Steadview Transactions Greater Than $1K in CY 2014

Trade Date	Settle Date	Type	Security Code	Security Name	Bloomberg Code	Qty	Gross Rate (local curr)	Trade currency	Buy/Sell	Brokerage INR	Local fee (STT/SEC)	GOF fee $	Broker
5-Jun-14	9-Jun-14	Equity	TTK	TTK Prestige	TTKPT IN Equity	8,968	3,333	INR	S	63,911	29,893	0	KO
11-Jun-14	13-Jun-14	Equity	UBL	United Breweries	UBBL IN Equity	230,803	748	INR	S	345,293	172,645	0	MS
12-Jun-14	16-Jun-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	224,764	285	INR	S	96,064	64,047	0	JM
17-Jun-14		Private	UL	Urban Ladder		3,094	98,739	INR	B	0	0	0	
23-Jun-14	25-Jun-14	Equity	JDL	JustDial Limited	JUST IN Equity	18,007	1,416	INR	S	50,987	25,494	0	MS
24-Jun-14	26-Jun-14	Equity	JDL	JustDial Limited	JUST IN Equity	18,482	1,430	INR	S	52,876	26,438	0	MS
24-Jun-14	26-Jun-14	Equity	UBL	United Breweries	UBBL IN Equity	100,361	687	INR	S	137,886	68,943	0	MS
27-Jun-14	2-Jul-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	20,000	1,160	INR	S	46,400	23,200	0	MO
1-Jul-14	3-Jul-14	Equity	KPIT	KPIT-Technologi	KPIT IN Equity	148,789	174	INR	S	51,782	25,891	0	GS
4-Jul-14		Private	OLA	ANI Technologies		1,398	222,000	INR	B	0	0	0	
28-Jul-14	31-Jul-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	201,300	238	INR	B	95,928	47,964	0	MS
30-Jul-14	1-Aug-14	Equity	CERA	Cera Sanitarywar	CRS IN Equity	18,965	1,279	INR	B	51,876	24,264	0	KO
4-Aug-14	6-Aug-14	Equity	CERA	Cera Sanitarywar	CRS IN Equity	18,215	1,315	INR	B	51,195	23,945	0	KO
5-Aug-14	7-Aug-14	Equity	KAJAR	Kajaria Ceramics	KJC IN Equity	60,000	637	INR	B	76,420	38,210	0	CS
5-Aug-14	7-Aug-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	180,000	239	INR	B	85,897	42,948	0	CS
6-Aug-14	8-Aug-14	Equity	WEST	Westlife Develop	WLDL IN Equity	694,420	314	INR	S	435,415	217,708	0	AX
8-Aug-14	12-Aug-14	Equity	AIA	AIA Engineering	AIA IN Equity	225,000	780	INR	B	350,989	175,494	0	CS
11-Aug-14	13-Aug-14	Equity	AIA	AIA Engineering	AIA IN Equity	90,000	782	INR	B	140,740	70,370	0	CS
18-Aug-14	20-Aug-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	181,350	154	INR	S	55,856	27,928	0	AX
22-Aug-14	26-Aug-14	Equity	AIA	AIA Engineering	AIA IN Equity	48,210	875	INR	B	84,358	42,179	0	MO
25-Aug-14	27-Aug-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	155,950	149	INR	S	46,324	23,162	0	AX
28-Aug-14	2-Sep-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	101,500	1,275	INR	S	258,825	129,413	0	MS
2-Sep-14	4-Sep-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	122,192	260	INR	S	63,542	31,771	0	MS
3-Sep-14	5-Sep-14	Equity	PVR	PVR Limited	PVRL IN Equity	76,500	720	INR	S	110,161	55,081	0	AX
3-Sep-14	5-Sep-14	Equity	PVR	PVR Limited	PVRL IN Equity	200,000	720	INR	S	288,000	144,000	0	AX
4-Sep-14	8-Sep-14	Equity	KAJAR	Kajaria Ceramics	KJC IN Equity	45,000	675	INR	B	64,933	30,371	0	KO
5-Sep-14	9-Sep-14	Equity	BHAR	Bharti Infratel	0.000	100,704	281	INR	B	56,514	28,258	0	MS
5-Sep-14	9-Sep-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	900,000	150	INR	S	269,100	134,550	0	AX
8-Sep-14	10-Sep-14	Equity	BHAR	Bharti Infratel	0.000	193,642	292	INR	B	113,238	56,619	0	MS
8-Sep-14	10-Sep-14	Equity	BHAR	Bharti Infratel	0.000	92,700	290	INR	B	53,767	26,883	0	AX
8-Sep-14	10-Sep-14	Equity	AIA	AIA Engineering	AIA IN Equity	27,000	965	INR	B	52,086	26,044	0	MO
9-Sep-14	11-Sep-14	Equity	BHAR	Bharti Infratel	0.000	99,450	292	INR	B	58,146	29,073	0	MS
9-Sep-14	11-Sep-14	Equity	NAUKRI	Info Edge Ltd	INFOE IN Equity	299,250	740	INR	B	0	0	0	CLSA
10-Sep-14	12-Sep-14	Equity	BHAR	Bharti Infratel	0.000	112,105	284	INR	B	63,726	31,862	0	MS
15-Sep-14	17-Sep-14	Equity	PVR	PVR Limited	PVRL IN Equity	95,258	740	INR	S	140,982	70,491	0	MO

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

0000000000356

Amendment to Calendar Year 2012
Personal Financial Disclosure

0000000000357

Reporting Individual's Name 0000000000358

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding $1,000 at the close of the reporting period; and/or (3) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	1	3 Ms PARTNERS c/o Malkin Holdings LLC - New York, NY																																
S	2	JP Morgan - Checking Account - Newark, DE						x								x						x												
S	3	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x								x									x							
S	4	Wintergreen - Built-To-Last Partners - Hedge Fund - New York, NY - (1)			x										x	x																		
S	5	DC Capital Partners LP - Hedge Fund - New York, NY					x																			x								
S	6	Eton Park Fund, LP - Hedge Fund - New York, NY						x										x									x							
S	7	Quasar Global Opportunity Fund - Hedge Fund - New York, NY (1)			x										x	x												x						
S	8	Trellus Partner, LP - Hedge Fund - New York, NY							x									x				x												
S	9	Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY				x												x																
S	10	NEW THINGS PARTNERS LLC c/o Malkin Holdings LLC - New York, NY																					x											
S	11	JP Morgan - Checking Account - Newark, DE		x																														
S	12	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY																				x												
S	13	*JP Morgan - Checking Account - Newark, DE*	x																															
S	14	*First Republic Bank (FRC - NYSE) · Stock- New York, NY*			x																	x												
S	15	*3G Special Situations Fund II, LP - Private Equity - New York, NY*			x										x								x											
S	16	*3G Special Situations Fund III, LP - Private Equity - New York, NY*				x												x								x								
S	17	*AAM Emerging Managers, LP - Private Equity - New York, NY*	x															x				x												
S	18	*AIM Midstream, LLC - Private Equity - New York, NY*			x													x				x												
S	19	*Aisling Capital II, LP - Private Equity - New York, NY*	x															x				x												
S	20	*Aisling Capital III, LP - Private Equity- New York, NY*	x															x						x										
S	21	AEA Mezzanine Fund LP - Private Equity - New York, NY			x													x				x												
S	22	Asia Opportunity Fund II, LP - Private Equity - Hong Kong			x													x								x								
S	23	Blue Ridge China Partners, LP - Private Equity - New York, NY			x													x				x												
S	24	Wintergreen - Built-To-Last Partners - Hedge Fund - New York, NY (1)		x											x	x		x							x									
S	25	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (2)		x																						x								
S	26	*Amaizeingly Green Products, LP - Collingwood, ON, Canada*		x																		x												
S	27	*Bottle Rock Power LLC - Cobb, CA - Renewable Energy*		x																														
S	28	*Coastal Carolina Clean Power LLC - Austin, Tx - Renewable Energy*		x																														

Reporting Individual's Name 0000000000359

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding $1,000 at the close of the reporting period; and/or (3) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	29	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*			x																													
S	30	*Green Earth Fuels LLC - Houston, TX - Renewable Energy*		x																														
S	31	*Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy*	x																															
S	32	*ThermaSource LLC - Santa Rose, CA - Renewable Energy*		x																														
S	33	Carlyle/Riverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2)		x																														
S	34	Carlyle/Riverstone Brazil Ethanol Partnerships, LP - Private Equity - Washington DC (2)		x																	x													
S	35	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*		x																	x													
S	36	Haverford Capital Partners (Cayman), LTD - Private Equity - Stamford, CT		x																	x													
S	37	[redacted]			x												x				x													
S	38	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY		x													x									x								
S	39	C/R Knight Partners, LP - Private Equity - Washington, DC (30)	x														x							x										
S	40	**OTHER ONE LLC** c/o Malkin Holdings LLC - New York, NY													x		x	x								x								
S	41	JP Morgan - Checking Account - Newark, DE					x																											
S	42	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA							x								x				x													
S	43	**RCB INVESTMENT PARTNERS LLC (12)**																	x															
S	44	**EOAGT, LLC**								x					x		x	x																
S	45	Fidelity - FIMM Fund - Mutual Fund - New York, NY																												x				
S	46	Loan Receivable - BBSF LLC - Stamford, CT								x									x		x													
S	47	**PETER L. MALKIN FAMILY 9 LLC** c/o Malkin Holdings LLC, New York, NY								x											x													
S	48	JP Morgan - Checking Account - Newark, DE																																
S	49	Fine Troy Ounces of Allocated Gold - Held at JP Morgan								x							x									x								
S	50	BR Properties S.A. - Real Estate - Sao Paulo, Brazil - Public Company (Stock)						x													x													
S	51	Golub BDC Inc - (GBDC - NASDAQ) - Public Company - Stock - New York, NY							x						x										x									
S	52	3M's Partners - Partnership - New York, NY (Assets reported IIIB page 1)				x									x										x									
S	53	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x					x		x	x												x				
S	54	Falcon Edge Global LP - Hedge Fund - New York, NY								x									x										x					
S	55	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY (1)							x										x		x													
S	56	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ		x											x		x	x								x								
S	57	Trellus Partners, LP - Hedge Fund - New York, NY							x										x											x				
						x													x		x													

Reporting Individual's Name 0000000000360

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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S	58	Consonance Capital Investors, LP - Hedge Fund - New York, NY					x											x																
S	59	Steadview Capital Partners LP - Hedge Fund - Hong Kong						x										x				x					x							
S	60	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								x								x																
S	61	O-Cap Partners LP - Hedge Fund - New York, NY					x											x											x					
S	62	Wavecrest Partners Fund I, LP - Hedge Fund - New York, NY (4) (5)					x								x		x	x						x										
S	63	Asia Opportunity Fund II, LP - Private Equity - Hong Kong					x																		x									
S	64	Blue Ridge China Partners, LP - Private Equity - New York, NY					x											x				x												
S	65	Blue Ridge China Partners, II LP - Private Equity - New York, NY					x											x									x							
S	66	BTG Pactual Brazil Investment Fund I - Private Equity - Sao Paulo, Brazil				x												x								x								
S	67	*Leader - Rio de Janeiro - Retailer*						x														x												
S	68	*Bravante (Previously called Brasbunker partecioacies S.A.) - Rio de Janeiro, Brazil - Maritime Support services*						x								x	x								x									
S	69	*Estre Ambiental - Sao Paulo, Brazil - Waste Management*								x												x												
S	70	*CCRR Participacoes SA - Sao Paulo, Brazil - Specialty paper, labels, & adhesives*						x														x												
S	71	*Universo Online - Sao Paulo, Brazil - Online Services*							x													x												
S	72	*Bodytech - Rio de Janeiro, Brazil - Fitness centers*						x														x												
S	73	C-III Recovery Fund I, LP - Private Equity - New York, NY (6)			x													x						x										
S	74	C-3 Acquisition Co. LLC - Private Equity - New York, NY (6)				x									x	x	x	x			ordinary					x								20491
S	75	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (2)			x																													
S	76	*Amaizeingly Green Products, LP - Collingwood, ON, Canada*		x																		x												
S	77	*Bottle Rock Power LLC - Cobb, CA Renewable Energy*		x																														
S	78	*Coastal Carolina Clean Power LLC - Austin, Tx - Renewable Energy*		x																														
S	79	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*			x																													
S	80	*Green Earth Fuels LLC - Houston, TX - Renewable Energy*		x																														
S	81	*Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy*	x																															
S	82	*ThermaSource LLC - Santa Rose, CA - Renewable Energy*		x																														
S	83	Carlyle/Riverstone Brazil Ethanol Partnership, LP - Private Equity - Washington DC (2)		x																		x												
S	84	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*		x																		x												

Reporting Individual's Name 0000000000361

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	85	Carlyle/Riverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2)		x																		x												
S	86	Cellfor Inc. - Biotechnology - Soanicton - BC Canada			x																	x												
S	87	BR Fund II, L.P. Private Equity - San Paolo, Brazil (30)	x														x							x										
S	88	Durus Life Sciences Fund LLC - Private Equity- New York, NY	x														x							x										
S	89	Fogo Fund II, LP - Private Equity - New York, NY	x														x						x											
S	90	GEMS Fund, LP - Private Equity - New York, NY						x										x																
S	91	GEMS Palm Beach Holdings LP - Private Equity - New York, NY		x														x								x								
S	92	GP Capital Partners III, LP - Private Equity - Sao Paulo, Brazil				x												x				x												
S	93	*Tempo Participacoes SA - Brazil - Healthcare*				x																x												
S	94	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*			x	•																x												
S	95	Golub Capital Partners V, LP - Private Equity - New York, NY					x										x									x								
S	96	Golub Capital Partners VI, LP - Private Equity - New York, NY					x											x								x								
S	97	Golub Capital Partners VII, LP - Private Equity - New York, NY					x											x								x								
S	98	Haverford Capital Partners, LTD - Private Equity - San Francisco, CA			x													x								x								
S	99	Island C-III Holdings LLC - Private Equity - New York, NY (6)							x						x	x	x	x				ordinary								x				336515
S	100	Island C-III Holdings II LLC - Private Equity - New York, NY (6)				x									x	x	x	x				ordinary												31227
S	101	Island Fund I LLC - Private Equity - New York, NY (2)			x																					x								
S	102	*Celebrate Virginia - Fredericksburg, VA*		x																		x												
S	103	*EFO - Realty Sponsor Fund II LP - Dallas, TX*	x																															
S	104	*Insignia Opportunity Partners - New York, NY*		x																														
S	105	*Insignia Opportunity Partners II - New York, NY*		x																														
S	106	*Island Global Yachting II LP - Ft. Lauderdale, FL - Owns, develops, & manages yacht facilities*		x																														
S	107	*NYC Residential Fund - New York, NY - Owns 11 residential properties on Riverside Drive*	x																															
S	108	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India					x											x				x												
S	109	Magma Fund II, LP - Private Equity - Sao Paulo, Brazil		x																		x												
S	110	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*		x																		x												
S	111	Missionpoint Community Co-Investment, LP - Private Equity - New York, NY					x															x												
S	112	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*					x															x												
S	113	Missionpoint Community Co-Investment II, LP - Private Equity - New York, NY						x														x												
S	114	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*						x														x												
S	115	Missionpoint Community Co-Investment III, LP - Private Equity - New York, NY					x															x												

Reporting Individual's Name 0000000000362

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding $1,000 at the close of the reporting period; and/or (3) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	116	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*						x														x												
S	117	*MPH Energy Holdings LP - Charlotte, NC - Energy*						x														x												
S	118	Palamon European Equity Fund II, LP - Private Equity - London, Englanc					x											x							x									
S	119	R/C Pattern Energy Feeder, LP - Private Equity - Washington DC *(Committed capital to Pattern Enegry Group Holdings LP; a renewable energy development company. It has offices in San Francisco, New York, & Toronto)*							x													x												
S	120	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (2) (7)						x							x		x	x																
S	121	RRE Ventures III, LP - Private Equity - New York, NY					x																			x								
S	122	RRE Ventures IV, LP - Private Equity - New York, NY					x											x									x							
S	123	RRE Ventures V, LP - Private Equity - New York, NY					x											x						X										
S	124	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE					x											x				x												
S	125	Tenaska Power Fund, LP - Private Equity - Omaha, NE				x												x									x							
S	126	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY					x											x								x								
S	127	Tower Three Partners Fund II, LP - Private Equity - New York, NY		X																					x									
S	128	2006 Special Global Opportunities LLC - Private Equity New York, NY (2) (8)					x															x												
S	129	***Real Estate Partnerships c/o Malkin Holdings LLC, New York NY***																				x												
S	130	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building								x																								
S	131	*112 West 34th Street Company, LLC - New York, NY - Commercial Real Estate (3)*								x					x	x						x												
S	132	1185 Swap Portfolio, LP - New York, NY - Real Estate (2)							x						x	x	x								x									
S	133	*Rochester Hills, MN - Residential - Garden Apartments*																							x									
S	134	*Edison, NJ - CVS Retail Store*																																
S	135	*Painsville, OH - CVS Retail Store*																																
S	136	*White Plains, NY - Commercial - Office Building*																																
S	137	*New York, NY - Commercial - Retail*																																
S	138	1333 Broadway Associates LLC - New York, NY - Commercial - Office Building (3)								x												x												
S	139	1350 Broadway Associates LLC - New York, NY - Commercial - Office Building (3)								x					x	x		x								x								
S	140	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (3)								x												x												
S	141	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (3)								x						x							x											
S	142	500 Mamaroneck Avenue LP Harrison, NY - Commercial - Office Building (3)		x																		x												
S	143	501 Seventh Avenue Associates - New York, NY - Commercial Office Building (3)								x					x	x														x				
S	144	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (3)								x						x																		

Reporting Individual's Name 000000000363

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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S	145	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (3)					x								x	x	x								x									
S	146	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (3)					x								x	x																		
S	147	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (3)								x						x											x							
S	148	Empire State Building Company LLC - New York, NY - Commercial - Office Building (3)								x					x	x	x					ordinary					x							71238
S	149	Fairfax Merrifield Associates - New York, NY (2) (38)				x																	x											
S	150	*Fairfax, VA - Residential - Garden Apartments (fee position)*																																
S	151	*Stamford, CT - Commercial - Office Building*																																
S	152	Fairfield MerrittView LP - Norwalk, CT - Commercial - Office Building (3)			x																		x											
S	153	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (3)								x						x										x								
S	154	Georgetown Apartment Association - Shrewsbury, MO - Residential - Garden Apartments (3)								x					x	x	x											x						
S	155	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (3)			x											x								x										
S	156	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (3)				x																	x											
S	157	Lincoln Building Associates - New York, NY - Commercial - Office Building (3)								x					x	x																		
S	158	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (3)		x												x																		
S	159	Malkin Co-Investor Capital LP - (2) (38)		x																			x											
	160	*New York, NY - Office Building*																					x											
S	161	*Westport, CT - Retail Stores*																																
S	162	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (3)			x																		x											
S	163	Malkin Strategic Capital II, LP - New York, NY - Real Estate (2)			x										x	x	x	x								x								
S	164	*JP Morgan - Checking Account - Newark, DE*																																
S	165	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
S	166	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																
S	167	Malkin Strategic Capital III, LP - New York, NY - Real Estate (3) (9)			x										x		x	x																
S	168	Malkin Strategic Capital V, LP - New York, NY - Real Estate (2) (38)				x										x	x							x										
S	169	*Interaudi Bank - checking account - New York, NY*	x																															
S	170	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x																														
S	171	*University Square - San Diego, CA - Retail Shopping Center*		x																														
S	172	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*		x																														

Reporting Individual's Name 0000000000364

Richard Blumenthal

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	173	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*	x																															
S	174	*Loan Receivable - Bicester Village -Oxfordshire, England*		x																														
S	175	*Pantzer Dune Portfolio - Virginia & Maryland*		x																														
S	176	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (2)			x										x	x	x	x							x									
S	177	*Interaudi Bank - checking account - New York, NY*	x																															
S	178	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x																														
S	179	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*	x																															
S	180	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x																														
S	181	*Loan Receivable - 777 LP/Uni-Penn - Philadelphia, PA - Commercial Office*			x																													
S	182	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*		x																														
S	183	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*		x																														
S	184	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*		x																														
S	185	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (3)							x						x	x																		
S	186	McKnight Road Associates LLC - Ross Township, PA - Commercial - Retail (3)			x																					x								
S	187	Merrifield Apartments Company LLC - New York, NY - Real Estate (2) (38)						x														x												
S	188	*Fairfax, VA - Garden Apartments*													x	x	x											x						
S	189	*Stamford, CT - Office Building*																																
S	190	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (3)								x						x																		
S	191	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (3)		x																								x						
S	192	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (3)		x											x	x	x					x												
S	193	Seventh & 37th Building Associates LLC - New York, NY - Commercial - Office Building (3)						x							x	x							x											
S	194	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (3)			x											x							x											
S	195	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (3)					x									x	x							x										
S	196	U.S. Wertheim Associates LLC - Wertheim, Germany - Commercial - Retail (3)						x								x											x							
S	197	Wilk Realty Company LLC - Monroeville, PA - Commercial - Retail (3)			x											x																		
S	198	Malkin East West Retail LLC - New York, NY - Commercial - Retail (3)			x											x									x									
S	199	Malkin Foxfire LLC - Chicago, IL - Commercial - Retail (3)	x														x						x											
S	200	Malkin Glen Oaks LLC - Des Plaines - Residential - Garden Apartments (3)		x												x									x									

Reporting Individual's Name 000000000365

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	201	Malkin Union Square LLC - New York, NY - Commercial - Retail (3)	x													x	x						x											
S	202	One Station Place, Limited Partnership - Stamford, CT - Commercial - Office Building (3) (10)								x						x	x													x				
S	203	Malkin Properties of Connecticut, Inc. - Stamford, Ct - Real Esate Management						x														ordinary												233339
S	204	Malkin Construction Corp - Stamford, CT - Interior Building Construction (3)								x													x											
S	205	PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY																																
S	206	JP Morgan - Checking Account - Newark, DE								x							x																	
S	207	Fine Troy Ounces of Allocated Gold - Held at JP Morgan, Newark, DE								x																	x							
S	208	BR Properties S.A. -Sao Paulo, Brazil - Public Company (Stock)			x										x								x											
S	209	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x								x							
S	210	Consonance Capital Investors, LP - Hedge Fund - New York, NY							x										x										x					
S	211	DC Capital Partners LP - Hedge Fund - New York, NY								x									x									x						
S	212	Eton Park Fund, LP - Hedge Fund - New York, NY							x										x										x					
S	213	Falcon Edge Global LP - Hedge Fund - New York, NY							x										x									x						
S	214	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY (1)			x										x		x	x					x											
S	215	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ								x									x									x						
S	216	Trellus Partner, LP - Hedge Fund - New York, NY							x										x										x					
S	217	AAM Partners LLC - Partnership - New York, NY								x					x	x							x											
S	218	*First Republic Bank (FRC - NYSE) - New York, NY - Public Company*					x																					x						
S	219	*3G Special Situations Fund II, LP - Private Equity - New York, NY*						x											x						x									
S	220	*3G Special Situations Fund III, LP - Private Equity - New York, NY*						x											x									x						
S	221	*AAM Emerging Managers, LP - Private Equity - New York, NY*		x															x				x											
S	222	*AIM Midstream, LLC - Private Equity - New York, NY*					x												x				x											
S	223	*Aisling Capital II, LP - Private Equity - New York, NY*			x														x				x											
S	224	*Aisling Capital III, LP - Private Equity - New York, NY*			x														x							x								
S	225	Asia Opportunity Fund II, LP - Private Equity - Hong Kong					x												x				x											
S	226	BBH Capital Partners III, LP - Private Equity - New York, NY						x											x				x											
	227	BR Fund II, L.P. - Private Equity - San Paolo, Brazil (30)	x															x									x							
S	228	Wintergreen - Built To Last Partners LLC - New York, NY (1)			x										x		x	x						x										
S	229	Chauncey Street Group, LLC -Residential Real Estate - 41 Chauncey St, Brooklyn, NY				x																	x					x						

Reporting Individual's Name 0000000000366
Richard Blumenthal
Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	230	DC Franchise 2011 LLC - Private Equity - Greenwich, CT (Quality Brand Capital LLC - acquire Dunkin Donut franchise restaurants)					x															x												
S	231	Drill Fund, LP - Private Equity - Sao Paulo, Brazil	x																			x												
S	232	*San Antonio International Ltd - San Antonio, TX (Energy)*	x																			x												
S	233	Drill Fund III, LP - Private Equity - Sao Paulo, Brazil					x															x												
S	234	*San Antonio International Ltd - San Antonio, TX (Energy)*					x															x												
S	235	Evryx Technologies - Telecommunications - Glendale, CA	x																			x												
S	236	Golub Capital Coinvestment, LP - Private Equity- New York, NY			x													x								x								
S	237	Golub Capital Partners IV, LP - Private Equity - New York, NY					x											x																
S	238	Golub Capital Partners VIII, LP - Private Equity - New York, NY				x												x						x										
S	239	GP Capital Partners III, LP - Private Equity - Sao Paulo, Brazil			x													x							x									
S	240	*Tempo Participacoes S.A.-Brazil - Healthcare*			x																	x												
S	241	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*		x																		x												
S	242	GP Capital Partners IV, LP - Private Equity - Sao Paulo, Brazil						x									x								x									
S	243	GP Capital Partners V, LP - Private Equity - Sao Paulo, Brazil				x												x				x												
S	244	Horseshoe Re Ltd - Series BTG-002 - -Private Equity - Sao Paulo, Brazil - Insuruance						x														x												
S	245	Magma Fund, LP - Private Equity - Private Equity -Sao Paulo, Brazil			x																	x												
S	246	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*			x																	x												
S	247	Magma Fund II, LP - Private Equity - Private Equity - Sao Paulo, Brazil		x																		x												
S	248	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*		x																		x												
S	249	Palamon European Equity Fund II, LP - Private Equity - London, Englanc					x											x								x								
S	250	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (2) (7)				x									x		x	x								x								
S	251	Rockefeller Access Fund 06-I, LLC - New York, NY (2) (15)						x							x		x	x								x								
S	252	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY				x												x									x							
S	253	Tenaska Power Fund, LP - Private Equity - Omaha, NE					x											x						x										
S	254	Tinicum Capital Partners II LP - Private Equity - New York, NY				x												x									x							
S	255	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY						x										x									x							
S	256	Tower Three Partners Fund II, LP - Private Equity - Greenwich, CT (no underlying investments)		x																								x						
S	257	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE					x											x											x					

Reporting Individual's Name 000000000367

Richard Blumenthal

Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	258	Trident Private Equity II, LP - Private Equity · London, Englanc				x													x				x											
S	259	ZM Capital, LP - Private Equity - New York, NY						x											x								x							
S	260	ZM Titan Investment, LP - Private Equity - New York, NY (16)								x																								
	261	C/R Knight Partners, LP - Private Equity - Washington, DC (30)	x												x		x	x					x											
S	262	*Real Estate Partnerships c/o Malkin Holdings LLC, New York NY*																												x				
S	263	112 West 34th Street Associates, LLC - New York, NY · Commercial - Office Building (3)					x																											
S	264	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (3)					x																x											
S	265	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (3)							x														x											
S	266	500 Mamaroneck Avenue LP - Harrison, NY - Commercial · Office Building (3)		x												x								x										
S	267	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (3)						x															x											
S	268	BBSF LLC - Vacant Land - Stamford, CT (3)								x						x											x							
S	269	Broadway/72nd Associates II PLM JV - New York, NY · Commercial - Office Building (3)							x													ordinary						x						49,233
S	270	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments(3)		x											x	x	x													x				
S	271	East West Manhattan Retail Portfolio, LP · New York, NY - Commercial - Retail (3)			x											x										x								
S	272	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (3)								x						x									x									
S	273	Empire State Building Company LLC - New York, NY · Commercial - Office Building (3)						x							x	x	x					ordinary						x						1576
S	274	Fairfield MerittView LP - Norwalk, CT - Commercial - Office Building (3)		x																							x							
S	275	First Stamford Place LLC Stamford, CT - Commercial - Office Building (3)		x																			x											
S	276	Malkin Greenwich Retail, LLC - Greenwich, CT Commercial - Retail (3)					x																x											
S	277	Jefferson (Dixie) Associates, LLC - Louisville, KY · Commercial - Retail (3)		x												x								x										
S	278	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (2)								x						x														x				
S	279	*St. Davids, PA*						x																										
S	280	*Manhasset, NY*							x																									
S	281	*White Plains, NY*								x																								
S	282	*Paramus, NJ*						x																										
S	283	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (3)		x												x								x										
S	284	Malkin Co-Investor Capital LP - New York, NY - Real Estate (2)			x																		x											
	285	*New York, NY - Commercial Office*																																
S	286	*Westport, CT - Retail Stores*																																

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Richard Blumenthal

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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S	287	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (2)					x									x	x							x										
S	288	*Memphis, TN*																																
S	289	*Columbus, OH*																																
S	290	*Charleston, SC*																																
S	291	*Raleigh - Durham, NC*																																
S	292	*Philadelphia, PA*																																
S	293	*Virginia Beach, VA*																																
S	294	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (3)		x																		x												
S	295	Malkin Strategic Capital II, LP - New York, NY - Real Estate (2)		x												x	x	x								x								
S	296	*JP Morgan - Checking Account - Newark, DE*	x																															
S	297	*Fidelity - FIMM Fund - Mutual Fund -New York, NY*		x																		x												
S	298	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x														x				x												
S	299	Malkin Strategic Capital III, LP - New York, NY - Real Esate (3) (9)				x										x								x										
S	300	Malkin Strategic Capital IV, LP - New York, NY - Real Estate (2)					x								x		x	x								x								
S	301	*Interaudi Bank - checking account - New York, NY*	x																								x							
S	302	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*	x																			x												
	303	*1370 Broadway - Office building - New York, NY*			x													x				x												
S	304	*400 Madison Avenue - Office Building, New York, NY*			x												x										x							
S	305	Malkin Strategic Capital V, LP - New York, NY (2)				x																x												
S	306	*Interaudi Bank - checking account - New York, NY*														x	x						x											
S	307	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
	308	*Bicester Village - Retail - Oxfordshire, England*			x																													
S	309	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*			x																													
S	310	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*		x																														
S	311	*Loan Receivable - University Square - Retail - San Diego, CA*			x																													
S	312	*Pantzer Dune Portfolio - Virginia & Maryland*				x																												
S	313	Malkin Strategic Capital Value Retail LP - New York, NY - Real Estate (3) (17)		x													x						x											
S	314	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (3)					x								x	x										x								
S	315	New Soundview Plaza Associates, LP New York, NY - Real Estate (2)					x								x	x										x								
	316	*New York, NY - Office Building*																																
S	317	*Westport, CT - Retail Stores*																																

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	318	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (3)			x											x									x										
S	319	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (3)		x												x								x										
S	320	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (3)		x											x	x	x							x										
S	321	S.D. Malkin Atlantic Partners, LP - Greenwich, CT - Commercial Real Estate - Bridgeworks - San Diego, CA - Commercial Retail (3)						x							x	x		x												x				
S	322	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (3)			x											x								x										
S	323	U.S. Bicester LP - Oxfordshire, England - Commercial - Retail (3)								x						x	x																	
S	324	U.S. Bicester II LLC PLM JV - Oxfordshire, England - Commercial - Retail (3)								x						x	x										x							
S	325	U.S. Dublin LLC - Dublin, Ireland - Commercial - Retail (3)			x																									x				
S	326	U.S. La Roca LLC PLM JV - Barcelona, Spain - Commercial - Retail (3)								x						x	x					x												
S	327	U.S. Maasmechellen LLC - Maasmechellen, Belgium - Commercial - Retail (3)	x																									x						
S	328	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (3)					x									x	x					x												
S	329	U.S. Munich LLC - Munich, Germany - Commercial - Retail (3)					x																				x							
S	330	U.S. Paris LLC - Paris, France - Commercial - Retail (3)					x															x												
	331	Westport Main Street Retail LLC - Westport, CT - Commercial - Retail (3)			x										x	x						x												
S	332	3M's Partners - Partnership - New York, NY (Assets reported IIIB page 1)								x					x	x	x	x						x										
S	333	**PLM/CMB 2001 Trust - New York, NY**																									x							
S	334	JP Morgan Checking Account - Newark, DE						x									x																	
S	335	RCB Investment Partners LLC (12)								x					x		x	x					x											
S	336	*State Street Bank & Trust Co.*																									x							
S	337	*Rockefeller US Small Capitalization Fund LP - Private Equity*																																
S	338	*Rockefeller Global Equity Fund II LP - Private Equity*																																
S	339	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund*																																
S	340	Loan Receivable - BBSF LLC - Stamford, CT (3)								x							x						x											
S	341	**CMB 2010 TRUST New York, NY (13)**																																
S	342	Fidelity - FIMM Fund - Mutual Fund - New York, NY																																
S	343	Larrymae Partners LLC - Real Estate Supervisory Agent - New York, NY																																
S	344	*JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE*																																
S	345	**PLM 1999 FAMILY TRUST New York, NY**																																

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	346	Wintergreen Fund (WGRNX) - Publicly traded mutual fund - New York, NY						x											x						x										
	347	**Defined Benefit Pension Plan Interest - State of Connecticut (11)**																																	
S	348	**Geo Energy Partners - 1983 LTD - New York, NY - Energy**			x											x											x								
S	349	**Blumenthal Oil & Gas LLC - New York, NY - Oil and Gas**				x																	x												
S	350	**Greely Gas LTD - Austin, TX - Oil & Gas**		x																			x												
S	351	**Larrymae Partners LLC - Real Estate Supervisory Agent - New York, NY**								x					x	x	x													x					
S	352	Malkin Construction Corp - Stamford, CT - Interior Building Construction (3)	x																				x												
S	353	Malkin Securities Corporation - Broker/Dealer - New York, NY (3)					x																x												
S	354	Malkin Support Fund LP - Real Estate - New York, NY (3)							x								x								x										
S	355	***Real Estate Partnerships c/o Malkin Holdings LLC, New York NY***	x																																
S	356	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (3)						x															x												
S	357	112 West 34th Street Company LLC - New York, NY - Commercial - Office Building (3)								x						x											x								
S	358	1185 Swap Portfolio, LP - New York, NY - Real Estate (2)								x					x	x	x													x					
S	359	*Rochester Hills, MN - Residential - Garden Apartments*																					x												
S	360	*Edison, NJ - CVS Retail Store*																					x												
S	361	*Painsville, OH - CVS Retail Store*																					x												
S	362	*New York, NY - Commercial - Office Building*																					x												
S	363	*White Plains, NY - Commercial - Office Building*																												x					
S	364	1333 Broadway Associates LLC - New York, NY - Commercial - Office Building (3)						x															x												
S	365	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (3)					x																x												
S	366	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (3)						x								x										x									
S	367	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (3)								x						x												x							
S	368	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (3)					x									x	x											x							
S	369	Chelsea Gardens - New York, NY - Apartments (3)		x														x						x											
S	370	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (3)					x								x	x	x										x								
S	371	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (3)								x						x														x					
S	372	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (3)								x						x															x				
S	373	Empire State Building Company LLC - New York, NY - Commercial - Office Building (3)								x					x	x															x				

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	374	Fairfield MerrittView LP Norwalk, CT - Commercial - Office Building (3)							x							x							x					x						
S	375	First Stamford Place LLC - Stamford, CT - Commercial - Office Building (3)		x																			x											
S	376	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (3)						x							x	x										x								
S	377	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (3)		x																														
S	378	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (3)	x													x							x											
S	379	z					x																		x									
S	380	Malkin Properties LLC - Real Estate Management - New York, NY (3)						x															x											
S	381	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (3)		x																			x											
S	382	Malkin Properties of Kansas, LLC- Real Estate Management - New York, NY (3)		x																		Ordinary												7,840
S	383	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (3)		x																		Ordinary												129
S	384	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (3)		x																		Ordinary												278
S	385	Malkin Properties of New York LLC - Real Estate Management - New York, NY (3)					x															Ordinary												95,013
S	386	Malkin Properties of Virginia, Inc. - Real Estate Management - New York, NY (3)		x																		Ordinary												85,995
S	387	Malkin Strategic Capital II, LP - New York, NY			x										x		x	x				Ordinary												102,061
S	388	*JP Morgan - Checking Account - Newark, DE*																									x							
S	389	*Fidelity - FIMM Fund - Mutual Fund- New York, NY*																	x															
S	390	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (3)							x							x	x																	
S	391	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (2)							x							x												x						
S	392	*St. Davids, PA*							x																			x						
S	393	*Manhasset, NY*							x																									
S	394	*White Plains, NY*							x																									
S	395	*Paramus, NJ*							x																									
S	396	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (3)			x											x								x										
	397	Rochester River Oaks/Chicago Foxfire Apartments, LLC - Rochester Mills, MI - Residential Garden Apartments (3)	x																				x											
S	398	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (3)				x										x	x																	
S	399	Seventh & 37th Building Associates LLC - New York, NY - Commercial - Office Building (3)						x							x	x											x							
S	400	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (3)		x												x							x											
S	401	Loan Receivable – Mauricia Guerra – Stamford, CT			x												x							x										
																								x										

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Richard Blumenthal

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	402	W & M Properties, Inc. · Real Estate Management - New York, NY (3)		x																		x												
DC	403	CLAIRE M. BLUMENTHAL 2012 TRUST - Greenwich, CT (29)																																
DC	404	JP Morgan Checking Account · Newark, DE								x						x							x											
DC	405	RCB Investment Partners LLC - Partnership - New York, NY (2)					x								x		x	x								x								
DC	406	*State Street Bank & Trust Co. - New York, NY*																																
DC	407	*Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (less than .7 of 1%)*																																
DC	408	*Rockefeller Global Equity Fund II LP - Private Equity - New York (less than .10 of 1%)*																																
DC	409	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund - New York, NY*																																
DC	410	Real Estate Partnerships c/o Malkin Holdings LLC, New York NY																																
DC	411	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (3)							x							x										x								
DC	412	60 East 42nd Street Associate, LLC · New York, NY - Commercial - Office Building (3)								x						x											x							
DC	413	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (3)			x										x	x	x						x											
	414	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (3)								x						x													x					
DC	415	Fairfield MerritView LP - Norwalk, CT - Commercial - Office Building (3)			x																	x												
DC	416	Fairfax Merrifield Associates - Stamford, CT - Real Estate (2)			x																	x												
	417	*Fairfax, VA- Residential - Garden Apartments*																																
	418	*Stamford, CT · Commercial - Office Building*																																
DC	419	Fisk Building Associates LLC · New York, NY - Commercial - Office Building (3)					x								x	x								x										
DC	420	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (3)				x																x												
DC	421	Malkin Strategic Capital II, LP - New York, NY (2)		x													x	x							x									
DC	422	*JP Morgan - Checking Account - Newark, DE*																																
DC	423	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
DC	424	*Loan Receivable · VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																
DC	425	St. Louis · Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (3)			x												x								x									
DC	426	500 Mamaroneck Avenue LP Harrison, NY - Commercial - Office Building (3)		x																		x												
DC	427	PLM/CLAIRE 1998 TRUST - New York, NY																																
DC	428	JP Morgan Checking Account - New York, NY						x									x						x											0

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding $1,000 at the close of the reporting period; and/or (3) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Tr	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
DC	429	Wintergreen Fund (WGRNX) - New York, NY - Publicly traded mutual fund						x											x						x									
DC	430	RCB Investment Partners LLC - New York, NY - Investment Partnership (12)						x							x		x	x									x							
	431	Note Receivable - Peter L. Malkin Greenwich, CT				x																x												
DC	432	Real Estate Partnerships c/o Malkin Holdings LLC, New York NY																																
DC	433	Louisville Self-Service Associates LLC Louisville, KY - Commercial - Retail (3)		x												x							x											
DC	434	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (2)				x										x	x						x											
DC	435	*Memphis, TN*																																
DC	436	*Columbus, OH*																																
DC	437	*Charleston, SC*																																
DC	438	*Raleigh - Durham, NC*																																
DC	439	*Philadelphia, PA*																																
DC	440	*Virginia Beach, VA*																																
	441	Malkin Support Fund - New York, NY - Real Estate (26A)		x													x					x												
	442	Malkin Strategic Capital II, L.P. Loan to VR Finance Oxfordshire UK (3)		x												x	x									x								
DC	443	David J. Blumenthal 2010 Trust - Greenwich, CT																																
DC	444	JP Morgan Checking Account - New York, NY				x											x					x												
DC	445	RCB Investment Partners LLC - New York, NY - Investment Partnership (12)					x								x		x	x				x												
DC	446	Real Estate Partnerships c/o Malkin Holdings LLC, New York NY																																
DC	447	250 West 57th St. Associates, LLC - New York, NY - Commercial - Office Building (3)						x								x									x									
DC	448	60 East 42nd St. Associates, LLC - New York, NY - Commercial - Office Building (3)								x					x	x	x										x							
DC	449	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (3)			x										x	x	x						x											
DC	450	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (3)								x						x												x						
DC	451	Fairfax Merrifield Associates - New York, NY - Real Estate (2)			x																	x												
DC	452	*Stamford, CT - Commercial - Office Building*																																
	453	*Fairfax, VA - Residential - Garden Apartments*																																
DC	454	Fairfield MerritView LP - Norwalk, CT - Commercial - Office Building (3)		x																		x												
DC	455	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (3)					x								x	x									x									
DC	456	Malkin Industrial Partners II, L.P. - Charlestown, MA - Commercial - Office Building (3)				x																x												
DC	457	Malkin Strategic Capital II, L.P. Loan to VR Finance Oxfordshire UK (3)		x												x	x								x									

Amendment to Calendar Year 2013
Personal Financial Disclosure

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Reporting Individual's Name	☒ Amendment	PART II. EARNED AND NON-INVESTMENT INCOME	Page Number
RICHARD BLUMENTHAL			1

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

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

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	*JP Computers*	*Wash., DC* **EXAMPLE**	*Salary*	*$15,000*
	MCI (Spouse)	*Arlington, VA* **EXAMPLE**	*Salary*	*Over $1,000*
1	State of Connecticut Retirement Division	Hartford, CT	Pension	53,753
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				

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Reporting Individual's Name
Richard Blumenthal
Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	1	**3 Ms PARTNERS** c/o Malkin Holdings LLC - New York, NY																																
S	2	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x								x											x					
S	3	Wintergreen - Built-To-Last Partners - Hedge Fund - New York, NY - (1)	x															x																
S	4	DC Capital Partners LP - Hedge Fund - New York, NY			x													x				x												
S	5	Eton Park Fund, LP - Hedge Fund - New York, NY				x												x						x										
S	6	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY	x															x						x										
S	7	Trellus Partner, LP - Hedge Fund - New York, NY (3)					x											x				x												
S	8	Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY		x												x						x												
S	9	**NEW THINGS PARTNERS LLC** c/o Malkin Holdings LLC - New York, NY																x							x									
S	10	JP Morgan - Checking Account - Newark, DE			x																													
S	11	**AAM Partners LLC** c/o Malkin Holdings LLC - New York, NY					x									x						x												
S	12	*JP Morgan - Checking Account - Newark, DE*	x												x	x									x									
S	13	*First Republic Bank (FRC - NYSE) - Stock- New York, NY*			x											x						x												
S	14	*3G Special Situations Fund II, LP - Private Equity - New York, NY*				x									x								x											
S	15	*3G Special Situations Fund III, LP - Private Equity - New York, NY*				x												x				x												
S	16	*AAM Emerging Managers, LP - Private Equity - New York, NY (2)*	x															x				x												
S	17	*AIM Midstream, LLC - Private Equity - New York, NY*			x													x					x											
S	18	*Aisling Capital II, LP - Private Equity - New York, NY*		x														x							x									
S	19	*Aisling Capital III, LP - Private Equity- New York, NY*		x														x				x												
S	20	AEA Mezzanine Fund LP - Private Equity - New York, NY			x													x						x										
S	21	Asia Opportunity Fund II, LP - Private Equity - Hong Kong		x														x						x										
S	22	Blue Ridge China Partners, LP - Private Equity - New York, NY			x													x							x									
S	23	Wintergreen - Built-To-Last Partners - Hedge Fund - New York, NY - (1)	x															x				x												
S	24	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (3)		x												x										x								
S	25	*AG Global Canada LP - Collingwood, ON, Canada - Renewable Energy*														x						x												
S	26	*Bottle Rock Power LLC - Cobb, CA - Renewable Energy*																																
S	27	*Coastal Carolina Clean Power LLC - Austin, Tx - Renewable Energy*																																
S	28	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*																																

Reporting Individual's Name
Richard Blumenthal
Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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S	29	*Green Earth Fuels LLC - Houston, TX - Renewable Energy*																																
S	30	*Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy*																																
S	31	*ThermaSource LLC - Santa Rose, CA - Renewable Energy*																																
S	32	Carlyle/Riverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2) (3)	x																															
S	33	Carlyle/Riverstone Brazil Ethanol Partnerships, LP - Private Equity - Washington DC (3)		x												x					ordinary		x											937
S	34	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*		x																		x												
S	35	Haverford Capital Partners (Cayman), LTD - Private Equity Stamford, CT (3)		x																		x												
S	36	Tinicum Capital Partners II LP - Private Equity - New York, NY		x																		x												
S	37	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY		x													x					x												
S	38	**OTHER ONE LLC c/o Malkin Holdings LLC - New York, NY**															x					x												
S	39	JP Morgan - Checking Account - Newark, DE						x																										
S	40	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA							x							x							x											
S	41	**RCB INVESTMENT PARTNERS LLC (12)**															x					x												
S	42	State Street Bank & Trust Co. (15)								x						x																		
S	43	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (12) (less than .7 of 1%'				x										x											x							
S	44	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (13) (less than .10 of 1%'				x										x							x											
S	45	Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund - New York, NY (2)	x														x									x								
S	46	**EOAGT, LLC (Owned by CMB 2012 GST) c/o Malkin Holdings LLC, New York, NY (20)**															x								x									
S	47	Fidelity - FIMM Fund - Mutual Fund - New York, NY																																
S	48	Loan Receivable - BBSF LLC - Stamford, CT								x							x					x												
S	49	**PETER L. MALKIN FAMILY 9 LLC c/o Malkin Holdings LLC, New York, NY**								x						x																		
S	50	JP Morgan - Sweep Account - Newark, DE																								x								
S	51	JP Morgan - Checking Account - Newark, DE								x						x																		
S	52	JP Morgan - Savings Account - Newark, DE		x												x							x											
S	53	JP Morgan CDs (2) - Newark, DE								x						x						x												
S	54	Fine Troy Ounces of Allocated Gold - Held at JP Morgan	x													x									x									
S	55	BR Properties S.A. - Real Estate - San Paulo, Brazil - Public Company (Stock)				x																				x								
S	56	Brazilian SELIC Notes- Brazil					x								x							x												
S	57	Golub BDC Inc - (GBDC - NASDAQ) - Public Company - Stock - New York, NY					x																			x								
S	58	Empire State Realty Trust Inc - New York, NY - Class B (Common Stock) (26)				x									x																			

Reporting Individual's Name
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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	59	3M's Partners - Partnership - New York, NY								x																								
S	60	*Blue Ridge Limited Partnership - Hedge Fund - New York, NY*								x						x														x				
S	61	Wintergreen - Built-To-Last Partners - Hedge Fund - New York, NY - (1)	x															x												x				
S	62	*DC Capital Partners LP - Hedge Fund - New York, NY*			x													x				x												
S	63	*Eton Park Fund, LP - Hedge Fund - New York, NY*				x												x							x									
S	64	*Quasar Global Opportunity Fund - Hedge Fund - New York, NY*	x															x							x									
S	65	*Trellus Partner, LP - Hedge Fund - New York, NY*					x									x						x												
S	66	*Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY*		x														x				x												
S	67	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x								x								x								
S	68	Falcon Edge Global LP - Hedge Fund - New York, NY (3)							x						x	x	x												x					
S	69	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY	x												x		x	x				x												
S	70	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ						x											x															
S	71	Trellus Partners, LP - Hedge Fund - New York, NY (3)					x									x											x							
S	72	Consonance Capital Investors, LP - Hedge Fund - New York, NY					x											x				x												
S	73	Steadview Capital Partners LP - Hedge Fund - Hong Kong						x										x								x								
S	74	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								x								x				x												
S	75	O-Cap Partners LP - Hedge Fund - New York, NY						x										x				x												
S	76	Wavecrest Partners Fund I, LP - Hedge Fund - New York, NY (3) (31)	x												x		x	x									x							
S	77	Asia Opportunity Fund II, LP - Private Equity - Hong Kong				x												x								x								
S	78	Blue Ridge China Partners, LP - Private Equity - New York, NY				x												x									x							
S	79	Blue Ridge China Partners, II LP - Private Equity - New York, NY			x													x				x												
S	80	BTG Pactual Brazil Investment Fund I - Private Equity - San Paulo, Brazil (3)							x													x												
S	81	*Leader - Rio de Janeiro - Retailer*																																
S	82	*Bravante - Rio de Janeiro, Brazil - Maritime Support services*																																
S	83	*Estre Ambiental - San Paulo, Brazil - Waste Management*																																
S	84	*CCRR Participacoes SA - San Paulo, Brazil - Specialty paper, labels, & adhesives*																																
S	85	*Universo Online - San Paulo, Brazil - Online Services*																																
S	86	*Bodytech - Rio de Janeiro, Brazil - Fitness centers*																																
S	87	C-III Recovery Fund I, LP - Private Equity - New York, NY				x												x					x											

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Richard Blumenthal
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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	88	C-3 Acquisition Co. LLC - Private Equity - New York, NY				x																												
S	89	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (3)		x														x								x								
S	90	*AG Global Canada, LP - Collingwood, ON, Canada - Renewable Energy*																				x												
S	91	*Bottle Rock Power LLC - Cobb, CA - Renewable Energy*																																
S	92	*Coastal Carolina Clean Power LLC - Austin, Tx - Renewable Energy*																																
S	93	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*																																
S	94	*Green Earth Fuels LLC - Houston, TX - Renewable Energy*																																
S	95	*Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy*																																
S	96	*ThermaSource LLC - Santa Rose, CA - Renewable Energy*																																
S	97	Carlyle/Riverstone Brazil Ethanol Partnership, LP - Private Equity - Washington DC (3)		x																														
S	98	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*		x																		x												
S	99	Carlyle/Riverstone Coastal Carolina Investment, LP - Private Equity - Washington DC (2) (3)	x																			x												
S	100	Consonance Capital Investors, LP - Private Equity - New York, NY			x												x						x											
S	101	Durus Life Sciences Fund LLC - Private Equity- New York, NY (2)	x															x				x												
S	102	Fogo Fund II, LP - Private Equity - New York, NY (1)	x													x								x										
S	103	GEMS Fund, LP - Private Equity - New York, NY				x										x							x											
S	104	GEMS Palm Beach Holdings LP - Private Equity - New York, NY	x															x									x							
S	105	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)			x													x					x											
S	106	*Tempo Participacoes SA - Brazil - Healthcare*															x							x										
S	107	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	108	Golub Capital Partners V, LP - Private Equity - New York, NY				x																												
S	109	Golub Capital Partners VI, LP - Private Equity - New York, NY				x												x									x							
S	110	Golub Capital Partners VII, LP - Private Equity - New York, NY				x												x									x							
S	111	Haverford Capital Partners, LTD - Private Equity - San Francisco, CA (3)			x													x								x								
S	112	Island C-III Holdings LLC - Private Equity - New York, NY						x														x												
S	113	Island C-III Holdings II LLC - Private Equity - New York, NY				x												x											x					
S	114	Island Fund I LLC - Private Equity - New York, NY (3)			x													x									x							
S	115	*Celebrate Virginia - Fredericksburg, VA*																				x												
S	116	*EFO - Realty Sponsor Fund II LP - Dallas, TX*																																

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S	117	*Insignia Opportunity Partners - New York, NY*																																
S	118	*Insignia Opportunity Partners II - New York, NY*																																
S	119	*Island Global Yachting II LP - Ft. Lauderdale, FL - Owns, develops, & manages yacht facilities*																																
S	120	*NYC Residential Fund - New York, NY - Owns 11 residential properties on Riverside Drive*																																
S	121	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India					x											x				x												
S	122	Magma Fund II, LP - Private Equity - San Paulo, Brazil (3)		x													x					x												
S	123	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*														x						x												
S	124	Missionpoint RE Co-Invest Fund, LP - Private Equity - New York, NY (3)						x																										
S	125	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*						x								x						x												
S	126	*MPH Energy Holdings LP - Charlotte, NC - Energy*			x																													
S	127	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3)							x																									
S	128	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*						x								x						x												
S	129	*MPH Energy Holdings LP - Charlotte, NC - Energy*			x																													
S	130	Missionpoint RE Co-Invest Fund III, LP - Private Equity - New York, NY (3)					x																											
S	131	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*					x									x						x												
S	132	*MPH Energy Holdings LP - Charlotte, NC - Energy*			x																													
S	133	Palamon European Equity Fund II, LP - Private Equity - London, England				x												x								x								
S	134	R/C Pattern Energy Feeder, LP - Private Equity - Washington DC *(Committed capital to Pattern Enegry Group Holdings LP, a renewable energy development company. It has offices in San Francisco, New York, & Toronto) (3)*						x							x											x								
S	135	Riverpark Structural Alpha Fund Inst. F/K/A Wavecrest Partners Fund I, LP - Mutual Fund (1) (30)	x															x					x											
S	136	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3) (10)					x								x		x	x				not section 1231, other income						x						8453
S	137	RRE Ventures III, LP - Private Equity - New York, NY			x													x																
S	138	RRE Ventures IV, LP - Private Equity - New York, NY					x											x										x						
S	139	RRE Ventures V, LP - Private Equity - New York, NY						x										x				x												
S	140	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)					x																						x					
S	141	Tenaska Power Fund, LP - Private Equity Omaha, NE			x													x				x												
S	142	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY		x														x																
S	143	Tower Three Partners Fund II, LP - Private Equity - New York, NY (3)				x																x												
S	144	2006 Special Global Opportunities LLC - Private Equity New York, NY (3)				x																x												

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S	145	*Real Estate Partnerships c/o Malkin Holdings LLC, New York NY*																																
S	146	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (17)								x					x	x																		
S	147	*112 West 34th Street Company, LLC - New York, NY - Commercial Real Estate (17)*								x																x								
S	148	1185 Swap Portfolio, LP - New York, NY - Real Estate (3) (33)					x															x												
S	149	*Rochester Hills, MN - Residential - Garden Apartments*													x	x	x								x									
S	150	*Edison, NJ - CVS Retail Store*																																
S	151	*Painsville, OH - CVS Retail Store*																																
S	152	1185 Swap Portfolio, LP - New York, NY - Real Estate (6) (3)	x																															
S	153	*White Plains, NY - Commercial - Office Building*													x	x	x									x								
S	154	*New York, NY - Commercial - Retail*																																
S	155	1185 Swap Portfolio II, LP - New York, NY - Real Estate (3) (33)							x						x	x	x					x												
S	156	*Rochester Hills, MN - Residential - Garden Apartments*																																
S	157	*Edison, NJ - CVS Retail Store*																																
S	158	*Painsville, OH - CVS Retail Store*																																
S	159	1333 Broadway Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x												x	x	x																	
S	160	1350 Broadway Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x												x	x	x									x								
S	161	1400 Broadway Associates LLC - New York, NY - Commercial Office Building (17)								x					x	x									x									
S	162	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (6) (17)	x													x										x								
S	163	500 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (6) (17)	x																					x										
S	164	501 Seventh Avenue Associates - New York, NY - Commercial - Office Building (6) (17)	x													x						x												
S	165	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (6) (17)	x													x												x						
S	166	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)					x									x									x									
S	167	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (6) (17)	x												x	x	x										x							
S	168	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x													x						x												
S	169	Empire State Building Company LLC - New York, NY - Commercial - Office Building (6) (17)	x													x											x							
S	170	Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (26)								x					x	x	x					ordinary								x				142283
S	171	Fairfax Merrifield Associates II - Fairfax, VA - Residential - Garden Apartments (Fee Position) (16)				x												x									x							

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S	172	Fairfax Merrifield Associates - Stamford, CT - Commercial - Office Building (6) (17)	x																			x												
S	173	Fairfield MerrittView LP - Norwalk, CT Commercial - Office Building (6) (17)	x																			x												
S	174	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x												x	x																		
S	175	Georgetown Apartment Association - Shrewsbury, MO - Residential - Garden Apartments (17)							x						x	x	x											x						
S	176	Jefferson (Dixie) Associates, LLC Louisville, KY - Commercial - Retail (17)			x											x											x							
S	177	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)				x										x	x																	
S	178	Lincoln Building Associates - New York, NY - Commercial - Office Building (6) (17)	x												x	x						x												
S	179	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)		x												x												x						
S	180	Malkin Co-Investor Capital LP - New York, NY - Office Building (17)	x													x							x											
S	181	Malkin Co-Investor Capital LP - Westport, CT - Retail Stores (6) (17)		x												x						x												
S	182	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)			x											x						x												
S	183	Malkin Strategic Capital II, LP - New York, NY - Real Estate (3)			x											x	x						x											
S	184	*JP Morgan - Checking Account - Newark, DE*	x												x	x	x	x						x										
S	185	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x													x					x												
S	186	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x														x				x												
S	187	Malkin Strategic Capital III, LP - New York, NY - Real Estate (17)	x												x	x	x	x						x										
S	188	Malkin Strategic Capital V, LP - New York, NY - Real Estate (3)				x										x						x												
S	189	*Interaudi Bank - checking account - New York, NY*	x													x	x									x								
S	190	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x													x					x												
S	191	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*	x															x				x												
S	192	*University Square - San Diego, CA - Retail Shopping Center*	x													x	x					x												
S	193	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x												x	x					x												
S	194	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*			x											x	x						x											
S	195	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*		x													x							x										
S	196	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*	x														x					x												
S	197	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*		x													x								x									
S	198	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*		x													x						x											

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S	199	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)			x																													
S	200	*Interaudi Bank - checking account - New York, NY*	x												x	x	x	x							x									
S	201	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x													x						x											
S	202	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*	x																x				x											
S	203	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x													x							x										
S	204	*Loan Receivable - 777 LP/Uni-Penn - Philadelphia, PA - Commercial Office*			x											x	x								x									
S	205	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*		x												x	x								x									
S	206	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*		x													x							x										
S	207	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*		x													x							x										
S	208	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (6) (17)	x														x							x										
S	209	McKnight Road Associates LLC - Ross Township, PA - Commercial - Retail (17)				x										x											x							
S	210	Merrifield Apartments Company LLC - Fairfax, VA - Garden Apartments (17)						x							x	x											x							
S	211	Merrifield Apartments Company LLC - Stamford, CT - Office Building (6) (17)	x												x	x	x												x					
S	212	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (6) (17)	x												x	x	x										x							
S	213	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (17)		x												x													x					
S	214	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (17)		x													x						x											
S	215	Seventh & 37th Building Associates LLC - New York, NY - Commercial - Office Building (6) (17)	x														x						x											
S	216	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)			x											x											x							
S	217	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (17)						x								x									x									
S	218	U.S. Wertheim Associates LLC - Wertheim, Germany - Commercial - Retail (17)				x										x	x											x						
S	219	Wilk Realty Company LLC - Monroeville, PA - Commercial - Retail (17)			x											x											x							
S	220	Malkin East West Retail LLC - New York, NY - Commercial - Retail (6) (17)	x													x										x								
S	221	Malkin Foxfire LLC - Chicago, IL - Commercial - Retail (17)	x													x	x										x							
S	222	Malkin Glen Oaks LLC - Des Plaines - Residential - Garden Apartments(17)	x														x							x										
S	223	Malkin Union Square LLC - New York, NY - Commercial - Retail (6) (17)	x													x									x									
S	224	One Station Place, Limited Partnership - Stamford, CT - Commercial - Office Building (6) (17)	x													x	x						x											
															x	x	x													x				

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S	225	PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY																																
S	226	JP Morgan - Sweep Account - Newark, DE								x							x							x										
S	227	JP Morgan - Checking Account - Newark, DE		x													x					x												
S	228	JP Morgan - Savings Account - Newark, DE								x							x																	
S	229	JP Morgan CDs - New York, NY (2)							x								x									x								
S	230	Fine Troy Ounces of Allocated Gold - Held at JP Morgan, Newark, DE							x																	x								
S	231	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (27)					x											x																
S	232	BR Properties S.A. -San Paulo, Brazil - Public Company (Stock)			x										x								x											
S	233	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x														x										
S	234	Consonance Capital Investors, LP - Hedge Fund - New York, NY							x									x										x						
S	235	DC Capital Partners LP - Hedge Fund - New York, NY						x										x								-	x							
S	236	Eton Park Fund, LP - Hedge Fund - New York, NY							x									x									x							
S	237	Falcon Edge Global LP - Hedge Fund - New York, NY (3)							x						x	x	x	x								x	.							
S	238	Quasar Global Opportunities Fund LP - Hedge Fund - New York, NY	x												x		x	x								x								
S	239	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ								x								x				x												
S	240	Trellus Partner, LP - Hedge Fund - New York, NY (3)							x																			x						
S	241	AAM Partners LLC - Partnership - New York, NY								x					x																			
S	242	*JP Morgan - Checking Account - Newark, DE*	x																			x												
S	243	*First Republic Bank (FRC - NYSE) - Stock - New York, NY*					x								x									x										
S	244	*3G Special Situations Fund II, LP - Private Equity - New York, NY*						x										x																
S	245	*3G Special Situations Fund III, LP - Private Equity - New York, NY*						x										x																
S	246	*AAM Emerging Managers, LP - Private Equity - New York, NY (2)*	x															x																
S	247	*AIM Midstream, LLC - Private Equity - New York, NY*					x											x																
S	248	*Aisling Capital II, LP - Private Equity - New York, NY*			x													x								x								
S	249	*Aisling Capital III, LP - Private Equity - New York, NY*			x													x				x												
S	250	ARSA Associates - Real Esate - New York, NY						x								x									x									
S	251	*BBSF LLC - Stamford, CT - Real Estate*						x								x											x							
S	252	Asia Opportunity Fund II, LP - Private Equity - Hong Kong				x												x								x								
S	253	BBH Capital Partners III, LP - Private Equity - New York, NY						x										x									x							
S	254	Chauncey Street Group, LLC - Private Equity - New York, NY (2)	x														x							x										
S	255	DC Franchise 2011 LLC - Private Equity - Greenwich, CT (Quality Brand Capital LLC - acquire Dunkin Donut franchise restaurants) (3)					x										x						x											
S	256	Drill Fund, LP - Private Equity - San Paulo, Brazil (3)				x											x					x												

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S	257	*San Antonio International Ltd - San Antonio, TX (Energy)*	x														x																	
S	258	Drill Fund III, LP - Private Equity - San Paulo, Brazil(3)	x														x											x						
S	259	*San Antonio International Ltd - San Antonio, TX (Energy)*				x											x					x												
S	260	ESO Capital Managers - Private Equity - London England (3)						x									x					x												
S	261	ESO Special Opportunites FUDN II FCP SIF - Private Equity - London England (3)		x																		x												
S	262	Evryx Technology (C Corp) Glendale, CA (3)	x																			x												
S	263	Generation Capital Partners Captivate - Private Equity - Greenwich, CT						x									x						x											
S	264	Golub Capital Coinvestment, LP - Private Equity- New York, NY			x														x			x												
S	265	Golub Capital Partners IV, LP - Private Equity - New York, NY (2)	x																x				x											
S	266	Golub Capital Partners VIII, LP - Private Equity - New York, NY					x												x								x							
S	267	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)			x														x								x							
S	268	*Tempo Participacoes S.A.-Brazil - Healthcare*															x						x											
S	269	*BR Propertoes Brazil - Commercial Real Estate*																																
S	270	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	271	*Fogo de Chao Churrascarias (holdings, Inc.) - Brazil - Restaurant*																																
S	272	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)					x										x																	
S	273	*San Antonio International Ltd- San Antonio, TX (Energy)*																										x						
S	274	*Allis Participacoes S.A.-Brazil - Staffing*																																
S	275	*BHG S.A. - Brazil - Hotel Management*																																
S	276	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	277	*Estacio Participacoes S.A.- Brazil - Education*																																
S	278	*Lacteos Brasil S.A. - Brazil - Dairy Company*																																
S	279	GP Capital Partners V, LP - Private Equity - San Paulo, Brazil (3)					x																											
S	280	*San Antonio International Ltd- San Antonio, TX Energy*																				x												
S	281	*Automotiva S.A. - Brazil - Mobile resource management*																																
S	282	*BR Towers, SA - Brazil - Mobile telephone twoer management*																																
S	283	*Cor Brasil, S.A. - Brazil - Beauty Institute*																																
S	284	*Naomi S.A. - Brazil - Retail*																																
S	285	*Empresa Brasileira de Aggrecados Minerais - Brazil - Minerals and Aggregates*																																
S	286	Horseshoe Re Ltd - BTG-002 - Beneficial Ownership Position - New York, NY		x														x									x							

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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S	287	Magma Fund, LP - Private Equity - Private Equity -San Paulo, Brazil (3)			x																													
S	288	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*			x																	x												
S	289	Magma Fund II, LP - Private Equity - Private Equity - San Paulo, Brazil (3)		x																		x												
S	290	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*		x																		x												
S	291	Palamon European Equity Fund II, LP - Private Equity - London, England					x															x												
S	292	Revolution Venture II, LP - Private Equity - New York, NY				x												x									x							
S	293	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3) (10)							x									x				x												
S	294	Rockefeller Access Fund 06-I, LLC - New York, NY (3) (11)				x									x		x	x										x						
S	295	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY		x											x	x	x	x			ordinary							x						771
S	296	Tenaska Power Fund, LP - Private Equity - Omaha, NE					x											x										x						
S	297	Tinicum Capital Partners II LP - Private Equity - New York, NY			x													x				x												
S	298	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY						x										x				x												
S	299	Tower Three Partners Fund II, LP - Private Equity - Greenwich, CT (no underlying investments) (3)					x											x				x												
S	300	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)					x									x						x												
S	301	Trident Private Equity II, LP - Private Equity - London, England			x																	x												
S	302	ZM Capital Alloy Digital Investment LP - Private Equity - New York, NY			x													x								x								
S	303	ZM Capital Centerstage Investment LP - Private Equity - New York, NY					x											x				x												
S	304	ZM Capital Crt Investment, LP - Private Equity - New York, NY				x												x							x									
S	305	ZM Capital Femto Investment LP - Private Equity - New York, NY		x														x						x										
S	306	ZM Capital, LP - Private Equity - New York, NY			x													x				x												
S	307	ZM Capital II, LP - Private Equity - New York, NY	x															x											x					
S	308	ZM Titan Investment, LP - Private Equity - New York, NY					x											x						x										
S	309	***Real Estate Partnerships c/o Malkin Holdings LLC, New York NY***																												x				
S	310	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (17)					x									x	x						x											
S	311	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (17)					x								x	x	x							x										
S	312	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (7) (17)	x													x									x									
S	313	500 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (7) (17)	x																							x								
S	314	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (7) (17)	x													x						x												

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	315	BBSF LLC - Vacant Land - Stamford, CT (17)						x																										
S	316	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (17)							x							x	x					ordinary							x					72,047
S	317	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments(17)		x											x	x	x													x				
S	318	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (7) (17)	x																					x										
S	319	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (7) (17)	x													x							x											
S	320	Empire State Building Company LLC - New York, NY - Commercial - Office Building (7) (17)	x													x										x								
S	321	Empire State Realty OP, LLP - New York, NY 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (27)								x								x								x								
S	322	Fairfield MerritView LP Norwalk, CT - Commercial - Office Building (7) (17)	x																															
S	323	First Stamford Place LLC Stamford, CT Commercial Office Building (7) (17)	x																			x												
S	324	Malkin Greenwich Retail, LLC - Greenwich, CT Commerciasl - Retail (17)					x															x												
S	325	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (17)		x											x	x									x									
S	326	Peter L. Malkin Joint Venture in KMO-361 Realty Associates Retail Shopping Centers (3)								x						x								x										
S	327	*St. Davids, PA*														x																		
S	328	*Manhasset, NY*																											x					
S	329	*White Plains, NY*																																
S	330	*Paramus, NJ*																																
S	331	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (17)		x																														
S	332	Malkin Co-Investor Capital LP - New York, NY - Real Estate - Commercial Office (17)			x											x																		
S	333	Malkin Co-Investor Capital LP - Westport, CT - Retail Stores (7) (17)	x													x								x										
S	334	Malkin Greenwich Retail LLC - Retail - Greenwich, CT (17)				x										x	x																	
S	335	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (3)														x									x									
S	336	*Memphis, TN*						x								x	x																	
S	337	*Columbus, OH*																								x								
S	338	*Charleston, SC*																																
S	339	*Raleigh - Durham, NC*																																
S	340	*Philadelphia, PA*																																
S	341	*Virginia Beach, VA*																																
S	342	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)		x																		x												

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S	343	Malkin Strategic Capital II, LP - New York, NY - Real Estate (3)		x												x	x	x							x									
S	344	*JP Morgan - Checking Account - Newark, DE*	x																				x											
S	345	*Fidelity - FIMM Fund - Mutual Fund -New York, NY*		x															x				x											
S	346	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x												x									x									
S	347	Malkin Strategic Capital III, LP - New York, NY - Real Esate (17)		x											x	x	x						x											
S	348	Malkin Strategic Capital IV, LP - New York, NY - Real Estate (3)		x											x		x	x																
S	349	*Interaudi Bank - checking account - New York, NY*	x																							x								
S	350	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*	x																				x											
S	351	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*	x																x				x											
S	352	Malkin Strategic Capital V, LP - New York, NY (3)					x										x									x								
S	353	*Interaudi Bank - checking account - New York, NY*		x																							x							
S	354	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x																			x											
S	355	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*	x																x				x											
S	356	*University Square - San Diego, CA - Retail Shopping Center*	x																				x											
S	357	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*			x												x								x									
S	358	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*			x												x									x								
S	359	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*		x													x							x										
S	360	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*	x														x									x								
S	361	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*			x												x								x									
S	362	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*			x												x								x									
S	363	Malkin Strategic Capital Value Retail LP - New York, NY - Real Estate (17) (21)		x													x							x										
S	364	Marlboro Building Associates, LLC - New York, NY - Commercial - Office Building (7) (17)	x													x										x								
S	365	New Soundview Plaza Associates, LP New York, NY - Office Building (7) (17)	x																x									x						
S	366	New Soundview Plaza Associates, LP - Westport, CT - Retail Stores (17)							x						x	x													x					
S	367	New York Union Square Retail LP - New York, NY - Commercial - Retail and Garage (7) (17)	x													x										x								
S	368	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (17)		x												x								x										
S	369	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (17)		x																			x											
S	370	S.D. Malkin Atlantic Partners, LP - Greenwich, CT - Commercial - Retail in San Diego, CA (17)						x															x											

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S	371	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)			x											x									x										
S	372	U.S. Bicester LP - Oxfordshire, England - Commercial - Retail (17) (25)								x						x	x													x					
S	373	U.S. Bicester II LLC PLM JV - Oxfordshire, England - Commercial - Retail (17) (25)						x								x	x									x									
S	374	U.S. Dublin LLC - Dublin, Ireland - Commercial - Retail (17) (24)					x															x													
S	375	U.S. La Roca LLC PLM JV - Barcelona, Spain - Commercial - Retail (17) (24)								x						x	x																		
S	376	U.S. Maasmechellen LLC - Maasmechellen, Belgium - Commercial - Retail (17) (24)	x																			x													
S	377	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (17) (24)							x							x	x																		
S	378	U.S. Munich LLC - Munich, Germany - Commercial - Retail (17) (24)						x														x													
S	379	U.S. Paris LLC - Paris, France - Commercial - Retail (17) (24)								x						x																			
S	380	U.S. Suzhou LLC - Suzhou, China - Commercial - Retail (17) (24)			x																								x						
S	381	Westport Main Street Retail LLC - Westport, CT - Commercial - Retail (7) (17)	x																			x													
S	382	**PLM/CMB 2001 Trust - New York, NY**																x					x												
S	383	JP Morgan Checking Account - Newark, DE						x																											
S	384	RCB Investment Partners LLC								x												x													
S	385	*State Street Bank & Trust Co.(15)*								x							x											x							
S	386	*Rockefeller US Small Capitalization Fund LP - Private Equity (3) (12) (less than .7 of 1%)*				x											x											x							
S	387	*Rockefeller Global Equity Fund II LP - Private Equity (3) (13) (less than .10 of 1%)*				x																x													
S	388	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund (2)*	x														x									x									
S	389	Loan Receivable - BBSF LLC - Stamford, CT (17)																x						x											
S	390	**CMB 2010 TRUST New York, NY(32)**								x												x													
S	391	Fidelity - FIMM Fund - Mutual Fund - New York, NY			x																														
S	392	Larrymae Partners LLC - Real Estate Supervisory Agent - New York, NY								x								x				x													
S	393	*JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE*							x								x											x							
S	394	*Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction*								x							x				x														
S	395	*Empire State Realty Trust Inc - Class B (Common Stock)- New York, NY*					x											x					x												
S	396	**CMB 2010 FAMILY TRUST New York, NY (32)**																																	
S	397	Fidelity - FIMM Fund - Mutual Fund -New York, NY			x													x				x													

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S	398	Larrymae Partners LLC - Real Estate Supervisory Agent - New York, NY								x																								
S	399	*JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE*							x								x										x							
S	400	*Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction*								x							x					x												
S	401	*Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY*					x																											
S	402	**PLM 1999 FAMILY TRUST New York, NY**															x						x											
S	403	Wintergreen Fund (WGRNX) - Publicly traded mutual fund - New York, NY (2)		x																														
S	404	**CMB 2009 GRAT New York, NY**															x					x												
S	405	JP Morgan Checking Account - New York, NY						x								x																		
S	406	Peter L. Malkin Family 9 LLC - New York, NY (underlying assets listed above)								x					x	x	x						x											
S	407	**Geo Energy Partners - 1983 LTD** - New York, NY - Energy (19)	x													x													x					
S	408	**Greely Gas LTD** - Austin, TX - Oil & Gas	x													x								x										
S	409	**Larrymae Partners LLC** - Real Estate Supervisory Agent - New York, NY								x						x						x												
S	410	JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE								x						x											x							
S	411	*Empire State Realty OP, LLP - New York, NY 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (28*								x							x										x							
S	412	*Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (28)*						x									x						x											
S	413	Malkin Construction Corp - Stamford, CT - Interior Building Construction (17)	x														x					x												
S	414	Malkin Securities Corporation - Broker/Dealer - New York, NY (17)	x														x					x												
S	415	Malkin Support Fund LP - Real Esate - New York, NY (17) (22)	x													x						x												
S	416	***Real Estate Partnerships c/o Malkin Holdings LLC, New York NY***																					x											
S	417	112 West 34th Street Associates, LLC New York, NY - Commercial - Office Building (17)						x								x																		
S	418	112 West 34th Street Company LLC - New York, NY - Commercial - Office Building (17)								x					x										x									
S	419	1185 Swap Portfolio, LP - New York, NY - Real Estate (3) (33)	x																							x								
S	420	*Rochester Hills, MN - Residential - Garden Apartments*														x									x									
S	421	*Edison, NJ - CVS Retail Store*																																

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S	422	*Painsville, OH - CVS Retail Store*																																
S	423	1185 Swap Portfolio, LP - New York, NY - Real Estate(8) (3)					x											x											x					
S	424	*New York, NY - Commercial - Office Building*																																
S	425	*White Plains, NY - Commercial - Office Building*																																
S	426	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3) (33)								x																								
S	427	*Rochester Hills, MN - Residential - Garden Apartments*																				x												
S	428	*Edison, NJ - CVS Retail Store*																																
S	429	*Painsville, OH - CVS Retail Store*																																
S	430	1333 Broadway Associates LLC - New York, NY - Commercial - Office Building (8) (17)	x												x	x	x																	
S	431	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (17)					x								x	x	x								x									
S	432	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (8) (17)	x													x								x										
S	433	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (8) (17)	x													x								x										
S	434	Uniway Partners LP Malkin JV - New York, NY - Commercial Retail (17)	x														x								x									
S	435	Chelsea Gardens - New York, NY - Apartments (17)		x												x	x									x								
S	436	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)					x								x	x	x											x						
S	437	East West Manhattan Retail Portfolio, LP - New York, NY - Commercial - Retail (8) (17)	x													x												x						
S	438	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (8) (17)	x													x													x					
S	439	Empire State Building Company LLC - New York, NY - Commercial - Office Building (8) (17)	x												x	x	x											x						
S	440	Empire State Realty Trust Inc - Class A (Common Stock) - New York, NY (28)								x								x											x					
S	441	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (28)						x										x						x										
S	442	Empire State Realty OP, LLP - New York, NYEmpire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (28)								x								x								x								
S	443	Fairfield MerrittView LP Norwalk, CT - Commercial - Office Building (8) (17)	x													x																		
S	444	Kansas City Georgetown Apartments LLC - Johnson County, KS - Residential - Garden Apartments (17)		x																						x								
S	445	Louisville Self-Service Associates LLC Louisville, KY - Commercial - Retail (17)	x																			x												
S	446	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)					x										x						x											
S	447	Malkin Properties LLC Real Estate Management - New York, NY (17)						x													Ordinary													1,778
																					Ordinary													(93,000)

Reporting Individual's Name
Richard Blumenthal
Amendment

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	448	Malkin Properties of Connecticut, Inc · Stamford, CT · Real Estate Management (17)						x													Ordinary													102,298
S	449	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (17)		x																	Ordinary													8,000
S	450	Malkin Properties of Kansas, LLC- Real Estate Management - New York, NY (17)		x																		x												
S	451	Malkin Properties of Michigan LLC Real Estate Management - New York, NY (17)		x																	Ordinary													114,785
S	452	Malkin Properties of Missouri, Inc. Real Estate Management - New York, NY (17)		x																	Ordinary													95,000
S	453	Malkin Properties of New York LLC - Real Estate Management - New York, NY (17)					x														Ordinary													25,818
S	454	Malkin Properties of Virginia, Inc. Real Estate Management - New York, NY (17)		x																	Ordinary													102,000
S	455	Malkin Strategic Capital II, LP · New York, NY (3)			x											x																		
S	456	*JP Morgan - Checking Account - Newark, DE*																								x								
S	457	*Fidelity - FIMM Fund - Mutual Fund- New York, NY*																																
S	458	*Loan Receivable · VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																
S	459	Marlboro Building Associates, LLC · New York, NY - Commercial - Office Building (8) (17)	x												x	x											x							
S	460	Peter L. Malkin Joint Venture in KMO-361 Realty Associates Retail Shopping Centers (3)								x					x	x											x							
S	461	*St. Davids, PA*																																
S	462	*Manhasset, NY*																																
S	463	*White Plains, NY*																																
S	464	*Paramus, NJ*																																
S	465	Pittsburgh Self-Service Associates LLC Ross Township, PA - Commercial - Retail (17)	x												x	x							x											
S	466	Broadway/72nd Associates II PLM JV · New York, NY · Commercial - Office Building (17)	x													x											x							
S	467	Seventh & 37th Building Associates LLC · New York, NY · Commercial - Office Building (8) (17)		x											x											x								
S	468	St. Louis - Georgetown Associates LLC - Shrewsbury, MO · Residential · Garden Apartments (17)		x											x	x								x										
S	469	W & M Properties, Inc. - Real Estate Management - New York, NY (17)		x																		x												
DC	470	**CLAIRE M. BLUMENTHAL 2012 TRUST** · **Greenwich, CT**																																
DC	471	JP Morgan Checking Account · Newark, DE								x						x																		
DC	472	Empire State Realty Trust Inc - Class B (Common Stock) · New York, NY (29)					x										x						x											
DC	473	RCB Investment Partners LLC - Partnership · New York, NY					x									x									x									
DC	474	*State Street Bank & Trust Co. · New York, NY · (15)*					x									x									x									
DC	475	*Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (12) (less than .7 of 1%)*		x												x						x												

Reporting Individual's Name
Richard Blumenthal
Amendment

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")
DC	476	*Rockefeller Global Equity Fund II LP - Private Equity - New York (3) (13) (less than .10 of 1%)*		x												x								x										
DC	477	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund - New York, NY (2)*	x															x					x											
DC	478	**Real Estate Partnerships c/o Malkin Holdings LLC, New York NY**																																
DC	479	250 West 57th Street Associates, LLC - New York, NY - Commercial - Office Building (9) (17)	x												x										x									
DC	480	60 East 42nd Street Associate, LLC - New York, NY - Commercial - Office Building (9) (17)	x												x											x								
DC	481	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (17)	x													x								x										
DC	482	Empire State Building Associates LLC - New York, NY - Commercial - Office Building (9) (17)	x												x										x									
DC	483	Empire State Realty OP, LLP - New York, NYEmpire State Realty OP, LLP - New York, NY 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (29)								x								x								x								
DC	484	Fairfield MerrittView LP Norwalk, CT - Commercial - Office Building (9) (17)	x																			x												
DC	485	Fairfax Merrifield Associates II - Fairfax, VA - Residential - Garden Apartments (Fee Position) (16)					x								x																			
DC	486	Fairfax Merrifield Associates - Stamford, CT - Commercial - Office Building (9) (17)	x																					x										
DC	487	First Stamford Place LLC Stamford, CT Commercial Office Building (9) (17)	x																			x												
DC	488	Fisk Building Associates LLC - New York, NY - Commercial - Office Building (9) (17)	x																			x												
DC	489	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (17)	x																			x												
DC	490	Malkin Strategic Capital II, LP - New York, NY (3)		x												x							x												
DC	491	*JP Morgan - Checking Account - Newark, DE*	x											x		x							x											
DC	492	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*	x																			x												
DC	493	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*		x														x				x												
DC	494	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (17)	x														x						x											
DC	495	500 Mamaroneck Avenue LP - Harrison, NY - Commercial - Office Building (9) (17)	x																					x										
DC	496	**PLM/CLAIRE 1998 TRUST - New York, NY**																				x												
DC	497	JP Morgan Checking Account - New York, NY					x									x																		
DC	498	Wintergreen Fund (WGRNX) - New York, NY - Publicly traded mutual fund (2)	x															x					x											
DC	499	RCB Investment Partners LLC - New York, NY - Investment Partnership								x						x													x					
DC	500	*State Street Bank & Trust Co. - New York, NY (15)*								x						x											x							
DC	501	*Rockefeller US Small Capitalization Fund LP - Private Equity (3) (12) (less than .7 of 1%)*			x											x						x												

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Reporting Individual's Name
Richard Blumenthal
Amendment

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")
DC	502	*Rockefeller Global Equity Fund II LP - Private Equity(3) (13) (less than .10 of 1%,*		x												x										x								
DC	503	*Rockefeller Tax Exempt Income Fund-Natl LP - Mutual Fund (2)*	x															x						x										
DC	504	**Real Estate Partnerships c/o Malkin Holdings LLC, New York NY**																																
DC	505	Louisville Self-Service Associates LLC Louisville, KY - Commercial - Retail (17)		x												x						x												
DC	506	Malkin Industrial Partners I, LP Warehouse Distribution Buildings (17) (3)			x											x								x										
DC	507	*Memphis, TN*																																
DC	508	*Columbus, OH*																																
DC	509	*Charleston, SC*																																
DC	510	*Raleigh - Durham, NC*																																
DC	511	*Philadelphia, PA*																																
DC	512	*Virginia Beach, VA*																																
DC	513	Malkin Support Fund LP - New York, NY - Real Estate (3) (23)		x												x						x												
	514	**RICHARD BLUMENTHAL**																																
	515	Vanguard GNMA Fund (Stock) –ADM. Symbol VFIJX - New York, NY									x											x												

Footnotes to part IIIB

(1) The Fund was fully redeemed during 2012, and only a small percentage of the capital balance was retained until after the year-end audit. The investor did not share in Fund profits after the redemption.

(2) The Fund was fully redeemed during 2013.

(3) Although we have requested additional information from the fund manager, additional information is not known or ascertainable; and the filer has no power or authority to direct the investments of the financial arrangement.

(4) The fund was converted to a publicly traded mutual fund in 2013. All interests in the fund have since been sold.

(5) Not Used.

(6) 223,116 Empire State Realty Trust Inc. Class B shares & 10,932,635 Empire State Realty OP units resulting from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offering on October 6, 2013.

(7) 40,434 Empire State Realty Trust Inc. Class B Shares & Empire State Realty OP 1,981,270 units resulting from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offering on October 6, 2013.

(8) 91,482 Empire State Realty Trust Inc. Class A shares, 25,692 Empire State Realty Trust class B shares & 1,258,920 Empire State Realty OP units resulted from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offing on October 6, 2013.

(9) 9,807 Empire State Realty Trust Inc. Class B shares & 480,557 Empire State Realty OP units resulting from a REIT consolidation and roll-up of the noted properties pursuant to an initial public offing on October 6, 2013.

(10) See attachment - Rockefeller Access Fund I Schedule of Investments as of 12/31/13.

(11) See attachment - Rockefeller Access Fund I-06 Schedule of Investments as of 12/31/13.

(12) See Attachment - Rockefeller & Co Us Small Capitalization Fund Statement of Transactions & Assets.

(13) See attachment - Rockefeller & Co Global Equity Fund II, LP Statement of Transactions & Assets.

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(14) Not Used.

(15) Custodial account for Rockefeller funds.

(16) The underlying asset was previously owned by Fairfax Merrifield Associates. It was distributed to the newly formed entity Fairfax Merrifield Associates II when the other underlying asset owned by Fairfax Merrifield Associates was contributed to the REIT as mentioned in footnote 6.

(17) Sole underlying asset.

(18) Not Used

(19) Geo-Energy Partners – 1983 LTD – The general partner of the partnership has provided the following information:

- GEO-Energy Partners-1983 LTD., a Colorado limited partnership (the "Partnership") has been issued several undeveloped geothermal resource leases from the Bureau of Land Management of the United States Department of the Interior ("BLM") covering several thousand acres of land in central Nevada. In addition, the Partnership has been issued several undeveloped geothermal resource leases from both BLM and private sources covering several thousand acres of land in southern California. The Partnership also receives distributions from revenue generated by a power plant located in southern California, which the Partnership does not manage or operate.

(20) Malkin Strategic Capital III, L.P.- New York, NY – Loans to equity investments in real estate. All investments sold during 2012. Cash reserve distributed in 2013.

(21) Malkin Strategic Capital Value Retail – New York, NY – Loan to VR Finance LLC for real estate projects of S.D. Malkin Properties, Inc. affiliates in Europe.

(22) Malkin Support Fund LP – New York, NY - Loans to the following real estate owners:

- Kansas City Georgetown Associates – Kansas City, KS
  - Asset value = $ 61,982. Interest income = $1,856
- Rochester River Oaks (Foxfire) Associates – Rochester Hills, Minnesota
  - Asset value = $ 169,293. No income.
- Loan to 1185 SWAP L.L.C.
  - Asset value = $329,508. No income.

(23) Malkin Support Fund LP – New York, NY - Loans to the following real estate owners:

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- Kansas City Georgetown Associates – Kansas City, KS.
    - Asset value = $ 224. Interest income = $7
- Rochester River Oaks (Foxfire) Associates – Rochester Hills, Minnesota
    - Asset value = $ 611 No income.
- Loan to 1185 SWAP L.L.C.
    - Asset value = $1,189. No income.

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

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

(26) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (6).

(27) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (7).

(28) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (8).

(29) The noted shares and units resulted from the REIT roll-up and consolidation of the properties noted by footnote (9).

(30) The Fund is the successor fund to Wavecrest Partners Fund I LP. On June 28th 2013, all of the assets in the Wavecrest Partners Fund I were converted into shares of RiverPark Structural Fund. All limited partners became shareholders of this mutual fund.

(31) The Fund is the predecessor fund to RiverPark Structural Fund.

(32) CMB 2010 Trust & CMB 2010 Family Trust - The Trust owns a 3.75% interest in LarryMae Partners LLC, c/o Malkin Holdings LLC, 60 East 42nd Street, 26th Floor, New York, NY 10165. The value of the assets is undetermined because the Trust is a sprinkling trust. The Trust beneficiaries are the descendants of Cynthia M. Blumenthal. No distribution was made to any beneficiary during 2013.

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

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Rockefeller Access Fund I, LLC

(A Delaware Limited Liability Company)

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

0000000000398

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

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Statement of Cash Flows	5
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INDEPENDENT AUDITORS' REPORT

To the Rockefeller Access Fund I, LLC:

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

Management's Responsibility for the Financial Statements

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

Auditors' Responsibility

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

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

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

Opinion

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

Deloitte & Touche LLP

June 16, 2014

Member of
Deloitte Touche Tohmatsu Limited

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

STATEMENT OF FINANCIAL CONDITION
AS OF DECEMBER 31, 2013

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

See notes to financial statements.

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

STATEMENT OF OPERATIONS
FOR THE YEAR ENDED DECEMBER 31, 2013

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

See notes to financial statements.

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

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

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

See notes to financial statements.

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

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

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

See notes to financial statements.

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

SCHEDULE OF INVESTMENTS
AS OF DECEMBER 31, 2013

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

See notes to financial statements

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

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

1. ORGANIZATION

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

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

Cash and Cash Equivalents

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

Investment Transactions and Valuation of Investments

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

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

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

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

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

Use of Estimates

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

Taxation

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

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

3. MEMBERS' CAPITAL

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

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

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

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

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

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

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

4. COMMITMENTS

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

5. RELATED PARTY TRANSACTIONS

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

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

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

6. INVESTMENT RISK FACTORS AND CONCENTRATION OF INVESTMENTS

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

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

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

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

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

7. FINANCIAL HIGHLIGHTS

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

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

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

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

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8. RECENT ACCOUNTING PRONOUNCEMENTS

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

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

9. INVESTMENTS AND FAIR VALUE MEASUREMENTS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

[5] Growth Equity Strategy funds invest in equity holdings that have growth potential.

10. SUBSEQUENT EVENTS

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

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

* * * * * *

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Rockefeller Access Fund 06-I, LLC

(A Delaware Limited Liability Company)

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

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Rockefeller Access Fund 06-I, LLC

(A Delaware Limited Liability Company)

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INDEPENDENT AUDITORS' REPORT

To the Rockefeller Access Fund 06-I, LLC:

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

Management's Responsibility for the Financial Statements

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

Auditors' Responsibility

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

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

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

Opinion

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

Deloitte & Touche LLP

June 16, 2014

Member of
Deloitte Touche Tohmatsu Limited

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

STATEMENT OF FINANCIAL CONDITION
AS OF DECEMBER 31, 2013

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

See notes to financial statements.

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

STATEMENT OF OPERATIONS
FOR THE YEAR ENDED DECEMBER 31, 2013

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

See notes to financial statements.

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

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

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

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

See notes to financial statements.

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

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

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

See notes to financial statements.

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

SCHEDULE OF INVESTMENTS
AS OF DECEMBER 31, 2013

Investment Name	Ownership %	Fair Value	Members' Capital %	Redemption Provision	Unfunded Commitment
Cayman Islands					
Investments in Portfolio Funds:					
LBO, Growth & Other PE					
Bain Capital AM Holding LP	0.12 %	$ 395,520	0.23 %	Not allowable	
Bain Capital Fund X, LP	0.08	7,530,338	4.34	Not allowable	$ 429,875
Bain Capital (CC) X, Offshore LP	0.15	94,070	0.05	Not allowable	-
Bain Capital (CCD) X, LP	0.10	65,425	0.04	Not allowable	-
Bain Capital (IMC) X, LP	0.08	183,870	0.11	Not allowable	-
Bain Capital (SS 2008) X, LP	0.08	14,003	0.01	Not allowable	-
Cayman Islands Total: (cost $7,311,571)		8,283,226	4.78		
Europe					
Investments in Portfolio Funds:					
International					
Bain Capital Europe Fund III, LP	0.08	3,384,396	1.95	Not allowable	€ 459,287
Europe Total: (cost $3,019,402)		3,384,396	1.95		
Japan					
Investments in Portfolio Funds:					
International					
AP Cayman Partners II, LP	1.25	951,968	0.55	Not allowable	¥ 78,108,832
AP Cayman SMS AIV, LP	1.34	538,189	0.31	Not allowable	-
Japan Total: (cost $3,011,872)		1,490,157	0.86		
United States					
Investments in Portfolio Funds:					
Distressed					
Cerberus Instit. Ptrs. - Ser4, LP	0.09	5,734,252	3.30	Not allowable	$ 554,273
Mallin Patterson Global Opps III, LP	0.23	5,309,185	3.05	Not allowable	1,449,918
MPGOP III Thrill AV4 LP (LP)	0.23	1,277,113	0.74	Not allowable	
Sun Capital Advisors V, LP	0.08	4,172,113	2.41	Not allowable	906,361
WLR Recovery Fund IV, LP	0.18	5,002,979	2.88	Not allowable	865,999
WLR Recovery Fund IV DSS AIV	0.20	1,122,363	0.65	Not allowable	
WLR Recovery Fund IV XCO AIV I	0.66	262,144	0.15	Not allowable	
WLR RRH AIV, LP	0.32	207,913	0.12	Not allowable	
WLR IV Loans AIV, LP	0.21	80,168	0.05	Not allowable	-
WLR IV PPIP AIV, LP	0.07	2,005	0.01	Not allowable	
Distressed Total:		23,170,335	13.36		
International					
Bain Capital Asia Fund, LP	0.11	1,095,052	0.63	Not allowable	64,480
Glory Investments B Limited	0.08	381,239	0.22	Not allowable	
Navis Asia Fund V, LP	0.50	6,738,476	3.89	Not allowable	182,480
Pinebridge Latin America II LP	1.16	791,757	0.46	Not allowable	167,563
Southern Cross LA PE Fund III, LP	0.84	6,632,124	3.82	Not allowable	237,731
International Total:		15,638,648	9.02		

See notes to financial statements

(Continued)

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

SCHEDULE OF INVESTMENTS
AS OF DECEMBER 31, 2013

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

See notes to financial statements

(Concluded)

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Rockefeller Access Fund 06-I, LLC

(A Delaware Limited Liability Company)

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

1. ORGANIZATION

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

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

Cash and Cash Equivalents

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

Currency Translations

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

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

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Investment Transactions and Valuation of Investments

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

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

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

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

Use of Estimates

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

Taxation

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

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

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

3. MEMBERS' CAPITAL

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

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

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

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

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

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

4. COMMITMENTS

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

5. RELATED PARTY TRANSACTIONS

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

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

6. INVESTMENT RISK FACTORS AND CONCENTRATION OF INVESTMENTS

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

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

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

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

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

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

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ROCKEFELLER & CO.

Rockefeller Global Equity II/Global Equity (8211/1) Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
04/14/2014	04/14/2014			Custody Transfer to Cameron Taie 1973 Trust - Partnership Distribution	(1,120.83)
04/14/2014	04/14/2014			Custody Transfer to Cathryn C. Griffith 2009 Trust - Partnership Distribution	(1,136.19)
04/14/2014	04/14/2014			Custody Transfer to Charlotte Witter 1973 Trust - Partnership Distribution	(1,062.44)
04/14/2014	04/14/2014			Custody Transfer to Christina M. Sassi - Partnership Distribution	(6,376.13)
04/14/2014	04/14/2014			Custody Transfer to Darien S. Taie - Partnership Distribution	(358.48)
04/14/2014	04/14/2014			Custody Transfer to Darien S. Taie 1973 Trust - Partnership Distribution	(1,155.66)
04/14/2014	04/14/2014			Custody Transfer to Elisabeth Allyn Montouri - Partnership Distribution	(1,711.39)
04/14/2014	04/14/2014			Custody Transfer to Estate of Douglas Leeds - Partnership Distribution	(1,725.13)
04/14/2014	04/14/2014			Custody Transfer to Frances Levin - Partnership Distribution	(684.18)
04/14/2014	04/14/2014			Custody Transfer to Freeman Grandchild FBO Colin - Partnership Distribution	(744.08)
04/14/2014	04/14/2014			Custody Transfer to Freeman Grandchild FBO Graham - Partnership Distribution	(670.35)
04/14/2014	04/14/2014			Custody Transfer to Freeman Grandchild tr FBO Alec - Partnership Distribution	(720.62)
04/14/2014	04/14/2014			Custody Transfer to Graeme Freeman Family 2012 Tru - Partnership Distribution	(4,546.64)
04/14/2014	04/14/2014			Custody Transfer to Helen C. Witter Trust - Partnership Distribution	(161.98)
04/14/2014	04/14/2014			Custody Transfer to JFT2012 - Partnership Distribution	(3,374.67)
04/14/2014	04/14/2014			Custody Transfer to Joelle Le Craver 2004 Trust - Partnership Distribution	(357.43)
04/14/2014	04/14/2014			Custody Transfer to Jonathan Bawden Trust 2004 - Partnership Distribution	(1,910.34)
04/14/2014	04/14/2014			Custody Transfer to Katarina Lehner UTMA NY - Partnership Distribution	(235.96)
04/14/2014	04/14/2014			Custody Transfer to Linda Post Family 2012 Trust - Partnership Distribution	(4,546.64)
04/14/2014	04/14/2014			Custody Transfer to Margaret A. O'Grady - Partnership Distribution	(1,589.56)
04/14/2014	04/14/2014			Custody Transfer to Michael F. Sassi Mar. Trust A - Partnership Distribution	(4,112.17)
04/14/2014	04/14/2014			Custody Transfer to Michael F. Sassi Mar. Trust B - Partnership Distribution	(1,920.25)
04/14/2014	04/14/2014			Custody Transfer to Natasha Weil Lehner UTMA NY - Partnership Distribution	(214.39)
04/14/2014	04/14/2014			Custody Transfer to Olivia Witter 1973 Trust - Partnership Distribution	(1,049.17)
04/14/2014	04/14/2014			Custody Transfer to P. M. Moser c/f L.R.Moser UTMA - Partnership Distribution	(293.92)
04/14/2014	04/14/2014			Custody Transfer to Rebecca Bawden Trust 2000 - Partnership Distribution	(213.21)
04/14/2014	04/14/2014			Custody Transfer to Stellio Porcelli Trust 2006 - Partnership Distribution	(493.52)
04/14/2014	04/14/2014			Custody Transfer to The 2009 Robertson Fam Del Tst - Partnership Distribution	(4,104.88)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Anne P. C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Franz J. C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo G. T. Penfield - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Johann F. C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Mia Wendy C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Schuyler J C-M - Partnership Distribution	(499.60)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

10. SUBSEQUENT EVENTS

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

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

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Footnotes to part IIIB (12)

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					1 674 622 66
Purchases					
01/02/2013	01/07/2013	450	37.62	Abaxis, Inc	(16,948.98)
01/02/2013	01/07/2013	1,090	13.85	Abiomed, Inc	(15,139.01)
01/02/2013	01/07/2013	450	93.10	Airgas, Inc	(41 912.01)
01/02/2013	01/07/2013	1,050	20.69	Avis Budget Group Inc.	(21,765.03)
01/02/2013	01/07/2013	320	52.94	Carpenter Technology Corp.	(16,954 02)
01/02/2013	01/07/2013	600	56.39	Carter's, Inc.	(33,858.00)
01/02/2013	01/07/2013	530	70.14	Chemed Corporation	(37 197.20)
01/02/2013	01/07/2013	750	48.28	Clarcor Inc.	(36,236 48)
01/02/2013	01/07/2013	770	14.63	Digital River, Inc.	(11,292.97)
01/02/2013	01/07/2013	640	25.70	DigitalGlobe Inc	(16,472.58)
01/02/2013	01/07/2013	330	91.50	Edwards Lifesciences Corp.	(30,208.89)
01/02/2013	01/07/2013	3,460	5.67	Entropic Communications	(19 771 13)
01/02/2013	01/07/2013	1,360	13.04	EPIQ Systems, Inc.	(17,790 43)
01/02/2013	01/07/2013	5,500	14.06	ExamWorks Group, Inc.	(77 573 65)
01/02/2013	01/07/2013	550	50.01	First Cash Financial Services,	(27 528.99)
01/02/2013	01/07/2013	1,110	13.69	Fred's Inc.	(15,236.30)
01/02/2013	01/07/2013	850	23.59	Greatbatch, Inc.	(20 087 97)
01/02/2013	01/07/2013	750	23.81	Healthcare Services Group	(17 684 50)
01/02/2013	01/07/2013	880	21.51	Insulet Corporation	(18 961 80)
01/02/2013	01/07/2013	320	67.31	IPG Photonics Corporation	(21,551.62)
01/02/2013	01/07/2013	1,080	31.88	Iron Mountain Inc	(34,476 73)
01/02/2013	01/07/2013	340	63.07	Littelfuse, Inc	(21,457 81)
01/02/2013	01/07/2013	820	21.25	Masimo Corporation	(17 455 42)
01/02/2013	01/07/2013	1,500	14.23	Merit Medical Systems Inc.	(21 406.50)
01/02/2013	01/07/2013	1,340	21.70	Microsemi Corp.	(29 136 56)
01/02/2013	01/07/2013	1,970	8.22	Newpark Resources, Inc	(16,280.87)
01/02/2013	01/07/2013	1,210	16.40	NIC Inc.	(19,887.44)
01/02/2013	01/07/2013	1,130	15.56	Omnicell Inc.	(17,626.64)
01/02/2013	01/07/2013	5,000	4.71	Parker Drilling Company	(23,756.50)
01/02/2013	01/07/2013	1,210	19.40	PROS Holdings, Inc.	(23,525 43)
01/02/2013	01/07/2013	430	61.75	Range Resources Corp	(26,569 06)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
01/02/2013	01/07/2013	730	42.28	ResMed Inc.	(30,856.89)
01/02/2013	01/07/2013	550	33.89	Simpson Manufacturing Co. Inc	(18,663.48)
01/02/2013	01/07/2013	290	54.18	Solera Holdings Inc.	(15,718.09)
01/02/2013	01/07/2013	430	93.33	Stencycle, Inc.	(40,148.50)
01/02/2013	01/07/2013	550	81.72	Stratasys, Inc	(44,967.51)
01/02/2013	01/07/2013	650	67.28	Triumph Group, Inc.	(43,755.01)
01/02/2013	01/07/2013	5,000	25.99	Vocera Communications Inc.	(130,149.00)
01/02/2013	01/07/2013	1,500	23.47	Volcano Corporation	(35 260.05)
01/16/2013	01/22/2013	2,200	51.07	Carpenter Technology Corp	(112,446.84)
02/22/2013	02/27/2013	6,000	21.75	Volcano Corporation	(130,755.60)
02/28/2013	03/05/2013	6,100	25.83	Vocera Communications Inc.	(157,783.82)
03/15/2013	03/20/2013	7,410	16.96	Gentherm Inc.	(125,939.62)
03/18/2013	03/21/2013	9,930	16.90	Gentherm Inc.	(168,198.31)
03/19/2013	03/22/2013	8,260	16.99	Gentherm Inc.	(140,660.37)
04/12/2013	04/17/2013	2,280	14.80	Gentherm Inc.	(33,827.45)
04/15/2013	04/18/2013	2,120	14.44	Gentherm Inc.	(30,707.35)
05/09/2013	05/14/2013	9,950	12.60	Vocera Communications Inc.	(125,809.79)
05/10/2013	05/15/2013	4,730	12.67	Vocera Communications Inc.	(60,132.02)
05/13/2013	05/16/2013	7,303	12.68	Vocera Communications Inc.	(92,862.48)
05/14/2013	05/17/2013	5,180	12.57	Vocera Communications Inc.	(65,293.90)
05/15/2013	05/20/2013	1,640	12.64	Vocera Communications Inc.	(20,801 27)
05/16/2013	05/21/2013	1 190	30.93	Synchronoss Technologies, Inc.	(36,850.61)
05/16/2013	05/21/2013	2,997	13.30	Vocera Communications Inc.	(39,985.37)
05/17/2013	05/22/2013	6,430	31.67	Synchronoss Technologies, Inc.	(203,921.02)
05/20/2013	05/23/2013	147	32.00	Synchronoss Technologies, Inc.	(4,709.57)
05/21/2013	05/24/2013	3,020	31.80	Synchronoss Technologies Inc.	(96,153.78)
05/22/2013	05/28/2013	6,050	31.40	Synchronoss Technologies, Inc.	(190,238.01)
05/23/2013	05/29/2013	5,163	31.03	Synchronoss Technologies, Inc.	(160,426.80)
06/27/2013	07/02/2013	1,000	46.60	Abaxis, Inc.	(46,640 00)
06/27/2013	07/02/2013	2,300	21.15	Abiomed, Inc	(48,739.07)
06/27/2013	07/02/2013	300	45.71	Carpenter Technology Corp	(13 725.54)
06/27/2013	07/02/2013	100	52.88	Clarcor Inc.	(5 291.85)
06/27/2013	07/02/2013	1,300	18.89	Digital River, Inc.	(24,614.33)
06/27/2013	07/02/2013	1,300	30.45	DigitalGlobe Inc.	(39 639 99)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
06/27/2013	07/02/2013	300	66.80	Edwards Lifesciences Corp	(20,052.87)
06/27/2013	07/02/2013	2,950	4.20	Entropic Communications	(12,508.00)
06/27/2013	07/02/2013	1,700	13.15	EPIQ Systems, Inc	(22,428.78)
06/27/2013	07/02/2013	250	102.08	FactSet Research Systems, Inc.	(25,529.30)
06/27/2013	07/02/2013	1,000	48.64	First Cash Financial Services.	(48,681.60)
06/27/2013	07/02/2013	925	32.98	Greatbatch, Inc.	(30,547.39)
06/27/2013	07/02/2013	1,050	24.02	Healthcare Services Group.	(25,265.94)
06/27/2013	07/02/2013	650	31.45	Insulet Corporation	(20,471.23)
06/27/2013	07/02/2013	1,000	26.85	Iron Mountain Inc	(26,888.50)
06/27/2013	07/02/2013	300	75.26	Littelfuse, Inc.	(22,590.84)
06/27/2013	07/02/2013	1,100	21.79	Masimo Corporation	(24,007.83)
06/27/2013	07/02/2013	800	19.65	Mentor Graphics	(15,748.16)
06/27/2013	07/02/2013	1,575	11.05	Merit Medical Systems Inc	(17,471.63)
06/27/2013	07/02/2013	1,075	22.57	Microsemi Corp.	(24,302.74)
06/27/2013	07/02/2013	1,025	10.92	Newpark Resources, Inc.	(11,238.61)
06/27/2013	07/02/2013	1,500	16.23	NIC Inc.	(24,399.30)
06/27/2013	07/02/2013	600	19.89	Omnicell, Inc.	(11,956.56)
06/27/2013	07/02/2013	5,300	4.98	Parker Drilling Company	(26,616.60)
06/27/2013	07/02/2013	975	30.26	PROS Holdings, Inc.	(29,543.18)
06/27/2013	07/02/2013	100	79.47	Range Resources Corp.	(7,950.94)
06/27/2013	07/02/2013	575	29.08	Simpson Manufacturing Co. Inc	(16,741.82)
06/27/2013	07/02/2013	500	54.88	Solera Holdings Inc.	(27,459.10)
06/27/2013	07/02/2013	1,000	26.11	Trimble Navigation Limited	(26,147.30)
06/27/2013	07/02/2013	300	18.01	Volcano Corporation	(5,413.80)
07/11/2013	07/16/2013	1,100	28.24	Synchronoss Technologies, Inc.	(31,110.09)
08/30/2013	09/05/2013	1,400	39.36	Abaxis, Inc.	(55,154.54)
08/30/2013	09/05/2013	3,400	23.72	Abiomed, Inc	(80,757.34)
08/30/2013	09/05/2013	3,100	26.89	Avis Budget Group Inc.	(83,491.37)
08/30/2013	09/05/2013	1,100	53.64	Carpenter Technology Corp.	(59,045.91)
08/30/2013	09/05/2013	1,500	74.79	Carter's, Inc.	(112,239.75)
08/30/2013	09/05/2013	1,500	70.21	Chemed Corporation	(105,377.55)
08/30/2013	09/05/2013	900	54.16	Clarcor Inc.	(48,782.97)
08/30/2013	09/05/2013	2,300	17.45	Digital River, Inc.	(40,228.15)
08/30/2013	09/05/2013	2,000	30.64	DigitalGlobe Inc.	(61,352.20)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
08/30/2013	09/05/2013	1,000	70.35	Edwards Lifesciences Corp.	(70,386.80)
08/30/2013	09/05/2013	14,200	4.18	Entropic Communications	(59,912 64)
08/30/2013	09/05/2013	4,100	12.33	EPIQ Systems, Inc.	(50,714 13)
08/30/2013	09/05/2013	2,950	23.50	ExamWorks Group, Inc.	(69,429.14)
08/30/2013	09/05/2013	1,700	55.30	First Cash Financial Services,	(94 083 61)
08/30/2013	09/05/2013	3,200	15.66	Fred's Inc.	(50,240.32)
08/30/2013	09/05/2013	2,300	16.79	Gentherm Inc	(38,714 52)
08/30/2013	09/05/2013	4,400	34.16	Greatbatch, Inc.	(150,463 28)
08/30/2013	09/05/2013	2,600	33.66	Insulet Corporation	(87,620.26)
08/30/2013	09/05/2013	900	53.61	IPG Photonics Corporation	(48,283.29)
08/30/2013	09/05/2013	3,200	26.13	Iron Mountain Inc.	(83,752.32)
08/30/2013	09/05/2013	1,300	74.65	Littelfuse, Inc	(97,102 72)
08/30/2013	09/05/2013	2,500	24.94	Masimo Corporation	(62 450.00)
08/30/2013	09/05/2013	3,100	22.46	Mentor Graphics	(69,748.14)
08/30/2013	09/05/2013	9,100	12.87	Merit Medical Systems, Inc.	(117,521.95)
08/30/2013	09/05/2013	5,900	25.75	Microsemi Corp.	(152,165.13)
08/30/2013	09/05/2013	5,800	11.33	Newpark Resources, Inc.	(65,926.86)
08/30/2013	09/05/2013	5,100	22.26	NIC Inc	(113,730.00)
08/30/2013	09/05/2013	3,300	21.96	Omnicell, Inc.	(72,612.54)
08/30/2013	09/05/2013	6,800	5.92	Parker Drilling Company	(40,533.44)
08/30/2013	09/05/2013	3,600	32.68	PROS Holdings, Inc.	(117,780.84)
08/30/2013	09/05/2013	1,300	75.51	Range Resources Corp.	(98,213.83)
08/30/2013	09/05/2013	3,600	31.20	Simpson Manufacturing Co. Inc	(112,449.24)
08/30/2013	09/05/2013	900	51.89	Solera Holdings Inc.	(46,733.85)
08/30/2013	09/05/2013	1,800	34.47	Synchronoss Technologies, Inc.	(62,119.08)
08/30/2013	09/05/2013	4,400	25.35	Trimble Navigation Limited	(111,716.00)
08/30/2013	09/05/2013	4,200	16.36	Vocera Communications Inc.	(68,866.14)
08/30/2013	09/05/2013	2,300	21.45	Volcano Corporation	(49,420 33)
09/12/2013	09/17/2013	900	12.79	Merit Medical Systems, Inc.	(11,543.04)
09/13/2013	09/18/2013	6,300	12.90	Merit Medical Systems, Inc.	(81 525.15)
09/30/2013	10/03/2013	210	55.54	Clarcor Inc.	(11,671.80)
09/30/2013	10/03/2013	310	17.84	Digital River, Inc.	(5,542.80)
09/30/2013	10/03/2013	6,850	4.41	Entropic Communications	(30,507.16)
09/30/2013	10/03/2013	440	13.28	EPIQ Systems, Inc.	(5,851 12)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Purchases (cont'd)					
09/30/2013	10/03/2013	150	56.90	First Cash Financial Services	(8,541.00)
09/30/2013	10/03/2013	3,770	15.84	Fred's Inc.	(59,865.34)
09/30/2013	10/03/2013	1,410	33.86	Greatbatch, Inc.	(47 796.04)
09/30/2013	10/03/2013	3,920	25.86	Healthcare Services Group,	(101 532.70)
09/30/2013	10/03/2013	1,050	36.35	Insulet Corporation	(38,208 98)
09/30/2013	10/03/2013	170	78.63	Littelfuse, Inc.	(13,373.90)
09/30/2013	10/03/2013	910	12.28	Merit Medical Systems, Inc	(11 210 75)
09/30/2013	10/03/2013	2,050	24.34	Microsemi Corp	(49,976 54)
09/30/2013	10/03/2013	450	23.64	Omnicell Inc.	(10 654 83)
09/30/2013	10/03/2013	650	5.73	Parker Drilling Company	(3,751 02)
09/30/2013	10/03/2013	1,910	69.97	Triumph Group, Inc.	(133,723 49)
10/18/2013	10/23/2013	27,630	18.78	Mistras Group Inc.	(520,087 78)
10/23/2013	10/28/2013	100	18.90	Mistras Group Inc.	(1,894 00)
10/29/2013	11/01/2013	150	18.89	Mistras Group Inc.	(2,839.74)
10/30/2013	11/04/2013	250	18.89	Mistras Group Inc.	(4,733.00)
10/31/2013	11/05/2013	670	18.90	Mistras Group Inc	(12,669.20)
11/01/2013	11/06/2013	8,420	18.89	Volcano Corporation	(159,352 71)
11/05/2013	11/08/2013	170	18.90	Volcano Corporation	(3,219.80)
11/13/2013	11/18/2013	8,953	19.00	Mistras Group Inc.	(170 438 26)
11/14/2013	11/19/2013	436	18.99	Mistras Group Inc.	(8,295 51)
11/15/2013	11/20/2013	178	19.00	Mistras Group Inc	(3,389 12)
				Total Purchases	(8,278 110 88)
Sales					
01/02/2013	01/07/2013	3,000	60.61	Trimble Navigation Limited	181 703 82
05/16/2013	05/21/2013	9,250	49.89	ResMed Inc.	461 094 76
05/16/2013	05/21/2013	3,160	89.32	Stratasys, Inc.	282,106 68
05/17/2013	05/22/2013	250	89.07	Stratasys, Inc.	22,256.15
05/20/2013	05/23/2013	990	89.42	Stratasys, Inc.	88,485 80
09/09/2013	09/12/2013	3,100	103.67	Stratasys, Inc.	321 256 09
				Total Sales	1,356,905 30
Dividends Received*					
12/21/2012	01/17/2013		0.27	Iron Mountain Inc	12,127.05
* 12/31/2012	01/24/2013		0.13	Simpson Manufacturing Co., Inc	2,508 13
01/02/2013	01/18/2013		0.14	Clarcor Inc.	1 530 50

Prior period activity recorded in the current period

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Dividends Received (cont'd)					
01/02/2013	01/02/2013			Income received on Cash equivalents	0 41
01/10/2013	02/15/2013		0 09	EPIQ Systems, Inc.	4 568 04
01/15/2013	01/15/2013			Income received on Cash equivalents	7.42
02/01/2013	02/01/2013			Income received on Cash equivalents	0.08
02/08/2013	03/07/2013		0.18	Carpenter Technology Corp.	2,524.68
02/14/2013	03/19/2013		0.17	ResMed Inc.	4,629.95
02/15/2013	02/15/2013			Income received on Cash equivalents	13 13
02/15/2013	03/07/2013		0.20	Littelfuse, Inc.	2 526 80
02/19/2013	03/06/2013		0.13	Solera Holdings Inc.	1,373.63
02/20/2013	03/15/2013		0.17	Healthcare Services Group.	11 938.91
02/26/2013	03/19/2013		0.31	FactSet Research Systems, Inc.	3,564.69
02/27/2013	03/15/2013		0.06	Fred's Inc.	2,483.16
02/27/2013	03/15/2013		0.04	Triumph Group, Inc	966.72
02/28/2013	03/22/2013		0.18	Chemed Corporation	3,577.50
03/12/2013	03/28/2013		0.40	Airgas, Inc.	6,710.80
03/13/2013	04/01/2013		0.04	Range Resources Corp	641.52
03/15/2013	03/15/2013			Income received on Cash equivalents	12 63
03/20/2013	04/10/2013		0.05	Mentor Graphics	3 555.32
03/21/2013	04/15/2013		0.27	Iron Mountain Inc.	10,855.35
04/04/2013	04/19/2013		0.14	Clarcor Inc.	1,631.75
04/15/2013	04/15/2013			Income received on Cash equivalents	15.77
04/29/2013	06/03/2013		0.09	EPIQ Systems, Inc	4 568,04
05/08/2013	06/14/2013		0 17	Healthcare Services Group.	12 028.68
05/10/2013	06/06/2013		0 18	Carpenter Technology Corp	2 524.68
05/15/2013	05/15/2013			Income received on Cash equivalents	20.27
05/16/2013	06/06/2013		0.20	Littelfuse Inc.	2,526.80
05/17/2013	06/18/2013		0.17	ResMed Inc.	3,057.45
05/17/2013	06/04/2013		0.13	Solera Holdings Inc.	1,373 63
05/28/2013	06/19/2013		0.18	Chemed Corporation	3,577.50
05/29/2013	06/14/2013		0.16	Carter's, Inc	3 097 60
05/29/2013	06/18/2013		0.35	FactSet Research Systems, Inc	4,024.65
05/29/2013	06/17/2013		0.04	Triumph Group, Inc.	966.72
05/30/2013	06/17/2013		0.06	Fred's Inc	2,483.16
06/06/2013	07/01/2013		0.05	Mentor Graphics	3 555 32

Footnotes to part IIIB (12) continued

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Total Cost
Dividends Received (cont'd)					
06/12/2013	06/28/2013		0.48	Airgas, Inc.	8 052.96
06/12/2013	06/28/2013		0.04	Range Resources Corp	641 52
06/17/2013	06/17/2013			Income received on Cash equivalents	20.54
06/21/2013	07/15/2013		0.27	Iron Mountain Inc.	10,855.35
07/01/2013	07/25/2013		0.13	Simpson Manufacturing Co Inc	2 648.75
07/03/2013	07/19/2013		0.14	Clarcor Inc.	1 645.25
07/15/2013	07/15/2013			Income received on Cash equivalents	13 59
07/30/2013	09/09/2013		0.09	EPIQ Systems, Inc.	4 721 04
08/08/2013	09/03/2013		0.20	Chemed Corporation	3,975.00
08/14/2013	09/20/2013		0.17	Healthcare Services Group.	12 295 63
08/15/2013	08/15/2013			Income received on Cash equivalents	11 25
08/16/2013	09/17/2013		0.25	ResMed Inc.	4 496 25
08/19/2013	09/05/2013		0.22	Littelfuse Inc.	2 845.48
08/23/2013	09/06/2013		0.18	Carpenter Technology Corp	2 578 68
08/28/2013	09/17/2013		0.35	FactSet Research Systems, Inc	4 112 15
08/28/2013	09/16/2013		0.06	Fred's Inc.	2 483 15
08/28/2013	09/16/2013		0.04	Triumph Group, Inc	966 72
08/29/2013	09/13/2013		0.16	Carter's, Inc	3,097 60
09/03/2013	09/17/2013		0.17	Solera Holdings Inc	2 106 13
09/08/2013	09/30/2013		0.05	Mentor Graphics	3 730 62
09/11/2013	09/30/2013		0.48	Airgas Inc.	8,052 96
09/12/2013	09/30/2013		0.04	Range Resources Corp	697 52
09/16/2013	09/16/2013			Income received on Cash equivalents	14.24
09/23/2013	10/15/2013		0.27	Iron Mountain Inc.	11 989 35
10/01/2013	10/24/2013		0.13	Simpson Manufacturing Co., Inc	3,098 75
10/09/2013	10/18/2013		0.17	Clarcor Inc.	2 260 49
10/15/2013	10/15/2013			Income received on Cash equivalents	19 19
10/25/2013	12/05/2013		0.18	Carpenter Technology Corp.	2 776 68
10/30/2013	12/09/2013		0.09	EPIQ Systems, Inc.	5 129 64
11/13/2013	12/20/2013		0.17	Healthcare Services Group	13 053 11
11/14/2013	12/09/2013		0.20	Chemed Corporation	4 275 00
11/15/2013	11/15/2013			Income received on Cash equivalents	12 44
11/15/2013	12/18/2013		0.25	ResMed Inc	4 496.25
11/18/2013	12/05/2013		0.22	Littelfuse Inc.	3,168.88

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Dividends Received (cont'd)					
11/18/2013	12/03/2013		0.17	Solera Holdings Inc.	2,106 13
11/26/2013	12/12/2013		0.16	Carter's, Inc	3,337.60
11/26/2013	12/17/2013		0.35	FactSet Research Systems, Inc.	4,112.15
11/26/2013	12/16/2013		0.04	Triumph Group, Inc.	1 043 12
11/27/2013	12/18/2013		0.06	Fred's Inc.	2,901 36
12/10/2013	12/27/2013		0.48	Airgas, Inc.	8,052.96
12/12/2013	12/31/2013		0.04	Range Resources Corp.	697 52
				Total Dividends Received	274 161 55
Other Income					
09/04/2013	09/04/2013			Check deposit from RSL Communications- Securities Litigation Settlement Fund - Class Action Proceeds	36,078.78
				Total Other Income	36,078.78
Cash Deposits					
01/02/2013	01/02/2013			Incoming Wire from Partner	75,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	500,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	250,000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	250,000.00
01/02/2013	01/02/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund LP Transfer from State Street Account.	1,040,000.00
01/28/2013	01/28/2013			Audit Fee Paid to Rock& Co	13,275.26
01/31/2013	01/31/2013			audit fee paid to rock&co	3 358.15
02/01/2013	02/01/2013			Custody Transfer from Partner	50,000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	50 000 00
02/01/2013	02/01/2013			Custody Transfer from Partner	100,000 00
02/01/2013	02/01/2013			Custody Transfer from Partner	100,000 00
02/01/2013	02/01/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund LP Transfer from State Street Account	296 000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	25 000 00
03/01/2013	03/01/2013			Custody Transfer from Partner	50 000.00
03/01/2013	03/01/2013			Custody Transfer from Partner	50,000 00
03/01/2013	03/01/2013			Custody Transfer from Partner	100,000 00
03/01/2013	03/01/2013			Custody Transfer from Partner	100,000 00
03/01/2013	03/01/2013			Wire transfer from Rockefeller & Co U S Small Capitalization Fund LP Transfer from State Street Account	325 000 00
04/01/2013	04/01/2013			Custody Transfer from Partner	25,000 00
04/01/2013	04/01/2013			Incoming Wire from Partner	750,000.00
04/01/2013	04/01/2013			Incoming Wire from Partner	500,000.00
04/01/2013	04/01/2013			Wire transfer from Rockefeller & Co U S Small Capitalization Fund, LP Transfer from State Street Account	1,278 000.00

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US
Cash Deposits (cont'd)					
05/01/2013	05/01/2013			Custody Transfer from Partner	22,000 00
05/01/2013	05/01/2013			Incoming Wire from Partner	50 000 00
05/01/2013	05/01/2013			Wire transfer from Rockefeller & Co U S Small Capitalization Fund LP - Transfer from State Street Account	72 000 00
06/03/2013	06/03/2013			Custody Transfer from Partner	5,000 00
06/03/2013	06/03/2013			to clear 1042 receivable	805.00
06/03/2013	06/03/2013			Wire transfer from Rockefeller & Co. U S. Small Capitalization Fund, LP - Transfer from State Street Account	6,000 00
06/06/2013	06/06/2013			Wire transfer from Rockefeller & Co. U S. Small Capitalization Fund LP - Transfer from Schwab - Fees	12,890.75
07/01/2013	07/01/2013			Wire transfer from Rockefeller & Co. U S. Small Capitalization Fund LP - Transfer from Schwab Account	122 778 10
09/03/2013	09/03/2013			Custody Transfer from Partner	741,000.00
09/03/2013	09/03/2013			Custody Transfer from Partner	741 000 00
09/03/2013	09/03/2013			Custody Transfer from Partner	741 000 00
09/03/2013	09/03/2013			Custody Transfer from Partner	741 000 00
09/03/2013	09/03/2013			Custody Transfer from Partner	741 000.00
09/03/2013	09/03/2013			Wire transfer from Rockefeller & Co. U S. Small Capitalization Fund LP - Transfer from State Street Account	3,705,000.00
09/25/2013	09/25/2013			Wire transfer from Rockefeller & Co. U S. Small Capitalization Fund, LP Transfer from State Street Account.	36 078.76
10/01/2013	10/01/2013			Custody Transfer from Partner	400 000 00
10/01/2013	10/01/2013			Custody Transfer from Partner	400 000.00
10/01/2013	10/01/2013			Wire transfer from Rockefeller & Co U S. Small Capitalization Fund LP - Transfer from State Street Account	800,000 00
11/01/2013	11/01/2013			Custody Transfer from Partner	200,000 00
11/01/2013	11/01/2013			Custody Transfer from Partner	200 000.00
11/01/2013	11/01/2013			Custody Transfer from Partner	360 000.00
11/01/2013	11/01/2013			Wire transfer from Rockefeller & Co U S Small Capitalization Fund LP Transfer from State Street Account	747 913.06
12/02/2013	12/02/2013			form 1042 Q3-2013 for partner 9889	850.00
12/02/2013	12/02/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund LP - Transfer from Schwab Account	100,000.00
12/12/2013	12/12/2013			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund LP - Transfer from Schwab Account	10 936.33
				Total Cash Deposits	16 888 885 43
Cash Withdrawals and Payments					
03/19/2013	03/19/2013			Check to Delaware Secretary of State Vendor #51-6000279 - Agent's file # CT 08006240967 DE File # 2389561	(250.00)
				Total Tax Payments and Refunds	(250.00)
01/02/2013	01/02/2013			Cash portion of withdrawal from 8250 for partner 0380	(1 117 10)
01/02/2013	01/02/2013			Cash portion of withdrawal from 8250 for partner 0380	(216,024.30)
01/02/2013	01/02/2013			Custody Transfer to Partner	(35,000.00)
01/02/2013	01/02/2013			Wire transfer to Rockefeller & Co, U S, Small Capitalization Fund LP Partnership Purchase	(1,040,000 00)
01/07/2013	01/07/2013			Fee on Abaxis, Inc	(15.00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

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

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

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

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description		Amount
Cash Withdrawals and Payments (cont'd)						
05/22/2013	05/22/2013			Fee On Stratasys, Inc		(15.00)
05/22/2013	05/22/2013			Fee On Synchronoss Technologies Inc		(15 00)
05/23/2013	05/23/2013			Fee On Stratasys, Inc.		(15 00)
05/23/2013	05/23/2013			Fee On Synchronoss Technologies Inc.		(15.00)
05/24/2013	05/24/2013			Fee On Synchronoss Technologies, Inc.		(15.00)
05/28/2013	05/28/2013			Fee On Synchronoss Technologies, Inc.		(15.00)
05/29/2013	05/29/2013			Administration Fees Paid to Rock & Co.		(149.00)
05/29/2013	05/29/2013			Administration Fees Paid to Rock & Co		(5 045 00)
05/29/2013	05/29/2013			Fee On Synchronoss Technologies Inc		(15 00)
06/03/2013	06/03/2013			Wire Transfer to Partner		(805.00)
06/03/2013	06/03/2013			Wire transfer to Rockefeller & Co. U S. Small Capitalization Fund LP	Partnership Purchase	(6,000 00)
06/06/2013	06/06/2013			Custody Transfer to Rockefeller & Co. Inc. Reimbursement for Deloitte Audit fees - 2nd bill		(12,890 75)
06/06/2013	06/06/2013			Wire transfer to Rockefeller & Co. U S. Small Capitalization Fund, LP	Transfer to State Street Account	(12,890.75)
06/18/2013	06/18/2013			Administration Fees Paid to Rock & Co.		(5,327 00)
07/01/2013	07/01/2013			Custody Transfer to Partner		(110,500.29)
07/01/2013	07/01/2013			Wire transfer to Rockefeller & Co. U.S Small Capitalization Fund LP	Transfer to State Street Account	(122,778.10)
07/02/2013	07/02/2013			Fee on Abaxis, Inc.		(15 00)
07/02/2013	07/02/2013			Fee on Abiomed, Inc		(15 00)
07/02/2013	07/02/2013			Fee on Carpenter Technology Corp.		(15 00)
07/02/2013	07/02/2013			Fee on Clarcor Inc.		(15.00)
07/02/2013	07/02/2013			Fee on Digital River, Inc.		(15.00)
07/02/2013	07/02/2013			Fee on Digitalglobe Inc.		(15.00)
07/02/2013	07/02/2013			Fee on Edwards Lifesciences Corp		(15.00)
07/02/2013	07/02/2013			Fee on Entropic Communications		(15 00)
07/02/2013	07/02/2013			Fee on Epiq Systems, Inc.		(15 00)
07/02/2013	07/02/2013			Fee on Factset Research Systems, Inc.		(15.00)
07/02/2013	07/02/2013			Fee on First Cash Financial Services		(15 00)
07/02/2013	07/02/2013			Fee on Greatbatch, Inc		(15.00)
07/02/2013	07/02/2013			Fee on Healthcare Services Group		(15 00)
07/02/2013	07/02/2013			Fee on Insulet Corporation		(15 00)
07/02/2013	07/02/2013			Fee on Iron Mountain Inc.		(15.00)
07/02/2013	07/02/2013			Fee on Littelfuse, Inc.		(15 00)
07/02/2013	07/02/2013			Fee on Masimo Corporation		(15 00)
07/02/2013	07/02/2013			Fee on Mentor Graphics		(15 00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price Rate	Description	Amount
Cash Withdrawals and Payments (cont'd)					
07/02/2013	07/02/2013			Fee on Merit Medical Systems, Inc.	(15.00)
07/02/2013	07/02/2013			Fee on Microsemi Corp.	(15 00)
07/02/2013	07/02/2013			Fee on Newpark Resources, Inc	(15 00)
07/02/2013	07/02/2013			Fee on Nic Inc.	(15 00)
07/02/2013	07/02/2013			Fee on Omnicell, Inc.	(15 00)
07/02/2013	07/02/2013			Fee on Parker Drilling Company	(15 00)
07/02/2013	07/02/2013			Fee on PROS Holdings	(15.00)
07/02/2013	07/02/2013			Fee on Range Resources Corp	(15 00)
07/02/2013	07/02/2013			Fee on Simpson Manufacturing Co Inc	(15 00)
07/02/2013	07/02/2013			Fee on Solera Holdings Inc.	(15 00)
07/02/2013	07/02/2013			Fee on Trimble Navigation Limited	(15.00)
07/02/2013	07/02/2013			Fee on Volcano Corporation	(15.00)
07/15/2013	07/15/2013			Custody Transfer to Partner	(12,277 81)
07/16/2013	07/16/2013			Fee On Synchronoss Technologies Inc	(15.00)
07/24/2013	07/24/2013			Administration Fees Paid to Rock & Co	(5,370.00)
08/01/2013	08/01/2013			Custody Transfer to Partner	(500 00)
08/22/2013	08/22/2013			Administration Fees Paid to Rock & Co	(5,642 00)
09/03/2013	09/03/2013			Wire transfer to Rockefeller & Co U S Small Capitalization Fund LP - Partnership Purchase	(3 705 000 00)
09/05/2013	09/05/2013			Fee on Abaxis Inc.	(15 00)
09/05/2013	09/05/2013			Fee on Abiomed, Inc	(15.00)
09/05/2013	09/05/2013			Fee on Avis Budget Group	(15.00)
09/05/2013	09/05/2013			Fee on Carpenter Tech Corp.	(15.00)
09/05/2013	09/05/2013			Fee on Carter's Inc.	(15.00)
09/05/2013	09/05/2013			Fee on Chemed Corp	(15.00)
09/05/2013	09/05/2013			Fee on Clarcor, Inc	(15 00)
09/05/2013	09/05/2013			Fee on Digital River, Inc	(15 00)
09/05/2013	09/05/2013			Fee on DigitalGlobe, Inc.	(15 00)
09/05/2013	09/05/2013			Fee on Edwards Lifesciences Corp	(15 00)
09/05/2013	09/05/2013			Fee on Entropic Communications	(15.00)
09/05/2013	09/05/2013			Fee on EPIQ Systems Inc.	(15.00)
09/05/2013	09/05/2013			Fee on ExamWorks Group, Inc	(15 00)
09/05/2013	09/05/2013			Fee on First Cash Financial Services Inc	(15 00)
09/05/2013	09/05/2013			Fee on Fred's, Inc	(15 00)
09/05/2013	09/05/2013			Fee on Gentherm Inc	(15 00)

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

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

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

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

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Cash Withdrawals and Payments (cont'd)					
				Total Miscellaneous	(9 168,334.34)
				Total Cash Withdrawals and Payments	(9 168 584.34)
Fees					
01/28/2013	01/28/2013			Investment Management Fee Paid to Rock & Co	(40,281 00)
01/28/2013	01/28/2013			Wire Fee	(25 00)
01/29/2013	01/29/2013			Wire Fee	(25 00)
01/30/2013	01/30/2013			Custody Transfer to State Street Bank - December 2012 State Street Custody Fees	(0 08)
02/01/2013	02/01/2013			Wire Fee	(25 00)
02/26/2013	02/26/2013			Investment Management Fee Paid to Rock & Co.	(42,045 00)
02/26/2013	02/26/2013			Wire Fee	(25 00)
03/25/2013	03/25/2013			Investment Management Fee Paid to Rock & Co.	(41 661 00)
03/25/2013	03/25/2013			Wire Fee	(25.00)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank - February 2013 State Street Custody Fees	(9 16)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank - January 2013 State Street Custody Fees	(0.02)
04/23/2013	04/23/2013			Custody Transfer to State Street Bank - March 2013 State Street Custody Fees	(0 13)
04/26/2013	04/26/2013			Investment Management Fee Paid to Rock & Co.	(43,358 00)
04/26/2013	04/26/2013			Wire Fee	(25.00)
05/29/2013	05/29/2013			Investment Management Fee Paid to Rock & Co.	(1,278 00)
05/29/2013	05/29/2013			Investment Management Fee Paid to Rock & Co.	(43,243.00)
05/29/2013	05/29/2013			Wire Fee	(25 00)
05/29/2013	05/29/2013			Wire Fee	(25 00)
06/06/2013	06/06/2013			Wire Fee	(25 00)
06/07/2013	06/07/2013			Custody Transfer to State Street Bank - April 2013 State Street Custody Fees	(0 08)
06/18/2013	06/18/2013			Investment Management Fee Paid to Rock & Co	(45,661 00)
06/18/2013	06/18/2013			Wire Fee	(25.00)
07/01/2013	07/01/2013			Wire Fee	(25.00)
07/12/2013	07/12/2013			Custody Transfer to State Street Bank - May 2013 State Street Custody Fees	(0 08)
07/24/2013	07/24/2013			Investment Management Fee Paid to Rock & Co	(46 027 00)
07/24/2013	07/24/2013			Wire Fee	(25 00)
08/09/2013	08/09/2013			Custody Transfer to State Street Bank - June 2013 State Street Custody Fees	(0.08)
08/22/2013	08/22/2013			Investment Management Fee Paid to Rock & Co.	(48,363.00)
08/22/2013	08/22/2013			Wire Fee	(25.00)
09/03/2013	09/03/2013			Custody Transfer to State Street Bank - July 2013 State Street Custody Fees	(0.08)
09/24/2013	09/24/2013			Custody Transfer to Rockefeller & Co. Inc. - Reimbursement for Deloitte audit fee	(281.60).

RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Media (continued):			
mobiTeris, Inc. (dba BuyFi) (San Jose, CA)			
5% Convertible Promissory Note, due 5/15/2015	$ 200,000	$ 200,000	0.04%
PopDust, Inc. (New York, NY)			
136,062 Series A-3 Preferred Stock shares	375,000	625,885	0.11%
52,533 Series A-4 Preferred Stock shares	241,652	241,652	0.04%
	616,652	867,537	0.15%
Relationship Science LLC (New York, NY)			
50,000 Series A Preferred Units	50,000	417,922	0.07%
SocialFlow, Inc. (New York, NY)			
911,632 Series A Preferred Stock shares	1,499,999	901,765	0.16%
182,326 Series A -1 Preferred Stock shares	299,999	396,821	0.07%
1,679,261 Series B Preferred Stock shares	800,000	1,058,193	0.19%
91,163 Warrants for Common Stock, expiring 5/11/2017	-	-	0.00%
	2,599,998	2,356,779	0.42%.
Spanfeller Media Group, Inc. (New York, NY)			
500,000 Series A Preferred Stock shares	250,000	535,475	0.09%
140,062 Series B Preferred Stock shares	100,000	150,000	0.03%
	350,000	685,475	0.12%
This Life, Inc. (dba HowAboutWe) (Brooklyn, NY)			
387,597 Series A Preferred Stock shares	2,500,001	1,446,551	0.26%
849,936 Series B Preferred Stock shares	3,493,237	2,021,258	0.36%
411,523 Series B-2 Preferred Stock shares	2,000,002	1,157,242	0.21%
	7,993,240	4,625,051	0.83%
Total Media	44,379,865	152,290,869	27.00%
Mobile Software:			
Good Technology Corporation (Sunnyvale, CA)			
303,238 Series B-2 Preferred Stock shares	381,999	1,244,791	0.22%
Kik Interactive, Inc. (Canada)			
1,139,254 Class A Preferred Stock shares	3,000,000	27,128,705	4.81%
249,491 Class B Preferred Stock shares	2,909,667	5,941,054	1.05%
112,708 Class C Preferred Stock shares	2,683,881	2,683,881	0.48%
379,751 Common Stock shares	1,000,000	9,042,897	1.60%
	9,593,548	44,796,537	7.94%
Payfone, Inc. (New York, NY)			
3,200,000 Series A Preferred Stock shares	1,600,000	9,614,111	1.70%
2,242,272 Series B Preferred Stock shares	2,103,724	6,736,704	1.20%
1,215,011 Series C-1 Preferred Stock shares	3,463,408	7,113,799	1.26%
	7,167,132	23,464,614	4.16%
Skyhook Wireless, Inc. (Boston, MA)			
Escrow	580,714	598,767	0.11%
Total Mobile Software	17,723,393	70,104,709	12.43%

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See accompanying notes to Financial Statements

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Non Cash Withdrawals (cont'd)					
01/02/2013	01/02/2013	11,390		Withdrawal In Kind - 11,390 shares of Parker Drilling Company (Market Value = $52 394 00)	
01/02/2013	01/02/2013	11,700		Withdrawal In Kind - 11,700 shares of Mentor Graphics (Market Value = $199,134 00)	
01/02/2013	01/02/2013	18,640		Withdrawal In Kind 18,640 shares of Entropic Communications (Market Value = $98,605.60)	
01/02/2013	01/02/2013	2,310		Withdrawal In Kind - 2,310 shares of Range Resources Corp (Market Value = $145,137.29)	
01/02/2013	01/02/2013	2,310		Withdrawal In Kind - 2,310 shares of Stericycle Inc (Market Value = $215,476.80)	
01/02/2013	01/02/2013	2,420		Withdrawal In Kind 2,420 shares of Abaxis Inc (Market Value = $89,782.01)	
01/02/2013	01/02/2013	2,420		Withdrawal In Kind - 2,420 shares of Airgas, Inc (Market Value = $220,921.80)	
01/02/2013	01/02/2013	2,780		Withdrawal In Kind - 2,780 shares of Carter's, Inc. (Market Value = $154 707 00)	
01/02/2013	01/02/2013	2,870		Withdrawal In Kind - 2,870 shares of Chemed Corporation (Market Value = $196 853 30)	
01/02/2013	01/02/2013	2,970		Withdrawal In Kind - 2,970 shares of First Cash Financial Services. (Market Value = $147,371 39)	
01/02/2013	01/02/2013	2,970		Withdrawal In Kind - 2,970 shares of Simpson Manufacturing Co . Inc (Market Value = $97 386 29)	
01/02/2013	01/02/2013	2,980		Withdrawal In Kind 2,980 shares of Stratasys Inc. (Market Value = $238,647.00)	
01/02/2013	01/02/2013	3,270		Withdrawal In Kind - 3,270 shares of Volcano Corporation (Market Value = $77 204 69)	
01/02/2013	01/02/2013	3,470		Withdrawal In Kind - 3,470 shares of DigitalGlobe Inc (Market Value = $84,806 79)	
01/02/2013	01/02/2013	3,480		Withdrawal In Kind 3,480 shares of Triumph Group, Inc. (Market Value = $227,243 99)	
01/02/2013	01/02/2013	3,930		Withdrawal In Kind - 3,930 shares of ResMed Inc (Market Value = $163,370.07)	
01/02/2013	01/02/2013	4,140		Withdrawal In Kind - 4,140 shares of Digital River Inc (Market Value = $59,533 19)	
01/02/2013	01/02/2013	4,390		Withdrawal In Kind - 4,390 shares of Masimo Corporation (Market Value = $92,233.89)	
01/02/2013	01/02/2013	4,550		Withdrawal In Kind - 4,550 shares of Trimble Navigation Limited (Market Value = $271 999 00)	
01/02/2013	01/02/2013	4,580		Withdrawal In Kind - 4,580 shares of Greatbatch, Inc. (Market Value = $106,439.20)	
01/02/2013	01/02/2013	4,760		Withdrawal In Kind - 4,760 shares of Insulet Corporation (Market Value = $101,007 20)	
01/02/2013	01/02/2013	5,680		Withdrawal In Kind 5,680 shares of Abiomed, Inc (Market Value = $76 339 19)	
01/02/2013	01/02/2013	5,680		Withdrawal In Kind 5,680 shares of Avis Budget Group Inc. (Market Value = $112,577 60)	
01/02/2013	01/02/2013	5,790		Withdrawal In Kind - 5,790 shares of Iron Mountain Inc. (Market Value = $179,779 51)	
01/02/2013	01/02/2013	5,960		Withdrawal In Kind - 5,960 shares of Fred's Inc. (Market Value = $79,327.61)	
01/02/2013	01/02/2013	6,090		Withdrawal In Kind - 6,090 shares of Omnicell, Inc. (Market Value = $90,558 30)	
01/02/2013	01/02/2013	6,520		Withdrawal In Kind - 6,520 shares of NIC Inc. (Market Value = $106,536.79)	
01/02/2013	01/02/2013	6,530		Withdrawal In Kind - 6,530 shares of PROS Holdings, Inc. (Market Value = $119,433.68)	
01/02/2013	01/02/2013	7,240		Withdrawal In Kind 7,240 shares of Microsemi Corp. (Market Value = $152,329.61)	
01/02/2013	01/02/2013	7,310		Withdrawal In Kind - 7,310 shares of EPIQ Systems, Inc. (Market Value = $93,202 49)	
01/02/2013	01/02/2013	8,080		Withdrawal In Kind - 8,080 shares of Merit Medical Systems, Inc (Market Value = $112 312 00)	
Mergers, Stock Splits, Distributions					
03/21/2013	03/21/2013	27,695	2 00	Split on 27,695 shares of Trimble Navigation Limited	

Footnotes to part IIIB (12) continued

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

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

ROCKEFELLER & CO.

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

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est Ann Income
Cash and Cash Equivalents								
Cash			2,207,441 05	2 207 441,05*	0 00	3 69	0 00	0
Securities								
Equity								
North America								
Abaxis, Inc.	19,225	40.01	515,580.16	769,230.70	253,650.54	1.29	0.00	0
Abiomed, Inc	46,572	26.74	601,170.40	1,245,335.28	644,164.88	2.08	0.00	0
Airgas, Inc.	16,777	111.85	374,401.07	1,876 507.45	1,502,106.38	3.14	1.72	32 212
Avis Budget Group Inc.	42,469	40.42	590,202.83	1,716,596.98	1,126,394.15	2.87	0.00	0
Carpenter Technology Corporation	15,426	62.20	567,967.63	959,497.20	391,529.57	1.60	1.16	11,107
Carter's, Inc.	20,860	71.79	614,081.29	1 497,539.40	883,458,11	2.50	0.89	13,350
Chemed Corporation	21,375	76.62	796,023.19	1,637,752.50	841,729.31	2.74	1.04	17,100
Clarcor Inc.	13,297	64.35	458,332.00	855,661.95	397,329.95	1.43	1 06	9,042
Digital River, Inc.	32,617	18.47	518,618.00	602,435.99	83,819.99	1.01	0.00	0
DigitalGlobe Inc.	27,355	41.15	567,856.48	1,125,658.25	557,701.77	1.88	0.00	0
Edwards Lifesciences Corporation	13,674	65.76	436,824.31	899,202.24	462,377.93	1.50	0.00	0
Entropic Communications	153,359	4.70	582,870.44	720,787.30	137,916.86	1.20	0.00	0
EPIQ Systems, Inc.	56,996	16.17	688,004.07	921,625.32	233,621.25	1.54	2.23	20 519
ExamWorks Group Inc.	78,724	29.87	851,264.28	2,351,485.88	1,500,221.60	3.93	0.00	0
FactSet Research Systems, Inc.	11,749	108.58	188,625.10	1,275,706 42	1,087,081 32	2.13	1.29	16,449
First Cash Financial Services, Inc.	23,446	61.84	691,874.48	1,449,900.64	758,026 16	2.42	0.00	0
Fred's Inc.	48,356	18.48	660,914.83	893,618.88	232,704.05	1.49	1.30	11 605
Gentherm Inc.	32,300	26.81	538,047.62	865,963.00	327,915 38	1.45	0.00	0
Greatbatch, Inc.	38,532	44.24	841,346.81	1,704,655.68	863,308.87	2.85	0.00	0
Healthcare Services Group,	76,783	28.37	234,792.01	2,178,333 71	1 943,541.70	3.64	2.40	52 212
Insulet Corporation	37,340	37.10	737,455.25	1,385,314.00	647,858.75	2.32	0.00	0
IPG Photonics Corporation	12,793	77.61	446,171.99	992,864.73	546,692.74	1.66	0.00	0
Iron Mountain Inc.	44,405	30.35	512,327.74	1,347,691.75	835,364.01	2 25	3.56	47 957
Littelfuse, Inc.	14,404	92.93	603,318 98	1,338,563.72	735,244.74	2.24	0.95	12,676
Masimo Corporation	34,055	29.23	728,284.15	995,427.65	267,143.50	1.66	0.00	0
Mentor Graphics	82,907	24.07	797,687.19	1,995,571.49	1,197,884.30	3.33	0.75	14 923

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

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ROCKEFELLER & CO

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

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est Ann Income
Merit Medical Systems Inc.	74,806	15.74	890,285.20	1 177 446 44	287 161.24	1.97	0 00	0
Microsemi Corp.	59,231	24.95	581,453.99	1 477 813.45	896,359 46	2.47	0 00	0
Mistras Group Inc.	38,367	20.88	724,366.61	801,102.96	76,736.35	1 34	0.00	0
Newpark Resources, Inc.	80,495	12.29	459,482.68	989,283 55	529 800.87	1 65	0 00	0
NIC Inc	51,806	24.87	487,351.55	1 288,415.22	801,063.67	2.15	0 00	0
Omnicell, Inc,	46,608	25.53	724,089.82	1,189,902.24	465,812 42	1.99	0.00	0
Parker Drilling Company	94,692	8.13	500,231.06	769,845.96	269,614.90	1.29	0.00	0
PROS Holdings, Inc	49,872	39.90	817,143.30	1,989,892.80	1,172 749.50	3.33	0.00	0
Range Resources Corp	17,438	84.31	226,516.42	1,470,197.78	1,243,681.36	2.46	0 19	2,790
ResMed Inc.	17,985	47.08	143,299.37	846 733.80	703,434.43	1.42	2.12	17,985
Simpson Manufacturing Co., Inc.	24,790	36.73	710,425.87	910 536.70	200,110.83	1.52	1 36	12,395
Solera Holdings Inc,	12,389	70.76	423,172.81	876,645.64	453,472.83	1 47	0.96	8,425
Stencycle, Inc.	18,063	116.17	367,844.96	1,866,038.71	1,498,193.75	3.12	0.00	0
Synchronoss Technologies, Inc.	24,900	31.07	785,528.96	773 643.00	(11,885 96)	1.29	0.00	0
Trimble Navigation Limited	60,790	34.70	310,762.06	2,109,413.00	1,798,650.94	3.53	0.00	0
Triumph Group, Inc,	26,078	76.07	684,802.27	1,983,753.46	1,298,951.19	3.32	0.21	4 172
Vocera Communications Inc.	57,810	15.61	1,041,069.85	902,414.10	(138,655.75)	1 51	0.00	0
Volcano Corporation	40,756	21.85	943,389.49	890,518.60	(52,870.89)	1.49	0.00	0
Total North America			25,965,356.57	55,916,525.52	29,951,168.95	93.45	0 55	304,919
Emerging Markets MEA								
Stratasys, Inc	13,140	134.70	956,855.83	1,769,958.00	813,102.17	2.96	0.00	0
Total Equity			26,922,212.40	57,686,483.52	30,764,271.12	96.40	0.53	304,919
Total Securities			26,922,212.40	57,686,483.52	30,764,271.12	96.40	0.53	304,919
Other Assets								
Accounts Payable - Audit Fees			(94,398 86)	(94 398 86)	0.00	(0 16)		
Accounts Payable-Ptrshp Liquidations			0 01	0 01	0.00	0.00		
Accrued Dividends Receivable			39,211.51	39 211.51	0.00	0.07		
Total Other Assets			(55,187.34)	(55 187 34)	0.00	(0 09)	0.00	0
Total Account:			29,074 466.11	59 838 737 23	30,764 271.12	100 00	0.51	304,919

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					2,327,951.98
Dividends Received					
* 10/25/2013	12/05/2013		0.18	Carpenter Technology Corp.	2 776 68
10/30/2013	12/09/2013		0.09	EPIQ Systems, Inc	5 129.64
* 11/13/2013	12/20/2013		0.17	Healthcare Services Group.	13,053.11
* 11/14/2013	12/09/2013		0.20	Chemed Corporation	4,275.00
* 11/15/2013	12/18/2013		0.25	ResMed Inc.	4,496.25
11/18/2013	12/05/2013		0.22	Littelfuse Inc	3,168.88
11/18/2013	12/03/2013		0.17	Solera Holdings Inc.	2,106.13
11/26/2013	12/12/2013		0.16	Carter's, Inc.	3,337.60
* 11/26/2013	12/17/2013		0.35	FactSet Research Systems Inc.	4,112 15
* 11/26/2013	12/16/2013		0.04	Triumph Group Inc	1,043.12
* 11/27/2013	12/16/2013		0.06	Fred's Inc.	2,901.36
12/10/2013	12/27/2013		0.48	Airgas, Inc	8,052.96
12/12/2013	12/31/2013		0.04	Range Resources Corp	697 52
				Total Dividends Received	55,150.40
Cash Withdrawals and Payments					
12/02/2013	12/02/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund LP · Transfer to State Street Account.	(100 000.00)
12/12/2013	12/12/2013			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP · Transfer to State Street Account	(10 936.33)
12/18/2013	12/18/2013			Administration Fees Paid to Rock & Co.	(6,754 00)
				Total Cash Withdrawals and Payments	(117,690.33)
Fees					
12/02/2013	12/02/2013			Wire Fee	(25.00)
12/12/2013	12/12/2013			Wire Fee	(25.00)
12/18/2013	12/18/2013			Investment Management Fee Paid to Rock & Co	(57 896.00)
12/18/2013	12/18/2013			Wire Fee	(25.00)
				Total Fees	(57,971.00)
Ending Cash Balance					2,207,441.05

* Prior period activity recorded in the current period

ROCKEFELLER & CO.

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

Period from: January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount USD
Beginning Cash Balance					80 685 06
Purchases					
01/02/2013	01/07/2013	160	45.78	Boskalis Westminster - CVA (EUR -5538 31)	(7,332 40)
01/02/2013	01/07/2013	3,140	5.54	Centrica plc (GBP -10744 60)	(17,496.50)
01/02/2013	01/07/2013	980	9.59	ING Groep (EUR -7103.28)	(9,404.33)
01/02/2013	01/07/2013	190	39.49	Johnson Matthey PLC (GBP -4635 37)	(7,546.23)
01/02/2013	01/07/2013	120	8.41	Ophir Energy Plc (GBP -623.58)	(1 015.44)
01/02/2013	01/04/2013	5,450	1.43	PICC Prop & Casualty Co. Ltd. (HKD -60640 00)	(7 823.56)
01/02/2013	01/07/2013	630	14.35	Prudential plc (GBP -5586.86)	** (9 097.64)
01/02/2013	01/07/2013	310	43.49	Safran SA (EUR -10214.05)	** (13 522.81)
01/02/2013	01/07/2013	460	11.71	Santos Limited (AUD -5136 34)	** (5,391 86)
01/02/2013	01/07/2013	470	12.69	Sberbank - Sponsored ADR	(5,971.77)
01/02/2013	01/07/2013	3,000	1.67	Semen Gresik (Persero) Tbk (IDR -48551905.45)	** (5,031.29)
01/02/2013	01/07/2013	4,000	2.72	Singapore Telecom LTD (SGD -13298.59)	** (10,898 91)
01/02/2013	01/07/2013	510	19.82	Smiths Group plc (GBP -6243.98)	** (10,167 69)
01/02/2013	01/07/2013	510	19.82	Smiths Group plc (GBP -6243.99)	** (10,167.71)
01/02/2013	01/07/2013	510	19.82	Smiths Group plc (GBP 6243 98)	** 10,167.69
01/02/2013	01/07/2013	280	36.73	Svenska Handelsbanken AB - A s (SEK -66558 93)	** (10,294 48)
01/02/2013	01/07/2013	450	20.08	SwedBank AB (SEK -58483.27)	** (9,045 44)
01/02/2013	01/07/2013	140	20.83	Tullow Oil plc (GBP -1801.42)	** (2,933.43)
01/02/2013	01/07/2013	280	19.49	Vedanta Resources PLC (GBP -3371 38)	** (5,485 95)
01/02/2013	01/04/2013	1,630	2.75	Wynn Macau, Limited (HKD -34844.04)	** (4,495 45)
01/03/2013	01/07/2013	160	64.29	Hyundai Motor Company Ltd PFD (KRW -10957873.00)	** (10,322 04)
01/03/2013	01/07/2013	480	29.91	Korea Electric Power Corp. (KRW -15293340 00)	** (14,405 93)
01/03/2013	01/08/2013	60	205.74	Roche Holdings AG	(12 356 58)
01/03/2013	01/07/2013	10	816.98	Samsung Electronics Co Pfd (KRW -8703439.00)	(8 198 42)
01/04/2013	01/09/2013	100	60.02	Murata Manufacturing Osaka	(6 008 50)
01/07/2013	01/10/2013	12,000	6.71	Amada Co. Ltd	(80,601 64)
01/07/2013	01/10/2013	2,380	13.94	Arcos Dorados Holdings Inc	(33,234 08)
01/08/2013	01/11/2013	12,000	6.34	Amada Co. Ltd.	(76,241 53)
01/08/2013	01/11/2013	3,570	13.48	Arcos Dorados Holdings, Inc.	(46 204.28)
01/08/2013	01/11/2013	1,000	13.24	NGK Spark Plug Co., Ltd Tokyo	(13,268 39)
01/09/2013	01/15/2013	12,000	6.27	Amada Co. Ltd.	(75,463 01)

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

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Purchases (cont'd)					
01/09/2013	01/14/2013	2,060	13.74	Arcos Dorados Holdings, Inc.	(28,348.89)
01/10/2013	01/16/2013	12,000	6.53	Amada Co. Ltd.	(78,582.37)
01/11/2013	01/17/2013	12,000	6.52	Amada Co. Ltd.	(78,402.10)
01/15/2013	01/18/2013	11,000	6.59	Amada Co. Ltd.	(72,872.47)
01/15/2013	01/18/2013	2,850	28.03	Seattle Genetics, Inc.	(79,994.65)
01/16/2013	01/21/2013	9,000	6.42	Amada Co. Ltd.	(57,901.24)
01/17/2013	01/23/2013	3,540	29.13	Seattle Genetics, Inc.	(103,253.30)
01/18/2013	01/24/2013	1,180	28.98	Seattle Genetics, Inc.	(34,243.36)
01/22/2013	01/25/2013	2,470	29.51	Seattle Genetics, Inc.	(72,979.61)
02/01/2013	02/06/2013	160	73.29	Advance Auto Parts, Inc.	(11,732.83)
02/01/2013	02/06/2013	360	53.36	Aflac, Inc	(19,223.35)
02/01/2013	02/06/2013	90	97.64	Alexion Pharmaceuticals, Inc	(8,790.91)
02/01/2013	02/06/2013	200	81.24	Anadarko Petroleum Corporation	(16,255.68)
02/01/2013	02/06/2013	90	84.94	Apache Corporation	(7,647.92)
02/01/2013	02/06/2013	380	14.43	Arcos Dorados Holdings, Inc.	(5,499.02)
02/01/2013	02/06/2013	190	44.94	Baker Hughes Incorporated	(8,546.07)
02/01/2013	02/06/2013	130	56.25	BioMarin Pharmaceutical Inc.	(7,317.82)
02/01/2013	02/06/2013	190	46.32	Boskalis Westminster - CVA	(8,822.05)
02/01/2013	02/06/2013	460	31.28	CareFusion Corporation	(14,406.92)
02/01/2013	02/06/2013	3,500	5.55	Centrica plc	(19,557.12)
02/01/2013	02/06/2013	150	116.01	Chevron Corporation	(17,408.14)
02/01/2013	02/06/2013	370	54.92	China Mobile (Hong Kong) Ltd	(20,335.13)
02/01/2013	02/06/2013	240	38.42	Comcast Corporation - CL A	(9,230.38)
02/01/2013	02/06/2013	180	35.05	Comerica Incorporated	(6,315.84)
02/01/2013	02/06/2013	140	84.75	Continental Resources, Inc.	(11,871.20)
02/01/2013	02/06/2013	190	62.56	Covidien PLC	(11,894.02)
02/01/2013	02/06/2013	320	39.01	Delphi Automotive PLC	(12,495.74)
02/01/2013	02/06/2013	130	70.31	Dover Corp.	(9,145.08)
02/01/2013	02/06/2013	200	102.42	FedEx Corporation	(20,492.24)
02/01/2013	02/06/2013	70	149.88	Goldman Sachs Group	(10,494.13)
02/01/2013	02/06/2013	50	772.79	Google Inc - Class A	(35,641.36)
02/01/2013	02/06/2013	490	16.63	Hewlett-Packard Company	(8,167.22)
02/01/2013	02/06/2013	270	69.09	Honeywell Inc.	(18,665.96)
02/01/2013	02/06/2013	1,240	9.98	ING Groep	(12,409.92)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
02/01/2013	02/06/2013	480	47.92	J.P Morgan Chase & Co	(23 019.07)
02/01/2013	02/06/2013	210	36.50	Johnson Matthey PLC	(7,718.23)
02/01/2013	02/06/2013	20	515.18	Mastercard Inc - Class A	(10 304.44)
02/01/2013	02/06/2013	280	41.98	Merck & Co. Inc.	(11,764.48)
02/01/2013	02/06/2013	820	27.97	Microsoft Corp.	(22 971.32)
02/01/2013	02/06/2013	300	33.84	MSCI Inc.	(10,165.05)
02/01/2013	02/06/2013	260	36.45	NetApp Inc.	(9,486.10)
02/01/2013	02/06/2013	320	68.30	Novartis AG - ADR	(21 868 00)
02/01/2013	02/06/2013	110	63.12	Oceaneering International, Inc	(6 947.37)
02/01/2013	02/06/2013	150	8.03	Ophir Energy Plc	(1,212 44)
02/01/2013	02/06/2013	320	36.19	Oracle Corporation	(11 592.80)
02/01/2013	02/06/2013	230	72.70	Pepsico, Inc	(16 730 20)
02/01/2013	02/06/2013	50	70.99	Pharmacyclics Inc.	(3,551.52)
02/01/2013	02/06/2013	700	15.21	Prudential plc	(10,721.16)
02/01/2013	02/06/2013	250	66.54	Qualcomm Inc.	(16,644.15)
02/01/2013	02/06/2013	30	174.81	Regeneron Pharmaceuticals	(5,245.60)
02/01/2013	02/06/2013	100	59.74	Reinsurance Group of America	(5,978.22)
02/01/2013	02/06/2013	70	223.25	Roche Holdings AG	(15,666 72)
02/01/2013	02/06/2013	430	36.50	Royal Caribbean Cruises Ltd.	(15,713 19)
02/01/2013	02/06/2013	210	70.71	Royal Dutch Shell PLC-ADR A	(14,856.64)
02/01/2013	02/06/2013	350	46.69	Safran SA	(16,414.57)
02/01/2013	02/06/2013	170	29.59	Seattle Genetics, Inc.	(5,037.66)
02/01/2013	02/06/2013	590	19.55	Smiths Group plc	(11 613 45)
02/01/2013	02/06/2013	330	41.83	Svenska Handelsbanken AB - A s	(13,837 33)
02/01/2013	02/06/2013	500	24.20	SwedBank AB	(12,128.56)
02/01/2013	02/06/2013	190	74.75	Thermo Fisher Scientific Inc.	(14,210.27)
02/01/2013	02/06/2013	70	66.32	Tiffany & Co.	(4,645.17)
02/01/2013	02/06/2013	130	83.63	Toronto-Dominion Bank	(10,877.52)
02/01/2013	02/06/2013	160	18.57	Tullow Oil plc	(2 992.72)
02/01/2013	02/06/2013	200	55.68	UnitedHealth Group Inc	(11 143 58)
02/01/2013	02/06/2013	320	19.72	Vedanta Resources PLC	(6,354 27)
02/01/2013	02/06/2013	200	39.48	Virgin Media Inc	(7,904.88)
02/01/2013	02/06/2013	710	27.35	Vodafone Group PLC - SP ADR	(19 446.83)
02/01/2013	02/06/2013	260	70.35	Wal-Mart Stores, Inc	(18 301 92)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Purchases (cont'd)					
02/01/2013	02/08/2013	470	35.17	Wells Fargo Company	(16,549.97)
02/01/2013	02/08/2013	100	65.85	Yum! Brands Inc	(6,568.76)
02/04/2013	02/06/2013	140	63.16	Hyundai Motor Company Ltd PFD (KRW -9624537.00)	** (8,873.20)
02/04/2013	02/06/2013	530	30.88	Korea Electric Power Corp. (KRW -17816424.00)	** (16,425.59)
02/04/2013	02/07/2013	3,400	61.34	Murata Manufacturing Osaka	(208,957.82)
02/04/2013	02/06/2013	70,000	1.54	PICC Prop & Casualty Co. Ltd.	(108,096.44)
02/04/2013	02/06/2013	20	791.28	Samsung Electronics Co. Pfd (KRW -17225718.00)	** (15,880.99)
02/04/2013	02/07/2013	530	12.59	Santos Limited	(6,693.67)
02/04/2013	02/07/2013	530	14.53	Sberbank - Sponsored ADR	(7,714.13)
02/04/2013	02/07/2013	3,500	1.63	Semen Gresik (Persero) Tbk (IDR -55643932.69)	** (5,753.99)
02/04/2013	02/07/2013	5,000	2.83	Singapore Telecom LTD	(14,180.40)
02/04/2013	02/06/2013	2,230	2.75	Wynn Macau, Limited	(6,155.88)
02/05/2013	02/08/2013	1,600	61.53	Murata Manufacturing Osaka	(98,651.37)
02/05/2013	02/07/2013	46,000	1.51	PICC Prop & Casualty Co Ltd.	(69,394.83)
02/08/2013	02/12/2013	1,700	63.88	Murata Manufacturing Osaka	(108,816.76)
02/06/2013	02/08/2013	46,000	1.52	PICC Prop & Casualty Co Ltd	(69,854.25)
02/28/2013	03/05/2013	160	76.83	Advance Auto Parts, Inc.	(12,298.34)
02/28/2013	03/05/2013	340	50.16	Aflac, Inc.	(17,072.83)
02/28/2013	03/05/2013	90	86.86	Alexion Pharmaceuticals, Inc.	(7,820.09)
02/28/2013	03/05/2013	200	79.90	Anadarko Petroleum Corporation	(15,985.32)
02/28/2013	03/05/2013	130	74.46	Apache Corporation	(9,683.19)
02/28/2013	03/05/2013	350	12.70	Arcos Dorados Holdings, Inc.	(4,455.61)
02/28/2013	03/05/2013	220	44.95	Baker Hughes Incorporated	(9,894.87)
02/28/2013	03/05/2013	140	57.79	BioMarin Pharmaceutical Inc.	(8,094.52)
02/28/2013	03/05/2013	480	32.83	CareFusion Corporation	(15,770.98)
02/28/2013	03/05/2013	150	117.71	Chevron Corporation	(17,660.76)
02/28/2013	03/05/2013	400	54.98	China Mobile (Hong Kong) Ltd	(22,002.00)
02/28/2013	03/05/2013	240	39.94	Comcast Corporation - CL A	(9,593.02)
02/28/2013	03/05/2013	190	34.47	Comerica Incorporated	(6,555.44)
02/28/2013	03/05/2013	160	88.22	Continental Resources Inc.	(14,119.31)
02/28/2013	03/05/2013	220	63.77	Covidien PLC	(14,035.47)
02/28/2013	03/05/2013	340	41.85	Delphi Automotive PLC	(14,237.87)
02/28/2013	03/05/2013	150	73.59	Dover Corp.	(11,043.33)
02/28/2013	03/05/2013	200	105.82	FedEx Corporation	(21,169.16)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount USD
Purchases (cont'd)					
02/28/2013	03/05/2013	80	150.84	Goldman Sachs Group	(12 069 57)
02/28/2013	03/05/2013	50	803.39	Google Inc - Class A	(40 171 20)
02/28/2013	03/05/2013	510	20.20	Hewlett-Packard Company	(10 315 16)
02/28/2013	03/05/2013	280	70.36	Honeywell Inc	(19,709.34)
02/28/2013	03/05/2013	500	49.30	J.P. Morgan Chase & Co	(24 665.25)
02/28/2013	03/05/2013	30	520.43	Mastercard Inc - Class A	(15 613 93)
02/28/2013	03/05/2013	290	43.02	Merck & Co. Inc	(12 485 40)
02/28/2013	03/05/2013	870	27.89	Microsoft Corp	(24 294 86)
02/28/2013	03/05/2013	330	33.33	MSCI Inc.	(11 009 46)
02/28/2013	03/05/2013	260	34.00	NetApp, Inc.	(8,848 40)
02/28/2013	03/05/2013	340	67.87	Novartis AG - ADR	(23,085.83)
02/28/2013	03/05/2013	130	63.68	Oceaneering International Inc	(8,282.44)
02/28/2013	03/05/2013	350	34.32	Oracle Corporation	(12,024.11)
02/28/2013	03/05/2013	240	75.87	Pepsico, Inc	(18,216.14)
02/28/2013	03/05/2013	260	65.86	Qualcomm Inc.	(17 131 11)
02/28/2013	03/05/2013	50	166.44	Regeneron Pharmaceuticals	(8 323 55)
02/28/2013	03/05/2013	110	57.70	Reinsurance Group of America	(6 349 78)
02/28/2013	03/05/2013	470	35.00	Royal Caribbean Cruises Ltd.	(16,461 75)
02/28/2013	03/05/2013	240	65.90	Royal Dutch Shell PLC-ADR A	(15,824 38)
02/28/2013	03/05/2013	170	28.18	Seattle Genetics Inc.	(4,794.87)
02/28/2013	03/05/2013	190	74.06	Thermo Fisher Scientific Inc	(14 076 63)
02/28/2013	03/05/2013	70	67.33	Tiffany & Co.	(4,715 44)
02/28/2013	03/05/2013	150	82.31	Toronto-Dominion Bank	(12 350 85)
02/28/2013	03/05/2013	220	53.71	UnitedHealth Group Inc.	(11,822 89)
02/28/2013	03/05/2013	760	25.22	Vodafone Group PLC SP ADR	(19 189 09)
02/28/2013	03/05/2013	260	71.60	Wal-Mart Stores, Inc	(18,623 02)
02/28/2013	03/05/2013	490	35.24	Wells Fargo Company	(17 261 86)
02/28/2013	03/05/2013	110	65.69	Yum! Brands, Inc	(7 229 74)
03/01/2013	03/06/2013	2,000	6.43	Amada Co Ltd.	(12 862 86)
03/01/2013	03/06/2013	200	42.93	Boskalis Westminster CVA	(8,595.38)
03/01/2013	03/06/2013	3,680	5.32	Centrica plc	(19 690 84)
03/01/2013	03/06/2013	1,170	8.00	ING Groep	(9 364 35)
03/01/2013	03/06/2013	240	34.58	Johnson Matthey PLC	(8,350 20)
03/01/2013	03/06/2013	400	63.82	Murata Manufacturing Osaka	(25 553 35)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
03/01/2013	03/06/2013	160	7.13	Ophir Energy Plc	(1 148 32)
03/01/2013	03/05/2013	10,000	1.45	PICC Prop & Casualty Co Ltd	(14,564.89)
03/01/2013	03/06/2013	750	14.79	Prudential plc	(11 156.40)
03/01/2013	03/06/2013	70	227.30	Roche Holdings AG	(15,926.69)
03/01/2013	03/06/2013	370	46.70	Safran SA	(17 329.56)
03/01/2013	03/06/2013	550	13.53	Santos Limited	(7 447 54)
03/01/2013	03/06/2013	560	13.64	Sberbank Sponsored ADR	(7,646.04)
03/01/2013	03/06/2013	4,000	1.80	Semen Gresik (Persero) Tbk (IDR -69975207 11)	** (7 230.71)
03/01/2013	03/06/2013	5,000	2.77	Singapore Telecom LTD	(13,852.24)
03/01/2013	03/06/2013	100	172.43	SMC Corporation, Tokyo	(17,260 28)
03/01/2013	03/06/2013	610	19.02	Smiths Group plc	(11,673.36)
03/01/2013	03/06/2013	340	43.69	Svenska Handelsbanken AB - A s	(14,870.01)
03/01/2013	03/06/2013	540	24.28	SwedBank AB	(13,122 63)
03/01/2013	03/06/2013	170	18.23	Tullow Oil plc	(3,117.72)
03/01/2013	03/06/2013	340	17.58	Vedanta Resources PLC	(6,014.73)
03/01/2013	03/05/2013	1,600	2.68	Wynn Macau, Limited	(4,300 63)
03/04/2013	03/06/2013	570	29.59	Korea Electric Power Corp (KRW -18500159 00)	** (16,923.71)
03/12/2013	03/15/2013	8,480	54.73	Capital One Financial Corp	(464,374.98)
03/12/2013	03/15/2013	4,700	8.46	ING Groep	(39,853 29)
03/12/2013	03/15/2013	6,490	13.90	Sberbank - Sponsored ADR	(90,383.62)
03/12/2013	03/15/2013	6,270	27.62	Vodafone Group PLC SP ADR	(173,402.49)
03/13/2013	03/18/2013	2,340	54.88	Capital One Financial Corp.	(128,465.19)
03/13/2013	03/18/2013	9,130	8.31	ING Groep	(76 066 83)
04/03/2013	04/08/2013	4,720	12.59	Sberbank - Sponsored ADR	(59,523.31)
04/09/2013	04/12/2013	2,360	12.89	Sberbank - Sponsored ADR	(30,484.32)
04/10/2013	04/15/2013	2,360	13.08	Sberbank - Sponsored ADR	(30,927.23)
04/11/2013	04/16/2013	2,360	13.05	Sberbank - Sponsored ADR	(30,651.79)
04/16/2013	04/19/2013	2,560	33.16	Royal Caribbean Cruises Ltd.	(84,995.59)
04/18/2013	04/23/2013	3,980	33.33	Royal Caribbean Cruises Ltd.	(132,826.93)
04/19/2013	04/24/2013	1,030	65.12	Yum! Brands, Inc.	(67,110 06)
04/22/2013	04/25/2013	1,180	12.07	Sberbank - Sponsored ADR	(14,273.45)
04/22/2013	04/25/2013	1,030	65.31	Yum! Brands, Inc.	(67,311.12)
04/23/2013	04/26/2013	2,060	63.60	Yum! Brands, Inc	(131,103.75)
04/25/2013	04/30/2013	3,330	62.20	Qualcomm Inc.	(207,249 21)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	[illegible]
Purchases (cont'd)					
04/25/2013	04/30/2013	1,180	12.70	Sberbank - Sponsored ADR	(15 012 90)
04/26/2013	05/01/2013	1,180	12.39	Sberbank Sponsored ADR	(14,650.35)
04/30/2013	05/03/2013	250	54.37	Aflac, Inc.	(13,601 05)
04/30/2013	05/03/2013	50	97.77	Alexion Pharmaceuticals, Inc.	(4 859.80)
04/30/2013	05/03/2013	140	84.48	Anadarko Petroleum Corporation	(11 831 64)
04/30/2013	05/03/2013	70	73.63	Apache Corporation	(5 156 47)
04/30/2013	05/03/2013	250	13.51	Arcos Dorados Holdings Inc.	(3 385.00)
04/30/2013	05/03/2013	150	45.19	Baker Hughes Incorporated	(6,782.66)
04/30/2013	05/03/2013	100	65.15	BioMarin Pharmaceutical Inc	(6 518 00)
04/30/2013	05/03/2013	110	57.68	Capital One Financial Corp	(6.348 12)
04/30/2013	05/03/2013	350	33.40	CareFusion Corporation	(11 701.66)
04/30/2013	05/03/2013	100	121.91	Chevron Corporation	(12,193.70)
04/30/2013	05/03/2013	290	55.06	China Mobile (Hong Kong) Ltd	(15,977.38)
04/30/2013	05/03/2013	170	41.32	Comcast Corporation - CL A	(7,028.79)
04/30/2013	05/03/2013	130	36.23	Comerica Incorporated	(4,714 19)
04/30/2013	05/03/2013	100	79.86	Continental Resources Inc	(7,989.26)
04/30/2013	05/03/2013	150	63.78	Covidien PLC	(9,572.02)
04/30/2013	05/03/2013	240	45.50	Delphi Automotive PLC	(10,927.90)
04/30/2013	05/03/2013	90	69.03	Dover Corp	(6,215.27)
04/30/2013	05/03/2013	150	93.77	FedEx Corporation	(14,069.54)
04/30/2013	05/03/2013	40	145.96	Goldman Sachs Group	(5,839.40)
04/30/2013	05/03/2013	30	824.30	Google Inc - Class A	(24,729 98)
04/30/2013	05/03/2013	380	20.58	Hewlett-Packard Company	(7 831 19)
04/30/2013	05/03/2013	210	73.53	Honeywell Inc.	(15 447 39)
04/30/2013	05/03/2013	360	48.95	J.P. Morgan Chase & Co	(17,634 38)
04/30/2013	05/03/2013	10	548.19	Mastercard Inc Class A	(5,482.20)
04/30/2013	05/03/2013	210	47.24	Merck & Co. Inc.	(9,926 78)
04/30/2013	05/03/2013	640	32.90	Microsoft Corp.	(21 074 18)
04/30/2013	05/03/2013	240	33.83	MSCI Inc	(8 126 62)
04/30/2013	05/03/2013	180	34.75	NetApp, Inc.	(6,259 61)
04/30/2013	05/03/2013	240	73.90	Novartis AG - ADR	(17,742 98)
04/30/2013	05/03/2013	80	70.25	Oceaneering International, Inc	(5,622.40)
04/30/2013	05/03/2013	240	32.73	Oracle Corporation	(7,863 00)
04/30/2013	05/03/2013	20	213.73	Regeneron Pharmaceuticals	(4 275 17)

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price Rate	Description	Amount
Purchases (cont'd)					
04/30/2013	05/03/2013	70	62.29	Reinsurance Group of America	(4,362.27)
04/30/2013	05/03/2013	440	36.37	Royal Caribbean Cruises Ltd	(16,016.00)
04/30/2013	05/03/2013	160	68.09	Royal Dutch Shell PLC-ADR A	(10,899.28)
04/30/2013	05/03/2013	120	36.99	Seattle Genetics, Inc.	(4,442.16)
04/30/2013	05/03/2013	130	80.51	Thermo Fisher Scientific Inc	(10,469.73)
04/30/2013	05/03/2013	40	73.55	Tiffany & Co.	(2,943.20)
04/30/2013	05/03/2013	90	81.65	Toronto-Dominion Bank	(7,351.13)
04/30/2013	05/03/2013	150	59.77	UnitedHealth Group Inc.	(8,970.00)
04/30/2013	05/03/2013	640	30.60	Vodafone Group PLC - SP ADR	(19,604.03)
04/30/2013	05/03/2013	180	77.67	Wal-Mart Stores, Inc.	(13,985.93)
04/30/2013	05/03/2013	360	37.93	Wells Fargo Company	(13,664.63)
04/30/2013	05/03/2013	130	67.73	Yum! Brands, Inc.	(8,808.54)
05/01/2013	05/07/2013	2,790	5.81	Centrica plc	(16,298.30)
05/01/2013	05/07/2013	160	37.98	Johnson Matthey PLC	(6,113.01)
05/01/2013	05/08/2013	100	83.86	Murata Manufacturing Osaka	(8,396.15)
05/01/2013	05/07/2013	560	17.28	Prudential plc	(9,737.75)
05/01/2013	05/06/2013	410	12.63	Santos Limited	(5,183.27)
05/01/2013	05/07/2013	640	12.96	Sberbank Sponsored ADR	(8,305.71)
05/01/2013	05/06/2013	2,500	1.90	Semen Gresik (Persero) Tbk (IDR -46344350.00)	** (4,766.47)
05/01/2013	05/07/2013	440	19.51	Smiths Group plc	(8,637.82)
05/01/2013	05/07/2013	250	18.94	Vedanta Resources PLC	(4,764.52)
05/02/2013	05/07/2013	140	41.41	Boskalis Westminster - CVA	(5,802.76)
05/02/2013	05/08/2013	10	71.64	Hyundai Motor Company Ltd PFD (KRW -789603.00)	** (717.49)
05/02/2013	05/07/2013	1,040	8.09	ING Groep	(8,424.06)
05/02/2013	05/06/2013	420	28.99	Korea Electric Power Corp. (KRW -13418097.00)	** (12,192.73)
05/02/2013	05/08/2013	4,000	1.27	PICC Prop & Casualty Co. Ltd.	(5,073.26)
05/02/2013	05/07/2013	40	246.02	Roche Holdings AG	(9,850.47)
05/02/2013	05/07/2013	270	48.40	Safran SA	(13,105.87)
05/02/2013	05/06/2013	10	794.18	Samsung Electronics Co. Pfd (KRW -8753110.00)	** (7,953.76)
05/02/2013	05/07/2013	3,000	3.17	Singapore Telecom LTD	(9,534.05)
05/02/2013	05/07/2013	390	24.33	SwedBank AB	(9,497.90)
05/02/2013	05/06/2013	800	3.12	Wynn Macau, Limited	(2,500.47)
05/06/2013	05/10/2013	3,990	16.34	DnB Holding ASA	(65,311.91)
05/07/2013	05/13/2013	8,980	16.58	DnB Holding ASA	(149,150.18)

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US$
Purchases (cont'd)					
05/08/2013	05/14/2013	3,990	16.82	DnB Holding ASA	(67 242.32)
05/10/2013	05/15/2013	6,990	16.40	DnB Holding ASA	(114,874 14)
05/13/2013	05/16/2013	5,990	16.40	DnB Holding ASA	(98 451.83)
05/14/2013	05/21/2013	5,370	16.38	DnB Holding ASA	(88 111 19)
05/21/2013	05/24/2013	341,000	0.16	Kalbe Farma TBK PT (IDR -530002003.80)	** (54,275.68)
05/22/2013	05/27/2013	341,000	0.16	Kalbe Farma TBK PT (IDR -519331148.43)	** (53,172 02)
05/23/2013	05/28/2013	227,500	0.15	Kalbe Farma TBK PT (IDR -342001329.40)	** (34 994.51)
05/24/2013	05/29/2013	227,500	0.15	Kalbe Farma TBK PT (IDR -338962783.21)	** (34,676.50)
05/29/2013	06/03/2013	227,500	0.15	Kalbe Farma TBK PT (IDR -346456566.27)	** (35 334.68)
06/05/2013	06/11/2013	11,000	0.14	Kalbe Farma TBK PT (IDR -15446662.00)	** (1 576.35)
06/05/2013	06/10/2013	6,090	23.32	Korea Electric Power Corp. (KRW -159598968 00)	** (142 505.44)
06/07/2013	06/12/2013	322,000	0.14	Kalbe Farma TBK PT (IDR -444848652.01)	** (45,369.57)
06/10/2013	06/13/2013	195,500	0.14	Kalbe Farma TBK PT (IDR -267738632.35)	** (27,261.85)
06/10/2013	06/12/2013	4,040	23.21	Korea Electric Power Corp. (KRW -106661064 00)	(94,107.17)
06/11/2013	06/14/2013	58,000	1.13	PICC Prop & Casualty Co. Ltd.	(65 662.77)
06/11/2013	06/14/2013	1,290	66.78	Reinsurance Group of America.	(86,197.03)
06/12/2013	06/17/2013	1,410	66.27	Reinsurance Group of America.	(93 499.50)
06/13/2013	06/17/2013	54,000	1.09	PICC Prop & Casualty Co. Ltd.	(59 151.64)
06/14/2013	06/19/2013	4,270	49.25	China Mobile (Hong Kong) Ltd	(210,457.20)
06/14/2013	06/19/2013	6,000	18.21	NGK Spark Plug Co., Ltd. Tokyo	(109,561 22)
06/17/2013	06/20/2013	1,920	50.09	China Mobile (Hong Kong) Ltd	(96 256.70)
06/17/2013	07/05/2013	710	45.12	Mallinckrodt PLC- W/I	(32 066.72)
06/17/2013	06/20/2013	3,000	18.28	NGK Spark Plug Co., Ltd Tokyo	(54,971.90)
06/18/2013	07/05/2013	2,210	44.09	Mallinckrodt PLC- W/I	(97,529.95)
06/18/2013	06/21/2013	1,000	18.97	NGK Spark Plug Co., Ltd Tokyo	(19,013.09)
06/19/2013	07/05/2013	1,180	43.69	Mallinckrodt PLC- W/I	(51,605.77)
06/20/2013	07/05/2013	1,030	43.12	Mallinckrodt PLC- W/I	(44,456 14)
06/21/2013	07/05/2013	1,180	43.14	Mallinckrodt PLC- W/I	(50 952.40)
06/25/2013	07/05/2013	710	43.48	Mallinckrodt PLC- W/I	(30,897.21)
06/26/2013	07/05/2013	300	43.79	Mallinckrodt PLC- W/I	(13,149.27)
06/27/2013	07/05/2013	1,190	44.88	Mallinckrodt PLC- W/I	(53,451.11)
06/28/2013	07/05/2013	370	45.01	Mallinckrodt PLC- W/I	(16,669.50)
07/03/2013	07/09/2013	1,430	42.30	Mallinckrodt PLC	(60,543.77)
07/10/2013	07/15/2013	700	48.84	Baker Hughes Incorporated	(34 218 52)

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US$
Purchases (cont'd)					
08/22/2013	08/27/2013	4,660	11.34	ING Groep	(52,693.32)
08/23/2013	08/28/2013	2,000	78.84	Apache Corporation	(157 769.40)
08/23/2013	08/27/2013	80	775.31	Samsung Electronics Co. Pfd (KRW -69387915.00)	(62,241.92)
08/26/2013	08/29/2013	2,190	80.56	Apache Corporation	(176,513 78)
08/26/2013	08/29/2013	9,640	11.55	ING Groep	(111,482.31)
08/26/2013	08/28/2013	70	781.89	Samsung Electronics Co. Pfd (KRW -61158804.00)	(54,923 67)
08/27/2013	08/29/2013	20	776.56	Samsung Electronics Co., Pfd (KRW -17429866.00)	(15,585 62)
08/30/2013	09/05/2013	100	57.71	Aflac, Inc.	(5,773.51)
08/30/2013	09/05/2013	30	107.82	Alexion Pharmaceuticals, Inc	(3,235 39)
08/30/2013	09/05/2013	70	91.17	Anadarko Petroleum Corporation	(6,383.88)
08/30/2013	09/05/2013	70	85.85	Apache Corporation	(6,011.74)
08/30/2013	09/05/2013	130	10.73	Arcos Dorados Holdings, Inc	(1,399.28)
08/30/2013	09/05/2013	100	46.44	Baker Hughes Incorporated	(4 647.19)
08/30/2013	09/05/2013	50	65.56	BioMarin Pharmaceutical Inc.	(3,279.45)
08/30/2013	09/05/2013	60	64.46	Capital One Financial Corp	(3 869.14)
08/30/2013	09/05/2013	190	35.77	CareFusion Corporation	(6 801.98)
08/30/2013	09/05/2013	50	120.29	Chevron Corporation	(6 015 91)
08/30/2013	09/05/2013	190	53.89	China Mobile (Hong Kong) Ltd	(10,244.61)
08/30/2013	09/05/2013	110	52.79	Coach, Inc.	(5 810.05)
08/30/2013	09/05/2013	90	42.03	Comcast Corporation - CL A	(3,785 18)
08/30/2013	09/05/2013	70	40.79	Comerica Incorporated	(2,857 18)
08/30/2013	09/05/2013	60	92.23	Continental Resources, Inc.	(5,535 52)
08/30/2013	09/05/2013	30	130.88	Copa Holdings SA Cl A	(3,927 30)
08/30/2013	09/05/2013	130	54.86	Delphi Automotive PLC	(7,136 04)
08/30/2013	09/05/2013	50	85.02	Dover Corp	(4 252.44)
08/30/2013	09/05/2013	80	46.77	Expedia, Inc	(3,744 17)
08/30/2013	09/05/2013	20	152.30	Goldman Sachs Group	(3,046.61)
08/30/2013	09/05/2013	18	846.18	Google Inc - Class A	(15,231 74)
08/30/2013	09/05/2013	110	79.46	Honeywell Inc.	(8 744 43)
08/30/2013	09/05/2013	200	50.49	J.P. Morgan Chase & Co	(10 104 38)
08/30/2013	09/05/2013	80	43.54	Mallinckrodt PLC	(3,485.77)
08/30/2013	09/05/2013	10	605.28	Mastercard Inc - Class A	(6,053.07)
08/30/2013	09/05/2013	110	47.17	Merck & Co Inc	(5,191 86)
08/30/2013	09/05/2013	340	33.34	Microsoft Corp.	(11,345.56)

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Detailed Statement of Transactions

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Purchases (cont'd)					
09/03/2013	09/06/2013	100	212.44	SMC Corporation	(21,265 54)
09/03/2013	09/06/2013	240	20.27	Smiths Group plc	(4,893 46)
09/03/2013	09/06/2013	220	20.71	Subsea 7 SA	(4,560 04)
09/03/2013	09/06/2013	210	23.13	SwedBank AB	(4,862 73)
09/03/2013	09/06/2013	120	15.90	Tullow Oil plc	(1,920.00)
09/03/2013	09/05/2013	400	3.14	Wynn Macau, Limited	(1 258 05)
09/26/2013	09/26/2013	184	63.85	Royal Dutch Shell PLC-ADR A	(11,749 50)
10/03/2013	10/08/2013	5,320	48.54	Merck & Co Inc	(258 413 68)
10/03/2013	10/08/2013	4,360	54.97	St. Jude Medical	(239,836 62)
10/04/2013	10/09/2013	6,090	56.46	St. Jude Medical	(344,060.03)
10/07/2013	10/10/2013	3,480	56.30	St. Jude Medical	(196 064 94)
10/10/2013	10/16/2013	295	863.41	Google Inc - Class A	(254 716 27)
10/29/2013	11/01/2013	5,620	18.11	DnB Holding ASA	(101,877 15)
10/29/2013	11/01/2013	2,440	72.27	Reinsurance Group of America,	(176 428 84)
10/29/2013	11/01/2013	2,240	91.15	Toronto-Dominion Bank	(204,265.37)
10/30/2013	11/04/2013	5,070	18.22	DnB Holding ASA	(92 432 03)
10/30/2013	11/04/2013	2,410	72.24	Reinsurance Group of America,	(174 195 52)
10/30/2013	11/04/2013	1,580	91.08	Toronto-Dominion Bank	(143 975 44)
10/31/2013	11/05/2013	40	65.10	Aflac, Inc.	(2,605 03)
10/31/2013	11/05/2013	10	123.80	Alexion Pharmaceuticals, Inc.	(1,238 31)
10/31/2013	11/05/2013	30	95.91	Anadarko Petroleum Corporation	(2,878 18)
10/31/2013	11/05/2013	30	89.26	Apache Corporation	(2,678 74)
10/31/2013	11/05/2013	50	12.07	Arcos Dorados Holdings Inc,	(605 00)
10/31/2013	11/05/2013	40	58.30	Baker Hughes Incorporated	(2,333 32)
10/31/2013	11/05/2013	20	63.02	BioMarin Pharmaceutical Inc	(1 260 93)
10/31/2013	11/05/2013	20	68.96	Capital One Financial Corp	(1 379 80)
10/31/2013	11/05/2013	80	38.71	CareFusion Corporation	(3 099 06)
10/31/2013	11/05/2013	20	120.93	Chevron Corporation	(2 419 13)
10/31/2013	11/05/2013	80	52.25	China Mobile (Hong Kong) Ltd	(4 182 47)
10/31/2013	11/05/2013	50	50.57	Coach, Inc.	(2 529 78)
10/31/2013	11/05/2013	30	47.87	Comcast Corporation - CL A	(1 437 05)
10/31/2013	11/05/2013	30	43.42	Comerica Incorporated	(1 303.50)
10/31/2013	11/05/2013	20	114.52	Continental Resources, Inc.	(2 290 90)
10/31/2013	11/05/2013	15	150.15	Copa Holdings SA Cl A	(2 252 70)

ROCKEFELLER & CO.

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Period from January 1 2013 to December 31 2013

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Purchases (cont'd)					
10/31/2013	11/05/2013	50	57.26	Delphi Automotive PLC	(2,864.72)
10/31/2013	11/05/2013	20	92.08	Dover Corp	(1,842.22)
10/31/2013	11/05/2013	30	59.26	Expedia, Inc	(1 778 57)
10/31/2013	11/05/2013	10	161.75	Goldman Sachs Group	(1 617 75)
10/31/2013	11/05/2013	6	1,032.85	Google Inc - Class A	(6,197 26)
10/31/2013	11/05/2013	45	87.10	Honeywell Inc.	(3 920 63)
10/31/2013	11/05/2013	80	51.69	J.P. Morgan Chase & Co	(4,137.42)
10/31/2013	11/05/2013	30	42.03	Mallinckrodt PLC	(1 261 81)
10/31/2013	11/05/2013	4	723.99	Mastercard Inc - Class A	(2 896 07)
10/31/2013	11/05/2013	60	45.27	Merck & Co Inc	(2 718 18)
10/31/2013	11/05/2013	140	35.52	Microsoft Corp	(4 977 00)
10/31/2013	11/05/2013	40	38.90	NetApp Inc.	(1 557 20)
10/31/2013	11/05/2013	55	77.64	Novartis AG - ADR	(4 271 59)
10/31/2013	11/05/2013	10	86.22	Oceaneering International, Inc	(862.47)
10/31/2013	11/05/2013	50	33.66	Oracle Corporation	(1 684 50)
10/31/2013	11/05/2013	30	69.71	Qualcomm Inc.	(2 092.20)
10/31/2013	11/05/2013	35	71.49	Reinsurance Group of America	(2 503 15)
10/31/2013	11/05/2013	90	42.19	Royal Caribbean Cruises Ltd.	(3 799.91)
10/31/2013	11/05/2013	35	66.81	Royal Dutch Shell PLC-ADR A	(2,339.53)
10/31/2013	11/05/2013	20	38.76	Seattle Genetics, Inc.	(775.73)
10/31/2013	11/05/2013	40	57.55	St. Jude Medical	(2 303.00)
10/31/2013	11/05/2013	10	79.42	Tiffany & Co.	(794.50)
10/31/2013	11/05/2013	740	92.33	Toronto-Dominion Bank	(68,354.61)
10/31/2013	11/05/2013	30	91.85	Toronto-Dominion Bank	(2,756.26)
10/31/2013	11/05/2013	30	68.36	UnitedHealth Group Inc.	(2 051 59)
10/31/2013	11/05/2013	110	37.09	Vodafone Group PLC SP ADR	(4 082 70)
10/31/2013	11/05/2013	40	76.93	Wal-Mart Stores, Inc.	(3,078 50)
10/31/2013	11/05/2013	80	42.92	Wells Fargo Company	(3,436 00)
10/31/2013	11/05/2013	20	67.50	Yum! Brands, Inc.	(1 350 61)
11/01/2013	11/07/2013	1,000	8.59	Amada Co Ltd.	(8 597 32)
11/01/2013	11/08/2013	30	47.94	Boskalis Westminster - CVA	(1,439 76)
11/01/2013	11/08/2013	610	5.68	Centrica plc	(3 471 91)
11/01/2013	11/06/2013	130	17.67	DnB Holding ASA	(2,299 73)
11/01/2013	11/05/2013	10	110.86	Hyundai Motor Company Ltd PFD (KRW-1180357 00)	** (1 110 28)

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	[illegible]
Purchases (cont'd)					
11/01/2013	11/06/2013	300	12.71	ING Groep	(3 816 12)
11/01/2013	11/06/2013	30	48.26	Johnson Matthey PLC	(1 456.57)
11/01/2013	11/07/2013	5,000	0.11	Kalbe Farma TBK PT (IDR -6463156 01)	** (570 19)
11/01/2013	11/05/2013	120	26.63	Korea Electric Power Corp. (KRW -3402090 00)	** (3,200 10)
11/01/2013	11/07/2013	100	79.81	Murata Manufacturing Company.	(7 989.02)
11/01/2013	11/07/2013	1,000	22.73	NGK Spark Plug Co., Ltd.	(22,750 46)
11/01/2013	11/05/2013	2,000	1.53	PICC Prop & Casualty Co Ltd	(3,069.62)
11/01/2013	11/06/2013	120	20.41	Prudential plc	(2 464 52)
11/01/2013	11/06/2013	10	275.11	Roche Holdings AG	(2,753.83)
11/01/2013	11/06/2013	60	63.86	Safran SA	(3,843.36)
11/01/2013	11/05/2013	5	977.93	Samsung Electronics Co Pfd (KRW -5206073 00)	** (4,896.98)
11/01/2013	11/06/2013	150	12.77	Sberbank - Sponsored ADR	(1,917 42)
11/01/2013	11/07/2013	500	1.25	Semen Gresik (Persero) Tbk (IDR -7089433 00)	** (625 45)
11/01/2013	11/06/2013	100	22.82	Smiths Group plc	(2,295 35)
11/01/2013	11/06/2013	90	21.18	Subsea 7 SA	(1 908 52)
11/01/2013	11/06/2013	80	25.97	SwedBank AB	(2,079 35)
11/01/2013	11/06/2013	50	15.05	Tullow Oil plc	(757 17)
11/01/2013	11/05/2013	400	3.81	Wynn Macau, Limited	(1 525 34)
11/04/2013	11/07/2013	4,140	40.53	Incyte Corporation	(167 975 95)
11/04/2013	11/07/2013	2,880	68.95	UnitedHealth Group Inc.	(198 679 68)
11/05/2013	11/08/2013	5,390	40.38	Incyte Corporation	(217 870 27)
11/05/2013	11/08/2013	1,280	68.48	UnitedHealth Group Inc.	(87 704 45)
11/08/2013	11/14/2013	8,730	35.03	United Continental Hld. Inc.	(306 194 27)
11/11/2013	11/14/2013	9,430	35.23	United Continental Hld. Inc.	(332,606 47)
12/16/2013	12/19/2013	9,410	52.58	Rio Tinto plc - Spon ADR	(495 141 03)
12/16/2013	12/19/2013	5,890	13.78	Tullow Oil plc	(81,643 19)
12/17/2013	12/20/2013	6,000	8.61	Amada Co Ltd	(51,807 24)
12/17/2013	12/20/2013	8,820	53.00	Rio Tinto plc - Spon ADR	(467 787 22)
12/17/2013	12/20/2013	9,420	13.66	Tullow Oil plc	(129 391.75)
12/18/2013	12/24/2013	10,000	8.79	Amada Co Ltd	(88,100 41)
12/18/2013	12/23/2013	2,080	13.68	Tullow Oil plc	(28,629 44)
12/19/2013	12/25/2013	8,000	8.97	Amada Co, Ltd	(71 900.81)
12/20/2013	12/26/2013	5,000	8.91	Amada Co. Ltd.	(44,648 29)
12/20/2013	12/26/2013	8,010	47.82	Ctrip.com International - ADR	(383 387 44)

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

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Purchases (cont'd)					
12/23/2013	12/27/2013	1,980	49.84	Ctrip com International - ADR	(98 760 42)
12/23/2013	12/23/2013	171	66.77	Royal Dutch Shell PLC-ADR A	(11,415 60)
12/27/2013	01/07/2014	4,000	8.81	Amada Co. Ltd.	(35 341 96)
12/30/2013	01/08/2014	4,000	8.91	Amada Co. Ltd.	(35 722.36)
12/31/2013	01/06/2014	100	66.70	Aflac, Inc.	(6,672.76)
12/31/2013	01/06/2014	20	132.73	Alexion Pharmaceuticals, Inc.	(2,655.20)
12/31/2013	01/06/2014	70	79.45	Anadarko Petroleum Corporation	(5,563.91)
12/31/2013	01/06/2014	80	85.67	Apache Corporation	(6,855.80)
12/31/2013	01/06/2014	130	12.14	Arcos Dorados Holdings, Inc.	(1,581.62)
12/31/2013	01/06/2014	100	55.08	Baker Hughes Incorporated	(5,511.28)
12/31/2013	01/06/2014	50	70.31	BioMarin Pharmaceutical Inc	(3,517.03)
12/31/2013	01/06/2014	60	76.62	Capital One Financial Corp	(4 598.80)
12/31/2013	01/06/2014	190	40.00	CareFusion Corporation	(7 605.81)
12/31/2013	01/06/2014	50	125.01	Chevron Corporation	(6,252.06)
12/31/2013	01/06/2014	190	52.28	China Mobile (Hong Kong) Ltd	(9,939.28)
12/31/2013	01/06/2014	110	55.85	Coach, Inc.	(6 146.69)
12/31/2013	01/06/2014	90	51.83	Comcast Corporation - CL A	(4 667 14)
12/31/2013	01/06/2014	70	47.53	Comerica Incorporated	(3,329 14)
12/31/2013	01/06/2014	60	111.98	Continental Resources, Inc.	(6 720 30)
12/31/2013	01/06/2014	30	159.97	Copa Holdings SA Cl A	(4 800 13)
12/31/2013	01/06/2014	70	49.29	Ctrip.com International - ADR	(3 452.72)
12/31/2013	01/06/2014	130	60.13	Delphi Automotive PLC	(7 821.31)
12/31/2013	01/06/2014	50	96.60	Dover Corp.	(4 831 72)
12/31/2013	01/06/2014	80	69.11	Expedia Inc.	(5,531.24)
12/31/2013	01/06/2014	20	176.94	Goldman Sachs Group	(3,539.47)
12/31/2013	01/06/2014	10	1,117.40	Google Inc - Class A	(11,174.30)
12/31/2013	01/06/2014	110	91.25	Honeywell Inc.	(10,040.80)
12/31/2013	01/06/2014	60	50.90	Incyte Corporation	(3,055.66)
12/31/2013	01/06/2014	200	58.24	J P. Morgan Chase & Co	(11 653.66)
12/31/2013	01/06/2014	80	52.31	Mallinckrodt PLC	(4,187 40)
12/31/2013	01/06/2014	150	49.97	Merck & Co Inc.	(7,500 16)
12/31/2013	01/06/2014	340	37.34	Microsoft Corp	(12,706.28)
12/31/2013	01/06/2014	100	41.13	NetApp, Inc	(4,115 53)
12/31/2013	01/06/2014	130	80.21	Novartis AG - ADR	(10 431 81)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Purchases (cont'd)					
12/31/2013	01/06/2014	40	79.01	Oceaneering International Inc	(3 161.62)
12/31/2013	01/06/2014	130	38.32	Oracle Corporation	(4,986 07)
12/31/2013	01/06/2014	90	73.92	Qualcomm Inc.	(6 655 40)
12/31/2013	01/06/2014	90	77.28	Reinsurance Group of America.	(6 957 70)
12/31/2013	01/06/2014	120	56.25	Rio Tinto plc - Spon ADR	(6,753.90)
12/31/2013	01/06/2014	220	47.22	Royal Caribbean Cruises Ltd.	(10 395 15)
12/31/2013	01/06/2014	90	71.19	Royal Dutch Shell PLC-ADR A	(6,409 36)
12/31/2013	01/06/2014	60	39.93	Seattle Genetics Inc	(2,397.45)
12/31/2013	01/06/2014	90	61.99	St. Jude Medical	(5,582.02)
12/31/2013	01/06/2014	80	94.25	Toronto-Dominion Bank	(7,542 49)
12/31/2013	01/06/2014	120	37.59	United Continental Hld Inc	(4 514.68)
12/31/2013	01/06/2014	110	75.52	UnitedHealth Group Inc	(8,310 81)
12/31/2013	01/06/2014	100	78.82	Wal-Mart Stores, Inc	(7 885 45)
12/31/2013	01/06/2014	190	45.34	Wells Fargo Company	(8 620 68)
12/31/2013	01/06/2014	70	75.27	Yum! Brands, Inc.	(5 271.26)
				Total Purchases	** (19 106,214 82)
Sales					
01/15/2013	01/18/2013	3,360	52.19	Aflac, Inc	175,204 61
01/16/2013	01/22/2013	2,230	52.21	Aflac, Inc.	116,329 13
01/17/2013	01/23/2013	3,760	51.43	Aflac, Inc.	193,224.70
01/31/2013	02/05/2013	3,800	58.08	Quest Diagnostics Incorporated	220,547 43
02/01/2013	02/06/2013	4,390	57.84	Quest Diagnostics Incorporated	253,726.22
03/12/2013	03/15/2013	12,600	76.83	Pepsico, Inc	967,508.36
03/12/2013	03/15/2013	2,800	91.35	Pharmacyclics Inc.	255,694 75
03/13/2013	03/18/2013	2,340	76.79	Pepsico, Inc	179,588.67
03/15/2013	03/18/2013	3,784	2.66	Ophir Energy Plc - Nil Paid Rt	10 041 70
03/26/2013	04/01/2013	560	81.48	Advance Auto Parts Inc.	45,604.76
03/26/2013	04/01/2013	1,200	52.38	Aflac, Inc.	62,802.51
03/26/2013	04/01/2013	290	91.51	Alexion Pharmaceuticals, Inc	26,527 07
03/26/2013	04/01/2013	700	88 74	Anadarko Petroleum Corporation	62,087 70
03/26/2013	04/01/2013	390	74 37	Apache Corporation	28 988.04
03/26/2013	04/01/2013	1,230	13.38	Arcos Dorados Holdings, Inc	16 409.06
03/26/2013	04/01/2013	730	45.64	Baker Hughes Incorporated	33,287 25
03/26/2013	04/01/2013	480	60.55	BioMarin Pharmaceutical Inc.	29 044 14

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Trade Date	Settle Date	Quantity	Price/Rate	Security Name	Amount USD
Sales (cont'd)					
03/26/2013	04/02/2013	690	41.42	Boskalis Westminster - CVA	28,506.71
03/26/2013	04/01/2013	600	55.07	Capital One Financial Corp	33 018.10
03/26/2013	04/01/2013	1,710	34.75	CareFusion Corporation	59,346 49
03/26/2013	04/02/2013	13,160	5.53	Centrica plc	72 598 21
03/26/2013	04/01/2013	530	121.02	Chevron Corporation	64 118.44
03/26/2013	04/01/2013	1,390	52.86	China Mobile (Hong Kong) Ltd	73,418 99
03/26/2013	04/01/2013	820	41.41	Comcast Corporation - CL A	33,926 65
03/26/2013	04/01/2013	670	36.09	Comerica Incorporated	24 152 95
03/26/2013	04/01/2013	550	88.15	Continental Resources Inc.	48 460 18
03/26/2013	04/01/2013	750	67.40	Covidien PLC	50,516 85
03/26/2013	04/01/2013	1,190	44 33	Delphi Automotive PLC	52,698 32
03/26/2013	04/01/2013	490	72.83	Dover Corp.	35 665.02
03/26/2013	04/01/2013	720	97.74	FedEx Corporation	70,345.23
03/26/2013	04/01/2013	240	146.47	Goldman Sachs Group	35 142.41
03/26/2013	04/01/2013	150	810.51	Google Inc - Class A	121 567.67
03/26/2013	04/01/2013	1,820	23.61	Hewlett-Packard Company	42,896 43
03/26/2013	04/01/2013	990	75.45	Honeywell Inc.	74 654 03
03/26/2013	04/02/2013	4,810	7.30	ING Groep	35 008.63
03/26/2013	04/01/2013	1,780	48.53	J.P. Morgan Chase & Co	86,314 18
03/26/2013	04/02/2013	800	33.84	Johnson Matthey PLC	27,014 67
03/26/2013	04/01/2013	80	535.06	Mastercard Inc - Class A	42,800.64
03/26/2013	04/01/2013	1,030	44.29	Merck & Co. Inc	45 577 82
03/26/2013	04/01/2013	3,080	28.17	Microsoft Corp	86,643.99
03/26/2013	04/01/2013	1,140	33.74	MSCI Inc	38 418.05
03/26/2013	04/01/2013	930	33.27	NetApp, Inc.	30,903.85
03/26/2013	04/01/2013	1,190	71.05	Novartis AG - ADR	84 505.24
03/26/2013	04/01/2013	410	66.43	Oceaneering International, Inc	27,217.52
03/26/2013	04/02/2013	540	7.17	Ophir Energy Plc	3,862 12
03/26/2013	04/01/2013	1,200	31.51	Oracle Corporation	37,763 87
03/26/2013	04/02/2013	2,650	16.59	Prudential plc	43 874.35
03/26/2013	04/01/2013	900	66.53	Qualcomm Inc.	59,838 65
03/26/2013	04/01/2013	160	169.69	Regeneron Pharmaceuticals	27 142 95
03/26/2013	04/01/2013	360	58.83	Reinsurance Group of America	21 163.39
03/26/2013	04/02/2013	250	230.87	Roche Holdings AG	57 573 33

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Sales (cont'd)					
03/26/2013	04/01/2013	1,640	32.33	Royal Caribbean Cruises Ltd	52 952 12
03/26/2013	04/01/2013	790	65.66	Royal Dutch Shell PLC-ADR A	51 842 11
03/26/2013	04/02/2013	1,310	45.50	Safran SA	59 452 09
03/26/2013	04/01/2013	2,300	12.60	Sberbank - Sponsored ADR	28 922.04
03/26/2013	04/01/2013	590	36.22	Seattle Genetics, Inc	21 344.01
03/26/2013	04/02/2013	2,170	19.31	Smiths Group plc	41 812.66
03/26/2013	04/02/2013	1,200	42.39	Svenska Handelsbanken AB - A s	50 742 74
03/26/2013	04/02/2013	1,890	22.65	SwedBank AB	42 709 52
03/26/2013	04/01/2013	660	74.95	Thermo Fisher Scientific Inc	49 442 47
03/26/2013	04/01/2013	260	68.26	Tiffany & Co	17 736.52
03/26/2013	04/01/2013	480	82.89	Toronto-Dominion Bank	39 768 07
03/26/2013	04/02/2013	590	18.87	Tullow Oil plc	11 108 72
03/26/2013	04/01/2013	750	55.57	UnitedHealth Group Inc	41 649 86
03/26/2013	04/02/2013	1,190	15.96	Vedanta Resources PLC	18,949 53
03/26/2013	04/01/2013	460	48.10	Virgin Media Inc.	22 107 68
03/26/2013	04/01/2013	2,980	28.59	Vodafone Group PLC SP ADR	85 077 39
03/26/2013	04/01/2013	930	74.74	Wal-Mart Stores, Inc	69 470 93
03/26/2013	04/01/2013	1,760	37.24	Wells Fargo Company	65,470 53
03/26/2013	04/01/2013	380	71.03	Yum! Brands, Inc.	26 977 34
03/27/2013	04/01/2013	4,000	6.79	Amada Co. Ltd,	27 106 69
03/27/2013	04/01/2013	510	69.96	Hyundai Motor Company Ltd PFD (KRW 39403470.00)	35,446.73
03/27/2013	04/01/2013	2,020	26.72	Korea Electric Power Corp (KRW 59606959 00)	** 53,621 46
03/27/2013	04/01/2013	1,000	73.20	Murata Manufacturing Osaka	73 052 75
03/27/2013	04/02/2013	32,000	1.32	PICC Prop & Casualty Co Ltd,	42,152.71
03/27/2013	04/01/2013	40	786.79	Samsung Electronics Co. Pfd (KRW 34572008 00)	31,267.08
03/27/2013	04/03/2013	1,960	13.15	Santos Limited	25 693 53
03/27/2013	04/02/2013	13,500	1.88	Semen Gresik (Persero) Tbk. (IDR 245024865.00)	** 25 196.65
03/27/2013	04/02/2013	17,000	2.89	Singapore Telecom LTD	48 851 48
03/27/2013	04/01/2013	100	193.75	SMC Corporation, Tokyo	19 336 25
03/27/2013	04/02/2013	6,400	2.63	Wynn Macau Limited	16 790 45
04/02/2013	04/05/2013	45,400	0.51	China Agri-Industries Holdings	22,931 45
04/03/2013	04/08/2013	34,050	0.49	China Agri-Industries Holdings	16 767 11
04/11/2013	04/15/2013	38,360	0.50	China Agri-Industries Holdings	19,027 89
04/12/2013	04/16/2013	45,320	0.48	China Agri-Industries Holdings	21,735.05

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Trade Date	Settle Date	Quantity	Price/Rate	[illegible]	[illegible]
Sales (cont'd)					
04/15/2013	04/17/2013	22,660	0.47	China Agri-Industries Holdings	10,653.59
04/16/2013	04/19/2013	970	80.25	Advance Auto Parts, Inc.	77 500.31
04/17/2013	04/19/2013	34,170	0.46	China Agri-Industries Holdings	15,775 22
04/18/2013	04/22/2013	38,040	0.45	China Agri-Industries Holdings	16 344 28
04/19/2013	04/24/2013	800	78.23	Advance Auto Parts, Inc	62,550.52
04/22/2013	04/25/2013	790	79.17	Advance Auto Parts, Inc.	62,509.24
04/23/2013	04/26/2013	780	80.24	Advance Auto Parts Inc	62 551.87
04/25/2013	04/30/2013	3,890	83.15	Advance Auto Parts Inc.	323,300 38
04/26/2013	05/01/2013	2,120	82.91	Advance Auto Parts, Inc	175 686 61
05/03/2013	05/08/2013	2,020	45.50	Svenska Handelsbanken AB - A s	91 725 43
05/06/2013	05/10/2013	2,020	44.85	Svenska Handelsbanken AB - A s	90,423.60
05/07/2013	05/13/2013	5,030	45.41	Svenska Handelsbanken AB - A s	227,930 90
05/10/2013	05/15/2013	2,730	44.58	Svenska Handelsbanken AB - A s	121 445.86
05/13/2013	05/16/2013	2,230	44.61	Svenska Handelsbanken AB A s	99,291 26
05/14/2013	05/17/2013	5,780	43.96	Svenska Handelsbanken AB - A s	253,560.67
05/24/2013	05/30/2013	2,560	6.03	Ophir Energy Plc	15,395 74
05/28/2013	05/31/2013	6,360	6.13	Ophir Energy Plc	38 938 45
05/28/2013	05/28/2013	1		PICC Prop & Cas Rt Exp 6/13/13 (HKD 0 00)	0 00
06/11/2013	06/14/2013	1,910	56.58	Aflac, Inc.	107 986 84
06/11/2013	06/14/2013	58,349	0.43	PICC Prop & Cas Rt Exp 6/13/13	24,831.34
06/12/2013	06/17/2013	2,760	56.26	Aflac, Inc	155 180 36
06/14/2013	06/19/2013	2,752	73.20	Liberty Global PLC - A	201 341.07
06/14/2013	06/14/2013	0	74.13	Liberty Global PLC - A	30 54
06/14/2013	06/14/2013	0	69.68	Liberty Global, PLC. Ser C	17 28
06/14/2013	06/19/2013	2,055	68.77	Liberty Global, PLC. - Ser C	141 243 03
06/26/2013	07/01/2013	70	57.41	Aflac, Inc.	4 015 83
06/26/2013	07/01/2013	20	93.09	Alexion Pharmaceuticals Inc	1 860 97
06/26/2013	07/01/2013	70	86.67	Anadarko Petroleum Corporation	6 064 00
06/26/2013	07/01/2013	30	83.26	Apache Corporation	2 496.56
06/26/2013	07/01/2013	120	11.73	Arcos Dorados Holdings Inc	1 402 78
06/26/2013	07/01/2013	70	45.36	Baker Hughes Incorporated	3 172 35
06/26/2013	07/01/2013	50	57 12	BioMarin Pharmaceutical Inc	2,853 73
06/26/2013	07/01/2013	60	36.04	Boskalis Westminster - CVA	2 156 94
06/26/2013	07/01/2013	50	61 57	Capital One Financial Corp.	3 076 45

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

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Sales (cont'd)					
06/26/2013	07/01/2013	160	36.49	CareFusion Corporation	5,831.89
06/26/2013	07/01/2013	1,330	5.40	Centrica plc	7,163.46
06/26/2013	07/01/2013	40	118.18	Chevron Corporation	4,725.51
06/26/2013	07/01/2013	120	49.80	China Mobile (Hong Kong) Ltd	5,971.10
06/26/2013	07/01/2013	70	40.30	Comcast Corporation - CL A	2,816.15
06/26/2013	07/01/2013	60	39.83	Comerica Incorporated	2,387.36
06/26/2013	07/01/2013	40	85.30	Continental Resources, Inc.	3,410.35
06/26/2013	07/01/2013	60	62.71	Covidien PLC	3,760.13
06/26/2013	07/01/2013	100	50.65	Delphi Automotive PLC	5,060.91
06/26/2013	07/01/2013	190	14.17	DnB Holding ASA	2,685.29
06/26/2013	07/01/2013	40	77.71	Dover Corp.	3,106.75
06/26/2013	07/01/2013	70	98.74	FedEx Corporation	6,908.86
06/26/2013	07/01/2013	10	151.97	Goldman Sachs Group	1,519.27
06/26/2013	07/01/2013	10	875.09	Google Inc - Class A	8,750.35
06/26/2013	07/01/2013	170	23.96	Hewlett-Packard Company	4,066.33
06/26/2013	07/01/2013	100	79.73	Honeywell Inc.	7,968.86
06/26/2013	07/01/2013	490	8.85	ING Groep	4,325.50
06/26/2013	07/01/2013	170	52.59	J.P. Morgan Chase & Co	8,933.35
06/26/2013	07/01/2013	70	38.97	Johnson Matthey PLC	2,722.12
06/26/2013	06/28/2013	190	21.96	Korea Electric Power Corp (KRW 4758879.00)	** 4,145.43
06/26/2013	07/01/2013	10	570.44	Mastercard Inc - Class A	5,703.90
06/26/2013	07/01/2013	100	46.80	Merck & Co. Inc.	4,675.92
06/26/2013	07/01/2013	300	34.39	Microsoft Corp.	10,304.82
06/26/2013	07/01/2013	110	32.79	MSCI Inc	3,602.44
06/26/2013	07/01/2013	80	37.95	NetApp Inc.	3,032.75
06/26/2013	07/01/2013	110	69.64	Novartis AG - ADR	7,655.45
06/26/2013	07/01/2013	40	71.86	Oceaneering International Inc	2,872.76
06/26/2013	07/01/2013	100	30.19	Oracle Corporation	3,014.95
06/26/2013	06/28/2013	2,000	1.10	PICC Prop & Casualty Co. Ltd.	2,199.05
06/26/2013	07/01/2013	260	15.81	Prudential plc	4,100.79
06/26/2013	07/01/2013	140	61.29	Qualcomm Inc.	8,574.85
06/26/2013	07/01/2013	30	67.48	Reinsurance Group of America,	2,023.16
06/26/2013	07/01/2013	20	232.77	Roche Holdings AG	4,643.69
06/26/2013	07/01/2013	200	33.32	Royal Caribbean Cruises Ltd	6,655.68

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ROCKEFELLER & CO.

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount*
Sales (cont'd)					
06/26/2013	07/01/2013	70	63.74	Royal Dutch Shell PLC-ADR A	4 458.92
06/26/2013	07/01/2013	120	51.41	Safran SA	6 153.27
06/26/2013	07/01/2013	190	11.39	Santos Limited	2 157.18
06/26/2013	07/01/2013	330	10.92	Sberbank - Sponsored ADR	3 596 39
06/26/2013	07/01/2013	50	31.01	Seattle Genetics Inc.	1 548 47
06/26/2013	07/01/2013	1,000	1.62	Semen Gresik (Persero) Tbk (IDR 15962046 00)	1 608 27
06/26/2013	07/01/2013	1,000	2.83	Singapore Telecom LTD	2,813 73
06/26/2013	07/01/2013	210	19.24	Smiths Group plc	4,031 07
06/26/2013	07/01/2013	190	21.97	SwedBank AB	4 164.59
06/26/2013	07/01/2013	60	83.57	Thermo Fisher Scientific Inc.	5 011 71
06/26/2013	07/01/2013	10	72.81	Tiffany & Co.	725.69
06/26/2013	07/01/2013	30	79.82	Toronto-Dominion Bank	2,393.42
06/26/2013	07/01/2013	60	65.01	UnitedHealth Group Inc	3.898.13
06/26/2013	07/01/2013	110	16.02	Vedanta Resources PLC	1 758.30
06/26/2013	07/01/2013	300	28.30	Vodafone Group PLC - SP ADR	8,477.85
06/26/2013	07/01/2013	80	75.14	Wal-Mart Stores, Inc.	6,007.89
06/26/2013	07/01/2013	160	41.09	Wells Fargo Company	6,567 88
06/26/2013	06/28/2013	400	2.75	Wynn Macau Limited	1,093 52
06/26/2013	07/01/2013	50	69.32	Yum! Brands, Inc.	3,463.94
07/08/2013	07/08/2013	1	43.12	Mallinckrodt PLC	32 34
07/08/2013	07/11/2013	1,430	34.59	MSCI Inc.	49 403 49
07/09/2013	07/12/2013	1.320	34.14	MSCI Inc.	45 011 75
07/10/2013	07/15/2013	2,040	33.98	MSCI Inc.	69.237 21
07/10/2013	07/15/2013	2,790	15.88	Vedanta Resources PLC	44,221.32
07/11/2013	07/16/2013	2,030	34.45	MSCI Inc.	69,854.74
07/11/2013	07/16/2013	4,870	16.80	Vedanta Resources PLC	81,659.33
07/12/2013	07/17/2013	2,030	34.56	MSCI Inc.	70 072 75
07/12/2013	07/17/2013	4,050	88.08	Thermo Fisher Scientific Inc.	356 536 35
07/15/2013	07/18/2013	2,540	34.62	MSCI Inc	87 841 32
07/15/2013	07/18/2013	51,460	3.04	Singapore Telecom LTD	155 913.22
07/15/2013	07/18/2013	6,930	88.10	Thermo Fisher Scientific Inc	610 279 13
07/15/2013	07/18/2013	7,250	16.66	Vedanta Resources PLC	120 677 24
07/16/2013	07/19/2013	2,230	34.46	MSCI Inc	-76,765 30
07/16/2013	07/19/2013	43,000	3.03	Singapore Telecom LTD	129,791 82

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

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Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Sales (cont'd)					
07/16/2013	07/19/2013	4,910	16.56	Vedanta Resources PLC	81 166.39
07/17/2013	07/22/2013	2,040	34.58	MSCI Inc	70 459 96
07/17/2013	07/22/2013	43,000	3.02	Singapore Telecom LTD	129 189.92
07/18/2013	07/23/2013	2,030	34.79	MSCI Inc	70,534.37
07/18/2013	07/23/2013	43,000	3.00	Singapore Telecom LTD	126,502.64
07/19/2013	07/24/2013	1,190	34.74	MSCI Inc.	41,293 60
07/19/2013	07/24/2013	31,000	3.00	Singapore Telecom LTD	92,570 79
07/22/2013	07/25/2013	43,000	3.05	Singapore Telecom LTD	130 676.77
07/23/2013	07/26/2013	33,520	3.09	Singapore Telecom LTD	103 167 31
08/08/2013	08/13/2013	4,870	26.76	Hewlett-Packard Company	130 109.03
08/09/2013	08/14/2013	8,620	26.94	Hewlett-Packard Company	231 903 27
08/12/2013	08/15/2013	16,840	26.73	Hewlett-Packard Company	449 428.19
08/15/2013	08/20/2013	1,180	66.68	Qualcomm Inc.	76,630.41
08/19/2013	08/22/2013	3,160	67.24	Qualcomm Inc.	212,357.78
08/22/2013	08/27/2013	7,440	12.89	Santos Limited	95 706.83
08/23/2013	08/27/2013	210	26.20	LG Electronics Inc. - PFD (KRW 6092737 00)	5,465.27
08/23/2013	08/28/2013	12,410	13.17	Santos Limited	163 141 23
08/26/2013	08/28/2013	430	26.26	LG Electronics Inc. - PFD (KRW 12493186 00)	** 11 219.54
08/26/2013	08/29/2013	12,770	13.31	Santos Limited	169 663 84
08/29/2013	09/02/2013	270	25.67	LG Electronics Inc. - PFD (KRW 7658639.00)	6 887 08
08/30/2013	09/03/2013	430	25.83	LG Electronics Inc. - PFD (KRW 12260315.00)	11 035.88
09/04/2013	09/06/2013	320	26.17	LG Electronics Inc. - PFD (KRW 9089590.00)	** 8,319 61
09/05/2013	09/09/2013	360	25.78	LG Electronics Inc. - PFD (KRW 10691626.00)	** 9,731.60
09/06/2013	09/10/2013	210	25.71	LG Electronics Inc. - PFD (KRW 5857483.00)	** 5 364.00
09/09/2013	09/11/2013	430	25.51	LG Electronics Inc. - PFD (KRW 11819281.00)	10,898 27
09/10/2013	09/12/2013	430	25.25	LG Electronics Inc. PFD (KRW 11722720.00)	** 10,788 44
09/11/2013	09/13/2013	430	25.06	LG Electronics Inc - PFD (KRW 11610718.00)	10 704 97
09/12/2013	09/16/2013	430	24.69	LG Electronics Inc. PFD (KRW 11431998.00)	10 546 13
09/13/2013	09/17/2013	430	24.22	LG Electronics Inc - PFD (KRW 11244038.00)	10 346.02
09/16/2013	09/23/2013	320	24.71	LG Electronics Inc. - PFD (KRW 8507149.00)	** 7,656 48
09/17/2013	09/24/2013	430	24.19	LG Electronics Inc. - PFD (KRW 11186451.00)	** 10,334 00
09/23/2013	09/25/2013	530	24.16	LG Electronics Inc. - PFD (KRW 13660114 00)	12,723.18
09/24/2013	09/26/2013	200	24.15	LG Electronics Inc. - PFD (KRW 5162283.00)	** 4,799.00
09/26/2013	10/01/2013	790	62.23	Aflac, Inc.	49,135 08

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

ROCKEFELLER & CO.

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Trade Date	Settle Date	Quantity	Price/Rate	Security Name	Amount
Sales (cont'd)					
09/26/2013	10/01/2013	250	115.43	Alexion Pharmaceuticals Inc	28 850.09
09/26/2013	10/01/2013	4,000	8.76	Amada Co Ltd	35 005.93
09/26/2013	10/01/2013	600	94.28	Anadarko Petroleum Corporation	56 548.05
09/26/2013	10/01/2013	600	86.28	Apache Corporation	51 746.33
09/26/2013	10/01/2013	1,040	11.80	Arcos Dorados Holdings, Inc	12 240.27
09/26/2013	10/01/2013	770	49.40	Baker Hughes Incorporated	38 015.39
09/26/2013	10/01/2013	410	74.19	BioMarin Pharmaceutical Inc.	30 404.16
09/26/2013	10/01/2013	580	44.19	Boskalis Westminster CVA	26 048.06
09/26/2013	10/01/2013	520	68.95	Capital One Financial Corp	35 835.43
09/26/2013	10/01/2013	1,450	37.06	CareFusion Corporation	53 665.74
09/26/2013	10/01/2013	11,140	5.90	Centrica plc	65 624.36
09/26/2013	10/01/2013	450	123.17	Chevron Corporation	55 410.19
09/26/2013	10/01/2013	1,490	56.75	China Mobile (Hong Kong) Ltd	84 515.35
09/26/2013	10/01/2013	870	54.43	Coach Inc	47 328.21
09/26/2013	10/01/2013	690	44.02	Comcast Corporation CL A	30 354.54
09/26/2013	10/01/2013	580	39.13	Comerica Incorporated	22 677.31
09/26/2013	10/01/2013	470	107.13	Continental Resources, Inc.	50 333.87
09/26/2013	10/01/2013	230	139.96	Copa Holdings SA Cl A	32 182.41
09/26/2013	10/01/2013	640	60.76	Covidien PLC	38,867.99
09/26/2013	10/01/2013	1,010	58.21	Delphi Automotive PLC	58,764.41
09/26/2013	10/01/2013	1,790	15.90	DnB Holding ASA	28 432.28
09/26/2013	10/01/2013	420	89.76	Dover Corp.	37 684.55
09/26/2013	10/01/2013	660	51.99	Expedia, Inc	34 292.67
09/26/2013	10/01/2013	600	113.07	FedEx Corporation	67 819.88
09/26/2013	10/01/2013	210	161.30	Goldman Sachs Group	33 866.86
09/26/2013	10/01/2013	130	875.02	Google Inc Class A	113 746.48
09/26/2013	10/01/2013	840	83.79	Honeywell Inc.	70 357.34
09/26/2013	09/30/2013	380	108.51	Hyundai Motor Co. Ltd 2nd (KRW 44221133.00)	41,046.97
09/26/2013	09/30/2013	110	102.16	Hyundai Motor Company Ltd PFD (KRW 12052055.00)	** 11 186.97
09/26/2013	10/01/2013	5,490	11.58	ING Groep	63 522.00
09/26/2013	10/01/2013	1,520	51.64	J.P Morgan Chase & Co	78 448.11
09/26/2013	10/01/2013	680	45.60	Johnson Matthey PLC	30,972.68
09/26/2013	10/01/2013	96,500	0.11	Kalbe Farma TBK PT (IDR 125068632.00)	** 10,918.26
09/26/2013	09/30/2013	2,230	27.42	Korea Electric Power Corp. (KRW 65586916.00)	** 60 879.13

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US$
Sales (cont'd)					
09/26/2013	10/01/2013	610	43 97	Mallinckrodt PLC	26,800.31
09/26/2013	10/01/2013	80	677.06	Mastercard Inc - Class A	54 161 65
09/26/2013	10/01/2013	880	47.55	Merck & Co, Inc	41 819.60
09/26/2013	10/01/2013	2,610	32.81	Microsoft Corp.	85 560.57
09/26/2013	10/01/2013	900	75.49	Murata Manufacturing Company	67,874.41
09/26/2013	10/01/2013	790	43.10	NetApp, Inc.	34 025 89
09/26/2013	10/01/2013	2,000	21.82	NGK Spark Plug Co. Ltd	43,596 10
09/26/2013	10/01/2013	1,010	76.59	Novartis AG - ADR	77 327.69
09/26/2013	10/01/2013	350	80.46	Oceaneering International, Inc	28 148.92
09/26/2013	10/01/2013	1,020	33.75	Oracle Corporation	34 396.76
09/26/2013	09/30/2013	32,000	1.43	PICC Prop & Casualty Co Ltd	45,512.03
09/26/2013	10/01/2013	2,250	18.84	Prudential plc	42 346 30
09/26/2013	10/01/2013	700	68.74	Qualcomm Inc.	48,097.22
09/26/2013	10/01/2013	140	304.05	Regeneron Pharmaceuticals	42,562.05
09/26/2013	10/01/2013	450	67.19	Reinsurance Group of America.	30 223 27
09/26/2013	10/01/2013	210	264.22	Roche Holdings AG	55 430.82
09/26/2013	10/01/2013	1,730	38.45	Royal Caribbean Cruises Ltd.	66 463.02
09/26/2013	10/01/2013	670	65.68	Royal Dutch Shell PLC-ADR A	43,984.73
09/26/2013	10/01/2013	1,110	60.21	Safran SA	66 764.56
09/26/2013	09/30/2013	80	809.73	Samsung Electronics Co Pfd (KRW 69473961 00)	** 64,487 17
09/26/2013	10/01/2013	2,790	12.68	Sberbank Sponsored ADR	35,341 83
09/26/2013	10/01/2013	500	44.07	Seattle Genetics Inc.	22 018.76
09/26/2013	10/01/2013	11,500	1.22	Semen Gresik (Persero) Tbk (IDR 160510560 00)	** 14,012 27
09/26/2013	10/01/2013	100	240.30	SMC Corporation	24,006 09
09/26/2013	10/01/2013	1,840	22.26	Smiths Group plc	40,911 99
09/26/2013	10/01/2013	1,730	21.24	Subsea 7 SA	36,716 60
09/26/2013	10/01/2013	1,600	23.44	SwedBank AB	37,471 37
09/26/2013	10/01/2013	220	77.15	Tiffany & Co	16 966.06
09/26/2013	10/01/2013	400	89.40	Toronto-Dominion Bank	35 747 10
09/26/2013	10/01/2013	940	17.02	Tullow Oil plc	15,977 17
09/26/2013	10/01/2013	640	72.03	UnitedHealth Group Inc.	46 080.73
09/26/2013	10/01/2013	2,590	35.00	Vodafone Group PLC - SP ADR	90 579 27
09/26/2013	10/01/2013	790	74.29	Wal-Mart Stores Inc	58,603.35
09/26/2013	10/01/2013	1,500	41.48	Wells Fargo Company	62,147 82

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Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Sales (cont'd)					
09/26/2013	09/30/2013	5,600	3.38	Wynn Macau, Limited	18,881 44
09/26/2013	10/01/2013	530	72.33	Yum! Brands Inc	38,316.64
09/30/2013	09/30/2013	0	65.95	Royal Dutch Shell PLC-ADR A	1 52
10/03/2013	10/08/2013	3,050	60.73	Covidien PLC	185,103.72
10/03/2013	10/08/2013	9,820	35.54	Vodafone Group PLC - SP ADR	348,619.54
10/04/2013	10/09/2013	6,410	60.39	Covidien PLC	366 812 41
10/07/2013	10/10/2013	2,490	60.00	Covidien PLC	149 300 04
10/28/2013	10/31/2013	270	1,015.44	Google Inc - Class A	274 153 04
10/29/2013	11/01/2013	362	1,017.47	Google Inc - Class A	368 304 23
10/31/2013	11/05/2013	2,970	130.86	FedEx Corporation	388,516 76
11/04/2013	11/07/2013	1,290	123.24	Alexion Pharmaceuticals Inc	158 926.14
11/04/2013	11/07/2013	980	283.77	Regeneron Pharmaceuticals	278 048 30
11/05/2013	11/08/2013	280	120.81	Alexion Pharmaceuticals Inc.	33,816 16
11/05/2013	11/08/2013	360	294.11	Regeneron Pharmaceuticals	105 861 67
11/08/2013	11/14/2013	2,510	132.01	FedEx Corporation	331 246.21
11/11/2013	11/14/2013	5,810	132.64	FedEx Corporation	770,376 91
11/13/2013	11/15/2013	130	922.19	Samsung Electronics Co.. Pfd (KRW 127707014.00)	** 119,105.23
11/15/2013	11/19/2013	120	945.27	Samsung Electronics Co. Pfd (KRW 119791555.00)	112,695 14
11/18/2013	11/20/2013	146	974.76	Samsung Electronics Co.. Pfd (KRW 149445969.00)	** 141 389.59
12/16/2013	12/19/2013	32,950	36.96	Vodafone Group PLC SP ADR	1 216 545.53
12/17/2013	12/20/2013	5,760	37.09	Vodafone Group PLC SP ADR	213 391 61
12/20/2013	12/26/2013	4,210	90.86	Tiffany & Co.	382 354.81
12/23/2013	12/23/2013	1	70.94	Royal Dutch Shell PLC-ADR A	68 38
				Total Sales	** 21 906 260 32
Foreign Currency Contracts					
01/02/2013	01/02/2013			Sell 841,269 FX Spot Contract HKD S/D 01/02/2013	108 522 57
01/04/2013	01/04/2013			Buy 34,844 FX Spot Contract HKD S/D 01/04/2013	(4,495.72)
01/04/2013	01/04/2013			Buy 60,640 FX Spot Contract HKD S/D 01/04/2013	(7 824 01)
01/07/2013	01/07/2013			Buy 1,801 FX Spot Contract GBP S/D 01/07/2013	(2 905 33)
01/07/2013	01/07/2013			Buy 10,214 FX Spot Contract EUR S/D 01/07/2013	(13 354 67)
01/07/2013	01/07/2013			Buy 10,745 FX Spot Contract GBP S/D 01/07/2013	(17 328 89)
01/07/2013	01/07/2013			Buy 10,957,873 FX Spot Contract KRW S/D 01/07/2013	(10 308 44)
01/07/2013	01/07/2013			Buy 13,299 FX Spot Contract SGD S/D 01/07/2013	(10 863.09)
01/07/2013	01/07/2013			Buy 15,293,340 FX Spot Contract KRW S/D 01/07/2013	(14,386 96)

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ROCKEFELLER & CO

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Foreign Currency Contracts (cont'd)					
01/07/2013	01/07/2013			Buy 16,226,541 FX Spot Contract JPY S/D 01/07/2013	(188,702 65)
01/07/2013	01/07/2013			Buy 21,838,650 FX Spot Contract JPY S/D 01/07/2013	(253,967 32)
01/07/2013	01/07/2013			Buy 3,371 FX Spot Contract GBP S/D 01/07/2013	(5,437 36)
01/07/2013	01/07/2013			Buy 4,635 FX Spot Contract GBP S/D 01/07/2013	(7,476 40)
01/07/2013	01/07/2013			Buy 48,551,905 FX Spot Contract IDR S/D 01/07/2013	(4,969 82)
01/07/2013	01/07/2013			Buy 5,136 FX Spot Contract AUD S/D 01/07/2013	(5,383 91)
01/07/2013	01/07/2013			Buy 5,538 FX Spot Contract EUR S/D 01/07/2013	(7,241.23)
01/07/2013	01/07/2013			Buy 5,587 FX Spot Contract GBP S/D 01/07/2013	(9,010 49)
01/07/2013	01/07/2013			Buy 5,706,632 FX Spot Contract JPY S/D 01/07/2013	(66,363.90)
01/07/2013	01/07/2013			Buy 58,483 FX Spot Contract SEK S/D 01/07/2013	(8,972 85)
01/07/2013	01/07/2013			Buy 6,244 FX Spot Contract GBP S/D 01/07/2013	(10,070 30)
01/07/2013	01/07/2013			Buy 624 FX Spot Contract GBP S/D 01/07/2013	(1,005 77)
01/07/2013	01/07/2013			Buy 66,559 FX Spot Contract SEK S/D 01/07/2013	(10,211 87)
01/07/2013	01/07/2013			Buy 7,103 FX Spot Contract EUR S/D 01/07/2013	(9,287 40)
01/07/2013	01/07/2013			Buy 8,703,439 FX Spot Contract KRW S/D 01/07/2013	(8,187 62)
01/08/2013	01/08/2013			Buy 5,707,642 FX Spot Contract JPY S/D 01/08/2013	(66,375 65)
02/06/2013	02/06/2013			Buy 17,225,716 FX Spot Contract KRW S/D 02/06/2013	(15,898 22)
02/06/2013	02/06/2013			Buy 17,816,424 FX Spot Contract KRW S/D 02/06/2013	(16,443 40)
02/06/2013	02/06/2013			Buy 9,624,537 FX Spot Contract KRW S/D 02/06/2013	(8,882 83)
02/07/2013	02/07/2013			Buy 55,643,933 FX Spot Contract IDR S/D 02/07/2013	(5,743 59)
03/06/2013	03/06/2013			Buy 18,500,159 FX Spot Contract KRW S/D 03/06/2013	(17 039.84)
03/06/2013	03/06/2013			Buy 69,975,207 FX Spot Contract IDR S/D 03/06/2013	(7,212 46)
04/01/2013	04/01/2013			Sell 34,572,008 FX Spot Contract KRW S/D 04/01/2013	31,014.63
04/01/2013	04/01/2013			Sell 39,403,470 FX Spot Contract KRW S/D 04/01/2013	35,348.94
04/01/2013	04/01/2013			Sell 59,606,959 FX Spot Contract KRW S/D 04/01/2013	53,476 59
04/02/2013	04/02/2013			Sell 245,024,865 FX Spot Contract IDR S/D 04/02/2013	25 195.36
05/06/2013	05/06/2013			Buy 13,418,097 FX Spot Contract KRW S/D 05/06/2013	(12,226.05)
05/06/2013	05/06/2013			Buy 46,344,350 FX Spot Contract IDR S/D 05/06/2013	(4,765 48)
05/06/2013	05/06/2013			Buy 789,603 FX Spot Contract KRW S/D 05/06/2013	(719.46)
05/06/2013	05/06/2013			Buy 8,753,110 FX Spot Contract KRW S/D 05/06/2013	(7,975.50)
05/24/2013	05/24/2013			Buy 530,002,004 FX Spot Contract IDR S/D 05/24/2013	(54,275 68)
05/27/2013	05/27/2013			Buy 519,331,148 FX Spot Contract IDR S/D 05/27/2013	(53 104 99)
05/28/2013	05/28/2013			Buy 342,001,329 FX Spot Contract IDR S/D 05/28/2013	(34,971.86)
05/29/2013	05/29/2013			Buy 338,962,783 FX Spot Contract IDR S/D 05/29/2013	(34 623.37)

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount USD
Foreign Currency Contracts (cont'd)					
06/03/2013	06/03/2013			Buy 346,456,566 FX Spot Contract IDR S/D 06/03/2013	(35 316.67)
06/10/2013	06/10/2013			Buy 159,598,968 FX Spot Contract KRW S/D 06/10/2013	(143,265.29)
06/11/2013	06/11/2013			Buy 15,446,662 FX Spot Contract IDR S/D 06/11/2013	(1 562.64)
06/12/2013	06/12/2013			Buy 106,661,064 FX Spot Contract KRW S/D 06/12/2013	(94,316 04)
06/12/2013	06/12/2013			Buy 444,848,652 FX Spot Contract IDR S/D 06/12/2013	(44,445.04)
06/13/2013	06/13/2013			Buy 267,738,632 FX Spot Contract IDR S/D 06/13/2013	(26 630 36)
06/28/2013	06/28/2013			Sell 4,756,879 FX Spot Contract KRW S/D 06/28/2013	4,145.43
07/01/2013	07/01/2013			Sell 15,962,046 FX Spot Contract IDR S/D 07/01/2013	1,588 10
08/21/2013	08/21/2013			Buy 113,123,744 FX Spot Contract KRW S/D 08/21/2013	(101 092.70)
08/22/2013	08/22/2013			Buy 95,377,337 FX Spot Contract KRW S/D 08/22/2013	(85,463.57)
08/27/2013	08/27/2013			Buy 69,387,915 FX Spot Contract KRW S/D 08/27/2013	(62,393.59)
08/27/2013	08/27/2013			Sell 6,092,737 FX Spot Contract KRW S/D 08/27/2013	5,453.58
08/28/2013	08/28/2013			Buy 61,158,604 FX Spot Contract KRW S/D 08/28/2013	(54,890.14)
08/28/2013	08/28/2013			Sell 12,493,186 FX Spot Contract KRW S/D 08/28/2013	11 161.70
08/29/2013	08/29/2013			Buy 17,429,866 FX Spot Contract KRW S/D 08/29/2013	(15,625 16)
09/02/2013	09/02/2013			Sell 7,658,639 FX Spot Contract KRW S/D 09/02/2013	6,909.20
09/03/2013	09/03/2013			Sell 12,260,315 FX Spot Contract KRW S/D 09/03/2013	11,166.55
09/05/2013	09/05/2013			Buy 17,665,526 FX Spot Contract KRW S/D 09/05/2013	(16,125.54)
09/05/2013	09/05/2013			Buy 8,830,900 FX Spot Contract KRW S/D 09/05/2013	(8,061 07)
09/05/2013	09/05/2013			Buy 9,056,147 FX Spot Contract KRW S/D 09/05/2013	(8,266.68)
09/06/2013	09/06/2013			Buy 16,558,083 FX Spot Contract IDR S/D 09/06/2013	(1 421 29)
09/06/2013	09/06/2013			Buy 18,872,269 FX Spot Contract IDR S/D 09/06/2013	(1,619.94)
09/06/2013	09/06/2013			Sell 9,089,590 FX Spot Contract KRW S/D 09/06/2013	8,274.17
09/09/2013	09/09/2013			Sell 10,691,626 FX Spot Contract KRW S/D 09/09/2013	9,807 03
09/10/2013	09/10/2013			Sell 5,857,483 FX Spot Contract KRW S/D 09/10/2013	5,381.24
09/11/2013	09/11/2013			Sell 11,819,281 FX Spot Contract KRW S/D 09/11/2013	10,869.30
09/12/2013	09/12/2013			Sell 11,722,720 FX Spot Contract KRW S/D 09/12/2013	10,814 32
09/13/2013	09/13/2013			Sell 11 610,718 FX Spot Contract KRW S/D 09/13/2013	10 686.35
09/16/2013	09/16/2013			Sell 11,431,998 FX Spot Contract KRW S/D 09/16/2013	10,546 13
09/17/2013	09/17/2013			Sell 11,244,038 FX Spot Contract KRW S/D 09/17/2013	10 346 02
09/23/2013	09/23/2013			Sell 8 507,149 FX Spot Contract KRW S/D 09/23/2013	7 889.41
09/24/2013	09/24/2013			Sell 11,186,451 FX Spot Contract KRW S/D 09/24/2013	10 390 53
09/25/2013	09/25/2013			Sell 13,660,114 FX Spot Contract KRW S/D 09/25/2013	12 677 60
09/26/2013	09/26/2013			Sell 5,162 283 FX Spot Contract KRW S/D 09/26/2013	4 799.89

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Foreign Currency Contracts (cont'd)					
09/30/2013	09/30/2013			Sell 12,052,055 FX Spot Contract KRW S/D 09/30/2013	11 180 65
09/30/2013	09/30/2013			Sell 44,221,133 FX Spot Contract KRW S/D 09/30/2013	41,024 51
09/30/2013	09/30/2013			Sell 65,586,916 FX Spot Contract KRW S/D 09/30/2013	60,845 81
09/30/2013	09/30/2013			Sell 69,473,861 FX Spot Contract KRW S/D 09/30/2013	64,451.88
10/01/2013	10/01/2013			Sell 125,068,632 FX Spot Contract IDR S/D 10/01/2013	10,845.81
10/01/2013	10/01/2013			Sell 160,510,560 FX Spot Contract IDR S/D 10/01/2013	13,919.29
11/05/2013	11/05/2013			Buy 1,180,357 FX Spot Contract KRW S/D 11/05/2013	(1,112 29)
11/05/2013	11/05/2013			Buy 3,402,090 FX Spot Contract KRW S/D 11/05/2013	(3,205.89)
11/05/2013	11/05/2013			Buy 5,206,073 FX Spot Contract KRW S/D 11/05/2013	(4,905 84)
11/07/2013	11/07/2013			Buy 6,463,158 FX Spot Contract IDR S/D 11/07/2013	(568 94)
11/07/2013	11/07/2013			Buy 7,089 433 FX Spot Contract IDR S/D 11/07/2013	(624 07)
11/15/2013	11/15/2013			Sell 127,707,014 FX Spot Contract KRW S/D 11/15/2013	119 464 00
11/19/2013	11/19/2013			Sell 119,791 555 FX Spot Contract KRW S/D 11/19/2013	113 257 72
11/20/2013	11/20/2013			Sell 149,445,969 FX Spot Contract KRW S/D 11/20/2013	141 493.63
				Total Foreign Currency Contracts	(745,978 49)
Dividends Received					
*05/19/2010	06/25/2010			China Agri-Industries Holdings	0.52
*09/09/2010	09/29/2010			China Agri-Industries Holdings	0.05
*06/02/2011	06/28/2011			China Agri-Industries Holdings	0 52
*09/12/2011	10/06/2011			China Agri-Industries Holdings	1 06
*06/13/2012	06/29/2012			China Agri-Industries Holdings	0.06
*09/13/2012	10/09/2012			China Agri-Industries Holdings	(0 02)
11/20/2012	02/06/2013	0 52		Vodafone Group PLC - SP ADR	22 591.42
*11/28/2012	02/05/2013			Johnson Matthey PLC	3,182.42
12/05/2012	01/02/2013	0.54		Pepsico, Inc	7 670 13
*12/10/2012	01/02/2013	0.13		Hewlett-Packard Company	4 027.32
*12/12/2012	01/02/2013	0.15		Comerica Incorporated	1 704 00
12/13/2012	01/08/2013	0.43		Merck & Co Inc.	7,494 90
12/13/2012	01/15/2013	0.15		Thermo Fisher Scientific Inc	1 656 00
12/18/2012	01/10/2013	0.32		Tiffany & Co.	1,417 60
12/19/2012	01/04/2013	0.06		Advance Auto Parts, Inc.	717 00
*12/24/2012	01/17/2013			Singapore Telecom LTD	16,051 62
*12/27/2012	04/12/2013			LG Electronics Inc. - PFD	1 285 44

* Prior period activity recorded in the current period

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Trade Date	Settle Date	Quantity	Price/Rate	Description	
Dividends Received (cont'd)					
12/28/2012	01/23/2013		0 16	Comcast Corporation - CL A	2 210 98
12/28/2012	04/12/2013			Hyundai Motor Co., Ltd. 2nd	13 134 08
* 12/28/2012	04/12/2013			Hyundai Motor Company Ltd PFD	3 802 11
* 12/28/2012	04/15/2013			Samsung Electronics Co. Pfd	7 956 26
01/02/2013	01/02/2013			Income received on Cash equivalents	22 00
01/02/2013	01/31/2013		0.30	J.P. Morgan Chase & Co.	9 111 00
01/02/2013	01/31/2013		0.78	Toronto-Dominion Bank	6 216 76
01/07/2013	02/08/2013		0.30	Mastercard Inc - Class A	456.00
01/09/2013	01/28/2013		0.30	Quest Diagnostics Incorporated	2 457 00
01/09/2013	02/01/2013		0.34	Yum! Brands, Inc	2 155 39
01/17/2013	02/22/2013		0.17	Apache Corporation	1 120 39
01/30/2013	03/01/2013		0.25	Wells Fargo Company	7 487 50
01/31/2013	02/15/2013		0 15	Baker Hughes Incorporated	1 876 50
02/01/2013	02/01/2013			Income received on Cash equivalents	12.68
02/13/2013	03/01/2013		0.35	Aflac, Inc.	7 266 00
02/13/2013	03/11/2013		0.90	Chevron Corporation	8.245 80
02/13/2013	03/08/2013		0.24	Reinsurance Group of America	1 524 00
02/13/2013	03/28/2013		0.86	Royal Dutch Shell PLC-ADR A	11 622.93
02/19/2013	03/14/2013		0.23	Microsoft Corp	12 198.74
02/19/2013	03/06/2013		0.12	Royal Caribbean Cruises Ltd	3 385.20
02/21/2013	03/11/2013		0.41	Honeywell Inc	6 996.65
02/26/2013	03/15/2013		0.35	Dover Corp	2.964 50
02/26/2013	03/28/2013		0.50	Goldman Sachs Group	2 080 00
02/26/2013	04/05/2013		2.53	Novartis AG - ADR	49.732 93
02/27/2013	03/20/2013		0.18	Oceaneering International, Inc	1.281 60
02/27/2013	04/01/2013		0.54	Pepsico, Inc	7 901.25
03/01/2013	03/01/2013			Income received on Cash equivalents	1 14
03/01/2013	03/28/2013			Santos Limited	7.542.77
03/06/2013	03/27/2013		0.25	Qualcomm Inc	3 940 00
03/07/2013	04/01/2013		0.14	FedEx Corporation	1.754 20
03/07/2013	03/12/2013			Roche Holdings AG	34.404 08
03/08/2013	03/22/2013		0.04	Virgin Media Inc	444 80
03/08/2013	04/01/2013		0.47	Wal-Mart Stores, Inc.	7 696.72

* Prior period activity recorded in the current period

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
03/11/2013	03/27/2013		0.09	Anadarko Petroleum Corporation	1,116.00
03/11/2013	04/03/2013		0.13	Hewlett-Packard Company	4 216.08
03/13/2013	04/01/2013		0.17	Comerica Incorporated	2 021.30
03/13/2013	03/27/2013		0.17	Delphi Automotive PLC	3 542.80
03/13/2013	04/05/2013		0.43	Merck & Co Inc.	7,843.20
03/13/2013	04/15/2013		0.15	Thermo Fisher Scientific Inc	1,735.50
03/13/2013	03/26/2013		0.21	UnitedHealth Group Inc.	2,794.38
03/18/2013	04/10/2013		0.32	Tiffany & Co	1,481.60
03/20/2013	04/05/2013		0.06	Advance Auto Parts, Inc	594.60
03/21/2013	03/28/2013			Svenska Handelsbanken AB - A s	34 586.07
03/21/2013	03/28/2013			SwedBank AB	50,043 49
03/27/2013	06/28/2013			Amada Co Ltd.	3 293.82
03/27/2013	06/28/2013			Murata Manufacturing Osaka	9 188.56
03/27/2013	06/06/2013			NGK Spark Plug Co Ltd. Tokyo	2 150 11
03/27/2013	05/23/2013			Prudential plc	13 707 70
03/27/2013	06/28/2013			SMC Corporation Tokyo	2,329.77
03/27/2013	04/26/2013			Smiths Group plc	6,908 12
03/28/2013	04/05/2013		0.06	Arcos Dorados Holdings, Inc.	1,214.30
04/01/2013	04/24/2013		0.20	Comcast Corporation CL A	2,623.92
04/01/2013	04/01/2013			Income received on Cash equivalents	8 94
04/01/2013	04/30/2013		0.80	Toronto-Dominion Bank	6 308.55
04/02/2013	05/03/2013		0.26	Covidien PLC	3,250.00
04/03/2013	04/30/2013		0.30	J.P. Morgan Chase & Co.	8,871.00
04/05/2013	05/09/2013		0.60	Mastercard Inc - Class A	894.00
04/09/2013	07/10/2013		0.31	Sberbank Sponsored ADR	13,510.29
04/10/2013	05/03/2013		0.34	Yum! Brands, Inc	2 098.44
04/17/2013	05/16/2013			Tullow Oil plc	1,182 03
04/18/2013	05/22/2013		0.20	Apache Corporation	1 284 00
04/24/2013	06/12/2013			Centrica plc	39 934 70
05/01/2013	05/01/2013			Income received on Cash equivalents	8 51
05/02/2013	05/17/2013		0.15	Baker Hughes Incorporated	1 851 00
05/07/2013	05/20/2013		0.04	Virgin Media Inc.	426.40
05/08/2013	05/31/2013		0.24	Reinsurance Group of America,	1 460.80
05/08/2013	06/03/2013		0.47	Wal-Mart Stores, Inc.	7 344 22

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount
Dividends Received (cont'd)					
05/08/2013	06/03/2013		0.30	Wells Fargo Company	8 853 00
05/09/2013	05/23/2013		0.30	Capital One Financial Corp	3 099 00
05/10/2013	06/04/2013			Boskalis Westminster - CVA	18 758 18
05/13/2013	05/30/2013		0.17	Delphi Automotive PLC	3 381 30
05/14/2013	06/13/2013		0.23	Microsoft Corp.	11 837 64
05/15/2013	06/10/2013		1.00	Chevron Corporation	8 882.00
05/15/2013	06/27/2013		0.90	Royal Dutch Shell PLC-ADR A	11,812 50
05/16/2013	06/10/2013		0.41	Honeywell Inc	6,791.65
05/17/2013	06/04/2013		0.12	Royal Caribbean Cruises Ltd	4,082.40
05/20/2013	06/03/2013		0.35	Aflac, Inc	7 052 50
05/22/2013	06/06/2013			Wynn Macau, Limited	18 186.39
05/28/2013	06/27/2013		0.50	Goldman Sachs Group	2,020.00
05/29/2013	06/17/2013		0.35	Dover Corp.	2,877.00
05/29/2013	06/20/2013		0.22	Oceaneering International Inc	1 522 40
05/30/2013	06/17/2013			Semen Gresik (Persero) Tbk	8,310.65
05/31/2013	07/08/2013		1 15	China Mobile (Hong Kong) Ltd	26,456 41
06/03/2013	06/03/2013			Income received on Cash equivalents	1 51
06/03/2013	06/26/2013		0.35	Qualcomm Inc.	6 366 50
06/03/2013	06/06/2013			Safran SA	18 857 89
06/10/2013	06/26/2013		0.09	Anadarko Petroleum Corporation	1 065 60
06/10/2013	07/03/2013		0.15	Hewlett-Packard Company	4,428.60
06/12/2013	07/01/2013		0.17	Comerica Incorporated	1,929.50
06/12/2013	08/06/2013			Johnson Matthey PLC	8,582 45
06/12/2013	08/07/2013		1.06	Vodafone Group PLC - SP ADR	54 162 51
06/13/2013	07/01/2013		0.15	FedEx Corporation	1 794 00
06/13/2013	07/08/2013		0.43	Merck & Co Inc.	7 490.60
06/13/2013	07/15/2013		0.15	Thermo Fisher Scientific Inc	1 656 00
06/13/2013	06/26/2013		0.28	UnitedHealth Group Inc	3,514.00
06/14/2013	07/02/2013			Kalbe Farma TBK PT	3 591.31
06/18/2013	07/10/2013		0 34	Tiffany & Co.	1 499.40
06/27/2013	08/26/2013			Samsung Electronics Co. Pfd	527 42
06/28/2013	07/05/2013		0.06	Arcos Dorados Holdings, Inc.	1 220.01
07/01/2013	07/24/2013		0.20	Comcast Corporation CL A	2,643 42
07/02/2013	07/31/2013		0.38	J.P. Morgan Chase & Co.	11 308 80

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Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount Net
Dividends Received (cont'd)					
07/05/2013	08/09/2013		0.60	Mastercard Inc - Class A	894.00
07/05/2013	07/31/2013		0.79	Toronto-Dominion Bank	6,229.56
07/09/2013	07/23/2013		0.15	NetApp, Inc.	2,334.00
07/10/2013	08/02/2013		0.12	Oracle Corporation	2,366.80
07/10/2013	08/08/2013		0.41	Vedanta Resources PLC	7,333.40
07/10/2013	08/02/2013		0.34	Yum! Brands, Inc.	3,505.44
07/18/2013	08/22/2013		0.20	Apache Corporation	1,292.00
07/26/2013	08/15/2013		0.26	Covidien PLC	3,273.40
08/01/2013	08/16/2013		0.15	Baker Hughes Incorporated	2,269.50
08/01/2013	08/15/2013		0.30	Capital One Financial Corp	3,084.00
08/07/2013	08/30/2013		0.30	Reinsurance Group of America	2,652.00
08/07/2013	09/03/2013		0.47	Wal-Mart Stores, Inc.	7,306.62
08/07/2013	09/03/2013		0.30	Wells Fargo Company	8,805.00
08/13/2013	09/12/2013		0.23	Microsoft Corp.	11,768.64
08/14/2013	08/29/2013		0.17	Delphi Automotive PLC	3,364.30
08/14/2013	09/26/2013		0.90	Royal Dutch Shell PLC-ADR A	11,749.50
08/15/2013	09/10/2013		1.00	Chevron Corporation	8,842.00
08/16/2013	09/10/2013		0.41	Honeywell Inc	6,750.65
08/19/2013	09/03/2013		0.35	Aflac, Inc.	5,393.50
08/21/2013	09/26/2013			Prudential plc	6,857.75
08/22/2013	09/30/2013			Santos Limited	6,556.62
08/26/2013	09/18/2013		0.15	Expedia, Inc.	1,932.00
08/28/2013	09/16/2013		0.73	Copa Holdings SA Cl A	3,248.50
08/28/2013	09/16/2013		0.38	Dover Corp.	3,067.50
08/28/2013	09/27/2013		0.50	Goldman Sachs Group	2,015.00
08/28/2013	09/20/2013		0.22	Oceaneering International, Inc	1,513.60
08/28/2013	10/04/2013			Tullow Oil plc	1,194.82
08/30/2013	09/25/2013		0.35	Qualcomm Inc.	4,798.50
09/04/2013	10/10/2013		1.09	China Mobile (Hong Kong) Ltd	32,095.11
09/05/2013	09/30/2013		0.34	Coach, Inc.	5,784.75
09/05/2013	09/23/2013			Wynn Macau, Limited	7,342.30
09/06/2013	10/01/2013		0.15	FedEx Corporation	1,783.50
09/09/2013	09/25/2013		0.18	Anadarko Petroleum Corporation	2,131.20
09/09/2013	11/08/2013			PICC Prop & Casualty Co. Ltd.	25,392.59

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US$
Dividends Received (cont'd)					
09/11/2013	10/01/2013		0.17	Comenca Incorporated	1 931.20
09/11/2013	09/24/2013		0.28	UnitedHealth Group Inc	3 519.60
09/12/2013	10/07/2013		0.43	Merck & Co. Inc.	7,494.90
09/18/2013	10/10/2013		0.34	Tiffany & Co.	1 502.80
09/20/2013	10/08/2013		0.25	Royal Canbbean Cruises Ltd	3,510 00
09/25/2013	11/13/2013			Centrica plc	17,284.84
09/26/2013	12/09/2013			Amada Co. Ltd.	5,294 65
09/26/2013	12/02/2013			Murata Manufacturing Company.	10,166 81
09/26/2013	11/29/2013			NGK Spark Plug Co. Ltd	3,799 24
09/26/2013	12/03/2013			SMC Corporation	2,258.12
09/27/2013	10/04/2013		0.06	Arcos Dorados Holdings, Inc.	1,165 78
09/30/2013	10/23/2013		0.20	Comcast Corporation - Cl. A	2,526 42
10/01/2013	10/31/2013		0.82	Toronto-Dominion Bank	6,150.35
10/02/2013	10/31/2013		0.38	J.P. Morgan Chase & Co.	10 807 20
10/04/2013	10/29/2013		0.12	Oracle Corporation	2 280.00
10/07/2013	11/08/2013		0.60	Mastercard Inc - Class A	852.00
10/09/2013	11/01/2013		0.37	Yum! Brands, Inc.	3 705.18
10/17/2013	10/25/2013		0.15	NetApp, Inc	2 230.50
10/18/2013	11/22/2013		0.20	Apache Corporation	2 256.00
10/23/2013	11/22/2013			Smiths Group plc	31,732.55
10/31/2013	11/15/2013		0.15	Baker Hughes Incorporated	2 169.00
11/01/2013	11/01/2013			Income received on Cash equivalents	0.44
11/06/2013	11/21/2013		0.30	Capital One Financial Corp	2,952.00
11/06/2013	11/29/2013		0.30	Reinsurance Group of America	3 997.50
11/06/2013	12/02/2013		0.30	Wells Fargo Company	8 436.00
11/13/2013	11/27/2013		0.17	Delphi Automotive PLC	3 223.20
11/13/2013	12/23/2013		0.90	Royal Dutch Shell PLC-ADR A	11 415 60
11/14/2013	12/10/2013		1.00	Chevron Corporation	8 462.00
11/18/2013	12/02/2013		0.37	Aflac, Inc.	5,461.20
11/19/2013	12/12/2013		0.15	Expedia, Inc.	1 649 50
11/19/2013	12/10/2013		0.45	Honeywell Inc.	7 101 00
11/19/2013	12/12/2013		0.28	Microsoft Corp	13 730.64
11/26/2013	12/16/2013		0.73	Copa Holdings SA Cl A	3,113 45
11/26/2013	12/18/2013		0.38	Dover Corp.	2,936.25

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Dividends Received (cont'd)					
11/26/2013	12/20/2013		0.22	Oceaneering International, Inc	1 447 60
11/27/2013	12/30/2013		0.55	Goldman Sachs Group	2 117 50
11/27/2013	12/19/2013		0.35	Qualcomm Inc	4,595.50
12/04/2013	12/17/2013		0.28	UnitedHealth Group Inc.	4,513 60
12/09/2013	12/23/2013		0.18	Anadarko Petroleum Corporation	2,028.60
12/16/2013	12/19/2013			Safran SA	13,701.74
				Total Dividends Received	1 244,877.56
Foreign Taxes Withheld and Reclaims					
* 05/19/2010	06/25/2010			China Agri-Industries Holdings NRA Expense	135.67
* 09/09/2010	09/29/2010			China Agri-Industries Holdings NRA Expense	153.15
06/02/2011	06/28/2011			China Agri-Industries Holdings NRA Expense	135.27
* 09/12/2011	10/06/2011			China Agri-Industries Holdings NRA Expense	283 15
06/13/2012	06/29/2012			China Agri-Industries Holdings NRA Expense	131 76
* 09/13/2012	10/09/2012			China Agri-Industries Holdings NRA Expense	107.16
* 11/20/2012	02/06/2013			Vodafone Group PLC - SP ADR Commission Fee	(436 10)
* 12/27/2012	04/12/2013			LG Electronics Inc. - PFD NRA Expense	(257 09)
* 12/28/2012	04/12/2013			Hyundai Motor Co. Ltd - 2nd NRA Expense	(2,626.82)
12/28/2012	04/12/2013			Hyundai Motor Company Ltd PFD NRA Expense	(760.42)
12/28/2012	04/15/2013			Samsung Electronics Co. Pfd NRA Expense	(1,750 38)
01/02/2013	01/31/2013			Toronto-Dominion Bank NRA Expense	(1,545.71)
02/13/2013	03/28/2013			Royal Dutch Shell PLC-ADR A NRA Expense	(1 743 44)
02/26/2013	04/05/2013			Novartis AG - ADR NRA Expense	(17,406 53)
03/01/2013	03/28/2013			Santos Limited NRA Expense	(2 262 83)
03/07/2013	03/12/2013			Roche Holdings AG NRA Expense	(12,041.43)
03/21/2013	03/28/2013			Svenska Handelsbanken AB - A s NRA Expense	(10,375.82)
03/21/2013	03/28/2013			SwedBank AB NRA Expense	(15,013.04)
03/27/2013	06/28/2013			Amada Co. Ltd. NRA Expense	(230 57)
03/27/2013	06/28/2013			Murata Manufacturing Osaka NRA Expense	(643.20)
03/27/2013	06/06/2013			NGK Spark Plug Co. Ltd. Tokyo NRA Expense	(153.67)
03/27/2013	06/28/2013			SMC Corporation Tokyo NRA Expense	(163.08)
04/01/2013	04/30/2013			Toronto-Dominion Bank NRA Expense	(1 577 14)
04/09/2013	07/10/2013			Sberbank - Sponsored ADR Commission Fee	(872 60)
04/09/2013	07/10/2013			Sberbank - Sponsored ADR NRA Expense	(2 026.54)

* - Prior period activity recorded in the current period

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (US$)
Foreign Taxes Withheld and Reclaims (cont'd)					
05/10/2013	06/04/2013			Boskalis Westminster - CVA NRA Expense	(2,813 73)
05/15/2013	06/27/2013			Royal Dutch Shell PLC-ADR A NRA Expense	(1,771.88)
05/30/2013	06/17/2013			Semen Gresik (Persero) Tbk NRA Expense	(1,662 13)
05/31/2013	07/08/2013			China Mobile (Hong Kong) Ltd NRA Expense	(2,645 64)
06/03/2013	06/06/2013			Safran SA NRA Expense	(5,657 37)
06/12/2013	08/07/2013			Vodafone Group PLC - SP ADR Commission Fee	(1,019 39)
06/14/2013	07/02/2013			Kalbe Farma TBK PT NRA Expense	(718 26)
06/27/2013	08/26/2013			Samsung Electronics Co. Pfd NRA Expense	(116.03)
07/05/2013	07/31/2013			Toronto-Dominion Bank NRA Expense	(1 557 39)
08/22/2013	09/30/2013			Santos Limited NRA Expense	(1 966.99)
09/04/2013	10/10/2013			China Mobile (Hong Kong) Ltd NRA Expense	(3 209.51)
09/09/2013	11/08/2013			PICC Prop & Casualty Co. Ltd. NRA Expense	(2 539 26)
09/26/2013	12/09/2013			Amada Co. Ltd. NRA Expense	(370.63)
09/26/2013	12/02/2013			Murata Manufacturing Company, NRA Expense	(711.68)
09/26/2013	11/29/2013			NGK Spark Plug Co. Ltd. NRA Expense	(265.95)
09/26/2013	12/03/2013			SMC Corporation NRA Expense	(158.07)
10/01/2013	10/31/2013			Toronto-Dominion Bank NRA Expense	(1,537.59)
12/16/2013	12/19/2013			Safran SA NRA Expense	(4,110.52)
				Total Foreign Taxes Withheld and Reclaims	(103,772 27)
Other Income					
01/07/2013	01/07/2013			Check deposit from Doral Financial Corporation Securities Litigation Class Action Proceeds	133 83
06/10/2013	06/10/2013			Cash and stock merger VMED to LBTYA and LBTYK	160,054.45
06/10/2013	06/10/2013			Cash and stock merger VMED to LBTYA and LBTYK	26,495 55
11/05/2013	11/05/2013			Check deposit from Juniper Networks Securities Settlement · Class Action Proceeds	228 17
				Total Other Income	186,912.00
Cash Deposits					
01/02/2013	01/02/2013			Custody Transfer from Partner	500,000.00
01/02/2013	01/02/2013			Custody Transfer from Partner	26 000 00
01/02/2013	01/02/2013			Custody Transfer from Partner	13 000 00
01/02/2013	01/02/2013			Incoming Wire from Partner	170 000.00
01/02/2013	01/02/2013			Incoming Wire from Partner	49,000 00
01/02/2013	01/02/2013			Incoming Wire from Partner	46 000.00
02/01/2013	02/01/2013			Custody Transfer from Partner	249,000 00
02/01/2013	02/01/2013			Custody Transfer from Partner	350 000 00

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

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

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US$
Cash Deposits (cont'd)					
				Total Cash Deposits	6 531 249.50
Cash Withdrawals and Payments					
01/15/2013	01/15/2013			Custody Transfer to Partner	(17.30)
01/15/2013	01/15/2013			Custody Transfer to Partner	(416.44)
01/15/2013	01/15/2013			Custody Transfer to Partner	(400.86)
01/15/2013	01/15/2013			Custody Transfer to Partner	(254.38)
01/15/2013	01/15/2013			Custody Transfer to Partner	(934.57)
01/15/2013	01/15/2013			Custody Transfer to Partner	(266 91)
01/15/2013	01/15/2013			Custody Transfer to Partner	(101 97)
01/15/2013	01/15/2013			Custody Transfer to Partner	(3,119.32)
01/15/2013	01/15/2013			Custody Transfer to Partner	(2,020 24)
01/15/2013	01/15/2013			Custody Transfer to Partner	(942 50)
01/15/2013	01/15/2013			Custody Transfer to Partner	(477 53)
01/15/2013	01/15/2013			Custody Transfer to Partner	(213.98)
01/15/2013	01/15/2013			Custody Transfer to Partner	(519 76)
01/15/2013	01/15/2013			Custody Transfer to Partner	(565.37)
01/15/2013	01/15/2013			Custody Transfer to Partner	(513.27)
01/15/2013	01/15/2013			Custody Transfer to Partner	(546.33)
01/15/2013	01/15/2013			Custody Transfer to Partner	(175.37)
01/15/2013	01/15/2013			Custody Transfer to Partner	(92.81)
01/15/2013	01/15/2013			Custody Transfer to Partner	(323.66)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220 61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(220.61)
01/15/2013	01/15/2013			Custody Transfer to Partner	(334.71)
01/15/2013	01/15/2013			Custody Transfer to Partner	(3,253 75)
01/15/2013	01/15/2013			Custody Transfer to Partner	(2,008 63)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
01/15/2013	01/15/2013			Custody Transfer to Partner	(143 79)
01/15/2013	01/15/2013			Custody Transfer to Partner	(476 15)
01/15/2013	01/15/2013			Custody Transfer to Partner	(777 64)
01/15/2013	01/15/2013			Custody Transfer to Partner	(2,006.18)
01/15/2013	01/15/2013			Custody Transfer to Partner	(489 58)
01/15/2013	01/15/2013			Custody Transfer to Partner	(327 95)
01/15/2013	01/15/2013			Custody Transfer to Partner	(327 95)
01/15/2013	01/15/2013			Custody Transfer to Partner	(327 95)
01/15/2013	01/15/2013			Custody Transfer to Partner	(633.64)
01/15/2013	01/15/2013			Custody Transfer to Partner	(843 97)
01/15/2013	01/15/2013			Custody Transfer to Partner	(1,387.77)
01/15/2013	01/15/2013			Custody Transfer to Partner	(1,561 31)
01/15/2013	01/15/2013			Custody Transfer to Partner	(619.78)
01/15/2013	01/15/2013			Custody Transfer to Partner	(693.98)
01/15/2013	01/15/2013			Custody Transfer to Partner	(115.44)
01/15/2013	01/15/2013			Custody Transfer to Partner	(104.88)
01/15/2013	01/15/2013			Custody Transfer to Partner	(104.69)
01/15/2013	01/15/2013			Wire Transfer to Partner	(374.35)
01/15/2013	01/15/2013			Wire Transfer to Partner	(11 815.75)
01/15/2013	01/15/2013			Wire Transfer to Partner	(342.22)
01/15/2013	01/15/2013			Wire Transfer to Partner	(3,042.57)
01/15/2013	01/15/2013			Wire Transfer to Partner	(238.21)
01/15/2013	01/15/2013			Wire Transfer to Partner	(449.92)
01/15/2013	01/15/2013			Wire Transfer to Partner	(383.32)
01/15/2013	01/15/2013			Wire Transfer to Partner	(55.25)
01/15/2013	01/15/2013			Wire Transfer to Partner	(35.25)
01/15/2013	01/15/2013			Wire Transfer to Partner	(277 04)
01/25/2013	01/25/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(6,229.00)
01/29/2013	01/29/2013			Custody Transfer to Rockefeller & Co. Inc - Reimbursement for Deloitte Audit Fees	(17,657 40)
01/30/2013	01/30/2013			Custody Transfer to State Street Bank - December 2012 State Street Custody Fees	(1,800 60)
02/01/2013	02/01/2013			Custody Transfer to Partner	(15,000.00)
02/01/2013	02/01/2013			Custody Transfer to Partner	(1,425,000.00)
02/01/2013	02/01/2013			Wire Transfer to Partner	(5,000.00)
02/25/2013	02/25/2013			Custody Transfer to Rockefeller & Co Inc - Administration Fee (8211/1)	(6 563.00)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
03/01/2013	03/01/2013			Custody Transfer to Partner	(1,000.00)
03/01/2013	03/01/2013			Custody Transfer to Partner	(1,000 00)
03/01/2013	03/01/2013			Custody Transfer to Partner	(3,000.00)
03/01/2013	03/01/2013			Custody Transfer to Partner	(15,000.00)
03/21/2013	03/21/2013			Custody Transfer to Rockefeller & Co. Inc - Administration Fee (8211/1)	(6,692.00)
04/01/2013	04/01/2013			Custody Transfer to Partner	(259,593.45)
04/01/2013	04/01/2013			Custody Transfer to Partner	(178,333.27)
04/01/2013	04/01/2013			Custody Transfer to Partner	(1 792,792.85)
04/01/2013	04/01/2013			Custody Transfer to Partner	(1,106,740.06)
04/01/2013	04/01/2013			Wire Transfer to Partner	(32,311.98)
04/01/2013	04/01/2013			Wire Transfer to Partner	(19,000.00)
04/01/2013	04/01/2013			Wire Transfer to Partner	(20,000 00)
04/01/2013	04/01/2013			Wire Transfer to Partner	(122,413.83)
04/11/2013	04/11/2013			Custody Transfer to Partner	(34 00)
04/11/2013	04/11/2013			Custody Transfer to Partner	(818 48)
04/11/2013	04/11/2013			Custody Transfer to Partner	(787.86)
04/11/2013	04/11/2013			Custody Transfer to Partner	(450.31)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1 836.81)
04/11/2013	04/11/2013			Custody Transfer to Partner	(524.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(200.42)
04/11/2013	04/11/2013			Custody Transfer to Partner	(6,130.71)
04/11/2013	04/11/2013			Custody Transfer to Partner	(3,967 30)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,849.10)
04/11/2013	04/11/2013			Custody Transfer to Partner	(938.53)
04/11/2013	04/11/2013			Custody Transfer to Partner	(420.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1 021.54)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,111.18)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1 008.79)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,077.68)
04/11/2013	04/11/2013			Custody Transfer to Partner	(344.68)
04/11/2013	04/11/2013			Custody Transfer to Partner	(182.41)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
04/11/2013	04/11/2013			Custody Transfer to Partner	(433 59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433 59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433 59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(433.59)
04/11/2013	04/11/2013			Custody Transfer to Partner	(657.84)
04/11/2013	04/11/2013			Custody Transfer to Partner	(282 60)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,528 38)
04/11/2013	04/11/2013			Custody Transfer to Partner	(3 946.88)
04/11/2013	04/11/2013			Custody Transfer to Partner	(962.21)
04/11/2013	04/11/2013			Custody Transfer to Partner	(644.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(644.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(644.55)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,245.35)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,653.73)
04/11/2013	04/11/2013			Custody Transfer to Partner	(2,727 54)
04/11/2013	04/11/2013			Custody Transfer to Partner	(3 068.62)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1 216.12)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,363.95)
04/11/2013	04/11/2013			Custody Transfer to Partner	(226.88)
04/11/2013	04/11/2013			Custody Transfer to Partner	(206.13)
04/11/2013	04/11/2013			Custody Transfer to Partner	(205 76)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1,742.83)
04/11/2013	04/11/2013			Custody Transfer to Partner	(2,308 36)
04/11/2013	04/11/2013			Custody Transfer to Partner	(2,306.36)
04/11/2013	04/11/2013			Custody Transfer to Partner	(1 645.52)
04/11/2013	04/11/2013			Custody Transfer to Partner	(198 296.47)
04/11/2013	04/11/2013			Custody Transfer to Partner	(19,725.01)
04/11/2013	04/11/2013			Custody Transfer to Partner	(28,713.00)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank - February 2013 State Street Custody Fees	(1 443.90)
04/11/2013	04/11/2013			Custody Transfer to State Street Bank January 2013 State Street Custody Fees	(1 553 11)

ROCKEFELLER & CO.

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

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Total USD
Cash Withdrawals and Payments (cont'd)					
04/11/2013	04/11/2013			Wire Transfer to Partner	(3,573 95)
04/11/2013	04/11/2013			Wire Transfer to Partner	(735 76)
04/11/2013	04/11/2013			Wire Transfer to Partner	(23 222 71)
04/11/2013	04/11/2013			Wire Transfer to Partner	(843 41)
04/11/2013	04/11/2013			Wire Transfer to Partner	(5 979 86)
04/11/2013	04/11/2013			Wire Transfer to Partner	(628 51)
04/11/2013	04/11/2013			Wire Transfer to Partner	(867 72)
04/11/2013	04/11/2013			Wire Transfer to Partner	(950 47)
04/11/2013	04/11/2013			Wire Transfer to Partner	(108.59)
04/11/2013	04/11/2013			Wire Transfer to Partner	(77.14)
04/23/2013	04/23/2013			Custody Transfer to State Street Bank - March 2013 State Street Custody Fees	(1 473 05)
04/25/2013	04/25/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(6 444 00)
05/01/2013	05/01/2013			Custody Transfer to Partner	(16,000.00)
05/01/2013	05/01/2013			Custody Transfer to Partner	(35 000 00)
05/01/2013	05/01/2013			Custody Transfer to Partner	(26 560 00)
05/01/2013	05/01/2013			Custody Transfer to Partner	(30 000 00)
05/24/2013	05/24/2013			Custody Transfer to Rockefeller & Co. Inc Administration Fee (8211/1)	(6 715 00)
06/03/2013	06/03/2013			Custody Transfer to Partner	(50 000.00)
06/03/2013	06/03/2013			Wire Transfer to Partner	(30,000.00)
06/04/2013	06/04/2013			Custody Transfer to Rockefeller & Co. Inc. Reimbursement for Deloitte Audit fees - 2nd bill	(13,684.33)
06/07/2013	06/07/2013			Custody Transfer to State Street Bank - April 2013 State Street Custody Fees	(1 609 47)
06/17/2013	06/17/2013			Custody Transfer to Rockefeller & Co Inc. Administration Fee (8211/1)	(6,903 00)
07/01/2013	07/01/2013			Custody Transfer to Partner	(20,000 00)
07/01/2013	07/01/2013			Wire Transfer to Partner	(50,000.00)
07/12/2013	07/12/2013			Custody Transfer to State Street Bank May 2013 State Street Custody Fees	(1,661 35)
07/17/2013	07/17/2013			Custody Transfer to Partner	(35.83)
07/17/2013	07/17/2013			Custody Transfer to Partner	(862 46)
07/17/2013	07/17/2013			Custody Transfer to Partner	(830.20)
07/17/2013	07/17/2013			Custody Transfer to Partner	(474 51)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 935 52)
07/17/2013	07/17/2013			Custody Transfer to Partner	(581.78)
07/17/2013	07/17/2013			Custody Transfer to Partner	(216.02)
07/17/2013	07/17/2013			Custody Transfer to Partner	(6 460 18)

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	
Cash Withdrawals and Payments (cont'd)					(4 180.51)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,948.47)
07/17/2013	07/17/2013			Custody Transfer to Partner	(988 97)
07/17/2013	07/17/2013			Custody Transfer to Partner	(462 48)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,076 44)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 170.90)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 063.00)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 135 60)
07/17/2013	07/17/2013			Custody Transfer to Partner	(363 20)
07/17/2013	07/17/2013			Custody Transfer to Partner	(192 21)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506 19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506 19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506 19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506 19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506 19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(506 19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(693.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(297 79)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,610 51)
07/17/2013	07/17/2013			Custody Transfer to Partner	(4 156.98)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 052.59)
07/17/2013	07/17/2013			Custody Transfer to Partner	(730 12)
07/17/2013	07/17/2013			Custody Transfer to Partner	(753.65)
07/17/2013	07/17/2013			Custody Transfer to Partner	(679.19)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 151.17)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 747 87)
07/17/2013	07/17/2013			Custody Transfer to Partner	(2 759 10)
07/17/2013	07/17/2013			Custody Transfer to Partner	(3,233 52)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 196 31)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1 338.67)
07/17/2013	07/17/2013			Custody Transfer to Partner	

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US$
Cash Withdrawals and Payments (cont'd)					
07/17/2013	07/17/2013			Custody Transfer to Partner	(239.07)
07/17/2013	07/17/2013			Custody Transfer to Partner	(217.21)
07/17/2013	07/17/2013			Custody Transfer to Partner	(216.81)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,836.48)
07/17/2013	07/17/2013			Custody Transfer to Partner	(4,606.57)
07/17/2013	07/17/2013			Custody Transfer to Partner	(4,606.57)
07/17/2013	07/17/2013			Custody Transfer to Partner	(1,733.95)
07/17/2013	07/17/2013			Wire Transfer to Partner	(775.30)
07/17/2013	07/17/2013			Wire Transfer to Partner	(24,470.70)
07/17/2013	07/17/2013			Wire Transfer to Partner	(824.22)
07/17/2013	07/17/2013			Wire Transfer to Partner	(8,301.24)
07/17/2013	07/17/2013			Wire Transfer to Partner	(597.78)
07/17/2013	07/17/2013			Wire Transfer to Partner	(749.79)
07/17/2013	07/17/2013			Wire Transfer to Partner	(1,001.55)
07/17/2013	07/17/2013			Wire Transfer to Partner	(114.43)
07/17/2013	07/17/2013			Wire Transfer to Partner	(81.29)
07/17/2013	07/17/2013			Wire Transfer to Partner	(573.76)
07/23/2013	07/23/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(6,798.00)
08/01/2013	08/01/2013			Custody Transfer to Partner	(4,500.00)
08/01/2013	08/01/2013			Custody Transfer to Partner	(16,000.00)
08/09/2013	08/09/2013			Custody Transfer to State Street Bank - June 2013 State Street Custody Fees	(1,418.27)
08/21/2013	08/21/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(7,162.00)
09/03/2013	09/03/2013			Custody Transfer to State Street Bank July 2013 State Street Custody Fees	(1,518.03)
09/04/2013	09/04/2013			Custody Transfer to Rockefeller Global Equity II Principal/Income Transfer RDS/A reinvestment	(11,749.50)
09/23/2013	09/23/2013			Custody Transfer to Rockefeller & Co. Inc. - Administration Fee (8211/1)	(7,115.00)
10/01/2013	10/01/2013			Custody Transfer to Partner	(823,872.15)
10/01/2013	10/01/2013			Custody Transfer to Partner	(965,534.12)
10/01/2013	10/01/2013			Wire Transfer to Partner	(1,235,000.00)
10/14/2013	10/14/2013			Custody Transfer to Partner	(91,533.23)
10/14/2013	10/14/2013			Custody Transfer to Partner	(107,272.06)
10/16/2013	10/16/2013			Custody Transfer to State Street Bank - August 2013 State Street Custody Fees	(1,421.94)
10/18/2013	10/18/2013			Custody Transfer to Partner	(25.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(608.76)
10/18/2013	10/18/2013			Custody Transfer to Partner	(585.99)

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount US$
Cash Withdrawals and Payments (cont'd)					
10/18/2013	10/18/2013			Custody Transfer to Partner	(288 56)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1 366 17)
10/18/2013	10/18/2013			Custody Transfer to Partner	(410.65)
10/18/2013	10/18/2013			Custody Transfer to Partner	(152 48)
10/18/2013	10/18/2013			Custody Transfer to Partner	(4,559 88)
10/18/2013	10/18/2013			Custody Transfer to Partner	(2 940.81)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1 375 32)
10/18/2013	10/18/2013			Custody Transfer to Partner	(698 06)
10/18/2013	10/18/2013			Custody Transfer to Partner	(326 44)
10/18/2013	10/18/2013			Custody Transfer to Partner	(759 80)
10/18/2013	10/18/2013			Custody Transfer to Partner	(826 47)
10/18/2013	10/18/2013			Custody Transfer to Partner	(750.31)
10/18/2013	10/18/2013			Custody Transfer to Partner	(801 56)
10/18/2013	10/18/2013			Custody Transfer to Partner	(256.37)
10/18/2013	10/18/2013			Custody Transfer to Partner	(135 67)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357 29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357 29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(357.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(489.29)
10/18/2013	10/18/2013			Custody Transfer to Partner	(210 19)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1 136.77)
10/18/2013	10/18/2013			Custody Transfer to Partner	(2,935.59)
10/18/2013	10/18/2013			Custody Transfer to Partner	(742.96)
10/18/2013	10/18/2013			Custody Transfer to Partner	(515 35)
10/18/2013	10/18/2013			Custody Transfer to Partner	(532.12)
10/18/2013	10/18/2013			Custody Transfer to Partner	(479.40)
10/18/2013	10/18/2013			Custody Transfer to Partner	(812.55)

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
10/18/2013	10/18/2013			Custody Transfer to Partner	(1 233 72)
10/18/2013	10/18/2013			Custody Transfer to Partner	(844.41)
10/18/2013	10/18/2013			Custody Transfer to Partner	(944.89)
10/18/2013	10/18/2013			Custody Transfer to Partner	(168.75)
10/18/2013	10/18/2013			Custody Transfer to Partner	(153.32)
10/18/2013	10/18/2013			Custody Transfer to Partner	(153.04)
10/18/2013	10/18/2013			Custody Transfer to Partner	(2,413.38)
10/18/2013	10/18/2013			Custody Transfer to Partner	(3,251.52)
10/18/2013	10/18/2013			Custody Transfer to Partner	(3,251.52)
10/18/2013	10/18/2013			Custody Transfer to Partner	(1,223.90)
10/18/2013	10/18/2013			Wire Transfer to Partner	(547 24)
10/18/2013	10/18/2013			Wire Transfer to Partner	(17,272 50)
10/18/2013	10/18/2013			Wire Transfer to Partner	(581.77)
10/18/2013	10/18/2013			Wire Transfer to Partner	(4,447.70)
10/18/2013	10/18/2013			Wire Transfer to Partner	(421 94)
10/18/2013	10/18/2013			Wire Transfer to Partner	(413.31)
10/18/2013	10/18/2013			Wire Transfer to Partner	(706.94)
10/18/2013	10/18/2013			Wire Transfer to Partner	(80.77)
10/18/2013	10/18/2013			Wire Transfer to Partner	(57.37)
10/18/2013	10/18/2013			Wire Transfer to Partner	(404.99)
10/25/2013	10/25/2013			Custody Transfer to Rockefeller & Co Inc. - Administration Fee (8211/1)	(7,096.00)
10/31/2013	10/31/2013			Custody Transfer to State Street Bank - September 2013 State Street Custody Fees	(1,746.49)
11/01/2013	11/01/2013			Custody Transfer to Partner	(1 000.00)
11/01/2013	11/01/2013			Custody Transfer to Partner	(38,000 00)
11/01/2013	11/01/2013			Wire Transfer to Partner	(75 000 00)
11/21/2013	11/21/2013			Custody Transfer to Rockefeller & Co., Inc - Administration Fee (8211/1)	(7,337.00)
12/02/2013	12/02/2013			Custody Transfer to Partner	(10 000 00)
12/02/2013	12/02/2013			Custody Transfer to Partner	(11,476.18)
12/02/2013	12/02/2013			Wire Transfer to Partner	(50,000.00)
12/12/2013	12/12/2013			Custody Transfer to Rockefeller & Co Inc - Reimbursement for Deloitte Audit Fees	(11 609.59)
12/13/2013	12/13/2013			Custody Transfer to Partner	(1,275.24)
12/18/2013	12/18/2013			Custody Transfer to Rockefeller & Co., Inc - Administration Fee (8211/1)	(7,565.00)
12/30/2013	12/30/2013			Custody Transfer to State Street Bank - October 2013 State Street Custody Fees	(1,792.25)
				Total Cash Withdrawals and Payments	(9,412,441 16)

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

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

Non Cash Transactions

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

Prior period activity recorded in the current period

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

ROCKEFELLER & CO.

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

Period from January 1 2013 to December 31 2013

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description
Mergers, Stock Splits, Distributions (cont'd)				
06/24/2013	06/24/2013	29,000	1.00	Merger From - 29,000 shares of NGK Spark Plug Co Ltd. Tokyo (Market Value = $598,892 03)-Merger from 5334 JT to 5334 JP
06/24/2013	06/24/2013	17,400		Merger To - 17,400 shares of Murata Manufacturing Company (Market Value = $1 322 739 16)-Merger from 6981 JO to 6981 JP
06/24/2013	06/24/2013	2,800		Merger To - 2,800 shares of SMC Corporation (Market Value = $575 080 79)-Merger from 6273 JT to 6273 JP
06/24/2013	06/24/2013	29,000		Merger To - 29,000 shares of NGK Spark Plug Co., Ltd. (Market Value = $598,892.03)-Merger from 5334 JT to 5334 JP
07/01/2013	07/01/2013	1,574		Spin-Off - 1,573.7500 shares of Mallinkrodt PLC (Market Value = $71 495.48)-Spin-Off from COV to MNK
07/03/2013	07/03/2013	8,880	1 00	Merger From - 8 880 shares of Mallinckrodt PLC- Wi (Market Value = $375,268.80)-Merger from MNK-W to MNK
07/03/2013	07/03/2013	8,880		Merger To - 8,880 shares of Mallinckrodt PLC (Market Value = $375 268.80)-Merger from MNK-W to MNK

Prior period activity recorded in the current period

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

ROCKEFELLER & CO.

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

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Cash and Cash Equivalents								
Cash			886 827.98	886.827 98*	0 00	1 33	0 00	0
Securities								
Equity								
North America								
Aflac, Inc.	14,660	66.80	616,718.06	992,648.00	375,929.94	1.49	2.22	21,993
Alexion Pharmaceuticals, Inc.	3,080	132.88	71,147.21	409,282.72	338,135.51	0.62	0.00	0
Anadarko Petroleum Corporation	11,340	79.32	651,791.63	899,488.80	247,697.17	1 35	0.91	8,165
Apache Corporation	11,390	85.94	921,231.60	978,856.60	57,625.00	1.47	0.93	9,112
Baker Hughes Incorporated	14,600	55.28	629,071.00	806,796.00	177,725.00	1.21	1.09	8 760
BioMarin Pharmaceutical Inc.	7,690	70.35	152,784.48	540,991.50	388,207.02	0.81	0.00	0
Capital One Financial Corp.	9 900	76.61	543,930.57	758,439.00	214,508.43	1.14	1.57	11,880
CareFusion Corporation	27,500	39.82	567,740.27	1,095,050.00	527,309.73	1.65	0.00	0
Chevron Corporation	8,512	124.91	527,496.13	1,063,233.92	535 737.79	1 60	3.20	34,048
Coach, Inc.	16,430	56.13	887,714.74	922,215.90	34,501 16	1.39	2 41	22,181
Comcast Corporation - CL A	13,076	51.97	484,957.95	679,494.34	194,536 39	1.02	1.50	10,199
Comerica Incorporated	10,880	47.54	402,908.69	517,235.20	114,326.51	0.78	1.43	7,398
Continental Resources, Inc,	8,780	112.52	594,184 58	987,925.60	393,741.02	1.48	0 00	0
Delphi Automotive PLC	19,090	60.13	625,903.27	1,147,881.70	521 978.43	1.72	1.13	12,981
Dover Corp.	7,880	96.54	485,820.99	760,735.20	274 914.21	1 14	1.55	11 820
Expedia, Inc.	12,410	69.66	752,788.76	864,480.60	111,691.84	1.30	0.86	7,446
Goldman Sachs Group, Inc.	3,870	177.26	409,026.25	685,996.20	276,969.95	1.03	1.24	8,514
Google Inc - Class A	2,154	1,120.71	1,151,565.44	2,414,009.34	1,262,443.90	3.63	0.00	0
Honeywell Inc.	15,890	91.37	582,512.34	1,451,869.30	869,356 96	2.18	1.97	28,602
Incyte Corporation	9,590	50.63	388,901.88	485,541.70	96,639.82	0.73	0.00	0
J.P. Morgan Chase & Co.	28,720	58.48	981,729.98	1,679,545.60	697 815.62	2.52	2.60	43,654
Mastercard Inc - Class A	1,424	835.46	609,323.82	1,189,695.04	580 371.22	1.79	0.53	6,266
Merck & Co. Inc.	22,080	50.05	909,637.08	1,105,104.00	195,466.92	1 66	3 52	38,861
Microsoft Corp.	49,378	37.41	1,209,750.40	1,847,230.98	637,480 58	2.78	2.99	55,303
NetApp, Inc.	15,010	41.14	508,000.93	617,511.40	109,510 47	0.93	1.46	9,006
Oceaneering International, Inc	6,620	78.88	189,661.20	522,185.60	332 524 40	0.78	1.12	5 826

* - Settled cash is invested in State St Instl US Govt Mmkt yield is estimated

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ROCKEFELLER & CO.

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

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann Income
Oracle Corporation	19,180	38.26	550,391.03	733,826.80	183,435.77	1.10	1.25	9,206
Qualcomm Inc.	13,220	74.25	500,575.80	981,585.00	481,009.20	1.48	1.89	18,508
Regeneron Pharmaceuticals	1,310	275.24	222,683.54	360,564.40	137,880.86	0.54	0.00	0
Reinsurance Group of America, Inc	13,415	77.41	857,454.86	1,038,455.15	181,000.29	1.56	1.55	16,096
Royal Caribbean Cruises Ltd.	32,620	47.42	1,000,536.64	1,546,840.40	546,303.76	2.32	2.11	32,620
Seattle Genetics, Inc.	9,500	39.89	275,097.31	378,955.00	103,857.69	0.57	0.00	0
St. Jude Medical	14,060	61.95	787,846.61	871,017.00	83,170.39	1.31	1.51	14,060
Toronto-Dominion Bank	12,240	94.24	913,519.28	1,153,497.60	239,978.32	1.73	3.42	39,413
United Continental Holdings Inc.	18,280	37.83	643,315.42	691,532.40	48,216.98	1.04	0.00	0
UnitedHealth Group Inc.	16,230	75.30	966,294.20	1,222,119.00	255,824.80	1.84	1.49	18,178
Wal-Mart Stores, Inc.	14,996	78.69	705,574.81	1,180,035.24	474,460.43	1.77	2.39	28,192
Wells Fargo Company	28,310	45.40	884,922.09	1,285,274.00	400,351.91	1.93	2.64	33,972
Yum! Brands, Inc.	10,104	75.61	406,305.61	763,963.44	357,657.83	1.15	1.96	14,954
Total North America			24,570,816.45	37,631,109.67	13,060,293.22	56.55	1.56	587,216
United Kingdom								
Centrica plc	209,030	5.76	846,234.53	1,203,506.08	357,271.53	1.81	3.74	44,997
Johnson Matthey PLC	12,855	54.31	339,422.77	698,201.69	358,778.92	1.05	1.77	12,346
Prudential plc	42,180	22.19	425,478.10	935,936.41	510,457.31	1.41	0.00	0
Rio Tinto plc - Spon ADR	18,350	56.43	969,682.15	1,035,490.50	65,808.35	1.56	3.12	32,296
Royal Dutch Shell PLC-ADR A	12,944	71.27	691,644.50	922,518.88	230,874.38	1.39	4.25	39,609
Smiths Group plc	34,484	24.51	545,366.44	845,112.10	299,745.66	1.27	2.64	22,270
Tullow Oil plc	34,990	14.16	562,274.50	495,387.48	(66,887.02)	0.74	1.40	6,953
Total United Kingdom			4,380,103.99	6,136,153.12	1,756,049.13	9.22	2.58	158,471
Europe ex United Kingdom								
Boskalis Westminster - CVA	10,996	52.93	328,697.91	582,003.00	253,305.09	0.87	3.23	18,791
DnB Holding ASA	44,380	17.88	750,297.56	793,587.98	43,290.42	1.19	1.94	15,360
ING Groep N.V.	103,040	13.92	1,009,679.38	1,434,266.81	424,587.43	2.16	0.00	0
Mallinckrodt PLC	11,463	52.26	473,886.81	599,056.38	125,169.57	0.90	0.00	0
Novartis AG - ADR	19,081	80.38	981,795.85	1,533,730.78	551,934.93	2.30	2.55	39,116
Roche Holdings AG	4,030	280.26	692,363.81	1,129,440.61	437,076.80	1.70	2.95	33,312
Safran SA	20,910	69.61	598,765.78	1,455,573.46	856,807.68	2.19	2.24	32,564

ROCKEFELLER & CO.

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

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann Income
Subsea 7 SA	32,470	19.13	598,958.19	621,287.41	22,329.22	0.93	0.52	3,211
SwedBank AB	30,010	28.18	313,325.48	845,807.56	532,482.08	1.27	5.47	46,262
Total Europe ex United Kingdom			5,747,770.77	8,994,753.99	3,246,983.22	13.52	2.10	188,616
Japan								
Amada Co. Ltd.	112,000	8.82	815,111.22	987,859.18	172,747.96	1.48	1.51	14,919
Murata Manufacturing Company, Ltd	16,700	88.87	985,628.84	1,484,091.34	498,462.50	2.23	1.28	19,068
NGK Spark Plug Co., Ltd.	29,000	23.69	438,243.10	687,059.94	248,816.84	1.03	1.04	7,174
SMC Corporation	2,800	252.14	510,197.95	705,994.29	195,796.34	1.06	0.60	4,263
Total Japan			2,749,181.11	3,865,004.75	1,115,823.64	5.81	1.16	45,423
Asia ex Japan								
China Mobile (Hong Kong) Limited Sp ADR	28,130	52.29	1,283,178.02	1,470,917.70	187,739.68	2.21	3.84	56,541
Wynn Macau, Limited	108,660	4.53	219,368.18	492,587.33	273,219.15	0.74	0.00	0
Total Asia ex Japan			1,502,546.20	1,963,505.03	480,958.83	2.95	2.88	56,541
Emerging Markets Europe								
Sberbank - Sponsored ADR	52,280	12.58	639,838.65	657,682.40	17,843.75	0.99	1.91	12,547
Emerging Markets Asia								
Ctrip.com International - ADR	10,060	49.62	485,600.58	499,177.20	13,576.62	0.75	0.00	0
Hyundai Motor Co., Ltd. - 2nd Preferred	7,130	124.08	544,661.36	884,691.08	340,029.72	1.33	1.53	13,558
Hyundai Motor Company Ltd - PFD	2,100	118.85	129,705.48	249,586.40	119,880.92	0.38	1.56	3,894
Kalbe Farma TBK PT	1,814,000	0.10	273,944.90	186,395.40	(87,549.50)	0.28	1.52	2,833
Korea Electric Power Corporation (KEPCO)	41,910	33.04	1,039,230.63	1,384,726.74	345,496.11	2.08	0.00	0
PICC Property and Casualty Company Ltd	614,450	1.48	804,738.87	911,323.55	106,584.68	1.37	2.61	23,774
Samsung Electronics Co., Ltd Pfd	1,124	963.17	669,360.41	1,082,598.36	413,237.95	1.63	0.79	8,603
Semen Gresik (Persero) Tbk	214,500	1.16	222,818.02	249,500.62	26,682.60	0.37	2.60	6,483
Total Emerging Markets Asia			4,170,060.25	5,447,999.35	1,277,939.10	8.19	1.09	59,145
Emerging Markets Latin America								
Arcos Dorados Holdings, Inc.	19,740	12.12	246,310.68	239,248.80	(7,061.88)	0.36	1.90	4,540
Copa Holdings SA Class A	4,295	160.11	598,518.56	687,672.45	89,153.89	1.03	1.82	12,541
Total Emerging Markets Latin America			844,829.24	926,921.25	82,092.01	1.39	1.84	17,082
Total Equity			44,605,146.68	65,623,129.56	21,017,982.90	98.61	1.71	1,125,042
Total Securities			44,605,146.68	65,623,129.56	21,017,982.90	98.61	1.71	1,125,042

ROCKEFELLER & CO.

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

Period Ending December 31 2013

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Other Assets								
Accounts Payable - Audit Fees			(26,012.66)	(26,012.66)	0.00	(0.04)		
Accounts Payable - Custody Fees			(2,501.70)	(2,501.70)	0.00	0.00		
Accrued Dividends Receivable			65,428.98	65,428.98	0.00	0.10		
Div Receivable F/X Value Adjustment			0.00	82.00	82.00	0.00		
Total Other Assets			36,914.62	36,996.62	82.00	0.06	0.00	0
Total Account:			45,528,889.26	66,546,954.16	21,016,064.90	100.00	1.69	1,125,042

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Reporting Individual's Name: RICHARD BLUMENTHAL

[x] Amendment

PART IV. TRANSACTIONS

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

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

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

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

Reporting Individual's Name: RICHARD BLUMENTHAL

[x] Amendment

PART IV. TRANSACTIONS

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

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

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

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

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Reporting Individual's Name: RICHARD BLUMENTHAL

[x] Amendment

PART IV. TRANSACTIONS

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

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

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

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

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Footnotes to part IV

(1) The Fund is the successor fund to Wavecrest Partners Fund I LP. On June 28th 2013, all of the assets in the Wavecrest Partners Fund I were converted into shares of RiverPark Structural Fund. All limited partners became shareholders of this mutual fund.

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Amendment to Calendar Year 2014
Personal Financial Disclosure

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Reporting Individual's Name: RICHARD BLUMENTHAL

[X] Amendment

PART II. EARNED AND NON-INVESTMENT INCOME

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

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

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	*JP Computers*	*Wash., DC* **EXAMPLE**	*Salary*	*$15,000*
	MCI (Spouse)	*Arlington, VA* **EXAMPLE**	*Salary*	*Over $1,000*
1	State of Connecticut Retirement Division	Hartford, CT	Pension	54,401
2				
3				
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5				
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Reporting Individual's Name
Richard Blumenthal
Amendment

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 Ms PARTNERS c/o Malkin Holdings LLC - New York, NY:																																
S	2	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x											x					
S	3	DC Capital Partners LP - Hedge Fund - New York, NY (2)	x																x							x									
S	4	Eton Park Fund, LP - Hedge Fund - New York, NY			x														x								x								
S	5	Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY	x																x						x										
S	6	NEW THINGS PARTNERS LLC c/o Malkin Holdings LLC - New York, NY:																																
S	7	JP Morgan - Checking Account - Newark, DE			x																	x												
S	8	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																																
S	9	*First Republic Bank (FRC - NYSE) - Stock- New York, NY*			x									x									x											
S	10	*3G Special Situations Fund II, LP - Private Equity - New York, NY*					x												x			x												
S	11	*3G Special Situations Fund III, LP - Private Equity - New York, NY*				x													x			x												
S	12	*AIM Midstream, LLC - Private Equity - New York, NY*		x															x			x												
S	13	*Aisling Capital II, LP - Private Equity - New York, NY*		x															x				x											
S	14	*Aisling Capital III, LP - Private Equity - New York, NY*		x															x					x										
S	15	AEA Mezzanine Fund LP - Private Equity - New York, NY			x														x								x							
S	16	Asia Opportunity Fund II, LP - Private Equity - Hong Kong	x																x								x							
S	17	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (3)		x																		x												
S	18	*AG Global Canada LP - Collingwood, ON, Canada - Renewable Energy*																																
S	19	*Bottle Rock Power LLC - Cobb, CA - Renewable Energy*																																
S	20	*Coastal Carolina Clean Power LLC - Austin, Tx - Renewable Energy*																																
S	21	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*																																
S	22	*Green Earth Fuels LLC - Houston, TX - Renewable Energy*																																
S	23	*Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy*																																
S	24	*ThermaSource LLC - Santa Rose, CA - Renewable Energy*																																
S	25	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*																																

Reporting Individual's Name
Richard Blumenthal
Amendment

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
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S	26	Haverford Capital Partners (Cayman), LTD - Private Equity - Stamford, CT (3)		x																		x												
S	27	Tinicum Capital Partners II LP - Private Equity - New York, NY (3) (27)		x																		x												
S	28	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY (3) (27)		x																		x												
S	29	OTHER ONE LLC c/o Malkin Holdings LLC - New York, NY																																
S	30	JP Morgan - Checking Account - Newark, DE						x								x							x											
S	31	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA							x									x								x								
S	32	RCB Investment Partners LLC - Partnership - New York, NY:																																
S	33	State Street Bank & Trust Co. (9)								x					x		x	x										x						
S	34	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (7) (less than .7 of 1%)					x								x			x								x								
S	35	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (8) (less than .10 of 1%)					x								x			x									x							
S	36	PETER L. MALKIN FAMILY 9 LLC c/o Malkin Holdings LLC, New York, NY																																
S	37	JP Morgan - Sweep Account - Newark, DE								x												x												
S	38	JP Morgan - Savings Account - Newark, DE								x						x									x									
S	39	JP Morgan - BRL Currency - Newark, DE (1)					x															x												
S	40	Fine Troy Ounces of Allocated Gold - Held at JP Morgan					x															x												
S	41	BR Properties S.A. - Real Estate - San Paulo, Brazil - Public Company (Stock)					x								x														x					
S	42	Empire State Realty Trust Inc - New York, NY - Class B (Common Stock) (4)								x								x									x							
S	43	Golub BDC Inc - (GSDC - NASDAQ) - Public Company - Stock - New York, NY				x									x											x								
S	44	Brazilian SELIC Notes - Fixed Income - Brazil					x									x											x							
S	45	3 Ms PARTNERS c/o Malkin Holdings LLC - New York, NY:																																
S	46	*Blue Ridge Limited Partnership - Hedge Fund - New York, NY*								x								x											x					
S	47	*DC Capital Partners LP - Hedge Fund - New York, NY (2)*	x															x								x								
S	48	*Eton Park Fund, LP - Hedge Fund - New York, NY*				x												x								x								
S	49	*Tiger Asia L Holdings, Ltd SPV - Hedge Fund - New York, NY*		x														x							x									
S	50	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x								x											x					

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S	51	Consonance Capital Investors, LP - Hedge Fund - New York, NY						x											x								x							
S	52	Falcon Edge Global LP - Hedge Fund - New York, NY (3)							x						x		x	x									x							
S	53	O-Cap Partners LP - Hedge Fund - New York, NY						x											x				x											
S	54	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ							x										x								x							
S	55	Steadview Capital Partners LP - Hedge Fund - Hong Kong (3)(11)						x										x										x						
S	56	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								x									x									x						
S	57	2006 Special Global Opportunities LLC - Private Equity New York, NY (3)				x									x		x	x						x										
S	58	Asia Opportunity Fund II, LP - Private Equity - Hong Kong	x																x								x							
S	59	Blue Ridge China Partners, LP - Private Equity - New York, NY		x															x				x											
S	60	Blue Ridge China Partners, II LP - Private Equity - New York, NY		x															x				x											
S	61	BTG Pactual - Estre Pedreira (Iron Fundo De Investimento) - Private Equity - San Paulo, Brazil (3) (18)						x															x											
S	62	BTG Pactual Brazil Investment Fund I - Private Equity - San Paulo, Brazil (3)						x															x											
S	63	*Leader - Rio de Janeiro - Retailer*																																
S	64	*Bravante - Rio de Janeiro, Brazil - Maritime Support services*																																
S	65	*Estre Ambiental - San Paulo, Brazil - Waste Management*																																
S	66	*CCRR Participacoes SA - San Paulo, Brazil - Specialty paper, labels, & adhesives*																																
S	67	*Universo Online - San Paulo, Brazil - Online Services*																																
S	68	*Bodytech - Rio de Janeiro, Brazil - Fitness centers*																																
S	69	C-3 Acquisition Co. LLC - Private Equity - New York, NY				x													x							x								
S	70	Carlyle/Riverstone Renewable Energy Infrastructure Fund I, LP - Private Equity - Washington DC (3)		x																			x											
S	71	*AG Global Canada, LP - Collingwood, ON, Canada - Renewable Energy*																																
S	72	*Bottle Rock Power LLC - Cobb, CA - Renewable Energy*																																
S	73	*Coastal Caroline Clean Power LLC - Austin, Tx - Renewable Energy*																																
S	74	*Companhia Nacional de Acucar e Alcol - Ribeirao Preto, Brazil - Renewable Energy*																																
S	75	*Green Earth Fuels LLC - Houston, TX - Renewable Energy*																																

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S	76	*Newberry Geothermal Holdings LLC - Stamford, CT - Renewable Energy*																																
S	77	*ThermaSource LLC - Santa Rosa, CA - Renewable Energy*																																
S	78	C-III Recovery Fund I, LP - Private Equity - New York, NY				x												x							x									
S	79	Consonance Capital Investors, LP - Private Equity - New York, NY					x											x				x												
S	80	GEMS Fund, LP - Private Equity - New York, NY					x											x								x								
S	81	Golub Capital Partners V, LP - Private Equity - New York, NY				x												x							x									
S	82	Golub Capital Partners VI, LP - Private Equity - New York, NY					x											x								x								
S	83	Golub Capital Partners VII, LP - Private Equity - New York, NY					x											x							x									
S	84	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)			x									x		x	x								x									
S	85	*Tempo Participacoes SA - Brazil - Healthcare*																																
S	86	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	87	Haverford Capital Partners, LTD - Private Equity - San Francisco, CA (3)		x																		x												
S	88	Island C-III Holdings LLC - Private Equity - New York, NY								x								x									x							
S	89	Island C-III Holdings II LLC - Private Equity - New York, NY					x											x								x								
S	90	Island Fund I LLC - Private Equity - New York, NY (3)	x												x	x	x								x									
S	91	*Celebrate Virginia - Fredericksburg, VA*																																
S	92	*EFO - Realty Sponsor Fund II LP - Dallas, TX*																																
S	93	*Insignia Opportunity Partners - New York, NY*																																
S	94	*Insignia Opportunity Partners II - New York, NY*																																
S	95	*Island Global Yachting II LP - Ft. Lauderdale, FL - Owns, develops, & manages yacht facilities*																																
S	96	*NYC Residential Fund - New York, NY - Owns 11 residential properties on Riverside Drive*																																
S	97	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India					x											x								x								
S	98	Magma Fund II, LP - Private Equity - San Paulo, Brazil (3)		x																		x												
S	99	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	100	Missionpoint RE Co-Invest Fund, LP - Private Equity - New York, NY (3)						x														x												

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S	101	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*																																
S	102	*MPH Energy Holdings LP - Charlotte, NC - Energy*																																
S	103	Missionpoint RE Co-Invest Fund II, LP - Private Equity - New York, NY (3)							x													x												
S	104	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*																																
S	105	*MPH Energy Holdings LP - Charlotte, NC - Energy*																																
S	106	Missionpoint RE Co-Invest Fund III, LP - Private Equity - New York, NY (3)					x															x												
S	107	*RE Community Holdings LP - Charlotte, NC - Recycling & waste management*																																
S	108	*MPH Energy Holdings LP - Charlotte, NC - Energy*																																
S	109	Palamon European Equity Fund II, LP - Private Equity - London, England				x													x									x						
S	110	Plia - Private Equity (18)						x											x			x												
S	111	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													x						
S	112	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3) (5)					x								x		x	x										x						
S	113	RRE Ventures III, LP - Private Equity - New York, NY (3) (27)		x																		x												
S	114	RRE Ventures IV, LP - Private Equity - New York, NY (3) (27)					x															x												
S	115	RRE Ventures V, LP - Private Equity - New York, NY (3) (27)						x														x												
S	116	RRE Ventures VI, LP - Private Equity - New York, NY (18) (3) (27)				x																x												
S	117	Tenaska Power Fund, LP - Private Equity - Omaha, NE			x														x			x												
S	118	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY		x															x							x								
S	119	Tower Three Partners Fund II, LP - Private Equity - New York, NY					x															x												
S	120	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)				x																x												
S	121	**Real Estate Partnerships c/o Empire State Realty Trust, New York NY**																																
S	122	112 West 34th Street Company, LLC - New York, NY - Commercial Real Estate (10) (4)	x													x												x						
S	123	1185 Swap Portfolio II, LP - New York, NY - Real Estate (3)				x										x									x									
S	124	*Rochester Hills, MN - Residential - Garden Apartments*																																

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S	125	*Edison, NJ - CVS Retail Store*																																
S	126	*Painsville, OH - CVS Retail Store*																																
S	127	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (10)							x							x	x												x					
S	128	Fairfax Merrifield Associates II - Fairfax, VA - Residential - Garden Apartments (Fee Position) (10)						x								x											x							
S	129	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)		x												x							x											
S	130	Malkin Co-Investor Capital LP - Westport, CT - Retail Stores (10)		x																		x												
S	131	Malkin Foxfire LLC - Chicago, IL - Commercial - Retail (10)		x																		x												
S	132	Malkin Glen Oaks LLC - Des Plaines - Residential - Garden Apartments(10)			x											x	x						x											
S	133	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (3)		x												x	x						x											
S	134	Malkin Strategic Capital V, LP - New York, NY - Real Estate (3)				x											x									x								
S	135	*Interaudi Bank - checking account - New York, NY*																																
S	136	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
S	137	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*																																
S	138	*University Square - San Diego, CA - Retail Shopping Center*																																
S	139	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																
S	140	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*																																
S	141	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*																																
S	142	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*																																
S	143	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*																																
S	144	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*																																
S	145	Malkin Strategic Capital VI, LP - New York, NY - Real Estate (3)			x												x	x								x								
S	146	*Interaudi Bank - checking account - New York, NY*																																
S	147	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
S	148	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*																																
S	149	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																

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S	150	*Loan Receivable - 777 LP/Uni-Penn - Philadelphia, PA - Commercial Office*																																
S	151	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*																																
S	152	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*																																
S	153	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*																																
S	154	Malkin Support Fund LP - Real Estate - New York, NY:																																
S	155	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*			x											x						x												
S	156	*Loan Receivable - Kansas City Georgetown Associates -- Kansas City, KS*			x											x							x											
S	157	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)		x												x								x										
S	158	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (10)			x																	x												
S	159	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)		x												x								x										
S	160	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (10)						x								x	x									x								
S	161	U.S. Wertheim Associates LLC - Wertheim, Germany - Commercial - Retail (10)					x															x												
S	162	Georgetown Apartment Association - Shrewsbury, MO - Residential - Garden Apartments (10)							x						x	x	x										x							
S	163	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (10)		x												x								x										
S	164	Merrifield Apartments Company LLC - Fairfax, VA - Garden Apartments (10)							x						x	x	x											x						
S	165	McKnight Road Associates LLC - Ross Township, PA - Commercial - Retail (10)			x										x	x										x								
S	166	Wilk Realty Company LLC - Monroeville, PA - Commercial - Retail (10)			x											x								x										
S	167	Malkin Union Square LLC - New York, NY - Real Estate Management (2) (10)	x													x								x										
S	168	Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (4)								x								x											x					
S	169	PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY:																																
S	170	JP Morgan - Sweep Account - Newark, DE								x							x						x											
S	171	JP Morgan - Savings Account - Newark, DE								x							x									x								
S	172	Fine Troy Ounces of Allocated Gold - Held at JP Morgan, Newark, DE							x													x												
S	173	BR Properties S.A. -San Paulo, Brazil - Public Company (Stock)		x											x											x								

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S	174	Alibaba Group Holding Ltd (stock) (25)						x															x											
S	175	Brazilian SELIC Notes - Brazil Fixed Income - Held at JP Morgan, Newark, DE (1)		x																			x											
S	176	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (13)					x												x							x								
S	177	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x									x											x				
S	178	Consonance Capital Investors, LP - Hedge Fund - New York, NY							x										x											x				
S	179	DC Capital Partners LP - Hedge Fund - New York, NY (2)	x																x											x				
S	180	Eton Park Fund, LP - Hedge Fund - New York, NY					x												x									x						
S	181	Falcon Edge Global LP - Hedge Fund - New York, NY (3)							x						x		x	x										x						
S	182	Kinrose Fund, LP - Hedge Fund - New York, NY (18) (3)								x													x											
S	183	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ								x									x											x				
S	184	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																																
S	185	*First Republic Bank (FRC - NYSE) - Stock - New York, NY*					x								x										x									
S	186	*3G Special Situations Fund II, LP - Private Equity - New York, NY*							x										x				x											
S	187	*3G Special Situations Fund III, LP - Private Equity - New York, NY*						x											x				x											
S	188	*AIM Midstream, LLC - Private Equity - New York, NY*			x														x				x											
S	189	*Aisling Capital II, LP - Private Equity - New York, NY*				x													x							x								
S	190	*Aisling Capital III, LP - Private Equity - New York, NY*				x													x								x							
S	191	ARSA Associates - Real Esate - New York, NY					x																x											
S	192	Asia Opportunity Fund II, LP - Private Equity - Hong Kong	x																x										x					
S	193	BBH Capital Partners III, LP - Private Equity - New York, NY						x											x										x					
S	194	ContiCoffee - Private Equity - New York, NY (18)						x											x					x										
S	195	DC Franchise 2011 LLC - Private Equity - Greenwich, CT (Quality Brand Capital LLC - acquire Dunkin Donut franchise restaurants) (3)					x																x											
S	196	*San Antonio International Ltd - San Antonio, TX (Energy)*																																
S	197	*San Antonio International Ltd - San Antonio, TX (Energy)*															x																	
S	198	ESO Capital Managers LP - Private Equity - London England (3)		x																		ordinary			x									1,766

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	199	ESO Special Opportunites Fund II FCP SIF - Private Equity - London England (3)						x														ordinary						x						28,356
S	200	Generation Capital Partners Captivate - Private Equity - Greenwich, CT						x											x				x											
S	201	Golub Capital Coinvestment, LP - Private Equity - New York, NY			x														x					x										
S	202	Golub Capital Partners IV, LP - Private Equity - New York, NY (2)	x																x				x											
S	203	Golub Capital Partners VIII, LP - Private Equity - New York, NY						x											x									x						
S	204	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)			x										x		x	x								x								
S	205	*Tempo Participacoes S.A.-Brazil - Healthcare*																																
S	206	*BR Properties Brazil - Commercial Real Estate*																																
S	207	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	208	*Fogo de Chao Churrascarias (Holdings, Inc.) - Brazil - Restaurant*																																
S	209	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)				x																	x											
S	210	*San Antonio International Ltd- San Antonio, TX (Energy)*																																
S	211	*Alis Participacoes S.A.-Brazil - Staffing*																																
S	212	*BHG S.A. - Brazil - Hotel Management*																																
S	213	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	214	*Estacio Participacoes S.A.- Brazil - Education*																																
S	215	*Lacteos Brasil S.A. - Brazil - Dairy Company*																																
S	216	GP Capital Partners V, LP - Private Equity - San Paulo, Brazil (3)				x									x		x	x											x					
S	217	*San Antonio International Ltd - San Antonio, TX Energy*																																
S	218	*Automotiva S.A. - Brazil - Mobile resource management*																																
S	219	*BR Towers, SA - Brazil - Mobile telephone tower management*																																
S	220	*Cor Brasil, S.A. - Brazil - Beauty Institute*																																
S	221	*Naomi S.A. - Brazil - Retail*																																
S	222	*Emprese Brasileira de Aggrecados Minerais - Brazil - Minerals and Aggregates*																																
S	223	Magma Fund, LP - Private Equity - Private Equity - San Paulo, Brazil (3)		x																			x											

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S	224	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	225	Magma Fund II, LP - Private Equity - Private Equity - San Paulo, Brazil (3)		x																		x												
S	226	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	227	Palamon European Equity Fund II, LP - Private Equity - London, England					x											x								x								
S	228	Revolution Venture II, LP - Private Equity - New York, NY					x											x				x												
S	229	Rockefeller Access Fund 06-I, LLC - Private Equity - New York, NY (3) (6)							x						x	x	x	x								x								
S	230	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3) (5)				x									x		x	x							x									
S	231	Tenaska Power Fund, LP - Private Equity - Omaha, NE				x													x			x												
S	232	Tiger Asia L Holdings, Ltd SPV - Private Equity - New York, NY		x															x						x									
S	233	Tinicum Capital Partners II LP - Private Equity - New York, NY (3) (27)						x														x												
S	234	Tinicum Capital Partners II Add On Fund LP - Private Equity - New York, NY (3) (27)			x												x						x											
S	235	Tower Three Partners Fund II, LP - Private Equity - Greenwich, CT (no underlying investments) (3)					x											x				x												
S	236	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)					x															x												
S	237	Trident Private Equity II, LP - Private Equity - London, England		x														x							x									
S	238	ZM Capital Alloy Digital Investment LP - Private Equity - New York, NY			x													x								x								
S	239	ZM Capital Centerstage Investment LP - Private Equity - New York, NY					x											x								x								
S	240	ZM Capital Crt Investment, LP - Private Equity - New York, NY				x												x						x										
S	241	ZM Capital Niagara Investment (Cayman) LP - Private Equity - New York, NY (18)			x													x				x												
S	242	ZM Titan Investment, LP - Private Equity - New York, NY					x											x				x												
S	243	**Real Estate Partnerships c/o Empire State Realty Trust, New York NY**																																
S	244	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (10) (13)	x																			x												
S	245	BBSF LLC - Vacant Land - Stamford, CT (10)								x												x												
S	246	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (10)								x						x	x												x					
S	247	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments(10)		x																		x												
S	248	Greenwich Retail, LLC - Greenwich, CT - Commercial - Retail (10)			x											x							x											

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S	249	Peter L. Malkin Joint Venture in KMO-381 Realty Associates - Retail Shopping Centers (3)								x						x														x				
S	250	*St. Davids, PA*																																
S	251	*Manhasset, NY*																																
S	252	*White Plains, NY*																																
S	253	*Paramus, NJ*																				x												
S	254	Louisville Self-Service Associates LLC · Louisville, KY · Commercial - Retail (10)	x													x							x											
S	255	Malkin Co-Investor Capital LP - New York, NY · Real Estate · Commercial Office (10)		x																		x												
S	256	Malkin Greenwich Retail LLC - Retail - Greenwich, CT (10)			x											x							x											
S	257	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (3)					x									x		x										x						
S	258	*Memphis, TN*																																
S	259	*Columbus, OH*																																
S	260	*Charleston, SC*																																
S	261	*Raleigh - Durham, NC*																																
S	262	*Philadelphia, PA*																																
S	263	*Virginia Beach, VA*																																
S	264	Malkin Industrial Partners II, LP - Charlestown, MA · Commercial - Office Building (3)		x																		x												
S	265	*JP Morgan - Checking Account - Newark, DE*																																
S	266	*Fidelity - FIMM Fund - Mutual Fund -New York, NY*																																
S	267	*Loan Receivable - VR Finance LLC - Oxfordshire, UK · Factory Outlet Center*																																
S	268	*Interaudi Bank - checking account - New York, NY*																																
S	269	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
S	270	*Loan Receivable - Miracle Plaza Marketplace, LLC · Coral Gables, FL - Shopping Center*																																
S	271	Malkin Strategic Capital V, LP - New York, NY (3)					x										x									x								
S	272	*Interaudi Bank - checking account - New York, NY*																																
S	273	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																

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S	274	*Magazine Investors, LLC - Multi-family residential apartment buildings in Maryland and Virginia*																																
S	275	*University Square - San Diego, CA - Retail Shopping Center*																																
S	276	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																
S	277	*Loan Receivable - 681 Fifth Avenue Holdings - New York, NY - Office Building*																																
S	278	*Loan Receivable - 220 PAS Mezz, LLC - 220 Park Avenue South - New York, NY*																																
S	279	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*																																
S	280	*Loan Receivable - Saxon Hall Holdings LLC - New York, NY - Rent Stabilized Apartments*																																
S	281	*Loan Receivable - 156 Geary Grant Holdings LLC - San Francisco, CA - Retail Shopping Center*																																
S	282	Monroeville Self-Service - Monroeville, PA - Lease Poisition on Commercial - Retail (10) (19)		x											x								x											
S	283	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)		x											x									x										
S	284	Rochester River Oaks/Chicago Foxfire Apartments LLC - Rochester Hills, MI - Residential - Garden Apartments (10)		x																		x												
S	285	New Soundview Plaza Associates, LP - Westport, CT - Retail Stores (10)							x													x												
S	286	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)		x											x									x										
S	287	Jefferson (Dixie) Associates, LLC - Louisville, KY - Commercial - Retail (10)		x											x								x											
S	288	Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (13)								x								x												x				
S	289	U.S. Bicester LP - Oxfordshire, England - Commercial - Retail (10) (16)								x					x	x													x					
S	290	U.S. Bicester II LLC PLM JV - Oxfordshire, England - Commercial - Retail (10) (16)							x						x	x												x						
S	291	U.S. Dublin LLC - Dublin, Ireland - Commercial - Retail (10) (15)					x															x												
S	292	U.S. La Roca LLC PLM JV - Barcelona, Spain - Commercial - Retail (10) (15)								x					x	x													x					
S	293	U.S. Maasmechelen LLC - Maasmechelen, Belgium - Commercial - Retail (10) (15)		x											x											x								
S	294	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (10) (15)							x						x	x												x						
S	295	U.S. Munich LLC - Munich, Germany - Commercial - Retail (10) (15)						x							x													x						
S	296	U.S. Paris LLC - Paris, France - Commercial - Retail (10) (15)								x					x	x														x				

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S	297	U.S. Shanghai LLC - Shanghai, China - Commercial - Retail (10) (15) (18)			x																	x												
S	298	U.S. Suzhou LLC - Suzhou, China - Commercial - Retail (10) (15)			x																	x												
S	299	Larrymae Partners LLC - c/o Malkin Holdings LLC, New York, NY (20)																																
S	300	JPMorgan Chase (Brokerage Cash & Savings) - Newark, DE								x						x							x											
S	301	*Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (14)*								x								x								x								
S	302	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																																
S	303	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (10) (14) (21)	x												x								x											
S	304	Fairfax Merrifield Associates II - Fairfax, VA - Residential - Garden Apartments (Fee Position) (10) (21)							x						x												x							
S	305	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10) (21)				x									x											x								
S	306	Georgetown Apartment Associates - Shrewsbury, MO - Residential - Garden Apartments (10) (21)				x									x	x											x							
S	307	*Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (14)*								x								x											x					
S	308	Magnifique LLC c/o Malkin Holdings LLC, New York, NY (20)																																
S	309	JPMorgan Chase (Brokerage Cash) - Newark, DE						x														x												
S	310	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x								x				x												
S	311	Hedge Holdings LLC c/o Malkin Holdings LLC, New York, NY (20)																																
S	312	JPMorgan Chase (Brokerage Cash) - Newark, DE							x													x												
S	313	Blue Ridge Limited Partnership - Hedge Fund - New York, NY								x								x				x												
S	314	Consonance Capital Investors, LP - Hedge Fund - New York, NY							x									x				x												
S	315	Eton Park Fund, LP - Hedge Fund - New York, NY					x											x				x												
S	316	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								x								x				x												
S	317	Malkin Strategic Capital IV, LP - New York, NY - Real Estate (3)				x																x												
S	318	*Interaudi Bank - checking account - New York, NY*																																
S	319	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
S	320	*Loan Receivable - Miracle Plaza Marketplace, LLC - Coral Gables, FL - Shopping Center*																																

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		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, 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	321	Summa I LLC c/o Malkin Holdings LLC, New York, NY (20)																																
S	322	JPMorgan Chase (Brokerage Cash) - Newark, DE				x																x												
S	323	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																																
S	324	*First Republic Bank (FRC - NYSE) · Stock - New York, NY*						x										x				x												
S	325	*3G Special Situations Fund II, LP - Private Equity - New York, NY*								x								x				x												
S	326	*3G Special Situations Fund III, LP - Private Equity - New York, NY*							x									x				x												
S	327	*AIM Midstream, LLC - Private Equity - New York, NY*				x												x				x												
S	328	*Aisling Capital II, LP - Private Equity - New York, NY*				x												x				x												
S	329	*Aisling Capital III, LP - Private Equity - New York, NY*				x												x				x												
S	330	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)				x																x												
S	331	*Tempo Participacoes S.A.- Brazil - Healthcare*																																
S	332	*BR Propertoes Brazil - Commercial Real Estate*																																
S	333	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	334	*Fogo de Chao Churrascarias (Holdings, Inc.) - Brazil - Restaurant*																																
S	335	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)			x																	x												
S	336	*San Antonio International Ltd - San Antonio, TX (Energy)*																																
S	337	*Allis Participacoes S.A. - Brazil - Staffing*																																
S	338	*BHG S.A. - Brazil - Hotel Management*																																
S	339	*Magnestia Refratarios SA - Brazil - Manufacturer of refractory material*																																
S	340	*Estacio Participacoes S.A.- Brazil - Education*																																
S	341	*Lecteos Brasil S.A. - Brazil - Dairy Company*																																
S	342	Mission Point Capital Partners Fd - Private Equity - New York, NY (3)					x															x												
S	343	Tinicum Capital Partners II LP - Private Equity - New York, NY (3) (27)						x														x												
S	344	Tower Three Partners Fund II, LP - Private Equity - New York, NY							x									x				x												
S	345	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)						x														x												

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PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	346	PLM/CMB 2001 Trust - New York, NY																																
S	347	JP Morgan Checking Account - Newark, DE						x								x							x											
S	348	RCB Investment Partners LLC - Partnership - New York, NY:																																
S	349	*State Street Bank & Trust Co.(9)*								x					x		x	x									x							
S	350	*Rockefeller US Small Capitalization Fund LP - Private Equity (3) (7) (less than .7 of 1%)*			x										x			x							x									
S	351	*Rockefeller Global Equity Fund II LP - Private Equity (3) (8) (less than .10 of 1%)*				x									x			x								x								
S	352	Loan Receivable - BBSF LLC - Stamford, CT (10)								x							x										x							
S	353	EOAGT, LLC (Owned by CMB 2012 GST) c/o Malkin Holdings LLC, New York, NY (20)																																
S	354	Fidelity - FIMM Fund - Mutual Fund - New York, NY							x										x				x											
S	355	Alibaba Group Holding Ltd - Stock (26)				x																	x											
S	356	Kinrose Fund, LP - Hedge Fund - New York, NY (18) (3)							x														x											
S	357	ContiCoffee - Private Equity - New York, NY (18)					x												x					x										
S	358	Loan Receivable - BBSF LLC - Stamford, CT								x							x										x							
S	359	CMB 2010 TRUST New York, NY (28)																																
S	360	Larrymae Partners LLC - Partnership - New York, NY (underlying assets listed above)	x													x	x													x				
S	361	CMB 2010 FAMILY TRUST New York, NY																																
S	362	Fidelity - FIMM Fund - Mutual Fund - New York, NY		x															x				x											
S	363	Larrymae Partners LLC - Partnership - New York, NY (underlying assets listed above)								x						x	x													x				
S	364	CMB 2009 GRAT New York, NY																																
S	365	JP Morgan Checking Account - New York, NY							x								x							x										
S	366	Peter L. Malkin Family 9 LLC - Partnership - New York, NY (underlying assets listed above)								x					x	x	x	x												x				
S	367	Cynthia Blumenthal Personal Ownership Greenwich, CT																																
S	368	W & M Properties, Inc. - Guardian Life Insurance Policy New York, NY (10)							x														x											
S	369	Malkin Securities Corp. - Investment Partnership - New York, NY (2) (10)	x												x			x													x			

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S	370	Geo Energy Partners LLC - Agoura Hills, CA - Energy (12)			x																royalties					x							7,275
S	371	Greely Gas LTD - Austin, TX - Oil & Gas (2)	x																			x											
S	372	Chelsea Gardens - New York, NY - Co-Op Apartment Building (2) (10)	x													x	x								x								
S	373	**Real Estate Partnerships c/o Empire State Realty Trust, New York NY**																															
S	374	112 West 34th Street Associates, LLC - New York, NY - Commercial - Office Building (10) (24)	x																			x											
S	375	112 West 34th Street Company LLC - New York, NY - Commercial - Office Building (10) (24)	x													x										x							
S	376	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)					x									x										x							
S	377	*Rochester Hills, MN - Residential - Garden Apartments*																															
S	378	*Edison, NJ - CVS Retail Store*																															
S	379	*Painsville, OH - CVS Retail Store*																															
S	380	1400 Broadway Associates LLC - New York, NY - Commercial - Office Building (10) (24)	x																			x											
S	381	Broadway/72nd Associates II PLM JV - New York, NY - Commercial - Office Building (10)								x						x	x											x					
S	382	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (10)					x															x											
S	383	Empire State Realty Trust Inc - Class A (Common Stock) - New York, NY								x								x									x						
S	384	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY (24)							x									x								x							
S	385	Empire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building Construction (24)								x								x											x				
S	386	Peter L. Malkin Joint Venture in KMO-361 Realty Associates - Retail Shopping Centers (3)								x						x												x					
S	387	*St. Davids, PA*																															
S	388	*Manhasset, NY*																															
S	389	*White Plains, NY*																															
S	390	*Paramus, NJ*																															
S	391	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)		x												x							x										

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S	392	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (3)			x											x	x								x										
S	393	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (10)						x														Ordinary						x						40,421
S	394	Malkin Properties of Kansas LLC - Real Estate Management - New York, NY (10)	x																			Ordinary					x							6,192
S	395	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (10)						x														Ordinary								x				249,384
S	396	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (10)							x													Ordinary							x					61,882
S	397	Malkin Properties of Virginia, Inc. - Real Estate Management - New York, NY (10)								x												Ordinary								x				135,564
S	398	Malkin Strategic Capital II, LP - New York, NY (3)		x																			x											
S	399	*JP Morgan - Checking Account - Newark, DE*																																
S	400	*Fidelity - FIMM Fund - Mutual Fund- New York, NY*																																
S	401	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																
S	402	Malkin Support Fund LP - Real Estate - New York, NY:																																
S	403	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*						x										x					x											
S	404	*Loan Receivable - Kansas City Georgetown Associates – Kansas City, KS*						x									x										x							
S	405	Pittsburgh Self-Service Associates LLC - Ross Township, PA - Commercial - Retail (10)			x											x										x								
S	406	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)		x												x									x									
S	407	Uniway Partners LP Malkin JV - New York, NY - Commercial - Retail (10)					x								x	x	x										x							
S	408	U.S. La Roca II LLC PLM JV - Barcelona, Spain - Commercial - Retail (10) (15)							x														x											
S	409	U.S. Madrid LLC - Madrid, Spain - Commercial - Retail (10) (15)							x														x											
DC	410	CLAIRE M. BLUMENTHAL 2012 TRUST - Greenwich, CT (22)																																
DC	411	JP Morgan Checking Account - Newark, DE							x								x								x									
DC	412	RCB Investment Partners LLC - Partnership - New York, NY (23):																																
DC	413	*State Street Bank & Trust Co. - New York, NY - (9)*								x					x		x	x								x								

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DC	414	*Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (7) (less than .7 of 1%)*				x								x			x						x										
DC	415	*Rockefeller Global Equity Fund II LP - Private Equity - New York (3) (8) (less than .10 of 1%)*					x							x			x							x										
DC	416	Real Estate Partnerships c/o Empire State Realty Trust, New York NY	x																															
DC	417	1185 Swap Portfolio II, LP - New York, NY - Real Estate (3) (19)			x										x								x											
DC	418	*Rochester Hills, MN - Residential - Garden Apartments*																																
DC	419	*Edison, NJ - CVS Retail Store*																																
DC	420	*Painsville, OH - CVS Retail Store*																																
DC	421	Chicago Golf Road Limited Partnership - Des Plaines, IL - Residential - Garden Apartments (10)			x										x	x						x												
DC	422	Fairfax Merrifield Associates II - Stamford, CT - Commercial - Office Building (10)					x								x											x								
DC	423	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)		x																		x												
DC	424	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (3)			x																	x												
DC	425	*Memphis, TN*																																
DC	426	*Columbus, OH*																																
DC	427	*Charleston, SC*																																
DC	428	*Raleigh - Durham, NC*																																
DC	429	*Philadelphia, PA*																																
DC	430	*Virginia Beach, VA*																																
DC	431	Malkin Industrial Partners II, LP - Charlestown, MA - Commercial - Office Building (3)			x										x	x							x											
DC	432	Malkin Strategic Capital II, LP - New York, NY (3)		x																		x												
DC	433	*JP Morgan - Checking Account - Newark, DE*																																
DC	434	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
DC	435	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																

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DC	436	Malkin Support Fund LP - New York, NY - Real Estate:																																
DC	437	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*		x														x				x												
DC	438	*Loan Receivable - Kansas City Georgetown Associates – Kansas City, KS*		x																		x												
DC	439	Empire State Realty Trust Inc - Class B (Common Stock) - New York, NY					x											x							x									
DC	440	Empire State Realty OP, LLP - New York, NYEmpire State Realty OP, LLP - New York, NY - 18 Commercial Buildings (Retail & Office) located in New York City, Westchester, and Connecticut, as well as 3 real estate management companies, and a company which performs Interior Building								x								x											x					
DC	441	St. Louis - Georgetown Associates LLC - Shrewsbury, MO - Residential - Garden Apartments (10)			x										x										x									
DC	442	PLM/CLAIRE 1998 TRUST - New York, NY (22)																																
DC	443	JP Morgan Checking Account - New York, NY	x													x							x											
DC	444	RCB Investment Partners LLC - Partnership - New York, NY (23):																																
DC	445	*State Street Bank & Trust Co. - New York, NY (9)*	x											x		x	x										x							
DC	446	*Rockefeller US Small Capitalization Fund LP - Private Equity (3) (7) (less than .7 of 1%)*	x											x			x							x										
DC	447	*Rockefeller Global Equity Fund II LP - Private Equity(3) (8) (less than .10 of 1%)*	x											x			x								x									
DC	448	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																																
DC	449	Louisville Self-Service Associates LLC - Louisville, KY - Commercial - Retail (10)	x													x							x											
DC	450	Malkin Industrial Partners I, LP - Warehouse Distribution Buildings (3)	x											x		x									x									
DC	451	*Memphis, TN*																																
DC	452	*Columbus, OH*																																
DC	453	*Charleston, SC*																																
DC	454	*Raleigh - Durham, NC*																																
DC	455	*Philadelphia, PA*																																
DC	456	*Virginia Beach, VA*																																
DC	457	Malkin Strategic Capital II, LP - New York, NY (3) (19)	x													x											x							

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DC	458	*JP Morgan - Checking Account - Newark, DE*																																
DC	459	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*																																
DC	460	*Loan Receivable - VR Finance LLC - Oxfordshire, UK - Factory Outlet Center*																																
	461	RICHARD BLUMENTHAL																																
	462	Vanguard GNMA Fund (Stock) - ADM. Symbol VFIJX - New York, NY (2)	x															x									x							
	463	Rockefeller Cash and Equivalents - New York, NY (18)				x																x												
	464	Rockefeller Intermediate Tax Exempt Nation Bond Fund - Fixed Income - New York, NY (18)						x										x								x								
	465	Rockefeller Libra Fund LP - Multi Markets Equity Fund - New York, NY (18)							x									x								x								

Footnotes to Part IIIB

1) Currency received from maturing BRL based investments.

2) Fully redeemed during 2014.

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) On July 15, 2014, 29,395 Empire State Realty Trust Inc. Class B shares & 1,380,558 Empire State Realty OP units were received, resulting from the contribution of certain option properties into a publicly traded REIT

5) See attachment - Rockefeller Access Fund I Schedule of Investments as of 12/31/14.

6) See attachment - Rockefeller Access Fund I-06 Schedule of Investments as of 12/31/14.

7) See Attachment - Rockefeller & Co Us Small Capitalization Fund Statement of Transactions & Assets.

8) See attachment - Rockefeller & Co Global Equity Fund II, LP Statement of Transactions & Assets.

9) Not Used

10) Sole underlying asset.

11) See attachment – Steadview Capital Partners, LP Statement of Transactions & Assets.

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) On July 15, 2014, 1,326 Empire State Realty Trust Inc. Class B shares & 60,500 Empire State Realty OP units were received, resulting from the contribution of certain option properties into a publicly traded REIT

14) On July 15, 2014, 44,970 Empire State Realty Trust Inc. Class B shares & 2,077,503 Empire State Realty OP units were received, resulting from the contribution of certain option properties into a publicly traded REIT

15) The entity is managed from London, England.

16) The entity is managed from Greenwich, CT

17) Not Used

18) 2014 Purchases.

19) Not previously reported due to valuation and income not meeting threshold.

20) Entire interest and/or incremental interest was received as a distribution from a liquidating beneficial trust.

21) Received when the entity that owned these supervisory fees was liquidated. Both entities are owned in the same ownership percentages.

22) The PLM/Claire 1998 Trust was liquidated as of 12/31/2014, and all assets were transferred into the Claire M. Blumenthal 2012 Trust.

23) Additional funds were contributed to the partnership in 2014 increasing the ownership percentage.

24) On July 15, 2014, 3,602 Empire State Realty Trust Inc. Class B shares & 165,715 Empire State Realty OP units were received, resulting from the contribution of certain option properties into a publicly traded REIT

25) On October 1, 2014, 9,361 shares of Alibaba Group Holding Ltd were received by the partnership as a distribution from Kinrose Fund, LP

26) On October 1, 2014, 1,877 shares of Alibaba Group Holding Ltd were received by the partnership as a distribution from Kinrose Fund, LP

27) See attached financial statements for underlying assets.

28) The CMB 2010 Trust was liquidated as of 12/31/2014, and all assets were transferred to Cynthia Blumenthal personally.

RRE Ventures
information technology venture capital
130 East 59th Street New York NY 10022 tel 212.418.5100 fax 212.355.0330 www.rre.com

We are pleased to submit our 2014 Annual Report for RRE Ventures III, L.P ("RRE III").

RRE III's gross Internal Rate of Return (IRR) is 13.86%, and its net IRR to Limited Partners (after management fees) is 6.29%. With a DPI of 1.22 and a TVPI of 1.57, RRE III continues to rank in the top-quartile for 2001 vintage funds according to the most recent Cambridge Associates data.

During 2014, the remaining RRE portfolio companies continued to execute well, though a few faced significant challenges:

- **Connected Data** suffered a series of crises in the Fall of 2014 which severely threatened its ability to continue to operate the Drobo business. Meanwhile, the company's Transporter for Business products had a very successful launch.
- **Electric Cloud** saw the Developer Operations market accelerate significantly in 2014 and after meeting plan in 2014, the company enters 2015 with its strongest pipeline ever.
- **OpenPeak** operationalized its partnership with AT&T, selling more than 1 million Toggle licenses during the year. This success has drawn the interest of other major telecom carriers and the company closed a deal with Deutsche Telekom.
- **PrimeRevenue** grew 35% during the year and entered into an Letter of Intent for a growth financing that should generate substantial liquidity on the fund's investment.
- **Rave Mobile Safety** continued its steady execution as the leader in software for emergency management, launching 3 new products, adding 249 new customers and maintaining a 99% renewal rate with existing customers.
- **Roundbox** agreed to be acquired by Quickplay for stock valued at a fraction of the fund's cost. This was a disappointing but not surprising outcome given the slow development of the mobile broadband and datacasting markets.

As we have often noted, RRE III's long initial investment period and the 2008 financial crisis both contributed to the long maturity cycle on this fund. There is still substantial value remaining in RRE III that we expect to realize over the remaining two years of the fund's life.

Our Annual Meeting will be held at 3:00pm on Tuesday, April 21, 2015 at The Empire State Building. Please enter through State Grill & Bar at 350 Fifth Avenue (North side of 33rd Street, between 5th and Broadway). We hope to see you there.

As always, we appreciate your support. If you have questions, please do not hesitate to contact us.

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INVESTMENT ACTIVITY AND RESULTS

RRE III has generated a Gross IRR from inception through December 31, 2014, of 13.86% and a net IRR to LPs of 10.55%. Because management fees are paid directly to RRE Advisors, LLC, they are not included in the determination of net IRR in the fund's financial statements. Including management fees, RRE III has generated a net IRR to LPs from inception through December 31, 2014 of 6.29%. During the year, $1,887,500 was invested in follow on financings for three portfolio companies. Total distributions on RRE III from inception to date are $365,922,044.

A detailed operational update for each active portfolio company is attached as well as a Schedule of Distributions, Schedule of Investing Activity and Manager's Summary. A copy of the fund's audited GAAP financial statements for year ended December 31, 2014 is also available through the investor portal. This information is highly confidential and we ask for your discretion.

James D. Robinson III

James D. Robinson IV

Stuart J. Ellman

Will D. Porteous

Eric D. Wiesen

John R. Hass

Thomas J. Loverro

Adam R. Ludwin

Lenny Pruss

Steve Schlafman

Rifki Zable

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Schedule of Distributions *Inception Through December 31, 2014*

RRE III	Proceeds	Comment
BitPass, Inc.	$ 68,210	Acquired by Digital River, Inc. in January 2007; distributed cash in June 2007
BroadSoft, Inc.	39,395,494	IPO June 2010; distributed cash in June 2010; February and April 2011
ColdWatt, Inc.	116,292	Acquired by Flextronics International Ltd. in July 2008 and December 2009
Cyota, Inc.	19,237,896	Acquired by RSA Security, Inc. in December 2005; distributed cash in January 2006, March 2007 and June 2009
Ember Corporation	8,165,191	Acquired by Silicon Laboratories in July 2012; proceeds used for recallable capital; distributed cash in May 2014
Enpirion, Inc.	9,557,884	Acquired by Altera Corporation in May 2013; distributed cash in August 2013
iCrossing, Inc.	16,791,800	Acquired by Hearst Corporation in June 2010; distributed cash in July 2010 and December 2011
Imation, Inc.	678,335	Shares sold in April 2013; distributed cash in May 2013
Massive Inc.	33,986,464	Acquired by Microsoft Corporation in May 2006; distributed cash in June 2006 and June 2007
MessageOne, Inc.	22,075,813	Acquired by Dell Inc. in February 2008; distributed cash in May 2008 and June 2009
Mintera Corporation	3,768,738	Acquired by Oclaro, Inc. in July 2010; distributed cash in July 2011, escrow proceeds used for recallable capital
Nexsan Technologies, Inc.	7,055,868	Acquired by Imation Corp. December 2012; distributed cash in April 2013
Orchestria Corporation	2,797,132	Acquired by CA, Inc. in December 2008; distributed cash in June 2009, December 2009 and July 2010
Proofpoint, Inc.	43,061,612	IPO April 2012; distributed cash in May 2013
ReefEdge, Inc.	125,619	Assets purchased by Symantec Corporation in April 2005; distributed cash in May 2005
SavaJe Technologies, Inc.	1,000,000	Assets purchased by Sun Microsystems, Inc. in May 2007; distributed cash in June 2007
SmartPay, Ltd.	5,167,115	Acquired by Shenzhen Minghua Technology Co. Ltd in June 2013; distributed cash in May 2014
Tacit Networks, Inc.	14,327,519	Acquired by Packeteer, Inc. in May 2006; distributed cash in June 2006, June 2007 and June 2009
Taqua, Inc.	10,738,085	Acquired by Tekelec in April 2004; distributed cash in April 2004 and December 2005
Vieo, Inc. (Cesura, Inc.)	82,164	Company wound down; distributed cash in April 2008 and May 2013
WisdomTree Investments, Inc.	127,724,813	IPO February 2012; distributed cash in February, November, and December 2012; and March and December 2013
TOTAL	**$365,922,044**	

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Schedule of Investing Activity *for the Year Ended December 31, 2014*

Company	Follow-On Investment
Connected Data, Inc. (f/k/a Drobo, Inc.)	$750,000
Electric Cloud, Inc.	175,000
Roundbox, Inc.	962,500
Total	**$1,887,500**

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RRE III Manager's Summary *as of December 31, 2014*

Current Portfolio	GAAP Cost [1]	Current GAAP Value	Current Gain/Loss
Connected Data, Inc. (f/k/a Drobo, Inc.)	$ 16,588,643	$3,931,660	$ (12,656,983)
Electric Cloud, Inc.	7,287,550	12,791,283	5,503,733
OpenPeak, Inc.	13,045,851	6,548,603	(6,497,248)
PrimeRevenue, Inc.	6,334,449	6,596,521	262,072
Rave Wireless, Inc.	8,357,302	9,898,891	1,541,589
Roundbox, Inc.	12,987,835	2,068,399	(10,919,436)
	$ 64,601,630	$41,835,357	$(22,766,273)

Realized Portfolio	Year Realized	GAAP Cost [1]	Proceeds	Realized Gain/(Loss)
BitPass, Inc.	2007	$ 2,000,000	$ 68,210	$ (1,931,790)
BroadSoft, Inc.	2010	5,051,677	39,395,494	34,343,817
Coldwatt, Inc.	2008	6,422,882	116,292	(6,306,590)
Cyota, Inc.	2005	3,706,000	19,237,896	15,531,896
Ember Corporation	2012	10,457,143	8,165,191	(2,291,952)
Enpirion, Inc.	2013	8,272,946	11,351,421	3,078,475
Flextronics, Inc. (ColdWatt)	2014	752,186	824,321	72,135
iCrossing, Inc.	2010	9,537,903	16,791,800	7,253,897
Imation Corp. (Nexsan)	2013	839,755	990,588	150,833
Massive Inc.	2006	4,191,884	33,986,464	29,794,580
MessageOne, Inc.	2008	6,000,000	22,075,813	16,075,813
Mintera Corporation	2010	10,419,162	3,768,738	(6,650,424)
Nexsan Technologies, Inc.	2012	2,687,739	7,318,100	4,630,361
NTM, Inc.	2009	3,300,000	-	(3,300,000)
Orchestria Corporation	2008	5,249,999	2,797,132	(2,452,867)
ProofPoint, Inc.	2013	8,842,101	43,061,612	34,219,511
ReefEdge, Inc.	2005	6,599,713	125,619	(6,474,094)
SavaJe Technologies, Inc.	2007	14,999,071	1,000,000	(13,999,071)
SmartPay, Ltd.	2013	6,080,883	6,158,368	77,485
Tacit Networks, Inc.	2006	7,015,309	14,327,519	7,312,210
Taqua, Inc.	2004	5,000,000	10,738,085	5,738,085
Teja Technologies, Inc.	2007	3,442,452	-	(3,442,452)
Vieo, Inc. (Cesura, Inc.)	2006	4,334,000	82,164	(4,251,836)
WisdomTree Investments, Inc.	2012	4,535,000	127,724,813	123,189,813
		139,737,805	370,105,640	230,367,835
TOTAL FUND [2]		**$204,339,435**	**$411,940,997**	**$207,601,562**

(1) GAAP Cost includes capitalized interest and other non-cash additions in addition to invested capital.
(2) Total Fund Proceeds includes both Proceeds and Current GAAP Value.

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Active Company
Operational Updates

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connected data

(FKA Drobo)

Overview

Industry:	Storage	**CEO:**	Geoff Barrall
Location:	Santa Clara, CA	**Founder:**	Geoff Barrall
Website:	Connecteddata.com	**Year Founded:**	2005
RRE Lead:	Will Porteous (Observer)	**Headcount:**	87

Connected Data develops award-winning data storage products for individuals and small and medium size businesses. The Company provides an unprecedented combination of data protection and management features, affordable capacity and ease-of-use. RRE was the founding investor in Drobo, a predecessor company, in 2005.

Financings & Valuation

Financing History: *($ millions)*

Date	Series	Total Raised	Valuation (post-$)	RRE Invested*
May-2012	Series Seed	$2.0	$6.2	-
Nov-212	Series Seed-2	$2.9	$14.6	-
Jun-2013	Series A	$7.0	$44.3	$2.8
Aug-2014	Series B	$15.0	$62.7	-

* In 2005-2013 RRE III invested $13.8 million in preferred shares and convertible notes of Drobo, Inc., which merged with Connected Data in 2013 in exchange for common shares.

RRE Investment

Investment Cost:	$16,588,643	**Enterprise Value:**	$62.7 million
RRE Fair Value:	$3,931,660	**Basis for Valuation:**	Series B valuation
Multiple of Cost:	0.2x	**Implied Valuation Multiple:**	2.4x 2014A revenues

Ownership

RRE III Ownership:	6.3%	**Management & Employees:**	35.0%
Other Investors:	58.7%		
Co-Investors:	Floodgate Fund, Northgate Capital		

Operational Update

Connected Data suffered a difficult series of setbacks in the second half of the year. In September, VP of Engineering Brian Lazara was killed in a tragic accident and CFO John Westfield resigned to accept a major corporate finance position at Western Digital. In October, the Company's principal supplier, USI, dramatically shifted payment terms forcing the Company to re-plan substantially and the Company may require an interim financing. CEO Geoff Barrall has recruited talented new leaders in engineering and finance, including CFO Gene Spies from former RRE portfolio company Nexsan. In Q4 the Company launched its "Transporter for Business" product line, giving enterprises a secure, private alternative to Dropbox and Box.net. The products have been well received by Beta customers and strategic partners are showing interest. If the Company is able to secure sufficient financing, we believe this product line can drive valuable new business growth.

Financial Snapshot

Income Statement ($M):

	2011A	2012A	2013A	2014A	2015E
Revenue	$38.0	$29.0	$23.4	$26.1	N.M.
Growth %	*58%*	*(22%)*	*(19%)*	*11%*	
Expenses	49.0	41.7	34.4	38.3	N.M
Op. Income	($11.0)	($12.7)	($11.0)	($12.2)	N.M

Balance Sheet ($M):

	12/31/2014
Total Cash	$6.6
Total Debt	$2.0

Cash Flows ($M):

Net Cash Burn Per Month Prev. Qrtr.	($1.1)
Estimated Runway (Mos.)	6

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Overview

Industry:	Software Development Infrastructure	**CEO:**	Steve Brodie
Location:	Sunnyvale, CA	**Founder:**	John Ousterhout
Website:	Electric-cloud.com	**Year Founded:**	2002
RRE Lead:	Will Porteous	**Headcount:**	152

Electric Cloud develops products to improve the test and build processes used by software development organizations. The Company's award-winning products help development organizations speed time-to-market, boost developer productivity, and improve software quality while leveraging the operational efficiencies provided by virtual cloud infrastructures.

Financings & Valuation

Financing History: *($ millions)*

Date	Series	Total Raised	Valuation (post-$)	RRE Invested
May-02	Series A	$5.1	$21.5	-
Jun-04	Series B	$8.0	$32.2	$4.0
Dec-06	Series C	$9.0	$46.8	$1.7
Jun-08	Series D	$7.0	$70.3	$0.3
Aug-13	Series E	$13.0	$87.7	$1.3

RRE Investment

Investment Cost:	$7,287,550	**Enterprise Value:**	$87.7 million
RRE Fair Value:	$12,791,283	**Basis for Valuation:**	Series E valuation
Multiple of Cost:	1.8x	**Implied Valuation Multiple:**	3.1x 2015E revenues

Ownership

RRE III Ownership: 12.3% **Management & Employees:** 33.5%
Other Investors: 54.2%
Co-Investors: US Venture Partners, Mayfield Fund, Rembrandt Venture Partners, Siemens Venture Capital

Operational Update

Electric Cloud achieved 98% of its 2014 revenue plan. Unfortunately, the Company had a tough finish to Q4 and was unable to close a number of major opportunities. This is consistent with the pattern we have seen over the years that this business is irregular and difficult to forecast. The Company enters 2015 with a very strong pipeline bolstered by last year's new product launches and new positioning around Developer Operations. We expect continued solid growth from Electric Cloud in 2015 and believe it can become a market leader in Developer Operations in ways that can eventually lead to a high value outcome.

Financial Snapshot

Income Statement ($M):

	2011A	2012A	2013A	2014A	2015E
Revenue	$17.0	$19.6	$19.0	$18.1	$28.1
Growth %	*(7%)*	*15%*	*(3%)*	*(5%)*	*55%*
Expenses	22.4	22.5	24.3	31.8	37.2
Op. Income	($5.4)	($2.9)	($5.3)	($13.7)	($9.1)

Balance Sheet ($M):

	12/31/2014
Total Cash	$8.7
Total Debt	$8.0

Cash Flows ($M):

Net Cash Burn Per Month Prev. Qrtr.	CF+
Estimated Runway (Mos.)	n/a

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OPENPEAK

Overview

Industry:	Mobile Device Management	**CEO:**	Dan Gittleman
Location:	Boca Raton, FL	**Founder:**	Dan Gittleman
Website:	Openpeak.com	**Year Founded:**	2002
RRE Lead:	Jim Robinson IV (Director)	**Headcount:**	166

OpenPeak offers a comprehensive software platform that enables enterprise management of employees' personal mobile devises, company-liable devices, applications, voice and data services. The Company's platform is provided as a white-label enterprise mobility management solution and offered through carriers to enterprise and SMB customers. The Company holds over 155 U.S. and worldwide patents and applications.

Financings & Valuation

Financing History: *($ millions)*

Date	Series	Total Raised	Valuation (post-$)	RRE Invested
May-02	Series A	$10.5	$57.5	-
Feb-04	Series B-1	$4.4	$90.5	-
Feb-05	Series B-3	$4.5	$129.3	-
Mar-06	Series C	$30.9	$160.2	$11.5*
Dec-08	Series D	$26.1	$344.2	$0.5
Apr-10	Series E	$12.8	$445.3	$0.1
Nov-13	Series 1 / Series 2	$23.6	$148.6	$0.9

* Includes $9.5 million invested in Series C and $2.0 million invested in common shares.

Note: OpenPeak underwent a recapitalization as part of its November 2013 financing. All preferred converted to common shares and all notes outstanding converted to Series 2 preferred shares.

RRE Investment

Investment Cost:	$13,045,851	**Enterprise Value:**	$148.6 million
RRE Fair Value:	$6,548,603	**Basis for Valuation:**	Series 2 valuation
Multiple of Cost:	0.5x	**Implied Valuation Multiple:**	2.3x 2015E revenues

Ownership

RRE III Ownership: 3.7% **Management & Employees:** 31.4%
Other Investors: 64.9%
Co-Investors: GMG Capital Partners, Ritchie Capital, Millennium Technology Ventures

Operational Update

OpenPeak continued to perform steadily in 2014 while improving its product offering, building its customer base and securing key patents. The Company signed up over 1 million AT&T Toggle licenses in 2014 and will focus on activations in 2015. The Company signed Deutsche Telecom as a channel partner with the first customer expected to be activated on the "SAPP" production platform in early 2015. OpenPeak's SECTOR network is now the largest ecosystem of 3rd party business apps that have added security features and IT management capabilities. The Company will pursue a new round of financing in Q1 2015.

Financial Snapshot

Income Statement ($M):

	2011A	2012A	2013A	2014A	2015E
Revenue	$35.7	$11.8	$2.8	$10.6	$65.3
Growth %	*145%*	*(67%)*	*(76%)*	*279%*	*516%*
Expenses	54.9	33.4	31.1	31.8	39.6
Op. Income	($19.2)	($21.6)	($28.3)	($21.2)	$25.7

Balance Sheet ($M):

	12/31/2014
Total Cash	$0.8
Total Debt	$7.2

Cash Flows ($M):

Net Cash Burn Per Month Prev. Qrtr.	($2.30)
Estimated Runway (Mos.)	-

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PRIMEREVENUE OpenSCi™

Overview

Industry:	Supply Chain Finance Solutions	**CEO:**	P.J. Bain
Location:	Atlanta, GA	**Founder:**	Robert Barnes
Website:	Primerevenue.com	**Year Founded:**	2003
RRE Lead:	Jim Robinson III (Director)	**Headcount:**	111

PrimeRevenue develops and markets Financial Supply Chain (FSC) software that provides automated payables presentment and financial settlement solutions to Global 2000 organizations and their suppliers. By utilizing a low-cost third party financing source, the Company allows large purchasers to lengthen their payment terms and enables suppliers to receive payments for billed invoices more quickly. The Company has over 40 financial partners, including Bank of America, RBS and Wells Fargo.

Financings & Valuation

Financing History: *($ millions)*

Date	Series	Total Raised	Valuation (post-$)	RRE Invested
Oct-04	Series A	$12.1	$34.0	-
Jun-07	Series B	$20.0	$51.8	$5.9
Jul-09	Series C	$2.9	$54.7	$0.4

RRE Investment

Investment Cost:	$6,334,449	**Enterprise Value:**	$47.1 million
RRE Fair Value:	$6,596,521	**Basis for Valuation:**	Letter of intent
Multiple of Cost:	1.0x	**Implied Valuation Multiple:**	2.0x 2015E revenues

Ownership

RRE III Ownership: 12.0% **Management & Employees:** 21.8%
Other Investors: 66.2%
Co-Investors: Battery Ventures, River Capital

Operational Update

Prime Revenue exceeded its revenue plan for 2014 and continue to operate with positive EBITDA. In the second half of 2014, the Company's new software products accelerated in gaining traction. The Company was again recognized by Global Trade Review as the Best Supply Chain Finance Platform and several new customers and banks signed contracts. The Company is in discussions to add new growth capital from a major strategic investor.

Financial Snapshot

Income Statement ($M):

	2011A	2012A	2013A	2014A	2015E
Revenue	$11.1	$12.1	$13.2	$17.8	$23.2
Growth %	*36%*	*9%*	*9%*	*35%*	*30%*
Expenses	9.5	12.3	12.2	16.9	22.7
Op. Income	$1.6	($0.2)	$1.0	$0.9	$0.5

Balance Sheet ($M):

	12/31/2014
Total Cash	$1.9
Total Debt	$1.2

Cash Flows ($M):

Net Cash Burn Per Month Prev. Qrtr.	($0.03)
Estimated Runway (Mos.)	63

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Rave
MOBILE SAFETY

Overview

Industry:	Mobile Safety SaaS	**CEO:**	Tom Axbey
Location:	Framingham, MA	**Founder:**	Rodger Desai
Website:	Ravemobilesafety.com	**Year Founded:**	2004
RRE Lead:	Stuart Ellman	**Headcount:**	53

Rave Mobile Safety designs, sells and supports an award-winning suite of mobile safety Software-as-a-Service (SaaS) applications for individual, group and public safety. Hundreds of organizations and millions of individuals nationwide rely on Rave Mobile Safety solutions for improved safety in communities, at schools, at home and at work.

Financings & Valuation

Financing History: *($ millions)*

Date	Series	Total Raised	Valuation (post-$)	RRE Invested
Nov-04	Series A	$5.1	$8.4	-
Mar-06	Series B	$12.4	$39.9	$5.0
Aug-07	Series C	$11.0	$52.1	$1.9
Oct-08	Series D	$7.0	$30.6	$1.2
Dec-10	Series E	$4.0	$34.6	$0.2

RRE Investment

Investment Cost:	$8,357,302	**Enterprise Value:**	$41.2 million
RRE Fair Value:	$9,898,891	**Basis for Valuation:**	Industry comparables
Multiple of Cost:	1.2x	**Implied Valuation Multiple:**	2.7x 2015E revenues

Ownership

RRE III Ownership: 11.7% **Management & Employees:** 21.6%
Other Investors: 66.7%
Co-Investors: Bain Capital Ventures, Sigma Partners

Operational Update

Rave Mobile Safety continues to make significant strides towards its mission to be the leading communications software provider for emergency preparedness and faster response. The Company had a 99% customer renewal rate in 2014 and added 249 new contracts during the year including expansions of the Smart911 product in Mississippi and Minnesota and additions of Arizona, Alabama, and Michigan states. Due to the introduction of three new product lines in 2014—the Guardian app, Panic Button app, and Snap Send—and increased sales funnel, Rave brought on a Director of Channels, Dan Hoaglund, former Sales Director for State, Local, and Public Safety at Oracle.

Financial Snapshot

Income Statement ($M):

	2011A	2012A	2013A	2014A	2015E
Revenue	$4.8	$6.6	$9.6	$11.7	$15.2
Growth %	*46%*	*37%*	*45%*	*22%*	*30%*
Expenses	7.5	8.9	10.3	12.1	17.1
Op. Income	($2.7)	($2.3)	($0.7)	($0.4)	($1.9)

Balance Sheet ($M):

	12/31/2014
Total Cash	$4.9
Total Debt	$0.2

Cash Flows ($M):

Net Cash Burn Per Month Prev. Qrtr.	($0.21)
Estimated Runway (Mos.)	23

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roundbox

Overview

Industry:	Mobile Broadcast TV	**CEO:**	Dennis Specht
Location:	Florham Park, NJ	**Founder:**	Dennis Specht / Jim Nelson / Hong Jiang
Website:	Roundbox.com	**Year Founded:**	2003
RRE Lead:	Eric Wiesen (Director)	**Headcount:**	7

Roundbox is a leading provider of software solutions driving the convergence of mobile and broadcast. Through its various technologies, the Company delivers innovative mobile broadcast applications to customers, new audiences to broadcasters, new features for device manufacturers, and new media experiences for the next generation of mobile consumers.

Financings & Valuation

Financing History: *($ millions)*

Date	Series	Total Raised	Valuation (post-$)	RRE Invested
Jul-04	Series A	$0.3	$20.5	-
Jan-05	Series A-1	$6.2	$23.4	$3.0
Apr-06	Series B	$15.0	$47.9	$3.6
May-08	Series C	$16.5	$75.9	$4.0
Sept-13	Series D	$6.3	$23.7	$2.1

RRE Investment

Investment Cost:	$12,987,835	**Enterprise Value:**	$5.0 million
RRE Fair Value:	$2,068,399	**Basis for Valuation:**	Acquisition offer
Multiple of Cost:	0.2x		

Ownership

RRE III Ownership:	26.4%	**Management & Employees:**	17.4%
Other Investors:	56.2%		
Co-Investors:	Core Capital, Polaris Ventures, Citrix, Ericsson		

Operational Update

Roundbox agreed to be acquired by Quickplay, Inc. in late 2014 for Quickplay shares. The majority of management's time and the Board's attention has been devoted to consummating this transaction. Despite having strong technology and evidence of market adoptions, the datacasting, mobile broadband and eventually LTE markets didn't develop quickly enough for Roundbox to become a commercially viable business.

Financial Snapshot

Income Statement ($M):

	2011A	2012A	2013A	2014A	2015E
Revenue	$2.0	$0.2	$0.1	$0.1	N/A
Growth %	*25%*	*(90%)*	*50%*	*0%*	
Expenses	4.9	2.0	2.1	2.4	N/A
Op. Income	($2.9)	($1.9)	($2.0)	($2.3)	N/A

Balance Sheet ($M):

	12/31/2014
Total Cash	$0.2
Total Debt	$0.0

Cash Flows ($M):

Net Cash Burn Per Month Prev. Qrtr.	($0.17)
Estimated Runway (Mos.)	1

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CONFIDENTIAL

EISNERAMPER

RRE VENTURES IV, L.P.

(a Delaware Limited Partnership)

FINANCIAL STATEMENTS

DECEMBER 31, 2014

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RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
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INDEPENDENT AUDITORS' REPORT

To the General Partner of
RRE Ventures IV, L.P.

Report on the Financial Statements

We have audited the accompanying financial statements of RRE Ventures IV, L.P., which comprise the statement of assets, liabilities and partners' capital, including the schedule of portfolio investments, as of December 31, 2014, and the related statements of operations, changes in partners' capital and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of RRE Ventures IV, L.P., as of December 31, 2014, and the results of its operations, changes in its partners' capital and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

EisnerAmper LLP

New York, New York
February 25, 2015

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NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[7] Income taxes: (continued)

Tax laws are complex and subject to different interpretations by the taxpayer and taxing authorities. Significant judgment is required when evaluating tax positions and related uncertainties. Future events such as changes in tax legislation could require a provision for income taxes and any such changes could significantly affect amounts reported in the statement of operations.

[8] Indemnifications:

In the normal course of business, the Partnership may enter into contracts that contain a variety of representations and warranties and which provide indemnifications. The Partnership's maximum exposure under these arrangements is unknown as this would involve future claims that may be made against the Partnership that have not yet occurred.

[9] Foreign currency translation:

Assets and liabilities denominated in foreign currencies are translated into United States dollar amounts at the period-end exchange rates. Purchases and sales of investments and income and expenses that are denominated in foreign currencies are translated into United States dollar amounts at the prevailing rates of exchange on the transaction date. Adjustments arising from foreign currency transactions are reflected in the statement of operations.

The Partnership does not isolate that portion of the results of operations arising from the effect of changes in foreign exchange rates on investments from fluctuations arising from changes in market prices of investments held. Such fluctuations are included with the net realized gain or net change in unrealized appreciation on investments in the statement of operations.

NOTE C - KEY PARTNERSHIP TERMS

[1] Capital commitments:

The Partnership received capital commitments of $595,961,940 on May 20, 2004. Additional commitments of $572,638,060 were subscribed to on December 31, 2005, which increased total Partnership commitments to $1,168,600,000 (including $2,747,500 from the General Partner and $337,904,500 from affiliates). Of this amount, $77,213,874 or 6.6% had not been called as of December 31, 2014. In addition, the Partnership has cumulatively returned $113,182,525 of Temporary Investments which is subject to recall from the Partners.

[2] Distributions:

Each distribution of net profits (including in-kind distributions of securities representing net profits) and all distributions representing a return of capital to the Partners (i.e., a distribution other than out of net profits or short-term investment income and including in-kind distributions of securities representing a return of capital) shall be tentatively apportioned among the Partners having an interest in the investment giving rise to the distribution pro rata in accordance with their respective commitments, and the amount tentatively apportioned to each Limited Partner shall be further apportioned between such Limited Partner and the General Partner in the following priority:

(a) First, 100% to such Limited Partner until such Limited Partner has received distributions equal to its share of the aggregate Realized Investment Amount in investments in which such Partner shall participate;

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RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Advertising Technology:			
Adstruc, Inc. (New York, NY)			
396,746 Series Seed Preferred Stock shares	$ 200,000	$ 763,246	0.14%
233,916 Series A Preferred Stock shares	225,000	449,999	0.08%
	425,000	1,213,245	0.22%
Netsertive, Inc. (Morrisville, NC)			
3,620,565 Series A Preferred Stock shares	2,500,000	9,042,820	1.60%
1,175,318 Series B Preferred Stock shares	1,579,332	2,935,506	0.52%
520,000 Series B-1 Preferred Stock shares	1,297,213	1,298,767	0.23%
	5,376,545	13,277,093	2.35%
Pontiflex, Inc. (dba Crossboard Mobile) (Brooklyn, NY)			
500,000 Series AA Preferred Stock shares	500,000	-	0.00%
20,000 Series AA-1 Preferred Stock shares	3,166,455	-	0.00%
27,861 Common Stock shares	4,411,030	-	0.00%
6% Convertible Promissory Note, due on 11/20/2014	227,273	-	0.00%
	8,304,758	-	0.00%
Yieldbot, Inc. (New York, NY)			
275,000 Seed Preferred Stock shares	275,000	1,940,400	0.34%
76,043 Series A Preferred Stock shares	153,304	536,559	0.10%
105,943 Series A-1 Preferred Stock shares	445,088	747,534	0.13%
105,372 Series B Preferred Stock shares	743,505	743,505	0.13%
	1,616,897	3,967,998	0.70%
Total Advertising Technology	15,723,200	18,458,336	3.27%
E-Commerce / Commerce Infrastructure:			
eRecycling Group, Inc. (dba Hyla Mobile) (Irving, TX)			
1,891,909 Series A Preferred Stock shares	4,655,640	34,354,771	6.08%
127,358 Series B Preferred Stock shares	1,002,905	2,312,667	0.41%
55,070 Series C Preferred Stock shares	1,000,004	1,000,004	0.18%
	6,658,549	37,667,442	6.67%
Quirky, Inc. (New York, NY)			
3,455,083 Series A Preferred Stock shares	3,500,000	20,808,863	3.69%
2,366,537 Series A-2 Preferred Stock shares	3,000,000	14,252,897	2.53%
1,170,782 Series B Preferred Stock shares	2,499,999	7,051,247	1.25%
1,279,994 Series C Preferred Stock shares	4,268,908	7,708,996	1.37%
664,156 Series D Preferred Stock shares	4,000,000	4,000,000	0.71%
24,878 Common Stock shares	42,541	149,832	0.03%
	17,311,448	53,971,835	9.58%
RecycleRewards, Inc. (dba RecycleBank) (New York, NY)			
6,563,137 Series A Preferred Stock shares	6,500,000	3,411,826	0.60%
3,771,625 Series B Preferred Stock shares	7,500,233	1,960,668	0.35%
2,499,999 Series C Preferred Stock shares	5,499,998	1,299,617	0.23%
373,952 Series E Preferred Stock shares	1,133,074	194,398	0.03%
814,581 Common Stock shares	881,955	423,457	0.08%
	21,515,260	7,289,966	1.29%
STELLAService, Inc. (New York, NY)			
428,640 Seed Preferred Stock shares	225,000	785,874	0.14%
278,810 Series A Preferred Stock shares	300,000	511,173	0.09%
256,637 Series B Preferred Stock shares	470,522	470,522	0.08%
125,000 Common Stock shares	194,800	229,177	0.04%
	1,190,322	1,996,746	0.35%

See accompanying notes to Financial Statements

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RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
E-Commerce / Commerce Infrastructure (continued):			
Yipit, Inc. (New York, NY)			
528,764 Series A Preferred Stock shares	$ 250,000	$ 741,634	0.13%
Total E-Commerce / Commerce Infrastructure	46,925,579	101,667,623	18.02%
Enterprise Systems and Software:			
Datadog, Inc. (New York, NY)			
144,825 Seed Preferred Stock shares	100,000	554,781	0.10%
18,724 Series B Preferred Stock shares	71,726	71,726	0.01%
	171,726	626,507	0.11%
FluidInfo, Inc. (New York / UK)			
329,056 Series A Preferred Stock shares	200,000	-	0.00%
82,264 Series A-1 Preferred Stock shares	50,000	-	0.00%
	250,000	-	0.00%
Nodejitsu, Inc. (San Francisco, CA)			
484,366 Series A Preferred Stock shares	316,307	-	0.00%
8% Convertible Promissory Note, due on 3/1/2015	100,000	100,000	0.02%
	416,307	100,000	0.02%
Sailthru, Inc. (New York, NY)			
675,000 Seed Preferred Stock shares	150,000	3,160,215	0.57%
218,829 Series B Preferred Stock shares	588,562	1,024,514	0.18%
98,213 Series C Preferred Stock shares	459,814	459,814	0.08%
	1,198,376	4,644,543	0.83%
Scout Analytics, Inc. (Issaquah, WA)			
Escrow	-	1,081,103	0.19%
WhipTail Technologies, Inc. (Whippany, NJ)			
Escrow	119,265	1,293,113	0.23%
Xobni, Inc. (San Francisco, CA)			
Escrow	453,527	645,339	0.11%
Total Enterprise Systems and Software	2,609,201	8,390,605	1.49%
Financial Services / Financial Technology:			
Boom Financial, Inc. (Mountain View, CA)			
3,085,800 Series A Preferred Stock shares	3,000,015	2,044,034	0.36%
5,111,729 Series B Preferred Stock shares	5,168,180	3,386,009	0.60%
377,415 Series C Preferred Stock shares	499,999	250,000	0.04%
6% Convertible Promissory Note, due on 11/4/2015	1,250,200	1,250,200	0.22%
	9,918,394	6,930,243	1.22%
Braintree, Inc. (Philadelphia, PA)			
Escrow	17,247	59,960	0.01%
K2 Intelligence, Inc. (New York, NY)			
1,562,500 Series A Preferred Stock shares	500,000	1,072,752	0.19%
1,462,969 Series B Preferred Stock shares	1,199,635	1,735,903	0.31%
	1,699,635	2,808,655	0.50%
Kroll Bond Rating Agency (New York, NY)			
2,703,500 Series A Preferred Stock shares	7,786,080	10,732,895	1.91%
157,998 Series B Preferred Stock shares	627,252	627,252	0.11%
	8,413,332	11,360,147	2.02%

See accompanying notes to Financial Statements

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RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Financial Services / Financial Technology (continued):			
On Deck Capital, Inc. (NYSE: ONDK) (New York, NY)			
8,627,396 Common Stock shares	$ 15,673,330	$ 174,161,243	30.88%
Trusted Insight, Inc. (New York, NY)			
100,000 Series A Preferred Stock shares	100,000	100,000	0.02%
4% Convertible Promissory Note, due on 3/15/2015	50,000	50,000	0.01%
	150,000	150,000	0.03%
Tykoon, Inc. (New York, NY)			
250,000 Seed 1 Preferred Stock shares	250,000	250,000	0.04%
100,000 Seed 2 Preferred Stock shares	250,000	250,000	0.04%
	500,000	500,000	0.08%
Total Financial Services / Financial Technology	36,371,938	195,970,248	34.74%
Hardware / Products:			
Tendril Networks, Inc. (Boulder, CO)			
5,244,847 Common Stock shares	15,560,326	-	0.00%
Total Hardware / Products	15,560,326	-	0.00%
Media:			
AdaptiveBlue, Inc. (dba i.TV) (New York, NY)			
1,894,229 Series B Preferred Stock shares	3,617,977	1,268,119	0.22%
490,196 Series C Preferred Stock shares	1,500,000	442,652	0.08%
492,666 Series D Preferred Stock shares	1,866,317	505,687	0.09%
304,590 Common Stock shares	750,001	-	0.00%
8% Convertible Promissory Note, due 12/18/2015	131,579	131,579	0.02%
	7,865,874	2,348,037	0.41%
Betaworks Studio, LLC (New York, NY)			
628,338 Series A Preferred Units	-	4,697,895	0.83%
1,536,015 Series B Preferred Units	-	11,484,323	2.04%
227,287 Series B-1 Preferred Units	1,052,779	1,699,357	0.30%
	1,052,779	17,881,575	3.17%
Bit.ly, Inc. (New York, NY)			
4,489,943 Series B Preferred Stock shares	5,000,001	7,302,443	1.29%
1,112,508 Series C Preferred Stock shares	1,691,525	1,809,383	0.32%
51,774 Common Stock shares	54,363	84,205	0.01%
	6,745,889	9,196,031	1.62%
Business Insider, Inc. (New York, NY)			
2,040,816 Series C Preferred Stock shares	3,000,000	11,738,613	2.08%
477,454 Series D Preferred Stock shares	1,800,002	2,746,278	0.49%
119,277 Series E Preferred Stock shares	499,997	686,072	0.12%
260,782 Series F Preferred Stock shares	1,499,995	1,499,998	0.27%
	6,799,994	16,670,961	2.96%
BuzzFeed, Inc. (New York, NY)			
2,200,620 Series B Preferred Stock shares	3,999,998	68,513,223	12.15%
293,521 Series C Preferred Stock shares	905,441	9,138,365	1.62%
622,797 Series D Preferred Stock shares	5,000,000	19,389,913	3.44%
	9,905,439	97,041,501	17.21%
Kohort, Inc. (Burlington, VT)			
666,666 Seed Preferred Stock shares	200,000	-	0.00%

See accompanying notes to Financial Statements

RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Media (continued):			
mobiTeris, Inc. (dba BuyFi) (San Jose, CA)			
5% Convertible Promissory Note, due 5/15/2015	$ 200,000	$ 200,000	0.04%
PopDust, Inc. (New York, NY)			
136,062 Series A-3 Preferred Stock shares	375,000	625,885	0.11%
52,533 Series A-4 Preferred Stock shares	241,652	241,652	0.04%
	616,652	867,537	0.15%
Relationship Science LLC (New York, NY)			
50,000 Series A Preferred Units	50,000	417,922	0.07%
SocialFlow, Inc. (New York, NY)			
911,632 Series A Preferred Stock shares	1,499,999	901,765	0.16%
182,326 Series A -1 Preferred Stock shares	299,999	396,821	0.07%
1,679,261 Series B Preferred Stock shares	800,000	1,058,193	0.19%
91,163 Warrants for Common Stock, expiring 5/11/2017	-	-	0.00%
	2,599,998	2,356,779	0.42%.
Spanfeller Media Group, Inc. (New York, NY)			
500,000 Series A Preferred Stock shares	250,000	535,475	0.09%
140,062 Series B Preferred Stock shares	100,000	150,000	0.03%
	350,000	685,475	0.12%
This Life, Inc. (dba HowAboutWe) (Brooklyn, NY)			
387,597 Series A Preferred Stock shares	2,500,001	1,446,551	0.26%
849,936 Series B Preferred Stock shares	3,493,237	2,021,258	0.36%
411,523 Series B-2 Preferred Stock shares	2,000,002	1,157,242	0.21%
	7,993,240	4,625,051	0.83%
Total Media	44,379,865	152,290,869	27.00%
Mobile Software:			
Good Technology Corporation (Sunnyvale, CA)			
303,238 Series B-2 Preferred Stock shares	381,999	1,244,791	0.22%
Kik Interactive, Inc. (Canada)			
1,139,254 Class A Preferred Stock shares	3,000,000	27,128,705	4.81%
249,491 Class B Preferred Stock shares	2,909,667	5,941,054	1.05%
112,708 Class C Preferred Stock shares	2,683,881	2,683,881	0.48%
379,751 Common Stock shares	1,000,000	9,042,897	1.60%
	9,593,548	44,796,537	7.94%
Payfone, Inc. (New York, NY)			
3,200,000 Series A Preferred Stock shares	1,600,000	9,614,111	1.70%
2,242,272 Series B Preferred Stock shares	2,103,724	6,736,704	1.20%
1,215,011 Series C-1 Preferred Stock shares	3,463,408	7,113,799	1.26%
	7,167,132	23,464,614	4.16%
Skyhook Wireless, Inc. (Boston, MA)			
Escrow	580,714	598,767	0.11%
Total Mobile Software	17,723,393	70,104,709	12.43%

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See accompanying notes to Financial Statements

RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Other:			
Affinity Holdings Group Ltd. (China / New York)			
166,667 Common Units	$ 100,000	$ 100,000	0.02%
129,825 Seed Preferred Units	280,000	280,000	0.05%
8% Convertible Promissory Note, due 12/17/2014	150,000	150,000	0.03%
Convertible Promissory Note	50,000	50,000	0.01%
	580,000	580,000	0.11%
FinTech Innovation Lab, LLC (New York, NY)			
Membership Interest	19,100	16,013	0.00%
SeedStart 2010, LLC (New York, NY)			
Membership Interest	25,000	24,316	0.00%
SeedStart 2011, LLC (New York, NY)			
Membership Interest	37,000	13,627	0.00%
SeedStart 2013, LLC (New York, NY)			
Membership Interest	34,100	33,818	0.01%
TechStars NYC 2011 LLC (Boulder, CO)			
Membership Interest	74,366	224,857	0.04%
Total Other	769,566	892,631	0.16%
Technology Enabled Services:			
Mobo Systems, Inc. (dba OLO) (New York, NY)			
107,133 Series A-1 Preferred Stock shares	3,000,003	12,684,440	2.25%
16,407 Series B Preferred Stock shares	194,256	194,257	0.03%
4,472 Warrants for Series B Preferred Stock, expires on 9/29/2018	-	52,948	0.01%
105,576 Series C Preferred Stock shares	1,250,009	1,250,009	0.22%
4,352 Warrants for Series C Preferred Stock, expires on 10/10/2024	4	51,527	0.01%
	4,444,272	14,233,181	2.52%
Total Technology Enabled Services	4,444,272	14,233,181	2.52%
Total Investments	$ 184,507,340	$ 562,008,202	99.63%

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See accompanying notes to Financial Statements

RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Statement of Operations
For the Year Ended December 31, 2014

Income	
Interest income	$ 600
Total income	600
Expenses	
Professional fees and other expenses	293,671
Total expenses	293,671
Net investment loss	(293,071)
Net realized gain/(loss) and net change in unrealized gain/(loss) and foreign currency translation on investments	
Net realized loss on investments	(3,153,952)
Net change in unrealized gain and foreign currency translation on investments	80,992,771
Net realized gain/(loss) and net change in unrealized gain/(loss) and foreign currency translation on investments	77,838,819
Net increase in Partners' Capital from operations	$ 77,545,748

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See accompanying notes to Financial Statements

RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Statement of Changes in Partners' Capital
For the Year Ended December 31, 2014

	General Partner	Limited Partners	Total
Balance, December 31, 2013	$ 65,685,750	$ 422,919,486	$ 488,605,236
Capital contributions	331,755	12,510,300	12,842,055
Distributions	(383,979)	(14,479,770)	(14,863,749)
Net investment loss	(7,572)	(285,499)	(293,071)
Net realized loss on investments	(81,477)	(3,072,475)	(3,153,952)
Net change in unrealized gain and foreign currency translation on investments	17,200,809	63,791,962	80,992,771
Balance, December 31, 2014	$ 82,745,286	$ 481,384,004	$ 564,129,290

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See accompanying notes to Financial Statements

RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Statement of Cash Flows
For the Year Ended December 31, 2014

Cash flows from operating activities:		
Net increase in Partners' Capital resulting from operations	$	77,545,748
Adjustments to reconcile net increase in Partners' Capital resulting from operations to net cash provided by operating activities:		
Net realized loss on investments		3,153,952
Net change in unrealized gain and foreign currency translation on investments		(80,992,771)
Changes in assets and liabilities:		
Purchase of portfolio investments		(10,202,650)
Proceeds from portfolio investments		13,773,419
Prepaid expenses		15,286
Due to affiliate		1,193,502
Accrued expenses		4,420
Due to partners		(7,115)
Net cash provided by operating activities		4,483,791
Cash flows from financing activities:		
Capital contributions		9,498,706
Contributions received in advance		(143,344)
Distributions		(11,520,400)
Proceeds from capital call line of credit		1,683,882
Repayment of capital call line of credit		(1,683,882)
Net cash used in financing activities		(2,165,038)
Net increase in cash		2,318,753
Cash, December 31, 2013		1,806,994
Cash, December 31, 2014	$	4,125,747

Supplemental disclosure

Non-cash operating activities:

As a result of the Skyhook Wireless, Inc. acquisition, the Fund assigned cost basis of $580,714 to the escrow received.

Non-cash financing activities:

The distribution paid on March 13, 2014 was offset by $3,141,429 of contributions.
The capital call on July 1, 2014 was offset by $61,712 of distributions.
The capital call on December 19, 2014 was offset by $140,208 of distributions.

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See accompanying notes to Financial Statements

1. ORGANIZATION AND PURPOSE

RRE Ventures IV, L.P. (the "Fund") is a limited partnership formed under the laws of the State of Delaware for the purpose of making Portfolio Investments, as defined in the Amended and Restated Limited Partnership Agreement of the Fund dated June 30, 2006 as amended from time to time (the "Agreement"). Capitalized terms used herein and not otherwise defined will have the meaning set forth in the Agreement. To the extent that this and the other notes that follow describe or refer to the terms and provisions of the Agreement, they are intended as summaries only and are qualified in their entirety by reference to the Agreement itself.

The Fund was formed April 25, 2006, and commenced operations on June, 30, 2006. The Fund has a term of 10 years from the Final Closing, January, 24, 2007, and is subject to earlier dissolution and termination upon the occurrence of certain events as described in the Agreement. The General Partner may extend the term of the Fund for up to two successive one-year periods, in each case with the consent of a Majority in Interest of the Limited Partners. Thereafter, the Fund will liquidate in an orderly manner and distribute all investments or proceeds.

The general partner of the Fund is RRE Ventures GP IV, LLC (the "General Partner").

Pursuant to the terms of the Management Agreement, RRE Advisors, L.L.C. (the "Manager"), a Delaware limited liability company and an affiliate of the General Partner, originates and recommends investment opportunities to the Fund, monitors and evaluates investments, and performs certain administrative services. The term of the Management Agreement is the same as the term of the Fund.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation — The accompanying financial statements are prepared in accordance with accounting principles generally accepted in the United States of America ("GAAP") as detailed in the Financial Accounting Standards Board's ("FASB") Accounting Standard Codification ("ASC" or the "Codification"). The Fund is an investment company following the accounting and reporting guidance in ASC 946, Financial Services - Investment Companies.

Use of Estimates — The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Investment Valuation — The Fund carries its investments at fair value. Fair value is an estimate of the exit price, representing the amount that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants (i.e., the exit price at the measurement date). Fair value measurements are not adjusted for transaction costs.

In determining fair value, the Fund uses various valuation approaches. A fair value hierarchy for inputs is used in measuring fair value, and is categorized into three levels to prioritize inputs as follows:

Level 1 Unadjusted quoted prices in active markets for identical assets or liabilities.

Level 2 Inputs other than quoted market prices that are observable, either directly or indirectly, and reasonably available. Observable inputs reflect the assumptions market participants would use in pricing the asset or liability and are developed based on market data obtained from sources independent of the Fund.

Level 3 Unobservable inputs that reflect the assumptions that the General Partner develops based on available information about what market participants would use in valuing the asset or liability.

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2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

An asset or liability's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Availability of observable inputs can vary and is affected by a variety of factors. The General Partner uses judgment in determining the fair value of assets and liabilities. Level 3 assets and liabilities involve greater judgment than Level 1 or Level 2 assets and liabilities.

The Fund's Portfolio Investments are generally restricted, encumbered, not actively traded nor intended for immediate sale. Such investments are valued at fair value as determined in good faith by the General Partner after consideration of all pertinent information, including available market prices, types of securities, marketability, restrictions on disposition, the effect of any encumbrances, current and projected financial position and operating results of the Portfolio Investments, and other appropriate information impacting the company and its industry. Ongoing, quarterly reviews by the General Partner are based on the assessment of trends in the performance of each underlying investment from the inception date through the most recent valuation date.

Unobservable inputs are used to measure fair value to the extent that observable inputs are not available. Fair value of Level 3 investments is determined using valuation methodologies that consider a range of factors, including, but not limited to, the nature of the investment, market conditions, trading values on public exchanges for comparable securities, current and projected operating performance and financing transactions subsequent to the acquisition of the investments.

When a pricing model is used to value investments, inputs to the model are adjusted when changes to inputs and assumptions are corroborated by evidence such as transactions in similar instruments, completed or pending third-party transactions in the underlying investment or comparable entities, subsequent rounds of financing, recapitalizations and other transactions, offerings in the equity or debt capital markets, and changes in financial ratios or cash flows.

For positions that are not traded in active markets or are subject to transfer restrictions, valuations are adjusted to reflect illiquidity and/or non-transferability and such adjustments are generally based on available market information. In the absence of such evidence, management's best estimate is used.

The values assigned to the Fund's investments are based upon available information and do not necessarily represent amounts which might ultimately be realized, since such amounts depend on future circumstances and are not ultimately determined until the individual positions are liquidated. The estimated values could differ significantly had a ready market existed and these differences could be material.

Investment Transactions — The Fund records investment transactions upon closing of the transaction. Investment gains and losses are recorded on a specific identification basis.

Cash — Cash consists of operating cash. As of December 31, 2014, all cash is held at major financial institutions.

Interest and Dividends — Interest is recorded as earned on the accrual basis and dividends are recognized when declared unless collection is deemed to be doubtful.

Foreign Currency Translation — Investments denominated in foreign currency other than U.S. dollars are translated using foreign currency spot rates at the valuation date. The Fund does not isolate that portion of the results of operations resulting from changes in foreign exchange rates on investments from the fluctuations arising from changes in value of securities held. Such fluctuations are included with the net change in unrealized gain and foreign currency translation on investments in the Statement of Operations.

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2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Income Taxes — The Fund is not required to pay income taxes on income, profits or capital gains. Each Partner's applicable share of the Fund's taxable income is reported on the Partner's individual income tax returns in accordance with the laws of the applicable jurisdictions.

The General Partner is responsible for determining whether a tax position taken by the Fund is more likely than not to be sustained on the merits. The Fund has no material unrecognized tax benefits and has not recognized in these financial statements any interest or penalties related to income taxes. The Fund is subject to U.S. federal, state or local income tax examinations by tax authorities for all periods since the year ended December 31, 2011.

Tax laws are complex and subject to different interpretations by the taxpayer and taxing authorities. Significant judgment is required when evaluating tax positions and related uncertainties. Future events such as changes in tax legislation could require a provision for income taxes and any such changes could significantly affect the amounts reported in the Statement of Operations.

3. INVESTMENTS

The following are the Fund's investments owned by level within the fair value hierarchy as of December 31, 2014:

	Level 1	Level 2	Level 3	Total
Assets				
Investments				
Preferred stock	$ -	$ -	$ 353,490,727	$ 353,490,727
Membership interests	-	-	18,612,128	18,612,128
Warrants	-	-	104,475	104,475
Common stock	-	174,161,243	10,029,568	184,190,811
Escrow	-	3,678,282	-	3,678,282
Convertible notes	-	-	1,931,779	1,931,779
Total Investments	$ -	$ 177,839,525	$ 384,168,677	$ 562,008,202

The following summarizes changes in fair value of the Fund's Level 3 assets for the year ended December 31, 2014. The information reflects gains and losses for assets and liabilities categorized as Level 3 that are still held as of December 31, 2014.

	Preferred Stock	Membership Interests	Warrants	Common Stock	Convertible Notes	Total
Balance - December 31, 2013	$ 448,768,720	$ 19,016,211	$ 10,312,620	$ 6,983,940	$ 852,061	$ 485,933,552
Realized loss	(3,000,681)	-	-		(252,500)	(3,253,181)
Change in unrealized gains/(losses)	29,428,504	(301,391)	51,559	3,245,656	25,227	32,449,555
Purchases	8,609,338	-	4	238,317	1,356,991	10,202,650
Conversion of investments	(116,212,942)	-	(10,259,708)	126,472,650	-	-
Sales	(14,102,212)	(102,692)	-	-	(50,000)	(14,254,904)
Transfers in (out) of Level 3	-	-	-	(126,908,995)	-	(126,908,995)
Balance - December 31, 2014	$ 353,490,727	$ 18,612,128	$ 104,475	$ 10,029,568	$ 1,931,779	$ 384,168,677
Change in unrealized gains/(losses) on assets still held	$ 25,483,458	$ (301,391)	$ 51,559	$ 3,045,628	$ (227,273)	$ 28,031,981

3. INVESTMENTS (CONTINUED)

The following table presents quantitative information about the significant unobservable inputs of the Fund's Level 3 investments as of December 31, 2014. The below table is not intended to be all-inclusive but rather to provide information on significant unobservable inputs and valuation techniques used by the Fund.

Investments	Fair Value at December 31, 2014	Valuation Techniques	Unobservable Input	Inputs
Preferred stock, common stock and membership interests	$ 198,828,345	Last Financing (12 months or less)	N/A	N/A
		Company performance against plan	N/A	N/A
Preferred stock, common stock and membership interests	$ 144,345,613	Last Financing (13 to 24 months)	N/A	N/A
		Company performance against plan	N/A	N/A
		Public company comparable analysis	Revenue multiple	3.4x - 6.4x
			Liquidity discount	20%
Preferred stock, common stock and membership interests	$ 23,686,044	Last Financing (greater than 25 months)	N/A	N/A
		Company performance against plan	N/A	N/A
		Public company comparable analysis	Revenue multiple	0.6x - 17.0x
			EBITDA multiple	5.2x - 11.4x
			Liquidity discount	20%

The above table does not include all Level 3 investments as certain investments were either deemed immaterial or are scoped out for the purpose of this disclosure.

4. CAPITAL COMMITMENTS AND CONTRIBUTIONS

Capital Commitments to the Fund total $300,000,000. Capital Commitments include commitments from the Fund's General Partner totaling $7,750,000. As of December 31, 2014, total Capital Contributions drawn, which include Capital Contributions for Portfolio Investments and expenses, were $299,294,884, or 99.76% of Capital Commitments.

The Partners' commitment to provide funds with respect to Portfolio Investments will terminate after the Commitment Period, except to the extent necessary to make Follow-On Investments in an amount not to exceed the lesser of Remaining Capital Commitment and 20% of original Capital Commitment.

5. ALLOCATION OF NET INCOME AND NET LOSSES

Net Income and Net Loss for each fiscal year will generally be allocated among the Partners in a manner such that the Capital Account of each Partner, immediately after making such allocation, is, as nearly as possible, equal (proportionally) to the distributions that would be made to such Partner if the Fund were dissolved, its affairs wound up and its assets sold for cash equal to their respective Book Values, all liabilities satisfied in accordance with their terms (limited with respect to each non-recourse liability to the Book Value of the assets securing such liability), and the net assets of the Fund were distributed to the Partners in accordance with the Distributions section below (see Note 6).

As of December 31, 2014, items of gain, loss, income and expense of the Fund were allocated among the Limited Partners and General Partner on a hypothetical liquidation basis in a manner consistent with the provisions set forth in the Agreement. For the year ended December 31, 2014, $15,108,496 of unrealized carried interest was allocated to the General Partner. As of December 31, 2014, a total of $68,171,943 of unrealized carried interest was allocated to the General Partner.

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6. DISTRIBUTIONS

The General Partner will make distributions to the Partners following the receipt by the Fund of Distributable Cash from investments in accordance with the Agreement. The General Partner, in its sole discretion, will be entitled to withhold from any distribution amounts necessary for reasonable reserves as well as for any required tax withholdings. The General Partner may also make tax distributions to enable Partners to pay income tax liabilities arising from allocations of taxable income made pursuant to the Agreement.

Distributions of Distributable Cash attributable to any Portfolio Investment ("Investment Proceeds") will initially be made to the Partners in proportion to each of their respective Percentage Interests with respect to such Portfolio Investment. Notwithstanding the foregoing, each Limited Partner's share of each distribution of Investment Proceeds will be divided between such Limited Partner and the General Partner as follows:

(i) First, one hundred percent (100%) to the Limited Partner until such Limited Partner has received cumulative distributions equal to such Limited Partner's aggregate Capital Contributions relating to the sum of all Realized Investments and allocable Partnership Expenses; and

(ii) Thereafter, eighty percent (80%) to the Limited Partner, and twenty percent (20%) to the General Partner

7. MANAGEMENT FEE

In consideration of the Manager's services as described on the Management Agreement, each Partner will pay to the Manager a Management Fee. The Management Fee will be payable semi-annually in advance, commencing as of the Initial Closing. The Fund collects the Management Fee on behalf of the Manager throughout the term of the Management Agreement. The Management Fee is equal to 2.5% per annum of the actual invested capital, including capital that has been reserved for Follow-On Investments, as of the first day of such period.

The Management Fee payable by each Partner is reduced by the Fund's share of certain fees earned by the Manager and its affiliates as set forth in the Management Agreement. The reduction is equal to 100% of the allocable cash deal fees earned by the Manager. During the year ended December 31, 2014, the Management Fee was not reduced by any allocable fees.

The Partners' capital accounts, including the determination of the General Partner's carried interest, are not affected by their payment of Managements Fees. Remaining Capital Commitment for each Partner is also not affected by their payment of Management Fees. For the year ended December 31, 2014 a total of $4,537,487 was paid by the Partners to the Manager for Management Fees. Included in the due to affiliate balance as of December 31, 2014 is $1,942,163 of 2015 Management Fee received in advance.

8. PARTNERSHIP EXPENSES

The Fund will be responsible for all Partnership Expenses incurred by it or on its behalf, including, without limitation, out-of-pocket expenses relating to the purchase, holding and sale or proposed sale of Fund investments, out-of-pocket expenses relating to transactions not consummated, costs incurred in connection with preparation of or relating to reports made to Partners, interest on and fees and expenses related to all borrowings, liability insurance, legal fees, expenses of liquidating the Fund and governmental fees.

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8. PARTNERSHIP EXPENSES (CONTINUED)

The Fund will reimburse the General Partner and its Affiliates for all reasonable Organizational Expenses of the Fund paid or accrued by them.

9. RELATED PARTY TRANSACTIONS

The members of the General Partner are present members, partners, directors, officers, employees and/or consultants of the Manager. The General Partner and/or Manager pay the expenses of providing their services to the Fund (such as compensation of their employees, rent, utilities, office expenses, etc.).

As of December 31, 2014, the Fund had a balance of $1,952,984 due to manager included in due to affiliate on the Statement of Assets, Liabilities, and Partners' Capital.

10. LINE OF CREDIT

The Fund has a demand revolving credit facility with a bank that allows access to a $7.5 million line of credit backed by outstanding commitments, payable on maturity date of March 2, 2015. Interest is payable monthly on the first calendar day of each month. Interest accrues on outstanding borrowings equal to the greater of the bank's prime rate or four percent (4%).

During the year ended December 31, 2014, the Fund had one drawdown. For the year ended December 31, 2014, $4,910 of interest expense was included in professional fees and other expenses on the Statement of Operations. As of December 31, 2014, the Fund did not have an outstanding balance.

11. RISK FACTORS

The Fund's investment objectives are long-term and highly illiquid and there is no assurance that the Fund will achieve investment objectives including targeted returns. Due to the illiquidity of the investments, valuation of the assets may be difficult, as there generally will be no established markets for these assets. All changes in market conditions will directly affect the net asset value of the Fund.

The Fund's investing activities expose it to various types of risk that are associated with the financial instruments and markets in which it invests. The significant types of financial risks to which the Fund is exposed include, but are not limited to, performance risk, liquidity risk, and other additional risks. Certain aspects of those risks are addressed below.

Performance Risk — Each of the Fund's investments carries performance risk, which encompasses the potential for both losses and gains and includes the financial performance of the investment, the health of the industry in which it operates, the health of its potential acquirers, and public market appetite for the sector in which it operates.

Liquidity Risk — Fund investments that are initially privately held have no readily available secondary market. Therefore, there is no assurance that the Fund will be able to realize liquidity.

Other Risks — Legal, tax and regulatory changes could occur during the duration of the Fund which may adversely affect the Fund. The Fund will be subject to a variety of litigation risks, particularly if one or more of its portfolio companies face financial or other difficulties during the term of the Fund.

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12. COMMITMENTS AND CONTINGENCIES

In the normal course of business, the Fund enters into contracts that contain a variety of representations and warranties and which provide general indemnifications. The Fund's maximum exposure under these arrangements is unknown, as this would involve future claims that may be made against the Fund that have not yet occurred. The Fund does not expect to suffer any material losses in connection with its contracts.

The Fund is a party to litigation matters and claims from time to time in the ordinary course of its operation, including Management Company and portfolio company litigation. While the result of such matters cannot be predicted with certainty, the General Partner believes that the final outcome of such matters will not have a material adverse impact on the Fund's financial condition.

13. FINANCIAL HIGHLIGHTS

The financial ratios presented below are for the year ended December 31, 2014 and are calculated for Limited Partners as a whole and exclude data for the General Partner. The internal rate of return ("IRR") presented below is based on the actual dates of capital contributions, distributions and the net assets of the Limited Partners at the end of the year ended December 31, 2014, and is net of carried interest allocated to the General Partner. Calculations of these highlights on an individual Limited Partner basis may yield results that vary from those stated herein. The Fund's ratios and IRR exclude payments for management fees since these amounts are paid directly to the Manager. To reflect the impact of the Limited Partners' payment of management fees, pro-forma ratios and IRR are provided.

	Fund	Limited Partner Pro-forma
Ratio to Average Limited Partner Capital:		
Net Investment Income/(Loss)	(0.07) %	(1.07) %
Expense	0.07 %	1.07 %
General Partner's Carried Interest	3.46 %	3.45 %
Expense and General Partner's Carried Interest	3.53 %	4.52 %
Internal Rate of Return		
Through December 31, 2014	15.35 %	10.94 %
Through December 31, 2013	15.53 %	10.56 %

14. SUBSEQUENT EVENTS

During the period from January 1, 2015 through February 25, 2015, there were no material subsequent events requiring disclosure.

The General Partner has evaluated events through February 25, 2015, the date that these financial statements were available to be issued.

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ACCOUNTANTS & ADVISORS

INDEPENDENT AUDITORS' REPORT ON SUPPLEMENTARY INFORMATION

To the General Partner of
RRE Ventures IV, L.P.

We have audited the financial statements of RRE Ventures IV, L.P., as of December 31, 2014, and for the year then ended and have issued our report thereon dated February 25, 2015, which expressed an unmodified opinion on those financial statements. Our audit was performed for the purpose of forming an opinion on the financial statements as a whole. The schedule of changes in capital account balances by partner is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

EisnerAmper LLP

New York, New York
February 25, 2015

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RRE Ventures IV, L.P.

(a Delaware Limited Partnership)

Schedule of Changes in Capital Account Balances by Partner

For the Year Ended December 31, 2014 [1]

Partner (2)	Beginning Balance	Capital Contributions	Distributions	Net Investment Loss	Net Realized Loss	Net Change in Unrealized Gain and Foreign Currency Translation	Partner Transfer	Ending Balance
General Partner:								
5100	$ 65,685,750	$ 331,755	$ (383,979)	$ (7,572)	$ (81,477)	$ 17,200,809	$ -	$ 82,745,286
Limited Partners:								
5101	5,788,459	171,225	(198,185)	(3,907)	(42,053)	873,115		6,588,654
5102	723,561	21,403	(24,774)	(488)	(5,257)	109,139	-	823,584
5103	28,942,306	856,137	(990,916)	(19,538)	(210,263)	4,365,575	-	32,943,301
5104	4,341,350	128,419	(148,637)	(2,931)	(31,540)	654,837	-	4,941,498
5105	361,779	10,704	(12,383)	(244)	(2,628)	54,569	-	411,797
5106	3,617,787	107,017	(123,865)	(2,442)	(26,283)	545,698	-	4,117,912
5107	1,085,339	32,106	(37,159)	(732)	(7,885)	163,709	-	1,235,378
5108	723,560	21,403	(24,774)	(488)	(5,257)	109,140	-	823,584
5109	2,894,230	85,612	(99,089)	(1,955)	(21,026)	436,558	-	3,294,330
5110	180,886	5,351	(6,193)	(122)	(1,314)	27,285	(205,893)	- -
5111	2,170,673	64,210	(74,320)	(1,467)	(15,770)	327,418	-	2,470,744
5112	7,235,578	214,035	(247,730)	(4,885)	(52,566)	1,091,393	-	8,235,825
5113	14,471,147	428,068	(495,458)	(9,769)	(105,132)	2,182,787		16,471,643
5114	144,714	4,281	(4,955)	(98)	(1,051)	21,828	-	164,719
5115	1,447,117	42,808	(49,547)	(977)	(10,513)	218,279	-	1,647,167
5116	28,942,307	856,137	(990,916)	(19,538)	(210,263)	4,365,575	-	32,943,301
5117	5,788,459	171,224	(198,185)	(3,906)	(42,053)	873,115	-	6,588,654
5118	180,886	5,351	(6,193)	(122)	(1,314)	27,285	-	205,893
5119	361,779	10,704	(12,384)	(244)	(2,628)	54,570	-	411,797
5120	7,235,578	214,035	(247,730)	(4,885)	(52,566)	1,091,393	-	8,235,825
5121	1,447,118	42,807	(49,547)	(977)	(10,513)	218,279	-	1,647,167
5122	5,788,460	171,225	(198,185)	(3,908)	(42,053)	873,115	-	6,588,654
5123	723,561	21,403	(24,774)	(488)	(5,257)	109,139	-	823,584
5124	2,894,230	85,612	(99,089)	(1,955)	(21,026)	436,558	-	3,294,330
5125	2,894,230	85,612	(99,089)	(1,955)	(21,026)	436,558	-	3,294,330
5126	2,170,672	64,209	(74,320)	(1,465)	(15,770)	327,418	-	2,470,744
5127	7,235,579	214,035	(247,730)	(4,885)	(52,566)	1,091,392	-	8,235,825
5128	21,706,733	642,102	(743,190)	(14,654)	(157,698)	3,274,181	-	24,707,474
5129	361,779	10,704	(12,384)	(244)	(2,628)	54,570	-	411,797
5130	-	-	-	-			102,946	102,946
5131	-	-	-	-	-	-	102,947	102,947
5132	2,894,229	85,612	(99,089)	(1,954)	(21,026)	436,558	-	3,294,330
5133	1,447,119	42,807	(49,547)	(978)	(10,513)	218,279	-	1,647,167
5134	144,703	4,287	(4,955)	(93)	(1,051)	21,828	-	164,719
5135	21,706,732	642,102	(743,190)	(14,654)	(157,698)	3,274,182	-	24,707,474
5136	50,649,024	1,498,239	(1,734,105)	(34,192)	(367,962)	7,639,756	-	57,650,760
5137	3,617,788	107,017	(123,865)	(2,442)	(26,283)	545,697	-	4,117,912
5138	21,706,733	642,102	(743,190)	(14,654)	(157,698)	3,274,181	-	24,707,474
5139	7,235,579	214,035	(247,730)	(4,885)	(52,566)	1,091,392	-	8,235,825
5140	1,447,118	42,807	(49,547)	(977)	(10,513)	218,279	-	1,647,167
5141	4,341,351	128,419	(148,636)	(2,931)	(31,540)	654,835	-	4,941,498
5142	1,447,119	42,807	(49,547)	(978)	(10,513)	218,279	-	1,647,167
5143	361,778	10,704	(12,384)	(244)	(2,628)	54,571	-	411,797
5144	723,560	21,403	(24,774)	(488)	(5,257)	109,140	-	823,584

See accompanying notes to Financial Statements

RRE Ventures IV, L.P.
(a Delaware Limited Partnership)
Schedule of Changes in Capital Account Balances by Partner
For the Year Ended December 31, 2014 [1]

Continued

Partner (2)	Beginning Balance	Capital Contributions	Distributions	Net Investment Loss	Net Realized Loss	Net Change In Unrealized Gain and Foreign Currency Translation	Partner Transfer	Ending Balance
Limited Partners:								
5145	723,561	21,403	(24,774)	(488)	(5,257)	109,139	-	823,584
5146	28,942,304	856,137	(990,916)	(19,536)	(210,263)	4,365,575	-	32,943,301
5147	5,788,460	171,225	(198,185)	(3,908)	(42,053)	873,115	-	6,588,654
5148	361,780	10,704	(12,384)	(244)	(2,628)	54,569	-	411,797
5149	1,447,118	42,807	(49,547)	(977)	(10,513)	218,279	-	1,647,167
5150	2,894,230	85,612	(99,089)	(1,955)	(21,026)	438,558	-	3,294,330
5151	144,714	4,281	(4,955)	(98)	(1,051)	21,828	-	164,719
5152	7,235,579	214,035	(247,730)	(4,885)	(52,566)	1,091,392	-	8,235,825
5153	217,069	6,420	(7,431)	(147)	(1,577)	32,741	-	247,075
5154	17,365,382	513,683	(594,550)	(11,723)	(126,158)	2,619,345	-	19,765,979
5155	1,085,339	32,106	(37,159)	(732)	(7,885)	163,709	-	1,235,378
5156	36,177,885	1,070,171	(1,238,647)	(24,423)	(262,829)	5,458,968	-	41,179,125
5157	5,064,806	149,823	(173,410)	(3,419)	(36,796)	763,975		5,765,079
5158	289,425	8,562	(9,910)	(196)	(2,103)	43,656	-	329,434
5159	361,779	10,704	(12,384)	(244)	(2,628)	54,570	-	411,797
5160	28,942,303	856,136	(990,916)	(19,534)	(210,263)	4,365,575	-	32,943,301
5161	144,714	4,281	(4,955)	(98)	(1,051)	21,828	-	164,719
5162	361,779	10,704	(12,384)	(244)	(2,628)	54,570	-	411,797
5163	4,341,351	128,419	(148,637)	(2,931)	(31,540)	654,836	-	4,941,498
5164	1,447,118	42,807	(49,547)	(977)	(10,513)	218,279	-	1,647,167
Total Limited Partners	422,919,488	12,510,300	(14,479,770)	(285,499)	(3,072,475)	63,791,962	-	481,384,004
Total Partners	$ 488,605,236	$ 12,842,055	$ (14,863,749)	$ (293,071)	$ (3,153,952)	$ 80,992,771	$ -	$ 564,129,290

(1) Information on this supplemental schedule should not be used for income tax purposes.
(2) For purposes of confidentiality, the name of each partner has been replaced with an identifying partner number.

See accompanying notes to Financial Statements

EISNERAMPER

RRE VENTURES V, L.P

(a Delaware Limited Partnership)

FINANCIAL STATEMENTS

DECEMBER 31, 2014

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RRE Ventures V, L.P.
(a Delaware Limited Partnership)
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INDEPENDENT AUDITORS' REPORT

To the General Partner of
RRE Ventures V, L.P.

Report on the Financial Statements

We have audited the accompanying financial statements of RRE Ventures V, L.P., which comprise the statement of assets, liabilities and partners' capital, including the schedule of portfolio investments, as of December 31, 2014, and the related statements of operations, changes in partners' capital and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of RRE Ventures V, L.P., as of December 31, 2014, and the results of its operations, changes in its partners' capital and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

EisnerAmper LLP

New York, New York
February 25, 2015

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RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Statement of Assets, Liabilities and Partners' Capital
December 31, 2014

Assets

Investments at fair value (cost basis $131,921,982)	$ 222,225,627
Cash	3,310,745
Prepaid expenses	19,478
Total assets	$ 225,555,850

Liabilities and Partners' Capital

Liabilities:	
Contributions received in advance	$ 262,611
Accrued expenses	92,614
Total liabilities	355,225
Partners' capital	225,200,625
Total liabilities and partners' capital	$ 225,555,850

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See accompanying notes to Financial Statements

RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Advertising / Technology:			
VigLink, Inc. (San Francisco, CA)			
2,724,024 Series C Preferred Stock shares	$ 6,250,001	$ 6,250,001	2.78%
Yieldbot Inc. (New York, NY)			
632,437 Series A Preferred Stock shares	1,699,999	4,462,475	1.97%
608,139 Series A-1 Preferred Stock shares	2,554,914	4,291,029	1.91%
461,521 Series B Preferred Stock shares	3,256,492	3,256,492	1.45%
	7,511,405	12,009,996	5.33%
Total Online Advertising	13,761,406	18,259,997	8.11%
E-Commerce / Commerce Infrastructure:			
Barkbox, Inc. (New York, NY)			
267,323 Series Seed Preferred Stock shares	250,000	2,788,492	1.24%
1,371,760 Series A Preferred Stock shares	3,250,001	14,309,062	6.35%
383,466 Series B Preferred Stock shares	3,999,999	3,999,999	1.78%
	7,500,000	21,097,553	9.37%
DailyLook, Inc. (Los Angeles, CA)			
159,501 Series A Preferred Stock shares	243,281	344,284	0.15%
88,691 Common Stock shares	101,002	191,440	0.09%
	344,283	535,724	0.24%
Groupon, Inc. (NASDAQ: GRPN) (Chicago, IL)			
126,270 Common Stock shares	1,434,427	1,042,990	0.46%
Moda Operandi, Inc. (New York, NY)			
245,473 Series C Preferred Stock shares	6,299,991	9,655,852	4.29%
25,422 Series E Preferred Stock shares	999,992	999,992	0.44%
	7,299,983	10,655,844	4.73%
Paperless, Inc. (New York, NY)			
1,805,739 Series B Preferred Stock shares	5,475,001	23,312,090	10.35%
290,635 Series C Preferred Stock shares	2,461,678	3,752,098	1.67%
	7,936,679	27,064,188	12.02%
TapCommerce Inc. (New York, NY)			
Escrow / Reserves	694,964	694,964	0.31%
The Black Tux, Inc. (Santa Monica, CA)			
521,485 Series Seed Preferred Stock shares	250,000	750,886	0.33%
144,975 Series A Preferred Stock shares	208,750	208,750	0.09%
15,566 Common Stock shares	22,414	22,414	0.01%
	481,164	982,050	0.43%
Trumaker, Inc. (San Francisco, CA)			
463,675 Series Seed Preferred Stock shares	500,000	975,141	0.43%
629,009 Series A Preferred Stock shares	1,253,614	1,322,850	0.59%
	1,753,614	2,297,991	1.02%
WillCall, Inc. (San Francisco, CA)			
452,409 Series Seed Preferred Stock shares	301,792	332,478	0.15%
2% Convertible Promissory Note, due on 4/22/2016	25,000	19,920	0.01%
	326,792	352,398	0.16%
Yipit, Inc. (New York, NY)			
663,878 Series B Preferred Stock shares	931,142	931,142	0.41%
Total E-Commerce / Commerce Infrastructure	28,703,048	65,654,844	29.15%

See accompanying notes to Financial Statements

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RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Enterprise Systems:			
Airware, Inc. (Newport Beach, CA)			
80,970 Series A Preferred Stock shares	$ 75,429	$ 435,226	0.20%
135,003 Common Stock shares	125,765	725,661	0.32%
	201,194	1,160,887	0.52%
Chain, Inc. (f/k/a Albumatic, Inc.) (San Francisco, CA)			
1,600,000 Series A Preferred Stock shares	3,000,000	3,543,360	1.57%
556,925 Series B Preferred Stock shares	1,233,366	1,233,366	0.55%
	4,233,366	4,776,726	2.12%
Floored, Inc. (New York, NY)			
184,840 Series A Preferred Stock shares	3,750,008	3,750,008	1.67%
Hightower, Inc. (New York, NY)			
264,236 Series Seed Preferred Stock shares	200,000	317,083	0.14%
166,667 Series A Preferred Stock shares	200,000	200,000	0.09%
	400,000	517,083	0.23%
Kryptnostic, Inc. (Palo Alto, CA)			
416,261 Series Seed Preferred Stock shares	299,999	299,999	0.13%
Palantir Technologies Inc. (Palo Alto, CA)			
210,526 Class A Common Stock shares	999,999	999,999	0.44%
RevelOps, Inc. (dba Logentries) (Boston, MA)			
1,516,000 Series A Preferred Stock shares	507,940	1,894,165	0.84%
Sailthru, Inc. (New York, NY)			
2,281,887 Series A Preferred Stock shares	3,999,995	10,683,339	4.74%
970,944 Series B Preferred Stock shares	2,611,451	4,545,766	2.02%
435,771 Series C Preferred Stock shares	2,040,193	2,040,193	0.91%
713,097 Common Stock shares	1,000,000	3,338,578	1.48%
	9,651,639	20,607,876	9.15%
WhipTail Technologies, Inc. (Whippany, NJ)			
Escrow receivable	826,680	6,582,149	2.92%
Yhat, Inc. (Brooklyn, NY)			
5% Convertible Promissory Note, due on 3/30/2015	300,000	300,000	0.13%
Zebrafish Labs, Inc. (dba Imgix) (San Francisco, CA)			
3,657,443 Series A Preferred Stock shares	3,999,999	3,999,999	1.78%
Total Enterprise Systems	25,170,824	44,888,891	19.93%
Financial Services / Financial Technology:			
Amicus FTW Inc. (New York, NY)			
969,026 Series AA Preferred Stock shares	688,539	688,539	0.31%
Artivest Holdings, Inc. (New York, NY)			
300,000 Series A Preferred Stock shares	300,000	300,000	0.13%
3% Convertible Promissory Note, due on 2/1/2015	150,000	150,000	0.07%
	450,000	450,000	0.20%
BitPay, Inc. (Atlanta, GA)			
114,377 Series A Preferred Stock shares	3,041,227	3,041,227	1.35%

See accompanying notes to Financial Statements

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RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Financial Services / Financial Technology (continued):			
BitVault Inc. (dba Gem) (Venice, CA)			
703,482 Series Seed Preferred Stock shares	$ 200,000	$ 200,000	0.09%
Braintree, Inc. (Chicago, IL)			
Escrow receivable	163,970	374,008	0.17%
CoverHound, Inc. (San Francisco, CA)			
7,405,683 Series A Preferred Stock shares	3,500,000	3,500,000	1.55%
9,373,717 Series B Preferred Stock shares	3,173,753	3,967,145	1.76%
	6,673,753	7,467,145	3.31%
Financial Tech Inc. (dba Standard Treasury) (San Francisco, CA)			
2% Convertible Promissory Note, due on 9/1/2015	250,000	250,000	0.11%
Kabompo Holdings Ltd. (dba itBit) (Singapore)			
87.496623 Series A Preference Shares	1,268,049	2,218,407	0.99%
Sierra Auto Finance, LLC (Dallas, TX)			
Preferred, Class E-2 Common and Class B Common Units held through Sierra 2012-B, Inc.	6,750,000	6,659,984	2.96%
Sofin, Corp. (dba Likecard) (New York, NY)			
6% Convertible Promissory Note, due on 12/26/2014	200,000	200,000	0.09%
Vaurum Labs, Inc. (Palo Alto, CA)			
8% Convertible Promissory Note, due on 1/25/2016	100,000	100,000	0.04%
8% Convertible Promissory Note, due on 4/16/2016	100,000	100,000	0.04%
	200,000	200,000	0.08%
Total Financial Services / Financial Technology	19,885,538	21,749,310	9.66%
Hardware / Products:			
Electric Objects Inc. (New York, NY)			
160,789 Seed Preferred Stock shares	532,498	532,498	0.24%
NanoSatisfi, Inc. (dba Spire) (San Francisco, CA)			
2,345,370 Series A Preferred Stock shares	7,817,260	7,817,260	3.47%
Normal Ears, Inc. (New York, NY)			
152,439 Common Stock shares	250,000	250,000	0.11%
2% Subordinated Convertible Promissory Note, due on 12/31/2015	100,000	100,000	0.04%
	350,000	350,000	0.15%
Sols Systems, Inc. (New York, NY)			
27,906 Series Seed Preferred Stock shares	100,000	231,784	0.11%
12,040 Series A Preferred Stock shares	100,003	100,003	0.04%
	200,003	331,787	0.15%
Stratasys Ltd. (NASDAQ: SSYS) (Eden Prairie, MN)			
125,327 Common Stock shares	1,371,951	10,415,927	4.63%
44,664 Common Stock shares held in escrow	342,255	2,598,418	1.15%
	1,714,206	13,014,345	5.78%
Winstruments, Inc. (dba Understory Weather) (Boston, MA)			
153,927 Series Seed Preferred Stock shares	325,001	325,001	0.14%
Total Hardware / Products	10,938,968	22,370,891	9.93%

See accompanying notes to Financial Statements

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RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Media:			
Admitted.ly Inc. (New York, NY)			
8% Convertible Promissory Note, due on 1/31/2015	$ 100,000	$ 100,000	0.04%
Backspaces Inc. (dba Beacon Reader) (New York, NY)			
Simple Agreement for Future Equity (SAFE)	200,000	200,000	0.09%
Basno, Inc. (New York, NY)			
802,353 Series Seed Preferred Stock shares	300,000	300,000	0.13%
bloglovin' AB (Sweden)			
2,345 Class A Preference shares	201,198	420,197	0.19%
Culinary Agents, Inc. (New York, NY)			
6% Convertible Promissory Note, due on 12/13/2015	200,000	200,000	0.09%
6% Convertible Promissory Note, due on 11/20/2016	200,000	200,000	0.09%
	400,000	400,000	0.18%
Giphy, Inc. (New York, NY)			
269,231 Series A Preferred Stock shares	350,000	350,000	0.16%
Lift Worldwide, Inc. (New York, NY)			
100,000 Series A Preferred Stock shares	100,000	100,000	0.04%
Noom, Inc. (New York, NY)			
2,339,770 Series A Preferred Stock shares	4,122,700	7,229,890	3.21%
488,810 Series AA-1 Preferred Stock shares	492,300	1,510,423	0.67%
248,228 Series AA-2 Preferred Stock shares	300,000	767,025	0.34%
647,249 Series B Preferred Stock shares	1,999,999	1,999,999	0.89%
425,000 Common Stock shares	85,000	1,313,250	0.58%
	6,999,999	12,820,587	5.69%
numberFire, Inc. (New York, NY)			
494,194 Series Seed Preferred Stock shares	200,000	200,000	0.09%
6% Convertible Promissory Note, due on 1/16/2016	100,000	100,000	0.04%
	300,000	300,000	0.13%
PocketCoach, Inc. (Los Angeles, CA)			
8% Convertible Promissory Note, due on 6/4/2015	200,000	200,000	0.09%
TheDodo.com, Inc. (New York, NY)			
159,014 Series Seed Plus Preferred Stock shares	200,000	595,239	0.26%
57,245 Series A Preferred Stock shares	214,286	214,286	0.10%
	414,286	809,525	0.36%
theSkimm, Inc. (New York, NY)			
363,636 Series Seed Preferred Stock shares	100,000	371,272	0.16%
169,631 Series A Preferred Stock shares	173,193	173,193	0.08%
	273,193	544,465	0.24%
Thinkful, Inc. (New York, NY)			
593,289 Series Seed Preferred Stock shares	370,040	590,180	0.26%
433,314 Common Stock shares	152,104	431,043	0.19%
	522,144	1,021,223	0.45%
TinyBop Inc. (Brooklyn, NY)			
2,538,992 Series A Preferred Stock shares	4,200,001	4,200,001	1.87%

See accompanying notes to Financial Statements

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RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Media (continued):			
Twitter, Inc. (NASDAQ: TWTR) (San Francisco, CA)			
294,825 Common Stock shares	$ 3,934,446	$ 10,575,373	4.70%
58,401 Common Stock shares held in escrow	545,554	1,466,391	0.65%
	4,480,000	12,041,764	5.35%
Total Media	19,040,821	33,807,762	15.01%
Mobile Software:			
FutureSimple Inc. (dba Base) (Chicago, IL)			
398,743 Series B Preferred Stock shares	6,499,511	6,499,511	2.89%
Shake, Inc. (New York, NY)			
6,375,000 Series Seed Preferred Stock shares	1,000,238	2,005,575	0.89%
2,940,242 Series A Preferred Stock shares	925,000	925,000	0.41%
	1,925,238	2,930,575	1.30%
Total Mobile Software	8,424,749	9,430,086	4.19%
Other:			
Mingyian, Inc. (New York, NY / China)			
5% Convertible Promissory Note, due on 10/16/2014	150,000	150,000	0.07%
Star Power Partners LLC (dba Techstars) (Boulder, CO)			
Membership Interest	1,346,695	1,413,913	0.63%
Total Other	1,496,695	1,563,913	0.70%
Technology Enabled Services:			
Breather Products, Inc. (dba Breather) (Canada)			
56,097 Class B Preferred shares	4,499,933	4,499,933	2.00%
Total Technology Enabled Services	4,499,933	4,499,933	2.00%
Total Investments	$ 131,921,982	$ 222,225,627	98.68%

See accompanying notes to Financial Statements

RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Statement of Operations
For the Year Ended December 31, 2014

Income	
Interest income	$ 263,772
Total income	263,772
Expenses	
Management fee	5,571,250
Professional fees and other expenses	573,895
Total expenses	6,145,145
Net investment loss	(5,881,373)
Net realized gain/(loss) and net change in unrealized gain/(loss) and foreign currency translation on investments	
Net realized gain on investments	8,217,113
Net change in unrealized gain and foreign currency translation on investments	37,677,365
Net realized gain/(loss) and net change in unrealized gain/(loss) and foreign currency translation on investments	45,894,478
Net increase in Partners' Capital from operations	$ 40,013,105

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See accompanying notes to Financial Statements

RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Statement of Changes in Partners' Capital
For the Year Ended December 31, 2014

	General Partner	Limited Partners	Total
Balance, December 31, 2013	$ 22,838,842	$ 119,065,533	$ 141,904,375
Capital contributions	1,552,441	53,957,539	55,509,980
Distributions	(3,178,091)	(9,048,744)	(12,226,835)
Net investment loss	(9,641)	(5,871,732)	(5,881,373)
Net realized gain on investments	673,432	7,543,681	8,217,113
Net change in unrealized gain and foreign currency translation on investments	8,472,493	29,204,872	37,677,365
Balance, December 31, 2014	$ 30,349,476	$ 194,851,149	$ 225,200,625

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See accompanying notes to Financial Statements

RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Statement of Cash Flows
For the Year Ended December 31, 2014

Cash flows from operating activities:		
Net increase in Partners' Capital resulting from operations	$	40,013,105
Adjustments to reconcile net increase in Partners' Capital resulting from operations to net cash used in operating activities:		
Net realized gain on investments		(8,217,113)
Net change in unrealized gain and foreign currency translation on investments		(37,677,365)
Changes in assets and liabilities:		
Purchase of portfolio investments		(52,650,935)
Proceeds from portfolio investments		8,835,687
Prepaid expenses		10,813
Due to manager		(67,149)
Accrued expenses		57,114
Net cash used in operating activities		(49,695,843)
Cash flows from financing activities:		
Proceeds from capital call line of credit		14,231,826
Repayment of capital call line of credit		(14,231,826)
Capital contributions		43,283,145
Capital contributions received in advance		(245,332)
Net cash provided by financing activities		43,037,813
Net decrease in cash		(6,658,030)
Cash, December 31, 2013		9,968,775
Cash, December 31, 2014	$	3,310,745

Supplemental disclosure

Non-cash operating activities:

As a result of the TapCommerce Inc. acquisition by Twitter, Inc., the Fund received stock and escrow/reserves and assigned cost basis of $4,480,000 and $694,964, respectively.

Non-cash financing activities:

The capital call due on April 17, 2014 was offset by $6,824,685 of distributions.
The capital call due on July 2, 2014 was offset by $724,337 of distributions.
The capital call due on August 28, 2014 was offset by $4,677,813 of distributions.

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See accompanying notes to Financial Statements

1. ORGANIZATION AND PURPOSE

RRE Ventures V, L.P. (the "Fund") is a limited partnership formed under the laws of the State of Delaware for the purpose of making Portfolio Investments, as defined in the Amended and Restated Limited Partnership Agreement of the Fund dated July 22, 2011 as amended from time to time (the "Agreement"). Capitalized terms used herein and not otherwise defined will have the meaning set forth in the Agreement. To the extent that this and the other notes that follow describe or refer to the terms and provisions of the Agreement, they are intended as summaries only and are qualified in their entirety by reference to the Agreement itself.

The Fund was formed June 28, 2011, and commenced operations on July 22, 2011 (the "Initial Closing"). The Fund has a term of 10 years from the Final Closing, July 20, 2012, and is subject to earlier dissolution and termination upon the occurrence of certain events as described in the Agreement. The General Partner may extend the term of the Fund for up to two successive one-year periods, in each case with the consent of a Majority in Interest of the Limited Partners. Thereafter, the Fund will liquidate in an orderly manner and distribute all investments or proceeds.

The general partner of the Fund is RRE Ventures GP V, LLC (the "General Partner").

Pursuant to the terms of the Management Agreement, RRE Advisors, L.L.C. (the "Manager"), a Delaware limited liability company and an affiliate of the General Partner, originates and recommends investment opportunities to the Fund, monitors and evaluates investments, and performs certain administrative services. The term of the Management Agreement is the same as the term of the Fund.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation — The accompanying financial statements are prepared in accordance with accounting principles generally accepted in the United States of America ("GAAP") as detailed in the Financial Accounting Standards Board's ("FASB") Accounting Standard Codification ("ASC" or the "Codification"). The Fund is an investment company following the accounting and reporting guidance in ASC 946, Financial Services – Investment Companies.

Use of Estimates — The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Investment Valuation — The Fund carries its investments at fair value. Fair value is an estimate of the exit price, representing the amount that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants (i.e., the exit price at the measurement date). Fair value measurements are not adjusted for transaction costs.

In determining fair value, the Fund uses various valuation approaches. A fair value hierarchy for inputs is used in measuring fair value, and is categorized into three levels to prioritize inputs as follows:

Level 1 Unadjusted quoted prices in active markets for identical assets or liabilities.

Level 2 Inputs other than quoted market prices that are observable, either directly or indirectly, and reasonably available. Observable inputs reflect the assumptions market participants would use in pricing the asset or liability and are developed based on market data obtained from sources independent of the Fund.

Level 3 Unobservable inputs that reflect the assumptions that the General Partner develops based on available information about what market participants would use in valuing the asset or liability.

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2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

An asset or liability's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Availability of observable inputs can vary and is affected by a variety of factors. The General Partner uses judgment in determining the fair value of assets and liabilities. Level 3 assets and liabilities involve greater judgment than Level 1 or Level 2 assets and liabilities.

The Fund's Portfolio Investments are generally restricted, encumbered, not actively traded nor intended for immediate sale. Such investments are valued at fair value as determined in good faith by the General Partner after consideration of all pertinent information, including available market prices, types of securities, marketability, restrictions on disposition, the effect of any encumbrances, current and projected financial position and operating results of the Portfolio Investments, and other appropriate information impacting the company and its industry. Ongoing, quarterly reviews by the General Partner are based on the assessment of trends in the performance of each underlying investment from the inception date through the most recent valuation date.

Unobservable inputs are used to measure fair value to the extent that observable inputs are not available. Fair value of Level 3 investments is determined using valuation methodologies that consider a range of factors, including, but not limited to, the nature of the investment, market conditions, trading values on public exchanges for comparable securities, current and projected operating performance and financing transactions subsequent to the acquisition of the investments.

When a pricing model is used to value investments, inputs to the model are adjusted when changes to inputs and assumptions are corroborated by evidence such as transactions in similar instruments, completed or pending third-party transactions in the underlying investment or comparable entities, subsequent rounds of financing, recapitalizations and other transactions, offerings in the equity or debt capital markets, and changes in financial ratios or cash flows.

For positions that are not traded in active markets or are subject to transfer restrictions, valuations are adjusted to reflect illiquidity and/or non-transferability and such adjustments are generally based on available market information. In the absence of such evidence, management's best estimate is used.

The values assigned to the Fund's investments are based upon available information and do not necessarily represent amounts which might ultimately be realized, since such amounts depend on future circumstances and are not ultimately determined until the individual positions are liquidated. The estimated values could differ significantly had a ready market existed and these differences could be material.

Investment Transactions — The Fund records investment transactions upon closing of the transaction. Investment gains and losses are recorded on a specific identification basis.

Distributions from LLC Companies —The General Partner evaluates all distributions received or receivable from LLC investments to determine if the distribution is income or a return of capital. Distributions classified as a return of capital result in a direct reduction to the cost basis for that investment.

Cash — Cash consists of operating cash. As of December 31, 2014, all cash is held at major financial institutions.

Interest and Dividends — Interest is recorded as earned on the accrual basis and dividends are recognized when declared unless collection is deemed to be doubtful.

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2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Foreign Currency Translation — Investments denominated in foreign currency other than U.S. dollars are translated using foreign currency spot rates at the valuation date. The Fund does not isolate that portion of the results of operations resulting from changes in foreign exchange rates on investments from the fluctuations arising from changes in value of securities held. Such fluctuations are included with the net change in unrealized gain and foreign currency translation on investments in the Statement of Operations.

Income Taxes — The Fund is not required to pay income taxes on income, profits or capital gains. Each Partner's applicable share of the Fund's taxable income is reported on the Partner's individual income tax returns in accordance with the laws of the applicable jurisdictions.

The General Partner is responsible for determining whether a tax position taken by the Fund is more likely than not to be sustained on the merits. The Fund has no material unrecognized tax benefits and has not recognized in these financial statements any interest or penalties related to income taxes. The Fund is subject to U.S. federal, state or local income tax examinations by tax authorities for all periods since the Initial Closing.

Tax laws are complex and subject to different interpretations by the taxpayer and taxing authorities. Significant judgment is required when evaluating tax positions and related uncertainties. Future events such as changes in tax legislation could require a provision for income taxes and any such changes could significantly affect the amounts reported in the Statement of Operations.

3. INVESTMENTS

The following are the Fund's investments owned by level within the fair value hierarchy as of December 31, 2014:

	Level 1	Level 2	Level 3	Total
Assets				
Investments				
Preferred stock	$ -	$ -	$ 170,759,205	$ 170,759,205
Common stock	22,034,290	4,064,809	7,272,385	33,371,484
Membership interests	-	-	8,073,897	8,073,897
Escrow	-	7,651,121	-	7,651,121
Convertible notes/SAFE	-	-	2,369,920	2,369,920
Total Investments	$ 22,034,290	$ 11,715,930	$ 188,475,407	$ 222,225,627

The following summarizes changes in fair value of the Fund's Level 3 assets for the year ended December 31, 2014. The information reflects gains and losses for assets and liabilities categorized as Level 3 that are still held as of December 31, 2014.

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3. INVESTMENTS (CONTINUED)

	Preferred Stock	Common Stock	Membership Interests	Convertible Notes/SAFE	Total
Balance - December 31, 2013	$ 84,915,862	$ 3,924,033	$ 7,434,428	$2,886,957	$ 99,161,280
Net realized gains/(losses)	4,403,834	-	-	11,050	4,414,884
Change in unrealized gains/(losses)	40,185,217	1,987,833	44,288	(17,037)	42,200,301
Purchases	43,227,608	1,022,413	713,340	7,888,772	52,852,133
Conversion of investments	7,860,518	338,106	-	(8,198,624)	-
Sales	(9,833,834)	-	(118,159)	(201,198)	(10,153,191)
Balance - December 31, 2014	$ 170,759,205	$ 7,272,385	$ 8,073,897	$2,369,920	$188,475,407
Change in unrealized gains/(losses) on assets still held	$ 39,900,631	$ 1,987,833	$ 44,288	$ (5,080)	$ 41,927,672

The following table presents quantitative information about the significant unobservable inputs of the Fund's Level 3 investments as of December 31, 2014. The below table is not intended to be all-inclusive but rather to provide information on significant unobservable inputs and valuation techniques used by the Fund.

Investments	Fair Value at December 31, 2014	Valuation Techniques	Unobservable Input	Inputs
Preferred stock, common stock and membership interests	$ 144,206,791	Last Financing (12 months or less)	N/A	N/A
		Company performance against plan	N/A	N/A
Preferred stock, common stock and membership interests	$ 37,932,624	Last Financing (13 to 24 months)	N/A	N/A
		Company performance against plan	N/A	N/A
		Public company comparable analysis	Revenue multiple	1.5x - 18.4x
			Liquidity discount	20%

The above table does not include all Level 3 investments as certain investments were either deemed immaterial or are scoped out for the purpose of this disclosure.

4. CAPITAL COMMITMENTS AND CONTRIBUTIONS

Capital Commitments to the Fund total $230,000,000. Capital Commitments include commitments from the Fund's General Partner totaling $7,150,000. As of December 31, 2014, total Capital Contributions drawn, which include Capital Contributions for Portfolio Investments, Management Fees and Partnership Expenses, were $166,062,363, or 72.20% of Capital Commitments.

The Partners' commitment to provide funds with respect to Portfolio Investments will terminate after the Commitment Period, except to the extent necessary to (i) make Follow-On Investments and (ii) make an investment committed to in writing prior to the sixth anniversary of the Final Closing.

5. ALLOCATION OF NET INCOME AND NET LOSSES

Net Income and Net Loss for each fiscal year will generally be allocated among the Partners in a manner such that the Capital Account of each Partner, immediately after making such allocation, is, as nearly as possible, equal (proportionally) to the distributions that would be made to such Partner if the Fund were dissolved, its affairs wound up and its assets sold for cash equal to their respective Book Values, all liabilities satisfied in accordance with their terms (limited with respect to each non-recourse liability to the Book Value of the assets securing such liability), and the net assets of the Fund were distributed to the Partners in accordance with the Distributions section below (see Note 6).

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5. ALLOCATION OF NET INCOME AND NET LOSSES (CONTINUED)

As of December 31, 2014, items of gain, loss, income and expense of the Fund were allocated among the Limited Partners and General Partner on a hypothetical liquidation basis in a manner consistent with the provisions set forth in the Agreement. For the year ended December 31, 2014, $7,719,205 of carried interest was allocated to the General Partner. Of this, $417,987 is allocated as realized gain and $7,301,218 is allocated as unrealized gain. For the year ended December 31, 2014, $2,797,997 of carried interest was paid to the General Partner as a Tax Distribution as set forth in the Agreement. As of December 31, 2014, the General Partner's capital account included $23,348,669 of carried interest.

6. DISTRIBUTIONS

The General Partner will make distributions to the Partners following the receipt by the Fund of Distributable Cash from investments in accordance with the Agreement. The General Partner, in its sole discretion, will be entitled to withhold from any distribution amounts necessary for reasonable reserves as well as for any required tax withholdings. The General Partner may also make tax distributions to enable Partners to pay income tax liabilities arising from allocations of taxable income made pursuant to the Agreement.

Distributions of Distributable Cash attributable to any Portfolio Investment ("Investment Proceeds") will initially be made to the Partners in proportion to each of their respective Percentage Interests with respect to such Portfolio Investment. Notwithstanding the foregoing, each Limited Partner's share of each distribution of Investment Proceeds will be divided between such Limited Partner and the General Partner as follows:

(i) First, one hundred percent (100%) to the Limited Partner until such Limited Partner has received cumulative distributions equal to such Limited Partner's aggregate Capital Contributions; and

(ii) Thereafter, eighty percent (80%) to the Limited Partner, and twenty percent (20%) to the General Partner.

7. MANAGEMENT FEE

In consideration of the Manager's services as described on the Management Agreement, the Fund will pay to the Manager a Management Fee. The Management Fee will be payable semi-annually in advance, commencing as of the Initial Closing. The Management Fee will be equal to the following amount:

(i) Prior to the expiration or termination of the Commitment Period, 2.5% per annum of the aggregate Capital Commitments of the Limited Partners; and

(ii) Thereafter, 2.5% per annum of the actual invested capital, including capital that has been reserved for Follow-On Investments, as of the first day of such period.

For the year ended December 31, 2014, the Fund paid $5,571,250 of Management Fees to the Manager

The Management Fee payable by the Fund is reduced by the Fund's share of certain fees earned by the Manager and its affiliates as set forth in the Management Agreement. The reduction is equal to 100% of the allocable deal fees earned by the Manager. During the year ended December 31, 2014, the Management Fee was not reduced by any allocable fees.

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8. PARTNERSHIP EXPENSES

The Fund will be responsible for all Partnership Expenses incurred by it or on its behalf, including, without limitation, out-of-pocket expenses relating to the purchase, holding and sale or proposed sale of Fund investments, out-of-pocket expenses relating to transactions not consummated, costs incurred in connection with preparation of or relating to reports made to Partners, interest on and fees and expenses related to all borrowings, liability insurance, legal fees, expenses of liquidating the Fund and governmental fees.

The Fund will reimburse the General Partner and its Affiliates for all reasonable Organizational Expenses of the Fund paid or accrued by them.

9. RELATED PARTY TRANSACTIONS

The members of the General Partner are present members, partners, directors, officers, employees and/or consultants of the Manager. The General Partner and/or Manager pay the expenses of providing their services to the Fund (such as compensation of their employees, rent, utilities, office expenses, etc.).

As of December 31, 2014, the Fund had no balance due to Manager

A member of the General Partner is a founding member and shareholder of Chain, Inc. (f/k/a Albumatic, Inc.).

10. LINE OF CREDIT

The Fund has a demand revolving credit facility with a bank that allows access to a $15 million line of credit backed by outstanding commitments, payable on maturity date of September 17, 2015. Interest is payable monthly on the first calendar day of each month. Interest accrues on outstanding borrowings equal to the greater of the prime rate less one half percent (.5%) or three percent (3%).

During the year ended December 31, 2014, the Fund had seven separate drawdowns. For the year ended December 31, 2014, $20,707 of interest expense was included in professional fees and other expenses on the Statement of Operations. As of December 31, 2014, the Fund did not have an outstanding balance.

11. RISK FACTORS

The Fund's investment objectives are long-term and highly illiquid and there is no assurance that the Fund will achieve investment objectives including targeted returns. Due to the illiquidity of the investments, valuation of the assets may be difficult, as there generally will be no established markets for these assets. All changes in market conditions will directly affect the net asset value of the Fund.

The Fund's investing activities expose it to various types of risk that are associated with the financial instruments and markets in which it invests. The significant types of financial risks to which the Fund is exposed include, but are not limited to, performance risk, liquidity risk, and other additional risks. Certain aspects of those risks are addressed below.

Performance Risk — Each of the Fund's investments carries performance risk, which encompasses the potential for both losses and gains and includes the financial performance of the investment, the health of the industry in which it operates, the health of its potential acquirers, and public market appetite for the sector in which it operates.

Liquidity Risk — Fund investments that are initially privately held have no readily available secondary market. Therefore, there is no assurance that the Fund will be able to realize liquidity.

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11. RISK FACTORS (CONTINUED)

Other Risks — Legal, tax and regulatory changes could occur during the duration of the Fund which may adversely affect the Fund. The Fund will be subject to a variety of litigation risks, particularly if one or more of its portfolio companies face financial or other difficulties during the term of the Fund.

12. COMMITMENTS AND CONTINGENCIES

In the normal course of business, the Fund enters into contracts that contain a variety of representations and warranties and which provide general indemnifications. The Fund's maximum exposure under these arrangements is unknown, as this would involve future claims that may be made against the Fund that have not yet occurred. The Fund does not expect to suffer any material losses in connection with its contracts.

13. FINANCIAL HIGHLIGHTS

The financial ratios presented below are for the year ended December 31, 2014 and are calculated for Limited Partners as a whole and exclude data for the General Partner The internal rate of return presented below is based on the actual dates of capital contributions, distributions and the net assets of the Limited Partners at the end of the year ended December 31, 2014, and is net of carried interest allocated to the General Partner. Calculations of these highlights on an individual Limited Partner basis may yield results that vary from those stated herein.

Ratio to Average Limited Partner Capital:	
Net Investment Income/(Loss)	(3.64)%
Expense	3.80 %
General Partner's Carried Interest	4.78 %
Expense and General Partner's Carried Interest	8.58 %
Internal Rate of Return:	
Through December 31, 2014	43.23 %
Through December 31, 2013	59.73 %

14. SUBSEQUENT EVENTS

During the period from January 1, 2015 through February 25, 2015, there were no material subsequent events requiring disclosure.

The General Partner has evaluated events through February 25, 2015, the date that these financial statements were available to be issued.

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ACCOUNTANTS & ADVISORS

INDEPENDENT AUDITORS' REPORT ON SUPPLEMENTARY INFORMATION

To the General Partner of
RRE Ventures V, L.P.

We have audited the financial statements of RRE Ventures V, L.P., as of December 31, 2014, and for the year then ended and have issued our report thereon dated February 25, 2015, which expressed an unmodified opinion on those financial statements. Our audit was performed for the purpose of forming an opinion on the financial statements as a whole. The schedule of changes in capital account balances by partner is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

EisnerAmper LLP

New York, New York
February 25, 2015

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RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Schedule of Changes in Capital Account Balances by Partner
For the Year Ended December 31, 2014 (1)

Partner (2)	Beginning Balance	Capital Contributions	Distributions	Net Investment Loss	Net Realized Gain	Net Change In Unrealized Gain and Foreign Currency Translation	Partner Transfer	Ending Balance
General Partner:								
5200	$ 22,838,842	$ 1,552,441	$ (3,178,091)	$ (9,641)	$ 673,432	$ 8,472,493	$ -	$ 30,349,476
Limited Partners:								
5201	267,140	121,060	(20,305)	(13,175)	16,925	65,527	-	437,172
5202	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5203	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5204	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5205	267,140	121,060	(20,305)	(13,175)	16,925	65,527	-	437,172
5206	133,570	60,533	(10,151)	(6,587)	8,462	32,763		218,590
5207	1,602,858	726,366	(121,814)	(79,046)	101,553	393,156	-	2,623,073
5208	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5209	641,141	290,550	(48,725)	(31,619)	40,621	157,262		1,049,230
5210	1,495,998	677,949	(113,695)	(73,776)	94,783	366,945	-	2,448,204
5211	1,068,573	484,248	(81,211)	(52,696)	67,703	262,103	-	1,748,720
5212	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5213	1,068,573	484,248	(81,211)	(52,696)	67,703	262,103	-	1,748,720
5214	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5215	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5216	320,573	145,277	(24,363)	(15,810)	20,310	78,631		524,618
5217	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5218	2,671,432	1,210,625	(203,024)	(131,743)	169,255	655,259	-	4,371,804
5219	5,342,857	2,421,244	(406,048)	(263,483)	338,511	1,310,517	-	8,743,598
5220	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5221	2,671,433	1,210,625	(203,024)	(131,743)	169,254	655,259	-	4,371,804
5222	1,068,573	484,248	(81,211)	(52,696)	67,703	262,103	-	1,748,720
5223	133,570	60,533	(10,151)	(6,587)	8,462	32,763	-	218,590
5224	1,068,573	484,248	(81,211)	(52,696)	67,703	262,103	-	1,748,720
5225	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5226	-	-	-	-	-	-	874,363	874,363
5227	2,671,433	1,210,625	(203,024)	(131,743)	169,254	655,259		4,371,804
5228	8,014,289	3,631,874	(609,068)	(395,225)	507,764	1,965,776	-	13,115,410
5229	1,602,859	726,368	(121,814)	(79,046)	101,552	393,156	-	2,623,073
5230	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5231	2,137,140	968,497	(162,419)	(105,393)	135,404	524,207	-	3,497,436
5232	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5233	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5234	267,140	121,060	(20,305)	(13,175)	16,925	65,527	-	437,172
5235	1,068,573	484,248	(81,211)	(52,696)	67,703	262,103	-	1,748,720
5236	801,424	363,188	(60,909)	(39,522)	50,776	196,578	-	1,311,533
5237	5,342,860	2,421,244	(406,048)	(263,484)	338,509	1,310,517	-	8,743,598
5238	8,014,289	3,631,874	(609,068)	(395,225)	507,764	1,965,776	-	13,115,410
5239	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5240	267,140	121,060	(20,305)	(13,175)	16,925	65,527		437,172
5241	1,068,573	484,248	(81,211)	(52,696)	67,703	262,103	-	1,748,720
5242	534,284	242,128	(40,603)	(26,348)	33,851	131,051		874,363
5243	267,140	121,060	(20,305)	(13,175)	16,925	65,527	-	437,172
5244	534,284	242,128	(40,603)	(26,348)	33,851	131,051		874,363

See accompanying notes to Financial Statements

RRE Ventures V, L.P.
(a Delaware Limited Partnership)
Schedule of Changes in Capital Account Balances by Partner
For the Year Ended December 31, 2014 (1)

Continued

Partner (2)	Beginning Balance	Capital Contributions	Distributions	Net Investment Loss	Net Realized Gain	Net Change in Unrealized Gain and Foreign Currency Translation	Partner Transfer	Ending Balance
Limited Partners:								
5245	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5246	8,014,288	3,631,874	(609,068)	(395,225)	507,765	1,965,776	-	13,115,410
5247	1,068,573	484,248	(81,211)	(52,636)	67,703	262,103	-	1,748,720
5248	1,202,147	544,779	(91,360)	(59,284)	76,165	294,866	-	1,967,313
5249	534,284	242,128	(40,603)	(26,348)	33,851	131,051	(874,363)	-
5250	10,685,712	4,842,497	(812,092)	(526,967)	677,019	2,621,034	-	17,487,203
5251	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5252	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5253	2,671,433	1,210,625	(203,024)	(131,743)	169,254	655,259	-	4,371,804
5254	267,140	121,060	(20,305)	(13,175)	16,925	65,527	-	437,172
5255	2,671,433	1,210,625	(203,024)	(131,743)	169,254	655,259	-	4,371,804
5256	400,710	181,591	(30,454)	(19,761)	25,387	98,289	-	655,762
5257	26,711	12,107	(2,029)	(1,318)	1,692	6,553	-	43,716
5258	801,424	363,186	(60,909)	(39,522)	50,776	196,578	-	1,311,533
5259	2,671,433	1,210,625	(203,024)	(131,743)	169,254	655,259	-	4,371,804
5260	267,140	121,060	(20,305)	(13,175)	16,925	65,527	-	437,172
5261	267,140	121,060	(20,305)	(13,175)	16,925	65,527	-	437,172
5262	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5263	8,014,288	3,631,874	(609,068)	(395,225)	507,765	1,965,776	-	13,115,410
5264	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5265	106,855	48,427	(8,120)	(5,270)	6,768	26,210	-	174,871
5266	13,357,145	6,053,121	(1,015,115)	(658,707)	846,274	3,276,294	-	21,859,012
5267	1,602,858	726,366	(121,814)	(79,046)	101,552	393,156	-	2,623,072
5268	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5269	534,284	242,128	(40,603)	(26,348)	33,851	131,051	-	874,363
5270	801,423	363,186	(60,909)	(39,522)	50,776	196,578	-	1,311,532
Total Limited Partners	119,065,533	53,957,539	(9,048,744)	(5,871,732)	7,543,681	29,204,872	-	194,851,149
Total Partners	$ 141,904,375	$ 55,509,980	$ (12,226,835)	$ (5,881,373)	$ 8,217,113	$ 37,677,365	$ -	$ 225,200,625

(1) Information on this supplemental schedule should not be used for income tax purposes.

(2) For purposes of confidentiality, the name of each partner has been replaced with an identifying partner number.

See accompanying notes to Financial Statements

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RRE VENTURES VI, L.P.

(a Delaware Limited Partnership)

FINANCIAL STATEMENTS

DECEMBER 31, 2014

RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
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INDEPENDENT AUDITORS' REPORT

To the General Partner of
RRE Ventures VI, L.P.

Report on the Financial Statements

We have audited the accompanying financial statements of RRE Ventures VI, L.P., which comprise the statement of assets, liabilities and partner's capital, including the schedule of portfolio investments, as of December 31, 2014, and the related statements of operations, changes in partners' capital and cash flows for the period from May 15, 2014 (commencement of operations) through December 31, 2014, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of RRE Ventures VI, L.P., as of December 31, 2014, and the results of its operations, changes in its partners' capital and its cash flows for the period from May 15, 2014 (commencement of operations) through December 31, 2014 in accordance with accounting principles generally accepted in the United States of America.

EisnerAmper LLP

New York, New York
February 25, 2015

RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
Statement of Assets, Liabilities and Partners' Capital
December 31, 2014

Assets

Investments at fair value (cost basis $29,321,124)	$	29,105,741
Cash		19,134,077
Prepaid expenses		26,097
Total assets	$	48,265,915

Liabilities and Partners' Capital

Liabilities:		
Accrued expenses	$	84,135
Due to manager		27,929
Total liabilities		112,064
Partners' capital		48,153,851
Total liabilities and partners' capital	$	48,265,915

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See accompanying notes to Financial Statements

RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Advertising Technology:			
Beeswax.io Corporation (New York, NY)			
Simple Agreement for Future Equity (SAFE)	$ 200,000	$ 200,000	0.42%
Total Advertising Technology	200,000	200,000	0.42%
Enterprise Systems and Software:			
Bowery, Inc. (New York, NY)			
4% Convertible Promissory Note, due on 7/15/2016	200,000	200,000	0.42%
Byte Inc. (San Diego, CA)			
282,374 Series A Preferred Stock shares	500,000	500,000	1.04%
Clubhouse Software, Inc. (Brooklyn, NY)			
34,364 Series Seed Preferred Stock shares	199,998	199,998	0.42%
Dextro Inc. (New York, NY)			
3% Convertible Promissory Note, due on 12/31/2015	350,000	350,000	0.72%
Prime Directive, Inc. (dba Flynn) (Newark, DE)			
Simple Agreement for Future Equity (SAFE)	500,000	500,000	1.04%
Total Enterprise Systems and Software	1,749,998	1,749,998	3.64%
Financial Services / Financial Technology:			
Avant Credit Corporation (Chicago, IL)			
90,645 Series D Preferred Stock shares	5,000,005	5,000,005	10.38%
Bitco Financial, Inc. (dba Bolt) (Palo Alto, CA)			
6% Convertible Promissory Note, due on 6/11/2015	100,000	100,000	0.21%
Bitcoin Opportunity Corp. (New York, NY)			
1,874 Common Stock shares	3,698,350	3,698,350	7.68%
Haitou Inc.(New York, NY)			
0.36% Convertible Promissory Note, due on 10/8/2016	50,000	50,000	0.10%
Lon Inc. (New York, NY)			
4% Convertible Promissory Note, due on 9/30/2016	500,000	500,000	1.04%
Plutus Financial Inc. (dba Abra) (Saratoga, CA)			
224,997 Series Seed Preferred Stock shares	200,000	200,000	0.42%
450,000 Common Stock shares	45	45	0.00%
	200,045	200,045	0.42%
Total Financial Services / Financial Technology	9,548,400	9,548,400	19.83%
Hardware / Products:			
Accion Systems Inc. (Cambridge, MA)			
269,594 Series Seed Preferred Stock shares	280,000	280,000	0.58%
Clearpath Robotics, Inc. (Ontario, Canada)			
653,467 Class A1 Preferred Shares	8,265,919	8,050,536	16.72%
Total Hardware / Products	8,545,919	8,330,536	17.30%

See accompanying notes to Financial Statements

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RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
Schedule of Portfolio Investments (Continued)
December 31, 2014

Industry Company (Location) Description of Securities	Cost	Fair Value	% of Partners' Capital
Media:			
The Campus Job, Inc. (New York, NY) 4% Convertible Promissory Note, due on 6/5/2016	$ 100,000	$ 100,000	0.21%
theSkimm, Inc. (New York, NY) 4,727,528 Series A Preferred Stock shares	4,826,806	4,826,806	10.02%
Total Media	4,926,806	4,926,806	10.23%
Technology Enabled Services			
CollectiveHealth, Inc. (San Mateo, CA) 997,374 Series B Preferred Stock shares	3,000,001	3,000,001	6.22%
DSSV, Inc. (dba KidCasa) (San Francisco, CA) 621,813 Series Seed Preferred Stock shares	500,000	500,000	1.04%
Managed by Q, Inc. (New York, NY) 6% Convertible Promissory Note, due on 10/24/2015	600,000	600,000	1.25%
TheSquareFoot, Inc. (New York, NY) 227,863 Series Seed Preferred Stock shares	250,000	250,000	0.52%
Total Technology Enabled Services	4,350,001	4,350,001	9.03%
Total Investments	$ 29,321,124	$ 29,105,741	60.45%

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See accompanying notes to Financial Statements

RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
Statement of Operations
For the Period from May 15, 2014 (Commencement of Operations) to December 31, 2014

Expenses		
Management fee	$	4,284,403
Organizational expenses		596,887
Professional fees and other expenses		220,180
Total expenses		5,101,470
Net investment loss		(5,101,470)
Net change in unrealized gain/(loss) and foreign currency translation on investments		
Net change in unrealized loss and foreign currency translation on investments		(215,383)
Net change in unrealized loss and foreign currency translation on investments		(215,383)
Net decrease in Partners' Capital from operations	$	(5,316,853)

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See accompanying notes to Financial Statements

RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
Statement of Changes in Partners' Capital
For the Period from May 15, 2014 (Commencement of Operations) to December 31, 2014

	General Partner	Limited Partners	Total
Balance, May 15, 2014	$ -	$ -	$ -
Capital contributions	1,126,248	52,431,556	53,557,804
Syndication costs	(1,991)	(85,109)	(87,100)
Net investment loss	(18,676)	(5,082,794)	(5,101,470)
Net change in unrealized loss and foreign currency translation on investments	(4,923)	(210,460)	(215,383)
Balance, December 31, 2014	$ 1,100,658	$ 47,053,193	$ 48,153,851

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See accompanying notes to Financial Statements

RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
Statement of Cash Flows
For the Period from May 15, 2014 (Commencement of Operations) to December 31, 2014

Cash flows from operating activities:		
Net decrease in Partners' Capital resulting from operations	$	(5,316,853)
Adjustments to reconcile net decrease in Partners' Capital resulting from operations to net cash used in operating activities:		
Net change in unrealized loss and foreign currency translation on investments		215,383
Changes in assets and liabilities:		
Purchase of portfolio investments		(29,321,124)
Prepaid expenses		(26,097)
Accrued expenses		84,135
Due to manager		27,929
Net cash used in operating activities		(34,336,627)
Cash flows from financing activities:		
Capital contributions		53,557,804
Syndication costs		(87,100)
Net cash provided by financing activities		53,470,704
Net increase in cash		19,134,077
Cash, May 15, 2014		-
Cash, December 31, 2014	$	19,134,077

See accompanying notes to Financial Statements

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1. ORGANIZATION AND PURPOSE

RRE Ventures VI, L.P. (the "Fund") is a limited partnership formed under the laws of the State of Delaware for the purpose of making Portfolio Investments, as defined in the Amended and Restated Limited Partnership Agreement of the Fund dated February 27, 2014 as amended from time to time (the "Agreement"). Capitalized terms used herein and not otherwise defined will have the meaning set forth in the Agreement. To the extent that this and the other notes that follow describe or refer to the terms and provisions of the Agreement, they are intended as summaries only and are qualified in their entirety by reference to the Agreement itself.

The Fund was formed February 25, 2014, and its Commencement Date (Management Fee accrual start date) was May 15, 2014. The Fund's Initial Closing was held on February 27, 2014 and its Final Closing was held on April 25, 2014. The Fund has a term of 10 years from the Commencement Date and is subject to earlier dissolution and termination upon the occurrence of certain events as described in the Agreement. The General Partner may extend the term of the Fund for up to two successive one-year periods, in each case with the consent of the Advisory Committee. Thereafter, the Fund will liquidate in an orderly manner and distribute all investments or proceeds.

The general partner of the Fund is RRE Ventures GP VI, LLC (the "General Partner"). Pursuant to the terms of the Management Agreement, RRE Advisors, L.L.C. (the "Manager"), a Delaware limited liability company and an affiliate of the General Partner, originates and recommends investment opportunities to the Fund, monitors and evaluates investments, and performs certain administrative services.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation — The accompanying financial statements are prepared in accordance with accounting principles generally accepted in the United States of America ("GAAP") as detailed in the Financial Accounting Standards Board's ("FASB") Accounting Standard Codification ("ASC" or the "Codification"). The Fund is an investment company following the accounting and reporting guidance in ASC 946, Financial Services – Investment Companies.

Use of Estimates — The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Investment Valuation — The Fund carries its investments at fair value. Fair value is an estimate of the exit price, representing the amount that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants (i.e., the exit price at the measurement date). Fair value measurements are not adjusted for transaction costs.

In determining fair value, the Fund uses various valuation approaches. A fair value hierarchy for inputs is used in measuring fair value, and is categorized into three levels to prioritize inputs as follows:

Level 1 Unadjusted quoted prices in active markets for identical assets or liabilities.

Level 2 Inputs other than quoted market prices that are observable, either directly or indirectly, and reasonably available. Observable inputs reflect the assumptions market participants would use in pricing the asset or liability and are developed based on market data obtained from sources independent of the Fund.

Level 3 Unobservable inputs that reflect the assumptions that the General Partner develops based on available information about what market participants would use in valuing the asset or liability.

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2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

An asset or liability's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Availability of observable inputs can vary and is affected by a variety of factors. The General Partner uses judgment in determining the fair value of assets and liabilities. Level 3 assets and liabilities involve greater judgment than Level 1 or Level 2 assets and liabilities.

The Fund's Portfolio Investments are generally restricted, encumbered, not actively traded nor intended for immediate sale. Such investments are valued at fair value as determined in good faith by the General Partner after consideration of all pertinent information, including available market prices, types of securities, marketability, restrictions on disposition, the effect of any encumbrances, current and projected financial position and operating results of the Portfolio Investments, and other appropriate information impacting the company and its industry. Ongoing, quarterly reviews by the General Partner are based on the assessment of trends in the performance of each underlying investment from the inception date through the most recent valuation date.

Unobservable inputs are used to measure fair value to the extent that observable inputs are not available. Fair value of Level 3 investments is determined using valuation methodologies that consider a range of factors, including, but not limited to, the nature of the investment, market conditions, trading values on public exchanges for comparable securities, current and projected operating performance and financing transactions subsequent to the acquisition of the investments.

When a pricing model is used to value investments, inputs to the model are adjusted when changes to inputs and assumptions are corroborated by evidence such as transactions in similar instruments, completed or pending third-party transactions in the underlying investment or comparable entities, subsequent rounds of financing, recapitalizations and other transactions, offerings in the equity or debt capital markets, and changes in financial ratios or cash flows.

For positions that are not traded in active markets or are subject to transfer restrictions, valuations are adjusted to reflect illiquidity and/or non-transferability and such adjustments are generally based on available market information. In the absence of such evidence, management's best estimate is used.

The values assigned to the Fund's investments are based upon available information and do not necessarily represent amounts which might ultimately be realized, since such amounts depend on future circumstances and are not ultimately determined until the individual positions are liquidated. The estimated values could differ significantly had a ready market existed and these differences could be material.

Investment Transactions — The Fund records investment transactions upon closing of the transaction. Investment gains and losses are recorded on a specific identification basis.

Cash — Cash consists of operating cash. As of December 31, 2014, all cash is held at major financial institutions.

Interest and Dividends — Interest is recorded as earned on the accrual basis and dividends are recognized when declared unless collection is deemed to be doubtful.

Foreign Currency Translation — Investments denominated in foreign currency other than U.S. dollars are translated using foreign currency spot rates at the valuation date. The Fund does not isolate that portion of the results of operations resulting from changes in foreign exchange rates on investments from the fluctuations arising from changes in value of securities held. Such fluctuations are included with the net change in unrealized gain and foreign currency translation on investments in the Statement of Operations.

Income Taxes — The Fund is not required to pay income taxes on income, profits or capital gains. Each Partner's applicable share of the Fund's taxable income is reported on the Partner's individual income tax returns in accordance with the laws of the applicable jurisdictions.

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2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

The General Partner is responsible for determining whether a tax position taken by the Fund is more likely than not to be sustained on the merits. The Fund has no material unrecognized tax benefits and has not recognized in these financial statements any interest or penalties related to income taxes. The Fund is subject to U.S. federal, state or local income tax examinations by tax authorities for all periods since the Initial Closing.

Tax laws are complex and subject to different interpretations by the taxpayer and taxing authorities. Significant judgment is required when evaluating tax positions and related uncertainties. Future events such as changes in tax legislation could require a provision for income taxes and any such changes could significantly affect the amounts reported in the Statement of Operations.

3. INVESTMENTS

The following are the Fund's investments owned by level within the fair value hierarchy as of December 31, 2014:

	Level 1	Level 2	Level 3	Total
Assets				
Investments				
Preferred stock	$ -	$ -	$ 22,807,346	$ 22,807,346
Common stock	-	-	3,698,395	3,698,395
Convertible notes/SAFE	-	-	2,600,000	2,600,000
Total Investments	$ -	$ -	$ 29,105,741	$ 29,105,741

The following summarizes changes in fair value of the Fund's Level 3 assets for the period from May 15, 2014 (Commencement of Operations) to December 31, 2014. The information reflects gains and losses for assets and liabilities categorized as Level 3 that are still held as of December 31, 2014.

	Preferred Stock	Common Stock	Convertible Notes/SAFE	Total
Balance - May 15, 2014	$ -	$ -	$ -	$ -
Net realized gains/(losses)	-	-	-	-
Change in unrealized gains/(losses)	(215,383)	-	-	(215,383)
Purchases	23,022,729	3,698,395	2,600,000	29,321,124
Conversion of investments	-	-	-	-
Sales	-	-	-	-
Transfers into (out of) Level 3	-	-	-	-
Balance - December 31, 2014	$ 22,807,346	$ 3,698,395	$ 2,600,000	$ 29,105,741
Change in unrealized gains/(losses) on assets still held	$ (215,383)	$ -	$ -	$ (215,383)

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3. INVESTMENTS (CONTINUED)

The following table presents quantitative information about the significant unobservable inputs of the Fund's Level 3 investments as of December 31, 2014. The below table is not intended to be all-inclusive but rather to provide information on significant unobservable inputs and valuation techniques used by the Fund.

Valuation Technique	Fair Value at December 31, 2014	Unobservable Input	Inputs
Last Financing (12 months or less)	$ 29,105,741	n/a	n/a

4. CAPITAL COMMITMENTS AND CONTRIBUTIONS

Capital Commitments to the Fund total $280,000,000. Capital Commitments include commitments from the Fund's General Partner totaling $6,400,000. As of December 31, 2014, total Capital Contributions drawn, which include Capital Contributions for Portfolio Investments, Management Fees and Partnership Expenses, were $53,557,804, or 19.13% of Capital Commitments.

The Partners' commitment to provide funds with respect to Portfolio Investments will terminate after the Commitment Period, except to the extent necessary to (i) make Follow-On Investments and (ii) make an investment committed to in writing prior to the sixth anniversary of the Commencement Date.

5. ALLOCATION OF NET INCOME AND NET LOSSES

Net Income and Net Loss for each fiscal year will generally be allocated among the Partners in a manner such that the Capital Account of each Partner, immediately after making such allocation, is, as nearly as possible, equal (proportionally) to the distributions that would be made to such Partner if the Fund were dissolved, its affairs wound up and its assets sold for cash equal to their respective Book Values, all liabilities satisfied in accordance with their terms (limited with respect to each non-recourse liability to the Book Value of the assets securing such liability), and the net assets of the Fund were distributed to the Partners in accordance with the Distributions section below (see Note 6).

As of December 31, 2014, items of gain, loss, income and expense of the Fund were allocated among the Limited Partners and General Partner on a hypothetical liquidation basis in a manner consistent with the provisions set forth in the Agreement. For the period from May 15, 2014 (Commencement of Operations) to December 31, 2014, the General Partner was not allocated carried interest.

6. DISTRIBUTIONS

The General Partner will make distributions to the Partners following the receipt by the Fund of Distributable Cash from investments in accordance with the Agreement. The General Partner, in its sole discretion, will be entitled to withhold from any distribution amounts necessary for reasonable reserves as well as for any required tax withholdings. The General Partner may also make tax distributions to enable Partners to pay income tax liabilities arising from allocations of taxable income made pursuant to the Agreement.

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6. DISTRIBUTIONS (CONTINUED)

Distributions of Distributable Cash attributable to any Portfolio Investment ("Investment Proceeds") will initially be made to the Partners in proportion to each of their respective Percentage Interests with respect to such Portfolio Investment. Notwithstanding the foregoing, each Limited Partner's share of each distribution of Investment Proceeds will be divided between such Limited Partner and the General Partner as follows:

(i) First, one hundred percent (100%) to the Limited Partner until such Limited Partner has received cumulative distributions equal to such Limited Partner's aggregate Capital Contributions invested in Realized Investments or used to pay Allocable Expenses; and

(ii) Thereafter, eighty percent (80%) to the Limited Partner, and twenty percent (20%) to the General Partner.

7. MANAGEMENT FEE

In consideration of the Manager's services as described on the Management Agreement, the Fund will pay to the Manager a Management Fee. The Management Fee will be payable quarterly in advance, commencing as of the Fee Commencement Date (May 15, 2014). The Management Fee will be equal to the following amount:

(i) Prior to the expiration or termination of the Commitment Period, 2.5% per annum of the aggregate Capital Commitments of the Limited Partners; and

(ii) Thereafter, 2.5% per annum of the actual invested capital, including capital that has been reserved for Follow-On Investments, as of the first day of such period.

The Management Fee payable by the Fund is reduced by the Fund's share of certain fees earned by the Manager and its affiliates as set forth in the Management Agreement. The reduction is equal to 100% of the allocable deal fees earned by the Manager. For the period from May 15, 2014 (Commencement of Operations) to December 31, 2014, the Management Fee was not reduced by any allocable fees.

Capital Contributions used to pay Organizational Expenses in excess of $1,000,000 will also reduce the Management Fee. For the period from May 15, 2014 (Commencement of Operations) to December 31, 2014, the Management Fee was not reduced by Excess Organizational Costs.

8. PARTNERSHIP EXPENSES

The Fund will be responsible for all Partnership Expenses incurred by it or on its behalf, including, without limitation, out-of-pocket expenses relating to the purchase, holding and sale or proposed sale of Fund investments, out-of-pocket expenses relating to transactions not consummated, costs incurred in connection with preparation of or relating to reports made to Partners, interest on and fees and expenses related to all borrowings, liability insurance, legal fees, expenses of liquidating the Fund and governmental fees.

The Fund will reimburse the General Partner and its Affiliates for all reasonable Organizational Expenses of the Fund paid or accrued by them.

9. RELATED PARTY TRANSACTIONS

The members of the General Partner are present members, partners, directors, officers, employees and/or consultants of the Manager. The General Partner and/or Manager pay the expenses of providing their services to the Fund (such as compensation of their employees, rent, utilities, office expenses, etc.).

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9. RELATED PARTY TRANSACTIONS (CONTINUED)

The Fund invested alongside RRE Leaders Fund, L.P. in the following Portfolio Investment: Avant Credit Corporation.

A member of the General Partner is a founding member and shareholder of Plutus Financial, Inc.

As of December 31, 2014, the Fund had a balance of $27,929 due to manager.

10. LINE OF CREDIT

The Fund has a demand revolving credit facility with a bank that allows access to a $15 million line of credit backed by outstanding commitments, payable on maturity date of July 14, 2015. Interest is payable monthly on the first calendar day of each month. Interest accrues on outstanding borrowings equal to the prime rate.

For the period from May 15, 2014 (Commencement of Operations) to December 31, 2014, the Fund had two separate drawdowns. For the period from May 15, 2014 (Commencement of Operations) to December 31, 2014, $3,950 of interest expense was included in professional fees and other expenses on the Statement of Operations. As of December 31, 2014, the Fund did not have an outstanding balance.

11. RISK FACTORS

The Fund's investment objectives are long-term and highly illiquid and there is no assurance that the Fund will achieve investment objectives including targeted returns. Due to the illiquidity of the investments, valuation of the assets may be difficult, as there generally will be no established markets for these assets. All changes in market conditions will directly affect the net asset value of the Fund.

The Fund's investing activities expose it to various types of risk that are associated with the financial instruments and markets in which it invests. The significant types of financial risks to which the Fund is exposed include, but are not limited to, performance risk, liquidity risk, and other additional risks. Certain aspects of those risks are addressed below.

Performance Risk — Each of the Fund's investments carries performance risk, which encompasses the potential for both losses and gains and includes the financial performance of the investment, the health of the industry in which it operates, the health of its potential acquirers, and public market appetite for the sector in which it operates.

Liquidity Risk — Fund investments that are initially privately held have no readily available secondary market. Therefore, there is no assurance that the Fund will be able to realize liquidity.

Other Risks — Legal, tax and regulatory changes could occur during the duration of the Fund which may adversely affect the Fund. The Fund will be subject to a variety of litigation risks, particularly if one or more of its portfolio companies face financial or other difficulties during the term of the Fund.

12. COMMITMENTS AND CONTINGENCIES

In the normal course of business, the Fund enters into contracts that contain a variety of representations and warranties and which provide general indemnifications. The Fund's maximum exposure under these arrangements is unknown, as this would involve future claims that may be made against the Fund that have not yet occurred. The Fund does not expect to suffer any material losses in connection with its contracts.

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13. FINANCIAL HIGHLIGHTS

The financial ratios presented below are for the period from May 15, 2014 (Commencement of Operations) to December 31, 2014 (not annualized) and are calculated for Limited Partners as a whole and exclude data for the General Partner. The internal rate of return presented below is based on the actual dates of capital contributions, distributions and the net assets of the Limited Partners for the period from May 15, 2014 (Commencement of Operations) to December 31, 2014, and is net of carried interest allocated to the General Partner. Calculations of these highlights on an individual Limited Partner basis may yield results that vary from those stated herein.

Ratio to Average Limited Partner Capital:	
Net Investment Income/(Loss)	(29.32) %
Expense	29.32 %
General Partner's Carried Interest	- %
Expense and General Partner's Carried Interest	29.32 %
Internal Rate of Return	
Through December 31, 2014	(39.17) %

The ratio of expenses to average net assets and ratio of net investment loss to average net assets is disproportionate in the early part of a private equity fund's life as the capital base initially is small in comparison to the annual expenses incurred. The ratios were computed utilizing the initial due dates of capital contributions.

14. SUBSEQUENT EVENTS

During the period from January 1, 2015 through February 25, 2015, there were no material subsequent events requiring disclosure.

The General Partner has evaluated events through February 25, 2015, the date that these financial statements were available to be issued.

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EISNERAMPER
ACCOUNTANTS & ADVISORS

INDEPENDENT AUDITORS' REPORT ON SUPPLEMENTARY INFORMATION

To the General Partner of
RRE Ventures VI, L.P.

We have audited the financial statements of RRE Ventures VI, L.P., as of December 31, 2014, and for the period from May 15, 2014 (commencement of operations) through December 31, 2014, and have issued our report thereon dated February 25, 2015, which expressed an unmodified opinion on those financial statements. Our audit was performed for the purpose of forming an opinion on the financial statements as a whole. The schedule of changes in capital account balances by partner is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

EisnerAmper LLP

New York, New York
February 25, 2015

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RRE Ventures VI, L.P.

(a Delaware Limited Partnership)

Schedule of Changes in Capital Account Balances by Partner

For the Period from May 15, 2014 (Commencement of Operations) to December 31, 2014[1]

Partner (2)	Beginning Balance	Capital Contributions	Syndication Costs	Net Investment Loss	Net Change in Unrealized Gain and Foreign Currency Translation	Partner Transfers	Ending Balance
General Partner:							
5300	$ -	$ 1,126,248	$ (1,891)	$ (18,676)	$ (4,923)	$ -	$ 1,100,658
Limited Partners:							
5301	-	153,308	(249)	(14,861)	(615)	-	137,583
5302	-	95,819	(156)	(9,289)	(385)	-	85,989
5303	-	191,634	(311)	(18,577)	(769)	-	171,977
5304	-	95,819	(156)	(9,289)	(385)	-	85,989
5305	-	191,634	(311)	(18,577)	(769)	-	171,977
5306	-	383,272	(622)	(37,155)	(1,538)	-	343,957
5307	-	95,819	(156)	(9,289)	(385)	-	85,989
5308	-	383,272	(622)	(37,155)	(1,538)	-	343,957
5309	-	383,272	(622)	(37,155)	(1,538)	-	343,957
5310	-	95,819	(156)	(9,289)	(385)	-	85,989
5311	-	3,832,715	(6,220)	(371,549)	(15,385)	-	3,439,561
5312	-	191,634	(311)	(18,577)	(769)	-	171,977
5313	-	191,634	(311)	(18,577)	(769)	-	171,977
5314	-	191,634	(311)	(18,577)	(769)	-	171,977
5315	-	95,819	(156)	(9,289)	(385)	-	85,989
5316	-	1,916,355	(3,111)	(185,774)	(7,692)	-	1,719,778
5317	-	383,272	(622)	(37,155)	(1,538)	-	343,957
5318	-	95,819	(156)	(9,289)	(385)	-	85,989
5319	-	191,634	(311)	(18,577)	(769)	-	171,977
5320	-	287,454	(467)	(27,866)	(1,154)	-	257,967
5321	-	143,731	(233)	(13,935)	(577)	-	128,986
5322	-	287,454	(467)	(27,866)	(1,154)	-	257,967
5323	-	191,634	(311)	(18,577)	(769)	-	171,977
5324	-	191,634	(311)	(18,577)	(769)	-	171,977
5325	-	2,874,537	(4,666)	(278,661)	(11,539)	-	2,579,871
5326	-	95,819	(156)	(9,289)	(385)	-	85,989
5327	-	95,819	(156)	(9,289)	(385)	-	85,989
5328	-	287,454	(467)	(27,866)	(1,154)	-	257,967
5329	-	958,179	(1,555)	(92,888)	(3,846)	-	859,890
5330	-	330,914	(610)	(34,388)	(1,231)	(19,523)	275,164
5331	-	191,634	(311)	(18,577)	(769)	-	171,977
5332	-	191,634	(311)	(18,577)	(769)	-	171,977
5333	-	603,658	(980)	(58,520)	(2,423)	-	541,733
5334	-	1,312,707	(2,131)	(127,256)	(5,269)	-	1,178,051
5335	-	958,179	(1,555)	(92,888)	(3,846)	-	859,890
5336	-	3,832,715	(6,220)	(371,549)	(15,385)	-	3,439,561
5337	-	191,634	(311)	(18,577)	(769)	-	171,977
5338	-	958,179	(1,555)	(92,888)	(3,846)	-	859,890
5339	-	191,634	(311)	(18,577)	(769)	-	171,977
5340	-	191,634	(311)	(18,577)	(769)	-	171,977
5341	-	574,907	(933)	(55,732)	(2,308)	-	515,934

See accompanying notes to Financial Statements

RRE Ventures VI, L.P.
(a Delaware Limited Partnership)
Schedule of Changes in Capital Account Balances by Partner
For the Period from May 15, 2014 (Commencement of Operations) to December 31, 2014[1]

Continued

Partner (2)	Beginning Balance	Capital Contributions	Syndication Costs	Net Investment Loss	Net Change in Unrealized Gain and Foreign Currency Translation	Partner Transfers	Ending Balance
Limited Partners:							
5342	-	191,634	(311)	(18,577)	(769)	-	171,977
5343	-	383,272	(622)	(37,155)	(1,538)	-	343,957
5344	-	2,874,537	(4,666)	(278,661)	(11,539)	-	2,579,671
5345	-	191,634	(311)	(18,577)	(769)	-	171,977
5346	-	95,819	(156)	(9,289)	(385)	-	85,989
5347	-	287,454	(467)	(27,866)	(1,154)	-	257,987
5348	-	124,563	(202)	(12,077)	(500)	-	111,784
5349	-	191,634	(311)	(18,577)	(769)	-	171,977
5350	-	383,272	(622)	(37,155)	(1,538)	-	343,957
5351	-	143,731	(233)	(13,935)	(577)	-	128,986
5352		191,634	(311)	(18,577)	(769)	-	171,977
5353	-	4,790,893	(7,777)	(464,435)	(19,231)	-	4,299,450
5354	-	28,748	(47)	(2,788)	(115)	-	25,798
5355	-	383,272	(622)	(37,155)	(1,538)	-	343,957
5356	-	431,185	(700)	(41,801)	(1,731)	-	386,953
5357	-	383,272	(622)	(37,155)	(1,538)	(343,957)	-
5358	-	5,749,073	(9,331)	(557,321)	(23,077)	-	5,159,344
5359	-	191,634	(311)	(18,577)	(769)	-	171,977
5360	-	1,916,355	(3,111)	(185,774)	(7,692)	-	1,719,778
5361	-	95,819	(156)	(9,289)	(385)	-	85,989
5362	-	143,731	(233)	(13,935)	(577)	-	128,986
5363	-	958,179	(1,555)	(92,888)	(3,846)	-	859,890
5364	-	95,819	(156)	(9,289)	(385)	-	85,989
5365	-	191,634	(311)	(18,577)	(769)	-	171,977
5366	-	143,731	(233)	(13,935)	(577)	-	128,986
5367	-	95,819	(156)	(9,289)	(385)	-	85,989
5368	-	479,091	(778)	(46,443)	(1,923)	-	429,947
5369	-	95,819	(156)	(9,289)	(385)	-	85,989
5370	-	95,819	(156)	(9,289)	(385)	-	85,989
5371	-	1,916,355	(3,111)	(185,774)	(7,692)	-	1,719,778
5372	-	47,912	(78)	(4,646)	(192)	-	42,996
5373	-	191,634	(311)	(18,577)	(769)	-	171,977
5374	-	479,091	(778)	(46,443)	(1,923)	-	429,947
5375	-	3,832,715	(6,220)	(371,549)	(15,385)	-	3,439,561
5376	-	191,634	(311)	(18,577)	(769)	-	171,977
5377	-	287,454	(467)	(27,866)	(1,154)	-	257,967
5378	-	52,358	(12)	(2,769)	(308)	19,523	68,792
5379	-	-	-	-	-	343,957	343,957
Total Limited Partners	-	52,431,556	(85,109)	(5,082,794)	(210,460)	-	47,053,193
Total Partners	$ -	$ 53,557,804	$ (87,100)	$ (5,101,470)	$ (215,383)	$ -	$ 48,153,851

(1) Information on this supplemental schedule should not be used for income tax purposes.

(2) For purposes of confidentiality, the name of each partner has been replaced with an identifying partner number.

See accompanying notes to Financial Statements

ROCKEFELLER & CO.

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

Period Ending December 31, 2014

Summary Statement of Assets

	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Est. Ann. Income
Cash and Cash Equivalents	2,438,508.44	2,438,508.44*	0.00	3.15	0
Securities					
Equity					
North America	33,681,065.10	47,481,323.07	13,800,257.97	61.35	734,875
United Kingdom	3,292,097.92	4,280,203.69	988,105.77	5.53	58,898
Europe ex United Kingdom	5,904,855.90	9,635,030.65	3,730,174.75	12.45	185,691
Japan	4,734,685.32	5,408,337.29	673,651.97	6.99	64,695
Asia ex Japan	926,079.42	1,253,689.48	327,610.06	1.62	38,791
Emerging Markets Asia	5,522,359.44	6,820,837.17	1,298,477.73	8.81	87,866
Total Equity	54,061,143.10	74,879,421.35	20,818,278.25	96.75	1,170,817
Total Securities	54,061,143.10	74,879,421.35	20,818,278.25	96.75	1,170,817
Other Assets	77,539.42	77,483.87	(55.55)	0.10	0
Total Account:	56,577,190.96	77,395,413.66	20,818,222.70	100.00	1,170,817

* - Settled cash is invested in State St Instl. US Govt Mmkt; yield is estimated.

ROCKEFELLER & CO.

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

Period Ending December 31, 2014

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Cash and Cash Equivalents								
Cash			2,438,508.44	2,438,508.44*	0.00	3.15	0.00	0
Securities								
Equity								
North America								
Aflac, Inc.	15,862	61.09	678,903.26	969,009.58	290,106.32	1.25	2.55	24,745
Alexion Pharmaceuticals, Inc.	3,275	185.03	101,998.71	605,973.25	503,974.54	0.78	0.00	0
Anadarko Petroleum Corporation	12,107	82.50	721,449.00	998,827.50	277,378.50	1.29	1.31	13,076
Apache Corporation	12,176	62.67	988,524.37	763,069.92	(225,454.45)	0.99	1.60	12,176
Baker Hughes Incorporated	7,785	56.07	322,484.78	436,504.95	114,020.17	0.56	1.21	5,294
Cabot Oil & Gas Corporation -Cl A	37,098	29.61	1,238,178.85	1,098,471.78	(139,707.07)	1.42	0.27	2,968
Capital One Financial Corp.	23,306	82.55	1,656,241.83	1,923,910.30	267,668.47	2.49	1.45	27,967
Chevron Corporation	15,392	112.18	1,344,428.36	1,726,674.56	382,246.20	2.23	3.82	65,878
Comcast Corporation - CL A	24,891	58.01	1,151,688.29	1,443,926.91	292,238.62	1.87	1.55	22,402
Darling Ingredients Inc.	40,315	18.16	767,328.92	732,120.40	(35,208.52)	0.95	0.00	0
Delphi Automotive PLC	20,368	72.72	710,537.77	1,481,160.96	770,623.19	1.91	1.38	20,368
eBay Inc.	23,604	56.12	1,184,456.58	1,324,656.48	140,199.90	1.71	0.00	0
Express Scripts Holding, Inc.	18,963	84.67	1,315,294.98	1,605,597.21	290,302.23	2.07	0.00	0
Google Inc - Class C	2,303	526.40	659,899.49	1,212,299.20	552,399.71	1.57	0.00	0
Google Inc. - Class A	2,303	530.66	658,775.70	1,222,109.98	563,334.28	1.58	0.00	0
Honeywell Inc.	16,941	99.92	679,816.33	1,692,744.72	1,012,928.39	2.19	2.07	35,068
Incyte Corporation	10,238	73.11	423,864.92	748,500.18	324,635.26	0.97	0.00	0
J.P. Morgan Chase & Co.	37,649	62.58	1,473,367.70	2,356,074.42	882,706.72	3.04	2.56	60,238
Marvell Technology Group Ltd.	44,008	14.50	603,063.93	638,116.00	35,052.07	0.82	1.66	10,562
Merck & Co. Inc.	23,544	56.79	992,269.54	1,337,063.76	344,794.22	1.73	3.17	42,379
MGM Resorts International	41,299	21.38	1,037,208.33	882,972.62	(154,235.71)	1.14	0.00	0
Microsoft Corp.	44,679	46.45	1,085,203.98	2,075,339.55	990,135.57	2.68	2.67	55,402
Oracle Corporation	34,031	44.97	1,130,281.85	1,530,374.07	400,092.22	1.98	1.07	16,335
Pentair, PLC	18,726	66.42	1,189,062.65	1,243,780.92	54,718.27	1.61	1.93	23,969
Qualcomm Inc.	14,144	74.33	571,579.73	1,051,323.52	479,743.79	1.36	2.26	23,762
Regeneron Pharmaceuticals	1,398	410.25	249,198.29	573,529.50	324,331.21	0.74	0.00	0

* - Settled cash is invested in State St Instl. US Govt Mmkt; yield is estimated.

ROCKEFELLER & CO.

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

Period Ending December 31, 2014

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Reinsurance Group of America, Inc.	14,319	87.62	927,708.35	1,254,630.78	326,922.43	1.62	1.51	18,901
Royal Caribbean Cruises Ltd.	28,119	82.43	854,736.20	2,317,849.17	1,463,112.97	2.99	1.46	33,743
St. Jude Medical	15,013	65.03	849,348.18	976,295.39	126,947.21	1.26	1.66	16,214
Toronto-Dominion Bank	38,538	47.78	1,599,606.64	1,841,345.64	241,739.00	2.38	3.45	63,588
United Continental Holdings Inc.	31,326	66.89	1,186,939.75	2,095,396.14	908,456.39	2.71	0.00	0
Visa Inc - Class A Shares	7,832	262.20	1,691,621.72	2,053,550.40	361,928.68	2.65	0.73	15,037
Wal-Mart Stores, Inc.	24,660	85.88	1,512,100.11	2,117,800.80	605,700.69	2.74	2.24	47,347
Wells Fargo Company	39,403	54.82	1,472,072.23	2,160,072.46	688,000.23	2.79	2.55	55,164
Yum! Brands, Inc.	13,593	72.85	651,823.78	990,250.05	338,426.27	1.28	2.25	22,293
Total North America			33,681,065.10	47,481,323.07	13,800,257.97	61.35	1.55	734,875
United Kingdom								
Johnson Matthey PLC	13,799	52.96	389,995.55	730,826.36	340,830.81	0.94	1.88	13,769
Leju Holdings Ltd-ADR	2,607	10.76	33,714.33	28,056.16	(5,658.17)	0.04	0.00	0
Lloyds TSB Group PLC	1,286,011	1.18	1,590,956.24	1,520,195.73	(70,760.51)	1.96	0.00	0
Prudential plc	45,310	23.26	494,370.21	1,053,983.79	559,613.58	1.36	0.00	0
Royal Dutch Shell PLC-ADR A	14,147	66.95	783,061.59	947,141.65	164,080.06	1.22	4.76	45,129
Total United Kingdom			3,292,097.92	4,280,203.69	988,105.77	5.53	1.38	58,898
Europe ex United Kingdom								
Boskalis Westminster - CVA	12,166	55.00	392,113.04	669,100.56	276,987.52	0.86	2.73	18,255
ING Groep N.V.	110,969	13.11	1,119,546.83	1,454,252.50	334,705.67	1.88	0.00	0
InterXion Holding NV	11,636	27.34	294,313.36	318,128.24	23,814.88	0.41	0.00	0
Mallinckrodt PLC	12,230	99.03	524,816.93	1,211,136.90	686,319.97	1.56	0.00	0
Novartis AG - ADR	20,359	92.66	1,089,910.30	1,886,464.94	796,554.64	2.44	2.51	47,436
Roche Holdings AG	4,314	271.66	775,415.85	1,171,930.99	396,515.14	1.51	2.89	33,868
Safran SA	22,445	62.02	702,482.87	1,391,948.51	689,465.64	1.80	2.34	32,592
SwedBank AB	32,245	24.98	372,935.03	805,589.31	432,654.28	1.04	5.17	41,619
Valeo SA	5,795	125.36	633,321.69	726,478.70	93,157.01	0.94	1.64	11,921
Total Europe ex United Kingdom			5,904,855.90	9,635,030.65	3,730,174.75	12.45	1.93	185,691
Japan								
Amada Co. Ltd.	149,700	8.65	1,147,026.21	1,294,790.44	147,764.23	1.67	2.51	32,463
Kansai Electric Power Company	42,700	9.58	419,722.11	408,854.41	(10,867.70)	0.53	0.00	0
Nabtesco Corp.	38,400	24.51	945,311.30	941,303.64	(4,007.66)	1.22	1.36	12,811

ROCKEFELLER & CO.

Rockefeller Global Equity Fund II, L.P./Global Equity (8211/1) Period Ending December 31, 2014

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
NGK Spark Plug Co., Ltd.	30,900	30.65	481,870.14	947,141.25	465,271.11	1.22	0.98	9,278
SMC Corporation	3,000	266.65	562,530.77	799,949.96	237,419.19	1.03	0.56	4,504
Softbank	16,900	60.14	1,178,224.79	1,016,297.59	(161,927.20)	1.31	0.55	5,638
Total Japan			4,734,685.32	5,408,337.29	673,651.97	6.99	1.20	64,695
Asia ex Japan								
China Mobile (Hong Kong) Limited Sp ADR	21,314	58.82	926,079.42	1,253,689.48	327,610.06	1.62	3.09	38,791
Emerging Markets Asia								
Ctrip.com International - Sponsored ADR	13,685	45.50	638,577.97	622,667.50	(15,910.47)	0.80	0.00	0
E-House China Holdings Ltd - ADR	51,852	7.24	581,565.33	375,408.48	(206,156.85)	0.49	5.11	19,185
Hyundai Motor Co., Ltd. - 2nd Preferred	9,487	122.74	816,644.53	1,164,422.26	347,777.73	1.50	1.53	17,814
Hyundai Motor Company Ltd - PFD	3,788	115.87	338,799.49	438,911.84	100,112.35	0.57	1.58	6,939
Kalbe Farma TBK PT	2,836,600	0.15	407,525.53	418,458.52	10,932.99	0.54	0.93	3,887
Korea Electric Power Corporation (KEPCO)	51,413	39.11	1,405,572.54	2,010,840.49	605,267.95	2.60	0.21	4,238
PICC Property and Casualty Company Ltd	654,450	1.94	860,091.49	1,272,459.40	412,367.91	1.64	1.79	22,783
PT Semen Indonesia (Persero) Tbk	396,400	1.31	473,582.56	517,668.68	44,086.12	0.67	2.51	13,019
Total Emerging Markets Asia			5,522,359.44	6,820,837.17	1,298,477.73	8.81	1.29	87,866
Total Equity			54,061,143.10	74,879,421.35	20,818,278.25	96.75	1.56	1,170,817
Total Securities			54,061,143.10	74,879,421.35	20,818,278.25	96.75	1.56	1,170,817
Other Assets								
Accounts Payable - Audit Fees			(23,172.89)	(23,172.89)	0.00	(0.03)		
Accounts Payable - Custody Fees			(2,078.81)	(2,078.81)	0.00	0.00		
Accrued Dividends Receivable			102,791.12	102,791.12	0.00	0.13		
Div Receivable - F/X Value Adjustment			0.00	200.51	200.51	0.00		
Unsettled Sales Rec - F/X Value Adjustme			0.00	(256.06)	(256.06)	0.00		
Total Other Assets			77,539.42	77,483.87	(55.55)	0.10	0.00	0
Total Account:			56,577,190.96	77,395,413.66	20,818,222.70	100.00	1.51	1,170,817

ROCKEFELLER & CO.

Rockefeller Global Equity II/Global Equity (8211/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					886,827.98
Purchases					
* 12/23/2013	12/23/2013	171	66.77	Royal Dutch Shell PLC-ADR A	11,415.60
* 12/23/2013	12/23/2013	171	70.22	Royal Dutch Shell PLC-ADR A	(12,005.08)
01/02/2014	01/07/2014	70	52.22	Boskalis Westminster - CVA	(3,658.78)
01/02/2014	01/07/2014	1,470	5.64	Centrica plc	(8,339.23)
01/02/2014	01/07/2014	310	17.78	DnB Holding ASA	(5,515.82)
01/02/2014	01/06/2014	60	120.47	Hyundai Motor Company Ltd PFD (KRW -7614472.00)	** (7,239.33)
01/02/2014	01/07/2014	720	13.83	ING Groep	(9,965.26)
01/02/2014	01/07/2014	90	53.67	Johnson Matthey PLC	(4,859.21)
01/02/2014	01/07/2014	12,500	0.10	Kalbe Farma TBK PT (IDR -15782129.98)	** (1,298.41)
01/02/2014	01/06/2014	290	33.09	Korea Electric Power Corp. (KRW -10107138.00)	** (9,609.19)
01/02/2014	01/06/2014	4,000	1.46	PICC Prop & Casualty Co. Ltd.	(5,865.78)
01/02/2014	01/07/2014	290	22.11	Prudential plc	(6,451.24)
01/02/2014	01/07/2014	140	68.87	Safran SA	(9,670.14)
01/02/2014	01/06/2014	4	971.65	Samsung Electronics Co., Pfd (KRW -4094132.00)	** (3,892.43)
01/02/2014	01/07/2014	370	12.40	Sberbank - Sponsored ADR	(4,592.59)
01/02/2014	01/07/2014	1,500	1.18	Semen Indonesia (Persero) Tbk (IDR -21493758.00)	** (1,768.31)
01/02/2014	01/07/2014	240	24.27	Smiths Group plc	(5,859.07)
01/02/2014	01/07/2014	220	18.56	Subsea 7 SA	(4,086.59)
01/02/2014	01/08/2014	210	27.60	SwedBank AB	(5,802.44)
01/02/2014	01/07/2014	240	13.99	Tullow Oil plc	(3,379.08)
01/02/2014	01/07/2014	4,550	221.38	Visa Inc - Class A Shares	(1,007,413.22)
01/02/2014	01/06/2014	400	4.58	Wynn Macau, Limited	(1,836.53)
01/03/2014	01/08/2014	20	276.89	Roche Holdings AG	(5,543.43)
01/06/2014	01/09/2014	100	89.26	Murata Manufacturing Company,	(8,934.53)
01/13/2014	01/16/2014	2,760	39.61	Ctrip.com International - ADR	(109,423.51)
01/13/2014	01/16/2014	1,680	44.67	United Continental Hld. Inc.	(75,112.97)
01/14/2014	01/17/2014	1,980	45.55	United Continental Hld. Inc.	(90,260.87)
01/31/2014	02/05/2014	170	63.12	Aflac, Inc.	(10,736.08)
01/31/2014	02/05/2014	30	158.83	Alexion Pharmaceuticals, Inc.	(4,765.89)
01/31/2014	02/05/2014	130	80.69	Anadarko Petroleum Corporation	(10,493.65)
01/31/2014	02/05/2014	130	80.43	Apache Corporation	(10,459.89)
01/31/2014	02/05/2014	230	8.95	Arcos Dorados Holdings, Inc.	(2,065.40)

* - Prior period activity recorded in the current period

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

ROCKEFELLER & CO.

Rockefeller Global Equity II/Global Equity (8211/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
01/31/2014	02/05/2014	170	56.83	Baker Hughes Incorporated	(9,666.51)
01/31/2014	02/05/2014	90	68.90	BioMarin Pharmaceutical Inc.	(6,203.79)
01/31/2014	02/05/2014	110	70.87	Capital One Financial Corp.	(7,798.67)
01/31/2014	02/05/2014	330	40.92	CareFusion Corporation	(13,513.17)
01/31/2014	02/05/2014	100	111.34	Chevron Corporation	(11,137.27)
01/31/2014	02/05/2014	330	47.90	China Mobile (Hong Kong) Ltd	(15,816.97)
01/31/2014	02/05/2014	190	47.90	Coach, Inc.	(9,106.43)
01/31/2014	02/05/2014	150	54.59	Comcast Corporation - CL A	(8,193.30)
01/31/2014	02/05/2014	130	46.08	Comerica Incorporated	(5,994.29)
01/31/2014	02/05/2014	100	110.95	Continental Resources, Inc.	(11,098.29)
01/31/2014	02/05/2014	50	130.99	Copa Holdings SA Cl A	(6,550.88)
01/31/2014	02/05/2014	150	39.64	Ctrip.com International - ADR	(5,950.67)
01/31/2014	02/05/2014	220	60.97	Delphi Automotive PLC	(13,419.05)
01/31/2014	02/05/2014	90	86.58	Dover Corp.	(7,794.96)
01/31/2014	02/05/2014	140	65.00	Expedia, Inc.	(9,103.93)
01/31/2014	02/05/2014	40	164.99	Goldman Sachs Group	(6,600.78)
01/31/2014	02/05/2014	20	1,178.46	Google Inc - Class A	(23,569.80)
01/31/2014	02/05/2014	190	91.51	Honeywell Inc.	(17,392.68)
01/31/2014	02/05/2014	110	65.93	Incyte Corporation	(7,256.08)
01/31/2014	02/05/2014	340	55.67	J.P. Morgan Chase & Co.	(18,936.74)
01/31/2014	02/05/2014	130	58.13	Mallinckrodt PLC	(7,560.18)
01/31/2014	02/05/2014	260	53.01	Merck & Co. Inc.	(13,791.36)
01/31/2014	02/05/2014	590	37.80	Microsoft Corp.	(22,321.12)
01/31/2014	02/05/2014	180	42.38	NetApp, Inc.	(7,634.30)
01/31/2014	02/05/2014	220	79.24	Novartis AG - ADR	(17,439.47)
01/31/2014	02/05/2014	70	68.14	Oceaneering International, Inc	(4,771.94)
01/31/2014	02/05/2014	230	36.96	Oracle Corporation	(8,508.53)
01/31/2014	02/05/2014	150	73.96	Qualcomm Inc.	(11,098.18)
01/31/2014	02/05/2014	10	290.74	Regeneron Pharmaceuticals	(2,907.71)
01/31/2014	02/05/2014	160	75.43	Reinsurance Group of America,	(12,073.89)
01/31/2014	02/05/2014	220	53.20	Rio Tinto plc - Spon ADR	(11,710.75)
01/31/2014	02/05/2014	390	49.83	Royal Caribbean Cruises Ltd.	(19,444.54)
01/31/2014	02/05/2014	150	69.38	Royal Dutch Shell PLC-ADR A	(10,411.39)
01/31/2014	02/05/2014	110	45.00	Seattle Genetics, Inc.	(4,953.78)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
01/31/2014	02/05/2014	160	60.86	St. Jude Medical	(9,742.64)
01/31/2014	02/05/2014	140	86.54	Toronto-Dominion Bank	(12,120.30)
01/31/2014	02/05/2014	260	46.03	United Continental Hld. Inc.	(11,976.69)
01/31/2014	02/05/2014	190	72.16	UnitedHealth Group Inc.	(13,716.90)
01/31/2014	02/05/2014	50	215.68	Visa Inc - Class A Shares	(10,785.25)
01/31/2014	02/05/2014	180	75.03	Wal-Mart Stores, Inc.	(13,510.57)
01/31/2014	02/05/2014	340	45.51	Wells Fargo Company	(15,485.03)
01/31/2014	02/05/2014	120	67.32	Yum! Brands, Inc.	(8,081.45)
02/03/2014	02/06/2014	1,000	8.21	Amada Co. Ltd.	(8,219.94)
02/03/2014	02/06/2014	130	48.24	Boskalis Westminster - CVA	(6,277.63)
02/03/2014	02/06/2014	2,520	5.09	Centrica plc	(12,898.69)
02/03/2014	02/06/2014	530	17.07	DnB Holding ASA	(9,057.64)
02/03/2014	02/05/2014	170	112.89	Hyundai Motor Company Ltd PFD (KRW -20874515.00)	** (19,219.35)
02/03/2014	02/06/2014	1,240	13.27	ING Groep	(16,466.09)
02/03/2014	02/06/2014	150	52.71	Johnson Matthey PLC	(7,953.84)
02/03/2014	02/06/2014	21,900	0.11	Kalbe Farma TBK PT (IDR -30832269.75)	** (2,518.98)
02/03/2014	02/05/2014	500	32.32	Korea Electric Power Corp. (KRW -17576325.00)	** (16,182.67)
02/03/2014	02/06/2014	200	92.01	Murata Manufacturing Company,	(18,420.58)
02/03/2014	02/06/2014	510	19.94	Prudential plc	(10,232.74)
02/03/2014	02/06/2014	40	277.99	Roche Holdings AG	(11,130.86)
02/03/2014	02/06/2014	250	71.46	Safran SA	(17,918.21)
02/03/2014	02/06/2014	630	10.92	Sberbank - Sponsored ADR	(6,886.48)
02/03/2014	02/06/2014	2,500	1.16	Semen Indonesia (Persero) Tbk (IDR -35697675.11)	** (2,916.48)
02/03/2014	02/06/2014	410	23.43	Smiths Group plc	(9,662.68)
02/03/2014	02/06/2014	390	17.22	Subsea 7 SA	(6,721.01)
02/03/2014	02/06/2014	360	26.23	SwedBank AB	(9,453.68)
02/03/2014	02/06/2014	420	12.87	Tullow Oil plc	(5,438.60)
02/04/2014	02/06/2014	6,000	1.29	PICC Prop & Casualty Co. Ltd.	(7,743.35)
02/04/2014	02/06/2014	1,200	4.41	Wynn Macau, Limited	(5,304.20)
02/21/2014	02/26/2014	4,000	24.11	Nabtesco Corp.	(96,623.22)
02/24/2014	02/27/2014	4,100	24.12	Nabtesco Corp.	(99,075.32)
02/25/2014	02/28/2014	5,100	24.75	Nabtesco Corp.	(126,459.47)
02/26/2014	03/03/2014	5,000	25.65	Nabtesco Corp.	(128,529.97)
02/28/2014	03/05/2014	170	64.11	Aflac, Inc.	(10,905.75)

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

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Purchases (cont'd)					
02/28/2014	03/05/2014	30	177.09	Alexion Pharmaceuticals, Inc.	(5,314.00)
02/28/2014	03/05/2014	130	84.18	Anadarko Petroleum Corporation	(10,949.13)
02/28/2014	03/05/2014	130	79.19	Apache Corporation	(10,299.85)
02/28/2014	03/05/2014	230	8.76	Arcos Dorados Holdings, Inc.	(2,022.85)
02/28/2014	03/05/2014	170	63.31	Baker Hughes Incorporated	(10,769.84)
02/28/2014	03/05/2014	110	73.33	Capital One Financial Corp.	(8,070.29)
02/28/2014	03/05/2014	320	40.47	CareFusion Corporation	(12,963.49)
02/28/2014	03/05/2014	90	115.00	Chevron Corporation	(10,353.26)
02/28/2014	03/05/2014	330	47.53	China Mobile (Hong Kong) Ltd	(15,697.93)
02/28/2014	03/05/2014	190	48.74	Coach, Inc.	(9,269.11)
02/28/2014	03/05/2014	150	51.68	Comcast Corporation - CL A	(7,758.45)
02/28/2014	03/05/2014	120	48.14	Comerica Incorporated	(5,781.73)
02/28/2014	03/05/2014	100	119.72	Continental Resources, Inc.	(11,976.42)
02/28/2014	03/05/2014	50	135.79	Copa Holdings SA Cl A	(6,791.60)
02/28/2014	03/05/2014	150	53.71	Ctrip.com International - ADR	(8,061.79)
02/28/2014	03/05/2014	220	66.60	Delphi Automotive PLC	(14,660.95)
02/28/2014	03/05/2014	90	93.88	Dover Corp.	(8,453.23)
02/28/2014	03/05/2014	140	78.41	Expedia, Inc.	(10,983.32)
02/28/2014	03/05/2014	40	166.56	Goldman Sachs Group	(6,664.04)
02/28/2014	03/05/2014	20	1,213.54	Google Inc - Class A	(24,271.62)
02/28/2014	03/05/2014	180	94.41	Honeywell Inc.	(17,000.30)
02/28/2014	03/05/2014	110	64.32	Incyte Corporation	(7,079.96)
02/28/2014	03/05/2014	330	56.83	J.P. Morgan Chase & Co.	(18,765.71)
02/28/2014	03/05/2014	130	67.85	Mallinckrodt PLC	(8,825.83)
02/28/2014	03/05/2014	250	56.92	Merck & Co. Inc.	(14,240.75)
02/28/2014	03/05/2014	570	38.17	Microsoft Corp.	(21,781.13)
02/28/2014	03/05/2014	170	40.33	NetApp, Inc.	(6,862.70)
02/28/2014	03/05/2014	220	83.02	Novartis AG - ADR	(18,274.21)
02/28/2014	03/05/2014	70	71.84	Oceaneering International, Inc	(5,031.46)
02/28/2014	03/05/2014	220	38.94	Oracle Corporation	(8,575.53)
02/28/2014	03/05/2014	150	75.09	Qualcomm Inc.	(11,269.98)
02/28/2014	03/05/2014	10	330.63	Regeneron Pharmaceuticals	(3,306.70)
02/28/2014	03/05/2014	150	77.04	Reinsurance Group of America,	(11,562.01)
02/28/2014	03/05/2014	380	52.83	Royal Caribbean Cruises Ltd.	(20,090.56)

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Purchases (cont'd)					
02/28/2014	03/05/2014	150	72.88	Royal Dutch Shell PLC-ADR A	(10,938.09)
02/28/2014	03/05/2014	110	52.58	Seattle Genetics, Inc.	(5,787.74)
02/28/2014	03/05/2014	160	67.17	St. Jude Medical	(10,754.22)
02/28/2014	03/05/2014	280	45.23	Toronto-Dominion Bank	(12,674.84)
02/28/2014	03/05/2014	250	44.98	United Continental Hld. Inc.	(11,254.63)
02/28/2014	03/05/2014	190	77.20	UnitedHealth Group Inc.	(14,675.33)
02/28/2014	03/05/2014	50	225.39	Visa Inc - Class A Shares	(11,271.41)
02/28/2014	03/05/2014	170	74.74	Wal-Mart Stores, Inc.	(12,712.65)
02/28/2014	03/05/2014	330	46.36	Wells Fargo Company	(15,312.46)
02/28/2014	03/05/2014	110	74.03	Yum! Brands, Inc.	(8,148.21)
03/03/2014	03/06/2014	1,000	8.32	Amada Co. Ltd.	(8,338.23)
03/03/2014	03/06/2014	120	48.69	Boskalis Westminster - CVA	(5,857.61)
03/03/2014	03/06/2014	2,470	5.24	Centrica plc	(13,032.03)
03/03/2014	03/06/2014	520	17.87	DnB Holding ASA	(9,314.70)
03/03/2014	03/05/2014	120	126.76	Hyundai Motor Company Ltd PFD (KRW -16346635.00)	** (15,271.52)
03/03/2014	03/06/2014	1,210	13.83	ING Groep	(16,775.75)
03/03/2014	03/06/2014	150	53.11	Johnson Matthey PLC	(8,022.87)
03/03/2014	03/06/2014	21,400	0.12	Kalbe Farma TBK PT (IDR -30672573.70)	** (2,646.70)
03/03/2014	03/05/2014	490	34.31	Korea Electric Power Corp. (KRW -18069913.00)	** (16,881.46)
03/03/2014	03/06/2014	400	25.00	Nabtesco Corp.	(10,019.73)
03/03/2014	03/05/2014	6,000	1.35	PICC Prop & Casualty Co. Ltd.	(8,114.99)
03/03/2014	03/06/2014	490	22.32	Prudential plc	(11,015.75)
03/03/2014	03/06/2014	40	294.27	Roche Holdings AG	(11,800.05)
03/03/2014	03/06/2014	240	69.41	Safran SA	(16,732.97)
03/03/2014	03/05/2014	10	986.95	Samsung Electronics Co., Pfd (KRW -10606535.00)	** (9,908.95)
03/03/2014	03/06/2014	2,500	1.27	Semen Indonesia (Persero) Tbk (IDR -36907809.09)	** (3,184.73)
03/03/2014	03/06/2014	2,500	1.27	Semen Indonesia (Persero) Tbk (IDR -36907809.10)	** (3,184.73)
03/03/2014	03/06/2014	2,500	1.27	Semen Indonesia (Persero) Tbk (IDR 36907809.10)	** 3,184.73
03/03/2014	03/06/2014	100	255.13	SMC Corporation	(25,564.10)
03/03/2014	03/06/2014	400	22.46	Smiths Group plc	(9,047.28)
03/03/2014	03/06/2014	380	19.23	Subsea 7 SA	(7,324.11)
03/03/2014	03/06/2014	350	27.41	SwedBank AB	(9,617.50)
03/03/2014	03/06/2014	410	13.16	Tullow Oil plc	(5,435.46)
03/03/2014	03/05/2014	1,200	4.81	Wynn Macau, Limited	(5,794.87)

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Purchases (cont'd)					
03/04/2014	03/07/2014	5,400	25.00	Nabtesco Corp.	(135,262.94)
03/06/2014	03/11/2014	2,400	24.73	Nabtesco Corp.	(59,480.47)
03/07/2014	03/12/2014	1,900	25.42	Nabtesco Corp.	(48,397.77)
03/11/2014	03/14/2014	1,800	24.90	Nabtesco Corp.	(44,902.31)
03/12/2014	03/17/2014	2,100	24.34	Nabtesco Corp.	(51,225.50)
03/13/2014	03/18/2014	3,000	24.27	Nabtesco Corp.	(72,943.56)
03/17/2014	03/20/2014	1,600	23.42	Nabtesco Corp.	(37,547.05)
03/26/2014	03/31/2014	4,630	43.68	China Mobile (Hong Kong) Ltd	(202,420.36)
03/26/2014	03/31/2014	7,910	36.95	NetApp, Inc.	(292,624.12)
03/27/2014	04/01/2014	2,070	44.72	China Mobile (Hong Kong) Ltd	(92,656.10)
03/27/2014	04/02/2014	251,900	0.13	Kalbe Farma TBK PT (IDR -372719823.30)	** (32,551.95)
03/27/2014	03/27/2014	166	72.53	Royal Dutch Shell PLC-ADR A	(12,023.80)
03/31/2014	04/03/2014	280	63.11	Aflac, Inc.	(17,678.39)
03/31/2014	04/03/2014	50	151.88	Alexion Pharmaceuticals, Inc.	(7,595.74)
03/31/2014	04/03/2014	210	84.86	Anadarko Petroleum Corporation	(17,827.03)
03/31/2014	04/03/2014	220	82.90	Apache Corporation	(18,244.75)
03/31/2014	04/03/2014	380	10.08	Arcos Dorados Holdings, Inc.	(3,840.20)
03/31/2014	04/03/2014	280	64.99	Baker Hughes Incorporated	(18,206.36)
03/31/2014	04/03/2014	190	77.13	Capital One Financial Corp.	(14,661.29)
03/31/2014	04/03/2014	530	40.25	CareFusion Corporation	(21,350.84)
03/31/2014	04/03/2014	160	118.77	Chevron Corporation	(19,008.27)
03/31/2014	04/03/2014	670	45.55	China Mobile (Hong Kong) Ltd	(30,540.28)
03/31/2014	04/03/2014	310	49.65	Coach, Inc.	(15,402.10)
03/31/2014	04/03/2014	250	50.14	Comcast Corporation - CL A	(12,542.23)
03/31/2014	04/03/2014	210	51.85	Comerica Incorporated	(10,895.77)
03/31/2014	04/03/2014	170	124.49	Continental Resources, Inc.	(21,169.03)
03/31/2014	04/03/2014	80	145.71	Copa Holdings SA Cl A	(11,659.50)
03/31/2014	04/03/2014	240	50.27	Ctrip.com International - ADR	(12,070.92)
03/31/2014	04/03/2014	370	67.91	Delphi Automotive PLC	(25,138.76)
03/31/2014	04/03/2014	150	81.71	Dover Corp.	(12,260.55)
03/31/2014	04/03/2014	240	72.52	Expedia, Inc.	(17,413.01)
03/31/2014	04/03/2014	70	163.79	Goldman Sachs Group	(11,467.10)
03/31/2014	04/03/2014	40	1,118.34	Google Inc - Class A	(44,734.60)
03/31/2014	04/03/2014	300	92.78	Honeywell Inc.	(27,842.70)

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Purchases (cont'd)					
03/31/2014	04/03/2014	180	53.57	Incyte Corporation	(9,648.31)
03/31/2014	04/03/2014	550	60.76	J.P. Morgan Chase & Co.	(33,435.98)
03/31/2014	04/03/2014	220	63.73	Mallinckrodt PLC	(14,026.93)
03/31/2014	04/03/2014	420	56.72	Merck & Co. Inc.	(23,834.71)
03/31/2014	04/03/2014	820	41.32	Microsoft Corp.	(33,906.51)
03/31/2014	04/03/2014	440	37.05	NetApp, Inc.	(16,314.41)
03/31/2014	04/03/2014	370	85.09	Novartis AG - ADR	(31,495.73)
03/31/2014	04/03/2014	120	71.76	Oceaneering International, Inc	(8,614.62)
03/31/2014	04/03/2014	370	41.29	Oracle Corporation	(15,288.22)
03/31/2014	04/03/2014	250	79.08	Qualcomm Inc.	(19,778.57)
03/31/2014	04/03/2014	20	301.83	Regeneron Pharmaceuticals	(6,037.23)
03/31/2014	04/03/2014	260	79.60	Reinsurance Group of America,	(20,702.68)
03/31/2014	04/03/2014	350	55.83	Rio Tinto plc - Spon ADR	(19,549.32)
03/31/2014	04/03/2014	630	54.46	Royal Caribbean Cruises Ltd.	(34,331.47)
03/31/2014	04/03/2014	250	73.15	Royal Dutch Shell PLC-ADR A	(18,294.52)
03/31/2014	04/03/2014	180	45.50	Seattle Genetics, Inc.	(8,195.00)
03/31/2014	04/03/2014	270	65.50	St. Jude Medical	(17,692.18)
03/31/2014	04/03/2014	470	47.06	Toronto-Dominion Bank	(22,132.16)
03/31/2014	04/03/2014	420	44.70	United Continental Hld. Inc.	(18,785.97)
03/31/2014	04/03/2014	310	82.08	UnitedHealth Group Inc.	(25,452.92)
03/31/2014	04/03/2014	80	215.55	Visa Inc - Class A Shares	(17,246.05)
03/31/2014	04/03/2014	290	76.47	Wal-Mart Stores, Inc.	(22,186.22)
03/31/2014	04/03/2014	540	49.69	Wells Fargo Company	(26,850.31)
03/31/2014	04/03/2014	190	75.43	Yum! Brands, Inc.	(14,337.15)
04/01/2014	04/04/2014	2,000	7.16	Amada Co. Ltd.	(14,334.68)
04/01/2014	04/04/2014	210	55.23	Boskalis Westminster - CVA	(11,609.35)
04/01/2014	04/04/2014	4,080	5.49	Centrica plc	(22,524.29)
04/01/2014	04/04/2014	860	17.37	DnB Holding ASA	(14,955.41)
04/01/2014	04/03/2014	160	128.41	Hyundai Motor Company Ltd PFD (KRW -21746771.00)	** (20,576.39)
04/01/2014	04/04/2014	2,010	14.36	ING Groep	(28,888.92)
04/01/2014	04/04/2014	250	54.63	Johnson Matthey PLC	(13,740.18)
04/01/2014	04/04/2014	289,000	0.13	Kalbe Farma TBK PT (IDR -431970208.83)	** (38,176.77)
04/01/2014	04/03/2014	810	34.62	Korea Electric Power Corp. (KRW -29679498.00)	** (28,082.18)
04/01/2014	04/04/2014	200	94.99	Murata Manufacturing Company,	(19,016.19)

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Purchases (cont'd)					
04/01/2014	04/04/2014	600	23.42	Nabtesco Corp.	(14,067.72)
04/01/2014	04/04/2014	1,000	22.90	NGK Spark Plug Co., Ltd.	(22,923.89)
04/01/2014	04/03/2014	10,000	1.37	PICC Prop & Casualty Co. Ltd.	(13,710.43)
04/01/2014	04/04/2014	820	21.24	Prudential plc	(17,520.59)
04/01/2014	04/04/2014	70	302.63	Roche Holdings AG	(21,205.42)
04/01/2014	04/04/2014	400	69.89	Safran SA	(28,038.26)
04/01/2014	04/03/2014	20	987.81	Samsung Electronics Co., Pfd (KRW -20911319.00)	** (19,785.90)
04/01/2014	04/04/2014	1,010	9.78	Sberbank - Sponsored ADR	(9,887.68)
04/01/2014	04/04/2014	4,100	1.42	Semen Indonesia (Persero) Tbk (IDR -65929855.85)	** (5,826.77)
04/01/2014	04/04/2014	100	267.42	SMC Corporation	(26,768.72)
04/01/2014	04/04/2014	670	21.30	Smiths Group plc	(14,358.27)
04/01/2014	04/04/2014	630	18.61	Subsea 7 SA	(11,738.52)
04/01/2014	04/04/2014	580	27.00	SwedBank AB	(15,675.59)
04/01/2014	04/04/2014	680	12.53	Tullow Oil plc	(8,568.46)
04/01/2014	04/03/2014	2,000	4.43	Wynn Macau, Limited	(8,874.94)
04/02/2014	04/07/2014	314,500	0.13	Kalbe Farma TBK PT (IDR -472122219.52)	** (41,799.22)
04/04/2014	04/10/2014	49,800	0.13	Kalbe Farma TBK PT (IDR -75361116.14)	** (6,656.75)
04/07/2014	04/10/2014	1,330	23.68	InterXion Holding NV	(31,552.52)
04/08/2014	04/11/2014	1,770	24.44	InterXion Holding NV	(43,322.70)
04/09/2014	04/14/2014	1,000	25.06	InterXion Holding NV	(25,095.60)
04/10/2014	04/15/2014	670	25.38	InterXion Holding NV	(17,029.52)
04/11/2014	04/16/2014	1,230	24.75	InterXion Holding NV	(30,487.76)
04/14/2014	04/17/2014	6,158	118.43	Chevron Corporation	(729,533.33)
04/14/2014	04/17/2014	47,000	1.38	Semen Indonesia (Persero) Tbk (IDR -747325586.01)	** (65,325.66)
04/15/2014	04/21/2014	610	25.20	InterXion Holding NV	(15,397.07)
04/15/2014	04/21/2014	47,000	1.40	Semen Indonesia (Persero) Tbk (IDR -756417991.17)	** (66,189.88)
04/16/2014	04/22/2014	480	25.52	InterXion Holding NV	(12,266.98)
04/16/2014	04/22/2014	26,600	1.39	Semen Indonesia (Persero) Tbk (IDR -427111511.99)	** (37,198.35)
04/21/2014	04/24/2014	480	26.14	InterXion Holding NV	(12,568.37)
04/22/2014	04/25/2014	1,260	26.46	InterXion Holding NV	(33,388.61)
04/22/2014	04/25/2014	38,600	1.36	Semen Indonesia (Persero) Tbk (IDR -608105817.22)	** (52,786.96)
04/23/2014	04/28/2014	1,340	26.00	InterXion Holding NV	(34,898.83)
04/23/2014	04/28/2014	2,300	1.35	Semen Indonesia (Persero) Tbk (IDR -36436950.93)	** (3,133.01)
04/24/2014	04/29/2014	1,090	26.02	InterXion Holding NV	(28,409.11)

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

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Purchases (cont'd)					
04/25/2014	04/30/2014	100	25.94	InterXion Holding NV	(2,597.54)
04/28/2014	05/02/2014	11,700	73.89	Softbank	(865,220.27)
04/28/2014	05/01/2014	7,680	39.53	United Continental Hld. Inc.	(303,932.93)
04/29/2014	05/02/2014	7,380	71.30	Express Scripts Holding, Inc.	(526,471.49)
04/29/2014	05/02/2014	800	39.09	Seattle Genetics, Inc.	(31,301.60)
04/30/2014	05/05/2014	180	62.72	Aflac, Inc.	(11,296.71)
04/30/2014	05/05/2014	30	158.26	Alexion Pharmaceuticals, Inc.	(4,748.93)
04/30/2014	05/05/2014	140	99.00	Anadarko Petroleum Corporation	(13,866.25)
04/30/2014	05/05/2014	140	86.87	Apache Corporation	(12,166.79)
04/30/2014	05/05/2014	240	9.18	Arcos Dorados Holdings, Inc.	(2,212.39)
04/30/2014	05/05/2014	180	70.02	Baker Hughes Incorporated	(12,610.96)
04/30/2014	05/05/2014	120	73.88	Capital One Financial Corp.	(8,870.33)
04/30/2014	05/05/2014	340	39.03	CareFusion Corporation	(13,282.24)
04/30/2014	05/05/2014	180	125.80	Chevron Corporation	(22,651.09)
04/30/2014	05/05/2014	430	47.43	China Mobile (Hong Kong) Ltd	(20,410.17)
04/30/2014	05/05/2014	160	51.87	Comcast Corporation - CL A	(8,305.84)
04/30/2014	05/05/2014	130	48.24	Comerica Incorporated	(6,276.96)
04/30/2014	05/05/2014	80	138.23	Continental Resources, Inc.	(11,061.62)
04/30/2014	05/05/2014	50	135.16	Copa Holdings SA Cl A	(6,760.19)
04/30/2014	05/05/2014	160	46.73	Ctrip.com International - ADR	(7,483.70)
04/30/2014	05/05/2014	230	66.78	Delphi Automotive PLC	(15,368.23)
04/30/2014	05/05/2014	90	86.36	Dover Corp.	(7,776.00)
04/30/2014	05/05/2014	150	70.92	Expedia, Inc.	(10,643.87)
04/30/2014	05/05/2014	7,410	66.80	Express Scripts Holding, Inc.	(495,248.09)
04/30/2014	05/05/2014	170	66.57	Express Scripts Holding, Inc.	(11,324.26)
04/30/2014	05/05/2014	40	160.04	Goldman Sachs Group	(6,403.02)
04/30/2014	05/05/2014	30	527.62	Google Inc - Class C	(15,829.66)
04/30/2014	05/05/2014	40	535.67	Google Inc. - Class A	(21,428.45)
04/30/2014	05/05/2014	190	93.02	Honeywell Inc.	(17,681.40)
04/30/2014	05/05/2014	110	48.72	Incyte Corporation	(5,363.59)
04/30/2014	05/05/2014	130	25.93	InterXion Holding NV	(3,376.23)
04/30/2014	05/05/2014	350	56.06	J.P. Morgan Chase & Co.	(19,635.03)
04/30/2014	05/05/2014	140	71.15	Mallinckrodt PLC	(9,966.45)
04/30/2014	05/05/2014	270	58.51	Merck & Co. Inc.	(15,809.15)

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Purchases (cont'd)					
04/30/2014	05/05/2014	280	35.66	NetApp, Inc.	(9,995.94)
04/30/2014	05/05/2014	230	86.86	Novartis AG - ADR	(19,986.38)
04/30/2014	05/05/2014	80	73.22	Oceaneering International, Inc	(5,860.89)
04/30/2014	05/05/2014	240	40.90	Oracle Corporation	(9,825.60)
04/30/2014	05/05/2014	160	78.51	Qualcomm Inc.	(12,568.62)
04/30/2014	05/05/2014	10	296.94	Regeneron Pharmaceuticals	(2,969.82)
04/30/2014	05/05/2014	160	76.57	Reinsurance Group of America,	(12,258.26)
04/30/2014	05/05/2014	220	54.23	Rio Tinto plc - Spon ADR	(11,939.40)
04/30/2014	05/05/2014	400	53.14	Royal Caribbean Cruises Ltd.	(21,272.32)
04/30/2014	05/05/2014	160	78.76	Royal Dutch Shell PLC-ADR A	(12,607.95)
04/30/2014	05/05/2014	3,330	38.06	Seattle Genetics, Inc.	(126,886.65)
04/30/2014	05/05/2014	160	38.34	Seattle Genetics, Inc.	(6,140.67)
04/30/2014	05/05/2014	170	63.49	St. Jude Medical	(10,800.13)
04/30/2014	05/05/2014	300	48.11	Toronto-Dominion Bank	(14,446.05)
04/30/2014	05/05/2014	360	40.76	United Continental Hld. Inc.	(14,688.43)
04/30/2014	05/05/2014	50	202.71	Visa Inc - Class A Shares	(10,137.36)
04/30/2014	05/05/2014	180	79.70	Wal-Mart Stores, Inc.	(14,354.08)
04/30/2014	05/05/2014	350	49.66	Wells Fargo Company	(17,394.96)
04/30/2014	05/05/2014	120	76.99	Yum! Brands, Inc.	(9,244.12)
05/01/2014	05/08/2014	3,000	7.30	Amada Co. Ltd.	(21,938.75)
05/01/2014	05/07/2014	2,630	5.61	Centrica plc	(14,867.57)
05/01/2014	05/07/2014	160	55.99	Johnson Matthey PLC	(9,020.45)
05/01/2014	05/08/2014	400	21.72	Nabtesco Corp.	(8,705.79)
05/01/2014	05/08/2014	1,000	22.96	NGK Spark Plug Co., Ltd.	(23,003.50)
05/01/2014	05/07/2014	530	23.09	Prudential plc	(12,321.66)
05/01/2014	05/07/2014	430	22.53	Smiths Group plc	(9,753.70)
05/01/2014	05/08/2014	100	74.79	Softbank	(7,494.35)
05/01/2014	05/07/2014	440	14.98	Tullow Oil plc	(6,636.15)
05/02/2014	05/07/2014	130	56.73	Boskalis Westminster - CVA	(7,393.23)
05/02/2014	05/07/2014	550	17.78	DnB Holding ASA	(9,805.54)
05/02/2014	05/08/2014	140	126.31	Hyundai Motor Company Ltd PFD (KRW -18270758.00)	** (17,753.77)
05/02/2014	05/07/2014	1,290	14.22	ING Groep	(18,393.43)
05/02/2014	05/07/2014	33,300	0.13	Kalbe Farma TBK PT (IDR -51787913.20)	** (4,493.53)
05/02/2014	05/08/2014	520	38.87	Korea Electric Power Corp. (KRW -20886722.00)	** (20,295.71)

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Purchases (cont'd)					
05/02/2014	05/07/2014	6,000	1.33	PICC Prop & Casualty Co. Ltd.	(7,998.76)
05/02/2014	05/07/2014	50	293.44	Roche Holdings AG	(14,708.48)
05/02/2014	05/07/2014	260	67.38	Safran SA	(17,597.29)
05/02/2014	05/08/2014	32	1,018.10	Samsung Electronics Co., Pfd (KRW -33661963.00)	** (32,709.46)
05/02/2014	05/07/2014	4,600	1.28	Semen Indonesia (Persero) Tbk (IDR -68424492.15)	** (5,937.05)
05/02/2014	05/07/2014	400	20.17	Subsea 7 SA	(8,090.05)
05/02/2014	05/07/2014	370	26.52	SwedBank AB	(9,837.66)
05/02/2014	05/07/2014	1,200	4.08	Wynn Macau, Limited	(4,913.27)
05/20/2014	05/23/2014	3,600	67.85	Softbank	(244,739.39)
05/21/2014	05/27/2014	13,870	51.26	eBay Inc.	(711,560.13)
05/21/2014	05/27/2014	6,890	54.43	J.P. Morgan Chase & Co.	(375,324.48)
05/21/2014	05/27/2014	1,940	47.40	Toronto-Dominion Bank	(92,025.45)
05/22/2014	05/27/2014	3,500	68.51	Softbank	(239,972.12)
05/22/2014	05/28/2014	2,160	48.79	Toronto-Dominion Bank	(105,477.98)
05/23/2014	05/29/2014	2,250	49.07	Toronto-Dominion Bank	(110,490.53)
05/27/2014	05/30/2014	3,290	72.58	Oceaneering International, Inc	(238,912.56)
05/27/2014	05/30/2014	2,850	49.56	Toronto-Dominion Bank	(141,363.13)
05/28/2014	06/02/2014	2,910	49.48	Toronto-Dominion Bank	(144,102.91)
05/30/2014	06/04/2014	90	61.17	Aflac, Inc.	(5,508.98)
05/30/2014	06/04/2014	40	166.25	Alexion Pharmaceuticals, Inc.	(6,651.67)
05/30/2014	06/04/2014	70	102.82	Anadarko Petroleum Corporation	(7,200.06)
05/30/2014	06/04/2014	80	93.10	Apache Corporation	(7,450.97)
05/30/2014	06/04/2014	60	70.51	Baker Hughes Incorporated	(4,233.07)
05/30/2014	06/04/2014	70	78.88	Capital One Financial Corp.	(5,524.17)
05/30/2014	06/04/2014	90	43.00	CareFusion Corporation	(3,873.39)
05/30/2014	06/04/2014	90	122.55	Chevron Corporation	(11,033.36)
05/30/2014	06/04/2014	100	49.12	China Mobile (Hong Kong) Ltd	(4,915.67)
05/30/2014	06/04/2014	70	52.12	Comcast Corporation - CL A	(3,651.25)
05/30/2014	06/04/2014	40	140.30	Continental Resources, Inc.	(5,613.58)
05/30/2014	06/04/2014	20	142.94	Copa Holdings SA Cl A	(2,859.54)
05/30/2014	06/04/2014	70	55.37	Ctrip.com International - ADR	(3,878.96)
05/30/2014	06/04/2014	90	68.97	Delphi Automotive PLC	(6,211.25)
05/30/2014	06/04/2014	60	87.09	Dover Corp.	(5,227.87)
05/30/2014	06/04/2014	80	50.48	eBay Inc.	(4,041.20)

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Purchases (cont'd)					
05/30/2014	06/04/2014	130	73.39	Expedia, Inc.	(9,545.69)
05/30/2014	06/04/2014	120	71.43	Express Scripts Holding, Inc.	(8,576.90)
05/30/2014	06/04/2014	32	558.68	Google Inc - Class C	(17,878.91)
05/30/2014	06/04/2014	22	568.46	Google Inc. - Class A	(12,507.09)
05/30/2014	06/04/2014	70	92.97	Honeywell Inc.	(6,510.75)
05/30/2014	06/04/2014	70	49.58	Incyte Corporation	(3,473.74)
05/30/2014	06/04/2014	70	26.35	InterXion Holding NV	(1,847.58)
05/30/2014	06/04/2014	200	55.44	J.P. Morgan Chase & Co.	(11,095.18)
05/30/2014	06/04/2014	60	77.92	Mallinckrodt PLC	(4,677.69)
05/30/2014	06/04/2014	100	57.85	Merck & Co. Inc.	(5,789.48)
05/30/2014	06/04/2014	60	37.06	NetApp, Inc.	(2,226.27)
05/30/2014	06/04/2014	90	90.00	Novartis AG - ADR	(8,103.92)
05/30/2014	06/04/2014	80	72.09	Oceaneering International, Inc	(5,770.11)
05/30/2014	06/04/2014	80	41.95	Oracle Corporation	(3,359.40)
05/30/2014	06/04/2014	120	80.39	Qualcomm Inc.	(9,651.16)
05/30/2014	06/04/2014	30	307.41	Regeneron Pharmaceuticals	(9,223.50)
05/30/2014	06/04/2014	80	78.17	Reinsurance Group of America,	(6,256.87)
05/30/2014	06/04/2014	140	55.11	Royal Caribbean Cruises Ltd.	(7,720.75)
05/30/2014	06/04/2014	70	78.70	Royal Dutch Shell PLC-ADR A	(5,511.69)
05/30/2014	06/04/2014	90	33.43	Seattle Genetics, Inc.	(3,011.91)
05/30/2014	06/04/2014	90	64.97	St. Jude Medical	(5,851.05)
05/30/2014	06/04/2014	340	49.72	Toronto-Dominion Bank	(16,917.58)
05/30/2014	06/04/2014	190	44.41	United Continental Hld. Inc.	(8,445.84)
05/30/2014	06/04/2014	50	214.43	Visa Inc - Class A Shares	(10,723.28)
05/30/2014	06/04/2014	70	76.64	Wal-Mart Stores, Inc.	(5,367.83)
05/30/2014	06/04/2014	120	50.71	Wells Fargo Company	(6,089.89)
05/30/2014	06/04/2014	40	77.18	Yum! Brands, Inc.	(3,088.76)
06/02/2014	06/05/2014	1,000	9.63	Amada Co. Ltd.	(9,647.17)
06/02/2014	06/05/2014	80	57.21	Boskalis Westminster - CVA	(4,588.32)
06/02/2014	06/05/2014	750	5.63	Centrica plc	(4,251.21)
06/02/2014	06/05/2014	210	18.82	DnB Holding ASA	(3,962.84)
06/02/2014	06/05/2014	90	140.13	Hyundai Motor Company Ltd PFD (KRW -12978799.00)	** (12,662.49)
06/02/2014	06/05/2014	90	140.13	Hyundai Motor Company Ltd PFD (KRW -12978800.00)	** (12,662.49)
06/02/2014	06/05/2014	90	140.13	Hyundai Motor Company Ltd PFD (KRW 12978800.00)	** 12,662.49

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Purchases (cont'd)					
06/02/2014	06/05/2014	660	14.04	ING Groep	(9,290.79)
06/02/2014	06/05/2014	50	54.56	Johnson Matthey PLC	(2,746.99)
06/02/2014	06/05/2014	7,700	0.13	Kalbe Farma TBK PT (IDR -12113786.96)	** (1,029.65)
06/02/2014	06/05/2014	7,700	0.13	Kalbe Farma TBK PT (IDR -12113786.97)	** (1,029.65)
06/02/2014	06/05/2014	7,700	0.13	Kalbe Farma TBK PT (IDR 12113786.96)	** 1,029.65
06/02/2014	06/05/2014	170	38.51	Korea Electric Power Corp. (KRW -6736409.00)	** (6,572.23)
06/02/2014	06/05/2014	170	38.51	Korea Electric Power Corp. (KRW -6736410.00)	** (6,572.24)
06/02/2014	06/05/2014	170	38.51	Korea Electric Power Corp. (KRW 6736410.00)	** 6,572.24
06/02/2014	06/05/2014	400	21.55	Nabtesco Corp.	(8,638.20)
06/02/2014	06/05/2014	170	23.26	Prudential plc	(3,981.71)
06/02/2014	06/05/2014	40	296.38	Roche Holdings AG	(11,884.94)
06/02/2014	06/05/2014	90	68.32	Safran SA	(6,176.21)
06/02/2014	06/05/2014	10	1,088.18	Samsung Electronics Co., Pfd (KRW -11198216.00)	** (10,925.30)
06/02/2014	06/05/2014	10	1,088.18	Samsung Electronics Co., Pfd (KRW -11198217.00)	** (10,925.30)
06/02/2014	06/05/2014	10	1,088.18	Samsung Electronics Co., Pfd (KRW 11198217.00)	** 10,925.30
06/02/2014	06/05/2014	2,400	1.26	Semen Indonesia (Persero) Tbk (IDR -35615911.26)	** (3,027.28)
06/02/2014	06/05/2014	140	22.33	Smiths Group plc	(3,148.54)
06/02/2014	06/05/2014	160	20.04	Subsea 7 SA	(3,214.43)
06/02/2014	06/05/2014	140	26.70	SwedBank AB	(3,746.80)
06/02/2014	06/05/2014	270	14.19	Tullow Oil plc	(3,857.04)
06/03/2014	06/05/2014	6,000	1.49	PICC Prop & Casualty Co. Ltd.	(8,958.31)
06/10/2014	06/13/2014	7,850	48.48	eBay Inc.	(380,914.18)
06/11/2014	06/11/2014	345	56.77	Boskalis Westminster - CVA (EUR -14453.44)	** (19,577.90)
06/11/2014	06/16/2014	1,640	48.59	eBay Inc.	(79,754.02)
06/26/2014	06/26/2014	165	81.60	Royal Dutch Shell PLC-ADR A	(13,434.52)
06/30/2014	07/03/2014	130	62.25	Aflac, Inc.	(8,098.17)
06/30/2014	07/03/2014	20	156.30	Alexion Pharmaceuticals, Inc.	(3,126.74)
06/30/2014	07/03/2014	100	109.47	Anadarko Petroleum Corporation	(10,951.10)
06/30/2014	07/03/2014	100	100.78	Apache Corporation	(10,082.00)
06/30/2014	07/03/2014	110	74.38	Baker Hughes Incorporated	(8,186.73)
06/30/2014	07/03/2014	80	82.71	Capital One Financial Corp.	(6,620.14)
06/30/2014	07/03/2014	240	44.31	CareFusion Corporation	(10,643.90)
06/30/2014	07/03/2014	120	130.44	Chevron Corporation	(15,657.72)
06/30/2014	07/03/2014	300	48.64	China Mobile (Hong Kong) Ltd	(14,605.38)

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Purchases (cont'd)					
06/30/2014	07/03/2014	110	53.76	Comcast Corporation - CL A	(5,918.00)
06/30/2014	07/03/2014	60	157.96	Continental Resources, Inc.	(9,480.18)
06/30/2014	07/03/2014	30	142.67	Copa Holdings SA Cl A	(4,281.33)
06/30/2014	07/03/2014	110	64.46	Ctrip.com International - ADR	(7,094.89)
06/30/2014	07/03/2014	170	68.77	Delphi Automotive PLC	(11,697.70)
06/30/2014	07/03/2014	70	91.36	Dover Corp.	(6,398.00)
06/30/2014	07/03/2014	190	50.07	eBay Inc.	(9,520.90)
06/30/2014	07/03/2014	110	78.74	Expedia, Inc.	(8,665.44)
06/30/2014	07/03/2014	120	69.25	Express Scripts Holding, Inc.	(8,315.30)
06/30/2014	07/03/2014	10	575.89	Google Inc - Class C	(5,759.33)
06/30/2014	07/03/2014	10	585.00	Google Inc. - Class A	(5,850.36)
06/30/2014	07/03/2014	140	93.04	Honeywell Inc.	(13,031.12)
06/30/2014	07/03/2014	80	56.43	Incyte Corporation	(4,517.87)
06/30/2014	07/03/2014	90	27.44	InterXion Holding NV	(2,473.16)
06/30/2014	07/03/2014	310	57.64	J.P. Morgan Chase & Co.	(17,880.80)
06/30/2014	07/03/2014	100	80.01	Mallinckrodt PLC	(8,004.98)
06/30/2014	07/03/2014	190	57.80	Merck & Co. Inc.	(10,989.60)
06/30/2014	07/03/2014	370	41.76	Microsoft Corp.	(15,465.74)
06/30/2014	07/03/2014	200	36.59	NetApp, Inc.	(7,325.06)
06/30/2014	07/03/2014	170	90.58	Novartis AG - ADR	(15,406.05)
06/30/2014	07/03/2014	80	77.97	Oceaneering International, Inc	(6,241.10)
06/30/2014	07/03/2014	170	40.61	Oracle Corporation	(6,910.50)
06/30/2014	07/03/2014	110	79.20	Qualcomm Inc.	(8,716.40)
06/30/2014	07/03/2014	10	283.69	Regeneron Pharmaceuticals	(2,837.28)
06/30/2014	07/03/2014	110	78.81	Reinsurance Group of America,	(8,673.79)
06/30/2014	07/03/2014	230	55.55	Royal Caribbean Cruises Ltd.	(12,784.57)
06/30/2014	07/03/2014	110	82.45	Royal Dutch Shell PLC-ADR A	(9,073.90)
06/30/2014	07/03/2014	120	38.37	Seattle Genetics, Inc.	(4,609.20)
06/30/2014	07/03/2014	120	69.30	St. Jude Medical	(8,320.80)
06/30/2014	07/03/2014	320	51.53	Toronto-Dominion Bank	(16,502.37)
06/30/2014	07/03/2014	260	41.24	United Continental Hld. Inc.	(10,732.18)
06/30/2014	07/03/2014	40	211.06	Visa Inc - Class A Shares	(8,443.80)
06/30/2014	07/03/2014	130	75.13	Wal-Mart Stores, Inc.	(9,772.10)
06/30/2014	07/03/2014	250	52.56	Wells Fargo Company	(13,148.75)

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Purchases (cont'd)					
06/30/2014	07/03/2014	80	81.20	Yum! Brands, Inc.	(6,499.20)
07/01/2014	07/04/2014	1,000	10.25	Amada Co. Ltd.	(10,255.03)
07/01/2014	07/04/2014	100	57.27	Boskalis Westminster - CVA	(5,731.92)
07/01/2014	07/04/2014	1,870	5.35	Centrica plc	(10,070.26)
07/01/2014	07/04/2014	390	18.25	DnB Holding ASA	(7,122.13)
07/01/2014	07/03/2014	70	149.28	Hyundai Motor Company Ltd PFD (KRW -10604727.00)	** (10,486.34)
07/01/2014	07/04/2014	920	14.16	ING Groep	(13,038.45)
07/01/2014	07/04/2014	110	53.59	Johnson Matthey PLC	(5,929.34)
07/01/2014	07/04/2014	23,700	0.14	Kalbe Farma TBK PT (IDR -39518646.27)	** (3,330.41)
07/01/2014	07/04/2014	23,700	0.14	Kalbe Farma TBK PT (IDR -39518646.28)	** (3,321.45)
07/01/2014	07/04/2014	23,700	0.14	Kalbe Farma TBK PT (IDR 39518646.28)	** 3,321.45
07/01/2014	07/03/2014	370	36.94	Korea Electric Power Corp. (KRW -13870387.00)	** (13,715.54)
07/01/2014	07/04/2014	300	22.61	Nabtesco Corp.	(6,788.84)
07/01/2014	07/04/2014	370	23.12	Prudential plc	(8,602.70)
07/01/2014	07/04/2014	30	298.94	Roche Holdings AG	(8,975.31)
07/01/2014	07/04/2014	180	65.72	Safran SA	(11,862.47)
07/01/2014	07/04/2014	3,300	1.27	Semen Indonesia (Persero) Tbk (IDR -49653293.82)	** (4,184.51)
07/01/2014	07/04/2014	3,300	1.26	Semen Indonesia (Persero) Tbk (IDR -49653293.83)	** (4,173.25)
07/01/2014	07/04/2014	3,300	1.26	Semen Indonesia (Persero) Tbk (IDR 49653293.83)	** 4,173.25
07/01/2014	07/04/2014	300	22.30	Smiths Group plc	(6,729.82)
07/01/2014	07/04/2014	100	74.07	Softbank	(7,412.61)
07/01/2014	07/04/2014	290	18.69	Subsea 7 SA	(5,424.74)
07/01/2014	07/04/2014	260	26.57	SwedBank AB	(6,914.37)
07/01/2014	07/04/2014	310	14.73	Tullow Oil plc	(4,594.32)
07/02/2014	07/04/2014	4,000	1.51	PICC Prop & Casualty Co. Ltd.	(6,049.47)
07/28/2014	07/31/2014	6,820	11.67	E-House China Holdings Ltd ADR	(79,882.66)
07/29/2014	08/01/2014	5,220	11.77	E-House China Holdings Ltd ADR	(61,661.25)
07/30/2014	08/04/2014	3,400	11.63	E-House China Holdings Ltd ADR	(39,663.72)
07/31/2014	08/05/2014	138	59.86	Aflac, Inc.	(8,265.33)
07/31/2014	08/05/2014	28	159.31	Alexion Pharmaceuticals, Inc.	(4,461.41)
07/31/2014	08/05/2014	106	107.11	Anadarko Petroleum Corporation	(11,356.93)
07/31/2014	08/05/2014	106	102.73	Apache Corporation	(10,892.43)
07/31/2014	08/05/2014	115	68.88	Baker Hughes Incorporated	(7,925.21)
07/31/2014	08/05/2014	92	79.74	Capital One Financial Corp.	(7,338.56)

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

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Purchases (cont'd)					
07/31/2014	08/05/2014	256	43.78	CareFusion Corporation	(11,215.69)
07/31/2014	08/05/2014	134	129.54	Chevron Corporation	(17,361.74)
07/31/2014	08/05/2014	323	54.53	China Mobile (Hong Kong) Ltd	(17,622.91)
07/31/2014	08/05/2014	122	53.80	Comcast Corporation - CL A	(6,567.65)
07/31/2014	08/05/2014	63	147.14	Continental Resources, Inc.	(9,271.58)
07/31/2014	08/05/2014	40	152.22	Copa Holdings SA Cl A	(6,089.91)
07/31/2014	08/05/2014	119	64.26	Ctrip.com International - ADR	(7,650.87)
07/31/2014	08/05/2014	178	66.93	Delphi Automotive PLC	(11,918.91)
07/31/2014	08/05/2014	73	85.83	Dover Corp.	(6,267.66)
07/31/2014	08/05/2014	7,996	11.14	E-House China Holdings Ltd ADR	(89,432.06)
07/31/2014	08/05/2014	206	52.92	eBay Inc.	(10,906.69)
07/31/2014	08/05/2014	116	79.42	Expedia, Inc.	(9,216.77)
07/31/2014	08/05/2014	133	69.62	Express Scripts Holding, Inc.	(9,263.14)
07/31/2014	08/05/2014	20	573.42	Google Inc - Class C	(11,468.93)
07/31/2014	08/05/2014	20	580.87	Google Inc. - Class A	(11,618.09)
07/31/2014	08/05/2014	148	91.98	Honeywell Inc.	(13,617.54)
07/31/2014	08/05/2014	89	48.13	Incyte Corporation	(4,285.89)
07/31/2014	08/05/2014	101	27.27	InterXion Holding NV	(2,757.48)
07/31/2014	08/05/2014	329	57.89	J.P. Morgan Chase & Co.	(19,057.10)
07/31/2014	08/05/2014	107	69.43	Mallinckrodt PLC	(7,432.27)
07/31/2014	08/05/2014	206	57.07	Merck & Co. Inc.	(11,761.57)
07/31/2014	08/05/2014	391	43.27	Microsoft Corp.	(16,930.46)
07/31/2014	08/05/2014	212	38.91	NetApp, Inc.	(8,254.90)
07/31/2014	08/05/2014	178	87.14	Novartis AG - ADR	(15,516.05)
07/31/2014	08/05/2014	91	67.85	Oceaneering International, Inc	(6,176.88)
07/31/2014	08/05/2014	179	40.43	Oracle Corporation	(7,243.15)
07/31/2014	08/05/2014	123	73.77	Qualcomm Inc.	(9,077.74)
07/31/2014	08/05/2014	12	317.37	Regeneron Pharmaceuticals	(3,808.81)
07/31/2014	08/05/2014	125	80.27	Reinsurance Group of America,	(10,036.90)
07/31/2014	08/05/2014	246	59.73	Royal Caribbean Cruises Ltd.	(14,702.07)
07/31/2014	08/05/2014	123	82.06	Royal Dutch Shell PLC-ADR A	(10,097.17)
07/31/2014	08/05/2014	126	35.31	Seattle Genetics, Inc.	(4,452.58)
07/31/2014	08/05/2014	131	65.19	St. Jude Medical	(8,543.34)
07/31/2014	08/05/2014	337	52.26	Toronto-Dominion Bank	(17,620.42)

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Purchases (cont'd)					
07/31/2014	08/05/2014	274	46.53	United Continental Hld. Inc.	(12,757.00)
07/31/2014	08/05/2014	42	211.75	Visa Inc - Class A Shares	(8,894.81)
07/31/2014	08/05/2014	140	73.64	Wal-Mart Stores, Inc.	(10,313.10)
07/31/2014	08/05/2014	264	51.09	Wells Fargo Company	(13,496.21)
07/31/2014	08/05/2014	94	69.42	Yum! Brands, Inc.	(6,528.66)
08/01/2014	08/06/2014	1,000	9.73	Amada Co. Ltd.	(9,740.72)
08/01/2014	08/06/2014	106	53.25	Boskalis Westminster - CVA	(5,650.32)
08/01/2014	08/06/2014	1,967	5.20	Centrica plc	(10,293.31)
08/01/2014	08/06/2014	417	17.79	DnB Holding ASA	(7,424.24)
08/01/2014	08/06/2014	3,997	11.23	E-House China Holdings Ltd ADR	(45,051.39)
08/01/2014	08/05/2014	40	160.42	Hyundai Motor Company Ltd PFD (KRW -6643500.00)	** (6,426.48)
08/01/2014	08/06/2014	972	13.11	ING Groep	(12,758.01)
08/01/2014	08/06/2014	120	49.43	Johnson Matthey PLC	(5,967.28)
08/01/2014	08/05/2014	394	41.15	Korea Electric Power Corp. (KRW -16785278.00)	** (16,236.96)
08/01/2014	08/06/2014	300	23.06	Nabtesco Corp.	(6,925.84)
08/01/2014	08/06/2014	200	31.63	NGK Spark Plug Co., Ltd.	(6,333.29)
08/01/2014	08/05/2014	4,000	1.62	PICC Prop & Casualty Co. Ltd.	(6,491.10)
08/01/2014	08/06/2014	396	23.00	Prudential plc	(9,163.58)
08/01/2014	08/06/2014	196	58.81	Safran SA	(11,561.24)
08/01/2014	08/06/2014	324	21.46	Smiths Group plc	(6,993.53)
08/01/2014	08/06/2014	100	73.20	Softbank	(7,327.29)
08/01/2014	08/06/2014	305	16.74	Subsea 7 SA	(5,110.90)
08/01/2014	08/06/2014	282	25.88	SwedBank AB	(7,304.16)
08/01/2014	08/06/2014	330	12.30	Tullow Oil plc	(4,082.57)
08/04/2014	08/07/2014	11,623	18.61	Darling Ingredients Inc.	(216,801.49)
08/04/2014	08/07/2014	4,568	11.34	E-House China Holdings Ltd ADR	(51,976.99)
08/04/2014	08/07/2014	24,800	0.14	Kalbe Farma TBK PT (IDR -41376235.71)	** (3,518.99)
08/04/2014	08/07/2014	14,533	26.40	MGM Resorts International	(384,227.81)
08/04/2014	08/07/2014	37	292.40	Roche Holdings AG	(10,829.74)
08/04/2014	08/07/2014	3,400	1.42	Semen Indonesia (Persero) Tbk (IDR -56768685.32)	** (4,828.09)
08/05/2014	08/08/2014	4,565	18.59	Darling Ingredients Inc.	(85,046.41)
08/05/2014	08/08/2014	5,710	10.75	E-House China Holdings Ltd ADR	(61,634.88)
08/05/2014	08/08/2014	6,549	26.42	MGM Resorts International	(173,284.58)
08/06/2014	08/11/2014	1,154	18.90	Darling Ingredients Inc.	(21,855.49)

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Purchases (cont'd)					
08/06/2014	08/11/2014	5,368	10.70	E-House China Holdings Ltd ADR	(57,625.48)
08/06/2014	08/11/2014	3,816	70.55	Express Scripts Holding, Inc.	(269,380.98)
08/06/2014	08/11/2014	7,996	25.62	MGM Resorts International	(205,188.55)
08/07/2014	08/12/2014	5,195	18.79	Darling Ingredients Inc.	(97,844.19)
08/07/2014	08/12/2014	2,869	69.76	Yum! Brands, Inc.	(200,257.06)
08/08/2014	08/13/2014	7,949	33.88	Cabot Oil & Gas Corp. Cl A	(269,641.21)
08/08/2014	08/13/2014	4,595	18.98	Darling Ingredients Inc.	(87,380.82)
08/11/2014	08/14/2014	9,159	34.28	Cabot Oil & Gas Corp. Cl A	(314,342.38)
08/11/2014	08/14/2014	1,146	19.83	Darling Ingredients Inc.	(22,766.67)
08/12/2014	08/15/2014	2,280	19.46	Darling Ingredients Inc.	(44,458.86)
08/13/2014	08/18/2014	5,247	33.15	Cabot Oil & Gas Corp. Cl A	(174,143.21)
08/14/2014	08/19/2014	2,224	19.64	Darling Ingredients Inc.	(43,764.76)
08/15/2014	08/20/2014	3,336	19.49	Darling Ingredients Inc.	(65,152.75)
08/18/2014	08/21/2014	2,780	19.58	Darling Ingredients Inc.	(54,539.71)
08/19/2014	08/22/2014	1,814	19.59	Darling Ingredients Inc.	(35,604.65)
09/08/2014	09/11/2014	2,547	55.81	Comcast Corporation - CL A	(142,226.26)
09/10/2014	09/15/2014	1,673	56.52	Comcast Corporation - CL A	(94,615.68)
09/11/2014	09/16/2014	4,050	10.88	E-House China Holdings Ltd ADR	(44,175.38)
09/12/2014	09/17/2014	3,485	10.80	E-House China Holdings Ltd ADR	(37,736.62)
09/15/2014	09/18/2014	1,396	57.43	Comcast Corporation - CL A	(80,207.46)
09/15/2014	09/18/2014	1,749	10.39	E-House China Holdings Ltd ADR	(18,231.92)
09/16/2014	09/19/2014	2,510	57.08	Comcast Corporation - CL A	(143,349.86)
09/17/2014	09/22/2014	4,314	82.58	Capital One Financial Corp.	(356,410.60)
09/17/2014	09/22/2014	2,922	57.17	Comcast Corporation - CL A	(167,135.48)
09/18/2014	09/23/2014	1,973	83.50	Capital One Financial Corp.	(164,818.89)
09/19/2014	09/24/2014	758	84.37	Capital One Financial Corp.	(63,978.99)
09/22/2014	09/25/2014	1,609	84.12	Capital One Financial Corp.	(135,409.90)
09/22/2014	09/24/2014	288	117.90	Hyundai Motor Company Ltd PFD (KRW -35547199.00)	** (34,074.17)
09/23/2014	09/25/2014	572	120.03	Hyundai Motor Company Ltd PFD (KRW -71724445.00)	** (68,894.93)
09/24/2014	09/29/2014	13,697	38.92	Oracle Corporation	(533,680.32)
09/25/2014	09/29/2014	751	119.10	Hyundai Motor Co., Ltd. - 2nd (KRW -93661815.00)	** (89,760.81)
09/26/2014	09/30/2014	1,050	112.70	Hyundai Motor Co., Ltd. - 2nd (KRW -124539642.00)	** (118,753.95)
09/29/2014	10/01/2014	610	114.23	Hyundai Motor Co., Ltd. - 2nd (KRW -73859221.00)	** (69,922.58)
10/07/2014	10/10/2014	2,400	61.87	Baker Hughes Incorporated	(148,594.56)

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Purchases (cont'd)					
10/08/2014	10/14/2014	1,355	208.51	Visa Inc - Class A Shares	(282,580.91)
10/17/2014	10/22/2014	5,919	63.70	Pentair, PLC	(377,300.74)
10/20/2014	10/23/2014	2,801	64.07	Pentair, PLC	(179,569.31)
10/20/2014	10/23/2014	1,630	207.59	Visa Inc - Class A Shares	(338,434.62)
10/21/2014	10/24/2014	6,247	22.34	MGM Resorts International	(139,812.86)
10/21/2014	10/24/2014	2,779	65.37	Pentair, PLC	(181,768.28)
10/21/2014	10/23/2014	965	107.94	Valeo SA	(104,629.50)
10/22/2014	10/27/2014	3,172	22.48	MGM Resorts International	(71,445.81)
10/22/2014	10/24/2014	914	109.50	Valeo SA	(100,533.36)
10/23/2014	10/27/2014	890	107.14	Valeo SA	(95,782.92)
10/24/2014	10/28/2014	966	108.50	Valeo SA	(105,284.94)
10/27/2014	10/29/2014	480	109.20	Valeo SA	(52,653.18)
10/28/2014	10/31/2014	3,157	22.82	MGM Resorts International	(72,176.60)
10/28/2014	10/30/2014	642	108.94	Valeo SA	(70,256.79)
10/29/2014	10/31/2014	490	110.12	Valeo SA	(54,201.55)
10/30/2014	11/03/2014	481	111.06	Valeo SA	(53,660.97)
11/06/2014	11/12/2014	9,888	32.23	Cabot Oil & Gas Corp. Cl A	(319,046.21)
11/06/2014	11/12/2014	9,249	53.81	Wells Fargo Company	(498,063.27)
11/07/2014	11/13/2014	5,158	33.19	Cabot Oil & Gas Corp. Cl A	(171,404.98)
11/12/2014	11/17/2014	1,759	79.32	Wal-Mart Stores, Inc.	(139,588.08)
11/13/2014	11/18/2014	8,500	70.14	Softbank	(596,152.79)
11/13/2014	11/18/2014	982	82.04	Wal-Mart Stores, Inc.	(80,606.88)
11/14/2014	11/19/2014	8,400	9.04	Amada Co. Ltd.	(76,076.17)
11/14/2014	11/19/2014	4,200	69.71	Softbank	(293,004.53)
11/14/2014	11/19/2014	767	82.47	Wal-Mart Stores, Inc.	(63,287.93)
11/17/2014	11/20/2014	7,000	8.94	Amada Co. Ltd.	(62,724.37)
11/17/2014	11/20/2014	7,387	13.02	Marvell Technology Group Ltd.	(96,505.99)
11/17/2014	11/20/2014	4,200	68.77	Softbank	(289,067.47)
11/18/2014	11/21/2014	6,200	9.08	Amada Co. Ltd.	(56,437.96)
11/18/2014	11/21/2014	5,047	13.35	Marvell Technology Group Ltd.	(67,564.69)
11/19/2014	11/25/2014	4,100	9.09	Amada Co. Ltd.	(37,329.28)
11/19/2014	11/24/2014	14,132	13.39	Marvell Technology Group Ltd.	(189,826.68)
11/20/2014	11/25/2014	5,236	13.46	Marvell Technology Group Ltd.	(70,660.34)
11/21/2014	11/27/2014	3,400	9.11	Amada Co. Ltd.	(31,024.01)

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Purchases (cont'd)					
11/21/2014	11/25/2014	3,220	40.58	Korea Electric Power Corp. (KRW -145548764.00)	** (131,129.74)
11/21/2014	11/25/2014	345,664	1.23	Lloyds TSB Group PLC	(428,229.62)
11/24/2014	11/26/2014	3,219	39.42	Korea Electric Power Corp. (KRW -142130225.00)	** (127,344.28)
11/24/2014	11/26/2014	176,668	1.24	Lloyds TSB Group PLC	(220,949.57)
11/25/2014	11/27/2014	255,415	1.25	Lloyds TSB Group PLC	(321,168.47)
11/26/2014	11/28/2014	173,147	1.26	Lloyds TSB Group PLC	(219,260.66)
12/01/2014	01/15/2015	2,607	12.93	Leju Holdings Ltd-ADR	(33,714.33)
12/10/2014	12/15/2014	1,907	14.86	Marvell Technology Group Ltd.	(28,414.87)
12/11/2014	12/16/2014	10,551	14.54	Marvell Technology Group Ltd.	(153,846.24)
12/11/2014	12/16/2014	3,665	61.79	Pentair, PLC	(226,620.14)
12/17/2014	12/22/2014	3,082	62.65	Pentair, PLC	(193,207.81)
12/18/2014	12/22/2014	55,151	1.18	Lloyds TSB Group PLC	(65,622.89)
12/18/2014	12/23/2014	587	64.01	Pentair, PLC	(37,595.00)
12/19/2014	12/23/2014	132,363	1.19	Lloyds TSB Group PLC	(158,477.20)
12/22/2014	12/26/2014	6,800	10.00	Kansai Electric Power Company	(68,120.18)
12/22/2014	12/24/2014	121,120	1.20	Lloyds TSB Group PLC	(145,983.52)
12/23/2014	12/29/2014	33,837	1.19	Lloyds TSB Group PLC	(40,576.88)
12/24/2014	12/30/2014	1,082	83.33	Capital One Financial Corp.	(90,200.93)
12/24/2014	12/29/2014	6,700	9.99	Kansai Electric Power Company	(67,080.96)
12/24/2014	12/30/2014	2,531	86.92	Wal-Mart Stores, Inc.	(220,105.38)
12/26/2014	01/05/2015	6,700	9.72	Kansai Electric Power Company	(65,274.39)
12/26/2014	12/31/2014	2,531	86.88	Wal-Mart Stores, Inc.	(219,983.64)
12/29/2014	01/02/2015	2,977	83.62	Capital One Financial Corp.	(249,060.29)
12/29/2014	01/06/2015	11,300	9.70	Kansai Electric Power Company	(109,862.30)
12/30/2014	01/07/2015	11,200	9.75	Kansai Electric Power Company	(109,384.28)
				Total Purchases	** (29,550,778.99)
Sales					
01/02/2014	01/07/2014	1,424	831.24	Mastercard Inc - Class A	1,183,616.32
02/20/2014	02/25/2014	4,200	79.93	BioMarin Pharmaceutical Inc.	335,548.96
02/21/2014	02/26/2014	3,580	80.07	BioMarin Pharmaceutical Inc.	286,518.52
03/13/2014	03/18/2014	4,030	30.26	Knowles Corp	121,801.63
03/26/2014	03/31/2014	7,000	39.86	Microsoft Corp.	278,720.53
03/27/2014	04/01/2014	2,300	91.34	Murata Manufacturing Company,	209,918.41
03/28/2014	04/02/2014	3,300	94.28	Murata Manufacturing Company,	310,887.24

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

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Sales (cont'd)					
03/31/2014	04/03/2014	200	94.74	Murata Manufacturing Company,	18,932.13
03/31/2014	03/31/2014	1	73.05	Royal Dutch Shell PLC-ADR A	55.92
04/14/2014	04/17/2014	2,100	129.02	Continental Resources, Inc.	270,878.05
04/24/2014	04/29/2014	22,160	8.39	Sberbank - Sponsored ADR	185,829.02
04/25/2014	04/30/2014	32,130	8.08	Sberbank - Sponsored ADR	258,817.15
04/28/2014	05/02/2014	5,300	83.72	Murata Manufacturing Company,	443,346.94
04/28/2014	05/01/2014	3,560	75.83	UnitedHealth Group Inc.	269,811.77
04/29/2014	05/02/2014	13,360	75.20	UnitedHealth Group Inc.	1,004,172.84
04/30/2014	05/07/2014	6,100	83.49	Murata Manufacturing Company,	508,881.07
05/21/2014	05/27/2014	1,370	8.62	Arcos Dorados Holdings, Inc:	11,759.95
05/21/2014	05/27/2014	1,680	46.33	Comerica Incorporated	77,773.04
05/21/2014	05/27/2014	4,060	159.09	Goldman Sachs Group	645,742.12
05/21/2014	05/27/2014	6,640	53.50	Royal Caribbean Cruises Ltd.	354,969.87
05/22/2014	05/28/2014	1,890	8.61	Arcos Dorados Holdings, Inc.	16,197.88
05/22/2014	05/28/2014	1,930	46.55	Comerica Incorporated	89,761.74
05/23/2014	05/29/2014	1,690	8.61	Arcos Dorados Holdings, Inc.	14,481.63
05/23/2014	05/29/2014	2,170	46.74	Comerica Incorporated	101,343.70
05/27/2014	05/30/2014	2,110	8.80	Arcos Dorados Holdings, Inc.	18,472.64
05/27/2014	05/30/2014	2,370	69.78	Baker Hughes Incorporated	165,281.33
05/27/2014	05/30/2014	2,490	47.36	Comerica Incorporated	117,827.68
05/28/2014	06/02/2014	2,140	9.00	Arcos Dorados Holdings, Inc.	19,181.46
05/28/2014	06/02/2014	3,200	46.95	Comerica Incorporated	150,109.32
05/29/2014	06/03/2014	1,570	8.90	Arcos Dorados Holdings, Inc.	13,911.77
05/30/2014	06/04/2014	3,830	8.88	Arcos Dorados Holdings, Inc.	33,867.56
06/02/2014	06/05/2014	2,660	8.92	Arcos Dorados Holdings, Inc.	23,626.39
06/03/2014	06/06/2014	1,070	8.90	Arcos Dorados Holdings, Inc.	9,481.38
06/03/2014	06/06/2014	19,140	52.09	Rio Tinto plc - Spon ADR	996,287.70
06/04/2014	06/09/2014	890	9.07	Arcos Dorados Holdings, Inc.	8,039.73
06/05/2014	06/10/2014	1,600	9.30	Arcos Dorados Holdings, Inc.	14,821.59
06/10/2014	06/13/2014	5,910	39.98	Coach, Inc.	236,012.99
06/11/2014	06/16/2014	11,210	38.87	Coach, Inc.	435,248.89
06/17/2014	06/17/2014	1	57.03	Boskalis Westminster - CVA (EUR 35.78)	** 48.59
07/01/2014	07/01/2014	1	83.01	Royal Dutch Shell PLC-ADR A	(52.18)
07/01/2014	07/01/2014	1	83.00	Royal Dutch Shell PLC-ADR A	52.18

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Sales (cont'd)					
07/01/2014	07/01/2014	1	83.01	Royal Dutch Shell PLC-ADR A	52.18
08/05/2014	08/08/2014	3,413	85.50	Dover Corp.	291,683.89
08/05/2014	08/07/2014	180	1,000.53	Samsung Electronics Co., Pfd (KRW 185000150.00)	** 178,923.89
08/05/2014	08/07/2014	25,368	4.10	Wynn Macau, Limited	103,562.60
08/06/2014	08/11/2014	2,275	84.56	Dover Corp.	192,269.65
08/06/2014	08/08/2014	178	982.44	Samsung Electronics Co., Pfd (KRW 179886536.00)	** 173,737.95
08/06/2014	08/08/2014	25,278	4.05	Wynn Macau, Limited	102,087.02
08/07/2014	08/12/2014	2,815	84.50	Dover Corp.	237,760.90
08/07/2014	08/11/2014	78	984.24	Samsung Electronics Co., Pfd (KRW 79083332.00)	** 76,271.95
08/07/2014	08/11/2014	25,278	3.82	Wynn Macau, Limited	96,192.05
08/08/2014	08/13/2014	286	146.99	Continental Resources, Inc.	42,027.03
08/08/2014	08/12/2014	162	966.35	Samsung Electronics Co., Pfd (KRW 160329065.00)	** 155,530.94
08/11/2014	08/14/2014	407	148.03	Continental Resources, Inc.	60,228.81
08/11/2014	08/13/2014	141	974.08	Samsung Electronics Co., Pfd (KRW 140641634.00)	** 136,452.54
08/11/2014	08/13/2014	18,958	3.79	Wynn Macau, Limited	71,518.28
08/12/2014	08/15/2014	693	145.11	Continental Resources, Inc.	100,533.09
08/12/2014	08/14/2014	130	974.33	Samsung Electronics Co., Pfd (KRW 129539339.00)	** 125,839.65
08/12/2014	08/14/2014	19,778	3.83	Wynn Macau, Limited	75,346.06
08/13/2014	08/18/2014	719	144.36	Continental Resources, Inc.	103,763.79
08/13/2014	08/18/2014	61	964.64	Samsung Electronics Co., Pfd (KRW 60245051.00)	** 58,460.83
08/18/2014	08/20/2014	81	976.05	Samsung Electronics Co., Pfd (KRW 79951008.00)	** 78,545.82
08/19/2014	08/21/2014	101	975.54	Samsung Electronics Co., Pfd (KRW 99794863.00)	** 97,888.96
08/20/2014	08/22/2014	88	967.09	Samsung Electronics Co., Pfd (KRW 86451231.00)	** 84,550.53
09/05/2014	09/10/2014	1,938	64.96	China Mobile (Hong Kong) Ltd	125,830.20
09/08/2014	09/11/2014	2,443	65.12	China Mobile (Hong Kong) Ltd	159,022.35
09/09/2014	09/12/2014	1,956	64.76	China Mobile (Hong Kong) Ltd	126,617.69
09/10/2014	09/15/2014	1,076	63.37	China Mobile (Hong Kong) Ltd	68,150.18
09/11/2014	09/16/2014	2,148	64.39	China Mobile (Hong Kong) Ltd	138,243.72
09/12/2014	09/17/2014	1,465	63.94	China Mobile (Hong Kong) Ltd	93,618.90
09/15/2014	09/18/2014	1,047	63.37	China Mobile (Hong Kong) Ltd	66,318.97
09/16/2014	09/19/2014	1,465	61.58	China Mobile (Hong Kong) Ltd	90,175.93
09/17/2014	09/22/2014	1,745	61.66	China Mobile (Hong Kong) Ltd	107,542.67
09/17/2014	09/22/2014	6,200	79.63	Softbank	492,487.72
09/18/2014	09/23/2014	506	61.11	China Mobile (Hong Kong) Ltd	30,907.06

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Sales (cont'd)					
09/18/2014	09/24/2014	12,900	78.84	Softbank	1,015,812.13
09/24/2014	09/29/2014	669	108.34	Copa Holdings SA Cl A	72,450.36
09/24/2014	09/29/2014	836	108.41	Copa Holdings SA Cl A	90,591.46
09/25/2014	09/30/2014	1,505	106.60	Copa Holdings SA Cl A	160,365.34
09/26/2014	10/01/2014	65	58.49	Aflac, Inc.	3,799.82
09/26/2014	10/01/2014	14	167.86	Alexion Pharmaceuticals, Inc.	2,349.54
09/26/2014	10/01/2014	500	9.32	Amada Co. Ltd.	4,651.45
09/26/2014	10/01/2014	50	104.06	Anadarko Petroleum Corporation	5,201.58
09/26/2014	10/01/2014	50	94.76	Apache Corporation	4,736.40
09/26/2014	10/01/2014	54	66.56	Baker Hughes Incorporated	3,592.54
09/26/2014	10/01/2014	50	56.70	Boskalis Westminster - CVA	2,832.83
09/26/2014	10/01/2014	91	32.13	Cabot Oil & Gas Corp. Cl A	2,920.75
09/26/2014	10/01/2014	79	81.70	Capital One Financial Corp.	6,451.79
09/26/2014	10/01/2014	121	45.76	CareFusion Corporation	5,532.61
09/26/2014	10/01/2014	926	4.99	Centrica plc	4,614.84
09/26/2014	10/01/2014	64	121.68	Chevron Corporation	7,785.43
09/26/2014	10/01/2014	88	60.26	China Mobile (Hong Kong) Ltd	5,299.80
09/26/2014	10/01/2014	103	54.23	Comcast Corporation - CL A	5,582.48
09/26/2014	10/01/2014	42	68.32	Continental Resources, Inc.	2,868.12
09/26/2014	10/01/2014	1,605	105.01	Copa Holdings SA Cl A	168,467.67
09/26/2014	10/01/2014	56	59.29	Ctrip.com International - ADR	3,318.28
09/26/2014	10/01/2014	166	18.65	Darling Ingredients Inc.	3,090.40
09/26/2014	10/01/2014	84	64.25	Delphi Automotive PLC	5,394.00
09/26/2014	10/01/2014	197	18.67	DnB Holding ASA	3,674.40
09/26/2014	10/01/2014	214	9.37	E-House China Holdings Ltd ADR	1,998.71
09/26/2014	10/01/2014	97	53.00	eBay Inc.	5,138.07
09/26/2014	10/01/2014	55	85.89	Expedia, Inc.	4,722.40
09/26/2014	10/01/2014	78	71.68	Express Scripts Holding, Inc.	5,588.29
09/26/2014	10/01/2014	10	577.25	Google Inc - Class C	5,772.07
09/26/2014	10/01/2014	10	588.25	Google Inc. - Class A	5,882.08
09/26/2014	10/01/2014	70	93.22	Honeywell Inc.	6,523.16
09/26/2014	10/01/2014	42	49.70	Incyte Corporation	2,086.09
09/26/2014	10/01/2014	458	14.28	ING Groep	6,535.51
09/26/2014	10/01/2014	48	27.14	InterXion Holding NV	1,301.17

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Sales (cont'd)					
09/26/2014	10/01/2014	155	60.58	J.P. Morgan Chase & Co.	9,385.06
09/26/2014	10/01/2014	57	47.49	Johnson Matthey PLC	2,704.76
09/26/2014	10/01/2014	11,700	0.14	Kalbe Farma TBK PT (IDR 19589785.29)	** 1,613.66
09/26/2014	09/30/2014	186	44.67	Korea Electric Power Corp. (KRW 8656490.00)	** 8,254.34
09/26/2014	10/01/2014	50	90.29	Mallinckrodt PLC	4,512.75
09/26/2014	10/01/2014	97	59.37	Merck & Co. Inc.	5,755.85
09/26/2014	10/01/2014	119	22.58	MGM Resorts International	2,683.39
09/26/2014	10/01/2014	184	46.47	Microsoft Corp.	8,544.92
09/26/2014	10/01/2014	200	23.51	Nabtesco Corp.	4,692.53
09/26/2014	10/01/2014	100	42.10	NetApp, Inc.	4,206.97
09/26/2014	10/01/2014	100	29.09	NGK Spark Plug Co., Ltd.	2,903.16
09/26/2014	10/01/2014	84	93.21	Novartis AG - ADR	7,827.23
09/26/2014	10/01/2014	43	64.90	Oceaneering International, Inc	2,789.25
09/26/2014	10/01/2014	140	38.91	Oracle Corporation	5,443.12
09/26/2014	09/30/2014	2,000	1.78	PICC Prop & Casualty Co. Ltd.	3,550.40
09/26/2014	10/01/2014	187	23.01	Prudential plc	4,299.76
09/26/2014	10/01/2014	58	75.08	Qualcomm Inc.	4,352.80
09/26/2014	10/01/2014	6	357.79	Regeneron Pharmaceuticals	2,146.51
09/26/2014	10/01/2014	59	81.41	Reinsurance Group of America,	4,801.50
09/26/2014	10/01/2014	18	296.31	Roche Holdings AG	5,329.31
09/26/2014	10/01/2014	116	67.48	Royal Caribbean Cruises Ltd.	7,823.96
09/26/2014	10/01/2014	58	76.66	Royal Dutch Shell PLC-ADR A	4,444.44
09/26/2014	10/01/2014	93	63.84	Safran SA	5,932.79
09/26/2014	10/01/2014	59	41.42	Seattle Genetics, Inc.	2,441.96
09/26/2014	10/01/2014	1,600	1.27	Semen Indonesia (Persero) Tbk (IDR 24692720.18)	** 2,034.00
09/26/2014	10/01/2014	153	20.33	Smiths Group plc	3,107.08
09/26/2014	10/01/2014	62	61.74	St. Jude Medical	3,825.79
09/26/2014	10/01/2014	144	13.73	Subsea 7 SA	1,975.94
09/26/2014	10/01/2014	133	24.96	SwedBank AB	3,317.65
09/26/2014	10/01/2014	159	49.80	Toronto-Dominion Bank	7,913.22
09/26/2014	10/01/2014	156	10.53	Tullow Oil plc	1,641.21
09/26/2014	10/01/2014	129	47.29	United Continental Hld. Inc.	6,096.43
09/26/2014	10/01/2014	20	211.28	Visa Inc - Class A Shares	4,225.00
09/26/2014	10/01/2014	66	76.46	Wal-Mart Stores, Inc.	5,044.27

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Sales (cont'd)					
09/26/2014	10/01/2014	125	51.85	Wells Fargo Company	6,477.38
09/26/2014	10/01/2014	56	72.53	Yum! Brands, Inc.	4,059.90
10/06/2014	10/09/2014	1,630	34.68	Seattle Genetics, Inc.	56,460.48
10/06/2014	10/08/2014	3,625	12.92	Subsea 7 SA	46,757.10
10/07/2014	10/10/2014	3,260	34.19	Seattle Genetics, Inc.	111,311.54
10/07/2014	10/09/2014	8,235	12.90	Subsea 7 SA	106,052.96
10/08/2014	10/14/2014	3,073	33.91	Seattle Genetics, Inc.	104,073.14
10/08/2014	10/10/2014	6,133	12.76	Subsea 7 SA	78,090.78
10/09/2014	10/15/2014	1,838	33.47	Seattle Genetics, Inc.	61,439.12
10/09/2014	10/13/2014	5,100	12.92	Subsea 7 SA	65,737.84
10/10/2014	10/16/2014	2,767	32.57	Seattle Genetics, Inc.	89,999.11
10/10/2014	10/14/2014	6,120	12.37	Subsea 7 SA	75,529.26
10/13/2014	10/16/2014	1,899	31.64	Seattle Genetics, Inc.	60,005.93
10/13/2014	10/15/2014	4,001	12.20	Subsea 7 SA	48,722.66
10/13/2014	10/15/2014	11,408	8.50	Tullow Oil plc	96,780.99
10/14/2014	10/16/2014	1,887	12.18	Subsea 7 SA	22,944.49
10/14/2014	10/16/2014	17,112	8.32	Tullow Oil plc	142,149.84
10/15/2014	10/17/2014	9,414	7.96	Tullow Oil plc	74,780.37
10/20/2014	10/22/2014	6,204	19.15	Smiths Group plc	118,564.97
10/21/2014	10/23/2014	18,613	19.23	Smiths Group plc	357,180.83
10/22/2014	10/24/2014	5,745	19.02	Smiths Group plc	109,068.43
10/23/2014	10/27/2014	6,683	18.54	Smiths Group plc	123,622.56
10/29/2014	11/03/2014	5,672	79.65	Expedia, Inc.	451,537.37
10/30/2014	11/04/2014	7,709	80.16	Expedia, Inc.	617,642.99
11/05/2014	11/10/2014	1,165	52.89	Continental Resources, Inc.	61,571.34
11/06/2014	11/12/2014	5,796	51.94	Continental Resources, Inc.	300,826.61
11/07/2014	11/13/2014	3,373	54.73	Continental Resources, Inc.	184,471.36
11/10/2014	11/10/2014	1		PICC Prop & Cas Co Rts 12/2/14 (HKD 0.00)	** 0.00
11/12/2014	11/17/2014	8,812	42.20	NetApp, Inc.	371,466.05
11/13/2014	11/18/2014	9,863	41.08	NetApp, Inc.	404,785.33
11/14/2014	11/19/2014	7,831	58.88	Baker Hughes Incorporated	460,773.68
11/14/2014	11/19/2014	5,070	42.29	NetApp, Inc.	214,182.99
11/17/2014	11/20/2014	617	41.91	NetApp, Inc.	25,832.35
11/24/2014	11/26/2014	20,022	0.82	PICC Prop & Cas Co Rts 12/2/14	16,446.86

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Sales (cont'd)					
11/25/2014	11/27/2014	39,238	0.88	PICC Prop & Cas Co Rts 12/2/14	34,596.86
11/26/2014	11/28/2014	2,457	59.22	CareFusion Corporation	145,394.18
11/28/2014	12/03/2014	3,194	59.20	CareFusion Corporation	188,955.42
12/01/2014	12/04/2014	9,214	59.20	CareFusion Corporation	545,083.58
12/02/2014	12/05/2014	7,039	59.19	CareFusion Corporation	416,367.35
12/03/2014	12/08/2014	5,488	59.15	CareFusion Corporation	324,392.34
12/04/2014	12/09/2014	2,093	59.21	CareFusion Corporation	123,848.86
12/10/2014	12/15/2014	3,398	61.03	Oceaneering International, Inc	207,223.47
12/11/2014	12/15/2014	34,962	4.34	Centrica plc	151,284.34
12/11/2014	12/16/2014	4,248	61.08	Oceaneering International, Inc	259,286.24
12/12/2014	12/16/2014	35,632	4.21	Centrica plc	149,570.47
12/12/2014	12/17/2014	1,361	59.58	Oceaneering International, Inc	81,034.87
12/15/2014	12/17/2014	19,423	4.15	Centrica plc	80,442.61
12/15/2014	12/18/2014	1,451	58.17	Oceaneering International, Inc	84,345.92
12/16/2014	12/18/2014	58,270	4.17	Centrica plc	242,510.60
12/16/2014	12/18/2014	6,652	14.05	DnB Holding ASA	93,304.51
12/17/2014	12/19/2014	48,559	4.15	Centrica plc	200,934.20
12/17/2014	12/19/2014	7,982	14.15	DnB Holding ASA	112,689.29
12/18/2014	12/22/2014	29,015	4.18	Centrica plc	120,892.02
12/18/2014	12/22/2014	8,869	14.88	DnB Holding ASA	131,750.07
12/19/2014	12/23/2014	10,643	15.09	DnB Holding ASA	160,273.88
12/22/2014	12/29/2014	7,982	14.97	DnB Holding ASA	119,252.22
12/23/2014	12/30/2014	5,842	14.91	DnB Holding ASA	86,956.17
12/29/2014	01/02/2015	91	62.08	Aflac, Inc.	5,645.42
12/29/2014	01/02/2015	19	188.84	Alexion Pharmaceuticals, Inc.	3,587.12
12/29/2014	01/06/2015	900	8.78	Amada Co. Ltd.	7,884.87
12/29/2014	01/02/2015	69	83.82	Anadarko Petroleum Corporation	5,780.77
12/29/2014	01/02/2015	70	63.85	Apache Corporation	4,466.59
12/29/2014	01/02/2015	45	56.89	Baker Hughes Incorporated	2,558.16
12/29/2014	12/31/2014	70	55.90	Boskalis Westminster - CVA	3,903.52
12/29/2014	01/02/2015	212	29.87	Cabot Oil & Gas Corp. Cl A	6,324.10
12/29/2014	01/02/2015	88	113.72	Chevron Corporation	10,003.55
12/29/2014	01/02/2015	122	59.82	China Mobile (Hong Kong) Ltd	7,293.17
12/29/2014	01/02/2015	142	58.85	Comcast Corporation - CL A	8,350.64

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Sales (cont'd)					
12/29/2014	01/02/2015	78	45.02	Ctrip.com International - ADR	3,508.63
12/29/2014	01/02/2015	231	18.10	Darling Ingredients Inc.	4,171.77
12/29/2014	01/02/2015	116	73.54	Delphi Automotive PLC	8,525.84
12/29/2014	01/02/2015	297	7.49	E-House China Holdings Ltd ADR	2,213.82
12/29/2014	01/02/2015	135	57.10	eBay Inc.	7,703.40
12/29/2014	01/02/2015	108	86.03	Express Scripts Holding, Inc.	9,286.94
12/29/2014	01/02/2015	13	530.75	Google Inc - Class C	6,899.12
12/29/2014	01/02/2015	13	537.93	Google Inc. - Class A	6,992.37
12/29/2014	01/02/2015	97	101.75	Honeywell Inc.	9,866.05
12/29/2014	01/02/2015	54	122.35	Hyundai Motor Co., Ltd. - 2nd (KRW 7243104.00)	6,560.78
12/29/2014	01/02/2015	22	114.69	Hyundai Motor Company Ltd PFD (KRW 2766073.00)	2,505.50
12/29/2014	01/02/2015	59	74.17	Incyte Corporation	4,373.52
12/29/2014	12/31/2014	635	13.16	ING Groep	8,336.38
12/29/2014	01/02/2015	67	26.86	InterXion Holding NV	1,796.88
12/29/2014	01/02/2015	215	63.02	J.P. Morgan Chase & Co.	13,539.58
12/29/2014	12/31/2014	79	52.95	Johnson Matthey PLC	4,174.47
12/29/2014	01/05/2015	16,200	0.15	Kalbe Farma TBK PT (IDR 29455768.44)	2,362.13
12/29/2014	01/02/2015	294	38.59	Korea Electric Power Corp. (KRW 12436729.00)	11,265.15
12/29/2014	12/31/2014	7,354	1.18	Lloyds TSB Group PLC	8,637.93
12/29/2014	01/02/2015	70	99.28	Mallinckrodt PLC	6,946.81
12/29/2014	01/02/2015	252	14.35	Marvell Technology Group Ltd.	3,606.04
12/29/2014	01/02/2015	135	57.80	Merck & Co. Inc.	7,796.90
12/29/2014	01/02/2015	236	21.54	MGM Resorts International	5,072.90
12/29/2014	01/02/2015	256	47.39	Microsoft Corp.	12,120.64
12/29/2014	01/06/2015	200	24.46	Nabtesco Corp.	4,883.09
12/29/2014	01/06/2015	200	31.20	NGK Spark Plug Co., Ltd.	6,227.04
12/29/2014	01/02/2015	116	93.97	Novartis AG - ADR	10,895.91
12/29/2014	01/02/2015	195	45.66	Oracle Corporation	8,895.66
12/29/2014	01/02/2015	107	67.28	Pentair, PLC	7,194.86
12/29/2014	01/02/2015	4,000	2.04	PICC Prop & Casualty Co. Ltd.	8,112.22
12/29/2014	12/31/2014	259	23.53	Prudential plc	6,081.25
12/29/2014	01/02/2015	81	75.06	Qualcomm Inc.	6,076.29
12/29/2014	01/02/2015	8	414.02	Regeneron Pharmaceuticals	3,311.74
12/29/2014	01/02/2015	82	88.31	Reinsurance Group of America,	7,237.64

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Sales (cont'd)					
12/29/2014	12/31/2014	25	272.88	Roche Holdings AG	6,804.83
12/29/2014	01/02/2015	161	83.51	Royal Caribbean Cruises Ltd.	13,437.65
12/29/2014	01/02/2015	81	68.43	Royal Dutch Shell PLC-ADR A	5,539.78
12/29/2014	12/31/2014	128	61.82	Safran SA	7,893.78
12/29/2014	01/05/2015	2,300	1.30	Semen Indonesia (Persero) Tbk (IDR 36996736.91)	2,966.86
12/29/2014	01/02/2015	86	66.58	St. Jude Medical	5,721.97
12/29/2014	01/02/2015	184	24.93	SwedBank AB	4,575.55
12/29/2014	01/02/2015	220	47.97	Toronto-Dominion Bank	10,545.21
12/29/2014	01/02/2015	179	65.31	United Continental Hld. Inc.	11,682.84
12/29/2014	12/31/2014	33	126.27	Valeo SA	4,156.55
12/29/2014	01/02/2015	45	265.61	Visa Inc - Class A Shares	11,950.45
12/29/2014	01/02/2015	225	55.75	Wells Fargo Company	12,534.34
12/29/2014	01/02/2015	78	73.67	Yum! Brands, Inc.	5,742.64
				Total Sales	** 24,702,947.52
Foreign Currency Contracts					
01/06/2014	01/06/2014			Buy 10,107,138 FX Spot Contract KRW S/D 01/06/2014	(9,601.98)
01/06/2014	01/06/2014			Buy 4,094,132 FX Spot Contract KRW S/D 01/06/2014	(3,889.51)
01/06/2014	01/06/2014			Buy 7,614,472 FX Spot Contract KRW S/D 01/06/2014	(7,233.90)
01/07/2014	01/07/2014			Buy 15,782,130 FX Spot Contract IDR S/D 01/07/2014	(1,288.87)
01/07/2014	01/07/2014			Buy 21,493,758 FX Spot Contract IDR S/D 01/07/2014	(1,755.31)
02/05/2014	02/05/2014			Buy 17,576,325 FX Spot Contract KRW S/D 02/05/2014	(16,253.31)
02/05/2014	02/05/2014			Buy 20,874,515 FX Spot Contract KRW S/D 02/05/2014	(19,303.23)
02/06/2014	02/06/2014			Buy 30,832,270 FX Spot Contract IDR S/D 02/06/2014	(2,522.07)
02/06/2014	02/06/2014			Buy 35,697,675 FX Spot Contract IDR S/D 02/06/2014	(2,920.05)
03/05/2014	03/05/2014			Buy 10,606,535 FX Spot Contract KRW S/D 03/05/2014	(9,906.35)
03/05/2014	03/05/2014			Buy 16,346,635 FX Spot Contract KRW S/D 03/05/2014	(15,267.53)
03/05/2014	03/05/2014			Buy 18,069,913 FX Spot Contract KRW S/D 03/05/2014	(16,877.04)
03/06/2014	03/06/2014			Buy 30,672,574 FX Spot Contract IDR S/D 03/06/2014	(2,639.64)
03/06/2014	03/06/2014			Buy 36,907,809 FX Spot Contract IDR S/D 03/06/2014	(3,176.23)
04/02/2014	04/02/2014			Buy 372,719,823 FX Spot Contract IDR S/D 04/02/2014	(32,709.07)
04/03/2014	04/03/2014			Buy 20,911,319 FX Spot Contract KRW S/D 04/03/2014	(19,808.02)
04/03/2014	04/03/2014			Buy 21,746,771 FX Spot Contract KRW S/D 04/03/2014	(20,599.38)
04/03/2014	04/03/2014			Buy 29,679,498 FX Spot Contract KRW S/D 04/03/2014	(28,113.58)
04/04/2014	04/04/2014			Buy 431,970,209 FX Spot Contract IDR S/D 04/04/2014	(38,251.15)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Foreign Currency Contracts (cont'd)					
04/04/2014	04/04/2014			Buy 65,929,856 FX Spot Contract IDR S/D 04/04/2014	(5,838.12)
04/07/2014	04/07/2014			Buy 472,122,220 FX Spot Contract IDR S/D 04/07/2014	(41,791.82)
04/10/2014	04/10/2014			Buy 75,361,116 FX Spot Contract IDR S/D 04/10/2014	(6,686.88)
04/17/2014	04/17/2014			Buy 747,325,586 FX Spot Contract IDR S/D 04/17/2014	(65,440.07)
04/21/2014	04/21/2014			Buy 756,417,991 FX Spot Contract IDR S/D 04/21/2014	(66,178.30)
04/22/2014	04/22/2014			Buy 427,111,512 FX Spot Contract IDR S/D 04/22/2014	(37,416.69)
04/25/2014	04/25/2014			Buy 608,105,817 FX Spot Contract IDR S/D 04/25/2014	(52,394.01)
04/28/2014	04/28/2014			Buy 36,436,951 FX Spot Contract IDR S/D 04/28/2014	(3,139.38)
05/07/2014	05/07/2014			Buy 51,787,913 FX Spot Contract IDR S/D 05/07/2014	(4,501.34)
05/07/2014	05/07/2014			Buy 68,424,492 FX Spot Contract IDR S/D 05/07/2014	(5,947.37)
05/08/2014	05/08/2014			Buy 18,270,758 FX Spot Contract KRW S/D 05/08/2014	(17,866.97)
05/08/2014	05/08/2014			Buy 20,886,722 FX Spot Contract KRW S/D 05/08/2014	(20,425.11)
05/08/2014	05/08/2014			Buy 33,661,963 FX Spot Contract KRW S/D 05/08/2014	(32,918.01)
06/05/2014	06/05/2014			Buy 11,198,216 FX Spot Contract KRW S/D 06/05/2014	(10,945.38)
06/05/2014	06/05/2014			Buy 12,113,787 FX Spot Contract IDR S/D 06/05/2014	(1,027.90)
06/05/2014	06/05/2014			Buy 12,978,799 FX Spot Contract KRW S/D 06/05/2014	(12,685.76)
06/05/2014	06/05/2014			Buy 35,615,911 FX Spot Contract IDR S/D 06/05/2014	(3,022.14)
06/05/2014	06/05/2014			Buy 6,736,409 FX Spot Contract KRW S/D 06/05/2014	(6,584.31)
06/11/2014	06/11/2014			Buy 14,453 FX Spot Contract EUR S/D 06/11/2014	(19,577.90)
06/17/2014	06/17/2014			Sell 36 FX Spot Contract EUR S/D 06/17/2014	48.59
07/03/2014	07/03/2014			Buy 10,604,727 FX Spot Contract KRW S/D 07/03/2014	(10,510.14)
07/03/2014	07/03/2014			Buy 13,870,387 FX Spot Contract KRW S/D 07/03/2014	(13,746.67)
07/04/2014	07/04/2014			Buy 39,518,646 FX Spot Contract IDR S/D 07/04/2014	(3,330.41)
07/04/2014	07/04/2014			Buy 49,653,294 FX Spot Contract IDR S/D 07/04/2014	(4,184.51)
08/05/2014	08/05/2014			Buy 16,785,278 FX Spot Contract KRW S/D 08/05/2014	(16,278.21)
08/05/2014	08/05/2014			Buy 6,643,500 FX Spot Contract KRW S/D 08/05/2014	(6,442.81)
08/07/2014	08/07/2014			Buy 41,376,236 FX Spot Contract IDR S/D 08/07/2014	(3,528.59)
08/07/2014	08/07/2014			Buy 56,768,685 FX Spot Contract IDR S/D 08/07/2014	(4,841.27)
08/07/2014	08/07/2014			Sell 185,000,150 FX Spot Contract KRW S/D 08/07/2014	178,830.50
08/08/2014	08/08/2014			Sell 179,886,536 FX Spot Contract KRW S/D 08/08/2014	172,751.88
08/11/2014	08/11/2014			Sell 79,083,332 FX Spot Contract KRW S/D 08/11/2014	76,571.78
08/12/2014	08/12/2014			Sell 160,329,065 FX Spot Contract KRW S/D 08/12/2014	155,644.17
08/13/2014	08/13/2014			Sell 140,641,634 FX Spot Contract KRW S/D 08/13/2014	136,771.01
08/14/2014	08/14/2014			Sell 129,539,339 FX Spot Contract KRW S/D 08/14/2014	125,810.32

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Foreign Currency Contracts (cont'd)					
08/18/2014	08/18/2014			Sell 60,245,051 FX Spot Contract KRW S/D 08/18/2014	59,069.57
08/20/2014	08/20/2014			Sell 79,951,008 FX Spot Contract KRW S/D 08/20/2014	78,298.90
08/21/2014	08/21/2014			Sell 99,794,863 FX Spot Contract KRW S/D 08/21/2014	97,379.84
08/22/2014	08/22/2014			Sell 86,451,231 FX Spot Contract KRW S/D 08/22/2014	84,565.42
09/24/2014	09/24/2014			Buy 35,547,199 FX Spot Contract KRW S/D 09/24/2014	(34,232.67)
09/25/2014	09/25/2014			Buy 71,724,445 FX Spot Contract KRW S/D 09/25/2014	(69,072.08)
09/29/2014	09/29/2014			Buy 93,661,815 FX Spot Contract KRW S/D 09/29/2014	(89,964.28)
09/30/2014	09/30/2014			Buy 124,539,642 FX Spot Contract KRW S/D 09/30/2014	(118,516.63)
09/30/2014	09/30/2014			Sell 8,656,490 FX Spot Contract KRW S/D 09/30/2014	8,189.75
10/01/2014	10/01/2014			Buy 73,859,221 FX Spot Contract KRW S/D 10/01/2014	(70,221.07)
10/01/2014	10/01/2014			Sell 19,589,785 FX Spot Contract IDR S/D 10/01/2014	1,619.71
10/01/2014	10/01/2014			Sell 24,692,720 FX Spot Contract IDR S/D 10/01/2014	2,041.63
11/25/2014	11/25/2014			Buy 145,548,764 FX Spot Contract KRW S/D 11/25/2014	(131,028.22)
11/26/2014	11/26/2014			Buy 142,130,225 FX Spot Contract KRW S/D 11/26/2014	(128,045.25)
				Total Foreign Currency Contracts	(192,853.42)
Dividends Received					
* 11/13/2013	12/23/2013			Royal Dutch Shell PLC-ADR A	589.48
* 11/20/2013	02/05/2014		0.59	Vodafone Group PLC - SP ADR	22,661.41
* 11/27/2013	02/04/2014			Johnson Matthey PLC	3,561.90
* 12/04/2013	01/03/2014		0.34	Coach, Inc.	5,508.00
* 12/04/2013	01/02/2014		0.47	Wal-Mart Stores, Inc.	7,001.12
* 12/11/2013	01/02/2014		0.17	Comerica Incorporated	1,837.70
* 12/12/2013	01/08/2014		0.44	Merck & Co. Inc.	9,649.20
* 12/12/2013	01/02/2014		0.25	Royal Caribbean Cruises Ltd.	8,100.00
* 12/18/2013	01/10/2014		0.34	Tiffany & Co.	1,431.40
* 12/26/2013	01/03/2014		0.06	Arcos Dorados Holdings, Inc.	1,168.76
* 12/27/2013	04/11/2014			Hyundai Motor Co., Ltd. - 2nd	14,073.27
* 12/27/2013	04/11/2014			Hyundai Motor Company Ltd PFD	4,043.91
* 12/27/2013	04/25/2014			Korea Electric Power Corp.	3,650.35
* 12/27/2013	04/14/2014			Samsung Electronics Co., Pfd	14,988.83
* 12/27/2013	01/31/2014		0.25	St. Jude Medical	3,492.50
* 12/30/2013	01/23/2014		0.20	Comcast Corporation - CL A	2,532.27
01/02/2014	01/31/2014		0.38	J.P. Morgan Chase & Co.	10,913.60
01/02/2014	01/31/2014		0.80	Toronto-Dominion Bank	9,442.40

* - Prior period activity recorded in the current period

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
01/03/2014	01/28/2014		0.12	Oracle Corporation	2,301.60
01/07/2014	01/22/2014		0.15	NetApp, Inc.	2,251.50
01/15/2014	02/07/2014		0.37	Yum! Brands, Inc.	3,738.48
01/17/2014	02/21/2014		0.20	Apache Corporation	2,278.00
01/30/2014	02/14/2014		0.15	Baker Hughes Incorporated	2,190.00
02/05/2014	03/03/2014		0.30	Wells Fargo Company	8,595.00
02/06/2014	02/21/2014		0.30	Capital One Financial Corp.	3,003.00
02/12/2014	03/03/2014		0.37	Aflac, Inc.	5,561.10
02/12/2014	03/10/2014		1.00	Chevron Corporation	8,612.00
02/12/2014	03/07/2014		0.30	Reinsurance Group of America,	4,072.50
02/12/2014	03/27/2014		0.90	Royal Dutch Shell PLC-ADR A	12,023.80
02/12/2014	03/04/2014		0.40	Visa Inc - Class A Shares	1,840.00
02/13/2014	02/27/2014		0.25	Delphi Automotive PLC	4,827.50
02/13/2014	03/04/2014		0.25	Royal Caribbean Cruises Ltd.	8,252.50
02/18/2014	03/13/2014		0.28	Microsoft Corp.	13,991.04
02/25/2014	03/10/2014		0.45	Honeywell Inc.	7,236.00
02/26/2014	03/17/2014		0.96	Copa Holdings SA Cl A	4,171.20
02/26/2014	03/28/2014		0.55	Goldman Sachs Group	2,150.50
02/26/2014	03/20/2014		0.22	Oceaneering International, Inc	1,471.80
02/27/2014	04/10/2014		2.76	Novartis AG - ADR	53,266.69
03/03/2014	03/26/2014		0.35	Qualcomm Inc.	4,732.00
03/05/2014	03/31/2014		0.34	Coach, Inc.	5,673.38
03/05/2014	04/10/2014		1.09	Rio Tinto plc - Spon ADR	20,274.73
03/06/2014	03/27/2014		0.15	Expedia, Inc.	1,903.50
03/06/2014	03/11/2014			Roche Holdings AG	36,623.46
03/07/2014	04/01/2014		0.48	Wal-Mart Stores, Inc.	7,366.08
03/10/2014	03/26/2014		0.18	Anadarko Petroleum Corporation	2,088.00
03/12/2014	04/01/2014		0.19	Comerica Incorporated	2,114.70
03/12/2014	03/31/2014		0.38	Dover Corp.	3,022.50
03/12/2014	03/25/2014		0.28	UnitedHealth Group Inc.	4,650.80
03/13/2014	04/07/2014		0.44	Merck & Co. Inc.	9,939.60
03/20/2014	03/27/2014			SwedBank AB	48,136.74
03/24/2014	04/01/2014		0.06	Arcos Dorados Holdings, Inc.	1,203.92
03/26/2014	05/22/2014			Prudential plc	17,463.10

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
03/26/2014	04/25/2014			Smiths Group plc	7,609.13
03/27/2014	06/30/2014			Amada Co. Ltd.	14,604.88
03/27/2014	06/30/2014			Murata Manufacturing Company,	11,727.26
03/27/2014	06/25/2014			Nabtesco Corp.	7,219.01
03/27/2014	06/06/2014			NGK Spark Plug Co., Ltd.	4,238.40
03/27/2014	06/27/2014			SMC Corporation	2,572.11
03/27/2014	04/30/2014		0.27	St. Jude Medical	3,882.60
03/31/2014	04/23/2014		0.23	Comcast Corporation - CL A	3,009.60
04/01/2014	04/30/2014		0.43	Toronto-Dominion Bank	10,935.50
04/02/2014	04/30/2014		0.38	J.P. Morgan Chase & Co.	11,377.20
04/02/2014	05/09/2014			Tullow Oil plc	4,947.26
04/04/2014	04/29/2014		0.12	Oracle Corporation	2,400.00
04/08/2014	04/22/2014		0.15	NetApp, Inc.	3,556.50
04/09/2014	05/02/2014		0.37	Yum! Brands, Inc.	3,893.88
04/17/2014	05/22/2014		0.25	Apache Corporation	2,967.50
04/23/2014	06/11/2014			Centrica plc	44,759.35
04/25/2014	05/09/2014			DnB Holding ASA	21,339.89
04/29/2014	05/19/2014			Semen Indonesia (Persero) Tbk	13,756.21
05/01/2014	05/16/2014		0.15	Baker Hughes Incorporated	2,310.00
05/07/2014	05/30/2014		0.30	Reinsurance Group of America,	4,243.50
05/07/2014	06/02/2014		0.48	Wal-Mart Stores, Inc.	7,591.68
05/07/2014	06/02/2014		0.35	Wells Fargo Company	10,454.50
05/08/2014	05/22/2014		0.30	Capital One Financial Corp.	3,129.00
05/12/2014	05/28/2014		0.25	Delphi Automotive PLC	5,032.50
05/13/2014	06/12/2014		0.28	Microsoft Corp.	12,420.24
05/14/2014	06/26/2014		0.94	Royal Dutch Shell PLC-ADR A	13,434.52
05/14/2014	06/03/2014		0.40	Visa Inc - Class A Shares	1,912.00
05/15/2014	06/11/2014			Boskalis Westminster - CVA	19,577.90
05/15/2014	06/10/2014		1.07	Chevron Corporation	16,264.00
05/16/2014	06/05/2014		0.25	Royal Caribbean Cruises Ltd.	8,605.00
05/19/2014	06/02/2014		0.37	Aflac, Inc.	5,794.20
05/19/2014	06/06/2014			Wynn Macau, Limited	14,493.52
05/20/2014	06/10/2014		0.45	Honeywell Inc.	7,537.50
05/22/2014	07/03/2014		1.04	China Mobile (Hong Kong) Ltd	38,114.56

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
05/28/2014	06/16/2014		0.96	Copa Holdings SA Cl A	4,344.00
05/28/2014	06/16/2014		0.38	Dover Corp.	3,112.50
05/28/2014	06/19/2014		0.15	Expedia, Inc.	1,962.00
05/28/2014	06/20/2014		0.27	Oceaneering International, Inc	2,767.50
05/29/2014	06/03/2014			Safran SA	19,329.99
06/02/2014	06/25/2014		0.42	Qualcomm Inc.	5,901.00
06/04/2014	06/30/2014		0.34	Coach, Inc.	5,778.00
06/09/2014	06/25/2014		0.27	Anadarko Petroleum Corporation	3,245.40
06/11/2014	08/06/2014			Johnson Matthey PLC	10,508.56
06/12/2014	07/08/2014		0.44	Merck & Co. Inc.	10,287.20
06/16/2014	07/02/2014			Kalbe Farma TBK PT	4,008.37
06/26/2014	07/31/2014		0.27	St. Jude Medical	4,025.70
06/27/2014	08/29/2014			Samsung Electronics Co., Pfd	588.56
06/30/2014	07/23/2014		0.23	Comcast Corporation - CL A	3,117.60
06/30/2014	07/10/2014		0.59	Subsea 7 SA	20,204.41
07/01/2014	07/31/2014		0.40	J.P. Morgan Chase & Co.	15,076.00
07/02/2014	08/22/2014			PICC Prop & Casualty Co. Ltd.	23,432.03
07/07/2014	07/30/2014		0.12	Oracle Corporation	2,458.80
07/07/2014	07/31/2014		0.44	Toronto-Dominion Bank	16,653.71
07/08/2014	07/22/2014		0.17	NetApp, Inc.	4,001.25
07/09/2014	08/01/2014		0.37	Yum! Brands, Inc.	3,982.68
07/18/2014	08/22/2014		0.25	Apache Corporation	3,047.50
07/31/2014	08/15/2014		0.17	Baker Hughes Incorporated	2,244.00
08/06/2014	08/29/2014		0.33	Reinsurance Group of America,	4,771.80
08/06/2014	09/03/2014		0.48	Wal-Mart Stores, Inc.	7,754.88
08/06/2014	09/02/2014		0.35	Wells Fargo Company	10,676.40
08/07/2014	08/21/2014		0.30	Capital One Financial Corp.	3,201.60
08/11/2014	08/27/2014		0.25	Delphi Automotive PLC	5,142.00
08/13/2014	09/25/2014		0.94	Royal Dutch Shell PLC-ADR A	13,428.84
08/13/2014	09/03/2014		0.40	Visa Inc - Class A Shares	1,964.80
08/15/2014	09/10/2014		1.07	Chevron Corporation	16,632.08
08/18/2014	09/02/2014		0.37	Aflac, Inc.	5,926.66
08/19/2014	09/10/2014		0.45	Honeywell Inc.	7,698.60
08/19/2014	09/11/2014		0.28	Microsoft Corp.	12,633.32

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
08/20/2014	09/26/2014			Prudential plc	8,338.65
08/25/2014	09/17/2014		0.18	Expedia, Inc.	2,418.48
08/27/2014	09/15/2014		0.96	Copa Holdings SA Cl A	4,430.40
08/27/2014	09/19/2014		0.27	Oceaneering International, Inc	2,835.27
08/27/2014	10/06/2014			Tullow Oil plc	2,438.23
08/29/2014	09/24/2014		0.42	Qualcomm Inc.	5,998.86
09/02/2014	10/09/2014		0.99	China Mobile (Hong Kong) Ltd	36,981.59
09/08/2014	09/24/2014		0.27	Anadarko Petroleum Corporation	3,301.02
09/11/2014	10/07/2014		0.44	Merck & Co. Inc.	10,461.44
09/18/2014	10/02/2014		0.30	Royal Caribbean Cruises Ltd.	8,518.80
09/24/2014	11/13/2014			Centrica plc	18,246.74
09/26/2014	12/08/2014			Amada Co. Ltd.	13,119.04
09/26/2014	12/04/2014			Nabtesco Corp.	6,467.69
09/26/2014	12/01/2014			NGK Spark Plug Co., Ltd.	4,728.07
09/26/2014	12/01/2014			SMC Corporation	2,278.00
09/26/2014	10/31/2014		0.27	St. Jude Medical	4,093.47
09/29/2014	10/22/2014		0.23	Comcast Corporation - CL A	5,632.43
10/01/2014	10/31/2014		0.42	Toronto-Dominion Bank	16,102.01
10/02/2014	10/31/2014		0.40	J.P. Morgan Chase & Co.	15,145.60
10/06/2014	10/29/2014		0.12	Oracle Corporation	4,107.12
10/08/2014	10/22/2014		0.17	NetApp, Inc.	4,019.73
10/15/2014	11/07/2014		0.41	Yum! Brands, Inc.	5,605.11
10/20/2014	11/21/2014		0.25	Apache Corporation	3,061.50
10/22/2014	11/07/2014		0.30	Pentair, PLC	4,312.13
10/23/2014	11/24/2014			Smiths Group plc	2,874.35
10/30/2014	11/14/2014		0.17	Baker Hughes Incorporated	2,662.37
11/04/2014	11/18/2014		0.02	Cabot Oil & Gas Corp. Cl A	445.28
11/05/2014	11/28/2014		0.33	Reinsurance Group of America,	4,752.33
11/05/2014	12/01/2014		0.35	Wells Fargo Company	10,632.65
11/06/2014	11/20/2014		0.30	Capital One Financial Corp.	5,774.10
11/07/2014	11/26/2014		0.25	Delphi Automotive PLC	5,121.00
11/12/2014	12/22/2014		0.80	Royal Dutch Shell PLC-ADR A	11,368.17
11/12/2014	12/02/2014		0.48	Visa Inc - Class A Shares	3,780.96
11/14/2014	12/10/2014		1.07	Chevron Corporation	16,563.60

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Dividends Received (cont'd)					
11/17/2014	12/01/2014		0.39	Aflac, Inc.	6,221.67
11/18/2014	12/10/2014		0.52	Honeywell Inc.	8,817.17
11/18/2014	12/11/2014		0.31	Microsoft Corp.	13,929.85
11/25/2014	12/19/2014		0.27	Oceaneering International, Inc	2,823.66
11/26/2014	12/18/2014		0.42	Qualcomm Inc.	5,974.50
12/08/2014	12/24/2014		0.27	Anadarko Petroleum Corporation	3,287.52
12/09/2014	12/29/2014		0.06	Marvell Technology Group Ltd.	1,908.12
12/19/2014	12/23/2014			Safran SA	15,377.64
				Total Dividends Received	1,362,247.78
Foreign Taxes Withheld and Reclaims					
* 11/20/2013	02/05/2014			Vodafone Group PLC - SP ADR Commission Fee	(580.65)
* 12/27/2013	04/11/2014			Hyundai Motor Co., Ltd. - 2nd NRA Expense	(3,096.12)
* 12/27/2013	04/11/2014			Hyundai Motor Company Ltd PFD NRA Expense	(889.66)
* 12/27/2013	04/25/2014			Korea Electric Power Corp. NRA Expense	(803.08)
* 12/27/2013	04/14/2014			Samsung Electronics Co., Pfd NRA Expense	(3,297.54)
01/02/2014	01/31/2014			Toronto-Dominion Bank NRA Expense	(2,360.60)
02/27/2014	04/10/2014			Novartis AG - ADR NRA Expense	(18,643.34)
03/06/2014	03/11/2014			Roche Holdings AG NRA Expense	(12,818.21)
03/20/2014	03/27/2014			SwedBank AB NRA Expense	(14,441.02)
03/27/2014	06/30/2014			Amada Co. Ltd. NRA Expense	(2,234.55)
03/27/2014	06/30/2014			Murata Manufacturing Company, NRA Expense	(1,794.27)
03/27/2014	06/25/2014			Nabtesco Corp. NRA Expense	(1,104.51)
03/27/2014	06/06/2014			NGK Spark Plug Co., Ltd. NRA Expense	(648.48)
03/27/2014	06/27/2014			SMC Corporation NRA Expense	(393.53)
04/01/2014	04/30/2014			Toronto-Dominion Bank NRA Expense	(2,733.88)
04/25/2014	05/09/2014			DnB Holding ASA NRA Expense	(5,334.97)
04/29/2014	05/19/2014			Semen Indonesia (Persero) Tbk NRA Expense	(2,751.24)
05/22/2014	07/03/2014			China Mobile (Hong Kong) Ltd NRA Expense	(3,811.46)
05/29/2014	06/03/2014			Safran SA NRA Expense	(5,799.00)
06/16/2014	07/02/2014			Kalbe Farma TBK PT NRA Expense	(801.67)
06/27/2014	08/29/2014			Samsung Electronics Co., Pfd NRA Expense	(129.48)
07/02/2014	08/22/2014			PICC Prop & Casualty Co. Ltd. NRA Expense	(2,343.20)
07/07/2014	07/31/2014			Toronto-Dominion Bank NRA Expense	(4,163.43)
08/13/2014	09/25/2014			Royal Dutch Shell PLC-ADR A NRA Expense	(2,014.33)

* - Prior period activity recorded in the current period

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Foreign Taxes Withheld and Reclaims (cont'd)					
09/02/2014	10/09/2014			China Mobile (Hong Kong) Ltd NRA Expense	(3,698.16)
09/26/2014	12/08/2014			Amada Co. Ltd. NRA Expense	(2,009.18)
09/26/2014	12/04/2014			Nabtesco Corp. NRA Expense	(990.52)
09/26/2014	12/01/2014			NGK Spark Plug Co., Ltd. NRA Expense	(724.10)
09/26/2014	12/01/2014			SMC Corporation NRA Expense	(348.88)
10/01/2014	10/31/2014			Toronto-Dominion Bank NRA Expense	(4,025.50)
10/22/2014	11/07/2014			Pentair, PLC NRA Expense	(862.43)
12/19/2014	12/23/2014			Safran SA NRA Expense	(4,613.29)
				Total Foreign Taxes Withheld and Reclaims	(110,260.28)
Other Income					
01/10/2014	01/10/2014			Check deposit from Pharmacia Corporation Securities Litigation - Class Action Proceeds	11,140.07
03/13/2014	03/13/2014			Check deposit from El Paso Shareholder Litigation - Class Action Proceeds	82.44
04/14/2014	04/14/2014			Check deposit from Doral Financial Corporation Securities Litigation - Securities Litigation Settlement	29.57
04/16/2014	04/16/2014			Check deposit from Class Action - Class Action Proceeds	2,913.11
09/23/2014	09/23/2014			Check deposit from Citigroup Bond Action Settlement Fund - Class Action Proceeds	52,612.36
09/23/2014	09/23/2014			Check deposit from Pharmacia Corporation Securities Litigation - Class Action Proceeds	2,816.02
10/23/2014	10/23/2014			Check deposit from IPO Securities Litigation Settlement Fund - Class Action Proceeds	110.47
				Total Other Income	69,704.04
Cash Deposits					
01/02/2014	01/02/2014			Custody Transfer from Alec Freeman 2013 GST TRUST - Deposit for 9668/1	420,000.00
01/02/2014	01/02/2014			Custody Transfer from Colin Freeman 2013 GST TRUST - Deposit for 9669/1	420,000.00
01/02/2014	01/02/2014			Custody Transfer from Hannah E. Fox - Deposit for 6782/1	6,400.00
01/02/2014	01/02/2014			Custody Transfer from Matthew S. Fox - Deposit for 6781/1	6,400.00
02/03/2014	02/03/2014			Custody Transfer from Alec Freeman 2013 GST TRUST - Deposit for 9668/1	420,000.00
02/03/2014	02/03/2014			Custody Transfer from Colin Freeman 2013 GST TRUST - Deposit for 9669/1	420,000.00
02/03/2014	02/03/2014			Custody Transfer from Whithom 2008 Tr fbo L.Rabbitt - Deposit for 1491/1	57,528.00
02/04/2014	02/04/2014			Custody Transfer from Rockefeller Global Equity II - Principal/Income Transfer - RDS/A reinvestment	12,005.08
03/03/2014	03/03/2014			Custody Transfer from Alec Freeman 2013 GST TRUST - Deposit for 9668/1	420,000.00
03/03/2014	03/03/2014			Custody Transfer from Colin Freeman 2013 GST TRUST - Deposit for 9669/1	420,000.00
03/03/2014	03/03/2014			Custody Transfer from Stellio Porcelli Trust 2006 - Deposit for 4747/1	14,000.00
03/03/2014	03/03/2014			Custody Transfer from Whithom 2008 Tr fbo L.Rabbitt - Deposit for 1491/1	55,000.00
03/04/2014	03/04/2014			Custody Transfer from Rockefeller Global Equity II - Principal/Income Transfer - RDS/A reinvestment	12,023.80
04/01/2014	04/01/2014			Custody Transfer from Alec Freeman 2013 GST TRUST - Deposit for 9668/1	420,000.00
04/01/2014	04/01/2014			Custody Transfer from Colin Freeman 2013 GST TRUST - Deposit for 9669/1	420,000.00

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Deposits (cont'd)					
04/01/2014	04/01/2014			Custody Transfer from Stellio Porcelli Trust 2006 - Deposit for 4747/1	14,000.00
04/01/2014	04/01/2014			Wire transfer from Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Purchase (8211)	360,000.00
05/01/2014	05/01/2014			Custody Transfer from Alec Freeman 2013 GST TRUST - Deposit for 9668/1	200,000.00
05/01/2014	05/01/2014			Custody Transfer from Colin Freeman 2013 GST TRUST - Deposit for 9669/1	200,000.00
05/01/2014	05/01/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	100,000.00
05/01/2014	05/01/2014			Custody Transfer from Stellio Porcelli Trust 2006 - Deposit for 4747/1	14,000.00
05/01/2014	05/01/2014			Wire transfer from Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Purchase (8211)	360,000.00
06/02/2014	06/02/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	100,000.00
06/02/2014	06/02/2014			Wire transfer from Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Purchase (8211)	360,000.00
06/02/2014	06/02/2014			Wire transfer from Robert E. Harvey - Partnership Purchase (8211)	250,000.00
06/03/2014	06/03/2014			Custody Transfer from Rockefeller Global Equity II - Principal/Income Transfer - BOKA NA reinvestment	19,577.90
06/03/2014	06/03/2014			Custody Transfer from Rockefeller Global Equity II - Principal/Income Transfer - RDS/A reinvestment	13,434.52
07/01/2014	07/01/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	100,000.00
07/01/2014	07/01/2014			Wire transfer from Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Purchase (8211)	360,000.00
07/01/2014	07/01/2014			Wire transfer from Ludmila S. Bidwell - Partnership Purchase (8211)	215,000.00
08/01/2014	08/01/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	40,000.00
08/01/2014	08/01/2014			Wire transfer from Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Purchase (8211)	360,000.00
09/02/2014	09/02/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	40,000.00
09/02/2014	09/02/2014			Wire transfer from Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Purchase (8211)	170,000.00
10/01/2014	10/01/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	40,000.00
11/03/2014	11/03/2014			Custody Transfer from Pamela Huntington Murdock - Deposit for 1508/1.2	55,000.00
11/03/2014	11/03/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	40,000.00
11/03/2014	11/03/2014			Custody Transfer from Whithom 2008 Tr fbo L.Rabbitt - Deposit for 1491/1	37,951.00
11/03/2014	11/03/2014			Wire transfer from The Kim Carleton Davidson Gift Trust - Partnership Purchase (8211)	10,000.00
12/01/2014	12/01/2014			Custody Transfer from Sotell Grandchildren Education - Deposit for 3201/1	20,000.00
12/01/2014	12/01/2014			Wire transfer from The Kim Carleton Davidson Gift Trust - Partnership Purchase (8211)	4,000.00
				Total Cash Deposits	7,006,320.30
Cash Withdrawals and Payments					
01/02/2014	01/02/2014			Custody Transfer to Joelle Le Craver 2004 Trust - Withdrawal for 4730/1	(17,000.00)
01/02/2014	01/02/2014			Wire transfer to Elizabeth Ashforth Bacon Family Legacy Trust - Withdrawal for 2559/1	(340,000.00)
01/13/2014	01/13/2014			Custody Transfer to State Street Bank - November 2013 State Street Custody Fees	(1,658.66)
01/17/2014	01/17/2014			Custody Transfer to 1992 Tr for Jonathan T Trotta - Partnership Distribution	(277.42)
01/17/2014	01/17/2014			Custody Transfer to 1992 Trust for James R. Trotta - Partnership Distribution	(288.20)
01/17/2014	01/17/2014			Custody Transfer to Anastasia Porcelli Trust 2000 - Partnership Distribution	(194.41)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
01/17/2014	01/17/2014			Custody Transfer to Cameron Taie 1973 Trust - Partnership Distribution	(379.48)
01/17/2014	01/17/2014			Custody Transfer to Cathryn C. Griffith 2009 Trust - Partnership Distribution	(384.68)
01/17/2014	01/17/2014			Custody Transfer to Charlotte Witter 1973 Trust - Partnership Distribution	(359.71)
01/17/2014	01/17/2014			Custody Transfer to Christina M. Sassi - Partnership Distribution	(2,158.76)
01/17/2014	01/17/2014			Custody Transfer to Darien S. Taie - Partnership Distribution	(121.37)
01/17/2014	01/17/2014			Custody Transfer to Darien S. Taie 1973 Trust - Partnership Distribution	(391.27)
01/17/2014	01/17/2014			Custody Transfer to Elisabeth Allyn Montouri - Partnership Distribution	(579.42)
01/17/2014	01/17/2014			Custody Transfer to Estate of Douglas Leeds - Partnership Distribution	(584.08)
01/17/2014	01/17/2014			Custody Transfer to Frances Levin - Partnership Distribution	(231.64)
01/17/2014	01/17/2014			Custody Transfer to Freeman Grandchild FBO Colin - Partnership Distribution	(251.92)
01/17/2014	01/17/2014			Custody Transfer to Freeman Grandchild FBO Graham - Partnership Distribution	(226.96)
01/17/2014	01/17/2014			Custody Transfer to Freeman Grandchild tr FBO Alec - Partnership Distribution	(243.98)
01/17/2014	01/17/2014			Custody Transfer to Graeme Freeman Family 2012 Tru - Partnership Distribution	(1,539.35)
01/17/2014	01/17/2014			Custody Transfer to Helen C. Witter Trust - Partnership Distribution	(54.84)
01/17/2014	01/17/2014			Custody Transfer to JFT2012 - Partnership Distribution	(1,142.56)
01/17/2014	01/17/2014			Custody Transfer to Joelle Le Craver 2004 Trust - Partnership Distribution	(136.61)
01/17/2014	01/17/2014			Custody Transfer to Jonathan Bawden Trust 2004 - Partnership Distribution	(646.78)
01/17/2014	01/17/2014			Custody Transfer to Katarina Lehner UTMA NY - Partnership Distribution	(79.89)
01/17/2014	01/17/2014			Custody Transfer to Linda Post Family 2012 Trust - Partnership Distribution	(1,539.35)
01/17/2014	01/17/2014			Custody Transfer to Margaret A. O'Grady - Partnership Distribution	(538.18)
01/17/2014	01/17/2014			Custody Transfer to Michael F. Sassi Mar. Trust A - Partnership Distribution	(1,392.26)
01/17/2014	01/17/2014			Custody Transfer to Michael F. Sassi Mar. Trust B - Partnership Distribution	(650.14)
01/17/2014	01/17/2014			Custody Transfer to Natasha Weil Lehner UTMA NY - Partnership Distribution	(72.58)
01/17/2014	01/17/2014			Custody Transfer to Olivia Witter 1973 Trust - Partnership Distribution	(355.22)
01/17/2014	01/17/2014			Custody Transfer to P. M. Moser c/f L.R.Moser UTMA - Partnership Distribution	(99.51)
01/17/2014	01/17/2014			Custody Transfer to Rebecca Bawden Trust 2000 - Partnership Distribution	(72.19)
01/17/2014	01/17/2014			Custody Transfer to Stellio Porcelli Trust 2006 - Partnership Distribution	(154.55)
01/17/2014	01/17/2014			Custody Transfer to The 2009 Robertson Fam Del Tst - Partnership Distribution	(1,389.79)
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo Anne P. C-M - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo Franz J. C-M - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo G. T Penfield - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo Johann F. C-M - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo Mia Wendy C-M - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo Schuyler J C-M - Partnership Distribution	(169.15)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo Simon R. C-M - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The C-M Tru fbo Zoe Liesl C-M - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The CM Tru fbo S. M. Penfield - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The CM Tru fbo Sylvia Penfield - Partnership Distribution	(169.15)
01/17/2014	01/17/2014			Custody Transfer to The Whithorn 2010 Family Trust - Partnership Distribution	(399.76)
01/17/2014	01/17/2014			Custody Transfer to Tristram H. Lehner UTMA NY - Partnership Distribution	(72.45)
01/17/2014	01/17/2014			Custody Transfer to Tyler F. Post 2009 Trust - Partnership Distribution	(351.74)
01/17/2014	01/17/2014			Custody Transfer to Virginia M. Solomon Rev Trust - Partnership Distribution	(330.48)
01/17/2014	01/17/2014			Custody Transfer to Whithorn 2008 Tr fbo L.Rabbitt - Partnership Distribution	(447.34)
01/17/2014	01/17/2014			Wire transfer to Ella Harvey-UTMA - Partnership Distribution 2328/1.2	(38.24)
01/17/2014	01/17/2014			Wire transfer to Eric J. G. and June Reed Hess - Partnership Distribution 0751/1	(191.73)
01/17/2014	01/17/2014			Wire transfer to Henry W. Harvey-UTMA - Partnership Distribution 2329/1.2	(27.16)
01/17/2014	01/17/2014			Wire transfer to Jeremy Guth - Partnership Distribution 0170/1	(6,930.70)
01/17/2014	01/17/2014			Wire transfer to Olivia M. Shea - Partnership Distribution 0145.1/1	(334.68)
01/17/2014	01/17/2014			Wire transfer to Perrin J. Shea - Partnership Distribution 0146/1	(259.08)
01/17/2014	01/17/2014			Wire transfer to Sarah Oakley Ogden - Partnership Distribution 1676/1	(122.73)
01/17/2014	01/17/2014			Wire transfer to The 1999 Trust for Descendants of Stuart P. Davidson - Partnership Distribution 0138.2/1	(2,105.65)
01/17/2014	01/17/2014			Wire transfer to The Kim Carleton Davidson Gift Trust - Partnership Distribution 0234/1	(275.43)
01/17/2014	01/17/2014			Wire transfer to The Nina Srey Davidson Gift Trust - Partnership Distribution 0158/1	(199.76)
01/23/2014	01/23/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(7,736.00)
02/04/2014	02/04/2014			Custody Transfer to Rockefeller Global Equity II - Principal/Income Transfer - RDS/A reinvestment	(12,005.08)
02/18/2014	02/18/2014			Custody Transfer to Rockefeller & Co., Inc. - Reimbursement for Deloitte Audit Fees 2nd bill	(11,609.59)
02/25/2014	02/25/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(7,564.00)
03/04/2014	03/04/2014			Custody Transfer to Rockefeller Global Equity II - Principal/Income Transfer - RDS/A reinvestment	(12,023.80)
03/13/2014	03/13/2014			Custody Transfer to State Street Bank - December 2013 State Street Custody Fees	(1,572.74)
03/13/2014	03/13/2014			Custody Transfer to State Street Bank - January 2014 State Street Custody Fees	(1,678.17)
03/20/2014	03/20/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,109.00)
04/01/2014	04/01/2014			Custody Transfer to Pamela Huntington Murdock - Withdrawal for 1508/1.2	(16,000.00)
04/01/2014	04/01/2014			Custody Transfer to The Whithorn 2010 Family Trust - Withdrawal for 1492/1	(50,000.00)
04/03/2014	04/03/2014			Custody Transfer to Rockefeller & Co., Inc. - Reimbursement for Deloitte Audit Fees 3rd bill	(11,609.59)
04/11/2014	04/11/2014			Custody Transfer to State Street Bank - February 2014 State Street Custody Fees	(1,785.67)
04/14/2014	04/14/2014			Custody Transfer to 1992 Tr for Jonathan T Trotta - Partnership Distribution	(819.40)
04/14/2014	04/14/2014			Custody Transfer to 1992 Trust for James R. Trotta - Partnership Distribution	(851.24)
04/14/2014	04/14/2014			Custody Transfer to Anastasia Porcelli Trust 2000 - Partnership Distribution	(574.21)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
04/14/2014	04/14/2014			Custody Transfer to Cameron Taie 1973 Trust - Partnership Distribution	(1,120.83)
04/14/2014	04/14/2014			Custody Transfer to Cathryn C. Griffith 2009 Trust - Partnership Distribution	(1,136.19)
04/14/2014	04/14/2014			Custody Transfer to Charlotte Witter 1973 Trust - Partnership Distribution	(1,062.44)
04/14/2014	04/14/2014			Custody Transfer to Christina M. Sassi - Partnership Distribution	(6,376.13)
04/14/2014	04/14/2014			Custody Transfer to Darien S. Taie - Partnership Distribution	(358.48)
04/14/2014	04/14/2014			Custody Transfer to Darien S. Taie 1973 Trust - Partnership Distribution	(1,155.66)
04/14/2014	04/14/2014			Custody Transfer to Elisabeth Allyn Montouri - Partnership Distribution	(1,711.39)
04/14/2014	04/14/2014			Custody Transfer to Estate of Douglas Leeds - Partnership Distribution	(1,725.13)
04/14/2014	04/14/2014			Custody Transfer to Frances Levin - Partnership Distribution	(684.18)
04/14/2014	04/14/2014			Custody Transfer to Freeman Grandchild FBO Colin - Partnership Distribution	(744.08)
04/14/2014	04/14/2014			Custody Transfer to Freeman Grandchild FBO Graham - Partnership Distribution	(670.35)
04/14/2014	04/14/2014			Custody Transfer to Freeman Grandchild tr FBO Alec - Partnership Distribution	(720.62)
04/14/2014	04/14/2014			Custody Transfer to Graeme Freeman Family 2012 Tru - Partnership Distribution	(4,546.64)
04/14/2014	04/14/2014			Custody Transfer to Helen C. Witter Trust - Partnership Distribution	(161.98)
04/14/2014	04/14/2014			Custody Transfer to JFT2012 - Partnership Distribution	(3,374.67)
04/14/2014	04/14/2014			Custody Transfer to Joelle Le Craver 2004 Trust - Partnership Distribution	(357.43)
04/14/2014	04/14/2014			Custody Transfer to Jonathan Bawden Trust 2004 - Partnership Distribution	(1,910.34)
04/14/2014	04/14/2014			Custody Transfer to Katarina Lehner UTMA NY - Partnership Distribution	(235.96)
04/14/2014	04/14/2014			Custody Transfer to Linda Post Family 2012 Trust - Partnership Distribution	(4,546.64)
04/14/2014	04/14/2014			Custody Transfer to Margaret A. O'Grady - Partnership Distribution	(1,589.56)
04/14/2014	04/14/2014			Custody Transfer to Michael F. Sassi Mar. Trust A - Partnership Distribution	(4,112.17)
04/14/2014	04/14/2014			Custody Transfer to Michael F. Sassi Mar. Trust B - Partnership Distribution	(1,920.25)
04/14/2014	04/14/2014			Custody Transfer to Natasha Weil Lehner UTMA NY - Partnership Distribution	(214.39)
04/14/2014	04/14/2014			Custody Transfer to Olivia Witter 1973 Trust - Partnership Distribution	(1,049.17)
04/14/2014	04/14/2014			Custody Transfer to P. M. Moser c/f L.R.Moser UTMA - Partnership Distribution	(293.92)
04/14/2014	04/14/2014			Custody Transfer to Rebecca Bawden Trust 2000 - Partnership Distribution	(213.21)
04/14/2014	04/14/2014			Custody Transfer to Stellio Porcelli Trust 2006 - Partnership Distribution	(493.52)
04/14/2014	04/14/2014			Custody Transfer to The 2009 Robertson Fam Del Tst - Partnership Distribution	(4,104.88)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Anne P. C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Franz J. C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo G. T. Penfield - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Johann F. C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Mia Wendy C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Schuyler J C-M - Partnership Distribution	(499.60)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Simon R. C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The C-M Tru fbo Zoe Liesl C-M - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The CM Tru fbo S. M. Penfield - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The CM Tru fbo Sylvia Penfield - Partnership Distribution	(499.60)
04/14/2014	04/14/2014			Custody Transfer to The Whithorn 2010 Family Trust - Partnership Distribution	(1,180.74)
04/14/2014	04/14/2014			Custody Transfer to Tristram H. Lehner UTMA NY - Partnership Distribution	(213.99)
04/14/2014	04/14/2014			Custody Transfer to Tyler F. Post 2009 Trust - Partnership Distribution	(1,038.90)
04/14/2014	04/14/2014			Custody Transfer to Virginia M. Solomon Rev Trust - Partnership Distribution	(976.10)
04/14/2014	04/14/2014			Custody Transfer to Whithorn 2008 Tr fbo L.Rabbitt - Partnership Distribution	(1,626.91)
04/14/2014	04/14/2014			Wire transfer to Ella Harvey-UTMA - Partnership Distribution 2328/1.2	(112.94)
04/14/2014	04/14/2014			Wire transfer to Eric J. G. and June Reed Hess - Partnership Distribution 0751/1	(566.30)
04/14/2014	04/14/2014			Wire transfer to Henry W. Harvey-UTMA - Partnership Distribution 2329/1.2	(80.23)
04/14/2014	04/14/2014			Wire transfer to Jeremy Guth - Partnership Distribution 0170/1	(20,470.55)
04/14/2014	04/14/2014			Wire transfer to Olivia M. Shea - Partnership Distribution 0145.1/1	(988.52)
04/14/2014	04/14/2014			Wire transfer to Perrin J. Shea - Partnership Distribution 0146/1	(765.21)
04/14/2014	04/14/2014			Wire transfer to Sarah Oakley Ogden - Partnership Distribution 1676/1	(362.49)
04/14/2014	04/14/2014			Wire transfer to The 1999 Trust for Descendants of Stuart P. Davidson - Partnership Distribution 0138.2/1	(6,219.27)
04/14/2014	04/14/2014			Wire transfer to The Kim Carleton Davidson Gift Trust - Partnership Distribution 0234/1	(813.50)
04/14/2014	04/14/2014			Wire transfer to The Nina Srey Davidson Gift Trust - Partnership Distribution 0158/1	(590.00)
04/23/2014	04/23/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,380.00)
05/01/2014	05/01/2014			Custody Transfer to Freeman Grandchild tr FBO Alec - Withdrawal for 9635/1	(3,000.00)
05/01/2014	05/01/2014			Custody Transfer to Jonathan Trotta - Withdrawal for 4753/1	(10,000.00)
05/01/2014	05/01/2014			Custody Transfer to The Whithorn 2010 Family Trust - Withdrawal for 1492/1	(27,000.00)
05/01/2014	05/01/2014			Custody Transfer to Whithorn 2008 Tr fbo L.Rabbitt - Withdrawal for 1491/1	(40,000.00)
05/14/2014	05/14/2014			Custody Transfer to State Street Bank - March 2014 State Street Custody Fees	(1,763.09)
05/21/2014	05/21/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,401.00)
06/02/2014	06/02/2014			Custody Transfer to Charlotte Witter 1973 Trust - Withdrawal for 6475/1	(20,000.00)
06/02/2014	06/02/2014			Custody Transfer to Olivia Witter 1973 Trust - Withdrawal for 6476/1	(20,000.00)
06/02/2014	06/02/2014			Custody Transfer to Pamela Huntington Murdock - Withdrawal for 1508/1.2	(50,000.00)
06/02/2014	06/02/2014			Custody Transfer to Victoria B. Leeds - Withdrawal for 4152/1	(20,000.00)
06/03/2014	06/03/2014			Custody Transfer to Rockefeller Global Equity II - Principal/Income Transfer - BOKA NA reinvestment	(19,577.90)
06/03/2014	06/03/2014			Custody Transfer to Rockefeller Global Equity II - Principal/Income Transfer - RDS/A reinvestment	(13,434.52)
06/12/2014	06/12/2014			Custody Transfer to State Street Bank - April 2014 State Street Custody Fees	(1,837.84)
06/18/2014	06/18/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,722.00)

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Cash Withdrawals and Payments (cont'd)					
07/02/2014	07/02/2014			Custody Transfer to State Street Bank - May 2014 State Street Custody Fees	(1,929.31)
07/15/2014	07/15/2014			Custody Transfer to 1992 Tr for Jonathan T. Trotta - Partnership Distribution	(859.64)
07/15/2014	07/15/2014			Custody Transfer to 1992 Trust for James R. Trotta - Partnership Distribution	(893.05)
07/15/2014	07/15/2014			Custody Transfer to Anastasia Porcelli Trust 2000 - Partnership Distribution	(602.42)
07/15/2014	07/15/2014			Custody Transfer to Cameron Taie 1973 Trust - Partnership Distribution	(1,175.88)
07/15/2014	07/15/2014			Custody Transfer to Cathryn C. Griffith 2009 Trust - Partnership Distribution	(1,192.00)
07/15/2014	07/15/2014			Custody Transfer to Charlotte Witter 1973 Trust - Partnership Distribution	(1,060.14)
07/15/2014	07/15/2014			Custody Transfer to Christina M. Sassi - Partnership Distribution	(6,689.30)
07/15/2014	07/15/2014			Custody Transfer to Darien S. Taie - Partnership Distribution	(376.09)
07/15/2014	07/15/2014			Custody Transfer to Darien S. Taie 1973 Trust - Partnership Distribution	(1,212.43)
07/15/2014	07/15/2014			Custody Transfer to Elisabeth Allyn Montouri - Partnership Distribution	(1,795.45)
07/15/2014	07/15/2014			Custody Transfer to Estate of Douglas Leeds - Partnership Distribution	(1,809.87)
07/15/2014	07/15/2014			Custody Transfer to Frances Levin - Partnership Distribution	(717.78)
07/15/2014	07/15/2014			Custody Transfer to Freeman Grandchild FBO Colin - Partnership Distribution	(780.62)
07/15/2014	07/15/2014			Custody Transfer to Freeman Grandchild FBO Graham - Partnership Distribution	(703.28)
07/15/2014	07/15/2014			Custody Transfer to Freeman Grandchild tr FBO Alec - Partnership Distribution	(747.60)
07/15/2014	07/15/2014			Custody Transfer to Graeme Freeman Family 2012 Tru - Partnership Distribution	(4,769.95)
07/15/2014	07/15/2014			Custody Transfer to Helen C. Witter Trust - Partnership Distribution	(169.93)
07/15/2014	07/15/2014			Custody Transfer to JFT2012 - Partnership Distribution	(3,540.41)
07/15/2014	07/15/2014			Custody Transfer to Joelle Le Craver 2004 Trust - Partnership Distribution	(374.99)
07/15/2014	07/15/2014			Custody Transfer to Jonathan Bawden Trust 2004 - Partnership Distribution	(2,004.16)
07/15/2014	07/15/2014			Custody Transfer to Katarina Lehner UTMA NY - Partnership Distribution	(247.55)
07/15/2014	07/15/2014			Custody Transfer to Linda Post Family 2012 Trust - Partnership Distribution	(4,769.95)
07/15/2014	07/15/2014			Custody Transfer to Margaret A. O'Grady - Partnership Distribution	(1,667.63)
07/15/2014	07/15/2014			Custody Transfer to Michael F. Sassi Mar. Trust A - Partnership Distribution	(4,314.15)
07/15/2014	07/15/2014			Custody Transfer to Michael F. Sassi Mar. Trust B - Partnership Distribution	(2,014.56)
07/15/2014	07/15/2014			Custody Transfer to Natasha Weil Lehner UTMA NY - Partnership Distribution	(224.92)
07/15/2014	07/15/2014			Custody Transfer to Olivia Witter 1973 Trust - Partnership Distribution	(1,046.22)
07/15/2014	07/15/2014			Custody Transfer to P. M. Moser c/f L.R.Moser UTMA - Partnership Distribution	(308.35)
07/15/2014	07/15/2014			Custody Transfer to Rebecca Bawden Trust 2000 - Partnership Distribution	(223.68)
07/15/2014	07/15/2014			Custody Transfer to Sotell Grandchildren Education - Partnership Distribution	(552.64)
07/15/2014	07/15/2014			Custody Transfer to Stellio Porcelli Trust 2006 - Partnership Distribution	(596.14)
07/15/2014	07/15/2014			Custody Transfer to The 2009 Robertson Fam Del Tst - Partnership Distribution	(4,306.49)
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo Anne P. C-M - Partnership Distribution	(524.14)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo Franz J. C-M - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo G. T Penfield - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo Johann F. C-M - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo Mia Wendy C-M - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo Schuyler J C-M - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo Simon R. C-M - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The C-M Tru fbo Zoe Liesl C-M - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The CM Tru fbo S. M. Penfield - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The CM Tru fbo Sylvia Penfield - Partnership Distribution	(524.14)
07/15/2014	07/15/2014			Custody Transfer to The Whithom 2010 Family Trust - Partnership Distribution	(1,023.26)
07/15/2014	07/15/2014			Custody Transfer to Tristram H. Lehner UTMA NY - Partnership Distribution	(224.50)
07/15/2014	07/15/2014			Custody Transfer to Tyler F. Post 2009 Trust - Partnership Distribution	(1,089.92)
07/15/2014	07/15/2014			Custody Transfer to Virginia M. Solomon Rev Trust - Partnership Distribution	(1,024.04)
07/15/2014	07/15/2014			Custody Transfer to Whithom 2008 Tr fbo L.Rabbitt - Partnership Distribution	(1,594.71)
07/15/2014	07/15/2014			Wire transfer to Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Distribution 0728/1.2	(2,996.14)
07/15/2014	07/15/2014			Wire transfer to Ella Harvey-UTMA - Partnership Distribution 2328/1.2	(118.49)
07/15/2014	07/15/2014			Wire transfer to Eric J. G. and June Reed Hess - Partnership Distribution 0751/1	(594.11)
07/15/2014	07/15/2014			Wire transfer to Henry W. Harvey-UTMA - Partnership Distribution 2329/1.2	(84.17)
07/15/2014	07/15/2014			Wire transfer to Jeremy Guth - Partnership Distribution 0170/1	(21,475.98)
07/15/2014	07/15/2014			Wire transfer to Olivia M. Shea - Partnership Distribution 0145.1/1	(1,037.07)
07/15/2014	07/15/2014			Wire transfer to Perrin J. Shea - Partnership Distribution 0146/1	(802.80)
07/15/2014	07/15/2014			Wire transfer to Sarah Oakley Ogden - Partnership Distribution 1676/1	(380.29)
07/15/2014	07/15/2014			Wire transfer to The 1999 Trust for Descendants of Stuart P. Davidson - Partnership Distribution 0138.2/1	(6,524.73)
07/15/2014	07/15/2014			Wire transfer to The Kim Carleton Davidson Gift Trust - Partnership Distribution 0234/1	(853.45)
07/15/2014	07/15/2014			Wire transfer to The Nina Srey Davidson Gift Trust - Partnership Distribution 0158/1	(618.98)
07/15/2014	07/15/2014			Custody Transfer to Rockefeller & Co., Inc. - Reimbursement for Deloitte Audit Fees Final Bill	(2,096.08)
07/18/2014	07/18/2014			Custody Transfer to State Street Bank - June 2014 State Street Custody Fees	(1,899.91)
07/21/2014	07/21/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,970.00)
07/22/2014	07/22/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,866.00)
08/20/2014	08/20/2014			Custody Transfer to Michael F. Sassi Mar. Trust B - Withdrawal for 1737/1	(2,000.00)
09/02/2014	09/02/2014			Custody Transfer to State Street Bank - July 2014 State Street Custody Fees	(1,916.73)
09/04/2014	09/04/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(9,180.00)
09/16/2014	09/16/2014			Custody Transfer to Pamela Huntington Murdock - Withdrawal for 1508/1.2	(16,000.00)
10/01/2014	10/01/2014			Wire transfer to The 1999 Trust for Descendants of Stuart P. Davidson - Withdrawal for 0138.2/1	(200,000.00)
10/01/2014	10/01/2014				

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Cash Withdrawals and Payments (cont'd)					
10/08/2014	10/08/2014			Custody Transfer to State Street Bank - August 2014 State Street Custody Fees	(1,933.98)
10/14/2014	10/14/2014			Custody Transfer to 1992 Tr for Jonathan T. Trotta - Partnership Distribution	(449.10)
10/14/2014	10/14/2014			Custody Transfer to 1992 Trust for James R. Trotta - Partnership Distribution	(466.56)
10/14/2014	10/14/2014			Custody Transfer to Anastasia Porcelli Trust 2000 - Partnership Distribution	(314.72)
10/14/2014	10/14/2014			Custody Transfer to Cameron Taie 1973 Trust - Partnership Distribution	(614.31)
10/14/2014	10/14/2014			Custody Transfer to Cathryn C. Griffith 2009 Trust - Partnership Distribution	(622.74)
10/14/2014	10/14/2014			Custody Transfer to Charlotte Witter 1973 Trust - Partnership Distribution	(553.85)
10/14/2014	10/14/2014			Custody Transfer to Christina M. Sassi - Partnership Distribution	(3,494.69)
10/14/2014	10/14/2014			Custody Transfer to Darien S. Taie - Partnership Distribution	(196.48)
10/14/2014	10/14/2014			Custody Transfer to Darien S. Taie 1973 Trust - Partnership Distribution	(633.41)
10/14/2014	10/14/2014			Custody Transfer to Elisabeth Allyn Montouri - Partnership Distribution	(937.99)
10/14/2014	10/14/2014			Custody Transfer to Estate of Douglas Leeds - Partnership Distribution	(945.53)
10/14/2014	10/14/2014			Custody Transfer to Frances Levin - Partnership Distribution	(374.99)
10/14/2014	10/14/2014			Custody Transfer to Freeman Grandchild FBO Colin - Partnership Distribution	(407.82)
10/14/2014	10/14/2014			Custody Transfer to Freeman Grandchild FBO Graham - Partnership Distribution	(367.41)
10/14/2014	10/14/2014			Custody Transfer to Freeman Grandchild tr FBO Alec - Partnership Distribution	(390.57)
10/14/2014	10/14/2014			Custody Transfer to Graeme Freeman Family 2012 Tru - Partnership Distribution	(2,491.96)
10/14/2014	10/14/2014			Custody Transfer to Helen C. Witter Trust - Partnership Distribution	(88.78)
10/14/2014	10/14/2014			Custody Transfer to JFT2012 - Partnership Distribution	(1,849.62)
10/14/2014	10/14/2014			Custody Transfer to Joelle Le Craver 2004 Trust - Partnership Distribution	(195.91)
10/14/2014	10/14/2014			Custody Transfer to Jonathan Bawden Trust 2004 - Partnership Distribution	(1,047.03)
10/14/2014	10/14/2014			Custody Transfer to Katarina Lehner UTMA NY - Partnership Distribution	(129.33)
10/14/2014	10/14/2014			Custody Transfer to Linda Post Family 2012 Trust - Partnership Distribution	(2,491.97)
10/14/2014	10/14/2014			Custody Transfer to Margaret A. O'Grady - Partnership Distribution	(871.22)
10/14/2014	10/14/2014			Custody Transfer to Michael F. Sassi Mar. Trust A - Partnership Distribution	(2,253.84)
10/14/2014	10/14/2014			Custody Transfer to Michael F. Sassi Mar. Trust B - Partnership Distribution	(1,049.71)
10/14/2014	10/14/2014			Custody Transfer to Natasha Weil Lehner UTMA NY - Partnership Distribution	(117.50)
10/14/2014	10/14/2014			Custody Transfer to Olivia Witter 1973 Trust - Partnership Distribution	(546.58)
10/14/2014	10/14/2014			Custody Transfer to P. M. Moser c/f L.R.Moser UTMA - Partnership Distribution	(161.09)
10/14/2014	10/14/2014			Custody Transfer to Rebecca Bawden Trust 2000 - Partnership Distribution	(116.86)
10/14/2014	10/14/2014			Custody Transfer to Sotell Grandchildren Education - Partnership Distribution	(540.62)
10/14/2014	10/14/2014			Custody Transfer to Stellio Porcelli Trust 2006 - Partnership Distribution	(311.44)
10/14/2014	10/14/2014			Custody Transfer to The 2009 Robertson Fam Del Tst - Partnership Distribution	(2,249.84)
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo Anne P. C-M - Partnership Distribution	(273.83)

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo Franz J. C-M - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo G. T. Penfield - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo Johann F. C-M - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo Mia Wendy C-M - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo Schuyler J C-M - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo Simon R. C-M - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The C-M Tru fbo Zoe Liesl C-M - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The CM Tru fbo S. M. Penfield - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The CM Tru fbo Sylvia Penfield - Partnership Distribution	(273.83)
10/14/2014	10/14/2014			Custody Transfer to The Whithorn 2010 Family Trust - Partnership Distribution	(534.58)
10/14/2014	10/14/2014			Custody Transfer to Tristram H. Lehner UTMA NY - Partnership Distribution	(117.29)
10/14/2014	10/14/2014			Custody Transfer to Tyler F. Post 2009 Trust - Partnership Distribution	(569.41)
10/14/2014	10/14/2014			Custody Transfer to Virginia M. Solomon Rev Trust - Partnership Distribution	(534.99)
10/14/2014	10/14/2014			Custody Transfer to Whithorn 2008 Tr fbo L.Rabbitt - Partnership Distribution	(833.12)
10/14/2014	10/14/2014			Wire transfer to Carl B. Hess 2001 Trust FBO Eric JG Hess - Partnership Distribution 0728/1.2	(2,812.90)
10/14/2014	10/14/2014			Wire transfer to Ella Harvey-UTMA - Partnership Distribution 2328/1.2	(61.90)
10/14/2014	10/14/2014			Wire transfer to Eric J. G. and June Reed Hess - Partnership Distribution 0751/1	(310.38)
10/14/2014	10/14/2014			Wire transfer to Henry W. Harvey-UTMA - Partnership Distribution 2329/1.2	(43.97)
10/14/2014	10/14/2014			Wire transfer to Jeremy Guth - Partnership Distribution 0170/1	(11,219.69)
10/14/2014	10/14/2014			Wire transfer to Olivia M. Shea - Partnership Distribution 0145.1/1	(541.80)
10/14/2014	10/14/2014			Wire transfer to Perrin J. Shea - Partnership Distribution 0146/1	(419.40)
10/14/2014	10/14/2014			Wire transfer to Sarah Oakley Ogden - Partnership Distribution 1676/1	(198.68)
10/14/2014	10/14/2014			Wire transfer to The 1999 Trust for Descendants of Stuart P. Davidson - Partnership Distribution 0138.2/1	(3,408.71)
10/14/2014	10/14/2014			Wire transfer to The Kim Carleton Davidson Gift Trust - Partnership Distribution 0234/1	(445.87)
10/14/2014	10/14/2014			Wire transfer to The Nina Srey Davidson Gift Trust - Partnership Distribution 0158/1	(323.37)
10/20/2014	10/20/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,799.00)
11/05/2014	11/05/2014			Custody Transfer to State Street Bank - September 2014 State Street Custody Fees	(1,754.08)
11/19/2014	11/19/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(8,951.00)
12/01/2014	12/01/2014			Custody Transfer to Helen C. Witter Trust - Withdrawal for 6474/1	(15,000.00)
12/01/2014	12/01/2014			Custody Transfer to Jonathan Bawden Trust 2004 - Withdrawal for 4731/1	(20,000.00)
12/01/2014	12/01/2014			Custody Transfer to The Whithorn 2010 Family Trust - Withdrawal for 1492/1	(20,000.00)
12/04/2014	12/04/2014			Custody Transfer to State Street Bank - October 2014 State Street Custody Fees	(1,852.38)
12/11/2014	12/11/2014			Custody Transfer to Rockefeller & Co., Inc. - Reimbursement for Deloitte fees - 1st bill 2014	(10,566.19)
12/16/2014	12/16/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8211/1)	(9,110.00)

ROCKEFELLER & CO.

Rockefeller Global Equity II/Global Equity (8211/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
12/26/2014	12/26/2014			Custody Transfer to State Street Bank - November 2014 State Street Custody Fees	(1,791.60)
				Total Cash Withdrawals and Payments	(1,375,066.29)
Fees					
01/23/2014	01/23/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(41,445.00)
02/25/2014	02/25/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(40,524.00)
03/20/2014	03/20/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(43,442.00)
04/23/2014	04/23/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(44,893.00)
05/21/2014	05/21/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(45,003.00)
06/18/2014	06/18/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(46,726.00)
07/22/2014	07/22/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(48,053.00)
08/20/2014	08/20/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(47,497.00)
09/16/2014	09/16/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(49,178.00)
10/20/2014	10/20/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(47,135.00)
11/19/2014	11/19/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(47,950.00)
12/16/2014	12/16/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8211/1)	(48,801.00)
				Total Fees	(550,647.00)
Ending Cash Balance					2,248,441.64
Adjustment for transactions not converted to USD					190,066.80
Ending Cash Balance					2,438,508.44

Non Cash Transactions

Non Cash Additions

04/03/2014	04/03/2014	10	Assets Received from Client - 10 shares of Google Inc - Class C (Market Value = $5,835.10)
04/03/2014	04/03/2014	10	Assets Received from Client - 10 shares of Google Inc. - Class A (Market Value = $5,819.85)
04/03/2014	04/03/2014	120	Assets Received from Client - 120 shares of Google Inc - Class C (Market Value = $70,021.20)
04/03/2014	04/03/2014	120	Assets Received from Client - 120 shares of Google Inc. - Class A (Market Value = $69,838.20)
04/03/2014	04/03/2014	129	Assets Received from Client - 129 shares of Google Inc - Class C (Market Value = $75,272.79)
04/03/2014	04/03/2014	129	Assets Received from Client - 129 shares of Google Inc. - Class A (Market Value = $75,076.07)
04/03/2014	04/03/2014	130	Assets Received from Client - 130 shares of Google Inc - Class C (Market Value = $75,856.30)
04/03/2014	04/03/2014	130	Assets Received from Client - 130 shares of Google Inc. - Class A (Market Value = $75,658.05)
04/03/2014	04/03/2014	20	Assets Received from Client - 20 shares of Google Inc - Class C (Market Value = $11,670.20)
04/03/2014	04/03/2014	20	Assets Received from Client - 20 shares of Google Inc - Class C (Market Value = $11,670.20)
04/03/2014	04/03/2014	20	Assets Received from Client - 20 shares of Google Inc - Class C (Market Value = $11,670.20)

ROCKEFELLER & CO.

Rockefeller Global Equity II/Global Equity (8211/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Non Cash Additions (cont'd)					
04/03/2014	04/03/2014	20		Assets Received from Client - 20 shares of Google Inc. - Class A (Market Value = $11,639.70)	
04/03/2014	04/03/2014	20		Assets Received from Client - 20 shares of Google Inc. - Class A (Market Value = $11,639.70)	
04/03/2014	04/03/2014	20		Assets Received from Client - 20 shares of Google Inc. - Class A (Market Value = $11,639.70)	
04/03/2014	04/03/2014	200		Assets Received from Client - 200 shares of Google Inc - Class C (Market Value = $116,702.00)	
04/03/2014	04/03/2014	200		Assets Received from Client - 200 shares of Google Inc. - Class A (Market Value = $116,397.00)	
04/03/2014	04/03/2014	220		Assets Received from Client - 220 shares of Google Inc - Class C (Market Value = $128,372.20)	
04/03/2014	04/03/2014	220		Assets Received from Client - 220 shares of Google Inc. - Class A (Market Value = $128,036.70)	
04/03/2014	04/03/2014	27		Assets Received from Client - 27 shares of Google Inc - Class C (Market Value = $15,754.77)	
04/03/2014	04/03/2014	27		Assets Received from Client - 27 shares of Google Inc. - Class A (Market Value = $15,713.60)	
04/03/2014	04/03/2014	295		Assets Received from Client - 295 shares of Google Inc - Class C (Market Value = $172,135.45)	
04/03/2014	04/03/2014	295		Assets Received from Client - 295 shares of Google Inc. - Class A (Market Value = $171,685.58)	
04/03/2014	04/03/2014	40		Assets Received from Client - 40 shares of Google Inc - Class C (Market Value = $23,340.40)	
04/03/2014	04/03/2014	40		Assets Received from Client - 40 shares of Google Inc - Class C (Market Value = $23,340.40)	
04/03/2014	04/03/2014	40		Assets Received from Client - 40 shares of Google Inc. - Class A (Market Value = $23,279.40)	
04/03/2014	04/03/2014	40		Assets Received from Client - 40 shares of Google Inc. - Class A (Market Value = $23,279.40)	
04/03/2014	04/03/2014	40		Assets Received from Client - 40 shares of Google Inc. - Class A (Market Value = $23,279.40)	
04/03/2014	04/03/2014	43		Assets Received from Client - 43 shares of Google Inc - Class C (Market Value = $25,090.93)	
04/03/2014	04/03/2014	43		Assets Received from Client - 43 shares of Google Inc. - Class A (Market Value = $25,025.36)	
04/03/2014	04/03/2014	50		Assets Received from Client - 50 shares of Google Inc - Class C (Market Value = $29,175.50)	
04/03/2014	04/03/2014	50		Assets Received from Client - 50 shares of Google Inc - Class C (Market Value = $29,175.50)	
04/03/2014	04/03/2014	50		Assets Received from Client - 50 shares of Google Inc - Class C (Market Value = $29,175.50)	
04/03/2014	04/03/2014	50		Assets Received from Client - 50 shares of Google Inc. - Class A (Market Value = $29,099.25)	
04/03/2014	04/03/2014	50		Assets Received from Client - 50 shares of Google Inc. - Class A (Market Value = $29,099.25)	
04/03/2014	04/03/2014	50		Assets Received from Client - 50 shares of Google Inc. - Class A (Market Value = $29,099.25)	
04/03/2014	04/03/2014	545		Assets Received from Client - 545 shares of Google Inc - Class C (Market Value = $318,012.95)	
04/03/2014	04/03/2014	545		Assets Received from Client - 545 shares of Google Inc. - Class A (Market Value = $317,181.83)	
04/03/2014	04/03/2014	6		Assets Received from Client - 6 shares of Google Inc - Class C (Market Value = $3,501.06)	
04/03/2014	04/03/2014	6		Assets Received from Client - 6 shares of Google Inc. - Class A (Market Value = $3,491.91)	
04/03/2014	04/03/2014	60		Assets Received from Client - 60 shares of Google Inc - Class C (Market Value = $35,010.60)	
04/03/2014	04/03/2014	60		Assets Received from Client - 60 shares of Google Inc. - Class A (Market Value = $34,919.10)	
04/03/2014	04/03/2014	70		Assets Received from Client - 70 shares of Google Inc - Class C (Market Value = $40,845.70)	
04/03/2014	04/03/2014	70		Assets Received from Client - 70 shares of Google Inc. - Class A (Market Value = $40,738.95)	
04/03/2014	04/03/2014	80		Assets Received from Client - 80 shares of Google Inc - Class C (Market Value = $46,680.80)	
04/03/2014	04/03/2014	80		Assets Received from Client - 80 shares of Google Inc. - Class A (Market Value = $46,558.80)	
04/03/2014	04/03/2014	9		Assets Received from Client - 9 shares of Google Inc - Class C (Market Value = $5,251.59)	

ROCKEFELLER & CO.

Rockefeller Global Equity II/Global Equity (8211/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Non Cash Additions (cont'd)					
04/03/2014	04/03/2014	9		Assets Received from Client - 9 shares of Google Inc. - Class A (Market Value = $5,237.87)	
11/10/2014	11/10/2014	59,261		Rights Distribution - 59,260.5000 shares of PICC Prop & Cas Co Rts 12/2/14 (Market Value = $44,319.61)-Rights Distribution from 2328 HK to 2328HKRT	
Non Cash Withdrawals					
04/03/2014	04/03/2014	2,234		Assets Delivered to Client - 2,234 shares of Google Inc - Class A (Market Value = $2,603,715.86)	
Mergers, Stock Splits, Distributions					
02/03/2014	02/03/2014	12,380	2.00	Split on 12,380 shares of Toronto-Dominion Bank	
03/03/2014	03/03/2014	4,030		Spin-Off - 4,030 shares of Knowles Corp (Market Value = $129,564.50)-Spin-Off from DOV to KN	
09/11/2014	09/11/2014	5,188	2.00	Split on 5,188 shares of Continental Resources, Inc.	

ROCKEFELLER & CO.

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

Period Ending December 31, 2014

Summary Statement of Assets

	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Est. Ann. Income
Cash and Cash Equivalents	2,576,099.02	2,576,099.02*	0.00	3.86	0
Securities					
Equity					
North America	32,415,829.98	63,003,776.11	30,587,946.13	94.34	421,347
Emerging Markets MEA	1,118,536.97	1,218,392.60	99,855.63	1.82	0
Total Equity	33,534,366.95	64,222,168.71	30,687,801.76	96.17	421,347
Total Securities	33,534,366.95	64,222,168.71	30,687,801.76	96.17	421,347
Other Assets	(15,500.64)	(15,500.64)	0.00	(0.02)	0
Total Account:	36,094,965.33	66,782,767.09	30,687,801.76	100.00	421,347

* - Settled cash is invested in Inst Gov MMkt-Inv Cl, State St Instl. US Govt Mmkt; yield is estimated.

ROCKEFELLER & CO.

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

Period Ending December 31, 2014

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Cash and Cash Equivalents								
Cash			2,576,099.02	2,576,099.02*	0.00	3.86	0.00	0
Securities								
Equity								
North America								
Abaxis, Inc.	21,215	56.83	606,696.11	1,205,648.45	598,952.34	1.81	0.70	8,486
Abiomed, Inc	51,572	38.06	742,449.56	1,962,830.32	1,220,380.76	2.94	0.00	0
Airgas, Inc.	19,777	115.18	702,791.64	2,277,914.86	1,575,123.22	3.41	1.91	43,509
Carpenter Technology Corporation	20,206	49.25	803,923.86	995,145.50	191,221.64	1.49	1.46	14,548
Carter's, Inc.	22,860	87.31	772,611.96	1,995,906.60	1,223,294.64	2.99	0.87	17,374
Chemed Corporation	13,875	105.67	453,344.93	1,466,171.25	1,012,826.32	2.20	0.83	12,210
Clarcor Inc.	15,617	66.64	601,713.80	1,040,716.88	439,003.08	1.56	1.20	12,494
Digital River, Inc.	36,237	24.73	576,214.18	896,141.01	319,926.83	1.34	0.00	0
DigitalGlobe Inc.	43,394	30.97	1,060,256.07	1,343,912.18	283,656.11	2.01	0.00	0
Edwards Lifesciences Corporation	15,174	127.38	618,587.71	1,932,864.12	1,314,276.41	2.89	0.00	0
EPIQ Systems, Inc.	63,366	17.08	781,172.67	1,082,291.28	301,118.61	1.62	2.11	22,812
ExamWorks Group, Inc.	71,284	41.59	718,506.83	2,964,701.56	2,246,194.73	4.44	0.00	0
FactSet Research Systems, Inc.	14,449	140.75	489,358.02	2,033,696.75	1,544,338.73	3.05	1.11	22,540
First Cash Financial Services, Inc.	30,546	55.67	1,059,641.02	1,700,495.82	640,854.80	2.55	0.00	0
Fred's Inc.	56,566	17.41	798,390.58	984,814.06	186,423.48	1.47	1.38	13,576
Gentherm Inc.	38,230	36.62	783,478.23	1,399,982.60	616,504.37	2.10	0.00	0
Greatbatch, Inc.	42,372	49.30	1,019,000.14	2,088,939.60	1,069,939.46	3.13	0.00	0
Healthcare Services Group.	83,683	30.93	442,996.75	2,588,315.19	2,145,318.44	3.88	2.26	58,578
Inogen Inc	16,300	31.37	481,807.23	511,331.00	29,523.77	0.77	0.00	0
Insulet Corporation	41,000	46.06	899,432.05	1,888,460.00	989,027.95	2.83	0.00	0
Intralinks Holdings Incorporated	1,810	11.90	18,155.02	21,539.00	3,383.98	0.03	0.00	0
IPG Photonics Corporation	16,103	74.92	673,146.39	1,206,436.76	533,290.37	1.81	0.00	0
Iron Mountain Inc.	52,584	38.66	780,533.72	2,032,897.44	1,252,363.72	3.04	4.91	99,910
Littelfuse, Inc.	15,854	96.67	739,869.68	1,532,606.18	792,736.50	2.29	1.03	15,854
Masimo Corporation	38,855	26.34	846,909.46	1,023,440.70	176,531.24	1.53	0.00	0
Mentor Graphics	90,977	21.92	972,162.65	1,994,215.84	1,022,053.19	2.99	0.91	18,195

* - Settled cash is invested in Inst Gov MMkt-Inv Cl, State St Instl. US Govt Mmkt; yield is estimated.

ROCKEFELLER & CO.

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

Period Ending December 31, 2014

Detailed Statement of Assets

Security Name	Shares	Price (US)	Cost (US)	Market Value	Unrealized Gain/Loss	% of Value	Current Yield	Est. Ann. Income
Merit Medical Systems, Inc.	82,736	17.33	1,001,446.90	1,433,814.88	432,367.98	2.15	0.00	0
Microsemi Corp.	65,071	28.38	729,632.06	1,846,714.98	1,117,082.92	2.77	0.00	0
Mistras Group Inc.	49,056	18.33	939,307.67	899,196.48	(40,111.19)	1.35	0.00	0
Newpark Resources, Inc.	92,795	9.54	602,796.85	885,264.30	282,467.45	1.33	0.00	0
NIC Inc.	62,496	17.99	688,958.45	1,124,303.04	435,344.59	1.68	0.00	0
Omnicell, Inc.	51,218	33.12	858,310.11	1,696,340.16	838,030.05	2.54	0.00	0
Parker Drilling Company	145,738	3.07	820,065.39	447,415.66	(372,649.73)	0.67	0.00	0
PROS Holdings, Inc.	56,442	27.48	1,012,779.03	1,551,026.16	538,247.13	2.32	0.00	0
Range Resources Corp.	19,238	53.45	347,679.10	1,028,271.10	680,592.00	1.54	0.30	3,078
ResMed Inc.	21,285	56.06	316,176.14	1,193,237.10	877,060.96	1.79	2.00	23,839
Simpson Manufacturing Co., Inc.	28,240	34.60	823,521.12	977,104.00	153,582.88	1.46	1.62	15,814
Solera Holdings Inc.	17,879	51.18	748,893.79	915,047.22	166,153.43	1.37	1.52	13,946
Stericycle, Inc.	18,213	131.08	621,226.35	2,387,360.04	1,766,133.69	3.57	0.00	0
Synchronoss Technologies, Inc.	31,030	41.86	1,031,777.98	1,298,915.80	267,137.82	1.94	0.00	0
Trimble Navigation Limited	65,790	26.54	446,633.06	1,746,066.60	1,299,433.54	2.61	0.00	0
Triumph Group, Inc.	28,648	67.22	857,644.93	1,925,718.56	1,068,073.63	2.88	0.24	4,584
Vocera Communications Inc.	65,370	10.42	1,125,296.24	681,155.40	(444,140.84)	1.02	0.00	0
Volcano Corporation	44,486	17.88	1,000,534.55	795,409.68	(205,124.87)	1.19	0.00	0
Total North America			32,415,829.98	63,003,776.11	30,587,946.13	94.34	0.67	421,347
Emerging Markets MEA								
Stratasys, Inc.	14,660	83.11	1,118,536.97	1,218,392.60	99,855.63	1.82	0.00	0
Total Equity			33,534,366.95	64,222,168.71	30,687,801.76	96.17	0.66	421,347
Total Securities			33,534,366.95	64,222,168.71	30,687,801.76	96.17	0.66	421,347
Other Assets								
Accounts Payable - Audit Fees			(23,172.89)	(23,172.89)	0.00	(0.03)		
Accrued Dividends Receivable			7,672.25	7,672.25	0.00	0.01		
Total Other Assets			(15,500.64)	(15,500.64)	0.00	(0.02)	0.00	0
Total Account:			36,094,965.33	66,782,767.09	30,687,801.76	100.00	0.63	421,347

ROCKEFELLER & CO.

R&Co. U.S. Small Cap. Fund/Rockefeller & Co. (8250/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Beginning Cash Balance					2,207,441.05
Purchases					
01/28/2014	01/31/2014	4,700	51.44	First Cash Financial Services,	(241,967.28)
03/05/2014	03/10/2014	810	38.78	Abaxis, Inc.	(31,443.39)
03/05/2014	03/10/2014	2,430	29.02	Abiomed, Inc	(70,627.22)
03/05/2014	03/10/2014	850	60.08	Carpenter Technology Corp.	(51,100.98)
03/05/2014	03/10/2014	890	77.51	Carter's, Inc.	(69,015.67)
03/05/2014	03/10/2014	540	57.63	Clarcor Inc.	(31,140.77)
03/05/2014	03/10/2014	2,600	14.26	EPIQ Systems, Inc.	(37,186.24)
03/05/2014	03/10/2014	820	52.42	First Cash Financial Services,	(43,013.92)
03/05/2014	03/10/2014	1,320	31.69	Gentherm Inc.	(41,877.40)
03/05/2014	03/10/2014	1,660	45.53	Greatbatch, Inc.	(75,649.85)
03/05/2014	03/10/2014	1,640	50.06	Insulet Corporation	(82,157.77)
03/05/2014	03/10/2014	170	73.21	IPG Photonics Corporation	(12,452.19)
03/05/2014	03/10/2014	590	94.43	Littelfuse, Inc.	(55,734.88)
03/05/2014	03/10/2014	1,930	26.32	Masimo Corporation	(50,879.43)
03/05/2014	03/10/2014	3,370	22.42	Mentor Graphics	(75,686.16)
03/05/2014	03/10/2014	3,660	14.94	Merit Medical Systems, Inc.	(54,829.73)
03/05/2014	03/10/2014	2,380	23.88	Microsemi Corp.	(56,927.70)
03/05/2014	03/10/2014	1,640	22.90	Mistras Group Inc.	(37,622.91)
03/05/2014	03/10/2014	7,550	11.39	Newpark Resources, Inc.	(86,294.24)
03/05/2014	03/10/2014	2,990	20.82	NIC Inc.	(62,372.00)
03/05/2014	03/10/2014	2,160	29.13	Omnicell, Inc.	(63,016.27)
03/05/2014	03/10/2014	3,940	7.83	Parker Drilling Company	(31,011.74)
03/05/2014	03/10/2014	2,070	33.96	PROS Holdings, Inc.	(70,373.38)
03/05/2014	03/10/2014	640	68.09	Solera Holdings Inc.	(43,601.41)
03/05/2014	03/10/2014	1,280	34.67	Synchronoss Technologies, Inc.	(44,422.40)
03/05/2014	03/10/2014	2,250	16.79	Vocera Communications Inc.	(37,867.50)
03/05/2014	03/10/2014	1,450	21.90	Volcano Corporation	(31,816.48)
03/24/2014	03/27/2014	13,199	30.93	DigitalGlobe Inc.	(408,815.27)
04/09/2014	04/14/2014	341	21.70	Mistras Group Inc.	(7,413.44)
04/30/2014	05/05/2014	1,100	106.03	Airgas, Inc.	(116,672.05)
04/30/2014	05/05/2014	180	62.56	Carpenter Technology Corp.	(11,268.20)
04/30/2014	05/05/2014	280	57.99	Clarcor Inc.	(16,248.76)

ROCKEFELLER & CO.

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Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Purchases (cont'd)					
04/30/2014	05/05/2014	700	29.31	DigitalGlobe Inc.	(20,545.98)
04/30/2014	05/05/2014	8,770	3.74	Entropic Communications	(33,134.81)
04/30/2014	05/05/2014	2,140	106.01	FactSet Research Systems, Inc.	(226,953.42)
04/30/2014	05/05/2014	850	48.34	First Cash Financial Services,	(41,121.98)
04/30/2014	05/05/2014	4,360	17.83	Fred's Inc.	(77,921.48)
04/30/2014	05/05/2014	590	38.12	Insulet Corporation	(22,512.22)
04/30/2014	05/05/2014	430	64.37	IPG Photonics Corporation	(27,695.91)
04/30/2014	05/05/2014	3,140	28.06	Iron Mountain Inc.	(88,245.62)
04/30/2014	05/05/2014	310	90.34	Littelfuse, Inc.	(28,017.09)
04/30/2014	05/05/2014	350	26.67	Masimo Corporation	(9,347.00)
04/30/2014	05/05/2014	550	12.94	Merit Medical Systems, Inc.	(7,140.49)
04/30/2014	05/05/2014	181	21.89	Mistras Group Inc.	(3,970.07)
04/30/2014	05/05/2014	620	26.43	Omnicell, Inc.	(16,408.30)
04/30/2014	05/05/2014	1,420	6.45	Parker Drilling Company	(9,213.81)
04/30/2014	05/05/2014	1,600	33.27	Simpson Manufacturing Co., Inc	(53,299.84)
04/30/2014	05/05/2014	250	63.88	Solera Holdings Inc.	(15,980.00)
04/30/2014	05/05/2014	1,750	115.98	Stericycle, Inc.	(203,036.75)
04/30/2014	05/05/2014	940	96.79	Stratasys, Inc.	(91,020.01)
04/30/2014	05/05/2014	240	28.56	Synchronoss Technologies, Inc.	(6,862.80)
04/30/2014	05/05/2014	1,170	63.87	Triumph Group, Inc.	(74,772.24)
05/08/2014	05/13/2014	859	21.84	Mistras Group Inc.	(18,796.90)
05/09/2014	05/14/2014	316	21.70	Mistras Group Inc.	(6,869.87)
05/15/2014	05/20/2014	32	21.90	Mistras Group Inc.	(702.08)
05/16/2014	05/21/2014	140	21.90	Mistras Group Inc.	(3,071.60)
05/21/2014	05/27/2014	20,019	6.14	Parker Drilling Company	(123,767.47)
05/22/2014	05/28/2014	16,917	6.20	Parker Drilling Company	(105,504.56)
07/03/2014	07/09/2014	700	68.79	IPG Photonics Corporation	(48,177.78)
08/06/2014	08/11/2014	2,900	39.12	Synchronoss Technologies, Inc.	(113,556.46)
09/03/2014	09/08/2014	850	31.23	DigitalGlobe Inc.	(26,580.86)
09/03/2014	09/08/2014	2,040	14.75	EPIQ Systems, Inc.	(30,178.54)
09/03/2014	09/08/2014	730	57.03	First Cash Financial Services,	(41,663.36)
09/03/2014	09/08/2014	730	36.66	Insulet Corporation	(26,791.22)
09/03/2014	09/08/2014	380	69.12	IPG Photonics Corporation	(26,282.43)
09/03/2014	09/08/2014	170	93.25	Littelfuse, Inc.	(15,858.65)

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Purchases (cont'd)					
09/03/2014	09/08/2014	560	22.39	Masimo Corporation	(12,559.18)
09/03/2014	09/08/2014	1,680	12.48	Merit Medical Systems, Inc.	(21,030.24)
09/03/2014	09/08/2014	1,150	26.52	Microsemi Corp.	(30,542.62)
09/03/2014	09/08/2014	3,360	21.31	Mistras Group Inc.	(71,733.98)
09/03/2014	09/08/2014	2,950	18.65	NIC Inc.	(55,129.90)
09/03/2014	09/08/2014	1,030	28.24	Omnicell, Inc.	(29,132.52)
09/03/2014	09/08/2014	1,140	32.03	Simpson Manufacturing Co., Inc	(36,563.79)
09/03/2014	09/08/2014	600	61.91	Solera Holdings Inc.	(37,171.50)
09/11/2014	09/16/2014	780	49.27	Abaxis, Inc.	(38,465.00)
09/11/2014	09/16/2014	1,770	25.00	Abiomed, Inc	(44,327.70)
09/11/2014	09/16/2014	370	52.54	Carpenter Technology Corp.	(19,456.15)
09/11/2014	09/16/2014	710	81.51	Carter's, Inc.	(57,902.20)
09/11/2014	09/16/2014	700	63.83	Clarcor Inc.	(44,706.97)
09/11/2014	09/16/2014	3,620	15.87	Digital River, Inc.	(57,598.18)
09/11/2014	09/16/2014	1,730	14.88	EPIQ Systems, Inc.	(25,803.82)
09/11/2014	09/16/2014	2,550	15.26	Fred's Inc.	(39,025.71)
09/11/2014	09/16/2014	1,130	50.98	Gentherm Inc.	(57,647.74)
09/11/2014	09/16/2014	1,380	45.20	Greatbatch, Inc.	(62,425.96)
09/11/2014	09/16/2014	200	68.06	IPG Photonics Corporation	(13,619.80)
09/11/2014	09/16/2014	80	92.04	Littelfuse, Inc.	(7,366.14)
09/11/2014	09/16/2014	1,160	21.99	Masimo Corporation	(25,558.98)
09/11/2014	09/16/2014	1,040	12.33	Merit Medical Systems, Inc.	(12,865.84)
09/11/2014	09/16/2014	1,210	26.47	Microsemi Corp.	(32,081.46)
09/11/2014	09/16/2014	3,150	12.42	Newpark Resources, Inc.	(39,246.17)
09/11/2014	09/16/2014	350	18.39	NIC Inc.	(6,448.89)
09/11/2014	09/16/2014	6,250	6.20	Parker Drilling Company	(39,008.75)
09/11/2014	09/16/2014	3,500	27.82	PROS Holdings, Inc.	(97,524.35)
09/11/2014	09/16/2014	210	32.03	Simpson Manufacturing Co., Inc	(6,734.57)
09/11/2014	09/16/2014	380	123.22	Stratasys, Inc.	(46,838.61)
09/11/2014	09/16/2014	3,910	8.11	Vocera Communications Inc.	(31,873.93)
09/11/2014	09/16/2014	1,080	12.16	Volcano Corporation	(13,173.30)
09/30/2014	10/03/2014	3,080	45.22	Carpenter Technology Corp.	(139,396.49)
09/30/2014	10/03/2014	600	63.32	Clarcor Inc.	(38,017.80)
09/30/2014	10/03/2014	690	28.58	DigitalGlobe Inc.	(19,746.90)

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Purchases (cont'd)					
09/30/2014	10/03/2014	2,780	41.92	Gentherm Inc.	(116,635.18)
09/30/2014	10/03/2014	1,230	68.24	IPG Photonics Corporation	(83,986.37)
09/30/2014	10/03/2014	3,500	17.43	NIC Inc.	(61,158.30)
09/30/2014	10/03/2014	1,310	46.15	Synchronoss Technologies, Inc.	(60,503.40)
10/03/2014	10/08/2014	3,700	57.62	Solera Holdings Inc.	(213,350.88)
10/31/2014	11/05/2014	400	52.98	Abaxis, Inc.	(21,207.56)
10/31/2014	11/05/2014	800	32.87	Abiomed, Inc	(26,324.24)
10/31/2014	11/05/2014	1,900	111.39	Airgas, Inc.	(211,718.52)
10/31/2014	11/05/2014	300	49.07	Carpenter Technology Corp.	(14,734.41)
10/31/2014	11/05/2014	400	78.99	Carter's, Inc.	(31,612.80)
10/31/2014	11/05/2014	400	103.20	Chemed Corporation	(41,295.92)
10/31/2014	11/05/2014	200	66.30	Clarcor Inc.	(13,267.50)
10/31/2014	11/05/2014	600	27.64	DigitalGlobe Inc.	(16,610.58)
10/31/2014	11/05/2014	1,500	121.14	Edwards Lifesciences Corp.	(181,763.40)
10/31/2014	11/05/2014	1,800	38.49	ExamWorks Group, Inc.	(69,359.04)
10/31/2014	11/05/2014	1,000	131.71	FactSet Research Systems, Inc.	(131,749.10)
10/31/2014	11/05/2014	1,300	15.75	Fred's Inc.	(20,528.56)
10/31/2014	11/05/2014	700	41.77	Gentherm Inc.	(29,270.29)
10/31/2014	11/05/2014	800	49.43	Greatbatch, Inc.	(39,577.52)
10/31/2014	11/05/2014	6,900	30.13	Healthcare Services Group.	(208,204.74)
10/31/2014	11/05/2014	700	43.55	Insulet Corporation	(30,515.59)
10/31/2014	11/05/2014	200	73.76	IPG Photonics Corporation	(14,759.92)
10/31/2014	11/05/2014	1,600	36.03	Iron Mountain Inc.	(57,715.36)
10/31/2014	11/05/2014	300	98.54	Littelfuse, Inc.	(29,573.94)
10/31/2014	11/05/2014	800	25.31	Masimo Corporation	(20,280.72)
10/31/2014	11/05/2014	4,700	20.98	Mentor Graphics	(98,789.30)
10/31/2014	11/05/2014	1,000	15.26	Merit Medical Systems, Inc.	(15,295.40)
10/31/2014	11/05/2014	1,100	25.98	Microsemi Corp.	(28,626.29)
10/31/2014	11/05/2014	300	16.43	Mistras Group Inc.	(4,940.85)
10/31/2014	11/05/2014	1,600	11.07	Newpark Resources, Inc.	(17,773.76)
10/31/2014	11/05/2014	900	18.29	NIC Inc.	(16,497.81)
10/31/2014	11/05/2014	800	32.04	Omnicell, Inc.	(25,663.20)
10/31/2014	11/05/2014	2,500	4.49	Parker Drilling Company	(11,328.00)
10/31/2014	11/05/2014	1,000	27.70	PROS Holdings, Inc.	(27,738.00)

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Purchases (cont'd)					
10/31/2014	11/05/2014	1,800	67.27	Range Resources Corp.	(121,162.68)
10/31/2014	11/05/2014	3,300	52.35	ResMed Inc.	(172,876.77)
10/31/2014	11/05/2014	500	32.95	Simpson Manufacturing Co., Inc	(16,497.05)
10/31/2014	11/05/2014	300	52.02	Solera Holdings Inc.	(15,617.19)
10/31/2014	11/05/2014	400	125.82	Stericycle, Inc.	(50,344.64)
10/31/2014	11/05/2014	200	119.07	Stratasys, Inc.	(23,822.52)
10/31/2014	11/05/2014	400	52.22	Synchronoss Technologies, Inc.	(20,903.96)
10/31/2014	11/05/2014	5,000	27.13	Trimble Navigation Limited	(135,871.00)
10/31/2014	11/05/2014	1,400	70.01	Triumph Group, Inc.	(98,070.42)
10/31/2014	11/05/2014	1,400	10.31	Vocera Communications Inc.	(14,484.96)
10/31/2014	11/05/2014	1,200	10.09	Volcano Corporation	(12,155.28)
11/04/2014	11/04/2014	3,439	35.55	Iron Mountain Inc.	(122,245.00)
11/12/2014	11/17/2014	410	17.17	Mistras Group Inc.	(7,054.21)
11/13/2014	11/18/2014	1,500	16.93	Mistras Group Inc.	(25,447.80)
11/14/2014	11/19/2014	1,810	9.99	Intralinks Holdings Inc.	(18,155.02)
11/14/2014	11/19/2014	1,610	16.93	Mistras Group Inc.	(27,317.35)
12/19/2014	12/24/2014	10,585	29.32	Inogen Inc	(310,725.85)
12/22/2014	12/26/2014	5,715	29.90	Inogen Inc	(171,081.38)
				Total Purchases	(8,462,422.90)
Sales					
05/21/2014	05/27/2014	1,710	88.10	Chemed Corporation	150,585.60
05/22/2014	05/28/2014	3,057	87.90	Chemed Corporation	268,570.77
05/23/2014	05/29/2014	3,133	88.10	Chemed Corporation	275,887.13
07/03/2014	07/09/2014	3,000	61.53	Avis Budget Group Inc.	184,468.92
07/03/2014	07/09/2014	1,400	32.28	ExamWorks Group, Inc.	45,140.46
09/08/2014	09/11/2014	20,800	65.28	Avis Budget Group Inc.	1,356,949.51
10/03/2014	10/08/2014	18,669	53.82	Avis Budget Group Inc.	1,004,024.61
11/12/2014	11/17/2014	1,110	37.69	ExamWorks Group, Inc.	41,791.68
11/12/2014	11/17/2014	440	137.68	FactSet Research Systems, Inc.	60,560.26
11/13/2014	11/18/2014	6,730	37.77	ExamWorks Group, Inc.	253,910.55
12/16/2014	12/19/2014	18,827	2.18	Entropic Communications	40,236.15
12/17/2014	12/22/2014	21,517	2.25	Entropic Communications	47,628.96
12/18/2014	12/23/2014	17,450	2.29	Entropic Communications	39,226.72
12/19/2014	12/24/2014	42,087	2.21	Entropic Communications	91,263.61

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Sales (cont'd)					
12/22/2014	12/26/2014	40,731	2.23	Entropic Communications	89,247.76
12/23/2014	12/29/2014	5,379	2.31	Entropic Communications	12,210.59
12/24/2014	12/30/2014	10,167	2.29	Entropic Communications	22,847.79
12/26/2014	12/31/2014	5,971	2.30	Entropic Communications	13,473.26
				Total Sales	3,998,024.33
Dividends Received					
* 11/06/2013	01/02/2014		0.35	NIC Inc.	18,132.10
* 12/06/2013	01/02/2014		0.05	Mentor Graphics	3,730.82
* 12/24/2013	01/15/2014		0.27	Iron Mountain Inc.	11,989.35
* 12/30/2013	01/23/2014		0.13	Simpson Manufacturing Co., Inc	3,098.75
* 12/31/2013	01/17/2014		0.17	Clarcor Inc.	2,260.49
01/10/2014	02/24/2014		0.09	EPIQ Systems, Inc.	5,129.64
02/07/2014	03/06/2014		0.18	Carpenter Technology Corp.	2,776.68
02/14/2014	03/06/2014		0.22	Littelfuse, Inc.	3,168.88
02/14/2014	03/19/2014		0.25	ResMed Inc.	4,496.25
02/14/2014	03/04/2014		0.17	Solera Holdings Inc.	2,106.13
02/19/2014	03/28/2014		0.17	Healthcare Services Group.	13,149.09
02/26/2014	03/18/2014		0.35	FactSet Research Systems, Inc.	4,112.15
02/26/2014	03/17/2014		0.04	Triumph Group, Inc.	1,043.12
02/27/2014	03/24/2014		0.20	Chemed Corporation	4,275.00
02/27/2014	03/17/2014		0.06	Fred's Inc.	2,901.36
03/06/2014	03/20/2014		0.19	Carter's, Inc.	4,132.50
03/06/2014	03/31/2014		0.05	Mentor Graphics	4,313.85
03/12/2014	03/31/2014		0.48	Airgas, Inc.	8,052.96
03/12/2014	03/31/2014		0.04	Range Resources Corp.	697.52
03/21/2014	04/15/2014		0.27	Iron Mountain Inc.	11,989.35
04/01/2014	04/24/2014		0.13	Simpson Manufacturing Co., Inc	3,098.75
04/03/2014	04/21/2014		0.17	Clarcor Inc.	2,352.29
04/29/2014	06/03/2014		0.09	EPIQ Systems, Inc.	5,363.64
05/09/2014	06/05/2014		0.18	Carpenter Technology Corp.	2,962.08
05/16/2014	06/17/2014		0.25	ResMed Inc.	4,496.25
05/20/2014	06/05/2014		0.22	Littelfuse, Inc.	3,366.88
05/20/2014	06/03/2014		0.17	Solera Holdings Inc.	2,257.43
05/21/2014	06/27/2014		0.17	Healthcare Services Group.	13,245.07

* - Prior period activity recorded in the current period

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Dividends Received (cont'd)					
05/27/2014	06/12/2014		0.19	Carter's, Inc.	4,132.50
05/27/2014	06/18/2014		0.20	Chemed Corporation	2,695.00
05/28/2014	06/17/2014		0.39	FactSet Research Systems, Inc.	5,416.71
05/28/2014	06/16/2014		0.04	Triumph Group, Inc.	1,089.92
05/29/2014	06/16/2014		0.06	Fred's Inc.	3,162.96
05/30/2014	06/17/2014		0.10	Abaxis, Inc.	2,003.50
06/06/2014	06/30/2014		0.05	Mentor Graphics	4,313.85
06/11/2014	06/30/2014		0.55	Airgas, Inc.	9,832.35
06/12/2014	06/30/2014		0.04	Range Resources Corp.	697.52
06/23/2014	07/15/2014		0.27	Iron Mountain Inc.	12,837.15
07/01/2014	07/24/2014		0.14	Simpson Manufacturing Co., Inc	3,694.60
07/02/2014	07/18/2014		0.17	Clarcor Inc.	2,399.89
07/30/2014	09/09/2014		0.09	EPIQ Systems, Inc.	5,363.64
08/14/2014	09/03/2014		0.22	Chemed Corporation	2,964.50
08/19/2014	09/04/2014		0.25	Littelfuse, Inc.	3,826.00
08/19/2014	09/18/2014		0.28	ResMed Inc.	5,035.80
08/20/2014	09/26/2014		0.17	Healthcare Services Group.	13,341.05
08/22/2014	09/05/2014		0.18	Carpenter Technology Corp.	2,962.08
08/27/2014	09/16/2014		0.39	FactSet Research Systems, Inc.	5,416.71
08/27/2014	09/15/2014		0.04	Triumph Group, Inc.	1,089.92
08/28/2014	09/12/2014		0.19	Carter's, Inc.	4,132.50
08/29/2014	09/17/2014		0.10	Abaxis, Inc.	2,003.50
09/03/2014	09/15/2014		0.06	Fred's Inc.	3,162.96
09/05/2014	09/23/2014		0.20	Solera Holdings Inc.	2,706.41
09/08/2014	09/30/2014		0.05	Mentor Graphics	4,313.85
09/11/2014	09/30/2014		0.55	Airgas, Inc.	9,832.35
09/11/2014	09/30/2014		0.04	Range Resources Corp.	697.52
09/23/2014	10/15/2014		0.48	Iron Mountain Inc.	22,583.88
09/26/2014	11/04/2014		3.62	Iron Mountain Inc.	171,846.26
09/30/2014	10/23/2014		0.14	Simpson Manufacturing Co., Inc	3,883.60
10/08/2014	10/17/2014		0.20	Clarcor Inc.	3,083.40
10/24/2014	12/04/2014		0.18	Carpenter Technology Corp.	3,583.08
11/05/2014	11/20/2014		0.50	NIC Inc.	31,248.00
11/13/2014	12/16/2014		0.10	Abaxis, Inc.	2,121.50

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Dividends Received (cont'd)					
11/13/2014	12/08/2014		0.22	Chemed Corporation	3,052.50
11/18/2014	12/04/2014		0.25	Littelfuse, Inc.	3,963.50
11/18/2014	12/18/2014		0.28	ResMed Inc.	5,959.80
11/18/2014	12/03/2014		0.20	Solera Holdings Inc.	3,486.41
11/19/2014	12/26/2014		0.18	Healthcare Services Group.	14,644.53
11/21/2014	12/05/2014		0.19	Carter's, Inc.	4,343.40
11/24/2014	12/11/2014		0.09	EPIQ Systems, Inc.	5,702.94
11/25/2014	12/16/2014		0.39	FactSet Research Systems, Inc.	5,635.11
11/25/2014	12/15/2014		0.26	Iron Mountain Inc.	13,408.92
11/25/2014	12/15/2014		0.04	Triumph Group, Inc.	1,145.92
12/02/2014	12/15/2014		0.06	Fred's Inc.	3,393.96
12/03/2014	12/22/2014		0.48	Iron Mountain Inc.	24,977.40
12/10/2014	12/29/2014		0.55	Airgas, Inc.	10,877.35
12/11/2014	12/31/2014		0.04	Range Resources Corp.	769.52
				Total Dividends Received	607,534.10
Cash Deposits					
02/03/2014	02/03/2014			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	1,724,303.00
03/03/2014	03/03/2014			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	1,258,000.00
04/01/2014	04/01/2014			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	10,000.00
05/01/2014	05/01/2014			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	1,062,000.00
06/02/2014	06/02/2014			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	117,500.00
07/01/2014	07/01/2014			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	52,500.00
08/01/2014	08/01/2014			Wire transfer from Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer from State Street Account	61,700.00
10/24/2014	10/24/2014			to clear p/i balances	2,579.38
10/24/2014	10/24/2014			to clear p/i balances	0.01
11/03/2014	11/03/2014			form 1042 Q3-2013 for partner 9889	8.00
11/04/2014	11/04/2014			Custody Transfer from R&Co. U.S. Small Cap. Fund - to move cash from 0 to 1 acct	1,059,922.35
11/04/2014	11/04/2014			Custody Transfer from R&Co. U.S. Small Cap. Fund - to move cash from 0 to 1 acct	3.23
				Total Cash Deposits	5,348,515.97
Cash Withdrawals and Payments					
01/02/2014	01/02/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account	(143,725.00)
01/27/2014	01/27/2014			Administration Fees Paid to Rock & Co.	(6,885.00)
01/31/2014	01/31/2014			Fee on First Cash Financial Services	(15.00)
02/18/2014	02/18/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(24,504.14)

ROCKEFELLER & CO.

R&Co. U.S. Small Cap. Fund/Rockefeller & Co. (8250/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

* Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
02/25/2014	02/25/2014			Administration Fees Paid to Rock & Co.	(6,609.00)
03/10/2014	03/10/2014			Fee on Abaxis, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Abiomed, Inc	(15.00)
03/10/2014	03/10/2014			Fee on Carpenter Technology Corp.	(15.00)
03/10/2014	03/10/2014			Fee on Carter'S, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Clarcor Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Epiq Systems, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on First Cash Financial Services,	(15.00)
03/10/2014	03/10/2014			Fee on Gentherm Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Greatbatch, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Insulet Corporation	(15.00)
03/10/2014	03/10/2014			Fee on Ipg Photonics Corporation	(15.00)
03/10/2014	03/10/2014			Fee on Littelfuse, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Masimo Corporation	(15.00)
03/10/2014	03/10/2014			Fee on Mentor Graphics	(15.00)
03/10/2014	03/10/2014			Fee on Merit Medical Systems, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Microsemi Corp.	(15.00)
03/10/2014	03/10/2014			Fee on Mistras Group Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Newpark Resources, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Nic Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Omnicell, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Parker Drilling Company	(15.00)
03/10/2014	03/10/2014			Fee on Pros Holdings, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Solera Holdings Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Synchronoss Technologies, Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Vocera Communications Inc.	(15.00)
03/10/2014	03/10/2014			Fee on Volcano Corporation	(15.00)
03/21/2014	03/21/2014			Administration Fee Paid to Rock & Co.	(7,184.00)
03/21/2014	03/21/2014			Wire Fee	(25.00)
03/27/2014	03/27/2014			Fee on Digital GLobe Inc.	(15.00)
04/04/2014	04/04/2014			Wire Fee	(25.00)
04/04/2014	04/04/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(10,800.00)
04/14/2014	04/14/2014			Fee on Mistras Group Inc.	(15.00)
04/25/2014	04/25/2014			Wire Fee	(25.00)

ROCKEFELLER & CO.

R&Co. U.S. Small Cap. Fund/Rockefeller & Co. (8250/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
04/25/2014	04/25/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(69,786.00)
05/05/2014	05/05/2014			Fee on Aigas Inc	(15.00)
05/05/2014	05/05/2014			Fee on Carpenter Technology Corp	(15.00)
05/05/2014	05/05/2014			Fee on Clarcor Inc	(15.00)
05/05/2014	05/05/2014			Fee on DigitalGlobe Inc	(15.00)
05/05/2014	05/05/2014			Fee on Entropic Communications	(15.00)
05/05/2014	05/05/2014			Fee on FactSet Research Systems	(15.00)
05/05/2014	05/05/2014			Fee on First Cash Financial Services	(15.00)
05/05/2014	05/05/2014			Fee on Fred's Inc	(15.00)
05/05/2014	05/05/2014			Fee on Insulet Corporation	(15.00)
05/05/2014	05/05/2014			Fee on IPG Photonics Corporation	(15.00)
05/05/2014	05/05/2014			Fee on Iron Mountain Inc	(15.00)
05/05/2014	05/05/2014			Fee on Littelfuse Inc	(15.00)
05/05/2014	05/05/2014			Fee on Masimo Corporation	(15.00)
05/05/2014	05/05/2014			Fee on Merit Medical Systems Inc	(15.00)
05/05/2014	05/05/2014			Fee on Mistras Group Inc	(15.00)
05/05/2014	05/05/2014			Fee on Omnicell Inc	(15.00)
05/05/2014	05/05/2014			Fee on Parker Drilling Company	(15.00)
05/05/2014	05/05/2014			Fee on Simpson Manufacturing Company	(15.00)
05/05/2014	05/05/2014			Fee on Solera Holdings Inc	(15.00)
05/05/2014	05/05/2014			Fee on Stericycle Inc	(15.00)
05/05/2014	05/05/2014			Fee on Stratasys Inc	(15.00)
05/05/2014	05/05/2014			Fee on Synchronoss Technologies Inc	(15.00)
05/05/2014	05/05/2014			Fee on Triumph Group	(15.00)
05/13/2014	05/13/2014			Fee on Mistras Group Inc	(15.00)
05/14/2014	05/14/2014			Fee on Mistras Group Inc	(15.00)
05/20/2014	05/20/2014			Fee on Mistras Group Inc	(15.00)
05/21/2014	05/21/2014			Fee on Mistras Group Inc	(15.00)
05/22/2014	05/22/2014			Wire Fee	(25.00)
05/22/2014	05/22/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(68,335.00)
05/27/2014	05/27/2014			Fee on Chemed Corporation	(15.00)
05/27/2014	05/27/2014			Fee on Parker Drilling	(15.00)
05/28/2014	05/28/2014			Fee on Chemed Corporation	(15.00)
05/28/2014	05/28/2014			Fee on Parker Drilling	(15.00)

ROCKEFELLER & CO.

R&Co. U.S. Small Cap. Fund/Rockefeller & Co. (8250/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
05/29/2014	05/29/2014			Fee on Chemed Corporation	(15.00)
06/20/2014	06/20/2014			Wire Fee	(25.00)
06/20/2014	06/20/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(67,442.00)
07/09/2014	07/09/2014			Fee on Avis Budget Group Inc.	(15.00)
07/09/2014	07/09/2014			Fee on ExamWorks Group, Inc.	(15.00)
07/09/2014	07/09/2014			Fee on IPG Photonics Corporation	(15.00)
07/22/2014	07/22/2014			Wire Fee	(25.00)
07/22/2014	07/22/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(71,895.00)
08/11/2014	08/11/2014			Fee on Synchronoss Technologies, Inc.	(15.00)
08/20/2014	08/20/2014			Wire Fee	(25.00)
08/20/2014	08/20/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(67,902.00)
09/08/2014	09/08/2014			Fee on DigitalGlobe Inc.	(15.00)
09/08/2014	09/08/2014			Fee on EPIQ Systems, Inc.	(15.00)
09/08/2014	09/08/2014			Fee on First Cash Financial Services,	(15.00)
09/08/2014	09/08/2014			Fee on Insulet Corporation	(15.00)
09/08/2014	09/08/2014			Fee on IPG Photonics Corporation	(15.00)
09/08/2014	09/08/2014			Fee on Littelfuse, Inc.	(15.00)
09/08/2014	09/08/2014			Fee on Masimo Corporation	(15.00)
09/08/2014	09/08/2014			Fee on Merit Medical Systems, Inc.	(15.00)
09/08/2014	09/08/2014			Fee on Microsemi Corp.	(15.00)
09/08/2014	09/08/2014			Fee on Mistras Group Inc.	(15.00)
09/08/2014	09/08/2014			Fee on NIC Inc.	(15.00)
09/08/2014	09/08/2014			Fee on Omnicell, Inc.	(15.00)
09/08/2014	09/08/2014			Fee on Simpson Manufacturing Co., Inc	(15.00)
09/08/2014	09/08/2014			Fee on Solera Holdings Inc.	(15.00)
09/11/2014	09/11/2014			Fee on Avis Budget Group Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Abaxis, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Abiomed, Inc	(15.00)
09/16/2014	09/16/2014			Fee on Carpenter Technology Corp.	(15.00)
09/16/2014	09/16/2014			Fee on Carter's, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Ctarcor Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Digital River, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on EPIQ Systems, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Fred's Inc.	(15.00)

ROCKEFELLER & CO.

R&Co. U.S. Small Cap. Fund/Rockefeller & Co. (8250/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
09/16/2014	09/16/2014			Fee on Gentherm Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Greatbatch, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on IPG Photonics Corporation	(15.00)
09/16/2014	09/16/2014			Fee on Littelfuse, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Masimo Corporation	(15.00)
09/16/2014	09/16/2014			Fee on Merit Medical Systems, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Microsemi Corp.	(15.00)
09/16/2014	09/16/2014			Fee on Newpark Resources, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on NIC Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Parker Drilling Company	(15.00)
09/16/2014	09/16/2014			Fee on PROS Holdings, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Simpson Manufacturing Co., Inc	(15.00)
09/16/2014	09/16/2014			Fee on Stratasys, Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Vocera Communications Inc.	(15.00)
09/16/2014	09/16/2014			Fee on Volcano Corporation	(15.00)
09/17/2014	09/17/2014			Wire Fee	(25.00)
09/17/2014	09/17/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(71,211.00)
10/03/2014	10/03/2014			Fee on Carpenter Technology Corp.	(15.00)
10/03/2014	10/03/2014			Fee on Clarcor Inc.	(15.00)
10/03/2014	10/03/2014			Fee on DigitalGlobe Inc.	(15.00)
10/03/2014	10/03/2014			Fee on Gentherm Inc.	(15.00)
10/03/2014	10/03/2014			Fee on IPG Photonics Corporation	(15.00)
10/03/2014	10/03/2014			Fee on NIC Inc.	(15.00)
10/03/2014	10/03/2014			Fee on Synchronoss Technologies, Inc.	(15.00)
10/08/2014	10/08/2014			Fee on Avis Budget Group Inc.	(15.00)
10/08/2014	10/08/2014			Fee on Solera Holdings Inc.	(15.00)
10/21/2014	10/21/2014			Wire Fee	(25.00)
10/21/2014	10/21/2014			Wire transfer to Rockefeller & Co. U.S. Small Capitalization Fund, LP - Transfer to State Street Account.	(67,217.00)
10/24/2014	10/24/2014			to clear misc bal	(0.01)
10/24/2014	10/24/2014			to clear p/i balances	(2,579.38)
10/30/2014	10/30/2014			ACATS Cash Fee	(50.00)
11/03/2014	11/03/2014			Wire transfer to PUITO Holdings, Inc. - Withdrawal for 9889/1	(8.00)
11/04/2014	11/04/2014			to move cash from 0 to 1 acct	(8.00)
11/04/2014	11/04/2014			to move cash from 0 to 1 acct	(93,741.90)

ROCKEFELLER & CO.

R&Co. U.S. Small Cap. Fund/Rockefeller & Co. (8250/1)

Period from January 1, 2014 to December 31, 2014

Detailed Statement of Transactions

Trade Date	Settle Date	Quantity	Price/Rate	Description	Amount (USD)
Cash Withdrawals and Payments (cont'd)					
11/19/2014	11/19/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8250/0)	(124.00)
11/19/2014	11/19/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8250/1)	(7,548.00)
12/01/2014	12/01/2014			Custody Transfer to The Whithorn 2010 Family Trust - Withdrawal for 1492/1	(5,000.00)
12/11/2014	12/11/2014			Custody Transfer to Rockefeller & Co., Inc. - Reimbursement for Deloitte fees - 1st bill 2014	(10,566.19)
12/16/2014	12/16/2014			Custody Transfer to Rockefeller & Co., Inc. - Administration Fee (8250/1)	(7,627.00)
				Total Cash Withdrawals and Payments	(812,652.62)
Fees					
01/02/2014	01/02/2014			Wire Fee	(25.00)
01/27/2014	01/27/2014			Investment Management Fee Paid to Rock & Co.	(59,013.00)
01/27/2014	01/27/2014			Wire Fee	(25.00)
02/18/2014	02/18/2014			Wire Fee	(25.00)
02/25/2014	02/25/2014			Investment Management Fee Paid to Rock & Co.	(56,642.00)
02/25/2014	02/25/2014			Wire Fee	(25.00)
03/21/2014	03/21/2014			Investment Management Fee Paid to Rock & Co.	(61,575.00)
11/05/2014	11/05/2014			Custody Transfer to State Street Bank - September 2014 State Street Custody Fees	(0.07)
11/19/2014	11/19/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8250/0)	(1,060.00)
11/19/2014	11/19/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8250/1)	(64,685.00)
12/04/2014	12/04/2014			Custody Transfer to State Street Bank - October 2014 State Street Custody Fees	(934.55)
12/16/2014	12/16/2014			Custody Transfer to Rockefeller & Co., Inc. - Investment Management Fee (8250/1)	(65,378.00)
12/26/2014	12/26/2014			Custody Transfer to State Street Bank - November 2014 State Street Custody Fees	(953.29)
				Total Fees	(310,340.91)
Ending Cash Balance					2,576,099.02

TINICUM CAPITAL PARTNERS II, L.P.

FINANCIAL STATEMENTS

DECEMBER 31, 2014

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TINICUM CAPITAL PARTNERS II, L.P.

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INDEPENDENT AUDITORS' REPORT

To the General Partner of
Tinicum Capital Partners II, L.P.

Report on the Financial Statements

We have audited the accompanying financial statements of Tinicum Capital Partners II, L.P., which comprise the statement of assets, liabilities and partners' capital, including the condensed schedule of investments, as of December 31, 2014, and the related statements of operations, changes in partners' capital, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Tinicum Capital Partners II, L.P. as of December 31, 2014, and the results of its operations, changes in its partners' capital and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

EisnerAmper LLP

New York, New York
April 27, 2015

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TINICUM CAPITAL PARTNERS II, L.P.

Statement of Assets, Liabilities and Partners' Capital
December 31, 2014

ASSETS	
Investments, at fair value (cost $250,884,835)	$ 213,632,705
Cash	1,118,971
Due from broker	2,025,353
Due from Limited Partners	1,019,871
Other assets	74,092
Total assets	$ 217,870,992
LIABILITIES AND PARTNERS' CAPITAL	
Liabilities:	
Due to affiliates	$ 105,593
Accrued expenses	176,762
Total liabilities	282,355
Commitments	
Partners' capital:	
General Partner	18,270,846
Limited Partners	199,317,791
Total partners' capital	217,588,637
Total liabilities and partners' capital	$ 217,870,992

See notes to financial statements

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TINICUM CAPITAL PARTNERS II, L.P.

Condensed Schedule of Investments
December 31, 2014

	Number of Shares or Units or % of Ownership	Fair Value	Fair Value as a % of Partners' Capital
Investments:			
Privately held investments:			
Germany:			
Basic Materials:			
Doduco S.a.r.l.			
Common and Preferred Stock (cost $31,183,855)	50.3%	$ 44,216,784	20%
United States:			
Aerospace:			
Consolidated Aerospace Manufacturing, LLC			
LLC Interest	5,600	74,821,346	34%
Advertising:			
Ashby Street Outdoor Holdings LLC			
LLC Interest	16,043,738	14,179,856	7%
Consumer Goods:			
EGI Holdings, LLC/Enesco Funding, LLC/			
Enesco Secured Lenders, LLC			
Equity Securities	Various	20,857,130	10%
Financial		7,245,770	3%
Media		637,088	0%
Total United States (cost $177,803,027)		117,741,190	54%
Singapore:			
Financial (cost $5,814,447)		7,858,621	4%
Total privately held investments (cost $214,801,329)		169,816,595	78%
Publicly traded investments:			
Common stock:			
United States:			
Industrial Goods:			
Breeze-Eastern Corporation	3,286,153	32,960,115	15%
Technology		8,452,810	4%
Total publicly traded investments (cost $36,083,506)		41,412,925	19%
Escrow receivable:			
United States:			
Industrial		2,403,185	1%
Total investments (cost $250,884,835)		$ 213,632,705	98%

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See notes to financial statements

TINICUM CAPITAL PARTNERS II, L.P.

Statement of Operations
Year Ended December 31, 2014

Investment income:	
Dividend income	$ 58,290
Interest income	38,868
Total investment income	97,158
Expenses:	
Management fee	4,533,278
Investment-related expenses	47,265
Professional fees and other	148,027
Accounting and tax services fees	585,000
Total expenses	5,313,570
Net investment loss	(5,216,412)
Realized and unrealized gain (loss) on investments:	
Net realized gain on investments	541,771,744
Net change in unrealized depreciation on investments	(357,208,741)
Net realized and unrealized gain on investments	184,563,003
Net increase in partners' capital resulting from operations	$ 179,346,591

See notes to financial statements

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TINICUM CAPITAL PARTNERS II, L.P.

Statement of Changes in Partners' Capital
Year Ended December 31, 2014

	General Partner	Limited Partners	Total
Partners' capital, December 31, 2013	$ 83,478,092	$ 615,353,429	$ 698,831,521
Capital contributions	10,984	9,437,045	9,448,029
Capital distributions	(85,847)	(38,324,272)	(38,410,119)
Capital in-kind distribution	(101,463,595)	(530,163,790)	(631,627,385)
Net increase in partners' capital resulting from operations	36,331,212	143,015,379	179,346,591
Partners' capital, December 31, 2014	$ 18,270,846	$ 199,317,791	$ 217,588,637

See notes to financial statements

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

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

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

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

7. FINANCIAL HIGHLIGHTS

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

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

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

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

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TINICUM CAPITAL PARTNERS II, L.P.

Notes to Financial Statements
December 31, 2014

NOTE A - ORGANIZATION AND BUSINESS

Tinicum Capital Partners II, L.P. (the "Partnership"), a Delaware limited partnership, was formed on May 20, 2004. The Partnership was established to invest in companies through acquisitions or restructuring and to take minority stakes in public or private companies through equity or debt securities. The Partnership's investment objective is to obtain returns primarily through capital appreciation.

The general partner of the Partnership is Tinicum Lantern II L.L.C. (the "General Partner"), a Delaware limited liability company. The General Partner controls the business and affairs of the Partnership. The General Partner appointed Tinicum Incorporated (the "Manager"), a New York corporation, to provide investment management services to the Partnership. The Manager is registered with the United States Securities and Exchange Commission under the Investment Advisers Act of 1940.

The Partnership is governed by its Amended and Restated Agreement of Limited Partnership dated December 31, 2005, and as subsequently amended (the "Partnership Agreement"). The Partnership Agreement allows for the formation of certain additional funds for the purpose of investing on a side-by-side basis. On May 20, 2004, Tinicum Capital Partners II Parallel Fund, L.P. (the "Parallel Fund"), a Delaware limited partnership, and on June 20, 2007, Tinicum Capital Partners II Executive Fund L.L.C. (the "Executive Fund"), a Delaware limited liability company, were each formed for this purpose.

On December 8, 2009, Tinicum Capital Partners II Add-On Fund, L.P. and Tinicum Capital Partners II Add-On Parallel Fund, L.P. (together the "Add-On Funds"), each a Delaware limited partnership, were formed for the purpose of co-investing on a side-by-side basis with the Partnership, the Parallel Fund and the Executive Fund. The Partnership, the Parallel Fund, the Executive Fund and the Add-On Funds will generally participate in new investments on a pro-rata basis according to each fund's remaining capital commitments available for new investments.

The term of the Partnership is ten years, but may be extended for up to a maximum of three consecutive one-year periods at the discretion of the General Partner The General Partner with the approval of Limited Partners holding at least 66-2/3% of the aggregate Partnership commitments and Parallel Fund commitments may dissolve the Partnership at an earlier date.

Capitalized terms used, but not defined herein, shall have the meaning assigned to them in the Partnership Agreement.

NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America ("US GAAP"). The Partnership is an investment company that follows the specialized accounting and reporting guidance of FASB Accounting Standards Codification Topic 946 "Financial Services – Investment Companies." Below are the significant accounting policies:

[1] Use of estimates:

The preparation of financial statements in conformity with US GAAP requires the Partnership to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities and the reported amounts of income and expenses during the reporting period. Actual results could differ from those estimates.

[2] Cash:

The Partnership maintains cash accounts with financial institutions. In the event of a financial institution's insolvency, recovery of assets may be limited.

NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[3] Due from broker:

Due from broker consists entirely of an investment in a money market fund, GS Financial Square Treasury Obligations Fund, maintained with a broker.

[4] Investment valuation:

The Partnership carries its investments at fair value. Fair value is an estimate of the exit price, representing the amount that the Partnership would receive to sell an asset or that the Partnership would pay to transfer a liability, in either case, in an orderly transaction between market participants (i.e., the exit price at the measurement date). Fair value measurements are not adjusted for transaction costs. Inputs to the valuation techniques used to measure fair value into three levels are:

Level 1 Inputs that reflect unadjusted quoted prices in active markets for identical assets or liabilities that the Partnership has the ability to access at the measurement date

Level 2 Inputs other than quoted prices that are observable for the asset or liability either directly or indirectly, including inputs in markets that are not considered to be active

Level 3 Unobservable inputs. Unobservable inputs reflect the assumptions that the General Partner develops based on available information about what market participants would use in valuing the asset or liability

An asset's or liability's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Availability of observable inputs can vary and is affected by a variety of factors. The General Partner uses judgment in determining the fair value of assets and Level 3 assets involve greater judgment than Level 1 or Level 2 assets.

Investments whose values are based on quoted market prices in active markets, and are therefore classified within Level 1, generally include active listed equities. The General Partner does not adjust the quoted price for such instruments, even in situations where the Partnership holds a large position and a sale could reasonably impact the quoted price.

Privately held investments valued utilizing unobservable inputs are classified within Level 3. The General Partner's determination of fair value is based upon the best information available for a given circumstance and may incorporate assumptions that are management's best estimates after consideration of a variety of internal and external factors. In establishing the fair value of an investment, the General Partner will determine the appropriate weighting of three valuation methodologies. The first methodology considers recent transactions in the same or similar industry, including the initial purchase transaction of the privately held investment being valued or the valuation of any recent financing round. The second methodology is a market multiples approach that considers a specified financial measure (such as EBITDA), recent public market and private transactions and other available measures for valuing comparable companies (i.e., "Market Approach"). The third methodology determines a valuation by discounting future cash flows (i.e., "Income Approach"). The ultimate fair value recorded for a particular investment will generally be within the range suggested by the three methodologies utilizing the judgment of the General Partner.

If the General Partner determines that either the trading volume and/or level of activity for an investment has significantly decreased (from normal conditions for that investment) or price quotations or observable inputs are not associated with orderly transactions, increased analysis and management judgment will be required to estimate fair value. Under those circumstances, the Income Approach might be more appropriate than the Market Approach in estimating fair value. Regardless of the valuation technique and inputs used, the objective for the fair value measurement in those circumstances is unchanged from what it would be if markets were operating at normal activity levels and/or transactions were orderly; that is, to determine the exit price at the date of presentation.

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NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[4] Investment valuation: (continued)

The values assigned to investments and any unrealized appreciation or depreciation reported are based on available information and do not necessarily represent amounts that might be realized if a ready market existed and such difference could be material. Furthermore, the ultimate realization of such amounts depends on future events and circumstances, and therefore, valuation estimates may differ from the value realized upon disposition of individual positions.

[5] Investment transactions, income and expenses:

Investment transactions are recorded on a trade-date basis. Realized gains and losses on investment transactions are determined using the specific-identification method. Changes in unrealized appreciation and depreciation are included in the results of operations. Interest income and expenses are recorded on the accrual basis. Dividend income is recognized on the ex-dividend date, net of applicable withholding tax. Expenses are accrued as incurred.

In some cases, the Partnership invests in portfolio companies directly and in some cases indirectly through one or more holding companies or other entities in which other parties affiliated with the Partnership and/or the Manager may also be investors. In cases where the Partnership invests indirectly through such an entity, the condensed schedule of investments presents the Partnership's proportionate share of the underlying investment.

[6] Investment-related expenses:

Investment-related expenses include costs for investments held that are not subject to reimbursement by a portfolio company.

[7] Income taxes:

The Partnership is not required to pay income taxes on income or gains. Each Partner's allocable share of the Partnership's income or gains is reported on the Partner's income tax returns in accordance with the laws of the applicable jurisdictions.

The General Partner is responsible for determining whether a tax position taken by the Partnership is more likely than not to be sustained on the merits. The Partnership has no material unrecognized tax benefits or expenses and has not recognized in these financial statements any interest or penalties related to income taxes. The Partnership is no longer subject to U.S. federal, state or local income tax examinations by tax authorities for years prior to December 31, 2011

Certain activities of the Partnership may cause Partners in the Partnership to be subject to federal and/or state taxes. The Partnership would be required to act as the U.S. Withholding Agent for any non-U.S. domiciled partners ("foreign partners") in relation to certain types of income earned by the Partnership and allocated to the foreign partners.

During the year ended December 31, 2014, the Partnership earned certain income that was subject to withholding. The Partnership remitted payments to the U.S. on behalf of the foreign partners, to meet the Partnership's requirements as U.S. Withholding Agent. The liability for funding all of the withholding tax payments for each foreign partner is the sole responsibility of each foreign partner. The Partnership obtains funds from the foreign partners to fund the payments to the withholding authorities either by withholding cash from amounts otherwise distributable to the foreign partners or by requesting funds from the foreign partners.

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NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[7] Income taxes: (continued)

Tax laws are complex and subject to different interpretations by the taxpayer and taxing authorities. Significant judgment is required when evaluating tax positions and related uncertainties. Future events such as changes in tax legislation could require a provision for income taxes and any such changes could significantly affect amounts reported in the statement of operations.

[8] Indemnifications:

In the normal course of business, the Partnership may enter into contracts that contain a variety of representations and warranties and which provide indemnifications. The Partnership's maximum exposure under these arrangements is unknown as this would involve future claims that may be made against the Partnership that have not yet occurred.

[9] Foreign currency translation:

Assets and liabilities denominated in foreign currencies are translated into United States dollar amounts at the period-end exchange rates. Purchases and sales of investments and income and expenses that are denominated in foreign currencies are translated into United States dollar amounts at the prevailing rates of exchange on the transaction date. Adjustments arising from foreign currency transactions are reflected in the statement of operations.

The Partnership does not isolate that portion of the results of operations arising from the effect of changes in foreign exchange rates on investments from fluctuations arising from changes in market prices of investments held. Such fluctuations are included with the net realized gain or net change in unrealized appreciation on investments in the statement of operations.

NOTE C - KEY PARTNERSHIP TERMS

[1] Capital commitments:

The Partnership received capital commitments of $595,961,940 on May 20, 2004. Additional commitments of $572,638,060 were subscribed to on December 31, 2005, which increased total Partnership commitments to $1,168,600,000 (including $2,747,500 from the General Partner and $337,904,500 from affiliates). Of this amount, $77,213,874 or 6.6% had not been called as of December 31, 2014. In addition, the Partnership has cumulatively returned $113,182,525 of Temporary Investments which is subject to recall from the Partners.

[2] Distributions:

Each distribution of net profits (including in-kind distributions of securities representing net profits) and all distributions representing a return of capital to the Partners (i.e., a distribution other than out of net profits or short-term investment income and including in-kind distributions of securities representing a return of capital) shall be tentatively apportioned among the Partners having an interest in the investment giving rise to the distribution pro rata in accordance with their respective commitments, and the amount tentatively apportioned to each Limited Partner shall be further apportioned between such Limited Partner and the General Partner in the following priority:

(a) First, 100% to such Limited Partner until such Limited Partner has received distributions equal to its share of the aggregate Realized Investment Amount in investments in which such Partner shall participate;

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NOTE C - KEY PARTNERSHIP TERMS (CONTINUED)

[2] Distributions: (continued)

(b) Second, thereafter, 100% to such Limited Partner until such Limited Partner has received distributions equal to the aggregate amount of its Allocable Share of Partnership Expenses allocated to such Limited Partner prior to the date of such distribution;

(c) Third, thereafter, 100% to such Limited Partner until such Limited Partner (other than a defaulting partner) has received aggregate distributions sufficient to cause such Partner's Unpaid Preferred Return to equal zero;

(d) Fourth, thereafter, 100% to the General Partner until such time as the General Partner has received 20% of the aggregate distributions made to such Limited Partner since the Closing Date under the preceding clause (c) and to the General Partner under this clause (d) to the extent not previously distributed to the General Partner; and

(e) Fifth, thereafter, 20% to the General Partner and 80% to such Limited Partner.

[3] Allocation of net profit or loss:

Profits and losses are allocated to the Partners in a manner consistent with the distributions as described above.

Pursuant to Section 9.3 of the Partnership Agreement, the General Partner is required, under certain circumstances and with certain limits, to contribute to the Partnership any excess Carried Interest distributions received to the extent that the Limited Partners' contributions plus Preferred Return are not returned. Since inception of the Partnership through December 31, 2014, it was determined that the General Partner would be entitled to Carried Interest had the assets and liabilities of the Partnership been liquidated at the end of the period at their carrying values. On this basis, the General Partner would be entitled to $238,598,524 of Carried Interest, and $218,983,096 of such amount has been distributed to the General Partner. None of the Carried Interest distributions are currently subject to Clawback.

[4] Management Fee:

For periods subsequent to the Commitment Period (which expired on December 31, 2011), the Partnership is obligated to pay to the Manager in respect of each Limited Partner an annual Management Fee (the "Management Fee"), payable quarterly in advance, that is equal to 2% of aggregate Capital Contributions reduced by (1) the aggregate amount of distributions constituting a return of capital, and (2) pro rata portion of any aggregate permanent write-down, if any, in the value of the Partnership's investments. The Management Fee shall be reduced for the Partnership's pro rata share of any Breakup Fees and any Transaction or Monitoring Fees received from any portfolio company. The reduction to the Management Fee due to Monitoring Fees was $21,139 for the year ended December 31, 2014.

The General Partner has the right to waive the Management Fee with respect to certain Partners who are members or affiliates of the General Partner or employees of the Manager

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NOTE D - INVESTMENTS

The following table presents the investments by level within the fair value hierarchy as of December 31, 2014. There were no transfers between levels during the year ended December 31, 2014.

	Level 1	Level 2	Level 3	Total
Investments:				
Privately held investments	$ -	$ -	$ 169,816,595	$ 169,816,595
Common stock	41,412,925	-	-	41,412,925
Escrow receivable	-	-	2,403,185	2,403,185
Total	$ 41,412,925	$ -	$ 172,219,780	$ 213,632,705

The following table includes a rollforward of the amounts for the year ended December 31, 2014 for privately held investments and escrow receivable classified within Level 3.

	Privately Held Investments	Escrow Receivable	Total
Balance, December 31, 2013	$ 631,477,059	$ 14,008,225	$ 645,485,284
Net change in unrealized depreciation	(360,575,248)	(593,839)	(361,169,087)
Net realized gain (loss)	540,095,955	(40,996)	540,054,959
Purchases	3,790,069	-	3,790,069
Proceeds from in-kind distribution*	(631,627,385)	-	(631,627,385)
Sales/escrow proceeds	(13,343,855)	(10,970,205)	(24,314,060)
Balance, December 31, 2014	$ 169,816,595	$ 2,403,185	$ 172,219,780
Net change in unrealized depreciation on investments still held as of December 31, 2014	$ 8,819,366	$ (593,839)	$ 8,225,527

*The Partnership formed Tinicum Capital Partners II-2, L.P. ("TCPII-2"). On October 6, 2014, the Partnership contributed all of its shares of PEM Holding Co. ("PEM") at fair market value to TCPII-2 and made an in-kind distribution of TCPII-2 partnership interests to partners that had participated in the Partnership's investment in PEM.

Total net realized gain (loss) recorded for Level 3 investments during the year is reported in net realized gain on investments in the statement of operations. Total net change in unrealized depreciation recorded for Level 3 investments during the year is reported in net change in unrealized depreciation on investments in the statement of operations.

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NOTE D - INVESTMENTS (CONTINUED)

The following provides information on the valuation techniques and nature of significant unobservable inputs used to determine the value of Level 3 assets and liabilities. The inputs are not indicative of the unobservable inputs that may have been used for an individual asset or liability.

	Fair Value at December 31, 2014	Valuation Technique(s)	Unobservable Input	Range/Input	Weighted Average
Privately held investments	$ 154,075,116	Public company comparable	EV / LTM EBITDA multiple	8.3x - 11.9x	10.5x
			EV / NTM EBITDA multiple	7.8x - 10.9x	10.0x
		Discounted cash flow	Terminal growth rate	1.5% - 4.0%	2.8%
			Discount rate	10.8% - 13.5%	11.3%
			Terminal multiple	5.5x	5.5x
		Transaction comparable	EV / LTM EBITDA multiple	5.2x - 11.0x	10.0x
		Forward acquisition valuation	EV / NTM BCF multiple	9.1x	9.1x
	$ 637,088	Broker quotes	N/A	N/A	N/A
	$ 7,858,621	Net asset value	N/A	N/A	N/A
	$ 7,245,770	Public company comparable	Price to book value	1.2x	1.2x
			Price to tangible book value	1.5x	1.5x
			Price to 2015E EPS	19.7x	19.7x
Escrow receivable	$ 2,403,185	Cost recovery	Probability of cash realization	100%	N/A

EV / LTM = Enterprise value over last twelve months
EV / NTM = Enterprise value over next twelve months

The General Partner is responsible for valuation policies and procedures and determining the fair value of investments. The General Partner has procedures in place to determine the fair value of the Partnership's Level 3 investments. Such procedures are designed to assure that the applicable valuation approach is appropriate and that values included in these financial statements are based on observable inputs when possible, or that unobservable valuation inputs are reasonable.

Valuation methodologies, including models, used for valuing Level 3 investments may include extrapolation and use of observable inputs. The selection of applicable comparable inputs involves significant judgment, including qualitative and quantitative analysis of comparability. To the extent possible, executed transactions, observable market data (such as broker-dealer quotes) and third-party pricing vendors are used for determining the fair value of Level 3 investments. Third-party pricing and model inputs are evaluated by corroborating such prices to executed transactions and gaining an understanding of the methodology and assumptions used to generate a valuation.

For privately held investments, valuation methodologies for ownership interests of portfolio companies include use of enterprise value waterfalls and market yield valuations or a combination of both. An enterprise valuation entails an estimate of the value of a portfolio company; a waterfall is an allocation of the enterprise value to the portfolio company's debt and equity in order of their preference. Significant inputs to the estimate of an enterprise value include historical and projected operating results of the portfolio company and guideline comparable companies (adjusted for discounts and premiums for differences between guideline comparable companies and a portfolio company) and discounted forecasted cash flows. Such valuation measurements are based on the value indicated by current expectations about future events and amounts. Significant judgment for factors such as transaction or company size, control, marketability and relative performance is involved in determining and applying discounts or premiums.

NOTE D - INVESTMENTS (CONTINUED)

The General Partner has a valuation committee that reviews and approves the fair value estimates prepared by the General Partner's investment professionals. The investment professionals are responsible for monitoring the performance of the Partnership's investments.

NOTE E - RELATED PARTY TRANSACTIONS

The Partnership pays all Partnership Expenses related to its activities, investments and business, as provided in the Partnership Agreement. During the year ended December 31, 2014, Tinicum Enterprises, Inc. ("Enterprises"), an affiliate of the Manager, provided a range of services (including, without limitation, accounting, administration and tax functions) to the Partnership, and the Partnership was charged $585,000 in 2014 for these services.

Due to affiliates includes net amounts owed to and from the Manager and to Enterprises for net expenses incurred on behalf of the Partnership.

NOTE F - FINANCIAL INSTRUMENTS AND RISK

The Partnership invests in securities and enters into various financial transactions where there is a risk of potential loss due to market risk, currency risk, interest rate risk, credit risk, liquidity risk and other risks. The success of any investment activity is influenced by general economic conditions that may affect the level and volatility of equity and debt prices. Unexpected volatility or illiquidity in the markets in which the Partnership directly or indirectly holds positions could impair its ability to carry out its business and could cause losses to be incurred.

Market risk represents the potential loss that can be caused by increases or decreases in the market value of investments due to market fluctuation.

Currency risk is the risk that the fair value of an investment will fluctuate because of changes in foreign exchange rates. Investments that are denominated in a non-U.S. currency are subject to the risk that the value of a particular currency will change in relation to one or more other currencies. Among the factors that may affect currency values are trade balances, the level of short-term interest rates, differences in relative values of similar assets in different currencies, long-term opportunities for investment and capital appreciation and political developments.

Interest rate risk is the risk that the fair value or future cash flows of fixed income or rate sensitive investments will increase or decrease because of changes in interest rates. Generally, the value of fixed income securities will change inversely with changes in interest rates. As interest rates rise, the fair value of fixed income securities tends to decrease. Conversely, as interest rates fall, the fair value of fixed income securities tends to increase. This risk is generally greater for long-term securities than for short-term securities.

Credit risk represents the potential loss that would occur if counterparties fail to perform pursuant to the terms of their obligations. In addition to its investments, the Partnership is subject to credit risk to the extent a custodian or broker with whom it conducts business is unable to fulfill contractual obligations.

Liquidity risk is the risk that the Partnership will not be able to raise funds to fulfill its commitments, including inability to sell investments quickly or at close to fair value.

NOTE G - COMMITMENTS TO PORTFOLIO COMPANIES

As of December 31, 2014, the Partnership has made commitments to provide additional funding to four Portfolio Companies. Unfunded commitments to the four Portfolio Companies amount to $26,680,714 as of December 31, 2014.

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NOTE H - FINANCIAL HIGHLIGHTS

The financial highlights are calculated for the Limited Partners taken as a whole. The actual ratios for each individual Limited Partner will vary based upon the specific allocations of income and expense, different fee arrangements, and the timing of capital commitments and transactions for such Limited Partner The Internal Rate of Return ("IRR") was computed using the month-end dates of the capital contributions, distributions, and the ending Limited Partners' capital as of each measurement date, net of all fees and, if applicable, profit allocations (Carried Interest) to the General Partner

Ratios to Average Limited Partners' Capital	Year Ended December 31, 2014
Operating expenses	1.0%
Net investment loss	(1.0)%
IRR from inception through December 31, 2014	14.6%
IRR from inception through December 31, 2013	13.9%

NOTE I - SUBSEQUENT EVENTS

The General Partner has evaluated events through April 27, 2015, the date that these financial statements were available to be issued. With the exception of the matter described below, there are no subsequent events that require adjustment or disclosure to these financial statements.

From January 1, 2015 through April 27, 2015, the Partnership called $3,662,264 from the Partners and distributed $1,705,102 to the Partners.

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TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

FINANCIAL STATEMENTS

DECEMBER 31, 2014

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TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

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INDEPENDENT AUDITORS' REPORT

To the General Partner of
Tinicum Capital Partners II Add-On Fund, L.P.

Report on the Financial Statements

We have audited the accompanying financial statements of Tinicum Capital Partners II Add-On Fund, L.P., which comprise the statement of assets, liabilities and partners' capital, including the condensed schedule of investments, as of December 31, 2014, and the related statements of operations, changes in partners' capital, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Tinicum Capital Partners II Add-On Fund, L.P. as of December 31, 2014, and the results of its operations, changes in its partners' capital and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

EisnerAmper LLP

New York, New York
April 27, 2015

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TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

Statement of Assets, Liabilities and Partners' Capital
December 31, 2014

ASSETS	
Investments, at fair value (cost $40,231,517)	$ 59,035,555
Cash	454,333
Due from broker	190,992
Due from Limited Partners	3,336
Other assets	7,206
Total assets	$ 59,691,422
LIABILITIES AND PARTNERS' CAPITAL	
Liabilities:	
Due to affiliates	$ 94,395
Accrued expenses	19,379
Total liabilities	113,774
Commitments	
Partners' capital:	
General Partner	3,819,466
Limited Partners	55,758,182
Total partners' capital	59,577,648
Total liabilities and partners' capital	$ 59,691,422

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See notes to financial statements

TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

Condensed Schedule of Investments
December 31, 2014

	Number of Shares or Units or % of Ownership	Fair Value	Fair Value as a % of Partners' Capital
Investments:			
Privately held investments:			
Germany:			
Basic Materials:			
Doduco S.a.r.l.			
Common and Preferred Stock (cost $24,589,288)	39.7%	$ 34,853,129	59%
United States:			
Advertising:			
Ashby Street Outdoor Holdings LLC			
LLC Interests	12,646,204	11,177,032	19%
Financial:			
HCBF Holding Company, Inc.			
Common Stock	425,195	4,647,381	7%
Total United States (cost $9,987,215)		15,824,413	26%
Total privately held investments (cost $34,576,503)		50,677,542	85%
Publicly traded investments:			
Common stock:			
United States:			
Technology:			
Vishay Precision Group, Inc.	237,498	4,075,466	7%
Other		2,741,115	4%
Total publicly traded investments (cost $5,655,014)		6,816,581	11%
Escrow receivable:			
United States:			
Industrial		1,541,432	3%
Total investments (cost $40,231,517)		$ 59,035,555	99%

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See notes to financial statements

TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

Statement of Operations
Year Ended December 31, 2014

Investment income:	
Dividend income	$ 87
Interest income	10
Total investment income	97
Expenses:	
Management fee	286,860
Interest	5,311
Investment-related expenses	956
Professional fees and other	29,165
Accounting and tax services fees	182,000
Total expenses	504,292
Net investment loss	(504,195)
Realized and unrealized gain on investments:	
Net realized gain on investments	645,628
Net change in unrealized appreciation on investments	1,325,733
Net realized and unrealized gain on investments	1,971,361
Net increase in partners' capital resulting from operations	$ 1,467,166

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See notes to financial statements

TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

Statement of Changes in Partners' Capital
Year Ended December 31, 2014

	General Partner	Limited Partners	Total
Partners' capital, December 31, 2013	$ 4,993,099	$ 61,315,715	$ 66,308,814
Capital contributions	5,216	2,889,625	2,894,841
Capital distributions	(1,475,069)	(9,618,104)	(11,093,173)
Net increase in partners' capital resulting from operations	296,220	1,170,946	1,467,166
Partners' capital, December 31, 2014	$ 3,819,466	$ 55,758,182	$ 59,577,648

See notes to financial statements

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TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

Statement of Cash Flows
Year Ended December 31, 2014

Cash flows from operating activities:	
Net increase in partners' capital resulting from operations	$ 1,467,166
Adjustments to reconcile net increase in partners' capital resulting from operations to net cash provided by operating activities:	
Purchase of investments	(1,892,837)
Proceeds from sale of investments	8,166,608
Proceeds from release of escrow	3,362,469
Net realized loss on investments	(645,628)
Net change in unrealized appreciation on investments	(1,325,733)
Changes in assets and liabilities:	
Due from broker	(190,992)
Other assets	(249)
Due to broker	(1,950,755)
Due to affiliates	(83,122)
Accrued expenses	1,591
Net cash provided by operating activities	6,908,518
Cash flows from financing activities:	
Due from Limited Partners	1,735,726
Capital contributions	2,894,841
Capital distributions	(11,093,173)
Net cash used in financing activities	(6,462,606)
Net increase in cash	445,912
Cash at beginning of year	8,421
Cash at end of year	$ 454,333
Supplemental disclosure of cash flow information:	
Cash paid during the year for interest	$ 5,311

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See notes to financial statements

TINICUM CAPITAL PARTNERS II ADD-ON FUND, L.P.

Notes to Financial Statements
December 31, 2014

NOTE A - ORGANIZATION AND BUSINESS

Tinicum Capital Partners II Add-On Fund, L.P. (the "Partnership"), a Delaware limited partnership, was formed on December 8, 2009. The Partnership was established to co-invest with Tinicum Capital Partners II, L.P. and its affiliated funds, Tinicum Capital Partners II Parallel Fund, L.P. and Tinicum Capital Partners II Executive Fund L.L.C. (together "TCPII"). TCPII was established to invest in companies through acquisitions or restructurings and to take minority stakes in public or private companies through equity or debt securities. The Partnership and TCPII's investment objective is to obtain returns primarily through capital appreciation.

The general partner of the Partnership is Tinicum Lantern II Add-On L.L.C. (the "General Partner"), a Delaware limited liability company. The General Partner controls the business and affairs of the Partnership. The General Partner appointed Tinicum Incorporated (the "Manager"), a New York corporation, to provide investment management services to the Partnership. The Manager is registered with the United States Securities and Exchange Commission under the Investment Advisers Act of 1940.

The Partnership is governed by the Agreement of Limited Partnership dated January 25, 2010, and as subsequently amended (the "Partnership Agreement"). The Partnership Agreement allows for the formation of certain additional funds for the purpose of investing on a side-by-side basis. On December 8, 2009, Tinicum Capital Partners II Add-On Parallel Fund, L.P. (the "Parallel Fund"), a Delaware limited partnership, was formed for this purpose. TCPII, the Partnership and the Parallel Fund will generally make investments on a pro-rata basis, according to the funds' respective capital commitments available for investments as determined by the Manager

The Partnership will terminate and be dissolved on the date on which Tinicum Capital Partners II, L.P. shall be dissolved, although the General Partner has the authority to dissolve the Partnership at an earlier date.

Capitalized terms used, but not defined herein, shall have the meaning assigned to them in the Partnership Agreement.

NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America ("US GAAP"). The Partnership is an investment company that follows the specialized accounting and reporting guidance of FASB Accounting Standards Codification Topic 946 "Financial Services – Investment Companies." Below are the significant accounting policies:

[1] Use of estimates:

The preparation of financial statements in conformity with US GAAP requires the Partnership to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities and the reported amounts of income and expenses during the reporting period. Actual results could differ from those estimates.

[2] Cash:

The Partnership maintains cash accounts with financial institutions. In the event of a financial institution's insolvency, recovery of assets may be limited.

[3] Due from broker:

Due from broker consists entirely of an investment in a money market fund, Goldman Sachs Financial Square Treasury Obligations Fund, maintained with a broker

NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[4] Investment valuation:

The Partnership carries its investments at fair value. Fair value is an estimate of the exit price, representing the amount that the Partnership would receive to sell an asset or that the Partnership would pay to transfer a liability, in either case, in an orderly transaction between market participants (i.e., the exit price at the measurement date). Fair value measurements are not adjusted for transaction costs. Inputs to valuation techniques used to measure fair value into three levels are:

Level 1 Inputs that reflect unadjusted quoted prices in active markets for identical assets or liabilities that the Partnership has the ability to access at the measurement date

Level 2 Inputs other than quoted prices that are observable for the asset or liability either directly or indirectly, including inputs in markets that are not considered to be active

Level 3 Unobservable inputs. Unobservable inputs reflect the assumptions that the General Partner develops based on available information about what market participants would use in valuing the asset or liability

An asset's or liability's level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Availability of observable inputs can vary and is affected by a variety of factors. The General Partner uses judgment in determining the fair value of assets and Level 3 assets involve greater judgment than Level 1 or Level 2 assets.

Investments whose values are based on quoted market prices in active markets, and are therefore classified within Level 1, generally include active listed equities. The General Partner does not adjust the quoted price for such instruments, even in situations where the Partnership holds a large position and a sale could reasonably impact the quoted price.

Privately held investments valued utilizing unobservable inputs are classified within Level 3. The General Partner's determination of fair value is based upon the best information available for a given circumstance and may incorporate assumptions that are management's best estimates after consideration of a variety of internal and external factors. In establishing the fair value of an investment, the General Partner will determine the appropriate weighting of three valuation methodologies. The first methodology considers recent transactions in the same or similar industry, including the initial purchase transaction of the privately held investment being valued or the valuation of any recent financing round. The second methodology is a market multiples approach that considers a specified financial measure (such as EBITDA), recent public market and private transactions and other available measures for valuing comparable companies (i.e., "Market Approach"). The third methodology determines a valuation by discounting future cash flows (i.e., "Income Approach"). The ultimate fair value recorded for a particular investment will generally be within the range suggested by the three methodologies utilizing the judgment of the General Partner

If the General Partner determines that either the trading volume and/or level of activity for an investment has significantly decreased (from normal conditions for that investment) or price quotations or observable inputs are not associated with orderly transactions, increased analysis and management judgment will be required to estimate fair value. Under those circumstances, the Income Approach might be more appropriate than the Market Approach in estimating fair value. Regardless of the valuation technique and inputs used, the objective for the fair value measurement in those circumstances is unchanged from what it would be if markets were operating at normal activity levels and/or transactions were orderly; that is, to determine the exit price at the date of presentation.

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NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[4] Investment valuation: (continued)

The values assigned to investments and any unrealized appreciation or depreciation reported are based on available information and do not necessarily represent amounts that might be realized if a ready market existed and such difference could be material. Furthermore, the ultimate realization of such amounts depends on future events and circumstances, and therefore, valuation estimates may differ from the value realized upon disposition of individual positions.

[5] Investment transactions, income and expenses:

Investment transactions are recorded on a trade-date basis. Realized gains and losses on investment transactions are determined using the specific identification method. Changes in unrealized appreciation and depreciation are included in the results of operations. Interest income and expenses are recorded on the accrual basis. Dividend income is recognized on the ex-dividend date, net of applicable withholding tax. Expenses are accrued as incurred.

In some cases, the Partnership invests in portfolio companies directly and in some cases indirectly through one or more holding companies or other entities in which other parties affiliated with the Partnership and/or the Manager may also be investors. In cases where the Partnership invests indirectly through such an entity, the condensed schedule of investments reflects the Partnership's proportionate share of the underlying investment.

[6] Investment-related expenses:

Investment-related expenses include costs for investments held that are not subject to reimbursement by a portfolio company.

[7] Income taxes:

The Partnership is not required to pay income taxes on income or gains. Each Partner's allocable share of the Partnership's income or gains is reported on the Partner's income tax returns in accordance with the laws of the applicable jurisdictions.

The General Partner is responsible for determining whether a tax position taken by the Partnership is more likely than not to be sustained on the merits. The Partnership has no material unrecognized tax benefits or expenses and has not recognized in these financial statements any interest or penalties related to income taxes. The Partnership is no longer subject to U.S. federal, state or local income tax examinations by tax authorities for all years prior to December 31, 2011

Certain activities of the Partnership may cause Partners in the Partnership to be subject to federal and/or state taxes. The Partnership is required to act as the U.S. Withholding Agent for its non-U.S. domiciled partners ("foreign partners") in relation to certain types of income earned by the Partnership and allocated to the foreign partners.

During the year ended December 31, 2014, the Partnership earned certain income that was subject to withholding. The Partnership remitted payments to the U.S. on behalf of the foreign partners to meet the Partnership's requirements as U.S. Withholding Agent. The liability for funding all of the withholding tax payments for each foreign partner is the sole responsibility of each foreign partner. The Partnership obtains funds from the foreign partners to fund the payments to the withholding authorities either by withholding cash from amounts otherwise distributable to the foreign partners or by requesting funds from the foreign partners.

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NOTE B - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[7] Income taxes: (continued)

Tax laws are complex and subject to different interpretations by the taxpayer and taxing authorities. Significant judgment is required when evaluating tax positions and related uncertainties. Future events such as changes in tax legislation could require a provision for income taxes, and any such changes could significantly affect amounts reported in the statement of operations.

[8] Indemnifications:

In the normal course of business, the Partnership may enter into contracts that contain a variety of representations and warranties and which provide indemnifications. The Partnership's maximum exposure under these arrangements is unknown as this would involve future claims that may be made against the Partnership that have not yet occurred.

[9] Foreign currency translation:

Assets and liabilities denominated in foreign currencies are translated into United States dollar amounts at the period-end exchange rates. Purchases and sales of investments and income and expenses that are denominated in foreign currencies are translated into United States dollar amounts at the prevailing rates of exchange on the transaction date. Adjustments arising from foreign currency transactions are reflected in the statement of operations.

The Partnership does not isolate that portion of the results of operations arising from the effect of changes in foreign exchange rates on investments from fluctuations arising from changes in market prices of investments held. Such fluctuations are included with the net realized loss or net change in unrealized appreciation on investments in the statement of operations.

NOTE C - KEY PARTNERSHIP TERMS

[1] Capital commitments:

The Partnership received capital commitments of $149,258,114 (including $298,516 from the General Partner and $43,066,362 from affiliates) on January 29, 2010. Of this amount, $61,049,088 or 40.9% had not been called as of December 31, 2014. In addition, the Partnership has cumulatively returned $4,588,640 of Temporary Investments which is subject to recall from the Partners.

[2] Distributions:

Each distribution of net profits (including in-kind distributions of securities representing net profits) and all distributions representing a return of capital to the Partners (i.e., a distribution other than out of net profits or short-term investment income and including in-kind distributions of securities representing a return of capital) shall be tentatively apportioned among the Partners having an interest in the investment giving rise to the distribution pro rata in accordance with their respective commitments, and the amount tentatively apportioned to each Limited Partner shall be further apportioned between such Limited Partner and the General Partner in the following priority:

(a) First, 100% to such Limited Partner until such Limited Partner has received distributions equal to its share of the aggregate Realized Investment Amount in investments in which such Partner shall participate;

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NOTE C - KEY PARTNERSHIP TERMS (CONTINUED)

[2] Distributions: (continued)

(b) Second, thereafter, 100% to such Limited Partner until such Limited Partner has received distributions equal to the aggregate amount of its Allocable Share of Partnership Expenses allocated to such Limited Partner prior to the date of such distribution;

(c) Third, thereafter, 100% to such Limited Partner until such Limited Partner has received aggregate distributions sufficient to cause such Partner's Unpaid Preferred Return to equal zero;

(d) Fourth, thereafter, 100% to the General Partner until such time as the General Partner has received 20% of the aggregate distributions made to such Limited Partner since the Closing Date under the preceding clause (c) and to the General Partner under this clause (d) to the extent not previously distributed to the General Partner; and

(e) Fifth, thereafter, 20% to the General Partner and 80% to such Limited Partner.

[3] Allocation of net profit or loss:

Profits and losses are allocated to the Partners in a manner consistent with the distributions as described above.

Pursuant to Section 9.3 of the Partnership Agreement, the General Partner is required, under certain circumstances and with certain limits, to contribute to the Partnership any Carried Interest distributions to the extent that the Limited Partners' contributions plus Preferred Return are not returned. Since inception of the Partnership through December 31, 2014, it was determined that the General Partner would be entitled to Carried Interest had the assets and liabilities of the Partnership been liquidated at the end of the period at their carrying values. On this basis, the General Partner would be entitled to $25,678,490 of Carried Interest, and $21,970,971 of such amount has been distributed to the General Partner. None of the Carried Interest distributions are currently subject to Clawback.

[4] Management Fee:

For periods subsequent to the Commitment Period (which expired on December 31, 2011), the Partnership is obligated to pay to the Manager in respect of each Limited Partner an annual Management Fee (the "Management Fee"), payable quarterly in advance, that is equal to 1% of aggregate Capital Contributions reduced by (1) the aggregate amount of distributions constituting a return of capital, and (2) pro rata portion of any aggregate permanent write-down, if any, in the value of the Partnership's investments. The Management Fee shall be reduced for the Partnership's pro rata share of any Breakup Fees and any Transaction or Monitoring Fees received from any portfolio company. There was no reduction to the Management Fee for the year ended December 31, 2014.

The General Partner has the right to waive the Management Fee with respect to certain Partners who are members or affiliates of the General Partner or employees of the Manager.

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NOTE D - INVESTMENTS

The following table presents investments by level within the fair value hierarchy as of December 31, 2014. There were no transfers between levels during the year ended December 31, 2014.

	Level 1	Level 2	Level 3	Total
Investments:				
Privately held investments	$ -	$ -	$ 50,677,542	$ 50,677,542
Common stock	6,816,581	-	-	6,816,581
Escrow receivable	-	-	1,541,432	1,541,432
Total	$ 6,816,581	$ -	$ 52,218,974	$ 59,035,555

The following table includes a rollforward of the amounts for the year ended December 31, 2014 for privately held investments and escrow receivable classified within Level 3.

	Privately Held Investments	Escrow Receivable	Total
Balance, December 31, 2013	$ 49,817,068	$ 5,284,893	$ 55,101,961
Net change in unrealized appreciation	57,283	(380,992)	(323,709)
Purchases	1,892,837	-	1,892,837
Sales/escrow proceeds	(1,089,646)	(3,362,469)	(4,452,115)
Balance, December 31, 2014	$ 50,677,542	$ 1,541,432	$ 52,218,974
Net change in unrealized appreciation on investments still held as of December 31, 2014	$ 57,283	$ (380,992)	$ (323,709)

Total net change in unrealized appreciation recorded for Level 3 investments during the year is reported in net change in unrealized appreciation on investments in the statement of operations.

The following provides information on the valuation techniques and nature of significant unobservable inputs used to determine the value of Level 3 assets and liabilities. The inputs are not indicative of the unobservable inputs that may have been used for an individual asset or liability.

	Fair Value at December 31, 2014	Valuation Technique(s)	Unobservable Input	Range/Input	Weighted Average
Privately held investments	$ 46,030,161	Public company comparable	EV / LTM EBITDA multiple	11.9x	11.9x
			EV / NTM EBITDA multiple	10.9x	10.9x
		Discounted cash flow	Terminal growth rate	2.0% - 4.0%	2.7%
			Discount rate	11.8% - 12.7%	12.4%
		Transaction comparable	EV / LTM EBITDA multiple	5.2x - 10.1x	6.9x
		Forward acquisition valuation	EV / NTM BCF multiple	9.1x	9.1x
	$ 4,647,381	Public company comparable	Price to book value	1.2x	1.2x
			Price to tangible book value	1.5x	1.5x
			Price to 2015E EPS	19.7x	19.7x
Escrow receivable	$ 1,541,432	Cost recovery	Probability of cash realization	100%	N/A

EV / LTM = Enterprise value over last twelve months
EV / NTM = Enterprise value over next twelve months

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NOTE D - INVESTMENTS (CONTINUED)

The General Partner is responsible for valuation policies and procedures and determining the fair value of investments. The General Partner has procedures in place to determine the fair value of the Partnership's Level 3 investments. Such procedures are designed to assure that the applicable valuation approach is appropriate and that values included in these financial statements are based on observable inputs when possible, or that unobservable valuation inputs are reasonable.

Valuation methodologies, including models, used for valuing Level 3 investments may include extrapolation and use of observable inputs. The selection of applicable comparable inputs involves significant judgment, including qualitative and quantitative analysis of comparability. To the extent possible, executed transactions, observable market data (such as broker-dealer quotes) and third-party pricing vendors are used for determining the fair value of Level 3 investments. Third-party pricing and model inputs are evaluated by corroborating such prices to executed transactions and gaining an understanding of the methodology and assumptions used to generate a valuation.

For privately held investments, valuation methodologies for ownership interests of portfolio companies include use of enterprise value waterfalls and market yield valuations or a combination of both. An enterprise valuation entails an estimate of the value of a portfolio company; a waterfall is an allocation of the enterprise value to the portfolio company's debt and equity in order of their preference. Significant inputs to the estimate of an enterprise value include historical and projected operating results of the portfolio company and guideline comparable companies (adjusted for discounts and premiums for differences between guideline comparable companies and a portfolio company) and discounted forecasted cash flows. Such valuation measurements are based on the value indicated by current expectations about future events and amounts. Significant judgment for factors such as transaction or company size, control, marketability and relative performance is involved in determining and applying discounts or premiums.

The General Partner has a valuation committee that reviews and approves the fair value estimates prepared by the General Partner's investment professionals. The investment professionals are responsible for monitoring the performance of the Partnership's investments.

NOTE E - RELATED PARTY TRANSACTIONS

The Partnership pays all Partnership Expenses related to its activities, investments and business, as provided in the Partnership Agreement. During the year ended December 31, 2014, Tinicum Enterprises, Inc. ("Enterprises"), an affiliate of the Manager, provided a range of services (including, without limitation, accounting, administration and tax functions) to the Partnership and the Partnership was charged $182,000 in 2014 for these services.

Due to affiliates includes net amounts owed to Enterprises and the Manager for expenses paid on behalf of the Partnership.

NOTE F - FINANCIAL INSTRUMENTS AND RISK

The Partnership invests in securities and enters into various financial transactions where there is a risk of potential loss due to market risk, currency risk, interest rate risk, credit risk, liquidity risk and other risks. The success of any investment activity is influenced by general economic conditions that may affect the level and volatility of equity and debt prices. Unexpected volatility or illiquidity in the markets in which the Partnership directly or indirectly holds positions could impair its ability to carry out its business and could cause losses to be incurred.

Market risk represents the potential loss that can be caused by increases or decreases in the market value of investments due to market fluctuation.

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NOTE F - FINANCIAL INSTRUMENTS AND RISK (CONTINUED)

Currency risk is the risk that the fair value of an investment will fluctuate because of changes in foreign exchange rates. Investments that are denominated in a non-U.S. currency are subject to the risk that the value of a particular currency will change in relation to one or more other currencies. Among the factors that may affect currency values are trade balances, the level of short-term interest rates, differences in relative values of similar assets in different currencies, long-term opportunities for investment and capital appreciation and political developments.

Interest rate risk is the risk that the fair value or future cash flows of fixed income or rate sensitive investments will increase or decrease because of changes in interest rates. Generally, the value of fixed income securities will change inversely with changes in interest rates. As interest rates rise, the fair value of fixed income securities tends to decrease. Conversely, as interest rates fall, the fair value of fixed income securities tends to increase. This risk is generally greater for long-term securities than for short-term securities.

Credit risk represents the potential loss that would occur if counterparties fail to perform pursuant to the terms of their obligations. In addition to its investments, the Partnership is subject to credit risk to the extent a custodian or broker with whom it conducts business is unable to fulfill contractual obligations.

Liquidity risk is the risk that the Partnership will not be able to raise funds to fulfill its commitments, including inability to sell investments quickly or at close to fair value.

NOTE G - COMMITMENTS TO PORTFOLIO COMPANIES

As of December 31, 2014, the Partnership has made commitments to provide additional funding to two Portfolio Companies. Unfunded commitments to the two Portfolio Companies amount to $15,558,279 as of December 31, 2014.

NOTE H - FINANCIAL HIGHLIGHTS

The financial highlights are calculated for the Limited Partners taken as a whole. The actual ratios for each individual Limited Partner will vary based upon the specific allocations of income and expense, different fee arrangements, and the timing of capital transactions for such Limited Partner. The Internal Rate of Return ("IRR") was computed using the month-end dates of the capital contributions, distributions, and the ending Limited Partners' capital as of each measurement date, net of all fees and, if applicable, profit allocations (Carried Interest) to the General Partner

Ratios to Average Limited Partners' Capital	Year Ended December 31, 2014
Operating expenses	0.9%
Net investment loss	(0.9)%
IRR from inception through December 31, 2014	40.3%
IRR from inception through December 31, 2013	44.6%

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NOTE I - SUBSEQUENT EVENTS

The General Partner has evaluated events through April 27, 2015, the date that these financial statements were available to be issued. With the exception of the matter described below, there are no subsequent events that require adjustment or disclosure to these financial statements.

From January 1, 2015 through April 27, 2015, the Partnership called $1,717,452 from the Partners and distributed $435,859 to the Partners.

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Steadview Capital Master Fund - Portfolio Valuation as on: 31-Dec-14

Security	Mkt Cap (USDmn)	Security type	ISIN	Sector	Price (INR)	Price (USD)	Quantity*	Value (USD)	% of NAV
Page Industries	2,075	Listed Equity	INE761H01022	Apparel & Accessories	11,754	186	260,638	48,490,805	15%
Flipkart	11,682	Private Equity	NA	Media / IT / Internet	63	1	44,810,000	44,810,000	14%
Eicher Motors	6,443	Listed Equity	INE066A01013	Auto	15,075	239	144,840	34,560,496	11%
Shriram City Union Finance	1,821	Listed Equity	INE722A01011	Financial Services	1,941	31	1,112,177	34,169,983	11%
Motherson Sumi	6,386	Listed Equity	INE775A01035	Auto	458	7	4,686,289	33,935,503	11%
V-Guard Industries	552	Listed Equity	INE951I01019	Consumer Goods	1,167	18	1,095,250	20,238,843	6%
ANI Technologies	634	Private Equity	NA	Media / IT / Internet	547,000	8,658	1,509	13,065,038	4%
Makemytrip	965	Listed Equity	MU0295S00016	Media / IT / Internet	1,642	26	454,158	11,803,566	4%
Astral Polytechnik	700	Listed Equity	INE006I01046	Plastics	394	6	1,798,598	11,205,296	3%
Info Edge Ltd	1,470	Listed Equity	INE663F01024	Media / IT / Internet	850	13	767,764	10,334,397	3%
Jubilant Foodworks	1,407	Listed Equity	INE797F01012	Food & Beverages	1,377	22	401,181	8,743,965	3%
AIA Engineering	1,616	Listed Equity	INE212H01026	Other	1,082	17	459,829	7,878,405	2%
Hathway Cable & Datacom Limited	793	Listed Equity	INE982F01028	Media / IT / Internet	350	6	1,179,603	6,533,953	2%
Cera Sanitaryware	358	Listed Equity	INE739E01017	Ceramics	1,786	28	221,122	6,249,747	2%
Kajaria Ceramics	694	Listed Equity	INE217B01028	Building Products	593	9	535,374	5,024,269	2%
Urban Ladder	67	Private Equity	NA	Media / IT / Internet	98,739	1,563	3,094	4,835,540	2%
Symphony	1,077	Listed Equity	INE225D01027	Consumer Goods	1,945	31	114,635	3,528,340	1%
JustDial Limited	1,486	Listed Equity	INE599M01018	Media / IT / Internet	1,353	21	143,360	3,070,606	1%
Saavn Global	112	Private Equity	NA	Media / IT / Internet	65	1	2,932,984	3,019,800	1%
La Opala	399	Listed Equity	INE059D01020	Consumer Goods	454	7	413,058	2,970,542	1%
Total Long Equities	3,898							314,469,095	98%
Total Short Equities								-	0%
Cash & other pre-paid assets/liabilities								7,209,318	2%
Total NAV (USD)								321,678,413	100%

INR/USD	63.178

*Only core Steadview fund. Excludes SMAs

Steadview Transactions Greater Than $1K in CY 2014

Trade Date	Settle Date	Type	Security Code	Security Name	Bloomberg Code	Qty	Gross Rate (local curr)	Trade currency	Buy/Sell	Brokerage INR	Local fee (STT/SEC)	GOF fee $	Broker
2-Jan-14	6-Jan-14	Equity	ZYWL	Zydus Wellness	ZYWL IN Equity	49,135	561	INR	S	58,935	27,565	0	KO
9-Jan-14	13-Jan-14	Equity	NAUKRI	Info Edge Ltd	INFOE IN Equity	85,000	508	INR	B	86,287	43,143	0	AX
17-Jan-14	21-Jan-14	Equity	NAUKRI	Info Edge Ltd	INFOE IN Equity	53,752	580	INR	B	62,366	31,183	0	MS
21-Feb-14	25-Feb-14	Equity	ZYWL	Zydus Wellness	ZYWL IN Equity	168,167	436	INR	S	156,763	73,323	0	KO
10-Mar-14	12-Mar-14	Equity	NAUKRI	Info Edge Ltd	INFOE IN Equity	40,000	611	INR	B	48,840	24,420	0	MO
4-Apr-14	9-Apr-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	330,000	165	INR	B	109,131	54,572	0	MO
4-Apr-14	9-Apr-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	19,000	1,228	INR	B	46,647	23,324	0	AX
4-Apr-14	9-Apr-14	Equity	PVR	PVR Limited	PVRL IN Equity	178,922	546	INR	B	195,521	97,761	0	AX
4-Apr-14	9-Apr-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	126,000	1,240	INR	B	312,467	156,234	0	AX
7-Apr-14	10-Apr-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	269,165	165	INR	B	88,798	44,404	0	MO
9-Apr-14	11-Apr-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	200,000	170	INR	B	68,040	34022.00	0	MO
10-Apr-14	15-Apr-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	95,770	246	INR	B	40,116	23,598	0	AM
10-Apr-14	15-Apr-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	269,979	247	INR	B	113,191	66,583	0	AM
10-Apr-14	15-Apr-14	Equity	JDL	JustDial Limited	JUST IN Equity	29,626	1,350	INR	S	67,984	39,990	0	AM
17-Apr-14	22-Apr-14	Equity	NAUKRI	Info Edge Ltd	INFOE IN Equity	89,467	566	INR	B	101,268	50,634	0	MS
23-Apr-14	28-Apr-14	Equity	JBFW	Jubilant Foodwo	JUBI IN Equity	25,000	975	INR	B	48,747	24,374	0	MS
25-Apr-14	29-Apr-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	120,000	246	INR	B	59,088	29,544	0	MS
29-Apr-14	2-May-14	Equity	GCPL	Godrej Consume	GCPL IN Equity	196,619	795	INR	S	265,732	156,313	0	AM
2-May-14	6-May-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	261,000	177	INR	B	92,163	46,080	0	MS
5-May-14	7-May-14	Equity	CERA	Cera Sanitarywa	CRS IN Equity	59,210	1,313	INR	B	155,468	77,736	0	MO
5-May-14	7-May-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	134,226	247	INR	S	49,731	33,154	0	ES
7-May-14	9-May-14	Equity	PAG	Page Industries	PAG IN Equity	10,000	5,870	INR	B	117,400	58,700	0	NO
13-May-14	16-May-14	Equity	GCPL	Godrej Consume	GCPL IN Equity	216,631	780	INR	S	287,258	168,975	0	AM
13-May-14	16-May-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	247,960	246	INR	S	91,408	60,939	0	ES
15-May-14	19-May-14	Equity	PAG	Page Industries	PAG IN Equity	4,000	5,999	INR	B	47,988	23,994	0	CLSA
19-May-14	21-May-14	Equity	KAJAR	Kajaria Ceramics	KJC IN Equity	93,310	530	INR	B	98,890	49,445	0	AX
20-May-14	22-May-14	Equity	APOL	Apollo Hospitals	APHS IN Equity	105,578	907	INR	S	191,518	95,759	0	MS
21-May-14	23-May-14	Equity	KAJAR	Kajaria Ceramics	KJC IN Equity	104,920	570	INR	B	119,575	59,788	0	AX
21-May-14	23-May-14	Equity	APOL	Apollo Hospitals	APHS IN Equity	51,069	910	INR	S	92,960	46,480	0	MS
23-May-14	27-May-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	360,000	314	INR	B	242,040	113,209	0	KO
23-May-14	27-May-14	Equity	APOL	Apollo Hospitals	APHS IN Equity	95,069	919	INR	S	174,748	87,374	0	MS
30-May-14	3-Jun-14	Equity	PAG	Page Industries	PAG IN Equity	4,000	6,286	INR	B	50,290	25,145	0	CLSA
3-Jun-14	5-Jun-14	Equity	TTK	TTK Prestige	TTKPT IN Equity	11,159	3,300	INR	S	78,737	36,827	0	KO
4-Jun-14	6-Jun-14	Equity	KAJAR	Kajaria Ceramics	KJC IN Equity	112,500	600	INR	B	134,899	67,449	0	AX
4-Jun-14	6-Jun-14	Equity	TTK	TTK Prestige	TTKPT IN Equity	14,040	3,300	INR	S	99,071	46,338	0	KO

Steadview Transactions Greater Than $1K in CY 2014

Trade Date	Settle Date	Type	Security Code	Security Name	Bloomberg Code	Qty	Gross Rate (local curr)	Trade currency	Buy/Sell	Brokerage INR	Local fee (STT/SEC)	GOF fee $	Broker
5-Jun-14	9-Jun-14	Equity	TTK	TTK Prestige	TTKPT IN Equity	8,968	3,333	INR	S	63,911	29,893	0	KO
11-Jun-14	13-Jun-14	Equity	UBL	United Breweries	UBBL IN Equity	230,803	748	INR	S	345,293	172,645	0	MS
12-Jun-14	16-Jun-14	Equity	MMF	Mahindra & Mahi	MMFS IN Equity	224,764	285	INR	S	96,064	64,047	0	JM
17-Jun-14		Private	UL	Urban Ladder		3,094	98,739	INR	B	0	0	0	
23-Jun-14	25-Jun-14	Equity	JDL	JustDial Limited	JUST IN Equity	18,007	1,416	INR	S	50,987	25,494	0	MS
24-Jun-14	26-Jun-14	Equity	JDL	JustDial Limited	JUST IN Equity	18,482	1,430	INR	S	52,876	26,438	0	MS
24-Jun-14	26-Jun-14	Equity	UBL	United Breweries	UBBL IN Equity	100,361	687	INR	S	137,886	68,943	0	MS
27-Jun-14	2-Jul-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	20,000	1,160	INR	S	46,400	23,200	0	MO
1-Jul-14	3-Jul-14	Equity	KPIT	KPIT-Technologi	KPIT IN Equity	148,789	174	INR	S	51,782	25,891	0	GS
4-Jul-14		Private	OLA	ANI Technologies		1,398	222,000	INR	B	0	0	0	
28-Jul-14	31-Jul-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	201,300	238	INR	B	95,928	47,964	0	MS
30-Jul-14	1-Aug-14	Equity	CERA	Cera Sanitarywar	CRS IN Equity	18,965	1,279	INR	B	51,876	24,264	0	KO
4-Aug-14	6-Aug-14	Equity	CERA	Cera Sanitarywar	CRS IN Equity	18,215	1,315	INR	B	51,195	23,945	0	KO
5-Aug-14	7-Aug-14	Equity	KAJAR	Kajaria Ceramics	KJC IN Equity	60,000	637	INR	B	76,420	38,210	0	CS
5-Aug-14	7-Aug-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	180,000	239	INR	B	85,897	42,948	0	CS
6-Aug-14	8-Aug-14	Equity	WEST	Westlife Develop	WLDL IN Equity	694,420	314	INR	S	435,415	217,708	0	AX
8-Aug-14	12-Aug-14	Equity	AIA	AIA Engineering	AIA IN Equity	225,000	780	INR	B	350,989	175,494	0	CS
11-Aug-14	13-Aug-14	Equity	AIA	AIA Engineering	AIA IN Equity	90,000	782	INR	B	140,740	70,370	0	CS
18-Aug-14	20-Aug-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	181,350	154	INR	S	55,856	27,928	0	AX
22-Aug-14	26-Aug-14	Equity	AIA	AIA Engineering	AIA IN Equity	48,210	875	INR	B	84,358	42,179	0	MO
25-Aug-14	27-Aug-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	155,950	149	INR	S	46,324	23,162	0	AX
28-Aug-14	2-Sep-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	101,500	1,275	INR	S	258,825	129,413	0	MS
2-Sep-14	4-Sep-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	122,192	260	INR	S	63,542	31,771	0	MS
3-Sep-14	5-Sep-14	Equity	PVR	PVR Limited	PVRL IN Equity	76,500	720	INR	S	110,161	55,081	0	AX
3-Sep-14	5-Sep-14	Equity	PVR	PVR Limited	PVRL IN Equity	200,000	720	INR	S	288,000	144,000	0	AX
4-Sep-14	8-Sep-14	Equity	KAJAR	Kajaria Ceramics	KJC IN Equity	45,000	675	INR	B	64,933	30,371	0	KO
5-Sep-14	9-Sep-14	Equity	BHAR	Bharti Infratel	0.000	100,704	281	INR	B	56,514	28,258	0	MS
5-Sep-14	9-Sep-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	900,000	150	INR	S	269,100	134,550	0	AX
8-Sep-14	10-Sep-14	Equity	BHAR	Bharti Infratel	0.000	193,642	292	INR	B	113,238	56,619	0	MS
8-Sep-14	10-Sep-14	Equity	BHAR	Bharti Infratel	0.000	92,700	290	INR	B	53,767	26,883	0	AX
8-Sep-14	10-Sep-14	Equity	AIA	AIA Engineering	AIA IN Equity	27,000	965	INR	B	52,086	26,044	0	MO
9-Sep-14	11-Sep-14	Equity	BHAR	Bharti Infratel	0.000	99,450	292	INR	B	58,146	29,073	0	MS
9-Sep-14	11-Sep-14	Equity	NAUKRI	Info Edge Ltd	INFOE IN Equity	299,250	740	INR	B	0	0	0	CLSA
10-Sep-14	12-Sep-14	Equity	BHAR	Bharti Infratel	0.000	112,105	284	INR	B	63,726	31,862	0	MS
15-Sep-14	17-Sep-14	Equity	PVR	PVR Limited	PVRL IN Equity	95,258	740	INR	S	140,982	70,491	0	MO

Steadview Transactions Greater Than $1K in CY 2014

Trade Date	Settle Date	Type	Security Code	Security Name	Bloomberg Code	Qty	Gross Rate (local curr)	Trade currency	Buy/Sell	Brokerage INR	Local fee (STT/SEC)	GOF fee $	Broker
15-Sep-14	17-Sep-14	Equity	PVR	PVR Limited	PVRL IN Equity	99,693	740	INR	S	147,546	73,773	0	CLSA
16-Sep-14	18-Sep-14	Equity	BHAR	Bharti Infratel	0.000	142,400	301	INR	B	85,600	42,800	0	CLSA
17-Sep-14	19-Sep-14	Equity	BHAR	Bharti Infratel	0.000	158,314	300	INR	B	95,135	47,567	0	CLSA
18-Sep-14	22-Sep-14	Equity	BHAR	Bharti Infratel	0.000	187,239	307	INR	B	114,945	57,473	0	CLSA
22-Sep-14	24-Sep-14	Equity	BHAR	Bharti Infratel	0.000	100,000	301	INR	B	60,212	30,106	0	MS
7-Oct-14	9-Oct-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	187,684	164	INR	S	61,630	30,814	0	MS
10-Oct-14	14-Oct-14	Equity	PVR	PVR Limited	PVRL IN Equity	94,121	620	INR	S	116,710	72,780	0	AX
10-Oct-14	14-Oct-14	Equity	PVR	PVR Limited	PVRL IN Equity	201,479	603	INR	S	242,988	151,527	0	AX
27-Oct-14		Private	OLA	ANI Technologies		111	547,000	INR	B	0	0	0	
29-Oct-14	31-Oct-14	Equity	BHAR	Bharti Infratel	0.000	133,291	290	INR	S	77,249	38,624	0	MS
29-Oct-14	31-Oct-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	33,962	1,352	INR	S	91,834	45,917	0	MS
29-Oct-14	31-Oct-14	Equity	BHAR	Bharti Infratel	0.000	1,007,628	288	INR	S	580,414	290,207	0	MS
30-Oct-14	3-Nov-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	22,802	1,352	INR	S	61,657	30,828	0	MS
31-Oct-14	5-Nov-14	Equity	BHAR	Bharti Infratel	0.000	130,127	292	INR	S	75,932	37,966	0	MS
31-Oct-14	5-Nov-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	176,261	281	INR	S	99,107	49,554	0	MS
5-Nov-14	10-Nov-14	Equity	SYMP	Symphony	SYML IN Equity	79,534	1,932	INR	B	291,921	153,643	0	AM
7-Nov-14	11-Nov-14	Equity	LAOP	La Opala	LOG IN Equity	63,159	456	INR	B	54,773	28,828	0	AM
11-Nov-14	13-Nov-14	Equity	SYMP	Symphony	SYML IN Equity	25,072	1,924	INR	B	91,653	48,238	0	AM
11-Nov-14	13-Nov-14	Equity	EICHER	Eicher Motors	EIM IN Equity	2,613	13,000	INR	S	67,938	41,946	0	MS
11-Nov-14	13-Nov-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	21,660	1,320	INR	S	57,186	35,308	0	MS
11-Nov-14	13-Nov-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	85,350	277	INR	S	47,199	29,141	0	MS
11-Nov-14	13-Nov-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	23,519	1,320	INR	S	62,090	38,336	0	MS
12-Nov-14	14-Nov-14	Equity	EICHER	Eicher Motors	EIM IN Equity	4,204	13,122	INR	S	110,334	68,122	0	MS
13-Nov-14	17-Nov-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	223,156	165	INR	S	73,641	45,468	0	MS
14-Nov-14	18-Nov-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	21,721	1,300	INR	S	56,475	34,868	0	MS
14-Nov-14	18-Nov-14	Equity	EICHER	Eicher Motors	EIM IN Equity	2,600	13,500	INR	S	70,202	43,344	0	MS
18-Nov-14	20-Nov-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	21,696	1,300	INR	S	56,410	34,829	0	MS
20-Nov-14	24-Nov-14	Equity	AIA	AIA Engineering	AIA IN Equity	20,560	1,141	INR	B	50,140	23,452	0	KO
21-Nov-14	25-Nov-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	158,356	175	INR	S	55,425	34,220	0	MS
26-Nov-14	28-Nov-14	Equity	JDL	JustDial Limited	JUST IN Equity	20,562	1,587	INR	S	65,278	40,304	0	MS
26-Nov-14	28-Nov-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	151,067	284	INR	S	85,725	52,929	0	MS
27-Nov-14	1-Dec-14	Equity	EICHER	Eicher Motors	EIM IN Equity	2,277	14,342	INR	S	65,313	40,325	0	MS
27-Nov-14	1-Dec-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	42,872	1,441	INR	S	123,523	76,266	0	MS
27-Nov-14	1-Dec-14	Equity	JDL	JustDial Limited	JUST IN Equity	15,183	1,565	INR	S	47,531	29,346	0	MS
27-Nov-14	1-Dec-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	241,500	170	INR	S	81,936	50,589	0	MS

Steadview Transactions Greater Than $1K in CY 2014

Trade Date	Settle Date	Type	Security Code	Security Name	Bloomberg Code	Qty	Gross Rate (local curr)	Trade currency	Buy/Sell	Brokerage INR	Local fee (STT/SEC)	GOF fee $	Broker
28-Nov-14	2-Dec-14	Equity	EICHER	Eicher Motors	EIM IN Equity	2,201	14,527	INR	S	63,949	39,483	0	MS
28-Nov-14	2-Dec-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	20,853	1,444	INR	S	60,235	37,190	0	MS
1-Dec-14	3-Dec-14	Equity	EICHER	Eicher Motors	EIM IN Equity	4,399	14,580	INR	S	128,277	79,200	0	MS
1-Dec-14	3-Dec-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	151,968	283	INR	S	86,100	53,161	0	MS
1-Dec-14	3-Dec-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	25,427	1,250	INR	S	63,571	39,249	0	MS
1-Dec-14	3-Dec-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	72,883	1,435	INR	S	209,183	129,153	0	MS
1-Dec-14	3-Dec-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	157,649	167	INR	S	52,765	32,579	0	MS
2-Dec-14	4-Dec-14	Equity	EICHER	Eicher Motors	EIM IN Equity	3,130	14,382	INR	S	90,029	55,585	0	MS
2-Dec-14	4-Dec-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	37,804	1,456	INR	S	110,076	67,963	0	MS
2-Dec-14	4-Dec-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	234,032	168	INR	S	78,646	48,557	0	MS
3-Dec-14	5-Dec-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	28,643	1,435	INR	S	82,189	50,746	0	MS
3-Dec-14	5-Dec-14	Equity	JDL	JustDial Limited	JUST IN Equity	19,074	1,582	INR	S	60,343	37,258	0	MS
3-Dec-14	5-Dec-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	432,974	287	INR	S	248,579	153,477	0	MS
4-Dec-14	8-Dec-14	Equity	EICHER	Eicher Motors	EIM IN Equity	7,175	15,399	INR	S	220,973	136,434	0	MS
4-Dec-14	8-Dec-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	33,130	1,406	INR	S	93,155	57,515	0	MS
4-Dec-14	8-Dec-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	897,203	175	INR	S	314,855	194,393	0	MS
4-Dec-14	8-Dec-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	634,373	284	INR	S	360,138	222,356	0	MS
4-Dec-14	8-Dec-14	Equity	KPIT	KPIT Technologi	KPIT IN Equity	896,318	173	INR	S	310,108	191,467	0	MS
5-Dec-14	9-Dec-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	26,364	1,250	INR	S	65,910	40,694	0	MS
5-Dec-14	9-Dec-14	Equity	MOTHER	Motherson Sumi	MSS IN Equity	148,223	283	INR	S	83,767	51,720	0	MS
9-Dec-14	11-Dec-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	45,610	1,215	INR	S	110,832	68,430	0	MS
12-Dec-14	16-Dec-14	Equity	ECLX	Eclerx Services	ECLX IN Equity	23,074	1,200	INR	S	55,378	34,191	0	MS
18-Dec-14	22-Dec-14	Equity	EICHER	Eicher Motors	EIM IN Equity	4,910	14,259	INR	S	140,027	86,455	0	MS
18-Dec-14	22-Dec-14	Equity	JBFW	Jubilant Foodwor	JUBI IN Equity	22,872	1,322	INR	S	60,472	37,337	0	MS

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Reporting Individual's Name: RICHARD BLUMENTHAL

[X] Amendment

PART IV. TRANSACTIONS

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

Identification of Assets		Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 $15,000	$15,001 $50,000	$50,001 $100,000	$100,001 $250,000	$250,001 $500,000	$500,001 $1,000,000	Over $1,000,000***	$1,000,001 $5,000,000	$5,000,001 $25,000,000	$25,000,001 $50,000,000	Over $50,000,000
Example: S, DC, OR J	*IBM Corp. (stock) NYSE*	*X*			*2/1/1X*		X			E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC		*X*		*1/27/1X*				X	E	X	A	M	P	L	E
1 S	Peter L. Malkin Family 9 LLC:															
2 S	Plia	X			6/16/2014				X							
3 S	RRE Ventures VI, LP	X			5/30/2014		X									
4 S	Trellus Partners		X		12/1/2014			X								
5 S	BTG Estre Pedreira (Iron Fundo De Investimento)	X			11/28/2014					X						
6 S	3M's Partners LLC DC Capital Partners		X		12/31/2014		X									
7 S	3M's Partners LLC Trellus Partners		X		12/1/2014					X						
8																
9 S	CMB 2009 GRAT Peter L. Malkin Family 9 LLC:															
10 S	Plia	X			6/16/2014			X								
11 S	RRE Ventures VI, LP	X			5/30/2014	X										
12 S	Trellus Partners		X		12/1/2014	X										
13 S	BTG Estre (Iron Fundo De Investimento)	X			11/28/2014			X								
14 S	3M's Partners LLC DC Capital Partners		X		12/31/2014	X										
15 S	3M's Partners LLC Trellus Partners		X		12/1/2014				X							
16																

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

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

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Reporting Individual's Name: RICHARD BLUMENTHAL

[X] Amendment

PART IV. TRANSACTIONS

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

		Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 $15,000	$15,001 $50,000	$50,001 $100,000	$100,001 $250,000	$250,001 $500,000	$500,001 $1,000,000	Over $1,000,000***	$1,000,001 $5,000,000	$5,000,001 $25,000,000	$25,000,001 $50,000,000	Over $50,000,000
Example: S, DC, OR J		*IBM Corp. (stock) NYSE*	*X*			*2/1/1X*		X			E	X	A	M	P	L	E
		(DC) Microsoft (stock) NASDAQ/OTC		*X*		*1/27/1X*				X	E	X	A	M	P	L	E
17	S	3M's Partners LLC:															
18	S	DC Capital Partners		X		12/31/2014		X									
19	S	Trellus Partners		X		12/1/2014				X							
20																	
21	S	Peter L. Malkin Family 2000 LLC:															
22	S	DC Capital Partners		X		12/31/2014					X						
23	S	U. S. Shanghai, LLC	X			8/7/2014		X									
24	S	Kinrose Fund, LP	X			5/15/2014							X				
25	S	Conticoffee	X			7/29/2014					X						
26	S	ZM Capital Niagara Investment	X			5/21/2014		X									
27	S	Trellus Partners		X		12/1/2014						X					
28																	
29	S	EOAGT, LLC (Owned by CMB 2012 GST):															
30	S	Conticoffee	X			7/29/2014				X							
31	S	Kinrose Fund, LP	X			5/15/2014						X					
32																	

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

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

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Reporting Individual's Name: RICHARD BLUMENTHAL

[X] Amendment

PART IV. TRANSACTIONS

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

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 $15,000	$15,001 $50,000	$50,001 $100,000	$100,001 $250,000	$250,001 $500,000	$500,001 $1,000,000	Over $1,000,000***	$1,000,001 $5,000,000	$5,000,001 $25,000,000	$25,000,001 $50,000,000	Over $50,000,000
Example: S, DC, OR J	*IBM Corp. (stock) NYSE*	*X*			*2/1/1X*		X			E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC		*X*		*1/27/1X*				X	E	X	A	M	P	L	E
33 S	RCB Investment Partners	X			12/31/2014						X					
34																
35 DC	Claire Blumenthal 2012 Trust RCB Investment Partners	X			12/31/2014							X				
36																
37	Vanguard GNMA Fund		X		1/23/2014							X				
38	Rockefeller Intermediate Tax Exempt Nation Bond Fd	X			1/23/2014					X						
39	Rockefeller Libra Fund LP	X			1/23/2014						X					
40																
41																
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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three part test for exemption described in the instructions, please check box to the right. [X]

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