

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 08/10/2018
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 01/01/2017 to 12/31/2017
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.	Advisory Council	Ohio State University
4.	Advisory Director	Festival Daniou
5.		

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

☒ NONE (No reportable agreements.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	CSG Systems Inc-Director Fee
2. 2017	Kohl's Department Stores Inc-Director Fee
3. 2017	Tailwind Capital Group-Managing Director
4. 2017	Safe Bulkers Inc -Director Fee
5. 2017	Jet Blue Airways Corp-Director Fee
6. 2017	Linx Partners LLC _Director Fee
7. 2017	Morgan Stanley-Pension Income
8.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. The University of Texas	2/16/2017 thru 2/17/2017	Austin, Texas	Educational Activities funded by the University	Hotel, Shuttle,Catering
2.				

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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	Donated (part)				
2. Kohl's Corp. Com (IRA)		None			Sold	03/02/17	O	G	
3. Thornberg Value Fund Class A Mut Fd. (IRA)	D	Dividend	P1	T					
4. Morgan Stanley Venture Investors III LP (IRA)	D	Distribution	J	U	Sold (part)	10/03/17	K		See Note # 1
5. Morgan Stanley Venture Investors III LP	D	Distribution	J	U	Sold (part)	09/25/17	K		See Note # 1
6. MSCP III L.P.		None	J	U					
7. ████████,MA(1998 300,000)		None	N	R					
8. ████████,MA (1998 300,000)		None	N	R					
9. Northwestern Mututal Life (Term policy)(Y)									
10. Phoenix Life Ins (Trust # 1) (Whole Life Policy)	C	Dividend	M	T					
11. Northwestern Mututal Life (Trust#1) (Whole Life Policy)	E	Dividend	O	T					
12. Northwestern Mututal Life(Trust #1) (Whole Life Policy)	D	Dividend	N	T					
13. Madison National Life (Term Policy)(Y)									
14. CSG Systems International Inc.Com	D	Dividend	O	T	Buy (add'l)	08/29/17	M		
15.					Sold (part)	08/14/17	K	D	
16. Summit Mariner, LLC		None	P1	U					
17. Summit Mariner LLC/JP Morgan Checking		None	J	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. Rental # 1 /JPMorgan Checking		None	J	T					
19. Rental # 2 [REDACTED], NY(1999 \$ 900,000)	E	Rent	P1	R					
20. Rental # 2/JP Morgan -Checking	A	Interest	K	T					
21. JP Morgan(Checking)-		None	L	T					
22. Vacant Land [REDACTED], MA (1999 \$ 425,000)		None	N	R					
23. Trident Capital Fund V LP	F	Distribution	K	U	Sold (part)	04/25/17	K		See Note # 1
24.					Sold (part)	10/27/17	M		
25. [REDACTED] Golf Partners LLC		None	K	U					
26. JP Morgan (Checking)	A	Interest	P1	T					
27. JK & B Capital IV QIP LP	F	Distribution	K	U	Sold (part)	04/18/17	J		See Note # 1
28.					Sold (part)	09/27/17	K		
29.					Sold (part)	12/07/17	M		
30. JP Morgan Checking(Foundation #1)	A	Interest	J	T					
31. Capital Income Builders Fd Cl A(IRA)	B	Dividend			Sold	04/11/17	M		
32. Kinderhook Capital I LP	G	Distribution	L	U	Sold (part)	03/27/17	O		See Note # 1
33.					Sold (part)	08/07/17	N		
34. Capital World Grth & Income Fd Cl A(IRA)	B	Dividend			Sold	04/11/17	M		

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35. JP Morgan Tax Free MM Premier Sweep	F	Interest	P2	T					
36. Menemsha Captial Partners Ltd		None	K	U					See Note # 2
37. CGI Partners,LP		None	O	U	Sold (part)	03/17/17	N		
38. Micell Technologies Inc.(Com)		None	K	U					
39. Linx Partners II LP		None	O	U	Sold (part)	11/03/17	K		
40. Sentinel Capital Investors III LP		None			Sold	02/02/17	J		
41. SFM Participation II LP	H1	Distribution	P2	U	Sold (part)	02/21/17	M		See Note # 1
42.					Sold (part)	03/31/17	P1		
43.					Sold (part)	05/26/17	P1		
44.					Sold (part)	07/07/17	M		
45.					Sold (part)	07/27/17	K		
46.					Sold (part)	08/09/17	O		
47.					Sold (part)	12/07/17	M		
48. Thornburg Core Growth CI A (IRA)		None	O	T					
49. Jetblue (Com)		None	P1	T					
50. Aisling Capital II LP		None	N	U	Buy (add'l)	02/21/17	J		
51.					Sold (part)	02/21/17	K		

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52.					Sold (part)	06/12/17	M		
53.					Sold (part)	11/03/17	K		
54.					Distributed (part)	12/19/17	K		See Note # 5- To Ln # 378
55. J K & B Capital V LP		None	P1	U	Buy (add'l)	01/25/17	M		
56.					Buy (add'l)	06/19/17	K		
57.					Buy (add'l)	12/15/17	K		
58.					Sold (part)	05/08/17	L		
59. SEEF II LP	F	Distribution	P1	U					See Note # 1
60. Towerbrook Investors II Executive Fund LP	F	Distribution	O	U	Sold (part)	03/24/17	N		See Note # 1
61.					Sold (part)	09/13/17	L		
62.					Sold (part)	12/18/17	M		
63.					Distributed (part)	06/21/17	M		See Note # 5 to line 375
64. Trident VI LP	E	Distribution	N	U	Sold (part)	04/25/17	J		See Note # 1
65.					Sold (part)	09/20/17	K		
66.					Sold (part)	12/21/17	J		
67. Kinderhook Capital Fund II LP	H1	Distribution	P1	U	Sold (part)	04/25/17	P1		See Note # 1
68.					Sold (part)	10/10/17	K		

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69. Kohls Corp (Com).	F	Dividend	P1	T	Buy (add'l)	05/17/17	M		
70. KPB Partners LP		None	P2	U					
71. Thornburg-Income Builder C1 I	C	Dividend	L	T					
72. Thornburg Global Opportunity C1 I	A	Dividend	L	T					
73. Thornburg CRE GWT (IRA)		None	N	T					
74. Ironwood Management Partners Fund II LP	E	Distribution	P1	U	Sold (part)	12/29/17	J		See Note # 1
75. RGI Partners II B LP	G	Distribution	P1	U					See Note # 1
76. RGI Partners Ltd	A	Distribution	P1	U	Sold (part)	10/02/17	L		See Note # 1
77. SC Capital (P) LP		None			Sold	08/17/17	K		
78.					Distributed (part)	05/17/17	K		See Note # 5 to Line 383
79. Tailwind Capital Partners LP									See Note # 4
80. --Apex Companies LLC	G	Distribution	P1	U	Sold (part)	03/21/17	J		See Note # 1
81.					Sold (part)	12/12/17	J		
82. --Transit Wireless LLC	G	Distribution	M	U	Sold (part)	03/21/17	L		See Note # 1
83.					Sold (part)	12/12/17	K		
84. --Hamilton State Banc Shares Inc	G	Distribution	P1	U	Sold (part)	05/05/17	M		See Note # 1
85. --Oceus Networks,Inc		None	M	U					

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86. --Optimal Solutions Intergration Inc		None	L	U					
87. --Cumberland Consulting Group,LLC	E	Distribution	O	U					See Note # 1
88. --RE TRansportation,Inc	F	Distribution			Sold	03/21/17	K		See Note # 1
89. --Northeast Communications of Wisconsin,Inc(dba "Nsight)		None	O	U					
90. Tailwind Management LP	G	Distribution	P1	U	Sold (part)	12/29/17	N		See Note # 1
91. Tailwind Capital Partners (GP) LP									See Note # 4
92. --Apex Companies LLC	G	Distribution	P1	U	Sold (part)	04/07/17	K		See Note # 1
93.					Sold (part)	05/11/17	J		
94.					Sold (part)	09/18/17	K		
95. -- Transit Wireless LLC	G	Distribution	O	U	Sold (part)	04/07/17	N		See Note # 1
96. --Hamilton State Bancshares Inc	G	Distribution	P1	U	Sold (part)	05/11/17	N		See Note # 1
97.					Sold (part)	09/18/17	J		
98. --Oceus Networks Inc.		None	O	U					
99. --Optimal		None	M	U					
100. --Cumberland Consulting Group LLC	C	Distribution	P1	U					See Note # 1
101. --RE Transportation Inc	E	Distribution			Sold	04/07/17	M		See Note # 1
102. --Northeast Comm of Wisconsin Inc (dba/ NSight)		None	P1	U					

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103. Perseus Soros Partners		None	M	U					
104. Syndicate Holdings Corp(Com)		None	N	U	Buy (add'l)	03/27/17	L		
105. Safe Bulkers Inc(Com)		None	O	T	Buy (add'l)	01/03/17	K		
106.					Buy (add'l)	04/04/17	K		
107.					Buy (add'l)	07/03/17	K		
108.					Buy (add'l)	10/03/17	K		
109. Asling Investors III LP		None	O	U	Sold (part)	05/31/17	M		
110.					Distributed (part)	03/01/17	J		See Note #5 to Line # 379
111.					Distributed (part)	12/06/17	J		See Note #5 to Line # 381
112. Eastern Growth Capital II LP	D	Distribution	L	U	Sold (part)	06/16/17	K		See Note # 1
113. Eastern Growth Capital II LP(IRA)	E	Distribution	M	U	Sold (part)	06/16/17	L		See Note # 1
114. Linx-Metaltech Co Investment LLC		None	K	U					
115. Olympus Capital Asia IV LP		None	P1	U					
116. Safe Bulkers Inc (Com)(IRA)		None	L	T					
117. Towerbrook Investors III Executive Fund LP		None	N	U	Sold (part)	06/06/17	K		
118.					Sold (part)	07/27/17	J		
119. Invesco Equity Income FD A (401K)		None	J	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)
120. First Republic Bank (Checking)	A	Interest	M	T					
121. The West Africa Fund LP		None			Closed	12/31/17			See Note # 3
122. NuCana Biomed Ltd (Ordinary Shares) (IRA)		None			Distributed	12/27/17	O		See Note # 10 to line 375
123. Yumsing LLC		None			Sold	05/05/17	K		
124. Beryllium LLC		None			Sold	12/29/17	J		
125. Kinderhook Capital Fund III LP		None	O	U	Buy (add'l)	06/01/17	J		
126.					Buy (add'l)	10/11/17	J		
127. Rapid Ratings International Inc (Com)	C	Interest	P1	T	Buy (add'l)	12/26/17	N		
128. Parkstone Capital Partners LLC		None	J	U					
129. UBS Bank USA Dep MM (IRA)	A	Interest	M	T					
130. Tailwind Capital Group LLC	D	Distribution	K	U					See Note # 1
131. Empowered World Ventures LLC(Preferred A)		None	M	T					
132. CSL Energy Opportunity Fd I LP		None	M	U	Buy (add'l)	10/10/17	J		
133.					Sold (part)	10/10/17	J		
134. CSL Europe Energy Services LP		None			Sold (part)	06/12/17	K		
135.					Sold	10/27/17	J		
136. Parkstone Capital Partners II LP	F	Distribution	M	U	Sold (part)	09/13/17	M		See Note # 1

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)	11/28/17	M		
138. Highland Investment Group LLC		None	J	U					
139. Artiman Venture Fund LP	G	Distribution	O	U	Sold (part)	05/30/17	M		See Note # 1
140. EOS Healthcare Partners LLC /N/C Docero LLC		None	P1	U					
141. OD Funding Partners LLC		None	L	U					
142. Collision Funding Partners LLC		None	N	U					
143. Figue Holdings LLC (Class B Common)		None	M	T					
144. JustFamily.Com,Inc.(Preferred Stock)		None	N	T					
145. Kenesto Corp (Preferred C)		None	P1	T	Buy (add'l)	01/18/17	M		
146.					Buy (add'l)	04/10/17	K		
147.					Buy (add'l)	04/27/17	K		
148.					Buy (add'l)	06/01/17	K		
149.					Buy (add'l)	07/13/17	K		
150.					Buy (add'l)	08/03/17	K		
151.					Buy (add'l)	08/28/17	K		
152.					Buy (add'l)	09/28/17	K		
153.					Buy (add'l)	11/08/17	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)
154.					Buy (add'l)	12/12/17	K		
155. MogilityCapital Fund LP		None	N	U	Sold (part)	01/11/17	N		
156. OpenFin Inc.(Preferred Stock)		None	N	T					
157. Remedy Pharmaceuticals Inc	H1	Distribution	O	T	Buy (add'l)	03/27/17	M		See Note # 1
158.					Sold (part)	05/16/17	N		
159.					Sold (part)	07/05/17	P1		
160. Tyrogenex Inc.(Ser B Convertible Preferred)		None			Closed	12/31/17			See Note # 3
161. XCoverly Holdings LLC	C	Distribution			Sold	10/23/17	J		See Note # 1
162. Cardflight Inc (Preferred)		None	N	T					
163. Fenway HTM Partners LLC		None	M	U					
164. FunnellFire Inc (ConvPromissory Note)		None			Closed	12/31/17			See Note # 3
165. Gain Fitness Inc(Com)		None	M	T					
166. CMNet Inc (D/B/A iSeek Corp) Ser C (Preferred)		None	N	T					
167. Linx RE-Co-Invest LLC	A	Interest	M	U					
168. Linx III LP		None	P1	U	Sold (part)	09/06/17	K		
169. Monaeo Inc(Conv. Promissory Note)		None	O	T					
170. Moolagram Inc (Ser A1 Preferred)		None			Closed	12/31/17			See Note # 3

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. One Up Games LLC(Note)		None			Closed	12/31/17			See Note # 3
172. Romulus Capital II US Feeder LP		None	N	U					
173. Tengrade Inc (Preferred & Conv Note)		None			Closed	12/31/17			See Note # 3
174. Linx-Grammer Co LLC		None	O	U					
175. Tailwind Capital Partners II LP									See Note # 9
176. --TowerCo 2013	E	Distribution			Sold (part)	06/19/17	K		See Note # 1
177.					Sold	12/11/17	J		
178. --Diamondback Drugs		None	P1	U					
179. --Long's Drugs		None	P1	U					
180. --Colony Hardware		None	P1	U					
181. --Lieberman Research Worldwide	G	Distribution	P1	U	Sold (part)	03/28/17	L		See Note # 1
182. --National HME		None	O	U					
183. --Premiere Store Fixtures		None	P1	U	Sold (part)	09/18/17	J		
184. --TowerCo IV		None	O	U					
185. --Cumming		None	P1	U					
186. --Distinct Holdings Group,IncGroup-dba Diversified		None	P1	U					
187. --MetroGistics		None	P1	U					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 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. --Stratix		None	P1	U					
189. --AST Corporation		None	O	U	Buy	04/21/17	O		
190. --DermaRite Industries LLC		None	O	U	Buy	09/18/17	O		
191. --Edenbridge Pharmaceuticals LLC		None	P1	U	Buy	06/22/17	P1		
192. --HMT Holdings Inc		None	P1	U	Buy	11/17/17	P1		
193. --TW Lone Peak Master LLC	F	Distribution	O	U	Buy	01/02/17	O		See Note # 1
194. Trust # 4									See Note # 7
195. --Safebulkers Inc Ser B 8 % Preferred		None			Sold	04/17/17	M	D	
196. --Principal Global Diversified Income Fd Cl A	E	Dividend	O	T					
197. --Thornburg Income Builders Cl 1	G	Dividend	P1	T					
198. --Thornburg Global Opp Fd Cl 1	D	Dividend	P1	T					
199. --Thornburg Intl Value Fd 1	F	Dividend	O	T					
200. --Thornburg Limited Term Inc Cl 1	E	Dividend	P1	T					
201. --UBS Bank USA Dep Account	A	Interest	O	T					
202. --JP Morgan Checking	A	Interest	J	T					
203. -- EOS Healthcare Partners LLC/ N/C Docero LLC		None	M	U					
204. --Exxon Mobil Corp(Com)	D	Dividend			Sold	06/01/17	N	B	

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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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. --Microsoft Corp(Com)	D	Dividend	O	T					
206. --Columbia Select Large Cap Growth FD	G	Dividend	P1	T					
207. --Safebulkers Inc		None	L	T	Buy	04/06/17	K		
208. Trust # 3									See Note # 7
209. --Thornburg Income Builders Cl 1	F	Dividend	P1	T					
210. --Thornburg Global Opportunities Fd	E	Dividend	P1	T	Buy (add'l)	03/21/17	O		
211. --Thornburg Intl Value Fd	G	Dividend	P1	T					
212. --UBS Bank USA -Deposit Account	A	Interest	J	T					
213. --UBS AG Deposit Account	A	Interest	M	T					
214. --SPC Intermex LP		None	O	U	Sold (part)	08/24/17	M		
215. Tailwind Capital Partners II (GP)LP									See Note # 9
216. --Colony Hardware Corp		None	O	U					
217. --Cummings Group Inc		None	O	U					
218. --Diamondback Drugs of Delaware LLC		None	O	U					
219. --Distinct Holdings Group,Inc(dba Diversified)		None	O	U					
220. --Long's Drugs Inc		None	P1	U					
221. --Lieberman Research Worldwide LLC	E	Distribution	O	U					See Note # 1

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

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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. --MetrogisticsLLC		None	O	U					
223. --National HME,Inc		None	N	U					
224. --Premier Store Fixtures,LLC		None	O	U					
225. --Stratix Corp		None	O	U					
226. --Towerco 2013 Holdings LLC	E	Distribution	M	U	Sold (part)	06/14/17	K		See Note # 1
227. --TowerCo IV Holdings LLC		None	M	U					
228. --AST Corporation		None	N	U	Buy	06/14/17	M		
229. --DermaRite Industries LLC		None	N	U	Buy	09/13/17	M		
230. --Edenbridge Pharmaceuticals LLC		None	O	U	Buy	06/14/17	M		
231. --HMT Holdings Inc		None	O	U	Buy	11/17/17	O		
232. --TW Lone Peak Master LLC	E	Distribution	N	U	Buy	01/02/17	N		See Note # 1
233. The Yard (Promissory Note)	C	Interest	L	T					
234. RGI Partners B LP	E	Distribution	M	U	Sold (part)	12/29/17	J		See Note # 1
235. Radius Networks Inc (Com)		None	O	T					
236. Moolagram Inc (Preferred Ser A-2)		None			Closed	12/31/17			See Note # 3
237. Safebulkers Ser D 8 % Preferred	E	Dividend	M	T					
238. ChartIQ LLC		None	N	U					

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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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. Transplant Genomics Inc (Convertible Note)	C	Interest	N	T	Buy (add'l)	03/29/17	L		
240. Transplant Genomics Inc(Preferred A)		None	M	T	Buy (add'l)	11/21/17	J		
241. Gravitas Technology Service LLC		None			Sold	11/14/17	P1	G	
242. Real Endpoints LLC		None	O	U					
243. Valuestream Development Lab Fund LLC		None	M	U					
244. Romulus Placester Special Opportunity Fd		None	L	U					
245. Grove Hospitality Asia GP LLC	F	Distribution	L	U	Sold (part)	04/07/17	J		See Note # 1
246.					Sold (part)	10/31/17	J		
247. Grove Hospitality Europe GP LLC	C	Distribution	J	U	Sold (part)	10/31/17	J		See Note # 1
248. Grove Aurelis II GP LLC	F	Distribution	M	U	Sold (part)	04/17/17	K		See Note # 1
249.					Sold (part)	06/08/17	J		
250. GN WMC LLC		None	K	U					
251. Romulus Cohealo Special Opportunity Fund LP		None	M	U					
252. Invesco International Growth A (401k)		None	M	T					
253. Safebulkers Inc (Ser C Preferred) (IRA)	D	Dividend	M	T					
254. Personalized Cancer Therapy Inc (Com) d/b/a(PERTHA)		None	O	T					
255. /Romulus ELC B3 Special Opportunity LP		None	M	U	Buy (add'l)	08/28/17	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)

256. Sommetrics, Inc (Preferred Ser B)		None	N	T					
257. RetSKU Inc (Senior Convertible Note)		None			Closed	12/31/17			See Note # 3
258. Sensai Corp (Convertible Note)		None	M	T					
259. Cycle Pharmaceuticals LTD (Ser A Shares)		None	P1	T					
260. Free ATM Inc (Ser A Preferred)		None	K	T					
261. Engage Simply Inc (Convertible Note)		None	K	T					
262. Build and Imagine LLC		None	L	U	Buy (add'l)	10/16/17	J		
263. Call Rail Investors LLC	H1	Distribution			Sold (part)	09/28/17	P1	H1	See Note # 1
264.					Sold	11/01/17	M		
265. SpireCube LLC	A	Distribution	L	U	Sold (part)	12/01/17	J		See Note # 1
266. Linx-Transpro Co-Invest LLC	D	Distribution	M	U	Sold (part)	03/07/17	J		See Note # 1
267.					Sold (part)	04/12/17	J		
268.					Sold (part)	07/31/17	J		
269.					Sold (part)	10/31/17	J		
270. Linx-Gullett Co-Invest LLC	B	Distribution	N	U	Sold (part)	03/07/17	J		See Note # 1
271.					Sold (part)	06/15/17	J		
272.					Sold (part)	09/15/17	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	

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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)	10/16/17	J		
274.					Buy (add'l)	04/27/17	J		
275. 50 Mast LLC		None	M	U					
276. AG Team Partners LLC		None	N	U	Buy (add'l)	09/26/17	J		
277. AG Team Partners III LP		None	M	U	Buy (add'l)	05/09/17	J		
278. CSL Energy Opp Fund II LP		None	P1	U	Buy (add'l)	02/07/17	M		
279.					Buy (add'l)	04/12/17	N		
280.					Buy (add'l)	06/26/17	N		
281.					Buy (add'l)	09/05/17	M		
282.					Buy (add'l)	12/12/17	L		
283. Estimote Inc (Ser B Preferred)		None	M	T					
284. Grotech Ventures III LP		None	N	U	Buy (add'l)	01/23/17	L		
285.					Buy (add'l)	04/27/17	K		
286.					Buy (add'l)	06/02/17	L		
287.					Buy (add'l)	08/02/17	L		
288.					Buy (add'l)	09/28/17	K		
289. Karma Culture LLC		None	M	U					

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. Kinderhook Capital Fund IV		None	P1	U	Buy (add'l)	02/07/17	N		
291.					Buy (add'l)	03/03/17	M		
292.					Buy (add'l)	04/28/17	M		
293.					Buy (add'l)	09/28/17	L		
294.					Buy (add'l)	11/13/17	L		
295.					Buy (add'l)	12/08/17	M		
296. Linx-CPT Co Invest LLC	C	Interest	L	U	Sold (part)	04/14/17	J		
297.					Sold (part)	07/31/17	J		
298.					Sold (part)	08/31/17	J		
299.					Sold (part)	09/29/17	J		
300.					Sold (part)	10/31/17	J		
301. Logic9S LLC (Conv Promissory Note)		None	M	T					
302. Oxy Docs, Inc (Conv Promissory Note)		None	N	T					
303. Olympus Capital Asia Fd V LP		None	O	U	Sold (part)	09/15/17	M		
304. Padloc Inc. (Ser A Preferred)		None	M	T					
305. Romulus Capital III (US) Feeder LP		None	P1	U	Buy (add'l)	07/10/17	N		
306. Perry Lane LLC		None	N	U	Buy (add'l)	02/08/17	M		

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

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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. Slingshot Insights Inc (Conv. Promissory Note)		None	M	T	Buy (add'l)	10/09/17	L		
308. Syndicated Loan Direct Inc (Conv. Promissory Note)		None	L	T	Buy (add'l)	03/13/17	L		
309.					Buy (add'l)	06/19/17	L		
310.					Buy (add'l)	12/26/17	O		
311. TBCP Jacksonville LLC		None	L	U					
312. TernPro Inc (Conv Promissory Note & Preferred Stock)		None	L	T					
313. Terafina Inc (Conv Promissory Note)		None	N	T	Buy (add'l)	04/12/17	L		
314.					Buy (add'l)	11/21/17	L		
315. Home Team Marketing LLC (Senior Promissory Notes)	F	Interest	O	T	Buy (add'l)	02/14/17	L		
316. Highland Resort LLC		None	M	U					
317. Edward Jones Retirement MM(IRA)		None	J	T					
318. Fidelity (Cash)	A	Interest	K	T					
319. Figue Holdings LLC		None	J	U					
320. Gain Fitness Inc(Conv Note)		None	J	T					
321. Aisling Capital IV LP		None	O	U	Buy (add'l)	02/13/17	K		
322.					Buy (add'l)	03/20/17	N		
323.					Sold (part)	08/09/17	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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☐ 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.					Sold (part)	08/14/17	O		
325.					Sold (part)	10/03/17	M		
326.					Buy (add'l)	10/24/17	M		
327. Canal Logix LLC		None	L	U					
328. Collision Funding Partners LLC (Note)		None	K	T					
329. Linx-Elite Co Invest LLC	D	Interest	N	U	Sold (part)	03/07/17	J		
330.					Sold (part)	06/05/17	J		
331.					Sold (part)	07/31/17	J		
332.					Sold (part)	10/31/17	J		
333. Linx-Nebr Co Invest LLC		None	N	U					
334. Peterson Partners VIII LP		None	O	U	Buy (add'l)	09/05/17	M		
335.					Buy (add'l)	10/23/17	N		
336.					Buy (add'l)	12/22/17	N		
337. Romulus Estify Sp Opportunity LP		None	M	U					
338. Romulus Growth Cogito LP		None	M	U					
339. Strategic Alternative Fund Group LLC		None	L	U					
340. Parkstone Capital Partners IV Holdings LP		None	M	U					

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. Linx Q Liquidating Tr	D	Distribution	J	U	Sold (part)	05/26/17	K		See Note # 1
342. Fulling Mills LLC		None	K	U					
343. Ram Realty IV LP		None	N	U	Sold (part)	08/31/17	L		
344. Alpine-Gleewood LP		None	K	U					
345. BigID Inc(Conv Note)		None	M	T					
346. Lending Front Inc (Conv Note)		None	M	T					
347. Menguin Inc (Conv Note)		None			Sold (part)	09/05/17	L	E	See Note # 8
348.					Distributed	09/05/17	N		See Note # 8 To Ln # 402
349. Mine One GMBH (Ser A sh) (IRA)		None	M	T					
350. Relationship Capital Partners Inc (Conv Notes)		None	O	T	Buy (add'l)	06/05/17	M		
351. PHRP LLC									See Note # 11
352. --Shareablee Inc (Ser A Pref)		None	P1	T					
353. Skyfront Corp (Note Rec)		None	K	T					
354. SPC Intermex LP		None	O	U	Sold (part)	08/24/17	M		
355. Yingo Yango Inc (Ser A Pref)		None	M	T					
356. American Fund Cap Inc (401K)		None	L	T	Buy (add'l)	04/03/17	K		
357. UBS Bank USA Deposit Ac	A	Interest	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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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)
358. Automotive Mastermind Inc (Com)		None			Sold	09/28/17	P1	H1	
359. UBS AG Deposit Act (IRA)		None	J	T					
360. 312 Atlantic Ave LLC		None	M	U					
361. Flank 71 Smith LLC		None	N	U	Sold (part)	11/02/17	K		
362. UBS Bank USA BUS ACCT(Foundation # 1)	A	Interest	J	T					
363. UBS AG Deposit Account (Foundation #1)		None	J	T					
364. Oppenheimer Lmt Term Bond Fd(Foundation # 1)	C	Dividend	L	T					
365. Pimco Low Duration Fund Cl A(Foundation # 1)	A	Dividend			Sold	01/17/17	M		
366. Virtus Low Duration Income Fd A(Foundation # 1)	B	Dividend	J	T	Sold (part)	01/17/17	J		
367.					Sold (part)	12/14/17	L		
368. Cyriline Morgan (Personal Note)		None	M	T					
369. Loch Lomond Golf Club(Ser C)	D	Dividend	M	T					
370. UBS Bank USA Dept Ac (IRA)	A	Interest	M	T	Open	01/02/17	M		
371. Thornburg Global Oppy Fd CL A(IRA)	B	Dividend	O	T	Open	04/11/17	N		
372. American Balanced Fund Inc (IRA)	E	Dividend	N	T	Open	04/11/17	N		
373. American Fund Global Balanced (IRA)	D	Dividend	N	T	Open	04/11/17	N		
374. Nvidia Corp (IRA)		None	M	T	Buy	12/14/17	M		

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

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. Nucana PLC GBR (IRA)		None	P2	T	Spinoff (from line 122)	12/27/17	O		See Note # 10
376. Relationship Capital Partners (IRA)		None	L	U	Buy	03/10/17	L		
377. Ladder Capital Corp C1 A		None			Spinoff (from line 63)	06/21/17	M		See Note # 6
378.					Sold	07/07/17	M		
379. Versartis Inc(Com)		None			Spinoff (from line 110)	03/01/17	J		See Note # 6
380.					Donated				
381. Aimmune Therapeutics Inc (Com)		None	K	T	Spinoff (from line 111)	12/19/17	K		See Note # 6
382. Esperion Therapeutics Inc		None	N	T	Spinoff (from line 54)	12/19/17	M		See Note # 6
383. Penumbra Inc		None			Spinoff (from line 78)	05/17/17	K		See Note # 6
384.					Donated				
385. ERA Investor Fund 6 LP		None	L	U	Buy	01/04/17	L		
386. Groupize Inc (Ser A-2 pfd)		None	M	T	Buy	08/23/17	M		
387. Medaptive Health Inc (Conv Prom)		None	L	T	Buy	12/21/17	L		
388. Poliwogg Holdings Inc (Ser B Conv Preferred)		None	L	T	Buy	02/27/17	L		
389. Shiftsmart Inc (Ser AA Preferred)		None	L	T	Buy	05/04/17	L		
390. BondCliQ Inc (Conv Promissory Note)		None	L	T	Buy	12/14/17	L		
391. Canal Logic 2 LLC		None	L	U	Buy	08/18/17	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)
392. Nextremity LLC		None	M	U	Buy	06/20/17	M		
393. Sayspring Inc		None	L	U	Buy	05/02/17	L		
394. Three Girls and a Lion LLC		None	N	U	Buy	06/20/17	M		
395.					Buy	10/11/17	M		
396. Entrepreneurs Expansion Fund III LP		None	K	U	Buy	05/22/17	K		
397. Kinderhook V LP		None	N	U	Buy	12/15/17	N		
398. Valuestream Ventures 2017 LLC		None	M	U	Buy	11/27/17	M		
399. Workbench Ventures III LLC		None	K	U	Buy	06/01/17	K		
400. 71 Smith Retail Venture LLC		None	O	U	Buy	12/18/17	O		
401. First Republic Checking	A	Interest	M	T	Open	01/03/17	M		
402. Generation Tux nc(Ser D-2 Preferred)		None	M	T	Spinoff (from line 348)	09/05/17	M		See Note # 8
403. Nucana PLC Spons ADR (IRA)		None	M	T	Buy	09/28/17	M		
404. Seventh Sibling LLC (Promissory Note)		None	K	T	Buy	04/11/17	K		
405. RGI Recap Partners LLC	G	Distribution	O	U	Buy	12/31/17	O		See Note # 1
406.									
407.									
408.									

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

Note #1

Explanation Re:Section VII ,

Item #4,5,23,27,32,41,59,60,64,67,74,75,76,80,82,84,,87,88,90,92,95,96,100,101,112,113,130,136,139,157,161,176,181,193,221,226,232,234,245,247,248,263,265,266,270,34

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 # 36

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

Note # 3

Explanation Section VII

Item # 121,160,164,170,171,173,236,257

These investments are worthless as of December 31, 2017. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2017. The value in Column D(3) is blank since no value is attributable to worthless investments.

Note # 4

Explanation Section VII

Item # 79-89,91-102

The Judge's husband is a Managing partner of Tailwind Capital Partners LP and Tailwind Capital Partners (GP) LP . These partnerships have ownership interests in the companies listed under Tailwind Capital Partners LP and Tailwind Capital Partners (GP) LP..

Due to revised reporting requirements the income and gross value at the end of the reporting period is separately listed.

In addition, the purchase and sale information is also listed by underlying asset. The Limited Partnership and General Partnership have ownership interests in the same companies.

Note # 5

Explanation Section VII

Item # 54,63,78,110,111

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 # 377,379,381,382,383

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

Note # 7

Explanation Section VII

Item # 194-214

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.

Note # 8

Explanation Section VII

Item # 347,348,402

The Convertible Note was converted to Series Seed II Preferred Shares. A portion of the shares were sold and the balance were merged into Generation Tus,Inc, Series D-2 Preferred Stock.

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

See Note # 9

Explanation Section VII

Item # 175-193, 215-232

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. Due to revised reporting requirements the income and gross value at the end of the reporting period is separately listed.

In addition, the purchase and sale information is also listed by underlying asset. The Limited Partnership and General Partnership have ownership interests in the same companies.

Note # 10

Explanation Section VII

Item # 122,375

The shares of Nucana BioMed Ltd (Ordinary Shares) were exchanged for Nucana PLC GBR in a tax free exchange.

Note # 11

Explanation Section VIII

Item # 351, 352

The Judge's husband created a single member LLC to hold various investments. The current investment is listed below the LLC on line # 352.

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)

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