UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

☐ Amendment

Last Name	First Name and Middle Initial	Annual Report	
Blumenthal	Richard	Calendar Year Covered by Report: 2018	Senate Office / Agency in Which Employed: United States Senate
Senate Office Address (Number, Street, City, State, and ZIP Code)	**Senate Office Telephone Number *(Include Area Code)***	**Termination Report**	
706 Hart Office Building US Senate- Washington, DC 20510	202-224-2823	Termination Date (mm/dd/yy): N/A	Prior Office / Agency in Which Employed: N/A

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

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

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

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

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

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

	Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
Example:	*3/26/1X*	*Association of American Associations*	*Wash., DC* **EXAMPLE**	*Speech* **EXAMPLE**	*$1,000*
	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	2/3/18	John Nelson, payment to Avon Theatre 11th Anniversary Red Carpet Gala	Greenwich, CT	Appearance	$2000.00
2	2/3/18	M.E. Kjaemested, payment to Avon Theatre 11th Anniversary Red Carpet Gala	Greenwich, CT	Appearance	$2000.00
3	2/3/18	Patricia Chadwick, payment to Avon Theatre 11th Anniversary Red Carpet Gala	Old Greenwich, CT	Appearance	$2000.00
4	2/3/18	Wendy Stapleton, payment to Avon Theatre 11th Anniversary Red Carpet Gala	Greenwich, CT	Appearance	$2000.00
5	2/3/18	James Torrey, payment to Avon Theatre 11th Anniversary Red Carpet Gala	Westport, CT	Appearance	$2000.00
6	2/3/18	Sue Baker, payment to Avon Theatre 11th Anniversary Red Carpet Gala	Riverside, CT	Appearance	$2000.00
7	2/3/18	Marc & Susan Peyser, Temple Beth El 2018 Annual "Temple Rock" Benefit Event	Stamford, CT	Appearance	$1500.00
8	3/18/18	Gary & Nancy Oberst, Congregation Beth El 2018 Annual Gala and Silent Auction	Norwalk, CT	Appearance	$600.00
9	3/24/18	Lisa & Jepp Popper, Jewish Community Center of Stamford 2018 Annual Spring Gala	New York, NY	Appearance	$2000.00
10	3/24/18	Rachel & Mark Sherman, Jewish Community Center of Stamford 2018 Annual Spring Gala	Stamford, CT	Appearance	$2000.00
11	3/24/18	Karen & Jon Malkin, Jewish Community Center of Stamford 2018 Annual Spring Gala	Stamford, CT	Appearance	$2000.00
12	3/24/18	Alissa Wool & Peter Weisel, Jewish Community Center of Stamford 2018 Annual Spring Gala	Stamford, CT	Appearance	$2000.00
13	4/4/18	Melissa Bazar, Planned Parenthood of Southern New England 2018 Annual Benefit Luncheon	Old Greenwich, CT	Appearance	$200.00
14	4/6/18	C.Edward 'Chuck' & Karen I. Chaplin, YWCA Greenwich 2018 'Live Laugh Love' Annual Gala	Greenwich, CT	Appearance	$2000.00

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

Reporting Individual's Name: Richard Blumenthal

PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA

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

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Example:	*3/26/1X*	*Association of American Associations*	*Wash., DC* **EXAMPLE**	*Speech* **EXAMPLE**	*$1,000*
	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	4/6/18	Michael & Deborah Grissmer, Women's Center of Greater Danbury 2018 Annual Gala Benefit	Ridgefield, CT	Appearance	$450.00
2	4/14/18	Kelli, Brandon, Kyle, & Courtney Lorey, Interval House 2018 Annual 'Step Up and Step Out' Gala	Glastonbury, CT	Appearance	$800.00
3	4/21/18	Carol Zelenz, Cos Cob Fire Police Patrol, 5th Annual Benefit Event	Greenwich, CT	Appearance	$600.00
4	4/21/18	Bill & Elise Bucknall, University of New Haven 35th Annual Alumni Scholarship Ball	North Palm Beach, FL	Appearance	$2000.00
5	4/21/18	Gail & Kevin Myatt, University of New Haven 35th Annual Alumni Scholarship Ball	Branford, CT	Appearance	$2000.00
6	4/21/18	Jeff Hazell & Ericka Dunlap, University of New Haven 35th Annual Alumni Scholarship Ball	Orlando, FL	Appearance	$2000.00
7	4/21/18	Tamera & Charlie Pompea, University of New Haven 35th Annual Alumni Scholarship Ball	Hobe Sound, FL	Appearance	$2000.00
8	4/21/18	Allie Schieffelin, University of New Haven 35th Annual Alumni Scholarship Ball	New Haven, CT	Appearance	$2000.00
9	4/28/18	Bob Hensley, Hartford Symphony Orchestra 2018 Annual 'Bravo' Gala Benefit	Simsbury, CT	Appearance	$2000.00
10	4/28/18	Joseph Spada, Hartford Symphony Orchestra 2018 Annual 'Bravo' Gala Benefit	West Simsbury, CT	Appearance	$2000.00
11	4/28/18	Ed Shirley, Hartford Symphony Orchestra 2018 Annual 'Bravo' Gala Benefit	Farmington, CT	Appearance	$2000.00
12	4/28/18	Lynn & Steve Erie; Karl & Muriel Fleishmann, Hartford Symphony Orchestra 2018 Annual 'Bravo' Gala Benefit	Avon, CT	Appearance	$2000.00
13	4/28/18	John DePalma, Habitat for Humanity of Coastal Fairfield County 2018 Annual Benefit Event	Stamford, CT	Appearance	$1000.00
14	4/29/18	Rhoda & Avram Freedberg, Jewish Family Service of Fairfield County 2018 Annual 'Evening with Schoke JFS' Benefit Event	Stamford, CT	Appearance	$1000.00

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Reporting Individual's Name: Richard Blumenthal

PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA

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	Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
Example:	*3/26/1X*	*Association of American Associations*	*Wash., DC* **EXAMPLE**	*Speech* **EXAMPLE**	*$1,000*
	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	5/5/18	Robert, Gina, Kelley, & Matthew Flynn, Fairfield College Preparatory School 2018 Annual Auction Benefit	Westport, CT	Appearance	$2000.00
2	5/5/18	James & Michelle Smith, Fairfield College Preparatory School 2018 Annual Auction Benefit	Weston, CT	Appearance	$2000.00
3	5/5/18	Jon & Rachel Whitcomb, Fairfield College Preparatory School 2018 Annual Auction Benefit	New Canaan, CT	Appearance	$2000.00
4	5/5/18	Katie, Frank, Brooke, & Bass Bistrian, Child Guidance Center of Southwest Connecticut 2018 'Cinco de Derby' Annual Gala	Greenwich, CT	Appearance	$1500.00
5	5/11/18	Fadey (Fred), Marcus, & Lucas Dimyan; David Veber, Alzheimer's Association Connecticut Chapter 2018 'Celebrating Hope' Gala	Westport, CT	Appearance	$2000.00
6	5/12/18	Nora & Madison Grose, Bruce Museum 31st 'Jewel of the Jungle' Annual Gala	Greenwich, CT	Appearance	$2000.00
7	5/12/18	Gretchen, Lance, LJ, & Jack Bylow, Bruce Museum 31st 'Jewel of the Jungle' Annual Gala	Greenwich, CT	Appearance	$2000.00
8	5/12/18	Betsy Donovan & Ed Nolan, Bruce Museum 31st 'Jewel of the Jungle' Annual Gala	Stamford, CT	Appearance	$2000.00
9	5/12/18	Darrah Gleason & Bill Ford, Bruce Museum 31st 'Jewel of the Jungle' Annual Gala	Palm Beach, FL	Appearance	$2000.00
10	6/11/18	Dennis Ladd, Fairfield County Hospice House 3rd Annual Golf Classic	Stamford, CT	Appearance	$1250.00
11	6/13/18	Elizabeth, Sean & Caitlin McGovern; Judy Eckert, Girl Scouts of Connecticut 25th Annual Women of Merit Dinner	Bridgeport, CT	Appearance	$1500.00
12	6/22/18	Josie & Matt Amodeo, Greenwich Hospital 2018 'Under the Stars' Summer Gala	Riverside, CT	Appearance	$800.00
13	9/22/18	Daniel Johnson, Stamford Symphony Orchestra 2018	Stamford, CT	Appearance	$2000.00
14	9/23/18	Laura & Eric Paternot, Connecticut Institute for Refugees and Immigrants 2018 Centennial Gala	Bedford, NY	Appearance	$2000.00

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Click...to create an additional page for this part.

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

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

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

	Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
Example:	*3/26/1X*	*Association of American Associations*	*Wash., DC* **EXAMPLE**	*Speech* **EXAMPLE**	*$1,000*
	7/23/1X	*XYZ Magazine*	*NY, NY* **EXAMPLE**	*Article* **EXAMPLE**	*$500*
1	10/4/18	Carmine Furano, Glenville Volunteer Fire Department 2018 Annual David N. Theis Award Event	Greenwich, CT	Appearance	$1200.00
2	10/13/18	Rick Donner, Lockwood-Mathews Mansion Museum 2018 'Travel with the Victorians' Annual Gala	New York, NY	Appearance	$650.00
3	10/18/18	Frank Morsel, Jewish Senior Services 2018 Annual Gala	Easton, CT	Appearance	$2000.00
4	10/18/18	Mitchell Kornbilt, Jewish Senior Services 2018 Annual Gala	Wilton, CT	Appearance	$2000.00
5	10/20/18	Jacki Nemerov, Greenwich Hospital 2018 'Treasure' Annual Fall Gala	Greenwich, CT	Appearance	$2000.00
6	10/20/18	Joseph Kanarek, Greenwich Hospital 2018 'Treasure' Annual Fall Gala	Greenwich, CT	Appearance	$2000.00
7	10/27/18	Robert Trudel, East Elementary School 2018 Annual Fall Festival Silent Auction	New Canaan, CT	Appearance	$1000.00
8	10/30/18	Rosemary Ryan, Breast Cancer Alliance 2018 Annual Benefit Luncheon	Greenwich, CT	Appearance	$1100.00
9	11/3/18	Stephen A. Smith, Kennedy Center 2018 Annual "Four Seasons' Ball	Shelton, CT	Appearance	$500.00
10	11/18/18	Elyse Harney Morris, Housatonic Valley Association 2018 Annual Auction for the Environment	Salisbury, CT	Appearance	$2000.00
11	12/6/18	Jennifer Boyd, Women's Business Development Council 2018 Holiday Fundraiser	Norwalk, CT	Appearance	$800.00
12					
13					
14					

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Reporting Individual's Name

Richard Blumenthal

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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	60,048
2	Traditional IRA - Fidelity Management Trust Co - Custodian	Albuquerque, NM	IRA required min. dist.	3,230
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				

Reporting Individual's Name: Richard Blumenthal

☐ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:

(1) had a value exceeding $1,000 at the close of the reporting period; and/or

(2) generated over $200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B — Valuation of Assets

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

BLOCK C — Type and Amount of Income

	Block A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,001***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
	(S) *Keystone Fund*					X													X			*Example*	X											*Example*
1	S JPMorgan - Checking Account					X											X						X											
2	S JPMorgan - Asset Account - Money market								X										X									X						
3	S JPMorgan - Savings Account				X												X							X										
4	J Bank of America - Checking Account				X												X						X											
5	Bank of America - Checking Account (2)		X														X						X											
6	J JPMorgan - Asset Account - Money market		X																X				X											
7	Rockefeller Cash & Equivalents - SSGA Institutional Government Money Market - Money Market						X												X								X							
8	FPA New Income Inc (FPNIX- NASDAQ) - Mutual Fund (1)				X														X						X									
9	Rockefeller Intermediate Tax Exempt Nation Bond Fund - Fixed Income									X									X									X						
10	State of CT Retirement Division - Pension - Value Unascertainable																																	

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

☐ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

BLOCK A
Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

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

BLOCK C
Type and Amount of Income

	Block A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Type of Income: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: 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 $1,000,001,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
	(S) Keystone Fund					X													X			*Example*	X											*Example*
1	S Fidelity Traditional IRA - FID Intermediate Bond Fund			X															X				X											
2	Fidelity Traditional IRA - FID Intermediate Bond Fund				X														X				X											
3																																		
4																																		
5																																		
6																																		
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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. ☐
*** 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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PART IIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets											BLOCK C Type of Income								BLOCK C Amount of Income										
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding $1,000 at the close of the reporting period; and/or (3) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	1	3 M'S PARTNERS c/o Malkin Holdings LLC - New York, NY:																														
S	2	JP Morgan - Cash & Sweep Account - Newark, DE					X							X												X						
S	3	JP Morgan Savings Account - Newark, DE (2)	X													X								X								
S	4	ELCM2 LLC - Partnership - New York, NY (1)(3)								X												X										
S	5	Blue Ridge Limited Partnership - Hedge Fund - New York, NY (9)			X													X										X				
S	6	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X											X		X	X						X									
S	7	NEW THINGS PARTNERS LLC c/o Malkin Holdings LLC - New York, NY:																														
S	8	JP Morgan - Cash & Sweep Account - Newark, DE			X									X		X							X									
S	9	Centerstate Bank Corporation (CSFL- NASDAQ) - Stock - Davenport, FL (4)	X											X			X						X									
S	10	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																														
S	11	*JP Morgan - Cash & Sweep Account - Newark, DE*			X									X									X									
S	12	*Aimmune Therapeutics Inc (AIMT- NASDAQ) - Stock - Brisbane, CA (2)(5)*	X														X						X									
S	13	*ELCM2 LLC - Partnership - New York, NY (1)(3)*			X																	X										
S	14	*Esperion Therapeutics Inc (ESPR- NASDAQ) - Stock - Ann Arbor, MI*	X														X						X									
S	15	*First Republic Bank (FRC- NYSE) - Stock - San Francisco, CA*				X								X									X									
S	16	*Transenterix Inc (TRXC- NYSE) - Stock - Morrisville, NC (6)*	X														X						X									
S	17	*3G Kraft Heinz Company Holdings - Private Equity - New York, NY*					X											X								X						
S	18	*3G Restaurant Brands Holdings LP - Private Equity - New York, NY*					X											X							X							
S	19	*3G Special Situations Fund IV, LP - Private Equity - New York, NY*			X													X						X								
S	20	*Aisling Capital II, LP - Private Equity - New York, NY*	X															X					X									
S	21	*Aisling Capital III, LP - Private Equity - New York, NY*		X														X							X							
S	22	*Aisling Capital IV, LP - Private Equity - New York, NY (3)*		X										X		X	X						X									
S	23	AEA Mezzanine Fund LP - Private Equity - Stamford, CT	X															X					X									
S	24	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)		X																		X										
S	25	Tinicum Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)		X																		X										
S	26	~~OTHER ONE LLC~~ c/o Malkin Holdings LLC - New York, NY																														
S	27	JP Morgan - Cash & Sweep Account - Newark, DE				X								X											X							
S	28	JP Morgan Savings Account - Newark, DE (2)	X													X									X							

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding $1,000 at the close of the reporting period; and/or (3) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	29	ELCM2 LLC - Partnership - New York, NY (1)(3)							X													X												
S	30	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X												X		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	Rockefeller Capital Management - New York, NY (3)								X					X		X	X											X					
S	34	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (lessthan .7 of 1%)				X									X			X									X							
S	35	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (less than .10 of 1%)	X															X								X								
S	36	**PETER L. MALKIN FAMILY 9 LLC c/o Malkin Holdings LLC, New York, NY**																																
S	37	JP Morgan - Cash & Sweep Account - Newark, DE							X						X		X												X					
S	38	JP Morgan Savings Account - Newark, DE (2)	X														X												X					
S	39	BTG Pactual Master Cash - Cash Account - Sao Paulo, Brazil (2)			X																	X												
S	40	Ability Reinsurance Holdings Limited - Common Stock - Bermuda		X																		X												
S	41	Fine Troy Ounces of Allocated Gold - Held at JP Morgan						X														X												
S	42	BR Properties S.A. - Real Estate Public Company (Stock) - Sao Paulo, Brazil					X								X									X										
S	43	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY							X						X											X								
S	44	ELCM2 LLC - Partnership - New York, NY (1)(3)								X					X		X						X											
S	45	Estre Ambiental Inc - (ESTR- NASDAQ) - Stock - Sao Paulo, Brazil (8)		X											X		X										X							
S	46	Golub BDC Inc. (GBDC - NASDAQ) - Stock - New York, NY				X									X			X									X							
S	47	BTG Pactual Master Cash - Fixed Income - SELIC LFT - Sao Paulo, Brazil			X													X												X				
S	48	**3 M'S PARTNERS c/o Malkin Holdings LLC - New York, NY:**																																
S	49	*JP Morgan - Cash & Sweep Account - Newark, DE*					X								X											X								
S	50	*JP Morgan Savings Account - Newark, DE (2)*	X														X										X							
S	51	*ELCM2 LLC - Partnership - New York, NY (1)(3)*								X					X		X						X											
S	52	*Blue Ridge Limited Partnership - Hedge Fund - New York, NY (9)*			X														X											X				
S	53	*Eton Park Fund, LP - Hedge Fund - New York, NY*		X															X			X												
S	54	*Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)*	X												X		X	X						X										
S	55	BTGP Access Ibiuna Hedge STH FC - Hedge Fund - Sao Paulo, Brazil (1)						X											X			X												
S	56	Blue Ridge Limited Partnership - Hedge Fund - New York, NY (9)			X														X											X				

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S	57	Consonance Capital Investors, LP - Hedge Fund - New York, NY						X										X				X											
S	58	Falcon Edge Global LP - Hedge Fund - New York, NY				X												X				X											
S	59	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X												X		X	X									X						
S	60	Parian Global US Fund LP - Hedge Fund - New York, NY (1)(3)					X								X		X	X							X								
S	61	Parian Global US Fund II LP - Hedge Fund - New York, NY (1)(3)								X					X		X	X									X						
S	62	Serengeti Lycaon Partners LP LP - Hedge Fund - New York, NY (1)(3)							X						X		X	X					X										
S	63	Steadview Capital Partners LP - Hedge Fund - London UK (3)							X						X		X	X										X					
S	64	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								X								X									X						
S	65	2006 Special Global Opportunities LLC - Private Equity - New York, NY (3)			X																	X											
S	66	930-DSIC 4 LLC - Private Equity - New York, NY (3)						X														X											
S	67	Xingo FIC FIA 360 - Private Equity - Sao Paulo, Brazil (1)(3)							X													X											
S	68	Amplo I LP - Private Equity - Spring, TX (1)(3)				X																X											
S	69	BTG Pactual Brazil Investment Fund I - Private Equity - Sao Paulo, Brazil (3)					X								X		X									X							
S	70	*Bodytech - Fitness centers - Rio de Janeiro, Brazil*																															
S	71	*Bravante - Maritime Support services - Rio de Janeiro, Brazil*																															
S	72	*CCRR Participacoes SA - Specialty paper, labels, & adhesives - Sao Paulo, Brazil*																															
S	73	*Estre Ambiental - Waste Management - Sao Paulo, Brazil*																															
S	74	*Universo Online - Online Services - Sao Paulo, Brazil*																															
S	75	C-3 Acquisition Co. LLC - Private Equity - New York, NY				X												X							X								
S	76	C-III Recovery Fund I, LP - Private Equity - New York, NY				X												X								X							
S	77	Consonance Bako Co-Invest Partners, LP - Private Equity - New York, NY					X											X				X											
S	78	Consonance Capital Investors, LP - Private Equity - New York, NY							X									X											X				
S	79	GEMS Fund, LP - Private Equity - New York, NY					X											X								X							
S	80	Golub Capital Partners 11, LP - Private Equity - New York, NY (1)			X													X							X								
S	81	GP Capital Partners III, LP - Private Equity - Sao Paulo, Brazil (3)			X																	X											
S	82	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																															
S	83	Hilltop Energy LLC - wholly owns Hilltop Asset,LLC - Dallas, TX (10)		X																		X											

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S	84	Island C-III Holdings LLC - Private Equity - New York, NY								X									X										X					
S	85	Island C-III Holdings II LLC - Private Equity - New York, NY					X												X								X							
S	86	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India					X												X								X							
S	87	Magma Fund II, LP - Private Equity - Sao Paulo, Brazil (3)		X																		X												
S	88	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																																
S	89	Missionpoint RE Community Coinvest Fund I, LP - Private Equity - Norwalk, CT (3)																				X												
S	90	*MPH Midco LLC - Clean Energy - Rutland, VT*		X																														
S	91	*MPH Energy Holdings LP - Clean Energy - Rutland, VT*			X																													
S	92	Missionpoint RE Community Coinvest Fund II, LP - Private Equity - Norwalk, CT (3)																				X												
S	93	*MPH Midco LLC - Clean Energy - Rutland, VT*		X																														
S	94	*MPH Energy Holdings LP - Clean Energy - Rutland, VT*			X																													
S	95	Missionpoint RE Community Coinvest Fund III, LP - Private Equity - Norwalk, CT (3)																				X												
S	96	*MPH Midco LLC - Clean Energy - Rutland, VT*		X																														
S	97	*MPH Energy Holdings LP - Clean Energy - Rutland, VT*			X																													
S	98	Palamon European Equity Fund II, LP - Private Equity - London, England				X												X									X							
S	99	Plia - Private Equity - Purchase, NY (10)					X															X												
S	100	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	101	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3)				X								X		X	X									X								
S	102	RRE Ventures III -A, LP - Private Equity - New York, NY (3)		X																		X												
S	103	RRE Ventures IV, LP - Private Equity - New York, NY (3)					X															X												
S	104	RRE Ventures V, LP - Private Equity - New York, NY (3)						X														X												
S	105	RRE Ventures VI, LP - Private Equity - New York, NY (3)						X														X												
S	106	RRE Ventures VII, LP - Private Equity - New York, NY (3)				X																X												
S	107	Skyhawk Therapeutics Inc. - Private Equity - Waltham, MA (1)(10)					X															X												
S	108	Tower Three Partners Fund II, LP - Private Equity - Greenwich, CT					X											X				X												
S	109	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																																

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S	110	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)				X										X	X											X						
S	111	*Residential Garden Apartments - Rochester Hills, MN*																																
S	112	*CVS Retail Store - Edison, NJ*																																
S	113	*CVS Retail Store - Painesville, OH*																																
S	114	Chicago Golf Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)	X												X	X	X											X						
S	115	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut and 3 real estate management companies								X									X											X				
S	116	Fairfax Merrifield Associates II - Residential Garden Apartments (Fee Position) - Fairfax, VA (10)					X								X	X												X						
S	117	Georgetown Apartment Associates - Residential Garden Apartments (lease position) - Shrewsbury, MO (10)							X						X	X													X					
S	118	Jefferson (Dixie) Associates, LLC - Commercial Retail - Louisville, KY (10)		X																		X												
S	119	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)		X																		X												
S	120	Malkin Co-Investor Capital LP - Fred F. French Building - New York, NY (10)		X																		X												
S	121	Malkin Foxfire LLC - Residential Garden Apartments - Rochester Hills, MI (10)		X												X	X						X											
S	122	Malkin Glen Oaks LLC - Residential Garden Apartments - Des Plaines, IL (10)	X												X	X	X							X										
S	123	Malkin Strategic Capital VI, LP - Real Estate - New York, NY (3)			X										X		X							X										
S	124	*Cash & Cash Equivalents - New York, NY*																																
S	125	*Loan Receivable - 777 LP/Uni-Penn for Commercial Office - Philadelphia, PA*																																
S	126	Malkin Support Fund LP - Real Estate - New York, NY:																																
S	127	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*			X														X				X											
S	128	*Loan Receivable from Kansas City Georgetown Associates – Merriam, KS*			X												X							X										
S	129	McKnight Road Associates LLC - Commercial Retail - Ross Township, PA (10)				X									X	X												X						
S	130	Merrifield Apartments Company II LLC - Residential Garden Apartments (lease position) - Fairfax, VA (10)						X							X	X	X												X					
S	131	Oceanside Hotel Investors LLC - Commercial Retail - Oceanside, CA (1)(10)							X													X												
S	132	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)		X											X	X							X											
S	133	Rochester River Oaks/Chicago Foxfire Apartments LLC - Residential Garden Apartments - Rochester Hills, MI (10)			X										X	X	X							X										

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S	134	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)			X										X	X									X									
S	135	Uniway Partners LP Malkin JV - Commercial Retail - New York, NY (10)	X												X	X											X							
S	136	U.S. Wertheim Associates LLC - Commercial Retail - Wertheim, Germany (10)						X								X											X							
S	137	Wilk Realty Company LLC - Commercial Retail - Monroeville, PA (10)	X												X	X									X									
S	138	PETER L. MALKIN FAMILY 2000 LLC c/o Malkin Holdings LLC, New York, NY:																																
S	139	JP Morgan - Cash & Sweep Account - Newark, DE								X					X		X													X				
S	140	JP Morgan Savings Account - Newark, DE (2)	X														X													X				
S	141	BTG Pactual Master Cash - Cash Account - Sao Paulo, Brazil (2)		X																		X												
S	142	Fine Troy Ounces of Allocated Gold - Held at JP Morgan								X												X												
S	143	BR Properties S.A. - Real Estate Public Company (Stock) - Sao Paulo, Brazil		X																		X												
S	144	BTG Pactual Master Cash Fixed Income - SELIC LFT - Sao Paulo, Brazil		X														X					X											
S	145	Centerstate Bank Corporation (CSFL- NASDAQ) - Stock - Davenport, FL (4)	X												X			X							X									
S	146	ELCM2 LLC - Partnership - New York, NY (1)(3)								X					X		X							X										
S	147	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY					X								X										X									
S	148	Blue Ridge Limited Partnership - Hedge Fund - New York, NY (9)					X											X												X				
S	149	Consonance Capital Investors, LP - Hedge Fund - New York, NY								X								X				X												
S	150	Eton Park Fund, LP - Hedge Fund - New York, NY		X														X				X												
S	151	Falcon Edge Global LP - Hedge Fund - New York, NY				X												X				X												
S	152	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X												X		X	X												X				
S	153	Parian Global US Fund LP - Hedge Fund - New York, NY (1)(3)							X						X		X	X									X							
S	154	Parian Global US Fund II LP - Hedge Fund - New York, NY (1)(3)								X					X		X	X											X					
S	155	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ	X															X					X											
S	156	Serengeti Lycaon Partners LP - Hedge Fund - New York, NY (1)(3)								X					X		X	X							X									
S	157	Steadview Capital Partners LP - Hedge Fund - London UK (1)(3)								X												X												
S	158	Valiant Capital Partners LP - San Francisco, CA (1)					X											X				X												
S	159	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																																
S	160	*JP Morgan - Cash & Sweep Account - Newark, DE*				X									X										X									
S	161	*Aimmune Therapeutics Inc (AIMT- NASDAQ) - Stock - Brisbane, CA (5)*	X														X							X										

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S	162	*ELCM2 LLC - Partnership - New York, NY (1)(3)*					X															X											
S	163	*Esperion Therapeutics Inc (ESPR- NASDAQ) - Stock - Ann Arbor, MI*	X														X								X								
S	164	*First Republic Bank (FRC- NYSE) - Stock - San Francisco, CA*						X							X										X								
S	165	*Transenterix Inc (TRXC- NYSE) - Stock - Morrisville, NC (6)*	X														X								X								
S	166	*3G Kraft Heinz Company Holdings - Private Equity - New York, NY*							X									X								X							
S	167	*3G Restaurant Brands Holdings LP - Private Equity - New York, NY*							X									X								X							
S	168	*3G Special Situations Fund IV, LP - Private Equity - New York, NY*					X											X							X								
S	169	*Aisling Capital II, LP - Private Equity - New York, NY*		X														X							X								
S	170	*Aisling Capital III, LP - Private Equity - New York, NY*			X													X								X							
S	171	*Aisling Capital IV, LP - Private Equity - New York, NY (3)*			X										X		X	X						X									
S	172	Amplo I LP - Private Equity - Spring, TX (1)(3)					X															X											
S	173	A-RH, A Series of A-ST Opportunity Funds LLC - Private Equity - Houston, TX (1)(10)						X														X											
S	174	BBH Capital Partners III, LP - Private Equity - New York, NY				X												X								X							
S	175	Brattle Point LLC - Private Equity - Cambridge, MA (1)(3)		X																		X											
S	176	ContiCoffee - Private Equity - New York, NY							X									X						X									
S	177	ContiCoffee Co-invest - Class B (Keurig Green Mountain Co-Invest) Private Equity - New York, NY					X											X					X										
S	178	ContiCoffee Co-Invest - Class D (Krispy Kreme Doughnuts Co- Invest) - Private Equity - New York, NY				X												X				X											
S	179	ContiCoffee Co-Invest - Class E - Private Equity - New York, NY					X											X					X										
S	180	ESO Capital Managers LP - Private Equity - London England (3)			X												X				Ordinary			X									2,348
S	181	European Special Opportunities Fund V FCP SIF - Private Equity - London England (3)							X								X				Ordinary						X						92,994
S	182	Gaivota LLC - Private Equity - Sao Paulo, Brazil (1)(10)			X																	X											
S	183	Generation Capital Partners Captivate - Private Equity - Greenwich, CT							X									X				X											
S	184	Generation Capital Partners PayActiv - Private Equity - Greenwich, CT (1)(10)						X														X											
S	185	Golub Capital Coinvestment, LP - Private Equity - New York, NY			X													X							X								
S	186	Golub Capital Partners VIII, LP - Private Equity - New York, NY	X															X							X								
S	187	Golub Capital Rollover Fund 2, LP - Private Equity - New York, NY (1)						X										X								X							

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S	188	GP Capital Partners III, LP - Private Equity - Sao Paulo, Brazil (3)		X																		X												
S	189	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																																
S	190	GP Capital Partners IV, LP - Private Equity - Sao Paulo, Brazil (3)			X																	X												
S	191	*San Antonio International Ltd - Energy - San Antonio, TX*																																
S	192	*Allis Participacoes S.A. - Staffing - Brazil*																																
S	193	*BHG S.A. - Hotel Management - Brazil*																																
S	194	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																																
S	195	*Lacteos Brasil S.A. - Dairy Company - Brazil*																																
S	196	GP Capital Partners V, LP - Private Equity - Sao Paulo, Brazil (3)			X																	X												
S	197	*Automotiva S.A. (Sascar) - Mobile resource management - Brazil*																																
S	198	*Cor Brasil, S.A. (Beleza Natural) - Beauty Institute - Brazil*																																
S	199	*Naomi S.A. (Centauro) - Retail- Brazil*																																
S	200	*Empresa Brasileira de Aggrecados Minerais - Minerals and Aggregates - Brazil*																																
S	201	Intercept Co-Investors - Class A1 units of Intercept Holdings (indirect holding of ITRenew) - Los Angeles, CA (3)				X																X												
S	202	Kashmir Holdings LLC - Private Equity - New York, NY (1)(3)					X															X												
S	203	Lucas Brand Equity Special Investment - MD Professional, LP - Manufacture & Sale of Personal Care Products - Private Equity - Southport, CT (3)					X															X												
S	204	Magma Fund, LP - Private Equity - Sao Paulo, Brazil (3)			X									X									X											
S	205	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																																
S	206	Magma Fund II, LP - Private Equity - Sao Paulo, Brazil (3)		X																		X												
S	207	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																																

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S	208	Palamon European Equity Fund II, LP - Private Equity - London, England				X												X										X						
S	209	PEM Holding Company - Penn Engineering & Manufacturing Common Stock - New York, NY (11)								X												X												
S	210	Revolution Venture II, LP - Private Equity - Washington, DC						X										X												X				
S	211	Rockefeller Access Fund 06-I, LLC - Private Equity - New York, NY (3)						X														X												
S	212	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3)			X											X	X										X							
S	213	SuR Trading SpA d/b/a Smiley Kids Foods - Private Equity - Santiago, Chile (1)(10)				X																X												
S	214	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)				X																X												
S	215	Tinicum Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)			X											X	X						X											
S	216	Tower Three Partners Fund II, LP - Private Equity - New York, NY					X											X				X												
S	217	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)		X																		X												
S	218	Vanterra Direct Wellnext LLC - Private Equity - New York, NY (3)			X												X													X				
S	219	*Wellnext Holdings, LLC - Middle Market Companies in Health & Nutritional Product Sector*																																
S	220	Vanterra HPH Wellnext LP - Private Equity - New York, NY (3)				X											X													X				
S	221	*HPH Specialized Fund I, LP - Solely invested in Wellnext Holdings, LLC (see Line 195)*																																
S	222	*MW General Partners, LP - GP Interest in HPH Specialized Fund I*																																
S	223	ZM Alloy Digital Investment, LP - Private Equity - New York, NY (2)	X															X									X							
S	224	ZM Capital CRT Investment, LP - Private Equity - New York, NY		X														X					X											
S	225	ZM Capital Niagara Investment (Cayman) LP - Private Equity - New York, NY				X												X				X												
S	226	ZMC II, LP - Private Equity - New York, NY					X											X				X												
S	227	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																																
S	228	ARSA Associates - Real Estate - New York, NY						X														X												
S	229	*BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)*																																
S	230	BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)						X														X												
S	231	Broadway/72nd Associates II PLM JV - Commercial Office Building - New York, NY (10)							X						X	X	X													X				
S	232	Chicago Golf Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)	X												X	X	X							X										
S	233	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut and 3 real estate management companies							X									X												X				
S	234	Georgetown Apartment Associates - Residential Garden Apartments (lease position) - Shrewsbury, MO (10)						X							X	X												X						

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S	235	Greenwich Retail, LLC - Commercial Retail - Greenwich, CT (10)			X										X	X									X									
S	236	Peter L. Malkin Joint Venture in KMO-361 Realty Associates, LLC - Retail Shopping Centers - Locations below (3)								X					X	X	X													X				
S	237	*St. Davids, PA*																																
S	238	*Manhasset, NY*																																
S	239	*Paramus, NJ*																																
S	240	Malkin Co-Investor Capital LP - Fred F. French Building - New York, NY (10)			X										X	X	X							X										
S	241	Malkin Greenwich Retail LLC - Commercial Retail - Greenwich, CT (10)			X											X	X							X										
S	242	Malkin Industrial Partners I, LP - Warehouse Distribution Building - Location Below (3)		X												X	X	X						X										
S	243	*Philadelphia, PA*																																
S	244	Monroeville Self-Service - Commercial Retail (lease position) - Monroeville, PA (10)	X													X							X											
S	245	New Soundview Plaza Associates, LP - Retail Stores - Westport, CT (10)						X							X	X											X							
S	246	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)		X											X	X							X											
S	247	Rochester River Oaks/Chicago Foxfire Apartments LLC - Residential Garden Apartments - Rochester Hills, MI (10)			X										X	X	X							X										
S	248	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)			X											X	X							X										
S	249	U.S. Bicester LP - Commercial Retail - Oxfordshire, England (10) (14)								X						X	X											X						
S	250	U.S. Bicester II LLC - Commercial Retail - Oxfordshire, England (10) (14)							X							X	X										X							
S	251	U.S. Dublin LLC - Commercial Retail - Dublin, Ireland (10) (13)						X								X							X											
S	252	U.S. La Roca LLC - Commercial Retail - Barcelona, Spain (10) (13)								X						X	X											X						
S	253	U.S. Maasmechelen LLC - Commercial Retail - Maasmechelen, Belgium (10) (13)				X												X											X					
S	254	U.S. Madrid LLC - Commercial Retail - Madrid, Spain (10) (13)								X						X	X									X								
S	255	U.S. Munich LLC - Commercial Retail - Munich, Germany (10) (13)								X						X										X								
S	256	U.S. Paris LLC - Commercial Retail - Paris, France (10) (13)								X						X	X												X					
S	257	U.S. Shanghai LLC - Commercial Retail - Shanghai, China (10) (13)				X																X												
S	258	U.S. Suzhou LLC - Commercial Retail - Suzhou, China (10) (13)				X																X												

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S	259	Larrymae Partners LLC c/o Malkin Holdings LLC, New York, NY																																
S	260	JP Morgan - Cash & Sweep Account - Newark, DE						X							X		X										X							
S	261	JP Morgan Savings Account - Newark, DE (2)	X														X										X							
S	262	ELCM2 LLC - Partnership - New York, NY (1)(3)								X					X		X						X											
S	263	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY								X					X												X							
S	264	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X												X		X	X											X					
S	265	Parian Global US Fund II LP - Hedge Fund - New York, NY (1)(3)								X					X		X	X									X							
S	266	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																																
S	267	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut and 3 real estate management companies								X									X											X				
S	268	Fairfax Merrifield Associates II - Residential Garden Apartments (Fee Position) - Fairfax, VA (10)						X								X											X							
S	269	Georgetown Apartment Associates - Residential Garden Apartments (lease position) - Shrewsbury, MO (10)						X								X											X							
S	270	Jefferson (Dixie) Associates, LLC - Commercial Retail - Louisville, KY (10)		X																		X												
S	271	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)		X																		X												
S	272	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)						X								X											X							
S	273	Magnifique LLC c/o Malkin Holdings LLC, New York, NY																																
S	274	JP Morgan - Cash & Sweep Account - Newark, DE						X							X		X									X								
S	275	Blue Ridge Limited Partnership - Hedge Fund - New York, NY (9)		X															X										X					
S	276	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X												X		X	X								X								
S	277	Parian Global US Fund LP - Hedge Fund - New York, NY (1)(3)						X							X		X	X								X								
S	278	Parian Global US Fund II LP - Hedge Fund - New York, NY (1)(3)							X						X		X	X								X								
S	279	Map of Agriculture Group LTD - Private Equity - Woodbridge, UK (1)(10)					X															X												
S	280	Vanterra Accelerator Fund, LP - Private Equity - New York, NY (1)(3)			X																	X												
S	281	Hedge Holdings LLC c/o Malkin Holdings LLC, New York, NY																																
S	282	JP Morgan - Cash & Sweep Account - Newark, DE					X								X		X										X							
S	283	ELCM2 LLC - Partnership - New York, NY (1)(3)							X													X												
S	284	Blue Ridge Limited Partnership - Hedge Fund - New York, NY (9)			X														X											X				
S	285	Consonance Capital Investors, LP - Hedge Fund - New York, NY								X									X			X												

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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S	286	Eton Park Fund, LP - Hedge Fund - New York, NY		X															X				X											
S	287	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X												X		X	X										X						
S	288	Parian Global US Fund LP - Hedge Fund - New York, NY (1)(3)								X					X		X	X										X						
S	289	Parian Global US Fund II LP - Hedge Fund - New York, NY (1)(3)								X					X		X	X											X					
S	290	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA						X											X							X								
S	291	Malkin Strategic Capital VI, LP - Real Estate - New York, NY (3)			X												X					Ordinary			X									4570
S	292	*Cash & Cash Equivalents - New York, NY*																																
S	293	*Loan Receivable - 777 LP/Uni-Penn for Commercial Office - Philadelphia, PA*																																
S	294	Summa LLC c/o Malkin Holdings LLC, New York, NY																																
S	295	JP Morgan - Cash & Sweep Account - Newark, DE					X																X											
S	296	JP Morgan Savings Account - Newark, DE (2)	X														X							X										
S	297	Centerstate Bank Corporation (CSFL- NASDAQ) - Stock - Davenport, FL (4)	X												X			X							X									
S	298	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																																
S	299	*JP Morgan - Cash & Sweep Account - Newark, DE*					X								X											X								
S	300	*Aimmune Therapeutics Inc (AIMT- NASDAQ) - Stock - Brisbane, CA (5)*	X															X							X									
S	301	*ELCM2 LLC - Partnership - New York, NY (1)(3)*						X															X											
S	302	*Esperion Therapeutics Inc (ESPR- NASDAQ) - Stock - Ann Arbor, MI*	X															X								X								
S	303	*First Republic Bank (FRC- NYSE) - Stock - San Francisco, CA*							X						X											X								
S	304	*Transenterix Inc (TRXC- NYSE) - Stock - Morrisville, NC (6)*	X															X								X								
S	305	*3G Kraft Heinz Company Holdings - Private Equity - New York, NY*								X									X									X						
S	306	*3G Restaurant Brands Holdings LP - Private Equity - New York, NY*								X									X								X							
S	307	*3G Special Situations Fund IV, LP - Private Equity - New York, NY*						X											X							X								
S	308	*Aisling Capital II, LP - Private Equity - New York, NY*		X															X							X								
S	309	*Aisling Capital III, LP - Private Equity - New York, NY*				X													X								X							
S	310	*Aisling Capital IV, LP - Private Equity - New York, NY (3)*				X									X		X	X							X									
S	311	GP Capital Partners III, LP - Private Equity - Sao Paulo, Brazil (3)			X										X		X							X										
S	312	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																																
S	313	GP Capital Partners IV, LP - Private Equity - Sao Paulo, Brazil (3)			X																		X											

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S	314	*San Antonio International Ltd - Energy - San Antonio, TX*																															
S	315	*Allis Participacoes S.A. - Staffing - Brazil*																															
S	316	*BHG S.A. - Hotel Management - Brazil*																															
S	317	*Magnestia Refratarios SA - Manufacturer of refractory material - Brazil*																															
S	318	*Lacteos Brasil S.A. - Dairy Company - Brazil*																															
S	319	Mission Point Capital Partners Fd I - Private Equity - New York, NY (3)																				X											
S	320	*MPH Midco LLC - Clean Energy - Rutland, VT*		X																													
S	321	*MPH Energy Holdings LP - Clean Energy - Rutland, VT*		X																													
S	322	*Trilliant Inc. - Energy - Canada*				X																											
S	323	PEM Holding Company - Penn Engineering & Manufacturing Common Stock - New York, NY (11)							X													X											
S	324	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)				X																X											
S	325	Tower Three Partners Fund II, LP - Private Equity - New York, NY						X										X								X							
S	326	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)		X																		X											
S	327	PLM/CMB 2001 Trust c/o Malkin Holdings LLC, New York, NY																															
S	328	JP Morgan - Cash & Sweep Account - Newark, DE			X																	X											
S	329	RCB Investment Partners LLC - Partnership - New York, NY:																															
S	330	*Rockefeller Capital Management - New York, NY (3)*							X					X	X	X											X						
S	331	*Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (less than .7 of 1%)*				X								X		X										X							
S	332	*Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (less than .10 of 1%)*	X													X											X						
S	333	Loan Receivable - BBSF LLC - Stamford, CT (10)							X						X												X						
S	334	EOAGT, LLC (Owned by CMB 2012 GST) c/o Malkin Holdings LLC, New York, NY																															
S	335	JP Morgan - Cash & Sweep Account - Newark, DE					X							X												X							
S	336	ELCM2 LLC - Partnership - New York, NY (1)(3)							X													X											
S	337	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)(15)	X											X	X	X											X						
S	338	Serengeti Lycaon Partners LP LP - Hedge Fund - New York, NY (1)(3)						X						X	X	X							X										
S	339	ContiCoffee - Private Equity - New York, NY						X										X					X										
S	340	ContiCoffee Co-Invest - Class B (Keurig Green Mountain Co-Invest) Private Equity - New York, NY				X												X				X											
S	341	ContiCoffee Co-Invest - Class D (Krispy Kreme Doughnuts Co- Invest) - Private Equity - New York, NY			X													X				X											

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

		BLOCK A	BLOCK B Valuation of Assets												BLOCK C Type of Income								BLOCK C Amount of Income											
		Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which: (3) had a value exceeding $1,000 at the close of the reporting period; and/or (3) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000	50,001 - 100,000	100,001 - 250,000	250,001 - 500,000	500,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	5,000,001 - 25,000,000	25,000,001 - 50,000,000	Over 50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than 201)	201 - 1,000	1,001 - 2,500	2,501 - 5,000	5,001 - 15,000	15,001 - 50,000	50,001 - 100,000	100,001 - 1,000,000	Over 1,000,000	1,000,001 - 5,000,000	Over 5,000,000	Actual Amount (Required if "Other Specified")
S	342	ContiCoffee Co-Invest - Class E - Private Equity - New York, NY					X												X					X											
S	343	Loan Receivable - BBSF LLC - Stamford, CT (10)								X							X												X						
S	344	**CMB 2010 FAMILY TRUST** **c/o Malkin Holdings LLC, New York, NY**																																	
S	345	JP Morgan - Cash & Sweep Account - Newark, DE				X									X		X						X												
S	346	Larrymae Partners LLC - Partnership - New York, NY (underlying assets listed above)								X					X	X	X	X												X					
S	347	**CMB 2009 GRAT** **c/o Malkin Holdings LLC, New York, NY**																																	
S	348	JP Morgan Savings Account - New York, NY							X								X							X											
S	349	Peter L. Malkin Family 9 LLC - Partnership - New York, NY (underlying assets listed above)								X					X	X	X	X												X					
S	350	**Cynthia Blumenthal Personal Ownership** **Greenwich, CT**																																	
S	351	Empire State Realty Trust Inc. - Class A (Common Stock) - New York, NY								X					X														X						
S	352	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY						X							X												X								
S	353	W & M Properties, Inc. - Guardian Life Insurance Policy - New York, NY (10)								X												X													
S	354	Geo Energy Partners LLC - Energy - Agoura Hills, CA (12)			X																Royalties					X								7,253
S	355	**Real Estate Partnerships** **c/o Empire State Realty Trust, New York NY**																																	
S	356	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)					X									X	X												X						
S	357	*Residential Garden Apartments - Rochester Hills, MN*																																	
S	358	*CVS Retail Store - Edison, NJ*																																	
S	359	*CVS Retail Store - Painesville, OH*																																	
S	360	Broadway/72nd Associates II PLM JV - Commercial Office Building - New York, NY (10)							X						X	X	X												X						
S	361	Chicago Golf Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)	X												X	X	X										X								
S	362	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut and 3 real estate management companies								X								X												X					

PART IIB 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	363	Peter L. Malkin Joint Venture in KMO-361 Realty Associates, LLC -.Retail Shopping Centers - Locations below (3)							X						X	X	X											X					
S	364	*St. Davids, PA*																															
S	365	*Manhasset, NY*																															
S	366	*Paramus, NJ*																															
S	367	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)		X																		X											
S	368	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (10)					X														Ordinary						X						40,573
S	369	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (10)				X															Ordinary						X						48,011
S	370	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (10)						X								X					Ordinary							X					60,329
S	371	Malkin Properties of Virginia, Inc. - Real Estate Management New York, NY (10)						X													Ordinary							X					93,009
S	372	Malkin Support Fund LP - Real Estate - New York, NY (3):																															
S	373	*Fidelity - FIMM Fund - Mutual Fund - New York, NY*						X										X								X							
S	374	*Loan Receivable from Kansas City Georgetown Associates – Merriam, KS*						X									X										X						
S	375	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)			X										X	X							X										
S	376	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)			X											X								X									
S	377	Uniway Partners LP Malkin JV - Commercial Retail - New York, NY (10)	X												X	X										X							
S	378	U.S. La Roca II LLC - Commercial Retail - Barcelona, Spain (10) (13)								X						X	X										X						
S	379	U.S. Madrid II LLC - Commercial Retail - Madrid, Spain (10) (13)							X							X	X									X							
	380	RICHARD BLUMENTHAL																															
	381	Rockefeller Libra Fund LP - Multi Markets Equity Fund - New York, NY (3)									X				X			X									X						

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Reporting Individual's Name: Richard Blumenthal

Amendment

PART IV. TRANSACTIONS

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		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	Brazilian Selic (LFT) Bonds (Held by BTG)		X		2/5/2018					X						
3	S	Xingo Fic Fia 360	X			2/5/2018					X						
4	S	Golub Capital Partners 11 LP	X			3/29/2018				X							
5	S	Amplo I LP	X			5/15/2018			X								
6	S	Brazilian Selic (LFT) Bonds (Held by BTG)		X		6/1/2018					X						
7	S	BTGP Access Ibiuna Hedge STH FC	X			6/1/2018					X						
8	S	Skyhawk Therapeutics Inc	X			6/18/2018				X							
9	S	Brazilian Selic (LFT) Bonds (Held by BTG)		X		6/29/2018				X							
10	S	Xingo Fic Fia 360	X			7/2/2018				X							
11	S	Steadview Capital Partners LP	X			8/8/2018				X							
12	S	Parian Global US Fund LP	X			9/1/2018				X							
13	S	Parian Global US Fund II LP	X			9/1/2018							X				
14	S	Serengeti Lycaon Partners	X			8/28/2018						X					
15	S	ELCM2 LLC	X			10/30/2018							X				

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

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Reporting Individual's Name: Richard Blumenthal

Amendment

PART IV. TRANSACTIONS

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		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
16	S	Oceanside Hotel Investors LLC	X			11/27/2018						X					
17	S	**3M's Partners LLC** - ELCM2 LLC	X			10/30/2018							X				
18	S	**CMB 2009 GRAT - Peter L Malkin Family 9 LLC:**															
19	S	Brazilian Selic (LFT) Bonds (Held by BTG)		X		2/5/2018			X								
20	S	Xingo Fic Fia 360	X			2/5/2018			X								
21	S	Golub Capital Partners 11 LP	X			3/29/2018		X									
22	S	Amplo I LP	X			5/15/2018		X									
23	S	Brazilian Selic (LFT) Bonds (Held by BTG)		X		6/1/2018				X							
24	S	BTGP Access Ibiuna Hedge STH FC	X			6/1/2018				X							
25	S	Skyhawk Therapeutics Inc	X			6/18/2018			X								
26	S	Brazilian Selic (LFT) Bonds (Held by BTG)		X		6/29/2018			X								
27	S	Xingo Fic Fia 360	X			7/2/2018			X								
28	S	Steadview Capital Partners LP	X			8/8/2018			X								
29	S	Parian Global US Fund LP	X			9/1/2018			X								
30	S	Parian Global US Fund II LP	X			9/1/2018					X						

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Reporting Individual's Name: Richard Blumenthal | Amendment

PART IV. TRANSACTIONS

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

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example: S, DC, or J	*IBM Corp. (stock) NYSE*	*X*			*2 / 1 / 1X*		X			E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC		*X*		*1 / 27 / 1X*				X	E	X	A	M	P	L	E
31 S	Serengeti Lycaon Partners	X			8/28/2018				X							
32 S	ELCM2 LLC	X			10/30/2018							X				
33 S	Oceanside Hotel Investors LLC	X			11/27/2018				X							
34 S	**3M's Partners LLC** - ELCM2 LLC	X			10/30/2018							X				
35 S	**3M's Partners:**															
36 S	ELCM2 LLC	X			10/30/2018							X				
37 S	**Peter L Malkin Family 2000 LLC:**															
38 S	Kashmir Holdings LLC	X			4/30/2018				X							
39 S	Centerstate Bank Corporation (stock) NASDAQ/OTC		X		5/11/2018	X										
40 S	Amplo I LP	X			5/15/2018			X								
41 S	A-RH, a series of A-ST Opportunity Funds, LLC	X			5/24/2018					X						
42 S	Brazilian Selic (LFT) Bonds (Held by BTG)		X		6/1/2018	X										
43 S	Willbros Group Inc (stock) (16)			X	6/4/2018	X										
44 S	PEM Holding Co	X			6/20/2018							X				
45 S	Brattle Point LLC	X			7/16/2018	X										

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Reporting Individual's Name	Amendment	PART IV. TRANSACTIONS	Page Number
Richard Blumenthal			26

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.

	S, DC, or J	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:		*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
46	S	Steadview Capital Partners LP	X			8/8/2018							X				
47	S	Sur Trading SpA d/b/a Smiley Kids Foods	X			8/15/2018		X									
48	S	Generation Capital Partners PayActiv LP	X			8/16/2018					X						
49	S	Parian Global US Fund LP	X			9/1/2018						X					
50	S	Parian Global US Fund II LP	X			9/1/2018							X				
51	S	Serengeti Lycaon Partners LP	X			8/28/2018							X				
52	S	Golub Capital Partners Rollover Fund 2 LP	X			7/1/2018					X						
53	S	Gaivota LLC (Non-public stock)	X			10/10/2018		X									
54	S	Valiant Capital Partners LP	X			10/30/2018				X							
55	S	ELCM2 LLC	X			10/30/2018							X				
56	S	**AAM Partners LLC** - Transenterix Inc (stock)		X		6/18/2018	X										
57	S	**AAM Partners LLC** - Esperion Therapeutics Inc (stock)		X		7/25/2018	X										
58	S	**AAM Partners LLC** - Transenterix Inc (stock)		X		10/2/2018	X										
59	S	**AAM Partners LLC** - Aimmune Therapeutics Inc (stock) NASDAQ/OTC		X		12/5/2018	X										
60	S	**AAM Partners LLC** - ELCM2 LLC	X			10/30/2018				X							

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Reporting Individual's Name	Amendment	PART IV. TRANSACTIONS	Page Number
Richard Blumenthal			27

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
61	S	**Hedge Holdings LLC:**															
62	S	Parian Global US Fund LP	X			9/1/2018							X				
63	S	Parian Global US Fund II LP	X			9/1/2018							X				
64	S	ELCM2 LLC	X			10/30/2018					X						
65	S	**New Things LLC:**															
66	S	Centerstate Bank Corporation (stock) NASDAQ/OTC		X		5/11/2018	X										
67	S	**AAM Partners LLC -** Esperion Therapeutics Inc (stock)		X		7/25/2018	X										
68	S	**AAM Partners LLC -** ELCM2 LLC	X			10/30/2018		X									
69	S	**Summa I LLC:**															
70	S	Centerstate Bank Corporation (stock) NASDAQ/OTC		X		5/11/2018	X										
71	S	PEM Holding Co	X			6/20/2018			X								
72	S	**AAM Partners LLC -** Transenterix Therapeutics Inc (stock)		X		6/18/2018	X										
73	S	**AAM Partners LLC -** Esperion Therapeutics Inc (stock)		X		7/25/2018	X										
74	S	**AAM Partners LLC -** Transenterix Therapeutics Inc (stock)		X		10/2/2018	X										
75	S	**AAM Partners LLC -** ELCM2 LLC	X			10/30/2018					X						

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Reporting Individual's Name	Amendment	PART IV. TRANSACTIONS	Page Number
Richard Blumenthal			28

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
76	S	**AAM Partners LLC** - Aimmune Therapeutics Inc (stock) NASDAQ/OTC		X		12/5/2018	X										
77	S	**Magnifique LLC:**															
78	S	Parian Global US Fund LP	X			9/1/2018					X						
79	S	Parian Global US Fund II LP	X			9/1/2018						X					
80	S	Vanterra Accelerator Fund LP	X			10/29/2018				X							
81	S	Map of Agriculture Group LTD (Non-public stock)	X			11/6/2018				X							
82	S	**EOAGT LLC:**															
83	S	Serengeti Lycaon Partners LP	X			8/28/2018					X						
84	S	ELCM2 LLC	X			10/30/2018						X					
85	S	**Other One LLC:**															
86	S	ELCM2 LLC	X			10/30/2018						X					
87	S	**CMB 2010 Family Trust - LarryMae Partners LLC:**															
88	S	Parian Global US Fund II LP	X			9/1/2018					X						
89	S	ELCM2 LLC	X			10/30/2018						X					
90																	

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Reporting Individual's Name	Amendment	PART IV. TRANSACTIONS	Page Number
Richard Blumenthal			29

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
91	S	**LarryMae Partners LLC:**															
92	S	Parian Global US Fund II LP	X			9/1/2018							X				
93	S	ELCM2 LLC	X			10/30/2018							X				
94																	
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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.

Reporting Individual's Name: Richard Blumenthal

☐ Amendment 00001091

PART VII. LIABILITIES

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

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

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

PART IX. AGREEMENTS OR ARRANGEMENTS

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

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	*Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)*	*Jones & Smith, Hometown, USA* **EXAMPLE**	*1 / 94*
	Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between $50,001-$100,000, signing bonus between $2,501-$5,000 and stock options	*XYZ Co., Bethesda, MD* **EXAMPLE**	*1 / 1X*
1	Defined benefit pension plan interest - Tier 1 of State Employees Retirement System (SERS):	State of Connecticut, Hartford, CT	4/94
2	Benefit payable by State of Connecticut is $60,048 Upon death, one half of benefit it payable to his spouse.		
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Footnotes to Part IIIA, IIIB, & Part IV

(1) 2018 Purchase

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

(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 January 17, 2018, Tinicum Capital Partners II & Tinicum Capital Partners II Add-on Fund distributed shares of Centerstate Bank Corporation (trading on NASDAQ under the symbol CSFL) to New Things Partners LLC, Peter L Malkin Family 2000 LLC, and Summa I LLC. All shares were sold in 2018.

(5) On December 6, 2017, Aisling Capital III distributed shares of Aimmune Therapeutics Inc (trading on NASDAQ under the symbol AIMT) to AAM Partners LLC. All shares were sold in 2018.

(6) On June 1, 2018 and September 28, 2018, Aisling Capital III distributed shares of Transenterix Inc (trading on NYSE under the symbol TRXC) to AAM Partners LLC. All shares were sold in 2018.

(7) Previously reported as State Street Bank & Trust Co.

(8) On June 13, 2018, Iron FIP was converted into Estre Ambiental Inc common stock.

(9) Blue Ridge Capital, LP began a total fund liquidation at the discretion of the fund managers in 2018. A balance of fund still remained to be released to investors as of 12/31/18.

(10) Sole underlying asset.

(11) Tinicum Capital Partners II-2 distributed PEM Holding Company common stock to its Limited Partners on October 10, 2016. On June 20, 2018, Peter L Malkin Family 2000 LLC and Summa I LLC purchased additional shares of PEM Holding Company.

(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) The entity is managed from London, England.

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

(15) Malkin Capital Fund, LP began a total fund liquidation at the discretion of the fund managers in 2018. All balances were released to investors in 2018.

(16) Cash merger. Acquired by Primoris Services Corp. in exchange for cash on 6/4/18.

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August 13, 2019

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

Re: Senator Richard Blumenthal

Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find Senator Blumenthal's Public Financial Disclosure Report for the calendar year December 31, 2018.

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

Very truly yours,

Marc Elias
Kate Sawyer Keane
Counsel to Senator Richard Blumenthal

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