

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

1. Person Reporting (last name, first, middle initial) McMahon, Colleen	2. Court or Organization US District Court-Southern Dis	3. Date of Report 08/12/2014
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 01/01/2013 to 12/31/2013
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	Trust #2
3.	Trustee	Foundation #1
4.	Director-Inactive	Music Bridges International Inc
5.	Advisory Council	Ohio State University

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.)*

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. 2013	CSG Systems Inc-Director Fee
2. 2013	Kohl's Department Stores Inc-Director Fee
3. 2013	Tailwind Capital Group-Managing Director
4. 2013	Safe Bulkers Inc -Director Fee
5. 2013	Jet Blue Airways Corp-Director Fee
6. 2013	Menemsha Capital Partners-Ltd-Employee
7. 2013	Linux Partners LLC_Director Fee
8. 2013	Morgan Stanley-Pension Income
9.	

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.				
2.				

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- 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.	Internal Revenue Service	Federal Income Taxes	M
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	B	Dividend	L	T					
2. Kohl's Corp. Com (IRA)	E	Dividend	O	T					
3. Thornberg Value Fund Class A Mut Fd. (IRA)	B	Dividend	O	T					
4. Morgan Stanley Venture Investors III LP (IRA)		None	K	U					
5. Kohl's Corp Com (Trust #2)	D	Dividend	M	T					
6. Morgan Stanley Venture Investors III LP		None	K	U					
7. Skyline Venture Partners, L.P.	C	Distribution	L	U	Sold (part)	07/25/13	J		See Note # 1
8. MSCP III L.P.		None	J	U					
9. ████████, MA (1998 300,000)		None	N	R					
10. ████████ MA (1998 300,000)		None	N	R					
11. Northwestern Mutual Life		None	K	T					
12. EVILCO Life Insurance (Trust # 1)		None	J	T					
13. Northwestern Mutual Life (Trust #1)		None	N	T					
14. Northwestern Mutual Life (Trust #1)		None	M	T					
15. Madison National Life Ins (Trust # 1)	A	Interest	N	T					
16. Passport Money Market Fund (IRA)		None			Closed	01/01/13	J		
17. CSG Systems International Inc. Com		None	O	T	Buy (add'l)	08/23/13	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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18. Summit Mariner, LLC		None	P1	U					
19. Skyline Venture Partners Qualified Purchase Fund II		None	L	U					
20. Trident Capital Fund-IV LP	E	Distribution	J	U	Sold (part)	09/23/13	J		See Note # 1
21.					Sold (part)	12/19/13	J		
22. Sentinel Capital Partners II LP	E	Distribution			Sold	08/19/13	L		See Note # 1
23. Summit Mariner LLC/JP Morgan Checking	A	Interest	K	T					
24. Rental # 1 /JPMorgan Checking		None	J	T					
25. Rental # 2 New York, NY(1999 \$ 900,000)	E	Rent	P1	R					
26. Rental # 2/JP Morgan -Checking	A	Interest	J	T					
27. JP Morgan(Checking)-		None	L	T					
28. Andex Resources LLC		None	J	U	Sold (part)	10/03/13	K		
29. Vacant Land [REDACTED] MA (1999 \$ 425,000)		None	N	R					
30. Trident Capital Fund V LP	E	Distribution	O	U	Sold (part)	09/24/13	K		See Note # 1
31. Linx Partners (Q) LP	G	Distribution	P1	U	Sold (part)	06/06/13	M		See Note # 1
32.					Sold (part)	12/31/13	P1		
33. Grove Capital Commitment Partners LP		None	M	U					
34. [REDACTED] Golf Partners LLC		None	K	U					

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35. Silvaris Corp Preferred B		None	M	U	Sold (part)	02/08/13	L		
36. JP Morgan (Checking)	A	Interest	P1	T					
37. Oneida Cnty NY 6.25% due 06/15	E	Interest	M	T	Sold (part)	06/03/13	K		
38.					Sold (part)	12/02/13	L		
39. JK & B Capital IV QIP LP		None	N	U	Sold (part)	04/18/13	K		
40.					Distributed (part)	01/16/13	K		See Note # 5 to line # 329
41.					Distributed (part)	01/22/13	L		See Note # 5 to line # 327
42. Perseus Biopharmaceutical Investor LP		None	N	U	Sold (part)	06/13/13	K		
43.					Sold (part)	12/03/13	K		
44. Skyline Venture Partners Qualified Purchaser Fund III LP		None	M	U	Sold (part)	07/25/13	K		
45. Towerbrook Private Equity Partners II LP		None	J	U					
46. SPEP Limited Partners LLC		None	P1	U	Sold (part)	12/27/13	N		
47. Grove II LP		None	J	U					
48. Tactics II Venture LP		None			Distributed	01/02/13	O		See Note # 7 to Line # 384
49. JP Morgan Checking(Foundation #1)	A	Interest	J	T					
50. MM Community Funding III Sub Note		None			Closed	12/31/13			See Note # 3
51. OR Music LLC		None	K	U					

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52. SFM Participation LP(Y)									
53. Capital Income Builders Fd Cl A(IRA)	C	Dividend	M	T					
54. Kinderhook Capital I LP	E	Distribution	P1	U	Buy (add'l)	02/01/13	J		See Note # 1
55.					Sold (part)	02/01/13	N		
56. Capital World Grth & Income Fd Cl A(IRA)	C	Dividend	M	T					
57. JP Morgan Tax Free MM Premier Sweep	A	Interest	N	T					
58. Menemsha Capital Partners Ltd		None	K	U					See Note # 2
59. Camulos Partners LP		None			Sold	07/29/13	J		
60. Capital SLI Group LLC		None	J	U					
61. CGI Partners,LP		None	P2	U	Buy (add'l)	06/13/13	M		
62.					Buy (add'l)	12/16/13	K		
63.					Sold (part)	12/16/13	O		
64. Micell Technologies Inc.(Com)		None	K	U					
65. Linx Partners II LP	G	Distribution	P1	U	Sold (part)	01/16/13	P1		See Note # 1
66.					Sold (part)	03/29/13	L		
67.					Sold (part)	05/31/13	K		
68.					Sold (part)	10/16/13	M		

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2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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69.					Sold (part)	12/18/13	N		
70. Lone Cypress Company Ltd	G	Distribution	P1	U	Sold (part)	06/27/13	M		See Note # 1
71. Sentinel Capital Investors III LP	G	Distribution	N	U	Sold (part)	06/28/13	J		See Note # 1
72.					Sold (part)	07/29/13	K		
73.					Sold (part)	11/18/13	J		
74.					Sold (part)	12/04/13	M		
75. SFM Participation II LP	H1	Distribution	P2	U	Buy (add'l)	05/13/13	M		See Note # 1
76.					Buy (add'l)	11/20/13	M		
77.					Sold (part)	01/23/13	M		
78.					Sold (part)	02/01/13	K		
79.					Sold (part)	08/28/13	K		
80.					Sold (part)	11/04/13	L		
81.					Sold (part)	11/20/13	P1		
82. North Salem Acquisition & Development Fund 2005 LP	E	Distribution	J	U					See Note # 1
83. Thornburg Core Growth CI A (IRA)		None	N	T					
84. Jetblue (Com)		None	O	T					
85. 383-391 West 12th St LLC		None	J	U	Buy (add'l)	02/14/13	K		

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86.					Sold (part)	08/30/13	P1		
87.					Sold (part)	11/08/13	N		
88. Aisling Capital II LP		None	P1	U	Buy (add'l)	02/04/13	K		
89.					Buy (add'l)	04/08/13	K		
90.					Buy (add'l)	07/30/13	L		
91.					Buy (add'l)	10/22/13	K		
92.					Sold (part)	07/30/13	M		
93. By The Way Productions LLC		None	J	U					
94. J K & B Capital V LP		None	P1	U	Buy (add'l)	09/11/13	K		
95.					Buy (add'l)	09/23/13	K		
96.					Buy (add'l)	11/04/13	L		
97.					Sold (part)	01/10/13	L		
98.					Sold (part)	04/18/13	K		
99. SEEF II LP		None	P1	U					
100. Towerbrook Investors II Executive Fund LP	F	Distribution	P1	U					See Note # 1
101. Trident VI LP	D	Distribution	N	U	Sold (part)	03/15/13	K		See Note # 1
102. Kinderhook Capital Fund II LP	G	Distribution	P2	U	Buy (add'l)	09/18/13	M		See Note # 1

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103.					Sold (part)	06/03/13	O		
104. Kohls Corp (Com).	E	Dividend	O	T	Buy (add'l)	05/13/13	K		
105.					Buy (add'l)	10/01/13	M		
106.					Sold (part)	10/01/13	M		
107. KPB Partners LP	A	Interest	P1	U					
108. --App Orchard LLC		None			Buy	12/16/13	N		
109. --App Orchard LLC-Note		None			Buy	12/16/13	N		
110. Thornburg-Income Builder C1 1	C	Dividend	L	T					
111. Thornburg Global Opportunity C1 1	A	Dividend	L	T					
112. Thornburg CRE GWT 1 (Trust # 2)		None	L	T					
113. Morgan Stanley Bank (Savings)	A	Interest	J	T					
114. Thornburg CRE GWT (IRA)		None	N	T	Buy (add'l)	09/13/13	O		
115. Inavein LLC		None	J	U					
116. Ironwood Management Partners Fund II LP	F	Distribution	O	U	Buy (add'l)	01/07/13	K		See Note # 1
117.					Sold (part)	01/08/13	M		
118.					Buy (add'l)	04/01/13	M		
119.					Buy (add'l)	08/19/13	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Buy (add'l)	11/20/13	N		
121. Linx-Cimarron Energy Co-Invest, LLC	E	Distribution	K	U	Sold (part)	04/08/13	J		See Note # 1
122.					Sold (part)	12/06/13	K		
123. RGI Partners II B LP	F	Distribution	P1	U					See Note # 1
124. RGI Partners Ltd		None	P1	U	Buy (add'l)	05/31/13	N		
125.					Buy (add'l)	12/18/13	N		
126.					Sold (part)	12/18/13	M		
127.					Buy (add'l)	01/15/13	J		
128. SC Capital (P) LP		None	P1	U	Buy (add'l)	04/09/13	J		
129.					Buy (add'l)	07/08/13	K		
130.					Buy (add'l)	09/16/13	J		
131.					Buy (add'l)	12/06/13	J		
132. Tailwind Capital Partners LP	H1	Distribution	P2	U	Buy (add'l)	06/25/13	M		See Note # 1 & Note #4
133.					Buy (add'l)	06/18/13	J		
134.					Buy (add'l)	10/21/13	M		
135.					Buy (add'l)	12/09/13	J		
136.					Sold (part)	01/23/13	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 (See Columns C1 and D3)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 P3 = \$25,000,001 - \$50,000,000	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 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)	03/26/13	K		
138.					Sold (part)	05/10/13	L		
139.					Sold (part)	06/25/13	L		
140.					Sold (part)	09/25/13	N		
141.					Sold (part)	10/21/13	K		
142. Tailwind Management LP		None	P1	U					
143. Tailwind Capital Partners (GP) LP	G	Distribution	P1	U	Buy (add'l)	01/28/13	O		See Note # 1 & Note # 4
144.					Buy (add'l)	06/26/13	J		
145.					Buy (add'l)	10/21/13	N		
146.					Sold (part)	01/28/13	P1		
147.					Sold (part)	06/26/13	O		
148.					Sold (part)	09/26/13	O		
149.					Sold (part)	10/21/13	M		
150. --Apex Companies LLC		None							See Note #4
151. -- Transit Wireless LLC		None							See Note #4
152. --Hamilton State Bancshares Inc		None							See Note #4
153. --Oceus Networks Inc.		None							See Note # 4

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. --Nautilus Neurosciences Inc		None							See Note #4
155. --Optimal Solutions Integration, Inc		None			Sold	12/31/13	O		See Note #4
156. --Versapharm		None							See Note #4
157. --Cumberland Consulting Group LLC		None							See Note #4
158. --RE Transportation Inc		None							See Note #4
159. --West Texas Plastics /N/C Brawler Industrial Fabrics		None							See Note #4
160. --Northeast Comm of Wisconsin Inc		None							See Note # 4
161. Camulos Special Situations Fund LP		None			Closed	12/31/13			See Note # 3
162. Wall Street Sources Inc(Com)		None			Sold	06/28/13	J		
163. Navagate Inc (Promissory Note)		None	P1	T					
164. Omnilink Systems Inc (Ser B Preferred Stock)		None	P1	U					
165. American Home Food Products Inc (Com)		None	N	U					
166. Perseus Soros Partners		None	M	T	Sold (part)	06/13/13	K		
167.					Sold (part)	12/03/13	J		
168. Syndicate Holdings Corp(Com)		None	N	U	Sold (part)	12/24/13	L		
169. NYS Dorm 5.75 Due 7/1/13	E	Interest			Redeemed	07/01/13	N		
170. City of NY Health & Hosp 4 % Due 2/15/13	D	Interest			Redeemed	02/15/13	O		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
171. NYS Mtg Agency 5 % Due 10/1/17	C	Interest			Sold	11/15/13	L		
172. State of NY Dorm 4.125 % Due 4/1/13	D	Interest			Redeemed	04/01/13	N		
173. Perseus Soros BioPharmaceutical Fund LP		None	J	U	Sold (part)	06/13/13	J		
174.					Sold (part)	12/03/13	J		
175. Safe Bulkers Inc(Com)	D	Dividend	N	T	Buy (add'l)	01/02/13	K		
176.					Buy (add'l)	04/02/13	K		
177.					Buy (add'l)	07/02/13	K		
178.					Buy (add'l)	10/02/13	K		
179. 383-391 West 12th Street LLC(Working Capital Loan)		None			Redeemed	11/08/13	M		
180. Artisanal Cheese LLC(Bridge Loan)		None	N	T					
181. Nassau Point Partners I LP		None	J	U					
182. Nassau Point Partners II LP		None			Closed	12/31/13			See Note # 3
183. Camulos BioEnergy Debt Holdings LLC		None	J	U					
184. Camulos BioEnergy Partners LLC		None	J	U					
185. Camulos Fountain Hills Partners LLC		None	J	U					
186. Camulos Gateway HI Partners LLC		None	J	U					
187. Camulos Gateway RH Partners LLC		None	J	U					

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

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☐ 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. Asling Investors III LP	G	Distribution	O	U	Buy (add'l)	05/03/13	L		See Note # 1
189.					Buy (add'l)	07/03/13	L		
190.					Buy (add'l)	09/27/13	J		
191.					Sold (part)	05/03/13	K		
192.					Sold (part)	07/03/13	L		
193.					Sold (part)	09/27/13	K		
194. Eastern Growth Capital I LP	E	Distribution	N	U	Sold (part)	09/03/13	N		See Note # 1
195. Eastern Growth Capital II LP		None	N	U	Sold (part)	09/03/13	N		
196.					Sold (part)	12/19/13	K		
197. Eastern Growth Capital II LP(IRA)		None	O	U	Sold (part)	09/03/13	L		
198.					Sold (part)	12/19/13	L		
199. Linx-Metaltech Co Investment LLC	D	Interest	M	U	Sold (part)	03/19/13	J		
200.					Sold (part)	06/13/13	J		
201.					Sold (part)	09/12/13	J		
202.					Sold (part)	12/06/13	J		
203. Olympus Capital Asia IV LP		None	P1	U	Buy (add'l)	05/17/13	L		
204.					Buy (add'l)	06/24/13	N		

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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)	F ~\$50,001 - \$100,000 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.)

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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.					Buy (add'l)	10/08/13	M		
206.					Sold (part)	10/08/13	K		
207. UBS RMA Tax Free (MM)	A	Interest	K	T					
208. Safe Bulkers Inc (Com)(IRA)	D	Dividend	N	T					
209. Towerbrok Investors III Executive Fund LP		None	O	U	Buy (add'l)	08/19/13	M		
210. Tactics II Stem Cell Ventures QP LP		None			Distributed	01/02/13	P1		See Note # 7 To line 382
211. Cellular Dynamics International Inc(Pref A)		None			Distributed	01/02/13	L		See Note # 7 To line 381
212. Inves Van Kampen Equities (401K)		None	J	T					
213. Thornburg Intl Val Fd R#(401k)		None	M	T	Buy (add'l)	04/02/13	K		
214. Vanguard Intern Corp FD(Foundation # 1)	C	Dividend			Sold	06/12/13	M	B	
215. Morgan Stanley Bank(Saving)(Foundation # 1)	A	Interest	K	T					
216. NYS Dormitory 4 % due 10/1/15	E	Interest	O	T					
217. NYS Dormitory 5.25 due 8/15/15	E	Interest	N	T	Sold (part)	02/15/13	J		
218.					Sold (part)	08/15/13	J		
219. NYS Dormitory 5.5 due 7/1/16	E	Interest			Sold	07/01/13	O		
220. Morgan Stanley Bank (Trust # 2)	A	Interest	K	T					
221. First Republic Bank(Checking)(Trust # 2)		None	J	T					

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

222. First Republic Bank (Checking)	A	Interest	M	T					
223. The West Africa Fund LP		None	O	T					
224. NuCana Biomed Ltd (Ordinary Shares) (IRA)		None	P1	T					
225. Cookstr LLC(Convertible Unsecured Promissory Note)/N/C Yumsing LLC		None	N	T	Sold (part)	12/31/13	L		
226. Cordia Bancorp Ser B(Com)(IRA)		None	K	T					
227. ConnectEdu Inc(Com)(IRA)		None	M	T	Buy (add'l)	05/23/13	K		
228.					Buy (add'l)	09/20/13	K		
229. Michael Walsdorf- (Personal Loan-Note Receivable)	G	Interest	M	T	Redeemed (part)	08/30/13	P1		
230. MV Beach Stret Realty(Mortgage Note)	E	Interest	O	T					
231. Beryllium LLC		None	J	U					
232. Kinderhook Capital Fund III LP	F	Distribution	O	U	Buy (add'l)	03/18/13	M		See Note #1
233.					Buy (add'l)	11/20/13	L		
234.					Sold (part)	04/08/13	M		
235.					Sold (part)	06/06/13	M		
236. Omnlink Systems Inc(Bridge Loan)		None	M	T					
237. NYS Dormitory 5.25 due 5/15/15	E	Interest	N	T					
238. Nuclea Biotechnologies Inc-Convertible Note		None	N	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.)

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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)

239. Cordia Bancorp Inc Ser B (Com)		None	N	T					
240. ConnectEDU Ser D (Com)		None	M	T	Buy (add'l)	04/26/13	J		
241. Rapid Ratings International Inc (Com)		None	P1	T	Buy (add'l)	01/31/13	L		
242.					Buy (add'l)	03/11/13	M		
243.					Buy (add'l)	04/17/13	N		
244.					Buy (add'l)	08/15/13	N		
245. West 12th Street Manager LLC		None	J	U					
246. Parkstone Capital Partners LLC	F	Distribution	M	U	Sold (part)	10/15/13	L		See Note # 1
247. Lone Peak Partners Fund LP	E	Distribution	P1	U	Sold (part)	10/21/13	L		See Note # 1
248. UBS Bank USA Dep MM (IRA)	A	Interest	M	T					
249. Thornburg Core Growth A (Trust # 2)		None	K	T					
250. NYS Dorm 5.625 % due 6/1/16	E	Interest	O	T	Sold (part)	07/01/13	J		
251. NYS Dorm 5.25 % due 11/15/23	C	Interest			Sold	01/02/13	L		
252. NYS Dorm 5.25 % due 1/1/13	C	Interest			Redeemed	01/02/13	M		
253. NYS Dorm 5.25 % due 2/15/13	D	Interest			Redeemed	02/15/13	N		
254. Tailwind Capital Group LLC	B	Distribution	K	U					See Note # 1
255. Emerald Biostructures Inc.(Loan)	D	Interest	K	T					

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

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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. Empowered World Ventures LLC(Preferred A)		None	M	T					
257. CSL Energy opportunity Fd I LP		None	O	U	Buy (add'l)	01/07/13	K		
258.					Buy (add'l)	04/01/13	K		
259.					Buy (add'l)	05/08/13	L		
260.					Buy (add'l)	12/23/13	K		
261.					Sold (part)	05/08/13	M		
262. CSL Europe Energy Services LP		None	M	U	Buy (add'l)	04/16/13	J		
263. KCM Long Only Fund LP	G	Distribution			Sold (part)	09/23/13	P1		See Note # 1
264.					Sold	12/17/13	L		
265. Parkstone Capital Partners II LP	G	Distribution	P1	U	Sold (part)	04/24/13	M		See Note # 1
266.					Sold (part)	10/16/13	N		
267. Tactics II CDI Ser B (Pfd)		None			Distributed	01/02/13	O		See Note # 7 To line 380
268. Highland Investment Group LLC		None	J	U					
269. Peaks Capital Partners LLC (Promissory Note)		None	M	T					
270. Syracuse NY Ind Dev 3.0 5/11/13	D	Interest			Redeemed	05/01/13	O		
271. NYS auth Rev Nonst 5 % 10/1/14	E	Interest	O	T					
272. NYS Energy Res & Dev 2.25 % 12/1/15	E	Interest	O	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)

273. Patchogue Hetford NY Un 4.25 10/1/15	E	Interest	O	T					
274. Artiman Venture Fund LP	D	Distribution	M	U	Distributed (part)	09/19/13	K		See Notse # 1,& 5- To 331
275. Inavien LLC(Promissory Note)	E	Interest			Redeemed	09/03/13	N		
276. Vocalocity Inc (Ser -B-1)		None			Distributed (part)	11/18/13	N		See Note # 8
277.					Sold	11/15/13	P1	H1	
278. EOS Sleep Management LLC		None	O	U					
279. SRD Systems Inc (Preferred Stock)		None			Sold	09/24/13	J		
280. SRD Systems Inc (Promossory Note))		None			Sold	09/24/13	J		
281. OD Funding Partners LLC		None	M	U					
282. Prollie Inc (Preferred St)		None	K	T	Buy (add'l)	04/25/13	K		
283. Nextremity Solutions LLC		None	P1	U	Buy (add'l)	03/04/13	N		
284. Linx-Ad Co-Invest LLC	D	Interest	N	U	Sold (part)	11/18/13	L		
285.					Sold (part)	12/31/13	J		
286. Collision Funding Partners LLC	A	Distribution	M	U					See Note # 1
287. Clean Pool & Services LLC		None			Buy (add'l)	01/07/13	K		See Note # 3
288.					Buy (add'l)	06/10/13	K		
289.					Buy (add'l)	08/06/13	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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				
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290.					Buy (add'l)	09/03/13	J		
291.					Closed	12/31/13			
292. Tactics II CDI Series B Investors III LLC		None			Distributed	01/02/13	O		See Note #7 To line 383
293. adTheorent Inc Convertible Promissory Note)		None	K	T					
294. 4DK Technology Inc (Ser B)		None	P1	T	Buy (add'l)	01/07/13	M		
295.					Buy (add'l)	03/11/13	N		
296.					Buy (add'l)	07/09/13	N		
297.					Buy (add'l)	10/03/13	M		
298. Double Dog Dare Media LLC (Convertible Promissory Note)		None	J	T					
299. Figue Holdings LLC (Promissory Note)		None	M	T					
300. Jonathan Kully (Personal Loan-Notes Receivable)		None	N	T					
301. JustFamily.Com, Inc. (Preferred Stock)		None	N	T	Buy (add'l)	04/01/13	L		
302. Kenesto Corp (Preferred C)		None	O	T	Buy (add'l)	01/07/13	L		
303.					Buy (add'l)	03/04/13	L		
304.					Buy (add'l)	06/25/13	L		
305.					Buy (add'l)	07/25/13	L		
306.					Buy (add'l)	10/28/13	L		

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

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☐ 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. MogilityCapital Fund LP		None	M	U					
308. OpenFin Inc.(Preferred Stock)		None	M	T					
309. Remedy Pharmaceuticals Inc		None	O	T					
310. Tyrogenex Inc.(Ser B Convertible Preferred)		None	K	T					
311. XCoverly Holdings LLC		None	K	U					
312. NYS Dorm 4 % Due 7/1/16	D	Interest	N	T					
313. NYS Mtg Auth 1.2 % Due 4/1/16	C	Interest	N	T					
314. NYS Dorm 4 % Due 7/1/17	A	Interest	O	T					
315. Monroe County NY 4 % Due 6/1/15	E	Interest	O	T					
316. NYS Muni Bd Bank 5% Due 2/15/14	E	Interest	N	T					
317. NYS Mtg 5 % Due 11/1/16	D	Interest	N	T					
318. Batavia NY 4% Due 3/1/17	E	Interest	O	T					
319. Dryden NY Cent School 4%Due 6/15/16	D	Interest	N	T					
320. NY NY 5 % Due 9/1/13	E	Interest			Redeemed	09/03/13	N		
321. Rochester NY Unliited Tax 3.25% Due 2/1/16	C	Interest	M	T					
322. NYS Muni Bd 5 % Due 5/15/16	E	Interest	O	T					
323. NYS Mtg 2 % Due 4/1/16	C	Interest	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 = \$250,000,001 - \$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)
324. Hampton Bay NY 4%Due 9/15/13	D	Interest			Redeemed	09/16/13	M		
325. Buffalo NY 3% Due 12/1/13	E	Interest			Redeemed	12/02/13	O		
326. East Rochester NY 3 % Due 10/20/15	D	Interest	N	T					
327. E2 Open Inc (Com)		None			Spinoff (from line 41)	01/22/13	L		See Note # 6
328.					Donated				
329. Splunk Inc (Com)		None			Spinoff (from line 40)	01/16/13	K		See Note # 6
330.					Donated				
331. Invensense (Com)		None			Spinoff (from line 274)	09/16/13	K		See Note # 6
332.					Donated				
333. Boulder DiagnosticInc (Preferred)		None	N	T	Buy	07/29/13	N		
334. Cardflight Inc (Preferred)		None	L	T	Buy	06/26/13	L		
335. Fenway HTM Partners LLC		None	O	U	Buy	12/16/13	N		
336.					Buy (add'l)	12/23/13	M		
337. FunnelFire Inc (ConvPromissory Note)		None	K	T	Buy	08/06/13	K		
338. Gain Fitness Inc(Com)		None	L	T	Buy	11/21/13	L		
339. CMNet Inc (D/B/A iSeek Corp) Ser C (Preferred)		None	N	T	Buy	07/17/13	N		
340. Linx RE-Co-Invest LLC	B	Interest	M	U	Buy	09/30/13	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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341. Linx III LP	C	Distribution	O	U	Buy	09/23/13	O		
342.					Sold (part)	11/18/13	L		
343. Monaeo Inc(Conv. Promissory Note)		None	M	T	Buy	04/01/13	M		
344. Moolagram Inc (Ser A1 Preferred)		None	M	T	Buy	12/31/13	M		
345. One Up Games LLC(Note)		None	N	T	Buy	12/17/13	N		
346. Romulus Capital II US Feeder LP		None	M	U	Buy	12/23/13	M		
347. Storypanda Enterprises Inc(Conv Promissory Note)		None	K	T	Buy	12/02/13	K		
348. Tengrade Inc (Preferred)		None	M	T	Buy	05/23/13	M		
349. Linx-Grammer Co LLC		None	N	U	Buy	01/01/13	N		
350.					Sold (part)	03/15/13	J		
351.					Sold (part)	05/10/13	J		
352.					Sold (part)	08/26/13	J		
353.					Sold (part)	10/02/13	K		
354.					Sold (part)	12/06/13	J		
355. NYS Dorm 4% Due 5/15/17	C	Interest	M	T	Buy	01/31/13	M		
356. State of NY Thruway 4 % Due 3/15/15	B	Interest	M	T	Buy	02/07/13	M		
357. Triborough Bridge 5 1/4 % Due 11/15/14	C	Interest	M	T	Buy	02/15/13	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 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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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. NYS Urban Dev 5% Due 1/1/14	D	Interest	N	T	Buy	02/21/13	N		
359. State of NY Dorm 5 % Due 7/1/16	D	Interest	N	T	Buy	02/21/13	N		
360.					Buy (add'l)	03/14/13	K		
361. Lake Placid NY 5 % Due 6/15/16	D	Interest	N	T	Buy	02/28/13	N		
362. Onondaga Cnty NY TR Cult 5 % Due 12/1/15	D	Interest	M	T	Buy	04/16/13	M		
363. MTA Rev BD 5.5 % Due 1/1/15	B	Interest	O	T	Buy	05/29/13	O		
364. West Seneca NY 4 % Due 11/15/17		None	O	T	Buy	11/13/13	O		
365. NY NY Ser C 5 % Due 8/1/17		None	O	T	Buy	12/04/13	O		
366. State of NY Dorm 3 % Due 3/1/15		None	N	T	Buy	12/05/13	N		
367. Tarrytown NY 4 % 4 % Due 5/1/18		None	O	T	Buy	12/12/13	O		
368. Tailwind Capital Partners II LP		None	P1	U	Buy	11/11/13	P1		
369. Uniserv LLC		None	M	U	Buy	08/28/13	M		
370. Trust # 4	F	Int./Div.	P1	T					See Note # 7
371. --Safebulkers Inc Ser B 8 % Preferred					Buy	06/06/13	N		
372. --Principal Global Diversified Income Fd Cl A					Buy	03/07/13	N		
373. --Thornburg Income Builders Cl 1					Buy	03/19/13	N		
374.					Buy (add'l)	10/10/13	O		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
375. --UBS Bank USA Dep Account					Buy	08/01/13	J		
376. --JP Morgan Checking					Open	01/02/13			
377. --Nextremity Solutions Inc (Conv Promissory Note)					Buy	01/07/13	N		
378. --EOS Sleep Management LLC					Buy	03/04/13	N		
379. Trust # 3		None	P1	U					See Note # 7
380. --Tactics II Ser B Preferred					Spinoff (from line 267)	01/02/13	O		
381. --Cellular Dynamics International Inc (Preferred A)					Spinoff (from line 211)	01/02/13	L		
382. --Tactics II Stem Cell Ventures QP LP					Spinoff (from line 210)	01/02/13	P1		
383. --Tactics II CDI Servies B Investors III LLC					Spinoff (from line 292)	01/02/13	O		
384. --Tactics II Venture LP					Spinoff (from line 48)	01/02/13	O		
385. Tailwind Capital Partners II (GP)LP		None	M	U	Buy	11/11/13	O		
386. Island Air LLC		None	M	U	Buy	01/02/13	M		
387. Vonage Holdings Corp(Com)		None	N	T	Spinoff (from line 276)	11/18/13	N		See Note # 8
388. The Yard (Promissory Note)	D	Interest	L	T	Buy	01/02/13	L		
389. RGI Partners B LP		None	L	U	Buy	01/02/13	L		
390.									
391.									

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.)*

Note #1

Explanation Re:Section VII ,

Item # 7,20,22,30,31,54,65,70,71,75,82,100,101,102,116,121,123,132,188,194,232,246,247,254,263,265,274,286

The income from 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 then one category of income indicated on schedule K-1 received from the partnership.

Note # 2

Explanation Section VII

Item # 58

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

Note # 3

Explanation Section VII

Item # 50,161,182,287

These investments are worthless as of December 31, 2013. The assets are listed as "Closed" in Column D(1). The date in Column D(2) is December 31, 2013. The value in Column D(3) is blank since no value was derived from the worthless investment.

Note # 4

Explanation Section VII

Item # 132-141,143-160

The Judge's [REDACTED] is a Managing partner of Tailwind Capital Partners LP and Tailwind Capital Partners (GP) LP . The partnerships have ownership interests in the companies listed.The costs of the ownership interests are included in the Gross value at the end of the reporting period indicated on line # 132 Tailwind Capital Partners LP Column C(1) and line # 143 Tailwind Capital Partners(GP) LP, Column C(1). In addition,the proceeds of the sale of the investments are included on line 132 & 143 from line 155. The invested companies are listed on lines 150 thru 160.

Note # 5

Explanation Section VII

Item # 40,41, 274

The Limited Partnership distributed shares of securities that were purchased and held by the partnership. This information is noted as "Distributed " in Column D(1). The date the shares were distributed is listed in Column D(2). The value in Column D(3) is the distributee's pro rata share of the aquisition cost of the assets by the Limited Partnership, as reported by the General Partner. The transfer relates only to the specific security The entire partnership was not transferred.

Note # 6

Explanation Section VII

Item # 327,329,331

These securities were not purchased but were received from time to time as in-kind distributions from the various Limited Partnerships.. These securities are listed as "Spinoff" in column D(1). The date in column D(2) is the effective date of the distribution. The Value in Column D (3) is the distributee's pro rate share of the acquisition costs of the assets by the Limited Partnership, as reported by the General Partner.

Note # 7

Item # 48,210,211,267,292,370,379,380,381,382,383,384.

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] The assets that were transferred to the Trust (item # 380 thur 384) are referenced as a "spinoff" in Section D(1) .

Note # 8

Item # 276,277, 387

The shares of Vocaloctiy were merged into Vonage Holdings Corp. (in exchange for shares of Vonage and cash). The value of the shares distributed are listed on line # 276. The cash received is listed on line# 277. The value of the distributed shares are listed on line # 387 and denoted as "spinoff" in Sec D(1).

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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)

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