

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

1. Person Reporting (last name, first, middle initial) McMahon, Colleen	2. Court or Organization US District Court-Southern Dis	3. Date of Report 08/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 500 Pearl Street New York, NY 10007 Chambers 640 Moynihan Courthou		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

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

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

☒ NONE (No reportable agreements.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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. 2020	CSG Systems Inc-Director Fee
2. 2020	Kohl's Department Stores Inc-Director Fee
3. 2020	Safe Bulkers Inc -Director Fee
4. 2020	Jet Blue Airways Corp-Consultant
5. 2020	Morgan Stanley-Pension Income
6. 2020	Tailwind Management LP-Partner-Guaranteed Payment

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

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

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

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Thornburg Ltd. Term Muni. Fd Nat'l	A	Dividend	K	T	Donated (part)				
2. Thornberg Value Fund Class A Mut Fd. (IRA) N/C Thornburg Small/MidC	C	Dividend	P1	T					
3. MSCP III L.P.		None	J	U					
4. (1998 300,000)		None	N	R					
5. (1998 300,000)		None	N	R					
6. Phoenix Life Ins (Trust # 1) (Whole Life Policy)	C	Dividend	M	T					
7. Northwestern Mututal Life (Trust#1) (Whole Life Policy)	E	Dividend	O	T					
8. Northwestern Mututal Life(Trust #1) (Whole Life Policy)	E	Dividend	N	T					
9. CSG Systems International Inc.Com	D	Dividend	P1	T	Buy (add'l)	09/14/20	M		
10.					Donated (part)	02/13/20	M		See Note # 5- To line 413
11. Summit Mariner, LLC		None	O	U					
12. Summit Mariner LLC/JP Morgan Checking		None	K	T					
13. Rental # 1 /JPMorgan Checking N/C JP Morgan Checking		None	J	T					See Note # 12
14. Rental # 2 (1999 \$ 900,000)	E	Rent			Sold	10/08/20	P1	H1	
15. Rental # 2/JP Morgan -Checking	A	Interest	M	T					
16. JP Morgan(Checking)-		None	O	T					
17. Vacant Land (1999 \$ 425,000)		None			Sold	12/15/20	P1	G	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-50 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 (I-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. [REDACTED] Golf Partners LLC		None	K	U					
19. JP Morgan (Checking)	A	Interest	P1	T					
20. JP Morgan Checking(Foundation #1)	A	Interest	K	T					
21. Kinderhook Capital I LP	D	Distribution	K	U					See Note # 1
22. JP Morgan Tax Free MM Premier Sweep	C	Interest	P1	T					
23. Menemsha Captial Partners Ltd		None	K	U					See Note # 2
24. Micell Technologies Inc.(Com)		None	K	T					
25. Linx Partners II LP		None	N	U	Sold (part)	11/30/20	L		
26. SFM Participation II LP		None	P1	U	Sold (part)	02/04/20	M		
27.					Sold (part)	03/02/20	K		
28.					Sold (part)	06/25/20	J		
29. Thornburg Core Growth CI A (IRA)	E	Dividend	O	T					
30. Jetblue (Com)		None	O	T	Buy (add'l)	11/03/20	P1		
31.					Sold (part)	12/08/20	P1	D	
32.					Donated (part)	03/13/20	N		See Note # 5-To line 415
33. Aisling Capital II LP		None	M	U					
34. J K & B Capital V LP		None	P1	U					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$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
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T = Cash Market

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. SEEF II LP	G	Distribution	P1	U					See Note # 1
36. Towerbrook Investors II Executive Fund LP		None			Sold (part)	11/13/20	J		
37.					Sold	12/23/20	M		
38.					Distributed	11/13/20	N		See Note # 13-To line 408
39. Trident VI LP		None	L	U	Sold (part)	04/10/20	M		
40. Kinderhook Capital Fund II LP		None	P1	U					
41. Kohls Corp (Com).	F	Dividend	P1	T	Buy (add'l)	05/19/20	L		
42. KPB Partners LP		None	P1	U					
43. Thornburg-Income Builder CI I	C	Dividend	L	T					
44. Thornburg Global Opportunity CI I	D	Dividend	M	T					
45. Thornburg CRE GWT (IRA) N/C Thornburg Small/Midcap GF	F	Dividend	O	T					
46. Ironwood Management Partners Fund II LP		None	O	U	Sold (part)	11/20/20	O		
47.					Sold (part)	12/23/20	K		
48. RGI Partners II B LP	G	Distribution	P1	U					See Note # 1
49. RGI Partners Ltd	G	Distribution	P1	U	Sold (part)	02/18/20	M		See Note # 1
50.					Sold (part)	12/23/20	P1		
51. Tailwind Capital Partners LP									See Note # 4

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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52. --Apex Companies LLC	D	Distribution			Sold	02/26/20	J		See Note # 1
53. --Oceus Networks,Inc		None			Buy (add'l)	04/22/20	N		
54.					Closed	12/31/20			See Note # 11
55. --Optimal Solutions Intergration Inc	G	Distribution	L	U					See Note # 1
56. --Cumberland Consulting Group,LLC	G	Distribution	M	U					See Note # 1
57. Tailwind Management LP	G	Distribution	P1	U	Sold (part)	12/31/20	N		See Note # 1
58. Tailwind Capital Partners (GP) LP									See Note # 4
59. --Apex Companies LLC	A	Distribution	K	U					See Note # 1
60. --Oceus Networks Inc.		None			Buy (add'l)	04/22/20	O		
61.					Closed	12/31/20			See Note # 11
62. --Optimal	G	Distribution	M	U					See Note # 1
63. --Cumberland Consulting Group LLC	F	Distribution	O	U					See Note # 1
64. Safe Bulkers Inc(Com)		None	N	T	Buy (add'l)	01/10/20	K		
65.					Buy (add'l)	04/16/20	K		
66.					Buy (add'l)	07/12/20	K		
67.					Buy (add'l)	10/18/20	K		
68. Asling Investors III LP	F	Distribution	L	U	Sold (part)	02/21/20	J		See Note # 1

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69.					Sold (part)	11/06/20	L		
70. Eastern Growth Capital II LP	F	Distribution	L	U	Sold (part)	07/30/20	L		See Note # 1
71. Eastern Growth Capital II LP(IRA)	G	Distribution	M	U	Distributed (part)	07/24/20	M		See Note # 1 & 14
72. Linx-Metaltech Co Investment LLC		None			Sold (part)	11/13/20	K		
73.					Sold	12/03/20	J		
74. Olympus Capital Asia IV LP		None	O	U					
75. Safe Bulkers Inc (Com)(IRA)		None	K	T					
76. Towerbrook Investors III Executive Fund LP		None	K	U	Sold (part)	06/10/20	L		
77. First Republic Bank (Checking)	A	Interest			Closed	05/26/20	M		
78. Kinderhook Capital Fund III LP		None			Buy (add'l)	02/14/20	K		
79.					Sold (part)	02/14/20	K		
80.					Sold	12/28/20	P1		
81. Rapid Ratings International Inc (Com)		None	P2	T					
82. Parkstone Capital Partners LLC		None	K	U					
83. UBS Bank USA Dep MM (IRA)	A	Interest	M	T					
84. Tailwind Capital Group LLC		None	K	U					
85. CSL Energy Opportunity Fd I LP		None	J	U					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. Parkstone Capital Partners II LP		None	M	U					
87. Highland Investment Group LLC	A	Distribution	J	U	Sold (part)	01/28/20	J		See Note # 1
88. Artiman Venture Fund LP		None	J	U					
89. EHP Ventures LLC	D	Distribution	O	U					See Note # 1
90. Collision Funding Partners LLC		None	N	U					
91. Figue Holdings LLC (Class B Common)	D	Distribution			Sold	12/31/20	J		See Note # 1'
92. JustFamily.Com,Inc.(Preferred Stock)		None	N	T					
93. Kenesto Corp (Preferred C)		None	P1	T					
94. MogilityCapital Fund LP		None	M	U	Sold (part)	02/06/20	J		
95. OpenFin Inc.(Preferred Stock)		None	N	T					
96. Remedy Pharmaceuticals Inc	G	Dividend	P1	T	Sold (part)	01/29/20	M		
97. Cardflight Inc (Preferred)	E	Interest	O	T	Sold (part)	01/24/20	K		
98. Gain Fitness Inc(Com)		None	M	T					
99. CMNet Inc (D/B/A iSeek Corp) Ser C (Preferred)		None	N	T					
100. Linx RE-Co-Invest LLC		None	M	U					
101. Linx III LP	G	Distribution	P1	U	Buy (add'l)	09/11/20	K		See Note # 1
102.					Sold (part)	09/11/20	K		

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

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103. Monaco Inc(Conv. Promissory Note) N/C Topia Ltd Ser D		None	O	T					
104. Romulus Capital II US Feeder LP		None	N	U					
105. Linx-Grammer Co LLC	C	Distribution	J	U	Sold (part)	01/13/20	J		See Note # 1
106.					Sold (part)	08/26/20	J		
107.					Sold (part)	09/11/20	J		
108. Tailwind Capital Partners II LP									See Note # 8
109. --Diamondback Drugs of Delaware LLC		None	K	U					
110. --Long's Drugs Inc	F	Distribution	P1	U	Sold (part)	02/12/20	K		See Note # 1
111.					Sold (part)	11/12/20	L		
112. --Colony Hardware Corp	E	Distribution	O	U	Sold (part)	10/29/20	K		See Note # 1
113.					Buy (add'l)	11/12/20	K		
114. --Lieberman Research Worldwide LLC/ (N/ C) Material	G	Distribution	P1	U	Sold (part)	01/14/20	K		See Note # 1
115.					Sold (part)	10/20/20	J		
116. --TowerCo IV Holdings LLC		None			Sold (part)	01/08/20	K		
117.					Sold	10/20/20	J		
118. --Cumming Group LLC	G	Distribution	P1	U	Sold (part)	12/18/20	N		See Note # 1
119. --Distinct Holdings Group,Inc (-dba Diversified)		None	P1	U					

1. Income Gain Codes:
(See Columns B1 and D4)

A =\$1,000 or less
F =\$50,001 - \$100,000

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000

D =\$5,001 - \$15,000
H2 =More than \$5,000,000

E =\$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000

K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000

L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000

M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q =Appraisal
U =Book Value

R =Cost (Real Estate Only)
V =Other

S =Assessment
W =Estimated

T =Cash Market

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. --MetroGistics N/C Acertus		None	P1	U					
121. --Stratix Corp		None	P1	U					
122. --AST Corporation		None	O	U					
123. --DermaRite Industires LLC		None	O	U					
124. --Edenbridge Pharmaceuticals LLC		None	P1	U					
125. --HMT Holdings Inc	G	Distribution	P1	U	Sold (part)	01/08/20	N		See Note # 1
126. --TW Lone Peak Master LLC	E	Distribution	N	U	Sold (part)	10/20/20	J		See Note # 1
127. Trust # 4									See Note # 7
128. --Principal Global Diversified Income Fd Cl A		None			Sold	01/03/20	O		
129. --Thornburg Income Builders Cl 1	G	Dividend	P1	T					
130. --Thornburg Global Opp Fd Cl 1	G	Dividend	P1	T	Sold (part)	06/15/20	N	D	
131. --Thornburg Intl Value Fd 1 (N/C) Thornburg Intl Equity FD	E	Dividend	O	T					
132. --Thornburg Limited Term Inc Cl 1	F	Dividend	P1	T	Sold (part)	12/14/20	M	D	
133. --UBS Bank USA Dep Account	B	Interest	M	T					
134. --JP Morgan Checking	A	Interest	M	T					
135. -EHP Ventures LLC	B	Distribution	M	U					See Note # 1
136. --Microsoft Corp(Com)	E	Dividend	P1	T	Sold (part)	07/24/20	M	G	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. --Safebulkers Inc		None	K	T					
138. --Martin Pharmaceuticals, Inc (Convertible Note)		None	M	T					
139. --Kinderhook Capital Fund VI LP		None	L	U	Buy (add'l)	10/05/20	K		
140. --Alliance Bernstein Holdings LP MLP	E	Distribution	N	U	Sold (part)	12/30/20	K		See Note # 1
141. --Ares Capital Corp	E	Dividend	N	T	Sold (part)	06/24/20	O		
142. --Acreto Cloud Corp (Conv Promissory Note)		None	L	T	Buy	12/21/20	L		
143. --Woolsey Pharmaceuticals Inc (Ser A Preferred)		None	M	T	Buy	02/04/20	M		
144. --Rapid Ratings Intl (Common)		None	M	T	Buy	01/02/20	N		
145. ---Tailwind Capital Partners III LP									See Note # 10
146. --Anvil/Smith Cooper		None	O	U	Buy (add'l)	02/24/20	L		
147. --Benevis Holding Corp		None			Closed	12/31/20			See Note # 11
148. --Abode Healthcare, Inc	B	Distribution			Sold	02/24/20	J		See Note # 1
149. --Convergence Technologies, Inc		None	M	U	Buy (add'l)	12/03/20	K		
150. --Loenbro LLC		None	M	U					
151. --Banner Solutions		None	M	U	Buy (add'l)	09/11/20	M		
152. --Randys Worldwide Automotive Inc		None	N	U	Buy (add'l)	09/11/20	J		
153. --Ventiv Technology		None	N	U	Buy (add'l)	06/10/20	N		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. --Invatron Systems		None	M	U	Buy (add'l)	09/11/20	M		
155. --Arrow Stream		None	M	U	Buy	12/31/20	M		
156. --EverVet		None	J	U	Buy	12/31/20	J		
157. --Anvil Debt	C	Distribution	K	U	Buy	12/03/20	K		See Note # 1
158. --TPRC		None	N	U	Buy	12/31/20	N		
159. Trust # 3									See Note # 7
160. --Thornburg Income Builders Cl 1	G	Dividend	P1	T	Sold (part)	06/15/20	M	D	
161. --Thornburg Global Opportunities Fd	F	Dividend	P1	T	Sold (part)	06/15/20	M	E	
162. --Thornburg Intl Value Fd	E	Dividend	P1	T	Sold (part)	06/15/20	M	B	
163. --UBS Bank USA -Deposit Account	A	Interest	N	T					
164. --SPC Intermex LP	G	Distribution	L	U	Sold (part)	10/06/20	N		See Note # 1
165.					Sold (part)	11/05/20	K		
166. --Kinderhook VI LP		None	K	U	Buy	10/05/20	K		
167. --Tailwind Capital Partners III LP									See Note # 10
168. -- Anvil/Smith Cooper International		None	M	U	Buy (add'l)	02/24/20	K		
169. --Benevis Holding Corp		None			Closed	12/31/20			See Note # 11
170. --Abode Healthcare, Inc	A	Distribution			Sold	02/24/20	J		See Note # 1

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. --Convergence Technologies, Inc		None	L	U	Buy (add'l)	12/03/20	K		
172. --Loenbro LLC		None	K	U					
173. --Banner Solutions		None	L	U	Buy (add'l)	09/11/20	M		
174. --Randys Worldwide Automotive Inc		None	M	U	Buy (add'l)	09/11/20	J		
175. --Ventiv Technology		None	M	U	Buy (add'l)	06/10/20	M		
176. --Invatron Systems		None	L	U	Buy (add'l)	09/11/20	K		
177. --Arrow Stream		None	L	U	Buy	12/31/20	L		
178. --EverVet		None	J	U	Buy	12/31/20	J		
179. --Anvil Debt		None	J	U	Buy	12/03/20	K		
180. --TPRC		None	M	U	Buy	12/31/20	M		
181. Tailwind Capital Partners II (GP)LP									See Note # 8
182. --Colony Hardware Corp	D	Distribution	N	U	Buy (add'l)	12/21/20	J		See Note # 1
183.					Sold (part)	12/21/20	J		
184. --Cummings Group Inc	F	Distribution	P1	U	Buy (add'l)	12/21/20	J		See Note # 1
185.					Sold (part)	12/18/20	M		
186. --Diamondback Drugs of Delaware LLC	C	Distribution	N	U					See Note # 1
187. --Distinct Holdings Group, Inc (dba Diversified)		None	P1	U					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. --Long's Drugs Inc	F	Distribution	P1	U	Sold (part)	12/20/20	J		See Note # 1
189. --Lieberman Research Worldwide LLC/(N/ C) Material	C	Distribution	P1	U	Sold (part)	12/20/20	K		See Note # 1
190. --Acertus		None	P1	U					
191. --Stratix Corp		None	P1	U					
192. --TowerCo IV Holdings LLC		None			Sold	01/08/20	J		
193. --AST Corporation		None	O	U					
194. --DermaRite Industries LLC		None	O	U					
195. --Edenbridge Pharmaceuticals LLC		None	P1	U					
196. --HMT Holdings Inc		None	O	U	Sold (part)	01/08/20	M		
197. --TW Lone Peak Master LLC	C	Distribution	N	U					See Note # 1
198. The Yard (Promissory Note)	C	Interest	L	T					
199. RGI Partners B LP	E	Distribution	N	U	Sold (part)	01/13/20	J		See Note # 1
200.					Sold (part)	12/23/20	N		
201. Radius Networks Inc (Com)		None	O	T	Buy (add'l)	12/08/20	L		
202. Safebulkers Ser D 8 % Preferred	E	Dividend	M	T					
203. ChartIQ LLC		None	N	U					
204. Transplant Genomics Inc (Convertible Note)		None			Sold	03/16/20	O	G	

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. Transplant Genomics Inc(Preferred A)		None			Sold	03/16/20	M	F	
206. Real Endpoints LLC		None	O	U					
207. Valuestream Development Lab Fund LLC		None	M	U					
208. Romulus Placester Special Opportunity Fd		None	L	U					
209. Grove Hospitality Asia GP LLC		None			Sold	01/02/20	J		
210. Grove Hospitality Europe GP LLC		None			Sold	01/02/20	J		
211. Grove Aurelis II GP LLC	E	Distribution	N	U	Sold (part)	01/13/20	J		See Note # 1
212.					Sold (part)	05/06/20	J		
213. GN WMC LLC		None			Sold	01/02/20	J		
214. Romulus Cohealo Special Opportunity Fund LP		None	M	U					
215. Safebulkers Inc (Ser C Preferred) (IRA)	D	Dividend	L	T					
216. Personalized Cancer Therapy Inc (Com) d/b/a(PERTHA)		None	O	T					
217. Romulus ELC B3 Special Opportunity LP		None	M	U					
218. Sommetrics. Inc (Preferred Ser B)		None	N	T					
219. Sensai Corp (Convertible Note)		None	M	T					
220. Cycle Pharmaceuticals LTD (Ser A Shares)		None	P1	T	Sold (part)	10/15/20	N	G	
221. Free ATM Inc (Ser A Preferred)		None	K	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Engage Simply Inc (Convertible Note)		None	K	T					
223. Build and Imagine LLC	C	Distribution	J	U	Sold (part)	12/21/20	J		See Note # 1
224. Linx-Transpro Co-Invest LLC	A	Distribution	M	U	Sold (part)	09/11/20	J		See Note # 1
225. Linx-Gullett Co-Invest LLC		None	M	U					
226. 50 Mast LLC		None	M	U					
227. AG Team Partners LLC		None	M	U					
228. AG Team Partners III LP		None	M	U					
229. CSL Energy Opp Fund II LP		None	M	U					
230. Estimize Inc (Ser B Preferred)		None	M	T					
231. Grotech Ventures III LP	G	Distribution	O	U	Buy (add'l)	01/15/20	K		See Note # 1
232.					Buy (add'l)	04/03/20	K		
233.					Buy (add'l)	09/14/20	K		
234.					Buy (add'l)	12/17/20	K		
235.					Sold (part)	05/11/20	L		
236.					Sold (part)	07/24/20	L		
237. Karma Culture LLC		None	M	U					
238. Kinderhook Capital Fund IV		None	P1	U	Buy (add'l)	12/21/20	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239.					Buy (add'l)	08/18/20	L		
240.					Sold (part)	02/21/20	P1		
241. Linx-CPT Co Invest LLC	B	Interest	L	U	Sold (part)	01/13/20	J		
242.					Sold (part)	04/17/20	J		
243.					Sold (part)	07/17/20	J		
244. Oxy Docs, Inc (Conv Promissory Note)		None	O	T	Buy (add'l)	09/17/20	L		
245. Olympus Capital Asia Fd V LP		None	O	U	Buy (add'l)	01/21/20	K		
246.					Buy (add'l)	02/20/20	L		
247.					Sold (part)	12/08/20	L		
248. Aila. (Ser A Preferred)		None	M	T					
249. Romulus Capital III (US) Feeder LP		None	P1	U					
250. Perry Lane LLC		None	N	U	Buy (add'l)	04/08/20	K		
251.					Sold (part)	03/02/20	J		
252. Slingshot Insights Inc (Conv. Promissory Note)	D	Interest	M	T					
253. TBCP Jacksonville LLC		None	J	U					
254. Terafina Inc (Conv Promissory Note)		None	O	T					
255. Highland Resort At the Peaks LLC		None	L	U	Sold (part)	01/28/20	J		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. Edward Jones Retirement MM(IRA)	A	Dividend	J	T					
257. Fidelity (Cash)	A	Interest	L	T					
258. Figue Holdings LLC		None			Sold	12/31/20	J		
259. Gain Fitness Inc(Conv Note)		None	M	T					
260. Aisling Capital IV LP	E	Distribution	P1	U	Buy (add'l)	01/03/20	K		See Note # 1
261.					Buy (add'l)	03/23/20	K		
262.					Buy (add'l)	08/10/20	K		
263.					Buy (add'l)	10/09/20	L		
264.					Buy (add'l)	10/19/20	K		
265.					Buy (add'l)	11/03/20	J		
266. Collision Funding Partners LLC (Note)		None	K	T					
267. Linx-Elite Co Invest LLC	B	Interest	M	U	Sold (part)	12/03/20	J		
268. Linx-Nebr Co Invest LLC		None	N	U					
269. Romulus Estify Sp Opportunity LP		None	M	U					
270. Romulus Growth Cogito LP		None	M	U					
271. Strategic Alternative Fund Group LLC		None	L	U					
272. Parkstone Capital Partners IV Holdings LP		None	M	U	Sold (part)	12/21/20	J		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
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

E = \$15,001 - \$50,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

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. Fulling Mills LLC		None	O	U					
274. Ram Realty IV LP		None	O	U					
275. Alpine-Greenwood LP		None			Closed	12/31/20			See Note # 11
276. BigID Inc(Conv Note)		None	M	T					
277. Lending Front Inc (Conv Note)		None	M	T					
278. Mine One GMBH (Ser A sh) (IRA)		None	M	T					
279. Relationship Capital Partners Inc (Conv Notes)		None	O	T					
280. PHRP LLC									See Note # 9
281. --Shareablee Inc (Ser A Pref)		None	P1	T					See Note # 9
282. Skyfront Corp (Note Rec)		None	K	T					
283. SPC Internex LP	G	Distribution	L	U	Sold (part)	10/06/20	N		See Note # 1
284.					Sold (part)	11/16/20	K		
285. UBS Bank USA Deposit Ac	A	Interest	K	T					
286. 312 Atlantic Ave LLC		None	M	U					
287. Flank 71 Smith LLC		None	O	U					
288. UBS Bank USA BUS ACCT(Foundation # 1)		None	L	T					
289. Cyriline Morgan (Personal Note)	C	Interest	M	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Loch Lomond Golf Club(Ser C)		None	M	T					
291. UBS Bank USA Dept Ac (IRA)	A	Interest	M	T					
292. Thornburg Global Oppy Fd CL A(IRA)	F	Dividend	O	T					
293. American Balanced Fund Inc (IRA)	E	Dividend	N	T					
294. American Fund Global Balanced (IRA)	D	Dividend	N	T					
295. Nucana PLC GBR (IRA)		None	P1	T	Sold (part)	03/05/20	M	E	
296.					Distributed (part)	11/23/20	O		See Note # 6-To line 412
297. Relationship Capital Partners (IRA) (Convertible Promissory Note)		None	L	T					
298. ERA Investor Fund 6 LP		None	M	U					
299. Groupize Inc (Ser A-2 pfd)		None	O	T	Buy (add'l)	08/13/20	M		
300. Medaptive Health Inc (Conv Prom)		None	M	T	Buy (add'l)	07/30/20	K		
301. Shiftsmart Inc (Ser AA Preferred)		None	M	T	Buy (add'l)	01/24/20	L		
302. BondCliQ Inc (Conv Promissory Note)		None	M	T					
303. Nextremity Solutions Inc (Ser B Preferred)		None	O	T					
304. TG& L Holdings LLC(Convertible Note)		None	O	T					
305. Entrepreneurs Expansion Fund III LP		None	M	U	Buy (add'l)	02/28/20	K		
306. KInderhook V LP		None	P1	U	Buy (add'l)	07/27/20	M		

1. Income Gain Codes:
(See Columns B1 and D4)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
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

3. Value Method Codes
(See Column C2)

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307.					Buy (add'l)	10/26/20	N		
308.					Sold (part)	03/23/20	P1		
309. Valuestream Ventures 2017 LLC		None	O	U	Buy (add'l)	04/20/20	L		
310.					Buy (add'l)	11/10/20	K		
311. Workbench Ventures III LLC		None	M	U	Buy (add'l)	02/14/20	K		
312.					Buy (add'l)	10/27/20	J		
313.					Buy (add'l)	12/29/20	J		
314. 71 Smith Retail Venture LLC		None	O	U	Buy (add'l)	09/30/20	L		
315. First Republic Checking	A	Interest			Closed	05/26/20	M		
316. Generation Tux (Ser D-2 Preferred)		None	M	T					
317. Seventh Sibling LLC (Promissory Note)		None	K	T					
318. RGI Recap Partners LLC	G	Distribution	P1	U	Sold (part)	01/13/20	K		See Note # 1
319.					Sold (part)	05/06/20	K		
320.					Sold (part)	12/23/20	M		
321. Parkstone Capital Partners III LP	E	Distribution	N	U	Sold (part)	11/23/20	K		See Note # 1
322. 1101 Grundy Property Owner LLC		None	O	U					
323. Adaptive Management Inc (Convertible Promissory Note)		None	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$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.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. Blue Systems A.Y. Ltd (Ordinary) DBA Gabriel Networks		None	L	T	Buy (add'l)	04/01/20	K		
325. B Hospitality Corp (Series Seed Preferred)		None	M	T	Buy (add'l)	02/11/20	L		
326. Felix Gray Inc (Ser A-1 Preferred)		None	M	T					
327. findSisterhood Inc (Convertible Promissory Note)		None	N	T					
328. LA Aloe LLC		None			Closed	12/31/20			See Note # 11
329. Linx-CTAM Co-Invest, LLC		None	M	U					
330. Plum Alley Syndicate XIII LLC		None	M	U					
331. Vitalis LLC		None	M	U					
332. Ladder Capital Corp (Com) (IRA)	E	Dividend	N	T	Buy (add'l)	03/09/20	M		
333. AG Team Partners II LP		None	M	U	Buy (add'l)	01/21/20	K		
334. Martin Pharmaceuticals Inc (Convertible Promissory Note)		None	M	T					
335. Clarke (Mortgage) N/C	E	Interest	N	T					
336. MiMeetings d/b/a 242 LLC (Convertible Promissory Note)		None	L	T					
337. Modumental Inc (Convertible Promissory Note)		None	L	T					
338. Popin Inc (Series Seed Preferred)		None			Closed	12/31/20			See Note # 11
339. Second Screen Inc (Convertible Promissory Note)		None			Sold	09/04/20	J		
340. SPC Vereco LP		None	M	U					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. Tallarium Limited (Preferred Shares)		None	N	T	Buy (add'l)	09/17/20	L		
342. The Square Foot Inc (Series A Preferred)		None	N	T					
343. xtra Chef Inc(Note)		None	M	T	Buy (add'l)	06/04/20	K		
344. EHP Ventures LLC		None	M	T					
345. Mine One Gmbh (Series B)		None	K	T					
346. Tailwind III LP									See Note # 10
347. --Anvil/Smith Cooper International		None	P1	U	Buy (add'l)	02/25/20	M		
348. --Benevis Holding Corp		None			Closed	12/31/20			See Note # 11
349. --Abode Healthcare Inc	B	Distribution			Sold	02/24/20	J		See Note # 1
350. --Convergence Technologies Inc		None	O	U	Buy (add'l)	12/14/20	M		
351. --Loenbro LLC		None	N	U					
352. --Banner Solutions		None	O	U	Buy (add'l)	09/11/20	O		
353. --Randys Worldwide Automotive Inc		None	P1	U	Buy (add'l)	09/11/20	J		
354. --Ventiv Technology		None	P1	U	Buy (add'l)	06/10/20	P1		
355. --Invatron Systems		None	O	U	Buy (add'l)	09/11/20	O		
356. --ArrowStream		None	O	U	Buy	12/31/20	O		
357. --EverVet		None	K	U	Buy	12/31/20	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. --Anvil Debt		None	M	U	Buy	12/03/20	M		
359. --TPRC		None	P1	U	Buy	12/31/20	P1		
360. Tailwind III GP LP									See Note # 10
361. -- Anvil/Smith Cooper		None	N	U	Buy (add'l)	02/25/20	J		
362. --Benevis Holding Corp		None			Closed	12/31/20			See Note # 11
363. --Abode Healthcare Inc	A	Distribution	K	U	Sold (part)	12/31/20	J		See Note # 1
364. --Convergence Technologies Inc		None	L	U					
365. --Loenbro LLC		None	L	U					
366. --Banner Solutions		None	L	U					
367. --Randys Worldwide Automotive Inc		None	M	U					
368. --Ventiv Technology		None	M	U	Buy (add'l)	06/10/20	K		
369.					Buy (add'l)	02/25/20	J		
370. --Invatron Systems		None	L	U					
371. --ArrowStream		None	L	U	Buy	12/31/20	L		
372. --EverVet		None	J	U	Buy	12/31/20	J		
373. --Anvil Debt		None	J	U	Buy	12/31/20	J		
374. --TPRC		None	M	U	Buy	12/31/20	M		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. adTheorent Inc(X)	C	Distribution			Sold	02/06/20	J		See Note # 1 & Note # 3
376. Presto (Convertible Promissory Notes)		None	N	T					
377. Airbud Technologies Inc(Seed Series Preferred)(N/C)Hydra AI		None	M	T	Buy (add'l)	08/14/20	L		
378. Aising V LP		None	P1	U	Buy (add'l)	02/06/20	M		
379.					Buy (add'l)	09/21/20	M		
380.					Buy (add'l)	10/23/20	M		
381.					Buy (add'l)	12/28/20	N		
382.					Buy (add'l)	11/30/20	L		
383.					Buy (add'l)	08/21/20	M		
384. Apteo Inc ((Series Seed 1 Preferred)		None	M	T	Buy (add'l)	12/02/20	L		
385. Ares Capital Corp (Com) (IRA)	F	Dividend	O	T	Buy (add'l)	03/09/20	M		
386.					Sold (part)	07/24/20	M		
387. EVZDRP Inc (Convertible Note)		None	K	T					
388. Flank GP Fund		None	P1	U	Buy (add'l)	06/03/20	N		
389. Linx-TGS Co-Invest LLC	C	Interest	M	U	Sold (part)	01/13/20	J		
390.					Sold (part)	04/08/20	J		
391.					Sold (part)	07/07/20	J		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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Name of Person Reporting

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392.					Sold (part)	07/20/20	J		
393.					Sold (part)	09/11/20	J		
394.					Sold (part)	10/09/20	J		
395. Braveheart Wireless Inc(Ser A Preferred)		None	M	T	Buy (add'l)	02/12/20	L		
396. Nucleus Data and Analytics Inc (Com)		None	M	T					
397. Jifiti.COM Inc (Seed Ser)		None	M	T					
398. 242 LLC DBA Event Ground Global		None	L	U	Buy (add'l)	11/13/20	K		
399. Kinderhook VI LP		None	M	U	Buy (add'l)	07/27/20	M		
400.					Sold (part)	10/15/20	L		
401. Ogilvie Family LP (Promissory Note)	E	Interest	N	T	Sold (part)	12/31/20	K		See Note # 12
402. VRMarket Data LLC (Ser B Preferred)		None	N	T					
403. Green Africa/Green White Group Limited		None	N	T	Buy (add'l)	12/23/20	M		
404. Vanguard Group (401K)									
405. --Vanguard Life Strategy Growth Inv		None	O	T	Buy (add'l)	09/18/20	M		
406.					Buy (add'l)	10/02/20	K		
407. --DFA TA Wrld ex US Core Equity Port		None			Sold	09/18/20	M		
408. Towerbrook Investors II Executive Trust	E	Distribution	N	U	Spinoff (from line 38)	11/13/20	N		See Note # 1 and Note #13

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

2. Value Codes
(See Columns C1 and D3)

Q = Appraisal
U = Book Value

3. Value Method Codes
(See Column C2)

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409. Redwood Grove Internations Mgt LLC	C	Distribution	K	U	Buy	01/16/20	K		
410.					Sold (part)	02/18/20	J		
411. UBS (Roth IRA)									
412. --Nucana PLC		None	O	T	Spinoff (from line 296)	11/23/20	O		See Note # 6
413. CSG Systems (Foundation 1)		None			Spinoff (from line 10)	03/12/20	M		See Note # 5
414.					Sold	03/12/20	M		
415. JetBlue Airway Corp (Foundation 1)		None			Spinoff (from line 32)	02/14/20	O		See Note # 5
416.					Sold	05/22/20	N		
417. Colgate- Polmolive Co (Com)		None	O	T	Buy	11/24/20	P2		
418.					Sold (part)	11/24/20	P1		
419. Proctor & Gamble Co(Com)		None	O	T	Buy	11/24/20	P2		
420.					Sold (part)	11/24/20	P1		
421. Biomage Ltd (Ordinary Shs)		None	M	T	Buy	09/09/20	M		
422. Biosymetrics Inc (Com)		None	L	T	Buy	07/01/20	L		
423. ChargingLedger Inc (Series Seed)		None	K	T	Buy	04/14/20	K		
424. Elucedra Ltd (Ordinary shares)		None	M	T	Buy	10/27/20	M		
425. Enalare Therropeutics Inc (Conv Promissory Note)		None	M	T	Buy	12/23/20	M		

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)
3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
426. Hello Hazel (Series Seed)		None	L	T	Buy	12/18/20	L		
427. Acredo Cloud Corp (Conv Promissory Note)	A	Interest	N	T	Buy	12/08/20	N		
428. Melitas Ventures Fund II LP		None	L	U	Buy	12/23/20	L		
429. Nayya Health Inc (Ser A Preferred)		None	L	T	Buy	11/13/20	L		
430. Qvale Technology Inc (Preferred Stock)		None	M	T	Buy	03/26/20	M		
431. Remus Corp IV LP		None	M	U	Buy	06/10/20	M		
432. Remus Capital Ser B II LP		None	N	U	Buy	06/10/20	N		
433. Saroras Hippo LP		None	N	U	Buy	06/26/20	N		
434. Serface Care Inc (Ser A)		None	L	T	Buy	02/25/20	L		
435. SOSV Indio Bio NY LP		None	K	U	Buy	09/01/20	K		
436. Symetry ML Inc (Com)		None	L	T	Buy	07/01/20	L		
437. Venio Holdings LLC		None	M	U	Buy	07/29/20	M		
438. Woolsey Pharmaceuticals Inc (Ser A Preferred)		None	M	T	Buy	02/04/20	M		
439. ERA Investors Fund 7 LLC		None	M	U	Buy	01/16/20	M		
440. Fieldpoint Private (IRA)									
441. --Liquid Insured Deposits	A	Dividend	K		Spinoff (from line 71)	07/24/20	M		See Note # 14
442.					Buy	08/28/20	O		See Note # 14

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

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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)
443. --Federated Hermes Kaufman Sm Cap	A	Dividend			Buy	08/31/20	K		
444.					Sold	12/07/20	K		
445. --Polen Groth Fund Inst	A	Dividend			Buy	08/31/20	L		
446.					Sold	12/07/20	L		
447. --WCM Focused Emerg Mkts		None			Buy	08/31/20	J		
448.					Sold	12/07/20	K		
449. --WCM Focused Intl Fd		None			Buy	08/31/20	K		
450.					Sold	12/07/20	K		
451. --Parnassus Core Equity FD	C	Dividend			Buy	08/31/20	K		
452.					Sold	12/04/20	K		
453. --Pimco Short Term Ins	A	Dividend	M	T	Buy	12/07/20	M		
454. --Accenture PLC		None	K	T	Buy	12/04/20	K		See Note #15-Line 454-518
455. --Abbott Labs (Com)		None	K	T	Buy	12/04/20	K		
456. --Adobe Sys Inc (Com)		None	K	T	Buy	12/04/20	K		
457. --Aligh Technology Inc (Com)		None	J	T	Buy	12/04/20	J		
458. --Alphabet Inc Cap St-CI C		None	K	T	Buy	12/04/20	K		
459. --Alphabet Inc CI A		None	J	T	Buy	12/04/20	J		

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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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)
460. --Autodesk Inc Com		None	K	T	Buy	12/04/20	K		
461. --Dollar Gen Corp Com		None	J	T	Buy	12/04/20	J		
462. --Facebook Inc Cl a		None	K	T	Buy	12/04/20	K		
463. --Gartner Inc Com		None	J	T	Buy	12/04/20	J		
464. --Illumnia Inc Com		None	J	T	Buy	12/04/20	J		
465. --Intuitive Surgical Inc Com		None	J	T	Buy	12/04/20	J		
466. --MSCI Inc Com		None	J	T	Buy	12/04/20	J		
467. ---Mastercard Inc Com		None	K	T	Buy	12/04/20	K		
468. --Microsoft Inc Com		None	K	T	Buy	12/04/20	K		
469. --Nike Cl B		None	J	T	Buy	12/04/20	J		
470. --Paypal Holdings Inc Com		None	K	T	Buy	12/04/20	K		
471. --Regeneron Pharmaceutical Inc		None	J	T	Buy	12/04/20	J		
472. --Salesforce.com inc Com		None	K	T	Buy	12/04/20	K		
473. --Servicenow Inc Com		None	K	T	Buy	12/04/20	K		
474. --Starbucks Corp Com		None	J	T	Buy	12/04/20	J		
475. --United Healthcare Group Inc Com		None	J	T	Buy	12/04/20	J		
476. --Visa Inc Com		None	K	T	Buy	12/04/20	K		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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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
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P4 = More than \$50,000,000

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P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
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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)
477. --Zoetis Inc Cl A		None	K	T	Buy	12/04/20	K		
478. --Alcon SA		None	J	T	Buy	12/03/20	J		
479. --Ferrari NV Shares		None	J	T	Buy	12/03/20	J		
480. --AIA Group Ltd		None	J	T	Buy	12/03/20	J		
481. --Adyen NV ADR		None	J	T	Buy	12/03/20	J		
482. --Amphenol Corp Cl A		None	J	T	Buy	12/03/20	J		
483. --Ansys Inc Com		None	J	T	Buy	12/03/20	J		
484. --Atlas Copco AB		None	J	T	Buy	12/03/20	J		
485. --Boston Scientific Corp		None			Buy	12/03/20	J		
486.					Sold	12/21/20	J	A	
487. --CSL Ltd		None	J	T	Buy	12/03/20	J		
488. --Canadian Natl Ry Co Com	A	Dividend	J	T	Buy	12/03/20	J		
489. --Church & Dwight Co Inc		None	J	T	Buy	12/03/20	J		
490. --Cosco Wholesale Corp Com		None	J	T	Buy	12/03/20	J		
491. --Crown Castle Inc Com	A	Dividend			Buy	12/03/20	J		
492.					Sold	12/21/20	J		
493. --Ecolab Inc Com		None	J	T	Buy	12/03/20	J		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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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

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)
494. --Fair Isaac Corp Com		None	J	T	Buy	12/03/20	J		
495. --First Republic Bank SF Com		None	J	T	Buy	12/03/20	J		
496. --Graco Inc		None	J	T	Buy	12/03/20	J		
497. --Hdfc Bk Ltd		None	J	T	Buy	12/03/20	J		
498. --Heico Corp New Cl A		None	J	T	Buy	12/03/20	J		
499. --Idexx Labs Inc Com		None	J	T	Buy	12/03/20	J		
500. --Intercontinental Exchange Inc Com	A	Dividend	J	T	Buy	12/03/20	J		
501. --LVMH Moet Hennessey LV Adr		None	J	T	Buy	12/03/20	J		
502. --Lululemon Athletica Inc Com		None	J	T	Buy	12/03/20	J		
503. --MSCI Inc Com		None	J	T	Buy	12/03/20	J		
504. --Mercadolibre Inc Com		None	K	T	Buy	12/03/20	K		
505. --Mettler-Toledo Intl Inc Com		None	J	T	Buy	12/03/20	J		
506. --Pernod Ricard S A Adr	A	Dividend	J	T	Buy	12/03/20	J		
507. --Servicenow Inc Com		None	J	T	Buy	12/03/20	J		
508. --Sherwin Williams Co Com		None	J	T	Buy	12/03/20	J		
509. --Shopify Inc Cl A		None	K	T	Buy	12/03/20	K		
510. --Stryker Corp		None	K	T	Buy	12/03/20	K		

1. Income Gain Codes:
(See Columns B1 and D4)

A=\$1,000 or less
F=\$50,001 - \$100,000
J=\$15,000 or less
N=\$250,001 - \$500,000
P3=\$25,000,001 - \$50,000,000

B=\$1,001 - \$2,500
G=\$100,001 - \$1,000,000
K=\$15,001 - \$50,000
O=\$500,001 - \$1,000,000

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

3. Value Method Codes
(See Column C2)

Q=Appraisal
U=Book Value

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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					(5) Identity of buyer/seller (if private transaction)
	(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)		
511. --Synopsis Inc		None	J	T	Buy	12/03/20	J			
512. --Taiwan Semiconductor Mfg Co		None	K	T	Buy	12/03/20	K			
513. --Tencent Hldgs Ltd ADR		None	J	T	Buy	12/03/20	J			
514. --Thermo Fisher Scientific Inc Com		None	J	T	Buy	12/03/20	J			
515. --Verisk Analytics Inc Com	A	Dividend	J	T	Buy	12/03/20	J			
516. --Visa Inc Com		None	J	T	Buy	12/03/20	J			
517. --West Pharmaceuticals Svcs Inc Com		None	J	T	Buy	12/03/20	J			
518. --Nike Inc Cl B		None	J	T	Buy	12/03/20	J			
519. Alpine Grove SV Partners LLC		None	N	U	Buy	12/24/20	N			
520. Knoema Corp (Conv Promissory Note)		None			Buy	01/21/20	K			
521.					Sold	12/02/20	L	E		
522. Menguin Inc (X)		None			Sold	06/25/20	J		See Note # 3	
523.										
524.										
525.										
526.										
527.										

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

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

Note #1

Explanation Re:Section VII ,

Item

#21,35,48,49,51,55,56,57,59,62,63,68,70,71,87,89,91,101,105,110,112,114,118,125,126,135,140,148,157,164,170,182,184,186,188,189,197,199,211,223,224,231,260,283,318,321,349,363,375,408

Investments in Limited partnerships usually contain more than one type of income. For income valuation purposes, the various amounts were combined to determine the amount code in column B(1)

The type of income in column B(2) is labeled "distribution", to denote more than one category of income indicated on schedule K-1 was received from the partnership.

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

Note # 2

Explanation Section VII

Item # 23

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

Note # 3

Explanation Section VII

Item # 375,522

Escrow income subject to various contingencies was received during 2020. The applicable investment was sold in prior years. The remaining cost of the investment was zero.

Note # 4

Explanation Section VII

Item # 51-56,58-63

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

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

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

Note # 5

Explanation Section VII

Item # 10,32,413,415

These shares were donated to Foundation # 1. This information is noted as "Donated" in Column D(1). The date the shares were donated is listed in Column D(2). The value in Column D(3) is the distributee's fair market value on the

date of the donation. The shares received by Foundation # 1 are listed as "Spinoff" in Column D(1). The date of the distribution is listed in Column D (2), and the Value of the shares listed in Column D(3) is the fair market value on the date of the distribution.

Note # 6

Explanation Section VII

Item #296,412

A portion of the assets in the UBS IRA was converted to a newly created Roth IRA account at UBS. The value reported is the fair market value at the date of the transfer.

Note # 7

Explanation Section VII

Item # 127-180

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

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

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

See Note # 8

Explanation Section VII

Item # 108-126,181-197

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

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

Note # 9

Explanation Section VIII

Item # 280,281

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

See Note # 10

Explanation Section VII

Item # 145-158,167-180,346-374

The Judge's [REDACTED] is a Partner of Tailwind Capital Partners III LP and Tailwind Capital Partners III (GP) LP. The partnerships have ownership interests in the companies listed. Due to revised reporting requirements the income and gross value at the end of the reporting period is separately listed. In addition, the purchase and sale information is also listed by underlying asset. Income may be earned but not distributed. The Limited Partnership (LP) and General Partnership (GP LP) have ownership interests in the same companies. Trust # 3 and Trust # 4 are also partners in Tailwind Capital Partners III LP. The assets that are owned by the partnership are listed in the appropriate section of the report.

See Note # 11

Explanation Section VII

Item #'s 54,61,147,169,275,328,338,348,362

These investments are worthless as of December 31, 2020. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2020. The value in Column D(3) is blank, since no value is attributed to the worthless investments.

See Note # 12

Explanation Section VIII

Item # 13,401

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

See Note # 13

Explanation Section VII

Item 38,408

The limited partnership distributed its remaining assets to a liquidating trust on 11/13/20. This type under section D(1) is denoted as a spinoff. The value of the distribution is the adjusted tax basis as reported on the partnership final k-1 for 2020. This amount was noted on D(3).

See Note # 14

Explanation Section VII

Item # 71,441

The partnership owned by the IRA distributed cash that was deposited in a newly created Fieldpoint Private IRA on 7/24/20. In addition, the Judge's [REDACTED] also received a retirement account distribution from his former employer. This amount was rolled over into the newly established IRA account.

See Note # 15

Explanation Section VII

Item # 454-518

The new Fieldpoint IRA was created as an actively managed trading account on July 24, 2020. This account was switched from a managed account to a portfolio of mutual fund investments. All of the publically traded securities that were purchased on December 3 - 4, 2020 were sold on February 2, 2021.

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IX. CERTIFICATION.

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

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

Signature: **s/ Colleen McMahon**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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