

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cohn, Gary

Director of the National Economic Council, White House

Date of Appointment: 01/25/2017

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Cohn, Gary [electronically signed on 01/03/2017 by Cohn, Gary in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Passantino, Stefan, Certifying Official [electronically signed on 03/31/2017 by Passantino, Stefan in Integrity.gov]

Other review conducted by

/s/ Schultz, James D, Ethics Official [electronically signed on 03/30/2017 by Schultz, James D in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 03/30/2017

Data Revised 03/02/2017

Data Revised 02/17/2017

Data Revised 02/16/2017

Data Revised 02/15/2017

Data Revised 02/14/2017

Data Revised 02/13/2017

Data Revised 02/12/2017

Data Revised 02/10/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	NYU Langone Medical Center		New York, New York	Non-Profit	Trustee	5/2008	Present
2	American University		Washington, District of Columbia	University/College	Trustee	2/2009	Present
3	NYU Hospital for Joint Diseases		New York, New York	Non-Profit	Chairman of Advisory Board	8/2010	Present
4	2013 GRAT I		New York, New York	Trust	Trustee	2/2013	Present
5	2013 GRAT II		New York, New York	Trust	Trustee	2/2013	Present
6	2016 GRAT I		New York, New York	Trust	Trustee	2/2016	Present
7	2016 GRAT II		New York, New York	Trust	Trustee	2/2016	Present
8	The Pevaroff Cohn Family Foundation	See Endnote	New York, New York	Trust	Trustee	11/1994	Present
9	CMC Partners, LLC		Wilmington, Delaware	Corporation	Investment Manager	4/2006	Present
10	CMC Too, LLC		Wilmington, Delaware	Corporation	Investment Manager	8/2013	Present
11	New York University		New York, New York	University/College	Trustee	11/2016	Present
12	The Goldman Sachs Group, Inc.		New York, New York	Corporation	Senior Director	1/2017	Present
13	The Goldman Sachs Group, Inc.		New York, New York	Corporation	President & COO	6/2006	12/2016
14	CMC HC LLC		Wilmington, Delaware	Corporation	Investment Manager	3/2013	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
15	25 Bond/5 LLC	Wilmington, Delaware	Corporation	Investment Manager	11/2009	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Goldman Sachs Group, Inc.	N/A		Salary - 2016	\$1,850,000
2	The Goldman Sachs Group, Inc.	N/A		Cash Bonus - 2015	\$5,745,000
3	The Goldman Sachs Group, Inc., Restricted Stock Units	N/A		RSU Delivery	\$10,276,764
4	The Goldman Sachs Group, Inc., Restricted Stock Units	N/A		Dividend equivalent - Cash payment	\$251,087
5	The Goldman Sachs Group, Inc., Options Exercised	N/A	\$1,000,001 - \$5,000,000	Options exercised - cash payment	\$1,684,508
6	Retirement Accounts - Goldman Sachs 401(k) - S&P 500 index - SSgA	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
7	Goldman Sachs 401(k) - International Equity Index - SSgA	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
8	IRA Brokerage Account #1 - SPDR ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9	The Goldman Sachs Group, Inc. (GS)	N/A	Over \$50,000,000	Dividends	\$100,001 - \$1,000,000
10	The Goldman Sachs Group, Inc. (GS) - Retention Shares	N/A	\$25,000,001 - \$50,000,000	Dividends	\$100,001 - \$1,000,000
11	The Goldman Sachs Group, Inc. (GS) - 2011 Restricted Shares	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000
12	The Goldman Sachs Group, Inc. (GS) - 2014 Restricted Shares	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	CMC Partners, LLC - The Goldman Sachs Group, Inc. (GS)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
14	CMC Partners, LLC - The Goldman Sachs Group, Inc. (GS) - Retention Shares	N/A	\$25,000,001 - \$50,000,000	Dividends	\$100,001 - \$1,000,000
15	CMC Partners, LLC - The Goldman Sachs Group, Inc. (GS) - 2007 DSP	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
16	CMC Too, LLC - The Goldman Sachs Group, Inc. (GS)	N/A	\$5,000,001 - \$25,000,000	Dividends	\$1,000,001 - \$5,000,000
17	2013 GRAT I - The Goldman Sachs Group, Inc. (GS) - 2010 Restricted Shares	N/A	\$1,000,001 - \$5,000,000	Dividends	\$5,001 - \$15,000
18	2013 GRAT II - The Goldman Sachs Group, Inc. (GS) - 2011 Restricted Shares	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
19	2016 GRAT I - The Goldman Sachs Group, Inc. (GS) - 2012 Restricted Shares	N/A	\$5,000,001 - \$25,000,000	Dividends	\$50,001 - \$100,000
20	2016 GRAT II - The Goldman Sachs Group, Inc. (GS) - 2013 Restricted Shares	N/A	\$5,000,001 - \$25,000,000	Dividends	\$50,001 - \$100,000
21	2005 Trust - The Goldman Sachs Group, Inc. (GS)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
22	2006 Trust - The Goldman Sachs Group, Inc. (GS) - 2009 Restricted Shares	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000
23	2006 Trust - The Goldman Sachs Group, Inc. (GS) - 2010 Restricted Shares	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
24	2006 Trust - The Goldman Sachs Group, Inc. (GS) - 2011 Restricted Shares	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
25	2006 Trust - The Goldman Sachs Group, Inc. (GS) - 2012 Restricted Shares	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
26	The Goldman Sachs Group, Inc. - Long Term Incentive Plan	N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)
27	The Goldman Sachs Group, Inc. - Non-Qualified Deferred Compensation Plan	See Endnote	\$1,000,001 - \$5,000,000	Interest Capital Gains Dividends	\$100,001 - \$1,000,000
28	The Goldman Sachs Group, Inc. (GS) - Outstanding 2013 Restricted Stock Units	N/A	\$5,000,001 - \$25,000,000	Dividends	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	The Goldman Sachs Group, Inc. (GS) - Outstanding 2014 Restricted Stock Units	N/A	\$5,000,001 - \$25,000,000	Dividends	\$50,001 - \$100,000
30	The Goldman Sachs Group, Inc. (GS) - Outstanding 2014 Performance Stock Units	N/A	\$5,000,001 - \$25,000,000	Dividends	\$50,001 - \$100,000
31	The Goldman Sachs Group, Inc. (GS) - Outstanding 2015 Restricted Stock Units	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
32	The Goldman Sachs Group, Inc. (GS) - Outstanding 2015 Performance Stock Units	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
33	The Goldman Sachs Group, Inc. (GS) - Outstanding 2007 Year-End Options	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
34	The Goldman Sachs Group, Inc. Pension Plan	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	The Goldman Sachs Group Inc.			Cash Bonus - 2016	\$5,445,000
36	The Goldman Sachs Group, Inc., Restricted Stock Units			RSU Delivery	\$12,705,000
37	COMEX Pension	See Endnote	N/A		\$50,001 - \$100,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Goldman Sachs Group, Inc.	New York, New York	Restricted Stock Units (RSUs) and Restricted Shares - I received RSUs as part of my Goldman Sachs year-end compensation for each of 2013 - 2015. Pursuant to their terms, these awards are scheduled to be settled in stock in January of 2017 - 2019 and are not subject to a service-based vesting requirement (awards were fully vested at grant). In general, the shares I am scheduled to receive in connection with these RSUs, (as well as the shares delivered pursuant to my 2011 and 2012 RSU awards (in each case after applicable tax withholding), are Restricted Shares, which are subject to restrictions on transfer until approximately 5 years after the RSUs were granted. The awards specifically provide for accelerated settlement of the RSUs and lifting of the transfer restrictions on the Restricted Shares upon my entering into certain types of "conflicted employment," which is expected to include taking a position in the Executive Branch.	1/2014
2	The Goldman Sachs Group, Inc.	New York, New York	Performance-Based Restricted Stock Units - I was granted performance-based restricted stock units as part of my Goldman Sachs year-end compensation for each of 2014 - 2015. Pursuant to their terms, these awards are scheduled to be settled in cash in January of 2017 - 2019 based on certain firm performance metrics (based on the firm's return on equity) over the applicable performance period. The awards are not subject to a service-based vesting requirement (awards were fully vested at grant). The firm has not indicated whether it will accelerate any payments under these performance-based restricted stock units.	1/2014
3	The Goldman Sachs Group, Inc.	New York, New York	Stock Options - I received Goldman Sachs stock options as part of my year-end compensation for 2007. These options, which are fully vested, became exercisable in December 2010, have an exercise price of \$204.16, and expire on 24 November 2017.	12/2007

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	The Goldman Sachs Group, Inc.	New York, New York	Long-Term Performance Incentive Plan - I was granted long term incentive compensation awards under the Goldman Sachs Long-Term Performance Incentive Plan in each of 2011 - 2016. These awards are scheduled to be paid out in cash in January of 2019 - 2022 based on certain firm performance metrics (based on the firm's return on equity and book value per share) over the applicable performance period. The awards are not subject to a service-based vesting requirement (awards were fully vested at grant). The firm has not indicated whether it will accelerate any payments under these awards.	1/2011
5	The Goldman Sachs Group, Inc.	New York, New York	Non-Qualified Deferred Compensation Plan (NQDC) - Prior to 2008, Goldman Sachs' NQDC plan allowed employees to make a partial deferral of one's cash bonus. As such, all NQDC contributions are fully vested; no future services are required for me to be entitled to receive the full value of the account. In connection with my termination, I will request full payment of my plan balance. Goldman Sachs will not make any contributions after my separation.	12/2005
6	The Goldman Sachs Group, Inc.	New York, New York	Restricted Partner Compensation Plan (RPCP) -- I am a participant in the RPCP, which is a shareholder-approved plan under which variable compensation is paid to certain employees. The RPCP provides for a maximum amount of variable compensation determined pursuant to a formula contained in the RPCP, with the Board Compensation Committee retaining the discretion to pay less than the formula amount.	1/2016
7	The Goldman Sachs Group, Inc.	New York, New York	Managing Director Employment Agreement - I am subject to a participating managing director agreement with The Goldman Sachs Group, Inc. that provides, among other things, for confidentiality obligations that survive the termination of my employment.	5/1999
8	The Goldman Sachs Group, Inc.	New York, New York	Non-compete Agreement - I am subject to an agreement with The Goldman Sachs Group, Inc. precluding me from competing with Goldman Sachs or soliciting its clients for a period of six months from my notice date, and precluding me from soliciting certain Goldman Sachs employees for a period of 12 months from my notice date.	5/1999

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
9	The Goldman Sachs Group, Inc.	New York, New York	Shareholders Agreement - As a participating managing director of Goldman Sachs I was subject to a shareholders' agreement which required that I retain a certain percentage of my Goldman Sachs shares for so long as I remained a participating managing director. The agreement also required that I participate in a voting arrangement with respect to certain of my Goldman Sachs shares whereby such shares were voted in accordance with the majority of the shares voted by all the parties to the agreement. All substantive obligations under the Shareholders' Agreement terminated when my employment as a Goldman Sachs participating managing director terminated.	5/1999
10	The Goldman Sachs Group, Inc.	New York, New York	Senior Director Agreement - effective as of the termination of my employment as a participating managing director, I became a Senior Director of Goldman Sachs, a non-employee non-compensated position. My Senior Director Agreement terminates automatically upon commencement of my employment in the Executive Branch, and does not provide for continuing benefits or obligations thereafter.	1/2017
11	The Goldman Sachs Group, Inc.	New York, New York	Goldman Sachs Investment Fund Interests - Goldman Sachs has established private investment funds to permit its employees (including myself) to participate in the firm's private equity, hedge fund and other similar activities by investing in or alongside funds and investments that the firm manages or sponsors for independent investors and/or for the firm. I invested in certain of these funds. Certain of the funds provide employee investors with an interest in the override the firm receives for managing the funds, and/or are offered to employee investors on a fee-free or reduced fee basis. All such funds are disclosed in Part 6 of this form.	1/2000

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
12	The Goldman Sachs Group, Inc.	New York, New York	401(k) Plan – As a Goldman Sachs employee, I was permitted to contribute a portion of my annual compensation to a 401(k) plan. Pursuant to the terms of the Goldman Sachs 401(k) plan, I ceased to be eligible to participate as of December 31, 2016, when my employment with Goldman Sachs terminated. I am permitted to maintain my account under the plan post-employment and direct the investment of my account at my discretion. In addition, based on my 2016 employee contributions to the plan, I am entitled to a 2016 firm matching contribution in the amount of \$10,600, which will be allocated to my account during the first quarter of 2017.	12/1991
13	The Goldman Sachs Group, Inc.	New York, New York	Goldman Sachs Pension Plan - under the terms and conditions of the Goldman Sachs Pension Plan, a defined benefit plan, I am eligible for benefits at the normal retirement age of 65, or early retirement benefits at the age of 55.	12/1991
14	The Goldman Sachs Group, Inc.	New York, New York	Executive Retiree Health Care Plan – as a qualified Goldman Sachs retiree, I am a participant in the Executive Retiree Health Care Plan, which provides primary coverage with a 75% Goldman Sachs subsidy through the last day of the month in which I commence new employment. As of the first day of the month in which I commence new employment (expected to be 2/1/17), my coverage transitions to secondary coverage with no subsidy.	1/2017

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The Goldman Sachs Group, Inc.	New York, New York	President & Chief Operating Officer at this global investment bank, through 12/31/2016.

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	LAPEV LTD. Art Studio	N/A	Over \$1,000,000		None (or less than \$201)
2	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US BANK ACCOUNT, INSTITUTION #1 (Cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
2	US BANK ACCOUNT, INSTITUTION #2 (Cash)	N/A	\$1,000,001 - \$5,000,000	Interest	None (or less than \$201)
3	US BANK ACCOUNT, INSTITUTION #3 (Cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
4	US BANK ACCOUNT, INSTITUTION #4 (Cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
5	US BANK ACCOUNTS, INSTITUTION #5 (Cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
6	US BANK ACCOUNT, INSTITUTION #6 (Cash)	N/A	Over \$1,000,000	Interest	\$2,501 - \$5,000
7	US BANK ACCOUNT, INSTITUTION #2 (Cash)	N/A	Over \$1,000,000	Interest	\$2,501 - \$5,000
8	US BANK ACCOUNT, INSTITUTION #2 (Cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
9	US BANK ACCOUNT, INSTITUTION #4 (Cash)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
10	US BANK ACCOUNT, INSTITUTION #5 (Cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
11	US BANK ACCOUNT, INSTITUTION #4 (Cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
12	BROKERAGE ACCOUNT #2 - US DOLLAR (USD)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	BROKERAGE ACCOUNT #3					
13.1	SUN LIFE FINANCIAL INC (SLF)		N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
13.2	BANK OF AMERICA CORP (BAC)		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
13.3	FIRSTENERGY CORP (FE)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.4	IAC/INTERACTIVECORP (IAC)		N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
13.5	INTEL CORPORATION (INTC)		N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
13.6	LIVE NATION ENTERTAINMENT INC (LYV)		N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
13.7	PRINCIPAL FINANCIAL GROUP, INC (PFG)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
13.8	THE KRAFT HEINZ CO (KHC)		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
13.9	PRIVATE EQUITY PARTNERS 2004 EMPLOYEE FUND, L.P.	See Endnote	No	\$250,001 - \$500,000	Rent or Royalties Interest Capital Gains Dividends	\$100,001 - \$1,000,000
13.10	VINTAGE III EMPLOYEE FUND, L.P.	See Endnote	No	\$250,001 - \$500,000	Interest Capital Gains	\$5,001 - \$15,000
13.11	GS MEZZANINE PARTNERS V PMD QP FUND, L.P.	See Endnote	No	\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
13.12	GS MEZZANINE PARTNERS 2006 PCP FUND, L.P.	See Endnote	No	\$100,001 - \$250,000	Interest Capital Gains Dividends	\$50,001 - \$100,000
13.13	GLOBAL OPPORTUNITIES EMP LLC	See Endnote	No	\$1,000,001 - \$5,000,000	PY K-1 Box 11, Other Income	\$281,547

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.14	GLOBAL LONG SHORT PARTNERS 16% OF FUNDS ASSETS IN ILLIQUID INVESTMENTS	See Endnote	No	\$1,000,001 - \$5,000,000	Interest Rent or Royalties	\$1,001 - \$2,500
13.15	LIBERTY HARBOR 12% OF FUNDS ASSETS IN ILLIQUID INVESTMENTS	See Endnote	No	\$500,001 - \$1,000,000	PY K-1 Box 11,Other Income	\$219,911
13.16	LIBERTY HARBOR SPV LTD 100% OF FUNDS ASSETS IN ILLIQUID INVESTMENTS		Yes	\$15,001 - \$50,000		None (or less than \$201)
13.17	WEST STREET III PMD LLC CLASS A SERIES 1	See Endnote	No	\$50,001 - \$100,000	Interest Dividends	\$1,001 - \$2,500
13.18	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
14	BROKERAGE ACCOUNT #4 - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
15	BROKERAGE ACCOUNT #6					
15.1	STONE STREET PEP TECHNOLOGY FUND 2000, LLC	See Endnote	No	\$15,001 - \$50,000	Interest Capital Gains	\$15,001 - \$50,000
15.2	BRIDGE STREET 2012, L.P.	See Endnote	No	Over \$1,000,000	Interest Dividends Capital Gains	\$100,001 - \$1,000,000
15.3	WHITEHALL STREET GLOBAL EMPLOYEE L.P. 2001 FUND	See Endnote	No	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
15.4	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	Over \$1,000,000	Interest	\$15,001 - \$50,000
16	PRIVATE INVESTMENT - CINCHCAST INC. - Communications Platform (conference calling software) - New Jersey	See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
17	PRIVATE INVESTMENT - CR AVIATION, LLC - Holding company - New York	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
18	PRIVATE INVESTMENT - DBG GROUP LTD. - Family Limited Partnership - Ohio	See Endnote	No	\$500,001 - \$1,000,000	Interest Dividends Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	PRIVATE INVESTMENT - MMF SYSTEMS, INC. - Digital medical records system - New York	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
20	PRIVATE INVESTMENT - MTS INVESTORS, LP - Healthcare Advisory - New York	See Endnote	No	\$100,001 - \$250,000	Interest Capital Gains	\$100,001 - \$1,000,000
21	PRIVATE INVESTMENT - OMNI FISHCREEK 91, LLC - Real Estate - Ohio	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
22	PRIVATE INVESTMENT - STOCKUP COMMERCE, INC. - Online Consumer Application - New York	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
23	PRIVATE INVESTMENT - VIOLET GREY, INC - Cosmetics retailer- California	See Endnote	No	Over \$1,000,000		None (or less than \$201)
24	BROKERAGE ACCOUNT #7 - UGMA					
24.1	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
24.2	GS LONG SHORT CREDIT STRATEGIES INSTITUTIONAL (GSAWX)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
24.3	GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (GSZIX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
24.4	GS FOCUSED GROWTH FUND INSTITUTIONAL (GFGSX)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
24.5	GS EQUITY GROWTH STRATEGY PORTFOLIO INSTITUTIONAL SHARES (GAPIX)		Yes	\$250,001 - \$500,000		None (or less than \$201)
25	BROKERAGE ACCOUNT #8 - UTMA - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
26	2006 Trust					
26.1	CMC TOO, LLC (1% owned by filer, 99% owned by 2006 Trust)					
26.1.1	CINCHCAST INC. - Communications Technology - New Jersey	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
26.1.2	COHERO HEALTH, LLC - Medical Technology - New York	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.1.3	DELOS LIVING, LLC - Wellness Living Consulting - New York	See Endnote	No	Over \$1,000,000	Interest	\$2,501 - \$5,000
26.1.4	JRK PLATFORM 3, LP - Real Estate - California	See Endnote	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
26.1.5	Every Day Networks Holdings LLC (f.k.a. MASTERCHANNEL, LLC) - Music Technology - California	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
26.1.6	PANCO FORT LEE CO-INVEST, LP - Multi-family rental real estate - New Jersey		No	Over \$1,000,000	CY Partnership Distribution	\$223,696
26.1.7	SAMUMED LLC - Medical Technology - California	See Endnote	No	Over \$1,000,000	Interest Capital Gains	\$201 - \$1,000
26.1.8	THOR 115 MERCER, LLC - Commercial and Residential Real Estate - New York, NY		No	None (or less than \$1,001)	CY Partnership Distribution	\$4,835
26.1.9	CMC HC, LLC (100% owned by CMC TOO, LLC)					
26.1.9.1	GUARD CONTROL PMD, L.P.	See Endnote	No	Over \$1,000,000		None (or less than \$201)
26.1.9.2	PANCO GEORGIAN CO-INVEST, LP - Residential Real Estate - Silver Spring, MD		N/A	\$250,001 - \$500,000	CY Partnership Distribution	\$1,220,250
26.1.9.3	SAMUMED LLC - Medical Technology - California	See Endnote	N/A	Over \$1,000,000	Interest	\$201 - \$1,000
26.1.9.4	THE FLATS ON 401, LLC - Real Estate - Raleigh, NC		N/A	Over \$1,000,000	CY Partnership Distribution	\$634,915
26.1.9.5	THOR 65 CROISSETTE - Real Estate - France	See Endnote	N/A	Over \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
26.1.9.6	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	Over \$1,000,000	Interest	\$2,501 - \$5,000
26.1.10	25 BOND/5, LLC (47.22% owned by CMC TOO, LLC, 52.78% owned by 2006 Trust)			Over \$1,000,000	CY Partnership Distribution	\$750,000
26.1.10.1	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
26.1.10.2	25 BOND STREET - Rental Real Estate		N/A	Over \$1,000,000	Rent or Royalties	\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.1.1 0.3	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500
26.1.1 0.4	PRIVATE INVESTMENT - 25 BOND STREET GARAGE OWNER, LLC - Real Estate - New York	See Endnote	No	Over \$1,000,000	PY K-1 Box 1	\$4,651
26.1.1 0.5	PRIVATE INVESTMENT - SHINBONE ALLEY ASSOCIATES, LLC - Real Estate - New York, NY	See Endnote	No	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
26.1.1 1	BROKERAGE ACCOUNT #12					
26.1.1 1.1	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
26.1.1 1.2	US DOLLAR (USD)		N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
26.1.1 1.3	HEWLETT PACKARD ENTERPRISE CO (HPE)		N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
26.1.1 1.4	HP INC. (HPQ)		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
26.1.1 1.5	MC DONALDS CORP (MCD)		N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
26.1.1 1.6	MICROSOFT CORPORATION (MSFT)		N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
26.1.1 1.7	MONDELEZ INTERNATIONAL, INC. (MDLZ)		N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
26.1.1 1.8	PHILIP MORRIS INTL INC (PM)		N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
26.1.1 1.9	REYNOLDS AMERICAN INC. (RAI)		N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
26.1.1 1.10	DRT INVESTORS LP (c)	See Endnote	No	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
26.2	BROKERAGE ACCOUNT #16 - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.3	MED EDGE, LLC - Medical Technology - Ridgefield, CT	See Endnote	No	Over \$1,000,000		None (or less than \$201)
26.4	CMC PARTNERS LLC (1% Owned by Filer, 99% owned by 2006 Trust)					
26.4.1	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	Over \$1,000,000	Interest	\$15,001 - \$50,000
26.4.2	BROKERAGE ACCOUNT #10					
26.4.2.1	INDUSTRIAL AND COMMERCIAL BANK OF CHINA CMN CLASS H (HK1398)		N/A	Over \$1,000,000	Dividends	Over \$1,000,000
26.4.2.2	GS STRATEGIC INCOME FUND INSTITUTIONAL SHARES (GSZIX)		Yes	Over \$1,000,000		\$50,001 - \$100,000
26.4.2.3	Goldman Sachs Asset Management CLO, PLC	See Endnote	N/A	\$1,001 - \$15,000	Ordinary Income	\$126,632
26.4.2.4	BOX, INC. CMN CLASS A (BOX)		N/A	\$15,001 - \$50,000		None (or less than \$201)
26.4.2.5	FACEBOOK, INC. CMN CLASS A (FB)		N/A	\$50,001 - \$100,000		None (or less than \$201)
26.4.2.6	ISHARES CORE HIGH DIVIDEND ETF (HDV)		Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
26.4.2.7	TWITTER, INC. CMN (TWTR)		N/A	\$15,001 - \$50,000		None (or less than \$201)
26.4.2.8	LIBERTY HARBOR CORPORATE CREDIT STRATEGIES LLC CLASS G SERIES 1	See Endnote	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
26.4.2.9	GS CAPITAL PARTNERS 2000 EMPLOYEE FUND, L.P.	See Endnote	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$100,001 - \$1,000,000
26.4.2.10	GS DIRECT INVESTMENT FUND 2000 L.P.	See Endnote	No	\$50,001 - \$100,000	Interest Capital Gains	\$50,001 - \$100,000
26.4.2.11	GS CAPITAL PARTNERS V PCP FUND, L.P.	See Endnote	No	Over \$1,000,000	Interest Dividends	\$1,001 - \$2,500
26.4.2.12	GS CAPITAL PARTNERS VI PMD QP FUND, L.P.	See Endnote	No	Over \$1,000,000	Capital Gains Dividends Interest	\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.4.2. 13	BRIDGE STREET 2013, L.P.	See Endnote	No	Over \$1,000,000	Dividends Interest Capital Gains	\$50,001 - \$100,000
26.4.2. 14	BRIDGE STREET 2014, L.P.	See Endnote	No	Over \$1,000,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
26.4.2. 15	BRIDGE STREET 2015, L.P.	See Endnote	No	Over \$1,000,000	Interest Capital Gains	\$15,001 - \$50,000
26.4.2. 16	BRIDGE STREET 2016, L.P. (CLASS A SOX)	See Endnote	No	\$250,001 - \$500,000	Interest	\$201 - \$1,000
26.4.2. 17	CIP 2011-A PARTNERS, L.P.	See Endnote	No	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
26.4.2. 18	GLOBAL PRIVATE OPPORTUNITIES PARTNERS II LP (c)	See Endnote	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
26.4.2. 19	GS DEVELOPING MARKETS REAL ESTATE PARTNERS PMD QP FUND, L.P.	See Endnote	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
26.4.2. 20	WHITEHALL STREET GLOBAL PCP FUND 2005, L.P.	See Endnote	No	Over \$1,000,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
26.4.2. 21	BROAD STREET SENIOR CREDIT PARTNERS EMPLOYEE FUND, L.P. (CLASS A)	See Endnote	No	Over \$1,000,000	Interest	\$5,001 - \$15,000
26.4.2. 22	GLOBAL LONG SHORT PARTNERS 16% OF FUNDS ASSETS IN ILLIQUID INVESTMENTS	See Endnote	No	Over \$1,000,000	Interest Capital Gains	\$5,001 - \$15,000
26.4.2. 23	LIBERTY HARBOR 12% OF FUNDS ASSETS IN ILLIQUID INVESTMENTS	See Endnote	No	\$500,001 - \$1,000,000	PY K-1 Box 11:	\$263,425
26.4.2. 24	LIBERTY HARBOR SPV LTD 100% OF FUNDS ASSETS IN ILLIQUID INVESTMENTS		Yes	\$15,001 - \$50,000		None (or less than \$201)
26.4.2. 25	US DOLLAR (USD)		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
26.4.3	ANDREESSEN HOROWITZ FUND II-A - Venture Capital Fund - California	See Endnote	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
26.4.4	CINCHCAST INC. - Communications Technology - New Jersey	See Endnote	No	Over \$1,000,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.4.5	COVENTURE III, GP - Venture Capital Fund - New York	See Endnote	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
26.4.6	COVENTURE III, LP - Venture Capital Fund - New York		No	\$100,001 - \$250,000		None (or less than \$201)
26.4.7	COVENTURE IV PP SPV1, LLC - Venture Capital Fund- agricultural financing - New York	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
26.4.8	COVENTURE IV, LLC - Venture Capital Fund - New York		No	\$50,001 - \$100,000		None (or less than \$201)
26.4.9	EDGE PIEZO LLC - Science Technology - Connecticut	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
26.4.10	ILLUMIO INC PFD SERIES C - Computing Security - California	See Endnote	No	Over \$1,000,000		None (or less than \$201)
26.4.11	MICELL TECHNOLOGIES, INC. - Medical Technology - New York	See Endnote	No	Over \$1,000,000		None (or less than \$201)
26.4.12	ORTHOSENSOR, INC. CONV PFD SERIES C - Medical Technology - New York	See Endnote	No	Over \$1,000,000		None (or less than \$201)
26.4.13	PAYOFF Consumer Credit Fund I LP - Consumer Lending - California	See Endnote	No	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
26.4.14	PAYOFF, INC. - Consumer Lending - California		No	Over \$1,000,000		None (or less than \$201)
26.4.15	SAMM PROPERTIES V, LTD - Self-storage units - Ohio		No	\$250,001 - \$500,000	CY Partnership Distribution	\$243,649
26.4.16	SHAKER STORAGE, LLC - Real Estate - Self-storage units - Ohio		No	\$100,001 - \$250,000	CY Partnership Distribution	\$187,000
26.4.17	STORAGE ZONE WARRENSVILLE - Real Estate - Self-storage units - Ohio		No	\$250,001 - \$500,000		None (or less than \$201)
26.4.18	THOR 1231 THIRD AVENUE, LLC - Commercial and Residential Real Estate - New York, NY	See Endnote	No	Over \$1,000,000	Interest	\$1,001 - \$2,500
26.4.19	THOR 1566 THIRD AVENUE, LLC - Commercial and Residential Real Estate - New York, NY	See Endnote	No	\$500,001 - \$1,000,000	Interest	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.4.2 0	THOR 452 W. BROADWAY, LLC - Commercial Real Estate - New York, NY	See Endnote	No	\$250,001 - \$500,000	Interest	None (or less than \$201)
26.4.2 1	THOR 98 MORNINGSIDE AVE, LLC - Residential Real Estate Building - New York, NY	See Endnote	No	\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500
26.4.2 2	CMC PALMA TERRACE, LLC - Real Estate - Easthampton, NY	See Endnote	No	Over \$1,000,000		None (or less than \$201)
26.4.2 3	CORONADO - Real Estate - Rental Unit		No	Over \$1,000,000		None (or less than \$201)
27	2013 GRAT I - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
28	2013 GRAT II - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
29	2016 GRAT I - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
30	2016 GRAT II - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
31	MISCELLANEOUS ASSET - NOTE RECEIVABLE FROM CMC TOO, LLC		N/A	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
32	2004 TRUST					
32.1	GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	Over \$1,000,000	Interest	\$2,501 - \$5,000
32.2	Goldman Sachs Asset Management CLO, PLC	See Endnote	N/A	\$1,001 - \$15,000	Ordinary Income	\$76,239
32.3	AXA - Variable Life Insurance	See Endnote		\$1,000,001 - \$5,000,000		None (or less than \$201)
32.4	John Hancock - Universal Life Insurance			\$1,000,001 - \$5,000,000		\$1,000,001 - \$5,000,000
32.5	MetLife - Universal Life Insurance			\$1,000,001 - \$5,000,000		None (or less than \$201)
33	2005 TRUST - GOLDMAN SACHS BANK DEPOSIT (Bank Deposit Agreement - Cash)		N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	Personal Loan to Ms. Hernandez Lozano	N/A	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Vintage III Fund Employee Fund, L.P.	Capital Call	\$50,001 - \$100,000	2004	n/a	On Demand
2	GS Mezzanine Partners V PMD QP Fund, L.P.	Capital Call	\$1,000,001 - \$5,000,000	2007	n/a	On Demand
3	GS Mezzanine Partners 2006 PCP Fund, L.P.	Capital Call	\$15,001 - \$50,000	2006	n/a	On Demand
4	Stone Street PEP Technology Fund 2000, LP	Capital Call	\$50,001 - \$100,000	2000	n/a	On Demand
5	Bridge Street 2012, L.P.	Capital Call	\$15,001 - \$50,000	2012	n/a	On Demand

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
1.	8	Private Charitable Foundation
2.	27	The filer is notionally invested in Global Long Short Partners, L.P. within the NQDC plan.
2.	37	At age 59 1/2, I am eligible to receive \$12,500 per year.

PART	#	ENDNOTE
6.	13.9	<p data-bbox="871 169 2141 248">It is against the fund managers' policy to provide position transparency to its investors. In some instances, the funds' annual reports disclose high-level information on the funds' investments. Investments disclosed in the most recent annual report (6.30.16) are as follows:</p> <ul data-bbox="871 276 1361 1426" style="list-style-type: none"> BCVIII Blackstone V Carlyle IV CVCIV American Securities IV Arlington II Eos III Motion Equity II Quad-C VII Sverica II Wynnchurch II CD&RVII EQT IV Unitas II Vestar V Lake Capital II Providence V Spectrum V Water Street Apollo VI Littlejohn III Sun Capital IV Accel IX Benchmark V Carmel II Celtic House III Crosslink V IDG-Accel China Growth Insight Venture V Storm Ventures III Trinity Ventures IX Genstar IV Roark North America Weston Presidio V Catalent Pharma Solutions - Blackstone Ceridian Corporation - THL Project Columbus Project Swan Quantum Resources - Quantum R.J. O'Brien - Spectrum ServiceMaster Company - CD&R SunGard - GSCP U.S. Foodservice - CD&R

PART	#	ENDNOTE
6.	13.10	<p>It is against the fund managers' policy to provide position transparency to its investors. In some instances, the funds' annual reports disclose high-level information on the funds' investments. Investments disclosed in the most recent annual report (6.30.16) are as follows:</p> <p>Project Pasteur Syntegra Capital (f/k/a SGCapital Europe) Project Cierva Portobello Capital (f/k/a Ibersuizas Capital) Project Columbus CCMPCapital (f/k/a JPMorgan Chase) Project Anza Genstar Capital Project La Salle Chicago Growth Partners Project Bell Penta Investments Project Ferris Beecken Petty O'Keefe Project Woods Brantley Partners Project Hamilton Lovell Minnick Equity Partners Project Cullen Trimaran Capital Partners Project Descartes Charterhouse Equity Partners Project Adams TowerBrook Capital Partners Project Dennard Brazos Equity Partners Project Miles Stone Arch Capital Project Peral Mercapital Project Fitch Fenway Partners Project Gibbon Three Cities Research Project Camp Forstmann, Little Project Otto Vision Capital Group Project Diesel Vision Capital Group Project Fox Vision Capital Group Project Gregory Vision Capital Group Project Swan Vision Capital Group Project Raffles Global Diversified portfolio with over 40 underlying managers Project Biddle Quad-C, Spectrum Equity, Willis Stein Project Bohr Multiple</p> <p>CY Tax Estimate - Misc Income: \$3,300</p>
6.	13.11	<p>GS Mezzanine Partners V PMD QP Fund, L.P. invests in GS Mezzanine Partners V Employee Master Fund Onshore, L.P. that invests into GS Mezzanine Partners V Onshore Fund, L.P., which is an EIF.</p>
6.	13.12	<p>GS Mezzanine Partners 2006 PCP Fund, L.P. invests into GS Mezzanine Partners 2006 Employee Fund, L.P. that invests into GS Mezzanine Partners 2006 Onshore Fund, L.P., which is an EIF.</p>
6.	13.13	<p>Global Opportunities Emp LLC invests all or substantially all of its assets in Global Opportunities LLC, which is an EIF.</p>
6.	13.14	<p>Global Long Short Partners QP LP invests all or substantially all of its assets in Global Long Short Aggregating LP, which is an EIF.</p> <p>PY K-1 Box 11, Other Income: \$241,562</p>

PART	#	ENDNOTE
6.	13.15	Liberty Harbor QP LLC invests in Liberty Harbor Master Fund I, L.P. (the "Master Partnership"), through Liberty Harbor Aggregating Fund, LLC (the "Aggregating Vehicle"), which is an EIF.
6.	13.17	West Street III PMD LLC invests in West Street Portfolios LLC – West Street III SP (the "Master Fund"), which is an EIF. PY K-1 Box 11,Other Income: \$8,029

PART	#	ENDNOTE
6.	15.1	<p data-bbox="871 169 2141 248">It is against the fund managers' policy to provide position transparency to its investors. In some instances, the funds' annual reports disclose high-level information on the funds' investments. Investments disclosed in the most recent annual report (6.30.16) are as follows:</p> <ul data-bbox="871 276 1240 1479" style="list-style-type: none"> Accel VII Accel VIII 21 Angel II APV III ARCH V Benchmark IV Blackstone Communications I Brand Farm Cedar II Clearstone II-A Commonwealth III Comstellar Technologies Concord II Crosslink IV Digital II Limited eCompanies Venture Galileo III FX,22 General Catalyst II GorillaPark B.V. H.I.G. Venture Insight Venture IV JK&B III JK&B IV Kodiak II Kodiak Venture Lightspeed VI 23 Madrona I-A Mission Ventures II MPMII MPMIII MVMIIIFX Nokia II ONSET IV24 Oxford Bioscience IV Providence IV Salix Ventures II Sigma 6 SOFTBANK Capital Spectrum IV Speed VenturesFX Storm Ventures II THLee Putnam Ventures Trinity Ventures VIII 25 Walden Israel III WaldenVC II 26

PART	#	ENDNOTE
6.	15.2	<p>CY Tax Estimate - Ord. Income: \$335, Misc. Income: \$4,467;</p> <p>Holdings: Chestnut Place (Americas - Property Development); Drayer Physical Therapy, LLC (Americas - Healthcare Industry); EdgeMarc Energy Holdings, LLC (Americas - Oil and Gas); EW Energy Holdings, LLC (Americas - Oil and Gas); Huntington Beach (Americas - Property Development); Ozner Water International Holding Limited (Asia - Manufacturer); Redwood City (Americas- Property Development); South Lake Union (Americas - Property Development); South Lamar Plaza (Americas - Property Development); Cash, Other Assets (Taxes receivable - accounting convention with respect to withholding taxes; Receivables from affiliated entities). Bridge 2012 Holdings: AnchorFree Inc. (Americas - Online Network); Beijing Kuanjie Bohua 2011 Investment Center (Asia-Variou Chinese Investments) (EIF); GS Infrastructure Partners II (Various - Investments) (EIF); Infusion Software, Inc. (Americas - Marketing Software); Nova Medical Centers (India - Healthcare management); Plastipak Holdings, Inc. (Americas - Manufacturing); Safe-Guard Products International, LLC (Americas - Insurance); TransUnion Holding Company, Inc. (Americas - Risk Management); West Street Energy Partners (Americas - Energy Investments) (EIF);</p>
6.	15.3	<p>Holdings: CPG Warehouse (Americas - Real estate portfolio); National Golf (Americas - Golf Industry); Project Parc (Europe - Industrial assets); Radisson Ambassador San Juan (Americas - Hotel Industry); Wailea Resort Community (Americas - Hotel Industry); Cash, Other Assets (Taxes receivable - accounting convention with respect to withholding taxes; Receivables from affiliated entities).</p>
6.	16	<p>Single Asset - intellectual property; The patent and intellectual property integrates a live streaming platform with a telephony network. This IP, along with non-patented IP, enables podcasters to easily create audio content. This IP also enables enterprise customers to create live streaming webcasts for Cinchcast.</p>
6.	17	<p>Single Asset - Helicopter</p>

PART	#	ENDNOTE
6.	18	<p>PY K-1 Box 11: \$250;</p> <p>Holdings: Vacant Land (Route 83 - Ohio); Fishcreek 91 (Vacant land - Ohio); Hudson Omni II (Office/warehouse buildings - Ohio); Colorado I-90 (Vacant land - Ohio); Land Trust #2 (Vacant land - Ohio); Omni Park II (Office/warehouse buildings - Ohio [donated to Jewish Federation of Cleveland on December 1, 2016]); Hudson Omni (Office buildings - Ohio); Shaker II, LLC (Office/warehouse buildings - Ohio); Shaker Storage LLC (Self-storage units - Ohio); State of Israel Bonds; Clean Waternet, Ltd (Water Information Technology - Ohio); Single Asset (Intellectual property); American Funds Account (Underlying assets: AMACAP Fund (AMCPX); Capital Income Builder (CAIBX); EuroPacific Growth Fund (AEPGX); Fundamental Investors (ANCFX); The Investment Company of America (AIVCX)); Lincoln Investments Account (Underlying assets: FEDERATED CAPITAL RESERVES; INTERLINK INS BANKDEPOSIT B); ALGER SPECTRA FUND CLASSA (SPECX); BLACKROCK GLOBAL ALLOCATION FUND INC CLASS A (MDLOX); THORNBURG DEVELOPING WORLD FUND CLASS A (THDAX); YCG ENHANCED FUND (YCGEX); ISHARES TR MSCI EAFE ETF (EFA); ISHARES TR CORE S&P MID-CAP ETF (IJH); ISHARES TR CORE S&P SMALL-CAP ETF (IJR); POWERSHARES EXCHANGE-TRADED FD (PID); POWERSHARSE GLOBAL EXCHANGE TRADED FD (PBP); SPDR S&P 500 ETF TR UNIT (SPY); VANGUARD SPECIALIZED PORTFOLIOS DIVIDEND APPRECIATION INDEX FD ETF (VIG); VANGUARD TOTAL STOCK MARKET ETF (VTI)).</p>
6.	19	<p>Single Asset - intellectual property; Patent number: 7,561,287; Description: A system comprising a facsimile device configured to transmit a code-associated information material, an interactive user device, and a processor. Typically, the code-associated information material is a medical record to which a barcoded fax cover sheet is appended. The interactive device is preferably a computer terminal, wherein the processor is coupled to the interactive user device via the Internet. The processor is configured to receive from the facsimile device a transmission of the information material, and to display it to an authorized user upon a request from the authorized user. The information material may be displayed via Internet, or else may be faxed to an authorized user in response to a telephone call.</p>
6.	20	<p>*Only available information was PY K-1.</p> <p>Holding: - TPG IASIS Co-Invest I, LLC, IASIS Healthcare (owner and operator of hospitals)</p>
6.	21	Single Asset - Vacant land
6.	22	Multiple assets - intellectual property, patents
6.	23	This asset is comprised of both preferred shares and a convertible note.

PART	#	ENDNOTE
6.	26.1.1	Single Asset - intellectual property; The patent and intellectual property integrates a live streaming platform with a telephony network. This IP, along with non-patented IP, enables podcasters to easily create audio content. This IP also enables enterprise customers to create live streaming webcasts for Cinchcast.
6.	26.1.2	Single Asset - Intellectual property; The patent is for an interactive respiratory device usage tracking system.
6.	26.1.3	<p>Single Asset - Intellectual property; Delos Living LLC, along with its affiliates including International Well Building Institute PBC and Well Living Lab Inc., own an intellectual property (IP) portfolio that includes a number of types of IP. More specifically, the IP portfolio includes the following as of filing date:</p> <p>1.Trademarks: the IP portfolio includes registrations and pending applications in many countries for trademarks, service marks and certification marks for promoting and marketing products, services and certifications focused on human health and wellness in the built environment.</p> <p>2.Copyrights: the IP portfolio includes copyright protected materials such as photographs, images, guidebooks, standards, educational materials, surveys, template agreements, marketing and promotional materials, videos, software, graphic designs, and other content and materials used to improve and promote human health and wellness in the built environment and support the business activity of Delos Living LLC and its affiliates.</p> <p>3.Patents: The IP portfolio includes pending patent applications and granted patents in multiple countries (see list below). The pending patent applications and granted patents can be organized broadly into the following subject matter areas:</p> <p>a.Green wall modular systems b.LED (light emitting diode) lighting systems. c.Systems, methods and articles for enhancing wellness associated with habitable environments. d.Systems, methods and articles for monitoring human wellness.</p> <p>*Only available information was PY K-1.</p>
6.	26.1.4	<p>This entity owns 24 residential properties located in: Plano, TX; Philadelphia, PA; Charlotte, NC; Kemah, TX; Savannah, GA; Tulsa, OK; Lincoln, NE; Panama City Beach, FL; Westminster, CO; Elkridge, MD; Sarasota, FL; Destin, FL; Colorado Springs, CO Chelsea, MA; Saugus, MA; Windermere, FL; Wakefield, RI Oxnard, CA; Norfolk, VA; West Chester, PA; Orlando, FL Boca Raton, FL; Peabody, MA; Silverdale, WA.</p> <p>CY Partnership Distribution: \$292,092</p>
6.	26.1.5	Single Asset - Intellectual property; Patent was applied for in 2012 but has since been abandoned. The company had numerous trademarks, copyrights etc. Most have been sold or otherwise transferred since Every Day Networks has ceased operations and is in the process of liquidation.

PART	#	ENDNOTE
6.	26.1.7	<p>Single Asset - Intellectual property; Samumed, LLC has 61 issued (or allowed and waiting to be officially issued) patents as of February 1, 2017. The patent portfolio covers multiple genera of novel chemical compounds, their methods of use in connection with various diseases, their formulations, manufacturing processes and polymorphs.</p> <p>*Only available information was PY K-1.</p>
6.	26.1.9.1	Guard Control PMD, L.P. invests in Guard Control Partnership, L.P., which is an EIF.
6.	26.1.9.3	<p>Single Asset - Intellectual property; Samumed, LLC has 61 issued (or allowed and waiting to be officially issued) patents as of February 1, 2017. The patent portfolio covers multiple genera of novel chemical compounds, their methods of use in connection with various diseases, their formulations, manufacturing processes and polymorphs.</p> <p>*Only available information was PY K-1.</p>
6.	26.1.9.5	*Only available information was PY K-1.
6.	26.1.10.4	Single Asset - Garage
6.	26.1.10.5	<p>Single Asset - Garage</p> <p>*Only available information was PY K-1.</p>
6.	26.1.11.10	<p>DRT Investors LP is a partnership which holds an investment in Uber Technologies, Inc.</p> <p>*Only available information was PY K-1.</p>
6.	26.3	<p>Single Asset - intellectual property; holds an investment in Abyrx, Inc., a Irvington, NY based medical technologies company that develops, manufactures, and provides therapeutic devices for use during surgical procedures.</p>
6.	26.4.2.3	<p>This asset is a cash remainder from units in the equity tranche of a specific collateralized loan obligation originated in July 2007 and previously scheduled to mature in August 2022. Equity holders in the structure voted to early redeem it on July 29, 2016 and the majority of this value was paid in a liquidating distribution in August.</p>
6.	26.4.2.8	<p>Liberty Harbor Corporate Credit Strategies LLC</p> <p>PY K-1 Box 11: \$262</p>

PART	#	ENDNOTE
6.	26.4.2.9	<p>Holdings: China Haisheng Juice Holdings Co., Ltd. (Asia - Food production); Fidelity National Information Services, Inc. (Americas - Banking); National Golf Properties (Americas - Golf industry); Neos, Inc. (Americas - Oil and gas industry); Sensus (Bermuda 1) Ltd. (Americas - Utility industry); SunGard Availability Services Capital Inc. (Americas - Software industry); Cash, Taxes Receivable, Other Assets (Receivable from affiliated entities; Immaterial equity interest in client funds for override purposes).</p> <p>CY Tax Estimate - Misc. Income: \$1,800</p>
6.	26.4.2.10	<p>Holdings: China Haisheng Juice Holdings Co., Ltd. (Asia - Food production); Fidelity National Information Services, Inc. (Americas - Banking); Neos, Inc. (Americas - Oil and gas industry); Sensus (Bermuda 1) Ltd. (Americas - Utility industry); SunGard Availability Services Capital Inc. (Americas - Software industry); Cash, Taxes Receivable, Other Assets (Receivable from affiliated entities).</p> <p>CY Tax Estimate - Misc. Income: \$450</p>
6.	26.4.2.11	<p>GS Capital Partners V PCP Fund, L.P. invests in GS Capital Partners V Employee Fund, L.P. that invests into GS Capital Partners V Fund, L.P., which is an EIF.</p>
6.	26.4.2.12	<p>CY Tax Estimate - Ord. Income: \$34,000, Misc. Income: \$707,392.</p> <p>GS Capital Partners VI PMD QP Fund, L.P. invests in GS Capital Partners VI Employee Master Fund, L.P. (underlying assets: Enstar Group Limited (Americas - Manager of domestic and international reinsurance companies); and Expro International Group Limited (Europe - Provider of Oilfield services and products), but the majority of capital is invested into GS Capital Partners VI Fund, L.P., which is an EIF.</p>

PART	#	ENDNOTE
6.	26.4.2.13	<p>Holdings: Advanced Recovery Systems, LLC (Americas - Healthcare industry); BPL Medical Technologies Private Limited (India- Healthcare equipment industry); Broad Street Loan Partners 2013 (Various - Finance industry) (EIF); Broad Street Real Estate Credit Partners II (Various - Real estate finance industry) (EIF); DEN Networks Limited (India - Communications); Global Consumer Products Private Limited (India - Food industry); iKang Healthcare Group, Inc. (Asia - Healthcare industry); Longhorn Austin (Americas - Real estate development); Longhorn Capitol Towers (Americas - Real estate development); ProQuest Holdings LLC (Americas - Research industry); Cash, Other Assets (Unrealized hedge gain on a sold investment; Immaterial equity interest in client funds for override purposes; Receivables from affiliated entities; Taxes receivable - accounting convention with respect to withholding taxes). Bridge Street 2013 Holdings: Applause Inc. (Americas - Desktop Technology); Beijing Kuanjie Bohua 2011 Investment Center (Asia - Chinese related investments) (EIF); Brighton Health Group Holdings, LLC (Americas - Healthcare industry); Cell Site Solutions (Americas - Communications industry); CTI Foods Holding Co., LLC (Americas - Food industry); GS Infrastructure Partners II (Various - Investments) (EIF); GSG Residential (Elk) Portfolio (Americas - Real estate industry); Hastings Insurance Group Ltd (Europe - Insurance industry); Pipeline Supply & Service, LLC (Americas - Oil and Gas industry); PSAV Holdings LLC (Americas - Hotel Technology); T2 Biosystems, Inc. (Americas - Medical Testing); USJ Co., Ltd. (Asia - Theme park); Vero Group (Europe - Student Housing portfolio); West Street Energy Partners (Various - Energy investments) (EIF);</p> <p>CY Tax Estimate - Ord. Income: \$14,369, Misc. Income: \$19,411</p>

PART	#	ENDNOTE
6.	26.4.2.14	<p>Holdings:</p> <p>144th and Grant (Americas - Multi-family development property in Thornton, Colorado; Residential)</p> <p>7th at Gilman (Americas - Multi-family development property in Issaquah, Washington; Residential)</p> <p>Alexan Cityline (Americas - Multi-family development property in Richardson, Texas; Residential)</p> <p>Alexan Riveredge (Americas - Multi-family development property in Dallas, Texas; Residential)</p> <p>Alta Belmont Hills (Americas - Multi-family development property in Smyrna, Georgia; Residential)</p> <p>Alta Gateway (Americas - Multi-family development property in Salt Lake City, Utah; Residential)</p> <p>Alta Left Bank (Americas - Multi-family development property in Ft. Worth, Texas; Residential)</p> <p>Antuit Holdings Pte. Ltd. India- Business Marketing</p> <p>Broad Street Real Estate Credit Partners II - Various - Investments</p> <p>Broadstone Energy Park (Americas - Multi-family development property in Houston, Texas; Residential)</p> <p>Broadstone Farmers Market (Americas - Multi-family development property in Dallas, Texas; Residential)</p> <p>Broadstone Skyline (Americas - Multi-family development property in Houston, Texas; Residential)</p> <p>Daesung Industrial Gases Co. Ltd. - Asia - Gas</p> <p>D-Wave Systems, Inc. - Americas - Quantum Computing</p> <p>Flint Group GmbH - Europe - Print and Ink</p> <p>GS Mezzanine Partners VI - Various - Investment</p> <p>Hastings Insurance Group Ltd - Europe - Insurance</p> <p>Hearthside Food Solutions - Americas - Manufacturer</p> <p>Ipreo Parent Holdco LLC - Americas - Software</p> <p>MédiPôle Partenaires - Europe - Health Industries</p> <p>Neovia Logistics Holdings Ltd. - Americas - Supply Chain Management</p> <p>One Belleview (Americas - Suburban office building in Denver, Colorado; Commercial)</p> <p>Portillo Restaurant Group (Americas - Operator of fast-casual restaurants; Commercial)</p> <p>South Towne Center (Americas - Regional mall and shopping center located in Sandy, Utah; Commercial)</p> <p>Windeln.de - Europe - Retailer</p> <p>Woowa Brothers Corp - Asia - Food Delivery</p> <p>Cash, Other Assets (Other assets: Immaterial equity interest in client funds for override purposes; Taxes receivable (accounting convention with respect to withholding taxes); Receivables from affiliated entities; Capitalized expenses on pending investments.)</p> <p>Bridge Street 2014 Holdings:</p> <p>AvePoint, Inc. - Americas - Technology</p> <p>Best Logistics Technologies Limited - Asia - Supply Chain Management</p> <p>Nan He Xing Chan Co., Ltd. (Taiwanese holding company that owns approximately 400,000 square meters of prime commercial and residential real estate in Kaohsiung, Taiwan assets in Kaohsiung, Taiwan; Commercial & Residential)</p> <p>Odyssey Logistics & Technology Corporation - Americas - Transportation</p> <p>Paycor, Inc. - Americas - Software</p> <p>Spiceworks, Inc. - Americas - Social network Technology</p> <p>CY Tax Estimate - Misc. Income: \$40,351</p>

PART	#	ENDNOTE
6.	26.4.2.15	<p>Holdings: 110 University Place (Americas - Residential and commercial development in New York City.) Advanced Recovery Systems, LLC - Americas - Rehabilitation Alexan Glenwood (Americas - Multi-family development property in Atlanta, Georgia; Residential) Alta on the Park (Americas - Multi-family development property in Atlanta, Georgia; Residential) Aruba Caribbean Hotel Holding VBA (Americas - Hotel acquisition / conversion in Palm Beach, Aruba; Commercial) Asclepis BioScience Co. Ltd. - Asia - Health Industries Axioma, Inc. - Americas - Portfolio Management Broadstone Sandy Spring (Americas - Multi-family development property in Atlanta, Georgia; Residential) Ciro's Plaza (Americas - Office building in Shanghai, China; Commercial) Credible Behavioral Health, Inc. - Americas - Health Industries El Camino Real (Americas - Multi-family development in Redwood City, California; Residential) Evariant, Inc. - Americas - Software GCA Services Group, Inc. - Americas - Maintenance Golden State Medical Supply Co., Ltd. - Americas - Pharmaceutical Gridsum Holding Inc. - Asia- Business Solutions GS Mezzanine Partners VI - Various - Investments Guahao.com Limited - Asia- Mobile Health Care Hamlet Protein AS - Europe - Animal Health Laboratoire HRA Pharma SAS - Europe - Pharmaceutical LLamasoft, Inc. - Americas - Software Luvo, Inc. - Americas - Frozen Food M-Tec Holding Danmark ApS - Europe - Software nanoPay Holdings Inc. - Americas - Americas - Payment Platform Oncoclinicas Do Brasil Servicos Medicos SA - Americas - Oncology Treatment Option Care - Americas - Infusion Therapy Park Avenue Buckhead (Americas - Multi-family development property in Atlanta, Georgia; Residential) Pepperfry.com - India - Retailer Persado Holdings Ltd - Americas - Technology PRL Developers Private Limited - India - Real Estate ProQuest Holdings LLC - Americas - Research Qubit Digital Ltd - Europe - E-commerce ScienceLogic Inc. - Americas - Information Management Sterling Talent Solutions - Americas - Preemployment Screening Suja Life, LLC - Americas - Juices Talentsoft SA - Europe - Software Tastemade, Inc. - Americas - Media Company Tutorgroup Holding - Asia - Learning Services Venus Medtech (Hangzhou) Inc - Asia- Production Vero Group (Europe - Portfolio of student housing assets in the UK; Residential) WeWork Companies Inc. (Americas - Provider of workspace rentals on a month-to-month basis; Commercial) Xiaomi Technology Company Limited - Asia - Techonology Company Zigbang Co., Ltd. (Asia - Real Estate Listing Platform) Cash, Other Assets (Immaterial equity interest in client funds for override purposes; Taxes receivable (accounting convention with respect to withholding taxes); Receivables from affiliated entities; Capitalized expenses on pending investments.)</p>

PART	#	ENDNOTE
		CY Tax Estimate - Misc. Income: \$54,111
6.	26.4.2.16	<p>Holdings: Alexan Central Park (Americas - Multi-family development property in Redmond, Washington; Residential) Austin Proper Hotel and Residences (Americas - Multi-family and hotel development property in Austin, Texas; Commercial & Residential) Broadstone South Gulch (Americas - Multi-family development property in Nashville, Tennessee; Residential) Broadstone Westside (Americas - Operators of Multi-family communities in Atlanta, Georgia; Residential) Cell Site Solutions - Americas - Brazil Developers Continental Bakeries - Europe- Distributors Cova Beijing Zpark Investment Ltd. (Asia - Office building in Beijing; Commercial) Den Networks Limited - India - Cable Digital Management, Inc. - Americas - Digital mobility Godfrey Hollywood (Americas - Hotel development property in Santa Monica, California: Commercial) Happy Call Co., Ltd. - Asia- Manufacturer Jiangsu Carzone Auto Parts Co., Ltd. - Asia - Distributor MavenLink, Inc. - Americas - Software North Shore Lofts (Americas - Multi-family development property in Austin, Texas; Residential) Santa Monica Proper (Americas - Hotel development in Santa Monica, California; Commercial) Sprout Social, Inc. - Americas - Social Media Products Tienda Inglesa U.S. Holdings LLC - Americas - Super market chain TraceLink, Inc. - Americas - Software Transbay Development Project (Americas - Mixed-use development project in San Francisco, California; Commercial & Residential) Cash, Other Assets (Immaterial equity interest in client funds for override purposes; Taxes receivable (accounting convention with respect to withholding)</p>
		CY Tax Estimate - Misc. Income: \$900
6.	26.4.2.17	Taikang Insurance Group Inc. (Asia - Financial Services); Cash; Taxes Receivable - taxes paid on behalf of fund investors.
6.	26.4.2.18	Global Private Opportunities Partners II LP; PY K-1 Box 11: \$1,692
6.	26.4.2.19	GS Developing Markets Real Estate Partners PMD QP Fund, L.P. invests in Goldman Sachs Developing Markets Real Estate Partners (US), L.P. that invests into Goldman Sachs Developing Markets Real Estate Partners (US) Coperatief U.A., which is an EIF.

PART	#	ENDNOTE
6.	26.4.2.20	<p>Holdings: 56 Leonard Street (Americas - Condo development in New York City; Residential) Caribbean Fund 2005 (EIF) (Americas - Royal Decameron Hotel in Panama; CR Holdings (3 hotels) in Costa Rica; Marriott Aruba; Commercial) CNL Fargo Holdings (Americas - Portfolio of hotel assets located across the U.S.; Commercial) Kerzner International Limited - Europe - Hospitality KQ Portfolio - Debt - (Europe - Portfolio of retail assets located across Germany; Commercial) KQ Portfolio - Equity (Europe - Portfolio of retail assets located across Germany; Commercial) MoMA West (Americas - Condo development in New York City; Residential) National Gateway at Potomac Yard (Americas - Office building near Washington, D.C.; Commercial) Sofitel North America Portfolio (Americas - Hotel asset located in Los Angeles, California; Commercial) Cash, Other Assets (Receivables from affiliated entities; Taxes receivable (accounting convention with respect to withholding taxes.)</p> <p>CY Tax Estimate - Ord. Income: \$47,400</p>
6.	26.4.2.21	<p>CY Tax Estimate - Ord. Income: \$160,000.</p> <p>Broad Street Senior Credit Partners Employee Fund, L.P. invests in Broad Street Senior Credit Partners, L.P., which is an EIF.</p>
6.	26.4.2.22	<p>The manager does not release information regarding the underlying investments of this asset, except in limited circumstances;</p> <p>PY K-1 Box 11: \$603,904</p>
6.	26.4.2.23	<p>Liberty Harbor QP LLC invests in Liberty Harbor Master Fund I, L.P. (the "Master Partnership"), through Liberty Harbor Aggregating Fund, LLC (the "Aggregating Vehicle"), which is an EIF.</p>
6.	26.4.3	<p>CY Partnership Distribution: \$13,735</p>
6.	26.4.4	<p>Single Asset - intellectual property; The patent and intellectual property integrates a live streaming platform with a telephony network. This IP, along with non-patented IP, enables podcasters to easily create audio content. This IP also enables enterprise customers to create live streaming webcasts for Cinchcast.</p>
6.	26.4.5	<p>*Only available information was PY K-1.</p>
6.	26.4.7	<p>Single Asset - Intellectual property; IP consists of a web application that enables consumers to book apartments for short-term rentals.</p>
6.	26.4.9	<p>Single Asset - intellectual property; Held an underlying investment in Advanced Cerametrics, Inc., which was a medical device company that closed in July 2016. No patents held.</p>
6.	26.4.10	<p>Single Asset - intellectual property; Patents are held on software used for compute visibility and cybersecurity.</p>
6.	26.4.11	<p>Single Asset - intellectual property; IP relates to medical device innovation.</p>

PART	#	ENDNOTE
6.	26.4.12	Single Asset - intellectual property; OrthoSensor's patent portfolio protects various aspects of an existing intra-operative knee sensor, which is used in total knee arthroplasty procedures, as well as contemplated future products.
6.	26.4.13	*Only available information was PY K-1.
6.	26.4.18	*Only available information was PY K-1
6.	26.4.19	*Only available information was PY K-1
6.	26.4.20	*Only available information was PY K-1
6.	26.4.21	*Only available information was PY K-1
6.	26.4.22	Single Asset - Residential investment home
6.	32.2	This asset is a cash remainder from units in the equity tranche of a specific collateralized loan obligation originated in July 2007 and previously scheduled to mature in August 2022. Equity holders in the structure voted to early redeem it on July 29, 2016 and the majority of this value was paid in a liquidating distribution in August.
6.	32.3	Underlying investments of AXA variable policy: EQ/BlackRock Basic Value Equity EQ/GAMCO Small Company Value EQ/Invesco Comstock EQ/MFS International Growth EQ/T.Rowe Price Growth Stock EQ/Wells Fargo Omega Growth Fidelity VIP Contrafund Lazard Retire Emerging Mrkt Equity

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
