

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Ross, Wilbur L**

Secretary, Department of Commerce

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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 Commerce, Science, and Transportation**
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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/ Ross, Wilbur L [electronically signed on 12/19/2016 by Ross, Wilbur L 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/ Maggi, David, Certifying Official [electronically signed on 01/15/2017 by Maggi, David in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Shaub, Walter M, Certifying Official [electronically signed on 01/15/2017 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	Palm Beach Preservation Foundation	See Endnote	Palm Beach, Florida	Non-Profit	Trustee	1/2010	Present
2	Harvard Business School Club of New York	See Endnote	New York, New York	Social Club	Director	1/2011	Present
3	The Partnership for New York City	See Endnote	New York, New York	Non-Profit	Member of the Executive Committee	1/2010	Present
4	WL Ross and Co. LLC		Wilmington, Delaware	Limited Liability Company	Chairman/Chief Strategy Officer	10/1997	Present
5	Sun National Bank		Vineland, New Jersey	Bank	Director	9/2010	Present
6	Nexeo Solutions		The Woodlands, Texas	Chemicals/Plastics Distribution	Chairman	3/2014	Present
7	BankUnited FSB, BankUnited, Inc.		Miami Lakes, Florida	Banks	Director	5/2009	3/2014
8	First Michigan Bank/Talmer Bancorp		Troy, Michigan	Bank	Director	4/2010	11/2014
9	WLR China Energy Associates, Ltd.		Cayman Islands, Outside U.S.	Investment Management	Director	12/2008	Present
10	INVESCO WLR Private Equity Investment Management, Ltd.		Hong Kong, Outside U.S.	Investments	Director	6/2008	Present
11	Invesco Private Capital, Inc.		Palo Alto, California	Investment Management	Director	10/2006	Present
12	ArcelorMittal		Luxembourg, Outside U.S.	Steel	Director	5/2008	Present
13	Assured Guaranty		Bermuda, Outside U.S.	Insurance	Director	5/2008	11/2014
14	Huaneng Invesco WLR Investment Consulting Company Ltd.		China, Outside U.S.	Investment Management	Director	9/2008	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
15	International Automotive Group North America (Inc., LLC, and Holdings, Inc.)	See Endnote	Southfield, Michigan	Auto parts	Chairman and Director	1/2006	11/2014
16	International Automotive Group GmbH	See Endnote	Krefeld, Outside U.S.	Auto parts	Chairman and Director	1/2006	11/2014
17	International Textile Group	See Endnote	Greensboro, South Carolina	Textiles	Non-Executive Director	1/2005	11/2014
18	Invesco WLR Limited		Hong Kong, Outside U.S.	Investment Management	Director	6/2008	Present
19	PLASCAR		Brazil, Outside U.S.	Auto parts	Director	3/2008	1/2014
20	Invesco Private Capital Investments, Inc.		Palo Alto, California	Investment Management	Director	10/2006	Present
21	WL Ross & Co. (India) LLC		Wilmington, Delaware	Limited Liability Company	Director	7/2006	Present
22	Absolute Recovery Hedge Fund, Ltd.; Absolute Recovery Master Fund Ltd.		Bermuda, Outside U.S.	Investment Management	Director	5/2001	Present
23	Ohizumi Manufacturing		Sayama-shi, Outside U.S.	Air Conditioner parts	Director	6/2010	4/2015
24	WLR/GS (India) Limited		Mauritius, Outside U.S.	Investment Management	Director	8/2008	10/2015
25	Ross Expansion FLP, LP		New York, New York	Limited Partnership	General Partner	12/2005	Present
26	WLR Master Co-Investment SLP GP, Ltd.		New York, New York	General Partner	Director/Chairman	8/2011	Present
27	The Japan Society, Inc.		New York, New York	Non-Profit	Director/Chairman	2/2005	Present
28	Diamond S Shipping LLC	See Endnote	New York, New York	Shipping Management	Chairman	1/2011	Present
29	Briarcliff Condominium Apartment Building	See Endnote	New York, New York	Non-Profit	Director	1/2007	Present
30	El Vedado LLC		West Palm Beach, Florida	Limited Liability Company	Sole Member	12/2005	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
31	Exco Resources	See Endnote	Dallas, Texas	Corporation	Independent Director	1/2012	Present
32	Sun BanCorp		Mount Laurel, New Jersey	Bank	Director	9/2009	Present
33	Bank of Cyprus		Strovolos, Outside U.S.	Bank	Director/Vice Chairman	11/2014	Present
34	American Friends of the Rene Magritte Museum	See Endnote	New York, New York	Non-Profit	President	1/2014	Present
35	Musee des Arts Decoratifs	See Endnote	Paris, Outside U.S.	Non-Profit	International Counsel Member	1/2014	Present
36	British American Business, Inc.	See Endnote	New York, New York	Business Network	International Advisory Board Director	1/2010	Present
37	Diamond S Shipping Group, Inc.	See Endnote	Greenwich, Connecticut	Shipping Services	Non-Executive Chairman	1/2011	Present
38	Governor and Company of the Bank of Ireland		Dublin, Outside U.S.	Bank	Director	6/2012	6/2014
39	NBNK Investments PLC		London, Outside U.S.	Bank	Director/Chairman	1/2013	11/2014
40	PB Materials Holdings, Inc.		Odessa, Texas	Corporation	Director	10/2013	11/2014
41	Navigator Holdings Ltd.	See Endnote	London, Outside U.S.	Shipping	Director/Chairman	1/2012	11/2014
42	Ocwen Financial Corp.		Atlanta, Georgia	Mortgage Servicing	Director	3/2013	11/2014
43	International Automotive Group Japan, LLC	See Endnote	Yokohama, Outside U.S.	Auto Parts	Director/Chairman	1/2006	11/2014
44	International Automotive Components Group, S.A.	See Endnote	Luxembourg, Outside U.S.	Auto parts	Non-Executive Chairman	1/2006	11/2014
45	IACNA International, Inc.		Wilmington, Delaware	Corporation	Director	6/2008	11/2014
46	Harvard Business School, Dean's Advisory Board	See Endnote	Cambridge, Massachusetts	Non-Profit	Director	1/2012	1/2015

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
47	India Asset Recovery Fund Limited		Mauritius, Outside U.S.	Investment Management	Director	7/2006	Present
48	Palm Beach Retirement Funds	See Endnote	Palm Beach, Florida	Pension Plan for public Servants	Trustee	1/2010	Present
49	Brookings Economic Studies Council	See Endnote	Washington, District of Columbia	Non-Profit	Director/Chairman	1/2012	Present
50	DSS Holdings LP	See Endnote	Greenwich, Connecticut	Shipping	Director/Chairman	1/2011	Present
51	IAC Asia Holdings, Inc.		Wilmington, Delaware	Auto parts	Director	5/2007	11/2014
52	IACNA Korea, Inc.		Wilmington, Delaware	Auto parts	Director	10/2010	11/2014
53	IAC Mexico Holdings, Inc.		Wilmington, Delaware	Auto parts	Director	5/2007	11/2014
54	IAC Spartanburg, Inc.		Wilmington, Delaware	Auto parts	Director	2/2010	11/2014
55	IAC U.S. Holdings, Inc.		Wilmington, Delaware	Auto parts	Director	5/2007	11/2014
56	Ross Expansion GP LLC		Wilmington, Delaware	Limited Liability Company	Sole Member	4/2004	Present
57	Absolute Recovery Capital Partners, LLC		Wilmington, Delaware	Limited Liability Company	Managing Member	5/2011	Present
58	Blenheim Foundation USA		Palm Beach, Florida	Non-Profit	Trustee	1/2008	Present
59	Invesco Ltd.		Atlanta, Georgia	Corporation	CEO -- Private Equity Groups	10/2006	Present
60	Brookings Institution	See Endnote	Washington, District of Columbia	Non-Profit	Trustee	1/2013	Present
61	Palm Beach Civic Association	See Endnote	Palm Beach, Florida	Non-Profit	Director	1/2010	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
62	Permalí do Brasil Industria e Comercio Ltda		Brazil, Outside U.S.	Investments	Director	3/2008	1/2014
63	1116 South Main Street, LLC	See Endnote	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2003	Present
64	781 Fifth Ave. LLC	See Endnote	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2003	Present
65	Euro Wagon Ltd.		George Town, Outside U.S.	Corporation	Director	2/2011	Present
66	Euro Wagon II Ltd.		George Town, Outside U.S.	Corporation	Director	2/2011	Present
67	WLR Euro Wagon Management Ltd. (Jersey)		St Helier, Outside U.S.	Corporation	Director	9/2005	Present
68	WL Ross Group (Cayman) Ltd.		Cayman Islands, Outside U.S.	Corporation	Director	2/2011	Present
69	India Asset Recovery GP Ltd.		Cayman Islands, Outside U.S.	Corporation	Director	7/2006	Present
70	WLR Select Associates DSS GP, Ltd.		Cayman Islands, Outside U.S.	Corporation	Director	12/2010	Present
71	WLR IV Loans AIV Feeder (Cayman), Ltd.		Cayman Islands, Outside U.S.	Corporation	Director	10/2009	Present
72	WLR Recovery Associates IV DSS AIV GP, Ltd. (Cayman)		Cayman Islands, Outside U.S.	Corporation	Director	11/2007	Present
73	WLR Recovery Associates V DSS AIV GP, Ltd. (Cayman)		Cayman Islands, Outside U.S.	Corporation	Director	9/2011	Present
74	Starboard GP Ltd. (Cayman)		New York, New York	Corporation	Director	11/2013	Present
75	WLR Cardinal Associates Ltd.		New York, New York	Corporation	Director	5/2015	Present
76	India Asset Recovery Associates LLC		Wilmington, Delaware	Limited Liability Company	Managing Member	2/2006	Present
77	WLR Recovery Associates II LLC		Wilmington, Delaware	Limited Liability Company	Managing Member	2/2002	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
78	Starboard WLR Associates L.P.	New York, New York	Limited Partnership	Principal Partner	11/2013	Present
79	WLR-SC Financing Conduit LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2013	Present
80	Ross CG GP LLC	Wilmington, Delaware	Limited Liability Company	Sole Member	5/2003	Present
81	WLR IMRF II Associates LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	4/2016	Present
82	WLR Nanotechnology GP LLC	Wilmington, Delaware	Limited Liability Company	Managing Member	1/2006	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Invesco				
1.1	Invesco Group Services	N/A		Base Salary	\$2,000,000
1.2	Invesco Group Services	N/A		Bonus	\$2,244,000
1.3	Invesco 401k Plan	See Endnote	No		None (or less than \$201)
1.3.1	Invesco Developing Markets R6	Yes	None (or less than \$1,001)		
1.3.2	Invesco Core Plus Fixed Income	Yes	\$15,001 - \$50,000		
1.3.3	SSgA U.S. Bond Index Non-Lending Series Fund Class C	Yes	\$15,001 - \$50,000		
1.3.4	SSgA Inflation Protected Bond Index Fund	Yes	\$15,001 - \$50,000		
1.4	Invesco Ltd. stock	N/A	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	Invesco Ltd. restricted stock (unvested)	See Endnote	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
1.6	Invesco Group Services, anticipated bonus		N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
2	ArcelorMittal		N/A		Director Fee	\$107,567
3	Air Lease Corporation		N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$1,001 - \$2,500
4	BankUnited, Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Exco (vested shares)		N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Exco (unvested shares)		N/A	\$100,001 - \$250,000		None (or less than \$201)
7	Ocwen Financial Corporation		N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Sun Bancorp, Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
9	El Vedado, LLC	See Endnote	No			
9.1	WL Ross Group, L.P.	See Endnote	No			
10	WL Ross Group, L.P.	See Endnote	No			
10.1	WLR Recovery Associates IV LLC	See Endnote	No	\$5,000,001 - \$25,000,000	Capital Gains Dividends	\$100,001 - \$1,000,000
10.1.1	WLR Recovery Fund IV, L.P. -- Carried Interest	See Endnote	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
10.1.2	WLR Recovery Fund IV, L.P.		No			
10.1.2.1	International Textile Group (textiles) (no longer held)		N/A			
10.1.2.2	WLR - Greenbrier Rail Inc. (railroads) (no longer held)		N/A			
10.1.2.3	Sun Bancorp. Inc.		N/A			



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.2. 4	Cascade Bancorp	N/A			
10.1.2. 5	Amalgamated Bank (banking)	N/A			
10.1.3	WLR Recovery Fund IV XCO Feeder I, L.P.	No			
10.1.3. 1	WLR Recovery Fund IV XCO AIV I, L.P.	No			
10.1.3. 1.1	EXCO Resources, Inc.	N/A			
10.1.4	WLR Recovery Fund IV XCO Feeder II, L.P.	No			
10.1.4. 1	WLR Recovery Fund IV XCO AIV II, L.P.	No			
10.1.4. 1.1	EXCO Resources, Inc.	N/A			
10.1.5	WLR Recovery Fund IV XCO Feeder III, L.P.	No			
10.1.5. 1	WLR Recovery Fund IV XCO AIV III, L.P.	No			
10.1.5. 1.1	EXCO Resources, Inc.	N/A			
10.1.6	WLR IV RRH AIV, L.P.	No			
10.1.6. 1	Cantor Commercial Real Estate Company (real estate financing)	N/A			
10.1.7	WLR IV RRH Blocked AIV, L.P.	No			
10.1.7. 1	Cantor Commercial Real Estate Company (real estate financing)	N/A			
10.1.8	WLR IV PPIP AIV, L.P.	No			
10.1.8. 1	Invesco Mortgage Recovery Master Fund, L.P.	No			
10.1.8. 1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.9	WLR IV PPIP AIV Feeder, L.P.	No			
10.1.9.1	WLR IV PPIP AIV, L.P. See Endnote	No			
10.1.10	WLR IV Loans AIV Feeder, L.P. (Delaware)	No			
10.1.10.1	WLR IV Loans AIV, L.P.	No			
10.1.10.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	No			
10.1.10.1.1.1	WLR LeFrak Northwest LLC (real estate loans)	N/A			
10.1.10.1.1.2	IMRF Hotel Fifth Street Member LLC (real estate loans)	N/A			
10.1.10.1.1.3	Park Place Apollo Investor LLC (real estate loans)	N/A			
10.1.10.1.1.4	Market Square Member LLC (real estate loans)	N/A			
10.1.10.1.1.5	Indiana Retail Member LLC (real estate loans)	N/A			
10.1.10.1.1.6	Colfin Milestone North Funding LLC (commercial real estate loans)	N/A			
10.1.10.1.1.7	IMRF Hotel Member LLC (real estate loans)	N/A			
10.1.10.1.1.8	IMRF Watchtower Member LLC (real estate loans)	N/A			
10.1.10.1.1.9	Shackelford Crossings Member LLC (real estate loans)	N/A			
10.1.10.1.1.10	IMRF Industrial Member LLC (real estate loans)	N/A			
10.1.11	WLR IV Loans AIV Feeder, (Cayman) L.P.	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.1 1.1	WLR IV Loans AIV, L.P.	See Endnote	No			
10.1.1 2	WLR IV Loans AIV, L.P.	See Endnote	No			
10.2	WLR Mezzanine Associates, LLC	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
10.2.1	WLR Mezzanine Splitter, L.P. (Cayman)		No			
10.2.1. 1	WLR Cardinal Associates Ltd.		No			
10.2.1. 1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)		No			
10.2.1. 1.1.1	Dwyer Nolan: Elmfield Property Holdings, Ltd. Tranche A (real estate loans)		N/A			
10.2.1. 1.1.2	Hennebry, O'Toole, Exmonde Partnership (real estate loans)		N/A			
10.2.1. 1.1.3	Henciti Limited (real estate loans)		N/A			
10.2.1. 1.1.4	Genesis Homes (Mungret) Limited (real estate loans)		N/A			
10.2.1. 1.1.5	Charlemont Regene (real estate loans)		N/A			
10.2.1. 1.1.6	Chirita Limited (real estate loans)		N/A			
10.2.1. 1.1.7	Kitty Developments Limited (real estate loans)		N/A			
10.2.1. 1.1.8	Newpark Developments Limited (real estate loans)		N/A			
10.2.1. 1.1.9	RGRE Ballsbridge Devco No. 3 (real estate loans)		N/A			
10.2.1. 1.1.10	Chalon Finance DAC (real estate loans)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2.2	WLR Cardinal Mezzanine Fund L.P. (Cayman) -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.3	Absolute Recovery Capital Partners LLC	See Endnote	No	\$250,001 - \$500,000	Capital Gains	\$5,001 - \$15,000
10.3.1	Absolute Recovery Hedge Fund Ltd. (Cayman)		No			
10.3.1.1	Absolute Recovery Master Fund Ltd.	See Endnote	N/A			
10.3.2	Absolute Recovery Hedge Fund L.P.	See Endnote	N/A			
10.4	WLR Recovery Associates LLC (cash)	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
10.5	WL Ross Sponsor LLC		No	\$5,000,001 - \$25,000,000		None (or less than \$201)
10.5.1	Nexeo Solutions, stock		N/A			
10.6	WLR Conduit MM LLC	See Endnote	No	\$500,001 - \$1,000,000	Capital Gains Dividends	\$100,001 - \$1,000,000
10.6.1	WLR-SC Financing Conduit LLC		No			
10.6.1.1	Resolution Recovery Partners LP (real estate)		N/A			
10.6.1.2	Transportation Recovery Fund, L.P.		No			
10.6.1.2.1	WLR/TRF Shipping GP Ltd.		No			
10.6.1.2.1.1	WLR/TRF Shipping LP (Cayman)		No			
10.6.1.2.1.1.1	WLR/TRF Shipping S.a r.l.	See Endnote	No			
10.6.1.2.2	WLR/TRF Shipping LP (Cayman)	See Endnote	No			
10.6.1.2.3	WLR/TRF Shipping II GP Ltd.		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.6.1. 2.3.1	WLR/TRF Shipping II LP (Cayman)		No			
10.6.1. 2.3.1.1	WLR/TRF Shipping II S.a r.l.	See Endnote	No			
10.6.1. 2.4	WLR/TRF Shipping II LP (Cayman)	See Endnote	No			
10.6.1. 3	American Energy - Permian Basin LLC, bonds		N/A			
10.6.1. 4	Comstock Resources, Inc., warrants		N/A			
10.6.1. 5	Energen Corp.		N/A			
10.6.1. 6	Laredo Petroleum Inc.		N/A			
10.6.1. 7	Northern Oil and Gas Inc.		N/A			
10.6.1. 8	New Penn Financial LLC (mortgage financing)		N/A			
10.6.1. 9	QEP Resources Inc.		N/A			
10.6.1. 10	Breitburn Energy Partners, bonds		N/A			
10.6.1. 11	Rex Energy Corp.		N/A			
10.6.1. 12	WPX Energy Inc.		N/A			
10.6.1. 13	Comstock Resources, equity		N/A			
10.6.1. 14	Shellpoint Partners LLC (mortgage lending)		N/A			
10.6.1. 15	Cantor Commercial Real Estate Company (real estate financing)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.6.1. 16	Situs Holdings, LLC (commercial mortgage servicing)		N/A			
10.6.2	Approach Resources, Inc., bonds		N/A			
10.6.3	Lightstream Resources, bonds		N/A			
10.6.4	WLR Conduit MM LLC -- Carried interest	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
10.7	WLR Recovery Associates V LLC	See Endnote	No	\$1,000,001 - \$5,000,000	Dividends Capital Gains	\$1,000,001 - \$5,000,000
10.7.1	WLR V RRH Blocked AIV, L.P.		No			
10.7.1. 1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
10.7.2	WLR V RRH AIV, L.P.		No			
10.7.2. 1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
10.7.3	WLR V RRH Feeder AIV LLC		No			
10.7.3. 1	WLR V RRH Blocked AIV, L.P.		No			
10.7.3. 1.1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
10.7.4	WLR Recovery Fund V Mezzanine AIV Blocker, L.P.		No			
10.7.4. 1	WLR Recovery Fund V Mezzanine AIV, L.P.		No			
10.7.4. 1.1	WLR Recovery Fund V Mezzanine Holdings LLC		No			
10.7.4. 1.1.1	WLR Cardinal Associates Ltd.		No			
10.7.4. 1.1.1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
10.7.4. 1.1.2	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7.5	WLR Recovery Fund V Mezzanine AIV, L.P.		No			
10.7.5.1	WLR Recovery Fund V Mezzanine Holdings LLC	See Endnote	No			
10.7.6	WLR Recovery Fund V, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.7.7	WLR V RRH Blocked AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.7.8	WLR V RRH AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.7.9	WLR Recovery Fund V, L.P.		No			
10.7.9.1	Virgin Money (banking) (no longer held)		N/A			
10.7.9.2	Amalgamated Bank (banking)		N/A			
10.7.9.3	NBNK Investments PLC (investments) (no longer held)		N/A			
10.7.9.4	CCRE/Berkeley Point Financial LLC (real estate)		N/A			
10.7.9.5	Bank of Cyprus (banking)		N/A			
10.7.9.6	PB Materials Holdings, Inc. (construction)		N/A			
10.7.9.7	Carbures Inc. (nano carbon fiber manufacturing)		N/A			
10.7.9.8	DSS Holdings, L.P. (transoceanic shipping)		N/A			
10.7.9.9	American Energy - Permian Basin LLC, bonds		N/A			
10.7.9.10	Approach Resources, Inc., bonds		N/A			
10.7.9.11	Breitburn Energy Partners, bonds		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7.9. 12	Comstock Resources Inc., warrants		N/A			
10.7.9. 13	Lightstream Resources, bonds		N/A			
10.7.9. 14	WLR Eurobank Investment, L.P.		No			
10.7.9. 14.1	Eurobank Ergasias SA (banking)		N/A			
10.8	WLR Select Associates LLC	See Endnote	No	\$15,001 - \$50,000	Dividends Interest	\$201 - \$1,000
10.8.1	WLR Select Co-Investment XCO AIV, L.P.		No			
10.8.1. 1	Exco Resources, Inc.		N/A			
10.8.2	WLR Select Co-Investment XCO AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.9	WL Ross Group (Cayman), Ltd.		No			
10.9.1	WLR China Energy CV, L.P.		No			
10.9.1. 1	WLR China Energy Associates, Ltd.		No			
10.9.1. 1.1	WLR China Energy Infrastructure Fund, L.P. - - Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.9.1. 1.2	WLR China Energy Infrastructure Fund, L.P.		No			None (or less than \$201)
10.9.1. 1.2.1	Longmen Group Limited (natural gas)		N/A	\$1,001 - \$15,000		
10.9.1. 1.2.2	Organica Water Inc. (wastewater infrastructure)		N/A	\$1,001 - \$15,000		
10.9.1. 1.2.3	Phononic Devices, Inc. (consumer products manufacturing)		N/A	\$15,001 - \$50,000		



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.9.1. 1.2.4	SinoTech Power Group Holding (solar power)	N/A	\$15,001 - \$50,000		
10.9.1. 1.2.5	Huaneng Renewables Corp., Ltd. (energy)	N/A	\$15,001 - \$50,000		
10.9.1. 1.2.6	ChargePoint, Inc. (electric vehicle charging)	N/A	\$1,001 - \$15,000		
10.10	WLR Recovery Associates II, LLC	No			
10.10. 1	WLR Recovery Fund II, L.P. -- Carried Interest See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
10.11	WLR Recovery Associates III, LLC	No			None (or less than \$201)
10.11. 1	WLR Recovery Fund III, L.P. -- Carried Interest (value not readily ascertainable) See Endnote	N/A			None (or less than \$201)
10.12	WLR IMRF II Associates LLC See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
10.12. 1	Invesco Mortgage Recovery Master Associates II, LLC	No			
10.12. 1.1	Invesco Mortgage Recovery Fund II, L.P.	No			
10.12. 1.1.1	Invesco Mortgage Recovery Fund II U.S. HoldCo, L.P.	No			
10.12. 1.1.1.1	Invesco Mortgage Recovery Fund II ITAL HoldCo, L.P.	No			
10.12. 1.1.1.1 .1	ITAL SCSP (Luxembourg)	No			
10.12. 1.1.1.1 .1.1	Spiga (real estate loans)	N/A			
10.12. 1.1.1.2	Generator (real estate loans)	N/A			
10.12. 1.1.1.3	Ames Hotel (real estate loans)	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.12. 1.1.1.4	Bayside Square (real estate loans)		N/A			
10.12. 1.1.1.5	Luhrs City Center (real estate loans)		N/A			
10.12. 1.1.1.6	Crown Heights (real estate loans)		N/A			
10.12. 1.1.1.7	5801 Christie Avenue (real estate loans)		N/A			
10.12. 1.1.1.8	Sareb Loan Portfolio (real estate loans)		N/A			
10.12. 1.2	Invesco Mortgage Recovery Fund II U.S. HoldCo, L.P.	See Endnote	No			
10.12. 1.3	Invesco Mortgage Recovery Fund II ESC, L.P.		No			
10.12. 1.3.1	Invesco Mortgage Recovery Fund II U.S. HoldCo, L.P.	See Endnote	No			
10.12. 1.3.2	IMRF II HoldCo S.a r.l. (Luxembourg)		No			
10.12. 1.3.2.1	102 Champs-Elysees (real estate loans)		N/A			
10.12. 1.3.2.2	Frascati (real estate loans)		N/A			
10.12. 1.3.2.3	Gregorio Benetiz (real estate loans)		N/A			
10.12. 1.4	Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P.		No			
10.12. 1.4.1	Invesco Mortgage Recovery Fund II ITAL HoldCo, L.P.	See Endnote	No			
10.12. 1.5	Invesco Mortgage Recovery Fund II Feeder, LLC		No			
10.12. 1.6	Invesco Mortgage Recovery Fund II, L.P. -- carried interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.12.1.7	Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P. -- carried interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.13	WLR Master Co-Investment SLP Associates L.P. (Cayman)		No			
10.13.1	WLR/GS Master Co-Investment L.P. (Cayman) -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
10.14	WLR Recovery Associates IV DSS AIV, L.P. (value not readily ascertainable)	See Endnote	No			None (or less than \$201)
10.14.1	WLR Recovery Fund IV DSS AIV, L.P. (Cayman)		No			
10.14.1.1	DSS Holdings LP Class A (transoceanic shipping)		N/A			
10.14.1.2	DSS Holdings LP Class B (transoceanic shipping)		N/A			
10.14.1.3	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
10.14.1.4	DSS Holdings GP Ltd. (transoceanic shipping)		N/A			
10.15	WLR Recovery Associates V DSS AIV, L.P.	See Endnote	No	\$1,000,001 - \$5,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
10.15.1	WLR Recovery Fund V DSS AIV, L.P.		No			
10.15.1.1	WLR/TRF Shipping LP (Cayman)	See Endnote	No			
10.15.1.2	WLR/TRF Shipping II LP (Cayman)	See Endnote	No			
10.15.1.3	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
10.15.1.4	DSS Holdings, L.P. (transoceanic shipping)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.16	WLR Select Associates DSS, L.P.	See Endnote	No	\$50,001 - \$100,000	Dividends Interest Capital Gains	\$1,001 - \$2,500
11	WLR Recovery Associates V DSS AIV GP, Ltd.		No			
11.1	WLR Recovery Associates V DSS AIV, L.P.	See Endnote	No			
11.1.1	WLR Recovery Fund V DSS AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
12	WLR/IVZ Mortgage Recovery Associates LLC	See Endnote	No	\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
12.1	Invesco Mortgage Recovery Master Associates LLC		No			
12.1.1	Invesco Mortgage Recovery Offshore Feeder Fund, L.P.		No			
12.1.1.1	Invesco Mortgage Recovery Feeder Fund, L.P.		No			
12.1.1.1.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.1.1.1.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.2	Invesco Mortgage Recovery Feeder Fund, L.P.		No			
12.1.2.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.1.2.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.3	Invesco Legacy Securities Offshore Feeder Fund, L.P.		No			
12.1.3.1	Invesco Legacy Securities Feeder Fund, L.P.		No			
12.1.3.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.1.4	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.1.4.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.5	Invesco Legacy Securities Feeder Fund, L.P.		No			
12.1.5.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.6	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.1.7	Invesco Recovery Loans Feeder Fund, L.P. (DE)		No			
12.1.7.1	Invesco Mortgage Recovery Loans AIV, L.P.		No			
12.1.7.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.1.8	Invesco Mortgage Recovery Loans Feeder Fund, L.P. (Cayman)		No			
12.1.8.1	Invesco Mortgage Recovery Loans AIV, L.P.		No			
12.1.8.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.1.9	Invesco Mortgage Recovery Loans AIV, L.P.		No			
12.1.9.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.1.10	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.2	WLR IV PPIP Co-Invest Offshore Feeder Fund, L.P.		No			
12.2.1	WLR IV PPIP Co-Invest, L.P.		No			
12.2.1.1	Invesco Mortgage Recovery Master Fund, L.P.		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.2.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.3	WLR IV PPIP Co-Invest, L.P.		No			
12.3.1	Invesco Mortgage Recovery Master Fund, L.P.		No			
12.3.1.1	Invesco Legacy Securities Master Fund, L.P.	See Endnote	N/A			
12.4	WLR IV PPIP Coinvest Loans Feeder Fund, L.P. (DE)		No			
12.4.1	WLR IV PPIP Co-Invest Loans AIV, L.P.		No			
12.4.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.5	WLR IV PPIP Coinvest Loans Feeder Fund (Cayman), L.P.		No			
12.5.1	WLR IV PPIP Co-Invest Loans AIV, L.P.		No			
12.5.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.6	WLR Whole Loan Fund, L.P.		No			
12.6.1	WLR LeFrak (Northwest) LLC (real estate loans)		N/A			
12.6.2	Market Square Member LLC (real estate loans)		N/A			
12.6.3	Indiana Retail Member LLC (real estate loans)		N/A			
12.6.4	Shackleford Crossings Member LLC (real estate loan)		N/A			
12.6.5	Colfin Milestone North Funding LLC (real estate loan)		N/A			
12.6.6	IMRF Hotel Member LLC (real estate loan)		N/A			
12.6.7	Park Place Apollo Investor LLC (real estate loan)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.6.8	IMRF Watchtower Member LLC (real estate loan)		N/A			
12.6.9	IMRF Industrial Member LLC (real estate loan)		N/A			
12.7	WLR IV PPIP Co-Invest Loans AIV, L.P.		No			
12.7.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	See Endnote	No			
12.8	WLR/IVZ Mortgage Recovery Associates LLC -- Carried Interest	See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
13	Starboard GP Ltd.	See Endnote	No	\$50,001 - \$100,000	Dividends	\$50,001 - \$100,000
13.1	Starboard Recovery Associates, L.P.		No			
13.1.1	WLR Navig8 Co-Investment, L.P.		No			
13.1.1.1	WLR/TRF Shipping S.a. r.l.	See Endnote	No			
13.2	Transportation Recovery Fund, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
14	IRA - Traditional		No			
14.1	WLR Recovery Associates, II LLC		No	\$250,001 - \$500,000	Dividends	\$100,001 - \$1,000,000
14.1.1	WLR Recovery Fund II, L.P.		No			
14.1.1.1	International Textile Group (textiles) (no longer held)		N/A			
14.1.1.2	WLR Cone Mills Surplus Assets LLC (textiles) (no longer held)		N/A			
14.1.1.3	Ohizumi Mfg Co Ltd. (electronics, Japan) (no longer held)		N/A			
14.1.1.4	Nano-Tex LLC (textiles) (no longer held)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.1.1.5	IAC Group North America LLC (automotive parts)	N/A			
14.1.1.6	IAC Group Brazil LLC (automotive parts)	N/A			
14.2	WLR Recovery Associates III, LLC	No	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
14.2.1	WLR Recovery Fund III, L.P.	No			
14.2.1.1	International Textile Group (textiles) (no longer held)	N/A			
14.2.1.2	IAC Group North America LLC (automotive parts)	N/A			
14.2.1.3	IAC Group Brazil LLC (automotive parts)	N/A			
14.2.1.4	OCM India Limited (textiles) (no longer held)	N/A			
14.3	WLR Recovery Associates IV, LLC	See Endnote	No	\$50,001 - \$100,000	None (or less than \$201)
14.4	U.S. brokerage/investment account (cash)	N/A	No	\$100,001 - \$250,000	None (or less than \$201)
14.5	WLR Recovery Associates IV DSS AIV GP, Ltd. (Cayman)	See Endnote	No	\$50,001 - \$100,000	None (or less than \$201)
14.5.1	WLR Recovery Associates IV DSS AIV, L.P.	See Endnote	No		
14.6	UBS AG Deposit Account (cash)	N/A	No	\$500,001 - \$1,000,000	None (or less than \$201)
15	IRA - Roth	N/A	No	Interest Dividends	\$5,001 - \$15,000
15.1	Aperam NY Reg.	N/A	No	\$100,001 - \$250,000	
15.2	ArcelorMittal SA NY Reg.	N/A	No	\$250,001 - \$500,000	
15.3	U.S. brokerage/investment account (cash)	N/A	No	\$100,001 - \$250,000	



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.4	UBS AG Deposit Account		N/A	\$1,000,001 - \$5,000,000		
16	India Asset Recovery Associates LLC	See Endnote	No	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
16.1	India Asset Recovery GP Ltd. (Cayman)		No			
16.1.1	India Asset Recovery Fund LP -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
16.1.2	India Asset Recovery Fund LP		No			
16.1.2.1	India Asset Recovery Fund Limited		No			
16.1.2.1.1	OCM India Limited (textiles)		N/A			
17	Ross CG GP LLC		No			
17.1	Ross CG Associates, LP		No	\$1,000,001 - \$5,000,000	Capital Gains Dividends	Over \$5,000,000
17.1.1	Taiyo Pearl GP, L.P.		No			
17.1.1.1	Taiyo Pearl Delaware Fund, L.P.		No			
17.1.1.1.1	Taiyo Pearl Master Fund, L.P.		No			
17.1.1.1.1.1	Nifco Inc. (plastics)		N/A			
17.1.1.1.1.2	J Trust Co. Ltd. (financial services; real estate)		N/A			
17.1.1.1.1.3	Matsui Securities Co. Ltd. (financial services)		N/A			
17.1.1.1.1.4	Topcon Corp. (positioning instruments)		N/A			
17.1.1.1.1.5	Ulvac Inc. (machinery)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1.1.1.1.6	Disco Corp. (precision tools)		N/A			
17.1.1.1.1.7	Horiba Ltd. (precision instruments)		N/A			
17.1.1.1.1.8	Peptidream Inc. (pharmaceuticals, Japan)		N/A			
17.1.1.1.1.9	Nissha Printing Co. Ltd. (Manufacturing, electronics, and medical devices, Japan)		N/A			
17.1.1.1.1.10	Miraca Holdings Inc. (healthcare)		N/A			
17.1.1.1.1.11	CyberAgent, Inc. (internet business)		N/A			
17.1.1.2	Taiyo Pearl Fund, L.P.		No			
17.1.1.2.1	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
17.1.1.3	Taiyo Pearl Fund, Ltd.		No			
17.1.1.3.1	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
17.1.1.4	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
17.2	Ross CG Associates, LP - Carried Interest	See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
17.3	Ross CG Cypress Associates, LLC	See Endnote	No	\$50,001 - \$100,000	Capital Gains Dividends	\$15,001 - \$50,000
17.3.1	Ross CG Cypress Associates, LP	See Endnote	N/A			
17.3.2	Ross CG Cypress Associates, LP -- Carried Interest	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
17.4	Ross CG Pearl Associates, LLC		No			
17.4.1	Ross CG Pearl Associates, LP -- carried interest	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	WL Ross GP LLC		No			
18.1	Asia Recovery Associates L.P. -- Carried Interest	See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
18.2	Asia Recovery Associates L.P.		No			
18.2.1	Asia Recovery Co-Invest Partners, L.P.		No	\$1,001 - \$15,000		None (or less than \$201)
18.2.1.1	Ohizumi Mfg Co Ltd. (electronics, Japan) (no longer held)		N/A			
19	WLR Recovery Associates IV DSS AIV GP, Ltd. (Cayman)		No			
19.1	WLR Recovery Associates IV DSS AIV, L.P.	See Endnote	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
19.1.1	WLR Recovery Fund IV DSS AIV, L.P.	See Endnote	No			
19.2	WLR Recovery Fund IV DSS AIV, L.P. -- Carried Interest	See Endnote	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
20	Starboard WLR Associates L.P.		No	\$5,000,001 - \$25,000,000		None (or less than \$201)
20.1	Starboard Recovery Associates, L.P.	See Endnote	No			
21	Ross Expansion GP, LLC		No			
21.1	Ross Expansion FLP, LP -- carried interest	See Endnote	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
21.2	Ross Expansion FLP, LP	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
21.2.1	Ross Expansion Associates, L.P.		No			
21.2.1.1	WLR Euro Wagon Management Limited (Jersey)		No			
21.2.1.1.1	IPE Euro Wagon L.P. (Jersey)	See Endnote	N/A			
21.2.1.1.2	Euro Wagon, LP	See Endnote	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.2.1.1.3	Euro Wagon II, LP	See Endnote	N/A			
22	NKK Corporation		N/A		Honorarium from speech in March 2016. Donated to The Japan Society.	\$1,000
23	Rothschild Profit Sharing Plan (underlying assets are not ascertainable)	See Endnote	N/A		Distributions from plan.	\$2,062
24	WLR Select Associates DSS GP Ltd. (Cayman)		No			
24.1	WLR Select Associates DSS, L.P.	See Endnote	No			
24.1.1	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)		No			
24.1.1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
24.1.2	WLR Select Co-Investment, L.P. (Cayman) -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
24.1.3	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)		No			
24.1.3.1	WLR Mezzanine Splitter, L.P. (Cayman)	See Endnote	No			
24.1.3.2	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
24.1.4	WLR Select Co-Investment, L.P. (Cayman)		No			
24.1.4.1	WLR IV VM II LLC	See Endnote	No			
24.1.4.2	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
24.1.4.3	PB Materials Holdings Inc. (construction)		N/A			
24.1.4.4	DSS Holdings, L.P. (shipping)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.2	WLR Select Co-Investment Mezzanine AIV Blocker, L.P. (Cayman)		No			
24.2.1	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman) (value not readily ascertainable)	See Endnote	No			
25	WLR Nanotechnology GP LLC	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
25.1	Masters Capital Nanotechnology Fund, LP. -- Carried Interest (not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
25.2	Masters Capital Nanotechnology, LLC		No			
25.2.1	Masters Capital Nanotechnology Fund, LP.		No			
25.2.1.1	Daylight Solutions, Inc.		N/A			
25.2.1.2	Nanosys, Inc.		N/A			
26	WLR Nanotechnology LP LLC		No	\$500,001 - \$1,000,000		None (or less than \$201)
26.1	Masters Capital Nanotechnology Fund, LP.	See Endnote	No			

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Invesco, Ltd.	Atlanta, Georgia	I received restricted shares of stock as part of my compensation at Invesco. Generally, those restricted shares vest in equal tranches over a four-year period after the date on which they were granted, but Invesco has a policy of vesting all outstanding unvested shares upon a friendly termination. My termination is considered friendly, so my outstanding unvested shares will vest once I resign from Invesco.	2/2013

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	WLR Recovery Associates II, LLC	New York, New York	I am Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	3/2002
3	WLR Recovery Associates III, LLC	New York, New York	WL Ross Group LP serves as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	8/2005
4	WLR Recovery Associates IV, LLC	New York, New York	WL Ross Group LP serves as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	11/2007
5	Exco Resources, Inc.	Dallas, Texas	Restricted stock arrangement for Directors in which restricted shares vest on the one-year anniversary after the date on which they were granted. Approximately half of my outstanding unvested Exco shares vested in late December 2016 and the rest will vest at the end of 2017.	12/2015
6	WLR Recovery Associates V, LLC	New York, New York	WL Ross Group LP serves as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	2/2011
7	Starboard GP Ltd.	New York, New York	I serve as Director of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	10/2013

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
8	WLR Select Associates LLC	New York, New York	WL Ross Group serves as Managing Member of this entity, which serves as General Partner of an underlying fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	12/2010
9	WLR/IVZ Mortgage Recovery Associates LLC	New York, New York	WL Ross Group LP serves as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	10/2009
10	WLR Mezzanine Associates, LLC	New York, New York	WL Ross Group serves as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	5/2015
11	India Asset Recovery Associates LLC	New York, New York	I serve as the managing member of this entity, which holds an interest in India Asset Recovery GP, Ltd. That entity holds a carried interest in the India Asset Recovery Fund as its general partner. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	2/2006
12	Asia Recovery Associates, L.P.	New York, New York	WL Ross Group LP serves as sole member of WL Ross GP LLC, which serves as General Partner of Asia Recovery Associates LP. The General Partner is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	4/2005
13	WLR China Energy Infrastructure Fund, L.P.	New York, New York	WL Ross Group LP is a shareholder in WL Ross Group (Cayman) Ltd, which indirectly holds an interest in the general partner of WLR China Energy Infrastructure Fund, L.P.. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	2/2008

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
14	WLR Conduit MM LLC		New York, New York	I have different arrangements for the various underlying assets. For the Shellpoint investment, I receive an 8% preferential return, plus a 10% carried interest. For the Subsequent Platform Company asset, I receive s 20% carried interest. For the energy bonds, I receive an index amount, plus a 15% carried interest.	1/2010
15	Rothschild Profit Sharing Plan	See Endnote	New York, New York	I receive approximately \$1,000 per year in distributions from this plan. Within 90 days of confirmation, I will irrevocably assign the rights to these payments to a public charity prior to my assuming the duties of the position of Secretary.	/1976
16	Ross CG Associates, LP		New York, New York	Ross CG GP LLC serves as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	3/2005
17	Ross CG Cypress Associates, LP		New York, New York	Ross CG GP LLC serves as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	4/2008
18	Ross CG Pearl Associates, LP		New York, New York	Ross CG GP LLC serves as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	8/2007
19	Ross Expansion FLP L.P.		New York, New York	I serve as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	12/2005



#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
20	WLR Nanotechnology GP LLC	New York, New York	I serve as Managing Member of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	1/2006
21	WLR Recovery Associates LLC	New York, New York	WL Ross Group LLP serves as Managing Member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	10/1997
22	WLR Recovery Associates IV DSS LP (Cayman)	, Outside U.S.	I am a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	11/2011
23	WLR Recovery Associates V DSS LP (Cayman)	, Outside U.S.	I am a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	2/2011
24	WLR Select Associates DSS, L.P. (Cayman)	, Outside U.S.	I am a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	12/2010
25	WLR Master Co-Investment SLP GP Ltd. (Cayman)	, Outside U.S.	This entity is the General Partner of a partnership holding a carried interest in the WLR/GS Master Co-Investment L.P. fund.	8/2011
26	Invesco, Ltd.	Atlanta, Georgia	I will receive a discretionary performance-based bonus for services rendered in 2016. This bonus will be paid prior to my assuming the duties of the position of Secretary.	10/2006
27	Invesco Ltd.	Atlanta, Georgia	I participate in Invesco's 401k plan. I will cash out of this plan within 90 days of my confirmation.	10/2006

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
28	Invesco Mortgage Recovery Master Associates II	New York, New York	I serve as the managing member of WLR IMRF II Associates LLC, which invests in Invesco Mortgage Recovery Associates II LLC. Invesco Mortgage Recovery Associates II LLC serves as General Partner ("GP") of Invesco Mortgage Recovery Fund II, L.P. and Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	4/2016
29	WLR Master Co-Investment SLP Associates, L.P. (Cayman)	, Outside U.S.	WL Ross Group LP is an investor in WLR Master Co-Investment SLP Associates, L.P. (Cayman), which is the general partner of WLR/GS Master Co-Investment L.P. (Cayman). The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	4/2011

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Invesco, Ltd.	Atlanta, Georgia	CEO of Private Equity Groups division with company. Receives his salary and bonus from Invesco Group Services.
2	ArcelorMittal	Luxembourg, Outside U.S.	Independent Director on the Board of Directors.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Powerhouse Cultural Entertainment (value not readily ascertainable) See Endnote	N/A		Rent or Royalties	\$1,001 - \$2,500
2	Dreyfus Government Cash Mgmt Admin	Yes	Over \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Amphenol Corp CL A	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
4	Atara Biotherapeutics Inc Com	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Boeing Co.	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
6	CDW Corp Com USD0.01	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
7	CME Group Inc.	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
8	Moodys Corp	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
9	MSCI Inc Com	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
10	Neustar Inc. CL A	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	SVB Finl Group	N/A	\$250,001 - \$500,000		None (or less than \$201)
12	Verisk Analytics Inc. Com	N/A	\$250,001 - \$500,000		None (or less than \$201)
13	Wex Inc Com	N/A	\$250,001 - \$500,000		None (or less than \$201)
14	Zoetis Inc Com USD0.01 CL A	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
15	HSBC HLDGS PLC PERP SUB CAP SECS	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
16	Wells Fargo & Co New Dep SHS REPSTG	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage Account #1				
1.1	Cash	N/A	Over \$50,000,000	Interest	\$5,001 - \$15,000
1.2	Pound Sterling (cash account in overseas JP Morgan account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3	U.S. Treasury 8.75% 5/15/17 912810-DY-1 NR/AAA	N/A	\$5,000,001 - \$25,000,000	Interest Capital Gains	\$100,001 - \$1,000,000
1.4	Bear Stearns Co. Inc. 6.4% Oct 2, 2017 DTD 10/02/2007 073902-PR-3 A1/A3	N/A	\$5,000,001 - \$25,000,000	Interest Capital Gains	\$100,001 - \$1,000,000
1.5	Bear Stearns Co. Inc. 7 1/4% Feb 1, 2018 DTD 02/01/2008 073902-RU-4 A-/A3	N/A	\$5,000,001 - \$25,000,000	Capital Gains Interest	\$100,001 - \$1,000,000
1.6	Anheuser Busch INBEV WOR 7 3/4% Jan 15, 2019 DTD 01/15/2011 03523-BE-7 A/NR	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.7	Caterpillar Financial SE Medium Term Note 7.15% Feb 15, 2019 DTD 02/12/2009 14912L-4E-8 A/A2	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.8	Goldman Sachs Group Inc. SR Notes 7 1/2% Feb 15, 2019 DTD 02/15/2009 38141E-A2-5 A-/BAA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.9	MetLife Inc. Notes 7.717% Feb 15, 2019 DTD 02/15/2009 59156R-AT-5 A-/A3	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.10	Morgan Stanley 7.3% May 13, 2019 DTD 05/13/2009 61747Y-CG-8 A-/BAA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.11	Dow Chemicals Co., The Notes 8.55% May 15, 2019 DTD 05/13/2009 260543-BX-0 BBB/BAA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.12	Citigroup Inc. SR Notes 8 1/2% May 22, 2009 DTD 05/22/2009 172967-EV-9 A-/BAA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.13	Bank of America Corp SR Notes 7 5/8% Jun 01, 2019 DTD 06/02/2009 06051G-DZ-9 A-/BAA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
1.14	General Elec Cap Corp 6% Aug 07, 2019 DTD 08/07/2009 36962G-4D-3 AA+/A1	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.15	XTO Energy Corp 61/2% Dec 15, 2018 DTD 08/07/2008 98385X-AT-3 AAA/AAA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
2	U.S. Brokerage Account #2				
2.1	Cash account 1	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
2.2	Cash account 2	N/A	Over \$50,000,000	Interest	\$15,001 - \$50,000
2.3	UBS Select Prime Institutional Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.4	Tennessee Gas Pipeline NTS B/E 8.000% Matures 02/01/2016 CUSIP 880451AY5	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
2.5	Metlife Inc NTS B/E 6.750% Matures 06/01/2016 CUSIP 59156RAU2	N/A	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
2.6	Natl Rural Util Coop Fin 10.375% Matures 11/01/2016 CUSIP 637432LR4	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
2.7	Baker Hughes Inc. NTS 7.500% Matures 11/15/2018 CUSIP 057224AY3	N/A	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
2.8	Goldman Sachs Group NTS 7.500% Matures 02/19/2019 CUSIP 38141EA25	N/A	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
2.9	Dow Chemical Co NTS 8.550% Matures 05/15/2019 CUSIP 260543BX0	N/A	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
2.10	Bank of Amer Corp NTS OBP B/E 7.625% Matures 06/01/2019 CUSIP 06051GDZ9	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
2.11	Republic of Korea NTS Foreign Security 7.125% Matures 04/16/2019 ISIN US50064FAJ30	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
2.12	UBS Select TX FR Capital	Yes	None (or less than \$1,001)		None (or less than \$201)
3	U.S. Brokerage Account #3				
3.1	Southwestern Public Service Co. NTS ISIN CUSIP 845743BM45 8.7500% Matures 12/01/2018	N/A	\$5,000,001 - \$25,000,000	Interest	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	Cash	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
4	U.S. Brokerage Account #4				
4.1	Southwestern Public Service Co. NTS ISIN CUSIP 845743BM45 8.7500% Matures 12/01/2018	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,000,001 - \$5,000,000
4.2	United States Treasury BDS 9.250% NTS ISIN CUSIP 912810DV7 Matures 02/15/2016	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,000,001 - \$5,000,000
4.3	XTO Energy Inc. SR NTS 6.500% NTS ISIN CUSIP 98385XAT3 Matures 12/15/18	N/A	None (or less than \$1,001)	Capital Gains Interest	\$100,001 - \$1,000,000
5	U.S. Brokerage Account #5 (cash)	See Endnote	N/A	Interest	\$201 - \$1,000
6	U.S. Brokerage Account #6 (cash)		N/A		None (or less than \$201)
7	U.S. Bank Account #1 (cash)		N/A	Interest	\$2,501 - \$5,000
8	U.S. Money Market Account #1 (cash)		N/A		None (or less than \$201)
9	U.S. Money Market Account #2 (cash)		N/A	Interest	\$15,001 - \$50,000
10	U.S. Brokerage Account #7 (cash)	See Endnote	N/A	Interest Dividends	\$1,001 - \$2,500
11	U.S. Brokerage Account #8				
11.1	Aperam NY Reg Shares (steel)	N/A	\$500,001 - \$1,000,000	Dividends Capital Gains	\$5,001 - \$15,000
11.2	Federated Govt Obl; II	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	Arcelor Mittal SA	N/A	\$500,001 - \$1,000,000	Dividends Capital Gains	\$50,001 - \$100,000
13	Nexeo Solutions stock	N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Art Collection		N/A	Over \$50,000,000		None (or less than \$201)
15	U.S. Brokerage Account #9					
15.1	Cash deposit account		N/A	\$100,001 - \$250,000		None (or less than \$201)
15.2	UBS Select Govt Capital		Yes	\$250,001 - \$500,000		\$201 - \$1,000
15.3	UBS Select Prime Capital		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
16	U.S. Bank Account #2 (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)
17	Intercontinental Exchange, Inc.		N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
18	YG Partners Fund, LP		Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
19	Formation8 Partners Entrepreneur Fund II		Yes	\$50,001 - \$100,000		None (or less than \$201)
20	Formation8 Partners Fund I		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
21	8 Partners VC Fund I, L.P.		Yes	\$50,001 - \$100,000		None (or less than \$201)
22	WLR Recovery Associates III LLC	See Endnote	No	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
23	WLR Recovery Associates II LLC	See Endnote	No	\$100,001 - \$250,000	Interest	\$100,001 - \$1,000,000
24	U.S. Brokerage Account #10					
24.1	Spouse - Trust: Under Will No. 1					
24.1.1	Dreyfus Government Cash Mgmt Admin		Yes	\$50,001 - \$100,000		None (or less than \$201)
24.1.2	Amphenol Copr CL A		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.1.3	Boeing Co.	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
24.1.4	CDW Corp Com USD0.01	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
24.1.5	CME Group Inc.	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
24.1.6	MSCI Inc Com	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
24.1.7	Neustar Inc. CL A	N/A	\$100,001 - \$250,000		None (or less than \$201)
24.1.8	SVB Finl Group	N/A	\$50,001 - \$100,000		None (or less than \$201)
24.1.9	Verisk Analytics Inc. Com	N/A	\$100,001 - \$250,000		None (or less than \$201)
24.1.1 0	Wex Inc Com	N/A	\$100,001 - \$250,000		None (or less than \$201)
24.1.1 1	Zoetis Inc Com USD0.01 CL A	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
24.1.1 2	SPDR S&P 500 ETF Trust Unit SER 1 S&P	Yes	Over \$1,000,000		\$15,001 - \$50,000
24.2	Spouse - Trust: Under Agreement				
24.2.1	Dreyfus Government Cash Mgmt Admin	Yes	\$250,001 - \$500,000		None (or less than \$201)
24.2.2	Boeing Co.	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
24.2.3	Chevron Corp New Com	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
24.2.4	CME Group Inc.	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
24.2.5	Merck & Co. Inc New Com	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.2.6	Moodys Corp	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
24.2.7	MSCI Inc Com	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
24.2.8	Neustar Inc CL A	N/A	\$250,001 - \$500,000		None (or less than \$201)
24.2.9	SVB Finl Group	N/A	\$250,001 - \$500,000		None (or less than \$201)
24.2.1 0	Verisk Analytics Inc Com	N/A	\$250,001 - \$500,000		None (or less than \$201)
24.2.1 1	Wex Inc Com	N/A	\$250,001 - \$500,000		None (or less than \$201)
24.2.1 2	Zoetis Inc Com USD0.01 CL A	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
24.2.1 3	SPDR S&P 500 ETF Trust Unit SER 1 S&P	Yes	Over \$1,000,000		\$15,001 - \$50,000
24.3	Spouse - Trust: Under Will No. 2				
24.3.1	Fireeye Inc Com	N/A	\$100,001 - \$250,000		None (or less than \$201)
24.3.2	New Jersey St Tran Corp Grant Antic Ntw	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.3	El Paso Cnty Facs Corp Colo Ctfs Partn	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.4	North Tex Twy Auth Rev Ref Bds Ser	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.5	Leander Tx Indpt Sch Dist Ult Tax Ref	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
24.3.6	Illinois Fin Auth Rev Rev Bds Trinity	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
24.3.7	Atlanta Ga Dev Auth Rev Rev Bds Georgia	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.3.8	Gainesville & Hall Cnty Ga Hos P Auth	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
24.3.9	Chicago Ill Tran Auth Cap Grnt Rcpts	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.1 0	Fort Myers Fla Cap Impt Rev Cap Impt	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
24.3.1 1	New Jersey St Higher Ed Assistance Auth	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.1 2	Houston Tex Cmnty College Sys Rev	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.1 3	Key West Fla Util Brd Elec Rev Elec	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
24.3.1 4	Buffalo & Ft Erie N Y Pub Brog Auth Toll	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
24.3.1 5	Lee Cnty Fla Sch Brd Cifs Partn Cops	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.1 6	Texas St Pub Fin Auth Rev Financing	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.1 7	New Orleans La Go Ref Bds Ser 2015	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
24.3.1 8	Reedy Creek Impt Dist Fla Ad Valorim	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.1 9	Northern Ind Commuter Transn Dist	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.2 0	Indiana St Fin Auth Wastewater Util Rev	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.2 1	Alamo Tex Cmnty College Dist Ltd Tax	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
24.3.2 2	New York Liberty Dev Corp Liberty Rev	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.2 3	HSBC Hldgs Plc Perp Sub Cap Secs Secs	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.3.2 4	State St Instl Liquid Resvs Fd Shs Ben Int	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
24.3.2 5	Birmingham Ala Go Refunding Warrants Series	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
24.3.2 6	New Prairie UTD Sch Bldg Corp.	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
25	Dreyfus Government Cash Mgmt Admin	Yes	\$250,001 - \$500,000		None (or less than \$201)
26	Amphenol Copr CL A	N/A	Over \$1,000,000	Dividends	\$15,001 - \$50,000
27	Apple Inc.	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
28	Atara Biotherapeutics Inc Com	N/A	\$100,001 - \$250,000		None (or less than \$201)
29	Boeing Co.	N/A	Over \$1,000,000	Dividends	\$50,001 - \$100,000
30	CDW Corp Com USD0.01	N/A	Over \$1,000,000	Dividends	\$15,001 - \$50,000
31	CME Group Inc.	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
32	Moodys Corp	N/A	Over \$1,000,000	Dividends	\$50,001 - \$100,000
33	MSCI Inc Com	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
34	Neustar Inc CL A	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
35	SVB Finl Group	N/A	Over \$1,000,000		None (or less than \$201)
36	Verisk Analytics Inc Com	N/A	Over \$1,000,000		None (or less than \$201)
37	Wex Inc Com	N/A	Over \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
38	Zoetis Inc Com USD0.01 CL A	N/A	Over \$1,000,000	Dividends	\$15,001 - \$50,000
39	Citigroup Inc Bond Perpetual 6.25000%	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
40	Edinburg Tex Cons Indpt Sch Dist Ultd	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
41	Houston Tex Hotel Occupancy Tax & SPL	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
42	Atlanta GA Dev Auth Rev Rev 8DS Georgia	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
43	Wyanootee Cnty Kans City Kans Uni Govt	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
44	North Tex Twy Auth Rev Ref Bds Ser. A	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
45	Greenville Tex 8 0 Ref Bos Ser. 2008	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
46	Houston Tex Cmnty College Sys Rev	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
47	Key West FLA Util Brd Elec Rev Elec	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
48	New Jersey St Higher Ed Assistance Auth Ref BDS 1A	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
49	Kansas City Mo Spl Oblig Spl Dblig Sds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
50	Pennsylvania St Tpk Commn TpkRev Rev	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
51	Indiana St Fin Auth Wastewaster Util Rev	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
52	St Charles Cnty Mo Pub Wtr Supply Dist	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
53	Michigan Fin Auth Rev Rev Ref	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
54	Cumulus Media Inc-CL A	N/A	None (or less than \$1,001)	Dividends Capital Gains	None (or less than \$201)	
55	United Parcel SVC Inc CL B	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000	
56	Port Seattle Wash Rev.	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000	
57	Miami-Dade Cnty Fla Sch Brd	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000	
58	Chicago Ill Tran Auth Sales	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000	
59	New Jersey St Higher Ed Assistance Auth	N/A	None (or less than \$1,001)	Interest Capital Gains	\$15,001 - \$50,000	
60	State St Instl Liquid Resvs FD SHS Ben Int	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000	
61	Colorado Health Facs Auth Rev Catholic Health- Ser A	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000	
62	Marysville Ohio Wastewater Tre Ref	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000	
63	Redford Brownfield Charter Twp Tax Increment Bds Series	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000	
64	8VC Angel Fund I, L.P.	Yes	\$15,001 - \$50,000		None (or less than \$201)	
65	Ross FOF, LLC	See Endnote	No	\$1,000,001 - \$5,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
65.1	Pan Multi Strategy, L.P.	No				
65.1.1	AmeriGas Partners, L.P. (liquefied natural gas distribution)	N/A				
65.1.2	Buckeye Partners, L.P.	N/A				
65.1.3	Kinder Morgan Energy Partners, L.P.	N/A				
65.1.4	Plains All American Pipeline, L.P.	N/A				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65.1.5	Rhino Energy Holdings, LLC (coal mining)	N/A			
65.1.6	Pipeline Partners, L.P. (energy distribution)	N/A			
65.1.7	Magellan Midstream Partners, L.P.	N/A			
66	U.S. Brokerage Account #11	No			
66.1	U.S. Deposit Account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
66.2	UBS AG Deposit Account (cash)	N/A	Over \$50,000,000	Interest	\$1,001 - \$2,500

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	JP Morgan	Guarantee of Loan to Social Club	\$500,001 - \$1,000,000	2016	N/A	2-Year Fixed Term
2	Formation8 Partners Entrepreneurs Fund II	Capital Commitment	\$15,001 - \$50,000	2014	N/A	Life of fund
3	8VC Angel Fund I, L.P.	Capital Commitment	\$15,001 - \$50,000	2016	N/A	Life of fund
4	India Asset Recovery Associates LLC	Capital commitment	\$1,000,001 - \$5,000,000	2006	N/A	Life of fund
5	Starboard GP LTD	Capital Commitment	\$10,001 - \$15,000	2013	N/A	Life of fund
6	Starboard WLR Associates, L.P.	Capital Commitment	\$1,000,001 - \$5,000,000	2013	N/A	Life of fund

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
7	WLR Conduit MM LLC	Capital Commitment	\$500,001 - \$1,000,000	2013	N/A	Life of fund
8	WLR Mezzanine Associates LLC	Capital Commitment	\$100,001 - \$250,000	2015	N/A	Life of fund
9	WLR Nanotechnology	Capital Commitment	\$500,001 - \$1,000,000	2007	N/A	Life of fund
10	WLR Recovery Associates IV LLC	Capital Commitment	\$5,000,001 - \$25,000,000	2007	N/A	Life of fund
11	WLR Recovery Associates V LLC	Capital Commitment	\$1,000,001 - \$5,000,000	2010	N/A	Life of fund
12	WLR/IVZ Mortgage Recovery Associates LLC	Capital Commitment	\$250,001 - \$500,000	2009	N/A	Life of fund
13	IMRF II Associates LLC	Capital Commitment	\$250,001 - \$500,000	2016	N/A	Life of fund

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
1.	1	The listed start date is approximate and is based on a good-faith estimate.
1.	2	The listed start date is approximate and is based on a good-faith estimate.
1.	3	The listed start date is approximate and is based on a good-faith estimate.
1.	15	The listed start date is approximate and is based on a good-faith estimate.
1.	16	The listed start date is approximate and is based on a good-faith estimate.
1.	17	The listed start date is approximate and is based on a good-faith estimate.

PART	#	ENDNOTE
1.	28	The listed start date is approximate and is based on a good-faith estimate.
1.	29	The listed start date is approximate and is based on a good-faith estimate.
1.	31	The listed start date is approximate and is based on a good-faith estimate.
1.	34	The listed start date is approximate and is based on a good-faith estimate.
1.	35	The listed start date is approximate and is based on a good-faith estimate.
1.	36	The listed start date is approximate and is based on a good-faith estimate.
1.	37	The listed start date is approximate and is based on a good-faith estimate.
1.	41	The listed start date is approximate and is based on a good-faith estimate.
1.	43	The listed start date is approximate and is based on a good-faith estimate.
1.	44	The listed start date is approximate and is based on a good-faith estimate.
1.	46	The listed start date and end date are approximate and are based on a good-faith estimate.
1.	48	The listed start date is approximate and is based on a good-faith estimate.
1.	49	The listed start date is approximate and is based on a good-faith estimate.
1.	50	The listed start date is approximate and is based on a good-faith estimate.
1.	60	The listed start date is approximate and is based on a good-faith estimate.
1.	61	The listed start date is approximate and is based on a good-faith estimate.
1.	63	The listed start date is approximate and is based on a good-faith estimate.
1.	64	The listed start date is approximate and is based on a good-faith estimate.
2.	1.3	Filer will cash out of this plan prior to taking office.
2.	1.5	Pursuant to written Invesco policy and procedures, and subject to a cap based on his existing holdings, upon Mr. Ross' termination of employment, Invesco Ltd.'s Compensation Committee may determine to award him outstanding equity compensation that he would have otherwise received had he remained employed with WL Ross & Co. LLC with respect to previously issued shares of restricted stock that remain subject to restrictions under the applicable Invesco Ltd. plan.
2.	9	Value and income are fully attributable to interests in W.L. Ross Group, L.P.
2.	9.1	The assets of WL Ross Group, L.P. are listed in item 10.
2.	10	The value and income are fully attributable at lower tiers.



PART	#	ENDNOTE
2.	10.1	The value represents the capital account, and includes no carried interest.
2.	10.1.1	This represents WLR Recovery Associates IV LLC's carried interest in WLR Recovery Fund IV, L.P.
2.	10.1.8.1.1	No underlying assets remain.
2.	10.1.9.1	Underlying assets previously disclosed at line 10.1.8
2.	10.1.11.1	Underlying assets previously disclosed at line 10.1.10.1.
2.	10.1.12	Underlying assets previously disclosed at line 10.1.10.1.
2.	10.2	The value represents the capital account balance.
2.	10.2.2	Represents the carried interest held by WLR Mezzanine Associates LLC in WLR Cardinal Mezzanine Fund L.P. The current carried interest is zero.
2.	10.3	This entity contains no operating companies. It holds only cash.
2.	10.3.1.1	This entity no longer holds any underlying assets.
2.	10.3.2	This entity no longer holds any underlying assets.
2.	10.4	This entity no longer has any underlying assets.
2.	10.6	Value reflects capital account balance.
2.	10.6.1.2.1.1.1	This entity owns subsidiaries which each own individual transoceanic tanker ships. There are 25 individual LLCs that own the ships: NCM Holding I LLC; NCM Holding II LLC; WLR/TRF KZ Holding I LLC; WLR/TRF KZ Holding II LLC; WLR/TRF KZ Holding III LLC; WLR/TRF Holding III LLC; WLR/TRF Maemi LLC; NT Suez Holdco LLC; NT Suez GP LLC; NT Suez One LLC; NT Suez Two LLC; WLR/TRF Tanker Two LLC; WLR/TRF HMN8 Holdings I LLC; WLR/TRF HMN8 Holdings II LLC; WLR/TRF HMN8 Holdings III LLC; WLR/TRF HMN8 Holdings IV LLC; WLR/TRF HMN8 Holdings V LLC; WLR/TRF HMN8 Holdings VI LLC; TRF/Solus JV LLC; TRF/Solus GP LLC; HAN VLCC 1 LLC; HAN VLCC II LLC; SWS VLCC JV LLC; SWS VLCC GPLLC; SWS VLCC LLC.
2.	10.6.1.2.2	Underlying assets shown at 10.6.1.2.1.1
2.	10.6.1.2.3.1.1	This entity owns Norwegian subsidiaries which each own individual transoceanic tanker ships. There are 7 individual entities: Awilco Eco Tankers 1 AS; Awilco Eco Tankers 2 AS; Awilco Eco Tankers 3 AS; Awilco Eco Tankers 4 AS; Hassel Shipping 4 AS; Songa Chemical AS; Atlantic Supramax DIS.
2.	10.6.1.2.4	Assets previously disclosed at 10.6.1.2.3.1.
2.	10.6.4	Represents carried interest held in underlying funds.
2.	10.7	Value represents capital account.
2.	10.7.4.1.1.1.1	Underlying assets previously disclosed at 10.2.1.1.1.

PART	#	ENDNOTE
2.	10.7.4.1.1.2	Underlying assets previously disclosed at 10.2.1.1.1.
2.	10.7.5.1	Underlying assets previously disclosed at 10.7.4.1.1.
2.	10.7.6	Represents the carried interest held by WLR Recovery Associates V LLC in WLR Recovery Fund V, L.P. The carried interest is currently zero.
2.	10.7.7	Represents the carried interest held by WLR Recovery Associates V LLC in this fund. The carried interest is currently zero.
2.	10.7.8	Represents the carried interest held by WLR Recovery Associates V LLC in this fund. The carried interest is currently zero.
2.	10.8	Value reflects capital account balance.
2.	10.8.2	This represents the carried interest held by WLR Select Associates LLC in WLR Select Co-Investment XCO AIV, L.P. The current carried interest is zero.
2.	10.9.1.1.1	This represents the carried interest held by WLR China Energy Associates, Ltd. in WLR China Energy Infrastructure Fund, L.P. The carried interest is currently zero.
2.	10.10.1	Represents the carried interest held by WLR Recovery Associates II, LLC in WLR Recovery Fund II, L.P.
2.	10.11.1	Represents the carried interest held by WLR Recovery Associates III, LLC in the fund. The current carried interest is zero.
2.	10.12	Value reflect share of Net Asset Value of WLR IMRF II Associates, LLC holding in Invesco Mortgage Recovery Master Associates II LLC.
2.	10.12.1.2	Underlying assets previously disclosed at 10.12.1.1.1.
2.	10.12.1.3.1	Underlying assets previously disclosed at 10.12.1.1.1.
2.	10.12.1.4.1	Underlying assets previously disclosed at 10.12.1.1.1.1
2.	10.12.1.6	Represents the carried interest held by Invesco Mortgage Recovery Master Associates II LLC in Invesco Mortgage Recovery Fund II, L.P. There is no accrued carried interest.
2.	10.12.1.7	Represents the carried interest held by Invesco Mortgage Recovery Master Associates II LLC in Invesco Mortgage Recovery Fund II Co-Invest ITAL, L.P. There is no accrued carried interest.
2.	10.13.1	This represents the carried interest held by WLR Master Co-Investment SLP Associates, L.P. (Cayman) in WLR/GS Master Co-Investment L.P. (Cayman). The current carried interest is zero.
2.	10.14	Value is reflected in 19.1.
2.	10.15	Value and income reflect combined value and income of 10.15 and 11.1
2.	10.15.1.1	Assets previously disclosed at 10.6.1.2.1.1

PART	#	ENDNOTE
2.	10.15.1.2	Assets previously disclosed at 10.6.1.2.3.1
2.	10.16	Underlying assets disclosed below at 24.1. Value and income reflect the value and income of 10.16 and 24.1.
2.	11.1	Underlying assets previously disclosed at 10.15. Value and income is reflected in 10.15
2.	11.1.1	This represents the carried interest held by WLR Recovery Associates V DSS AIV, L.P. in the fund. The carried interest is currently zero.
2.	12	Value represents capital account.
2.	12.1.1.1.1.1	This fund no longer holds any underlying assets.
2.	12.1.2.1.1	This fund no longer holds any underlying assets.
2.	12.1.3.1.1	This fund no longer holds any underlying assets.
2.	12.1.4.1	This fund no longer holds any underlying assets.
2.	12.1.5.1	This fund no longer holds any underlying assets.
2.	12.1.6	This fund no longer holds any underlying assets.
2.	12.1.7.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.1.8.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.1.9.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.1.10	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.2.1.1.1	This fund no longer holds any underlying assets.
2.	12.3.1.1	This fund no longer holds any underlying assets.
2.	12.4.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.5.1.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.7.1	Underlying assets previously disclosed at 10.1.10.1.1.
2.	12.8	Value reflects aggregated carried interests of General Partner in all funds disclosed within 12.1 to 12.7, including underlying funds.
2.	13	Value reflects capital account.
2.	13.1.1.1	Assets previously disclosed at 10.6.1.2.1.1.1.

PART	#	ENDNOTE
2.	13.2	This represents the carried interest held by Starboard GP Ltd. in the Transportation Recovery Fund. The carried interest is currently zero.
2.	14.3	Underlying assets previously disclosed at 10.1
2.	14.5.1	Underlying assets previously disclosed at 10.14.
2.	16	Value reflects capital account.
2.	16.1.1	Reflects carried interest held by India Asset Recovery GP Ltd. in India Asset Recovery Fund, L.P. The carried interest is currently zero.
2.	17.1.1.2.1	Underlying assets previously disclosed at 17.1.1.1.1.
2.	17.1.1.3.1	Underlying assets previously disclosed at 17.1.1.1.1.
2.	17.1.1.4	Underlying assets previously disclosed at 17.1.1.1.1.
2.	17.2	Represents Ross CG GP LLC's carried interest in Ross CG Associates, LP.
2.	17.3	Represents capital account
2.	17.3.1	This fund no longer holds any underlying assets.
2.	17.3.2	Represents carried interest of Ross CG Cypress Associates, LLC in Ross CG Cypress Associates, LP.
2.	17.4.1	Represents Ross CG Pearl Associates, LLC carried interest in this fund.
2.	18.1	Represents the carried interest of WL Ross GP LLC in Asia Recovery Associates L.P. The value is the accrued carry balance.
2.	19.1	Includes value of 10.14.
2.	19.1.1	Underlying assets previously disclosed at 10.14.1
2.	19.2	Represents the carried interest of WLR Recovery Associates IV DSS AIV, L.P. in WLR Recovery Fund IV DSS AIV, L.P.
2.	20.1	Underlying assets previously disclosed at 13.1
2.	21.1	Represents the accrued carried interest of Ross Expansion GP, LLC in Ross Expansion FLP, LP. The fund no longer holds any underlying assets.
2.	21.2	This entity no longer holds any underlying assets.
2.	21.2.1.1.1	This entity no longer holds any underlying assets
2.	21.2.1.1.2	This entity no longer holds any underlying assets

PART	#	ENDNOTE
2.	21.2.1.1.3	This entity no longer holds any underlying assets.
2.	23	Underlying assets are unavailable. The filer will divest the plan if confirmed via an irrevocable assignment of rights to a public charity.
2.	24.1	Value and income are reflected in 10.16.
2.	24.1.1.1	Underlying assets previously disclosed at 10.2.1.1.1.
2.	24.1.2	This represents the carried interest held by WLR Select Associates DSS, L.P. in WLR Select Co-Investment, L.P. The current carried interest is zero.
2.	24.1.3.1	Underlying assets previously disclosed at 10.2.1.
2.	24.1.3.2	Underlying assets previously disclosed at 10.2.1.1.1.
2.	24.1.4.1	This entity holds no underlying investments.
2.	24.2.1	Underlying assets previously disclosed at 24.1.3.
2.	25	Represents value of capital account.
2.	25.1	Represents the carried interest of WLR Nanotechnology GP LLC in Masters Capital Nanotechnology Fund, L.P. The current carried interest is zero.
2.	26.1	Underlying assets previously disclosed at 25.2.1
3.	15	Month is not ascertainable.
5.	1	2 books: "New York, New York"; "Palm Beach People"
6.	5	Held as an account for the benefit of First Republic Bank
6.	10	No longer held, so value shown as zero
6.	22	Holdings previously disclosed in Part 2 line 10.11. Value is reflected of combined holdings of filer and spouse.
6.	23	Assets previously disclosed at Part 2 line 10.10. Value is reflected of combined holdings of filer and spouse.
6.	65	Value is based on 2014 K-1. A 2015 K-1 was not available. Income is through 12/31/15.

# 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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