

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>ROSENTHAL, LEE H.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S.D.C.-S.D.TX                                                                                                                                                                                                                                   | <b>3. Date of Report</b><br><br>08/9/2019                        |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S.DISTRICT JUDGE-ACTIVE                                                     | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>12/31/2018 |
| <b>7. Chambers or Office Address</b><br><br>515 RUSK<br>ROOM 11535<br>HOUSTON, TEXAS 77002                                                                                                                |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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><br>(yours, not spouse's) |
|-------------|------------------------------------------|----------------------------------------|
| 1. 2018     | NATIONAL BOARD OF BAR EXAMINERS, WRITING | \$7,000.00                             |
| 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. 2018     | [REDACTED] : DIRECTOR'S FEES      |
| 2. 2018     | [REDACTED] : PARTNER DISTRIBUTION |
| 3. 2018     | [REDACTED] : DIRECTOR'S FEES      |
| 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. | AMERICAN LAW INSTITUTE               | JANUARY 17-19, 2018  | PHILADELPHIA, PA | ATTEND ALI COUNCIL MEETING                                         | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 2. | FORDHAM LAW SCHOOL                   | FEBRUARY 22-24, 2018 | NEW YORK, NY     | FORDHAM LAW REVIEW SYMPOSIUM                                       | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 3. | NATIONAL CONFERENCE OF BAR EXAMINERS | APRIL 19-22, 2018    | RICHMOND, VA     | NATIONAL CONFERENCE OF BAR EXAMINERS                               | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 4. | DUKE LAW SCHOOL                      | MAY 23-25, 2018      | DURHAM, NC       | FACULTY AT DUKE JUDICIAL STUDIES (DUKE MASTER OF JUDICIAL STUDIES) | LODGING, MEALS, TRANSPORTATION AND AIRFARE |

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|     |                                                                   |                     |                  |                                                                                       |                                            |
|-----|-------------------------------------------------------------------|---------------------|------------------|---------------------------------------------------------------------------------------|--------------------------------------------|
| 5.  | DUKE LAW SCHOOL                                                   | MAY 30-31, 2018     | DURHAM, NC       | FACULTY AT DUKE JUDICIAL STUDIES (DUKE MASTER OF JUDICIAL STUDIES)                    | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 6.  | INSTITUTE FO THE ADVANCEMENT OF THE AMERICAN LEGAL SYSTEM (IAALS) | AUGUST 28-30, 2018  | DENVER, CO       | IAALS NATURAL DISASTERS PROTOCOLS COMMITTEE MEETING                                   | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 7.  | NATIONAL CONFERENCE OF BAR EXAMINERS                              | SEPTEMBER 6-9, 2018 | MINNEAPOLIS, MN  | NATIONAL CONFERENCE OF BAR EXAMINERS                                                  | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 8.  | AMERICAN LAW INSTITUTE                                            | OCTOBER 11-12, 2018 | PHILADELPHIA, PA | ALI MODEL PENAL CODE: SEXUAL ASSAULT AND RELATED OFFENSES ADVISERS AND MEMBERS CONSUL | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 9.  | AMERICAN LAW INSTITUTE                                            | OCTOBER 17-19, 2018 | NEW YORK, NY     | ALI OCTOBER COUNCIL MEETING                                                           | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 10. | AMERICAN LAW INSTITUTE                                            | NOVEMBER 8-9, 2019  | PHILADEPHIA, PA  | ALI - RESTATEMENT OF THE LAW THIRD, CONFLICTS OF LAW PROJECT MEETING                  | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 11. | IAALS                                                             | DECEMBER 2-4, 2018  | DENVER, CO       | IAALS NATURAL DISASTERS PROTOCOLS COMMITTEE MEETING                                   | LODGING, MEALS, TRANSPORTATION AND AIRFARE |
| 12. |                                                                   |                     |                  |                                                                                       |                                            |
| 13. |                                                                   |                     |                  |                                                                                       |                                            |
| 14. |                                                                   |                     |                  |                                                                                       |                                            |
| 15. |                                                                   |                     |                  |                                                                                       |                                            |
| 16. |                                                                   |                     |                  |                                                                                       |                                            |
| 17. |                                                                   |                     |                  |                                                                                       |                                            |
| 18. |                                                                   |                     |                  |                                                                                       |                                            |
| 19. |                                                                   |                     |                  |                                                                                       |                                            |
| 20. |                                                                   |                     |                  |                                                                                       |                                            |
| 21. |                                                                   |                     |                  |                                                                                       |                                            |
| 22. |                                                                   |                     |                  |                                                                                       |                                            |
| 23. |                                                                   |                     |                  |                                                                                       |                                            |
| 24. |                                                                   |                     |                  |                                                                                       |                                            |
| 25. |                                                                   |                     |                  |                                                                                       |                                            |
| 26. |                                                                   |                     |                  |                                                                                       |                                            |

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|--------------------------|----------------|
| ROSENTHAL, LEE H.        | 08/9/2019      |

27.
28.

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

☒ NONE (No reportable gifts.)

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

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

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

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Name of Person Reporting

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Big Sandy, TX ISD, 5.0% due 02/15/2039                                                                                  | E                                      | Interest                                      | P1                                             | T                                         | Buy                                             | 05/17/18                | P1                              |                                |                                                                   |
| 2. Boise-Kuna, IA 6.3% due 6/1/2031                                                                                        | E                                      | Interest                                      |                                                |                                           | Sold                                            | 06/01/18                | O                               |                                |                                                                   |
| 3. Brazos Cty, TX 5.00% due 9/1/25                                                                                         | D                                      | Interest                                      |                                                |                                           | Sold                                            | 09/04/18                | N                               |                                |                                                                   |
| 4. Butler Cnty, PA Hosp Auth, 7.250% due 07/01/2039                                                                        |                                        | None                                          | P1                                             | T                                         | Buy                                             | 10/18/18                | P1                              |                                |                                                                   |
| 5. Dallas, TX Rapid Trnst Sales Tax, 5.250% due 12/01/2043                                                                 | E                                      | Interest                                      |                                                |                                           | Buy                                             | 06/28/18                | P1                              |                                |                                                                   |
| 6.                                                                                                                         |                                        |                                               |                                                |                                           | Sold                                            | 12/03/18                | O                               |                                |                                                                   |
| 7. Dauphin Cnty, PA Auth HlthSys, 6.0% due 06/01/2029                                                                      | E                                      | Interest                                      | P1                                             | T                                         | Buy                                             | 10/15/18                | P1                              |                                |                                                                   |
| 8. Goodyear AZ PI 6.0% due 7/1/31                                                                                          | F                                      | Interest                                      |                                                |                                           | Sold                                            | 07/02/18                | P1                              |                                |                                                                   |
| 9. Grand Prairie, TX ISD 0.00% due 8/15/33                                                                                 |                                        | None                                          |                                                |                                           | Sold                                            | 08/15/18                | N                               | G                              |                                                                   |
| 10. Grapevine-Colleyville ISD 0.00% due 8/15/23                                                                            |                                        | None                                          | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Harris Cty, TX, 5.00% due 10/1/19                                                                                      | D                                      | Interest                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Harris Cty, TX, 5.75% due 10/1/20                                                                                      | D                                      | Interest                                      |                                                |                                           | Sold                                            | 10/01/18                | M                               |                                |                                                                   |
| 13. HBR Point CT Infrastructure, 7.875% due 04/01/39                                                                       | E                                      | Interest                                      | O                                              | T                                         | Buy                                             | 07/11/18                | P1                              |                                |                                                                   |
| 14. Houston, TX Pub Impt 5.00% due 3/1/20                                                                                  | D                                      | Interest                                      |                                                |                                           | Sold                                            | 10/01/18                | M                               | A                              |                                                                   |
| 15. IL St Fin Auth Rev Ref-KISH Health 5.75% due 10/01/2028                                                                | E                                      | Interest                                      |                                                |                                           | Buy                                             | 05/07/18                | P1                              |                                |                                                                   |
| 16.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/01/18                | P1                              |                                |                                                                   |
| 17. IL Fin Auth Silver Cross Med Ctrs, 7%, due 8/15/2044                                                                   | G                                      | Interest                                      | P1                                             | T                                         | Buy                                             | 01/30/18                | P1                              |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/26/18                | P1                              |                                |                                                                   |
| 19. IL St Fin Auth Rev Il Rush Univ Med,<br>6.625% due 11/01/39                                                            | E                                      | Interest                                      | P1                                             | T                                         | Buy                                             | 10/10/18                | P1                              |                                |                                                                   |
| 20. KY St Econ Dev Fin Auth, 5.375% due<br>8/15/2024                                                                       | D                                      | Interest                                      |                                                |                                           | Buy                                             | 05/16/18                | N                               |                                |                                                                   |
| 21.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 08/15/18                | N                               |                                |                                                                   |
| 22. KY St Econ Dev Fin Auth, 5.625% due<br>8/15/2027                                                                       | E                                      | Interest                                      |                                                |                                           | Buy                                             | 05/16/18                | O                               |                                |                                                                   |
| 23.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 08/15/18                | O                               |                                |                                                                   |
| 24. LA St Ctzn Ppty Ins Corp 6.75% due<br>6/1/2026                                                                         | F                                      | Interest                                      |                                                |                                           | Sold                                            | 06/01/18                | P1                              |                                |                                                                   |
| 25. La Vernia, TX Hgr Edu Fin, 7.250% due<br>08/15/2031                                                                    | F                                      | Interest                                      | O                                              | T                                         | Buy                                             | 01/30/18                | O                               |                                |                                                                   |
| 26. Leander, TX ISD 0.00% due 8/15/21                                                                                      |                                        | None                                          | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. Lewisville, TX ISD 0.00% due 8/15/21                                                                                   |                                        | None                                          | O                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. Louisville KY Regl Arpt Auth, 5.5% due<br>07/01/2038                                                                   | E                                      | Interest                                      |                                                |                                           | Buy                                             | 05/22/18                | O                               |                                |                                                                   |
| 29.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 07/02/18                | O                               |                                |                                                                   |
| 30. Lufkin, TX Hlth Facs Dev, Memorial Hlth,<br>6.25% due 02/15/2037                                                       | E                                      | Interest                                      | P1                                             | T                                         | Buy                                             | 04/05/18                | P1                              |                                |                                                                   |
| 31. MA St Hlth & Ed 5.25% due 7/1/23                                                                                       | E                                      | Interest                                      |                                                |                                           | Sold                                            | 07/02/18                | O                               |                                |                                                                   |
| 32. MA St Rans-Ser C 2.0% due 6/25/2018                                                                                    | G                                      | Interest                                      |                                                |                                           | Sold                                            | 06/25/18                | O                               |                                |                                                                   |
| 33. NJ St Hlth Care Facs, 5.250% due<br>10/01/2038                                                                         | F                                      | Interest                                      |                                                |                                           | Buy                                             | 05/01/18                | P1                              |                                |                                                                   |
| 34.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/01/18                | P1                              |                                |                                                                   |

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

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| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. NJ St Eductnl Facs Auth Rev, 6.25% due 07/01/2037                                                                      | E                                      | Interest                                      | P1                                             | T                                         | Buy                                             | 05/29/18                | P1                              |                                |                                                                   |
| 36. OH St Hosp Fac Rev, Cleveland Clinic, 5.5% due 01/01/2039                                                              | E                                      | Interest                                      | O                                              | T                                         | Buy                                             | 06/25/18                | P1                              |                                |                                                                   |
| 37. Orange Cnty Fl Hlth Facs, 5.0% due 12/01/2032                                                                          | E                                      | Interest                                      |                                                |                                           | Buy                                             | 05/14/18                | O                               |                                |                                                                   |
| 38.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 11/15/18                | O                               |                                |                                                                   |
| 39. Richmond Co, GA Dev 6.375% due 12/01/21                                                                                |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. Snohomish Cty, WA 5.25% due 12/1/24                                                                                    | D                                      | Interest                                      |                                                |                                           | Sold                                            | 12/03/18                | M                               | D                              |                                                                   |
| 41. St of Illinois 5.00% due 6/1/22                                                                                        | D                                      | Interest                                      |                                                |                                           | Sold                                            | 10/05/18                | M                               |                                |                                                                   |
| 42. St of Washington BO 0.00% due 12/01/21                                                                                 |                                        | None                                          | O                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. Suffolk Cnty, NY TRANS, 5.0% due 7/24/2019                                                                             |                                        | None                                          | P1                                             | T                                         | Buy                                             | 12/14/18                | P1                              |                                |                                                                   |
| 44. Texas St Trans, 4.0% due 8/30/20                                                                                       | G                                      | Interest                                      | P1                                             | T                                         | Sold (part)                                     | 08/30/18                | P1                              |                                |                                                                   |
| 45. University TX Univ 5.25% due 7/1/21                                                                                    | E                                      | Interest                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. WI St Hlth & Eductnl Facs Auth Rev, 6.625% due 02/15/2039                                                              |                                        | None                                          | P1                                             | T                                         | Buy                                             | 08/17/18                | P1                              |                                |                                                                   |
| 47. JPM Chase - Checking                                                                                                   |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. HSA Bank                                                                                                               | B                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. Ally Bank                                                                                                              | D                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. Altitude Ventures Texas, LP (1)                                                                                        |                                        | None                                          | K                                              | U                                         | Buy                                             | 04/26/18                | K                               |                                |                                                                   |
| 51. American Express Bank, FSB                                                                                             | D                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. AIF V Private Investors LLC (1)                                                                                        |                                        | None                                   | J                                              | U                                  | Distributed<br>(part)                     | 12/27/18         | J                        |                         |                                                            |
| 53. AIF VI Private Investors LLC (1)                                                                                       |                                        | None                                   | L                                              | U                                  | Distributed<br>(part)                     | 04/06/18         | K                        |                         |                                                            |
| 54.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/21/18         | L                        |                         |                                                            |
| 55. AIF VII Private Investors LLC (1)                                                                                      |                                        | None                                   | M                                              | U                                  | Distributed<br>(part)                     | 01/10/18         | J                        |                         |                                                            |
| 56.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 04/06/18         | J                        |                         |                                                            |
| 57.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 07/12/18         | J                        |                         |                                                            |
| 58.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 10/05/18         | J                        |                         |                                                            |
| 59. APAX Europe VII Private Investors, LLC<br>(1)                                                                          |                                        | None                                   | K                                              | U                                  | Distributed<br>(part)                     | 01/11/18         | K                        |                         |                                                            |
| 60.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 04/12/18         | J                        |                         |                                                            |
| 61.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 06/06/18         | J                        |                         |                                                            |
| 62.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 06/29/18         | J                        |                         |                                                            |
| 63. Atlantic Trust Company, N.A.                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 64. Barclays Bank                                                                                                          | D                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 65. Bepoken (9)                                                                                                            |                                        | None                                   |                                                |                                    | Buy                                       | 05/01/18         | K                        |                         |                                                            |
| 66. BRKB-Common                                                                                                            |                                        | None                                   | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 67. Black Stone Minerals, LP common units                                                                                  | G                                      | Distribution                           | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 68. Black Stone Minerals, LP sub units                                                                                     | G                                      | Distribution                           | P1                                             | U                                  |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Brand Group Holdings, Inc.-Common                                                                                      |                                        | None                                   |                                                |                                    | Merged<br>(with line 186)                 | 09/17/18         | O                        | G                       |                                                            |
| 70. ████████.-Restricted Stock (7)                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 71. Carlyle Asia Partners II (1)                                                                                           |                                        | None                                   | J                                              | U                                  | Distributed<br>(part)                     | 02/21/18         | J                        |                         |                                                            |
| 72.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 04/06/18         | J                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 08/22/18         | J                        |                         |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 10/12/18         | J                        |                         |                                                            |
| 75. CAP IV Private Investors, LLC (1)                                                                                      |                                        | None                                   | N                                              | U                                  | Buy<br>(add'l)                            | 02/14/18         | K                        |                         |                                                            |
| 76.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/26/18         | J                        |                         |                                                            |
| 77.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/18/18         | M                        |                         |                                                            |
| 78.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/30/18         | K                        |                         |                                                            |
| 79.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 07/30/18         | J                        |                         |                                                            |
| 80.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 09/10/18         | K                        |                         |                                                            |
| 81.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 10/03/18         | J                        |                         |                                                            |
| 82.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/20/18         | K                        |                         |                                                            |
| 83. CAP V Private Investors, LLC (1)                                                                                       |                                        | None                                   | K                                              | U                                  | Buy                                       | 12/26/18         | K                        |                         |                                                            |
| 84. Carlyle Japan International Partners II, L.P.<br>(1)                                                                   |                                        | None                                   | J                                              | U                                  | Distributed<br>(part)                     | 11/18/18         | J                        |                         |                                                            |
| 85. CIT Bank                                                                                                               | D                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. CJIP II Limited, L.P. (1)                                                                                              |                                        | None                                          | J                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. CD&R Fund VII Private Investors, LLC (1)                                                                               |                                        | None                                          |                                                |                                           | Distributed<br>(part)                           | 02/20/18                | K                               |                                |                                                                   |
| 88.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 11/20/18                | J                               |                                |                                                                   |
| 89. CD&R Fund IX Private Investors, LLC (1)                                                                                |                                        | None                                          | N                                              | U                                         | Buy<br>(add'l)                                  | 06/18/18                | K                               |                                |                                                                   |
| 90.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/18/18                | K                               |                                |                                                                   |
| 91. CD&R Fund X, LP (1)                                                                                                    |                                        | None                                          | N                                              | U                                         | Buy                                             | 03/26/18                | M                               |                                |                                                                   |
| 92.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 09/12/18                | M                               |                                |                                                                   |
| 93. Consumer Staples Select Sector SPDR-ETF                                                                                | E                                      | Dividend                                      | O                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. Continuum Energy                                                                                                       | D                                      | Distribution                                  | K                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. █████-Common                                                                                                           |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 96. Discover Bank                                                                                                          | D                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 97. Emerald Marina Bay (1)                                                                                                 |                                        | None                                          | J                                              | U                                         | Distributed<br>(part)                           | 03/02/18                | M                               |                                |                                                                   |
| 98.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 04/30/18                | K                               |                                |                                                                   |
| 99.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 06/01/18                | L                               |                                |                                                                   |
| 100.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 09/24/18                | J                               |                                |                                                                   |
| 101. Encino Energy, LLC (1)                                                                                                |                                        | None                                          | M                                              | U                                         | Buy<br>(add'l)                                  | 05/01/18                | K                               |                                |                                                                   |
| 102. Energy Capital Investors Fund, LLC (1)                                                                                |                                        | None                                          | J                                              | U                                         | Distributed<br>(part)                           | 03/27/18                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

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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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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/07/18         | J                        |                         |                                                            |
| 104. Family Alignment: FA YPS LLC (1)                                                                                      |                                        | None                                   | K                                              | U                                  | Distributed<br>(part)                     | 03/07/18         | J                        |                         |                                                            |
| 105. Family Alignment: FA SPR LLC (1)                                                                                      |                                        | None                                   | K                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 106. Family Alignment: FA ASL LLC (1)                                                                                      |                                        | None                                   | M                                              | U                                  | Buy                                       | 04/18/18         | L                        |                         |                                                            |
| 107. Family Alignment: FA Trilliant LLC (1)                                                                                |                                        | None                                   | L                                              | U                                  | Buy                                       | 01/24/18         | L                        |                         |                                                            |
| 108. FDC Group McKinney, Ltd. (1)(12)                                                                                      | D                                      | Rent                                   | J                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 109. FDC Group Crawford, Ltd. (1)                                                                                          |                                        | None                                   | M                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 110. FDC Group Dunlavy, Ltd. (1)                                                                                           |                                        | None                                   | L                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 111. FDC Group Wilcrest, Ltd. (1)(12)                                                                                      | D                                      | Rent                                   | J                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 112. FDC Group Yorktown, Ltd. (1)                                                                                          |                                        | None                                   | L                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 113. FDC Group Waugh, Ltd. (1)(12)                                                                                         | E                                      | Rent                                   | M                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 114. Finger-Roxboro, Ltd.(1)(12)                                                                                           | D                                      | Rent                                   | M                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 115. Finger-VOTL, Ltd.(1)(12)                                                                                              | E                                      | Rent                                   | K                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 116. Goldman Sachs Bank                                                                                                    | D                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 117. Mt. Kellett (1)                                                                                                       |                                        | None                                   | M                                              | U                                  | Distributed<br>(part)                     | 01/29/18         | J                        |                         |                                                            |
| 118.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 06/06/18         | J                        |                         |                                                            |
| 119.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 08/22/18         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 10/02/18                | J                               |                                |                                                                   |
| 121. Mt. Kellett II (1)                                                                                                    |                                        | None                                          | M                                              | U                                         | Distributed<br>(part)                           | 08/09/18                | J                               |                                |                                                                   |
| 122.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 04/19/18                | J                               |                                |                                                                   |
| 123.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 05/22/18                | J                               |                                |                                                                   |
| 124.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 08/17/18                | J                               |                                |                                                                   |
| 125. GHR Healthcare, LLC                                                                                                   |                                        | None                                          | L                                              | U                                         | Buy<br>(add'l)                                  | 03/23/18                | J                               |                                |                                                                   |
| 126. Great Northern Midstream, LLC (1)                                                                                     |                                        | None                                          | J                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 127. Ishares Core High Dividend-ETF                                                                                        | E                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128. ██████████ (1)                                                                                                        |                                        | None                                          | J                                              | U                                         | Buy<br>(add'l)                                  | 02/01/18                | J                               |                                |                                                                   |
| 129.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/05/18                | J                               |                                |                                                                   |
| 130.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/18/18                | K                               |                                |                                                                   |
| 131. HydroEx Acquisition, LLC - Note<br>Receivable (14)                                                                    | B                                      | Interest                                      |                                                |                                           | Matured                                         | 02/21/18                | M                               |                                |                                                                   |
| 132. HydroEx Acquisition, LLC (14)                                                                                         |                                        | None                                          | M                                              | U                                         | Buy<br>(add'l)                                  | 10/11/18                | K                               |                                |                                                                   |
| 133. Ishares Global Energy-ETF                                                                                             | D                                      | Dividend                                      |                                                |                                           | Sold                                            | 08/15/18                | N                               | G                              |                                                                   |
| 134. Ishares US Consumer Goods-ETF                                                                                         | D                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 135. JP Morgan Chase Investment Account -<br>Cash                                                                          | A                                      | Dividend                                      | P2                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136. KKR 2006 Private Investors, LLC (1)(a)                                                                                |                                        | None                                          |                                                |                                           | Distributed<br>(part)                           | 03/26/18                | K                               |                                |                                                                   |

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

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

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

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 04/13/18         | J                        |                         |                                                            |
| 138.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/22/18         | J                        |                         |                                                            |
| 139.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 08/09/18         | J                        |                         |                                                            |
| 140.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 08/28/18         | J                        |                         |                                                            |
| 141.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 09/14/18         | K                        |                         |                                                            |
| 142.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 09/28/18         | J                        |                         |                                                            |
| 143.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 11/20/18         | J                        |                         |                                                            |
| 144.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/24/18         | J                        |                         |                                                            |
| 145. KKR Americas XII Private Investors (1)                                                                                |                                        | None                                   | M                                              | U                                  | Buy<br>(add'l)                            | 02/26/18         | J                        |                         |                                                            |
| 146.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/01/18         | K                        |                         |                                                            |
| 147.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/25/18         | J                        |                         |                                                            |
| 148.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/28/18         | L                        |                         |                                                            |
| 149.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/09/18         | K                        |                         |                                                            |
| 150.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/20/18         | J                        |                         |                                                            |
| 151. KMI-Common                                                                                                            | F                                      | Dividend                               | P1                                             | T                                  | Buy<br>(add'l)                            | 01/05/18         | L                        |                         |                                                            |
| 152. Merrill Lynch (CMA)                                                                                                   | D                                      | Interest                               | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 153. Milton Meisler Holdings LLC                                                                                           |                                        | None                                   | L                                              | U                                  | Buy<br>(add'l)                            | 03/18/18         | K                        |                         |                                                            |

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

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. Milton ZXP Holdings                                                                                                   |                                        | None                                          | L                                              | U                                         | Buy                                             | 02/13/18                | L                               |                                |                                                                   |
| 155. NITYA - BCH Investors LLC (1)(12)                                                                                     | G                                      | Rent                                          | J                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 156. NITYA - Legacy at Westchase Investors, LLC( 1)(12)                                                                    | E                                      | Rent                                          | K                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 157. NITYA - D2 Properties, LLC (1)(12)                                                                                    | E                                      | Rent                                          | K                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 158. NITYA - Sierra Park Investors, LLC (1)(12)                                                                            | G                                      | Rent                                          | J                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 159. NITYA - TEAI LLC (1)(12)                                                                                              | D                                      | Rent                                          | M                                              | U                                         | Buy                                             | 01/25/18                | M                               |                                |                                                                   |
| 160. NITYA - Saah Investors (1)(12)                                                                                        | C                                      | Rent                                          | L                                              | U                                         | Buy                                             | 03/27/18                | L                               |                                |                                                                   |
| 161. NITYA - A2 Apartment Investors (1)(12)                                                                                | D                                      | Rent                                          | N                                              | U                                         | Buy                                             | 07/24/18                | N                               |                                |                                                                   |
| 162. Oaktree Capital Group LLC                                                                                             | F                                      | Distribution                                  | P1                                             | T                                         | Buy<br>(add'l)                                  | 01/05/18                | M                               |                                |                                                                   |
| 163. █████ Restricted Stock (7)                                                                                            |                                        | None                                          |                                                |                                           | Closed                                          |                         |                                 |                                |                                                                   |
| 164. █████ -Common (7)                                                                                                     |                                        | None                                          | M                                              | T                                         | Buy<br>(add'l)                                  | 02/15/18                | M                               |                                |                                                                   |
| 165.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/30/18                | M                               |                                |                                                                   |
| 166.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/01/18                | M                               |                                |                                                                   |
| 167. MGI Pearl Midtown, LLC (1)(12)                                                                                        | D                                      | Rent                                          | J                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 168. MGI Pearl CityCenter, LLC (1)(12)                                                                                     | E                                      | Rent                                          | L                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 169. MGI Pearl Midtown Residences, Ltd (1)                                                                                 |                                        | None                                          | N                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 170. MGI 21Eleven Investors, LP (1)(12)                                                                                    | D                                      | Rent                                          | M                                              | U                                         | Buy                                             | 01/25/18                | M                               |                                |                                                                   |

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

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Name of Person Reporting

ROSENTHAL, LEE H.

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. Platform Partners, LLC (1)                                                                                            |                                        | None                                          | P1                                             | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 172. RDS A-ADR                                                                                                             | E                                      | Dividend                                      | O                                              | T                                         | Buy                                             | 02/13/18                | M                               |                                |                                                                   |
| 173.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 03/14/18                | M                               | B                              |                                                                   |
| 174.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 08/03/18                | N                               |                                |                                                                   |
| 175.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/09/18                | M                               |                                |                                                                   |
| 176.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/10/18                | L                               |                                |                                                                   |
| 177.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/15/18                | M                               |                                |                                                                   |
| 178.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/16/18                | L                               |                                |                                                                   |
| 179.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/20/18                | N                               |                                |                                                                   |
| 180.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/20/18                | M                               |                                |                                                                   |
| 181. RDS/B-ADR                                                                                                             | F                                      | Dividend                                      | P1                                             | T                                         | Buy<br>(add'l)                                  | 01/05/18                | M                               |                                |                                                                   |
| 182.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/13/18                | M                               |                                |                                                                   |
| 183.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/12/18                | M                               |                                |                                                                   |
| 184.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/01/18                | N                               |                                |                                                                   |
| 185.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/03/18                | N                               |                                |                                                                   |
| 186. Renasant-Common (merged with Brand Bank)                                                                              | D                                      | Dividend                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 187. Roku-Common                                                                                                           |                                        | None                                          | L                                              | T                                         | Buy                                             | 10/11/18                | M                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188. SCF-V, L.P. (1)                                                                                                       |                                        | None                                          | K                                              | U                                         | Buy<br>(add'l)                                  | 01/23/18                | J                               |                                |                                                                   |
| 189.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/20/18                | J                               |                                |                                                                   |
| 190.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/20/18                | J                               |                                |                                                                   |
| 191.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 10/15/18                | J                               |                                |                                                                   |
| 192. SCF-VI, L.P. (1)                                                                                                      |                                        | None                                          | M                                              | U                                         | Buy<br>(add'l)                                  | 01/23/18                | J                               |                                |                                                                   |
| 193.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/20/18                | J                               |                                |                                                                   |
| 194.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/20/18                | J                               |                                |                                                                   |
| 195.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 10/15/18                | J                               |                                |                                                                   |
| 196. SCF-VII, L.P. (1)                                                                                                     |                                        | None                                          | N                                              | U                                         | Buy<br>(add'l)                                  | 01/23/18                | J                               |                                |                                                                   |
| 197.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/20/18                | J                               |                                |                                                                   |
| 198.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 02/27/18                | J                               |                                |                                                                   |
| 199.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/20/18                | J                               |                                |                                                                   |
| 200.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 10/15/18                | J                               |                                |                                                                   |
| 201. SCF-VII(a), L.P. (1)                                                                                                  |                                        | None                                          | L                                              | U                                         | Buy<br>(add'l)                                  | 01/23/18                | J                               |                                |                                                                   |
| 202.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 01/25/18                | J                               |                                |                                                                   |
| 203.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/20/18                | J                               |                                |                                                                   |
| 204.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/20/18                | J                               |                                |                                                                   |

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

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/15/18         | J                        |                         |                                                            |
| 206. SCF-VII(AIV), L.P. (1)                                                                                                |                                        | None                                   | M                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 207. SCF-VIII, L.P (1)                                                                                                     |                                        | None                                   | M                                              | U                                  | Buy<br>(add'l)                            | 01/18/18         | J                        |                         |                                                            |
| 208.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 01/23/18         | J                        |                         |                                                            |
| 209.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 01/25/18         | J                        |                         |                                                            |
| 210.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/18/18         | J                        |                         |                                                            |
| 211.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/20/18         | J                        |                         |                                                            |
| 212.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/18/18         | J                        |                         |                                                            |
| 213.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/16/18         | K                        |                         |                                                            |
| 214.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/20/18         | J                        |                         |                                                            |
| 215.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/15/18         | J                        |                         |                                                            |
| 216.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/29/18         | J                        |                         |                                                            |
| 217.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/27/18         | J                        |                         |                                                            |
| 218.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | K                        |                         |                                                            |
| 219. SCF-VIII(AIV), L.P. (1)                                                                                               |                                        | None                                   | M                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 220. SCF-IX, LP (1)                                                                                                        |                                        | None                                   | L                                              | U                                  | Buy                                       | 07/06/18         | J                        |                         |                                                            |
| 221.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/27/18         | J                        |                         |                                                            |

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

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/28/18         | J                        |                         |                                                            |
| 223.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/05/18         | J                        |                         |                                                            |
| 224.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/16/18         | L                        |                         |                                                            |
| 225. SJKI-Common (13)                                                                                                      |                                        | None                                   |                                                |                                    | Merged<br>(with line 226)                 | 06/18/18         | J                        |                         |                                                            |
| 226. St John Knits Intl Inc Conv New Money<br>Zerio% Perpetual (13) Y                                                      |                                        | None                                   |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 227. SRE Properties, LP (1)(12)                                                                                            | D                                      | Rent                                   | J                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 228. Surefire Social-Convertible Pfd                                                                                       |                                        | None                                   | J                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 229. Synchrony Bank                                                                                                        | E                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 230. ██████████ (1)                                                                                                        |                                        | None                                   | M                                              | U                                  | Distributed<br>(part)                     | 12/31/18         | M                        |                         |                                                            |
| 231. ██████████ (1)                                                                                                        |                                        | None                                   | J                                              | U                                  | Buy<br>(add'l)                            | 12/31/18         | J                        |                         |                                                            |
| 232.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 233. ██████████ (1)Y                                                                                                       |                                        | None                                   | J                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 234. ██████████ (1)                                                                                                        |                                        | None                                   | K                                              | U                                  | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 235. ██████████ (1)Y                                                                                                       |                                        | None                                   | J                                              | U                                  | Buy<br>(add'l)                            | 12/31/18         | J                        |                         |                                                            |
| 236.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 237 ██████████ (1)                                                                                                         |                                        | None                                   | J                                              | U                                  | Buy<br>(add'l)                            | 12/31/18         | J                        |                         |                                                            |
| 238.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |

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

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

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

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 239. [REDACTED] (1)                                                                                                        |                                        | None                                   | K                                              | U                                  | Distributed<br>(part)                     | 12/31/18         | N                        |                         |                                                            |
| 240. [REDACTED] (1)                                                                                                        |                                        | None                                   | P1                                             | U                                  | Distributed<br>(part)                     | 12/31/18         | O                        |                         |                                                            |
| 241. [REDACTED] (1)                                                                                                        |                                        | None                                   | P2                                             | U                                  | Buy<br>(add'l)                            | 12/31/18         | J                        |                         |                                                            |
| 242.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | P2                       |                         |                                                            |
| 243. [REDACTED] (1)                                                                                                        |                                        | None                                   | M                                              | U                                  | Buy<br>(add'l)                            | 12/31/18         | L                        |                         |                                                            |
| 244.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 245. [REDACTED] (1)                                                                                                        |                                        | None                                   | J                                              | U                                  | Buy<br>(add'l)                            | 12/31/18         | L                        |                         |                                                            |
| 246.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 247. [REDACTED] (1)                                                                                                        |                                        | None                                   | P1                                             | U                                  | Buy<br>(add'l)                            | 12/31/18         | O                        |                         |                                                            |
| 248.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 249. [REDACTED] (1)                                                                                                        |                                        | None                                   | K                                              | U                                  | Distributed<br>(part)                     | 12/31/18         | P1                       |                         |                                                            |
| 250. [REDACTED] (1)                                                                                                        |                                        | None                                   | J                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 251. [REDACTED] (1)                                                                                                        |                                        | None                                   | K                                              | U                                  | Buy                                       | 12/31/18         | K                        |                         |                                                            |
| 252.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 253. [REDACTED]<br>(1)                                                                                                     |                                        | None                                   | N                                              | U                                  | Buy                                       | 12/31/18         | N                        |                         |                                                            |
| 254.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 12/31/18         | J                        |                         |                                                            |
| 255. [REDACTED]<br>(alpha sort) (11)                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

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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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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 256. [REDACTED]                                                                                                            |                                        |                                        | N                                              | U                                  | Buy                                       | 12/11/18         | N                        |                         |                                                            |
| 257. [REDACTED]                                                                                                            |                                        |                                        | N                                              | U                                  | Buy<br>(add'l)                            | 05/11/18         | L                        |                         |                                                            |
| 258.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/28/18         | K                        |                         |                                                            |
| 259. [REDACTED]                                                                                                            |                                        |                                        | N                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 260. [REDACTED]                                                                                                            |                                        |                                        | M                                              | U                                  | Buy<br>(add'l)                            | 01/19/18         | K                        |                         |                                                            |
| 261. [REDACTED]                                                                                                            |                                        |                                        | N                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 262. [REDACTED]                                                                                                            |                                        |                                        | M                                              | U                                  | Buy<br>(add'l)                            | 01/19/18         | K                        |                         |                                                            |
| 263.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/28/18         | J                        |                         |                                                            |
| 264.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/29/18         | J                        |                         |                                                            |
| 265.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/04/18         | K                        |                         |                                                            |
| 266. [REDACTED]                                                                                                            |                                        |                                        | M                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 267. [REDACTED]                                                                                                            |                                        |                                        |                                                |                                    | Sold                                      | 02/01/18         | O                        |                         |                                                            |
| 268. [REDACTED]                                                                                                            |                                        |                                        | K                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 269. [REDACTED]                                                                                                            |                                        |                                        |                                                |                                    | Sold                                      | 10/01/18         | N                        |                         |                                                            |
| 270. [REDACTED]                                                                                                            |                                        |                                        | N                                              | U                                  | Buy                                       | 11/27/18         | N                        |                         |                                                            |
| 271. [REDACTED]                                                                                                            |                                        |                                        | N                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 272. [REDACTED]                                                                                                            | A                                      | Int./Div.                              | N                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
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| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

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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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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 273. JP Morgan Chase-Checking                                                                                              |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 274. JP Morgan Chase-Checking-S                                                                                            |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 275. Vac One Note Receivable (14)                                                                                          | C                                      | Interest                               |                                                |                                    | Merged<br>(with line 132)                 | 02/21/18         | K                        |                         |                                                            |
| 276. Vanguard Municipal Money Market                                                                                       | G                                      | Dividend                               | P2                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 277. Vanguard Large Cap Index Fund Adm                                                                                     | E                                      | Dividend                               | O                                              | T                                  | Buy<br>(add'l)                            | 02/09/18         | O                        |                         |                                                            |
| 278.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 12/26/18         | O                        |                         |                                                            |
| 279. Vanguard Tax-Managed Cap Apprec-<br>Mutual Fund                                                                       | E                                      | Dividend                               | P2                                             | T                                  | Buy<br>(add'l)                            | 11/20/18         | O                        |                         |                                                            |
| 280.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/26/18         | P1                       |                         |                                                            |
| 281. Vanguard 500 Index-Mutual Fund                                                                                        | G                                      | Dividend                               | P2                                             | T                                  | Buy<br>(add'l)                            | 01/05/18         | M                        |                         |                                                            |
| 282.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 01/31/18         | N                        |                         |                                                            |
| 283.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/06/18         | O                        |                         |                                                            |
| 284.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/07/18         | N                        |                         |                                                            |
| 285.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/06/18         | M                        |                         |                                                            |
| 286.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/21/18         | M                        |                         |                                                            |
| 287.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/11/18         | N                        |                         |                                                            |
| 288.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/26/18         | M                        |                         |                                                            |
| 289.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/29/18         | M                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 290.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 12/17/18                | P1                              |                                |                                                                   |
| 291.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 12/26/18                | N                               |                                |                                                                   |
| 292. Vanguard Federal M/M                                                                                                  | E                                      | Dividend                                      | O                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 293. Vanguard Information Technology Index<br>Admiral Fund                                                                 | D                                      | Dividend                                      | O                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 294. Vanguard Total Stock Market Index<br>Admiral Fund                                                                     | D                                      | Dividend                                      |                                                |                                           | Sold                                            | 02/09/18                | O                               |                                |                                                                   |
| 295.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 12/17/18                | P1                              |                                |                                                                   |
| 296.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 12/26/18                | P1                              |                                |                                                                   |
| 297. Vanguard Developed Markets Admiral Fund                                                                               |                                        | None                                          |                                                |                                           | Buy                                             | 02/09/18                | O                               |                                |                                                                   |
| 298.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 03/06/18                | O                               |                                |                                                                   |
| 299. Vanguard European Stock Index Admiral<br>Fund                                                                         |                                        | None                                          |                                                |                                           | Buy                                             | 01/31/18                | O                               |                                |                                                                   |
| 300.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 02/09/18                | O                               |                                |                                                                   |
| 301. Vanguard Pacific Stock Index Admiral Fund                                                                             |                                        | None                                          |                                                |                                           | Buy                                             | 01/31/18                | N                               |                                |                                                                   |
| 302.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 02/09/18                | N                               |                                |                                                                   |
| 303. VETIQ Staffing LLC (1)                                                                                                |                                        | None                                          | J                                              | U                                         | Buy                                             | 02/22/18                | J                               |                                |                                                                   |
| 304. WLR Recovery IV Investors, LLC (1)                                                                                    |                                        | None                                          | K                                              | U                                         | Distributed<br>(part)                           | 03/29/18                | J                               |                                |                                                                   |
| 305.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 04/30/18                | J                               |                                |                                                                   |
| 306.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 10/16/18                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

08/9/2019

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 307. Xapp Media (9)                                                                                                        |                                        | None                                          |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 308. Zinc Oxide-SeriesA (1)                                                                                                |                                        | None                                          | M                                              | U                                         | Distributed<br>(part)                           | 08/23/18                | K                               |                                |                                                                   |
| 309. Certain LLC 1/18 (1)                                                                                                  |                                        | None                                          | J                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 310. Certain Limited Partners 1/39 (1)                                                                                     |                                        | None                                          | J                                              | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 311. Certain Limited Partners 2/54                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 312. Elliott Associates, L.P. (1)                                                                                          |                                        | None                                          | P2                                             | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 313. West Cam, L.P. (1)                                                                                                    |                                        | None                                          | J                                              | U                                         | Distributed<br>(part)                           | 04/18/18                | J                               |                                |                                                                   |
| 314. MP GEO, LLC (1)                                                                                                       |                                        | None                                          | J                                              | U                                         | Distributed<br>(part)                           | 04/06/18                | K                               |                                |                                                                   |
| 315. Midland Basin GEO, LLC (1)                                                                                            |                                        | None                                          | K                                              | U                                         | Distributed<br>(part)                           | 04/06/18                | J                               |                                |                                                                   |
| 316. Gamma Geo (1)                                                                                                         |                                        | None                                          | J                                              | U                                         | Distributed<br>(part)                           | 02/07/18                | J                               |                                |                                                                   |
| 317.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 04/06/18                | J                               |                                |                                                                   |
| 318.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 05/15/18                | J                               |                                |                                                                   |
| 319.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 06/29/18                | J                               |                                |                                                                   |
| 320.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 09/05/18                | J                               |                                |                                                                   |
| 321.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 11/30/18                | K                               |                                |                                                                   |
| 322. Flex Waz (1)                                                                                                          |                                        | None                                          | L                                              | U                                         | Distributed<br>(part)                           | 02/20/18                | L                               |                                |                                                                   |
| 323.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 03/13/18                | K                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

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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.)

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 324.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 06/19/18         | J                        |                         |                                                            |
| 325.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 07/03/18         | K                        |                         |                                                            |
| 326.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed<br>(part)                     | 11/06/18         | L                        |                         |                                                            |
| 327. Certain LLC 2/54 (1% owner in 2/54LP) (1)                                                                             |                                        | None                                   | K                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 328. IRA #1                                                                                                                |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 329. Vanguard Admiral Fund Treasury M/M -<br>Mutual Fund                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 330. Vanguard Prime M/M - Mutual Fund                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 331. Vanguard 500 Index Fund                                                                                               | D                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 332. Vanguard S&P 500 Index ETF                                                                                            | D                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 333. Vanguard Federal Money Market Fund                                                                                    | D                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 334. IRA #2                                                                                                                |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 335. Merrill Lynch Cash                                                                                                    | A                                      | Interest                               |                                                |                                    | Closed                                    | 12/28/18         | L                        |                         |                                                            |
| 336. Goldman Sachs Bank                                                                                                    |                                        | None                                   |                                                |                                    | Closed                                    | 01/01/18         | J                        |                         |                                                            |
| 337. Goldman Sachs Liberty Harbor (1)                                                                                      |                                        | None                                   |                                                |                                    | Distributed                               | 01/01/18         | J                        |                         |                                                            |
| 338. IShares Core High Dividend - ETF                                                                                      | E                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 339. KMI - Common Stock                                                                                                    | E                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 340. Oaktree - Units                                                                                                       | F                                      | Distribution                           | O                                              | T                                  |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 341. RDSB - ADR                                                                                                            | F                                      | Dividend                               | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 342. RDS/A - ADR                                                                                                           |                                        | None                                   |                                                |                                    | Sold                                      | 01/23/18         | K                        | B                       |                                                            |
| 343. SJKI - Common Stock                                                                                                   |                                        | None                                   |                                                |                                    | Merged<br>(with line 344)                 | 06/18/18         | J                        |                         |                                                            |
| 344. St John Knits Intl Inc Conv New Money<br>Zerio% Perpetual (13) Y                                                      |                                        | None                                   |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 345. Vanguard Admiral Fund Treasury M/M -<br>Mutual Fund (10)                                                              |                                        | None                                   |                                                |                                    | Closed                                    | 02/28/18         | J                        |                         |                                                            |
| 346. Vanguard 500 Index Fund                                                                                               | E                                      | Dividend                               | P1                                             | T                                  | Buy<br>(add'l)                            | 01/23/18         | M                        |                         |                                                            |
| 347. Vanguard S&P 500 Index ETF                                                                                            | F                                      | Dividend                               | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 348. Vanguard Federal Money Market Fund                                                                                    | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 349. #2 Trust (R8)                                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 350. Merrill Lynch Reserves                                                                                                | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 351. IShares US Consumer Goods - ETF                                                                                       | E                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 352. Vanguard Tax-Managed Capital<br>Appreciation - Mutual Fund                                                            | E                                      | Dividend                               | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 353. Vanguard Admiral Fund Treasury - Mutual<br>Fund                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 354. Vanguard Muncpal M/M (formerly known<br>asTax-Exempt M/M - Mutual Fund                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 355. Vanguard Federal M/M Fund                                                                                             | B                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 356. Certain Limited Partners 2/54                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 357. Elliott Associates, L.P. (1)                                                                                          |                                        | None                                   | P1                                             | 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    |                                |                        |
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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 358.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 359.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 360.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

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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). The [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. [REDACTED] resigned from the [REDACTED] board on 2/15/2018 and no further restricted shares will be awarded.
- (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 direct ownership (whether purchases or distributions or income and gain (to the extent actually distributed)) may be reflected in either the appropriate [REDACTED] entity or the line for the individually named portfolio company, or both.
- (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. Filer does not own any rental property. However, filer is invested in third party controlled partnership vehicles where the general partner invests in rental properties, sometimes in multiple locations and multiple cities.
- (13) SJKI was converted into a convertible debt with no value.
- (14) Hydro Ex has existed as a separate common stock with a note and survives after the note was paid off. Vac One was a note and was paid off.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSENTHAL, LEE H.

Date of Report

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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)**

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