279. Zinc Oxide (1)		None	K	U					
280. Certain LLC 1/18 (1)		None	J	U					
281. Certain Limited Partners 1/39 (1)		None	K	U					
282. Certain Limited Partners 2/54									
283. Elliott Associates, L.P. (1)		None	P2	U	Buy (add'l)	04/01/16	O		
284.					Buy (add'l)	10/01/16	O		
285. West Cam, L.P. (1)		None	J	U					
286. MP GEO, LLC (1)		None	J	U					
287. Midland Basin GEO, LLC (1)		None	K	U					
288. Gamma Geo (1)		None	K	U	Distributed (part)	01/28/16	J		
289.					Distributed (part)	02/12/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Distributed (part)	02/26/16	J		
291.					Distributed (part)	04/05/16	J		
292.					Distributed (part)	07/29/16	J		
293.					Distributed (part)	11/25/16	J		
294.					Distributed (part)	12/07/16	J		
295.					Distributed (part)	12/28/16	J		
296. Flex Waz (1)		None	M	U	Distributed (part)	01/14/16	K		
297. Certain LLC 2/54 (1% owner in 2/54LP) (1)		None	K	U	Buy (add'l)	04/01/16	J		
298.					Buy (add'l)	10/01/16	J		
299. IRA #1									
300. US Treasury Strips 0.0% due 2/15/2016		None			Matured	02/15/16	L	F	
301. Merrill Lynch Cash	A	Interest	N	T					
302. Vanguard Admiral Fund Treasury M/M - Mutual Fund	A	Dividend	J	T					
303. Vanguard Prime M/M - Mutual Fund	A	Dividend	J	T					
304. Vanguard 500 Index Fund	D	Dividend	O	T					
305. Vanguard S&P 500 Index ETF	D	Dividend	N	T					
306. Vanguard Federal Money Market Fund	A	Dividend	N	T	Open	03/30/16	N		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

307. IRA #2									
308. Merrill Lynch Cash	A	Interest	L	T					
309. US Treas 2.375% due 1/15/17	C	Interest	M	T					
310. FPA Crescent - Mutual Fund		None			Sold (part)	02/25/16	N		
311.					Sold	03/03/16	N		
312. Goldman Sachs Bank	A	Interest	K	T					
313. Goldman Sachs Liberty Harbor (1)		None	J	T	Sold (part)	01/01/16	J		
314. iShares Core High Dividend - ETF	E	Dividend	O	T					
315. KMI - Common Stock	D	Dividend	N	T					
316. Oaktree - Units	E	Distribution	O	T	Buy (add'l)	08/10/16	M		
317. RDSB - ADR	F	Dividend	P1	T	Buy (add'l)	08/10/16	M		
318. SJKI - Common Stock		None	L	T					
319. Vanguard Admiral Fund Treasury M/M - Mutual Fund	A	Dividend	J	T					
320. Vanguard Tax-Exempt M/M - Mutual Fund	A	Dividend			Closed	04/06/16	K		
321. Vanguard 500 Index Fund	E	Dividend	O	T					
322. Vanguard S&P 500 Index ETF	F	Dividend	P1	T					
323. Vanguard Federal Money Market Fund	A	Interest	L	T	Open	03/30/16	K		

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

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

324. #2 Trust (R8)									
325. Merrill Lynch Reserves	A	Interest	K	T					
326. iShares US Consumer Goods - ETF	E	Dividend	O	T					
327. Vanguard Tax-Managed Capital Appreciation - Mutual Fund	E	Dividend	P1	T					
328. Vanguard Admiral Fund Treasury - Mutual Fund	A	Dividend	J	T					
329. Vanguard Tax-Exempt M/M - Mutual Fund	A	Dividend	J	T					
330. Vanguard Federal M/M Fund	A	Dividend	K	T	Open	03/29/16	J		
331. Certain Limited Partners 2/54									
332. Elliott Associates, L.P. (1)		None	P1	U	Buy (add'l)	04/01/16	M		
333.					Buy (add'l)	10/01/16	L		
334. #3 Trust (H8)									
335. Merrill Lynch Reserves	A	Interest	L	T					
336. Consumer Staples Select Sector SPDR - ETF	C	Dividend	M	T					
337. Vanguard Tax-Managed Capital Appreciation - Mutual Fund	D	Dividend	O	T					
338. Vanguard Admiral Fund Treasury M/M - Mutual Fund	A	Dividend	J	T					
339. Vanguard Tax-Exempt M/M - Mutual Fund	A	Dividend	J	T					
340. Vanguard Federal M/M Fund	A	Dividend	M	T	Open	03/29/16	J		

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

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment 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).

(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 company aggregate values for the direct ownership of each entity as well as indirectly through other [REDACTED] group 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.

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/09/2017

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544