

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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

1. Person Reporting (last name, first, middle initial) McMahon, Colleen	2. Court or Organization US District Court-Southern Dis	3. Date of Report 08/13/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 500 Pearl Street New York, NY 10007 Chambers 640 Moynihan Courthou		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

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	Trust #2
3.	Trustee	Foundation #1
4.	Director	Music Bridges International Inc
5.	Director	The Yard

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

☒ NONE (No reportable agreements.)

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

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
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. 2011	CSG Systems Inc-Director Fee
2. 2011	Kohl's Department Stores Inc-Director Fee
3. 2011	Managing Director
4. 2011	Safe Bulkers Inc -Director Fee
5. 2011	Jet Blue Airways Corp-Director Fee
6. 2011	Ltd-Employee
7. 2011	Linux Partners LLC_Director Fee
8. 2011	Morgan Stanley-Pension Income
9. 2011	Herrick and Company -Commitment Fee

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.	JP Morgan Bank	Credit Card	L
2.	Internal Revenue Service	Federal Income Taxes	PI
3.	New York State	NYS Income Tax	PI
4.			
5.			

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

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

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

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)		None	N	T					
4. Morgan Stanley Venture Investors III LP (IRA)	A	Distribution	K	U					See Note # 1
5. Kohl's Corp Com (Trust #2)	C	Dividend	M	T					
6. Morgan Stanley Venture Investors III LP	A	Distribution	K	U					See Note # 1
7. EES 1986 LP		None	J	U					
8. Skyline Venture Partners,L.P.	F	Distribution	L	U	Sold (part)	11/28/11	M		See Note # 1
9. MSCP III L.P.		None	J	U					
10. 1998 300,000)		None	N	R					
11. 1998 300,000)		None	N	R					
12. Bond Finance International Con Due 11/23/2058(IRA)		None	J	T					
13. Northwestern Mututal Life		None	K	T					
14. EVILCO Life Insurnace (Trust # 1)		None	J	T					
15. Northwestern Mututal Life (Trust#1)	A	Interest	N	T					
16. Northwestern Mututal Life(Trust #1)		None	M	T					
17. Madison National Life Ins(Trust # 1)	A	Interest	N	T					

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

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18. Passport Money Market Fund (IRA)		None	J	T					
19. SFM Domestic Investments LLC		None	P1	U	Distributed (part)	12/12/11	L		See Note # 5 To line # 351
20.					Distributed (part)	12/12/11	M		See Note # 5-To line # 352
21. CSG Systems International Inc.Com		None	N	T	Buy	08/16/11	L		
22. Summit Mariner, LLC		None	P1	U					
23. Skyline Venture Partners Qualified Purchase Fund II		None	L	U					
24. Trident Capital Fund-IV LP		None	M	U					
25. Sentinel Capital Partners II LP		None	L	U					
26. Summit Mariner LLC/JP Morgan Checking	A	Interest	L	T					
27. Rental # 1 /JPMorgan Checking		None	K	T					
28. Rental # 2 New York, NY(1999 \$ 900,000)	E	Rent	P1	R					
29. Rental # 2/JP Morgan -Checking	A	Interest	K	T					
30. JP Morgan(Checking)-		None	M	T					
31. Andex Resources LLC		None	J	U					
32. Vacant Land (1999 \$ 425,000)		None	N	R					
33. Five Point Fund LLC		None	K	U	Sold (part)	09/28/11	J		
34. Trident Capital Fund V LP		None	N	U	Buy (add'l)	03/08/11	J		

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35.					Buy (add'l)	11/15/11	K		
36.					Sold (part)	06/10/11	K		
37. Linux Partners (Q) LP	G	Distribution	P1	U	Sold (part)	02/17/11	N		See Note # 1
38.					Sold (part)	09/09/11	N		
39.					Sold (part)	06/24/11	K		
40. Grove Capital Commitment Partners LP	G	Distribution	M	U	Buy (add'l)	07/21/11	J		See Note # 1
41.					Sold (part)	07/21/11	M		
42. Martha's Vineyard Golf Partners LLC		None	K	U					
43. Silvaris Corp Preferred B		None	N	U					
44. JP Morgan (Checking)	B	Interest	P1	T					
45. NY State Dorm.Auth 6.1% due 07/19	E	Interest	O	T	Sold (part)	07/06/11	K	A	
46. Rome NY HSG DEV 6.25% due 01/18	C	Interest			Sold (part)	01/03/11	J		
47.					Sold	03/22/11	L	A	
48. Oneida Cnty NY 6.25% due 06/15	E	Interest	N	T	Sold (part)	06/01/11	K		
49.					Sold (part)	12/01/11	L		
50. JK & B Capital IV QIP LP		None	P1	U	Buy (add'l)	01/10/11	K		
51.					Buy (add'l)	06/08/11	K		

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52.					Buy (add'l)	10/11/11	K		
53.					Sold (part)	02/14/11	L		
54.					Sold (part)	09/07/11	J		
55. Perseus Biopharmaceutical Investor LP		None	O	U	Buy (add'l)	01/10/11	L		
56.					Buy (add'l)	05/16/11	K		
57.					Buy (add'l)	12/14/11	K		
58.					Distributed (part)	03/15/11	L		See Note#5 To line # 354
59.					Distributed (part)	06/02/11	K		See Note#5-To line # 355
60. Skyline Venture Partners Qualified Purchaser Fund III LP		None	M	U	Sold (part)	04/25/11	K		
61.					Sold (part)	12/16/11	L		
62.					Distributed (part)	02/14/11	K		See Note#5 - To line 362
63.					Distributed (part)	11/09/11	K		See Note#5-To line 363
64. Towerbrook Private Equity Partners II LP	H1	Distribution	J	U	Sold (part)	04/16/11	P2		See Note # 1
65.					Sold (part)	08/29/11	O		
66. SPEP Limited Partners LLC	H1	Distribution	P1	U	Sold (part)	02/17/11	P1		See Note # 1
67.					Sold (part)	04/14/11	P1		
68.					Sold (part)	12/13/11	M		

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69. Grove II LP	E	Distribution	J	U	Buy (add'l)	01/26/11	J		See Note # 1
70.					Sold (part)	01/26/11	K		
71. Tactics II LP		None	O	U					
72. JP Morgan Checking(Foundation #1)	A	Interest	M	T					
73. MM Community Funding III Sub Note		None	N	T					
74. OR Music LLC		None	K	U					
75. SFM Participation LP		None	J	U					
76. Capital Income Builders Fd CI A(IRA)	B	Dividend	K	T					
77. Kinderhook Capital I LP		None	P1	U	Buy (add'l)	01/26/11	K		
78.					Sold (part)	01/26/11	O		
79. Capital World Grth & Income Fd CI A(IRA)	C	Dividend	M	T					
80. Thornburg CRE GWT I		None	L	T					
81. JP Morgan Tax Free MM Premier Sweep	A	Interest	N	T					
82. R Thompson Trucking(Subordinated Note)		None			Sold	01/02/11	K		
83. R Thompson Trucking(Corn)		None	K	U					
84. [REDACTED] Ltd	E	Distribution	P1	U					See Note # 1 & Note # 2
85. --Snow Beverage Corp (Preferred C)		None			Sold	11/18/11	J		See Note # 2

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86. --Snow Beverage Corp(Promissory Note)		None			Buy	01/11/11	L		See Note # 2
87.					Buy (add'l)	06/10/11	L		See Note # 2
88.					Sold	11/18/11	J		See Note # 2
89. --Dynova Laboratories Inc (Com)		None			Buy (add'l)	01/20/11	M		See Note # 2
90. Camulos Partners LP		None	N	U	Sold (part)	02/28/11	M		
91.					Sold (part)	06/03/11	L		
92.					Sold (part)	11/14/11	K		
93. Capital SLI Group LLC		None	J	U					
94. CGI Partners,LP		None	P2	U	Buy (add'l)	03/18/11	J		
95.					Sold (part)	03/04/11	M		
96.					Sold (part)	07/01/11	O		
97. Micell Technologies Inc.(Com)		None	K	U					
98. East 57th Street LLC		None			Closed	12/31/11			See Note # 3
99. ICP D200 LLC		None			Closed	12/31/11			See Note # 3
100. ICP 2800A LLC		None			Closed	12/31/11			See Note # 3
101. Linx Partners II LP	E	Distribution	P1	U	Buy (add'l)	07/19/11	O		See Note # 1
102.				U	Buy (add'l)	02/14/11	K		

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103.					Sold (part)	08/26/11	K		
104.					Sold (part)	12/14/11	N		
105.					Sold (part)	07/19/11	K		
106. Lone Cypress Company Ltd	E	Distribution	P1	U	Sold (part)	06/28/11	M		See Note # 1
107. Sentinel Capital Investors III LP	G	Distribution	O	U	Sold (part)	04/01/11	K		See Note # 1
108.					Sold (part)	06/23/11	K		
109.					Sold (part)	08/29/11	K		
110.					Sold (part)	10/12/11	L		
111.					Sold (part)	11/30/11	M		
112. SFM Participation II LP	H1	Distribution	P2	U	Buy (add'l)	06/30/11	P1		See Note # 1
113.					Buy (add'l)	09/30/11	N		
114.					Sold (part)	09/30/11	O		
115.					Sold (part)	03/31/11	J		
116.					Sold (part)	06/30/11	P1		
117.					Sold (part)	09/19/11	L		
118. North Salem Acquisition & Development Fund 2005 LP	E	Distribution	J	U	Sold (part)	01/28/11	J		See Note # 1
119.					Sold (part)	07/29/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	10/31/11	J		
121.					Sold (part)	12/07/11	J		
122. Thornburg Core Growth C1 A (IRA)		None	M	T					
123. Thornburg Invst Tr Intl Value C1 I	A	Dividend	K	T					
124. Jetblue (Com)		None	N	T					
125. West 12th St LLC	G	Distribution	P1	U	Buy (add'l)	05/09/11	M		See Note # 1
126.					Sold (part)	01/12/11	P1		
127. Aisling Capital II LP		None	P1	U	Buy (add'l)	02/01/11	L		
128.					Buy (add'l)	12/22/11	M		
129.					Sold (part)	02/01/11	M		
130.					Sold (part)	12/22/11	M		
131. By The Way Productions LLC	B	Distribution	J	U					See Note # 1
132. J K & B Capital V LP		None	P1	U	Buy (add'l)	02/14/11	L		
133.					Buy (add'l)	05/18/11	M		
134.					Buy (add'l)	06/28/11	M		
135.					Buy (add'l)	09/21/11	L		
136.					Buy (add'l)	11/07/11	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold (part)	04/05/11	K		
138. SEEF II LP		None	P1	U	Buy (add'l)	12/12/11	M		
139. Towerbrook Investors II Executive Fund LP	G	Distribution	P1	U	Sold (part)	07/13/11	P1		See Note # 1
140.					Sold (part)	12/15/11	M		
141. Trident VI LP		None	N	U					
142. Kinderhook Capital Fund II LP		None	P2	U	Buy (add'l)	01/17/11	L		
143.					Buy (add'l)	04/07/11	L		
144.					Buy (add'l)	05/20/11	M		
145.					Buy (add'l)	09/14/11	L		
146.					Buy (add'l)	11/30/11	K		
147.					Sold (part)	05/20/11	N		
148. Kohls Corp (Com).	D	Dividend	O	T	Buy (add'l)	03/08/11	L		
149.					Buy (add'l)	05/23/11	L		
150. KPB Partners LP	F	Distribution	P1	U					See Note # 1
151. NYS Dormitory Authority 5.25% due 11/15/23	D	Interest	M	T					
152. Brookhaven NY 4.25% 1due 11/1/37	E	Interest			Sold (part)	10/31/11	P1		
153.					Sold	11/01/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. Dutchess County NY 5 % due 8/1/11	E	Interest			Redeemed	08/01/11	O		
155. City of NY Genl Pur 5 % due 8/1/12	E	Interest	O	T					
156. NYS Dormitory Adj rate due 11/15/29	E	Interest	N	T					
157. Thornburg-Income Builder C1 1	C	Dividend	L	T					
158. Thornburg Global Opportunity C1 1	A	Dividend	K	T					
159. Thornburg CRE GWT 1 (Trust # 2)		None	L	T					
160. Morgan Stanley Bank (Savings)	A	Interest	L	T					
161. Thornburg CRE GWT (IRA)		None	J	T					
162. Morgan Stanley Bank-(Savings)	A	Interest	J	T					
163. Inavein LLC		None	J	U					
164. Ironwood Management Partners Fund II LP		None	N	U	Buy (add'l)	02/01/11	K		
165.					Buy (add'l)	07/07/11	K		
166.					Buy (add'l)	09/26/11	N		
167. Linx-Cimarron Energy Co-Invest, LLC	D	Interest	O	U	Sold (part)	01/19/11	J		
168.					Sold (part)	05/06/11	J		
169.					Sold (part)	11/07/11	J		
170.					Sold (part)	12/08/11	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. RGI Partners II B LP		None	P1	U	Buy (add'l)	01/20/11	J		
172.					Sold (part)	01/20/11	L		
173.					Sold (part)	04/14/11	J		
174. RGI Partners Ltd		None	P1	U	Buy (add'l)	02/09/11	L		
175.					Sold (part)	02/09/11	M		
176.					Buy (add'l)	07/05/11	M		
177. SC Capital (P) LP		None	P1	U	Buy (add'l)	04/07/11	K		
178.					Buy (add'l)	06/21/11	K		
179.					Buy (add'l)	09/22/11	K		
180.					Buy (add'l)	12/09/11	K		
181. [REDACTED] LP	G	Distribution	P2	U	Buy (add'l)	08/24/11	K		See Note # 1 & Note #4
182.					Buy (add'l)	12/06/11	N		
183.					Buy (add'l)	01/05/11	K		
184.					Buy (add'l)	08/01/11	M		
185.					Buy (add'l)	12/19/11	O		
186.					Sold (part)	03/03/11	N		
187.					Sold (part)	06/15/11	N		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. [REDACTED] Management LP	G	Distribution	P1	U	Sold (part)	12/21/11	N		See Note # 1
189.					Sold (part)	12/30/11	O		
190. [REDACTED] LP	G	Distribution	P1	U	Buy (add'l)	01/26/11	M		See Note # 1 & Note #4
191.					Sold (part)	03/31/11	O		
192.					Buy (add'l)	08/03/11	M		
193.					Buy (add'l)	08/24/11	M		
194.					Buy (add'l)	12/06/11	O		
195.					Buy (add'l)	12/19/11	P1		
196.					Sold (part)	12/20/11	P1		
197. --Apex Companies LLC		None							See Note #4
198. --Archway Marketing Services Inc		None							See Note #4
199. --Dianet Communications Inc N/C Transit Wireless LLC		None							See Note #4
200. --Freedom Innovations LLC		None							See Note #4
201. --Hamilton State Bancshares Inc		None							See Note #4
202. --Oceus Networks Inc.		None							See note # 4
203. --Nautilus Neurosciences Inc		None							See Note #4
204. --Optimal Solutions Integration,Inc		None							See Note #4

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. --PetMedicus Laboratories Inc		None			Closed	12/31/11			See Note #3., Note # 4
206. --Pillar Processing Inc		None			Closed	12/31/11			See Note #3 Note # 4
207. --SDI Health LLC		None			Sold	10/31/11			See Note #4
208. --TowerCo II Holdings LLC		None							See Note #4
209. --Versapharm		None							See Note #4
210. --Cumberland Consulting Group LLC		None			Buy	12/06/11			See Note #4
211. --RE Transportation Inc		None			Buy	12/14/11			See Note #4
212. Camulos Special Situations Fund LP		None	K	U					
213. Wall Street Sources Inc(Com)		None	O	U					
214. Navagate Inc (Promissory Note)		None	P1	T					
215. Omnilink Systems Inc (Ser B Preferred Stock)		None	P1	U					
216. American Home Food Products Inc (Com)		None	N	U					
217. Partners		None	N	T	Buy (add'l)	01/10/11	J		
218.					Buy (add'l)	05/16/11	K		
219.					Buy (add'l)	12/14/11	K		
220.					Sold (part)	12/14/11	K		
221.					Distributed (part)	03/15/11	K		See Note # 5-To line # 356

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

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

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

222.					Distributed (part)	06/2/11	K		See Note # 5 To line # 357
223. Syndicate Holdings Corp(Com)		None	N	U	Sold (part)	03/15/11	M		
224. NYS Dorm 5.75 Due 7/1/13	F	Interest	O	T	Sold (part)	07/01/11	M		
225. City of NY 5.5 % Due 8/1/12	B	Interest	L	T					
226. State of NY Mtg Agency 3.125 % Due 10/1/11	D	Interest			Sold (part)	07/15/11	N	A	
227.					Sold	10/03/11	L	A	
228. NYS Dorm 5.7 Due 7/1/13	F	Interest	P1	T					
229. City of NY Health & Hosp 4 % Due 2/15/13	E	Interest	O	T					
230. NYS Mtg Agency 5 % Due 10/1/17	E	Interest	O	T					
231. State of NY Dorm 4 % Due 9/1/12	E	Interest	O	T					
232. State of NY Dorm 4.125 % Due 4/1/13	E	Interest	N	T					
233. BioPharmaceutical Fund LP		None	J	U	Buy (add'l)	01/13/11	J		
234.					Buy (add'l)	05/16/11	J		
235.					Buy (add'l)	12/14/11	J		
236.					Sold (part)	12/14/11	J		
237.					Distributed (part)	03/15/11	J		See Note # 5-To line # 358
238.					Distributed (part)	06/02/11	J		See Note # 5-To Line # 359

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

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

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

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

239. Safe Bulkers Inc(Com)	D	Dividend	M	T	Buy (add'l)	01/12/11	K		
240.					Buy (add'l)	04/11/11	K		
241.					Buy (add'l)	07/05/11	K		
242.					Buy (add'l)	10/11/11	K		
243. ICP D 200 LLC (Working Capital Loan)		None			Closed	12/31/11			See Note # 3
244. West 12th Street LLC(Working Capital Loan)		None	M	T					
245. Artisanal Cheese LLC(Bridge Loan)		None	N	T	Buy (add'l)	07/25/11	M		
246. Nassau Point Partners I LP		None	J	U					
247. Nassau Point Partners II LP		None	J	U					
248. Camulos 1301 I Street LLC		None			Sold	01/02/11	J		
249. Camulos BioEnergy Debt Holdings LLC		None	K	U					
250. Camulos BioEnergy Partners LLC		None	K	U					
251. Camulos Fountain Hills Partners LLC		None	J	U					
252. Camulos Gateway HI Partners LLC		None	J	U					
253. Camulos Gateway RH Partners LLC		None	J	U					
254. Camulos Granite Ridge Partners LLC		None			Sold	01/02/11	M		
255. Asling Investors III LP		None	N	U	Buy (add'l)	01/10/11	J		

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

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

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

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

256.					Buy (add'l)	03/29/11	K		
257.					Buy (add'l)	08/01/11	K		
258.					Buy (add'l)	08/22/11	J		
259.					Buy (add'l)	10/11/11	K		
260.					Buy (add'l)	11/14/11	L		
261. Eastern Growth Capital I LP		None	N	U					
262. Eastern Growth Capital II LP	D	Distribution	N	U					See Note # 1
263. Eastern Growth Capital II LP(IRA)	E	Distribution	O	U					See Note # 1
264. Linx-Metaltech Co Investment LLC	C	Interest	L	U	Sold (part)	06/24/11	J		
265. Olympus Capital Asia IV LP	D	Distribution	O	U	Buy (add'l)	02/14/11	L		See Note # 1
266.					Buy (add'l)	07/07/11	L		
267.					Buy (add'l)	09/13/11	L		
268.					Sold (part)	02/07/11	K		
269.					Sold (part)	07/07/11	K		
270.					Sold (part)	09/13/11	M		
271. Stag Investments IV LP	D	Distribution	N	U	Sold (part)	03/31/11	J		See Note # 1
272.					Sold (part)	05/06/11	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273.					Sold (part)	07/15/11	J		
274.					Sold (part)	07/21/11	J		
275.					Buy (add'l)	10/14/11	J		
276. UBS RMA Tax Free (MM)	A	Interest	M	T					
277. Safe Bulkers Inc (Com)(IRA)	D	Dividend	M	T					
278. Towerbrok Investors III Executive Fund LP	E	Distribution	O	U	Sold (part)	12/19/11	K		See Note # 1
279. Tactics II Stem Cell Ventures QP LP		None	P1	U					
280. Cellular Dynamics International Inc(Pref A)		None	L	U					
281. Target Moderate Alloc Fund A(401k) N/C Inves Van Kampen Equi		None	J	T					
282. Thornburg Intl Val Fd R#(401k)		None	L	T					
283. Vanguard Interm Corp FD(Foundation # 1)	E	Dividend	N	T	Sold (part)	04/20/11	N		
284. Georgia Gulf Corp Com(Foundation # 1)		None	K	T					
285. Morgan Stanley Bank(Saving)(Foundation # 1)	A	Interest	M	T					
286. NYS Dormitory 4 % due 10/1/15	E	Interest	O	T					
287. NYS Dormitory 5.25 due 8/15/15	F	Interest	P1	T	Sold (part)	02/15/11	J		
288.					Sold (part)	08/15/11	J		
289. NYS Dormitory 5.5 due 7/1/16	E	Interest	O	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Morgan Stanley Bank (Trust # 2)	A	Interest	J	T					
291. First Republic Bank(Checking)(Trust # 2)		None	J	T					
292. First Republic Bank (Checking)	A	Interest	M	T					
293. The West Africa Fund LP		None	O	T					
294. NuCana Biomed Ltd (Ordinary Shares) (IRA)		None	O	T	Buy (add'l)	11/23/11	M		
295. Cookstr LLC(Convertible Unsecured Promissory Note)		None	N	T	Buy (add'l)	07/08/11	N		
296. Cordia Bancorp Ser B(Com)(IRA)		None	L	T					
297. ConnectEdu Inc(Com)(IRA)		None	M	T	Buy (add'l)	10/13/11	K		
298. Michael Walsdorf- (Personal Loan-Note Receivable)		None	P1	T					
299. Leo DeSorcy-(Personal Loan-Note Receivable)	D	Interest	N	T	Sold (part)	02/08/11	L		
300. MV Beach Stret Realty(Mortgage Note)	E	Interest	O	T					
301. Beryllium LLC		None	J	U					
302. Kinderhook Capital Fund III LP	A	Distribution	O	U	Buy (add'l)	05/09/11	L		See Note #1
303.					Buy (add'l)	10/20/11	K		
304.					Buy (add'l)	12/20/11	M		
305.					Sold (part)	12/20/11	J		
306. Ommlink Systems Inc(Bridge Loan)		None	M	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. NYS Dormitory 5.25 due 5/15/15	E	Interest	N	T					
308. Nuclea Biotechnologies Inc-Convertible Note		None	L	T					
309. Cordia Bancorp Inc Ser B (Com)		None	N	T					
310. ConnectEDU Ser D (Com)		None	M	T	Buy	10/13/11	K		
311. Rapid Ratings International Inc (Com)		None	O	T	Buy	11/14/11	N		
312. West 12th Street Manager LLC	A	Distribution	J	U	Sold (part)	12/31/11	J		See Note # 1
313. Parkstone Capital Partners LLC	E	Distribution	N	U	Sold (part)	07/01/11	M		See Note # 1
314. Lone Peak Partners Fund LP		None	O	U					
315. Capital Income Fund (IRA)		None			Sold	01/04/11	K		
316. UBS Bank USA Dep MM (IRA)	A	Interest	M	T					
317. Thornburg Core Growth A (Trust # 2)		None	L	T					
318. Erie County NY Pub Imp Unlimited 6 % due 7/1/12	D	Interest			Sold	01/03/11	N		
319. Guam Edu Fin 5 % due 10/1/11	E	Interest			Sold	10/03/11	N		
320. NYS Dorm 5.625 % due 6/1/16	F	Interest	P1	T					
321. NY NY St Environmental FAC 4.5 % due 4/15/15	E	Interest	O	T					
322. NYC Trans Fin Au 1.5 % due 11/1/11	D	Interest			Redeemed	11/01/11	M		
323. NYS Dorm 5.25 % due 11/15/23	D	Interest	M	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. NYS Dorm 5.25 % due 1/1/13	D	Interest	M	T					
325. NYS Dorm 5.25 % due 2/15/13	E	Interest	O	T					
326. City of NY GO 5.5 due 8/1/12	D	Interest	M	T					
327. NYS Dorm 6 % due 8/15/12	E	Interest	O	T					
328. Walmart Stores Inc (Com)		None			Sold	01/26/11	O	E	
329. Williams Co Inc (Del)(Com)		None			Sold	01/26/11	O	F	
330. Tidewater Acquisition Inc(Pref)	D	Dividend	K	T	Sold (part)	02/18/11	K		
331. Tidewater Acquisition Inc(Com)		None			Sold	09/07/11	K		
332. ██████████ LLC		None	K	U					
333. Emerald Biostructures Inc.(Loan)	C	Interest	K	T					
334. Empowered World Ventures LLC(Preferred A)		None	M	T	Buy	09/12/11	M		
335. CSL Energy opportunity Fd I LP		None	M	U	Buy	09/06/11	M		
336. CSL Europe Energy Services LP	A	Distribution	L	U	Buy	10/20/11	L		See Note # 1
337. KCM Long Only Fund LP		None	O	U	Buy	1/27/11	O		
338. Parkstone Capital Partners II LP	F	Distribution	P1	U	Buy	05/09/11	M		See Note # 1
339.					Buy (add'l)	06/22/11	N		
340.					Buy (add'l)	10/19/11	N		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. NY BB Inc (Com)		None			Buy	09/21/11	L		
342.					Sold	10/07/11	L		
343. Tactics II CDI Ser B (Pfd)		None	O	U	Buy	03/22/11	O		
344. Highland Investment Group LLC		None	K	U	Buy	03/22/11	N		
345. Peaks Capital Partners LLC (Promissory Note)		None	M	T	Buy	03/22/11	M		
346. Syracuse NY Ind Dev 3.0 5/11/13	D	Interest	O	T	Buy	01/26/11	O		
347. NYS auth Rev Nonst 5 % 10/1/14	C	Interest	O	T	Buy	08/03/11	O		
348. NYS Energy Res & Dev 2.25 % 12/1/15	C	Interest	O	T	Buy	09/22/11	O		
349. Patchogue Hetford NY Un 4.25 10/1/15		None	O	T	Buy	11/29/11	O		
350. Suffolk Cnty NY Trans 1.5 % 9/1/12		None	P1	T	Buy	12/28/11	O		
351. Ceres Inc (Com)		None	L	T	Spinoff (from line 19)	12/12/11	L		See Note # 6
352. Artiman Venture Fund LP	C	Distribution	M	U	Spinoff (from line 20)	12/12/11	M		See Note # 1 & Note #6
353.					Sold (part)	12/12/11	K		
354. MAP Pharmaceuticals Inc(Com)		None			Spinoff (from line 58)	03/15/11	L		See Note # 6
355.					Spinoff (from line 59)	06/02/11	K		See Note # 6
356.					Spinoff (from line 221)	03/15/11	K		See Note # 6
357.					Spinoff (from line 222)	06/02/11	K		See Note # 6

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

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358.					Spinoff (from line 237)	03/15/11	J		See Note # 6
359.					Spinoff (from line 238)	06/02/11	K		See Note # 6
360.					Donated (part)				
361.					Donated (part)				
362.					Spinoff (from line 62)	02/14/11	K		See Note # 6
363.					Spinoff (from line 63)	11/09/11	K		See Note # 6
364.					Donated				
365. Inavien LLC(Promissory Note)	D	Interest	N	T	Buy	04/14/11	N		
366. Vocalocity Inc (Ser -B-1)		None	N	T	Buy	1/11/11	M		
367.					Buy (add'l)	08/19/11	L		
368. EOS Sleep Management LLC		None	O	U	Buy	09/07/11	P1		
369. SRD Systems Inc (Preferred Stock)		None	M	T	Buy	06/17/11	M		
370. SRD Systems Inc (Promossory Note))		None	L	T	Buy	11/30/11	L		
371. OD Funding Partners LLC		None	M	U	Buy	10/31/11	M		
372. Prollie Inc (Preferred St)		None	K	T	Buy	10/31/11	M		
373. Nextremity Solutions LLC		None	P1	U	Buy	01/03/11	L		
374.					Buy (add'l)	06/06/11	N		

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

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375.					Buy (add'l)	12/15/11	N		
376. Linx-Ad Co-Invest LLC	C	Interest	M	U	Buy	07/18/11	M		
377. Kumani EsentialS LLC		None	M	U	Buy	10/24/11	M		
378. Collision Funding Partners LLC		None	M	U	Buy	09/11/11	M		
379. Clean Pool & Services LLC		None	N	U	Buy	04/27/11	M		
380.					Buy (add'l)	11/08/11	K		
381. Exxon Mobil (Com)(Foundation # 1)	D	Dividend			Buy	04/20/11	N		
382.					Sold	11/17/11	N		
383. Verisign Inc (Com)	C	Dividend	K	T	Buy	01/15/11	K		
384.									
385.									
386.									
387.									
388.									

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

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

Note #1

Explanation Re:Section VII

Item # 4,6,8,37,40,64,66,69,84,101,106,107,112,118,125,131,139,150,181,188,190,262,263,265,271,278,302,312,313,336,338,352

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 84,85,86,87,88,89

_____ Ltd is a Sub-chapter S corporation owned 100% _____. The corporation purchased and sold various securities during 2011 which are listed below the corporate name. The value of the securities are included in the total indicated on line 84 Column C(1)

Note # 3

Explanation Section VII

Item # 98,99,100,205,206,243

These investmennts are worthless as of December 31, 2011. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2011. The value in Colum D(3) is blank since no value was derived from the worthless investment. .

Note # 4

Explanation Section VII

Item # 181,190,197,198,199,200,201,202,203,204,205,206,207,208,209,210,211

_____ is a Managing partner of _____ LP and _____ 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 # 181 _____ LP Column C(1) and line # 190 _____ LP, Column C(1). In addition,the cost of the the additional investments are included on line 181- 187 and 190-196 . The invested companies are listed on lines 197 thur 211. The companies added this year are denoted with an (X) next to the company name.

Note # 5

Explanation Section VII

Item # 19,20,58,59,62,63,221,222,237,238

The Limited Partnership distributed shares of securities that were purchased and held by the partnership. This infomration 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 cots 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 # 351,352,354,355,356,357,358,359,362,363

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.

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IX. CERTIFICATION.

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

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

Signature: **s/ 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
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