

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) ROSENTHAL, LEE H.	2. Court or Organization U.S.D.C.-S.D.TX	3. Date of Report 08/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.DISTRICT JUDGE-ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 515 RUSK ROOM 11535 HOUSTON, TEXAS 77002		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER, EXECUTIVE COMMITTEE, COUNCIL, VICE PRESIDENT	AMERICAN LAW INSTITUTE
2. MEMBER, BOARD OF TRUSTEES AND EXECUTIVE COMMITTEE	BAYLOR COLLEGE OF MEDICINE
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

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

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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. 2019	NATIONAL BOARD OF BAR EXAMINERS, WRITING	\$7,000.00
2. 2019	JURIS PUBLISHING	\$638.63
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	[REDACTED] AND RELATED ENTITIES: PARTNER DISTRIBUTION
2. 2019	[REDACTED]: DIRECTOR'S FEES
3.	
4.	

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

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	THE AMERICAN LAW INSTITUTE	JANUARY 16-19, 2019	PHILADELPHIA, PA	ALI EXECUTIVE MEETING AND COUNCIL MEETING	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
2.	MARQUETTE LAW SCHOOL	MARCH 4-6, 2019	MILWAUKEE, WI	ANNUAL E. HAROLD HALLOWS LECTURE	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
3.	STANFORD LAW SCHOOL	APRIL 3-6, 2019	STANFORD, CA	CODEX FUTURE LAW 2019 CONFERENCE-STANFORD LAW SCHOOL ROUNDTABLE DISCUSSION	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS

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4.	DUKE LAW SCHOOL	MAY 23-24, 2019	DURHAM, NC	DUKE LAW'S MASTER OF JUDICIAL STUDIES PROGRAM TECAHING JUDGES' SEMINAR	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
5.	DUKE LAW SCHOOL	MAY 30-31, 2019	DURHAM, NC	DUKE LAW'S MASTER OF JUDICIAL STUDIES PROGRAM TECAHING JUDGES' SEMINAR	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
6.	DUKE LAW SCHOOL	JUNE 6-7, 2019	DURHAM, NC	DUKE LAW'S MASTER OF JUDICIAL STUDIES PROGRAM TECAHING JUDGES' SEMINAR	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
7.	DUKE LAW SCHOOL	JUNE 13-14, 2019	DURHAM, NC	DUKE LAW'S MASTER OF JUDICIAL STUDIES PROGRAM TECAHING JUDGES' SEMINAR	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
8.	DUKE LAW SCHOOL	JUNE 29-21, 2019	ARLINGTON, VA	DUKE LAW PROPORTIONALITY CONFERENCE	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
9.	VANDERBILT LAW SCHOOL	AUGUST 22-24, 2019	NASHVILLE, TN	INTERNATIONAL CLASS ACTIONS CONFERENCE	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
10.	AMERICAN ACADEMY OF ARTS AND SCIENCES	OCTOBER 10-12, 2019	CAMBRIDGE, MA	LOCAL PROGRAM COMMITTEE MEETING	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
11.	THE AMERICAN LAW INSTITUTE	OCTOBER 15-18, 2019	NEW YORK, NY	ALI EXECUTIVE COMMITTEE AND COUNCIL MEETING	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
12.	NATIONAL CONFERENCE OF BAR EXAMINERS	OCTOBER 24-26, 2019	BOSTON, MA	CIVIL PROCEDURE DRAFTING COMMITTEE MEETING	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
13.	BOLCH JUDICIAL INSTITUTE - DUKE LAW	NOVEMBER 7-8, 2019	DURHAM, NC	CIVIL RULES PLANNING CONFERENCE	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
14.	THE AMERICAN LAW INSTITUTE	NOVEMBER 14-16, 2019	PHILADELPHIA, PA	ADVISERS AND MEMBERS CONSULTATIVE GROUP MEETING	AIRFARE, GROUND TRANSPORTATION, HOTEL, MEALS
15.					
16.					
17.					
18.					
19.					
20.					
21.					
22.					

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23.
24.
25.

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)	(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)
1. Big Sandy, TX ISD, 5.0% due 02/15/2039	E	Interest			Sold	02/15/19	P1		
2. Butler Cnty, PA Hosp Auth, 7.250% due 07/01/2039	F	Interest			Sold	07/01/19	O		
3. Conroe TX ISD 4.0% due 02/15/2021		None	P1	T	Buy	10/17/19	P1		
4. Dallas Cnty, TX Hosp Dist Ref, 5.0% due 08/15/2020		None	P1	T	Buy	10/04/19	P1		
5. Dauphin Cnty, PA Auth HlthSys, 6.0% due 06/01/2029	E	Interest			Sold	06/03/19	P1		
6. Grapevine-Colleyville ISD 0.00% due 8/15/23		None	M	T					
7. Harris Cty, TX, 5.00% due 10/1/19	D	Interest			Matured	10/01/19	M		
8. HBR Point CT Infrastructure, 7.875% due 04/01/39	F	Interest	P1	T					
9. IL Fin Auth Silver Cross Med Ctrs, 7%, due 8/15/2044	G	Interest			Sold	08/15/19	P1		
10. IL St Fin Auth Rev Il Rush Univ Med, 6.625% due 11/01/39	E	Interest			Sold	05/01/19	P1		
11. La Vernia, TX Hgr Edu Fin, 7.250% due 08/15/2031	F	Interest			Sold	08/15/19	O		
12. Leander, TX ISD 0.00% due 8/15/21		None			Sold	08/15/19	N	G	
13. Lewisville, TX ISD 0.00% due 8/15/21		None	O	T					
14. Lufkin, TX Hlth Facs Dev, Memorial Hlth, 6.25% due 02/15/2037	E	Interest			Sold	02/15/19	O		
15. NJ St Eductnl Facs Auth Rev, 6.25% due 07/01/2037	F	Interest			Sold	07/01/19	O		
16. NY MTA 4.0% due 02/03/2020		None	P1	T	Buy	02/13/19	P1		
17. OH St Hosp Fac Rev, Cleveland Clinic, 5.5% due 01/01/2039	E	Interest			Sold	01/02/19	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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☐ NONE (No reportable income, assets, or transactions.)

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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)
18. Richmond Co, GA Dev 6.375% due 12/01/21		None	L	T					
19. St of Washington BO 0.00% due 12/01/21		None	O	T					
20. Suffolk Cnty, NY TRANS, 5.0% due 7/24/2019	F	Interest			Sold	07/24/19	P1		
21. TX St Ref-Wtr Finl Assistance, 5.0%, due 08/01/20	D	Interest	P1	T	Buy	05/16/19	P1		
22. Texas St Trans, 4.0% due 8/27/20		None	P1	T	Buy	08/21/19	P1		
23. Texas St Trans, 4.0% due 8/30/20 (maturity date s/b 8/29/19)	F	Interest			Sold	08/29/19	P1		
24. University TX Univ 5.25% due 7/1/21	E	Interest	N	T					
25. WA St Ser F Mtr Veh Tax, 0.00% due 10/10/2021		None	O	T	Buy	02/28/19	O		
26. WI St Hlth & Eductnl Facs Auth Rev, 6.625% due 02/15/2039	E	Interest			Sold	02/15/19	P1		
27. JPM Chase - Checking	A	Interest	M	T					
28. HSA Bank	A	Interest	M	T					
29. Ally Bank	A	Interest	J	T					
30. Altitude Ventures Texas, LP (1)		None	K	U	Buy (add'l)	03/01/19	J		
31.					Buy (add'l)	07/17/19	K		
32. American Express Bank, FSB	A	Interest	J	T					
33. AIF V Private Investors LLC (1)		None	J	U					
34. AIF VI Private Investors LLC (1)		None	J	U	Distributed (part)	01/18/19	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35.					Distributed (part)	06/28/19	L		
36. AIF VII Private Investors LLC (1)		None	L	U	Buy (add'l)	04/25/19	J		
37.					Distributed (part)	08/02/19	J		
38.					Distributed (part)	10/28/19	J		
39. APAX Europe VII Private Investors, LLC (1)		None	J	U	Distributed (part)	02/07/19	J		
40.					Distributed (part)	11/07/19	J		
41. Atlantic Trust Company, N.A.	A	Dividend	J	T					
42. Barclays Bank	A	Interest	J	T					
43. Bepoken (9)		None							
44. BRKB-Common		None	O	T	Donated (part)				
45. Black Stone Minerals, LP common units	G	Distribution	P1	T					
46. Black Stone Minerals, LP sub units	E	Distribution			Merged (with line 45)	02/26/19	M		
47. [REDACTED]	A	Dividend	N	T	Buy	02/11/19	O		
48.					Sold (part)	03/21/19	O		
49. [REDACTED] Restricted Stock (7)									
50. CADE-Common	B	Dividend	K	T	Buy	04/02/19	J		Distribution from Line 152
51. Carlyle Asia Partners II (1)		None	J	U					

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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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52. CAP IV Private Investors, LLC (1)		None	J	U	Distributed (part)	02/11/19	K		
53.					Distributed (part)	06/10/19	J		
54.					Buy (add'l)	06/28/19	K		
55.					Distributed (part)	09/09/19	K		
56.					Distributed (part)	10/22/19	J		
57.					Buy (add'l)	12/31/19	J		
58. CAP V Private Investors, LLC (1)		None	L	U	Buy (add'l)	06/28/19	J		
59.					Buy (add'l)	12/19/19	J		
60.					Buy (add'l)	12/31/19	K		
61. Carlyle Japan International Partners II, L.P. (1)		None	J	U	Distributed (part)	12/20/19	J		
62. CIT Bank	A	Interest	J	T					
63. CJIP II Limited, L.P. (1)		None	J	U					
64. CD&R Fund IX Private Investors, LLC (1)		None	O	U	Distributed (part)	03/27/19	K		
65.					Buy (add'l)	04/11/19	K		
66.					Buy (add'l)	04/16/19	K		
67.					Distributed (part)	08/29/19	L		
68. CD&R Fund X, LP (1)		None	N	U	Distributed (part)	02/01/19	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
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69.					Buy (add'l)	04/16/19	M		
70.					Buy (add'l)	10/08/19	K		
71.					Distributed (part)	11/20/19	K		
72.					Buy (add'l)	12/31/19	M		
73. Coatue Early Stage Fund LP (1)		None	N	U	Buy	01/31/19	N		
74.					Buy (add'l)	03/14/19	L		
75.					Buy (add'l)	07/02/19	L		
76. Consumer Staples Select Sector SPDR-ETF	E	Dividend	N	T	Donated (part)				
77. Continuum Energy		None			Distributed (part)	05/02/19	J		
78.					Distributed	10/03/19	J		
79. █████-Common		None	L	T					
80. Cyber Innovation Partners II, LP (1)		None	M	U	Buy	05/30/19	L		
81.					Buy (add'l)	09/30/19	L		
82.					Buy (add'l)	12/11/19	K		
83. Discover Bank	A	Interest	J	T					
84. Emerald Marina Bay (1)		None			Distributed	12/31/19	J		
85. Encino Energy, LLC (1)		None	L	U	Distributed (part)	10/16/19	J		

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3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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86. Energy Capital Investors Fund, LLC (1)		None	J	U	Distributed (part)	05/17/19	K		
87.					Distributed (part)	10/16/19	J		
88. Family Alignment: FA YPS LLC (1)		None	L	U	Distributed (part)	03/07/19	J		
89. Family Alignment: FA SPR LLC (1)		None	K	U					
90. Family Alignment: FA ASL LLC (1)		None	M	U	Distributed (part)	03/07/19	K		
91.					Distributed (part)	08/13/19	J		
92. Family Alignment: FA Trilliant LLC (1)		None	L	U					
93. Family Alignment: FA Pipeline LLC (1)		None	M	U	Buy	03/05/19	L		
94. Family Alignment: FA Celtic LLC (1)		None	L	U	Buy	05/07/19	L		
95. Family Alignment: FA Sanara LLC (1)		None	M	U	Buy	10/08/19	L		
96. FDC Group McKinney, Ltd., Houston (1) (12)	D	Rent	J	U					
97. FDC Group Crawford, Ltd. (1)		None	M	U					
98. FDC Group Dunlavy, Ltd. (1)		None	L	U					
99. FDC Group Wilcrest, Ltd., Houston (1)(12)	C	Rent	J	U					
100. FDC Group Yorktown, Ltd. (1)		None	L	U					
101. FDC Group Waugh, Ltd., Houston (1)(12)	E	Rent	M	U					
102. Finger-Roxboro, Ltd., Atlanta (1)(12)	D	Rent	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
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)
103. Finger-VOTL, Ltd., Harris County (1)(12)	D	Rent	K	U					
104. FET-Common		None	J	T	Buy	09/17/19	J		Distribution from line 162
105.					Buy (add'l)	09/17/19	J		Distribution from line 167
106.					Buy (add'l)	09/26/19	J		Distribution from line 162
107.					Buy (add'l)	09/26/19	J		Distribution from line 167
108. Goldman Sachs Bank	A	Interest	J	T					
109. Mt. Kellett (1)		None	K	U	Distributed (part)	03/15/19	K		
110.					Distributed (part)	12/31/19	J		
111. Mt. Kellett II (1)		None	L	U	Distributed (part)	09/12/19	K		
112.					Distributed (part)	12/31/19	J		
113. GHR Healthcare, LLC		None	M	U	Buy (add'l)	07/15/19	J		
114.					Buy (add'l)	08/13/19	K		
115. Great Northern Midstream, LLC (1) Y		None	J	U					
116. Ishares Core High Dividend-ETF	D	Dividend	N	T	Donated (part)				
117. ██████████ (1)		None	J	U	Buy (add'l)	06/14/19	J		
118.					Buy (add'l)	12/17/19	J		
119. HydroEx Acquisition, LLC (1)(a)		None							

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)
120. Ishares US Consumer Goods-ETF	D	Dividend	N	T	Donated (part)				
121. JP Morgan Chase Investment Account - Cash	D	Dividend	P2	T					
122. KKR 2006 Private Investors, LLC (1)		None	M	U	Buy (add'l)	02/27/19	J		
123.					Distributed (part)	03/26/19	J		
124.					Distributed (part)	04/08/19	J		
125.					Distributed (part)	08/26/19	J		
126.					Distributed (part)	09/30/19	J		
127.					Distributed (part)	12/09/19	J		
128.					Distributed (part)	12/23/19	J		
129. KKR Americas XII Private Investors (1)		None	N	U	Buy (add'l)	02/01/19	K		
130.					Buy (add'l)	05/15/19	J		
131.					Buy (add'l)	08/02/19	K		
132.					Buy (add'l)	11/12/19	K		
133. KMI-Common	E	Dividend	P1	T					
134. Merrill Lynch (CMA)	C	Interest	N	T					
135. Milton Meisler Holdings LLC		None	L	U					
136. Milton ZXP Holdings		None	L	U					

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. NITYA - BCH Investors LLC, Harris County (1)(12)	D	Rent			Sold (part)	09/10/19	M	G	
138.					Sold	11/22/19	L	D	
139. NITYA - Legacy at Westchase Investors, LLC, Houston (1)(12)	D	Rent	J	U					
140. NITYA - D2 Properties, LLC, Dallas (1)(12)	E	Rent	J	U					
141. NITYA - Sierra Park Investors, LLC, Dallas (1)(12)	E	Rent	J	U					
142. NITYA - TEAI LLC, Houston (1)(12)	D	Rent	L	U					
143. NITYA - Saah Investors, Houston (1)(12)	D	Rent	L	U					
144. NITYA - A2 Apartment Investors, Austin	E	Rent	M	U					
145. Oaktree Capital Group LLC	E	Distribution			Sold (part)	05/10/19	N		
146.					Sold	05/13/19	O		
147. █████-Common		None			Sold	08/07/19	M		
148. MGI Pearl Midtown, LLC, Houston (1)(12)	D	Rent	J	U					
149. MGI Pearl CityCenter, LLC, Houston (1)(12)	D	Rent	M	U					
150. MGI Pearl Midtown Residences, Ltd, Houston (1)		None	N	U					
151. MGI 21Eleven Investors, LP, Houston (1)(12)	D	Rent	M	U					
152. Platform Partners, LLC (1)		None	P1	U	Distributed (part)	04/02/19	K		Distributed to Line 50
153.					Distributed (part)	10/02/19	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	
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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. Platform Partners Capital LLC (1)		None	M	U	Buy	10/22/19	M		
155. RDS A-ADR	F	Dividend	P1	T					
156. RDS/B-ADR	F	Dividend	P1	T					
157. Renasant-Common	D	Dividend			Sold (part)	08/07/19	M	F	
158.					Sold (part)	08/08/19	M	F	
159.					Donated				
160. Roku-Common		None			Donated				
161.					Buy	12/05/19	N		
162. SCF-V, L.P. (1)		None	J	U	Buy (add'l)	01/09/19	J		
163.					Buy (add'l)	04/03/19	J		
164.					Buy (add'l)	07/12/19	J		
165.					Distributed (part)	09/17/19	J		Distributed to Line 104
166.					Distributed (part)	09/26/19	J		Distributed to Line 104
167. SCF-VI, L.P. (1)		None	M	U	Buy (add'l)	01/09/19	J		
168.					Buy (add'l)	04/03/19	J		
169.					Buy (add'l)	07/12/19	J		
170.					Distributed (part)	09/17/19	J		Distributed to Line 104

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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☐ 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.					Distributed (part)	09/26/19	J		Distributed to Line 104
172. SCF-VII, L.P. (1)		None	N	U	Buy (add'l)	01/09/19	J		
173.					Buy (add'l)	04/03/19	J		
174.					Buy (add'l)	07/12/19	J		
175.					Buy (add'l)	10/01/19	J		
176. SCF-VII(a), L.P. (1)		None	L	U	Buy (add'l)	01/09/19	J		
177.					Buy (add'l)	04/03/19	J		
178.					Buy (add'l)	07/12/19	J		
179.					Buy (add'l)	10/01/19	J		
180. SCF-VII(AIV), L.P. (1)		None	M	U					
181. SCF-VIII, L.P (1)		None	M	U	Buy (add'l)	01/09/19	J		
182.					Buy (add'l)	02/07/19	J		
183.					Buy (add'l)	02/25/19	J		
184.					Buy (add'l)	03/18/19	J		
185.					Buy (add'l)	03/28/19	J		
186.					Buy (add'l)	04/03/19	J		
187.					Buy (add'l)	04/15/19	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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☐ 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)
188.					Buy (add'l)	05/24/19	J		
189.					Buy (add'l)	07/12/19	J		
190.					Buy (add'l)	10/01/19	J		
191.					Buy (add'l)	10/02/19	J		
192.					Buy (add'l)	11/19/19	J		
193. SCF-VIII(AIV), L.P. (1)		None	M	U					
194. SCF-IX, LP (1)		None	N	U	Buy (add'l)	01/09/19	J		
195.					Buy (add'l)	02/27/19	M		
196.					Buy (add'l)	04/03/19	J		
197.					Buy (add'l)	05/13/19	J		
198.					Buy (add'l)	07/12/19	J		
199.					Buy (add'l)	09/10/19	J		
200.					Buy (add'l)	10/02/19	J		
201.					Buy (add'l)	11/12/19	K		
202.					Buy (add'l)	12/26/19	K		
203. SRE Properties, LP, Houston (1)(12)	D	Rent	J	U					
204. Surefire Social-Convertible Pfd		None	J	U					

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

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)	(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)
205. Synchrony Bank	A	Interest	J	T					
206. (1)		None	N	U	Buy (add'l)	12/31/19	M		
207.					Distributed (part)	12/31/19	L		
208. (1)		None			Buy (add'l)	12/31/19	J		
209.					Distributed	12/31/19	J		
210. (1)		None			Distributed	12/31/19	K		
211 (1)		None			Buy (add'l)	12/31/19	J		
212.					Distributed	12/31/19	J		
213. (1)		None			Buy (add'l)	12/31/19	J		
214.					Distributed	12/31/19	L		
215. (1)		None	K	U	Distributed (part)	12/31/19	N		
216. (1)		None	N	U	Buy (add'l)	12/31/19	J		
217.					Distributed (part)	12/31/19	M		
218. (1)		None	P1	U	Buy (add'l)	12/31/19	J		
219.					Distributed (part)	12/31/19	O		
220. (1)		None	P2	U	Buy (add'l)	12/31/19	L		
221.					Distributed (part)	12/31/19	J		

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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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. [REDACTED] (1)		None	M	U	Buy (add'l)	12/31/19	K		
223.					Distributed (part)	12/31/19	J		
224. [REDACTED] (1)		None	P1	U	Buy (add'l)	12/31/19	O		
225.					Distributed (part)	12/31/19	L		
226. [REDACTED] (1)		None	K	U	Distributed (part)	12/31/19	P1		
227. [REDACTED] (1)		None	J	U					
228. [REDACTED] (1)		None	M	U	Buy (add'l)	12/31/19	L		
229.					Distributed (part)	12/31/19	J		
230. [REDACTED] (1)		None	O	U	Buy (add'l)	12/31/19	N		
231.					Distributed (part)	12/31/19	K		
232. [REDACTED] (11) H									
233. [REDACTED]			O	U	Buy (add'l)	02/22/19	K		
234.					Buy (add'l)	03/26/19	L		
235. [REDACTED]			N	U	Buy	12/04/19	N		
236. [REDACTED]			O	U	Buy (add'l)	03/26/19	K		
237.					Buy (add'l)	09/26/19	K		
238. [REDACTED]			N	U	Sold (part)	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
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)	(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. [REDACTED]			M	U					
240. [REDACTED]			N	U					
241. [REDACTED]			L	U	Buy	02/27/19	L		
242. [REDACTED]			N	U					
243. [REDACTED]			M	U	Buy	02/29/19	M		
244. [REDACTED]					Sold	03/06/19	N		
245. [REDACTED]					Sold	06/30/19	J		
246. [REDACTED]			L	U	Buy	08/31/19	L		
247. [REDACTED]			N	U	Buy (add'l)	08/28/19	J		
248. [REDACTED]			O	U					
249. [REDACTED]	D	Int./Div.	O	T					
250. JP Morgan Chase-Checking		None	J	T					
251. JP Morgan Chase-Checking-S		None	J	T					
252. Vanguard Municipal Money Market	G	Dividend	P2	T					
253. Vanguard Large Cap Index Fund Adm	E	Dividend	O	T	Donated (part)				
254. Vanguard Tax-Managed Cap Appreciation-Mutual Fund	G	Dividend	P2	T					
255. Vanguard 500 Index-Mutual Fund	G	Dividend	P2	T	Buy (add'l)	03/19/19	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	

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.					Buy (add'l)	07/22/19	M		
257.					Buy (add'l)	12/04/19	P1		
258.					Buy (add'l)	12/05/19	O		
259.					Donated (part)				
260. Vanguard Federal M/M	D	Dividend	M	T					
261. Vanguard Information Technology Index Admiral Fund	E	Dividend	P1	T					
262. Vanguard Dividend Appreciation ETF (10)	D	Dividend	N	T					
263. VETIQ Staffing LLC (1)		None	J	U					
264. WLR Recovery IV Investors, LLC (1)		None	J	U	Distributed (part)	01/14/19	J		
265. WRK-Common	E	Dividend	P1	T	Buy	02/14/19	N		
266.					Buy (add'l)	02/22/19	M		
267.					Buy (add'l)	03/05/19	M		
268.					Buy (add'l)	03/12/19	L		
269.					Buy (add'l)	03/19/19	L		
270.					Buy (add'l)	04/17/19	M		
271.					Buy (add'l)	04/22/19	M		
272.					Buy (add'l)	05/21/19	L		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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)
273.					Buy (add'l)	05/22/19	M		
274.					Buy (add'l)	05/23/19	M		
275.					Buy (add'l)	05/28/19	L		
276.					Buy (add'l)	12/24/19	M		
277. Xapp Media (9)		None							
278. ZoChem (formerly known as Zinc Oxide-SeriesA) (1)		None	K	U	Distributed (part)	03/25/19	J		
279.					Distributed (part)	05/08/19	K		
280.					Buy (add'l)	06/20/19	M		
281.					Distributed (part)	08/27/19	K		
282.					Distributed (part)	12/12/19	N		
283. Certain LLC 1/18 (1)		None	J	U					
284. Certain Limited Partners 1/39 (1)		None	J	U					
285. Certain Limited Partners 2/54 H									
286. -Elliott Associates, L.P. (1)		None	P2	U					
287. -Elliott Co-Investment A-1, L.P. (1)		None	N	U	Buy	08/26/19	N		
288. -Elliott Co-Investment A-2, L.P. (1)		None	M	U	Buy	08/26/19	M		
289. -Elliott Co-Investment A-3, L.P. (1)		None	O	U	Buy	08/26/19	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) 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. -Elliott Co-Investment A-4, L.P. (1)		None	N	U	Buy	08/26/19	N		
291. -West Cam, L.P. (1)		None	J	U					
292. -MP GEO, LLC (1)		None	J	U	Distributed (part)	03/19/19	K		
293. -Midland Basin GEO, LLC (1)		None	K	U	Distributed (part)	05/17/19	J		
294. -Gamma Geo (1)		None	J	U	Distributed (part)	02/01/19	J		
295.					Distributed (part)	02/14/19	J		
296.					Distributed (part)	03/14/19	J		
297.					Distributed (part)	05/08/19	J		
298.					Distributed (part)	07/19/19	J		
299.					Distributed (part)	08/20/19	J		
300.					Distributed (part)	08/29/19	J		
301.					Distributed (part)	09/09/19	J		
302.					Distributed (part)	09/20/19	J		
303.					Distributed (part)	12/09/19	J		
304. -Flex Waz (1)		None	J	U	Distributed (part)	11/12/19	J		
305.					Distributed (part)	11/22/19	J		
306. Certain LLC 2/54 (1% owner in 2/54LP) (1)		None	K	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)	(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. IRA #1 H									
308. -Vanguard Admiral Fund Treasury M/M - Mutual Fund	A	Dividend	J	T					
309. -Vanguard Prime M/M - Mutual Fund	A	Dividend	J	T					
310. -Vanguard 500 Index Fund	D	Dividend	O	T					
311. -Vanguard S&P 500 Index ETF	D	Dividend	O	T					
312. -Vanguard Federal Money Market Fund	D	Dividend	O	T					
313. IRA #2 H									
314. -iShares Core High Dividend - ETF	E	Dividend	P1	T					
315. -KMI - Common Stock	E	Dividend			Sold	12/04/19	O		
316. -Oaktree - Units	F	Distribution			Sold (part)	05/09/19	M		
317.					Sold	05/13/19	O		
318. -RDSB - ADR	F	Dividend			Sold	12/04/19	P1	G	
319. -Vanguard 500 Index Fund	E	Dividend	P1	T	Distributed (part)	12/02/19	P1		
320.					Distributed (part)	12/04/19	P1		
321.					Buy (add'l)	12/05/19	P1		
322. -Vanguard S&P 500 Index ETF	F	Dividend	P1	T	Buy (add'l)	07/22/19	M		
323. -Vanguard Federal Money Market Fund	D	Dividend	K	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)	(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)
324. -WRK-Common	D	Dividend	O	T	Buy	5/22/19	K		
325.					Buy (add'l)	05/23/19	M		
326.					Buy (add'l)	05/04/19	M		
327.					Buy (add'l)	06/05/19	M		
328. #2 Trust (R8) H									
329. -Merrill Lynch Reserves	A	Interest	M	T					
330. -iShares US Consumer Goods - ETF	E	Dividend	O	T					
331. -Vanguard Tax-Managed Capital Appreciation - Mutual Fund	E	Dividend	P1	T					
332. -Vanguard Admiral Fund Treasury - Mutual Fund	A	Dividend	J	T					
333. -Vanguard Muncipal M/M - Mutual Fund	A	Dividend	J	T					
334. -Vanguard Federal M/M - Mutual Fund	B	Dividend	M	T					
335. -Certain Limited Partners 2/54 H									
336. -Elliott Associates, L.P. (1)		None	P1	U					
337.									
338.									
339.									

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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ROSENTHAL, LEE H.

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

1) Private entities including private company investment partnerships. For private entities, valuation is based on net book value. For such entities, valuation (Column C(2)) is based on capital account as set forth on form K-1 and income and gain is included (to the extent distributed) in cash paid or received (as described below) under Column D(3) and not in Column B and/or Column D(4). [REDACTED] entities' values in Column D(2) are listed as of year-end notwithstanding when distribution was made.

(a) In connection with Footnote (1) private company investment partnerships, in absence of receipt of K-1 by filer by filing date, no information is provided as to gross value in Column C(2).

(2) Purchase and sale price of regular interest paying bonds excludes accrued interest. Interest income on regular interest paying bonds excludes accrued interest bought or sold. Gain indicated on redeemed bonds represents only the redemption amount (and premium, if any) in excess of principal amount. Bond premium or discount at purchase is assumed to be fully amortized for purposes of calculating gain or loss on sale, redemption or maturity on regular interest paying bonds, and such amortization does not affect interest reported annually.

(3) No interest income is included in Interest Income Column B(1) on zero coupon bonds. Total to date accreted interest for zero coupon bonds is included in Value Column C(1). On maturity of zero coupon bonds, total accreted interest is included in Value Column D(3). On maturity, redemption, or sale of zero coupon bonds, Value Column D(3) is the maturity value, redemption price, or sales price and Gain Column D(4) reflects the difference between the maturity value, redemption price, or sales price and the original cost.

(4) All mutual fund reinvested dividends, interest and capital gains are not separately shown as new purchases, but are included in the end of period (Column C(2)) values. All unreinvested distributions from mutual funds (dividends, interest and capital gains) are included in Column B(1). Money market mutual funds set forth aggregate dividend/interest paid for year and end of year value only.

(5) Municipal and U.S. Treasury bond values reflected in Value Column C(2) are based on market value.

(6) No transaction value or gain or loss is reported on non-taxable exchanges of one security for another or spin-offs of securities or stock dividends. If publicly traded, the value as of the date of the transaction when such security is received is reflected in Column C(1) Gross Value. In instances noted in first sentence, any gain is reported only when the new security is sold.

(7) Restricted stock is not valued during restriction period. After restrictions lapse, restricted stock is reflected as owned shares. A "buy" transaction is reflected in Section (D) with the date and value of the vested stock.

(8) Oil and Gas interests – value not known to filer.

(9) Private company – value not known to filer.

(10) Inadvertently omitted in prior year report.

(11) Amounts for each portfolio company are aggregated values for the direct ownership of each entity as well as indirectly through other [REDACTED] entities and are shown in Column C(2). Column D(3) reflects cash paid or received for each [REDACTED] Portfolio Company. Income and gain is included (to the extent distributed) in this value.

(12) Represents a limited partnership or LLC investment in a real estate project or projects. All income noted in Column B(1) is effectively net rental income.

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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/ **LEE H. ROSENTHAL**

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

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