

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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>McMahon, Colleen                                                                                                                     | <b>2. Court or Organization</b><br><br>US District Court-Southern Dis                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>08/11/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>US 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>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>500 Pearl Street<br>New York, NY 10007<br>Chambers 640 Moynihan Courthou                                                                                      |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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. | Trustee           | Trust # 1                          |
| 2. | Trustee           | Foundation #1                      |
| 3. | Director-Inactive | Music Bridges International Inc    |
| 4. | Advisory Council  | Ohio State University              |
| 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.   |                 |                                 |
| 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. 2014 | CSG Systems Inc-Director Fee              |
| 2. 2014 | Kohl's Department Stores Inc-Director Fee |
| 3. 2014 | Tailwind Capital Group-Managing Director  |
| 4. 2014 | Safe Bulkers Inc -Director Fee            |
| 5. 2014 | Jet Blue Airways Corp-Director Fee        |
| 6. 2014 | Menemsha Capital Partners-Ltd-Employee    |
| 7. 2014 | Linux Partners LLC_Director Fee           |
| 8. 2014 | Morgan Stanley-Pension Income             |
| 9.      |                                           |

**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.     |       |          |         |                        |
| 2.     |       |          |         |                        |

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3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

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

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 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.)*

|    | <u>CREDITOR</u>           | <u>DESCRIPTION</u>   | <u>VALUE CODE</u> |
|----|---------------------------|----------------------|-------------------|
| 1. | Internal Revenue Service  | Federal Income Taxes | P1                |
| 2. | New York State Income Tax | State Income Taxes   | P1                |
| 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 I<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. Thornburg Ltd. Term Muni. Fd Nat'l            | B | Dividend     | L | T |                |          |   |  |              |
| 2. Kohl's Corp. Com (IRA)                        | E | Dividend     | O | T |                |          |   |  |              |
| 3. Thornberg Value Fund Class A Mut Fd. (IRA)    | C | Dividend     | O | T |                |          |   |  |              |
| 4. Morgan Stanley Venture Investors III LP (IRA) |   | None         | K | U |                |          |   |  |              |
| 5. Kohl's Corp Com (Trust #2)                    |   | None         |   |   | Distributed    | 01/10/14 | M |  | See Note # 8 |
| 6. Morgan Stanley Venture Investors III LP       |   | None         | K | U |                |          |   |  |              |
| 7. Skyline Venture Partners,L.P.                 |   | None         |   |   | Closed         | 12/31/14 | L |  |              |
| 8. MSCP III L.P.                                 | B | Distribution | J | U |                |          |   |  | See Note # 1 |
| 9. ████████,MA(1998 300,000)                     |   | None         | N | R |                |          |   |  |              |
| 10. ████████,MA (1998 300,000)                   |   | None         | N | R |                |          |   |  |              |
| 11. Northwestern Mututal Life                    |   | None         | K | T |                |          |   |  |              |
| 12. EVILCO Life Insurnace (Trust # 1)            |   | None         | J | T |                |          |   |  |              |
| 13. Northwestern Mututal Life (Trust#1)          |   | None         | N | T |                |          |   |  |              |
| 14. Northwestern Mututal Life(Trust #1)          |   | None         | M | T |                |          |   |  |              |
| 15. Madison National Life Ins(Trust # 1)         | A | Interest     | N | T |                |          |   |  |              |
| 16. CSG Systems International Inc.Com            | D | Dividend     | O | T | Buy (add'l)    | 08/26/14 | M |  |              |
| 17.                                              |   |              |   |   | Donated (part) |          |   |  |              |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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) |

|                                                         |   |              |    |   |                    |          |    |  |                            |
|---------------------------------------------------------|---|--------------|----|---|--------------------|----------|----|--|----------------------------|
| 18. Summit Mariner, LLC                                 |   | None         | P1 | U |                    |          |    |  |                            |
| 19. Skyline Venture Partners Qualified Purchase Fund II |   | None         |    |   | Closed             | 12/31/14 | L  |  |                            |
| 20. Trident Capital Fund-IV LP                          |   | None         |    |   | Closed             | 12/31/14 | J  |  |                            |
| 21. Summit Mariner LLC/JP Morgan Checking               | A | Interest     | K  | T |                    |          |    |  |                            |
| 22. Rental # 1 /JPMorgan Checking                       |   | None         | J  | T |                    |          |    |  |                            |
| 23. Rental # 2 New York, NY(1999 \$ 900,000)            | E | Rent         | P1 | R |                    |          |    |  |                            |
| 24. Rental # 2/JP Morgan -Checking                      | A | Interest     | J  | T |                    |          |    |  |                            |
| 25. JP Morgan(Checking)-                                |   | None         | L  | T |                    |          |    |  |                            |
| 26. Andex Resources LLC (Y)                             |   |              |    |   |                    |          |    |  |                            |
| 27. Vacant Land [REDACTED], MA (1999 \$ 425,000 )       |   | None         | N  | R |                    |          |    |  |                            |
| 28. Trident Capital Fund V LP                           | D | Distribution | O  | U | Sold (part)        | 08/08/14 | K  |  | See Note # 1               |
| 29.                                                     |   |              |    |   | Sold (part)        | 11/18/14 | L  |  |                            |
| 30.                                                     |   |              |    |   | Distributed (part) | 08/05/14 | J  |  | See Note # 5-to Line # 389 |
| 31. Linx Partners (Q) LP                                |   | None         | N  | U | Sold (part)        | 01/15/14 | P1 |  |                            |
| 32.                                                     |   |              |    |   | Sold (part)        | 06/11/14 | M  |  |                            |
| 33. Grove Capital Commitment Partners LP                |   | None         | K  | U | Sold (part)        | 09/29/14 | L  |  |                            |
| 34.                                                     |   |              |    |   | Sold (part)        | 10/30/14 | J  |  |                            |

|                                                  |                                                                                       |                                                        |                                                              |                                                              |                         |
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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 | 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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|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (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. [REDACTED] Golf Partners LLC                                                                                          |                                         | None                                          | K                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. Silvaris Corp Preferred B -N/C -Silvaris Corp-Preferred C-I                                                           |                                         | None                                          | L                                               | U                                         | Sold (part)                                     | 06/05/14                | M                               | E                              |                                                                   |
| 37. JP Morgan (Checking)                                                                                                  | A                                       | Interest                                      | P2                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. Oneida Cnty NY 6.25% due 06/15                                                                                        | D                                       | Interest                                      |                                                 |                                           | Sold (part)                                     | 06/02/14                | L                               |                                |                                                                   |
| 39.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 11/21/14                | M                               |                                |                                                                   |
| 40. JK & B Capital IV QIP LP                                                                                              |                                         | None                                          | N                                               | U                                         | Sold (part)                                     | 08/05/14                | J                               |                                |                                                                   |
| 41. Perseus Biopharmaceutical Investor LP                                                                                 |                                         | None                                          | K                                               | U                                         | Buy (add'l)                                     | 04/24/14                | J                               |                                |                                                                   |
| 42.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold (part)                                     | 04/24/14                | K                               |                                |                                                                   |
| 43.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold (part)                                     | 11/26/14                | M                               |                                |                                                                   |
| 44.                                                                                                                       |                                         |                                               |                                                 |                                           | Distributed (part)                              | 01/23/14                | K                               |                                | See Note # 5 to Line # 391                                        |
| 45. Skyline Venture Partners Qualified Purchaser Fund III LP                                                              |                                         | None                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. Towerbrook Private Equity Partners II LP                                                                              |                                         | None                                          |                                                 |                                           | Closed                                          | 04/07/14                | M                               |                                |                                                                   |
| 47. SPEP Limited Partners LLC (Y)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 48. Grove II LP                                                                                                           |                                         | None                                          | L                                               | U                                         | Buy (add'l)                                     | 12/31/14                | N                               |                                |                                                                   |
| 49. JP Morgan Checking(Foundation #1)                                                                                     | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. OR Music LLC                                                                                                          |                                         | None                                          |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 9                                                      |
| 51. Capital Income Builders Fd Cl A(IRA)                                                                                  | D                                       | Dividend                                      | M                                               | 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) |
| 52. Kinderhook Capital I LP                                                                                                 | D                                       | Distribution                                  | P1                                              | U                                         | Buy<br>(add'l)                                  | 06/10/14                | K                               |                                | See Note # 1                                                      |
| 53.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/10/14                | K                               |                                |                                                                   |
| 54. Capital World Grth & Income Fd Cl A(IRA)                                                                                | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. JP Morgan Tax Free MM Premier Sweep                                                                                     | A                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. Menemsha Captial Partners Ltd                                                                                           |                                         | None                                          | L                                               | U                                         |                                                 |                         |                                 |                                | See Note # 2                                                      |
| 57. Capital SLI Group LLC                                                                                                   |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. CGI Partners,LP                                                                                                         | G                                       | Distribution                                  | P1                                              | U                                         | Sold<br>(part)                                  | 11/17/14                | O                               |                                | See Note # 1                                                      |
| 59. Micell Technologies Inc.(Com)                                                                                           |                                         | None                                          | K                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. Linx Partners II LP                                                                                                     | G                                       | Distribution                                  | P1                                              | U                                         | Sold<br>(part)                                  | 06/24/14                | M                               |                                | See Note # 1                                                      |
| 61.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/05/14                | O                               |                                |                                                                   |
| 62.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/21/14                | M                               |                                |                                                                   |
| 63.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/23/14                | K                               |                                |                                                                   |
| 64. Lone Cypress Company Ltd                                                                                                | G                                       | Distribution                                  | P1                                              | U                                         | Sold<br>(part)                                  | 06/23/14                | M                               |                                | See Note # 1                                                      |
| 65. Sentinel Capital Investors III LP                                                                                       | G                                       | Distribution                                  | M                                               | U                                         | Sold<br>(part)                                  | 03/21/14                | L                               |                                | See Note # 1                                                      |
| 66.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/27/14                | K                               |                                |                                                                   |
| 67.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/26/14                | L                               |                                |                                                                   |
| 68.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/31/14                | 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

McMahon, Colleen

Date of Report

08/11/2015

## 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.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/31/14                | J                               |                                |                                                                   |
| 70. SFM Participation II LP                                                                                                 | H1                                      | Distribution                                  | P2                                              | U                                         | Buy<br>(add'l)                                  | 03/11/14                | K                               |                                | See Note # 1                                                      |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/13/14                | M                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/24/14                | M                               |                                |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/11/14                | P1                              |                                |                                                                   |
| 74.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/23/14                | M                               |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/12/14                | P1                              |                                |                                                                   |
| 76. North Salem Acquisition & Development<br>Fund 2005 LP                                                                   | F                                       | Distribution                                  | J                                               | U                                         | Sold<br>(part)                                  | 02/18/14                | J                               |                                | See Note # 1                                                      |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/05/14                | J                               |                                |                                                                   |
| 78.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/23/14                | J                               |                                |                                                                   |
| 79. Thornburg Core Growth CI A (IRA)                                                                                        |                                         | None                                          | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 80. Jetblue (Com)                                                                                                           |                                         | None                                          | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. 383-391 West 12th St LLC                                                                                                |                                         |                                               |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 9                                                      |
| 82. Aisling Capital II LP                                                                                                   | G                                       | Distribution                                  | P1                                              | U                                         | Buy<br>(add'l)                                  | 02/10/14                | L                               |                                | See Note # 1                                                      |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/10/14                | J                               |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/19/14                | K                               |                                |                                                                   |
| 85.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/10/14                | 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<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

McMahon, Colleen

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08/11/2015

## 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.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/09/14                | M                               |                                |                                                                   |
| 87.                                                                                                                         |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 01/23/14                | K                               |                                | See Note # 5-To Line<br># 392                                     |
| 88. By The Way Productions LLC                                                                                              |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. J K & B Capital V LP                                                                                                    |                                         | None                                          | P1                                              | U                                         | Buy<br>(add'l)                                  | 02/11/14                | K                               |                                |                                                                   |
| 90.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/23/14                | J                               |                                |                                                                   |
| 91.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/09/14                | K                               |                                |                                                                   |
| 92.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/02/14                | K                               |                                |                                                                   |
| 93.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/10/14                | K                               |                                |                                                                   |
| 94.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/05/14                | J                               |                                |                                                                   |
| 95. SEEF II LP                                                                                                              |                                         | None                                          | P1                                              | U                                         | Buy<br>(add'l)                                  | 01/15/14                | K                               |                                |                                                                   |
| 96.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/09/14                | L                               |                                |                                                                   |
| 97. Towerbrook Investors II Executive Fund LP                                                                               | H1                                      | Distribution                                  | P1                                              | U                                         | Sold<br>(part)                                  | 11/10/14                | K                               |                                | See Note # 1                                                      |
| 98.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/11/14                | L                               |                                |                                                                   |
| 99.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/11/14                | P1                              |                                |                                                                   |
| 100. Trident VI LP                                                                                                          |                                         | None                                          | N                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 101. Kinderhook Capital Fund II LP                                                                                          | H1                                      | Distribution                                  | P1                                              | U                                         | Buy<br>(add'l)                                  | 03/06/14                | L                               |                                | See Note # 1                                                      |
| 102.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/20/14                | 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<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

McMahon, Colleen

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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) |
| 103.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/31/14                | L                               |                                |                                                                   |
| 104.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/06/14                | N                               |                                |                                                                   |
| 105.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/19/14                | P1                              |                                |                                                                   |
| 106.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/20/14                | P1                              |                                |                                                                   |
| 107.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/31/14                | P1                              |                                |                                                                   |
| 108. Kohls Corp (Com).                                                                                                      | E                                       | Dividend                                      | O                                               | T                                         | Buy<br>(add'l)                                  | 05/16/14                | M                               |                                |                                                                   |
| 109.                                                                                                                        |                                         |                                               |                                                 |                                           | Donated<br>(part)                               |                         |                                 |                                |                                                                   |
| 110. KPB Partners LP                                                                                                        | A                                       | Interest                                      | P1                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 111. --App Orchard LLC                                                                                                      |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 03/31/14                | M                               |                                |                                                                   |
| 112.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/28/14                | M                               |                                |                                                                   |
| 113.                                                                                                                        |                                         |                                               |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 9                                                      |
| 114. --App Orchard LLC-Note                                                                                                 |                                         | None                                          |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 3                                                      |
| 115. Thornburg-Income Builder C1 1                                                                                          | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 116. Thornburg Global Opportunity C1 1                                                                                      | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 117. Thornburg CRE GWT 1 (Trust # 2)                                                                                        |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/10/14                | L                               |                                | See Note # 8                                                      |
| 118. Morgan Stanley Bank (Savings)                                                                                          | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 119. Thornburg CRE GWT (IRA)                                                                                                |                                         | None                                          | 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

McMahon, Colleen

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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. Inavein LLC                                                                                                            |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 121. Ironwood Management Partners Fund II LP                                                                                |                                         | None                                          | P1                                              | U                                         | Buy<br>(add'l)                                  | 10/20/14                | K                               |                                |                                                                   |
| 122. Linx-Cimarron Energy Co-Invest, LLC                                                                                    | E                                       | Distribution                                  |                                                 |                                           | Sold                                            | 05/30/14                | K                               |                                | See Note # 1                                                      |
| 123. RGI Partners II B LP                                                                                                   | G                                       | Distribution                                  | P1                                              | U                                         |                                                 |                         |                                 |                                | See Note # 1                                                      |
| 124. RGI Partners Ltd                                                                                                       | G                                       | Distribution                                  | P1                                              | U                                         | Buy<br>(add'l)                                  | 03/31/14                | O                               |                                | See Note # 1                                                      |
| 125.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/09/14                | K                               |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/31/14                | N                               |                                |                                                                   |
| 127.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/09/14                | O                               |                                |                                                                   |
| 128. SC Capital (P) LP                                                                                                      |                                         | None                                          | P2                                              | U                                         | Buy<br>(add'l)                                  | 04/02/14                | J                               |                                |                                                                   |
| 129. Tailwind Capital Partners LP                                                                                           | H1                                      | Distribution                                  | P2                                              | U                                         | Buy<br>(add'l)                                  | 12/19/14                | M                               |                                | See Note # 1 & Note # 4                                           |
| 130.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/10/14                | O                               |                                |                                                                   |
| 131.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/14                | L                               |                                |                                                                   |
| 132.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/30/14                | L                               |                                |                                                                   |
| 133.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/11/14                | M                               |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/14/14                | P1                              |                                |                                                                   |
| 135. Tailwind Management LP                                                                                                 | G                                       | Distribution                                  | P1                                              | U                                         | Sold<br>(part)                                  | 12/31/14                | P1                              |                                | See Note # 1                                                      |
| 136. Tailwind Capital Partners (GP) LP                                                                                      | H2                                      | Distribution                                  | P1                                              | U                                         | Buy<br>(add'l)                                  | 12/19/14                | M                               |                                | See Note # 1 & Note # 4                                           |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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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) |
| 137.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/13/14                | P1                              |                                |                                                                   |
| 138.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/10/14                | M                               |                                |                                                                   |
| 139.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/06/14                | L                               |                                |                                                                   |
| 140.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/06/14                | N                               |                                |                                                                   |
| 141.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/14/14                | P2                              |                                |                                                                   |
| 142.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/31/14                | P1                              |                                |                                                                   |
| 143. --Apex Companies LLC                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note #4                                                       |
| 144. --Transit Wireless LLC                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note #4                                                       |
| 145. --Hamilton State Bancshares Inc                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note #4                                                       |
| 146. --Oceus Networks Inc.                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note # 4                                                      |
| 147. --Nautilus Neurosciences Inc                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note #4                                                       |
| 148. --Versapharm                                                                                                           |                                         |                                               |                                                 |                                           | Sold                                            | 08/14/14                | P2                              |                                | See Note #4                                                       |
| 149. --Cumberland Consulting Group LLC                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note #4                                                       |
| 150. --RE Transportation Inc                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note #4                                                       |
| 151. --Brawler Industrial Fabrics                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note #4                                                       |
| 152. --Northeast Comm of Wisconsin Inc                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Note # 4                                                      |
| 153. Navagate Inc (Promissory Note)                                                                                         |                                         | None                                          |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 3                                                      |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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

McMahon, Colleen

Date of Report

08/11/2015

## 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. Omnilink Systems Inc (Ser B Preferred Stock)                                                                           |                                         | None                                          |                                                 |                                           | Sold                                            | 05/09/14                | P1                              | H1                             |                                                                   |
| 155. American Home Food Products Inc (Com)                                                                                  |                                         | None                                          | N                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 156. Perseus Soros Partners                                                                                                 |                                         | None                                          | M                                               | T                                         | Sold (part)                                     | 04/24/14                | J                               |                                |                                                                   |
| 157.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 11/26/14                | L                               |                                |                                                                   |
| 158.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed (part)                              | 01/23/14                | K                               |                                | See Note #5 to Line # 393                                         |
| 159. Syndicate Holdings Corp(Com)                                                                                           |                                         | None                                          | N                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 160. Perseus Soros BioPharmaceutical Fund LP                                                                                |                                         | None                                          | J                                               | U                                         | Sold (part)                                     | 04/24/14                | J                               |                                |                                                                   |
| 161.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 04/24/14                | J                               |                                |                                                                   |
| 162.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 11/26/14                | J                               |                                |                                                                   |
| 163.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed (part)                              | 01/23/14                | J                               |                                | See Note # 5 to Line # 394                                        |
| 164. Safe Bulkers Inc(Com)                                                                                                  | D                                       | Dividend                                      | M                                               | T                                         | Buy (add'l)                                     | 01/02/14                | K                               |                                |                                                                   |
| 165.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 04/24/14                | K                               |                                |                                                                   |
| 166.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 07/02/14                | K                               |                                |                                                                   |
| 167.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 10/02/14                | K                               |                                |                                                                   |
| 168. Artisanal Cheese LLC(Bridge Loan)                                                                                      |                                         | None                                          | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 169. Nassau Point Partners I LP                                                                                             |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 170. Camulos BioEnergy Debt Holdings LLC                                                                                    |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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 \$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

McMahon, Colleen

Date of Report

08/11/2015

## 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. Camulos BioEnergy Partners LLC                                                                                         |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 172. Camulos Fountain Hills Partners LLC (Y)                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 173. Camulos Gateway HI Partners LLC                                                                                        |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 174. Camulos Gateway RH Partners LLC                                                                                        |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 175. Asling Investors III LP                                                                                                | G                                       | Distribution                                  | O                                               | U                                         | Buy<br>(add'l)                                  | 02/04/14                | K                               |                                | See Note # 1                                                      |
| 176.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/17/14                | K                               |                                |                                                                   |
| 177.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/13/14                | K                               |                                |                                                                   |
| 178.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/25/14                | K                               |                                |                                                                   |
| 179.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/24/14                | J                               |                                |                                                                   |
| 180.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/04/14                | L                               |                                |                                                                   |
| 181.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/24/14                | K                               |                                |                                                                   |
| 182.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/10/14                | K                               |                                |                                                                   |
| 183.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 01/23/14                | J                               |                                | See Note # 5 to Line # 396                                        |
| 184.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 05/20/14                | J                               |                                | See Note # 5-to Line # 398                                        |
| 185. Eastern Growth Capital I LP                                                                                            | G                                       | Distribution                                  | N                                               | U                                         | Sold<br>(part)                                  | 05/19/14                | N                               |                                | See Note # 1                                                      |
| 186.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/02/14                | L                               |                                |                                                                   |
| 187.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/27/14                | K                               |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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

McMahon, Colleen

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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. Eastern Growth Capital II LP                                                                                           | F                                       | Distribution                                  | N                                               | U                                         | Sold<br>(part)                                  | 02/12/14                | K                               |                                | See Note # 1                                                      |
| 189.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/16/14                | K                               |                                |                                                                   |
| 190.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/04/14                | L                               |                                |                                                                   |
| 191. Eastern Growth Capital II LP(IRA)                                                                                      | G                                       | Distribution                                  | O                                               | U                                         | Sold<br>(part)                                  | 02/12/14                | L                               |                                | See Note # 1                                                      |
| 192.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/16/14                | K                               |                                |                                                                   |
| 193.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/04/14                | M                               |                                |                                                                   |
| 194. Linx-Metaltech Co Investment LLC                                                                                       | D                                       | Interest                                      | M                                               | U                                         | Sold<br>(part)                                  | 03/24/14                | J                               |                                |                                                                   |
| 195.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/09/14                | J                               |                                |                                                                   |
| 196.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/12/14                | J                               |                                |                                                                   |
| 197.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/12/14                | J                               |                                |                                                                   |
| 198. Olympus Capital Asia IV LP                                                                                             |                                         | None                                          | P1                                              | U                                         | Buy<br>(add'l)                                  | 02/25/14                | L                               |                                |                                                                   |
| 199.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/21/14                | M                               |                                |                                                                   |
| 200.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/21/14                | L                               |                                |                                                                   |
| 201.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/20/14                | O                               |                                |                                                                   |
| 202. UBS RMA Tax Free (MM)                                                                                                  | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 203. Safe Bulkers Inc (Com)(IRA)                                                                                            | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 204. Towerbrok Investors III Executive Fund LP                                                                              | F                                       | Distribution                                  | O                                               | U                                         | Sold<br>(part)                                  | 01/16/14                | L                               |                                | See Note # 1                                                      |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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.)

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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) |
| 205.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/20/14                | K                               |                                |                                                                   |
| 206.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/12/14                | K                               |                                |                                                                   |
| 207.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/21/14                | L                               |                                |                                                                   |
| 208.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/23/14                | J                               |                                |                                                                   |
| 209. Inves Van Kampen Equities (401K) N/C<br>Invesco Equity Income FD A                                                     |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 210. Thornburg Intl Val Fd R#(401k)                                                                                         |                                         | None                                          |                                                 |                                           | Sold                                            | 12/15/14                | M                               |                                |                                                                   |
| 211. Morgan Stanley Bank(Saving )(Foundation<br># 1)                                                                        | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 212. NYS Dormitory 4 % Due 10/1/15                                                                                          | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 213. NYS Dormitory 5.25 % Due 8/15/15                                                                                       | E                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 214. Morgan Stanley Bank (Trust # 2)                                                                                        |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/10/14                | K                               |                                | See Note # 8                                                      |
| 215. First Republic Bank( Checking)(Trust # 2)                                                                              |                                         | None                                          |                                                 |                                           | Distributed                                     | 01/10/14                | J                               |                                | See Note # 8                                                      |
| 216. First Republic Bank (Checking)                                                                                         | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 217. The West Africa Fund LP                                                                                                |                                         | None                                          | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 218. NuCana Biomed Ltd (Ordinary Shares)<br>(IRA)                                                                           |                                         | None                                          | P1                                              | T                                         | Buy<br>(add'l)                                  | 09/08/14                | K                               |                                |                                                                   |
| 219. Yumsing LLC                                                                                                            |                                         | None                                          | N                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 220. Cordia Bancorp Ser B(Com)(IRA)                                                                                         |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 221. ConnectEdu Inc(Com)(IRA)                                                                                               |                                         | None                                          |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 3                                                      |

|                       |                                                     |                                                      |                                                            |                                                              |                                  |
|-----------------------|-----------------------------------------------------|------------------------------------------------------|------------------------------------------------------------|--------------------------------------------------------------|----------------------------------|
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| 3. Value Method Codes | Q = Appraisal<br>(See Column C2)                    | 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

McMahon, Colleen

Date of Report

08/11/2015

## 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. Michael Walsdorf- (Indirect Investment- 71 Smith Street LLC ) |   | None         | N  | T |                |          |   |  | See Note # 10 |
| 223. MV Beach Stret Realty(Mortgage Note)                          |   | None         |    |   | Redeemed       | 11/10/14 | O |  |               |
| 224. Beryllium LLC                                                 |   | None         | J  | U |                |          |   |  |               |
| 225. Kinderhook Capital Fund III LP                                | G | Distribution | P1 | U | Buy<br>(add'l) | 02/04/14 | L |  | See Note #1   |
| 226.                                                               |   |              |    |   | Buy<br>(add'l) | 04/21/14 | M |  |               |
| 227.                                                               |   |              |    |   | Buy<br>(add'l) | 06/25/14 | M |  |               |
| 228.                                                               |   |              |    |   | Buy<br>(add'l) | 11/13/14 | K |  |               |
| 229.                                                               |   |              |    |   | Buy<br>(add'l) | 12/19/14 | K |  |               |
| 230.                                                               |   |              |    |   | Sold<br>(part) | 03/07/14 | K |  |               |
| 231.                                                               |   |              |    |   | Sold<br>(part) | 03/18/14 | N |  |               |
| 232. Omnlink Systems Inc(Bridge Loan)                              |   | None         |    |   | Redeemed       | 05/09/14 | M |  |               |
| 233. NYS Dormitory 5.25 % Due 5/15/15                              | D | Interest     | M  | T | Sold<br>(part) | 05/15/14 | N |  |               |
| 234.                                                               |   |              |    |   | Sold<br>(part) | 08/05/14 | M |  |               |
| 235. Nuclea Biotechnologies Inc-Convertible Note                   |   | None         | N  | T |                |          |   |  |               |
| 236. Cordia Bancorp Inc Ser B (Com)                                |   | None         | N  | T |                |          |   |  |               |
| 237. ConnectEDU Ser D(Com)                                         |   | None         |    |   | Closed         | 12/31/14 |   |  | See Note # 3  |
| 238. Rapid Ratings International Inc (Com)                         |   | None         | P1 | T | Buy<br>(add'l) | 02/18/14 | 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<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

McMahon, Colleen

Date of Report

08/11/2015

## 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) |

|                                                |   |              |    |   |                |          |   |  |              |
|------------------------------------------------|---|--------------|----|---|----------------|----------|---|--|--------------|
| 239.                                           |   |              |    |   | Buy<br>(add'l) | 04/10/14 | O |  |              |
| 240.                                           |   |              |    |   | Buy<br>(add'l) | 07/29/14 | N |  |              |
| 241.                                           |   |              |    |   | Buy<br>(add'l) | 08/20/14 | N |  |              |
| 242.                                           |   |              |    |   | Buy<br>(add'l) | 10/27/14 | N |  |              |
| 243.                                           |   |              |    |   | Buy<br>(add'l) | 12/18/14 | N |  |              |
| 244. West 12th Street Manager LLC              |   |              |    |   | Closed         | 12/31/14 |   |  | See Note # 9 |
| 245. Parkstone Capital Partners LLC            |   | None         | M  | U | Sold<br>(part) | 01/22/14 | L |  |              |
| 246.                                           |   |              |    |   | Sold<br>(part) | 11/17/14 | L |  |              |
| 247. Lone Peak Partners Fund LP                |   | None         | P1 | U |                |          |   |  |              |
| 248. UBS Bank USA Dep MM (IRA)                 | A | Interest     | M  | T |                |          |   |  |              |
| 249. Thornburg Core Growth A (Trust # 2)       |   | None         |    |   | Distributed    | 01/10/14 | K |  | See Note # 8 |
| 250. NYS Dorm 5.625 % Due 6/1/16               | E | Interest     | N  | T | Sold<br>(part) | 04/07/14 | M |  |              |
| 251. Tailwind Capital Group LLC                | A | Distribution | K  | U |                |          |   |  | See Note # 1 |
| 252. Emerald Biostructures Inc.(Loan)          | B | Interest     |    |   | Redeemed       | 02/12/14 | K |  |              |
| 253. Empowered World Ventures LLC(Preferred A) |   | None         | M  | T |                |          |   |  |              |
| 254. CSL Energy Opportunity Fd I LP            | F | Distribution | O  | U | Buy<br>(add'l) | 04/22/14 | L |  | See Note # 1 |
| 255.                                           |   |              |    |   | Buy<br>(add'l) | 08/11/14 | 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<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

McMahon, Colleen

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08/11/2015

## 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) |
| 256.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/14/14                | K                               |                                |                                                                   |
| 257.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/22/14                | J                               |                                |                                                                   |
| 258.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/14/14                | M                               |                                |                                                                   |
| 259. CSL Europe Energy Services LP                                                                                          |                                         | None                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 260. Parkstone Capital Partners II LP                                                                                       | G                                       | Distribution                                  | O                                               | U                                         | Sold<br>(part)                                  | 04/24/14                | N                               |                                | See Note # 1                                                      |
| 261.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/16/14                | M                               |                                |                                                                   |
| 262. Highland Investment Group LLC                                                                                          |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 263. Peaks Capital Partners LLC (Promissory Note)                                                                           |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 264. NYS Auth Rev Nonst 5 % Due 10/1/14                                                                                     | E                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 10/01/14                | O                               |                                |                                                                   |
| 265. NYS Energy Res & Dev 2.25 % Due 12/1/15                                                                                | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 266. Patchogue Metford NY Un 4.25 Due 10/1/15                                                                               | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 267. Artiman Venture Fund LP                                                                                                | E                                       | Distribution                                  | M                                               | U                                         | Distributed<br>(part)                           | 03/14/14                | J                               |                                | Note # 1 & # 5-To Line 400                                        |
| 268.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/28/14                | J                               |                                |                                                                   |
| 269. EOS Sleep Management LLC                                                                                               | F                                       | Distribution                                  | O                                               | U                                         |                                                 |                         |                                 |                                | See Note # 1                                                      |
| 270. OD Funding Partners LLC                                                                                                |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 271. Prollie Inc (Preferred St)                                                                                             |                                         | None                                          |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 3                                                      |
| 272. Nextremity Solutions LLC(N/C Nextremity Solutions Inc )                                                                |                                         | None                                          | P1                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                        |
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| 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

McMahon, Colleen

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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) |
| 273. Linx-Ad Co-Invest LLC                                                                                                  | G                                       | Distribution                                  | K                                               | U                                         | Sold<br>(part)                                  | 08/22/14                | N                               |                                | See Note # 1                                                      |
| 274.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/12/14                | K                               |                                |                                                                   |
| 275. Collision Funding Partners LLC                                                                                         |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 276. adTheorent Inc Convertible Promissory Note)                                                                            |                                         | None                                          | L                                               | T                                         | Buy<br>(add'l)                                  | 04/01/14                | L                               |                                |                                                                   |
| 277. 4DK Technology Inc (Ser B)                                                                                             |                                         | None                                          |                                                 |                                           | Distributed<br>(part)                           | 04/10/14                | M                               |                                | See Note # 5- to line 402                                         |
| 278.                                                                                                                        |                                         |                                               |                                                 |                                           | Distributed                                     | 04/10/14                | N                               |                                | See Note # 5 to Line 403                                          |
| 279. Double Dog Dare MediaLLC (Convertible Promissory Note)                                                                 |                                         | None                                          |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 3                                                      |
| 280. Figue Holdings LLC (Promissory Note)                                                                                   |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 281. Jonathan Kully (Indirect Investment 71 Smith Street LLC)                                                               |                                         | None                                          | N                                               | T                                         |                                                 |                         |                                 |                                | See Note # 10                                                     |
| 282. JustFamily.Com,Inc.(Preferred Stock)                                                                                   |                                         | None                                          | N                                               | T                                         | Buy<br>(add'l)                                  | 08/14/14                | K                               |                                |                                                                   |
| 283. Kenesto Corp (Preferred C)                                                                                             |                                         | None                                          | O                                               | T                                         | Buy<br>(add'l)                                  | 01/07/14                | L                               |                                |                                                                   |
| 284.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/14/14                | L                               |                                |                                                                   |
| 285.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/07/14                | L                               |                                |                                                                   |
| 286.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/27/14                | M                               |                                |                                                                   |
| 287. MogilityCapital Fund LP                                                                                                |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 288. OpenFin Inc.(Preferred Stock)                                                                                          |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 289. Remedy Pharmaceuticals Inc                                                                                             |                                         | None                                          | O                                               | T                                         | Buy<br>(add'l)                                  | 09/26/14                | M                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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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) |
| 290. Tyrogenex Inc.(Ser B Convertible Preferred)                                                                            |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 291. XCoverly Holdings LLC                                                                                                  |                                         | None                                          | K                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 292. NYS Dorm 4 % Due 7/1/16                                                                                                | D                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 293. NYS Mtg Auth 1.2 % Due 4/1/16                                                                                          | C                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 294. NYS Dorm 4 % Due 7/1/17                                                                                                | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 295. Monroe County NY 4 % Due 6/1/15                                                                                        | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 296. NYS Muni Bd Bank 5% Due 2/15/14                                                                                        | D                                       | Interest                                      |                                                 |                                           | Matured                                         | 02/18/14                | N                               |                                |                                                                   |
| 297. NYS Mtg 5 % Due 11/1/16                                                                                                | D                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 298. Batavia NY 4% Due 3/1/17                                                                                               | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 299. Dryden NY Cent School 4%Due 6/15/16                                                                                    | D                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 300. Rochester NY Unliited Tax 3.25% Due 2/1/16                                                                             | D                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 301. NYS Muni Bd 5 % Due 5/15/16                                                                                            | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 302. NYS Mtg 2 % Due 4/1/16                                                                                                 | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 303. East Rochester NY 3 % Due 10/20/15                                                                                     | D                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 304. Boulder DiagnosticInc (Preferred)                                                                                      |                                         | None                                          |                                                 |                                           | Closed                                          | 12/31/14                |                                 |                                | See Note # 3                                                      |
| 305. Cardflight Inc (Preferred)                                                                                             |                                         | None                                          | L                                               | T                                         | Buy<br>(add'l)                                  | 09/10/14                | L                               |                                |                                                                   |
| 306. Fenway HTM Partners LLC                                                                                                |                                         | None                                          | O                                               | 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

McMahon, Colleen

Date of Report

08/11/2015

## 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. FunnelFire Inc (ConvPromissory Note)              |   | None         | L  | T | Buy<br>(add'l) | 03/06/14 | K |  |              |
| 308. Gain Fitness Inc(Com)                             |   | None         | L  | T | Buy<br>(add'l) | 08/19/14 | J |  |              |
| 309. CMNet Inc (D/B/A iSeek Corp) Ser C<br>(Preferred) |   | None         | N  | T |                |          |   |  |              |
| 310. Linx RE-Co-Invest LLC                             | D | Interest     | M  | U | Sold<br>(part) | 02/21/14 | J |  |              |
| 311.                                                   |   |              |    |   | Sold<br>(part) | 04/28/14 | J |  |              |
| 312.                                                   |   |              |    |   | Sold<br>(part) | 07/18/14 | J |  |              |
| 313.                                                   |   |              |    |   | Sold<br>(part) | 10/10/14 | J |  |              |
| 314. Linx III LP                                       | D | Distribution | P1 | U | Buy<br>(add'l) | 07/09/14 | O |  | See Note # 1 |
| 315.                                                   |   |              |    |   | Sold<br>(part) | 03/18/14 | K |  |              |
| 316.                                                   |   |              |    |   | Sold<br>(part) | 05/29/14 | J |  |              |
| 317.                                                   |   |              |    |   | Sold<br>(part) | 08/29/14 | M |  |              |
| 318.                                                   |   |              |    |   | Sold<br>(part) | 11/25/14 | N |  |              |
| 319. Monaeo Inc(Conv. Promissory Note)                 |   | None         | M  | T |                |          |   |  |              |
| 320. Moolagram Inc (Ser A1 Preferred )                 |   | None         | M  | T | Buy<br>(add'l) | 05/27/14 | K |  |              |
| 321.                                                   |   |              |    |   | Buy<br>(add'l) | 08/05/14 | K |  |              |
| 322.                                                   |   |              |    |   | Buy<br>(add'l) | 08/26/14 | K |  |              |
| 323.                                                   |   |              |    |   | Buy<br>(add'l) | 10/20/14 | 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                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McMahon, Colleen

Date of Report

08/11/2015

## 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) |

|                                                          |   |              |   |   |                |          |   |  |  |
|----------------------------------------------------------|---|--------------|---|---|----------------|----------|---|--|--|
| 324. One Up Games LLC(Note )                             |   | None         | N | T |                |          |   |  |  |
| 325. Romulus Capital II US Feeder LP                     |   | None         | N | U | Buy<br>(add'l) | 10/31/14 | M |  |  |
| 326. Storypanda Enterprises Inc(Conv<br>Promissory Note) |   | None         | K | T |                |          |   |  |  |
| 327. Tengrade Inc (Preferred)                            |   | None         | M | T | Buy<br>(add'l) | 05/27/14 | K |  |  |
| 328.                                                     |   |              |   |   | Buy<br>(add'l) | 06/03/14 | K |  |  |
| 329. Linx-Grammer Co LLC                                 | C | Distribution | O | U | Sold<br>(part) | 05/21/14 | K |  |  |
| 330.                                                     |   |              |   |   | Sold<br>(part) | 08/22/14 | J |  |  |
| 331. NYS Dorm 4% Due 5/15/17                             | C | Interest     | M | T |                |          |   |  |  |
| 332. State of NY Thruway 4 % Due 3/15/15                 | C | Interest     | M | T |                |          |   |  |  |
| 333. Triborough Bridge 5 1/4 % Due 11/15/14              | D | Interest     |   |   | Matured        | 11/17/14 | M |  |  |
| 334. NYS Urban Dev 5% Due 1/1/14                         | D | Interest     |   |   | Matured        | 01/02/14 | N |  |  |
| 335. State of NY Dorm 5 % Due 7/1/16                     | E | Interest     | N | T |                |          |   |  |  |
| 336. Lake Placid NY 5 % Due 6/15/16                      | D | Interest     | N | T |                |          |   |  |  |
| 337. Onondaga Cnty NY TR Cult 5 % Due<br>12/1/15         | D | Interest     | M | T |                |          |   |  |  |
| 338. MTA Rev BD 5.5 % Due 1/1/15                         | E | Interest     | O | T |                |          |   |  |  |
| 339. West Seneca NY 4 % Due 11/15/17                     | E | Interest     | O | T |                |          |   |  |  |
| 340. NY NY Ser C 5 % Due 8/1/17                          | E | Interest     | O | 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

McMahon, Colleen

Date of Report

08/11/2015

## 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) |
| 341. State of NY Dorm 3 % Due 3/1/15                                                                                        | D                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 342. Tarrytown NY 4 % 4 % Due 5/1/18                                                                                        | E                                       | Interest                                      | O                                               | T                                         | Buy                                             | 01/07/14                | O                               |                                |                                                                   |
| 343. Tailwind Capital Partners II LP                                                                                        |                                         | None                                          | P1                                              | U                                         | Buy<br>(add'l)                                  | 01/17/14                | P1                              |                                | See Note # 11                                                     |
| 344.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/17/14                | L                               |                                |                                                                   |
| 345.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/26/14                | K                               |                                |                                                                   |
| 346.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/31/14                | L                               |                                |                                                                   |
| 347.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/24/14                | O                               |                                |                                                                   |
| 348.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/19/14                | O                               |                                |                                                                   |
| 349. --TowerCo 2013                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 11/24/14                |                                 |                                | See Note # 11                                                     |
| 350. --Diamondback Drugs                                                                                                    |                                         |                                               |                                                 |                                           | Buy                                             | 12/19/14                |                                 |                                | See Note # 11                                                     |
| 351. --Long's Drugs                                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 01/07/14                |                                 |                                | See Note # 11                                                     |
| 352. Uniserv LLC                                                                                                            |                                         | None                                          | M                                               | U                                         | Buy<br>(add'l)                                  | 06/13/14                | M                               |                                |                                                                   |
| 353.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/31/14                | K                               |                                |                                                                   |
| 354. Trust # 4                                                                                                              | G                                       | Int./Div.                                     | P2                                              | T                                         |                                                 |                         |                                 |                                | See Note # 7                                                      |
| 355. --Safebulkers Inc Ser B 8 % Preferred                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 356. --Principal Global Diversified Income Fd Cl A                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 357. --Thornburg Income Builders Cl 1                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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

McMahon, Colleen

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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) |
| 358. --Thornburg Global Opp Fd Cl 1                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 09/04/14                | P1                              |                                |                                                                   |
| 359. --Thornburg Intl Value Fd 1                                                                                            |                                         |                                               |                                                 |                                           | Buy                                             | 09/04/14                | O                               |                                |                                                                   |
| 360. --Thornburg Limited Term Inc Cl 1                                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 09/04/14                | P1                              |                                |                                                                   |
| 361. --UBS Bank USA Dep Account                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 362. --JP Morgan Checking                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 363. --Nextremity Solutions Inc (Conv<br>Promissory Note )                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 364. --EOS Sleep Management LLC                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 365. Trust # 3                                                                                                              |                                         | None                                          | P1                                              | U                                         |                                                 |                         |                                 |                                | See Note # 7                                                      |
| 366. --Tactics II Ser B Preferred                                                                                           |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 03/11/14                | O                               |                                | See Note # 5-To Line<br># 368                                     |
| 367.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 03/11/14                | J                               |                                |                                                                   |
| 368. --Cellular Dynamics International Inc<br>(Preferred A)                                                                 |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 366)                      | 03/11/14                | O                               |                                | See Note # 6                                                      |
| 369.                                                                                                                        |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 373)                      | 03/11/14                | P1                              |                                | See Note # 6                                                      |
| 370.                                                                                                                        |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 375)                      | 03/11/14                | O                               |                                | See Note # 6                                                      |
| 371.                                                                                                                        |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 377)                      | 03/11/14                | O                               |                                | See Note # 6                                                      |
| 372.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/09/14                | P1                              |                                |                                                                   |
| 373. --Tactics II Stem Cell Ventures QP LP                                                                                  |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 03/11/14                | P1                              |                                | See Note # 5-To Line<br>#369                                      |
| 374.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 03/11/14                | 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 \$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                                              |                         |

**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) |
| 375. --Tactics II CDI Servies B Investors III LLC                                                                           |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 03/11/14                | O                               |                                | See Note # 5-To Line<br># 370                                     |
| 376.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 03/11/14                | J                               |                                |                                                                   |
| 377. --Tactics II Venture LP                                                                                                |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 03/11/14                | O                               |                                | See Note # 5-To Line<br># 371                                     |
| 378.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 03/11/14                | J                               |                                |                                                                   |
| 379. Tailwind Capital Partners II (GP)LP                                                                                    |                                         | None                                          | N                                               | U                                         | Buy<br>(add'l)                                  | 01/17/14                | N                               |                                | See Note # 11                                                     |
| 380.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/19/14                | J                               |                                |                                                                   |
| 381.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/19/14                | K                               |                                |                                                                   |
| 382.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/31/14                | J                               |                                |                                                                   |
| 383. Island Air LLC                                                                                                         |                                         | None                                          | M                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 384. Vonage Holdings Corp(Com)                                                                                              |                                         | None                                          |                                                 |                                           | Sold<br>(part)                                  | 06/04/14                | N                               | E                              |                                                                   |
| 385.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/04/14                | M                               | G                              |                                                                   |
| 386.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 12/19/14                | K                               | E                              |                                                                   |
| 387. The Yard (Promissory Note)                                                                                             | C                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 388. RGI Partners B LP                                                                                                      | E                                       | Distribution                                  | L                                               | U                                         |                                                 |                         |                                 |                                | See Note # 1                                                      |
| 389. Qualys Inc (com)                                                                                                       |                                         | None                                          |                                                 |                                           | Spinoff<br>(from line 30)                       | 08/05/14                | J                               |                                | See Note # 6                                                      |
| 390.                                                                                                                        |                                         |                                               |                                                 |                                           | Donated                                         |                         |                                 |                                |                                                                   |
| 391. Quintiles Transnational Holdings Inc (Com)                                                                             |                                         | None                                          |                                                 |                                           | Spinoff<br>(from line 44)                       | 01/23/14                | K                               |                                | See Note # 6                                                      |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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                                              |                         |

**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) |
| 392.                                                                                                                        |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 87)                       | 01/23/14                | K                               |                                | See Note # 6                                                      |
| 393.                                                                                                                        |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 158)                      | 01/23/14                | K                               |                                | See Note # 6                                                      |
| 394.                                                                                                                        |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 163)                      | 01/23/14                | J                               |                                | See Note # 6                                                      |
| 395.                                                                                                                        |                                         |                                               |                                                 |                                           | Donated                                         |                         |                                 |                                |                                                                   |
| 396. Zeltiq Aesthetics Inc (Com)                                                                                            |                                         | None                                          |                                                 |                                           | Spinoff<br>(from line 183)                      | 01/23/14                | J                               |                                | See Note # 6                                                      |
| 397.                                                                                                                        |                                         |                                               |                                                 |                                           | Donated                                         |                         |                                 |                                |                                                                   |
| 398. Durata Therapeutics Inc (Com)                                                                                          |                                         | None                                          |                                                 |                                           | Spinoff<br>(from line 184)                      | 05/20/14                | J                               |                                | See Note # 6                                                      |
| 399.                                                                                                                        |                                         |                                               |                                                 |                                           | Donated                                         |                         |                                 |                                |                                                                   |
| 400. Invensense Inc. (Com)                                                                                                  |                                         | None                                          |                                                 |                                           | Spinoff<br>(from line 267)                      | 03/14/14                | J                               |                                | See Note # 6                                                      |
| 401.                                                                                                                        |                                         |                                               |                                                 |                                           | Donated                                         |                         |                                 |                                |                                                                   |
| 402. Radius Networks Inc (Com)                                                                                              |                                         | None                                          | O                                               | T                                         | Spinoff<br>(from line 277)                      | 04/10/14                | O                               |                                | See Note # 6                                                      |
| 403. Moolagram Inc (Preferred Ser A-2 )                                                                                     |                                         | None                                          | O                                               | T                                         | Spinoff<br>(from line 278)                      | 04/10/14                | O                               |                                | See Note # 6                                                      |
| 404. Safebulkers Ser D 8 % Preferred                                                                                        |                                         | None                                          | M                                               | T                                         | Buy                                             | 06/30/14                | M                               |                                |                                                                   |
| 405. ChartIQ LLC                                                                                                            |                                         | None                                          | M                                               | U                                         | Buy                                             | 10/27/14                | M                               |                                |                                                                   |
| 406. Transplant Genomics Inc (Convertible Note)                                                                             |                                         | None                                          | M                                               | T                                         | Buy                                             | 04/17/14                | M                               |                                |                                                                   |
| 407. Transplant Genomics Inc( Preferred A)                                                                                  |                                         | None                                          | L                                               | T                                         | Buy                                             | 11/19/14                | L                               |                                |                                                                   |
| 408. Gravitas Technology Service LLC                                                                                        | A                                       | Distribution                                  | PI                                              | U                                         | Buy                                             | 12/15/14                | O                               |                                | See Note # 1                                                      |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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                  |                                 |                         |

**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) |
| 409. Real Endpoints LLC                                                                                                     |                                         | None                                          | N                                               | U                                         | Buy                                             | 06/30/14                | M                               |                                |                                                                   |
| 410. Valuestream Development Lab Fund LLC                                                                                   |                                         | None                                          | M                                               | U                                         | Buy                                             | 11/04/14                | M                               |                                |                                                                   |
| 411. Romulus Placester Special Opportunity Fd                                                                               |                                         | None                                          | L                                               | U                                         | Buy                                             | 12/04/14                | L                               |                                |                                                                   |
| 412. Grove Hospitality Asia GP LLC                                                                                          |                                         | None                                          | J                                               | U                                         | Buy                                             | 12/23/14                | J                               |                                |                                                                   |
| 413. Grove Hospitality Europe GP LLC                                                                                        |                                         | None                                          | J                                               | U                                         | Buy                                             | 12/23/14                | J                               |                                |                                                                   |
| 414. Grove Aurelis II GP LLC                                                                                                |                                         | None                                          | J                                               | U                                         | Buy                                             | 12/23/14                | J                               |                                |                                                                   |
| 415. GN WMC LLC                                                                                                             |                                         | None                                          | J                                               | U                                         | Buy                                             | 12/23/14                | J                               |                                |                                                                   |
| 416. Romulus Cohealo Special Opportunity Fund LP                                                                            |                                         | None                                          | M                                               | U                                         | Buy                                             | 09/16/14                | M                               |                                |                                                                   |
| 417. Invesco International Growth A (401k)                                                                                  |                                         | None                                          | M                                               | T                                         | Buy                                             | 12/15/14                | M                               |                                |                                                                   |
| 418. Safebulkers Inc (Ser C Preferred) (IRA)                                                                                | C                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 04/30/14                | M                               |                                |                                                                   |
| 419. Safebulkers Inc (Ser D 8 % Preferred)                                                                                  | D                                       | Dividend                                      | M                                               | T                                         | Buy                                             | 06/23/14                | M                               |                                |                                                                   |
| 420. NY NY 5 % Due 3/1/17                                                                                                   | C                                       | Interest                                      | M                                               | T                                         | Buy                                             | 02/04/14                | M                               |                                |                                                                   |
| 421. City of NY 5 % Due 1/15/19                                                                                             | B                                       | Interest                                      | M                                               | T                                         | Buy                                             | 02/05/14                | M                               |                                |                                                                   |
| 422. NY S Urban Dev 5 % Due 3/15/18                                                                                         | D                                       | Interest                                      | O                                               | T                                         | Buy                                             | 03/17/14                | O                               |                                |                                                                   |
| 423. NYC NY TRans 5 % Due 11/1/19                                                                                           | C                                       | Interest                                      | M                                               | T                                         | Buy                                             | 05/22/14                | M                               |                                |                                                                   |
| 424. Met Trans Authority 5 % Due 11/15/18                                                                                   | D                                       | Interest                                      | N                                               | T                                         | Buy                                             | 05/27/14                | N                               |                                |                                                                   |
| 425. NYS Dorm 5 % Due 2/15/17                                                                                               | A                                       | Interest                                      | M                                               | T                                         | Buy                                             | 07/25/14                | M                               |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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                  |                                 |                         |

**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) |

|                                                  |   |          |   |   |                    |          |   |  |  |
|--------------------------------------------------|---|----------|---|---|--------------------|----------|---|--|--|
| 426. NY NY Unlimited Tax 5 % Due 8/1/18          |   | None     | M | T | Buy                | 09/19/14 | M |  |  |
| 427. NYS Thruway Auth 4 % Due 1/1/17             |   | None     | N | T | Buy                | 10/24/14 | N |  |  |
| 428. NYS Thruway 5 % Due 5/1/19                  |   | None     | O | T | Buy                | 11/04/14 | N |  |  |
| 429.                                             |   |          |   |   | Buy<br>(add'l)     | 11/24/14 | M |  |  |
| 430. NYS Dormitory 5 % Due 7/1/18                |   | None     | N | T | Buy                | 11/04/14 | N |  |  |
| 431. NYS Dormitory 5 % Due 3/15/19               |   | None     | N | T | Buy                | 11/06/14 | N |  |  |
| 432. Nassau County NY 5 % Due 10/1/19            |   | None     | N | T | Buy                | 11/18/14 | N |  |  |
| 433. Rochester NY 4 % Due 2/15/19                |   | None     | O | T | Buy                | 11/26/14 | O |  |  |
| 434. Personalized Cancer Therapy Inc (Com)       |   | None     | N | T | Buy                | 11/13/14 | N |  |  |
| 435. Romulus ELC B3 Special Opportunity LP       |   | None     | M | U | Buy                | 10/08/14 | M |  |  |
| 436. Prospect Hill Association (Short term loan) | A | Interest |   |   | Buy                | 05/14/14 | K |  |  |
| 437.                                             |   |          |   |   | Redeemed<br>(part) | 08/01/14 | J |  |  |
| 438.                                             |   |          |   |   | Redeemed           | 09/17/14 | K |  |  |
| 439. Sommetrics, Inc (Preferred Ser B)           |   | None     | N | T | Buy                | 07/28/14 | N |  |  |
| 440. RetSKU Inc (Senior Convertible Note)        |   | None     | K | T | Buy                | 04/29/14 | K |  |  |
| 441. Sensai Corp (Convertible Note)              |   | None     | M | T | Buy                | 10/28/14 | M |  |  |
| 442. Cycle Pharmaceuticals LTD (Ser A Shares)    |   | None     | O | T | Buy                | 06/25/14 | O |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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                                              |                         |

**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) |

|                                           |   |              |   |   |                |          |   |   |               |
|-------------------------------------------|---|--------------|---|---|----------------|----------|---|---|---------------|
| 443. Free ATM Inc (Ser A Preferred)       |   | None         | K | T | Buy            | 04/28/14 | K |   |               |
| 444. Engage Simply Inc (Convertible Note) |   | None         | K | T | Buy            | 05/27/14 | K |   |               |
| 445. Build and Imagine LLC                |   | None         | K | U | Buy            | 08/19/14 | K |   |               |
| 446. Call Rail Investors LLC              |   | None         | M | U | Buy            | 12/18/14 | M |   |               |
| 447. Apprennet LLC                        |   | None         | L | U | Buy            | 03/31/14 | L |   |               |
| 448. Linx-Transpro Co-Invest LLC          |   | None         | M | U | Buy            | 07/08/14 | M |   |               |
| 449. Vocalocity Inc (X)                   |   | None         |   |   | Sold           | 04/22/14 | J | C | See Note # 12 |
| 450. Tidewater Acquisition Inc (X)        |   | None         |   |   | Sold           | 12/31/14 | J | C | See Note # 12 |
| 451. Thompson Trucking Inc (X)            |   | None         |   |   | Sold           | 12/31/14 | K | E | See Note # 12 |
| 452. Linx-Gullett Co-Invest LLC           | D | Distribution | N | U | Buy            | 01/02/14 | M |   | See Note # 1  |
| 453.                                      |   |              |   |   | Buy<br>(add'l) | 03/31/14 | K |   |               |
| 454.                                      |   |              |   |   | Sold<br>(part) | 03/27/14 | J |   |               |
| 455.                                      |   |              |   |   | Sold<br>(part) | 06/06/14 | J |   |               |
| 456.                                      |   |              |   |   | Sold<br>(part) | 09/12/14 | J |   |               |
| 457.                                      |   |              |   |   | Sold<br>(part) | 10/24/14 | K |   |               |
| 458.                                      |   |              |   |   | Sold<br>(part) | 12/12/14 | 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 \$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**

Page 32 of 34

Name of Person Reporting

McMahon, Colleen

Date of Report

08/11/2015

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

Note #1

Explanation Re:Section VII ,

Item # 8,28,52,58,60,64,65,70,76,82,97,101,122,123,124,129,135,136,175,185,188,191,204,225,251,254,260,267,269,273,314,388,408,452

The income from investments in Limited partnerships usually contain more than one type of income. For income valuation purposes,the various amounts were combined to determine the amount code in column B(1)The type of income in column B(2)is labeled "distribution", to denote more then one category of income indicated on schedule K-1 received from the partnership.

Note # 2

Explanation Section VII

Item # 56

Menemsha Capital Partners Ltd is a Sub-chapter S corporation owned 100% by Judge McMahon's [REDACTED]

Note # 3

Explanation Section VII

Item # 114,153,221,237,271,279,304

These investments are worthless as of December 31, 2014. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2014. The value in Column D(3) is blank since no value was derived from the worthless investment.

Note # 4

Explanation Section VII

Item # 129-134, 136-152

The Judge's [REDACTED] a Managing partner of Tailwind Capital Partners LP and Tailwind Capital Partners (GP) LP . The partnerships have ownership interests in the companies listed.The costs of the ownership interests are included in the Gross value at the end of the reporting period indicated on line # 129 Tailwind Capital Partners LP Column C(1) and line # 136 Tailwind Capital Partners( GP) LP, Column C(1). In addition,the proceeds of the sale of the investments are included on line 130-134 and 137-142 . The invested companies are listed on lines 143 thru 152.

Note # 5

Explanation Section VII

Item # 30,44,87,158,163,183,184,267,277,278,366,373,375,377

The Limited Partnership distributed shares of securities that were purchased and held by the partnership. This information is noted as "Distributed " in Column D(1). The date the shares were distributed is listed in Column D(2). The value in Column D(3) is the distributee's pro rata share of the aquisition cost of the assets by the Limited Partnership, as reported by the General Partner. The transfer relates only to the specific security The entire partnership was not transferred.

Note # 6

Explanation Section VII

Item # 368,369,370,371,389,391,392,393,394,396,398,400,402,403

These securities were not purchased but were received from time to time as in-kind distributions from the various Limited Partnerships.. These securities are listed as "Spinoff" in column D(1). The date in column D(2) is the effective date of the distribution. The Value in Column D (3) is the distributee's pro rate share of the acquisition costs of the assets by the Limited Partnership, as reported by the General Partner.

Note # 7

Explanation Section VII

Item # 354-378

The Judge's [REDACTED] two trusts- Trust # 3 and Trust # 4. He is the Grantor and Trustee of these trusts. The income reported by the trusts are taxed to the Grantor. The beneficiaries of the trusts are the Judge's independent [REDACTED]. The total assets of the Trusts are listed on line # 354 C(1) and line # 365 C(1).

Note # 8

Explanation Section VII

Item # 5,117,214,215,249

The assets held in Trust # 2 were distributed to the remaining beneficiary as per the trust agreement.

Note # 9

Explanation Section VII

Item # 50,81,113,244

The partnership terminated during 2014. The partner's capital account was reduced to zero due to a loss incurred by the partnership and as a result "Closed" was entered in Section VII column D(1) the date of December 31, 2014 was entered in Column D(2) and no value was entered in Section VII column D(3).

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McMahon, Colleen

Date of Report

08/11/2015

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

Note # 10

Explanation Section VII

Item # 222,281

The loans reported on the prior reports were indirect investments by the Judge's [REDACTED] in 71 Smith Street LLC. The amounts will be repaid from future distributions made by the partnership.

See Note # 11

Explanation Section VII

Item # 343-351 ,379-382

The Judge's [REDACTED] is a Managing Partner of Tailwind Capital Partners II LP and Tailwind Capital Partners II (GP) LP. The partnerships have ownership interests in the companies listed (349-351). The cost of the ownership interests are included in the Gross Value at the end of the reporting period indicated on line # 343 & 379, Column C(1).

The purchase of the companies listed are included in the partners capital contributions listed on line # 343-346 and 379-381 in section D(2) and D(3).

Note # 12

Explanation Section VII

Item # 449,450,451

Escrow income subject to various contingencies was received in 2014. The applicable securities were sold in prior years. The cost of the securities was zero.

**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/ Colleen McMahon**

**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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