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700 13th Street, NW
Suite 600
Washington, DC 20005-3960
+1.202.654.6200
+1.202.654.6211
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August 13, 2018

Marc Erik Elias
MElias@perkinscoie.com
D. +1.202.434.1609
F. +1.202.654.9126

Secretary of the Senate
Office of Public Records
232 Hart Senate Building
Washington, DC 20510

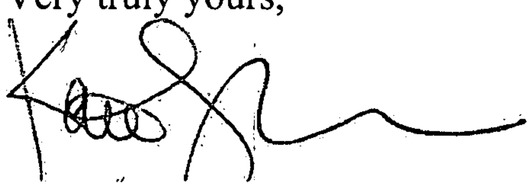
Re: Senator Richard Blumenthal

Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find an amended Part IIIB (with footnotes) and Part I to his annual Financial Disclosure Report for calendar year 2016. The amendment is based on K-1 forms and other information received after the original report was filed.

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

Very truly yours,



Marc Elias
Kate Sawyer Keane
Counsel to Senator Richard Blumenthal

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Reporting Individual's Name	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number
Richard Blumenthal		1

Report the source (name and address), date, and amount of any payment from each source to a charitable organization made in lieu of honoraria to you during the reporting period Identify the activity (speech, article, or appearance), which generated the payment. For further information, see Instructions.

Note: Travel expenses in excess of $335 related to activities giving rise to these payments must be reported in Part VI, Reimbursements.

	Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
Example:	*3/26/1X*	*Association of American Associations*	*Wash., DC* **EXAMPLE**	*Speech* **EXAMPLE**	*$1,000*
	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	2/6/16	Ronnie, Michael & Lisa Wiederlight, payment to Temple Beth El Of Stamford- 2016 'Temple Rock' Benefit Event	Stamford, CT	Appearance	$2000.00
2	2/6/16	Catherine Rissigo-Wicklnie, Amy Cronk, Tina Rhodes & Erin Senior, payment to Saint Mary's Hospital Foundation 25th Annual Gala	Watertown, CT	Appearance	$600.00
3	2/27/16	Eric, Amy, Beverly & Sylvia Freidenrich, payment to United Way of Western CT 3rd Annual Hometown Heroes Benefit Gala	Ridgefield, CT	Appearance	$2000.00
4	2/27/16	Eric, Gigi, Emily & Molly Christel, payment to United Way of Western CT 3rd Annual Hometown Heroes Benefit Gala	Ridgefield, CT	Appearance	$2000.00
5	3/12/16	Jay & Ellen Borker, payment to Jewish Community Center of Stamford 2016 Gala	Greenwich, CT	Appearance	$2000.00
6	3/19/16	Linda DeCarlo, payment to Bridgeport Firefighters "United For Recovery' 2016 Burn Center Benefit Event	Stratford, CT	Appearance	$500.00
7	4/2/16	Joseph Pompei & Ellen Ulrich, payment to Protectors of Animals 2016 Gala Benefit	Bloomfield, CT	Appearance	$500.00
8	4/3/16	David & Adam Boczar; Steve & Zac Gormley, payment to Congregation Beth El 2016 Spring Silent Auction Benefit	Easton, CT	Appearance	$500.00
9	4/8/16	Stephanie Schnabel, Brian, Katie & Kristy Keil, payment to Greenwich YWCA 2016 Persimmon Ball	Greenwich, CT	Appearance	$1200.00
10	4/8/16	Jonah, Glori, Richard, Adam & Ella Norwitt, payment to Women's Center of Danbury 2016 Benefit Gala	Ridgefield, CT	Appearance	$900.00
11	4/16/16	Gail Brekke & Jim Vlock, payment to University of New Haven 33rd Annual Alumni Scholarship Ball	Branford, CT	Appearance	$2000.00
12	4/16/16	Dona, Dennis, Douglas, Susan & Sydney McGough, payment to University of New Haven 33rd Annual Alumni Scholarship Ball	Gettysburg, PA	Appearance	$2000.00
13	4/16/16	Karen & David Peterson, payment to University of New Haven 33rd Annual Alumni Scholarship Ball	Coral Springs, FL	Appearance	$2000.00
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A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

Reporting Individual's Name	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number
Richard Blumenthal		2

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	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	4/16/16	Dr. Henry Lee, payment to University of New Haven 33rd Annual Alumni Scholarship Ball	Brandford, CT	Appearance	$2000.00
2	4/16/16	Daniel H. Deng, payment to University of New Haven 33rd Annual Alumni Scholarship Ball	San Marino, CA	Appearance	$2000.00
3	4/29/16	Rod Rodriguez, payment to Alzheimer's Association CT Chapter 2016 'Celebrating Hope' Gala	Fairfield, CT	Appearance	$500.00
4	5/1/16	Michael, Susan, Lauren & Crickett Safko, payment to Visiting Nurse & Hospice of Fairfield County 2016 'Magic of May' Benefit Event	Wilton, CT	Appearance	$500.00
5	5/10/16	Kate Osman, payment to Child Advocates of Connecticut Inc. 2016 Love Luncheon	Greenwich, CT	Appearance	$800.00
6	5/10/16	Ann Woodward, payment to Child Advocates of Connecticut Inc. 2016 Love Luncheon	Greenwich, CT	Appearance	$750.00
7	5/14/16	Teru, Alex, James, Charles & Victoria Clavel, Sachiko Goodman & Yukiko Suzuki, payment to Bruce Museum 2016 Benefit Gala	Greenwich, CT	Appearance	$2000.00
8	5/14/16	Michael Kovner, Jean Doyen de Montaillou, William Blundin & Kyle Kahriman , payment to Bruce Museum 2016 Benefit Gala	Greenwich, CT	Appearance	$2000.00
9	5/15/16	Wendy, Jordan, Simon, Sophie & Ian Handler, payment to Jewish Family Service of Stamford 2016 Annual 'Evening with JFS' Benefit Event	Stamford, CT	Appearance	$1700.00
10	5/15/16	Caryl, Peter, Ariel & Rebecca Poser, Stephen Bedick, Adam Poser, Alex Collins, Stacy Perber & Sam Appel, payment to Jewish Family Service of Stamford 2016 Annual 'Evening with JFS' Benefit Even	Stamford, CT	Appearance	$1700.00
11	5/16/16	Theodore, Regina, Elizabeth & Theodore II Bobroske, payment to Fairfield College Preparatory School 2016 Spring Auction	Easton, CT	Appearance	$2000.00
12	5/16/16	Mark Cirilli, payment to Fairfield College Preparatory School 2016 Spring Auction	Fairfield, CT	Appearance	$2000.00
13	6/25/16	Michael & Nisha Kumar Behringer, payment to Greenwich Hospital 2016 'Under The Stars' Benefit Event	Riverside, CT	Appearance	$2000.00
14	6/25/16	Tracy Freedman, payment to Greenwich Hospital 2016 'Under The Stars' Benefit Event	Greenwich, CT	Appearance	$2000.00

A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

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Reporting Individual's Name	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number
Richard Blumenthal		3

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Example:	*3/26/1X*	*Association of American Associations*	*Wash., DC* **EXAMPLE**	*Speech* **EXAMPLE**	*$1,000*
	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	6/25/16	Rita Roure, Anthony T., Anthony C & Adirana Bozza, payment to Greenwich Hospital 2016 'Under The Stars' Benefit Event	Greenwich, CT	Appearance	$2000.00
2	6/25/16	Dan Heflin, payment to Greenwich Hospital 2016 'Under The Stars' Benefit Event	Riverside, CT	Appearance	$2000.00
3	7/9/16	Alison & Charlie Leigh, payment to Greenwich Point Conservancy 2016 Beach Ball	Old Greenwich, CT	Appearance	$2000.00
4	9/25/16	Gretchen, Dave, Samantha, Preston & Lincoln Johnson, payment to At Home In Greenwich 2016 Annual Cabaret Fundraiser	Old Greenwich, CT	Appearance	$1300.00
5	10/15/16	Hua Sally Zhang, Anyi & Dushyant Sharma, payment to India Cultural Center of Greenwich 2016 Annual Gala	Greenwich, CT	Appearance	$2000.00
6	10/15/16	Uma, Sunil, Ashton & Scarlett Reddy, payment to India Cultural Center of Greenwich 2016 Annual Gala	Greenwich, CT	Appearance	$2000.00
7	10/15/16	Ogla & William Adler, Amy Kule & Gail Candlin, payment to India Cultural Center of Greenwich 2016 Annual Gala	Westport, CT	Appearance	$2000.00
8	11/4/16	Chandler Howard, payment to Channel 3 Kids Camp 40th Anniversary Gala	Middletown, CT	Appearance	$2000.00
9	11/4/16	Christopher Regan, payment to Channel 3 Kids Camp 40th Anniversary Gala	Groton, CT	Appearance	$2000.00
10	11/6/16	Ron Garfunkel & Sande Breakstone, payment to Housatonic Valley Association 2016 Annual Benefit Auction	Washington Depot, CT	Appearance	$2000.00
11	11/6/16	Graydon & Anna Carter, payment to Housatonic Valley Association 2016 Annual Benefit Auction	Roxbury, CT	Appearance	$2000.00
12	11/12/16	Debra, Glen, Jeffrey, & Lauren Greenberg, payment to Connecticut Children's Medical Center 20th Anniversary Gala	Palm Beach Gardens, FL	Appearance	$2000.00
13	11/12/16	Martin Gavin, payment to Connecticut Children's Medical Center 20th Anniversary Gala	Avon, CT	Appearance	$2000.00
14					

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Reporting Individual's Name	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number
Richard Blumenthal		4

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Example:	*3/26/1X*	*Association of American Associations*	*Wash., DC* **EXAMPLE**	*Speech* **EXAMPLE**	*$1,000*
	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	11/13/16	Shoshana Dweck, payment to Bi-Cultural Day School 2016 Annual Auction Benefit Event	Armonk, NY	Appearance	$2000.00
2	11/15/16	James Wood, payment to Boy Scouts Troop 34, Bridgeport	Fairfield, CT	Appearance	$90.00
3	11/19/16	Eileen Silva, payment to Villa Maria School 'Jeans and Jerseys' 2016 Annual Benefit Event	New Canaan, CT	Appearance	$900.00
4	11/19/16	Kamie, Rich, Phoebe & Carter Lightburn, payment to Greenwich Hospital 2016 Fall Gala	New York, NY	Appearance	$2000.00
5	11/19/16	Patricia & John Chadwick, payment to Greenwich Hospital 2016 Fall Gala	Old Greenwich, CT	Appearance	$2000.00
6	12/3/16	Lisa, Emmet & Jeff Manheim, payment to Carmel Academy 2016 Auction Benefit Event	Stamford, CT	Appearance	$600.00
7	4/6/16	Miriamne DeMarrais, Mariana Servin & Helena Servin-DeMarrais, payment to Planned Parenthood of Southern New England 2016 Benefit Lunch and Auction	Westport, CT	Appearance	$20.00
8	10/15/16	Steven Nezas, payment to Lockwood-Matthews Mansion Museum's 50th Anniversary Gala	Norwalk, CT	Appearance	$50.00
9	11/13/16	Alan & Peggy Kalter, payment to Bi-Cultural Day School 2016 Annual Auction Benefit Event	Stamford, CT	Appearance	$2000.00
10	1/30/16	Eric Steinmann, payment to Temple Sholom Centennial (100th) Anniversary Gala	Wrightwood, CA	Appearance	$650.00
11					
12					
13					
14					

A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

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 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")
S	1	**3 M'S PARTNERS** c/o Malkin Holdings LLC - New York, NY:																																
S	2	JP Morgan - Cash & Sweep Account - Newark, DE (19)						x							x		x							x										
S	3	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x											x				
S	4	Eton Park Fund, LP - Hedge Fund - New York, NY		x															x				x											
S	5	**NEW THINGS PARTNERS LLC** c/o Malkin Holdings LLC - New York, NY:																																
S	6	JP Morgan - Cash & Sweep Account - Newark, DE		x																			x											
S	7	**AAM Partners LLC** c/o Malkin Holdings LLC - New York, NY:																																
S	8	*JP Morgan - Cash & Sweep Account - Newark, DE (19)*			x																		x											
S	9	*First Republic Bank (FRC - NYSE) - Stock- New York, NY*				x									x									x										
S	10	*3G Kraft Heinz Company Holdings - Private Equity - New York, NY (4)*					x												x					x										
S	11	*3G Restaurant Brands Holdings LP - Private Equity - New York, NY*					x												x						x									
S	12	*3G Special Situations Fund IV, LP - Private Equity - New York, NY*				x													x				x											
S	13	*AIM Midstream, LLC - Private Equity - New York, NY*			x														x							x								
S	14	*Aisling Capital II, LP - Private Equity - New York, NY*		x															x				x											
S	15	*Aisling Capital III, LP - Private Equity - New York, NY*		x															x					x										
S	16	AEA Mezzanine Fund LP - Private Equity - New York, NY		x															x				x											
S	17	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)		x														x							x									
S	18	Tinicum Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)		x																			x											
S	19	**OTHER ONE LLC** c/o Malkin Holdings LLC - New York, NY																																
S	20	JP Morgan - Cash & Sweep Account - Newark, DE						x							x		x							x										
S	21	Malkin Capital Fund, LP (FKA Kinrose Fund) - Hedge Fund - New York, NY (3) (17)						x															x											
S	22	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA						x											x				x											
S	23	**RCB Investment Partners LLC - Partnership - New York, NY:**																																
S	24	State Street Bank & Trust Co. - New York, NY (9)								x					x		x	x										x						
S	25	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (less than .7 of 1%)			x										x			x								x								
S	26	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (less than .10 of 1%)				x									x			x									x							

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	27	**PETER L. MALKIN FAMILY 9 LLC c/o Malkin Holdings LLC, New York, NY**																																
S	28	JP Morgan - Cash & Sweep Account - Newark, DE								x					x		x									x								
S	29	JP Morgan - Savings Account - Newark, DE	x														x							x										
S	30	JP Morgan - BRL Currency - Newark, DE (1)	x															x						x										
S	31	BTG Pactual Master Cash - BRL Currency - Sao Paulo, Brasil (1) (11)		x																		x												
S	32	Fine Troy Ounces of Allocated Gold - Held at JP Morgan (14)					x															x												
S	33	BR Properties S.A. - Real Estate - San Paulo, Brazil - Public Company (Stock)					x															x												
S	34	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY								x					x												x							
S	35	Golub BDC Inc. - (GBDC - NASDAQ) - Public Company - Stock - New York, NY				x									x											x								
S	36	Brazilian Zero Coupon Passthrough Notes - Fixed Income - Brazil (1) (2)	x														x										x							
S	37	BTG Pactual Master Cash Fixed Income - SELIC LFT - Sao Paulo, Brasil (1) (11)							x													x												
S	38	**3 M'S PARTNERS c/o Malkin Holdings LLC - New York, NY:**																																
S	39	*JP Morgan - Cash & Sweep Account - Newark, DE*							x						x		x							x										
S	40	*Blue Ridge Limited Partnership - Hedge Fund - New York, NY*								x									x											x				
S	41	*Eton Park Fund, LP - Hedge Fund - New York, NY*		x															x			x												
S	42	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x											x				
S	43	Consonance Capital Investors, LP - Hedge Fund - New York, NY						x											x									x						
S	44	Falcon Edge Global LP - Hedge Fund - New York, NY (3)				x																x												
S	45	O-Cap Partners LP - Hedge Fund - New York, NY					x												x			x												
S	46	Malkin Capital Fund, LP (FKA Kinrose Fund) - Hedge Fund - New York, NY (3) (17) (18)								x												x												
S	47	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ		x															x			x												
S	48	Steadview Capital Partners LP - Hedge Fund - Hong Kong (3)							x													x												
S	49	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								x									x			x												
S	50	2006 Special Global Opportunities LLC - Private Equity New York, NY (3)			x																	x												
S	51	FIP Iron - Private Equity - San Paulo, Brazil (3) (11)		x																		x												
S	52	*BTG Pactual – Estre Pedreira (Iron Fundo De Investimento) - Environmental Waste Management Initiative - San Paulo, Brazil*																																

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	53	BTG Pactual Brazil Investment Fund I - Private Equity - San Paulo, Brazil (3)				x																	x											
S	54	*Bodytech - Rio de Janeiro, Brazil - Fitness centers*																																
S	55	*Brasil Brokers S.A. - San Paulo, Brazil - Real Estate Brokerage & Consulting Firm*																																
S	56	*Brasil Pharma S.A. - San Paulo, Brazil - Drugstore chain*																																
S	57	*Bravante - Rio de Janeiro, Brazil - Maritime Support services*																																
S	58	*CCRR Participacoes SA - San Paulo, Brazil - Specialty paper, labels, & adhesives*																																
S	59	*Deep See Supply Company BR (DESS) - Rio de Janeiro, Brazil - Offshore Supply Vessels Operations*																																
S	60	*Estre Ambiental - San Paulo, Brazil - Waste Management*																																
S	61	*Universo Online - San Paulo, Brazil - Online Services*																																
S	62	*Leader - Rio de Janeiro - Retailer*																																
S	63	C-3 Acquisition Co. LLC - Private Equity - New York, NY				x												x							x									
S	64	C-III Recovery Fund I, LP - Private Equity - New York, NY				x												x								x								
S	65	Consonance Bako Co-Invest Partners, LP - Private Equity - New York, NY (18)					x											x				x												
S	66	Consonance Capital Investors, LP - Private Equity - New York, NY								x								x											x					
S	67	GEMS Fund, LP - Private Equity - New York, NY					x											x								x								
S	68	Golub Capital Partners V, LP - Private Equity - New York, NY				x												x								x								
S	69	Golub Capital Partners VI, LP - Private Equity - New York, NY					x											x									x							
S	70	Golub Capital Partners VII, LP - Private Equity - New York, NY					x											x								x								
S	71	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)		x												x	x									x								
S	72	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	73	Island C-III Holdings LLC - Private Equity - New York, NY								x								x											x					
S	74	Island C-III Holdings II LLC - Private Equity - New York, NY					x											x								x								
S	75	Island Fund I - Private Equity - Greenville, SC (3)																																
S	76	*Cash & Cash Equivalents held in bank - highly liquid with less than 3 month maturity*	x														x							x										
S	77	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India					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											
		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 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")
S	78	Missionpoint RE Co-Invest Fund, LP - Private Equity - New York, NY (3)					x																x											
S	79	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*																																
S	80	*MPH Energy Holdings LP - Charlotte, NC - Energy*																																
S	81	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3)						x															x											
S	82	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*																																
S	83	*MPH Energy Holdings LP - Charlotte, NC - Energy*																																
S	84	Missionpoint RE Co-Invest Fund III, LP - Private Equity - New York, NY (3)					x																x											
S	85	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*																																
S	86	*MPH Energy Holdings LP - Charlotte, NC - Energy*																																
S	87	Palamon European Equity Fund II, LP - Private Equity - London, England				x												x								x								
S	88	Plia - Private Equity - Purchase, NY						x										x					x											
S	89	R/C Pattern Energy Feeder, LP - Private Equity - Washington DC *(Committed capital to Pattern Energy Group Holdings LP; a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)*					x																x											
S	90	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3)					x								x		x	x								x								
S	91	RRE Ventures III-A, LP - Private Equity - New York, NY (3) (22)		x																			x											
S	92	RRE Ventures IV, LP - Private Equity - New York, NY (3)					x																x											
S	93	RRE Ventures V, LP - Private Equity - New York, NY (3)							x														x											
S	94	RRE Ventures VI, LP - Private Equity - New York, NY (3)						x															x											
S	95	Tenaska Power Fund, LP - Private Equity - Omaha, NE		x														x					x											
S	96	Tower Three Partners Fund II, LP - Private Equity - New York, NY				x												x												x				
S	97	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)		x																			x											
S	98	**Real Estate Partnerships c/o Empire State Realty Trust, New York NY**																																
S	99	1185 Swap Portfolio II, LP - New York, NY - Real Estate (3)				x										x	x									x								
S	100	*Rochester Hills, MN - Residential - Garden Apartments*																																
S	101	*Edison, NJ - CVS Retail Store*																																
S	102	*Painesville, OH - CVS Retail Store*																																
S	103	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (10)					x								x	x	x										x							

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S	104	Empire State Realty OP, LP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction								x								x											x				
S	105	Fairfax Merrifield Associates II - Fairfax, VA - Residential - Garden Apartments (Fee Position) (10)						x							x												x						
S	106	Georgetown Apartment Associates - Shrewsbury, MO - Residential - Garden Apartments (10)							x						x	x												x					
S	107	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (10)	x												x	x									x								
S	108	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)	x													x							x										
S	109	Malkin Co-Investor Capital LP - Fred F. French Building - New York, NY (10)		x																		x											
S	110	Malkin Foxfire LLC - Chicago, IL - Commercial - Retail (10)		x													x						x										
S	111	Malkin Glen Oaks LLC - Residential Garden Apartments - Des Plaines, IL (10)		x												x	x							x									
S	112	Malkin Strategic Capital V, LP - New York, NY - Real Estate (3)		x											x		x						x										
S	113	*Cash & Cash Equivalents - New York, NY*																															
S	114	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)			x										x		x							x									
S	115	*Cash & Cash Equivalents - New York, NY*																															
S	116	*Loan Receivable - 777 LP/Uni-Penn - Philadelphia, PA - Commercial Office*																															
S	117	Malkin Support Fund LP - Real Estate - New York, NY:																															
S	118	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*			x													x				x											
S	119	*Loan Receivable - Kansas City Georgetown Associates – Kansas City, KS*			x												x							x									
S	120	McKnight Road Associates LLC - Ross Township, PA - Commercial - Retail (10)				x									x	x										x							
S	121	Merrifield Apartments Company II LLC - Fairfax, VA - Garden Apartments (10)								x					x	x	x													x			
S	122	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)		x												x								x									
S	123	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (10)			x										x	x	x						x										
S	124	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)			x											x								x									
S	125	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (10)					x								x	x	x									x							
S	126	U.S. Wertheim Associates LLC - Wertheim, Germany - Commercial - Retail (10)						x														x											
S	127	Wilk Realty Company LLC - Monroeville, PA - Commercial - Retail (10)			x											x									x								

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S	128	**PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY:**																																
S	129	JP Morgan - Cash & Sweep Account - Newark, DE								x					x		x										x							
S	130	JP Morgan - Savings Account - Newark, DE	x														x								x									
S	131	Fine Troy Ounces of Allocated Gold - Held at JP Morgan, Newark, DE (14)							x													x												
S	132	Alibaba Group Holding Ltd (stock) (2)	x															x										x						
S	133	BR Properties S.A. -San Paulo, Brazil - Public Company (Stock)		x																		x												
S	134	Brazilian Zero Coupon Passthrough Notes - Fixed Income - Brazil (1) (2)	x														x							x										
S	135	BTG Pactual Master Cash Fixed Income - SELIC LFT - Sao Paulo, Brasil (1) (11)		x																		x												
S	136	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY						x							x											x								
S	137	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x										x					
S	138	Consonance Capital Investors, LP - Hedge Fund - New York, NY								x									x										x					
S	139	Eton Park Fund, LP - Hedge Fund - New York, NY			x														x			x												
S	140	Falcon Edge Global LP - Hedge Fund - New York, NY (3)				x																x												
S	141	Malkin Capital Fund, LP (FKA Kinrose Fund) - Hedge Fund - New York, NY (3) (17)								x												x												
S	142	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ			x														x						x									
S	143	**AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:**																																
S	144	*JP Morgan - Cash & Sweep Account - Newark, DE*				x																x												
S	145	*Dermira Inc. (DERM - Nasdaq) - Stock (21)*	x															x					x											
S	146	*First Republic Bank (FRC - NYSE) - Stock - New York, NY*						x							x										x									
S	147	*3G Kraft Heinz Company Holdings - Private Equity - New York, NY (4)*								x									x						x									
S	148	*3G Restaurant Brands Holdings LP - Private Equity - New York, NY*							x										x							x								
S	149	*3G Special Situations Fund IV, LP - Private Equity - New York, NY*						x											x			x												
S	150	*AIM Midstream, LLC - Private Equity - New York, NY*					x												x								x							
S	151	*Aisling Capital II, LP - Private Equity - New York, NY*		x															x			x												
S	152	*Aisling Capital III, LP - Private Equity - New York, NY*			x														x						x									
S	153	BBH Capital Partners III, LP - Private Equity - New York, NY				x													x									x						

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S	154	ContiCoffee - Private Equity - New York, NY							x									x								x								
S	155	ContiCoffee Co-Invest - Class B (Keurig Green Mountain Co-Invest) Private Equity - New York, NY (18)					x											x				x												
S	156	ContiCoffee Co-Invest - Class D (Krispy Kreme Doughnuts Co- Invest) - Private Equity - New York, NY (18)			x													x				x												
S	157	DC Franchise 2011 LLC - Private Equity - Greenwich, CT (Quality Brand Capital LLC - acquired & sold Dunkin Donut franchises) (2) (3)	x														x											x					
S	158	ESO Capital Managers LP - Private Equity - London England (3)			x												x				ordinary			x										2,116
S	159	European Special Opportunities Fund V FCP SIF - Private Equity - London England (3)							x								x				ordinary						x							82,546
S	160	Generation Capital Partners Captivate - Private Equity - Greenwich, CT						x										x				x												
S	161	Golub Capital Coinvestment, LP - Private Equity - New York, NY			x													x						x										
S	162	Golub Capital Partners VIII, LP - Private Equity - New York, NY						x										x									x							
S	163	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)		x												x	x							x										
S	164	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	165	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)			x																	x												
S	166	*San Antonio International Ltd- San Antonio, TX (Energy)*																																
S	167	*Allis Participacoes S.A.-Brazil - Staffing*																																
S	168	*BHG S.A. - Brazil - Hotel Management*																																
S	169	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	170	*Lacteos Brasil S.A. - Brazil - Dairy Company*																																
S	171	GP Capital Partners V, LP - Private Equity - San Paulo, Brazil (3)				x										x	x							x										
S	172	*Automotiva S.A. (Sascar) - Brazil - Mobile resource management*																																
S	173	*BR Towers, SA - Brazil - Mobile telephone tower management*																																
S	174	*Cor Brasil, S.A. (Beleza Natural) - Brazil - Beauty Institute*																																
S	175	*Naomi S.A. (Centauro)- Brazil - Retail*																																
S	176	*Empresa Brasileira de Aggrecados Minerais - Brazil - Minerals and Aggregates*																																
S	177	Lucas Brand Equity Special Investment - MD Professional, LP - Manufacture & Sale of Personal Care Products - Private Equity - Southport, CT (3) (18)				x																x												
S	178	Magma Fund, LP - Private Equity - San Paulo, Brazil (3)			x																	x												
S	179	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																

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S	180	Magma Fund II, LP - Private Equity - San Paulo, Brazil (3)		x																		x												
S	181	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	182	Palamon European Equity Fund II, LP - Private Equity - London, England					x											x									x							
S	183	Revolution Venture II, LP - Private Equity - New York, NY						x										x				x												
S	184	Rockefeller Access Fund 06-I, LLC - Private Equity - New York, NY (3)						x							x		x	x									x							
S	185	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3)			x										x		x	x						x										
S	186	Tenaska Power Fund, LP - Private Equity - Omaha, NE		x														x				x												
S	187	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)				x											x									x								
S	188	Tinicum Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)			x																	x												
S	189	Tower Three Partners Fund II, LP - Private Equity - New York, NY				x												x											x					
S	190	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)		x																		x												
S	191	Vanterra Direct Wellnext LLC - Private Equity - New York, NY (3) (18)						x														x												
S	192	*Wellnext Holdings, LLC - Middle Market Companies in Health & Nutritional Product Sector*																																
S	193	Vanterra HPH Wellnext LP - Private Equity - New York, NY (3) (18)						x														x												
S	194	*HPH Specialized Fund I, LP - Solely invested in Wellnext Holdings, LLC (see Line 192)*																																
S	195	*MW General Partners, LP - GP Interest in HPH Specialized Fund I*																																
S	196	ZM Capital Alloy Digital Investment LP - Private Equity - New York, NY		x														x						x										
S	197	ZM Capital Cri Investment, LP - Private Equity - New York, NY		x														x						x										
S	198	ZM Capital Niagara Investment (Cayman) LP - Private Equity - New York, NY			x													x				x												
S	199	ZMC, LP (FKA ZM Capital, LP) - Private Equity - New York, NY		x														x				x												
S	200	ZMC II, LP (FKA ZM Capital II, LP) - Private Equity - New York, NY			x													x				x												
S	201	**Real Estate Partnerships c/o Empire State Realty Trust, New York NY**																																
S	202	ARSA Associates - Real Estate - New York, NY							x													x												
S	203	*BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)*																																
S	204	BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)							x													x												
S	205	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (10)								x						x	x												x					
S	206	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments(10)		x											x	x	x						x											

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S	207	Empire State Realty OP, LP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction								x								x											x					
S	208	Georgetown Apartment Associates - Shrewsbury, MO - Residential - Garden Apartments (10) (18)							x						x	x											x							
S	209	Greenwich Retail, LLC - Greenwich, CT - Commercial - Retail (10)			x										x	x									x									
S	210	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (10)	x												x	x								x										
S	211	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3)								x						x	x												x					
S	212	*St. Davids, PA*																																
S	213	*Manhasset, NY*																																
S	214	*Paramus, NJ*																																
S	215	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)	x													x								x										
S	216	Malkin Co-Investor Capital LP - Fred F. French Building - New York, NY (10)			x										x	x								x										
S	217	Malkin Greenwich Retail LLC - Retail - Greenwich, CT (10)			x										x	x										x								
S	218	Malkin Industrial Partners I, LP - Warehouse Distribution Building (3)				x																	x											
S	219	*Philadelphia, PA*																																
S	220	Malkin Strategic Capital V, LP - New York, NY (3)		x											x		x								x									
S	221	*Cash & Cash Equivalents - New York, NY*																																
S	222	Monroeville Self-Service - Monroeville, PA - Lease Position on Commercial - Retail (10)		x												x								x										
S	223	New Soundview Plaza Associates, LP - Westport, CT - Retail Stores (10)							x							x												x						
S	224	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)		x												x									x									
S	225	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (10)			x										x	x	x							x										
S	226	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)			x											x									x									
S	227	U.S. Bicester LP - Oxfordshire, England - Commercial - Retail (10) (16)								x						x	x														x			
S	228	U.S. Bicester II LLC PLM JV - Oxfordshire, England - Commercial - Retail (10) (16)							x							x	x										x							
S	229	U.S. Dublin LLC - Dublin, Ireland - Commercial - Retail (10) (15)						x															x											
S	230	U.S. La Roca LLC PLM JV - Barcelona, Spain - Commercial - Retail (10) (15)								x						x	x												x					
S	231	U.S. Maasmechelen LLC - Maasmechelen, Belgium - Commercial - Retail (10) (15)	x													x	x										x							
S	232	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (10) (15)							x							x	x										x							

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S	233	U.S. Munich LLC - Munich, Germany - Commercial - Retail (10) (15)								x												x												
S	234	U.S. Paris LLC - Paris, France - Commercial - Retail (10) (15)								x						x	x										x							
S	235	U.S. Shanghai LLC - Shanghai, China - Commercial - Retail (10) (15)				x																x												
S	236	U.S. Suzhou LLC - Suzhou, China - Commercial - Retail (10) (15)				x																x												
S	237	Larrymae Partners LLC c/o Malkin Holdings LLC, New York, NY																																
S	238	JPMorgan Chase (Cash & Sweep Account & Savings Account) - Newark, DE								x					x		x								x									
S	239	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY								x					x												x							
S	240	Malkin Capital Fund, LP (FKA Kinrose Fund) - Hedge Fund - New York, NY (3) (17) (18)								x												x												
S	241	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																																
S	242	Empire State Realty OP, LP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction								x								x												x				
S	243	Fairfax Merrifield Associates II - Fairfax, VA - Residential - Garden Apartments (Fee Position) (10)						x								x											x							
S	244	Georgetown Apartment Associates - Shrewsbury, MO - Residential - Garden Apartments (10)						x								x												x						
S	245	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)				x										x											x							
S	246	Magnifique LLC c/o Malkin Holdings LLC, New York, NY																																
S	247	JP Morgan - Cash & Sweep Account - Newark, DE					x								x		x						x											
S	248	Malkin Capital Fund, LP (FKA Kinrose Fund) - Hedge Fund - New York, NY (3) (17) (18)						x														x												
S	249	Blue Ridge Limited Partnership - Hedge Fund - New York, NY							x									x										x						
S	250	Hedge Holdings LLC c/o Malkin Holdings LLC, New York, NY																																
S	251	JP Morgan - Cash & Sweep Account - Newark, DE								x					x		x							x										
S	252	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x								x											x					
S	253	Consonance Capital Investors, LP - Hedge Fund - New York, NY								x								x											x					
S	254	Eton Park Fund, LP - Hedge Fund - New York, NY			x													x				x												
S	255	Malkin Capital Fund, LP (FKA Kinrose Fund) - Hedge Fund - New York, NY (3) (17) (18)								x												x												
S	256	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA							x									x				x												
S	257	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)			x										x		x								x									
S	258	*Cash & Cash Equivalents - New York, NY*																																
S	259	*Loan Receivable - 777 LP/Uni-Penn - Philadelphia, PA - Commercial Office*																																

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S	260	**Summa I LLC c/o Malkin Holdings LLC, New York, NY**																																	
S	261	JP Morgan - Cash & Sweep Account - Newark, DE					x								x		x							x											
S	262	**AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:**																																	
S	263	*JP Morgan - Cash & Sweep Account - Newark, DE*					x															x													
S	264	*Cempra Inc. (CEMP - NasdaqGS) - Stock*		x																		x													
S	265	*Dermira Inc. (DERM - Nasdaq) - Stock (21)*	x															x					x												
S	266	*First Republic Bank (FRC - NYSE) - Stock - New York, NY*							x						x										x										
S	267	*3G Kraft Heinz Company Holdings - Private Equity - New York, NY (4)*								x									x							x									
S	268	*3G Restaurant Brands Holdings LP - Private Equity - New York, NY*								x									x							x									
S	269	*3G Special Situations Fund IV LP - Private Equity - New York, NY*							x										x			x													
S	270	*AIM Midstream, LLC - Private Equity - New York, NY*						x											x								x								
S	271	*Aisling Capital II, LP - Private Equity - New York, NY*			x														x			x													
S	272	*Aisling Capital III, LP - Private Equity - New York, NY*				x													x							x									
S	273	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)		x													x	x								x									
S	274	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																	
S	275	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)			x																	x													
S	276	*San Antonio International Ltd - San Antonio, TX (Energy)*																																	
S	277	*Allis Participacoes S.A. - Brazil - Staffing*																																	
S	278	*BHG S.A. - Brazil - Hotel Management*																																	
S	279	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																	
S	280	*Lacteos Brasil S.A. - Brazil - Dairy Company*																																	
S	281	Mission Point Capital Partners Fund I - Private Equity - New York, NY (3)				x												x						x											
S	282	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*																																	
S	283	*MPH Energy Holdings LP - Charlotte, NC - Energy*																																	
S	284	*Trilliant Inc. - Canada - Energy*																																	
S	285	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)				x												x								x									
S	286	Tower Three Partners Fund II, LP - Private Equity - New York, NY						x											x									x							
S	287	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)		x																		x													

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S	288	**PLM/CMB 2001 Trust** c/o Malkin Holdings LLC, New York, NY																																
S	289	JP Morgan - Cash & Sweep Account - Newark, DE						x								x							x											
S	290	RCB Investment Partners LLC - Partnership - New York, NY:																																
S	291	*State Street Bank & Trust Co. - New York, NY (9)*								x					x		x	x									x							
S	292	*Rockefeller US Small Capitalization Fund LP - Private Equity (3) (less than .7 of 1%)*			x										x			x							x									
S	293	*Rockefeller Global Equity Fund II LP - Private Equity (3) (less than .10 of 1%)*				x									x			x								x								
S	294	Loan Receivable - BBSF LLC - Stamford, CT (10)								x							x										x							
S	295	**EOAGT, LLC (Owned by CMB 2012 GST)** c/o Malkin Holdings LLC, New York, NY																																
S	296	JP Morgan - Cash & Sweep Account - Newark, DE				x																x												
S	297	Alibaba Group Holding Ltd - Stock (2)	x															x								x								
S	298	Malkin Capital Fund, LP (FKA Kinrose Fund) - Hedge Fund - New York, NY (3) (17)								x												x												
S	299	ContiCoffee - Private Equity - New York, NY						x											x							x								
S	300	ContiCoffee Co-Invest - Class B (Keurig Green Mountain Co-Invest) Private Equity - New York, NY (18)				x													x			x												
S	301	ContiCoffee Co-Invest - Class D (Krispy Kreme Doughnuts Co- Invest) - Private Equity - New York, NY (18)			x														x			x												
S	302	Loan Receivable - BBSF LLC - Stamford, CT								x							x										x							
S	303	**CMB 2010 FAMILY TRUST** c/o Malkin Holdings LLC, New York, NY																																
S	304	JP Morgan - Cash & Sweep Account - Newark, DE (13)		x																		x												
S	305	Larrymae Partners LLC - Partnership - New York, NY (underlying assets listed above)								x					x	x	x												x					
S	306	**CMB 2009 GRAT** c/o Malkin Holdings LLC, New York, NY																																
S	307	JP Morgan Checking Account - New York, NY						x									x						x											
S	308	Peter L. Malkin Family 9 LLC - Partnership - New York, NY (underlying assets listed above)								x					x	x	x	x											x					
S	309	**Cynthia Blumenthal Personal Ownership** Greenwich, CT																																
S	310	Empire State Realty Trust Inc. - Class A (Common Stock) - New York, NY								x					x												x							
S	311	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY							x						x											x								
S	312	W & M Properties, Inc. - Guardian Life Insurance Policy - New York, NY (10)							x													x												
S	313	Geo Energy Partners LLC - Agoura Hills, CA - Energy (12)			x																royalties					x								5,031

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S	314	**Real Estate Partnerships c/o Empire State Realty Trust, New York NY**																																
S	315	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)					x									x	x											x						
S	316	*Rochester Hills, MN - Residential - Garden Apartments*																																
S	317	*Edison, NJ - CVS Retail Store*																																
S	318	*Painesville, OH - CVS Retail Store*																																
S	319	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (10)							x							x	x												x					
S	320	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (10)				x									x	x	x										x							
S	321	Empire State Realty OP, LP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction								x									x											x				
S	322	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3)						x								x	x												x					
S	323	*St. Davids, PA*																																
S	324	*Manhassel, NY*																																
S	325	*Paramus, NJ*																																
S	326	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)	x													x								x										
S	327	Malkin Industrial Partners II, LP - Real Estate Loan Pool - Charlestown, MA (3)		x																		x												
S	328	*Cash Reserve for post-sale costs & contingencies*																																
S	329	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (10)					x														ordinary						x							41,195
S	330	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (10)					x														ordinary								x					163,226
S	331	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (10)					x														ordinary							x						51,382
S	332	Malkin Properties of Virginia, Inc. - Real Estate Management - New York, NY (10)							x												ordinary								x					109,584
S	333	Malkin Support Fund LP - Real Estate - New York, NY:																																
S	334	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*						x										x					x											
S	335	*Loan Receivable - Kansas City Georgetown Associates – Kansas City, KS*						x									x									x								
S	336	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)			x											x									x									
S	337	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)		x												x								x										
S	338	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (10)					x								x	x	x									x								

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S	339	U.S. La Roca II LLC PLM JV - Barcelona, Spain - Commercial - Retail (10) (15)								x					x	x											x						
S	340	U.S. Madrid II LLC - Madrid, Spain - Commercial - Retail (10) (15)							x						x	x										x							
	341	RICHARD BLUMENTHAL																															
	342	Rockefeller Cash and Equivalents - New York, NY						x															x										
	343	Rockefeller Intermediate Tax Exempt Nation Bond Fund - Fixed Income - New York, NY									x							x									x						
	344	Rockefeller Libra Fund LP - Multi Markets Equity Fund - New York, NY									x							x								x							

Footnotes to Part IIIB

(1) On August 12, 2016, Brazilian Zero Coupon Passthrough Notes held at JP Morgan were sold before their maturity.
- The sale resulted in a capital gain on the BRL Currency held at JP Morgan.
- The proceeds were then transferred to the BTG Pactual Master Cash account as BRL Currency where the majority of it was used to purchase SELIC LFT notes on August 18, 2016.
- The remaining balance not invested in fixed income remains as BRL currency.
- These transactions can be found on Part IV.

(2) Fully redeemed during 2016.

(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) 3G Special Situations Fund III distributed an interest in 3G Kraft Heinz Company to its Limited Partners on June 17, 2016. The fund liquidated in 2016 and all income during the year is attributed to 3G Kraft Heinz Company Holdings.

(5) This footnote is not currently used.

(6) This footnote is not currently used.

(7) This footnote is not currently used.

(8) This footnote is not currently used.

(9) Custodial account for Rockefeller funds.

(10) Sole underlying asset.

(11) On April 5, 2016, BTG distributed a partial return of capital associated with the winding down of its investment in FIP Iron Fund. The distribution was received in the form of BRL Currency to be held in the BTG Pactual Master Cash account.
- A portion of the BRL Currency was used to purchase SELIC LFT notes on July 4, 2016.
- The remaining balance not invested in fixed income remains as BRL currency along with the any balance from transactions in Footnote (1).
- These transactions can be found on Part IV.

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(12) 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."

(13) During 2016, all the cash and equivalents previously held by Fidelity were transferred to a newly opened account at JP Morgan. The Fidelity account was then subsequently closed.

(14) On 12/20/16 the Fine Troy Ounces of Allocated Gold - Held at JP Morgan were sold and repurchased to realize a tax loss. These transactions can be found on Part IV.

(15) The entity is managed from London, England.

(16) The entity is managed from Greenwich, CT.

(17) Kinrose Fund, LP legally changed its name to Malkin Capital Fund, LP effective 1/15/2016.

(18) 2016 Purchase.

(19) Not previously reported due to valuation and income not meeting the thresholds.

(20) This footnote is not currently used.

(21) On May 26 2016, Aisling Capital III distributed shares of Dermira (trading on NASDAQ under the symbol DERM) to AAM Partners LLC. These shares were subsequently sold by AAM Partners as reported on Part IV resulting in a realized capital gain.

(22) Previously reported as "RRE Ventures III," the legal name of the fund is RRE Ventures III-A.

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