

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

## Filer's Information

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**Ross, Wilbur L**

Secretary of Commerce, Department of Commerce

Report Year: 2018

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Maggi, David, Certifying Official [electronically signed on 09/12/2018 by Maggi, David in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

**Certification Declined on 2/15/19 by Rounds, Emory.**

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Data Revised 02/15/2019

Data Revised 12/12/2018

Data Revised 12/10/2018

Data Revised 09/12/2018

Data Revised 09/11/2018

Data Revised 09/10/2018

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Comments of Reviewing Officials (public annotations):

<b>PART</b>	<b>#</b>	<b>REFERENCE</b>	<b>COMMENT</b>
N/A	N/A	General	(02/15/2019, Rounds, Emory): The report is not certified because line 4 in Part 2 (and endnote) reports that the filer no longer held BankUnited stock while the transaction report dated October 31, 2018, demonstrates that he did, and because the filer was therefore not in compliance with his ethics agreement at the time of the report.

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Palm Beach Preservation Foundation	See Endnote	Palm Beach, Florida	Non-Profit	Trustee	1/2010	2/2017
2	Harvard Business School Club of New York	See Endnote	New York, New York	Social Club	Director	1/2011	2/2017
3	The Partnership for New York City	See Endnote	New York, New York	Non-Profit	Member of the Executive Committee	1/2010	2/2017
4	WL Ross and Co. LLC		Wilmington, Delaware	Limited Liability Company	Chairman/Chief Strategy Officer	10/1997	2/2017
5	Sun National Bank		Vineland, New Jersey	Bank	Director	9/2010	2/2017
6	Nexeo Solutions		The Woodlands, Texas	Chemicals/Plastics Distribution	Chairman	3/2014	2/2017
7	WLR China Energy Associates, Ltd.		Cayman Islands, Outside U.S.	Investment Management	Director	12/2008	2/2017
8	INVESCO WLR Private Equity Investment Management, Ltd.		Hong Kong, Outside U.S.	Investments	Director	6/2008	2/2017
9	Invesco Private Capital, Inc.		Palo Alto, California	Investment Management	Director	10/2006	2/2017
10	ArcelorMittal		Luxembourg, Outside U.S.	Steel	Director	5/2008	2/2017
11	Huaneng Invesco WLR Investment Consulting Company Ltd.		China, Outside U.S.	Investment Management	Director	9/2008	2/2017
12	Invesco WLR Limited		Hong Kong, Outside U.S.	Investment Management	Director	6/2008	2/2017
13	Invesco Private Capital Investments, Inc.		Palo Alto, California	Investment Management	Director	10/2006	2/2017

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
14	WL Ross & Co. (India) LLC		Wilmington, Delaware	Limited Liability Company	Director	7/2006	2/2017
15	Absolute Recovery Hedge Fund, Ltd.; Absolute Recovery Master Fund Ltd.		Bermuda, Outside U.S.	Investment Management	Director	5/2001	2/2017
16	Ross Expansion FLP, LP		New York, New York	Limited Partnership	General Partner	12/2005	2/2017
17	WLR Master Co-Investment SLP GP, Ltd.		New York, New York	General Partner	Director/Chairman	8/2011	2/2017
18	The Japan Society, Inc.		New York, New York	Non-Profit	Director/Chairman	2/2005	2/2017
19	Diamond S Shipping LLC	See Endnote	New York, New York	Shipping Management	Chairman	1/2011	2/2017
20	Briarcliff Condominium Apartment Building	See Endnote	New York, New York	Non-Profit	Director	1/2007	2/2017
21	El Vedado LLC		West Palm Beach, Florida	Limited Liability Company	Sole Member	12/2005	Present
22	Exco Resources	See Endnote	Dallas, Texas	Corporation	Independent Director	1/2012	2/2017
23	Sun BanCorp		Mount Laurel, New Jersey	Bank	Director	9/2009	2/2017
24	Bank of Cyprus		Strovolos, Outside U.S.	Bank	Director/Vice Chairman	11/2014	2/2017
25	American Friends of the Rene Magritte Museum	See Endnote	New York, New York	Non-Profit	President	1/2014	2/2017
26	Musee des Arts Decoratifs	See Endnote	Paris, Outside U.S.	Non-Profit	International Counsel Member	1/2014	2/2017
27	British American Business, Inc.	See Endnote	New York, New York	Business Network	International Advisory Board Director	1/2010	2/2017

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
28	Diamond S Shipping Group, Inc.	See Endnote	Greenwich, Connecticut	Shipping Services	Non-Executive Chairman	1/2011	2/2017
29	India Asset Recovery Fund Limited		Mauritius, Outside U.S.	Investment Management	Director	7/2006	2/2017
30	Palm Beach Retirement Funds	See Endnote	Palm Beach, Florida	Pension Plan for public Servants	Trustee	1/2010	2/2017
31	Brookings Economic Studies Council	See Endnote	Washington, District of Columbia	Non-Profit	Director/Chairman	1/2012	2/2017
32	DSS Holdings LP	See Endnote	Greenwich, Connecticut	Shipping	Director/Chairman	1/2011	2/2017
33	Ross Expansion GP LLC		Wilmington, Delaware	Limited Liability Company	Sole Member	4/2004	2/2017
34	Absolute Recovery Capital Partners, LLC		Wilmington, Delaware	Limited Liability Company	Managing Member	5/2011	2/2017
35	Blenheim Foundation USA		Palm Beach, Florida	Non-Profit	Trustee	1/2008	2/2017
36	Invesco Ltd.		Atlanta, Georgia	Corporation	CEO -- Private Equity Groups	10/2006	2/2017
37	Brookings Institution	See Endnote	Washington, District of Columbia	Non-Profit	Trustee	1/2013	2/2017
38	Palm Beach Civic Association	See Endnote	Palm Beach, Florida	Non-Profit	Director	1/2010	2/2017
39	1116 South Main Street, LLC	See Endnote	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2003	Present
40	781 Fifth Ave. LLC	See Endnote	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2003	Present
41	Euro Wagon Ltd.		George Town, Outside U.S.	Corporation	Director	2/2011	2/2017

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
42	Euro Wagon II Ltd.	George Town, Outside U.S.	Corporation	Director	2/2011	2/2017
43	WLR Euro Wagon Management Ltd. (Jersey)	St Helier, Outside U.S.	Corporation	Director	9/2005	2/2017
44	WL Ross Group (Cayman) Ltd.	Cayman Islands, Outside U.S.	Corporation	Director	2/2011	2/2017
45	India Asset Recovery GP Ltd.	Cayman Islands, Outside U.S.	Corporation	Director	7/2006	2/2017
46	WLR Select Associates DSS GP, Ltd.	Cayman Islands, Outside U.S.	Corporation	Director	12/2010	2/2017
47	WLR IV Loans AIV Feeder (Cayman), Ltd.	Cayman Islands, Outside U.S.	Corporation	Director	10/2009	2/2017
48	WLR Recovery Associates IV DSS AIV GP, Ltd. (Cayman)	Cayman Islands, Outside U.S.	Corporation	Director	11/2007	2/2017
49	WLR Recovery Associates V DSS AIV GP, Ltd. (Cayman)	Cayman Islands, Outside U.S.	Corporation	Director	9/2011	2/2017
50	Starboard GP Ltd. (Cayman)	New York, New York	Corporation	Director	11/2013	2/2017
51	WLR Cardinal Associates Ltd.	New York, New York	Corporation	Director	5/2015	2/2017
52	India Asset Recovery Associates LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	2/2006	2/2017
53	WLR Recovery Associates II LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	2/2002	2/2017
54	Starboard WLR Associates L.P.	New York, New York	Limited Partnership	Principal Partner	11/2013	2/2017
55	WLR-SC Financing Conduit LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2013	2/2017

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
56	Ross CG GP LLC	Wilmington, Delaware	Limited Liability Company	Sole Member	5/2003	2/2017
57	WLR IMRF II Associates LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	4/2016	2/2017
58	WLR Nanotechnology GP LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2006	2/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Invesco				
1.1	Invesco Group Services	See Endnote	N/A	Salary	\$166,667
1.2	Invesco 401k Plan	See Endnote	No		
1.2.1	Invesco Developing Markets R6	Yes	None (or less than \$1,001)		None (or less than \$201)
1.2.2	Invesco Core Plus Fixed Income	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.2.3	SSgA U.S. Bond Index Non-Lending Series Fund Class C	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.2.4	SSgA Inflation Protected Bond Index Fund	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.3	Invesco Ltd. stock	N/A	None (or less than \$1,001)	Capital Gains Dividends	Over \$5,000,000
1.4	Invesco Group Services	See Endnote	N/A	Bonus	\$970,530
1.5	Invesco Group Services	See Endnote	N/A	Escrow payment	\$6,148,158
2	ArcelorMittal	See Endnote	N/A	Director Fee	\$189,744

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Air Lease Corporation	See Endnote	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4	BankUnited, Inc.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
5	Exco (vested shares)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
6	Exco (unvested shares)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
7	Ocwen Financial Corporation	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
8	Sun Bancorp, Inc.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
9	El Vedado, LLC	See Endnote	No			
9.1	WL Ross Group, L.P.	See Endnote	No			
10	WL Ross Group, L.P.	See Endnote	No			
10.1	WLR Recovery Associates IV LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1	\$407,068
10.1.1	WLR Recovery Fund IV, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.1.2	WLR Recovery Fund IV, L.P.		No			
10.1.2.1	International Textile Group (textiles)		N/A			
10.1.2.2	WLR - Greenbrier Rail Inc. (railroads)		N/A			
10.1.2.3	Sun Bancorp. Inc.		N/A			
10.1.2.4	Cascade Bancorp		N/A			



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.2. 5	Amalgamated Bank (banking)	N/A			
10.1.3	WLR Recovery Fund IV XCO Feeder I, L.P.	No			
10.1.3. 1	WLR Recovery Fund IV XCO AIV I, L.P.	No			
10.1.3. 1.1	EXCO Resources, Inc.	N/A			
10.1.4	WLR Recovery Fund IV XCO Feeder II, L.P.	No			
10.1.4. 1	WLR Recovery Fund IV XCO AIV II, L.P.	No			
10.1.4. 1.1	EXCO Resources, Inc.	N/A			
10.1.5	WLR Recovery Fund IV XCO Feeder III, L.P.	No			
10.1.5. 1	WLR Recovery Fund IV XCO AIV III, L.P.	No			
10.1.5. 1.1	EXCO Resources, Inc.	N/A			
10.1.6	WLR IV RRH AIV, L.P.	No			
10.1.6. 1	Cantor Commercial Real Estate Company (real estate financing)	N/A			
10.1.7	WLR IV RRH Blocked AIV, L.P.	No			
10.1.7. 1	Cantor Commercial Real Estate Company (real estate financing)	N/A			
10.1.8	WLR IV PPIP AIV, L.P.	No			
10.1.8. 1	Invesco Mortgage Recovery Master Fund, L.P.	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.8.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
10.1.9	WLR IV PPIP AIV Feeder, L.P.		No			
10.1.9.1	WLR IV PPIP AIV, L.P.	See Endnote	No			
10.1.1.0	WLR IV Loans AIV Feeder, L.P. (Delaware)		No			
10.1.1.0.1	WLR IV Loans AIV, L.P.		No			
10.1.1.0.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.		No			
10.1.1.0.1.1.1	WLR LeFrak Northwest LLC (real estate loans)		N/A			
10.1.1.0.1.1.2	IMRF Hotel Fifth Street Member LLC (real estate loans)		N/A			
10.1.1.0.1.1.3	Park Place Apollo Investor LLC (real estate loans)		N/A			
10.1.1.0.1.1.4	Market Square Member LLC (real estate loans)		N/A			
10.1.1.0.1.1.5	Indiana Retail Member LLC (real estate loans)		N/A			
10.1.1.0.1.1.6	Colfin Milestone North Funding LLC (commercial real estate loans)		N/A			
10.1.1.0.1.1.7	IMRF Hotel Member LLC (real estate loans)		N/A			
10.1.1.0.1.1.8	IMRF Watchtower Member LLC (real estate loans)		N/A			
10.1.1.0.1.1.9	Shackelford Crossings Member LLC (real estate loans)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.1 0.1.1.1 0	IMRF Industrial Member LLC (real estate loans)		N/A			
10.1.1 1	WLR IV Loans AIV Feeder, (Cayman) L.P.		No			
10.1.1 1.1	WLR IV Loans AIV, L.P.	See Endnote	No			
10.1.1 2	WLR IV Loans AIV, L.P.	See Endnote	No			
10.2	WLR Mezzanine Associates, LLC	See Endnote	No	\$250,001 - \$500,000	Income per K-1	\$95,295
10.2.1	WLR Mezzanine Splitter, L.P. (Cayman)		No			
10.2.1. 1	WLR Cardinal Associates Ltd.		No			
10.2.1. 1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)		Yes			
10.2.1. 1.1.1	Dwyer Nolan: Elmfield Property Holdings, Ltd. Tranche A (real estate loans)		N/A			
10.2.1. 1.1.2	Hennebry, O'Toole, Exmonde Partnership (real estate loans)		N/A			
10.2.1. 1.1.3	Henciti Limited (real estate loans)		N/A			
10.2.1. 1.1.4	Genesis Homes (Mungret) Limited (real estate loans)		N/A			
10.2.1. 1.1.5	Charlemont Regene (real estate loans)		N/A			
10.2.1. 1.1.6	Chirita Limited (real estate loans)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.1.1.1.7	Kitty Developments Limited (real estate loans)	N/A			
10.2.1.1.1.8	Newpark Developments Limited (real estate loans)	N/A			
10.2.1.1.1.9	RGRE Ballsbridge Devco No. 3 (real estate loans)	N/A			
10.2.1.1.1.10	Chalon Finance DAC (real estate loans)	N/A			
10.2.1.1.1.11	Alcove Development Limited (real estate loans)	N/A			
10.2.1.1.1.12	Hallscotch Venture Limited (real estate loans)	N/A			
10.2.1.1.1.13	Hanover Quay Property Development Limited (real estate loans)	N/A			
10.2.1.1.1.14	Parkhan Properties Limited (real estate loans)	N/A			
10.2.1.1.1.15	John Flanagan Developments Limited (real estate loans)	N/A			
10.2.1.1.1.16	MJOM Holdongs Limited (real estate loans)	N/A			
10.2.1.1.1.17	Harts Property Holdings (real estate loans)	N/A			
10.2.1.1.1.18	RGRE Ballsbridge Devco No. 3 Limited (real estate loans)	N/A			
10.2.1.1.1.19	Newydd Limited (real estate loans)	N/A			
10.2.1.1.1.20	BHG Property (Kilcock) Limited (real estate loans)	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.1. 1.1.21	Galpro Investment Company (real estate loans)		N/A			
10.2.2	WLR Cardinal Mezzanine Fund L.P. (Cayman) -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
10.3	Absolute Recovery Capital Partners LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.3.1	Absolute Recovery Hedge Fund Ltd. (Cayman)		No			
10.3.1. 1	Absolute Recovery Master Fund Ltd.	See Endnote	N/A			
10.3.2	Absolute Recovery Hedge Fund L.P.	See Endnote	N/A			
10.4	WLR Recovery Associates LLC (cash)	See Endnote	N/A	None (or less than \$1,001)	Income per K-1	\$157,076
10.5	WL Ross Sponsor LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1	\$12,141,342
10.5.1	Nexeo Solutions, stock	See Endnote	N/A			
10.6	WLR Conduit MM LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1 (estimate)	\$273,729
10.6.1	WLR-SC Financing Conduit LLC		No			
10.6.1. 1	Resolution Recovery Partners LP (real estate)		N/A			
10.6.1. 2	Transportation Recovery Fund, L.P.		No			
10.6.1. 2.1	WLR/TRF Shipping GP Ltd.		No			
10.6.1. 2.1.1	WLR/TRF Shipping LP (Cayman)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.6.1. 2.1.1.1	WLR/TRF Shipping S.a r.l.	See Endnote	No			
10.6.1. 2.2	WLR/TRF Shipping LP (Cayman)	See Endnote	No			
10.6.1. 2.3	WLR/TRF Shipping II GP Ltd.		No			
10.6.1. 2.3.1	WLR/TRF Shipping II LP (Cayman)		No			
10.6.1. 2.3.1.1	WLR/TRF Shipping II S.a r.l.	See Endnote	No			
10.6.1. 2.4	WLR/TRF Shipping II LP (Cayman)	See Endnote	No			
10.6.1. 3	American Energy - Permian Basin LLC, bonds		N/A			
10.6.1. 4	Comstock Resources, Inc., warrants		N/A			
10.6.1. 5	Energen Corp.		N/A			
10.6.1. 6	Laredo Petroleum Inc.		N/A			
10.6.1. 7	Northern Oil and Gas Inc.		N/A			
10.6.1. 8	New Penn Financial LLC (mortgage financing)		N/A			
10.6.1. 9	QEP Resources Inc.		N/A			
10.6.1. 10	Breitburn Energy Partners, bonds		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.6.1.11	Rex Energy Corp.		N/A			
10.6.1.12	WPX Energy Inc.		N/A			
10.6.1.13	Comstock Resources, equity		N/A			
10.6.1.14	Shellpoint Partners LLC (mortgage lending)		N/A			
10.6.1.15	Cantor Commercial Real Estate Company (real estate financing)		N/A			
10.6.1.16	Situs Holdings, LLC (commercial mortgage servicing)		N/A			
10.6.2	Approach Resources, Inc., bonds		N/A			
10.6.3	Lightstream Resources, bonds		N/A			
10.6.4	WLR Conduit MM LLC -- Carried interest	See Endnote	N/A	None (or less than \$1,001)		
10.7	WLR Recovery Associates V LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1	\$808,243
10.7.1	WLR V RRH Blocked AIV, L.P.		No			
10.7.1.1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
10.7.2	WLR V RRH AIV, L.P.		No			
10.7.2.1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
10.7.3	WLR V RRH Feeder AIV LLC		No			
10.7.3.1	WLR V RRH Blocked AIV, L.P.		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7.3.1.1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
10.7.4	WLR Recovery Fund V Mezzanine AIV Blocker, L.P.		No			
10.7.4.1	WLR Recovery Fund V Mezzanine AIV, L.P.		No			
10.7.4.1.1	WLR Recovery Fund V Mezzanine Holdings LLC		No			
10.7.4.1.1.1	WLR Cardinal Associates Ltd.		No			
10.7.4.1.1.1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
10.7.4.1.1.2	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
10.7.5	WLR Recovery Fund V Mezzanine AIV, L.P.		No			
10.7.5.1	WLR Recovery Fund V Mezzanine Holdings LLC	See Endnote	No			
10.7.6	WLR Recovery Fund V, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.7.7	WLR V RRH Blocked AIV, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.7.8	WLR V RRH AIV, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.7.9	WLR Recovery Fund V, L.P.		No			
10.7.9.1	Virgin Money (banking)		N/A			
10.7.9.2	Amalgamated Bank (banking)		N/A			



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7.9. 3	NBNK Investments PLC (investments)	N/A			
10.7.9. 4	CCRE/Berkeley Point Financial LLC (real estate)	N/A			
10.7.9. 5	Bank of Cyprus (banking)	N/A			
10.7.9. 6	PB Materials Holdings, Inc. (construction)	N/A			
10.7.9. 7	Carbures Inc. (nano carbon fiber manufacturing)	N/A			
10.7.9. 8	DSS Holdings, L.P. (transoceanic shipping)	N/A			
10.7.9. 9	American Energy - Permian Basin LLC, bonds	N/A			
10.7.9. 10	Approach Resources, Inc., bonds	N/A			
10.7.9. 11	Breitburn Energy Partners, bonds	N/A			
10.7.9. 12	Comstock Resources Inc., warrants	N/A			
10.7.9. 13	Lightstream Resources, bonds	N/A			
10.7.9. 14	WLR Eurobank Investment, L.P.	No			
10.7.9. 14.1	Eurobank Ergasias SA (banking)	N/A			
10.8	WLR Select Associates LLC	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
10.8.1	WLR Select Co-Investment XCO AIV, L.P.		No		

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.8.1.1	Exco Resources, Inc.		N/A			
10.8.2	WLR Select Co-Investment XCO AIV, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.9	WL Ross Group (Cayman), Ltd.	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.9.1	WLR China Energy CV, L.P.		No			
10.9.1.1	WLR China Energy Associates, Ltd.		No			
10.9.1.1.1	WLR China Energy Infrastructure Fund, L.P. - Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.9.1.1.2	WLR China Energy Infrastructure Fund, L.P.	See Endnote	No			
10.9.1.1.2.1	Longmen Group Limited (natural gas)		N/A			
10.9.1.1.2.2	Organica Water Inc. (wastewater infrastructure)		N/A			
10.9.1.1.2.3	Phononic Devices, Inc. (consumer products manufacturing)		N/A			
10.9.1.1.2.4	SinoTech Power Group Holding (solar power)		N/A			
10.9.1.1.2.5	Huaneng Renewables Corp., Ltd. (energy)		N/A			
10.9.1.1.2.6	ChargePoint, Inc. (electric vehicle charging)		N/A			
10.10	WLR Recovery Associates II, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.10.1	WLR Recovery Fund II, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.11	WLR Recovery Associates III, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.11.1	WLR Recovery Fund III, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.12	WLR IMRF II Associates LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1	\$46,334
10.12.1	Invesco Mortgage Recovery Master Associates II, LLC		No			
10.12.1.1	Invesco Mortgage Recovery Fund II, L.P.		No			
10.12.1.1.1	Invesco Mortgage Recovery Fund II U.S. HoldCo, L.P.		No			
10.12.1.1.1.1	Invesco Mortgage Recovery Fund II ITAL HoldCo, L.P.		No			
10.12.1.1.1.1.1	ITAL SCSP (Luxembourg)		No			
10.12.1.1.1.1.1.1	Spiga (real estate loans)		N/A			
10.12.1.1.1.2	Generator (real estate loans)		N/A			
10.12.1.1.1.3	Ames Hotel (real estate loans)		N/A			
10.12.1.1.1.4	Bayside Square (real estate loans)		N/A			
10.12.1.1.1.5	Luhrs City Center (real estate loans)		N/A			
10.12.1.1.1.6	Crown Heights (real estate loans)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.12. 1.1.1.7	5801 Christie Avenue (real estate loans)		N/A			
10.12. 1.1.1.8	Sareb Loan Portfolio (real estate loans)		N/A			
10.12. 1.1.1.9	Exposition Boulevard (real estate loans)		N/A			
10.12. 1.2	Invesco Mortgage Recovery Fund II U.S. HoldCo, L.P.	See Endnote	No			
10.12. 1.3	Invesco Mortgage Recovery Fund II ESC, L.P.		No			
10.12. 1.3.1	Invesco Mortgage Recovery Fund II U.S. HoldCo, L.P.	See Endnote	No			
10.12. 1.3.2	IMRF II HoldCo S.a r.l. (Luxembourg)		No			
10.12. 1.3.2.1	102 Champs-Elysees (real estate loans)		N/A			
10.12. 1.3.2.2	Frascati (real estate loans)		N/A			
10.12. 1.3.2.3	Gregorio Benitez (real estate loans)		N/A			
10.12. 1.3.2.4	Frascati (real estate loans)		N/A			
10.12. 1.3.2.5	Tour Cedre (real estate loans)		N/A			
10.12. 1.4	Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P.		No			
10.12. 1.4.1	Invesco Mortgage Recovery Fund II ITAL HoldCo, L.P.	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.12.1.5	Invesco Mortgage Recovery Fund II Feeder, LLC		No			
10.12.1.6	Invesco Mortgage Recovery Fund II, L.P. -- carried interest	See Endnote	N/A	None (or less than \$1,001)		
10.12.1.7	Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P. -- carried interest	See Endnote	N/A	None (or less than \$1,001)		
10.13	WLR Master Co-Investment SLP Associates L.P. (Cayman)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.13.1	WLR/GS Master Co-Investment L.P. (Cayman) -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
10.14	WLR Recovery Associates IV DSS AIV, L.P.	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.14.1	WLR Recovery Fund IV DSS AIV, L.P. (Cayman)		No			
10.14.1.1	DSS Holdings LP Class A (transoceanic shipping)		N/A			
10.14.1.2	DSS Holdings LP Class B (transoceanic shipping)		N/A			
10.14.1.3	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
10.14.1.4	DSS Holdings GP Ltd. (transoceanic shipping)		N/A			
10.15	WLR Recovery Associates V DSS AIV, L.P.	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.15.1	WLR Recovery Fund V DSS AIV, L.P.		No			
10.15.1.1	WLR/TRF Shipping LP (Cayman)	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.15.1.2	WLR/TRF Shipping II LP (Cayman)	See Endnote	No			
10.15.1.3	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
10.15.1.4	DSS Holdings, L.P. (transoceanic shipping)		N/A			
10.16	WLR Select Associates DSS, L.P.	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.17	Ross CG Pearl Associates, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
10.17.1	Ross CG Pearl Associates, LP -- carried interest	See Endnote	N/A	None (or less than \$1,001)		
11	WLR Recovery Associates V DSS AIV GP, Ltd.	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
11.1	WLR Recovery Associates V DSS AIV, L.P.	See Endnote	No			
11.1.1	WLR Recovery Fund V DSS AIV, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
12	WLR/IVZ Mortgage Recovery Associates LLC	See Endnote	No	\$1,000,001 - \$5,000,000	Income per K-1	\$1,524,496
12.1	Invesco Mortgage Recovery Master Associates LLC		No			
12.1.1	Invesco Mortgage Recovery Offshore Feeder Fund, L.P.		No			
12.1.1.1	Invesco Mortgage Recovery Feeder Fund, L.P.		No			
12.1.1.1.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.1.1.1.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.1.2	Invesco Mortgage Recovery Feeder Fund, L.P.		No			
12.1.2.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.1.2.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.3	Invesco Legacy Securities Offshore Feeder Fund, L.P.		No			
12.1.3.1	Invesco Legacy Securities Feeder Fund, L.P.		No			
12.1.3.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.4	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.1.4.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.5	Invesco Legacy Securities Feeder Fund, L.P.		No			
12.1.5.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.6	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.7	Invesco Recovery Loans Feeder Fund, L.P. (DE)		No			
12.1.7.1	Invesco Mortgage Recovery Loans AIV, L.P.		No			
12.1.7.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.1.8	Invesco Mortgage Recovery Loans Feeder Fund, L.P. (Cayman)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.1.8. 1	Invesco Mortgage Recovery Loans AIV, L.P.		No			
12.1.8. 1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.1.9	Invesco Mortgage Recovery Loans AIV, L.P.		No			
12.1.9. 1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.1.1 0	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.2	WLR IV PPIP Co-Invest Offshore Feeder Fund, L.P.		No			
12.2.1	WLR IV PPIP Co-Invest, L.P.		No			
12.2.1. 1	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.2.1. 1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.3	WLR IV PPIP Co-Invest, L.P.		No			
12.3.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.3.1. 1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.4	WLR IV PPIP Coinvest Loans Feeder Fund, L.P. (DE)		No			
12.4.1	WLR IV PPIP Co-Invest Loans AIV, L.P.		No			
12.4.1. 1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.5	WLR IV PPIP Coinvest Loans Feeder Fund (Cayman), L.P.		No			



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.5.1	WLR IV PPIP Co-Invest Loans AIV, L.P.		No			
12.5.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.6	WLR Whole Loan Fund, L.P.	See Endnote	No			
12.6.1	WLR LeFrak (Northwest) LLC (real estate loans)		N/A			
12.6.2	Market Square Member LLC (real estate loans)		N/A			
12.6.3	Indiana Retail Member LLC (real estate loans)		N/A			
12.6.4	Shackleford Crossings Member LLC (real estate loan)		N/A			
12.6.5	Colfin Milestone North Funding LLC (real estate loan)		N/A			
12.6.6	IMRF Hotel Member LLC (real estate loan)		N/A			
12.6.7	Park Place Apollo Investor LLC (real estate loan)		N/A			
12.6.8	IMRF Watchtower Member LLC (real estate loan)		N/A			
12.6.9	IMRF Industrial Member LLC (real estate loan)		N/A			
12.7	WLR IV PPIP Co-Invest Loans AIV, L.P.		No			
12.7.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.8	WLR/IVZ Mortgage Recovery Associates LLC -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
13	Starboard GP Ltd.	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.1	Starboard Recovery Associates, L.P.		No			
13.1.1	WLR Navig8 Co-Investment, L.P.		No			
13.1.1.1	WLR/TRF Shipping S.a. r.l.	See Endnote	No			
13.2	Transportation Recovery Fund, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
14	IRA - Traditional		No			
14.1	WLR Recovery Associates II, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
14.1.1	WLR Recovery Fund II, L.P.		No			
14.1.1.1	International Textile Group (textiles)		N/A			
14.1.1.2	WLR Cone Mills Surplus Assets LLC (textiles)		N/A			
14.1.1.3	Ohizumi Mfg Co Ltd. (electronics, Japan)		N/A			
14.1.1.4	Nano-Tex LLC (textiles)		N/A			
14.1.1.5	IAC Group North America LLC (automotive parts)		N/A			
14.1.1.6	IAC Group Brazil LLC (automotive parts)		N/A			
14.2	WLR Recovery Associates III, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
14.2.1	WLR Recovery Fund III, L.P.		No			
14.2.1.1	International Textile Group (textiles)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.2.1. 2	IAC Group North America LLC (automotive parts)		N/A			
14.2.1. 3	IAC Group Brazil LLC (automotive parts)		N/A			
14.2.1. 4	OCM India Limited (textiles)		N/A			
14.3	WLR Recovery Associates IV, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
14.4	U.S. brokerage/investment account (cash)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
14.5	WLR Recovery Associates IV DSS AIV GP, Ltd. (Cayman)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
14.5.1	WLR Recovery Associates IV DSS AIV, L.P.	See Endnote	No			
14.6	UBS AG Deposit Account (cash)		N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
15	IRA - Roth		No			
15.1	Aperam NY Reg.	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
15.2	ArcelorMittal SA NY Reg.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
15.3	U.S. brokerage/investment account (cash)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
15.4	UBS AG Deposit Account		N/A	\$1,000,001 - \$5,000,000	Interest	\$2,501 - \$5,000
16	India Asset Recovery Associates LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
16.1	India Asset Recovery GP Ltd. (Cayman)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.1.1	India Asset Recovery Fund LP -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
16.1.2	India Asset Recovery Fund LP		No			
16.1.2.1	India Asset Recovery Fund Limited		No			
16.1.2.1.1	OCM India Limited (textiles)		N/A			
17	Ross CG GP LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1 (estimate)	\$7,796
17.1	Ross CG Associates, LP		No			
17.1.1	Taiyo Pearl GP, L.P.		No			
17.1.1.1	Taiyo Pearl Delaware Fund, L.P.		No			
17.1.1.1.1	Taiyo Pearl Master Fund, L.P.		No			
17.1.1.1.1.1	Nifco Inc. (plastics)		N/A			
17.1.1.1.1.2	J Trust Co. Ltd. (financial services; real estate)		N/A			
17.1.1.1.1.3	Mitsui Securities Co. Ltd. (financial services)		N/A			
17.1.1.1.1.4	Topcon Corp. (positioning instruments)		N/A			
17.1.1.1.1.5	Ulvac Inc. (machinery)		N/A			
17.1.1.1.1.6	Disco Corp. (precision tools)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.1.1.1.7	Horiba Ltd. (precision instruments)		N/A			
17.1.1.1.1.8	Peptidream Inc. (pharmaceuticals, Japan)		N/A			
17.1.1.1.1.9	Nissha Printing Co. Ltd. (Manufacturing, electronics, and medical devices, Japan)		N/A			
17.1.1.1.1.10	Miraca Holdings Inc. (healthcare)		N/A			
17.1.1.1.1.11	CyberAgent, Inc. (internet business)		N/A			
17.1.1.2	Taiyo Pearl Fund, L.P.		No			
17.1.1.2.1	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
17.1.1.3	Taiyo Pearl Fund, Ltd.		No			
17.1.1.3.1	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
17.1.1.4	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
17.2	Ross CG Associates, LP - Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
18	WL Ross GP LLC	See Endnote	No			
18.1	Asia Recovery Associates L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
18.2	Asia Recovery Associates L.P.	See Endnote	No	None (or less than \$1,001)	Income per K-1	\$940
18.2.1	Asia Recovery Co-Invest Partners, L.P.		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.2.1.1	Ohizumi Mfg Co Ltd. (electronics, Japan)		N/A			
19	WLR Recovery Associates IV DSS AIV GP, Ltd. (Cayman)		No			
19.1	WLR Recovery Associates IV DSS AIV, L.P.	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
19.1.1	WLR Recovery Fund IV DSS AIV, L.P.	See Endnote	No			
19.2	WLR Recovery Fund IV DSS AIV, L.P. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
20	Starboard WLR Associates L.P.	See Endnote	No	\$5,000,001 - \$25,000,000		None (or less than \$201)
20.1	Starboard Recovery Associates, L.P.	See Endnote	No			
21	Ross Expansion GP, LLC	See Endnote	No			
21.1	Ross Expansion FLP, LP -- Carried interest	See Endnote	N/A	None (or less than \$1,001)		
21.2	Ross Expansion FLP, LP	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
21.2.1	Ross Expansion Associates, L.P.		No			
21.2.1.1	WLR Euro Wagon Management Limited (Jersey)		No			
21.2.1.1.1	IPE Euro Wagon L.P. (Jersey)	See Endnote	N/A			
21.2.1.1.2	Euro Wagon, LP	See Endnote	N/A			
21.2.1.1.3	Euro Wagon II, LP	See Endnote	N/A			
22	NKK Corporation	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	Rothschild Profit Sharing Plan	See Endnote	N/A	None (or less than \$1,001)	Liquidated proceeds from plan	\$25,000
24	WLR Select Associates DSS GP Ltd. (Cayman)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
24.1	WLR Select Associates DSS, L.P.		No			
24.1.1	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)		No			
24.1.1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
24.1.2	WLR Select Co-Investment, L.P. (Cayman) -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
24.1.3	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)		No			
24.1.3.1	WLR Mezzanine Splitter, L.P. (Cayman)	See Endnote	No			
24.1.3.2	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
24.1.4	WLR Select Co-Investment, L.P. (Cayman)		No			
24.1.4.1	WLR IV VM II LLC	See Endnote	No			
24.1.4.2	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
24.1.4.3	PB Materials Holdings Inc. (construction)		N/A			
24.1.4.4	DSS Holdings, L.P. (shipping)		N/A			
24.2	WLR Select Co-Investment Mezzanine AIV Blocker, L.P. (Cayman)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.2.1	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)	See Endnote	No			
25	WLR Nanotechnology GP LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1	\$47,029
25.1	Masters Capital Nanotechnology Fund, LP. -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		
25.2	Masters Capital Nanotechnology, LLC		No			
25.2.1	Masters Capital Nanotechnology Fund, LP.		No			
25.2.1.1	Daylight Solutions, Inc.		N/A			
25.2.1.2	Nanosys, Inc.		N/A			
26	WLR Nanotechnology LP LLC	See Endnote	No	None (or less than \$1,001)	Income per K-1	\$447,270
26.1	Masters Capital Nanotechnology Fund, LP.	See Endnote	No			
27	Nexeo Solutions	See Endnote	N/A		Board fee	\$100,000
28	The Greenbrier Companies	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
29	Navigator Holdings Ltd. (NVGS)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
30	Ross CG Cypress Associates, LLC	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
30.1	Ross CG Cypress Associates, LP	See Endnote	N/A			
30.2	Ross CG Cypress Associates, LP -- Carried Interest	See Endnote	N/A	None (or less than \$1,001)		



### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Invesco, Ltd.	Atlanta, Georgia	I received restricted shares of stock as part of my compensation at Invesco. Generally, those restricted shares vest in equal tranches over a four-year period after the date on which they were granted, but Invesco has a policy of vesting all outstanding unvested shares upon a friendly termination. My termination was considered friendly, so my outstanding unvested shares were cancelled and the money placed in an escrow fund upon my departure.	2/2013
2	WLR Recovery Associates II, LLC	New York, New York	Prior to my confirmation, I was Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	3/2002
3	WLR Recovery Associates III, LLC	New York, New York	Prior to my confirmation, WL Ross Group LP served as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	8/2005
4	WLR Recovery Associates IV, LLC	New York, New York	Prior to my confirmation, WL Ross Group LP served as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	11/2007

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
5	Exco Resources, Inc.	Dallas, Texas	Restricted stock arrangement for Directors in which restricted shares vest on the one-year anniversary after the date on which they were granted. Approximately half of my outstanding unvested Exco shares vested in late December 2016. All unvested shares were forfeited upon my resignation.	12/2015
6	WLR Recovery Associates V, LLC	New York, New York	Prior to my confirmation, WL Ross Group LP served as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	2/2011
7	Starboard GP Ltd.	New York, New York	Prior to my confirmation, I served as Director of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	10/2013
8	WLR Select Associates LLC	New York, New York	Prior to my confirmation, WL Ross Group served as Managing Member of this entity, which serves as General Partner of an underlying fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	12/2010
9	WLR/IVZ Mortgage Recovery Associates LLC	New York, New York	Prior to my confirmation, WL Ross Group LP served as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	10/2009

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
10	WLR Mezzanine Associates, LLC	New York, New York	Prior to my confirmation, WL Ross Group served as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	5/2015
11	India Asset Recovery Associates LLC	New York, New York	Prior to my confirmation, I served as the managing member of this entity, which holds an interest in India Asset Recovery GP, Ltd. That entity holds a carried interest in the India Asset Recovery Fund as its general partner. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	2/2006
12	Asia Recovery Associates, L.P.	New York, New York	Prior to my confirmation, WL Ross Group LP served as sole member of WL Ross GP LLC, which serves as General Partner of Asia Recovery Associates LP. The General Partner is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	4/2005
13	WLR China Energy Infrastructure Fund, L.P.	New York, New York	Prior to my confirmation, WL Ross Group LP was a shareholder in WL Ross Group (Cayman) Ltd, which indirectly held an interest in the general partner of WLR China Energy Infrastructure Fund, L.P.. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	2/2008

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
14	WLR Conduit MM LLC		New York, New York	Prior to my confirmation, I had different arrangements for the various underlying assets. For the Shellpoint investment, I received an 8% preferential return, plus a 10% carried interest. For the Subsequent Platform Company asset, I received a 20% carried interest. For the energy bonds, I received an index amount, plus a 15% carried interest. I no longer hold an interest in the funds or assets related to this entity.	1/2010
15	Rothschild Profit Sharing Plan	See Endnote	New York, New York	Prior to my confirmation, I received approximately \$1,000 per year in distributions from this plan. Within 90 days of confirmation, I liquidated this plan and rolled the proceeds into an IRA.	/1976
16	Ross CG Associates, LP		New York, New York	Prior to my confirmation, Ross CG GP LLC served as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	3/2005
17	Ross CG Cypress Associates, LP		New York, New York	Prior to my confirmation, Ross CG GP LLC served as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	4/2008
18	Ross CG Pearl Associates, LP		New York, New York	Prior to my confirmation, Ross CG GP LLC served as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	8/2007

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
19	Ross Expansion FLP L.P.	New York, New York	Prior to my confirmation, I served as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	12/2005
20	WLR Nanotechnology GP LLC	New York, New York	Prior to my confirmation, I served as Managing Member of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	1/2006
21	WLR Recovery Associates LLC	New York, New York	Prior to my confirmation, WL Ross Group LLP served as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	10/1997
22	WLR Recovery Associates IV DSS LP (Cayman)	, Outside U.S.	Prior to my confirmation, I was a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	11/2011

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
23	WLR Recovery Associates V DSS LP (Cayman)	, Outside U.S.	Prior to my confirmation, I was a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	2/2011
24	WLR Select Associates DSS, L.P. (Cayman)	, Outside U.S.	Prior to my confirmation, I was a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	12/2010
25	WLR Master Co-Investment SLP GP Ltd. (Cayman)	, Outside U.S.	Prior to my confirmation, this entity was the General Partner of a partnership holding a carried interest in the WLR/GS Master Co-Investment L.P. fund. I no longer hold an interest in the funds related to this entity.	8/2011
26	Invesco, Ltd.	Atlanta, Georgia	I received a discretionary performance-based bonus for services rendered in 2016. This bonus was paid prior to my assuming the duties of the position of Secretary.	10/2006
27	Invesco Ltd.	Atlanta, Georgia	I participated in Invesco's 401k plan. I no longer participate.	10/2006
28	Invesco Mortgage Recovery Master Associates II	New York, New York	Prior to my confirmation, I served as the managing member of WLR IMRF II Associates LLC, which invests in Invesco Mortgage Recovery Associates II LLC. Invesco Mortgage Recovery Associates II LLC serves as General Partner ("GP") of Invesco Mortgage Recovery Fund II, L.P. and Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer an interest in the funds related to this entity.	4/2016

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
29	WLR Master Co-Investment SLP Associates, L.P. (Cayman)	, Outside U.S.	Prior to my confirmation, WL Ross Group LP was an investor in WLR Master Co-Investment SLP Associates, L.P. (Cayman), which is the general partner of WLR/GS Master Co-Investment L.P. (Cayman). The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner. I no longer hold an interest in the funds related to this entity.	4/2011

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Powerhouse Cultural Entertainment (value not readily ascertainable)	See Endnote	N/A	Rent or Royalties	\$201 - \$1,000
2	IRA	See Endnote			
2.1	Dreyfus Government Cash Mgmt Admin	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
2.2	Amphenol Corp CL A	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
2.3	Atara Biotherapeutics Inc Com	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
2.4	Boeing Co.	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	CDW Corp Com USD0.01	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
2.6	CME Group Inc.	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
2.7	Moodys Corp	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
2.8	MSCI Inc Com	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
2.9	Neustar Inc. CL A	N/A	None (or less than \$1,001)		None (or less than \$201)
2.10	SVB Finl Group	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
2.11	Verisk Analytics Inc. Com	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
2.12	Wex Inc Com	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
2.13	Zoetis Inc Com USD0.01 CL A	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
2.14	HSBC HLDGS PLC PERP SUB CAP SECS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
2.15	Wells Fargo & Co New Dep SHS REPSTG	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
2.16	iShares Russell 2000 ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2.17	SPDR S&P 500 ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000



## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage Account #1	See Endnote			
1.1	Cash	N/A	Over \$50,000,000	Interest	\$100,001 - \$1,000,000
1.2	Pound Sterling (cash account in overseas JP Morgan account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3	U.S. Treasury 8.75% 5/15/17 912810-DY-1 NR/AAA	N/A	None (or less than \$1,001)		None (or less than \$201)
1.4	Bear Stearns Co. Inc. 6.4% Oct 2, 2017 DTD 10/02/2007 073902-PR-3 A1/A3	N/A	None (or less than \$1,001)	Interest	\$100,001 - \$1,000,000
1.5	Bear Stearns Co. Inc. 7 1/4% Feb 1, 2018 DTD 02/01/2008 073902-RU-4 A-/A3	N/A	None (or less than \$1,001)	Interest Capital Gains	\$100,001 - \$1,000,000
1.6	Anheuser Busch INBEV WOR 7 3/4% Jan 15, 2019 DTD 01/15/2011 03523-BE-7 A/NR	N/A	None (or less than \$1,001)		None (or less than \$201)
1.7	Caterpillar Financial SE Medium Term Note 7.15% Feb 15, 2019 DTD 02/12/2009 14912L-4E-8 A/A2	N/A	None (or less than \$1,001)		None (or less than \$201)
1.8	Goldman Sachs Group Inc. SR Notes 7 1/2% Feb 15, 2019 DTD 02/15/2009 38141E-A2-5 A-/BAA	N/A	None (or less than \$1,001)		None (or less than \$201)
1.9	MetLife Inc. Notes 7.717% Feb 15, 2019 DTD 02/15/2009 59156R-AT-5 A-/A3	N/A	None (or less than \$1,001)		None (or less than \$201)
1.10	Morgan Stanley 7.3% May 13, 2019 DTD 05/13/2009 61747Y-CG-8 A-/BAA	N/A	None (or less than \$1,001)		None (or less than \$201)
1.11	Dow Chemicals Co., The Notes 8.55% May 15, 2019 DTD 05/13/2009 260543-BX-0 BBB/BAA	N/A	None (or less than \$1,001)		None (or less than \$201)
1.12	Citigroup Inc. SR Notes 8 1/2% May 22, 2009 DTD 05/22/2009 172967-EV-9 A-/BAA	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	Bank of America Corp SR Notes 7 5/8% Jun 01, 2019 DTD 06/02/2009 06051G-DZ-9 A-/BAA	N/A	None (or less than \$1,001)		None (or less than \$201)
1.14	General Elec Cap Corp 6% Aug 07, 2019 DTD 08/07/2009 36962G-4D-3 AA+/A1	N/A	None (or less than \$1,001)		None (or less than \$201)
1.15	XTO Energy Corp 6 1/2% Dec 15, 2018 DTD 08/07/2008 98385X-AT-3 AAA/AAA	N/A	None (or less than \$1,001)		None (or less than \$201)
2	U.S. Brokerage Account #2	See Endnote			
2.1	Cash account 1	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2.2	UBS AG Deposit Account (cash)	N/A	Over \$50,000,000	Interest	\$50,001 - \$100,000
2.3	UBS Select Prime Institutional Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
2.4	Tennessee Gas Pipeline NTS B/E 8.000% Matures 02/01/2016 CUSIP 880451AY5	N/A	None (or less than \$1,001)		None (or less than \$201)
2.5	Metlife Inc NTS B/E 6.750% Matures 06/01/2016 CUSIP 59156RAU2	N/A	None (or less than \$1,001)		None (or less than \$201)
2.6	Natl Rural Util Coop Fin 10.375% Matures 11/01/2016 CUSIP 637432LR4	N/A	None (or less than \$1,001)		None (or less than \$201)
2.7	Baker Hughes Inc. NTS 7.500% Matures 11/15/2018 CUSIP 057224AY3	N/A	None (or less than \$1,001)		None (or less than \$201)
2.8	Goldman Sachs Group NTS 7.500% Matures 02/19/2019 CUSIP 38141EA25	N/A	None (or less than \$1,001)		None (or less than \$201)
2.9	Dow Chemical Co NTS 8.550% Matures 05/15/2019 CUSIP 260543BX0	N/A	None (or less than \$1,001)		None (or less than \$201)
2.10	Bank of Amer Corp NTS OBP B/E 7.625% Matures 06/01/2019 CUSIP 06051GDZ9	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	Republic of Korea NTS Foreign Security 7.125% Matures 04/16/2019 ISIN US50064FAJ30		N/A	None (or less than \$1,001)		None (or less than \$201)
2.12	UBS Select TX FR Capital		Yes	None (or less than \$1,001)		None (or less than \$201)
2.13	Sun Bancorp Inc.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
3	U.S. Brokerage Account #3					
3.1	Southwestern Public Service Co. NTS ISIN CUSIP 845743BM45 8.7500% Matures 12/01/2018	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
3.2	Cash		N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
4	U.S. Brokerage Account #4	See Endnote				
4.1	Southwestern Public Service Co. NTS ISIN CUSIP 845743BM45 8.7500% Matures 12/01/2018		N/A	None (or less than \$1,001)		None (or less than \$201)
4.2	United States Treasury BDS 9.250% NTS ISIN CUSIP 912810DV7 Matures 02/15/2016		N/A	None (or less than \$1,001)		None (or less than \$201)
4.3	XTO Energy Inc. SR NTS 6.500% NTS ISIN CUSIP 98385XAT3 Matures 12/15/18		N/A	None (or less than \$1,001)		None (or less than \$201)
5	U.S. Brokerage Account #5 (cash)	See Endnote	N/A	\$1,000,001 - \$5,000,000	Interest	\$2,501 - \$5,000
6	U.S. Brokerage Account #6 (cash)	See Endnote	N/A	\$5,000,001 - \$25,000,000		
7	U.S. Bank Account #1 (cash)		N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
8	U.S. Money Market Account #1 (cash)		N/A	\$5,000,001 - \$25,000,000	Interest	\$50,001 - \$100,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	U.S. Money Market Account #2 (cash)		N/A	\$1,000,001 - \$5,000,000	Interest	\$2,501 - \$5,000
10	U.S. Brokerage Account #7 (cash)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
11	U.S. Brokerage Account #8					
11.1	Aperam NY Reg Shares (steel)	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
11.2	Federated Govt Obl; II	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
12	Arcelor Mittal SA	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$1,000,001 - \$5,000,000
13	Art Collection		N/A	Over \$50,000,000		None (or less than \$201)
14	U.S. Brokerage Account #9					
14.1	Cash deposit account		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
14.2	UBS Select Govt Capital		Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
15	U.S. Bank Account #2 (cash)		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
16	Intercontinental Exchange, Inc.	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	Over \$1,000,000
17	YG Partners Fund, LP	See Endnote	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
18	Formation8 Partners Entrepreneur Fund II	See Endnote	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
19	Formation8 Partners Fund I	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	8VC Fund I, L.P.	See Endnote	Yes	None (or less than \$1,001)	None (or less than \$201)
21	WLR Recovery Associates III LLC	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
22	WLR Recovery Associates II LLC	See Endnote	No	None (or less than \$1,001)	None (or less than \$201)
23	U.S. Brokerage Account #10				
23.1	Spouse - Trust: Under Will No. 1	See Endnote			
23.1.1	Dreyfus Government Cash Mgmt Admin	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
23.1.2	Amphenol Copr CL A	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
23.1.3	Boeing Co.	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
23.1.4	CDW Corp Com USD0.01	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
23.1.5	CME Group Inc.	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
23.1.6	MSCI Inc Com	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
23.1.7	Neustar Inc. CL A	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
23.1.8	SVB Finl Group	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
23.1.9	Verisk Analytics Inc. Com	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
23.1.10	Wex Inc Com	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.1.1 1	Zoetis Inc Com USD0.01 CL A	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
23.1.1 2	SPDR S&P 500 ETF Trust Unit SER 1 S&P	Yes	Over \$1,000,000		\$15,001 - \$50,000
23.1.1 3	iShares Russell 2000 ETF	Yes	Over \$1,000,000		\$5,001 - \$15,000
23.2	Spouse - Trust: Under Agreement	See Endnote			
23.2.1	Dreyfus Government Cash Mgmt Admin	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
23.2.2	Boeing Co.	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
23.2.3	Chevron Corp New Com	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
23.2.4	CME Group Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
23.2.5	Merck & Co. Inc New Com	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$50,001 - \$100,000
23.2.6	Moodys Corp	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
23.2.7	MSCI Inc Com	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
23.2.8	Neustar Inc CL A	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
23.2.9	SVB Finl Group	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
23.2.1 0	Verisk Analytics Inc Com	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
23.2.1 1	Wex Inc Com	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.2.1 2	Zoetis Inc Com USD0.01 CL A		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
23.2.1 3	SPDR S&P 500 ETF Trust Unit SER 1 S&P		Yes	Over \$1,000,000		\$50,001 - \$100,000
23.2.1 4	iShares Russell 2000 ETF		Yes	Over \$1,000,000		\$15,001 - \$50,000
23.2.1 5	Bank of America Corp Bond Pep 8.000%	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
23.3	Spouse - Trust: Under Will No. 2	See Endnote				
23.3.1	Illinois St Go BDS		N/A	\$100,001 - \$250,000		None (or less than \$201)
23.3.2	Harris Cnty Tex Permanent Im		N/A	\$250,001 - \$500,000		None (or less than \$201)
23.3.3	Champaign Cnty Ill Cmnty Unit Sch Dist.		N/A	\$250,001 - \$500,000		None (or less than \$201)
23.3.4	Chicago Ill O'Hare Arpt Rev Gen		N/A	\$250,001 - \$500,000		None (or less than \$201)
23.3.5	St. Paul Minn Port Auth Lease Re		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
23.3.6	Dreyfus Government Cash Mgmt Admin		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
23.3.7	Atlanta GA Dev Auth Rev Rev BDS Panther		N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
23.3.8	Michigan Fin Auth Rev Rev Ref		N/A	\$250,001 - \$500,000		None (or less than \$201)
23.3.9	Fireeye Inc Com	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
23.3.1 0	New Jersey St Tran Corp Grant Antic Ntw		N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.3.1 1	El Paso Cnty Facs Corp Colo Ctfs Partn	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
23.3.1 2	North Tex Twy Auth Rev Ref Bds Ser	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
23.3.1 3	Leander Tx Indpt Sch Dist Ult Tax Ref	N/A	None (or less than \$1,001)	Interest Capital Gains	\$5,001 - \$15,000
23.3.1 4	Illinois Fin Auth Rev Rev Bds Trinity	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
23.3.1 5	Atlanta Ga Dev Auth Rev Rev Bds Georgia	N/A	\$250,001 - \$500,000		None (or less than \$201)
23.3.1 6	Gainesville & Hall Cnty Ga Hos P Auth	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
23.3.1 7	Chicago Ill Tran Auth Cap Grnt Rcpts	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
23.3.1 8	Fort Myers Fla Cap Impt Rev Cap Impt	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
23.3.1 9	New Jersey St Higher Ed Assistance Auth	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
23.3.2 0	Houston Tex Cmnty College Sys Rev	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
23.3.2 1	Key West Fla Util Brd Elec Rev Elec	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
23.3.2 2	Buffalo & Ft Erie N Y Pub Brog Auth Toll	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
23.3.2 3	Lee Cnty Fla Sch Brd Cifs Partn Cops	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
23.3.2 4	Texas St Pub Fin Auth Rev Financing	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.3.2 5	New Orleans La Go Ref Bds Ser 2015		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
23.3.2 6	Reedy Creek Impt Dist Fla Ad Valorim		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
23.3.2 7	Northern Ind Commuter Transn Dist		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
23.3.2 8	Indiana St Fin Auth Wastewater Util Rev		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
23.3.2 9	Alamo Tex Cmnty College Dist Ltd Tax		N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
23.3.3 0	New York Liberty Dev Corp Liberty Rev		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
23.3.3 1	HSBC Hldgs Plc Perp Sub Cap Secs Secs		N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
23.3.3 2	State St Instl Liquid Resvs Fd Shs Ben Int	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
23.3.3 3	Birmingham Ala Go Refunding Warrants Series	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
23.3.3 4	New Prairie UTD Sch Bldg Corp.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
24	8VC Angel Fund I, L.P.	See Endnote	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
25	Ross FOF, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
25.1	Pan Multi Strategy, L.P.	See Endnote	No			
25.1.1	AmeriGas Partners, L.P. (liquefied natural gas distribution)		N/A			
25.1.2	Buckeye Partners, L.P.		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25.1.3	Kinder Morgan Energy Partners, L.P.	N/A			
25.1.4	Plains All American Pipeline, L.P.	N/A			
25.1.5	Rhino Energy Holdings, LLC (coal mining)	N/A			
25.1.6	Pipeline Partners, L.P. (energy distribution)	N/A			
25.1.7	Magellan Midstream Partners, L.P.	N/A			
26	U.S. Brokerage Account #11	No			
26.1	U.S. Deposit Account (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
26.2	UBS AG Deposit Account (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500
27	U.S. Brokerage Account #12	See Endnote			
27.1	Amphenol Copr CL A	N/A	None (or less than \$1,001)	Capital Gains Dividends	Over \$1,000,000
27.2	Apple Inc.	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
27.3	Atara Biotherapeutics Inc Com	N/A	None (or less than \$1,001)		None (or less than \$201)
27.4	Boeing Co.	N/A	None (or less than \$1,001)	Capital Gains Dividends	Over \$1,000,000
27.5	CDW Corp Com USD0.01	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
27.6	CME Group Inc.	N/A	None (or less than \$1,001)	Dividends Capital Gains	Over \$1,000,000
27.7	Moodys Corp	N/A	None (or less than \$1,001)	Dividends Capital Gains	Over \$1,000,000
27.8	MSCI Inc Com	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.9	Neustar Inc CL A	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
27.10	SVB Finl Group	N/A	None (or less than \$1,001)	Capital Gains	Over \$1,000,000
27.11	Verisk Analytics Inc Com	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
27.12	Wex Inc Com	N/A	None (or less than \$1,001)	Capital Gains	Over \$1,000,000
27.13	Zoetis Inc Com USD0.01 CL A	N/A	None (or less than \$1,001)	Capital Gains Dividends	Over \$1,000,000
27.14	Citigroup Inc Bond Perpetual 6.25000%	N/A	None (or less than \$1,001)	Interest Capital Gains Dividends	\$50,001 - \$100,000
27.15	Edinburg Tex Cons Indpt Sch Dist Ultd	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
27.16	Houston Tex Hotel Occupancy Tax & SPL	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.17	Wyandotee Cnty Kans City Kans Uni Govt	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
27.18	North Tex Twy Auth Rev Ref Bds Ser. A	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.19	Greenville Tex 8 0 Ref Bos Ser. 2008	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
27.20	Houston Tex Cmnty College Sys Rev	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.21	Key West FLA Util Brd Elec Rev Elec	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.22	New Jersey St Higher Ed Assistance Auth Ref BDS 1A	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.23	Kansas City Mo Spl Oblig Spl Dblig Sds		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.24	Pennsylvania St Tpk Commn TpkRev Rev		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.25	Indiana St Fin Auth Wastewaster Util Rev		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.26	St Charles Cnty Mo Pub Wtr Supply Dist		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.27	Cumulus Media Inc-CL A	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.28	United Parcel SVC Inc CL B	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.29	Port Seattle Wash Rev.	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.30	Miami-Dade Cnty Fla Sch Brd	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.31	Chicago Ill Tran Auth Sales	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.32	State St Instl Liquid Resvs FD SHS Ben Int	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.33	Colorado Health Facs Auth Rev Catholic Health- Ser A	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.34	Marysville Ohio Wastewater Tre Ref	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.35	Redford Brownfield Charter Twp Tax Increment Bds Series	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
27.36	Dreyfus Government Cash Mgmt Admin		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.37	Atlanta Ga Dev Auth Rev Rev Bds Georgia	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
27.38	Michigan Fin Auth Rev Hosp Ref BDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.39	Fort Worth Tex SPL Tax Rev. BDS Ser.	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.40	Harris Cnty Tex Permanent Im	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.41	Utah Wtr Fin Agy Rev Rev BDS Central	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
27.42	Hillsborough Cnty Fla Sch Brd CTFS	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
27.43	Socorro Tex Indpt Sch Dist Ultd Tax	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
27.44	Michigan Fin Auth Rev Ref BDS	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
27.45	St. Paul Minn Port Auth Lease Re	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
27.46	Atlanta GA Dev Auth Rev Rev BDS Panther	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.47	iShares Russell 2000 ETF	Yes	Over \$1,000,000		\$50,001 - \$100,000
27.48	SPDR S&P 500 ETF Trust Unit SER 1 S&P	Yes	Over \$1,000,000		\$100,001 - \$1,000,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Southwestern Public Service Co. NTS ISIN CUSIP 845743BM45 8.7500% Matures 12/01/2018	Sale	03/31/17	\$1,000,001 - \$5,000,000
2	North Tex Twy Auth Rev Ref Bds Ser 0.40	Sale	11/15/17	\$250,001 - \$500,000
3	Illinois Fin Auth Rev Rev Bds Trinity 04	Sale	12/08/17	\$100,001 - \$250,000
4	Leander Tex Indpt Sch Dist Ult Tax Ref04	Sale	07/06/17	\$250,001 - \$500,000
5	iShares Russell 2000 ETF (multiple)	Purchase	Various dates	Over \$1,000,000
6	SPDR S&P 500 ETF (multiple)	Purchase	Various dates	Over \$1,000,000
7	St Paul Minn Port Auth Lease Rev Ref 5.0000%	Purchase	07/10/17	\$100,001 - \$250,000
8	Fort Worth Tex Spl Tax Rev Spl Tax Rev 5.00000%	Purchase	07/12/17	\$250,001 - \$500,000
9	Socorro Tex Indpt Sch Dist Ref-Ser B 5.0000%	Purchase	07/13/17	\$250,001 - \$500,000
10	Utah Wtr Fin Agy Rev Rev Bds Sr 2017 A 5.0000%	Purchase	07/20/17	\$250,001 - \$500,000
11	Hillsborough Cnty Fla Sch Brd CTFS 5.00000%	Purchase	5/25/17	\$100,001 - \$250,000
12	Atlanta Ga Dev Auth Rev Rev Bds Panther 5.000000%	Purchase	08/30/17	\$100,001 - \$250,000
13	Harris Cnty Tex Permanent Impt Ref 5.0000%	Purchase	12/07/17	\$100,001 - \$250,000
14	Michigan Fin Auth Rev Hosp and Ref Bds 5.00000%	Purchase	12/21/17	\$100,001 - \$250,000
15	Edinburg Tex Const Indpt Sch Dist Ultd 5.00000%	Sale	12/08/17	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
16	Chicago Ill O'Hare Intl Arpt Rev 5.00000%	Purchase	06/28/17	\$250,001 - \$500,000
17	St Paul Minn Port Auth Lease Rev Ref 5.0000%	Purchase	07/10/17	\$250,001 - \$500,000
18	Leander Tex Indpt Sch Dist Ult Tax Ref 4.0000%	Sale	07/10/17	\$250,001 - \$500,000
19	Atlanta Ga Dev Auth Rev Rev Bds Panther 5.00000%	Purchase	08/30/17	\$100,001 - \$250,000
20	Illinois St Go Bds Ser 2017D 5.0000%	Purchase	11/08/17	\$100,001 - \$250,000
21	Champaign Cnty Ill Cmnty Unit Sch Dist 5.00000%	Purchase	12/06/17	\$250,001 - \$500,000
22	Harris Cnty Tex Permanent Impt Ref 5.00000%	Purchase	12/07/17	\$250,001 - \$500,000
23	Michigan Fin Auth Rev Hosp and Ref Bds 5.00000%	Purchase	12/21/17	\$250,001 - \$500,000
24	Illinois Fin Auth Rev Rev Bds Trinity 4.00000%	Sale	12/12/17	\$100,001 - \$250,000
25	Invesco Core Plus Fixed Income	Sale	05/30/17	\$15,001 - \$50,000
26	SSgA U.S. Bond Index Non-Lending Series Fund Class C	Sale	05/30/17	\$15,001 - \$50,000
27	SSgA Inflation Protected Bond Index Fund	Sale	05/30/17	\$15,001 - \$50,000
28	Exposition Boulevard (amount not readily ascertainable)	Purchase	7/2017	
29	Tour Cedre (amount not readily ascertainable)	Purchase	12/2017	

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	JP Morgan	Guarantee of Loan to Social Club	\$500,001 - \$1,000,000	2016	N/A	2-Year Fixed Term
2	Formation8 Partners Entrepreneurs Fund II	Capital Commitment	\$15,001 - \$50,000	2014	N/A	Life of fund
3	8VC Angel Fund I, L.P.	Capital Commitment	\$15,001 - \$50,000	2016	N/A	Life of fund
4	India Asset Recovery Associates LLC	Capital commitment	\$1,000,001 - \$5,000,000	2006	N/A	Life of fund
5	Starboard GP LTD	Capital Commitment	\$10,001 - \$15,000	2013	N/A	Life of fund
6	Starboard WLR Associates, L.P.	Capital Commitment	\$1,000,001 - \$5,000,000	2013	N/A	Life of fund
7	WLR Conduit MM LLC	Capital Commitment	\$500,001 - \$1,000,000	2013	N/A	Life of fund
8	WLR Mezzanine Associates LLC	Capital Commitment	\$100,001 - \$250,000	2015	N/A	Life of fund
9	WLR Nanotechnology	Capital Commitment	\$500,001 - \$1,000,000	2007	N/A	Life of fund
10	WLR Recovery Associates IV LLC	Capital Commitment	\$5,000,001 - \$25,000,000	2007	N/A	Life of fund
11	WLR Recovery Associates V LLC	Capital Commitment	\$1,000,001 - \$5,000,000	2010	N/A	Life of fund
12	WLR/IVZ Mortgage Recovery Associates LLC	Capital Commitment	\$250,001 - \$500,000	2009	N/A	Life of fund



#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
13	IMRF II Associates LLC	Capital Commitment	\$250,001 - \$500,000	2016	N/A	Life of fund

## 9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	National Museum of Catholic Art and Library	Washington, District of Columbia	Two tickets to the 5th Annual Roman Gala (May 11, 2017)	\$700
2	Meridian International Center	Washington, District of Columbia	Two tickets to the 49th Annual Meridian Ball (October 20, 2017)	\$770
3	Ford's Theatre	Washington, District of Columbia	Two tickets to the Ford's Theatre Annual Gala (June 4, 2017)	\$1000

## Endnotes

PART	#	ENDNOTE
1.	1	The listed start date is approximate and is based on a good-faith estimate.
1.	2	The listed start date is approximate and is based on a good-faith estimate.
1.	3	The listed start date is approximate and is based on a good-faith estimate.
1.	19	The listed start date is approximate and is based on a good-faith estimate.
1.	20	The listed start date is approximate and is based on a good-faith estimate.
1.	22	The listed start date is approximate and is based on a good-faith estimate.
1.	25	The listed start date is approximate and is based on a good-faith estimate.

PART	#	ENDNOTE
1.	26	The listed start date is approximate and is based on a good-faith estimate.
1.	27	The listed start date is approximate and is based on a good-faith estimate.
1.	28	The listed start date is approximate and is based on a good-faith estimate.
1.	30	The listed start date is approximate and is based on a good-faith estimate.
1.	31	The listed start date is approximate and is based on a good-faith estimate.
1.	32	The listed start date is approximate and is based on a good-faith estimate.
1.	37	The listed start date is approximate and is based on a good-faith estimate.
1.	38	The listed start date is approximate and is based on a good-faith estimate.
1.	39	The listed start date is approximate and is based on a good-faith estimate.
1.	40	The listed start date is approximate and is based on a good-faith estimate.
2.	1.1	Salary for service in 2017 prior to being sworn in as Secretary.
2.	1.2	I liquidated this plan in 2017, and thereby divested from all underlying investments. Proceeds were rolled over into other investments.
2.	1.4	Bonus for service in 2016.
2.	1.5	Money paid out of escrow fund, representing value of restricted shares that were cancelled upon my resignation from Invesco.
2.	2	Director fee paid in 2017 for board service in 2016.
2.	3	Shares were divested on 6/11/18, and were the subject of a 278-T transaction report filed on 6/15/18.
2.	4	Shares were divested in 2017.
2.	5	Shares were divested in 2017.
2.	6	Unvested shares were forfeited upon my resignation.
2.	7	Shares were divested in 2017.
2.	8	Shares were divested in 2017.

PART	#	ENDNOTE
2.	9	Value and income are fully attributable to interests in W.L. Ross Group, L.P.
2.	9.1	The assets of WL Ross Group, L.P. are listed in item 10. Asset was divested in 2017.
2.	10	The value and income are fully attributable at lower tiers. Asset was divested in 2017.
2.	10.1	This asset and all underlying entities were divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	10.1.1	This represents WLR Recovery Associates IV LLC's carried interest in WLR Recovery Fund IV, L.P.
2.	10.1.8.1.1	No underlying assets remain.
2.	10.1.9.1	Underlying assets previously disclosed at line 10.1.8
2.	10.1.11.1	Underlying assets previously disclosed at line 10.1.10.1.
2.	10.1.12	Underlying assets previously disclosed at line 10.1.10.1.
2.	10.2	Value represents capital account balance and accrued carry if any. This asset, along with all underlying holdings, is in the process of being sold.
2.	10.2.2	Represents the carried interest held by WLR Mezzanine Associates LLC in WLR Cardinal Mezzanine Fund L.P.  Income accounted for at Line 10.2
2.	10.3	This asset, along with all underlying entities, was divested in 2017. This entity held no operating companies; it held only cash.
2.	10.3.1.1	This entity held no underlying assets.
2.	10.3.2	This entity held no underlying assets.
2.	10.4	This asset was divested in 2017. It held no underlying assets; it held only cash.
2.	10.5	This asset and all underlying holdings were divested in 2017.
2.	10.5.1	This entry was mistakenly included on Part 6 of the nominee report (Part 6, Line 13). It is now correctly listed on Part 2 of the Annual report.
2.	10.6	This asset and all underlying entities were divested in 2017. Income figure is an estimate, as final K-1 has not yet been issued.

PART	#	ENDNOTE
2.	10.6.1.2.1.1.1	This entity owns subsidiaries which each own individual transoceanic tanker ships. There are individual LLCs that own the ships: NCM Holding I LLC; NCM Holding II LLC; WLR/TRF KZ Holding I LLC; WLR/TRF KZ Holding II LLC; WLR/TRF KZ Holding III LLC; WLR/TRF Holding III LLC; WLR/TRF Maemi LLC; NT Suez Holdco LLC; NT Suez GP LLC; NT Suez One LLC; NT Suez Two LLC; WLR/TRF Tanker Two LLC; WLR/TRF HMN8 Holdings I LLC; WLR/TRF HMN8 Holdings II LLC; WLR/TRF HMN8 Holdings III LLC; WLR/TRF HMN8 Holdings IV LLC; WLR/TRF HMN8 Holdings V LLC; WLR/TRF HMN8 Holdings VI LLC; TRF/Solus JV LLC; TRF/Solus GP LLC; HAN VLCC 1 LLC; HAN VLCC II LLC; SWS VLCC JV LLC; SWS VLCC GPLLC; SWS VLCC LLC; WLR/TRF KZ Holding IV; WLR/TRF SH Container Holding I LLC; WLR/TRF SH Container Holding II LLC; WLR/TRF SH Container Holding III LLC; WLR/TRF SH Container Holding IV LLC; WLR/TRF AWL Container Ship I LLC; WLR/TRF AWL Container Ship II LLC; Nautical Bulk Holdings Ltd. This entity also owns an interest in Bluewater Holding Schiffahrtsgesellschaft GmbH & Co. KG.
2.	10.6.1.2.2	Underlying assets shown at 10.6.1.2.1.1
2.	10.6.1.2.3.1.1	This entity owns Norwegian subsidiaries which each own individual transoceanic tanker ships. There are individual entities: Awilco Eco Tankers 1 AS; Awilco Eco Tankers 2 AS; Awilco Eco Tankers 3 AS; Awilco Eco Tankers 4 AS; Hassel Shipping 4 AS; Songa Chemical AS; Atlantic Supramax DIS. List based on latest available information.
2.	10.6.1.2.4	Underlying assets previously disclosed at 10.6.1.2.3.1.
2.	10.6.4	Represents carried interest held in underlying funds. Income accounted for at Line 10.6
2.	10.7	This asset and all underlying entities were divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	10.7.4.1.1.1.1	Underlying assets previously disclosed at 10.2.1.1.1.
2.	10.7.4.1.1.2	Underlying assets previously disclosed at 10.2.1.1.1.
2.	10.7.5.1	Underlying assets previously disclosed at 10.7.4.1.1.
2.	10.7.6	Represents the carried interest held by WLR Recovery Associates V LLC in WLR Recovery Fund V, L.P. Income accounted for at Line 10.7.
2.	10.7.7	Represents the carried interest held by WLR Recovery Associates V LLC in this fund. Income accounted for at Line 10.7.
2.	10.7.8	Represents the carried interest held by WLR Recovery Associates V LLC in this fund. Income accounted for at Line 10.7.
2.	10.8	This asset and all underlying entities were divested in 2017.

PART	#	ENDNOTE
2.	10.8.2	This represents the carried interest held by WLR Select Associates LLC in WLR Select Co-Investment XCO AIV, L.P. Income accounted for at Line 10.8.
2.	10.9	This asset and all underlying entities were divested in 2017.
2.	10.9.1.1.1	This represents the carried interest held by WLR China Energy Associates, Ltd. in WLR China Energy Infrastructure Fund, L.P. Income accounted for at Line 10.9.
2.	10.9.1.1.2	List of fund holdings as of 12/31/16. Updated list of holdings unavailable.
2.	10.10	Underlying holdings shown at 14.1.1. This asset and all underlying entities were divested in 2017.
2.	10.10.1	Represents the carried interest held by WLR Recovery Associates II, LLC in WLR Recovery Fund II, L.P. Income accounted for at Line 10.10.
2.	10.11	Underlying holdings shown at 14.2.1. This asset and all underlying entities were divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	10.11.1	Represents the carried interest held by WLR Recovery Associates III, LLC in the fund. Income accounted for at Line 10.11.
2.	10.12	This asset and all underlying entities were divested in 2017.
2.	10.12.1.2	Underlying assets previously disclosed at 10.12.1.1.1.
2.	10.12.1.3.1	Underlying assets previously disclosed at 10.12.1.1.1.
2.	10.12.1.4.1	Underlying assets previously disclosed at 10.12.1.1.1.1
2.	10.12.1.6	Represents the carried interest held by Invesco Mortgage Recovery Master Associates II LLC in Invesco Mortgage Recovery Fund II, L.P. Income accounted for at Line 10.12.
2.	10.12.1.7	Represents the carried interest held by Invesco Mortgage Recovery Master Associates II LLC in Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P. Income accounted for at Line 10.12.
2.	10.13	This asset and all underlying entities were divested in 2017.
2.	10.13.1	This represents the carried interest held by WLR Master Co-Investment SLP Associates, L.P. (Cayman) in WLR/GS Master Co-Investment L.P. (Cayman). Income accounted for at Line 10.13.
2.	10.14	Asset and all underlying entities divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.

PART	#	ENDNOTE
2.	10.15	This asset and all underlying entities were divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	10.15.1.1	Underlying assets previously disclosed at 10.6.1.2.1.1
2.	10.15.1.2	Underlying assets previously disclosed at 10.6.1.2.3.1
2.	10.16	Underlying assets disclosed below at 24.1. This asset and all underlying entities were divested in 2017.
2.	10.17	This asset held only cash. This asset was divested in 2017.
2.	10.17.1	Represents Ross CG Pearl Associates, LLC carried interest in this fund.
2.	11	This asset and all underlying entities were divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	11.1	Underlying assets previously disclosed at 10.15.
2.	11.1.1	This represents the carried interest held by WLR Recovery Associates V DSS AIV, L.P. in the fund.
2.	12	Value represents capital account and accrued carry, if any. This asset and all underlying entities are in the process of being sold.
2.	12.1.1.1.1.1	This fund no longer holds any underlying assets.
2.	12.1.2.1.1	This fund no longer holds any underlying assets.
2.	12.1.3.1.1	This fund no longer holds any underlying assets.
2.	12.1.4.1	This fund no longer holds any underlying assets.
2.	12.1.5.1	This fund no longer holds any underlying assets.
2.	12.1.6	This fund no longer holds any underlying assets.
2.	12.1.7.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.1.8.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.1.9.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.1.10	Underlying assets previously disclosed at 10.1.10.1.1.

PART	#	ENDNOTE
2.	12.2.1.1.1	This fund no longer holds any underlying assets.
2.	12.3.1.1	This fund no longer holds any underlying assets.
2.	12.4.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.5.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.6	List of underlying investments is as of 12/31/16. Updated list not available.
2.	12.7.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.8	Represents carried interests of General Partner in all funds disclosed within 12.1 to 12.7, including underlying funds. Income accounted for at Line 12.
2.	13	Value reflects capital account and accrued carry, if any. This asset and all underlying entities are in the process of being sold.
2.	13.1.1.1	Assets previously disclosed at 10.6.1.2.1.1.1.
2.	13.2	This represents the carried interest held by Starboard GP Ltd. in the Transportation Recovery Fund. Income accounted for at Line 13.
2.	14.1	Asset and all underlying entities divested in 2017.
2.	14.2	This asset and all underlying entities were divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	14.3	Underlying assets previously disclosed at 10.1. This asset and all underlying entities were divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	14.5	Asset and all underlying entities divested in 2017. Capital gain from sale of fund interest is not ascertainable at time of filing.
2.	14.5.1	Underlying assets previously disclosed at 10.14.
2.	15.1	Asset divested in 2017.
2.	15.2	Asset divested in 2017.
2.	16	This asset and all underlying entities were divested in 2017.

PART	#	ENDNOTE
2.	16.1.1	Reflects carried interest held by India Asset Recovery GP Ltd. in India Asset Recovery Fund, L.P.
2.	17	This asset and all underlying entities were divested in 2017. Income is an estimate, as final K-1 has not been issued.
2.	17.1.1.2.1	Underlying assets previously disclosed at 17.1.1.1.1.
2.	17.1.1.3.1	Underlying assets previously disclosed at 17.1.1.1.1.
2.	17.1.1.4	Underlying assets previously disclosed at 17.1.1.1.1.
2.	17.2	Represents Ross CG GP LLC's carried interest in Ross CG Associates, LP. Income accounted for at Line 17.
2.	18	This asset and all underlying entities were divested in 2017.
2.	18.1	Represents the carried interest of WL Ross GP LLC in Asia Recovery Associates L.P. Income accounted for at 18.2
2.	18.2	This asset and all underlying entities were divested in 2017.
2.	19.1	This asset and all underlying entities were divested in 2017.
2.	19.1.1	Underlying assets previously disclosed at 10.14.1
2.	19.2	Represents the carried interest of WLR Recovery Associates IV DSS AIV, L.P. in WLR Recovery Fund IV DSS AIV, L.P. Income accounted for at Line 19.1.
2.	20	Value reflects capital account balance and accrued carry, if any. This asset and all underlying entities are in the process of being sold.
2.	20.1	Underlying assets previously disclosed at 13.1.
2.	21	This asset and all underlying entities were divested in 2017.
2.	21.1	Represents the carried interest of Ross Expansion GP, LLC in Ross Expansion FLP, LP. Income accounted for at Line 21.2.
2.	21.2	This asset and all underlying entities were divested in 2017.
2.	21.2.1.1.1	This entity no longer holds any underlying assets
2.	21.2.1.1.2	This entity no longer holds any underlying assets



PART	#	ENDNOTE
2.	21.2.1.1.3	This entity no longer holds any underlying assets.
2.	22	This was for a 2016 honorarium previously reported.
2.	23	Plan was liquidated.
2.	24	This asset and all underling entities were divested in 2017.
2.	24.1.1.1	Underlying assets previously disclosed at 10.2.1.1.1.
2.	24.1.2	This represents the carried interest held by WLR Select Associates DSS, L.P. in WLR Select Co-Investment, L.P. Income accounted for at Line 24.
2.	24.1.3.1	Underlying assets previously disclosed at 10.2.1.
2.	24.1.3.2	Underlying assets previously disclosed at 10.2.1.1.1.
2.	24.1.4.1	This entity holds no underlying investments.
2.	24.2.1	Underlying assets previously disclosed at 24.1.3.
2.	25	This asset and all underlying entities were divested in 2017.
2.	25.1	Represents the carried interest of WLR Nanotechnology GP LLC in Masters Capital Nanotechnology Fund, L.P. Income accounted for at Line 25.
2.	26	This asset and all underlying entities were divested in 2017.
2.	26.1	Underlying assets previously disclosed at 25.2.1
2.	27	For service in 2016.
2.	28	Asset divested in 2017.
2.	29	Asset divested in 2017.
2.	30	Value represents capital account and accrued carry if any. Asset holds cash only.
2.	30.1	This fund no longer holds any underlying assets.
2.	30.2	Represents carried interest of Ross CG Cypress Associates, LLC in Ross CG Cypress Associates, LP. Income accounted for at Line 30.
3.	15	Month is not ascertainable.

PART	#	ENDNOTE
5.	1	2 books: "New York, New York"; "Palm Beach People"
5.	2	Assets listed at Lines 2.2-2.15 were no longer held as of 12/31/17.
6.	1	Assets listed at Lines 1.3-1.5 were no longer held as of 12/31/17. Assets listed at Lines 1.6-1.15 were not held at any time during the reporting period.
6.	2	Asset listed 2.13 was no longer held as of 12/31/17. Assets listed at Lines 2.3-2.12 were not held at any time during the reporting period.
6.	2.13	Asset divested in 2017.
6.	3.1	Asset divested in 2017.
6.	4	This account was closed in 2016. The assets listed at Lines 4.1-4.3 were not held at any time during the reporting period.
6.	5	Held as an account for the benefit of First Republic Bank
6.	6	Income reflected at entry for Invesco shares in Part 2
6.	10	Account has been closed.
6.	11.1	Asset divested in 2017.
6.	11.2	Asset divested in 2017.
6.	12	Asset divested in 2017.
6.	16	Asset divested in 2017.
6.	17	Asset divested in 2017. Income per K-1.
6.	18	Asset divested in 2017. Income per K-1.
6.	19	Asset divested in 2017.
6.	20	Asset divested in 2017.
6.	21	Asset divested in 2017. Underlying holdings previously disclosed in Part 2 line 10.11. Income accounted for at Part 2 line 10.11
6.	22	Asset divested in 2017. Underlying holdings previously disclosed at Part 2 line 10.10. Income accounted for at Part 2 line 10.10.

PART	#	ENDNOTE
6.	23.1	Assets listed at Lines 23.1.2-23.1.11 were divested in 2017.
6.	23.2	Assets listed at Lines 23.2.2-23.2.12 and 23.2.15 were divested in 2017.
6.	23.2.15	This asset was inadvertently omitted from the New Entrant report. It was sold on May 16, 2017, as reported in a Transaction Report filed on May 23, 2017.
6.	23.3	Assets listed at Lines 23.3.10-23.3.14 and 23.3.31 were no longer held as of 12/31/17. Assets listed at 23.3.9 and 23.3.32-23.3.34 were not held at any time during the reporting period.
6.	23.3.9	Asset was divested in 2016.
6.	23.3.32	Asset divested in 2016.
6.	23.3.33	Asset divested in 2016.
6.	23.3.34	Asset divested in 2016.
6.	24	Asset divested in 2017.
6.	25	Value represents residual cash held in entity as of 12/31/17 after withdrawal of capital from Pan Multi Strategy, L.P. Income represents estimated taxable income for 2017.
6.	25.1	Divested from fund in 2017.
6.	27	Assets listed at Lines 27.1-27.15, 27.19 were no longer held as of 12/31/17. Assets listed at lines 27.27-27.35 were not held at any time during the reporting period.
6.	27.27	Asset divested in 2016.
6.	27.28	Asset divested in 2016.
6.	27.29	Asset divested in 2016.
6.	27.30	Asset divested in 2016.
6.	27.31	Asset divested in 2016.
6.	27.32	Asset divested in 2016.
6.	27.33	Asset divested in 2016.
6.	27.34	Asset divested in 2016.

PART	#	ENDNOTE
6.	27.35	Asset divested in 2016.

# 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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.

## Public Burden Information

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.

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