

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

### Filer's Information

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**Teramoto, Wendy**

Senior Advisor, Department of Commerce

Date of Appointment: 03/14/2017

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Teramoto, Wendy [electronically signed on 07/10/2017 by Teramoto, Wendy in Integrity.gov] - Filer received a 90 day filing extension.**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

**/s/ Hermanowicz, Rebecca, Certifying Official [electronically signed on 08/23/2017 by Hermanowicz, Rebecca in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

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Data Revised 08/23/2017

Data Revised 08/08/2017

Data Revised 08/03/2017

Data Revised 07/28/2017

Data Revised 07/27/2017

Data Revised 07/26/2017

Data Revised 07/24/2017

Data Revised 07/20/2017

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Diamond S Shipping, Inc.	New York, New York	Corporation	Director	1/2014	7/2017
2	WL Ross & Co. LLC	New York, New York	Limited Liability Company	Managing Director	7/2000	7/2017
3	DSS Holdings GP Limited	New York, New York	Corporation	Director	9/2011	5/2017
4	NT Suez One LLC	Oslo, Outside U.S.	Limited Liability Company	Authorized Representative	10/2014	3/2017
5	NT Suez Two LLC	Oslo, Outside U.S.	Limited Liability Company	Authorized Representative	10/2014	3/2017
6	The Greenbrier Companies, Inc.	Lake Oswego, Oregon	Corporation	Director	6/2009	3/2017
7	Navigator Holdings Ltd.	London, Outside U.S.	Corporation	Director	11/2014	7/2017
8	Nautical Bulk Holding Limited	Bermuda, Outside U.S.	Corporation	Director	9/2014	7/2017
9	Wagon PLC	Birmingham, Outside U.S.	Public Limited Company	Director	7/2008	9/2012
10	WL Ross Holding Corp.	New York, New York	Corporation	Senior Vice President	3/2014	5/2016
11	NT Suez Holdco LLC	Marshall Islands, Outside U.S.	Limited Liability Company	Authorized Representative	9/2014	3/2017
12	NT Suez GP LLC	Marshall Islands, Outside U.S.	Limited Liability Company	Manager	9/2014	3/2017
13	WLR/TRF Shipping GP LLC	Marshall Islands, Outside U.S.	Limited Liability Company	Director	11/2013	7/2017

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
14	TRF/Solus GP LLC	Marshall Islands, Outside U.S.	Limited Liability Company	Director	4/2014	7/2017
15	SWS VLLC GP LLC	Marshall Islands, Outside U.S.	Limited Liability Company	Director	7/2015	7/2017
16	Invesco	Atlanta, Georgia	Corporation	Managing Director	10/2006	7/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Invesco Group Services	N/A		Salary	\$450,000
2	Invesco Group Services	N/A		Bonus	\$750,000
3	Invesco 401k	No			None (or less than \$201)
3.1	Invesco American Franchise Trust	Yes	\$1,001 - \$15,000		
3.2	Invesco Diversified Dividend Trust	Yes	\$15,001 - \$50,000		
3.3	Invesco Growth and Income Trust	Yes	\$15,001 - \$50,000		
3.4	Invesco Retire Trust 500 Index	Yes	\$15,001 - \$50,000		
3.5	SSgA IRS LCap Grth Idx NLSF CLC	Yes	\$1,001 - \$15,000		
3.6	SSgA LCap Val Idx NLSF CLC	Yes	\$15,001 - \$50,000		
3.7	Invesco Mid Cap Growth Tr	Yes	\$1,001 - \$15,000		
3.8	Invesco Small Cap Growth R6	Yes	\$1,001 - \$15,000		
3.9	Invesco US Quant Small Val TR	Yes	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.10	SSgA S&P Mid Cap Index Fund C/NL	Yes	\$15,001 - \$50,000		
3.11	Victory Sycamore Established Value	Yes	\$1,001 - \$15,000		
3.12	Invesco Developing Markets R6	Yes	\$1,001 - \$15,000		
3.13	Invesco Inter Grwth Eqty Tr	Yes	\$15,001 - \$50,000		
3.14	SSgA Global Equity ex US Index C	Yes	\$50,001 - \$100,000		
3.15	Invesco US REITs Trust	Yes	\$15,001 - \$50,000		
3.16	SSgA REIT Index NL SF CL C	Yes	\$15,001 - \$50,000		
3.17	Invesco Balanced-Risk ALLoc Tr	Yes	\$15,001 - \$50,000		
3.18	DFA Inflation-Protected Securities	Yes	\$15,001 - \$50,000		
3.19	Invesco Core Plus Fixed Inc Tr	Yes	\$15,001 - \$50,000		
3.20	Invesco Floating Rate R6	Yes	\$15,001 - \$50,000		
3.21	Invesco High Yield R6	Yes	\$15,001 - \$50,000		
3.22	PIMCO Real Return Instl	Yes	None (or less than \$1,001)		
3.23	SSgA U.S. Bond Index Non-Lending Se	Yes	\$15,001 - \$50,000		
3.24	SSgA US Inflation Protected Bond Id	Yes	\$15,001 - \$50,000		
3.25	Invesco Stable Val Trust CF	Yes	\$15,001 - \$50,000		
4	WLR Recovery Associates IV LLC	See Endnote	No	\$100,001 - \$250,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	WLR Recovery Fund IV, L.P. - Carried Interest See Endnote	N/A	\$1,000,001 - \$5,000,000		
4.2	WLR Recovery Fund IV, L.P.	No			
4.2.1	International Textile Group (textiles) (no longer held)	N/A			
4.2.2	WLR-Greenbrier Rail Inc. (railroads) (no longer held)	N/A			
4.2.3	Sun Bancorp, Inc.	N/A			
4.2.4	Cascade Bancorp	N/A			
4.2.5	Amalgamated Bank (banking)	N/A			
4.3	WLR Recovery Fund IV XCO Feeder I, L.P.	No			
4.3.1	WLR Recovery Fund IV XCO AIV I, L.P.	No			
4.3.1.1	EXCO Resources, Inc.	N/A			
4.4	WLR Recovery Fund IV XCO Feeder II, L.P.	No			
4.4.1	WLR Recovery Fund IV XCO AIV II, L.P.	No			
4.4.1.1	EXCO Resources, Inc.	N/A			
4.5	WLR Recovery Fund IV XCO Feeder III, L.P.	No			
4.5.1	WLR Recovery Fund IV XCO AIV III, L.P.	No			
4.5.1.1	EXCO Resources, Inc.	N/A			
4.6	WLR IV RRH AIV, L.P.	No			
4.6.1	Cantor Commercial Real Estate Company (real estate financing)	N/A			
4.7	WLR IV RRH Blocked AIV, L.P.	No			
4.7.1	Cantor Commercial Real Estate Company (real estate financing)	N/A			
4.8	WLR IV PPIP AIV, L.P.	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8.1	Invesco Mortgage Recovery Master Fund, L.P.	No			
4.8.1.1	Invesco Legacy Securities Master Fund, L.P. See Endnote	N/A			
4.9	WLR IV PPIP AIV Feeder, L.P.	No			
4.9.1	WLR IV PPIP AIV, L.P. See Endnote	No			
4.10	WLR IV Loans AIV Feeder, L.P. (Delaware)	No			
4.10.1	WLR IV Loans AIV, L.P.	No			
4.10.1.1	Invesco Mortgage Recovery Master Loans AIV, L.P.	No			
4.10.1.1.1	WLR LeFrak Northwest LLC (real estate loans)	N/A			
4.10.1.1.2	IMRF Hotel Fifth Street Member LLC (real estate loans)	N/A			
4.10.1.1.3	Park Place Apollo Investor LLC (real estate loans)	N/A			
4.10.1.1.4	Market Square Member LLC (real estate loans)	N/A			
4.10.1.1.5	Indiana Retail Member LLC (real estate loans)	N/A			
4.10.1.1.6	Colfin Milestone North Funding LLC (commercial real estate loans)	N/A			
4.10.1.1.7	IMRF Hotel Member LLC (real estate loans)	N/A			
4.10.1.1.8	IMRF Watchtower Member LLC (real estate loans)	N/A			
4.10.1.1.9	Shackelford Crossings Member LLC (real estate loans)	N/A			
4.10.1.1.10	IMRF Industrial Member LLC (real estate loans)	N/A			
4.11	WLR IV Loans AIV Feeder, (Cayman) L.P.	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.11.1	WLR IV Loans AIV, L.P.	See Endnote	No			
4.12	WLR IV Loans AIV, L.P.	See Endnote	No			
5	WLR Mezzanine Associates, LLC (income not readily ascertainable)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
5.1	WLR Mezzanine Splitter, L.P. (Cayman)		No			
5.1.1	WLR Cardinal Associates Ltd.		No			
5.1.1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)		No			
5.1.1.1 .1	Dwyer Nolan: Elmfield Property Holdings, Ltd. Tranche A (real estate loans)		N/A			
5.1.1.1 .2	Hennebry, O'Toole, Exmonde Partnership (real estate loans)		N/A			
5.1.1.1 .3	Henciti Limited (real estate loans)		N/A			
5.1.1.1 .4	Genesis Homes (Mungret) Limited (real estate loans)		N/A			
5.1.1.1 .5	Charlemont Regene (real estate loans)		N/A			
5.1.1.1 .6	Chirita Limited (real estate loans)		N/A			
5.1.1.1 .7	Kitty Developments Limited (real estate loans)		N/A			
5.1.1.1 .8	Newpark Developments Limited (real estate loans)		N/A			
5.1.1.1 .9	RGRE Ballsbridge Devco No. 3 (real estate loans)		N/A			
5.1.1.1 .10	Chalon Finance DAC (real estate loans)		N/A			
5.2	WLR Cardinal Mezzanine Fund L.P. (Cayman) -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Absolute Recovery Capital Partners LLC	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
6.1	Absolute Recovery Hedge Fund Ltd. (Cayman)		No			
6.1.1	Absolute Recovery Master Fund Ltd.	See Endnote	N/A			
6.2	Absolute Recovery Hedge Fund L.P.	See Endnote	N/A			
7	WLR Recovery Associates LLC (cash)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	WLR Conduit MM LLC (income not readily ascertainable)	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
8.1	WLR-SC Financing Conduit LLC		No			
8.1.1	Resolution Recovery Partners LP (real estate)		N/A			
8.1.2	Transportation Recovery Fund, L.P.		No			
8.1.2.1	WLR/TRF Shipping GP Ltd.		No			
8.1.2.1.1	WLR/TRF Shipping LP (Cayman)		No			
8.1.2.1.1.1	WLR/TRF Shipping S.a r.l.	See Endnote	No			
8.1.2.2	WLR/TRF Shipping LP (Cayman)	See Endnote	No			
8.1.2.3	WLR/TRF Shipping II GP Ltd.		No			
8.1.2.3.1	WLR/TRF Shipping II LP (Cayman)		No			
8.1.2.3.1.1	WLR/TRF Shipping II S.a r.l.	See Endnote	No			
8.1.2.4	WLR/TRF Shipping II LP (Cayman)	See Endnote	No			
8.1.3	American Energy - Permian Basin LLC, bonds		N/A			
8.1.4	Comstock Resources, Inc., warrants		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.1.5	Energen Corp.		N/A			
8.1.6	Laredo Petroleum Inc.		N/A			
8.1.7	Northern Oil and Gas Inc.		N/A			
8.1.8	New Penn Financial LLC (mortgage financing)		N/A			
8.1.9	QEP Resources Inc.		N/A			
8.1.10	Breitburn Energy Partners, bonds		N/A			
8.1.11	Rex Energy Corp.		N/A			
8.1.12	WPX Energy Inc.		N/A			
8.1.13	Comstock Resources, equity		N/A			
8.1.14	Shellpoint Partners LLC (mortgage lending)		N/A			
8.1.15	Cantor Commercial Real Estate Company (real estate financing)		N/A			
8.1.16	Situs Holdings, LLC (commercial mortgage servicing)		N/A			
8.2	Approach Resources, Inc., bonds		N/A			
8.3	Lightstream Resources, bonds		N/A			
8.4	WLR Conduit MM LLC -- Carried Interest	See Endnote	N/A	\$100,001 - \$250,000		
9	WLR Recovery Associates V LLC	See Endnote	No	\$50,001 - \$100,000	Capital Gains Interest Dividends	\$100,001 - \$1,000,000
9.1	WLR V RRH Blocked AIV, L.P.		No			
9.1.1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
9.2	WLR V RRH AIV, L.P.		No			
9.2.1	Cantor Commercial Real Estate Company (real estate financing)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3	WLR V RRH Feeder AIV LLC		No			
9.3.1	WLR V RRH Blocked AIV, L.P.		No			
9.3.1.1	Cantor Commercial Real Estate Company (real estate financing)		N/A			
9.4	WLR Recovery Fund V Mezzanine AIV Blocker, L.P.		No			
9.4.1	WLR Recovery Fund V Mezzanine AIV, L.P.		No			
9.4.1.1	WLR Recovery Fund V Mezzanine Holdings LLC		No			
9.4.1.1 .1	WLR Cardinal Associates Ltd.		No			
9.4.1.1 .1.1	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
9.4.1.1 .2	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
9.5	WLR Recovery Fund V Mezzanine AIV, L.P.		No			
9.5.1	WLR Recovery Fund V Mezzanine Holdings LLC	See Endnote	No			
9.6	WLR Recovery Fund V, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
9.7	WLR V RRH Blocked AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
9.8	WLR V RRH AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
9.9	WLR Recovery Fund V, L.P.		No			
9.9.1	Virgin Money (banking) (no longer held)		N/A			
9.9.2	Amalgamated Bank (banking)		N/A			
9.9.3	NBNK Investments PLC (investments) (no longer held)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.9.4	CCRE/Berkeley Point Financial LLC (real estate)		N/A			
9.9.5	Bank of Cyprus (banking)		N/A			
9.9.6	PB Materials Holdings, Inc. (construction)		N/A			
9.9.7	Carbures Inc. (nano carbon fiber manufacturing)		N/A			
9.9.8	DSS Holdings, L.P. (transoceanic shipping)		N/A			
9.9.9	American Energy - Permian Basin LLC, bonds		N/A			
9.9.10	Approach Resources, Inc., bonds		N/A			
9.9.11	Breitburn Energy Partners, bonds		N/A			
9.9.12	Comstock Resources Inc., warrants		N/A			
9.9.13	Lightstream Resources, bonds		N/A			
9.9.14	WLR Eurobank Investment, L.P.		No			
9.9.14.1	Eurobank Ergasias SA (banking)		N/A			
10	WLR Select Associates LLC	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
10.1	WLR Select Co-Investment XCO AIV, L.P.		No			
10.1.1	Exco Resources, Inc.		N/A			
10.2	WLR Select Co-Investment XCO AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
11	WLR Recovery Associates II, LLC (income not readily ascertainable)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
11.1	WLR Recovery Fund II, L.P. -- Carried Interest	See Endnote	N/A	\$1,001 - \$15,000		
11.2	WLR Recovery Fund II, L.P.		No			
11.2.1	International Textile Group (textiles) (no longer held)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.2.2	WLR Cone Mills Surplus Assets LLC (textiles) (no longer held)		N/A			
11.2.3	Ohizumi Mfg Co Ltd. (electronics, Japan) (no longer held)		N/A			
11.2.4	Nano-Tex LLC (textiles) (no longer held)		N/A			
11.2.5	IAC Group North America LLC (automotive parts)		N/A			
11.2.6	IAC Group Brazil LLC (automotive parts)					
12	WLR Recovery Associates III, LLC (income not readily ascertainable)	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)
12.1	WLR Recovery Fund III, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
12.2	WLR Recovery Fund III, L.P.		No			
12.2.1	International Textile Group (textiles) (no longer held)		N/A			
12.2.2	IAC Group North America LLC (automotive parts)		N/A			
12.2.3	IAC Group Brazil LLC (automotive parts)		N/A			
12.2.4	OCM India Limited (textiles) (no longer held)		N/A			
13	WLR Master Co-Investment SLP Associates L.P. (Cayman) (income not readily ascertainable)	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
13.1	WLR/GS Master Co-Investment L.P. (Cayman) -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
14	WLR Recovery Associates V DSS AIV GP, Ltd.		No	\$15,001 - \$50,000	Dividends Capital Gains Interest	\$50,001 - \$100,000
14.1	WLR Recovery Associates V DSS AIV, L.P.		No			
14.1.1	WLR Recovery Fund V DSS AIV, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.1.2	WLR Recovery Fund V DSS AIV, L.P.		No			
14.1.2. 1	WLR/TRF Shipping LP (Cayman)	See Endnote	No			
14.1.2. 2	WLR/TRF Shipping II LP (Cayman)	See Endnote	No			
14.1.2. 3	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
14.1.2. 4	DSS Holdings, L.P. (transoceanic shipping)		N/A			
15	Starboard WLR Associates LP	See Endnote	No	\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
15.1	Starboard Recovery Associates, L.P.		No			
15.1.1	WLR Navig8 Co-Investment, L.P.		No			
15.1.1. 1	WLR/TRF Shipping S.a. r.l.	See Endnote	No			
15.2	Transportation Recovery Fund, L.P. -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
16	India Asset Recovery Associates LLC (income not readily ascertainable)	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
16.1	India Asset Recovery GP Ltd. (Cayman)		No			
16.1.1	India Asset Recovery Fund LP -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
16.1.2	India Asset Recovery Fund LP		No			
16.1.2. 1	India Asset Recovery Fund Limited		No			
16.1.2. 1.1	OCM India Limited (textiles)		N/A			
17	IRA #1				Dividends Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1	Cash	N/A	None (or less than \$1,001)		
17.2	APERAM NY Registry Shares	Yes	None (or less than \$1,001)		
17.3	ARCELORMITTAL SA NY Reg.	Yes	\$1,001 - \$15,000		
17.4	WLR Recovery Associates LLC (cash)	See Endnote	N/A		
18	IRA #2			Interest Dividends	\$2,501 - \$5,000
18.1	Cash	N/A	\$15,001 - \$50,000		
18.2	American Funds Growth	Yes	\$50,001 - \$100,000		
18.3	Davis New York Venture Fund Class A	Yes	\$50,001 - \$100,000		
18.4	JP Morgan Mid Cap Value Sund Class A	Yes	\$50,001 - \$100,000		
18.5	Lazard Emerging Market Portfolio-Open Shares	Yes	\$15,001 - \$50,000		
18.6	Victory RS Partners Fund Class A	Yes	\$15,001 - \$50,000		
18.7	PIMCO Real Return	Yes	\$15,001 - \$50,000		
18.8	Virtus Multi-Sector Short Term Bond Fund - Class A	Yes	\$15,001 - \$50,000		
19	WLR Nanotechnology LP LLC	No	\$1,001 - \$15,000		None (or less than \$201)
19.1	Masters Capital Nanotechnology Fund, LP	No			
19.1.1	Daylight Solutions, Inc.	N/A			
19.1.2	Nanosys, Inc.	N/A			
20	Ross CG Cypress Associates, LLC	See Endnote	No	\$15,001 - \$50,000	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.1	Ross CG Cypress Associates, LP	See Endnote	N/A			
20.2	Ross CG Cypress Associates, LP -- Carried Interest	See Endnote	N/A	\$1,001 - \$15,000		
21	Ross CG Pearl Associates, LLC	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
21.1	Taiyo Pearl GP, L.P.		No			
21.1.1	Taiyo Pearl Delaware Fund, L.P.		No			
21.1.1.1	Taiyo Pearl Master Fund, L.P.		No			
21.1.1.1.1	Nifco Inc. (plastics)		N/A			
21.1.1.1.2	J Trust Co. Ltd. (financial services; real estate)		N/A			
21.1.1.1.3	Matsui Securities Co. Ltd. (financial services)		N/A			
21.1.1.1.4	Topcon Corp. (positioning instruments)		N/A			
21.1.1.1.5	Ulvac Inc. (machinery)		N/A			
21.1.1.1.6	Disco Corp. (precision tools)		N/A			
21.1.1.1.7	Horiba Ltd. (precision instruments)		N/A			
21.1.1.1.8	Peptidream Inc. (pharmaceuticals, Japan)		N/A			
21.1.1.1.9	Nissha Printing Co. Ltd. (Manufacturing, electronics, and medical devices, Japan)		N/A			
21.1.1.1.10	Miraca Holdings Inc. (healthcare)		N/A			
21.1.1.1.11	CyberAgent, Inc. (internet business)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.1.2	Taiyo Pearl Fund, L.P.		No			
21.1.2.1	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
21.1.3	Taiyo Pearl Fund, Ltd.		No			
21.1.3.1	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
21.1.4	Taiyo Pearl Master Fund, L.P.	See Endnote	No			
21.2	Ross CG Pearl Associates, LP -- carried interest	See Endnote	N/A	\$1,001 - \$15,000		
22	Asia Recovery Associates L.P.	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
22.1	Asia Recovery Co-Invest Partners, L.P.		No			
22.1.1	Ohizumi Mfg Co Ltd. (electronics, Japan) (no longer held)		N/A			
22.2	Asia Recovery Associates L.P. -- Carried Interest	See Endnote	N/A	\$15,001 - \$50,000		
23	WLR Recovery Associates IV DSS AIV GP, Ltd. (Cayman)		No			
23.1	WLR Recovery Associates IV DSS AIV, L.P.	See Endnote	No	\$50,001 - \$100,000	Capital Gains Dividends Interest	\$50,001 - \$100,000
23.1.1	WLR Recovery Fund IV DSS AIV, L.P.		No			
23.1.2	WLR Recovery Fund IV DSS AIV, L.P. (Cayman)		No			
23.1.2.1	DSS Holdings LP Class A (transoceanic shipping)		N/A			
23.1.2.2	DSS Holdings LP Class B (transoceanic shipping)		N/A			
23.1.2.3	Navigator Holdings Ltd. (transoceanic shipping)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.1.2. 4	DSS Holdings GP Ltd. (transoceanic shipping)		N/A			
23.2	WLR Recovery Fund IV DSS AIV, L.P. -- Carried Interest	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)
24	WLR Select Associates DSS GP Ltd. (Cayman)		No	\$1,001 - \$15,000	Dividends Capital Gains Interest	\$201 - \$1,000
24.1	WLR Select Associates DSS, L.P.		No			
24.1.1	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)		No			
24.1.1. 1	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
24.1.2	WLR Select Co-Investment, L.P. (Cayman) -- Carried Interest (value not readily ascertainable)	See Endnote	N/A			
24.1.3	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)		No			
24.1.3. 1	WLR Mezzanine Splitter, L.P. (Cayman)	See Endnote	No			
24.1.3. 2	WLR Cardinal Mezzanine Fund L.P. (Cayman)	See Endnote	No			
24.1.4	WLR Select Co-Investment, L.P. (Cayman)		No			
24.1.4. 1	WLR IV VM II LLC	See Endnote	No			
24.1.4. 2	Navigator Holdings Ltd. (transoceanic shipping)		N/A			
24.1.4. 3	PB Materials Holdings Inc. (construction)		N/A			
24.1.4. 4	DSS Holdings, L.P. (shipping)		N/A			
24.2	WLR Select Co-Investment Mezzanine AIV Blocker, L.P. (Cayman)		No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.2.1	WLR Select Co-Investment Mezzanine AIV, L.P. (Cayman)	See Endnote	No			
25	U.S. Brokerage Account #1				Interest	\$1,001 - \$2,500
25.1	Invesco Ltd. (IVZ)		N/A	\$100,001 - \$250,000		
25.2	Invesco Ltd. (IVZ), restricted stock	See Endnote	N/A	\$500,001 - \$1,000,000		
25.3	Cash		N/A	\$100,001 - \$250,000		
26	Nexeo Solutions (NXEO)		N/A	\$250,001 - \$500,000		None (or less than \$201)
27	Nexeo Solutions (NXEO) restricted stock (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)
28	Navigator Holdings Ltd. (transoceanic shipping)		N/A	\$100,001 - \$250,000		None (or less than \$201)
29	Navigator Holdings Ltd. (transoceanic shipping), restricted stock (value not readily ascertainable)	See Endnote	N/A			None (or less than \$201)

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

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	Invesco, Ltd.	See Endnote	Atlanta, Georgia	I received restricted shares of stock as part of my compensation from Invesco. Generally, those restricted shares would vest in tranches over a period after the date on which they were granted, but Invesco has a policy of vesting all outstanding unvested shares upon a friendly termination. My termination is considered friendly, so my outstanding unvested shares will vest once I resign from WL Ross & Co. The shares are currently scheduled to vest on 1/15/2018.	2/2013

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	WLR Recovery Associates II, LLC	New York, New York	I am a member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	3/2002
3	WLR Recovery Associates III, LLC	New York, New York	I am a member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	8/2005
4	WLR Recovery Associates IV, LLC	New York, New York	I am a member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	11/2007
5	WLR Recovery Associates V, LLC	New York, New York	I am a member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	2/2011
6	Starboard WLR Associates L.P.	New York, New York	I serve as a Limited Partner of this entity, which receives a share of the carried interest in Transportation Recovery Fund, L.P. through its general partner, Starboard Recovery Associates L.P. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	10/2013
7	WLR Select Associates LLC	New York, New York	I am a member of this entity, which serves as General Partner of an underlying fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	12/2010

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
8	WLR Mezzanine Associates, LLC	New York, New York	I am a member of this entity, which serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	5/2015
9	India Asset Recovery Associates LLC	New York, New York	I am a member of this entity, which holds an interest in India Asset Recovery GP, Ltd. That entity holds a carried interest in the India Asset Recovery Fund as its general partner. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	2/2006
10	Asia Recovery Associates, L.P.	New York, New York	Asia Recovery Associates LP is the General Partner of Asia Recovery Co-Invest Partners, L.P.. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the general partner/	4/2005
11	WLR Conduit MM LLC	New York, New York	I have different arrangements for the various underlying assets. For the Shellpoint investment, I receive an 8% preferential return, plus a 10% carried interest. For the Subsequent Platform Company asset, I receive s 20% carried interest. For the energy bonds, I receive an index amount, plus a 15% carried interest.	1/2010
12	Ross CG Cypress Associates, LP	New York, New York	Ross CG Cypress Associates LLC serves as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	4/2008
13	Ross CG Pearl Associates, LP	New York, New York	Ross CG Pearl Associates LLC serves as General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	8/2007

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
14	Ross Expansion FLP L.P.	New York, New York	Ross Expansion GP, LLC is the General Partner of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	12/2005
15	WLR Nanotechnology GP LLC	New York, New York	I serve as a member of this entity, which in turn serves as General Partner ("GP") of various underlying funds. The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	1/2006
16	WLR Recovery Associates IV DSS LP (Cayman)	, Outside U.S.	I am a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	11/2011
17	WLR Recovery Associates V DSS LP (Cayman)	, Outside U.S.	I am a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	2/2011
18	WLR Select Associates DSS, L.P. (Cayman)	, Outside U.S.	I am a shareholder in the General Partner of this entity, which in turn serves as a General Partner of a fund. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	12/2010
19	WLR Master Co-Investment SLP GP Ltd. (Cayman)	, Outside U.S.	This entity is the General Partner of a partnership holding a carried interest in the WLR/GS Master Co-Investment L.P. fund.	8/2011
20	Invesco, Ltd.	Atlanta, Georgia	I will receive a pro-rated discretionary performance-based bonus for services rendered in 2017.	10/2006
21	Invesco Ltd.	Atlanta, Georgia	I participate in Invesco's 401k plan. I will keep my investments in the plan, but Invesco will no longer contribute to the plan.	10/2006

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
22	WLR Master Co-Investment SLP Associates, L.P. (Cayman)	, Outside U.S.	I am an investor in WLR Master Co-Investment SLP Associates, L.P. (Cayman), which is the general partner of WLR/GS Master Co-Investment L.P. (Cayman). The GP is entitled to a carried interest. After investors recoup their principal plus an 8% return, the General Partner receives 2% as a carried interest. Any profit above that is divided 80% to investors, 20% to the General Partner.	4/2011

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Invesco, Ltd.	Atlanta, Georgia	I serve as Managing Director and Partner of WL Ross & Co, LLC., a wholly-owned subsidiary of Invesco, Ltd. I receive my salary and bonus from Invesco Group Services.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CityVines, Inc. (wine sales and distribution) (New York, NY)			Salary	\$175,000
2	Verve Holdings, LLC (wine sales and distribution) (New York, NY)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage Account #2			Dividends Interest	\$15,001 - \$50,000
1.1	Cash	N/A	\$1,000,001 - \$5,000,000		

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	ALTRIA Group Inc.		N/A	\$1,001 - \$15,000		
1.3	APERAM NY Registry Shares		N/A	\$1,001 - \$15,000		
1.4	ARCELORMITTAL SA NY Reg.		N/A	\$15,001 - \$50,000		
1.5	Greenbrier Cos. Inc.		N/A	\$500,001 - \$1,000,000		
1.6	KRAFT HEINZ Co.		N/A	\$1,001 - \$15,000		
1.7	Mondelez Intl Inc		N/A	\$1,001 - \$15,000		
1.8	Philip Morris Intl Inc		N/A	\$15,001 - \$50,000		
1.9	SPDR S&P 500 ETF TR		Yes	\$15,001 - \$50,000		
2	U.S. Brokerage Account #3 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. Bank Account #1		N/A	\$500,001 - \$1,000,000	Interest Dividends	\$201 - \$1,000
4	U.S. Bank Account #2		N/A	\$1,001 - \$15,000		None (or less than \$201)
5	U.S. Bank Account #3		N/A	\$1,001 - \$15,000		None (or less than \$201)
6	U.S. Bank Account #4		N/A	\$250,001 - \$500,000		None (or less than \$201)
7	U.S. Bank Account #5		N/A	\$50,001 - \$100,000		None (or less than \$201)
8	U.S. Certificate of Deposit (sold)	See Endnote	N/A	\$100,001 - \$250,000		\$1,001 - \$2,500
9	U.S. Bank Account #6 (Cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
10	LibreMax Partners, LP (New York, NY)	See Endnote	No	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	U.S. Bank Account #7 (Cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
12	U.S. Bank Account #8 (Cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
13	SelectMinds Oracle Indemnification Escrow    See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	Northwestern Mutual, whole life	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	WLR Conduit MM LLC	Capital Commitment	\$50,001 - \$100,000	2013	N/A	Life of fund
2	WLR Recovery Associates IV LLC	Capital Commitment	\$100,001 - \$250,000	2007	N/A	Life of fund
3	WLR Recovery Associates V LLC	Capital Commitment	\$50,001 - \$100,000	2010	N/A	Life of fund
4	India Asset Recovery Associates LLC	Capital Commitment	\$50,001 - \$100,000	2006	N/A	Life of fund
5	Starboard WLR Associates, L.P.	Capital Commitment	\$100,001 - \$250,000	2013	N/A	Life of fund

## 9. Gifts and Travel Reimbursements

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

## Endnotes

PART	#	ENDNOTE
2.	4	This represents the capital account balance.
2.	4.1	This represents WLR Recovery Associates IV LLC's carried interest in WLR Recovery Fund IV, L.P.
2.	4.8.1.1	No underlying assets remain.
2.	4.9.1	Underlying assets previously disclosed at line 4.8
2.	4.11.1	Underlying assets previously disclosed at 4.10.1
2.	4.12	Underlying assets previously disclosed at 4.10.1
2.	5	The value represents the capital account balance. The income for the reporting period is not readily ascertainable.
2.	5.2	Represents the carried interest held by WLR Mezzanine Associates LLC in WLR Cardinal Mezzanine Fund L.P. The current carried interest is zero.
2.	6	This entity contains no operating companies. It holds only cash.
2.	6.1.1	This entity no longer holds any underlying assets.
2.	6.2	This entity no longer holds any underlying assets.
2.	7	This entity no longer has any underlying assets.
2.	8	Value reflects capital account balance.
2.	8.1.2.1.1.1	This entity owns subsidiaries which each own individual transoceanic tanker ships. There are 25 individual LLCs that own the ships: NCM Holding I LLC; NCM Holding II LLC; WLR/TRF KZ Holding I LLC; WLR/TRF KZ Holding II LLC; WLR/TRF KZ Holding III LLC; WLR/TRF Holding III LLC; WLR/TRF Maemi LLC; NT Suez Holdco LLC; NT Suez GP LLC; NT Suez One LLC; NT Suez Two LLC; WLR/TRF Tanker Two LLC; WLR/TRF HMN8 Holdings I LLC; WLR/TRF HMN8 Holdings II LLC; WLR/TRF HMN8 Holdings III LLC; WLR/TRF HMN8 Holdings IV LLC; WLR/TRF HMN8 Holdings V LLC; WLR/TRF HMN8 Holdings VI LLC; TRF/Solus JV LLC; TRF/Solus GP LLC; HAN VLCC 1 LLC; HAN VLCC II LLC; SWS VLCC JV LLC; SWS VLCC GPLLC; SWS VLCC LLC.
2.	8.1.2.2	Underlying assets shown at 8.1.2.1.1

PART	#	ENDNOTE
2.	8.1.2.3.1.1	This entity owns Norwegian subsidiaries which each own individual transoceanic tanker ships. There are 7 individual entities: Awilco Eco Tankers 1 AS; Awilco Eco Tankers 2 AS; Awilco Eco Tankers 3 AS; Awilco Eco Tankers 4 AS; Hassel Shipping 4 AS; Songa Chemical AS; Atlantic Supramax DIS.
2.	8.1.2.4	Assets previously disclosed at 8.1.2.3.1
2.	8.4	Represents carried interest held in underlying funds.
2.	9	Value represents capital account balance.
2.	9.4.1.1.1.1	Underlying assets previously disclosed at 5.1.1.1
2.	9.4.1.1.2	Underlying assets previously disclosed at 5.1.1.1
2.	9.5.1	Underlying assets previously disclosed at 9.4.1.1
2.	9.6	Represents the carried interest held by WLR Recovery Associates V LLC in WLR Recovery Fund V, L.P. The carried interest is currently zero.
2.	9.7	Represents the carried interest held by WLR Recovery Associates V LLC in this fund. The carried interest is currently zero.
2.	9.8	Represents the carried interest held by WLR Recovery Associates V LLC in this fund. The carried interest is currently zero.
2.	10	Value reflects capital account balance.
2.	10.2	This represents the carried interest held by WLR Select Associates LLC in WLR Select Co-Investment XCO AIV, L.P. The current carried interest is zero.
2.	11	Value represents the capital account balance.
2.	11.1	Represents the carried interest held by WLR Recovery Associates II, LLC in WLR Recovery Fund II, L.P.
2.	12	Value represents the capital account balance.
2.	12.1	Represents the carried interest held by WLR Recovery Associates III, LLC in the fund. The current carried interest is zero.
2.	13	Value represents the capital account balance, which is currently zero. Income for the reporting period is not readily ascertainable.
2.	13.1	This represents the carried interest held by WLR Master Co-Investment SLP Associates, L.P. (Cayman) in WLR/GS Master Co-Investment L.P. (Cayman). The current carried interest is zero.
2.	14.1.1	This represents the carried interest held by WLR Recovery Associates V DSS AIV, L.P. in the fund. The carried interest is currently zero.
2.	14.1.2.1	Assets previously disclosed at 8.1.2.1.1

PART	#	ENDNOTE
2.	14.1.2.2	Assets previously disclosed at 8.1.2.3.1
2.	15	Value reflects capital account balance.
2.	15.1.1.1	Assets previously disclosed at 7
2.	15.2	This represents the carried interest held by Starboard GP Ltd. in the Transportation Recovery Fund. The carried interest is currently zero.
2.	16	Represents the capital account balance. Income for the reporting period is not readily ascertainable.
2.	16.1.1	Reflects carried interest held by India Asset Recovery GP Ltd. in India Asset Recovery Fund, L.P. The carried interest is currently zero.
2.	17.4	The value of this asset is accounted for at Line 7.
2.	20	Represents capital account balance
2.	20.1	This fund no longer holds any underlying assets.
2.	20.2	Represents carried interest of Ross CG Cypress Associates, LLC in Ross CG Cypress Associates, LP.
2.	21	Represents capital account balance
2.	21.1.2.1	Underlying assets previously disclosed at 21.1.1.1
2.	21.1.3.1	Underlying assets previously disclosed at 21.1.1.1
2.	21.1.4	Underlying assets previously disclosed at 21.1.1.1
2.	21.2	Represents Ross CG Pearl Associates, LLC carried interest in this fund.
2.	22	Represents the capital account balance. The current capital account balance is zero.
2.	22.2	Represents the carried interest held by Asia Recovery Associates, L.P. in Asia Recovery Co-Invest Partners, L.P.
2.	23.1	Value represents the capital account balance of the fund.
2.	23.2	Represents the carried interest of WLR Recovery Associates IV DSS AIV, L.P. in WLR Recovery Fund IV DSS AIV, L.P. Income for the reporting period is not readily ascertainable.
2.	24.1.1.1	Underlying assets previously disclosed at 5.1.1.1
2.	24.1.2	This represents the carried interest held by WLR Select Associates DSS, L.P. in WLR Select Co-Investment, L.P. The current carried interest is zero.
2.	24.1.3.1	Underlying assets previously disclosed at 5.1

PART	#	ENDNOTE
2.	24.1.3.2	Underlying assets previously disclosed at 5.1.1.1
2.	24.1.4.1	This entity holds no underlying investments.
2.	24.2.1	Underlying assets previously disclosed at 25.1.1
2.	25.2	Will vest on 1/15/2018
2.	27	Shares have not yet vested.
2.	29	Shares will become unrestricted in March 2018.
3.	1	My termination agreement is still being negotiated, so the terms may change. Description reflects the current understanding.
6.	8	This cash is from Fidelity Account ending in 1989. The rest of the entries for this account are on sheet 2. The income is from interest earned on a CD that was sold.
6.	10	Fund holdings are not disclosed to investors.
6.	13	Proceeds of sale held in escrow, to be paid in September 2017.