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August 13, 2018

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

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

**Re:** Senator Richard Blumenthal

Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find Senator Blumenthal's Public Financial Disclosure Report for the calendar year December 31, 2017.

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

000000001503

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

<input type="checkbox"/> Amendment			
Last Name	First Name and Middle Initial	Annual Report	
Blumenthal	Richard	Calendar Year Covered by Report	Senate Office / Agency in Which Employed
2017	United States Senate		
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report	Prior Office / Agency in Which Employed
724 Hart Office Building US Senate - Washington, DC	202-224-2823	N/A	N/A

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

	YES	NO	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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$390 from one source)? If Yes, complete and attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income totaling \$200 or more from any reportable source in the reporting period? If Yes, complete and attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$390 and not otherwise exempt)? If Yes, complete and attach PART V	<input type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the two prior years? If Yes, complete and attach PART X.	<input type="checkbox"/>	<input type="checkbox"/>

**Each question must be answered and the appropriate PART attached for each “YES” response.**

	FOR OFFICIAL USE ONLY Do Not Write Below this Line  2018 AUG 13 PM 4:11 SECRETARY OF THE SENATE PUBLIC RECORDS
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Reporting Individual's Name Richard Blumenthal	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number 1
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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 <b>EXAMPLE</b>	Speech <b>EXAMPLE</b>	\$1,000
	7/23/1X XYZ Magazine	NY, NY <b>EXAMPLE</b>	Article <b>EXAMPLE</b>	\$500
1 1/28/17	Nicholas Moore, payment to Avon Theatre 10th Anniversary Red Carpet Gala	Irvington, NY	Appearance	\$2000.00
2 1/28/17	Susan Hinrichs, payment to Avon Theatre 10th Anniversary Red Carpet Gala	Greenwich, CT	Appearance	\$2000.00
3 2/4/17	Brad, Nancy, Matt and Alex Benjamin, payment to Temple Beth El of Stamford 2017 'Temple Rock' Benefit Event	Stamford, CT	Appearance	\$2000.00
4 2/25/17	Linda Schwartzman, Scott Nevins, Benjamin Cohn, Lois Schwartzman, payment to Habitat for Humanity of Coastal Fairfield County 2017 Benefit Event	Riverside, CT	Appearance	\$415.00
5 3/12/17	Jeannie Kasindorf, payment to Jewish Community Center of Stamford 2017 Annual Gala	Stamford, CT	Appearance	\$2000.00
6 3/12/17	Joan and Bennett Schwartz, payment to Jewish Community Center of Stamford 2017 Annual Gala	Stamford, CT	Appearance	\$2000.00
7 3/25/17	Kyle Gordon, Eliza Hamilton, payment to Easterseals Capital Region & Eastern Connecticut 2017 Annual Crystal Ball Benefit Gala	Information requested	Appearance	\$600.00
8 3/25/17	Phil Titterton, Dani Titterton, payment to Easterseals Capital Region & Eastern Connecticut 2017 Annual Crystal Ball Benefit Gala	Information requested	Appearance	\$600.00
9 4/5/17	Nikki Sterios, Meira Rosenberg, Rose Foley, Charlesanna Ecker, payment to Planned Parenthood of Southern New England 2017 (100th Anniversary) Benefit Luncheon	Stamford, CT	Appearance	\$100.00
10 4/7/17	Cynthia Stevens, payment to Women's Center of Danbury 2017 Gala Benefit	New Fairfield, CT	Appearance	\$500.00
11 4/21/17	Heidi Smith, Scott Smith, payment to YWCA Greenwich 2017 Annual Persimmon Ball	Greenwich, CT	Appearance	\$2000.00
12 4/22/17	Allie (Conway) Marks, Steven Marks, payment to Greenwich Academy 'Urban Cowgirl' 2017 Annual Benefit Event	Greenwich, CT	Appearance	\$2000.00
13 4/29/17	Scott, Kathy, Luke and Richard Demsey, payment to St. Peter's Church Choir Gala Auction	Cheshire, CT & Watertown, CT	Appearance	\$850.00
14 4/29/17	Jennifer Michnowicz, Henry Michnowicz, Sarah Carr, Gregory Krieger, Julia Krieger James Krieger, Ben Krieger, payment to St. Peter's Church Choir Gala Auction	Southington, CT	Appearance	\$850.00

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	Page Number 2
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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 4/29/17	Jafar Kafel, payment to Hartford Symphony Orchestra 2017 'Bravo' Annual Gala	Fairfield, CT	Appearance	\$1950.00
2 4/29/17	Alexander Carre, payment to Hartford Symphony Orchestra 2017 'Bravo' Annual Gala	Middletown, CT	Appearance	\$1950.00
3 4/29/17	John W., Suzanne T., John W. II, and Rose G. Bourdeaux, payment to Hartford Symphony Orchestra 2017 'Bravo' Annual Gala	Hartford, CT	Appearance	\$2000.00
4 5/4/17	Sam Cingari, payment to Mill River Park Collaborative 2017 Annual 'Dinner in the Park' Benefit Event	Information requested	Appearance	\$2000.00
5 5/4/17	Dorothy Hines, payment to Mill River Park Collaborative 2017 Annual 'Dinner in the Park' Benefit Event	Information requested	Appearance	\$2000.00
6 5/4/17	Helen Stein, David Stein, Zhenya Yayloyan, Tea Coctello, payment to Mill River Park Collaborative 2017 Annual 'Dinner in the Park' Benefit Event	New York, NY	Appearance	\$2000.00
7 5/4/17	Paul Senecal, payment to Mill River Park Collaborative 2017 Annual 'Dinner in the Park' Benefit Event	Information requested	Appearance	\$2000.00
8 5/4/17	Paula Weinstein, payment to Mill River Park Collaborative 2017 Annual 'Dinner in the Park' Benefit Event	Information requested	Appearance	\$2000.00
9 5/5/17	Eric Gerster, payment to Alzheimer's Association CT Chapter 2017 'Celebrating Hope' Gala	Riverside, CT	Appearance	\$2000.00
10 5/5/17	Jeffrey Ruden, Kelle Cox Ruden, Leonard Cox, Travis Cox, payment to Alzheimer's Association CT Chapter 2017 'Celebrating Hope' Gala	Westport, CT	Appearance	\$2000.00
11 5/5/17	Stephen Jaeger, Sophie Jaeger, Susan O'Connell, payment to Alzheimer's Association CT Chapter 2017 'Celebrating Hope' Gala	Old Greenwich, CT	Appearance	\$2000.00
12 5/6/17	John Mancini, Katherine Mancini, payment to Fairfield College Preparatory School 75th Anniversary Auction Benefit	Darien, CT	Appearance	\$2000.00
13 5/6/17	William Jr., Lynn, Jake, and Tyler Petriño, Laurie, Jim and Christopher Hill, payment to Fairfield College Preparatory School 75th Anniversary Auction Benefit	Easton, CT & Milford, CT	Appearance	\$2000.00
14 5/6/17	George, Elizabeth 'Beth', Emily, and Andrew Lencyk, payment to Fairfield College Preparatory School 75th Anniversary Auction Benefit	Stamford, 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.

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

Reporting Individual's Name Richard Blumenthal	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number 3
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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 <b>EXAMPLE</b>	Speech <b>EXAMPLE</b>	\$1,000
	7/23/1X XYZ Magazine	NY, NY <b>EXAMPLE</b>	Article <b>EXAMPLE</b>	\$500
1 5/6/17	Christopher and Leslie Fabro, payment to Fairfield College Preparatory School 75th Anniversary Auction Benefit	Fairfield, CT	Appearance	\$2000.00
2 5/9/17	Lindsay Purcell, payment to Child Advocates of Southwest Connecticut 2017 Annual Love Luncheon	Darien, CT	Appearance	\$1000.00
3 5/10/17	Wendi Schechter, Ed Schechter, payment to Schoke Jewish Family Service (Jewish Family Service of Stamford) 2017 Annual 'Evening with JFS' Benefit Event	Stamford, CT	Appearance	\$1500.00
4 5/12/17	Linda Profusek, Janet Schmidt, Wendy Schmidt, Sandy Gompf, payment to YMCA Greenwich 2017 Annual Benefit Gala	Greenwich, CT	Appearance	\$960.00
5 5/13/17	Tiffany Benincasa, Jamie Benincasa, payment to Bruce Museum 30th Anniversary Gala	Greenwich, CT	Appearance	\$2000.00
6 5/13/17	Laura Prozos, Andy Prozos, payment to Bruce Museum 30th Anniversary Gala	Greenwich, CT	Appearance	\$2000.00
7 5/13/17	Carolyn Dempsey, Gino Arcuri, payment to Bruce Museum 30th Anniversary Gala	Port Chester, NY	Appearance	\$2000.00
8 6/1/17	Mary Barneby, Margaret Monaco, Madeline Weinstein, Laurence Weinstein, payment to Girl Scouts of Connecticut 24th Annual Women of Merit Dinner	Madison, CT	Appearance	\$2000.00
9 6/19/17	Aryn Grossman, payment to Fairfield County Hospice House 2nd Annual Golf Classic	Greenwich, CT	Appearance	\$1000.00
10 6/24/17	Jessica Esterkin, payment to Greenwich Hospital 2017 'Under the Stars' Benefit Gala	Information requested	Appearance	\$1000.00
11 6/26/17	Daniel Lennon, Frank Rapp, Susan Eisen, payment to Global Lyme Alliance 2017 'Teed Off at Lyme' Golf Tournament	West Greenwich, RI	Appearance	\$225.00
12 6/29/17	Cindy Catterson, Howard Meitiner, payment to Greenwich Sentinel Foundation Fundraiser	Old Greenwich, CT	Appearance	\$325.00
13 9/24/17	Richard Frank, Polly Frank, Madeleine Dherst, Mary Powers, payment to At Home In Greenwich 2017 Annual Cabaret Fundraiser	Riverside, CT	Appearance	\$1600.00
14 10/12/17	Joseph Havranek, Barbara Havranek, Chief James Heavey, Kia Heavey, payment to Glenville Volunteer Fire Department 2017 Annual David N. Theis Award Event	Greenwich, CT	Appearance	\$250.00

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

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

Reporting Individual's Name Richard Blumenthal	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number 4
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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 <b>EXAMPLE</b>	Speech <b>EXAMPLE</b>	\$1,000
	7/23/1X XYZ Magazine	NY, NY <b>EXAMPLE</b>	Article <b>EXAMPLE</b>	\$500
1 10/14/17 Giles, Harriet, Tabitha and Francesca Jones, payment to India Cultural Center of Greenwich 2017 Annual Gala		Greenwich, CT	Appearance	\$2000.00
2 10/14/17 Rick Donner, Robert Logan, Jean McFaddin and Susan Falk, payment to Lockwood-Mathews Mansion Museum 2017 Annual 'Gilded Age' Gala		New York, NY	Appearance	\$1000.00
3 10/15/17 Todd, Gianmarco, and Lica Barrato, Cristiana Maggiore, payment to East Elementary School 2017 Annual Fall Festival Silent Auction		New Canaan, CT	Appearance	\$850.00
4 10/20/17 Rebecca Wilson Rogers, payment to Women's Business Development Council 20th Anniversary Gala Luncheon		Greenwich, CT	Appearance	\$50.00
5 10/21/17 Mark, Lindy, Edward and Matthew Camel, payment to Greenwich Hospital 2017 Annual Fall Gala		Greenwich CT	Appearance	\$2000.00
6 10/21/17 Susan Salice, Thomas Salice, payment to Greenwich Hospital 2017 Annual Fall Gala		Rye, NY	Appearance	\$2000.00
7 10/27/17 Dennis Macauley, payment to ARI of Connecticut 65th Anniversary Celebration		Danbury, CT	Appearance	\$300.00
8 11/3/17 Ken Halaby, payment to The Kennedy Center's 2017 Annual Crystal Gala		Trumbull, CT	Appearance	\$2000.00
9 11/3/17 Anthony Carpenter, payment to The Kennedy Center's 2017 Annual Crystal Gala		Sandy Hook, CT	Appearance	\$2000.00
10 11/3/17 Alfred Paylis, payment to The Kennedy Center's 2017 Annual Crystal Gala		Fairfield, CT	Appearance	\$2000.00
11 11/3/17 Andrew Banoff, Adriana Campos, Julieta Kuri, payment to The Kennedy Center's 2017 Annual Crystal Gala		Fairfield, CT	Appearance	\$2000.00
12 11/3/17 Jeffrey, Joshua; Jennifer and Barbara Green Orell, payment to The Kennedy Center's 2017 Annual Crystal Gala		Milford, CT	Appearance	\$2000.00
13 11/12/17 Jonathan, Talia, Ilene and David Siscovick, payment to Bi-Cultural Day School 2017 Annual Auction Benefit Event		Stamford, CT	Appearance	\$2000.00
14 11/17/17 Richard Steele, payment to Denison Pequotsepos Nature Center 2017 Annual Gala		Waterford, CT	Appearance	\$1000.00

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

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

Reporting Individual's Name Richard Blumenthal	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number 5
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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 12/3/17	Katherine Freygang, payment to Housatonic Valley Association's 2017 Annual Auction for the Environment	Cornwall, CT	Appearance	\$2000.00
2 12/3/17	Melissa Hladek, payment to Housatonic Valley Association's 2017 Annual Auction for the Environment	New Milford, CT	Appearance	\$2000.00
3 12/3/17	Tracey Young, Denny Kaylor, payment to Housatonic Valley Association's 2017 Annual Auction for the Environment	Woodbury, CT	Appearance	\$2000.00
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A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

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

Reporting Individual's Name

 Amendment

Richard Blumenthal

Page Number

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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	\$15,000
	MCI (Spouse)	Arlington, VA	EXAMPLE	Over \$1,000
1	State of Connecticut Retirement Division	Hartford, CT	Pension	58,583
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Richard Blumenthal

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

7

## 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.

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
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BLOCK C  
Type and Amount of Income

## Type of Income

## Amount of Income

	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 \$1,000,000***	Over \$5,000,000	Actual Amount Required if "Other" Specified
S, Example: DC, or J	X						X			X										Example
(S) Keystone Fund		X						X		Example	X									Example
1 S JPMorgan - Checking Account		X						X			X									
2 S JPMorgan - Asset Account		X						X			X									
3 S JPMorgan - Savings Account			X					X			X									
4 J Bank of America - Checking Account		X						X			X									
5 J JPMorgan - Checking Account	X							X			X									
6 J JPMorgan - Asset Account	X							X			X									
7 J JPMorgan - Savings Account	X							X			X									
8																				
9																				
10																				

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.

	BLOCK A	BLOCK B										BLOCK C							Amount of Income														
		Valuation of Assets										Type of Income			Amount of Income				Actual Amount (Required if "Other Specified")														
		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")
	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																																
S 1	<b>3 M'S PARTNERS</b> c/o Malkin Holdings LLC - New York, NY:																																
S 2	JP Morgan - Cash & Sweep Account - Newark, DE					X									X								X										
S 3	Blue Ridge Limited Partnership - Hedge Fund - New York, NY							X										X					X										
S 4	Eton Park Fund, LP - Hedge Fund - New York, NY	X																X					X										
S 5	Malkin Capital Fund, LP - Hedge Fund - New York, NY (1) (3)				X																		X										
S 6	<b>NEW THINGS PARTNERS LLC</b> c/o Malkin Holdings LLC - New York, NY:																																
S 7	JP Morgan - Cash & Sweep Account - Newark, DE		X																				X										
S 8	Ability Reinsurance Holdings Limited - Common Stock - Bermuda (2)	X																					X										
S 9	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																																
S 10	JP Morgan - Cash & Sweep Account - Newark, DE		X																				X										
S 11	Esperion Therapeutics Inc (ESPR- NASDAQ) - Stock - Ann Arbor, MI (4)	X																					X										
S 12	First Republic Bank (FRC - NYSE) - Stock - San Francisco, CA		X												X							X											
S 13	3G Kraft Heinz Company Holdings - Private Equity - New York, NY			X													X						X										
S 14	3G Restaurant Brands Holdings LP - Private Equity - New York, NY			X													X					X											
S 15	3G Special Situations Fund IV, LP - Private Equity - New York, NY		X														X						X										
S 16	Aisling Capital II, LP - Private Equity - New York, NY	X															X						X										
S 17	Aisling Capital III, LP - Private Equity - New York, NY	X															X						X										
S 18	Aisling Capital IV, LP - Private Equity - New York, NY (1) (3)	X																					X										
S 19	AEA Mezzanine Fund LP - Private Equity - Stamford, CT	X															X							X									
S 20	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)	X																					X										
S 21	Tinicum Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)	X																					X										
S 22	<b>OTHER ONE LLC</b> c/o Malkin Holdings LLC - New York, NY																																
S 23	JP Morgan - Cash & Sweep Account - Newark, DE					X							X			X							X										
S 24	Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)					X																	X										
S 25	Valiant Capital Partners LP - Hedge Fund - San Francisco, CA				X													X						X									
S 26	RCB Investment Partners LLC - Partnership - New York, NY:												-																				
S 27	State Street Bank & Trust Co. - New York, NY (9)						X								X	X	X								X								
S 28	Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (less than .7 of 1%)		X												X		X							X									
S 29	Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (less than .10 of 1%)			X											X		X							X									





		BLOCK A		BLOCK B								BLOCK C						Amount of Income															
		Valuation of Assets								Type of Income				Amount of Income																			
		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 - 10,000	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")
		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																															
S	82	Missionpoint RE Co-Invest Fund, LP - Private Equity - Norwalk, CT (3)			X																			X									
S	83	MPH Midco LLC - Clean Energy - Rutland, VT																															
S	84	MPH Energy Holdings LP - Clean Energy - Rutland, VT																															
S	85	Missionpoint RE Co-Invest Fund II, LP - Private Equity - Norwalk, CT (3)			X																			X									
S	86	MPH Midco LLC - Clean Energy - Rutland, VT																															
S	87	MPH Energy Holdings LP - Clean Energy - Rutland, VT																															
S	88	Missionpoint RE Co-Invest Fund III, LP - Private Equity - Norwalk, CT (3)			X																			X									
S	89	MPH Midco LLC - Clean Energy - Rutland, VT																															
S	90	MPH Energy Holdings LP - Clean Energy - Rutland, VT																															
S	91	Palamon European Equity Fund II, LP - Private Equity - London, England			X															X				X									
S	92	Plia - Private Equity - Purchase, NY					X																	X									
S	93	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	94	Rocketefeller Access Fund I, LLC - Private Equity - New York, NY (3)				X												X	X	X					X								
S	95	RRE Ventures III-A, LP - Private Equity - New York, NY (3)	X																						X								
S	96	RRE Ventures IV, LP - Private Equity - New York, NY (3)				X													X	X						X							
S	97	RRE Ventures V, LP - Private Equity - New York, NY (3)					X																	X									
S	98	RRE Ventures VI, LP - Private Equity - New York, NY (3)					X																	X									
S	99	RRE Ventures VII, LP - Private Equity - New York, NY (1) (3)				X																		X									
S	100	Tower Three Partners Fund II, LP - Private Equity - Greenwich, CT				X														X									X				
S	101	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																															
S	102	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)			X													X	X						X								
S	103	Residential Garden Apartments - Rochester Hills, MN																															
S	104	CVS Retail Store - Edison, NJ																															
S	105	CVS Retail Store - Painesville, OH																															
S	106	Chicago Golf Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)				X											X	X	X						X								

	BLOCK A	BLOCK B										BLOCK C								
		Valuation of Assets										Type of Income								
		None ( or less than 1,001)										None ( or less than 201)								
<b>Identity of Non-Publicly Traded Assets and Unearned Income Sources</b> 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																				
		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)
S	107	Empire State Realty OP. LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut, 3 real estate management companies, & an Interior Building Construction company										X								X
S	108	Fairfax Merrifield Associates II - Residential Garden Apartments (Fee Position) - Fairfax, VA (10)										X								X
S	109	Georgetown Apartment Associates - Residential Garden Apartments (lease position) - Shrewsbury, MO (10)										X								X
S	110	Jefferson (Dixie) Associates, LLC - Commercial Retail - Louisville, KY (10)										X			X					X
S	111	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)										X			X					X
S	112	Malkin Co-Investor Capital LP - Fred F. French Building - New York, NY (10)										X								X
S	113	Malkin Foxfire LLC - Residential Garden Apartments - Rochester Hills, MI (10)										X			X					X
S	114	Malkin Glen Oaks LLC - Residential Garden Apartments - Des Plaines, IL (10)										X			X					X
S	115	Malkin Strategic Capital V, LP - Real Estate - New York, NY (3)										X								X
S	116	Cash & Cash Equivalents - New York, NY																		
S	117	Malkin Strategic Capital VI, LP - Real Estate - New York, NY (3)										X			X					X
S	118	Cash & Cash Equivalents - New York, NY																		
S	119	Loan Receivable - 777 LP/Uni-Penn for Commercial Office - Philadelphia, PA																		
S	120	Malkin Support Fund LP - Real Estate - New York, NY:																		
S	121	Fidelity - FIMM Fund - Mutual Fund - New York, NY										X								X
S	122	Loan Receivable from Kansas City Georgetown Associates - Merriam, KS										X			X					X
S	123	McKnight Road Associates LLC - Commercial Retail - Ross Township, PA (10)										X			X					X
S	124	Merrifield Apartments Company II LLC - Residential Garden Apartments (lease position) - Fairfax, VA (10)													X					X
S	125	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)										X								X
S	126	Rochester River Oaks/Chicago Foxfire Apartments LLC - Residential Garden Apartments - Rochester Hills, MI (10)										X			X					X
S	127	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)										X								X
S	128	Uniway Partners LP Malkin JV - Commercial Retail - New York, NY (10)										X			X					X
S	129	U.S. Wertheim Associates LLC - Commercial Retail - Wertheim, Germany (10)																		X
S	130	Wilk Realty Company LLC - Commercial Retail - Monroeville, PA (10)										X			X					X





	BLOCK A	BLOCK B										BLOCK C								
		Valuation of Assets										Type of Income				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										Type of Income				Amount of Income					
		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	Qualified Blind Trust	Other (Specify Type)
S	185	Palamon European Equity Fund II, LP - Private Equity - London, England				X								X						X
S	186	PEM Holding Company - Penn Engineering & Manufacturing Common Stock - New York, NY (2) (11)				X														
S	187	Revolution Venture II, LP - Private Equity - Washington, DC				X								X						
S	188	Rockefeller Access Fund 06-I, LLC - Private Equity - New York, NY (3)				X								X	X	X				X
S	189	Rockefeller Access Fund I, LLC - Private Equity - New York, NY (3)		X									X	X	X				X	
S	190	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)			X														X	
S	191	Tinicum Capital Partners II Add-On Fund LP - Private Equity - New York, NY (3)		X															X	
S	192	Tower Three Partners Fund II, LP - Private Equity - New York, NY			X										X				X	
S	193	TPF Genco Co-Investment Fund LP - Private Equity - Omaha, NE (3)		X															X	
S	194	Vanterra Direct Wellnext LLC - Private Equity - New York, NY (3)				X													X	
S	195	Wellnext Holdings, LLC - Middle Market Companies in Health & Nutritional Product Sector																		
S	196	Vanterra HPH Wellnext LP - Private Equity - New York, NY (3)					X												X	
S	197	HPH Specialized Fund I, LP - Solely invested in Wellnext Holdings, LLC (see Line 195)																		
S	198	MW General Partners, LP - GP Interest in HPH Specialized Fund I																		
S	199	ZM Capital CRT Investment, LP - Private Equity - New York, NY		X										X					X	
S	200	ZM Capital Niagara Investment (Cayman) LP - Private Equity - New York, NY			X									X					X	
S	201	ZMC, LP (FKA ZM Capital, LP) - Private Equity - New York, NY		X										X					X	
S	202	ZMC II, LP (FKA ZM Capital II, LP) - Private Equity - New York, NY			X									X					X	
S	203	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																		
S	204	ARSA Associates - Real Estate - New York, NY					X												X	
S	205	BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)																	/	
S	206	BBSF LLC - Metrogreen apartments lots & parcels - Stamford, CT (10)						X											X	
S	207	Broadway/72nd Associates II PLM JV - Commercial Office Building - New York, NY (10)							X					X	X				X	
S	208	Chicago Golf Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)		X										X	X	X			X	
S	209	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut, 3 real estate management companies, & an Interior Building Construction company (7)							X					X					X	





		BLOCK A		BLOCK B								BLOCK C						Amount of Income															
				Valuation of Assets								Type of Income				Amount of Income																	
		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")
		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																															
S	264	<u>Summa I LLC</u> c/o Malkin Holdings LLC, New York, NY																															
S	265	JP Morgan - Cash & Sweep Account - Newark, DE				X										X									X								
S	266	AAM Partners LLC c/o Malkin Holdings LLC - New York, NY:																															
S	267	JP Morgan - Cash & Sweep Account - Newark, DE				X										X									X								
S	268	Aimmune Therapeutics Inc (AIMT- NASDAQ) - Stock - Brisbane, CA (8)	X																						X								
S	269	Esperion Therapeutics Inc (ESPR- NASDAQ) - Stock - Ann Arbor, MI (4)	X																						X								
S	270	Meinlina Therapeutics, Inc (MLNT-NASDAQ) (FKA Cempra Inc: CEMP) - Stock - New Haven, CT (13)	X																						X								
S	271	First Republic Bank (FRC - NYSE) - Stock - San Francisco, CA					X									X									X								
S	272	3G Kraft Heinz Company Holdings - Private Equity - New York, NY						X										X									X						
S	273	3G Restaurant Brands Holdings LP - Private Equity - New York, NY						X										X								X							
S	274	3G Special Situations Fund IV, LP - Private Equity - New York, NY					X											X								X							
S	275	Aisling Capital II, LP - Private Equity - New York, NY	X															X								X							
S	276	Aisling Capital III, LP - Private Equity - New York, NY		X														X								X							
S	277	Aisling Capital IV, LP - Private Equity - New York, NY (1) (3)		X																					X								
S	278	GP Capital Partners III, LP - Private Equity - San Paulo, Brazil (3)		X																					X								
S	279	Magnestia Refractories SA - Manufacturer of refractory material - Brazil																															
S	280	GP Capital Partners IV, LP - Private Equity - San Paulo, Brazil (3)		X																					X								
S	281	San Antonio International Ltd - Energy - San Antonio, TX																															
S	282	Allis Participacoes S.A. - Staffing - Brazil																															
S	283	BHG S.A. - Hotel Management - Brazil																															
S	284	Magnestia Refractories SA - Manufacturer of refractory material - Brazil																															
S	285	Lacteos Brasil S.A. - Dairy Company - Brazil																															
S	286	Mission Point Capital Partners Fd - Private Equity - New York, NY (3)				X																			X								
S	287	MPH Midco LLC - Clean Energy - Rutland, VT																															
S	288	MPH Energy Holdings LP - Clean Energy - Rutland, VT																															
S	289	Trilliant Inc. - Energy - Canada																															
S	290	PEM Holding Company - Penn Engineering & Manufacturing Common Stock - New York, NY (2) (11)					X																		X								
S	291	Tinicum Capital Partners II LP - Private Equity - New York, NY (3)				X																			X								



		BLOCK A		BLOCK B								BLOCK C							Amount of Income														
		Valuation of Assets								Type of Income										Amount of Income													
		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	60,001 - 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")
		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																															
S	320	Real Estate Partnerships c/o Empire State Realty Trust, New York NY																															
S	321	1185 Swap Portfolio II, LP - Real Estate - New York, NY (3)			X												X	X										X					
S	322	Residential Garden Apartments - Rochester Hills, MN																															
S	323	CVS Retail Store - Edison, NJ																															
S	324	CVS Retail Store - Painesville, OH																															
S	325	Broadway/72nd Associates II PLM JV - Commercial Office Building - New York, NY (10)					X										X	X										X					
S	326	Chicago Golf Road Limited Partnership - Residential Garden Apartments - Des Plaines, IL (10)			X												X	X	X									X					
S	327	Empire State Realty OP, LP - 18 Commercial Buildings (Retail & Office) in New York City, Westchester, and Connecticut, 3 real estate management companies, & an Interior Building Construction company						X											X									X					
S	328	Peter L. Malkin Joint Venture in KMO-361 Realty Associates, LLC - Retail Shopping Centers - Locations below (3)							X	X							X	X	X									X					
S	329	St. Davids, PA																															
S	330	Manhasset, NY																															
S	331	Paramus, NJ																															
S	332	Louisville Self-Service Associates LLC - Commercial Retail - Louisville, KY (10)			X												X	X										X					
S	333	Malkin Properties of Illinois, Inc. - Real Estate Management - New York, NY (10)				X														Ordinary									40,755				
S	334	Malkin Properties of Michigan LLC - Real Estate Management - New York, NY (10)					X												Ordinary									X	113,018				
S	335	Malkin Properties of Missouri, Inc. - Real Estate Management - New York, NY (10)						X											Ordinary									X	60,320				
S	336	Malkin Properties of Virginia, Inc. - Real Estate Management - New York, NY (10)							X										Ordinary									X	117,183				
S	337	Malkin Support Fund LP - Real Estate - New York, NY:																															
S	338	Fidelity - FIMM Fund - Mutual Fund - New York, NY							X								X											X					
S	339	Loan Receivable from Kansas City Georgetown Associates - Merriam, KS							X									X										X					
S	340	Pittsburgh Self-Service Associates LLC - Commercial Retail (fee owner) - Ross Township, PA (10)			X												X											X					
S	341	St. Louis - Georgetown Associates LLC - Residential Garden Apartments - Shrewsbury, MO (10)			X												X										X						
S	342	Uniway Partners LP Malkin JV - Commercial Retail - New York, NY (10)		X													X	X									X						
S	343	U.S. La Roca II LLC - Commercial Retail - Barcelona, Spain (10) (15)							X								X	X									X						
S	344	U.S. Madrid II LLC - Commercial Retail - Madrid, Spain (10) (15)							X								X	X									X						



Reporting Individual's Name Richard Blumenthal			Amendment	PART IV. TRANSACTIONS										Page Number 22				
<p>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.</p> <p>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.</p>																		
Identification of Assets			Transaction Type (x)			Amount of Transaction (x)												
Example: S, DC, or J		IBM Corp. (stock) NYSE	Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)		\$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
1	S	<b>3M's Partners LLC:</b>				2 / 1 / 1X		X			E	X	A	M	P	L	E	
2	S	Blue Ridge Limited Partnership		X		1 / 27 / 1X				X	E	X	A	M	P	L	E	
3	S	Malkin Capital Fund LP	X			2 / 1 / 2017				X								
4	S	<b>New Things Partners LLC:</b>																
5	S	<b>AAM Partners LLC - Aisling Capital IV, LP</b>	X			8 / 1 / 2017		X										
6	S	<b>Other One LLC - Valiant Capital Partners LP</b>		X		7 / 28 / 2017				X								
7	S	<b>Summa I LLC:</b>																
8	S	<b>AAM Partners LLC - Aisling Capital IV, LP</b>	X			8 / 1 / 2017			X									
9	S	<b>Peter L. Malkin Family 9 LLC:</b>																
10	S	930-DSIC 4 LLC	X			6 / 8 / 2017				X								
11	S	Malkin Capital Fund LP	X			10 / 31 / 2017							X					
12	S	RRE Ventures VII LP	X			4 / 5 / 2017			X									
13	S	Valiant Capital Partners LP		X		7 / 28 / 2017						X						
14	S	<b>3M's Partners LLC - Blue Ridge Limited Partnership</b>		X		1 / 3 / 2017				X								
15	S	<b>3M's Partners LLC - Malkin Capital Fund LP</b>	X			2 / 1 / 2017				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				
*** 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	PART IV. TRANSACTIONS	Page Number 23
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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.			Amount of Transaction (x)															
			Transaction Type (x)			Transaction Date (Mo., Day, Yr.)			\$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
Identification of Assets			Purchase	Sale	Exchange													
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	Peter L. Malkin Family 2000 LLC:																
17	S	Empire State Realty Trust Inc. - Class A		X		12/6/2017								X				
18	S	ContiCoffee Co-Invest - Class E	X			1/26/2017					X							
19	S	Intercept Co-Investors	X			11/20/2017					X							
20	S	Malkin Capital Fund LP	X			10/31/2017								X				
21	S	AAM Partners LLC - Aisling Capital IV, LP	X			8/1/2017		X										
22	S	Magnifique LLC:																
23	S	Blue Ridge Limited Partnership		X		1/3/2017							X					
24	S	Malkin Capital Fund LP	X			2/1/2017							X					
25	S	Malkin Capital Fund LP	X			10/31/2017					X							
26	S	Hedge Holdings LLC:																
27	S	Blue Ridge Limited Partnership		X		1/3/2017							X					
28	S	Malkin Capital Fund LP	X			2/1/2017							X					
29	S	Malkin Capital Fund LP	X			10/31/2017							X					
30	S	Valiant Capital Partners LP		X		7/28/2017						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				
*** 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	PART IV. TRANSACTIONS	Page Number 24
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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			Amount of Transaction (x)																							
			Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	\$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		Over \$50,000,000	
			Purchase	Sale	Exchange		X		X			X		E	X	A	M	P	L	E						
	Example: S, DC, or J	IBM Corp. (stock) NYSE	X			2/1/1X																				
		(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X								X	E	X	A	M	P	L	E					
31	S	EOAGT LLC:																								
32	S	ContiCoffee Co-Invest - Class E		X		1/26/2017								X												
33	S	CMB 2009 GRAT - Peter L. Malkin Family 9 LLC:																								
34	S	930-DSIC 4 LLC		X		6/8/2017																				
35	S	Malkin Capital Fund LP		X		10/31/2017																				
36	S	RRE Ventures VII LP		X		4/5/2017		X																		
37	S	Valiant Capital Partners LP			X	7/28/2017																				
38	S	3M's Partners LLC - Blue Ridge Limited Partnership		X		1/3/2017																				
39	S	3M's Partners LLC - Malkin Capital Fund LP		X		2/1/2017																				
40		FPA New Income Inc		X		1/3/2017								X												
41																										
42		.																								
43																										
44																										
45																										

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.

X

Richard Blumenthal

## PART VII. LIABILITIES

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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.

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)							
Example: DC, or J	S,	First District Bank	Wash., DC	Mortgage on undeveloped land	1992	13%	1 pt	25 yrs	X	E	X	A	M	P	L
	(J)	John Jones	Wash., DC	Promissory Note	2000	10%	n/a	On dmd	X	E	X	A	M	P	L
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.

Richard Blumenthal

**PART IX. AGREEMENTS OR ARRANGEMENTS**

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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.

<b>Status and Terms of any Agreement or Arrangement</b>		<b>Parties</b>	<b>Date</b>
<b>Example:</b>	<i>Pursuant to partnership agreement, will receive lump sum payment of capital account &amp; partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)</i>	Jones & Smith, Hometown, USA	<b>EXAMPLE</b>
	<i>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</i>	XYZ Co., Bethesda, MD	<b>EXAMPLE</b>
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 \$58,583 Upon death, one half of benefit is payable to his spouse.		
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## **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 W/G) 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) Custodial account for Rockefeller funds.

(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) This footnote is not currently used

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

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