

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) SARIS, PATTI B.	2. Court or Organization U.S.D.C. MASSACHUSETTS	3. Date of Report 04/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT COURT 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 J. J. MOAKLEY U.S. COURTHOUSE 1 COURTHOUSE WAY, SUITE 8110 BOSTON, MA 02210		
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. CO-TRUSTEE	TRUST #4 (See Part VIII)
2. CO-TRUSTEE	TRUST #5
3. Director	Codman Academy Foundation Inc, Dorchester, MA
4. Director	Bottom Line Inc., Boston, MA
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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	PRESIDENT AND FELLOWS OF HARVARD COLLEGE, CAMBRIDGE, MA - salary
2. 2018	HARVARD BUSINESS PUBLISHING, MA - Royalties
3. 2018	HIGHVISTA STRATEGIES LLC, MA - Advisory fee
4. 2018	SRB CORPORATION - Advisory 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. The American Law Institute	October 24-28, 2018	Philadelphia, PA	Legal Conference	Travel, lodging, meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 72

Name of Person Reporting
SARIS, PATTI B.

Date of Report
04/05/2020

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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. Venture Investors Fund, LP	D	Distribution	J	W					
2. Tucker Anthony Private Equity Fund III		None	J	W					
3. Trust # 5 (H)									
4. - Baupost Value Partners LP I		None	P1	W					
5. - Kensico Offshore Fd Ltd LP		None	P1	W					
6. - Federated US Treas Cash money market (cash equiv)	B	Dividend			Sold	12/12/18	J		
7. - Independent Franchise Partners US Eq Fd (IFPUX) mutual fund	G	Dividend	P1	T	Buy (add'l)	12/19/18	M		
8.					Sold (part)	06/07/18	M		See Part VIII
9.					Sold	06/07/18	P1	G	
10. - Frontier MFG Global Eq-Inst (FMGEX) mutual fund	G	Dividend	P1	T	Buy (add'l)	06/04/18	P1		
11. - Federated Treasury Obliga - IS (cash equiv)	E	Dividend			Buy (add'l)	01/03/18	J		
12.					Buy (add'l)	02/02/18	J		
13.					Buy (add'l)	03/02/18	J		
14.					Buy (add'l)	04/03/18	J		
15.					Buy (add'l)	05/03/18	J		
16.					Buy (add'l)	06/07/18	P1		
17.					Buy (add'l)	07/03/18	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 = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

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

18.					Buy (add'l)	08/02/18	J		
19.					Buy (add'l)	10/02/18	J		
20.					Buy (add'l)	11/02/18	J		
21.					Buy (add'l)	11/08/18	K		
22.					Buy (add'l)	12/04/18	J		
23.					Buy (add'l)	12/20/18	K		
24.					Sold (part)	01/12/18	L		
25.					Sold (part)	01/31/18	J		
26.					Sold (part)	02/20/18	K		
27.					Sold (part)	03/13/18	J		
28.					Sold (part)	03/14/18	K		
29.					Sold (part)	03/21/18	J		
30.					Sold (part)	03/22/18	J		
31.					Sold (part)	03/26/18	J		
32.					Sold (part)	05/02/18	J		
33.					Sold (part)	05/14/18	K		
34.					Sold (part)	05/16/18	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
35.					Sold (part)	06/04/18	P1		
36.					Sold (part)	06/05/18	L		
37.					Sold (part)	06/26/18	K		
38.					Sold (part)	06/29/18	N		
39.					Sold (part)	08/31/18	K		
40.					Sold (part)	09/05/18	J		
41.					Sold (part)	09/11/18	K		
42.					Sold (part)	10/09/18	J		
43.					Sold (part)	10/19/18	J		
44.					Sold (part)	11/16/18	J		
45.					Sold (part)	11/19/18	K		
46.					Sold (part)	11/26/18	J		
47.					Sold (part)	11/29/18	J		
48.					Sold	12/07/18	O		
49.	- First Republic Bank, Bank account (cash account) (x)	A	Interest	P1	T	Open	12/07/18	P1	
50.	Trust # 10 (H)								
51.	- Britehouse life, universal Life insurance** See Part VIII Note		None	N	W				

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
52. Trust # 11 (H)									
53. - Sun Life Assurance, universal life insurance		None	P1	W					
54. - Manufacturers Life Ins, universal life (John Hancock)		None	P1	W					
55. - Federated USTreas Cash Rsv cash eq mutual fd	A	Dividend			Sold	12/12/18	J		
56. - Vanguard Total Wrld Stock Idx Fd (VT) mutual fd	B	Dividend	L	T	Buy (add'l)	12/12/18	J		
57. - Federated Treasury Obliga - IS (cash equiv)	A	Dividend			Sold	12/12/18	J		
58. Tucker Anthony Private Equity Fund IV		None			Redeemed	06/18/18	J		See Part VIII
59. IRA Rollover (H)									
60. - Federated USTreas Cash Rsv cash eq mutual fd	A	Dividend			Sold	12/12/18	J		
61. - Vanguard Total Wrld Stock Idx Fd (VT) mutual fd	E	Dividend	P1	T	Buy (add'l)	12/12/18	K		
62. - Federated Treasury Obliga - IS (cash equiv) (x)	A	Dividend	K	T	Buy (add'l)	03/29/18	J		
63.					Buy (add'l)	06/27/18	J		
64.					Buy (add'l)	10/01/18	J		
65.					Buy (add'l)	12/28/18	J		
66.					Sold	12/12/18	K		
67. Battery Ventures VI L.P.		None	J	U					
68. Park St Capl Natural Res Fd L.P.	F	Distribution	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
69. US Fidenza LLC		None	K	U					
70. Park St Capital V LP	E	Distribution	M	U					
71. Friends of Lime Rock III LP		None	K	W					
72. Highfields Capital II LP	F	Distribution	K	W					
73. Park St Natural Resource Fund II Combined (Private Equity)	F	Distribution	L	U					
74. Park Street Capital VI (Private Equity Fd)	E	Distribution	N	U					
75. Patron Capital LP II (private equity)		None	M	W					
76. Orion European Real Estate Fd II, C.V., LP		None			Distributed	01/01/18	K		See Part VIII
77. US Dublin LLC		None	N	W					
78. Europa Fund II US LP	D	Distribution	L	W					
79. Weston Presidio V LP		None	K	W					
80. Trust # 18 (H)									
81. - Federated USTreas Cash Rsv cash eq mutual fd	A	Dividend			Sold	12/12/18	J		
82. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
83. - Federated Treasury Obliga - IS (cash equiv)	C	Dividend			Buy (add'l)	03/29/18	L		
84.					Buy (add'l)	06/05/18	K		
85.					Buy (add'l)	06/29/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 9 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
86.					Buy (add'l)	09/12/18	K		
87.					Buy (add'l)	09/28/18	K		
88.					Buy (add'l)	10/24/18	K		
89.					Sold (part)	04/10/18	K		
90.					Sold (part)	04/23/18	K		
91.					Sold (part)	07/03/18	K		
92.					Sold (part)	10/01/18	K		
93.					Sold	12/07/18	N		
94. - First Republic Bank, Bank account (cash account) (x)	A	Interest	M	T	Open	12/07/18	M		
95. Trust # 19 (H)									
96. - Federated USTreas Cash Rsv cash eq mutual fd	A	Dividend			Sold	12/12/18	J		
97. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
98. - Federated Treasury Obliga - IS (cash equiv)	C	Dividend			Buy (add'l)	03/29/18	L		
99.					Buy (add'l)	06/05/18	K		
100.					Buy (add'l)	06/29/18	K		
101.					Buy (add'l)	09/12/18	K		
102.					Buy (add'l)	09/28/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 10 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
103.					Buy (add'l)	10/24/18	K		
104.					Sold (part)	04/10/18	K		
105.					Sold	12/07/18	N		
106. - First Republic Bank, Bank account (cash account) (X)	A	Interest	M	T	Open	12/07/18	M		
107. Trust # 20 (H)									
108. - Federated USTreas Cash Rsv cash eq mutual fd	A	Dividend			Sold	12/12/18	J		
109. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
110. - Federated Treasury Obliga - IS (cash equiv)	C	Dividend			Buy (add'l)	03/29/18	L		
111.					Buy (add'l)	06/05/18	K		
112.					Buy (add'l)	06/29/18	K		
113.					Buy (add'l)	09/12/18	K		
114.					Buy (add'l)	09/28/18	K		
115.					Buy (add'l)	10/24/18	K		
116.					Sold (part)	04/10/18	K		
117.					Sold (part)	09/21/18	K		
118.					Sold	12/07/18	N		
119. - First Republic Bank, Bank account (cash account) (X)	A	Interest	N	T	Open	12/07/18	N		

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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. Trust # 21 (H)									
121. - Federated USTreas Cash Rsv cash eq mutual fd	A	Dividend			Sold	12/12/18	J		
122. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
123. - Federated Treasury Obliga - IS (cash equiv)	B	Dividend			Buy (add'l)	03/29/18	K		
124.					Buy (add'l)	06/05/18	K		
125.					Buy (add'l)	09/12/18	J		
126.					Buy (add'l)	09/28/18	J		
127.					Buy (add'l)	10/11/18	J		
128.					Buy (add'l)	10/24/18	K		
129.					Sold (part)	03/12/18	L		
130.					Sold (part)	04/10/18	K		
131.					Sold (part)	10/01/18	J		
132.					Sold	12/07/18	M		
133. - First Republic Bank, Bank account (cash account) (x)	A	Interest	M	T	Open	12/07/18	M		
134. Lime Rock Partners IV LP (combined) (private equities)		None			Distributed	01/01/18	P1		See Part VIII
135. Park St Cap Priv Eq Fd VII A LP	E	Distribution	M	U					
136. Park St Cap Natural Res Fd III LP combined (priv Eq)	F	Distribution	O	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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. Polaris Vent Part Entrep Fd V LP		None			Distributed	01/01/18	P1		See Part VIII
138. TA X LP (Priv Eq)	E	Distribution	K	U					
139. Minnesota Pub Facs Auth Clean Wtr municipal bds**See Part VIII Note		None			Distributed	01/02/18	M		See Part VIII
140. University Idaho Municipal bds	C	Interest			Redeemed	04/02/18	M		See Part VIII
141. Federated US Treas Cash Rsv cash eq mutual fd	A	Dividend	J	T					
142. Local Motors Series A pfd stock		None	J	W					
143. Hephaestion II LP priv eq		None			Distributed	01/01/18	O		See Part VIII
144. Hephaestion Retail LP priv eq		None			Distributed	01/01/18	M		See Part VIII
145. PSC Luxembourg Hldgs LLC		None	J	U					
146. Trust # 22 (H)									
147. - Int in MECM Assoc II LLC privately held		None			Distributed	01/01/18	P1		See Part VIII
148. - Hephaestion LP	G	Distribution	M	W					
149. - Hephaestion Co-invest I LP	G	Distribution	K	W					
150. - Porus Invt Hldg Co Ltd LP	E	Distribution	J	U					
151. - Xander Master Fund LLC	F	Distribution	K	U					
152. - Federated US Treas Cash Rsv cash equiv mutual fd	A	Dividend			Sold	12/12/18	J		
153. - Ptolemy Finance LLC (private eq)	G	Distribution	P2	W					

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. - Federated Treasury Obliga - IS (cash equiv)	D	Dividend			Buy (add'l)	01/16/18	M		
155.					Buy (add'l)	03/16/18	N		
156.					Buy (add'l)	03/19/18	O		
157.					Buy (add'l)	03/29/18	K		
158.					Buy (add'l)	04/06/18	L		
159.					Buy (add'l)	05/03/18	J		
160.					Buy (add'l)	06/04/18	J		
161.					Buy (add'l)	06/05/18	K		
162.					Buy (add'l)	07/03/18	J		
163.					Buy (add'l)	09/12/18	K		
164.					Buy (add'l)	09/28/18	L		
165.					Buy (add'l)	10/11/18	M		
166.					Sold (part)	06/29/18	P1		
167.					Sold	12/12/18	N		
168. - MECM Investments, LLC interest (x)	G	Distribution	P1	W	Open	01/01/18	P1		
169. - First Republic Bank, Bank account (cash account) (x)	A	Interest	N	T	Open	12/12/18	N		
170. Trust # 23 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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. - Federated US Treas Cash Rsv cash equiv mutual fund	A	Dividend			Sold	12/12/18	J		
172. - Int in MECM Investments LLC (privately held)	E	Distribution	O	W					
173. - Federated Treasury Obliga - IS (cash equiv)	B	Dividend			Buy (add'l)	03/29/18	K		
174.					Buy (add'l)	06/05/18	J		
175.					Buy (add'l)	09/12/18	J		
176.					Buy (add'l)	09/28/18	J		
177.					Buy (add'l)	10/24/18	J		
178.					Sold (part)	03/12/18	L		
179.					Sold (part)	04/10/18	K		
180.					Sold (part)	10/01/18	J		
181.					Sold	12/07/18	L		
182. - First Republic Bank, Bank account (cash account) (x)	A	Interest	M	T	Open	12/07/18	M		
183. Trust # 24 (H)									
184. - Federated US Treas Cash Rsv mutual fund	A	Dividend			Sold	12/12/18	J		
185. - Int in MECM Investments LLC (privately held)	F	Distribution	P1	W					
186. - Federated Treasury Obliga - IS (cash equiv)	D	Dividend			Buy (add'l)	03/29/18	K		
187.					Buy (add'l)	06/05/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Buy (add'l)	06/29/18	J		
189.					Buy (add'l)	09/12/18	J		
190.					Buy (add'l)	09/28/18	J		
191.					Buy (add'l)	10/24/18	K		
192.					Sold (part)	04/10/18	J		
193.					Sold	12/07/18	N		
194. - First Republic Bank, Bank account (cash account) (x)	A	Interest	M	T	Open	12/07/18	M		
195. Trust # 25 (H)									
196. - Federated US Treas Cash Rsv mutual fund	A	Dividend			Sold	12/12/18	J		
197. - Int in MECM Investments LLC (privately held)	F	Distribution	P1	W					
198. - Federated Treasury Obliga - IS (cash equiv)	D	Dividend			Buy (add'l)	03/29/18	K		
199.					Buy (add'l)	06/05/18	K		
200.					Buy (add'l)	09/12/18	K		
201.					Buy (add'l)	09/28/18	J		
202.					Buy (add'l)	10/24/18	K		
203.					Sold (part)	04/10/18	J		
204.					Sold (part)	04/23/18	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
205.					Sold (part)	10/01/18	J		
206.					Sold	12/07/18	N		
207. - First Republic Bank, Bank account (cash account) (X)	A	Interest	M	T	Open	12/07/18	M		
208. Trust # 26 (H)									
209. - Federated US Treas Cash Rsv cash equiv mutual fund	A	Dividend			Sold	12/12/18	J		
210. - Int in MECM Investments LLC (privately held)	F	Distribution	P1	W					
211. - Federated Treasury Obliga - IS (cash equiv)	C	Dividend			Buy (add'l)	03/29/18	K		
212.					Buy (add'l)	06/05/18	K		
213.					Buy (add'l)	06/29/18	J		
214.					Buy (add'l)	09/12/18	K		
215.					Buy (add'l)	09/28/18	J		
216.					Buy (add'l)	10/11/18	J		
217.					Buy (add'l)	10/24/18	K		
218.					Sold (part)	04/10/18	J		
219.					Sold (part)	09/21/18	K		
220.					Sold	12/07/18	N		
221. - First Republic Bank, Bank account (cash account) (X)	A	Interest	N	T	Open	12/07/18	N		

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)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 17 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
222. Liveprocess Corp Ser A pfd stock** See Part VIII Note		None	J	T					
223. Meridia Capital LP		None	J	U					
224. Meta4 Group Ltd LP		None	J	U					
225. Elliott Associates, LP		None			Distributed	01/01/18	P2		See Part VIII
226. Lime Rock Partners V, LP combined		None			Distributed	01/01/18	O		See Part VIII
227. Middle East North Africa Opportunities Fd, LP		None	K	W					
228. MECM Associates LLC (privately held) (H)									
229. - Abrams Capital Partners II LP		None			Distributed	01/01/18	P2		See Part VIII
230. - Baupost Value Partners LP II		None			Distributed	01/01/18	P2		See Part VIII
231. - Kensico Associates LP		None			Distributed	01/01/18	P2		See Part VIII
232. - Federated US Treas Cash Rsv cash eq mutual fd	C	Dividend			Sold	12/12/18	J		
233. - PAR Investment Partners LP (private equity)		None			Distributed	01/01/18	P2		See Part VIII
234. - Kabouter International Opportunities Fd II LLC (private equity)		None			Distributed	01/01/18	P1		See Part VIII
235. - Advent International GPE VIII-B LP (private equity)		None			Distributed	01/01/18	N		See Part VIII
236. - Federated Treasury Obliga - IS (cash equiv) (X)	B	Dividend			Sold	01/03/18	P2		
237. Berkeley Cty SC Municipal bd		None			Distributed	01/02/18	M		See Part VIII
238. Hawaii St Municipal Bds		None			Distributed	01/02/18	M		See Part VIII

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		

FINANCIAL DISCLOSURE REPORT

Page 18 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)

239. Chatham Cty GA Municipal Bds		None			Distributed	01/03/18	M		See Part VIII
240. MA St College Bds Municipal Bds		None			Distributed	01/03/18	M		See Part VIII
241. Trust # 27 (H)									
242. - Int in MECM Investments LLC (privately held)	G	Distribution	P1	W					
243. - Federated US Treas Cash Rsv cash equiv (mutual fd)	A	Dividend			Sold	12/12/18	J		
244. - Federated Treasury Obliga - IS (cash equiv)	C	Dividend			Buy (add'l)	03/12/18	M		
245.					Buy (add'l)	03/29/18	K		
246.					Buy (add'l)	04/03/18	J		
247.					Buy (add'l)	04/10/18	K		
248.					Buy (add'l)	06/05/18	K		
249.					Buy (add'l)	06/29/18	K		
250.					Buy (add'l)	09/12/18	K		
251.					Buy (add'l)	09/28/18	K		
252.					Buy (add'l)	10/01/18	K		
253.					Sold (part)	01/02/18	J		
254.					Sold (part)	01/04/18	J		
255.					Sold (part)	02/01/18	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	

FINANCIAL DISCLOSURE REPORT

Page 19 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)	02/20/18	K		
257.					Sold (part)	02/28/18	J		
258.					Sold (part)	03/01/18	J		
259.					Sold (part)	04/02/18	J		
260.					Sold (part)	04/06/18	J		
261.					Sold (part)	04/12/18	L		
262.					Sold (part)	05/01/18	J		
263.					Sold (part)	05/29/18	K		
264.					Sold (part)	06/01/18	J		
265.					Sold (part)	06/07/18	K		
266.					Sold (part)	07/02/18	J		
267.					Sold (part)	07/09/18	J		
268.					Sold (part)	07/18/18	J		
269.					Sold (part)	08/01/18	J		
270.					Sold (part)	09/04/18	K		
271.					Sold (part)	10/03/18	J		
272.					Sold (part)	11/01/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)	11/20/18	J		
274.					Sold (part)	12/03/18	J		
275.					Sold (part)	12/11/18	M		
276.					Sold	12/20/18	J		
277. - First Republic Bank, Bank account (cash account) (x)	A	Interest	M	T	Open	12/12/18	M		
278. Trust # 28 (H)									
279. - Int in MECM Investments LLC (privately held)	E	Distribution	O	W					
280. - Federated US Treas Cash Rsv money mkt (mutual fd)	A	Dividend			Sold	12/12/18	J		
281. - Vanguard Dvd Apprec Ind-adm (VDADX)	C	Dividend	N	T	Buy (add'l)	12/17/18	J		
282. - Vanguard Emerg Mkts Stock Indx-adm (VEMAX) mutual fd	A	Dividend	M	T	Buy (add'l)	12/24/18	J		
283. - Federated Treasury Obliga - IS (cash equiv)	C	Dividend			Buy (add'l)	03/27/18	J		
284.					Buy (add'l)	03/29/18	J		
285.					Buy (add'l)	04/03/18	J		
286.					Buy (add'l)	06/05/18	J		
287.					Buy (add'l)	06/29/18	K		
288.					Buy (add'l)	09/12/18	J		
289.					Buy (add'l)	09/27/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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.					Buy (add'l)	09/28/18	J		
291.					Buy (add'l)	10/01/18	K		
292.					Sold (part)	04/11/18	J		
293.					Sold (part)	06/07/18	J		
294.					Sold (part)	08/28/18	J		
295.					Sold (part)	09/04/18	J		
296.					Sold (part)	09/17/18	J		
297.					Sold	12/11/18	M		
298. - First Republic Bank, Bank account (cash account) (x)	A	Interest	M	T	Open	12/11/18	M		
299. CX Partners Fd Limited (private eq)		None			Distributed	01/01/18	O		See Part VIII
300. Hephaestion III LP		None			Distributed	01/01/18	O		See Part VIII
301. Orion European Real Estate Fd III CV (priv eq)		None			Distributed	01/01/18	M		See Part VIII
302. RBC (Royal Bank of Canada), bank accounts	D	Interest	P1	T					
303. Gold boullion		None	P2	T					
304. MECM Investments LLC (H)									
305. - Berkeley Cty SC Municipal Bds	D	Interest			Redeemed	06/01/18	N		See Part VIII
306. - Int in MECM Associates II LLC (privately held)		None			Distributed	01/01/18	P1		See Part VIII

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

FINANCIAL DISCLOSURE REPORT

Page 22 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. - Chatham Cty GA Municipal Bds	D	Interest	M	T					
308. - Gold Bullion		None	P1	T					
309. - Federated US Treas Cash Rsv cash equiv (mutual fd)	A	Dividend			Sold	12/12/18	J		
310. - Buckeye Partners LP, PTP	C	Dividend			Sold (part)	04/03/18	L		
311.					Sold (part)	04/20/18	J		
312.					Sold	06/04/18	K		See Part VIII
313. - Williams Partners LP, PTP	D	Dividend			Buy (add'l)	01/03/18	J		
314.					Buy (add'l)	01/03/18	K		
315.					Buy (add'l)	02/06/18	K		
316.					Buy (add'l)	03/27/18	J		
317.					Buy (add'l)	03/27/18	K		
318.					Sold (part)	04/03/18	K		
319.					Sold (part)	04/03/18	M		See Part VIII
320.					Sold (part)	06/04/18	L	A	
321.					Sold	06/04/18	K	B	
322. - Energy Transfer Equity LP, PTP	C	Dividend			Buy (add'l)	03/09/18	J		
323.					Sold (part)	04/03/18	M		See Part VIII

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324.					Sold (part)	04/20/18	J	A	
325.					Sold	06/04/18	L		See Part VIII
326. - Enterprise Prods Partners LP, PTP	D	Dividend			Sold (part)	04/03/18	M	D	
327.					Sold (part)	06/04/18	M		See Part VIII
328.					Sold	06/04/18	J	B	
329. - Magellan Midstream Partners, PTP	D	Dividend			Buy (add'l)	03/23/18	K		
330.					Sold (part)	04/03/18	M	F	
331.					Sold (part)	04/04/18	J	C	
332.					Sold (part)	06/04/18	K	C	
333.					Sold	06/04/18	L	C	
334. - Plains All American Pipeline LP (PAA), PTP	C	Dividend			Buy (add'l)	02/20/18	J		
335.					Buy (add'l)	04/20/18	J		
336.					Sold (part)	04/03/18	M		See Part VIII
337.					Sold (part)	06/04/18	J	A	
338.					Sold	06/04/18	K		See Part VIII
339. - Spectra Energy Partners LP, PTP	B	Dividend			Sold (part)	03/05/18	J		
340.					Sold (part)	04/03/18	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 = \$50,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 24 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341.					Sold (part)	05/11/18	J		
342.					Sold	05/23/18	J		See Part VIII
343. - Western Gas Partners LP, PTP	C	Dividend			Sold (part)	04/03/18	L		
344.					Sold (part)	06/04/18	K		See Part VIII
345.					Sold	06/04/18	K	B	
346. - Hawaii St bds, municipal bds	E	Interest	N	T					
347. - MA St Dev Fin Agy Bds, municipal bds	E	Interest	P1	T	Buy (add'l)	10/18/18	O		
348. - WI St Trans Rev Bds, municipal bds	D	Interest	M	T					
349. - CHARLESTON CNTY S C 5% 11-01-2021 BEO	E	Interest	N	T					
350. - Energy Northwest WA Elec Rev municipal bds	D	Interest			Matured	07/01/18	N		See Part VIII
351. - Frederick Cty MD municipal bds	A	Interest	J	T					
352. - Lone Star Real Estate Fd II (U.S.), LP (priv equity)	E	Distribution	L	W					
353. - Lone Star Fund VII (U.S.), LP (priv equity)		None	K	W					
354. - PS Opportunities Onshore LP (priv equity)		None	P1	W					
355. - Andeavor Logistics LP (PTP) (fka Tesoro Logistics LP)	C	Dividend			Sold (part)	04/03/18	L		
356.					Sold (part)	05/02/18	J		
357.					Sold (part)	06/04/18	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	

FINANCIAL DISCLOSURE REPORT

Page 25 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358.					Sold	06/04/18	J		See Part VIII
359. - MPLX LP (PTP)	D	Dividend			Buy (add'l)	01/26/18	K		
360.					Buy (add'l)	05/24/18	J		
361.					Sold (part)	04/03/18	M		See Part VIII
362.					Sold (part)	06/04/18	L	B	
363.					Sold	06/04/18	K	D	
364. - Western Gas Equity Partners LP (PTP)	A	Dividend			Sold (part)	04/03/18	J	A	
365.					Sold	06/04/18	J	A	
366. - EQT Midstream Partners, LP (PTP)	C	Dividend			Buy (add'l)	03/09/18	K		
367.					Buy (add'l)	05/11/18	J		
368.					Sold (part)	04/03/18	M		See Part VIII
369.					Sold (part)	06/04/18	J	B	
370.					Sold	06/04/18	L		See Part VIII
371. - Williams Cos Inc common (WMB)	A	Dividend			Sold (part)	01/25/18	K	D	
372.					Sold (part)	03/28/18	K	B	
373.					Sold (part)	04/03/18	K	A	
374.					Sold	06/04/18	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 26 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. - PA Econ Dev Fing Auth municipal bds	D	Interest	N	T					
376. - University Utah University Revs (municipal Bds)	D	Interest	N	T					
377. - MA St Sch Bldg Auth (municipal bds)	E	Interest	N	T	Sold (part)	10/15/18	K		
378. - Frontier MFG Global Equity Fd Instl (FMGEX) mutual fd		None	P1	T					
379. - Genesis Energy LP (GEL) (PTP)	A	Dividend			Sold (part)	01/12/18	J		
380.					Sold (part)	01/12/18	J		
381.					Sold	03/09/18	K		See Part VIII
382. - Oneok Inc, com (OKE)	C	Dividend			Sold (part)	03/23/18	K	C	
383.					Sold (part)	04/03/18	M	D	
384.					Sold	06/04/18	L	E	
385. - Phillips 66 Partners LP (PSXP) (PTP)	B	Dividend			Sold (part)	04/03/18	L		See Part VIII
386.					Sold	06/04/18	K	B	
387. - Valero Energy Partners LP (VLP) (PTP)	B	Dividend			Sold (part)	04/03/18	K	D	
388.					Sold	06/04/18	K		See Part VIII
389. - Morehead St Univ KY municipal bds	E	Interest	N	T					
390. - Stratford CT municipal bds	E	Interest	N	T					
391. - Western Mich Univ Rev municipal bds	D	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 27 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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. - DL Partners Opportunities Fd LP (private eq)		None	P1	W					
393. - Antero Midstream Partners LP (AM) (PTP)	C	Dividend			Sold (part)	04/03/18	L		
394.					Sold (part)	06/04/18	K		See Part VIII
395.					Sold	06/04/18	K	B	
396. - Dominion Energy Midstream Partners LP (DM) (PTP) (fka Dominion Mid)	B	Dividend			Sold (part)	04/03/18	K		
397.					Sold (part)	04/23/18	J		
398.					Sold	06/04/18	J		See Part VIII
399. - Shell Midstream Partners LP (SHLX) (PTP)	C	Dividend			Sold (part)	02/06/18	J	B	
400.					Sold (part)	02/21/18	J		
401.					Sold (part)	04/03/18	K		
402.					Sold (part)	04/03/18	J		
403.					Sold	06/04/18	K		See Part VIII
404. - FORSYTH CNTY GA 5% 03-01-2024 BEO	D	Interest			Sold	01/18/18	N		See Part VIII
405. - Franklin IND Cmnty-Sch Bldg municipal bds	D	Interest	N	T					
406. - MARYLAND ST 5% 08-01-2025 BEO	F	Interest	O	T	Sold (part)	12/06/18	N		See Part VIII
407. - Edgbaston Asian Equity Trust (private eq)		None	P1	W					
408. - EQT GP Holding LP (EQGP) (PTP)	A	Dividend			Sold (part)	04/03/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 28 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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.					Sold	06/04/18	J		See Part VIII
410. - Targa Resources Corp (TRGP), common stock	B	Dividend			Sold (part)	04/03/18	K		
411.					Sold (part)	06/04/18	K		
412.					Sold	06/04/18	J		See Part VIII
413. - Energy Transfer Partners LP (ETP), PTP	D	Dividend			Buy (add'l)	04/26/18	J		
414.					Sold (part)	04/03/18	L		
415.					Sold	06/04/18	L		See Part VIII
416. - Noble Midstream Partners LP (NBLX), PTP	A	Dividend			Sold (part)	04/03/18	K	D	
417.					Sold	06/04/18	J	C	
418. - Tallgrass Energy Partners LP (TEP), PTP	C	Dividend			Buy (add'l)	02/23/18	J		
419.					Sold (part)	04/03/18	L		
420.					Sold (part)	06/04/18	J		
421.					Sold	06/04/18	K		See Part VIII
422. - Tallgrass Energy GP LP (TEGP) C1 A shares	A	Dividend			Sold (part)	04/03/18	J		See Part VIII
423.					Sold	06/04/18	J	A	
424. - Oakland Univ Mich Rev municipal fds	D	Interest	M	T					
425. - MFB Northern Funds US Govt money mkt (cash equiv)	D	Dividend	M	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 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 29 of 72

Name of Person Reporting

SARIS, PATTI B.

Date of Report

04/05/2020

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)
426. - Governors Lane Onshore Fund LP (private equity)		None	P1	W					
427. - Waterline Ventures II LP (private equity)		None	M	W					
428. - Kildare European Partners I, LP (private equity)**See Part VIII Note		None			Merged (with line 490)	01/01/18	J		See Part VIII
429. - Regent Opportunity Fund IV, LLC (private equity)		None	M	W					
430. - US Bank Security acct (H)									
431. - First Am US Treas mm CL Z cash equiv (mutual fd)	C	Dividend	L	T	Buy (add'l)	12/03/18	K		
432.					Buy (add'l)	12/04/18	J		
433.					Buy (add'l)	12/04/18	K		
434.					Buy (add'l)	12/10/18	K		
435.					Buy (add'l)	12/12/18	L		
436.					Buy (add'l)	12/18/18	K		
437.					Buy (add'l)	12/19/18	P1		
438.					Buy (add'l)	12/20/18	M		
439.					Buy (add'l)	12/21/18	N		
440.					Buy (add'l)	12/24/18	J		
441.					Buy (add'l)	12/26/18	K		
442.					Buy (add'l)	12/28/18	K		

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
443.					Buy (add'l)	12/31/18	L		
444.					Buy (add'l)	12/31/18	L		
445.					Sold (part)	12/11/18	L		
446.					Sold (part)	12/14/18	M		
447.					Sold (part)	12/17/18	N		
448.					Sold (part)	12/20/18	K		
449.					Sold (part)	12/21/18	J		
450.					Sold (part)	12/27/18	K		
451.					Sold (part)	12/28/18	P1		
452. - Independent Fran Part EQ FD (mutual FD) (x)	G	Dividend	P1	T	Open	12/19/18	P1		
453. - Euro Currency (cash equiv) (x)		None			Buy	12/19/18	L		
454.					Sold	12/20/18	L		
455. - Frontegra MFG Global Equity Instl (mutual FD) (x)	G	Dividend	P1	T	Open	12/18/18	P1		
456. - Vanguard Dividend Apprec IDX Admiral (mutual fd) (x)	A	Dividend	M	T	Open	12/18/18	M		
457. - BP Midstream Partners (BPMP), PTP	A	Dividend			Sold (part)	04/03/18	K	A	
458.					Sold	06/04/18	J	B	
459. - Antero Midstream Group LP, PTP	A	Dividend			Sold (part)	04/03/18	J		

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

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)

460.					Sold	06/04/18	J		See Part VIII
461. - Cheniere Energy INC (LNG)		None			Buy (add'l)	05/03/18	J		
462.					Sold (part)	04/03/18	J	B	
463.					Sold (part)	04/03/18	J	A	
464.					Sold	06/04/18	J	B	
465. - Castlelake V LPs (private equity)		None	N	W					
466. - Berkshire Wind Pwr Coop Corp Mass municipal bds	D	Interest	N	T					
467. - BURLINGTON CNTY N J FLTGT RT 2.5% 01-15-2026 BEO	D	Interest	N	T					
468. - MARICOPA CNTY ARIZ SCH DIST NO 001 PHOENIX ELEM 5% 07-01-2026 BEO	E	Interest	O	T					
469. - ODESSA TEX JR COLLEGE DIST 5% 08-15-2027BEO	E	Interest	O	T					
470. - SAN ANTONIO TEX WTR REV 5% 05-15-2026 BEO	E	Interest	O	T					
471. - SPRINGFIELD MASS WTR & SWR COMMN REV 5% 04-15-2026 BEO	E	Interest	N	T					
472. - WA Multnomah & Yamhill Cntys municipal bds	D	Interest	N	T					
473. - Brookside Cap Partners Fd LP		None	L	W					
474. - Marathon UCITS Funds - International Equity F(private equity)		None	P2	W					
475. - Summit Ptrns Priv Eq Fd VII-A	F	Distribution	N	W					
476. - Hony Capital Fund 2008, LP	F	Distribution	O	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	

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)

477. - Lone Star Fund VI (US), LP		None	N	U					
478. - Lone Star Europe Holdings (US), LP		None	M	U					
479. - Lone Star Real Estate Fund (US), LP		None	M	U					
480. - Lime Rock Partners VI LP (private equity)	E	Distribution	O	U					
481. - Lone Star Fund VIII (US) LP (private equity)		None	O	U					
482. - Lone Star Real Estate Fund III (US), LP (private eq)	G	Distribution	N	U					
483. - Castlelake IV LP (private eq)	G	Distribution	P1	U					
484. - CL IV Inc LLC (private eq)		None	P1	W					
485. - Lime Rock Partners VII LP (private eq)	C	Distribution	P1	U					
486. - Lone Star IX (US), LP (private eq)	D	Distribution	P1	U					
487. - Aria Investment Partners LP LLC (private equity)		None	O	U					
488. - Centerbridge Cap Ptnrs LPs (Priv. Eq)	G	Distribution	O	U					
489. - MP Fund I LP (private eq)	F	Distribution	N	U					
490. - Kildare European Partners I, LP (private eq)	G	Distribution	O	U					
491. - Federated Treasury Obliga - IS (cash equiv)	A	Dividend			Buy (add'l)	01/12/18	K		
492.					Buy (add'l)	01/25/18	K		
493.					Buy (add'l)	02/07/18	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	

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)

494.					Buy (add'l)	02/09/18	J		
495.					Buy (add'l)	02/13/18	J		
496.					Buy (add'l)	02/14/18	K		
497.					Buy (add'l)	02/15/18	J		
498.					Buy (add'l)	02/21/18	J		
499.					Buy (add'l)	02/27/18	J		
500.					Buy (add'l)	02/28/18	J		
501.					Buy (add'l)	03/05/18	J		
502.					Buy (add'l)	03/23/18	J		
503.					Buy (add'l)	03/23/18	K		
504.					Buy (add'l)	04/03/18	P1		
505.					Buy (add'l)	04/20/18	J		
506.					Buy (add'l)	04/23/18	J		
507.					Buy (add'l)	05/02/18	J		
508.					Buy (add'l)	05/08/18	J		
509.					Buy (add'l)	05/14/18	J		
510.					Buy (add'l)	05/18/18	J		

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 R = Cost (Real Estate Only) V = Other	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)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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)

511.					Buy (add'l)	05/21/18	J		
512.					Buy (add'l)	05/23/18	J		
513.					Buy (add'l)	06/04/18	P1		
514.					Sold (part)	01/02/18	J		
515.					Sold (part)	01/03/18	K		
516.					Sold (part)	01/03/18	N		
517.					Sold (part)	01/24/18	J		
518.					Sold (part)	01/26/18	K		
519.					Sold (part)	02/06/18	K		
520.					Sold (part)	02/20/18	J		
521.					Sold (part)	02/23/18	J		
522.					Sold (part)	03/09/18	J		
523.					Sold (part)	03/27/18	K		
524.					Sold (part)	04/04/18	P1		
525.					Sold (part)	04/18/18	J		
526.					Sold (part)	04/26/18	J		
527.					Sold (part)	05/03/18	J		

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 R = Cost (Real Estate Only) V = Other	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)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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)
528.					Sold (part)	05/11/18	J		
529.					Sold (part)	05/24/18	J		
530.					Sold (part)	06/05/18	J		
531.					Sold	06/13/18	P1		
532. - Acacia Conservation Fund LP (private equity) (x) - Artemis R E Ptnr		None	P1	W	Open	01/01/18	P1		
533. - Artemis R E Ptnrs Hlthcare Fd I LP (private equity) (x)	F	Distribution	O	W	Open	01/01/18	O		
534. - Artemis Real Est Partners Fd I (NR) LP (x)	F	Distribution	M	W	Open	01/01/18	M		
535. - Artemis Real Est Partners Fd II LP (x)	G	Distribution	O	W	Open	01/01/18	O		
536. - Baupost Val Partners LP II (x)		None	P2	U	Open	01/01/18	P2		
537. - Abrams Capital Partners II LP (x)		None	P2	W	Open	01/01/18	P2		
538. - Advent International GPE VIII-B LP (private equity) (x)		None	P1	W	Open	01/01/18	P1		
539. - Charlesbank Executives Fund IX, LP (x)		None	M	W	Open	01/01/18	M		
540. - CX Partners Fd Limited (private eq) (x)	F	Distribution	O	W	Open	01/01/18	O		
541. - Denham Oil & Gas Fd LP (private equity) (x)		None	P1	W	Open	01/01/18	P1		
542. - Elliott Associates LP (x)		None	P2	W	Open	01/01/18	P2		
543. - FE Industrial Partners I LP (x)	E	Distribution	N	W	Open	01/01/18	N		
544. - Hephaestion II LP priv eq (x)	G	Distribution	O	W	Open	01/01/18	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	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

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

545. - Hephaestion III LP (x)		None	N	W	Open	01/01/18	N		
546. - Hephaestion IV LP (private equity) (x)		None	P1	W	Open	01/01/18	P1		
547. - Hephaestion Retail LP priv eq (x)	E	Distribution	K	W	Open	01/01/18	K		
548. - HighVista I LP (x)		None	P1	W	Open	01/01/18	P1		
549. - Hillhouse Fund III LP (private equity) (x)	G	Distribution	P1	W	Open	01/01/18	P1		
550. - Hillhouse Fund IV, L.P. (x)	F	Distribution	M	W	Buy	04/16/18	M		
551. - Independent Franchise Partners US Eq Fd (IFPUX) mutual Fd (x)		None	P1	W	Open	01/01/18	P1		
552. - Innovation works Development Fd II, LP (private equity) (x)		None	P1	W	Open	01/01/18	P1		
553. - Kabouter International Opportunities Fd II LLC (private equity) (x)		None	P1	W	Open	01/01/18	P1		
554. - Kensico Associates LP (private equity) (x)		None	P2	W	Open	01/01/18	P2		
555. - Kildare European Partners II LP (x)	G	Distribution	J	W	Buy	10/08/18	J		
556. - Lime Rock Partners IV LP (combined) (private equities) (x)		None	J	W	Open	01/01/18	J		
557. - Lime Rock Partners V, LP combined (x)	G	Distribution	O	W	Open	01/01/18	O		
558. - Long Pond Capital QP Fund, LP (x)		None	O	W	Buy	03/29/18	O		
559. - MFN Partners, LP (x)		None	P1	W	Buy	09/30/18	P1		
560. - Nonantum Capital Partners Fund I (x)		None	J	W	Buy	11/09/18	J		
561. - Orion European Real Estate Fund II CV (x)	B	Distribution	J	W	Open	01/01/18	J		

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

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)
562. - Orion European Real Estate Fund III CV (x)	D	Distribution	M	W	Open	01/01/18	M		
563. - Orion European Real Estate Fund IV CV (x)	E	Distribution	O	W	Open	01/01/18	O		
564. - Orion European Real Estate Fund V SLP (x)		None	J	W	Buy	06/15/18	J		
565. - PAR Investment Partners LP (private equity) (x)	G	Distribution	P2	W	Open	01/01/18	P2		
566. - Penta Asia Long Short Fund LTD (x)		None	K	W	Open	01/01/18	K		
567. - Polaris Vent Part Entrep Fd V LP (x)	F	Distribution	O	W	Open	01/01/18	O		
568. - S Capital, L.P. (x)		None	M	W	Buy	03/30/18	M		
569. - Tekne Partners, LP (private equity) (x)		None	P1	W	Open	01/01/18	P1		
570. - Thorntree Capital Fund LP (x)		None	P1	W	Open	01/01/18	P1		
571. - Vanguard Dvd Apprec Ind-adm (VDADX) mutual FD (x)	C	Dividend	M	W	Open	01/01/18	M		
572. - X Investment Holding Ltd/Indian Dream Financial Advisors (x)		None	N	W	Open	01/01/18	N		
573. - MA St College Bds Municipal Bds (x)	D	Interest	M	T	Open	01/02/18	M		
574. - MEDINA CNTY OHIO LIBR DIST 5% 12-01-2020 BEO (x)	D	Interest	M	T	Open	01/02/18	M		
575. - OREGON ST 5% 12-01-2020 BEO (x)	D	Interest	N	T	Open	01/02/18	N		
576. - Metropolitan St Louis, MO municipal fds (x)	D	Interest	M	T	Open	01/02/18	M		
577. - Castle Rock Colo Sales & Use Tax Rev municipal bds (x)	C	Interest	M	T	Open	01/02/18	M		
578. - Edmond OK Pub Wks Auth Sales Tax & Util Rev municipal bds (x)	D	Interest	N	T	Open	01/02/18	N		

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
579. - EAGLE RIV COLO WTR & SANTN DIST ENTERPRISE WASTEWTR REV 5 12-01-202	C	Interest	M	T	Open	01/02/18	M		
580. - Florida St Brd Ed Pub municipal bds (x)	C	Interest	M	T	Open	01/02/18	M		
581. - Massachusetts St Clean Wtr municipal bds (x)		None	O	T	Buy	09/12/18	O		
582. - Minneapolis & St Paul MN Met Arpts Comm municipal bds (x)	B	Interest	M	T	Open	01/02/18	M		
583. - New York NY City HSG Dev Corp municipal bond (x)		None	O	T	Buy	12/26/18	O		
584. - New York ST Dorm Auth Revs Non St municipal bond (x)		None	O	T	Buy	06/07/18	O		
585. - South Dakota Brd Regts Hsg & Auxiliary Fac municipal bds (x)	D	Interest	O	T	Open	01/02/18	O		
586. - Whitman Cnty Wash Reorg Sch Dist No 300 municipal bds (x)		None	N	T	Open	06/13/18	N		
587. - Minnesota Pub FACS Auth Clean Wtr municipal bds (x)	D	Interest	M	T	Open	01/02/18	M		
588. MECM Associates II LLC (H)									
589. - Baupost Value Partners LP II		None			Distributed	01/01/18	P1		See Part VIII
590. - Elliott Associates LP		None			Distributed	01/01/18	P1		See Part VIII
591. - HighVista I LP		None			Distributed	01/01/18	P1		See Part VIII
592. - Penta Asia Long Short Fd Ltd LP		None			Distributed	01/01/18	K		See Part VIII
593. - X Investment Holdings co Ltd LP		None			Distributed	01/01/18	N		See Part VIII
594. - Federated US Teas Cash Rsv cash equiv (mutual fd)	A	Dividend			Sold	01/03/18	N		

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

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)
595. - Vanguard Dvd Apprec Ind-adm (VDADX) mutual fd		None			Distributed	01/01/18	M		See Part VIII
596. - Federated Treasury Obliga - IS (cash equiv)	A	Dividend			Sold	01/03/18	N		
597. First Republic Bank, bank account (cash account)	A	Interest	P2	T					
598. Perry Partners, LP (private equity)	B	Distribution	J	U					
599. Local Motors Inc Ser B pfd stock		None	M	T					
600. Local Motors Inc Ser C pfd stock		None	N	T					
601. AdoreMe Inc-seed pfd (fka WebcamGen Inc Ser A pfd) clsly held		None	K	T					
602. Highland Capital Partners VIII, LP	E	Distribution	N	U					
603. CHARLESTON CNTY S C 5% 11-01-2021 BEO		None			Distributed	01/02/18	M		See Part VIII
604. Energy Northwest WA municipal bds	C	Interest			Distributed	01/02/18	L		See Part VIII
605. MA St Sch Bldg municipal bds		None			Distributed	01/02/18	M		See Part VIII
606. MEDINA CNTY OHIO LIBR DIST 5% 12-01-2020 BEO		None			Distributed	01/02/18	M		See Part VIII
607. OREGON ST 5% 12-01-2020 BEO		None			Distributed	01/02/18	N		See Part VIII
608. Artemis Real Est Partners Fd I LP		None			Distributed	01/01/18	O		See Part VIII
609. Prosperitas Real Est Partners III LP (private equity)		None	J	W					
610. Prosperitas Real Est Partners IIIA LP (private equity)		None	J	W					
611. Prosperitas Real Est Partners IIIB LP (private equity)		None	J	W					

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

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
612. PS Opportunities Onshore LP (priv equity)		None			Distributed	01/01/18	P1		See Part VIII
613. Liveprocess Corp Ser B pfd		None	J	W					
614. Trust # 29 (H)									
615. - Plymouth Rock Co Inc OC Cl A com stock (closely held)	G	Dividend	P2	T					
616. - Federated US Treas Cash Rsv cash equiv mutual fund	A	Dividend			Sold	12/12/18	J		
617. - Hephaestion IV LP (private equity)		None			Distributed	01/01/18	O		See Part VIII
618. - MECM Assoc LLC (privately held)		None			Distributed	01/01/18	P4		See Part VIII
619. - Independent Franchise Partners US Eq Fd (IFPUX) mutual fd		None			Distributed	01/01/18	P1		See Part VIII
620. - Federated Treasury Obliga - IS (cash equiv)	D	Dividend			Buy (add'l)	03/15/18	M		
621.					Buy (add'l)	03/29/18	O		
622.					Buy (add'l)	06/05/18	O		
623.					Buy (add'l)	06/29/18	N		
624.					Buy (add'l)	09/12/18	O		
625.					Buy (add'l)	09/19/18	M		
626.					Buy (add'l)	09/28/18	N		
627.					Buy (add'l)	10/02/18	J		
628.					Sold (part)	01/02/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
629.					Sold (part)	01/03/18	J		
630.					Sold (part)	01/05/18	K		
631.					Sold (part)	01/12/18	J		
632.					Sold (part)	01/16/18	J		
633.					Sold (part)	01/22/18	K		
634.					Sold (part)	01/26/18	K		
635.					Sold (part)	02/02/18	K		
636.					Sold (part)	02/09/18	K		
637.					Sold (part)	02/20/18	J		
638.					Sold (part)	02/26/18	K		
639.					Sold (part)	02/28/18	J		
640.					Sold (part)	03/02/18	K		
641.					Sold (part)	03/12/18	J		
642.					Sold (part)	03/19/18	J		
643.					Sold (part)	03/26/18	J		
644.					Sold (part)	04/03/18	O		
645.					Sold (part)	04/04/18	J		

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

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)
646.					Sold (part)	04/09/18	J		
647.					Sold (part)	04/18/18	J		
648.					Sold (part)	04/25/18	J		
649.					Sold (part)	05/07/18	J		
650.					Sold (part)	05/17/18	J		
651.					Sold (part)	05/21/18	J		
652.					Sold (part)	06/13/18	J		
653.					Sold (part)	06/14/18	J		
654.					Sold (part)	06/15/18	K		
655.					Sold (part)	06/19/18	J		
656.					Sold (part)	06/21/18	J		
657.					Sold (part)	06/26/18	J		
658.					Sold (part)	07/02/18	O		
659.					Sold (part)	07/03/18	J		
660.					Sold (part)	07/09/18	J		
661.					Sold (part)	07/10/18	J		
662.					Sold (part)	07/12/18	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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
663.					Sold (part)	07/19/18	J		
664.					Sold (part)	07/20/18	J		
665.					Sold (part)	07/26/18	J		
666.					Sold (part)	08/01/18	J		
667.					Sold (part)	08/06/18	J		
668.					Sold (part)	08/09/18	J		
669.					Sold (part)	08/13/18	J		
670.					Sold (part)	08/14/18	J		
671.					Sold (part)	08/20/18	J		
672.					Sold (part)	08/22/18	J		
673.					Sold (part)	09/13/18	J		
674.					Sold (part)	09/17/18	J		
675.					Sold (part)	10/01/18	O		
676.					Sold (part)	10/03/18	J		
677.					Sold (part)	10/05/18	J		
678.					Sold (part)	10/09/18	J		
679.					Sold (part)	10/15/18	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	

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)
680.					Sold (part)	10/22/18	J		
681.					Sold (part)	11/06/18	J		
682.					Sold (part)	11/13/18	J		
683.					Sold (part)	11/16/18	J		
684.					Sold (part)	12/03/18	J		
685.					Sold (part)	12/07/18	N		
686.					Sold	12/19/18	J		
687. - MECM Investments, LLC interest (x)		None	P4	W	Open	01/01/18	P4		
688. - First Republic Bank, Bank account (cash account) (x)	A	Interest	K	T	Open	12/07/18	N		
689. Trust # 31 (H)									
690. - Vanguard Dvd Apprec Ind-adm (VDADX) mutual fd	D	Dividend	N	T	Buy (add'l)	12/17/18	J		
691. - Vanguard Emerg Mkts Stock Indx-adm (VEMAX) mutual fd	D	Dividend	M	T	Buy (add'l)	12/24/18	J		
692. - Int in MECM Investments LLC (privately held)	E	Distribution	N	W					
693. - Federated US Treas Cash Rsv cash eq mutual fd	A	Dividend			Sold	12/12/18	J		
694. - Federated Treasury Obliga - IS (cash equiv)	A	Dividend			Buy (add'l)	03/27/18	J		
695.					Buy (add'l)	03/29/18	J		
696.					Buy (add'l)	04/03/18	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	

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)
697.					Buy (add'l)	04/23/18	J		
698.					Buy (add'l)	06/05/18	J		
699.					Buy (add'l)	06/29/18	K		
700.					Buy (add'l)	07/03/18	K		
701.					Buy (add'l)	09/12/18	J		
702.					Buy (add'l)	09/27/18	J		
703.					Buy (add'l)	09/28/18	J		
704.					Buy (add'l)	10/01/18	K		
705.					Sold (part)	01/03/18	J		
706.					Sold (part)	04/04/18	J		
707.					Sold (part)	04/12/18	J		
708.					Sold (part)	05/02/18	J		
709.					Sold (part)	06/01/18	J		
710.					Sold (part)	06/27/18	J		
711.					Sold (part)	07/02/18	J		
712.					Sold (part)	08/01/18	J		
713.					Sold (part)	09/04/18	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	

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)
714.					Sold (part)	10/03/18	J		
715.					Sold (part)	10/19/18	K		
716.					Sold (part)	10/26/18	J		
717.					Sold (part)	11/01/18	J		
718.					Sold (part)	12/03/18	J		
719.					Sold (part)	12/11/18	L		
720.					Sold	12/20/18	J		
721. - First Republic Bank, Bank account (cash account) (x)	A	Interest	L	T	Open	12/05/18	L		
722. Hephaestion IV LP (private equity)		None			Distributed	01/01/18	P1		See Part VIII
723. Learn Our History LLC (private equity)		None	L	W					
724. Patagonia Sur, LLC (private equity)		None	M	U					
725. Tekne Partners, LP (private equity)		None			Distributed	01/01/18	P1		See Part VIII
726. Metropolitan St Louis, MO municipal fd		None			Distributed	01/02/18	M		See Part VIII
727. PA Econ Dev Auth municipal bds	D	Interest			Distributed	01/02/18	M		See Part VIII
728. Trust # 32 (H)									
729. - Int in MECM Investments LLC (closely held)	D	Distribution	N	W					
730. - Vanguard Dvd Apprec Ind-adm (VDADX) mutual fd	D	Dividend	N	T	Buy (add'l)	12/11/18	J		

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

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)
731. - Vanguard Emerg Mkts Stock Indx-adm (VEMAX mutual fund)	C	Dividend	M	T	Buy (add'l)	12/24/18	J		
732. - Federated US Treas Cash Rsv, cash equiv mutual fd	A	Dividend			Sold	12/12/18	J		
733. - Federated Treasury Obliga - IS (cash equiv)	A	Dividend			Buy (add'l)	03/27/18	J		
734.					Buy (add'l)	03/29/18	J		
735.					Buy (add'l)	04/03/18	J		
736.					Buy (add'l)	06/05/18	J		
737.					Buy (add'l)	06/06/18	J		
738.					Buy (add'l)	06/29/18	K		
739.					Buy (add'l)	09/12/18	J		
740.					Buy (add'l)	09/21/18	K		
741.					Buy (add'l)	09/27/18	J		
742.					Buy (add'l)	10/01/18	K		
743.					Buy (add'l)	12/20/18	J		
744.					Sold (part)	01/11/18	J		
745.					Sold (part)	01/16/18	J		
746.					Sold (part)	02/12/18	J		
747.					Sold (part)	03/19/18	J		

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

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)
748.					Sold (part)	04/18/18	J		
749.					Sold (part)	04/26/18	J		
750.					Sold (part)	05/16/18	J		
751.					Sold (part)	06/13/18	J		
752.					Sold (part)	06/18/18	J		
753.					Sold (part)	06/27/18	J		
754.					Sold (part)	07/17/18	J		
755.					Sold (part)	08/15/18	J		
756.					Sold (part)	09/10/18	J		
757.					Sold (part)	09/17/18	J		
758.					Sold (part)	10/10/18	J		
759.					Sold (part)	10/16/18	J		
760.					Sold (part)	11/08/18	J		
761.					Sold (part)	11/14/18	J		
762.					Sold (part)	11/15/18	K		
763.					Sold (part)	12/12/18	K		
764.					Sold	12/20/18	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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
765. - First Republic Bank, Bank account (cash account) (x)	A	Interest	K	T	Open	12/12/18	K		
766. University Utah University Revs municipal bds		None			Distributed	01/02/18	M		See Part VIII
767. Acacia Conservation Fund LP (private equity)		None			Distributed	01/01/18	P1		See Part VIII
768. Compass DRR Mexico F1-2 Limited (private equity)		None	N	W					
769. Innovation works Development Fd II, LP (private equity)		None			Distributed	01/01/18	P1		See Part VIII
770. Kensico Associates LP (private equity)		None			Distributed	01/01/18	P1		See Part VIII
771. RNPf Co Invest LLC (private equity)		None	M	U					
772. RP Holdings Fund II, LLC (private equity)	D	Distribution	J	U					
773. Velos Partners Fund I LP (private equity)		None	M	U					
774. Morehead St Univ KY municipal bds		None			Distributed	01/02/18	M		See Part VIII
775. Stratford CT municipal bds		None			Distributed	01/02/18	M		See Part VIII
776. Artemis Real Est Partnrs Fd II LP (private eq)		None			Distributed	01/01/18	O		See Part VIII
777. Proclara Biosciences Inc Ser D pfd stock (fka Neurophage Pharms)		None	K	T					
778. Orion European Real Estate Fd IV CV (private eq)		None			Distributed	01/01/18	O		See Part VIII
779. Local Motors Inc Ser B-1 pfd (closely held)**See Part VIII Note		None	N	T					
780. Proclara Biosciences Inc Ser E pfd stock (fka Neurophage Pharms)		None	K	T					
781. CourtScribes Inc Ser A prim pfd (Delaware Corp)		None	K	T					

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

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)
782. Blackivy LLC (private eq)		None	N	W					
783. Coastal Force Invnt in Real Estate LP (private eq)		None	O	U					
784. Longpoint Realty Partners LP CL B (private eq)		None	O	U					
785. FORSYTH CNTY GA 5% 03-01-2024 BEO		None			Distributed	01/02/18	M		See Part VIII
786. MARYLAND ST 5% 08-01-2025 BEO		None			Distributed	01/02/18	M		See Part VIII
787. Franklin IND Cmnty Sch Bldg municipal bds		None			Distributed	01/02/18	L		See Part VIII
788. IRA Rollover # 2 (H)									
789. - Vanguard Total Wrld Stock Idx Fd (VT) mutual fd	C	Dividend	M	T	Buy (add'l)	02/06/18	J		
790.					Buy (add'l)	12/12/18	J		
791. - Federated U S Treas Cash Rsv mm Fd (cash equiv)	A	Dividend			Sold	12/12/18	J		
792. - Federated Treasury Obliga - IS (cash equiv)	A	Dividend			Buy (add'l)	06/27/18	J		
793.					Sold (part)	02/06/18	J		
794.					Sold	12/07/18	J		
795. Trust # 33 (H)									
796. - Federated US Treas Cash Rsv mutual fd (cash equiv)	A	Dividend			Sold	12/12/18	J		
797. - Federated Treasury Obliga - IS (cash equiv)	C	Dividend			Buy (add'l)	03/19/18	N		
798.					Buy (add'l)	11/02/18	N		

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
799.					Sold (part)	05/23/18	O		
800.					Sold	12/07/18	N		
801. - First Republic Bank, Bank account (cash account) (x)	A	Interest	N	T	Open	12/07/18	N		
802. - Interest in Trust # 35		None	P2	T					
803. Guesty Inc Ser A pfd stock		None	K	T					
804. HST Solar Farms Inc Ser A-2 Pfd (closely held)		None	M	W					
805. MFB Northern Funds US Govt money mkt (cash equiv)		None			Distributed	01/01/18	K		See Part VIII
806. Castle Rock Colo Sales & Use Tax Rev municipal bds		None			Distributed	01/01/18	M		See Part VIII
807. Edmond OK Pub Wks Auth Sales Tax & Util Rev municipal bds	D	Interest			Distributed	01/01/18	N		See Part VIII
808. Minneapolis & St Paul MN Met Arpts Comm municipal bds	B	Interest			Distributed	01/01/18	M		See Part VIII
809. South Dakota Brd Regts Hsg & Auxiliary Fac municipal bds		None			Distributed	01/01/18	M		See Part VIII
810. Artemis R E Ptnrs Hlthcare Fd I LP (private equity)		None			Distributed	01/01/18	O		See Part VIII
811. Denham Oil & Gas Fd LP (private equity)		None			Distributed	01/01/18	O		See Part VIII
812. Graduate Syndicate Fund I LP (private equity)		None	N	U					
813. Hillhouse Fund III LP (private equity)		None			Distributed	01/01/18	O		See Part VIII
814. Thorntree Capital Fund LP (private equity)		None			Distributed	01/01/18	P1		See Part VIII
815. FE Industrial Partners I LP (private equity)		None			Distributed	01/01/18	M		See Part VIII

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
816. Blackstone Distressed Securites Fund LP (private equity)		None	J	U					
817. Semma Therapeutics Inc Ser B Pfd stock		None	O	T	Buy (add'l)	12/31/18	O		
818. Venn 2014 LTD (private equity)		None	M	W					
819. BURLINGTON CNTY NJ FLTG RT 2.5% 01-15-2026 BEO		None			Distributed	01/02/18	N		See Part VIII
820. EAGLE RIV COLO WTR & SANTN DIST ENTERPRISE WASTEWTR REV 5 12-01-2028 B		None			Distributed	01/02/18	M		See Part VIII
821. Florida St Brd Ed Pub municipal bds		None			Distributed	01/02/18	M		See Part VIII
822. MARICOPA CNTY ARIZ SCH DIST NO 001 PHOENIX ELEM 5% 07-01-2026 BEO	D	Interest			Distributed	01/02/18	N		See Part VIII
823. Massachusetts St Dev Fin Agy municipal bds		None			Distributed	01/02/18	M		See Part VIII
824. Odessa Tex Jr College municipal bds		None			Distributed	01/02/18	M		See Part VIII
825. San Antonio Tex municipal bds		None			Distributed	01/02/18	N		See Part VIII
826. SPRINGFIELD MASS WTR & SWR COMMN REV 5% 04-15-2026 BEO		None			Distributed	01/02/18	M		See Part VIII
827. Federated Treasury Obliga - IS (cash equiv)	G	Dividend			Buy (add'l)	01/10/18	J		
828.					Buy (add'l)	01/17/18	P1		
829.					Buy (add'l)	01/29/18	L		
830.					Buy (add'l)	02/02/18	J		
831.					Buy (add'l)	02/05/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
832.					Buy (add'l)	02/08/18	J		
833.					Buy (add'l)	02/16/18	K		
834.					Buy (add'l)	02/26/18	L		
835.					Buy (add'l)	03/01/18	J		
836.					Buy (add'l)	03/02/18	J		
837.					Buy (add'l)	03/19/18	K		
838.					Buy (add'l)	03/20/18	J		
839.					Buy (add'l)	03/21/18	K		
840.					Buy (add'l)	03/27/18	J		
841.					Buy (add'l)	03/29/18	O		
842.					Buy (add'l)	04/03/18	O		
843.					Buy (add'l)	04/20/18	J		
844.					Buy (add'l)	04/26/18	K		
845.					Buy (add'l)	05/03/18	J		
846.					Buy (add'l)	05/11/18	J		
847.					Buy (add'l)	05/18/18	J		
848.					Buy (add'l)	05/23/18	O		

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)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
849.					Buy (add'l)	06/04/18	J		
850.					Buy (add'l)	06/05/18	N		
851.					Buy (add'l)	06/13/18	J		
852.					Buy (add'l)	06/19/18	J		
853.					Buy (add'l)	06/21/18	J		
854.					Buy (add'l)	06/22/18	J		
855.					Buy (add'l)	06/29/18	P1		
856.					Buy (add'l)	07/02/18	P1		
857.					Buy (add'l)	07/11/18	L		
858.					Buy (add'l)	08/02/18	J		
859.					Buy (add'l)	09/05/18	J		
860.					Buy (add'l)	09/10/18	J		
861.					Buy (add'l)	09/11/18	K		
862.					Buy (add'l)	09/12/18	N		
863.					Buy (add'l)	09/14/18	K		
864.					Buy (add'l)	09/19/18	K		
865.					Buy (add'l)	09/20/18	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.)
☐ 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)
866.					Buy (add'l)	09/26/18	J		
867.					Buy (add'l)	09/28/18	K		
868.					Buy (add'l)	10/01/18	O		
869.					Buy (add'l)	10/02/18	K		
870.					Buy (add'l)	10/03/18	J		
871.					Buy (add'l)	10/19/18	K		
872.					Buy (add'l)	10/26/18	P1		
873.					Buy (add'l)	10/29/18	J		
874.					Buy (add'l)	10/31/18	J		
875.					Buy (add'l)	11/02/18	K		
876.					Buy (add'l)	11/16/18	J		
877.					Buy (add'l)	12/04/18	K		
878.					Buy (add'l)	12/11/18	J		
879.					Buy (add'l)	12/12/18	O		
880.					Buy (add'l)	12/13/18	O		
881.					Buy (add'l)	12/17/18	J		
882.					Sold (part)	01/02/18	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	

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)

883.					Sold (part)	01/03/18	J		
884.					Sold (part)	01/04/18	J		
885.					Sold (part)	01/08/18	J		
886.					Sold (part)	01/09/18	J		
887.					Sold (part)	01/11/18	J		
888.					Sold (part)	01/12/18	K		
889.					Sold (part)	01/16/18	J		
890.					Sold (part)	01/18/18	J		
891.					Sold (part)	01/22/18	J		
892.					Sold (part)	01/23/18	J		
893.					Sold (part)	01/25/18	J		
894.					Sold (part)	01/30/18	J		
895.					Sold (part)	01/31/18	J		
896.					Sold (part)	02/01/18	K		
897.					Sold (part)	02/06/18	J		
898.					Sold (part)	02/08/18	J		
899.					Sold (part)	02/09/18	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
900.					Sold (part)	02/13/18	J		
901.					Sold (part)	02/14/18	J		
902.					Sold (part)	02/21/18	J		
903.					Sold (part)	02/22/18	K		
904.					Sold (part)	02/27/18	J		
905.					Sold (part)	02/28/18	J		
906.					Sold (part)	03/05/18	J		
907.					Sold (part)	03/06/18	J		
908.					Sold (part)	03/07/18	K		
909.					Sold (part)	03/08/18	J		
910.					Sold (part)	03/09/18	K		
911.					Sold (part)	03/12/18	J		
912.					Sold (part)	03/15/18	J		
913.					Sold (part)	03/16/18	J		
914.					Sold (part)	03/22/18	K		
915.					Sold (part)	04/02/18	K		
916.					Sold (part)	04/04/18	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
917.					Sold (part)	04/05/18	K		
918.					Sold (part)	04/09/18	J		
919.					Sold (part)	04/11/18	K		
920.					Sold (part)	04/12/18	J		
921.					Sold (part)	04/13/18	P1		
922.					Sold (part)	04/16/18	P1		
923.					Sold (part)	04/24/18	J		
924.					Sold (part)	04/25/18	J		
925.					Sold (part)	04/27/18	J		
926.					Sold (part)	05/01/18	K		
927.					Sold (part)	05/02/18	J		
928.					Sold (part)	05/07/18	J		
929.					Sold (part)	05/09/18	K		
930.					Sold (part)	05/10/18	J		
931.					Sold (part)	05/16/18	K		
932.					Sold (part)	05/21/18	J		
933.					Sold (part)	05/22/18	J		

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

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)
934.					Sold (part)	05/25/18	J		
935.					Sold (part)	05/29/18	J		
936.					Sold (part)	05/30/18	J		
937.					Sold (part)	06/01/18	J		
938.					Sold (part)	06/06/18	O		
939.					Sold (part)	06/08/18	J		
940.					Sold (part)	06/11/18	K		
941.					Sold (part)	06/12/18	J		
942.					Sold (part)	06/14/18	N		
943.					Sold (part)	06/15/18	J		
944.					Sold (part)	06/18/18	J		
945.					Sold (part)	06/20/18	J		
946.					Sold (part)	06/27/18	P1		
947.					Sold (part)	07/02/18	J		
948.					Sold (part)	07/03/18	J		
949.					Sold (part)	07/09/18	J		
950.					Sold (part)	07/10/18	J		

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

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)
951.					Sold (part)	07/16/18	J		
952.					Sold (part)	07/17/18	J		
953.					Sold (part)	07/18/18	J		
954.					Sold (part)	07/19/18	J		
955.					Sold (part)	07/26/18	J		
956.					Sold (part)	07/27/18	J		
957.					Sold (part)	07/30/18	J		
958.					Sold (part)	07/31/18	J		
959.					Sold (part)	08/01/18	K		
960.					Sold (part)	08/06/18	M		
961.					Sold (part)	08/07/18	J		
962.					Sold (part)	08/09/18	K		
963.					Sold (part)	08/10/18	K		
964.					Sold (part)	08/13/18	K		
965.					Sold (part)	08/14/18	J		
966.					Sold (part)	08/16/18	J		
967.					Sold (part)	08/20/18	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	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	

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)
968.					Sold (part)	08/24/18	J		
969.					Sold (part)	08/29/18	J		
970.					Sold (part)	08/29/18	J		
971.					Sold (part)	09/04/18	P1		
972.					Sold (part)	09/07/18	J		
973.					Sold (part)	09/10/18	J		
974.					Sold (part)	09/13/18	J		
975.					Sold (part)	09/17/18	J		
976.					Sold (part)	09/24/18	J		
977.					Sold (part)	09/27/18	J		
978.					Sold (part)	09/28/18	K		
979.					Sold (part)	10/03/18	K		
980.					Sold (part)	10/05/18	J		
981.					Sold (part)	10/09/18	K		
982.					Sold (part)	10/10/18	J		
983.					Sold (part)	10/11/18	J		
984.					Sold (part)	10/16/18	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	

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)
985.					Sold (part)	10/18/18	J		
986.					Sold (part)	10/29/18	J		
987.					Sold (part)	10/30/18	J		
988.					Sold (part)	11/01/18	J		
989.					Sold (part)	11/08/18	J		
990.					Sold (part)	10/09/18	L		
991.					Sold (part)	11/14/18	K		
992.					Sold (part)	11/21/18	J		
993.					Sold (part)	11/26/18	J		
994.					Sold (part)	11/27/18	J		
995.					Sold (part)	11/28/18	J		
996.					Sold (part)	11/29/18	J		
997.					Sold (part)	12/03/18	K		
998.					Sold (part)	12/07/18	P2		
999.					Sold (part)	12/10/18	K		
1000.					Sold (part)	12/20/18	M		
1001.					Sold (part)	12/26/18	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	

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)
1002.					Sold	12/27/18	J		
1003. Trust # 34 (H)									
1004. - Int in MECM Assoc II LLC (privately held)		None			Distributed	01/01/18	P1		See Part VIII
1005. - Int in MECM Investment LLC (privately held) (x)	G	Distribution	P2	W	Open	01/01/18	P2		
1006. - Federated Treasury Obliga - IS (Cash equiv) (x)	B	Dividend			Buy (add'l)	01/09/18	J		
1007.					Buy (add'l)	01/26/18	J		
1008.					Buy (add'l)	02/28/18	J		
1009.					Buy (add'l)	03/29/18	K		
1010.					Buy (add'l)	04/04/18	J		
1011.					Buy (add'l)	06/05/18	M		
1012.					Buy (add'l)	06/14/18	J		
1013.					Buy (add'l)	06/19/18	J		
1014.					Buy (add'l)	06/21/18	J		
1015.					Buy (add'l)	07/03/18	J		
1016.					Buy (add'l)	07/26/18	J		
1017.					Buy (add'l)	08/06/18	J		
1018.					Buy (add'l)	08/14/18	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	

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)
1019.					Buy (add'l)	09/12/18	M		
1020.					Buy (add'l)	09/13/18	J		
1021.					Buy (add'l)	09/17/18	J		
1022.					Buy (add'l)	09/28/18	L		
1023.					Buy (add'l)	10/22/18	J		
1024.					Buy (add'l)	12/03/18	J		
1025.					Sold (part)	01/29/18	J		
1026.					Sold (part)	03/20/18	J		
1027.					Sold (part)	04/03/18	J		
1028.					Sold (part)	04/10/18	J		
1029.					Sold (part)	06/18/18	J		
1030.					Sold (part)	06/20/18	J		
1031.					Sold (part)	06/22/18	J		
1032.					Sold (part)	08/08/18	J		
1033.					Sold (part)	09/14/18	J		
1034.					Sold (part)	09/19/18	J		
1035.					Sold (part)	10/01/18	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	

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)
1036.					Sold	12/07/18	N		
1037. - Federated U S Treas Cash Rsv mm Fd (Cash equiv) (x)		None			Open	01/05/18	J		
1038.					Sold	01/09/18	J		
1039. - First Republic Bank, Bank account (cash account) (x)	A	Interest	N	T	Open	12/07/18	N		
1040. Trust # 35 (H)									
1041. - Plymouth Rock Co Inc OC Cl A - common stock	G	Dividend	P2	T					
1042. - Federated Treasury Obliga - IS (Cash equiv) (x)	B	Dividend			Buy	09/19/18	N		
1043.					Sold	11/02/18	N		
1044. - Federated U S Treas Cash Rsv mm Fd (Cash equiv) (x)	A	Dividend			Buy	03/16/18	N		
1045.					Sold	03/20/18	N		
1046. - First Republic Bank, Bank account (cash account) (x)	A	Interest	J	T	Open	12/07/18	J		
1047. Trust #36 (H) (x)									
1048. - Int in MECM Investments, LLC Interest (x)		None	P3	W	Open	12/31/18	P3		
1049. UBS FDIC Insured Dep PGM (x)		None	J	T	Open	12/27/18	J		See Part VIII
1050. GE Capital Fin Inc UT US 3.5% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1051. Goldman Sachs Bank NY US 2.9% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1052. Goldman Sachs Bank NY US 2.75% (x)		None	K	T	Open	12/27/18	K		See Part VIII

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1053. GE Cap Retail Bnk UT US 2.8% (x)		None	K	T	Open	12/27/18	K		See Part VIII
1054. GE Cap Retail Bnk UT US 2.65% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1055. GE Cap Retail Bnk UT US 2.45% (x)		None	K	T	Open	12/27/18	K		See Part VIII
1056. Mass WTR Polltn 5.25% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1057. MFS Inter Income 9.71% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1058. John Hancock Income 3.27% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1059. UBS Bank USA Dep Acct (x)		None	J	T	Open	12/27/18	J		See Part VIII
1060. Goldman Sachs BK U NY 3.1% (x)		None	K	T	Open	12/27/18	K		See Part VIII
1061. Discover Bank De US 2.85 (x)		None	K	T	Open	12/27/18	K		See Part VIII
1062. BMO Harris BK Natl 2.25 (x)		None	K	T	Open	12/27/18	K		See Part VIII
1063. Principal Investors Pref		None	K	T	Open	12/27/18	K		See Part VIII
1064. Fidelity Institutional MM (x)		None	J	T	Open	12/27/18	J		See Part VIII
1065. Disney Walt co (x)		None	J	T	Open	12/27/18	J		See Part VIII
1066. ADP (x)		None	J	T	Open	12/27/18	J		See Part VIII
1067. Fiserv Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1068. Abbott Labs (x)		None	J	T	Open	12/27/18	J		See Part VIII
1069. Illumina Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII

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	J = \$15,000 or less (See Columns C1 and D3)	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	P3 = \$25,000,001 - \$50,000,000 (See Column C2)	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

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)
1070. Johnson & Johnson (x)		None	J	T	Open	12/27/18	J		See Part VIII
1071. Alphabet Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1072. Analog Devices Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1073. Apple Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1074. Xilinx Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1075. JM Sucker Company (x)		None	J	T	Open	12/27/18	J		See Part VIII
1076. Canadian National Railway (x)		None	J	T	Open	12/27/18	J		See Part VIII
1077. Halma PLC (x)		None	J	T	Open	12/27/18	J		See Part VIII
1078. Kerry Group PLC (x)		None	J	T	Open	12/27/18	J		See Part VIII
1079. Koninklijke DSM (x)		None	J	T	Open	12/27/18	J		See Part VIII
1080. L'Oreal (x)		None	J	T	Open	12/27/18	J		See Part VIII
1081. Nestle (x)		None	J	T	Open	12/27/18	J		See Part VIII
1082. Novartis AG (x)		None	J	T	Open	12/27/18	J		See Part VIII
1083. Novozymes (x)		None	J	T	Open	12/27/18	J		See Part VIII
1084. Panasonic Corp (x)		None	J	T	Open	12/27/18	J		See Part VIII
1085. Unilever PLC (x)		None	J	T	Open	12/27/18	J		See Part VIII
1086. Aptar Group (x)		None	J	T	Open	12/27/18	J		See Part VIII

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1087. Rockwell Auto (x)		None	J	T	Open	12/27/18	J		See Part VIII
1088. Waste MGMT (x)		None	J	T	Open	12/27/18	J		See Part VIII
1089. Xylem Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1090. Danaher Corp (x)		None	J	T	Open	12/27/18	J		See Part VIII
1091. Stryker Corp (x)		None	J	T	Open	12/27/18	J		See Part VIII
1092. Marketaxess Holdings (x)		None	J	T	Open	12/27/18	J		See Part VIII
1093. Mastercard (x)		None	J	T	Open	12/27/18	J		See Part VIII
1094. Paypal Holdings (x)		None	J	T	Open	12/27/18	J		See Part VIII
1095. New York Times (x)		None	J	T	Open	12/27/18	J		See Part VIII
1096. CVS Health (x)		None	J	T	Open	12/27/18	J		See Part VIII
1097. IPG Photonics (x)		None	J	T	Open	12/27/18	J		See Part VIII
1098. Nike (x)		None	J	T	Open	12/27/18	J		See Part VIII
1099. Church & Dwight Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1100. Salesforce Inc (x)		None	J	T	Open	12/27/18	J		See Part VIII
1101. MA St Dev Fin 5% Agy (x)		None	J	T	Open	12/27/18	J		See Part VIII
1102. MA St DTD 5% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1103. MA St DTD 4% (x)		None	J	T	Open	12/27/18	J		See Part VIII

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1104. MA St DTD 5.25% 2021 (x)		None	J	T	Open	12/27/18	J		See Part VIII
1105. MA St DTD 5.25% 2019 (x)		None	J	T	Open	12/27/18	J		See Part VIII
1106. MA St Health & Edl 6.25% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1107. MA St Wtr Res 5.5% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1108. United States Treas Nts .875% (x)		None	J	T	Open	12/27/18	J		See Part VIII
1109. Graduate Syndicate Fund 2 LP (x)		None	M	U	Buy	09/28/18	M		
1110. NREP NSF III InvestCo 66 AS (x)		None	K	W	Buy	03/18/18	K		
1111. Proclara Biosciences Inc Ser F PFD (x)		None	J	W	Buy	11/28/18	J		
1112. MECM Investments, LLC interest (x)	H1	Distribution	P2	W	Open	01/01/18	P3		
1113.					Distributed (part)	12/31/18	P3		See Part VIII
1114. MECM Investments, LLC interest (x)	G	Distribution	P1	W	Open	01/01/18	P1		

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	

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)***Part I. Postions -**

A. Reference is made to Trust #4 of which [REDACTED] is a co-trustee. NOTE: All assets have been separately reported on the FDR and properly disclosed.

Part VII. Investments and Trusts -

A. Items listed on calendar year 2017 Financial Disclosure Report (FDR) and excluded for calendar year 2018 do not meet the aggregate income, or aggregate value levels outlined in the Financial Disclosure Report Filing Instructions for Judicial Officers and Employees (said instructions referencing Sections 102(a)(3) and 102(a)(1)(B)).

Item 8: Independent Franchise Partners US Eq Fd - There was no reportable gain on the sale.
 Item 51: The life insurance policy currently held at Britchehouse Life was previously held with Met Life.
 Item 58: Tucker Anthony Private Equity Fund IV - There was no reportable gain on Sale
 Item 76: Orion European Real Estate Fd II, C.V., LP - This asset was distributed to MECM Investments LLC, see Item 605.
 Item 134: Lime Rock Partners IV LP (combined) (private equities) - This asset was distributed to MECM Investments LLC, see Item 598.
 Item 137: Polaris Vent Part Entrep Fd V LP - This asset was distributed to MECM Investments LLC, see Item 619.
 Item 139: Minnesota Pub Facs Auth Clean Wtr municipal bds - This asset was distributed to MECM Investments LLC, see Item 642. This asset was labeled incorrectly as Minneapolis, MN Municipal bds on item 98 of the 2017 FDR.
 Item 140: University Idaho Municipal bds - There was no reportable gain on the redemption.
 Item 143: Hephaestion II LP priv eq - This asset was distributed to MECM Investments LLC, see Item 575.
 Item 144: Hephaestion Retail LP priv eq - This asset was distributed to MECM Investments LLC, see Item 581.
 Item 147: Int in MECM Assoc II LLC (privately held) - See item numbers 589 thru 595 for MECM Associates II, LLC assets and distributions.
 Item 222: Liveprocess Corp Ser A pfd stock - The asset name was corrected for the misspelling of "Corp" (Previously reported as Crop).
 Item 225: Elliott Associates, LP - This asset was distributed to MECM Investments LLC, see Item 542.
 Item 226: Lime Rock Partners V, LP combined - This asset was distributed to MECM Investments LLC, see Item 557.
 Item 229: Abrams Capital Partners II LP - This asset was distributed to MECM Investments LLC, see Item 537.
 Item 230: Baupost Value Partners LP II - This asset was distributed to MECM Investments LLC, see Item 536.
 Item 231: Kensico Associates LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 554.
 Item 233: PAR Investment Partners LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 565.
 Item 234: Kabouter International Opportunities Fd II LLC (private equity) - This asset was distributed to MECM Investments LLC, see Item 553.
 Item 235: Advent International GPE VIII-B LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 538.
 Item 237: Berkeley Cty SC Municipal bd - This asset was distributed to MECM Investments LLC, see Item 305.
 Item 238: Hawaii St Municipal Bds - This asset was distributed to MECM Investments LLC, see Item 346.
 Item 239: Chatham Cty GA Municipal Bds - This asset was distributed to MECM Investments LLC, see Item 307.
 Item 240: MA St College Bds Municipal Bds - This asset was distributed to MECM Investments LLC, see Item 573.
 Item 299: CX Partners Fd Limited (private eq) - his asset was distributed to MECM Investments LLC, see Item 540.
 Item 300: Hephaestion III LP - his asset was distributed to MECM Investments LLC, see Item 545.
 Item 301: Orion European Real Estate Fd III CV (priv eq) - This asset was distributed to MECM Investments LLC, see Item 562.
 Item 305: Berkeley Cty SC Municipal Bds - There was no reportable gain on redemption.
 Item 306: Int in MECM Associates II LLC (privately held) - See item numbers 589 thru 595 for MECM Associates II, LLC assets and distributions.
 Item 310 to 312: Buckeye Partners LP, PTP - There was no reportable gain on these sales.
 Item 318 to 319: Williams Partners LP - There was no reportable gain on these sales.
 Item 323 and 325: Energy Transfer equity LP - There was no reportable gain on these sales.
 Item 327: Enterprise Prods Partners LP - There was no reportable gain on the sale.
 Item 336 and 338: Plains All American Pipeline LP - There was no reportable gain on these sales.
 Item 339 to 342: Spectra Energy Partners LP - There was no reportable gain on these sales.
 Item 343 to 344: Western Gas Partners LP - There was no reportable gain on these sales.
 Item 350: Energy Northwest WA Elec Rev municipal bds - There is no reportable gain on the sale.
 Item 355 to 358: Andeavor Logistics LP - There was no reportable gain on these sales.
 Item 361: MPLX LP - There was no reportable gain on the sale.
 Item 368 and 370: EQT Midstream Partners, LP - There was no reportable gain on these sales.
 Item 379 to 381: Genesis Energy LP - There was no reportable gain on these sales.
 Item 385: Phillips 66 Partners LP - There is no reportable gain on the sale.
 Item 388: Valero Energy Partners LP - There is no reportable gain on the sale.
 Item 393 to 394: Antero Midstream Partners LP - There was no reportable gain on these sales.
 Item 396 to 398: Dominion Energy Midstream Partners LP - There is no reportable gain on these sales.
 Item 400 to 403: Shell Midstream Partners LP - There is no reportable gain on these sales.
 Item 404: FORSYTH CNTY GA 5% 03-01-2024 BEO - There is no reportable gain on the sale.
 Item 406: MARYLAND ST 5% 08-01-2025 BEO - There is no reportable gain on the sale.
 Item 408 to 409: EQT GP Holding LP - There was no reportable gain on these sales.
 Item 410 to 412: Targa Resources Corp - There is no reportable gain on these sales.
 Item 415 to 416: Energy Transfer Partners LP - There is no reportable gain on these sales.
 Item 419 to 421: Tallgrass Energy Partners LP - There is no reportable gain on these sales.
 Item 422: Tallgrass Energy GP LP - There is no reportable gain on the sale.

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

Item 428: Kildare European Partners I, LP (private equity) - This asset is a duplicate from the prior year disclosure, see item number 755. Please see the correct item 490. Item 428 will be removed on next year's report.

Item 459 to 460: Antero Midstream Group LP - There was no reportable gain on these sales.

Item 589: Baupost Value Partners LP II - This asset was distributed to MECM Investments LLC, see Item 536.

Item 590: Elliott Associates, LP - This asset was distributed to MECM Investments LLC, see Item 542.

Item 591: HighVista I LP - This asset was distributed to MECM Investments LLC, see Item 548.

Item 592: Penta Asia Long Short Fund LTD - This asset was distributed to MECM Investments LLC, see Item 566.

Item 593: X Investment Holdings co Ltd LP - This asset was distributed to MECM Investments LLC, see Item 572.

Item 595: Vanguard Dvd Apprec Ind-adm (VDADX) mutual fd - This asset was distributed to MECM Investments LLC, see Item 571.

Item 603: CHARLESTON CNTY S C 5% 11-01-2021 BEO - This asset was distributed to MECM Investments LLC, see Item 349.

Item 604: Energy Northwest WA Elec Rev municipal bds - This asset was distributed to MECM Investments LLC, see Item 350.

Item 605: MA St Sch Bldg municipal bds - This asset was distributed to MECM Investments LLC, see Item 377.

Item 606: MEDINA CNTY OHIO LIBR DIST 5% 12-01-2020 BEO - This asset was distributed to MECM Investments LLC, see Item 574.

Item 607: OREGON ST 5% 12-01-2020 BEO - This asset was distributed to MECM Investments LLC, see Item 575.

Item 608: Artemis Real Est Partners Fd I (NR) LP - This asset was distributed to MECM Investments LLC, see Item 534.

Item 612: PS Opportunities Onshore LP (priv equity) - This asset was distributed to MECM Investments LLC, see Item 354.

Item 617: Hephraeston IV LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 546.

Item 618: MECM Assoc LLC (privately held) - See item numbers 229 thru 236 for all of MECM Assoc LLC's assets and distributions. All MECM Assoc LLC's assets were distributed to MECM Investments, LLC, see items 473, 474, 536 thru 538, 553, 554 and 565.

Item 619: Independent Franchise Partners US Eq Fd - This asset was distributed to MECM Investments LLC, see Item 551.

Item 722: Hephraeston IV LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 546.

Item 725: Tekne Partners, LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 569.

Item 726: Metropolitan St Louis, MO municipal fd - This asset was distributed to MECM Investments LLC, see Item 576.

Item 727: PA Econ Dev Fing Auth municipal bds - This asset was distributed to MECM Investments LLC, see Item 375.

Item 766: University Utah University Revs municipal bds - This asset was distributed to MECM Investments LLC, see Item 376.

Item 767: Acacia Conservation Fund LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 532.

Item 769: Innovation works Development Fd II, LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 552.

Item 770: Kensico Associates LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 554.

Item 774: Morehead St Univ KY municipal bds - This asset was distributed to MECM Investments LLC, see Item 389.

Item 775: Stratford CT municipal bds - This asset was distributed to MECM Investments LLC, see Item 390.

Item 776: Artemis Real Est Partners Fd II LP - This asset was distributed to MECM Investments LLC, see Item 535.

Item 778: Orion European Real Estate Fd IV CV (private eq) - This asset was distributed to MECM Investments LLC, see Item 563.

Item 779: Local Motors Inc Ser B-1 pfd (closely held) - The asset name was corrected for the misspelling of "Motors" (Previously reported as Morots).

Item 785: Forsyth Cnty GA municipal bds - This asset was distributed to MECM Investments LLC, see Item 404.

Item 786: MARYLAND ST 5% 08-01-2025 BEO - This asset was distributed to MECM Investments LLC, see Item 406.

Item 787: Franklin IND Cmonty Sch Bldg municipal bds - This asset was distributed to MECM Investments LLC, see Item 405.

Item 805: MFB Northern Funds US Govt money mkt (cash equiv) - This asset was distributed to MECM Investments LLC, see Item 425.

Item 806: Castle Rock Colo Sales & Use Tax Rev municipal bds - This asset was distributed to MECM Investments LLC, see Item 577.

Item 807: Edmond OK Pub Wks Auth Sales Tax & Util Rev municipal bds - This asset was distributed to MECM Investments LLC, see Item 578.

Item 808: Minneapolis & St Paul MN Met Arpts Comm municipal bds - This asset was distributed to MECM Investments LLC, see Item 582.

Item 809: South Dakota Brd Regts Hsg & Auxiliary Fac municipal bds - This asset was distributed to MECM Investments LLC, see Item 585.

Item 810: Artemis R E Ptnrs Hltcare Fd I LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 533.

Item 811: Denham Oil & Gas Fd LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 541.

Item 813: Hillhouse Fund III LP (private equity) - This asset was distributed to MECM Investments LLC, see Item 549.

Item 814: Thorntree Capital Fund LP - This asset was distributed to MECM Investments LLC, see Item 570.

Item 815: FE Industrial Partners I LP - This asset was distributed to MECM Investments LLC, see Item 543.

Item 819: BURLINGTON CNTY N J FLTG RT 2.5% 01-15-2026 BEO - This asset was distributed to MECM Investments LLC, see Item 467.

Item 820: EAGLE RIV COLO WTR & SANTN DIST ENTERPRISE WASTEWTR REV 5 12-01-2028 BEO - This asset was distributed to MECM Investments LLC, see Item 579.

Item 821: Florida St Brd Ed Pub municipal bds - This asset was distributed to MECM Investments LLC, see Item 580.

Item 822: MARICOPA CNTY ARIZ SCH DIST NO 001 PHOENIX ELEM 5% 07-01-2026 BEO - This asset was distributed to MECM Investments LLC, see Item 468.

Item 823: Massachusetts St Dev Fin Agy municipal bds - This asset was distributed to MECM Investments LLC, see Item 347.

Item 824: Odessa Tex Jr College municipal bds - This asset was distributed to MECM Investments LLC, see Item 469.

Item 825: SAN ANTONIO TEX WTR REV 5% 05-15-2026 BEO - This asset was distributed to MECM Investments LLC, see Item 470.

Item 826: SPRINGFIELD MASS WTR & SWR COMM REV 5% 04-15-2026 BEO - This asset was distributed to MECM Investments LLC, see Item 471.

Item 1004: Int in MECM Assoc II LLC (privately held) - See item numbers 589 thru 595 for MECM Associates II, LLC assets and distributions.

Item 1049 to 1108: All assets listed were inherited from a family members trust. The amounts listed represent 1/3 of the total value which is the recipient's allocable share.

Item 1113: MECM Investments, LLC interest - This asset was distributed to MECM Investments LLC, under Trust #36, see Item 1048.

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/ PATTI B. SARIS**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544