Marc Erik Elias
Kate Sawyer Keane
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SECRETARY OF THE SENATE
14 AUG 13 PM 5:06

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August 13, 2014

Secretary of the Senate
Office of Public Records
232 Hart Senate Office Building
Washington, D.C. 20510

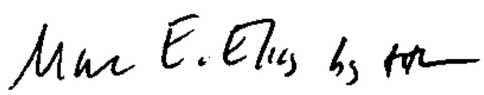
Re: Senator Richard Blumenthal

Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find Senator Blumenthal's Public Financial Disclosure Report for the calendar year ending December 31, 2013.

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

Very truly yours,



Marc Erik Elias
Kate Sawyer Keane
Counsel to Senator Richard Blumenthal

Enclosure

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UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

☐ Amendment

Last Name	First Name and Middle Initial	Annual Report: Calendar Year Covered by Report	Senate Office / Agency in Which Employed
Blumenthal	Richard	2013	United States Senate
Senate Office Address (Number, Street, City, State, and ZIP Code)	**Senate Office Telephone Number** *(Include Area Code)*	**Termination Report: Termination Date (mm/dd/yy)**	**Prior Office / Agency in Which Employed**
724 Hart Office Building Us Senate-Washington, DC	202-224-2823	N/A	N/A

AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, complete and attach PART I.	☐	☒
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than $200 from any reportable source in the reporting period? If Yes, complete and attach PART II.	☒	☐
Did you, your spouse, or dependent child hold any reportable asset worth more than $1,000 at the end of the period, or receive unearned or investment income of more than $200 in the reporting period? If Yes, complete & attach PART IIIA and/or IIIB.	☒	☐
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If Yes, complete and attach PART IV.	☒	☐
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $350 and not otherwise exempt)? If Yes, complete and attach PART V.	☐	☒
Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than $350 from one source)? If Yes, complete and attach PART VI.	☐	☒
Did you, your spouse, or dependent child have any reportable liability (more than $10,000) during the reporting period? If Yes, complete and attach PART VII.	☒	☐
Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII.	☐	☒
Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	☒	☐
If this is your FIRST Report: Did you receive compensation of more than $5,000 from a single source in the two prior years? If Yes, complete and attach PART X.	☐	☐

Each question must be answered and the appropriate PART attached for each "YES" response.

FOR OFFICIAL USE ONLY
Do Not Write Below this Line

SECRETARY OF THE SENATE
14 AUG 13 AM 5:06

Reporting Individual's Name: ☐ Amendment

Richard Blumenthal

PART II. EARNED AND NON-INVESTMENT INCOME

Report the source (name and address), type, and amount of earned income to you from any source aggregating $200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate $1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:
For you and /or your spouse, report honoraria income received which aggregates $200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	*JP Computers*	*Wash., DC* **EXAMPLE**	*Salary*	*$15,000*
	MCI (Spouse)	*Arlington, VA* **EXAMPLE**	*Salary*	*Over $1,000*
1	State of Connecticut Retirement Division	Hartford, CT	Pension	51,434
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				

Reporting Individual's Name: Richard Blumenthal

☐ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A — Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment 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 on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B — Valuation of Assets

At the close of reporting period. If None, or less than $1,001, Check the first column.

BLOCK C — Type and Amount of Income

		Asset	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example:	S, DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
	(S)	*Keystone Fund*					X													X			*Example*	X											*Example*
1	S	JPMorgan - Checking Account					X											X						X											
2	S	JPMorgan - Brokerage Cash Account		X														X						X											
3	S	JPMorgan - Savings Account								X								X								X									
4	J	JPMorgan - Checking Account					X											X						X											
5	J	JPMorgan - Brokerage Cash Account			X													X								X									
6	J	JPMorgan - Savings Account					X											X							X										
7	DC	Bank of America - Checking Account		X														X						X											
8	S	Bank of America - Checking Account			X													X						X											
9		Bank of America - Checking Account			X													X						X											
10																																			

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C 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	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	1	**3 Ms PARTNERS** **c/o Malkin Holdings LLC - New York, NY**																																
S	2	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x											x					
S	3	Wintergreen - Built-To-Last Partners - Hedge Fund - New York, NY - (1)	x																x							x								
S	4	DC Capital Partners LP - Hedge Fund - New York, NY			x														x							x								
S	5	Eton Park Fund, LP · Hedge Fund - New York, NY				x													x								x							
S	6	Quasar Global Opportunity Fund · Hedge Fund · New York, NY	x																x									x						
S	7	Trellus 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							x								
S	9	**NEW THINGS PARTNERS LLC** **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									x								
S	12	*JP Morgan - Checking Account - Newark, DE*	x														x					x												
S	13	*First Republic Bank (FRC - NYSE) - Stock- New York, NY*			x												x						x											
S	14	*3G Special Situations Fund II, LP - Private Equity - New York, NY*				x													x							x								
S	15	*3G Special Situations Fund III, LP - Private Equity · New York, NY*				x													x			x												
S	16	*AAM Emerging Managers, LP - Private Equity - New York, NY (2)*	x																x				x											
S	17	*AIM Midstream, LLC - Private Equity - New York, NY*			x														x			x												
S	18	*Aisling Capital II, LP - Private Equity - New York, NY*		x															x			x												
S	19	*Aisling Capital III, LP - Private Equity- New York, NY*		x															x					x										
S	20	AEA Mezzanine Fund LP - Private Equity - New York, NY			x														x							x								
S	21	Asia Opportunity Fund II, LP - Private Equity · Hong Kong		x															x							x								
S	22	Blue Ridge China Partners, LP - Private Equity - New York, NY			x														x			x												
S	23	Wintergreen - Built-To-Last Partners - Hedge Fund · New York, NY (1)	x														x								x									
S	24	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP · Private Equity - Washington DC (3)		x													x					x												
S	25	*AG Global Canada LP - Collingwood, ON, Canada - Renewable Energy*																																
S	26	*Bottle Rock Power LLC - Cobb, CA - Renewable Energy*																																
S	27	*Coastal Carolina Clean Power LLC - Austin, Tx - Renewable Energy*																																

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C 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	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	28	*Companhia Nacional de Acucar e Alcol - Ribeirao 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	*ThermaSource LLC - Santa Rose, CA - Renewable Energy*																																
S	32	Carlyle/Riverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2) (3)	x													x					ordinary		x											937
S	33	Carlyle/Riverstone Brazil Ethanol Partnerships, LP - Private Equity - Washington DC (3)		x																		x												
S	34	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*		x																		x												
S	35	Haverford Capital Partners (Cayman), LTD - Private Equity - Stamford, CT (3)		x																		x												
S	36	Tinicum Capital Partners II LP - Private Equity - New York, NY		x														x								x								
S	37	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY		x														x							x									
S	38	**OTHER ONE LLC c/o Malkin Holdings LLC - New York, NY**																																
S	39	JP Morgan - Checking Account - Newark, DE						x								x							x											
S	40	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA							x									x				x												
J	41	**RCB INVESTMENT PARTNERS LLC (12)**																																
J	42	State Street Bank & Trust Co. (15)								x						x									x									
J	43	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (12) (less than .7 of 1%)					x									x							x											
J	44	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (13) (less than .10 of 1%)					x									x											x							
J	45	Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund - New York, NY (2)	x															x								x								
S	46	**EOAGT, LLC**																																
S	47	Fidelity - FIMM Fund - Mutual Fund - New York, NY								x								x				x												
S	48	Loan Receivable - BBSF LLC - Stamford, CT								x						x											x							
S	49	**PETER L. MALKIN FAMILY 9 LLC c/o Malkin Holdings LLC, New York, NY**																																
S	50	JP Morgan - Sweep Account - Newark, DE								x						x							x											
S	51	JP Morgan - Checking Account - Newark, DE		x												x						x												
S	52	JP Morgan - Savings Account - Newark, DE								x						x									x									
S	53	JP Morgan CDs (2) - Newark, DE	x													x										x								
S	54	Fine Troy Ounces of Allocated Gold - Held at JP Morgan					x															x												
S	55	BR Properties S.A. - Real Estate - San Paulo, Brazil - Public Company (Stock)						x														x												
S	56	Brazilian SELIC Notes- Brazil							x													x												

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C 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	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	57	Golub BDC Inc - (GBDC - NASDAQ) - Public Company - Stock - New York, NY					x								x												x							
S	58	Empire State Realty Trust Inc - New York, NY · Class B (Common Stock) (26)							x										x							x								
S	59	3M's Partners - Partnership - New York, NY								x					x		x													x				
S	60	*Blue Ridge Limited Partnership - Hedge Fund - New York, NY*								x									x											x				
S	61	*Wintergreen - Built-To-Last Partners - Hedge Fund · New York, NY (1)*	x														x									x								
S	62	*DC Capital Partners LP - Hedge Fund - New York, NY*				x													x							x								
S	63	*Eton Park Fund, LP - Hedge Fund - New York, NY*					x												x							x								
S	64	*Quasar Global Opportunity Fund - Hedge Fund - New York, NY*	x												x		x	x									x							
S	65	*Trellus Partner, LP - Hedge Fund - New York, NY (3)*						x									x					x												
S	66	*Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY*		x															x								x							
S	67	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x										x					
S	68	Falcon Edge Global LP - Hedge Fund - New York, NY (3)							x						x	x	x									x								
S	69	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY	x												x		x	x									x							
S	70	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ							x										x									x						
S	71	Trellus Partners, LP · Hedge Fund - New York, NY (3)					x										x					x												
S	72	Consonance Capital Investors, LP - Hedge Fund - New York, NY					x												x								x							
S	73	Steadview Capital Partners LP - Hedge Fund · Hong Kong						x											x			x												
S	74	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								x									x			x												
S	75	O-Cap Partners LP - Hedge Fund - New York, NY						x											x									x						
S	76	Wavecrest Partners Fund I, LP - Hedge Fund - New York, NY (3) (31)	x												x		x	x								x								
S	77	Asia Opportunity Fund II, LP - Private Equity - Hong Kong				x													x									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 - San Paulo, Brazil (3)							x													x												
S	81	*Leader - Rio de Janeiro - Retailer*																																
S	82	*Bravante - Rio de Janeiro, Brazil - Maritime Support services*																																
S	83	*Estre Ambiental - San Paulo, Brazil - Waste Management*																																

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C 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	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	84	*CCRR Participacoes SA - San Paulo, Brazil - Specialty paper, labels, & adhesives*																																
S	85	*Universo Online - San Paulo, Brazil - Online Services*																																
S	86	*Bodytech - Rio de Janeiro, Brazil - Fitness centers*																																
S	87	C-III Recovery Fund I, LP - Private Equity - New York, NY				x												x					x											
S	88	C-3 Acquisition Co. LLC · Private Equity - New York, NY				x												x									x							
S	89	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (3)		x																		x												
S	90	*AG Global Canada, LP - Collingwood, ON, Canada - Renewable Energy*																																
S	91	*Bottle Rock Power LLC - Cobb, CA - Renewable Energy*																																
S	92	*Coastal Carolina Clean Power LLC - Austin, Tx - Renewable Energy*																																
S	93	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*																																
S	94	*Green Earth Fuels LLC - Houston, TX - Renewable Energy*																																
S	95	*Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy*																																
S	96	*ThermaSource LLC - Santa Rose, CA - Renewable Energy*																																
S	97	Carlyle/Riverstone Brazil Ethanol Partnership, LP - Private Equity - Washington DC (3)		x																		x												
S	98	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*		x																		x												
S	99	Carlyle/Riverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2) (3)	x														x						x											
S	100	Consonance Capital Investors, LP - Private Equity - New York, NY			x													x				x												
S	101	Durus Life Sciences Fund LLC Private Equity- New York, NY (2)	x													x								x										
S	102	Fogo Fund II, LP - Private Equity · New York, NY (1)	x													x							x											
S	103	GEMS Fund, LP - Private Equity - New York, NY					x											x									x							
S	104	GEMS Palm Beach Holdings LP · Private Equity - New York, NY	x															x					x											
S	105	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)			x												x										x							
S	106	*Tempo Participacoes SA - Brazil - Healthcare*																																
S	107	*Magnestia Refratarios SA - Brazil · Manufacturer of refractory material*																																
S	108	Golub Capital Partners V, LP - Private Equity New York, NY					x											x									x							
S	109	Golub Capital Partners VI, LP - Private Equity · New York, NY					x											x									x							
S	110	Golub Capital Partners VII, LP - Private Equity · New York, NY					x											x								x								

Reporting Individual's Name
Richard Blumenthal

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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S	111	Haverford Capital Partners, LTD - Private Equity - San Francisco, CA (3)			x																	x												
S	112	Island C-III Holdings LLC - Private Equity - New York, NY								x								x											x					
S	113	Island C-III Holdings II LLC · Private Equity - New York, NY					x											x									x							
S	114	Island Fund I LLC - Private Equity - New York, NY (3)			x																	x												
S	115	*Celebrate Virginia - Fredericksburg, VA*																																
S	116	*EFO - Realty Sponsor Fund II LP - Dallas, TX*																																
S	117	*Insignia Opportunity Partners - New York, NY*																																
S	118	*Insignia Opportunity Partners II - New York, NY*																																
S	119	*Island Global Yachting II LP - Ft, Lauderdale, FL - Owns, develops, & manages yacht facilities*																																
S	120	*NYC Residential Fund - New York, NY - Owns 11 residential properties on Riverside Drive*																																
S	121	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India					x											x				x												
S	122	Magma Fund II, LP - Private Equity - San Paulo, Brazil (3)		x													x							x										
S	123	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	124	Missionpoint RE Co-Invest Fund, LP - Private Equity - New York, NY (3)						x									x					x												
S	125	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*						x																										
S	126	*MPH Energy Holdings LP - Charlotte, NC - Energy*			x																													
S	127	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3)							x								x					x												
S	128	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*						x																										
S	129	*MPH Energy Holdings LP - Charlotte, NC - Energy*			x																													
S	130	Missionpoint RE Co-Invest Fund III, LP - Private Equity - New York, NY (3)					x										x					x												
S	131	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*					x																											
S	132	*MPH Energy Holdings LP - Charlotte, NC - Energy*			x																													
S	133	Palamon European Equity Fund II, LP - Private Equity - London, England				x												x									x							
S	134	R/C Pattern Energy Feeder, LP - Private Equity - Washington DC *(Committed capital to Pattern Enegry Group Holdings LP; a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)*						x							x												x							
S	135	Riverpark Structural Alpha Fund Inst. F/K/A Wavecrest Partners Fund I, LP - Mutual Fund (1) (30)	x															x					x											
S	136	Rockefeller Access Fund I, LLC - Private Equity · New York, NY (3) (10)					x								x		x	x				net section 1231, other income						x						8453
S	137	RRE Ventures III, LP - Private Equity - New York, NY			x													x									x							

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S	138	RRE Ventures IV, LP - Private Equity - New York, NY					x												x				x											
S	139	RRE Ventures V, LP - Private Equity - New York, NY						x											x										x					
S	140	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)					x																x											
S	141	Tenaska Power Fund, LP - Private Equity - Omaha, NE			x														x				x											
S	142	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY		x															x										x					
S	143	Tower Three Partners Fund II, LP - Private Equity - New York, NY (3)				x																	x											
S	144	2006 Special Global Opportunities LLC - Private Equity New York, NY (3)				x																	x											
S	145	***Real Estate Partnerships c/o Malkin Holdings LLC, New York NY***																																
S	146	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (17)								x					x	x												x						
S	147	*112 West 34th Street Company, LLC - New York, NY - Commercial Real Estate (17)*								x													x											
S	148	1185 Swap Portfolio, LP - New York, NY - Real Estate (3) (33)	x												x	x	x									x								
S	149	*Rochester Hills, MN - Residential - Garden Apartments*	x																															
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												x	x	x											x						
S	153	*White Plains, NY - Commercial - Office Building*																																
S	154	*New York, NY - Commercial - Retail*																																
S	155	1185 Swap Portfolio II, LP - New York, NY - Real Estate (3) (33)							x						x	x	x						x											
S	156	*Rochester Hills, MN - 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												x	x	x												x					
S	160	1350 Broadway Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x												x	x	x										x							
S	161	1400 Broadway Associates LLC - New York, NY - Commercial Office Building (17)								x					x	x													x					
S	162	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (6) (17)	x													x										x								
S	163	500 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (6) (17)	x																				x											
S	164	501 Seventh Avenue Associates - New York, NY - Commercial - Office Building (6) (17)	x													x														x				
S	165	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (6) (17)	x													x										x								

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S	166	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)					x								x	x	x											x						
S	167	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (6) (17)	x													x							x											
S	168	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x													x											x							
S	169	Empire State Building Company LLC - New York, NY - Commercial - Office Building (6) (17)	x												x	x	x					ordinary								x				142283
S	170	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								x										x						
S	171	Fairfax Merrifield Associates - Fairfax, VA - Residential - Garden Apartments (Fee Position) (17)				x									x	x									x									
S	172	Fairfax Merrifield Associates - Stamford, CT - Commercial - Office Building (6) (17)	x																				x											
S	173	Fairfield MerrittView LP - Norwalk, CT - Commercial - Office Building (6) (17)	x																				x											
S	174	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x												x	x														x				
S	175	Georgetown Apartment Association - Shrewsbury, MO - Residential - Garden Apartments (17)							x						x	x	x												x					
S	176	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (17)			x											x									x									
S	177	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)				x										x	x						x											
S	178	Lincoln Building Associates - New York, NY - Commercial - Office Building (6) (17)	x												x	x														x				
S	179	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)		x												x								x										
S	180	Malkin Co-Investor Capital LP - New York, NY - Office Building (17)		x												x							x											
S	181	Malkin Co-Investor Capital LP - Westport, CT - Retail Stores (6) (17)	x													x							x											
S	182	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)			x											x	x							x										
S	183	Malkin Strategic Capital II, LP - New York, NY - Real Estate (3)			x										x	x	x	x							x									
S	184	*JP Morgan - Checking Account - Newark, DE*	x														x						x											
S	185	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x															x				x											
S	186	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x											x	x	x	x							x									
S	187	Malkin Strategic Capital III, LP - New York, NY - Real Estate (17)			x											x							x											
S	188	Malkin Strategic Capital V, LP - New York, NY - Real Estate (3)			x											x	x										x							
S	189	*Interaudi Bank - checking account - New York, NY*	x														x						x											
S	190	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x															x				x											

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S	191	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*	x												x	x						x												
S	192	*University Square - San Diego, CA - Retail Shopping Center*	x												x	x						x												
S	193	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x											x	x							x											
S	194	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*			x											x								x										
S	195	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*		x												x						x												
S	196	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*	x													x									x									
S	197	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*		x												x							x											
S	198	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*		x												x							x											
S	199	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)			x										x	x	x	x							x									
S	200	*Interaudi Bank - checking account - New York, NY*	x														x					x												
S	201	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x															x			x												
S	202	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*	x														x						x											
S	203	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x												x	x							x										
S	204	*Loan Receivable - 777 LP/Uni-Penn - Philadelphia, PA - Commercial Office*			x											x	x							x										
S	205	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*		x													x						x											
S	206	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*		x													x						x											
S	207	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*		x													x						x											
S	208	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (6) (17)	x													x										x								
S	209	McKnight Road Associates LLC - Ross Township, PA - Commercial - Retail (17)				x									x	x										x								
S	210	Merrifield Apartments Company LLC - Fairfax, VA - Garden Apartments (17)						x							x	x	x											x						
S	211	Merrifield Apartments Company LLC - Stamford, CT - Office Building (6) (17)		x											x	x	x									x								
S	212	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (6) (17)	x													x												x						
S	213	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (17)		x													x					x												
S	214	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (17)		x													x					x												
S	215	Seventh & 37th Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x													x										x								

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S	216	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)			x											x									x										
S	217	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (17)						x								x	x											x							
S	218	U.S. Wertheim Associates LLC - Wertheim, Germany - Commercial - Retail (17)					x									x											x								
S	219	Wilk Realty Company LLC - Monroeville, PA - Commercial - Retail (17)			x											x										x									
S	220	Malkin East West Retail LLC - New York, NY - Commercial - Retail (6) (17)	x													x	x										x								
S	221	Malkin Foxfire LLC - Chicago, IL - Commercial - Retail (17)	x														x							x											
S	222	Malkin Glen Oaks LLC - Des Plaines - Residential - Garden Apartments(17)	x													x									x										
S	223	Malkin Union Square LLC - New York, NY - Commercial - Retail (6) (17)	x													x	x						x												
S	224	One Station Place, Limited Partnership - Stamford, CT - Commercial - Office Building (6) (17)	x												x	x	x													x					
S	225	**PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY**																																	
S	226	JP Morgan - Sweep Account - Newark, DE								x							x							x											
	227	JP Morgan - Checking Account - Newark, DE		x													x						x												
S	228	JP Morgan - Savings Account - Newark, DE								x							x										x								
S	229	JP Morgan CDs - New York, NY (2)							x								x										x								
S	230	Fine Troy Ounces of Allocated Gold - Held at JP Morgan, Newark, DE							x														x												
S	231	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (27)					x																		x										
S	232	BR Properties S.A. -San Paulo, Brazil - Public Company (Stock)			x																		x												
S	233	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x												x				
S	234	Consonance Capital Investors, LP - Hedge Fund - New York, NY							x										x											x					
S	235	DC Capital Partners LP - Hedge Fund - New York, NY						x											x											x					
S	236	Eton Park Fund, LP - Hedge Fund - New York, NY							x										x										x						
S	237	Falcon Edge Global LP - Hedge Fund - New York, NY (3)							x						x		x	x											x						
S	238	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY	x												x		x	x												x					
S	239	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ								x									x												x				
S	240	Trellus Partner, LP - Hedge Fund - New York, NY (3)							x														x												
S	241	AAM Partners LLC - Partnership - New York, NY								x					x	x														x					
S	242	*JP Morgan - Checking Account - Newark, DE*	x																				x												
S	243	*First Republic Bank (FRC - NYSE) - Stock - New York, NY*					x								x										x										
S	244	*3G Special Situations Fund II, LP - Private Equity - New York, NY*						x											x											x					

Reporting Individual's Name
Richard Blumenthal

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S	245	*3G Special Situations Fund III, LP - Private Equity - New York, NY*						x											x				x											
S	246	*AAM Emerging Managers, LP - Private Equity - New York, NY (2)*	x																x						x									
S	247	*AIM Midstream, LLC - Private Equity - New York, NY*					x												x				x											
S	248	*Aisling Capital II, LP - Private Equity - New York, NY*			x														x				x											
S	249	*Aisling Capital III, LP - Private Equity - New York, NY*			x														x								x							
S	250	ARSA Associates - Real Esate - New York, NY						x								x												x						
S	251	*BBSF LLC - Stamford, CT - Real Estate*						x								x												x						
S	252	Asia Opportunity Fund II, LP - Private Equity - Hong Kong				x													x										x					
S	253	BBH Capital Partners III, LP - Private Equity - New York, NY						x											x							x								
S	254	Wintergreen - Built To Last Partners LLC - New York, NY (1)	x												x		x	x										x						
S	255	Chauncey Street Group, LLC - Private Equity - New York, NY (2)	x														x								x									
S	256	DC Franchise 2011 LLC - Private Equity - Greenwich, CT (Quality Brand Capital LLC - acquire Dunkin Donut franchise restaurants) (3)					x										x						x											
S	257	Drill Fund, LP - Private Equity - San Paulo, Brazil (3)	x														x												x					
S	258	*San Antonio International Ltd - San Antonio, TX (Energy)*	x														x												x					
S	259	Drill Fund III, LP - Private Equity - San Paulo, Brazil(3)				x											x						x											
S	260	*San Antonio International Ltd - San Antonio, TX (Energy)*				x											x						x											
S	261	ESO Capital Managers - Private Equity - London England (3)						x															x											
S	262	ESO Special Opportunites FUDN II FCP SIF- Private Equity - London England (3)		x																			x											
S	263	Evryx Technology (C Corp) Glendale, CA (3)	x														x							x										
S	264	Generation Capital Partners Captivate - Private Equity - Greenwich, CT						x											x				x											
S	265	Golub Capital Coinvestment, LP - Private Equity- New York, NY			x														x					x										
S	266	Golub Capital Partners IV, LP - Private Equity - New York, NY (2)	x																x									x						
S	267	Golub Capital Partners VIII, LP - Private Equity - New York, NY					x												x									x						
S	268	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)			x												x											x						
S	269	*Tempo Participacoes S.A.-Brazil - Healthcare*																																
S	270	*BR Propertoes Brazil - Commercial Real Estate*																																
S	271	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	272	*Fogo de Chao Churrascarias (holdings, Inc.) - Brazil - Restaurant*																																

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	273	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)					x										x												x					
S	274	*San Antonio International Ltd- San Antonio, TX (Energy)*																																
S	275	*Allis Participacoes S.A.-Brazil - Staffing*																																
S	276	*BHG S.A. - Brazil - Hotel Management*																																
S	277	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	278	*Estacio Participacoes S.A.- Brazil - Education*																																
S	279	*Lacteos Brasil S.A. - Brazil - Dairy Company*																																
S	280	GP Capital Partners V, LP - Private Equity - San Paulo, Brazil (3)					x															x												
S	281	*San Antonio International Ltd- San Antonio, TX Energy*																																
S	282	*Automotiva S.A. - Brazil - Mobile resource manaement*																																
S	283	*BR Towers, SA - Brazil - Mobile telephone twoer management*																																
S	284	*Cor Brasil, S.A. - Brazil - Beauty Institute*																																
S	285	*Naomi S.A. - Brazil - Retail*																																
S	286	*Empresa Brasileira de Aggrecados Minerais - Brazil - Minerals and Aggregates*																																
S	287	Horseshoe Re Ltd - BTG-002 - Beneficial Ownership Position - New York, NY		x														x										x						
S	288	Magma Fund, LP - Private Equity - Private Equity -San Paulo, Brazil (3)			x																	x												
S	289	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*			x																	x												
S	290	Magma Fund II, LP - Private Equity - Private Equity - San Paulo, Brazil (3)		x																		x												
S	291	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*		x																		x												
S	292	Palamon European Equity Fund II, LP - Private Equity - London, England					x											x									x							
S	293	Revolution Venture II, LP - Private Equity - New York, NY				x												x				x												
S	294	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3) (10)				x									x		x	x										x						
S	295	Rockefeller Access Fund 06-I, LLC - New York, NY (3) (11)							x						x	x	x	x			ordinary							x						771
S	296	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY		x														x										x						
S	297	Tenaska Power Fund, LP - Private Equity - Omaha, NE					x											x				x												
S	298	Tinicum Capital Partners II LP - Private Equity - New York, NY						x										x											x					
S	299	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY			x													x									x							
S	300	Tower Three Partners Fund II, LP - Private Equity - Greenwich, CT (no underlying investments) (3)					x										x					x												

Reporting Individual's Name
Richard Blumenthal

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	301	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)					x															x												
S	302	Trident Private Equity II, LP - Private Equity - London, England			x														x				x												
S	303	ZM Capital Alloy Digital Investment LP - Private Equity - New York, NY			x														x				x												
S	304	ZM Capital Centerstage Investment LP - Private Equity - New York, NY					x												x								x								
S	305	ZM Capital Crt Investment, LP - Private Equity - New York, NY				x													x						x										
S	306	ZM Capital Femto Investment LP - Private Equity - New York, NY	x																x						x										
S	307	ZM Capital, LP - Private Equity - New York, NY			x														x											x					
S	308	ZM Capital II, LP - Private Equity - New York, NY		x															x				x												
S	309	ZM Titan Investment, LP · Private Equity - New York, NY					x												x													x			
S	310	***Real Estate Partnerships c/o Malkin Holdings LLC, New York NY***																																	
S	311	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (17)					x									x	x							x											
S	312	1400 Broadway Associates LLC - New York, NY · Commercial - Office Building (17)					x								x	x	x								x										
S	313	250 West 57th Street Associates, LLC - New York, NY - Commercial · Office Building (7) (17)	x													x										x									
S	314	500 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (7) (17)	x																			x												
S	315	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (7) (17)	x													x								x											
S	316	BBSF LLC - Vacant Land · Stamford, CT (17)						x													ordinary						x								29,333
S	317	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (17)							x							x	x												x						
S	318	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments(17)		x											x	x	x							x											
S	319	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (7) (17)	x													x						x													
S	320	Empire State Building Associates LLC · New York, NY - Commercial - Office Building (7) (17)	x													x											x								
S	321	Empire State Building Company LLC - New York, NY - Commercial - Office Building (7) (17)	x																x								x								
S	322	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									x							
S	323	Fairfield MerrittView LP - Norwalk, CT - Commercial - Office Building (7) (17)	x																			x												
S	324	First Stamford Place LLC - Stamford, CT Commercial - Office Building (7) (17)	x																			x												
S	325	Malkin Greenwich Retail, LLC - Greenwich, CT - Commerciasl - Retail (17)					x								x	x									x										

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	326	Jefferson (Dixie) Associates, LLC Louisville, KY - Commercial - Retail (17)		x												x								x										
S	327	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3)								x						x														x				
S	328	*St. Davids, PA*																																
S	329	*Manhasset, NY*																																
S	330	*White Plains, NY*																																
S	331	*Paramus, NJ*																																
S	332	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)		x												x								x										
S	333	Malkin Co-Investor Capital LP - New York, NY - Real Estate - Commercial Office (17)			x																	x												
S	334	Malkin Co-Investor Capital LP - Westport, CT - Retail Stores (7) (17)	x													x	x							x										
S	335	Malkin Greenwich Retail LLC - Retail - Greenwich, CT (17)			x																	x												
S	336	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (3)						x								x	x										x							
S	337	*Memphis, TN*																																
S	338	*Columbus, OH*																																
S	339	*Charleston, SC*																																
S	340	*Raleigh - Durham, NC*																																
S	341	*Philadelphia, PA*																																
S	342	*Virginia Beach, VA*																																
S	343	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)		x																		x												
S	344	Malkin Strategic Capital II, LP - New York, NY - Real Estate (3)				x										x	x	x						x										
S	345	*JP Morgan - Checking Account - Newark, DE*	x																			x												
S	346	*Fidelity - FIMM Fund - Mutual Fund -New York, NY*		x															x			x												
S	347	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x												x								x										
S	348	Malkin Strategic Capital III, LP - New York, NY - Real Esate (17)				x									x	x	x										x							
S	349	Malkin Strategic Capital IV, LP - New York, NY - Real Estate (3)		x											x		x	x									x							
S	350	*Interaudi Bank - checking account - New York, NY*	x																			x												
S	351	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*	x																x			x												
S	352	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*	x														x										x							
S	353	Malkin Strategic Capital V, LP - New York, NY (3)					x										x									x								
S	354	*Interaudi Bank - checking account - New York, NY*																				x												
S	355	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																	x			x												

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S	356	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*																				x												
S	357	*University Square - San Diego, CA - Retail Shopping Center*																				x												
S	358	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*														x								x										
S	359	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*														x									x									
S	360	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*														x							x											
S	361	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*														x									x									
S	362	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*														x								x										
S	363	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*														x								x										
S	364	Malkin Strategic Capital Value Retail LP - New York, NY - Real Estate (17) (21)		x												x							x											
S	365	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (7) (17)	x												x											x								
S	366	New Soundview Plaza Associates, LP New York, NY - Office Building (7) (17)	x															x				x												
S	367	New Soundview Plaza Associates, LP - Westport, CT - Retail Stores (17)							x						x	x						x												
S	368	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (7) (17)	x													x									x									
S	369	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (17)		x												x							x											
S	370	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (17)		x																		x												
S	371	S.D. Malkin Atlantic Partners, LP - Greenwich, CT · Commercial - Retail in San Diego, CA (17)						x														x												
S	372	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)			x											x								x										
S	373	U.S. Bicester LP - Oxfordshire, England - Commercial - Retail (17) (25)								x						x	x													x				
S	374	U.S. Bicester II LLC PLM JV - Oxfordshire, England - Commercial - Retail (17) (25)						x								x	x											x						
S	375	U.S. Dublin LLC - Dublin, Ireland - Commercial - Retail (17) (24)					x															x												
S	376	U.S. La Roca LLC PLM JV · Barcelona, Spain - Commercial - Retail (17) (24)								x						x	x											x						
S	377	U.S. Maasmechellen LLC - Maasmechellen, Belgium - Commercial - Retail (17) (24)	x																			x												
S	378	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (17) (24)							x							x	x											x						
S	379	U.S. Munich LLC - Munich, Germany · Commercial - Retail (17) (24)						x														x												

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S	380	U.S. Paris LLC - Paris, France - Commercial - Retail (17) (24)								x												x												
S	381	Westport Main Street Retail LLC - Westport, CT - Commercial - Retail (7) (17)	x															x						x										
S	382	**PLM/CMB 2001 Trust - New York, NY**																																
S	383	JP Morgan Checking Account - Newark, DE						x														x												
S	384	RCB Investment Partners LLC								x							x									x								
S	385	*State Street Bank & Trust Co.(15)*								x							x							x										
S	386	*Rockefeller US Small Capitalization Fund LP - Private Equity (3) (12) (less than .7 of 1%)*				x																x												
S	387	*Rockefeller Global Equity Fund II LP - Private Equity (3) (13) (less than .10 of 1%)*				x											x									x								
S	388	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund (2)*	x															x						x										
S	389	Loan Receivable - BBSF LLC - Stamford, CT (17)								x												x												
S	390	**CMB 2010 TRUST New York, NY(32)**																																
S	391	Fidelity - FIMM Fund - Mutual Fund - New York, NY																																
S	392	Larrymae Partners LLC · Real Estate Supervisory Agent - New York, NY																																
S	393	*JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE*																																
S	394	*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*																																
S	395	*Empire State Realty Trust Inc - Class B (Common Stock)- New York, NY*																																
S	396	**CMB 2010 FAMILY TRUST New York, NY (32)**																																
S	397	Fidelity - FIMM Fund · Mutual Fund -New York, NY																																
S	398	Larrymae Partners LLC - Real Estate Supervisory Agent - New York, NY																																
S	399	*JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE*																																
S	400	*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*																																
S	401	*Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY*																																
S	402	**PLM 1999 FAMILY TRUST New York, NY**																																
S	403	Wintergreen Fund (WGRNX) - Publicly traded mutual fund - New York, NY (2)		x																		x												

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S	404	**CMB 2009 GRAT New York, NY**																																
S	405	JP Morgan Checking Account - New York, NY						x															x											
S	406	Peter L. Malkin Family 9 LLC - New York, NY (underlying assets listed above)								x						x	x	x											x					
S	407	**Defined Benefit Pension Plan Interest - State of Connecticut (18)**	x																			x												
S	408	**Geo Energy Partners - 1983 LTD** - New York, NY - Energy (19)	x														x							x										
S	409	**Greely Gas LTD** - Austin, TX - Oil & Gas	x																			x												
S	410	**Larrymae Partners LLC** - Real Estate Supervisory Agent - New York, NY								x							x													x				
S	411	JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE								x							x					x												
S	412	*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										x						x										
S	413	*Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (28)*								x								x										x						
S	414	**Malkin Construction Corp** - Stamford, CT - Interior Building Construction (17)	x															x				x												
S	415	**Malkin Securities Corporation** - Broker/Dealer - New York, NY (17)	x															x				x												
S	416	**Malkin Support Fund LP** - Real Esate - New York, NY **(17) (22)**							x								x							x										
S	417	***Real Estate Partnerships c/o Malkin Holdings LLC, New York NY***																																
S	418	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (17)						x									x									x								
S	419	112 West 34th Street Company LLC - New York, NY - Commercial - Office Building (17)								x						x											x							
S	420	1185 Swap Portfolio, LP - New York, NY - Real Estate (3) (33)					x										x									x								
S	421	*Rochester Hills, MN - Residential - Garden Apartments*																				x												
S	422	*Edison, NJ - CVS Retail Store*																				x												
S	423	*Painsville, OH - CVS Retail Store*																				x												
S	424	1185 Swap Portfolio, LP - New York, NY - Real Estate(8) (3)					x											x											x					
S	425	*New York, NY - Commercial - Office Building*																																
S	426	*White Plains, NY - Commercial - Office Building*																				x												
S	427	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3) (33)								x												x												
S	428	*Rochester Hills, MN - Residential - Garden Apartments*	x																			x												
S	429	*Edison, NJ - CVS Retail Store*	x																			x												

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C 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	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	430	*Painsville, OH - CVS Retail Store*	x																			x												
S	431	1333 Broadway Associates LLC - New York, NY - Commercial - Office Building (8) (17)	x												x	x	x									x								
S	432	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (17)					x								x	x	x							x										
S	433	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (8) (17)	x													x								x										
S	434	60 East 42nd Street Associate, LLC New York, NY - Commercial - Office Building (8) (17)	x													x									x									
S	435	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (17)	x														x										x							
S	436	Chelsea Gardens - New York, NY - Apartments (8) (17)	x													x	x									x								
S	437	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)					x								x	x	x									x								
S	438	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (8) (17)	x													x													x					
S	439	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (8) (17)	x													x										x								
S	440	Empire State Building Company LLC - New York, NY - Commercial - Office Building (8) (17)	x												x	x	x												x					
S	441	Empire State Realty Trust Inc - Class A (Common Stock) - New York, NY (28)								x									x															
S	442	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (28)						x											x															
S	443	**Empire State Realty OP, LLP** - New York, NYEmpire 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									x												x			
S	444	Fairfield MerrittView LP - Norwalk, CT - Commercial - Office Building (8) (17)	x																			x												
S	445	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)		x																		x												
S	446	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)	x														x						x											
S	447	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)					x														Ordinary													1,778
S	448	Malkin Properties LLC - Real Estate Management - New York, NY (17)						x													Ordinary													(98,000)
S	449	Malkin Properties of Connecticut, Inc - Stamford, CT - Real Estate Management (17)						x													Ordinary													102,298
S	450	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (17)		x																	Ordinary													8,000
S	451	Malkin Properties of Kansas, LLC- Real Estate Management - New York, NY (17)		x																		x												
S	452	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (17)		x																	Ordinary													114,785
S	453	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (17)		x																	Ordinary													95,000

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	454	Malkin Properties of New York LLC - Real Estate Management - New York, NY (17)					x														Ordinary													25,618
S	455	Malkin Properties of Virginia, Inc. Real Estate Management - New York, NY (17)		x																	Ordinary													102,000
S	456	Malkin Strategic Capital II, LP - New York, NY (3)				x										x										x								
S	457	*JP Morgan - Checking Account - Newark, DE*		x																		x												
S	458	*Fidelity - FIMM Fund - Mutual Fund- New York, NY*		x														x				x												
S	459	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*			x											x										x								
S	460	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (8) (17)	x												x	x												x						
S	461	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3)								x					x	x												x						
S	462	*St. Davids, PA*																																
S	463	*Manhasset, NY*																																
S	464	*White Plains, NY*																																
S	465	*Paramus, NJ*																																
S	466	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (17)	x												x	x							x											
S	467	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (17)	x													x												x						
S	468	Seventh & 37th Building Associates LLC - New York, NY - Commercial - Office Building (8) (17)		x											x												x							
S	469	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)		x											x	x								x										
S	470	W & M Properties, Inc. - Real Estate Management - New York, NY (17)		x																		x												
DC	471	**CLAIRE M. BLUMENTHAL 2012 TRUST - Greenwich, CT**																																
DC	472	JP Morgan Checking Account - Newark, DE								x						x									x									
DC	473	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (29)					x											x					x											
DC	474	RCB Investment Partners LLC - Partnership - New York, NY					x									x								x										
DC	475	*State Street Bank & Trust Co. - New York, NY - (15)*					x									x							x											
DC	476	*Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (12) (less than .7 of 1%)*		x																		x												
DC	477	*Rockefeller Global Equity Fund II LP - Private Equity - New York (3) (13) (less than .10 of 1%)*		x												x								x										
DC	478	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund - New York, NY (2)*	x															x					x											
DC	479	**Real Estate Partnerships c/o Malkin Holdings LLC, New York NY**																																
DC	480	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (9) (17)	x												x										x									

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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DC	481	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (9) (17)	x													x											x							
DC	482	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)	x														x						x											
DC	483	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (9) (17)	x													x											x							
DC	484	Empire State Realty OP, LLP - New York, NYEmpire 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 (29)								x									x									x						
DC	485	Fairfield MerritVlew LP - Norwalk, CT - Commercial - Office Building (9) (17)	x																			x											
DC	486	Fairfax Merrifield Associates - Stamford, CT - Commercial - Office Building (9) (17)	x													x							x											
DC	487	First Stamford Place LLC - Stamford, CT Commercial - Office Building (9) (17)	x													x						x												
DC	488	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (9) (17)	x													x						x												
DC	489	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)	x														x						x											
DC	490	Malkin Strategic Capital II, LP - New York, NY (3)	x																			x												
DC	491	*JP Morgan - Checking Account - Newark, DE*	x																			x												
DC	492	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*	x																x			x												
DC	493	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x														x					x											
DC	494	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)	x														x								x									
DC	495	500 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (9) (17)	x													x	x					x												
DC	496	**PLM/CLAIRE 1998 TRUST - New York, NY**																																
DC	497	JP Morgan Checking Account - New York, NY					x										x						x											
DC	498	Wintergreen Fund (WGRNX) - New York, NY - Publicly traded mutual fund (2)	x												x		x	x										x						
DC	499	RCB Investment Partners LLC - New York, NY - Investment Partnership								x							x										x							
DC	500	*State Street Bank & Trust Co. - New York, NY (15)*								x							x							x										
DC	501	*Rockefeller US Small Capitalization Fund LP - Private Equity (3) (12) (less than .7 of 1%)*			x												x					x												
DC	502	*Rockefeller Global Equity Fund II LP - Private Equity(3) (13) (less than .10 of 1%)*				x											x									x								
DC	503	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund (2)*	x																x					x										
DC	504	**Real Estate Partnerships c/o Malkin Holdings LLC, New York NY**																																

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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DC	505	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)		x												x						x												
DC	506	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (17) (3)			x											x								x										
DC	507	*Memphis, TN*																																
DC	508	*Columbus, OH*																																
DC	509	*Charleston, SC*																																
DC	510	*Raleigh - Durham, NC*																																
DC	511	*Philadelphia, PA*																																
DC	512	*Virginia Beach, VA*																																
DC	513	Malkin Support Fund LP - New York, NY - Real Estate (3) (23)	x																			x												
	514	**RICHARD BLUMENTHAL**																																
	515	Vanguard GNMA Fund (Stock) –ADM. Symbol VFIJX - New York, NY								x												x												

0000017085

Reporting Individual's Name: RICHARD BLUMENTHAL

☐ Amendment

PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

		Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example:	S, DC, or J	*IBM Corp. (stock) NYSE*	X			*2 / 1 / 1X*		X			E	X	A	M	P	L	E
		(DC) Microsoft (stock) NASDAQ/OTC		X		*1 / 27 / 1X*				X	E	X	A	M	P	L	E
1	S	3Ms Partners															
2		Quasar Global Opportunity Fund, LP		X		1/2/13, 5/31/13			X								
3																	
4	S	PLM/ Claire 1998 Trust- RCB Investment Partners, LLC	X			6/25/13						X					
5	S	PLM/ Claire 1998 Trust- RCB Investment Partners, LLC		X		8/1/13				X							
6																	
7	S	Claire 2012 Trust- RCB Investment Partners, LLC		X		8/1/13		X									
8																	
9	S	PLM/ CMB 2001 Trust- RCB Investment Partners, LLC		X		8/1/13				X							
10																	
11	S	RCB Investment Partners, LLC		X		8/1/13					X						
12																	

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: RICHARD BLUMENTHAL

☐ Amendment

PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

		Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example:	S, DC, or J	*IBM Corp. (stock) NYSE*	X			*2 / 1 / 1X*		X			E	X	A	M	P	L	E
		(DC) Microsoft (stock) NASDAQ/OTC		X		*1 / 27 / 1X*				X	E	X	A	M	P	L	E
1	S	Peter L. Malkin Family 9, LLC															
2		3M's- Quasar Global Opportunity Fund, LP		X		1/2/13, 5/31/13				X							
3		Consonance Private Equity	X			7/31/13							X				
4		Quasar Global Opportunities Fd, LP		X		1/2/13, 5/31/13				X							
5		RiverPark Structural Alpha Fund (1)		X		8/15/13				X							
6																	
7	S	CMB 2009 GRAT- Peter L. Malkin Family 9, LLC															
8		3M's- Quasar Global Opportunity Fund, LP		X		1/2/13, 5/31/13		X									
9		Consonance Private Equity	X			7/31/13					X						
10		Quasar Global Opportunities Fd, LP		X		1/2/13, 5/31/13		X									
11		RiverPark Structural Alpha Fund (1)		X		8/15/13		X									
12																	

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: RICHARD BLUMENTHAL

☐ Amendment

PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

		Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example:	S, DC, or J	*IBM Corp. (stock) NYSE*	X			*2 / 1 / 1X*		X			E	X	A	M	P	L	E
		(DC) Microsoft (stock) NASDAQ/OTC		X		*1 / 27 / 1X*				X	E	X	A	M	P	L	E
1	S	Peter L. Malkin Family 2000, LLC															
2		ZM Capital II, LP	X			11/20/13					X						
3		ESO Capital Managers	X			10/4/13		X									
4		ESO Special Opportunities Fund II FCP SIF	X			10/4/13						X					
5		Generation Capital Partners Captivate	X			7/19/13					X						
6		Golub Capital Partners IV, LP		X		8/13/13					X						
7		Quasar Global Opportunities Fd, LP		X		1/2/13, 5/31/13					X						
8		Revolution Ventures II, LP	X			10/25/13						X					
9																	
10																	
11																	
12																	

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*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Footnotes to part IV

(1) The Fund is the successor fund to Wavecrest Partners Fund I LP. On June 28th 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.

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PART VII. LIABILITIES

Report liabilities over $10,000 owed by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) mortgages on your personal residences unless rented **(except for Senators)**; (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.

		Name of Creditor	Address	Type of Liability	Date Incurred	Interest Rate	Discount Points Paid for Mortgage *(Senators Only)*	Term if Applicable	Category of Amount of Value (x)										
									$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example:	S, DC, or J	*First District Bank*	*Wash., DC*	*Mortgage on undeveloped land*	*1992*	*13%*	*1 pt*	*25 yrs*			X		E	X	A	M	P	L	E
		(J) John Jones	*Wash., DC*	*Promissory Note*	*2000*	*10%*	*n/a*	*On dmd*				X	E	X	A	M	P	L	E
1	S	JP Morgan Chase	New York, NY	mortgage on personal residence	2011	4.25%		30 years						X					
2																			
3																			
4																			
5																			
6																			
7																			
8																			
9																			
10																			
11																			
12																			

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value. as appropriate.

PART IX. AGREEMENTS OR ARRANGEMENTS

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	*Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)*	*Jones & Smith, Hometown, USA* **EXAMPLE**	*1 / 94*
	Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between $50,001-$100,000, signing bonus between $2,501-$5,000 and stock options	*XYZ Co., Bethesda, MD* **EXAMPLE**	*1 / 1X*
1	Defined benefit pension plan interest - Tier 1 of State Employees	State of Connecticut, Hartford, CT	4/1994
2	Retirement System (SERS). Benefit payable by State of Connecticut is $51,434. Upon death, one half of		
3	benefit is payable to his spouse.		
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			

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 resulted 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 resulted 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 resulted 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

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- 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 28th 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 2012.

(33) 1185 Swap Portfolio II was created to replace the portion of 1185 Swap Portfolio I that was not consolidated with the REIT

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Footnotes to part IV

(1) The Fund is the successor fund to Wavecrest Partners Fund I LP On June 28th 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.

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Rockefeller Access Fund I, LLC

(A Delaware Limited Liability Company)

Financial Statements as of and for the
Year Ended December 31, 2013 and
Independent Auditors' Report

0000001709 5

Rockefeller Access Fund I, LLC
(A Delaware Limited Liability Company)

TABLE OF CONTENTS

	Page
INDEPENDENT AUDITORS' REPORT	1
FINANCIAL STATEMENTS AS OF AND FOR THE YEAR ENDED DECEMBER 31, 2013:	
Statement of Financial Condition	2
Statement of Operations	3
Statement of Changes in Members' Capital	4
Statement of Cash Flows	5
Schedule of Investments	6
Notes to Financial Statements	7–13

0000001709 6

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INDEPENDENT AUDITORS' REPORT

To the Rockefeller Access Fund I, LLC:

We have audited the accompanying financial statements of Rockefeller Access Fund I, LLC (the "Fund"), which comprise the statement of financial condition, including the schedule of investments, as of December 31, 2013, and the related statements of operations, changes in members' capital, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Fund's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Fund's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Rockefeller Access Fund I, LLC as of December 31, 2013, and the results of its operations, changes in its members' capital, and its cash flows for the year then ended, in accordance with accounting principles generally accepted in the United States of America.

Deloitte & Touche LLP

June 16, 2014

Member of
Deloitte Touche Tohmatsu Limited

0000001709 7

Rockefeller Access Fund I, LLC
(A Delaware Limited Liability Company)

STATEMENT OF FINANCIAL CONDITION
AS OF DECEMBER 31, 2013

ASSETS:	
Investments in Portfolio Funds, at fair value (cost $69,864,266)	$78,056,291
Cash and cash equivalents	6,312,879
Receivable from members	8,450
TOTAL	$84,377,620
LIABILITIES AND MEMBERS' CAPITAL:	
Liabilities:	
Professional fees payable	$ 25,976
Accrued expenses	424
Total liabilities	26,400
COMMITMENTS (Note 4)	
Members' capital	84,351,220
TOTAL	$84,377,620

See notes to financial statements.

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Rockefeller Access Fund I, LLC
(A Delaware Limited Liability Company)

STATEMENT OF OPERATIONS
FOR THE YEAR ENDED DECEMBER 31, 2013

INVESTMENT INCOME:	
Dividends	$ 1,231,450
Interest	65,235
Other	8,689
Total	1,305,374
EXPENSES:	
Investment advisory fees	288,587
Professional fees	37,963
Other	1,681
Total	328,231
NET INVESTMENT INCOME	977,143
NET REALIZED AND UNREALIZED GAIN FROM INVESTMENTS:	
Net realized gain from investments	12,324,909
Net change in unrealized appreciation on investments in Portfolio Funds	514,791
Net realized and unrealized gain from investments	12,839,700
NET INCREASE IN MEMBERS' CAPITAL RESULTING FROM OPERATIONS	$ 13,816,843

See notes to financial statements.

0000001709 9

Rockefeller Access Fund I, LLC
(A Delaware Limited Liability Company)

STATEMENT OF CHANGES IN MEMBERS' CAPITAL
FOR THE YEAR ENDED DECEMBER 31, 2013

BALANCE — January 1, 2013	$82,933,077
Member distributions	(12,398,700)
Net increase in members' capital resulting from operations	13,816,843
BALANCE — December 31, 2013	$84,351,220

See notes to financial statements.

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Rockefeller Access Fund I, LLC
(A Delaware Limited Liability Company)

STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED DECEMBER 31, 2013

CASH FLOWS FROM OPERATING ACTIVITIES:	
Net increase in members' capital resulting from operations	$ 13,816,843
Adjustments to reconcile net increase in members' capital resulting from operations to net cash provided by operating activities:	
Net realized gain from investments	(12,324,909)
Net change in unrealized appreciation on investments in Portfolio Funds	(514,791)
Contributions to Portfolio Funds	(1,644,560)
Distributions from Portfolio Funds	13,976,499
Proceeds from securities sold	2,667,472
Change in operating assets and liabilities:	
Decrease in dividends receivable	184
Increase in receivable from members	(8,450)
Decrease in professional fees payable	(5,227)
Increase in accrued expenses	83
Net cash provided by operating activities	15,963,144
CASH FLOWS FROM FINANCING ACTIVITIES:	
Member distributions	(15,898,700)
Net cash used in financing activities	(15,898,700)
NET INCREASE IN CASH AND CASH EQUIVALENTS	64,444
CASH AND CASH EQUIVALENTS — BEGINNING OF YEAR	6,248,435
CASH AND CASH EQUIVALENTS — END OF YEAR	$ 6,312,879
SUPPLEMENTAL DISCLOSURES OF CASH FLOW ACTIVITIES:	
Stock distribution from Portfolio Funds	$ 200,350

See notes to financial statements.

0000001710 1

Rockefeller Access Fund I, LLC
(A Delaware Limited Liability Company)

SCHEDULE OF INVESTMENTS
AS OF DECEMBER 31, 2013

Investment Name	Ownership %	Fair Value	Members' Capital %	Redemption Provision	Unfunded Commitment
United States					
Investments in Portfolio Funds:					
Venture Capital					
Aisling Capital II LP	0.48 %	$ 1,867,467	2.21 %	Not Allowable	$ 239,117
Alloy Ventures 2005, L.P.	0.51	1,685,457	2.00	Not Allowable	-
Canaan Partners VII, LP	0.30	2,637,862	3.13	Not Allowable	130,000
General Catalyst Entrepreneurs Fd III LP	14.89	861,116	1.02	Not Allowable	-
General Catalyst Group III LP	0.24	385,565	0.46	Not Allowable	
General Catalyst Group IV, LP	0.39	1,439,990	1.71	Not Allowable	113,750
InterWest Partners IX, LP	0.21	1,465,002	1.74	Not Allowable	150,000
Kodiak Venture Partners, III LP	1.06	1,300,051	1.54	Not Allowable	121,875
New Enterprise Associates 12, LP	0.20	5,663,506	6.71	Not Allowable	97,500
New Leaf Ventures I, LP	0.58	1,805,674	2.14	Not Allowable	19,500
Novak Biddle Venture Partners V, LP	0.78	1,819,216	2.16	Not Allowable	391,651
Oak Investment Partners XII, LP	0.23	5,670,235	6.72	Not Allowable	-
Sevin Rosen Fund IX L.P.	0.98	1,340,173	1.59	Not Allowable	-
Venrock Associates IV, L.P.	4.47	17,489,682	20.73	Not Allowable	1,320,000
Venture Capital Total:		45,430,996	53.86		
Buyout					
American Securities Partners IV, L.P.	0.17	645,169	0.76	Not Allowable	448,619
ASP IV Alternative Investments, LP	0.22	836,342	0.99	Not Allowable	19,222
Bain Capital (TRU) VIII, LP	0.19	239,099	0.28	Not Allowable	-
Bain Capital (SQ) VIII, LP	0.19	42,564	0.05	Not Allowable	
Bain Capital Fund (CC) IX Offshore, LP	0.11	99,701	0.12	Not Allowable	-
Bain Capital Fund (CCD) IX, LP	0.08	69,345	0.08	Not Allowable	
Bain Capital Fund (OSI) IX, LP	0.05	470,174	0.56	Not Allowable	-
Bain Capital Fund (SSS I) IX, LP	0.06	6,942	0.01	Not Allowable	-
Bain Capital Fund IX, LP	0.04	2,515,430	2.98	Not Allowable	134,063
Bain Capital Fund VIII, LP	0.15	3,078,935	3.65	Not Allowable	48,751
Charlesbank Capital Partners VI, L.P.	0.49	4,051,154	4.80	Not Allowable	288,316
Golden Gate Capital Investments II, LLC	0.35	58,265	0.07	Not Allowable	
Golden Gate Capital Investments Fund II, LP	0.35	1,080,336	1.28	Not Allowable	113,700
Golden Gate Capital Investments II (BVI), LP	0.35	803,486	0.95	Not Allowable	
Golden Gate Capital Investment Fund II-A LP	0.35	185,112	0.22	Not Allowable	50,425
Golden Gate Capital Investment Fund II-A Adjunct (BVI), LP	0.35	458,138	0.54	Not Allowable	-
Sterling Capital Partners II, L.P.	0.66	3,128,285	3.71	Not Allowable	36,073
Summit Partners Private Equity Fund VII-A, LP	0.34	6,617,659	7.86	Not Allowable	-
Buyout Total:		24,386,136	28.91		
Distressed/Opportunistic					
Cerberus Institutional Partners LP Ser 3	0.16	1,297,263	1.54	Not Allowable	1,358,425
WLR Recovery Fund III, LP	0.32	993,217	1.18	Not Allowable	
Distressed/Opportunistic Total:		2,290,480	2.72		
Emerging Markets					
Dover Street VI, LP	0.30	1,189,890	1.41	Not Allowable	107,250
Emerging Markets Total:		1,189,890	1.41		
Growth Equity					
Telegraph Hill Partners II LP	0.77	1,056,707	1.25	Not Allowable	114,757
Waud Capital Partners QP II, LP	1.56	3,702,082	4.39	Not Allowable	295,414
Growth Equity Total:		4,758,789	5.64		
Total Investments in Portfolio Funds (cost $69,864,266)		$ 78,056,291	92.54 %		

See notes to financial statements.

0000001710 2

Rockefeller Access Fund I, LLC

(A Delaware Limited Liability Company)

NOTES TO FINANCIAL STATEMENTS
AS OF AND FOR THE YEAR ENDED DECEMBER 31, 2013

1. ORGANIZATION

Rockefeller Access Fund I, LLC (the "Fund") is a Delaware limited liability company which was established on November 11, 2003, and will continue until disposition of the Fund's last portfolio investment and final distribution of all assets and satisfaction of all liabilities of the Fund unless it is dissolved earlier at the sole discretion of the Managing Member (defined below), as specified in the Limited Liability Company Operating Agreement (the "LLC Agreement") of the Fund. The Fund's investment objective is to provide a level of diversified exposure to private equity investments, primarily through investments in "top tier" venture capital funds, growth equity funds investing in established private companies, and specialized buyout and recapitalization funds (the "Portfolio Funds"). The Managing Member of the Fund, Rockefeller & Co., Inc. (the "Managing Member"), is responsible for the selection of Portfolio Funds and other fund investments. The Managing Member has a nominal interest of $798 in the Fund as of December 31 2013.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America ("GAAP"), and are stated in United States dollars. The following is a summary of the significant accounting and reporting policies used in preparing the financial statements.

Cash and Cash Equivalents

The Fund considers short-term, highly liquid investments with original maturities of three months or less from the date of purchase to be cash equivalents. At December 31, 2013, cash equivalents consist of a short-term investment in a money market fund. There was no cash on deposit at December 31, 2013. because excess cash on deposit is generally swept daily into a custodian's money market fund. The Fund has not experienced any losses and does not believe it is exposed to any significant credit risk on such money market fund.

Investment Transactions and Valuation of Investments

Purchases and sales of investments are recorded on a trade date basis. Realized gains and losses from investments are recorded when the Fund receives distributions noted as such or distributions in excess of return of capital from the Portfolio Funds. Interest income is recorded as earned. Dividend income is recorded when earned.

The Fund's investments in Portfolio Funds valued at $78,056,291are stated at fair value which has been estimated by the Managing Member in the absence of readily ascertainable market values. These fair values are based on the Fund's net contributions to the Portfolio Funds and the Fund's allocated share of the undistributed profits and losses, including realized and unrealized gains and losses based on the financial information provided by the fund managers of the Portfolio Funds which may include the audited financial statements of the Portfolio Funds. If the Managing Member determines, based on its own due diligence and investment monitoring procedures, that the valuation for any Portfolio Fund

0000001710 3

based on information provided by the Portfolio Funds' management does not represent fair value, the Managing Member shall estimate the fair value of the Portfolio Funds in good faith and in a manner that it reasonably determines. All valuations are net of accrued management fees and incentive fees or allocations payable to the portfolio managers as required by the Portfolio Funds' respective operating agreements. The fair value relating to underlying investments held by the Portfolio Funds may have been estimated by the respective Portfolio Funds' management in the absence of readily ascertainable market values.

Due to the inherent uncertainty of the valuation of the investments in Portfolio Funds, these values may differ from the values that would have been used had a ready market for these investments existed and the differences could be material.

The Fund's investments in Portfolio Funds may involve varying degrees of credit risk, foreign exchange risk, and market, industry, or geographic concentration risk for the Fund. While the Managing Member monitors and attempts to manage these risks, the varying degrees of transparency of information and potential liquidity of the investments held by the Portfolio Funds may hinder the Managing Member's ability to effectively monitor, manage and mitigate these risks.

Use of Estimates

The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts in the financial statements and accompanying notes. Due to the inherent uncertainty involved in making estimates, actual results could differ from those estimates, and those differences could be material.

Taxation

The Fund is not subject to federal income taxes; all members are individually liable for income taxes, if any, on their proportionate share of the Fund's net income.

The Fund is required to determine whether a tax position of the Fund is more likely than not to be sustained upon examination by the applicable taxing authority, including the resolution of any related appeals or litigation processes, based on the technical merits of the position. The tax benefit to be recognized is measured as the largest amount of benefit that is greater than fifty percent likely of being realized upon ultimate settlement, which could result in the Fund recording a tax liability that would reduce net assets. The Fund reviews and evaluates tax positions in its major jurisdictions and determines whether or not there are uncertain tax positions that require financial statement recognition. Based on this review, the Fund has determined the major tax jurisdictions as where the Fund is organized and where the Fund makes investments; however no reserves for uncertain tax positions have been recorded for its open tax years. The Fund's United States federal and state 2010 through 2013 tax returns remain open for examination by tax authorities and taxes associated with foreign tax jurisdictions remain subject to examination based on varying statutes of limitations. The Fund is not aware of any tax positions for which it is reasonably possible that the total amounts of unrecognized tax benefits will change materially in the next twelve months. As a result, no income tax liability or expense has been recorded in the accompanying financial statements.

3. MEMBERS' CAPITAL

The Fund held its final closing on December 15, 2004 and is no longer accepting commitments. The Fund calls for capital contributions from its members in order to manage and satisfy anticipated and actual capital calls made by the Portfolio Funds and for payment of other Fund obligations and expenses,

0000001710 4

however, capital contributions will not be in excess of each member's remaining unfunded capital commitment.

In the event any member does not make any required capital contribution within the time specified in a capital call notice, the Managing Member has the right to issue such member a default notice and will have sole discretion to take a number of actions as described in the LLC Agreement.

A member may not withdraw all or any portion of its capital account prior to the expiration of the Fund's term.

At the end of each accounting period, as defined in the LLC Agreement, the Fund values the investments held and computes the change in unrealized appreciation or depreciation on investments since the previous valuation. This unrealized gain or loss, as well as net investment income or loss and realized gains or losses from investments, are allocated among all members pro rata in proportion to their capital contributions at the end of such accounting period. Distributions, when made, are remitted to the members based on their share of total capital as of the distribution date.

The members have committed to make total capital contributions of $105,716,000, of which 92% has been contributed. As of December 31 2013, $8,457,280 remains unfunded.

No member shall be liable for Fund obligations in excess of the member's capital contributed or required to be contributed.

4. COMMITMENTS

The Fund has committed to make total investments to the Portfolio Funds of $106,665,000. As of December 31, 2013, the Fund has unfunded capital commitments of $5,598,408 to the Portfolio Funds. The Fund is required to make additional capital contributions on an "as needed" basis.

5. RELATED PARTY TRANSACTIONS

Beginning on January 1, 2007 and continuing for each of the next five calendar years, the Managing Member received quarterly in advance investment advisory fees at the annual rate of 0.8% of aggregate capital commitments.

Effective January 1, 2012, and continuing until termination of the Fund, the investment advisory fees will be calculated at an annual rate equal to the greater of: (i) 0.5% of net invested capital, as defined in the LLC Agreement, or (ii) 0.25% of aggregate capital commitments.

Such fees amounted to $288,587 for the year ended December 31, 2013.

6. INVESTMENT RISK FACTORS AND CONCENTRATION OF INVESTMENTS

An investment in the Fund is subject to considerable risks, many of which are described in the Fund's Confidential Private Placement Memorandum. Certain events particular to each company or industry in which the Fund invests, as well as general economic and political conditions, may have a significant negative impact on the operations and profitability of the Fund's investments. There may also be risk associated with the concentration of investments in one geographic region or in a certain industry.

0000001710 5

The Fund's investment activities were also subject to other types of risks, including, but not limited to, the following:

Market Risk - The Fund invests in various Portfolio Funds. Due to the level of risk associated with certain Portfolio Funds, it is at least reasonably possible that changes in the values of Portfolio Funds will occur in the near term and that such changes could materially affect the net asset value of the Fund and the amounts reported in the Fund's financial statements.

Credit and Counterparty Risk - The Fund's investments in Portfolio Funds expose it to credit and counterparty risk, which is the risk that a counterparty to a financial instrument or unsettled or open transactions will cause a financial loss to the other party by failing to discharge an obligation. Financial assets, which potentially expose the Fund to credit risk, consist principally of cash due from counterparties and investments. The risk of default is considered minimal, as delivery of securities sold is only made once confirmation of payment has been received, payment is released on a purchase only once the securities have been delivered, and the trade will fail if either party fails to meet its obligation. Additionally, the Fund places its cash and cash equivalents with high credit quality institutions and minimizes its credit exposure through the use of formal credit policies and monitoring procedures. The extent of the Fund's exposure to credit and counterparty risks with respect to these financial assets approximates their carrying value as recorded in the Fund's financial statements.

Foreign Markets Risks - The Fund and Portfolio Funds invest in securities of foreign companies, which involve special risks and considerations not typically associated with investing in United States companies. Investments in these foreign companies involve risks including but not limited to adverse political, social, and economic developments in other countries, as well as risks resulting from the differences between the regulations to which issuers and markets are subject in different countries. These risks may include expropriation of assets, confiscatory taxations, withholding taxes on dividends and interest paid on Fund investments, currency exchange controls, and other limitations on the use or transfer of Fund assets and political or social instability. Moreover, securities of foreign companies and their markets may be less liquid and their prices more volatile than those of comparable United States companies.

7. FINANCIAL HIGHLIGHTS

Financial highlights for the year ended December 31, 2013, are presented below. Calculations are computed based upon the aggregate weighted average members' capital for the year ended December 31, 2013. These ratios do not reflect the Fund's proportionate share of income and expenses of the underlying investee funds.

Net investment income to average members' capital	1.23 %
Expenses to average members' capital	0.41 %

The internal rate of return (IRR) is presented net of all fees. The IRR was computed based on the actual dates of cash contributions and distributions, and the members' capital from inception of the Fund to December 31, 2013 and 2012.

IRR through December 31, 2013	5.77 %
IRR through December 31, 2012	3.85 %

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8. RECENT ACCOUNTING PRONOUNCEMENTS

In June 2013, the FASB issued ASU 2013-08, *Financial Services—Investment Companies (Topic 946): Amendments to the Scope, Measurement, and Disclosure Requirements* to clarify the characteristics of an investment company and to provide guidance for assessing whether an entity is an investment company. Consistent with existing guidance for investment companies, all investments are to be measured at fair value including non-controlling ownership interests in other investment companies. There are no changes to the current requirements relating to the retention of specialized accounting in the consolidated financial statements of a non-investment company parent. The guidance is effective for interim and annual periods beginning after December 15, 2013 and early application is prohibited.

The adoption of this guidance is not expected to have a material impact on the Fund's financial statements.

9. INVESTMENTS AND FAIR VALUE MEASUREMENTS

Investments are reflected on the statement of financial condition at fair value with changes in unrealized gains and losses resulting from changes in fair value included in net change in unrealized appreciation or depreciation on investments in the statement of operations in accordance with authoritative guidance on fair value measurements and disclosures under GAAP. Fair value is the amount that would be received to sell an asset, or paid to transfer a liability, in an orderly transaction between market participants at the measurement date (i.e., the exit price). In accordance with GAAP, the Fund discloses the fair value of its investments in a hierarchy which prioritizes and ranks the level of market price observability used in measuring investments at fair value.

Market price observability is impacted by a number of factors, including the type of investment, the characteristics specific to the investment, and the state of the marketplace (including the existence and transparency of transactions between market participants). Investments with readily-available actively quoted prices or for which fair value can be measured from actively-quoted prices in an orderly market will generally have a higher degree of market price observability and a lesser degree of judgment used in measuring fair value.

The Fund is permitted as a practical expedient, to estimate the fair value of investments in certain entities based on net asset value per share or its equivalent if the net asset value of such investments is calculated in a manner consistent with the measurement principles of Accounting Standards Codification 946, *Financial Services — Investment Companies*. See Note 2 to the financial statements for the determination of fair value of the Fund's investments.

Investments measured and reported at fair value are classified and disclosed in one of the following categories based on inputs:

Level I — Unadjusted quoted prices in active markets for identical assets or liabilities that the Fund has the ability to access. The type of investments which would generally be included in Level I include listed equity securities and listed derivatives. The Fund, to the extent that it holds such investments, does not adjust the quoted price for these investments, even in situations where the Fund holds a large position and a sale could reasonably impact the quoted price.

Level II — Observable inputs other than quoted prices included in level I that are observable for the asset or liability either directly or indirectly. These inputs may include quoted prices for the identical instrument on an inactive market, prices for similar instruments, interest rates, prepayment speeds, credit risk, yield curves, default rates, and similar data. The types of investments which would generally be

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included in this category include publicly-traded securities with restrictions on disposition and fund of funds with redemption restrictions of no greater than 90 days from the reporting period date.

Level III — Unobservable inputs for the asset or liability to the extent that relevant observable inputs are not available, representing the Fund's own assumptions about the assumptions that a market participant would use in valuing the asset or liability, and that would be based on the best information available. The types of investments which would generally be included in this category include fund of funds with redemption restrictions of greater than 90 days from the reporting period date.

The availability of observable inputs can vary from security to security and is affected by a wide variety of factors, including, for example, the type of security, whether the security is new and not yet established in the marketplace, the liquidity of markets, and other characteristics particular to the security. To the extent that valuation is based on models or inputs that are less observable or unobservable in the market, the determination of fair value requires more judgment. Accordingly, the degree of judgment exercised in determining fair value is greatest for instruments categorized in level III.

The inputs used to measure fair value may fall into different levels of the fair value hierarchy. In such cases, for disclosure purposes, the level in the fair value hierarchy within which the fair value measurement falls in its entirety is determined based on the lowest level input that is significant to the fair value measurement in its entirety.

The following table summarizes the levels in the fair value hierarchy into which the Fund's cash equivalents and investments fall as of December 31, 2013:

	Total	Level I	Level II	Level III
Cash equivalents	$ 6,312,879	$ 6,312,879	$ -	$ -
Investments in Portfolio Funds — Venture Capital	45,430,996	-	-	45,430,996
Investments in Portfolio Funds — Buyout	24,386,136	-	-	24,386,136
Investments in Portfolio Funds — Distressed/Opportunistic	2,290,480	-	-	2,290,480
Investments in Portfolio Funds — Emerging Markets	1,189,890	-	-	1,189,890
Growth Equity	4,758,789	-	-	4,758,789
Total	$ 84,369,170	$ 6,312,879	$ -	$ 78,056,291

0000001710 8

The changes in investments measured at fair value for which the Fund has used Level III inputs to determine fair value are as follows:

	Investment in Portfolio Funds					
	Venture Capital Strategy[1]	Buyout Strategy[2]	Distressed/ Opportunistic Strategy[3]	Emerging Markets Strategy[4]	Growth Equity Strategy[5]	Total
Balance at January 1, 2013	$43,162,619	$27,644,904	$ 2,975,993	$ 1,339,074	$ 5,093,412	$ 80,216,002
Contributions	1,249,971	268,480	-	39,000	87,109	1,644,560
Distributions	(5,658,371)	(5,629,685)	(794,517)	(247,981)	(1,846,295)	(14,176,849)
Realized gain	4,446,020	3,286,150	773,876	42,658	1,309,083	9,857,787
Change in unrealized appreciation/(depreciation)	2,230,757	(1,183,713)	(664,872)	17,139	115,480	514,791
Balance at December 31, 2013	$45,430,996	$24,386,136	$ 2,290,480	$ 1,189,890	$ 4,758,789	$ 78,056,291
Net change in unrealized appreciation/(depreciation) included in earnings related to investments still held at December 31, 2013	$ 2,230,757	$ (1,171,965)	$ (664,872)	$ 17,139	$ 115,480	$ 526,539
Estimated end date range of investments	2014 to 2018	2014 to 2017	2014 to 2015	2014	2015	

There were no transfers in or out of Level I, Level II or Level III investments.

(1) Venture Capital Strategy funds seek to develop, negotiate and acquire equity positions primarily in early stage start-up and emerging firms and small businesses with perceived long-term growth potential.

(2) Buyout Strategy funds invest in companies to gain a controlling interest for takeover of assets or operations.

(3) Distressed Strategy funds typically invest across the capital structure of companies subject to financial or operational distress or bankruptcy proceedings. Such securities often trade at discounts to intrinsic value due to difficulties in assessing their proper value, lack of research coverage, or an inability of traditional investors to continue holding them. This strategy is generally long-biased in nature, but managers may take outright long, hedged or outright short positions. Distressed managers typically attempt to profit on the issuer's ability to improve its operation or the success of the bankruptcy process that ultimately leads to an exit strategy. Opportunistic Strategy funds generally target underperforming and/or undermanaged properties, or properties that are temporarily depressed, and using high degrees of leverage to acquire a controlling interest.

(4) Emerging Markets Strategy funds typically invest in currencies, debt instruments, equities and other instruments of developing countries' markets (typically measured by GDP per capita). These countries are generally considered to be transitioning toward developed status. Examples of emerging markets include China, India, Latin America, much of Southeast Asia, parts of Eastern Europe, and parts of Africa.

(5) Growth Equity Strategy funds invest in equity holdings that have growth potential.

10. SUBSEQUENT EVENTS

From the period January 1, 2014 to June 16, 2014, the Fund paid $4,400,000 in distributions to members.

Management has reviewed and evaluated all significant events and transactions that occurred after December 31, 2013 through June 16, 2014, the date that these audited financial statements were available to be issued. No other subsequent events requiring adjustment or disclosure have occurred.

* * * * * *

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Rockefeller Access Fund 06-I, LLC

(A Delaware Limited Liability Company)

Financial Statements as of and for the
Year Ended December 31, 2013 and
Independent Auditors' Report

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Rockefeller Access Fund 06-I, LLC

(A Delaware Limited Liability Company)

TABLE OF CONTENTS

	Page
INDEPENDENT AUDITORS' REPORT	1
FINANCIAL STATEMENTS AS OF AND FOR THE YEAR ENDED DECEMBER 31, 2013:	
Statement of Financial Condition	2
Statement of Operations	3
Statement of Changes in Members' Capital	4
Statement of Cash Flows	5
Schedule of Investments	6–7
Notes to Financial Statements	8–15

0000001711 1

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INDEPENDENT AUDITORS' REPORT

To the Rockefeller Access Fund 06-I, LLC:

We have audited the accompanying financial statements of Rockefeller Access Fund 06-I, LLC (the "Fund"), which comprise the statement of financial condition, including the schedule of investments, as of December 31, 2013, and the related statements of operations, changes in members' capital, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Fund's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Fund's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Rockefeller Access Fund 06-I, LLC as of December 31, 2013, and the results of its operations, changes in its members' capital, and its cash flows for the year then ended, in accordance with accounting principles generally accepted in the United States of America.

Deloitte & Touche LLP

June 16, 2014

Member of
Deloitte Touche Tohmatsu Limited

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Rockefeller Access Fund 06-I, LLC

(A Delaware Limited Liability Company)

STATEMENT OF FINANCIAL CONDITION
AS OF DECEMBER 31, 2013

ASSETS:	
Investments in Portfolio Funds, at fair value (cost $131,467,336)	$ 166,056,355
Cash and cash equivalents	6,771,499
Distributions receivable from Portfolio Funds	211,517
Receivable for investments sold	352,287
Interest receivable	5
TOTAL	$ 173,391,663
LIABILITIES AND MEMBERS' CAPITAL:	
Liabilities:	
Professional fees payable	$ 17,022
Accrued expenses	313
Total liabilities	17,335
COMMITMENTS (Note 4)	
Members' capital	173,374,328
TOTAL	$ 173,391,663

See notes to financial statements.

0000001711 3

Rockefeller Access Fund 06-I, LLC
(A Delaware Limited Liability Company)

STATEMENT OF OPERATIONS
FOR THE YEAR ENDED DECEMBER 31, 2013

INVESTMENT INCOME:	
Dividends	$ 822,334
Interest	54,968
Other	2,365
Total	879,667
EXPENSES:	
Investment advisory fees	1,414,281
Professional fees	30,810
Other	2,436
Total	1,447,527
NET INVESTMENT LOSS	(567,860)
NET CHANGE IN REALIZED AND UNREALIZED GAIN ON INVESTMENTS	
Net realized gain on investments	11,430,140
Net change in unrealized appreciation on investments in Portfolio Funds	15,661,823
Net realized and unrealized gain on investments	27,091,963
NET INCREASE IN MEMBERS' CAPITAL RESULTING FROM OPERATIONS	$ 26,524,103

See notes to financial statements.

0000001711 4

Rockefeller Access Fund 06-I, LLC
(A Delaware Limited Liability Company)

STATEMENT OF CHANGES IN MEMBERS' CAPITAL
FOR THE YEAR ENDED DECEMBER 31, 2013

BALANCE — January 1, 2013	$ 160,350,225
Member distributions	(13,500,000)
Net increase in members' capital resulting from operations	26,524,103
BALANCE — December 31, 2013	$ 173,374,328

The Managing Member and other Rockefeller funds have a membership interest of $920,330.

See notes to financial statements.

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Rockefeller Access Fund 06-I, LLC
(A Delaware Limited Liability Company)

STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED DECEMBER 31, 2013

CASH FLOWS FROM OPERATING ACTIVITIES:	
Net increase in members' capital resulting from operations	$ 26,524,103
Adjustments to reconcile net increase in members' capital resulting from operations to net cash provided by operating activities:	
Net realized gain on investments	(11,430,140)
Net change in unrealized appreciation on investments in Portfolio Funds	(15,661,823)
Contributions to Portfolio Funds	(12,006,082)
Distributions from Portfolio Funds	24,271,146
Proceeds from investments sold	1,816,922
Change in operating assets and liabilities:	
Decrease in accounts receivable	57,141
Increase in distributions receivable from Portfolio Funds	(211,517)
Increase in receivable for investments sold	(352,287)
Decrease in dividends receivable	176
Increase in interest receivable	(5)
Decrease in professional fees payable	(3,425)
Increase in accrued expenses	234
Net cash provided by operating activities	13,004,443
CASH FLOWS FROM FINANCING ACTIVITIES:	
Member distributions	(13,500,000)
Net cash used in financing activities	(13,500,000)
NET DECREASE IN CASH AND CASH EQUIVALENTS	(495,557)
CASH AND CASH EQUIVALENTS, BEGINNING OF YEAR	7,267,056
CASH AND CASH EQUIVALENTS, END OF YEAR	$ 6,771,499
SUPPLEMENTAL DISCLOSURES OF CASH FLOW ACTIVITIES:	
Stock distribution from Portfolio Funds	$ 114,348

See notes to financial statements.

0000001711 6

Rockefeller Access Fund 06-I, LLC
(A Delaware Limited Liability Company)

SCHEDULE OF INVESTMENTS
AS OF DECEMBER 31, 2013

Investment Name	Ownership %	Fair Value	Members' Capital %	Redemption Provision	Unfunded Commitment
Cayman Islands					
Investments in Portfolio Funds:					
LBO, Growth & Other PE					
Bain Capital AM Holding LP	0.12 %	$ 395,520	0.23 %	Not allowable	-
Bain Capital Fund X, LP	0.08	7,530,338	4.34	Not allowable	$ 429,875
Bain Capital (CC) X, Offshore LP	0.15	94,070	0.05	Not allowable	-
Bain Capital (CCD) X, LP	0.10	65,425	0.04	Not allowable	-
Bain Capital (IMC) X, LP	0.08	183,870	0.11	Not allowable	-
Bain Capital (SS 2008) X, LP	0.08	14,003	0.01	Not allowable	-
Cayman Islands Total: (cost $7,311,571)		8,283,226	4.78		
Europe					
Investments in Portfolio Funds:					
International					
Bain Capital Europe Fund III, LP	0.08	3,384,396	1.95	Not allowable	€ 459,287
Europe Total: (cost $3,019,402)		3,384,396	1.95		
Japan					
Investments in Portfolio Funds:					
International					
AP Cayman Partners II, LP	1.25	951,968	0.55	Not allowable	¥ 78,108,832
AP Cayman SMS AIV, LP	1.34	538,189	0.31	Not allowable	-
Japan Total: (cost $3,011,872)		1,490,157	0.86		
United States					
Investments in Portfolio Funds:					
Distressed					
Cerberus Instit. Ptrs. - Ser4, LP	0.09	5,734,252	3.30	Not allowable	$ 554,273
Matlin Patterson Global Opps III, LP	0.23	5,309,185	3.05	Not allowable	1,449,918
MPGOP III Thrift AV-I LP (LP)	0.23	1,277,113	0.74	Not allowable	-
Sun Capital Advisors V, LP	0.08	4,172,113	2.41	Not allowable	906,361
WLR Recovery Fund IV, LP	0.18	5,002,979	2.88	Not allowable	865,699
WLR Recovery Fund IV DSS AIV	0.20	1,122,463	0.65	Not allowable	
WLR Recovery Fund IV XCO AIV I	0.66	262,144	0.15	Not allowable	-
WLR RRH AIV, LP	0.32	207,913	0.12	Not allowable	-
WLR IV Loans AIV, LP	0.21	80,168	0.05	Not allowable	-
WLR IV PPIP AIV, LP	0.07	2,005	0.01	Not allowable	-
Distressed Total:		23,170,335	13.36		
International					
Bain Capital Asia Fund, LP	0.11	1,095,052	0.63	Not allowable	64,480
Glory Investments B Limited	0.08	381,239	0.22	Not allowable	-
Navis Asia Fund V, LP	0.50	6,738,476	3.89	Not allowable	182,480
PineBridge Latin America II LP	1.16	791,757	0.46	Not allowable	167,563
Southern Cross LA PE Fund III, LP	0.84	6,632,124	3.82	Not allowable	237,731
International Total:		15,638,648	9.02		

See notes to financial statements.

(Continued)

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Rockefeller Access Fund 06-I, LLC
(A Delaware Limited Liability Company)

SCHEDULE OF INVESTMENTS
AS OF DECEMBER 31, 2013

Investment Name	Ownership %	Fair Value	Members' Capital %	Redemption Provision	Unfunded Commitment
United States (cont'd)					
LBO, Growth & Other PE					
AEA Investors 2006 Fund, LP	0.84 %	$ 5,760,305	3.32 %	Not allowable	$ 1,641,564
Charlesbank Equity Fund VII, LP	0.78	6,509,184	3.75	Not allowable	3,796,450
Genstar Capital Partners V, LP	0.46	5,618,650	3.24	Not allowable	816,990
Golden Gate Capital Annex II, LP	0.41	432,340	0.25	Not allowable	1,326,890
Highland Consumer Fund I, LP	1.43	3,276,525	1.89	Not allowable	497,750
Housatonic Equity Investors IV, LP	1.67	5,401,384	3.12	Not allowable	905,000
Housatonic Equity Investors V, LP	1.16	2,471,048	1.43	Not allowable	1,710,000
Newbury Equity Partners II LP	0.14	947,745	0.55	Not allowable	495,000
Sterling Capital Partners III LP	0.65	3,859,525	2.23	Not allowable	952,714
Sterling Capital Partners III, AIV I LP	0.65	2,007,042	1.16	Not allowable	
Sterling Capital Partners III, AIV II LP	0.65	346,611	0.20	Not allowable	
Sterling Capital Partners III, AIV III LP	0.65	1,107,265	0.64	Not allowable	
Vector Capital IV, LP	0.71	5,531,459	3.18	Not allowable	3,987,974
LBO, Growth & Other PE Total:		43,269,083	24.96		
Venture Capital					
Ascent Biomedical Ventures II, LP	0.50	225,476	0.13	Not allowable	162,899
Bain Capital Venture Fund 2009, LP	1.26	6,934,108	4.00	Not allowable	203,623
Canaan VIII, LP	0.09	5,678,183	3.28	Not allowable	868,800
Frazier Healthcare VI, LP	0.84	3,750,264	2.16	Not allowable	738,480
General Catalyst Group V, LP	0.37	4,396,204	2.54	Not allowable	639,069
General Catalyst Group V Supp., LP	1.00	1,865,353	1.08	Not allowable	58,477
Highland Capital Partners VIII, LP	1.43	3,882,277	2.24	Not allowable	1,312,250
New Enterprise Associate 13, LP	0.33	8,890,114	5.13	Not allowable	1,357,500
New Leaf Ventures II, LP	0.80	2,622,920	1.51	Not allowable	416,300
ProQuest Investments IV, LP	1.07	2,062,167	1.19	Not allowable	950,250
Venrock Associates V, LP	3.30	30,513,444	17.59	Not allowable	4,000,000
Venture Capital Total:		70,820,510	40.85		
United States Total: (cost $118,124,491)		152,898,576	88.19		
Total Investments in Portfolio Funds (cost $131,467,336)		$ 166,056,355	95.78 %		

See notes to financial statements

(Concluded)

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Rockefeller Access Fund 06-I, LLC

(A Delaware Limited Liability Company)

NOTES TO FINANCIAL STATEMENTS
AS OF AND FOR THE YEAR ENDED DECEMBER 31, 2013

1. ORGANIZATION

Rockefeller Access Fund 06-I, LLC (the "Fund") is a Delaware limited liability company which was established on September 28, 2006 and will continue until disposition of the Fund's last portfolio investment and final distribution of all assets and satisfaction of all liabilities of the Fund unless it is dissolved earlier at the sole discretion of the Managing Member (defined below), as specified in the Limited Liability Company Agreement (the "LLC Agreement") of the Fund. The Fund's investment objective is to provide a level of diversified exposure to private equity investment funds ("Portfolio Funds") and co-investment opportunities sourced by such Portfolio Funds, to acquire, hold and dispose of securities, and to engage in such activities as the Managing Member deems necessary, advisable, convenient, or incidental to the foregoing, in all cases subject to Delaware Limited Liability Company Act. The Managing Member of the Fund, Rockefeller & Co., Inc. (the "Managing Member"), is responsible for the selection of Portfolio Funds and other Fund investments. The Managing Member has a nominal interest of $919 in the Fund as of December 31, 2013.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America ("GAAP"), and are stated in United States dollars. The following is a summary of the significant accounting and reporting policies used in preparing the financial statements.

Cash and Cash Equivalents

The Fund considers short-term, highly liquid investments with original maturities of three months or less from the date of purchase to be cash equivalents. At December 31 2013, cash equivalents consist of a short-term investment in a money market fund. There was no cash on deposit at December 31, 2013 because excess cash on deposit is generally swept daily into a custodian's money market fund. The Fund has not experienced any losses and does not believe it is exposed to any significant credit risk on such money market fund.

Currency Translations

All assets and liabilities denominated in foreign currencies are translated into United States dollars using the current exchange rate at the date of valuation. Purchases and sales of investments, income and expenses denominated in foreign currencies are translated into United States dollars on the respective dates of such transactions.

The Fund does not isolate that portion of the results of operations resulting from changes in foreign exchange rates on investments from the fluctuations arising from changes in the fair values of investments held or sold. Such fluctuations are included in net change in unrealized appreciation or depreciation on investments in Portfolio Funds or net realized gain or loss from investments in Portfolio Funds.

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Investment Transactions and Valuation of Investments

Purchases and sales of investments are recorded on a trade date basis. Realized gains and losses from investments are recorded when the Fund receives distributions noted as such or distributions in excess of return of capital from the Portfolio Funds. Income from investments is recorded as directed by the Portfolio Funds. Dividend income is recorded as earned. Interest income is recorded as earned.

The Fund's investments in Portfolio Funds valued at $166,056,355 are stated at fair value which has been estimated by the Managing Member in the absence of readily ascertainable market values. These fair values are based on the Fund's net contributions to the Portfolio Funds and the Fund's allocated share of the undistributed profits and losses, including realized and unrealized gains and losses based on the financial information provided by the fund managers of the Portfolio Funds which may include the audited financial statements of the Portfolio Funds. If the Managing Member determines, based on its own due diligence and investment monitoring procedures, that the valuation for any Portfolio Fund based on information provided by the Portfolio Funds' management does not represent fair value, the Managing Member shall estimate the fair value of the Portfolio Funds in good faith and in a manner that it reasonably determines. All valuations are net of accrued management fees and incentive fees or allocations payable to the portfolio managers as required by the Portfolio Funds' respective operating agreements. The fair value relating to underlying investments held by the Portfolio Funds may have been estimated by the respective Portfolio Funds' management in the absence of readily ascertainable market values.

Due to the inherent uncertainty of the valuation of the investments in Portfolio Funds, these values may differ from the values that would have been used had a ready market for these investments existed and the differences could be material.

The Fund's investments in Portfolio Funds may involve varying degrees of credit risk, foreign exchange risk, and market, industry, or geographic concentration risk for the Fund. While the Managing Member monitors and attempts to manage these risks, the varying degrees of transparency of information and potential liquidity of the investments held by the Portfolio Funds may hinder the Managing Member's ability to effectively monitor, manage and mitigate these risks.

Use of Estimates

The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts in the financial statements and accompanying footnotes. Due to the inherent uncertainty involved in making estimates, actual results could differ from those estimates, and those differences could be material.

Taxation

The Fund is not subject to federal income taxes; all members are individually liable for income taxes, if any, on their proportionate share of the Fund's net income.

The Fund is required to determine whether a tax position of the Fund is more likely than not to be sustained upon examination by the applicable taxing authority, including the resolution of any related appeals or litigation processes, based on the technical merits of the position. The tax benefit to be recognized is measured as the largest amount of benefit that is greater than fifty percent likely of being realized upon ultimate settlement, which could result in the Fund recording a tax liability that would

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reduce net assets. The Fund reviews and evaluates tax positions in its major jurisdictions and determines whether or not there are uncertain tax positions that require financial statement recognition. Based on this review, the Fund has determined the major tax jurisdictions as where the Fund is organized and where the Fund makes investments; however no reserves for uncertain tax positions have been recorded for its open tax years. The Fund's United States federal and state 2010 through 2013 tax returns remain open for examination by tax authorities and taxes associated with foreign tax jurisdictions remain subject to examination based on varying statutes of limitations. The Fund is not aware of any tax positions for which it is reasonably possible that the total amounts of unrecognized tax benefits will change materially in the next twelve months. As a result, no income tax liability or expense has been recorded in the accompanying financial statements.

3. MEMBERS' CAPITAL

The Fund held its final closing on December 14, 2007 and is no longer accepting commitments. Each member that makes a capital commitment to the Fund as of the closing date shall be issued interests in the Fund. The Fund calls for capital contributions from its members in order to manage and satisfy anticipated and actual capital calls made by the Portfolio Funds and for payment of other Fund obligations and expenses; however, capital contributions will not be in excess of each member's remaining unfunded capital commitment.

In the event any member does not make any required capital contribution within the time specified in a capital call notice, the Managing Member has the right to issue such member a default notice and will have sole discretion to take a number of actions as described in the LLC Agreement.

A member may not withdraw all or any portion of its capital account prior to the expiration of the Fund's term.

At the end of each accounting period, as defined in the LLC Agreement, the Fund values the investments held and computes the change in unrealized appreciation or depreciation on investments since the previous valuation. This unrealized gain or loss, as well as net investment income or loss and realized gains or losses from investments, are allocated among all members' pro rata in proportion to their capital contributions at the end of such accounting period. Distributions, when made, are remitted to the members ratably, based on their share of total capital contributions as of the distribution date.

The members have committed to make total capital contributions of $188,571,000, of which 73% has been contributed. As of December 31, 2013, $50,914,170 remains unfunded.

No member shall be liable for Fund obligations in excess of the member's capital contributed or required to be contributed.

4. COMMITMENTS

The Fund has committed to make total investments in the Portfolio Funds of $179,121,981 as well as ¥647,075,000 and €3,167,500. As of December 31 2013, the Fund has unfunded capital commitments of $31,696,360, ¥78,108,832 and €459,287 to the Portfolio Funds. The Fund is required to make additional capital contributions on an "as needed" basis.

5. RELATED PARTY TRANSACTIONS

Investment advisory fees for the year ended December 31, 2013 were paid quarterly in advance to the Managing Member based on an annual rate of .75% of the aggregate capital commitments of the members. Investment advisory fees are calculated on a member by member basis and paid quarterly in

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advance commencing on the initial closing date and thereafter on the first day of each fiscal quarter until the termination of the Fund. Such fees amounted to $1,414,281 for the year ended December 31, 2013.

6. INVESTMENT RISK FACTORS AND CONCENTRATION OF INVESTMENTS

An investment in the Fund is subject to considerable risks, many of which are described in the Fund's Confidential Private Placement Memorandum. Certain events particular to each company or industry in which the Fund invests, as well as general economic and political conditions, may have a significant negative impact on the operations and profitability of the Fund's investments. There may also be risk associated with the concentration of investments in one geographic region or in a certain industry.

The Fund's investment activities were also subject to other types of risks, including, but not limited to, the following:

Market Risk - The Fund invests in various Portfolio Funds. Due to the level of risk associated with certain Portfolio Funds, it is at least reasonably possible that changes in the values of Portfolio Funds will occur in the near term and that such changes could materially affect the net asset value of the Fund and the amounts reported in the Fund's financial statements.

Credit and Counterparty Risk - The Fund's investments in Portfolio Funds expose it to credit and counterparty risk, which is the risk that a counterparty to a financial instrument or unsettled or open transactions will cause a financial loss to the other party by failing to discharge an obligation. Financial assets, which potentially expose the Fund to credit risk, consist principally of cash due from counterparties and investments. The risk of default is considered minimal, as delivery of securities sold is only made once confirmation of payment has been received, payment is released on a purchase only once the securities have been delivered, and the trade will fail if either party fails to meet its obligation. Additionally, the Fund places its cash and cash equivalents with high credit quality institutions and minimizes its credit exposure through the use of formal credit policies and monitoring procedures. The extent of the Fund's exposure to credit and counterparty risks with respect to these financial assets approximates their carrying value as recorded in the Fund's financial statements.

Currency Risk - The Fund invests in Portfolio Funds and enters into transactions denominated in currencies other than the United States dollar, the Fund's functional currency. Consequently, the Fund may be exposed to risks that the foreign exchange rate of an investment's currency relative to the Fund's functional currency may change in a manner that has an adverse effect on the value of that portion of Fund's assets or liabilities denominated in currencies other than the functional currency. Management monitors the foreign currency positions and they are periodically reviewed by the Managing Member.

Foreign Markets Risks - The Fund and Portfolio Funds invest in securities of foreign companies, which involve special risks and considerations not typically associated with investing in United States companies. Investments in these foreign companies involve risks including but not limited to adverse political, social, and economic developments in other countries, as well as risks resulting from the differences between the regulations to which issuers and markets are subject in different countries. These risks may include expropriation of assets, confiscatory taxations, withholding taxes on dividends and interest paid on Fund investments, currency exchange controls, and other limitations on the use or transfer of Fund assets and political or social instability. Moreover, securities of foreign companies and their markets may be less liquid and their prices more volatile than those of comparable United States companies.

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7. FINANCIAL HIGHLIGHTS

Financial highlights for the year ended December 31 2013 are presented below. Calculations are computed based upon the aggregate weighted average members' capital for the year ended December 31, 2013. The ratios do not reflect the Fund's proportionate share of income and expenses of the underlying investee funds.

Net investment loss to average members' capital	(0.36)%
Expenses to average members' capital	0.91 %

The internal rate of return (IRR) is presented net of all fees. The IRR was computed based on the actual dates of cash contributions and distributions, and the members' capital from inception of the Fund to December 31, 2013 and 2012.

IRR through December 31 2013	7.80 %
IRR through December 31, 2012	5.46 %

8. RECENT ACCOUNTING PRONOUNCEMENTS

In June 2013, the FASB issued ASU 2013-08, *Financial Services—Investment Companies (Topic 946). Amendments to the Scope, Measurement, and Disclosure Requirements* to clarify the characteristics of an investment company and to provide guidance for assessing whether an entity is an investment company. Consistent with existing guidance for investment companies, all investments are to be measured at fair value including non-controlling ownership interests in other investment companies. There are no changes to the current requirements relating to the retention of specialized accounting in the consolidated financial statements of a non-investment company parent. The guidance is effective for interim and annual periods beginning after December 15, 2013 and early application is prohibited.

The adoption of this guidance is not expected to have a material impact on the Fund's financial statements.

9. INVESTMENTS AND FAIR VALUE MEASUREMENTS

Investments are reflected on the statement of financial condition at fair value with changes in unrealized gains and losses resulting from changes in fair value included in net change in unrealized appreciation or depreciation on investments in the statement of operations in accordance with authoritative guidance on fair value measurements and disclosures under GAAP. Fair value is the amount that would be received to sell an asset, or paid to transfer a liability, in an orderly transaction between market participants at the measurement date (i.e., the exit price). In accordance with GAAP, the Fund discloses the fair value of its investments in a hierarchy which prioritizes and ranks the level of market price observability used in measuring investments at fair value.

Market price observability is impacted by a number of factors, including the type of investment, the characteristics specific to the investment, and the state of the marketplace (including the existence and transparency of transactions between market participants). Investments with readily-available actively quoted prices or for which fair value can be measured from actively-quoted prices in an orderly market will generally have a higher degree of market price observability and a lesser degree of judgment used in measuring fair value.

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The Fund is permitted, as a practical expedient, to estimate the fair value of investments in certain entities based on net asset value per share or its equivalent if the net asset value of such investments is calculated in a manner consistent with the measurement principles of Accounting Standards Codification 946, *Financial Services — Investment Companies*. See Note 2 to the financial statements for the determination of fair value of the Fund's investments.

Investments measured and reported at fair value are classified and disclosed in one of the following categories based on inputs:

Level I — Unadjusted quoted prices in active markets for identical assets or liabilities that the Fund has the ability to access. The type of investments which would generally be included in Level I include listed equity securities and listed derivatives. The Fund, to the extent that it holds such investments, does not adjust the quoted price for these investments, even in situations where the Fund holds a large position and a sale could reasonably impact the quoted price.

Level II — Observable inputs other than quoted prices included in level I that are observable for the asset or liability either directly or indirectly. These inputs may include quoted prices for the identical instrument on an inactive market, prices for similar instruments, interest rates, prepayment speeds, credit risk, yield curves, default rates, and similar data. The types of investments which would generally be included in this category include publicly-traded securities with restrictions on disposition and fund of funds with redemption restrictions of no greater than 90 days from the reporting period date.

Level III — Unobservable inputs for the asset or liability to the extent that relevant observable inputs are not available, representing the Fund's own assumptions about the assumptions that a market participant would use in valuing the asset or liability, and that would be based on the best information available. The types of investments which would generally be included in this category include fund of funds with redemption restrictions of greater than 90 days from the reporting period date.

The availability of observable inputs can vary from security to security and is affected by a wide variety of factors, including, for example, the type of security, whether the security is new and not yet established in the marketplace, the liquidity of markets, and other characteristics particular to the security. To the extent that valuation is based on models or inputs that are less observable or unobservable in the market, the determination of fair value requires more judgment. Accordingly, the degree of judgment exercised in determining fair value is greatest for instruments categorized in level III.

The inputs used to measure fair value may fall into different levels of the fair value hierarchy. In such cases, for disclosure purposes, the level in the fair value hierarchy within which the fair value measurement falls in its entirety is determined based on the lowest level input that is significant to the fair value measurement in its entirety.

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The following table summarizes the levels in the fair value hierarchy into which the Fund's cash equivalents and investments fall as of December 31, 2013:

	Total	Level I	Level II	Level III
Cash equivalents	$ 6,771,499	$ 6,771,499	$ -	$ -
Investments in Portfolio Funds — Distressed	23,170,335	-	-	23,170,335
Investments in Portfolio Funds — International	20,513,201	-	-	20,513,201
Investments in Portfolio Funds — LBO, Growth & Other PE	51,552,309	-	-	51,552,309
Investments in Portfolio Funds — Venture Capital	70,820,510	-	-	70,820,510
Total	$ 172,827,854	$ 6,771,499	$ -	$ 166,056,355

The changes in investments measured at fair value for which the Fund has used Level III inputs to determine fair value are as follows:

	Investments in Portfolio Funds				
	Distressed[1]	International[2]	LBO, Growth & Other PE[3]	Venture Capital[4]	Total
Balance at January 1, 2013	$ 23,709,272	$ 21,225,876	$ 50,467,479	$ 57,643,751	$ 153,046,378
Contributions	915,244	1,499,565	4,900,377	4,690,896	12,006,082
Distributions	(4,733,424)	(4,437,469)	(9,322,554)	(5,892,047)	(24,385,494)
Realized gain	1,448,914	582,203	4,248,952	3,447,497	9,727,566
Change in unrealized appreciation	1,830,329	1,643,026	1,258,055	10,930,413	15,661,823
Balance at December 31, 2013	$ 23,170,335	$ 20,513,201	$ 51,552,309	$ 70,820,510	$ 166,056,355
Net change in unrealized appreciation in earnings related to investments still held at December 31, 2013	$ 1,830,329	$ 1,643,026	$ 1,258,055	$ 10,930,413	$ 15,661,823
Estimated End Date Range of Investments	2014 to 2017	2016 to 2021	2014 to 2020	2014 to 2021	

There were no transfers in or out of Level I, Level II or Level III investments.

(1) Distressed Strategy funds typically invest across the capital structure of companies subject to financial or operational distress or bankruptcy proceedings. Such securities often trade at discounts to intrinsic value due to difficulties in assessing their proper value, lack of research coverage, or an inability of traditional investors to continue holding them. This strategy is generally long-biased in nature, but managers may take outright long, hedged or outright short positions. Distressed managers typically attempt to profit on the issuer's ability to improve its operation or the success of the bankruptcy process that ultimately leads to an exit strategy.

(2) International Strategy funds invest in equity and debt of non-U.S. companies.

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(3) LBO, Growth & Other PE Strategy funds invest in private investment funds whose underlying portfolios include investments in private companies or conduct buyouts of public companies that result in a delisting of public equity. LBO or Leveraged Buyout strategy is to target a company's asset value to finance most or all of the debt incurred in acquiring the company for takeover.

(4) Venture Capital Strategy funds seek to develop, negotiate and acquire equity positions primarily in early stage start-up and emerging firms and small businesses with perceived long-term growth potential.

10. SUBSEQUENT EVENTS

From the period January 1, 2014 to June 16, 2014, the Fund paid $5,500,000 in distributions to members.

Management has reviewed and evaluated all significant events and transactions that occurred after December 31, 2013 through June 16, 2014, the date that these audited financial statements were available to be issued. No other subsequent events requiring adjustment or disclosure have occurred.

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ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					1,674,622.66
Purchases					
01/02/2013	01/07/2013	450	37.62	Abaxis, Inc.	(16,948.98)
01/02/2013	01/07/2013	1,090	13.85	Abiomed, Inc	(15,139.01)
01/02/2013	01/07/2013	450	93.10	Airgas, Inc.	(41,912.01)
01/02/2013	01/07/2013	1,050	20.69	Avis Budget Group Inc.	(21,765.03)
01/02/2013	01/07/2013	320	52.94	Carpenter Technology Corp.	(16,954.02)
01/02/2013	01/07/2013	600	56.39	Carter's, Inc.	(33,858.00)
01/02/2013	01/07/2013	530	70.14	Chemed Corporation	(37,197.20)
01/02/2013	01/07/2013	750	48.28	Clarcor Inc.	(36,236.48)
01/02/2013	01/07/2013	770	14.63	Digital River, Inc.	(11,292.97)
01/02/2013	01/07/2013	640	25.70	DigitalGlobe Inc.	(16,472.58)
01/02/2013	01/07/2013	330	91.50	Edwards Lifesciences Corp.	(30,208.89)
01/02/2013	01/07/2013	3,460	5.67	Entropic Communications	(19,771.13)
01/02/2013	01/07/2013	1,360	13.04	EPIQ Systems, Inc.	(17,790.43)
01/02/2013	01/07/2013	5,500	14.06	ExamWorks Group, Inc.	(77,573.65)
01/02/2013	01/07/2013	550	50.01	First Cash Financial Services,	(27,528.99)
01/02/2013	01/07/2013	1,110	13.69	Fred's Inc.	(15,236.30)
01/02/2013	01/07/2013	850	23.59	Greatbatch, Inc.	(20,087.97)
01/02/2013	01/07/2013	750	23.81	Healthcare Services Group.	(17,884.50)
01/02/2013	01/07/2013	880	21.51	Insulet Corporation	(18,961.80)
01/02/2013	01/07/2013	320	67.31	IPG Photonics Corporation	(21,551.62)
01/02/2013	01/07/2013	1,080	31.88	Iron Mountain Inc.	(34,476.73)
01/02/2013	01/07/2013	340	63.07	Littelfuse, Inc.	(21,457.81)
01/02/2013	01/07/2013	820	21.25	Masimo Corporation	(17,455.42)
01/02/2013	01/07/2013	1,500	14.23	Merit Medical Systems, Inc.	(21,406.50)
01/02/2013	01/07/2013	1,340	21.70	Microsemi Corp.	(29,136.56)
01/02/2013	01/07/2013	1,970	8.22	Newpark Resources, Inc.	(16,280.87)
01/02/2013	01/07/2013	1,210	16.40	NIC Inc.	(19,887.44)
01/02/2013	01/07/2013	1,130	15.56	Omnicell, Inc.	(17,626.64)
01/02/2013	01/07/2013	5,000	4.71	Parker Drilling Company	(23,756.50)
01/02/2013	01/07/2013	1,210	19.40	PROS Holdings, Inc.	(23,525.43)
01/02/2013	01/07/2013	430	61.75	Range Resources Corp.	(26,569.06)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
01/02/2013	01/07/2013	730	42.28	ResMed Inc.	(30,896.89)
01/02/2013	01/07/2013	550	33.89	Simpson Manufacturing Co. Inc	(18,663.48)
01/02/2013	01/07/2013	290	54.16	Solera Holdings Inc.	(15,718.09)
01/02/2013	01/07/2013	430	93.33	Stericycle, Inc.	(40,148.50)
01/02/2013	01/07/2013	550	81.72	Stratasys, Inc.	(44,967.51)
01/02/2013	01/07/2013	650	67.28	Triumph Group, Inc.	(43,755.01)
01/02/2013	01/07/2013	5,000	25.99	Vocera Communications Inc.	(130,149.00)
01/02/2013	01/07/2013	1,500	23.47	Volcano Corporation	(35,260.05)
01/16/2013	01/22/2013	2,200	51.07	Carpenter Technology Corp.	(112,446.84)
02/22/2013	02/27/2013	6,000	21.75	Volcano Corporation	(130,755.60)
02/28/2013	03/05/2013	6,100	25.83	Vocera Communications Inc.	(157,783.82)
03/15/2013	03/20/2013	7,410	16.96	Gentherm Inc.	(125,939.62)
03/18/2013	03/21/2013	9,930	16.90	Gentherm Inc.	(168,198.31)
03/19/2013	03/22/2013	8,260	16.99	Gentherm Inc.	(140,660.37)
04/12/2013	04/17/2013	2,280	14.80	Gentherm Inc.	(33,827.45)
04/15/2013	04/18/2013	2,120	14.44	Gentherm Inc.	(30,707.35)
05/09/2013	05/14/2013	9,950	12.60	Vocera Communications Inc.	(125,809.79)
05/10/2013	05/15/2013	4,730	12.67	Vocera Communications Inc.	(60,132.02)
05/13/2013	05/16/2013	7,303	12.68	Vocera Communications Inc.	(92,882.48)
05/14/2013	05/17/2013	5,180	12.57	Vocera Communications Inc.	(65,293.90)
05/15/2013	05/20/2013	1,640	12.64	Vocera Communications Inc.	(20,801.27)
05/16/2013	05/21/2013	1,190	30.93	Synchronoss Technologies, Inc.	(36,850.61)
05/16/2013	05/21/2013	2,997	13.30	Vocera Communications Inc.	(39,985.37)
05/17/2013	05/22/2013	6,430	31.67	Synchronoss Technologies, Inc.	(203,921.02)
05/20/2013	05/23/2013	147	32.00	Synchronoss Technologies, Inc.	(4,709.57)
05/21/2013	05/24/2013	3,020	31.80	Synchronoss Technologies, Inc.	(96,153.78)
05/22/2013	05/28/2013	6,050	31.40	Synchronoss Technologies, Inc.	(190,238.01)
05/23/2013	05/29/2013	5,163	31.03	Synchronoss Technologies, Inc.	(160,426.80)
06/27/2013	07/02/2013	1,000	46.60	Abaxis, Inc.	(46,640.00)
06/27/2013	07/02/2013	2,300	21.15	Abiomed, Inc	(48,739.07)
06/27/2013	07/02/2013	300	45.71	Carpenter Technology Corp.	(13,725.54)
06/27/2013	07/02/2013	100	52.88	Clarcor Inc.	(5,291.85)
06/27/2013	07/02/2013	1,300	18.89	Digital River, Inc.	(24,614.33)
06/27/2013	07/02/2013	1,300	30.45	DigitalGlobe Inc.	(39,639.99)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
06/27/2013	07/02/2013	300	66.80	Edwards Lifesciences Corp.	(20,052.87)
06/27/2013	07/02/2013	2,950	4.20	Entropic Communications	(12,508.00)
06/27/2013	07/02/2013	1,700	13.15	EPIQ Systems, Inc.	(22,426.78)
06/27/2013	07/02/2013	250	102.08	FactSet Research Systems, Inc.	(25,529.30)
06/27/2013	07/02/2013	1,000	48.64	First Cash Financial Services.	(48,681.60)
06/27/2013	07/02/2013	925	32.98	Greatbatch, Inc.	(30,547.39)
06/27/2013	07/02/2013	1,050	24.02	Healthcare Services Group.	(25,265.54)
06/27/2013	07/02/2013	650	31.45	Insulet Corporation	(20,471.23)
06/27/2013	07/02/2013	1,000	26.85	Iron Mountain Inc.	(26,888.50)
06/27/2013	07/02/2013	300	75.26	Littelfuse, Inc.	(22,590.84)
06/27/2013	07/02/2013	1,100	21.79	Masimo Corporation	(24,007.83)
06/27/2013	07/02/2013	800	19.65	Mentor Graphics	(15,748.16)
06/27/2013	07/02/2013	1,575	11.05	Merit Medical Systems, Inc.	(17,471.63)
06/27/2013	07/02/2013	1,075	22.57	Microsemi Corp.	(24,302.74)
06/27/2013	07/02/2013	1,025	10.92	Newpark Resources, Inc.	(11,238.61)
06/27/2013	07/02/2013	1,500	16.23	NIC Inc.	(24,399.30)
06/27/2013	07/02/2013	600	19.89	Omnicell, Inc.	(11,956.56)
06/27/2013	07/02/2013	5,300	4.98	Parker Drilling Company	(26,616.60)
06/27/2013	07/02/2013	975	30.26	PROS Holdings, Inc.	(29,543.18)
06/27/2013	07/02/2013	100	79.47	Range Resources Corp.	(7,950.94)
06/27/2013	07/02/2013	575	29.08	Simpson Manufacturing Co. Inc	(16,741.82)
06/27/2013	07/02/2013	500	54.88	Solera Holdings Inc.	(27,459.10)
06/27/2013	07/02/2013	1,000	26.11	Trimble Navigation Limited	(26,147.30)
06/27/2013	07/02/2013	300	18.01	Volcano Corporation	(5,413.80)
07/11/2013	07/16/2013	1,100	28.24	Synchronoss Technologies, Inc.	(31,110.09)
08/30/2013	09/05/2013	1,400	39.36	Abaxis, Inc.	(55,154.54)
08/30/2013	09/05/2013	3,400	23.72	Abiomed, Inc	(80,767.34)
08/30/2013	09/05/2013	3,100	26.89	Avis Budget Group Inc.	(83,491.37)
08/30/2013	09/05/2013	1,100	53.64	Carpenter Technology Corp.	(59,045.91)
08/30/2013	09/05/2013	1,500	74.79	Carter's, Inc.	(112,239.75)
08/30/2013	09/05/2013	1,500	70.21	Chemed Corporation	(105,377.55)
08/30/2013	09/05/2013	900	54.16	Clarcor Inc.	(48,782.97)
08/30/2013	09/05/2013	2,300	17.45	Digital River, Inc.	(40,228.15)
08/30/2013	09/05/2013	2,000	30.64	DigitalGlobe Inc.	(61,362.20)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
08/30/2013	09/05/2013	1,000	70.35	Edwards Lifesciences Corp.	(70,386.80)
08/30/2013	09/05/2013	14,200	4.18	Entropic Communications	(59,912.64)
08/30/2013	09/05/2013	4,100	12.33	EPIQ Systems, Inc.	(50,714.13)
08/30/2013	09/05/2013	2,950	23.50	ExamWorks Group, Inc.	(69,429.14)
08/30/2013	09/05/2013	1,700	55.30	First Cash Financial Services,	(94,083.61)
08/30/2013	09/05/2013	3,200	15.66	Fred's Inc.	(50,240.32)
08/30/2013	09/05/2013	2,300	16.79	Gentherm Inc.	(38,714.52)
08/30/2013	09/05/2013	4,400	34.16	Greatbatch, Inc.	(150,463.28)
08/30/2013	09/05/2013	2,600	33.66	Insulet Corporation	(87,620.26)
08/30/2013	09/05/2013	900	53.61	IPG Photonics Corporation	(48,283.29)
08/30/2013	09/05/2013	3,200	26.13	Iron Mountain Inc.	(83,752.32)
08/30/2013	09/05/2013	1,300	74.65	Littelfuse, Inc.	(97,102.72)
08/30/2013	09/05/2013	2,500	24.94	Masimo Corporation	(62,450.00)
08/30/2013	09/05/2013	3,100	22.46	Mentor Graphics	(69,748.14)
08/30/2013	09/05/2013	9,100	12.87	Merit Medical Systems, Inc.	(117,521.95)
08/30/2013	09/05/2013	5,900	25.75	Microsemi Corp.	(152,165.13)
08/30/2013	09/05/2013	5,800	11.33	Newpark Resources, Inc.	(65,926.86)
08/30/2013	09/05/2013	5,100	22.26	NIC Inc.	(113,730.00)
08/30/2013	09/05/2013	3,300	21.96	Omnicell, Inc.	(72,612.54)
08/30/2013	09/05/2013	6,800	5.92	Parker Drilling Company	(40,533.44)
08/30/2013	09/05/2013	3,600	32.68	PROS Holdings, Inc.	(117,780.84)
08/30/2013	09/05/2013	1,300	75.51	Range Resources Corp.	(98,213.83)
08/30/2013	09/05/2013	3,600	31.20	Simpson Manufacturing Co. Inc	(112,449.24)
08/30/2013	09/05/2013	900	51.89	Solera Holdings Inc.	(46,733.85)
08/30/2013	09/05/2013	1,800	34.47	Synchronoss Technologies, Inc.	(62,119.08)
08/30/2013	09/05/2013	4,400	25.35	Trimble Navigation Limited	(111,716.00)
08/30/2013	09/05/2013	4,200	16.36	Vocera Communications Inc.	(68,866.14)
08/30/2013	09/05/2013	2,300	21.45	Volcano Corporation	(49,420.33)
09/12/2013	09/17/2013	900	12.79	Merit Medical Systems, Inc.	(11,543.04)
09/13/2013	09/18/2013	6,300	12.90	Merit Medical Systems, Inc.	(81,525.15)
09/30/2013	10/03/2013	210	55.54	Clarcor Inc.	(11,671.80)
09/30/2013	10/03/2013	310	17.84	Digital River, Inc.	(5,542.80)
09/30/2013	10/03/2013	6,850	4.41	Entropic Communications	(30,507.16)
09/30/2013	10/03/2013	440	13.26	EPIQ Systems, Inc.	(5,851.12)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
09/30/2013	10/03/2013	150	56.90	First Cash Financial Services.	(8,541.00)
09/30/2013	10/03/2013	3,770	15.84	Fred's Inc.	(59,865.34)
09/30/2013	10/03/2013	1,410	33.86	Greatbatch, Inc.	(47,796.04)
09/30/2013	10/03/2013	3,920	25.86	Healthcare Services Group.	(101,532.70)
09/30/2013	10/03/2013	1,050	36.35	Insulet Corporation	(38,208.98)
09/30/2013	10/03/2013	170	78.63	Littelfuse, Inc.	(13,373.90)
09/30/2013	10/03/2013	910	12.28	Merit Medical Systems, Inc.	(11,210.75)
09/30/2013	10/03/2013	2,050	24.34	Microsemi Corp.	(49,976.54)
09/30/2013	10/03/2013	450	23.64	Omnicell, Inc.	(10,654.83)
09/30/2013	10/03/2013	650	5.73	Parker Drilling Company	(3,751.02)
09/30/2013	10/03/2013	1,910	69.97	Triumph Group, Inc.	(133,723.49)
10/18/2013	10/23/2013	27,630	18.78	Mistras Group Inc.	(520,087.78)
10/23/2013	10/28/2013	100	18.90	Mistras Group Inc.	(1,894.00)
10/29/2013	11/01/2013	150	18.89	Mistras Group Inc.	(2,839.74)
10/30/2013	11/04/2013	250	18.89	Mistras Group Inc.	(4,733.00)
10/31/2013	11/05/2013	670	18.90	Mistras Group Inc.	(12,669.20)
11/01/2013	11/06/2013	8,420	18.89	Volcano Corporation	(159,352.71)
11/05/2013	11/08/2013	170	18.90	Volcano Corporation	(3,219.80)
11/13/2013	11/18/2013	8,953	19.00	Mistras Group Inc.	(170,438.26)
11/14/2013	11/19/2013	436	18.99	Mistras Group Inc.	(8,295.51)
11/15/2013	11/20/2013	178	19.00	Mistras Group Inc.	(3,389.12)
				Total Purchases	(8,278,110.88)
Sales					
01/02/2013	01/07/2013	3,000	60.61	Trimble Navigation Limited	181,703.82
05/16/2013	05/21/2013	9,250	49.89	ResMed Inc.	461,094.76
05/16/2013	05/21/2013	3,160	89.32	Stratasys, Inc.	282,108.68
05/17/2013	05/22/2013	250	89.07	Stratasys, Inc.	22,256.15
05/20/2013	05/23/2013	990	89.42	Stratasys, Inc.	88,485.80
09/09/2013	09/12/2013	3,100	103.67	Stratasys, Inc.	321,256.09
				Total Sales	1,356,905.30
Dividends Received					
12/21/2012	01/17/2013		0.27	Iron Mountain Inc.	12,127.05
* 12/31/2012	01/24/2013		0.13	Simpson Manufacturing Co. Inc	2,508.13
01/02/2013	01/18/2013		0.14	Clarcor Inc.	1,530.50

- Prior period activity recorded in the current period

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1, 2013 to December 31, 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
01/02/2013	01/02/2013			Income received on Cash equivalents	0.41
01/10/2013	02/15/2013		0.09	EPIQ Systems, Inc.	4,568.04
01/15/2013	01/15/2013			Income received on Cash equivalents	7.42
02/01/2013	02/01/2013			Income received on Cash equivalents	0.08
02/08/2013	03/07/2013		0.18	Carpenter Technology Corp.	2,524.68
02/14/2013	03/19/2013		0.17	ResMed Inc.	4,629.95
02/15/2013	02/15/2013			Income received on Cash equivalents	13.13
02/15/2013	03/07/2013		0.20	Littelfuse, Inc.	2,526.80
02/19/2013	03/06/2013		0.13	Solera Holdings Inc.	1,373.63
02/20/2013	03/15/2013		0.17	Healthcare Services Group.	11,938.91
02/26/2013	03/19/2013		0.31	FactSet Research Systems, Inc.	3,564.69
02/27/2013	03/15/2013		0.06	Fred's Inc.	2,483.16
02/27/2013	03/15/2013		0.04	Triumph Group, Inc.	966.72
02/28/2013	03/22/2013		0.18	Chemed Corporation	3,577.50
03/12/2013	03/28/2013		0.40	Airgas, Inc.	6,710.80
03/13/2013	04/01/2013		0.04	Range Resources Corp.	641.52
03/15/2013	03/15/2013			Income received on Cash equivalents	12.63
03/20/2013	04/10/2013		0.05	Mentor Graphics	3,555.32
03/21/2013	04/15/2013		0.27	Iron Mountain Inc.	10,855.35
04/04/2013	04/19/2013		0.14	Clarcor Inc.	1,631.75
04/15/2013	04/15/2013			Income received on Cash equivalents	15.77
04/29/2013	06/03/2013		0.09	EPIQ Systems, Inc.	4,568.04
05/08/2013	06/14/2013		0.17	Healthcare Services Group.	12,028.68
05/10/2013	06/06/2013		0.18	Carpenter Technology Corp.	2,524.68
05/15/2013	05/15/2013			Income received on Cash equivalents	20.27
05/16/2013	06/06/2013		0.20	Littelfuse, Inc.	2,526.80
05/17/2013	06/18/2013		0.17	ResMed Inc.	3,057.45
05/17/2013	06/04/2013		0.13	Solera Holdings Inc.	1,373.63
05/28/2013	06/19/2013		0.18	Chemed Corporation	3,577.50
05/29/2013	06/14/2013		0.16	Carter's, Inc.	3,097.60
05/29/2013	06/18/2013		0.35	FactSet Research Systems, Inc.	4,024.65
05/29/2013	06/17/2013		0.04	Triumph Group, Inc.	966.72
05/30/2013	06/17/2013		0.06	Fred's Inc.	2,483.16
06/06/2013	07/01/2013		0.05	Mentor Graphics	3,555.32

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
06/12/2013	06/28/2013		0.48	Airgas, Inc.	8,052.96
06/12/2013	06/28/2013		0.04	Range Resources Corp.	641.52
06/17/2013	06/17/2013			Income received on Cash equivalents	20.54
06/21/2013	07/15/2013		0.27	Iron Mountain Inc.	10,855.35
07/01/2013	07/25/2013		0.13	Simpson Manufacturing Co. Inc	2,648.75
07/03/2013	07/19/2013		0.14	Clarcor Inc.	1,645.25
07/15/2013	07/15/2013			Income received on Cash equivalents	13.59
07/30/2013	09/09/2013		0.09	EPIQ Systems, Inc.	4,721.04
08/08/2013	09/03/2013		0.20	Chemed Corporation	3,975.00
08/14/2013	09/20/2013		0.17	Healthcare Services Group.	12,295.63
08/15/2013	08/15/2013			Income received on Cash equivalents	11.25
08/16/2013	09/17/2013		0.25	ResMed Inc.	4,496.25
08/19/2013	09/05/2013		0.22	Littelfuse, Inc.	2,845.48
08/23/2013	09/06/2013		0.18	Carpenter Technology Corp.	2,578.68
08/28/2013	09/17/2013		0.35	FactSet Research Systems, Inc.	4,112.15
08/28/2013	09/16/2013		0.06	Fred's Inc.	2,483.16
08/28/2013	09/16/2013		0.04	Triumph Group, Inc.	966.72
08/29/2013	09/13/2013		0.16	Carter's, Inc.	3,097.60
09/03/2013	09/17/2013		0.17	Solera Holdings Inc.	2,106.13
09/06/2013	09/30/2013		0.05	Mentor Graphics	3,730.82
09/11/2013	09/30/2013		0.48	Airgas, Inc.	8,052.96
09/12/2013	09/30/2013		0.04	Range Resources Corp.	697.52
09/16/2013	09/16/2013			Income received on Cash equivalents	14.24
09/23/2013	10/15/2013		0.27	Iron Mountain Inc.	11,989.35
10/01/2013	10/24/2013		0.13	Simpson Manufacturing Co. Inc	3,098.75
10/09/2013	10/18/2013		0.17	Clarcor Inc.	2,260.49
10/15/2013	10/15/2013			Income received on Cash equivalents	19.19
10/25/2013	12/05/2013		0.18	Carpenter Technology Corp.	2,776.68
10/30/2013	12/09/2013		0.09	EPIQ Systems, Inc.	5,129.64
11/13/2013	12/20/2013		0.17	Healthcare Services Group.	13,053.11
11/14/2013	12/09/2013		0.20	Chemed Corporation	4,275.00
11/15/2013	11/15/2013			Income received on Cash equivalents	12.44
11/15/2013	12/18/2013		0.25	ResMed Inc.	4,496.25
11/18/2013	12/05/2013		0.22	Littelfuse, Inc.	3,168.88

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1, 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
11/18/2013	12/03/2013		0.17	Solera Holdings Inc.	2,106.13
11/26/2013	12/12/2013		0.16	Carter's, Inc.	3,337.60
11/26/2013	12/17/2013		0.35	FactSet Research Systems, Inc.	4,112.15
11/26/2013	12/16/2013		0.04	Triumph Group, Inc.	1,043.12
11/27/2013	12/16/2013		0.06	Fred's Inc.	2,901.36
12/10/2013	12/27/2013		0.48	Airgas, Inc.	8,052.96
12/12/2013	12/31/2013		0.04	Range Resources Corp.	697.52
				Total Dividends Received	274,161.65
Other Income					
09/04/2013	09/04/2013			Check deposit from RSL Communications- Securities Litigation Settlement Fund - Class Action Proceeds	36,078.78
				Total Other Income	36,078.78
Cash Deposits					
01/02/2013	01/02/2013			Incoming Wire from Partner	75,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	500,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	250,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	250,000.00
01/02/2013	01/02/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account.	1,040,000.00
01/28/2013	01/28/2013			Audit Fee Paid to Rock& Co	13,275.26
01/31/2013	01/31/2013			audit fee paid to rock&co	3,358.15
02/01/2013	02/01/2013			Custody Transfer from Partner	50,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	50,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	100,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	100,000.00
02/01/2013	02/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	296,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	25,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	50,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	50,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	100,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	100,000.00
03/01/2013	03/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from State Street Account	325,000.00
04/01/2013	04/01/2013			Custody Transfer from Partner	25,000.00
04/01/2013	04/01/2013			Incoming Wire from Partner	750,000.00
04/01/2013	04/01/2013			Incoming Wire from Partner	500,000.00
04/01/2013	04/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from State Street Account	1,278,000.00

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Deposits (cont'd)					
05/01/2013	05/01/2013			Custody Transfer from Partner	22,000.00
05/01/2013	05/01/2013			Incoming Wire from Partner	50 000.00
05/01/2013	05/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	72,000.00
06/03/2013	06/03/2013			Custody Transfer from Partner	6,000.00
06/03/2013	06/03/2013			to clear 1042 receivable	805.00
06/03/2013	06/03/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from State Street Account.	6,000.00
06/06/2013	06/06/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from Schwab - Fees	12,890.75
07/01/2013	07/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from Schwab Account	122,778.10
09/03/2013	09/03/2013			Custody Transfer from Partner	741,000.00
09/03/2013	09/03/2013			Custody Transfer from Partner	741,000.00
09/03/2013	09/03/2013			Custody Transfer from Partner	741,000.00
09/03/2013	09/03/2013			Custody Transfer from Partner	741,000.00
09/03/2013	09/03/2013			Custody Transfer from Partner	741,000.00
09/03/2013	09/03/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from State Street Account	3,705,000.00
09/25/2013	09/25/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from State Street Account.	36,078.76
10/01/2013	10/01/2013			Custody Transfer from Partner	400,000.00
10/01/2013	10/01/2013			Custody Transfer from Partner	400,000.00
10/01/2013	10/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from State Street Account	800,000.00
11/01/2013	11/01/2013			Custody Transfer from Partner	200,000.00
11/01/2013	11/01/2013			Custody Transfer from Partner	200,000.00
11/01/2013	11/01/2013			Custody Transfer from Partner	360,000.00
11/01/2013	11/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	747,913.06
12/02/2013	12/02/2013			form 1042 Q3-2013 for partner 9889	850.00
12/02/2013	12/02/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer from Schwab Account	100,000.00
12/12/2013	12/12/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund LP - Transfer from Schwab Account	10,936.33
				Total Cash Deposits	16,888,885.43
Cash Withdrawals and Payments					
03/19/2013	03/19/2013			Check to Delaware Secretary of State Vendor #51-6000279 Agent's file # CT 08006240967; DE File # 2389561	(250.00)
				Total Tax Payments and Refunds	(250.00)
01/02/2013	01/02/2013			Cash portion of withdrawal from 8250 for partner 0380	(1,117.10)
01/02/2013	01/02/2013			Cash portion of withdrawal from 8250 for partner 0380	(216,024.30)
01/02/2013	01/02/2013			Custody Transfer to Partner	(35,000.00)
01/02/2013	01/02/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP Partnership Purchase	(1,040,000.00)
01/07/2013	01/07/2013			Fee on Abaxis, Inc.	(15.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
01/07/2013	01/07/2013			Fee on Abiomed, Inc	(15.00)
01/07/2013	01/07/2013			Fee on Airgas, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Avis Budget Group Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Carpenter Technology Corp.	(15.00)
01/07/2013	01/07/2013			Fee on Carter's, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Chemed Corporation	(15.00)
01/07/2013	01/07/2013			Fee on Clarcor Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Digital River, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on DigitalGlobe Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Edwards Lifesciences Corp.	(15.00)
01/07/2013	01/07/2013			Fee on Entropic Communications	(15.00)
01/07/2013	01/07/2013			Fee on EPIQ Systems, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on ExamWorks Group, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on First Cash Financial Services,	(15.00)
01/07/2013	01/07/2013			Fee on Fred's Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Greatbatch, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Healthcare Services Group.	(15.00)
01/07/2013	01/07/2013			Fee on Insulet Corporation	(15.00)
01/07/2013	01/07/2013			Fee on IPG Photonics Corporation	(15.00)
01/07/2013	01/07/2013			Fee on Iron Mountain Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Littelfuse, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Masimo Corporation	(15.00)
01/07/2013	01/07/2013			Fee on Merit Medical Systems, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Microsemi Corp.	(15.00)
01/07/2013	01/07/2013			Fee on Newpark Resources, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on NIC Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Omnicell, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Parker Drilling Company	(15.00)
01/07/2013	01/07/2013			Fee on PROS Holdings, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Range Resources Corp.	(15.00)
01/07/2013	01/07/2013			Fee on ResMed Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Simpson Manufacturing Co. Inc	(15.00)
01/07/2013	01/07/2013			Fee on Solera Holdings Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Stericycle, Inc.	(15.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
01/07/2013	01/07/2013			Fee on Stratasys, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Trimble Navigation Limited	(15.00)
01/07/2013	01/07/2013			Fee on Triumph Group, Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Vocera Communications Inc.	(15.00)
01/07/2013	01/07/2013			Fee on Volcano Corporation	(15.00)
01/14/2013	01/14/2013			Wire transfer to Financial Agent - 4th Quarter Federal 1042 Tax Payments for 8250	(455.00)
01/22/2013	01/22/2013			Fee on Carpenter Technology	(15.00)
01/28/2013	01/28/2013			Administration Fees Paid to Rock & Co.	(4,699.00)
01/28/2013	01/28/2013			Audit Fee Paid to Rock& Co	(16,633.41)
01/29/2013	01/29/2013			Custody Transfer to Rockefeller & Co. Inc. Reimbursement for Deloitte Audit Fees	(16,633.41)
02/01/2013	02/01/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Partnership Purchase	(296,000.00)
02/26/2013	02/26/2013			Administration Fees Paid to Rock & Co.	(4,906.00)
02/27/2013	02/27/2013			Fee on Volcano Corporation	(15.00)
03/01/2013	03/01/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Partnership Purchase	(325,000.00)
03/05/2013	03/05/2013			Fee on Vocera Communications Inc.	(15.00)
03/20/2013	03/20/2013			Fee on Gentherm Inc.	(15.00)
03/21/2013	03/21/2013			Fee on Gentherm Inc.	(15.00)
03/22/2013	03/22/2013			Fee on Gentherm Inc.	(15.00)
03/25/2013	03/25/2013			Administration Fees Paid to Rock & Co.	(4,861.00)
04/01/2013	04/01/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Partnership Purchase	(1,278,000.00)
04/17/2013	04/17/2013			Fee on Gentherm Inc.	(15.00)
04/18/2013	04/18/2013			Fee on Gentherm Inc.	(15.00)
04/26/2013	04/26/2013			Administration Fees Paid to Rock & Co.	(5,058.00)
05/01/2013	05/01/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Partnership Purchase	(72,000.00)
05/09/2013	05/09/2013			Fee On Vocera Communications Inc.	(15.00)
05/10/2013	05/10/2013			Fee On Vocera Communications Inc.	(15.00)
05/13/2013	05/13/2013			Fee On Vocera Communications Inc.	(15.00)
05/17/2013	05/17/2013			Check to CT Corporation System - Annual fee for statutory rep in DE: period 6/1/13-5/13/14 CHK # 4283	(269.80)
05/17/2013	05/17/2013			Fee On Vocera Communications Inc.	(15.00)
05/20/2013	05/20/2013			Fee On Vocera Communications Inc.	(15.00)
05/21/2013	05/21/2013			Fee On Resmed Inc.	(15.00)
05/21/2013	05/21/2013			Fee On Stratasys, Inc.	(15.00)
05/21/2013	05/21/2013			Fee On Synchronoss Technologies, Inc.	(15.00)
05/21/2013	05/21/2013			Fee On Vocera Communications Inc.	(15.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
05/22/2013	05/22/2013			Fee On Stratasys, Inc.	(15.00)
05/22/2013	05/22/2013			Fee On Synchronoss Technologies, Inc.	(15.00)
05/23/2013	05/23/2013			Fee On Stratasys, Inc.	(15.00)
05/23/2013	05/23/2013			Fee On Synchronoss Technologies, Inc.	(15.00)
05/24/2013	05/24/2013			Fee On Synchronoss Technologies, Inc.	(15.00)
05/28/2013	05/28/2013			Fee On Synchronoss Technologies, Inc.	(15.00)
05/29/2013	05/29/2013			Administration Fees Paid to Rock & Co.	(149.00)
05/29/2013	05/29/2013			Administration Fees Paid to Rock & Co.	(5,045.00)
05/29/2013	05/29/2013			Fee On Synchronoss Technologies, Inc.	(15.00)
06/03/2013	06/03/2013			Wire Transfer to Partner	(805.00)
06/03/2013	06/03/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Partnership Purchase	(6,000.00)
06/06/2013	06/06/2013			Custody Transfer to Rockefeller & Co., Inc. Reimbursement for Deloitte Audit fees - 2nd bill	(12,890.75)
06/06/2013	06/06/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account	(12,890.75)
06/18/2013	06/18/2013			Administration Fees Paid to Rock & Co.	(5,327.00)
07/01/2013	07/01/2013			Custody Transfer to Partner	(110,500.29)
07/01/2013	07/01/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account	(122,778.10)
07/02/2013	07/02/2013			Fee on Abaxis, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Abiomed, Inc	(15.00)
07/02/2013	07/02/2013			Fee on Carpenter Technology Corp.	(15.00)
07/02/2013	07/02/2013			Fee on Clarcor Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Digital River, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Digitalglobe Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Edwards Lifesciences Corp.	(15.00)
07/02/2013	07/02/2013			Fee on Entropic Communications	(15.00)
07/02/2013	07/02/2013			Fee on Epiq Systems, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Factset Research Systems, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on First Cash Financial Services.	(15.00)
07/02/2013	07/02/2013			Fee on Greatbatch, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Healthcare Services Group	(15.00)
07/02/2013	07/02/2013			Fee on Insulet Corporation	(15.00)
07/02/2013	07/02/2013			Fee on Iron Mountain Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Littelfuse, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Masimo Corporation	(15.00)
07/02/2013	07/02/2013			Fee on Mentor Graphics	(15.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
07/02/2013	07/02/2013			Fee on Merit Medical Systems, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Microsemi Corp.	(15.00)
07/02/2013	07/02/2013			Fee on Newpark Resources, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Nic Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Omnicell, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Parker Drilling Company	(15.00)
07/02/2013	07/02/2013			Fee on PROS Holdings	(15.00)
07/02/2013	07/02/2013			Fee on Range Resources Corp.	(15.00)
07/02/2013	07/02/2013			Fee on Simpson Manufacturing Co. Inc	(15.00)
07/02/2013	07/02/2013			Fee on Solera Holdings Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Trimble Navigation Limited	(15.00)
07/02/2013	07/02/2013			Fee on Volcano Corporation	(15.00)
07/15/2013	07/15/2013			Custody Transfer to Partner	(12,277.81)
07/16/2013	07/16/2013			Fee On Synchronoss Technologies Inc	(15.00)
07/24/2013	07/24/2013			Administration Fees Paid to Rock & Co.	(5,370.00)
08/01/2013	08/01/2013			Custody Transfer to Partner	(500.00)
08/22/2013	08/22/2013			Administration Fees Paid to Rock & Co.	(5,642.00)
09/03/2013	09/03/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Partnership Purchase	(3,705,000.00)
09/05/2013	09/05/2013			Fee on Abaxis, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Abiomed, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Avis Budget Group	(15.00)
09/05/2013	09/05/2013			Fee on Carpenter Tech Corp.	(15.00)
09/05/2013	09/05/2013			Fee on Carter's, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Chemed Corp	(15.00)
09/05/2013	09/05/2013			Fee on Clarcor, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Digital River, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on DigitalGlobe, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Edwards Lifesciences Corp	(15.00)
09/05/2013	09/05/2013			Fee on Entropic Communications	(15.00)
09/05/2013	09/05/2013			Fee on EPIQ Systems, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on ExamWorks Group, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on First Cash Financial Services, Inc	(15.00)
09/05/2013	09/05/2013			Fee on Fred's, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Gentherm, Inc.	(15.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
09/05/2013	09/05/2013			Fee on Greatbatch, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Insulet Corporation	(15.00)
09/05/2013	09/05/2013			Fee on IPG Photonics Corporation	(15.00)
09/05/2013	09/05/2013			Fee on Iron Mountain, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Littelfuse, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Masimo Corporation	(15.00)
09/05/2013	09/05/2013			Fee on Mentor Graphics	(15.00)
09/05/2013	09/05/2013			Fee on Merit Medical Systems, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Microsemi Corp.	(15.00)
09/05/2013	09/05/2013			Fee on Newpark Resources, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on NIC, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Omnicell, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Parker Drilling Company	(15.00)
09/05/2013	09/05/2013			Fee on PROS Holdings, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Range Resources Corp.	(15.00)
09/05/2013	09/05/2013			Fee on Simpson Manufacturing Co. Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Solera Holdings, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Synchronoss Technologies, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Trimble Navigation Limited	(15.00)
09/05/2013	09/05/2013			Fee on Vocera Communications, Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Volcano Corporation	(15.00)
09/12/2013	09/12/2013			Fee on Stratasys, Inc.	(15.00)
09/16/2013	09/16/2013			Fee on Merit Medical Systems, Inc.	(15.00)
09/18/2013	09/18/2013			Fee on Merit Medical Systems, Inc.	(15.00)
09/24/2013	09/24/2013			Administration Fees Paid to Rock & Co.	(5,962.00)
09/25/2013	09/25/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transf class action settlement check from RSL Communications	(36,078.78)
10/01/2013	10/01/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP Partnership Purchase	(800,000.00)
10/03/2013	10/03/2013			Fee on Clarcor Inc.	(15.00)
10/03/2013	10/03/2013			Fee on Digital River, Inc.	(15.00)
10/03/2013	10/03/2013			Fee on Entropic Communications	(15.00)
10/03/2013	10/03/2013			Fee on EPIQ Systems, Inc.	(15.00)
10/03/2013	10/03/2013			Fee on First Cash Financial Services,	(15.00)
10/03/2013	10/03/2013			Fee on Fred's Inc.	(15.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
10/03/2013	10/03/2013			Fee on Greatbatch, Inc.	(15.00)
10/03/2013	10/03/2013			Fee on Healthcare Services Group,	(15.00)
10/03/2013	10/03/2013			Fee on Insulet Corporation	(15.00)
10/03/2013	10/03/2013			Fee on Littelfuse, Inc.	(15.00)
10/03/2013	10/03/2013			Fee on Ment Medical Systems, Inc.	(15.00)
10/03/2013	10/03/2013			Fee on Microsemi Corp.	(15.00)
10/03/2013	10/03/2013			Fee on Omnicell, Inc.	(15.00)
10/03/2013	10/03/2013			Fee on Parker Drilling Company	(15.00)
10/03/2013	10/03/2013			Fee on Triumph Group, Inc.	(15.00)
10/23/2013	10/23/2013			Fee on Mistras Group	(15.00)
10/28/2013	10/28/2013			Administration Fees Paid to Rock & Co.	(6,340.00)
10/28/2013	10/28/2013			Fee on Mistras Group Inc	(15.00)
11/01/2013	11/01/2013			Custody Transfer to Partner	(9,889.31)
11/01/2013	11/01/2013			Fee on Mistras Group Inc.	(15.00)
11/01/2013	11/01/2013			Wire transfer to Financial Agent Form 1042 Q3-2013, for partner 9889	(850.00)
11/01/2013	11/01/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP Partnership Purchase	(747,913.06)
11/04/2013	11/04/2013			Fee on Mistras Group Inc.	(15.00)
11/05/2013	11/05/2013			Fee on Mistras Group Inc.	(15.00)
11/06/2013	11/06/2013			Cancel wire transfer to Financial Agent - Form 1042 Q3-2013, for partner 9889	850.00
11/06/2013	11/06/2013			Fee on Volcano Corporation	(15.00)
11/08/2013	11/08/2013			Fee on Volcano Corporation	(15.00)
11/12/2013	11/12/2013			Wire transfer to Financial Agent - Form 1042 Q3-2013, for partner 9889	(850.00)
11/14/2013	11/14/2013			Custody Transfer to Partner	(1,098.81)
11/18/2013	11/18/2013			Fee on Mistras Group Inc.	(15.00)
11/19/2013	11/19/2013			Fee on Mistras Group Inc.	(15.00)
11/20/2013	11/20/2013			Fee on Mistras Group Inc.	(15.00)
11/22/2013	11/22/2013			Administration Fees Paid to Rock & Co.	(6,493.00)
12/02/2013	12/02/2013			Custody Transfer to Partner	(85,000.00)
12/02/2013	12/02/2013			Wire Transfer to Partner	(15,000.00)
12/02/2013	12/02/2013			Wire Transfer to Partner	(850.00)
12/02/2013	12/02/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(100,000.00)
12/12/2013	12/12/2013			Custody Transfer to Rockefeller & Co. Inc. Reimbursement for Deloitte Audit Fees	(10,936.33)
12/12/2013	12/12/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account	(10,936.33)
12/18/2013	12/18/2013			Administration Fees Paid to Rock & Co.	(6,754.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
				Total Miscellaneous	(9,168,334.34)
				Total Cash Withdrawals and Payments	(9,168,584.34)
Fees					
01/28/2013	01/28/2013			Investment Management Fee Paid to Rock & Co.	(40,281.00)
01/28/2013	01/28/2013			Wire Fee	(25.00)
01/29/2013	01/29/2013			Wire Fee	(25.00)
01/30/2013	01/30/2013			Custody Transfer to State Street Bank - December 2012 State Street Custody Fees	(0.08)
02/01/2013	02/01/2013			Wire Fee	(25.00)
02/26/2013	02/26/2013			Investment Management Fee Paid to Rock & Co.	(42,045.00)
02/26/2013	02/26/2013			Wire Fee	(25.00)
03/25/2013	03/25/2013			Investment Management Fee Paid to Rock & Co.	(41,661.00)
03/25/2013	03/25/2013			Wire Fee	(25.00)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank - February 2013 State Street Custody Fees	(9.16)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank - January 2013 State Street Custody Fees	(0.02)
04/23/2013	04/23/2013			Custody Transfer to State Street Bank March 2013 State Street Custody Fees	(0.13)
04/26/2013	04/26/2013			Investment Management Fee Paid to Rock & Co.	(43,358.00)
04/26/2013	04/26/2013			Wire Fee	(25.00)
05/29/2013	05/29/2013			Investment Management Fee Paid to Rock & Co.	(1,278.00)
05/29/2013	05/29/2013			Investment Management Fee Paid to Rock & Co.	(43,243.00)
05/29/2013	05/29/2013			Wire Fee	(25.00)
05/29/2013	05/29/2013			Wire Fee	(25.00)
06/06/2013	06/06/2013			Wire Fee	(25.00)
06/07/2013	06/07/2013			Custody Transfer to State Street Bank April 2013 State Street Custody Fees	(0.08)
06/18/2013	06/18/2013			Investment Management Fee Paid to Rock & Co.	(45,661.00)
06/18/2013	06/18/2013			Wire Fee	(25.00)
07/01/2013	07/01/2013			Wire Fee	(25.00)
07/12/2013	07/12/2013			Custody Transfer to State Street Bank - May 2013 State Street Custody Fees	(0.08)
07/24/2013	07/24/2013			Investment Management Fee Paid to Rock & Co.	(46,027.00)
07/24/2013	07/24/2013			Wire Fee	(25.00)
08/09/2013	08/09/2013			Custody Transfer to State Street Bank - June 2013 State Street Custody Fees	(0.08)
08/22/2013	08/22/2013			Investment Management Fee Paid to Rock & Co.	(48,363.00)
08/22/2013	08/22/2013			Wire Fee	(25.00)
09/03/2013	09/03/2013			Custody Transfer to State Street Bank - July 2013 State Street Custody Fees	(0.08)
09/24/2013	09/24/2013			Custody Transfer to Rockefeller & Co. Inc. - Reimbursement for Deloitte audit fee	(281.60)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Fees (cont'd)					
09/24/2013	09/24/2013			Investment Management Fee Paid to Rock & Co.	(51,106.00)
09/24/2013	09/24/2013			Wire Fee	(25.00)
10/16/2013	10/16/2013			Custody Transfer to State Street Bank - August 2013 State Street Custocy Fees	(0.07)
10/28/2013	10/28/2013			Investment Management Fee Paid to Rock & Co.	(54,346.00)
10/28/2013	10/28/2013			Wire Fee	(25.00)
10/31/2013	10/31/2013			Custody Transfer to State Street Bank - September 2013 State Street Custody Fees	(0.07)
11/22/2013	11/22/2013			Investment Management Fee Paid to Rock & Co.	(55,653.00)
11/22/2013	11/22/2013			Wire Fee	(25.00)
12/02/2013	12/02/2013			Wire Fee	(25.00)
12/12/2013	12/12/2013			Wire Fee	(25.00)
12/18/2013	12/18/2013			Investment Management Fee Paid to Rock & Co.	(57,896.00)
12/18/2013	12/18/2013			Wire Fee	(25.00)
12/30/2013	12/30/2013			Custody Transfer to State Street Bank October 2013 State Street Custody Fees	(0.07)
				Total Fees	(571,684.52)
Ending Cash Balance					2,212,274.08

Non Cash Transactions

Non Cash Withdrawals

01/02/2013	01/02/2013	1,590	Withdrawal In Kind - 1,590 shares of Solera Holdings Inc. (Market Value = $85,017.29)
01/02/2013	01/02/2013	1,590	Withdrawal In Kind - 1,590 shares of Vocera Communications Inc. (Market Value = $39,909.00)
01/02/2013	01/02/2013	1,680	Withdrawal In Kind - 1,680 shares of Clarcor Inc. (Market Value = $80,270.39)
01/02/2013	01/02/2013	1,700	Withdrawal In Kind - 1,700 shares of Carpenter Technology Corp. (Market Value = $87,771.01)
01/02/2013	01/02/2013	1,700	Withdrawal In Kind - 1,700 shares of FactSet Research Systems, Inc. (Market Value = $149,702.00)
01/02/2013	01/02/2013	1,710	Withdrawal In Kind - 1,710 shares of IPG Photonics Corporation (Market Value = $113,971.51)
01/02/2013	01/02/2013	1,780	Withdrawal In Kind - 1,780 shares of Edwards Lifesciences Corp. (Market Value = $160,502.60)
01/02/2013	01/02/2013	1,820	Withdrawal In Kind - 1,820 shares of Littelfuse, Inc. (Market Value = $112,312.20)
01/02/2013	01/02/2013	10,410	Withdrawal In Kind - 10,410 shares of ExamWorks Group, Inc. (Market Value = $145,635.88)
01/02/2013	01/02/2013	10,520	Withdrawal In Kind - 10,520 shares of Healthcare Services Group. (Market Value = $244,379.64)
01/02/2013	01/02/2013	10,620	Withdrawal In Kind - 10,620 shares of Newpark Resources, Inc. (Market Value = $83,367.01)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Non Cash Withdrawals (cont'd)					
01/02/2013	01/02/2013	11,390		Withdrawal In Kind - 11,390 shares of Parker Drilling Company (Market Value = $52,394.00)	
01/02/2013	01/02/2013	11,700		Withdrawal In Kind - 11,700 shares of Mentor Graphics (Market Value = $199,134.00)	
01/02/2013	01/02/2013	18,640		Withdrawal In Kind - 18,640 shares of Entropic Communications (Market Value = $98,605.60)	
01/02/2013	01/02/2013	2,310		Withdrawal In Kind - 2,310 shares of Range Resources Corp. (Market Value = $145,137.29)	
01/02/2013	01/02/2013	2,310		Withdrawal In Kind 2,310 shares of Stericycle, Inc. (Market Value = $215,476.80)	
01/02/2013	01/02/2013	2,420		Withdrawal In Kind - 2,420 shares of Abaxis, Inc. (Market Value = $89,782.01)	
01/02/2013	01/02/2013	2,420		Withdrawal In Kind - 2,420 shares of Airgas, Inc. (Market Value = $220,921.80)	
01/02/2013	01/02/2013	2,780		Withdrawal In Kind - 2,780 shares of Carter's, Inc. (Market Value = $154,707.00)	
01/02/2013	01/02/2013	2,870		Withdrawal In Kind - 2,870 shares of Chemed Corporation (Market Value = $196,853.30)	
01/02/2013	01/02/2013	2,970		Withdrawal In Kind - 2,970 shares of First Cash Financial Services. (Market Value = $147,371.39)	
01/02/2013	01/02/2013	2,970		Withdrawal In Kind - 2,970 shares of Simpson Manufacturing Co. Inc (Market Value = $97,386.29)	
01/02/2013	01/02/2013	2,980		Withdrawal In Kind - 2,980 shares of Stratasys, Inc. (Market Value = $236,847.00)	
01/02/2013	01/02/2013	3,270		Withdrawal In Kind - 3,270 shares of Volcano Corporation (Market Value = $77,204.69)	
01/02/2013	01/02/2013	3,470		Withdrawal In Kind - 3,470 shares of DigitalGlobe Inc. (Market Value = $84,806.79)	
01/02/2013	01/02/2013	3,480		Withdrawal In Kind - 3,480 shares of Triumph Group, Inc. (Market Value = $227,243.99)	
01/02/2013	01/02/2013	3,930		Withdrawal In Kind - 3,930 shares of ResMed Inc. (Market Value = $163,370.07)	
01/02/2013	01/02/2013	4,140		Withdrawal In Kind - 4,140 shares of Digital River, Inc. (Market Value = $59,533 19)	
01/02/2013	01/02/2013	4,390		Withdrawal In Kind - 4,390 shares of Masimo Corporation (Market Value = $92,233.89)	
01/02/2013	01/02/2013	4,550		Withdrawal In Kind - 4,550 shares of Trimble Navigation Limited (Market Value = $271,999.00)	
01/02/2013	01/02/2013	4,580		Withdrawal In Kind - 4,580 shares of Greatbatch, Inc. (Market Value = $106,439.20)	
01/02/2013	01/02/2013	4,760		Withdrawal In Kind - 4,760 shares of Insulet Corporation (Market Value = $101,007.20)	
01/02/2013	01/02/2013	5,680		Withdrawal In Kind - 5,680 shares of Abiomed, Inc (Market Value = $76,339.19)	
01/02/2013	01/02/2013	5,680		Withdrawal In Kind - 5,680 shares of Avis Budget Group Inc. (Market Value = $112,577.60)	
01/02/2013	01/02/2013	5,790		Withdrawal In Kind - 5,790 shares of Iron Mountain Inc. (Market Value = $179,779.51)	
01/02/2013	01/02/2013	5,960		Withdrawal In Kind - 5,960 shares of Fred's Inc. (Market Value = $79,327.61)	
01/02/2013	01/02/2013	6,090		Withdrawal In Kind - 6,090 shares of Omnicell, Inc. (Market Value = $90,558.30)	
01/02/2013	01/02/2013	6,520		Withdrawal In Kind - 6,520 shares of NIC Inc. (Market Value = $106,536.79)	
01/02/2013	01/02/2013	6,530		Withdrawal In Kind - 6,530 shares of PROS Holdings, Inc. (Market Value = $119,433.68)	
01/02/2013	01/02/2013	7,240		Withdrawal In Kind - 7,240 shares of Microsemi Corp. (Market Value = $152,329.61)	
01/02/2013	01/02/2013	7,310		Withdrawal In Kind - 7,310 shares of EPIQ Systems, Inc. (Market Value = $93,202.49)	
01/02/2013	01/02/2013	8,080		Withdrawal In Kind - 8,080 shares of Merit Medical Systems, Inc. (Market Value = $112,312.00)	
Mergers, Stock Splits, Distributions					
03/21/2013	03/21/2013	27,695	2.00	Split on 27,695 shares of Trimble Navigation Limited	

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP (8250)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Mergers, Stock Splits, Distributions (cont'd)					

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP/Rockefeller & Co. (8250/1)

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Cash and Cash Equivalents								
Cash			2,207,441.05	2,207,441.05*	0.00	3.69	0.00	0
Securities								
Equity								
North America								
Abaxis, Inc.	19,225	40.01	515,580.16	769,230.70	253,650.54	1.29	0.00	0
Abiomed, Inc	46,572	26.74	601,170.40	1,245,335.28	644,164.88	2.08	0.00	0
Airgas, Inc.	16,777	111.85	374,401.07	1,876,507.45	1,502,106.38	3.14	1.72	32,212
Avis Budget Group Inc.	42,469	40.42	590,202.83	1,716,596.98	1,126,394.15	2.87	0.00	0
Carpenter Technology Corporation	15,426	62.20	567,967.63	959,497.20	391,529.57	1.60	1.16	11,107
Carter's, Inc.	20,860	71.79	614,081.29	1,497,539.40	883,458.11	2.50	0.89	13,350
Chemed Corporation	21,375	76.62	796,023.19	1,637,752.50	841,729.31	2.74	1.04	17,100
Clarcor Inc.	13,297	64.35	458,332.00	855,661.95	397,329.95	1.43	1.06	9,042
Digital River, Inc.	32,617	18.47	518,616.00	602,435.99	83,819.99	1.01	0.00	0
DigitalGlobe Inc.	27,355	41.15	567,956.48	1,125,658.25	557,701.77	1.88	0.00	0
Edwards Lifesciences Corporation	13,674	65.76	436,824.31	899,202.24	462,377.93	1.50	0.00	0
Entropic Communications	153,359	4.70	582,870.44	720,787.30	137,916.86	1.20	0.00	0
EPIQ Systems, Inc.	56,996	16.17	688,004.07	921,625.32	233,621.25	1.54	2.23	20,519
ExamWorks Group, Inc.	78,724	29.87	851,264.28	2,351,485.88	1,500,221.60	3.93	0.00	0
FactSet Research Systems, Inc.	11,749	108.58	188,625.10	1,275,706.42	1,087,081.32	2.13	1.29	16,449
First Cash Financial Services, Inc.	23,446	61.84	691,874.48	1,449,900.64	758,026.16	2.42	0.00	0
Fred's Inc.	48,356	18.48	660,914.83	893,618.88	232,704.05	1.49	1.30	11,605
Gentherm Inc.	32,300	26.81	538,047.62	865,963.00	327,915.38	1.45	0.00	0
Greatbatch, Inc.	38,532	44.24	841,346.81	1,704,655.68	863,308.87	2.85	0.00	0
Healthcare Services Group.	76,783	28.37	234,792.01	2,178,333.71	1,943,541.70	3.64	2.40	52,212
Insulet Corporation	37,340	37.10	737,455.25	1,385,314.00	647,858.75	2.32	0.00	0
IPG Photonics Corporation	12,793	77.61	446,171.99	992,864.73	546,692.74	1.66	0.00	0
Iron Mountain Inc.	44,405	30.35	512,327.74	1,347,691.75	835,364.01	2.25	3.56	47,957
Littelfuse, Inc.	14,404	92.93	603,318.98	1,338,563.72	735,244.74	2.24	0.95	12,676
Masimo Corporation	34,055	29.23	728,284.15	995,427.65	267,143.50	1.66	0.00	0
Mentor Graphics	82,907	24.07	797,687.19	1,995,571.49	1,197,884.30	3.33	0.75	14,923

* - Settled cash is invested in Schwab Govt MM; yield is estimated.

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ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP/Rockefeller & Co. (8250/1)

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Merit Medical Systems, Inc.	74,806	15.74	890,285.20	1,177,446.44	287,161.24	1.97	0.00	0
Microsemi Corp.	59,231	24.95	581,453.99	1,477,813.45	896,359.46	2.47	0.00	0
Mistras Group Inc.	38,367	20.88	724,366.61	801,102.96	76,736.35	1.34	0.00	0
Newpark Resources, Inc.	80,495	12.29	459,482.68	989,283.55	529,800.87	1.65	0.00	0
NIC Inc.	51,806	24.87	487,351.55	1,288,415.22	801,063.67	2.15	0.00	0
Omnicell, Inc.	46,608	25.53	724,089.82	1,189,902.24	465,812.42	1.99	0.00	0
Parker Drilling Company	94,692	8.13	500,231.06	769,845.96	269,614.90	1.29	0.00	0
PROS Holdings, Inc.	49,872	39.90	817,143.30	1,989,892.80	1,172,749.50	3.33	0.00	0
Range Resources Corp.	17,438	84.31	226,516.42	1,470,197.78	1,243,681.36	2.46	0.19	2,790
ResMed Inc.	17,985	47.08	143,299.37	846,733.80	703,434.43	1.42	2.12	17,985
Simpson Manufacturing Co. Inc.	24,790	36.73	710,425.87	910,536.70	200,110.83	1.52	1.36	12,395
Solera Holdings Inc.	12,389	70.76	423,172.81	876,645.64	453,472.83	1.47	0.96	8,425
Stericycle, Inc.	16,063	116.17	367,844.96	1,866,038.71	1,498,193.75	3.12	0.00	0
Synchronoss Technologies, Inc.	24,900	31.07	785,528.96	773,643.00	(11,885.96)	1.29	0.00	0
Trimble Navigation Limited	60,790	34.70	310,762.06	2,109,413.00	1,798,650.94	3.53	0.00	0
Triumph Group, Inc.	26,078	76.07	684,802.27	1,983,753.46	1,298,951.19	3.32	0.21	4,172
Vocera Communications Inc.	57,810	15.61	1,041,069.85	902,414.10	(138,655.75)	1.51	0.00	0
Volcano Corporation	40,756	21.85	943,389.49	890,518.60	(52,870.89)	1.49	0.00	0
Total North America			25,965,356.57	55,916,525.52	29,951,168.95	93.45	0.55	304,919
Emerging Markets MEA								
Stratasys, Inc.	13,140	134.70	956,855.83	1,769,958.00	813,102.17	2.96	0.00	0
Total Equity			26,922,212.40	57,686,483.52	30,764,271.12	96.40	0.53	304,919
Total Securities			26,922,212.40	57,686,483.52	30,764,271.12	96.40	0.53	304,919
Other Assets								
Accounts Payable - Audit Fees			(94,398.86)	(94,398.86)	0.00	(0.16)		
Accounts Payable-Ptrshp Liquidations			0.01	0.01	0.00	0.00		
Accrued Dividends Receivable			39,211.51	39,211.51	0.00	0.07		
Total Other Assets			(55,187.34)	(55,187.34)	0.00	(0.09)	0.00	0
Total Account:			29,074,466.11	59,838,737.23	30,764,271.12	100.00	0.51	304,919

ROCKEFELLER & CO.

Rockefeller & Co. U.S. Small Capitalization Fund, LP/Rockefeller & Co. (8250/1) Period from December 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					**2,327,951.98**
Dividends Received					
* 10/25/2013	12/05/2013		0.18	Carpenter Technology Corp.	2,776.68
* 10/30/2013	12/09/2013		0.09	EPIQ Systems, Inc.	5,129.64
* 11/13/2013	12/20/2013		0.17	Healthcare Services Group.	13,053.11
* 11/14/2013	12/09/2013		0.20	Chemed Corporation	4,275.00
* 11/15/2013	12/18/2013		0.25	ResMed Inc.	4,496.25
* 11/18/2013	12/05/2013		0.22	Littelfuse, Inc.	3,168.88
* 11/18/2013	12/03/2013		0.17	Solera Holdings Inc.	2,106.13
* 11/26/2013	12/12/2013		0.16	Carter's, Inc.	3,337.60
* 11/26/2013	12/17/2013		0.35	FactSet Research Systems, Inc.	4,112.15
* 11/26/2013	12/16/2013		0.04	Triumph Group, Inc.	1,043.12
11/27/2013	12/16/2013		0.06	Fred's Inc.	2,901.36
12/10/2013	12/27/2013		0.48	Airgas, Inc.	8,052.96
12/12/2013	12/31/2013		0.04	Range Resources Corp.	697.52
				Total Dividends Received	**55,150.40**
Cash Withdrawals and Payments					
12/02/2013	12/02/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(100,000.00)
12/12/2013	12/12/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP Transfer to State Street Account	(10,936.33)
12/18/2013	12/18/2013			Administration Fees Paid to Rock & Co.	(6,754.00)
				Total Cash Withdrawals and Payments	**(117,690.33)**
Fees					
12/02/2013	12/02/2013			Wire Fee	(25.00)
12/12/2013	12/12/2013			Wire Fee	(25.00)
12/18/2013	12/18/2013			Investment Management Fee Paid to Rock & Co.	(57,896.00)
12/18/2013	12/18/2013			Wire Fee	(25.00)
				Total Fees	**(57,971.00)**
Ending Cash Balance					**2,207,441.05**

* Prior period activity recorded in the current period

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					80,685.06
Purchases					
01/02/2013	01/07/2013	160	45.78	Boskalis Westminster - CVA (EUR -5538.31)	** (7,332.40)
01/02/2013	01/07/2013	3,140	5.54	Centrica plc (GBP -10744.60)	** (17,496.50)
01/02/2013	01/07/2013	980	9.59	ING Groep (EUR -7103.28)	** (9,404.33)
01/02/2013	01/07/2013	190	39.49	Johnson Matthey PLC (GBP -4635.37)	** (7,548.23)
01/02/2013	01/07/2013	120	8.41	Ophir Energy Plc (GBP -623.58)	** (1,015.44)
01/02/2013	01/04/2013	5,450	1.43	PICC Prop & Casualty Co. Ltd. (HKD -60640.00)	(7,823.56)
01/02/2013	01/07/2013	630	14.35	Prudential plc (GBP -5586.86)	(9,097.64)
01/02/2013	01/07/2013	310	43.49	Safran SA (EUR -10214.05)	** (13,522.81)
01/02/2013	01/07/2013	460	11.71	Santos Limited (AUD -5136.34)	** (5,391.86)
01/02/2013	01/07/2013	470	12.69	Sberbank Sponsored ADR	(5,971.77)
01/02/2013	01/07/2013	3,000	1.67	Semen Gresik (Persero) Tbk (IDR -48551905.45)	** (5,031.29)
01/02/2013	01/07/2013	4,000	2.72	Singapore Telecom LTD (SGD -13298.59)	** (10,896.91)
01/02/2013	01/07/2013	510	19.82	Smiths Group plc (GBP -6243.98)	** (10,167.69)
01/02/2013	01/07/2013	510	19.82	Smiths Group plc (GBP -6243.99)	** (10,167.71)
01/02/2013	01/07/2013	510	19.82	Smiths Group plc (GBP 6243.98)	** 10,167.69
01/02/2013	01/07/2013	280	36.73	Svenska Handelsbanken AB - A s (SEK -66558.93)	** (10,294.48)
01/02/2013	01/07/2013	450	20.08	SwedBank AB (SEK -58483.27)	** (9,045.44)
01/02/2013	01/07/2013	140	20.83	Tullow Oil plc (GBP -1801.42)	** (2,933.43)
01/02/2013	01/07/2013	280	19.49	Vedanta Resources PLC (GBP -3371.38)	** (5,489.95)
01/02/2013	01/04/2013	1,630	2.75	Wynn Macau, Limited (HKD -34844.04)	** (4,495.45)
01/03/2013	01/07/2013	160	64.29	Hyundai Motor Company Ltd PFD (KRW -10957873.00)	** (10,322.04)
01/03/2013	01/07/2013	480	29.91	Korea Electric Power Corp. (KRW -15293340.00)	** (14,405.93)
01/03/2013	01/08/2013	60	205.74	Roche Holdings AG	(12,356.58)
01/03/2013	01/07/2013	10	816.98	Samsung Electronics Co. Pfd (KRW -8703439.00)	** (8,198.42)
01/04/2013	01/09/2013	100	60.02	Murata Manufacturing Osaka	(6,008.50)
01/07/2013	01/10/2013	12,000	6.71	Amada Co. Ltd.	(80,601.64)
01/07/2013	01/10/2013	2,380	13.94	Arcos Dorados Holdings, Inc.	(33,234.08)
01/08/2013	01/11/2013	12,000	6.34	Amada Co. Ltd.	(76,241.53)
01/08/2013	01/11/2013	3,570	13.48	Arcos Dorados Holdings, Inc.	(48,204.28)
01/08/2013	01/11/2013	1,000	13.24	NGK Spark Plug Co. Ltd. Tokyo	(13,268.39)
01/09/2013	01/15/2013	12,000	6.27	Amada Co. Ltd.	(75,463.01)

** - US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
01/09/2013	01/14/2013	2,060	13.74	Arcos Dorados Holdings, Inc.	(28,348.89)
01/10/2013	01/16/2013	12,000	6.53	Amada Co. Ltd.	(78,582.37)
01/11/2013	01/17/2013	12,000	6.52	Amada Co. Ltd.	(78,402.10)
01/15/2013	01/18/2013	11,000	6.59	Amada Co. Ltd.	(72,672.47)
01/15/2013	01/18/2013	2,850	28.03	Seattle Genetics, Inc.	(79,994.65)
01/16/2013	01/21/2013	9,000	6.42	Amada Co. Ltd.	(57,901.24)
01/17/2013	01/23/2013	3,540	29.13	Seattle Genetics, Inc.	(103,253.30)
01/18/2013	01/24/2013	1,180	28.98	Seattle Genetics, Inc.	(34,243.36)
01/22/2013	01/25/2013	2,470	29.51	Seattle Genetics, Inc.	(72,979.61)
02/01/2013	02/06/2013	160	73.29	Advance Auto Parts, Inc.	(11,732.83)
02/01/2013	02/06/2013	360	53.36	Aflac, Inc.	(19,223.35)
02/01/2013	02/06/2013	90	97.64	Alexion Pharmaceuticals, Inc.	(8,790.91)
02/01/2013	02/06/2013	200	81.24	Anadarko Petroleum Corporation	(16,255.68)
02/01/2013	02/06/2013	90	84.94	Apache Corporation	(7,647.92)
02/01/2013	02/06/2013	380	14.43	Arcos Dorados Holdings, Inc.	(5,499.02)
02/01/2013	02/06/2013	190	44.94	Baker Hughes Incorporated	(8,546.07)
02/01/2013	02/06/2013	130	56.25	BioMarin Pharmaceutical Inc.	(7,317.82)
02/01/2013	02/06/2013	190	46.32	Boskalis Westminster - CVA	(8,822.05)
02/01/2013	02/06/2013	460	31.28	CareFusion Corporation	(14,406.92)
02/01/2013	02/06/2013	3,500	5.55	Centrica plc	(19,557.12)
02/01/2013	02/06/2013	150	116.01	Chevron Corporation	(17,408.14)
02/01/2013	02/06/2013	370	54.92	China Mobile (Hong Kong) Ltd	(20,335.13)
02/01/2013	02/06/2013	240	38.42	Comcast Corporation - CL A	(9,230.38)
02/01/2013	02/06/2013	180	35.05	Comerica Incorporated	(6,315.84)
02/01/2013	02/06/2013	140	84.75	Continental Resources, Inc.	(11,871.20)
02/01/2013	02/06/2013	190	62.56	Covidien PLC	(11,894.02)
02/01/2013	02/06/2013	320	39.01	Delphi Automotive PLC	(12,495.74)
02/01/2013	02/06/2013	130	70.31	Dover Corp.	(9,145.08)
02/01/2013	02/06/2013	200	102.42	FedEx Corporation	(20,492.24)
02/01/2013	02/06/2013	70	149.88	Goldman Sachs Group	(10,494.13)
02/01/2013	02/06/2013	50	772.79	Google Inc - Class A	(38,641.36)
02/01/2013	02/06/2013	490	16.63	Hewlett-Packard Company	(8,167.22)
02/01/2013	02/06/2013	270	69.09	Honeywell Inc.	(18,665.96)
02/01/2013	02/06/2013	1,240	9.98	ING Groep	(12,409.92)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
02/01/2013	02/06/2013	480	47.92	J.P. Morgan Chase & Co.	(23,019.07)
02/01/2013	02/06/2013	210	36.50	Johnson Matthey PLC	(7,718.23)
02/01/2013	02/06/2013	20	515.18	Mastercard Inc - Class A	(10,304.44)
02/01/2013	02/06/2013	280	41.98	Merck & Co. Inc.	(11,764.48)
02/01/2013	02/06/2013	820	27.97	Microsoft Corp.	(22,971.32)
02/01/2013	02/06/2013	300	33.84	MSCI Inc.	(10,165.05)
02/01/2013	02/06/2013	260	36.45	NetApp, Inc.	(9,486.10)
02/01/2013	02/06/2013	320	68.30	Novartis AG - ADR	(21,868.00)
02/01/2013	02/06/2013	110	63.12	Oceaneering International, Inc	(6,947.37)
02/01/2013	02/06/2013	150	8.03	Ophir Energy Plc	(1,212.44)
02/01/2013	02/06/2013	320	36.19	Oracle Corporation	(11,592.80)
02/01/2013	02/06/2013	230	72.70	Pepsico. Inc	(16,730.20)
02/01/2013	02/06/2013	50	70.99	Pharmacyclics Inc.	(3,551.52)
02/01/2013	02/06/2013	700	15.21	Prudential plc	(10,721.16)
02/01/2013	02/06/2013	250	66.54	Qualcomm Inc.	(16,644.15)
02/01/2013	02/06/2013	30	174.81	Regeneron Pharmaceuticals	(5,245.60)
02/01/2013	02/06/2013	100	59.74	Reinsurance Group of America,	(5,978.22)
02/01/2013	02/06/2013	70	223.25	Roche Holdings AG	(15,666.72)
02/01/2013	02/06/2013	430	36.50	Royal Caribbean Cruises Ltd.	(15,713.19)
02/01/2013	02/06/2013	210	70.71	Royal Dutch Shell PLC-ADR A	(14,856.64)
02/01/2013	02/06/2013	350	46.69	Safran SA	(16,414.57)
02/01/2013	02/06/2013	170	29.59	Seattle Genetics, Inc.	(5,037.66)
02/01/2013	02/06/2013	590	19.55	Smiths Group plc	(11,613.45)
02/01/2013	02/06/2013	330	41.83	Svenska Handelsbanken AB A s	(13,837.33)
02/01/2013	02/06/2013	500	24.20	SwedBank AB	(12,128.56)
02/01/2013	02/06/2013	190	74.75	Thermo Fisher Scientific Inc.	(14,210.27)
02/01/2013	02/06/2013	70	66.32	Tiffany & Co.	(4,645.17)
02/01/2013	02/06/2013	130	83.63	Toronto-Dominion Bank	(10,877.52)
02/01/2013	02/06/2013	160	18.57	Tullow Oil plc	(2,992.72)
02/01/2013	02/06/2013	200	55.68	UnitedHealth Group Inc.	(11,143.58)
02/01/2013	02/06/2013	320	19.72	Vedanta Resources PLC	(6,354.27)
02/01/2013	02/06/2013	200	39.48	Virgin Media Inc.	(7,904.88)
02/01/2013	02/06/2013	710	27.35	Vodafone Group PLC - SP ADR	(19,446.83)
02/01/2013	02/06/2013	260	70.35	Wal-Mart Stores, Inc.	(18,301.92)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
02/01/2013	02/06/2013	470	35.17	Wells Fargo Company	(16,549.97)
02/01/2013	02/06/2013	100	65.65	Yum! Brands, Inc.	(6,568.76)
02/04/2013	02/06/2013	140	63.16	Hyundai Motor Company Ltd PFD (KRW -9624537.00)	** (8,873.20)
02/04/2013	02/06/2013	530	30.88	Korea Electric Power Corp. (KRW -17816424.00)	(16,425.59)
02/04/2013	02/07/2013	3,400	61.34	Murata Manufacturing Osaka	(208,957.82)
02/04/2013	02/06/2013	70,000	1.54	PICC Prop & Casualty Co. Ltd.	(108,096.44)
02/04/2013	02/06/2013	20	791.28	Samsung Electronics Co. Pfd (KRW -17225718.00)	** (15,880.99)
02/04/2013	02/07/2013	530	12.59	Santos Limited	(6,693.67)
02/04/2013	02/07/2013	530	14.53	Sberbank - Sponsored ADR	(7,714.13)
02/04/2013	02/07/2013	3,500	1.63	Semen Gresik (Persero) Tbk (IDR -55643932.69)	** (5,753.99)
02/04/2013	02/07/2013	5,000	2.83	Singapore Telecom LTD	(14,180.40)
02/04/2013	02/06/2013	2,230	2.75	Wynn Macau, Limited	(6,155.88)
02/05/2013	02/08/2013	1,600	61.53	Murata Manufacturing Osaka	(98,651.37)
02/05/2013	02/07/2013	46,000	1.51	PICC Prop & Casualty Co. Ltd.	(69,394.83)
02/06/2013	02/12/2013	1,700	63.88	Murata Manufacturing Osaka	(108,816.76)
02/06/2013	02/08/2013	46,000	1.52	PICC Prop & Casualty Co. Ltd.	(69,854.25)
02/28/2013	03/05/2013	160	76.83	Advance Auto Parts, Inc.	(12,298.34)
02/28/2013	03/05/2013	340	50.18	Aflac, Inc.	(17,072.83)
02/28/2013	03/05/2013	90	86.86	Alexion Pharmaceuticals, Inc.	(7,820.09)
02/28/2013	03/05/2013	200	79.90	Anadarko Petroleum Corporation	(15,985.32)
02/28/2013	03/05/2013	130	74.46	Apache Corporation	(9,683.19)
02/28/2013	03/05/2013	350	12.70	Arcos Dorados Holdings, Inc.	(4,455.61)
02/28/2013	03/05/2013	220	44.95	Baker Hughes Incorporated	(9,894.87)
02/28/2013	03/05/2013	140	57.79	BioMarin Pharmaceutical Inc.	(8,094.52)
02/28/2013	03/05/2013	480	32.83	CareFusion Corporation	(15,770.98)
02/28/2013	03/05/2013	150	117.71	Chevron Corporation	(17,660.76)
02/28/2013	03/05/2013	400	54.98	China Mobile (Hong Kong) Ltd	(22,002.00)
02/28/2013	03/05/2013	240	39.94	Comcast Corporation - CL A	(9,593.02)
02/28/2013	03/05/2013	190	34.47	Comerica Incorporated	(6,555.44)
02/28/2013	03/05/2013	160	88.22	Continental Resources, Inc.	(14,119.31)
02/28/2013	03/05/2013	220	63.77	Covidien PLC	(14,035.47)
02/28/2013	03/05/2013	340	41.85	Delphi Automotive PLC	(14,237.87)
02/28/2013	03/05/2013	150	73.59	Dover Corp.	(11,043.33)
02/28/2013	03/05/2013	200	105.82	FedEx Corporation	(21,169.16)

** US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
02/28/2013	03/05/2013	80	150.84	Goldman Sachs Group	(12,069.57)
02/28/2013	03/05/2013	50	803.39	Google Inc - Class A	(40,171.20)
02/28/2013	03/05/2013	510	20.20	Hewlett-Packard Company	(10,315.16)
02/28/2013	03/05/2013	280	70.36	Honeywell Inc.	(19,709.34)
02/28/2013	03/05/2013	500	49.30	J.P. Morgan Chase & Co.	(24,665.25)
02/28/2013	03/05/2013	30	520.43	Mastercard Inc - Class A	(15,613.93)
02/28/2013	03/05/2013	290	43.02	Merck & Co. Inc.	(12,485.40)
02/28/2013	03/05/2013	870	27.89	Microsoft Corp.	(24,294.66)
02/28/2013	03/05/2013	330	33.33	MSCI Inc.	(11,009.46)
02/28/2013	03/05/2013	260	34.00	NetApp, Inc.	(8,848.40)
02/28/2013	03/05/2013	340	67.87	Novartis AG - ADR	(23,085.83)
02/28/2013	03/05/2013	130	63.68	Oceaneering International, Inc	(8,282.44)
02/28/2013	03/05/2013	350	34.32	Oracle Corporation	(12,024.11)
02/28/2013	03/05/2013	240	75.87	Pepsico, Inc	(18,216.14)
02/28/2013	03/05/2013	260	65.86	Qualcomm Inc.	(17,131.11)
02/28/2013	03/05/2013	50	166.44	Regeneron Pharmaceuticals	(8,323.55)
02/28/2013	03/05/2013	110	57.70	Reinsurance Group of America.	(6,349.78)
02/28/2013	03/05/2013	470	35.00	Royal Caribbean Cruises Ltd.	(16,461.75)
02/28/2013	03/05/2013	240	65.90	Royal Dutch Shell PLC-ADR A	(15,824.38)
02/28/2013	03/05/2013	170	28.18	Seattle Genetics, Inc.	(4,794.87)
02/28/2013	03/05/2013	190	74.06	Thermo Fisher Scientific Inc.	(14,076.63)
02/28/2013	03/05/2013	70	67.33	Tiffany & Co.	(4,715.44)
02/28/2013	03/05/2013	150	82.31	Toronto-Dominion Bank	(12,350.85)
02/28/2013	03/05/2013	220	53.71	UnitedHealth Group Inc.	(11,822.89)
02/28/2013	03/05/2013	760	25.22	Vodafone Group PLC - SP ADR	(19,189.09)
02/28/2013	03/05/2013	260	71.60	Wal-Mart Stores, Inc.	(18,623.02)
02/28/2013	03/05/2013	490	35.24	Wells Fargo Company	(17,281.86)
02/28/2013	03/05/2013	110	65.69	Yum! Brands, Inc.	(7,229.74)
03/01/2013	03/06/2013	2,000	6.43	Amada Co. Ltd.	(12,862.88)
03/01/2013	03/06/2013	200	42.93	Boskalis Westminster CVA	(8,595.38)
03/01/2013	03/06/2013	3,680	5.32	Centrica plc	(19,690.84)
03/01/2013	03/06/2013	1,170	8.00	ING Groep	(9,364.35)
03/01/2013	03/06/2013	240	34.58	Johnson Matthey PLC	(8,350.20)
03/01/2013	03/06/2013	400	63.82	Murata Manufacturing Osaka	(25,553.35)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1, 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
03/01/2013	03/06/2013	160	7.13	Ophir Energy Plc	(1,148.32)
03/01/2013	03/05/2013	10,000	1.45	PICC Prop & Casualty Co. Ltd.	(14,564.89)
03/01/2013	03/06/2013	750	14.79	Prudential plc	(11,156.40)
03/01/2013	03/06/2013	70	227.30	Roche Holdings AG	(15,926.69)
03/01/2013	03/06/2013	370	46.70	Safran SA	(17,329.56)
03/01/2013	03/06/2013	550	13.53	Santos Limited	(7,447.54)
03/01/2013	03/06/2013	560	13.64	Sberbank - Sponsored ADR	(7,646.04)
03/01/2013	03/06/2013	4,000	1.80	Semen Gresik (Persero) Tbk (IDR -69975207.11)	** (7,230.71)
03/01/2013	03/06/2013	5,000	2.77	Singapore Telecom LTD	(13,852.24)
03/01/2013	03/06/2013	100	172.43	SMC Corporation, Tokyo	(17,260.28)
03/01/2013	03/06/2013	610	19.02	Smiths Group plc	(11,673.36)
03/01/2013	03/06/2013	340	43.69	Svenska Handelsbanken AB - A s	(14,870.01)
03/01/2013	03/06/2013	540	24.28	SwedBank AB	(13,122.63)
03/01/2013	03/06/2013	170	18.23	Tullow Oil plc	(3,117.72)
03/01/2013	03/06/2013	340	17.58	Vedanta Resources PLC	(6,014.73)
03/01/2013	03/05/2013	1,600	2.68	Wynn Macau, Limited	(4,300.63)
03/04/2013	03/06/2013	570	29.59	Korea Electric Power Corp. (KRW -18500159.00)	** (16,923.71)
03/12/2013	03/15/2013	8,480	54.73	Capital One Financial Corp.	(464,374.98)
03/12/2013	03/15/2013	4,700	8.46	ING Groep	(39,853.29)
03/12/2013	03/15/2013	6,490	13.90	Sberbank - Sponsored ADR	(90,383.62)
03/12/2013	03/15/2013	6,270	27.62	Vodafone Group PLC - SP ADR	(173,402.49)
03/13/2013	03/18/2013	2,340	54.88	Capital One Financial Corp.	(128,485.19)
03/13/2013	03/18/2013	9,130	8.31	ING Groep	(76,066.83)
04/03/2013	04/08/2013	4,720	12.59	Sberbank - Sponsored ADR	(59,523.31)
04/09/2013	04/12/2013	2,360	12.89	Sberbank - Sponsored ADR	(30,484.32)
04/10/2013	04/15/2013	2,360	13.08	Sberbank - Sponsored ADR	(30,927.23)
04/11/2013	04/16/2013	2,360	13.05	Sberbank - Sponsored ADR	(30,851.79)
04/16/2013	04/19/2013	2,560	33.16	Royal Caribbean Cruises Ltd.	(84,995.59)
04/18/2013	04/23/2013	3,980	33.33	Royal Caribbean Cruises Ltd.	(132,826.93)
04/19/2013	04/24/2013	1,030	65.12	Yum! Brands, Inc.	(67,110.06)
04/22/2013	04/25/2013	1,180	12.07	Sberbank - Sponsored ADR	(14,273.45)
04/22/2013	04/25/2013	1,030	65.31	Yum! Brands, Inc.	(67,311.12)
04/23/2013	04/26/2013	2,060	63.60	Yum! Brands, Inc.	(131,103.75)
04/25/2013	04/30/2013	3,330	62.20	Qualcomm Inc.	(207,249.21)

** - US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
04/25/2013	04/30/2013	1,180	12.70	Sberbank - Sponsored ADR	(15,012.90)
04/26/2013	05/01/2013	1,180	12.39	Sberbank - Sponsored ADR	(14,650.86)
04/30/2013	05/03/2013	250	54.37	Aflac, Inc.	(13,601.05)
04/30/2013	05/03/2013	50	97.77	Alexion Pharmaceuticals, Inc.	(4,889.80)
04/30/2013	05/03/2013	140	84.48	Anadarko Petroleum Corporation	(11,831.64)
04/30/2013	05/03/2013	70	73.63	Apache Corporation	(5,156.47)
04/30/2013	05/03/2013	250	13.51	Arcos Dorados Holdings, Inc.	(3,385.00)
04/30/2013	05/03/2013	150	45.19	Baker Hughes Incorporated	(6,782.66)
04/30/2013	05/03/2013	100	65.15	BioMarin Pharmaceutical Inc.	(6,518.00)
04/30/2013	05/03/2013	110	57.68	Capital One Financial Corp.	(6,348.12)
04/30/2013	05/03/2013	350	33.40	CareFusion Corporation	(11,701.66)
04/30/2013	05/03/2013	100	121.91	Chevron Corporation	(12,193.70)
04/30/2013	05/03/2013	290	55.06	China Mobile (Hong Kong) Ltd	(15,977.38)
04/30/2013	05/03/2013	170	41.32	Comcast Corporation - CL A	(7,028.79)
04/30/2013	05/03/2013	130	36.23	Comerica Incorporated	(4,714.19)
04/30/2013	05/03/2013	100	79.86	Continental Resources, Inc.	(7,989.26)
04/30/2013	05/03/2013	150	63.78	Covidien PLC	(9,572.02)
04/30/2013	05/03/2013	240	45.50	Delphi Automotive PLC	(10,927.90)
04/30/2013	05/03/2013	90	69.03	Dover Corp.	(6,215.27)
04/30/2013	05/03/2013	150	93.77	FedEx Corporation	(14,069.54)
04/30/2013	05/03/2013	40	145.96	Goldman Sachs Group	(5,839.40)
04/30/2013	05/03/2013	30	824.30	Google Inc - Class A	(24,729.98)
04/30/2013	05/03/2013	380	20.58	Hewlett-Packard Company	(7,831.19)
04/30/2013	05/03/2013	210	73.53	Honeywell Inc.	(15,447.35)
04/30/2013	05/03/2013	360	48.95	J.P. Morgan Chase & Co.	(17,634.38)
04/30/2013	05/03/2013	10	548.19	Mastercard Inc - Class A	(5,482.20)
04/30/2013	05/03/2013	210	47.24	Merck & Co. Inc.	(9,926.78)
04/30/2013	05/03/2013	640	32.90	Microsoft Corp.	(21,074.18)
04/30/2013	05/03/2013	240	33.83	MSCI Inc.	(8,126.62)
04/30/2013	05/03/2013	180	34.75	NetApp, Inc.	(6,259.61)
04/30/2013	05/03/2013	240	73.90	Novartis AG ADR	(17,742.98)
04/30/2013	05/03/2013	80	70.25	Oceaneering International, Inc	(5,622.40)
04/30/2013	05/03/2013	240	32.73	Oracle Corporation	(7,863.00)
04/30/2013	05/03/2013	20	213.73	Regeneron Pharmaceuticals	(4,275.17)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
04/30/2013	05/03/2013	70	62.29	Reinsurance Group of America,	(4,362.27)
04/30/2013	05/03/2013	440	36.37	Royal Caribbean Cruises Ltd.	(16,016.00)
04/30/2013	05/03/2013	160	68.09	Royal Dutch Shell PLC-ADR A	(10,899.28)
04/30/2013	05/03/2013	120	36.99	Seattle Genetics, Inc.	(4,442.18)
04/30/2013	05/03/2013	130	80.51	Thermo Fisher Scientific Inc.	(10,469.73)
04/30/2013	05/03/2013	40	73.55	Tiffany & Co.	(2,943.20)
04/30/2013	05/03/2013	90	81.65	Toronto-Dominion Bank	(7,351.13)
04/30/2013	05/03/2013	150	59.77	UnitedHealth Group Inc.	(8,970.00)
04/30/2013	05/03/2013	640	30.60	Vodafone Group PLC - SP ADR	(19,604.03)
04/30/2013	05/03/2013	180	77.67	Wal-Mart Stores, Inc.	(13,985.93)
04/30/2013	05/03/2013	360	37.93	Wells Fargo Company	(13,664.63)
04/30/2013	05/03/2013	130	67.73	Yum! Brands, Inc.	(8,808.54)
05/01/2013	05/07/2013	2,790	5.81	Centrica plc	(16,298.30)
05/01/2013	05/07/2013	160	37.98	Johnson Matthey PLC	(6,113.01)
05/01/2013	05/08/2013	100	83.88	Murata Manufacturing Osaka	(8,396.15)
05/01/2013	05/07/2013	560	17.28	Prudential plc	(9,737.75)
05/01/2013	05/06/2013	410	12.63	Santos Limited	(5,183.27)
05/01/2013	05/07/2013	640	12.96	Sberbank - Sponsored ADR	(8,305.71)
05/01/2013	05/06/2013	2,500	1.90	Semen Gresik (Persero) Tbk (IDR -46344350.00)	** (4,766.47)
05/01/2013	05/07/2013	440	19.51	Smiths Group plc	(8,637.82)
05/01/2013	05/07/2013	250	18.94	Vedanta Resources PLC	(4,764.52)
05/02/2013	05/07/2013	140	41.41	Boskalis Westminster CVA	(5,802.76)
05/02/2013	05/06/2013	10	71.64	Hyundai Motor Company Ltd PFD (KRW -789603.00)	** (717.49)
05/02/2013	05/07/2013	1,040	8.09	ING Groep	(8,424.06)
05/02/2013	05/06/2013	420	28.99	Korea Electric Power Corp. (KRW -13418097.00)	** (12,192.73)
05/02/2013	05/06/2013	4,000	1.27	PICC Prop & Casualty Co. Ltd.	(5,073.26)
05/02/2013	05/07/2013	40	246.02	Roche Holdings AG	(9,850.47)
05/02/2013	05/07/2013	270	48.40	Safran SA	(13,105.87)
05/02/2013	05/06/2013	10	794.18	Samsung Electronics Co. Pfd (KRW -8753110.00)	** (7,953.76)
05/02/2013	05/07/2013	3,000	3.17	Singapore Telecom LTD	(9,534.05)
05/02/2013	05/07/2013	390	24.33	SwedBank AB	(9,497.90)
05/02/2013	05/06/2013	800	3.12	Wynn Macau, Limited	(2,500.47)
05/06/2013	05/10/2013	3,990	16.34	DnB Holding ASA	(65,311.91)
05/07/2013	05/13/2013	8,980	16.58	DnB Holding ASA	(149,150.18)

** - US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
05/08/2013	05/14/2013	3,990	16.82	DnB Holding ASA	(67,242.32)
05/10/2013	05/15/2013	6,990	16.40	DnB Holding ASA	(114,874.14)
05/13/2013	05/16/2013	5,990	16.40	DnB Holding ASA	(98,451.83)
05/14/2013	05/21/2013	5,370	16.38	DnB Holding ASA	(88,111.19)
05/21/2013	05/24/2013	341,000	0.16	Kalbe Farma TBK PT (IDR -530002003.80)	** (54,275.68)
05/22/2013	05/27/2013	341,000	0.16	Kalbe Farma TBK PT (IDR -519331148.43)	** (53,172.02)
05/23/2013	05/28/2013	227,500	0.15	Kalbe Farma TBK PT (IDR -342001329.40)	** (34,994.51)
05/24/2013	05/29/2013	227,500	0.15	Kalbe Farma TBK PT (IDR -338962783.21)	** (34,676.50)
05/29/2013	06/03/2013	227,500	0.15	Kalbe Farma TBK PT (IDR -346456566.27)	** (35,334.68)
06/05/2013	06/11/2013	11,000	0.14	Kalbe Farma TBK PT (IDR -15446662.00)	** (1,576.35)
06/05/2013	06/10/2013	6,090	23.32	Korea Electric Power Corp. (KRW -159598968.00)	** (142,505.44)
06/07/2013	06/12/2013	322,000	0.14	Kalbe Farma TBK PT (IDR -444848652.01)	** (45,369.57)
06/10/2013	06/13/2013	195,500	0.14	Kalbe Farma TBK PT (IDR -267738632.35)	** (27,261.85)
06/10/2013	06/12/2013	4,040	23.21	Korea Electric Power Corp. (KRW -106661064.00)	** (94,107.17)
06/11/2013	06/14/2013	58,000	1.13	PICC Prop & Casualty Co. Ltd.	(65,662.77)
06/11/2013	06/14/2013	1,290	66.78	Reinsurance Group of America.	(86,197.03)
06/12/2013	06/17/2013	1,410	66.27	Reinsurance Group of America.	(93,499.50)
06/13/2013	06/17/2013	54,000	1.09	PICC Prop & Casualty Co. Ltd.	(59,151.64)
06/14/2013	06/19/2013	4,270	49.25	China Mobile (Hong Kong) Ltd	(210,457.20)
06/14/2013	06/19/2013	6,000	18.21	NGK Spark Plug Co. Ltd. Tokyo	(109,561.22)
06/17/2013	06/20/2013	1,920	50.09	China Mobile (Hong Kong) Ltd	(96,256.70)
06/17/2013	07/05/2013	710	45.12	Mallinckrodt PLC- W/I	(32,066.72)
06/17/2013	06/20/2013	3,000	18.28	NGK Spark Plug Co. Ltd. Tokyo	(54,971.90)
06/18/2013	07/05/2013	2,210	44.09	Mallinckrodt PLC- W/I	(97,529.95)
06/18/2013	06/21/2013	1,000	18.97	NGK Spark Plug Co. Ltd. Tokyo	(19,013.09)
06/19/2013	07/05/2013	1,180	43.69	Mallinckrodt PLC- W/I	(51,605.77)
06/20/2013	07/05/2013	1,030	43.12	Mallinckrodt PLC- W/I	(44,456.14)
06/21/2013	07/05/2013	1,180	43.14	Mallinckrodt PLC- W/I	(50,952.40)
06/25/2013	07/05/2013	710	43.48	Mallinckrodt PLC- W/I	(30,897.21)
06/26/2013	07/05/2013	300	43.79	Mallinckrodt PLC- W/I	(13,149.27)
06/27/2013	07/05/2013	1,190	44.88	Mallinckrodt PLC- W/I	(53,451.11)
06/28/2013	07/05/2013	370	45.01	Mallinckrodt PLC- W/I	(16,669.50)
07/03/2013	07/09/2013	1,430	42.30	Mallinckrodt PLC	(60,543.77)
07/10/2013	07/15/2013	700	48.84	Baker Hughes Incorporated	(34,218.52)

** - US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
07/10/2013	07/15/2013	6,310	17.77	Subsea 7 SA	(112,335.42)
07/10/2013	07/15/2013	2,610	16.05	Tullow Oil plc	(42,204.59)
07/11/2013	07/16/2013	700	49.39	Baker Hughes Incorporated	(34,599.32)
07/11/2013	07/16/2013	4,880	16.83	Tullow Oil plc	(82,722.85)
07/12/2013	07/17/2013	730	49.05	Baker Hughes Incorporated	(35,832.63)
07/12/2013	07/17/2013	5,050	18.41	Subsea 7 SA	(93,169.70)
07/12/2013	07/17/2013	1,190	16.69	Tullow Oil plc	(20,011.81)
07/15/2013	07/18/2013	730	49.05	Baker Hughes Incorporated	(35,832.05)
07/15/2013	07/18/2013	230	135.71	Copa Holdings SA Cl A	(31,221.94)
07/15/2013	07/18/2013	1,750	64.29	Expedia, Inc.	(112,575.40)
07/15/2013	07/18/2013	5,050	18.46	Subsea 7 SA	(93,391.76)
07/15/2013	07/18/2013	570	18.49	Subsea 7 SA	(10,564.59)
07/16/2013	07/19/2013	1,310	138.00	Copa Holdings SA Cl A	(180,831.48)
07/16/2013	07/19/2013	2,940	65.06	Expedia, Inc.	(191,398.41)
07/16/2013	07/19/2013	7,580	18.61	Subsea 7 SA	(141,236.03)
07/17/2013	07/22/2013	720	138.00	Copa Holdings SA Cl A	(99,391.32)
07/17/2013	07/22/2013	2,470	64.90	Expedia, Inc.	(160,406.00)
07/17/2013	07/22/2013	7,550	18.72	Subsea 7 SA	(141,511.38)
07/18/2013	07/23/2013	520	139.26	Copa Holdings SA Cl A	(72,436.58)
07/18/2013	07/23/2013	1,760	65.38	Expedia, Inc.	(115,138.14)
07/18/2013	07/23/2013	1,780	18.60	Subsea 7 SA	(33,143.07)
07/19/2013	07/24/2013	100	140.60	Copa Holdings SA Cl A	(14,063.55)
07/19/2013	07/24/2013	630	65.14	Expedia, Inc.	(41,062.52)
07/22/2013	07/25/2013	520	141.82	Copa Holdings SA Cl A	(73,766.84)
07/23/2013	07/26/2013	1,050	141.29	Copa Holdings SA Cl A	(148,396.29)
08/02/2013	08/07/2013	740	47.99	Expedia, Inc.	(35,541.61)
08/05/2013	08/08/2013	2,590	49.27	Expedia, Inc.	(127,712.64)
08/08/2013	08/13/2013	17,030	54.00	Coach, Inc.	(920,239.89)
08/19/2013	08/22/2013	4,660	11.25	ING Groep	(52,458.17)
08/19/2013	08/21/2013	130	775.69	Samsung Electronics Co. Pfd (KRW -113123744.00)	** (101,193.08)
08/20/2013	08/23/2013	4,660	11.02	ING Groep	(51,406.57)
08/20/2013	08/22/2013	110	772.48	Samsung Electronics Co. Pfd (KRW -95377337.00)	(85,270.25)
08/22/2013	08/27/2013	1,160	78.12	Apache Corporation	(90,661.89)
08/22/2013	08/27/2013	2,330	11.52	ING Groep	(26,865.59)

** - US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
08/22/2013	08/27/2013	4,660	11.34	ING Groep	(52,893.32)
08/23/2013	08/28/2013	2,000	78.84	Apache Corporation	(157,769.40)
08/23/2013	08/27/2013	80	775.31	Samsung Electronics Co. Pfd (KRW -69387915.00)	(62,241.92)
08/26/2013	08/29/2013	2,190	80.56	Apache Corporation	(176,513.78)
08/26/2013	08/29/2013	9,640	11.55	ING Groep	(111,482.31)
08/26/2013	08/28/2013	70	781.89	Samsung Electronics Co. Pfd (KRW -61158604.00)	(54,923.67)
08/27/2013	08/29/2013	20	776.56	Samsung Electronics Co. Pfd (KRW -17429866.00)	** (15,585.62)
08/30/2013	09/05/2013	100	57.71	Aflac, Inc.	(5,773.51)
08/30/2013	09/05/2013	30	107.82	Alexion Pharmaceuticals, Inc.	(3,235.39)
08/30/2013	09/05/2013	70	91.17	Anadarko Petroleum Corporation	(6,383.88)
08/30/2013	09/05/2013	70	85.85	Apache Corporation	(6,011.74)
08/30/2013	09/05/2013	130	10.73	Arcos Dorados Holdings, Inc.	(1,399.28)
08/30/2013	09/05/2013	100	46.44	Baker Hughes Incorporated	(4,647.19)
08/30/2013	09/05/2013	50	65.56	BioMarin Pharmaceutical Inc.	(3,279.45)
08/30/2013	09/05/2013	60	64.46	Capital One Financial Corp.	(3,869.14)
08/30/2013	09/05/2013	190	35.77	CareFusion Corporation	(6,801.98)
08/30/2013	09/05/2013	50	120.29	Chevron Corporation	(6,015.91)
08/30/2013	09/05/2013	190	53.89	China Mobile (Hong Kong) Ltd	(10,244.61)
08/30/2013	09/05/2013	110	52.79	Coach, Inc.	(5,810.05)
08/30/2013	09/05/2013	90	42.03	Comcast Corporation - CL A	(3,785.18)
08/30/2013	09/05/2013	70	40.79	Comerica Incorporated	(2,857.18)
08/30/2013	09/05/2013	60	92.23	Continental Resources, Inc.	(5,535.52)
08/30/2013	09/05/2013	30	130.88	Copa Holdings SA Cl A	(3,927.30)
08/30/2013	09/05/2013	130	54.86	Delphi Automotive PLC	(7,136.04)
08/30/2013	09/05/2013	50	85.02	Dover Corp.	(4,252.44)
08/30/2013	09/05/2013	80	46.77	Expedia, Inc.	(3,744.17)
08/30/2013	09/05/2013	20	152.30	Goldman Sachs Group	(3,046.61)
08/30/2013	09/05/2013	18	846.18	Google Inc - Class A	(15,231.74)
08/30/2013	09/05/2013	110	79.46	Honeywell Inc.	(8,744.43)
08/30/2013	09/05/2013	200	50.49	J.P. Morgan Chase & Co.	(10,104.38)
08/30/2013	09/05/2013	80	43.54	Mallinckrodt PLC	(3,485.77)
08/30/2013	09/05/2013	10	605.28	Mastercard Inc - Class A	(6,053.07)
08/30/2013	09/05/2013	110	47.17	Merck & Co. Inc.	(5,191.86)
08/30/2013	09/05/2013	340	33.34	Microsoft Corp.	(11,345.56)

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
08/30/2013	09/05/2013	100	41.45	NetApp, Inc.	(4,147.90)
08/30/2013	09/05/2013	130	72.94	Novartis AG ADR	(9,485.75)
08/30/2013	09/05/2013	40	77.53	Oceaneering International, Inc	(3,102.55)
08/30/2013	09/05/2013	130	31.82	Oracle Corporation	(4,141.12)
08/30/2013	09/05/2013	90	66.24	Qualcomm Inc.	(5,964.51)
08/30/2013	09/05/2013	10	242.41	Regeneron Pharmaceuticals	(2,424.43)
08/30/2013	09/05/2013	50	64.64	Reinsurance Group of America,	(3,233.53)
08/30/2013	09/05/2013	220	36.70	Royal Caribbean Cruises Ltd.	(8,081.15)
08/30/2013	09/05/2013	80	64.53	Royal Dutch Shell PLC-ADR A	(5,164.73)
08/30/2013	09/05/2013	60	42.45	Seattle Genetics, Inc.	(2,548.92)
08/30/2013	09/05/2013	20	77.01	Tiffany & Co.	(1,540.80)
08/30/2013	09/05/2013	50	85.87	Toronto-Dominion Bank	(4,295.02)
08/30/2013	09/05/2013	80	71.53	UnitedHealth Group Inc.	(5,724.83)
08/30/2013	09/05/2013	340	32.13	Vodafone Group PLC - SP ADR	(10,935.11)
08/30/2013	09/05/2013	100	72.90	Wal-Mart Stores, Inc.	(7,292.63)
08/30/2013	09/05/2013	190	41.01	Wells Fargo Company	(7,797.66)
08/30/2013	09/05/2013	80	70.02	Yum! Brands, Inc.	(5,603.71)
09/03/2013	09/06/2013	70	40.20	Boskalis Westminster - CVA	(2,816.86)
09/03/2013	09/06/2013	1,470	6.15	Centrica plc	(9,096.67)
09/03/2013	09/06/2013	230	16.04	DnB Holding ASA	(3,692.64)
09/03/2013	09/05/2013	170	94.17	Hyundai Motor Company Ltd PFD (KRW -17665527.00)	** (16,032.61)
09/03/2013	09/06/2013	720	11.19	ING Groep	(8,063.78)
09/03/2013	09/06/2013	90	45.43	Johnson Matthey PLC	(4,112.98)
09/03/2013	09/06/2013	12,500	0.12	Kalbe Farma TBK PT (IDR -16558083.46)	** (1,497.79)
09/03/2013	09/05/2013	290	27.60	Korea Electric Power Corp. (KRW -8830900.00)	** (8,014.61)
09/03/2013	09/06/2013	100	68.72	Murata Manufacturing Company,	(6,878.51)
09/03/2013	09/06/2013	1,000	20.12	NGK Spark Plug Co. Ltd.	(20,139.55)
09/03/2013	09/05/2013	4,000	1.42	PICC Prop & Casualty Co. Ltd.	(5,674.61)
09/03/2013	09/06/2013	290	17.47	Prudential plc	(5,097.33)
09/03/2013	09/06/2013	20	253.92	Roche Holdings AG	(5,083.54)
09/03/2013	09/06/2013	140	56.40	Safran SA	(7,920.33)
09/03/2013	09/05/2013	10	820.67	Samsung Electronics Co. Pfd (KRW -9056147.00)	** (8,219.04)
09/03/2013	09/06/2013	360	10.81	Sberbank - Sponsored ADR	(3,895.49)
09/03/2013	09/06/2013	1,500	1.14	Semen Gresik (Persero) Tbk (IDR -18872269.39)	(1,707.13)

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
09/03/2013	09/06/2013	100	212.44	SMC Corporation	(21,265.54)
09/03/2013	09/06/2013	240	20.27	Smiths Group plc	(4,893.46)
09/03/2013	09/06/2013	220	20.71	Subsea 7 SA	(4,560.04)
09/03/2013	09/06/2013	210	23.13	SwedBank AB	(4,862.73)
09/03/2013	09/06/2013	120	15.90	Tullow Oil plc	(1,920.00)
09/03/2013	09/05/2013	400	3.14	Wynn Macau, Limited	(1,258.05)
09/26/2013	09/26/2013	184	63.85	Royal Dutch Shell PLC-ADR A	(11,749.50)
10/03/2013	10/08/2013	5,320	48.54	Merck & Co. Inc.	(258,413.68)
10/03/2013	10/08/2013	4,360	54.97	St. Jude Medical	(239,836.62)
10/04/2013	10/09/2013	6,090	56.46	St. Jude Medical	(344,060.03)
10/07/2013	10/10/2013	3,480	56.30	St. Jude Medical	(196,064.94)
10/10/2013	10/16/2013	295	863.41	Google Inc - Class A	(254,716.27)
10/29/2013	11/01/2013	5,620	18.11	DnB Holding ASA	(101,877.15)
10/29/2013	11/01/2013	2,440	72.27	Reinsurance Group of America,	(176,428.84)
10/29/2013	11/01/2013	2,240	91.15	Toronto-Dominion Bank	(204,265.37)
10/30/2013	11/04/2013	5,070	18.22	DnB Holding ASA	(92,432.03)
10/30/2013	11/04/2013	2,410	72.24	Reinsurance Group of America,	(174,195.52)
10/30/2013	11/04/2013	1,580	91.08	Toronto-Dominion Bank	(143,975.44)
10/31/2013	11/05/2013	40	65.10	Aflac, Inc.	(2,605.03)
10/31/2013	11/05/2013	10	123.80	Alexion Pharmaceuticals, Inc.	(1,238.31)
10/31/2013	11/05/2013	30	95.91	Anadarko Petroleum Corporation	(2,878.18)
10/31/2013	11/05/2013	30	89.26	Apache Corporation	(2,678.74)
10/31/2013	11/05/2013	50	12.07	Arcos Dorados Holdings, Inc.	(605.00)
10/31/2013	11/05/2013	40	58.30	Baker Hughes Incorporated	(2,333.32)
10/31/2013	11/05/2013	20	63.02	BioMarin Pharmaceutical Inc.	(1,260.93)
10/31/2013	11/05/2013	20	68.96	Capital One Financial Corp.	(1,379.80)
10/31/2013	11/05/2013	80	38.71	CareFusion Corporation	(3,099.06)
10/31/2013	11/05/2013	20	120.93	Chevron Corporation	(2,419.13)
10/31/2013	11/05/2013	80	52.25	China Mobile (Hong Kong) Ltd	(4,182.47)
10/31/2013	11/05/2013	50	50.57	Coach, Inc.	(2,529.78)
10/31/2013	11/05/2013	30	47.87	Comcast Corporation - CL A	(1,437.05)
10/31/2013	11/05/2013	30	43.42	Comerica Incorporated	(1,303.50)
10/31/2013	11/05/2013	20	114.52	Continental Resources, Inc.	(2,290.90)
10/31/2013	11/05/2013	15	150.15	Copa Holdings SA Cl A	(2,252.70)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
10/31/2013	11/05/2013	50	57.26	Delphi Automotive PLC	(2,864.72)
10/31/2013	11/05/2013	20	92.08	Dover Corp.	(1,842.22)
10/31/2013	11/05/2013	30	59.26	Expedia, Inc.	(1,778.57)
10/31/2013	11/05/2013	10	161.75	Goldman Sachs Group	(1,617.75)
10/31/2013	11/05/2013	6	1,032.85	Google Inc - Class A	(6,197.28)
10/31/2013	11/05/2013	45	87.10	Honeywell Inc.	(3,920.63)
10/31/2013	11/05/2013	80	51.69	J.P. Morgan Chase & Co.	(4,137.42)
10/31/2013	11/05/2013	30	42.03	Mallinckrodt PLC	(1,261.81)
10/31/2013	11/05/2013	4	723.99	Mastercard Inc - Class A	(2,896.07)
10/31/2013	11/05/2013	60	45.27	Merck & Co. Inc.	(2,718.18)
10/31/2013	11/05/2013	140	35.52	Microsoft Corp.	(4,977.00)
10/31/2013	11/05/2013	40	38.90	NetApp, Inc.	(1,557.20)
10/31/2013	11/05/2013	55	77.64	Novartis AG - ADR	(4,271.59)
10/31/2013	11/05/2013	10	86.22	Oceaneering International, Inc	(862.47)
10/31/2013	11/05/2013	50	33.66	Oracle Corporation	(1,684.50)
10/31/2013	11/05/2013	30	69.71	Qualcomm Inc.	(2,092.20)
10/31/2013	11/05/2013	35	71.49	Reinsurance Group of America.	(2,503.15)
10/31/2013	11/05/2013	90	42.19	Royal Caribbean Cruises Ltd.	(3,799.91)
10/31/2013	11/05/2013	35	66.81	Royal Dutch Shell PLC-ADR A	(2,339.53)
10/31/2013	11/05/2013	20	38.76	Seattle Genetics, Inc.	(775.73)
10/31/2013	11/05/2013	40	57.55	St. Jude Medical	(2,303.00)
10/31/2013	11/05/2013	10	79.42	Tiffany & Co.	(794.50)
10/31/2013	11/05/2013	740	92.33	Toronto-Dominion Bank	(68,354.61)
10/31/2013	11/05/2013	30	91.85	Toronto-Dominion Bank	(2,756.26)
10/31/2013	11/05/2013	30	68.36	UnitedHealth Group Inc.	(2,051.59)
10/31/2013	11/05/2013	110	37.09	Vodafone Group PLC - SP ADR	(4,082.70)
10/31/2013	11/05/2013	40	76.93	Wal-Mart Stores, Inc.	(3,078.50)
10/31/2013	11/05/2013	80	42.92	Wells Fargo Company	(3,436.00)
10/31/2013	11/05/2013	20	67.50	Yum! Brands, Inc.	(1,350.61)
11/01/2013	11/07/2013	1,000	8.59	Amada Co. Ltd.	(8,597.32)
11/01/2013	11/06/2013	30	47.94	Boskalis Westminster - CVA	(1,439.76)
11/01/2013	11/06/2013	610	5.66	Centrica plc	(3,471.91)
11/01/2013	11/06/2013	130	17.67	DnB Holding ASA	(2,299.73)
11/01/2013	11/05/2013	10	110.86	Hyundai Motor Company Ltd PFD (KRW-1180357.00)	** (1,110.28)

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
11/01/2013	11/06/2013	300	12.71	ING Groep	(3,816.12)
11/01/2013	11/06/2013	30	48.26	Johnson Matthey PLC	(1,456.57)
11/01/2013	11/07/2013	5,000	0.11	Kalbe Farma TBK PT (IDR -6463156.01)	(570.19)
11/01/2013	11/05/2013	120	26.63	Korea Electric Power Corp. (KRW -3402090.00)	(3,200.10)
11/01/2013	11/07/2013	100	79.81	Murata Manufacturing Company.	(7,989.02)
11/01/2013	11/07/2013	1,000	22.73	NGK Spark Plug Co. Ltd.	(22,750.46)
11/01/2013	11/05/2013	2,000	1.53	PICC Prop & Casualty Co. Ltd.	(3,069.62)
11/01/2013	11/06/2013	120	20.41	Prudential plc	(2,464.52)
11/01/2013	11/06/2013	10	275.11	Roche Holdings AG	(2,753.89)
11/01/2013	11/06/2013	60	63.86	Safran SA	(3,843.36)
11/01/2013	11/05/2013	5	977.93	Samsung Electronics Co. Pfd (KRW -5206073.00)	** (4,896.98)
11/01/2013	11/06/2013	150	12.77	Sberbank - Sponsored ADR	(1,917.42)
11/01/2013	11/07/2013	500	1.25	Semen Gresik (Persero) Tbk (IDR -7089433.00)	** (625.45)
11/01/2013	11/06/2013	100	22.82	Smiths Group plc	(2,295.35)
11/01/2013	11/06/2013	90	21.18	Subsea 7 SA	(1,908.52)
11/01/2013	11/06/2013	80	25.97	SwedBank AB	(2,079.35)
11/01/2013	11/06/2013	50	15.05	Tullow Oil plc	(757.17)
11/01/2013	11/05/2013	400	3.81	Wynn Macau, Limited	(1,525.34)
11/04/2013	11/07/2013	4,140	40.53	Incyte Corporation	(167,975.95)
11/04/2013	11/07/2013	2,880	68.95	UnitedHealth Group Inc.	(198,679.68)
11/05/2013	11/08/2013	5,390	40.38	Incyte Corporation	(217,870.27)
11/05/2013	11/08/2013	1,280	68.48	UnitedHealth Group Inc.	(87,704.45)
11/08/2013	11/14/2013	8,730	35.03	United Continental Hld. Inc.	(306,194.27)
11/11/2013	11/14/2013	9,430	35.23	United Continental Hld. Inc.	(332,606.47)
12/16/2013	12/19/2013	9,410	52.58	Rio Tinto plc - Spon ADR	(495,141.03)
12/16/2013	12/19/2013	5,890	13.78	Tullow Oil plc	(81,643.19)
12/17/2013	12/20/2013	6,000	8.61	Amada Co. Ltd.	(51,807.24)
12/17/2013	12/20/2013	8,820	53.00	Rio Tinto plc - Spon ADR	(467,787.22)
12/17/2013	12/20/2013	9,420	13.66	Tullow Oil plc	(129,391.75)
12/18/2013	12/24/2013	10,000	8.79	Amada Co. Ltd.	(88,100.41)
12/18/2013	12/23/2013	2,080	13.68	Tullow Oil plc	(28,629.44)
12/19/2013	12/25/2013	8,000	8.97	Amada Co. Ltd.	(71,900.81)
12/20/2013	12/26/2013	5,000	8.91	Amada Co. Ltd.	(44,648.29)
12/20/2013	12/26/2013	8,010	47.82	Ctrip.com International - ADR	(383,387.44)

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
12/23/2013	12/27/2013	1,980	49.84	Ctrip.com International - ADR	(98,760.42)
12/23/2013	12/23/2013	171	66.77	Royal Dutch Shell PLC-ADR A	(11,415.60)
12/27/2013	01/07/2014	4,000	8.81	Amada Co. Ltd.	(35,341.96)
12/30/2013	01/08/2014	4,000	8.91	Amada Co. Ltd.	(35,722.36)
12/31/2013	01/06/2014	100	66.70	Aflac, Inc.	(6,672.76)
12/31/2013	01/06/2014	20	132.73	Alexion Pharmaceuticals, Inc.	(2,655.20)
12/31/2013	01/06/2014	70	79.45	Anadarko Petroleum Corporation	(5,563.91)
12/31/2013	01/06/2014	80	85.67	Apache Corporation	(6,855.80)
12/31/2013	01/06/2014	130	12.14	Arcos Dorados Holdings, Inc.	(1,581.62)
12/31/2013	01/06/2014	100	55.08	Baker Hughes Incorporated	(5,511.28)
12/31/2013	01/06/2014	50	70.31	BioMarin Pharmaceutical Inc.	(3,517.03)
12/31/2013	01/06/2014	60	76.62	Capital One Financial Corp.	(4,598.80)
12/31/2013	01/06/2014	190	40.00	CareFusion Corporation	(7,605.81)
12/31/2013	01/06/2014	50	125.01	Chevron Corporation	(6,252.06)
12/31/2013	01/06/2014	190	52.28	China Mobile (Hong Kong) Ltd	(9,939.28)
12/31/2013	01/06/2014	110	55.85	Coach, Inc.	(6,146.69)
12/31/2013	01/06/2014	90	51.83	Comcast Corporation CL A	(4,667.14)
12/31/2013	01/06/2014	70	47.53	Comerica Incorporated	(3,329.14)
12/31/2013	01/06/2014	60	111.98	Continental Resources, Inc.	(6,720.30)
12/31/2013	01/06/2014	30	159.97	Copa Holdings SA Cl A	(4,800.13)
12/31/2013	01/06/2014	70	49.29	Ctrip.com International - ADR	(3,452.72)
12/31/2013	01/06/2014	130	60.13	Delphi Automotive PLC	(7,821.31)
12/31/2013	01/06/2014	50	96.60	Dover Corp.	(4,831.72)
12/31/2013	01/06/2014	80	69.11	Expedia, Inc.	(5,531.24)
12/31/2013	01/06/2014	20	176.94	Goldman Sachs Group	(3,539.47)
12/31/2013	01/06/2014	10	1,117.40	Google Inc - Class A	(11,174.30)
12/31/2013	01/06/2014	110	91.25	Honeywell Inc.	(10,040.80)
12/31/2013	01/06/2014	60	50.90	Incyte Corporation	(3,055.66)
12/31/2013	01/06/2014	200	58.24	J.P. Morgan Chase & Co.	(11,653.66)
12/31/2013	01/06/2014	80	52.31	Mallinckrodt PLC	(4,187.40)
12/31/2013	01/06/2014	150	49.97	Merck & Co. Inc.	(7,500.16)
12/31/2013	01/06/2014	340	37.34	Microsoft Corp.	(12,706.28)
12/31/2013	01/06/2014	100	41.13	NetApp, Inc.	(4,115.53)
12/31/2013	01/06/2014	130	80.21	Novartis AG - ADR	(10,431.81)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
12/31/2013	01/06/2014	40	79.01	Oceaneering International, Inc	(3,161.62)
12/31/2013	01/06/2014	130	38.32	Oracle Corporation	(4,986.07)
12/31/2013	01/06/2014	90	73.92	Qualcomm Inc.	(6,655.40)
12/31/2013	01/06/2014	90	77.28	Reinsurance Group of America,	(6,957.70)
12/31/2013	01/06/2014	120	56.25	Rio Tinto plc - Spon ADR	(6,753.90)
12/31/2013	01/06/2014	220	47.22	Royal Caribbean Cruises Ltd.	(10,395.15)
12/31/2013	01/06/2014	90	71.19	Royal Dutch Shell PLC-ADR A	(6,409.36)
12/31/2013	01/06/2014	60	39.93	Seattle Genetics, Inc.	(2,397.45)
12/31/2013	01/06/2014	90	61.99	St. Jude Medical	(5,582.02)
12/31/2013	01/06/2014	80	94.25	Toronto-Dominion Bank	(7,542.49)
12/31/2013	01/06/2014	120	37.59	United Continental Hld. Inc.	(4,514.68)
12/31/2013	01/06/2014	110	75.52	UnitedHealth Group Inc.	(8,310.81)
12/31/2013	01/06/2014	100	78.82	Wal-Mart Stores, Inc.	(7,885.45)
12/31/2013	01/06/2014	190	45.34	Wells Fargo Company	(8,620.68)
12/31/2013	01/06/2014	70	75.27	Yum! Brands, Inc.	(5,271.26)
				Total Purchases	** (19,106,214.82)
Sales					
01/15/2013	01/18/2013	3,360	52.19	Aflac, Inc.	175,204.61
01/16/2013	01/22/2013	2,230	52.21	Aflac, Inc.	116,329.13
01/17/2013	01/23/2013	3,760	51.43	Aflac, Inc.	193,224.70
01/31/2013	02/05/2013	3,800	58.08	Quest Diagnostics Incorporated	220,547.43
02/01/2013	02/06/2013	4,390	57.84	Quest Diagnostics Incorporated	253,726.22
03/12/2013	03/15/2013	12,600	76.83	Pepsico, Inc	967,508.38
03/12/2013	03/15/2013	2,800	91.35	Pharmacyclics Inc.	255,694.75
03/13/2013	03/18/2013	2,340	76.79	Pepsico, Inc	179,588.87
03/15/2013	03/18/2013	3,784	2.66	Ophir Energy Plc - Nil Paid Rt	10,041.70
03/26/2013	04/01/2013	560	81.46	Advance Auto Parts, Inc.	45,604.76
03/26/2013	04/01/2013	1,200	52.38	Aflac, Inc.	62,802.51
03/26/2013	04/01/2013	290	91.51	Alexion Pharmaceuticals, Inc.	26,527.07
03/26/2013	04/01/2013	700	88.74	Anadarko Petroleum Corporation	62,087.70
03/26/2013	04/01/2013	390	74.37	Apache Corporation	28,988.04
03/26/2013	04/01/2013	1,230	13.38	Arcos Dorados Holdings, Inc.	16,409.06
03/26/2013	04/01/2013	730	45.64	Baker Hughes Incorporated	33,287.25
03/26/2013	04/01/2013	480	60.55	BioMarin Pharmaceutical Inc.	29,044.14

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
03/26/2013	04/02/2013	690	41.42	Boskalis Westminster - CVA	28,506.71
03/26/2013	04/01/2013	600	55.07	Capital One Financial Corp.	33,018.10
03/26/2013	04/01/2013	1,710	34.75	CareFusion Corporation	59,348.49
03/26/2013	04/02/2013	13,160	5.53	Centrica plc	72,598.21
03/26/2013	04/01/2013	530	121.02	Chevron Corporation	64,118.44
03/26/2013	04/01/2013	1,390	52.86	China Mobile (Hong Kong) Ltd	73,418.99
03/26/2013	04/01/2013	820	41.41	Comcast Corporation CL A	33,926.65
03/26/2013	04/01/2013	670	36.09	Comerica Incorporated	24,152.95
03/26/2013	04/01/2013	550	88.15	Continental Resources, Inc.	48,460.18
03/26/2013	04/01/2013	750	67.40	Covidien PLC	50,516.85
03/26/2013	04/01/2013	1,190	44.33	Delphi Automotive PLC	52,698.32
03/26/2013	04/01/2013	490	72.83	Dover Corp.	35,665.02
03/26/2013	04/01/2013	720	97.74	FedEx Corporation	70,345.23
03/26/2013	04/01/2013	240	146.47	Goldman Sachs Group	35,142.41
03/26/2013	04/01/2013	150	810.51	Google Inc - Class A	121,567.87
03/26/2013	04/01/2013	1,820	23.61	Hewlett-Packard Company	42,896.43
03/26/2013	04/01/2013	990	75.45	Honeywell Inc.	74,654.03
03/26/2013	04/02/2013	4,810	7.30	ING Groep	35,008.63
03/26/2013	04/01/2013	1,780	48.53	J.P. Morgan Chase & Co.	86,314.18
03/26/2013	04/02/2013	800	33.84	Johnson Matthey PLC	27,014.67
03/26/2013	04/01/2013	80	535.06	Mastercard Inc - Class A	42,800.64
03/26/2013	04/01/2013	1,030	44.29	Merck & Co. Inc.	45,577.82
03/26/2013	04/01/2013	3,080	28.17	Microsoft Corp.	86,643.99
03/26/2013	04/01/2013	1,140	33.74	MSCI Inc.	38,418.05
03/26/2013	04/01/2013	930	33.27	NetApp, Inc.	30,903.85
03/26/2013	04/01/2013	1,190	71.05	Novartis AG - ADR	84,505.24
03/26/2013	04/01/2013	410	66.43	Oceaneering International, Inc	27,217.52
03/26/2013	04/02/2013	540	7.17	Ophir Energy Plc	3,862.12
03/26/2013	04/01/2013	1,200	31.51	Oracle Corporation	37,763.87
03/26/2013	04/02/2013	2,650	16.59	Prudential plc	43,874.35
03/26/2013	04/01/2013	900	66.53	Qualcomm Inc.	59,838.65
03/26/2013	04/01/2013	160	169.69	Regeneron Pharmaceuticals	27,142.95
03/26/2013	04/01/2013	360	58.83	Reinsurance Group of America,	21,163.39
03/26/2013	04/02/2013	250	230.87	Roche Holdings AG	57,573.33

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
03/26/2013	04/01/2013	1,640	32.33	Royal Caribbean Cruises Ltd.	52,952.12
03/26/2013	04/01/2013	790	65.66	Royal Dutch Shell PLC-ADR A	51,842.11
03/26/2013	04/02/2013	1,310	45.50	Safran SA	59,452.09
03/26/2013	04/01/2013	2,300	12.60	Sberbank - Sponsored ADR	28,922.04
03/26/2013	04/01/2013	590	36.22	Seattle Genetics, Inc.	21,344.01
03/26/2013	04/02/2013	2,170	19.31	Smiths Group plc	41,812.66
03/26/2013	04/02/2013	1,200	42.39	Svenska Handelsbanken AB - A s	50,742.74
03/26/2013	04/02/2013	1,890	22.65	SwedBank AB	42,709.52
03/26/2013	04/01/2013	660	74.95	Thermo Fisher Scientific Inc.	49,442.47
03/26/2013	04/01/2013	260	68.26	Tiffany & Co.	17,736.52
03/26/2013	04/01/2013	480	82.89	Toronto-Dominion Bank	39,758.07
03/26/2013	04/02/2013	590	18.87	Tullow Oil plc	11,108.72
03/26/2013	04/01/2013	750	55.57	UnitedHealth Group Inc.	41,649.86
03/26/2013	04/02/2013	1,190	15.96	Vedanta Resources PLC	18,949.53
03/26/2013	04/01/2013	460	48.10	Virgin Media Inc.	22,107.88
03/26/2013	04/01/2013	2,980	28.59	Vodafone Group PLC SP ADR	85,077.39
03/26/2013	04/01/2013	930	74.74	Wal-Mart Stores, Inc.	69,470.93
03/26/2013	04/01/2013	1,760	37.24	Wells Fargo Company	65,470.53
03/26/2013	04/01/2013	380	71.03	Yum! Brands, Inc.	26,977.34
03/27/2013	04/01/2013	4,000	6.79	Amada Co. Ltd.	27,106.69
03/27/2013	04/01/2013	510	69.96	Hyundai Motor Company Ltd PFD (KRW 39403470.00)	** 35,446.73
03/27/2013	04/01/2013	2,020	26.72	Korea Electric Power Corp. (KRW 59606959.00)	** 53,621.46
03/27/2013	04/01/2013	1,000	73.20	Murata Manufacturing Osaka	73,052.75
03/27/2013	04/02/2013	32,000	1.32	PICC Prop & Casualty Co. Ltd.	42,152.71
03/27/2013	04/01/2013	40	786.79	Samsung Electronics Co. Pfd (KRW 34572008.00)	** 31,267.08
03/27/2013	04/03/2013	1,960	13.15	Santos Limited	25,693.53
03/27/2013	04/02/2013	13,500	1.88	Semen Gresik (Persero) Tbk (IDR 245024865.00)	** 25,196.65
03/27/2013	04/02/2013	17,000	2.89	Singapore Telecom LTD	48,851.48
03/27/2013	04/01/2013	100	193.75	SMC Corporation, Tokyo	19,336.25
03/27/2013	04/02/2013	6,400	2.63	Wynn Macau, Limited	16,790.45
04/02/2013	04/05/2013	45,400	0.51	China Agri-Industries Holdings	22,931.45
04/03/2013	04/08/2013	34,050	0.49	China Agri-Industries Holdings	16,767.11
04/11/2013	04/15/2013	38,360	0.50	China Agri-Industries Holdings	19,027.89
04/12/2013	04/16/2013	45,320	0.48	China Agri-Industries Holdings	21,735.05

** - US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
04/15/2013	04/17/2013	22,660	0.47	China Agri-Industries Holdings	10,653.59
04/16/2013	04/19/2013	970	80.25	Advance Auto Parts, Inc.	77,800.31
04/17/2013	04/19/2013	34,170	0.46	China Agri-Industries Holdings	15,775.22
04/18/2013	04/22/2013	36,040	0.45	China Agri-Industries Holdings	16,344.28
04/19/2013	04/24/2013	800	78.23	Advance Auto Parts, Inc.	62,550.52
04/22/2013	04/25/2013	790	79.17	Advance Auto Parts, Inc.	62,509.24
04/23/2013	04/26/2013	780	80.24	Advance Auto Parts, Inc.	62,551.87
04/25/2013	04/30/2013	3,890	83.15	Advance Auto Parts, Inc.	323,300.38
04/26/2013	05/01/2013	2,120	82.91	Advance Auto Parts, Inc.	175,686.61
05/03/2013	05/08/2013	2,020	45.50	Svenska Handelsbanken AB - A s	91,725.43
05/06/2013	05/10/2013	2,020	44.85	Svenska Handelsbanken AB - A s	90,423.60
05/07/2013	05/13/2013	5,030	45.41	Svenska Handelsbanken AB - A s	227,930.90
05/10/2013	05/15/2013	2,730	44.58	Svenska Handelsbanken AB - A s	121,446.88
05/13/2013	05/16/2013	2,230	44.61	Svenska Handelsbanken AB - A s	99,291.26
05/14/2013	05/17/2013	5,780	43.96	Svenska Handelsbanken AB - A s	253,560.67
05/24/2013	05/30/2013	2,560	6.03	Ophir Energy Plc	15,395.74
05/28/2013	05/31/2013	6,360	6.13	Ophir Energy Plc	38,938.45
05/28/2013	05/28/2013	1		PICC Prop & Cas Rt Exp 6/13/13 (HKD 0.00)	** 0.00
06/11/2013	06/14/2013	1,910	56.58	Aflac, Inc.	107,986.84
06/11/2013	06/14/2013	58,349	0.43	PICC Prop & Cas Rt Exp 6/13/13	24,831.34
06/12/2013	06/17/2013	2,760	56.26	Aflac, Inc.	155,160.36
06/14/2013	06/19/2013	2,752	73.20	Liberty Global PLC - A	201 341.07
06/14/2013	06/14/2013	0	74.13	Liberty Global PLC - A	30.54
06/14/2013	06/14/2013	0	69.68	Liberty Global, PLC. Ser C	17.28
06/14/2013	06/19/2013	2,055	68.77	Liberty Global, PLC. Ser C	141,243.03
06/26/2013	07/01/2013	70	57.41	Aflac, Inc.	4,015.83
06/26/2013	07/01/2013	20	93.09	Alexion Pharmaceuticals, Inc.	1 860.97
06/26/2013	07/01/2013	70	86.67	Anadarko Petroleum Corporation	6,064 00
06/26/2013	07/01/2013	30	83.26	Apache Corporation	2,496.55
06/26/2013	07/01/2013	120	11.73	Arcos Dorados Holdings, Inc.	1 402.78
06/26/2013	07/01/2013	70	45.36	Baker Hughes Incorporated	3,172.35
06/26/2013	07/01/2013	50	57.12	BioMarin Pharmaceutical Inc.	2,853.73
06/26/2013	07/01/2013	60	36.04	Boskalis Westminster CVA	2,156.94
06/26/2013	07/01/2013	50	61.57	Capital One Financial Corp.	3,076.45

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
06/26/2013	07/01/2013	160	36.49	CareFusion Corporation	5,831.89
06/26/2013	07/01/2013	1,330	5.40	Centrica plc	7,163.46
06/26/2013	07/01/2013	40	118.18	Chevron Corporation	4,725.51
06/26/2013	07/01/2013	120	49.80	China Mobile (Hong Kong) Ltd	5,971.10
06/26/2013	07/01/2013	70	40.30	Comcast Corporation - CL A	2,818.15
06/26/2013	07/01/2013	60	39.83	Comerica Incorporated	2,387.36
06/26/2013	07/01/2013	40	85.30	Continental Resources, Inc.	3,410.39
06/26/2013	07/01/2013	60	62.71	Covidien PLC	3,760.13
06/26/2013	07/01/2013	100	50.65	Delphi Automotive PLC	5,060.91
06/26/2013	07/01/2013	190	14.17	DnB Holding ASA	2,685.29
06/26/2013	07/01/2013	40	77.71	Dover Corp.	3,106.75
06/26/2013	07/01/2013	70	98.74	FedEx Corporation	6,908.68
06/26/2013	07/01/2013	10	151.97	Goldman Sachs Group	1,519.27
06/26/2013	07/01/2013	10	875.09	Google Inc Class A	8,750.35
06/26/2013	07/01/2013	170	23.96	Hewlett-Packard Company	4,066.33
06/26/2013	07/01/2013	100	79.73	Honeywell Inc.	7,968.86
06/26/2013	07/01/2013	490	8.85	ING Groep	4,325.50
06/26/2013	07/01/2013	170	52.59	J.P. Morgan Chase & Co.	8,933.35
06/26/2013	07/01/2013	70	38.97	Johnson Matthey PLC	2,722.12
06/26/2013	06/28/2013	190	21.96	Korea Electric Power Corp. (KRW 4756879.00)	** 4,145.43
06/26/2013	07/01/2013	10	570.44	Mastercard Inc - Class A	5,703.90
06/26/2013	07/01/2013	100	46.80	Merck & Co. Inc.	4,675.92
06/26/2013	07/01/2013	300	34.39	Microsoft Corp.	10,304.82
06/26/2013	07/01/2013	110	32.79	MSCI Inc.	3,602.44
06/26/2013	07/01/2013	80	37.95	NetApp. Inc.	3,032.75
06/26/2013	07/01/2013	110	69.64	Novartis AG - ADR	7,655.45
06/26/2013	07/01/2013	40	71.86	Oceaneering International, Inc	2,872.78
06/26/2013	07/01/2013	100	30.19	Oracle Corporation	3,014.95
06/26/2013	06/28/2013	2,000	1.10	PICC Prop & Casualty Co. Ltd.	2,199.05
06/26/2013	07/01/2013	260	15.81	Prudential plc	4,100.79
06/26/2013	07/01/2013	140	61.29	Qualcomm Inc.	8,574.85
06/26/2013	07/01/2013	30	67.48	Reinsurance Group of America,	2,023.16
06/26/2013	07/01/2013	20	232.77	Roche Holdings AG	4,643.69
06/26/2013	07/01/2013	200	33.32	Royal Caribbean Cruises Ltd.	6,655.88

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
07/16/2013	07/19/2013	4,910	16.56	Vedanta Resources PLC	81,166.39
07/17/2013	07/22/2013	2,040	34.58	MSCI Inc.	70,459.96
07/17/2013	07/22/2013	43,000	3.02	Singapore Telecom LTD	129 189.92
07/18/2013	07/23/2013	2,030	34.79	MSCI Inc.	70,534.37
07/18/2013	07/23/2013	43,000	3.00	Singapore Telecom LTD	128,502.64
07/19/2013	07/24/2013	1,190	34.74	MSCI Inc.	41,293.60
07/19/2013	07/24/2013	31,000	3.00	Singapore Telecom LTD	92,570.79
07/22/2013	07/25/2013	43,000	3.05	Singapore Telecom LTD	130,676.77
07/23/2013	07/26/2013	33,520	3.09	Singapore Telecom LTD	103,167.31
08/08/2013	08/13/2013	4,870	26.76	Hewlett-Packard Company	130,109.03
08/09/2013	08/14/2013	8,620	26.94	Hewlett-Packard Company	231,903.27
08/12/2013	08/15/2013	16,840	26.73	Hewlett-Packard Company	449,428.19
08/15/2013	08/20/2013	1,180	66.68	Qualcomm Inc.	76,630.41
08/19/2013	08/22/2013	3,160	67.24	Qualcomm Inc.	212,357.78
08/22/2013	08/27/2013	7,440	12.89	Santos Limited	95,706.83
08/23/2013	08/27/2013	210	26.20	LG Electronics Inc. PFD (KRW 6092737.00)	** 5,465.27
08/23/2013	08/28/2013	12,410	13.17	Santos Limited	163,141.23
08/26/2013	08/28/2013	430	26.26	LG Electronics Inc. - PFD (KRW 12493186.00)	** 11,219.54
08/26/2013	08/29/2013	12,770	13.31	Santos Limited	169,663.84
08/29/2013	09/02/2013	270	25.67	LG Electronics Inc. - PFD (KRW 7658639.00)	** 6,887.08
08/30/2013	09/03/2013	430	25.83	LG Electronics Inc. - PFD (KRW 12260315.00)	** 11,035.88
09/04/2013	09/06/2013	320	26.17	LG Electronics Inc. - PFD (KRW 9089590.00)	** 8,319.61
09/05/2013	09/09/2013	360	25.78	LG Electronics Inc. - PFD (KRW 10691626.00)	** 9,731.60
09/06/2013	09/10/2013	210	25.71	LG Electronics Inc. - PFD (KRW 5857483.00)	** 5,364.00
09/09/2013	09/11/2013	430	25.51	LG Electronics Inc. - PFD (KRW 11819261.00)	** 10,898.27
09/10/2013	09/12/2013	430	25.25	LG Electronics Inc. - PFD (KRW 11722720.00)	** 10,788.44
09/11/2013	09/13/2013	430	25.06	LG Electronics Inc. - PFD (KRW 11610718.00)	** 10,704.97
09/12/2013	09/16/2013	430	24.69	LG Electronics Inc. - PFD (KRW 11431998.00)	** 10,546.13
09/13/2013	09/17/2013	430	24.22	LG Electronics Inc. - PFD (KRW 11244038.00)	10,346.02
09/16/2013	09/23/2013	320	24.71	LG Electronics Inc. - PFD (KRW 8507149.00)	** 7,856.48
09/17/2013	09/24/2013	430	24.19	LG Electronics Inc. - PFD (KRW 11186451.00)	** 10,334.00
09/23/2013	09/25/2013	530	24.16	LG Electronics Inc. - PFD (KRW 13660114.00)	** 12,723.18
09/24/2013	09/26/2013	200	24.15	LG Electronics Inc. - PFD (KRW 5162283.00)	** 4,799.00
09/26/2013	10/01/2013	790	62.23	Aflac, Inc.	49,135.08

** - US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
09/26/2013	10/01/2013	250	115.43	Alexion Pharmaceuticals, Inc.	28,850.09
09/26/2013	10/01/2013	4,000	8.76	Amada Co. Ltd.	35,005.93
09/26/2013	10/01/2013	600	94.28	Anadarko Petroleum Corporation	56,548.05
09/26/2013	10/01/2013	600	86.28	Apache Corporation	51 746.33
09/26/2013	10/01/2013	1,040	11.80	Arcos Dorados Holdings, Inc.	12,240.27
09/26/2013	10/01/2013	770	49.40	Baker Hughes Incorporated	38 015.39
09/26/2013	10/01/2013	410	74.19	BioMarin Pharmaceutical Inc.	30,404.16
09/26/2013	10/01/2013	590	44.19	Boskalis Westminster - CVA	26,048.06
09/26/2013	10/01/2013	520	68.95	Capital One Financial Corp.	35,835.43
09/26/2013	10/01/2013	1,450	37.06	CareFusion Corporation	53,685.74
09/26/2013	10/01/2013	11,140	5.90	Centrica plc	65,624.36
09/26/2013	10/01/2013	450	123.17	Chevron Corporation	55,410.19
09/26/2013	10/01/2013	1,490	56.75	China Mobile (Hong Kong) Ltd	84,515.35
09/26/2013	10/01/2013	870	54.43	Coach, Inc.	47,328.21
09/26/2013	10/01/2013	690	44.02	Comcast Corporation - CL A	30,354.64
09/26/2013	10/01/2013	580	39.13	Comerica Incorporated	22 677.31
09/26/2013	10/01/2013	470	107.13	Continental Resources, Inc.	50,333.87
09/26/2013	10/01/2013	230	139.96	Copa Holdings SA Cl A	32,182.41
09/26/2013	10/01/2013	640	60.76	Covidien PLC	38,867.99
09/26/2013	10/01/2013	1,010	58.21	Delphi Automotive PLC	58,764.41
09/26/2013	10/01/2013	1,790	15.90	DnB Holding ASA	28,432.28
09/26/2013	10/01/2013	420	89.76	Dover Corp.	37,684.55
09/26/2013	10/01/2013	660	51.99	Expedia, Inc.	34,292.67
09/26/2013	10/01/2013	600	113.07	FedEx Corporation	67,819.88
09/26/2013	10/01/2013	210	161.30	Goldman Sachs Group	33,866.86
09/26/2013	10/01/2013	130	875.02	Google Inc - Class A	113,746.48
09/26/2013	10/01/2013	840	83.79	Honeywell Inc.	70 357.34
09/26/2013	09/30/2013	380	108.51	Hyundai Motor Co. Ltd. 2nd (KRW 44221133.00)	** 41,046.97
09/26/2013	09/30/2013	110	102.16	Hyundai Motor Company Ltd PFD (KRW 12052055.00)	11,186.97
09/26/2013	10/01/2013	5,490	11.58	ING Groep	63,522.00
09/26/2013	10/01/2013	1,520	51.64	J.P. Morgan Chase & Co.	78,448.11
09/26/2013	10/01/2013	680	45.60	Johnson Matthey PLC	30,972.68
09/26/2013	10/01/2013	96,500	0.11	Kalbe Farma TBK PT (IDR 125068632.00)	** 10,918.26
09/26/2013	09/30/2013	2,230	27.42	Korea Electric Power Corp. (KRW 65586916.00)	** 60,879.13

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
09/26/2013	10/01/2013	610	43.97	Mallinckrodt PLC	26,800.31
09/26/2013	10/01/2013	80	677.06	Mastercard Inc - Class A	54,161.65
09/26/2013	10/01/2013	880	47.55	Merck & Co. Inc.	41,819.60
09/26/2013	10/01/2013	2,610	32.81	Microsoft Corp.	85,560.57
09/26/2013	10/01/2013	900	75.49	Murata Manufacturing Company.	67,874.41
09/26/2013	10/01/2013	790	43.10	NetApp, Inc.	34,025.89
09/26/2013	10/01/2013	2,000	21.82	NGK Spark Plug Co. Ltd.	43,596.10
09/26/2013	10/01/2013	1,010	76.59	Novartis AG - ADR	77,327.69
09/26/2013	10/01/2013	350	80.46	Oceaneering International, Inc	28,148.92
09/26/2013	10/01/2013	1,020	33.75	Oracle Corporation	34,396.76
09/26/2013	09/30/2013	32,000	1.43	PICC Prop & Casualty Co. Ltd.	45,512.03
09/26/2013	10/01/2013	2,250	18.84	Prudential plc	42,346.30
09/26/2013	10/01/2013	700	68.74	Qualcomm Inc.	48,097.22
09/26/2013	10/01/2013	140	304.05	Regeneron Pharmaceuticals	42,562.05
09/26/2013	10/01/2013	450	67.19	Reinsurance Group of America.	30,223.27
09/26/2013	10/01/2013	210	264.22	Roche Holdings AG	55,430.82
09/26/2013	10/01/2013	1,730	38.45	Royal Caribbean Cruises Ltd.	66,463.02
09/26/2013	10/01/2013	670	65.68	Royal Dutch Shell PLC-ADR A	43,984.73
09/26/2013	10/01/2013	1,110	60.21	Safran SA	66,764.56
09/26/2013	09/30/2013	80	809.73	Samsung Electronics Co. Pfd (KRW 69473961.00)	** 64,487.17
09/26/2013	10/01/2013	2,790	12.68	Sberbank Sponsored ADR	35,341.83
09/26/2013	10/01/2013	500	44.07	Seattle Genetics, Inc.	22,018.76
09/26/2013	10/01/2013	11,500	1.22	Semen Gresik (Persero) Tbk (IDR 160510560.00)	** 14,012.27
09/26/2013	10/01/2013	100	240.30	SMC Corporation	24,006.09
09/26/2013	10/01/2013	1,840	22.26	Smiths Group plc	40,911.99
09/26/2013	10/01/2013	1,730	21.24	Subsea 7 SA	36,716.60
09/26/2013	10/01/2013	1,600	23.44	SwedBank AB	37,471.37
09/26/2013	10/01/2013	220	77.15	Tiffany & Co.	16,966.06
09/26/2013	10/01/2013	400	89.40	Toronto-Dominion Bank	35,747.10
09/26/2013	10/01/2013	940	17.02	Tullow Oil plc	15,977.17
09/26/2013	10/01/2013	640	72.03	UnitedHealth Group Inc.	46,080.73
09/26/2013	10/01/2013	2,590	35.00	Vodafone Group PLC - SP ADR	90,579.27
09/26/2013	10/01/2013	790	74.29	Wal-Mart Stores, Inc.	58,663.35
09/26/2013	10/01/2013	1,500	41.46	Wells Fargo Company	62,147.82

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
09/26/2013	09/30/2013	5,600	3.38	Wynn Macau, Limited	18,881.44
09/26/2013	10/01/2013	530	72.33	Yum! Brands, Inc.	38,316.64
09/30/2013	09/30/2013	0	65.95	Royal Dutch Shell PLC-ADR A	1.52
10/03/2013	10/08/2013	3,050	60.73	Covidien PLC	185,103.72
10/03/2013	10/08/2013	9,820	35.54	Vodafone Group PLC - SP ADR	348,619.64
10/04/2013	10/09/2013	6,410	60.39	Covidien PLC	386,812.41
10/07/2013	10/10/2013	2,490	60.00	Covidien PLC	149,300.04
10/28/2013	10/31/2013	270	1,015.44	Google Inc - Class A	274,153.04
10/29/2013	11/01/2013	362	1,017.47	Google Inc - Class A	368,304.23
10/31/2013	11/05/2013	2,970	130.86	FedEx Corporation	388,516.76
11/04/2013	11/07/2013	1,290	123.24	Alexion Pharmaceuticals, Inc.	158,926.14
11/04/2013	11/07/2013	980	283.77	Regeneron Pharmaceuticals	278,048.30
11/05/2013	11/08/2013	280	120.81	Alexion Pharmaceuticals, Inc.	33,816.16
11/05/2013	11/08/2013	360	294.11	Regeneron Pharmaceuticals	105,861.67
11/08/2013	11/14/2013	2,510	132.01	FedEx Corporation	331,246.21
11/11/2013	11/14/2013	5,810	132.64	FedEx Corporation	770,376.91
11/13/2013	11/15/2013	130	922.19	Samsung Electronics Co. Pfd (KRW 127707014.00)	** 119,105.23
11/15/2013	11/19/2013	120	945.27	Samsung Electronics Co. Pfd (KRW 119791555.00)	** 112,695.14
11/18/2013	11/20/2013	146	974.76	Samsung Electronics Co. Pfd (KRW 149445969.00)	** 141,389.59
12/16/2013	12/19/2013	32,950	36.96	Vodafone Group PLC - SP ADR	1,216,545.53
12/17/2013	12/20/2013	5,760	37.09	Vodafone Group PLC - SP ADR	213,391.61
12/20/2013	12/26/2013	4,210	90.86	Tiffany & Co.	382,354.81
12/23/2013	12/23/2013	1	70.94	Royal Dutch Shell PLC-ADR A	68.38
				Total Sales	** 21,906,260.32
Foreign Currency Contracts					
01/02/2013	01/02/2013			Sell 841,269 FX Spot Contract HKD S/D 01/02/2013	108,522.87
01/04/2013	01/04/2013			Buy 34,844 FX Spot Contract HKD S/D 01/04/2013	(4,495.72)
01/04/2013	01/04/2013			Buy 60,640 FX Spot Contract HKD S/D 01/04/2013	(7,824.01)
01/07/2013	01/07/2013			Buy 1,801 FX Spot Contract GBP S/D 01/07/2013	(2,905.33)
01/07/2013	01/07/2013			Buy 10,214 FX Spot Contract EUR S/D 01/07/2013	(13,354.67)
01/07/2013	01/07/2013			Buy 10,745 FX Spot Contract GBP S/D 01/07/2013	(17,328.89)
01/07/2013	01/07/2013			Buy 10,957,873 FX Spot Contract KRW S/D 01/07/2013	(10,308.44)
01/07/2013	01/07/2013			Buy 13,299 FX Spot Contract SGD S/D 01/07/2013	(10,863.09)
01/07/2013	01/07/2013			Buy 15,293,340 FX Spot Contract KRW S/D 01/07/2013	(14,386.96)

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ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Foreign Currency Contracts (cont'd)					
01/07/2013	01/07/2013			Buy 16,226,541 FX Spot Contract JPY S/D 01/07/2013	(188,702.65)
01/07/2013	01/07/2013			Buy 21,838,650 FX Spot Contract JPY S/D 01/07/2013	(253,967.32)
01/07/2013	01/07/2013			Buy 3,371 FX Spot Contract GBP S/D 01/07/2013	(5,437.36)
01/07/2013	01/07/2013			Buy 4,635 FX Spot Contract GBP S/D 01/07/2013	(7,476.40)
01/07/2013	01/07/2013			Buy 48,551,905 FX Spot Contract IDR S/D 01/07/2013	(4,969.82)
01/07/2013	01/07/2013			Buy 5,136 FX Spot Contract AUD S/D 01/07/2013	(5,383.91)
01/07/2013	01/07/2013			Buy 5,538 FX Spot Contract EUR S/D 01/07/2013	(7,241.23)
01/07/2013	01/07/2013			Buy 5,587 FX Spot Contract GBP S/D 01/07/2013	(9,010.49)
01/07/2013	01/07/2013			Buy 5,706,632 FX Spot Contract JPY S/D 01/07/2013	(66,363.90)
01/07/2013	01/07/2013			Buy 58,483 FX Spot Contract SEK S/D 01/07/2013	(8,972.85)
01/07/2013	01/07/2013			Buy 6,244 FX Spot Contract GBP S/D 01/07/2013	(10,070.30)
01/07/2013	01/07/2013			Buy 624 FX Spot Contract GBP S/D 01/07/2013	(1,005.77)
01/07/2013	01/07/2013			Buy 66,559 FX Spot Contract SEK S/D 01/07/2013	(10,211.87)
01/07/2013	01/07/2013			Buy 7,103 FX Spot Contract EUR S/D 01/07/2013	(9,267.40)
01/07/2013	01/07/2013			Buy 8,703,439 FX Spot Contract KRW S/D 01/07/2013	(8,187.62)
01/08/2013	01/08/2013			Buy 5,707,642 FX Spot Contract JPY S/D 01/08/2013	(66,375.65)
02/06/2013	02/06/2013			Buy 17,225,718 FX Spot Contract KRW S/D 02/06/2013	(15,898.22)
02/06/2013	02/06/2013			Buy 17,816,424 FX Spot Contract KRW S/D 02/06/2013	(16,443.40)
02/06/2013	02/06/2013			Buy 9,624,537 FX Spot Contract KRW S/D 02/06/2013	(8,882.83)
02/07/2013	02/07/2013			Buy 55,643,933 FX Spot Contract IDR S/D 02/07/2013	(5,743.59)
03/06/2013	03/06/2013			Buy 18,500,159 FX Spot Contract KRW S/D 03/06/2013	(17,039.84)
03/06/2013	03/06/2013			Buy 69,975,207 FX Spot Contract IDR S/D 03/06/2013	(7,212.46)
04/01/2013	04/01/2013			Sell 34,572,008 FX Spot Contract KRW S/D 04/01/2013	31,014.63
04/01/2013	04/01/2013			Sell 39,403,470 FX Spot Contract KRW S/D 04/01/2013	35,348.94
04/01/2013	04/01/2013			Sell 59,606,959 FX Spot Contract KRW S/D 04/01/2013	53,476.59
04/02/2013	04/02/2013			Sell 245,024,865 FX Spot Contract IDR S/D 04/02/2013	25,195.36
05/06/2013	05/06/2013			Buy 13,418,097 FX Spot Contract KRW S/D 05/06/2013	(12,226.05)
05/06/2013	05/06/2013			Buy 46,344,350 FX Spot Contract IDR S/D 05/06/2013	(4,765.48)
05/06/2013	05/06/2013			Buy 789,603 FX Spot Contract KRW S/D 05/06/2013	(719.46)
05/06/2013	05/06/2013			Buy 8,753,110 FX Spot Contract KRW S/D 05/06/2013	(7,975.50)
05/24/2013	05/24/2013			Buy 530,002,004 FX Spot Contract IDR S/D 05/24/2013	(54,275.68)
05/27/2013	05/27/2013			Buy 519,331,148 FX Spot Contract IDR S/D 05/27/2013	(53,104.99)
05/28/2013	05/28/2013			Buy 342,001,329 FX Spot Contract IDR S/D 05/28/2013	(34,971.86)
05/29/2013	05/29/2013			Buy 338,962,783 FX Spot Contract IDR S/D 05/29/2013	(34,623.37)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Foreign Currency Contracts (cont'd)					
06/03/2013	06/03/2013			Buy 346,456,566 FX Spot Contract IDR S/D 06/03/2013	(35,316.67)
06/10/2013	06/10/2013			Buy 159,598,968 FX Spot Contract KRW S/D 06/10/2013	(143,265.29)
06/11/2013	06/11/2013			Buy 15,446,662 FX Spot Contract IDR S/D 06/11/2013	(1,562.64)
06/12/2013	06/12/2013			Buy 106,661,064 FX Spot Contract KRW S/D 06/12/2013	(94,316.04)
06/12/2013	06/12/2013			Buy 444,848,652 FX Spot Contract IDR S/D 06/12/2013	(44,445.04)
06/13/2013	06/13/2013			Buy 267,738,632 FX Spot Contract IDR S/D 06/13/2013	(26,630.36)
06/28/2013	06/28/2013			Sell 4,756,879 FX Spot Contract KRW S/D 06/28/2013	4,145.43
07/01/2013	07/01/2013			Sell 15,962,046 FX Spot Contract IDR S/D 07/01/2013	1,588.10
08/21/2013	08/21/2013			Buy 113,123,744 FX Spot Contract KRW S/D 08/21/2013	(101,092.70)
08/22/2013	08/22/2013			Buy 95,377,337 FX Spot Contract KRW S/D 08/22/2013	(85,463.57)
08/27/2013	08/27/2013			Buy 69,387,915 FX Spot Contract KRW S/D 08/27/2013	(62,393.59)
08/27/2013	08/27/2013			Sell 6,092,737 FX Spot Contract KRW S/D 08/27/2013	5,453.58
08/28/2013	08/28/2013			Buy 61,158,604 FX Spot Contract KRW S/D 08/28/2013	(54,890.14)
08/28/2013	08/28/2013			Sell 12,493,186 FX Spot Contract KRW S/D 08/28/2013	11,161.70
08/29/2013	08/29/2013			Buy 17,429,866 FX Spot Contract KRW S/D 08/29/2013	(15,625.16)
09/02/2013	09/02/2013			Sell 7,658,639 FX Spot Contract KRW S/D 09/02/2013	6,909.20
09/03/2013	09/03/2013			Sell 12,260,315 FX Spot Contract KRW S/D 09/03/2013	11,166.55
09/05/2013	09/05/2013			Buy 17,665,526 FX Spot Contract KRW S/D 09/05/2013	(16,125.54)
09/05/2013	09/05/2013			Buy 8,830,900 FX Spot Contract KRW S/D 09/05/2013	(8,061.07)
09/05/2013	09/05/2013			Buy 9,056,147 FX Spot Contract KRW S/D 09/05/2013	(8,266.68)
09/06/2013	09/06/2013			Buy 16,558,083 FX Spot Contract IDR S/D 09/06/2013	(1,421.29)
09/06/2013	09/06/2013			Buy 18,872,269 FX Spot Contract IDR S/D 09/06/2013	(1,619.94)
09/06/2013	09/06/2013			Sell 9,089,590 FX Spot Contract KRW S/D 09/06/2013	8,274.17
09/09/2013	09/09/2013			Sell 10,691,626 FX Spot Contract KRW S/D 09/09/2013	9,807.03
09/10/2013	09/10/2013			Sell 5,857,483 FX Spot Contract KRW S/D 09/10/2013	5,381.24
09/11/2013	09/11/2013			Sell 11,819,281 FX Spot Contract KRW S/D 09/11/2013	10,869.30
09/12/2013	09/12/2013			Sell 11,722,720 FX Spot Contract KRW S/D 09/12/2013	10,814.32
09/13/2013	09/13/2013			Sell 11,610,718 FX Spot Contract KRW S/D 09/13/2013	10,686.35
09/16/2013	09/16/2013			Sell 11,431,998 FX Spot Contract KRW S/D 09/16/2013	10,546.13
09/17/2013	09/17/2013			Sell 11,244,038 FX Spot Contract KRW S/D 09/17/2013	10,346.02
09/23/2013	09/23/2013			Sell 8,507,149 FX Spot Contract KRW S/D 09/23/2013	7,889.41
09/24/2013	09/24/2013			Sell 11,186,451 FX Spot Contract KRW S/D 09/24/2013	10,390.53
09/25/2013	09/25/2013			Sell 13,660,114 FX Spot Contract KRW S/D 09/25/2013	12,677.60
09/26/2013	09/26/2013			Sell 5,162,283 FX Spot Contract KRW S/D 09/26/2013	4,799.89

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Foreign Currency Contracts (cont'd)					
09/30/2013	09/30/2013			Sell 12,052,055 FX Spot Contract KRW S/D 09/30/2013	11,180.65
09/30/2013	09/30/2013			Sell 44,221,133 FX Spot Contract KRW S/D 09/30/2013	41,024.51
09/30/2013	09/30/2013			Sell 65,586,916 FX Spot Contract KRW S/D 09/30/2013	60,845.81
09/30/2013	09/30/2013			Sell 69,473,961 FX Spot Contract KRW S/D 09/30/2013	64,451.88
10/01/2013	10/01/2013			Sell 125,068,632 FX Spot Contract IDR S/D 10/01/2013	10,845.81
10/01/2013	10/01/2013			Sell 160,510,560 FX Spot Contract IDR S/D 10/01/2013	13,919.29
11/05/2013	11/05/2013			Buy 1,180,357 FX Spot Contract KRW S/D 11/05/2013	(1,112.29)
11/05/2013	11/05/2013			Buy 3,402,090 FX Spot Contract KRW S/D 11/05/2013	(3,205.89)
11/05/2013	11/05/2013			Buy 5,206,073 FX Spot Contract KRW S/D 11/05/2013	(4,905.84)
11/07/2013	11/07/2013			Buy 6,463,158 FX Spot Contract IDR S/D 11/07/2013	(568.94)
11/07/2013	11/07/2013			Buy 7,089,433 FX Spot Contract IDR S/D 11/07/2013	(624.07)
11/15/2013	11/15/2013			Sell 127,707,014 FX Spot Contract KRW S/D 11/15/2013	119,464.00
11/19/2013	11/19/2013			Sell 119,791,555 FX Spot Contract KRW S/D 11/19/2013	113,257.72
11/20/2013	11/20/2013			Sell 149,445,969 FX Spot Contract KRW S/D 11/20/2013	141,493.83
				Total Foreign Currency Contracts	(745,978.49)
Dividends Received					
05/19/2010	06/25/2010			China Agri-Industries Holdings	0.52
* 09/09/2010	09/29/2010			China Agri-Industries Holdings	0.05
* 06/02/2011	06/28/2011			China Agri-Industries Holdings	0.52
* 09/12/2011	10/06/2011			China Agri-Industries Holdings	1.08
06/13/2012	06/29/2012			China Agri-Industries Holdings	0.06
* 09/13/2012	10/09/2012			China Agri-Industries Holdings	(0.02)
11/20/2012	02/06/2013		0.52	Vodafone Group PLC - SP ADR	22,591.42
* 11/28/2012	02/05/2013			Johnson Matthey PLC	3,182.42
* 12/05/2012	01/02/2013		0.54	Pepsico, Inc	7,670.13
* 12/10/2012	01/02/2013		0.13	Hewlett-Packard Company	4,027.32
* 12/12/2012	01/02/2013		0.15	Comerica Incorporated	1,704.00
12/13/2012	01/08/2013		0.43	Merck & Co. Inc.	7,494.90
* 12/13/2012	01/15/2013		0.15	Thermo Fisher Scientific Inc.	1,656.00
* 12/18/2012	01/10/2013		0.32	Tiffany & Co.	1,417.60
12/19/2012	01/04/2013		0.06	Advance Auto Parts, Inc.	717.00
* 12/24/2012	01/17/2013			Singapore Telecom LTD	16,051.62
* 12/27/2012	04/12/2013			LG Electronics Inc. - PFD	1,285.44

* - Prior period activity recorded in the current period

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
* 12/28/2012	01/23/2013		0.16	Comcast Corporation - CL A	2,210.98
* 12/28/2012	04/12/2013			Hyundai Motor Co. Ltd. - 2nd	13,134.08
* 12/28/2012	04/12/2013			Hyundai Motor Company Ltd PFD	3,802.11
* 12/28/2012	04/15/2013			Samsung Electronics Co. Pfd	7,956.28
01/02/2013	01/02/2013			Income received on Cash equivalents	22.00
01/02/2013	01/31/2013		0.30	J.P. Morgan Chase & Co.	9,111.00
01/02/2013	01/31/2013		0.78	Toronto-Dominion Bank	6,216.76
01/07/2013	02/08/2013		0.30	Mastercard Inc - Class A	456.00
01/09/2013	01/28/2013		0.30	Quest Diagnostics Incorporated	2,457.00
01/09/2013	02/01/2013		0.34	Yum! Brands, Inc.	2,155.39
01/17/2013	02/22/2013		0.17	Apache Corporation	1,120.30
01/30/2013	03/01/2013		0.25	Wells Fargo Company	7,487.50
01/31/2013	02/15/2013		0.15	Baker Hughes Incorporated	1,876.50
02/01/2013	02/01/2013			Income received on Cash equivalents	12.68
02/13/2013	03/01/2013		0.35	Aflac, Inc.	7,266.00
02/13/2013	03/11/2013		0.90	Chevron Corporation	8,245.80
02/13/2013	03/08/2013		0.24	Reinsurance Group of America,	1,524.00
02/13/2013	03/28/2013		0.86	Royal Dutch Shell PLC-ADR A	11,622.90
02/19/2013	03/14/2013		0.23	Microsoft Corp.	12,198.74
02/19/2013	03/06/2013		0.12	Royal Caribbean Cruises Ltd.	3,385.20
02/21/2013	03/11/2013		0.41	Honeywell Inc.	6,996.65
02/26/2013	03/15/2013		0.35	Dover Corp.	2,964.50
02/26/2013	03/28/2013		0.50	Goldman Sachs Group	2,080.00
02/26/2013	04/05/2013		2.53	Novartis AG - ADR	49,732.93
02/27/2013	03/20/2013		0.18	Oceaneering International, Inc	1,281.60
02/27/2013	04/01/2013		0.54	Pepsico, Inc	7,901.25
03/01/2013	03/01/2013			Income received on Cash equivalents	1.14
03/01/2013	03/28/2013			Santos Limited	7,542.77
03/06/2013	03/27/2013		0.25	Qualcomm Inc.	3,940.00
03/07/2013	04/01/2013		0.14	FedEx Corporation	1,754.20
03/07/2013	03/12/2013			Roche Holdings AG	34,404.08
03/08/2013	03/22/2013		0.04	Virgin Media Inc.	444.60
03/08/2013	04/01/2013		0.47	Wal-Mart Stores, Inc.	7,696.72

* - Prior period activity recorded in the current period

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
03/11/2013	03/27/2013		0.09	Anadarko Petroleum Corporation	1,116.00
03/11/2013	04/03/2013		0.13	Hewlett-Packard Company	4,216.08
03/13/2013	04/01/2013		0.17	Comerica Incorporated	2,021.30
03/13/2013	03/27/2013		0.17	Delphi Automotive PLC	3,542.80
03/13/2013	04/05/2013		0.43	Merck & Co. Inc.	7,843.20
03/13/2013	04/15/2013		0.15	Thermo Fisher Scientific Inc.	1,735.50
03/13/2013	03/26/2013		0.21	UnitedHealth Group Inc.	2,794.38
03/18/2013	04/10/2013		0.32	Tiffany & Co.	1,481.60
03/20/2013	04/05/2013		0.06	Advance Auto Parts, Inc.	594.60
03/21/2013	03/28/2013			Svenska Handelsbanken AB - A s	34,586.07
03/21/2013	03/28/2013			SwedBank AB	50,043.48
03/27/2013	06/28/2013			Amada Co. Ltd.	3,293.82
03/27/2013	06/28/2013			Murata Manufacturing Osaka	9,188.56
03/27/2013	06/06/2013			NGK Spark Plug Co. Ltd. Tokyo	2,150.11
03/27/2013	05/23/2013			Prudential plc	13,707.70
03/27/2013	06/28/2013			SMC Corporation, Tokyo	2,329.77
03/27/2013	04/26/2013			Smiths Group plc	6,908.12
03/28/2013	04/05/2013		0.06	Arcos Dorados Holdings, Inc.	1,214.30
04/01/2013	04/24/2013		0.20	Comcast Corporation - CL A	2,623.92
04/01/2013	04/01/2013			Income received on Cash equivalents	8.94
04/01/2013	04/30/2013		0.80	Toronto-Dominion Bank	6,308.55
04/02/2013	05/03/2013		0.26	Covidien PLC	3,250.00
04/03/2013	04/30/2013		0.30	J.P. Morgan Chase & Co.	8,671.00
04/05/2013	05/09/2013		0.60	Mastercard Inc - Class A	894.00
04/09/2013	07/10/2013		0.31	Sberbank Sponsored ADR	13,510.29
04/10/2013	05/03/2013		0.34	Yum! Brands, Inc.	2,098.44
04/17/2013	05/16/2013			Tullow Oil plc	1,182.03
04/18/2013	05/22/2013		0.20	Apache Corporation	1,284.00
04/24/2013	06/12/2013			Centrica plc	39,934.70
05/01/2013	05/01/2013			Income received on Cash equivalents	8.91
05/02/2013	05/17/2013		0.15	Baker Hughes Incorporated	1,851.00
05/07/2013	05/20/2013		0.04	Virgin Media Inc.	426.40
05/08/2013	05/31/2013		0.24	Reinsurance Group of America,	1,480.80
05/08/2013	06/03/2013		0.47	Wal-Mart Stores, Inc.	7,344.22

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
05/08/2013	06/03/2013		0.30	Wells Fargo Company	8,853.00
05/09/2013	05/23/2013		0.30	Capital One Financial Corp.	3,099.00
05/10/2013	06/04/2013			Boskalis Westminster - CVA	18,758.18
05/13/2013	05/30/2013		0.17	Delphi Automotive PLC	3,381.30
05/14/2013	06/13/2013		0.23	Microsoft Corp.	11,837.64
05/15/2013	06/10/2013		1.00	Chevron Corporation	8,882.00
05/15/2013	06/27/2013		0.90	Royal Dutch Shell PLC-ADR A	11,812.50
05/16/2013	06/10/2013		0.41	Honeywell Inc.	6,791.65
05/17/2013	06/04/2013		0.12	Royal Caribbean Cruises Ltd.	4,082.40
05/20/2013	06/03/2013		0.35	Aflac, Inc.	7,052.50
05/22/2013	06/06/2013			Wynn Macau, Limited	18,186.39
05/28/2013	06/27/2013		0.50	Goldman Sachs Group	2,020.00
05/29/2013	06/17/2013		0.35	Dover Corp.	2,877.00
05/29/2013	06/20/2013		0.22	Oceaneering International, Inc	1,522.40
05/30/2013	06/17/2013			Semen Gresik (Persero) Tbk	8,310.65
05/31/2013	07/08/2013		1.15	China Mobile (Hong Kong) Ltd	26,456.41
06/03/2013	06/03/2013			Income received on Cash equivalents	1.51
06/03/2013	06/26/2013		0.35	Qualcomm Inc.	6,366.50
06/03/2013	06/06/2013			Safran SA	18,857.89
06/10/2013	06/26/2013		0.09	Anadarko Petroleum Corporation	1,065.60
06/10/2013	07/03/2013		0.15	Hewlett-Packard Company	4,428.60
06/12/2013	07/01/2013		0.17	Comerica Incorporated	1,929.50
06/12/2013	08/06/2013			Johnson Matthey PLC	8,582.45
06/12/2013	08/07/2013		1.06	Vodafone Group PLC - SP ADR	54,162.51
06/13/2013	07/01/2013		0.15	FedEx Corporation	1,794.00
06/13/2013	07/08/2013		0.43	Merck & Co. Inc.	7,490.60
06/13/2013	07/15/2013		0.15	Thermo Fisher Scientific Inc.	1,656.00
06/13/2013	06/26/2013		0.28	UnitedHealth Group Inc.	3,514.00
06/14/2013	07/02/2013			Kalbe Farma TBK PT	3,591.31
06/18/2013	07/10/2013		0.34	Tiffany & Co.	1,499.40
06/27/2013	08/26/2013			Samsung Electronics Co. Pfd	527.42
06/28/2013	07/05/2013		0.06	Arcos Dorados Holdings, Inc.	1,220.01
07/01/2013	07/24/2013		0.20	Comcast Corporation - CL A	2,643.42
07/02/2013	07/31/2013		0.38	J.P. Morgan Chase & Co.	11,308.80

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1, 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
07/05/2013	08/09/2013		0.60	Mastercard Inc - Class A	894.00
07/05/2013	07/31/2013		0.79	Toronto-Dominion Bank	6,229.56
07/09/2013	07/23/2013		0.15	NetApp, Inc.	2,334.00
07/10/2013	08/02/2013		0.12	Oracle Corporation	2,386.80
07/10/2013	08/08/2013		0.41	Vedanta Resources PLC	7,333.40
07/10/2013	08/02/2013		0.34	Yum! Brands, Inc.	3,505.44
07/18/2013	08/22/2013		0.20	Apache Corporation	1,292.00
07/26/2013	08/15/2013		0.26	Covidien PLC	3,273.40
08/01/2013	08/16/2013		0.15	Baker Hughes Incorporated	2,269.50
08/01/2013	08/15/2013		0.30	Capital One Financial Corp.	3,084.00
08/07/2013	08/30/2013		0.30	Reinsurance Group of America.	2,652.00
08/07/2013	09/03/2013		0.47	Wal-Mart Stores, Inc.	7,306.62
08/07/2013	09/03/2013		0.30	Wells Fargo Company	8,805.00
08/13/2013	09/12/2013		0.23	Microsoft Corp.	11,768.64
08/14/2013	08/29/2013		0.17	Delphi Automotive PLC	3,364.30
08/14/2013	09/26/2013		0.90	Royal Dutch Shell PLC-ADR A	11,749.50
08/15/2013	09/10/2013		1.00	Chevron Corporation	8,842.00
08/16/2013	09/10/2013		0.41	Honeywell Inc.	6,750.65
08/19/2013	09/03/2013		0.35	Aflac, Inc.	5,393.50
08/21/2013	09/26/2013			Prudential plc	6,857.75
08/22/2013	09/30/2013			Santos Limited	6,556.62
08/26/2013	09/18/2013		0.15	Expedia, Inc.	1,932.00
08/28/2013	09/16/2013		0.73	Copa Holdings SA Cl A	3,248.50
08/28/2013	09/16/2013		0.38	Dover Corp.	3,067.50
08/28/2013	09/27/2013		0.50	Goldman Sachs Group	2,015.00
08/28/2013	09/20/2013		0.22	Oceaneering International, Inc	1,513.60
08/28/2013	10/04/2013			Tullow Oil plc	1,194.82
08/30/2013	09/25/2013		0.35	Qualcomm Inc.	4,798.50
09/04/2013	10/10/2013		1.09	China Mobile (Hong Kong) Ltd	32,095.11
09/05/2013	09/30/2013		0.34	Coach, Inc.	5,784.75
09/05/2013	09/23/2013			Wynn Macau, Limited	7,342.30
09/06/2013	10/01/2013		0.15	FedEx Corporation	1,783.50
09/09/2013	09/25/2013		0.18	Anadarko Petroleum Corporation	2,131.20
09/09/2013	11/08/2013			PICC Prop & Casualty Co. Ltd.	25,392.59

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
09/11/2013	10/01/2013		0.17	Comerica Incorporated	1,531.20
09/11/2013	09/24/2013		0.28	UnitedHealth Group Inc.	3,519.60
09/12/2013	10/07/2013		0.43	Merck & Co. Inc.	7,494.90
09/18/2013	10/10/2013		0.34	Tiffany & Co.	1,502.80
09/20/2013	10/08/2013		0.25	Royal Caribbean Cruises Ltd.	8,510.00
09/25/2013	11/13/2013			Centrica plc	17,284.84
09/26/2013	12/09/2013			Amada Co. Ltd.	5,294.65
09/26/2013	12/02/2013			Murata Manufacturing Company.	10,166.81
09/26/2013	11/29/2013			NGK Spark Plug Co. Ltd.	3,799.24
09/26/2013	12/03/2013			SMC Corporation	2,258.12
09/27/2013	10/04/2013		0.06	Arcos Dorados Holdings, Inc.	1,165.78
09/30/2013	10/23/2013		0.20	Comcast Corporation - CL A	2,526.42
10/01/2013	10/31/2013		0.82	Toronto-Dominion Bank	6,150.35
10/02/2013	10/31/2013		0.38	J.P. Morgan Chase & Co.	10,807.20
10/04/2013	10/29/2013		0.12	Oracle Corporation	2,280.00
10/07/2013	11/08/2013		0.60	Mastercard Inc - Class A	852.00
10/09/2013	11/01/2013		0.37	Yum! Brands, Inc.	3,705.18
10/17/2013	10/25/2013		0.15	NetApp, Inc.	2,230.50
10/18/2013	11/22/2013		0.20	Apache Corporation	2,256.00
10/23/2013	11/22/2013			Smiths Group plc	31,732.55
10/31/2013	11/15/2013		0.15	Baker Hughes Incorporated	2,169.00
11/01/2013	11/01/2013			Income received on Cash equivalents	0.44
11/06/2013	11/21/2013		0.30	Capital One Financial Corp.	2,952.00
11/06/2013	11/29/2013		0.30	Reinsurance Group of America.	3,997.50
11/06/2013	12/02/2013		0.30	Wells Fargo Company	8,436.00
11/13/2013	11/27/2013		0.17	Delphi Automotive PLC	3,223.20
11/13/2013	12/23/2013		0.90	Royal Dutch Shell PLC-ADR A	11,415.60
11/14/2013	12/10/2013		1.00	Chevron Corporation	8,462.00
11/18/2013	12/02/2013		0.37	Aflac, Inc.	5,461.20
11/19/2013	12/12/2013		0.15	Expedia, Inc.	1,649.50
11/19/2013	12/10/2013		0.45	Honeywell Inc.	7,101.00
11/19/2013	12/12/2013		0.28	Microsoft Corp.	13,730.64
11/26/2013	12/16/2013		0.73	Copa Holdings SA Cl A	3,113.45
11/26/2013	12/16/2013		0.38	Dover Corp.	2,936.25

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
11/26/2013	12/20/2013		0.22	Oceaneering International, Inc	1,447.60
11/27/2013	12/30/2013		0.55	Goldman Sachs Group	2,117.50
11/27/2013	12/19/2013		0.35	Qualcomm Inc.	4,595.50
12/04/2013	12/17/2013		0.28	UnitedHealth Group Inc.	4,513.60
12/09/2013	12/23/2013		0.18	Anadarko Petroleum Corporation	2,028.60
12/16/2013	12/19/2013			Safran SA	13,701.74
				Total Dividends Received	1,244,877.56
Foreign Taxes Withheld and Reclaims					
*05/19/2010	06/25/2010			China Agri-Industries Holdings NRA Expense	135.67
*09/09/2010	09/29/2010			China Agri-Industries Holdings NRA Expense	153.15
*06/02/2011	06/28/2011			China Agri-Industries Holdings NRA Expense	135.27
*09/12/2011	10/06/2011			China Agri-Industries Holdings NRA Expense	283.15
*06/13/2012	06/29/2012			China Agri-Industries Holdings NRA Expense	131.76
*09/13/2012	10/09/2012			China Agri-Industries Holdings NRA Expense	107.16
*11/20/2012	02/06/2013			Vodafone Group PLC - SP ADR Commission Fee	(436.10)
*12/27/2012	04/12/2013			LG Electronics Inc. - PFD NRA Expense	(257.09)
*12/28/2012	04/12/2013			Hyundai Motor Co. Ltd. - 2nd NRA Expense	(2,626.82)
12/28/2012	04/12/2013			Hyundai Motor Company Ltd PFD NRA Expense	(760.42)
*12/28/2012	04/15/2013			Samsung Electronics Co. Pfd NRA Expense	(1,750.38)
01/02/2013	01/31/2013			Toronto-Dominion Bank NRA Expense	(1,545.71)
02/13/2013	03/28/2013			Royal Dutch Shell PLC-ADR A NRA Expense	(1,743.44)
02/26/2013	04/05/2013			Novartis AG - ADR NRA Expense	(17,406.53)
03/01/2013	03/28/2013			Santos Limited NRA Expense	(2,262.83)
03/07/2013	03/12/2013			Roche Holdings AG NRA Expense	(12,041.43)
03/21/2013	03/28/2013			Svenska Handelsbanken AB - A s NRA Expense	(10,375.82)
03/21/2013	03/28/2013			SwedBank AB NRA Expense	(15,013.04)
03/27/2013	06/28/2013			Amada Co. Ltd. NRA Expense	(230.57)
03/27/2013	06/28/2013			Murata Manufacturing Osaka NRA Expense	(643.20)
03/27/2013	06/06/2013			NGK Spark Plug Co. Ltd. Tokyo NRA Expense	(153.67)
03/27/2013	06/28/2013			SMC Corporation. Tokyo NRA Expense	(163.08)
04/01/2013	04/30/2013			Toronto-Dominion Bank NRA Expense	(1,577.14)
04/09/2013	07/10/2013			Sberbank - Sponsored ADR Commission Fee	(872.60)
04/09/2013	07/10/2013			Sberbank - Sponsored ADR NRA Expense	(2,026.54)

* - Prior period activity recorded in the current period

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Foreign Taxes Withheld and Reclaims (cont'd)					
05/10/2013	06/04/2013			Boskalis Westminster - CVA NRA Expense	(2,813.73)
05/15/2013	06/27/2013			Royal Dutch Shell PLC-ADR A NRA Expense	(1,771.88)
05/30/2013	06/17/2013			Semen Gresik (Persero) Tbk NRA Expense	(1,662.13)
05/31/2013	07/08/2013			China Mobile (Hong Kong) Ltd NRA Expense	(2,645.64)
06/03/2013	06/06/2013			Safran SA NRA Expense	(5,657.37)
06/12/2013	08/07/2013			Vodafone Group PLC - SP ADR Commission Fee	(1,019.39)
06/14/2013	07/02/2013			Kalbe Farma TBK PT NRA Expense	(718.26)
06/27/2013	08/26/2013			Samsung Electronics Co. Pfd NRA Expense	(116.03)
07/05/2013	07/31/2013			Toronto-Dominion Bank NRA Expense	(1,557.39)
08/22/2013	09/30/2013			Santos Limited NRA Expense	(1,966.99)
09/04/2013	10/10/2013			China Mobile (Hong Kong) Ltd NRA Expense	(3,209.51)
09/09/2013	11/08/2013			PICC Prop & Casualty Co. Ltd. NRA Expense	(2,539.26)
09/26/2013	12/09/2013			Amada Co. Ltd. NRA Expense	(370.63)
09/26/2013	12/02/2013			Murata Manufacturing Company, NRA Expense	(711.68)
09/26/2013	11/29/2013			NGK Spark Plug Co. Ltd. NRA Expense	(265.95)
09/26/2013	12/03/2013			SMC Corporation NRA Expense	(158.07)
10/01/2013	10/31/2013			Toronto-Dominion Bank NRA Expense	(1,537.59)
12/16/2013	12/19/2013			Safran SA NRA Expense	(4,110.52)
				Total Foreign Taxes Withheld and Reclaims	(103,772.27)
Other Income					
01/07/2013	01/07/2013			Check deposit from Doral Financial Corporation Securities Litigation Class Action Proceeds	133.83
06/10/2013	06/10/2013			Cash and stock merger VMED to LBTYA and LBTYK	160,054.45
06/10/2013	06/10/2013			Cash and stock merger VMED to LBTYA and LBTYK	26,495.55
11/05/2013	11/05/2013			Check deposit from Juniper Networks Securities Settlement - Class Action Proceeds	228.17
				Total Other Income	186,912.00
Cash Deposits					
01/02/2013	01/02/2013			Custody Transfer from Partner	500,000.00
01/02/2013	01/02/2013			Custody Transfer from Partner	26,000.00
01/02/2013	01/02/2013			Custody Transfer from Partner	13,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	170,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	49,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	46,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	249,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	350,000.00

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Deposits (cont'd)					
02/01/2013	02/01/2013			Custody Transfer from Partner	350,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	600,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	100,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	275,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	75,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	341,000.00
02/01/2013	02/01/2013			Incoming Wire from Partner	350,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	350,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	250,000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	60,000.00
03/01/2013	03/01/2013			Incoming Wire from Partner	15,000.00
04/01/2013	04/01/2013			Custody Transfer from Partner	22,000.00
04/01/2013	04/01/2013			Custody Transfer from Partner	350,000.00
04/01/2013	04/01/2013			Custody Transfer from Partner	350,000.00
04/01/2013	04/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	15,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	300,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	300,000.00
05/01/2013	05/01/2013			Custody Transfer from Partner	9,000.00
06/03/2013	06/03/2013			Custody Transfer from Partner	1,500.00
06/03/2013	06/03/2013			Custody Transfer from Partner	6,000.00
06/03/2013	06/03/2013			Custody Transfer from Partner	12,000.00
06/03/2013	06/03/2013			Custody Transfer from Partner	500,000.00
09/03/2013	09/03/2013			Custody Transfer from Partner	11,749.50
09/04/2013	09/04/2013			Custody Transfer from Rockefeller Global Equity II - Principal/Income Transfer - RDS/A reinvestment	50,000.00
10/01/2013	10/01/2013			Incoming Wire from Partner	300,000.00
11/01/2013	11/01/2013			Custody Transfer from Partner	

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Deposits (cont'd)					
				Total Cash Deposits	6,531,249.50
Cash Withdrawals and Payments					
01/15/2013	01/15/2013			Custody Transfer to Partner	(17.30)
01/15/2013	01/15/2013			Custody Transfer to Partner	(416.44)
01/15/2013	01/15/2013			Custody Transfer to Partner	(400.86)
01/15/2013	01/15/2013			Custody Transfer to Partner	(254.38)
01/15/2013	01/15/2013			Custody Transfer to Partner	(934.57)
01/15/2013	01/15/2013			Custody Transfer to Partner	(266.91)
01/15/2013	01/15/2013			Custody Transfer to Partner	(101.97)
01/15/2013	01/15/2013			Custody Transfer to Partner	(3,119.32)
01/15/2013	01/15/2013			Custody Transfer to Partner	(2,020.24)
01/15/2013	01/15/2013			Custody Transfer to Partner	(942.50)
01/15/2013	01/15/2013			Custody Transfer to Partner	(477.53)
01/15/2013	01/15/2013			Custody Transfer to Partner	(213.98)
01/15/2013	01/15/2013			Custody Transfer to Partner	(519.76)
01/15/2013	01/15/2013			Custody Transfer to Partner	(565.37)
01/15/2013	01/15/2013			Custody Transfer to Partner	(513.27)
01/15/2013	01/15/2013			Custody Transfer to Partner	(548.33)
01/15/2013	01/15/2013			Custody Transfer to Partner	(175.37)
01/15/2013	01/15/2013			Custody Transfer to Partner	(92.81)
01/15/2013	01/15/2013			Custody Transfer to Partner	(323.66)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(334.71)
01/15/2013	01/15/2013			Custody Transfer to Partner	(3,253.75)
01/15/2013	01/15/2013			Custody Transfer to Partner	(2,008.63)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1, 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
01/15/2013	01/15/2013			Custody Transfer to Partner	(143.79)
01/15/2013	01/15/2013			Custody Transfer to Partner	(476.15)
01/15/2013	01/15/2013			Custody Transfer to Partner	(777.64)
01/15/2013	01/15/2013			Custody Transfer to Partner	(2,008.18)
01/15/2013	01/15/2013			Custody Transfer to Partner	(489.58)
01/15/2013	01/15/2013			Custody Transfer to Partner	(327.95)
01/15/2013	01/15/2013			Custody Transfer to Partner	(327.95)
01/15/2013	01/15/2013			Custody Transfer to Partner	(327.95)
01/15/2013	01/15/2013			Custody Transfer to Partner	(633.64)
01/15/2013	01/15/2013			Custody Transfer to Partner	(843.97)
01/15/2013	01/15/2013			Custody Transfer to Partner	(1,387.77)
01/15/2013	01/15/2013			Custody Transfer to Partner	(1,561.31)
01/15/2013	01/15/2013			Custody Transfer to Partner	(619.78)
01/15/2013	01/15/2013			Custody Transfer to Partner	(693.98)
01/15/2013	01/15/2013			Custody Transfer to Partner	(115.44)
01/15/2013	01/15/2013			Custody Transfer to Partner	(104.88)
01/15/2013	01/15/2013			Custody Transfer to Partner	(104.69)
01/15/2013	01/15/2013			Custody Transfer to Partner	(374.35)
01/15/2013	01/15/2013			Wire Transfer to Partner	(11,815.75)
01/15/2013	01/15/2013			Wire Transfer to Partner	(342.22)
01/15/2013	01/15/2013			Wire Transfer to Partner	(3,042.57)
01/15/2013	01/15/2013			Wire Transfer to Partner	(238.21)
01/15/2013	01/15/2013			Wire Transfer to Partner	(449.92)
01/15/2013	01/15/2013			Wire Transfer to Partner	(383.32)
01/15/2013	01/15/2013			Wire Transfer to Partner	(55.25)
01/15/2013	01/15/2013			Wire Transfer to Partner	(39.25)
01/15/2013	01/15/2013			Wire Transfer to Partner	(277.04)
01/25/2013	01/25/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(6,229.00)
01/29/2013	01/29/2013			Custody Transfer to Rockefeller & Co. Inc. - Reimbursement for Deloitte Audit Fees	(17,657.40)
01/30/2013	01/30/2013			Custody Transfer to State Street Bank - December 2012 State Street Custody Fees	(1,800.60)
02/01/2013	02/01/2013			Custody Transfer to Partner	(15,000.00)
02/01/2013	02/01/2013			Custody Transfer to Partner	(1,425,000.00)
02/01/2013	02/01/2013			Wire Transfer to Partner	(5,000.00)
02/25/2013	02/25/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(6,563.00)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
03/01/2013	03/01/2013			Custody Transfer to Partner	(1,000.00)
03/01/2013	03/01/2013			Custody Transfer to Partner	(1,000.00)
03/01/2013	03/01/2013			Custody Transfer to Partner	(3,000.00)
03/01/2013	03/01/2013			Custody Transfer to Partner	(15,000.00)
03/21/2013	03/21/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(6,692.00)
04/01/2013	04/01/2013			Custody Transfer to Partner	(259,593.43)
04/01/2013	04/01/2013			Custody Transfer to Partner	(178,333.27)
04/01/2013	04/01/2013			Custody Transfer to Partner	(1,792,792.85)
04/01/2013	04/01/2013			Custody Transfer to Partner	(1,106,740.06)
04/01/2013	04/01/2013			Wire Transfer to Partner	(32,311.98)
04/01/2013	04/01/2013			Wire Transfer to Partner	(19,000.00)
04/01/2013	04/01/2013			Wire Transfer to Partner	(19,000.00)
04/01/2013	04/01/2013			Wire Transfer to Partner	(20,000.00)
04/11/2013	04/11/2013			Custody Transfer to Partner	(122,413.83)
04/11/2013	04/11/2013			Custody Transfer to Partner	(34.00)
04/11/2013	04/11/2013			Custody Transfer to Partner	(818.48)
04/11/2013	04/11/2013			Custody Transfer to Partner	(787.86)
04/11/2013	04/11/2013			Custody Transfer to Partner	(450.31)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,836.81)
04/11/2013	04/11/2013			Custody Transfer to Partner	(524.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(200.42)
04/11/2013	04/11/2013			Custody Transfer to Partner	(6,130.71)
04/11/2013	04/11/2013			Custody Transfer to Partner	(3,967.30)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,849.10)
04/11/2013	04/11/2013			Custody Transfer to Partner	(938.53)
04/11/2013	04/11/2013			Custody Transfer to Partner	(420.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,021.54)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,111.18)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,008.78)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,077.68)
04/11/2013	04/11/2013			Custody Transfer to Partner	(344.68)
04/11/2013	04/11/2013			Custody Transfer to Partner	(182.41)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(657.84)
04/11/2013	04/11/2013			Custody Transfer to Partner	(282.60)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,528.38)
04/11/2013	04/11/2013			Custody Transfer to Partner	(3,946.88)
04/11/2013	04/11/2013			Custody Transfer to Partner	(962.21)
04/11/2013	04/11/2013			Custody Transfer to Partner	(644.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(644.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(644.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,245.35)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,658.73)
04/11/2013	04/11/2013			Custody Transfer to Partner	(2,727.54)
04/11/2013	04/11/2013			Custody Transfer to Partner	(3,068.62)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,218.12)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,363.95)
04/11/2013	04/11/2013			Custody Transfer to Partner	(226.88)
04/11/2013	04/11/2013			Custody Transfer to Partner	(206.13)
04/11/2013	04/11/2013			Custody Transfer to Partner	(205.76)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,742.83)
04/11/2013	04/11/2013			Custody Transfer to Partner	(2,308.36)
04/11/2013	04/11/2013			Custody Transfer to Partner	(2,308.36)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,645.52)
04/11/2013	04/11/2013			Custody Transfer to Partner	(198,296.47)
04/11/2013	04/11/2013			Custody Transfer to Partner	(19,725.01)
04/11/2013	04/11/2013			Custody Transfer to Partner	(28,713.00)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,443.90)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank - February 2013 State Street Custody Fees	(1,553.11)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank - January 2013 State Street Custody Fees	

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
07/17/2013	07/17/2013			Custody Transfer to Partner	(4,180.51)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,948.47)
07/17/2013	07/17/2013			Custody Transfer to Partner	(988.97)
07/17/2013	07/17/2013			Custody Transfer to Partner	(462.48)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,076.44)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,170.90)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,063.00)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,135.60)
07/17/2013	07/17/2013			Custody Transfer to Partner	(363.20)
07/17/2013	07/17/2013			Custody Transfer to Partner	(192.21)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(693.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(297.79)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,610.51)
07/17/2013	07/17/2013			Custody Transfer to Partner	(4,158.98)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,052.59)
07/17/2013	07/17/2013			Custody Transfer to Partner	(730.12)
07/17/2013	07/17/2013			Custody Transfer to Partner	(753.88)
07/17/2013	07/17/2013			Custody Transfer to Partner	(679.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,151.17)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,747.87)
07/17/2013	07/17/2013			Custody Transfer to Partner	(2,759.10)
07/17/2013	07/17/2013			Custody Transfer to Partner	(3,233.52)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,196.31)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,338.67)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
07/17/2013	07/17/2013			Custody Transfer to Partner	(239.07)
07/17/2013	07/17/2013			Custody Transfer to Partner	(217.21)
07/17/2013	07/17/2013			Custody Transfer to Partner	(216.81)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,836.48)
07/17/2013	07/17/2013			Custody Transfer to Partner	(4,606.57)
07/17/2013	07/17/2013			Custody Transfer to Partner	(4,606.57)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,733.95)
07/17/2013	07/17/2013			Wire Transfer to Partner	(775.30)
07/17/2013	07/17/2013			Wire Transfer to Partner	(24,470.70)
07/17/2013	07/17/2013			Wire Transfer to Partner	(824.22)
07/17/2013	07/17/2013			Wire Transfer to Partner	(6,301.24)
07/17/2013	07/17/2013			Wire Transfer to Partner	(597.78)
07/17/2013	07/17/2013			Wire Transfer to Partner	(749.79)
07/17/2013	07/17/2013			Wire Transfer to Partner	(1,001.55)
07/17/2013	07/17/2013			Wire Transfer to Partner	(114.43)
07/17/2013	07/17/2013			Wire Transfer to Partner	(81.29)
07/17/2013	07/17/2013			Wire Transfer to Partner	(573.76)
07/23/2013	07/23/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(6,798.00)
08/01/2013	08/01/2013			Custody Transfer to Partner	(4,500.00)
08/01/2013	08/01/2013			Custody Transfer to Partner	(16,000.00)
08/09/2013	08/09/2013			Custody Transfer to State Street Bank - June 2013 State Street Custody Fees	(1,418.27)
08/21/2013	08/21/2013			Custody Transfer to Rockefeller & Co Inc. - Administration Fee (8211/1)	(7,162.00)
09/03/2013	09/03/2013			Custody Transfer to State Street Bank - July 2013 State Street Custody Fees	(1,518.03)
09/04/2013	09/04/2013			Custody Transfer to Rockefeller Global Equity II Principal/Income Transfer RDS/A reinvestment	(11,749.50)
09/23/2013	09/23/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(7,115.00)
10/01/2013	10/01/2013			Custody Transfer to Partner	(823,872.15)
10/01/2013	10/01/2013			Custody Transfer to Partner	(965,534.12)
10/01/2013	10/01/2013			Wire Transfer to Partner	(1,235,000.00)
10/14/2013	10/14/2013			Custody Transfer to Partner	(91,533.23)
10/14/2013	10/14/2013			Custody Transfer to Partner	(107,272.06)
10/16/2013	10/16/2013			Custody Transfer to State Street Bank - August 2013 State Street Custody Fees	(1,421.94)
10/18/2013	10/18/2013			Custody Transfer to Partner	(25.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(608.76)
10/18/2013	10/18/2013			Custody Transfer to Partner	(585.99)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
10/18/2013	10/18/2013			Custody Transfer to Partner	(288.56)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1,366.17)
10/18/2013	10/18/2013			Custody Transfer to Partner	(410.65)
10/18/2013	10/18/2013			Custody Transfer to Partner	(152.48)
10/18/2013	10/18/2013			Custody Transfer to Partner	(4,559.88)
10/18/2013	10/18/2013			Custody Transfer to Partner	(2,940.81)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1 375.32)
10/18/2013	10/18/2013			Custody Transfer to Partner	(698.06)
10/18/2013	10/18/2013			Custody Transfer to Partner	(326.44)
10/18/2013	10/18/2013			Custody Transfer to Partner	(759.80)
10/18/2013	10/18/2013			Custody Transfer to Partner	(826.47)
10/18/2013	10/18/2013			Custody Transfer to Partner	(750.31)
10/18/2013	10/18/2013			Custody Transfer to Partner	(601.56)
10/18/2013	10/18/2013			Custody Transfer to Partner	(256.37)
10/18/2013	10/18/2013			Custody Transfer to Partner	(135.67)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(489.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(210.19)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1,136.77)
10/18/2013	10/18/2013			Custody Transfer to Partner	(2,935.59)
10/18/2013	10/18/2013			Custody Transfer to Partner	(742.96)
10/18/2013	10/18/2013			Custody Transfer to Partner	(515.35)
10/18/2013	10/18/2013			Custody Transfer to Partner	(532.12)
10/18/2013	10/18/2013			Custody Transfer to Partner	(479.40)
10/18/2013	10/18/2013			Custody Transfer to Partner	(812.55)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
10/18/2013	10/18/2013			Custody Transfer to Partner	(1,233.72)
10/18/2013	10/18/2013			Custody Transfer to Partner	(844.41)
10/18/2013	10/18/2013			Custody Transfer to Partner	(944.89)
10/18/2013	10/18/2013			Custody Transfer to Partner	(168.75)
10/18/2013	10/18/2013			Custody Transfer to Partner	(153.32)
10/18/2013	10/18/2013			Custody Transfer to Partner	(153.04)
10/18/2013	10/18/2013			Custody Transfer to Partner	(2,413.38)
10/18/2013	10/18/2013			Custody Transfer to Partner	(3,251.52)
10/18/2013	10/18/2013			Custody Transfer to Partner	(3,251.52)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1,223.90)
10/18/2013	10/18/2013			Wire Transfer to Partner	(547.24)
10/18/2013	10/18/2013			Wire Transfer to Partner	(17,272.50)
10/18/2013	10/18/2013			Wire Transfer to Partner	(581.77)
10/18/2013	10/18/2013			Wire Transfer to Partner	(4,447.70)
10/18/2013	10/18/2013			Wire Transfer to Partner	(421.94)
10/18/2013	10/18/2013			Wire Transfer to Partner	(413.31)
10/18/2013	10/18/2013			Wire Transfer to Partner	(706.94)
10/18/2013	10/18/2013			Wire Transfer to Partner	(80.77)
10/18/2013	10/18/2013			Wire Transfer to Partner	(57.37)
10/18/2013	10/18/2013			Wire Transfer to Partner	(404.99)
10/25/2013	10/25/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(7,096.00)
10/31/2013	10/31/2013			Custody Transfer to State Street Bank - September 2013 State Street Custody Fees	(1,746.49)
11/01/2013	11/01/2013			Custody Transfer to Partner	(1,000.00)
11/01/2013	11/01/2013			Custody Transfer to Partner	(38,000.00)
11/01/2013	11/01/2013			Wire Transfer to Partner	(75,000.00)
11/21/2013	11/21/2013			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(7,337.00)
12/02/2013	12/02/2013			Custody Transfer to Partner	(10,000.00)
12/02/2013	12/02/2013			Custody Transfer to Partner	(11,476.18)
12/02/2013	12/02/2013			Wire Transfer to Partner	(50,000.00)
12/12/2013	12/12/2013			Custody Transfer to Rockefeller & Co. Inc. - Reimbursement for Deloitte Audit Fees	(11,609.59)
12/13/2013	12/13/2013			Custody Transfer to Partner	(1,275.24)
12/18/2013	12/18/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(7,565.00)
12/30/2013	12/30/2013			Custody Transfer to State Street Bank - October 2013 State Street Custody Fees	(1,792.25)
				Total Cash Withdrawals and Payments	(9,412,441.16)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Fees					
01/25/2013	01/25/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(33,369.00)
02/25/2013	02/25/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(35,159.00)
03/21/2013	03/21/2013			Custody Transfer to Rockefeller & Co. Inc. - Investment Management Fee (8211/1)	(35,853.00)
04/25/2013	04/25/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(34,520.00)
05/24/2013	05/24/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(35,972.00)
06/17/2013	06/17/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(36,979.00)
07/23/2013	07/23/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(36,420.00)
08/21/2013	08/21/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(38,367.00)
09/23/2013	09/23/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(38,118.00)
09/24/2013	09/24/2013			Custody Transfer to Rockefeller & Co. Inc. Reimbursement for 2012 Deloitte audit fees	(298.93)
10/25/2013	10/25/2013			Custody Transfer to Rockefeller & Co. Inc. - Investment Management Fee (8211/1)	(38,016.00)
11/21/2013	11/21/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(39,303.00)
12/18/2013	12/18/2013			Custody Transfer to Rockefeller & Co. Inc. Investment Management Fee (8211/1)	(40,527.00)
				Total Fees	(442,901.93)
Ending Cash Balance					138,675.77
Adjustment for transactions not converted to USD					748,152.21
Ending Cash Balance					886,827.98

Non Cash Transactions

Non Cash Additions				
03/11/2013	03/11/2013	3,784		Rights Distribution - 3,784 shares of Ophir Energy Plc - Nil Paid Rt (Market Value = $9,786.50)-Rights Distribution from OPHR LN to OPHN LN
05/28/2013	05/28/2013	58,350		Rights Distribution - 58,349.5000 shares of PICC Prop & Casualty Co - Rts (Market Value = $29,454.14)-Rights Distribution from 2328 HK to 2328RT HK
06/10/2013	06/10/2013	2,055		Transfer from Related Account - 2,055.2480 shares of Liberty Global, PLC. - Ser C (Market Value = $145,038.85)
06/10/2013	06/10/2013	2,752		Transfer from Related Account - 2,752.4120 shares of Liberty Global PLC - A (Market Value = $207,397.68)
Non Cash Withdrawals				
06/10/2013	06/10/2013	10,660		Transfer to Related Account - 10,660 shares of Virgin Media Inc. (Market Value = $378,932.09)
Mergers, Stock Splits, Distributions				
06/24/2013	06/24/2013	17,400	1.00	Merger From - 17,400 shares of Murata Manufacturing Osaka (Market Value = $1,322,739.16)-Merger from 6981 JO to 6981 JP
06/24/2013	06/24/2013	2,800	1.00	Merger From - 2,800 shares of SMC Corporation, Tokyo (Market Value = $575,080.79)-Merger from 6273 JT to 6273 JP

* Prior period activity recorded in the current period

US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Mergers, Stock Splits, Distributions (cont'd)					
06/24/2013	06/24/2013	29,000	1.00	Merger From - 29,000 shares of NGK Spark Plug Co. Ltd. Tokyo (Market Value = $598,892.03)-Merger from 5334 JT to 5334 JP	
06/24/2013	06/24/2013	17,400		Merger To - 17,400 shares of Murata Manufacturing Company, (Market Value = $1,322,739.16)-Merger from 6981 JO to 6981 JP	
06/24/2013	06/24/2013	2,800		Merger To - 2,800 shares of SMC Corporation (Market Value = $575,080.79)-Merger from 6273 JT to 6273 JP	
06/24/2013	06/24/2013	29,000		Merger To - 29,000 shares of NGK Spark Plug Co. Ltd. (Market Value = $598,892.03)-Merger from 5334 JT to 5334 JP	
07/01/2013	07/01/2013	1,574		Spin-Off - 1,573.7500 shares of Mallinkrodt PLC (Market Value = $71,495.48)-Spin-Off from COV to MNK	
07/03/2013	07/03/2013	8,880	1.00	Merger From - 8,880 shares of Mallinckrodt PLC- W/I (Market Value = $375,268.80)-Merger from MNK-W to MNK	
07/03/2013	07/03/2013	8,880		Merger To - 8,880 shares of Mallinckrodt PLC (Market Value = $375,268.80)-Merger from MNK-W to MNK	

* Prior period activity recorded in the current period ** US dollar equivalent of transaction on trade date (not converted to USD)

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Cash and Cash Equivalents								
Cash			886,827.98	886,827.98	0.00	1.33	0.00	0
Securities								
Equity								
North America								
Aflac, Inc.	14,860	66.80	616,718.06	992,648.00	375,929.94	1.49	2.22	21,993
Alexion Pharmaceuticals, Inc.	3,080	132.88	71,147.21	409,282.72	338,135.51	0.62	0.00	0
Anadarko Petroleum Corporation	11,340	79.32	651,791.63	899,488.80	247,697.17	1.35	0.91	8,165
Apache Corporation	11,390	85.94	921,231.60	978,856.60	57,625.00	1.47	0.93	9,112
Baker Hughes Incorporated	14,600	55.26	629,071.00	806,796.00	177,725.00	1.21	1.09	8,760
BioMarin Pharmaceutical Inc.	7,690	70.35	152,784.48	540,991.50	388,207.02	0.81	0.00	0
Capital One Financial Corp.	9,900	76.61	543,930.57	758,439.00	214,508.43	1.14	1.57	11,880
CareFusion Corporation	27,500	39.82	567,740.27	1,095,050.00	527,309.73	1.65	0.00	0
Chevron Corporation	8,512	124.91	527,496.13	1,063,233.92	535,737.79	1.60	3.20	34,048
Coach, Inc.	16,430	56.13	887,714.74	922,215.90	34,501.16	1.39	2.41	22,181
Comcast Corporation - Cl. A	13,076	51.97	484,957.95	679,494.34	194,536.39	1.02	1.50	10,199
Comerica Incorporated	10,880	47.54	402,908.69	517,235.20	114,326.51	0.78	1.43	7,398
Continental Resources, Inc.	8,780	112.52	594,184.58	987,925.60	393,741.02	1.48	0.00	0
Delphi Automotive PLC	19,090	60.13	625,903.27	1,147,881.70	521,978.43	1.72	1.13	12,981
Dover Corp.	7,880	96.54	485,820.99	760,735.20	274,914.21	1.14	1.55	11,820
Expedia, Inc.	12,410	69.66	752,788.76	864,480.60	111,691.84	1.30	0.86	7,446
Goldman Sachs Group, Inc.	3,870	177.26	409,026.25	685,996.20	276,969.95	1.03	1.24	8,514
Google Inc - Class A	2,154	1,120.71	1,151,565.44	2,414,009.34	1,262,443.90	3.63	0.00	0
Honeywell Inc.	15,890	91.37	582,512.34	1,451,869.30	869,356.96	2.18	1.97	28,602
Incyte Corporation	9,590	50.63	388,901.88	485,541.70	96,639.82	0.73	0.00	0
J.P. Morgan Chase & Co.	28,720	58.48	981,729.98	1,679,545.60	697,815.62	2.52	2.60	43,654
Mastercard Inc - Class A	1,424	835.46	609,323.82	1,189,695.04	580,371.22	1.79	0.53	6,266
Merck & Co. Inc.	22,080	50.05	909,637.08	1,105,104.00	195,466.92	1.66	3.52	38,861
Microsoft Corp.	49,378	37.41	1,209,750.40	1,847,230.98	637,480.58	2.78	2.99	55,303
NetApp, Inc.	15,010	41.14	508,000.93	617,511.40	109,510.47	0.93	1.46	9,006
Oceaneering International, Inc	6,620	78.88	189,661.20	522,185.60	332,524.40	0.78	1.12	5,826

Settled cash is invested in State St Instl. US Govt Mmkt, yield is estimated

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Oracle Corporation	19,180	38.26	550,391.03	733,826.80	183,435.77	1.10	1.25	9,206
Qualcomm Inc.	13,220	74.25	500,575.80	981,585.00	481,009.20	1.48	1.89	18,508
Regeneron Pharmaceuticals	1,310	275.24	222,683.54	360,564.40	137,880.86	0.54	0.00	0
Reinsurance Group of America, Inc.	13,415	77.41	857,454.86	1,038,455.15	181,000.29	1.56	1.55	16,098
Royal Caribbean Cruises Ltd.	32,620	47.42	1,000,536.64	1,546,840.40	546,303.76	2.32	2.11	32,620
Seattle Genetics, Inc.	9,500	39.89	275,097.31	378,955.00	103,857.69	0.57	0.00	0
St. Jude Medical	14,060	61.95	787,846.61	871,017.00	83,170.39	1.31	1.61	14,060
Toronto-Dominion Bank	12,240	94.24	913,519.28	1,153,497.60	239,978.32	1.73	3.42	39,413
United Continental Holdings Inc.	18,280	37.83	643,315.42	691,532.40	48,216.98	1.04	0.00	0
UnitedHealth Group Inc.	16,230	75.30	966,294.20	1,222,119.00	255,824.80	1.84	1.49	18,178
Wal-Mart Stores, Inc.	14,996	78.69	705,574.81	1,180,035.24	474,460.43	1.77	2.39	28,192
Wells Fargo Company	28,310	45.40	884,922.09	1,285,274.00	400,351.91	1.93	2.64	33,972
Yum! Brands, Inc.	10,104	75.61	406,305.61	763,963.44	357,657.83	1.15	1.96	14,954
Total North America			24,570,816.45	37,631,109.67	13,060,293.22	56.55	1.56	587,216
United Kingdom								
Centrica plc	209,030	5.76	846,234.53	1,203,506.06	357,271.53	1.81	3.74	44,997
Johnson Matthey PLC	12,855	54.31	339,422.77	698,201.69	358,778.92	1.05	1.77	12,346
Prudential plc	42,180	22.19	425,479.10	935,936.41	510,457.31	1.41	0.00	0
Rio Tinto plc - Spon ADR	18,350	56.43	969,682.15	1,035,490.50	65,808.35	1.56	3.12	32,296
Royal Dutch Shell PLC-ADR A	12,944	71.27	691,644.50	922,518.88	230,874.38	1.39	4.29	39,609
Smiths Group plc	34,484	24.51	545,366.44	845,112.10	299,745.66	1.27	2.64	22,270
Tullow Oil plc	34,990	14.16	562,274.50	495,387.48	(66,887.02)	0.74	1.40	6,953
Total United Kingdom			4,380,103.99	6,136,153.12	1,756,049.13	9.22	2.58	158,471
Europe ex United Kingdom								
Boskalis Westminster - CVA	10,996	52.93	328,697.91	582,003.00	253,305.09	0.87	3.23	18,791
DnB Holding ASA	44,380	17.88	750,297.56	793,587.98	43,290.42	1.19	1.94	15,360
ING Groep N.V.	103,040	13.92	1,009,679.38	1,434,266.81	424,587.43	2.16	0.00	0
Mallinckrodt PLC	11,463	52.26	473,886.81	599 056.38	125,169.57	0.90	0.00	0
Novartis AG - ADR	19,081	80.38	981,795.85	1,533,730.78	551,934.93	2.30	2.55	39,116
Roche Holdings AG	4,030	280.26	692,363.81	1 129,440.61	437,076.80	1.70	2.95	33,312
Safran SA	20,910	69.61	598,765.78	1,455,573.46	856,807.68	2.19	2.24	32,564

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Subsea 7 SA	32,470	19.13	598,958.19	621,287.41	22,329.22	0.93	0.52	3,211
SwedBank AB	30,010	28.18	313,325.48	845,807.56	532,482.08	1.27	5.47	46,262
Total Europe ex United Kingdom			5,747,770.77	8,994,753.99	3,246,983.22	13.52	2.10	188,616
Japan								
Amada Co. Ltd.	112,000	8.82	815,111.22	987,859.18	172,747.96	1.48	1.51	14,919
Murata Manufacturing Company, Ltd.	16,700	88.87	985,628.84	1,484,091.34	498,462.50	2.23	1.28	19,068
NGK Spark Plug Co., Ltd.	29,000	23.69	438,243.10	687,059.94	248,816.84	1.03	1.04	7,174
SMC Corporation	2,800	252.14	510,197.95	705,994.29	195,796.34	1.06	0.60	4,263
Total Japan			2,749,181.11	3,865,004.75	1,115,823.64	5.81	1.18	45,423
Asia ex Japan								
China Mobile (Hong Kong) Limited Sp ADR	28,130	52.29	1,283,178.02	1,470,917.70	187,739.68	2.21	3.84	56,541
Wynn Macau, Limited	108,660	4.53	219,368.18	492,587.33	273,219.15	0.74	0.00	0
Total Asia ex Japan			1,502,546.20	1,963,505.03	460,958.83	2.95	2.88	56,541
Emerging Markets Europe								
Sberbank - Sponsored ADR	52,280	12.58	639,838.65	657,682.40	17,843.75	0.99	1.91	12,547
Emerging Markets Asia								
Ctrip.com International - ADR	10,060	49.62	485,600.58	499,177.20	13,576.62	0.75	0.00	0
Hyundai Motor Co., Ltd. 2nd Preferred	7,130	124.08	544,661.36	884,691.08	340,029.72	1.33	1.53	13,558
Hyundai Motor Company Ltd - PFD	2,100	118.85	129,705.48	249,586.40	119,880.92	0.38	1.56	3,894
Kalbe Farma TBK PT	1,814,000	0.10	273,944.90	186,395.40	(87,549.50)	0.28	1.52	2,833
Korea Electric Power Corporation (KEPCO)	41,910	33.04	1,039,230.63	1,384,726.74	345,496.11	2.08	0.00	0
PICC Property and Casualty Company Ltd	614,450	1.48	804,738.87	911,323.55	106,584.68	1.37	2.61	23,774
Samsung Electronics Co. Ltd Pfd	1,124	963.17	669,360.41	1,082,598.36	413,237.95	1.63	0.79	8,603
Semen Gresik (Persero) Tbk	214,500	1.16	222,818.02	249,500.62	26,682.60	0.37	2.60	6,483
Total Emerging Markets Asia			4,170,060.25	5,447,999.35	1,277,939.10	8.19	1.09	59,145
Emerging Markets Latin America								
Arcos Dorados Holdings, Inc.	19,740	12.12	246,310.68	239,248.80	(7,061.88)	0.36	1.90	4,540
Copa Holdings SA Class A	4,295	160.11	598,518.56	687,672.45	89,153.89	1.03	1.82	12,541
Total Emerging Markets Latin America			844,829.24	926,921.25	82,092.01	1.39	1.84	17,082
Total Equity			44,605,146.66	65,623,129.56	21,017,982.90	98.61	1.71	1,125,042
Total Securities			44,605,146.66	65,623,129.56	21,017,982.90	98.61	1.71	1,125,042

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1)

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Other Assets								
Accounts Payable - Audit Fees			(26,012.66)	(26,012.66)	0.00	(0.04)		
Accounts Payable - Custody Fees			(2,501.70)	(2,501.70)	0.00	0.00		
Accrued Dividends Receivable			65,428.98	65,428.98	0.00	0.10		
Div Receivable - F/X Value Adjustment			0.00	82.00	82.00	0.00		
Total Other Assets			36,914.62	36,996.62	82.00	0.06	0.00	0
Total Account:			45,528,889.26	66,546,954.16	21,018,064.90	100.00	1.69	1,125,042