

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 08/11/2016
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 01/01/2015 to 12/31/2015
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.		

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.	Advisory Director	Festival Daniou

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. 2015	CSG Systems Inc-Director Fee
2. 2015	Kohl's Department Stores Inc-Director Fee
3. 2015	Tailwind Capital Group-Managing Director
4. 2015	Safe Bulkers Inc -Director Fee
5. 2015	Jet Blue Airways Corp-Director Fee
6. 2015	Menemsha Capital Partners-Ltd-Employee
7. 2015	Linux Partners LLC_Director Fee
8. 2015	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.			
2.			
3.			
4.			
5.			

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

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

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

1. 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	O	T					
4. Morgan Stanley Venture Investors III LP (IRA)		None	K	U	Sold (part)	05/13/15	J		
5.					Sold (part)	12/30/15	J		
6. Morgan Stanley Venture Investors III LP		None	K	U	Sold (part)	05/13/15	J		
7.					Sold (part)	12/30/15	J		
8. MSCP III L.P.		None	J	U					
9. ██████████ (1998 300,000)		None	N	R					
10. ██████████ (1998 300,000)		None	N	R					
11. Northwestern Mututal Life		None	K	T					
12. EVILCO Life Insurnace (Trust # 1)- N/C Phoenix Life Ins		None	J	T					
13. Northwestern Mututal Life (Trust#1)		None	O	T					
14. Northwestern Mututal Life(Trust #1)		None	N	T					
15. Madison National Life Ins(Trust # 1)--N/C Madison National Life	A	Interest	J	T					
16. CSG Systems International Inc.Com	D	Dividend	O	T	Buy (add'l)	08/25/15	L		
17.					Donated (part)				

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. Summit Mariner, LLC		None	P1	U					
19. Summit Mariner LLC/JP Morgan Checking	A	Interest	K	T					
20. Rental # 1 /JPMorgan Checking		None	J	T					
21. Rental # 2 New York, NY(1999 \$ 900,000)	E	Rent	P1	R					
22. Rental # 2/JP Morgan -Checking	A	Interest	K	T					
23. JP Morgan(Checking)-		None	L	T					
24. Vacant Land (1999 \$ 425,000)		None	N	R					
25. Trident Capital Fund V LP	E	Distribution	N	U	Sold (part)	06/23/15	J		See Note # 1
26.					Sold (part)	12/04/15	J		
27.					Distributed (part)	03/10/15	J		See Note # 5 To Ln # 424
28.					Distributed (part)	08/05/15	J		See Note # 5-To Ln # 425
29. Linux Partners (Q) LP	G	Distribution			Sold	07/28/15	M		See Note # 1
30. Grove Capital Commitment Partners LP		None	K	U					
31. Golf Partners LLC		None	K	U					
32. Silvaris Corp Preferred B -N/C -Silvaris Corp-Preferred C-I		None	L	U					
33. JP Morgan (Checking)	A	Interest	P2	T					
34. JK & B Capital IV QIP LP		None	N	U					

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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	
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35. Perseus Biopharmaceutical Investor LP		None			Sold	07/21/15	K		
36. Skyline Venture Partners Qualified Purchaser Fund III LP		None	J	U	Sold (part)	07/21/15	K		
37. Grove II LP		None	L	U					
38. JP Morgan Checking(Foundation #1)	A	Interest	J	T					
39. Capital Income Builders Fd Cl A(IRA)	D	Dividend	M	T					
40. Kinderhook Capital I LP		None	P1	U					
41. Capital World Grth & Income Fd Cl A(IRA)	D	Dividend	M	T					
42. JP Morgan Tax Free MM Premier Sweep	A	Interest	P1	T					
43. Menemsha Captial Partners Ltd		None	L	U					See Note # 2
44. Capital SLI Group LLC (Y)		None							
45. CGI Partners,LP		None	P1	U	Sold (part)	06/04/15	N		
46. Micell Technologies Inc.(Com)		None	K	U					
47. Linx Partners II LP		None	P1	U	Sold (part)	11/06/15	L		
48. Lone Cypress Company Ltd	G	Distribution			Sold (part)	06/24/15	N		See Note # 1
49.					Sold	12/31/15	P2	H1	
50. Sentinel Capital Investors III LP	G	Distribution	J	U	Buy (add'l)	06/23/15	J		See Note # 1
51.					Sold (part)	09/18/15	M		

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52.					Sold (part)	10/09/15	M		
53.					Sold (part)	12/18/15	K		
54. SFM Participation II LP	H1	Distribution	P2	U	Sold (part)	02/10/15	M		See Note # 1
55.					Sold (part)	02/24/15	P1		
56.					Sold (part)	08/04/15	P1		
57.					Sold (part)	09/30/15	N		
58.					Sold (part)	10/30/15	K		
59.					Sold (part)	11/18/15	O		
60.					Sold (part)	12/16/15	M		
61. North Salem Acquisition & Development Fund 2005 LP (Y)		None							
62. Thornburg Core Growth CI A (IRA)		None	N	T					
63. Jetblue (Com)		None	O	T	Donated (part)				
64.					Buy (add'l)	05/08/15	O		
65.					Sold (part)	05/08/15	O		
66. Aisling Capital II LP		None	P1	U	Buy (add'l)	02/06/15	K		
67.					Buy (add'l)	06/08/15	K		
68.					Sold (part)	06/16/15	L		

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69.					Sold (part)	05/08/15	M		
70.					Distributed (part)	05/14/15	K		See Note # 5- To Ln #427
71.					Distributed (part)	04/28/15	J		See Note # 5-To Line # 429
72. By The Way Productions LLC (Y)		None							
73. J K & B Capital V LP		None	P1	U	Buy (add'l)	01/16/15	M		
74.					Buy (add'l)	02/27/15	L		
75.					Buy (add'l)	04/20/15	K		
76.					Buy (add'l)	10/23/15	K		
77.					Buy (add'l)	11/30/15	L		
78. SEEF II LP		None	P1	U	Buy (add'l)	01/20/15	K		
79.					Buy (add'l)	07/23/15	K		
80. Towerbrook Investors II Executive Fund LP	G	Distribution	P1	U	Sold (part)	06/22/15	L		See Note # 1
81.					Sold (part)	12/11/15	O		
82. Trident VI LP		None	N	U	Sold (part)	09/15/15	J		
83.					Sold (part)	12/04/15	J		
84. Kinderhook Capital Fund II LP	H1	Distribution	P1	U	Buy (add'l)	05/13/15	J		See Note # 1
85.					Sold (part)	05/13/15	P1		

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86.					Sold (part)	08/18/15	L		
87. Kohls Corp (Com).	E	Dividend	O	T	Buy (add'l)	05/20/15	M		
88.					Buy (add'l)	03/31/15	M		
89.					Buy (add'l)	03/05/15	O		
90.					Sold (part)	03/05/15	O		
91.					Donated (part)				
92. KPB Partners LP	A	Interest	P1	U					
93. Thornburg-Income Builder C1 1	C	Dividend	L	T					
94. Thornburg Global Opportunity C1 1	A	Dividend	L	T					
95. Morgan Stanley Bank (Savings)	A	Interest			Closed	01/08/15	J		
96. Thornburg CRE GWT (IRA)		None	N	T					
97. Inavein LLC (Y)		None							
98. Ironwood Management Partners Fund II LP	G	Distribution	P1	U	Buy (add'l)	01/12/15	K		See Note # 1
99.					Sold (part)	05/11/15	N		
100.					Sold (part)	07/01/15	N		
101.					Buy (add'l)	05/18/15	N		
102.					Buy (add'l)	09/08/15	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
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103. RGI Partners II B LP	F	Distribution	O	U	Sold (part)	04/15/15	K		See Note # 1
104.					Sold (part)	06/08/15	M		
105. RGI Partners Ltd	G	Distribution	P1	U	Buy (add'l)	06/05/15	O		See Note # 1
106.					Buy (add'l)	12/24/15	L		
107.					Sold (part)	12/24/15	N		
108. SC Capital (P) LP		None	P2	U			J		
109. Tailwind Capital Partners LP	H1	Distribution	P1	U	Buy (add'l)	05/18/15	L		See Note # 1 & Note # 4
110.					Sold (part)	03/26/15	M		See Note # 4
111.					Sold (part)	06/12/15	L		See Note # 4
112.					Sold (part)	08/05/15	P1		See Note # 4
113.					Sold (part)	08/12/15	M		See Note # 4
114. Tailwind Management LP	H1	Distribution	P1	U	Sold (part)	12/31/15	N		See Note # 1
115.					Sold (part)	08/14/15	O		
116. Tailwind Capital Partners (GP) LP	H2	Distribution	P1	U	Sold (part)	08/12/15	P2		See Note # 1 & Note # 4
117.					Sold (part)	12/15/15	O		See Note # 4
118. --Apex Companies LLC									See Note #4
119. --Transit Wireless LLC									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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. --Hamilton State Bancshares Inc									See Note #4
121. --Oceus Networks Inc.									See Note # 4
122. --Optimal(X)					Sold (part)	08/12/15			See Note # 4 & Note # 11
123. --Nautilus Neurosciences Inc					Sold (part)	12/15/15			See Note #4
124. --Versapharm (X)					Sold (part)	12/15/15			See Note #4 & Note # 11
125. --Cumberland Consulting Group LLC									See Note #4
126. --RE Transportation Inc					Sold (part)	08/12/15			See Note #4
127. --Brawler Industrial Fabrics									See Note #4
128. --Northeast Comm of Wisconsin Inc									See Note # 4
129. --Towerco II (X)					Sold (part)	08/12/15			See Note # 4 & Note #11
130. American Home Food Products Inc (Com)		None	N	U					
131. Perseus Soros Partners		None	M	U	Sold (part)	07/21/15	J		
132. Syndicate Holdings Corp(Com)		None	N	U					
133. Perseus Soros BioPharmaceutical Fund LP		None			Sold	07/21/15	J		
134. Safe Bulkers Inc(Com)	B	Dividend	L	T	Buy (add'l)	01/02/15	K		
135.					Buy (add'l)	04/24/15	K		
136.					Buy (add'l)	07/02/15	K		

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

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

☐ 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.					Buy (add'l)	10/02/15	K		
138. Artisanal Cheese LLC(Bridge Loan)		None	N	T					
139. Nassau Point Partners I LP (Y)		None							
140. Camulos BioEnergy Debt Holdings LLC		None			Closed	12/31/15			See Note # 3
141. Camulos BioEnergy Partners LLC		None			Closed	12/31/15			See Note # 3
142. Camulos Gateway HI Partners LLC		None			Sold	07/01/15	J		
143. Camulos Gateway RH Partners LLC		None			Sold	07/01/15	J		
144. Asling Investors III LP	G	Distribution	O	U	Buy (add'l)	02/17/15	K		See Note # 1
145.					Buy (add'l)	04/23/15	K		
146.					Buy (add'l)	07/10/15	J		
147.					Sold (part)	02/17/15	K		
148.					Sold (part)	04/23/15	K		
149.					Sold (part)	06/11/15	M		
150.					Distributed (part)	01/07/15	J		See Note # 5-To Ln # 431
151.					Distributed (part)	08/10/15	J		See Note # 5 To Ln #432
152.					Distributed (part)	07/23/15	J		See Note # 5- To Ln #434
153.					Distributed (part)	08/18/15	J		See Note # 5-To Ln #435

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Distributed (part)	09/22/15	J		See Note # 5- To Ln # 436
155. Eastern Growth Capital I LP (Y)		None							
156. Eastern Growth Capital II LP		None	M	U	Sold (part)	02/12/15	J		
157. Eastern Growth Capital II LP(IRA)		None	M	U					
158. Linx-Metaltech Co Investment LLC	D	Interest	K	U	Sold (part)	04/22/15	J		
159.					Sold (part)	06/11/15	J		
160.					Sold (part)	09/12/15	J		
161. Olympus Capital Asia IV LP		None	P1	U	Buy (add'l)	03/13/15	L		
162.					Buy (add'l)	09/08/15	L		
163.					Sold (part)	03/13/15	J		
164. UBS RMA Tax Free (MM)	A	Interest	L	T					
165. Safe Bulkers Inc (Com)(IRA)	A	Dividend	K	T					
166. Towerbrook Investors III Executive Fund LP	G	Distribution	O	U	Sold (part)	02/05/15	M		See Note # 1
167.					Sold (part)	06/23/15	L		
168.					Sold (part)	09/14/15	K		
169.					Sold (part)	11/19/15	L		
170.					Sold (part)	12/17/15	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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☐ 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. Invesco Equity Income FD A (401K)		None	J	T					
172. Morgan Stanley Bank(Saving)(Foundation # 1)	A	Interest	K	T					
173. NYS Dormitory 4 % Due 10/1/15	E	Interest			Matured	10/01/15	O		
174. NYS Dormitory 5.25 % Due 8/15/15	C	Interest			Sold (part)	02/17/15	M		
175.					Sold	06/01/15	K		
176. First Republic Bank (Checking)	A	Interest	M	T					
177. The West Africa Fund LP		None	O	U					
178. NuCana Biomed Ltd (Ordinary Shares) (IRA)		None	P1	T					
179. Yumsing LLC		None	N	U	Sold (part)	12/21/15	K		
180. Cordia Bancorp Ser B(Com)(IRA)		None	K	T					
181. Michael Walsdorf- (Indirect Investment- 71 Smith Street LLC)		None	M	T	Sold (part)	06/17/15	M		See Note # 9
182. Beryllium LLC		None	J	U					
183. Kinderhook Capital Fund III LP	G	Distribution	P1	U	Buy (add'l)	03/09/15	K		See Note #1
184.					Buy (add'l)	05/27/15	L		
185.					Sold (part)	05/27/15	M		
186. NYS Dormitory 5.25 % Due 5/15/15	C	Interest			Matured	05/15/15	M		
187. Nuclea Biotechnologies Inc-Convertible Note		None	N	T					

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

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

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

A. 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. Cordia Bancorp Inc Ser B (Com)		None	N	T					
189. Rapid Ratings International Inc (Com)		None	P1	T	Buy (add'l)	03/02/15	N		
190.					Buy (add'l)	08/04/15	N		
191.					Buy (add'l)	10/16/15	N		
192. Parkstone Capital Partners LLC	F	Distribution	L	U	Sold (part)	02/27/15	L		See Note # 1
193. Lone Peak Partners Fund LP	B	Distribution	P1	U					See Note # 1
194. UBS Bank USA Dep MM (IRA)	A	Interest	M	T					
195. NYS Dorm 5.625 % Due 6/1/16	E	Interest	M	T	Sold (part)	07/01/15	M		
196. Tailwind Capital Group LLC	A	Distribution	K	U					See Note # 1
197. Empowered World Ventures LLC(Preferred A)		None	M	T					
198. CSL Energy Opportunity Fd I LP		None	N	U	Buy (add'l)	03/23/15	L		
199.					Sold (part)	03/23/15	K		
200. CSL Europe Energy Services LP		None	K	U					
201. Parkstone Capital Partners II LP	G	Distribution	O	U	Sold (part)	03/04/15	L		See Note # 1
202.					Sold (part)	08/25/15	M		
203. Investment Group LLC		None	L	U					
204. Capital Partners LLC (Promissory Note)		None			Distributed	11/19/15	M		See Note # 12-To Ln # 438

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. NYS Energy Res & Dev 2.25 % Due 12/1/15	E	Interest			Matured	12/01/15	O		
206. Patchogue Metford NY Un 4.25 Due 10/1/15	E	Interest			Matured	10/01/15	O		
207. Artiman Venture Fund LP	D	Distribution	M	U	Sold (part)	04/13/15	J		See Note # 1
208. EOS Sleep Management LLC N/C EOS Healthcare Partners LLC		None	O	U	Buy (add'l)	02/20/15	M		
209. OD Funding Partners LLC		None	L	U	Sold (part)	03/20/15	M		
210.					Sold (part)	09/16/15	L		
211. Nextremity Solutions Inc		None	P1	U	Buy (add'l)	03/26/15	O		
212. Linx-Ad Co-Invest LLC		None	K	U					
213. Collision Funding Partners LLC		None	N	U	Buy (add'l)	10/13/15	K		
214. adTheorent Inc Convertible Promissory Note)		None	L	T					
215. Figue Holdings LLC (Promissory Note)/N/ C/ (Class B Common)		None	N	T					
216. Jonathan Kully (Indirect Investment 71 Smith Street LLC)		None	M	T	Sold (part)	06/17/15	M		See Note # 9
217. JustFamily.Com,Inc.(Preferred Stock)		None	N	T					
218. Kenesto Corp (Preferred C)		None	P1	T	Buy (add'l)	02/02/15	L		
219.					Buy (add'l)	04/14/15	L		
220.					Buy (add'l)	08/04/15	L		
221.					Buy (add'l)	10/20/15	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		

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	(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. MogilityCapital Fund LP		None	M	U					
223. OpenFin Inc.(Preferred Stock)		None	N	T	Buy (add'l)	04/01/15	L		
224. Remedy Pharmaceuticals Inc		None	O	T	Buy (add'l)	10/13/15	M		
225. Tyrogenex Inc.(Ser B Convertible Preferred)		None	K	T					
226. XCoverly Holdings LLC		None	J	U					
227. NYS Dorm 4 % Due 7/1/16	D	Interest	N	T					
228. NYS Mtg Auth 1.2 % Due 4/1/16	C	Interest	N	T					
229. NYS Dorm 4 % Due 7/1/17	E	Interest	O	T					
230. Monroe County NY 4 % Due 6/1/15	D	Interest			Matured	06/01/15	O		
231. NYS Mtg 5 % Due 11/1/16	D	Interest	N	T					
232. Batavia NY 4% Due 3/1/17	E	Interest	O	T					
233. Dryden NY Cent School 4%Due 6/15/16	C	Interest			Sold	06/15/15	M		
234. Rochester NY Unlited Tax 3.25% Due 2/1/16	D	Interest	M	T					
235. NYS Muni Bd 5 % Due 5/15/16	E	Interest	N	T					
236. NYS Mtg 2 % Due 4/1/16	C	Interest			Sold	11/23/15	M		
237. East Rochester NY 3 % Due 10/20/15	D	Interest			Matured	10/20/15	M		
238. Cardflight Inc (Preferred)		None	N	T	Buy (add'l)	05/08/15	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		

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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)

239. Fenway HTM Partners LLC		None	O	U					
240. FunnelFire Inc (ConvPromissory Note)		None	L	T					
241. Gain Fitness Inc(Com)		None	M	T	Buy (add'l)	09/15/15	K		
242. CMNet Inc (D/B/A iSeek Corp) Ser C (Preferred)		None	N	T					
243. Linx RE-Co-Invest LLC	C	Interest	M	U	Sold (part)	01/14/15	J		
244.					Sold (part)	04/22/15	J		
245.					Sold (part)	07/17/15	J		
246.					Sold (part)	10/01/15	K		
247. Linx III LP		None	O	U	Buy (add'l)	07/09/15	N		
248.					Sold (part)	03/20/15	N		
249.					Sold (part)	10/23/15	M		
250. Monaeo Inc(Conv. Promissory Note)		None	N	T	Buy (add'l)	03/02/15	M		
251. Moolagram Inc (Ser A1 Preferred)		None	M	T					
252. One Up Games LLC(Note)		None	O	T	Buy (add'l)	02/02/15	N		
253. Romulus Capital II US Feeder LP		None	N	U	Buy (add'l)	10/13/15	M		
254. Storypanda Enterprises Inc(Conv Promissory Note)		None	K	T					
255. Tengrade Inc (Preferred)		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)

256. Linx-Grammer Co LLC	B	Distribution	N	U	Sold (part)	02/15/15	J		See Note # 1
257.					Sold (part)	05/22/15	J		
258.					Sold (part)	06/04/15	K		
259. NYS Dorm 4% Due 5/15/17	C	Interest	M	T					
260. State of NY Thruway 4 % Due 3/15/15	B	Interest			Matured	03/15/15	L		
261. State of NY Dorm 5 % Due 7/1/16	E	Interest	K	T	Sold (part)	10/16/15	N		
262. Lake Placid NY 5 % Due 6/15/16	D	Interest	N	T					
263. Onondaga Cnty NY TR Cult 5 % Due 12/1/15	D	Interest			Matured	12/01/15	M		
264. MTA Rev BD 5.5 % Due 1/1/15	E	Interest			Matured	01/02/15	O		
265. West Seneca NY 4 % Due 11/15/17	E	Interest	O	T					
266. NY NY Ser C 5 % Due 8/1/17	E	Interest	O	T					
267. State of NY Dorm 3 % Due 3/1/15	C	Interest			Matured	03/02/15	N		
268. Tarrytown NY 4 % Due 5/1/18	E	Interest	O	T					
269. Tailwind Capital Partners II LP		None	P1	U	Buy (add'l)	06/17/15	N		See Note # 10
270.					Sold (part)	06/17/15	L		See Note # 10
271.					Buy (add'l)	09/18/15	P1		See Note # 10
272.					Buy (add'l)	12/07/15	P1		See Note # 10

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.					Buy (add'l)	02/06/15	M		See Note # 10
274.					Buy (add'l)	03/18/15	L		See Note # 10
275. --TowerCo 2013									See Note # 10
276. --Diamondback Drugs									See Note # 10
277. --Long's Drugs									See Note # 10
278. --Colony Hardware					Buy	12/07/15			See Note # 10
279. --Lieberman Research Worldwide					Buy	09/18/15			See Note # 10
280. --National HME					Buy	09/18/15			See Note # 10
281. --Premiere Store Fixtures					Buy	09/18/15			See Note # 10
282. --TowerCo IV					Buy	09/18/15			See Note # 10
283. Uniserv LLC		None	M	U					
284. Trust # 4	G	Int./Div.	P2	T	Buy (add'l)	09/14/15	P1		See Note # 7
285. --Safebulkers Inc Ser B 8 % Preferred									
286. --Principal Global Diversified Income Fd Cl A					Sold	12/15/15	O		
287. --Thornburg Income Builders Cl 1					Sold	12/14/15	P1		
288. --Thornburg Global Opp Fd Cl 1									
289. --Thornburg Intl Value Fd 1					Sold	12/14/15	N		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. --Thornburg Limited Term Inc Cl 1					Sold	12/14/15	P1		
291. --UBS Bank USA Dep Account									
292. --JP Morgan Checking									
293. --Nextremity Solutions Inc (Conv Promissory Note)									
294. --EOS Sleep Management LLC / N/C EOS Healthcare Partners LLC									
295. --Exxon Mobil Corp(Com)					Buy (add'l)	11/18/15	N		
296. --Microsoft Corp(Com)					Buy (add'l)	11/18/15	N		
297. --Columbia Select Large Cap Growth FD					Buy	11/18/15	P1		
298.					Sold	12/14/15	O		
299. Trust # 3	G	Int./Div.	P1	U					See Note # 7
300. --Cellular Dynamics International Inc (Preferred A)					Sold	03/30/15	P1	H1	
301. --Thornburg International Growth Fd					Buy	04/17/15	P1		
302.					Sold	12/14/15	O		
303. --Thornburg Global Opportunities Fd					Buy	04/17/15	P1		
304.					Sold	12/14/15	O		
305. --Thornburg Income Builders Cl 1					Buy	04/17/15	P1		
306.					Sold	12/14/15	O		

1. Income Gain Codes: (See Columns B1 and D4)	A --\$1,000 or less F --\$50,001 - \$100,000	B --\$1,001 - \$2,500 G --\$100,001 - \$1,000,000	C --\$2,501 - \$5,000 H1 --\$1,000,001 - \$5,000,000	D --\$5,001 - \$15,000 H2 --More than \$5,000,000	E --\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J --\$15,000 or less N --\$250,001 - \$500,000 P3 --\$25,000,001 - \$50,000,000	K --\$15,001 - \$50,000 O --\$500,001 - \$1,000,000	L --\$50,001 - \$100,000 P1 --\$1,000,001 - \$5,000,000 P4 --More than \$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. --Thornburg Intl Value Fd					Buy	04/17/15	P1		
308.					Sold	12/14/15	O		
309. --UBS Bank USA -Depost Account					Open	04/02/15	M		
310. --UBS AG Deposit Account					Open	04/02/15	P1		
311. Tailwind Capital Partners II (GP)LP		None	P1	U	Buy (add'l)	01/17/15	M		See Note # 10
312.					Buy (add'l)	09/18/15	N		
313.					Buy (add'l)	10/08/15	J		
314.					Buy (add'l)	12/01/15	J		
315. Island Air LLC		None			Buy (add'l)	03/11/15	K		
316.					Closed	12/31/15			See Note # 8
317. The Yard (Promissory Note)	C	Interest	L	T					
318. RGI Partners B LP		None	L	U	Sold (part)	04/15/15	K		
319. Radius Networks Inc (Com)		None	O	T					
320. Moolagram Inc (Preferred Ser A-2)		None	O	T					
321. Safebulkers Ser D 8 % Preferred	E	Dividend	L	T					
322. ChartIQ LLC		None	M	U					
323. Transplant Genomics Inc (Convertible Note)	C	Interest	N	T	Buy	10/01/15	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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. Transplant Genomics Inc(Preferred A)		None	M	T	Buy	05/15/15	L		
325. Gravitas Technology Service LLC		None	P1	U	Sold (part)	05/07/15	J		
326. Real Endpoints LLC		None	O	U	Buy (add'l)	02/10/15	L		
327. Valuestream Development Lab Fund LLC		None	M	U	Buy (add'l)	01/20/15	K		
328. Romulus Placester Special Opportunity Fd		None	L	U					
329. Grove Hospitality Asia GP LLC	B	Distribution	J	U	Sold (part)	04/15/15	J		See Note # 1
330. Grove Hospitality Europe GP LLC		None	J	U					
331. Grove Aurelis II GP LLC	E	Distribution	K	U	Sold (part)	04/15/15	K		See Note # 1
332.					Sold (part)	06/08/15	J		
333. GN WMC LLC	F	Distribution	K	U	Sold (part)	12/30/15	L		See Note # 1
334. Romulus Cohealo Special Opportunity Fund LP		None	M	U					
335. Invesco International Growth A (401k)		None	M	T	Buy (add'l)	03/16/15	K		
336. Safebulkers Inc (Ser C Preferred) (IRA)	C	Dividend	K	T					
337. Safebulkers Inc (Ser D 8 % Preferred)		None			Sold	01/02/15	M		
338. NY NY 5 % Due 3/1/17	D	Interest	M	T					
339. City of NY 5 % Due 1/15/19	C	Interest	M	T					
340. NY S Urban Dev 5 % Due 3/15/18	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. NYC NY TRans 5 % Due 11/1/19	D	Interest	M	T					
342. Met Trans Authority 5 % Due 11/15/18	E	Interest	N	T					
343. NYS Dorm 5 % Due 2/15/17	D	Interest	M	T					
344. NY NY Unlimited Tax 5 % Due 8/1/18	D	Interest	M	T					
345. NYS Thruway Auth 4 % Due 1/1/17	D	Interest	N	T					
346. NYS Thruway 5 % Due 5/1/19	E	Interest	O	T					
347. NYS Dormatory 5 % Due 7/1/18	D	Interest	N	T					
348. NYS Dormatory 5 % Due 3/15/19	D	Interest	N	T					
349. Nassau County NY 5 % Due 10/1/19	E	Interest	N	T					
350. Rochester NY 4 % Due 2/15/19	D	Interest	O	T					
351. Personalized Cancer Therapy Inc (Com)		None	O	T	Buy (add'l)	07/24/15	M		
352. Romulus ELC B3 Special Opportunity LP		None	M	U					
353. Sommetrics, Inc (Preferred Ser B)		None	N	T	Buy (add'l)	01/12/15	L		
354. RetSKU Inc (Senior Convertible Note)		None	L	T	Buy (add'l)	11/13/15	K		
355. Sensai Corp (Convertible Note)		None	M	T					
356. Cycle Pharmaceuticals LTD (Ser A Shares)		None	P1	T	Buy (add'l)	09/03/15	N		
357. Free ATM Inc (Ser A Preferred)		None	K	T					

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

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

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

358. Engage Simply Inc (Convertible Note)		None	K	T					
359. Build and Imagine LLC		None	L	U	Buy (add'l)	09/14/15	J		
360. Call Rail Investors LLC		None	M	U					
361. Apprenmet LLC -N/C SpireCube LLC	D	Distribution	L	U					See Note # 1
362. Linx-Transpro Co-Invest LLC	D	Distribution	L	U	Sold (part)	01/14/15	J		See Note # 1
363.					Sold (part)	04/22/15	J		
364.					Sold (part)	07/17/15	J		
365.					Sold (part)	10/07/15	J		
366. Linx-Gullett Co-Invest LLC	B	Distribution	N	U	Sold (part)	03/09/15	J		See Note # 1
367.					Sold (part)	06/09/15	J		
368.					Sold (part)	09/09/15	J		
369.					Sold (part)	12/09/15	J		
370. 50 Mast LLC		None	M	U	Buy	10/16/15	M		
371. AG Team Partners LLC		None	M	U	Buy	05/29/15	K		
372.					Buy (add'l)	07/06/15	J		
373.					Buy (add'l)	02/19/15	L		
374.					Buy (add'l)	12/11/15	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)
375. AG Team Partners III LP		None	M	U	Buy	02/19/15	M		
376. ClickDimension LLC		None	N	U	Buy	04/17/15	N		
377.					Sold (part)	10/22/15	K		
378. CSL Energy Opp Fund II LP		None	M	U	Buy	02/18/15	L		
379.					Buy (add'l)	10/20/15	L		
380. Estimote Inc (Ser B Preferred)		None	M	T	Buy	03/11/15	M		
381. Exitround Inc. (Conv Note)		None	L	T	Buy	06/24/15	L		
382. Grotech Ventures III LP		None	L	U	Buy	07/07/15	K		
383.					Buy (add'l)	10/26/15	K		
384.					Buy (add'l)	12/21/15	K		
385. Karma Culture LLC		None	M	U	Buy	11/18/15	M		
386. Kinderhook Capital Fund IV		None	P1	U	Buy	04/20/15	N		
387.					Buy (add'l)	06/10/15	N		
388.					Buy (add'l)	09/21/15	N		
389.					Buy (add'l)	10/13/15	N		
390. Linx-CPT Co Invest LLC	B	Interest	L	U	Buy	07/06/15	L		
391.					Sold (part)	10/09/15	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 \$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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McMahon, Colleen

Date of Report

08/11/2016

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)
392. Logic9S LLC (Conv Promissory Note)		None	M	T	Buy	02/23/15	M		
393. Oxy Docs, Inc (Conv Promissory Note)		None	K	T	Buy	11/12/15	K		
394. Olympus Capital Asia Fd V LP		None	N	U	Buy	09/28/15	M		
395.					Buy (add'l)	11/17/15	M		
396. Padloc Inc. (Ser A Preferred)		None	M	T	Buy	05/22/15	M		
397. Romulus Capital III (US) Feeder LP		None	N	U	Buy	07/27/15	N		
398. Perry Lane LLC		None	M	U	Buy	07/16/15	M		
399. Slingshot Insights Inc (Conv. Promissory Note)		None	L	T	Buy	04/08/15	L		
400. Syndicated Loan Direct Inc (Conv. Promissory Note)		None	L	T	Buy	11/30/15	L		
401. TBCP Jacksonville LLC		None	L	U	Buy	12/01/15	L		
402. TemPro Inc (Conv Promissory Note & Preferred Stock)		None	L	T	Buy	03/30/15	L		
403.					Buy (add'l)	11/16/15	K		
404. Terafina Inc (Conv Promissory Note)		None	M	T	Buy	08/24/15	M		
405. NY St Dorm 4 % Due 5/1/19	C	Interest	M	T	Buy	01/12/15	M		
406. NY City NY Muni Wtr 4 % Due 6/15/18	E	Interest	O	T	Buy	01/13/15	O		
407. Hempstead Town NY 5 % Due 7/1/19	D	Interest	O	T	Buy	03/11/15	O		
408. NY St Thwy Auth 5 % Due 4/1/20	D	Interest	O	T	Buy	06/22/15	O		

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. 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)
409. NY St Dorm 5 % Due 7/1/20		None	N	T	Buy	07/16/15	N		
410. Kingston NY City Sch 4 % Due 6/15/17	C	Interest	N	T	Buy	07/27/15	N		
411. NY St Env FACS 5 % Due 9/15/19		None	O	T	Buy	08/06/15	O		
412. Ithaca NY City 3 % Due 7/1/18		None	N	T	Buy	10/23/15	O		
413. Ithaca NY City 3 % Due 7/1/20		None	N	T	Buy	10/23/15	N		
414. MTA NY 5 1/4 % Due 11/15/17	A	Interest	M	T	Buy	11/03/15	M		
415. MTA NY 4 % Due 11/15/17	A	Interest	M	T	Buy	11/03/15	M		
416. MTA 5 % Due 11/15/19	A	Interest	M	T	Buy	11/09/15	M		
417. NYS Urban Dec 5 % Due 3/15/17		None	M	T	Buy	11/10/15	M		
418. NYS Dorm Auth 5 % Due 3/15/24 - Prerefunded 9/1/16		None	M	T	Buy	11/09/15	M		
419. Long Island Power 5 % Due 12/1/17	A	Interest	M	T	Buy	11/17/15	M		
420. Long Island Power 5 % Due 9/1/20		None	O	T	Buy	12/01/15	O		
421. Home Team Marketing LLC (Senior Promissory Notes)		None	O	T	Buy	04/10/15	M		
422.					Buy (add'l)	06/24/15	N		
423.					Buy (add'l)	07/13/15	L		
424. Qualys Inc		None			Spinoff (from line 27)	03/10/15	J		See Note # 6
425.					Spinoff (from line 28)	08/05/15	J		See Note # 6

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. 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)
426.					Donated				
427. Cembra Inc		None			Spinoff (from line 70)	05/14/15	K		See Note # 6
428.					Donated				
429. Esperion Therapeutics Inc		None			Spinoff (from line 71)	04/28/15	J		See Note # 6
430.					Donated				
431. Chimerix Inc		None			Spinoff (from line 150)	01/07/15	J		See Note # 6
432.					Spinoff (from line 151)	08/10/15	J		See Note # 6
433.					Donated				
434. Sorrento Therapeutics Inc		None			Spinoff (from line 152)	07/23/15	J		See Note # 6
435.					Spinoff (from line 153)	08/18/15	J		See Note # 6
436.					Spinoff (from line 154)	09/22/15	J		See Note # 6
437.					Donated				
438. ██████████ LLC		None	M	U	Spinoff (from line 204)	11/19/15	M		See Note # 12
439. Edward Jones Retirement MM(IRA)		None	J	T	Open	12/30/15	J		
440. Fidelity (Cash)	A	Interest	K	T	Open	01/02/15	K		
441. Omnilink Systems Inc(DBA) Numerex Corp (X)		None			Sold	11/10/15	O	G	See Note # 11
442. Thompson Trucking Inc (X)		None			Sold	12/31/15	J	B	See Note # 11

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

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

443. Tidewater Acquisition Inc(X)		None			Sold	12/31/15	K	E	See Note # 11
444. Figue Holdings LLC		None	M	U	Buy	09/22/15	M		
445.									
446.									
447.									
448.									
449.									
450.									
451.									
452.									

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McMahon, Colleen

Date of Report

08/11/2016

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

Note #1

Explanation Re:Section VII ,

Item # 25,29,48,50,54,80,84,98,103,105,109,114,116,144,166,183,192,193,196,201,207,256,329,331,333,361,362,366

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 # 43

Menemsha Capital Partners Ltd is a Sub-chapter S corporation owned 100% by Judge McMahon's husband.

Note # 3

Explanation Section VII

Item # 140,141

These investments are worthless as of December 31, 2015. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2015. The value in Column D(3) is blank since no value was derived from the worthless investment.

Note # 4

Explanation Section VII

Item # 109-113,116-129

The Judge's husband is 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 # 109 Tailwind Capital Partners LP Column C(1) and line # 116 Tailwind Capital Partners(GP) LP, Column C(1). In addition,the proceeds of the sale of the investments are included on line 109-113 and 116-117 . The invested companies are listed on lines 118 thru 129.

Note # 5

Explanation Section VII

Item # 27,28,70,71,150,151,152,153,154

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 # 424,425,427,429,431,432,434,435,436

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 aquisition costs of the assets by the Limited Partnership, as reported by the General Partner.

Note # 7

Explanation Section VII

Item # 284,299

The Judge's husband created 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 children. The total assets of the Trusts are listed on line # 284 and line # 299.

Note # 8

Explanation Section VII

Item # 316

The partnership terminated during 2015. 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, 2015 was entered in Column D(2) and no value was entered in Section VII column D(3).

Note # 9

Explanation Section VII

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Name of Person Reporting

McMahon, Colleen

Date of Report

08/11/2016

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

Item # 181,216

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

See Note # 10

Explanation Section VII

Item # 269-282 ,311-314

The Judge's husband 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 (275-282). The cost of the ownership interests are included in the Gross Value at the end of the reporting period indicated on line # 269 & 311, Column C(1).

The purchase of the companies listed are included in the partners capital contributions listed on line # 269-274 and 311-314 in section D(2) and D(3).

Note # 11

Explanation Section VII

Item # 122,124,129,441,442,443

Escrow income subject to various contingencies was received in 2015. The applicable securities were sold in prior years. The cost of the securities was zero.

Note # 12

Explanation item # 204 ,438

[REDACTED] Capital Partners LLC exchanged the Promissory note listed on line 204 for a limited partnership interest in [REDACTED] LLC listed on line # 438.

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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