

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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 08/07/2009
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 01/01/2008 to 12/31/2008
7. Chambers or Office Address 500 Pearl Street New York, NY 10007 Chambers 640 Moynihan Courthou	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust # 1
2. Trustee	Trust #2
3. Trustee	Foundation #1
4. Director	Music Bridges Internatinal Inc
5. Adjunct Professor	Cardoza Law School

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. 2008	Cardoza Law School-teaching	\$14,000.00
2. 2008	Holy Trinity Lutheran Church-choir performance	\$250.00
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. 2008	[REDACTED] Deferred Compensation
2. 2008	CSG Systems Inc-Director Fee
3. 2008	Kohl's Department Stores Inc-Director Fee
4. 2008	Northstar Realty Finance Corp -Director Fee
5. 2008	[REDACTED] Managing Director
6. 2008	Safe Bulkers Inc -Director Fee
7. 2008	Jet Blue Airways Corp-Director Fee

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐ **NONE** *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Morgan Stanley Venture Investors III (IRA)	Capital Contribution	K
2. Morgan Stanley Venture Investors III LP	Capital Contribution	K
3. Skyline Venture Partners LP	Capital Contribution	K
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 Month - Day	(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	C	Dividend	L	T					
2. Kohl's Corp. Com (IRA)		None	O	T					
3. Thornberg Value Fund Class A Mut Fd. (I RA)	C	Dividend	N	T					
4. PW First Jewel Associate,L.P.	G	Distribution			Closed	12/31	N		See Note # 1
5. Morgan Stanley Venture Investors III LP (I RA)		None	K	U	Sold (part)	4/15	J		
6.					Sold (part)	10/7	J		
7. Kohl's Corp Com (Trust #2)		None	N	T					
8. Morgan Stanley Venture Investors III LP		None	K	U	Sold (part)	4/15	J		
9.					Sold (part)	10/7	J		
10. Psychemedics Corp. Com	A	Dividend	J	T					
11. EES 1986 LP		None	J	U					
12. Citibank(Checking)	A	Interest	K	T					
13. Skyline Venture Partners,L.P.		None	M	U					
14. MSCP III L.P.	A	Distribution	L	U					See Note # 1
15. McKinley Capital Realty Partners,LLC		None			Closed	1/2	J		
16. [REDACTED] (1998 300,000)		None	N	R					
17. [REDACTED] (1998 300,000)		None	N	R					

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

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18. Bond Finance International Con Due 11/2 3/2058(IRA)(N/C)		None	J	T					
19. Northwestern Mututal Life		None	J	T					
20. Citibank Checking (Trust # 2)		None	J	T					
21. EVILCO Life Insurnace (Trust # 1)		None	J	T					
22. Northwestern Mututal Life (Trust#1)	A	Interest	L	T					
23. Northwestern Mututal Life(Trust #1)		None	K	T					
24. PHL Insurnace (Trust #1)(N/C Madison Na tional Life Ins)	A	Interest	L	T					
25. Passport Money Market Fund (IRA)	A	Dividend	J	T					
26. SFM Domestic Investments LLC	E	Distribution	P1	U	Sold (part)	1/31	N		See Note # 1
27.					Buy (add'l)	2/25	L		
28.					Buy (add'l)	7/24	K		
29.					Sold (part)	10/22	K		
30. Sunrise Capital Special Partners, LLC		None	J	U					
31. CSG Systems International Inc.Com		None	N	T	Buy (add'l)	8/8	L		
32.					Sold (part)	10/23	M		
33. Summit Mariner, LLC		None	P1	U	Buy (add'l)	4/23	O		
34. Skyline Venture Partners Qualified Purchase Fund II		None	N	U	Buy (add'l)	9/10	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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35. Trident Capital Fund-IV LP	D	Distribution	L	U	Sold (part)	9/16	J		See Note # 1
36. Sentinel Capital Partners II LP	D	Distribution	K	U	Sold (part)	10/24	J		See Note # 1
37. [REDACTED]	G	Distribution	M	U	Sold (part)	2/22	K		See Note # 1
38.					Sold (part)	2/26	L		
39.					Sold (part)	2/29	N		
40. Summit Mariner LLC/JP Morgan Checking	A	Interest	K	T					
41. Rental # 1 /JPMorgan Checking	A	Interest	M	T					
42. Rental # 1, [REDACTED] (99 \$ 825,000),(06 \$1,100,000)(Y)									
43. Rental # 2 New York, NY(1999 \$ 900,000)	E	Rent	O	R					
44. Rental # 2/JP Morgan -Checking	A	Interest	J	T					
45. JP Morgan(Checking)-		None	M	T					
46. Andex Resources LLC		None	N	U	Sold (part)	6/30	J		
47.					Sold (part)	10/6	K		
48.					Sold (part)	12/19	K		
49. NYS Dorm. Authority Bond 5.75% due 07/08	E	Interest			Redeemed	7/1	O		
50. NYS Dorm. Authority Bond 7.5% due 07/10	C	Interest			Sold	7/1	J		
51. JP Morgan NY Tax-Free M/M Fund	E	Interest			Closed	1/3	P1		

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52. Vacant Land (1999 \$ 425,000)		None	N	R					
53. Five Point Fund LLC	D	Distribution	K	U	Sold (part)	6/30	J		See Note # 1
54. Trident Capital Fund V LP	F	Distribution	N	U	Buy (add'l)	3/17	K		See Note # 1
55.					Sold (part)	4/22	L		
56.					Sold (part)	6/16	K		
57.					Transferred (to line 362)	10/28	J		See Note # 3
58. Karsch Capital II LP	G	Distribution	P1	U					See Note # 1
59. Origin Investors LP		None			Sold (part)	3/28	J		
60.					Sold	6/9	J		
61. Linx Partners (Q) LP	F	Distribution	P1	U	Partial Sale	2/11	J		See Note # 1
62.					Partial Sale	8/21	K		
63. Grove Capital Commitment Partners LP		None	O	U					
64. Martha's Vineyard Golf Partners LLC		None	K	U					
65. Silvaris Corp Preferred B		None	N	U					
66. NY College Savers Program Series 151	A	Interest			Distributed	6/15	J		
67. JP Morgan (Checking)	E	Interest	O	T					
68. NY State Dorm. Auth 6.1% due 07/19	E	Interest	O	T					

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69. NY NY Transitional 5.3% due 11/09	E	Interest	N	T					
70. Rome NY HSG DEV 6.25% due 01/18	D	Interest	L	T	Sold (part)	7/1	J		
71. Oneida Cnty NY 6.25% due 06/15	E	Interest	O	T					
72. NY City HSG Dev 5.5% due 11/09	A	Interest			Sold (part)	5/1	J		
73.					Sold	5/8	J		
74. JK & B Capital IV QIP LP		None	O	U	Buy (add'l)	1/16	K		
75.					Buy (add'l)	3/19	L		
76.					Sold (part)	5/1	L		
77.					Buy (add'l)	6/2	K		
78.					Buy (add'l)	8/19	L		
79.					Buy (add'l)	11/16	L		
80. Perseus Biopharmaceutical Investor LP	G	Distribution	O	U	Sold (part)	2/19	N		See Note # 1
81.					Sold (part)	9/10	L		
82.					Transferred (to line 364)	12/18	M		See Note # 3
83. Skyline Venture Partners Qualified Purchaser Fund III LP	G	Distribution	O	U	Buy (add'l)	9/10	J		See Note # 1
84.					Buy (add'l)	12/3	J		
85.					Sold (part)	6/17	M		

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2. Value Codes (See Columns C1 and D3)	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	
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86. Towerbrook Private Equity Partners II LP	D	Distribution	J	U	Buy (add'l)	11/16	O		See Note # 1
87. TCP Limited Partners LLC		None	P1	U	Partial Sale	10/23	N		
88.					Buy (add'l)	11/3	L		
89. Grove II LP		None	J	U					
90. Tactics II LP	E	Distribution	O	U	Buy (add'l)	2/4	M		See Note #1
91.					Buy (add'l)	8/19	M		
92. JP Morgan Checking(Foundation #1)	A	Interest	O	T					
93. MM Community Funding III Sub Note		None	N	T					
94. OR Music LLC		None	K	U					
95. The EPI Companies LLC		None	L	U	Buy (add'l)	7/14	J		
96. Windstar Capital LLC Notes Receivable		None	N	T					
97. SFM Participation LP		None	J	U					
98. Capital Income Builders Fd Cl A(IRA)	B	Dividend	K	T					
99. NYS Env 6.7 6/15/10	D	Interest	M	T					
100. MSILF M/M	A	Dividend	J	T					
101. MSILF M/M	A	Dividend	J	T					
102. MSILF M/M(Y)									

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103. Glen Cove NY Ser A 5.375 1/15/10	D	Interest	M	T					
104. Northstar Realty Finance Corp Com	G	Dividend	P1	T	Buy (add'l)	5/23	L		
105. Tidewater Acquisition Inc Com		None			Sold	2/11	J		
106. Tidewater Acquisition Inc Pfd	B	Dividend			Sold	2/11	K		
107. ARX Global HighYield Sec Fund I LP		None			Sold (part)	7/1	P1		
108.					Sold	8/21	L		
109. Eclectic Investment Partners LP		None			Sold	12/30	M		
110. Kinderhook Capital I LP	H1	Distribution	P1	U	Buy (add'l)	3/20	K		See Note #1
111.					Buy (add'l)	12/31	K		
112.					Sold (part)	3/20	O		
113.					Sold (part)	12/31	M		
114. Morris Global Strategies LP	E	Distribution	P1	U					See Note # 1
115. Capital World Grth & Income Fd CI A(IRA)	D	Dividend	M	T	Buy (add'l)	4/15	J		
116.					Buy (add'l)	10/7	J		
117. Thornburg CRE GWT I		None	L	T					
118. Thornburg CRE GWT I		None	K	T					
119. Thornburg CRE GWT I(Y)									

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 I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code I (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Long Island Power 5.5 12/1/09	F	Interest			Sold	11/10	P1	D	
121. NYC GO 5.25 8/1/09	D	Interest	M	T					
122. NYS Dormitory 5.0 7/1/09	C	Interest	M	T					
123. NYS Power Auth 6.5 1/1/08	B	Interest			Redeemed	1/2	L		
124. NYS GO 5.25 8/1/08	F	Interest			Redeemed	8/1	P1		
125. Erie Cnty NY 5.0 5/1/09	D	Interest	M	T					
126. NYS GO 6.0 11/15/08	E	Interest			Redeemed	11/15	N		
127. Niagra Falls NY 5.625 6/15/10	D	Interest	M	T					
128. NYC GO 4.125 3/15/10	C	Interest	M	T					
129. NYC Transitional 5.25 11/15/11	E	Interest			Sold	11/10	N	B	
130. NYS Dormitory 5.0 2/15/11	E	Interest	P1	T					
131. Suffolk County NY 5.0 2/1/09	E	Interest	P1	T					
132. NYC Mun Water 5.8 6/15/29		None			Sold	1/1	P1		
133. NYS Dormitory 5.75 2/15/08	E	Interest			Redeemed	2/15	O		
134. NYS Dormitory 5.25 7/1/09	E	Interest	N	T	Sold (part)	11/10	P1	D	
135. Yonkers NY 6.25 2/1/16	E	Interest	N	T					
136. NYS TWY Auth 5.25 4/1/08	C	Interest			Redeemed	4/1	M		

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. NYC GO 5.125 3/15/19	D	Interest	M	T					
138. Nassau Cnty NY 4.0 11/15/08	C	Interest			Redeemed	11/17	L		
139. JP Morgan Tax Free MM Premier Sweep	G	Interest	P1	T					
140. UTS Energy Corp (Com)		None			Sold	7/16	M	E	
141. Merrill Lynch Redi Assets (MM)	C	Dividend			Closed	11/24	J		
142. R Thompson Trucking(Subordinated Note)	D	Interest	K	T					
143. R Thompson Trucking(Com)		None	K	U					
144. The EPI Co LLC Sub Note	D	Interest	K	T					
145. [REDACTED]	E	Distribution	P1	U					See Note # 1 & Note # 4
146. --Snow Beverage Corp Preferred C		None			Buy (add'l)	9/17	M		See Note # 4
147.					Buy (add'l)	10/13	L		See Note # 4
148. --Intent Mediaworks Ser A Preferred		None			Sold	3/26	K		
149. --Intent Mediaworks Senior Convertible Pr omissory Note		None			Sold	3/26	J		
150. -Dynova Laboratories Inc (Com)		None			Buy (add'l)	9/24	N		See Note # 4
151. Alba Advisors LLC		None	J	U					
152. Camulos Partners LP		None	P1	U					
153. Capital SLI Group LLC		None	P1	U	Buy (add'l)	3/19	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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	4/2	L		
155. CGI Partners,LP	G	Distribution	P2	U	Buy (add'l)	4/10	K		See Note # 1
156.					Buy (add'l)	7/15	N		
157.					Buy (add'l)	10/10	L		
158.					Buy (add'l)	12/18	N		
159.					Sold (part)	12/18	M		
160. Micell Technologies Inc.(Com)		None	K	U	Sold (part)	3/8	J		
161. 441 East 57th Street LLC		None	P1	U	Buy (add'l)	1/22	N		
162.					Buy (add'l)	2/14	K		
163.					Buy (add'l)	10/22	N		
164. Half Shell Entertainment Films LLC		None	K	U					
165. ICP D100 LLC	A	Distribution	M	U					See Note # 1
166. ICP D400 LLC		None	M	U					
167. ICP D200 LLC		None	M	U					
168. ICP 2800A LLC		None	N	U	Sold (part)	9/19	J		
169. Linx Partners II LP		None	P1	U	Buy (add'l)	4/2	M		
170.					Buy (add'l)	10/6	N		

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Sold (part)	2/4	K		
172.					Sold (part)	10/6	K		
173. Lone Cypress Company Ltd	F	Distribution	P1	U	Sold (part)	6/30	M		See Note # 1
174. 133 West 4th Street LLC	H1	Distribution			Sold (part)	1/15	O		See Note # 1
175.					Sold (part)	2/29	P1		
176.					Sold	12/31	K		
177. SEEF Manager LLC	G	Distribution			Sold (part)	7/21	M		See Note # 1
178.					Sold	12/30	J		
179. Sentinel Capital Investors III LP	E	Distribution	O	U	Buy (add'l)	10/6	L		See Note # 1
180.					Buy (add'l)	12/31	J		
181.					Sold (part)	5/13	K		
182.					Sold (part)	6/27	J		
183.					Sold (part)	12/31	J		
184. SFM Participation II LP	F	Distribution	P2	U	Buy (add'l)	2/6	P1		See Note # 1
185.					Sold (part)	9/22	L		
186.					Buy (add'l)	9/25	P1		
187. Triad Liquidating Company 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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☐ 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. North Salem Acquisition & Development Fund 2005 LP		None	M	U	Sold (part)	2/2	K		
189.					Sold (part)	3/3	K		
190.					Sold (part)	4/4	K		
191.					Sold (part)	5/5	K		
192.					Sold (part)	6/2	K		
193.					Sold (part)	7/7	K		
194.					Sold (part)	8/20	K		
195.					Sold (part)	9/7	K		
196.					Sold (part)	10/7	K		
197.					Sold (part)	11/3	K		
198.					Sold (part)	12/31	K		
199. Thornburg Core Growth Client A (IRA)		None	M	T					
200. Thornburg Investment Trust International Value Client 1	A	Dividend	J	T					
201. Thornburg Investment Trust International Value Client 1	A	Dividend	J	T					
202. Thornburg Investment Trust International Value Client 1 (Y)									
203. Jetblue (Com)		None	O	T					
204. ML Institutional Fund MM	C	Dividend			Closed	11/4	J		

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. Interactive Brokers LLC--Futures Fund	A	Interest	M	T	Buy (add'l)	9/22	L		
206. ICP D600 LLC		None			Closed	12/31			See Note # 5
207. ICP 2800B LLC		None	J	U	Sold (part)	8/29	L		
208. 383-391 West 12th St LLC		None	P1	U	Buy (add'l)	6/15	K		
209. Aisling Capital II LP		None	P1	U	Buy (add'l)	1/9	L		
210.					Buy (add'l)	4/11	N		
211.					Buy (add'l)	10/30	J		
212.					Buy (add'l)	12/15	M		
213. By The Way Productions LLC		None	L	U	Buy (add'l)	2/25	J		
214. HMLP Private Investor LLC		None	P1	U					
215. IM Safer Inc. Preferred Ser A		None			Sold	3/18	K		
216. J K & B Capital V LP		None	P1	U	Buy (add'l)	2/28	M		
217.					Buy (add'l)	6/11	K		
218.					Buy (add'l)	6/30	K		
219.					Buy (add'l)	9/8	M		
220.					Buy (add'l)	10/6	L		
221.					Buy (add'l)	12/3	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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3. Value Method Codes (See Column C2)					

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. SEEF II LP		None	P1	U	Buy (add'l)	4/8	O		
223.					Buy (add'l)	11/17	N		
224. Stafford Logistics Inc. Promissory Note	C	Interest			Redeemed	2/4	K		
225. Stafford Logistics Inc (Com)		None	L	U					
226. Towerbrook Investors II Executive Fund LP		None	P1	U	Buy (add'l)	1/14	O		
227.					Sold (part)	1/14	M		
228.					Sold (part)	8/16	K		
229.					Sold (part)	11/20	K		
230. Trident VI LP		None	N	U	Buy (add'l)	3/7	K		
231.					Buy (add'l)	6/16	K		
232.					Buy (add'l)	10/16	K		
233. Kinderhook Capital Fund II LP		None	P1	U	Buy (add'l)	1/24	N		
234.					Buy (add'l)	6/17	L		
235.					Buy (add'l)	7/14	N		
236.					Buy (add'l)	9/8	M		
237. Kohls Corp (Com).		None	N	T					
238. Thornburg Inv. Tr Intl Value Cl I Fund (Fo undation #1)	E	Dividend			Sold (part)	1/7	M	E	

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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239.					Sold (part)	4/3	M	E	
240.					Sold (part)	5/23	M	E	
241.					Sold (part)	9/29	O		
242.					Sold	11/13	O		
243. North Salem Aquisition & Dev Fund 2005 LP-Preferred Equity	F	Interest	N	T	Sold (part)	12/31	M		
244. KPB Partners LP		None	P1	U					
245. NYS Convention Center 5.75 % due 6/1/08	E	Interest			Redeemed	6/2	O		
246. Childrens Trust Fund-Puerto Rico 5 % due 7 /1/08	E	Interest			Redeemed	7/1	N		
247. NYS Dormitory 5.25 % due 5/15/09	D	Interest	N	T					
248. NYS Dormitory 5.125 % due 5/15/21	E	Interest			Sold	11/10	O	C	
249. NYS Thruway 5% due 4/1/10	E	Interest	P1	T					
250. NYS Dormitory Authority 5.25% due 11/15 /23	F	Interest	P1	T					
251. Brookhaven NY 4.25% due 11/1/37	E	Interest	P1	T	Sold (part)	11/3	J		
252. Dutchess County NY 5 % due 8/1/11	E	Interest	O	T					
253. NYS Dormitory Zero Coupon due 8/15/40	E	Interest	N	T					
254. Puerto Rico 5 % due 7/1/09	D	Interest			Sold	1/22	N		
255. City of NY Genl Pur 5 % due 8/1/12	E	Interest	O	T					

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. NYS Dormitory 4.5 % due 7/1/11	E	Interest	P1	T					
257. NYS Dormitory 7.5 % due 7/1/10	E	Interest	M	T	Sold (part)	7/1	M		
258. NYS Local Gov't Assis Corp 5 % due 4/1/09	E	Interest			Sold	4/1	P1		
259. City of NY Genl Pur adj rate due 8/1/16	C	Interest			Sold	2/19	P1		
260. City of NY Adj rate due 8/1/17	C	Interest			Sold	2/19	N		
261. City of NY- Adj rate due 8/15/18	C	Interest			Sold	2/19	N		
262. NYS Dormitory 5.25 % due 7/1/09	F	Interest	N	T					
263. Troy NY 5 % due 9/1/37	E	Interest	P1	T					
264. NY NY 6.1 % due 6/15/31	D	Interest	M	T					
265. NYS Dormitory Adj rate due 11/15/29	E	Interest	N	T					
266. Thornburg-Income Builder Cl 1	C	Dividend	K	T					
267. Thornburg Global Opportunity Cl 1	B	Dividend	K	T					
268. Thornburg CRE GWT 1 (Trust # 2)	A	Dividend	K	T					
269. Altria Corp(Com)		None			Donated				To Foundation #1 Line 381
270. Martin Marietta Materials Inc (Com)		None			Donated				To Foundation # 1 Line 383
271. Morgan Stanley Bank (Savings)	A	Interest	K	T					
272. Morgan Stanley Bank (Savings)	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 H =\$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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. Morgan Stanley Bank (Savings)(Y)									
274. Morgan Stanley-Cash Account		None			Closed	1/2	K		
275. Morgan Stanley-Cash Account		None			Closed	11/2	K		
276. Morgan Stanley-Cash Account(Y)									
277. Thornburg Global Opportunity Fd I	E	Dividend			Sold (part)	7/22	P1	E	
278.					Sold	11/11	M		
279. Thornburg CRE GWT (IRA)		None	J	T					
280. Morgan Stanley Bank-(Savings)	C	Interest	J	T					
281. Morgan Stanley Trust Bank-(Savings)	B	Interest			Closed	7/31	J		
282. Atticus Global LP	E	Distribution	O	U					See Note # 1
283. DLH Capital Partners LP		None			Sold	12/31	N		
284. Inavein LLC		None	L	U					
285. Ironwood Management Partners Fund II LP		None	M	U	Buy (add'l)	1/8	K		
286.					Buy (add'l)	8/28	K		
287. KCM Alphan Only Fund LP	G	Distribution	O	U					See Note # 1
288. Linx-Cimarron Energy Co-Invest, LLC	D	Interest	N	U	Buy (add'l)	1/10	J		
289.					Buy (add'l)	4/22	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 H = \$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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Buy (add'l)	7/21	J		
291. Linx-McBride America Co-Invest, LLC	C	Interest	N	U	Buy (add'l)	4/15	K		
292.					Buy (add'l)	12/8	L		
293. MB Growth Partners II LP	C	Distribution			Sold	7/21	N		See Note # 1
294. Olympus Capital Asia III LP	G	Distribution			Sold	4/19	P1		See Note # 1
295. The Optima Partners Focus Fund LLC		None			Sold	12/31	O		
296. RGI Co Investment Fund LP(N/C RGI Partners II B LP		None	O	U					
297. RGI Partners Ltd	G	Distribution	P1	U	Buy (add'l)	5/5	P1		See Note # 1
298.					Buy (add'l)	9/15	P1		
299.					Buy (add'l)	11/13	O		
300. SC Capital (P) LP		None	P1	U	Buy (add'l)	2/11	O		
301.					Buy (add'l)	3/7	J		
302.					Buy (add'l)	6/2	J		
303.					Buy (add'l)	8/19	J		
304.					Buy (add'l)	11/7	J		
305.					Sold (part)	2/28	N		
306. Sire Global Partners LP		None			Sold	12/31	N		

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. [REDACTED]		None	P1	U	Buy (add'l)	2/5	N		
308.					Buy (add'l)	3/17	N		
309.					Buy (add'l)	4/17	L		
310.					Buy (add'l)	6/13	M		
311.					Buy (add'l)	6/25	M		
312.					Buy (add'l)	7/10	L		
313.					Buy (add'l)	9/5	P1		
314.					Buy (add'l)	10/15	N		
315.					Sold (part)	2/5	O		
316.					Sold (part)	5/16	N		
317.					Sold (part)	6/4	M		
318.					Sold (part)	6/13	N		
319.					Sold (part)	6/26	L		
320.					Sold (part)	8/21	K		
321. [REDACTED]		None	O	U					
322. [REDACTED]		None	P1	U					
323. Unigo LLC		None	N	U					

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. REN Private Investors LLC		None			Sold	1/2	L		
325. Camulos Special Situations Fund LP		None	M	U	Sold (part)	6/1	M		
326. ICP D600B LLC-Preferred Equity		None			Closed	12/31			See Note # 5
327. Wall Street Sources Inc(Com)		None	O	U					
328. Navagate Inc (Promissory Note)		None	P1	T					
329. Omnilink Systems Inc (Ser B Preferred Stock)		None	P1	U	Buy (add'l)	2/26	M		
330.					Buy (add'l)	8/19	O		
331. American Home Food Products Inc (Com)		None	N	U					
332. IM Safer Inc-(Convertible Promissory Note)		None			Closed	12/31			See Note # 5
333. Vanguard Prime Money Market FD(IRA)	B	Dividend			Sold	4/2	O		
334. Vanguard Short Term Inv Gr Inc (IRA)	D	Dividend			Sold	4/2	P1		
335. Pend Vest LP		None	N	T					
336. Perseus Soros Partners	G	Distribution	O	T	Sold (part)	2/22	M		See Note # 1
337.					Transferred (to line 365)	12/18	K		See Note # 2
338. Syndicate Holdings Corp(Com)		None	N	U	Buy (add'l)	2/19	M		
339.					Buy (add'l)	4/30	J		
340.					Buy (add'l)	12/22	M		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. City of NY 5.35% Due 8/1/12	D	Interest	K	T	Buy	3/15	M		
342.					Sold (part)	11/8	M		
343. MTA 5.00 Due 11/15/10	E	Interest	O	T	Buy	2/26	O		
344. NYS Dorm 4 % Due 7/1/08	D	Interest			Buy	3/4	N		
345.					Redeemed	7/1	N		
346. NYS Dorm 5.75 % Due 7/1/09	E	Interest	N	T	Buy	3/5	P1		
347.					Sold (part)	7/1	O		
348. NYS Dorm 5.75 Due 7/1/13	E	Interest	P1	T	Buy	3/12	P1		
349. City of NY 5.5 % Due 8/1/12	D	Interest	N	T	Buy	3/20	N		
350. State of NY Mtg Agency 3.125 % Due 10/1/11	D	Interest	O	T	Buy	3/20	O		
351. State of NY Mtg Agency 2.875 % Due 4/1/10	D	Interest	N	T	Buy	3/20	N		
352. NYS Dorm 5.7 Due 7/1/13	D	Interest	P1	T	Buy	4/22	P1		
353. City of NY Health & Hosp 4 % Due 2/15/13		None	O	T	Buy	8/27	O		
354. County of Oneida 5 % Due 9/15/10	D	Interest			Buy	9/25	P1		
355.					Sold	11/10	P1		
356. NYS Mtg Agency 5 % Due 10/1/17	A	Interest	N	T	Buy	9/15	O		
357. State of NY Dorm 4 % Due 9/1/12		None	O	T	Buy	12/8	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	
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. State of NY Dorm 4.125 % Due 4/1/13		None	N	T	Buy	12/8	N		
359. Perseus Soros BioPharmaceutical Fund LP		None	K	U	Buy	6/15	K		
360.					Transferred (to line 366)	12/18	J		See Note # 3
361. Safe Bulkers Inc(Com)		None	J	T	Buy	10/13	K		
362. iRobot (Com)		None			Transferred (from line 57)	10/28	J		See Note # 2
363.					Sold	11/13	J	B	
364. Auxilium Pharmaceutical Inc(Com)		None			Transferred (from line 82)	12/18	K		See Note # 2
365.					Transferred (from line 337)	12/18	K		See Note # 2
366.					Transferred (from line 360)	12/18	J		See Note # 2
367.					Sold	12/2	M	G	
368. ICP D100 LLC(Working Capital Loan)		None	K	T	Buy	6/25	K		
369. ICP D 200 LLC (Working Capital Loan)		None	L	T	Buy	4/25	L		
370. 383-391 West 12th Street LLC(Working Capital Loan)		None	M	T	Buy	4/15	M		
371. Aerothrust Engine Leasing Inc (Notes Receivable)		None	N	T	Buy	7/21	N		
372. Artisanal Cheese LLC(Bridge Loan)	C	Interest	M	T	Buy	10/10	M		
373. Nimblegen (Com)		None	J	U	Buy	4/1	J		
374.					Sold (part)	4/14	J		

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

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☐ 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. Nassau Point Partners I LP	G	Distribution	K	U	Buy	1/2	K		See Note # 1
376.					Sold (part)	10/30	M		
377. Nassau Point Partners II LP	G	Distribution	J	U	Buy	1/2	J		See Note # 1
378.					Sold (part)	10/31	M		
379. Synergy Bev Ser A (Preferred Stock)		None	M	U	Buy	3/5	M		
380. Synergy Bev Ser B (Preferred Stock)		None	M	U	Buy	10/21	M		
381. Altria Corp (Com)Foundation # 1)		None			Transferred (from line 269)	1/9	O		
382.					Sold	1/9	O		
383. Martin Marietta Materials Inc(Com)(Foun dation # 1)		None			Transferred (from line 270)	1/9	N		
384.					Sold	1/9	N		
385. Vornado Realty Trust Com (Foundation # 1)		None			Buy	12/1	M		
386.					Sold	12/10	M	E	
387. IBM Corp (Com)(Foundation # 1)		None	M	T	Buy	12/1	M		
388. Thornburg Global Opportunity Fd(Foundat ion #1)	D	Dividend			Buy	1/16	O		
389.					Sold	11/13	O		
390. Camulos 1301 I Street LLC	C	Distribution	K	U	Buy	1/2	K		See Note # 1
391. Camulos BioEnergy Debt Holdings LLC		None	M	U	Buy	1/2	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392.					Buy (add'l)	1/6	L		
393. Camulos BioEnergy Partners LLC		None	K	U	Buy	1/2	K		
394.					Buy (add'l)	1/6	K		
395. Camulos Fountain Hills Partners LLC		None	L	U	Buy	1/2	L		
396.					Buy (add'l)	1/6	L		
397. Camulos Gateway HI Partners LLC		None	K	U	Buy	1/2	K		
398. Camulos Gateway RH Partners LLC		None	K	U	Buy	1/2	K		
399. Camulos Granite Ridge Partners LLC	E	Distribution	M	U	Buy	1/2	N		See Note # 1
400. Asling Investors III LP		None	J	U	Buy	11/7	J		
401. Eastern Growth Capital I LP	E	Distribution	N	U	Buy	7/21	N		See Note # 1
402. Eastern Growth Capital II LP		None	L	U	Buy	7/14	L		
403. Eastern Growth Capital II LP(IRA)		None	M	U	Buy	11/3	M		
404. Linx-Metaltech Co Investment LLC	C	Distribution	M	U	Buy	10/28	M		See Note # 1
405.					Sold (part)	12/23	J		
406. Olympus Capital Asia IV LP		None	O	U	Buy	4/9	O		
407. Stag Investments IV LP	E	Distribution	N	U	Buy	5/9	N		See Note # 1
408.					Buy (add'l)	7/21	L		

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

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409.					Buy (add'l)	11/14	L		
410.					Sold (part)	10/9	J		
411.					Sold (part)	12/31	K		
412. Safeway Inc(Com)	B	Dividend			Buy	5/8	N		
413.					Sold	9/30	M		
414. American Internatonsal Group Inc.(Com)		None	K	T	Buy	9/23	K		
415. UBS Bank Dep Account(MM)	A	Interest	J	T	Buy	12/1	K		
416. MSTIT Liquid Aset(MM)(IRA)	E	Dividend			Buy	4/2	P1		
417.					Closed	11/4	P1		
418. Safe Bulkens Inc (Com)(IRA)	E	Dividend	M	T	Buy	5/28	N		
419. Eastern Growth Capital II LP (IRA)		None	M	U	Buy	11/4	M		
420. JP Morgan High Yeild Bond Fund(IRA)		None	N	U	Buy	12/3	N		
421. JP Morgan Cash Fund (MM)(IRA)	B	Interest	P1	U	Buy	11/4	P1		
422. The Eroica Fund LP		None	L	U	Buy	9/22	L		
423. Towerbrok Investors III Executive Fund LP		None	N	U	Buy	11/13	N		
424. Tactics II Stem Cell Ventures QP LP		None	O	U	Buy	6/26	L		
425.					Buy (add'l)	9/25	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	
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. Cellular Dynamics International Inc(Pref A)		None	L	U	Buy	10/31	L		
427. Target Moderate Alloc Fund A(401k)		None	J	T	Buy	1/18	J		
428. Thornburg Intl Val Fd R#(401k)		None	J	T	Buy	1/18	J		
429.									
430.									
431.									

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

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

Note #1

Explanation Re:Section VII Item #'

4,14,26,35,36,37,53,54,58,61,80,83,86,90,110,114,145,155,165,173,174,177,179,184,282,287,293,294,297,336,375,377,390,399,401,404,407

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

Note # 2

Explanation Re:Section VII Item #'s 362,364,365,366

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 a "Transferred from" 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 distributees's pro rate share of the total acquisition of the assets by the Limited Partnership, as reported by the General Partner.

Note # 3

Explanation Re:Section VII Item # 57,82,337,360

The Limited Partnership distributed shares of securites that were purchased and held by the partnership, This information is noted as "Transferred to"" 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 total acquisition 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 # 4

Explanation Section VII Item # 145,146,147,150

[REDACTED] is a Sub-chapter S corporation owned 100% [REDACTED] The corportaion purchased various secuities during 2008 and are listed below the corporation The value of the securities are included in the total indicated on line 145 Column C(1)

Note # 5

Explanation Section VII Item # 206,326,332

These investmennts are worthless as of December 31, 2008. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2008. The value in Colum D(3) is blank since no value was derived from the worthless investment. .

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IX. CERTIFICATION.

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

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

Signature

8/10/09

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544