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T +1.202.654.6200
F +1.202.654.6211
PerkinsCoie.com

January 30, 2020

Marc Erik Elias
Kate Sawyer Keane
MElias@perkinscoie.com
KSKeane@perkinscoie.com
D. +1.202.654.2000
F. +1.202.654.9126

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

Re: Senator Richard Blumenthal

Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find an amended Part IIIA and Part IIIB (with footnotes) to his annual Financial Disclosure Report for calendar year 2017. The amendment is based on K-1 forms and other information received after the original report was filed.

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

Very truly yours,



Marc Elias
Kate Sawyer Keane
Counsel to Senator Richard Blumenthal

Enclosure

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 A Identity of Publicly Traded Assets And Unearned Income Sources		BLOCK B Valuation of Assets																																					
<p>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:</p> <ul style="list-style-type: none"> (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. <p>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.</p>		<p>At the close of reporting period. If None, or less than \$1,001, Check the first column.</p>																																					
		<table border="1"> <tr><td></td><td></td><td>Over \$50,000,000</td></tr> <tr><td></td><td></td><td>\$25,000,001 - \$50,000,000</td></tr> <tr><td></td><td></td><td>\$5,000,001 - \$25,000,000</td></tr> <tr><td></td><td></td><td>\$1,000,001 - \$5,000,000</td></tr> <tr><td></td><td></td><td>Over \$1,000,000...*</td></tr> <tr><td></td><td></td><td>\$500,001 - \$1,000,000</td></tr> <tr><td></td><td></td><td>\$250,001 - \$500,000</td></tr> <tr><td></td><td></td><td>\$100,001 - \$250,000</td></tr> <tr><td></td><td></td><td>\$50,001 - \$100,000</td></tr> <tr><td></td><td></td><td>\$15,001 - \$50,000</td></tr> <tr><td></td><td></td><td>\$1,001 - \$15,000</td></tr> <tr><td></td><td></td><td>None (or less than \$1,001)</td></tr> </table>				Over \$50,000,000			\$25,000,001 - \$50,000,000			\$5,000,001 - \$25,000,000			\$1,000,001 - \$5,000,000			Over \$1,000,000...*			\$500,001 - \$1,000,000			\$250,001 - \$500,000			\$100,001 - \$250,000			\$50,001 - \$100,000			\$15,001 - \$50,000			\$1,001 - \$15,000			None (or less than \$1,001)
		Over \$50,000,000																																					
		\$25,000,001 - \$50,000,000																																					
		\$5,000,001 - \$25,000,000																																					
		\$1,000,001 - \$5,000,000																																					
		Over \$1,000,000...*																																					
		\$500,001 - \$1,000,000																																					
		\$250,001 - \$500,000																																					
		\$100,001 - \$250,000																																					
		\$50,001 - \$100,000																																					
		\$15,001 - \$50,000																																					
		\$1,001 - \$15,000																																					
		None (or less than \$1,001)																																					
Example: DC, or J	S, (S) IBM Corp. (stock) Keystone Fund	1 S JPMorgan - Checking Account	x																																				
		2 S JPMorgan - Asset Account - Money market	x																																				
		3 S JPMorgan - Savings Account	x																																				
		4 J Bank of America - Checking Account	x																																				
		5 J JPMorgan - Checking Account	x																																				
		6 J JPMorgan - Asset Account - Money market	x																																				
		7 J JPMorgan - Savings Account	x																																				
		8 FPA New Income Inc (FPNIX- NASDAQ) - Mutual Fund (1)	x																																				
		9 Rockefeller Intermediate Tax Exempt Nation Bond Fund - Fixed Income	x																																				
		10 State of CT Retirement Division - Pension - Value Unascertainable	x																																				

BLOCK B

Valuation of Assets

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

Type and Amount of Income

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Actual Amount	Requires if Other Specified			RECEIVED SECRETARY OF THE SENATE PUBLIC RECORDS	
		Example	Example		
Over \$5,000,000					
\$1,000,001 - \$5,000,000					
Over \$1,000,000**					
\$100,001 - \$1,000,000					
\$50,001 - \$100,000					
\$15,001 - \$50,000					
\$5,001 - \$15,000					x
\$2,501 - \$5,000					
\$1,001 - \$2,500					x
\$201 - \$1,000	None (or less than \$201)	x	x	x	x
Other (Specify Type)					
Qualified Blind Trust					
Exempted Trust					
Exempted Investment Fund		x	x	x	x
Capital Gains					
Interest		x	x	x	x
Rent					
Dividends	x				
None					

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

BLOCK A	Type of Income	Valuation of Assets										Amount of Income										
		BLOCK B			BLOCK C			BLOCK D			BLOCK E			BLOCK F			BLOCK G			BLOCK H		
	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: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in unearned income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA																					
S 262	Elon Park Fund, LP - Hedge Fund - New York, NY	X																				
S 263	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)		X																			
S 264	Vallanti Capital Partners LP - Hedge Fund - San Francisco, CA			X																		
S 265	Melvin Strategic Capital V, LP - Real Estate - New York, NY (3)				X																	
S 266	Cash & Cash Equivalents - New York, NY					X																
S 267	Loan Receivable - 777 LP Units-Penn for Commercial Office - Philadelphia, PA						X															
S 268	Summa LLC c/o Matkin Holdings LLC, New York, NY							X														
S 269	JP Morgan - Cash & Sweep Account - Newark, DE								X													
S 270	AAM Partners LLC c/o Matkin Holdings LLC - New York, NY:									X												
S 271	JP Morgan - Cash & Sweep Account - Newark, DE										X											
S 272	Aimmune Therapeutics Inc (AUMT-NASDAQ) - Stock - Brisbane, CA (8)											X										
S 273	Espion Therapeutics Inc (ESPR-NASDAQ) - Stock - Ann Arbor, MI (4)												X									
S 274	Molinta Therapeutics, Inc (MLNT-NASDAQ) / FKA Compre Inc: CEMPY - Stock - New Haven, CT (13)													X								
S 275	First Republic Bank (FRC-NYSE) - Stock - San Francisco, CA														X							
S 276	JG Kroll Heitz Company Holdings - Private Equity - New York, NY															X						
S 277	JG Restaurant Brands Holdings LP - Private Equity - New York, NY																X					
S 278	JG Special Situations Fund IV, LP - Private Equity - New York, NY																	X				
S 279	Aising Capital II, LP - Private Equity - New York, NY																		X			
S 280	Aising Capital III, LP - Private Equity - New York, NY																		X			
S 281	Aising Capital IV, LP - Private Equity - New York, NY (1) (3)																		X			
S 282	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)																		X			
S 283	Magnosia Refractories SA - Manufacturer of refractory material - Brazil																			X		

BLOCK A		BLOCK B		BLOCK C		Amount of Income	
						Type of Income	Other (Specify Type)
S 1	3 M&S PARTNERS c/o Malkin Holdings LLC - New York, NY:						
S 2	JP Morgan - Cash & Sweep Account - Newark, DE	X					
S 3	Blue Ridge Limited Partnership - Hedge Fund - New York, NY	X					
S 4	Elton Park Fund, LP - Hedge Fund - New York, NY	X					
S 5	Malkin Capital Fund, LP - Hedge Fund - New York, NY (1) (3)	X					
S 6	NEW THINGS PARTNERS LLC c/o Malkin Holdings LLC - New York, NY:	X					
S 7	JP Morgan - Cash & Sweep Account - Newark, DE	X					
S 8	Ability Reinsurance Holdings Limited - Common Stock - Bermuda (2)	X					
S 9	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:	X					
S 10	JP Morgan - Cash & Sweep Account - Newark, DE	X					
S 11	Espion Therapeutics Inc (ESPR) - Stock - Ann Arbor, MI (4)	X					
S 12	First Republic Bank (FRC - NYSE) - Stock - San Francisco, CA	X					
S 13	- 3G Kraft Heinz Company Holdings - Private Equity - New York, NY	X					
S 14	3G Restaurant Brands Holdings LP - Private Equity - New York, NY	X					
S 15	3G Special Situations Fund IV, LP - Private Equity - New York, NY	X					
S 16	Alsting Capital II, LP - Private Equity - New York, NY	X					
S 17	Alsting Capital III, LP - Private Equity - New York, NY	X					
S 18	Alsting Capital IV, LP - Private Equity - New York, NY (1) (3)	X					
S 19	AEA Mezzanine Fund LP - Private Equity - Stamford, CT	X					
S 20	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)	X					
S 21	Tinicum Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)	X					

Identity of Non-Publicly Traded Assets and Unearned Income Sources
held by you, your spouse, or your dependent child (See p.J. CONTENTS
OF REPORTS, Part B of Instructions) for the production of income or
investment in non-public trade or business which: (1) had a value
exceeding \$1,000 at the close of the reporting period, and/or (3)
generated over \$200 in "unearned" income during the reporting period.
Include the above report for each underlying asset, which is not incidental
to the trade or business. Publicly traded assets held by non-public entity
may be listed on Part IIIA.

PART II B NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

	BLOCK A	BLOCK B	BLOCK C	Type of Income	Amount of Income	Actual Amount (Required if "Other Specified")
				Other (Specify Type)		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				2,501 - 2,500		
				1,001 - 1,000		
				None (or less than 201)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				1,001 - 1,000		
				None (or less than 1,001)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				1,001 - 1,000		
				None (or less than 1,001)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				1,001 - 1,000		
				None (or less than 1,001)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				1,001 - 1,000		
				None (or less than 1,001)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				1,001 - 1,000		
				None (or less than 1,001)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				1,001 - 1,000		
				None (or less than 1,001)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest		
				Rent		
				Dividends		
				OVER 50,000,000		
				25,000,001 - 50,000,000		
				5,000,001 - 25,000,000		
				1,000,001 - 1,000,000		
				15,001 - 15,000		
				1,001 - 1,000		
				None (or less than 1,001)		
				15,001 - 50,000		
				5,001 - 15,000		
				1,001 - 5,000		
				50,001 - 100,000		
				100,001 - 1,000,000		
				OVER 1,000,000		
				Qualifed Blend Trust		
				Exempted Trust		
				Exempted Investment Fund		
				Capital Gains		
				Interest	</td	

BLOCK A	Valuation of Assets	BLOCK B										BLOCK C										
		Type of Income			Amount of Income			Actual Amount (Required if "Other Specified")			Actual Amount (Required if "Other Specified")			Amount of Income			Actual Amount (Required if "Other Specified")			Actual Amount (Required if "Other Specified")		
		Dividends																				
		Rent																				
		Interest																				
		Capital Gains																				
		Accepted Investment Fund																				
		Exempted Trust																				
		Qualified Blend Trust																				
		Other (Specify Type)																				
S 43	Markin Capital Fund, LP - Hedge Fund - New York, NY (1) (3)	X																				
S 44	Blue Ridge Limited Partnership - Hedge Fund - New York, NY		X																			
S 45	Consonance Capital Investors, LP - Hedge Fund - New York, NY			X																		
S 46	Falcon Edge Global LP - Hedge Fund - New York, NY (3)				X																	
S 47	Markin Capital Fund, LP - Hedge Fund - New York, NY (3)					X																
S 48	Redwood Domestic Fund, LP - Hedge Fund - Englewood Cliffs, NJ						X															
S 49	Steadview Capital Partners LP - Hedge Fund - London UK (3)							X														
S 50	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA								X													
S 51	2006 Special Global Opportunities LLC - Private Equity - New York, NY (3)									X												
S 52	B3D-DSIC 4 LLC - Private Equity - New York, NY (1) (3)										X											
S 53	FIP Iran - Private Equity - San Paulo, Brazil (3)										X											
S 54	BTG Pactual - Esporte Pedreira (Iron Fundo De Investimento) - Environmental Waste Management Initiative - São Paulo, Brazil											X										
S 55	BTG Pactual Brazil Investment Fund I - Private Equity - São Paulo, Brazil (3)												X									
S 56	Bodytech - Fitness Centers - Rio de Janeiro, Brazil													X								
S 57	Brasil Brokers S.A. - Real Estate Brokerage & Consulting Firm - São Paulo, Brazil														X							
S 58	Brasil Pharma S.A. - Drugstore chain - São Paulo, Brazil															X						
S 59	Bravante - Maritime Support Services - Rio de Janeiro, Brazil																X					
S 60	CCRR Participações SA - Specialty paper, labels, & adhesives - São Paulo, Brazil																	X				
S 61	Deep Sea Supply Company BR (DESS) - Offshore Supply Vessels Operations - Rio de Janeiro, Brazil																		X			
S 62	Estar Ambiental - Waste Management - São Paulo, Brazil																			X		
S 63	Universo Online - On-line Services - São Paulo, Brazil																				X	
S 64	Lender - Retailer - Rio de Janeiro, Brazil																					X

Identity of Non-Publicly Traded Assets and Unearned Income Sources
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Amended

BLOCK A	Valuation of Assets	BLOCK B									
		Amount of Income									
										Actual Amount (Required if "Other Specified")	
S 65	C-3 Acquisition Co. LLC - Private Equity - New York, NY	X								Over 5,000,000	
S 66	C-III Recovery Fund I, LP - Private Equity - New York, NY	X								1,000,001 - 5,000,000	
S 67	Consonance Bako Co-Invest Partners, LP - Private Equity - New York, NY	X								Over 1,000,000	
S 68	Consonance Capital Investors, LP - Private Equity - New York, NY	X								100,001 - 1,000,000	
S 69	GEMS Fund, LP - Private Equity - New York, NY	X								50,001 - 50,000	
S 70	Goth Capital Partners VII, LP - Private Equity - New York, NY	X								15,001 - 50,000	
S 71	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)	X								2,501 - 5,000	
S 72	Magnosia Re Refractory material - Brazil	X								201 - 1,000	
S 73	Hilltop Energy LLC - wholly owns Hilltop Asset LLC - Dallas, TX (8) (10)	X								None (or less than 201)	
S 74	Island C-III Holdings LLC - Private Equity - New York, NY	X								Over 1,000,000	
S 75	Island C-III Holdings II LLC - Private Equity - New York, NY	X								5,000,001 - 25,000,000	
S 76	Island Fund I - Private Equity - Greenville, SC (3)	X								1,000,001 - 100,000	
S 77	Cash & Cash Equivalents - highly liquid with less than 3 month maturity	X								Over 50,000,000	
S 78	JM Financial - Old Lane India Corporate Opportunities Fund I, LTD - Private Equity - Mumbai, India	X								15,001 - 150,000	
S 79	Magnosia Re Refractory material - Brazil	X								1,000,001 - 10,000,000	
S 80	Missionpoint RE Community Converst Fund I, LP - Private Equity - Norwalk, CT (3) (14)	X								50,001 - 500,000	
S 81	Missionpoint RE Community Converst Fund II, LP - Private Equity - Norwalk, CT (3) (14)	X								1,000,001 - 10,000,000	
S 82	MPH Micro LLC - Clean Energy - Rutland, VT	X								Over 1,000,000	
S 83	MPH Energy Holdings LP - Clean Energy - Rutland, VT	X								15,001 - 150,000	
S 84	Missionpoint RE Community Converst Fund II, LP - Private Equity - Norwalk, CT (3) (14)	X								1,000,001 - 10,000,000	
S 85	MPH Micro LLC - Clean Energy - Rutland, VT	X								Over 1,000,000	
S 86	MPH Energy Holdings LP - Clean Energy - Rutland, VT	X								Over 1,000,000	

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. Indicate the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA

part five

Autoregistration

Richard Blumenthal

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 indented to the trade or business. Publicly traded assets held by non-public entity

BLOCK A		Valuation of Assets										BLOCK B										BLOCK C										
		Type of Income										Amount of Income										Actual Amount Required If "Other Specified")										
		Dividends										Interest										Capital Gains										Exempted Trust
																																Qaulified Bond Trust
																																None (or less than 201)
																																X
																																X
																																X
																																X
																																X
																																X
																																X
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																																X

BLOCK A	BLOCK B	BLOCK C	Amount of Income	
			Type of Income	Actual Amount (Required if "Other Specified")
			Capital Gains	100,001 - 100,000
			Dividends	50,001 - 50,000
			Rent	201 1,000
			Interest	2,501 - 2,500
			Capitalized Income Fund	5,001 - 15,000
			Qualified Build Trust	15,001 - 50,000
			Other (Specify)	None (or less than 201)
S 108	112 West 34th Street Company Liquidating Trust - Proceeds from sale of property held as contingency for post-closing expenses - New York, NY (9)	X	X	OVER 50,000,000
S 109	1400 Broadway Associates Liquidating Trust - Proceeds from sale of ground lease held as contingency for post-closing expenses - New York, NY (9)	X	X	25,000,001 - 50,000,000
S 110	Fairfax Merrifield Associates II - Residential Garden Apartments (Fee Position) - Fairfax, VA (10)	X	X	5,000,001 - 25,000,000
S 111	Georgetown Apartment Associates - Residential Garden Apartments (lease position) - Shrewsbury, MO (10)	X	X	OVER 1,000,000
S 112	Jefferson (Dodge) Associates, LLC - Commercial Retail Louisville, KY (10)	X	X	500,001 - 500,000
S 113	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)	X	X	100,001 - 250,000
S 114	Malkin Co-Investor Capital LP - Fred F. French Building - New York, NY (10)	X	X	16,000 - 60,000
S 115	Malkin Foxfire LLC - Residential Garden Apartments - Rochester Hills, MI (10) (11)	X	X	1,001 - 15,000
S 116	Malkin Glen Oaks LLC - Residential Garden Apartments - Des Plaines, IL (10)	X	X	
S 117	Malkin Strategic Capital V, LP - Real Estate - New York, NY (3)	X	X	
S 118	Cash & Cash Equivalents - New York, NY	X	X	
S 119	Malkin Strategic Capital V, LP - Real Estate - New York, NY (3)	X	X	
S 120	Cash & Cash Equivalents - New York, NY	X	X	
S 121	Loan Receivable - 777 LP and Penn for Commercial Office - Philadelphia, PA	X	X	
S 122	Malkin Support Fund LP - Real Estate - New York, NY	X	X	
S 123	Fidelity - FIMM Fund - Mutual Fund - New York, NY	X	X	
S 124	Loan Receivable from Kansas City Georgetown Associates - Merriam, KS	X	X	
S 125	McKnight Road Associates LLC - Commercial Retail - Ross Township, PA (10)	X	X	
S 126	Merrifield Apartments Company II LLC - Residential Garden Apartments (lease position) - Fairfax, VA (10)	X	X	
S 127	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)	X	X	
S 128	Rochester River Oaks/Chicago Foxfire Apartments LLC - Residential Garden Apartments - Rochester Hills, MI (10)	X	X	

Amendment

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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 III.

BLOCK A	Type of Income	Amount of Assets	Actual Amount (Required if "Other Specified")	
			Over \$5,000,000	1,000,001 - 5,000,000
S 152	3G Kraft Heinz Company Holdings - Private Equity - New York, NY	None (or less than 1,001)		
S 153	3G Restaurant Brands Holdings LP - Private Equity - New York, NY			
S 154	3G Special Situations Fund IV, LP - Private Equity - New York, NY			
S 155	Aisling Capital II, LP - Private Equity - New York, NY			
S 156	Aisling Capital III, LP - Private Equity - New York, NY			
S 157	Aisling Capital IV, LP - Private Equity - New York, NY (1)(g)			
S 158	BBH Capital Partners III, LP - Private Equity - New York, NY			
S 159	ComiCoffee - Private Equity - New York, NY			
S 160	ComiCoffee Co-Invest - Class B (Keuring Green Mountain Co-Invest) Private Equity - New York, NY			
S 161	ComiCoffee Co-Invest - Class D (Krispy Kreme Doughnuts Co-Invest) - Private Equity - New York, NY			
S 162	ComiCoffee Co-Invest - Class E - Private Equity - New York, NY (1)			
S 163	ESO Capital Managers LP - Private Equity - London England (3)			
S 164	European Special Opportunities Fund V FCP SIF - Private Equity - London England (3)			
S 165	Generation Capital Partners Capivate - Private Equity - Greenwich, CT			
S 166	Globe Capital CoInvestment, LP - Private Equity - New York, NY			
S 167	Globe Capital Partners III, LP - Private Equity - New York, NY			
S 168	GP Capital Partners VIII, LP - Private Equity - San Paulo, Brazil (3)			
S 169	Magnetics Refractories SA - Manufacturer of refractory materials - Brazil			
S 170	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)			
S 171	San Antonio International Ltd - Energy - San Antonio, TX			
S 172	Atis Participacoes S.A. - Shipping - Brazil			
S 173	BHG S.A. - Hotel Management - Brazil			

BLOCK A		Type of Income Other (Specify Type) None (or less than 1,001)	BLOCK C		
			Amount of Income		
			Actual Amount (Required if "Other Specified")	Over 5,000,000	
			1,000,001 - 5,000,000	Over 5,000,000	
			100,001 - 1,000,000	Over 1,000,000	
			50,001 - 100,000	100,001 - 100,000	
			15,001 - 50,000	50,001 - 15,000	
			5,001 - 15,000	2,501 - 5,000	
			2,001 - 5,000	2,001 - 1,000	
			None (or less than 201)	None (or less than 201)	
S 174	Magnesia Refractories SA - Manufacturer of refractory material - Brazil				
S 175	Ladrão Brasil S.A. - Dairy Company - Brazil	X			
S 176	GP Capital Partners V, LP - Private Equity - San Paulo, Brazil (3)				
S 177	Automotiva S.A. (Soccar) - Mobile resource management - Brazil				
S 178	Cor Brasil, S.A. (Biotec Natural) - Beauty Institute - Brazil				
S 179	Nacar S.A. (Centurao) - Retail - Brazil				
S 180	Empresa Brasileira de Agregados Minerals - Minerals and Aggregates - Brazil				
S 181	Intercept Co-Investors - Class A1 units of Intercept Holdings (Indirect holding of ITRenew) - Los Angeles, CA (1) (3)	X			
S 182	Lucas Brand Equity Special Investment - MD Professional, LP - Manufacture & Sale of Personal Care Products - Private Equity - Southport, CT (3)	X			
S 183	Magma Fund, LP - Private Equity - San Paulo, Brazil (3)	X			
S 184	Magnesia Refractories SA - Manufacturer of refractory material - Brazil	X			
S 185	Magma Fund II, LP - Private Equity - San Paulo, Brazil (3)	X			
S 186	Magnesia Refractories SA - Manufacturer of refractory material - Brazil				
S 187	Palamon European Equity Fund II, LP - Private Equity - London, England		X		
S 188	PEM Holding Company - Penn Engineering & Manufacturing Common Stock - New York, NY (2) (11)		X		
S 189	* Revolution Venture II, LP - Private Equity - Washington, DC	X			
S 190	Rocketteller Access Fund 06-1, LLC - Private Equity - New York, NY (3)	X			
S 191	Rocketteller Access Fund I, LLC - Private Equity - New York, NY (3)	X			
S 192	Thicium Capital Partners II LP - Private Equity - New York, NY (3)	X			
S 193	Thicium Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)	X			
S 194	Tower Three Partners Fund II, LP - Private Equity - New York, NY (3)	X			
S 195	TPF Genoo Co-Investment Fund LP - Private Equity - Omaha, NE (3)	X			

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number
13

Reporting Individual's Name
Richard Blumenthal
 Amendment

BLOCK A	Valuation of Assets	Type of Income	
		Other (Specify Type)	Amount of Income
			Actual Amount (Required if "Other Specified")
S 186.	Vanterra Direct Wellnext LLC - Private Equity - New York, NY (13)	X	Over 5,000,000
S 187	Wellnext Holdings, LLC - Middle Market Companies In Health & Nutritional Product Sector	X	1,000,001 - 5,000,000
S 188	Vanterra HPH Wellnext LP - Private Equity - New York, NY (3)	X	Over 1,000,000
S 189	HPH Specialized Fund I, LP - Solely Invested in Wellnext Holdings, LLC (see Line 197)	X	100,001 - 100,000
S 190	MW General Partners, LP - GP Interest in HPH Specialized Fund I	X	50,001 - 50,000
S 201	ZM Capital CRT Investment, LP - Private Equity - New York, NY	X	15,000 - 15,000
S 202	ZM Capital Niagara Investment (Cayman) LP - Private Equity - New York, NY	X	None (or less than 1,001)
S 203	ZMC, LP (fka ZM Capital II, LP) - Private Equity - New York, NY	X	Over 50,000,000
S 204	ZMC II, LP (fka ZM Capital II, LP) - Private Equity - New York, NY	X	1,000,001 - 5,000,000
S 205	Real Estate Partnerships c/o Empire State Realty Trust, New York, NY	X	500,001 - 1,000,000
S 206	ARSA Associates - Real Estate - New York, NY	X	Over 1,000,000
S 207	BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)	X	100,001 - 250,000
S 208	BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)	X	50,001 - 100,000
S 209	Broadway/72nd Associates II PLM JV - Commercial Office Building - New York, NY (10)	X	250,001 - 500,000
S 210	Chicago Gold Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)	X	100,001 - 250,000
S 211	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut and 3 real estate management companies (7)	X	50,001 - 100,000
S 212	Georgetown Apartment Associates - Residential Garden Apartments (lease position) - Shrewsbury, MO (10)	X	100,001 - 250,000
S 213	Greenwich Retail, LLC - Commercial Retail - Greenwich, CT (10)	X	100,001 - 250,000
S 214	Jefferson (Divide) Associates, LLC - Commercial Retail - Louisville, KY (10)	X	100,001 - 250,000
S 215	Peter L. Malkin Joint Venture in KMO-361 Realty Associates, LLC - Retail Shopping Centers - Locations below (3)	X	100,001 - 250,000
S 216	St. Davids, PA	X	100,001 - 250,000
S 217	Manhasset, NY	X	100,001 - 250,000
S 218	Paramus, NJ	X	100,001 - 250,000

PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

	BLOCK A	BLOCK B	BLOCK C	Amount of Income	
				Actual Amount (Required If "Other Specified")	Over 5,000,000
				1,000,001 - 5,000,000	Over 5,000,000
				50,001 - 100,000	Over 1,000,000
				15,001 - 50,000	100,001 - 1,000,000
				5,001 - 15,000	50,001 - 250,000
				2,501 - 5,000	100,001 - 2,500
				None (or less, then 201)	201 - 1,000
				Other (Specify Type)	Qualified Blend Trust Exempted Investment Fund Capital Gains Interest Rent Dividends Over 50,000,000
S 219	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)	X	X	500,001 - 1,000,000	Over 1,000,000
S 220	Malkin Co-Investor Capital LP - Fred F. French Building - New York, NY (10)	X	X	1,000,001 - 5,000,000	5,000,001 - 25,000,000
S 221	Malkin Greenwich Retail LLC - Commercial Retail - Greenwich, CT (10)	X	X	50,001 - 100,000	100,001 - 1,000,000
S 222	Malkin Industrial Partners I, LP - Warehouse Distribution Building - Location Below (3)	X	X	15,001 - 50,000	50,001 - 250,000
S 223	Philadelphia, PA	X	X	5,001 - 15,000	15,000 - 50,000
S 224	Malkin Strategic Capital V, LP - Real Estate - New York, NY (3)	X	X	2,501 - 5,000	5,001 - 15,000
S 225	Cash & Cash Equivalents - New York, NY	X	X	None (or less, then 201)	None (or less, then 201)
S 226	Monroeville Self-Service - Commercial Retail (lease position) - Monroeville, PA (10)	X	X	50,001 - 100,000	100,001 - 250,000
S 227	New Soundview Plaza Associates, LP - Retail Stores - Westport, CT (10)	X	X	15,001 - 50,000	50,001 - 250,000
S 228	Peter L. Malkin JV In U.S. Bicester PIERS - Commercial Retail - Oxfordshire, England (10) (18)	X	X	5,001 - 15,000	15,000 - 50,000
S 229	Peter L. Malkin JV In U.S. Bicester II - Commercial Retail - Oxfordshire, England (10) (18) (20)	X	X	2,501 - 5,000	5,001 - 15,000
S 230	Peter L. JV In U.S. La Roca LLC - Commercial Retail - Barcelona, Spain (10) (15) (21)	X	X	None (or less, then 201)	None (or less, then 201)
S 231	Peter L. Malkin JV In U.S. Paris LLC - Commercial Retail - Paris, France (10) (15) (22)	X	X	None (or less, then 201)	None (or less, then 201)
S 232	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)	X	X	None (or less, then 201)	None (or less, then 201)
S 233	Rochester River Oaks Chicago Foxfire Apartments LLC - Residential Garden Apartments - Rochester Hills, MI (10)	X	X	None (or less, then 201)	None (or less, then 201)
S 234	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)	X	X	None (or less, then 201)	None (or less, then 201)
S 235	U.S. Dublin LLC - Commercial Retail - Dublin, Ireland (10) (15)	X	X	None (or less, then 201)	None (or less, then 201)
S 236	U.S. Maasmechelen LLC - Commercial Retail - Belgium (10) (15)	X	X	None (or less, then 201)	None (or less, then 201)
S 237	U.S. Madrid LLC - Commercial Retail - Madrid, Spain (10) (15)	X	X	None (or less, then 201)	None (or less, then 201)
S 238	U.S. Munich LLC - Commercial Retail - Munich, Germany (10) (15)	X	X	None (or less, then 201)	None (or less, then 201)
S 239	U.S. Shanghai LLC - Commercial Retail - Shanghai, China (10) (15)	X	X	None (or less, then 201)	None (or less, then 201)
S 240	U.S. Suzhou LLC - Commercial Retail - Suzhou, China (10) (15)	X	X	None (or less, then 201)	None (or less, then 201)

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 o 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 in the case 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 residential, to the trade or business Publicly traded assets held by non-public entity may be listed on Part IIIA.

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Reporting Individual's Name

BLOCK A	Type of Income	Valuation of Assets										Amount of Income										
		BLOCK B			BLOCK C			BLOCK D			BLOCK E			BLOCK F			BLOCK G			BLOCK H		
	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: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in unearned income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA																					
S 262	Elon Park Fund, LP - Hedge Fund - New York, NY	X																				
S 263	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)		X																			
S 264	Vallanti Capital Partners LP - Hedge Fund - San Francisco, CA			X																		
S 265	Melvin Strategic Capital V, LP - Real Estate - New York, NY (3)				X																	
S 266	Cash & Cash Equivalents - New York, NY					X																
S 267	Loan Receivable - 777 LP Units-Penn for Commercial Office - Philadelphia, PA						X															
S 268	Summa LLC c/o Matkin Holdings LLC, New York, NY							X														
S 269	JP Morgan - Cash & Sweep Account - Newark, DE								X													
S 270	AAM Partners LLC c/o Matkin Holdings LLC - New York, NY:									X												
S 271	JP Morgan - Cash & Sweep Account - Newark, DE										X											
S 272	Aimmune Therapeutics Inc (AUMT-NASDAQ) - Stock - Brisbane, CA (8)											X										
S 273	Espion Therapeutics Inc (ESPR-NASDAQ) - Stock - Ann Arbor, MI (4)												X									
S 274	Medline Therapeutics, Inc (MLNT-NASDAQ) / FKA Compa Inc: CEMPY - Stock - New Haven, CT (13)													X								
S 275	First Republic Bank (FRC-NYSE) - Stock - San Francisco, CA														X							
S 276	JG Kroll Heitz Company Holdings - Private Equity - New York, NY															X						
S 277	JG Restaurant Brands Holdings LP - Private Equity - New York, NY																X					
S 278	JG Special Situations Fund IV, LP - Private Equity - New York, NY																	X				
S 279	Aising Capital II, LP - Private Equity - New York, NY																		X			
S 280	Aising Capital III, LP - Private Equity - New York, NY																		X			
S 281	Aising Capital IV, LP - Private Equity - New York, NY (1) (3)																		X			
S 282	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)																		X			
S 283	Magnosia Refractories SA - Manufacturer of refractory material - Brazil																			X		

BLOCK A	Valuation of Assets	Type of Income	BLOCK C	
			Amount of Income	Actual Amount (Required if "Other Specified")
S 284	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 285	San Antonio International Ltd - Energy - San Antonio, TX	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 286	Alfis Participacoes S.A. - Staffing - Brazil	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 287	BHG S.A. - Hotel Management - Brazil	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 288	Magnesita Refractory SA - Manufacturer of refractory material - Brazil	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 289	Lacteos Brasil S.A. - Dairy Company - Brazil	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 290	Mission Point Capital Partners Fd - Private Equity - New York, NY (3) (14)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 291	MPH Mexico LLC - Clean Energy - Rutherford, VT	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 292	MPH Energy Holdings LP - Clean Energy - Rutherford, VT	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 293	Trilliant Inc. - Energy - Canada	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 294	PEM Holding Company - Penn Engineering & Manufacturing Common Stock - New York, NY (2) (11)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 295	Tritium Capital Partners II LP - Private Equity - New York, NY (3)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 296	Tower Three Partners Fund I, LP - Private Equity - New York, NY (3) (23)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 297	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 298	PLUMCMB 2001 [Trust] c/o Malkin Holdings LLC, New York, NY	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 299	JP Morgan - Cash & Sweep Account - Newark, DE	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 300	RCB Investment Partners LLC - Partnership - New York, NY	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 301	Rockefeller Capital Management - New York, NY (3) (17)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 302	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (less than .7 of 1%)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 303	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (less than .10 of 1%)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000
S 304	Loan Receivable - BBSF LLC - Stamford, CT (10)	None (or less than 1,001)	1,001 - 15,000	15,000 - 50,000

BLOCK A	BLOCK B	BLOCK C	Amount of Income	
			Actual Amount (Required if "Other Specified")	Over 5,000,000 1,000,001 - 5,000,000 Over 1,000,000 100,001 - 1,000,000 50,001 - 100,000 15,001 - 50,000 5,001 - 15,000 2,501 - 5,000 1,001 - 1,500 None (or less than 201)
			Other (Specify Type)	Qualified Blend Trust Exempted Trust Exempted Investment Fund Capital Gains Interest Rent Dividends Over 50,000,000 25,000,001 - 50,000,000 10,000,001 - 25,000,000 5,000,001 - 10,000,000 Over 1,000,000 600,001 - 1,000,000 250,001 - 500,000 100,001 - 250,000 50,001 - 100,000 15,001 - 50,000 1,001 - 15,000 None (or less than 1,001)
S 305	EQAGI, LLC (Owned by CMB 2012 GST) c/o Malkin Holdings LLC, New York, NY		X	
S 306	JP Morgan - Cash & Sweep Account - Newark, DE		X	
S 307	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)		X	
S 308	ContiCoffee - Private Equity - New York, NY		X	
S 309	ContiCoffee Co-Invest - Class B (Keuring Green Mountain Co-Invest) Private Equity - New York, NY		X	
S 310	ContiCoffee Co-Invest - Class D (Krispy Kreme Doughnuts Co.-Invest) Private Equity - New York, NY		X	
S 311	ContiCoffee Co-Invest - Class E - Private Equity - New York, NY (1)		X	
S 312	Loan Receivable - BBSF LLC - Stamford, CT		X	
S 313	CMB 2010 FAMILY TRUST c/o Malkin Holdings LLC, New York, NY		X	
S 314	JP Morgan - Cash & Sweep Account - Newark, DE		X	
S 315	Lantymae Partners LLC - Partnership - New York, NY (underlying assets listed above)		X	
S 316	CMB 2009 GRAT c/o Malkin Holdings LLC, New York, NY		X	
S 317	JP Morgan Checking Account - New York, NY		X	
S 318	Peter L. Malkin Family 9 LLC - Partnership - New York, NY (underlying assets listed above)		X	
S 319	Gynthia Blumenthal Personal Ownership Greenwich, CT		X	
S 320	Empire State Realty Trust Inc. - Class A (Common Stock) - New York, NY		X	
S 321	Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY		X	
S 322	W & M Properties, Inc. - Guardian Life Insurance Policy - New York, NY (10)		X	
S 323	Geo Energy Partners LLC - Energy - Agoura Hills, CA (12)		X	
S 324	Real Estate Partnerships c/o Empire State Realty Trust, New York, NY			Royalties
S 325	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)		X	
S 326	Residential Garden Apartments - Rochester Hills, MI			
S 327	CVS Retail Store - Edison, NJ			
S 328	CVS Retail Store - Painesville, OH			

BLOCK A	BLOCK B		BLOCK C		
	Type of Assets	Amount of Assets		Type of Income	Amount of Income
<p>Identity of Non-Publicly Traded Assets and Unearned Income Sources Report the name, address (city, state and zip code) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of instructions) for the production of income or investment in a non-publicly traded or business which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.</p>					
S 329	Broadway/72nd Associates II PLM JV - Commercial Office Building - New York, NY (10)	X	None (or less than 1,001)	Dividends	OVER 50,000,000
S 330	Chicago Gold Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)	X	None (or less than 1,001)	Rent	OVER 1,000,000
S 331	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut and 3 real estate management companies	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 332	112 West 34th Street Company Liquidating Trust - Proceeds from sale of property held as contingency for post-closing expenses - New York, NY (9)	X	None (or less than 1,001)	Capital Gains	1,001 - 15,000
S 333	Peter L. Malkin Joint Venture in KaliO-381 Realty Associates, LLC - Retail Shopping Centers - Locations below (3)	X	None (or less than 1,001)	Accepted Investment Fund	1,001 - 15,000
S 334	St. Davids, PA	X	None (or less than 1,001)	Accepted Trust	1,001 - 15,000
S 335	Manhasset, NY	X	None (or less than 1,001)	Qualified Bond Fund	1,001 - 15,000
S 336	Paramus, NJ	X	None (or less than 1,001)	Dividends	1,001 - 15,000
S 337	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)	X	None (or less than 1,001)	Rent	1,001 - 15,000
S 338	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (10)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 339	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (10)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 340	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (10)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 341	Malkin Properties of Virginia, Inc. - Real Estate Management - New York, NY (10)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 342	Malkin Support Fund LP - Real Estates - New York, NY	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 343	Fidelity - FIMM Fund - Mutual Fund - New York, NY	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 344	Loan Receivable from Kansas City Georgetown Associates - Merriam, KS	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 345	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 346	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 347	Univay Partners LP Malkin JV - Commercial Retail - New York, NY (10)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 348	U.S. La Roca II LLC - Commercial Retail - Barcelona, Spain (10) (15)	X	None (or less than 1,001)	Interest	1,001 - 15,000
S 349	U.S. Madrid II LLC - Commercial Retail - Madrid, Spain (10) (15)	X	None (or less than 1,001)	Interest	1,001 - 15,000
350	RICHARD BLUMENTHAL	X	None (or less than 1,001)	Interest	1,001 - 15,000
351	Rockefeller Libra Fund LP - Multi Markets Equity Fund - New York, NY	X	None (or less than 1,001)	Interest	1,001 - 15,000

Footnotes to Part IIIB

- (1) 2017 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 December 5, 2017, Aisling Capital II distributed shares of Esperion Therapeutics Inc (trading on NASDAQ under the symbol ESPR) to AAM Partners LLC.
- (5) On July 12, 2017, Tenaska Power Fund distributed shares of Willbros Group (trading on NASDAQ under the symbol WG) to all limited partners
- (6) O-Cap Partners LP distributed an interest in Hilltop Energy LLC to its Limited Partners on December 28, 2017 O-Cap Partners then liquidated in 2017
- (7) On December 4, 2017, the Peter L Malkin Family 2000 LLC tendered for redemption 487,320 Empire State Realty OP, LP (Operating Partnership Units) which were then redeemed for an equal number of shares of Empire State Realty Trust Inc. Class A Common Stock per the conversion and exchange rights of the Operating Partnership Units:
All units of limited partnership interest ("Operating Partnership Units") of the Operating Partnership are redeemable by the holder for shares of Class A common stock, par value \$0.01 ("Class A Common Stock") of the Issuer on a one-for-one basis or the cash value of such shares, at the Issuer's option.

With the redemption of the 487,320 Operating Partnership Units, the Peter L Malkin Family 2000 LLC also converted 9,945 of its Empire State Realty Trust Inc Class B common stock to Class A as required by the mandatory conversion:

Under the operating documents of the Issuer, a holder of 49 Operating Partnership Units is entitled to hold one share of Class B Common Stock. The Class B Common Stock is mandatorily convertible into Class A Common Stock, on a one-for-one basis, when the holder of a share of Class B Common Stock no longer holds the requisite number of Operating Partnership Units appurtenant to that share. The conversion right does not expire.

Then on December 4, 2017, Peter L Malkin Family 2000 subsequently sold the 497,265 newly converted Empire State Reality Trust Class A Common Stock for a realized capital gain through a secondary market block trade.

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

(9) These liquidating trusts were created in 2015 as distributions to investors from 112 West 34th Street Associates, 112 West 34th Street Company, and 1400 Broadway Associates. They were created to hold contingency proceeds for post-closing expenses and/ or claims related to the sale of their properties or leases to Empire State Realty OP, LP (ESR OP). The contingency was held in the form of ESR OP units and/or cash. Income generated in 2015 and 2016 was related to income from the ESR OP units held by the trusts and therefore included with the other Empire State Realty OP, LP units. The trusts were broken out and final in 2017 when they distributed the remaining cash and units to owners.

(10) Sole underlying asset.

(11) Tinicum Capital Partners II-2 distributed PEM Holding Company common stock to its Limited Partners on October 10, 2016. Tinicum Capital Partners II-2 then liquidated in 2016.

(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) Cempra Inc shareholders received 1 new share of Melinta Therapeutics, Inc for every 5 shares of Cempra Inc held as a result of a reverse merger on November 8, 2017

(14) The fund disposed of RE Community Holdings LP during 2017. Additionally, the value of its investment in MPH Midco LLC increased to reportable during 2017, when it was below the threshold in previous years.

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

(16) The entity is managed from Greenwich, CT

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

(18) Previous reports inadvertently listed the location and description as Chicago, IL and commercial retail.

- (19) Previous reports inadvertently listed name as U.S. Bicester L.P
- (20) Previous reports inadvertently listed name as U.S. Bicester II LLC PLM JV
- (21) Previous reports inadvertently listed name as U.S. La Roca LLC PLM JV
- (22) Previous reports inadvertently listed name as U.S. Paris LLC.
- (23) Previous reports inadvertently listed name as Tower Three Partners Fund II, LP