AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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 | 07/24/2023 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| 515 RUSK<br>ROOM 11535<br>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. | 2022 | 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. | 2022 | THE STERLING GROUP LP AND RELATED ENTITIES: PARTNER DISTRIBUTION |
| 2. | 2022 | 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. | Bolch Judicial Institute- Duke University School of Law | May 19, 2022 – May 21, 2022 | Durham, NC | Duke Law Judges' Seminar and Bolch Institute Advisory Board Meeting | Transportation, meals, hotel |
| 2. | Bolch Judicial Institute – Duke University School of Law | May 25, 2022 – May 27, 2022 | Durham, NC | Bolch Judicial Institute - Duke Law Advanced MDL Certificate Program and McGovern Sym | Transportation, meals, hotel |
| 3. | Bolch Judicial Institute – Duke University School of Law | June 2, 2022 – June 3, 2022 | Durham, NC | Duke Law Judges' Seminar | Transportation, meals, hotel |

| | | | | | |
|---|---|---|---|---|---|
| 4. | Bolch Judicial Institute – Duke University School of Law | June 9, 2022 – June 10 2022 | Durham, NC | Duke Law Judges' Seminar | Transportation, meals, hotel |
| 5. | | | | | |
| 6. | | | | | |
| 7. | | | | | |
| 8. | | | | | |

## 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.** | 07/24/2023 |

## 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. | Calhoun Cnty TX Undep Sch Dist Ref, 5%, 2/15/24 | E | Interest | P1 | T | Buy | 04/25/22 | P1 | | |
| 2. | Central Plains Energy Proj Ne Gas, 12/1/49 | C | Interest | | T | Buy | 08/02/22 | O | | |
| 3. | Grand Pkwy Transprtn Corp TX sys,5.5%, 4/1/53 | E | Interest | P1 | T | Buy | 08/02/22 | P1 | | |
| 4. | Grapevine-Colleyville ISD 0.00% due 8/15/23 (3) | | None | M | T | | | | | |
| 5. | Harris Cnty TX Flood Ctrl Dist Ser A, 5%, 10/1/23 | E | Interest | P1 | T | Buy | 03/01/22 | P1 | | |
| 6. | Harris Cnty Ref-Road-Ser A, 5%, 10/1/29 | E | Interest | P1 | T | Buy | 05/22/22 | P1 | | |
| 7. | Klein TX Indep Sch Dist Ref-Psf-Ser 12/01/49 | E | Interest | P1 | T | Buy | 05/12/22 | P1 | | |
| 8. | Pasadena TX Indep Sch Dist, 5.0% due 2/15/43 | E | Interest | P1 | T | Buy | 03/29/22 | P1 | | |
| 9. | Pfluegerville TX Indep Sch dist Ser B Tax Var, 2/15/39 | C | Interest | P1 | T | Buy | 09/12/22 | P1 | | |
| 10. | Pittsburgh CA Unif Sch Dist, 0% due 08/01/47 | E | Interest | | | Sold | 08/01/22 | N | | |
| 11. | Pittsburgh CA Unif Sch Dist, 0% due 08/01/52 (3) | E | Interest | | | Sold | 08/01/22 | O | | |
| 12. | San Antonio TX Elec & Gas Rev, 5% due2/1/24 | E | Interest | P1 | T | Buy | 05/05/22 | P1 | | |
| 13. | Tarrant Cnty TX Clg Dist, 5%,8/15/23 | E | Interest | P1 | | | | | | |
| 14. | Tarrant Cnty TX Cultrual Edu Facs, 5%, 8/15/43 | E | Interest | P1 | | | | | | |
| 15. | TX ST Ref-Transprtn Commn-Mobility F,5% 10/1/23 | E | Interest | P1 | T | Buy | 08/23/22 | P1 | | |
| 16. | TX ST Ref-Transprtn Commn-Ser A,5% 10/1/30 | E | Interest | P1 | T | Buy | 09/28/22 | P1 | | |
| 17. | TX ST Ref-Transprtn Commn-Mobility ,5% 10/1/26 | E | Interest | P1 | T | Buy | 04/22/22 | 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 | | |
| 3 Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
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| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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) | |
| 18. JPM Chase - Checking | A | Interest | N | T | | | | | |
| 19. HSA Bank | A | Interest | J | T | | | | | |
| 20. Ally Bank | A | Interest | J | T | | | | | |
| 21. Altitude Ventures Texas, LP (1) | | None | L | U | Buy (add'l) | 9/21/22 | K | | |
| 22. American Express Bank, FSB | A | Interest | J | T | | | | | |
| 23. AIF V Private Investors LLC (1) | | None | J | U | | | | | |
| 24. AIF VI Private Investors LLC (1) | | None | M | U | | | | | |
| 25. AIF VII Private Investors LLC (1) | | None | K | U | Distributed (part) | 02/02/22 | J | | |
| 26. | | | | | Distributed (part) | 03/31/22 | J | | |
| 27. | | | | | Distributed (part) | 09/29/22 | J | | |
| 28. | | | | | Distributed (part) | 11/28/22 | J | | |
| 29. Aleph Aleph IV (1) | | None | L | U | Buy | 12/05/22 | K | | |
| 30. APAX Europe VII Private Investors, LLC (1) | | None | K | U | | | | | |
| 31. Atlantic Trust Company, N.A. | | Dividend | | | Distributed | 12/31/22 | J | | |
| 32. Barclays Bank | A | Interest | J | T | | | | | |
| 33. Barvin: BG18 - Crockett Street LLC (1) | | None | L | U | Distributed (part) | 07/19/22 | J | | |
| 34. Barvin: BG20 - North Lamar LLC (1) | | None | M | U | Distributed (part) | 07/18/22 | J | | |

| | | | | | |
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| 35. Barvin 22: Southline (1) | | None | N | U | Buy | 09/06/22 | N | | |
| 36. Bepoken (9) | | None | J | W | | | | | |
| 37. Black Crow Analytics LLC (1) | | None | | | Merged (with line 39) | | | | |
| 38. Black Stone Minerals, LP common units | G | Distribution | P1 | T | | | | | |
| 39. Blue Crow Sports Group-formerly Blue Crow Analytics (1) | | None | P1 | U | | | | | |
| 40. Cactus, Inc.(7) | D | Dividend | N | T | Sold (part) | 03/08/22 | M | | |
| 41. Cactus, Inc. Restricted Stock (7) | | None | | | | | | | |
| 42. Carlyle Asia Partners II (1) | | None | J | U | | | | | |
| 43. CAP IV Private Investors, LLC (1) | | None | M | U | Buy (add'l) | 01/20/22 | J | | |
| 44. | | | | | Distributed (part) | 03/15/22 | J | | |
| 45. | | | | | Distributed (part) | 06/03/22 | K | | |
| 46. | | | | | Distributed (part) | 06/21/22 | K | | |
| 47. | | | | | Distributed (part) | 08/29/22 | J | | |
| 48. | | | | | Distributed (part) | 09/16/22 | J | | |
| 49. | | | | | Distributed (part) | 09/20/22 | K | | |
| 50. | | | | | Distributed (part) | 11/22/22 | L | | |
| 51. | | | | | Distributed (part) | 12/19/22 | J | | |

1 Income Gain Codes: (See Columns B1 and D4)
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| 52. CAP V Private Investors, LLC (1) | | None | N | U | Buy (add'l) | 01/03/22 | K | | |
| 53. | | | | | Buy (add'l) | 04/05/22 | J | | |
| 54. | | | | | Buy (add'l) | 05/09/22 | J | | |
| 55. | | | | | Buy (add'l) | 06/01/22 | K | | |
| 56. | | | | | Buy (add'l) | 06/15/22 | J | | |
| 57. | | | | | Buy (add'l) | 07/29/22 | K | | |
| 58. | | | | | Distributed (part) | 09/27/22 | J | | |
| 59. | | | | | Distributed (part) | 10/19/22 | J | | |
| 60. | | | | | Distributed (part) | 10/28/22 | J | | |
| 61. | | | | | Buy (add'l) | 11/18/22 | K | | |
| 62. CIT Bank | A | Interest | J | T | | | | | |
| 63. CD&R Fund IX, LP (1) | | None | M | U | Distributed (part) | 01/14/22 | K | | |
| 64. | | | | | Distributed (part) | 03/30/22 | J | | |
| 65. | | | | | Distributed (part) | 06/21/22 | J | | |
| 66. | | | | | Distributed (part) | 09/29/22 | K | | |
| 67. | | | | | Buy (add'l) | 12/12/22 | J | | |
| 68. CD&R Fund X Private Investors, LLC (1) | | None | N | U | Distributed (part) | 05/02/22 | K | | |

| | | | | | | |
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| 69. | | | | | Buy (add'l) | 07/20/22 | K | | |
| 70. | | | | | Distributed (part) | 11/14/22 | J | | |
| 71. | | | | | Buy (add'l) | 11/14/22 | K | | |
| 72. | | | | | Distributed (part) | 12/12/22 | K | | |
| 73. CD&R Fund XI, LP (1) | | None | M | U | Buy (add'l) | 04/18/22 | L | | |
| 74. | | | | | Buy (add'l) | 09/30/22 | L | | |
| 75. | | | | | Buy (add'l) | 11/15/22 | L | | |
| 76. Coatue Early Stage Fund LP (1) | | None | J | U | | | | | |
| 77. CVEO-Common | | None | O | T | | | | | |
| 78. Cyber Innovation Partners II, LP (1) | | None | N | U | Buy (add'l) | 04/14/22 | K | | |
| 79. | | | | | Buy (add'l) | 04/18/22 | J | | |
| 80. | | | | | Buy (add'l) | 08/23/22 | K | | |
| 81. | | | | | Buy (add'l) | 11/10/22 | K | | |
| 82. Discover Bank | A | Interest | J | T | | | | | |
| 83. Elliott Associates, L.P. (1) | | None | P2 | U | | | | | |
| 84. Elliott Co-Investment CIC A-1, LP (1) | | None | M | U | Distributed (part) | 06/03/22 | J | | |
| 85. | | | | | Distributed (part) | 07/27/22 | J | | |

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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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## 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<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 86. Elliott Co-Investment CIC A-2, LP (1) | | None | L | U | Distributed (part) | 9/20/22 | J | | |
| 87. | | | | | Distributed (part) | 11/30/22 | J | | |
| 88. Elliott Co-Investment CIC A-3, LP (1) | | None | M | U | | | | | |
| 89. Elliott Co-Investment CIC A-4, LP (1) | | None | M | U | | | | | |
| 90. Elliott Co-Investment CIC A-5, LP (1) | | None | M | U | | | | | |
| 91. Elliott Co-Investment CIC A-6, LP (1) | | None | M | U | | | | | |
| 92. Elliott Co-Investment CIC A-7, LP (1) | | None | L | U | | | | | |
| 93. Elliott CIC 2 Feeder, C-1 LP (1) | | None | M | U | | | | | |
| 94. Elliott CIC 2 Feeder, A-1, LP (1) | | None | M | U | | | | | |
| 95. Elliott CIC2 Feeder A-2, LP (1) | | None | M | U | Buy (add'l) | 09/20/22 | J | | |
| 96. Elliott CIC2 Feeder A-3, LP (1) | | None | M | U | Buy (add'l) | 09/20/22 | M | | |
| 97. Elliott CIC2 Feeder A-4, LP (1) | | None | M | U | Buy (add'l) | 09/08/22 | M | | |
| 98. Elliott CIC2 Feeder A-5, LP (1) | | None | M | U | | | | | |
| 99. Encino Energy, LLC (1) | | None | L | U | Distributed (part) | 02/15/22 | J | | |
| 100. | | | | | Distributed (part) | 12/7/22 | K | | |
| 101. Family Alignment: FA YPS LLC (1)(9) | | None | J | W | | | | | |
| 102. Family Alignment: FA SPR LLC (1)(9) | | None | K | W | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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.** | 07/24/2023 |

## 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) | |
| 103. Family Alignment: FA ASL LLC (1) | | None | L | U | Distributed (part) | 04/21/22 | J | | |
| 104. | | | | | Distributed (part) | 07/20/22 | J | | |
| 105. Family Alignment: FA Trilliant LLC (1) | | None | J | U | Distributed (part) | 08/09/22 | J | | |
| 106. Family Alignment: FA Pipeline LLC (1) | | None | K | U | Buy (add'l) | 03/14/22 | K | | |
| 107. Family Alignment: FA Celtic LLC (1)(9) | | None | L | W | | | | | |
| 108. Family Alignment: FA Sanara LLC (1) | | None | L | U | | | | | |
| 109. FDC Group McKinney, Ltd., Houston (1) | | None | J | U | | | | | |
| 110. FDC Group Crawford, Ltd., Houston (1) | | None | L | U | | | | | |
| 111. FDC Group Dunlavy, Ltd., Houston (1)(12) | D | Rent | K | W | | | | | |
| 112. FDC Group Wilcrest, Ltd., Houston (1) | | None | K | U | Distributed (part) | 07/15/22 | K | | |
| 113. FDC Group Yorktown, Ltd., Houston (1) (12) | D | Rent | K | U | | | | | |
| 114. FDC Group Waugh, Ltd., Houston (1) | B | Rent | L | U | Distributed (part) | 7/15/22 | K | | |
| 115. Finger-Roxboro, Ltd., Atlanta (1) | | None | K | U | Distributed (part) | 07/15/22 | K | | |
| 116. Finger-VOTL, Ltd., Harris County (1) | | None | K | U | Distributed (part) | 07/15/22 | K | | |
| 117. FET-Common | | None | | | Sold | 01/31/22 | J | | |
| 118. Gold Bullion | | None | P1 | T | Buy (add'l) | 02/24/22 | O | | |
| 119. Goldman Sachs Bank | A | Interest | J | 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; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
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| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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) | |
| 120. iCapital-General Atlantic 2021 Access Fund (1) | | None | N | U | Buy | 01/19/22 | M | | |
| 121. | | | | | Buy (add'l) | 05/12/22 | M | | |
| 122. Mt. Kellett (1) | | None | J | U | | | | | |
| 123. Mt. Kellett II (1) | | None | J | U | | | | | |
| 124. GHR Healthcare Holdings, LLC (1) | | None | M | U | | | | | |
| 125. Heaney Rosenthal Inc. (1) | | None | | | Distributed | 12/31/22 | J | | |
| 126. Houston Football Holdings (1) | | None | N | U | Merged (with line 39) | | | | |
| 127. HydroEx Acquistion, LLC (1) | | None | M | U | | | | | |
| 128. JP Morgan Chase Investment Account - Cash | A | Interest | P1 | T | | | | | |
| 129. KKR 2006 Private Investors, LLC (1) | | None | L | U | Distributed (part) | 02/08/22 | J | | |
| 130. | | | | | Distributed (part) | 07/11/22 | K | | |
| 131. | | | | | Distributed (part) | 09/30/22 | K | | |
| 132. | | | | | Distributed (part) | 12/8/22 | J | | |
| 133. KKR Americas XII Private Investors (1) | | None | N | U | Distributed (part) | 01/18/22 | K | | |
| 134. | | | | | Buy (add'l) | 03/02/22 | J | | |
| 135. | | | | | Distributed (part) | 03/10/22 | J | | |
| 136. | | | | | Distributed (part) | 05/17/22 | 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; 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; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
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| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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) | |
| 137. | | | | | Distributed (part) | 08/01/22 | J | | |
| 138. | | | | | Distributed (part) | 08/18/22 | J | | |
| 139. | | | | | Buy (add'l) | 11/30/22 | J | | |
| 140. KMI-Common | F | Dividend | P1 | T | | | | | |
| 141. Mercury Fund Ventures IV, LP (1) | B | Interest | M | U | Distributed (part) | 01/06/22 | K | | |
| 142. | | | | | Buy (add'l) | 08/28/22 | J | | |
| 143. Mercury Fund Ventures V, LP (1) | | None | L | U | Buy (add'l) | 07/07/22 | K | | |
| 144. | | | | | Buy (add'l) | 09/20/22 | K | | |
| 145. Merrill Lynch (CMA) | A | Interest | P1 | T | | | | | |
| 146. Milton ZXP Holdings (1) | | None | J | U | | | | | |
| 147. New Enterprise Associates-NEA 18 | | None | L | U | Buy | 05/09/22 | L | | |
| 148. | | | | | Buy (add'l) | 06/30/22 | J | | |
| 149. | | | | | Buy (add'l) | 09/26/22 | J | | |
| 150. | | | | | Buy (add'l) | 10/28/22 | J | | |
| 151. | | | | | Buy (add'l) | 11/30/22 | J | | |
| 152. NITYA - Legacy at Westchase Investors, LLC, Houston (1)(12) | | None | | | Distributed | 12/31/22 | J | | |
| 153. NITYA - D2 Properties, LLC, Dallas (1) | | | | | Distributed | 12/31/22 | J | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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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| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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) | |
| 154. NITYA - Sierra Park Investors, LLC, Dallas (1) | | | | | Distributed | 12/31/22 | J | | |
| 155. NITYA - TEAI LLC, Houston (1) | | None | J | U | Distributed (part) | 04/19/22 | K | | |
| 156. NITYA - Saah Investors, Houston (1) | | None | J | U | | | | | |
| 157. NITYA - A2 Apartment Investors, Austin (1) | | None | | U | Distributed | 12/31/22 | K | | |
| 158. MGI Pearl Midtown, LLC, Houston (1)(12) | D | Rent | J | U | | | | | |
| 159. MGI Pearl CityCenter, LLC, Houston (1) (12) | D | Rent | J | U | | | | | |
| 160. MGI Pearl Midtown Residences, Ltd, Houston (1)(12) | D | Rent | M | U | | | | | |
| 161. MGI 21Eleven Investors, LP, Houston (1) (12) | D | Rent | M | U | | | | | |
| 162. Platform Partners, LLC (1) | | None | P1 | U | Distributed (part) | 01/11/22 | L | | |
| 163. | | | | | Distributed (part) | 04/11/22 | L | | |
| 164. | | | | | Distributed (part) | 08/02/22 | J | | |
| 165. | | | | | Distributed (part) | 11/01/22 | J | | |
| 166. | | | | | Distributed (part) | 12/02/22 | M | | |
| 167. POLIX | | None | | | Sold | 01/31/22 | J | | |
| 168. Roku-Common | | None | M | T | | | | | |
| 169. SCF-VII, L.P. (1) | | None | N | U | Distributed (part) | 10/18/22 | K | | |
| 170. | | | | | Distributed (part) | 11/08/22 | 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 |
| | 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 | 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) | |
| 171. SCF-VII(a), L.P. (1) | | None | L | U | | | | | |
| 172. SCF-VII(AIV), L.P. (1)(9) | | None | M | W | | | | | |
| 173. SCF-VIII, L.P (1) | | None | M | U | Distributed (part) | 02/03/22 | J | | |
| 174. | | | | | Distributed (part) | 08/19/22 | J | | |
| 175. | | | | | Distributed (part) | 11/16/22 | J | | |
| 176. SCF-VIII(AIV), L.P. (1)(9) | | None | M | W | | | | | |
| 177. SCF-IX, LP (1) | | None | O | U | Buy (add'l) | 02/17/22 | K | | |
| 178. | | | | | Buy (add'l) | 04/06/22 | J | | |
| 179. | | | | | Buy (add'l) | 08/19/22 | J | | |
| 180. | | | | | Buy (add'l) | 09/06/22 | J | | |
| 181. | | | | | Buy (add'l) | 10/06/22 | L | | |
| 182. | | | | | Distributed (part) | 10/18/22 | J | | |
| 183. | | | | | Distributed (part) | 12/16/22 | J | | |
| 184. SLP VI Private Investors, LLC (1) | | None | M | U | Buy (add'l) | 01/13/22 | L | | |
| 185. | | | | | Buy (add'l) | 07/01/22 | K | | |
| 186. | | | | | Buy (add'l) | 09/23/22 | M | | |
| 187. | | | | | Buy (add'l) | 09/27/22 | J | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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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☐ 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) | |
| 188. | | | | | Buy (add'l) | 12/14/22 | J | | |
| 189. SRE Properties, LP, Houston (1)(12) | C | Rent | J | U | Distributed (part) | 07/22/22 | K | | |
| 190. Surefire Social-Common | | None | J | U | | | | | |
| 191. Synchrony Bank | A | Interest | J | T | | | | | |
| 192. Sterling Group, LP (1) | | None | M | U | Distributed (part) | | | | |
| 193. Sterling Group Management III, LP (1) | | None | M | U | Distributed (part) | 12/23/22 | L | | |
| 194. Sterling Group Partners III GP, LP (1) | | None | J | U | | | | | |
| 195. Sterling Group Partners IV GP, LP (1) | | None | O | U | | | | | |
| 196. | | | | | | | | | |
| 197. Sterling Group Investments IV LLC (1) | | None | L | U | | | | | |
| 198. Sterling Group Investor Partners IV, LP (1) | | None | P1 | U | | | | | |
| 199. Sterling Group Management IV, LP (1) | | None | O | U | Distributed (part) | 02/11/22 | N | | |
| 200. | | | | | Distributed (part) | 04/13/22 | N | | |
| 201. | | | | | Distributed (part) | 07/15/22 | N | | |
| 202. Sterling Group Credit Management, LP (1) | | None | J | U | | | | | |
| 203. Sterling Group Credit GP, LP (1) | | None | N | U | | | | | |
| 204. Sterling Group Credit Investor Partners, LP (1) | | None | O | 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
U =Book Value V =Other W =Estimated

| Name of Person Reporting | Date of Report |
|---|---|
| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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) | |
| 205. | | | | | Distributed (part) | | | | |
| 206. Sterling Group Management V, LP(1) | | None | P1 | U | Distributed (part) | 02/11/22 | O | | |
| 207. | | | | | Distributed (part) | 04/13/22 | O | | |
| 208. | | | | | Distributed (part) | 07/15/22 | O | | |
| 209. Sterling Group Credit Management II, LP (1) | | None | J | U | | | | | |
| 210. Sterling Group Credit II GP, LP(1) | | None | J | U | | | | | |
| 211. Sterling Group Credit Fund II (Executive Fund), LP | | None | M | U | | | | | |
| 212. Sterling Group Partners V GP, LP | | None | N | U | | | | | |
| 213. Sterling Group Partners V (Executive Fund), LP | | None | P1 | U | | | | | |
| 214. The Sterling Group Portfolio Companies (11) H | | | | | | | | | |
| 215. -ADG | | None | P1 | U | Distributed (part) | 01/19/22 | J | | |
| 216. | | | | | Distributed (part) | 08/05/22 | J | | |
| 217. -Bad Boy Mowers | | None | P1 | U | Distributed (part) | 01/19/22 | J | | |
| 218. | | | | | Distributed (part) | 08/05/22 | J | | |
| 219. -Dexko | | None | J | U | Distributed | 12/23/22 | K | | |
| 220. -Ergotron | | None | O | U | Buy | 06/28/22 | O | | |
| 221. | | | | | Buy (add'l) | 10/20/22 | 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

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
|---|---|
| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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) | |
| 222. | | | | | Distributed (part) | 12/14/22 | K | | |
| 223. | | | | | Distributed (part) | 12/20/22 | J | | |
| 224. -Evergreen Recycling | | None | M | U | Buy (add'l) | 02/01/22 | N | | |
| 225. | | | | | Buy (add'l) | 10/06/22 | J | | |
| 226. | | | | | Buy (add'l) | 10/20/22 | J | | |
| 227. | | | | | Distributed (part) | 12/14/22 | J | | |
| 228. -Fencing Supply Group | | None | O | U | Buy (add'l) | 01/19/22 | K | | |
| 229. | | | | | Buy (add'l) | 02/01/22 | L | | |
| 230. | | | | | Buy (add'l) | 06/28/22 | K | | |
| 231. - Gulf Winds | | None | N | U | Buy | 12/07/22 | K | | |
| 232. | | | | | Buy (add'l) | 12/14/22 | N | | |
| 233. -Frontline Road Safety | | None | N | U | Buy (add'l) | 05/12/22 | M | | |
| 234. | | | | | Distributed (part) | 08/05/22 | L | | |
| 235. -Industrial Services | | None | N | U | | | | | |
| 236. -Jenny Craig | | None | K | U | | | | | |
| 237. -L&S Mechanical | | None | M | U | | | | | |
| 238. -Marcal Paper Group (X) | | None | L | U | Spinoff (from line 257) | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
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| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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. -Northern Star | | None | L | U | Buy | 10/15/21 | J | | |
| 240. -nThrive | | None | L | U | Buy | 01/19/22 | L | | |
| 241. | | | | | Distributed (part) | 02/01/22 | J | | |
| 242. | | | | | Buy (add'l) | 03/11/22 | J | | |
| 243. | | | | | Buy (add'l) | 06/28/22 | L | | |
| 244. -Polychem | | None | N | U | Distributed (part) | 03/29/21 | M | | |
| 245. | | | | | Buy (add'l) | 06/03/21 | M | | |
| 246. -PowerGrid | | None | N | U | Distributed (part) | 01/19/22 | K | | |
| 247. | | | | | Distributed (part) | 02/01/22 | L | | |
| 248. | | | | | Buy (add'l) | 06/28/22 | L | | |
| 249. | | | | | Distributed (part) | 12/14/22 | J | | |
| 250. -Rohrer | | None | K | U | | | | | |
| 251. -Tangent | | None | O | U | Distributed (part) | 01/19/22 | O | | |
| 252. | | | | | Buy (add'l) | 04/01/22 | J | | |
| 253. | | | | | Buy (add'l) | 04/12/22 | L | | |
| 254. -Time Manufacturing | | None | | | Distributed | 05/12/22 | K | | |
| 255. | | | | | Distributed | 05/18/22 | 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 |
| | 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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| Name of Person Reporting | Date of Report |
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| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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) | |
| 256. | | | | | Distributed | 12/20/22 | J | | |
| 257. -Von Drehle | | None | | | Distributed | 12/31/22 | | | |
| 258. - West Star Aviation | | None | O | U | Buy | 02/01/22 | O | | |
| 259. | | | | | Buy (add'l) | 06/28/22 | L | | |
| 260. -White Cap Supply | | None | P1 | U | | | | | |
| 261. The Sterling Group, L.P. 401(k): FA Stable Value | D | Int./Div. | O | T | | | | | |
| 262. JP Morgan Chase-Checking | | None | K | T | | | | | |
| 263. JP Morgan Chase-Checking- | | None | N | T | | | | | |
| 264. Vanguard Municipal Money Market | E | Dividend | L | T | | | | | |
| 265. Vanguard Tax-Managed Cap Appreciation-Mutual Fund | G | Dividend | P2 | T | | | | | |
| 266. Vanguard 500 Index-Mutual Fund | G | Dividend | P2 | T | Sold (part) | 06/10/22 | P1 | | |
| 267. | | | | | Sold (part) | 05/17/22 | P2 | | |
| 268. | | | | | Sold (part) | 09/14/22 | P2 | | |
| 269. | | | | | Sold (part) | 10/17/22 | P1 | | |
| 270. Vanguard Federal M/M | D | Dividend | P2 | T | | | | | |
| 271. Vanguard Information Technology Index Admiral Fund | E | Dividend | P1 | T | Sold (part) | 12/16/22 | M | | |
| 272. Vanguard Dividend Appreciation ETF (10) | D | Dividend | O | 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 | |
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☐ 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 | | | | |
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| 273. VETIQ Staffing LLC (9) | | None | J | W | | | | | |
| 274. WRK-Common | E | Dividend | P1 | T | | | | | |
| 275. WTTR-Common | | None | | | Sold | 01/31/22 | J | | |
| 276. Xapp AI (9) | | None | J | W | Spinoff (from line 277) | | | | |
| 277. Xapp Media (9) | | None | J | W | | | | | |
| 278. Zinc Resources LLC (1) | | None | M | U | Buy (add'l) | 12/31/22 | L | | |
| 279. ZoChem (1) | | None | J | U | Distributed (part) | 12/31/22 | N | | |
| 280. West Cam, L.P. (1) | | None | J | U | Distributed (part) | 12/31/22 | J | | |
| 281. MP Geo, LLC (1) | | None | J | U | Distributed (part) | | | | |
| 282. Midland Basin GEO, LLC (1) | | None | J | U | Distributed (part) | | | | |
| 283. Gamma Geo (1) | | None | J | U | Distributed (part) | 12/31/22 | J | | |
| 284. Flex Waz (1) | | None | K | U | Distributed (part) | 12/31/22 | J | | |
| 285. IRA #1 H | | | | | | | | | |
| 286. -Vanguard Admiral Fund Treasury M/M - Mutual Fund | A | Dividend | J | T | | | | | |
| 287. -Vanguard Prime M/M - Mutual Fund | A | Dividend | J | T | | | | | |
| 288. - Vanguard 500 Index - Mutual Fund | E | Dividend | P1 | T | | | | | |
| 289. -Vanguard Federal Money Market Fund | A | Dividend | P1 | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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☐ 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) | |
| 290. IRA #2 H | | | | | | | | | |
| 291. -IShares Core High Dividend - ETF | E | Dividend | P1 | T | | | | | |
| 292. -Vanguard 500 Index Fund | F | Dividend | P2 | T | | | | | |
| 293. -Vanguard S&P 500 Index ETF | F | Dividend | P2 | T | | | | | |
| 294. -Vanguard Admiral Fund Treasury M/M - Mutual Fund | A | Dividend | J | T | | | | | |
| 295. -Vanguard Federal Money Market Fund | A | Dividend | K | T | | | | | |
| 296. - Vanguard Energy Index Fund | | None | N | T | | | | | |
| 297. -POLIX | | None | | | Sold | 01/31/22 | M | D | |
| 298. - ROKU-Common | | None | K | T | | | | | |
| 299. -WRK-Common | E | Dividend | O | T | | | | | |
| 300. #2 Trust (R8) H | | | | | | | | | |
| 301. -Merrill Lynch Reserves | A | Interest | L | T | | | | | |
| 302. -IShares US Consumer Goods - ETF | E | Dividend | P1 | T | | | | | |
| 303. -Vanguard Tax-Managed Capital Appreciation - Mutual Fund | E | Dividend | P1 | T | | | | | |
| 304. -Vanguard Admiral Fund Treasury - Mutual Fund | A | Dividend | J | T | | | | | |
| 305. -Vanguard Muncipal M/M - Mutual Fund | A | Dividend | J | T | | | | | |
| 306. -Vanguard Federal M/M - Mutual Fund | A | Dividend | M | T | | | | | |

| | | | | | |
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| | 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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☐ 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) | |
| 307. -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 |
| | 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 | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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.

| Name of Person Reporting | Date of Report |
|---|---|
| **ROSENTHAL, LEE H.** | 07/24/2023 |

## 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
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