

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 10/15/2013
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 01/01/2012 to 12/31/2012
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.	Co-executor	Estate #1
2.	Trustee	Trust #1
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Harvard Law School January 10-11, 2012 Cambridge, MA Teaching Law School Class Transportation, Meals and Lodging

2. Harvard Law School October 25-26, 2012 Cambridge, MA Teaching Law School Class Transportation, Meals and Lodging

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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	Buy (add'l)	12/20/12	J		
3. -Aria Consumer Fund		None			Sold	2/29/12	N		
4. -Berkshire Hathaway Inc Del B		None	M	T	Sold (part)	11/29/12	L	D	
5. -Eaton Vance Structured Emerging Markets I	C	Int./Div.	N	T	Buy (add'l)	12/27/12	J		
6. -Prudential Jennison Natural Resources Fund Cl Z		None	M	T					
7. -RS Global Natural Resources Cl Y	A	Int./Div.	M	T	Buy	9/5/2012	M		
8.				T	Buy (add'l)	12/13/12	J		
9. -First Eagle Global Inst CL I	D	Int./Div.	N	T	Buy (add'l)	12/13/12	J		
10. -Schwab NY AMT Tax-Free Money Fund		None	L	T					
11. -ING European Bank Loan	B	Int./Div.			Sold	2/29/12	M		
12. -Ivy Global Natural Resources Fund Cl Y		None			Sold	9/4/12	M	B	
13. -MFS Emerging Markets Debt Fund Class I		None			Sold	1/25/12	K	A	
14. -Deutsche Bank AG London 307 US CMS		None	J	T					
15. Brokerage #2 (H)									
16. -Schwab NY AMT Tax-Free Money Fund		None	O	T					
17. Brokerage #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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18. -iShare DJ Utility SEC IN	A	Int./Div.	L	T	Buy	12/17/12	M		
19.					Sold (part)	12/24/12	J		
20.					Sold (part)	12/31/12	J		
21. -iShares Dow Jones US Energy Sector	A	Int./Div.	L	T	Buy	7/9/12	L		
22.					Sold (part)	10/31/12	L	D	
23.					Buy (add'l)	12/31/12	L		
24. -iShares Tr Dow Jones US Indl Se	A	Int./Div.	L	T	Buy	7/9/12	L		
25.					Buy (add'l)	10/31/12	K		
26.					Sold (part)	11/19/12	M	B	
27.					Buy (add'l)	12/10/12	M		
28.					Sold (part)	12/17/12	K	A	
29.					Sold (part)	12/24/12	K	A	
30.					Sold (part)	12/31/12	J		
31. -Schwab NY AMT Tax-Free Money Fund		None	J	T					
32. -Materials SS SPDR	A	Int./Div.	L	T	Buy	4/2/12	L		
33.					Buy (add'l)	4/20/12	K		
34.					Sold (part)	5/7/12	J		

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35.					Buy (add'l)	5/14/12	J		
36.					Sold (part)	6/11/12	J		
37.					Buy (add'l)	6/29/12	J		
38.					Sold (part)	7/2/12	L		
39.					Sold (part)	7/5/12	J		
40.					Buy (add'l)	7/9/12	L		
41.					Sold (part)	10/31/12	L	B	
42.					Buy (add'l)	11/19/12	M		
43.					Sold (part)	12/3/12	M	B	
44.					Buy (add'l)	12/24/12	L		
45.					Sold (part)	12/31/11	J	A	
46.	-Select Sector SPDR Financial	A	Int./Div.	L	T	Buy	3/26/12	L	
47.					Sold (part)	4/2/12	K		
48.					Sold (part)	4/16/12	L		
49.					Buy (add'l)	5/7/12	L		
50.					Sold (part)	5/14/12	L		
51.					Buy (add'l)	6/11/12	L		

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52.					Buy (add'l)	7/2/12	J		
53.					Sold (part)	7/9/12	K	A	
54.					Buy (add'l)	10/31/12	K		
55.					Buy (add'l)	11/19/12	K		
56.					Buy (add'l)	12/3/12	K		
57.					Sold (part)	12/10/12	K	C	
58.					Sold (part)	12/17/12	K	C	
59.					Sold (part)	12/24/12	K	B	
60.					Sold (part)	12/31/12	J	A	
61.	-Consumer Stap SPDR	B	Int./Div.	L	T	Sold (part)	1/3/2012	K	C
62.					Sold (part)	2/13/12	K	B	
63.					Sold (part)	4/2/12	K	C	
64.					Buy (add'l)	4/20/12	K		
65.					Sold (part)	5/7/12	J	B	
66.					Buy (add'l)	5/14/12	J		
67.					Sold (part)	6/11/12	J	B	
68.					Buy (add'l)	6/29/12	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
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69.					Buy (add'l)	7/2/12	J		
70.					Sold (part)	7/9/12	K	C	
71.					Buy (add'l)	10/31/12	K		
72.					Buy (add'l)	11/19/12	K		
73.					Buy (add'l)	12/3/12	K		
74.					Sold (part)	12/10/12	K	C	
75.					Sold (part)	12/17/12	K	B	
76.					Sold (part)	12/24/12	J	A	
77.					Sold (part)	12/31/12	J		
78. -Healthcare SS SPDR	B	Int./Div.	L	T	Buy	1/3/12	M		
79.					Sold (part)	2/13/12	K	A	
80.					Sold (part)	4/2/12	K	B	
81.					Buy (add'l)	4/20/12	K		
82.					Sold (part)	5/7/12	J	A	
83.					Buy (add'l)	5/14/12	J		
84.					Sold (part)	6/11/12	J	A	
85.					Buy (add'l)	6/29/12	J		

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86.					Buy (add'l)	7/2/12	J		
87.					Sold (part)	7/9/12	K	B	
88.					Buy (add'l)	10/31/12	K		
89.					Buy (add'l)	11/19/12	K		
90.					Buy (add'l)	12/3/12	K		
91.					Sold (part)	12/10/12	K	C	
92.					Sold (part)	12/17/12	K	B	
93.					Sold (part)	12/24/12	J	A	
94.					Sold (part)	12/31/12	J	A	
95. -Consumers Dis SS SPDR	A	Int./Div.	L	T	Sold (part)	1/3/12	K	A	
96.					Sold (part)	2/13/12	K	B	
97.					Sold (part)	4/2/12	K	C	
98.					Buy (add'l)	4/20/12	K		
99.					Sold (part)	5/7/12	K	B	
100.					Buy (add'l)	5/14/12	J		
101.					Sold (part)	6/11/12	J	B	
102.					Buy (add'l)	6/29/12	J		

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103.					Buy (add'l)	7/2/12	J		
104.					Sold (part)	7/9/12	K	C	
105.					Buy (add'l)	10/31/12	K		
106.					Buy (add'l)	11/19/12	K		
107.					Buy (add'l)	12/3/12	K		
108.					Sold (part)	12/10/12	K	C	
109.					Sold (part)	12/17/12	K	B	
110.					Sold (part)	12/24/12	K	B	
111.					Sold (part)	12/31/12	J	A	
112. -Select Sector SPDR Amex Industrial	A	Int./Div.			Buy	2/13/12	L		
113.					Sold (part)	3/26/12	L	A	
114.					Buy (add'l)	4/2/12	L		
115.					Sold	4/16/12	L		
116. -Select Sector SPDR Technology	A	Int./Div.			Sold (part)	1/3/12	K	A	
117.					Sold (part)	2/13/12	K	B	
118.					Sold (part)	4/2/12	K	C	
119.					Buy (add'l)	4/20/12	K		

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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)
120.					Sold (part)	5/7/12	J	B	
121.					Buy (add'l)	5/14/12	J		
122.					Sold (part)	6/11/12	J	B	
123.					Buy (add'l)	6/29/12	J		
124.					Buy (add'l)	7/2/12	J		
125.					Sold (part)	7/9/12	K	C	
126.					Sold	10/31/12	L	B	
127. -Utilities Sel SPDR	B	Int./Div.			Sold (part)	1/3/12	K	C	
128.					Sold (part)	2/13/12	J	B	
129.					Buy (add'l)	3/30/12	J		
130.					Sold (part)	4/2/12	K	B	
131.					Buy (add'l)	4/20/12	K		
132.					Sold (part)	5/7/12	J	B	
133.					Buy (add'l)	5/14/12	J		
134.					Sold (part)	6/11/12	K	B	
135.					Buy (add'l)	6/29/12	J		
136.					Buy (add'l)	7/2/12	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)
137.					Sold (part)	7/9/12	K	B	
138.					Buy (add'l)	10/31/12	K		
139.					Sold	11/19/12	L		
140. Brokerage #4 (H)									
141. -Acadian Emerging Markets	B	Int./Div.	M	T	Buy (add'l)	12/28/12	J		
142. -BBH Core Select N		None	N	T	Buy	12/20/12	N		
143. -Berkshire Hathaway Inc Del Cl A		None	P1	T	Sold (part)	12/11/12	O	G	
144. -Berkshire Hathaway Inc Del B		None	M	T	Sold (part)	2/21/12	L	F	
145.					Sold (part)	7/30/12	K	E	
146.					Sold (part)	9/11/12	K	D	
147.					Sold (part)	10/3/12	K	D	
148.					Sold (part)	11/29/12	J	D	
149. -Wisdom Tree LargeCap Dividend	E	Int./Div.	O	T					
150. -PIMCO Unconstrained Bond Instl CL	E	Int./Div.	O	T	Buy (add'l)	1/4/12	N		
151. -Prudential Jennison Natural Resources Fund Cl Z		None	M	T					
152. -RS Global Natural Resources Cl Y	A	Int./Div.	M	T	Buy	9/5/12	M		
153. -First Eagle Global Inst CL I	D	Int./Div.	N	T	Buy (add'l)	9/4/12	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) 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.					Buy (add'l)	12/13/12	J		
155.					Buy (add'l)	12/20/12	M		
156. -Schwab NY AMT Tax-Free Money Fund		None	L	T					
157. -MFS Emerging Markets Debt Fund Class I	A	Int./Div.			Sold	1/25/12	L	A	
158. -Ivy Global Natural Resources Fund Cl Y		None			Sold	9/4/12	M	B	
159. Brokerage #5 (H)									
160. -Long Island Pwr Authn Y Elec Sys Rev	A	Int./Div.	M	T	Buy	7/2/12	M		
161. -Metropolitan Transn Auth NY Rev For	B	Int./Div.	M	T	Buy	8/15/12	M		
162. -New York N Y Go Bds Subseries L-1 Fiscal	B	Int./Div.	M	T	Buy	4/13/12	M		
163. -New York N Y Go Bds Ser. H	A	Int./Div.	M	T	Buy	6/4/12	M		
164. -New York NY City Transitional Fin Auth Rev	D	Int./Div.	M	T	Buy	2/28/12	M		
165.					Buy (add'l)	3/13/12	M		
166. -New York N Y City Transitional Fin		None	L	T	Buy	8/28/12	L		
167. -New York City Mun Wtr Fin Auth Bds Ser	C	Int./Div.	M	T	Buy	3/5/12	M		
168. -New York N Y City Transitional Fin	C	Int./Div.	M	T	Buy	4/30/12	M		
169. -New York N Y City Transitional Fin		None	M	T	Buy	7/12/12	M		
170. -New York St Brdg Auth Rev Gen Rev Bds		None	M	T	Buy	7/17/12	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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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. -New York St Dorm Auth Revs Non St	B	Int./Div.	M	T	Buy	6/4/12	M		
172. -New York St Dorm Auth St Pers Income	B	Int./Div.	M	T	Buy	6/14/12	M		
173. -New York St Dorm Auth Revs St	B	Int./Div.	L	T	Buy	4/13/12	L		
174. -New York St Dorm Auth Revs St	C	Int./Div.	M	T	Buy	4/10/12	M		
175. -New York St Dorm Auth Revs St	B	Int./Div.	L	T	Buy				
176. -New York St Twy Authst Pers Income Tax	B	Int./Div.	L	T	Buy	4/10/12	L		
177. -New York St Twy Authst Pers Income Tax	B	Int./Div.	M	T	Buy	4/9/12	M		
178. -Port Auth N Y & N J Consolidated Bds 173	B	Int./Div.	M	T	Buy	6/20/12	M		
179. -Puerto Rico Comwlth Pub Impt Ref Bds		None	M	T	Buy	3/9/12	M		
180. -Puerto Rico Elec Pwr Auth Pwr	B	Int./Div.	L	T	Buy	4/10/12	L		
181. -Triborough Brdg & Tunnl Auth N Y Revs 05	A	Int./Div.	L	T	Buy	8/6/12	L		
182. -Schwab NY AMT Tax-Free Money Fund		None	L	T					
183. IRA #1 (H)									
184. -Aberdeen Emerging Markets Instl	A	Int./Div.	L	T	Buy	1/26/12	L		
185.					Buy (add'l)	12/20/12	J		
186. -Franklin Templeton Emerging Market Bond Fund		None			Sold	1/25/12	L		
187. -Ivy Global Natural Resources Fund Cl Y		None			Sold	9/4/12	J	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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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. -MFS Emerging Markets Debt Fund Class I		None			Sold	1/25/12	J	A	
189. -RS Global Natural Resources Cl Y		None	J	T	Buy	9/5/12	J		
190. -ING Senior Income Cl A	B	Int./Div.	J	T					
191. IRA #2 (H)									
192. -MFS Emerging Markets Debt Fund Class I (Y)									
193. IRA #3 (H)									
194. -Aberdeen Emerging Markets Instl	A	Int./Div.	J	T	Buy	1/26/12	K		
195.				T	Buy (add'l)	12/20/12	J		
196. -Ivy Global Natural Resources Fund Cl Y		None			Sold	9/4/12	J	B	
197. -MFS Emerging Markets Debt Fund Class I		None			Sold	1/25/12	K	A	
198. -RS Global Natural Resources Cl Y		None	J	T	Buy	9/5/12	J		
199. -ING Senior Income Cl A	B	Int./Div.	J	T					
200. IRA #4 (H)									
201. -RS Global Natural Resources Cl Y		None	J	T	Buy	9/5/12	K		
202. -Ivy Global Natural Resources Fund Cl Y		None			Sold	9/4/12	K	B	
203. -ING Senior Income Cl A	D	Int./Div.	M	T	Sold (part)	10/12/12	J		
204. IRA #5 (H)									

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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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. -Aberdeen Emerging Markets Instl	A	Int./Div.	L	T	Buy (add'l)	12/20/12	J		
206. -ING Senior Income Cl A	C	Int./Div.	L	T	Sold (part)	10/12/12	J		
207. IRA #6 (H)									
208. -Balestra Global Ltd		None	N	T	Buy	3/1/12	N		
209. -Definitive Guardian Fund, Ltd.		None	O	T					
210. -Schwab Advisor Cash Reserves Premier Sweep		None	J	T					
211. -Aberdeen Emerging Markets Instl		None			Sold	2/22/12	L	D	
212. -Acadian Emerging Markets		None			Sold	1/25/12	M	D	
213. -Franklin Templeton EM Debt Op		None			Sold	1/25/12	L		
214. -Ivy Global Natural Resources Fund Cl Y		None			Sold	2/22/12	L	D	
215. Trust #1 (H)									
216. -Aberdeen Emerging Markets Instl		None	J	T	Buy	9/5/12	J		
217.					Buy (add'l)	12/20/12	J		
218. -Acadian Emerging Markets		None			Sold	12/19/12	K	C	
219. -BBH Core Select N		None	J	T	Buy	3/28/12	J		
220. Eaton Vance Structured Emerging Markets A		None			Sold	9/4/12	J	A	
221. -Berkshire Hathaway Inc Del B		None	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 \$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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	(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. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T	Sold (part)	12/19/12	J	C	
223. -WisdomTree MidCap Dividend		None	J	T					
224. -GRT Value Fund Advisor Class		None	J	T					
225. -iShares Tr S&P 400 BARRA Midcap Growth		None	J	T					
226. -PIMCO Unconstrained Bond Instl CL	B	Int./Div.	J	T	Buy	2/28/12	K		
227.					Buy (add'l)	2/29/12	J		
228.					Buy (add'l)	3/28/12	J		
229.					Buy (add'l)	12/20/12	J		
230. -Prudential Jennison Natural Resources Fund CI Z		None	J	T	Buy	9/5/12	J		
231.					Buy (add'l)	12/20/12	J		
232. -First Eagle Global Inst CL I	A	Int./Div.	J	T	Buy	3/28/12	J		
233.					Buy (add'l)	12/20/12	J		
234. -Schwab Municipal Money Fund Sweep Shares (X)		None	J	T					
235. -Templeton Global Bond Fund CI A		None	J	T	Buy	12/20/12	J		
236. -Virtus Premium AlphaSector CL I		None	J	T	Buy	12/24/12	K		
237. -ING Senior Income CI A	A	Int./Div.	J	T	Sold (part)	3/14/12	J	A	
238. -iShares Tr MSCI EAFE Index Fd		None			Sold	2/27/12	J	C	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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239. -Ivy Asset Strategy Fund Class A	A	Int./Div.			Buy	12/13/12	J		
240.					Sold	12/19/12	K	C	
241. -Ivy Global Natural Resources Fund Cl Y		None			Sold	9/14/12	J	B	
242. -Loomis Sayles Strategic Income A		None			Sold	2/27/12	J	A	
243. -PIMCO Funds Total Return Fund Instl #35		None			Sold	2/27/12	J	A	
244. -T. Rowe Price Emerging Market Bond Fund		None			Sold	2/27/12	J	A	
245. Trust #2 (H)									
246. -Aberdeen Emerging Markets Instl		None	J	T	Buy	9/5/12	J		
247.					Buy (add'l)	12/20/12	J		
248. -Acadian Emerging Markets		None			Sold	12/19/12	K	C	
249. -Eaton Vance Structured Emerging Markets A		None			Sold	9/4/12	J	A	
250. -Berkshire Hathaway Inc Del B		None	J	T					
251. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T	Sold (part)	12/19/12	J	C	
252. -WisdomTree MidCap Dividend		None	J	T					
253. -iShares Tr S&P 400 BARRA Midcap Growth		None	J	T					
254. -PIMCO Unconstrained Bond Instl CL	B	Int./Div.	J	T	Buy	2/28/12	K		
255.					Buy (add'l)	2/29/12	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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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)
256.					Buy (add'l)	3/28/12	J		
257.					Buy (add'l)	12/20/12	J		
258. -Prudential Jennison Natural Resources Fund CI Z		None	J	T	Buy	9/5/12	J		
259.					Buy (add'l)	12/20/12	J		
260. -T. Rowe Price Emerging Market Bond Fund		None			Sold	2/27/12	J	A	
261. -First Eagle Global Inst CL I		None	J	T	Buy	12/20/12	J		
262. -Schwab Municipal Money Fund Sweep Shares (X)		None	J	T					
263. -Templeton Global Bond Fund CI A		None	J	T	Buy	12/20/12	J		
264. -Virtus Premium AlphaSector CL I		None	J	T	Buy	12/24/12	K		
265. -ING Senior Income CI A	A	None	J	T	Sold (part)	3/14/12	J	A	
266. -iShares Tr MSCI EAFE Index Fd		None			Sold	2/27/12	J	C	
267. -Ivy Asset Strategy Fund Class A	A	Int./Div.			Buy (add'l)	12/13/12	J		
268.					Sold	12/19/12	K	C	
269. -Ivy Global Natural Resources Fund CI Y		None			Sold	9/4/12	J	B	
270. -Loomis Sayles Strategic Income A		None			Sold	2/27/12	J	A	
271. -PIMCO Funds Total Return Fund Instl #35		None			Sold	2/27/12	J	A	
272. Intentionally Left Blank									

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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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)

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289. Intentionally Left Blank									

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)
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301. Intentionally Left Blank									
302. UTMA #1 (H)									
303. -Aberdeen Emerging Markets Instl		None	J	T	Buy	9/5/12	J		
304. -Eaton Vance Structured Emerging Markets A		None			Sold	9/4/12	J	A	
305. -Wisdom Tree LargeCap Dividend Fund		None	J	T					
306. -WisdomTree MidCap Dividend		None	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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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)
307. -Prudential Jennison Natural Resources Fund CI Z		None	J	T	Buy	9/5/12	J		
308. -First Eagle Global Inst CL I		None	J	T	Buy	2/27/12	J		
309. -Templeton Global Bond Fund CI A	B	Int./Div.	J	T	Buy	2/29/12	K		
310.					Buy (add'l)	3/15/12	J		
311. -ING Senior Income CI A		None			Sold	3/14/12	J	A	
312. -iShares Tr MSCI EAFE Index Fd		None			Sold	2/27/12	K	C	
313. -Ivy Global Natural Resources Fund CI Y		None			Sold	9/4/12	J	B	
314. -Loomis Sayles Global Bond Instl		None			Sold	2/27/12	J	A	
315. UTMA #2 (H)									
316. -Aberdeen Emerging Markets Instl		None	J	T	Buy	9/5/12	J		
317. -Eaton Vance Structured Emerging Markets A		None			Sold	9/4/12	J	A	
318. -Berkshire Hathaway Inc Del B		None	J	T					
319. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T					
320. -WisdomTree MidCap Dividend		None			Sold	12/19/12	J	A	
321. -Prudential Jennison Natural Resources Fund CI Z		None	J	T	Buy	9/5/12	J		
322. -First Eagle Global Inst CL I	A	Int./Div.	J	T	Buy	2/28/12	J		
323.					Buy (add'l)	2/29/12	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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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)
324.					Buy (add'l)	3/15/12	J		
325.					Buy (add'l)	12/24/12	J		
326. -ING Senior Income CI A		None			Sold	3/14/12	J	A	
327. -iShares Tr MSCI EAFE Index Fd		None			Sold	2/27/12	J	C	
328. -Ivy Global Natural Resources Fund CI Y		None			Sold	9/4/2012	J	B	
329. -Loomis Sayles Global Bond Instl		None			Sold	2/27/12	J	A	
330. UTMA #3 (H)									
331. -Aberdeen Emerging Markets Instl		None	J	T	Buy	9/5/12	J		
332. -Eaton Vance Structured Emerging Markets A					Sold	9/4/12	J	A	
333. -Wisdom Tree LargeCap Dividend Fund		None	J	T					
334. -WisdomTree MidCap Dividend		None	J	T					
335. -Prudential Jennison Natural Resources Fund CI Z		None	J	T	Buy	9/5/12	J		
336. -First Eagle Global Inst CL I		None	J	T	Buy	2/27/12	J		
337. -Templeton Global Bond Fund CI A	B	Int./Div.	J	T	Buy	2/29/12	K		
338.					Buy (add'l)	3/15/12	J		
339. -ING Senior Income CI A		None			Sold	3/14/12	J	A	
340. -iShares Tr MSCI EAFE Index Fd		None			Sold	2/27/12	K	C	

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)

341. -Ivy Global Natural Resources Fund C1 Y		None			Sold (part)	9/4/2012	J	B	
342. -Loomis Sayles Global Bond Instl		None			Sold	2/27/12	J	A	
343. UTMA #4 (H)									
344. -Aberdeen Emerging Markets Instl		None	J	T	Buy	9/5/12	J		
345. -Berkshire Hathaway Inc Del B		None	J	T					
346. Eaton Vance Structured Emerging Markets A		None			Sold	9/4/12	J	A	
347. -Wisdom Tree LargeCap Dividend Fund	A	Int./Div.	J	T					
348. -WisdomTree MidCap Dividen		None			Sold	12/19/12	J	A	
349. -ING Senior Income C1 A		None			Sold	3/14/12	J	A	
350. -iShares Tr MSCI EAFE Index Fd		None			Sold	2/27/12	J	C	
351. -Prudential Jennison Natural Resources Fund C1 Z		None	J	T	Buy	9/5/12	J		
352. -Ivy Global Natural Resources Fund C1 Y		None			Sold	9/4/12	J	B	
353. -Loomis Sayles Global Bond Instl		None			Sold	2/27/12	J	A	
354. -First Eagle Global Inst CL I	A	Int./Div.	J	T	Buy	2/28/12	J		
355.					Buy (add'l)	2/29/12	J		
356.					Buy (add'l)	3/15/12	J		
357.					Buy (add'l)	12/24/12	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	

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)
358. 529 Plan #1 (H)									
359. -New York Saves Growth Stock Index Portfolio		None	J	T					
360. -New York Saves Interest Accumulation Index Portfolio		None	J	T					
361. -New York Saves Value Stock Index Portfolio		None	J	T					
362. 529 Plan #2 (H)									
363. -New York Saves Interest Accumulation Portfolio		None	J	T					
364. -New York Saves Mid Cap Stock Index Portfolio		None	J	T					
365. -New York Saves Value Stock Index Portfolio		None	J	T					
366. -New York Saves Growth Stock Index Portfolio		None	J	T					
367. -New York Saves Inflation Protected Portfolio		None	L	T					
368. -New York Saves Developed Markets Income Portfolio		None	L	T					
369. 529 Plan #3 (H)									
370. -New York Saves Growth Stock Index Portfolio		None	J	T	Buy	1/10/12	J		
371. -New York Saves Mid Cap Stock Index Portfolio		None	J	T					
372. -New York Saves Small Cap Stock Index Portfolio		None	J	T					
373. -New York Saves Value Stock Index Portfolio		None	J	T	Buy	1/10/12	J		
374. -New York Saves Inflation Protected Portfolio		None	L	T	Buy (add'l)	1/10/12	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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☐ 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. -New York Saves Developed Markets Income Portfolio		None	J	T					
376. 529 Plan #4 (H)									
377. -New York Saves Growth Stock Index Portfolio		None	J	T	Buy	1/10/12	J		
378. -New York Saves Interest Accumulation Portfolio		None	L	T					
379. -New York Saves Value Stock Index Portfolio		None	J	T	Buy	1/10/12	J		
380. -New York Saves Inflation Protected Portfolio		None	J	T	Buy (add'l)	1/10/12	J		
381. Teachers Retirement System of NY 403(b) #1 (H)									
382. -Diversified Equity		None	M	T					
383. -Stable Value		None	L	T					
384. -International Equity		None	L	T					
385. -Inflation Protection		None	L	T					
386. Citigroup Checking Account		None	L	T					
387. Chase Checking Account		None	L	T					
388. Westchester County Real Estate Parcel #1 Westchester Co., NY		None	L	W					
389. Westchester County Real Estate Parcel #2 Westchester Co., NY		None	L	W					
390. HSBC Checking Account #1 (H)									
391. -Cash	A	Interest			Distributed	1/8/2012	P1		Estate Distribution

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)
392. Estate #1 (Y)									
393. Brokerage #6 (H)									
394. -Vanguard REIT Index Fund	A	Int./Div.			Sold	01/2012	J	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

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

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

Signature: s/ 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
Administrative Office of the United States Courts
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Washington, D.C. 20544