

## SECRETARY OF THE SENATE

June 15, 2015

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Secretary of the Senate  
Office of Public Records  
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Washington, DC 20510

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**Re: Senator Richard Blumenthal**

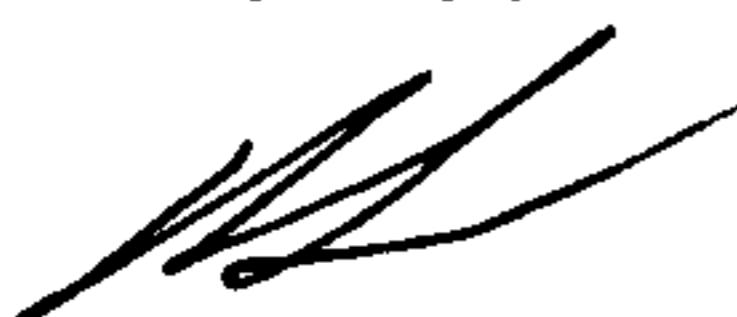
Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find an amended Part IIIB to the annual Financial Disclosure Report filed by Senator Blumenthal for calendar year 2013.

Part IIIB has been amended based on K-1 forms and other information received after the original report was filed.

Please do not hesitate to contact us should you have any questions. Thank you for your attention to this matter.

Very truly yours,



Marc Elias  
Kate Sawyer Keane  
Counsel to Senator Richard Blumenthal

Enclosure

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### PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

	BLOCK A	INCOME		Underlying Asset Amount Used	Valuation of Assets	Type of Income	Amount of Income
		Trial Balance Amount	Actual Amount (Required if "Other Specified")				
S 1	<u>3 Ms PARTNERS</u> c/o Malkin Holdings LLC - New York, NY						
S 2	Blue Ridge Limited Partnership - Hedge Fund - New York, NY						
S 3	Wintergreen - Built-To-Less Partners - Hedge Fund - New York, NY - (1)	x	x				
S 4	DC Capital Partners LP - Hedge Fund - New York, NY	x	x				
S 5	Eton Park Fund, LP - Hedge Fund - New York, NY	x	x				
S 6	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY	x	x				
S 7	Treasury Partner, LP - Hedge Fund - New York, NY (3)	x	x				
S 8	Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY	x	x				
S 9	<u>NEW THINGS PARTNERS LLC</u> c/o Malkin Holdings LLC - New York, NY						
S 10	JP Morgan - Checking Account - Newark, DE	x	x				
S 11	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY	x	x				
S 12	JP Morgan - Checking Account - Newark, DE First Republic Bank (FRC - NYSE) - Stock - New York, NY	x	x				
S 13	AAM Special Situations Fund II, LP - Private Equity - New York, NY	x	x				
S 14	3G Special Situations Fund III, LP - Private Equity - New York, NY	x	x				
S 15	3G Special Situations Fund III, LP - Private Equity - New York, NY	x	x				
S 16	AAM Emerging Managers, LP - Private Equity - New York, NY (2)	x	x				
S 17	AIM Midstream, LLC - Private Equity - New York, NY	x	x				
S 18	Ailing Capital II, LP - Private Equity - New York, NY	x	x				
S 19	Ailing Capital III, LP - Private Equity - New York, NY	x	x				
S 20	AEA Mezzanine Fund LP - Private Equity - New York, NY	x	x				
S 21	Asia Opportunity Fund II, LP - Private Equity - Hong Kong	x	x				
S 22	Blue Ridge China Partners, LP - Private Equity - New York, NY	x	x				
S 23	Wintergreen - Built-To-Less Partners - Hedge Fund - New York, NY - (1)	x	x				
S 24	CanyonRiverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (3)	x	x				
S 25	AG Global Canada Clean Power LLC - Austin, TX - Renewable Energy						
S 26	Bottite Rock Power LLC - Doha, CA - Renewable Energy						
S 27	Coastal Carolina Clean Power LLC - Austin, TX - Renewable Energy						
S 28	Companhia Nacional de Acucar e Alcohol - Rioirao Preto, Brazil - Renewable Energy						
S 29	Green Earth Fuels LLC - Houston, TX - Renewable Energy						
S 30	Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy						
S 31	ThermeSource LLC - Santa Rose, CA - Renewable Energy						
S 32	CanyonRiverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2) (3)	x	x				
S 33	CanyonRiverstone Brazil Ethanol Partnerships, LP - Private Equity - Washington DC (3)	x	x				
S 34	Companhia Nacional de Acucar e Alcohol - Rioirao Preto, Brazil - Renewable Energy	x	x				
S 35	Haverford Capital Partners (Cayman), LTD - Private Equity - Stamford, CT (3)	x	x				
S 36	Timicum Capital Partners II LP - Private Equity - New York, NY	x	x				

	BLOCK A	INCOME	Underlying Asset Amount Used	BLOCK C	
				Type of Income	Amount of Income
				Other (Specify Type)	Actual Amount (Required if "Other Specified")
S 37	Tricium Capital Partners II Add On Fund LP - Private Equity - New York, NY			x	Over 5,000,000
S 38	OTHER ONE LLC c/o Malkin Holdings LLC - New York, NY			x	1,000,001 - 5,000,000
S 39	JP Morgan - Checking Account - Newark, DE			x	Over 1,000,000
S 40	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA			x	100,001 - 100,000
J 41	RCB INVESTMENT PARTNERS LLC (12)			x	50,001 - 50,000
J 42	State Street Bank & Trust Co. (15)			x	5,001 - 15,000
J 43	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (12) (less than .7 of 1%)			x	2,501 - 2,500
J 44	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (13) (less than 10 of 1%)			x	1,001 - 1,000
J 45	Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund - New York, NY (2)			x	500,001 - 1,000,000
S 46	EOAGT, LLC			x	15,000 - 50,000
S 47	Fidelity - FIMM Fund - Mutual Fund - New York, NY			x	1,001 - 15,000
S 48	Loan Receivable - BBFS LLC - Stamford, CT			x	None (or less than 1,001)
S 49	PETER L. MALKIN FAMILY 9 LLC c/o Malkin Holdings LLC, New York, NY			x	None (or less than 1,001)
S 50	JP Morgan - Sweep Account - Newark, DE			x	Over 50,000,000
S 51	JP Morgan - Checking Account - Newark, DE			x	25,000,001 - 50,000,000
S 52	JP Morgan - Savings Account - Newark, DE			x	5,000,001 - 5,000,000
S 53	JP Morgan CDs (2) - Newark, DE			x	1,000,001 - 1,000,000
S 54	Fine Troy Ounces of Allocated Gold - Held at JP Morgan BR Properties S.A - Real Estate - San Paulo, Brazil - Public Company (Stock)			x	Over 1,000,000
S 55	Brazilian SELIC Notes- Brazil			x	Over 1,000,000
S 56	Goku BDC Inc - (GDBC - NASDAQ) - Public Company - Stock - New York, NY			x	Over 1,000,000
S 57	Empire State Realty Trust Inc - New York, NY - Class B (Common Stock) (26)			x	Over 1,000,000
S 58	3M's Partners - Partnership - New York, NY			x	Over 1,000,000
S 59	Blue Ridge Limited Partnership - Hedge Fund - New York, NY			x	Over 1,000,000
S 60	Whitewater - Built-To-Last Partners - Hedge Fund - New York, NY			x	Over 1,000,000
S 61	New York, NY - (1)			x	Over 1,000,000
S 62	DC Capital Partners LP - Hedge Fund - New York, NY			x	Over 1,000,000
S 63	Eton Park Fund, LP - Hedge Fund - New York, NY			x	Over 1,000,000
S 64	Quasar Global Opportunity Fund - Hedge Fund - New York, NY			x	Over 1,000,000
S 65	Trelius Partner, LP - Hedge Fund - New York, NY			x	Over 1,000,000
S 66	Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY			x	Over 1,000,000
S 67	Blue Ridge Limited Partnership - Hedge Fund - New York, NY			x	Over 1,000,000
S 68	Falcon Edge Global I LP - Hedge Fund - New York, NY (3)			x	Over 1,000,000
S 69	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY			x	Over 1,000,000
S 70	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ			x	Over 1,000,000
S 71	Trelius Partners, LP - Hedge Fund - New York, NY (3)			x	Over 1,000,000
S 72	Consonance Capital Investors, LP - Hedge Fund - New York, NY			x	Over 1,000,000
S 73	Steadfast Capital Partners LP - Hedge Fund - Hong Kong			x	Over 1,000,000
S 74	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA			x	Over 1,000,000
S 75	O-Cap Partners Fund I, LP - Hedge Fund - New York, NY			x	Over 1,000,000
S 76	Wavered Partners Fund I, LP - Hedge Fund - New York, NY (3) (31)			x	Over 1,000,000

## PART IIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A		INCOME		Underlying Asset Amount		BLOCK B		BLOCK C	
		Trial Balance Amount Used	Income	Underlying Asset Amount	Amount of Income	Type of Income	Other (Specify Type)	Actual Amount (Required if "Other Specified")	Amount of Income
Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (1) had a value exceeding \$1,000 at the close of the reporting period, and/or (2) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA									
S 77	Asia Opportunity Fund II, LP - Private Equity - Hong Kong					x			
S 78	Blue Ridge China Partners, LP - Private Equity - New York, NY					x	x	x	
S 79	Blue Ridge China Partners, II LP - Private Equity - New York, NY					x	x	x	
S 80	BTG Pactual Brazil Investment Fund I - Private Equity - São Paulo, Brazil (3)					x	x	x	
S 81	Leader - Rio de Janeiro - Retailer					x			
S 82	Bravatime - Rio de Janeiro, Brazil					x			
S 83	Maritime Support Services					x			
S 84	Esfera Ambiental - São Paulo, Brazil - Waste Management					x			
S 85	CCRR Participações SA - São Paulo, Brazil - Specialty paper, labels, & adhesives					x			
S 86	Universo Online - São Paulo, Brazil - Online Services					x			
S 87	BodyTech - Rio de Janeiro, Brazil					x			
S 88	C III Recovery Fund I, LP - Private Equity - New York, NY					x			
S 89	C-3 Acquisition Co., LLC - Private Equity - New York, NY					x			
S 90	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (3)					x			
S 91	AG Global Canada, LP - Collingwood, ON, Canada - Renewable Energy					x			
S 92	Bottle Rock Power LLC - Cobb, CA - Renewable Energy					x			
S 93	Coastal Carolina Clean Power LLC - Austin, TX - Renewable Energy					x			
S 94	Companhia Nacional de Álcool e Álcool - Rio de Janeiro, Brazil - Renewable Energy					x			
S 95	Green Earth Fuels LLC - Houston, TX - Renewable Energy					x			
S 96	Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy					x			
S 97	ThermaSource LLC - Santa Rose, CA - Renewable Energy					x			
S 98	Carlyle/Riverstone Brazil Ethanol Partnership, LP - Private Equity - Washington DC (3)					x			
S 99	Carlyle/Riverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2) (3)					x			
S 100	Consilience Capital Investors, LP - Private Equity - New York, NY					x			
S 101	Durus Life Sciences Fund LLC - Private Equity - New York, NY (2)					x			
S 102	Fogo Fund II, LP - Private Equity - New York, NY (1)					x			
S 103	GEMS Fund, LP - Private Equity - New York, NY					x			
S 104	GEMS Palm Beach Holdings LP - Private Equity - New York, NY					x			
S 105	GP Capital Partners III, LP - Private Equity - São Paulo, Brazil (3)					x			
S 106	Tempo Participações SA - Brazil - Healthcare					x			
S 107	Magnesita Refractories SA - Brazil - Manufacturer of refractory materials					x			
S 108	Gatub Capital Partners V, LP - Private Equity - New York, NY					x			
S 109	Golub Capital Partners VI, LP - Private Equity - New York, NY					x			
S 110	Golub Capital Partners VII, LP - Private Equity - New York, NY					x			
S 111	Haworth Capital Partners, LTD - Private Equity - San Francisco, CA (3)					x			
S 112	Island C III Holdings LLC - Private Equity - New York, NY					x			

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Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p. 3, COLUMN OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (3) generated over \$200 in unearned income during the reporting period. Include the date of each such underlying asset, which is not residential to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA							
S 113	Island C-III Holdings III LLC - Private Equity - New York, NY						
S 114	Island Fund I LLC - Private Equity - New York, NY (3)				x		
S 115	Celebrate Virginia - Fredericksburg, VA EFG - Realty Sponsor Fund II LP - Dallas, TX				x		
S 116	Insignia Opportunity Partners II - New York, NY Island Global Vacating II LP - Ft Lauderdale, FL - Owns, develops, & manages Yacht facilities NYC Residential Fund - New York, NY - Owns 11 residential properties on Riverside Drive				x		
S 117	Insignia Opportunity Partners II - New York, NY Island Global Vacating II LP - Ft Lauderdale, FL - Owns, develops, & manages Yacht facilities NYC Residential Fund - New York, NY - Owns 11 residential properties on Riverside Drive				x		
S 118	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India Magna Fund II, LP - Private Equity - San Paulo, Brazil (3) Magnetaria Refractories SA - Brazil - Manufacturer of refractory material				x		
S 120	Missionpoint RE Co-Invest Fund, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 121	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 122	Missionpoint RE Co-Invest Fund III, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 123	Missionpoint RE Co-Invest Fund, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 124	Missionpoint RE Co-Invest Fund III, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 125	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 126	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 127	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 128	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 129	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3) RE Community Holdings LP - Charlotte, NC - Recycling & waste management				x		
S 130	RJ C Pattern Energy Feeder, LP - Private Equity - Washington DC (Committed capital to Pattern Energy Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)				x		
S 131	Riverpark Structural Alpha Fund Inst. F/K/A Wavacrest Partners Fund I, LP - Mutual Fund (1) (30)				x		
S 132	RJ C Pattern Energy Feeder, LP - Private Equity - Washington DC (Committed capital to Pattern Energy Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)				x		
S 133	RJ C Pattern Energy Feeder, LP - Private Equity - Washington DC (Committed capital to Pattern Energy Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)				x		
S 134	RJ C Pattern Energy Feeder, LP - Private Equity - Washington DC (Committed capital to Pattern Energy Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)				x		
S 135	RJ C Pattern Energy Feeder, LP - Private Equity - Washington DC (Committed capital to Pattern Energy Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)				x		
S 136	RJ C Pattern Energy Feeder, LP - Private Equity - Washington DC (Committed capital to Pattern Energy Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)				x		
S 137	RRE Ventures III, LP - Private Equity - New York, NY				x		
S 138	RRE Ventures IV, LP - Private Equity - New York, NY				x		
S 139	RRE Ventures V, LP - Private Equity - New York, NY				x		
S 140	RPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)				x		
S 141	Tenaska Power Fund, LP - Private Equity - Omaha, NE				x		
S 142	Tiger Asia I Holdings, Ltd SPV - Private Equity - New York, NY (3)				x		
S 143	Tower Three Partners Fund II, LP - Private Equity - New York, NY (3)				x		
S 144	2006 Special Global Opportunities LLC - Private Equity New York, NY (3)				x		
S 145	Real Estate Partnerships c/o Malkin Holdings LLC, New York, NY				x		
S 146	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (17)				x		
S 147	112 West 34th Street Company, LLC - New York, NY - Commercial Real Estate (17)				x		
S 148	1185 Swap Portfolio, LP - New York, NY - Real Estate (3) (33)				x		
S 149	Rochester Hills, MN - Residential - Garden Apartments				x		

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## PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A		BLOCK B		BLOCK C	
	INCOME	Trial Balance Amount Used	Underlying Asset Amount	Type of Income	Amount of Income
Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding \$1,000 at the close of the reporting period; and/or (3) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.					
S 150	Edison, NJ - CVS Retail Store			x	
S 151	Painsville, OH - CVS Retail Store			x	
S 152	1185 Swap Portfolio, LP - New York, NY - Real Estate (6) (3)			x	
S 153	White Plains, NY - Commercial - Office Building			x	
S 154	New York, NY - Commercial - Retail			x	
S 155	1185 Swap Portfolio II, LP - New York, NY - Real Estate (3) (33)			x	
S 156	Rochester Hills, MI - Residential - Garden Apartments			x	
S 157	Edison, NJ - CVS Retail Store			x	
S 158	Painsville, OH - CVS Retail Store			x	
S 159	1333 Broadway Associates LLC - New York, NY - Commercial - Office Building (6) (17)			x	
S 160	1350 Broadway Associates LLC - New York, NY - Commercial - Office Building (6) (17)			x	
S 161	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (17)			x	
S 162	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (6) (17)			x	
S 163	300 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (6) (17)			x	
S 164	501 Seventh Avenue Associates - New York, NY - Commercial - Office Building (6) (17)			x	
S 165	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (6) (17)			x	
S 166	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)			x	
S 167	East West Manhattan Retail Portfolio, LP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (26)			x	
S 168	Empire State Building Company LLC - New York, NY - Commercial - Office Building (6) (17)			x	
S 169	Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (26)			x	
S 170	Fairfax Merrifield Associates - Fairfax, VA - Residential - Garden Apartments (Fee Position) (17)			x	
S 171	Fairfax Merrifield Associates - Stamford, CT - Commercial - Office Building (6) (17)			x	
S 172	Fairfield MerrifieldView LP - Norwalk, CT - Commercial - Office Building (6) (17)			x	
S 173	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)			x	
S 174	Jefferson (Dive) Associates, LLC - Louisville, KY - Residential - Garden Apartments (17)			x	
S 175	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)			x	
S 176	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)			x	
S 177	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)			x	
S 178	Lincoln Building Associates - New York, NY - Commercial - Office Building (6) (17)			x	
S 179	Louisville Self Service Associates LLC - Louisville, KY - Commercial - Retail (17)			x	
S 180	Malkin Co-Investor Capital LP - New York, NY - Office Building (17)			x	
S 181	Malkin Industrial Partners II, LP - Chelmsford, MA - Commercial - Office Building (6) (17)			x	
S 182	Malkin Strategic Capital II, LP - New York, NY - Real Estate (3)			x	
S 183	JP Morgan - Checking Account - Newark, DE			x	
S 184				x	

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	BLOCK A	INCOME	Underlying Asset Amount Used	Valuation of Assets	BLOCK C	
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<b>Identity of Non-Publicly Traded Assets and Unearned Income Sources</b> Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p. 3, CONTENTS OF REPORTS, Part B, of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding \$1,000 at the close of the reporting period; and/or (3) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.						
S 185	Fidelity - FIMM Fund - Mutual Fund - New York, NY Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center	38	0	x	Actual Amount (Required if "Other Specified")	Over 5,000,000
S 186	Malkin Strategic Capital III, LP - New York, NY - Real Estate (17)	733,421	6,277	x		
S 187	Malkin Strategic Capital V, LP - New York, NY - Real Estate (3)	10,270	46	x		
S 188	Interaudif Bank - checking account - New York, NY Fidelity - FIMM Fund - Mutual Fund - New York, NY Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia	4,214,524	30,534	x		
S 189	University Square - San Diego, CA - Retail Shopping Center	-	-	x		
S 190	Interaudif Bank - checking account - New York, NY Fidelity - FIMM Fund - Mutual Fund - New York, NY Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center	993	7	x		
S 191	681 Fifth Avenue Holdings - New York, NY - Office Building	25,019	181	x		
S 192	Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center	1,200,593	8,700	x		
S 193	Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments	61,585	446	x		
S 194	Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center	1,412,082	10,231	x		
S 195	Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center	451,136	3,268	x		
S 196	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)	5,36,067	3,884	x		
S 197	Interaudif Bank - checking account - New York, NY Fidelity - FIMM Fund - Mutual Fund - New York, NY	92	1	x		
S 198	Magnolia Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia	495,530	3,930	x		
S 199	Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center	605,395	4,801	x		
S 200	Loan Receivable - 777 LP/Lhi-Penn - Philadelphia, PA - Commercial Office	794,375	6,299	x		
S 201	Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments	163,927	1,390	x		
S 202	Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center	145,912	1,157	x		
S 203	Manboro Building Associates, LLC - New York, NY - Commercial - Office Building (6) (17)	1,392	x	x		
S 204	McKnight Road Associates LLC - Ross Township, PA - Commercial - Retail (17)	1,392	x	x		
S 205	Manfield Apartments Company LLC - Fairfax, VA - Garden Apartments (17)	1,392	x	x		
S 206	Manfield Apartments Company LLC - Stamford, CT - Office Building (6) (17)	1,392	x	x		
S 207	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (6) (17)	1,392	x	x		
S 208	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (17)	1,392	x	x		
S 209	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (17)	1,392	x	x		
S 210	Seventh & 37th Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)	1,392	x	x		
S 211	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)	1,392	x	x		
S 212	Univay Partners LP/Malkin JV - New York, NY - Commercial - Retail (17)	1,392	x	x		
S 213	U.S. Weather Associates LLC - Wertheim, Germany - Commercial - Retail (17)	1,392	x	x		
S 214	U.S. Weather Associates LLC - Wertheim, Germany - Commercial - Retail (17)	1,392	x	x		

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### PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

	BLOCK A	INCOME	TRIAL BALANCE AMOUNT USED	UNDERLYING ASSET AMOUNT	BLOCK C	
					Type of Income	Amount of Income
					Other (Specify Type)	Actual Amount (Required if "Other Specified")
S	218	Wilk Realty Company LLC - Monroeville, PA - Commercial - Retail (17)			x	Over 5,000,000
S	220	Malkin East West Retail LLC - New York, NY - Commercial - Retail (6) (17)			x	1,000,001 - 5,000,000
S	221	Malkin Foxfire LLC - Chicago, IL - Commercial - Retail (17)			x	Over 1,000,000
S	222	Malkin Glen Oaks LLC - Des Plaines - Residential - Garden Apartments (17)			x	50,001 - 100,000
S	223	Malkin Union Square LLC - New York, NY - Commercial - Retail (5) (17)			x	100,001 - 100,000
S	224	One Station Place, Limited Partnership - Stamford, CT - Commercial - Office Building (6) (17)			x	15,001 - 50,000
S	225	PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY			x	Over 50,000,000
S	226	JP Morgan - Sweep Account - Newark, DE			x	25,000,001 - 50,000,000
S	227	JP Morgan - Checking Account - Newark, DE			x	5,000,001 - 25,000,000
S	228	JP Morgan - Savings Account - Newark, DE			x	1,000,001 - 5,000,000
S	229	JP Morgan CDs - New York, NY (2)			x	Over 1,000,000
S	230	Fine Troy Ounces of Allocated Gold - Held at JP Morgan, Newark, DE			x	50,001 - 100,000
S	231	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (27)			x	15,001 - 50,000
S	232	BR Properties S.A. - San Paulo, Brazil - Public Company (Stock)			x	1,001 - 15,000
S	233	Blue Ridge Limited Partnership - Hedge Fund - New York, NY			x	None (or less than 1,001)
S	234	Consonance Capital Investors, LP - Hedge Fund - New York, NY			x	None (or less than 1,001)
S	235	DC Capital Partners LP - Hedge Fund - New York, NY			x	None (or less than 1,001)
S	236	Eton Park Fund, LP - Hedge Fund - New York, NY			x	None (or less than 1,001)
S	237	Falcon Edge Global LP - Hedge Fund - New York, NY (3)			x	None (or less than 1,001)
S	238	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY			x	None (or less than 1,001)
S	239	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ			x	None (or less than 1,001)
S	240	Trellus Partner, LP - Hedge Fund - New York, NY (3)			x	None (or less than 1,001)
S	241	AAM Partners LLC - Partnership - Newark, NY			x	None (or less than 1,001)
S	242	JP Morgan - Checking Account - Newark, DE			x	None (or less than 1,001)
S	243	First Republic Bank (FRC - NYSE) - Stock - New York, NY			x	None (or less than 1,001)
S	244	3G Special Situations Fund II, LP - Private Equity - New York, NY			x	None (or less than 1,001)
S	245	3G Special Situations Fund III, LP - Private Equity - New York, NY			x	None (or less than 1,001)
S	246	AAM Emerging Managers, LP - Private Equity - New York, NY (2)			x	None (or less than 1,001)
S	247	AIM Kicksream, LLC - Private Equity - New York, NY			x	None (or less than 1,001)
S	248	Aisting Capital II, LP - Private Equity - New York, NY			x	None (or less than 1,001)
S	249	Aisting Capital III, LP - Private Equity - New York, NY			x	None (or less than 1,001)
S	250	APSA Associates - Real Estate - New York, NY			x	None (or less than 1,001)
S	251	BBSF LLC - Stamford, CT - Real Estate			x	None (or less than 1,001)
S	252	Asia Opportunity Fund II, LP - Private Equity - Hong Kong			x	None (or less than 1,001)
S	253	BBH Capital Partners III, LP - Private Equity - New York, NY			x	None (or less than 1,001)
S	254	Chauncey Street Group, LLC - Private Equity - New York, NY (2)			x	None (or less than 1,001)
S	255	DC Franchise 2011 LLC - Private Equity - Greenwich, CT (Quality Brand Capital LLC - acquire Dunkin Donut Franchise restaurants) (3)			x	None (or less than 1,001)
S	256	Drill Fund, LP - Private Equity - San Paulo, Brazil (3)			x	None (or less than 1,001)
S	257	San Antonio International Ltd - San Antonio, TX (Energy)			x	None (or less than 1,001)
S	258	Orill Fund III, LP - Private Equity - San Paulo, Brazil (3)			x	None (or less than 1,001)

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## PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A		INCOME		Underlying Asset Amount Used	Actual Amount Required if "Other Specified")
		Trial Balance Amount	Amount of Income		
<b>Identity of Non-Publicly Traded Assets and Unearned Income Sources</b> Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p. 3, CONVENTION OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.					
S	259	San Antonio International Ltd - San Antonio, TX (Energy)			
S	260	ESO Capital Managers - Private Equity - London England (3)			x
S	261	ESO Special Opportunities FUDN II FCP SIF - Private Equity - London England (3)			x
S	262	Evrax Technology (C Corp) Glendale, CA (3)			x
S	263	Generation Capital Partners Captivate - Private Equity - Greenwich, CT			x
S	264	Golub Capital Cointvestment, LP - Private Equity - New York, NY			x
S	265	Golub Capital Partners IV, LP - Private Equity - New York, NY (2)			x
S	266	Golub Capital Partners VIII, LP - Private Equity - New York, NY			x
S	267	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)			x
S	268	Tempo Participacoes S.A -Brazil - Healthcare			x
S	269	BR Proprietos Brasil - Commercial Real Estate			x
S	270	Magnesita Refratorios SA - Brazil - Manufacturer of refractory material			x
S	271	Fogo de Chao Churrascarias (Holdings, Inc.) - Brazil - Restaurant			x
S	272	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)			x
S	273	San Antonio International Ltd - San Antonio, TX (Energy)			x
S	274	Allis Participacoes S.A -Brazil - Staffing			x
S	275	BHG S.A. - Brazil - Hotel Management			x
S	276	Magnesita Refratorios SA - Brazil - Manufacturer of refractory material			x
S	277	Estacio Participacoes S.A - Brazil - Education			x
S	278	Lacteos Brasil S.A. - Brazil - Dairy Company			x
S	279	GP Capital Partners V, LP - Private Equity - San Paulo, Brazil (3)			x
S	280	San Antonio International Ltd - San Antonio, TX Energy			x
S	281	Autonova S.A. - Brazil - Mobile resource management			x
S	282	BR Towers, SA - Brazil - Mobile telephone tower management			x
S	283	Cor Brasil, S.A. - Brazil - Beauty Institute			x
S	284	Naomi S.A. - Brazil - Retail			x
S	285	Empresa Brasileira de Agregados Minerais - Brazil - Minerals and Aggregates			x
S	286	Horseshoe Re Ltd - BTG-002 - Beneficial Ownership Position - New York, NY			x
S	287	Magma Fund, LP - Private Equity - Private Equity - San Paulo, Brazil (3)			x
S	288	Magnesita Refratorios SA - Brazil - Manufacturer of refractory material			x
S	289	Magma Fund II, LP - Private Equity - Private Equity - San Paulo, Brazil (3)			x
S	290	Patamon European Equity Fund II, LP - Private Equity - London, England			x
S	292	Revolution Venture II, LP - Private Equity - New York, NY			x
S	293	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3) (10)			x
S	294	Rockefeller Access Fund 06-I, LLC - New York, NY (3) (11)			x
S	295	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY			x
S	296	Tenaska Power Fund, LP - Private Equity - Omaha, NE			x

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### PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

	BLOCK A	INCOME	Underlying Asset Amount	Trial Balance Amount Used	BLOCK B		Amount of Income
					Type of Income	Valuation of Assets	
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (see p. 3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trust or business which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA					
\$ 297	Tinicum Capital Partners II LP - Private Equity - New York, NY				x	x	
\$ 298	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY				x	x	
\$ 299	Tower Tree Partners Fund II, LP - Private Equity - Greenwich, CT - (no underlying investments) (3)				x	x	
\$ 300	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)				x	x	
\$ 301	Trident Private Equity II, LP - Private Equity - London, England				x	x	
\$ 302	ZM Capital Alroy Digital Investment LP - Private Equity - New York, NY				x	x	
\$ 303	ZM Capital Centerstage Investment LP - Private Equity - New York, NY				x	x	
\$ 304	ZM Capital Crt Investment, LP - Private Equity - New York, NY				x	x	
\$ 305	ZM Capital Fento Investment LP - Private Equity - New York, NY				x	x	
\$ 306	ZM Capital, LP - Private Equity - New York, NY				x	x	
\$ 307	ZM Capital II, LP - Private Equity - New York, NY				x	x	
\$ 308	ZM Titan Investment, LP - Private Equity - New York, NY				x	x	
\$ 309	Real Estate Partnerships c/o Malkin Holdings LLC, New York, NY				x	x	
\$ 310	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (17)				x	x	
\$ 311	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (17)				x	x	
\$ 312	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (17)				x	x	
\$ 313	500 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (17)				x	x	
\$ 314	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (17)				x	x	
\$ 315	BBSF LLC - Vacant Land - Stamford, CT (17)				x	x	
\$ 316	Broadway72nd Associates I PLLC JV - New York, NY - Commercial - Office Building (17)				x	x	
\$ 317	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)				x	x	
\$ 318	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (17)				x	x	
\$ 319	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (17)				x	x	
\$ 320	Empire State Building Company LLC - New York, NY - Commercial - Office Building (17)				x	x	
\$ 321	Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (27)				x	x	
\$ 322	Fairfield Merritt/New LP - Norwalk, CT - Commercial - Office Building (17)				x	x	
\$ 323	First Stamford Place LLC - Stamford, CT - Commercial - Office Building (17)				x	x	
\$ 324	Malkin Greenwich Retail LLC - Greenwich, CT - Commercial - Retail (17)				x	x	
\$ 325	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (17)				x	x	
\$ 326	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3)				x	x	
\$ 327	St. Davids, PA				x	x	
\$ 328	Manhasset, NY				x	x	
\$ 329	White Plains, NY				x	x	
\$ 330	Paramus, NJ				x	x	
\$ 331	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)				x	x	

	BLOCK A	INCOME	Underlying Asset Amount	Valuation of Assets	BLOCK C	
					Type of Income	Amount of Income
					Other (Specify Type)	Actual Amount (Required if "Other Specified")
S	332	Malkin Co-Investor Capital LP - New York, NY - Real Estate Commercial Office (17)			x	Over 5,000,000
S	333	Malkin Co-Investor Capital LP - Westport, CT - Retail Stores (7) (17)			x	1,000,001 - 5,000,000
S	334	Malkin Greenwich Retail LLC - Retail - Greenwich, CT (17) Buildings (3)			x	Over 1,000,000
S	335	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (3)			x	100,001 - 100,000
S	336	Malkin Memphis, TN			x	50,001 - 50,000
S	337	Columbus, OH			x	15,001 - 15,000
S	338	Charleston, SC			x	5,001 - 5,000
S	339	Raleigh - Durham, NC			x	2,501 - 2,500
S	340	Philadelphia, PA			x	1,001 - 1,000
S	341	Virginia Beach, VA			x	None (or less than 1,001)
S	342	Malkin Industrial Partners II, LP - Chelmsford, MA - Commercial - Office Building (17)			x	
S	343	Malkin Strategic Capital III, LP - New York, NY - Real Estate (3)			x	
S	344	JP Morgan - Checking Account - Newark, DE			x	
S	345	Fidelity - FIMM Fund - Mutual Fund - New York, NY		36	x	
S	346	Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center	733,421	0	x	
S	347	Malkin Strategic Capital III, LP - New York, NY - Real Estate (17)		4,285	x	
S	348	Malkin Strategic Capital IV, LP - New York, NY - Real Estate (3)		x	x	
S	349	Intertrust Bank - Checking account - New York, NY		x	x	
S	350	Fidelity - FIMM Fund - Mutual Fund - New York, NY	58	1	x	
S	351	Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center	2,363,012	55,520	x	
S	352	Malkin Strategic Capital V, LP - New York, NY (3)		x	x	
S	353	Intertrust Bank - Checking account - New York, NY		x	x	
S	354	Fidelity - FIMM Fund - Mutual Fund - New York, NY	993	10	x	
S	355	Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia	25,019	261	x	
S	356	University Square - San Diego, CA - Retail Shopping Center		x	x	
S	357	Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center	526,739	5,503	x	
S	358	Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building	1,200,893	12,546	x	
S	359	Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY	61,595	643	x	
S	360	Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center	1,412,082	14,752	x	
S	361	Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments	451,136	4,713	x	
S	362	Loan Receivable - 158 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center	536,087	5,600	x	
S	363	Malkin Strategic Capital Value Retail LP - New York, NY - Real Estate (17) (21)		x	x	
S	368	New Soundview Plaza Associates, LP - Westport, CT - Retail Stores (17)		x	x	
S	364	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (7) (17)		x	x	
S	365	New Soundview Plaza Associates, LP New York, NY - Office Building (7) (17)		x	x	
S	366	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail - (17)		x	x	
S	367	Ross Township, PA - Commercial - Retail - (17)		x	x	
S	368	Ross Township, PA - Commercial - Retail - (17)		x	x	

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### PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

	BLOCK A	INCOME		Underlying Asset Amount Used	Valuation of Assets	Type of Income	BLOCK C	Amount of Income
		Trial Balance	Amount					
<b>Identity of Non-Publicly Traded Assets and Unearned Income Sources</b> Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (3) generated over \$200 in "unearned income" during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA								
S	369	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (17)			x	x		Over 50,000,000
S	370	S.D. Makin Atlantic Partners, LP - Greenwich, CT - Commercial - Retail in San Diego, CA (17)			x	x		1,000,001 - 5,000,000
S	371	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)		x	x	x		Over 1,000,000
S	372	U.S. Bicester LP - Oxfordshire, England - Commercial - Retail (17) (25)		x	x	x		100,001 - 100,000
S	373	U.S. Bicester II LLC PLM JV - Oxfordshire, England - Commercial - Retail (17) (25)		x	x	x		500,001 - 1,000,000
S	374	U.S. Dublin LLC - Dublin, Ireland - Commercial - Retail (17) (24)		x	x	x		250,001 - 500,000
S	375	U.S. la Roca LLC PLM JV - Barcelona, Spain - Commercial - Retail (17) (24)		x	x	x		100,001 - 100,000
S	376	U.S. Maasmechelen LLC - Maasmechelen, Belgium - Commercial - Retail (17) (24)		x	x	x		15,000 - 50,000
S	377	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (17) (24)		x	x	x		1,001 - 15,000
S	378	U.S. Munich LLC - Munich, Germany - Commercial - Retail (17) (24)		x	x	x		None (or less than 1,001)
S	379	U.S. Paris LLC - Paris, France - Commercial - Retail (17) (24)		x	x	x		None (or less than 1,001)
S	380	Westport Main Street Retail LLC - Westport, CT - Commercial - Retail (7) (17)		x	x	x		None (or less than 1,001)
S	381	PLM/CMB 2001 Trust - New York, NY			x	x		None (or less than 1,001)
S	382	JP Morgan Checking Account - Newark, DE			x	x		None (or less than 1,001)
S	383	RCB Investment Partners LLC			x	x		None (or less than 1,001)
S	384	State Street Bank & Trust Co (15)			x	x		None (or less than 1,001)
S	385	Rockefeller US Small Capitalization Fund LP - Private Equity (3) (12) (less than .7 of 1%)			x	x		None (or less than 1,001)
S	386	Rockefeller Global Equity Fund II LP - Private Equity (3) (13) (less than .10 of 1%)			x	x		None (or less than 1,001)
S	387	Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund (2)			x	x		None (or less than 1,001)
S	388	Loan Receivable - EBSF LLC - Stamford, CT (17)			x	x		None (or less than 1,001)
S	389	CMB 2010 TRUST New York, NY (32)			x	x		None (or less than 1,001)
S	390	Fidelity - FIMM Fund - Mutual Fund - New York, NY			x	x		None (or less than 1,001)
S	391	Lannomae Partners LLC - Real Estate Supervisory Agent - New York, NY			x	x		None (or less than 1,001)
S	392	JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE			x	x		None (or less than 1,001)
S	393	Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs interior building construction			x	x		None (or less than 1,001)
S	394	Empire State Realty Trust Inc - Class B Common Stock - New York, NY			x	x		None (or less than 1,001)
S	395	CMB 2010 FAMILY TRUST New York, NY (32)			x	x		None (or less than 1,001)
S	396	Fidelity - FIMM Fund - Mutual Fund - New York, NY			x	x		None (or less than 1,001)
S	397	Lannomae Partners LLC - Real Estate Supervisory Agent - New York, NY			x	x		None (or less than 1,001)
S	398	JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE			x	x		None (or less than 1,001)
S	399	Empire State Realty Trust Inc - Class B Common Stock - New York, NY			x	x		None (or less than 1,001)
S	400	Empire State Realty Trust Inc - Class B Common Stock - New York, NY			x	x		None (or less than 1,001)

**PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

	BLOCK A	INCOME	Underlying Asset Amount Used	Valuation of Assets	BLOCK C	
					Type of Income	Amount of Income
S 401	PLM 1999 FAMILY TRUST New York, NY				Other (Specify Type)	Actual Amount (Required if "Other Specified")
S 402	Wintergreen Fund (WGRNX) - Publicly traded mutual fund - New York, NY (2)					Over 5,000,000
S 403	CMB 2009 GRAT New York, NY					1,000,001 - 5,000,000
S 404	JP Morgan Checking Account - New York, NY					Over 1,000,000
S 405	Peter L. Malkin Family # LLC - New York, NY (underlying assets listed above)					100,001 - 1,000,000
S 406	Defined Benefit Pension Plan Interest - State of Connecticut (18)					50,000,000
S 407	Gao Energy Partners - 1983 LTD - New York, NY - Energy (19)					Over 50,000,000
S 408	Greely Gas LTD - Austin, TX - Oil & Gas					25,000,001 - 250,000,000
S 409	Larrymase Partners LLC - Real Estate Supervisory Agent - New York, NY					5,000,001 - 25,000,000
S 410	JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE					1,000,001 - 10,000,000
S 411	Empire State Ready OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (28)					Over 1,000,000
S 412	Empire State Ready Trust Inc - Class B (Common Stock) - New York, NY (28)					15,000 - 50,000
S 413	Malkin Construction Corp - Stamford, CT - Interior Building Construction (17)					50,001 - 100,000
S 414	Malkin Securities Corporation - Broker/Dealer - New York, NY (17)					250,001 - 500,000
S 415	Malkin Support Fund LP - Real Estate - New York, NY (17) (22)					1,001 - 15,000
S 416	Real Estate Partners c/o Malkin Holdings LLC, New York, NY					None (or less than 1,001)
S 417	112 West 34th Street Associates, LLC - New York, NY - Commercial Office Building (17)					None (or less than 201)
S 418	112 West 34th Street Company LLC - New York, NY - Commercial - Office Building (17)					201 - 1,000
S 419	1185 Swap Portfolio, LP - New York, NY - Real Estate (3) (33)					5,001 - 15,000
S 420	Rochester Hills, MI - Residential - Garden Apartments					15,001 - 50,000
S 421	Edison, NJ - CVS Retail Store					50,001 - 100,000
S 422	Paineville, OH - CVS Retail Store					100,001 - 150,000
S 423	1185 Swap Portfolio, LP - New York, NY - Real Estate (3) (33)					150,001 - 500,000
S 424	New York, NY - Commercial - Office Building					Over 500,000
S 425	White Plains, NY - Commercial - Office Building					Over 1,000,000
S 426	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3) (33)					Over 5,000,000
S 427	Rochester Hills, MI - Residential - Garden Apartments					Over 50,000
S 428	Edison, NJ - CVS Retail Store					Over 100,000
S 429	Painesville, OH - CVS Retail Store					Over 150,000
S 430	1333 Broadway Associates LLC - New York, NY - Commercial - Office Building (8) (17)					Over 200,000
S 431	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (17)					Over 250,000
S 432	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (8) (17)					Over 300,000
S 433	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (8) (17)					Over 350,000
S 434	Univay Partners LP Malton JV - New York, NY - Commercial - Retail (17)					Over 400,000
S 435	Chester Gardens - New York, NY - Apartments (8) (17)					Over 450,000
S 436	Chicago Golf Road Limited Partnership - Das Plaines, IL - Residential - Garden Apartments (17)					Over 500,000

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	BLOCK A	INCOME	Underlying Asset Amount	Valuation of Assets	BLOCK C	
					Type of Income	Amount of Income
					Other (Specify Type)	
					Qualified Blind Trust	
					Exempted Trust	
					Exempted Investment Fund	
					Capital Gains	
					Interest	
					Rent	
					Dividends	
					None (or less than 1,001)	
					Over 50,000,000	
					25,000,001 - 50,000,000	
					5,000,001 - 25,000,000	
					1,000,001 - 5,000,000	
					50,001 - 100,000	
					100,001 - 150,000	
					150,001 - 250,000	
					250,001 - 500,000	
					500,001 - 1,000,000	
					Over 1,000,000	
					None (or less than 201)	
					Over 5,000,000	
					1,000,001 - 5,000,000	
					50,001 - 100,000	
					100,001 - 150,000	
					150,001 - 250,000	
					250,001 - 500,000	
					500,001 - 1,000,000	
					Over 1,000,000	
					None (or less than 1,001)	
S 437	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (8) (17)			x		
S 438	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (8) (17)			x		
S 439	Empire State Building Company LLC - New York, NY - Commercial - Office Building (8) (17)			x		
S 440	Empire State Realty Trust Inc - Class A (Common Stock) - New York, NY (28)			x		
S 441	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (28)			x		
S 442	Empire State Realty OP, LLP - New York, NY Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs interior Building Construction (28)			x		
S 443	Fairfield MerrittNew LP - Norwalk, CT - Commercial - Office Building (8) (17)			x		
S 444	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)			x		
S 445	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)			x		
S 446	Malkin Industrial Partners II, LP - Stamford, CT - Commercial - Office Building (17)			x		
S 447	Malkin Properties LLC - Real Estate Management - New York, NY (17)			x		
S 448	Malkin Properties of Connecticut, Inc - Stamford, CT - Real Estate Management (17)			x		
S 449	Malkin Properties of Illinois, Inc - Real Estate Management - New York, NY (17)			x		
S 450	Malkin Properties of Kansas, LLC - Real Estate Management - New York, NY (17)			x		
S 451	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (17)			x		
S 452	Malkin Properties of Missouri, Inc - Real Estate Management - New York, NY (17)			x		
S 453	Malkin Properties of New York LLC - Real Estate Management - New York, NY (17)			x		
S 454	Malkin Properties of Virginia, Inc - Real Estate Management - New York, NY (17)			x		
S 455	Malkin Strategic Capital II, LP - New York, NY (3) JP Morgan - Checking Account - Newark, DE			x		
S 456	Fidelity - FIMM Fund - Mutual Fund - New York, NY			x		
S 457	Loan Receivable - YR Finance LLC - Oxfordshire, UK - Factory Outlet Center			x		
S 458	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (8) (17)			x		
S 459	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3) St. Davids, PA			x		
S 460	Manhasset, NY White Plains, NY			x		
S 461	Peramus, NJ Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (17)			x		
S 462	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (17)			x		
S 463	Seventh & 37th Building Associates LLC - New York, NY - Commercial - Office Building (8) (17)			x		
S 464	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)			x		
S 465	W & M Properties, Inc. - Real Estate Management - New York, NY (17)			x		
S 466	CLAUDE M. BLUMENTHAL 2012 TRUST - Greenwich, CT			x		
DC 470				x		

Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p. 3, CONTENTS OF REPORTS, Part B, of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding \$1,000 at the close of the reporting period; and/or (3) generated over \$200 in 'unearned' income during the reporting period. Indicate the above report for each underlying asset which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA

Page Number

## PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

**Identity of Non-Publicly Traded Assets and Unearned Income Sources**  
Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p. 3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding \$1,000 at the close of the reporting period, and/or (3) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

**Reporting Individual's Name:** **Richard Blumenthal**

**Richard Blumenthal**  
Reporting Individual's Name

## PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Footnotes to Part IIIB

- (1) The Fund was fully redeemed during 2012, and only a small percentage of the capital balance was retained until after the year-end audit. The investor did not share in Fund profits after the redemption.
- (2) The Fund was fully redeemed during 2013.
- (3) Although we have requested additional information from the fund manager, additional information is not known or ascertainable; and the filer has no power or authority to direct the investments of the financial arrangement.
- (4) The fund was converted to a publicly traded mutual fund in 2013. All interests in the fund have since been sold.
- (5) Not Used.
- (6) 223,116 Empire State Realty Trust Inc. Class B shares & 10,932,635 Empire State Realty OP units resulting from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offering on October 6, 2013.
- (7) 40,434 Empire State Realty Trust Inc. Class B Shares & Empire State Realty OP 1,981,270 units resulting from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offering on October 6, 2013.
- (8) 91,482 Empire State Realty Trust Inc. Class A shares, 25,692 Empire State Realty Trust class B shares & 1,258,920 Empire State Realty OP units resulted from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offering on October 6, 2013.
- (9) 9,807 Empire State Realty Trust Inc. Class B shares & 480,557 Empire State Realty OP units resulting from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offering on October 6, 2013.
- (10) See attachment - Rockefeller Access Fund I Schedule of Investments as of 12/31/13.
- (11) See attachment - Rockefeller Access Fund I-06 Schedule of Investments as of 12/31/13.
- (12) See Attachment - Rockefeller & Co Us Small Capitalization Fund Statement of Transactions & Assets.
- (13) See attachment - Rockefeller & Co Global Equity Fund II, LP Statement of Transactions & Assets.

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- (14) Not Used.
- (15) Custodial account for Rockefeller funds.
- (16) Not used.
- (17) Sole underlying asset.
- (18) The State has declined to place a current value on the pension benefit payable and will not provide information as to the Fund's underlying assets. The annual benefit payable is \$51,434. Upon death, one-half is payable to his staff.
- (19) Geo-Energy Partners – 1983 LTD – The general partner of the partnership has provided the following information:
- GEO-Energy Partners-1983 LTD., a Colorado limited partnership (the “Partnership”) has been issued several undeveloped geothermal resource leases from the Bureau of Land Management of the United States Department of the Interior (“BLM”) covering several thousand acres of land in central Nevada. In addition, the Partnership has been issued several undeveloped geothermal resource leases from both BLM and private sources covering several thousand acres of land in southern California. The Partnership also receives distributions from revenue generated by a power plant located in southern California, which the Partnership does not manage or operate.
- (20) Malkin Strategic Capital III, L.P.- New York, NY – Loans to equity investments in real estate. All investments sold during 2012. Cash reserve distributed in 2013.
- (21) Malkin Strategic Capital Value Retail – New York, NY – Loan to VR Finance LLC for real estate projects of S.D. Malkin Properties, Inc. affiliates in Europe.
- (22) Malkin Support Fund LP – New York, NY - Loans to the following real estate owners:
- Kansas City Georgetown Associates – Kansas City, KS
    - Asset value = \$ 61,982. Interest income = \$1,856
  - Rochester River Oaks (Foxfire) Associates – Rochester Hills, Minnesota
    - Asset value = \$ 169,293. No income.
  - Loan to 1185 SWAP L.L.C.
    - Asset value = \$329,508. No income.
- (23) Malkin Support Fund LP – New York, NY - Loans to the following real estate owners:
- Kansas City Georgetown Associates – Kansas City, KS.

- Asset value = \$ 224. Interest income = \$7
  - Rochester River Oaks (Foxfire) Associates – Rochester Hills, Minnesota
    - Asset value = \$ 611 No income.
  - Loan to 1185 SWAP L.L.C.
    - Asset value = \$1,189. No income.
- (24) The entity is managed from London, England.
- (25) The entity is managed from Greenwich, CT
- (26) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (6).
- (27) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (7).
- (28) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (8).
- (29) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (9).
- (30) The Fund is the successor fund to Wavecrest Partners Fund I LP On June 28<sup>th</sup> 2013, all of the assets in the Wavecrest Partners Fund I were converted into shares of RiverPark Structural Fund. All limited partners became shareholders of this mutual fund.
- (31) The Fund is the predecessor fund to RiverPark Structural Fund.
- (32) CMB 2010 Trust & CMB 2010 Family Trust - The Trust owns a 3.75% interest in LarryMae Partners LLC, c/o Malkin Holdings LLC, 60 East 42nd Street, 26th Floor, New York, NY 10165. The value of the assets is undetermined because the Trust is a sprinkling trust. The Trust beneficiaries are the descendants of Cynthia M. Blumenthal. No distribution was made to any beneficiary during 2013.
- (33) 1185 Swap Portfolio II was created to replace the portion of 1185 Swap Portfolio I that was not consolidated with the REIT