

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

### Filer's Information

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**Clayton, Walter Joseph**

Chairman, Securities and Exchange Commission

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on Banking, Housing, and Urban Affairs**
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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/ Clayton, Walter Joseph [electronically signed on 01/24/2017 by Clayton, Walter Joseph in Integrity.gov]**

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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/ Minton, Shira, Certifying Official [electronically signed on 03/03/2017 by Minton, Shira in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Shaub, Walter M, Certifying Official [electronically signed on 03/06/2017 by Shaub, Walter M in Integrity.gov]**

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Sullivan & Cromwell LLP	New York, New York	Law Firm	Partner	1/2001	Present
2	University of Pennsylvania Law School	Philadelphia, Pennsylvania	University/College	Adjunct Professor of Law	1/2009	2/2017
3	REC Irrevocable Trust	Philadelphia, Pennsylvania	Trust	Trustee	3/1999	2/2017
4	TBF 2008 Family Trust	New York, New York	Trust	Trustee	1/2009	1/2017
5	Metropolitan Golf Association	Elmsford, New York	Non-Profit	Executive Committee Member	11/2016	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Sullivan & Cromwell LLP (law firm) See Endnote	N/A		Partnership Share received	\$7,623,900
2	Sullivan & Cromwell LLP capital account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	Investment funds administered by Sullivan & Cromwell LLP for its partners				
3.1	125 Broad Street Fund LLC See Endnote	No	\$15,001 - \$50,000	Partnership income	\$3,033
3.1.1	Apollo Investment Fund V, LP	Yes			
3.1.2	Baker Brothers Life Sciences, LP	Yes			
3.1.3	Berkshire Fund VI, LP	Yes			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1.4	Friedman, Fleischer & Lowe II, LP		Yes			
3.1.5	Gemini Israel IV, LP		Yes			
3.1.6	GC Entrepreneurs Fund III, LP		Yes			
3.1.7	Greenbriar Equity Fund, LP		Yes			
3.1.8	JC Flowers I, LP		Yes			
3.1.9	Nordic Capital V, LP		Yes			
3.1.10	OCM Principal Opp Fund II, LP		Yes			
3.1.11	Oxford Biosciences IV, LP		Yes			
3.1.12	Polaris Venture Partners Fund VI, LP		Yes			
3.1.13	TPG Biotechnology Partners, LP		Yes			
3.1.14	W Capital Partners, LP		Yes			
3.1.15	Warburg Pincus Private Equity VIII, LP		Yes			
3.2	125 Broad Street Fund II LLC	See Endnote	No	\$100,001 - \$250,000	Partnership income	\$27,338
3.2.1	Ares Corporate Opportunities Fund II, LP		Yes			
3.2.2	Berkshire Fund VII, LP		Yes			
3.2.3	Centerbridge Capital Partners, LP		Yes			
3.2.4	ChrysCapital IV, LLC		Yes			
3.2.5	General Catalyst Group IV, LP		Yes			
3.2.6	Irving Place Capital III, LP		Yes			
3.2.7	J.C. Flowers II, LP		Yes			
3.2.8	JLL Partners Fund V, LP		Yes			
3.2.9	Longreach Capital Partners I, LP		Yes			
3.2.10	Natural Gas Partners VIII, LP		Yes			
3.2.11	New Enterprise Associates 12, LP		Yes			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2.12	NGP Energy Tech Partners, LP		Yes			
3.2.13	Nordic Capital VI Beta, LP		Yes			
3.2.14	OrbiMed Private Investment III, LP		Yes			
3.2.15	Pouschine Cook Capital Partners II, LP		Yes			
3.2.16	SAIF Partners III, LP		Yes			
3.2.17	Summit Partners Private Equity VII, LP		Yes			
3.2.18	TPG Biotechnology Partners II, LP		Yes			
3.3	125 Broad Street Fund III LLC	See Endnote	No	\$100,001 - \$250,000	Partnership income	\$735
3.3.1	5AM Co-Investors IV, LP		Yes			
3.3.2	5AM Ventures V, LP		Yes			
3.3.3	Bain Capital Fund XI, LP		Yes			
3.3.4	Bain Capital Europe Fund IV, LP		Yes			
3.3.5	Brentwood Associates Private Equity V, LP		Yes			
3.3.6	Centerbridge Capital Partners III, LP		Yes			
3.3.7	FFL Capital Partners IV, LP		Yes			
3.3.8	Formation8 Fund II, LP		Yes			
3.3.9	Freestyle Capital Fund III, LP		Yes			
3.3.10	Hellman & Friedman Capital Partners VIII, LP		Yes			
3.3.11	Patria Brazilian Private Equity Fund V, LP		Yes			
3.3.12	Thoma Bravo Discover Fund, LP		Yes			
3.3.13	Thoma Bravo Fund XI, LP		Yes			
3.3.14	Thoma Bravo Special Opportunities II, LP		Yes			
3.3.15	Venrock Healthcare Capital Partners II, LP		Yes			
3.3.16	Warburg Pincus Private Equity Fund XII, L.P.		Yes			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Sullivan & Cromwell LLP 401(k) Plan for Associates				
4.1	Fidelity 500 Index Fund - Institutional Class (FXSIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.2	Fidelity Contrafund - Class K (FCNKX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.3	Fidelity Diversified International Fund - Class K (FDIKX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.4	Fidelity International Index Fund - Premium Class (FSIVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Fidelity U.S. Bond Index Fund - Institutional Class (FXSTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Traditional IRA				
5.1	Vanguard Total Stock Market Index Fund Admiral Shares	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6	Sullivan & Cromwell LLP defined contribution plans for Partners	See Endnote			
6.1	Sullivan & Cromwell LLP Master Trust	See Endnote	No	\$1,000,001 - \$5,000,000	Dividends Interest Capital Gains \$50,001 - \$100,000
6.1.1	Acacia Institutional Partners, L.P.	Yes			
6.1.2	Carmel Partners Investment Fund VI, L.P.	Yes			
6.1.3	Conatus Capital Overseas Ltd.	Yes			
6.1.4	Westwood Global Investments Emerging Markets Fund, LLC	Yes			
6.1.5	Farallon Capital Offshore Investors II Holdings, L.P.	Yes			
6.1.6	Fir Tree International Value Fund (USTE), L.P.	Yes			
6.1.7	Harris Associates Global L.P.	Yes			
6.1.8	Highline Capital International Inc.	Yes			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.9	Longleaf Partners International Fund	Yes			
6.1.10	Mount Kellett Capital Partners (Cayman), L.P.	Yes			
6.1.11	Oakmark Equity and Income Fund	Yes			
6.1.12	Artisan International Fund	Yes			
6.1.13	Hall Capital Partners Absolute Return Fund Offshore Feeder, L.P.	Yes			
6.1.14	Hall Capital Partners Energy and Natural Resources Fund, L.P.	Yes			
6.1.15	Hall Capital Partners Merit Energy Partners H Investors, L.P.	Yes			
6.1.16	Hall Capital Partners Private Equity Fund V, L.P.	Yes			
6.1.17	Perry Partners International	Yes			
6.1.18	Centerbridge Credit Partners TE, L.P.	Yes			
6.1.19	Prospect Harbor Designated Investments, LP	Yes			
6.1.20	Shorenstein Realty Investors Eight REIT	Yes			
6.1.21	Shorenstein Realty Investors Ten REIT	Yes			
6.1.22	Steadfast International Ltd.	Yes			
6.1.23	ValueAct Capital International I, LP	Yes			
6.1.24	Vanguard Short Term Bond Index Fund (Admiral Shares)	Yes			
6.1.25	Vanguard Total Bond Market Index Fund	Yes			
6.1.26	Vanguard Institutional Index Fund	Yes			
6.1.27	Varde Fund XII(A), L.P.	Yes			
6.1.28	Varde Fund XI(B) (Feeder), L.P.	Yes			
6.1.29	125 Broad Street Fund LLC	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1.30	125 Broad Street Fund II LLC	See Endnote	No		
6.1.31	125 Broad Street Fund III LLC	See Endnote	No		
6.1.32	BNY Mellon Short Term Investment Fund		Yes		
7	Sullivan & Cromwell LLP (anticipated partnership share)	See Endnote	N/A	\$500,001 - \$1,000,000	None (or less than \$201)
8	Sullivan & Cromwell LLP Group Defined Benefit Plan for Partners (value not readily ascertainable): eligible for approximately \$7,800/mo. at age 65	See Endnote	N/A		None (or less than \$201)
9	Sullivan & Cromwell LLP Supplemental Pension Plan for Partners (value not readily ascertainable): eligible for approximately \$3,550/mo. at age 65	See Endnote	N/A		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE	
1	Sullivan & Cromwell LLP	See Endnote	New York, New York	If confirmed by the Senate, I will resign from the partnership of Sullivan & Cromwell LLP. Pursuant to the Firm's partnership agreement and before I assume the duties of the position of Chairman, I will receive a refund of my capital account and a pro rata partnership share based on the value of my partnership interests for services performed in 2016 and 2017. All payments will be based on and made from the Firm's earnings through the date of my withdrawal from the partnership.	1/2001
2	125 Broad Street Fund, 125 Broad Street Fund II, 125 Broad Street Fund III (investment funds available to partners of Sullivan & Cromwell LLP and administered by the Firm)		New York, New York	These investment funds are not sponsored by Sullivan & Cromwell LLP but are available to partners of Sullivan & Cromwell LLP and administered by the Firm. As soon as possible following confirmation, but no later than 90 days after confirmation, my interests in 125 Broad Street Fund and 125 Broad Street Fund II will be redeemed, and my interest in 125 Broad Street Fund III will be assigned to and assumed by other investors in that fund.	1/2001

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Sullivan & Cromwell LLP Defined Benefit Plans (Sullivan & Cromwell LLP Group Defined Benefit Plan for Partners and Sullivan & Cromwell LLP Supplemental Pension Plan for Partners)	New York, New York	I will remain a participant in these two Plans, under each of which I will be entitled to a retirement annuity beginning at age 65. The amounts of these annuity payments will be fixed as of the date of my resignation from the Firm, and Sullivan & Cromwell LLP will not make any contributions to these Plans on my behalf for any additional benefits accruing after my resignation.	1/2001
4	Sullivan & Cromwell LLP Defined Contribution Plans for Partners	New York, New York	As soon as possible following confirmation, but no later than 90 days after confirmation, my interests in these plans will be paid out to me. This payment is made pursuant to the Firm's established compensation, partnership, or benefits program.	1/2001
5	Sullivan & Cromwell LLP 401(k) Plan for Associates	New York, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my resignation from the Firm.	1/2001

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Sullivan & Cromwell LLP	New York, New York	Legal services
2	Ally Financial Inc. (client of Sullivan & Cromwell LLP)	Detroit, Michigan	Legal services
3	Underwriting Syndicate for Ally Financial Inc. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
4	Barclays Bank PLC (client of Sullivan & Cromwell LLP)	London, England, Outside U.S.	Legal services
5	Bessemer Trust Company (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
6	British Airways PLC (client of Sullivan & Cromwell LLP)	Harmondsworth, England, Outside U.S.	Legal services



#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
7	Brown Brothers Harriman & Co. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
8	CA, Inc. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
9	The Cadillac Fairview Corporation Ltd (client of Sullivan & Cromwell LLP)	Toronto, Canada, Outside U.S.	Legal services
10	Canada Pension Plan Investment Board (client of Sullivan & Cromwell LLP)	Toronto, Canada, Outside U.S.	Legal services
11	Capital Products Partners, L.P. (client of Sullivan & Cromwell LLP)	Piraeus, Greece, Outside U.S.	Legal services
12	Castleton Commodities International LLC (client of Sullivan & Cromwell LLP)	Stamford, Connecticut	Legal services
13	Deutsche Bank AG (client of Sullivan & Cromwell LLP)	Frankfurt, Germany, Outside U.S.	Legal services
14	William Charles Erbey (client of Sullivan & Cromwell LLP)	Christiansted, Virgin Islands	Legal services
15	Evercore Partners (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
16	Goldman Sachs Philanthropy Fund (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
17	The Goldman Sachs Group, Inc. and its subsidiaries (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
18	Gottwald Family (client of Sullivan & Cromwell LLP)	Richmond, Virginia	Legal services
19	Hudson Capital Management, L.P. (client of Sullivan & Cromwell LLP)	Teaneck, New Jersey	Legal services
20	International Airlines Group (client of Sullivan & Cromwell LLP)	London, England, Outside U.S.	Legal services
21	Paul Tudor Jones II (client of Sullivan & Cromwell LLP)	Palm Beach, Florida	Legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
22	Pershing Square, L.P. (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
23	Steven Price (client of Sullivan & Cromwell LLP)	Greenwich, Connecticut	Legal services
24	The Priceline Group Inc. (client of Sullivan & Cromwell LLP)	Norwalk, Connecticut	Legal services
25	Royal Bank of Canada (client of Sullivan & Cromwell LLP)	Toronto, Canada, Outside U.S.	Legal services
26	Eric S. Schwartz (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
27	Philip Reid Shawe (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
28	SoftBank Group Corp. (client of Sullivan & Cromwell LLP)	Tokyo, Japan, Outside U.S.	Legal services
29	Suning Commerce Group Co., Ltd. (client of Sullivan & Cromwell LLP)	Nanjing, China, Outside U.S.	Legal services
30	TeliaSonera AB (client of Sullivan & Cromwell LLP)	Stockholm, Sweden, Outside U.S.	Legal services
31	TerraForm Global, Inc. (client of Sullivan & Cromwell LLP)	Bethesda, Maryland	Legal services
32	TerraForm Power, Inc. (client of Sullivan & Cromwell LLP)	Bethesda, Maryland	Legal services
33	Tudor Investment Corp. (client of Sullivan & Cromwell LLP)	Greenwich, Connecticut	Legal services
34	Ubiquiti Networks, Inc. (client of Sullivan & Cromwell LLP)	San Jose, California	Legal services
35	UBS Securities LLC (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
36	Valeant Pharmaceuticals International (client of Sullivan & Cromwell LLP)	Laval, Canada, Outside U.S.	Legal services
37	Vanguard Group Directors (client of Sullivan & Cromwell LLP)	Malvern, Pennsylvania	Legal services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
38	Vector Group Ltd. (client of Sullivan & Cromwell LLP)	Miami, Florida	Legal services
39	Versa Capital Management, LLC (client of Sullivan & Cromwell LLP)	Philadelphia, Pennsylvania	Legal services
40	Volkswagen AG (client of Sullivan & Cromwell LLP)	Wolfsburg, Germany, Outside U.S.	Legal services
41	The Weinstein Company LLC (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
42	Reid Hoffman (client of Sullivan & Cromwell LLP)	Palo Alto, California	Legal services
43	Roy J. Zuckerberg (client of Sullivan & Cromwell LLP)	New York, New York	Legal services
44	Note: 4 confidential individual clients and 5 confidential corporate clients are not disclosed because the disclosure of the representations are the subject of attorney-client privilege and other confidentiality obligations, including Rule 1.6 of the New York Rules of Professional Conduct and Rule 1.6 of the Washington, D.C. Rules of Professional Conduct, that do not permit disclosure without consent or waiver by the client. In addition, 2 of the foregoing confidential corporate clients are not disclosed because they are the subject of a pending non-public investigation.		

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Goldman, Sachs & Co.	N/A		Earned advisory income	
2	The Goldman Sachs Group, Inc. restricted stock units	See Endnote	N/A	\$100,001 - \$250,000	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	The Goldman Sachs Group, Inc. common shares (GS)	See Endnote	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4	GBC IRA					
4.1	Vanguard 500 Index Fund Admiral Shares (VFIAX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.2	Vanguard Prime Money Market Fund (VMMXX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	Vanguard Windsor Fund Admiral Shares (VWNEX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.4	Vanguard European Stock Index Fund Admiral Shares (VEUSX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.5	Vanguard International Value Fund (VTRIX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.7	Vanguard Windsor II Fund Admiral Shares (VWNAX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5	Goldman, Sachs & Co. 401(k)					
5.1	GSAM Financial Square Treasury Obligations Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	SSGA Hedged International Developed Equity Index Fund		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.3	BlackRock 20+ yr Treasury Bond Index Fund		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.4	Western Asset Core Plus Bond Fund		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.5	PIMCO Global Bond Fund (underlying assets below reporting thresholds)		No	\$1,001 - \$15,000		None (or less than \$201)
5.6	GSAM Strategic Income Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.7	GSAM US High Yield Bond Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.8	Ashmore Emerging Markets Local Currency Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	SSGA S&P 500 Index Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.10	Jackson Square Partners Concentrated Growth Equity Fund	No	\$50,001 - \$100,000		None (or less than \$201)
5.10.1	Allergan PLC Common Shares	N/A			
5.10.2	Alphabet Inc. Class A Common Shares	N/A			
5.10.3	Alphabet Inc. Class C Common Shares	N/A			
5.10.4	Biogen Inc. Common Shares	N/A			
5.10.5	Celegene Corp. Common Shares	N/A			
5.10.6	Crown Castle International Corp. Common Shares	N/A			
5.10.7	DENTSPLY SIRONA Inc. Common Shares	N/A			
5.10.8	Dollar General Corp. Common Shares	N/A			
5.10.9	Ebay Inc. Common Shares	N/A			
5.10.10	Electric Arts Common Shares	N/A			
5.10.11	Equinix Inc. Common Shares	N/A			
5.10.12	Facebook Inc. Class A Common Shares	N/A			
5.10.13	Intercontinental Exchange Inc. Common Shares	N/A			
5.10.14	Intuit Inc. Common Shares	N/A			
5.10.15	L. Brands Inc. Common Shares	N/A			
5.10.16	Liberty Global PLC Class A Common Shares	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10.1 7	Liberty Global PLC Class C Common Shares	N/A			
5.10.1 8	Liberty Interactive Corp. Class A Common Shares	N/A			
5.10.1 9	Mastercard Inc. Class A Common Shares	N/A			
5.10.2 0	Microsoft Corp. Common Shares	N/A			
5.10.2 1	Nielsen Holdings PLC Common Shares	N/A			
5.10.2 2	Paypal Holdings Inc. Common Shares	N/A			
5.10.2 3	Qualcomm Inc. Common Shares	N/A			
5.10.2 4	Quintiles IMS Holdings Inc. Common Shares	N/A			
5.10.2 5	Charles Schwab Corp. Common Shares	N/A			
5.10.2 6	Symantec Corp. Common Shares	N/A			
5.10.2 7	TripAdvisor Inc. Common Shares	N/A			
5.10.2 8	Visa Inc. Class A Common Shares	N/A			
5.10.2 9	Walgreens Boots Alliance Inc. Common Shares	N/A			
5.10.3 0	GS Financial Square Treasury Obligations Fund	Yes			
5.11	GSAM Mid Cap Value Fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.12	SSGA S&P Mid Cap Index Non-Lending Series Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.13	SSGA Russell 2000 Index Non-Lending Series Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.14	CenterSquare Real Estate Equity Fund (underlying assets below reporting thresholds)	No	\$1,001 - \$15,000		\$201 - \$1,000
5.15	GMO International Equity Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
5.16	Wellington International Equity Fund	No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
5.16.1	British American Tobacco PLC Common Shares (BATS)	N/A			
5.16.2	Astrazeneca PLC Common Shares (AZN)	N/A			
5.16.3	Beiersdorf AG Common Shares (BEI)	N/A			
5.16.4	UCB SA Common Shares (UCB)	N/A			
5.16.5	Commonwealth Bank of Australia Common Shares (CBA)	N/A			
5.16.6	Novartis AG Common Shares (NOVN)	N/A			
5.16.7	Sumitomo Mitsui Financial Group Common Shares (8316)	N/A			
5.16.8	Unilever PLC Common Shares (ULVR)	N/A			
5.16.9	(remaining underlying assets below reporting thresholds)				
5.17	SSGA Emerging Markets Index NL Series Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.18	Genesis Emerging Markets Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.19	PIMCO Commodities Fund (underlying assets below reporting thresholds)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.20	Omega Multi-Market Hedge Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.21	Maverick Global Long/Short Equity Fund (underlying assets below reporting thresholds)		No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6	GS Loan Partners I Employee Fund, L.P.	See Endnote	No	\$15,001 - \$50,000	Partnership income	\$20,060
6.1	GS Loan Partners I Employee Master Fund, L.P.		No			
6.1.1	GS Loan Partners I Onshore, L.P.		Yes			
7	Goldman Sachs Private Equity Partners 2004, L.P.	See Endnote	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
8	Goldman Sachs Vintage II L.P. (underlying assets below reporting thresholds)	See Endnote	No	\$1,001 - \$15,000	Partnership income	\$891
9	Goldman Sachs Vintage III L.P. (underlying assets below reporting thresholds)	See Endnote	No	\$1,001 - \$15,000	Partnership income	\$936
10	GS Capital Partners 2000 Employee Fund	See Endnote	No	None (or less than \$1,001)	Partnership income	\$839
10.1	National Golf Properties (golf course in Sylmar, California)		N/A			
10.2	Neos, Inc. (oil / gas exploration)		N/A			
10.3	SunGard Availability Services Capital Inc. (integrated software processing)		N/A			
11	GS Direct Investment Fund 2000	See Endnote	No	None (or less than \$1,001)	Partnership income	\$6,447
11.1	Neos, Inc. (oil / gas exploration)		N/A			
11.2	SunGard Availability Services Capital Inc. (integrated software processing)		N/A			
12	GS Capital Partners VI Employee Fund, L.P.	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
12.1	GS Capital Partners VI Employee Master Fund, L.P.		No			
12.1.1	GS Capital Partners VI Fund, L.P.		Yes			



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.1.2	Enstar Group Limited (reinsurance)		N/A			
12.1.3	Expro International Group Limited (oilfield services and products)		N/A			
13	GS Mezzanine Partners V Employee Fund, L.P.	See Endnote	No	\$15,001 - \$50,000	Partnership income	\$7,005
13.1	GS Mezzanine Partners V Employee Master Fund Onshore, L.P.		No			
13.1.1	GS Mezzanine Partners V Onshore Fund, L.P.		Yes			
14	GS Mezzanine Partners 2006 Employee Fund L.P.	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
14.1	GS Mezzanine Partners 2006 Onshore Fund, L.P.		Yes			
15	Goldman Sachs Whitehall Street Global Employee Fund 2001, L.P. (underlying assets below reporting thresholds)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
16	GS Global Infrastructure Partners I Employee Fund, L.P.	See Endnote	No	\$1,001 - \$15,000	Partnership income	\$3,175
16.1	GS Global Infrastructure Partners I-A Employee Fund, L.P.		No			
16.1.1	GS Global Infrastructure Partners I, L.P.		Yes			

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)		N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
2	U.S. bank account #2 (cash)		N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
3	Vanguard Emerging Markets Select Stock Fund (VMMSX)		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Vanguard Energy Fund Admiral Shares (VGELX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
5	Vanguard FTSE All-World ex-US Index Fund Admiral Shares (VFWAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6	Vanguard FTSE All-World ex-US Small-Cap Index Fund Investor Shares (VFSVX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7	Vanguard LifeStrategy Moderate Growth Fund (VSMGX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
8	Vanguard PRIMECAP Fund Admiral Shares (VPMAX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
9	Vanguard Target Retirement 2020 Fund (VTWNX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10	Vanguard Target Retirement 2035 Fund (VTTHX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11	Vanguard Tax-Exempt Money Market Fund (VMSXX)	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
12	Vanguard Tax-Managed Small-Cap Fund Admiral Shares (VTMSX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
13	Vanguard Treasury Money Market Fund (VUSXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
14	Vanguard Wellington Fund Admiral Shares (VWENX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
15	Mid Penn Bank Corp. common shares	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16	Family Trust #1	See Endnote			
16.1	BlackRock MuniYield Investment Fund (MYF)	Yes	None (or less than \$1,001)		None (or less than \$201)
16.2	BlackRock National Municipal Fund Investor A Shares (MDNLX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
16.3	BlackRock National Municipal Fund Institutional Shares (MANLX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.4	Apollo Commercial Real Est. Finance Inc. common shares (ARI)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.5	BlackRock Capital Investment Corp. (BKCC)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.6	Blackstone Group LP common units (BX)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
16.7	Buckeye Partners LP common units (BPL)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
16.8	Chevron Corp. common shares (CVX)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16.9	Diageo PLC ADRs (DEO)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
16.10	KKR & Co. LP common units (KKR)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
16.11	OFS Capital Corp. common shares (OFS)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.12	Omnova Solutions Inc. common shares (OMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.13	Philip Morris Intl. Inc. common shares (PM)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16.14	PJT Partners Inc. common shares (PJT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.15	Vanguard Pennsylvania Tax-Exempt Money Market Fund (VPTXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
17	Vanguard LifeStrategy Moderate Growth Fund (VSMGX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18	Vanguard Mid-Cap Growth Fund (VMGRX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
19	Vanguard Tax-Exempt Money Market Fund (VMSXX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
20	Vanguard Tax-Managed Small-Cap Fund Admiral Shares (VTMSX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Vanguard Treasury Money Market Fund (VUSXX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
22	Vanguard Wellington Fund Admiral Shares (VWENX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
23	GS Local Emerging Markets Debt Fund Institutional Shares (GIMDX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24	GS MLP Energy Infrastructure I (GMLPX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
25	The Goldman Sachs Group, Inc. common shares (GS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
26	SPDR S&P 500 ETF Trust (SPY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
27	Deutsche X-Trackers MSCI EAFE Equity ETF (DBEF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
28	Wisdomtree EUR HDGD EQ FD CMN (HEDJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
29	iShares MSCI Eurozone ETF (EZU)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
30	SPDR Euro STOXX 50 FD ETF (FEZ)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
31	GS Tactical Tilt Overlay Mutual Fund (TTIFX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
32	SPDR Gold Trust ETF (GLD)	Yes	\$50,001 - \$100,000		None (or less than \$201)
33	Janus Global Research Fund Class D Shares (JANWX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
34	Janus Fund Class D Shares (JANDX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
35	Janus Twenty Fund Class D Shares (JNTFX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
36	T. Rowe Price International Discovery Fund (PRIDX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
37	Child # 1 UTMA Account				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37.1	Vanguard Inflation-Protected Securities Fund Investor Shares (VIPSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
37.2	Vanguard LifeStrategy Moderate Growth Fund (VSMGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
37.3	Vanguard Tax-Exempt Money Market Fund (VMSXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
38	Child # 2 UTMA Account				
38.1	Vanguard Inflation-Protected Securities Fund Investor Shares (VIPSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
38.2	Vanguard LifeStrategy Moderate Growth Fund (VSMGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
38.3	Vanguard Tax-Exempt Money Market Fund (VMSXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
39	Child # 3 UTMA Account				
39.1	Vanguard Inflation-Protected Securities Fund Investor Shares (VIPSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
39.2	Vanguard LifeStrategy Moderate Growth Fund (VSMGX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
39.3	Vanguard Tax-Exempt Money Market Fund (VMSXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
40	Family Trust #2	See Endnote			
40.1	Vanguard European Stock Index Fund Admiral Shares (VEUSX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
40.2	Vanguard Explorer Fund Admiral Shares (VEXRX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
40.3	Vanguard Intermediate-Term Bond Index Fund Admiral Shares (VBILX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
40.4	Vanguard Pennsylvania Tax-Exempt Money Market Fund Investor Shares (VPTXX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
40.5	Vanguard Precious Metals And Mining Fund Investor Shares (VGPMX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
40.6	Vanguard Selected Value Fund Investor Shares (VASVX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
40.7	Vanguard Target Retirement 2015 Fund Investor Shares (VTXVX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
40.8	Vanguard Target Retirement 2025 Fund Investor Shares (VTTVX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
40.9	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
40.10	Vanguard Value Index Fund Admiral Shares (VVIAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
41	Vanguard Pacific Stock Index Fund Admiral Shares (VPADX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
42	Vanguard Tax-Managed Capital Appreciation Fund Admiral Shares (VTCLX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
43	Vanguard Windsor Fund Admiral Shares (VWNEX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
44	Vanguard Windsor Fund Investor Shares (VWNDX)	Yes	None (or less than \$1,001)		None (or less than \$201)
45	Family Trust #3	See Endnote			
45.1	Vanguard European Stock Index Fund Admiral Shares (VEUSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
45.2	Vanguard Pennsylvania Tax-Exempt Money Market Fund (VPTXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
45.3	Vanguard STAR Fund (VGSTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
45.4	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
45.5	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends \$50,001 - \$100,000
46	Family Trust #4	See Endnote			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46.1	Vanguard European Stock Index Fund Admiral Shares (VEUSX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
46.2	Vanguard Pennsylvania Tax-Exempt Money Market Fund (VPTXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
46.3	Vanguard STAR Fund (VGSTX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
46.4	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
46.5	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	\$50,001 - \$100,000
47	Family Trust #5	See Endnote				
47.1	Vanguard European Stock Index Fund Admiral Shares (VEUSX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
47.2	Vanguard Pennsylvania Tax-Exempt Money Market Fund (VPTXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
47.3	Vanguard STAR Fund (VGSTX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
47.4	Vanguard Total Stock Market Index Fund Admiral Shares (VTSAX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
47.5	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	\$50,001 - \$100,000
48	Family Trust #6	See Endnote				
48.1	Vanguard Capital Value Fund (VCVLX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
48.2	Vanguard European Stock Index Fund Admiral Shares (VEUSX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
48.3	Vanguard High-Yield Tax-Exempt Fund Admiral Shares (VWALX)		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
48.4	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48.5	Vanguard International Value Fund (VTRIX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
48.6	Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX)		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
48.7	Vanguard Pacific Stock Index Fund Admiral Shares (VPADX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
48.8	Vanguard REIT Index Fund Admiral Shares (VGSLX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
48.9	Vanguard Tax-Exempt Money Market Fund (VMSXX)		Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
48.10	Vanguard Tax-Managed Capital Appreciation Fund Admiral Shares (VTCLX)		Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
48.11	Vanguard Wellington Fund Admiral Shares (VWENX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
48.12	Longleaf Partners Fund (LLPFX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
48.13	JWH Property 2015 LLC		No			
48.13.1	Residential property, Ocean City New Jersey		N/A	Over \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
48.13.2	U.S. bank account #3 (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
48.14	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	Over \$1,000,000
48.15	50% interest in JWH 2010 Property LLC		No			
48.15.1	Residential property, Ocean City New Jersey		N/A	Over \$1,000,000		None (or less than \$201)
48.15.2	Vanguard Federal Money Market Fund Investor Shares (VMFXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
49	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50	50% interest in JWH 2010 Property LLC		No			
50.1	Residential property, Ocean City New Jersey		N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
50.2	Vanguard Federal Money Market Fund Investor Shares (VMFXX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
51	Residential property, Philadelphia Pennsylvania		N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
52	RCIP Residential Opportunity and Dividend Fund (single and multifamily homes in the Southeast)		No	\$100,001 - \$250,000		\$15,001 - \$50,000
53	8.9% Interest in WC Holdco LLC (owns, through its subsidiary JW4 LLC, a parcel of land in Sarasota, FL)	See Endnote	No	\$250,001 - \$500,000		\$15,001 - \$50,000
54	Rane Corp. Series A Preferred Stock (risk information and advisory services company -- private company)	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
55	Loffels LLC (internet startup that has been liquidated)		N/A	None (or less than \$1,001)		None (or less than \$201)
56	U.S. bank account #4 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
57	Family Trust #7	See Endnote				
57.1	Loan receivable from Spousal Family Members		N/A	Over \$1,000,000	Interest	\$5,001 - \$15,000
57.2	Vanguard Tax-Exempt Money Market Fund (VMSXX)		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
57.3	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	Over \$1,000,000
58	Famiy Trust #8	See Endnote				
58.1	Vanguard Tax-Exempt Money Market Fund (VMSXX)		Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
58.2	Vanguard Total Int'l Stock Index Admiral Shares (VTIAX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58.3	Vanguard Total Stock Mkt Index Admiral Shares (VTSAX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
58.4	Loan receivable from Spousal Family Members		N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
58.5	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
59	Family Trust #9	See Endnote				
59.1	Vanguard Tax-Exempt Money Market Fund (VMSXX)		Yes	\$250,001 - \$500,000		None (or less than \$201)
59.2	Vanguard Total Stock Mkt Index Admiral Shares (VTSAX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
59.3	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$15,001 - \$50,000
60	Family Trust #10	See Endnote				
60.1	Vanguard Tax-Exempt Money Market Fund (VMSXX)		Yes	Over \$1,000,000		\$2,501 - \$5,000
60.2	Vanguard Total Int'l Stock Index Admiral Shares (VTIAX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
60.3	Vanguard Total Stock Mkt Index Admiral Shares (VTSAX)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
60.4	Loan receivable from Spousal Family Members		N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
60.5	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	Over \$1,000,000
61	Family Trust #11	See Endnote				
61.1	Loan receivable from Spousal Family Members		N/A	Over \$1,000,000	Interest	\$15,001 - \$50,000
61.2	Vanguard Tax-Exempt Money Market Fund (VMSXX)		Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61.3	Vanguard Total Int'l Stock Index Admiral Shares (VTIAX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
61.4	Vanguard Total Stock Mkt Index Admiral Shares (VTSAX)		Yes	Over \$1,000,000		\$15,001 - \$50,000
61.5	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
62	Family Trust # 12	See Endnote				
62.1	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000	Dividends	Over \$1,000,000
62.2	Federated Government Obligations Fund		Yes	\$100,001 - \$250,000		None (or less than \$201)
62.3	Loans receivable from Spousal Family Members		N/A	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
62.4	iShares Global Utilities ETF (JXI)		Yes	\$1,001 - \$15,000		None (or less than \$201)
62.5	iShares S&P Global Telecom ETF (IXP)		Yes	\$50,001 - \$100,000		None (or less than \$201)
62.6	iShares S&P Global Consumer Staple ETF (KXI)		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
62.7	Old Westbury Large Cap Core Fund		Yes	Over \$1,000,000		\$50,001 - \$100,000
62.8	Old Westbury Large Cap Strategies Fund		Yes	Over \$1,000,000		\$15,001 - \$50,000
62.9	Old Westbury Small & Mid Cap Fund		Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
62.10	Old Westbury Strategic Opportunities Fund		Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
62.11	Real estate - condominium (Philadelphia, PA)		N/A	\$100,001 - \$250,000		None (or less than \$201)
62.12	U.S. bank account #5 (cash)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.13	Vanguard Federal Money Market Fund Investor Shares (VMFXX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
62.14	Vanguard Growth ETF (VUG)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
62.15	Vanguard Mid Cap ETF (VO)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
62.16	Vanguard Tax-Exempt Money Market Fund (VMSXX)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
62.17	Vanguard Total Stock Market ETF (VTI)	Yes	Over \$1,000,000		\$5,001 - \$15,000
62.18	Vanguard Global Ex-US Real Estate ETF (VNQI)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
62.19	Deutsche X-Trackers MSCI EAFE Equity ETF (DBEF)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
62.20	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
62.21	Vaneck Vectors High Yield Muni Index ETF (HYD)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
62.22	Seachange International Inc. Common Shares (SEAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.23	Danaos Corporation Common Shares (DAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.24	Dynegy Inc. New Del Common Shares (DYN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.25	Manitowoc Co Inc. Common Shares (MTW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.26	Express, Inc. Common Shares (EXPR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.27	Infinera Corporation Common Shares (INFN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.28	Crocs, Inc. Common Shares (CROX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.29	Tetra Technologies Inc. (Del) Common Shares (TTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.30	Verifone Systems Inc. Common Shares (PAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.31	Maxwell Technologies Inc. Common Shares (MXWL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.32	Accuray Inc. Common Shares (ARAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.33	Office Depot Inc. Common Shares (ODP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.34	Allscripts Healthcare Sol Inc. Common Shares (MDRX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.35	Fluidigm Corp Common Shares (FLDM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.36	Covisint Corporation Common Shares (COVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.37	Shell Midstream Partners LP Common Shares (SHLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.38	Nuance Communications, Inc. Common Shares (NUAN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.39	Sunoco Logistics Partners L.P. Common Shares (SXL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.40	Verint Systems Inc. Common Shares (VRNT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.41	Western Refining Logistics, LP Common Shares (WNRL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.42	KBR, Inc. Common Shares (KBR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.43	Covanta Holding Corp Common Shares (CVA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.44	Mellanox Technologies, Ltd. Common Shares (MLNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.45	Acadia Healthcare Company Inc. Common Shares (ACHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.46	Sonus Networks Inc. Common Shares (SONS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.47	Buckeye Partners LP Common Shares (BPL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.48	DST System Inc. Common Shares (DST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.49	Fireeye, Inc. Common Shares (FEYE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.50	Quantum Corporation DLT & Storage Systems Group (QTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.51	Silver Spring Networks, Inc. Common Shares (SSNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.52	Restoration Hardware Holdings Inc. Common Shares	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
62.53	OSI Systems Inc. Common Shares (OSIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.54	Corelogic Inc. Common Shares (CLGX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.55	EQT Midstream Partners LP Common Shares (EQM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.56	GS Financial Square Government Fund (FGTXX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
62.57	NRG Energy, Inc. Common Shares (NRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.58	Select Comfort Corporation Common Shares (SCSS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.59	Analogic Corp (New) Common Shares (ALOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.60	ITT Inc. Common Shares (ITT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.61	Vanguard REIT Index Fund Common Shares (VNQ)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
62.62	Molina Healthcare, Inc. Common Shares (MOH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.63	Deckers Outdoors Corp Common Shares (DECK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.64	Enterprise Products Part L.P Common Shares (EPD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
62.65	Crown Holdings Inc. Common Shares (CCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.66	Luminex Corp Del Common Shares (LMNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.67	Magellan Midstream Partners LP Common Shares (MMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.68	BankUnited Inc Common Shares (BKU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.69	Aerovironment, Inc. Common Shares - (AVAV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.70	ARRIS International PLC Common Shares (ARRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.71	Charles Riv Labs Intl Inc. Common Shares (CRL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.72	Crossamerica Partners LP Common Shares (CAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.73	Infrareit, Inc. Common Shares (HIFR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.74	Owens Corning Common Shares (OC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.75	Energy Transfer Partners, L.P. Common Shares (ETP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.76	Avery Dennison Corporation Common Shares (AVY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.77	Spirit Aerosystems Holdings Inc. Common Shares (SPR)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
62.78	Enbridge Energy Partners LP Common Shares (EEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.79	MPLX LP Common Shares (MPLX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.80	Tesoro Logistics LP Common Shares (TLLP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.81	Ciena Corporation Common Shares (CIEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.82	Ryder System Inc. Common Shares (R)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.83	Avis Budget Group, Inc. Common Shares (CAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.84	Macquarie Infrastructure Corp Common Shares (MIC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.85	Cypress Semiconductor Corporation Common Shares (CY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.86	Rambus Inc. Common Shares (RMBS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.87	Textron Inc. Del. Common Shares (TXT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.88	Huntington Bancshares Incorporated Common Shares (HBAN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.89	The Williams Companies, Inc. Common Shares (WMB)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
62.90	Williams Partners L.P. Common Shares (WPZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.91	Kinder Morgan Inc. Common Shares Class P (KMI)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
62.92	Cheniere Energy Inc. Common Shares (LNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.93	Acxiom Corp Common Shares (ACXM)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.94	Atlantic Power Corporation Common Shares (AT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.95	Communications Sales & Leasing Inc. Common Shares (CSAL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.96	Meritor Inc. Common Shares (MTOR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.97	Archrock Partners, L.P. Common Shares (APLP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.98	Clean Harbors Inc. Common Shares (CLH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.99	Twin Disc Incorporated Common Shares (TWIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.100	Valmont Industries Inc. Common Shares (VMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.101	Macom Technology Solutions Common Shares (MTSI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.102	Viavi Solutions, Inc. Common Shares (VIAV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.103	TCF Financial Corp Minn (TCB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.104	Brocade Communications Systems Common Shares (BRCD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
62.105	Formfactor Inc. Common Shares (FORM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.106	Teledyne Technologies Inc. Common Shares (TDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.107	Neustar Inc. Common Shares Class A (NSR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.108	Enlink Midstream Partners LP Common Shares (ENLK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62.109	Ultratech Inc. Common Shares (UTEK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.110	Ceva Inc. Common Shares (CEVA)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
62.111	Harsco Corporation Common Shares (HSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.112	Moneygram International, Inc. Common Shares (MGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.113	Haemonetics Corp Common Shares (HAE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.114	Targa Resources Corp. Common Shares (TRGP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
62.115	Veeco Instruments Inc. Common Shares (VECO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.116	Texas Capital Bancshares, Inc. Common Shares (TCBI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.117	Ormat Technologies, Inc. Common Shares (ORA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.118	Comerica Incorporated Common Shares (CMA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.119	Plains All American Pipeline L.P. Common Units (PAA)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
62.120	Energy Transfer Equity L.P. Common Units (ETE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
62.121	Rice Midstream Partners, LP Common Shares (RMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.122	Tivo Corp Common Shares (TIVO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.123	II-VI Inc. Common Shares (IIVI)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
62.124	Mercury Systems Inc. Common Shares (MRCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.125	McDermott International Common Shares (MDR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.126	Itron Inc. Common Shares (ITRI)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.127	Keyw Holding Corp Common Shares (KEYW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.128	Cliffs Natural Resources Inc. Common Shares (CLF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.129	U.S. trust checking account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.130	U.S. bank account #6 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
62.131	iShares S&P Index Fund (XSP), open position for written put option: 1,000 shares, strike \$209, exp: 3/2017	N/A			None (or less than \$201)
62.132	Affymetrix, Inc. Common Shares (AFFX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.133	Cadence Design Systems Inc Common Shares (CDNS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.134	Chemtura Corporation Common Shares (CHMT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.135	Convergys Corporation Common Shares (CVG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
62.136	Dolby Laboratories, Inc. Common Shares Class A (DLB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
62.137	Elizabeth Arden, Inc. Common Shares (RDEN)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.138	Gigamon Inc Common Shares (GIMO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.139	Heartware International, Inc. Common Shares (HTWR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.140	Irobot Corporation Common Shares (IRBT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.141	Lumentum Holdings Inc. Common Shares (LITE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.142	Manitowoc Foodservice, Inc. Common Shares (MFS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.143	Rudolph Technologies, Inc. Common Shares (RTEC)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.144	The Fresh Market, Inc. Common Shares (TFM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.145	Genesis Energy, L.P. Common Shares (GEL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
62.146	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.147	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.148	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.149	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.150	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.151	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.152	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.153	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.154	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.155	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.156	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.157	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.158	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
62.159	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.160	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
62.161	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
62.162	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.163	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.164	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
62.165	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
62.166	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.167	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
62.168	iShares S&P Index Fund (XSP), closed position for written put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
63	Family Trust # 13	See Endnote			
63.1	U.S. trust checking account #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
63.2	Old Westbury Large Cap Core Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
63.3	Old Westbury Large Cap Strategies Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
63.4	Old Westbury Municipal Bond Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
63.5	Old Westbury Small & Mid Cap Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63.6	Old Westbury Strategic Opportunities Fund		Yes	\$100,001 - \$250,000		None (or less than \$201)
63.7	Vanguard Tax-Exempt Money Market Fund (VMSXX)		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
63.8	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000		None (or less than \$201)
64	Family Trust #14	See Endnote				
64.1	John Hancock Life Insurance Co., Whole Life Policy #1		N/A	\$100,001 - \$250,000		None (or less than \$201)
64.2	John Hancock Life Insurance Co., Whole Life Policy #2		N/A	\$100,001 - \$250,000		None (or less than \$201)
64.3	New York Life Insurance Co., Whole Life Policy		N/A	\$100,001 - \$250,000		None (or less than \$201)
64.4	Manulife Financial Common Shares (MFC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
65	Family Trust #15	See Endnote				
65.1	Pacific Life Insurance Co., Universal Life Policy		N/A	\$15,001 - \$50,000		None (or less than \$201)
66	Family Trust #16	See Endnote				
66.1	WMB Holdings Inc. (incorporation, registered agent and other administrative services)	See Endnote	N/A	Over \$1,000,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank, NA	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2010	2.875	40
2	125 Broad Street Fund LLC	Capital Commitment	\$15,001 - \$50,000	2005	N/A	Life of Fund
3	125 Broad Street Fund LLC	Capital Commitment	\$250,001 - \$500,000	2013	N/A	Life of Fund

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
2.	1	Entry reflects partnership share for 2016 and 2017 received up to the date of filing.
2.	3.1	The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
2.	3.2	The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
2.	3.3	The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
2.	6	Includes filer's holdings in the Retirement Plan of Sullivan & Cromwell LLP and the Sullivan & Cromwell LLP Supplemental Retirement Plan.
2.	6.1	Income estimated from October 31, 2016 year-to-date amount (full-year amount not available).
2.	6.1.29	The underlying assets of this fund are reported as assets 3.1.1 - 3.1.15.
2.	6.1.30	The underlying assets of this fund are reported as assets 3.2.1 - 3.2.18.
2.	6.1.31	The underlying assets of this fund are reported as assets 3.3.1 - 3.3.16.

PART	#	ENDNOTE
2.	7	Entry reflects estimated undistributed partnership share for 2016 and 2017.
2.	8	Filer's monthly payment amount is fixed as of the exact date of his resignation from the Firm.
2.	9	Filer's monthly payment amount is fixed as of the exact date of his resignation from the Firm.
3.	1	Partnership share income received: \$7,623,900 received up to date of filing. Additional income expected: 500,000-\$1,000,000 estimated undistributed partnership share for 2016 and 2017. Reported on Part 2.
5.	2	Filer's spouse currently holds restricted stock units ("RSUs") that were granted to her as part of her compensation for fiscal years 2014, 2015, and 2016. Under the terms of the awards, stock underlying these awards is scheduled to be delivered in 2018-2020. A portion will be delivered in Restricted Shares. Transfer restrictions on the Restricted Shares generally remain in place for five years after the RSU grant. However, the award agreements applicable to these awards provide for accelerated settlement of the RSUs and lifting of the transfer restrictions on the Restricted Shares in certain circumstances, and filer's spouse expects that her awards will be subject to such treatment if filer is confirmed.
5.	3	Includes Restricted Shares associated with RSU awards that were granted to filer's spouse as part of her compensation for fiscal years 2013, 2014 and 2015. Transfer restrictions on the Restricted Shares generally remain in place for five years after the RSU grant. However, the award agreements applicable to these awards provide for lifting of the transfer restrictions on the Restricted Shares in certain circumstances, and filer's spouse expects that her Restricted Shares will be subject to such treatment if filer is confirmed.
5.	6	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	7	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	8	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	9	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	10	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	11	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.



PART	#	ENDNOTE
5.	12	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	13	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	14	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	15	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
5.	16	Interest in the fund is held jointly by filer and his spouse. The value and income reported for this asset represents a good faith estimate for the reporting period, based on estimated growth rates applied to the most recent figures available.
6.	16	After the date of filing, filer resigned as trustee and, subject to confirmation, permanently disclaimed any vested beneficial interest that he, his spouse or his dependent children had in this trust. Filer has not received any distributions from this trust.
6.	40	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest.
6.	45	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.

PART	#	ENDNOTE
6.	45.5	WMB Holdings, Inc., provides business, financial, and representational services. The following is a list of the services that WMB Holdings, Inc. provides in the United States and abroad: 1) Trust services provided through Delaware Trust Company, including serving as transfer agent, indenture trustee and securities registrar for defaulted and non-performing bonds, acting as a Trustee of statutory trusts, equipment finance trusts, liquidating trusts, real estate investment trusts, securitization trusts and other trusts and acting as escrow agent, administrative agent, collateral agent, disbursement agent, verification agent, litigation agent and private securities custodian; 2) Corporation Services, including service of process services, registered agent services, director services, corporate secretary services, incorporating services (including entity formation, qualification, and dissolution services), filing, monitoring, searching, retrieval and management of UCC forms, business licenses, certificates of good standing, annual reports and other documents, contract and special agency services, compliance support services, corporate health check services, corporate governance advisory services, global expansion services, international corporate services, entity management services (including online filing portal for Section 16 filings), and contract, litigation, matter and deal management services (including email integration services); 3) Solutions for special purpose entities and special purpose vehicles (including state passive investment companies), including corporate support, accounting and financial reporting, situs management, and corporate governance and compliance; 4) Compliance support services; 5) DBA management services; 6) e-billing solutions; 7) real estate & corporate transaction services; 8) UCC Secured Party Representation; 9) Real estate recording services; 10) Digital brand and online brand protection services, including domain name acquisition, registration, monitoring and enforcement (UDRP) services, new gTLD services, phishing protection services, social media services, trademark protection services and SSL digital certificates services; 11) Anti-counterfeiting services; 12) Secure data storage; 13) Nexus/situs services; 14) Foreign merger and acquisition services; 15) Tax compliance and filing support services and related software services; 16) Motor vehicle titling and registration services.
6.	46	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	46.5	See Endnote to asset 45.5 for detailed description.
6.	47	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	47.5	See Endnote to asset 45.5 for detailed description.
6.	48	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	48.14	See Endnote to asset 45.5 for detailed description.
6.	49	See Endnote to asset 45.5 for detailed description. Held by filer's spouse. Pursuant to a 2006 marital agreement, filer unconditionally disclaimed and agreed not to assert any right to or interest in this asset or any of the trusts reported as assets 45, 46, 47, 48, 57, 58, 59, 60, 61, 62, 63, 64, 65 and 66. Filer's spouse and children are beneficiaries of these trusts. To date, filer's spouse and children have not received any distributions from these trusts.
6.	53	Valued at cost (market value not readily ascertainable). The purchase of this asset was made in two steps, in August 2014 and March 2015.

PART	#	ENDNOTE
6.	54	Valued at cost (market value not readily ascertainable). The purchase of this asset was made in two steps, in January 2014 and October 2015.
6.	57	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	57.3	See Endnote to asset 45.5 for detailed description.
6.	58	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	58.5	See Endnote to asset 45.5 for detailed description.
6.	59	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	59.3	See Endnote to asset 45.5 for detailed description.
6.	60	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	60.5	See Endnote to asset 45.5 for detailed description.
6.	61	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	61.5	See Endnote to asset 45.5 for detailed description.
6.	62	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	62.1	See Endnote to asset 45.5 for detailed description.
6.	63	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	63.8	See Endnote to asset 45.5 for detailed description.
6.	64	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	65	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	66	Filer has no beneficial interest or control over the trust. The filer's spouse and/or dependent children have a beneficial interest. See Endnote to asset 49.
6.	66.1	See Endnote to asset 45.5 for detailed description.

# 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.

## 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.

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

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