

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) McMahon, Colleen	2. Court or Organization US District Court-Southern Dis	3. Date of Report 04/07/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 500 Pearl Street New York, NY 10007 Chambers 640 Moynihan Courthou		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust # 1
2.	Trustee	Foundation #1
3.	Director-Inactive	Music Bridges International Inc
4.	Advisory Council	Ohio State University
5.	Advisory Director	Festival Daniou

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

☒ NONE (No reportable agreements.)

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

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2016	CSG Systems Inc-Director Fee
2. 2016	Kohl's Department Stores Inc-Director Fee
3. 2016	Tailwind Capital Group-Managing Director
4. 2016	Safe Bulkers Inc -Director Fee
5. 2016	Jet Blue Airways Corp-Director Fee
6. 2016	Linx Partners LLC _Director Fee
7. 2016	Morgan Stanley-Pension Income
8.	

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

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				

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4. _____

5. _____

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

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

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

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

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

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

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

1. Thornburg Ltd. Term Muni. Fd Nat'l	B	Dividend	L	T					
2. Kohl's Corp. Com (IRA)	E	Dividend	O	T					
3. Thornberg Value Fund Class A Mut Fd. (IRA)	C	Dividend	O	T					
4. Morgan Stanley Venture Investors III LP (IRA)		None	K	U					
5. Morgan Stanley Venture Investors III LP		None	K	U					
6. MSCP III L.P.		None	J	U	Sold (part)	11/11/16	M		
7. ██████████ (1998 300,000)		None	N	R					
8. ██████████ (1998 300,000)		None	N	R					
9. Northwestern Mututal Life (Term policy)		None	K	T					
10. Phoenix Life Ins (Trust # 1) (Whole Life Policy)	C	Dividend	M	T					
11. Northwestern Mututal Life (Trust#1) (Whole Life Policy)	E	Dividend	O	T					
12. Northwestern Mututal Life(Trust #1) (Whole Life Policy)	D	Dividend	N	T					
13. Madison National Life (Term Policy)	A	Interest	J	T					
14. CSG Systems International Inc.Com	D	Dividend	O	T	Buy (add'l)	08/24/16	M		
15.					Donated (part)				
16. Summit Mariner, LLC		None	P1	U					
17. Summit Mariner LLC/JP Morgan Checking		None	J	T					

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

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18. Rental # 1 /JPMorgan Checking		None	J	T					
19. Rental # 2 [REDACTED] (1999 \$ 900,000)	E	Rent	P1	R					
20. Rental # 2/JP Morgan -Checking	A	Interest	K	T					
21. JP Morgan(Checking)-		None	M	T					
22. Vacant Land [REDACTED] (1999 \$ 425,000)		None	N	R					
23. Trident Capital Fund V LP	E	Distribution	N	U	Sold (part)	03/16/16	K		See Note # 1
24.					Distributed (part)	05/04/16	K		See Note # 5 To Ln # 381
25. Grove Capital Commitment Partners LP		None			Sold	12/20/16	K		
26. [REDACTED] Golf Partners LLC		None	K	U					
27. Silvaris Corp-Preferred C-1		None			Sold	04/05/16	M	E	
28. JP Morgan (Checking)	A	Interest	P1	T					
29. JK & B Capital IV QIP LP	F	Distribution	N	U	Sold (part)	03/22/16	M		See Note # 1
30.					Sold (part)	06/17/16	K		
31. Skyline Venture Partners Qualified Purchaser Fund III LP		None			Sold	12/30/16	J		
32. Grove II LP		None			Sold	12/30/16	L		
33. JP Morgan Checking(Foundation #1)	A	Interest	M	T					
34. Capital Income Builders Fd C1 A(IRA)	D	Dividend	M	T					

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

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35. Kinderhook Capital I LP		None	P1	U					
36. Capital World Grth & Income Fd Cl A(IRA)	D	Dividend	M	T					
37. JP Morgan Tax Free MM Premier Sweep	F	Interest	P2	T					
38. Menemsha Capital Partners Ltd		None	L	U					See Note # 2
39. CGI Partners,LP		None	P1	U	Sold (part)	03/17/16	M		
40. Micell Technologies Inc.(Com)		None	K	U					
41. Linx Partners II LP		None	O	U	Sold (part)	04/08/16	L		
42.					Sold (part)	12/29/16	J		
43.					Buy (add'l)	12/29/16	K		
44. Sentinel Capital Investors III LP	D	Distribution	J	U	Sold (part)	02/12/16	J		See Note # 1
45.					Sold (part)	10/06/16	J		
46. SFM Participation II LP	G	Distribution	P2	U	Buy (add'l)	02/01/16	K		See Note # 1
47.					Sold (part)	02/05/16	P1		
48.					Sold (part)	12/08/16	N		
49.					Sold (part)	12/30/16	N		
50. Thornburg Core Growth Cl A (IRA)		None	N	T					
51. Jetblue (Com)		None	O	T					

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52. Aisling Capital II LP		None	N	U	Buy (add'l)	01/15/16	K		
53.					Sold (part)	01/15/16	L		
54.					Sold (part)	03/07/16	J		
55.					Sold (part)	09/20/16	L		
56.					Distributed (part)	03/17/16	K		See Note # 5- To Ln # 383
57. J K & B Capital V LP		None	P1	U	Buy (add'l)	03/24/16	J		
58.					Buy (add'l)	06/06/16	N		
59.					Buy (add'l)	09/19/16	K		
60.					Sold (part)	02/10/16	N		
61. SEEF II LP		None	P1	U	Buy (add'l)	03/31/16	K		
62.					Buy (add'l)	11/09/16	K		
63. Towerbrook Investors II Executive Fund LP		None	P1	U	Sold (part)	12/22/16	N		
64. Trident VI LP	D	Distribution	N	U	Sold (part)	03/16/16	K		See Note # 1
65.					Sold (part)	09/15/16	J		
66. Kinderhook Capital Fund II LP		None	P1	U	Buy (add'l)	02/25/16	L		
67.					Sold (part)	12/16/16	J		
68.					Sold (part)	05/17/16	L		

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69.	G				Sold (part)	06/28/16	L		
70.					Sold (part)	10/07/16	L		
71. Kohls Corp (Com).	E	Dividend	O	T	Buy (add'l)	05/19/16	L		
72. KPB Partners LP		None	P2	U					
73. Thornburg-Income Builder Cl 1	C	Dividend	L	T					
74. Thornburg Global Opportunity Cl 1	A	Dividend	L	T					
75. Thornburg CRE GWT (IRA)		None	N	T					
76. Ironwood Management Partners Fund II LP		None	P1	U	Buy (add'l)	01/18/16	K		
77.					Buy (add'l)	09/28/16	J		
78. RGI Partners II B LP		None	P1	U					
79. RGI Partners Ltd	F	Distribution	P1	U	Buy (add'l)	06/15/16	L		See Note # 1
80.					Buy (add'l)	12/14/16	O		
81. SC Capital (P) LP	E	Distribution	N	U	Distributed (part)	05/12/16	P1		Note # 1,5 & to Ln 460
82.					Distributed (part)	05/13/16	P1		See Note # 5 to Ln 461
83. Tailwind Capital Partners LP									See Note # 4
84. --Apex Companies LLC	E	Distribution	P1	U	Sold (part)	12/07/16	J		See Note # 1
85. --Transit Wireless LLC		None	M	U					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
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86. --Hamilton State Banc Shares Inc		None	P1	U					
87. --Oceus Networks, Inc		None	N	U					
88. --Optimal Solutions Intergration Inc	C	Distribution	L	U	Sold (part)	06/13/16	J		See Note # 1
89. -Versapharm, Inc	F	Distribution			Sold	06/13/16	L		See Note # 1
90. --Cumberland Consulting Group, LLC		None	N	U					
91. --RE Transportation, Inc	B	Distribution	K	U	Sold (part)	03/16/16	J		See Note # 1
92. --Northeast Communications of Wisconsin, Inc (dba "Nsight")		None	O	U	Sold (part)	06/13/16	L		
93. Tailwind Management LP	G	Distribution	P1	U	Sold (part)	12/30/16	N		See Note # 1
94. Tailwind Capital Partners (GP) LP									See Note # 4
95. --Apex Companies LLC	F	Distribution	P1	U	Sold (part)	06/23/16	J		See Note # 1
96. --Transit Wireless LLC		None	P1	U					
97. --Hamilton State Bancshares Inc		None	P1	U					
98. --Oceus Networks Inc.		None	O	U					
99. --Optimal	E	Distribution	M	U	Sold (part)	06/23/16	K		See Note # 1
100. --Nautilus Neurosciences Inc(Y)									
101. --Versapharm	G	Distribution			Sold	06/23/16	M		See Note # 1
102. --Cumberland Consulting Group LLC		None	P1	U					

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103. --RE Transportation Inc	C	Distribution	M	U	Sold (part)	03/18/16	J		See Note # 1
104. --Brawler Industrial Fabrics (Y)									
105. --Northeast Comm of Wisconsin Inc N/C NSight		None	P1	U					
106. --Towerco II (Y)									
107. American Home Food Products Inc (Com)		None			Sold	03/02/16	J		
108. Perseus Soros Partners		None	M	U	Sold (part)	12/22/16	J		
109. Syndicate Holdings Corp(Com)		None	N	U					
110. Safe Bulkers Inc(Com)	B	Dividend	L	T	Buy (add'l)	01/02/16	K		
111.					Buy (add'l)	04/24/16	K		
112.					Buy (add'l)	07/02/16	K		
113.					Buy (add'l)	10/02/16	K		
114. Artisanal Cheese LLC(Bridge Loan)		None			Sold	03/02/16	J		
115. Camulos BioEnergy Partners LLC	G	Distribution			Closed	12/31/16			See Note # 1 & 3
116. Asling Investors III LP	F	Distribution	O	U	Buy (add'l)	05/11/16	K		See Note # 1
117.					Buy (add'l)	08/15/16	J		
118.					Sold (part)	06/02/16	J		
119.					Sold (part)	06/24/16	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	07/07/16	J		
121.					Sold (part)	09/01/16	K		
122.					Sold (part)	11/04/16	L		
123.					Distributed (part)	06/06/16	J		See Note # 5-To Ln # 447
124.					Distributed (part)	06/10/16	J		See Note # 5 To Ln #449
125.					Distributed (part)	07/15/16	J		See Note # 5- To Ln #451
126. Eastern Growth Capital II LP	A	Distribution	M	U					See Note # 1
127. Eastern Growth Capital II LP(IRA)	A	Distribution	N	U					See Note # 1
128. Linx-Metaltech Co Investment LLC		None	K	U					
129. Olympus Capital Asia IV LP		None	P1	U	Buy (add'l)	04/14/16	L		
130.					Buy (add'l)	07/07/16	J		
131.					Buy (add'l)	09/01/16	K		
132.					Sold (part)	04/14/16	M		
133.					Sold (part)	07/07/16	L		
134.					Sold (part)	09/01/16	M		
135.					Sold (part)	10/28/16	N		
136. UBS RMA Tax Free (MM)	A	Interest			Closed	06/13/16	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	

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Safe Bulkers Inc (Com)(IRA)		None	K	T					
138. Towerbrook Investors III Executive Fund LP	G	Distribution	N	U	Sold (part)	06/09/16	L		See Note # 1
139.					Sold (part)	09/01/16	K		
140.					Sold (part)	11/21/16	K		
141. Invesco Equity Income FD A (401K)		None	J	T					
142. Morgan Stanley Bank(Saving)(Foundation # 1)	A	Interest			Closed	03/23/16	K		
143. First Republic Bank (Checking)	A	Interest	M	T					
144. The West Africa Fund LP		None	O	U					
145. NuCana Biomed Ltd (Ordinary Shares) (IRA)		None	P1	T					
146. Yumsing LLC		None	N	U					
147. Cordia Bancorp Ser B(Com)(IRA)		None			Sold	09/01/16	L		
148. Michael Walsdorf- (Indirect Investment- 71 Smith Street LLC)		None			Distributed	10/24/16	M		Note # 5 & 8-to Line 456
149. Beryllium LLC		None	J	U					
150. Kinderhook Capital Fund III LP	G	Distribution	P1	U	Buy (add'l)	02/08/16	K		See Note #1
151.					Buy (add'l)	05/23/16	K		
152.					Buy (add'l)	10/04/16	M		
153.					Buy (add'l)	11/08/16	K		

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	12/08/16	J		
155.					Sold (part)	10/04/16	O		
156. Nuclea Biotechnologies Inc-Convertible Note		None			Closed	12/31/16			See Note # 3
157. Cordia Bancorp Inc Ser B (Com)		None			Sold	09/01/16	N		
158. Rapid Ratings International Inc (Com)	C	Interest	P1	T	Buy (add'l)	02/24/16	N		
159.					Buy (add'l)	04/11/16	N		
160.					Sold (part)	04/20/16	O		
161. Parkstone Capital Partners LLC		None	J	U	Sold (part)	10/25/16	M		
162. Lone Peak Partners Fund LP	F	Distribution			Sold	12/30/16	P1		See Note # 1
163. UBS Bank USA Dep MM (IRA)	A	Interest	M	T					
164. NYS Dorm 5.625 % Due 6/1/16	D	Interest			Matured	06/01/16	M		
165. Tailwind Capital Group LLC		None	K	U					
166. Empowered World Ventures LLC(Preferred A)		None	M	T					
167. CSL Energy Opportunity Fd I LP		None	N	U	Buy (add'l)	01/26/16	K		
168.					Sold (part)	01/26/16	L		
169. CSL Europe Energy Services LP		None	K	U	Buy (add'l)	06/06/16	J		
170. Parkstone Capital Partners II LP	G	Distribution	N	U	Sold (part)	02/01/16	M		See Note # 1

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Sold (part)	07/06/16	M		
172.					Sold (part)	11/18/16	L		
173. Highland Investment Group LLC		None	L	U					
174. Artiman Venture Fund LP	D	Distribution	M	U	Sold (part)	03/16/16	J		See Note # 1
175. EOS Healthcare Partners LLC		None	P1	U	Buy (add'l)	09/15/16	N		
176. OD Funding Partners LLC		None	L	U					
177. Nextremity Solutions Inc		None			Sold	03/25/16	J		
178. Linx-Ad Co-Invest LLC	E	Distribution			Sold (part)	03/02/16	K		See Note # 1
179.					Sold (part)	04/29/16	J		
180.					Sold (part)	08/15/16	J		
181.					Sold	12/28/16	J		
182. Collision Funding Partners LLC		None	N	U					
183. adTheorent Inc Convertible Promissory Note)		None			Sold	12/28/16	M	G	
184. Figue Holdings LLC (Class B Common)		None	N	T					
185. Jonathan Kully (Indirect Investment 71 Smith Street LLC)		None			Distributed	10/24/16	M		Note # 5 & # 8 -to Ln 457
186. JustFamily.Com,Inc(.Preferred Stock)		None	N	T					
187. Kenesto Corp (Preferred C)		None	P1	T	Buy (add'l)	02/11/16	M		

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	S = Assessment W = Estimated	T = Cash Market

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Buy (add'l)	04/27/16	M		
189.					Buy (add'l)	07/05/16	M		
190.					Buy (add'l)	09/29/16	M		
191. MogilityCapital Fund LP		None	N	U					
192. OpenFin Inc.(Preferred Stock)		None	N	T					
193. Remedy Pharmaceuticals Inc		None	O	T					
194. Tyrogenex Inc.(Ser B Convertible Preferred)		None	K	T					
195. XCoverly Holdings LLC		None	J	U					
196. NYS Dorm 4 % Due 7/1/16	D	Interest			Matured	07/01/16	N		
197. NYS Mtg Auth 1.2 % Due 4/1/16	B	Interest			Matured	04/01/16	N		
198. NYS Dorm 4 % Due 7/1/17	E	Interest			Sold	08/04/16	N	D	
199. NYS Mtg 5 % Due 11/1/16	D	Interest			Sold	08/04/16	N	A	
200. Batavia NY 4% Due 3/1/17	E	Interest			Sold	08/04/16	O	C	
201. Rochester NY Unliited Tax 3.25% Due 2/1/16	C	Interest			Matured	02/01/16	M		
202. NYS Muni Bd 5 % Due 5/15/16	D	Interest			Matured	05/15/16	N		
203. Cardflight Inc (Preferred)		None	N	T					
204. Fenway HTM Partners LLC		None	N	U					

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. FunnelFire Inc (ConvPromissory Note)		None	L	T					
206. Gain Fitness Inc(Com)		None	M	T					
207. CMNet Inc (D/B/A iSeek Corp) Ser C (Preferred)		None	N	T					
208. Linx RE-Co-Invest LLC		None	L	U					
209. Linx III LP		None	P1	U	Buy (add'l)	03/31/16	M		
210.					Buy (add'l)	11/21/16	P1		
211.					Sold (part)	11/23/16	K		
212. Monaeo Inc(Conv. Promissory Note)		None	O	T	Buy (add'l)	01/19/16	M		
213.					Buy (add'l)	07/13/16	M		
214. Moolagram Inc (Ser A1 Preferred)		None	M	T					
215. One Up Games LLC(Note)		None	O	T					
216. Romulus Capital II US Feeder LP		None	N	U					
217. Storypanda Enterprises Inc(Conv Promissory Note)		None			Closed	12/31/16			See Note # 3
218. Tengrade Inc (Preferred) N/C Tengrade Inc (Preferred & Conv Note)		None	M	T					
219. Linx-Grammer Co LLC		None	N	U					
220. NYS Dorm 4% Due 5/15/17	C	Interest			Sold	08/04/16	M	A	
221. State of NY Dorm 5 % Due 7/1/16	A	Interest			Matured	07/01/16	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	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

222. Lake Placid NY 5 % Due 6/15/16	D	Interest			Matured	06/15/16	N		
223. West Seneca NY 4 % Due 11/15/17	D	Interest			Sold	08/03/16	O	C	
224. NY NY Ser C 5 % Due 8/1/17	E	Interest			Sold (part)	03/15/16	N	A	
225.					Sold	08/04/16	N	A	
226. Tarrytown NY 4 % Due 5/1/18	E	Interest			Sold	08/03/16	O	D	
227. Tailwind Capital Partners II LP									See Note # 9
228. --TowerCo 2013	G	Distribution	K	U	Sold (part)	05/27/16	O		See Note # 1
229. --Diamondback Drugs		None	O	U					
230. --Long's Drugs	G	Distribution	P1	U	Sold (part)	03/28/16	N		See Note # 1
231.					Buy (add'l)	08/28/16	O		
232. --Colony Hardware		None	P1	U					
233. --Lieberman Research Worldwide		None	P1	U	Buy (add'l)	09/15/16	K		
234. --National HME		None	O	U	Buy (add'l)	03/28/16	M		
235. --Premiere Store Fixtures	G	Distribution	P1	U	Sold (part)	09/15/16	K		See Note # 1
236. --TowerCo IV		None	N	U	Buy (add'l)	09/15/16	M		
237. --Cumming		None	P1	U	Buy	12/12/16	P1		
238. --Diversified (N/C Distinct Holdings Group,Inc-dba Diversified)		None	P1	U	Buy (add'l)	03/28/16	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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239. --MetroGistics		None	P1	U	Buy	12/12/16	P1		
240. --Stratix		None	P1	U	Buy	03/28/16	O		9
241. Uniserv LLC		None			Closed	12/31/16			See Note # 3
242. Trust # 4									See Note # 7
243. --Safebulkers Inc Ser B 8 % Preferred	E	Dividend	M	T					
244. --Principal Global Diversified Income Fd Cl A	E	Dividend	O	T	Buy	01/29/16	O		
245. --Thornburg Income Builders Cl 1	F	Dividend	P1	T	Buy	01/29/16	P1		
246. --Thornburg Global Opp Fd Cl 1	D	Dividend	P1	T					
247. --Thornburg Intl Value Fd 1	D	Dividend	O	T	Buy	01/29/16	O		
248. --Thornburg Limited Term Inc Cl 1	E	Dividend	P1	T	Buy	01/29/16	P1		
249. --UBS Bank USA Dep Account	A	Interest	M	T					
250. --JP Morgan Checking	A	Interest	J	T					
251. --Nextremity Solutions Inc (Conv Promissory Note)		None			Sold	03/25/16	J		
252. --EOS Healthcare Partners LLC		None	N	U					
253. --Exxon Mobil Corp(Com)	E	Dividend	O	T					7
254. --Microsoft Corp(Com)	D	Dividend	O	T					
255. --Columbia Select Large Cap Growth FD	G	Dividend	P1	T	Buy	01/29/16	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	

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

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

256. Trust # 3									
257. --Thornburg Income Builders Cl 1	E	Dividend	P1	T	Buy	02/05/16	P1		
258. --Thornburg Global Opportunities Fd	D	Dividend	P1	T	Buy	02/05/16	O		
259. --Thornburg Intl Value Fd	E	Dividend	O	T	Buy	03/05/16	O		
260. --UBS Bank USA -Deposit Account	A	Interest	N	T					
261. --UBS AG Deposit Account	A	Interest	N	T					
262. --SPC Intermex LP		None	N	U	Buy	10/27/16	N		
263. Tailwind Capital Partners II (GP)LP									See Note # 9
264. --Colony Hardware Corp		None	O	U					
265. --Cummings Group Inc		None	O	U	Buy	12/12/16	M		
266. --Diamondback Drugs of Delaware LLC		None	N	U					
267. --Distinct Holdings Group, Inc (dba Diversified)		None	O	U	Buy (add'l)	03/28/16	M		
268. --Long's Drugs Inc	G	Distribution	O	U	Sold (part)	03/28/16	L		See Note # 1
269. --Lieberman Research Worldwide LLC		None	O	U	Sold (part)	03/28/16	J		
270. --Metrologistics LLC		None	O	U	Buy	12/12/16	M		
271. --National HME, Inc		None	N	U	Buy (add'l)	03/28/16	K		
272. --Premier Store Fixtures, LLC	E	Distribution	O	U	Sold (part)	12/12/16	J		See Note # 1

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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273. --Stratix Corp		None	N	U	Buy	03/28/16	M		
274. --Towerco 2013 Holdings LLC		None	M	U					
275. --TowerCo IV Holdings LLC		None	M	U	Buy (add'l)	12/14/16	N		
276. The Yard (Promissory Note)	C	Interest	L	T					
277. RGI Partners B LP		None	J	U					
278. Radius Networks Inc (Com)		None	O	T					
279. Moolagram Inc (Preferred Ser A-2)		None	O	T					
280. Safebulkers Ser D 8 % Preferred	E	Dividend	M	T					
281. ChartIQ LLC		None	N	U	Buy (add'l)	02/29/16	M		
282. Transplant Genomics Inc (Convertible Note)	D	Interest	N	T					
283. Transplant Genomics Inc(Preferred A)		None	M	T					
284. Gravitas Technology Service LLC		None	P1	U					
285. Real Endpoints LLC		None	O	U					
286. Valuestream Development Lab Fund LLC		None	M	U					
287. Romulus Placester Special Opportunity Fd		None	L	U					
288. Grove Hospitality Asia GP LLC	E	Distribution	J	U	Sold (part)	12/16/16	J		See Note # 1
289. Grove Hospitality Europe GP LLC		None	J	U	Sold (part)	03/18/16	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	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Grove Aurelis II GP LLC	E	Distribution	K	U	Buy (add'l)	04/18/16	K		See Note # 1
291. GN WMC LLC		None	K	U	Sold (part)	06/13/16	J		
292. Romulus Cohealo Special Opportunity Fund LP		None	M	U					
293. Invesco International Growth A (401k)		None	M	T					
294. Safebulkers Inc (Ser C Preferred) (IRA)	D	Dividend	L	T					
295. NY NY 5 % Due 3/1/17	D	Interest			Sold	08/04/16	M	A	
296. City of NY 5 % Due 1/15/19	D	Interest			Sold	08/03/16	M	B	
297. NY S Urban Dev 5 % Due 3/15/18	E	Interest			Sold	08/03/16	O		
298. NYC NY TRans 5 % Due 11/1/19	D	Interest			Sold	08/04/16	M	A	
299. Met Trans Authority 5 % Due 11/15/18	D	Interest			Sold	08/03/16	N	C	
300. NYS Dorm 5 % Due 2/15/17	D	Interest			Sold	08/04/16	M	A	
301. NY NY Unlimited Tax 5 % Due 8/1/18	D	Interest			Sold	08/03/16	M	B	
302. NYS Thruway Auth 4 % Due 1/1/17	D	Interest			Sold	03/15/16	N		
303. NYS Thruway 5 % Due 5/1/19	E	Interest			Sold	08/02/16	O	D	
304. NYS Dormatory 5 % Due 7/1/18	D	Interest			Sold	08/03/16	N	B	
305. NYS Dormatory 5 % Due 3/15/19	E	Interest			Sold	03/15/16	N	B	
306. Nassau County NY 5 % Due 10/1/19	D	Interest			Sold	03/15/16	N	C	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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	(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. Rochester NY 4 % Due 2/15/19	E	Interest			Sold	08/03/16	O	D	
308. Personalized Cancer Therapy Inc (Com) d/b/a(PERTHA)		None	O	T					
309. /Romulus ELC B3 Special Opportunity LP		None	M	U					
310. Sommetrics, Inc (Preferred Ser B)		None	N	T					
311. RetSKU Inc (Senior Convertible Note)		None	N	T	Buy (add'l)	02/29/16	M		
312. Sensai Corp (Convertible Note)		None	M	T					
313. Cycle Pharmaceuticals LTD (Ser A Shares)		None	P1	T	Buy (add'l)	12/07/16	M		
314. Free ATM Inc (Ser A Preferred)		None	K	T					
315. Engage Simply Inc (Convertible Note)		None	K	T					
316. Build and Imagine LLC		None	L	U	Buy (add'l)	08/15/16	K		
317. Call Rail Investors LLC		None	M	U	Buy (add'l)	09/02/16	L		
318. SpireCube LLC	B	Distribution	L	U	Sold (part)	12/30/16	J		See Note # 1
319. Linx-Transpro Co-Invest LLC	D	Distribution	M	U	Sold (part)	01/12/16	J		See Note # 1
320.					Sold (part)	04/15/16	J		
321.					Sold (part)	07/13/16	J		
322. Linx-Gullett Co-Invest LLC	B	Distribution	M	U	Sold (part)	02/12/16	J		See Note # 1
323.					Sold (part)	06/30/16	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 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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	(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)	09/15/16	J		
325.					Sold (part)	11/14/16	J		
326.					Sold (part)	12/15/16	J		
327. 50 Mast LLC		None	M	U					
328. AG Team Partners LLC	B	Distribution	N	U	Buy (add'l)	10/27/16	K		See Note # 1
329. AG Team Partners III LP		None	M	U					
330. ClickDimension LLC		None			Sold	05/09/16	O	G	
331. CSL Energy Opp Fund II LP		None	O	U	Buy (add'l)	01/25/16	M		
332.					Buy (add'l)	04/25/16	N		
333.					Buy (add'l)	06/24/16	N		
334. Estimote Inc (Ser B Preferred)		None	M	T					
335. Exitround Inc. (Conv Note)		None			Closed	12/31/16			See Note # 3
336. Grotech Ventures III LP		None	M	U	Buy (add'l)	06/21/16	J		
337.					Buy (add'l)	07/18/16	K		
338.					Buy (add'l)	09/01/16	K		
339.					Buy (add'l)	11/08/16	J		
340. Karma Culture LLC		None	M	U					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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341. Kinderhook Capital Fund IV		None	P1	U	Buy (add'l)	01/13/16	O		
342.					Buy (add'l)	04/07/16	M		
343.					Buy (add'l)	07/28/16	K		
344.					Buy (add'l)	10/24/16	N		
345. Linx-CPT Co Invest LLC	C	Interest	M	U	Buy (add'l)	03/28/16	J		
346.					Sold (part)	01/29/16	J		
347.					Sold (part)	04/22/16	J		
348.					Sold (part)	07/30/16	J		
349.					Sold (part)	10/31/16	J		
350. Logic9S LLC (Conv Promissory Note)		None	M	T					
351. Oxy Docs, Inc (Conv Promissory Note)		None	N	T	Buy (add'l)	07/13/16	M		
352. Olympus Capital Asia Fd V LP		None	O	U	Buy (add'l)	09/07/16	M		
353. Padloc Inc. (Ser A Preferred)		None	M	T					
354. Romulus Capital III (US) Feeder LP		None	O	U	Buy (add'l)	07/07/16	N		
355. Perry Lane LLC		None	N	U	Buy (add'l)	01/19/16	M		
356.					Buy (add'l)	08/01/16	M		
357.					Buy (add'l)	12/08/16	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
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358. Slingshot Insights Inc (Conv. Promissory Note)		None	L	T					
359. Syndicated Loan Direct Inc (Conv. Promissory Note)		None	L	T					
360. TBCP Jacksonville LLC		None	L	U					
361. TernPro Inc (Conv Promissory Note & Preferred Stock)		None	L	T	Buy (add'l)	06/20/16	K		
362. Terafina Inc (Conv Promissory Note)		None	N	T	Buy (add'l)	05/25/16	M		
363. NY St Dorm 4 % Due 5/1/19	C	Interest			Sold	08/03/16	M	C	
364. NY City NY Muni Wtr 4 % Due 6/15/18	D	Interest			Sold (part)	03/15/16	N	A	
365.					Sold	08/03/16	N	A	
366. Hempstead Town NY 5 % Due 7/1/19	E	Interest			Sold	08/02/16	O	D	
367. NY St Thwy Auth 5 % Due 4/1/20	E	Interest			Sold	08/02/16	O	D	
368. NY St Dorm 5 % Due 7/1/20	D	Interest			Sold	08/02/16	N	D	
369. Kingston NY City Sch 4 % Due 6/15/17	D	Interest			Sold	08/04/16	N	A	
370. NY St Env FACS 5 % Due 9/15/19	E	Interest			Sold	08/02/16	O	D	
371. Ithaca NY City 3 % Due 7/1/18	D	Interest			Sold	08/03/16	N	B	
372. Ithaca NY City 3 % Due 7/1/20	D	Interest			Sold	08/02/16	N	D	
373. MTA NY 5 1/4 % Due 11/15/17	C	Interest			Sold	08/04/16	M	A	
374. MTA NY 4 % Due 11/15/17	C	Interest			Sold	08/03/16	M	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. MTA 5 % Due 11/15/19	C	Interest			Sold	08/02/16	M	B	
376. NYS Urban Dec 5 % Due 3/15/17	C	Interest			Sold	03/15/16	M	A	
377. NYS Dorm Auth 5 % Due 3/15/24 - Prerefunded 9/1/16	D	Interest			Sold	09/15/16	M		
378. Long Island Power 5 % Due 12/1/17	B	Interest			Sold	03/15/16	M		
379. Long Island Power 5 % Due 9/1/20	E	Interest			Sold	08/02/16	O	D	
380. Home Team Marketing LLC (Senior Promissory Notes)	E	Interest	O	T	Buy (add'l)	03/14/16	L		
381. Qualys Inc		None			Spinoff (from line 24)	05/11/16	J		See Note # 6
382.					Donated				
383. Cembra Inc		None			Spinoff (from line 56)	03/17/16	K		See Note # 6
384.					Donated				
385. Highland Resort At the Peaks LLC		None	M	U					
386. Edward Jones Retirement MM(IRA)		None	J	T					
387. Fidelity (Cash)	A	Interest	K	T					
388. Figue Holdings LLC		None	M	U					
389. Gain Fitness Inc(Conv Note)		None	J	T	Buy	05/09/16	J		
390. Arlington,NY Cent Sch 4 % due 5-15-20	C	Interest			Buy	04/13/16	N		
391.					Sold	08/02/16	N	B	

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

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Name of Person Reporting

McMahon, Colleen

Date of Report

04/07/2018

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
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392. Dutchess County NY Loc 4 % due 7-1-20	D	Interest			Buy	03/01/16	N		
393.					Sold	08/02/16	N	B	
394. Erie County NY 5 % due 5-1-21	D	Interest			Buy	06/15/16	O		
395.					Sold	08/02/16	O	C	
396. NYC Health & Hospital Corp 5 % Due 2-15-20	E	Interest			Buy	01/07/16	O		
397.					Sold	08/02/16	O	D	
398. NYC NY Tr 5.25 % due 12-1-18	B	Interest			Buy	06/22/16	N		
399.					Sold	08/03/16	N	A	
400. NYS Dorm Auth 5 % due 7-1-20	D	Interest			Buy	02/24/16	N		
401.					Sold	08/02/16	N	B	
402. NYC NY Health Hosp 5 % due 2-15-20	E	Interest			Buy	01/07/16	O		
403.					Sold	08/02/16	O	D	
404. NYC NY Tr 5.25 % due 12/1/18	A	Interest			Buy	06/22/16	N		
405.					Sold	08/03/16	N	A	
406. Aisling Capital IV LP		None	O	U	Buy	03/11/16	L		
407.					Buy (add'l)	05/23/16	K		
408.					Buy (add'l)	06/08/16	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		

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Name of Person Reporting

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409.					Buy (add'l)	06/27/16	L		
410.					Buy (add'l)	07/18/16	M		
411.					Buy (add'l)	08/08/16	N		
412.					Buy (add'l)	10/20/16	L		
413.					Buy (add'l)	12/29/16	K		
414. Canal Logix LLC		None	L	U	Buy	02/24/16	L		
415. Collision Funding Partners LLC (Note)		None	K	T	Buy	12/30/16	K		
416. Linx-Elite Co Invest LLC		None	M	U	Buy	11/28/16	M		
417. Linx-Nebr Co Invest LLC		None	M	U	Buy	11/28/16	M		
418. Peterson Partners VIII LP		None	J	U	Buy	07/29/16	J		
419. Romulus Estify Sp Opportunity LP		None	M	U	Buy	12/20/16	M		
420. Romulus Growth Cogito LP		None	M	U	Buy	12/20/16	M		
421. Strategic Alternative Fund Group LLC		None	L	U	Buy	06/20/16	L		
422. Parkstone Capital Partners IV Holdings LP	C	Distribution	M	U	Buy	08/17/16	M		See Note # 1
423.					Sold (part)	12/30/16	J		
424. Linx Q Liquidating Tr	D	Distribution	J	U	Buy	01/04/16	J		See Note # 1
425.					Sold (part)	05/13/16	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		

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
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426.					Sold (part)	06/06/16	K		
427. Fulling Mills LLC		None	K	U	Buy	01/04/16	K		
428.					Buy (add'l)	06/15/16	M		
429.					Sold (part)	06/15/16	J		
430. Ram Realty IV LP		None	N	U	Buy	12/20/16	N		
431. Alpine-Greenwood LP		None	K	U	Buy	12/07/16	K		
432. BigID Inc(Conv Note)		None	M	T	Buy	12/08/16	M		
433. Lending Front Inc (Conv Note)		None	M	T	Buy	03/23/16	M		
434. Menguin Inc (Conv Note)		None	M	T	Buy	12/12/16	M		
435. Mine One GMBH (Ser A sh) (IRA)		None	M	T	Buy	11/07/16	M		
436. Relationship Capital Partners Inc (Conv Notes)		None	M	T	Buy	08/22/16	M		
437. PHRP LLC									See Note # 11
438. --Shareablee Inc (Ser A Pref)		None	P1	T	Buy	08/31/16	P1		
439. SFM Participation LLC (x)	G	Distribution			Sold	10/07/16	M	G	See Note # 1,10
440. Skyfront Corp (Note Rec)		None	K	T	Buy	02/01/16	K		
441. SPC Internex LP		None	N	U	Buy	10/27/16	N		
442. Yingo Yango Inc (Ser A Pref)		None	M	T	Buy	09/14/16	M		

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

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	(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. American Fund Cap Inc (401K)		None	J	T	Buy	04/01/16	K		
444. RMA Gov't MM Fd	A	Interest			Open	06/15/16	N		
445.					Closed	08/15/16	N		
446. UBS Bank USA Deposit Ac	A	Interest	K	T	Open	06/06/16	J		
447. Dermira Inc (Com)		None			Spinoff (from line 123)	06/06/16	J		See Note # 6
448.					Donated				
449. Agile Therapeutics Inc (Com)		None			Spinoff (from line 124)	06/10/16	J		See Note # 6
450.					Donated				
451. Syros Inc(Com)		None			Spinoff (from line 125)	07/15/16	J		See Note # 6
452.					Donated				
453. Automotive Mastermind Inc (Com)		None	O	T	Buy	02/09/16	O		
454. UBS AG Deposit Act (IRA)		None	N	T	Open	12/01/16	N		
455. 312 Atlantic Ave LLC		None	M	U	Buy	10/24/16	M		
456. Flank 71 Smith LLC		None	N	U	Spinoff (from line 148)	10/27/16	M		See Note # 8
457.					Spinoff (from line 185)	10/27/16	M		See Note # 8
458. Thompson Trucking Inc(X)	B	Distribution			Sold	04/29/16	J	B	See Note # 10
459. Tidewater Acquisition Inc (X)	A	Distribution			Sold	12/20/16	J	A	See Note # 10

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.)
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

460. Penumbra Inc (Com)		None			Spinoff (from line 81)	05/12/16	P1		See Note # 6
461.					Spinoff (from line 82)	05/13/16	P1		See Note # 6
462.					Sold (part)	05/31/16	P2	H1	
463.					Sold	06/08/16	P2	H1	
464.					Distributed (part)	05/13/16	O		See Note # 5 To line 466
465.					Donated				
466. Penumbra Inc (Foundation)		None			Spinoff (from line 464)	05/13/16	O		See Note # 6
467.					Sold	06/08/16	O		
468. UBS Bank USA BUS ACCT(Foundation # 1)	A	Interest	J	T	Open	03/23/16	K		
469. UBS AG Deposit Account (Foundation #1)	A	Interest	J	T	Open	05/23/16	O		
470. Oppenheimer Lmt Term Bond Fd(Foundation # 1)	B	Dividend	M	T	Buy	06/21/16	N		
471. Pimco Low Duration Fund Cl A(Foundation # 1)	B	Dividend	M	T	Buy	06/21/16	N		
472. Virtus Low Duration Income Fd A(Foundation # 1)	B	Dividend	M	T	Buy	06/21/16	N		
473. Cyriline Morgan (Personal Note)		None	M	T	Buy	12/30/16	M		
474. Boulder DiagnosticInc (Com)		None			Buy	01/04/16	N		
475.					Closed	12/31/16			See Note # 3
476. Loch Lomond Golf Club(Ser C)	D	Dividend	M	T	Buy	01/04/16	M		

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

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.					Sold (part)	05/06/16	K		
478.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Note #1

Explanation Re:Section VII ,

Item #'

23,29,44,46,64,79,81,84,88,89,91,93,95,99,101,103,115,116,126,127,138,150,162,170,174,178,228,230,235,268,272,288,290,318,319,322,328,422,424,439

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

Note # 2

Explanation Section VII

Item # 38

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

Note # 3

Explanation Section VII

Item # 115,156,217,241,335,475

These investments are worthless as of December 31, 2016. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2016. The value in Column D(3) is blank since no value is attributable to worthless investments.

Note # 4

Explanation Section VII

Item # 83-92,94-106

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

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

In addition, the purchase and sale information is also listed by underlying asset. The Limited Partnership and General Partnership have ownership interests in the same companies. The underlying assets were listed under Tailwind Capital Partners(GP) LP in prior reports..

Note # 5

Explanation Section VII

Item # 24,56,81,82,123,124,125,148,185,464

The Limited Partnership distributed shares of securities that were purchased and held by the partnership. This information is noted as "Distributed " in Column D(1). The date the shares were distributed is listed in Column D(2). The value in Column D(3) is the distributee's pro rata share of the aquisition cost of the assets by the Limited Partnership, as reported by the General Partner. The transfer relates only to the specific security The entire partnership was not transferred.

Note # 6

Explanation Section VII

Item # 381,383,447,449,451,456,457,460,461,466

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

Note # 7

Explanation Section VII

Item # 242-262

The Judge's [REDACTED] created two trusts- Trust # 3 and Trust # 4. He is the Grantor and Trustee of these trusts. The income reported by the trusts are taxed to the Grantor. The beneficiaries of the trusts are the Judge's [REDACTED].

Note # 8

Explanation Section VII

Item # 148,185,456,457

The loans reported on the prior reports were indirect investmtns by the Judge's [REDACTED] in 71 Smith Street LLC. On October 24, 2016 these loans were converted to Flank 71 Smith Street LLC. The value of the new partnership is listed on line 456.

See Note # 9

Explanation Section VII

Item # 227-241,263-2750

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

The Judge's [REDACTED] is a Managing Partner of Tailwind Capital Partners II LP and Tailwind Capital Partners II (GP) LP. The partnerships have ownership interests in the companies listed. Due to revised reporting requirements the income and gross value at the end of the reporting period is separately listed. In addition, the purchase and sale information is also listed by underlying asset. The Limited Partnership and General Partnership have ownership interests in the same companies. The underlying assets were listed under Tailwind Capital Partners II LP in prior reports.

Note # 10

Explanation Section VII

Item # 439,458,459

Escrow income subject to various contingencies was received in 2016. The applicable securities were sold in prior years. The cost of the securities was zero.

Note # 11

Explanation Section VIII

Item # 437,438

The Judge's [REDACTED] created a single member LLC to hold various investments. The current investment is listed below the LLC on line # 438.

IX. CERTIFICATION.

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

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

Signature: s/ Colleen McMahon

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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