

Annual Report 2016 | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001) (March 2014)

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

Filer's Information

Weiss, Antonio

Counselor to the Secretary, Department of the Treasury

Report Year: 2016

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Weiss, Antonio [electronically signed on 08/19/16 by Weiss, Antonio in Integrity.gov] - Filer received a 90 day filing extension.

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/ Horton, Elizabeth A, Certifying Official [electronically signed on 10/03/16 by Horton, Elizabeth A in Integrity.gov]

Other review conducted by

/s/ Canter, Virginia, Ethics Official [electronically signed on 09/29/16 by Canter, Virginia in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 09/29/2016

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Lazard	New York, NY, New York	Financial Advisory Partnership	Partner and Global Head of Investment Banking	9/1994	1/2015
2	The Paris Review Foundation Inc.	New York, New York	Non-Profit	Board Member (unpaid)	11/2011	1/2015
3	The Paris Review Foundation Inc.	New York, New York	Non-Profit	Publisher (unpaid)	1/2008	1/2015
4	The Frick Collection	New York, New York	Non-Profit	Trustee (unpaid)	6/2012	1/2015
5	The French-American Foundation	New York, New York	Non-Profit	Board Member (unpaid)	4/2010	1/2015
6	St. Bernard's School	New York, New York	Non-Profit	Board Member (unpaid)	9/2010	1/2015
7	The J.T. 2014 Irrevocable Trust	New York, New York	Trust	Trustee (unpaid)	6/2014	1/2015

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Lazard 401(k)				
1.1	Vanguard Inst. Index	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.2	Lazard Int'l Eq Inst (LZIEX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
2	Lazard Group LLC	See Endnote		Compensation	\$12,900,000
3	Lazard Defined Benefit Plan		\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Lazard Limited/Lazard Group LLC	New York, New York	Long-Term Incentive Awards Program: Pursuant to compensation policies of the company, a portion of the filer's past annual compensation was deferred. No compensation in 2015 was deferred.	1/2005

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Lazard Limited/Lazard Group LLC	New York, New York	Agreement regarding deemed retirement from Lazard: Agreement provided for acceleration of a bonus payment with respect to work performed from January 1, 2014 to the date of filer's departure and acceleration of vesting of restricted stock units, restricted stock, deferred compensation, and restricted LAM interests, subject to covenants not to compete and non-solicitation restrictions.	8/2014
3	Lazard Limited/Lazard Group LLC	New York, New York	Lazard 401(k): The filer will continue to participate in Lazard Group LLC's 401(k) plan. No contributions will be made by the filer's former employer after his resignation.	12/1994
4	Lazard Limited/Lazard Group LLC	New York, New York	Income tax preparation services for tax year 2015	1/2015
5	Lazard Limited/Lazard Group LLC	New York, New York	Lazard defined benefit pension plan: The plan has been frozen since 1/31/05 and provides a frozen monthly annuity of \$558.84 payable at age 65.	1/1996

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	Vanguard Health Care Fund Investor Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account #1				
1.1	Blackrock Liquidity Funds T-Fund #60	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	iShares North American Tech ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.3	Select Sector SPDR Tr Health Care	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.4	Select Sector SPDR: Consumer Staples	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
1.5	Alliance Bernstein/TWM Global Equity & Covered Call Strategy	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
1.6	T Rowe Price Africa and Middle East Fund	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.7	Tweedy Browne Global Value Fund	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.8	Matthews Asia Small Companies FD Inst	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	Select SPDR Energy Select	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.10	iShares MSCI World	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
1.11	Wisdomtree Tr Japan Hedged Equity Fund	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
1.12	Matthews Asia Dividend Instl	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.13	Matthews Intl Fund Japan Fund Instl Class	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.14	Deep Value ETF	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
1.15	iShares S&P 500 Growth Index Fund	Yes	\$5,000,001 - \$25,000,000		\$50,001 - \$100,000
1.16	World Equity Fund QP Holdback	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
1.17	JPMorgan Alerian MLP ETN		None (or less than \$1,001)		\$15,001 - \$50,000
2	Brokerage Account #2				
2.1	BlackRock Liquidity Funds T-Fund #60	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Select SPDR: Consumer Staples	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2.3	Alliance Bernstein/TWM Global Equity & Covered Call Strategy	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
2.4	iShares MSCI World	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
2.5	Deep Value ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2.6	iShares S&P 500 Growth Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.7	Energy Select Sector SPDR ETF	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
2.8	iShares North American Tech ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.9	World Equity Fund QP, LP Holdback	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
2.10	JPMorgan Alerian MLP ETN		None (or less than \$1,001)		\$15,001 - \$50,000
3	Brokerage Account #3				
3.1	Matthews Asia Small Companies Fund Inst	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
3.2	Select SPDR Energy Select	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.3	BlackRock Liquidity Funds T-Fund #60	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	iShares S&P North American Tech ETF	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
3.5	Select Sector SPDR Tr Health Care	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.6	Select Sector SPDR: Consumer Staples	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
3.7	AllianceBernstein/TWM Global Equity & Covered Call Strategy	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
3.8	T Rowe Price Africa and Middle East	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.9	Tweedy Browne Global Value Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.10	iShares MSCI World	Yes	Over \$1,000,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	Deep Value ETF	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
3.12	iShares S&P 500 Growth Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.13	World Equity QP, LP Holdback	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
3.14	JPMorgan Alerian MLP ETN		None (or less than \$1,001)		\$5,001 - \$15,000
4	Brokerage Account #4				
4.1	SAN ANTONIO TEX RFDG-GEN IMPT 5.00% 02/01/20		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.2	GUILDERLAND NY RFDG-PUB IMPT-SER A 3.000% 02/15/16		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.3	NEW YORK ST TWY AUTH ST PERS INCOME TAX REV TRANSN-SER A 5.000% 03/15/19		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.4	TEXAS ST RFDG-SER A 5.000% 10/01/20		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.5	MONTGOMERY COUNTY PA PREREFUNDED 5.000% 10/15/18		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.6	MONTGOMERY COUNTY PA PREREFUNDED 2014 2 SER A 5.000% 10/15/18		\$1,001 - \$15,000	Interest	\$201 - \$1,000
4.7	NEW YORK ST DORM AUTH ST PERS INCOME TAX REV EDUCATION SER C 5.000% 12/15/19		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.8	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT UNIV ROCHESTER-SER A-1 5.000% 07/01/24		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
4.9	NEW YORK ST LOC GOVT ASSISTANCE CORP RFDG-SR LIEN-B-C/D-RMKT 5.000% 04/01/17		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.10	NORTH HEMPSTEAD NY RFDG 4.000% 05/01/18		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.11	NEW YORK ST DORM AUTH REVS ST SUPPORTED DEBT RFDG-CITY UNIV SYS 5.500% 07/01/18		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.12	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT NEW YORK UNIV-SER B 5.000% 07/01/29		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
4.13	MONTGOMERY COUNTY PA UNREFUNDED BALANCE-2014-2 5.000% 10/15/18		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.14	NEW YORK ST LOC GOVT ASSISTANCE CORP RFDG 5.000% 04/01/19		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.15	NEW YORK ST DORM AUTH REVS ST SUPPORTED DEBT ST UNIV DOMR FACS-SER A 5.250% 07/01/22		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.16	SAN ANTONIO TEX RFDG-GEN IMPT 5.00% 02/01/20		\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
4.17	NEW YORK ST SER A 5.000% 03/01/20		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.18	NEW YORK ST DORM AUTH REVS ST SUPPORTED DEBT RFDG-CITY UNIV SYS 5.500% 07/01/20		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.19	NEW YORK ST DORM AUTH REVS RFDG CONS CITY UNIV SYS-2ND GEN-A 6.000% 07/01/20		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.20	NORTH EAST INDPT SCH DIST TEX SCH BLDG-SER A 5.000% 08/01/20		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.21	NEW YORK ST DORM AUTH REVS STATE UNIV EDL FACS- SER A-RFDG 5.250% 05/15/21		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.22	SACHEM CENT SCH DIST NY HOLBROOK RFDG 5.000% 10/15/21		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.23	NEW YORK ST DORM AUTH RECS ST SUPPORTED DEBT RFDG CITY UNIV-CONS 5th 5.000% 07/01/22		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.24	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT NEW YORK UNIV-SER A 5.000% 07/01/22		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.25	NEW JERSEY ECONOMIC DEV AUTH REV RFDG-PEDDIE SCH PROJ 5.375% 02/01/23		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.26	HOUSTON TEX RFDG-PUB IMPT- SER A 5.000% 03/01/23		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.27	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT SCH DIST-S-FING PROG- SER 5.000% 10/01/23		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.28	MASSACHUSETTS ST HEALTH & EDL FACS AUTH REV RFDG- HARVARD 5.250% 11/15/23		\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
4.29	PLANO TEX INDPT SCH DIST SER A 5.000% 02/15/24		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.30	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT TEACHERS COLLEGE 5.000% 03/01/24		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
4.31	NEW YORK ST DORM AUTH EVS NON ST SUPPORTED DEBT NEW YORK UNIV-SER A 5.000% 07/01/24		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.32	SAN ANTONIO TEX GEN IMPT 5.500% 08/01/24		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.33	WASHINGTON ST VAR PURP- SER 2010A 5.000% 08/01/24		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.34	ONEIDA CNTY NY INDL DEV AGY CIVIC FAC REV HAMILTON COLLEGE -RMKT 9/23/08 5.000% 09/15/25		\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
4.35	DELAWARE CNTY PA AUTH UNIV REV RFDG VILLANOVA UNIV 5.000% 12/01/27		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.36	MONROE CNTY NY INDL DEV CORP REV RFDG UNIV ROCHESTER PROJ-SER A 5.000% 07/01/28		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
4.37	PLEASANTVILLE NY UN FREE SCH DIST RFDG 5.000% 11/01/29		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
4.38	MONROE CNTY NY INDL DEV CORP REV UNIV ROCHESTER PROJ-SER B 5.000% 07/01/30		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.39	NEW YORK ST DORM AUTH ST PERS INCOME TAX REV RFDG GEN PURP-SER A 5.000% 03/15/31		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
4.40	NEW YORK ST DORM AUTH ST PERS INCOME TAX REV RFDG- GEN PURP-SER A 5.000% 06/15/31		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.41	MADISON CNTY NY CAP RESOURCE CORP REV COLGATE UNIVERSITY RFDG PROJ-SER A 5.000% 07/01/31		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.42	NEW YORK ST DORM AUTH REVS ST SUPPORTED DEBT LEASE-ST UNIV DORM 0.010% 07/01/31		\$100,001 - \$250,000		None (or less than \$201)
4.43	ONONDAGA CNTY NY TR CULTURAL RES REV SYRACUSE UNIV PROJ 5.000% 12/01/31		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.44	MADISON CNTY NY CAP RESOURCE CORP REV RFDG COLGATE UNIV PROJ-SER A 5.000% 07/01/32		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.45	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT RFDG NYU-SER A 5.000% 07/01/32		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.46	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT UNIV ROCHESTER-SER A 5.000% 07/01/32		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.47	MONROE CNTY NY INDL DEV CORP REV RFDG UNIV ROCHESTER PROJ-SER B 5.000% 07/01/33		\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
4.48	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT RFDG-STATE UNIV NY 5.000% 07/01/33		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
4.49	NASSAU CNTY NY INDL DEV AGY CIVIC FAC REV RFDG IMPT-COLD SPRING-RMKT 03/19/09 0.010% 01/01/34		\$500,001 - \$1,000,000		None (or less than \$201)
4.50	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT RFDG - THE NEW SCHOOL-SER 5.000% 07/01/34		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.51	SYRACUSE NY INDL DEV AGY CIVIC FAC REV SYRACUSE UNIV PROJ-SER A-1 0.010% 07/01/37		\$250,001 - \$500,000		None (or less than \$201)
4.52	NEW YORK NY CITY TRANSITIONAL FIN AUTH REV FOR FUTURE ISSUES 0.010% 11/01/43		\$500,001 - \$1,000,000		None (or less than \$201)
4.53	NEW YORK ST RFDG-SER 04/15/17		None (or less than \$1,001)	Interest	\$5,001 - \$15,000
4.54	NEW YORK NY CITY TR FIN AUTH REV RFDG-FUTURE TAX SECD-SR-SER A-1 5.000%		None (or less than \$1,001)	Interest	\$5,001 - \$15,000
4.55	NEW YORK ST DORM AUTH TE UNIV EDL FACS-SER A-RFDG 5.250% 05/15/15		None (or less than \$1,001)	Interest	\$2,501 - \$5,000
4.56	TEXAS A&M UNIV REV TD PRIOR 04/01/1986 IN 882134 RFDG-FING 5.000% 05/15/24		None (or less than \$1,001)	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.57	MASSACHUSETTS ST CON 5.250% 09/01/23		None (or less than \$1,001)	Interest	\$5,001 - \$15,000
4.58	ORANGE CNTY NY RFDG 07/15/20		None (or less than \$1,001)	Interest	\$5,001 - \$15,000
4.59	CALIFORNIA EDL FACS REREFUNDED RFDG PEPPERDINE UNIV-SER A 5.000% 12/01/35		None (or less than \$1,001)	Interest	\$5,001 - \$15,000
4.60	CALIFORNIA EDL FACS UNREFUNDED BALANCE RFDG PEPPERDINE UNIV-SER 5.000% 12/01/35		None (or less than \$1,001)	Interest	\$15,001 - \$50,000
4.61	Federated US Treasury Inst SH (MMFUSTI)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
5	Brokerage Account #5				
5.1	BlackRock High Yield Bond (BHYIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.2	Metropolitan West Funds Total Ret CI I (MWTIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.3	Columbia FD Ser TRT (NCIAX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
5.4	Lord Abbet Invt TR (LLDYX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.5	Matthews Asia Dividend -Ins (MIPIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.6	SIT Dividend Growth Fund-I (SDVGX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.7	Doubleline Total Ret BD-I (DBLTX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.8	Ridgeworth Seix Floating-I (SAMBX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.9	Eaton Vance Floating-Rate Advantage I (EIFAX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.10	Tortoise MLP & Pipeline-INS (TORIX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
5.11	Harbor Convertible Sec-Inst (HACSX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.12	JPM Intrepid European FD - Instl (JFEIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.13	HSBC FDS Total Return I (HTRIX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.14	Clearbridge Equity Inc Fund-I (SOPYX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
5.15	TRP Inst Floating Rate-F (PFFRX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.16	Cohen & Steers Preferred Securities and Income Fund Inc (CPXIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6	Brokerage Account #6				
6.1	US Treasury Bills 04/14/2016		Over \$1,000,000		None (or less than \$201)
6.2	Euro Principal Currency		\$1,001 - \$15,000		None (or less than \$201)
6.3	JPM Managed Inc Fund (JMGIX)	Yes	Over \$1,000,000		None (or less than \$201)
6.4	iShares MSCI EAFE Index Fund (EFA)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6.5	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
7	Brokerage Account #7				
7.1	MSCI All Country Asia Ex-Japan Fund (AAXJ)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
7.3	Energy Select Sector SPDR (XLE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	iShares MSCI ACWI Index Fund (ACWI)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8	Brokerage Account #8				
8.1	JPM Managed Inc Fund (JMGIX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
8.2	SPDR S&P 500 ETF Trust (SPY)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
8.3	iShares MSCI All Country Asia Ex Japan Index Fund (AAXJ)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8.4	ishares MSCI EAFE Index Fund (EFA)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
8.5	iShares MSCI ACWI Index Fund (ACWI)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
9	J.P Morgan Cash Account #1		\$100,001 - \$250,000		None (or less than \$201)
10	J.P. Morgan Cash Account #2		\$15,001 - \$50,000		None (or less than \$201)
11	J.P. Morgan Cash Account #3		\$15,001 - \$50,000		None (or less than \$201)
12	Trust #1				
12.1	Dreyfus Cash Management Investor Shares (DVCXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.2	Apple Inc Com		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
12.3	Conocho Res Inc Com		\$15,001 - \$50,000		None (or less than \$201)
12.4	Tesla Motors Inc Com		\$1,001 - \$15,000		None (or less than \$201)
13	Trust #2				
13.1	Dreyfus Cash Management Investor Shares (DVCXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13.2	Discover BK Greenwood DEL 3.700% 04/15/15		\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.3	US Treasury Notes 3.000% 09/30/16		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.4	US Treasury Notes 1.375% 07/31/18		\$1,001 - \$15,000		None (or less than \$201)
13.5	Federated Republic of Brazil 12.500% 01/05/16		\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
13.6	Potash Corp Sask Inc Note 3.250% 12/01/17		\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.7	Zimmer Biomet Holdings Inc Fixed RT 4.625% 11/30/19		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.8	CA Inc SR Fized RT 5.375% 12/01/19		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
13.9	Allergan Inc Fixed RT Note 3.375% 09/15/20		\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.10	Kraft Foods Group Inc Fixed RT Note 3.500% 06/06/22		\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.11	Akamai Technologies Inc Com		\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
13.12	Alphabet Inc Cap Stock CI C (formerly Google)		\$1,001 - \$15,000		None (or less than \$201)
13.13	Alphabet Inc Cap Stock CI A (formerly Google)		\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.14	Amgen Inc		\$1,001 - \$15,000		None (or less than \$201)
13.15	Aptargroup Inc		\$1,001 - \$15,000		None (or less than \$201)
13.16	Bristol Meyers Squibb Co Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.17	Cal Maine Foods Inc Com New		\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
13.18	Canadian Natl Ry Co Com		\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
13.19	Costco Wholesale Corp New Com		\$1,001 - \$15,000		None (or less than \$201)
13.20	Disney Walt Co Disney Com		\$1,001 - \$15,000		None (or less than \$201)
13.21	Emerson Elec Co Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.22	Enterprise Prods Partners LP Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.23	General Electric Co Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.24	Home Depot Inc Com		\$1,001 - \$15,000		None (or less than \$201)
13.25	Intel Corp Com		\$50,001 - \$100,000	Dividends	\$201 - \$1,000
13.26	Lindsay Corp Com		\$1,001 - \$15,000		None (or less than \$201)
13.27	McDonalds Corp		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.28	Merck & Co Inc New Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.29	Nestle SA Sponsored ADR REPSTG		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.30	Nike Inc Cl B		\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
13.31	Novartis AG Sponsored ADR		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.32	Novo Nordisk A.S. ADR (Formerly Novo Industrie)		\$1,001 - \$15,000		None (or less than \$201)
13.33	Procter & Gamble Co Com		\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
13.34	Rogers Sugar Inc Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.35	Smucker JM Co Com New		\$1,001 - \$15,000		None (or less than \$201)
13.36	Sonoco Prods Co Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.37	Tesoro Logistics LP Com Unit LTD		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.38	Tyler Technologies Inc Com		\$1,001 - \$15,000		None (or less than \$201)
13.39	Unilever PLC Spon SDR New		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.40	Wabtec Com		\$1,001 - \$15,000		None (or less than \$201)
13.41	Western Gas Partners LP Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.42	New Zealand Dollars		\$1,001 - \$15,000		None (or less than \$201)
13.43	New Zealand Notes 6.000% 12/15/17		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.44	Barrick Gold Corp Com		None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.45	Exxon Mobile Corp Com		None (or less than \$1,001)	Dividends	\$201 - \$1,000
13.46	Sanofi Spons ADR		None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.47	Siemens AG Sponsored ADR		None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.48	Eljan Holdings LLC	See Endnote	\$100,001 - \$250,000		None (or less than \$201)
13.49	Cash Receivable		\$100,001 - \$250,000		None (or less than \$201)
13.50	Property #1	See Endnote	\$250,001 - \$500,000		None (or less than \$201)
13.51	Property #2	See Endnote	\$250,001 - \$500,000		None (or less than \$201)
13.52	Property #3	See Endnote	Over \$1,000,000		None (or less than \$201)
13.53	Property #4	See Endnote	Over \$1,000,000		None (or less than \$201)
14	Trust #3			Distribution	\$4,387
14.1	Dreyfus Cash Management Investor Share		\$1,001 - \$15,000		None (or less than \$201)
14.2	US Treasury Notes 1.375% 07/31/19		\$1,001 - \$15,000		None (or less than \$201)
14.3	Alergan Inc Fixed 09/15/20		\$1,001 - \$15,000		None (or less than \$201)
14.4	Molson Coors Brewing Co Gtd SR NT 3.500% 05/01/22		\$1,001 - \$15,000		None (or less than \$201)
14.5	Apple Inc.		\$1,001 - \$15,000		None (or less than \$201)
14.6	CVS Health Corp Com		\$1,001 - \$15,000		None (or less than \$201)
14.7	Canadian Natl RY Co Com		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.8	Disney Walt Co Disney Com		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
14.9	EcoLab Inc		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.10	Emerson Elec Co Com		\$1,001 - \$15,000		None (or less than \$201)
14.11	Enterprise Prods Partners LP Com		\$1,001 - \$15,000		None (or less than \$201)
14.12	Exxon Mobil Corp Com		\$1,001 - \$15,000		None (or less than \$201)
14.13	Intel Corp Com		\$1,001 - \$15,000		None (or less than \$201)
14.14	Johnson & Johnson Com		\$1,001 - \$15,000		None (or less than \$201)
14.15	McDonald's Corp		\$1,001 - \$15,000		None (or less than \$201)
14.16	Merck & Co Inc New Com		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.17	Nestle SA Sponsored ADR Repstg		\$1,001 - \$15,000		None (or less than \$201)
14.18	Novo Nordisk AS ADR		\$1,001 - \$15,000		None (or less than \$201)
14.19	Parker Hannifin Corp Com		\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.20	Proctor & Gamble Co Com		\$1,001 - \$15,000		None (or less than \$201)
14.21	3M Co Com		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
14.22	Unilever PLC Spon ADR New		\$1,001 - \$15,000		None (or less than \$201)
14.23	Visa Inc Com Cl A		\$1,001 - \$15,000		None (or less than \$201)
15	Trust #4			Distribution	\$6,478
15.1	Dreyfus Cash Management Investor SH		\$1,001 - \$15,000		None (or less than \$201)
15.2	United States Treasury Notes 1.000% 03/31/17		\$1,001 - \$15,000		None (or less than \$201)
15.3	United States Treasury Notes 1.375% 07/31/18		\$1,001 - \$15,000		None (or less than \$201)
15.4	United States Treasury Notes 1.875% 11/30/21		\$1,001 - \$15,000		None (or less than \$201)
15.5	Allergan Inc Fixed Rate NT 3.375% 09/15/20		\$1,001 - \$15,000		None (or less than \$201)
15.6	Molson Coors Breweing Co GTD SR NT 3.500% 05/01/22		\$1,001 - \$15,000		None (or less than \$201)
15.7	CVS Health Corp Fxd RT SR NT 3.500% 05/01/22		\$1,001 - \$15,000		None (or less than \$201)
15.8	EMC Corp Mass SR NT 3.375% 06/01/23		\$1,001 - \$15,000		None (or less than \$201)
15.9	Amgen Inc Com		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
15.10	Apple Inc Com		\$1,001 - \$15,000		None (or less than \$201)
15.11	Aptargroup Inc		\$1,001 - \$15,000		None (or less than \$201)
15.12	Automatic Data Processing Inc Com		\$1,001 - \$15,000		None (or less than \$201)
15.13	CVS Health Corp Com		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
15.14	Canadian Natl Ry Co Com		\$1,001 - \$15,000		None (or less than \$201)
15.15	Chipotle Mexican Grill Inc Com		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
15.16	Costco Wholeslae Corp New Com		\$1,001 - \$15,000		None (or less than \$201)
15.17	Disney Walt Co Disney Com		\$1,001 - \$15,000		None (or less than \$201)
15.18	Enterprise Prod Partners LP Com		\$1,001 - \$15,000		None (or less than \$201)
15.19	Exxon Mobile		\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
15.20	F5 Networks Inc Com		\$1,001 - \$15,000		None (or less than \$201)
15.21	General Electric Co Com		\$1,001 - \$15,000		None (or less than \$201)
15.22	Honeywell Intl Inc Com		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
15.23	Illumina Inc Com		\$1,001 - \$15,000		None (or less than \$201)
15.24	Intel Corp Com		\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
15.25	Johnson & Johnson Com		\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.26	Estee Lauder Companies Inc Cl A		\$1,001 - \$15,000		None (or less than \$201)
15.27	McDonalds Corp		\$1,001 - \$15,000		None (or less than \$201)
15.28	Merck & Co Inc New Com		\$1,001 - \$15,000		None (or less than \$201)
15.29	Microsoft Corp Com		\$1,001 - \$15,000		None (or less than \$201)
15.30	Nestle SA Sponsored ADR		\$1,001 - \$15,000		None (or less than \$201)
15.31	Nike Inc CL B		\$1,001 - \$15,000		None (or less than \$201)
15.32	Pepsico Inc Com		\$1,001 - \$15,000		None (or less than \$201)
15.33	Proctor & Gamble Co Com		\$1,001 - \$15,000		None (or less than \$201)
15.34	Qualcomm Inc		\$1,001 - \$15,000		None (or less than \$201)
15.35	Tesoro Loistics LP Com		\$1,001 - \$15,000		None (or less than \$201)
15.36	United Technologies Corp Com		\$1,001 - \$15,000		None (or less than \$201)
15.37	Wabtec Com		\$1,001 - \$15,000		None (or less than \$201)
15.38	Wal Mart Stores Inc Com		\$1,001 - \$15,000		None (or less than \$201)
15.39	Xylem Inc Com		\$1,001 - \$15,000		None (or less than \$201)
15.40	New Zealand Note 6.000% 12/15/17		\$1,001 - \$15,000		None (or less than \$201)
15.41	Kinder Morgan Inc Com		None (or less than \$1,001)	Dividends	\$201 - \$1,000
16	Trust #5			Distribution:	\$2,507
17	Trust #6			Distribution	\$4,887
18	Forest Hills Property		\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
19	Oxford University Press			Rent or Royalties	\$1,001 - \$2,500
20	Flexpoint Fund, LP		None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
21	ChrysCapital III, LLC		None (or less than \$1,001)		None (or less than \$201)
22	ChrysCapital IV, LLC		None (or less than \$1,001)	Distribution	\$38,125
23	ChrysCapital V, LLC		None (or less than \$1,001)	Distribution	\$139,650
24	Lazard (LAZ)		None (or less than \$1,001)	Capital Gains	\$1,000,001 - \$5,000,000
25	Societe Generale Cash Account		\$1,001 - \$15,000		None (or less than \$201)
26	Virtuel City	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
27	Bienservi Group SAS	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
28	Immobilier Valliant	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
29	Photonike	See Endnote	\$15,001 - \$50,000		None (or less than \$201)
30	LFCM Holdings	See Endnote	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31	LTP II Domestic Partners, LP	See Endnote		\$15,001 - \$50,000	Distribution	\$42,755
32	Last Gentleman LLC	See Endnote		\$50,001 - \$100,000	Distribution	\$3,519
33	TTC Master Limited Partnership Fund QP		Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
34	TTC Master Limited Partnership Fund QP, LP (GRAT)		Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
35	TTC Master Limited Partnership Fund QP, LP		Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
36	DR Beachfront Real Estate LLC	See Endnote	No	\$500,001 - \$1,000,000		None (or less than \$201)
37	New York City Property	See Endnote		\$5,000,001 - \$25,000,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Blackrock High Yield Bond (BHYIX)	Sale	03/04/15	\$250,001 - \$500,000
2	Metropolitan West Funds Total Ret CL I (MWTIX)	Sale	03/04/15	\$250,001 - \$500,000
3	Columbia Fund Ser TRT (NCIAX)	Sale	03/04/15	\$100,001 - \$250,000
4	Lord Abbett Invt Tr (LLDYX)	Sale	03/04/15	\$250,001 - \$500,000
5	Matthews Asia Dividend-Ins (MIPIX)	Sale	03/04/15	\$100,001 - \$250,000
6	SIT Dividend Growth Fund (SDVGX)	Sale	03/04/15	\$250,001 - \$500,000
7	Doubeline Total Ret BD-I (DBLTX)	Sale	03/04/15	\$500,001 - \$1,000,000
8	Harbor High Yield Bond-Inst (HYFAX)	Sale	03/04/15	\$100,001 - \$250,000
9	Ridgeworth SEIX Floating-I (SAMBX)	Sale	03/04/15	\$250,001 - \$500,000
10	Eaton Vance Floating-Rate Advantage I (EIFAX)	Sale	03/04/15	\$250,001 - \$500,000
11	Tortoise MLP & Pipeline-INS (TORIX)	Sale	03/04/15	\$100,001 - \$250,000
12	Harbor Convertible SEC-INST (HACSX)	Sale	03/04/15	\$100,001 - \$250,000
13	JPM Intrepid European FD-INSTL (JFEIX)	Sale	03/04/15	\$100,001 - \$250,000
14	JPM Unconstrained Debt Fund (JSISX)	Sale	03/04/15	\$250,001 - \$500,000
15	HSBC Funds Total Return I (HTRIX)	Sale	03/04/15	\$100,001 - \$250,000
16	Clearbridge Equity Inc FD-I (SOPYX)	Sale	03/04/15	\$250,001 - \$500,000
17	Avenue Mutal Funds TR (ACSBX)	Sale	03/04/15	\$100,001 - \$250,000
18	TRP Inst Floating Rate-F (PFFRX)	Sale	03/04/15	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
19	Cohen & Steers Preferred Securities and Income Fund Inc (CPXIX)	Sale	03/04/15	\$250,001 - \$500,000
20	SPDR S&P 500 ETF (SPY)	Sale	12/21/15	\$100,001 - \$250,000
21	SPDR S&P 500 ETF Trust (SPY)	Sale	09/04/15	\$100,001 - \$250,000
22	iShares MSCI EAFE Index Fund (EFA)	Sale	12/21/15	\$100,001 - \$250,000
23	iShares MSCI EAFE Index Fund (EFA)	Sale	09/04/15	\$100,001 - \$250,000
24	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Sale	12/21/15	\$50,001 - \$100,000
25	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Sale	09/04/15	\$15,001 - \$50,000
26	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Purchase	04/27/15	\$1,001 - \$15,000
27	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Purchase	04/27/15	\$1,001 - \$15,000
28	iShares MSCI EAFE Index Fund (EFA)	Purchase	04/27/15	\$15,001 - \$50,000
29	iShares MSCI EAFE Index Fund (EFA)	Purchase	04/27/15	\$15,001 - \$50,000
30	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/27/15	\$15,001 - \$50,000
31	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/27/15	\$15,001 - \$50,000
32	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Purchase	04/27/15	\$15,001 - \$50,000
33	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Purchase	04/27/15	\$50,001 - \$100,000
34	iShares MSCI EAFE Index Fund (EFA)	Purchase	04/27/15	\$100,001 - \$250,000
35	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/27/15	\$100,001 - \$250,000
36	iShares MSCI EAFE Index Fund (EFA)	Purchase	04/27/15	\$100,001 - \$250,000
37	SPDR S&P 500 ETF Trust (SPY)	Purchase	04/27/15	\$100,001 - \$250,000
38	iShares MSCI ACWI Index Fund (ACWI)	Purchase	09/04/15	\$250,001 - \$500,000
39	iShares MSCI ACWI Index Fund (ACWI)	Purchase	06/15/15	\$500,001 - \$1,000,000
40	JPM Managed Inc Fund - INSTL (JMGIX)	Purchase	12/21/15	\$1,000,001 - \$5,000,000
41	iShares MSCI EAFE Index Fund (EFA)	Sale	09/04/15	\$100,001 - \$250,000
42	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Sale	09/04/15	\$15,001 - \$50,000
43	Energy Select Sector SPDR (XLE)	Purchase	12/21/15	\$1,001 - \$15,000
44	iShares MSCI All Country Asia ex Japan Index Fund (AAXJ)	Purchase	04/27/15	\$50,001 - \$100,000
45	iShares MSCI EAFE Index Fund (EFA)	Purchase	04/27/15	\$100,001 - \$250,000
46	iShares MSCI ACWI Index Fund (ACWI)	Purchase	09/04/15	\$100,001 - \$250,000
47	JPM Managed Inc FD - INSTL (JMGIX)	Purchase	12/21/15	Over \$1,000,000
48	JP Morgan Alerian MLP ETN	Purchase	08/25/15	\$1,000,001 - \$5,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
49	MLP Fund QP LP	Purchase	Various	\$1,000,001 - \$5,000,000
50	iShares MSCI World	Purchase	Various	\$1,000,001 - \$5,000,000
51	Wisdom Tr Japan Hedged Equity Fund	Purchase	09/17/15	\$500,001 - \$1,000,000
52	Matthews Asia Dividend Instl	Purchase	Various	\$1,000,001 - \$5,000,000
53	Matthews Asia Small Companies Fund Instl	Purchase	Various	\$1,000,001 - \$5,000,000
54	Matthews Intl Funds Japan Fund Instl Class	Purchase	09/17/15	\$1,000,001 - \$5,000,000
55	Deep Value ETF	Purchase	Various	\$1,000,001 - \$5,000,000
56	Energy Select SPDR ETF	Purchase	Various	\$1,000,001 - \$5,000,000
57	iShares North American Tech ETF	Purchase	Various	\$1,000,001 - \$5,000,000
58	iShares S&P Growth Index Fund	Purchase	Various	\$5,000,001 - \$25,000,000
59	Select Sector SPDR: Consumer Staples	Purchase	08/28/15	\$1,000,001 - \$5,000,000
60	MLP Fund QP LP	Sale	Various	\$100,001 - \$250,000
61	Market Vectors Oil Services	Sale	03/19/15	\$250,001 - \$500,000
62	World Equity Fund QP, LP	Sale	04/09/15	\$1,000,001 - \$5,000,000
63	Tweedy Browne Global Value Fund	Sale	06/08/15	\$250,001 - \$500,000
64	Energy Select SPDR ETF	Sale	08/27/15	\$1,000,001 - \$5,000,000
65	JPMorgan Alerian MLP ETN	Sale	08/31/15	\$1,000,001 - \$5,000,000
66	Deep Value ETF	Sale	09/02/15	\$1,000,001 - \$5,000,000
67	Matthews Asia Small Companies Fd Inst	Sale	09/18/15	\$500,001 - \$1,000,000
68	Matthews Asia Dividned Instl	Sale	09/18/15	\$1,000,001 - \$5,000,000
69	Alliance Bernstein/TWM Global Equity & Covered Call Strategy Inst CL	Sale	Various	\$1,000,001 - \$5,000,000
70	JP Morgan Alerian MLP ETN	Purchase	08/25/15	\$250,001 - \$500,000
71	MLP Fund QP LP	Purchase	Various	\$500,001 - \$1,000,000
72	iShares MSCI World	Purchase	12/09/15	\$500,001 - \$1,000,000
73	Deep Value ETF	Purchase	04/23/15	\$1,000,001 - \$5,000,000
74	Energy Select Sector SPDR ETF	Purchase	Various	\$500,001 - \$1,000,000
75	iShares North American Tech ETF	Purchase	03/23/15	\$250,001 - \$500,000
76	iShares S&P 500 Growth Index Fund	Purchase	08/28/15	\$100,001 - \$250,000
77	Select Sector SPDR: Consumer Staples	Purchase	08/28/15	\$100,001 - \$250,000
78	MLP Fund QP LP	Sale	Various	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
79	Market Vectors Oil Services	Sale	03/19/15	\$500,001 - \$1,000,000
80	World Equity Fund QP LP	Sale	04/09/15	\$1,000,001 - \$5,000,000
81	Energy Select Sector SPDR ETF	Sale	08/27/15	\$250,001 - \$500,000
82	JP Morgan Alerian MLP ETN	Sale	08/31/15	\$250,001 - \$500,000
83	Deep Value ETF	Sale	09/02/15	\$250,001 - \$500,000
84	Alliance Bernstein/TWM Global Equity & Covered Call Strategy Inst CI	Sale	12/09/15	\$500,001 - \$1,000,000
85	JP Morgan Alerian MLP ETN	Purchase	08/25/15	\$250,001 - \$500,000
86	MLP Fund QP LP	Purchase	Various	\$500,001 - \$1,000,000
87	iShares MSCI World	Purchase	Various	Over \$1,000,000
88	Deep Value ETF	Purchase	04/23/15	\$500,001 - \$1,000,000
89	Energy Select Sector SPDR ETF	Purchase	Various	\$250,001 - \$500,000
90	iShares North American Tech ETF	Purchase	03/23/15	\$250,001 - \$500,000
91	iShares S&P 500 Growth Index Fund	Purchase	08/28/15	\$100,001 - \$250,000
92	Select Sector SPDR: Consumer Staples	Purchase	08/28/15	\$100,001 - \$250,000
93	MLP Fund QP LP	Sale	Various	\$100,001 - \$250,000
94	Market Vectors Oil Services	Sale	03/19/15	\$250,001 - \$500,000
95	World Equity Fund QP LP	Sale	04/09/15	\$500,001 - \$1,000,000
96	Energy Select Sector SPDR ETF	Sale	08/27/15	\$250,001 - \$500,000
97	JP Morgan Alerian MLP ETN	Sale	08/31/15	\$250,001 - \$500,000
98	Deep Value ETF	Sale	09/02/15	\$250,001 - \$500,000
99	Alliance Bernstein/TWM Global Equity & Covered Call Strategy Inst CI	Sale	Various	Over \$1,000,000
100	Flexpoint Fund, LP	Sale	04/22/15	\$250,001 - \$500,000
101	Flexpoint Fund II, LP	Sale	04/22/15	\$50,001 - \$100,000
102	Flexpoint Fund II (Cayman), LP	Sale	04/22/15	\$50,001 - \$100,000
103	LFCM Holdings	Sale	04/28/15	\$500,001 - \$1,000,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
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#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	J.P. Morgan	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2013	2.6%	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART #	ENDNOTE
2. 2	This figure includes salary paid in 2015, a bonus paid in 2015 with respect to work performed from January 1, 2014 to the date of filer's departure (see New Entrant Form 278 page 20, line 9) pursuant to the Agreement regarding deemed retirement from Lazard described in Part 3, as well as \$10,900,000 in deferred compensation that vested in 2015 (see New Entrant Form 278 page 18, line 5) pursuant to the Agreement regarding deemed retirement from Lazard described in Part 3.
6. 26	Virtual City (Paris, France) - This entity specializes in the conception of 3D maps and analysis of territory.
6. 27	Bienservi Croup SAS (Paris, France) - This entity offers cleaning and small repair services to individuals in their home.
6. 28	Immobilier Vaillant (Bordeaux, France) - This entity is a real estate company that specializes in properties management in Europe.
6. 29	Photonike (Brussels, Belgium) - This entity intends to develop and install photovoltaic fields mainly in Italy and in the United States in order to produce green energy.
6. 30	Schedule K-1 for 2015 unavailable at the time of filing. Amount based on tax estimates.
6. 31	LTP II Domestic Partners LP (New York, NY) - This entity owns an interest in: Marketing Technology Solutions, Inc. (provides a patient identification and platform to the healthcare industry); Good Technology Corporation (formerly Boxtone, Inc.) (a technology company that provides secure app-to-app workflows); Qvidian Corporation (provides cloud-based sales execution solutions) Trustwave Holdings, Inc. (provides on demand data security, compliance and threat intelligence solutions).
6. 32	Last Gentleman LLC (Newton Highlands, MA) - This entity was created to finance a documentary film.
6. 36	Schedule K-1 for 2015 unavailable at the time of filing.
6. 37	Residential property in New York, New York.
6. 1.16	Schedule K-1 for 2015 unavailable at the time of filing. Tax estimates indicate this asset was sold at a loss.
6. 13.48	Eljan Holdings LLC (Wellesley, MA) - This entity owns an abandoned textile mill in the Republic of Georgia that is currently being used as bulk warehouse space.
6. 13.50	Undeveloped land in Natick, MA
6. 13.51	Undeveloped land in Natick, MA
6. 13.52	Undeveloped land in Natick, MA
6. 13.53	Residential property in Wellesley, MA
6. 2.9	Schedule K-1 for 2015 unavailable at the time of filing. Tax estimates indicate this asset was sold at a loss.
6. 3.13	Schedule K-1 for 2015 unavailable at the time of filing. Tax estimates indicate this asset was sold at a loss.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business)

or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

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