

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

1. Person Reporting (last name, first, middle initial) ROSENTHAL, LEE H.	2. Court or Organization U.S.D.C.-S.D.TX	3. Date of Report 08/12/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.DISTRICT JUDGE-ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 515 RUSK ROOM 11535 HOUSTON, TEXAS 77002		
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. MEMBER, BOARD OF TRUSTEES	THE KINKAID SCHOOL
2. MEMBER, BOARD OF OVERSEERS	THE RAND INSTITUTE FOR CIVIL JUSTICE
3. MEMBER, BOARD OF TRUSTEES	RICE UNIVERSITY
4. MEMBER, BOARD OF TRUSTEES	CENTER FOR AMERICAN AND INTERNATIONAL LAW
5. MEMBER, ADVISORY BOARD	INSTITUTE FOR THE ADVANCEMENT OF THE AMERICAN LEGAL SYSTEM
6. MEMBER, BOARD OF VISITORS	DUKE UNIVERSITY SCHOOL OF LAW
7. MEMBER, EXECUTIVE COMMITTEE, COUNCIL	AMERICAN LAW INSTITUTE

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. 2015	NATIONAL BOARD OF BAR EXAMINERS, WRITING	\$5,250.00
2. 2015	UNIVERSITY OF HOUSTON, TEACHING	\$2,200.00
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. 2015	██████████ : DIRECTOR'S FEES
2. 2015	██████████ PARTNER DISTRIBUTION
3.	
4.	

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. ASSOCIATION OF AMERICAN LAW SCHOOLS	JANUARY 2-4, 2015	WASHINGTON, DC	ANNUAL MEETING	LOGGING, AIRFARE
2. LOUISIANA STATE UNIVERSITY	JANUARY 4-8, 2015	BATON ROUGE, LA	FACULTY, LSU APPRENTICESHIP PROGRAM	LOGGING, MEALS, TRANSPORTATION, AIRFARE, MISC.
3. AMERICAN LAW INSTITUTE	JANUARY 14-16, 2015	PHILDELPHIA, PA	ATTEND COUNCIL MEETING	LOGGING, TRANSPORTATION, AIRFARE
4. FEDERAL JUDICIAL CENTER AND NYU	MARCH 12-15, 2015	NEW YORK, NY	FJC/NYU EMPLOYMENT CONFERENCE	LOGGING, MEALS, TRANSPORTATION, AIRFARE

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5.	CEELI	APRIL 13-17, 2015	TUNISIA, TUNIS	CEELI INSTITUTE OF PRAGUE TRAINING FOR TUNISIAN JUDGES	LODGING, TRANSPORTATION, AIRFARE, MISC.
6.	THE NATIONAL CONFERENCE OF BAR EXAMINERS	APRIL 17-20, 2015	WASHINGTON, DC	BAR EXAMINERS MEETING	LODGING, MEALS, TRANSPORTATION, AIRFARE, MISC.
7.	FEDERAL JUDICIAL CENTER	APRIL 20-22, 2015	SEATTLE, WA	FJC MAGISTRATE JUDGES WORKSHOP	LODGING, MEALS, TRANSPORTATION, AIRFARE
8.	AMERICAN BAR ASSOCIATION	MAY 15, 2015	NEW YORK, NY	ABA E-DISCOVERY INSTITUTE	TRANSPORTATION, AIRFARE
9.	AMERICAN LAW INSTITUTE	MAY 17-18, 2015	WASHINGTON, DC	ALI ANNUAL MEETING	LODGING, TRANSPORTATION, AIRFARE
10.	DUKE LAW SCHOOL	MAY 28-29, 2015	DURHAM, NC	FACULTY AT DUKE JUDICIAL STUDIES	LODGING, MEALS, TRANSPORTATION, AIRFARE
11.	DUKE LAW SCHOOL	JUNE 4-5, 2015	DURHAM, NC	FACULTY AT DUKE JUDICIAL STUDIES	LODGING, MEALS, TRANSPORTATION, AIRFARE
12.	DUKE LAW SCHOOL	JUNE 10-12, 2015	DURHAM, NC	FACULTY AT DUKE JUDICIAL STUDIES	LODGING, MEALS, TRANSPORTATION, AIRFARE
13.	DUKE LAW SCHOOL	JUNE 22-24, 2015	ARLINGTON, VA	DUKE LAW CLASS ACTION SETTLEMENT CONFERENCE	LODGING, MEALS, TRANSPORTATION, AIRFARE
14.	ABA/DUKE LAW SCHOOL	AUGUST 27-28, 2015	DALLAS, TX	DUKE/ABA PROPORTIONALITY GUIDELINES MEETING	LODGING, MEALS, AIRFARE
15.	AMERICAN COLLEGE OF TRIAL LAWYERS	SEPTEMBER 2-12, 2015	LONDON, ENGLAND	AMERICAN COLLEGE OF TRIAL LAWYERS UK-US LEGAL EXCHANGE	LODGING, MEALS, TRANSPORTATION, AIRFARE
16.	AMERICAN LAW INSTITUTE	OCTOBER 14-16, 2015	NEW YORK, NY	ALI COUNCIL MEETING	LODGING, MEALS
17.	YALE LAW SCHOOL	OCTOBER 25-26, 2015	NEW HAVEN, CT	YALE CLASS TALK	LODGING, MEALS, TRANSPORTATION, AIRFARE
18.	ABA/DUKE LAW SCHOOL	NOVEMBER 10-11, 2015	NEW YORK, NY	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRESENTATION	LODGING, MEALS, TRANSPORTATION, AIRFARE
19.	ABA/DUKE LAW SCHOOL	NOVEMBER 11-12, 2015	PHILADELPHIA, PA	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRESENTATION	LODGING, MEALS, TRANSPORTATION
20.	ABA/DUKE LAW SCHOOL	NOVEMBER 12-15, 2015	NEWARK, NJ	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRESENTATION	MEALS, TRANSPORTATION, AIRFARE

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21.	NATIONAL CONFERENCE OF BAR EXAMINERS	NOVEMBER 20-22, 2015	AUSTIN, TX	NATIONAL CONFERENCE OF BAR EXAMINERS FEDERAL CIVIL PROCEDURE COMMITTEE MEETING	LODGING, MEALS, TRANSPORTATION, AIRFARE
22.	ABA/DUKE LAW SCHOOL	DECEMBER 2-3, 2015	ST. LOUIS, MO	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRESENTATION	LODGING, MEAL, TRANSPORTATION, AIRFARE
23.	ABA/DUKE LAW SCHOOL	DECEMBER 3-4, 2015	ATLANTA, GA	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRESENTATION	LODGING, MEAL, TRANSPORTATION, AIRFARE
24.	ABA/DUKE LAW SCHOOL	DECEMBER 6-7, 2015	CHICAGO, IL	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRESENTATION	LODGING, MEAL TRANSPORTATION, AIRFARE
25.	ABA/DUKE LAW SCHOOL	DECEMBER 7-8, 2015	WASHINGTON, DC	ABA/DUKE PROPORTIONALITY ROADSHOW PANEL PRESENTATION	LODGING, MEAL, TRANSPORTATION, AIRFARE
26.					
27.					
28.					
29.					

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1. _____

2. _____

3. _____

4. _____

5. _____

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

	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) Amt. 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, merger, redemption)	If not exempt from disclosure			
							(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1	Arkansas St College 0.00% due 6/1/15		None			Mature	6/1/15	M	G	
2	Austin TX Wtr 5.00% due 5/15/35	D	Int			Mature	5/15/15	N		
3	Bexar Cty, TX GO 5.25% due 6/15/23	E	Int	N	T					
4	Brazos Cty, TX 5.00% due 9/1/25	D	Int	N	T					
5	Chicago Brd Ed 0.00% due 12/1/19		None	L	T					
6	College Station ISD 4.6250% due 9/15/20	D	Int	N	T					
7	Denton, TX ISD 0.00% due 8/15/23		None	N	T					
8	District Columbia 5.00% due 6/1/17	E	Int	N	T					
9	Ft. Bend TX ISD 0.00% due 8/15/15		None			Mature	8/17/15	L	F	
10	Grand Prairie, TX ISD 0.00% due 8/15/33		None	N	T					
11	Grapevine-Colleyville ISD 0.00% due 8/15/23		None	M	T					
12	Harris Cty, TX, 5.00% due 10/1/19	D	Int	N	T					
13	Harris Cty, TX, 5.75% due 10/1/20	E	Int	M	T					
14	Houston, TX ISD 5.00% due 2/15/22	C	Int			Redeem	2/17/15	M	A	
15	Houston, TX Pub Impt 5.00% due 3/1/20	E	Int	O	T					
16	Laredo TX ISD 0.00% due 08/01/23		None			Redeem	8/17/15	L	F	
17	Leander TX ISD 0.00% due 8/15/20		None	N	T					

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; 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 to \$100,000; M=\$100,001-\$250,000; 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=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 22.

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18	Leander TX ISD 0.00% due 8/15/21		None	N	T					
19	Leander TX ISD 0.00% due 8/15/23		None	N	T					
20	Lewisville TX ISD 0.00% due 8/15/21		None	O	T					
21	Mesquite TX ISD 0.00% due 8/15/32		None	N	T					
22	Northwest, TX ISD 5.00% due 2/15/16	D	Int	M	T					
23	Richmond Co., GA Dev 6.375% due 12/01/21		None	L	G					
24	Royse City, TX ISD 0.00% due 8/15/25		None			Redeem	8/17/15	N	G	
25	Schertz-Cibola-Univl City, TX 0.00% due 2/1/24		None	N	T					
26	Schertz-Cibola-Univl City, TX 0.00% due 2/1/25		None	N	T					
27	Snohomish City WA ISD 5.25% due 12/1/24	D	Int	N	T					
28	St of Illinois 5.00% due 6/1/22	D	Int	M	T					
29	St of Washington BO 0.00% due 12/01/21		None	O	T					
30	Texarkana, TX ISD 0.00% due 2/15/26		None	M	T					
31	University TX Univ 5.25% due 7/1/21	E	Int	N	T					
32	Wylie, TX ISD 0.00% due 8/15/19		None	N	T					
33	Wylie, TX ISD 0.00% due 8/15/23		None	N	T					
34	JPM Chase-Checking		None	J	T					

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H1=\$1,000,001-\$5,000,000; H2=More than \$5,000,000

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35	HSA Bank	A	Int	L	T					
36	Merrill Lynch (SP)	A	Int			Closed	4/2/15	K		
37	Ally Bank	D	Int	P1	T					
38	American Express Bank, FSB	F	Int	P2	T					
39	AIF V Private Investors LLC		(1)	J	U(1)	Sold	(1)	J		
40	AIF VI Private Investors LLC		(1)	N	U(1)	Sold	(1)	L		
41	AIF VII Private Investors LLC		(1)	M	U(1)	Sold	(1)	M		
42	APAX Europe VII Private Investors, LLC		(1)	M	U(1)	Sold	(1)	M		
43	Atlantic Trust Company, N.A.	A	Div	J	T					
44	Barclays Bank	C	Int	P1	T	Open	4/7/15	P1		
45	BRKB-Common		None	O	T	Buy (addl)	5/1/15	M		
46						Buy (addl)	5/1/15	M		
47	Black Stone Minerals Company, LP		(1)			Final Exchange	5/6/15	L		IPO exchange(2)
48	Black Stone Minerals, LP common units		(1)	P1	U(1)	Exchange	5/6/15	K		IPO exchange(2)
49	Black Stone Minerals, LP sub units		(1)	P1	U(1)	Exchange	5/6/15	L		IPO exchange(2)
50	Arrowhead Research Corp		None	(11)	(11)					
51	Brand Group Holdings, Inc.-Common		None	M	U					

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52	Carlyle Asia Partners II		(1)	N	U(1)	Sold	(1)	M		
53	CAP IV Private Investors, LLC (11)		(1)	M	U(1)	Buy	(1)	M		
54	Carlyle Japan International Partners II, L.P.		(1)	L	U(1)	Sold	(1)	J		
55	CIT Bank	E	Int	P1	T					
56	CJIP II Limited, L.P.		(1)	K	U(1)	Buy	(1)	J		
57	CD&R Fund VII Private Investors, LLC		(1)	N	U(1)	Sold	(1)	M		
58	CD&R Fund IX Private Investors, LLC (11)		(1)	M	U(1)	Sold	(1)	M		
59	Consumer Staples Select Sector SPDR-ETF (see Page 16, Line 176)									
60	Continuum Energy (see Seminole, Page 12, Line 117)									
61	CVEO-Restricted Stock		None	(9)	(9)					
62	CVEO-Common		None	L	T					
63	Discover Bank	E	Int	P1	T	Open	5/6/15	P1		
64	Emerald Marina Bay		(1)	M	U(1)					
65	Emerald Cambridge		(1)	J	U(1)					
66	Emerald Marina Cove		(1)	J	U(1)					
67	Emerald Marina Shores		(1)	J	U(1)					
68	Encino Energy, LLC		(1)	J	U(1)	Buy	(1)	L		

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								(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69	Energy Capital Investors Fund, LLC			(1)	J	U(1)	Buy	(1)	J		
70	FDC Group McKinney, Ltd			(1)	J	U(1)	Sold	(1)	K		
71	FDC Group Crawford, Ltd.			(1)	M	U(1)					
72	FDC Group Dunlavy, Ltd.			(1)	L	U(1)					
73	FDC Group Wilcrest, Ltd.			(1)	J	U(1)	Sold	(1)	K		
74	FDC Group Yorktown, Ltd.			(1)	M	U(1)	Buy	(1)	K		
75	FDC Group Waugh, Ltd.			(1)	M	U(1)					
76	FPA Crescent-Mutual Fund		E	Div/Int	O	T					
77	Finger-Roxboro, Ltd			(1)	M	U(1)	Buy	3/23/15	M		
78	Finger-VOTL, Ltd.			(1)	M	U(1)	Buy	3/23/15	M		
79	Goldman Sachs Bank		A	Int	M	T					
80	Mt. Kellett			(1)	N	U(1)	Sold	(1)	L		
81	Mt. Kellett II			(1)	N	U(1)	Sold	(1)	M		
82	GE Capital Bank		A	Int	O	T	Open	8/28/15	O		
83	Great Northern Midstream, LLC			(1)	M	U(1)	Sold	(1)	K		
84	Hawkins Investment Partnership			(1)	O	U(1)	Sold	(1)	P2		
85	Ishares Core High Dividend-ETF (see Page 11, Line 92)										

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		(1) Amt. Code 1 (A-H)			(2) Type (e.g., div., rent or int.) Value Code 2 (J-P) Value Method Code 3 (Q-W)			(1) Type (e.g. buy,sell merger, redemp- tion)	If not exempt from disclosure			
									(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86	Heaney Rosenthal Inc.			(1)	J		U(1)	Buy(addl)	6/26/15	K		
87								Buy(addl)	12/16/15	K		
88	HMTF Fund IV			(1)	J		U(1)	Sold	(1)	J		
89	HydroEx Acquisition, LLC - Note Receivable		J	Int	K		T					
90	IShares Global Energy-ETF		E	Div	O		T					
91	IShares US Consumer Goods-ETF		E	Div	P1		T					
92	Ishares Core High Dividend-ETF		E	Div	N		T					
93	JPMorgan Chase Investment Account - Cash		A	Int	O		T					
94	KKR 2006 Private Investors, LLC			(1)	N		U(1)	Sold	(1)	M		
95	KMI-Common		E	Div	O		T	Buy(addl)	11/3/15	M		
96								Buy(addl)	11/11/15	K		
97	Merrill Lynch (CMA)		B	Int	P2		T					
98	Oaktree Capital Group LLC		A	Div	P1		T	Buy(addl)	4/15/15	M		
99								Buy(addl)	6/10/15	M		
100								Buy(addl)	10/2/15	L		
101												
102												

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2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; 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=\$50,000,000 or more

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(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

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		(1) Amt. 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 merger, redemption)	If not exempt from disclosure			
							(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103	OIS-Restricted Stock		None	(9)	(9)					
104	OIS-Common		None	O	T					
105	Pearl Midtown, LLC		(1)	J	U(1)	Sold	(1)	L		
106	Pearl CityCenter, LLC		(1)	M	U(1)					
107	Platform Partners, LLC		(1)	O	U(1)	Buy	(1)	L		
108	RDS/B - ADR	D	Div	N	T	Buy	10/2/15	L		
109						Buy(addl)	9/30/15	L		
110						Buy(addl)	10/1/15	M		
111	SCF-V, L.P.		(1)	K	U(1)	Buy	(1)	J		
112	SCF-VI, L.P.		(1)	M	U(1)	Buy	(1)	J		
113	SCF-VII, L.P.		(1)	N	U(1)	Sold	(1)	K		
114	SCF-VII (AIV), L.P.		(1)	K	U(1)	Buy	(1)	J		
115	SCF-VIII, L.P.		(1)	M	U(1)	Buy	(1)	K		
116	SCF-VIII (AIV), L.P.		(1)	L	U(1)	Buy	(1)	J		
117	Seminole (currently known as Continuum Energy)		(1)	K	U(1)	Buy	(1)	J		
118	SUKI-Common		None	M	T					
119	SRE Properties, LP		(1)	J	(1)	Sold	(1)	K		

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		(1) Amt. 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 merger, redemp- tion)	If not exempt from disclosure			
							(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120	Surefire Social-Convertible Pfd		None	J	U	Buy	6/11/15	K		
121						Buy(addl)	12/16/15	J		
122	Synchrony Bank	E	Int	P1	T	Open	4/28/15	P1		
123	LP		(1)	M	U(1)	Sold	(1)	M		
124	LLC		(1)	J	U(1)	Sold	(1)	J		
125	III, LLC		(1)	J	U(1)					
126	LLC		(1)	J	U(1)					
127	LP		(1)	K	U(1)	Sold	(1)	O		
128	II, LP		(1)	L	U(1)	Sold	(1)	K		
129	GP, LP		(1)	N	U(1)	Sold	(1)	L		
130	III, LP		(1)	O	U(1)	Sold	(1)	P1		
131	III, LP		(1)	P1	U(1)	Sold	(1)	M		
132	GP, LP		(1)	P2	U(1)	Sold	(1)	P1		
133	III (), L.P.		(1)			Final sold	(1)	L		
134	III (GP), L.P.		(1)			Final sold	(1)	O		
135	(12) (alpha sort)									
136	American Bath		(1)	N	U(1)	Buy(addl)	1/27/15	M		

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137	American Bath (cont'd)					Buy(add)	6/3/15	K		
138	B & G		(1)	J	U(1)	Sold(part)	5/27/15	M		
139						Sold(part)	10/5/15	J		
140	CST Industries		(1)	L	U(1)					
141	DexKo (formerly Dexter)		(1)	O	U(1)	Buy(add)	12/15/15	K		
142	Express	Y								
143	Liqui-Box		(1)	J	U(1)	Sold(part)	10/1/15	P1		
144						Sold(part)	10/1/15	M		
145	Panoram					Final sold	(1)	J		
146	Process Barron		(1)	M	U(1)	Buy	2/11/15	M		
147	Roberts Gordon (became Specified Air Solutions)									
148	SafeFleet		(1)	N	U(1)	Buy(add)	6/3/15	J		
149	Saxco		(1)	N	U(1)					
150	Specified Air Solutions		(1)	M	U(1)	Buy(add)	1/27/15	L		
151	Stackpole					Final sold	4/2/15	O		
152	Universal Fibers		(1)	K	U(1)	Sold(part)	10/5/15	M		
153	Velcon					Final Sold	10/5/15	M		

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							(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154	██████████ L.P. 401(k):FA Stable Value	A	Div/Int	M	T					
155	JP Morgan Chase-Checking		None	J	T					
156	JP Morgan Chase-Checking-S		None	J	T					
157	TROW-Common	D	Div	N	T					
158	Vac One		None	(10)	(10)					
159	Vanguard Tax-Exempt M/M-Mutual Fund	A	Div/Int	P1	T					
160	Vanguard Admiral Fund Treasury M/M-Mutual Fund	A	Div/Int	J	T					
161	Vanguard Large Cap Index Fund Adm	D	Div/Int	O	T	Buy	9/1/15	O		Exchanged from Vanguard Tax-Managed Cap Apprec Fund
162	Vanguard Large Cap ETF	D	Div	P1	T	Buy	9/1/15	P1		
163	Vanguard Tax-Managed Cap Apprec-Mutual	A	Div/Int			Buy	5/4/15	M		
164						Buy(addl)	3/16/15	N		
165						Sold	9/1/15	O		Exchanged to Vanguard Large Cap Index Fund
166	Vanguard S&P 500 Index ETF	D	Div			Buy	3/9/15	N		
167						Buy(addl)	3/11/15	M		
168						Buy(addl)	3/24/15	N		
169						Buy(addl)	4/30/15	M		
170						Buy(addl)	5/1/15	M		

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											(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
		(2)												
171	Vanguard S&P 500 Index ETF (cont'd)							Buy(add)	5/14/15	O				
172								Buy(add)	6/11/15	M				
173								Buy(add)	5/14/15	M				
174								Sold	9/1/15	P1				
175	WLR Recovery IV Investors, LLC			(1)	L		U(1)	Sold	(1)	K				
176	Consumer Staples Select Sector SPDR-ETF		E	Div	O		T							
177	Xapp Media			None	(11)		(11)	Buy(add)	12/7/15	K				
178	Zinc Oxide LLC			(1)	L		U(1)	Buy	(1)	K				
179	Certain LLC 1/18			(1)	J		U(1)	Sold	(1)	J				
180	Certain Limited Partners 1/39			(1)	K		U(1)	Sold	(1)	J				
181	Certain Limited Partners 2/54													
182	- Elliott Associates, L.P.			(1)	P2		U(1)	Buy	(1)	O				
183	- West Cam, L.P.			(1)	J		U(1)	Sold	(1)	J				
184	- MP GEO, LLC			(1)	J		U(1)	Sold	(1)	J				
185	- Midland Basin GEO, LLC			(1)	J		U(1)							
186	- Gamma Geo			(1)	J		U(1)	Sold	(1)	J				
187	- Flex Waz			(1)	L		U(1)	Sold	(1)	K				

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188	Certain LLC 2/54 (1% owner in 2/54 LP)		(1)	J	U(1)	Sold	(1)	J		
189	IRA #1									
190	US Treasury Zero% Obligations		None	M	T					
191	Merrill Lynch Cash	A	Int	K	T					
192	Vanguard Admiral Fund Treasury M/M-Mutual Fund	A	Div/Int	N	T					
193	Vanguard Prime M/M-Mutual Fund	A	Div/Int	L	T					
194	Vanguard 500 Index Fund	D	Div/Int	O	T					
195	Vanguard S&P 500 Index ETF	D	Div	N	T					
196										
197	IRA #2									
198	Merrill Lynch Cash	A	Int	L	T					
199	US Treas 2.375% due 11/15/17	B	Int	M	T					
200	Fairholme-Mutual Fund		None			Sold	4/20/15	M		
201	FPA Crescent-Mutual Fund	E	Div/Int	O	T					
202	Goldman Sachs Bank	A	Int	K	T					
203	Goldman Sachs Liberty Harbor		None	K	T					
204	Hawkins Investment Partnership, L.P.		None			Final sold	(1)	P1		

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205	IShares Core High Dividend-ETF	D	Div	O	T					
206	KMI-Common Stock	D	Div	N	T	Buy	8/5/15	M		
207						Buy(addl)	8/14/15	M		
208						Sold(part)	8/17/15	M	B	
209						Sold	8/25/15	M		
210						Buy	8/25/15	N		
211						Sold	9/4/15	N	C	
212						Buy	9/4/15	M		
213						Sold	9/11/15	M		
214						Buy	9/16/15	M		
215						Buy(addl)	9/25/15	L		
216						Buy(addl)	9/28/15	L		
217						Buy(addl)	11/6/15	M		
218						Buy(addl)	11/11/15	L		
219						Buy(addl)	11/12/15	K		
220						Buy(addl)	11/16/15	K		
221	Oaktree-Units	E	Div	O	T	Buy	4/23/15	N		

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							(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222	Oaktree-Units (cont'd)					Buy(add)	6/10/15	M		
223						Buy(add)	10/2/15	K		
224	RDSB-ADR	D	Div	O	T	Buy	9/2/15	N		
225						Buy(add)	9/2/15	M		
226						Sold(part)	9/4/15	M		
227						Sold(part)	9/22/15	L		
228						Buy(add)	9/24/15	L		
229						Buy(add)	9/25/15	M		
230						Buy(add)	9/28/15	M		
231	SJKI-Common Stock		None	K	T					
232	Vanguard Admiral Fund Treasury M/M-Mutual Fund	A	Div/Int	J	T					
233	Vanguard Prime M/M-Mutual Fund	A	Div/Int			Exchange	4/21/15	M		Exchange to Vanguard Tax-Exempt Fund
234	Vanguard Tax-Exempt M/M-Mutual Fund	A	Div/Int	K	T					
235	Vanguard 500 Index Fund	A	Div/Int	N	T					
236	Vanguard S&P 500 Index ETF	E	Div	P1	T	Buy(add)	1/7/15	N		
237						Buy(add)	1/22/15	N		
238						Buy(add)	3/6/15	O		

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; 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 to \$100,000; M=\$100,001-\$250,000; 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=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 22.

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

	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) Amt. 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 merger, redemption)	If not exempt from disclosure			
							(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239	Vanguard S&P 500 Index ETF (cont'd)					Sold(part)	5/7/15	O		
240						Buy(addl)	5/15/15	N		
241						Buy(addl)	6/5/15	N		
242						Sold(part)	11/12/15	L		
243						Sold(part)	11/16/15	K		
244	#2 Trust (R8)									
245	- Merrill Lynch Reserves	A	Int	L	T					
246	- iShares US Consumer Goods - ETF	D	Div	O	T					
247	- Vanguard Tax-Managed Capital Appreciation-Mutual Fund	E	Div/Int	P	T					
248	- Vanguard Admiral Fund Treasury-Mutual Fund	A	Div/Int	K	T					
249	- Vanguard Tax-Exempt M/M-Mutual Fund	A	Div/Int	J	T					
250	Certain Limited Partners 2/54									
251	- Elliott Associates, L.P.		(1)	P1	U(1)	Buy	(1)	L		
252	#3 Trust (H8)									
253	- Merrill Lynch Reserves	A	Int	L	T					
254	- Consumer Staples Select Sector SPDR- ETF	B	Div	M	T					
255	- Vanguard Tax-Managed Capital Appreciation-Mutual Fund	A	Div/Int	N	T					

1. Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; 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 to \$100,000; M=\$100,001-\$250,000; 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=\$50,000,000 or more

3. Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 22.

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

	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) Amt. 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, merger, redemption)	If not exempt from disclosure			
							(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256	- Vanguard Admiral Fund Treasury M/M-Mutual Fund	A	Div/Int	L	T					
257	- Vanguard Tax-Exempt M/M-Mutual Fund	A	Div/Int	K	T					
258										
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1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; 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 to \$100,000; M=\$100,001-\$250,000; 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=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 22.

- (1) Private entities including private company investment partnerships. For private entities, valuation is based on net book value. For such entities, valuation (Column C(2)) is based on capital account as set forth on form K-1 and income and gain is included (to the extent distributed) in net cash paid or received (as described below) under Column D(3) and not in Column B and/or Column D(4). Where filer is a passive owner with no control over investments or timing of calls or distributions, such cash distributions and calls are set forth in Column D(3) as a net aggregate amount for the reporting period. "Buy" indicates net cash paid into the entity and "sold" indicates net cash paid by entity to filer. Sale by filer of an interest in any such entity is treated as part of the net cash transferred per the immediately preceding sentence with any proceeds from such sale being added to such net cash amount (as opposed to any D(4) calculation).
 - (1) (a) In connection with Footnote (1) private company investment partnerships, in absence of receipt of K-1 by filer by filing date, no information is provided as to income, gross value or transaction values.
 - (2) (b) In connection with Footnote (1) private company investment partnerships, Column D(2) will reflect the initial investment date for new private company investment partnerships in the reporting year purchased.
- (2) In an initial public offering/merger, Black Stone Minerals Company, L.P. common units were converted into BSM common units and subordinated units.
- (3) Purchase and sale price of regular interest paying bonds excludes accrued interest. Interest income on regular interest paying bonds excludes accrued interest bought or sold. Gain indicated on redeemed bonds represents only the redemption amount (and premium, if any) in excess of principal amount. Bond premium or discount at purchase is assumed to be fully amortized for purposes of calculating gain or loss on sale, redemption or maturity on regular interest paying bonds, and such amortization does not affect interest reported annually.
- (4) No interest income is included in Interest Income Column B(1) on zero coupon bonds. Total to date accreted interest for zero coupon bonds is included in Value Column C(1). On maturity of zero coupon bonds, total accreted interest is included in Value Column D(3). On maturity, redemption, or sale of zero coupon bonds, Value Column D(3) is the maturity value, redemption price, or sales price and Gain Column D(4) reflects the difference between the maturity value, redemption price, or sales price and the original cost.
- (5) All mutual fund reinvested dividends, interest and capital gains are not separately shown as new purchases, but are included in the end of period (Column C(2)) values. All unreinvested distributions from mutual funds (dividends, interest and capital gains) are included in Column B(1). Money market mutual funds set forth aggregate dividend/interest paid for year and end of year value only.

- (6) Municipal and U.S. Treasury bond values reflected in Value Column C(2) are based on market value.
- (7) No transaction value or gain or loss is reported on non-taxable exchanges of one security for another or spin-offs of securities or stock dividends. If publicly traded, the value as of the date of the transaction when such security is received is reflected in Column C(1) Gross Value. In instances noted in first sentence, any gain is reported only when the new security is sold.
- (8) Restricted stock is not valued during restriction period. After restrictions lapse, restricted stock is reflected as owned shares. In the case of CVEO, the restricted stock did not vest and has a value of zero.
- (9) Oil and Gas interests – value not known to filer.
- (10) Private company – value not known to filer.
- (11) Inadvertently omitted in prior year report.
- (12) Amounts for each company aggregate values for the direct ownership of each entity as well as indirectly through other Sterling group entities.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/12/2016

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/ LEE H. ROSENTHAL**

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