

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) McMahon, Colleen	2. Court or Organization US District Court-Southern Dis	3. Date of Report 08/14/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 500 Pearl Street New York, NY 10007 Chambers 640 Moynihan Courthou		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust # 1
2. Trustee	Foundation #1
3. Advisory Council	Ohio State University
4. Advisory Director	Festival Daniou
5. Board of Visitors	University of California Law School at Irvine

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

☒ NONE (No reportable agreements.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	CSG Systems Inc-Director Fee
2. 2019	Kohl's Department Stores Inc-Director Fee
3. 2019	Tailwind Capital Group-Partner- Guaranteed Payment
4. 2019	Safe Bulkers Inc -Director Fee
5. 2019	Jet Blue Airways Corp-Director Fee
6. 2019	Linx Partners LLC_Director Fee
7. 2019	Morgan Stanley-Pension Income
8. 2019	Tailwind Management LP-Partner-Guaranteed Payment

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Cornell Law School	April 12-13,2019	Ithaca, NY	2019 Langfan Moot Court Competition	Transportation,Hotel ,Meals

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2.	Federal Bar Council	February 16-February 23,2019	Maui, HI	Winter Bench & Bar Conference- Judicial Moderator	Transportation, Hotel, Meals
3.					
4.					
5.					

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

☒ NONE (No reportable gifts.)

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.		

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Thornburg Ltd. Term Muni. Fd Nat'l	A	Dividend	K	T					
2. Thornberg Value Fund Class A Mut Fd. (IRA)	C	Dividend	P1	T					
3. MSCP III L.P.		None	J	U					
4. ██████████ (1998 300,0000)		None	N	R					
5. ██████████ (1998 300,000)		None	N	R					
6. Phoenix Life Ins (Trust # 1) (Whole Life Policy)	C	Dividend	M	T					
7. Northwestern Mututal Life (Trust#1) (Whole Life Policy)	E	Dividend	O	T					
8. Northwestern Mututal Life(Trust #1) (Whole Life Policy)	E	Dividend	N	T					
9. CSG Systems International Inc.Com	D	Dividend	P1	T	Buy (add'l)	09/12/19	M		
10.					Donated (part)				
11. Summit Mariner, LLC		None	P1	U					
12. Summit Mariner LLC/JP Morgan Checking		None	K	T					
13. Rental # 1 /JPMorgan Checking N/C JP Morgan Checking		None	K	T					See Note # 12
14. Rental # 2 ██████████ (1999 \$ 900,000)	F	Rent	P1	R					
15. Rental # 2/JP Morgan -Checking	A	Interest	K	T					
16. JP Morgan(Checking)-		None	M	T					
17. Vacant Land ██████████ (1999 \$ 425,000)		None	N	R					

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

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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)
18. Trident Capital Fund V LP		None			Sold	12/31/19	J		
19. [REDACTED] Golf Partners LLC		None	K	U					
20. JP Morgan (Checking)	A	Interest	P1	T					
21. JK & B Capital IV QIP LP		None			Sold	12/31/19	J		
22. JP Morgan Checking(Foundation #1)	A	Interest	J	T					
23. Kinderhook Capital I LP		None	L	U	Sold (part)	04/05/19	K		
24.					Sold (part)	07/12/19	K		
25. JP Morgan Tax Free MM Premier Sweep	C	Interest	P1	T					
26. Menemsha Capital Partners Ltd		None	K	U					See Note # 2
27. CGI Partners,LP		None			Sold	01/02/19	J		
28. Micell Technologies Inc.(Com)		None	K	T					
29. Linx Partners II LP		None	N	U					
30. SFM Participation II LP		None	M	U	Sold (part)	09/25/19	L		
31. Thornburg Core Growth Cl A (IRA)	E	Dividend	O	T					
32. Jetblue (Com)		None	O	T					
33. Aisling Capital II LP		None	M	U					
34. J K & B Capital V LP	G	Distribution	P1	U	Buy (add'l)	03/15/19	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35.					Buy (add'l)	09/19/19	L		
36.					Sold (part)	03/19/19	N		
37. SEEF II LP	D	Distribution	P1	U					See Note # 1
38. Towerbrook Investors II Executive Fund LP	G	Distribution	M	U	Sold (part)	06/18/19	M		See Note # 1
39.					Sold (part)	07/10/19	M		
40.					Buy (add'l)	06/18/19	L		
41. Trident VI LP		None	N	U					
42. Kinderhook Capital Fund II LP		None	O	U	Sold (part)	01/15/19	M		
43.					Sold (part)	12/19/19	J		
44. Kohls Corp (Com).	F	Dividend	P1	T	Buy (add'l)	05/20/19	N		
45.					Donated (part)	03/20/19	M		See Note # 5 To line 435
46. KPB Partners LP		None	P1	U					
47. Thornburg-Income Builder Cl 1	C	Dividend	L	T					
48. Thornburg Global Opportunity Cl 1	B	Dividend	L	T					
49. Thornburg CRE GWT (IRA)	F	Dividend	O	T					
50. Ironwood Management Partners Fund II LP		None	O	U					
51. RGI Partners II B LP	G	Distribution	P1	U	Sold (part)	01/31/19	N		See Note # 1

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52.					Sold (part)	05/13/19	K		
53. RGI Partners Ltd	G	Distribution	P1	U	Sold (part)	02/07/19	O		See Note # 1
54. Tailwind Capital Partners LP									See Note # 4
55. --Apex Companies LLC		None	J	U	Sold (part)	04/30/19	K		
56. --Oceus Networks,Inc		None	K	U					
57. --Optimal Solutions Intergration Inc		None	K	U					
58. --Cumberland Consulting Group,LLC		None	L	U	Sold (part)	04/30/19	K		
59. Tailwind Management LP	G	Distribution	P1	U	Sold (part)	12/30/19	M		See Note # 1
60. Tailwind Capital Partners (GP) LP									See Note # 4
61. --Apex Companies LLC		None	O	U	Sold (part)	04/30/19	L		
62. --Oceus Networks Inc.		None	M	U					
63. --Optimal		None	M	U					
64. --Cumberland Consulting Group LLC		None	P1	U	Sold (part)	04/30/19	L		
65. Syndicate Holdings Corp(Com)		None			Closed	12/31/19			See Note # 11
66. Safe Bulklers Inc(Com)		None	N	T	Buy (add'l)	01/10/19	K		
67.					Buy (add'l)	04/16/19	K		
68.					Buy (add'l)	07/12/19	K		

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69.					Buy (add'l)	10/18/19	K		
70. Asling Investors III LP	G	Distribution	M	U	Sold (part)	02/04/19	M		See Note # 1
71.					Sold (part)	03/08/19	O		
72.					Sold (part)	06/13/19	K		
73.					Sold (part)	10/30/19	K		
74.					Sold (part)	12/19/19	K		
75. Eastern Growth Capital II LP		None	L	U	Sold (part)	12/31/19	J		
76. Eastern Growth Capital II LP(IRA)		None	M	U	Sold (part)	12/31/19	J		
77. Linx-Metaltech Co Investment LLC		None	K	U					
78. Olympus Capital Asia IV LP		None	O	U					
79. Safe Bulkers Inc (Com)(IRA)		None	K	T					
80. Towerbrook Investors III Executive Fund LP		None	M	U					
81. Invesco Equity Income FD A (401K)		None			Sold	09/27/19	J		
82. First Republic Bank (Checking)	A	Interest	M	T					
83. Kinderhook Capital Fund III LP	G	Distribution	O	U	Buy (add'l)	02/25/19	K		See Note # 1
84.					Buy (add'l)	07/09/19	K		
85.					Sold (part)	10/15/19	O		

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86. Rapid Ratings International Inc (Com)		None	P2	T					
87. Parkstone Capital Partners LLC		None	J	U					
88. UBS Bank USA Dep MM (IRA)	B	Interest	M	T					
89. Tailwind Capital Group LLC		None	K	U					
90. Empowered World Ventures LLC(Preferred A)		None			Closed	12/31/19			See Note # 11
91. CSL Energy Opportunity Fd I LP		None	L	U	Sold (part)	06/26/19	J		
92. Parkstone Capital Partners II LP	D	Distribution	M	U	Sold (part)	01/04/19	J		See Note # 1
93. Highland Investment Group LLC	E	Distribution	K	U	Sold (part)	09/09/19	J		See Note # 1
94. Artiman Venture Fund LP		None	M	U					
95. Docero LLC N/C EHP Ventures LLC	E	Distribution	O	U					See Note # 1
96. Collision Funding Partners LLC		None	N	U					
97. Figue Holdings LLC (Class B Common)		None	J	T					
98. JustFamily.Com,Inc(.Preferred Stock)		None	N	T					
99. Kenesto Corp (Preferred C)		None	P1	T	Buy (add'l)	01/14/19	K		
100.					Buy (add'l)	01/22/19	K		
101.					Buy (add'l)	02/12/19	K		
102.					Buy (add'l)	02/28/19	K		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103.					Buy (add'l)	05/08/19	K		
104.					Buy (add'l)	06/11/19	K		
105.					Buy (add'l)	07/09/19	K		
106.					Buy (add'l)	08/05/19	K		
107.					Buy (add'l)	09/06/19	L		
108.					Buy (add'l)	10/11/19	L		
109.					Buy (add'l)	11/18/19	L		
110.					Buy (add'l)	12/19/19	L		
111. MogilityCapital Fund LP		None	M	U	Sold (part)	10/08/19	J		
112. OpenFin Inc.(Preferred Stock)		None	N	T					
113. Remedy Pharmaceuticals Inc	G	Dividend	P1	T	Sold (part)	02/08/19	M		
114. Cardflight Inc (Preferred)	E	Interest	O	T	Sold (part)	01/25/19	K		
115. Fenway HTM Partners LLC		None			Closed	12/31/19			See Note # 11
116. Gain Fitness Inc(Com)		None	M	T					
117. CMNet Inc (D/B/A iSeek Corp) Ser C (Preferred)		None	N	T					
118. Linx RE-Co-Invest LLC	C	Interest	M	U					
119. Linx III LP	F	Distribution	P1	U	Sold (part)	08/27/19	K		See Note # 1

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date 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)	05/23/19	M		
121.					Buy (add'l)	10/25/19	M		
122.					Sold (part)	07/22/19	J		
123. Monaeo Inc(Conv. Promissory Note)		None	O	T					
124. Romulus Capital II US Feeder LP		None	N	U					
125. Linx-Grammer Co LLC	D	Distribution	J	U	Sold (part)	11/15/19	J		See Note # 1
126. Tailwind Capital Partners II LP									See Note # 8
127. --Diamondback Drugs of Delaware LLC	D	Distribution	K	U	Sold (part)	08/05/19	J		See Note # 1
128. --Long's Drugs Inc	G	Distribution	O	U	Sold (part)	11/11/19	P1		See Note # 1
129. --Colony Hardware Corp	D	Distribution	O	U	Sold (part)	04/23/19	K		See Note # 1
130. --Lieberman Research Worldwide LLC	G	Distribution	P1	U	Sold (part)	02/12/19	L		See Note # 1
131.					Sold (part)	11/11/19	K		
132.					Sold (part)	04/23/19	J		
133. --Premier Store Fixtures		None			Closed	12/31/19			See Note # 11
134. --TowerCo IV Holdings LLC	A	Distribution	J	U	Sold (part)	02/12/19	O		See Note # 1
135.					Sold (part)	04/23/19	J		
136. --Cumming Group LLC	F	Distribution	P1	U	Buy (add'l)	06/03/19	M		See Note # 1

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.					Sold (part)	06/03/19	M		
138. --Distinct Holdings Group,Inc (-dba Diversified)		None	P1	U					
139. --MetroGistics N/C Acertus	E	Distribution	P1	U	Sold (part)	11/11/19	N		See Note # 1
140. --Stratix Corp		None	P1	U					
141. --AST Corporation		None	O	U					
142. --DermaRite Industires LLC		None	N	U	Buy (add'l)	06/03/19	K		
143. --Edenbridge Pharmceuticals LLC		None	P1	U					
144. --HMT Holdings Inc	G	Distribution	P1	U	Sold (part)	12/31/19	O		See Note # 1
145. --TW Lone Peak Master LLC	E	Distribution	O	U					See Note # 1
146. Towerco 2013 Holdings LLC (X)	E	Distribution			Sold	12/31/19	K		See Note # 1& Note # 3
147. Trust # 4									See Note # 7
148. --Principal Global Diversified Income Fd Cl A	E	Dividend	P1	T	Sold (part)	09/10/19	O	E	
149. --Thornburg Income Builders Cl 1	G	Dividend	P1	T					
150. --Thornburg Global Opp Fd Cl 1	E	Dividend	P1	T					
151. --Thornburg Intl Value Fd 1	E	Dividend	O	T					
152. --Thornburg Limited Term Inc Cl 1	E	Dividend	P1	T					
153. --UBS Bank USA Dep Account	D	Interest	O	T					

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. --JP Morgan Checking	D	Interest	P1	T					
155. --Docero LLC N/C EHP Ventures LLC	C	Distribution	M	U					See Note # 1
156. --Microsoft Corp(Com)	E	Dividend	P1	T					
157. --Columbia Select Large Cap Growth FD		None			Sold	01/02/19	P1		
158. --Safebulkers Inc		None	K	T					
159. --Martin Pharmaceuticals,Inc(Convertible Note)		None	M	T					
160. --Kinderhook Capital Fund VI LP		None	J	U	Buy	12/31/19	J		
161. --Alliance Bernstein Holdings LP MLP	D	Distribution	O	U	Buy	09/10/19	N		See Note # 1
162. --Ares Capital Corp	E	Dividend	O	T	Buy	09/10/19	O		
163. ---Tailwind Capital Partners III LP									See Note # 10
164. --Smith Cooper International Inc N/C Anvil/Smith Cooper		None	N	U	Buy (add'l)	10/10/19	K		
165.					Buy (add'l)	10/16/19	M		
166. --Benevis Holding Corp		None	L	U	Buy (add'l)	08/16/19	K		
167. --Abode Healthcare, Inc	G	Distribution	J	U	Sold (part)	09/05/19	N		See Note # 1
168.					Buy (add'l)	03/12/19	M		
169. --Convergence Technologies,Inc		None	L	U	Buy (add'l)	06/10/19	M		
170.					Buy (add'l)	08/16/19	K		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. --Loenbro LLC		None	M	U	Buy (add'l)	08/16/19	M		
172. --Banner Solutions		None	M	U	Buy	12/31/19	M		
173. --Randys Worldwide Automotive Inc		None	M	U	Buy	10/10/19	M		
174. --Ventiv Technology		None	N	U	Buy	12/31/19	N		
175. --Invatron Systems		None	M	U	Buy	12/31/19	M		
176. Trust # 3									See Note # 7
177. --Thornburg Income Builders Cl 1	F	Dividend	P1	T					
178. --Thornburg Global Opportunities Fd	E	Dividend	P1	T					
179. --Thornburg Intl Value Fd	F	Dividend	P1	T					
180. --UBS Bank USA -Depost Account	C	Interest	M	T					
181. --SPC Intermex LP	G	Distribution	O	U	Sold (part)	09/18/19	N		See Note # 1
182. --Tailwind Capital Partners III LP									See Note # 10
183. --Smith Cooper International Inc N/C Anvil/ Smith Cooper International		None	M	U	Buy (add'l)	10/10/19	K		
184.					Buy (add'l)	12/16/19	L		
185. --Benevis Holding Corp		None	K	U	Buy (add'l)	08/16/19	J		
186. --Abode Healthcare, Inc	F	Distribution	J	U	Buy (add'l)	03/12/19	L		See Note # 1
187.					Sold (part)	09/05/19	M		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. --Convergence Technologies,Inc		None	K	U	Buy (add'l)	06/10/19	L		
189.					Buy (add'l)	08/16/19	L		
190. --Loenbro LLC		None	K	U	Buy (add'l)	08/16/19	L		
191. --Banner Solutions		None	L	U	Buy	12/31/19	L		
192. --Randys Worldwide Automotive Inc		None	L	U	Buy	10/10/19	M		
193. --Ventiv Technology		None	M	U	Buy	12/31/19	M		
194. --Invatron Systems		None	K	U	Buy	12/31/19	K		
195. Tailwind Capital Partners II (GP)LP									See Note # 8
196. --Colony Hardware Corp	D	Distribution	N	U	Sold (part)	04/23/19	J		See Note # 1
197. --Cummings Group Inc	E	Distribution	P1	U	Buy (add'l)	06/03/19	K		See Note # 1
198.					Sold (part)	06/03/19	L		
199. --Diamondback Drugs of Delaware LLC	C	Distribution	N	U	Sold (part)	08/05/19	J		See Note # 1
200. --Distinct Holdings Group,Inc(dba Diversified)		None	P1	U					
201. --Long's Drugs Inc	G	Distribution	O	U	Sold (part)	11/11/19	N		See Note # 1
202. --Lieberman Research Worldwide LLC	E	Distribution	P1	U	Sold (part)	02/12/19	K		See Note # 1
203.					Sold (part)	11/11/19	K		
204. --MetrogisticsLLC N/C Acertus	E	Distribution	P1	U	Sold (part)	11/11/19	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 \$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)
205. --Premier Store Fixtures,LLC		None			Closed	12/31/19			See Note # 11
206. --Stratix Corp		None	O	U					
207. --Towerco 2013 Holdings LLC (X)	D	Distribution			Sold	12/17/19	J		See Note # 1 & Note # 3
208. --TowerCo IV Holdings LLC	G	Distribution	K	U	Sold (part)	04/23/19	J		See Note # 1
209.					Sold (part)	02/12/19	M		
210.					Sold (part)	12/31/19	J		
211. --AST Corporation		None	N	U					
212. --DermaRite Industries LLC		None	N	U					
213. --Edenbridge Pharmaceuticals LLC		None	O	U					
214. --HMT Holdings Inc		None	P1	U	Sold (part)	12/31/19	M		
215. --TW Lone Peak Master LLC	C	Distribution	N	U					See Note # 1
216. The Yard (Promissory Note)	C	Interest	L	T					
217. RGI Partners B LP	E	Distribution	N	U	Sold (part)	04/11/19	K		See Note # 1
218. Radius Networks Inc (Com)		None	O	T					
219. Safebulkers Ser D 8 % Preferred	E	Dividend	M	T					
220. ChartIQ LLC		None	N	U					
221. Transplant Genomics Inc (Convertible Note)		None	N	T	Sold (part)	05/31/19	M	F	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Transplant Genomics Inc(Preferred A)		None	M	T	Sold (part)	05/31/19	M	F	
223. Real Endpoints LLC		None	O	U					
224. Valuestream Development Lab Fund LLC		None	M	U					
225. Romulus Placester Special Opportunity Fd		None	L	U					
226. Grove Hospitality Asia GP LLC		None	J	U					
227. Grove Hospitality Europe GP LLC	A	Distribution	J	U	Sold (part)	08/02/19	J		See Note # 1
228. Grove Aurelis II GP LLC	F	Distribution	N	U	Sold (part)	02/01/19	J		See Note # 1
229.					Sold (part)	04/11/19	K		
230.					Sold (part)	05/23/19	J		
231. GN WMC LLC		None	K	U	Sold (part)	08/13/19	J		
232. Romulus Cohealo Special Opportunity Fund LP		None	M	U					
233. Invesco International Growth A (401k)		None			Sold	09/18/19	M		See Note # 6
234. Safebulkers Inc (Ser C Preferred) (IRA)	D	Dividend	M	T					
235. Personalized Cancer Therapy Inc (Com) d/b/a(PERTHA)		None	O	T					
236. Romulus ELC B3 Special Opportunity LP		None	M	U					
237. Sommetrics. Inc (Preferred Ser B)		None	N	T					
238. Sensai Corp (Convertible Note)		None	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239. Cycle Pharmaceuticals LTD (Ser A Shares)		None	P1	T					
240. Free ATM Inc (Ser A Preferred)		None	K	T					
241. Engage Simply Inc (Convertible Note)		None	K	T					
242. Build and Imagine LLC		None	J	U					
243. SpireCube LLC		None			Closed	12/31/19	J		See Note # 11
244. Linx-Transpro Co-Invest LLC	D	Distribution	M	U	Sold (part)	12/31/19	J		See Note # 1
245. Linx-Gullett Co-Invest LLC		None	M	U					
246. 50 Mast LLC		None	M	U					
247. AG Team Partners LLC	D	Distribution	M	U					See Note # 1
248. AG Team Partnners III LP		None	M	U	Buy (add'l)	07/25/19	J		
249.					Sold (part)	07/26/19	J		
250. CSL Energy Opp Fund II LP	G	Distribution	P1	U	Sold (part)	02/04/19	N		See Note # 1
251. Estimize Inc (Ser B Preferred)		None	M	T					
252. Grotech Ventures III LP		None	O	U	Buy (add'l)	01/16/19	J		
253.					Buy (add'l)	04/25/19	K		
254.					Buy (add'l)	07/15/19	K		
255.					Buy (add'l)	10/22/19	K		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256. Karma Culture LLC		None	M	U					
257. Kinderhook Capital Fund IV		None	P2	U	Buy (add'l)	03/25/19	K		
258.					Buy (add'l)	06/12/19	L		
259.					Buy (add'l)	10/14/19	K		
260.					Sold (part)	07/01/19	M		
261.					Sold (part)	10/24/19	M		
262. Linx-CPT Co Invest LLC	B	Interest	L	U	Sold (part)	01/02/19	J		
263.					Sold (part)	04/11/19	J		
264.					Sold (part)	07/05/19	J		
265.					Sold (part)	10/08/19	J		
266. Logic9S LLC (Conv Promissory Note)	E	Interest			Sold (part)	05/14/19	M	F	
267.					Sold	12/23/19	M	G	
268. Oxy Docs, Inc (Conv Promissory Note)		None	O	T					
269. Olympus Capital Asia Fd V LP	E	Distribution	P1	U	Buy (add'l)	03/15/19	M		See Note # 1
270.					Buy (add'l)	06/26/19	M		
271. Aila. (Ser A Preferred) N/C Aila		None	M	T					
272. Romulus Capital III (US) Feeder LP		None	P1	U					

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

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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. Perry Lane LLC		None	N	U					
274. Slingshot Insights Inc (Conv. Promissory Note)	D	Interest	M	T					
275. Syndicated Loan Direct Inc (Conv. Promissory Note)		None			Closed	12/31/19			See Note # 11
276. TBGP Jacksonville LLC		None	J	U					
277. TernPro Inc (Conv Promissory Note & Preferred Stock)		None			Sold	01/14/19	M	E	
278. Terafina Inc (Conv Promissory Note)		None	N	T					
279. Home Team Marketing LLC (Senior Promissory Notes)	E	Interest			Closed	12/31/19			See Note # 11
280. Highland Resort At the Peaks LLC	E	Distribution	M	U	Sold (part)	09/03/19	K		See Note # 1
281. Edward Jones Retirement MM(IRA)	A	Dividend	J	T					
282. Fidelity (Cash)	A	Interest	J	T					
283. Figue Holdings LLC		None	J	U					
284. Gain Fitness Inc(Conv Note)		None	J	T					
285. Aisling Capital IV LP	F	Distribution	P1	U	Buy (add'l)	03/19/19	L		See Note # 1
286.					Buy (add'l)	04/26/19	J		
287.					Buy (add'l)	05/21/19	L		
288.					Buy (add'l)	06/12/19	L		
289.					Buy (add'l)	12/10/19	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	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold (part)	09/26/19	K		
291. Canal Logix LLC		None			Closed	12/31/19			See Note # 11
292. Collision Funding Partners LLC (Note)		None	K	T					
293. Linx-Elite Co Invest LLC	C	Interest	M	U	Sold (part)	03/28/19	K		
294.					Sold (part)	04/11/19	K		
295.					Sold (part)	01/02/19	J		
296.					Sold (part)	07/18/19	J		
297.					Sold (part)	10/08/19	J		
298. Linx-Nebr Co Invest LLC		None	N	U					
299. Romulus Estify Sp Opportunity LP		None	M	U					
300. Romulus Growth Cogito LP		None	M	U					
301. Strategic Alternative Fund Group LLC		None	L	U					
302. Parkstone Capital Partners IV Holdings LP		None	M	U					
303. Linx Q Liquidating Tr		None			Sold	12/31/19	J		
304. Fulling Mills LLC		None	O	U					
305. Ram Realty IV LP		None	P1	U	Buy (add'l)	02/05/19	L		
306.					Buy (add'l)	04/26/19	L		

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307.					Sold (part)	09/12/19	J		
308.					Sold (part)	12/31/19	K		
309. Alpine-Gleenwood LP		None	K	U					
310. BigID Inc(Conv Note)		None	M	T					
311. Lending Front Inc (Conv Note)		None	M	T					
312. Mine One GMBH (Ser A sh) (IRA)		None	M	T					
313. Relationship Capital Partners Inc (Conv Notes)		None	O	T					
314. PHRP LLC									See Note # 9
315. --Shareablee Inc (Ser A Pref)		None	P1	T					See Note # 9
316. Skyfront Corp (Note Rec)		None	K	T					
317. SPC Intermex LP	G	Distribution	O	U	Sold (part)	09/18/19	N		See Note # 1
318. Yingo Yango Inc (Ser A Pref)		None			Closed	12/31/19			See Note # 11
319. American Fund Cap Inc (401K)		None			Sold	09/27/19	M		See Note # 6
320. UBS Bank USA Deposit Ac	A	Interest	K	T					
321. 312 Atlantic Ave LLC		None	M	U	Sold (part)	01/24/19	K		
322.					Sold (part)	08/02/19	J		
323. Flank 71 Smith LLC		None	O	U	Sold (part)	01/24/19	N		

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

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	(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)	08/02/19	L		
325.					Sold (part)	11/14/19	L		
326. UBS Bank USA BUS ACCT(Foundation # 1)	A	Interest	K	T					
327. Cyriline Morgan (Personal Note)	C	Interest	M	T					
328. Loch Lomond Golf Club(Ser C)		None	M	T					
329. UBS Bank USA Dept Ac (IRA)	A	Interest	M	T					
330. Thornburg Global Oppy Fd CL A(IRA)	D	Dividend	N	T					
331. American Balanced Fund Inc (IRA)	D	Dividend	N	T					
332. American Fund Global Balanced (IRA)	D	Dividend	N	T					
333. Nucana PLC GBR (IRA)		None	P2	T	Sold (part)	03/20/19	L	E	
334.					Sold (part)	04/03/19	L	E	
335.					Sold (part)	05/08/19	L	F	
336. Relationship Capital Partners (IRA) (Convertible Promissory Note)		None	L	T					
337. ERA Investor Fund 6 LP		None	M	U	Sold (part)	12/20/19	J		
338. Groupize Inc (Ser A-2 pfd)		None	O	T	Buy (add'l)	03/25/19	M		
339. Medaptive Health Inc (Conv Prom)		None	L	T	Buy (add'l)	01/24/19	K		
340.					Buy (add'l)	05/14/19	K		

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

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

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341.					Buy (add'l)	07/25/19	K		
342. Poliwogg Holdings Inc (Ser B Conv Preferred)		None			Closed	12/31/19			See Note # 11
343. Shiftsmart Inc (Ser AA Preferred)		None	M	T					
344. BondCliQ Inc (Conv Promissory Note)		None	L	T	Buy (add'l)	04/01/19	L		
345. Canal Logic 2 LLC		None			Closed	12/31/19			See Note # 11
346. Nextremity Solutions Inc (Ser B Preferred)		None	O	T	Buy (add'l)	05/22/19	O		
347. TG& L Holdings LLC(Convertible Note)		None	O	T	Buy (add'l)	09/17/19	K		
348. Entrepreneurs Expansion Fund III LP		None	N	U	Buy (add'l)	04/11/19	K		
349.					Buy (add'l)	07/26/19	K		
350.					Buy (add'l)	11/08/19	K		
351. KInderhook V LP		None	P1	U	Buy (add'l)	01/28/19	M		
352.					Buy (add'l)	04/15/19	N		
353.					Buy (add'l)	06/12/19	M		
354.					Buy (add'l)	06/19/19	N		
355.					Buy (add'l)	10/15/19	O		
356.					Sold (part)	12/02/19	M		
357. Valuestream Ventures 2017 LLC		None	O	U	Buy (add'l)	05/06/19	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$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)
358.					Buy (add'l)	06/24/19	K		
359.					Buy (add'l)	09/11/19	M		
360. Workbench Ventures III LLC		None	M	U	Buy (add'l)	04/04/19	K		
361.					Buy (add'l)	08/01/19	K		
362. 71 Smith Retail Venture LLC		None	O	U	Sold (part)	10/09/19	L		
363.					Buy (add'l)	06/12/19	M		
364. First Republic Checking	A	Interest	M	T					
365. Generation Tux (Ser D-2 Preferred)	A	Interest	M	T					
366. Seventh Sibling LLC (Promissory Note)		None	K	T					
367. RGI Recap Partners LLC	G	Distribution	P1	U	Sold (part)	04/11/19	N		See Note # 1
368. Parkstone Capital Partners III LP		None	N	U					
369. 1101 Grundy Property Owner LLC		None	O	U					
370. Adaptive Management Inc (Convertible Promissory Note)		None	M	T	Buy (add'l)	03/05/19	K		
371. Bioxcel Therapeutics Inc (Com)		None			Donated (part)	04/09/19	M		To line # 437 See Note # 5
372.					Sold (part)	04/01/19	K	D	
373.					Sold (part)	04/22/19	J	C	
374.					Sold (part)	04/23/19	L	E	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
375.					Sold (part)	06/25/19	M	E	
376.					Sold	06/26/19	K	D	
377. Blue Systems A.Y. Ltd (Ordinary) DBA Gabriel Networks		None	K	T					
378. B Hospitality Corp (Series Seed Preferred)		None	L	T	Buy (add'l)	07/25/19	K		
379. Felix Gray Inc (Ser A-1 Preferred)		None	M	T	Buy (add'l)	12/10/19	J		
380. findSisterhood Inc (Convertible Promissory Note)		None	N	T	Buy (add'l)	05/20/19	L		
381.					Buy (add'l)	03/11/19	L		
382. LA Aloe LLC		None	M	U					
383. Linx-CTAM Co-Invest, LLC	C	Interest	M	U	Sold (part)	01/02/19	J		
384.					Sold (part)	04/11/19	J		
385.					Sold (part)	07/15/19	J		
386. Plum Alley Syndicate XIII LLC		None	M	U					
387. Vitalis LLC		None	M	U					
388. Ladder Capital Corp (Com) (IRA)	E	Dividend	N	T	Sold (part)	03/21/19	J		
389. AG Team Partners II LP		None	M	U					
390. Martin Pharmaceuticals Inc (Convertible Promissory Note)		None	M	T					
391. Clarke (Mortgage) N/C	E	Interest	N	T					

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

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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)
392. MiMeetings d/b/a 242 LLC (Convertible Promissory Note)		None	L	T					
393. Modumental Inc (Convertible Promissory Note)		None	L	T					
394. Popin Inc (Series Seed Preferred)		None	N	T					
395. Second Screen Inc (Convertible Promissory Note)		None	M	T	Buy (add'l)	09/27/19	K		
396.					Buy (add'l)	04/22/19	K		
397. SPC Vereco LP		None	M	U	Buy (add'l)	02/25/19	M		
398. Tallarium Limited (Preferred Shares)		None	M	T					
399. The Square Foot Inc (Series A Preferred)		None	O	T	Buy (add'l)	11/12/19	M		
400. Threshing Floor Security Inc (Series Seed Preferred)		None			Closed	12/31/19			See Note # 11
401. xtra Chef Inc(Note)		None	M	T	Buy (add'l)	06/03/19	K		
402. Docero LLC (Promissory Note) N/C EHP Ventures LLC		None	M	T					
403. Mine One Gmbh (Series B)		None	K	T					
404. Tailwind III LP									See Note # 10
405. --Smith Cooper International Inc N/C Anvil/ Smith Cooper International		None	P1	U	Buy (add'l)	10/10/19	M		
406.					Buy (add'l)	10/16/19	O		
407. --Benevis Holding Corp		None	M	U	Buy (add'l)	08/16/19	M		
408. --Abode Healthcare Inc	G	Distribution	J	U	Buy (add'l)	03/12/19	O		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
409.					Sold (part)	09/05/19	P1		
410. --Convergence Technologies Inc		None	N	U	Buy (add'l)	06/10/19	N		
411.					Buy (add'l)	08/16/19	L		
412. --Loenbro LLC		None	N	U	Buy (add'l)	08/16/19	O		
413. --Banner Solutions		None	O	U	Buy	12/31/19	O		
414. --Randys Worldwide Automotive Inc		None	O	U	Buy	10/10/19	O		
415. --Ventiv Technology		None	P1	U	Buy	12/31/19	P1		
416. --Invatron Systems		None	N	U	Buy	12/31/19	N		
417. Tailwind III GP LP									See Note # 10
418. --Smith Cooper International Inc N/c Anvil/ Smith Cooper		None	N	U	Buy (add'l)	06/10/19	J		
419.					Buy (add'l)	10/10/19	J		
420.					Buy (add'l)	10/16/19	K		
421. --Benevis Holding Corp		None	K	U	Buy (add'l)	08/16/19	J		
422. --Abode Healthcare Inc	F	Distribution	L	U	Buy (add'l)	03/12/19	K		See Note # 1
423.					Sold (part)	09/06/19	L		
424. --Convergence Technologies Inc		None	L	U	Buy (add'l)	06/10/19	K		
425.					Buy (add'l)	08/16/19	J		

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

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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. --Loenbro LLC		None	M	U	Buy (add'l)	08/06/19	J		
427. --Banner Solutions		None	M		Buy	12/31/19	M		
428. --Randys Worldwide Automotive Inc		None	M	U	Buy	10/10/19	K		
429. --Ventiv Technology		None	M		Buy	12/31/19	M		
430. --Invatron Systems		None	L		Buy	12/31/19	L		
431. UBS Liquid Asset Gov't Fund(IRA)		None			Sold	03/21/19	O		
432. JP Morgan -Pound Sterling		None			Sold	03/20/19	L	A	
433. adTheorent Inc(X)	C	Distribution			Sold	10/08/19	J		See Note # 1 & Note # 3
434. E LaCarte Inc (Convertible Promissory Notes) N/C Presto		None	N	T					
435. Kohls Corp (Foundation # 1)	B	Dividend			Spinoff (from line 45)	03/20/19	M		See Note # 5
436.					Sold	03/20/19	M		
437. Bioxccl Therapeutics (Foundation # 1)		None			Spinoff (from line 371)	04/09/19	M		See Note # 5
438.					Sold	04/10/19	M	E	
439. Airbud Technologies Inc(Seed Series Preferred)		None	M	T	Buy	07/15/19	M		
440. Aising V LP		None	M	U	Buy	08/15/19	M		
441.					Buy (add'l)	12/12/19	O		
442. Apteo Inc ((Series Seed 1 Preferred)		None	M	T	Buy	10/31/19	M		

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
443. Ares Capital Corp (Com) (IRA)	E	Dividend	N	T	Buy	05/17/19	N		
444. EVZDRP Inc (Convertible Note)		None	K	T	Buy	02/11/19	K		
445. Flank GP Fund		None	P1	U	Buy	05/17/19	O		
446.					Buy (add'l)	07/24/19	O		
447.					Buy (add'l)	09/26/19	P1		
448. Linx-TGS Co-Invest LLC	C	Distribution	M	U	Buy	03/06/19	M		See Note # 1
449.					Sold (part)	08/08/19	J		
450.					Sold (part)	11/04/19	J		
451. Braveheart Wireless Inc(Ser A Preferred)		None	M	T	Buy	03/15/19	M		
452. Nucleus Data and Analytics Inc (Com)		None	M	T	Buy	06/21/19	M		
453. Jifiti.COM Inc (Seed Ser)		None	M	T	Buy	12/09/19	M		
454. 242 LLC DBA Event Ground Global		None	L	U	Buy	12/02/19	L		
455. Kinderhook VI LP		None	J	U	Buy	12/31/19	J		
456. Ogilvie Family LP (Promissory Note)	D	Interest	N	T	Buy	06/24/19	N		See Note # 12
457. VRMarket Data LLC (Ser B Preferred)		None	N	T	Buy	05/06/19	N		
458. Green Africa/Green White Group Limited		None	M	T	Buy	01/31/19	M		
459. Vanguard Group (401K)									See Note # 6

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
460. --Vanguard Life Strategy Growth Inv		None	M	T	Buy	09/30/19	M		
461. --DFA TA Wrld ex US Core Equity Port		None	M	T	Buy	09/30/19	M		
462. Sayspring (X)		None			Sold	04/12/19	K	E	See Note # 3
463.									
464.									
465.									
466.									
467.									
468.									
469.									
470.									
471.									
472.									
473.									
474.									
475.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

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

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

Note #1

Explanation Re:Section VII ,

Item #24,37,38,51,53,59,70,83,92,93,95,119,125,127,128,129,130,134,136,139,144,145,146,155,161,167,181,186,196,197,199,201,202,204,207,208,215,217,227,228,244,247,250,269,280,285,317,367,422,433,448

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 was received from the partnership.

The income is not always distributed in the year it was earned. In those instances, column's D(1) thru D (4) are left blank.

Note # 2

Explanation Section VII

Item # 26

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

Note # 3

Explanation Section VII

Item # 146,207,433,462

Escrow income subject to various contingencies was received during 2019. The applicable investment was sold in prior years. The remaining cost of the investment was zero.

.

Note # 4

Explanation Section VII

Item # 54-58,60-64

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

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

In addition, the purchase and sale information is also listed by underlying asset. The Limited Partnership(LP) and General Partnership (GP LP) have ownership interests in the same companies.

Note # 5

Explanation Section VII

Item # 45,371,435,437

These shares were donated to Foundation # 1. This information is noted as "Donated" in Column D(1). The date the shares were donated is listed in Column D(2). The value in Column D(3) is the distributee's fair market value on the date of the donation. The shares received by Foundation # 1 are listed as "Spinoff" in Column D(1) The date of the distribution is listed in Column D (2), and the Value of the shares listed in Column D(3) is the fair market value on the date of the distribution.

Note # 6

Explanation Section VII

Item # 233,319,459

The assets in the 401k were sold during 2019 and the cash was transferred to a new 401 K maintained by The Vanguard Group.

Note # 7

Explanation Section VII

Item # 147-194

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

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

In addition, the purchase and sale information is also listed by underlying asset.

See Note # 8

Explanation Section VII

Item # 126-146,195-215

The Judge's husband is a Partner of Tailwind Capital Partners II LP and Tailwind Capital Partners II (GP) LP. The partnerships have ownership interests

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

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 (LP) and General Partnership (GP LP) have ownership interests in the same companies.

.
Note # 9
Explanation Section VIII
Item # 314-315

The Judge's [REDACTED] created a single member LLC to hold various investments. The current investment is listed below the LLC on line # 315.

See Note # 10
Explanation Section VII
Item # 163-175,182-194,404-430

The Judge's [REDACTED] is a Partner of Tailwind Capital Partners III LP and Tailwind Capital Partners III (GP) LP. The partnerships have ownership interests in the companies listed . Due to revised reporting requirements the income and gross value at the end of the reporting period is separately listed.
In addition, the purchase and sale information is also listed by underlying asset.
The Limited Partnership (LP) and General Partnership (GP LP) have ownership interests in the same companies. Trust # 3 and Trust # 4 are also partners in Tailwind Capital Partners III LP.
The assets that are owned by the partnership are listed in the appropriate section of the report.

.
See Note # 11
Explanation Section VII
Item #'s 65,90,115,133,205,243,275,279,291,318,342,345,400

These investments are worthless as of December 31, 2019. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2019. The value in Column D(3) is blank, since no value is attributed to the worthless investments.

See Note # 12
Explanation Section VIII
Item # 13,456

The rental property was sold in 2019. The checking account remained open due to the Seller financed promissory note , that was part of the Sale transaction. The property had not been rented in more then 10 years.

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IX. CERTIFICATION.

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

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

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