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June 25, 2019

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

**Re: Senator Richard Blumenthal**

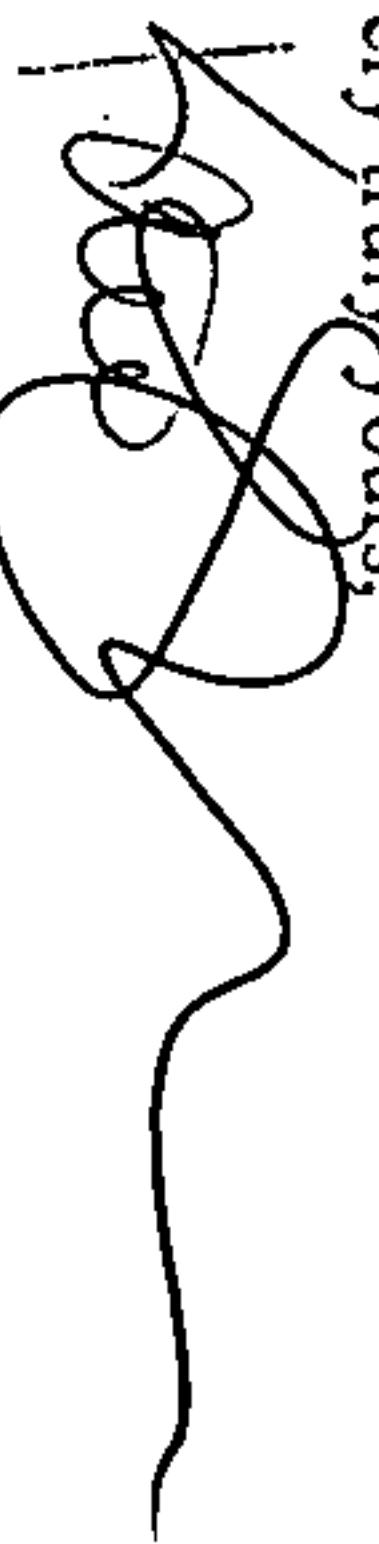
Dear Madame Secretary:

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find an amended Part II, Part IIIA, Part IIIB (with footnotes), and Part IV 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.

Also enclosed, please find Senator Blumenthal's Periodic Disclosure of Financial Transactions ("PTR") for a transaction made on November 8, 2017. The transaction was identified during the process of preparing and reviewing Senator Blumenthal's amendment to his public financial disclosure report for calendar year 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

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Richard Blumenthal

## 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 MCI (Spouse)	Wash., DC Arlington, VA	EXAMPLE EXAMPLE	\$15,000 Over \$1,000
1	State of Connecticut Retirement Division	Hartford, CT	Pension	58,583
2	Traditional IRA - Fidelity Management Trust Co - Custodian	Albuquerque, NM	IRA required min. dist.	3,168
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12				
13				

Richard Blumenthal

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

2

## 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***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X									X	X											Example

S, Example: DC, or J	IBM Corp. (stock)		X																			Example
	(S) Keystone Fund			X																		Example
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													X					
9	Rockefeller Intermediate Tax Exempt Nation Bond Fund - Fixed Income						X												X			
10	State of CT Retirement Division - Pension - Value Unascertainable																					

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

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

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

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

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

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

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

BLOCK B  
Valuation of Assets

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

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

Actual  
AmountRequired  
if  
"Other"  
Specified

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***	\$1,000,001 - \$5,000,000	Over \$5,000,000
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S, Example: DC, or J	IBM Corp. (stock)	X																	
	(S) Keystone Fund		X																
1	S Fidelity Traditional IRA - FID Intermediate Bond Fund		X																
2	Fidelity Traditional IRA - FID Intermediate Bond Fund			X															
3																			
4																			
5																			
6																			
7																			
8																			
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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.



**Reporting Individual's Name**  **Amendment**

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

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





**Reporting Individual's Name**

### Amendment

Richard Blumenthal

Reporting Individual's Name  Amendment

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









	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	Exempted Investment Fund	Exempted 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	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																				
S	298 <u>PLM/CMB 2001 Trust</u> c/o Malkin Holdings LLC, New York, NY	X																															
S	299 JP Morgan - Cash & Sweep Account - Newark, DE	X																			X												
S	300 RCB Investment Partners LLC - Partnership - New York, NY																																
S	301 <u>Rockefeller Capital Management - New York, NY (3) (17)</u>								X						X	X	X										X						
S	302 <u>Rockefeller US Small Capitalization Fund LP - Private Equity - New York, NY (3) (less than .7 of 1%)</u>	X													X	X										X							
S	303 <u>Rockefeller Global Equity Fund II LP - Private Equity - New York, NY (3) (less than .10 of 1%)</u>	X													X	X										X							
S	304 Loan Receivable - BBSF LLC - Stamford, CT (10)									X						X										X							
S	305 <u>EOAGT, LLC (Owned by CMB 2012 GST)</u> c/o Malkin Holdings LLC, New York, NY																																
S	306 JP Morgan - Cash & Sweep Account - Newark, DE	X													X							X											
S	307 <u>Malkin Capital Fund, LP - Hedge Fund - New York, NY (3)</u>								X												X												
S	308 <u>ContiCoffee - Private Equity - New York, NY</u>					X											X					X											
S	309 <u>ContiCoffee Co-Invest - Class B (Keurig Green Mountain Co-Invest) Private Equity - New York, NY</u>	X															X				X												
S	310 <u>ContiCoffee Co-Invest - Class D (Krispy Kreme Doughnuts Co-Invest) - Private Equity - New York, NY</u>	X															X				X												
S	311 <u>ContiCoffee Co-Invest - Class E - Private Equity - New York, NY (1)</u>					X										X					X												
S	312 Loan Receivable - BBSF LLC - Stamford, CT									X						X										X							
S	313 <u>CMB 2010 FAMILY TRUST</u> c/o Malkin Holdings LLC, New York, NY																																
S	314 JP Morgan - Cash & Sweep Account - Newark, DE	X																			X												
S	315 <u>Larymae Partners LLC - Partnership - New York, NY (underlying assets listed above)</u>								X						X	X	X	X								X							
S	316 <u>CMB 2009 GRAT</u> c/o Malkin Holdings LLC, New York, NY																																
S	317 JP Morgan Checking Account - New York, NY					X										X					X												
S	318 Peter L. Malkin Family 9 LLC - Partnership - New York, NY (underlying assets listed above)								X						X	X	X	X								X							
S	319 <u>Cynthia Blumenthal Personal Ownership</u> Greenwich, CT																																
S	320 Empire State Realty Trust Inc. - Class A (Common Stock) - New York, NY								X						X											X							
S	321 Empire State Realty Trust Inc. - Class B (Common Stock) - New York, NY								X						X											X							
S	322 W & M Properties, Inc. - Guardian Life Insurance Policy - New York, NY (10)								X											X													
S	323 Geo Energy Partners LLC - Energy - Agoura Hills, CA (12)					X														Royalties					X			7,773					

**Reporting Individual's Name**

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33333333337-95 PART IIIB NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

	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	Exempted 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
	350 RICHARD BLUMENTHAL																															
	351 Rockefeller Cash and Equivalents - New York, NY						X					X									X											
	352 Rockefeller Libra Fund LP - Mid Markets Equity Fund - New York, NY								X			X				X								X								

Reporting Individual's Name  
Richard Blumenthal

Amendment

## PART IV. TRANSACTIONS

Page Number  
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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

Example: S, DC, or J		IBM Corp. (stock) NYSE
		(DC) Microsoft (stock) NASDAQ/OTC

Line No.	Type	Name of Asset	Transaction Type (x)		Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)						
			Purchase	Sale		\$1001 - \$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	S	3M's Partners LLC:			2/1/1X	X						
2	S	Blue Ridge Limited Partnership		X	1/27/1X				X			
3	S	Malkin Capital Fund LP	X		2/1/2017				X			
4	S	Other One LLC - Valiant Capital Partners LP		X	7/28/2017				X			
5	S	Summa I LLC - AAM Partners LLC:										
6	S	Aisling Capital IV, LP	X		8/1/2017		X					
7	S	Cempra Inc. (CEMP) [exchanged] Melinta Therapeutics Inc. (MLNT) [received]		X	11/8/2017	X						
8	S	Peter L. Malkin Family 9 LLC:										
9	S	930-DSIC 4 LLC	X		6/8/2017				X			
10	S	Malkin Capital Fund LP	X		10/31/2017					X		
11	S	RRE Ventures VII LP	X		4/5/2017	X						
12	S	Valiant Capital Partners LP		X	7/28/2017					X		
13	S	3M's Partners LLC - Blue Ridge Limited Partnership		X	1/3/2017				X			
14	S	3M's Partners LLC - Malkin Capital Fund LP	X		2/1/2017				X			
15	S	EOAGT LLC - ContiCoffee Co-Invest - Class E	X		1/26/2017	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.

\*\*\* 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

Reporting Individual's Name  
Richard Blumenthal

Amendment

## PART IV. TRANSACTIONS

Page Number  
19

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds; commodity futures, and other securities when the amount of the transaction exceeded \$1,000.

Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

### Identification of Assets

			Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)										
			Purchase	Sale	Exchange		\$100 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
		Example: S, DC, or J															
16	S	Peter L. Malkin Family 2000 LLC:															
17	S	Empire State Realty Trust Inc. - Class A		X		2/1/1X		X									
18	S	ContiCoffee Co-Invest - Class E				1/27/1X					X						
19	S	Intercept Co-Investors		X								X					
20	S	Malkin Capital Fund LP		X									X				
21	S	AAM Partners LLC - Aisling Capital IV, LP		X								X					
22	S	Magnifique LLC:															
23	S	Blue Ridge Limited Partnership			X									X			
24	S	Malkin Capital Fund LP		X										X			
25	S	Malkin Capital Fund LP		X									X				
26	S	Hedge Holdings LLC:															
27	S	Blue Ridge Limited Partnership			X										X		
28	S	Malkin Capital Fund LP		X										X			
29	S	Malkin Capital Fund LP		X										X			
30	S	Valiant Capital Partners LP			X								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.

\*\*\* 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

### **Reporting Individual's Name**

X | Amendment

## **PART IV. TRANSACTIONS**

Page Number

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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**

**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

## **Footnotes to Part IIIB**

- 6666666667 66
- (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 34<sup>th</sup> Street Associates, 112 West 34<sup>th</sup> 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