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May 24, 2017

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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) to his annual Financial Disclosure Report for calendar year 2015. 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

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

BLOCK A			
		Valuation of Assets	
		Type of Income	Amount of Income
S	1	Actual Amount (Required if "Other Specified")	Other (Specify Type)
S	1	None (or less than \$1,001)	
S	2	Over 50,000,000	
S	3	25,000,001 - 50,000,000	
S	4	15,001 - 25,000	
S	5	5,001 - 15,000	
S	6	2,501 - 5,000	
S	7	1,001 - 2,500	
S	8	501 - 1,000	
S	9	100,001 - 1,000,000	
S	10	Over 1,000,000	
S	11	1,000,001 - 5,000,000	
S	12	5,000,001 - 25,000,000	
S	13	25,000,001 - 50,000,000	
S	14	Over 50,000,000	
S	15	None (or less than \$1,001)	
S	16	1,001 - 15,000	
S	17	15,001 - 25,000	
S	18	25,000,001 - 50,000,000	
S	19	Over 50,000,000	
S	20	100,001 - 1,000,000	
S	21	Over 1,000,000	
S	22	1,000,001 - 5,000,000	
S	23	5,000,001 - 25,000,000	
S	24	25,000,001 - 50,000,000	
S	25	Over 50,000,000	

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

BLOCK A		BLOCK B		BLOCK C	
				Type of Income	Amount of Income
S	28	PETER L. MALKIN FAMILY 9 LLC c/o Malkin Holdings LLC, New York, NY		Actual Amount (Required If "Other Specified")	
S	27	JP Morgan - Sweep Account - Newark, DE	x	Over \$5,000,000	
S	28	JP Morgan - Savings Account - Newark, DE	x	1,000,001 - 5,000,000	
S	29	JP Morgan - BRL Currency - Newark, DE (1)	x	Over 1,000,000	
S	30	Fine Troy Ounces of Allocated Gold - Held at JP Morgan	x	100,001 - 1,000,000	
S	31	BR Properties S.A. - Real Estate - São Paulo, Brazil - Public Company (Stock)	x	50,000,001 - 250,000,000	
S	32	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY	x	Over 50,000,000	
S	33	Golub BDC Inc. - (GBDC - NASDAQ) - Public Company - Stock - New York, NY	x	25,000,001 - 50,000,000	
S	34	Brazilian Zero Coupon Passthrough Notes - Fixed Income - Brazil (14)	x	5,000,001 - 25,000,000	
S	35	1112 West 34th Street Interest Receivable - New York, NY (23)	x	1,000,001 - 5,000,000	
S	36	J M'S PARTNERS c/o Malkin Holdings LLC - New York, NY:	x	15,000 - 50,000	
S	37	JP Morgan - Sweep Account - Newark, DE (19)	x	1,001 - 15,000	
S	38	Blue Ridge Limited Partnership - Hedge Fund - New York, NY	x	None (or less than 1,001)	
S	39	Eaton Park Fund, LP - Hedge Fund - New York, NY	x		
S	40	Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY	x		
S	41	Blue Ridge Limited Partnership - Hedge Fund - New York, NY	x		
S	42	Consonance Capital Investors, LP - Hedge Fund - New York, NY	x		
S	43	Falcon Edge Global LP - Hedge Fund - New York, NY (3)	x		
S	44	O-Cap Partners LP - Hedge Fund - New York, NY	x		
S	45	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ	x		
S	46	Steadview Capital Partners LP - Hedge Fund - Hong Kong (3)(18)	x		
S	47	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA	x		
S	48	2008 Special Global Opportunities LLC - Private Equity New York, NY (3)	x		
S	49	FIP Iron - Private Equity - São Paulo, Brazil (3) (11)	x		
S	50	BTG Pactual - Estre Padreira (Iron Fund De Investments) - Environmental Waste Management Initiative - São Paulo, Brazil	x		
S	51	BTG Pactual Brazil Investment Fund I - Private Equity - São Paulo, Brazil (3)	x		

BLOCK A		BLOCK B		BLOCK C	
				Type of Income	Amount of Income
				Other (Specify Type)	Actual Amount (Required if "Other Specified")
S	52	Bodytech - Rio de Janeiro, Brazil - Fitness centers		None (or less than 201)	
S	53	Brasil Brokers S.A. - São Paulo, Brazil - Real Estate Brokerage & Consulting Firm (17)		Qualified Blind Trust	
S	54	Brasil Pharma S.A. - São Paulo, Brazil - Drugstore chain (17)		Exempted Trust	
S	55	Bravata - Rio de Janeiro, Brazil - Maritime Support services		Accepted Investment Fund	
S	56	CCRR Participações SA - São Paulo, Brazil - Specialty paper, labels, & adhesives		Capital Gains	
S	57	Deep Sea Supply Company BR (DESS) - Rio de Janeiro, Brazil - Offshore Supply Vessels Operations (17)		Interest	
S	58	Estrutura Ambiental - São Paulo, Brazil - Waste Management		Rent	
S	59	Universo Online - São Paulo, Brazil - Online Services		Dividends	
S	60	Leader - Rio de Janeiro - Retailer		Over 50,000,000	
S	61	C-3 Acquisition Co. LLC - Private Equity - New York, NY		25,000,001 - 50,000,000	
S	62	C-III Recovery Fund I, LP - Private Equity - New York, NY		5,000,001 - 25,000,000	
S	63	Consencence Capital Investments, LP - Private Equity - New York, NY		1,000,001 - 5,000,000	
S	64	GEMS Fund, LP - Private Equity - New York, NY		Over 1,000,000	
S	65	Golub Capital Partners V, LP - Private Equity - New York, NY		500,001 - 1,000,000	
S	66	Golub Capital Partners VI, LP - Private Equity - New York, NY		250,001 - 500,000	
S	67	Golub Capital Partners VII, LP - Private Equity - New York, NY		100,001 - 250,000	
S	68	Golub Capital Partners VIII, LP - Private Equity - New York, NY		50,001 - 100,000	
S	69	GP Capital Partners III, LP - Private Equity - São Paulo, Brazil (3)		15,000 - 50,000	
S	70	Magnesia Refratários SA - Brazil - Manufacturer of refractory material		1,001 - 15,000	
S	71	Island C-III Holdings LLC - Private Equity - New York, NY		None (or less than 1,001)	
S	72	Island C-III Holdings II LLC - Private Equity - New York, NY		Over 5,000,000	
S	73	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India		1,000,001 - 5,000,000	
S	74	Missionpoint RE Co-Invest Fund, LP - Private Equity - New York, NY (3)		Over 1,000,000	
S	75	MPH Energy Holdings LP - Charlotte, NC - Energy		Over 1,000,000	
S	76	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3)		Over 50,000,000	
S	77	RE Community Holdings LP - Charlotte, NC - Recycling & waste management		Over 5,000,000	

BLOCK A		BLOCK B		BLOCK C	
		Valuation of Assets		Amount of Income	
				Type of Income	Other (Specify Type)
				Actual Amount (Required if "Other Specified")	
S 6	78	MPH Energy Holdings LP - Charlotte, NC - Energy			
S 79		MissionPoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3)	x		
S 80		RE Community Holdings LP - Charlotte, NC - Recycling & waste management	x		
S 81		MPH Energy Holdings LP - Charlotte, NC - Energy	x		
S 82		Palastron European Equity Fund II, LP - Private Equity - London, England	x		
S 83		Plia - Private Equity - Purchase, NY	x		
S 84		RJC Pattern Energy Förder, LP - Private Equity - Washington DC (Committed capital to Pattern Energy Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)	x		
S 85		Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3) (5)	x		
S 86		RRE Ventures III, LP - Private Equity - New York, NY (3) (27)	x		
S 87		RRE Ventures IV, LP - Private Equity - New York, NY (3) (27)	x		
S 88		RRE Ventures V, LP - Private Equity - New York, NY (3) (27)	x		
S 89		RRE Ventures VI, LP - Private Equity - New York, NY (3) (27)	x		
S 90		Tenaska Power Fund, LP - Private Equity - Omaha, NE	x		
S 91		Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY (2)	x		
S 92		Tower Three Partners Fund II, L.P. - Private Equity - New York, NY (26)	x		
S 93		TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)	x		
S 94		Real Estate Partnerships c/o Empire State Realty Trust, New York NY			
S 95		1185 Swap Portfolio II, LP - New York, NY - Real Estate (3)	x		
S 96		Rochester Hills, MN - Residential - Garden Apartments			
S 97		Edison, NJ - CVS Retail Store			
S 98		Painesville, OH - CVS Retail Store			
S 99		Chicago Gold Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (10)	x		
S 100		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		
S 101		Fairfax Merrifield Associates II - Fairfax, VA - Residential - Garden Apartments (Fee Position) (10)	x		

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X Amendment

Reporting Individual's Name  
Richard Blumenthal

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

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BLOCK A		BLOCK B		BLOCK C	
				Type of Income	Amount of Income
S 102	Georgetown Apartment Association - Shrewsbury, MD - Residential - Garden Apartments (10)	None (or less than 201)	Over \$5,000,000	Over \$5,000,000	
S 103	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (10)	x			
S 104	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)	x			
S 105	Malkin Co-Investor Capital LP - Westport, CT - Retail Stores (10)	x	x	1,001 - 1,000	
S 106	Malkin Foxfire LLC - Chicago, IL - Commercial - Retail (10)	x	x	2,501 - 2,500	
S 107	Malkin Glen Oaks LLC - Des Plaines - Residential - Garden Apartments (10)	x	x	1,001 - 1,000	
S 108	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (3) (19)	x	x	500,001 - 500,000	
S 109	Malkin Strategic Capital V, LP - New York, NY - Real Estate (3)	x	x	500,001 - 1,000,000	
S 110	Malkin Audi Bank - checking account - New York, NY		x	Over 1,000,000	
S 111	Fidelity - FIMM Fund - Mutual Fund - New York, NY		x	5,000,001 - 25,000,000	
S 112	Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building		x	25,000,001 - 50,000,000	
S 113	Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center		x	Over 50,000,000	
S 114	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)	x	x		
S 115	Malkin Audi Bank - checking account - New York, NY		x		
S 116	Fidelity - FIMM Fund - Mutual Fund - New York, NY		x		
S 117	Loan Receivable - 777 LPrUUniPenn - Philadelphia, PA - Commercial Office		x		
S 118	Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments		x		
S 119	Malkin Support Fund LP - Real Estate - New York, NY:		x		
S 120	Fidelity - FIMM Fund - Mutual Fund - New York, NY	x	x		
S 121	Loan Receivable - Kansas City Georgetown Associates - Kansas City, KS	x	x		
S 122	McKnight Road Associates LLC - Ross Township, PA - Commercial - Retail (10)	x	x		
S 123	Merrifield Apartments Company II LLC - Fairfax, VA - Garden Apartments (10)(21)	x	x		
S 124	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)	x	x		
S 125	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (10)	x	x		
S 126	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)	x	x		
S 127	Univay Partners LP Malkin JV - New York, NY - Commercial - Retail (10)	x	x		
S 128	U.S. Wertheim Associates LLC - Wertheim, Germany - Commercial - Retail (10)	x	x		

Identify all 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, 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 A.

		BLOCK A		BLOCK B		BLOCK C	
				Valuation of Assets		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 IIA.					
S	129	Wik Realty Company LLC - Monroeville, PA - Commercial - Retail (10)	x				
S	130	PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY:					
S	131	JP Morgan - Sweep Account - Newark, DE	x				
S	132	JP Morgan - Savings Account - Newark, DE	x				
S	133	JP Morgan - BRL Currency - Newark, DE (1)	x				
S	134	Fine Troy Ounces of Allocated Gold - Held at JP Morgan, Newark, DE	x				
S	135	Alibaba Group Holding Ltd (stock)	x				
S	136	BR Properties S.A. -San Paulo, Brazil - Public Company (Stock)	x				
S	137	Welltower Inc. - Common Stock (NYSE:HCHN) - Toledo, OH (18) (2)	x				
S	138	Brazilian Zero Coupon Passthrough Notes - Fixed Income - Brazil (14)	x				
S	139	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY	x				
S	140	112 West 34th Street Interest Receivable - New York, NY (23)	x				
S	141	Blue Ridge Limited Partnership - Hedge Fund - New York, NY	x				
S	142	Consonance Capital Investors, LP - Hedge Fund - New York, NY	x				
S	143	Eton Park Fund, LP - Hedge Fund - New York, NY	x				
S	144	Falcon Edge Global LP - Hedge Fund - New York, NY (3)	x				
S	145	Karnosa Fund, LP - Hedge Fund - New York, NY (18) (3)	x				
S	146	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ	x				
S	147	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:					
S	148	JP Morgan - Sweep Account - Newark, DE (19)	x				
S	149	First Republic Bank (FRC - NYSE) - Stock - New York, NY	x				
S	150	Campia Inc. (CEMP - NasdaqGS) - Stock (24)	x				
S	151	Somero Therapeutics Inc. (SRNE - NasdaqCM) - Stock (25)	x				
S	152	3G Restaurant Brands Holdings LP - Private Equity - New York, NY (4)	x				
S	153	3G Special Situations Fund III, LP - Private Equity - New York, NY	x				
S	154	3G Special Situations Fund IV, LP - Private Equity - New York, NY (18)	x				
S	155	AIM Midstream, LLC - Private Equity - New York, NY	x				

Identity of Non-Publicly Traded Assets and Unearned Income Sources  
Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding \$1,000 at the close of the reporting period; and/or (3) generated over \$200 in "unearned" income during the reporting period. 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 IIA.

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

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

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BLOCK A		BLOCK B		BLOCK C	
				Amount of Income	
S	156	Aising Capital II, L.P. - Private Equity - New York, NY	x	Actual Amount (Required If "Other Specified")	Over 5,000,000
S	157	Aising Capital III, L.P. - Private Equity - New York, NY	x		1,000,001 - 5,000,000
S	158	ARSA Associates - Real Estate - New York, NY	x		Over 1,000,000
S	159	BBSF LLC - Vacant Land - Stamford, CT (10)	x		100,001 - 1,000,000
S	160	BBH Capital Partners III, LP - Private Equity - New York, NY	x		50,001 - 100,000
S	161	ContiCoffee - Private Equity - New York, NY	x		15,001 - 50,000
S	162	DC Franchise 2011 LLC - Private Equity - Greenwich, CT (Quality Brand Capital LLC - Acquired & sold Dunkin Donuts franchises) (3)	x		5,000,001 - 25,000,000
S	163	ESO Capital Managers LP - Private Equity - London England (3)	x		Over 4,000,000
S	164	European Special Opportunities Fund V FCP SIF (FKA ESO Fund II) - Private Equity - London England (3)	x		250,001 - 500,000
S	165	Generation Capital Partners Capitale - Private Equity - Greenwich, CT	x		100,001 - 250,000
S	166	Golub Capital Cointvestment, LP - Private Equity - New York, NY	x		50,001 - 100,000
S	167	Golub Capital Partners VII, LP - Private Equity - New York, NY	x		15,000 - 50,000
S	168	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)	x		1,001 - 15,000
S	169	Magnesita Refractories SA - Brazil - Manufacturer of refractory material	x		None (or less than 1,001)
S	170	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)	x		None (or less than 1,001)
S	171	Son Antonio International Ltd - San Antonio, TX (Energy)	x		None (or less than 1,001)
S	172	Allis Participacoes S.A.-Brazil - Staffing	x		None (or less than 1,001)
S	173	BHG S.A. - Brazil - Hotel Management	x		None (or less than 1,001)
S	174	Magnesita Refractories SA - Brazil - Manufacturer of refractory material	x		None (or less than 1,001)
S	175	Lacteos Brasil S.A. - Brazil - Dairy Company	x		None (or less than 1,001)
S	176	GP Capital Partners V, LP - Private Equity - San Paulo, Brazil (3)	x		None (or less than 1,001)
S	177	Automatica S.A. (Sasecar) - Brazil - Mobile resource management	x		None (or less than 1,001)
S	178	BR Towers, SA - Brazil - Mobile telephone tower management	x		None (or less than 1,001)
S	179	Car Brasil, S.A. (Bebida Natural) - Brazil - Beauty Institute	x		None (or less than 1,001)
S	180	Naomi S.A. (Centaur) - Brazil - Retail	x		None (or less than 1,001)
S	181	Empresa Brasileira de Agregados Minerais - Brazil - Minerals and Aggregates	x		None (or less than 1,001)
S	182	Magma Fund, LP - Private Equity - São Paulo, Brazil (3)	x		None (or less than 1,001)

**Identify 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.

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

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

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	BLOCK A	BLOCK B		BLOCK C	
		Valuation of Assets	Type of Income	Amount of Income	Actual Amount (Required If "Other Specified")
S	208	Greenwich Retail, LLC - Greenwich, CT - Commercial - Retail (10)	x	x	Over 5,000,000
S	209	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (10)	x	x	1,000,001 - 5,000,000
S	210	KMO-381 Realty Associates (Peter L. Madin Joint Venture) - Retail Shopping Centers (3)	x	x	Over 1,000,000
S	211	St. Davids, PA	x	x	100,001 - 1,000,000
S	212	Manhasset, NY	x	x	50,001 - 100,000
S	213	Paramus, NJ	x	x	15,001 - 50,000
S	214	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)	x	x	10,000,001 - 50,000,000
S	215	Malkin Co-Investor Capital LP - New York, NY - Real Estate - Commercial Office (10)	x	x	5,000,001 - 25,000,000
S	216	Malkin Greenwich Retail LLC - Retail - Greenwich, CT (10)	x	x	250,001 - 500,000
S	217	Malkin Industrial Partners I, LP - Warehouse Distribution Building (3) (18)	x	x	100,001 - 250,000
S	218	Philadelphia, PA	x	x	50,001 - 100,000
S	219	Malkin Industrial Partners II, LP - Chelmsford, MA - Commercial - Office Building (3) (19)	x	x	15,000 - 50,000
S	220	Malkin Strategic Capital V, LP - New York, NY (3) (18)	x	x	1,001 - 15,000
S	221	Intertrust Bank - Checking account - New York, NY	x	x	None (or less than 1,001)
S	222	Fidelity - FIMM Fund - Mutual Fund - New York, NY	x	x	Over 1,000,000
S	223	Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building	x	x	250,000,000
S	224	Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center	x	x	1,000,001 - 5,000,000
S	225	Monteavilla Self-Service - Monroeville, PA - Lease Position on Commercial - Retail (10)	x	x	100,001 - 250,000
S	226	New Soundview Plaza Associates, LP - Westport, CT - Retail Stores (10)	x	x	50,001 - 100,000
S	227	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)	x	x	15,000 - 50,000
S	228	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (10)	x	x	Over 5,000,000
S	229	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)	x	x	1,000,001 - 5,000,000
S	230	U.S. Bicester LP - Oxfordshire, England - Commercial - Retail (10) (16)	x	x	1,000,001 - 5,000,000
S	231	U.S. Bicester II LLC PLM JV - Oxfordshire, England - Commercial - Retail (10) (16)	x	x	1,000,001 - 5,000,000
S	232	U.S. Dublin LLC - Dublin, Ireland - Commercial - Retail (10) (15)	x	x	1,000,001 - 5,000,000
S	233	U.S. La Roca LLC PLM JV - Barcelona, Spain - Commercial - Retail (10) (15)	x	x	1,000,001 - 5,000,000
S	234	U.S. Maastrechtse LLC - Maastrecht, Belgium - Commercial - Retail (10) (15)	x	x	1,000,001 - 5,000,000

Identity of Non-Publicly Traded Assets and Unearned Income Sources  
Report the name, address (city, state and zip/postal code) 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; another (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 IIAB.

BLOCK A		BLOCK B		BLOCK C	
				Type of Income	Amount of Income
S	235	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (10) (15)	x	Other (Specify Type)	Actual Amount (Required if "Other Specified")
S	236	U.S. Munich LLC - Munich, Germany - Commercial - Retail (10) (15)	x		Over 5,000,000
S	237	U.S. Paris LLC - Paris, France - Commercial - Retail (10) (15)	x		1,000,001 - 5,000,000
S	238	U.S. Shanghai LLC - Shanghai, China - Commercial - Retail (10) (15)	x		Over 1,000,000
S	239	U.S. Suzhou LLC - Suzhou, China - Commercial - Retail (10) (15)	x		100,001 - 1,000,000
S	240	Larry Mae Partners LLC c/o Malkin Holdings LLC, New York, NY (20)	x		50,001 - 100,000
S	241	JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE	x		201 - 1,000
S	242	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY	x		None (or less than 201)
S	243	112 West 34th Street Interest Receivable - New York, NY (23)	x		
S	244	Malkin Industrial Partners II Supervisory Fee Receivable - New York, NY (28)	x		
S	245	Malkin Industrial Partners II - Oakcliff Supervisory Fee Receivable - New York, NY (28)	x		
S	246	Malkin Strategic Capital VI Supervisory + Legal Fee Receivable - New York, NY (28)	x		
S	247	Real Estate Partnerships c/o Empire State Realty Trust, New York NY	x		
S	248	Empire State Realty OP, LP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connercticut, as well as 3 real estate management companies, and a company which performs interior building construction	x		
S	249	Fairfax Manfield Associates II - Fairfax, VA - Residential Garden Apartments (Fee Position) (10)	x		
S	250	Georgetown Apartment Associates - Shrewsbury, MO - Residential - Garden Apartments (10)	x		
S	251	St. Louis - Georgetownt Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)	x		
S	252	Magnifique LLC c/o Malkin Holdings LLC, New York, NY (20)	x		
S	253	JPMorgan Chase (Brokerage Cash) - Newark, DE	x		
S	254	Blue Ridge Limited Partnership - Hedge Fund - New York, NY	x		
S	255	Hedge Holdings LLC c/o Malkin Holdings LLC, New York, NY (20)	x		
S	256	JPMorgan Chase (Brokerage Cash) - Newark, DE	x		
S	257	Blue Ridge Limited Partnership - Hedge Fund - New York, NY	x		
S	258	Consensense Capital Investors, LP - Hedge Fund - New York, NY	x		
S	259	Eton Park Fund, LP - Hedge Fund - New York, NY	x		
S	260	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA	x		

Identity of Non-Publicly Traded Assets and Unearned Income Sources  
Report the name, address (city, state and zip/city) 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.

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

	BLOCK A	BLOCK B		BLOCK C	
		Type of Income	Amount of Income	Type of Income	Amount of Income
<b>Identify all Non-Publicly Traded Assets and Unearned Income Sources held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business, which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) Generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.</b>					
S	261	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)	x		
S	262	Interaudi Bank - Checking account - New York, NY	x		
S	263	Fidelity - FIMM Fund - Mutual Fund - New York, NY			
S	264	Loan Receivable - 777 LP Uni-Penn - Philadelphia, PA - Commercial Office	x		
S	265	Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments	x		
S	266	Summa LLC c/o Malkin Holdings LLC, New York, NY (20)	x		
S	267	JPMorgan Chase Cash - Newark, DE (19)	x		
S	268	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:	x		
S	269	JP Morgan - Sweep Account - Newark, DE	x		
S	270	First Republic Bank (FRC - NYSE) - Stock - New York, NY	x		
S	271	Cempra Inc. (CEMP - NasdaqGS) - Stock (24)	x		
S	272	Sorrento Therapeutics Inc. (SRNE - NasdaqCM) - Stock (25)	x		
S	273	3G Restaurants Holdings LP - Private Equity - New York, NY (4)	x		
S	274	3G Special Situations Fund III, LP - Private Equity - New York, NY	x		
S	275	3G Special Situations Fund IV LP - Private Equity - New York, NY (18)	x		
S	276	AIM Midstream, LLC - Private Equity - New York, NY	x		
S	277	Aisling Capital II, LP - Private Equity - New York, NY	x		
S	278	Aisling Capital III, LP - Private Equity - New York, NY	x		
S	279	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)	x		
S	280	Magnesita Refratarios SA - Brazil - Manufacturer of refractory material	x		
S	281	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)	x		
S	282	San Antonio International Ltd - San Antonio, TX (Energy)	x		
S	283	Altis Participacoes S.A. - Brazil - Staffing	x		
S	284	BHG S.A. - Brazil - Hotel Management	x		
S	285	Magnesita Refratarios SA - Brazil - Manufacturer of refractory material	x		
S	286	Lactas Brasil S.A. - Brazil - Dairy Company	x		
S	287	Mission Point Capital Partners Fd - Private Equity - New York, NY (3)	x		

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

BLOCK A		BLOCK B		BLOCK C		Amount of Income	
						Type of Income	Other (Specify Type)
S 288	Tricium Capital Partners II LP - Private Equity - New York, NY (3) (27)	x	x	x	x	None (or less than 201)	None (or less than 201)
S 289	Tower Three Partners Fund II, LP - Private Equity - New York, NY (26)	x	x	x	x	Exempted Trust	Qualified Blind Trust
S 290	TPF GenCo Co-Investment Fund LP - Private Equity - Omaha, NE (3)	x	x	x	x	Capital Gains	Accepted Investment Fund
S 291	PLM/CMB 2001 Trust c/o Malkin Holdings LLC, New York, NY	x	x	x	x	Rent	Interest
S 292	JP Morgan Checking Account - Newark, DE	x	x	x	x	Dividends	Dividends
S 293	RCB Investment Partners LLC - Partnership - New York, NY (22)	x	x	x	x	Over 1,000,000	Over 1,000,000
S 294	State Street Bank & Trust Co. - New York, NY (9)	x	x	x	x	50,000,000 - 50,000,000	50,000,000 - 50,000,000
S 295	RocketFitter US Small Capitalization Fund LP - Private Equity (3) (7) (less than .7 of 1%)	x	x	x	x	1,000,001 - 5,000,000	1,000,001 - 5,000,000
S 296	RocketFitter Global Equity Fund II LP - Private Equity (3) (8) (less than .10 of 1%)	x	x	x	x	5,000,001 - 25,000,000	5,000,001 - 25,000,000
S 297	Loan Receivable - BBSF LLC - Stamford, CT (10)	x	x	x	x	Over 50,000,000	Over 50,000,000
S 298	EQ&T, LLC (Owned by CMB 2012 GST) c/o Malkin Holdings LLC, New York, NY	x	x	x	x	1,001 - 15,000	1,001 - 15,000
S 299	JPMorgan Chase (Brokerage Cash) - Newark, DE (13)	x	x	x	x	None (or less than 1,001)	None (or less than 1,001)
S 300	Alibaba Group Holding Ltd - Stock	x	x	x	x	50,001 - 100,000	50,001 - 100,000
S 301	Kinrose Fund, LP - Hedge Fund - New York, NY (18) (3)	x	x	x	x	100,001 - 250,000	100,001 - 250,000
S 302	ContiCoffee - Private Equity - New York, NY	x	x	x	x	250,001 - 500,000	250,001 - 500,000
S 303	Loan Receivable - BBSF LLC - Stamford, CT	x	x	x	x	500,001 - 1,000,000	500,001 - 1,000,000
S 304	CMB 2010 FAMILY TRUST c/o Malkin Holdings LLC, New York, NY	x	x	x	x	Over 50,000,000	Over 50,000,000
S 305	Fidelity - FIMM Fund - Mutual Fund - New York, NY	x	x	x	x	1,001 - 15,000	1,001 - 15,000
S 306	Lantymas Partners LLC - Partnership - New York, NY (underlying assets listed above)	x	x	x	x	25,000,001 - 50,000,000	25,000,001 - 50,000,000
S 307	CMB 2009 GRAT c/o Malkin Holdings LLC, New York, NY	x	x	x	x	Over 50,000,000	Over 50,000,000
S 308	JP Morgan Checking Account - New York, NY	x	x	x	x	Over 50,000,000	Over 50,000,000
S 309	Peter L. Malkin Family 8 LLC - Partnership - New York, NY (underlying assets listed above)	x	x	x	x	Over 50,000,000	Over 50,000,000
S 310	Cynthia Blumenthal Personal Ownership c/o Greenwich, CT	x	x	x	x	Over 50,000,000	Over 50,000,000
S 311	Empire State Realty Trust Inc. - Class A (Common Stock) - New York, NY	x	x	x	x	Over 50,000,000	Over 50,000,000
S 312	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY	x	x	x	x	Over 50,000,000	Over 50,000,000
S 313	112 West 34th Street Interest Receivable - New York, NY (23)	x	x	x	x	Over 50,000,000	Over 50,000,000

BLOCK A		BLOCK B		BLOCK C	
				Type of Income	Amount of Income
S	314	W & M Properties, Inc. - Guardian Life Insurance Policy New York, NY (10)		Actual Amount (Required If "Other Specified")	
S	315	Geo Energy Partners LLC - Agoura Hills, CA - Energy (12)	x	Over \$5,000,000	
S	316	Real Estate Partnerships c/o Empire State Realty Trust, New York NY	x	1,000,001 - 5,000,000	
S	317	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)	x	Over 1,000,000	
S	318	Rochester Hills, MN - Residential - Garden Apartments	x	100,001 - 100,000	
S	319	Edison, NJ - CVS Retail Store	x	50,001 - 50,000	
S	320	Painesville, OH - CVS Retail Store	x	15,000 - 50,000	
S	321	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (10)	x	1,001 - 15,000	
S	322	Chicago Gold Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (10)	x	None (or less than 1,001)	
S	323	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	500,001 - 1,000,000	
S	324	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3)	x	250,001 - 500,000	
S	325	St. Davids, PA	x	100,001 - 250,000	
S	326	Manhasset, NY	x	50,001 - 100,000	
S	327	Paramus, NJ	x	15,000 - 50,000	
S	328	Louisville Self-Servica Associates LLC - Louisville, KY - Commercial - Retail (10)	x	1,001 - 15,000	
S	329	Malkin Industrial Partners II, LP - Chantestown, MA - Commercial - Office Building (3) (19)	x	None (or less than 1,001)	
S	330	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (10)	x	500,001 - 1,000,000	
S	331	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (10)	x	250,001 - 500,000	
S	332	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (10)	x	100,001 - 250,000	
S	333	Malkin Properties of Virginia, Inc. - Real Estate Management - New York, NY (10)	x	50,001 - 100,000	
S	334	Malkin Support Fund LP - Real Estate - New York, NY	x	15,000 - 50,000	
S	335	Fidelity - FIMM Fund - Mutual Fund - New York, NY	x	None (or less than 1,001)	
S	336	Loan Receivable - Kansas City Georgetown Associates - Kansas City, KS	x	500,001 - 1,000,000	
S	337	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)	x	1,001 - 15,000	

BLOCK A		BLOCK B		BLOCK C	
		Valuation of Assets		Amount of Income	
		Type of Income	Other (Specify Type)		Actual Amount (Required if "Other Specified")
\$ 338	Note (or less than 1,001)				Over 5,000,000
\$ 339					1,000,001 - 5,000,000
\$ 340					5,000,001 - 25,000,000
\$ 341					25,000,001 - 50,000,000
\$ 342					Over 50,000,000
343	1,001 - 15,000				1,000,001 - 5,000,000
344					5,001 - 15,000
345					15,001 - 50,000
					201 - 1,000
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					2,501 - 5,000
					5,001 - 15,000
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					Over 1,00

## Footnotes to Part IIIB

- (1) Currency received from maturing BRL based investments.
- (2) Fully redeemed during 2015.
- (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) During 2015, the interest in 3G Special Situations Fund II was contributed into 3G Restaurant Brands Holding LP.
- (5) See attachment - Rockefeller Access Fund I Schedule of Investments as of 12/31/15.
- (6) See attachment - Rockefeller Access Fund I-06 Schedule of Investments as of 12/31/15.
- (7) See attachment - Rockefeller & Co Us Small Capitalization Fund Statement of Transactions & Assets as of 12/31/15.
- (8) See attachment - Rockefeller & Co Global Equity Fund II, LP Statement of Transactions & Assets as of 12/31/15.
- (9) Custodial account for Rockefeller funds.
- (10) Sole underlying asset.
- (11) Previously reported as, "BTG Pactual – Estre Pedreira (Iron Fundo De Investimento)"
- (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 2015, 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) The Brazilian SELIC Notes matured in 2015 and the funds were reinvested in Brazilian Zero Coupon Passthrough Notes.
- (15) The entity is managed from London, England.
- (16) The entity is managed from Greenwich, CT
- (17) New underlying investment in 2015.
- (18) 2015 Purchase.
- (19) Not previously reported due to valuation and income not meeting threshold.
- (20) Entire interest and/or incremental interest and resulting income allocation was received as a distribution from a liquidating beneficial trust.
- (21) The underlying asset was previously owned Merrifield Apartments Company LLC. It was distributed to the newly formed entity Merrifield Apartments Company II LLC.
- (22) One partner received a distribution from the partnership in 2015 changing the resulting ownership allocation across all partners.
- (23) Interest was received as a result of a temporary loan made to 112 West 34th Street which was also paid off in 2015.
- (24) On May 14, 2015, Aisling Capital II distributed shares of Cempra Pharmaceuticals to AAM Partners LLC. As of 12/31/15 the Cempra shares were held in AAM Partner's JP Morgan account and traded on NASDAQ under the symbol CEMP
- (25) On July 23, August 18, and September 22 of 2015, Aisling Capital III distributed shares of Sorrento Therapeutics to AAM Partners LLC. Some of these shares were subsequently sold by AAM Partners as reported by Part IV with the balance as of 12/31/15 the Sorrento shares held in AAM Partner's JP Morgan account and traded on NASDAQ under the symbol SRNE.
- (26) The fund now qualifies as an EIF
- (27) See attached financial statements for underlying assets.
- (28) These one-time supervisory & legal fees were distributed to LarryMae as a former owner of Malkin Holdings. Malkin Holdings was owed these fees, and LarryMae received the distributions directly since the Malkin Holdings partnership was dissolved in 2013.