

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

1. Person Reporting (last name, first, middle initial) Engelmayer, Paul A.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 12/11/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Courthouse 40 Centre Street New York, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1
2.	Trustee	Trust #2
3.	Trustee (x)	Trust #3 (x)
4.	Co-Executor (x)	Estate #2 (x)
5.	Co-Executor (y)	Estate #1 (y)

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. 2009	WilmerHale partnership agreement re interest earned on retained capital of former partners
2.	
3.	

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

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 12/18/13	Spouse's Estate Executor's Commission
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Harvard Law School	January 10-11, 2013	Cambridge, MA	Teaching Law School Class	Transportation, Meals and Lodging
2. Federal Bar Council	February 16-19, 2013	Curacao	Participation on Continuing Legal Education Panels	Transportation, Meals and Lodging
3. Harvard Law School	April 4-5, 2013	Cambridge, MA	Judging Moot Court	Transportation, Meals and Lodging
4. Harvard Law School	October 9-10, 2013	Cambridge, MA	Teaching Law School Class	Transportation, Meals and Lodging
5. Harvard Law School	November 21-22, 2013	Cambridge, MA	Teaching Law School Class	Transportation, Meals and Lodging

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

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

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

☒ NONE *(No reportable liabilities.)*

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Brokerage #1 (H)									
2. -Aberdeen Emerging Markets Instl	A	Int./Div.	L	T					
3. -Berkshire Hathaway Inc Del B		None			Sold	05/28/13	M	F	
4. -Eaton Vance Structured Emerging Markets	C	Int./Div.	N	T					
5. -Prudential Jennison Natural Resources Cl Z I		None	M	T					
6. -RS Global Natural Resources Cl Y	A	Int./Div.	J	T	Sold (part)	12/17/13	M		
7. -First Eagle Global Inst CL I	D	Int./Div.	N	T					
8. -Schwab NY AMT Tax-Free Money Fund	A	Int./Div.	K	T					
9. -Deutsche Bank AG London 307 US CMS		None	J	T					
10. -iShares S&P GSSI Nat		None	M	T	Buy	12/27/13	M		
11. Brokerage #2 (H)									
12. -Schwab NY AMT Tax-Free Money Fund	A	Int./Div.	N	T					
13. Brokerage #3 (H)									
14. -iShare DJ Utility SEC IN	C	Int./Div.			Sold (part)	01/28/13	J	A	
15.					Buy (add'l)	05/29/13	K		
16.					Sold (part)	07/01/13	M	C	
17.					Buy (add'l)	07/15/13	M		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18.					Sold (part)	07/22/13	K	A	
19.					Buy (add'l)	08/26/13	K		
20.					Sold (part)	09/16/13	M		
21.					Buy (add'l)	09/23/13	M		
22.					Sold	10/14/13	M		
23.	-iShares Dow Jones US Energy Sector	B	Int./Div.	M	T	Sold (part)	01/28/13	J	A
24.					Buy (add'l)	05/29/13	K		
25.					Buy (add'l)	07/01/13	K		
26.					Sold (part)	07/15/13	K	B	
27.					Sold (part)	07/22/13	J	B	
28.					Buy (add'l)	08/26/13	K		
29.					Buy (add'l)	09/16/13	K		
30.					Sold (part)	09/23/13	K	C	
31.					Buy (add'l)	10/14/13	K		
32.					Sold (part)	10/28/13	K	C	
33.	-iShares Tr Dow Jones US Indl Se	B	Int./Div.	M	T	Sold (part)	01/28/13	J	A
34.					Buy (add'l)	05/29/13	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	07/01/13	K		
36.					Sold (part)	07/15/13	K	C	
37.					Sold (part)	07/22/13	J	B	
38.					Buy (add'l)	08/26/13	J		
39.					Buy (add'l)	09/16/13	K		
40.					Sold (part)	09/23/13	K	C	
41.					Buy (add'l)	10/14/13	K		
42.					Sold (part)	10/28/13	K	C	
43. -Schwab NY AMT Tax-Free Money Fund	A	Int./Div.	J	T					
44. -Materials SS SPDR	C	Int./Div.	M	T	Sold (part)	01/28/13	J	A	
45.					Buy (add'l)	05/29/13	K		
46.					Buy (add'l)	07/01/13	K		
47.					Sold (part)	07/15/13	K	B	
48.					Sold (part)	07/22/13	J	B	
49.					Buy (add'l)	08/26/13	J		
50.					Buy (add'l)	09/16/13	K		
51.					Sold (part)	09/23/13	K	B	

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

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

☐ NONE (no reportable income, assets or transactions)

Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, interest)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private, include 8(a))
52.					Buy (add'l)	06/14/13	K		
53.					Sold (part)	10/28/13	K	C	
54. --Select Sector SPDR Financial	C	Int/Div.	M	T	Sold (part)	01/28/13	J	A	
55.					Buy (add'l)	05/29/13	K		
56.					Buy (add'l)	07/01/13	K		
					Sold (part)	07/22/13	K	C	
58.					Sold (part)	07/22/13	K	C	
59.					Buy (add'l)	08/26/13	K		
60.					Buy (add'l)	09/16/13	K		
61.					Sold (part)	09/23/13	K	C	
62.					Buy (add'l)	10/14/13	K		
63.					Sold (part)	10/28/13	K	C	
64. --Consumer Stap SPDR	C	Int/Div.	M	T	Sold (part)	01/28/13	J	A	
65.					Buy (add'l)	05/29/13	K		
66.					Buy (add'l)	07/01/13	K		
67.					Sold (part)	07/22/13	K	C	
68.					Sold (part)	07/22/13	J	B	

1. Income Type 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
2. Value Codes	J--\$15,000 or less	K--\$15,001--\$50,000	L--\$50,001--\$100,000	M--\$100,001--\$250,000	N--\$250,001--\$500,000
(See Columns C1 and D3)	N--\$250,001--\$500,000	O--\$500,001--\$1,000,000	P--\$1,000,001--\$5,000,000	Q--\$5,000,001--\$25,000,000	R--More than \$25,000,000
3. Asset Location Codes	U--Book Value	V--Other	W--Estimated	X--Cash	Y--Common
(See Column C2)					

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

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

A Description of Assets (including trust assets)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Code 1 (A-H)	(2) div., rent, or int.)	(1) Code 2 (J-P)	(2) Method Code 3 (Q-W)	(1) buy, sell, redemption)	(2) mm/dd/yy	(3) Code 2 (J-P)	(4) Code 1 (A-H)	(5) buyer/seller (if private transaction)
Flare 127 678 8848 4800 exempt from prior disclosure									
					Sold (part)	08/26/13	M	C	
					Buy (add'l)	10/28/13	M		
71. -Healthcare SS SPDR	B	Int./Div.			Sold (part)	01/28/13	J	A	
					Buy (add'l)	05/29/13	K		
					Sold	07/01/13	M	D	
74. -Consumers Dis SS SPDR	B	Int./Div.	M	F	Sold (part)	01/28/13	J	A	
					Buy (add'l)	05/29/13	K		
					Buy (add'l)	07/01/13	K		
					Sold (part)	07/15/13	K	C	
					Sold (part)	07/22/13	J	C	
					Buy (add'l)	08/28/13	K		
					Sold (part)	09/23/13	J	C	
82.					Buy (add'l)	10/14/13	K		
83.					Sold (part)	10/28/13	K	C	
84. -iShares Tr Dow Jones US Technology St	B	Int./Div.	M	F	Buy	01/28/13	L		
85.					Buy (add'l)	05/29/13	K		

1. Income/Gain Codes:	A - \$1,000 or less	H - \$1,000 - \$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 Method	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 filer (last, first, middle)

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of spouse and dependent children: see pp. 34-36 of filing instructions.)

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

A Investment or trust name (include full name)	B Reporting period		C Reporting period		D Transaction type, date, value, and other information				
	(1) From 1/1 to 12/31	(2) From 1/1 to 12/31	(1) From 1/1 to 12/31	(2) From 1/1 to 12/31	(1) Type of transaction	(2) Date	(3) Value	(4) Gain	(5) Other information
	(A-H) Code	(A-H) Code	(A-H) Code	(A-H) Code	(A-H) Code	(A-H) Code	(A-H) Code	(A-H) Code	(A-H) Code
86.					Buy (add'l)	07/01/13	K		
87.					Sold (part)	07/15/13	K	B	
88.					Sold (part)	07/22/13	K	A	
89.					Buy (add'l)	08/26/13	J		
90.					Buy (add'l)	09/16/13	K		
					(part)				
					Buy	10/14/13	K		
91.					Sold (part)	10/28/13	K	B	
94. -iShares Tr Dow Jones US Healthcare Se	A	Int./Div.	M	T	Buy	07/22/13	M		
95.					Buy (add'l)	08/26/13	J		
96.					Buy (add'l)	09/16/13	K		
97.					Sold (part)	09/23/13	K	A	
98.					Buy (add'l)	10/14/13	K		
99.					Sold (part)	11/25/13	K	A	
100. Brokerage (411)									
101. Acadian Emerging Markets	B	Int./Div.	M	T	Buy (add'l)	12/30/13	J		
102. -BBH Core Select N	E	Int./Div.	O	T	Buy (add'l)	01/29/13	M		

(See Columns B1 and D4)

Value Codes

(See Columns C1 and C2)

Value Codes

(See Columns C1 and C2)

Value Codes

(See Columns C1 and C2)

\$100,000 - \$150,000

\$100,000 or less

\$100,000 - \$150,000

\$100,000 or less

\$100,000 - \$150,000

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\$100,000 or less

\$100,000 - \$150,000

\$100,000 or less

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS

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

Investment or Trust	(1) Asset Class	(2) Type of Investment	(3) Value	(4) Value	(5) Type of Transaction	(6) Date	(7) Value	(8) Code	(9) Priority of Assets	(10) Priority of Assets
103.					Buy (add'l)	02/13/13	K			
104. -Berkshire Hathaway Inc Del CTA		None	P2	T	Sold (part)	05/28/13	M	G		
105. -Berkshire Hathaway Inc Del B		None	M	T						
106. -Wisdom Tree LargeCap Dividend	E	Int/Div	O	T						
107. -PIMCO Unconstrained Bond Inst CL	D	Int/Div	O	T						
108. -Investment Technology Small Business Fund CTZ		None	M	T						
109. -RS Global Natural Resources CI Y	A	Int/Div	J	T	Sold (part)	12/17/13	M			
110. -First Eagle Global Inst CL I	E	Int/Div	O	T	Buy (add'l)	01/29/13	M			
111.					Buy (add'l)	02/13/13	K			
112. -Schwab NY AMT Tax-Free Money Fund	A	Int/Div	J	T						
113. -GNMA II 000644 (3620AWD)(A)	A	Int/Div	J	T						
114. -iShares S&P GSSI Nat		None	M	T	Buy	12/27/13	L			
115. Brokerage #5 (H)										
116. -Long Island Pwr Auth Y Elec Sys Rev	C	Int/Div	M	T						
117. -Metropolitan Trans Auth NY Elec Sys	C	Int/Div	M	T						
118. -New York N Y Go Bds Subseries L-1 Fiscal	C	Int/Div	M	T						
119. -New York N Y Go Bds Ser H	C	Int/Div	M	T						

Investment or Trust

Asset Class

Type of Investment

Value

Value

Type of Transaction

Date

Value

Code

Priority of Assets

Priority of Assets

Value

Value

Type of Transaction

Date

Value

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Type of Transaction

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Name of Person Reporting

Engelmayer, Paul A.

Date of Report

12/11/2014

VII. INVESTMENTS and TRUSTS

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

A Description of Asset (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Values, in or out, of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-I)	(2) Type (e.g. div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-I)	(5) Identity of buyer/seller in private transaction
120. -New York NY City Transitional Fin Auth Rev [REDACTED]	D	Int./Div.	M	T					
121. -New York N Y City Transitional Fin [REDACTED]	C	Int./Div.			Sold	09/19/13	L		
122. -New York City Mun Wtr Fin Auth Bds [REDACTED]	C	Int./Div.			Sold	12/03/13	M		
123. -New York N Y City Transitional Fin [REDACTED]	C	Int./Div.	M	T					
124. -New York N Y City Transitional Fin [REDACTED]		Int./Div.	M	T					
125. -New York St Brdg Auth Rev Gen Rev Bds [REDACTED]	D	Int./Div.	M	T					
126. -New York St Dorm Auth Revs St [REDACTED]	C	Int./Div.	M	T					
127. -New York St Dorm Auth St Pers Income [REDACTED]	C	Int./Div.			Sold	10/24/13	M		
128. -New York St Dorm Auth Revs St [REDACTED]	C	Int./Div.	L	T					
129. -New York St Dorm Auth Revs St [REDACTED]	C	Int./Div.	M	T					
130. -New York St Dorm Auth Revs St [REDACTED]	C	Int./Div.	L	T					
131. -New York St Twy Authst Pers Income Tax [REDACTED]	B	Int./Div.	L	T					
132. -New York St Twy Authst Pers Income Tax [REDACTED]	C	Int./Div.			Sold	07/25/13	M		
133. -Port Auth N Y & N J Consolidated Bds 173 [REDACTED]	C	Int./Div.			Sold	10/23/13	M		
134. -Puerto Rico Comwlth Pub Impt Ref Bds [REDACTED]	D	Int./Div.	L	T					
135. -Puerto Rico Elec Pwr Auth Pwr [REDACTED]	C	Int./Div.	L	T					
136. -Triborough Brdg & Tunnl Auth N Y Revs 05 [REDACTED]	C	Int./Div.	L	T					

1. Income/Gain Codes (See Columns B1 and D4)	A - \$1,000 or less F - \$50,001 - \$100,000	B - \$1,001 - \$2,500 G - \$100,001 - \$1,000,000	C - \$2,501 - \$5,000 H1 - \$1,000,001 - \$5,000,000	D - \$5,001 - \$15,000 H2 - More than \$5,000,000	E - \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J - \$15,000 or less N - \$250,001 - \$500,000	K - \$15,001 - \$50,000 O - \$500,001 - \$1,000,000	L - \$50,001 - \$100,000 P1 - \$1,000,001 - \$5,000,000	M - \$100,001 - \$250,000 P2 - \$5,000,001 - \$25,000,000	
3. Asset Method Codes (See Column C5)	U - Book Value	V - Appraised Y - Other (See Column C5)	W - Estimated		

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Name of Person Reporting

Engelmaier, Paul A

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

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

A Description of Assets (including trust assets)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code J (A-H)	(2) Type (e.g., div., cont. or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. -New York St Twy Auth Gen Rev Bds	B	Int./Div.	L	T	Buy	01/24/13	L		
138. -New York St Dorm Auth St Pers Income	A	Int./Div.	L	T	Buy	09/19/13	L		
139. -New York N.Y. Gov Bds Ser. Fiscal 2014 D-1		None	M	T	Buy	09/27/13	M		
140. -New York N.Y. Gov Bds Ser. Fiscal 2014 D-1		None	M	T	Buy	10/23/13	M		
141. -New York St Dorm Auth Sales Tax Rev		None	M	T	Buy	10/24/13	M		
142. -New York City Transportation		None	M	T	Buy	12/03/13	M		
143. -Schwab NY AMT Tax-Free Money Fund	A	Int./Div.	L	T					
144. IRA #1 (H)									
145. -Alliance Emerging Markets Fund	A	Int./Div.	K	T	Sold (part)	10/23/13	K		
146. -RS Global Natural Resources Cl Y	A	Int./Div.	J	T					
147. -PNC Senior Income Cl A	B	Int./Div.			Sold	11/14/13	K	A	
148. -BBH Core Select N	A	Int./Div.	K	T	Buy	10/23/13	K		
149. -First Eagle Global Inst Cl I	B	Int./Div.	K	T	Buy	10/23/13	K		
150. -Scotl Unconstrained Bond Inst	A	Int./Div.	K	T	Buy	10/23/13	K		
151.					Buy (add'l)	11/15/13	K		
152. -Schwab Advisor Cash Reserves Fund (x)		None	J	T					
153. IRA #2 (H) (Y)									

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

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Engelmayer, Paul A.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. IRA #3 (H)									
155. -Aberdeen Emerging Markets Instl	A	Int./Div.	K	T					
156. -RS Global Natural Resources Cl Y	A	Int./Div.	J	T					
157. -ING Senior Income Cl A	B	Int./Div.			Sold	11/14/13	K	A	
158. -BBH Core Select N	A	Int./Div.	J	T	Buy	10/23/13	J		
159. -First Eagle Global Inst Cl I	A	Int./Div.	J	T	Buy	10/23/13	J		
160. -Scout Unconstrained Bond Instl	A	Int./Div.	K	T	Buy	11/15/13	K		
161. -Schwab Advisor Cash Reserves Premier Sweep (X)		None	J	T					
162. IRA #4 (H)									
163. -RS Global Natural Resources Cl Y	A	Int./Div.	K	T					
164. -ING Senior Income Cl A	D	Int./Div.			Sold	11/14/13	M		
165. -Scout Unconstrained Bond Instl	B	Int./Div.	M	T	Buy	11/18/13	M		
166. -Schwab Advisor Cash Reserves Premier Sweep (X)	A	Int./Div.	J	T					
167. IRA #5 (H)									
168. -Aberdeen Emerging Markets Instl	A	Int./Div.	K	T					
169. -ING Senior Income Cl A	C	Int./Div.			Sold	11/14/13	L	A	
170. -Scout Unconstrained Bond Instl	A	Int./Div.	L	T	Buy	11/18/13	L		

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

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Name of Person Reporting

Engelmayer, Paul A.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. -Schwab Advisor Cash Reserves Premier Sweep (x)	A	Int./Div.	J	T					
172. IRA #6 (H)									
173. -Balestra Global Ltd		None	N	T					
174. -Definitive Guardian Fund, Ltd.		None	O	T					
175. -Schwab Advisor Cash Reserves Premier Sweep		None	J	T					
176. Trust #1 (H)									
177. -Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
178. -BBH Core Select N	A	Int./Div.	K	T	Buy (add'l)	03/01/13	J		
179. -Berkshire Hathaway Inc Del B		None	L	T					
180. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	K	T					
181. -WisdomTree MidCap Dividend	A	Int./Div.	J	T					
182. -GRT Value Fund Advisor Class	A	Int./Div.	J	T					
183. -iShares Tr S&P 400 BARRA Midcap Growth	A	Int./Div.	J	T					
184. -PIMCO Unconstrained Bond Instl CL	A	Int./Div.	K	T	Buy (add'l)	03/01/13	J		
185. -Prudential Jennison Natural Resources Fund Cl Z		None	J	T					
186. -First Eagle Global Inst CL I	B	Int./Div.	K	T	Buy (add'l)	03/01/13	J		
187.					Buy (add'l)	12/17/13	J		

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

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Name of Person Reporting

Engelmayer, Paul A.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. -Schwab Municipal Money Fund Sweep Shares (X)	A	Int./Div.	J	T					
189. -Templeton Global Bond Fund Cl A	A	Int./Div.	K	T	Buy (add'l)	3/1/13	J		
190. -Virtus Premium AlphaSector CL I	B	Int./Div.	K	T	Buy (add'l)	12/30/13	J		
191. -ING Senior Income Cl A	A	Int./Div.	J	T					
192. Trust #2 (H)									
193. -Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
194. -Berkshire Hathaway Inc Del B		None	L	T					
195. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	K	T					
196. -WisdomTree MidCap Dividend	A	Int./Div.	J	T					
197. -iShares Tr S&P 400 BARRA Midcap Growth	A	Int./Div.	J	T					
198. -PIMCO Unconstrained Bond Instl CL	A	Int./Div.	K	T	Buy (add'l)	03/01/13	J		
199. -Prudential Jennison Natural Resources Fund Cl Z		None	J	T					
200. -First Eagle Global Inst CL I	A	Int./Div.	J	T	Buy (add'l)	03/01/13	J		
201. -Schwab Municipal Money Fund Sweep Shares (X)		None	J	T					
202. -Templeton Global Bond Fund Cl A	A	Int./Div.	K	T	Buy (add'l)	03/01/13	J		
203. -Virtus Premium AlphaSector CL I	A	Int./Div.	K	T					
204. -ING Senior Income Cl A	A	Int./Div.	J	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. -BBH Core Select N	A	Int./Div.	J	T	Buy	03/01/13	J		
206. UTMA #1 (H)									
207. -Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
208. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T					
209. -WisdomTree MidCap Dividend	A	Int./Div.	J	T					
210. -Prudential Jennison Natural Resources Fund CI Z		None	J	T					
211. -First Eagle Global Inst CL I	A	Int./Div.	J	T					
212. -Templeton Global Bond Fund CI A	B	Int./Div.	K	T					
213. -Schwab NY AMT Tax-Free Money Fund (X)	A	Int./Div.	J	T					
214. UTMA #2 (H)									
215. -Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
216. -Berkshire Hathaway Inc Del B		None	L	T					
217. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T					
218. -Prudential Jennison Natural Resources Fund CI Z		None	J	T					
219. -First Eagle Global Inst CL I	A	Int./Div.	K	T					
220. -Schwab NY AMT Tax-Free Money Fund (X)	A	Int./Div.	J	T					
221. UTMA #3 (H)									

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

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Engelmayer, Paul A.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. -Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
223. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T					
224. -WisdomTree MidCap Dividend	A	Int./Div.	J	T					
225. -Prudential Jennison Natural Resources Fund CI Z		None	J	T					
226. -First Eagle Global Inst CL I	A	Int./Div.	J	T					
227. -Templeton Global Bond Fund CI A	B	Int./Div.	K	T					
228. -Schwab NY AMT Tax-Free Money Fund (x)		None	J	T					
229. UTMA #4 (H)									
230. -Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
231. -Berkshire Hathaway Inc Del B		None	L	T					
232. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T					
233. -Prudential Jennison Natural Resources Fund CI Z		None	J	T					
234. -First Eagle Global Inst CL I	A	Int./Div.	K	T					
235. -Schwab NY AMT Tax-Free Money Fund (x)		None	J	T					
236. 529 Plan #1 (H)									
237. -New York Saves Growth Stock Index Portfolio		None	K	T	Sold (part)	03/05/13	K	C	
238. -New York Saves Interest Accumulation Index Portfolio		None	L	T	Buy (add'l)	03/05/13	K		

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

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

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

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

239. -New York Saves Value Stock Index Portfolio		None	K	T	Sold (part)	03/05/13	K	B	
240. -New York Saves Inflation Protected Portfolio		None	J	T	Buy	03/05/13	J		
241. 529 Plan #2 (H)									
242. -New York Saves Interest Accumulation Portfolio		None	L	T	Sold (part)	04/26/13	L		
243.					Buy (add'l)	05/10/13	L		
244. -New York Saves Mid Cap Stock Index Portfolio		None	K	T	Sold (part)	05/10/13	J	C	
245. -New York Saves Value Stock Index Portfolio		None			Sold (part)	04/26/13	J	B	
246.					Sold	05/10/13	K	D	
247. -New York Saves Growth Stock Index Portfolio		None			Buy (add'l)	04/26/13	L		
248.					Sold	05/10/13	L	C	
249. -New York Saves Inflation Protected Portfolio		None	L	T	Buy (add'l)	04/26/13	K		
250.					Buy (add'l)	05/10/13	J		
251. -New York Saves Developed Markets Income Portfolio		None	K	T	Sold (part)	05/10/13	K	D	
252. - New York Saves Aggressive Growth Portfolio (x)		None	L	T	Sold (part)	04/26/13	J	C	
253.					Buy (add'l)	05/10/13	L		
254. 529 Plan #3 (H)									
255. -New York Saves Growth Stock Index Portfolio		None			Buy (add'l)	01/14/13	J		

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

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

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

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

256.					Buy (add'l)	05/06/13	K		
257.					Sold	05/10/13	K	B	
258. -New York Saves Mid Cap Stock Index Portfolio		None	K	T	Sold (part)	05/06/13	J	C	
259.					Buy (add'l)	05/10/13	J		
260. -New York Saves Small Cap Stock Index Portfolio		None			Sold (part)	05/06/13	J	C	
261.					Sold	05/10/13	J		
262. -New York Saves Value Stock Index Portfolio		None			Buy (add'l)	01/14/13	J		
263.					Buy (add'l)	05/06/13	K		
264.					Sold	05/10/13	K	B	
265. -New York Saves Inflation Protected Portfolio		None	L	T	Buy (add'l)	01/14/13	J		
266.					Buy (add'l)	05/06/13	J		
267.					Sold (part)	05/06/13	K	C	
268.					Sold (part)	05/10/13	J	A	
269. -New York Saves Developed Markets Income Portfolio		None	K	T	Sold (part)	05/10/13	K	C	
270. -New York Interest Accumulation Portfolio (X)		None	L	T	Sold	05/06/13	J	D	
271.					Buy	05/10/13	L		
272. -New York Aggressive Growth Portfolio		None	K	T	Buy	05/10/13	K		

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

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

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

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

273. 529 Plan #4 (H)									
274. -New York Saves Growth Stock Index Portfolio		None	L	T	Buy (add'l)	01/14/13	J		
275. -New York Saves Interest Accumulation Portfolio		None	L	T					
276. -New York Saves Value Stock Index Portfolio		None	L	T	Buy (add'l)	01/14/13	J		
277. -New York Saves Inflation Protected Portfolio		None	K	T	Buy (add'l)	01/14/13	J		
278. Teachers Retirement System of NY 403(b) #1 (H)									
279. -Diversified Equity		None	M	T					
280. -Stable Value		None	L	T					
281. -International Equity		None	L	T					
282. -Inflation Protection		None	L	T					
283. Citigroup Checking Account		None	K	T					
284. Chase Checking Account		None	K	T					
285. Westchester County Real Estate Parcel #1 Westchester Co., NY		None	N	W					
286. Westchester County Real Estate Parcel #2 Westchester Co., NY		None	M	W					
287. Estate #1 (H) (Y)									
288. -HSBC Checking Account #1 (Y)									
289. Brokerage #6 (H) (Y)									

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Estate #2 - Brokerage A (H) (x)	A	Int./Div.	N	T					
291. -Apple Inc. (x)					Sold	12/17/13	J	B	
292. -Berkshire Hathaway Inc Del Cl A (x)					Sold (part)	8/02/13	M	G	
293.					Sold (part)	12/17/13	O	G	
294. -Berkshire Hathaway Inc Del Cl B New (x)									
295. -Covien PLC (x)					Sold	12/17/13	K	B	
296. -Google Inc. (x)					Sold	12/17/13	K	D	
297. -Mallinckrodt PLC (x)					Sold	12/17/13	J	A	
298. -Port Authority New York and New Jersey Bds (x)									
299. -New York St Dorm Auth Revs Rev Bds (x)									
300. -Port Auth NY and NJ Rev Bds Ser. Cons (x)									
301. -State Street Corp.(x)					Sold	12/17/13	J	A	
302. -Fidelity Municipal Money Market (x)									
303. Estate #2 - Brokerage B (H)(x)	E	Int./Div.	N	T					
304. -Dreyfus Opportunistic Small Cap Fund (x)									
305. -Dreyfus Technology Growth Fund-Cl A (x)									
306. -Dynamic Total Return Fund-Class A (x)									

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. Estate #2 - Brokerage C (H) (x)									
308. -Columbia Large Cap Growth Fund A (x)					Distributed	12/13/13	J		
309. Estate #2 - Checking Account A (H) (x)		None	K	T					
310. -Chase Checking Account (x)									
311. Estate #2 - Real Estate Parcels (H) (x)									
312. -Westchester Co Real Estate Parcel #1 Westchester Co, NY (x)		None	K	W					
313. -Westchester Co Real Estate Parcel #4 Westchester Co, NY (x)		None	N	W					
314. -Westchester Co Real Estate Parcel #5 Westchester Co, NY (x)		None	O	W					
315. -Westchester Co Real Estate Parcel #6 Westchester Co, NY (x)		None	N	W					
316. -Westchester Co Real Estate Parcel #7 Westchester Co, NY (x)		None	K	W					
317. Estate #2 - Real Estate Investment Partnerships (H)(x)									
318. -TC Albuquerque - Private Real Estate Partnership (x)		None			Distributed				Distributed to Spouse
319. TC Albuquerque - Private Real Estate Partnership (x)		None	M	T					Acquired from Estate #2
320. Brokerage #7 (H)(x)									
321. -CapitalSpring Direct Lending Partners, LP (Priv Equity)(x)		None	M	T					
322. Brokerage #8 (H) (x)									
323. -Baron Growth (x)	A	Int./Div.	K	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. -BBH Core Select N (x)	B	Int./Div.	K	T					
325. -Berkshire Hathaway Inc Del B (x)		None	M	T					
326. -BlackRock Equity Dividend I (x)	A	Int./Div.	K	T					
327. -BlackRock Global Allocation I (x)	D	Int./Div.	M	T					
328. -Cornwall NY Pub Impt Bds Ser. 2003 [REDACTED]	A	Int./Div.			Redeemed	09/03/13	K		
329. -East Hampton Twn N Ypub Impt Go Bds Ser. [REDACTED] (x)	A	Int./Div.	J	T					
330. -Fidelity Contrafund (x)	C	Int./Div.	K	T					
331. -Fidelity Low-Priced Stock Fund (x)	B	Int./Div.	K	T					
332. -Ivy Asset Strategy Cl I (x)	A	Int./Div.	M	T					
333. -New York N Y City Transitional Fin [REDACTED] (x)	A	Int./Div.	K	T					
334. -New York St Go Bds Ser. 2005 A [REDACTED] (x)	A	Int./Div.	K	T					
335. -PIMCO Total Return Fund Instl	A	Int./Div.			Sold	12/09/13	L		
336. -Royce Total Return Fund (x)	B	Int./Div.	K	T					
337. -SPDR S&P 500 ETF (x)	A	Int./Div.	K	T					
338. -SPDR S&P Midcap 400 ETF Tr Unit (x)	A	Int./Div.	K	T					
339. -St. Louis Mo Brd Ed Go Dbs Mo Direct [REDACTED] (x)		None	J	T					
340. -St. Louis Mo Brd Ed Go Dbs Mo Direct [REDACTED] (x)	A	Int./Div.	J	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. -Templeton Global Bond Fund Advisor Class (x)	B	Int./Div.	L	T					
342. -Triborough Brdg & Tuntl Auth N Y Revs 05 (x)	B	Int./Div.	K	T					
343. -Tweedy Browne Global Value Fund (x)	B	Int./Div.	K	T					
344. -Vanguard Intermediate Term Tax Exempt (x)	B	Int./Div.	L	T					
345. -Vanguard Limited Term Tax Exempt Adml Sh (x)	A	Int./Div.	K	T					
346. -Schwab NY AMT Tax-Free Money Fund (x)	A	Int./Div.	J	T					
347. IRA #7 (H) (x)	E	Int./Div.	O	T					
348. -Aberdeen Emerging Markets Instl (x)					Buy	11/06/13	M		
349. -Aluminum Co Amer Bd-B (x)					Sold	11/06/13	K		
350. -Baron Growth (x)					Sold	11/06/13	K	B	
351. -BBH Core Select N (x)					Buy	11/06/13	L		
352. -BlackRock Equity Dividend I (x)					Sold	11/06/13	K		
353. -BlackRock Global Allocation I (x)					Sold	11/06/13	M	C	
354. -Con Edison Notes (x)					Sold	11/06/13	J		
355. -Fidelity Contrafund (x)					Sold	11/06/13	K	C	
356. -Fidelity Low-Priced Stock Fund (x)					Sold	11/06/13	K	B	
357. -First Eagle Global Inst Cl I (x)					Buy	11/06/13	M		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. -Goldman Sachs Group Inc. (x)					Sold	11/06/13	K		
359. -Ivy Asset Strategy Cl I (x)					Sold	11/06/13	L	D	
360. -SPDR S&P 500 ETF (x)					Sold	11/06/13	J	A	
361. -Neuberger Berman Short Duration Bd Inv (x)					Sold	11/06/13	J		
362. -PIMCO Total Return Instl (x)					Sold	11/06/13	K		
363. -Royce Total Return Fund (x)					Sold	11/06/13	K	B	
364. -SPDR S&P 500 ETF Trust (x)					Sold	11/06/13	K	B	
365. -Scout Unconstrained Bond Instl (x)					Buy	11/11/13	N		
366. -Templeton Global Bond Fund Advisor Class (x)					Sold	11/06/13	L		
367. -Tweedy Browne Global Value Fund (x)					Sold	11/06/13	K	B	
368. -United States Treas Bds (x)					Sold	11/06/13	K		
369. -United States Treas Bds (x)					Sold	11/06/13	J		
370. -Vanguard Intermediate Term Tax Exempt Admiral (x)					Sold	11/07/13	L		
371. -Vanguard Limited Term Tax Exempt Admiral (x)					Sold	11/07/13	L		
372. -Schwab Advisor Cash Reserves Premier Sweep (x)									
373. IRA #8 (H) (x)	D	Int./Div.	M	T					
374. -BBH Core Select N (x)					Buy	10/23/13	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. -First Eagle Global Inst Cl I (x)					Buy	10/23/13	L		
376. -Ivy Asset Strategy Fund (x)					Sold	10/23/13	M	D	
377. -PIMCO Total Return Fund Instl (x)					Sold	10/23/13	L		
378. -Schwab Advisor Cash Reserves Premier Sweep (x)									
379. -Scout Unconstrained Bond Instl (x)					Buy	10/23/13	L		
380.					Buy (add'l)	10/28/13	K		
381. -SPDR S&P Midcap 400 ETF (x)					Sold	10/23/13	J	A	
382. -Vanguard Limited Term Tax Exempt Admiral (x)					Sold	10/24/13	J		
383. Trust #3 (H) (x)	D	Int./Div.	N	T					
384. -SPDR S&P 500 ETF Trust (x)									
385. -SPDR S&P Midcap 400 ETF Trust (x)									
386. -Spartan Total Market Index Fid Advantage Class (x)					Buy	6/14/13	J		
387. -Fidelity Contrafund (x)									
388. -Fidelity Low Priced Stock (x)									
389. -BBH Core Select N (x)									
390. -Baron Growth Fund Retail Shares (x)									
391. -BlackRock Equity Dividend Instl (x)									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. -BlackRock Global Allocation Fd Instl (x)									
393. -Ivy Asset Strategy Fund Cl I (x)									
394. -PIMCO Total Return Instl (x)					Sold	6/14/13	J		
395. -Royce Total Return Fd Investment Cl (x)									
396. -Templeton Global Bond Fund Advisor Class					Sold	9/26/13	J		
397. -Tweedy Browne Global Value Fund (x)									
398. -Vanguard Intermediate Tax Exempt Admiral (x)					Sold (part)	7/16/13	J		
399. -Vanguard Limitd Term Tax Exempt Admiral (x)					Sold (part)	6/14/13	J		
400.					Sold (part)	8/20/13	L		
401. -Fidelity Municipal Money Market (x)									
402. Trust #4 (H) (x)									
403. -Chase Checking Account (x)		None	J	T					
404. Westchester Co Real Estate Parcel #3 Westchester Co, NY (x)		None	M	W					
405. Westchester Co Real Estate Parcel #6 Westchester Co, NY (x)		None	N	W					

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

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

-Lines 293 to 322 have been removed. In the 2012 Report, lines 293 to 322 were marked as "Intentionally Left Blank."

-In Part I, Position 2 (Trustee of Trust #2): This position was not included on the 2012 filing, however the subsequent assets and transactions associated with Trust #2 were.

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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/ Paul A. Engelmayer

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

Committee on Financial Disclosure
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