

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/12/2019
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 01/01/2018 to 12/31/2018
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.)*

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. 2018	CSG Systems Inc-Director Fee
2. 2018	Kohl's Department Stores Inc-Director Fee
3. 2018	Tailwind Capital Group-Partner- Guaranteed Payment
4. 2018	Safe Bulkers Inc -Director Fee
5. 2018	Jet Blue Airways Corp-Director Fee
6. 2018	Linx Partners LLC _Director Fee
7. 2018	Morgan Stanley-Pension Income
8. 2018	Tailwind Management LP_Managing Director-Guaranteed Payment

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.				
3.				

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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	A	Dividend	K	T	Donated (part)				
2.					Sold (part)	03/06/18	J	A	
3. Thornberg Value Fund Class A Mut Fd. (IRA)	C	Dividend	P1	T					
4. Morgan Stanley Venture Investors III LP (IRA)		None			Sold	12/18/18	J		
5. Morgan Stanley Venture Investors III LP		None			Sold	12/18/18	J		
6. MSCP III L.P.		None	J	U					
7. ██████████ (1998 300,000)		None	N	R					
8. ██████████ (1998 300,000)		None	N	R					
9. Phoenix Life Ins (Trust # 1) (Whole Life Policy)	C	Dividend	M	T					
10. Northwestern Mutual Life (Trust#1) (Whole Life Policy)	E	Dividend	O	T					
11. Northwestern Mutual Life(Trust #1) (Whole Life Policy)	E	Dividend	N	T					
12. CSG Systems International Inc.Com	E	Dividend	O	T	Buy (add'l)	08/16/18	M		
13. Summit Mariner, LLC		None	P1	U					
14. Summit Mariner LLC/JP Morgan Checking		None	K	T					
15. Rental # 1 /JPMorgan Checking		None	J	T					
16. Rental # 2 ██████████ (1999 \$ 900,000)	E	Rent	P1	R					
17. Rental # 2/JP Morgan -Checking	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	
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18. JP Morgan(Checking)-		None	M	T					
19. Vacant Land (1999 \$ 425,000)		None	N	R					
20. Trident Capital Fund V LP		None	K	U	Sold (part)	12/24/18	J		
21. Golf Partners LLC		None	K	U					
22. JP Morgan (Checking)	A	Interest	P2	T					
23. JK & B Capital IV QIP LP		None	K	U	Sold (part)	01/17/18	J		
24. JP Morgan Checking(Foundation #1)	A	Interest	J	T					
25. Kinderhook Capital I LP		None	L	U					
26. JP Morgan Tax Free MM Premier Sweep		None	P2	T					
27. Menemsha Capital Partners Ltd		None	K	U					See Note # 2
28. CGI Partners,LP	G	Distribution	L	U	Sold (part)	02/06/18	O		See Note # 1
29. Micell Technologies Inc.(Com)		None	K	T					
30. Linx Partners II LP	G	Distribution	N	U	Sold (part)	10/29/18	P1		See Note # 1
31. SFM Participation II LP	G	Distribution	M	U	Sold (part)	01/05/18	L		See Note # 1
32.					Sold (part)	02/20/18	K		
33.					Sold (part)	03/22/18	P1		
34.					Sold (part)	06/27/18	K		

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35.					Sold (part)	08/31/18	K		
36.					Sold (part)	09/11/18	M		
37.					Sold (part)	12/27/18	L		
38. Thornburg Core Growth CI A (IRA)		None	N	T					
39. Jetblue (Com)		None	O	T					
40. Aisling Capital II LP	G	Distribution	M	U	Buy (add'l)	01/10/18	J		See Note # 1
41.					Sold (part)	02/26/18	K		
42.					Sold (part)	10/24/18	N		
43. J K & B Capital V LP	F	Distribution	P1	U	Buy (add'l)	06/13/18	K		See Note # 1
44.					Buy (add'l)	07/30/18	L		
45.					Buy (add'l)	12/07/18	K		
46.					Sold (part)	06/12/18	O		
47. SEEF II LP	D	Distribution	P1	U	Sold (part)	02/06/18	K		See Note # 1
48. Towerbrook Investors II Executive Fund LP		None	O	U					
49. Trident VI LP	F	Distribution	N	U	Sold (part)	04/20/18	K		See Note # 1
50.					Sold (part)	08/03/18	L		
51.					Sold (part)	10/15/18	K		

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52. Kinderhook Capital Fund II LP	F	Distribution	P1	U	Sold (part)	01/26/18	J		See Note # 1
53.					Sold (part)	06/27/18	K		
54.					Sold (part)	11/28/18	K		
55. Kohls Corp (Com).	F	Dividend	P1	T	Buy (add'l)	05/10/18	M		
56.					Buy (add'l)	08/13/18	M		
57.					Donated (part)				
58. KPB Partners LP		None	P2	U					
59. Thornburg-Income Builder C1 1	C	Dividend	L	T					
60. Thornburg Global Opportunity C1 1	B	Dividend	L	T					
61. Thornburg CRE GWT (IRA)		None	N	T					
62. Ironwood Management Partners Fund II LP	H1	Distribution	O	U	Sold (part)	08/29/18	K		See Note # 1
63.					Sold (part)	09/07/18	P1		
64.					Sold (part)	12/27/18	L		
65. RGI Partners II B LP	G	Distribution	P1	U	Sold (part)	12/19/18	M		See Note # 1
66. RGI Partners Ltd	G	Distribution	P1	U	Sold (part)	01/10/18	N		See Note # 1
67.					Sold (part)	02/23/18	M		
68.					Sold (part)	05/21/18	N		

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69.					Sold (part)	11/19/18	J		
70.					Sold (part)	12/20/18	O		
71. Tailwind Capital Partners LP									See Note # 4
72. --Apex Companies LLC	G	Distribution	K	U	Sold (part)	03/23/18	J		See Note # 1
73.					Sold (part)	04/24/18	J		
74.					Sold (part)	12/12/18	P1		
75. --Transit Wireless LLC	G	Distribution			Sold	04/24/18	N		See Note # 1
76. --Hamilton State Banc Shares Inc	G	Distribution			Sold (part)	03/23/18	K		See Note # 1
77.					Sold	08/14/18	P1		
78. --Oceus Networks, Inc		None	M	U					
79. --Optimal Solutions Intergration Inc		None	L	U					
80. --Cumberland Consulting Group, LLC	E	Distribution	O	U					See Note # 1
81. --Northeast Communications of Wisconsin, Inc (dba "Nsight")	G	Distribution			Sold	08/14/18	O		See Note # 1
82. Tailwind Management LP	G	Distribution	P1	U	Sold (part)	12/28/18	O		See Note # 1
83. Tailwind Capital Partners (GP) LP									See Note # 4
84. --Apex Companies LLC	H1	Distribution	O	U	Sold (part)	04/24/18	K		See Note # 1
85.					Sold (part)	12/12/18	P1		

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86. --Transit Wireless LLC	G	Distribution			Sold	04/24/18	O		See Note # 1
87. --Hamilton State Bancshares Inc	H1	Distribution			Sold (part)	04/24/18	L		See Note # 1
88.					Sold	08/16/18	P1		
89. --Oceus Networks Inc.		None	N	U					
90. --Optimal		None	M	U					
91. --Cumberland Consulting Group LLC	F	Distribution	P1	U					See Note # 1
92. --Northeast Comm of Wisconsin Inc (dba/ NSight)		None			Sold	08/16/18	P1		
93. Perseus Soros Partners	B	Distribution	M	U	Sold (part)	05/18/18	J		See Note # 1
94. Syndicate Holdings Corp(Com)		None	L	T					
95. Safe Bulkers Inc(Com)		None	N	T	Buy (add'l)	01/11/18	K		
96.					Buy (add'l)	04/24/18	K		
97.					Buy (add'l)	06/29/18	K		
98.					Buy (add'l)	10/03/18	K		
99.					Buy (add'l)	12/28/18	K		
100. Asling Investors III LP	G	Distribution	P1	U	Sold (part)	01/23/18	M		See Note # 1
101.					Sold (part)	05/04/18	L		
102.					Sold (part)	08/03/18	N		

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103.					Distributed (part)	06/07/18	J		See Note #5 to Line # 416
104.					Distributed (part)	10/02/18	J		See Note # 5 to Line # 417
105. Eastern Growth Capital II LP	B	Distribution	L	U					See Note # 1
106. Eastern Growth Capital II LP(IRA)	C	Distribution	M	U					See Note # 1
107. Linx-Metaltech Co Investment LLC		None	K	U					
108. Olympus Capital Asia IV LP		None	P1	U	Sold (part)	10/11/18	J		
109. Safe Bulkers Inc (Com)(IRA)		None	K	T					
110. Towerbrook Investors III Executive Fund LP	E	Distribution	M	U	Sold (part)	02/08/18	M		See Note # 1
111.					Sold (part)	10/18/18	K		
112. Invesco Equity Income FD A (401K)		None	J	T					
113. First Republic Bank (Checking)	A	Interest	M	T					
114. Kinderhook Capital Fund III LP		None	O	U	Buy (add'l)	01/22/18	J		
115.					Buy (add'l)	04/17/18	K		
116.					Buy (add'l)	12/31/18	K		
117. Rapid Ratings International Inc (Com)	G	Interest	P2	T	Buy (add'l)	04/03/18	N		
118.					Sold (part)	08/29/18	O		
119. Parkstone Capital Partners LLC		None	J	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)
120. UBS Bank USA Dep MM (IRA)	A	Interest	M	T					
121. Tailwind Capital Group LLC	D	Distribution	K	U					See Note # 1
122. Empowered World Ventures LLC(Preferred A)		None	M	T					
123. CSL Energy Opportunity Fd I LP		None	L	U	Sold (part)	05/24/18	L		
124. Parkstone Capital Partners II LP	C	Distribution	M	U	Sold (part)	12/31/18	J		See Note # 1
125. Highland Investment Group LLC	D	Distribution	J	U					See Note # 1
126. Artiman Venture Fund LP		None	M	U					
127. Docero LLC		None	O	U					
128. OD Funding Partners LLC		None			Sold	06/26/18	K		
129. Collision Funding Partners LLC	A	Distribution	N	U					See Note # 1
130. Figue Holdings LLC (Class B Common)		None	M	T					
131. JustFamily.Com,Inc.(Preferred Stock)		None	N	T					
132. Kenesto Corp (Preferred C)		None	P1	T	Buy (add'l)	01/08/18	K		
133.					Buy (add'l)	01/29/18	K		
134.					Buy (add'l)	03/28/18	K		
135.					Buy (add'l)	04/24/18	K		
136.					Buy (add'l)	06/12/18	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)	07/13/18	K		
138.					Buy (add'l)	08/03/18	K		
139.					Buy (add'l)	08/30/18	K		
140.					Buy (add'l)	09/26/18	K		
141.					Buy (add'l)	11/08/18	K		
142.					Buy (add'l)	12/07/18	K		
143. MogilityCapital Fund LP		None	N	U	Sold (part)	01/24/18	J		
144.					Sold (part)	11/21/18	J		
145. OpenFin Inc.(Preferred Stock)		None	N	T					
146. Remedy Pharmaceuticals Inc	G	Distribution	O	T	Buy (add'l)	01/31/18	K		See Note # 1
147.					Sold (part)	02/06/18	N		
148. Cardflight Inc (Preferred)		None	N	T	Buy (add'l)	01/29/18	M		
149.					Buy (add'l)	09/05/18	M		
150. Fenway HTM Partners LLC		None	K	U					
151. Gain Fitness Inc(Com)		None	M	T					
152. CMNet Inc (D/B/A iSeek Corp) Ser C (Preferred)		None	N	T					
153. Linx RE-Co-Invest LLC	C	Interest	K	U	Sold (part)	12/31/18	J		

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 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. Linx III LP		None	P1	U	Sold (part)	05/04/18	L		
155.					Buy (add'l)	02/28/18	O		
156.					Buy (add'l)	11/15/18	K		
157. Monaeo Inc(Conv. Promissory Note)		None	O	T					
158. Romulus Capital II US Feeder LP		None	N	U					
159. Linx-Grammer Co LLC	G	Distribution	O	U	Sold (part)	10/05/18	O		See Note # 1
160. Tailwind Capital Partners II LP									See Note # 8
161. --Diamondback Drugs	H1	Distribution	K	U	Sold (part)	08/14/18	P1		See Note # 1
162.					Sold (part)	12/10/18	L		
163. --Long's Drugs	G	Distribution	P1	U	Sold (part)	05/04/18	N		See Note # 1
164. --Colony Hardware	G	Distribution	O	U	Sold (part)	12/10/18	P1		See Note # 1
165. --Lieberman Research Worldwide	G	Distribution	P1	U					See Note # 1
166. --National HME		None			Buy (add'l)	12/10/18	M		
167.					Sold	12/31/18	J		
168. --Premiere Store Fixtures		None	K	U	Buy (add'l)	12/10/18	N		
169. --TowerCo IV	G	Distribution	K	U					See Note # 1
170. --Cumming	G	Distribution	P1	U	Buy (add'l)	12/10/18	L		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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. --Distinct Holdings Group, Inc Group-dba Diversified		None	P1	U					
172. --MetroGistics		None	P1	U					
173. --Stratix		None	P1	U					
174. --AST Corporation		None	O	U					
175. --DermaRite Industries LLC		None	O	U					
176. --Edenbridge Pharmaceuticals LLC	E	Distribution	P1	U					See Note # 1
177. --HMT Holdings Inc		None	P1	U					
178. --TW Lone Peak Master LLC	E	Distribution	N	U	Sold (part)	03/08/18	K		See Note # 1
179.					Sold (part)	05/14/18	K		
180.					Sold (part)	08/14/18	J		
181.					Sold (part)	12/10/18	K		
182. Trust # 4									See Note # 7
183. --Principal Global Diversified Income Fd Cl A	E	Dividend	O	T					
184. --Thornburg Income Builders Cl 1	G	Dividend	P1	T					
185. --Thornburg Global Opp Fd Cl 1	E	Dividend	P1	T					
186. --Thornburg Intl Value Fd 1	D	Dividend	O	T					
187. --Thornburg Limited Term Inc Cl 1	E	Dividend	P1	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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☐ 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. --UBS Bank USA Dep Account	B	Interest	L	T					
189. --JP Morgan Checking	C	Interest	P1	T					
190. --Docero LLC		None	M	U					
191. --Microsoft Corp(Com)	E	Dividend	O	T					
192. --Columbia Select Large Cap Growth FD	G	Dividend	P1	T	Sold (part)	12/31/18	P1		
193. --Safebulkers Inc		None	L	T					
194. --Martin Pharmaceuticals,Inc(Convertible Note)		None	M	T	Buy	02/28/18	M		
195. ---Tailwind Capital Partners III LP									See Note # 10
196. --Smith Cooper International Inc		None	N	U	Buy	09/14/18	N		
197. --Benevis Holding Corp		None	L	U	Buy	12/06/18	L		
198. --Abode Healthcare, Inc		None	M	U	Buy	12/31/18	M		
199. --Convergence Technologies,Inc		None	L	U	Buy	12/31/18	L		
200. --Loenbro LLC		None	L	U	Buy	12/31/18	L		
201. Trust # 3									See Note # 7
202. --Thornburg Income Builders Cl 1	F	Dividend	P1	T					
203. --Thornburg Global Opportunities Fd	E	Dividend	P1	T					
204. --Thornburg Intl Value Fd	E	Dividend	O	T					

1 Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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)	F ~\$50,001 - \$100,000 J ~\$15,000 or less N ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	P3 ~\$25,000,001 - \$50,000,000 Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	P4 ~More than \$50,000,000 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. --UBS Bank USA -Deposit Account	A	Interest	N	T					
206. --UBS AG Deposit Account		None			Closed	01/05/18	M		
207. --SPC Intermex LP	G	Distribution	M	U	Sold (part)	07/30/18	O		See Note # 1
208.					Sold (part)	10/29/18	J		
209. --Tailwind Capital Partners III LP									See Note # 10
210. --Smith Cooper International Inc		None	M	U	Buy	09/14/18	N		
211. --Benevis Holding Corp		None	K	U	Buy	12/06/18	K		
212. --Abode Healthcare, Inc		None	K	U	Buy	12/31/18	K		
213. --Convergence Technologies, Inc		None	K	U	Buy	12/31/18	K		
214. --Loenbro LLC		None	K	U	Buy	12/31/18	K		
215. Tailwind Capital Partners II (GP)LP									See Note # 8
216. --Colony Hardware Corp	G	Distribution	N	U	Sold (part)	12/10/18	N		See Note # 1
217. --Cummings Group Inc		None	O	U	Buy (add'l)	12/10/18	J		
218. --Diamondback Drugs of Delaware LLC	G	Distribution	N	U	Sold (part)	08/16/18	O		See Note # 1
219.					Sold (part)	12/10/18	K		
220. --Distinct Holdings Group, Inc (dba Diversified)		None	O	U					
221. --Long's Drugs Inc	G	Distribution	P1	U	Sold (part)	05/16/18	M		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. --Lieberman Research Worldwide LLC		None	O	U					
223. --Metrologistics LLC		None	O	U	Buy (add'l)	09/12/18	M		
224. --National HME, Inc		None			Buy (add'l)	12/10/18	K		
225.					Sold	12/31/18	J		
226. --Premier Store Fixtures, LLC		None	J	U	Buy (add'l)	12/10/18	K		
227. --Stratix Corp		None	O	U					
228. --Towerco 2013 Holdings LLC		None			Sold	01/02/18	J		
229. --TowerCo IV Holdings LLC	G	Distribution	N	U					See Note # 1
230. --AST Corporation		None	N	U					
231. --DermaRite Industries LLC		None	N	U					
232. --Edenbridge Pharmaceuticals LLC		None	N	U					
233. --HMT Holdings Inc		None	O	U	Buy (add'l)	09/12/18	M		
234. --TW Lone Peak Master LLC		None	M	U	Sold (part)	05/16/18	J		
235.					Sold (part)	08/16/18	J		
236.					Sold (part)	12/10/18	J		
237. The Yard (Promissory Note)	C	Interest	L	T					
238. RGI Partners B LP	G	Distribution	M	U	Sold (part)	02/13/18	L		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 \$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)

239.					Sold (part)	04/16/18	K		
240.					Sold (part)	06/27/18	L		
241. Radius Networks Inc (Com)		None	O	T					
242. Safebulkers Ser D 8 % Preferred	E	Dividend	M	T					
243. ChartIQ LLC		None	N	U					
244. Transplant Genomics Inc (Convertible Note)	D	Interest	N	T	Buy (add'l)	01/29/18	K		
245.					Buy (add'l)	04/30/18	K		
246. Transplant Genomics Inc(Preferred A)		None	M	T					
247. Real Endpoints LLC		None	O	U					
248. Valuestream Development Lab Fund LLC		None	M	U	Sold (part)	02/22/18	J		
249. Romulus Placester Special Opportunity Fd		None	L	U					
250. Grove Hospitality Asia GP LLC		None	J	U	Sold (part)	04/16/18	K		
251.					Sold (part)	07/27/18	L		
252.					Sold (part)	12/12/18	J		
253. Grove Hospitality Europe GP LLC	A	Distribution	J	U	Sold (part)	04/16/18	J		See Note # 1
254. Grove Aurelis II GP LLC	G	Distribution	N	U	Sold (part)	02/01/18	J		See Note # 1
255.					Sold (part)	04/16/18	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.					Sold (part)	06/27/18	J		
257.					Sold (part)	12/12/18	J		
258. GN WMC LLC		None	K	U					
259. Romulus Cohealo Special Opportunity Fund LP		None	M	U					
260. Invesco International Growth A (401k)		None	M	T					
261. Safebulkers Inc (Ser C Preferred) (IRA)	D	Dividend	L	T					
262. Personalized Cancer Therapy Inc (Com) d/b/a(PERTHA)		None	O	T	Buy (add'l)	02/02/18	L		
263.					Buy (add'l)	08/20/18	M		
264. Romulus ELC B3 Special Opportunity LP		None	M	U					
265. Sommetrics, Inc (Preferred Ser B)		None	N	T					
266. Sensai Corp (Convertible Note)		None	M	T					
267. Cycle Pharmaceuticals LTD (Ser A Shares)		None	P1	T	Buy (add'l)	10/09/18	M		
268. Free ATM Inc (Ser A Preferred)		None	K	T					
269. Engage Simply Inc (Convertible Note)		None	K	T					
270. Build and Imagine LLC		None	J	U	Sold (part)	09/17/18	L		
271. SpireCube LLC		None	L	U	Distributed (part)	06/28/18	J		See Note # 5 To Ln # 470
272. Linux-Transpro Co-Invest LLC	D	Distribution	L	U	Sold (part)	01/10/18	J		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 \$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)	01/26/18	J		
274.					Sold (part)	04/11/18	J		
275.					Sold (part)	09/04/18	J		
276. Linx-Gullett Co-Invest LLC		None	M	U					
277. 50 Mast LLC		None	M	U					
278. AG Team Partners LLC	E	Distribution	N	U	Sold (part)	12/05/18	K		See Note # 1
279. AG Team Partners III LP		None	M	U					
280. CSL Energy Opp Fund II LP		None	P1	U	Buy (add'l)	01/02/18	M		
281.					Sold (part)	01/02/18	M		
282.					Sold (part)	07/27/18	N		
283. Estimote Inc (Ser B Preferred)		None	M	T					
284. Grotech Ventures III LP		None	O	U	Buy (add'l)	01/23/18	K		
285.					Buy (add'l)	03/23/18	K		
286.					Buy (add'l)	06/11/18	K		
287.					Buy (add'l)	07/13/18	K		
288.					Buy (add'l)	09/07/18	K		
289.					Buy (add'l)	11/26/18	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)
290. Karma Culture LLC		None	M	U					
291. Kinderhook Capital Fund IV		None	P2	U	Buy (add'l)	01/18/18	K		
292.					Buy (add'l)	02/20/18	M		
293.					Buy (add'l)	03/19/18	N		
294.					Buy (add'l)	05/29/18	L		
295.					Buy (add'l)	07/16/18	M		
296.					Buy (add'l)	10/01/18	K		
297.					Buy (add'l)	12/14/18	L		
298. Linx-CPT Co Invest LLC	B	Interest	L	U	Sold (part)	01/31/18	J		
299.					Sold (part)	02/28/18	J		
300.					Sold (part)	04/11/18	J		
301.					Sold (part)	07/11/18	J		
302.					Sold (part)	10/15/18	J		
303. Logic9S LLC (Conv Promissory Note)		None	L	T	Sold (part)	11/08/18	M		
304. Oxy Docs, Inc (Conv Promissory Note)		None	O	T	Buy (add'l)	07/17/18	M		
305. Olympus Capital Asia Fd V LP		None	O	U	Buy (add'l)	02/07/18	M		
306.					Buy (add'l)	06/25/18	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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☐ 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.					Sold (part)	12/27/18	L		
308. Padloc Inc. (Ser A Preferred) N/C Aila		None	M	T					
309. Romulus Capital III (US) Feeder LP		None	P1	U	Buy (add'l)	12/05/18	N		
310. Perry Lane LLC		None	N	U					
311. Slingshot Insights Inc (Conv. Promissory Note)	D	Interest	M	T					
312. Syndicated Loan Direct Inc (Conv. Promissory Note)		None	P1	T					
313. TBCP Jacksonville LLC		None	J	U					
314. TernPro Inc (Conv Promissory Note & Preferred Stock)		None	L	T	Buy (add'l)	02/20/18	K		
315. Terafina Inc (Conv Promissory Note)		None	N	T					
316. Home Team Marketing LLC (Senior Promissory Notes)	G	Interest	O	T					
317. Highland Resort At the Peaks LLC	D	Distribution	M	U					See Note # 1
318. Edward Jones Retirement MM(IRA)		None	J	T					
319. Fidelity (Cash)	A	Interest	J	T					
320. Figue Holdings LLC		None	J	U					
321. Gain Fitness Inc(Conv Note)		None	J	T					
322. Aisling Capital IV LP		None	P1	U	Buy (add'l)	01/02/18	L		
323.					Buy (add'l)	02/05/18	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.					Buy (add'l)	02/26/18	L		
325.					Buy (add'l)	03/05/18	L		
326.					Buy (add'l)	09/21/18	K		
327.					Buy (add'l)	12/04/18	L		
328.					Sold (part)	01/24/18	L		
329.					Sold (part)	06/29/18	L		
330.					Sold (part)	09/13/18	N		
331.					Sold (part)	11/02/18	M		
332. Canal Logix LLC	A	Distribution	L	U					See Note # 1
333. Collision Funding Partners LLC (Note)		None	K	T					
334. Linx-Elite Co Invest LLC	D	Interest	N	U	Sold (part)	01/12/18	J		
335.					Sold (part)	04/11/18	J		
336.					Sold (part)	07/11/18	J		
337.					Sold (part)	10/15/18	J		
338. Linx-Nebr Co Invest LLC		None	M	U					
339. Peterson Partners VIII LP		None			Sold	06/29/18	O		
340. Romulus Estify Sp Opportunity 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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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. Romulus Growth Cogito LP		None	M	U					
342. Strategic Alternative Fund Group LLC		None	L	U					
343. Parkstone Capital Partners IV Holdings LP	B	Distribution	M	U	Sold (part)	12/31/18	J		See Note # 1
344. Linx Q Liquidating Tr	D	Distribution	J	U	Sold (part)	12/26/18	J		See Note # 1
345. Fulling Mills LLC	E	Distribution	O	U	Buy (add'l)	11/14/18	M		See Note # 1
346. Ram Realty IV LP		None	O	U	Buy (add'l)	03/27/18	M		
347.					Buy (add'l)	08/06/18	M		
348.					Buy (add'l)	11/06/18	M		
349. Alpine-Gleewood LP		None	K	U					
350. BigID Inc(Conv Note)		None	M	T					
351. Lending Front Inc (Conv Note)		None	M	T					
352. Mine One GMBH (Ser A sh) (IRA)		None	M	T					
353. Relationship Capital Partners Inc (Conv Notes)		None	O	T	Buy (add'l)	04/05/18	N		
354. PHRP LLC									See Note # 11
355. --Shareablee Inc (Ser A Pref)		None	P1	T					See Note # 11
356. Skyfront Corp (Note Rec)		None	K	T					
357. SPC Internex LP	G	Distribution	O	U	Sold (part)	07/30/18	O		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 \$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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	(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.					Sold (part)	10/29/18	J		
359. Yingo Yango Inc (Ser A Pref)		None	M	T					
360. American Fund Cap Inc (401K)		None	M	T					
361. UBS Bank USA Deposit Ac	A	Interest	K	T					
362. UBS AG Deposit Act (IRA)	B	Interest			Closed	12/31/18	J		
363. 312 Atlantic Ave LLC		None	M	U					
364. Flank 71 Smith LLC		None	O	U	Sold (part)	01/26/18	L		
365.					Sold (part)	04/20/18	K		
366.					Sold (part)	08/09/18	K		
367.					Sold (part)	10/30/18	K		
368.					Sold (part)	12/14/18	K		
369. UBS Bank USA BUS ACCT(Foundation # 1)	A	Interest	L	T					
370. UBS AG Deposit Account (Foundation #1)		None			Closed	07/31/18	J		
371. Oppenheimer Lmt Term Bond Fd(Foundation # 1)	B	Dividend			Sold	07/31/18	L		
372. Virtus Low Duration Income Fd A(Foundation # 1)	A	Dividend			Sold	07/31/18	J		
373. Cyriline Morgan (Personal Note)		None	M	T					
374. Loch Lomond Golf Club(Ser C)	D	Dividend	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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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. UBS Bank USA Dept Ac (IRA)	A	Interest	M	T					
376. Thornburg Global Oppy Fd CL A(IRA)	D	Dividend	N	T					
377. American Balanced Fund Inc (IRA)	E	Dividend	N	T					
378. American Fund Global Balanced (IRA)	D	Dividend	N	T					
379. Nvidia Corp (IRA)		None			Sold	02/14/18	M	E	
380. Nucana PLC GBR (IRA)		None	P2	T	Sold (part)	04/17/18	N	G	
381. Relationship Capital Partners (IRA) (Convertible Promissory Note)		None	L	T					
382. Aimmune Therapeutics Inc (Com)		None			Sold	01/08/18	K	E	
383. Esperion Therapeutics Inc		None			Sold	01/08/18	N	G	
384. ERA Investor Fund 6 LP		None	M	U	Buy (add'l)	01/22/18	L		
385.					Buy (add'l)	12/07/18	L		
386.					Sold (part)	07/11/18	K		
387. Groupize Inc (Ser A-2 pfd)		None	N	T	Buy (add'l)	04/03/18	L		
388.					Buy (add'l)	11/26/18	L		
389. Medaptive Health Inc (Conv Prom)		None	L	T					
390. Poliwogg Holdings Inc (Ser B Conv Preferred)		None	L	T					
391. Shiftsmart Inc (Ser AA Preferred)		None	L	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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Name of Person Reporting

McMahon, Colleen

Date of Report

08/12/2019

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. BondCliQ Inc (Conv Promissory Note)		None	L	T					
393. Canal Logic 2 LLC	A	Distribution	L	U					See Note # 1
394. Nextremity LLC N/C Nextremity Solutions Inc (Ser B Preferred)		None	M	T					
395. Sayspring Inc		None			Sold	04/17/18	N	G	
396. Three Girls and a Lion LLC N/C TG& L Holdings LLC(Convertible Note)		None	N	T	Buy (add'l)	02/09/18	M		
397.					Buy (add'l)	08/24/18	M		
398. Entrepreneurs Expansion Fund III LP		None	M	U	Buy (add'l)	03/12/18	K		
399.					Buy (add'l)	08/15/18	K		
400.					Buy (add'l)	12/07/18	K		
401.					Sold (part)	07/11/18	J		
402. Kinderhook V LP		None	P1	U	Buy (add'l)	02/20/18	N		
403.					Buy (add'l)	03/29/18	N		
404.					Buy (add'l)	06/08/18	N		
405.					Buy (add'l)	08/06/18	M		
406. Valuestream Ventures 2017 LLC		None	M	U	Buy (add'l)	04/10/18	M		
407. Workbench Ventures III LLC		None	L	U	Buy (add'l)	02/08/18	K		
408.					Buy (add'l)	07/16/18	K		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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)	F = \$50,001 - \$100,000 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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Name of Person Reporting

McMahon, Colleen

Date of Report

08/12/2019

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.					Buy (add'l)	10/11/18	J		
410. 71 Smith Retail Venture LLC		None	O	U	Sold (part)	02/13/18	L		
411. First Republic Checking	A	Interest	M	T					
412. Generation Tax (Ser D-2 Preferred)	A	Interest	M	T	Sold (part)	12/31/18	J		
413. Nucana PLC Spons ADR (IRA)		None			Sold	03/14/18	M	E	
414. Seventh Sibling LLC (Promissory Note)		None	K	T					
415. RGI Recap Partners LLC	H1	Distribution	O	U	Sold (part)	04/16/18	M		See Note # 1
416. TransEnterix Inc		None			Spinoff (from line 103)	06/07/18	J		See Note # 6
417.					Spinoff (from line 104)	10/02/18	J		See Note # 6
418.					Donated				
419. Parkstone Capital Partners III LP	G	Distribution	N	U	Buy	05/07/18	M		See Note # 1
420.					Buy (add'l)	06/01/18	K		
421. 1101 Grundy Property Owner LLC		None	O	U	Buy	11/13/18	O		
422.					Buy (add'l)	12/18/18	K		
423. Adaptive Management Inc (Convertible Promissory Note)		None	M	T	Buy	08/13/18	M		
424. Bioxel Therapeutics Inc (Com)		None	M	T	Buy	02/09/18	M		
425. Blue Systems A.Y. Ltd (Ordinary)		None	K	T	Buy	04/09/18	K		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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)	F = \$50,001 - \$100,000 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				
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426. B Hospitality Corp (Series Seed Preferred)		None	K	T	Buy	06/27/18	K		
427. Canal Logix 3 LLC		None			Buy	08/20/18	K		
428.					Sold	11/08/18	K		
429. Felix Gray Inc (Ser A-1 Preferred)		None	M	T	Buy	12/18/18	M		
430. findSisterhood Inc (Convertible Promissory Note)		None	L	T	Buy	08/10/18	K		
431.					Buy (add'l)	10/16/18	K		
432. LA Aloe LLC		None	M	U	Buy	06/25/18	M		
433. Linx-CTAM Co-Invest, LLC	D	Interest	M	U	Buy	03/13/18	M		
434. Plum Alley Syndicate XIII LLC		None	M	U	Buy	11/01/18	M		
435. Vitalis LLC		None	N	U	Buy	09/05/18	N		
436. Ladder Capital Corp (Com) (IRA)		None	N	T	Buy	10/16/18	N		
437. AG Team Partners II LP		None	N	U	Buy	02/21/18	N		
438.					Sold (part)	04/10/18	L		
439. Martin Pharmaceuticals Inc (Convertible Promissory Note)		None	M	T	Buy	03/09/18	M		
440. Clarke (Mortgage)	D	Interest	N	T	Buy	06/29/18	N		
441. MiMeetings d/b/a 242 LLC (Convertible Promissory Note)		None	L	T	Buy	11/13/18	L		
442. Modumental Inc (Convertible Promissory Note)		None	L	T	Buy	08/24/18	L		

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

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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A 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				
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443. Popin Inc (Series Seed Preferred)		None	N	T	Buy	09/13/18	N		
444. Thompson Trucking (X)	B	Distribution			Sold	06/12/18	J		See Note # 3
445. Second Screen Inc (Convertible Promissory Note)		None	K	T	Buy	12/07/18	K		
446. SPC Vereco LP		None	M	U	Buy	10/02/18	N		
447.					Sold (part)	10/30/18	K		
448. Tallarium Limited (Preferred Shares)		None	L	T	Buy	06/20/18	L		
449. The Square Foot Inc (Series A Preferred)		None	M	T	Buy	02/20/18	M		
450. Threshing Floor Security Inc (Series Seed Preferred)		None	L	T	Buy	10/22/18	L		
451. Under Armor (Com) (IRA)		None			Buy	03/05/18	N		
452.					Sold (part)	04/09/18	M		
453.					Sold	06/18/18	M	F	
454. xtra Chef Inc(Note)		None	K	T	Buy	12/07/18	K		
455. Docero LLC (Promissory Note)		None	M	T	Buy	08/14/18	M		
456. Mine One GmbH (Series B)		None	K	T	Buy	04/06/18	K		
457. Tailwind III LP									See Note # 10
458. --Smith Cooper International Inc		None	O	U	Buy	09/14/18	O		
459. --Benevis Holding Corp		None	M	U	Buy	12/06/18	O		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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460. --Abode Healthcare Inc		None	N	U	Buy	12/31/18	O		
461. --Convergence Technologies Inc		None	M	U	Buy	12/31/18	N		
462. --Loenbro LLC		None	N	U	Buy	12/31/18	N		
463. Tailwind III GP LP									See Note # 10
464. --Smith Cooper International Inc		None	N	U	Buy	09/14/18	K		
465. --Benevis Holding Corp		None	L	U	Buy	12/06/18	J		
466. --Abode Healthcare Inc		None	M	U	Buy	12/31/18	M		
467. --Convergence Technologies Inc		None	L	U	Buy	12/31/18	L		
468. --Loenbro LLC		None	L	U	Buy	12/31/18	L		
469. UBS Liquid Asset Gov't Fund(IRA)		None	M	T	Open	08/20/18	O		
470. Instructure		None			Spinoff (from line 271)	06/28/18	J		See Note # 6
471.					Donated				
472. JP Morgan -Pound Sterling		None	L	T	Open	01/02/18	L		
473. adTheorent Inc(X)	C	Distribution			Sold	11/21/18	J		See Note # 3
474. Gravitas Technology Services LLC(X)	G	Distribution			Sold	04/06/18	N		See Note # 3
475. Automotive Mastermind Inc(X)	G	Distribution			Sold	06/08/18	N		See Note # 3
476. Automotive Mastermind Inc(X)	E	Distribution			Sold	10/22/18	K		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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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477. E LaCarte Inc (Convertible Promissory Notes)		None	L	T	Buy	01/02/18	K		
478.					Buy (add'l)	04/05/18	K		
479.									
480.									
481.									
482.									
483.									
484.									

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	

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

Note #1

Explanation Re:Section VII ,

Item
#28,30,31,40,43,47,49,52,62,65,66,72,75,76,80,81,82,84,86,87,91,93,100,105,106,110,121,124,125,129,146,159,161,163,164,165,169,170,176,178,207,216,218,221,229,238,253,254,272,278,317,332,343,344,345,357,393,415,419

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 # 27

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

Note # 3

Explanation Section VII

Item # 444,473,474,475,476

Escrow income subject to various contingencies was received during 2018. The applicable securities were sold in prior years. The cost of the securities was zero.

Note # 4

Explanation Section VII

Item # 71-81,83-92

The Judge's [REDACTED] is a 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 # 103,104,271

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 # 416,417,470

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 # 182-208

The Judge's [REDACTED] 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 [REDACTED].

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.

See Note # 8

Explanation Section VII

Item # 160-181,215-236

The Judge's [REDACTED] is 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.

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Name of Person Reporting

McMahon, Colleen

Date of Report

08/12/2019

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

Note # 9

Explanation Section VIII

Item # 354,355

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

See Note # 10

Explanation Section VII

Item # 195-200,209-214,457-462,463-468

The Judge's [REDACTED] is a g Partner of Tailwind Capital Partners III LP and Tailwind Capital Partners III (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. Trust # 3 and Trust # 4 are also partners in Tailwind Capital Partners III LP. The

assets that are owned by the partnership are listed in the appropriate section of the report.

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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Washington, D.C. 20544