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RECEIVED BY: SECRETARY OF THE SENATE

Date: August 13, 2024

**ELIAS
LAW
GROUP**

250 Massachusetts Ave NW, Suite 400 | Washington, DC 20001

August 13, 2024

Secretary of the Senate
Office of Public Records
232 Hart Senate Building
Washington, DC 20510

Re: Senator Richard Blumenthal

Dear: Madam Secretary

We are writing on behalf of Senator Richard Blumenthal. Enclosed please find Senator Blumenthal's Public Financial Disclosure Report for the calendar year 2023.

Please do not hesitate to call us should you have further questions. Thank you for your attention to this matter.

Very truly yours,





Kate S. Keane
Counsel to Senator Richard Blumenthal

Enclosures

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Date: August 13, 2024

UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

Amendment

Last Name	First Name and Middle Initial	Annual Report Calendar Year Covered by Report	Senate Office / Agency in Which Employed
Blumenthal	Richard	2023	United States Senate
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report Termination Date (mm/dd/yy)	Prior Office / Agency in Which Employed
706 Hart Office Building US Senate - Washington, DC 20510	202-224-2823	N/A	N/A

AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

		YES	NO			YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, complete and attach PART I.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$480 from one source)? If Yes, complete and attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income totaling \$200 or more from any reportable source in the reporting period? If Yes, complete and attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (i.e., more than \$10,000) during the reporting period? If Yes, complete and attach PART VII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, complete & attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, complete and attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$480 and not otherwise exempt)? If Yes, complete and attach PART V.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<u>If this is your FIRST Report:</u> Did you receive compensation of more than \$5,000 from a single source in the two prior years? If Yes, complete and attach PART X.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Each question must be answered and the appropriate PART attached for each "YES" response.

**FOR OFFICIAL USE ONLY
Do Not Write Below this Line**

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Date: August 13, 2024

CONFIDENTIAL DISCLOSURE OF PAYMENTS TO CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA

Last Name	First Name and Middle Initial	Telephone Number (Include Area Code)	
Blumenthal	Richard	202-224-2823	
<input checked="" type="checkbox"/> ANNUAL FILER	Calendar Year Covered by Annual Report	Office / Agency in which Employed	
	2023		
<input type="checkbox"/> TERMINATION FILER	Dates Covered by Termination Report	Office / Agency in which Formerly Employed	Termination Date (mm/dd/yy)

Who Must File: Any reporting individual who files a public Annual or Termination Financial Disclosure Report with the Senate must also file this confidential report if that individual writes, gives a speech, or makes an appearance (or a series of articles, speeches, or appearances which are directly related to official duties or the status of the individual within the government) for which the sponsoring organization makes a payment directly to a charitable organization in lieu of honoraria. To determine whether you are a reporting individual for purposes of this report, please refer to the Financial Disclosure Instructions for CY 2023 or contact the Select Committee on Ethics (the Committee).

Where to File: File this report with the Select Committee on Ethics, Room 220, Hart Senate Office Building, Washington, DC 20510.
 (Note: This is not the filing location for public Financial Disclosure Reports.)

When to File: Reporting individuals should file this report no later than May 15, annually. In the event that any filing date falls on a weekend or federal holiday, the filing deadline shall be the next business day. If an individual terminates employment, the report **must** be filed no later than the 30th day after termination. Reasonable extensions may be granted if requested in writing, but the total of all such extensions may not exceed 90 days. These filing deadlines correspond with the filing dates of the Senate Public Financial Disclosure Report.

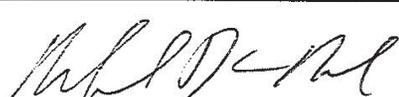
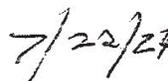
Contents of Reports: List the date of the payment (or, if unascertainable, the date of the activity giving rise to the payment), the name and address (city, state) of the source of the payment, the name and address (city, state) of the recipient charitable organization, and the amount of the payment. Include all payments which correspond to the reporting period of the annual or termination public financial disclosure form filed in conjunction with this report. Please sign your report certifying that your report is complete and correct, and that no payments were made to charitable organizations

from which you or your parent, sibling, spouse, child, or dependent relative receives any financial benefit. If you attach additional pages, please number them.

Penalty Provisions: Any individual who is required to file this report and does so more than 30 days after the filing deadline, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a mandatory \$200 penalty. Waivers of this penalty may be granted by the Committee in extraordinary circumstances, if requested in writing. Falsifying or failing to file this report may result in the imposition of civil and criminal sanctions (see 5 U.S.C. § 13103 et seq. and 18 U.S.C. § 1001).

Review of Reports: These reports will be reviewed by the Committee along with the corresponding public reports within 60 days of the filing date. These reports will be kept confidential by the Committee in accordance with the Ethics in Government Act of 1978, as amended.

Date	Source of Payment (Name, Address)	Recipient Charitable Organization (Name, Address)	Amount
	See attached		

Certification I CERTIFY that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief. No financial benefit is derived from any charitable organization listed by me, or a parent, sibling, spouse, child or dependent relative of mine.	Signature of Reporting Individual	Date (Month, Day, Year)
		

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Date: August 13, 2024

Reporting Individual's Name		<input type="checkbox"/> Amendment	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA			Page Number
Richard Blumenthal						1
Report the source (name and address), date, and amount of any payment from each source to a charitable organization made in lieu of honoraria to you during the reporting period. Identify the activity (speech, article, or appearance), which generated the payment (see Financial Disclosure Instructions for CY 2023, p. 17).						
Note: Travel expenses in excess of \$480 related to activities giving rise to these payments must be reported on Part VI, Reimbursements.						
Date of Payment		Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount	
Example:	3/26/2X	Association of American Associations	Wash., DC	EXAMPLE Speech	\$1,000	
	7/23/2X	XYZ Magazine	NY, NY	EXAMPLE Article	\$500	
1	2/3/23	Avi Freedberg, payment to Temple Beth El Stamford 2023 'Temple Rock' Benefit Event	Stamford, CT	Appearance	\$2,000	
2	2/3/23	Leon Shapiro, payment to Temple Beth El Stamford 2023 'Temple Rock' Benefit Event	Stamford, CT	Appearance	\$2,000	
3	4/22/23	Michelle Morson, payment to Temple Sinai of Stamford Building Our Future Gala	Stamford, CT	Appearance	\$500	
4	4/21/23	Patsy Brescia, payment to 2023 Norwalk Mayor's Charity Ball - Supporting Open Doors & Filling in the Blanks	Norwalk, CT	Article	\$400	
5	5/6/23	Jacob Jesson, payment to Hartford Symphony Orchestra's 2023 Annual Gala	Avon, CT	Appearance	\$2,000	
6	5/6/23	Mitch Piper, payment to Hartford Symphony Orchestra's 2023 Annual Gala	Hartford, CT	Appearance	\$2,000	
7	5/6/23	Esther Pryor, payment to Hartford Symphony Orchestra's 2023 Annual Gala	West Hartford, CT	Appearance	\$2,000	
8	5/21/23	Matt Greenberg, payment to Schoke Jewish Family Services 2023 Annual 'Evening with Schoke JFS' Benefit	Stamford, CT	Appearance	\$1,500	
9	6/13/23	Debra Ann West, payment to Liberation Programs' Annual Spirit of Hope Fundraiser	Stamford, CT	Appearance	\$985.78	
10	6/16/23	Kim Adams, payment to Center for Empowerment and Education's "A Spark for Change" Fundraising Dinner	Bethel, CT	Appearance	\$1,000	
11	6/29/23	Joel Quintong, payment to Stamford Public Education Foundation's 'Tee Off for Education' Golf Tournament	Stamford, CT	Appearance	\$250	
12	9/10/23	Laura LeVelle, payment to Connecticut Institute for Refugees and Immigrants	Fairfield, CT	Appearance	\$2,000	
13	10/14/23	Rick E. Donner, payment to Lockwood-Mathews Mansion Museum	Pound Ridge, NY	Appearance	\$2,000	
Note: A separate, confidential report that names the charitable organization receiving such payments must be filed with the Select Committee on Ethics, Room 220, Hart Senate Office Building, Washington, DC 20510.						

000000000355 RECEIVED BY: SECRETARY OF THE SENATE Date: August 13, 2024

Reporting Individual's Name	<input type="checkbox"/> Amendment	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number 2
Richard Blumenthal			

Report the source (name and address), date, and amount of any payment from each source to a charitable organization made in lieu of honoraria to you during the reporting period. Identify the activity (speech, article, or appearance), which generated the payment (see Financial Disclosure Instructions for CY 2023, p. 17).

Note: Travel expenses in excess of \$480 related to activities giving rise to these payments **must** be reported on Part VI, Reimbursements.

	Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
	<i>3/26/2X</i>	<i>Association of American Associations</i>	<i>Wash., DC</i>	EXAMPLE <i>Speech</i>	<i>\$1,000</i>
Example:	<i>7/23/2X</i>	<i>XYZ Magazine</i>	<i>NY, NY</i>	EXAMPLE <i>Article</i>	<i>\$500</i>
14	10/14/23	David Scott Parker, payment to Lockwood-Mathews Mansion Museum	Southport, CT	Appearance	\$2,000
15	10/15/23	Lee P. Miller, payment to Israel Cancer Research Fund Annual Gala	New York, NY	Appearance	\$1,000
16	11/19/23	John Newton, payment to Housatonic Valley Association	Jacksonville, FL	Appearance	\$2,000
17	11/19/23	Louise van Tartwijk, payment to Housatonic Valley Association	Warren, CT	Appearance	\$2,000
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Note: A separate, confidential report that names the charitable organization receiving such payments **must** be filed with the Select Committee on Ethics, Room 220, Hart Senate Office Building, Washington, DC 20510.

Reporting Individual's Name	<input type="checkbox"/> Amendment	PART II. EARNED AND NON-INVESTMENT INCOME	Page Number 3
Richard Blumenthal			

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	<i>JP Computers</i>	<i>Wash., DC</i>	EXAMPLE	<i>Salary</i>
	<i>MCI (Spouse)</i>	<i>Arlington, VA</i>	EXAMPLE	<i>Over \$1,000</i>
1	State of Connecticut Retirement Division	Hartford, CT	Pension	70,479
2	Traditional IRA - Fidelity Management Trust Co - Custodian	Albuquerque, NM	IRA required min. dist.	2,753
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Date: August 13, 2024

Reporting Individual's Name Richard Blumenthal	<input type="checkbox"/> Amendment	PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES	Page Number 5
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BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources		BLOCK B Valuation of Assets								BLOCK C Type and Amount of Income																								
Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.		At the close of reporting period. If None, or less than \$1,001, Check the first column.								Type of Income						Amount of Income																		
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
		Example: S, DC, or J																																
	S,									X							Example						Example											
	(S)									X							Example						Example											
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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.
 *** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Click...to create an additional page for this part.

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Reporting Individual's Name Richard Blumenthal		Amendment	PART IV. TRANSACTIONS										Page Number 17				
Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.			Transaction Type (x)		Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)											
			Purchase	Sale		Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Identification of Assets																	
Example: S, DC, or J	<i>IBM Corp. (stock) NYSE</i>		X		2 / 1 / 1X		X			E	X	A	M	P	L	E	
	<i>(DC) Microsoft (stock) NASDAQ/OTC</i>			X	1 / 27 / 1X			X	E	X	A	M	P	L	E		
16	S	IHeartMedia Inc (Stock)(IHRT)		X	11/13/23			X									
17	S	IHeartMedia Inc (Stock)(IHRT)		X	11/14/23			X									
18	S	FoxTrot Ventures, Inc (Convertible Promissory Note - Series D Preferred Stock)	X		11/15/23			X									
19	S	Tacombi Holding NA, LLC (Convertible Promissory Note - Class A Stock)	X		11/17/23				X								
20	S	Radcliff BR I (Feeder) LLC	X		11/28/23		X										
21	S	Alphabet Inc. (Stock)(GOOG)		X	12/29/23					X							
22	S	Amazon Inc.(Stock)(AMZN)		X	12/29/23					X							
23	S	Intel Corp. (Stock)(INTC)		X	12/29/23					X							
24	S	Microsoft Corp. (Stock)(MSFT)		X	12/29/23						X						
25																	
26	S	Summa I LLC - AAM Partners LLC:															
27	S	Admiral Acquisition LTD (Stock) (ADMR)	X		5/22/23				X								
28																	
29	S	New Things LLC - AAM Partners LLC:															
30	S	Admiral Acquisition LTD (Stock) (ADMR)	X		5/22/23		X										
EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.																	
*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.																	

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Reporting Individual's Name: Richard Blumenthal Amendment: **PART IV. TRANSACTIONS** Page Number: 18

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

Identification of Assets			Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)												
			Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000		
Example:																			
S, DC, or J																			
		IBM Corp. (stock) NYSE	X			2 / 1 / 1X		X				E	X	A	M	P	L	E	
		(DC) Microsoft (stock) NASDAQ/OTC		X		1 / 27 / 1X				X		E	X	A	M	P	L	E	
31	S	Peter L Malkin Family 2000 LLC - AAM Partners LLC:																	
32	S	Admiral Acquisition LTD (Stock) (ADMR)	X			5/22/23			X										
33																			
34	S	LarryMae Partners LLC:																	
35	S	Radius Global Infrastructure Inc (Stock)(RADI)(40)		X		8/14/23					X								
36																			
37	S	Peter L Malkin Family 9 LLC:																	
38	S	ArborGen Inc (31)		X		5/5/23	X												
39	S	Olo Inc (Stock) (OLO) (30)		X		5/18/23	X												
40	S	Admiral Acquisition LTD (Stock) (ADMR)	X			5/22/23				X									
41	S	Sentera Convertible Note (Convertible Debt Note)	X			5/30/23		X											
42	S	Kansas City Georgetown Apartments L.L.C. (11)		X		6/5/23			X										
43	S	Robinhood Markets (Stock) (HOOD) (32)(37)		X		6/29/23		X											
44	S	Brazilian SELIC (LFT) Bonds (Held by BTG)	X			7/25/23			X										
45																			

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.
 *** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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RECEIVED BY: SECRETARY OF THE SENATE

Date: August 13, 2024

Reporting Individual's Name Richard Blumenthal	Amendment	PART IV. TRANSACTIONS	Page Number 19
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Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

Identification of Assets		Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	
Example:	IBM Corp. (stock) NYSE	X			2 / 1 / 1X		X				E	X	A	M	P	L	E
S, DC, or J	(DC) Microsoft (stock) NASDAQ/OTC		X		1 / 27 / 1X			X	E	X	A	M	P	L	E		
46	Richard Blumenthal																
47	FID Intermediate Bond Fund		X		3/31/23	X											
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EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.
 *** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting Individual's Name Richard Blumenthal	<input type="checkbox"/> Amendment	PART IX. AGREEMENTS OR ARRANGEMENTS	Page Number 20
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Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	<i>Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)</i>	Jones & Smith, Hometown, USA EXAMPLE	1 / 94
	<i>Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between \$50,001-\$100,000, signing bonus between \$2,501-\$5,000 and stock options</i>	XYZ Co., Bethesda, MD EXAMPLE	1 / 1X
1	Defined benefit pension plan interest - Tier 1 of State Employees Retirement System (SERS):	State of Connecticut, Hartford, CT	4/94
2	Benefit payable by State of Connecticut is \$70,478.52. Upon death, one half of benefit is payable to his spouse.		
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RECEIVED BY: SECRETARY OF THE SENATE

Date: August 13, 2024

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Footnotes to Part IIIB and IV

- (1) 2023 Purchase
- (2) Not previously reported due to valuation and income not meeting the thresholds.
- (3) Although we have requested additional information from the fund manager, additional information is not known or ascertainable; and the filer has no power or authority to direct the investments of the financial arrangement.
- (4) The entity is managed from London, England.
- (5) The entity is managed from Greenwich, CT.
- (6) Geo Energy Partners LLC – The general partner of the partnership has provided the following information:

“GEO Energy Partners LLC, a California limited partnership (the “Partnership”) has been issued several undeveloped geothermal resource leases from the Bureau of Land Management of the United States Department of the Interior (“BLM”) covering several thousand acres of land in central Nevada. In addition, the Partnership has been issued several undeveloped geothermal resource leases from both BLM and private sources covering several thousand acres of land in southern California. The Partnership also receives distributions from revenue generated by a power plant located in southern California, which the Partnership does not manage or operate.”
- (7) Gaivota LLC was acquired by and rebranded under Seedz Cayman Limited on 1/17/23.
- (8) Blue Ridge Capital, LP began a total fund liquidation at the discretion of the fund managers in 2018. A balance of fund remained to be released to investors as of 12/31/23.

- (9) Sole underlying asset.
- (10) Both CMB 2020 Trust and Cynthia Blumenthal have an interest in Peter L. Malkin Family 2000 LLC. CMB 2020 Trust is a grantor trust with Cynthia Blumenthal as the grantor and sole beneficiary. The value of the Peter L. Malkin Family 2000 LLC transactions listed on Periodic Transaction Reports and Part IV represent the combined interest of CMB 2020 Trust and Cynthia Blumenthal in the Peter L. Malkin Family 2000 LLC transactions. CMB 2020 Trust's and Cynthia Blumenthal's respective ownership of Peter L. Malkin Family 2000 LLC are listed separately in Part IIIB.
- (11) Kansas City Georgetown Apartments was sold on 6/5/2023. A portion of the proceeds were held back for claims against the reserve, and, if there are none, a final distribution is expected to happen in 2024.
- (12) SuR Trading SpA d/b/a Smiley Kids Foods declared bankruptcy 2/9/23 so no income nor Fair Market Value is reported in 2023.

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- (13) Parian Global US Fund II was fully liquidated and made final distributions of its assets to its limited partners on 7/14/23.
- (14) Shares were distributed from ContiCoffee LP on 8/9/23 then sold on 8/24/23.
- (15) Sera Prognostics (SERA) shares were distributed from Parian Global Special Opportunity Fund II LP on 7/14/22. Not previously reported due to valuation and income not meeting the thresholds.
- (16) Intentionally left blank.
- (17) Mojo SPV 7 LLC dissolved 11/28/23, so there is no Fair Market Value at the end of 2023. However, the fund did not make its final distribution until 2024, therefore, there is no income to be reported in 2023 but there will be in 2024.
- (18) Intentionally left blank.
- (19) Intentionally left blank.
- (20) Intentionally left blank.
- (21) CMB 2020 Trust distributed a portion of its interest in Peter L. Malkin Family 2000 LLC to Cynthia Blumenthal.
- (22) Intentionally left blank.
- (23) Intentionally left blank.
- (24) Intentionally left blank.

- (24) Intentionally left blank.
- (25) Intentionally left blank.
- (26) Intentionally left blank.
- (27) ESO Addison owns Seven Developments Ltd (UK Co) and its wholly owned subsidiary Windmill Property Trading Ltd (Jersey Co). Sale of this asset was announced 8/9/23 and final distributions were received 8/21/23.
- (28) ESO Holiday Parks owns South West Holiday Parks Ltd (UK Co) and its wholly owned subsidiaries Mawgan Porth Holiday Park Ltd (UK Co) and Greenwood Garage Holidays Ltd (UK Co).
- (29) ESO Maylands owns Esoteric Developments Ltd (UK Co) and Carbon Holdco SARL (Luxembourg Co).

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- (30) OLO was distributed 5/16/23 from RRE Ventures IV.
- (31) Shares distributed from Cellfor Inc., which was below reporting threshold and is no longer held.
- (32) Shares were originally distributed on 6/28/23 from Amplo I LP.
- (33) Intentionally left blank.
- (34) Consonance Capital Investors LP began a total fund liquidation at the discretion of the fund managers in 2023. A balance of fund remained to be released to investors as of 12/31/23.
- (35) Intentionally left blank.
- (36) Held back sale proceeds and has been sold on 06/05/2023 and begun final distributions on 03/27/2023. A portion of the proceeds were held back for claims against the reserve, and if there are none another distribution is expected to happen in 2024.
- (37) Purchases were inadvertently reported with a higher value on the PTR dated August 7st, 2023.
- (38) Purchases were inadvertently reported with a lower value on the PTR dated August 7st, 2023.
- (39) Purchases were inadvertently reported with a higher value on the PTR dated September 19th, 2023.
- (40) Purchases were inadvertently reported with a lower value on the PTR dated September 19th, 2023.

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Note:

Neither the filer nor his spouse has a vested beneficial interest in CMB 2012 GST or CMB 2010 Family Trust. Accordingly, these trusts and their underlying transactions do not appear on the CY 2023 report.