AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
ROSENTHAL, LEE H.	U.S.D.C.-S.D.TX	04/05/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S.DISTRICT JUDGE-ACTIVE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
515 RUSK ROOM 11535 HOUSTON, TEXAS 77002		

IMPORTANT NOTES: ***The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.***

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	MEMBER, EXECUTIVE COMMITTEE, COUNCIL, VICE PRESIDENT	AMERICAN LAW INSTITUTE
2.	MEMBER, BOARD OF TRUSTEES AND EXECUTIVE COMMITTEE	BAYLOR COLLEGE OF MEDICINE
3.	HONORARY BOARD MEMBER	DUKE LAW/BOLCH JUDICIAL INSTITUTE ADVISORY BOARD
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	NATIONAL BOARD OF BAR EXAMINERS, WRITING	$8,000.00
2.			
3.			
4.			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE
1.	2021	THE STERLING GROUP LP AND RELATED ENTITIES: PARTNER DISTRIBUTION
2.	2021	CACTUS WELLHEAD, LLC: DIRECTOR'S FEES AND OPTIONS
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
ROSENTHAL, LEE H.	04/05/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A		B		C		D				
Description of Assets (including trust assets)		Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
1.	Conroe TX ISD 4.0% due 02/15/2021	E	Interest			Redeemed	02/16/21	O		
2.	Grapevine-Colleyville ISD 0.00% due 8/15/23 (3)		None	M	T					
3.	Hancock Cnty OH Hosp Rev, 6.25% due 12/01/34	G	Interest			Redeemed	06/01/21	P1		
4.	Lewisville, TX ISD 0.00% due 8/15/21 (3)		None			Matured	08/16/21	N	G	
5.	Montgomery Cnty MD Rev Ref-Trinity, 5.0% due 12/01/40	E	Interest			Redeemed	12/01/21	O		
6.	MA St Ser A Ltd Tax 5.0% due 04/01/27	E	Interest			Redeemed	04/01/21	O		
7.	NY St Dorm Auth Rev, 5.0% due 10/01/26	F	Interest			Redeemed	10/01/21	P1		
8.	Railsplitter IL, 5.5% due 06/01/2023	F	Interest			Redeemed	06/01/21	P1		
9.	Richmond Co, GA Dev 0% due 12/01/21 (3)		None			Matured	12/01/21	K	E	
10.	Pittsburgh CA Unif Sch Dist, 0% due 08/01/47		None	N	T					
11.	Pittsburgh CA Unif Sch Dist, 0% due 08/01/52 (3)		None	O	T					
12.	University TX Univ 5.25% due 7/1/21	E	Interest			Matured	07/01/21	N	A	
13.	WA St Ser F Mtr Veh Tax, 0.00% due 12/01//2021 (3)		None			Matured	12/01/21	O	G	
14.	Thrift Savings Plan (10) Y	D	Interest	N	T					
15.	JPM Chase - Checking	A	Interest	N	T					
16.	HSA Bank	A	Interest	L	T					
17.	Ally Bank	C	Interest	P1	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000	
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000		
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000		
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000			
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
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☐ NONE *(No reportable income, assets, or transactions.)*

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
18. Altitude Ventures Texas, LP (1)		None	L	U	Buy (add'l)	03/21/21	J		
19.					Buy (add'l)	08/25/21	J		
20. American Express Bank, FSB	D	Interest	P1	T					
21. AIF V Private Investors LLC (1)		None	J	U					
22. AIF VI Private Investors LLC (1)		None	M	U					
23. AIF VII Private Investors LLC (1)		None	K	U	Distributed (part)	01/26/21	J		
24.					Distributed (part)	04/29/21	K		
25.					Distributed (part)	10/22/21	L		
26. APAX Europe VII Private Investors, LLC (1)		None	K	U	Buy (add'l)	07/23/21	J		
27. Atlantic Trust Company, N.A.	A	Dividend			Closed	12/31/21	J		
28. Barclays Bank	D	Interest	P1	T					
29. Barvin: BG18 - Crockett Street LLC		None	L	U	Buy	11/12/21	O		
30. Barvin: BG20 - North Lamar LLC		None	M	U	Buy	12/13/21	O		
31. Bepoken (9)		None	J	W					
32. Black Crow Analytics LLC (1)		None	M	U	Buy	07/26/21	M		
33. Black Stone Minerals, LP common units	G	Distribution	P1	T					
34. Blue Crow Analytics (FTP LLC) (1)		None	M	U	Buy	10/06/21	M		

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2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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35. Cactus, Inc.(7)	D	Dividend	N	T	Buy (add'l)	02/07/21	O		
36.					Sold (part)	03/01/21	N	D	
37.					Buy (add'l)	03/11/21	N		
38.					Sold (part)	05/10/21	N	D	
39. Cactus, Inc. Restricted Stock (7)		None	J	V					
40. CADE-Common	A	Dividend			Sold	04/01/21	L	E	
41. Carlyle Asia Partners II (1)		None	J	U	Buy (add'l)	12/13/21	J		
42. CAP IV Private Investors, LLC (1)		None	N	U	Distributed (part)	02/19/21	J		
43.					Distributed (part)	03/31/21	J		
44.					Distributed (part)	04/27/21	L		
45.					Distributed (part)	07/01/21	J		
46.					Distributed (part)	07/09/21	L		
47.					Distributed (part)	08/16/21	J		
48.					Distributed (part)	10/08/21	K		
49.					Distributed (part)	12/17/21	J		
50. CAP V Private Investors, LLC (1)		None	M	U	Buy (add'l)	02/10/21	J		
51.					Buy (add'l)	02/19/21	L		

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52.					Distributed (part)	06/30/21	K		
53.					Buy (add'l)	08/20/21	K		
54.					Distributed (part)	09/28/21	J		
55.					Buy (add'l)	10/29/21	J		
56.					Distributed (part)	11/16/21	J		
57. Carlyle Japan International Partners II, L.P. (1)		None			Distributed	12/30/21	J		
58. CIT Bank	D	Interest	P1	T					
59. CJIP II Limited, L.P. (1)		None			Distributed	12/30/21	J		
60. CD&R Fund IX Private Investors, LLC (1)		None	M	U	Distributed (part)	06/09/21	K		
61.					Distributed (part)	09/27/21	L		
62.					Distributed (part)	12/02/21	L		
63. CD&R Fund X, LP (1)		None	O	U	Buy (add'l)	01/19/21	J		
64.					Buy (add'l)	02/22/21	L		
65.					Buy (add'l)	06/07/21	K		
66.					Buy (add'l)	07/06/21	M		
67.					Buy (add'l)	12/31/21	O		
68. CD&R Fund XI, LP (1)		None	M	U	Buy	09/22/21	L		

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69.					Buy (add'l)	10/04/21	L		
70.					Buy (add'l)	10/25/21	L		
71. Coatue Early Stage Fund LP (1)		None	L	U	Buy (add'l)	04/23/21	K		
72.					Buy (add'l)	10/06/21	K		
73. CVEO-Common		None	L	T					
74. Cyber Innovation Partners II, LP (1)		None	N	U	Buy (add'l)	02/22/21	K		
75.					Buy (add'l)	04/22/21	K		
76.					Buy (add'l)	09/17/21	K		
77.					Buy (add'l)	12/17/21	J		
78. Discover Bank	D	Interest	P1	T					
79. Elliott Associates, L.P. (1)		None	P2	U					
80. Elliott Co-Investment CIC A-1, LP (1)		None	N	U					
81. Elliott Co-Investment CIC A-2, LP (1)		None	L	U					
82. Elliott Co-Investment CIC A-3, LP (1)		None	N	U					
83. Elliott Co-Investment CIC A-4, LP (1)		None	M	U					
84. Elliott Co-Investment CIC A-5, LP (1)		None	M	U					
85. Elliott Co-Investment CIC A-6, LP (1)		None	M	U	Buy	02/16/21	M		

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2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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86. Elliott Co-Investment CIC A-7, LP (1)		None	L	U	Buy	04/19/21	L		
87. Elliott CIC 2 Feeder, C-1 LP (1)		None	M	U	Buy	11/01/21	M		
88. Elliott CIC 2 Feeder, A-1, LP (1)		None	M	U	Buy	11/01/21	M		
89. Elliott CIC2 Feeder A-2, LP (1)		None	M	U	Buy	11/01/21	M		
90. Encino Energy, LLC (1)		None	L	U	Distributed (part)	09/24/21	J		
91. Energy Capital Investors Fund, LLC (1)		None			Distributed	12/31/21	J		
92. Family Alignment: FA YPS LLC (1)		None	J	U	Distributed (part)	07/01/21	M		
93. Family Alignment: FA SPR LLC (1)		None	K	U					
94. Family Alignment: FA ASL LLC (1)		None	L	U					
95. Family Alignment: FA Trilliant LLC (1)		None	J	U	Distributed (part)	01/15/21	M		
96. Family Alignment: FA Pipeline LLC (1)		None	K	U					
97. Family Alignment: FA Celtic LLC (1)		None	L	U	Buy (add'l)	05/25/21	K		
98. Family Alignment: FA Sanara LLC (1)		None	L	U					
99. FDC Group McKinney, Ltd., Houston (1)		None	J	U					
100. FDC Group Crawford, Ltd., Houston (1)		None	L	U	Buy (add'l)	03/03/21	J		
101. FDC Group Dunlavy, Ltd., Houston (1)(12)	D	Rent	K	U					
102. FDC Group Wilcrest, Ltd., Houston (1)		None	K	U	Distributed (part)	12/23/21	M		

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
103. FDC Group Yorktown, Ltd., Houston (1) (12)	D	Rent	K	U					
104. FDC Group Waugh, Ltd., Houston (1)		None	L	U	Distributed (part)	12/23/21	O		
105. Finger-Roxboro, Ltd., Atlanta (1)		None	K	U	Distributed (part)	12/23/21	N		
106. Finger-VOTL, Ltd., Harris County (1)(12)		None	K	U	Distributed (part)	12/23/21	N		
107. FET-Common		None	J	T	Buy	04/01/21	J		distributed from Line 61
108. Gold Bullion		None	P1	T					
109. Goldman Sachs Bank	D	Interest	P1	T					
110. iCapital-General Atlantic 2021 Access Fund (1)		None	N	U	Buy	11/24/21	N		
111. Mt. Kellett (1)		None	J	U					
112. Mt. Kellett II (1)		None	J	U					
113. GHR Healthcare, LLC (1)		None			Distributed	12/09/21	M		
114. GHR Healthcare Holdings, LLC (1)		None	M	U	Buy	12/06/21	N		
115. Heaney Rosenthal Inc. (1)		None	J	U	Buy (add'l)	06/15/21	K		
116.					Buy (add'l)	12/15/21	K		
117. Houston Football Holdings (1)		None	N	U	Buy	07/12/21	M		
118.					Buy (add'l)	07/26/21	M		
119. HydroEx Acquistion, LLC (1)		None	M	U					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
ROSENTHAL, LEE H.	04/05/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
120. JP Morgan Chase Investment Account - Cash	A	Interest	P1	T					
121. KKR 2006 Private Investors, LLC (1)		None	L	U	Distributed (part)	01/08/21	K		
122.					Distributed (part)	03/22/21	J		
123.					Distributed (part)	06/02/21	K		
124.					Distributed (part)	06/29/21	J		
125.					Distributed (part)	09/20/21	J		
126.					Distributed (part)	11/04/21	J		
127. KKR Americas XII Private Investors (1)		None	N	U	Distributed (part)	03/05/21	J		
128.					Buy (add'l)	05/06/21	K		
129.					Buy (add'l)	06/04/21	K		
130.					Distributed (part)	06/28/21	J		
131.					Distributed (part)	07/30/21	J		
132.					Distributed (part)	09/21/21	L		
133.					Buy (add'l)	11/04/21	K		
134.					Buy (add'l)	11/19/21	J		
135. KMI-Common	E	Dividend	P1	T					
136. Mercury Fund Ventures IV, LP (1)		None	M	U	Buy (add'l)	02/05/21	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
137.					Buy (add'l)	07/16/21	L		
138. Merrill Lynch (CMA)	A	Interest	P1	T					
139. Milton Meisler Holdings LLC (1)		None			Distributed	06/01/21	O		
140. Milton ZXP Holdings (1)		None	J	U					
141. NITYA - Legacy at Westchase Investors, LLC, Houston (1)(12)	B	Rent	M	U					
142. NITYA - D2 Properties, LLC, Dallas (1)	D	Rent	J	U	Distributed (part)	02/26/21	M		
143.					Distributed (part)	11/17/21	M		
144. NITYA - Sierra Park Investors, LLC, Dallas (1)		None	J	U	Distributed (part)	04/07/21	M		
145. NITYA - TEAI LLC, Houston (1)		None	J	U					
146. NITYA - Saah Investors, Houston (1)		None	J	U					
147. NITYA - A2 Apartment Investors, Austin (1)		None			Distributed (part)	09/23/21	N		
148.					Distributed	10/04/21	M		
149. MGI Pearl Midtown, LLC, Houston (1)(12)	D	Rent	J	U					
150. MGI Pearl CityCenter, LLC, Houston (1) (12)	D	Rent	K	U					
151. MGI Pearl Midtown Residences, Ltd, Houston (1)(12)	F	Rent	M	U					
152. MGI 21Eleven Investors, LP, Houston (1) (12)	D	Rent	M	U					
153. Platform Partners, LLC (1)		None	P1	U	Distributed (part)	04/16/21	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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154.					Buy (add'l)	07/13/21	K		
155.					Distributed (part)	10/12/21	K		
156. POLIX	F	Dividend	M	T	Donated (part)				
157.					Buy (add'l)	12/23/21	O		
158.					Donated (part)				
159. Roku-Common		None	M	T	Buy (add'l)	02/26/21	K		
160.					Buy (add'l)	03/08/21	K		
161. RDS/B-ADR	E	Dividend			Sold (part)	01/20/21	M	D	
162.					Sold	02/02/21	M		
163. SCF-VI, L.P. (1)		None			Distributed (part)	04/01/21	L		
164.					Distributed	04/01/21	J		
165. SCF-VII, L.P. (1)		None	N	U	Buy (add'l)	10/20/21	J		
166. SCF-VII(a), L.P. (1)		None	L	U	Buy (add'l)	01/08/21	J		
167.					Buy (add'l)	04/06/21	J		
168.					Buy (add'l)	07/12/21	J		
169.					Buy (add'l)	10/20/21	J		
170. SCF-VII(AIV), L.P. (1)		None	M	U					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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171. SCF-VIII, L.P (1)		None	N	U	Distributed (part)	01/19/21	J		
172.					Distributed (part)	06/16/21	J		
173.					Distributed (part)	08/20/21	J		
174.					Distributed (part)	12/21/21	J		
175. SCF-VIII(AIV), L.P. (1)		None	M	U					
176. SCF-IX, LP (1)		None	N	U	Buy (add'l)	01/08/21	J		
177.					Buy (add'l)	03/25/21	J		
178.					Buy (add'l)	03/31/21	J		
179.					Buy (add'l)	04/06/21	J		
180.					Buy (add'l)	06/01/21	J		
181.					Buy (add'l)	06/17/21	J		
182.					Buy (add'l)	07/12/21	J		
183.					Buy (add'l)	10/20/21	J		
184.					Buy (add'l)	11/18/21	J		
185.					Buy (add'l)	12/03/21	J		
186. SLP VI Private Investors, LLC (1)		None	M	U	Buy	01/05/21	L		
187.					Buy (add'l)	04/29/21	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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188.					Buy (add'l)	05/14/21	K		
189.					Buy (add'l)	07/01/21	K		
190.					Buy (add'l)	09/21/21	K		
191.					Buy (add'l)	12/14/21	J		
192. SRE Properties, LP, Houston (1)(12)	C	Rent	J	U	Distributed (part)	12/28/21	M		
193. Surefire Social-Common		None	J	U					
194. Synchrony Bank	D	Interest	P1	T					
195. Sterling Group, LP (1)		None	M	U	Distributed (part)	12/31/21	O		
196. Sterling Group Management III, LP (1)		None	M	U	Distributed (part)	12/31/21	K		
197. Sterling Group Investor Partners III, LP (1)		None			Distributed	12/31/21	M		
198. Sterling Group Partners III GP, LP (1)		None	J	U	Distributed (part)	12/31/21	P1		
199. Sterling Group Partners IV GP, LP (1)		None	O	U	Buy (add'l)	12/31/21	L		
200.					Distributed (part)	12/31/21	P2		
201. Sterling Group Investments IV LLC (1)		None	L	U	Buy (add'l)	12/31/21	J		
202.					Distributed (part)	12/31/21	K		
203. Sterling Group Investor Partners IV, LP (1)		None	P1	U	Buy (add'l)	12/31/21	N		
204.					Distributed (part)	12/31/21	P1		

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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205. Sterling Group Management IV, LP (1)		None	O	U	Distributed (part)	12/31/21	P1		
206. Sterling Group Credit Management, LP (1)		None	J	U					
207. Sterling Group Credit GP, LP (1)		None	N	U	Buy (add'l)	12/31/21	K		
208.					Distributed (part)	12/31/21	L		
209. Sterling Group Credit Investor Partners, LP (1)		None	O	U	Buy (add'l)	12/31/21	M		
210.					Distributed (part)	12/31/21	O		
211. Sterling Group Management V, LP(1)		None	P1	U	Buy	12/31/21	P1		
212.					Distributed (part)	12/31/21	P1		
213. Sterling Group Credit Management II, LP (1)		None	J	U	Buy	12/31/21	J		
214. Sterling Group Credit II GP, LP(1)		None	J	U	Buy	12/31/21	J		
215. Sterling Group Credit Fund II (Executive Fund), LP		None	M	U	Buy	12/31/21	M		
216.					Distributed (part)	12/31/21	J		
217. Sterling Group Partners V GP, LP		None	N	U	Buy	12/31/21	K		
218. Sterling Group Partners V (Executive Fund), LP		None	P1	U	Buy	12/31/21	P1		
219. The Sterling Group Portfolio Companies (11) H									
220. -ADG		None	P1	U	Distributed (part)	01/19/21	J		
221. -Bad Boy Mowers		None	P1	U	Distributed (part)	01/19/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	B =$1,001 - $2,500 G =$100,001 - $1,000,000	C =$2,501 - $5,000 H1 =$1,000,001 - $5,000,000	D =$5,001 - $15,000 H2 =More than $5,000,000	E =$15,001 - $50,000
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less N =$250,001 - $500,000 P3 =$25,000,001 - $50,000,000	K =$15,001 - $50,000 O =$500,001 - $1,000,000	L =$50,001 - $100,000 P1 =$1,000,001 - $5,000,000 P4 =More than $50,000,000	M =$100,001 - $250,000 P2 =$5,000,001 - $25,000,000	
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222. -Dexko		None	J	U	Distributed (part)	10/08/21	O		
223. -Evergreen Recycling		None	N	U	Spinoff (from line 237)	09/10/21	M		
224.					Buy (add'l)	10/08/21	K		
225.					Buy (add'l)	11/05/21	J		
226. -Fencing Supply Group		None	O	U	Buy	02/23/21	N		
227.					Buy (add'l)	04/09/21	L		
228. -Frontline Road Safety		None	N	U	Buy (add'l)	04/29/21	L		
229.					Buy (add'l)	10/21/21	J		
230. -Industrial Services		None	N	U					
231. -Jenny Craig		None	K	U					
232. -Lynx FBO		None			Distributed	12/03/21	P2		
233. -L&S Mechanical		None	N	U	Buy	08/27/21	N		
234. -Northern Star		None	L	U	Buy	10/15/21	J		
235. -Polychem		None	N	U	Distributed (part)	03/29/21	M		
236.					Buy (add'l)	06/03/21	M		
237. -Powergrid		None	N	U	Buy	09/10/21	O		
238. -Rohrer		None	K	U	Buy	03/15/21	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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Name of Person Reporting	Date of Report
ROSENTHAL, LEE H.	04/05/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
239. -System Controls		None			Distributed	06/12/21	J		
240. -Tangent		None	O	U	Distributed (part)	01/19/21	P1		
241. -Time Manufacturing		None			Buy (add'l)	02/20/21	K		
242.					Distributed	12/03/21	P2		
243. -Von Drehle		None	L	U					
244. -White Cap Supply		None	P1	U					
245. The Sterling Group, L.P. 401(k): FA Stable Value	D	Int./Div.	O	T					
246. JP Morgan Chase-Checking		None	K	T					
247. JP Morgan Chase-Checking-		None	N	T					
248. Vanguard Municipal Money Market	B	Dividend	J	T					
249. Vanguard Tax-Managed Cap Appreciation-Mutual Fund	F	Dividend	P2	T	Buy (add'l)	11/02/21	P2		
250.					Sold (part)	11/02/21	P2		
251. Vanguard 500 Index-Mutual Fund	G	Dividend	P2	T	Buy (add'l)	02/22/21	M		
252.					Donated (part)				
253.					Buy (add'l)	12/23/21	P1		
254. Vanguard Federal M/M	B	Dividend	P2	T					
255. Vanguard Information Technology Index Admiral Fund	E	Dividend	P1	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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☐ NONE *(No reportable income, assets, or transactions.)*

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
256. Vanguard Dividend Appreciation ETF (10)	D	Dividend	O	T					
257. VETIQ Staffing LLC (1)		None	J	U					
258. WLR Recovery IV Investors, LLC (1)		None			Distributed	12/31/21	J		
259. WRK-Common	E	Dividend	P1	T	Donated (part)				
260.					Buy (add'l)	12/27/21	N		
261. WTTR-Common		None	L	T	Buy	04/01/21	L		distributed from Line 61
262. Xapp AI (9)		None	J	W	Spinoff (from line 263)	06/28/21	J		
263. Xapp Media (9)		None	J	W					
264. Zinc Resources LLC (1)		None	M	U	Buy	05/31/21	M		
265.					Buy (add'l)	10/27/21	K		
266. ZoChem (1)		None	M	U	Distributed (part)	03/29/21	K		
267.					Distributed (part)	06/28/21	K		
268.					Distributed (part)	09/30/21	L		
269.					Distributed (part)	12/13/21	K		
270. West Cam, L.P. (1)		None	J	U	Distributed (part)	12/31/21	J		
271. MP Geo, LLC (1)		None	J	U	Distributed (part)	12/31/21	J		
272. Midland Basin GEO, LLC (1)		None	J	U	Distributed (part)	12/31/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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273. Gamma Geo (1)		None	J	U	Distributed (part)	12/31/21	J		
274. Flex Waz (1)		None	K	U	Distributed (part)	12/31/21	J		
275. Certain LLC 1/18 (1)		None	J	U					
276. Certain Limited Partners 1/39 (1)		None	J	U					
277. IRA #1 H									
278. -Vanguard Admiral Fund Treasury M/M - Mutual Fund	A	Dividend	J	T					
279. -Vanguard Prime M/M - Mutual Fund	A	Dividend	J	T					
280. - Vanguard 500 Index - Mutual Fund	E	Dividend	P1	T	Buy (add'l)	03/15/21	M		
281. -Vanguard Federal Money Market Fund	A	Dividend	P1	T					
282. IRA #2 H									
283. -IShares Core High Dividend - ETF	E	Dividend	P1	T					
284. -Vanguard 500 Index Fund	F	Dividend	P2	T					
285. -Vanguard S&P 500 Index ETF	F	Dividend	P2	T					
286. -Vanguard Admiral Fund Treasury M/M - Mutual Fund	A	Dividend	J	T					
287. -Vanguard Federal Money Market Fund	A	Dividend	K	T					
288. - Vanguard Energy Index Fund		None	N	T	Buy	12/30/21	N		
289. -POLIX	B	Dividend	P1	T	Buy (add'l)	12/29/21	O		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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290. - ROKU-Common		None	K	T	Buy	03/26/21	K		
291. -WRK-Common	E	Dividend	O	T					
292. #2 Trust (R8) H									
293. -Merrill Lynch Reserves	A	Interest	L	T					
294. -IShares US Consumer Goods - ETF	E	Dividend	P1	T					
295. -Vanguard Tax-Managed Capital Appreciation - Mutual Fund	E	Dividend	P1	T					
296. -Vanguard Admiral Fund Treasury - Mutual Fund	A	Dividend	J	T					
297. -Vanguard Muncipal M/M - Mutual Fund	A	Dividend	J	T					
298. -Vanguard Federal M/M - Mutual Fund	A	Dividend	M	T					
299. -Elliott Associates, L.P. (1)		None	P1	U					

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1) Private entities including private company investment partnerships. For private entities, valuation is based on net book value. For such entities, valuation (Column C(2)) is based on capital account as set forth on form K-1 and income and gain is included (to the extent distributed) in cash paid or received under Column D(3) and not in Column B and/or Column D(4). The Sterling Group entities' values in Column D(2) are listed as of year-end notwithstanding when distribution was made.

(a) In connection with Footnote (1) private company investment partnerships, in absence of receipt of K-1 by filer by filing date, no information is provided as to gross value in Column C(2).

(2) Purchase and sale price of regular interest paying bonds excludes accrued interest. Interest income on regular interest paying bonds excludes accrued interest bought or sold. Gain indicated on redeemed bonds represents only the redemption amount (and premium, if any) in excess of principal amount. Bond premium or discount at purchase is assumed to be fully amortized for purposes of calculating gain or loss on sale, redemption or maturity on regular interest paying bonds, and such amortization does not affect interest reported annually.

(3) No interest income is included in Interest Income Column B(1) on zero coupon bonds. Total to date accreted interest for zero coupon bonds is included in Value Column C(1). On maturity of zero coupon bonds, total accreted interest is included in Value Column D(3). On maturity, redemption, or sale of zero coupon bonds, Value Column D(3) is the maturity value, redemption price, or sales price and Gain Column D(4) reflects the difference between the maturity value, redemption price, or sales price and the original cost.

(4) All mutual fund reinvested dividends, interest and capital gains are not separately shown as new purchases, but are included in the end of period (ColumnC(2)) values. All unreinvested distributions from mutual funds (dividends, interest and capital gains) are included in Column B(1). Money market mutual funds set forth aggregate dividend/interest paid for year and end of year value only.

(5) Municipal and U.S. Treasury bond values reflected in Value Column C(2) are based on market value.

(6) No transaction value or gain or loss is reported on non-taxable exchanges of one security for another or spin-offs of securities or stock dividends. If publicly traded, the value as of the date of the transaction when such security is received is reflected in Column C(1) Gross Value. In instances noted in first sentence, any gain is reported only when the new security is sold.

(7) Restricted stock is not valued during restriction period. After restrictions lapse, restricted stock is reflected as owned shares. A "buy" transaction is reflected in Section (D) with the date and value of the vested stock. Includes the current year option which which is unvested at year end.

(8) Oil and Gas interests – value not known to filer.

(9) Private company – value not known to filer. Estimate is provided.

(10) Inadvertently omitted in prior year report.

(11) Amounts for each portfolio company are aggregated values for the direct ownership of each entity as well as indirectly through other Sterling Group entities and are shown in Column C(2). Column D(3) reflects cash paid or received for each Sterling Group Portfolio Company. Income and gain is included (to the extent distributed) in this value.

(12) Represents a limited partnership or LLC investment in a real estate project or projects. All income noted in Column B(1) is effectively net rental income.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: S/ LEE H. ROSENTHAL

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544